2011 NATIONAL SURVEY ON DRUG USE AND HEALTH

Field Interviewer Manual
Field Interviewer Computer Manual

Contract No. HHSS283200800004C

Project No. 0211838

Prepared for:

Substance Abuse and Mental
Health Services Administration
Rockville, Maryland 20857

Prepared by:

Research Triangle Institute

September 2010

Field Interviewer:_____ FI ID No:_____

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Research Triangle Institute

MISSION

To improve the human condition by turning knowledge into practice.

VISION

To be the world's leading independent research organization, recognized for solving critical social and scientific problems.

VALUES

Integrity — We perform with the highest ethical standards of individual and group honesty. We communicate openly and realistically with each other and with our clients.

Excellence — We strive to deliver results with exceptional quality and value.

Innovation — We encourage multidisciplinary collaboration, creativity and independent thinking in everything we do.

Respect for the Individual — We treat one another fairly, with dignity and equity. We support each other to develop to our full potential.

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Objectivity — Our work is independent of undue influences by political, economic, or other factors. We maintain the highest level of scientific objectivity in our work.

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1. INTRODUCTION TO THE STUDY

You have been selected as a Field Interviewer (FI) for the National Survey on Drug Use and Health (NSDUH). The project staff welcomes you to the team for this important study and hopes you will find your responsibilities challenging, interesting, and enjoyable. We at Research Triangle Institute (RTI) look forward to working with you and appreciate the commitment and skill you bring to the project.

1.1 Research Triangle Institute (RTI)

Research Triangle Institute is an independent, nonprofit organization dedicated to conducting research that improves the human condition. With a worldwide staff of more than 2,800 people, RTI offers innovative research in survey and statistics, health and pharmaceuticals, advanced technology, education and training, economic and social policy, international development, energy and the environment. Universities in North Carolina founded RTI in 1958 as the first scientific organization in and centerpiece of the Research Triangle Park, a science park located between the cities of Raleigh, Durham, and Chapel Hill, North Carolina. In addition to its NC location, RTI has seven regional offices within the United States and eight offices around the world.

RTI research is performed both in the United States and abroad under contract with federal, state, and local governments; public service agencies; and private-sector clients. In keeping with RTI's vision of becoming the world's leading independent research organization, the legal name has been changed to RTI International.[1] For survey work here in the United States, we continue to use both Research Triangle Institute and RTI because of positive respondent associations and name recognition.

1.2 Project Organization

You are one of approximately 700 Field Interviewers conducting interviews for the NSDUH. The field staff include the following positions:

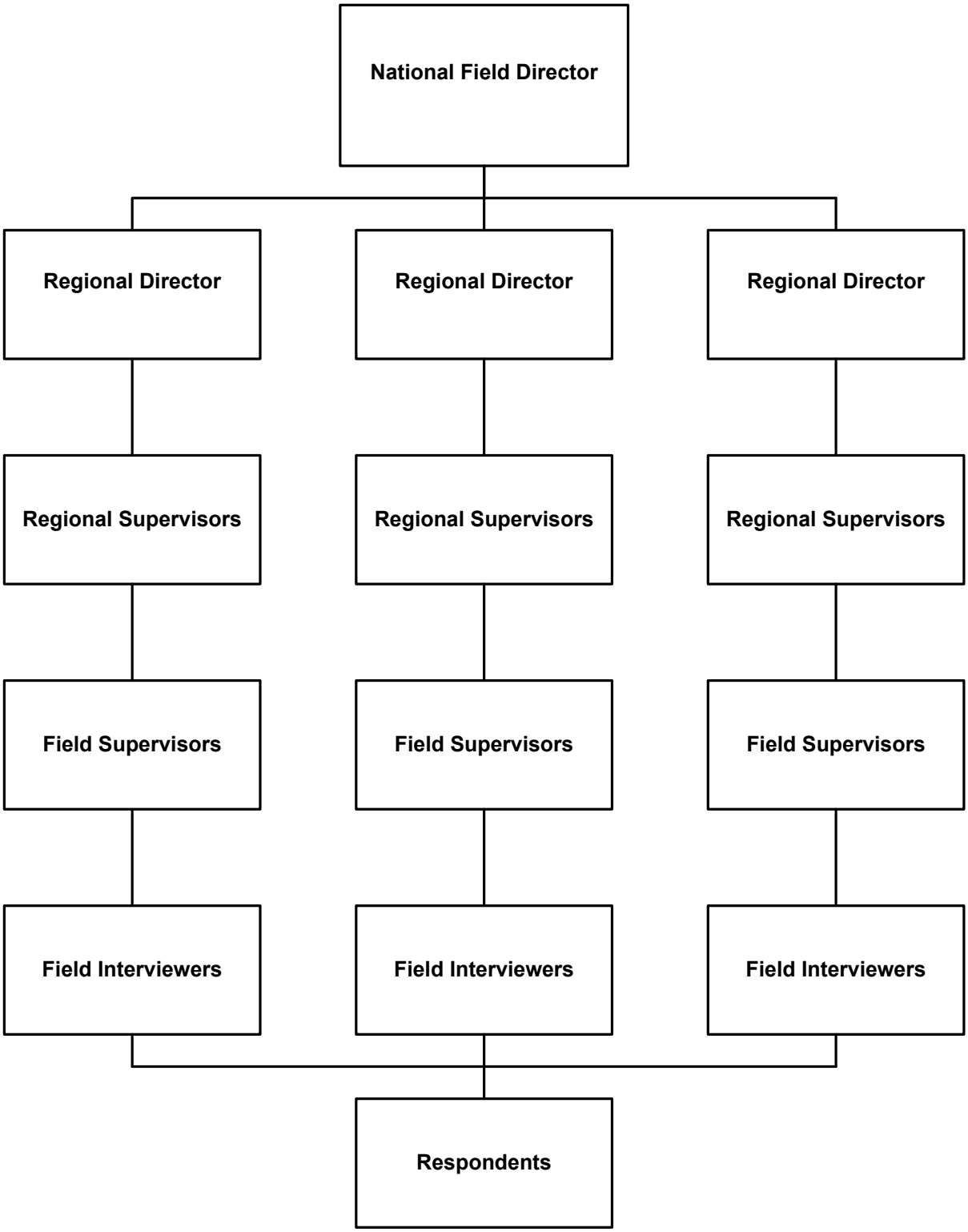
- Field Interviewers (FIs) – who are supervised by:
- Field Supervisors (FSs) – who are managed by:
- Regional Supervisors (RSs) – who are directed by:
- Regional Directors (RDs) – who work with:
- National Field Director,

Other field staff include Traveling Field Interviewers (TFIs) and a variety of assistant positions at all supervisory levels. All FIs and FSs are employees of Headway Corporate Resources, a subcontractor of RTI.

The chart in ***Exhibit 1.1*** illustrates the data collection management structure for the project. There are two ways to interpret this chart: as presented, the flow from director to interviewer illustrates the necessary communication and support for the overall direction of the project. When viewed from interviewer to director, we see the flow of actual information from the respondents, which is the all-important data to be gathered. You, as an interviewer, are the direct and vital link in the flow of information. Please know that your efforts are critical and very much appreciated!

[1] RTI International is a trade name of Research Triangle Institute.

Exhibit 1.1 Data Collection Management Structure



1.3 Study Background

1.3.1 Brief History of NSDUH

The National Survey on Drug Use and Health is currently an annual nationwide survey funded by the Substance Abuse and Mental Health Services Administration (SAMHSA), an agency of the U. S. Public Health Service in the U.S. Department of Health and Human Services. These goals have been established for the NSDUH:

- to provide accurate data on the level and patterns of licit and illicit substance use
- to track trends in the use of alcohol, tobacco products, and various types of drugs
- to assess the consequences of substance use and abuse
- to identify groups at high risk for substance use and abuse.

First conducted in 1971, this study has become the nation's leading source of information on substance use patterns and behaviors. Early on, the study was conducted at various intervals, settling into a pattern of about every two years. The demand for current, accurate information rose sharply by the early 1990s, prompting SAMHSA to conduct the survey annually starting in 1990. In 1992, the design shifted to a quarterly design where one fourth of the cases for the year are contacted and interviewed in each calendar quarter. Beginning in 1999, the sample design was expanded to allow for the reporting of drug use estimates for each of the 50 states and the District of Columbia. Beginning in 2002, the survey name was changed from the National Household Survey on Drug Abuse (NHSDA) to the National Survey on Drug Use and Health (NSDUH). The name was changed to more accurately reflect the survey's interest in the effects of drug use on users' mental health and overall health. Eliminating the term "abuse" from the title also projects a more positive, inclusive tone since researchers need to know the experiences of users and non-users, not just those who might abuse drugs.

Research Triangle Institute has conducted the study since 1988. Over the years, RTI has revised or implemented new procedures designed to simplify and enhance the data collection process while maintaining the highest level of data quality. Through 1998, data were collected entirely with paper documents, referred to as paper and pencil interviewing (PAPI). With the development of powerful, yet lightweight, laptop and handheld computers, the entire study was converted to an electronic data collection process.

This conversion occurred over several years, with RTI conducting several field studies to fully test the procedures and equipment. By analyzing data from these tests and listening to suggestions from the field staff involved, the computer programmers and management staff were able to further enhance and refine the computer programs and procedures prior to the full-scale implementation for the 1999 survey. In the years since the full-scale implementation, we have continued to make adjustments to improve the electronic data collection process.

1.3.2 Current Design for NSDUH

The entire NSDUH data collection process is conducted electronically. All screenings—which determine whom, if anyone, to interview in the household—are completed using a small handheld computer called a Hewlett-Packard iPAQ. Selected respondents are interviewed using Computer-Assisted Interviewing (CAI) on a Gateway laptop computer. Portions of the interview are conducted via computer-assisted personal interviewing (CAPI) where the interviewer asks the questions and records the answers in the computer. The sensitive questions are completed using audio computer-assisted self-interviewing (ACASI), where the respondents listen to the questions and enter their own responses. With ACASI, even you, the interviewer, will not know the responses to these personal questions. Studies repeatedly show that maximizing privacy helps encourage honest, accurate answers and produces high quality data.

For this year's NSDUH, the national sample is designed to yield about 17,500 completed interviews per quarter, for a total of about 70,000 interviews. Data collection continues to take place in all 50 states and Washington, D.C.

1.4 Data Collection Schedule

With the project's quarterly design, separate groups of households are selected and assigned to a specific quarter of the calendar year. This design requires that all screening and interviewing (S/I) activities associated with the selected households be completed by the end of each quarter. **IT IS CRITICAL THAT THESE QUARTERLY DEADLINES BE MET**. There is no room for extension of the deadlines at the end of quarterly data collection periods. The following are key dates in the quarterly data collection project schedule:

Conduct Screening and Interviewing	Start Date	Completion Goal
Quarter 1	January 3	February 28
Quarter 2	April 1	May 31
Quarter 3	July 1	August 31
Quarter 4	October 1	November 30
Clean-Up and Reporting	**Start Date**	**Final Date**
Quarter 1	March 1	March 31
Quarter 2	June 1	June 30
Quarter 3	September 1	September 30
Quarter 4	December 1	December 20

Notice that you are to complete most cases within the first eight to nine weeks of each quarter, then use the last few weeks of the quarter for reviewing, verifying, and completing miscellaneous cases. The majority of S/I should be completed prior to these clean-up dates, leaving only a minimum number of cases to be resolved. In some areas, it is possible that only a few FIs will be involved in these clean-up phases. This may result in a cycle where some FIs will work for two months and then have a month with little or no work. It is also possible, however, that completing your assignments early will allow you to assist during the clean-up period in your area or even in other areas if you are interested and available to travel. ***Exhibit 1.2***, the Quarterly Data Collection Schedule, provides a more detailed timetable of the quarterly data collection periods for this study. Please review this schedule CAREFULLY.

At the conclusion of each data collection quarter, data summaries can be produced for the government based on that quarter's processed data. Therefore, it is essential that segment work be completed within the assigned quarter; completed screenings and interviews received after the end of the quarter **cannot be used. The late data are discarded**, and you do not receive "credit" for these cases. These quarterly deadlines can be achieved with careful planning, diligent work, and follow through with your commitment to the project. Your FS is available to assist you with your work plan, modifying it as necessary as the quarter evolves.

Exhibit 1.2 Quarterly Data Collection Schedule

	Week	S	M	T	W	T	F	S
Jan	01							1
	02	2	3	4	5	6	7	8
	03	9	10	11	12	13	14	15
	04	16	17	18	19	20	21	22
	05	23	24	25	26	27	28	29
Feb	06	30	31	1	2	3	4	5
	07	6	7	8	9	10	11	12
	08	13	14	15	16	17	18	19
	09	20	21	22	23	24	25	26
Mar	10	27	28	1	2	3	4	5
	11	6	7	8	9	10	11	12
	12	13	14	15	16	17	18	19
	13	20	21	22	23	24	25	26
	14	27	28	29	30	31		

Mail Lead Letters for QTR 1: 12/30-12/31, 2010
S/I Training: 1/3-1/5, 2011

QTR 1 Data Collection: 1/3-2/28, 2011

QTR 1 Clean-up Period: 3/1-3/31, 2011
Week of March 20th:
Mail Lead Letters for QTR 2

	Week	S	M	T	W	T	F	S
Apr	01						1	2
	02	3	4	5	6	7	8	9
	03	10	11	12	13	14	15	16
	04	17	18	19	20	21	22	23
May	05	24	25	26	27	28	29	30
	06	1	2	3	4	5	6	7
	07	8	9	10	11	12	13	14
	08	15	16	17	18	19	20	21
	09	22	23	24	25	26	27	28
Jun	10	29	30	31	1	2	3	4
	11	5	6	7	8	9	10	11
	12	12	13	14	15	16	17	18
	13	19	20	21	22	23	24	25
	14	26	27	28	29	30		

QTR 2 Data Collection: 4/1-5/31, 2011

QTR 2 Clean-up Period: 6/1-6/30, 2011
Week of June 19th:
Mail Lead Letters for QTR 3

Exhibit 1.2 Quarterly Data Collection Schedule (continued)

	Week	S	M	T	W	T	F	S	
Jul	01						1	2	
	02	3	4	5	6	7	8	9	
	03	10	11	12	13	14	15	16	
	04	17	18	19	20	21	22	23	
	05	24	25	26	27	28	29	30	
Aug	06	31	1	2	3	4	5	6	QTR 3 Data Collection: 7/1-8/31, 2011
	07	7	8	9	10	11	12	13	
	08	14	15	16	17	18	19	20	
	09	21	22	23	24	25	26	27	
Sep	10	28	29	30	31	1	2	3	
	11	4	5	6	7	8	9	10	QTR 3 Clean-up Period: 9/1-9/30, 2011 Week of September 18th: Mail Lead Letters for QTR 4
	12	11	12	13	14	15	16	17	
	13	18	19	20	21	22	23	24	
	14	25	26	27	28	29	30		

	Week	S	M	T	W	T	F	S	
Oct	01							1	
	02	2	3	4	5	6	7	8	
	03	9	10	11	12	13	14	15	
	04	16	17	18	19	20	21	22	
	05	23	24	25	26	27	28	29	QTR 4 Data Collection: 10/1-11/30, 2011
Nov	06	30	31	1	2	3	4	5	
	07	6	7	8	9	10	11	12	
	08	13	14	15	16	17	18	19	
	09	20	21	22	23	24	25	26	
Dec	10	27	28	29	30	1	2	3	
	11	4	5	6	7	8	9	10	
	12	11	12	13	14	15	16	17	QTR 4 Clean-up Period: 12/1-12/20, 2011
	13	18	19	20	21	22	23	24	
	14	25	26	27	28	29	30	31	

1.5 Project Abbreviations and Terminology

Throughout this manual, and in other project materials, abbreviations are used. As a general aid for you, a list of these abbreviations is provided in ***Exhibit 1.4***. Some of the abbreviations and terms used in this manual have exact meanings or refer to specific project materials. These terms are briefly explained in ***Exhibit 1.5***, in alphabetical order. Details regarding the use of the terms are located throughout the manual. Be familiar with these terms and use them consistently in your communications with your fellow interviewers and your supervisor.

1.6 Use of Manual

This procedural manual provides a detailed description of the tasks you will be required to complete for all aspects of the NSDUH. A copy of the FI manual can also be accessed directly from the laptop computer (see ***Section 1.6.1.***). Additionally, a separate FI Computer Manual describes the actual computers, their use, and proper care

This manual is an excellent reference source. When searching for information, think about where the topic fits in the flow of work. Consult the detailed Table of Contents and the List of Exhibits. Using the key words shown there will help you narrow down your search. Also included for your use is an index which lists broad topics that are discussed in several chapters.

Adherence to prescribed procedures and duties is extremely important to the success of the study. The manual, including all supplements, should be carefully studied before you attend your classroom training (either a New-to-Project session or the annual Veteran session), as you prepare for fieldwork, and throughout data collection each quarter.

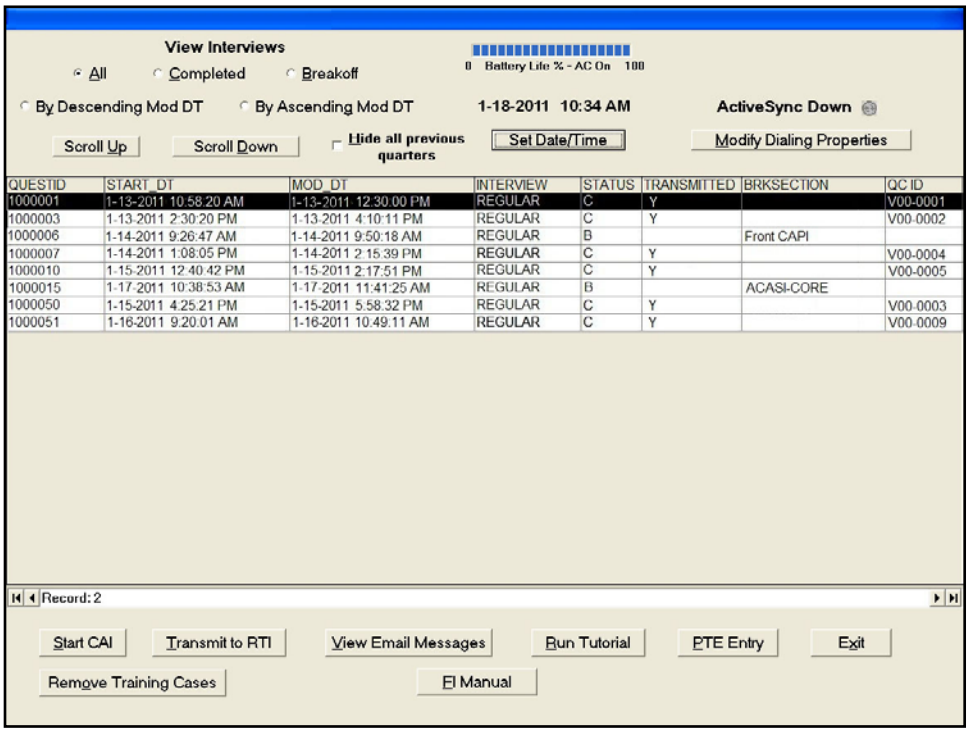
You may, however, have questions or encounter field situations for which you do not find an answer in this manual. When in doubt about any field situation, contact your FS. If he/she is unavailable and you need an answer immediately, contact the appropriate RS. Names and contact information will be provided at training. Telephone numbers for Regional Supervisors and other project management staff are listed in ***Exhibit 1.6***.

1.6.1 Accessing the FI Manual from the Laptop

In addition to the hardcopy manual, a copy of the NSDUH FI manual can be accessed from the CAI Manager program on the laptop. Please keep in mind the manual should never be shown to your respondents—either intentionally or by accident. This is for your reference ONLY.

Technical details regarding the laptop, CAI Manager, and interview programs are covered in ***Chapter 5*** of the ***FI Computer Manual***. An overview of the procedure to view the FI Manual from the laptop is provided below. To access the manual:

1. Turn on the computer, enter the passwords provided at training and press **[ENTER]** to continue.
2. Once the CAI Manager screen appears (as shown on the following page), click the 'FI Manual' button located at the bottom of the screen using the Touchpad. Refer to ***Section 4.3.4*** in the ***FI Computer Manual*** for instructions on using the Touchpad.



3. Once the FI Manual opens, press **[Ctrl] [f]** to display the toolbar at the top of the screen. If needed click the "Maximize" button located to the left of the red "X" in the upper right hand of the screen (shown as a blue button with a □) to display the manual full-screen.
4. Use the Touchpad to maneuver through the manual pages. The bookmarks displayed on the left hand side and page forward/backward buttons at the top of the screen function as navigation and display tools. The most commonly used navigation functions are described in ***Exhibit 1.3***.

Page forward/ backward buttons

Bookmarks

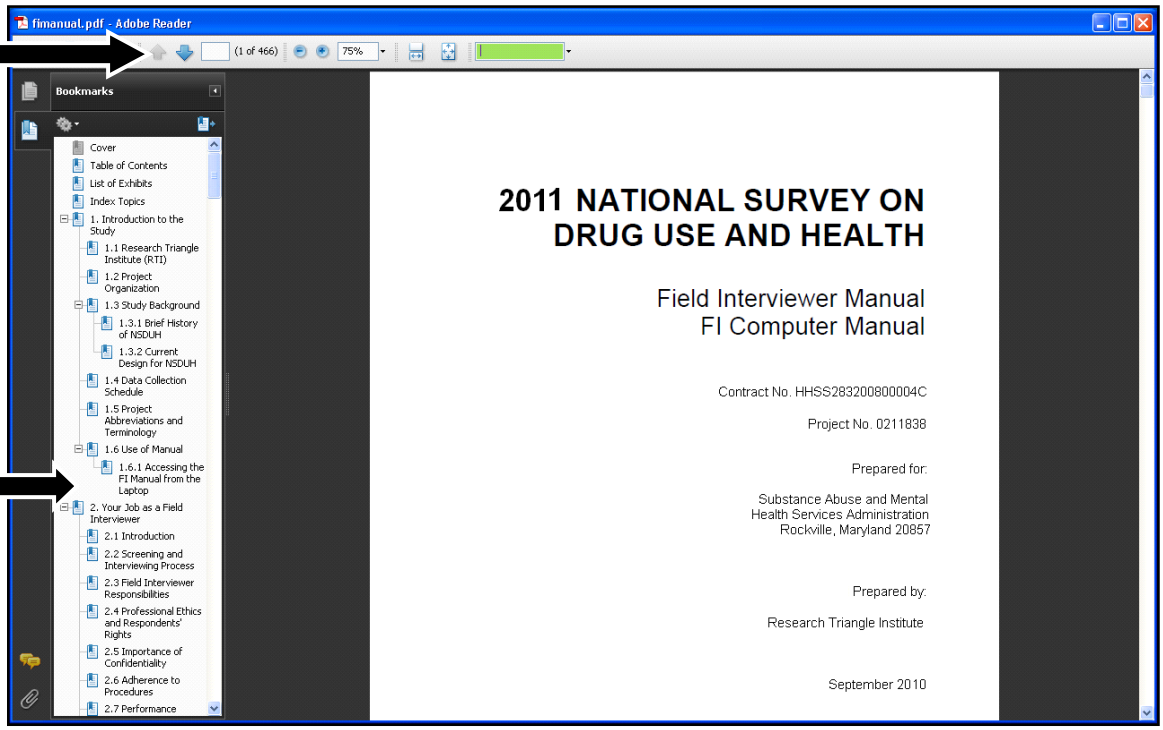


Exhibit 1.3 FI Manual Navigation Functions

Function	Instructions
Adjust the view or size of the page	• Click the down arrow to the right of the magnification percentage area (located at the top of the screen to the right of the page forward/backward buttons). • Choose a new display percentage or size from the menu.
To page through a chapter or section	• Click the page forward/backward buttons (displayed as blue arrows located at the top of the screen) to move forward or backward, or; • Use the Touchpad to move the scroll bar on the right up and down as needed to advance through the pages.
View a specific section or chapter	• Bookmarks, located on the left hand side of the screen, represent the various chapters and sections in the manual. • To advance to a particular chapter or section, click on the bookmark for that item.
Search for a word or phrase	• Press [**Shift**], [**Ctrl**] + [**F**] and a Search box will appear on the left side of the screen. Type the word(s) that you want to search for and click **Search**. • A Results list will appear in the Search box in page order. • To display the page that contains the search word(s), click on the item in the Results list. • Click the red "X" in the upper right hand corner of the search box when you are finished reviewing the results.
To exit out of the FI Manual	• Click on the red "X" in the upper right hand corner of the document. • This takes you to the CAI Manager screen where you can perform other tasks or exit and shut down the laptop.

Exhibit 1.4 List of Abbreviations

ACASI .....Audio Computer-Assisted Self-Interviewing
ADDED DU.....Added Dwelling Unit
CAI .....Computer-Assisted Interviewing
CAPI.....Computer-Assisted Personal Interviewing
Case ID.....Case Identification Number
CBHSQ.....Center for Behavioral Health Statistics and Quality (the SAMHSA office in charge of NSDUH)
C/L.....Counting/Listing
DHHS .....U.S. Department of Health and Human Services
DU .....Dwelling Unit
E-mail.....Electronic Mail
ePTE.....Electronic Production, Time, and Expense Report
FI .....Field Interviewer
FS.....Field Supervisor
GQU .....Group Quarters Unit
HU .....Housing Unit
ID.....Identification
INS.....Immigration and Naturalization Services
NHSDA.....National Household Survey on Drug Abuse (past name)
NSDUH.....National Survey on Drug Use and Health (current name)
PAPI .....Paper and Pencil Interviewing
PT&E .....Production, Time, and Expense Report
Q&A.....Question and Answer Brochure
QuestID.....Questionnaire ID
QC ID.....Quality Control Form ID Number
R .....Respondent
RD .....Regional Director
ROC.....Record of Calls
RS.....Regional Supervisor
RTI.....Research Triangle Institute
SAMHSA.....Substance Abuse and Mental Health Services Administration
SAMS .....Survey Automated Mapping System
S/I.....Screening/Interviewing
SDU.....Sample Dwelling Unit
SR.....Screening Respondent
TFI.....Traveling Field Interviewer
USPHS .....United States Public Health Service

Exhibit 1.5 Definitions of Project Terminology

Added DU – a DU discovered in connection with an SDU which was not included on the original List of Dwelling Units in a segment, but should have been.

Audio Computer-Assisted Self-Interviewing (ACASI) – a type of computer-assisted interviewing used to collect information from selected respondents for questions of a sensitive or personal nature. Respondents listen through headphones as the questions are read from computer audio files and enter the answers themselves directly into the computer.

CAI Manager – computer software program on the laptop computer developed by RTI programmers for management of questionnaire data and several interviewer administrative tasks.

Case Identification (Case ID) – a ten-character code that starts with the state abbreviation and uniquely identifies a dwelling unit selected for the study.

Case Management – a broad term used to describe the process of organizing, keeping track of and completing your work in a timely fashion.

Computer-Assisted Interviewing (CAI) – a generic term used to indicate that a computer is used during the interview. It includes CAPI and ACASI *(see definitions)*.

Computer-Assisted Personal Interviewing (CAPI) – using a computer, the FI reads the questions displayed on the computer screen to the respondent, then enters the response directly into the computer.

Consent – agreement to participate in a research study given by an adult or by a parent or guardian for his/her child. Giving consent indicates that he/she understands the meaning of, and has agreed to participate in, the study. The consent process used in any research project must be approved by a Human Subject's Committee or Institutional Review Board. Before interviewing a minor, you must have parental consent unless the youth is an emancipated minor *(see definition)*.

Counting and Listing (C/L) – the process of creating a list of all the dwelling units contained within a segment (a specified land area). This phase has already been completed.

Dwelling Unit – a place where a person or persons could reside. This general term refers to both housing units and group quarters units (*see definitions*).

E-Mail – through the one-way electronic messaging program on the laptop, FIs can receive e-mail messages from supervisors and project management.

Electronic Production, Time, and Expense Report (ePTE) – FIs maintain an accurate record of daily production, time and expenses while working on this study and enter their information into the ePTE system on the laptop. Payments for hours worked and reimbursement of expenses are based on the information submitted through the ePTE system. (In case of computer problems, paper PT&E forms are available as a backup).

Emancipated Minor – a person under the age of 18 who is living on his/her own; that is, not as a dependent of parents or a guardian.

Gateway – a laptop computer used for administering NSDUH interviews and collecting data.

Exhibit 1.5 Definitions of Project Terminology (continued)

Group Quarters Structure – generally, any single structure in which ten or more unrelated persons reside; also these persons must live and eat together, not separately. Examples include a college dormitory, a homeless shelter, and a convent.

Group Quarters Unit – a single living unit within a group quarters structure. Examples include a room in a sorority house, a bed in a halfway house, and an individual person in a migratory workers camp.

Householder – the person or one of the persons in whose name the home is owned or rented. This individual must reside in the SDU for most of the 3-month data collection period.

Housing Unit – a group of rooms or a single room occupied, or intended for occupancy, as separate living quarters. Examples include a single family home, an apartment, a mobile home, and a 'house mother' apartment in a fraternity house.

iPAQ (HP iPAQ 210 Pocket PC) – a handheld computer used to conduct screenings and for case management (*see definitions*).

Lead Letter – an introductory letter you send to each sample dwelling unit that has a mailing address explaining that a Field Interviewer will contact the residents. A very brief overview of the study is included in the letter.

Missed DU – a unit found by an interviewer, using specific guidelines, that was potentially 'missed' during Counting and Listing. The address of a Missed DU is entered in the iPAQ, then later reviewed to see if the unit should be included as an Added DU (*see definitions*).

Nonrespondent – a person who is eligible and selected for the study but who chooses not to participate.

Partition – within each quarter, the selected DUs are assigned in batches or partitions.

Production, Time and Expense (PT&E) – Backup paper forms sometimes used to allow FIs to maintain and submit an accurate report of daily production, time and expenses while working on this study. Instructions for the proper completion of paper PT&Es are in ***Appendix A***.

Quality Control ID (QC ID) – the code displayed in the upper-right corner of the Quality Control Form. This number is entered into the laptop at the end of the interview.

Questionnaire ID (QuestID) – the code that allows you to transition from the screening to the interview. The code is displayed on the iPAQ and entered into the laptop in order to begin an interview.

Record of Calls (ROC) – a term referring to the iPAQ program that allows FIs to record details about each and every visit to an SDU. Details include the date and time, the result code, and any important comments.

Respondent – a person who is eligible and selected for the study, and who agrees to participate.

Result Codes – two-digit codes used to indicate the current status of each case. These codes are recorded in the Record of Calls in the iPAQ, sent automatically to RTI with each transmission, and are reviewed with your FS. When compiled into regular reports, these codes provide important information to project managers and the client on the progress of data collection.

Sample Dwelling Unit (SDU) – a dwelling unit that has been randomly chosen for inclusion in the NSDUH.

Exhibit 1.5 Definitions of Project Terminology (continued)

Sampling Frame – the source of all listed units from which SDUs are selected. For NSDUH, we use an area frame where all dwelling units within a specified land area (segment) are listed and then certain units from that list are randomly chosen (sampled) to be contacted about the study.

Screening – the process of determining whether an SDU contains any eligible persons and if any of those eligible are selected to be interviewed.

Screening Respondent (SR) – the person who answers the screening questions. The SR must be an adult (age 18 or over) resident of the household.

Segment – a relatively small, well-defined area of land.

Transient – Shelters and missions provide lodging for transient persons who have no other permanent place of residence. Transient residents of a selected shelter are eligible for the NSDUH. Overnight hotels, motels, or even hospitals provide temporary shelter for guests who have other homes. These transient structures are not included in NSDUH.

Transmit – a process where information and data are sent from one computer to another over telephone lines.

Verification – a process in which the quality and accuracy of all NSDUH field work is monitored by the project managers and staff. This quality control process ensures that the data being collected are of the highest possible quality.

Exhibit 1.6 Project Staff Information

REGIONAL SUPERVISORS				
Name	**Phone No.**	**Fax**	**E-Mail**	**Location**
RTI FIELD MANAGEMENT				
HEADWAY				
TECHNICAL SUPPORT GROUP (TSG) -				

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REVIEW OF CHAPTER 1

Introduction to the Study

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- You are a Field Interviewer for the NSDUH (National Survey on Drug Use and Health), hired by Headway, and working for Research Triangle Institute (RTI), a nonprofit research organization in North Carolina.
- The NSDUH is sponsored by the Substance Abuse and Mental Health Services Administration (SAMHSA), an agency of the U.S. Public Health Service in the U.S. Department of Health and Human Services.
- The NSDUH is the nation's leading source of information on substance use patterns and behaviors and produces national and state data. Data are collected in all 50 states and the District of Columbia.
- All data collection on NSDUH is done electronically. Screenings are completed using a handheld computer called the iPAQ, while interviews are completed using a Gateway laptop computer.
- Data collection on the NSDUH follows a strict quarterly schedule, with the majority of the work being accomplished in the first two months of each quarter.
- FIs must understand many project abbreviations and terminology and use them consistently and correctly with their fellow interviewers and supervisors.
- Details on the FI job and this project are presented in this manual, and it will be a useful tool as you work on this project. If you cannot find an answer in this manual, you can call your supervisor for clarification.

QUESTIONS TO ASK YOURSELF

1. What are the goals of this study?
2. What is RTI?
3. What is the last day that Quarter 2 interviews can be completed?
4. When should the bulk of your field work be finished in Quarter 1?
5. Define the following terms:

   NSDUH

   CAI

   ACASI

   SAMHSA

   SDU

   FS

   ePTE

   USPHS

6. When is the iPAQ used?

2. YOUR JOB AS A FIELD INTERVIEWER

2.1 Introduction

Many factors make a NSDUH field interviewer successful. The best interviewers are quick, efficient, and cost-effective without sacrificing response rates or high data quality. The key is to combine your knowledge of NSDUH protocols and procedures with your natural talents, creativity, and social skills. Some general guidelines are:

- follow **all** procedures and instructions carefully
- know the study
- listen and reply to respondents' needs and concerns
- be convinced of the importance of the survey
- maintain open communication with your FS.

Other skills crucial to success are timeliness, organization, attention to detail, and persuasiveness. This chapter outlines your responsibilities as an FI and shows in general how the above factors come together for a successful and enjoyable NSDUH experience.

2.2 Screening and Interviewing Process

During the screening and interviewing process, you are responsible for the following activities:

1. review your assigned segment materials (maps, Selected DU List, etc.)
2. prepare and mail a lead letter to each sample dwelling unit (SDU) with a mailable address
3. locate (using the segment materials) and contact each SDU
4. determine that the SDU is a true HU or true GQU, and check for missed dwelling units
5. identify and locate an eligible screening respondent (SR), obtain cooperation, and complete screening informed consent procedures using the Study Description
6. conduct the screening by reading the questions **exactly** as shown on the iPAQ
7. if no one is selected for an interview, obtain verification information for quality control procedures and thank the screening respondent
8. if one or two persons are selected, attempt to begin the interview right away; if not possible, obtain appointment information, trying to schedule the interview(s) in the near future
9. obtain informed consent from a respondent (and gain permission from a parent/guardian before approaching a youth respondent aged 12-17) by reading verbatim the Introduction and Informed Consent script
10. conduct the interview(s) following project protocols, including:
    - reading all FI administered questions exactly as shown on the screen
    - using neutral probes as necessary
    - completing the calendar as instructed with the respondent

- explaining the computer to the respondent, then allowing the individual to complete the practice session
- using Showcards and Pillcards as instructed
- obtaining verification information for quality control (QC) procedures
- giving the respondent the cash payment and completed receipt
- giving adult respondents and parents/guardians of youth respondents a Q&A Brochure
- thanking the respondent
- transmitting the data to RTI at the end of each work day.

In order to be successful, it is important to allocate adequate time for your field visits. Plan to stay in the field for at least four hours when you have a sufficient number of cases to work, especially early in the quarter. This means traveling to the area, then spending at least four hours in the sample areas for screening and interviewing before traveling home. Be sure to discuss your assignment with your FS so you can determine the most efficient work plan together.

Exhibit 2.1 illustrates the basic steps in the screening and interviewing process. Review this exhibit carefully before you continue reading the manual.

2.3 Field Interviewer Responsibilities

Exhibit 2.2 provides a job description for a NSDUH Field Interviewer. A summary of your job responsibilities follows:

- read this manual carefully and successfully complete the home study exercises prior to training
- successfully complete the FI training program
- maintain the confidentiality of all survey data and materials at all times
- prepare and mail lead letters to SDUs
- locate your assignment areas and plan the best travel routes to/from areas
- locate and contact the SDUs, obtaining participation of residents
- conduct screenings at SDUs with eligible screening respondents, reading all questions exactly as shown on the iPAQ screen
- conduct interviews with selected respondent(s) precisely following all project procedures; as needed, schedule appointments for interviews at units with selected respondent(s)
- maintain daily records of your data collection activities
- transmit information to RTI at the end of each day of work
- carefully handle and track all money used for cash incentive payments to interview respondents
- review the status of cases during telephone conferences with your FS, providing detailed information about any problems with pending cases and cases put on hold
- complete and submit to your FS weekly Production, Time, and Expense reports (ePTE reports) and other administrative forms in a timely manner and according to prescribed schedules
- meet or exceed project efficiency targets
- meet or exceed project quality standards.

Exhibit 2.1 Screening and Interviewing Process

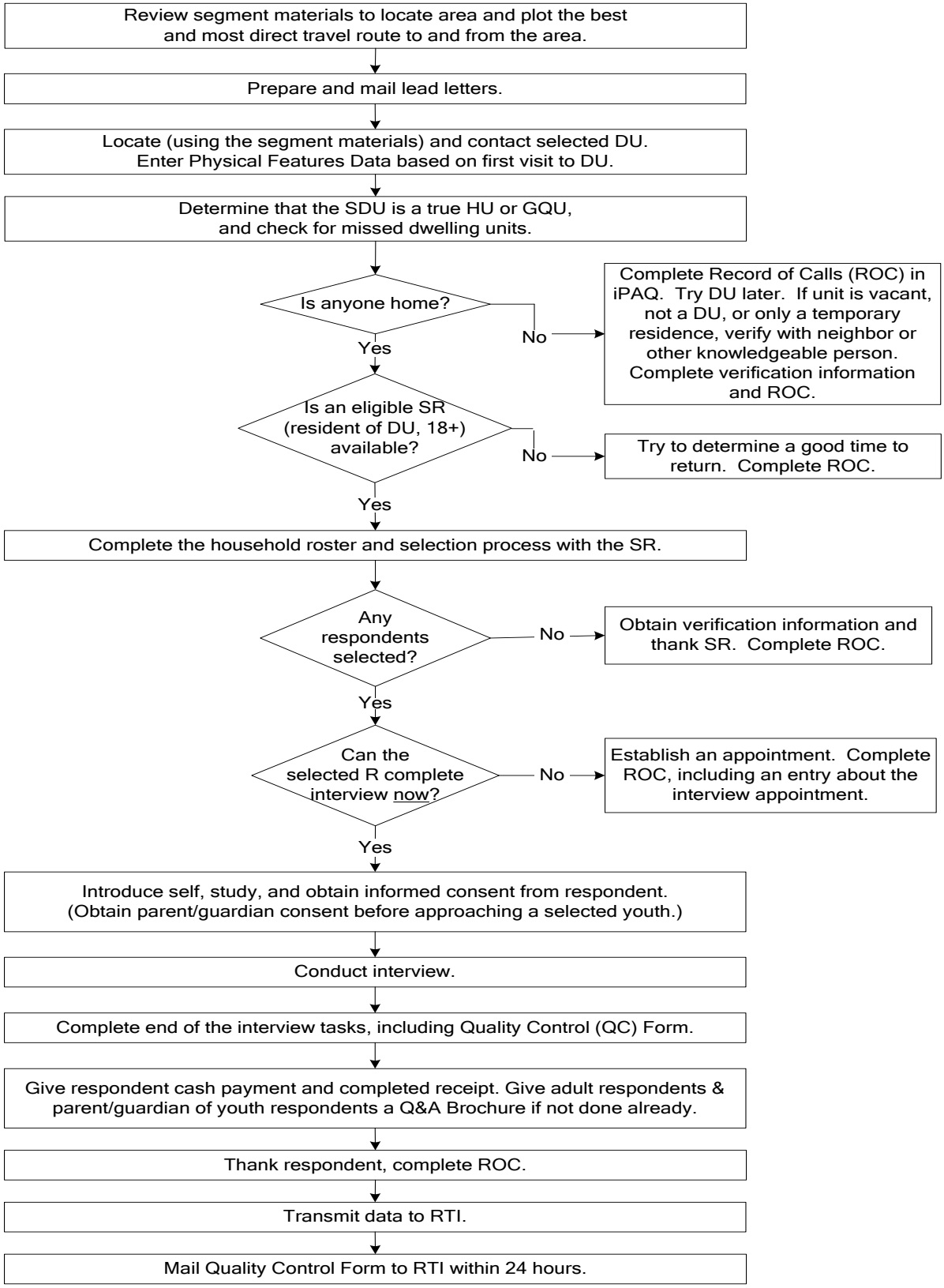


Exhibit 2.2 Job Description for a NSDUH Field Interviewer

FIELD INTERVIEWER JOB DESCRIPTION
General

POSITION DESCRIPTION:
The Field Interviewer (FI) conducts field work for survey research projects conducted by Research Triangle Institute (RTI). FIs prepare for and conduct data collection operations according to project protocols. FIs ensure that field data collection activities are carried out in an efficient and cost effective manner, that the data collected are of the highest possible quality, and that all activities are conducted in a professional manner following established procedures.

QUALIFICATIONS:
- Available for entire training and data collection period.
- Able to successfully complete training.
- Have reliable personal automobile available for business use.
- Must be willing to work evenings and weekends on a weekly and regular basis.
- Able to keep project information confidential.

MAJOR REQUIREMENTS:
- Successful experience with field interviewing activities.
- Demonstrate the ability to work with supervisor and complete assignments on schedule.
- Use maps to locate sample units.
- Obtain cooperation of survey respondents by effectively answering questions and addressing concerns.
- Conduct personal interviews following prescribed protocols.
- Accurately complete all project documents including electronic survey instruments, and all reporting forms.
- Adhere strictly to project deadlines for completing interviews, reporting progress, and returning materials and equipment.
- Maintain accurate, up-to-date records of progress in the field.
- Submit timely and accurate reports.
- Maintain a professional, cooperative relationship with your supervisor and other project staff, objectively sharing your thoughts while displaying an understanding of project management's concerns.
- Be receptive—not defensive—when given feedback from project personnel about your performance, striving to learn and improve.
- Keep supervisor informed of problem areas that might affect progress.

PHYSICAL DEMANDS:
The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.
- Travel frequently to respondent locations.
- Be outside and exposed to all types of weather.
- Be exposed to fumes and odors as might be expected in any outdoor environment.
- Stand, walk, and climb stairs.
- Communicate through speech and listening.
- May be required to transport equipment and materials such as laptop computers and notebooks weighing 15 pounds or more.

Exhibit 2.2 Job Description for a NSDUH Field Interviewer (continued)

FIELD INTERVIEWER JOB DESCRIPTION

PROJECT 0211838

National Survey on Drug Use and Health (NSDUH)

The Field Interviewer (FI) for NSDUH will be responsible for:

- In-person screening/interviewing of selected households with the sample distributed over the four calendar quarters.
- Proper administration of a computer-assisted interview (CAI), approximately one hour in length, to selected individuals throughout the four quarters of the data collection period.

TRAINING REQUIREMENTS FOR FIs:

- For FIs who are new to the project: Attend and successfully complete an FI project training session scheduled to last 7 days. Additionally, participate in on-the-job training with a mentor or Field Supervisor (FS), as needed.
- For FIs who are NSDUH veterans: Successfully complete all components of the veteran FI project training program.
- For Bilingual Spanish-speaking FIs (both new and veteran): Successfully complete all components of the bilingual training program.

REQUIREMENTS FOR SCREENING/INTERVIEWING ACTIVITY:

- Available to work approximately 20-25 non-travel hours per week to conduct screening/interviewing during field data collection periods.
- Available and willing to work evening and weekend hours (Friday, Saturday, and Sunday) as required by your specific assignments.
- Must have effective communication skills through speech and listening, and fluency in English through reading, writing, and speaking.
- Must be able to read text from a computer screen (i.e. a laptop and handheld computer) and paper documents
- Perform field work according to expectations defined in the general FI Job Description (Major Requirements and Physical Demands), completing the required number of interviews in the designated region(s) by the end of each quarterly field period.
- Available for Field Observations by a member of the NSDUH management staff.
- Prompt, reliable, and accurate reporting to FS.
- Must have regular access to an analog phone line for data transmissions.
- Assume responsibility for and carefully track all money used for cash incentive payments.
- Available for possible overnight travel if remote segments are involved in the assignment area.
- Assume full and legal responsibility for use and care of computers, taking reasonable and appropriate steps to safeguard them against damage, loss, or theft, and returning all equipment at the conclusion of the NSDUH assignment or at the request of your supervisor.

FOR MORE INFORMATION ABOUT RTI AND NSDUH, VISIT OUR WEBSITE AT:
http://nsduhweb.rti.org

09/10

2.4 Professional Ethics and Respondents' Rights

Ethics can be broadly defined as a set of moral values or principles of conduct governing an individual or a group. Organizations must show their clients, employees, and the public, a prevailing sense of integrity, honesty, and responsibility in all aspects of work.

All survey research conducted by RTI is based on the highest ethical standards. Interviewers are expected to maintain the same professional ethics as all RTI researchers. These standards are taken very seriously! RTI's professional reputation depends upon all employees and all field staff making the commitment to ethical standards a high priority.

As part of professional ethics, the rights of survey respondents **must** be protected by all RTI and Headway personnel. These rights include:

- The right of informed consent refers to the legal requirement that respondents be given complete and accurate information so that they can make an informed decision about their participation in the survey.
- To ensure that all RTI studies meet the legal and ethical requirements of informed consent, all projects involving human subjects must be approved by our Office of Research Protection, which serves as RTI's Institutional Review Board (IRB) under federal regulations. This committee looks very closely at the written introduction to the study to be sure that the respondents are being properly informed.
- The right to refuse refers to an individual's right to decline to participate in the study or to refuse to answer individual questions once an interview has begun.
- The right of privacy is guaranteed by the federal **Privacy Act of 1974**. This Act prohibits the release of data gathered by or for a federal agency without the written consent of the respondent. Fines and penalties apply to individuals or organizations that violate this law. You can explain this to a respondent when trying to gain his or her trust.
- The right to accurate representation requires honesty in dealing with respondents and answering their questions about the survey. For example, you cannot tell the respondent that an interview will take only a few minutes if you know it will last about an hour, or say that you work for a government agency such as the Census Bureau or the Public Health Service.

All staff involved in the collection, processing, and analysis of the survey data must be continually aware of the important responsibility to safeguard the rights of the survey participants. Since interviewers are in direct contact with these respondents, you must demonstrate high ethical standards in **all** project contacts.

Naturally, in carrying out your responsibilities, field interviewers are expected at all times to comply with all applicable federal, state and local laws, including adhering to all traffic laws, trespassing laws, and the like. Any questions about a particular situation should be directed to your FS.

2.5 Importance of Confidentiality

Much of the data collected during the NSDUH interview are sensitive. You must ask all questions and record all responses in a completely objective and nonjudgmental manner. Be aware of the sensitivity issue and of the need to treat as confidential any and all information you learn about respondents, whether directly from a response you receive or simply through casual observations before, during, or after your visit.

Because of the sensitive nature of the subject matter, the project staff have taken special precautions to protect the confidentiality of respondents.

- The confidentiality of all responses to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA), a government-wide law that provides strong confidentiality protections to many federal agencies conducting statistical surveys. Under CIPSEA, all answers are used for statistical purposes only and cannot be used for any other purpose.
- The NSDUH is one of the few surveys where the last name of the respondent completing the interview is never recorded. While the respondents' addresses are known, this information is kept separate from the respondents' answers through the use of two different computers. The iPAQ contains the addresses of selected DUs, but the interview data are collected and stored in the laptop until transmission to RTI. Once at RTI, it would be possible to link the address information in the iPAQ and the more sensitive data collected in the laptop—but project staff NEVER link the data.
- Respondents should be reassured that any potentially identifying data, such as their address, are never made available to anyone outside of project staff. This means you should never write down information about a respondent anywhere other than the iPAQ's Record of Calls which is password protected. This includes not writing identifying information on any materials or even in emails to your FS.
- Individual responses are only analyzed in combination with other responses collected nationwide.

All NSDUH staff including project planners at SAMHSA, RTI managers and technical staff, and all field staff must share the commitment to protect the confidentiality of the respondents. Under CIPSEA, the penalties for knowingly and willfully disclosing confidential information are a Class E Felony which includes imprisonment for up to five years and fines up to $250,000. Several NSDUH respondent materials outline the consequences of divulging respondent information to make it clear that their confidentiality will be protected.

2.6 Adherence to Procedures

At training, you will be asked to sign a Data Collection Agreement (shown in ***Exhibit 2.3***). By signing, you are entering into a contractual agreement that you will keep confidential all data you collect. It also certifies that you will carry out all project procedures precisely as they are presented in this manual and at training. It is **very** important that you understand and agree to this policy and understand that failure to comply could result in the termination of your employment with Headway as an FI on the NSDUH. If you have any questions regarding this policy, discuss them with your FS prior to making arrangements to attend training.

Exhibit 2.3 Data Collection Agreement

DATA COLLECTION AGREEMENT	Project Name: **National Survey on Drug Use and Health** Project No.: **0211838**

I, _____, an employee of Headway, agree to provide field data collection services for the benefit of RTI in connection with the RTI Project shown above. Further, I

1) am aware that the research being conducted by RTI is being performed under contractual arrangement with the **Substance Abuse and Mental Health Services Administration** (SAMHSA);

2) hereby accept all duties and responsibilities of performing specified data collection tasks and will do so **personally** in accordance with the training and guidelines provided to me. At no time will I engage the services of another person for the purpose of performing any data collection tasks for me without the prior written approval of RTI;

3) agree to treat as **confidential** all information secured during interviews or obtained in any project-related way during the period I am providing services to RTI, as required by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA), and understand under Section 513 of this Act that I am subject to criminal felony penalties of imprisonment for not more than five years, or fines of not more than $250,000, or both, for voluntary disclosure of confidential information. Any breach of confidentiality must be reported immediately to the National Field Director. This information will be shared with the SAMHSA Project Officer and Headway. I have also completed and fully understand the CIPSEA training provided to me;

4) agree to treat as **confidential and proprietary** to SAMHSA/RTI any and all survey instruments, materials, and documentation provided or accessed during the course of my service on this project;

5) am aware that the survey instruments completed form the basis from which all the analysis will be drawn, and therefore, agree that all work for which I submit invoices will be of high quality and performed in compliance with all project specifications;

6) understand that I am fully and legally responsible for taking reasonable and appropriate steps to ensure that any computer equipment issued to me for use on this project is safeguarded against damage, loss, or theft. I also understand that I have a legal obligation to immediately return all equipment at the conclusion of this project or at the request of my supervisor;

7) fully agree to conduct myself at all times in a manner that will obtain the respect and confidence of all individuals from whom data will be collected and I will not betray this confidence by divulging information obtained to anyone other than authorized representatives of RTI;

8) understand that evidence of falsification or fabrication of interview results will be reported to RTI's Scientific Integrity Committee, and that falsification of results is grounds for termination of employment. If these charges are substantiated, in certain circumstances, RTI will have to forward this information to government agencies, and as a result, it is possible that I could be suspended from participating as an interviewer in government funded research for some period of time; and

9) understand that my obligations under this agreement will survive the termination of any assignment with RTI and/or my employment by Headway.

_____
Employee's Signature

_____
Date

Disposition: Original to Headway, Yellow retained by employee.

2.7 Performance Expectations

The data collection effort is vitally important to the success of any research study. Data collection procedures are standardized to maximize the quality of the data. We are depending on you to follow the procedures described in this manual. It is equally important to conduct data collection activities efficiently to ensure the study is completed within budget and schedule constraints. The time and mileage spent while traveling to and from sample dwelling units is one of the major costs in any field survey. Keep travel to a minimum by carefully planning your route.

Another strategy is to conduct activities efficiently while at the selected dwelling unit. If you are thoroughly familiar with the study procedures, you can complete your activities quickly without sacrificing accuracy. Be prepared, have the necessary equipment and materials, and be organized. You must also be very comfortable with explaining the purpose of the study and how the information gathered will be used. The established criteria used to rate an FI's performance are presented in ***Exhibit 2.4***.

Use your FS as a resource to discuss unusual situations, review standardized procedures, or to answer questions about any aspect of the study. This will help to ensure that the study is being conducted in the same way by all interviewers.

2.8 Materials, Supplies, and Equipment

There are a variety of materials, supplies, and equipment you will use to conduct the NSDUH. Adequate quantities of materials and supplies are sent to you prior to your data collection activities. You must use the correct and official NSDUH materials for each interview. Be sure to monitor your level of supplies for upcoming work, making sure you do not have too little or too many of any specific item. Storing all materials in one location helps to manage this inventory. As you complete your assignment, use your materials wisely and only request enough materials for the work you expect to have. If you require additional supplies, contact your FS. Descriptions of the purpose and use of each item can be found throughout the manual. ***Chapter 12*** of this manual contains an inclusive list of interviewer project materials, supplies, and equipment.

Exhibit 2.4 FI Performance Criteria

Knowledge of Data Collection Techniques – Masters the information and skills concerning work duties that an individual should know for satisfactory job performance; ability to perform professional work in a versatile and creative manner.

Adherence to Deadlines – Consistently meets deadlines set for production and for submission of administrative information.

Response Rates – Maintains satisfactory response rates as defined by project expectations with consideration given to unusual site-specific circumstances beyond the control of the field interviewer.

Communication – Keeps supervisor adequately informed of progress and problems. Communicates effectively orally and in writing.

Productivity – Completes expected quantities of work. Plans and organizes workload effectively.

Quality of Work – Completes work accurately, with a minimum number of data quality errors. Follows project protocols and procedures.

Dependability – Performs required jobs well with a minimum of supervision. Consistently works the expected number of hours and keeps appointments for conference calls and interviews.

Conversion Skills – Demonstrates satisfactory skills in converting hesitant and uncooperative respondents.

Judgment – Makes sound decisions in terms of weighing facts, past practice and theory where applicable, especially in the absence of detailed instructions or in emergency situations.

Cost Efficiency – Completes assignments efficiently to keep field costs, wages, and expenses to a minimum. Note: This criterion will be evaluated considering unusual field circumstances beyond the field interviewer's control.

REVIEW OF CHAPTER 2

Your Job as a Field Interviewer

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- Successful field interviewers on the NSDUH work efficiently and cost-effectively without sacrificing response rates or high data quality.
- Screening and interviewing on the NSDUH is a multi-step process which demands that you follow all procedures and protocols.
- Your responsibilities on this study are substantial. They cover such diverse tasks as locating your assignment area, contacting the correct sample dwelling units, obtaining resident participation, and transmitting information to RTI. The first component of your responsibilities is to read this manual carefully and complete your home study exercises prior to training.
- It is a requirement of this job that you be available to work at least 20-25 productive hours (non-travel or administrative) each week during field data collection periods. You must be available and willing to work on week nights and weekends.
- The planning and implementation of the NSDUH survey is based on the highest ethical standards. It is your job to protect the rights and confidentiality of our survey respondents.

QUESTIONS TO ASK YOURSELF

1. What is the first step of the screening and interview process?

2. List five of your job responsibilities.

3. How many hours are you expected to commit to this project each week?

4. What are the four basic rights of survey respondents?

5. Answer these true/false questions:

   T F During the screening, you will ask the last name of the respondent.

   T F If a respondent has already started the interview, he/she is not allowed to refuse to answer an individual question.

   T F I am not allowed to interview a youth respondent (aged 12-17) before I have obtained consent from a parent or guardian.

3. LOCATING SAMPLE DWELLING UNITS

3.1 Introduction

RTI statisticians are responsible for selecting the sample dwelling units (SDUs) to be contacted. For the NSDUH, approximately 180,000 SDUs are selected throughout the entire United States each year.

3.1.1 Definitions

What is a Dwelling Unit, or DU? If you think of all types of places a person could reside, those places are called *dwelling units*. Examples of dwelling units include the most common type, housing units (apartments, homes, trailers, condos), as well as individual units within group quarters structures (college dormitories, homeless shelters, convents). Other types of homes which are **not** included in the NSDUH sample are military housing (barracks, ships), various residential institutions (nursing homes, prisons), and some transient living quarters (hospitals, overnight hotels).

For the purposes of the NSDUH, we define dwelling units as housing units *and* group quarters units. When we refer to a DU, the procedure being discussed applies to **both** housing units and group quarters units. Any procedures that apply only to one type of unit will be clearly specified. Brief definitions of the three terms follow:

- **dwelling units** (DUs) - a generic term referring to both housing units and group quarters units
- **housing units** (HUs) - a group of rooms or a single room occupied or intended for occupancy as separate living quarters
- **group quarters units** (GQUs) - generally, any single living unit within a group quarters structure in which ten or more unrelated persons reside.

More detailed definitions of HUs and GQUs are provided in ***Sections 3.4.1*** and ***3.4.2***.

3.1.2 Overview of the Sampling Process

An area probability sample design has been used to select the sample dwelling units needed for the NSDUH. Land areas and dwelling units were scientifically selected using Census Bureau estimates of population and housing unit counts to ensure the sample represents the entire United States' population.

For NSDUH, all of the 50 states and the District of Columbia have been divided into State Sampling Regions, or SS Regions, with 48 regions in each of the eight most populated states (CA, TX, FL, NY, OH, PA, MI, IL), and 12 regions in each of the remaining 42 states and the District of Columbia, for a total of 900 SS Regions. In each region, eight segments (with boundaries usually defined by surface features such as streets, railroad tracks, and rivers) were selected, two segments for each of the four quarterly data collection periods.

Once the segments were defined, listers were assigned to Count and List the dwelling units in each of the 7,200 segments. The units were recorded on the List of Dwelling Units and, if applicable, the Group Quarters Listing Form. Information on these forms identifies an address or description for each

housing unit and group quarters unit located within the boundaries of the segment. From these listings, specific HUs and GQUs have been selected for each segment. These selected HUs and GQUs are called sample dwelling units (SDUs) and make up your assignment in the segments you will be working.

As an FI, you are responsible for the final steps of the sampling process:

1. inspecting your segment materials
2. locating the segment and the designated SDUs
3. determining that each SDU is either a true HU or GQU
4. checking for missed HUs and GQUs.

These steps are explained in detail in this chapter.

3.2 Inspecting the Segment Materials

For each segment in your assignment, you will receive a packet of materials for the segment. This packet contains the materials listed in ***Exhibit 3.1***.

Each quarter, each SS Region will have two segments. The segment number found on all the segment materials identifies the segment. The quarter in which the segment is to be worked is indicated on the computer generated list. Since NSDUH is implemented on a quarterly basis, each SDU must be contacted in the quarter for which it was selected.

Before any field work is begun, you will need to review all items in the segment packet to familiarize yourself with the location of the segment and the characteristics of the area. During field work, continually check the maps and materials to be sure you have located the correct selected dwelling units. When field work is completed, check with your FS for detailed directions on what to do with the segment materials. Your FS may request that you send the materials to him/her, or may instruct you to properly destroy any remaining segment materials. Any items containing SDU addresses must be shredded (then either recycle or trash the shredded documents), burned or otherwise destroyed to prevent the possible transfer of this confidential information. Other segment materials not containing addresses or other confidential information may be thrown away or recycled.

Exhibit 3.1 Contents of Segment Materials Packet

MAP SET

• County Locator Map (***Exhibit 3.2***)	…is used to determine the general location of the segment within the county; the census tract(s) containing the segment will be shaded. (A census tract is a land area with a population of about 4,000 that has identifiable boundaries on all sides.)
• Census Tract Locator Map (***Exhibit 3.3***)	…shows the location of that tract(s) within the county, as well as the segment's location. Specific roads (boundaries of the tract(s)) are labeled to assist in locating the general "neighborhood."
• Segment Locator Map (***Exhibit 3.4***)	…shows the actual segment boundaries within the tract(s); again, the segment is shaded. (The meaning of the symbols used for designating the different types of segment boundaries will be found in the legend of the Segment Locator Map only.)
• Page Index Map (***Exhibit 3.5***)	…shows, for segments with multiple map pages, how the various Block Listing Maps fit together.
• Block Listing Map(s) (***Exhibit 3.6***)	…used to locate the actual dwelling units in the segment which have been selected for screening and possibly interviewing.
• Zoom Map (***Exhibit 3.7***)	…shows an enlarged area of part of the segment. If certain streets are too close together on the map to allow the lister to accurately record the location of each SDU, a Zoom map enlarges the area so the precise location can be noted. There may be one or more pages of Zoom maps, labeled Zoom 1 of 3, Zoom 2 of 3, etc. The lister may have hand-drawn an enlargement sketch of a specific area as well.

COMPUTER GENERATED FORM LISTING ALL SDUs FOR THE SEGMENT

• Selected DU List (***Exhibit 3.8***)	…lists all selected HUs and GQUs as well as each next listed line in the segment. (Selected lines are shaded, the next listed lines are unshaded.)

COPIES OF ORIGINAL COUNTING AND LISTING MATERIALS

• List of Dwelling Units (***Exhibit 3.9***)	…photocopy of original handwritten list of DU addresses and/or descriptions.
• Segment Information Sheet (***Exhibit 3.10***)	…contains helpful comments about the segment made at the time of listing.
• Screening/Interviewing Pre-Check Form (***Exhibit 3.11***)	…information, included if necessary, about possible segment issues discovered during the editing process.
• Group Quarters Listing Form (***Exhibit 3.12***)	…photocopy of original list of up to 30 group quarters units.
• Group Quarters Continuation Listing Form (***Exhibit 3.13***)	…continuation for a structure with more than 30 GQUs (if necessary).
• Within-Structure Floor Sketch Sheet (***Exhibit 3.14***)	…sketch, included if necessary, showing layout that corresponds to the way the GQUs were listed.

Exhibit 3.2 County Locator Map

Shows the general location of the segment within the county; the census tract(s) containing the segment is shaded.

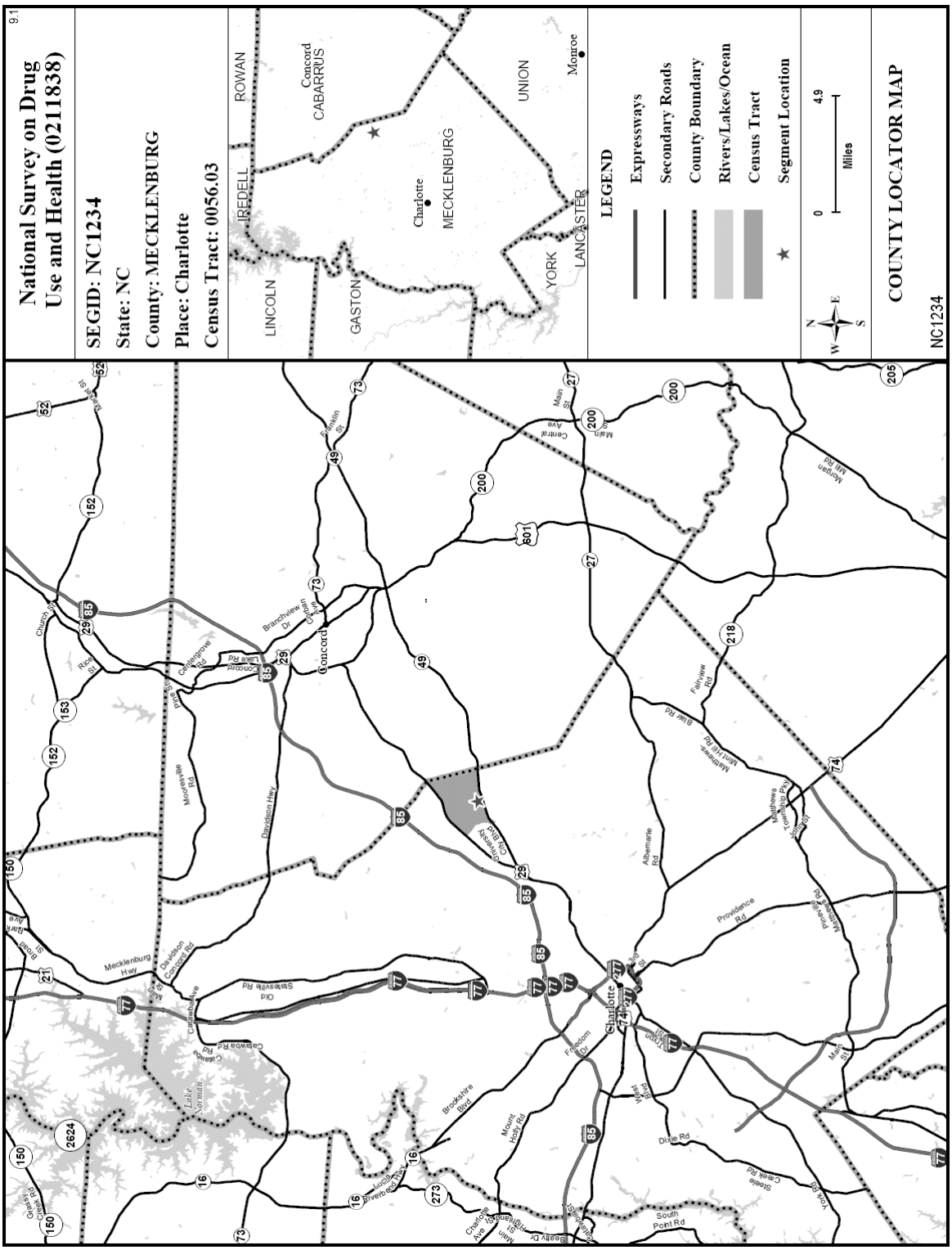


Exhibit 3.3 Census Tract Locator Map

Shows the location of the census tract(s) within the county, as well as the segment's location.

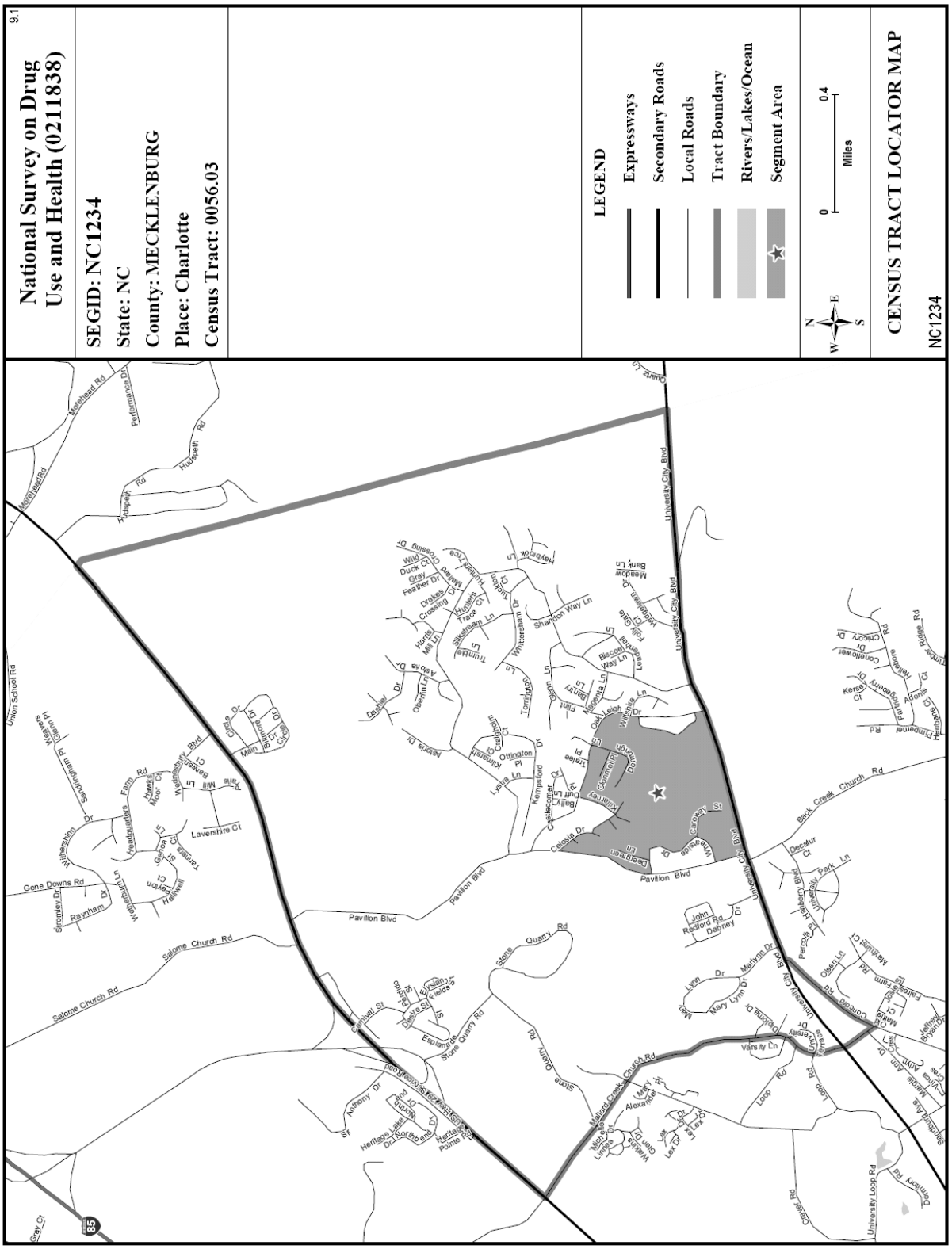

9.1
National Survey on Drug Use and Health (0211838)
SEGID: NC1234
State: NC
County: MECKLENBURG
Place: Charlotte
Census Tract: 0056.03
LEGEND
Expressways
Secondary Roads
Local Roads
Tract Boundary
Rivers/Lakes/Ocean
Segment Area
0
0.4
Miles
N
E
S
W
CENSUS TRACT LOCATOR MAP
NC1234
Pavilion Blvd
Salome Church Rd
Back Creek Church Rd
University City Blvd
Union School Rd
Gene Downs Rd
Stone Quarry Rd
Mallard Creek Church Rd
University Loop Rd
Loop Rd
Varsity Ln
Pavilion Blvd
Cedrela Dr
Carpinus Dr
Wheatsheaf Ln
Carpinus St
Decatur Ct
Decatur Dr
Pavilion Blvd
John Redford Rd
Dabney Dr
Martynn Dr
Mary Lynn Dr
Lynn Dr
Varsity Ln
Loop Rd
Mallard Creek Church Rd
Stone Quarry Rd
Explanade
Cardwell St
Salome Church Rd
Anthony Dr
Heritage Lake Dr
Norma Rd
Heritage Pointe Rd
Gap Ct
Clayton Rd
University Loop Rd
Gene Downs Rd
Raytham Dr
Stoneley Dr
Wentworth Ln
Hallwell Dr
Tanore Ct
Gerica St
Laversham Ct
Whitesham Dr
Sandringham Pl
Weybridge Blvd
Farm Rd
Hawks Moor Ct
Mill Ln
Main St
Circle Dr
Blenheim Dr
Ct
Pl
Union School Rd
Motsinger Rd
Performance Dr
Motorsport Rd
Hudspeth Rd
Quarry Ln
University City Blvd
Meadow Bank Ln
Hedgestream Dr
Shannon Way Ln
Whitesham Dr
Harris Mill Ln
Silkstone Ln
Thrush Ln
Drakes Crossing Dr
Wild Duck Ct
Grey Feather Dr
Mallard Creek Trace Dr
Hartsook Ln
Biscoe Way Ln
Terrington Ln
Flint Ridge Ln
Oak Leigh Dr
Wheatsheaf Ln
Carpinus Dr
Carpinus St
Cedrela Dr
Tarlee Pl
Bury Ct
Castlecomer Ct
Kempsford Dr
Lyneta Ln
Kilmanagh Ct
Ottington Dr
Ottington Pl
Melvia Dr
Chalmeta Ln
Asbora Dr
Deerfield Dr
Terrington Ln
Flint Ridge Ln
Biscoe Way Ln
Wheatsheaf Ln
Oak Leigh Dr
Wheatsheaf Ln
Carpinus St
Carpinus Dr
Cedrela Dr
Tarlee Pl
Bury Ct
Castlecomer Ct
Kempsford Dr
Lyneta Ln
Kilmanagh Ct
Ottington Dr
Ottington Pl
Melvia Dr
Chalmeta Ln
Asbora Dr
Deerfield Dr
Cherrytree Rd
Plumtree Rd
Kersey Ct
Strawberry Ct
Tamberry Ct
Cranberry Ct
Cherrytree Rd
Plumtree Rd
Kersey Ct
Strawberry Ct
Tamberry Ct
Cranberry Ct
Decatur Ct
Decatur Dr
Pavilion Blvd
John Redford Rd
Dabney Dr
Martynn Dr
Mary Lynn Dr
Lynn Dr
Varsity Ln
Loop Rd
Mallard Creek Church Rd
Stone Quarry Rd
Explanade
Cardwell St
Salome Church Rd
Anthony Dr
Heritage Lake Dr
Norma Rd
Heritage Pointe Rd
Gap Ct
Clayton Rd
University Loop Rd
Gene Downs Rd
Raytham Dr
Stoneley Dr
Wentworth Ln
Hallwell Dr
Tanore Ct
Gerica St
Laversham Ct
Whitesham Dr
Sandringham Pl
Weybridge Blvd
Farm Rd
Hawks Moor Ct
Mill Ln
Main St
Circle Dr
Blenheim Dr
Ct
Pl
Union School Rd
Motsinger Rd
Performance Dr
Motorsport Rd
Hudspeth Rd
Quarry Ln
University City Blvd
Meadow Bank Ln
Hedgestream Dr
Shannon Way Ln
Whitesham Dr
Harris Mill Ln
Silkstone Ln
Thrush Ln
Drakes Crossing Dr
Wild Duck Ct
Grey Feather Dr
Mallard Creek Trace Dr
Hartsook Ln
Biscoe Way Ln
Terrington Ln
Flint Ridge Ln
Oak Leigh Dr
Wheatsheaf Ln
Carpinus Dr
Carpinus St
Cedrela Dr
Tarlee Pl
Bury Ct
Castlecomer Ct
Kempsford Dr
Lyneta Ln
Kilmanagh Ct
Ottington Dr
Ottington Pl
Melvia Dr
Chalmeta Ln
Asbora Dr
Deerfield Dr

Exhibit 3.4 Segment Locator Map

Shows the actual segment boundaries within the tract(s); again, the segment is shaded.

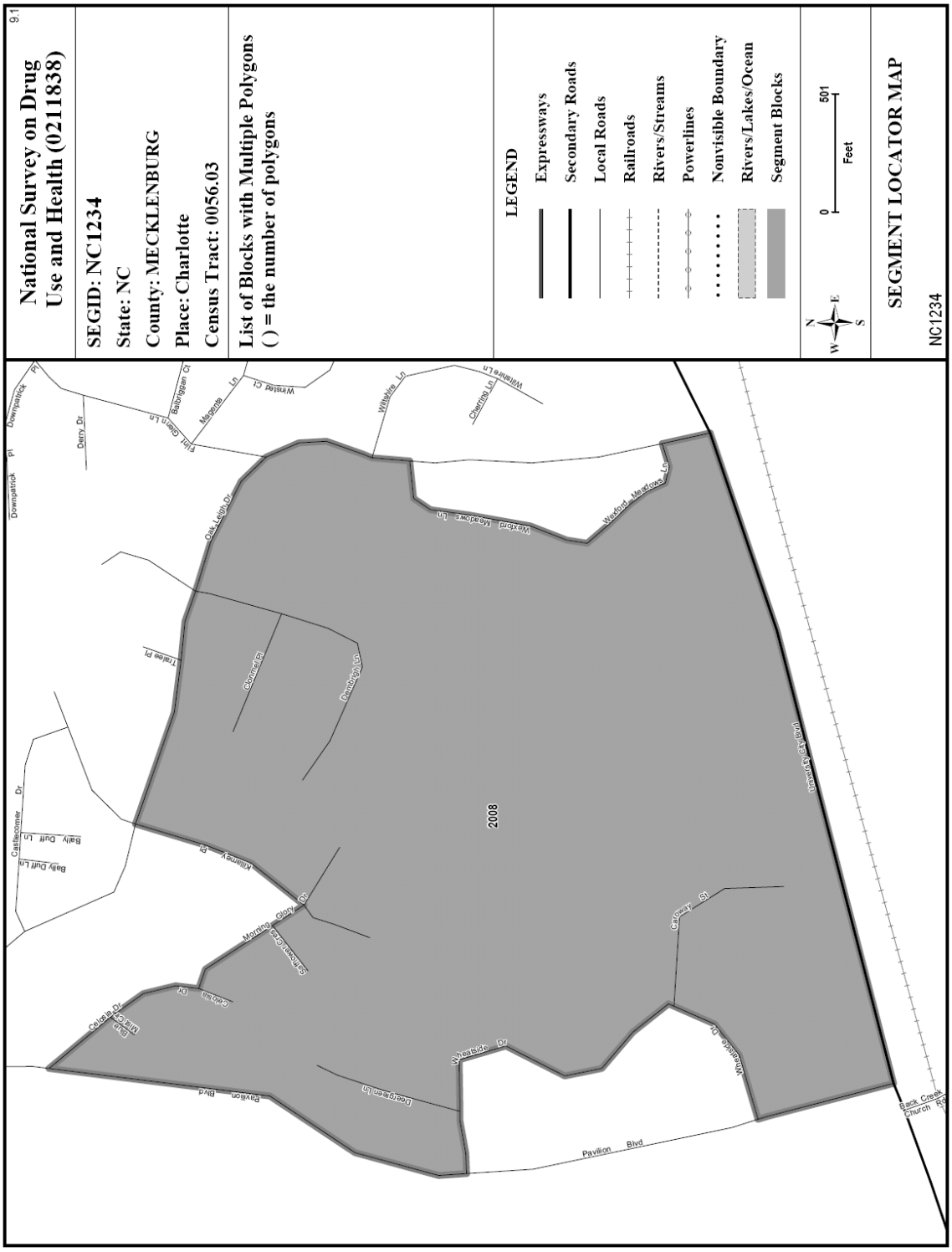


Exhibit 3.5 Page Index Map

For segments with multiple map pages, this index shows how the various Block Listing Maps fit together, like a puzzle, to cover the entire segment. The segment is the unshaded area. This manual example segment only has one Block Listing Map, so this Page Index Map only shows that one map.

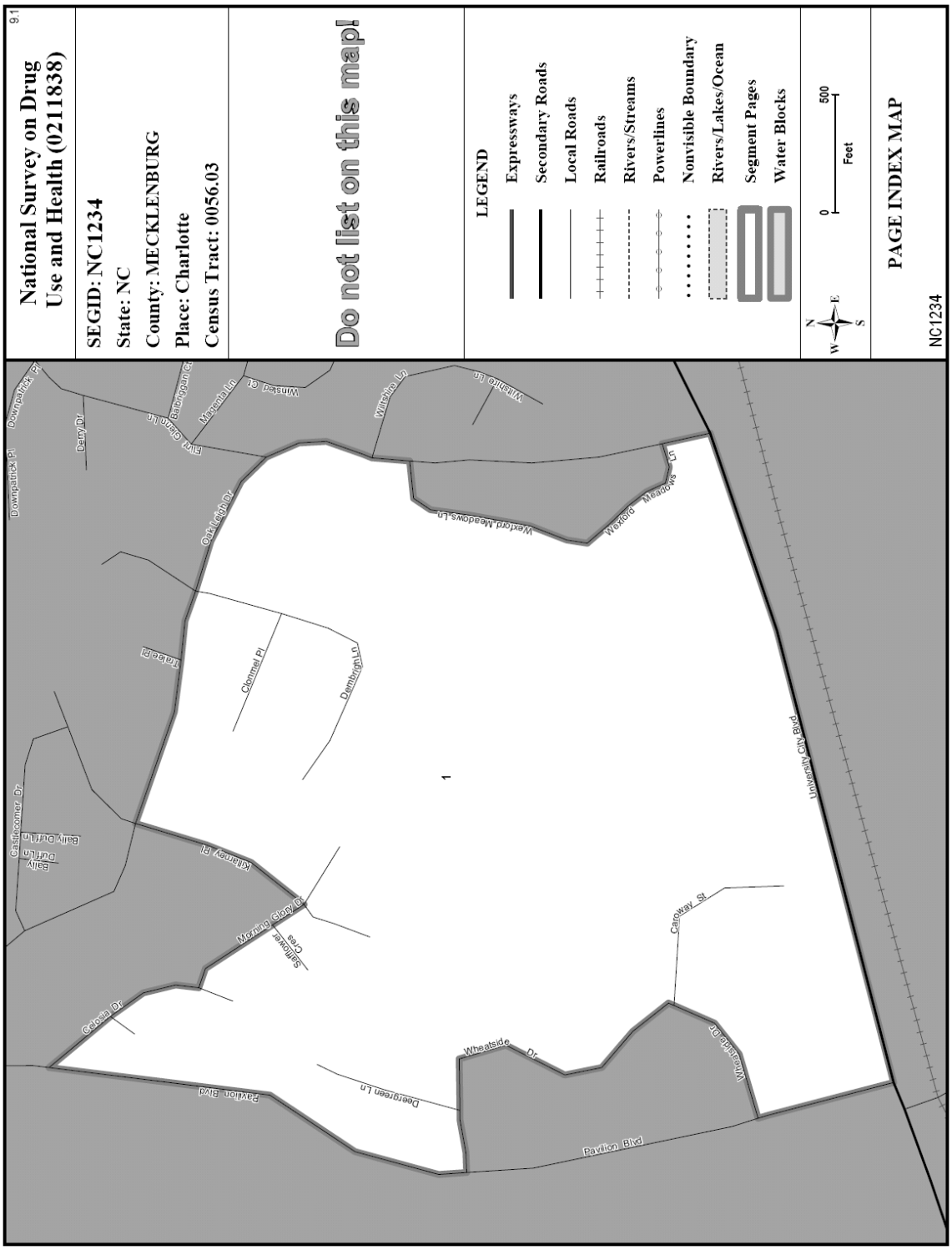


Exhibit 3.6 Block Listing Map

This critically important map shows the relative locations of the actual dwelling units in the segment which have been selected for screening and possibly interviewing. Each structure's line number is written beside each X (or circle or square). Since a Zoom map was used to list DUs 9-17, there is a dotted line on the map representing the area that is included on the Zoom map.

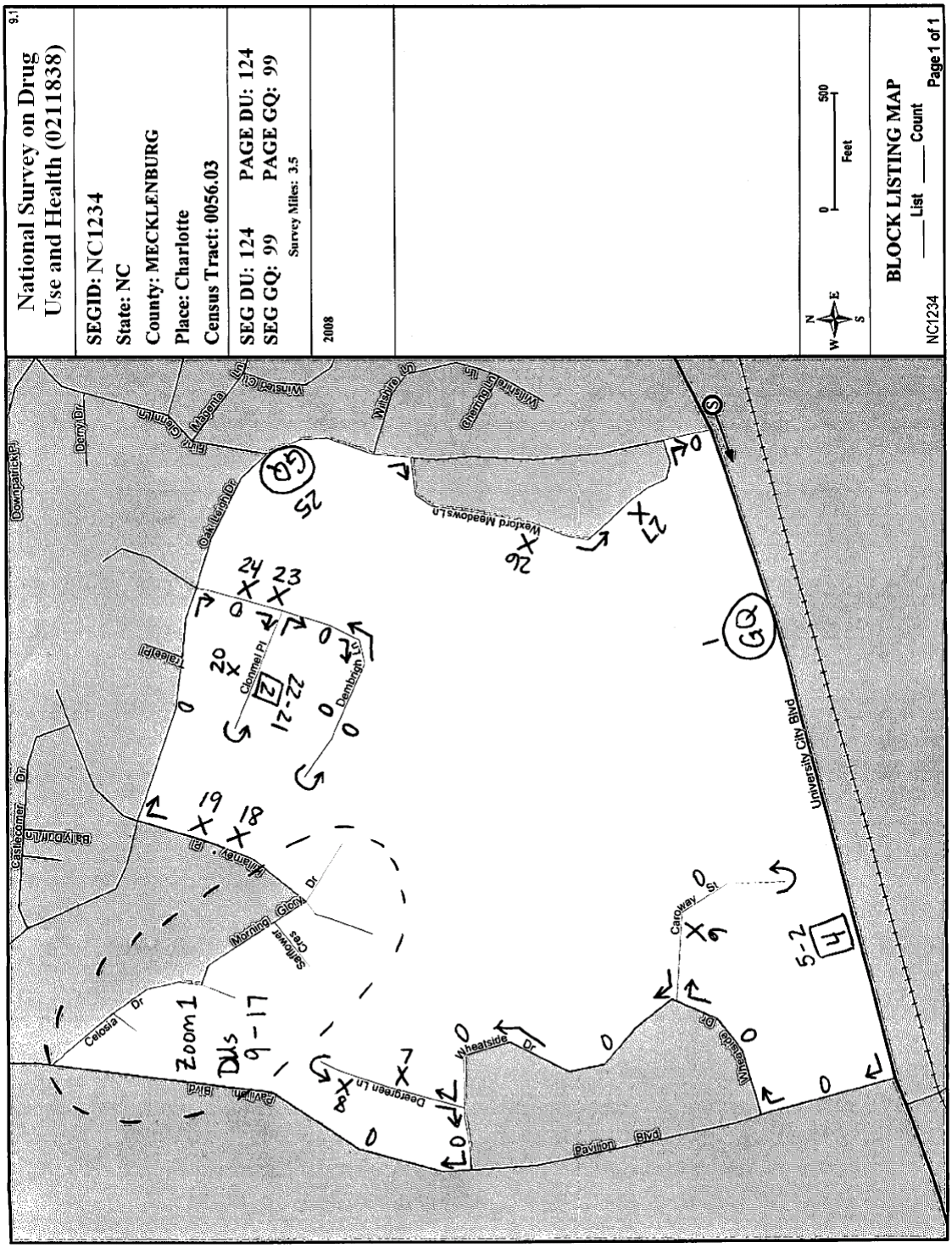


Exhibit 3.7 Zoom Map

Shows an enlarged area of part of the segment. If certain streets are too close together on the map to allow the lister to accurately record the location of each SDU, a Zoom map enlarges the area so the precise location can be noted. This Zoom Index Map shows the location of the specific Zoom map for the Block Listing Map.



Exhibit 3.7 Zoom Map (continued)

Shows an enlarged area of part of the segment, providing space to allow the lister to accurately record the location of each SDU.

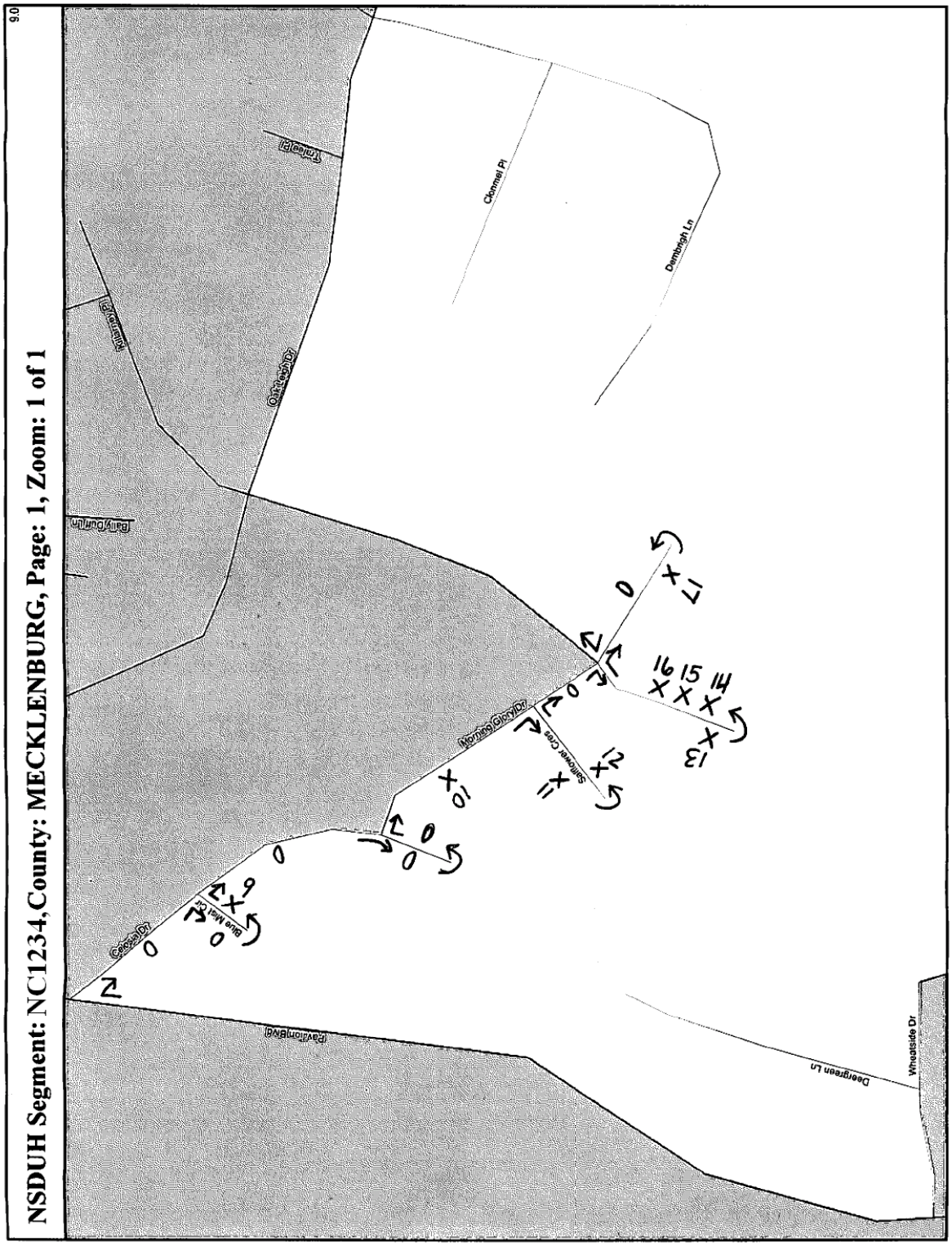


Exhibit 3.8 Selected DU List

Lists all selected HUs and GQUs as well as each next listed line in the segment. (Selected lines are shaded; the next listed lines are unshaded. The need for including these will be explained later in this chapter.)

2011 National Survey on Drug Use and Health
Selected Dwelling Unit List
Quarter 1

Segment ID NC1234 Date 06/17/2010
Number of Selected HUs: 7 Page 1 of 1
Number of Selected GQUs: 2
City: Charlotte State: NC Zip: 28262

Map Page	DU Type	DU Indicator and Line #	Street	Street Name/Description of DU	Apt #	GQ Structure #	Partition #
1	HU	0002	900	UNIVERSITY CIRCLE BLVD	A		1
1	HU	0003	900	UNIVERSITY CIRCLE BLVD	B		
1	HU	0008		DEERGREEN LN WH CPCD GAR			2
1	HU	0009		BLUE MIST CR GR ALUM TRLR			
1	HU	0012	1031	SAFFLOWER CRES			1
1	HU	0013	507	KILLARNEY PL			
1	HU	0014	506	KILLARNEY PL			1
1	HU	0015	504	KILLARNEY PL			
1	HU	0017	1426	MORNING GLORY DR			1
1	HU	0018	492	KILLARNEY PL			
1	HU	0020		CLONMEL PL 2 STY BRK			1
1	HU	0021	68	CLONMEL PL	A		
1	HU	0026	917	WEXFORD MEADOWS LN			2
1	HU	0027	925	WEXFORD MEADOWS LN			
1	SHELTER	B003	2104	OAK LEIGH DR	3	025	1
1	SHELTER	B004	2104	OAK LEIGH DR	4	025	
1	SHELTER	B019	2104	OAK LEIGH DR	19	025	3
1	SHELTER	B020	2104	OAK LEIGH DR	20	025	

Note: Selected Lines are Shaded Total Pages: 1

Exhibit 3.9 List of Dwelling Units

This photocopy of the original handwritten list of DU addresses and/or descriptions shows all units listed for the segment and complete descriptions for instances where the entire description would not fit on the Selected DU List.

Special Codes: *MB=Military Base Civilian Housing*
GQ=Group Quarters

Project 0211838
NSDUH

LIST OF DWELLING UNITS PAGE 1 of 2

SEGMENT ID: NC 1234 LISTED BY: Connie Lister

DATE LISTED: 5 / 02 / 2010 FI ID NO: 653749

1	1A	2	3	4	5	6	7
Line #	Spec Code	Office Use	Street No.	Street Name	Apt. No.	Dwelling Unit Description	Apt. Loc.
1	GQ		800	University Circle Blvd.		State University-Dorm	
2			900	↓	A		
3			↓	↓	B		
4			↓	↓	C		
5			↓	↓	D		
6			17	Caroway St.			
7			303	Deergreen Ln.			
8			—	↓		WH CPCD GAR	
9			—	Blue Mist Cr.		GR ALUM TRLR	
10			1200	Morning Glory Dr.			
11			1028	Safflower Cres.			
12			1031	↓			
13			507	Killarney Pl.			
14			506	↓			
15			504	↓			
16			502	↓			
17			1426	Morning Glory Dr.			
18			492	Killarney Pl.			
19			490	↓			
20			—	Clonmel Pl.		2STY BRK	

City/Town Charlotte ST NC ZIP 28262 DU 1 - 20

City/Town _____ ST _____ ZIP _____ DU ____ - ____

City/Town _____ ST _____ ZIP _____ DU ____ - ____

Checked by: _____

Exhibit 3.9 List of Dwelling Units (continued)

Special Codes: *MB=Military Base Civilian Housing*
GQ=Group Quarters

Project 0211838
NSDUH

LIST OF DWELLING UNITS PAGE 2 of 2

SEGMENT ID: NC 1234 LISTED BY: Connie Lister

DATE LISTED: 5 / 02 / 2010 FI ID NO: 653749

1	1A	2	3	4	5	6	7
Line #	Spec Code	Office Use	Street No.	Street Name	Apt. No.	Dwelling Unit Description	Apt. Loc.
21			68	Clonmel Pl.	A		
22			↓	↓	B		
23			712	Dembrigh Ln.			
24			710	↓			
25	GQ		2104	Oak Leigh Dr.		Salvation Army	
26			917	Wexford Meadows Ln.			
27			925	↓			
8							
9							
0							
1							
2							
3							
4							
5							
6							
7							
8							
9							
0							

City/Town Charlotte ST NC ZIP 28262 DU 21 - 27

City/Town _____ ST _____ ZIP _____ DU ____ - ____

City/Town _____ ST _____ ZIP _____ DU ____ - ____

Checked by: _____

Exhibit 3.10 Segment Information Sheet

Contains helpful comments about the segment made at the time of listing. As needed, you may add notes about the accuracy of the listing on the back of the form. If you do, please mark the box in Section C on the back of the form.

Project 0211838
NSDUH

SEGMENT INFORMATION SHEET

Segment ID NC1234 **Completed By** Connie Lister
Date 5/02/2010 **FI ID** 653749

Instructions

In Section A, describe characteristics of the segment that could be helpful to others who may visit or work in the area. In Section B, indicate potentially impassible roads, segment boundary problems, more notes on controlled access building information, group quarters information, and other pertinent information. In Section C, the FI should enter any notes regarding the accuracy of the listing.
Completion of this form is mandatory.

SECTION A

1) Directions to DU #1 in segment:
I-485 to Exit 33 for NC-49. Turn left on NC-49 N/University City Blvd.
0.4 miles to intersection with Oak Leigh Dr.

2) Parking/Road Conditions: public lot next to State Univ. Dorm

3) Income (Check All That Apply) ☐ High ☒ Middle ☐ Low

4) Race/Ethnicity (Check All That Apply)
☐ Hispanic ☐ Black ☒ White ☐ Other, specify: _____

5) Language Barrier ☐ Yes ☒ No ☐ Maybe Specify: _____

6) Type of Structures in segment: (Check All That Apply)
☒ Single ☒ Multi-Unit ☒ Group Quarters ☐ Other, specify: _____

7) Any Difficulty Gaining Access to DUs: ☐ Yes ☒ No

8) If YES to question #7, indicate type of barrier (Check All That Apply)
☐ Doorman ☐ Locked Gate/Locked Door ☐ Buzzer/Intercom
☐ Physical Barrier (e.g. washed out road), specify: _____
☐ Other, specify: _____

9) Manager's/Helpful Person's Name: n/a
Address: _____
Telephone: _____

10) Convenient Public Building: McDonald's on Pavilion Blvd.

11) Significant Intersection or Landmark in Segment (If Applicable): n/a

OVER

Exhibit 3.10 Segment Information Sheet (continued)

SEGMENT ID: NC1234

SECTION B – NOTES FROM LISTER TO FIELD INTERVIEWER

Pleasant, quiet area
Group Quarters are:
① Dorm - State University
② Salvation Army

SECTION C – NOTES PREPARED BY FIELD INTERVIEWER REGARDING ACCURACY OF LISTING

☐ YES - NOTES ADDED (PLEASE ADD NOTES BELOW) ☐ NO - NO NOTES ADDED

Exhibit 3.11 Screening and Interviewing Pre-Check

Information, included if necessary, about possible segment issues discovered during the editing process.

Segment ID NC 1234 **Date** 5/21/2010 **NSDUH**

SCREENING & INTERVIEWING PRE-CHECK

The checked items apply to this segment and could affect one or more DU(s) and/or SDU(s).

Please note that these items were observed during the edit process. If you need additional information, check with your supervisor before you begin working.

A. LIST

- ☐ 1. DU(s) listed as multi-unit structure but spotted on map as single DU: _____
- ☐ 2. Some DUs under construction at time of listing: _____
- ☐ 3. Mobile Home Park (MHP) listed sequentially. No lot #s available: _____
- ☐ 4. Fire #s or 911 numbers may be non-mailable addresses: _____
- ☐ 5. P.O. Box number only available address and no description provided: _____
- ☐ 6. Locked complex. Lister could not determine actual addresses or Path of Travel (POT): _____
- ☐ 7. Confirmed housing for the elderly/physically/mentally impaired - ineligible units may be listed: _____
- ☒ 8. GQU listed by beds or persons instead of rooms: Salvation Army Shelter
- ☐ 9. No contact person for GQU: _____
- ☐ 10. Could not determine multi City/ZIP breakdown: _____
- ☐ 11. City/Town name not provided by lister. City/Town determined by editor: _____
- ☐ 12. ZIP not provided by lister. ZIP determined by editor: _____
- ☐ 13. DU #'s on Block Listing Map do not correspond with DU #'s on Listing Form: _____

B. MAP

- ☐ 1. Odd and even street numbers spotted on same side of street: _____
- ☐ 2. Path of travel corrected for some DUs: _____
- ☐ 3. Subsegment in place. Maps *outside the selected subsegment area* are not included: _____
- ☐ 4. Some DUs may be outside segment boundary: _____

C. OTHER

- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____

Rev. 3/04

Exhibit 3.12 Group Quarters Listing Form

Photocopy of original list of up to 30 group quarters units.

(FOR OFFICE USE ONLY _____)

Project 0211838
NSDUH

GROUP QUARTERS LISTING FORM

GQ LINE NO. 25

(from List of Dwelling Units)

Segment ID: NC 1234 **Page** 1 **of** 1

Completed by: Connie Lister **FI ID** 653749

Date: 5, 02, 2010

INSTRUCTIONS: Complete this for each group quarter (GQ) identified and located within the sample segment. If more than 30 units, use a Group Quarters Continuation Listing Form. Submit completed forms with the original listing materials for the segment or as otherwise instructed.

A. IDENTIFICATION

1. Name of Group Quarters: Salvation Army

2. Address (Number and Street): 2104 Oak Leigh Dr.

3. City, State, and ZIP: Charlotte, NC 28262

4. Type of Group Quarters:
☐ College Dorm ☐ Boarding House
☒ Shelter ☐ Half-Way House
☐ Other _____

B. LISTING INFORMATION

1. Were any housing units listed that are associated with these group quarters:
☐ Yes (Complete B.2) ☒ No (Go to B.3)

2. Enter, from the List of Dwelling Units, the line number(s) of housing units associated with these group quarters:
_____ _____ _____ _____ _____

3. Manager, landlord, or other knowledgeable person to contact:
Name: John Smith
Title: Administrator
Telephone: (704) 555-8294

4. Check the units listed or to be listed:
☐ Rooms ☒ Beds ☐ Individuals

5. Enter the number of listing units in the GQ: _____
☒ Exact Number ☐ Approximate Number

C. LIST OF UNITS

Line No.	Name of Unit	No., Ltr., or Loc.	Line No.	Name of Unit	No., Ltr., or Loc.
1	Salvation Army Bed	1	16	Salvation Army Bed	16
2	↓	2	17	↓	17
3		3	18		18
4		4	19		19
5		5	20		20
6		6	21		21
7		7	22		22
8		8	23		23
9		9	24		24
10		10	25	↓	25
11		11	26		
12		12	27		
13		13	28		
14		14	29		
15	↓	15	30		

COMMENTS: ☐ (Enter on back of form.)

Exhibit 3.13 Group Quarters Continuation Listing Form

Continuation sheet for a structure with more than 30 GQUs (if necessary).

(FOR OFFICE USE ONLY _____)

Project 0211838
NSDUH

GROUP QUARTERS CONTINUATION LISTING FORM GQ LINE NO. _____ (from List of Dwelling Units)	Segment ID: _____ Page _____ of _____ Completed by: _____ FI ID _____ Date: _____/_____/_____

INSTRUCTIONS

Complete this form for each group quarter (GQ) that exceeds 30 listed units. Number the line numbers starting with line 31 until the end of the listing. Submit completed forms with the original listing materials for the segment or as otherwise instructed.

C. LIST OF UNITS

Line No.	Name of Unit	No. Ltr., or Loc.	Line No.	Name of Unit	No., Ltr., or Loc.
1			6		
2			7		
3			8		
4			9		
5			0		
6			1		
7			2		
8			3		
9			4		
0			5		
1			6		
2			7		
3			8		
4			9		
5			0		
6			1		
7			2		
8			3		
9			4		
0			5		
1			6		
2			7		
3			8		
4			9		
5			0		

COMMENTS: ☐ (Continue on back of form.)

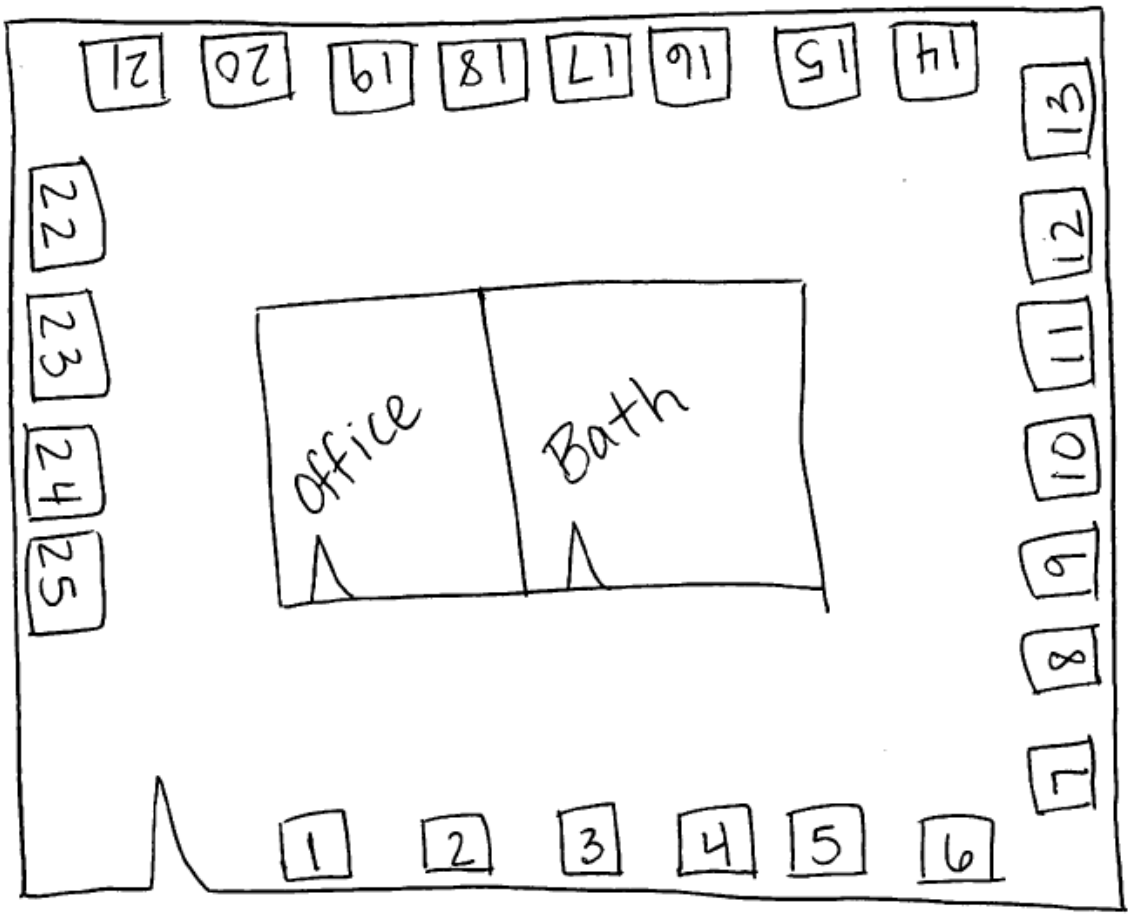
Exhibit 3.14 Within-Structure Floor Sketch Sheet

Sketch, included if necessary, showing the layout that corresponds to the way the GQUs were listed.

Project 0211838
NSDUH
Page: 1 of 1

WITHIN-STRUCTURE FLOOR SKETCH SHEET

DU Line No.	25 (From listing of Dwelling Units)	Segment ID:	NC1234
Floor	1 (one story)	Listed by:	Connie Lister
		FI ID #	653749
		Date Listed	5 / 02 / 2010



3.2.1 Locator Maps

The Locator Maps provide you with a general idea of the location of the segment by showing the surrounding geographic area. These maps, consisting of the County, Tract, and Segment Locator Maps, are produced using Census data. Local maps, such as county highway maps or city maps, are sometimes needed to help locate the segment. If necessary, the person listing the segment may have obtained such a map locally. If so, it will be in the segment packet and should be handled as instructed with all other segment materials when work has been completed.

3.2.2 Block Listing Map(s)

The Block Listing Map(s) show the precise location of each dwelling unit (DU) within the segment. This detailed map of the segment area was used by the individual who completed the listing to mark the exact location of each DU. Boundary and internal roads or streets and other significant features are clearly identified. Each segment may have one or more Block Listing Maps, depending upon the size and geographic make-up of the segment. The page numbers of the various maps are in the lower right hand corner. For segments with multiple Block Listing Maps, a Page Index Map is included in the segment packet which illustrates how the various maps fit together to form the segment.

When looking at the single page Block Listing Map illustrated in ***Exhibit 3.6***, note the different symbols:

- an "X" for a single HU structure
- a box □ with a number inside indicating the number of HUs contained in a multi-unit structure
- a circle O with "GQ" inside indicating group quarters.

Also note that the symbols on the sketch are cross-referenced to the List of Dwelling Units with the DU line number above the symbol. For example, an “X” with the number “3” above it on the Block Listing Map represents the location of the HU listed as line 3 of the List of Dwelling Units (***see Exhibit 3.9***); a circled “GQ” with the number "21" above it represents the location of the group quarters structure listed as line 21.

At times, it may have been difficult for the person who did the listing to fit several individual “Xs” on the map, especially if they are close together. In these cases, you may find a row of single family homes designated by two “Xs” connected by a bar with the corresponding line numbers printed above as in this example:

37 12
X——X

In some instances, the Block Listing Map(s) did not give the lister adequate room to accurately record the DU locations. If so, Zoom maps are usually included. A Zoom map is an enlargement of a crowded or illegible area of a Block Listing Map. By following the numbering sequence of DUs, you can determine where the lister switched from the Block map to the Zoom map. Sometimes a Zoom map was not used and the lister created a sketch on a Block Listing Map Enlargement Form. Throughout the rest of this chapter, a reference to a Block Listing Map implies the inclusion of any enlargement sketches or Zoom maps.

The Block Listing Map is an important aid in identifying sample dwelling units (SDUs). Become familiar with it before beginning work in your assigned segment. Then, carry it at all times for reference to ensure you are properly identifying SDUs. **Remember, the units selected for the study are chosen by their line number, NOT by their address.** The address merely helps describe the location of the selected unit. Since the locations of all units are marked on your Block Listing Map, think of it as a treasure map where "X marks the spot". Use your maps while working to be sure you have found the proper "X" and are contacting the correct SDU. If you find a discrepancy between the location and the address, contact your FS for further instructions.

3.2.3 Selected Dwelling Unit (DU) List

Although all DUs in a segment are listed on the original, handwritten List of Dwelling Units, only certain ones have been selected for you to contact for NSDUH screening. These selected DUs are printed on the Selected DU List (***Exhibit 3.8***) in the grey shaded lines. Note that also listed on this form is the address or description of each DU immediately following the selected DU (the need for this will be explained later in this chapter).

The Selected DU List provides a complete list of housing units and group quarters units selected in a segment. The SDUs are listed in numerical order by address or, if an address was not obvious, a description allowing you to identify the structure. On the computer-generated list, only a portion of the description may appear. In some instances, you may need to refer to the copy of the handwritten List of Dwelling Units (***Exhibit 3.9***) for a complete description. A list of abbreviations that might have been used in this description is shown in ***Exhibit 3.15***.

Exhibit 3.15 Counting and Listing Abbreviations

COLORS

BG	Beige
BK	Black
BL	Blue
BR	Brown
DK	Dark
GR	Grey
GN	Green
LT	Light
MED	Medium
OR	Orange
PK	Pink
RD	Red
TN	Tan
WH	White
YL	Yellow

ADDRESSES

ADD	Address
ALY	Alley
APT	Apartment
AVE	Avenue
BLK	Block
BLVD	Boulevard
BLDG	Building
CIR	Circle
CT	Court
DRWR	Drawer
DR	Drive
HWY	Highway
JCT	Junction
LN	Lane
PKWY	Parkway
PL	Place
PT	Point
PO	Post Office (Box)
RD	Road
RTE	Route
ST	Street
TER	Terrace

OTHER/GENERAL

ATT	Attached
BSMT	Basement
BUS	Business
CPT	Carport
CG	Cattleguard
CHNLNK	Chainlink
CHMY	Chimney
CHUR	Church
COL	Column
COR	Corner
CO	County
DB	Doorbell
DRMR	Dormer
DBL	Double
DRWY	Driveway
ELCMTR	Electric Motor
ENT	Entrance
EXT	Exit
EXTR	Exterior
FEN	Fence
FLR	Floor
FDN	Foundation
FRM	Frame
FR	From
GAR	Garage
GRD	Guard
GRV	Gravel
GRND	Ground
HSE	House
LG	Large
MBX	Mailbox
MID	Middle
MI	Mile
PKT	Picket
PCH	Porch
PVT	Private
RR	Railroad
RSTR	Restaurant
RM	Room
SCRN	Screen/Screened
SHK	Shake
SHUT	Shutters
SD	Side Door
STR	Store
STY	Story
TR	Trim
UC	Under Construction
VAC	Vacant
VER	Veranda
VEST	Vestibule
WIN	Window
WD	Wood

DIRECTION/ORIENTATION

ABV	Above
ACR	Across
ADJ	Adjacent
BCK	Back
BEH	Behind
BTWN	Between
BTM	Bottom
E	East
FRT	Front
L	Left
N	North
NE	Northeast
NW	Northwest
RE	Rear
R	Right
S	South
SE	Southeast
SW	Southwest
W	West

STRUCTURE/MATERIALS

ALUM	Aluminum
BRK	Brick
BRNSTN	Brownstone
CDR	Cedar
CBLK	Cement Block
CEM	Cement
LOG	Log
RCK	Rock
SDG	Siding
STN	Stone
STU	Stucco
VNY	Vinyl

ARCHITECTURE/BUILDING STYLE

APT	Apartment
CPCD	Cape Cod
CLNL	Colonial
CONDO	Condominium
CNTP	Contemporary
DBLWID	Doublewide
DPX	Duplex
RCH	Ranch
RF	Roof
SPL	Split Level
TRAD	Traditional
TRLR	Trailer
TRANS	Transitional

TYPES OF ROOFS

FLT	Flat
GBL	Gable
GMBR	Gambrel
HIP	Hip
MNSD	Mansard
SHGL	Shingle
SPNTL	Spanish Tile
TIN	Tin

Keep in mind the Selected DU List contains all selected DUs for the quarter. Sometimes assigned cases are released in batches or partitions, so that not all SDUs on the Selected DU List are available to be worked. The partition to which each SDU is assigned is indicated in the last column on the Selected DU List. When additional lines do become available, your FS will tell you and you will receive the lines on your iPAQ via a transmission.

If any group quarters were listed in a segment, a copy of the Group Quarters Listing Form is included in the packet of segment materials. The Group Quarters Continuation Listing Form is included if the group quarters structure contained more than 30 units. The Within-Structure Floor Sketch Sheet will be included only if the description of the unit on the listing form is not sufficient to locate it.

Because screening for the NSDUH is electronic, you will have no need for a paper Record of Calls or any type of contact worksheet. While visiting an SDU, if you need to make any notes that you cannot enter into the iPAQ, you may do so on your segment materials.

3.3 Locating the Segment and the Designated SDUs

The general location of a segment and the most efficient route of travel to reach the area should be determined during your careful, advance review of the segment materials. When you arrive at the segment, first double check that you have identified and located the precise boundaries of the area, that the proper area was listed, and that it was listed correctly. (For segments covering large geographic areas, first talk to your FS about your initial trip.) Referring to the locator maps, Block Listing Map, and Selected DU List, check to be sure that you are in the exact area and that the lister correctly identified the area.

If you determine that the wrong area has been listed, if there are serious omissions or inaccuracies in the listing, or if there are significant changes to the area (such as a new subdivision or apartment building), do not proceed any further. Call your FS immediately.

3.3.1 Housing Units

Once you are in the exact segment location, you will begin identifying and contacting only designated SDUs. In most cases, you will be able to find them with little difficulty by using the Block Listing Map and the Selected DU List. In some cases, however, you will have to check more thoroughly and refer back to the handwritten List of Dwelling Units. For example, if you were using the map and list shown in ***Exhibits 3.6*** and ***3.8***:

- DU #8 -- White cape cod house with a garage on Deergreen Ln. When you arrive at the segment and locate Deergreen Ln, you do not see a white cape cod house. There is, however, a yellow cape cod house on Deergreen Ln, as indicated on the Block Listing Map. Upon talking to a neighbor, you find that the house located on Deergreen Ln across from HU#7 was recently painted and had been white. The yellow cape cod house is HU #8.
- DU #20 – Clonmel Pl, 2 STY BRK (2 story brick). When you arrive you find that the street number is not clearly indicated on the mail box. You note that the number visible on the house immediately across the street is 68. You are sure that the street is Clonmel

Pl. The HU has been clearly and easily located by reference to the Block Listing Map, Selected DU List, and visible street numbers associated with existing structures.

3.3.2 Group Quarters Units

In most instances, the dwelling unit you locate will be a housing unit, as in the examples above. However, you may encounter selected group quarters units as in ***Exhibit 3.8*** (GQU line numbers B003 and B019). In this example, first locate the Salvation Army Shelter, which is the structure that contains the selected GQUs, using the Block Listing Map ("GQ" circled) and the Selected DU List, which shows the structure as "025." This line number is the number above the circled "GQ," which is the line number of the shelter on the original List of Dwelling Units. This number connects the selected units with the shelter in which they are located. After locating the structure, you then use the description of the unit (bed numbers 3 and 19) in conjunction with the Within-Structure Floor Sketch Sheet (***Exhibit 3.14***) to identify the correct GQUs.

For some group quarters units, the description of the unit alone may be sufficient for locating it (e.g., dormitory rooms with unique room numbers). In such a situation, a Within-Structure Floor Sketch Sheet probably would not be included with your segment materials.

3.4 Determining the Status of Each SDU

Only structures qualifying as eligible HUs or GQUs should have been listed. Since the individual completing the listing was not required to enter structures or talk to residents, it is possible that some listed structures may not qualify as an HU or a GQU or may be ineligible. You must determine the status of each SDU at the time of your initial screening contact.

3.4.1 Housing Units

It is your responsibility to make sure that the assigned address is (1) a housing unit (as defined below), and (2) only one housing unit. If either of these conditions is not met, appropriate action must be taken.

For purposes of this study, a housing unit is a group of rooms or a single room occupied or intended for occupancy as separate living quarters. A more detailed definition is given in ***Exhibit 3.16***. Please refer to this more detailed definition before continuing to read.

Exhibit 3.16 Definition of a Housing Unit

A housing unit is a group of rooms or a single room occupied or intended for occupancy as separate living quarters; that is:

(1) The occupants do not live and eat with any other family group or persons residing in the structure

AND

(2) There is either direct access from the outside or through a common hall.

Direct access means there is an entrance **directly** from the outside of the structure to the living quarters, **or** an entrance to the living quarters from a hall, lobby, or vestibule used by the occupants of more than one unit. Living quarters do not have direct access if the only entrance is through a hall or room of another unit.

Occupancy: A housing unit may be occupied by a family group or an individual living alone. It may also be occupied by nine or fewer unrelated persons. (NOTE: If ten or more unrelated persons occupy the unit, it is considered "group quarters" and is not to be treated as a selected housing unit.)

The following list of types of HUs, although not exhaustive, includes most types you may encounter:

1. A **single house** or **townhouse** that is intended for occupancy by only one family.
2. A **flat**, **apartment**, or **condo** in a structure that includes other flats, apartments, or condos.
3. A **basement** or **attic apartment** in a structure that includes one or more other DUs.
4. **Vacant houses** or **apartments** that could be occupied.
5. **Hotel** or **motel rooms** that are (a) occupied by permanent guests, or (b) occupied by employees who have no permanent residence elsewhere.
6. **Residential units under construction**. (NOTE: The Selected DU List may include such a unit.)
7. **Rooms within group quarters or an institutional structure** (such as a fraternity house or nursing home) that serve as the permanent residence of a staff member or "house mother" and that satisfy the requirements of the HU definition.
8. An **apartment in a nonresidential structure** used as a permanent housing unit (e.g., an apartment in a warehouse that the caretaker uses for personal living quarters).
9. A **mobile home** or **trailer** used as the permanent residence of the occupants.
10. A **mobile home** or **trailer location** in a trailer lot or mobile home park in which numbered or otherwise specified spaces are rented. In such a mobile home park, each separate space allocated for one mobile home is listed as an HU, even if no mobile home currently occupies the space; that is, an empty space in a regular mobile home park is treated like a vacant apartment or house.
11. **Work camps occupied by seasonal workers** are considered permanent DUs if workers live there for half or more of the calendar quarter. Check the number of residents to see if the unit should be an HU or a GQU.
12. **Seasonal dwellings**, such as summer homes, resort cottages, or other part-time homes that could serve as residences.
13. **Rooming or boarding houses**. Determine the number of residents in the structure. If there are nine or fewer residents who are unrelated to each other, treat the structure as a housing unit. If there are ten or more unrelated persons, the structure is a group quarters. Group quarters are discussed later.

If you are ever in doubt as to how to classify a unit, contact your FS for clarification. Be sure to have your segment materials in front of you when you call your FS.

3.4.2 Group Quarters Units

In general, the definition of group quarters is **any single structure in which ten or more unrelated persons reside; also these persons must live and eat together, not separately**. This definition could apply to any type of structure including houses, apartments, barracks, and dormitories. The actual group quarters units would be the rooms, beds, or individuals used to define the composition of the structure.

For this study, there are several instances where a structure is classified as group quarters regardless of the number or relationship of occupants:

- college dormitories, sorority, and fraternity houses
- quarters for live-in staff members of institutions (who do not live in actual housing units within the structure)
- missions and shelters.

The following list of structures, although not exhaustive, includes many examples of group quarters you may encounter:

1. A **boarding house** is a structure in which living space is rented to residents (boarders) who are served regular meals on the premises. Meals are furnished as part of the rental fee, which is usually paid on a weekly or monthly basis. Variations of boarding houses include:

   A **rooming house** is a structure in which living space is rented to residents (roomers) who may receive maid or linen service in addition to a room. Meals are not provided regularly.

   A **combination boarding and rooming house** is an establishment which serves meals to some resident persons (boarders) but only rents to others (roomers). The same listing rules apply to this unit as to boarding houses and rooming houses.

2. **Communes, "Families," "Communities," etc.** are a group of unrelated individuals who live together and pool their resources but who have no regular arrangements for contributing to expenses. Such groups may call themselves a family, a commune, an establishment, a community, a farm, a colony, etc.

3. **Convents, Monasteries, and Other Religious Residences** are considered group quarters if there are ten or more unrelated persons residing in them.

4. **Facilities for Housing Students** like fraternity houses, sorority houses, or student dormitories may be in the sample. *Eligible individuals in such student housing facilities are always considered residents of group quarters, regardless of the number or relationship of the occupants*. Please note that campus housing for married students and their families are considered housing units, not GQUs, since the occupants are related to each other.

   The above examples apply to college age students. Should you encounter a boarding school with students under the age of 18 in your assignment, you must contact your FS for the appropriate procedures.

5. **Missions or Shelters** and other structures of this type may contain living quarters for individuals who, although somewhat transient, have no other "permanent" place of residence. *Missions or shelters are considered group quarters regardless of the number or relationship of the occupants*.

6. **Halfway Houses** are places occupied by persons such as former prisoners, mental patients, or alcohol or drug addicts. The occupants may be there on either a voluntary or involuntary basis.

7. **Institutional Staff Quarters** should be considered as part of the group quarters, regardless of the number or relationship of the occupants. *Residential quarters for caretakers, administrators, or other personnel that are permanent dwellings according to the housing unit definition, should be considered HUs*.

8. **Migratory Workers' Camp or Logging Camp** consists of living quarters, or sites for living quarters, for ten or more seasonal or temporary workers engaged in agricultural activities (including related food processing activities) or in a logging operation. Such living quarters may be temporary in nature and may consist of structures, mobile homes (or sites), tents (or tent sites), vehicles, or a combination of types of living quarters.

9. **Nonmilitary Barracks and Bunkhouses** are structures that provide living space for a number of people, either in large general areas or in small sleeping areas or rooms.

10. **Retirement Residences and Independent Group Residences for the Elderly, Handicapped, and Functionally Disabled** are also included in the sample. These are non-institutional residences, such as foster homes and board and care homes, that provide a home environment for the elderly, handicapped, and functionally disabled as an alternative to institutional care. The occupants must own or rent their living quarters. Meals may or may not be provided. Some supportive services are offered, such as supervision of self-administered medication and diet, assistance with housekeeping, and arrangement of transportation and recreational activities. If there are ten or more unrelated persons residing in these units, they should be considered a group quarters. Services do not include nursing care, medical care, or psychiatric care by staff members; if these services are included, it must be considered an institution, thus making it ineligible.

If you are ever in doubt as to how to classify a unit, contact your FS for clarification. Be sure to have your segment materials in front of you when you call your FS.

3.4.3 Units That Do Not Qualify as Dwelling Units

Certain types of buildings should not have been listed. Those identified below, with the exception of permanent HUs or GQUs that may exist within them, do not qualify as DUs for the NSDUH. If you encounter such units included as SDUs in your assignment, classify them with the appropriate code during screening.

- **Specified Institutional Units**:
  - correctional institutions
  - mental institutions
  - homes for mentally and physically handicapped children
  - nursing, convalescent, and rest homes
  - hospitals
  - other institutions that provide care for residents or inmates.
- **Military Barracks** on a military base.
- **Unoccupied Structures** that have been condemned or are being demolished.
- **Places of Business**, such as stores, factories, etc. (Be sure, however, to look for hard-to-find living quarters behind, above, or inside such places.)
- **Certain Transient Living Units**, such as transient hotels and motels for overnight lodging (such as Holiday Inns, Red Roof Inns, etc).

Exhibit 3.17 provides a chart identifying categories of dwelling units and their respective eligibility for NSDUH.

Exhibit 3.17 Dwelling Unit Eligibility for NSDUH

DWELLING UNITS TYPES			Is This Unit Eligible for NSDUH ?
Housing Units (HUs)			
• Civilian (e.g., house, apartment, condo, townhouse, etc.)			YES
• Military (e.g., family housing, civilian employee housing, etc.)			YES
Group Quarters Units (GQUs)			
•	Non-Institutional	Civilian (e.g., rooming/boarding houses, dorms, fraternity or sorority houses, transient shelters, halfway houses, migratory workers' camps, etc.)	YES
		Military (e.g., barracks, ships, etc.)	NO
•	Institutional	Civilian (e.g., correctional institutions, nursing homes, mental institutions, etc.)	NO
		Military (e.g., VA Hospitals, military prisons, etc.)	NO
Certain Transient Living Units			
• Civilian (e.g., General hospitals, transient [overnight] hotels and motels, etc.)			NO
• Military (e.g., Military barracks, transient visitor housing, etc.)			NO

3.5 Checking for Missed Dwelling Units

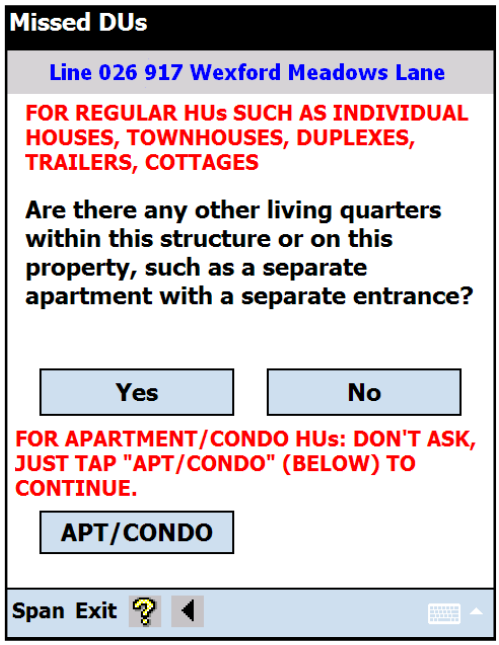
Although those involved in completing the listing made all reasonable efforts to be sure every dwelling unit in a segment was listed, the lists may not always be completely accurate. There may have been some dwelling units the lister could not observe because of their location, mobile homes may have been moved into the segment, a new house may have been built, or what appeared on observation to be one type of unit may be entirely different when one is inside the structure. Every dwelling unit must have a chance of being selected for interview. However, if it was not listed, it has no chance of being selected for an interview unless the dwelling unit is discovered by the interviewer. The missed dwelling unit procedures, which you must follow carefully, are designed to give that opportunity to those dwelling units that should have been listed but were not.

This task is particularly important, and the procedures for checking for missed dwelling units are fairly simple. The rules for checking are slightly different depending on whether the listed unit is a:

- group quarters unit in a group quarters structure (dormitories, shelters, boarding houses),
- housing unit in an apartment building or condominium structure, or
- regular housing unit not included above (such as a single-family home, townhouse, trailer, or duplex).

You are not required to check the entire segment for missed dwelling units. **The procedure only requires that you implement the check for missed DUs for every selected dwelling unit in the segment.** Therefore, when you are conducting screening, implement this check for each SDU you visit.

NOTE: Although you are only required to check for missed DUs for each SDU, you should not ignore any significant listing problems. For example, if you discover an apartment building or a new subdivision that was not listed, call your FS.



3.5.1 Missed DUs in Regular Housing Units (e.g., houses, townhouses, trailers)

To check for a missed dwelling unit, first check for missed DUs within the actual housing unit. One of the first questions displayed during the screening process requires that you ask at every regular HU that is not a condo or in an apartment building if there are any additional living quarters in the unit. Examples of the types of missed DUs you may find within an individual SDU are:

- a basement or upstairs apartment built in a structure that was originally a single-family dwelling, with an outside entrance in the rear of the structure that the lister could not see
- an apartment with an entrance in the rear of a large townhouse that the lister missed
- an additional unit behind what looks from the front to be a standard duplex.

Ask this question for regular housing unit structures such as single-family homes, trailers, cottages, townhomes, and duplexes. Although this includes both individual structures and multi-unit structures (townhouses/duplexes), there is a stronger likelihood of missed units in structures like townhomes so the question must be asked. Housing units that are in apartment and condominium buildings are handled differently, as are all structures with selected group quarters units (see ***Sections 3.5.2*** and ***3.5.3***).

The other missed DU check is to check the geographic interval between the SDU and the next listed dwelling unit to determine if there are any unlisted DUs. The geographic interval check **must** be performed on the first visit to the SDU. In a street of single family homes, you would check the property of the selected DU and the space between that unit and the next listed unit. Look for attic, barn or garage apartments, trailers or mobile homes, and roads or driveways not marked on your map that exist between the SDU and the next unit the lister recorded. This is the main reason why the Selected DU List shows the selected lines plus the next listed line. The phrase "next listed line" can refer to two situations:

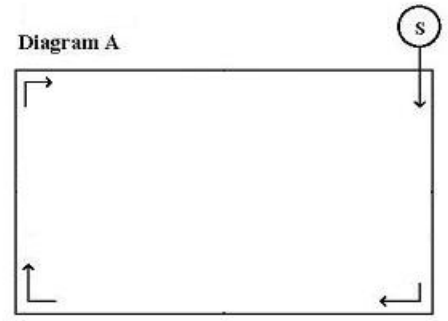
- Usually, the next listed line is the line number of the unit that follows the SDU. For example, if you contact the SDU at line number 156, the next listed line is 157.
- Consider a segment with multiple map pages. During the listing stage, the lister completed the work one map page at a time. Your search for missed DUs must also progress one map page at a time. If an SDU is the last listed line on a map page, the "next listed" line is the next one listed on that map page—which is simply the first line listed on that map page thus closing the 'circle' on that page.

  In other words, for cases where you are contacting an SDU that is the last one listed on a map page, the next line listed is the next one on the page (the first one), not the next listed line numerically. The geographic interval is then defined as the area between the last line on the map page and the first line on the map page.

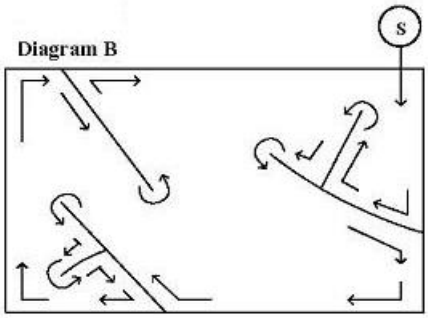
Normally, the geographic interval between an SDU and the next listed dwelling unit is a short distance. In fact, for townhouses, it often is a few feet between doors. Sometimes in rural segments, however, the DUs may be far apart. It is important that you follow the travel pattern used by the original lister in checking the interval. This pattern should be indicated by directional arrows drawn on the map; if not, determine the pattern from the sequence of dwelling unit numbers. The lister should have followed a prescribed order (see ***Exhibit 3.18***), traveling around the segment in a clockwise direction, making each possible right turn at internal streets or roads and listing dwelling units as they appeared on the lister's right. However, regardless of whether or not the lister followed the prescribed order of listing, follow the same travel pattern the lister used.

There is a special situation which you may encounter infrequently in some of the rural areas with large segments and many map pages. If an SDU is the last one listed on a map page and the map page that follows it has no DUs listed, you must check not only the geographic interval between the last listed DU and the next listed line (which is the first line listed on that map page), but you must also check the entire zero DU map page that follows and any subsequent zero-map pages. This ensures complete coverage and improves the quality of the NSDUH data by enhancing its statistical accuracy. A note on the Selected DU List will notify you of any zero map pages to check. A summary of the steps to check for missed DUs is located in ***Exhibit 3.19***.

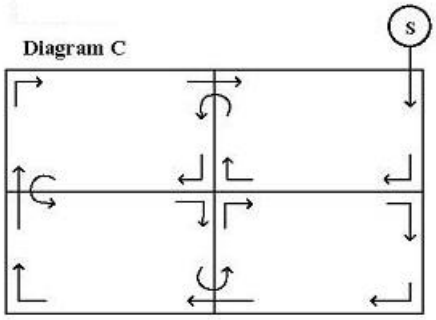
Exhibit 3.18 Diagrams Illustrating the Prescribed Order of Listing a Segment



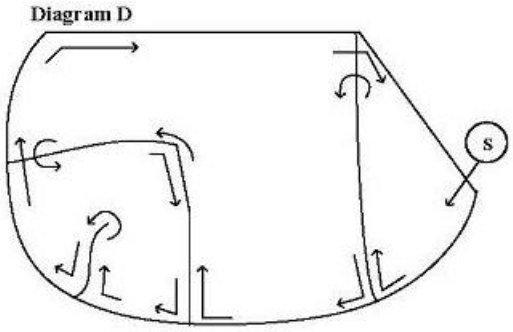
Travel Clockwise



Make All Possible Right-Hand Turns



Make U-Turns at Boundaries



General Example Showing All Rules

Exhibit 3.19 Checking For Missed DUs Summary

CHECKING FOR MISSED DUs SUMMARY		
	During the Screening:	**After the Screening:**
Check:	Within unit, and on property	Geographic interval between SDU and next listed DU
When:	During screening	On your first visit to the SDU, as you leave and travel to next SDU
How:	iPAQ displays question as part of screening	Referencing the Selected DU List and Block Listing Map, follow the lister's path of travel to check for missed units between the SDU and the next listed DU on the right side of the road.
What If You Find One?	Record address of missed unit in the iPAQ.	
Reconcile When Entering Address?	No, wait until after screening is done	Yes, using the segment materials
What If You Find More Than One Missed DU at an SDU?	In iPAQ, add up to 5 missed DUs found at a specific SDU. If 6 or more are found, write addresses for all units (including 5 added to the iPAQ) on List of Added DUs, then call FS, who may direct you to call RTI's Sampling Department.	
What If You Find More Than Ten Missed DUs in a Segment?	This almost never happens. Write all addresses on List of Added DUs (including 10 added to the iPAQ), then call FS, who may direct you to call RTI's Sampling Department.	

3.5.2 Missed DUs in Apartment and Condo Buildings

The missed DU procedures for apartment buildings and condominium structures vary from the regular housing unit procedures, but you will still check for missed units within the unit/structure and in the geographic interval.

- **WITHIN the UNIT**

  Most apartment and condo buildings consist of a number of single units within the multi-unit structure. In these buildings, the chances of finding a "unit within a unit" are very small, so you are not required to ask the missed DU question when the iPAQ displays it during screening. However, to ensure our sampling is accurate, we have to allow for unusual situations such as a servant's unit within a large apartment or flat. This does not mean a missed superintendent's apartment within the apartment complex, but an apartment that has a second separate unit within the apartment. If you are working in a building where this unusual situation is possible, be especially observant. If you discover an apartment within an apartment at a selected DU, you can add that unit to your iPAQ (see ***Section 3.6***).

- **WITHIN THE STRUCTURE / ON THE PROPERTY**

  As you start working an apartment or condo building where an HU has been selected, also look for missed DUs at the structure level. Conduct a global check of the original listing to make sure it is accurate. Walk around the structure, comparing what you find with the handwritten List of DUs. Look for discrepancies like a missed floor, a missed wing of a building, or other groups of units that were missed.

  If you are talking to a knowledgeable person such as a building manager because of access issues, you may review the original listing for accuracy with that person. (Be sure to check with your FS before approaching management.) If you discover any missed units, gather the necessary information and check with your FS. Depending on the number of units, RTI's Sampling Department may choose a subset of units to be added or may ask that the entire structure be relisted and then re-sampled.

- **GEOGRAPHIC INTERVAL**

  Remember to also check the geographic interval between the structure and the next listed structure to look for missed units. Be observant. Perform this check on your first visit to the SDU.

In general, missed units found in an apartment or condo building must be added with input from RTI's Sampling Department. Gather the relevant information and then call your FS.

3.5.3 Missed DUs in Group Quarters Structures (e.g., dormitories, shelters)

For selected units within group quarters structures, checks for missed DUs occur at the structure level, not the selected DU level. For all group quarters structures where a GQU has been selected, you must check with the manager, landlord, or other knowledgeable person to determine if the number of units originally listed is accurate. If the number is larger, those additional units become missed units. This situation may occur if:

- the lister missed basement rooms in a dormitory
- the number of persons or beds in a shelter has increased for the winter season.

Reviewing the original listing with a knowledgeable person should uncover any units that may have been missed within the structure or on the property. Remember to also check the geographic interval between the structure and the next listed structure to look for missed units. Be observant.

Missed units found in a group quarters structure must be added through RTI's Sampling Department. Gather the relevant information and then call your FS.

If there is an entire group quarters structure that was not listed, it is considered a missed dwelling unit and the units within the structure, missed group quarters units. Unlike missed housing units, a missed group quarters structure does not have to be linked to (that is, "found at") a selected dwelling unit. Such a structure qualifies as a significant listing problem that must be discussed with your FS.

3.5.4 Dealing with Listed DUs That Should Not Have Been Listed

While we want you to add any missed or new DUs you find, do not make any deletions from the list of DUs. On occasion you may discover that a listed SDU does not qualify as a dwelling unit (e.g., a structure that is used for nonresidential purposes). You also may encounter a situation where an SDU no longer exists (e.g., a trailer that has been moved). In such cases, do not delete the unit from the List of Dwelling Units or attempt to remove the unit from the iPAQ. Rather, code it appropriately on the iPAQ during screening and proceed normally with the check for missed DUs. ***Chapter 4*** defines the screening result codes.

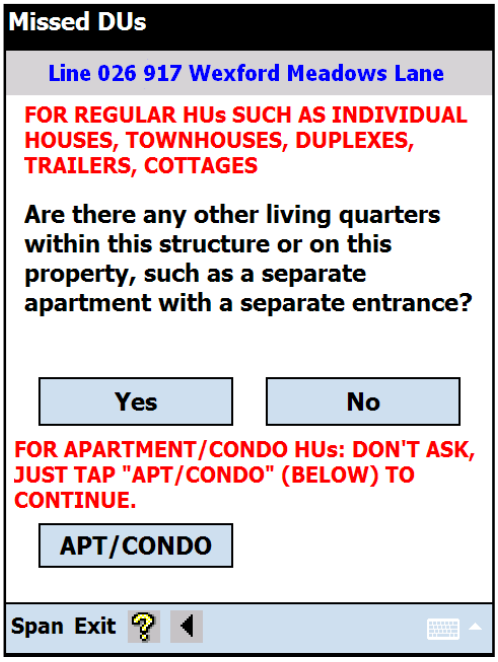
3.6 Adding Missed Dwelling Units

The procedures for adding missed DUs differ slightly for missed HUs and for missed GQUs.

3.6.1 Adding Missed Housing Units

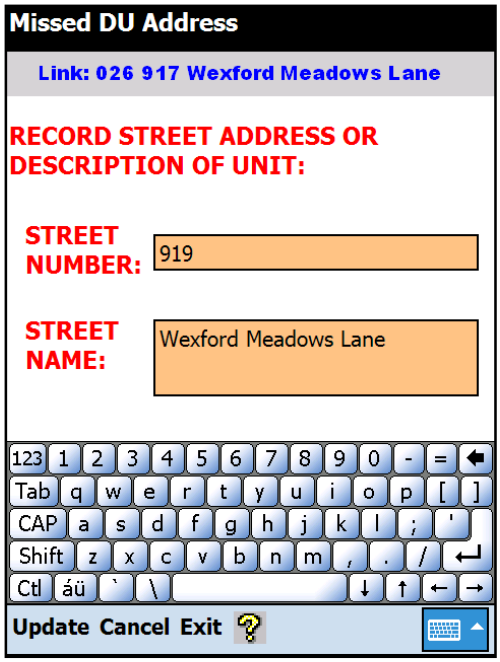
If you discover a previously unlisted HU within or on the property of an SDU or within the interval between an SDU and the next listed DU, record the address or description in the iPAQ. Be certain the unit qualifies as a housing unit. Apparent housing units used for nonresidential purposes (e.g., business or storage) do not qualify and should not be added. Missed housing units intended for use as residences but vacant at the time of your visit are to be added. Units under construction are to be added if construction has reached a point where all exterior windows and doors are installed (so that it is not open to the elements) and useable floors (such as sub-flooring) are in place. You may even find a missed housing unit within a group quarters structure, such as a "house mother's" apartment within a fraternity house.

At the beginning of each screening with an adult resident of the DU, ask the question used to identify missed DUs if you are visiting a regular HU that is not in an apartment or condo building.



If the answer at a regular housing unit is "No" you will continue with the screening process. If "Yes," you will record the address of the possible missed unit.

If the SDU is in a multi-unit structure such as an apartment or condo building, do not ask the question for each unit, but continue with screening. (See ***Section 3.6.5*** for how to add any found 'units within units.')



Enter the street address or description of the missed unit. Enter the house number in the Street Number field, then tap on the Street Name field and enter the street name. If a specific address is not available, enter a description of the unit in the Street Number field, then record the name of the street in the Street Name field. Only use letters, numbers, spaces, periods, commas, or slashes (as in 305 1/2 Main Street) not other characters such as quotation marks.

- Tap **Cancel** if you want to cancel this entry.
- Tap **Update** to continue the process of adding the unit. You will be asked if you want to add another unit. Tap **Yes** if you want to add another unit and the above screen will reappear so you can enter the information. Tap **No** if that is the only (or last) added unit you want to link to this SDU.

There are limits on the number of missed units you may add on your own in the iPAQ. You can link up to five added units to one particular SDU, while the limit of missed units for a particular segment is ten. You will rarely find more units than these limits. If you find more than five units for one SDU or more than ten units to add for a segment, add the information about these missed units to the List of Added Dwelling Units (***Exhibit 3.20***). When the information is complete, check with your FS, who will then call RTI's Sampling Department.

Because this happens infrequently, your iPAQ will initially only have room to add five missed DUs per segment. If you need the additional five lines, contact your FS, who can ask RTI to release the additional lines to you during your next transmission. Each time you add a missed DU, your iPAQ reminds you of how many lines are still available, which should help you decide when to contact your FS about releasing additional lines.

Exhibit 3.20 List of Added Dwelling Units

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Survey Year 2011

Page 1 of 1

LIST OF ADDED DWELLING UNITS

SEGID NC1234 FI Jane Doe FI ID No. 652378 Date 1/9/2011

DIRECTIONS TO FI

The iPAQ allows you to add up to 5 added HUs at a specific DU or 10 HUs to the entire segment on your own. As you add the units for this segment in your iPAQ, record in the below columns:

1. The **Line Number** assigned by the iPAQ
2. The **Address** and/or a description of the added DU
3. An **Apartment Number** or location
4. The **Link Line #** which is the number of the SDU (from the **List of Dwelling Units**) the Added DU follows
5. Whether the Added DU is an ***HU*** or a ***GQ*** (group quarters *structure*).

Keep track of ***all*** Added DUs on this form.

In some cases you will need assistance from RTI's Sampling Department to know exactly which DUs to add. Complete this form (leaving the Line Number column blank) if you find:

- More than 5 missed HUs linked to a particular DU
- More than 10 missed HUs in the entire segment
- An entire missed group quarters structure

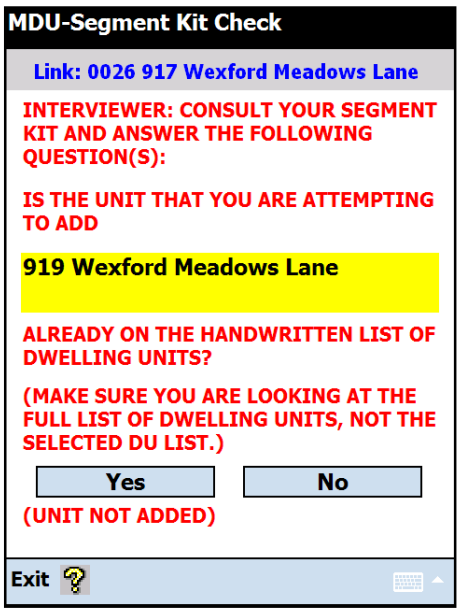
If you find individual group quarters *units* that have been missed, complete the separate Added Group Quarters Listing Form. When the forms are complete, call your FS, who will contact RTI's Sampling Department.

1	2	3	4	5
Line (DU) Number	**Street Address, RFD Number, and/or Dwelling Unit Description**	**Apartment No. Or Loc.**	**Link Line # (No. Of SDU which Added DU follows)**	**HU or GQ**
028	919 Wexford Meadows Ln		026	HU

9/09/2004

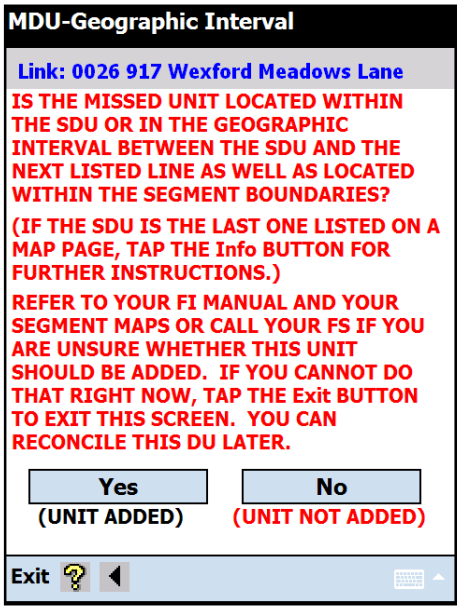
3.6.2 Reconciling Missed DUs

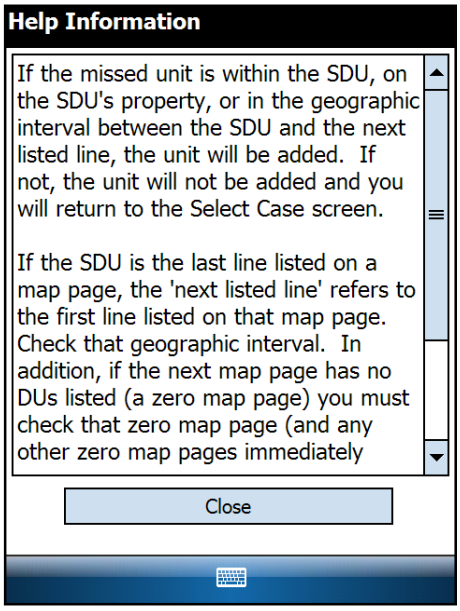
The simple process of reconciling Missed DUs involves answering a few questions when prompted by the iPAQ to see if the missed unit you recorded should be added to the sample.



The instructions on this screen remind you to double check the original, handwritten List of Dwelling Units (***Exhibit 3.9***) to see if the unit has already been listed. When asking respondents about additional units on their property, they may report a unit that was indeed already listed. If the unit is already on the List of Dwelling Units, it does not need to be added, so you would tap **Yes**. If the unit is not on the List of Dwelling Units, tap **No**.

Missed units not on the List of Dwelling Units must satisfy location requirements before being added. This screen prompts you to consider the location of the missed unit.





- Is it within the SDU?
- Is it within the area or geographic interval between the SDU and the next listed DU? This interval includes additional units on the property or within the area between the SDU's property and the next listed DU. For an SDU that is the last one listed on a map page, tap the yellow question mark symbol for additional instructions. Refer to the illustration shown above on the right which shows these additional instructions.

If the unit is within the SDU or in the appropriate geographic interval, tap **Yes** and the unit will be added to the sample. If the answer is "No," the missed unit address will not be added.

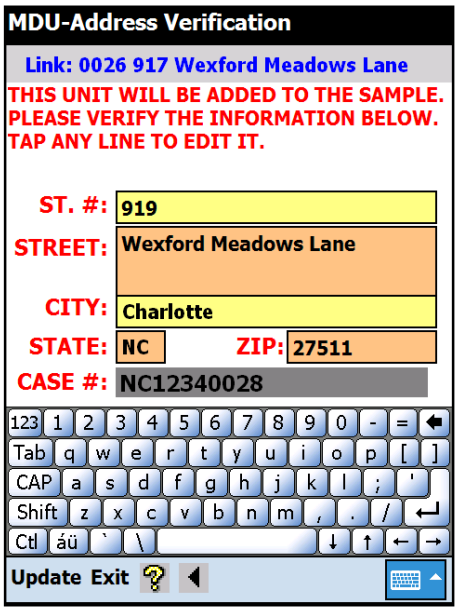
The complete address of the unit to be added is displayed on this screen for you to double check.

1. Make any necessary changes, checking to be sure everything is correct.

2. Use the information on this screen to record the unit on the List of Added Dwelling Units (see ***Exhibit 3.20***). Record the:

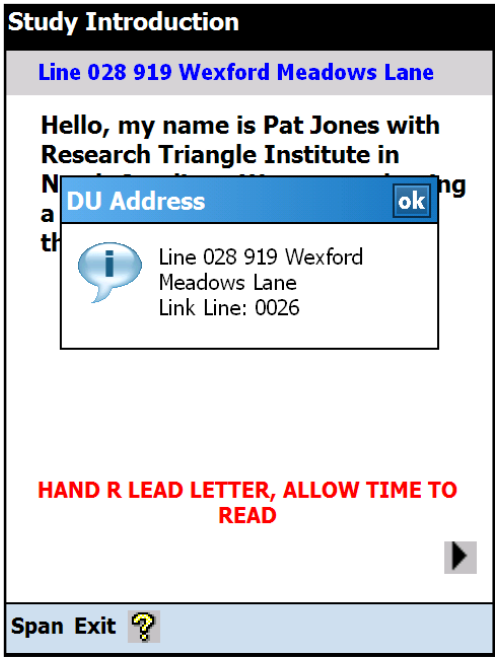
   - line number, which is the last 3 digits of the Case ID displayed towards the bottom of the screen,
   - street number/street name, OR description/street name,
   - the apartment number or location, as needed,
   - the Link line number, shown at the top of this screen, and
   - whether the unit is an HU or GQU.

   All added dwelling units are recorded on this form, which becomes part of the segment materials.



3. When everything on both the screen and the List of Added Dwelling Units is correct, tap **Update**. The unit will be added to your assignment.

Should you need to see the link line at another time, you can do so while working on the added DU case in the iPAQ. With the case selected, either within the screening or within the Record of Calls (as explained in ***Chapter 6***), simply tap the address of the case at the top of the screen. A pop-up box with the link line number appears. Tap OK to close the box.

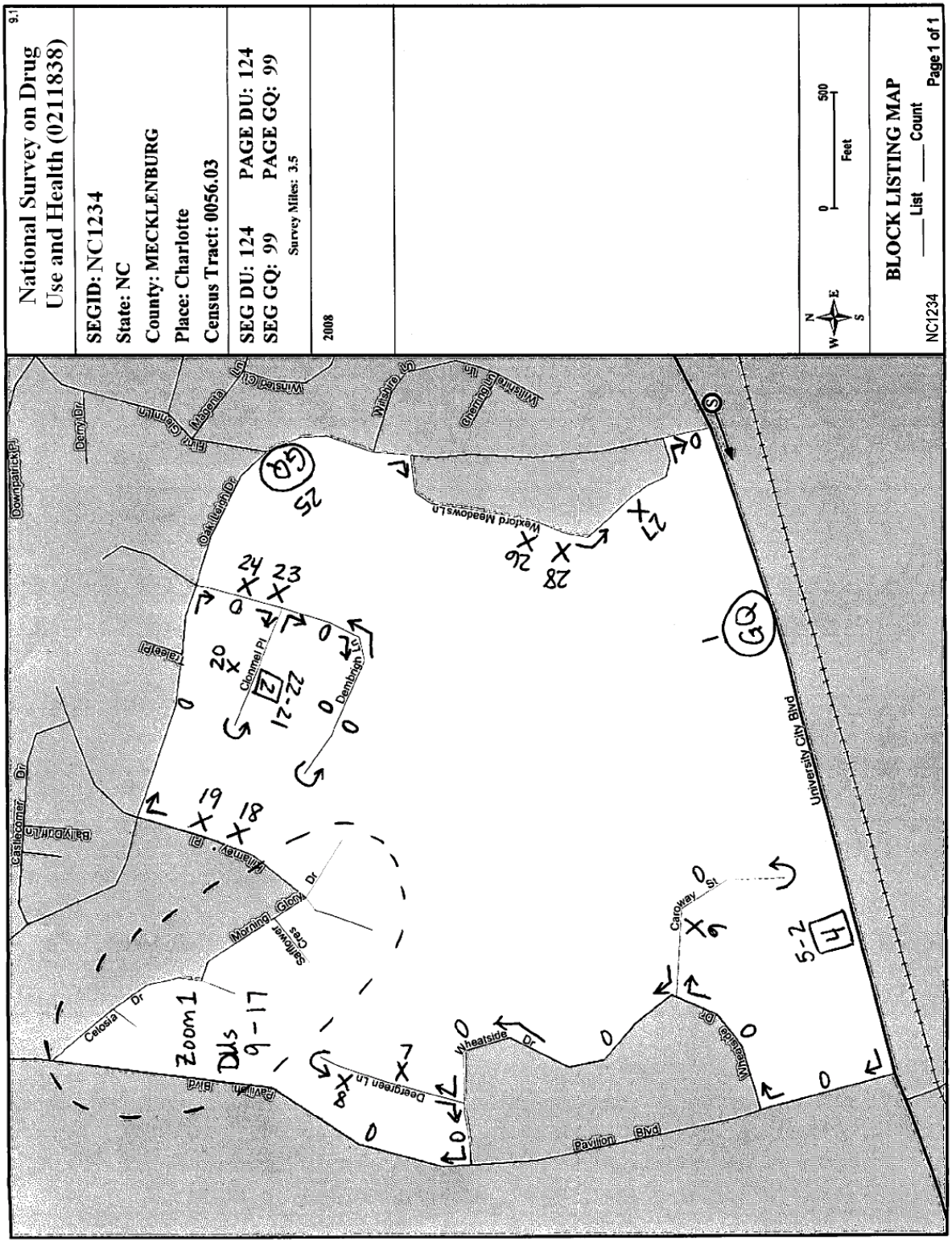


3.6.3 Adding Missed HUs on the Maps

Each time you add an HU and record it on the List of Added DUs, you must also enter a corresponding "X" (or box, in the case of multi-unit structures) in the appropriate location on the Block Listing Map. Remember to identify the symbol with the dwelling unit number provided by the iPAQ.

Exhibit 3.21 illustrates how the Block Listing Map would look if an unlisted HU were discovered in the interval between HU # 26 and HU # 27 in the segment illustrated previously in this chapter. Note that you should record the line number of the added HU on the map. This number is automatically assigned and then displayed by the iPAQ and recorded on the List of Added DUs in column 1. Be sure to give the information to your FS to update the FS set of segment materials as well.

Exhibit 3.21 Block Listing Map (with Added DU)



3.6.4 Adding Missed Units within a Group Quarters Structure

Unlike housing units found at regular housing units, you do not add missed units found in group quarters structures to the iPAQ and then automatically screen them. Since the selection process for these missed units varies depending on the type and number of missed units (e.g., a boarding house versus a shelter), you are required to call your FS who then contacts RTI's Sampling Department to receive instructions on how to proceed. Be sure to have your segment materials as well as a thorough description of the missed unit situation in front of you when you contact your FS. In general, you will find out:

- what information to include on the Added Group Quarters Listing Form (***Exhibit 3.22***)
- whether to make a within-structure floor sketch
- what forms to send to RTI.

The information sent to RTI is used to select the missed units, if any, that are added to the sample. The assignment of any missed group quarters units that are to be screened takes place during transmission. The added cases are sent to your iPAQ for completion.

3.6.5 Adding Missed Units within an Apartment or Condo Building

The procedures for dealing with missed units found in apartment or condo buildings vary depending on the situation:

- If you find a unit within a unit, (such as a servant's quarters within a large flat) that missed unit must be added to your iPAQ. This is not done during the actual screening but either before or after from the main Select Case screen. For details, see ***Section 6.9.1.***
- If you find a unit or units within the structure, on the property, or in the geographic interval, you must contact your FS. Similar to the situation for missed units in group quarters structures (see ***Section 3.6.4***), your FS must contact RTI's Sampling Department for instructions on how to proceed. Be sure to have all your segment materials and a thorough description of the situation.

The detailed process of adding missed DUs is not a task you will have to perform very often. When faced with a missed DU situation, be sure to consult these sections of the manual and discuss the situation thoroughly with your FS.

Exhibit 3.22 Added Group Quarters Listing Form

(FOR OFFICE USE ONLY _____)

Project 0211838
NSDUH

ADDED GROUP QUARTERS LISTING FORM GQ LINE NO. _____ (from List of Dwelling Units)	Segment ID: _____ Page _____ of _____ Listed by: _____ FI ID No. _____ Date Listed: ___/___/___
Complete this form for a missed group quarters structure or for missed units within a previously listed group quarters structure. Please contact your FS for instructions on completing this form.	
A. IDENTIFICATION	**B. LISTING INFORMATION**
1. Name of Group Quarters:	1. Were any housing units listed that are associated with these group quarters? ☐ Yes (Complete B.2) ☐ No (Go to B.3)
2. Address (Number and Street):	2. Enter, from the List of Dwelling Units, the line number(s) of housing units associated with these group quarters: _____ _____ _____ _____ _____
3. City, State, and ZIP:	3. Manager, landlord, or other knowledgeable person to contact: Name: _____ Title: _____ Telephone: _____
4. Type of Group Quarters: ☐ College Dorm ☐ Boarding House ☐ Shelter ☐ Half-Way House ☐ Other _____	4. Check the units listed or to be listed: ☐ Rooms ☐ Beds ☐ Individuals
	5. Enter the number of listing units in the GQ: _____ ☐ Exact Number ☐ Approximate Number

C. LIST OF UNITS

Line No.	Description of Unit	No., Ltr., or Loc.	Line No.	Description of Unit	No., Ltr., or Loc.
1			16		
2			17		
3			18		
4			19		
5			20		
6			21		
7			22		
8			23		
9			24		
10			25		
11			26		
12			27		
13			28		
14			29		
15			30		

COMMENTS: ☐ (Enter on back of form.)

3.7 When to Call

If you encounter missed units or unusual circumstances and cannot find answers in this manual, call your FS. Your FS is experienced in many field situations and can assist you. In some instances your FS will need to call RTI's Sampling Department for assistance.

Your FS will call RTI when:

- more than five missed HUs are discovered to be linked to a particular selected DU
- more than ten missed HUs are to be added to the segment
- a missed HU (other than a unit within a unit) is discovered within an apartment or condo building
- a missed GQU is discovered within the group quarters structure
- a missed group quarters structure is discovered.

Once the issue is resolved, detailed instructions will be relayed to you.

3.8 Importance of Sampling Activities

The field sampling steps discussed in this chapter are important. **All aspects of the area probability sample design used by RTI have been developed so that data collected for this survey will be valid, reliable, and accurate.** However, the design is only valid if each interviewer carries out the final steps of sampling with care and precision. Even seemingly slight errors or oversights in interviewer sampling activities may necessitate costly and time-consuming corrective action.

Careful attention to the instructions presented in this chapter will provide the necessary information to complete the steps involved in checking the listing. Those steps are extremely important to ensure the accuracy of the sample and the data collected.

REVIEW OF CHAPTER 3

Locating Sample Dwelling Units

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- Dwelling Units (DUs) consist of housing units (HUs) and group quarter units (GQUs). Common examples of HUs are apartments, houses, trailers, condos. Individual units within group quarters structures such as college dormitories, shelters or convents would all be classified as GQUs.
- For this year's sample, all 50 states and the District of Columbia have been divided into 900 SS Regions. Each Region then had eight segments selected. Each FI will be working in a defined segment, using listings and maps that were created earlier by field listers.
- For each segment in your assignment, you will receive a packet of segment materials containing the maps, listings, and information sheets that are needed to work your assignment.
- In order to successfully complete your NSDUH cases, you will need to locate your segment, identifying the most efficient route of travel to/from your home and within the segment.
- In order to ensure that we have an accurate sample, it will be necessary for you to check for missed dwelling units. The iPAQ screening program has steps in place to assist you.

QUESTIONS TO ASK YOURSELF

1. Define a group quarters unit (GQU).

2. On the Block Listing Map, what does a box with a number inside indicate?

3. What should you do if you find a completely new subdivision in your segment that is not on your map or on the lists?

4. Name three examples of types of homes or structures that are NOT to be included in the sample for the NSDUH.

5. Take some time to become familiar with the original List of DUs and the Selected DU List.

   a. How many GQUs are in the shelter listed as line 25? (Refer to Group Quarters Listing Form, *page 3-17*.)

   b. How many selected DUs are on Killarney Place?

   c. What is the street address for line 14? Will you visit that house?

4. CONTACTING DWELLING UNIT RESIDENTS

4.1 Introduction

Being well prepared before making initial contact with the residents of a dwelling unit (DU) is important. You must know the purpose of the survey and be familiar with the screening and interviewing procedures as well as all study materials. You must also be organized, meaning that you must be sure you have all of the materials and supplies needed to screen and conduct NSDUH interviews. ***Chapter 12*** lists all the provided materials, separating the list into the materials and equipment you need to carry with you while working, those items that you should have available for reference while working, and those items to use at your home.

This chapter and ***Chapter 5*** contain detailed explanations of how to contact a DU and obtain cooperation. ***Chapter 6*** provides details on the screening process, which determines who, if anyone, to interview. It is important to resolve any questions you have about survey procedures before contacting the first dwelling unit.

4.2 Scheduling Fieldwork

One of your most important responsibilities is planning your fieldwork carefully to maximize the effectiveness of your time in the field. Below are general rules to apply when planning your work:

- Stay in the field for at least four hours when you have a sufficient number of cases to work, especially early in the quarter (travel time to and from the segment should NOT be included as part of the four hours). Be sure to discuss your assignment with your FS so you can determine the most efficient work plan together.
- Lay out your itinerary so that you can visit as many sample dwelling units (SDUs) as possible during a trip to an area.
- If you have only a little work left in one area, combine your trip to this area with a trip to a nearby segment when possible.
- Make a minimum of five attempts to complete each screening, contacting the unit at different times of day and different days of the week. Then discuss the case with your FS. Your FS may opt to send a letter to the DU. During your conference call, your FS will instruct you about contacting the DU again.
- Plan your trips so that you will be in the sample areas during times when the chances of finding a respondent at home are the best. The most productive hours for first visits to SDUs are between 4:00 p.m. and 9:00 p.m. on weekdays and from 9:00 a.m. to 9:00 p.m. on weekends.
- **Saturdays are generally the most productive day**, however, weeknights have proven to be an excellent time to find respondents home.

The timing and planning of your field trips is **very** important.

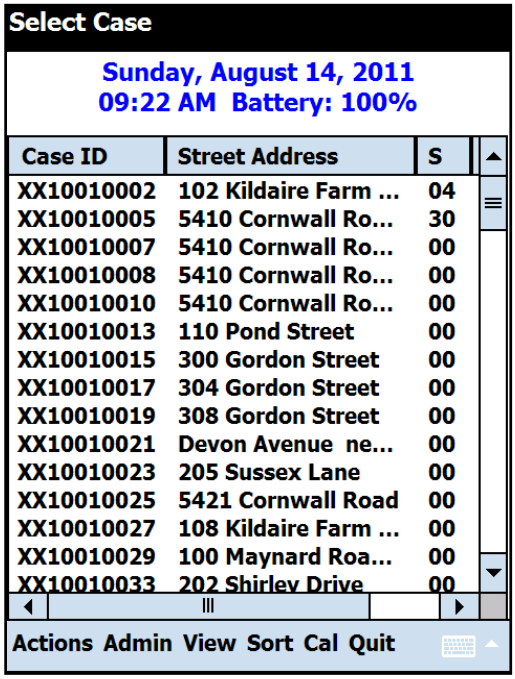
4.3 Assignment Materials

Your FS makes assignments based generally on the location of the segment area in relation to your home. Whole segments are usually assigned, although sometimes they may be split. You will receive your initial assignment once you have successfully completed the training program. Your FS will make additional assignments as you complete your assigned work. As discussed in ***Chapter 3***, you will receive the appropriate segment materials for each of your segments.

Each individual DU assigned to you—whether it is an HU or a GQU—will appear on the Select Case screen of your iPAQ and on the computer-generated Selected DU List (see ***Exhibit 3.6***). Both the **Select Case** screen and the Selected DU List have the information necessary to help you identify and find the unit. **Record all data collected during the screening process by entering it directly into your iPAQ.** There are also ample note spaces within the iPAQ program. However, if you wish, you may make notes for yourself on the segment materials. For confidentiality reasons, you must NEVER write notes containing identifying information or the address of an SDU. All confidential information that you must record belongs in the password-protected computers.

4.3.1 Case Identification Information

The first column on the left of the iPAQ's **Select Case** screen, labeled Case ID, shows the RTI case identification number and is referred to as the "Case ID number."



The Case ID numbers themselves provide you with important information. For example, the Case ID number TX23020119 tells you the following:

TX **State Abbreviation**—in this case, Texas

2302 **Segment number**

0 **DU indicator** (always a zero (0) for HUs, or any letter A-Z for GQUs)

119 **SDU line number** from the List of DUs for the segment

This information is also listed on the Selected DU List. The first six characters are listed as the Segment ID on the top left of the form. The last four characters of the Case ID are listed under the "DU Indicator and Line #" column. For example, refer to the Selected DU List shown in ***Exhibit 3.8***. The first selected HU listed is in segment NC1234 and is line number 002. The Case ID for this HU is NC12340002.

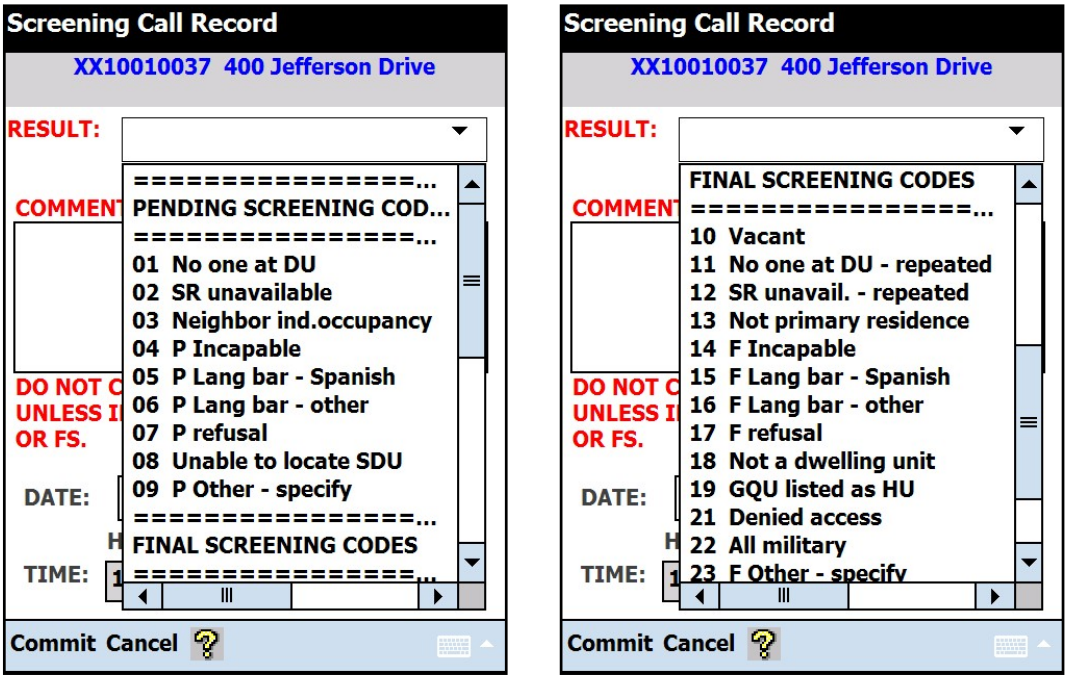
The actual street address, or a physical description of the HU or GQU and its general location, also appears on both the **Select Case** screen and the Selected DU List. If you have difficulty locating one of your assigned DUs, refer back to ***Chapter 3***.

4.4 Record of Calls

Each time you contact an assigned SDU to complete a screening, record the details about each contact in the iPAQ's Record of Calls (ROC). This includes any attempted or actual contact with either a resident or a neighbor or other person whom you ask for contact information. Record each contact, or attempted contact, separately by adding a call record. For example, if you visit the SDU once and find no one home, then visit again 2 hours later, you should fully document both contacts separately in the ROC. For each contact, the iPAQ automatically records the date, day of the week, and time of day. You will need to record the appropriate screening result code (result code definitions are discussed in the next section) and any comments about this contact for future use by you or another FI (see ***Section 4.4.2***).

4.4.1 Screening Result Codes

Screening result codes are assigned and reported during the process of screening SDUs. Some screening codes are "PENDING" codes (01-09) and indicate that a final resolution has not yet been obtained. Codes 10-32 are "FINAL" screening codes that show a screening effort is complete. The complete list of screening codes is shown on the next page, with the pending codes shown on the left and the final codes displayed on the right. Instructions for using Screening Call Records are given in ***Section 6.6***.



Result codes describe the current status of each case and are discussed routinely with your FS. Each time you transmit data from the iPAQ to RTI, the result codes are included with the actual screening data. These transmitted codes are then tabulated to produce reports that provide information on the progress of the fieldwork. In these reports on the project Website, your supervisor sees the result code assigned for each contact you made with a particular DU. Having this information available helps as you and your FS discuss the best approach to the case.

RTI staff and project management rely heavily on these progress reports. Decisions on how to properly manage the project are made based on these reports. It is **very important** that you understand when and why to use each code. It is also critical to keep the codes on your cases in the iPAQ up-to-date as you complete your work in the field.

PENDING SCREENING CODES

Pending codes are used when the case is not yet complete. Explanations of when to use a particular code, and **what action to take** to resolve the situation so that the case can be completed, are provided below:

Result Code	Result Code Description	Use This Code When…	Follow Up Actions to Take
01	**NO ONE AT DU**	No one is at the unit.	• Plan another visit at a different time of day or another day of the week. • Try to determine a good time to catch someone at home. • Record the visit and any pertinent information in your iPAQ's ROC.

Result Code	Result Code Description	Use This Code When…	Follow Up Actions to Take
02	**SCREENING RESPONDENT (SR) UNAVAILABLE**	Someone is at the unit but that person is not an eligible/knowledgeable screening respondent (young child, babysitter, housekeeper, etc.) OR, the SR cannot complete the screening at that time (due to being busy, needing to leave, etc.). The screening respondent MUST be an adult resident of the SDU.	• Plan another visit at a different time of day or another day of the week. • Try to determine a good time to catch someone at home by asking for a day and time when you should return. • Record the visit and any pertinent information in your iPAQ's ROC.
03	**NEIGHBOR INDICATES OCCUPANCY**	A neighbor (or other informant) indicates the unit is occupied.	• Inquire about when would be a good time to find someone home at the DU. DO NOT obtain actual screening information from a neighbor or mention the study name/subject. • Continue to try to contact a resident of the DU for the specific information. • Record the visit and any pertinent information in your iPAQ's ROC.
04	**INCAPABLE**	No one at the unit is physically or mentally able to respond meaningfully to the screening questions. Examples of mental incapability are respondents with pronounced mental retardation, autism, or who are intoxicated. Also, physical incapability due to serious illness, deafness, or severe speech disorders may qualify.	• Remaining sensitive to the situation, attempt to locate a capable adult DU resident. • If the limitations seem temporary, return on a different day or at a different time. • If the limitations seem permanent and no other possible SR resides at the unit, verify this information with a neighbor (as appropriate), and discuss the situation with your FS. • Record the visit and any pertinent information in the ROC. When prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.
05	**LANGUAGE BARRIER – SPANISH**	The screening respondent speaks Spanish and does not speak English well enough to complete the screening. RTI-Certified bilingual FIs have the option of completing screenings in Spanish (see ***Chapter 6***).	• Try to locate another eligible SR in the DU who speaks English. • Ask the person about using another member of the household to serve as a translator for the screening questions. If necessary most households have access to someone, often a young person or even a neighbor, who can communicate well enough in both languages to interpret the screening questions for the Spanish speaking SR. RTI provides a 'Spanish Card' which has this request for a translator written in Spanish. Details for using the card are provided in ***Section 4.11***. • *Note that you cannot use a translator for the interview, only for screening*. • If none of these work, talk with your FS. • Record the visit and any pertinent information in the iPAQ's ROC.

Result Code	Result Code Description	Use This Code When…	Follow Up Actions to Take
06	**LANGUAGE BARRIER – OTHER**	The screening respondent speaks a language other than English or Spanish, and does not speak English well enough to complete the screening.	• Try to locate another eligible SR in the household who speaks English. • Ask the person about using another member of the household to serve as a translator for the screening questions. If necessary most households have access to someone, often a young person or even a neighbor, who can communicate well enough in both languages to interpret the screening questions for the SR. RTI provides a card which has this request for a translator written in several other languages. Details for using the card are provided in ***Section 4.11***. *Remember you cannot use a translator for the interview, only for screening*. • Record the visit and any pertinent information in your iPAQ's ROC. When prompted, record the language. Do not ask the SR but make your best guess. See ***Section 4.11*** for more information.
07	**REFUSAL**	The screening respondent you are talking with refuses to allow you to proceed with the screening process.	• Tactfully try to persuade the respondent to answer the few screening questions (see ***Chapter 5*** for information about overcoming refusals and obtaining participation). • **DO NOT** antagonize the respondent. Leave the door open for an attempt to convert, either by you or someone else. This decision is up to your FS. • As well as possible, determine the reason for the refusal. • Record the visit in your iPAQ's ROC. The iPAQ will prompt you to indicate a refusal reason. • Note in the ROC if there is another eligible SR at the household. • Make detailed notes while the incident is still fresh in your mind. By recording what happened, you will greatly assist your FS in deciding how to handle the case and will help the next FI, if someone else tries to convert the case.
08	**UNABLE TO LOCATE SDU**	You are unable to determine the exact location of the SDU.	• Ask first for directions to the general area. Ask at the police station, the fire house, or other public place. If needed, you may give an exact address as long as you **DO NOT** state the specific reason you are trying to find the unit. Mentioning you are an interviewer contacting the unit for participation in an important national survey is fine—stating you want to interview someone for the National Survey on Drug Use and Health is not acceptable. • Contact your FS for additional instructions. • Record the visit and any pertinent information in your iPAQ's ROC.

Result Code	Result Code Description	Use This Code When…	Follow Up Actions to Take
09	**OTHER – SPECIFY**	The situation you encounter does not fit into any of the above categories.	• Record the visit in your iPAQ's ROC and describe the situation in the comments section. • The iPAQ also asks you to record the type of 'other' case from the following list of possible sub-categories: – Screening breakoff – Selected wrong line number – Added in error – Safety issue – Controlled access – Possible vacant – Possible vacation/not primary residence – GQU is institution (GQU only) – Other listing problem – Need to discuss with FS – Something else, Specify • For Controlled Access situations, gain as much information as possible (see ***Exhibit 4.7***). • For possible vacant/vacation homes, attempt to verify with an adult neighbor, landlord, or real estate agent. For rural areas where neighbors are scarce, a contact from the post office, fire department or local town hall may be used if they are familiar with the address. • Discuss with your FS how to handle the case.

FINAL SCREENING CODES

Final screening codes indicate the case is finished. This means either screening information was obtained OR the SDU is ineligible for the study (e.g., vacant) OR you were unable to obtain the screening information. Be sure you have completed all suggested relevant steps described in the pending codes section and have consulted your FS on any additional possible steps before requesting permission to finalize a case where you could not obtain screening information. If all attempts fail, your FS must agree that the case is complete before giving you approval to assign the final code. The list below describes the final codes.

A complete list of both screening and interviewing result codes is included in ***Appendix B***. For your reference, examples are provided.

SDUs That Are Ineligible for the Study		
Result Code	**Result Code Description**	**Use This Code in This Situation**
10	**VACANT**	Assign this code only after verifying with an adult neighbor, landlord, or real estate agent that the unit is vacant. For rural areas where neighbors are scarce, a contact from the post office, fire department or local town hall may be used if they are familiar with the address. The iPAQ prompts you to complete the verification information.
13	**NOT A PRIMARY RESIDENCE**	Assign this code after verifying with the current or temporary residents, an adult neighbor, the landlord, or real estate agent that the unit is not used as a primary residence during the quarter (that is, it is only a weekend or vacation home). To qualify as a primary residence, the residents must spend the majority of their time living at the DU. In rural areas, verify with the post office, fire department or local town hall as needed. The iPAQ prompts you to obtain verification information. Note: If you are screening a resident of the DU and they will not live there for 1/2 or more of the quarter, see code 26.
18	**NOT A DWELLING UNIT**	Assign this code after verifying with an adult neighbor, landlord, or real estate agent that the unit does not meet our definition of a dwelling unit (see ***Section 3.4***). Possible examples are units that have been demolished or merged with another unit, a unit used by a church or nonprofit organization as a meeting facility, or a unit used only for business or storage. In rural areas, verify with the post office, fire department or local town hall as needed. Enter the verification information when prompted by the iPAQ.
19	**GQU LISTED AS HU**	If the GQU was listed incorrectly as an HU, use this code. Record information about the structure, including the type of group quarters (dormitory, shelter), how the units would be listed (rooms, beds, persons), and a contact person. Check with your FS for further instructions.
20	**HU LISTED AS GQU**	If an HU was listed incorrectly as a GQU, use this code. Check with your FS for further instructions.
22	**ALL MILITARY**	The iPAQ automatically assigns this code if during screening all DU members are found to be United States military personnel on active duty. Persons on active duty in the military are not eligible for NSDUH. Be sure to enter the verification information in the iPAQ as prompted.
25	**NO ELIGIBLE SDU MEMBERS**	When all DU members listed on the screening roster are changed to ineligible status, the iPAQ automatically assigns this code at the end of the screening. It is not available for you to assign in the iPAQ ROC section. Enter the verification information in the iPAQ.
26	**WILL RESIDE / HAS RESIDED IN DU LESS THAN 1/2 OF QUARTER**	This code is automatically assigned by the iPAQ during the screening when no one in the DU will live there (or has lived there) for most of the time during the three months of the quarter. This code should only be used when speaking with a resident of the DU, otherwise see code 13. Enter verification information in the iPAQ.
29	**LISTING ERROR**	If you encounter an SDU that should not have been listed during the Counting and Listing phase, check with your FS who may check with RTI's Sampling Department, if needed. Possible situations include: • DUs listed outside the segment boundaries. • Invisible DUs (e.g., a fourth unit in a 3-unit structure). • DUs listed twice on the original List of DUs. • GQUs that are institutions and therefore ineligible. Assign this code **once your FS has approved**. Document the situation in the ROC comments section.

Screening Not Obtained		
Result Code	**Result Code Description**	**Use This Code in This Situation**
11	**NO ONE AT DU - REPEATED**	If repeated visits at different times of the day and days of the week have failed, use this code **once your FS has given approval**.
12	**SCREENING RESPONDENT (SR) UNAVAILABLE - REPEATED**	If repeated visits at different times of the day and days of the week have failed, use this code **once your FS has given approval**.
14	**INCAPABLE**	We expect this code to be used rarely. However, if no one at the unit is able to respond meaningfully to the screening questions, use this code **once your FS has given approval**. When prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.
15	**LANGUAGE BARRIER – SPANISH**	Again, this code should rarely be used. If there isn't a translator, use this code **once your FS has given approval**.
16	**LANGUAGE BARRIER – OTHER**	This code should rarely be used. If there isn't a translator, use this code **once your FS has given approval**.
17	**REFUSAL**	If all attempts to convert the refusal have been unsuccessful and **your FS gives approval,** use this code. The iPAQ will then prompt you to enter a refusal reason. Be sure you have made accurate notes about the situation.
21	**DENIED ACCESS**	If after many attempts you are UNEQUIVOCALLY denied access to the door of the SDU, use this code **once your FS has given approval**.
23	**OTHER–SPECIFY**	Use this code for all cases that do not fit any of the above categories. Be sure you have fully described the situation to your FS, and he/she **has given approval** to use this code. Be sure to document the circumstances. The iPAQ also prompts you to choose the applicable sub-category for the situation from the following list: – Added in error – Safety issue – GQU is institution (GQU screenings only) – Something else, Specify Technically, a GQU found to be an institution is a listing error and should be finalized using code 29. However, some FIs incorrectly use the 'other' code, so having the "GQU is institution" sub-category available helps RTI staff that must re-classify the case.
Screening Completed		
Result Code	**Result Code Description**	**Use This Code in This Situation**
30	**NO ONE SELECTED FOR INTERVIEW**	The iPAQ automatically assigns this code at the end of the screening when a resident of the dwelling unit has provided the screening information, but no one listed on the roster was selected for the interview. Enter the verification information when prompted.
31	**ONE SELECTED FOR INTERVIEW**	The iPAQ automatically assigns this code at the end of the screening when one DU member is selected to be interviewed. Next you add another call record and enter the interview result code for the interviewing case. This code is discussed in ***Section 7.3.2***.
32	**TWO SELECTED FOR INTERVIEW**	The iPAQ automatically assigns this code at the end of the screening when two DU members are selected to be interviewed. Next, add another call record for each interview and enter the appropriate interview result code for each case. This code is also discussed in ***Section 7.3.2***.

4.4.2 Recording Comments

The comments area of the ROC gives you space to comment on the situation. Comments should be:

- Informative – record appointment times, best times to return, who you talked to, or if no adult was home, record which cars were in the driveway.
- Helpful – note relevant information for you to use in preparing to return or when discussing the case with your FS. If a case gets transferred to another FI, the notes are very important to the new FI to understand what has happened.
- Concise – Explain your comments directly, leaving out unnecessary words or information. Your comments must be easily understood by you, your FS, other FIs, and project managers. ***Exhibit 4.1*** lists suggested standard abbreviations for ROCs.

Examples of good ROCs:

- CB after 7:00 pm
- 2:30 Sat appt
- W M 15ish said parents home after 8:00
- Hisp F 60s Send SPAN letter

When entering ROCs, only include relevant information. For example, there is no need to enter "No one home" for a code 01—the result code already provides that information. Also, keep your comments appropriate and nonjudgmental.

Exhibit 4.1 ROC Abbreviations

PROJECT ABBREVIATIONS

R	respondent (for the interview)
SR	screening respondent
FI	field interviewer
Q&A	Q&A brochure
DU	dwelling unit

STANDARD ABBREVIATIONS

days of the week	(with 3 letters)
F	female
M	male
B	black
W	white
Hisp	Hispanic
SPAN	Spanish
INFO	information
REF	refused

SUGGESTED HELPFUL ABBREVIATIONS

CB	call back (or come back)
APPT	appointment
AM	morning
AFTRN	afternoon
PM	evening
NGHBR	neighbor
GTKPR	gatekeeper
WKND	weekend

4.5 Lead Letters

Prior to the start of each calendar quarter of data collection, RTI automatically generates an introductory lead letter for each SDU with a good or complete mailing address in an assigned segment. A copy of the lead letter is in ***Exhibit 4.2***. These letters, along with pre-stamped, window envelopes, the Selected DU List, and your packet of segment materials, are sent to you once your FS makes the assignment.

The SDUs in each segment are grouped into partitions, and may not all be assigned at one time. As explained earlier, the last column on the Selected DU List indicates to which partition each SDU belongs. Only prepare and mail letters for the cases assigned by your FS. When talking with your FS, he or she will tell you exactly which partition(s) are assigned to you at the start of the quarter. For example, if only the Partition 1 cases are available, only send letters to the SDUs with a 1 in the last column.

Keep all remaining letters. Your FS may assign you Partition 2 and possibly cases from any other remaining partitions later in the quarter. No new letters will be generated.

Once the correct letters have been pulled from the pile, check all the addresses carefully for any that do not have mailable addresses (e.g., check for those listed with just a description). Do not send letters to these SDUs as they cannot be delivered. If you are able to determine the physical address prior to contacting the DU, you should not handwrite the address on a blank lead letter and mail it. Only pre-addressed lead letters should be mailed to respondents. When you visit an SDU that did not have a mailable address, be prepared to give the residents an extra lead letter from your supply of generic letters. Do not use any of the pre-printed letters which include SDU addresses/descriptions, as this could compromise confidentiality. Also, do not leave blank or addressed lead letters at the SDU door, as this requires National Field Director approval.

About one week prior to working an area, write the date on the line at the top and write your name **neatly** on the letters to personalize them. Signing your name legibly on the letter gives the reader a good impression of both you and the study and also provides a name which can help you during your initial contact. Place one prepared letter in each of the pre-stamped envelopes so that the pre-printed address shows throughout the window, seal, and simply drop them in the mail. Folding the letter directly below the first sentence of the first paragraph helps the letter fit correctly into the envelope. Before sealing the envelope, be sure the full address is visible in the window, even when the letter is shaken up and down. Mailing the letters close to the time you will be in the area means residents will be more likely to remember receiving the letter.

4.6 Organizing Your Materials

Each interviewer will develop an individual approach to organizing the materials needed for this complex project (see ***Chapter 12***). Before leaving on a trip to the field, be sure you have all the materials and supplies—including the segment materials—that you will need for both the screening tasks as well as any interviews you will conduct with selected respondents. Carry the necessary interviewing supplies—including the laptop—with you to the door so that you are ready to conduct an interview on the spot.

Also before you leave, check the date and time on your iPAQ by looking at the top of the Select Case screen. If the date/time is incorrect, transmit to RTI so that it can be corrected. (Transmission instructions are provided in ***Chapter 6*** of the ***FI Computer Manual***.)

Exhibit 4.2 Lead Letter

DEPARTMENT OF HEALTH & HUMAN SERVICES

U.S. Public Health Service
Center for Behavioral Health Statistics and Quality
Rockville, MD 20857

_____, 2011

Dear Resident:

To better serve all people across the nation, the United States Public Health Service (USPHS) is conducting a national study on health-related issues. Your address was randomly chosen along with more than 200,000 others. Research Triangle Institute (RTI) is under contract to carry out this study for the USPHS. Soon, an RTI interviewer will be in your neighborhood to give you more information.

When the interviewer arrives, please ask to see his or her personal identification card. An example of the ID card is shown below. The interviewer will ask you a few questions, and then may ask one or two members of your household to complete an interview. It is possible that no one from your household will be chosen to be interviewed. You may choose not to take part in this study, but no one else can take your place. **Every person who is chosen and completes the interview will receive $30 in cash**.

All the information collected is confidential and will be used only for statistical purposes. This is assured by federal law. This letter is addressed to "Resident" because your address was selected, and we do not know your name. Feel free to ask the interviewer any questions you have about the study.

Your help is very important to this study's success. Thank you for your cooperation.

Sincerely,

National Study Director,
Center for Behavioral Health Statistics and Quality

Image of Identification Badge

National Field Director, RTI

_____
Assigned Field Interviewer

Confidentiality protected by the Confidential Information Protection and Statistical Efficiency Act of 2002 (PL 107-347)
Authorized by Section 505 of the Public Health Service Act (42 USC 290aa4)
Approved by Office of Management and Budget (OMB Approval No. 0930-0110)

4.7 Initial Approach

The confidence you display as a result of your careful preparation will increase your chances of obtaining participation. As mentioned earlier, you will mail a lead letter to each assigned SDU with a known acceptable mailing address. You will be given an additional supply of letters to hand out at your initial contact if the resident requests one or did not receive one due to mailing difficulties.

The very first time you approach an SDU, the iPAQ prompts you to record two bits of information about the physical features of the unit. Details about this data are provided in ***Chapter 6***. After you enter the data, the iPAQ displays the correct screen needed, Study Introduction, as you walk to the door.

Approach the door confidently, with a positive attitude. Be sure your RTI identification badge is prominently displayed, and be aware of your surroundings as you approach the unit. Be sure to check—and double check—that you are at the address selected and displayed at the top of the iPAQ screen.

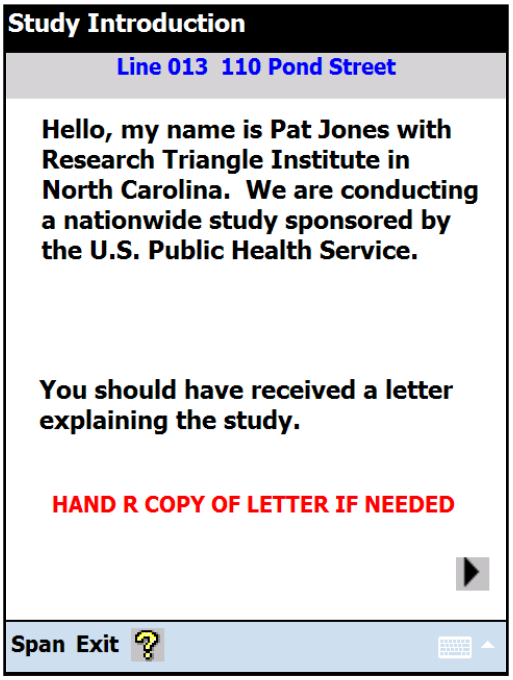
4.8 Your Introduction

Your introduction at the door should be brief and clear, using words that are easily understood so that the respondent gets a general idea of what to expect from the study. The introductory screen on the iPAQ is shown below. While you do not have to read this exact text, you must convey the same 4 points in your introduction. **NOTE**: This is the ONLY iPAQ screen on which you can improvise, so that it does not have to be read verbatim. The introduction points you must cover include:

- Your name
- You represent Research Triangle Institute
- Sponsor is the U.S. Public Health Service
- Mention the lead letter

Know what you are going to say so that you can maintain eye contact. Should you choose to give your introduction in your own words, be very careful not to state or imply that you are with the Public Health Service or that you are a government employee.

If the respondent did not receive the letter, provide a copy, allowing time for reading. Be prepared to summarize the contents of the lead letter in your own words.

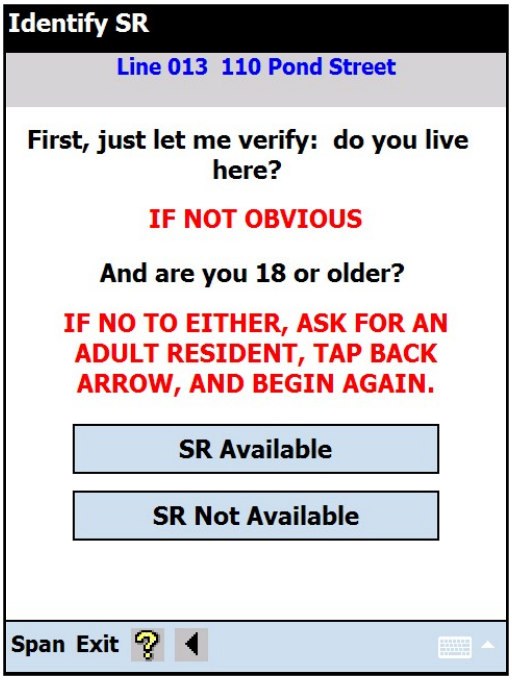


4.9 Eligible Screening Respondent and Address Verification

You will then need to determine if an eligible screening respondent is available and if the address you have in the iPAQ is correct.

For this study, an eligible screening respondent (SR) is:

- a resident of the DU, **AND**
- an adult (age 18 or older).

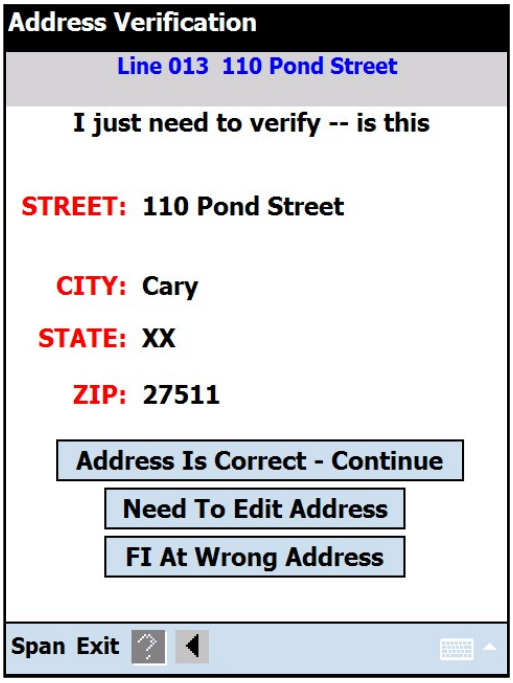


Keep in mind three rules for the NSDUH:

- **No proxy screenings are allowed.**
  Information from a resident under the age of 18 is acceptable only in the case of emancipated minors (someone under 18 living independent from parents or caregivers) or when a young person is serving as the translator for an adult SR who does not speak English.
- **NSDUH is a personal visit survey**.
  All data are to be collected in-person, not over the telephone. Interviewers found to be conducting unauthorized telephone screenings in the past have been terminated. No telephone screenings are ever allowed without prior approval. This approval process requires permission from your FS, RS, RD, and even from the National Field Director. It is the expectation of project management that in these very rare and unusual circumstances, that the FS will conduct these screenings.
- **Answers must come from a member of the household**.
  All responses to the screening questions must come from an adult resident of the household. Do not query neighbors for household composition, or record answers based on your observations of household members.

If an eligible screening respondent is not available, consider leaving a "Sorry I Missed You" card indicating that you will return. Before you start working, discuss with your FS the practice of leaving these cards in the area where you will be working. **DO NOT** leave your telephone number on this card or on any other materials left at the homes of potential respondents. This rule exists for your personal security.

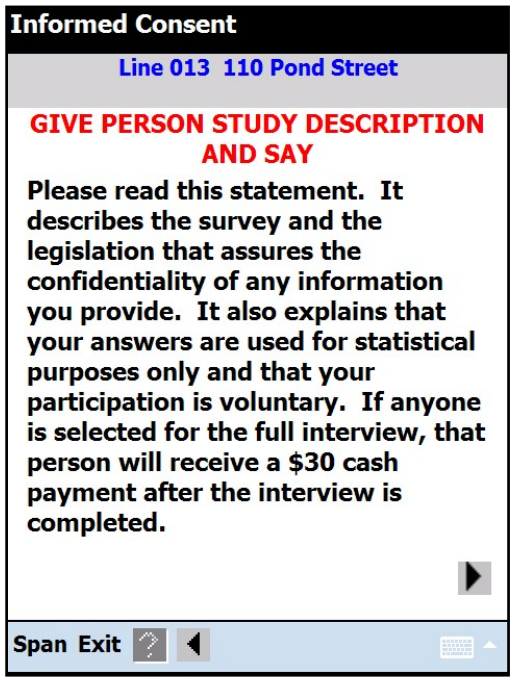
Once you are speaking with an eligible screening respondent, verify with the SR that you are at the correct unit and have the physical address of the unit recorded accurately in the iPAQ.



4.10 Informed Consent

Next, give the respondent a copy of the Study Description to read and to keep. When ready, read aloud from the text on the iPAQ Informed Consent screen, shown to the right. Consider memorizing this important script in order to present this important information accurately while maintaining eye contact with the respondent.

Never ask the respondent to return the Study Description – the copy you provide at the Informed Consent screen is theirs to keep. If the respondent tries to give the Study Description back to you, politely encourage them to keep it by saying something like, "That is your copy to keep, for reference." If the respondent still insists on returning it, you may accept it. You should also make a note of this in the Record of Calls.



The Study Description, as shown in ***Exhibit 4.3***, indicates that:

1. The information respondents provide will be handled in the strictest confidence.
2. Their participation in the study is voluntary.

By law, each participant in the NSDUH must first be informed of the individual's rights and then agree to participate based upon that knowledge. By reading the introductory text shown and providing the Study Description for the respondent to keep as instructed, you give the respondent the information to make an informed decision about participation (Note: the Study Description is part of the informed consent process and should not be handed out when trying to gain participation, rather used only when directed during the screening and/or interview). Another important component of respondents' right to informed consent is an explanation of any potential risks or benefits associated with participation. Since RTI began contacting households for this survey, the field staff have conducted over one million screenings and over 500,000 interviews—all completed with no reported incidents involving a breach in confidentiality or any problems as a result of respondents' participation in the survey. Based on this information, the RTI's Office of Research Protection determined that participation in this study does not pose any known risk to its participants.

The goal of these introductory screens is to give the resident enough information to gain his or her confidence so that you can continue with the screening process. The iPAQ screens are worded carefully to provide the necessary information to the resident in a concise, direct manner.

Although this usually goes smoothly, there may be special situations requiring more effort on your part to be sure all respondents are fully informed. Consider the following:

- **SR cannot read**: Read the Study Description aloud to the SR
- **SR only speaks Spanish**: If you are an RTI-Certified bilingual FI, use the Spanish version of the Study Description, reading the text aloud if the person cannot read. If you are not certified and are using a translator to obtain the screening information, provide the Spanish version for the SR, asking the translator to read it aloud if the SR cannot read.
- **SR only speaks another language other than English or Spanish**: Ask the translator to translate the content of the Study Description, reading it aloud to the SR.

Additional details for handling language barriers are provided in the next section.

You are responsible for following these procedures which include covering the information on the **Study Introduction** screen and reading the **Informed Consent** screen as shown. Doing so will ensure all residents are fully informed of their rights before they participate and that contact with each SDU is standardized.

Exhibit 4.3 Study Description

U.S. Public Health Service
Center for Behavioral Health
Statistics and Quality

Study Description

Your address is one of several in this area randomly chosen for the 2011 National Survey on Drug Use and Health. This study, sponsored by the United States Public Health Service, collects information for research and program planning by asking about:

- tobacco, alcohol, and drug use or non-use,
- knowledge and attitudes about drugs,
- mental health, and
- other health issues.

You cannot be identified through any information you give us. Your name and address will never be connected to your answers. Also, federal law requires us to keep all of your answers confidential. Any data that you provide will only be used by authorized personnel for statistical purposes according to the Confidential Information Protection and Statistical Efficiency Act of 2002.

The screening questions take just a few minutes. If anyone is chosen, the interview will take about an hour. You can refuse to answer any questions, and you can quit at any time. **Each person who is chosen and completes the interview will receive $30 in cash.**

If you have questions about the study, call the Project Representative at . If you have questions about your rights as a study participant, call RTI's Office of Research Protection at (a toll-free number). You can also visit our project Website: http://nsduhweb.rti.org/ for more information.

Thank you for your cooperation and time.

, Project Officer
Center for Behavioral Health Statistics and Quality
Substance Abuse and Mental Health Services Administration (SAMHSA)
U.S. Public Health Service
Department of Health and Human Services

Your confidentiality is protected by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA, PL 107-347). Any project staff or authorized data user who violates CIPSEA may be subject to a jail term of up to 5 years, a fine of up to $250,000, or both.

4.11 Handling Language Barriers

In certain areas when someone initially answers the door, you may encounter a language barrier. If the language is Spanish and you are an RTI-Certified Bilingual interviewer, continue with your introduction in Spanish. In other situations, follow these steps:

SR speaks only Spanish

1. Try to locate another eligible SR in the DU who speaks English.

2. Ask the person at the door about using another member of the household to serve as a translator for the screening questions. Most households have access to someone, often a young person, who can communicate well enough in both languages to interpret the screening questions for the Spanish speaking SR.

   If the person offers, you can use a friend of the household or a neighbor as the translator. You are not to suggest this, since it raises concerns about the confidentiality of the information. However, if the potential SR offers, it is permissible.

3. RTI provides a 'Spanish Card' which has this request for a translator from within the household written in Spanish (see ***Exhibit 4.4***). Side 1 says:

> Hello – I'm sorry, but I don't speak Spanish. I'm here because I'm working on a nationwide health study sponsored by the U.S. Public Health Service. This study is completely confidential.
>
> Is there someone here that speaks English? If yes, can you please ask him or her to come to the door? Thank you.
>
> *Side 1: Explaining why I'm here—giving a brief description of the study—asking for a translator.*

   At the bottom of the card is a reminder in English of the content.

   Show the card to the person at the door. Do NOT try to read the card out loud. (The only staff qualified to read it are those that do not need the card.)

   If no one is available that speaks English, turn the card over. Side 2 says:

> A Spanish-speaking co-worker will be coming back to speak with you about this important study.
>
> What day(s) and what time(s) would you prefer that a Spanish-speaker come back to speak with you? Please circle the day(s) and time(s) of your preference. Thank you.
>
> MONDAY [Monday] TUESDAY [Tuesday] WEDNESDAY [Wednesday] THURSDAY [Thursday] FRIDAY [Friday] SATURDAY [Saturday] SUNDAY [Sunday]
>
> 9:00 AM TO 12:00 PM 12:00 PM TO 3:00 PM 3:00 PM TO 5:00 PM
>
> 5:00 PM TO 7:00 PM 7:00 PM TO 9:00 PM
>
> *Side 2: A Spanish-speaker will be returning—what days and times are best?*

Provide a pen to the person at the door in order to circle the best day and time for a bilingual interviewer to return. Thank the person for their help.

When completing the ROC for the case, enter the marked days and times so that the bilingual interviewer has access to the information. Be sure to later discuss the situation with your FS, so that the case can be transferred.

4. As needed, continue to visit the household at different times of day on different days of the week in an attempt to find someone that speaks English. Be sure to talk with your FS about the case.

5. Record the visit and any pertinent information in the iPAQ's ROC.

SR speaks another language

1. Try to locate another eligible SR in the DU who speaks English.

2. Ask the person at the door about using another member of the household to serve as a translator for the screening questions. Most households have access to someone, often a young person, who can communicate well enough in both languages to interpret the screening questions for the SR.

   If the person offers, you can use a friend of the household or a neighbor as the translator. You are not to suggest this, since it raises concerns about the confidentiality of the information. However, if the potential SR offers, it is permissible.

3. RTI provides a card which has this request for a translator from within the household written in several other languages (see ***Exhibit 4.5***). (See the above text for Side 1 of the Spanish card for the English translation.) Included languages are:

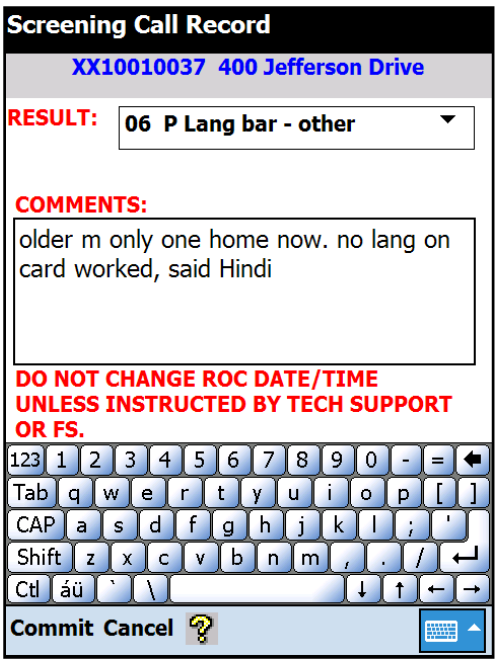
Arabic	Korean
Chinese	Polish
French	Russian
German	Tagalog
Italian	Vietnamese

You are NOT expected to be able to choose the appropriate language for the person. Simply show the card to the person in hopes they will recognize their language on the card. If, however, you are positive you know the language of the household, point to the appropriate language as you show the card. Only point if you are certain, as guessing incorrectly may be confusing to the person.

This list is not all-inclusive, but has the text translated into the top 10 languages spoken at home in the United States (besides English and Spanish) according to the U.S. Census Bureau. Similar to Spanish, which includes numerous dialects from various countries, the above languages are general categories. For example, Chinese includes both the Mandarin and Cantonese dialects.

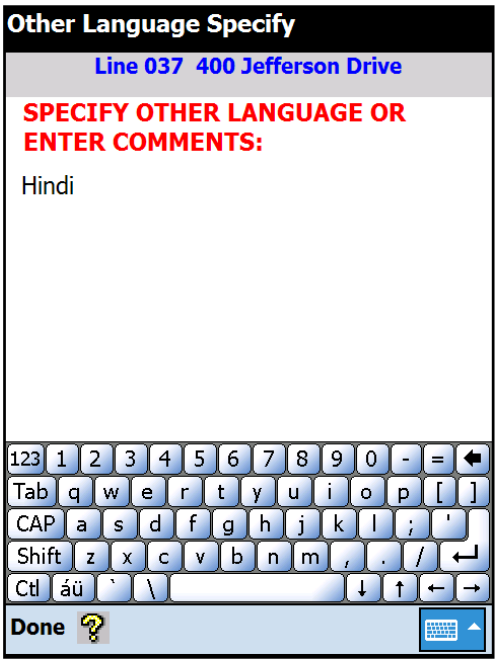
4. Record the visit and any pertinent information in your iPAQ's ROC.

   Note: you will only use a language barrier code (such as 05 or 06) if the language barrier prevented you from completing the screening. If you were able to complete screening with another SR or through a translator, use the appropriate final screening result code.



5. For pending or final other language barrier codes, when prompted by the iPAQ, record the language. Do not ask the SR, but make your best guess. If the language does not appear on the iPAQ, choose Other Specify and then, when prompted, type the appropriate language. If you do not know, indicate that on the Other Language Specify screen. Also feel free to include any relevant comments on this screen.





6. Be sure to discuss the situation with your FS.

Keep in mind your goal is to obtain accurate screening information. Remember you cannot use a translator for the interview, only for screening.

Exhibit 4.4 Spanish Card

Hola - Disculpe, pero yo no hablo español. Vengo a visitarlo(a) porque estoy trabajando para un estudio a nivel nacional sobre la salud, el cual es patrocinado por el Departamento de la Salud Pública de los Estados Unidos. Este estudio es estrictamente confidencial.

¿Hay alguien aquí que habla inglés? Si es así, ¿puede pedirle a él/ella que se acerque a la puerta? Gracias.

Side 1: Explaining why I'm here—giving a brief description of the study—asking for a translator.

Un(a) compañero(a) de trabajo que habla español regresará para hablar con usted acerca de este estudio importante.

¿Qué día(s) y a qué hora(s) preferiría que una persona que habla español venga a hablar con usted? Por favor marque con un círculo los días y las horas de su preferencia. Muchas gracias.

LUNES	MARTES	MIÉRCOLES	JUEVES	VIERNES	SÁBADO	DOMINGO
[Monday]	[Tuesday]	[Wednesday]	[Thursday]	[Friday]	[Saturday]	[Sunday]

DE 9:00 AM A 12 DEL MEDIODÍA DE 12 DEL MEDIODÍA A 3:00 PM
DE 3:00 PM A 5:00 PM DE 5:00 PM A 7:00 PM
DE 7:00 PM A 9:00 PM

Side 2: A Spanish-speaker will be returning—what days and times are best?

Exhibit 4.5 Other Language Introduction Card

Other Language Introduction Card

Arabic/اللغة العربـــية

السلام عليكم – أعتذر إليكم، فأنا لا أتكلّم **اللغة العربـــية**. لقد أتيت إليكم لأني أعمل في دراسة صحية تشمل الولايات المتحدة كلها، وهي دراسة تُموّلها دائرة الصحة العامة بالولايات المتحدة، والدراسة معلوماتها مؤتَمنة تماماً.

هل يوجد أحد هنا يَتكلّم اللغة الإنجليزية؟ إن كان موجوداً، فهل بالإمكان أن تســـتدعيه إلى الباب من فضلك؟ مع جزيل الشكر.

Chinese/中文

嗨-對不起，可是我不會說**中文**。我是為全美公共健康協會主辦的一項全國性的健康調查而前來登門拜訪的。本調查絕對保密。

請問有人會講英文嗎？如果有的話，可以請他/她來說話嗎？謝謝。

French/français

Bonjour — Je suis désolé mais je ne parle pas **français**. Je travaille sur une étude de santé à l'échelle nationale parrainée par le Service de santé publique des États-Unis. Cette étude est entièrement confidentielle.

Est-ce que quelqu'un parle anglais chez vous ? Si oui, pouvez-vous demander à cette personne de s'approcher de la porte ? Je vous remercie.

German/Deutsch

Hallo – Es tut mir leid, aber ich spreche kein **Deutsch**. Ich bin hier, um an einer nationalen Gesundheitsstudie zu arbeiten, die von der U.S. Public Health Service gesponsert wird. Diese Studie ist streng vertraulich.

Gibt es hier jemanden, der Englisch spricht? Falls ja, könnten Sie ihn oder sie fragen, zur Tür zu kommen? Vielen Dank.

Italian/Italiano

Salve – Mi spiace ma non parlo **Italiano**. Sono qui perché lavoro ad uno studio sanitario nazionale patrocinato dall'U.S. Public Health Service (Servizio Sanitario Pubblico Statunitense). Questo studio è assolutamente riservato.

C'è qualcuno qui che parla l'inglese? Se sì, può chiedergli (o chiederle) di venire alla porta? Grazie.

Exhibit 4.5 Other Language Introduction Card (continued)

Korean/한국어

안녕하세요? 죄송합니다만, 저는**한국어**를 할 수 없습니다. 저는 미국 공중 보건 서비스(U.S. Public Health Service)에서 후원하는 전국 보건 연구팀에서 근무하고 있어 방문하게 되었습니다. 이 연구는 전적으로 기밀이 보장됩니다.

영어를 하실 수 있는 분이 여기 계십니까? 계시다면, 그 분께 문가로 나와주시도록 부탁드려 주시겠습니까? 감사합니다.

Polish/polsku

Dzień dobry. Przykro mi, ale nie rozmawiam po **polsku**. Pracuję tutaj nad ogólnonarodowym badaniem zdrowia sponsorowanym przez U.S. Public Health Service. To badanie jest ścisle poufne.

Czy jest ktoś tutaj kto mówi po angielsku? Jeśli tak, czy możesz poprosić jego/ją o podejście do drzwi? Dziękuję.

Russian/**по-русски**

Здравствуйте! Извините, я не говорю **по-русски**. Я обращаюсь к Вам по поводу общенационального опроса о состоянии здоровья населения, спонсором которого является Министерство здравоохранения США. Этот опрос проводится с соблюдением полной конфиденциальности.

Есть ли здесь кто-либо, кто говорит по-английски? Если есть, не могли бы Вы пригласить его/ее подойти к двери? Спасибо.

Tagalog

Kumusta po – Ipagpaumanhin po ninyo, ngunit hindi ako nagsasalita ng **Tagalog**. Naririto ako dahil nagtatrabaho ako sa isang pambansang kalusugan na pag-aaral na itinaguyod ng U.S. Public Health Service (Serbisyo ng Pampublikong Kalusugan ng Estados Unidos). Ang pag-aaral na ito ay hindi ipagsasabi sa iba.

Mayroon ba dito sa inyo na nagsasalita ng Ingles? Kung oo, maaari po ba ninyong hilingin na pumunta siya dito sa pintuan? Marami pong salamat.

Vietnamese/Tiếng Việt

Xin chào – Rất tiếc là tôi không nói được **Tiếng Việt**. Tôi hiện diện nơi đây vì hiện đang làm việc cho một cuộc nghiên cứu về sức khỏe trên toàn quốc được sự tài trợ của U.S. Public Health Service (Dịch Vụ Y Tế Công Cộng Hoa Kỳ). Cuộc nghiên cứu này hoàn toàn được bảo mật.

Ở đây có ai nói được tiếng Anh hay không? Nếu có, có thể ông/bà yêu cầu người này đến cửa được không? Cám ơn ông/bà.

4.12 Handling Controlled Access Situations

In certain situations, there may be assigned DUs in an apartment building, group of buildings, or entire community which you can locate but cannot readily access the doors of the selected DUs. This may be for many reasons, such as:

- a guard, door person, or front gate personnel
- security-coded door bells
- access codes needed to open doors or gates
- locked gates or gates with posted "no trespassing" signs
- intercoms used to announce the presence of a visitor
- key required to gain access to the entrance or doorbells.

In order to gather data about the types of situations encountered, for each SDU you will record information about the physical features of that SDU and any controlled access situation you encounter. This simple task is explained in detail in ***Section 6.10***.

Each of the above circumstances can present a unique set of problems when you attempt to contact SDUs. In your review of your assignment materials, make note of any possible access situations. Usually, the person preparing the listing has already experienced—and resolved—the access problem.

While challenging, few of these locations are impossible to enter. Interviewers have been successful by carefully observing the situation, contacting the proper personnel and then providing a thorough explanation of the study. Some tips that may help in gaining access include:

- Always display your photo ID badge prominently.
- Carry extra copies of handouts such as the lead letter and Q&A Brochure (these are explained in detail in upcoming sections).
- Be observant. Look for signs or plaques mentioning the name of the manager or owner of the building.
- Tell a guard or door person that you are not selling anything, you are not going door-to-door, and you have specific units to visit. Explain that you have sent a letter (show copy) and that the individual residents were notified and may be expecting your visit. State that this is not a marketing survey.

  Also explain that selected respondents who complete the interview are given a cash payment. Most guards will not want to deny residents the chance to earn some extra money! However, do not reveal the actual amount of the incentive—in some neighborhoods, $30 may not be a significant amount.
- Be persistent. Go ahead and do your absolute best to gain entry during your initial visits. Sometimes as more time goes by, the situation becomes more challenging. The guard may ask a supervisor about you without allowing you to present your story or may become more stubborn about not allowing you to do your job.

- If it becomes necessary to speak to a manager or owner, emphasize how important the survey is and that RTI has strict rules about privacy and confidentiality. Tell the manager that the interview is voluntary and that you will give the respondent the opportunity to make an informed decision about participating in the study.
- If necessary, ask your FS to send a letter to the management of the location explaining your visit and asking for their cooperation. The FS might find it necessary to contact a housing board or association in person.
- A five minute video entitled "Your Important Role" can also be sent by FS request. ***Exhibit 4.6*** contains the well-worded script for this video.
- In attempting to gain access to the property, ALWAYS be respectful of and comply with, applicable federal, state and local property laws, including trespassing laws. Do not attempt unlawful measures to enter a property [ex: climbing fences, etc].

Each situation is unique. You should diligently explore every avenue possible, remaining open to methods or approaches that may vary considerably based on location. In most cases, **you should gather all relevant facts possible and complete the FI Segment Access Documentation Form** (***Exhibit 4.7***). **Prepared with the details, call your FS to discuss a plan of action**. As mentioned, a letter may help. Ongoing communication between you and your FS is vital in dealing with any controlled access situation. Your FS has a copy of RTI's "Guide to Controlled Access Situations" plus information from RTI's Website about controlled access situations identified during other phases of the study. Your FS can access these resources to locate additional ideas about how to gain access to problem areas. In addition, a helpful chart with suggestions for dealing with a variety of controlled access situations can be found in ***Exhibit 4.8*** of this chapter.

Exhibit 4.6 Controlled Access Video Script

Your Important Role

This message comes to you from Research Triangle Institute in North Carolina. RTI is a not-for-profit research organization affiliated with the University of North Carolina, Duke University, and North Carolina State University. One type of research we do here, survey research, involves talking to people all over the country. Sometimes we ask for their opinions, and sometimes we ask for very detailed information. For this study, participants are able to receive 30 dollars for completing the survey.

Right now, RTI is collecting information for the United States Public Health Service through their annual National Survey on Drug Use and Health. The purpose of this study is to provide Government administrators and policy makers, and the public, with statistics on a variety of health related issues, including the use of tobacco, alcohol, and non-medical use of a variety of drugs, as well as access to health insurance and issues related to mental health.

What we call the "sampling process" is extremely critical in a scientific survey like this one. The survey results are meant to reflect the entire American population which obviously includes many individuals who don't use drugs, alcohol, or tobacco at all. To do this, a computer randomly selects smaller and smaller geographical areas, until ultimately, a household address—not a name—is selected, and the people we interview collectively represent the entire population of the United States.

It happens, as it should, that some of these addresses are located in residences where we just can't walk up to the door, such as secure buildings, gated neighborhoods, and dormitories. In fact, some of your residences are among these selected addresses. We are very aware that you are responsible for the security and privacy of your residents, and we know that you don't take that responsibility lightly.

I'm speaking to you today to ask you for your help. Most of our selected households are already aware that someone from RTI is coming to see them. We've sent them a letter, explaining that one of our professional interviewers will be in the neighborhood to provide additional information. This letter mentioned that they may have the opportunity to earn a cash payment for their participation. Please understand that we have nothing to sell, nor are we soliciting donations. We also want to make it clear that participation is voluntary. But, the decision to participate or not is really up to the selected residents, which is why we need access to some of the residential units.

Exhibit 4.6 Controlled Access Video Script (continued)

Remember, we are not knocking on every door—we will only be visiting those selected addresses to which we have already sent a letter.

The RTI interviewer will have an identification badge that is prominently displayed. With your permission, he or she will contact only those households that were selected through our sampling process. You are welcome to provide information to our interviewer on addresses that are vacant or seasonal and will not need to be visited.

Every RTI interviewer has been trained especially for this national survey. After they introduce themselves, they explain the study and obtain permission to ask a few screening questions to find out if anyone at the address is eligible to participate. If someone is eligible, the interviewer will ask that person to take part in the full study. They'll spend between 45 minutes and an hour, at the participant's convenience, privately completing an interview on a laptop computer.

Our interviewers do not ask for, or record, a participant's full name. The information obtained remains confidential forever, protected by a number of safeguards.

At the end of this video, you'll see a listing of Website addresses where you can access additional information about this study. Our interviewer or one of our field supervisors will call on you again in the next few days.

In the meantime, please understand that the work we're doing here is very important, and that we're making an important request. We understand general policies regarding unwanted solicitation. However, residents at each selected address should have the opportunity to decide for themselves whether or not they choose to participate in this study. It is their own decision to make.

On behalf of the U.S. Public Health Service, and Research Triangle Institute, thank you for your time and assistance.

Exhibit 4.7 FI Segment Access Documentation Form

NSDUH
FI SEGMENT ACCESS DOCUMENTATION FORM

Segment ID#_____ Quarter____ Date _____
City/Town_____ County_____
FI Name_____ FI Gender: M F
FS Name_____ FS Gender: M F
RS Name_____ RD Name_____
Phase: C/L S/I (If S/I please complete the next 3 items)
Exact No. of Unactivated SDUs in CA Situation_____
Exact No. of Pending Screenings in CA Situation (only include activated SDUs)_____
Exact No. of Pending Interviews in CA Situation_____

DU Type

_____Single Family DU
_____Apartment Complex/Community/Development
_____College/University
_____Military Base
_____Boarding School
_____Shelter

Type of Situation *(check all that apply)*

_____Apartment Building (garden style)
_____Apartment Building (high rise)
_____Gated Community
_____Retirement Community
_____Assisted Living Center
_____Job Corps Facility
_____Halfway House
_____Drug Treatment Facility
_____Home for mentally/physically challenged
_____College/University
_____Boarding School
_____Military Base
_____Shelter
_____Locked Building
_____Locked Gate
_____Security System
_____No Trespassing Signs
_____Front Desk Attendant
_____Building Without Attendant
_____Intercom/Buzzer with Labels
_____Intercom/Buzzer without Labels
_____On-site Manager
_____Off-site Manager
_____Weather
_____Bad Road
_____Guard Dogs
_____Other, Specify_____

Complete Name of Property *(apartment complex, community, development, etc.)*:

_____

Demographics of Population *(include age, race and income level of community)*:

_____

Description of Situation *(include type of situation, contact with management or residents to date, method of contact, and dates of contact)*: _____

_____

_____

(OVER)

Exhibit 4.7 FI Segment Access Documentation Form (continued)

Contact Information *(if for college/university or military base, see below)*:

Name of Contact Person_____

Title of Contact Person_____ Gender: M F

Phone number_____ Fax Number *(if applicable)* _____

Street Address_____

City_____ State_____ Zip _____

Specific Concerns of Contact Person/Management/Respondent *(describe **their** concerns)*:_____

College/University/Boarding School

Name of Contact Person_____ Gender: M F

Title of Contact Person_____ Ph.D.: Y N

Full Name of School_____

Types of Facilities Involved (dormitories, fraternities, student apartments)_____

Complete Names of Facilities Involved *(example: Cox Hall)*_____

Number of Selected Rooms in Each Facility_____

Address_____

City_____ State_____ Zip_____

Phone Number_____ Fax Number *(if applicable)*_____

Military Base:

Branch (circle one): Air Force Army Coast Guard Marines Navy

Name of Contact Person_____

Rank *(if active duty)*_____ Gender: M F

Title of Contact Person_____

Full Name of Base_____

Address_____

City_____ State_____ Zip_____

Phone Number_____ Fax Number *(if applicable)*_____

8/07

Exhibit 4.8 Controlled Access Issues and Possible Solutions

Controlled Access Type	Potential Issues	Possible Solutions
Intercoms/ Buzzers (Locked Buildings)	1.No labels, names or numbers on intercom/buzzer	1. Ask someone if you can walk in with him/her (talk with FS first) 2. Try to find out when mail carrier comes 3. If you've completed a screening or interview, try to get back in touch with that person to gain entrance again 4. Look online for website to locate additional information, such as a management contact, numbering system, vacant apartments, open houses, etc. 5. Once you gain access to the building, stay in until your work is done 6. Buzz units at random to try to determine if it is a selected DU
	2. No intercom, but has buzzer for each unit. No one answers buzzer at the SDU	1. Ask someone if you can walk in with him/her (talk with FS first) 2. Try visiting in the early morning or between 5-6pm (talk with FS first) 3. Speak with neighbor to see what time residents get home and go then (do not mention study name/subject) 4. After talking with FS, try to get in touch with management to find out which units are not occupied
	3.No working intercom/buzzer	1. Have a friendly interaction with residents in hopes they will allow you access (talk with FS first and do not mention study name/subject) 2. Visit after school or work 3. Enter good ROCs with information gathered from residents 4. Try other doors/alternate entrances 5. Seek out mail carrier 6. Once you gain access to the building, stay in until your work is done
Dogs/Animals	1.Can't get out of car due to loose dog/animals	1. Honk horn, loudly but nicely say "Hello!" from car, smile and wave 2. Try back another time and enter good notes in ROCs 3. Check with neighbor to find out when resident gets home and try back then
College/ Student Housing	1.Housing Director (or other administrator) won't allow access	1. Review the situation with FS before visiting 2. Talk with FS about meeting with Housing Director/administrator to explain the study 3. Have Housing Director or their designee escort you to the SDUs 4. Set up screenings/interviews in common area with specified dates/times for meetings

Exhibit 4.8 Controlled Access Issues and Possible Solutions (continued)

Controlled Access Type	Potential Issues	Possible Solutions
Locked/Gated Community	1.Management/Board denies access	See Guard section
	2.Wall around community, keypad access, no on-site personnel, no security or management information posted	1. Review the segment materials to see how the lister gained access (or check with FS if this information is not available) 2. Search for alternate entrances, walk thru gates, service entrances, golf cart path 3. Go through the gate at the same time as someone else if there is no indication that this is illegal and you're comfortable doing this (talk with FS first) 4. Park outside community and walk in if there is no indication that this is illegal and you're comfortable doing this (talk with FS first) 5. Look online for website or talk with FS to locate management contact, community information
	3.Only one car can get through entrance per time; requires code to get in or out	1. Review the segment materials to see how the lister gained access (or check with FS if this information is not available) 2. Search for alternate entrances, walk thru gates, service entrances, golf cart path
	4.Small community [5-6 houses] behind protective gate without a guard	1. Get resident's attention, honk horn 2. Wait at gate 3. Follow someone in if there is no indication that this is illegal and you're comfortable doing this or look for another entrance
Guard (Apartment Buildings, High Income Neighborhoods, etc.)	1.Can't get past guard	1. Show Authorization Letter 2. Advise guard that residents have been informed you are coming, may have appointments 3. Go back when a different guard is on duty 4. Build rapport, make them feel important 5. Have your hands full, may not stop you 6. Look like you belong, dress professionally, wave and smile when walking or driving in 7. Ask guard for the name of their supervisor or someone else you can talk to
	2.Guard says you need to talk to management	1. Gather all contact information for FS 2. Discuss with FS (do not contact management directly) 3. Determine if you can make direct contact with a resident who will grant you access

REVIEW OF CHAPTER 4

Contacting Dwelling Unit Residents

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- The first steps that you will always take when contacting DUs will be done at home: organizing your materials and planning your field schedule.
- The entire screening process, from when you are locating a DU to asking specific screening questions, is coordinated with your handheld computer, the iPAQ.
- The history and results of each contact with a DU are recorded in the iPAQ's Record of Calls or ROC. You will assign a result code, either pending or final, to each entry you make in the ROC.
- You will prepare and send to each SDU (with a mailable address) in your assignment a lead letter prior to beginning work in an area. The purpose of this letter is to introduce you as a professional interviewer who will be visiting their home in regards to an important national study.
- When introducing yourself at the door, your approach should be friendly and professional using language that is brief and clear.
- After your introduction, three important steps are necessary to begin the screening: locating an eligible screening respondent (an adult resident), verifying the address, and providing informed consent information.

QUESTIONS TO ASK YOURSELF

1. When you have a sufficient number of cases to work (such as at the beginning of a quarter), what is the absolute minimum number of hours that you should spend in the field on each trip (not including travel time)?

2. What time periods during the week are your most productive working hours?

3. Where are all of the SDUs in your segment listed?

4. Build Case ID numbers from the following information.

   The DU: is located in Ohio in segment 1310.
   is an HU listed at line number 184.

   The DU: is located in segment 0912 in Georgia.
   is an HU listed at line number 072.

5. Assign a code for the following situations.

   You approach a house and all of its residents speak only Polish.

   At an apartment, the only adult at home is the babysitter.

   You drive to a house that looks like no one is home—there are no cars in the driveway; you knock on the door and there is no answer.

6. Who mails the lead letters to SDUs with mailable addresses?

7. When should lead letters be mailed?

8. What entries do you make on each lead letter before it is mailed?

9. Your FS assigns you all the Partition 1 SDUs in a segment. For which SDUs do you prepare lead letters?

   a. all SDUs on the Selected DU List.
   b. all SDUs in Partition 1 on the Selected DU List.
   c. all SDUs in Partition 1 on the Selected DU List that have a mailable address.

10. What are the two main points of the Study Description?

5. OBTAINING PARTICIPATION

5.1 Introduction

Obtaining the trust and participation of a respondent to complete a screening requires careful preparation. Displaying confidence, knowing the study, and being comfortable with the equipment will greatly increase your chances of success. However, that is not all you need to know. This chapter presents some techniques handed down from experienced interviewers and survey experts to deal with reluctant respondents: being prepared and professional, listening to what a respondent is really saying, and correctly addressing a respondent's concerns—sometimes before they have been raised.

5.2 Tools for Obtaining Participation

5.2.1 Lead Letter

As mentioned in ***Chapter 4***, before you begin working an area, you must mail a lead letter to each assigned SDU. You have an additional supply of letters to hand to residents who either do not remember receiving the letter or did not receive one because of an insufficient or incorrect mailing address. Remember, do not leave lead letters at any SDU door—blank or addressed. Blank lead letters are to be used during screening if needed.

5.2.2 RTI Photo ID Badge

Each interviewer working on this study will be issued a photo identification badge (see ***Exhibit 5.1***). Remember: you **must** always wear your ID badge when working on the NSDUH. Wearing your badge helps potential respondents verify who you are and your legitimacy as a professional interviewer on the NSDUH. So be sure your badge is prominently displayed as you knock on the door of an SDU. Also be sure to maintain your badge's appearance, as an untidy badge may raise concerns with a potential respondent. If your badge looks worn from use, request another one from your FS.

Exhibit 5.1 RTI Photo ID Badge

5.2.3 SAMHSA FI Authorization Letter

You will also have a personal identification letter provided by SAMHSA, the sponsor of the study. This letter shows that SAMHSA formally authorizes you to work on the NSDUH for RTI (see ***Exhibit 5.2***). Show this to respondents or others who question your legitimacy as an interviewer.

5.2.4 The Q & A Brochure

Entitled "Answering Your Important Questions," the NSDUH Q&A (Question and Answer) Brochure (see ***Exhibit 5.3***) provides a ready reference to the study, including answers to commonly asked questions. You will have copies to give to people who ask for additional information or to leave when a respondent is not available when you visit. You are also required to give a brochure to each adult interview respondent or parent or guardian of a youth respondent (see ***Section 8.11.2)***. It is imperative that you study and learn the information contained in the brochure. In addition to showing the brochure to people, you must be able to reference the information and discuss it in your own words.

5.2.5 NSDUH Information

With the importance given to statistics about drug use and abuse, you will have handouts to offer that were produced using survey data. You may simply show these to interested or hesitant respondents who wish to see proof about how the information is used, or you may give copies to the respondents. The following will be provided to you:

- Highlights from the 2009 study (see ***Exhibit 5.4***)
- Summary of Findings
- Short Reports—relevant news briefs based on NSDUH facts
- Newspaper articles about the NSDUH
- "Who Uses the Data?" handout (see ***Exhibit 5.5***)
- RTI/SAMHSA Fact Sheet

In the past, RTI and SAMHSA reviewed articles from local papers or from the Internet that were submitted by field staff for possible NSDUH use. Due to difficulties and expenses related to obtaining copyright permission to reprint articles, local or Internet articles will no longer be considered. It is critically important that the interviewing process be standardized so that all interviewers have the same materials available.

However, in the fall of each year around the time of the SAMHSA press release announcing the results from the previous year, RTI staff search for interesting, unbiased articles that could be used nationally for the next survey year. If you wish, send any interesting articles released **shortly after the SAMHSA press release** to your FS who will forward them to RTI for the review/approval/copyright investigation process.

If you are ever contacted by government officials or the news media for an interview, contact your FS who will pass along the information. Regional Directors and the National Field Director will work with SAMHSA to respond to the request.

Exhibit 5.2 SAMHSA FI Authorization Letter



DEPARTMENT OF HEALTH & HUMAN SERVICES

Substance Abuse and Mental Health Services Administration

Rockville, MD 20857

January - December 2011

To Whom It May Concern:

This letter certifies that <<Fname>> <<Lname>> is a representative for the National Survey on Drug Use and Health, sponsored by the Substance Abuse and Mental Health Services Administration (SAMHSA). Research Triangle Institute (RTI), a nationally recognized research organization with headquarters in Research Triangle Park, North Carolina, is under contract to the Federal Government to perform all data collection activities associated with the survey (DHHS Contract Number: HHSS283200800004C).

If you need additional assurance that <<Fname>> <<Lname>> is a legitimate RTI representative assigned to this government sponsored study, please contact , National Field Director, at , or the National Study Director at , between 9:00 AM and 5:00 PM ET, Monday through Friday.

Thank you for your cooperation.

Sincerely,

National Study Director,
Center for Behavioral Health Statistics and Quality

Exhibit 5.3 Question and Answer Brochure

Answering Your Important Questions about the

National Survey on Drug Use and Health

What is the Substance Abuse and Mental Health Services Administration (SAMHSA)?

The Substance Abuse and Mental Health Services Administration (SAMHSA) is an agency of the U.S. Public Health Service in the U.S. Department of Health and Human Services (DHHS). SAMHSA was created in 1992 to provide leadership and a Federal focus for the Nation's mental health and substance abuse treatment and prevention programs. NSDUH is used to help facilitate this mission by monitoring the nature and extent of substance use in the United States, as well as the consequences of this use.

How Does the Government Conduct the Study?

Under a competitive bidding process, SAMHSA selects a survey research organization to administer NSDUH. Currently, Research Triangle Institute (RTI) is under contract to conduct NSDUH through 2013. RTI, which is located in Research Triangle Park, North Carolina, and closely associated with the University of North Carolina, Duke University, and North Carolina State University, is a large, experienced research organization that has conducted NSDUH since 1988.

How Was I Selected?

A scientific random sample of households is selected throughout the United States. Once selected, no other residence can be substituted for any reason. A professional RTI interviewer makes a personal visit to each household to ask several initial questions. One or possibly two residents of your household may be asked to voluntarily participate in the survey. If you are selected, no other person can be substituted. Since the survey is based on a random sample, you will represent over 4,500 other United States residents.

How Will the Data Be Used?

Government agencies, private organizations, individual researchers, and the public at large use the data for a number of purposes. For example, the U.S. Public Health Service and state health agencies use data from NSDUH to estimate the need for drug treatment facilities. Other federal, state, and local agencies use the information to support their drug use prevention programs and to monitor drug control strategies.

What if I Do Not Smoke, Drink or Use Illegal Drugs?

In order to know the percentage of people who do use these substances, we also have to know how many people do not. Therefore, the responses of people who do not use drugs are just as important as those of people who do. You do not need to know anything about drugs to answer the questions. In addition, we ask a number of health-related questions that are relevant for all people.

How Is the Study Administered?

NSDUH data are collected in the privacy of the participant's home. A professional RTI interviewer personally visits each selected household to administer the NSDUH questionnaire using a laptop computer. For some items, the interviewer reads questions and enters the responses into the computer; however, the participant privately enters most responses directly into the computer. The survey takes approximately 60 minutes to complete.

What Happens to My Information?

Each computerized interview data file—which is identified only by a code number—is electronically transmitted to RTI on the same day the interview is conducted. The answers then are combined with all other participants' answers, and are coded, totaled, and turned into statistics for analysis. As a quality-control measure, you may receive a telephone call or a letter from RTI to verify that the interviewer did complete the survey with you.

CONFIDENTIAL

Will My Answers Be Kept Confidential?

Both SAMHSA and RTI are committed to assuring complete confidentiality of responses. Our interest is only in the combination of all responses nationwide—not anyone's individual answers. Your full name is never recorded or associated with your answers. The information is only used for statistical purposes and cannot be used for any other purpose. Confidentiality of all answers to questions in this survey is assured under Federal law, the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA). Any project staff or authorized data user who violates CIPSEA may be subject to a jail term of up to 5 years, a fine of up to $250,000, or both.

Exhibit 5.3 Question and Answer Brochure (continued)

For more information on NSDUH or SAMHSA, contact:

NSDUH National Study Director
SAMHSA, Center for Behavioral Health Statistics and Quality
1 Choke Cherry Road
Room 7-1009
Rockville, MD 20857

For more information on NSDUH or RTI, contact:

NSDUH National Field Director
Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709

Internet Users: You may access more information about SAMHSA on the World Wide Web at:

http://www.samhsa.gov

Additional information about RTI is available at:

http://www.rti.org

Additional information about the National Survey on Drug Use and Health is available at:

http://nsduhweb.rti.org

V.1.11

National Survey on Drug Use and Health

Answering Your Important Questions

What Is the National Survey on Drug Use and Health (NSDUH)?

The National Survey on Drug Use and Health (NSDUH) is the Federal Government's primary source of national data on the use of alcohol, tobacco, and illicit substances. The survey also contains questions on health, illegal behaviors, and other topics associated with substance use. The study was initiated in 1971 and currently is conducted on an annual basis. This year approximately 70,000 individuals, 12 years old and older, will be randomly selected and asked to voluntarily participate.

The primary objectives of NSDUH are:

- to collect timely data on the magnitude and patterns of alcohol, tobacco, and illegal substance use and abuse;
- to assess the consequences of substance use and abuse; and
- to identify those groups at high risk for substance use and abuse.

Sponsored by

Substance Abuse and Mental Health Services Administration

U.S. Public Health Service

U.S. Department of Health and Human Services

Why Should I Participate?

- NSDUH is the primary source of national data on the use of alcohol, tobacco, and illicit substances. By volunteering in this study, you are helping us gather this important information that is needed to make accurate policy decisions.
- Individual residents of selected households, who are randomly chosen and agree to participate, are given a cash payment of $30 at the end of the interview.
- If selected to participate, you will represent over 4,500 other United States residents. Since our sample is selected based on scientific random sampling, no other household or person can be substituted.
- By participating in this study, you will be assisting with the formation of public policy.

Conducted by

Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709

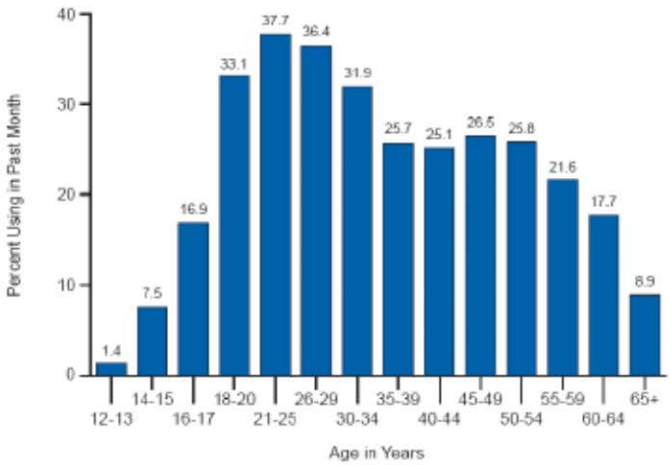
Exhibit 5.4 Highlights from the 2009 Study

SELECTED HIGHLIGHTS from the *2009 National Survey on Drug Use and Health*

Tobacco Use

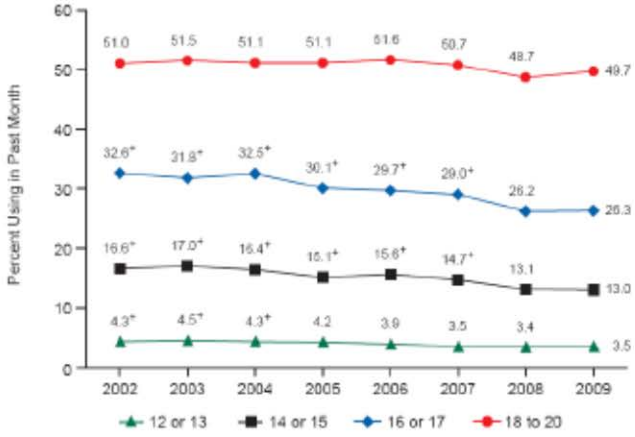
- An estimated 69.7 million Americans reported current use (during the past month) of a tobacco product in 2009, which is 27.7 percent of the population aged 12 and older. About 58.7 million (23.3 percent) smoked cigarettes.
- The graph to the right illustrates past month cigarette use among persons age 12 or older.

Past Month Cigarette Use among Persons Aged 12 or Older, by Age: 2009



Alcohol Use

Current Alcohol Use among Persons Aged12- 20, by Age: 2002-2009



* Difference between this estimate and the 2009 estimate is statistically significant at the .05 level.

- Slightly more than half of all Americans age 12 or older, 51.9 percent or 130.6 million persons, were current drinkers in the 2009 survey, which is similar to the 129.0 million persons (51.6 percent) reported in 2008.
- Although consumption of alcoholic beverages is illegal for those under 21 years of age, 27.2 percent of this age group (10.4 million) were current drinkers in 2009. The graph on the left displays the current use of alcohol for 12–20 year olds from 2002 through 2009.

Illicit Drug Use

- An estimated 21.8 million Americans were current users of illicit drugs in 2009, meaning they used an illicit drug at least once during the 30 days prior to the interview. This estimate represents 8.7 percent of the population 12 years old or older.
- Marijuana is the most commonly used illicit drug, with an estimated 16.7 million current users, or 6.6 percent of the population 12 years old or older, an increase from the 2008 rate of 6.1 percent. Similar to 2008, an estimated 1.6 million persons were current users of cocaine, while 760,000 currently used Ecstasy, an increase from the 555,000 current Ecstasy users reported in 2008.

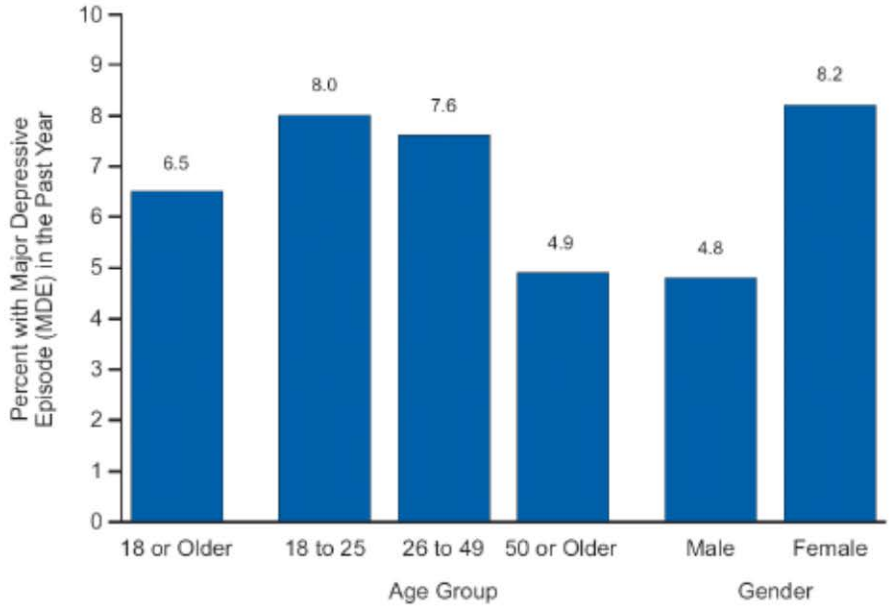
Results from the 2009 National Survey on Drug Use and Health: Summary of National Findings, DHHS/SAMHSA/CBHSQ, September 2010

Exhibit 5.4 Highlights from the 2009 Study (continued)

Mental Health

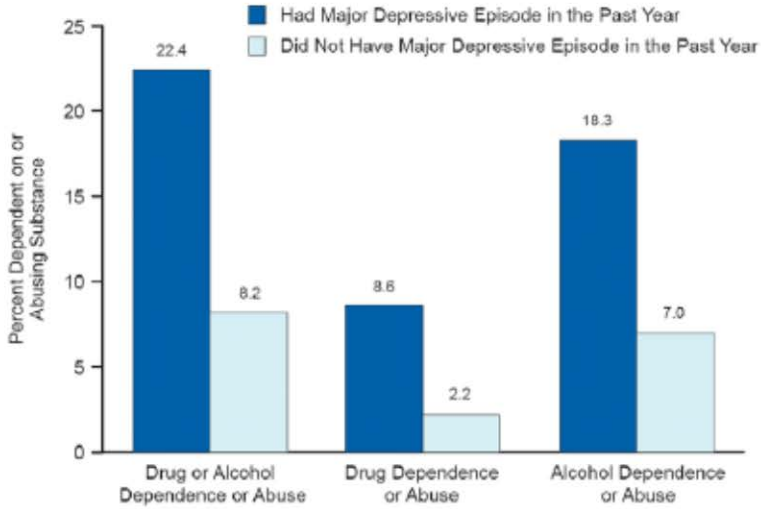
- In 2009, an estimated 14.8 million adults, or 6.5 percent of the population aged 18 or older, had at least one major depressive episode (MDE) in the past 12 months. Among adults, the percentage having MDE in the past year varied by age and gender, as shown in the graph below.

Major Depressive Episode in the Past Year among Adults Aged 18 or Older, by Age and Gender: 2009



- Persons with past year MDE were more likely than those without MDE to have used an illicit drug in the past year (29.5 vs. 13.5 percent).
- Similarly, substance dependence or abuse was more prevalent among persons with MDE than among those without MDE (22.4 vs. 8.2 percent), as shown in the graph to the right.

Substance Dependence or Abuse among Adults Aged 18 or Older, by Major Depressive Episode in the Past Year: 2009



Results from the 2009 National Survey on Drug Use and Health: Mental Health Findings, DHHS/SAMHSA/CBHSQ, 2010

Exhibit 5.5 Who Uses the Data?

National Survey on Drug Use and Health
WHO USES THE DATA?

- The **White House Office of National Drug Control Policy** (ONDCP) uses the data to track progress toward goals in the National Drug Control Strategy.
- The **Substance Abuse and Mental Health Services Administration** (SAMHSA), a part of the U.S. Public Health Service, prepares statistical reports on substance use patterns and trends.
- **SAMHSA** uses the data to identify populations and geographic areas with particular substance abuse problems so that federal resources can be used efficiently for prevention and treatment programs.
- The **Partnership for a Drug-Free America** uses the data to design media advertising campaigns for the prevention of substance use and abuse.
- Based on the trends and patterns of substance use evident in the data, the **National Institute on Drug Abuse** (NIDA) develops research programs targeted toward populations and types of drug use problems where the need is greatest.
- **University-based researchers** use the data to conduct research on important substance use issues, such as the risk and protective factors associated with substance use, personal and societal consequences of substance use, and the impact of policy options for dealing with the substance abuse problem.
- **Substance abuse agencies at the state and local level** use the data to assess the potential need for treatment programs and to design programs that fit the needs of populations served.
- **State and local health departments** use the data to assess area substance use problems and to develop appropriate funding strategies and prevention measures.
- The **U.S. Department of Education** uses the data to inform drug use prevention and education programs and provide educational materials for teachers and administrators.
- The **U.S. Department of Transportation** uses the data on driving after alcohol and illicit drug use to develop prevention programs and materials on impaired driving.
- The **Office on Smoking and Health**, a part of the Centers for Disease Control and Prevention (CDC), uses the data to study trends and patterns in youth tobacco use and to develop strategies for reducing youth tobacco use.
- **Newspaper, television, and radio reporters** use the data in their stories on substance use and abuse.

For additional information on these organizations and their use of NSDUH data, please visit http://nsduhweb.rti.org and click on the "Who Uses NSDUH Data" link.

5.2.6 A Prepared and Professional Interviewer

The single most important tool for obtaining cooperation is—YOU! A knowledgeable interviewer who is organized and behaves in a completely professional manner can usually convince even the most hesitant respondent. Keep in mind the following tips for making a good first impression:

- Wear your ID badge prominently.
- Step back when the respondent opens the door.
- Smile and make eye contact with the respondent immediately.
- Maintain a positive mental attitude.
- Be, look, and act professional.
- Be genuine.
- Let the respondent know the worth and importance of the study.
- Let the respondent know of his or her value and importance to the study.
- Listen for a key word in any respondent objection and react accordingly.
- Be assertive, not aggressive. Have a positive presentation.
- Observe the surroundings.
- Follow the script in the iPAQ, but make eye contact with the respondent.
- Emphasize that the address, not the individual, was chosen.

5.3 Importance of Interviewer Style

Your appearance and style of delivery establish an initial impression that can either alienate the respondent or encourage cooperation. Your professional manner must be flexible to allow you to adapt to the situation. Consider the basic elements of a professional approach:

- show proper identification and supporting documentation
- display a thorough knowledge of the purpose of the project and its materials
- deliver a courteous straightforward presentation
- convey respect for the respondent.

Be professional, but, also attempt to "fit in" to the neighborhood by dressing and acting like the majority of individuals in the area. The goal is to reduce respondent suspicion.

Good rapport is probably the most important tool of the interviewer. Rapport is established by being sensitive to the respondent and the respondent's living conditions. During phone conferences with your FS, discuss your approach to cases you have not completed and attempt to define the potential respondent's reaction. *Be aware of how the respondent is reacting to you.* Your goal is to learn to predict and even modify respondent reaction. Once you can do this, you will be better able to appropriately counter respondent objections and be more successful in obtaining cooperation.

An abrasive manner is not desirable. Although an aggressive interviewer can occasionally "bully" respondents into participation, this tactic is unnecessary, inappropriate, unethical and unprofessional.

On the other hand, an interviewer who is too passive will be unsuccessful. Passivity conveys a lack of confidence or commitment to the survey. This attitude will not motivate neutral or uninterested respondents. You must "win over" such respondents and convince them of the importance of both the study and their participation. In essence, you must "sell" the value of the survey to each potential respondent. To do this effectively, you must be thoroughly convinced of the importance of the work. If you are not convinced of the project's validity and importance, the respondent will not be convinced either.

5.4 Explaining the Survey and Answering Questions

Your screening introduction gives potential respondents a general idea of what to expect from the study. Many people are satisfied with this explanation. Others will have questions or concerns. Use your knowledge of the NSDUH, as well as your knowledge of survey research in general, to answer the respondent's questions and address any specific concerns.

If you do not know the answer to a question, offer to find out the answer either right away or later, depending on how important it is to the participation of the potential respondent. If the respondent's participation rests on getting an answer immediately, offer to call your FS first and, if necessary, your RS to resolve the problem. Use the toll-free numbers when calling from a respondent's home.

Use the Q&A Brochure and other NSDUH publications with reluctant respondents. Be very familiar with the contents of the brochure. In addition, some of the most common questions asked by respondents and the appropriate responses are shown in ***Exhibit 5.6***. Study these carefully so that you become very skilled in using this information. Another helpful reference is the *FI Ideas Booklet*, a compilation of tips from veteran NSDUH interviewers. This booklet contains excellent suggestions for 'catch phrases' and other tips for success.

There are many excellent materials available for you to learn about the study. It is crucial that you be completely comfortable explaining the survey to potential respondents. However, please remember that you should NEVER write, circle or otherwise mark on the respondent materials. The only materials you should write on are those materials that specifically instruct you to do so (ex: Sorry I Missed You Card, Reference Date Calendar, Interview Payment Receipt, Quality Control Form, Appointment Card, etc). Only mark on these materials as instructed and do not include additional comments or notes.

Exhibit 5.6 Answering Questions

Questions	Possible Response
"Why me? Why this house?"	Your address was randomly chosen through scientific sampling procedures. It represents thousands of households across the nation.
"Will my answers be kept private?"	Absolutely. No answers will be connected with any individual. Our interest is only in the set of all responses. Your name will never be identified with your answers.
"Who is RTI?"	Research Triangle Institute (RTI) is a nonprofit research organization located in North Carolina. Dedicated to conducting research that improves the human condition, RTI performs various types of laboratory and social research for government and industrial clients. RTI's role in the survey is that of sampling, field data collection (interviewing), and reporting the results.
"How long will screening take?"	The screening questions only take a few minutes. Once these are completed, we will know if anyone in your household has been selected to be interviewed. Then I will, if necessary, explain the time needed to answer the more detailed questions.
"How long will the interview take?"	The time for the interview varies, but it generally takes about an hour. Of course, each person may take a little more or less time depending on that individual. I think you'll be surprised at how fast the time goes. If now is not a good time, we will, of course, schedule the interview at whatever time is more convenient for you.
"What's the study all about?"	The federal government is trying to assess and monitor the nature of alcohol, tobacco, and drug use in this country. Studies such as this enable researchers to learn about the results of current programs and to better plan new programs to help with this national problem.
"I don't know much about drugs." **"I don't do drugs—how can I help?"**	In order for the federal government to correctly assess the possible problems in this area, they need the help and opinions of all kinds of persons. Only in this way can they learn about the attitudes and practices of all people who live in this country. Also, the questions ask about the use of other substances, such as tobacco, alcohol and prescription medications. Even if you do not currently use any of these items, it is important for us to learn that information too.

5.5 "Tips" on Obtaining Participation

To be successful at interviewing, you must develop your own particular style and then interact with potential respondents in a way that is comfortable for you. When you are developing **your** style, please keep the following "tips" in mind:

- A positive attitude is crucial when interacting with potential respondents. You need to feel confident about yourself and your knowledge of the survey in order to create a positive atmosphere. If you approach the door with an air of uncertainty, the potential respondent may not think this is important and be more likely to say "no" when asked to participate.
- If you are not enthusiastic and knowledgeable about the study, the potential respondent is not likely to be interested in participating.
- Persistence is key to gaining cooperation. For not-at-home cases, you must attempt to reach someone at different times of the day and on different days of the week. Talk to a neighbor to find out a time when the potential respondent is most likely to be at home.

  If you are unable to persuade the potential respondent to participate during one of your visits, say "I'll come back when you are not as busy," or "I'll stop by the next time I'm in the neighborhood." These statements leave the door open for re-contact, since they imply a respect for the person's reason not to participate at this time. If they have Internet access, suggest they look at the NSDUH respondent Website (http://nsduhweb.rti.org). For your information, the content of the respondent Website is shown in ***Appendix D***. Never leave any NSDUH materials, other than the "Sorry I Missed You" card, at the SDU without first speaking with a resident.
- Stress the confidentiality of the survey, emphasizing that answers are only reported as totals and individual names are *never* associated with answers.
- Make sure every potential respondent feels how crucial he/she is to the overall success of the survey. Respondents should know that they are unique because, due to the precise nature of the sampling procedures, no one selected for the survey can be "replaced" by someone else.
- Most people today are very busy and do not have much free time. They may not wish to spend what free time they have to participate in a long interview. Instead of saying, "The questions will take about an hour to finish," try something more like, "The questions will take about an hour to finish but the length varies and depends on the individual. Let's start and see how it goes." Be honest but do not dwell on the time involved. Many people will tell you that they do not have an extra hour but will stand at the door and discuss the survey with you for 45 minutes!
- Finally, you must provide thorough documentation of all attempted contacts in the Record of Calls on your iPAQ. Record the details of what happened during each contact. It may give you useful information if you have to initiate further contacts, such as refusal conversion attempts. Review your documentation before the next contact and plan and organize your approach. For example, if a potential respondent said he/she had a sick child and did not have time to participate, begin your re-contact with "I hope your child is feeling better." Remembering these details will help build a positive relationship with the potential respondent. Such "tailoring" of the approach conveys interest and respect for the respondent's situation and is often the key to obtaining cooperation.

5.6 Overcoming Objections

Most individuals are friendly and willing to cooperate but a few individuals will have concerns, objections, suspicions, or fears. What may appear to be a refusal to cooperate may be just an expression of concern or a need for more information about the study, the procedures, or the background of the research. The following points should help you to reduce or eliminate "refusals" when making contacts:

- Be your best professional self. A friendly, confident and positive manner—assertive but not aggressive—will usually have positive effects.
- Believe in yourself and in the importance of the study. Do not invite refusals. An air of apology or defeat can sometimes trigger a refusal. Assume that the respondent will want to participate.
- Know the study, its purpose, and its importance. Knowing the facts helps you be prepared to confidently answer questions and counter concerns.
- Similarly, be able to explain the purpose of the study. Many respondents, especially those 50 or older, want to know how their participation will benefit others. If they feel there is a benefit and that they are performing a civic duty by participating, they will view the study as less intrusive and be more likely to take part.
- Listen carefully to the respondent's comments and try to determine the basis for objections. Then target your responses to those objections or concerns.
- A little more detail about the study, the procedures, confidentiality, or the time involved may answer the "unasked" question. Sometimes the best technique is to simply ask, "Is there something more I can explain to you about your participation in this study?"

Exhibit 5.7 contains common reasons given by respondents for refusing a screening or an interview. Different reasons need to be countered with a different emphasis in response. It is important to **listen to the respondent's comments** and tailor your response to the respondent's concerns or need for information. The exhibit chart lists common respondent reactions and additional thoughts on the possible situation as well as examples of various responses for you to use.

If you are unable to overcome a respondent's objections and the person simply will not consent to the screening, then accept the refusal as courteously and graciously as possible and thank the person for his/her time. Do not pressure, argue, or otherwise alienate the person. Whatever the circumstance of the refusal, always remember to be professional, courteous, and friendly. Your goal is to leave the door open for another contact by you or by someone else to secure a promise of cooperation.

Exhibit 5.7 Countering Refusals

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
I don't have time. I am too busy.	Modern life can be very demanding. On the day you visited they may have been particularly overwhelmed. Try to at least get through the screening—the person at the door with "no time" may not even be eligible for an interview.	"My initial questions only take a few minutes. If we can get through those, we'll know about how much more time is required—if any." "I understand about being busy. I will work around your schedule and can return at a more convenient time." Offer the respondent a choice, not a yes/no question. "I can come back. Would later this evening be better, or shall I return tomorrow?"	Too busy/no time/did too many already
I already did too many surveys.	Busy people may be civic-minded and have already participated in a number of surveys.	Appeal to the respondent's sense of civic responsibility and pride—busy people may be involved with many activities because of a social conscience. Stress the importance of the survey. "It is so important that each selected person participate. You represent thousands of other people like you, and no one can take your place."	Too busy/no time/did too many already

Exhibit 5.7 Countering Refusals (continued)

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
I don't want to give the government personal information. I don't like the government and what they are doing.	These people feel (to varying degrees) that the government is too invasive and may know too much already. Persons may also object to putting personal information on a computer.	"All your answers are kept completely confidential. Even I won't know your answers to the majority of the questions." Explain how the data are gathered and transmitted. "We are only interested in the totals of all responses both nationwide and statewide, not in individual answers."	Surveys/Govt. invasive/ teen exposure
I don't like surveys.	In the past, a 'survey' may have been a disguised—and unwanted—sales promotion. They may have political, religious, or philosophical reasons for not participating.	Reassure the respondent that you are not selling anything, that you are there on official business. Show your ID badge and your Authorization Letter. Stress the importance of survey research in the formation of public policy. "In order to learn about the impact of various programs, it is necessary to conduct surveys to allow the public to provide input."	Surveys/Govt. invasive/ teen exposure

Exhibit 5.7 Countering Refusals (continued)

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
I don't want my child to hear about the drugs in the survey.	With the media coverage of the drug use problem among teens, parents are rightfully concerned about what their teen is exposed to.	Suggest the parent use the interview as an opportunity to talk with the child about his/her opinions about drugs. Use the Summary of the Questionnaire included in the Showcard Booklet. "I am glad to see you care so much for your child. Here is a summary of the type of questions asked in the interview." "Most youths these days are aware after receiving information through the news, or through school prevention programs or courses."	Surveys/Govt. invasive/ teen exposure
I don't believe my information is confidential. How do you keep information confidential?	Questions about confidentiality don't always mean the respondents are distrustful. Listen carefully to see if what they really need is more information.	"Names are never connected with the interview data, which are entered into my laptop computer. Once we finish, the case is locked and I cannot open it. Each evening I transmit completed cases to RTI for processing." "All research and field staff sign a pledge to keep all information completely confidential." "The information you provide is protected under federal law and can only be used for statistical purposes. Any violation of the law is considered a Class E Felony punishable by fines and imprisonment."	Clarify confidentiality, legitimacy, selection

Exhibit 5.7 Countering Refusals (continued)

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
How do I know you are doing the work you say you are doing?	Respondents may be suspicious when they discover the study asks about drug use.	Show your SAMHSA Authorization Letter. Use the phone numbers on the inside cover of your Showcard Booklet. "You may call my supervisor to verify my work." Give the Study Description and point out the contact information. "You can call RTI if you have questions about the study." Give a Q&A Brochure. Mention the respondent Website as an excellent source of information. (http://nsduhweb.rti.org)	Clarify confidentiality, legitimacy, selection
There is nothing in this for me.	Some persons need to see a direct personal benefit before they will participate.	"For those selected for the interview, I will pay $30 in cash when the interview is completed." "The results of this survey provide government policy makers at the national and state levels with the data they need to evaluate existing programs and plan for new initiatives." "The results of this survey provide researchers with valuable insights about the nature of the drug use problem."	"Nothing in it for me"/ uncooperative

Exhibit 5.7 Countering Refusals (continued)

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
I won't do it.	Although uncommon, there are people who are simply uncooperative and may not even give the reason for their refusal.	**Always** be pleasant and professional. Try to convince the respondent how important the study and each respondent's participation is to the validity of the results.	"Nothing in it for me"/ uncooperative
You can't talk to my wife. I am sure she wouldn't want to participate in this study.	Sometimes a person in the household acts as a gatekeeper controlling your access to the selected respondent. A gatekeeper often has a strong interest in what the respondent does, and may be a spouse or a parent.	"I understand your concern for your wife. Her participation is very important to the success of our study and I would like to talk with her about it. First, what concerns do you have about her participation?"	Gatekeeper/Parent/HH member disallow
I need to talk to my husband first.	In this situation, you have access to the right person, but the gatekeeper is still influencing the behavior.	"Your answers are completely confidential. No one in your family will see your answers." Explain the importance of the study and that selected households and all selected respondents cannot be replaced. Never pressure an uncomfortable spouse.	Gatekeeper/Parent/HH member disallow
I think my (social) worker sent you.	Persons in the welfare or judicial system may have concerns that you are investigating their actions or their household status.	"I work for RTI in North Carolina, not for any specific government agency." "Your responses are completely confidential. Your social worker will only know that you participated in this study if you choose to tell him or her."	Welfare/INS concerns

Exhibit 5.7 Countering Refusals (continued)

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
Are you with INS?	Non-citizens may be very concerned about their immigration status. INS stands for Immigration and Naturalization Service	"I work for RTI in North Carolina, not for any specific government agency." "No one in immigration will ever know that you participated in this study."	Welfare/INS concerns
I'm not feeling well.	The respondent has been caught at a bad time.	"I am sorry. On my next trip to this area, I will come back to check with you."	Too ill/house messy/not dressed (This category is situational and does not generate a refusal letter.)
My house is too messy for you to come in. I'm not really dressed.	The respondent feels the situation is not good for participation. You caught the respondent at a time when the temporary circumstances are causing trouble.	"Appearances are not important to me. What is important is that you know how valuable you are to this study." "I'll wait while you change." "I can come back later. Would this evening be better or later tomorrow afternoon?"	Too ill/house messy/not dressed (This category is situational and does not generate a refusal letter.)
Some other situation or a combination.	You are unsure of how to classify the respondent's concerns. Perhaps there are multiple concerns so that choosing just one of the above categories is difficult.	Listen carefully to the respondent. "Is there something else I can explain to you about your participation?"	Need to discuss with FS Make explicit notes to assist you when you and your FS discuss the case.

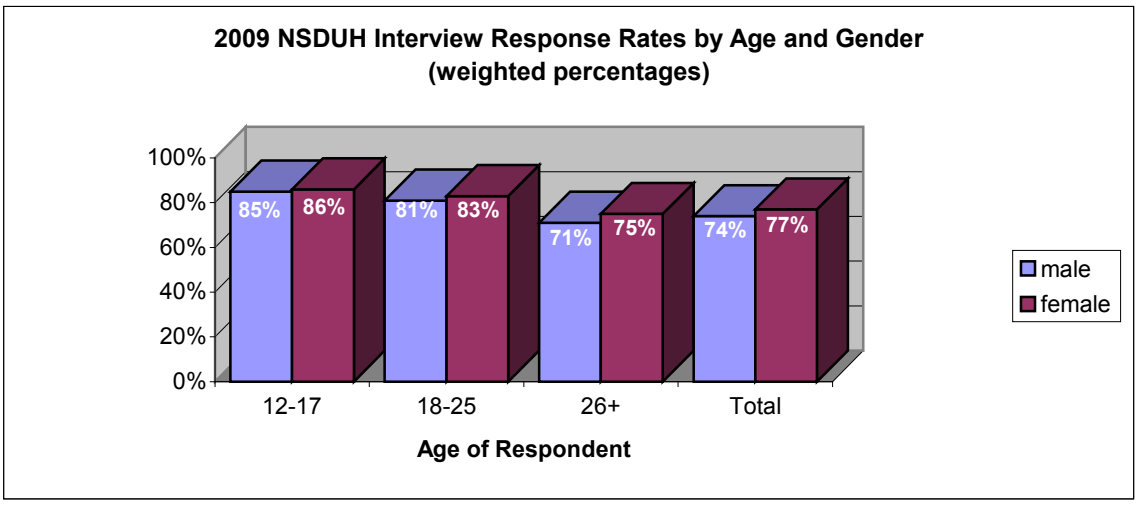
Record the result code for the refusal in your iPAQ ROC, then indicate the specific reason on the **Refusal Report** screen. (The refusal reason code is listed on the right in ***Exhibit 5.7***.) Additionally, record any pertinent facts or impressions about the situation in the Refusal Report Comments section. When you transmit data from your iPAQ to RTI, the refusal report information automatically generates a refusal conversion letter request. The refusal conversion letters, available in English and Spanish, are tailored to the primary refusal situations encountered in the field. Copies of the refusal letters are provided in ***Appendix C*** of this manual. Mailed with each letter is a Q&A Brochure (***Exhibit 5.3***).

The next day, your FS will see the refusal on the Website, and he/she can either release the letter or keep the letter on hold until you two discuss the case. Once the FS releases the refusal conversion letter, it is printed and mailed the next business day. As needed, check with your FS so you can time your return to the residence to roughly coincide with the receipt of the letter.

Do not rely on memory to recount to your FS the events surrounding the refusal. Making notes in the iPAQ at the time of the refusal will help you adequately and objectively discuss the situation with your FS. It will help your FS decide if a follow-up letter is appropriate to assist you or another FI in later contacts. Once your FS has discussed a questionable refusal with you, he/she will determine the timing of the printing and mailing of the letter, if appropriate.

Though refusals may be discouraging, learning to handle them professionally—and not personally—helps in the long run. Do not allow refusals to change your positive attitude and approach when interviewing. Even the best interviewers experience occasional refusals; it is not necessarily a reflection of your ability as an interviewer. The important thing is to learn from the experience.

The next graph illustrates our interview response rate experience for the 2009 study. The interview response rate is the proportion of those who complete the interview compared to the total number of people selected to participate. As you can see, it can be more difficult to obtain the participation of those above age 26+ (those more likely to be busy with jobs and families), but even among this age group, almost three quarters-of all eligible respondents actually completed the survey.



5.7 Local Social Climate

Some refusals will occur no matter how effective and adaptive you are. These can be due to factors outside your control and may or may not be situations that you, or your FS, can counter.

High socioeconomic status (SES) neighborhoods can be tough either in gaining access to the selected units, or in obtaining cooperation from wealthy residents that may not welcome strangers. Experienced field staff suggest the following tips when working a high SES area:

- dress appropriately for the neighborhood
- never presume a respondent will not be friendly or willing to cooperate
- stress the random nature of the address selection
- state clearly, early on, that you are not soliciting
- be even more willing to accommodate busy schedules.

For tips on dealing with controlled access situations, refer back to ***Section 4.12.***

If a neighborhood is experiencing a series of household break-ins or personal assaults, residents may be particularly reluctant to let you into their homes. This type of information will be readily revealed to you once you begin work in the neighborhood. If a respondent reports such circumstances, it is a good idea for you or your FS to contact local police to inform them of your presence in the area. Also, you may choose to wait and return to the neighborhood at a calmer time.

5.8 Using an Escort

Since our study uses a random sampling procedure, the neighborhoods selected will represent all types of communities. In neighborhoods where residents are very suspicious or in areas where you feel you are at increased risk, the use of an escort is encouraged. In addition, your FS may suggest an escort if you are working in an area where neighborhood suspicion is high and cooperation is low. In either case, you must get verbal approval from your FS before using an escort. Escorts are reimbursed on an hourly basis by you (see ***Section 11.8*** for details).

Escorts can be local residents of a given neighborhood, local clergy, members of a local community group, your friends/family, or official off-duty police escorts. Choose an escort carefully, clearly explaining the escort's limited involvement and the importance of confidentiality. The use of police escorts must be cleared in advance through your FS, since this could intimidate respondents if not handled carefully. We do not want to alienate respondents, but we also do not want interviewers placed in dangerous situations. You must be very aware of the social climate in your segments since it can have a direct impact on your success.

Escorts should travel with you and act as a second presence in the area but usually should not accompany you to the door. With our heavy emphasis on confidentiality, we want our approach to the actual household to be as non-threatening as possible. **Escorts are not to serve as translators**. Escorts should remain in the car or in a public area of the building while you work. As with any third party, this person must not be present during the administration of the interview. (Authorized project observers are the exception.)

5.9 Working Safely

When working in what you feel is a high-risk area, you should always discuss the situation with your FS. Following are some general safety tips on working safely and smartly.

Area

- Be aware of the area—assess the situation and observe people. Stay alert and tuned in to your surroundings. Do not daydream. Know where you are going and walk with confidence.
- Observe where you can find the nearest telephone, business, police station, fire station, or public building, and know their hours of operation.
- Put possessions in the trunk of your car before entering the area. Do not leave things visible in your car, particularly your computers.
- Carry computer equipment as inconspicuously as possible.
- If anyone asks who you are, briefly tell them who you are and what you are doing. If someone in a car asks, reply from a distance: do not get too close to the car.
- Park your car in a well-lit, convenient area. Move it as necessary as you work.
- Walk in well-lit areas. Avoid taking short cuts through dark or wooded areas. Avoid walking in areas where there are tall hedges or shrubs.

Dress

- Keep your dress professional; not too casual. Wear comfortable, practical shoes.
- Do not wear jewelry.
- Do not carry a purse. Put your keys, a couple of dollars, cell phone, or change for a pay phone in a pocket.
- Keep your FI photo ID badge visible.

Multi-unit Buildings

- Carry a flashlight—apartment building hallways can be dark even during the daytime. Often light bulbs are burned out or broken.
- Make noise, such as a low whistle or rattle your keys as you walk in the hallway or up a stairway. You do not want to startle or surprise anyone who might be hanging around.
- Go right to the selected apartment and do your business—don't look interested in what people are doing in the hallway. Do not stare. You should acknowledge them with a nod, smile, or brief eye contact, but go directly to the apartment—that's your task.
- Be aware, but do not concentrate on any other things going on in the apartment building. Your main function is to find the selected apartment. If you look too interested people will think, "What do you want—what are you looking at?"

5.10 The Working Environment of a Field Interviewer

When you hear someone talking about "going to work," you may think of a person commuting to an office to spend eight hours behind a desk. Or perhaps you think of someone in the service industry who spends work time waiting on customers or preparing food. These people work in one location.

There are others who work out of their home, using a computer and a telephone. Or maybe you know someone who drives a delivery truck, driving and carrying packages to homes or businesses.

When you go to work on the NSDUH as a Field Interviewer, your work environment may fall into one of three settings:

- in your home preparing supplies, planning your next trip to sample neighborhoods, conferencing with your FS via telephone, or transmitting data to RTI
- commuting to/from sample areas using a personal automobile, public transportation, or on foot
- on a respondent's property, either inside or outside, conducting the screening or interview.

Each setting has its own conditions that can affect your personal safety. This section covers details of how you can work more safely in each of your work settings.

5.10.1 The Home

The NSDUH has various kinds of supplies and materials: interviewer manuals, computer equipment, assignment kits and bulk supplies (handouts, brochures, etc.). Organizing these materials allows you to work more efficiently and more effectively. This section focuses on how to store and use these materials so you can work more safely.

Select a specific place in your home where you can keep all your NSDUH materials. This place needs to be away from common traffic areas and away from curious little ones, whether children or pets. Be attentive to your materials inventory. Focus on keeping enough materials to supply your expected workload, no more or less.

Probably the biggest safety issue when working from home is how to safely move heavy supplies. Points to consider when moving NSDUH (or any other) items in your home are listed in ***Exhibit 5.8***[1].

Exhibit 5.8 Moving Supplies Safely

Before lifting, check the object:

1. See if you can you lift it safely, both in terms of object size and weight. If not, get help! When possible, make several lighter (and safer) trips instead of one heavy one.
2. Be sure you can grasp it securely with your palms and fingers, not just your fingertips.
3. Take a preliminary "heft" of the load to make sure you can carry it. If not, get help. Please use extreme care if you decide to test the weight of the load in this manner.
4. If more than one person does the lifting/handling, they should be of similar height and physique. One person should give the command to lift, etc.

Before lifting, check the path:

1. Check the path through which you will carry the object. It should be easy to see and free of obstructions or spillage that could cause you to trip or slip.
2. Don't overestimate your ability to carry the object the entire distance without setting it down to take a rest.

When you lift:

1. Set your feet about 10 to 15 inches apart, with one in front of the other.
2. Bend your knees or assume a squatting position, keeping your back straight and upright, get a firm grip on the object, and lift by straightening your knees—not your back. This means you are lifting the object with the muscles in your entire lower body, not the more sensitive muscles in your back.
3. Carry the load close to your body. To turn or change your position, shift your feet—do not twist your back.

Reverse the steps to set down the object.

5.10.2 Traveling To, From, and Within a Segment

While a few field interviewers use only public transportation, most FIs need to drive a vehicle to accomplish work in the field. Please *carefully* read ***Exhibit 5.9*** which presents the Operating Motor Vehicles for Business Purposes policy for field staff. NSDUH interviewers are employees of Headway so must comply with the conditions as presented.

Please note that you are not to transport a respondent in your vehicle. Also, while working in the field, you are not to have your children under the age of 18 with you. The only acceptable passengers while working are escorts and project staff such as supervisors, mentors, or observers.

Every time you get behind the wheel of a car an accident is possible. So when you are in your "automobile office," you need to constantly think of driving safely.

Please carefully read the excerpt regarding driving safely included as ***Exhibit 5.10***.[2] This information includes material from the National Safety Council's *Defensive Driving Course* and their annual publication *Accident Facts*.

Another good way to stay safe on the road is to simply "be nice," even if it means giving up your right-of-way. For FIs driving to unfamiliar areas: study the maps before you go. If you must consult a map while traveling, pull over. Do not try to read the map while driving.

In its *Defensive Driving: The Best Offense*, the National Safety Council gives the suggestions included in ***Exhibit 5.11*** to help prevent collisions at intersections. Unfortunately, in spite of your best attempts at prevention, sometimes an automobile accident does happen. ***Exhibit 5.12***[3] lists the proper steps to follow if you are involved in an automobile accident.

RTI adds to that list: If the accident occurs while you are working on the NSDUH, DO notify Headway and your FS about the accident as soon as is practically possible. Traveling interviewers using a rental car must also notify the rental car agency.

Exhibit 5.9 Headway Motor Vehicle Policy

OPERATING MOTOR VEHICLES FOR BUSINESS PURPOSES

All Headway employees who choose to drive an automobile for business purposes must adhere to the following policies:

General Policies:

- Employees must have a valid driver's license at all times.
- Employees must have current automobile insurance at all times.
- Employees must wear seat belts at all times.
- It is the employees' responsibility to inform Headway if he or she has committed a moving violation or is involved in an accident both while on and off the job.
- Employees may not have more than three (3) moving violations or accidents within a three-year (3) period, including but not limited to speeding violations, failure to stop/yield violations, reckless driving violations, failure to wear seatbelts, etc.
- Employees are not, under any circumstances, permitted to drive while under the influence of alcohol or any other legal or illegal drug (excluding legal, prescribed medications and over-the-counter drugs that do not alter the employee's ability to drive).
- Employees may not drive on-the-job for a period of two (2) years after being **convicted** of driving under the influence of alcohol or drugs, leaving the scene of an accident, or vehicular manslaughter.
- At any time an accident occurs, employees are required to immediately contact the police and Headway, regardless of the severity of the accident.
- Employees must use care when driving while using a cell phone. If cell phone use is necessary, employees must use a "hands free" system (headset, or speakerphone) while driving (if permissible by state law). Employees must make an effort to know the transportation laws of the city, county, and state in which the employees are traveling. Several municipalities and states have laws pertaining to cell phone use while driving. For example, in some states, the driver may only use a "hands free" cell phone, while other municipalities prohibit all cell phone usage while operating a motor vehicle.
- Headway will not assume liability for personal property that is lost or stolen from a vehicle or damaged in a vehicle. Personal property includes, but is not limited to, personal vehicle and accessories owned by the employee or a third party, purse or personal computer equipment.

Violation of any of these policies may result in disciplinary action, up to and including termination.

At the request of our client, random license checks may be performed throughout the year. It is the employee's personal responsibility to immediately inform Headway if he/she is in violation of any of the above policies. Deliberate omission of information may result in disciplinary action.

Exhibit 5.9 Headway Motor Vehicle Policy (continued)

Use of Privately Owned Vehicle For Business Purposes

The employee assumes liability for all damages to his/her privately owned automobile and is primarily liable for injuries caused to 3rd parties. If an employee is injured in an automobile accident involving his/her privately owned automobile during his/her employment, the employee has the right to file a workers' compensation claim for personal injury pursuant to applicable state worker's compensation laws.

Use of Rental Vehicle For Business Purposes

Employees are required to obtain approval from their immediate supervisors before renting a vehicle. The rental vehicle should only be used for business-related activities and normal living activities, such as driving to a nearby restaurant. It is strictly prohibited to use a company rental vehicle outside of normal living activities. Employees are subject to **immediate** termination if it is discovered that a rental vehicle is being operated for personal use. The distinction between normal living activities and personal use of a vehicle will be made exclusively by Headway.

The employee is not required to elect additional insurance coverage when renting from National Car Rental. The insurance coverage is provided by National Car Rental and is included in the contracted price. However, the employee is required to elect additional insurance (Loss Damage Waiver) if National Car Rental is unavailable at the location of travel. Failure to elect the additional insurance will result in the employee being held personally liable for damages. For more details on car rentals in cities where National Car Rental is not available, contact your immediate supervisor.

The employee assumes liability and is primarily liable for injuries caused to 3rd parties (not the rental vehicle), especially if the employee is charged with causing the accident or damage. If an employee is injured in an automobile accident involving a rental vehicle during his/her employment, the employee has the right to file a workers' compensation claim for personal injury pursuant to applicable state worker's compensation laws.

Last updated August 2008

Exhibit 5.10 Driving Safely

The Collision Prevention Formula

- Recognize the hazards: continuously scan the road ahead and behind, checking your mirror every 3 to 5 seconds.
- Understand the defense: continuously scan the road for possible hazards. Play the "what if" game by thinking "what if" the driver in front of me stops suddenly? "What if" someone runs a red light at the next intersection? "What if" that driver in the oncoming lane....
- Act correctly in time: think ahead, anticipating what other drivers' actions might be to avoid hazardous or dangerous situations before it's too late.

Help avoid collisions through proper vehicle maintenance. That means having clean windows and properly adjusted mirrors as well as regular engine servicing. Remember, *you* can be held responsible for the little as well as the big defects in your car.

Know, Show, Slow, Go

- *Know* the rules for intersections and know which way you plan on going before you arrive at the intersection.
- *Show* your intentions with signals and proper lane position before entering it.
- *Slow* down as you approach the intersection, and have your foot over the brake.
- *Go* only after you've checked to make sure the coast is clear. Don't assume that the other driver knows what to do at the intersection or that the driver will follow the rules.

The weight of your car is the major determining factor in how long it takes you to stop. The heavier the car, the longer it takes to stop. On average, at 65 miles per hour it will take you the length of a football field to stop your car completely. Keep in mind that anti-lock braking systems (ABS) may help you stop without swerving in a skid stop, but they will not help you stop in a shorter distance.

Exhibit 5.10 Driving Safely (continued)

The Two-Second Rule

Follow the Two-Second Rule. Watch the vehicle ahead of you pass a fixed object or point, like a pole or mile marker. Begin counting: "One thousand and one, one thousand and two." If your car reaches that marker before you finish counting, you are following too closely. Ease up and check again.

In adverse conditions, use The Two Second Plus Rule: Add one second of following distance for each adverse condition. Adverse conditions include:

- driving at night, or in fog, rain, or snow
- driving behind a truck or vehicle, making it difficult for you to see ahead
- driving behind a motorcycle
- driving through an intersection.

If you can't see a truck driver in the truck's side mirror, then that driver can't see you or your car—you're in the vehicle's blind spot and should pull out of it as soon as it is possible and safe.

Practice the 4 Rs

Head-on collisions are the most violent type of auto accident. Practice the 4 Rs:

- ***r****ead* the road ahead.
- ***r****educe* your speed.
- drive to the ***r****ight*.
- ***r****ide* off the road if necessary.

A driver who's coming head-on toward you in your lane may "wake-up" and realize they've crossed into your lane, and then correct the error by heading to your *left*, or back into their proper lane. So, drive *RIGHT* and off the road if necessary. Don't swerve left.

Exhibit 5.11 Defensive Driving Tips

When the light is green:

- If the light has been green for a while when you reach the intersection, get ready for it to change; put your right foot on the brake and prepare to stop.
- If you're stopped at a red light and it turns green, check to see that traffic has stopped on the intersecting street. Look left, then right, then scan left before you proceed. If you rush out into the intersection without checking, you are more liable to have a collision.

When the light is yellow:

A yellow light does not mean “press your gas pedal to the floor and rush through the intersection.” This light is meant to give you time to clear the intersection when you’re driving through it—not when you're approaching it.

When the light is red:

A red light always means you must come to a complete stop. Many states allow a driver to turn right on red—but only when conditions are suitable and:

- when there is no sign posted that prohibits a right on red
- when your vehicle has come to a complete stop in the extreme right-hand lane
- when all traffic is clear
- when pedestrians are clear of the crosswalk.

Exhibit 5.12 Procedures after an Automobile Accident

After an Accident

- Check for injuries. Life and health are more important than damage to vehicles.
- Make note of specific damages to all vehicles involved.
- Write down the names, addresses and license numbers of persons involved in the accident. Also, write a description of the other vehicles.
- Call the police, even if the accident is minor.
- Jot down names and addresses of anyone who may have witnessed the accident. This can prevent disagreement concerning how the accident actually happened.

DOs and DON'Ts

- DO jot down details about the accident and circumstances such as weather conditions and visibility.
- DO notify your FS, Headway, and your insurance agent about the accident immediately. If you are working as a traveling interviewer in a rental car, notify the car rental agency as well.
- DON'T sign any document unless it is for the police or your insurance agent.

Driving isn't the only way you travel during your work as a field interviewer. Even if you drive to a segment, you do a lot of walking going from one selected unit to the next. Consider for a moment how you walk, and how you can walk more safely:

1. It's natural to take bigger strides when you're in a hurry, but this can increase your chance of falling. This is especially true if the ground is rocky, uneven, damp or icy. So slow down and take shorter steps.
2. Make a wide turn at corners. This will help you to see who, if anyone, is on the other side, and can help to prevent a collision.
3. As much as possible, choose a well-lit path when it's dark outside. Be wary of dark areas such as alleys or unlit streets. If you're inside, check that a light is turned on before you walk through a room or hallway.
4. Be careful going from the dark into sudden bright light. You can be temporarily blinded, so you need to give your eyes time to adjust to the lighting difference. Slow down or stop until you can see where you're going.
5. As much as possible, choose walkways and aisles that are clear of debris and clutter.
6. Use extra caution when climbing and descending stairs—even if it's only two or three steps.
7. Use handrails when they're available.
8. Take only one step at a time. Don't try to bound up stairs two or three at a time.
9. Be sure you're not carrying too many materials in your arms; this can negatively affect your balance and can keep you from seeing where you're going.
10. Always be on the lookout for loose stair runners, broken boards, debris, or slippery spots on the stairs.
11. Be careful when stepping off of a curb. Be sure to assess the depth to avoid ankle twists, slips, or falls.

Wear a comfortable, practical pair of shoes. Flat shoes are a better choice than heels. Having a professional appearance is important, but wearing uncomfortable and/or slippery shoes for the sake of fashion is unwise in the long run.

Another consideration as you're moving about in your segments is the weather. The NSDUH is a year-round survey, conducted across the entire United States. Depending on your location and the time of year, you may find yourself working in driving rain, heavy snow, bitter cold, gale-force winds, or blistering heat. Let common sense be your guide—dress appropriately for the weather, and seek shelter when you're too hot or too cold. If you become very uncomfortable, take a break and continue when you feel better or the weather is more tolerable.

Sometimes, it can be difficult to recognize when the temperature is getting to be too extreme. This can be especially true in hot weather. ***Exhibit 5.13*** contains practical advice for interviewers working in the heat.

Exhibit 5.13 Working Safely in the Heat

Advance planning and preparation:

- Work later in the day when it is cooler. Work early on Saturdays. As a bonus, these also tend to be the most productive time periods!
- Pay attention to the weather forecast. Plan more of your work, including any necessary mid-day work, on cooler days.
- Check with your physician about any medications you are taking and the effects of heat and sunlight.
- Dress in lightweight, light-colored, loose-fitting clothes.
- Eat lighter meals before going to the field.
- Increase the amount of fluid intake, preferably water, before you go out.
- Take water with you in the field. It helps to take one bottle of water and one frozen bottle of water.
- Take a cloth that you can wet to wipe your face and neck.

While working:

- Be careful about your automobile engine temperature. Avoid getting stalled in traffic.
- Park your car as close to your work area as possible and when available, park in the shade.
- Take a break in an air-conditioned building for a few minutes every hour or two. Use the time to plan your work or catch up on administrative tasks.
- Walk at a comfortable pace.
- Attempt to screen SDUs inside the SDU, if it is air-conditioned.
- Keep the iPAQ cool. Keep the iPAQ out of direct sunlight. Do not leave the iPAQ in your car.
- Continue to drink water.

Pay attention to your body's signals:

- If you feel fatigued, rest in a cool or shady spot until you are comfortable.
- If you feel faint, excessively weak, or dizzy—stop. Lie down out of the sun.
- Cool down your body by removing excess clothing, sponging your body with lukewarm tap water, and sipping water or other fluids.

If you show any of the following signs of heat illness:

- hot, dry skin, but not sweaty;
- confusion or loss of consciousness;
- frequent vomiting; or
- shortness of breath or trouble breathing;

please alert someone who can help you get medical assistance.

While you are not expected to put yourself at risk, exposure to the elements has been and will continue to be a part of an interviewer's job. Be prepared, be careful, and work smart in the heat.

5.10.3 On a Respondent's Property

The final working environment for an FI doing a field survey is on a respondent's property—either inside or outside, completing the screening process or administering the interview. Many of the safety tips already covered about safe walking and working in extreme temperatures apply when you're on a respondent's property. There are other safety concerns as well.

Be careful as you exit your car and gather your belongings to approach the door. The laptop case can be heavy enough to strain your back if you do not take the time to lift it properly. As you exit the driver's side of your car, if you have your laptop case on the passenger's side, do not reach across the car to lift it towards you. This can cause serious back strains. Take the time to walk around the car and lift the case carefully.

The most frequent report of concern for interviewers is about dogs. Many people own dogs, often for their own personal safety considerations. That means you must be very cautious when approaching an SDU, especially one where it's obvious one or more dogs are around. Always be cautious when approaching a strange dog. Even one who appears to be friendly can suddenly become agitated. If a dog or other menacing animal blocks the path between you and the respondent's door, be careful. If the dog is obviously aggressive, don't put yourself in a dangerous situation. Try to get the attention of someone living in the household and ask him/her to restrain the dog while the two of you talk.

It's not just animals of the four-legged variety that can give cause for concerns about safety. While the majority of respondents you work with will be friendly, there will be some who are not so nice. You should expect to receive some level of verbal abuse from some of your respondents—unfortunately, this comes with the territory of being an FI. However, you shouldn't place yourself at risk for physical assault. If a respondent becomes physically confrontational or violent, or threatens you in any way with a real or stated weapon, get away from that residence immediately. Talk with your FS about what happened, and together you will form a plan about how—or if—that particular residence should be approached.

Achieving targeted response rates for completed screenings and interviews is of utmost importance to the project. But ensuring your safety while you are working is even more important, and no one is in a better position to do that than you. We want you to be successful and safe as you complete your work as an FI on the NSDUH.

[1]Suggestions taken from the National Safety Council's Safety+Health magazine. Additional information from Headway Safety Series.

[2]Allstate notes that this information highlights examples of safety precautions you can consider to help protect yourself, others, and your personal property. The list is not meant to be all encompassing; furthermore, a particular precaution may not be effective in all circumstances.

[3] The State Farm Insurance Company suggests these procedures for use after an automobile accident.

REVIEW OF CHAPTER 5

Obtaining Participation

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- To assist in your goal to obtain participation at all of your SDUs, you will be provided with an extensive inventory of tools (letters, brochures, articles) to use at the door with the respondent and to leave as handouts. However, none of these tools will be as important as YOU and YOUR approach. It is imperative that you not only maintain a positive and confident attitude, but that you completely know the study.
- It will be necessary for you to overcome respondent objections and concerns. The "trick" is to listen carefully to what the respondent is saying. Every DU and every respondent must be handled uniquely.
- No matter what the situation, you must be professional and treat the respondent with courtesy and respect.
- Reasons for refusals are broken down into specific categories. In your iPAQ, you will indicate the type of refusal encountered, thus enabling a specifically tailored letter to be generated at RTI.
- When handling any case, including refusals, it is essential that you make timely, informative notes in your iPAQ's ROC.
- Due to the unique nature of this job, you will have several different work environments: your home, car, the neighborhoods of your segment, and respondents' homes. It is crucial that you work safely in all of these situations, using common sense and provided safety guidelines.

QUESTIONS TO ASK YOURSELF

1. How would you answer these respondent questions?

   I don't drink, smoke, or use drugs. Why would you want me in your survey?

   How did you select me?

   How do you keep my answers confidential?

   Why don't you just go next door and talk to my neighbor? She loves to do this sort of thing.

   What happens to the data after you gather it from all of us?

2. What would you say if the respondent offered these objections?

   I'm too busy.

   I don't like surveys.

   I don't want my kid to talk about drugs with you. He's too young.

   I don't trust that my answers are safe.

6. CONDUCTING SCREENING

6.1 Introduction

One of your main tasks as a field interviewer on the NSDUH is conducting household screenings using the iPAQ, a powerful handheld computer. ***Chapters 2*** and ***3*** of the ***FI Computer Manual*** describe the iPAQ itself and include general instructions for entering information. ***Appendix A*** of the ***FI Computer Manual*** contains a sample screening to illustrate the flow of the screening process.

During screening, you obtain data about the residents of the household 12 years of age and older and enter that data into the iPAQ. Next is the selection process in which none, one, or two residents are chosen for the interview. With the iPAQ, the selection is done automatically with one tap of the special iPAQ 'pen,' called a stylus. This chapter describes the screening process and provides details about the various functions programmed in the iPAQ.

Note the following conventions used to present iPAQ-related information in this chapter:

Text like this designates a screen name. The iPAQ uses screen names (titles) instead of question numbers.

→ indicates the path to follow. Most screens have several options. The chapter usually shows the most common path, marked by the →. Most other options are explained later in the chapter.

Bold indicates what items you will tap and is occasionally used for emphasis.

Italics display "extra" explanations of features or buttons that are not necessary for screening.

6.2 Overview of NSDUH Screening

Screening is the process of obtaining information about a sample dwelling unit (SDU) to determine if it has residents eligible for the NSDUH. (Recall that the term 'dwelling unit' includes both housing units (HUs) and group quarters units (GQUs).) You must complete a screening, by reading the iPAQ screens verbatim, at each SDU in the segments assigned to you to determine the eligibility status. The eligibility criteria for the NSDUH is based only on the **age** of the household members. In other words, the ages of the persons listed as members of the household are used to determine which person or persons, if any, will be selected for the NSDUH interview.

When you enter all the information for the residents of the DU, the iPAQ automatically processes the data using the eligibility criteria and the selection program. Your responsibility is to record accurate, complete information and let the iPAQ tell you who, if anyone, to interview.

While every SDU must be screened, only about one in every three or four will have a resident who is selected for an interview. This will vary depending on the characteristics of each segment. About a third of the completed interviews for the NSDUH are conducted with individuals age 12-17, while

another third are with persons age 18-25. The remaining third are individuals age 26 and over. DUs with youth age 12-17 have a greater chance of having someone selected than DUs with older residents.

You will not interview anyone who is on active duty in the military; however, their spouses, children, or any other civilian dependents living with them are eligible for the interview. In instances where an entire household consists of only military personnel, thereby making no one eligible for the interview, the iPAQ assigns a final screening code of 22 to the case. RTI staff will verify this final result code to ensure proper procedures were implemented.

Since you identify eligible respondent(s) within DUs through the screening process, it is a very important component of your assignment. Make every effort to obtain complete and accurate screening information from the sample DUs in your segments.

6.3 Overview of iPAQ Screening and Case Management Program

The NSDUH iPAQ program contains the following features:

- Case management groupings
- HU and GQU Screening Program (rostering and selection of eligible DU members)
- English and Spanish translations of the screening questions
- Verification for final screening codes 10, 13, 18, 22, 25, 26, 30
- Record of Calls (ROC, including Refusal Report)
- Addition of missed DUs
- Weekly FI summary PT&E entry (***Chapter 9***)
- Physical Features information
- Calendar for your use to record appointments, if you wish
- ROC Distribution Summary for your use in planning field visits, if you wish.

Each of these features will be described in detail. As you can see by the list, the current iPAQ program makes conducting the screening essentially paperless. However, you will have paper segment materials with a Selected DU List (described in ***Chapter 3***), to assist in locating DUs and checking for missed DUs.

6.4 The Screening Program

The various steps of the screening process are presented in this chapter, going step-by-step through a successful screening to show how the screening program works. Later discussions cover the extra options and functions in the iPAQ program that deal with the many situations that can come up while you are conducting screenings.

You do not have to do anything special to designate whether you are screening an HU, a GQU, or an Added DU. The iPAQ knows which type of case it is and displays the appropriate screens for the type of screening. The most common type of SDU, the HU, is covered first. ***Sections 6.7*** and ***6.9*** explain GQUs and Adding Missed DUs.

6.4.1 Starting the iPAQ

Before you approach the first unit, prepare the iPAQ by accessing the screening program.

→ Turn the iPAQ on.

→ At the **Today** screen, tap **Start**, then tap **NSDUH Screener**.



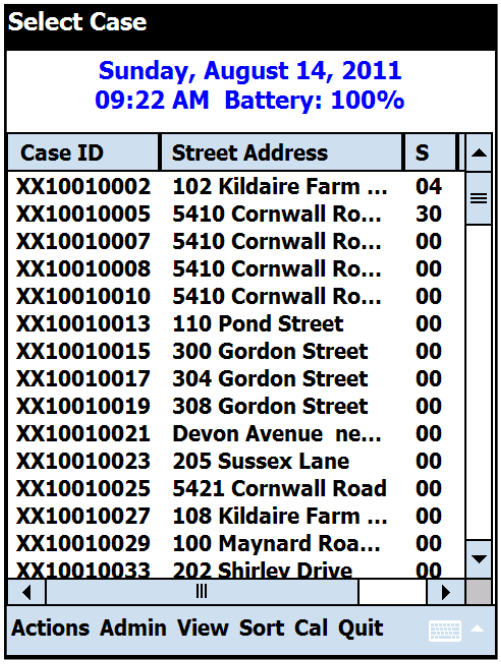


The password screen, shown here, appears.



→ The appropriate password will be provided at training, and will appear on the screen as you tap the keys. Once the password is typed, tap the **continue arrow**. The continue arrow will disappear once tapped, indicating the iPAQ registered your tap.

6.4.2 Case Management



The **Select Case** screen is your starting point for all screening and case management tasks on the iPAQ. The grid in the center of the **Select Case** screen displays the:

- **Case ID**: The first two letters are the state abbreviation, followed by the segment number, the DU indicator (zero for HUs, a letter A - Z for GQUs), then the line number for that SDU.
- **Street address**: If the street address is long (e.g., a description), you can view the entire address by tapping on the line and the address will display at the top of the screen.
- **Current result code or codes for the case**: These codes are the most recent entries you have made in the Record of Calls on the iPAQ. The S column displays the current screening result code, while the A and B columns have the interview result codes for the A and B interviews (if selected).

To see the right most columns, place the stylus on the scroll bar at the bottom of the list and slide it to the right.

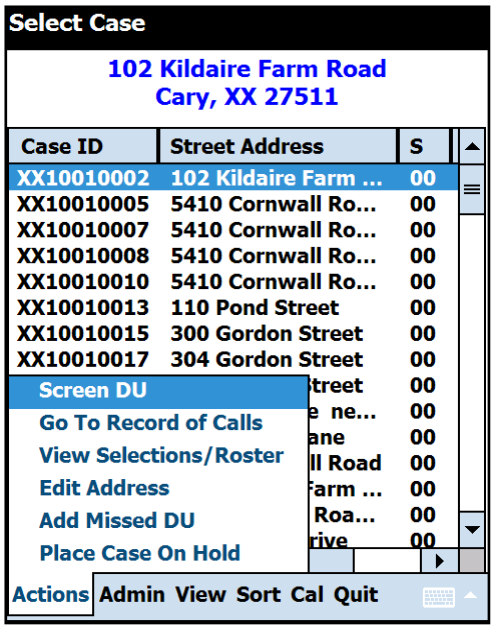
To scroll through the list of cases, use the scroll bar on the right side of the screen.

At the bottom of the screen are several words starting with Actions. These words function as buttons, so that tapping on a word activates that feature.

ACTIONS

When tapped, the **Actions** button displays a list of functions that can be applied to a specific case (case-level functions), such as screen DU, add a call record through the Record of Calls, edit the address, etc. Each of the case-level options on the Actions list is explained in the sections referenced below:

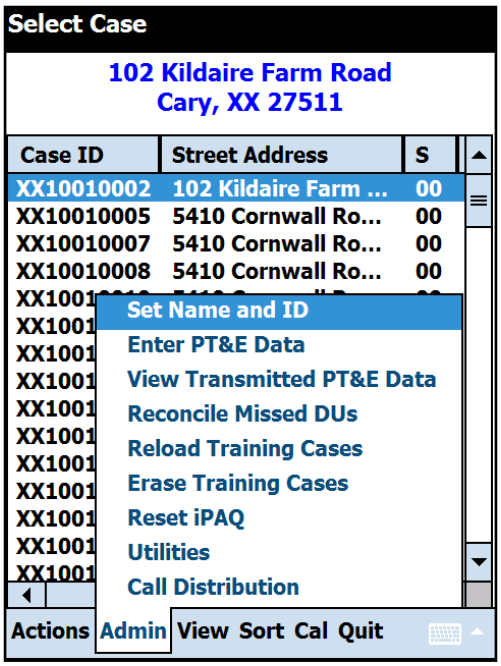
Actions Function (with case selected)	Manual Section
Screen DU	6.4.3 through 6.5
Go to Record of Calls	6.6
View Selections/Roster	6.4.7
Edit Address	6.8
Add Missed DU	6.4.5 and 6.9
Place Case on Hold	6.13



ADMIN

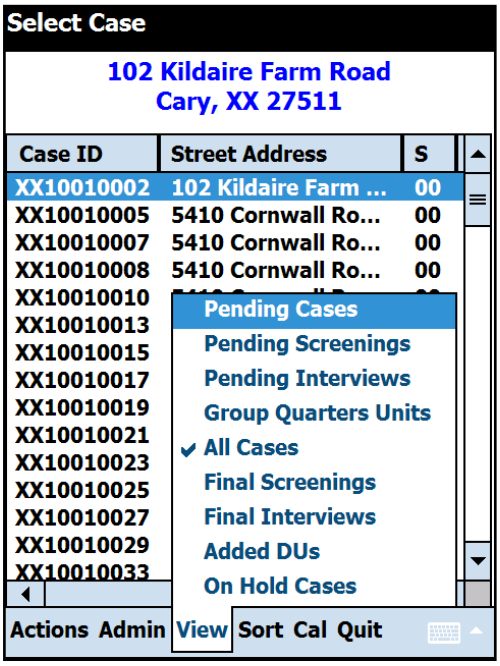
The **Admin** button, when tapped, lists functions that are not associated with a specific case, such as Set Name and ID, Enter PT&E Data, etc. Each of the options on the Admin list is explained in the sections referenced below:

Admin Functions	Manual Section
Set Name and ID	6.17
Enter PT&E Data	9.3
View Transmitted PT&E Data	9.3
Reconcile Missed DUs	6.9.2
Reload Training Cases	6.18
Erase Training Cases	6.18
Reset iPAQ	6.11
Utilities	6.19
View Call Distribution	6.20



VIEW

The **View** button helps you sort through your work to locate the SDUs you want to visit each day. Tap the title to change the type of view for the cases you want displayed.

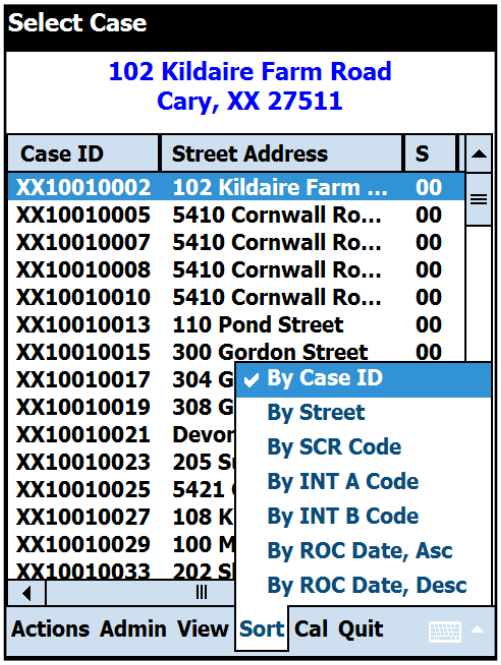


Pending Cases	All pending cases in your assignment, both pending screenings and pending interviews for both HUs and GQUs
Pending Screenings	Pending screening cases (cases not yet worked and screening result codes 01-09) for both HUs and GQUs
Pending Interviews	All pending interview cases (interview result codes 50-59)
Group Quarters Units	All GQU cases
All Cases	All cases, pending and finalized screenings and interviews
Final Screenings	Final screening cases (screening result codes 10-32)
Final Interviews	Final interview cases (interview result codes 70-79)
Added DUs	All missed DUs that have been added
On Hold Cases	Cases that are on hold and should not be transmitted until you have spoken with your FS about them

These groupings help you manage your assignment. Use these different views to properly plan your workload. For instance, by choosing to view **Pending Cases**, you see a list of all the pending cases (screening and interview) you have left to work in your assignment. (Information on screening result codes is found in ***Section 4.4.1***, while interview result codes are explained in ***Section 7.3.2***). To make sure you are following up properly on identified interview cases, choose **Pending Interviews** to see the pending interview cases you need to complete. To make sure you entered a Record of Calls event when you entered an Added DU, tap on **Added DUs** for a listing of all Added DUs. To count the number of interviews you have completed or see their case IDs when completing your ePTE, tap on **Final Interviews**.

SORT

The Sort button allows you to change the order in which the cases are displayed on the screen.



By CASE ID	This sort follows the order of the cases as shown on the Selected DU List.
By Street	While working, check the "By Street" sort to be sure you are working efficiently. SDUs are originally listed following a strict path of travel so that structures on only one side of the street are listed at a time (to ensure coverage). Sometimes other streets are listed before units on the opposite side of a given street are listed. It can be helpful to sort by street to easily see all the SDUs together that are on a given street within that segment.
By SCR Code By INT A Code By INT B Code	These sorts list the cases in order by the chosen result code, with the smaller result codes first. This can be helpful when talking with your FS about your work. For example, as you discuss refusal cases, you can sort by SCR Code and look at all the 07 Pending Screening Refusals. As you discuss pending interviews when no one was home, you can sort by INT A and then INT B to see the code 51 No One at DU cases.
By ROC Date, Asc By ROC Date, Desc	These sorts allow you to list the cases you have not visited for the longest time first, (Asc for ascending) so you can see what cases you have not contacted recently. Conversely, use By ROC Date, Desc (for Descending), to list the cases you most recently visited first to easily find the ones you contacted yesterday. TIP: Use this sort in combination with the View button. For example, since it is so important to complete interview cases as soon as you can, Sort on Pending Interviews, then View By ROC Date, Desc to see which pending interview cases you have not contacted recently.

*The **Select Case** screen column widths are adjustable—you can widen or shrink the width if you wish. This can be helpful when working in apartment buildings when you need to see the unit designations at the end of the address field. Within the column heading row, place the stylus on the line dividing two column headings, and slide the stylus to the left or right to adjust the width. If you wish to return to the standard widths, quickly tap the heading row twice. A message on the iPAQ asks if you want to return to the default column widths. If you do, tap Yes.*

6.4.3 Introduction and Verify Address

This begins the instructions on completing a normal screening using the iPAQ HU screening program. Remember, the → designates the category option to follow.

To get started with the screening process and complete the introduction and verification of an address, follow these steps:

1. Identify and locate the DU to be screened. On the **Select Case** screen, tap on the **line with the correct ID** and address for the unit to select the case on the iPAQ. The ID information will darken briefly, then the Case ID and address information will appear at the top of the screen. **Double check that you have the correct DU displayed**.

It is imperative that you are on the correct line when you screen a DU. The selection process programmed in the iPAQ is unique for each DU. That is, if you enter the same household information for two different lines (two different addresses), the selection most likely will be different (e.g., one case may be a 30, no one selected, and the other a 31, one respondent selected).

2. After verifying you have the correct line selected, tap the **Actions** button and select **Screen DU.**

If nothing happened when you tapped Screen DU, check to see that you have an SDU selected and the Case ID and address information are displayed at the top. Screen DU will not operate unless you have a specific case selected.

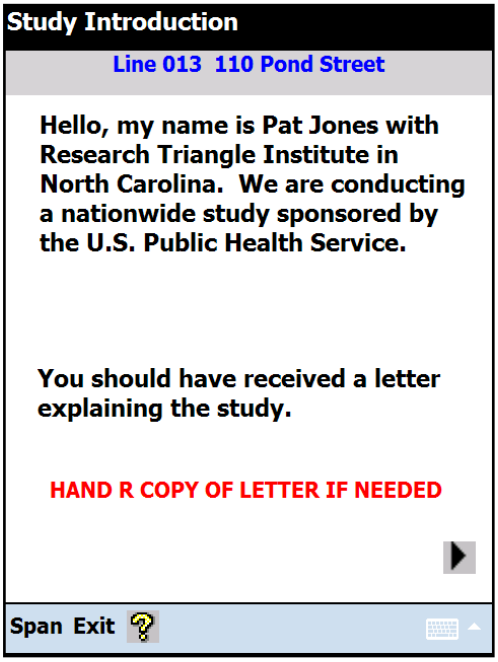
3. The FIRST time you select Screen DU and start to approach the SDU, the iPAQ prompts you to record two pieces of information about the Physical Features of the SDU. Details about this process are covered in ***Section 6.10***. When finished with two Physical Features screens, the iPAQ continues as described in step 4.

4. The **Study Introduction** screen appears and displays your introduction.

You should be on this screen as you approach the SDU.

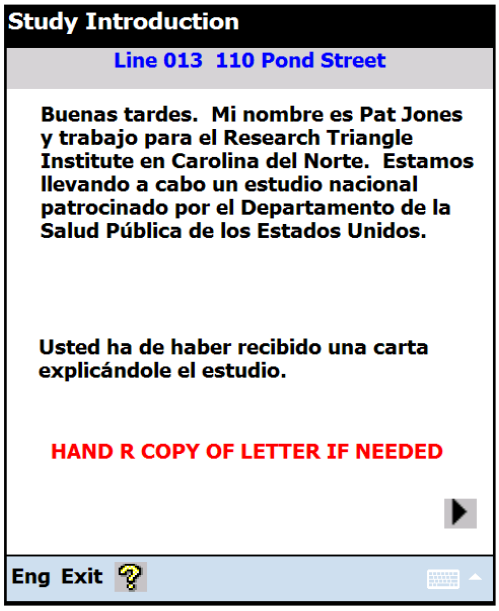
Introduce yourself and the study, using the text displayed on the screen. It helps to have the script memorized so you can maintain eye contact. Have copies of the lead letter with you in case the respondent has not received one. Refer back to ***Section 4.8*** for additional information on your introduction.

Note the term "Span" next to the question mark symbol at the bottom of the screen. Tapping Span at any point within the screening questions changes the display from English questions to the Spanish translation. **If you are an RTI-Certified bilingual FI and the person answering the door speaks only Spanish, use the Spanish translation provided** by tapping **Span**.



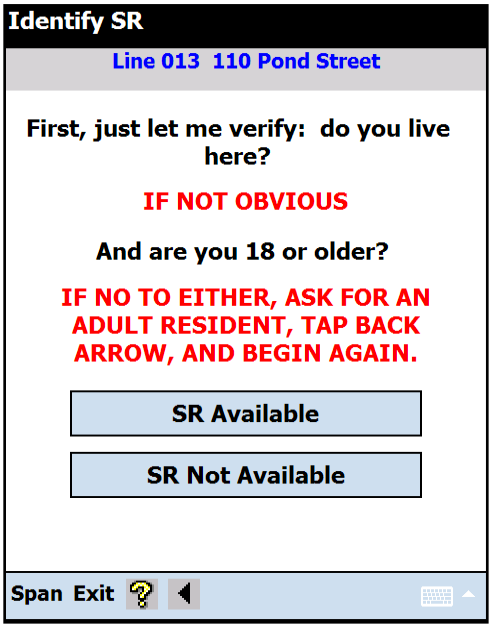
Answer choices still appear in English. Now the label appears as an Eng, so you can return to English at any time by tapping Eng. The program allows you to "toggle," or switch, back and forth between English and Spanish as needed.

Whether conducted in English, Spanish, or through a qualified translator (preferably a household member with adequate language skills), **the goal of all screenings is to gather accurate information**. Be especially careful in language barrier situations since the language issue can cause misunderstandings. Do not complete a screening unless you are confident about the quality of the information you receive. Refer back to ***Section 4.11*** for additional information on dealing with language barriers and translators.



→ When finished, tap the **continue arrow** to move to the next screen.

5. The **Identify SR** (screening respondent) screen includes the questions for verifying that the person to whom you are speaking lives at the SDU and is age 18 or older. Screening must be completed with an adult resident of the DU. No proxy screenings are allowed. That is, the screening information must come from a DU resident who is 18 or older.

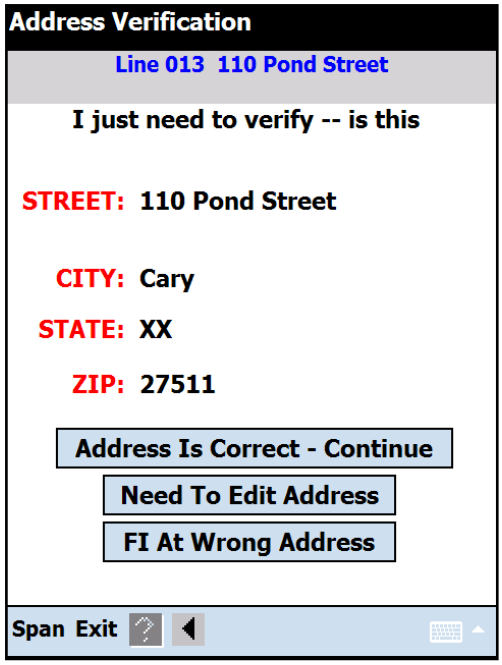


- Tap **SR Not Available** if either of the following situations occurs:
  - No one answers the door or you are not able to introduce yourself.
  - You are able to introduce yourself but either the question, "First just let me verify: do you live here?" or "And are you 18 or older?" is answered "No," and no other adult resident is available.
- Tapping **SR Not Available** takes you directly to the Record of Calls to document the event (e.g., 01- no one at home, etc.). Details of ROC entries are discussed in ***Section 6.6.***

→ Tap **SR Available** if both questions, "First, just let me verify: do you live here?" and "And are you 18 or older?" are answered "Yes."

- The Exit button at the bottom of the screen allows you to exit screening from this and other screens if necessary. In case you tap on Exit by accident, there is a pop-up box verifying that you really want to exit. Tapping **Yes** takes you to the Record of Calls. If you see this box in error, tap **No** to close the box.
- The **back arrow** at the bottom allows you to back up one screen if necessary.

6. On the **Address Verification** screen, read the statement, including the complete address to verify you are at the exact address. If there is only a description of the DU, obtain a street address if possible. Do not change a physical address or description to a mailing address or Post Office box.



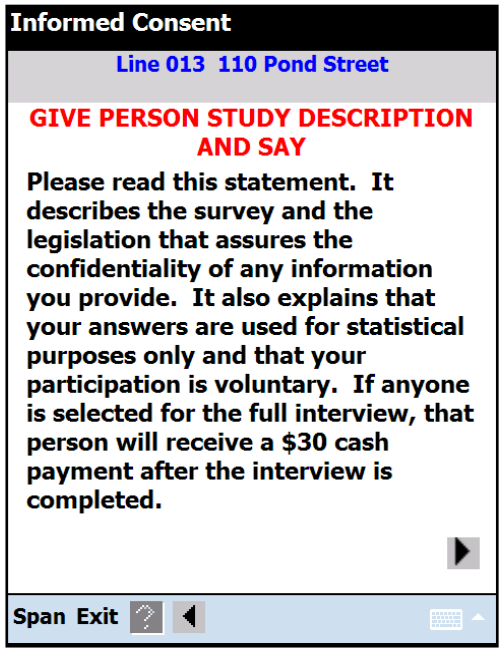
These are the response categories:

→ **Address Is Correct—Continue.**

- Need To Edit Address (see *Section 6.8*).
- FI At Wrong Address (takes you back to **Select Case** screen so you can either select the correct line and continue screening with the SR or locate the correct unit).
- The back arrow at the bottom allows you to back up one screen if necessary, while the Exit button takes you to the Record of Calls.

6.4.4 Informed Consent

Read the statements on the **Informed Consent** screen and give the SR a copy of the Study Description to keep. Although the name is purposefully generic to make it better for respondents, the Study Description is the formal Informed Consent document for screening. You must present the screen text and give the SR the Study Description to provide the SR with the information needed to allow the SR to make an informed decision about participation in the study. The Study Description is also included in the Showcard Booklet.

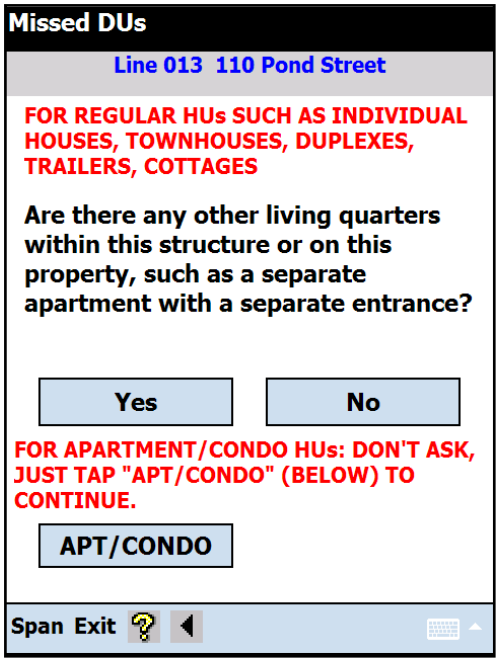


You have three options:

→ Continue by tapping the **continue arrow**.

- Back up to the previous screen by tapping the **back arrow** (if you need to go back to Address Verification, Identify SR, or Study Introduction screens for some reason).
- **Exit** (to exit out of the screening use the Exit button at the bottom of the screen to go to ROC [e.g., refusals]).

6.4.5 Missed DUs



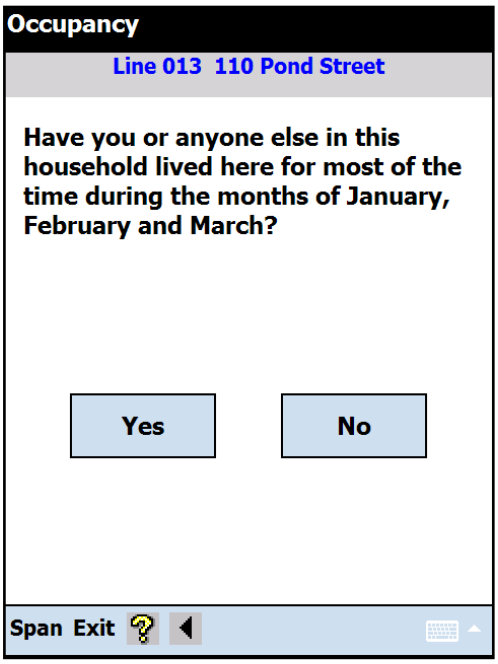
As explained in ***Chapter 3***, an important part of your job is looking for and adding any missed dwelling units that should have been listed but were not. The **Missed DUs** screen contains the question used to identify any missed DUs during screening. Only ask the question at single housing units that are individual units, such as single family homes, townhouses, duplexes, trailers, and cottages. While townhouses are not technically individual structures, there is a stronger possibility of missed units in townhomes where it is possible to rent out basements as separate living quarters, so the question must be asked. Do not ask the question for housing units that are multi-unit structures, like apartments and condos.

- A "**Yes**" response takes you through the Missed DU process, then continues the screening (***Section 6.9***).

→ "**No**" continues the screening.

- If the unit is in a condominium or apartment building, tap the **APT/CONDO** button.

6.4.6 Completing the Housing Unit Roster



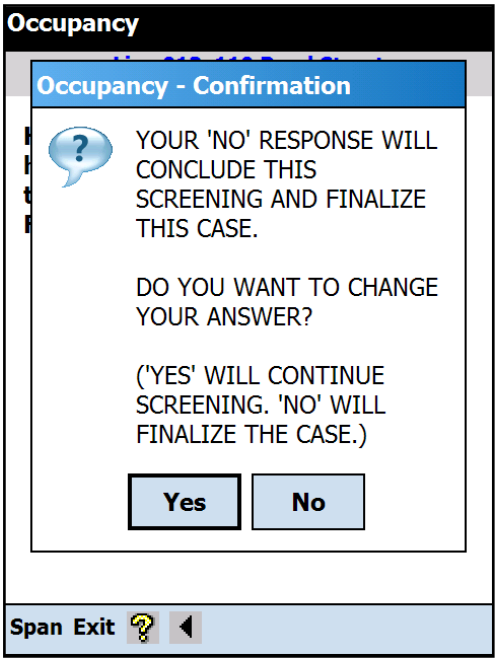
Having completed the introductory steps, the next step is to roster the unit to gather the actual data about household members.

Occupancy

First, determine whether this DU will be the primary residence for anyone in the DU during the reference months of the quarter which the iPAQ displays. If you are screening before the 15th of the middle month, the question will be displayed as, "Will you or anyone else in this household live here for most of the time during..." If you are screening on or after the 15th of the middle month, the question will automatically be displayed as "Have you or anyone else in this household lived here for most of the time during..."

If the SR doesn't know whether or not they (or anyone else there) will live there for most of the time during the quarter, treat this as a "Yes" and proceed.

If you tap **No** because no one will live there for most of the quarter, a pop-up box appears asking you to verify the response. Another pop-up box confirms this before the program concludes the screening. It then takes you to **Verification**, then **Record of Calls**, and finalizes the case as a code 26. Once finalized, you cannot re-open the case without intervention by your FS.



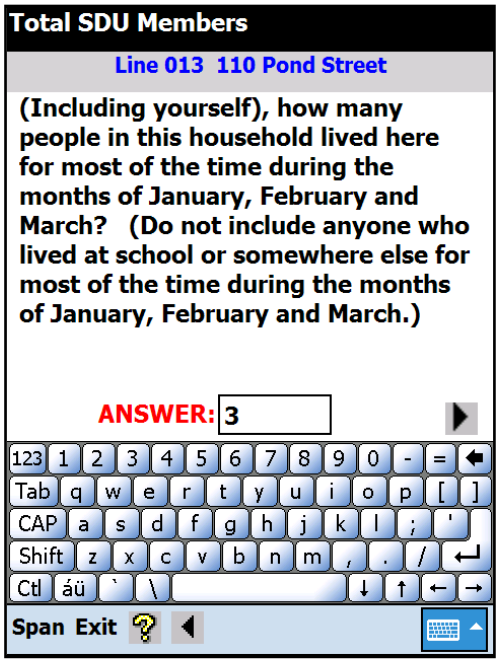
The pop-up box also allows you to change your answer if it was entered in error (tapped in error by you or answered incorrectly by the SR). In the pop-up box, tap **No** if you do not want to change the answer. Tap **Yes** in the pop-up box if you do want to change the answer. The iPAQ then displays the Occupancy question again so you can enter the correct response. If you do not think the SR fully understood the question, re-read the question emphasizing the phrase "most of the time."

An example of a correct "No" response to the Occupancy question is if you visit an SDU during the second week of the quarter and are told the entire family is moving out that week. No one in that household will live there for most of the time during the quarter, so the answer is "No." The appropriate final code (26) is then automatically assigned by the iPAQ.

→ Continuing with our example, let's say the response to the Occupancy question is "**Yes**."

Total SDU Members

This question asks for the total number of persons expected to live at the DU for most of the time during the quarter. For the most accurate information, focus on the idea of "most of the time during the quarter." Include all adults and children, even babies. If questions of eligibility are raised, refer to the Enumeration Rules (see ***Exhibit 6.1***). There is a copy of the Enumeration Rules in your Showcard Booklet for easy reference.



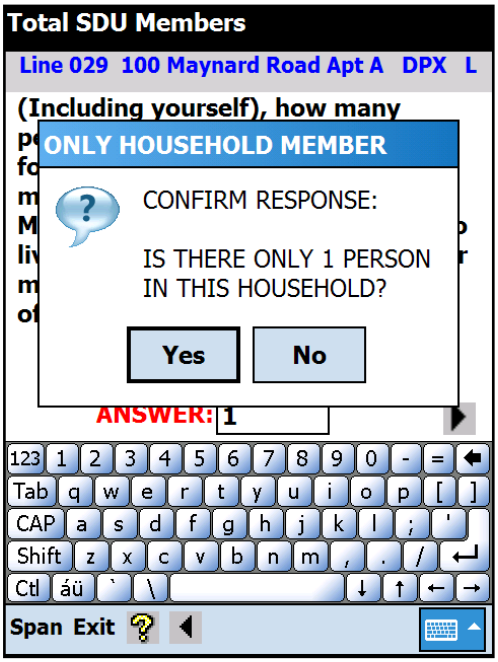
The phrase in parentheses is an optional probe. Read it if you feel the SR needs some additional help in understanding who we are—and who we are not—interested in rostering. In past years the majority of persons listed on the roster in error were college students. Be sure to read this phrase at DUs where there might be college-age children.

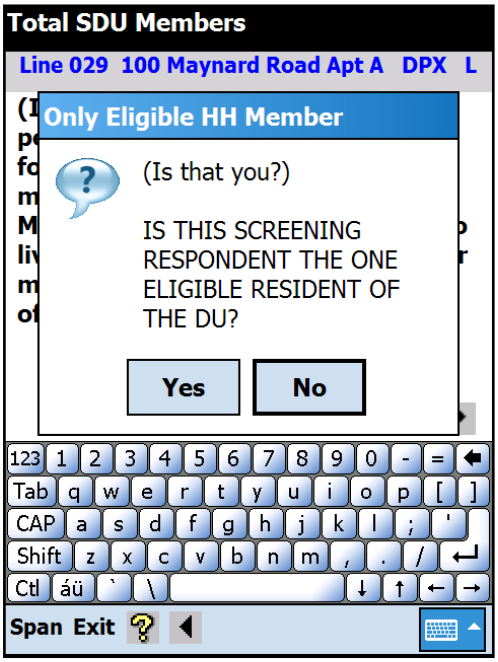
→ On the keyboard, tap the number(s). When finished, tap the **continue arrow**.

If you tap a number in error, tap the backspace key to delete the number to the left of the cursor (the blinking line). To move the location of the cursor so that you can delete the correct digit, tap anywhere on the line and the cursor will move to that location. Or, use the right and left arrow keys to move the placement of the cursor if that is easier for you.

If the answer is "1":

If you enter "1" total SDU member, a confirmation pop-up box appears asking if there is only one person in this household.





The confirmation box is there in case you entered "1" by mistake. The iPAQ program uses different language for some questions when there is only one household member. If "1" is correct, tap **Yes**.

Another box appears asking you if this SR is the one eligible resident of the DU. This is important because there could be more than one person living there but only one who will be living there for most of the time during the months of the quarter. In fact, your SR might be a resident of the DU at the time of screening but be an ineligible person who is moving out early in the quarter.

- If the SR is the one eligible person, tap **Yes**.
- If the SR is not the one eligible person, tap **No**.

Again, this response allows the iPAQ to display appropriately worded questions.

Exhibit 6.1 Enumeration Rules

PERSONS WHO ARE NOT TO BE INCLUDED ON ROSTER:

- Persons under the age of 12 at the time of screening (do count them in the total SDU Members number)
- Persons who are institutionalized at the time of screening
- Persons who will not live at the SDU for most of the time during the quarter

PERSONS WHO ARE TO BE INCLUDED ON ROSTER:

- Persons who will live at the SDU for most of the time during the quarter (provided they are 12 or older and not institutionalized at the time of screening)

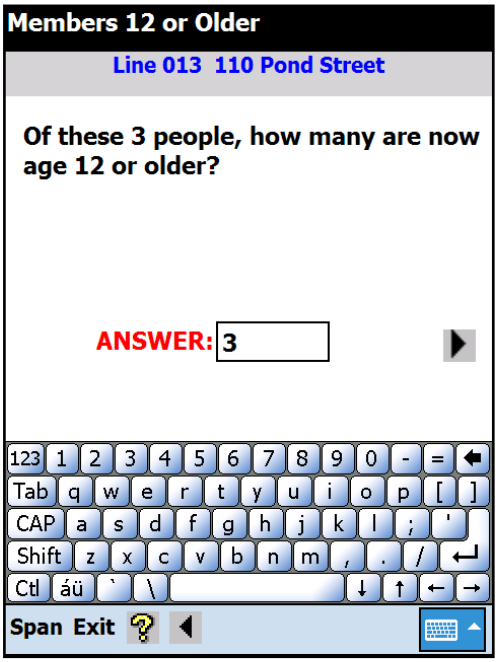
PERSONS ON ACTIVE DUTY IN THE UNITED STATES' MILITARY/ARMED FORCES:

- Active duty personnel who live at the SDU for half or more of the quarter will be rostered, but then will be made ineligible by the iPAQ prior to selection

KNOWN CITIZENS OF FOREIGN COUNTRIES:

- DO NOT INCLUDE: — citizens of foreign countries living on the premises of an embassy, ministry, legation, chancellery, or consulate
  - citizens of foreign countries who consider themselves to be just visiting or traveling in the United States (regardless of the length of time they will be staying at the SDU)
- DO INCLUDE citizens of foreign countries who are not living on the premises of an embassy, ministry, etc., but who are living/studying/working in the United States and who will be living at the SDU for most of the time during the quarter.

Members 12 or Older

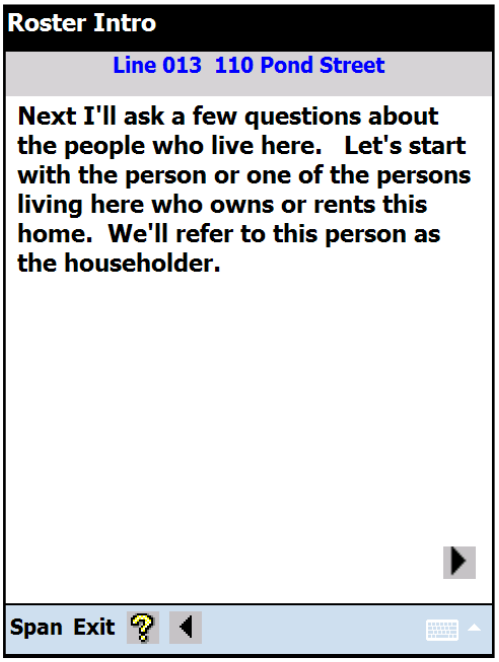


This question automatically displays (pre-fills) the response entered for Total DU Members into this question which asks how many of these residents are 12 years old or older.

→ Enter the number using the keyboard, and tap the **continue arrow**.

If the answer is "1" the iPAQ will confirm that response in the same process just described and move directly to the age question.

Roster Intro



For SDUs with more than one eligible member, the iPAQ displays this transition statement which defines the householder—the person or one of the persons who live there and in whose name the home is owned or rented. Note that you are interested in the person who is considered to be the householder for most of the time during the quarter. If the SR states the home is owned or rented by more than one person, have the SR choose one to serve as the householder. If that becomes a problem, simply list the person mentioned first as the householder.

→ After reading this statement, tap the **continue arrow.**

Roster

Next you create a roster that includes every person age 12 or older who will live at the SDU for most of the time during the months of the quarter.

The six data items to be collected are age, relationship to the head of the household (pre-filled for the householder), gender, Hispanic origin, race, and military status. Each question appears on a separate screen. The iPAQ repeats the question series for each household member. For each item:

- **Read the question to the respondent.** Read the question verbatim using the exact words shown on the screen. In time, you will memorize these questions which will enable you to ask the questions correctly while maintaining eye contact. The iPAQ customizes the questions when possible, using appropriate pronouns such as "you" for the screening respondent and he or she for others, once gender has been answered.
- **Enter the answer** (by tapping the appropriate response from the list below the question).

AGE

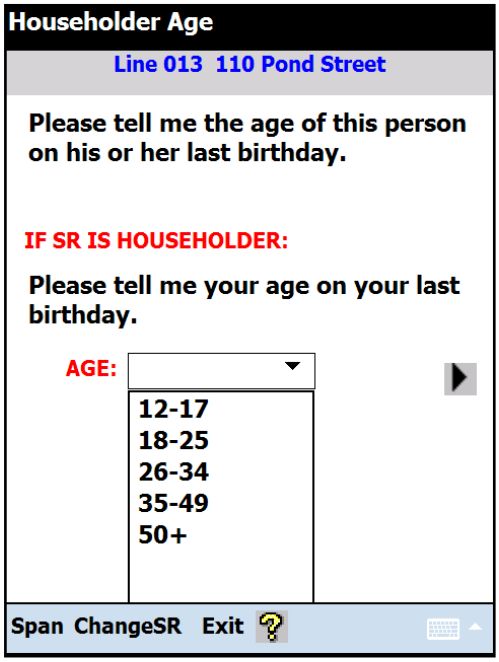
The intent of this question, "Please tell me the age of this person on his or her last birthday," is to collect the householder's present age. Some ethnic or racial groups report age as "age on their next birthday," (meaning the year they are presently living). However, some screening respondents may misinterpret "age on last birthday" as the age they were "last year." Because selection is based on age, it is important to probe and collect "present age on last birthday."

At this point you may or may not know if the SR (the person you are speaking with) is the householder. Read the first question unless the SR has identified himself/herself as the householder. If you know the SR is the householder, use the alternate question that specifies "your" age.



If the SR refuses to give you an age, reassure him/her that the information is needed for the selection process and the data are used for statistical purposes only—there will never be any names associated with the interview data. If the SR continues to refuse, attempt to obtain an age category. Tap the down arrow to the right of the answer field to see a list of age categories.

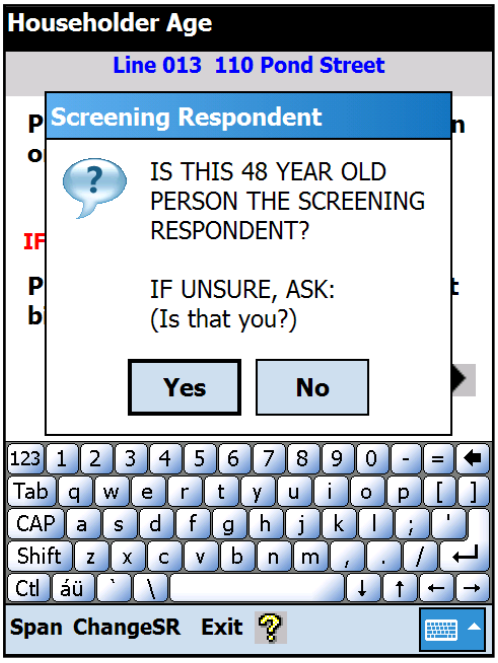
Ask the SR to please indicate the category in which the age falls (12-17, 18-25, 26-34, 35-49, 50+). Tap the correct category for the response. If the respondent refuses to choose an age category, explain that you cannot continue the screening without the information. If the SR still will not supply an age or range, tap Exit to go to the ROC and record the screening as a pending refusal. Never code an age range by observation.



→ Enter householder's present **age** using the keyboard, then tap the **continue arrow**.

SCREENING RESPONDENT

The next step is to indicate whether or not the SR is also the householder. Usually, you will know based on clues provided by the respondent. The pop-up box instructs you to determine, based on information you already have and the age of the SR, if this 'age' old person, in this case the householder, is the SR. If you are unsure, ask "Is that you?"

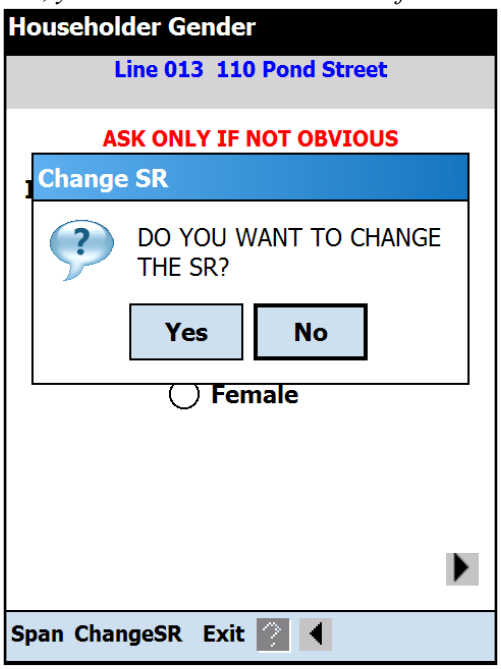


The SR must be a household member age 18 or older, except for an emancipated minor or a person living in a GQU. If you identify an SR under age 18 in an HU, the iPAQ prompts you to "locate" an eligible SR to screen with or asks you to explain the situation in the ROC Comments.

→ Tap **Yes** if the person is the SR or **No** if the person is not the SR.

- If the person is not the SR, the iPAQ continues to ask this question as you enter each household member's age until someone is identified as the SR. You should eventually identify one rostered person as the SR.

The possibility exists that the SR may not be listed on the roster because of ineligibility for the NSDUH. Perhaps the SR is a resident of the DU at the time of screening but is moving out the next week so won't be there most of the quarter. The iPAQ continues to ask for an SR who has a roster record entered and reminds you to mark one. If the actual SR is not listed on the roster, you must record the details of the situation in the Comments in the ROC.

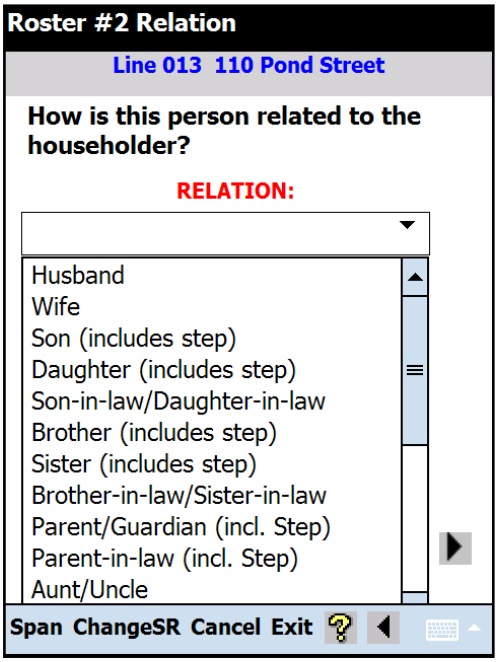


It is also possible that you may need to change the person you have marked as the SR at some point. Marking the correct SR allows the iPAQ to display the correct question wordings including pronouns. Notice on the above screen the button at the bottom—ChangeSR. During subsequent rostering questions, should you realize you need to change the SR, you may do so. To change the SR:

1. *Tap ChangeSR on any of the rostering screens for the correct SR.*
2. *The iPAQ asks a confirmation question to be sure you want to change the SR. Tap the appropriate answer.*
3. *If yes, you are asked if the person for whom you are completing the roster is the SR. Indicate your response. If not, you will continue to be prompted on subsequent roster members until an SR is marked.*
4. *The iPAQ asks you to confirm your response.*

As always, read the pop-up boxes carefully and the iPAQ will guide you through the process of changing the SR. You probably won't need to use this function often, but it is there if needed.

RELATIONSHIP



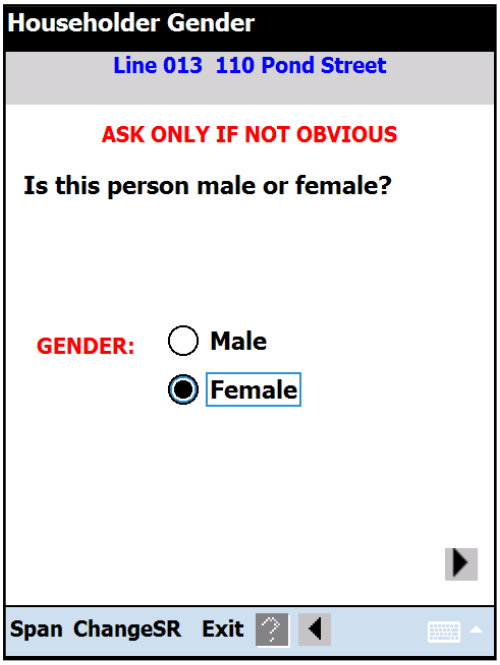
For all DU members other than the householder, the relationship question, "How is this person related to the householder?" appears. (For the householder, the relationship is automatically filled as being Householder.)

→ Tap the **down arrow** to display a drop down box with a list of relationships.

Carefully tap on the appropriate relationship to the householder. Hold the iPAQ stylus on the screen and slide it down until the correct selection is highlighted. As needed, hold the stylus on the scroll bar on the right, pulling it down to display the lower portion of the list. It's a long list so familiarize yourself with it so you can easily locate the correct relationship. Also be aware that the respondent may not use the exact term listed. Choose the best category available.

→ Tap the **continue arrow** when finished.

GENDER



Ask, "Is this person male or female?" only if not obvious.

You may need to ask this question for the householder unless the screening respondent is the householder or the SR uses a specific pronoun when referring to the householder. If the SR uses names, do not use the name to determine gender. Many names are unisex such as Pat, Chris, Jamie, etc.

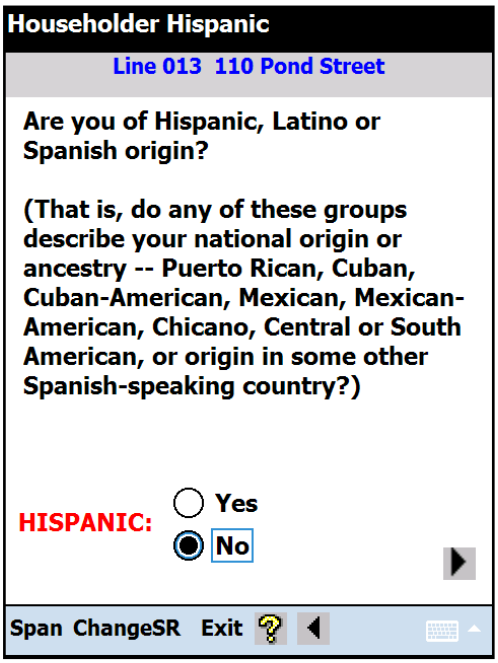
For other DU members, if the relationship selected implies a gender (husband, wife, son, daughter, brother or sister) the iPAQ records the gender for that person and this gender screen will not appear.

→ Tap the **correct response**, then the **continue arrow**.

HISPANIC ORIGIN

If when you ask about Hispanic ethnicity the SR hesitates or seems to not know what is meant by Hispanic, Latino or Spanish origin, then read the additional explanatory sentence, starting with "That is,...."

For subsequent household members, the options "unknown" and "refused" are available on the screen. If the SR cannot provide an answer and is unwilling to guess, even after probing, tap Unknown. If the SR refuses to provide a response even after you provide reassurance of confidentiality, tap Refused. **Due to the importance of all screening data, be aware that UNKNOWN and REFUSED responses are considered missing data, which are closely monitored**.



→ Tap the **correct response** then the **continue arrow**.

RACE

In order to more accurately capture how many Americans view themselves in terms of race, the NSDUH race question allows for multiple entries. Specifically, a respondent can select multiple races rather than only one. It is important that you **read the entire question** so the respondent hears all the choices.



Check as many items as apply.

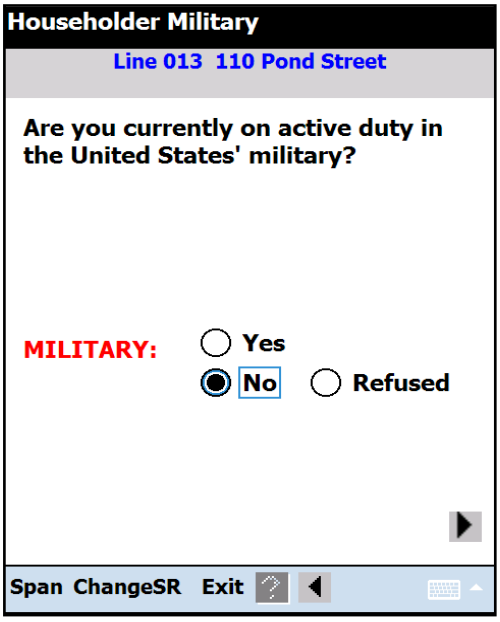
Do not code this item by observation, even if there is no doubt in your mind. The answer must come from the SR, not you.

If and only if the SR refuses to answer for the householder, record an answer for the race question and the Hispanic origin question based upon your observation of the race/ethnicity of the SR. Be sure to note in the ROC "Comments" that you have done this. This should happen only VERY rarely and will probably not ever happen to you.

Do not fill any other household members' race or ethnicity by observation, only for the householder. After probing, use the "unknown" or "refused" categories as needed for additional household members. If you have already tapped a category by mistake, tap the category again to clear that answer.

→ Tap the **correct response(s)**. Tap the **continue arrow** when finished.

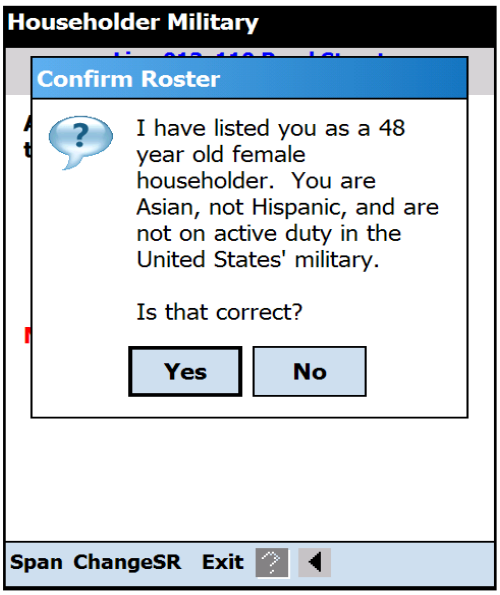
MILITARY STATUS



You will only see this question for DU members between the ages of 17 and 65, since recruits must be at least 17 to join and the military has a mandatory retirement age. For individuals aged 12-16, or 66 and older, the iPAQ skips the question and records a "No" response. For persons aged 17-65, read the question. It is important to read the question as worded—omitting "currently" or "active" changes the intent of the question and will yield an incorrect response.

→ Tap the **correct response** then the **continue arrow**.

CONFIRM ROSTER



Before the iPAQ saves the roster for this person, a pop-up box helps you verify the accuracy of the data you have recorded by quickly reviewing the responses with the SR. If there was an unknown or refused response, the word UNSPECIFIED displays within the confirmation statement. As possible, attempt to obtain the unspecified response. All data are needed for analysis.

- If you need to edit or add a response, tap **No**. The iPAQ then displays the questions again, one at a time, with the previous responses displayed. Make any needed changes, tapping the continue arrow to move through the questions.

→ If all is correct, tap **Yes** to continue.

If, while rostering a person, the SR tells you this person will not actually be living there for most of the time during the quarter, tap the Cancel button at the bottom of the screen. A pop-up box asks you to verify the cancellation of the record. This situation happens occasionally when an SR includes a son or daughter who is actually living at college. Be sure to explain in the ROC comments why you cancelled the record (see ***Section 6.6***).

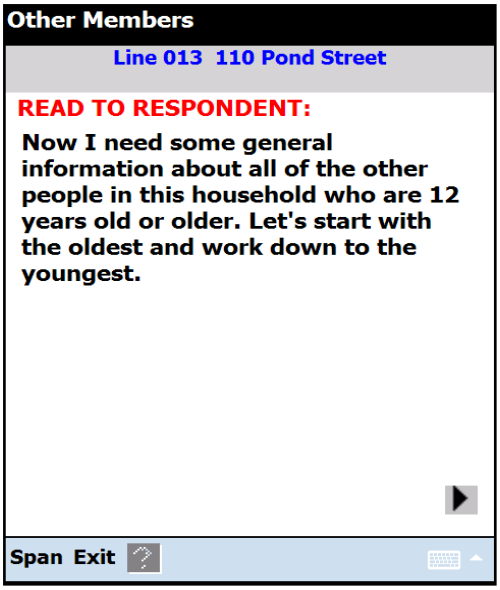
Note: You cannot cancel the first person's record (householder). If you try, a pop-up box will state you cannot cancel this record; however, if this is necessary, you can make this person ineligible on the Verify Roster Data screen (described on the next page).

TRANSITIONAL PHRASE

This statement explains the rostering of the remaining household members.

If there are only two household members age 12 or older (one is the householder and the other is the next person to be rostered), this phrase is customized to say "other person" instead of "other people."

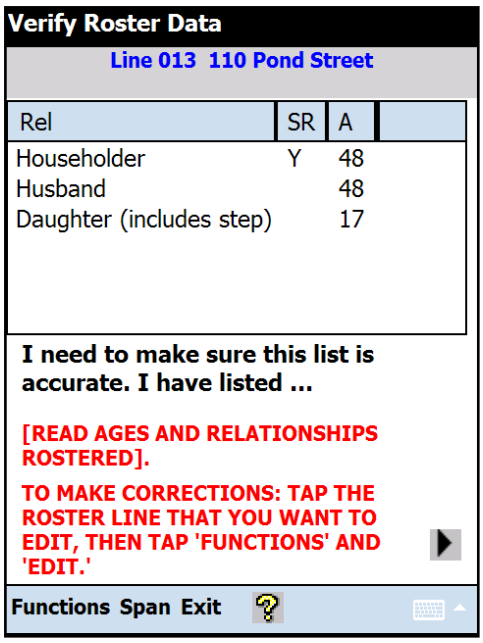
→ Tap the **continue arrow**, then roster the remaining household members.

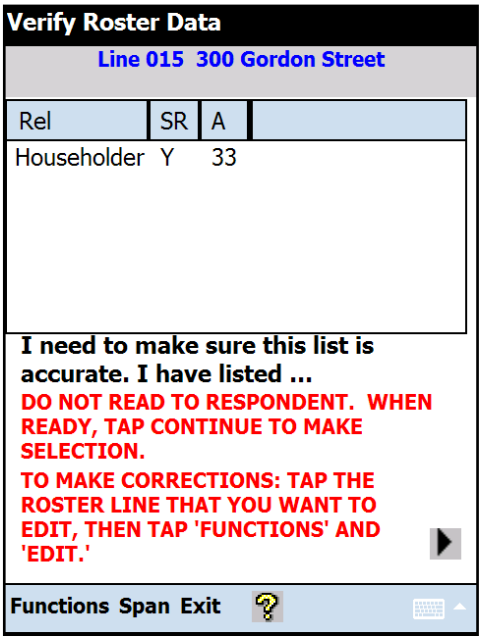


While rostering members other than the householder, if the SR provides an answer before or as you are asking a particular roster question, you may enter the response without reading the corresponding question in its entirety. For example, after you read the Hispanic question for Roster Member #2 the SR answers "No, he's not Hispanic and he's white too." In this situation you may enter the response "White" without reading the Race question, and then continue with asking the next question on military status. Remember, for the householder you must read all of the roster questions verbatim and in their entirety to the SR. When rostering other household members, never assume the respondent will volunteer information early. Always proceed with reading the roster questions verbatim, and only in circumstances where the SR provides a response before you complete the question are you allowed to accept this information.

VERIFY ROSTER DATA

After all household members are rostered, the iPAQ displays a summary chart on the **Verify Roster Data** screen. The screen appearance and instructions will depend on the number of members rostered: rosters with two or more members will look like the screen below on the left, and one member only rosters will look like the screen below on the right. The appropriate screen will appear automatically.



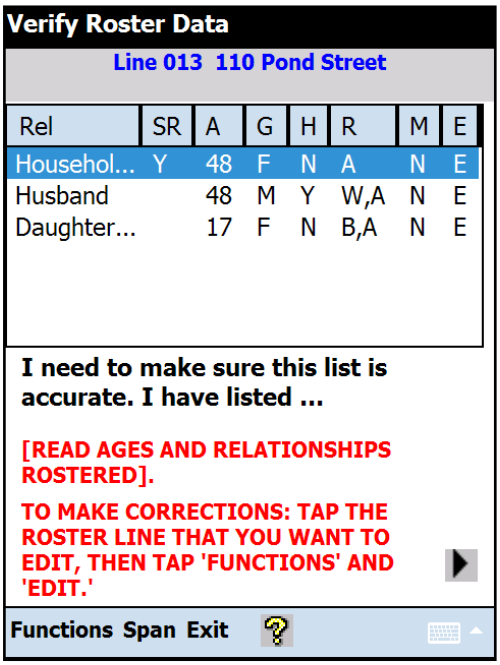


The columns are labeled as follows:

REL Relationship
SR Screening Respondent (Y or blank)
A Age

To view all available roster information, simply tap on a roster line and the remaining columns will become visible. An example displaying all columns is shown to the right. These are:

G Gender (M or F)
H Hispanic origin (Y or N)
R Race (W=White, B=Black or African American, I=American Indian or Alaska Native, P=Native Hawaiian or other Pacific Islander, A=Asian, O=Other Race)
M Military (Y or N)
E Eligibility (E=Eligible, I=Ineligible)



For some columns, U for Unknown or R for Refused may appear if the SR was unable or unwilling to provide an answer.

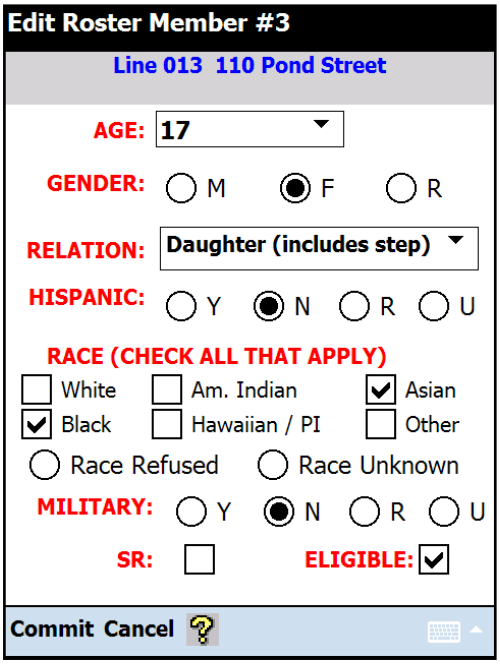
Be aware that this screen does not follow the pattern of previous screens. The directions to you are in red ALL CAPs at the bottom of the screen. At two or more member households, the prompt states, "I need to make sure this list is accurate. I have listed.... (READ AGES AND RELATIONSHIPS ROSTERED)." For example, "I need to make sure this list is accurate. I have listed the 48-year-old householder, her 48-year-old husband, and her 17-year-old daughter." The SR does not need to respond. When you are done, simply tap the **continue arrow**. For households with only one member, the prompt tells you to tap the continue arrow without reading anything to the SR.

The Functions button at the bottom of the screen enables you to complete the tasks which verify the roster. The available functions are Edit and Add Member. These functions are explained on the next pages.

Entries on each line should be complete and reflect the responses provided. **All data are needed for analysis and for statisticians to correctly compute the sampling weights**. The weighting process is critical to sampling since it shows what percentage of the population was represented by NSDUH respondents—both screening and interviewing.

EDIT ROSTER MEMBER

If the SR gives you a correction or you see an entry error you made, you can edit any person's roster data by tapping on his/her line of data on the left side of the chart. Tap **Functions** and then **Edit**. An **Edit Roster Record** screen appears that lists the various data items, including selection eligibility and screening respondent.



You can update responses to any of these categories by tapping the correct response. Just tap on the correct response and it replaces the original response. Then tap **Commit**.

The **Cancel** button allows you to exit the screen without making any changes.

→ **Read the list** and make any necessary corrections, then tap the **continue arrow**.

While on the **Verify Roster Data** Screen, if you need to add a member to the roster, simply tap **Functions**, then **Add Member** to add each member not previously listed. When all members have been added, tap the **continue arrow**.

This important task of verifying the roster can also be tricky, since household composition can change. Several concepts should help clarify the issue:

- Focus on MOST of the time during the quarter. If the person in question will live at the DU for most of the time during the quarter, include him/her, even if he/she is not living there at the time of screening.

Example: You conduct screening the second week of the quarter. A cousin has firm plans to move in next week, so will live there for most of the quarter. Include the cousin.

Should the cousin be chosen for an interview, confirm arrival dates and return to conduct the interview after that time. If plans change and the cousin doesn't ever move in, contact your FS to finalize the case as a 79. (Interview result codes are discussed in ***Chapter 7***.)

Example: You screen a DU the eighth week of the quarter. The newly married daughter moved out 2 days ago, but lived there for most of the quarter. Include the daughter. If she is selected for an interview, obtain new address information and discuss the case with your FS.

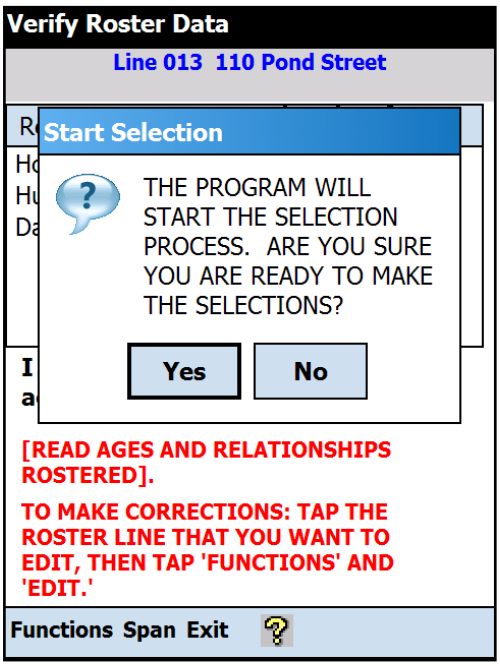
- Household compositions do change: separations, unplanned moves, jail time, illness, even death can alter the accuracy of the roster you prepare. Change is OK! **On the day of screening, complete the roster to the best of the knowledge of the SR.** Do not attempt to reroster or rescreen if there is a subsequent change. (Do stop screening and return at another time if the respondent is uninformed.)

Example: You conduct screening the fourth week of the quarter. The SR isn't sure about her brother's plans—he's thinking about moving out. Since the brother currently lives there and has no concrete plans to move out, include the brother. If he is selected and then does move out, obtain a forwarding address.

- Theoretically, each person should have just one chance of being selected at a DU somewhere in the country during the quarter, and the rule is to list the person at the one DU where he/she lives for most of the quarter.

- These rules apply to the people within the household, not to the entire household. If an SR tells you the entire household is moving out early in the quarter, the correct code is 26 and the case is final—you do not need to keep re-visiting the unit to see if anyone else moves in.

6.4.7 Selection



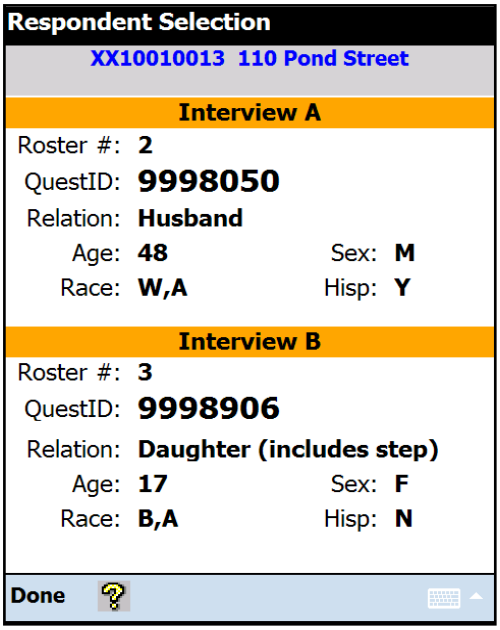
The selection process is simple and fully automated with iPAQ screening. The iPAQ processes the data entered, and based on the ages of the eligible household members and the various random numbers assigned to that specific DU, selects one, two, or no respondents to be interviewed. After you verify the roster data and tap the continue arrow, you see a confirmation box asking if you are sure you are ready to make the selection.

Before tapping, consider the accuracy of the information in the iPAQ. Have you entered it correctly? Do you feel the respondent answered correctly and/or truthfully? If you have doubts, tap **No** and either make corrections to the roster immediately or tap Exit to exit screening. All the data you have entered is saved, and you can go back into the case to make updates as soon as you obtain the correct information.

Once the selection is made, you cannot go back into the roster and re-screen without special intervention by your FS and RTI staff, so be sure you are ready to proceed.

In most cases you will proceed by tapping **Yes**.

The **Respondent Selection** screen displays whether anyone in the household was selected for an interview. The screen is divided in half; the upper half displays selection information for Interview A and the bottom half displays selection information for Interview B.



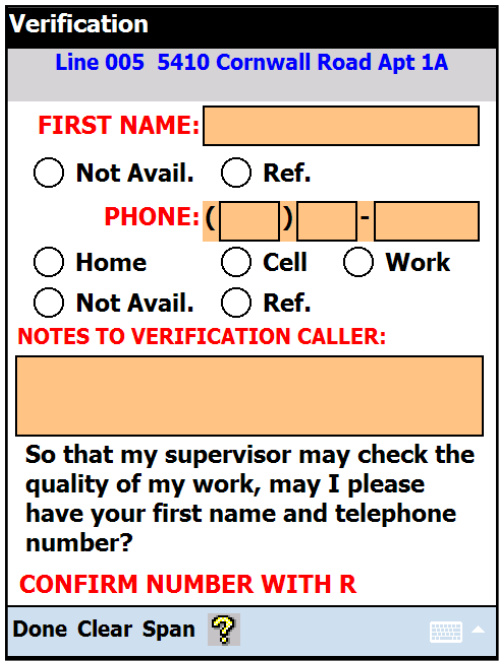
Items listed for each person selected for the interview are:

- Roster Number: The roster number is the numerical listing of the persons listed on the roster. For example, the daughter was listed third and was selected for an interview, so the roster number is "3." If no one is selected, it simply says "None."
- Quest ID (A or B): This is the QuestID you enter in the CAI Manager to begin the interview (see ***Chapter 7***).

  For code 32 cases with two selected respondents, make sure QuestIDs for A and B are entered correctly in the CAI Manager for the right person!
- Relation: The relationship to the designated householder on the roster.
- Age: Age of the selected respondent. If age categories were used in the roster, the age range is displayed here.
- Sex: Gender of selected respondent.
- Race: Race of selected respondent.
- Hispanic: Whether or not the selected respondent is Hispanic.

These pieces of information will help you identify the selected respondent during this or subsequent visits to the household. ***Chapter 7*** discusses preparing for the NSDUH interview.

6.5 Verification



If no one is selected (Code 30) then the iPAQ takes you directly to the **Verification** screen. You will have just finished rostering the household with the adult screening respondent, so the final task before leaving the DU is to obtain the verification information from this person. These data are used for quality control procedures.

Finalized noninterview result codes 10, 13, 18, 22, 25, and 26 (see description of result codes in ***Section 4.4.1***) also take you through the verification process. For these cases you enter the correct code in the ROC (see ***Section 6.6***), and then the iPAQ program displays the **Verification** screen. For the six noninterview result codes, you will obtain information from a knowledgeable adult such as a landlord or a realtor, and then the program immediately takes you from the ROC screen through the verification process while you are still talking with this person. Be aware that no NSDUH staff members are to serve as this contact person.

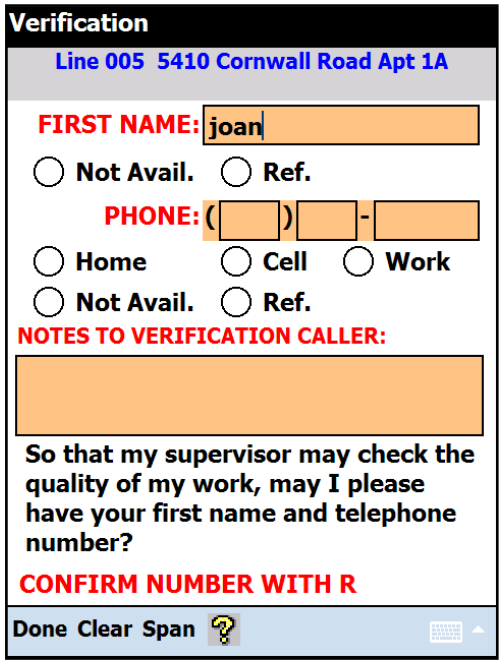
6.5.1 Entering Verification Data

Read the script provided towards the bottom of the screen: "So that my supervisor may check the quality of my work, may I please have your first name and telephone number?" The first name and number are used to contact a percentage of each FI's cases. If the person refuses, say, "A percentage of the households I visit are called just to check that I have been here doing my job. They will only ask a few questions to make sure I was here and that I was professional." Emphasize it is used only to check the quality of your work. Particularly with the elderly, consider leaving a Q&A Brochure that might help the respondent remember your visit.

This screen allows you to enter the person's first name, home, cell or work phone, indicate if any pieces of information were not available or refused, and enter any comments that would be helpful to the RTI verification caller. Also note that you should confirm the phone number entered with the respondent to be sure you have entered the correct number. Simply read the number back to the respondent for confirmation.

NAME

The cursor (the blinking line) appears in the space beside FIRST NAME. After reading the question, tap the **keyboard icon** in the lower right corner to display the keyboard. For space reasons, the keyboard then covers up the question. If you need the question again, tap the keyboard icon again to remove the keyboard.



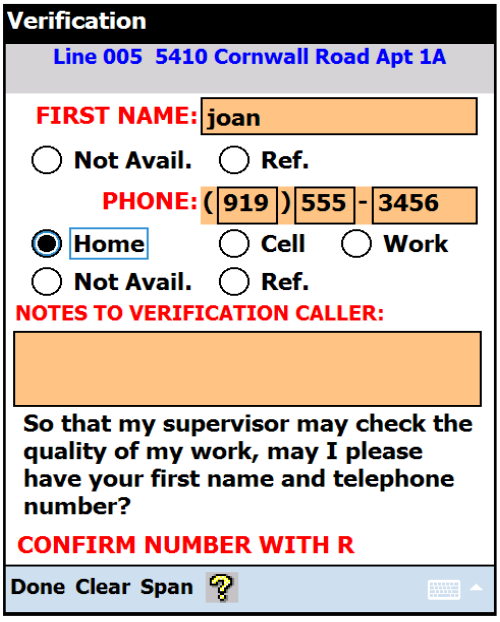
→ Spell the person's name by tapping the alphabet characters. To enter "Joan," either:

- Tap **Shift**, then type **Joan**. Notice that "Shift" capitalizes only the next character you tap; or
- Tap **CAP**, then type **JOAN**. Notice that "CAP" capitalizes all subsequent characters until you tap "CAP" again.

If you don't get the caps correct, don't worry. The entry can be "joan," "JOAN," or "Joan."

If the person refuses to provide a name or for some reason a name is not available, tap the appropriate selection (Not Avail or Ref) below the FIRST NAME line.

PHONE



→ When you have finished the name entry, tap **PHONE**, to make this category active.

→ Using the keyboard, tap the 3 **digits** of the area code, then the 7-digit phone number. If you make a mistake on the phone number, tap beside the numbers that are wrong. Tap the **backspace** key to delete the incorrect digits and then enter the correct number. Be sure to read the number back to the respondent to confirm you have entered the number correctly.

→ Notice the **Home, Cell** and **Work** buttons below the number. Designate if the phone number is a home, cell or work number. This helps the RTI verification caller when trying to reach this respondent. Remember, entering the correct area code and phone number is very important.

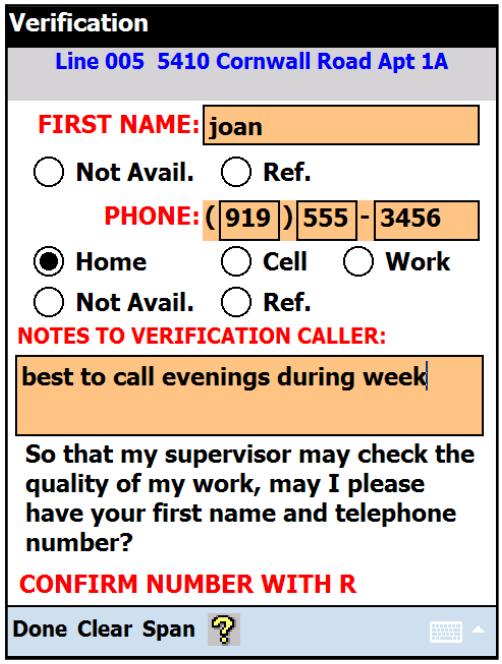
- A home or cell number is better than a work number.
- If you are given a work number, try to get an extension or at the minimum, a department name.

- Try to make sure the person is not giving you a beeper or pager number. RTI's verification unit cannot accept incoming calls, so pager numbers are not useful.

If the person refuses to give you a number or does not have a phone, tap the appropriate category (Ref for Refused or Not Avail for Not Available) below the phone number.

NOTES TO VERIFICATION CALLER

If you have notes to enter for the verification caller, tap the box under Notes to Verification Caller, then use the keyboard to enter notes. Enter any notes that would help the RTI verification caller complete the call. Examples of helpful notes are:



- If the person gives a work phone, enter the extension number or department name.
- Who the contact person is (landlord, real estate agent, person who just moved into the house).
- Best times to call. If you had trouble reaching this person, you can bet the verification caller will experience the same problem. Provide information on the best times to call. For example, the person is a shift worker so calling before 11:00 am is not good because of sleeping patterns.
- Best days to call. If the person was difficult to find at home, provide information on when you had luck catching him or her.

→ When finished, **scan all verification data entries for accuracy**, then tap **Done** to continue with the ROC.

→ If you need to update an entry, tap the **category title** (First Name, Phone, Notes). Either use the keyboard to edit your entry or tap **Clear Response** and your entry is erased so you can enter the correct data.

Note: If the same person is providing verification data for multiple units (apartments, etc.), include a note that the contact is a "multiple verifier." Then, pass this information on to your FS so the Data Quality team can be notified. This will help eliminate multiple verification calls to the same person.

6.6 Record of Calls

The ROC program on the iPAQ allows you to document each contact with an SDU with just a few taps of the stylus. All visits to each SDU must be documented in the ROC. The ROC also contains a refusal report that is required for each entry of a refusal code, both pending and final (codes 07, 17, 57, 58, 77 or 78). There are two ways to access the ROC program:

1. The iPAQ automatically assigns one of a group of finalized screening codes that are the result of selection or ineligibility. These codes are 25, 30, 31, 32, and sometimes codes 22 and 26. The ROC program also automatically assigns the date and time of the ROC events for these final screening codes.

2. When entering data for all other screening and result codes from the **Select Case** screen, select the case, tap **Actions**, then tap **Go to Record of Calls**. Or, exit from **Study Introduction** or any subsequent screen, and the iPAQ program automatically goes to ROC so you can enter the result of your visit.

When you approach the SDU for a screening visit, you should be on the **Study Introduction** screen. If you cannot finalize the screening during a visit, then you have options:

- Tap **Exit** at the bottom of the **Study Introduction** screen if there is no answer, or if now is not a good time, or something similar.

OR

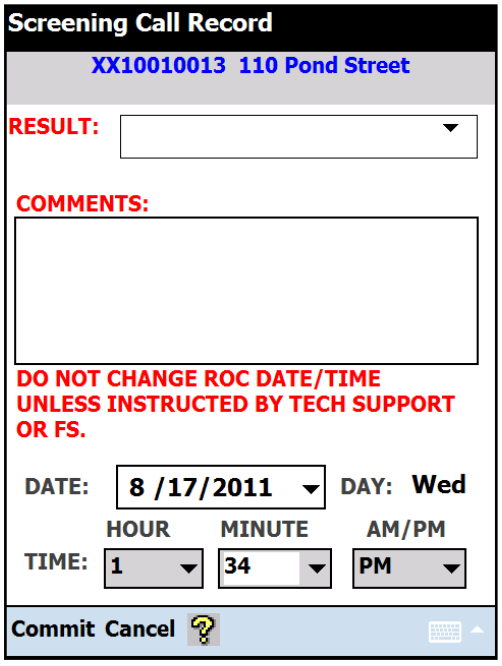
- If an acceptable SR is not available, answer the question on the next screen, **Identify SR**, by tapping **SR Not Available** (go to ROC).

OR

- If some other "pending" situation has occurred, you can tap **Exit** at the bottom of the screen.

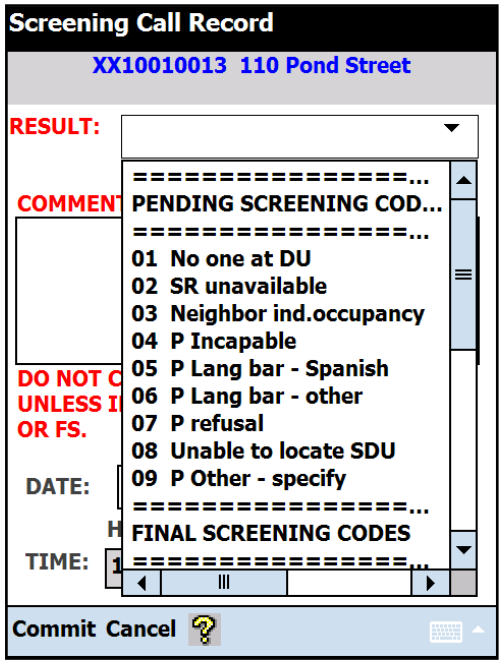
These actions take you directly to the **Screening Call Record** screen.

- Date, time, and day of week are prefilled, so this is very quick and easy to complete right away, while you are at or walking away from an SDU. We **insist** you enter the call record information at—or immediately after—the time of contact.
- Tap the **down arrow** in the RESULT field to display the list of appropriate screening or interview result codes. Choose the **appropriate result code** by holding the stylus to the screen and sliding it until the correct code is highlighted. Screening result codes are explained in ***Section 4.4.1***, while interviewing result codes are explained in ***Section 7.3.2***.



- Next, add any **Comments** (such as good times to return or information to help you locate the respondent, etc.). To enter comments, tap the **keyboard** icon to display the keyboard. When entering comments, do not enter text such as "screening complete" or "no one at home." The codes designate this information already. Only enter information that will be helpful to you or whoever is working the case. Do not, however, enter a name even if the respondent provides a name or you saw names on mailboxes, buzzers, etc. (See ***Section 4.4.2*** for tips on recording comments.)

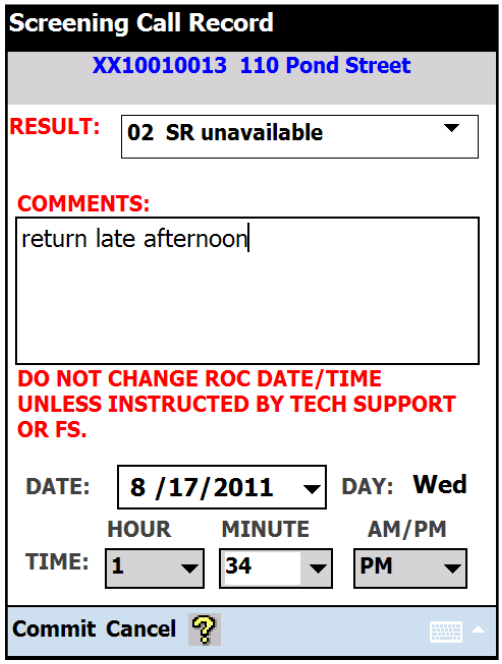
- Do NOT change the date or time displayed on the screen unless specifically instructed to do so by your FS or Tech Support staff.



Here's the list of pending codes for a screening case. You can access the remaining final codes by placing the stylus on the scroll bar on the right of the screen and sliding it down to see the rest of the list. To be sure you select the correct result code, hold the stylus to the screen and slide it until the correct code is highlighted.

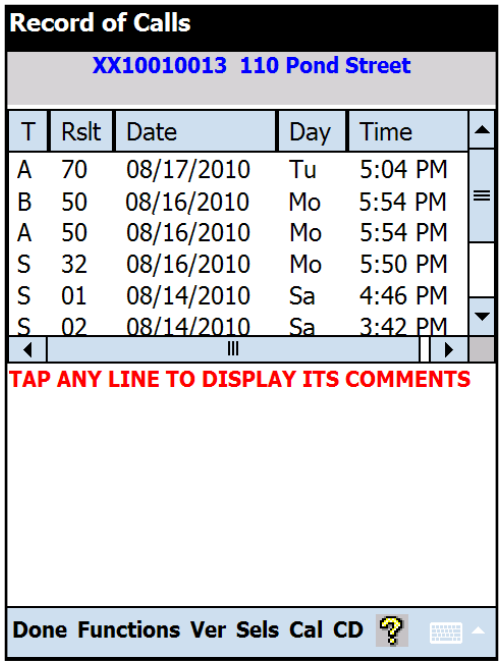
Once you complete the ROC entry, tap **Commit** for the iPAQ to save the record.

Here's a properly completed example of an ROC for a screening when no one was at home (note the comment regarding the time to return).



When entering an ROC from the **Select Case** screen and it is the first ROC event for the case, a pop-up box states that since this is the first event, you must first use Screen DU so that you may enter the Physical Features Data before entering a call record. Tap **OK** to close the pop-up box, then tap **Admin**, **Screen DU** to enter the Physical Features Data (see ***Section 6.10***), then tap **Exit** to enter an ROC for the case.

If it is not the first ROC event for the case, the iPAQ displays the **Record of Calls** screen where you can view previously entered results or add a new one. This screen lists all of the events for that case, including screening and any interview A or B result codes.



To view comments for a particular record, tap the line of the event. The comments display on the bottom part of the screen.

Actions from the **Record of Calls** screen are:

DONE: Tap **Done** when ready to exit the ROC.

FUNCTIONS: Tap **Functions** to:

Add a call record for this case.

Edit an existing record. Tap the **line of the event** you need to edit, then tap **Functions**, then **Edit** to edit a call record. Note: you cannot edit any events which have already been transmitted or codes automatically assigned by the screening program (25, 30, 31, 32 and sometimes codes 22 and 26).

Delete an existing record. Note: only call records that have not been transmitted can be deleted. Screening code events 25, 30, 31, 32 and some 22s and 26s cannot be deleted. A pop-up box appears to verify you want to delete the record.

View Comments displays all comments from all records for a particular case.

View Refusals from a previous refusal report. You will only see this option if any pending refusal codes have been entered (07, 57, 58) for this case. Tap **View Refusals** to view the refusal reasons and any additional comments you have entered on the Refusal Report (see ***Section 6.6.2***).

View Letters sent to an SDU. This option is available if any refusal or unable to contact letters have been sent for this case (see ***Sections 6.6.2*** and ***6.6.3***).

VER: Displays the verification information for the case. You can edit untransmitted verification information.

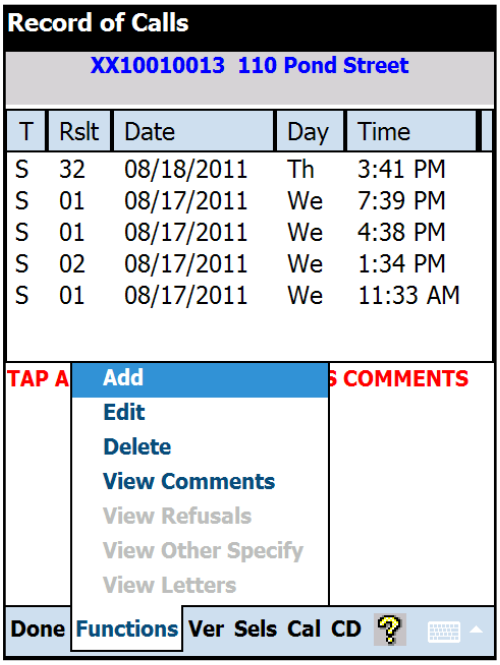
SELS: Tap **Sels** to view respondent selection information and the household roster.

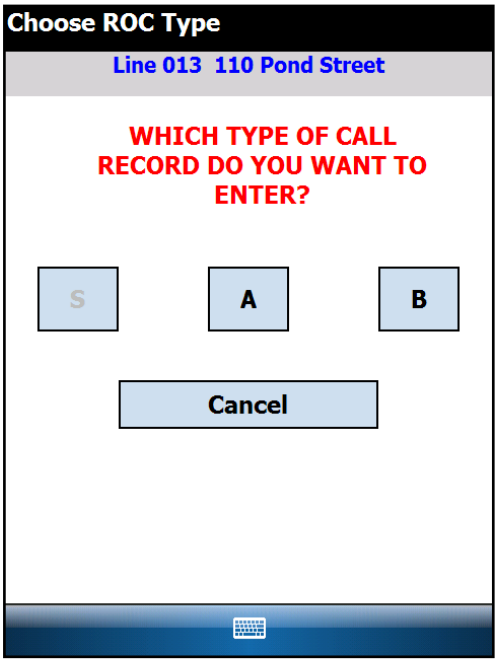
CAL: Accesses the iPAQ calendar (see ***Section 6.16***).

6.6.1 Adding Interview A and B Case ROC Result Codes

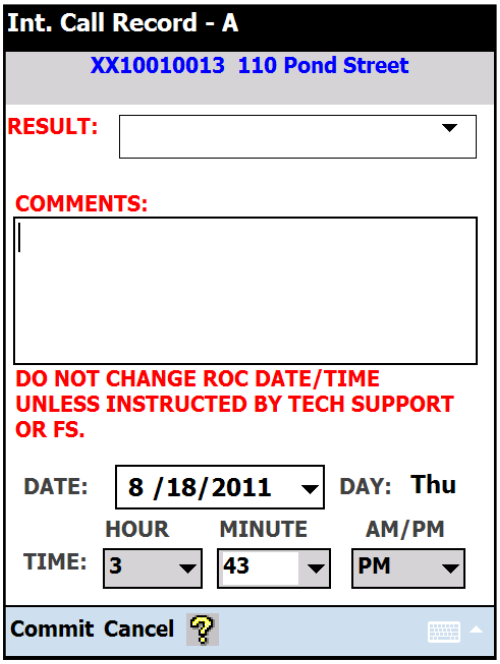
When the selection process results in a code 31 or 32, you must enter the interview status for the respondent(s) selected at that visit when you completed screening. Either the interview was completed, or if it was not completed because the respondent was unavailable or for other reasons, this information needs to be documented.

If selection results in a code 31, the program automatically enters the screening code 31 with the date and time. You can add comments, if necessary, but this is not the place for information about the interview. The program also reminds you with a pop-up box to enter the A case ROC interview record. Then, tap **Functions**, then **Add**, then tap the **A** box to create the A case record.





On the **Interview Call Record** screen, the date and time are automatically entered by the iPAQ. Select an interview result code from the drop-down list and add any necessary comments about the interview (see ***Section 7.3.2*** for explanations).

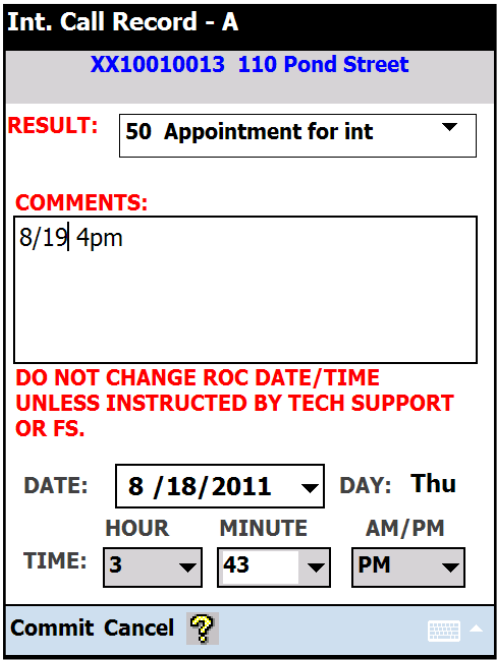


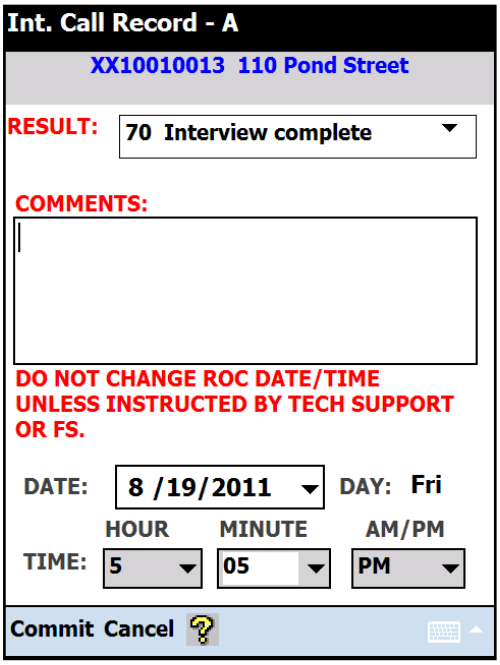
If selection results in a code 32, the program automatically enters the screening code 32 with the date and time. You can add comments about the screening, if necessary, but again, this is not the place for information about the interviews. A pop-up box reminder will tell you to enter a call record for both the A and B cases. Tap **Functions**, then **Add**, then tap **A** or **B** to designate which record you are entering first.

You may need to refer to the selection information to enter the correct code and comments for the correct interview respondent.

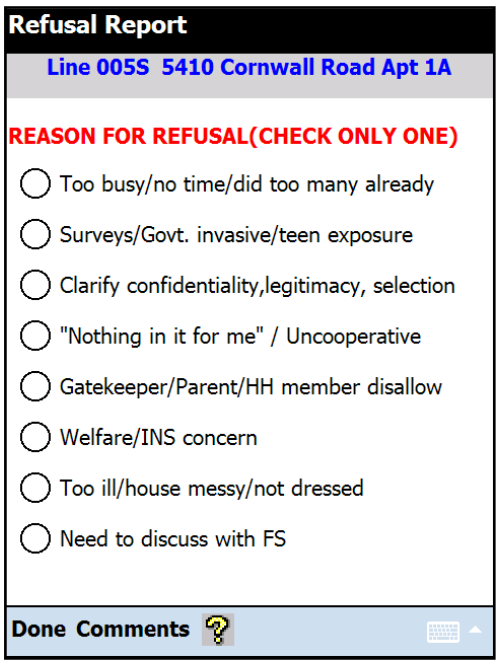
After you enter the first interview code (A or B), again at the ROC screen, tap **Functions** then **Add** to create a second record, then tap **A** or **B** to designate the correct interview record.

Here are examples of properly completed interview call records.





6.6.2 Refusal Report



Once you enter a pending or final refusal code (07, 17, 57, 58, 77 or 78) in the ROC and tap **Commit**, the **Refusal Report** screen appears listing the most common reasons people refuse.

Tap the main reason that applies for this specific case and visit. To enter additional comments describing the situation, tap **Comments** at the bottom of the screen.

The first time you record and transmit an 07, 57 or 58, automatic refusal conversion letters may be sent based on the category you select and any comments you make. These letters were explained in ***Section 5.6***. Each SDU can receive one screening refusal letter, and one interview refusal letter for each selected respondent. Each mailing also includes a Q&A Brochure.

Please be very careful to choose the correct pending interview refusal code: use 57 for adult and youth respondents who refuse, as well as for adult gatekeepers who refuse for an adult respondent such as a parent refusing for an adult child still living at home or a spouse refusing for the other spouse. Use code 58 for situations where a parent refuses to allow the 12-17 year old youth to participate. After a code 57 is entered and transmitted, a code 58 can be entered in the iPAQ for that case but the code in the refusal system will not change so a parental refusal letter cannot be sent.

To see when a letter was sent, at the main ROC screen, tap **Functions**. If a letter has been sent, the View Letters option displays. You can tap **View Letters** to see when the letter was mailed.

To complete the refusal report:

- Tap the **one main refusal reason**.
- If you have comments specific to the refusal you are documenting, tap on **Comments** to add comments to this refusal report. Comments about the details of the situation help you when discussing conversion strategies with your FS. Notes such as which parent refused for a selected youth or which household member was acting as a gatekeeper are very important. Remember to enter the correct address if a case with a code 07 has an address that was wrong.
- Tap **Done** to exit.

To review this refusal report data, in the ROC tap on the **line for that event**, then tap **Functions**, then **View Refusal**. You then see the refusal report with the reason you checked indicated. Any comments you entered are also displayed. Keep in mind, refusal reports cannot be edited after they have been transmitted. To see when a letter was sent, at the main ROC screen, tap **Functions**. If a letter has been sent, the View Letters option displays. Tap **View Letters** for additional information.

If you go back to an SDU and must assign a pending refusal code again, you are prompted to complete another refusal report. Situations can vary between visits, so record the information for that visit as well.

6.6.3 Unable to Contact

Similar to the refusal letter system just described, an automated system can send Unable to Contact (UTC) letters for either screening or interviewing to SDUs you are having trouble contacting (see the end of ***Appendix C*** for examples). After numerous unsuccessful attempts (as documented with the result codes), the system flags the case for your FS who, after discussion with you, can either have the letter sent, wait longer, or indicate a letter will never help. A Q&A Brochure is included with each letter.

Important point: Do not rely on the letter to gain you entry! While letters may help, the best approach is always a professional, knowledgeable, organized interviewer.

To see when a letter was sent, at the main ROC screen, tap **Functions**. If a letter has been sent, the View Letters option displays. Tap **View Letters** to see when the letter was mailed.

6.6.4 Special Rules for Final Codes 11, 17 and 77

The iPAQ program only allows you to enter a code 11 (no one at DU repeatedly) if you have made at least four visits to the SDU—our project minimum. The program also only allows you to enter a final refusal code if you have previously entered a pending refusal code. These checks are designed to keep you from assigning a final code when a pending code should be used.

6.6.5 Importance of ROC Data

The iPAQ program is designed to make the recording of accurate and complete data as simple as possible. The ROC data in particular only take a few steps if you complete the record while leaving the DU. As mentioned earlier, the important ROC data is transmitted each time you connect to the laptop and transmit to RTI. The next day the data is compiled into special reports made available to your FS through the project Website. Your FS can see exactly what time you visited a unit the day before as well as the timing of all previous attempts and all of your comments. This level of detail assists the FS in helping you manage your cases better.

6.6.6 Flow of iPAQ Program

One challenge of computerized screening is being able to visualize the logic of the changes from one screen to another. While the past few sections took you step-by-step through the details of the major sections of the program, a Summary Chart in the ***Appendix*** in the ***FI Computer Manual*** can help you understand the flow of the iPAQ program. This chart is most often helpful early on in the learning process. If you are new to the study, take time now to review the chart.

The remainder of ***Chapter 6*** presents the various other screening tasks performed through the iPAQ. These tasks are accomplished somewhat independently, so the flow of following a case through the process is halted for the rest of the chapter.

6.7 GQU Screening Program

The GQU screening program functions in the same way as the HU program except for a few additional features specific to Group Quarters. All additional or different items are documented below:

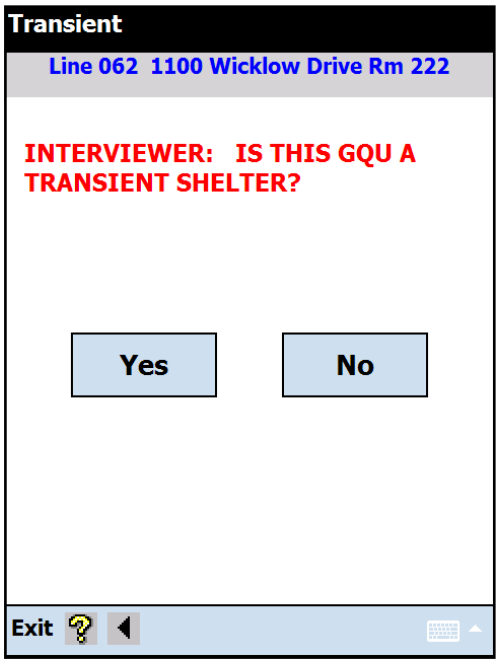
- The GQU screening program does not contain the **Missed DUs** screen asking if there are any occupied or vacant living quarters. Instead, before you begin screening at a group quarters structure with selected GQUs, you need to find a knowledgeable adult (usually someone who works there) and verify that the listing is currently correct. This is most important for GQUs that have been listed by beds or persons.

  If there is a discrepancy between the original Group Quarters Listing Form and what you find when you visit the GQU, call your FS. You cannot add missed GQUs on the iPAQ. They need to be listed and sampled first, then the GQU cases can be transmitted to your iPAQ during one of your regular daily transmissions.

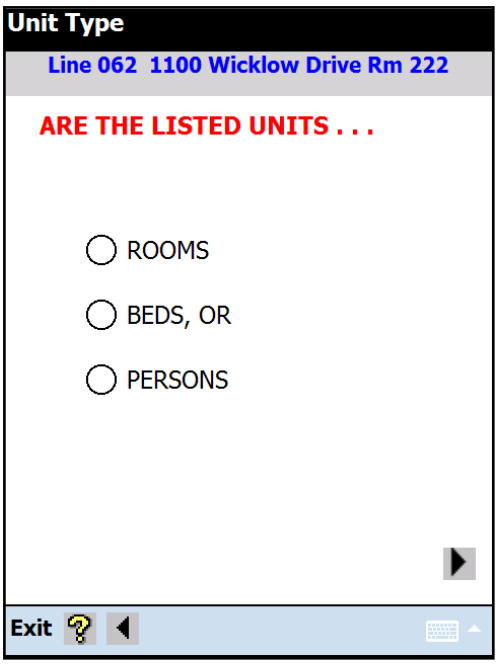
  You can, however, add a Missed HU linked to a GQU using the **Select Case** screen. For example, you can add an HU for a "house mother's apartment" within a fraternity house. To do so, tap on the **line of the GQU**, tap **Actions**, then tap **Add Missed DU**. Be sure to follow the detailed instructions in ***Section 6.9*** when doing this.

- In the screening program after **Informed Consent** there are a few additional screens that set up the appropriate roster questions for GQUs.

1. The **Transient** screen asks you if the GQU is a transient shelter. If not, the program takes you to the **Occupancy** screen to continue the screening process.



2. If the GQU is a transient shelter, the next screen, **Unit Type**, asks you if the units were listed as rooms, beds, or persons.



If listed by rooms: The next screen is the **Total GQU Members** screen, which asks, "(Including yourself) How many people are staying in this room?" Then you see the **Members 12 or Older** screen, which asks, "How many of these ____(number from previous question) are now age 12 or older?" Then you start the rostering process, beginning with age.

If listed by beds: The iPAQ goes right to the age question, and the data questions use the pronoun "your."

If listed by persons: The iPAQ goes right to the age question, and the data questions use the pronoun "your."

- If the GQU is located within a transient shelter, the **Occupancy** screen will not appear because the eligibility rule of living at the SDU for most of the quarter does not apply. With transient GQUs, think of it as taking a "snapshot" of the GQU at the time of the screening.
- The SR for the GQU is always the first person listed on the roster.
- The HU roster question for "relationship to householder" is replaced by "What is your first name?" so that the GQU members can be properly identified. If the SR refuses to give a first name, request that he or she use initials or some other identifying information so you are both clear who you are talking about during rostering and possible selection. Even when you learn a respondent's name this way, do not call the respondent by name as the respondent may feel less 'anonymous' and thus feel less comfortable providing honest answers.

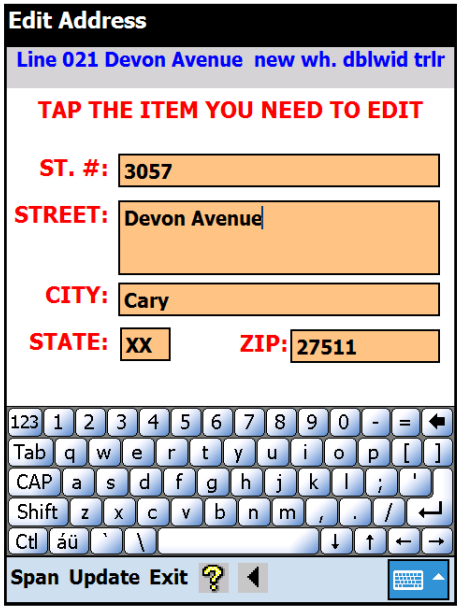
  If the case is a code 30, you will notice the SR's first name is automatically displayed on the **Verification** screen (data taken from the roster, though you may edit the name if needed). You need to read the screen verbatim, confirm the name, and enter the phone number, and any Notes (if necessary).

6.8 Edit Address

Since the lists of dwelling units were prepared fairly recently, addresses should generally be accurate, so that having to edit addresses should not be a common task. You should only edit an address if the physical address is missing or incorrect. If the DU was listed by description, try to obtain a street number/street name address. Do not change an address or description to a Post Office box. Keep in mind that the important address is the physical address which describes the location of the DU.

In the **rare** event that you must edit an address, first review the Editing Address Protocol Summary chart located in the Job Aids portion of the Showcard Booklet (see ***Exhibit 6.2***) to be certain all appropriate procedures have been completed. When you edit an address, you must notify your FS who may need to notify the Sampling Department, or even seek their approval, and then update the original versions of the listing materials. You should also make a note in the Record of Calls explaining the reason for the edit.

There are two ways to edit an SDU address in the iPAQ. The one you use depends on when you obtain the new address information.



1. If you obtain the information during the screening process, while on the **Address Verification** screen, tap **Need To Edit Address**. A keyboard appears so you can edit any part of the address. Tap on the **category** title (St. # (for street number), Street, City, State, or ZIP) to make it "active," then use the **arrow keys** to move the cursor and the **backspace** key to delete what is displayed. Then enter the **correct information**. The iPAQ program performs several edit checks and may prompt you to verify that information has been entered correctly.

   → Tap **Update** to save the changes and continue screening on the **Informed Consent** screen.

   • Tap the **back arrow** to go back to the **Address Verification** screen.

2. If you obtain address change information before the screening process begins, you can enter this information from the **Select Case** screen. Situations where you might want to enter address updates this way are SDUs with descriptions only or areas that have recently received new addresses due to 911 coverage. Tap the **line of the SDU**, tap **Actions**, then tap **Edit Address** and the **Edit Address** screen appears. Tap on the **category title** (St. # (for street number), Street, City, State, or ZIP) to make it active, then use the **arrow keys** to move the cursor and the **backspace** key to delete what is displayed. Then, use the keyboard to enter the **correct information**. As needed, respond to any iPAQ prompts based on edit checks of the address.

   → Tap **Update** to save the changes.

   • Tap the **back arrow** if you got to this screen in error or do not want the changes saved.

   Both of these options take you back to the **Select Case** screen.

Exhibit 6.2 Editing Address Protocol Summary Chart

Editing Address Protocol

When to Edit an Address

Editing SDU addresses should not be a common task. An address should only be edited if the physical address is missing or incorrect, such as when only a description of the SDU is provided.

Before editing an address, first confirm that you are at the correct selected dwelling unit. To do this, use a combination of project resources, including the handwritten List of DUs, block listing maps, and the address or description in your iPAQ. If you are confident you are at the correct DU but the address is incorrect, you should consult the *Editing Address Protocol* chart. It will guide you on the steps to follow.

When you edit an address, there are two additional steps you must take to complete the process. First, you must enter a note in the Record of Calls explaining the reason for the edit. Second, you should notify your FS of the edit. Your FS must update their copy of the segment materials with the edit, and in many cases notify RTI's Sampling Department to update the project sampling frame.

When NOT to Edit an Address

In order to maintain the integrity of the sample, there are specific situations when you should not edit an address. These situations are listed as "Improper" in the third column of the *Editing Address Protocol* chart.

For example, addresses must never be edited due to screening on the incorrect line or at the wrong dwelling unit. Always double-check the address at the top of the iPAQ screen and consult your segment materials to prevent this type of error.

Never make edits to an address which create a duplicate of an address already listed on the original List of DUs without first obtaining permission from your FS and Sampling. Checking the original List of DUs before making an edit will ensure no duplication occurs.

Also, do not change an address or description to a Post Office Box, but instead enter any PO Box information in the Record of Calls.

Lastly, do not edit addresses to change abbreviations to full spellings, such as "Dr." to "Drive," or from full spellings to abbreviations, such as "Boulevard" to "Blvd."

Reminder:

Always refer to the chart:

- when deciding whether or not to edit an address, and
- to be certain all appropriate procedures have been completed when editing an address.

Exhibit 6.2 Editing Address Protocol (continued)

EDITING ADDRESS PROTOCOL				
REMINDER: Always review your segment maps, original list of dwelling units, and iPAQ information before editing SDU addresses.				
Scenario	**Description of Situation**	**Proper or Improper to Edit**	**Appropriate FI Action**	**Appropriate FS Action**
A	Description edited to a street address	Proper	Check handwritten list of DUs, if address is not on list, delete description; enter street address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
B	Street name spelling corrected or drive/avenue/street/etc. corrected	Proper	Edit address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
C	Correction of one SDU address due to 911/U.S. Postal Service/ local government address revisions	Proper	Edit address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
D	Correction of listing error for one SDU (includes edits to street/apt. number)	Proper	Check handwritten list of DUs, if address is not on list, edit address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
E	Adding apt. numbers to differentiate between added units in a SDU or on SDU property	Proper	Check handwritten list of DUs, if address is not on list, edit address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
F	City, state, or zip code corrected	Proper	Edit address in iPAQ; proceed with screening; enter notes in ROCs; notify FS	Make correction in segment materials
G	Within controlled access buildings/complexes, edits to addresses for multiple units originally gained through "blind" listing or listing by buzzer/mailbox	Proper (with prior approval from FS)	Notify FS; if approved by FS, edit address in iPAQ; proceed with screening; enter notes in ROCs	Make correction in segment materials; instruct FI to make edit and proceed with screening; notify Sampling
H	Complete street name change	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in iPAQ; proceed with screening; enter notes in ROCs	Seek Sampling approval; if approved, make correction in segment materials and instruct FI to make edit in iPAQ and proceed with screening
I	Removing the apt. number from SDU address	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in iPAQ; proceed with screening; enter notes in ROCs	Seek Sampling approval; if approved, make correction in segment materials and instruct FI to make edit in iPAQ and proceed with screening
J	Correction of address for multiple units due to 911/U.S. Postal Service/local government address revisions	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in iPAQ; proceed with screening; enter notes in ROCs	Seek Sampling approval; if approved, make correction in segment materials and instruct FI to make edit in iPAQ and proceed with screening
K	Correction of listing error for multiple units (includes edits to street and/or apt. number) *See Scenario G for additional information	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in iPAQ; proceed with screening; enter notes in ROCs	Seek Sampling approval; if approved, make correction in segment materials and instruct FI to make edit in iPAQ and proceed with screening
L	Adding apt. numbers to single dwelling units *See Scenario E for additional information	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in iPAQ; proceed with screening; enter notes in ROCs	Seek Sampling approval; if approved, make correction in segment materials and instruct FI to make edit in iPAQ and proceed with screening
M	Description or street address edited to a Post Office Box address	Improper	Place Post Office Box address in ROCs	Retrain FI
N	Edit due to screening on the wrong line or at the wrong dwelling unit	Improper	Request status code change or reopen code from FS; complete screening on correct line	Give status code change code or reopen code or instruct FI to final code, as appropriate; retrain FI
O	Edit due to merged or condemned unit, or unit does not exist	Improper	Notify FS; code case as instructed by FS and Sampling	Seek Sampling input; instruct FI to code case as instructed by Sampling

6.9 Missed DUs Procedures

As explained in ***Sections 3.5*** and ***3.6***, checking for Missed DUs is important for the validity of the survey results. The iPAQ program takes you through the process of adding a Missed DU, prompting you for information.

6.9.1 Adding Missed DUs

There are two ways to add Missed DUs in the iPAQ program. The one you use depends on when you obtain the Missed DU information.

1. If you obtain the information **during the screening process** while on the **Missed DUs** screen, that is, you get a "**Yes**" response to the question about other separate living quarters, **enter the address** of the unit, then continue the screening process. You will be prompted to reconcile the Missed DU(s) as you exit the ROC for that screening.

2. If you find the Missed DU **before or after the screening process**, you can enter this information from the **Select Case** screen. Remember, you should check the geographic interval for Missed DUs on your **first** visit to the SDU.

   Tap on the **line of the SDU**, tap **Actions**, then **Add Missed DU**. Enter the address of the missed unit and then tap **Update** (see ***Section 3.6***). Next a pop-up box appears asking if you want to add another unit. Remember, you can link up to five added units to an SDU. Tap **Yes** if you want to add another unit. Tap **No** if that is the only (or last) added unit you want to link to this SDU. For details about how to reconcile the Missed DU, see Reconciling Missed DUs (***Section 6.9.2***).

6.9.2 Reconciling Missed DUs

The process of reconciling Missed DUs involves a series of questions prompted by the iPAQ to see if the unit should be added (see ***Section 3.6***). There are two places in the iPAQ program where you can reconcile Missed DUs.

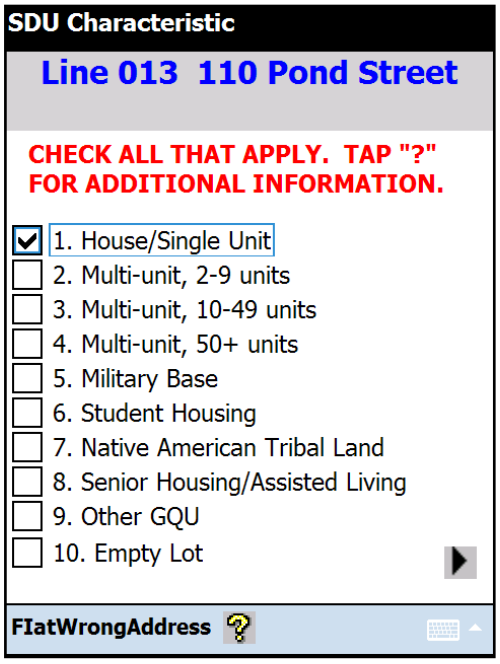
1. If you locate a Missed DU at the time of screening, add the Missed DU, finish screening the case and exit the ROC. Then you will see the prompt, "There are some missed DUs associated with this segment. Would you like to reconcile these?" Tap **No** if you wish to reconcile the Missed DU later. Tap **Yes** if you can and want to reconcile the Missed DU now.

2. From the **Select Case** screen, tap **Admin**, then **Reconcile Missed DUs**. (If you locate the Missed DU before or after the screening process, you will always reconcile from the Select Case screen.). At the **Segments and Missed DUs** screen, tap on the line for the segment containing the Missed DU you wish to reconcile, and then tap **Reconcile**. Next, a pop-up box appears to confirm you are ready to reconcile all Missed DUs for the selected segment. (You must reconcile all Missed DUs for the selected segment at the same time). Tap **Yes** if you are ready to reconcile all Missed DUs within the segment. Tap **No** if you wish to reconcile later.

As explained in detail in ***Section 3.6.2***, the reconciliation process involves answering questions to tell the iPAQ to add or not add the unit. It tells you if it has added the unit. If added, you can quickly view the unit by **View**ing **Added DUs**, which displays all Added DUs in your assignment.

6.10 Physical Features

To gather detailed information about existing structure and controlled access issues affecting field interviewers, you will record two pieces of information for every SDU in your assignment. During your FIRST visit to an SDU, the iPAQ prompts you to enter Physical Features data which consists of two pieces of information, providing a 'picture' of what you encounter on your first visit:



1.) SDU Characteristic describes the structure or situation in which the SDU is located, such as single unit, student housing, senior housing, or Native Tribal Lands.

2.) Controlled Access Type describes the types of barriers, if any, you encounter as you approach the SDU door.

These data are used in conjunction with ROCs to provide field management staff more complete information about issues impacting field interviewers and respondent cooperation. This function is not designed to be a tool for FI case management, so make sure that any issues requiring action are documented in the ROC.

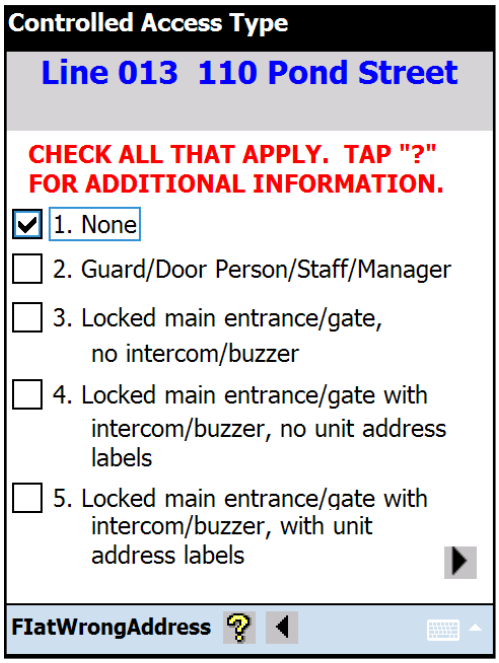
When preparing to contact an SDU for the first time, first locate the unit, checking the segment materials to be sure you are at the right location. Before approaching the door, access the **case** on the iPAQ by selecting the case and then tapping **Actions**, **Screen DU**.

The first time you tap Screen DU for a case, the iPAQ displays the **SDU Characteristic** screen. Carefully DOUBLE CHECK the address at the top of the screen to be sure you are in the right place. (If not, tap FI at Wrong Address to return to the Select Case screen and try again.) Tap the appropriate **entries** to check the boxes for **all** characteristics that apply. Descriptions of each category are available here in parentheses:

1. **House/Single Unit** (single family home, trailer, or cottage)
2. **Multi-unit, 2-9 units** (multi-unit structure with 2-9 units)
3. **Multi-unit, 10-49 units** (multi-unit structure with 10-49 units)
4. **Multi-unit, 50+ units** (multi-unit structure with 50 or more units)
5. **Military Base**
6. **Student Housing** (includes dormitory, fraternity/sorority housing, or college-owned apartment**)**
7. **Native American Tribal Land** (Reservation)

8. **Senior Housing/Assisted Living** (includes houses, apartments, or condos)
9. **Other GQU** (group quarters units OTHER than those listed in the above options, such as shelters)
10. **Empty Lot (empty home site or mobile home site)**

When all SDU characteristics are marked, tap the **continue arrow**. The **Controlled Access Type** screen appears.



"Controlled access" is defined as any situation where you approach an SDU and encounter some barrier that **prevents you from gaining access to the door** of the SDU. Tap the appropriate **entries** to check the boxes for **all** controlled access situations that apply. If you do not encounter a barrier, OR, if you encounter a barrier but are able to overcome it and gain access to the door of the SDU during that same visit, select none.

Descriptions of each category are available here in parentheses:

1. **None** (The vast majority of SDUs possess *none* of the types of access barriers listed below, so "None" will be a common entry. Remember, if you encounter any of the access barriers below, but gain access to the door of the SDU during your initial visit, the barrier would be coded as "None" per the Controlled Access definition.)
2. **Guard/Door Person/Staff/Manager** (door person at front door who has to call the unit, door person that must give access to building, guard at gate of community; on-site or off-site manager who controls access)
3. **Locked main entrance/gate, no intercom/buzzer** (locked doors, locked gate, controlled gate, or other locked entry)
4. **Locked main entrance/gate with intercom/buzzer, no unit address labels** (may contain other labels such as names, but does not provide address label)
5. **Locked main entrance/gate with intercom/buzzer, with unit address labels**

When all Controlled Access situations are marked, tap the **continue arrow**. The iPAQ takes you to the Study Introduction screen so that you may approach the door and be ready for screening.

Physical Features Reminders and Examples:

- **Timing:** You must record the data on your first visit to the SDU. The iPAQ will not allow you to begin a screening or enter an ROC for a case until the data are entered. When recording Physical Features data, you provide a "picture" of the situation that gives data users a glimpse of the SDU on your first visit.
- Once you complete your initial contact at the SDU (screening is final, or you cannot complete a screening so exit the case to complete an ROC), you cannot return to the Physical Features screens. Really, there is no need to! The two data items provide a picture of what you encountered during your first visit: that does not change.

- **Multi-Units:** If you encounter a controlled access barrier during your initial visit to a multi-unit building or complex that prevented you from gaining access to any SDUs, you should enter the barrier type for all SDUs in that building or complex.
- **Unusual Situations:** Since you enter this data for ALL cases in your assignment, you will encounter a variety of unusual situations. How do you enter data for an SDU that doesn't exist (code 29, listing error), or for an SDU that is actually a business (code 18, not a dwelling unit)? Basically, FIs should code the cases as if they were dwelling units.

  For example:

  Code 18: Record the data based as closely as possible to what actually exists. For example, consider a Code 18 that is really a beauty shop. If the shop is the only store (unit) in the building, select "house/single unit." If the store is in a building with several other stores/units, code it as a multi-unit with the appropriate number of other units. Code the controlled access type based on observation as if the case were an eligible DU.

  Code 29: If a unit does not exist, code based on the characteristic of the building where the unit is supposed to be. For example: the SDU labeled Apt. 2D does not exist in the multi-unit building with 20 other units. Choose the appropriate SDU Characteristic based on the existing building. If there is no building, then select "empty lot" for SDU Characteristic and "none" for Controlled Access Type.

  Do your best to enter data reflecting what you find during your first visit to the SDU.
- **Questions/Explanations:** To assist you, the iPAQ contains the complete explanations for both the SDU Characteristic and the Controlled Access categories. On the applicable screen, simply tap the "?" button to display the explanations.
- Additionally, a summary Physical Features Data Reference Sheet, as shown in ***Exhibit 6.3***, is included in the Job Aids portion of your Showcard Booklet for easy reference in the field.

The following chart provides examples of the appropriate SDU Characteristic and Controlled Access entries to make for different situations. If you have any questions about recording Physical Features data, ask your FS.

SDU Characteristic Examples	**Entries made**
Single Family Unit in a residential area	1
Condo in a building with 30 units	3
Single Family Unit on a military base	1, 5
Condo in a building with 30 units in an assisted living development	3, 8
Controlled Access Examples	**Entries made**
Apartment in a building with a guard who lets you in	1
Apartment in a building with a guard who refers you to the onsite manager who lets you in	1
Single Family Unit with a locked gate	3
College dormitory with locked doors and an intercom to the supervisor who is not available	4

Exhibit 6.3 Physical Features Data Reference Sheet

Physical Features Data Reference Sheet

There are two key elements for entering accurate Physical Features Data into the iPAQ:

1. The SDU characteristic and controlled access type should be based on **what you encounter** during your **first visit** to the SDU. Details on what transpires during subsequent contact attempts are documented in the Record of Calls (ROCs). If the situation changes during future visits, that information will be reported in the ROCs.

2. Reference the **definitions for SDU characteristic and controlled access type**. The categories are abbreviated in the iPAQ program, so reference, as necessary, the additional information provided in parenthesis below or the additional text provided in the iPAQ information screen.

Physical Features Data provides a "picture" associated with the SDU. These data are used in conjunction with ROCs to provide more complete information about issues impacting field interviewers and household surveys.

SDU Characteristic:

Select the description of the characteristics of the SDU from the list on the SDU Characteristic screen.

IMPORTANT NOTE: Some SDUs may fall into several characteristic categories—if so, check all characteristics that apply to the SDU. For example, if the SDU is a high-rise apartment complex (more than 50 units) on a military base, use codes 4 and 5.

1. **House/Single Unit** (single family home, trailer, or cottage)
2. **Multi-unit, 2-9 units** (multi-unit structure with 2-9 units)
3. **Multi-unit, 10-49 units** (multi-unit structure with 10-49 units)
4. **Multi-unit, 50+ units** (multi-unit structure with 50 or more units)
5. **Military Base**
6. **Student Housing** (includes dormitory, fraternity/sorority housing, or college-owned apartment)
7. **Native American Tribal Land** (Reservation)
8. **Senior Housing/Assisted Living** (includes houses, apartments, or condos)
9. **Other GQU** (group quarters units OTHER than those listed in the above options, such as shelters)
10. **Empty Lot** (empty home site or mobile home site)

Exhibit 6.3 Physical Features Reference Data Sheet (continued)

Controlled Access Type:

"Controlled access" is defined as any situation where an FI approaches an SDU and encounters some barrier that **prevents** the FI from gaining access **to the door** of the SDU. Select the type of physical barrier(s), if any, that prevents you from gaining access to the door of the SDU during your initial visit from the list on the Controlled Access Type screen. If you encounter a controlled access barrier during your initial visit to a multi-unit building or complex that prevents you from gaining access to any SDUs, you should enter the barrier type for all SDUs in that building or complex.

IMPORTANT NOTE: Some SDUs may include multiple types—if so, check all types that apply to the SDU. For example, if you encounter a guard station and locked gate with no intercom when trying to approach an SDU in a community and the guard does not grant you access to the community, you would enter 2 and 3.

1. **None** (The vast majority of SDUs possess ***none*** of the types of access barriers listed below, so "None" will be a common entry. Remember, if you encounter any of the access barriers below, but gain access to the door of the SDU during your initial visit, the barrier would be coded as "None" per the Controlled Access definition.)
2. **Guard/Door Person/Staff/Manager** (door person at front door who has to call the unit, door person that must give access to building, guard at gate of community; on-site or off-site manager who controls access)
3. **Locked main entrance/gate, no intercom/buzzer** (locked doors, locked gate, controlled gate, or other locked entry)
4. **Locked main entrance/gate with intercom/buzzer, no unit address labels** (may contain other labels such as names, but does not provide address label)
5. **Locked main entrance/gate with intercom/buzzer, with unit address labels**

Example Scenarios	CHAR	TYPE
One story brick home in a gated neighborhood. The gate was open upon your arrival & you entered and accessed the SDU successfully.	1	1
The manager of a college dorm will not grant you access to the locked building (with no intercom/buzzer). There are 8 SDUs within the 16 unit dorm.	3 and 6	2 and 3
The SDU is in a high rise apartment building with over 100 units. There is a locked elevator and intercoms with only names listed in the lobby. You are unable to gain access to any SDUs on your first attempt.	4	4
The rural SDU on a reservation is located down a long driveway that is dangerous to traverse due to severe ice from a recent storm.	1 and 7	1
The SDU is located in a senior housing apartment building with 18 units. After being granted access to the building from a guard in the lobby, you buzz residents from an intercom with room numbers. The residents can unlock the main door from their apartment. You are granted access by the resident of the first SDU contacted.	3 and 8	1
After screening 5 SDUs in the senior housing example above, you return a week later to initially visit the remaining 7 SDUs, but the manager has told the guard not to grant you access to the building. How do you code the physical features data for the remaining cases?	3 and 8	2 and 5
You try to contact 4 SDUs in an 8 unit apartment complex on a military base, but the guard at the controlled entrance gate will not grant you access to the base on your first attempt. How do you code the physical features data for these 4 SDUs?	2 and 5	2 and 3

6.11 Reset iPAQ

While using a powerful handheld computer for screening has many advantages, one known issue with handheld devices is that after a period of use, they can begin to act erratically in their processing and start doing odd things. The simple remedy to this issue is to **reset the iPAQ every 60 minutes** while working. Reset more often if you are continually screening case after case.

There are two easy and safe ways to reset the iPAQ:

- From the **Today** screen, tap **Start**, then tap **Reset.**

  OR

- From the **Select Case** screen, tap **Admin,** then tap **Reset iPAQ**.

Resetting your iPAQ regularly in one of these two convenient ways allows the iPAQ to perform well. Most importantly, these two methods of resetting prevent data loss, as during of the reset process, the data are saved to the iPAQ storage card.

6.12 Daily Closing of the Screening Program

After each day's work as you leave your segment and return home, exit the screening program to the **Today** screen by tapping **Quit** at the bottom of the **Select Case** screen. Although all data are immediately saved once entered in the iPAQ, exiting out of the screening process performs "clean up" operations that are essential for your iPAQ to work properly. If you do not exit out to the **Today** screen daily, you may begin to see odd things occurring on your iPAQ screens. Since you have to quit the screening program in order to transmit, which you are to do each day you work, this step should occur as part of a normal day's work.

Please note that at times the iPAQ may display the **Today** screen even if you have not exited the screening program. In this case, tap **Start**, then **NSUDH Screener**. You will not be asked for the password (since you did not formally exit). Return to the **Select Case** screen, then tap **Quit** to actually exit to the **Today** screen. Remember to exit to the **Today** screen each day.

6.13 On Hold Feature

Once data are transmitted to RTI, they generally cannot be changed or updated. Therefore, if you have a problem case, place it on hold before transmitting so that you can work with your FS to resolve the problem prior to transmitting. Data for cases on hold are not sent to RTI during transmission.

Only put on hold problem cases that you need to discuss with your FS. These problem cases need to be resolved before taking them off hold. Make sure you do not place routine cases on hold. If RTI does not receive your production data on a daily basis, it opens the door to other, more complex problems.

Examples of cases that are candidates for placing on hold are:

- A code 10 where you have partial verification information, but you need a better phone number or extension for the real estate agent who gave you the vacancy information.
- A case you screened improperly, either by selecting the wrong line or by entering incorrect data and then making a selection.

To place a case on hold, at the **Select Case** screen, tap on the **line with the correct ID and address**, tap **Actions**, then **Place Case On Hold**. Any data for this case not already transmitted to RTI will not be transmitted until you take the case off hold.

When you put a case on hold, you see an **H** appear next to the CaseID on the **Select Case** screen. This H remains until you take the case off hold. If you have put several cases on hold, you can view the list by tapping on **View**, then **On Hold Cases**. This View of the **Select Case** screen lists all cases on hold. Change the list displayed by choosing another View, such as Pending Cases. Call your FS to discuss any case on hold. Have your iPAQ handy to display the list of on hold cases.

You can take a case off hold by choosing it on the **Select Case** screen and tapping **Actions**, then **Take Case Off Hold**. The item "Place Case On Hold" switches to "Take Case Off Hold" if you have selected a case which is currently on hold. You must take a case off hold before you can take any actions on the case.

6.14 Re-open Case

If you finalize a screening case using the wrong line, please notify your FS immediately. If your case is a candidate for re-opening, your FS gives you a special code for that specific case, and you enter the code to re-open the case and re-screen.

Always report any such situations to your FS immediately so that the data can be properly marked for problem solving and perhaps re-opening.

If your FS gives you the special re-open code for a case, go to the **Select Case** screen, tap on the **line of the SDU**, tap **Actions**, then **Re-open Case**. You must enter the special code. Once you enter the code, you go directly to begin screening the SDU. All data entered during the initial screening (beginning with the **Occupancy** screen) are visible and you can review or update any and all responses.

6.15 Transferring Cases

If necessary, your FS will designate in the FS Control System any cases identified for transfer from one FI to another. This information is then processed in the Control System at RTI. The system removes any transferred cases off the original FI's iPAQ when that FI transmits to RTI, then processes any new events and prepares the case for pickup by the new FI's iPAQ during his or her next transmission. The entire process is automated and can be done in a day.

Transferred cases are assigned by your FS and picked up by your iPAQ during your regular transmission. During and following a successful transmission, your iPAQ processes the new cases. While the post-transmission processing takes place, the spinning disk displays on the screen. DO NOT interrupt or turn off the iPAQ during this processing or records may be inaccessible to you. Wait until the spinning disk is gone.

If the cases are not in your assigned segment, be sure you obtain copies of the segment materials from your FS. This is important so that you can be sure you are contacting the correct SDUs and so that you can check for any missed DUs as well, if screening has not been completed.

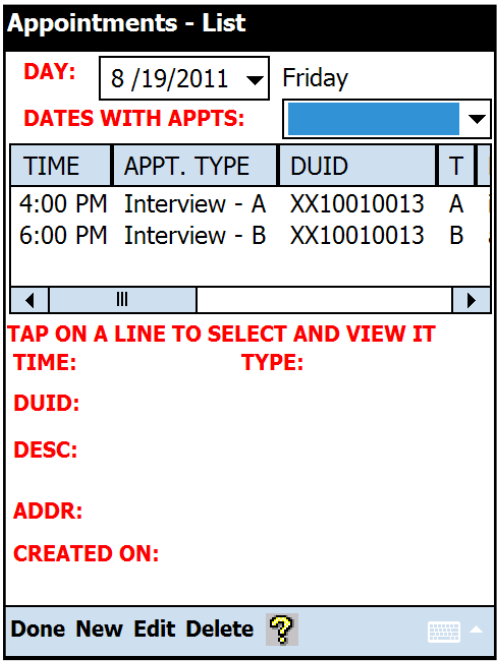
Your approach to transferred cases will vary depending on the type of situation. Be sure to carefully review the ROCs of any transferred cases to be familiar with its history. While reviewing, look for good times and days of the week to return. If screening has been completed, be sure to review the household roster and be familiar with the characteristics of the selected respondent(s). Your FS will also discuss expectations and strategies with you for the transferred cases.

6.16 Calendar

The iPAQ screening program has a nice calendar feature available for those who wish to use it. The basic steps to use the calendar are presented here.

To access the calendar:

- From the **Select Case** screen, tap **Cal**. You can also access the calendar within the ROC program by tapping Cal when available.
- The **Appointments-List** screen appears. At the top is the DAY, with all appointments for that day displayed in the middle of the screen. To view the details of a particular appointment, tap **the line** of the appointment and the details display at the bottom of the screen.

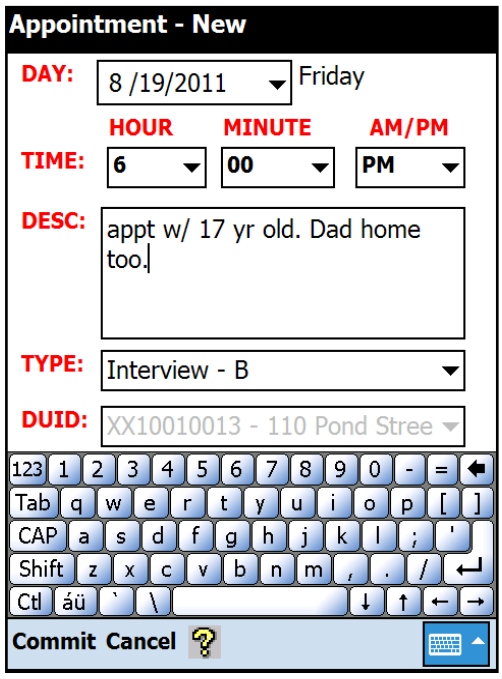


To view appointments for other days:

- Tap the **drop down arrow** in the DATES WITH APPTS field, to see the other days with already scheduled appointments.
- Beside DAY: tap the drop down arrow**,** which displays the pop-up Select a Date calendar. Choose the **day of interest**, and tap on that date. All appointments for that day appear.
- This feature will help you schedule your time appropriately and avoid conflicting appointments.

To add a new appointment:

- Tap **New** and the **Appointment-New** screen appears.
- Use the drop down arrows to record the **hour**, **minute**, and **AM/PM**
- Tap the **DESC** box and use the keyboard to enter a description of the appointment.
- Tap the **TYPE** drop down arrow and select the type of appointment, either Interview A, Interview B, Screening, S/I Other (for set callback times or other case related appointments), or Other (for personal appointments).
- Tap the **DUID** drop down arrow and select from the list of pending cases that displays. Note that the cases currently shown on the **Select Case** screen appear in this list. Use this feature to your advantage! If you are entering an appointment for an interview, choose the Pending Interviews View.



- When finished tap **Commit**. If you need to cancel the appointment, tap cancel.

To edit an existing appointment:

- Select the appointment by tapping **its line**.
- Tap **Edit** and the information displays in the same format as for a new appointment.
- Make any needed changes and save them by tapping **Commit**.

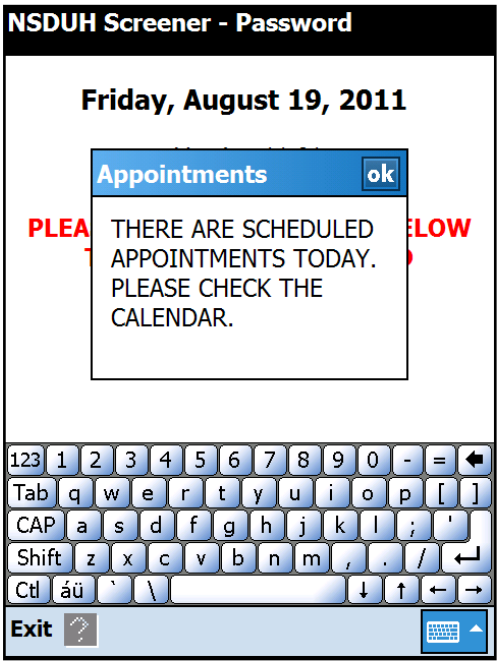
To delete an existing appointment:

- Select the appointment by tapping **its line**.
- Tap **Delete**. You will be asked to confirm that you wish to delete the selected appointment. Answer according to your needs.

Do not include ROC data in the Calendar. You are the only person that will see data from the calendar, therefore all pertinent data must be included in the ROCs. There is no need for duplication of information as you can check your ROCs for a more detailed description of the situation.

If you have appointments scheduled for a particular day, the iPAQ reminds you when you first enter the program, right after the password screen. This is the only reminder the iPAQ provides.

The calendar is NOT a requirement but is simply a tool provided to assist those who wish to use it.



6.17 Set Name and ID

At training, you will set your name on the iPAQ, and your name will display in the introduction on the **Study Introduction** screen. If the FI ID number is incorrect, check with your FS.

6.18 Erase / Re-Load Training Cases

Training cases used during training sessions remain on your iPAQ (at the bottom of the list) for additional practice or discussions of certain situations with your FS. When you are ready, you may remove the training cases. To remove training cases:

From the **Select Case** screen, tap **Admin**, then **Erase Training Cases**.

Don't worry—this only affects your training cases, not your NSDUH assignment! The iPAQ asks you to confirm you are ready to erase the cases. Be aware that this process takes several minutes. Be patient and wait for the iPAQ to finish processing.

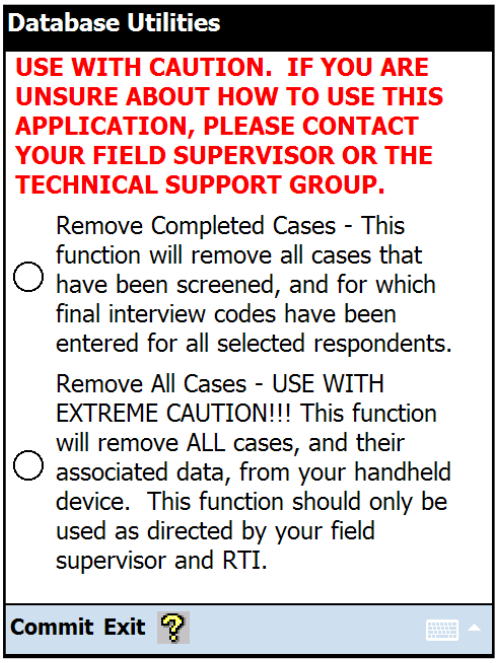
Once training cases are removed, if either you or your FS feel you need further practice, the training cases can be easily re-loaded on your iPAQ. To reload training cases:

From the **Select Case** screen, tap **Admin**, then **Reload Training Cases**. Again this processing takes some time so be patient.

Even if you still have the training cases on your iPAQ, you can re-load them if you simply want a fresh set of practice cases.

6.19 NSDUH Utilities

From the **Select Case** screen, tap **Admin**, then **Utilities** to go to the **Database Utilities** screen. There are two features listed here, although you should only need to use the first one.



Remove Completed Cases: This utility removes only the cases that have been completed (including Access Data) and transmitted to RTI. It will not delete any pending cases. Although it does not require a special code from your FS, you should talk to your FS before you use this utility. You can run this utility to "clean up" if you have a large number of completed cases.

Remove All Cases: Most likely you will not ever need to use this utility.

At each Quarter changeover (Qtrs. 1 to 2, 2 to 3, and so on), your iPAQ needs to remove cases from the last quarter before transferring to you your next quarter's assignment. Your FS will verify that **you have completed and successfully transmitted all of your quarter's work** and are ready to pick-up your next quarter's assignment. Your FS then enters that information into the FS Control System and asks you to transmit. The quarter changeover processing can then take place automatically.

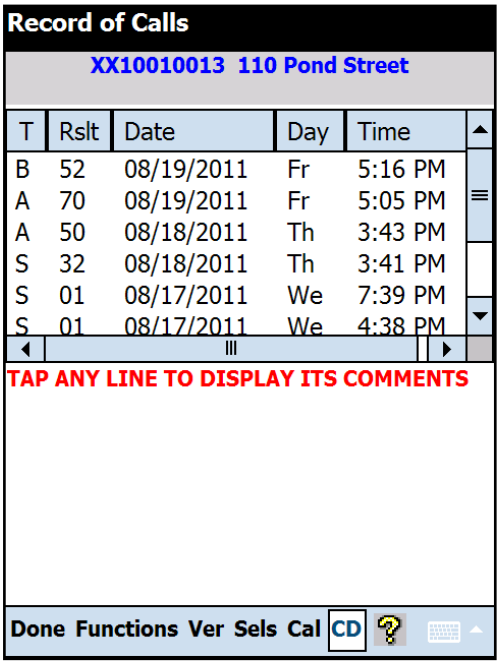
In case there is a problem, it may be necessary for you to manually start the process. If so, your FS would instruct you to use this Remove All Cases utility. It requires a code from your FS to access. Your FS would step you through the utility, as needed.

6.20 Record of Calls Distribution Summary

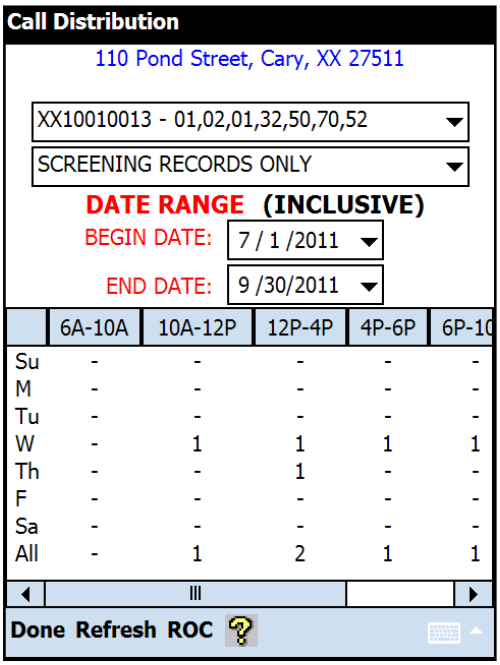
The iPAQ is equipped with a convenient ROC Distribution Summary feature for those who wish to use it. This feature may help you figure out the days and times you have not often visited SDUs, providing you with a better idea of possibly more productive times to visit the SDU. The basic steps for using the ROC Distribution Summary (or ROC Summary) are presented here.

To access the ROC Summary:

- From the case's **Record of Calls** screen, tap **CD** for Call Distribution.



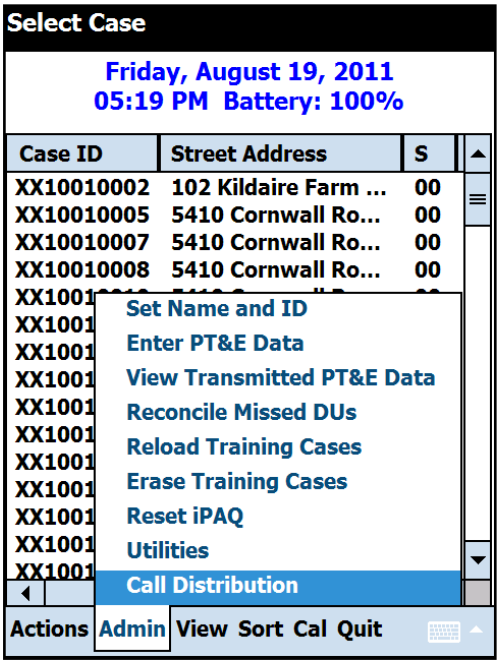
- The **Call Distribution** screen appears. Accessing the summary from a case's ROC screen shows the summary of calls made to that particular case. Notice the numbers included in the chart at the bottom of the screen. These numbers indicate how many ROCs have been entered on those specific days and times.



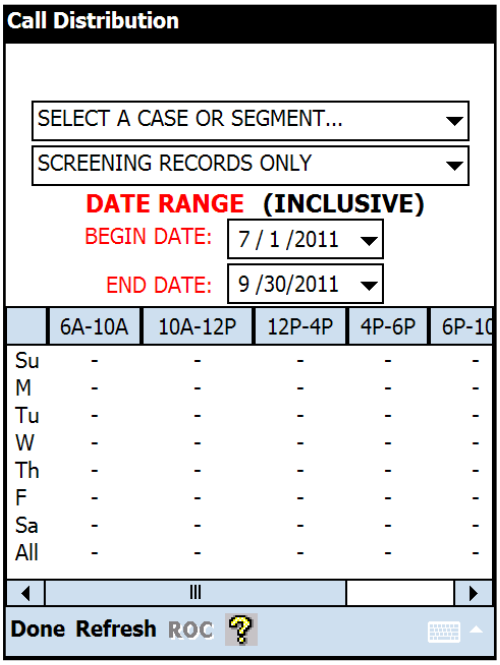
For your convenience, the ROC Summary is also accessible from the Select Case Screen. This allows you to more easily see the distribution data on your cases in general.

To access the ROC Summary from the Select Case Screen:

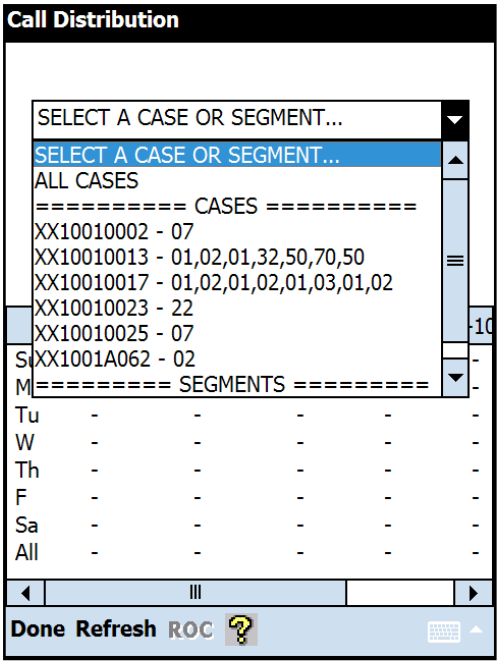
- From the **Select Case** screen, tap **Admin,** then tap **Call Distribution**.



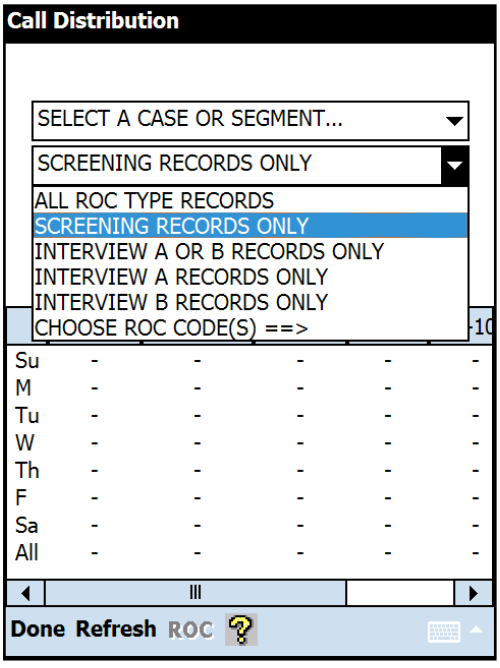
- The **Call Distribution** screen appears. If a case is not selected on the Select Case screen when tapping Call Distribution, the summary on the **Call Distribution** screen will be blank, as it is here, and will allow you to enter specific search criteria.
- If a line is selected on the Select Case screen before tapping Call Distribution, the Call Distribution screen will show the summary of the calls made to that particular case, just as if the ROC Summary was accessed from that case's Record of Calls screen.
- At the top of the **Call Distribution** screen are drop down boxes allowing specific selection criteria (ex: a case, a segment, all cases, screening records only, interview records only, etc.) to be entered. This allows you to individualize the data viewed in order to be of the most use. It's up to you how detailed you would like to make your search by using the criteria in different combinations.

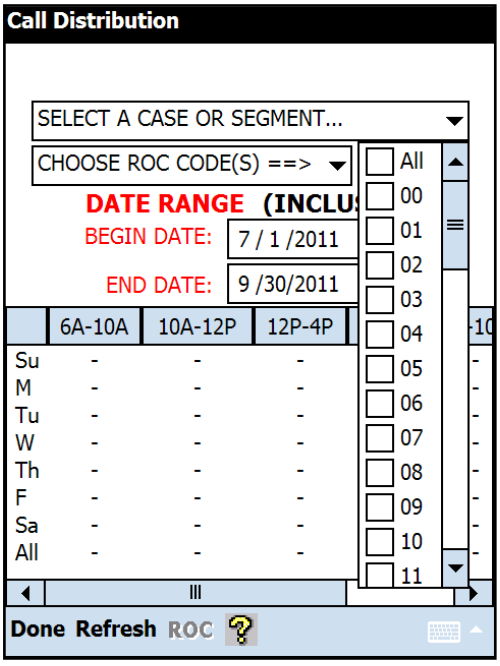


To select ROC Summary criteria:

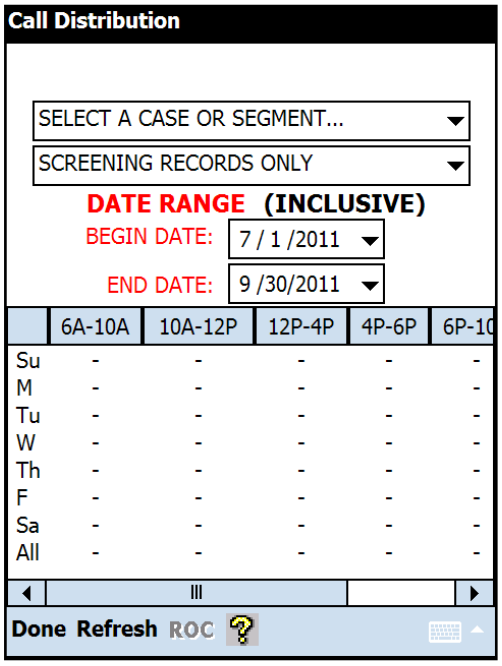


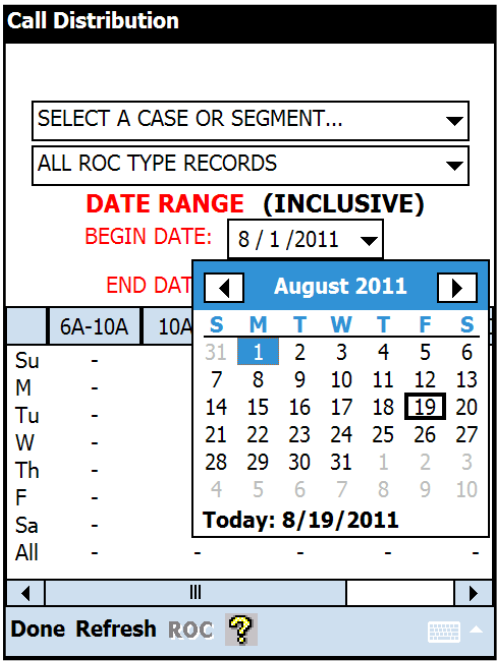
- Tap the **drop down arrow** in the SELECT A CASE OR SEGMENT field, to choose from the summary options.
  - All Cases [Shows distribution of all ROCs entered for all cases.]
  - Cases [Lists the cases with ROCs entered. When a case is selected, displays the distribution for that particular case.]
  - Segments [Lists all segments with ROCs entered. When a segment is selected, displays the distribution for that particular segment.]
- Tap the **drop down arrow** in the SCREENING CALL RECORDS ONLY field, to choose from additional detailed summary options.
  - All ROC Type Records [Shows all ROC records regardless of type.]
  - Screening Records Only [Shows only screening ROCs.]
  - Interview A or B Records Only [Shows only interview ROCs.]
  - Interview A Records Only [Shows only Interview A ROCs.]
  - Interview B Records Only [Shows only Interview B ROCs.]
  - Choose ROC code(s) [Allows you to choose a specific ROC code to view by displaying another drop down box with all codes listed to choose from.]





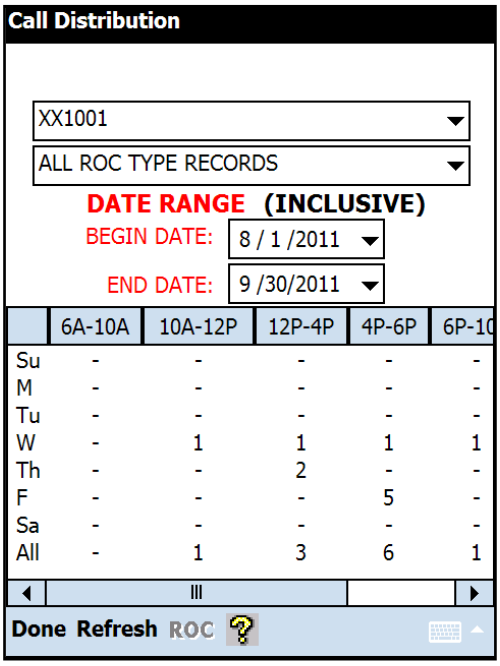
- Beginning and ending dates are also available to narrow your ROC Summary search. Tap the arrow in the Begin Date box and a calendar appears allowing you to choose a beginning date for the ROC information. Tap the arrow in the End Date box and a calendar again displays allowing you to choose an end date for the ROC information. This allows you to look specifically at your calls for a certain time period (ex: day, week, month, etc).





In the example to the right, specific summary options have been selected. The chart shows information for only screening records within Segment XX1001, between August 1st and September 30th, 2011. Notice the numbers in the chart represent the number of calls made within these parameters for each time of day and day of the week.

Feel free to experiment with this ROC Summary feature in order to find useful criteria combinations. Your FS may ask you to use this feature during conference calls in order to help better plan your work.



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REVIEW OF CHAPTER 6

Conducting Screening

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- During screening, you'll obtain data about all residents of the household who are 12 years of age or older and record that information in your iPAQ. The iPAQ then determines who, if anyone, is selected for an interview.
- In addition to the screening process, the iPAQ helps you manage your work, prompts you to enter important verification information when needed, and simplifies the critical task of completing a Record of Calls (ROC) for each contact to an SDU.
- After opening the NSDUH screening program from the **Today** screen and entering the password, the iPAQ displays the Select Case screen. Here, you can view cases in different categories, such as pending interviews or final screenings. You can also sort the cases so that they are displayed in various orders, such as by interview code or the date most recently contacted. Viewing and sorting cases in this manner will help you to efficiently manage your assignment.
- Clearly marked iPAQ screens will enable you to introduce yourself and the study, identify an SR, verify the address, explain confidentiality and informed consent, check for missed DUs, and verify that the DU is the primary residence for more than half of the quarter.
- After the above preliminary screens, the eligible (12 or over) household members must be rostered, recording their age, relationship to householder, gender, ethnicity, race, and military status. The rostering of household members allows the iPAQ to make its selection to determine who is chosen for an interview.
- In instances where either no one is selected for an interview or no one is eligible for an interview (for example, if all of the household members were on active military duty or if the residents were only going to be in the house for a month), you must obtain verification information for quality control procedures. The iPAQ automatically prompts you to record this data.
- The Record of Calls helps you assign a code for each contact at the DU, whether you have found no one at home or have successfully completed the screening. These codes are either automatically assigned by the iPAQ or recorded directly by you. Each call record is stamped with a date and time.
- At the end of each day, it is imperative that you exit the screening program to the original **Today** screen BEFORE turning off your iPAQ.

QUESTIONS TO ASK YOURSELF

1. What is eligibility for interviews on the NSDUH based on?

2. At the **Today** screen, what do you tap to begin a screening?

3. What does the spinning disk mean when you see it displayed on your iPAQ?

4. What screen should your iPAQ be on as you approach a DU?

5. What does the Span button on the bottom of your screen mean?

6. Consider these examples and decide whether the person should be rostered.

   The wife of an active duty Navy Lieutenant.

   A couple who will be moving out of their home of the last ten years during the last week of the quarter.

   A daughter who will be 12 next week.

7. What codes must be verified at the time of the screening? What information is gathered for quality control purposes?

8. When a screening is completed and one household member is selected for an interview, what screening code does the iPAQ automatically assign? What sort of code must YOU then assign?

7. PREPARING TO INTERVIEW

7.1 Introduction

With every scientific survey, there are many necessary components that contribute to the overall success of the research. This is especially true for an enormous survey such as the NSDUH. As a professional field interviewer for this study, you are responsible for one of the most important aspects of the study: making sure the interview is administered properly according to acceptable survey procedures. This chapter discusses the steps required to prepare for an interview and offers suggestions for dealing with some respondent situations you may encounter. Instructions about the NSDUH interview are provided in ***Chapter 8***, while instructions for administering the CAI questionnaire and using the CAI Manager are outlined in ***Chapter 5*** of the ***FI Computer Manual***.

7.2 Your Role as a Professional Field Interviewer

Always keep in mind that you are a professional doing a very important job. As a professional, you are expected to possess a great deal of knowledge about the survey you are conducting—its purpose, the type of sample, the interview process, etc. You must be knowledgeable about what you are doing and why it is being done, and you must be prepared to answer any questions a respondent might have.

As a professional FI, you must always maintain the highest of ethical standards, collecting data with complete objectivity and treating with the utmost confidentiality and respect **all** information gathered or observed during an interview. For example, say you learn the name of your respondent through conversations between family members. Although it may seem like a friendly gesture, DO NOT call the person by name. Doing so may make the respondent feel less 'anonymous' which may hamper the honesty of the responses provided. You must convey to every respondent that you are a professional Field Interviewer, that you are completing the interview in a completely confidential manner, and that you are not affected by any personal biases, opinions or prejudices.

Following the questionnaire administration procedures and ethical standards is absolutely ***critical***. Any FI found to have violated these procedures may be terminated immediately. We are asking you to maintain high response rates AND to follow all procedures exactly. We know that sometimes those two goals might not be easy to achieve together—you may even lose a case if a respondent refuses to complete the interview "by the rules." The important point is to make every effort to obtain all interviews according to specified procedures.

7.3 Case Assignment

All respondents to be interviewed are identified in the screening process using the iPAQ handheld computer. When you screen a household, the iPAQ instructs you to conduct one, two or no interviews at that household. You may also have other cases transferred to you for completion that were screened by a different field interviewer. Your FS will keep you informed of such situations.

At the **Respondent Selection** screen, the iPAQ lists the respondent selected, the roster number, the Mode (NSDUH Interview), and demographic information from the roster. The iPAQ also automatically assigns a QuestID that is displayed on the screen below the mode.

Whenever possible, **proceed with the interview immediately after you finish the screening**. The best way to achieve high response rates and be efficient is to always try to complete the interview when you are already at the SDU and have identified the respondent(s) to be interviewed. If one or both respondents are present and willing to participate, begin the interview(s). Remember that if two respondents in the same household are selected to complete interviews, never complete both interviews simultaneously. Try to schedule these back-to-back instead.

If you cannot conduct an interview at the time of screening, try to schedule an appointment—within 2 or 3 days—while you are at the DU. Record the appointment information for the appropriate respondent, either under Interview A or Interview B, in the Record of Calls on the iPAQ on the **Interview Call Record** screen. If you wish, you may also use the calendar feature on the iPAQ (see ***Section 6.16***).

If the respondent offers you his/her phone number to set an appointment, accept the number, recording it in the iPAQ ROC for the case. However, do NOT specifically ask for a phone number as this may raise concerns about confidentiality. A respondent freely offering a telephone number is acceptable, but an FI requesting a number is not. If a respondent offers their e-mail address or asks that you contact them via text message, inform them you are not able to accept e-mail addresses or send and/or receive text messages, and proceed with making other arrangements to schedule an appointment. Similarly, you should not provide your e-mail address or mobile number for text messaging to the respondent.

Offering your telephone number to a respondent may be convenient, but is something for you to carefully consider. If you wish, you may give out a personal cell phone number—understanding that RTI, Headway, and SAMHSA do not accept any liability which might result from you doing so, and any charges for air time or phone use are not reimbursable. You are strongly advised to not give out your home telephone number for personal safety reasons.

For selected respondents that are not available, consider this example: you complete a screening and one person is selected but is not at home. Once you finish the screening and enter the ROC information for the 31, add an event for the interview's Record of Calls—52 (R unavailable) in this example—for the A case. The iPAQ automatically enters the date and time of the event. Complete this step at the SDU after screening. The first interview contact you enter in the Record of Calls is the **interview result for the respondent from the screening visit**.

7.3.1 Assigning Interview Result Codes

You are responsible for assigning interview result codes, recording them in the iPAQ Record of Calls, and discussing them with your FS throughout the data collection period. Like screening codes, interview result codes are either "pending" or "final." Assigning the proper code is critical because result codes are used in progress reports to evaluate the status of fieldwork. RTI managers then use these reports to make important decisions about how best to manage the project. It is **very important** that you understand when and why to use each kind of code.

If you have a final screening code of 31 (one selected for interview) or 32 (two selected for interview), assigning interview result codes follows the same process as assigning screening result codes (see ***Chapter 6***). Always remember to enter the appropriate pending or final interview code for every screening that results in a code 31 or 32. The following summarizes how to enter interview result codes:

One Selected for Interview (Screening Code 31)

- After committing the screening code 31 ROC, the iPAQ prompts you to remember to enter a call record for interview A and takes you to the **Record of Calls** screen.
- Choose **Functions**, then **Add**, and then tap **A** to indicate the call record is for the one interview case, interview A. At the **Interview Call Record** screen, tap the down arrow in the RESULT entry field to display the list of interview result codes. Choose the appropriate result code from the list, entering comments as needed.

Two Selected for Interview (Screening Code 32)

- After committing the screening code 32 ROC, the iPAQ prompts you to enter call records for **BOTH** interviews A and B and takes you to the **Record of Calls** screen.
- Choose **Functions**, then **Add**, and then indicate which interview case the call record is for by choosing A or B. At the **Interview Call Record** screen, choose the appropriate result code and enter any comments. Repeat the process for the second case.
- If you forget who was selected for interview A or B or need to enter data at a later date or time:
  - From the **Record of Calls** screen, tap **Sels**. This displays the **Respondent Selection** screen which shows the roster information for interviews A and B. This should give you enough information to identify and add a call record for the correct respondent.

    OR

  - From the **Select Case** screen, tap the case you need to view, then tap **Actions, View Selections/Roster**. This will take you to the **Respondent Selection** screen, as just described.

In the event that there are two household members with exactly the same demographic information and one is chosen for an interview, you need to know which one to contact. Since we ask that the roster be

completed from oldest to youngest, use the members' birthdays to determine which one is oldest. Then, assume that the oldest of the two was listed first. As an example, consider an apartment with 4 residents, the last two (roster numbers 3 and 4) are both 21 and have the exact same demographics. If roster number 3 is chosen for an interview, ask for the older of the two. If roster number 4 is selected, ask to speak with the younger. If the screening respondent cannot identify which is older, you may choose one of the two at random. This unusual situation is the ONLY case where you can choose a respondent at random. Be sure to explain the circumstances in the ROC Comments.

Once you identify your respondent, you cannot switch to another household member. If you have any questions about determining which respondent to interview, talk with your FS.

7.3.2 Interview Result Codes

Both pending and final interview result codes are described in this section.

PENDING INTERVIEW CODES

Pending codes are assigned when the case is not yet complete. Explanations of when to use a particular code, and what action to take to resolve the situation so that the case can be completed, are as follows:

Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
50	**APPOINTMENT FOR INTERVIEW**	You have spoken with the interview respondent and have set a time to conduct the interview.	• Note the appointment in the iPAQ ROC and in your personal calendar and/or the iPAQ calendar. Complete an appointment card to leave at the household.
51	**NO ONE AT HU**	No one is at the HU.	• Plan another call, making sure to visit at a different time of day or another day of the week. • Try contacting the unit on the same day of the week or same time of day when the screening was completed. • Ask a neighbor when would be a good time to catch someone at home. Record any information in the ROC.
52	**RESPONDENT UNAVAILABLE, CALL BACK**	Someone is at the SDU but not the selected interview respondent. OR, the selected respondent is at the SDU but unavailable at that time (due to being busy, needing to leave, etc.) and does not provide a firm appointment time.	• Try to determine a good time to return when the respondent will be at home. Ask the household member/respondent, and record any information in the Comments in the ROC about possible times to contact the respondent. • Plan another visit at a different time of day or another day of the week.

Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
53	**BREAKOFF**	You have started the interview and the respondent you are interviewing either refuses to allow you to complete the interviewing process or cannot complete the interview at that time.	• If the breakoff is friendly, schedule a time convenient for the respondent to complete the interview. Record the information about the appointment in the ROC. • If the breakoff is not friendly, tactfully try to persuade the respondent to continue. For helpful ideas see ***Chapter 5*** about overcoming refusals and obtaining participation. ***Section 7.5*** discusses how to respond to questions about the interview. • DO NOT antagonize the respondent. Leave the door open for you or someone else to attempt to convert the refusal and complete the case. This decision is made by your FS. • Make notes in the ROC comments while the incident is still fresh in your mind. Recording what happened helps you and your FS decide how to handle the case and also helps any other FI who may be assigned to complete the case.
54	**INCAPABLE**	The respondent is unable to meaningfully answer the questions. Examples of mental incapability are respondents with pronounced mental retardation, autism, or who are intoxicated. Also, physical incapability due to serious illness, deafness, or severe speech disorders may qualify.	• Remaining sensitive, try to determine if the limitation is temporary (as in illness or intoxication). If so, return at a more convenient time. • If the limitation is not temporary, discuss the situation with your FS. Always attempt the interview unless it is absolutely clear that the respondent cannot be interviewed. • Describe the situation fully in the ROC and when prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation.
55	**LANGUAGE BARRIER – SPANISH**	The respondent speaks Spanish and does not speak English well enough to complete the interview.	• Talk with your FS about transferring the case to a bilingual FI. Unlike screening, there can be **NO translators for an interview**.
56	**LANGUAGE BARRIER – OTHER**	The screening respondent speaks a language other than English or Spanish, and does not speak English well enough to complete the interview.	• Talk with your FS. Unlike screening, there can be **NO translators used for the interview**. • When prompted, record the language.

Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
57	**REFUSAL**	The respondent refuses to let you start the interviewing process. This code is for adult respondents and for youth respondents who refuse to complete the interview. If a parent refuses to give permission for a youth to be interviewed, use code 58 Parental Refusal, whether or not the youth is willing to be interviewed. If a parent or other household member refuses to allow you to interview another selected adult (such as a spouse or an adult child living at home) use this code and mark "Gatekeeper" as the reason on the iPAQ Refusal Report. Be sure to specify who the gatekeeper is in the Refusal Report comments.	• Tactfully try to persuade the respondent to participate. See ***Chapter 5*** for information about overcoming refusals and obtaining participation. ***Section 7.5*** discusses how to respond to questions about the interview. • **DO NOT** antagonize the respondent. Leave the door open for you or someone else to attempt to convert the refusal and complete the case. Your FS makes this decision. • Make notes in the iPAQ Refusal Report while the incident is still fresh in your mind. Recording what happened helps you and your FS decide how to handle the case and also helps any other FI assigned to complete the case.
58	**PARENTAL REFUSAL**	The parent refuses to allow you to interview the selected youth.	• Tactfully try to persuade the parent to let you talk with the youth. ***Section 7.5.2*** discusses dealing with parental concerns. DO NOT antagonize the parent. • Make any necessary notes in the iPAQ Refusal Report and discuss this with your FS. A special refusal letter may be sent to the parent.
59	**OTHER - SPECIFY**	The situation you encounter does not fit into any of the above categories.	• Describe the situation in the ROC Comments section, and discuss with your FS how to handle the case. • After entering the code 59, the necessary comments, and then committing the ROC, a list of possible sub-categories appears. Select the category that most closely describes the situation. Choices include: – R moved – R under age 12 – R in military – R rostered in error – R deceased – Interviewed wrong person – Selected wrong line – Safety issue – Controlled access – Need to discuss with FS – Something else, Specify

FINAL INTERVIEWING CODES

Final interview result codes indicate the case is finished—either because the interview was successfully completed OR because you were unable to obtain an interview. For noninterviews, be sure you have completed all suggested, relevant steps described in the pending codes section before asking your FS for approval to assign a final code. Consult with your FS for any additional strategies. If all of these attempts fail, your FS must agree that the case is complete and must approve your use of a final noninterview code.

The following list describes the final codes:

Result Code	Result Code Description	Use This Code in This Situation
70	**INTERVIEW COMPLETE**	The respondent has completed the interview. This is the BEST result code and is the desired result for all selected interviews.
71	**NO ONE AT HU-REPEATED**	Given the importance of each and every interview, we expect diligence in pursuing selected household members. However, if your repeated attempts at different times of the day and days of the week fail and your FS agrees, then use this code.
72	**RESPONDENT UNAVAILABLE - REPEATED**	We hope that with persistence this code will be used rarely. However, there may be situations in which the respondent is simply not available to complete the interview, out of the country or institutionalized (hospital, etc.,) and will not be returning before the end of the data collection quarter. For respondents who move and cannot be contacted at the new address, use code 79, not 72.
73	**BREAKOFF – (PARTIAL)**	You have started the interview and the respondent you are interviewing either refuses to allow you to complete the interviewing process or cannot complete the interview. Your FS must approve the use of this code.
74	**INCAPABLE**	If the respondent is physically or mentally unable to respond meaningfully to the interview questions, your FS will approve the use of this code. When prompted by the iPAQ, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.
75	**LANGUAGE BARRIER – SPANISH**	Use this code if the case cannot be completed because of a Spanish language barrier and no bilingual interviewer was available to complete the case. Your FS must give approval.
76	**LANGUAGE BARRIER – OTHER**	Use this code for any interviews that cannot be completed due to a language barrier other than Spanish. We do not certify interviewers to conduct the interview in other languages. Be sure to specify the language when prompted. Your FS must give approval.
77	**REFUSAL**	If all attempts to convert an adult, youth, or gatekeeper refusal are unsuccessful, your FS will approve the use of this code. Be sure you indicate the reason for the refusal in the iPAQ Refusal Report. For gatekeeper situations with a parental refusal for a youth, use code 78.
78	**PARENTAL REFUSAL**	If all attempts to persuade the parent or guardian to allow you to interview the youth are unsuccessful, your FS will approve the use of this code. Be sure to complete the iPAQ Refusal Report.
79	**OTHER - SPECIFY**	Use this code only for cases that do not fit any of the other categories such as if the selected respondent is found to be under age 12 or in the military. Also use this code for respondents who move and cannot be contacted at the new address. Carefully consider if another result code applies, since each case with a code 79 must be reviewed by RTI staff. Talk with your FS for approval to assign this code. Be sure to fully describe the situation in the Comments section of the ROC and then, as with a code 59, choose the applicable sub-category from the list on the iPAQ screen.

7.4 Contacting the Selected Respondent(s)

Chapter 4 discussed the process for contacting a sample dwelling unit for screening. The techniques for contacting interview respondents are similar, except that selected interview respondents usually are familiar with the reason for your visit and you are asking them for a longer time commitment. Other strategies and tools for contacting selected respondents are outlined here. Review the list of CAI interviewing materials in ***Chapter 12*** before leaving your home and make sure you have all necessary paperwork and equipment. Before you leave, check that the iPAQ date and time displayed on the **Select Case** screen are correct. If not, connect the iPAQ to the laptop and transmit (see ***Chapter 6*** of the ***FI Computer Manual*** for instructions) to correct the iPAQ settings.

7.4.1 Initial Contacts

As mentioned before, you should always attempt to complete the interview at the time of screening. If necessary, ask the screening respondent to locate the selected respondent for you.

If you must revisit the SDU to contact the selected interview respondent, go to the iPAQ **Record of Calls** screen to view all the previous visit information. To see who the selected person is for the SDU you are contacting, tap **Sels** (for selections) to review the roster information for your selected household member. This screen also gives you the Questionnaire ID (QuestID) to enter into your laptop computer before the actual interview begins (see ***Chapter 5*** of the ***FI Computer Manual***).

If you also want to see the completed roster for the household, simply tap **Roster**. Use this information to identify the screening respondent and other household members. You can also view the respondent selection(s) and household roster information from the **Select Case** screen. Tap the **line for the case** you need to review. Tap **Actions**, then tap **View Selections/Roster**.

Approach the selected respondent using an introduction similar to the one used for screening. Keep it simple and straightforward. It may help to mention which member of the household was the screening respondent, since this person may have discussed the situation with the selected person. If you need to review who the screening respondent was, the household roster displays which of the roster members was the SR.

7.4.2 Following Respondents

One disadvantage of not completing an interview right away is that the selected individual may move from the SDU. If the respondent no longer lives there, try to obtain the new address/location.

- If the move is local, try to contact the respondent at the new address.
- Following a respondent would be inappropriate, of course, if the respondent is now in the hospital or in jail. Determine the expected length of stay to see if an interview may be possible before the end of the quarter, and talk with your FS.
- If the respondent has moved to a group home, find out the type of situation and talk with your FS about whether or not additional contact is appropriate.
- If the move is not local, determine the distance and discuss the case with your FS. Depending on how far, you may be asked to attempt the interview, or the case may be transferred to another interviewer located closer to the new address.

No matter what the situation, keep in mind that respondent eligibility is based on the information received at the time of screening. If you later return to complete an interview and discover a respondent has, for example, been jailed, he/she is not disqualified even though he/she is institutionalized when you revisit. Ineligible respondents that move do not need to be followed as their status has already been determined.

7.5 Obtaining Interview Participation

Convincing persons who are selected for the interview to participate in the study is an important part of your job as an FI. The selected respondent may not have been the screening respondent and may be unfamiliar with the study. Persons who were the SR are aware of the importance of the study, but keep in mind that respondents who willingly completed a 5-minute screening may need additional convincing to complete a more lengthy interview.

Be sure you are thoroughly familiar with the background information on the study (see ***Chapter 1***) and are comfortable answering questions about it (see ***Chapter 5***). Specific questions relating to the interview and suggested responses are given in ***Exhibit 7.1***. Be comfortable with these topics as well. Remember that the specially designed refusal conversion letters in ***Appendix C*** are available to help convert reluctant respondents. See ***Section 5.6*** for more information about refusal letters.

Exhibit 7.1 Answering Questions About the Interview

I don't use drugs. How can I help you?	We are interested in the practices, beliefs, and activities of all people who live in this country, including those who do not use drugs. Also, the questions ask about the use of other substances, such as tobacco, alcohol, and prescription medications. Even if you do not currently use any of these items, it is important for us to learn that information too. In order to know the percentage of people who do use these substances, we also have to know how many people do not.
Are the questions personal?	Some questions may seem a little personal to some people. All answers are confidential; no one else—not even me or those in your own household—will know what you said. You don't have to answer any question that you don't want to answer.
What type of questions will you ask?	The questions are about health issues, including past and current use of various substances and medications. Some questions ask about types of behaviors so we can learn whether certain behaviors indicate patterns of abuse. You may decide not to answer certain questions.
Will my family get to see my answers?	No. You will be interviewed privately. When we are finished, the case will be locked and no one can go back into it—not even me. Then it will be transmitted straight to RTI that night with just an ID number, not your name or address. Remember, we pledge to keep your responses completely confidential.
How will the data be used?	Government and state health agencies use data from NSDUH to estimate the need for treatment facilities. The data is also used by researchers to understand substance use trends throughout the U.S. and help agencies develop substance abuse prevention and treatment programs. Federal law requires that the data can only be used for statistical purposes like these.

Often, someone is apprehensive about participating in a "survey." In some instances, their cooperation in the past has resulted in subjection to disguised sales promotions. Using the words "study," "research," or "interview" can be helpful. Assure the respondent that you are not selling anything. Show the respondent the NSDUH Highlights to explain how the data are used.

In many cases, you will find that the computerized nature of the study will be a positive factor in convincing many respondents to participate. If your interview respondent was also the screening respondent, he/she already observed you conducting the selection process with the iPAQ handheld computer. This alone may create interest in completing the interview on the laptop. Young people in particular are often interested in and familiar with the technology. The privacy afforded by completing more sensitive questions using the computer has been shown to be particularly important in getting honest answers from youth respondents.

For individuals who seem intimidated by the technology, such as some elderly respondents, try to begin the interview by suggesting that they try the initial questions to see how easy it will be to complete the interview. Field staff report that some respondents who were initially hesitant became more confident as the interview progressed and were practically sold on computers by the end! Assure a potential respondent of how simple it will be to complete the interview and that you will be present to help with any problems that might arise.

Sometimes you may encounter a reluctant respondent whom you suspect is making an appointment for the interview at a later date with no intention of keeping the appointment (an "unstated refusal"). If you believe this may be the case, suggest that the respondent just try a few questions now to see how it goes. Once into the interview, most respondents will complete it.

Your flexibility and willingness to suit the respondent's needs will go a long way in convincing reluctant persons to participate. However, for your personal safety, never offer to drive a respondent somewhere in your car. Also, you cannot offer to exchange a service for respondents if they will participate. Offering to finish washing the car during the ACASI portion, or cutting hair or mowing the lawn or anything similar are all unacceptable bribes to obtain participation and are completely against project protocol. There is only one exception: if a respondent has small children, you may offer to entertain the children while the respondent completes the interview.

You will pay a cash incentive to respondents who complete the entire interview. The possibility of $30 in cash for completing an interview for about an hour may increase your chances of swaying those reluctant persons to participate.

7.5.1 Types of Respondents (and How to Deal with Them)

As an interviewer, you encounter many types of persons. Included in this section are descriptions of some of these respondent types and helpful suggestions from experienced and successful field staff.

Busy Respondents/No Time – This is the most common reason given for not wanting to participate. Many people do lead busy lifestyles and have little free time. Even people that aren't busy claim to be because it is almost fashionable!

- Acknowledge their limited and valuable spare time, but let them know how valuable they are to an extremely important study. "*We need to speak with busy, active people like you. Our study will lack balance if we only interview people who have lots of free time*."
- Assure them that you will work around THEIR schedule. "*I can return in an hour or tomorrow. Which is better for you?*" Giving the respondent a choice allows you to maintain control of the outcome.
- Offer to get started and see how it goes. "*I know your time is very limited. We can start now and finish on another day, if necessary*."
- Engage them in a conversation to educate them about the NSDUH and their significant role in it. Appeal to their pride. They are important to the study and cannot be replaced. "*We need you and your help.*"
- As a last resort, offer to meet them somewhere convenient that will provide privacy. "*May I meet you someplace after work*?" Do not offer to drive them in your car. While you may suggest a neutral location such as a public library, do not suggest meeting at their place of employment. A respondent may suggest meeting you at work. A respondent offering is acceptable, but an interviewer suggesting this may be viewed as intrusive or an invasion of privacy. Do not conduct interviews at restaurants, coffee shops or other eating establishments.

Suspicious or Frightened Respondents – These persons suspect that you are at their home to sell them something, preach to them, or to take advantage of them. Particularly with elderly persons, they may be afraid of your presence and may avoid you by speaking through a closed door or not opening the door at all. Counter their concerns by establishing your legitimacy.

- Allow plenty of "personal space." Take two steps back when the door is opened. Speak with a smile and a reassuring tone of voice. Empathize with them. "*I understand your concerns completely. I always tell my mother to be very careful with strangers, too! However…*"
- Be sure to show your photo ID badge. Introduce yourself and try to get the respondent to allow you to explain why you are there and what you are doing.
- Show the Lead Letter and the Authorization Letter with your name in it.
- Provide a copy of the Q&A Brochure and any other materials that seem appropriate. People usually like to have something in their hands when speaking with a stranger.
- Offer to let the respondent telephone your FS or the toll free number printed on the inside cover of your Showcard Booklet to verify your employment while you wait outside.
- Be persistent, if no one answers the door, trying back at different times and on different days. Ask your FS about sending an Unable to Contact letter.

Apathetic Respondents – If you hear "I'm not interested" or "I don't care about this," chances are you have an apathetic respondent who may announce their disinterest before you even speak. Your challenge is to convince them that the NSDUH is something they should care about.

- Recognize and appreciate their reluctance. "*I can understand why you might be hesitant until you know more about our study, let me explain….*" Use your materials including the brochure and newspaper articles. You want to spark their interest. Begin a conversation in which you educate and draw the individual out. Building rapport helps!
- Their input matters. "*Your answers are very important to the quality of the study results. The results are used to make policy decisions on education and substance abuse prevention programs*."
- Apologize. Maybe they didn't receive a lead letter or the screening respondent didn't mention it to the selected respondent. "*I'm sorry! You must not have seen the letter telling you I would be stopping by. Let me give you a copy and tell you about it*."
- Find out specifically why they don't care or don't want to participate. "*It would be helpful for me if you would share your reasons for not wanting to participate in this important research*." OR "*It's important to me and my supervisor that your questions and concerns are addressed. Can you describe them to me*?"
- Try to move through the objection. Begin with the easy questions which just require "yes," such as checking the address. Launch into the introduction. Sometimes "I'm not interested," is offered to see if you will take the bait and go away. Try to stand your ground.

"Doesn't Apply to Me" Respondents – Selected respondents may feel the study does not apply to them if they don't use drugs, or they may feel they have nothing to contribute.

- Explain that we need all types of respondents to get an accurate picture of the entire population. "*You are extremely important to this study, as you represent over 4,500 people like you.*"
- Assure them that their answers are very important. "*Without answers from people like you, this study wouldn't be accurate. If we only spoke with drug users, it would look like the entire population used drugs, and that is not true*."
- Appeal to their curiosity. "*Many participants find the study questions to be very interesting*."

Government/Confidentiality Issues – Many people desire privacy and want to protect their personal information from telemarketers and scam artists. Some think the government already knows too much and that government surveys are a waste of taxpayer dollars.

- Avoid discussions of government spending and politics!
- Use your materials as you explain the purpose of the study and how the data are used. Find some common ground to interest the respondent.
- Reassure them that all answers are strictly confidential. *"By law, the information you provide will remain completely private and confidential."*
- Persons concerned about what happens to the information may need to understand the process. *"I won't even see most of your answers because you will enter them in the computer yourself. After the interview is complete, the file is closed and I cannot reopen it."*

- Explain how all the answers are combined into statistical reports and it is not possible to tell who provided the information or where they lived. Show them the Highlights from a previous survey. "*NO ONE will know how you answered the questions. The data are reported only in statistical form.*" The Summary of Findings book is also useful to show what the data reports actually look like.
- If they are curious, try *"You can read all the questions, but refuse to answer any that you are uncomfortable with."* OR *"Wouldn't you like to know what questions are asked? We can start now and you can skip any that you would rather not answer."*
- Even people who prefer privacy or dislike the government have strongly held views. "*This is your chance to have input and contribute to the formation of public policy.*" Do not state that this is their chance to "tell the government what they think." Very few of the questions ask for opinions.
- Regarding the waste of taxpayer dollars spent on surveys, you can offer the following response: *"The funds have been allocated and Congress has mandated that this research takes place. If you participate you have the opportunity to represent thousands like yourself. These people will not be represented if you do not help."*

Language and Cultural Issues – Communicating with selected respondents who are not citizens or are from different backgrounds may be a problem. There may be language barriers, cultural differences (perhaps females are uncomfortable speaking with strangers), or non-citizens may fear you are from the immigration department.

- If their language is Spanish and you are not bilingual, tell your FS a bilingual FI is needed.
- Even if the selected respondent was able to complete the screening in English, if the respondent indicates they would feel more comfortable completing the interview in Spanish, the case should be completed by a bilingual FI. It is important that you honor this request. Conducting the interview in the respondent's preferred language not only improves the quality of data collected, but increases the comfort level of the respondent. Only bilingual FIs are allowed to conduct any portion of the NSDUH interview in Spanish (including the ACASI). All interviews conducted by non-bilingual FIs must be done entirely in English.
- Honor any requests to return to speak to someone else, such as a husband or a father. Do not pressure a reluctant spouse.
- Show appropriate credentials, including your ID badge, Authorization Letter, and the Q&A Brochure.
- Stress the confidential nature of the study.

7.5.2 Dealing with Minors

In addition to surveying adults, the NSDUH surveys young people ages 12-17. Completing an interview with a minor **requires** the consent of both the youth and his/her parent or guardian. The only exception to this rule is in the case of emancipated minors living on their own, including college students not living at home. In these cases only, you may conduct an interview without an adult's permission.

Sometimes when screening, you may encounter respondents who are reluctant to provide information about young people in the household. Be sure to emphasize that the screening questions are important and ask to list the residents age 12 and older living in the household. Point out that a youth residing in the unit may or may not be selected to participate in the interview portion of the study.

If a young person is selected for an interview, the parents/guardians may be hesitant to give consent for a "stranger" to ask the young person questions. Allow the parent to review your Authorization Letter and provide a copy of the Q&A Brochure or any other materials that seem appropriate. Since this is a computer interview we do not have a paper questionnaire, but you can offer to show the parent the Summary of the NSDUH Questionnaire (see ***Exhibit 7.2***) included in the Showcard Booklet. If desired, you have copies of this summary to give to respondents to keep as well. Also, suggest looking at the NSDUH Website (http://nsduhweb.rti.org) for more information. If necessary, the parent may call your FS or RS for additional confirmation of your status as a professional Field Interviewer for RTI.

Examples of some responses you may provide to parents include:

- "This provides an opportunity for you to discuss this subject with your child."
- "There are other topics included besides drugs. Knowing the opinions and experiences of your child is important as well."
- "'No' answers are just as important as 'yes' answers to get an accurate picture of today's youth."
- "Participating in a study like this provides an opportunity to learn about the research process."
- "This gives your child an opportunity to do something for their community."
- "It is apparent that you have taught your child to make wise choices. Through your child's involvement, the efforts of parents like you who have taken the time to provide your child with guidelines for living will not go unnoticed."

Although it may seem like a difficult process to obtain consent from both the parent and the youth and to find a time to complete the interview, the vast majority of adolescents complete the NSDUH survey. Being able to offer a cash incentive payment for participation will help persuade reluctant youth. You may also offer a Certificate of Participation. Guidelines for the use of the certificate are covered in the next section.

Exhibit 7.2 Summary of the NSDUH Questionnaire

2011 National Survey on Drug Use and Health
Summary of the Questionnaire

You have asked to know more about the ***National Survey on Drug Use and Health*** and the types of questions the interviewer will ask. Below is a summary of each section of the questionnaire for you to examine. Keep in mind that not everyone will see every question—the questions depend on the participant's own experiences. Furthermore, participants can always refuse to answer any questions during the interview.

Demographics
This section, administered by the interviewer, consists of questions about the participant such as his/her date of birth, race, educational background, and health status.

Sample Questions:
- What is the highest grade or year of school you have **completed**?
- Would you say your health in general is excellent, very good, good, fair, or poor?

Computer Practice Session
In this section, the interviewer shows the participant how to use the laptop computer and lets him/her practice using a short practice session.

Cigarettes, Alcohol and Illicit Drugs
For most of the rest of the interview, the participant answers questions by listening to the questions over the headphones and/or reading the questions on the computer screen, and then entering responses using the computer's keyboard. The participant answers these questions in private, although the interviewer is available to help with any problems using the computer. During this part of the interview, only the participant can hear and see the questions and see his/her responses.

<u>Tobacco Products and Alcohol</u>
These sections include questions about whether and how often participants have used cigarettes, chewing tobacco, snuff, cigars, pipe tobacco, and alcoholic beverages such as beer, wine, or liquor.

Sample Questions:
- Have you **ever** smoked part or all of a cigarette?
- How old were you the **first time** you used chewing tobacco?
- What is your **best estimate** of the number of days you drank alcohol during the past 30 days?

<u>Illicit Drugs</u>
The next sections ask about the participant's use or non-use of marijuana, heroin, cocaine, hallucinogens, and inhalants; and prescription pain killers, tranquilizers, stimulants, and sedatives when taken only for their effect. Questions about drug dependence and drug treatment are also included in these sections.

Sample Questions:
- Have you **ever**, even once, used marijuana or hashish?
- How much do people risk harming themselves physically and in other ways when they use **cocaine once a month**?

Exhibit 7.2 Summary of the NSDUH Questionnaire (continued)

Adult Social Environment and Mental Health
Participants aged 18 and older receive questions about their social experiences such as: how many times they have moved, their opinions about drug use, and in some cases, their experiences as a parent. Mental health questions cover such topics as depression and treatment for mental health problems.

Sample Questions:

- How do you feel about **adults** trying marijuana or hashish once or twice?
- During the past 12 months, was there any time when you **needed** mental health treatment or counseling for yourself but **didn't get it?**
- Have you ever in your life had a period of time lasting several days or longer when **most of the day** you felt **sad, empty, or depressed**?

Youth Experiences and Mental Health
Youth aged 12-17 participating in the survey are also asked questions about their social experiences such as: perceptions about the risks of using certain drugs; whether getting drugs is difficult or easy; feelings about school and peers; and involvement in clubs, sports, and other extracurricular activities. The mental health questions cover such topics as depression and treatment for mental health problems.

Sample Questions:

- **During the past 12 months**, in how many different kinds of school-based activities, such as team sports, cheerleading, choir, band, student government, or clubs, have you participated?
- Have you ever in your life had a period of time lasting several days or longer when **most of the day** you felt **sad, empty, or depressed**?
- During the past 12 months, did you receive treatment or counseling from a **private therapist**, **psychologist**, **psychiatrist**, **social worker**, **or counselor** for emotional or behavioral problems that were **not** caused by alcohol or drugs?

Health Care and Demographic Information
In this section, the laptop is handed back to the interviewer, who asks questions about education, health insurance, and family income information to help in analyzing the data. If necessary, a knowledgeable adult in the household may be asked to help participants answer some of these questions.

The answers to these questions increase the government's knowledge about health care, especially as it may relate to drug use or treatment. This information helps in planning health care services and finding ways to lower the costs of care.

Sample Questions:

- How many hours did you work **last week** at all jobs or businesses?
- **Before taxes and other deductions**, was the total **combined family** income during 2010 more or less than 20,000 dollars?
- Are you currently covered by private health insurance?

Please feel free to ask the interviewer if you have any other questions about the questionnaire.

Thank you for your cooperation and help!

Dealing with 12-17 year-olds can present some special challenges. When attempting to gain the cooperation of a youth, keep in mind the following tips:

- Try not to nag.
- Respect the youth by listening carefully and responding to any concerns.
- Emphasize how important each teen is—that he or she represents about 1,000 other youth and cannot be replaced.
- Offer choices with Either/Or responses, instead of yes/no responses. For example, "We can either do this now or I can meet you tomorrow after school."
- Stress the confidentiality of all responses, mentioning that no teacher or parent will see the answers.
- Be flexible and schedule the interview around the teen's busy schedule.
- Don't get in the middle of a power struggle between the youth and the parent. Likewise, don't involve another party such as a guidance counselor or teacher.
- Mention the computer used for the study and the $30 in cash given at the completion of the interview.

Additional suggestions for converting youth refusals are included in ***Exhibit 7.3***.

7.5.3 Certificate of Participation

At the completion of an interview, you can give a Certificate of Participation (see ***Exhibit 7.4***) to any respondent. Students can use the certificate to confirm participation in the NSDUH. Explain that some students have been able to receive credit for participation, but that the student must initiate the request, and the teacher/school administration may or may not allow the student to receive credit of any sort. No advance arrangements have been made with any school in the nation.

It is **very important** that the respondent and, if a youth, their parents understand that it is the student's responsibility to arrange to receive any possible school or community service credit. Be very careful not to mislead the respondents into thinking that they will definitely receive some direct benefit from their participation. Credit for NSDUH participation is not guaranteed.

The certificate is worded to allow for use with respondents other than middle or high school students, but should be used primarily with youth respondents. Adult respondents should not receive a certificate unless they ask for acknowledgement that he/she completed the survey or seem very interested in receiving one. In certain circumstances, such as a young adult required to perform community service or for classes beyond the high school level, you may also distribute a Certificate of Participation.

When the interview is finished, complete the certificate following these steps:

- To ensure confidentiality, fill in only the date the interview was completed, your name, and your FI ID number. Do not write the respondent's name on the form.
- Give the form to the student and tell him/her to sign it before showing it to a teacher. Be sure to also give a copy of the NSDUH Q&A Brochure. Also, tell the student that if he/she has access to the Internet, there is a Website with more information about the survey. The website address is on the back of the brochure.

Exhibit 7.3 Countering Youth Refusals

Reason for Refusal	Response
Too busy/No time	*Be flexible in setting up an interview.* With school and extracurricular activities, teens can be very busy so you must be flexible and adjust to their schedules. Remember that a parent should be present in the house (though not the same room) unless explicit permission is granted by the parent to conduct the interview without the parent being present. *Drop by before the youth goes out.* On the weekends and during the summer, teens generally sleep late and then go out for the day. It helps to visit the house just after they get up but before they are ready to "hit the road."
Lack of interest / Nothing in it for me	*Mention the cash incentive.* Teens in particular enjoy having extra cash in their pockets. Explaining that they will receive cash at the conclusion of the interview will often persuade them to find time for the interview. *Make them feel important.* One of the most important methods for obtaining teen participation is to give them a sense of their own importance. Many have never been singled out and this will give them an opportunity to feel special. Let them know they are irreplaceable. *Suggest that it could count toward school or community service credit.* Some teens can get school credit or community service credit for participating in the study by bringing the lead letter and brochure to their teachers and explaining what it was like to participate. Teens have even written papers about their experience participating in our study! Encourage the teen to explore this. *Give a Certificate of Participation* (see ***Section 7.5.3***). *Send mail.* This age group generally likes to receive mail, so make use of the refusal letters. We have developed special letters addressing many of the concerns teens express. Ask your FS. *Mention school prevention programs.* Almost all youth today have been through a school program and remember the class projects involved. Remind the teen of what was learned and ask him/her to be part of the solution or provide input.

Exhibit 7.3 Countering Youth Refusals (continued)

Reason for Refusal	Response
Concerns about confidentiality	*Provide a private setting.* Some teens are concerned about privacy. They don't want their parents to know about things they have done. You need to be sensitive to this and conduct the interview in a private setting, reassuring the youth that his/her parents will never see the answers.
Teen-parent power struggles	Sometimes parents worry about their children growing up and try to control that process. Permission to participate in the survey is something parents may feel they can control. You must first convince the parents (before dealing with the teen) that it is to their child's benefit to participate. If the parent is won over, he/she may then insist the teen participate. Other times the power struggle is in reverse—the parent wants the teen to participate so the teen refuses, knowing it will irritate the adult. In this situation, it helps to get the teen alone and discuss the interview away from the parent. This will help the teen consider participating in a context other than the conflict with the parent(s).

Exhibit 7.4 Certificate of Participation

United States Public Health Service

Certificate of Participation

The United States Public Health Service and Research Triangle Institute would like to thank

_____

[Participant's Signature]

for participating in the **National Survey on Drug Use and Health**

on

_____

[Date of Interview]

_____

Field Interviewer

_____

FI ID #

_____

National Field Director
Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709

RTI INTERNATIONAL

This document certifies that the above named individual participated in NSDUH, a voluntary survey for the United States Public Health Service. Across the country, some participants approach their school teachers or other group leaders to ask about possible special community service credit as they completed this important national survey. The time commitment for participation in this survey is between 1 and 2 hours. A copy of the NSDUH brochure, which explains the study in more detail, should accompany this certificate. If you need further information, contact the National Field Director, , at .

7.6 Informed Consent Procedures

Even after a respondent has initially agreed to the interview, you must follow the informed consent procedures. The respondents' Right to Informed Consent is a critical part of any legitimate survey. This means each person must receive all the information necessary to make a completely informed and knowledgeable decision about participating. Even if someone immediately agrees to be interviewed, you are still required to follow the informed consent procedures and read the Intro to CAI script before you begin the interview. Strive to read this when setting up the computer, but if you forget you must do this when prompted by the CAI before asking any interview questions.

A potential respondent must be informed of:

- the purposes of the study
- the procedures that will be followed
- the approximate length of the interview
- the fact that consent may be withdrawn and participation discontinued at any time (i.e., that participation is voluntary)
- sources from which additional information about the study can be obtained. Examples include the Q&A Brochure, Study Description, and the NSDUH Respondent Website.

This information **must** be made available to each respondent. As explained in the next sections, the complexity and amount of information presented for informed consent varies depending on whether your respondent is an adult or youth.

7.6.1 Adult Informed Consent

The information you present to a selected adult respondent (age 18 and older) during the informed consent process is found in the front of the CAI Showcard Booklet (see ***Exhibit 7.5***). For adult respondents, you must read the Introduction and Informed Consent for Interview Respondents Age 18+, which explains what is required during the interview. Some respondents may ask if they can just read the document, instead of you reading it to them. There are two problems with allowing respondents to read: first, most respondents would just skim the document to save time, and second, poor readers would not be able to and may not admit it. Because this information is so important, our procedures require that you read the text to each respondent. Also, give the respondent a copy of the Study Description to keep. Be sure the respondent appears to understand the contents before you continue.

7.6.2 Parent/Guardian Permission to Approach Youth

Because we will be interviewing minors aged 12-17, we must first obtain parental permission to interview the youth. Before approaching the youth, first introduce yourself and the study to the youth's parent or guardian, then read the information in the box at the top of the Introduction and Informed Consent for Interview Respondents Age 12-17 in the Showcard Booklet (see ***Exhibit 7.6***).

It is critically important that the parent/guardian understands and grants you permission to speak with and interview the selected youth. Your request of the parent must take place in person, never over the telephone, so that you can watch for visual clues that the parent understands. Also, the parent must be present in the home (although not in the interviewing room) during the interview unless explicit permission is given for you to conduct the interview without the parent's presence and you have read the top box of the Introduction and Informed Consent for Interview Respondents Age 12-17 to the parent and given them a Q&A Brochure. If you obtain permission from one parent/guardian who is then not at home when you return to interview the youth, you may only proceed with the interview if the other parent/guardian is available and also grants permission.

You may encounter parents who cannot communicate well enough in English to understand as you read the script.

- If the parent speaks Spanish, use the Spanish translation of the Introduction and Informed Consent script in the Showcard Booklet. The parent may read the script (if you are not an RTI-Certified bilingual FI who could read it to them). If the parent cannot read, the youth or another translator may read the script to the parent, also reading aloud the Spanish version of the Study Description.
- If the language is other than Spanish, the youth or another translator may use the script and the Study Description and translate the information for the parent to understand.

Use the youth or translator to answer any questions the parent may have. In these situations, do your best to be sure the parent understands what you are requesting.

The only exception to obtaining parental permission is in the case of emancipated minors who are on their own, such as college students. In these cases, proceed with the youth Informed Consent procedures without parental permission, using the youth script as explained in the next section.

7.6.3 Youth Informed Consent

Once the parent agrees, we ask for the youth's agreement to participate. Read the information from the Introduction and Informed Consent for Interview Respondents Age 12-17, which is in the Showcard Booklet (see ***Exhibit 7.6***). Give the respondent a copy of the Study Description to keep. Observe the youth's reaction carefully. Getting the youth to participate is not typically a problem. However, keep in mind that a youth's failure to object does not mean he or she understands the consent process, and should not be taken that way. Use your judgment. Do NOT begin an interview with a youth until you are satisfied that he/she understands what you are asking and is willing to proceed.

If the youth seems to have trouble understanding, determine if the problem is temporary. If he/she is drunk or high, end the visit and return at another time. If necessary, involve the parent in the decision about whether or not to proceed.

Exhibit 7.5 Introduction and Informed Consent 18 or Older

INTRODUCTION AND INFORMED CONSENT FOR INTERVIEW RESPONDENTS AGE 18+

IF INTERVIEW RESPONDENT IS NOT SCREENING RESPONDENT, INTRODUCE YOURSELF AND STUDY AS NECESSARY: Hello, I'm _____, and I'm working on a nationwide study sponsored by the U.S. Public Health Service. You should have received a letter about this study. (SHOW LEAD LETTER, IF NECESSARY.)

READ THE BOXED INFORMATION BELOW BEFORE STARTING EVERY INTERVIEW

This year, we are interviewing about 70,000 people across the nation. You have been randomly chosen to take part. You will represent over 4,500 other people who are similar to you. You may choose not to take part in this study, but no one else can take your place. We will pay you $30 when you finish the interview.

GIVE STUDY DESCRIPTION TO R IF YOU HAVE NOT ALREADY DONE SO.

This study asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health issues. It takes about an hour. You will answer most of the questions on the computer, so I will not see your answers. We are only interested in the combined responses from all 70,000 people, not just one person's answers. This is why we do not ask for your name and we keep your answers separate from your address. RTI may contact you by phone or mail to ask a few questions about the quality of my work. This is why we ask for your phone number and mailing address at the end of the interview.

While the interview has some personal questions, federal law keeps your answers private. We hope that protecting your privacy will help you to give accurate answers. You can quit the interview at any time and you can refuse to answer any questions.

If it is all right with you, let's get started.

(Can we find a private place to complete the interview?)

Exhibit 7.6 Introduction and Informed Consent 12-17

INTRODUCTION AND INFORMED CONSENT FOR INTERVIEW RESPONDENTS AGE 12-17

FIRST, OBTAIN PERMISSION FROM THE PARENT AND READ THE BOXED INFORMATION BELOW

Your (AGE) year-old child has been selected to be in this study. Your child's participation is voluntary. This interview asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health related issues. All of your child's answers will be confidential and used only for statistical purposes. Since your child will answer most of the questions on the computer, I will never see the answers, and you are not allowed to see them either. If it is all right with you, we'll get started. (Can we find a private place to complete the interview?)

THEN, READ THE BOXED INFORMATION BELOW BEFORE STARTING EVERY INTERVIEW WITH A 12-17 YEAR OLD

This year, we are interviewing about 70,000 people across the nation. You have been randomly chosen to take part. You will represent over 1,000 young people in this country who are similar to you. You may choose not to take part in this study, but no one else can take your place. We will pay you $30 when you finish the interview.

GIVE STUDY DESCRIPTION TO R IF YOU HAVE NOT ALREADY DONE SO.

This study asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health issues. It takes about an hour. You will answer most of the questions on the computer, so I will not see your answers. Your answers will never be seen by either your parents or your school. We are only interested in the combined responses from all 70,000 people, not just one person's answers. This is why we do not ask for your name and we keep your answers separate from your address. RTI may contact you by phone or mail to ask a few questions about the quality of my work. This is why we ask for your phone number and mailing address at the end of the interview.

While the interview has some personal questions, federal law keeps your answers private. We hope that protecting your privacy will help you to give accurate answers. You can quit the interview at any time and you can refuse to answer any questions.

If it is all right with you, let's get started.

7.7 Getting Started

Being comfortable with the logistics of setting up the computer and starting the interview makes it much easier for you to focus on establishing rapport with respondents, gaining their cooperation, and answering any questions they may have. Practicing this beforehand improves your chances of doing this correctly during an actual interview.

7.7.1 Choosing a Location

Once you have obtained consent for the interview, ask the respondent where would be the best place to conduct the interview. Consider the following issues when choosing the best location:

- Privacy

  Make sure you are providing a reasonably private location for the respondent. You should also find a location where you and the respondent can sit apart so the screen is not visible to you or another household member during the ACASI portion of the interview (see ***Section 7.7.2*** for more details).

- Ethics

  Do not interview a youth if an adult is not present in the home unless the parent has provided explicit permission.

  Never conduct an interview in a separate bedroom.

- Temperature

  High temperatures can mean the laptop feels hot, and sweaty hands are more likely to slip on the keyboard. This is not insurmountable but should be a consideration if there is an option for a cooler location. The laptop should always be placed on a flat, hard surface, such as a table, to allow adequate ventilation.

- Battery power

  Whenever possible, conduct the interview by plugging the power cord into an outlet, using the extension cord if necessary. Plugging in the laptop increases the screen brightness, enabling you and the respondent to see the screen clearer, and conserves battery power. However, also make sure you have a fully charged battery in case you cannot connect to an outlet. For example, you might interview in a location, such as a front porch, where you cannot plug into an electrical outlet so you must rely on the battery. It is a good idea to recharge your battery by plugging it into a wall outlet *each night* before going out into the field. Remember the battery will last about two to three hours before needing to be recharged. See ***Chapter 4*** of the ***FI Computer Manual*** for more information.

- Safety

  Choose a location where both you and the respondent feel reasonably safe. For example, avoid conducting the interview outside in a neighborhood where you feel theft or gang violence is likely.

Given these constraints, try to be as flexible as possible without compromising the standards and rules for administering the interview. For example, if someone cannot meet you in their home because of their schedule or concerns about privacy, offer to meet at a mutually convenient place such as a public library. Do not offer to drive a respondent in your car. Due to lack of privacy and having food and/or drinks near the equipment, interviews should not be conducted at restaurants, coffee shops or other eating establishments. Consider safety and ethics when finding a private location and do not conduct interviews in hotel rooms, hospital patient rooms, cars or your home. Because the computer can run on battery power, it is also possible to conduct the interview outdoors if necessary, such as on a porch, the front steps, or sitting on the curb. Whatever location you agree upon, make sure there is the necessary privacy and convenience for the respondent to complete the survey honestly. Both you and the respondent should feel comfortable in the chosen location.

Obviously, the NSDUH is a personal visit survey. While you may in unusual circumstances ask your FS/RS/RD for prior approval to conduct a household screening using the telephone, the CAI interview **must always** be completed in person.

7.7.2 Privacy

For several important reasons, the NSDUH interview should be conducted in private:

- Many of the questions are personal and sensitive. An adult or youth may feel very uncomfortable responding when other family members are present. Maintaining the confidentiality of the data is crucial if the respondent is to provide honest responses, thus ensuring valid data.
- Privacy helps minimize the number of distractions, allowing the respondent to focus on the task at hand.
- Respondents may tell you what they think you want to hear, instead of providing the real answer.

Due to cultural differences, the perception of privacy varies among ethnic and racial groups. For some, privacy may not be viewed as achievable or even desirable given the number of people living in the residence. Experiences often are openly shared with family members. The presence of an infant or very small child usually is not a problem. Encourage those with very young children to schedule the interview for a time when someone can assist with the children if possible. If a respondent cannot do the interview because he or she has to watch the children, you can offer to help entertain the children while the respondent completes the interview.

In some instances a household member, such as a parent, may insist on being present during the interview. A parent should be present in the house when interviewing a youth unless they have given explicit permission to conduct the interview when they or another adult are not at home. However, a parent should not be in the same room and able to view or hear any of the questions or answers. If the parent wishes to be present in the room during the administration of the survey, explain that the youth must be able to listen and answer all questions in privacy. Explain to the parent that respondents are generally more

honest—thus providing higher quality data—when allowed to answer the questions privately. It is important that the youth be comfortable enough with the situation to answer questions honestly. The presence of a parent may seriously compromise the data we receive. Well-meaning persons may try to clarify or explain a situation the youth has described or coach the youth on answers. Inform the parent that the study is very interested in the answers of the youth and would like him/her to answer without any outside influence.

If the parent still insists on being present, go on with the interview but make sure the parent cannot hear or view the questions or answers. If this is not possible and there is no privacy, politely stop the interview and reschedule for another time. Document either situation in the iPAQ ROC and FI Observation questions at the end of the interview.

In general, if privacy is disrupted briefly by someone walking past the room during the CAPI portion, stop reading questions until the person is gone and a private setting is reestablished. If household members are present or interrupt often during the CAPI portion, one way to achieve greater privacy is to position the respondent next to you so he/she can read the questions and response categories on the computer screen and then say the number or letter or simply point to the answer on the screen. That way, other household members passing do not hear the questions or answers. Looking at the screen allows the respondent to answer with a number or letter so other household members do not know the responses. This would not be effective when interviewing a poor or nonreader, however, who needs to hear the questions and responses read aloud.

If the respondent's privacy is disrupted during the ACASI portion of the interview, such as by a household member walking or standing behind the respondent, stop the interview and explain to the person that it is important the interview be conducted in private to minimize distractions and allow the respondent to provide accurate answers. Finally, if you believe the setting is not private enough for the respondent to answer truthfully, offer to return to the household when you can complete the interview in private and document the situation in the ROCs.

7.7.3 Setting up the Computer

When you choose a spot to set up the computer for the interview, plan to sit opposite or catty-corner to the respondent. Here are some ergonomic considerations to maximize your own comfort and that of the respondent when setting up the equipment. Whenever possible:

- Sit with the computer straight in front of you at a comfortable height. Place your feet flat on the floor and keep your back straight. The monitor should be about 20" in front of your face.
- Keep your arms at a 90-degree angle to the keyboard with your wrists straight.
- Arrange for adequate lighting. Soft, indirect lighting is preferable. Position the screen so that sunlight or bright indoor lighting does not reflect off of it.

Just a few adjustments like these will greatly increase your comfort and the respondent's comfort in the short and long-term.

Once you are in a private location, assemble your equipment and materials.

- Unpack the computer.
- Connect the two parts of the power cord and then plug it into the computer.
- Plug the cord into a wall outlet using the extension cord if needed. When needed, you may conduct interviews on battery power. However, it is better to plug in the laptop since it increases the screen brightness, enabling you and the respondent to see the screen more clearly.
- Connect the headphones and cover the earpieces with a new set of disposable covers. Do not ask the respondent to do this, rather cover the headphones yourself as part of the set-up process. Even if the respondent chooses not to use the headphones during ACASI, you must plug the headphones into the jack in order to disable the computer speakers and thus ensure privacy. Respondents listening to the audio voice during ACASI must use the headphones, not the speakers.
- Open the laptop by pressing the display latch.
- Press the ON button in the top right corner above the keyboard. Allow time for the computer to start and the security password prompt to appear on the screen.
- While you are waiting, get the appropriate QuestID from your iPAQ double checking that you have the QuestID for the correct household and for the correct respondent, either A or B. Also take out the reference date calendar, Showcard Booklet, the Quality Control Form and envelope, and the Interview Payment Receipt.

When the password prompt appears, you are ready to begin the interview. See ***Chapter 8*** of this manual as well as ***Chapter 5*** of the ***FI Computer Manual*** to read about the procedures for conducting a CAI interview.

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REVIEW OF CHAPTER 7

Preparing to Interview

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- As a professional field interviewer on this study, you are responsible for making sure that every interview is administered correctly following our detailed project protocols. In addition, you must always maintain high ethical standards, treating your respondents and their information with the utmost confidentiality and respect. It is important that you remain completely unbiased and objective.

- It is always best to try and complete the interview immediately after a respondent has been selected through the screening process. This will improve your response rates and efficiency. If this is not possible, identify a good time to return and set a firm appointment.

- As with screenings, any interview result or visit must be documented in your ROC and assigned a result code.

- Even after the screening has been completed, the iPAQ allows you to view the household roster and selection screen. This enables you to re-educate yourself on the make-up of the household on your return visits.

- The skills that make you successfully complete screenings likewise help you as you try to obtain interview participation. You need to be professional, friendly, knowledgeable, and PERSISTENT.

- To complete an interview with a minor, you must obtain the verbal permission of the parent/guardian and the consent of the minor. A parent/guardian must be present in the home (although not in the interviewing room) during the interview unless explicit permission is given for you to conduct the interview without the parent's presence.

- To actually administer the interview, it is imperative that you find a private location where you and your respondent can comfortably use the laptop.

QUESTIONS TO ASK YOURSELF

1. What screen on the iPAQ has the function allowing you to add a call record?

2. Assign a code for the following situations.

   You make a return visit to the DU, but your interview respondent is not there.

   A mother does not want you to interview her 16 year old son.

   The respondent speaks only Spanish and you are not an RTI-Certified bilingual interviewer.

   You set a firm appointment with the selected respondent for tonight at 6 PM.

3. Imagine that you have completed a screening on Monday evening and you are making a return visit on Tuesday evening to try and catch the selected interview respondent at home. You are interested in knowing who the screening respondent was, and since you have done 20 cases since yesterday, you cannot remember. How can you get this information from your iPAQ?

4. When is a good time to catch teens at home?

5. If a teen refuses because of a lack of interest, what would you say?

6. Why is it so important that the NSDUH interview be conducted in private?

8. THE NSDUH INTERVIEW

8.1 Introduction

Chapter 7 discussed preparing for an interview, including the informed consent process. This chapter discusses the actual NSDUH interview process, including general standards for administering the interview, the contents of the questionnaire, and the procedures for you to follow at the close of the interview. Technical details about the CAI interview process are covered in ***Chapter 5*** of the ***FI Computer Manual***.

Two methods of administration are used in the CAI interview. The CAPI portions require you to read questions from the computer screen and enter the respondent's answers into the computer using the keyboard. During the ACASI segments, the respondent sits in front of the computer, puts on headphones through which he/she can hear the questions read, and enters his/her own responses into the computer.

8.2 Standardizing the CAPI Interview Process

The most crucial element of the interview process for a major national field survey such as the NSDUH is standardization. To the maximum extent possible, **every** interviewer must administer **every** questionnaire to **every** respondent **in the same way**. This helps eliminate variability and interviewer bias, two factors that can seriously undermine the validity, or "credibility," of the data collected. Standardization minimizes the variability in the way you, as the interviewer, ask questions.

This section covers some basic rules for administering the NSDUH interview. Many of these rules are standard to all interviewer manuals, but a few are specific to the NSDUH. Conducting all interviews using the rules outlined in this section ensures that the entire field interviewing team asks the questions in an unbiased manner.

8.2.1 General Questionnaire Conventions

The NSDUH questionnaire uses several different conventions that are discussed below. It is essential to become familiar with these conventions so that you can use them effectively.

1. Upper- and Lowercase text

- Black text not in parentheses is mandatory and you must read this aloud in CAPI. In ACASI, the computer voice reads this text aloud and the respondent listens with the headphones.
- Black text (in parentheses) is optional. This is wording that does not have to be spoken aloud. Optional wording is provided to help you "customize" or clarify the question or when an optional explanation is available.

- Text in blue signifies that the word(s) should be spoken with emphasis. For example, for the question "Are you currently on active duty in the United States' armed forces, in a reserve component, or now separated or retired from either reserves or active duty?" the word "**currently**" would appear in blue on the screen so you would emphasize this word.
- Mixed upper- and lowercase text in green are interviewer notes which should be read aloud only if the respondent asks for more details about a question.

2. Uppercase Text

- Text in ALL UPPERCASE LETTERS is never to be spoken aloud as it includes instructions for the interviewer. These may appear in the text of the question.

8.2.2 Asking the Questions

The following rules apply for the CAPI portions of the interview where you are asking the questions:

1. Ask the questions using the exact words on the screen.

This may seem obvious, but it is key to ensuring comparability of the data gathered from the survey. If you change the wording in a question, even slightly, the respondent's answer may change.

Imagine this situation:

*Actual question: During the past 30 days, that is since January 1st, 2011, how many **whole** days of school did you miss because you were sick or injured?*

FI asks: During the past 30 days, that is since January 1st, 2011, how many days of school did you miss because you were sick?

A respondent could answer two different numbers for the two different questions if the respondent had only missed partial days or had only missed whole days of school for an injury. The kinds of subtle changes in the phrasing of questions that are common when people are reading aloud can easily result in different answers. Read every question exactly as it appears. Adding text before or after reading the question verbatim is **not** acceptable. Do not re-state the meaning or explain a question to the respondent in your own words.

2. Read the complete question.

The respondent may interrupt you and answer before hearing the complete question. When this happens, politely explain that you have to read the entire question, then read the question again. Do not assume the premature response applies to the question as it is written. You must also read each question even if you think you already know the answer from previous responses or conversation. With the change in context, the actual response may vary from what was said previously.

3. Read the questions slowly.

As you become familiar with the questions, you may be tempted to read more quickly. However, you must remember that this is the first time the respondent has heard these questions, so read slowly enough to allow the respondent to understand everything you are asking. A pace of about two words per second is recommended.

Give the respondent plenty of time to recall past events. If necessary, allow time for the respondent to check records such as insurance records, payment records, etc., to answer questions, but NEVER look at these records yourself.

4. Use introductory or transitional statements as they are written.

Since the questionnaire covers a number of topics, focusing the respondent's attention on a new topic as it occurs in the sequence is often necessary. Transition statements are provided and must be read exactly as written. These statements often contain instructions for the respondent—time periods, circumstances to be considered, definitions, etc.

5. Know how to pronounce the drug names correctly.

Although the specific drug questions are contained in the ACASI portion of the interview, it is important to know how to pronounce the drug names correctly if a respondent asks about them. ***Appendix E*** contains phonetic spellings of the drug names for your reference. While this will be a rare occurrence, care should be taken to avoid mispronunciation.

6. Do not suggest answers to the respondent.

As you go through the interviewer administered sections of the interview, you will come across questions you think you can answer based on information you heard earlier. You may want to suggest answers to the respondent. Or during the ACASI or CAPI sections the respondent may try to rely on you to help answer the questions. Your job as an interviewer is to ask the questions and make sure the respondent understands, but not to answer for the respondent. **Do not help the respondent choose a response**.

7. Become comfortable with the interview material.

Even though you are not administering the majority of the interview, it is important to be familiar with the questions so you can help respondents if any problems arise.

8. Be nonjudgmental.

It is essential that you interact with respondents in a nonjudgmental manner. It is possible that respondents will tell you about actions that are illegal or that you find to be immoral, sad, or shocking. Regardless of what you hear, you must accept the information without judging. It is important that you accept all that you hear in a matter-of-fact manner so that the respondent continues to feel comfortable providing confidential information.

8.2.3 Probing

This section discusses "probing," a technique used to help ensure that the answers given by the respondent are as accurate and complete as possible. Probing serves two purposes: 1) to help the respondent understand the question, and 2) to obtain a clear, codable response from the respondent without suggesting answers. Be sure to use an appropriate neutral or nondirective probe. General rules for probing are as follows.

1. There are three types of **repetition** probes.

Repeat the question if the respondent misunderstood or misinterpreted the question.

After hearing the question the second time, the respondent likely will understand what is being asked. This is usually the best and most straight forward method of probing.

Similarly, **repeating the answer choices** suggests to the respondent that the response needs to come from these choices.

Repeat the answer if the response is too vague to answer the question.

For example, if you ask the respondent for his/her current marital status and he/she answers, "I'm on the loose," an effective probe is, "On the loose?"

2. **Pause** to indicate to the respondent that you need more or better information.

This is a good silent probe after you have determined the respondent's response pattern.

3. **Any unscripted probes must be neutral.**

Use neutral questions or statements to encourage a respondent to elaborate on an inadequate response.

Examples of neutral probes are "What do you mean?" "How do you mean?" "Tell me what you have in mind" or "Tell me more about...."

Use clarification probes when the response is unclear, ambiguous or contradictory.

Be careful not to appear to challenge the respondent when clarifying a statement and always use a neutral probe. Examples of clarification probes are "Can you give me an example?" or "Could you be more specific?"

4. **Affirmation or reinforcement probes provide encouragement** and can communicate to the respondent that you are waiting for additional information.

Similar to the silent probe, you can encourage the respondent to provide more information by nodding your head affirmatively, or using a positive term like "Yes" or "Uh-huh" and then pausing.

Exhibit 8.1 lists specific examples of acceptable probes.

Exhibit 8.1 Examples of Acceptable Probes

Repeating All or Part of the Question

- "Let me read the question again." Repeat the full question with emphasis.
- "Let me read the question again just to be sure we are focusing on the same time period." Repeat the full question with emphasis.
- Repeat the answer choices with emphasis.
- Wait 8-10 seconds. If no answer is given, repeat the full question.

Requesting a Clarification

- "For this question, I need an answer of either 'yes' or 'no'."

  -or-

- "Is that a 'yes' or a 'no'?"
- "Can you give me a specific number of (hours/days/weeks/etc.)?"
- "Would you say 9 or 10?"

Reassurances

- "To the best of your knowledge:"
- "Remember that we will not tell anyone what you say."
- "Remember, there are no right or wrong answers."
- "Take your time."
- "I have to ask all of the questions in order."
- "We're interested in your own interpretation of the question."
- "We just want to know what you think."
- "Whatever [WORD] means to you."

Repeating an Earlier Question

- "Let me read you an earlier question."

8.2.4 When and How to Probe

The following explains when and how to probe to obtain information that is complete, accurate, and useful to the researchers who analyze the data.

RESPONDENT DOES NOT GIVE A SIMPLE "YES" OR "NO" ANSWER

- Gives a clear answer, but not "yes" or "no"

  If the respondent gives an answer to a yes or no question that is *completely* clear ("absolutely" "not at all", "never!"), enter "yes" or "no" even though the respondent did not actually say "yes" or "no." There is no need to probe in such cases.

- Says "yes" or "no" and more

  Respondents often say "yes" or "no" and then give you additional information. For example, if you ask, "During the past 12 months, have you stayed **overnight or longer** in a hospital or other facility to receive treatment or counseling for any problem you were having with your emotions, nerves, or mental health? " the respondent might say "Yes, but it was only because my father died and I was really depressed for a few months. I'm not crazy." The additional statement explains why, but it ***does not contradict*** the "yes" answer. In such cases, ignore the additional information and enter the "yes" or "no" answer without probing.

  On the other hand, if you think the additional information ***might contradict*** the "yes" or "no" answer, repeat all or part of the question. For example, when asked if the respondent or any of the respondent's family members living at the DU received food stamps in 2010, the respondent says, "no, just Grandma." You know from the recently completed household roster that Grandma does live at this residence. Since the additional information seems to contradict the "no" answer, repeat the question emphasizing the phrase "... or anyone in your family living here..."

UNCLEAR RESPONSES

- Unclear numeric answers

  Some questions ask for a number (an age, the duration of something, etc.). If the respondent answers with "a few," "I was pretty young," "quite a while" etc., then say: "Can you give me a specific number of (hours, days, etc.)?"

  Often respondents answer these questions with more than one number ("when I was 18 or 20 years old," "for two to three days," etc.). For many questions in the NSDUH we only want a single number as an answer, not a range, so it is necessary to encourage respondents to give us their **best opinion as to a specific number**.

  If the respondent is unable to answer with a single number even after probing, choose the *more extreme* number given. Examples are:

  - a time - code the category with the most recent time (ex: "2 or 3 weeks ago," record "2 weeks");
  - an amount - code the category with the greatest amount (ex: "$25,000 or $28,000," record "$28,000");
  - a frequency - code the category with the highest frequency (ex: "once or twice a week," record "twice a week").

If the response is a fraction and the question asks for:

- an age - drop the fraction (ex: "18½ years old," record "18 years") and record the younger age;
- a number of days, years, miles, etc. - round fraction to next highest whole number (ex: "8½ days," record "9 days") and record the greater number.

- Gives a vague or unclear response

  If the respondent seems to have understood the question, but gives a vague or unclear response such as "it depends" "Oh, goodness!" "sometimes yes, sometimes no," then gently say, "Is that a 'yes' or a 'no'?" If you are not sure the respondent understands or remembers the question, repeat the question, saying "Let me read the question again." When repeating the question, pause slightly between parts of complex phrases, and emphasize any words that will help the respondent understand (focus your emphasis on the time frame and the terms that describe frequency).

- Gives an unrelated response

  Sometimes respondents go off on a tangent without answering the question. Do not discuss personal issues with the respondent. Be polite. Without offending the respondent, bring the focus back to the job at hand by listening, smiling to acknowledge the respondent's words, then repeat the question, emphasizing important words.

MISUNDERSTANDINGS

- Doesn't understand the question

  If the respondent tells you he or she does not understand a question, or if the answer makes no sense and indicates that the respondent did not understand, say "Let me read the question again" (repeat the question, emphasizing key words). Note: The first sentence ("Let me read the question again") is optional and should be used only if you think it helps you maintain rapport with the respondent.

- Misunderstands the time period

  If the respondent says something that makes you think he or she is not focusing on the correct *time period* for the question, reread the key part of the question or the entire question, emphasizing the time period and ***pointing to the relevant time period on the calendar***. The calendar is designed to make the recall task easier. For example, if you ask a 35-year-old if he has worked in the last 12 months and he says, "Yes, when I was 20 years old," he is not focusing on the correct time period (the last 12 months).

- Misunderstands a frequency requirement

  At times, you may need to repeat the question or otherwise probe because respondents give answers that indicate they may not have understood the frequency requirement of the question.

- Misunderstands an intensity requirement

  Sometimes you will need to probe because the respondent does not understand or ignores the *intensity* or severity that is asked about in the question.

DON'T KNOW, REFUSED

- A respondent says "I don't know"

  When a respondent says "I don't know," it can mean one of three things: 1) the respondent may need more time to think about the answer; 2) he or she may be reluctant to tell you something personal; or 3) he or she actually does not know the answer to the question—or is unsure of the best answer.

  If a respondent says "I don't know… hmm…" and appears to need more time to think about an answer, then wait silently and expectantly for an answer. If you feel it would help, you may say "Take your time."

  If you think the respondent has said "I don't know" because he/she is reluctant to tell you private information, you should put the respondent at ease by saying "Remember that we will not tell anyone what you say" or "Remember, there are no right or wrong answers."

  Sometimes respondents truly don't know the answer to a question. For example, if you ask about certain items covered by their health insurance, the respondent may simply not know. The *first time* that a respondent says "I don't know" in this way, say "To the best of your knowledge…" On future questions, however, you may accept the "don't know" response in the interest of not alienating the respondent.

  Note: Listen closely to respondents to be sure they are really saying that they don't know. "Oh, I don't know, probably not" could actually mean "no" to the respondent, while "I don't know, I could have" may mean yes. Don't guess what the respondent means. Instead, say "Is that a 'yes' or 'no'?" using a pleasant tone.

- Refuses to answer a question

  After repeating the assurance of confidentiality, allow the respondent to exercise the right "to refuse to answer any or all questions." You should also enter "Refused" if a respondent does not feel comfortable answering a specific question. Add a remark about the circumstances (see ***Section 5.7*** of the ***FI Computer Manual*** for instructions on how to add a remark in the CAI system).

- Does not answer a question

  If the respondent does not answer, wait 8-10 seconds to give the respondent time to think. If there is still no response, say "Let me read the question again" and then repeat the question emphasizing key words. If no answer is given a second time, code as "Refused" and continue. Sometimes respondents fail to answer a question they find very personal rather than flatly refusing to answer. Sometimes, however, they have become unwilling to continue with the interview. If you suspect that this is the case, ask the respondent if he or she would like to take a break. They may feel like continuing after a few minutes to themselves.

- Does not give a codable answer

  In the unlikely event that the probing strategies do not work in obtaining a codable response from the respondent, enter a comment in the remark box for that question. Use a "Don't Know" as the response to the question so you may continue with the interview.

8.2.5 Recording Responses

Most of the questions in the NSDUH questionnaire have precoded responses. A few questions, however, are open-ended so you must type in a response to the question. Some questions have precoded responses including an "Other (SPECIFY)" category. If the respondent's answer does not fit into a precoded answer, then choose "Other" and specify the response.

When recording open-ended or other specify responses, follow the recording practices below to ensure the recorded responses accurately reflect the respondent's answers.

- Record the response verbatim typing the key words the respondent says. For example, the respondent is specifying her race and says "I think of myself as...," there is no need to record that first phrase. The important step is to accurately record the race.

  Record answers in English, even if the interview is being conducted in Spanish. Only record a Spanish word if there is no comparable English word to translate the answer.

  If you run out of room in the "other specify" field, make a note for the question, continuing the answer in the comments space (see ***Section 5.7*** of the ***FI Computer Manual***).

- Make a note in the comments space about any responses that "don't quite fit" in one of the response categories for that question. If a respondent asks you what to do about responses that don't fit during the ACASI portion, it is appropriate to tell the respondent to enter a note in the comments space as well.

  Remember to record any general remarks about the interview or interview setting of the questionnaire. Your notes will help the analysts to understand any points of confusion, difficulty, etc. (see ***Section 5.7*** of the ***FI Computer Manual***).

- Wrong code—If you mistakenly enter the wrong answer or if the respondent changes his/her mind, go back to the question by pressing [**F9**] and use the backspace key to erase the old answer. Then type the correct answer.

Since respondents complete most of the questionnaire on their own, answer their questions about recording responses in this same way.

8.2.6 "Don't Know" or "Refused"

"Don't know" or "Refused" responses generally do not appear as answer categories in the questionnaire although they are within the acceptable range of responses. Since these responses are not displayed on the screen, the respondent is more likely to answer the question within the "preferred" ranges. *Follow the probing techniques discussed in* ***Section 8.2.3*** *to encourage accurate reporting*. However, "Don't know" and "Refused" are always possible responses for any question in either the CAPI or ACASI sections.

- If a respondent refuses to answer a question while you are administering the CAPI, reassure the respondent and ask again. Then if needed, press the [F4] key for "Refused." Press [Enter] to move to the next question.

- If a respondent tells you he/she doesn't want to answer a question during the ACASI portion, repeat the confidentiality concepts before telling the respondent to press the [F4] key if the respondent still does not want to answer.

- If a respondent does not know the answer to a question you have asked and a "don't know" code is not available, probe first. Then, if necessary, press the [F3] key and then [Enter] and the computer will move to the next question.
- If a respondent does not know an answer during the ACASI portion, tell the respondent to make a best guess. If needed, tell him/her to press the [F3] key.

8.3 The NSDUH Interview Content

Exhibit 8.2 contains a chart listing the various topics involved in the NSDUH interview. The chart also lists any additional materials that are needed for each particular section. The first section of the interview contains questions on basic demographics (such as age, sex, and race) and is administered in CAPI. This is followed by a brief ACASI practice session. After the practice, the respondent completes the ACASI section, which contains the questions about drug use, mental health, and certain experiences and opinions. When the respondent has finished this section, turn the computer back toward yourself and administer a second CAPI component which contains more specific demographic questions, plus questions about income and health care. Following this second CAPI portion you are asked to complete a short series of FI observation questions. These questions are NOT to be read aloud to the respondent.

Exhibit 8.2 NSDUH CAI Interview Content

Content of 2011 NSDUH Instrument

Module	Mode of Administration	Required Aids
Introduction	CAPI*	None
Core Demographics	CAPI	Showcards 1-4
Overall Health Question	CAPI	None
Calendar (30-day and 12-month reference dates)	FI reads instructions and identifies reference dates.	Reference Date Calendar
Computer Practice	Respondent completes computer practice session with FI help.	None
Tobacco	ACASI**	None
Alcohol	ACASI	None
Marijuana	ACASI	None
Cocaine	ACASI	None
Crack	ACASI	None
Heroin	ACASI	None
Hallucinogens	ACASI	None
Inhalants	ACASI	None
Pain Relievers	ACASI	Pillcard A
Tranquilizers	ACASI	Pillcard B
Stimulants	ACASI	Pillcard C
Sedatives	ACASI	Pillcard D
Special Drugs	ACASI	None
Risk/Availability	ACASI	None
Blunts	ACASI	None
Substance Dependence and Abuse	ACASI	None
Special Topics	ACASI	None
Market Information for Marijuana	ACASI	None
Prior Substance Use	ACASI	None
Drug Treatment	ACASI	None
Health Care	ACASI	None
Adult Mental Health Service Utilization	ACASI: 18+ year-olds only	None
Social Environment	ACASI: 18+ year-olds only	None
Parenting Experiences	ACASI: parents of 12-17-year-olds	None
Youth Experiences	ACASI: 12-17-year-olds only	None
Mental Health	ACASI: 18+ year-olds only	None
Adult Depression	ACASI: 18+ year-olds only	None
Youth Mental Health Service Utilization	ACASI: 12-17-year-olds only	None
Adolescent Depression	ACASI: 12-17-year-olds only	None
Consumption of Alcohol	ACASI	None
Back-End Demographics:	CAPI	None
Education	CAPI	Showcards 5 & 6
Employment	CAPI	Showcards 7 - 12
Household Roster	CAPI	Showcards 13 & 14
Proxy Information	CAPI	None
Health Insurance	CAPI (Proxy allowed)	Showcards 15 & 16
Income	CAPI (Proxy allowed)	Showcards 16a, 17 & 18
Verification	FI & respondent complete form	Quality Control Form & Envelope
Incentive Payment	FI completes form and pays cash	Interview Payment Receipt, cash
FI Observation Questions	FI records own responses	None

* **CAPI** (computer-assisted personal interviewing): FI reads questions and records responses.

** **ACASI** (audio computer-assisted self-interviewing): Respondent reads questions on screen or listens to questions through headphones and then records answers into computer.

8.4 Introductory Statement and Informed Consent

At the beginning of the interview the computer first confirms your FI ID number, and then displays the burden of proof statement. ONLY read this statement if the respondent asks about it. The next screen asks you if you have read the Introduction and Informed Consent script to the respondent. If you have not, you **must** do so at this point. See ***Section 7.6*** for information about Informed Consent Procedures.

8.5 Verifying Eligibility

The first question the computer prompts you to ask is the respondent's date of birth. This question is asked for two reasons:

- to verify that the respondent is age 12 or older before beginning the interview (individuals under age 12 are not eligible for the survey), and
- to figure the respondent's age at the time of the interview so that the appropriate interview questions are displayed.

8.5.1 Underage or Active Military Respondents

We cannot interview respondents who are not at least 12 years old. It is possible you could begin an interview and discover that the respondent is not yet 12 years old. If this happens, do NOT re-roster the entire household. Instead, the computer asks you to confirm that this response is correct and ends the interview. If the respondent is found to be ineligible during the ACASI portion of the interview, the computer will take the respondent to the end of the ACASI portion. Then you take back the computer and enter the 3-letter code (RTI) to continue. After you enter this code, the computer exits the interview.

The same situation could occur if at some point during the interview you discovered the respondent is on active duty military status, which is why this question is asked at the beginning of the interview. Again, do not re-roster the household. The CAI ends the interview automatically and considers it a completed case.

In either of these situations, you must discuss the case with your FS. With approval, code the case in the iPAQ Record of Calls as a 79 "OTHER." The iPAQ then displays a list of possible reasons for the OTHER code. Select the appropriate reason and provide additional comments to fully explain the situation in your iPAQ.

8.6 Use of Showcards and Pillcards

During the interview, there are times when it is helpful to the respondent to see the list of answer categories or see other visual references to aid in answering a question. Called Showcards, they are bound together into the Showcard Booklet. There are many advantages to using Showcards:

- Long or complicated answer categories listed on the Showcards do not have to be read as part of the question, which allows the respondent to review all choices carefully.
- Using the Showcard Booklet may encourage the respondent to report more honest answers to sensitive CAPI questions such as income or education level.
- Other household members who may be nearby do not hear the actual response.

Because of these benefits to data quality, you are required to use the Showcards while conducting an interview. Proper use of the Showcards means that YOU maintain control of the booklet. When prompted by the instructions on the screen, turn to the appropriate Showcard, hand the booklet to the respondent, then take the booklet back when you have completed that question.

Also included in the Showcard Booklet are color pictures of various types of pills, called Pillcards. The respondent uses the cards as a visual aid when answering ACASI questions about the use of pain relievers, tranquilizers, sedatives, and stimulants. The respondent is instructed as to when to ask for each card. The Pillcards are necessary aids but it is up to the respondent to request the cards. NEVER interrupt the ACASI to remind the respondent about asking for the Pillcards. In fact, this disruption may be distracting or confusing to the respondent, which could result in incorrect responses or errors made by the respondent. If needed, you may provide a reminder about the Pillcards BEFORE the respondent begins the ACASI. However, if the respondent does not request one or more of the Pillcards as they complete the ACASI questions, you should not do anything further. You are not charged with a data quality error if a respondent fails to ask for the Pillcards.

When requested by the respondent during the ACASI, you should turn to the appropriate Pillcard and hand it to them. It is important that you, the interviewer, remain in control of the Showcard Booklet at all times in order to ensure the respondent is viewing the correct Pillcard. In addition, there is information in other sections of the Showcard Booklet that the respondent should not view. For respondents with poor or no reading skills, the Pillcards and corresponding questions are designed so that these respondents can complete the questions by referring to the appropriate set of pills in the boxes above or below the red line. You should not read any information from the Pillcards to the respondent.

Using tab dividers, the Showcards and Pillcards are separated from a series of helpful Interviewer Job Aids, included at the back of the Showcard Booklet for your reference.

8.7 Completing the Reference Date Calendar

Early in the interview, you and the respondent complete a calendar to define the reference periods—past 30 days and past 12 months—used throughout the interview. An example of a properly completed calendar is shown in ***Exhibit 8.3***. The calendar is printed on legal size paper (8.5" x 14") with the months from last year and this year printed on one side. In the center is a box in which you record the two reference dates. The computer calculates the appropriate reference dates for you. Instructions appear on the computer screen to assist you as you prepare the calendar with the respondent.

For example, assume you are conducting an interview on May 18, 2011.

- First, the computer determines the 30-day reference date. This date is NOT the same date last month, meaning April 18, 2011 is NOT the correct date. In this case, the computer will determine that April 19, 2011 is the 30-day reference date.
- Write the date in the box on the front of the calendar, recording it exactly as displayed on the computer screen. Then circle that day, and underline the entire 30-day reference period for the respondent.
- The computer will tell you the 12-month reference date. This will be the interview date, one year earlier. For example, an interview conducted on May 18, 2011, would have May 18, 2010, as the 12-month reference date.
- Write the 12-month reference date in the box, and circle it on the calendar as well. Do not underline the entire 12-month reference date.
- Record the Case ID at the top of the calendar.

This calendar is a tool proven to increase accuracy in respondent recall of events. Using a computer means the correct dates automatically appear in questions asking about time periods. However, the process of mentioning the dates and having the respondent watch as you circle the day and underline the 30-day reference period clues the respondent into the exact time period of interest. Even if the respondent never looks at the calendar again, you have given a visual tool reminding which day of the week the 30-day reference date is, and how many weekends are included in those 30 days. This information is critical for accurate reporting.

You **must complete a calendar with each respondent**, following the steps outlined on the computer screen so that each respondent can receive the full benefit of the reference date calendar.

If you encounter an interview breakoff and are unable to resume the interview the same day, do not use the previously completed calendar and do not prepare a new one for the remainder of the interview. During the next visit to complete the interview, the computer will display reference dates based on the current date, not the original start date. Simply allow the interview to proceed using the dates shown on the computer screen. Using an old calendar, even one day old, would confuse the respondent while returning to the calendar screens to complete a new one would violate confidentiality.

Send all completed reference date calendars to your FS weekly.

Exhibit 8.3 Reference Date Calendar

REFERENCE DATE CALENDAR **Case ID:** OH042001 32 - A

JANUARY 2010

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

FEBRUARY 2010

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28						

MARCH 2010

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

APRIL 2010

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

MAY 2010

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	(18)	19	20	21	22
23	24	25	26	27	28	29
30	31					

JUNE 2010

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

JULY 2010

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

AUGUST 2010

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

SEPTEMBER 2010

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

OCTOBER 2010

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

NOVEMBER 2010

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

DECEMBER 2010

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

30-DAY REFERENCE DATE:	April 19, 2011
12-MONTH REFERENCE DATE:	May 18, 2010

JANUARY 2011

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

FEBRUARY 2011

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28					

MARCH 2011

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

APRIL 2011

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	(19)	20	21	22	23
24	25	26	27	28	29	30

MAY 2011

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

JUNE 2011

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

JULY 2011

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

AUGUST 2011

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

SEPTEMBER 2011

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

OCTOBER 2011

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

NOVEMBER 2011

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

DECEMBER 2011

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

8.8 FI Responsibilities During the ACASI Portion

After you complete the reference date calendar, you next give a brief introduction and then train the respondent to use the computer. Your role before the practice session begins is to familiarize the respondent with the keyboard, using the text listed on the transition screens—the respondent completes a detailed practice session on using ACASI on his/her own following your introduction. The screens introducing the keyboard and the practice session look like this:

You will do an important part of this interview on your own, using the computer and the headphones. Before you start, we'll go through a short practice session so you can learn how to use this computer and our interview program. Let me quickly point out the keys you will use. The computerized practice session that follows will go through what each key does in greater detail. MOVE COMPUTER SO RESPONDENT CAN SEE THE KEYBOARD AND POINT OUT THE FOLLOWING: [POINT TO THE ROW OF FUNCTION KEYS] First, these are the function keys. The function keys and what they do are labeled for you. [POINT TO F3] If you don't know the answer to a question, press F3. [POINT TO F4] If you don't want to answer a question, press F4. [POINT TO F7] If you want to turn the sound off, press F7. To turn it on again, press F7 again. PRESS [ENTER] TO CONTINUE.
IntroAcasi1

These next items will help you enter your answers into the computer. [POINT TO THE ROW OF NUMBER KEYS] These are the number keys. [POINT TO THE ENTER KEY] The Enter key is here, [POINT TO THE SPACE BAR] the space bar is here, [POINT TO THE BACKSPACE KEY] and the Backspace key is here. [POINT TO THE BOTTOM OF THE SCREEN] The answers that you enter will show up here at the bottom of the screen. PRESS [ENTER] TO CONTINUE.
IntroAcasi3

There are a couple of computer features that you will **not** use. [POINT TO ON/OFF SWITCH] This button up here turns the machine on and off. Please do not press it! It will turn the machine off, and we'll lose the interview. [POINT TO TOUCHPAD] Also, please do not touch this pad. This might disrupt the interview. PRESS [ENTER] TO CONTINUE.
IntroAcasi4

At certain times, the computer will tell you to ask me for some cards. At that time, be sure to ask me to show you these cards. PRESS [ENTER] TO CONTINUE.
IntroAcasi0

The next screen introduces the headphones.

Lastly, these headphones will allow you to listen to the interview questions. HAND HEADPHONES TO RESPONDENT. You can adjust the volume here [DEMONSTRATE VOLUME ADJUSTMENT ON THE HEADPHONE CORD]. Please put on your headphones. When you are ready, let me know. MOVE COMPUTER SO RESPONDENT CAN USE IT. ONCE RESPONDENT HAS HEADPHONES ON, PRESS '1' AND [ENTER] SO R CAN BEGIN PRACTICE SESSION.
IntroAcasi2

This screen will play while you adjust the volume in your headphones. When you have adjusted the volume to a level that is comfortable to you, press the large [ENTER] key on the right side of the keyboard to continue with the practice session. The [ENTER] key is the one with the ↵ symbol on it.
HeadPhone

The respondent listens to this screen as the headphone volume is adjusted. If the audio ends before the respondent is finished adjusting or if the respondent missed the instruction to press [ENTER] to continue, assist the respondent by pressing [F10] to replay the audio.

When ready, the respondent can press [ENTER] to start the ACASI practice session. The practice session explains what the respondent needs to know to complete the ACASI interview, but be prepared to answer questions. It is important that each respondent complete the practice session on his or her own. Even computer experts need to understand how this particular computer program is set up and which keys perform which tasks.

You can tell the respondents that when they see the screen that asks for the 3-letter code they will have completed the ACASI sections and should let you know. The screen instructs the respondent to hand the computer back to you. Remember that the respondent should complete the ACASI interview in private; therefore, you should only sit beside the respondent during the ACASI practice session. Then move to some location in the room where you are unable to see the computer screen. **Do not leave the room**. Remain available to hand the respondent the Pillcards or in case the respondent has questions or needs help with the computer.

You need to be available to help if your assistance is required, but be unobtrusive. Try to occupy yourself constructively so the respondent does not feel rushed. However, be aware of what is happening

with the respondent. Because most of this questionnaire is self-administered, it is important to be sensitive and responsive to subtle clues from the respondent. In particular, be receptive to signals that the respondent is having a problem with one of the questions or with the computer.

Some suggestions for how to fill the time during the ACASI are as follows:

- Prepare the Quality Control Form and envelope for use at the close of the interview. (***Section 8.11.1*** provides detailed instructions.)
- Prepare the Interview Payment Receipt for use at the close of the interview by writing the CaseID number on the receipt. Do not sign it or check the box marking payment acceptance until you are presenting the respondent with the incentive cash.
- Update your Record of Calls on the iPAQ.
- Review additional cases to be worked that day, modifying your plans as needed.
- Review the FI Manual section(s) referenced in your Data Quality Knowledge Notebook for the week, and then complete your entries.
- Re-read portions of the FI Manual or the FI Computer Manual. Take a chapter or two at a time out of the manual binder to read. Regular reviewing of the detailed procedures in the manual greatly improves your knowledge of the project and your understanding of the project protocols.
- Review the Job Aids in the Showcard Booklet.

Use your time productively. If you have a cell phone, turn it OFF! Do NOT make or receive telephone calls during this time. Doing so could disturb the respondent and would certainly decrease your awareness of the respondent's needs during ACASI.

When the respondent is finished with the self-administered portion, usually about 30 minutes, take back the computer and ask the questions for the remaining sections. If the respondent seems to be moving through the ACASI portion too quickly, do not do or say anything about this to the respondent, as this would affect the standardization of the interview. Rather, ensure the FI administered sections are conducted at a comfortable pace and note the respondent moved quickly through ACASI in the FI Debriefing questions.

8.9 Industry and Occupation Questions

A series of questions in the back end Demographics section (following the ACASI portion) ask for details about the respondent's job. The details of the respondent's answers are used to assign two standard codes that accurately classify the work in a particular industry and as a particular occupation. To correctly assign the appropriate codes, the coding staff require very descriptive, yet concise responses. When recording responses, keep in mind the following:

- Be sure to **list the most important information first**, as each answer field has a limit on the number of characters available.
- Consider abbreviating when possible. Use typical abbreviations that coding staff will understand, such as 'dr' for doctor and 'mgr' for manager.
- The coders see the recorded responses from all the industry and occupation questions. In other words, they have all the information gathered during this question series available as they assign both the industry and the occupation codes.
- Also note that the coders do not see any information entered in a comment field.

When a respondent is asked about the type of **business or industry** his/her employer is engaged in, probe and obtain as much detail as possible. The following examples illustrate the level of specificity to strive for:

NOT CLEAR ENOUGH	CLEAR AND CODABLE
Auto Shop	Auto Repair Shop Service Station Auto Parts Store
Make belts	Make leather belts Make car timing belts
Mining	Silver mining Copper mining
Foundry	Steel foundry Iron foundry

If a respondent replies with his/her job title, repeat the question so that the respondent understands you are asking for the type of business or industry of his/her employer. If the respondent reports being self-employed, probe to find out what type of business the respondent is engaged in. While you as an interviewer do not have to determine which industry code to assign, you must obtain enough detailed information for the coding staff to do so.

When a respondent indicates that his/her employer is engaged in manufacturing, you will then ask the respondent what specific product his/her employer makes. Likewise, if a respondent replies that his/her employer is involved in wholesale or retail trade, you will ask the respondent what specific product his/her employer sells. The answer fields for both of these questions are limited to 35 characters, which provides plenty of space to input what the respondent's company makes or sells.

Gathering the same level of detail also applies to questions asking about the respondent's **occupation**. If the respondent states a very general occupation, probe for as many specifics as possible recording the most important information first:

NOT CLEAR ENOUGH	CLEAR AND CODABLE
Nurse	RN, hospital neonatal unit RN, home nursing care LPN, Dr office
Teacher	12 gr English teacher, private school Public high-school Special-Ed teacher 4 gr teacher, public elem school Prof Psychology, public univ
Roofer	Asphalt shingle installer, new homes Slate roof restorationist
Writer	Editorial writer, daily newspaper Technical writer, software maker Free-lance fiction writer

If a respondent gives you a job title that conveys little or nothing about what his/her occupation is, probe to try to determine the trade, profession, or business. A respondent may respond with his/her educational attainment (e.g., I have a medical degree) but you should not assume the respondent works as a doctor. Probe to find out what the respondent does (perhaps rather than working in a medical practice, he/she writes medical articles for a weekly magazine). If a respondent begins listing duties or responsibilities rather than replying with an occupation, tell the respondent you will collect this information in just a minute, then repeat the question and emphasize that you are asking for his/her occupation.

When recording the respondent's duties, capture enough details to adequately and accurately describe the work done. If the respondent is a supervisor, record the department or function that he/she supervises. The following are examples:

Accounts Receivable Dept Mgr	Supervise Acct Rec Clerks, prep reports/entries
Graphic Designer	Computer designs signs/banners/brochures
Secretary	Type/file/answers phone/make appts for boss
Waiter	Take food orders/tell kitchen/serve food
Portrait Photographer	Take pictures/develop film/print pics/bill clients
Tool Design Engineer	Designs machines for product assembly

The respondent will also be asked to categorize his/her employer in terms of the employer's status. For instance, is the respondent's employer a private company? If so, is the company for-profit or not-for-profit? If the respondent works for a government, he/she will be asked to indicate the level of government (e.g., state, local). Self-employed respondents will be asked to indicate if their business is incorporated or unincorporated.

For all of the industry and occupation questions, it is important to always probe for further details. Be sure to use adjectives in your probes—for instance, find out what type of doctor or salesperson, what kind of engineer or programmer, supervisor of what,—and record the respondent's answers as accurately and completely as possible. Be descriptive but be direct in your entries, recording the most important information first.

8.10 Respondent Difficulties

At some point, you may encounter a respondent who is impaired in some way. The main concern is whether the respondent is physically and emotionally capable of participating in the study. Always use sensitivity and good judgment to determine whether or not they are capable of participating in the study.

You may encounter a respondent with physical limitations, such as blindness, deafness, or paralysis. Some people with physical handicaps will be able to operate a computer, although others may not. This study was designed for self-reporting, so ***only*** in the instances of the severely physically impaired are you permitted to enter a respondent's answers in the ACASI portion of the interview for him/her.

- **Blind respondent**. In the case of a blind respondent, the respondent will wear the headphones to listen to the questions. In some instances, the respondent may feel comfortable entering the ACASI responses on his/her own. Place the respondent's fingers on the 1, 2, and Enter keys, reminding him/her to ask for help when needed. If the respondent is not comfortable entering responses, have the respondent tell you the answers

he/she wants you to enter into the computer. If possible, sit where you cannot directly see the screen to enter the responses or if you must sit beside the respondent, consider covering the screen with a piece of paper or lowering the display slightly to protect their privacy.

- **Physically impaired respondent**. If the respondent is not able to enter the responses into the computer because of a physical limitation, then he/she can either wear the headphones to listen to the questions or read the questions him/herself from the computer screen. Again, the respondent tells you the answer he/she wants you to enter into the computer.
- **Deaf respondent.** In the case of a deaf respondent, the only deviation from the standard procedures in the ACASI portion is that the headphones are not used. In order to participate, a deaf respondent must be able to read.
  - First, hand the Introduction and Informed Consent script from the Showcard Booklet to the respondent to read.
  - For the first CAPI questions, sit beside the respondent and enter the responses for him/her after the respondent has read the screen and given you an answer.
  - For the introduction to the respondent practice questions, point out the keys on the laptop to the respondent.
  - The procedures for the ACASI modules will be just like any other respondent who chooses to read the screens rather than listening through the headphones. Move to where you cannot see the respondent's answers for this part of the interview and turn down the headphone volume to prevent others from hearing the questions if needed.
  - For the back-end demographics section, once again sit beside the respondent and enter the responses for him/her after the respondent has read the question and the Interviewer Notes on each screen. It may be necessary for you to communicate with the respondent on paper if he/she has questions or if you need to probe.

You should *never*, under any circumstances, read the questions in the ACASI portion of the interview out loud to the respondent. This would be a major breech of study protocol, and the case could not be included in the analysis—so, despite the best of intentions, you would have wasted your time, the respondent's time, and lots of project resources. With the ACASI recording of the sensitive questions, there is no need for the interviewers ever to read these questions. Consequently, the protocol states that doing so is in violation of acceptable procedures for the interview and cannot be allowed.

If a physically impaired respondent begins the ACASI section and later decides that it is too difficult to finish on his/her own, you should give the respondent the option of having you key the answers for him/her, following the procedures detailed above, or coding the case as a final breakoff. If a respondent has physical limitations that prevent him/her from participating even with your help, document this situation and check with your FS.

In all of these cases that deviate from the standard protocol, explain the situation at the end of the interview in the FI Observation questions, add a comment in the ROC in the iPAQ, and discuss with your FS.

Another challenge you may come across is how to interview a respondent with poor or no reading skills. Younger respondents (12-17), respondents whose native language is not English, respondents who cannot read or write, elderly respondents, or those with hearing or vision problems may fall into this category. You may not become aware of a person's inability to read (or write) until you pass the computer to the respondent. The respondent may not tell you he/she cannot read. Instead, he/she may try to hide this

inability by using the excuse about being "too busy" to complete the rest of the interview and ask you to do it instead.

The questionnaire is designed so that you have all the tools you need to assist even the poorest of readers to follow along and enter the answers in the computer. In fact, the computer questionnaire may be easier for nonreaders because using the headphones, they can hear all questions and answer categories read aloud. During the CAPI portion of the interview, you read aloud the appropriate text in the CAI questionnaire (question text and as needed, answer choices including any answers printed on Showcards). The respondent provides the answers for you to enter into the computer. Then during the ACASI, the respondent listens to the questions and types the corresponding number of the answer. Code numbers are associated with each answer category, so you can direct the respondent to the specific number to press if he/she is confused. Studies show that even the poorest of readers can usually recognize and follow along with numbers.

It is critical that these interview administration procedures be followed exactly. The questionnaire is designed for ease of use with poor or non-readers, so it is not appropriate for you to enter any answers in the computer unless your respondent is physically incapable of doing so. It is never appropriate for you to answer questions for a respondent who is capable but simply does not want to take the time or trouble to do so. The respondent-completed ACASI design is key to maintaining the confidentiality of responses. If you have a respondent who resists completing the questionnaire for himself/herself, you must make every effort to explain the purpose of the survey's design, the importance of private and confidential responses, and the fact that this is the procedure you must follow to properly conduct the interview. Here is an example:

> "In order to do my job properly, it is very important that I conduct this interview according to the procedures developed by SAMHSA and by RTI. These procedures ensure that every interview across the entire country is being done the same way—that is, that every respondent is completing his or her own questions. This also ensures the privacy and confidentiality of the answers you give."

If a respondent insists that he/she is too busy at the time of your visit, offer to return at another time when he/she can complete the questionnaire unaided.

At times a respondent, especially a youth, may look to others in the household for an answer or explanation of a question. If this occurs, redirect the respondent to answer the question on their own, whatever it means to them. Explain to the respondent that in order to protect their privacy and maintain the confidentiality of the data, we can't allow assistance from others in the household. Remind the respondent they can also use 'Don't Know' as a response for any question. During the insurance/income questions in the back-end CAPI portion of the interview, a proxy may be used to assist the respondent as needed. However, the proxy should not provide assistance during the other non-proxy sections of the interview.

8.11 Post Interview Procedures

8.11.1 Verification

Once the questionnaire is finished, you must complete the verification process. The Quality Control Forms (see ***Exhibit 8.4***) are printed with English on one side and Spanish on the other. A

form must be submitted for every completed interview, even if the respondent refuses to fill out the form. Do not submit to RTI a form for breakoffs; wait until you finish the entire interview to complete and mail a Quality Control Form.

If the respondent is a 12- to 17-year-old, the Quality Control Form should be completed by a parent (or guardian). Use the steps described below, explaining the process to the parent. If a parent is unavailable (but has given consent for the youth to complete the study), it is acceptable for the 12- to 17-year-old to complete the form. Just remember that the preference is always for a parent/guardian to complete the Quality Control Form for a youth.

The CAI prompts you to enter the QC ID (letter and numbers under the barcode) from the Quality Control Form that you have prepared for the interview. Carefully follow the instructions printed on the computer screen.

To prepare a Quality Control Form:

1. Select a Quality Control Form and enter the QC ID in the laptop when prompted.
2. Prepare the interviewer portion of the form by writing the current date and the **approximate** interview completion time, circling a.m. or p.m.
3. Carefully copy the Case ID from the iPAQ to the appropriate boxes at the bottom of the form. Be sure to enter the correct letter, either A or B.
4. Print your first and last name and FI ID # in the FI portion (the bottom half) of the form.
5. If the respondent is a 12-17 year old, you also need to complete the box in the bottom right corner to indicate which adult gave permission for the interview.

   NOTE: Steps 2-5 should be completed during the ACASI portion of the interview.
6. Read the instructions to the respondent or the parent/guardian of a youth respondent, providing the prepared Quality Control Form, postage-paid envelope and a pen. Have the respondent/parent print his/her home telephone number and address on the form.
7. Ask the respondent/parent to put the Quality Control Form into the envelope and seal it.
8. Mail the envelope containing the Quality Control Form within 24 hours.

If the respondent/parent refuses to complete the Quality Control Form, you must:

1. Select a Quality Control Form and enter the QC ID in the laptop.
2. Prepare the form as you normally would by completing steps 2-5 above. Note that these steps should be completed during the ACASI portion of the interview.
3. Ask the respondent/parent to write “refused” on the Quality Control Form, place it in the QC envelope and seal it.
4. Mail the Quality Control Form to RTI in the postage-paid envelope within 24 hours.

Exhibit 8.4 Quality Control Form

T90-1110

VERSIÓN EN ESPAÑOL AL REVERSO

NOTICE: Public reporting burden (or time) for this collection of information is estimated to average 2 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to SAMHSA Reports Clearance Officer, Paperwork Reduction Project (0930-0110); Room 8-1099; 1 Choke Cherry Road, Rockville, MD 20857. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0110.

OMB No.: 0930-0110

QUALITY CONTROL FORM

As part of our quality control program, we plan to contact a portion of the survey participants to make sure that the interviewer has followed the study procedures. We only ask general questions—no specific information is required. We sincerely appreciate your cooperation.

Please fill in the boxes below. (PLEASE PRINT CLEARLY.) **Thank you.**

[Your phone number will be kept confidential and will not be released to anyone other than our quality control representatives.]

TELEPHONE NUMBER				–				–				
	(Area Code)				(Telephone Number)							

YOUR ADDRESS	

CITY		STATE			ZIP CODE					

BOXES BELOW MUST FIRST BE COMPLETED [IN INK] BY INTERVIEWER.

TODAY'S DATE	0	5	–	1	8	–	1	1	TIME	0	6	:	3	0	AM (PM)

FI NAME	Rachel Interviewer	FI ID #	1	2	3	4	5	6

CASE ID #	0	H	0	4	2	0	–	0	–	1	3	2	–	A	Include A or B!

IF respondent is 12 - 17 years old, which adult granted permission for the interview? → (Examples: father, mother, etc.)	mother [Print Parent/Guardian's relationship to the child in this box.]

The Data Quality staff at RTI who deal with the Quality Control Forms offer the following reminders:

- Do NOT use a Quality Control Form you have already reported for another case, even if the first respondent left it blank.
- For households with 2 respondents, keep the Quality Control Forms for the A and B cases separate. Each respondent/parent should complete the top portion of the appropriate form, placing it in a separate envelope and sealing it.
- Pink Quality Control Forms from training sessions are not acceptable—the CAI interview program is programmed to reject all training QC IDs.
- Carefully enter the QC ID into CAI, entering the letter and numbers including the dash. Complete this task **before** you hand the form to the respondent.
- Likewise, carefully record the correct Case ID number on the actual Quality Control Form for the interview case. Be sure to include an A or B.
- Interviewers are only to complete the bottom of the form. Respondents/parents complete the upper portion, including the address. Respondents/parents are also to place the completed form in the envelope and seal it, not you. These procedures are in place to stress confidentiality and must be taken seriously.

8.11.2 Incentive Payment Procedures

You are responsible for providing a cash payment of $30 to each respondent who completes an interview when directed by the computer to do so. Only pay the respondent while you are on the INCENT01 screen, not at any other time. Once you finish explaining the Quality Control Form to the respondent, the CAI displays the instructions for the incentive payment. Procedures are as follows:

- Hand the respondent the cash.
- Record the Case ID on the Interview Payment Receipt (see ***Exhibit 8.5***). Be sure to include the A or B. (This step can be completed during the ACASI portion, but it is important that you do not sign the form or mark the payment acceptance ahead of time.)
- Sign and then date the receipt. To maintain a professional and trustworthy manner, it is important to sign at this time in front of the respondent and only after the respondent has received or declined the incentive payment. (Hint: Since you give a pen to the respondent to complete the Quality Control Form, it helps to have a second pen available for you to sign and date the receipt.)
- Mark the appropriate box indicating the respondent either accepted or declined the cash payment.
- Give the respondent the top copy.
- Read the script on the CAI screen to the respondent, which explains the incentive and also mentions the two national hotline numbers printed at the bottom of the form for respondents who wish to talk with someone about mental health or drug use issues.
- Mail the yellow copy to your FS along with the calendar in your regular weekly shipment. Keep the pink copy for your records.

If the respondent refuses to accept the money, you must mark the appropriate box on the Interview Payment Receipt. Some respondents may ask you to donate the money to a charity instead of accepting it. You cannot donate the money to a charity for a respondent. Instead, encourage respondents to accept the cash and donate it to their favorite charity themselves.

The incentive payment procedures direct you to give the incentive money to the respondent, regardless of whether he/she is a minor, at the completion of the interview. However, if the parent of a 12-17 year-old respondent refuses to let you give the incentive directly to the minor, you should give the incentive to the parent. This should be a rare occurrence, but if the parent is adamant that the minor not receive it, then you should give the money to the parent rather than causing a hostile or potentially dangerous situation.

If not done previously, the incentive process also instructs you to give adult interview respondents and parents or guardians of youth respondents a Q&A Brochure and read the scripted text shown in parentheses. Every adult interview respondent and parent or guardian of a youth respondent must receive a copy of the Q&A Brochure during the screening or interview. You are not required to give youth respondents a copy of the brochure, only the parent or guardian. However, if a youth respondent would like a brochure, you may give them a copy at this time or provide one along with the Certificate of Participation at the end of the interview.

If you are unsure whether you have given the adult respondent or parent a Q&A Brochure beforehand, provide another copy. If the parent or guardian has given explicit permission to interview the youth without a parent present, then you must give them a Q&A Brochure when you obtain parental permission for the interview.

Exhibit 8.5 Interview Payment Receipt

Interview Payment Receipt

United States Public Health Service
and
Research Triangle Institute
thank you for participating in the 2011 National Survey on Drug Use and Health.

In appreciation of your participation in this important study, you are eligible to receive a $30 cash payment.

Since maintaining the confidentiality of your information is important to us, your name will not be entered on this form. However, the interviewer must sign and date this form to certify you received (or declined) the cash payment.

Rachel Interviewer	5/18/11	0 H 0 4 2 0 0 1 3 2 - A
Interviewer	Date	Case ID

☒ Accepted Cash Payment ☐ Declined Cash Payment

If you ever feel that you need to talk to someone about mental health issues, you can call the National Lifeline Network. Counselors are available to talk at any time of the day or night and they can give you information about services in your area.

1-800-273-TALK or 1-800-273-8255
1-888-628-9454 (Spanish)
http://suicidepreventionlifeline.org/

If you ever feel that you need to talk to someone about drug use issues, you can call the Center for Substance Abuse Treatment's national referral service. This is a 24-hour service that will help you locate treatment options near you.

1-800-662-HELP or 1-800-662-4357
1-800-487-4889 (TDD)
1-877-767-8432 (Spanish)
http://findtreatment.samhsa.gov

Disposition: Top copy to Respondent, yellow to Field Supervisor, pink to Field Interviewer.

8.11.3 Field Interviewer Observation Questions

While the respondent is completing the Quality Control Form, answer the series of questions in the laptop about how you felt the interview went, providing details about the situation. The questions ask your opinion about the levels of respondent understanding, cooperation, and privacy. They also ask about the respondent's experience with the interview itself. You are also given the opportunity to make any notes or comments that may help analysts understand the situation or the respondent. Do not feel you have to enter a note; only add notes that truly clarify a given situation.

When considering privacy, the only two people who should be in the room are you as the interviewer and the respondent. Use these questions to record any *other* persons (not pets!) who were present or listening to the interview. Keep in mind the following exceptions:

If a **proxy respondent** is used during the income/ insurance questions, this **does not cause a breach of privacy** unless the proxy is present during non-proxy sections of the interview.

If an **observer** accompanies you during the interview, this is **not a breach of privacy** as the observer is a member of the project staff. Do not count observers as being present or listening to the interview.

The FI observation questions are listed in ***Exhibit 8.6***.

Exhibit 8.6 FI Observation Questions

FIDBFINTR DO NOT READ THIS TO R.

These questions are for you to answer without input from the respondent. DO NOT READ ANY OF THESE QUESTIONS OUT LOUD. Use your own impressions of the interview to answer these questions - not the respondent's.

FIDBF01 Did you conduct this interview at the respondent's home - either inside or outside?

1 YES
2 NO

FIDBF02 [If no] Where did you conduct this interview?

1 AT THE RESPONDENT'S WORKPLACE
2 AT THE HOME OF THE RESPONDENT'S RELATIVE OR FRIEND
3 IN SOME TYPE OF CONFERENCE ROOM IN A RESIDENCE HALL, SCHOOL OR APARTMENT COMPLEX
4 AT A LIBRARY
5 IN SOME TYPE OF COMMON AREA, SUCH AS A LOBBY, HALLWAY, STAIRWELL, OR LAUNDRY ROOM
6 SOME OTHER PLACE

FIDBF02S [If some other place] Where did the interview take place?

_____ [ALLOW 75 CHARACTERS]

FIDBF04C Please estimate for how much of the ACASI interview the respondent had their headphones on.

0 NONE/ R TOOK HEADPHONES OFF IMMEDIATELY
1 LESS THAN HALF OF THE ACASI INTERVIEW
2 ABOUT HALF OF THE ACASI INTERVIEW
3 MORE THAN HALF OF THE ACASI INTERVIEW
4 ALL OF THE ACASI INTERVIEW

FIDBF05 Estimate the respondent's understanding of the interview.

1 NO DIFFICULTY - NO LANGUAGE OR READING PROBLEM
2 JUST A LITTLE DIFFICULTY - ALMOST NO LANGUAGE OR READING PROBLEM
3 A FAIR AMOUNT OF DIFFICULTY - SOME LANGUAGE OR READING PROBLEM
4 A LOT OF DIFFICULTY - CONSIDERABLE LANGUAGE OR READING PROBLEM

FIDBF06 How cooperative has the respondent been?

1 VERY COOPERATIVE
2 FAIRLY COOPERATIVE
3 NOT VERY COOPERATIVE
4 OPENLY HOSTILE

Exhibit 8.6 FI Observation Questions (continued)

FIDBF07 Indicate on this scale from 1 through 5 how private the interview was. Please do not count yourself as another person in the room.

1 COMPLETELY PRIVATE - NO ONE WAS IN THE ROOM OR COULD OVERHEAR ANY PART OF THE INTERVIEW
2 MINOR DISTRACTIONS – PERSON(S) IN THE ROOM OR LISTENING LESS THAN 1/3 OF THE TIME
3 PERSON(S) IN THE ROOM OR LISTENING ABOUT 1/3 OF THE TIME
4 SERIOUS INTERRUPTIONS OF PRIVACY MORE THAN HALF THE TIME
5 CONSTANT PRESENCE OF OTHER PERSON(S)

FIDBF08 [If not completely private] Not including yourself, other people present or listening to the interview were . . .

TO SELECT MORE THAN ONE CATEGORY, PRESS THE SPACE BAR BETWEEN EACH CATEGORY YOU SELECT.

1 PARENT(S)
2 SPOUSE
3 LIVE-IN PARTNER/BOYFRIEND/GIRLFRIEND
4 OTHER ADULT RELATIVE(S)
5 OTHER ADULT(S)
6 CHILD(REN) UNDER 15
7 OTHER

FIDBF09 [Other specify] You have indicated that there was some other person present or listening to the interview. Please use the keyboard to type a description of the other person.

_____ [ALLOW 50 CHARACTERS]

FIDBF11 How often did this respondent let you know what his or her answers were as he or she completed the ACASI portion of the interview?

1 NONE OF THE TIME - I DO NOT KNOW WHAT ANY OF THE ANSWERS ARE
2 A LITTLE OF THE TIME - I KNOW WHAT A FEW OF THE ANSWERS ARE
3 SOME OF THE TIME - I KNOW WHAT SOME OF THE ANSWERS ARE
4 A LOT OF THE TIME - I KNOW WHAT A LOT OF THE ANSWERS ARE
5 ALL OF THE TIME - I KNOW WHAT ALL OF THE ANSWERS ARE

FIDBF12 Please note anything else you think would be helpful for the interpretation and understanding of this interview.

If there is nothing you wish to note, simply press [ENTER] to continue.

_____ [ALLOW 250 CHARACTERS]

FIEXIT End of interview reached.

PRESS 1 TO EXIT.

8.11.4 Packing up the Equipment

Pack up the computer equipment by doing the following:

- gently close the screen display until you hear a click
- unplug the parts of the power cord (from the computer first then from the wall plug)
- unplug the headphones and dispose of the covers
- carefully place the laptop in the open carrying case
- carefully wrap up the power cord parts, the extension cord, and the headset and place them in the carrying case
- zip the carrying case shut and you're ready to go.

Remember to pack up the Showcard Booklet, reference date calendar, and any other papers and put them in your carrying case. And don't forget the iPAQ!

8.11.5 iPAQ ROC

Remember to update the iPAQ ROC with the final interview code (70). Do this before or as you are leaving the DU. Do not enter the 70 in the iPAQ until the interview has been completed. It is always possible that you could have a breakoff unexpectedly and while you could edit the code before transmission, it is easier to record the code correctly the first time than to have to edit and then re-enter the correct code.

8.12 Thank the Respondent

Be sure to sincerely thank the respondent for spending time with you and for contributing to the success of this important national study. Do your best to leave the respondent feeling very positive about the interview.

And now congratulate yourself for a job well done!

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REVIEW OF CHAPTER 8

The NSDUH Interview

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- The CAI interview is administered using two different methods: CAPI and ACASI. During the CAPI portions, you read questions from your computer screen and record the respondent's answers. The sensitive questions appear during the ACASI segment—the respondent listens to and/or reads the questions and records the answers in private.

- To ensure high quality data, the NSDUH interviews must be standardized. In other words, every interviewer must administer every questionnaire to every respondent in the same way. Using questionnaire conventions and CAPI rules make standardization possible.

- To ensure that answers given by the respondent are as accurate and complete as possible, we use a technique called probing. Probing can help the respondent understand the questions and also help you in obtaining a clear response. Correct probing NEVER suggests answers to the respondent.

- During the interview, you show the respondent Pillcards and Showcards to serve as helpful visual aids. In addition, you complete a reference date calendar which helps the respondent better consider dates and periods of time.

- If you encounter respondents who are physically or mentally impaired, use sensitivity and good judgment to determine whether or not they are capable of participating in the study. In situations where the respondent is physically incapable of completing the interview, it is acceptable for you to help complete the ACASI portion of the interview. With the respondent listening to the audio, you will record the answers as provided by the respondent. This is the ONLY situation where you are allowed to complete the ACASI questions.

- After completing the interview, the respondent completes a paper Quality Control Form as part of our quality control procedures. The Interview Payment Receipt is your tool to document the giving of the cash payment to the respondent at the end of the interview.

QUESTIONS TO ASK YOURSELF

1. Match the formatting of the text below with the proper interviewer use of the text.

_____	**black text**	**a. optional text**
_____	**(black text in parentheses)**	**b. FI notes—do not read**
_____	**text in blue**	**c. required text**
_____	**TEXT IN ALL UPPERCASE LETTERS**	**d. text to emphasize**

2. Answer these True / False questions.

   T F You are never allowed to suggest answers.

   T F If the R interrupts you, you still must read the entire question.

   T F If you think an R may not know a certain word, it is permissible to replace a word to help the R understand.

   T F If the R asks you for your opinion, you are allowed to give it.

3. If, after reading a question to the respondent, he appears to have misunderstood or misinterpreted it, what probe would you use?

4. If you mistakenly enter the wrong answer, how can you go back to the previous question?

5. What key is pressed if a question is refused?

6. Is the set of questions about tobacco administered using CAPI or ACASI?

7. What will you record at the top of the reference date calendar?

8. What does the result code 70 mean? When should you enter it in your iPAQ?

9. DOCUMENTING AND REPORTING PROCEDURES

9.1 Introduction

The documentation and reporting of field activities you provide is used to closely monitor the ongoing NSDUH data collection. There are a number of ways you document and report field activities, through:

- Record of Calls. The actions you take to complete screenings and interviews are documented in the Record of Calls on your iPAQ (see ***Section 6.6)***.
- CAI Manager. The CAI Manager on the laptop displays all breakoff and completed interviews and the status of their transmission to RTI (see ***Chapter 5*** of the ***FI Computer Manual***).
- Data Transmission. Screening data, screening and interview result codes, Record of Calls information, verification for noninterviews, refusal report data, and weekly PT&E (Production, Time & Expense) summary statistics are all transmitted from your iPAQ through the laptop to RTI, and CAI data are transmitted from your laptop to RTI (see ***Chapter 6*** of the ***FI Computer Manual***).
- Conference Calls. You and your FS will have scheduled conference calls at least once each week (see ***Section 9.4***).
- ePTE. Each week you will submit your electronic Production, Time and Expense report (ePTE). In the event of computer problems, paper PT&E reports serve as a backup and must also be submitted weekly (see ***Chapter 11***).
- Mailings. Each week you will mail your completed reference date calendars and Interview Payment Receipts to your FS (see ***Section 9.5***)
- PT&E Summary. Enter totals each week from your ePTE into the PT&E Summary Data Report in the iPAQ (see ***Section 9.3***)

9.2 Transmissions from the Field

Each day you work, transmit screening and Record of Calls data from the iPAQ and any interview data from your laptop to RTI. Project staff closely monitor all daily transmissions and production data reports. Occasionally, your FS may request that you transmit on a certain day even if you did not work. Additionally, if there are periods where you are not working, you should still transmit from the laptop regularly to receive any messages sent to you. Your FS will provide information about how often to check for messages. For more details about the logistics of transmitting, see ***Chapter 6*** of the ***FI Computer Manual***.

9.3 Entering Weekly PT&E Summary Data in iPAQ

Project managers generate a variety of weekly reports that incorporate production totals, PT&E summary data, and response rates. Each workweek begins on Sunday and ends on Saturday. It is important that you complete your ePTE report as explained in ***Chapter 11***, and enter your Hours, Miles and Expense totals into the iPAQ as you finish up your week on Saturday. You have until **10:30 p.m. each Sunday night** (Eastern Standard Time), to transmit this data from your iPAQ. Weekly reports are generated early on Monday mornings, so your weekly production and PT&E summary data are needed on time for the reports to be complete. Headway makes payment from the ePTE reports you submit electronically to your FS, not from the transmitted summary totals. Your ePTE reports must also be transmitted by 10:30 p.m. (EST) on Sundays.

The transmitted summary PT&E data are the basis for several reports, so accuracy is important. Your FS compares transmitted summary PT&E data to your submitted ePTE and will discuss any discrepancies with you. These entries should be identical unless you are working on travel status. When preparing your iPAQ summary data for work completed on travel status, include any expenses billed directly to RTI, such as lodging, car rental, and airfare.

It may seem to be extra work to enter the summary information when electronic production, time and expense reports are also submitted. However, the iPAQ summary data are very important for several reasons:

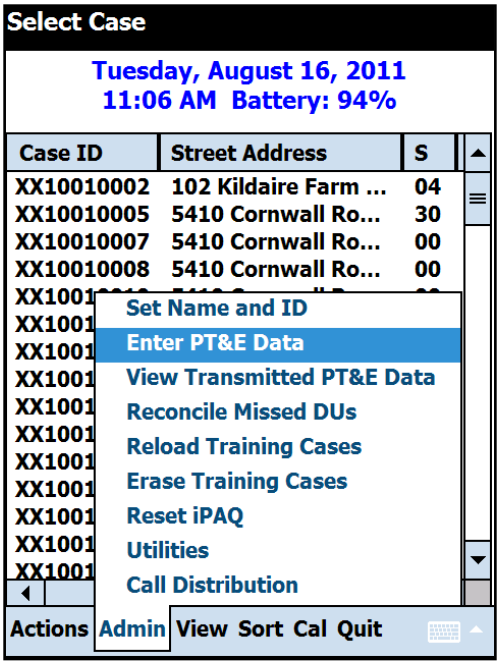
- Management reports are generated first thing Monday morning based on the iPAQ summary information, several days ahead of the ePTE approval schedule, and weeks ahead of any paper PT&E processing. These reports provide project managers with detailed, current information.
- Direct billed travel expenses are included in the iPAQ summary data while they are not reported on the ePTEs. This increases the accuracy of the management reports.
- The iPAQ summary data can be compiled in a number of ways by supervisor, region, and by quarter of data collection, while ePTEs cannot be easily separated by quarter or by FS area.

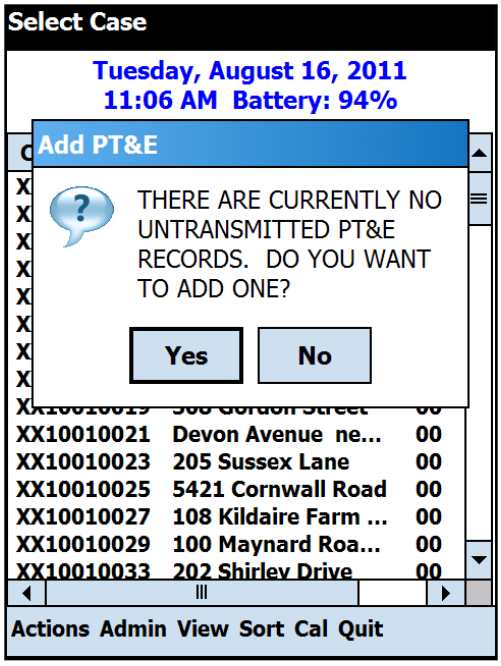
Because you are entering weekly totals from your completed ePTE report and not daily totals, you must wait until you have finished your workweek before entering the summary data into your iPAQ. The iPAQ program reminds you to enter PT&E summary data if you transmit on a Saturday or Sunday since the deadline is 10:30 p.m. on Sunday. However, the iPAQ lets you enter the data on any day of the week in case you need to transmit PT&E summary data on a day other than Saturday or Sunday because your workweek ended before then. For example, if you finished your workweek on a Thursday (and did not plan to work Friday or Saturday), you could enter your PT&E summary data on Thursday. For most weeks, however, you will enter it on Saturday night or Sunday.

To enter PT&E summary data:

1. Prepare your ePTE for submission so you have your total hours, miles, and expenses for the week. If working on travel status, include in the iPAQ summary totals any expenses billed directly to RTI, such as lodging, car rental, and airfare.

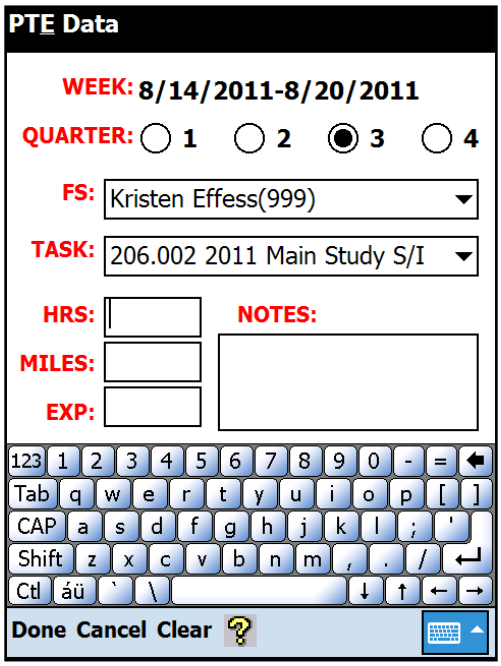
2. On the iPAQ, start at the **Select Case** screen. Tap on **Admin**, then tap **Enter PT&E Data**. The iPAQ asks if you want to add a record. If you arrived at this screen in error, tap **No**, which takes you back to the **Select Case** screen. To enter a record, tap **Yes**.





3. The **PT&E Data** screen prefills the PT&E WEEK information. You cannot change this. You are only allowed to enter PT&E totals for the current workweek (or if you are entering it on Sunday, the most recent workweek). If you fail to enter this data, your FS must enter it the following week on the management Website. However, the weekly reports will be inaccurate due to this omission, so it's a very important task!

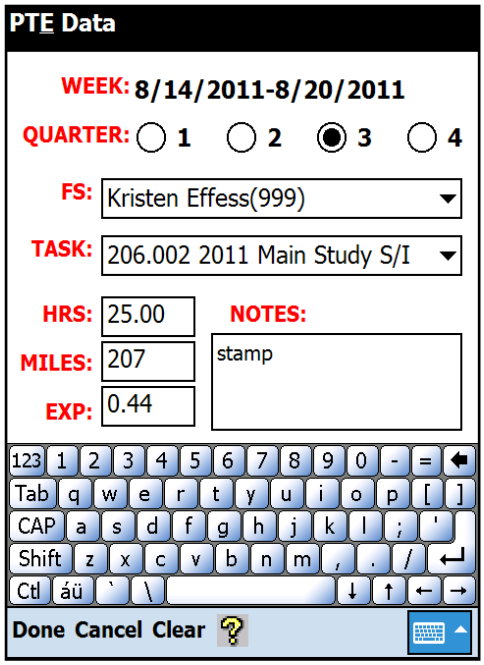
4. Check to see that **the correct quarter is selected**. You will need to separate PT&E charges for a week that spans two quarters and prepare two separate iPAQ summary reports. For example, for the week in which Quarter 3 changes over to Quarter 4, the hours worked in September need to be assigned to Quarter 3 while the October hours should be assigned to Quarter 4. Prepare only one ePTE report for the week, then divide those totals by quarter into the two separate iPAQ summary reports.



5. If your FS NAME is not displayed, tap the **down arrow** to the right of the FS box and a drop-down list of FS names appears. Tap on your **FS's name**. If your FS manages two states, be sure to select the appropriate FS name and state.

   In some situations, it is possible that you could work for two FSs in a given week. In this case, you would need to enter two PT&E summary records, one for your FS and one for the other FS. If you work for another FS, you need to enter the total hours, miles, and expenses you worked in the other area under that FS's name. This ensures the correct assignment of the cost of data collection.

   Also, you may be on travel status for your FS and also complete work for your FS that same week while not on travel status. In this situation, you must complete two separate ePTE records for your FS—one for travel work and one for non-travel work. Your iPAQ PT&E summary data for the week would include the totals from both ePTE reports plus any direct billed expenses incurred while traveling.

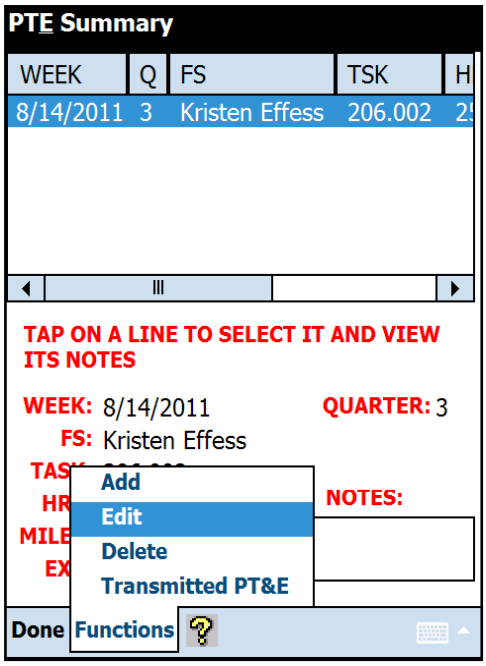


6. The TASK NUMBER displays as 206.002 for 2011 Main Study screening and interviewing. Your FS will notify you when/if you should use a different task number.
7. To enter total hours, tap the **HOURS** field to make it active. Using the keyboard at the bottom of the screen, tap the digits for your total hours, using the decimal point as necessary. Use the backspace arrow (in the top right corner of the keyboard) to back up and delete an incorrect entry.
8. Continue by tapping the **MILES** field and entering the total number of miles driven during the week.
9. To enter any miscellaneous expenses incurred during the week, tap the **EXP** field and use the keyboard, entering only the number and a decimal point. A dollar sign is not required.
   - If you had expenses, you must enter a note explaining the expenditure(s). Tap in the **NOTES** field, then use the keyboard to type the note.
   - If working on travel status, include any expenses billed directly to RTI, such as lodging, car rental, and airfare.
10. Review your entries, correct any errors, then tap **Done**.
11. Other options offered on this screen are:
    - **Cancel** erases the data shown and exits the PT&E summary program. A pop-up box appears to **verify** that you meant to cancel the entry of the record.
    - **Clear** clears the response in the category selected. You will see a blinking line (the cursor) in the box of the selected category. Tapping Clear deletes the entry for that category. The cursor stays in that field's box so you can enter the correct data.

12. Once you tap **Done**, you are asked if you need to enter PT&E data for another task or FS. Tap **No** (unless you have worked for two different FSs during the week.)

13. **PT&E Summary** also allows you to view the totals you have entered and update them prior to transmitting. Once you transmit, you cannot make corrections. Your FS must update your transmitted PT&E summary data through the management website. To save yourself and your FS time, please take time to enter accurate information, and enter it carefully.

    - To edit an entry, tap the **line of the record** that needs correcting. Then, tap **Functions**, then **Edit**. The **PT&E Data** screen displays again, allowing you to clear any incorrect responses and enter correct ones.
    - To add another record, tap **Functions**, then **Add**.
    - To delete an erroneous record, tap the **line of the record** to delete. Then, tap **Functions**, then **Delete**. A pop-up box asks you to confirm that you want to delete the record. Tap Yes or No as appropriate.
    - You can also view already transmitted PT&E records from this screen by tapping **Functions**, then **Transmitted PT&E**. This comes in handy if your FS notices a discrepancy with your data. Refer to this screen to see what you entered.



14. Tap **Done** to exit to **Select Case**.

15. If you begin the transmission process (described in ***Chapter 6*** of the ***FI Computer Manual***) on a Saturday or Sunday, and you have not yet entered your PT&E summary data, you are asked if you want to do it before you transmit. These prompts are designed as helpful reminders.

The above text explains in detail how to perform the steps to enter your PT&E summary data. As your comfort level using the iPAQ increases, a summary of these steps as shown in the chart in ***Exhibit 9.1*** may help you enter accurate, timely information. Be mindful that the **quality** of your entries is very important. Please take time to be sure your totals are accurate, then enter the data into the iPAQ summary and transmit to RTI before Sunday at 10:30 pm.

If you have any questions about entering your PT&E summary data, contact your FS.

Exhibit 9.1 Summary Steps for Entering iPAQ PT&E Summary Data

PT&E Data Item	Information Source	Tips
PT&E WEEK	Filled automatically	Week is correct if completed before Sunday evening deadline. If you miss the deadline, you must call your FS to provide the information verbally so they can enter it for you.
QUARTER	Filled automatically	The vast majority of the time, this entry is easy. However, 4 times a year you must divide your PT&E data between 2 quarters for the workweek that begins during the last week of each quarter. For example, when preparing entries for the workweek that begins on September 25, 2011, use your calendar to see which days of that workweek week belong in September and which in October. From your one regular ePTE report, calculate the totals for September and the totals for October. Then prepare **two** separate iPAQ PT&E summary entries, one for Quarter 3 (September totals) and one for Quarter 4 (October totals).
FS NAME	Regular FS Name is default so it displays automatically	If you work for another FS, you must track your work separately and complete 2 ePTE reports and also 2 iPAQ summaries, one for your regular (main) FS and one for the other (often referred to as 'borrowed') FS. If you work for your FS some on travel status and some NOT on travel status, you will track your work separately and complete 2 separate ePTE reports, but the totals must be combined into one iPAQ summary.
TASK	Filled automatically	Default for 2011 is 206.002.
HRS	TOTAL from ePTE	When finished with your ePTE report, note the total hours. Make careful entries.
MILES	TOTAL from ePTE	When finished with your ePTE report, note the total miles.
EXP	TOTAL expenses from ePTE **PLUS** any paper Headway Expense Report totals **PLUS**, if on travel status, any expenses billed directly to RTI such as hotel, airfare, car rental	This is the **one place** all expenses from all sources are totaled and reported for project management reports. You must include **all** expenses, not just the total expenses from your ePTE report. Be careful to make accurate entries. If you have questions, ask your FS.
NOTES	Enter notes for expenses	Explain any expenses incurred.

9.4 Conference Call with Field Supervisor

Another crucial way you document your work is in your regularly scheduled telephone conference call to review the status of your assignment with your FS. Your FS will schedule a set time with you for this conference call. Be prepared and ready at your scheduled time. Your FS has many conferences scheduled and needs to start each call on time to maintain the schedule. Be considerate of your FS and your fellow interviewers. If you cannot make a scheduled conference, contact your FS as soon as the conflict arises to see when you can reschedule the call.

The next few sections cover types of issues you need to discuss with your FS.

9.4.1 Status of All Cases

During your call, you will discuss production up **through the day before your call**. Have your iPAQ turned on to the **Select Case** screen to view the current status of your cases. Each evening after all transmissions have occurred, the RTI computer processes all the data and iPAQ ROC information. This processing involves the creation of detailed reports which are available to all supervisors on the project Website. Your FS, with a few clicks of the computer mouse, can view your work history on any specific case, noting when you went to the unit and the result code you entered. This is the same information you have on your iPAQ. While the two of you view the same detailed information, you can discuss your experiences in the field, plans for converting refusal cases, ways to improve data quality, and production issues, etc.

9.4.2 Noninterview/Refusal Cases

Discuss all potential noninterviews with your FS. Use the "Sort" option on the **Select Case** screen to easily find all cases with particular result codes (see ***Section 6.4.2***). For example, if you encountered a neighborhood with many initial screening language barriers, you can sort by the code (05 or 06) to see all the cases affected. For other potentially difficult situations, such as controlled access issues, use the notes entered in the ROC and in the Other, Specify fields to discuss the case with your FS. For refusals, use the completed iPAQ Refusal Report and any comments you entered as you discuss each situation with your FS and assess the possible circumstances that resulted in the refusal or unwillingness to cooperate (see ***Exhibit 5.7*** for refusal reason codes). Letters can be sent for refusals with identified, non-situational reasons.

During transmission to RTI, the refusal data from your iPAQ is transmitted as well. The control system automatically submits a refusal conversion letter request unless you indicate the refusal is situational (i.e., ill, house too messy) or you check "Need to discuss with FS" on the Refusal Report. By indicating you need to talk with your FS, you are effectively placing the refusal letter request "on hold." Otherwise, the day after transmission, your FS will see the refusal report on the Website and will either release your refusal letter(s) for printing and mailing or not release the letter(s) until talking to you. Once a letter has been sent you can see that from the ROC screen, tap **Functions**, then **View Letters**. (This View Letters option is only available after a letter has been sent.)

During the call, you and your FS can decide the best follow-up approaches for refusals, which may include changing the time of day you visit the household, transferring the case to another interviewer with different characteristics, etc. After you and your FS have discussed the case in detail, he/she will recommend appropriate follow-up action.

9.4.3 Problems Encountered During the Week

During your conference call, give your FS details about the problems you have encountered and any special circumstances you expect. Your FS will discuss strategies for dealing with potential problem areas or cases. These problems could include refusals, language barriers, locating problems, controlled access situations, transferred cases, and so on. You should also discuss any technical problems you have experienced with your equipment.

9.4.4 Problems with Quality of Work

You should also discuss with your FS any questions or doubts you have concerning your understanding of the project materials or any project procedures. In turn, your FS will bring to your attention any problems identified while reviewing or verifying your work.

9.4.5 Production, Time and Expense Information

Your FS will want to review your ePTE information and discrepancies, if any, between your ePTE and the PT&E Summary information on the iPAQ. Discussions may also include reviewing expectations for hours worked and expenses charged as related to project budgets.

9.4.6 Production in Relation to Project Goals

To properly plan your workload, you must have a clear picture of the scope of your assignment, project deadlines and production goals. Your FS will help you establish production goals that satisfy your needs and meet necessary project deadlines. It is beneficial to both you as an interviewer and to RTI if you are realistic and straightforward about your goals and expectations when discussing your planned workload with your FS.

9.4.7 Plan for Next Week's Workload

Share with your FS your plan for the upcoming week's workload. He/she will help you refine your plan to meet specific individual and project goals. As discussed in ***Chapter 4***, planning your work in advance increases efficiency and decreases costs. Therefore, when planning the next week's workload, you and your FS should discuss the location of your cases, any anticipated need for an escort, any anticipated travel problems, any unusual expenses you might incur, or any anticipated scheduling problems. NSDUH policy requires that any overtime charges be approved in advance. If you anticipate working more than 40 hours in a given workweek, you must have prior FS approval.

9.5 Reporting Summary

The following summarizes the reporting requirements for the NSDUH. If any point is unclear, discuss it with your FS:

1. **Daily computer transmissions (on days you worked)**
   - Completed screening data and current ROC events as well as interview data for any completed interviews
2. **Daily documenting (on days you worked)**
   - Complete ePTE entries for the day on a working copy
3. **Weekly computer transmissions**
   - PT&E Summary Data (entered in iPAQ) — by 10:30 p.m. (EST) Sundays
   - Submit ePTE (entered in laptop) — by 10:30 p.m. (EST) Sundays
4. **Weekly telephone conference with FS discussion topics:**
   - Status of assigned cases
   - Noninterview/Refusal cases
   - Problems encountered during the week
   - Data quality items
   - Feedback on work completed
   - Review iPAQ PT&E summary entries, ePTE reports submitted
   - Production in relation to project goals
   - Plan for next week's workload
   - Equipment problems
   - Request supplies if necessary.
5. **Mail shipments**
   - On a **weekly** basis, mail to your FS:
     - Completed reference date calendars with the Case IDs recorded on them,
     - Copies of completed Interview Payment Receipts,
     - If needed, completed Headway Expense Reports with attached receipts (see ***Chapter 11*** for details), and
     - Any backup paper PT&Es completed due to computer or other problems with attached receipts (see ***Chapter 11*** for details).
   - Mail to RTI: Mail completed Quality Control Forms from completed interviews to RTI within 24 hours of the completion of the interview. Use the envelopes provided.

Exhibit 9.2 contains a weekly calendar running Sunday through Saturday. If you wish, use it to record your weekly tasks.

Exhibit 9.2 Weekly NSDUH Tasks

Record your regular, specific weekly tasks, including the day and time of conference call(s).

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
10:30 p.m. (EST) deadline for transmitting iPAQ PT&E Summary and ePTE report from laptop	Deadline for mailing FS calendars, Interview Payment Receipts, and any Headway Expense Reports with receipts attached (or backup paper PT&Es)					

Each day you work:
Transmit data from iPAQ and laptop
Recharge laptop battery
Plug in iPAQ to charge battery (always leave iPAQ plugged in when not in use)
Update ePTE working copy
Mail Quality Control Form(s)

REVIEW OF CHAPTER 9

Documenting and Reporting Procedures

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- The ongoing and accurate reporting of field activities is absolutely vital to this study. There are many ways you provide documentation: ROC, CAI Manager, transmitting data from your iPAQ and laptop, conference calls, and your submitted electronic Production, Time, and Expense reports, including the PT&E summary data on your iPAQ.
- At least once each week, you will have a scheduled conference call with your FS. Many topics are discussed, including the status of all of your assigned cases, the strategies for completing your cases successfully, the plan for the upcoming week, your submitted ePTE, and any problems or concerns you may have.

QUESTIONS TO ASK YOURSELF

1. What information can you see displayed on the laptop CAI Manager?

2. When must you transmit all of your PT&E summary information entered into your iPAQ each week?

3. What is the weekly deadline for submitting your ePTE?

4. What is the task number for the screening and interviewing work that you do on this study?

5. During conference calls with your FS, what materials should you have available?

6. What will you be mailing to your FS on a weekly basis? What will you be mailing directly to RTI?

10. QUALITY CONTROL

10.1 Introduction

Quality control is important at all stages of the data collection process, but nothing affects the quality of the data as much as you do. Your ability, preparedness, and willingness to properly perform your data collection tasks following all project protocols are the most important components of the overall quality control process. This chapter discusses the quality control procedures in place to help you do your best job.

10.2 Staff Training and Assessment

10.2.1 New-to-Project Training

During the New-to-Project FI training session, it is the project staff's responsibility to present you with the information necessary to properly perform your job as an interviewer on this study. This includes detailed training on conducting the screening and the interview, as well as a review of administrative procedures. An essential part of this training involves your hands-on practice—practice using the materials and equipment, completing the screening, conducting the interview, and transmitting to RTI. By the end of the training session, you will have had the opportunity to actively practice the steps involved in being an effective interviewer for the NSDUH. You will also participate in a certification process at the end of training in which you will demonstrate to trainers that you can satisfactorily conduct a basic NSDUH screening and interview according to project protocol.

To make sure you are learning what you need during the training program, project staff and other RTI personnel will monitor your performance throughout the session. They will watch while you conduct your practice cases, complete paired exercises, and so forth. During this time, you should take advantage of the opportunity to ask any questions you might have. Therefore, the purpose of monitoring is two-fold: 1) project staff can evaluate your preparedness, and 2) you have the chance to make sure you are doing everything properly.

Once you have the opportunity to practice and ask questions about the process, the training staff will monitor your performance during the practice exercises and give you prompt feedback. Specific items to be evaluated include:

- explaining the survey and its purpose
- familiarity with the informational materials
- completing the screening process using the iPAQ
- explaining and obtaining informed consent
- setting up the computer equipment
- administering the NSDUH interview using CAI

- reading the questions verbatim, maintaining eye contact, pacing the questions, probing, and other general presentation skills
- following instructions on the computer screen
- resolving inconsistent information
- using function keys (entering comments, keying "don't know," etc.)
- proper completion of the end of the interview tasks
- recording administrative data
- transmitting information to RTI.

This evaluation helps the staff determine how well they have done their job of training you, and to see how well you have done your job of listening and practicing. Evening practice sessions, called Field Interviewer Labs, are available for those who feel they need additional help during training. Trainers and supervisors may request that certain trainees attend these labs for one-on-one practice. All graduates will be mentored by a veteran field interviewer or supervisor. Some graduates may also receive additional on-the-job training or be required to participate in additional practice sessions with their FS.

10.2.2 Veteran Training Sessions

Interviewers who have worked on the study the previous study year are invited to participate in a special Veteran Training program prior to beginning Quarter 1 data collection. During this training, veteran FIs review results of the past year and changes for the coming year, as well as learn ways to continually improve their performance and enhance their skills as professional interviewers.

10.2.3 Ongoing Training

Learning continues throughout the year as FSs use specially developed materials to review procedures with staff to further enhance their understanding of the project procedures. All interviewers have a copy of "Steps to Maximize Data Quality" which reviews the major data collection quality issues (see ***Exhibit 10.1***). This document is always readily available in the Job Aids portion of the Showcard Booklet.

In addition, ongoing training includes field observations. You may be accompanied by a project supervisor as you work. The purpose of such field observations is to ensure the collection of high quality data for our client. These observations are not cause for concern but should be viewed as an opportunity to be sure you are following important study protocols. In order to help you perform your job better, you will receive constructive feedback based on the observer's findings and possibly re-training if needed.

10.2.4 Assessments

Before receiving an assignment, all trainees (both new and veteran) must read and sign an agreement to conduct all field work in accordance with established project protocols.

In addition, periodic assessments of all field staff will determine the level of understanding of project procedures. Staff are given two opportunities to correctly answer each assessment question, and those not achieving an adequate score at the completion of the assessment will be placed on probation and required to complete additional training. Staff completing the assessment in good standing are then approved to continue conducting NSDUH interviews.

10.3 Evaluation of Training Programs

At the close of each interviewer training session, you are asked to complete an evaluation form to assess the training program and materials, the trainers, and the training facilities. Your feedback on the effectiveness of the NSDUH interviewer training program is an important part of letting us know whether or not the training program was thorough and effective. Your evaluation is also used to improve preparations for future NSDUH training sessions.

Trainees completing the New-to-Project training are mentored and subsequently asked to evaluate the mentoring and training programs.

Exhibit 10.1 Steps to Maximize Data Quality

Steps to Maximize Data Quality

This summary is not a replacement for information contained in your FI Manual, but is a listing of some of our most crucial protocols that must be followed. **Be sure that you follow each of these at all times.**

Note the FI Manual pages referenced with each key point. Keep in mind that the below protocols are not the only steps that are necessary to follow. Use your FI Manual, Field Supervisor, and project e-mails for information on additional steps to maximize data quality.

Screening

- **Use your segment maps**, and not just the address, to locate your selected DUs. [FI Manual p. 3-21]
- **Display your ID badge** when knocking on every door in your segment. [FI Manual pgs. 4-14 and 5-1]
- **Complete screenings in-person** with a resident who is 18 or older. The only exception is in the case of emancipated minors. [FI Manual p. 4-15]
- **Give a Study Description to each SR**. [FI Manual p. 4-16]
- Obtain complete and accurate screening information, **reading the screening questions verbatim to the SR** and immediately entering responses into the iPAQ. The only missing screening data should be a result of the respondent's refusal or inability to provide the information. [FI Manual p. 6-15]

Interview

- **Read the CAI Introduction and Informed Consent from the Showcard Booklet** to the R (choosing the appropriate version based on the respondent's age) before beginning the interview. Before speaking with a selected minor, you must obtain verbal parental permission. **If the R was not the SR, give him/her a Study Description.** [FI Manual pgs. 7-22 and 7-23]
- Make it apparent that you are **completing the interview in a completely confidential and unbiased manner**. [FI Manual pgs. 2-6, 2-7 and 8-1]

1

Exhibit 10.1 Steps to Maximize Data Quality (continued)

Interview—continued

- To the extent possible, **choose an interview location that gives the respondent privacy**. [FI Manual pgs. 7-26 and 7-27]
- **Do not rush the respondent**. Do not tell the respondent how to make the interview go faster. [FI Manual p. 8-2 and 8-3]
- Use the **Reference Date Calendar and read verbatim the explanation provided on the CAI screen to the R**. As appropriate, remind the respondent to use the calendar as a visual aid throughout the interview. [FI Manual p. 8-14]
- Familiarize the R with the laptop and function keys by reading the provided script in the CAI Interview and **allow the R to successfully complete the Computer Practice on his or her own**. You must always explain, offer, AND plug in the headphones with each R. [FI Manual pgs. 8-16 and 8-17]
- **Read the interview questions exactly as they appear on the screen**. It is never acceptable to use your own words or 'wing it'. Do not assume you know answers from a previous conversation, question, or interview. [FI Manual p. 8-2 and 8-3]
- **Hand the appropriate Showcard to the respondent** when instructed to do so on the CAI screen. [FI Manual p. 8-13]
- Allow your respondents to complete the ACASI portion of the interview on their own. **Never read the questions in the ACASI portion of the interview out loud to the respondent**. In cases of extreme physical impairment, it may be necessary to enter the answers into the computer for the ACASI questions, but always allow the ACASI recording to 'read' the questions and answer categories via the headphones. [FI Manual pgs. 8-20 through 8-22]
- **Have the respondent fill out the top portion of the Quality Control Form** and allow the respondent to insert the form into the envelope and seal it. Mail the form promptly. [FI Manual pgs. 8-23 through 8-25]
- Always protect the confidentiality of your respondents. **Never reveal a respondent's answers to anyone,** including the respondent's family members. Resist the temptation to reveal even positive information gleaned from an interview to parents or other household members. [FI Manual pgs. 2-6 through 2-8]

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10.4 Screening Edits

Due to the computerized and immediate nature of electronic screening, be extra cautious as you enter the information to be sure you are entering the correct data. When you complete each roster, review the entries with the screening respondent, checking that everything is entered correctly and completely. If there are any omissions or incomplete items, ask the respondent for the missing information.

Once received at RTI, all screening data are edited electronically. Complex computer programs evaluate the data and check to be sure you are conducting the screening correctly. Feedback on any problems noted during the process is given to your FS to share with you.

10.5 Interviewing Edits

Since the majority of the information you collect for NSDUH is entered directly into your laptop computer, the traditional editing of completed hardcopy materials is eliminated. Edits such as checking skip patterns for missing data are performed by the computer software during the interview.

All CAI interview files transmitted to RTI are reviewed electronically. This computer edit of completed interviews is more complex than the edits performed on your laptop in the field. As with screening edits, complex programs evaluate the interview data to ensure you are administering the interview correctly. Again, your FS will share any feedback he/she receives with you.

10.6 Screening/Interview Observations

Your FS and/or your RS may want to observe your work, so you may be accompanied by an observer as you conduct screenings and/or interviews at some time. Other project staff from RTI and SAMHSA occasionally request to observe the interview process as well. If you are to be observed, your FS will notify you. When you arrive at an SDU, introduce the observer and explain that he/she wants to determine how well the data collection process works. If the respondent refuses to allow the observation, you should proceed with the screening and/or interviewing process without the observer.

10.7 Verification

In order to provide continuing feedback to you and to our client, SAMHSA, on the quality and accuracy of cases, your work is subject to an intense verification process. RTI is contractually bound to verify the quality and accuracy of all field work conducted on the NSDUH. We must be certain that all procedures are being implemented properly. Inaccurate or substandard work is very costly to the project, so we must determine if and why it is occurring and take corrective actions. Falsified work is unacceptable under any circumstances and will be reported to RTI's Scientific Integrity Committee. The discovery of any falsified work will result in immediate termination from the project and from any future work with RTI. Additionally, the potential exists for the interviewer to be suspended from all government funded survey work for a period of time. All finalized cases are subject to verification.

10.7.1 Screening Verifications

Verification contacts are made with a random sample of all completed screenings reported as:

- vacant
- not a primary residence
- not a dwelling unit
- residents there less than ½ of the quarter
- no eligible SDU members
- HU/GQU contains ONLY military personnel
- no one selected for interview.

As discussed previously, enter the adult contact person's first name and telephone number at the conclusion of these types of screenings. For the first three types listed, the contact person is typically a neighbor or other knowledgeable adult such as a landlord or a realtor; for the others, it is usually the screening respondent. In all cases, the contact person must be 18 years old or over, and must NOT be a NSDUH staff member. When asking for this information, emphasize it is for verification purposes only; we want to verify the quality of your work, not their information.

10.7.2 Interview Verifications

As discussed earlier, the respondent completes the top portion of a prepared Quality Control Form at the close of each interview. For interviews with a youth respondent, the parent or guardian should complete the form, unless he/she is not available to do so. The completed forms are mailed to RTI.

A random sample of each interviewer's finalized cases are verified with the respondent or, for youth respondents aged 12-17, permission is first obtained from a parent prior to contacting the youth for the actual verification information.

10.7.3 The Verification Process

Screening and interview verifications are conducted by RTI's Call Center Services department. Respondents without telephones are contacted by mail. As needed, supervisors may conduct in-person field verifications to follow-up on verification nonresponse and other problem situations.

During the verification contacts it is inevitable that some discrepancies will arise between a respondent's and the interviewer's account of the same situation. Resolution procedures are then implemented to attempt to settle the issue. Information on any unresolved discrepancies will be given to your FS and your RS to determine the next steps to take.

The verification process is a tool for the NSDUH project staff to monitor not only your performance as an interviewer but also their performance as project trainers and managers. The

information gathered helps the NSDUH staff ensure that the data being collected and delivered to our client are of the highest possible quality. You will receive prompt feedback on your performance and will be notified immediately should any problems arise.

REVIEW OF CHAPTER 10

Quality Control

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- Quality is the backbone of this study and we have strict quality control measures in place at every stage of the data collection process.
- Screenings need to be edited as you are completing them—every piece of information you collect is used in the study analyses. Therefore, every roster should be complete and accurate.
- While administering interviews, the CAI program is continually editing your work for missing data and proper skip patterns and provides immediate feedback if mistakes are found.
- RTI is contractually bound to verify the quality of our field work. All finalized cases, be they screenings or interviews, are subject to verification.

QUESTIONS TO ASK YOURSELF

1. If falsified work is discovered, what happens to the FI?

2. What verification information from the respondent is entered into the iPAQ for screenings where no one is selected for an interview?

3. When interviewing a youth respondent, who should complete the Quality Control Form?

11. ADMINISTRATIVE PROCEDURES

11.1 Introduction

At first, administrative procedures may seem of secondary importance to you as an interviewer on this large and exciting survey. Perhaps you feel that your brain is already full of the crucial information you need to absorb from this manual. However, knowing and following these administrative procedures carefully is of paramount importance to the success of this survey. Sticking to the project's administrative requirements is critical. Not doing so is costly and time consuming and often results in having to repeat tasks already completed. Given a project of this scope and magnitude, these extra costs can add up very quickly. Additionally, administrative information that is not correct affects the accuracy of reports.

So whether you are a veteran interviewer on the NSDUH or brand-new to this study, it is **necessary to understand and follow all RTI administrative procedures**. To that end, read this chapter carefully, refer back to it when necessary, and do not hesitate to contact your FS whenever you have questions.

11.2 Terms of Employment

All interviewers working on the NSDUH are employees of Headway Corporate Resources, referred to as Headway. The terms of employment are spelled out in the Employee Guidelines and Supplemental Guidelines along with other employment forms that are signed by you. Headway handles the payment for hours worked and expenses, including deductions for Federal, State, and Social Security taxes. You must complete a W-4 form so that appropriate deductions are withheld.

In addition to all payroll functions, Headway is responsible for all necessary personnel documentation and the actual hiring and terminating of all employees. Your FS is also a Headway employee and acts as your direct supervisor with full authority to manage staff. If action against an interviewer is necessary, his/her FS will follow the Discipline Policy provided in ***Exhibit 11.1***.

11.3 Authorization for Expenditures

Before spending more than $10.00 on project-related business, consult with your FS to obtain authorization. This is to control budget expenditures and make sure your FS has input into all decisions affecting field work. Expenses made without prior authorization may be denied reimbursement. So you **must obtain FS approval prior to making any such expenditures**. You also must obtain and submit receipts for expenses over $10.00.

Exhibit 11.1 Headway Discipline Policy

EMPLOYEE COUNSELING AND DISCIPLINE

In order to maintain the safety and welfare of all employees and satisfy the performance requirements established by Headway and its clients, all employees are expected to meet Headway's standards of work performance. Work performance encompasses many factors, including but not limited to attendance, punctuality, personal conduct, professional behavior or fulfilling commitments, job proficiency, and general compliance with the Headway and RTI policies and procedures.

If an employee does not meet these standards, Headway may, under appropriate circumstances, terminate the employee immediately or take corrective action other than immediate dismissal. However, nothing in this policy alters the at-will nature of your employment with Headway.

The intent of corrective action is to formally document performance issues while providing the employee with reasonable time within which to improve performance. The process is designed to encourage development by providing employees with notification of areas that need improvement.

To assure uniformity and fairness of treatment, Headway has an established counseling procedure to formally communicate the need for an employee to meet the expected standards of work performance. This counseling will generally be provided at the intervals listed below:

First Notice – Oral Warning
Second Notice – Written Advisory Letter
Third Notice – Written Probationary Letter
Final Notice – Written Termination Letter

Please be advised that Headway reserves the right to skip immediately to a written advisory, probation, or termination depending on the circumstances. These counseling guidelines in no way change the employee's "at will" employment status with Headway. Either Headway or the employee has the option to terminate the employment relationship at any time, with or without cause.

Such counseling actions require corrective action on the part of the employee and any written notices are designed to provide formal recognition of this need for action.

1. The oral warning is given to an employee by their supervisor to counsel him/her on specific performance deficiencies. The employee should be informed of the deficiencies, ways that improvements may be made and the deadline in which to make the improvements before proceeding to further disciplinary actions. The oral warning will be followed up with an email to the employee from their supervisor documenting the discussion.

2. The advisory letter is sent to an employee to counsel him/her on specific performance deficiencies. The letter will state the project policies and protocols that are being violated. The letter will also inform the employee that immediate improvement is necessary. Failure to demonstrate improvement within the stated time period will result in the employee being placed on probationary work status. The advisory letter will remain in effect throughout employment with Headway. If the employee demonstrates a temporary improvement and at any later point in time violates the terms of the advisory letter, the employees will immediately be placed on probation.

Exhibit 11.1 Headway Discipline Policy (continued)

3. The probationary letter is generally sent as a second notice to the employee placing him or her on probation. During this probation, the employee is not eligible for salary increases, bonus awards, promotions, or transfers. If there is a documented violation of the terms of the probation letter during probation, the employee may be terminated.

4. The termination letter is sent as a final notice to the employee, releasing him or her from the employment of Headway.

In some cases the advisement notice may be skipped depending on the circumstances and the employee will be placed on immediate probation. **Similarly, depending upon the severity and the circumstances, the first and/or second notice may be skipped and an employee may be subject to immediate discharge**. Following are some examples of grounds for immediate dismissal of an employee:

- Failure to comply with company policy or project protocol
- Confirmed falsification of data, including but not limited to screenings, interviews, timesheets, expense reports, or employment application
- Unexplained loss of or damage to equipment provided to the employee, not reimbursed by the employee
- Being found under the influence of, using, or unauthorized possession of alcohol or illegal substances while working
- Theft
- Possession of a firearm or other dangerous weapon while working

This list is intended to be representative of the types of activities that may result in immediate termination. It is not exhaustive, and is not intended to be comprehensive.

11.4 Electronic Production, Time and Expense (ePTE) Reports

All Headway field staff must complete an electronic Production, Time, and Expense (ePTE) report weekly and submit it in order to be paid. In addition to serving as your timesheet, the ePTE gives RTI managers a detailed summary of the tasks completed during the one-week period covered by the report and any time and expenses required for completing these tasks.

You **must** submit a complete and accurate ePTE report each week for all work done in order to be paid. If you do not work in a given week, you should still submit a report indicating you "Did not work." After you've completed your ePTE, use the information to enter your weekly summary of hours, miles, and expenses into the iPAQ (see ***Section 9.3***). Remember the iPAQ PT&E summary data are used only by project management staff, not by Headway for payroll.

While you are required to submit an ePTE each week, there may be times when you are not able to access the electronic system due to computer or other problems. In such instances, you will need to submit a paper PT&E as instructed in ***Appendix A***. Keep a small supply of paper PT&Es as a back up.

Additionally, there may be times when an ePTE is submitted and approved, then errors are discovered, such as a forgotten expense that was not reported. You must submit a revised report using a paper PT&E report.

11.5 The ePTE System

11.5.1 Overview

The focus of this section is how to use the ePTE program built into the CAI Manager. It gives detailed instructions on entering information in the various forms as well as completing an ePTE from an administrative perspective, such as where to enter specific hours or expenses.

Similar to paper forms, the ePTE system has several electronic forms for you to complete. Details for the various forms are given in subsequent sections.

- Default Value Setting Form – The first time you access the system, you must identify yourself and set certain values such as your RTI ID (FI ID) number and personal identifying information. This form only needs to be completed one time (see ***Section 11.5.2***).
- Entry Form – In this form you identify important information such as project number (including task number), FS, week worked, etc. that defines an individual ePTE report (see ***Section 11.5.3***).
- Detail Form – This form has the rows and columns in which you record the details of the work week's production, time and expenses (see ***Section 11.5.4***).

In each of these forms, use the [**Tab**] key to move from one field to the next. To move backwards through the fields, hold down the Shift key while pressing the Tab key ([**Shift**] [**Tab**]). The field that is current either has the cursor in the entry field or is highlighted with a dotted line around it. You may also use the Touchpad in the ePTE system to click on the field of interest, although in some

places using Tab is actually easier. ***Section 4.3.4*** of the ***FI Computer Manual*** has instructions for using the Touchpad. Note: Using the Touchpad during an interview is strictly prohibited. See ***Section 11.5.6***, item 14, for more details about when to use and not to use the Touchpad.

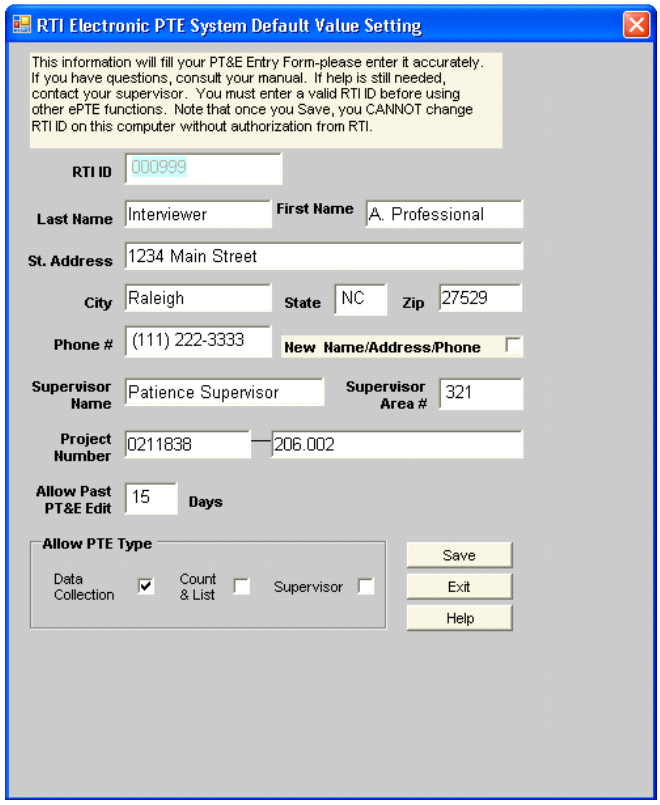
Sections 11.5.5 and ***11.5.6*** provide instructions on using the system's edit checks, how to handle messages that may appear, and tips for some advanced functions. **NOTE**: You can only enter ePTE information for yourself unless you are authorized otherwise. Violation of this rule may delay your payment.

From the main CAI Manager window, click PTE Entry to enter the ePTE system. (If the screen appears 'stuck' after clicking to open the ePTE, try pressing [Alt] [Tab] to be sure the ePTE program has the computer's focus (i.e., that the top bar is bright blue) and then try again.)

11.5.2 Default Value Settings

The first time you enter the ePTE system, you must provide some personal identifying information. It is critical that you enter this information correctly since it is used to identify your ePTE reports and process your pay check. It is particularly important that you enter your RTI ID Number correctly—once you save the number on this form you won't be able to make corrections without help from your FS.

- In the first 8 fields – carefully **enter your personal identifying information** (through the phone number field). Be very careful with your RTI ID number. Press [**Tab**] to move to the next field. Pressing [**Shift**] [**Tab**] moves backwards. If your name is longer than the displayed field, the program accepts the additional characters (until the maximum of 50).



- New Name/Address/Phone – When a change is made to a name, address, or phone number field (including the first time when you change from no entry to an entry), this box is automatically checked. Having the box checked means the information/changes are given to Headway for processing. You must also inform your FS of any address changes and he/she will email the changes to Headway so that all files are updated.

  Important: If Headway already has your correct name and address on file, press [**Space bar**] (or click Name/Address/Phone) to uncheck this box. Only leave the box checked if there have been changes to your name and/or address that Headway needs to know about.

  Press [**Tab**] to continue.

- Supervisor Name and Area # – Enter your ***primary*** **supervisor's name and area number**. Type the FS number very carefully, and double check your entry for accuracy. If you work for more than one FS, the information for the other FS can be entered in the Entry Form.

- Project Number – Enter the primary data collection project and task number which is 0211838-206.002. Enter **0211838**, then press [**Tab**] to move to the task field after the hyphen, then type **206.002**. Other task numbers or other project numbers can be captured in the Entry Form.

- Allow Past PT&E Edit – This box is pre-filled with 15 days. Do not change this number unless instructed to do so by your FS or RTI staff.

- Allow PTE Type – When Data Collection is highlighted (with a box around it) press the [**Space bar**] to place a check mark in that box. If your FS chooses you to also do Counting and Listing work, you can go back and change this setting at a later time (see ***Section 11.5.6***, item 10). At this point, leave the box unchecked. The Supervisor check box only applies to your FS. If you don't make a selection here, Data Collection is automatically chosen by default.

- Save – Once you have filled in all fields and double checked all your entries, then triple check your RTI ID. Next, press [**Alt**] [**s**] (for Save) or click Save.

  If the New Name/Address/Phone field is checked when you save your information, a message box then appears asking if you want to transmit this address to Headway. You should choose Yes if Headway does not have your up-to-date name, address or telephone number on file, otherwise choose No.

  If the New Name/Address/Phone field is not checked, then you will not get this message box.

  After you have saved your information, the RTI ID field is shaded in light blue indicating that this field is "read-only." You can no longer change this value without obtaining a special password from your FS.

  NOTE: You must enter a valid RTI ID before moving on to the ePTE Entry Form.

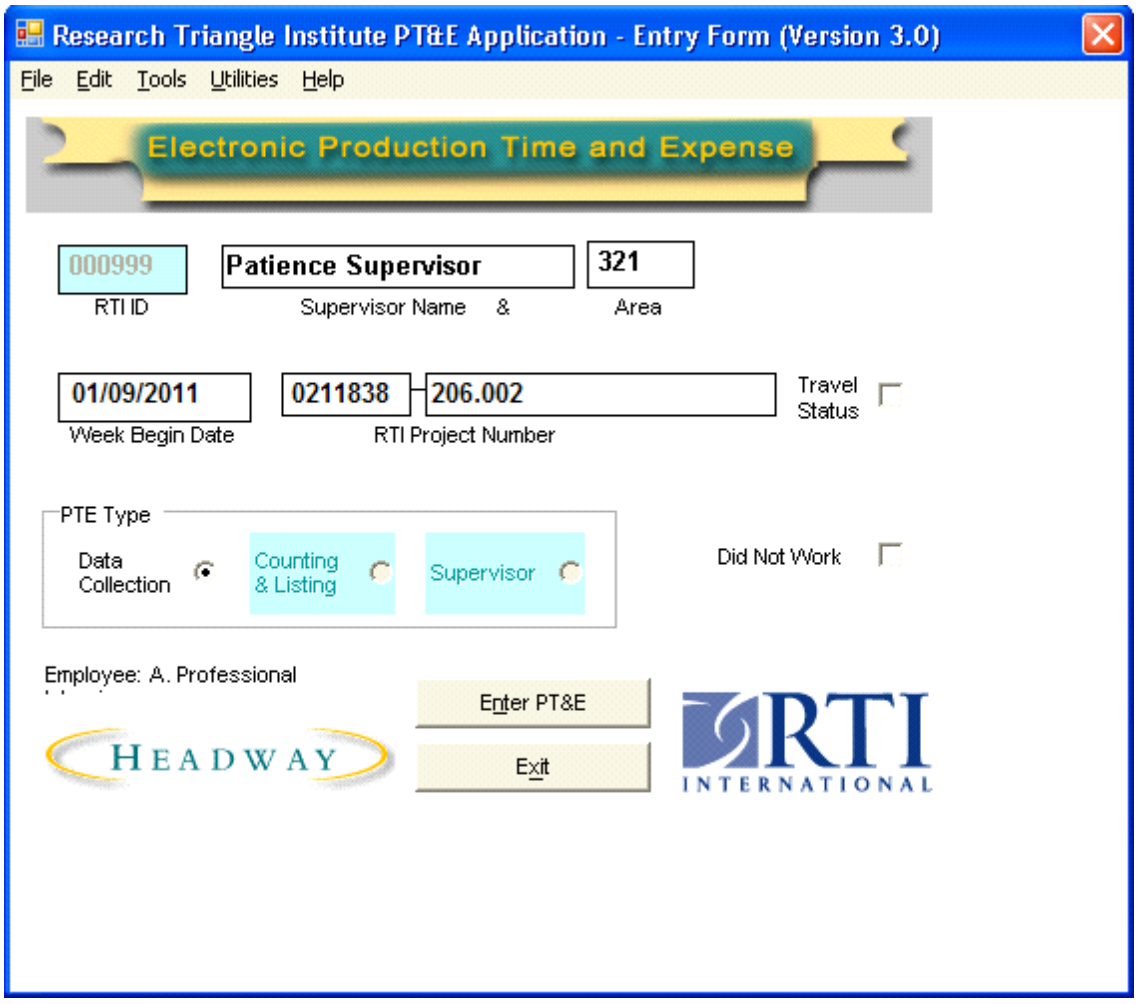
- Help – If you have any questions about any of the fields on this form, simply press [**Alt**] [**h**] (for Help). Read the topics displayed in the help window using the **Down Arrow** key to scroll through the text. Close the help window by pressing [**Alt**] [**F4**].

- Exit – Once you have filled in all information on this form and have saved it, you can exit by pressing [**Alt**] [**x**] (for Exit) or click Exit to automatically continue with the Entry Form.

11.5.3 Entry Form

The first time you work in the ePTE system, you complete the Default Value Settings Form as described in ***Section 11.5.2***. Upon exiting that form, you see the PT&E Application Entry Form, referred to as the Entry Form. Each subsequent time you enter the ePTE system, you start at the Entry Form. An example of this form is shown below.

The default values from the Default Value Settings Form are pre-filled in their appropriate fields. In particular, note the blue shading around RTI ID and the Counting & Listing and Supervisor buttons indicating that these fields are read only. The primary FS and project number information from the Default Value Settings Form displays, but can be altered on this form.



On the Entry Form are the 4 items that define a specific ePTE record: week begin date, project/task number, FS name/area number, and travel status. If in a given week any of this information varies, you must complete separate ePTE reports. Consider the following situations:

- If you work for only your primary FS on NSDUH data collection, prepare one ePTE record each week for that FS and 0211838-206.002.
- If you complete work for two FSs, you must prepare two separate ePTE records weekly, one for each FS.
- If you work on another NSDUH task with a different task number, you must complete a separate ePTE record each week for each task number.
- If during the same week you work while on travel status and also work while not on travel status, you must complete two ePTE records to divide the information between travel and non-travel status.

As in all ePTE forms, use [**Tab**] to move between fields and [**Shift**] [**Tab**] to move backwards between fields, or use the Touchpad to click a specific field. The current field either has the cursor or is highlighted with dotted lines. Within the fields, use the left and right arrow keys to move around, the delete key to remove characters, and letter and number keys as needed. If you have questions about the fields on this form, press [**Alt**] [**h**] (for Help). Refer to ***Section 11.5.6***, item 13 for additional information on the Entry Form Help box.

- Supervisor Name and Area – Your primary FS and FS area number are displayed. Since the ePTE system expects you to want to enter an ePTE for this FS, the system skips these two fields and the first highlighted field is the Week Begin Date. To enter an ePTE for your primary FS, simply leave the supervisor fields as is.

  If you need to submit an ePTE for another FS, press [**Shift**] [**Tab**] twice to move back or click the Supervisor Name field. Press [**Del**] to delete the primary FS name and then type the correct **name**. Press [**Tab**] to move to the Area number field. **Delete** the area number and **enter the new one**.

  In this situation, be sure to carefully change both the FS name and the FS area number. If you have already entered an ePTE for your primary FS and then only change one of the FS items when trying to enter a record for another FS, a message box appears saying that this PT&E is on file already and do you wish to update its content. If you choose "Yes," the system opens your previously saved ePTE for the primary FS. You do not want to make changes to this record. To enter a new ePTE for a different FS, choose "No" to return to the Entry Form screen. Make sure both the new FS Name and Area fields have been entered correctly.
- Week Begin Date – Enter the date of the Sunday for the work week of this ePTE. Use the format shown in the example with two digits for month and day (so use leading zeros as needed) and a four digit year. The slash in the display which separates the month/day/year entries is already there so you don't need to enter it—just **enter the numbers**.

- RTI Project ID – The main project number and task number are displayed. Tab through these fields to prepare an ePTE for this number. If you need to submit an ePTE for a different project number or a different task number, press delete to remove the current number and then carefully enter the correct project number and task number. Entering incorrect project or task numbers causes problems and may delay your payment.
- Travel Status – After the RTI Project ID fields, the Travel Status check box is highlighted. Leave the box empty unless your FS has indicated you are on travel status. To mark the Travel Status box, press the [**Space bar**]. To remove a check mark from this box, be sure the field is highlighted with the dotted lines and then press the [**Space bar**]. Clicking on Travel Status also inserts or removes the check mark.
- PTE Type – The options available for PTE Type depend on which PTE types you marked on the Default Values Form. You can only choose from the types that are not shaded a light blue. If you need to alter the Default Values Form, see ***Section 11.5.6***, item 10.

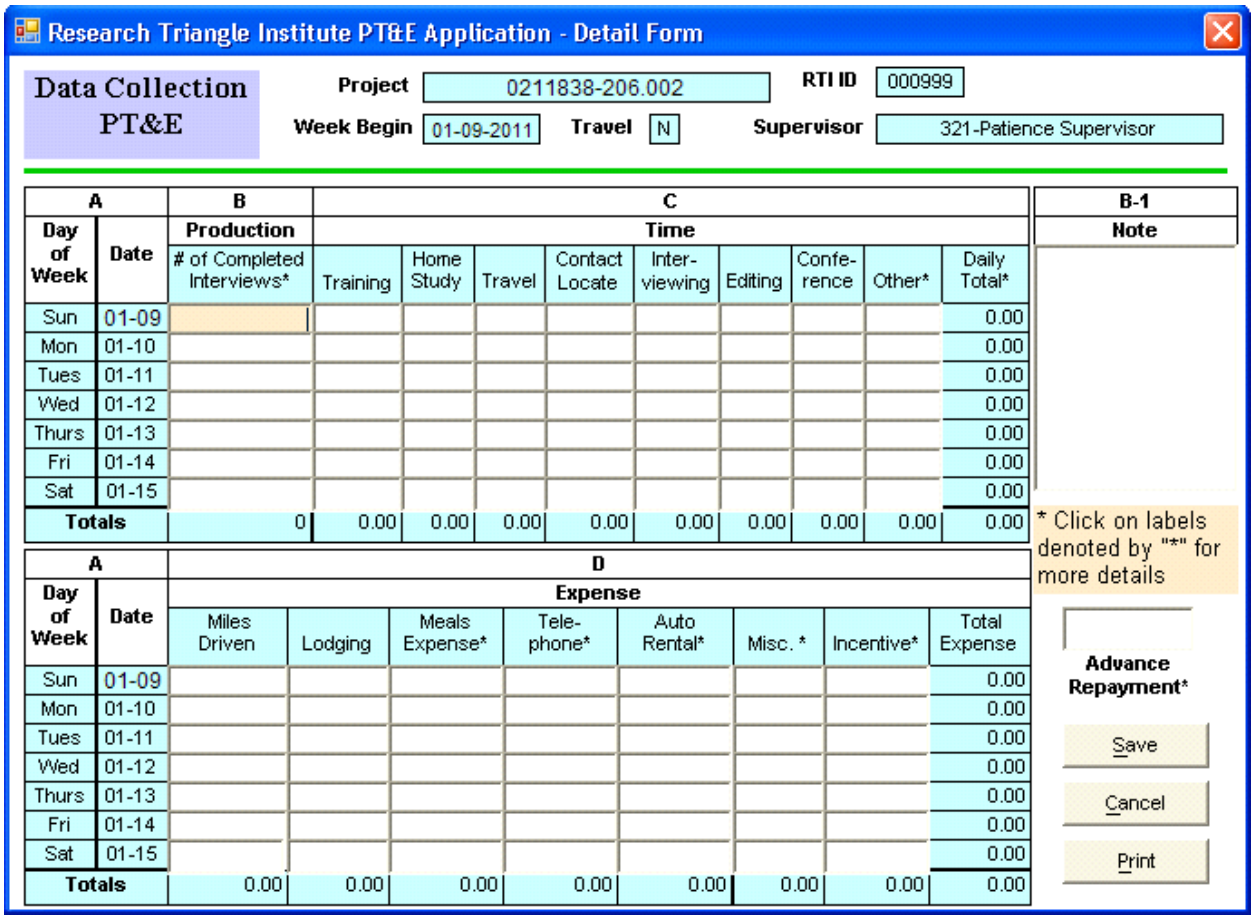
  For most interviewers working on NSDUH screening and interviewing, Data Collection is the type of ePTE you submit. With the Data Collection button marked, press [**Tab**] to continue to the next field.

  For FIs who also perform counting and listing work, you must indicate which type of ePTE you are submitting. For a Data Collection ePTE, press [**Tab**] to move to the next field. For a Counting and Listing ePTE, press the right arrow key [→] to change from Data Collection to Count and List. Then press [**Tab**] to continue to the next field.
- Did Not Work – If you did not perform any work during the given reporting period, place a check in this box by pressing the [**Space bar**] or clicking on Did Not Work. For accurate reports, it is important for you to submit a Did Not Work ePTE record by marking this box and transmitting that information. See ***Section 11.5.6***, items 6 and 7 for additional details.
- Enter PT&E – Once you have completed all fields, press [**Alt**] [**n**] (for Enter PT&E) or click Enter PT&E.
- Exit – If you don't want to enter ePTE information now, press [**Alt**] [**x**] (for Exit) or click Exit. When you exit in this way, any changes just made to the information displayed are not saved. When you return to the ePTE system, your default values appear.

  After indicating you want to exit, a confirmation box appears asking if you are sure you wish to exit. A "Yes" response takes you to the CAI Manager. A "No" response clears the boxes and you remain at the Entry Form.

11.5.4 Detail Form

After identifying an ePTE record on the Entry Form and choosing the Enter PT&E button, you see the Detail Form. This section explains the process of entering information on the ePTE and gives you detailed explanations for the various columns including where to enter certain hours or expenses.



How to Start

First, check that the information at the top of the form is correct. Also make sure that the dates on the left-hand side of the form actually correspond to the work week. If you notice any mistakes, do not enter any information. Exit this form by pressing [**Alt**] [**c**] (for Cancel) or clicking on Cancel to return to the Entry Form. Make the necessary corrections to that form, then when everything is correct, press [**Alt**] [**n**] (for Enter PT&E) to return to the Detail Form.

How to Move

Within the Detail Form, move from field to field using [**Tab**], [**Shift**] [**Tab**], or any of the arrow keys. You can also use the Touchpad to click the next field. The field that is active—that is, if you enter information it appears in that field—is shaded a light orange. On the Detail Form shown on the previous page, the active field is Sunday, Production. Once you enter an amount in a field, the left and right arrow keys allow you to move among the characters in that field. To continue to the next field, you must press [**Tab**] or [**Enter**], or click the next field. Using the Touchpad to click is a simple way to move to fields in different parts of the form.

To move from one section of the form to another when using only keystrokes, you must be on the final space of the first section then press [**Tab**]. For example, to move from "C -- Time" to "D -- Expense," use [**Tab**] or the arrow keys to move to the last cell in the Time chart, which is Saturday, Other. Press [**Tab**] to move to section D, Sunday, Miles Driven. To move back to the "C -- Time" section from the "D -- Expense" section, be in the Sunday, Miles Driven field and then press [**Shift**] [**Tab**]. The chart flows in this way:

Time →Expenses →Advance Repayment →Notes →Save/Cancel/Print.

Pressing [**Tab**] again when the Print button is highlighted takes you back to the start of the Time section.

How to Enter

Enter the appropriate values in the chart. The program rounds your entries as needed, and supplies the standard two decimal place value. So, if you enter 2 hours, the program displays 2.00. If you enter 2.2 hours, the program displays 2.25. The program also calculates and displays all totals.

Time should be rounded to quarter hours and recorded in decimal form (two decimal points). Do not record time in minutes. For example, if you had 1 hour and 45 minutes of Contacting and Locating time, you should enter your time as "1.75." If you mistakenly enter your time in minutes, "1.45," the program automatically rounds ".45" to ".50" which would not be correct. You would only get paid for one hour plus an additional half of an hour instead of three quarters of an hour. So be sure to enter your numbers in decimal form rounded to the nearest quarter hour. The table below shows examples of correct and incorrect time entries:

Time Worked	Incorrect Entry	Correct Entry
1 hour and 15 minutes	1:15	**1.25 hrs.**
1 hour and 20 minutes	1:20	**1.25 hrs.**
1 hour and 30 minutes	1:30	**1.50 hrs.**
1 hour and 40 minutes	1:40	**1.75 hrs.**
1 and 3/4 hours	1:45	**1.75 hrs.**

What and Where to Enter

Step-by-step instructions for completing an ePTE are provided in this section. An example of a properly completed ePTE is provided in ***Exhibit 11.2***. Please refer to these instructions and the examples as you are completing your reports to be sure you are making all required entries correctly. Because of the flow of the system, we recommend that you complete the Notes section (see step 5 below) as your last step when completing your ePTE.

1. Section B (Production) – Enter the total number of completed **interviews** (code 70s) each day. Do NOT include completed screening cases. You must record the Case IDs for all completed interviews and all breakoff interviews in the Notes section (see below). Check in the iPAQ for all your final interview cases (although note that these are not listed with a date). Make sure to keep up with your entries daily on a working copy ePTE so you will know what you completed that day.
2. Section C (Time) – In each column, enter the hours worked each day to the nearest .25 hour. Hours must be entered as decimals and are rounded to the nearest quarter hour. Show how your hours were spent on project work by distributing the time worked across the various columns as appropriate. The program totals your entries by row and column. The "Time" columns are defined as follows:
   - Training – Except for training periods, this column is rarely used. However, time spent completing periodic assessments should be included in this column. Also, if you are authorized to spend time doing remedial or additional study, record the time in this column.
   - Home Study – This column is only used in rare situations when instructed by your FS. During the year, any time spent on home study work must be approved by your FS and should be reported in the Training column.
   - Travel – Record time spent traveling to, from, and between your assigned segments making sure it is entered on the correct day of the week. (Do not include time spent for meals or errands, including cashing paychecks.) Travel time should be recorded from portal-to-portal—for example, from the time you left your home until you arrived at your assigned segment. For other travel, such as to a training session or while on travel status completing an assignment, there are strict guidelines that cover reimbursement for travel time and expenses. Your FS will provide you with the appropriate amounts and other information prior to your trip. Contact your FS as soon as possible if you encounter any travel delays for additional instructions.
   - Contact/Locate – Record the time spent locating, contacting, and screening respondents. Include time spent making appointments, explaining the study to potential respondents, completing the screening process, and callbacks to respondents selected for interviewing. Time spent traveling within the segment also belongs in this column. Other iPAQ related tasks such as reviewing ROCs can also be included here, although the efficient FI can accomplish these type tasks during the ACASI portion of an interview.
   - Interviewing – Record time spent administering the questionnaire from start to finish including computer set up. DO NOT include time spent completing screenings in this column.
   - Editing – Due to the computerized nature of the survey, you should not have editing time.

Exhibit 11.2 Completed ePTE

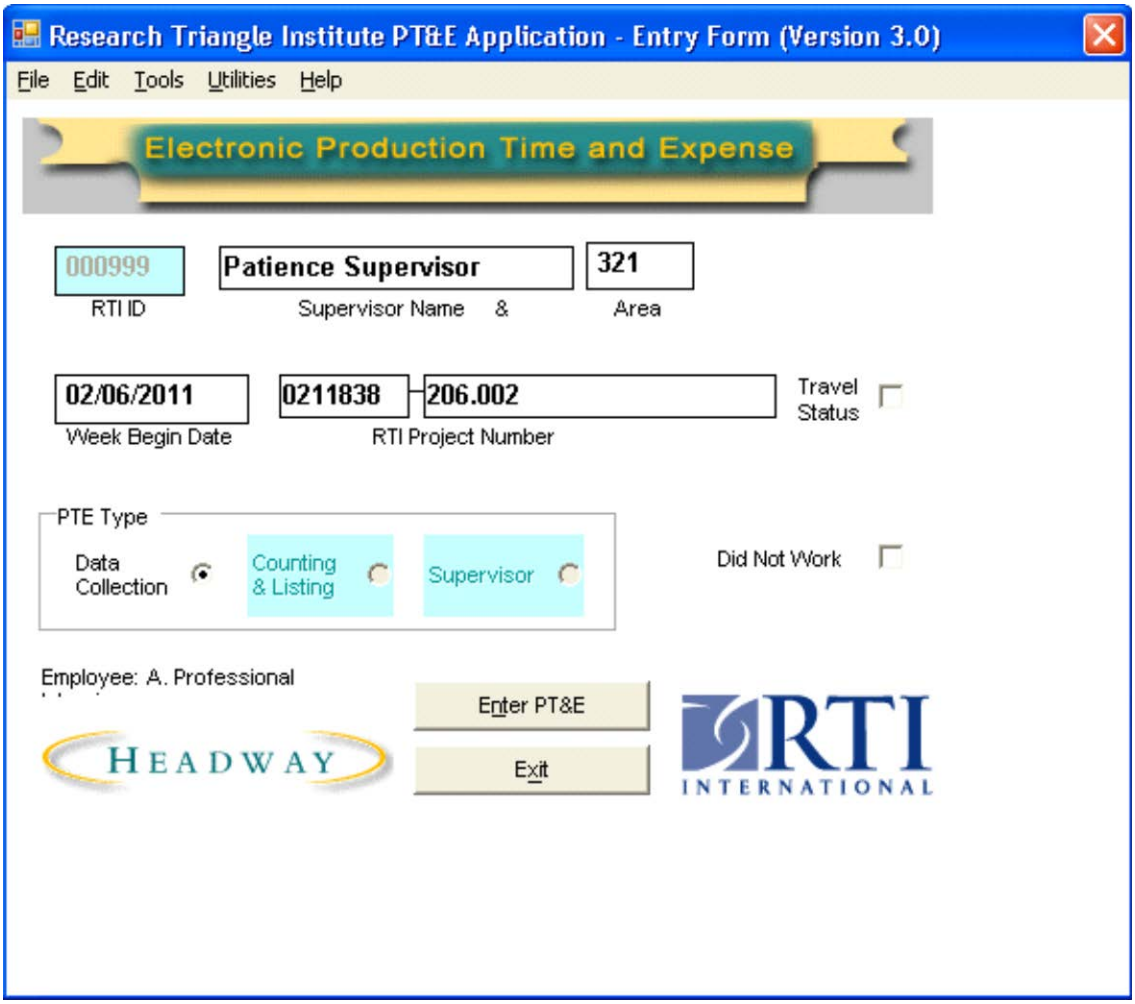
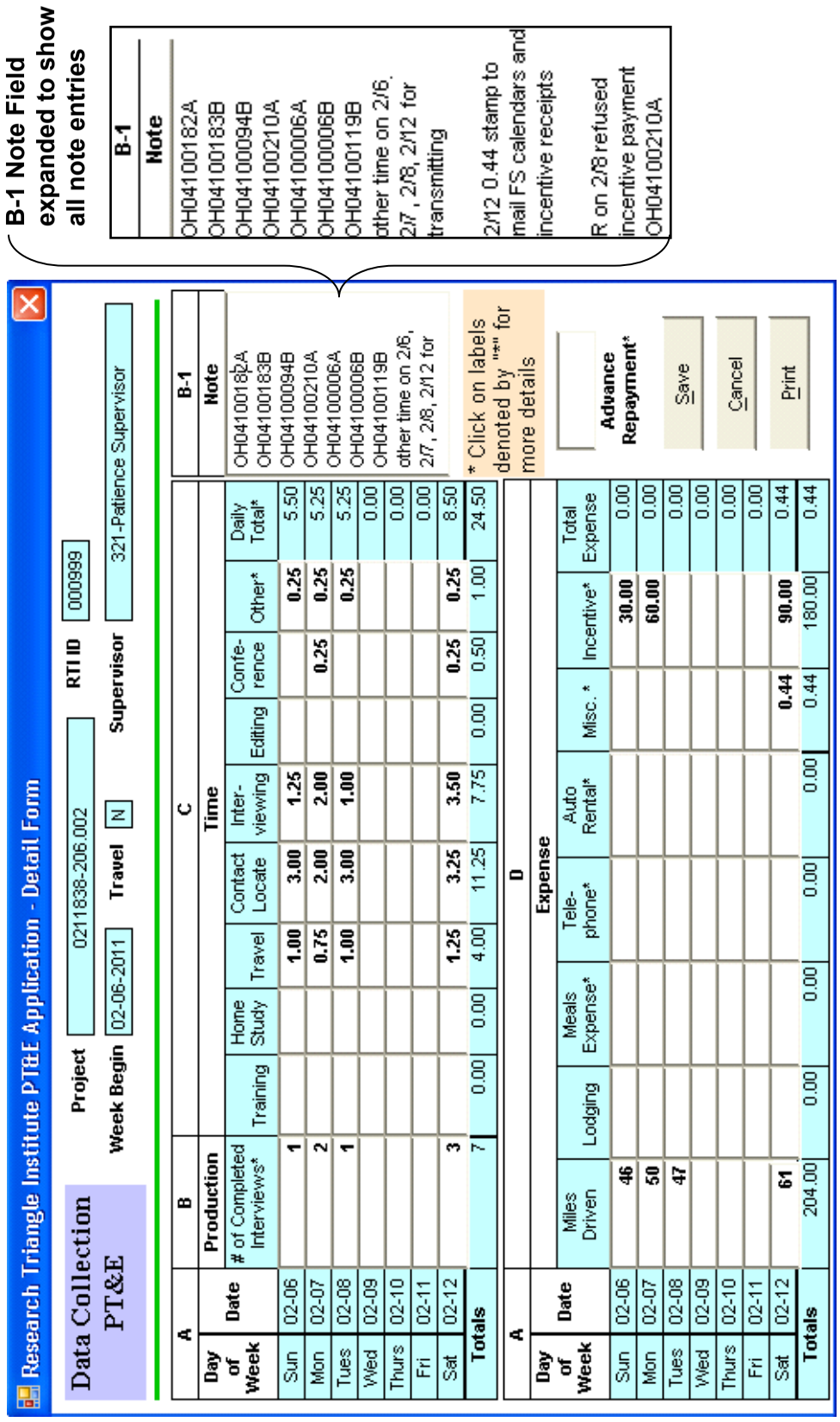


Exhibit 11.2 Completed ePTE (continued)



A	B	C																		B-1
Day of Week	Date	Production	Time																	Note
		# of Completed Interviews*	Training	Lodging	Meals Expense*	Home Study	Travel	Tele-phone*	Contact Locate	Auto Rental*	Inter-viewing	Misc. *	Editing	Confe-rence	Incentive*	Other*	Daily Total*	Total Expense		
Sun	02-06	1					1.00		3.00		1.25					0.25	5.50	0.00		OH04100182A OH04100183B OH04100094B OH04100210A OH04100006A OH04100006B OH04100119B other time on 2/6, 2/7, 2/8, 2/12 for
Mon	02-07	2					0.75		2.00		2.00			0.25		0.25	5.25	0.00		
Tues	02-08	1					1.00		3.00		1.00					0.25	5.25	0.00		
Wed	02-09																0.00	0.00		
Thurs	02-10																0.00	0.00		
Fri	02-11																0.00	0.00		
Sat	02-12	3					1.25		3.25		3.50			0.25		0.25	8.50	0.00		
Totals		7	0.00	0.00	0.00	0.00	4.00	0.00	11.25	0.00	7.75	0.00	0.00	0.50	0.00	1.00	24.50	0.00		

A	D										
Day of Week	Date	Expense									
		Miles Driven	Lodging	Meals Expense*	Tele-phone*	Auto Rental*	Misc. *	Incentive*	Total Expense		
Sun	02-06	46						30.00	0.00		
Mon	02-07	50						60.00	0.00		
Tues	02-08	47							0.00		
Wed	02-09								0.00		
Thurs	02-10								0.00		
Fri	02-11								0.00		
Sat	02-12	61					0.44	90.00	0.44		
Totals		204.00	0.00	0.00	0.00	0.00	0.44	180.00	0.44		

- Conference – Record time spent preparing for and in conference with your FS, compiling weekly field reports, and any calls with RTI managers or office staff, including Technical Support.

- Other – Use this column to indicate **your time for transmitting to RTI**. Also record time spent performing other allowable project activities, such as time spent FedExing faulty equipment. Note that you must describe any Other activity in the Notes section.

3. Section D (Expenses) – Please read this section carefully. Expenses are claimed on EITHER the ePTE OR the Headway Expense Report, but NOTHING will be reported on both. Please refer to ***Section 11.6*** for details on the Headway Expense Report. Your FS will monitor your expenses very closely and any expense you submit is subject to review.

   The ePTE program totals your entries by row and column. The "Expense" columns are defined as follows:

   - Miles Driven – Record total **miles** driven each day on project business (rounded to the nearest mile). Check to make sure that the corresponding travel time is recorded in the Travel column. Headway calculates how much you will receive, based on the number of miles at the established mileage reimbursement rate of $0.50 per mile. Note: This rate is set by the federal government and is subject to change.

   - Lodging – Any overnight travel must be approved in advance. Lodging expenses are not reimbursable except while on travel status. **Lodging expenses must be submitted on the Headway Expense Report** (see ***Section 11.6***). **Do NOT record lodging expenses on the ePTE**.

     Before you travel, check with your FS about government reimbursement rates for rooms in the location where you are traveling. In the Notes, record the city and state of your travel location. Only expenses related to lodging at standard overnight facilities (such as hotels, motels, inns) can be reimbursed. Lodging expenses for staying at the home of a friend or relative will not be reimbursed.

   - Meals – Meals are not reimbursable expenses except while on travel status. When making arrangements for travel status, your FS will give you the daily meals and incidental expenses per diem for your destination. Record that amount in the meals column for full travel days in which you stay overnight. Partial travel days are reimbursed at a partial per diem based on the timing of your trips. Note that the per diem amount includes money for incidental expenses such as tips and laundry. Receipts for incidental expenses are not necessary.

   - Telephone – **All telephone expenses must be submitted on the Headway Expense Report with receipts (regardless of amount). Do NOT record telephone expenses on the ePTE**. Submit a copy of your monthly telephone bill with any project calls highlighted. Telephone charges should be rare as most project staff have toll free numbers.

   - Auto Rental – Auto rental expenses are not reimbursable except while on travel status. **Auto rental expenses must be submitted on the Headway Expense Report**. **Do NOT record auto rental expenses on the ePTE**. Auto rental must be pre-approved by your FS.

- Miscellaneous – All miscellaneous expenses $10.00 and under are recorded on the ePTE. You must explain the expense in the Notes and receipts are not required. **Expenses over $10.00 are submitted with receipts on the Headway Expense Report and are NOT reported on the ePTE**. You must have FS approval before submitting expenses over $10.00. You must also submit any Receipts for Escort Services with the Headway Expense Report, regardless of the amount (see ***Section 11.8***).

  Occasionally you may have several miscellaneous expenses in one day so that each expense is $10.00 and under but the total is over $10.00. All expenses $10.00 and under are reported on the ePTE and do not require a receipt, even if the total for the day is over $10.00. Be sure to explain all miscellaneous expenses in the Notes section.

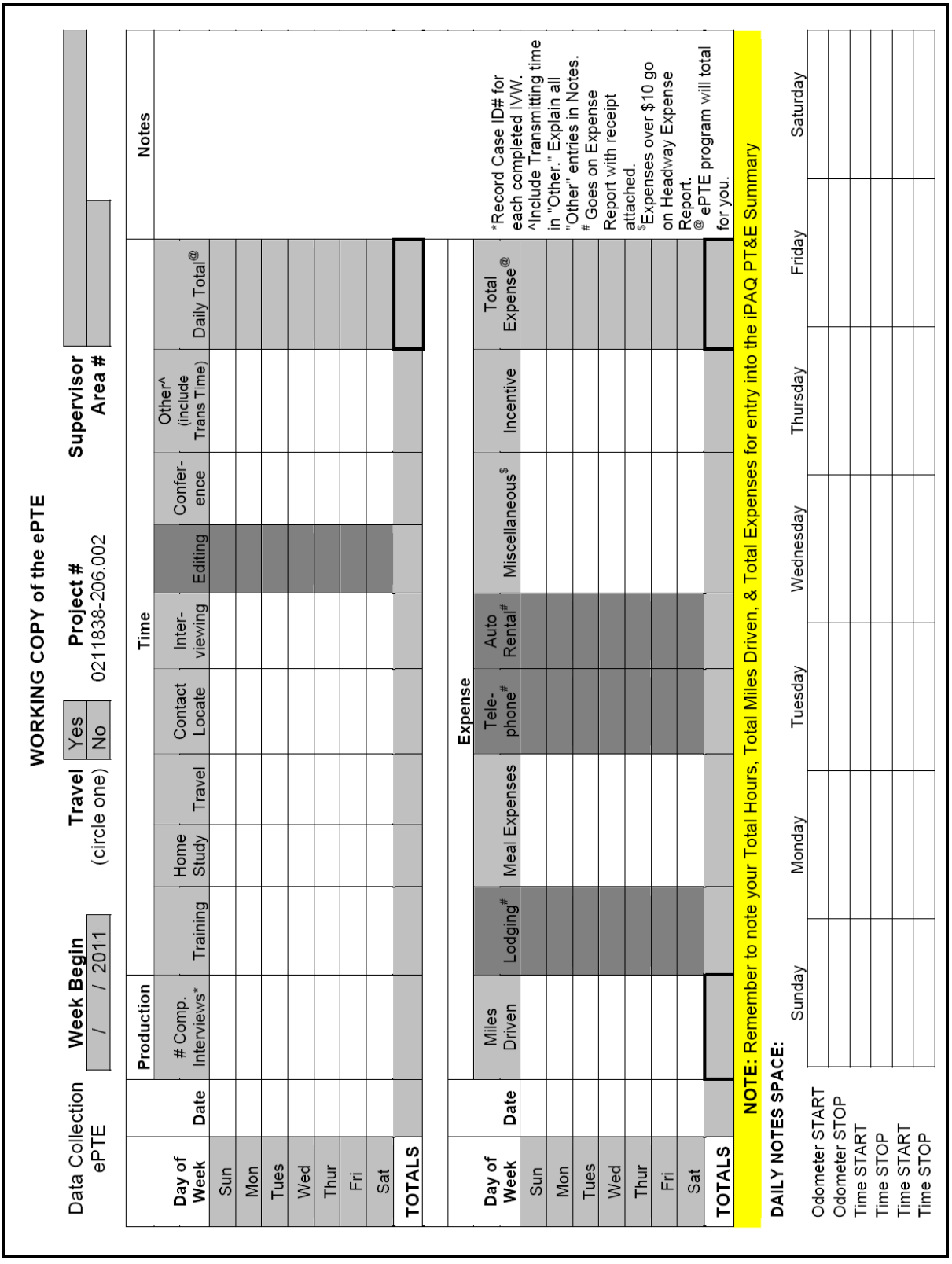
- Incentive – Record the **total** incentive payments made to respondents. The incentive column is not included in the total expenses column. If a respondent refused to accept the incentive payment, do NOT include that interview in the incentive column. Instead, you must describe the situation in the Notes section.

4. Advance Repayment – If you have an outstanding travel or incentive advance and need to repay Headway, do **not** use this box—Headway does not review any information entered here. Instead you must submit a personal check or money order (made out to Headway) for the amount you owe. See the memo from Headway which accompanied your advance for detailed instructions.

5. Notes – Type the following in the Notes section and press [**Enter**] after each item:

   - Explanations of all time charges under "Other."
   - Case IDs for all interviews completed during the week. Press [**Enter**] after each ID.
   - Case IDs for any Breakoff interviews that occurred and were not subsequently completed during the week. Simply type BRK for Breakoff, then enter the appropriate Case ID. You need not record Breakoffs that result in a completed interview within the same week.
   - Record explanations of all Miscellaneous expenses $10.00 and under reported on the ePTE.
   - An explanation for any case in which the respondent refused to accept the cash incentive.
   - The City and State when working on travel status.
   - For staff entering ePTE records for Counting and Listing work, record ID numbers of Segments completed during this week.

Exhibit 11.3 ePTE Working Copy



WORKING COPY of the ePTE

Data Collection ePTE

Week Begin / / 2011

Travel (circle one) Yes / No

Project # 0211838-206.002

Supervisor Area #

Day of Week	Date	Production # Comp. Interviews*	Time Training	Home Study	Travel	Contact Locate	Inter-viewing	Editing	Confer-ence	Other^ (include Trans Time)	Daily Total@	Notes
Sun												
Mon												
Tues												
Wed												
Thur												
Fri												
Sat												
TOTALS												

Day of Week	Date	Expense Miles Driven	Lodging#	Meal Expenses	Tele-phone#	Auto Rental#	Miscellaneous$	Incentive	Total Expense@
Sun									
Mon									
Tues									
Wed									
Thur									
Fri									
Sat									
TOTALS									

*Record Case ID# for each completed IVW.
^Include Transmitting time in "Other." Explain all "Other" entries in Notes.
Goes on Expense Report with receipt attached.
$Expenses over $10 go on Headway Expense Report.
@ ePTE program will total for you.

NOTE: Remember to note your Total Hours, Total Miles Driven, & Total Expenses for entry into the iPAQ PT&E Summary

DAILY NOTES SPACE:

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Odometer START							
Odometer STOP							
Time START							
Time STOP							
Time START							
Time STOP							

Exhibit 11.3 ePTE Working Copy (continued)

Charges Put on ePTE:	Charges Put on Headway Expense Report:
Miscellaneous Expenses less than or equal to $10 Miles Driven Meal Expenses Incentives Paid	Miscellaneous Expenses over $10 Lodging Costs Telephone Charges Escort Payments

Helpful Hints:

- If an expense is entered on the Headway Expense Report, it is **not** entered on the ePTE!
- Be VERY careful in entering the project number, task number, and FS area number.
- All Miscellaneous Expenses must be explained in the Notes. Expenses over $10 belong on the Headway Expense Report. (If you have multiple miscellaneous charges on one day that are each less than $10, but together total more than $10, use the ePTE and explain the charges in the Notes.)
- "Other" time must be explained in the Notes section.
- Enter a Case ID in the Notes for each completed interview listed for the week. Press [ENTER] after each ID.
- Include Case IDs for any Breakoff interviews. Type BRK for Breakoff and enter the appropriate Case ID. There is no need to enter a Breakoff ID if it resulted in a completed interview within the same week.
- Record the total incentive payment for each day. The Incentive amount is not included in the "Total Expense" column.
- Be sure to record the total incentive amount for each week on your advance balance sheet in order to track the outstanding amount.
- If an R refuses the incentive, do **not** include the amount in the Incentive column. Enter a note for any case in which the respondent refused to accept the cash incentive.
- Complete your ePTE first and then enter the information into the iPAQ PT&E Summary. These values will be identical unless you are on travel status; while traveling, include in your iPAQ Summary any expenses billed directly to RTI such as lodging, car rental, or airfare.
- Do not use the Advance Repayment box. If you owe funds to Headway, send a personal check or money order (made out to Headway) to your FS. *(For detailed instructions, see the memo from Headway that was included with your advance.)*
- Enter the City and State in the Notes when working on Travel status.
- For staff entering ePTE records for Counting and Listing work, record ID numbers of completed Segments in the Notes.

When to Enter

You MUST record your ePTE information daily on the provided ePTE working copies (see ***Exhibit 11.3***). Record the information daily as you work. Make notes to help you calculate your hours and miles: record start and stop odometer readings, beginning and ending times as well as the stop and start times for any breaks taken during the day. Make other helpful notes such as how long each interview took and any expenses paid. Then, when finished working, make your entries for each column in that day's row.

Once you have completed your work for the week, transfer the information recorded from your working copy to your ePTE. After you have entered your data for the week and have checked for accuracy, write the total hours, total miles, and total expenses on your working copy. Use those totals (plus include any direct billed expenses if you are on travel status) to prepare your ePTE summary data entries in the iPAQ (see ***Section 9.3***). When finished with your ePTE entries, save the information and indicate you are ready to transmit. Once a report is transmitted, you cannot update it. Remember, you must have your ePTE information entered into the ePTE system and transmitted to RTI before 10:30 p.m. (EST) on Sunday.

When Finished Entering

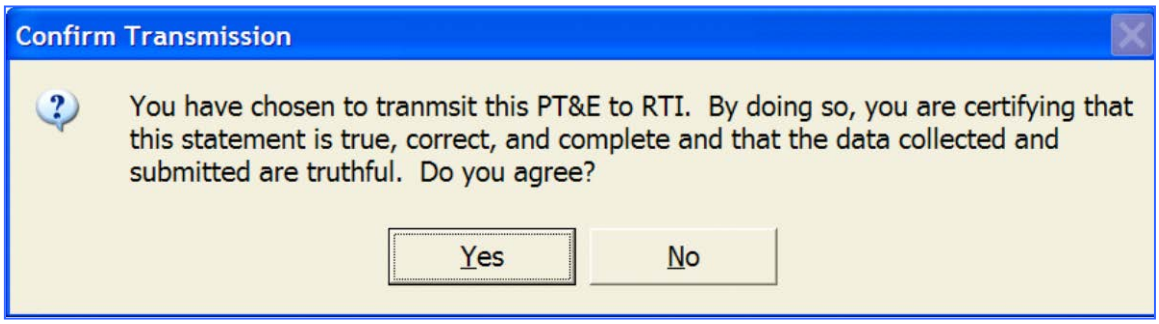
If you do not wish to keep any changes you have made, press [**Alt**] [**c**] (for Cancel) or click Cancel. A confirmation box appears asking if you are sure you want to discard the changes made. If no, press [**Enter**] to stay with the Detail Form. If you are sure you want to cancel, tab to Yes and press [**Enter**], or click Yes. The Entry Form reappears. Note: The print function will not be used for NSDUH.

When your information in the Detail Form is complete, press [**Alt**] [**s**] (for Save) or click Save. The "Ready to Transmit" box appears:



If you have not completed the entire week's information for your ePTE, press [**Enter**] (for No). A box then appears reminding you that since your ePTE is not final, you must finalize and transmit it later. Press [**Enter**] to close this box and return to the Entry Form where you can either enter another ePTE or exit the system by pressing [**Alt**] [**x**] or clicking on Exit.

If you have finalized this ePTE report and wish to send it to RTI during your next transmission, press [**Alt**] [**y**] (for Yes), or click Yes. The following box appears:



Answering 'yes' to this question is equivalent to signing your name to a paper document indicating that all information is accurate and complete. Press [**Enter**] (for Yes) to sign and finalize your ePTE record. During your next transmission to RTI, the record is sent, processed and then forwarded to your FS for approval. Once the record is transmitted you can no longer edit the information. It becomes a read-only record which you can view but you cannot change (see ***Section 11.5.6***, item 4). The system takes you to the Entry Form and you are asked if you want to enter another report. Your answer will depend on whether or not you need to make another entry for the week. For example, if you worked for 2 FSs during the same week or worked on more than one task in the same week, you would need to submit another ePTE and save that ePTE independent of the first one (refer to the first bullet in ***Section 11.5.3*** for further details on changing your FS information).

If you have any doubts about the information that you entered before you certify your information is accurate and correct, tab to No and press [**Enter**] or click No. The next message box reminds you that your ePTE is not finalized and you should do so at a later time. Press [**Enter**] to close that message box and you are back at the Entry Form.

11.5.5 Edit Checks in the ePTE System

The program is sophisticated enough to provide some built in checks to prevent errors when filling out your ePTE. The system displays a message or warning box which identifies the problem and suggestions for resolving the problem. If you encounter a pop-up box, read it carefully. Press [**Enter**] to close the box and then continue.

The following are possible scenarios that cause an error pop-up message:

1. Begin work week date is in the future or is too far in the past.
2. Begin work week date is not a Sunday.
3. Letters and other characters can't be entered in a numeric field (such as hours worked).
4. Completed interviews must be entered in whole numbers (no decimals).
5. At least one completed interview is entered but there are no notes with the Case ID.
6. Can't work more than 20 hours in a day.

11.5.6 Advanced Features

The previous sections provide all the steps necessary to complete a regular ePTE report. This section includes additional system features and focuses on making changes to your ePTE data and your personal information.

1. Editing Hours and Expenses on an untransmitted ePTE record:

You can open and edit any ePTE record in the system as long as the record has not been transmitted to RTI.

- On the Entry Form, key in the exact information as the one you want to edit.
- Press [**Alt**] [**n**] (for Enter PT&E) or click Enter PT&E to see the previously completed Detail Form.

You can use this method to update Hours or Expenses or other information in any un-transmitted records. Transmitting to RTI only sends those ePTE records that you specify as "Ready to Transmit" when the records are saved. If you choose not to transmit the record when you save it, you must open it later using this method, then save it with a transmission confirmation in order for RTI to receive the record before 10:30 p.m. (EST) on Sunday.

2. Deleting an ePTE Record that hasn't been transmitted:

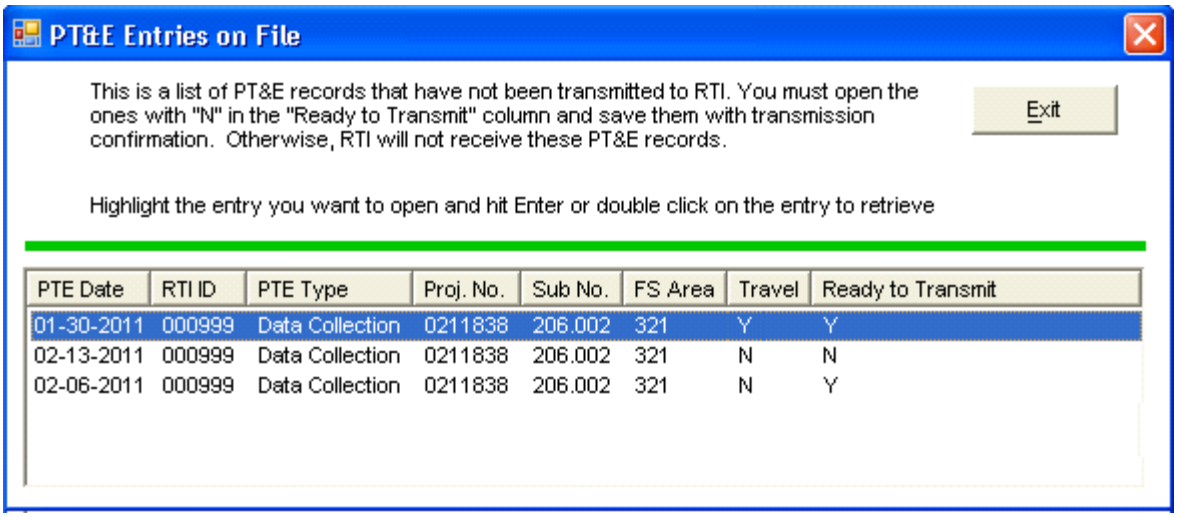
To delete an un-transmitted ePTE record, key in the exact information on the Entry Form as the one you want to delete. Press [**Alt**] [**e**] (for Edit) then [**Enter**] (for Delete PT&E Record). The system asks whether you really want to delete this record. If you answer yes, the record is removed from the system. Please note that you can only delete records that are not yet transmitted to RTI.

3. Locating Un-transmitted ePTE Records:

As explained above, you can locate and edit an un-transmitted record by providing the exact same information on the Entry Form as the record you want to locate. Sometimes, however, you may not remember the ePTE records that you have previously entered. The Entry Form provides a tool to help you. To find un-transmitted records:

- Press [**Alt**] [**f**] (for File) then [**u**] for Search Un-transmitted ePTE.

  The PT&E Entries on File Form (shown on the next page) lists all ePTE entries in the system that have not been transmitted. Use the arrow keys to move up or down in the list until the record you wish to edit is highlighted in blue, then press [**Enter**]. Touchpad users can point to the needed record and double click to select it. This takes you back to the Entry Form where the fields are filled with the data from that particular record. Press [**Alt**] [**n**] to Enter the Detail Form (or click Enter) to make changes to the data associated with that ePTE record.



4. Locating Transmitted ePTE Records:

Use the method from item 3 to view transmitted ePTE records. From the Entry Form, press [**Alt**] [**f**] (for File) and [**t**] for Search Transmitted PT&E to see a list of records that have already been transmitted to RTI. Selecting a record from this screen works the same way as it did with un-transmitted records. Use the arrow keys to highlight in blue the record you wish to view, then press [**Enter**], or double click the record. You can open these records for viewing purposes only. The system displays a pop-up box when you enter the Detail Form reminding you that the record has already been transmitted and asking you if you would like to open it for viewing only. All the fields in the Detail Form are grayed out or read-only, preventing you from making changes. Also, the only available option from the Detail Form is to Cancel, [**Alt**] [**c**].

5. Correcting mistakes on an ePTE that has already been transmitted:

Please notify your FS as soon as possible. Your FS may also ask you to contact Headway staff.

6. Completing an ePTE for up to 2 weeks in which you do not work:

On the Entry Form, check the 'Did Not Work' field. Then go to the Detail Form in order to save the record and make it "Ready to Transmit." If you check "Did Not Work" on the Entry Form, you are not able to enter any Hours or Expenses on the Detail Form.

7. Completing a PT&E record for 3 weeks or more in which you do not work:

Do not submit an ePTE record if you will not be working for 3 weeks or more. Instead, your FS must send an e-mail message to Headway indicating the dates you will not be working as well as the reason you will not be working. This may occur in a number of situations, such as when you have finished your assignment and will not be helping in another region for the remainder of the quarter.

8. Loading Default Values:

If you have made changes to the information on the Entry Form and now need to bring your default values back, press [**Alt**] [**t**] (for Tools) then [**l**] (for Load Default Values).

9. Clearing Default Values on the Entry Form:

Occasionally, you may want to clear out all default information displayed on the Entry Form to enter information for a new ePTE record. To do this, press [**Alt**] [**t**] (for Tools) then [**r**] (for Refresh).

10. Changing the Default Values on the Entry Form:

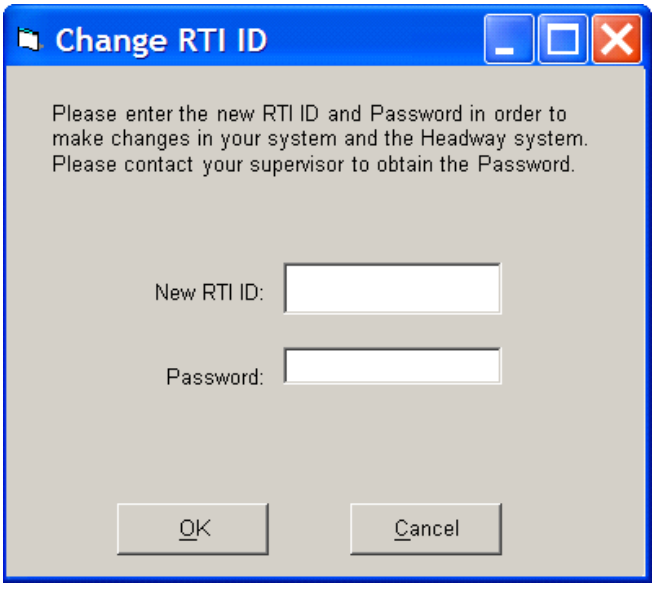
Occasionally, you may need to change the default values that pre-fill when you begin the ePTE program.

- From the Entry Form, press [**Alt**] [**t**] (for Tools) and then [**v**] (for Update Default Values).

The System Default Value Setting Form appears so you can update your personal information. You can make corrections to all values except the RTI ID. If you make updates to your name, address, or phone number, a check mark appears in the 'New Name/Address/Phone' field. After you make the updates, press [**Alt**] [**s**] (for Save) or click Save. A pop-up box asks if you would like to transmit this change. If so, answer 'yes' to this pop-up box. The next time you transmit to RTI this update information will be sent to RTI and Headway.

11. Changing your RTI ID Number:

This value is the main key to processing your ePTEs (and getting paid!) and should only be changed under very unusual circumstances. To change your RTI ID number, you must acquire a password from your FS. Once you have the password, go to the Entry Form. Press [**Alt**] [**t**] (for Tools) and then [**i**] (for Change ID). The Change RTI ID Form appears:



Enter the updated information and the password, then press [**Alt**] [**o**] (for OK) or click OK. If you have entered this form in error, cancel out by pressing [**Alt**] [**c**] (for Cancel) or clicking on Cancel.

12. Compact your ePTE Data:

Occasionally, your FS or Tech Support may recommend that you compact your ePTE data to enhance the system performance and prevent system crashes. Compacting data will be scheduled by either your FS or Technical Support and should not be done on your own. **When the system is compacting data, please wait until it finishes. Do not perform any other task or turn off your computer as this may cause serious problems**.

13. Accessing the Built-In Help Files:

From the Entry Form, press [**Alt**] [**h**] and then either [**b**] for Basic Information or [**q**] for the list of Frequently Asked Questions. You can scroll down the help window by using the **down arrow**. Once you have finished reading the help file, close it by pressing [**Alt**] [**F4**].

14. Using the Touchpad

By design, this ePTE system works fine using the keys, although it has also been designed to be easy to use with a computer mouse. Your laptop has a built in Touchpad, which functions like a mouse only it can be trickier to use. Instructions for using the Touchpad are found in ***Section 4.3.4*** of the ***FI Computer Manual***.

The CAI Manager, which allows you to start an interview or enter the transmission program on the ePTE system, (see ***Section 5.2*** of the ***FI Computer Manual***) actually works better with the Touchpad. Please use the Touchpad to perform functions on the CAI Manager screen. Although using the Touchpad to complete your ePTEs is acceptable for those of you who prefer this, it is important that you NEVER use the Touchpad during a CAI interview.

The CAI interview program was **not** designed for use with a Touchpad or a mouse. Using it during a CAI interview causes the answer bar to lose focus so that the answers can no longer be entered with the keyboard. This causes confusion for interviewers and respondents. We hear reports of this happening if an FI or a respondent accidentally brush the Touchpad. It is disruptive and problematic.

If the CAI program or CAI Manager stops responding to your keystrokes, check the title bar at the top of the screen. If the bar is a light blue/gray color instead of bright blue, the program may have "lost focus." Press [**Alt**] [**Tab**] and the title bar will regain focus and turn bright blue.

Just remember to NEVER use a mouse or the Touchpad during CAI!

11.6 Submitting Receipts with Electronic PT&Es

Using the ePTE system to submit your data has many advantages, including increased speed and accuracy of submission. To allow for submission of paper expense receipts in conjunction with the ePTE system, you will use a form called the **Headway Expense Report**. As discussed earlier, you will record all expenses over $10.00 along with all telephone costs on this form and you must include receipts. Remember, you will document expenses $10.00 and under on the ePTE and not on the paper Headway

Expense Report. Every expense will be claimed on EITHER the ePTE OR the Headway Expense Report, but NOTHING will be reported on both of the forms. In other words, you cannot claim the same expense twice. Keeping this in mind, be sure to complete this report carefully, legibly, and completely.

Follow these steps when using the Headway Expense Report shown in ***Exhibit 11.4*** to submit your receipts:

1. Accurately record your FS's area number and name, the project number (including the task number), and the corresponding week beginning date.
2. Date – Enter the dates beside each day of the week on the left side.
3. Total Expenses – Total your daily expenses by adding the amounts in each of the expense columns. Do not include incentive amounts in this total.
4. Lodging – While on travel status, document all lodging expenses incurred. Lodging receipts must be attached.
5. Meals – Meal expenses while on travel status are included in the travel per diem and should be documented on your ePTE, NOT on the Headway Expense Report.
6. Telephone – Document project telephone charges as one total charge once you have received your telephone bill. You must submit a copy of your monthly telephone bill with any project calls highlighted. Telephone charges should be rare as most project staff have toll free numbers. Also, while on travel status, document each day any project telephone charges that are incurred and attach the hotel receipt showing the phone charges.
7. Auto Rental – You must be on travel status and have prior approval from your FS in order to be reimbursed for an auto rental. Your FS will make any necessary auto rental reservations for you with National Car Rental, and the cost of the rental will be billed directly to the project. Therefore, you should not record the cost of the auto rental on your Headway Expense Report. However, you must attach and submit your receipt for auto rentals to this form.
8. Miscellaneous – Document all miscellaneous expenses over $10.00 for the corresponding day of the week. Record the amount and explain the expense in the Notes section. **Receipts for all miscellaneous expenses over $10.00 must be submitted with this form**. Remember, expenses over $10.00 are not recorded on your ePTE.
9. Notes – Enter notes as required. For example, all miscellaneous expenses must be explained in the Notes section, including Receipt for Escort Services (***Section 11.8***).
10. When finished, complete the certification area by entering your RTI ID number, and the date prepared. Sign your name to "...certify that this statement is true, correct, and complete and that the data collected and submitted are truthful."
11. Keep the pink (bottom) copy for your records.
12. Staple all receipts behind the white copy of the form and mail the original and yellow copies to your FS.

HEADWAY EXPENSE REPORT

RTI Project Number: 0211838.206.002

Field Supervisor Area 234

Field Supervisor Name Kristen Effess

Week Beginning Sunday — Month 02 — Day 20 — Year 2011

Day of the Week	Date	Total Expenses	Lodging*	Meals	Telephone	Auto Rental*	Miscellaneous§
Sunday	2/20	35.00					35.00
Monday	2/21						
Tuesday	2/22						
Wednesday	2/23						
Thursday	2/24						
Friday	2/25						
Saturday	2/26						
Total		35.00					35.00

* All expenses for Lodging, Telephone and Auto Rental must be accompanied by original receipts.
§ All miscellaneous expenses must be explained in the Notes section. Attach receipts for expenses over $10.

ID Number: 123456

Name: Rachel Interviewer (Please print)

Address: 519 (Number) Valley Drive (Street)

City: Oakwood State: OH ZIP: 45409

Telephone: (937) 678-5050 ☐ Please check if name or address change

I certify that this statement is true, correct and complete and that the data collected and submitted are truthful.

Signature Rachel Interviewer Date 2/26/11

Approved by: _____ (Supervisor) Date _____

Notes:

2/20 Escort Expenses

Disposition: Send original and yellow copies to supervisor; retain pink copy for your records. 12/06

11.7 Handling Incentive Advances

You are responsible for paying respondents cash incentives and monitoring your incentive funds on a weekly basis. Once you are given a case assignment, you will be required to sign a 3-part Incentive Advance Agreement (see ***Exhibit 11.5***) stating that you will return the full incentive amount to Headway within 15 days of your date of resignation, termination, inactive status, or completion of Quarter 4 assignment. Headway and your FS each receive a signed copy and you will keep a copy for your records. If you receive an assignment for the next quarter's work, you will not return the advance since you will need it for another quarter. All advances expire in December at the close of data collection for this year.

11.7.1 Incentive Payments

Since you are required to pay interview respondents in cash, you will be issued an incentive advance from Headway at the beginning of the quarter to cover the incentives. Cash the Headway check and request that it be dispensed in ten and twenty dollar bills. You will pay **all** respondents from the incentive advance. Each week, you will document on your ePTE all incentives that were paid to respondents. Headway will reimburse you for all incentives paid based on the total amount of incentives entered in the Incentive column of your ePTE. As a result, your incentive cash amount will always equal the original amount. When in the field working, you must have sufficient funds with you to pay the respondents on the spot. It is considered a serious violation of project procedures to fail to pay the respondent before leaving the household and is grounds for termination from the project.

11.7.2 Incentive Advance Balance Sheet

Keeping track of incentive advances received, incentive payments made to respondents, and reimbursements from Headway requires careful and detailed records. Use the Incentive Advance Balance Sheet (***Exhibit 11.6***) to keep a record of incentive payments and Headway reimbursements. You will receive a Headway Advance Balance booklet containing instructions on how to monitor your incentive advance money and also a supply of blank Incentive Advance Balance Sheets.

On your Incentive Advance Balance Sheet, record the following entries each time they occur:

1. receive an incentive cash advance from Headway,
2. submit an ePTE with incentive payment entries,
3. receive a reimbursement check from Headway for incentive payments,
4. Headway deducts money from your check to retrieve an outstanding incentive advance, or
5. you write a personal check or money order to Headway to repay an incentive balance.

This Advance Balance Sheet is very important to use to keep your incentive advance balance records up-to-date.

The Advance Balance Sheet has nine columns. However, since you record different types of transactions on the Advance Balance Sheet, only certain columns pertain to each type of transaction. The following are instructions on how and when to fill out each column. Please refer to ***Exhibit 11.6***.

Project #	The RTI Project number for NSDUH data collection is: 0211838-206.002.
Advance Amount	When issued an incentive advance, record the advance amount in this column. When recording incentive payments, reimbursements, and incentive advance repayments, disregard this column.
Date of Check	Record the date printed on the Headway incentive advance check or reimbursement check in this column. Also record the date of a personal check written to repay Headway.
Check Number	Enter the check number printed on the Headway incentive advance check or reimbursement check. For a personal check written to repay Headway, record the check number.
Type of Deduction	Use the following abbreviations: incentive payments "Inc," incentive advance repayments from expenses "Exp," incentive advance repayments from hours worked "Hrs," or personal checks to repay Headway incentive advances "PC."
Incentives Paid to R	Enter the total dollar amount of incentive payments given to respondents for the entire ePTE week.
Amount Paid to Headway	For incentive advance repayments, enter the amount that Headway deducted from your paycheck as shown on your paystub for each category (expenses/hours). For personal checks or money orders to repay an incentive advance to Headway, enter the amount of the personal check or money order.
PTE Date	Enter the date of the corresponding ePTE where you reported incentive payments, Headway reimbursement, or the date of the ePTE that Headway deducted the amount for the incentive advance repayment.
Amount Reimbursed	Record the amount of the incentive advance reimbursement as shown on your Incentive Advance Reimbursement check from Headway.
Current Balance	For an incentive deduction, subtract the "Incentives Paid" from the previous balance to calculate the "Current Balance." For an incentive advance reimbursement, add the amount of the reimbursement to the previous balance and record in this column. Record the "Current Balance" on your balance sheet for each transaction.

The first type of transaction you will record on your Incentive Advance Balance Sheet is your initial incentive advance from Headway. Enter the "Project number," "Advance Amount," "Date of Check," "Check Number," and "Current Balance." Refer to the first entry on ***Exhibit 11.6*** for an example.

Your next transactions will be incentive payments for each ePTE week. After filling out your ePTE for the week, record the "Project number," the deduction "Type" as "Inc," the total dollar amount of incentives paid to respondents from the Incentive column of your ePTE, the "Week beginning Sunday" date on your ePTE as the "PTE Date," and then calculate your "Current Balance."

The next transaction on the balance sheet will be the reimbursement from Headway for used incentive funds. Refer to the third entry on ***Exhibit 11.6*** as an example. For each PTE week, enter the "Project number," "Date of Check," "Check number," "PTE Date," and the "Amount Reimbursed" from Headway, which is the amount of your Incentive Advance Reimbursement check from Headway. The reimbursement amount and the previous current balance entry should total together to equal a "Current Balance" of your initial advance amount at all times.

The last type of entry shown on ***Exhibit 11.6*** is for a personal check or money order written by the FI to Headway to repay his/her incentive advance balance. You will enter the "Project number," "Date of Check," "Check Number," "PC" as the "Type" of deduction, and "Amount Paid to Headway." And, the current balance should equal $0.

11.7.3 Repaying the Incentive Advance Balance

Should you resign or be terminated from the project, the outstanding incentive balance is due within 15 days. Also note that any interviewer placed on inactive status for 30 days or more (due to completion of assignments or other circumstances such as illness) is expected to repay the advance in full within 15 days of the status change. If necessary, send a check or money order (made out to Headway) for the outstanding incentive balance **to your FS** who will notify Headway and then forward your payment.

Once advance balances are overdue, Headway is authorized to deduct from 100% of all expenses and up to 70% of gross wages to reconcile the advance amount. If Headway receives a check or money order for an expired incentive advance after the 15 day time period has passed, they will:

1. Deposit the check or money order if they had not been able to recoup the advance from payroll
2. Deposit the check or money order and reimburse the employee a portion if there was money left over after recouping the advance
3. Return the check or money order to the employee if they had already reconciled the advance balance.

Exhibit 11.5 Incentive Advance Agreement

Incentive Advance Agreement

I,_____, agree to the following terms for payment, reimbursement, and return of incentive funds on (project #) **0211838** or any other project while working for Headway.

1. To use the advance only for the purpose intended (example: to pay respondents an incentive upon completion of an interview or collecting biological samples).

2. To enter all incentives paid to respondents in column 16 (Incentives) on my ePTE or paper PT&E.

3. To maintain a record of my incentive balance using the Headway Incentive Advance Balance Sheet.

4. To return the full incentive advance balance via personal check or money order to Headway Corporate Resources within 15 days of my date of resignation, termination, inactive status or completion of my assignment whichever comes first.

5. To authorize Headway to deduct the current incentive advance balance from an expense reimbursement or from a payroll if requested by my Field Supervisor.

6. To pay on demand to Headway the balance of the advance issued. The specific amount will be determined by calculation of the advance issued less the amount of a personal check, repayment deducted from expense reimbursement, and the amount of repayment deducted from payroll.

All payments shall be paid in lawful currency of the United States of America. I also agree, if collection procedures are necessary, to pay all costs of collection including reasonable attorney's fees.

I further understand that if this agreement is not upheld that disciplinary actions will be taken immediately.

This agreement is binding and shall supersede all other agreements whether in writing or verbal and shall be the governing terms and conditions where a conflict may exist between the terms and conditions of this agreement and the terms and conditions of other agreements or forms.

As certified by my signature below, I hereby affirm that I have read, understand, and agree to the above terms and conditions.

_____ _____

Field Interviewer Signature Date

Disposition: Original to Headway, Yellow to Field Supervisor, Pink retained by employee.

Exhibit 11.6 Incentive Advance Balance Sheet



INCENTIVE ADVANCE BALANCE SHEET

Name _____

Project #	Adv. Amt.	Date of Check	Check Number	Type *	Incentives Paid to R	Amt. Paid to Headway	PTE Date	Amount Reimbursed **	Current Balance
0211838-206.002	$300	1/2/2011	50632						$300
0211838-206.002				Inc	$120		1/2/2011		$180
0211838-206.002		1/9/2011	50679				1/2/2011	$120	$300
0211838-206.002				Inc	$90		1/9/2011		$210
0211838-206.002		1/16/2011	60753				1/19/2011	$90	$300
0211838-206.002				Inc	$90		1/16/2011		$210
0211838-206.002		1/23/2011	60816				1/16/2011	$90	$300
0211838-206.002				Inc	$150		1/23/2011		$150
0211838-206.002		1/30/2011	60896				1/23/2011	$150	$300
0211838-206.002		2/6/2011	1735	PC		$300			$0

*** Inc=Incentive, Exp=Expenses, Hrs=Hours, PC=Personal Check**

**** This is the amount of the Incentive Advance Reimbursement check you received for the ePTE Week.**

11.8 Escorts

There may be times when you are working in a neighborhood where either because of safety or neighborhood suspicion an escort is necessary (refer back to ***Section 5.8*** for additional information). The use of an escort must be pre-authorized by your FS. When an escort is needed, call your FS to receive verbal approval before arranging for an escort. You are responsible for paying for escort services based on an hourly rate negotiated with the escort and approved by your FS. After approving your use of an escort, your FS will complete Part A of the Receipt for Escort Services Form, indicating the approved rate and the projected number of hours. The FS will then mail the receipt form to you.

For you to be reimbursed, you must complete the remaining sections of the Receipt for Escort Services Form, have the escort sign it, and submit the original and yellow copies with the Headway Expense Report form. This payment must be entered on the Headway Expense Report in the "Miscellaneous Expenses" column and then explained in the "Notes" section. You will only enter escort costs on the paper Headway Expense Report form and not on your ePTE. Give the gold copy of the Receipt for Escort Services Form to the escort. Keep the pink copy for your records, and send the original and yellow copies to your FS with your Headway Expense Report (see ***Section 11.6***). An example of a completed receipt is shown in ***Exhibit 11.7***.

Exhibit 11.7 Completed Receipt for Escort Services

headway
corporate resources

Receipt for Escort Services

Field Supervisor: Complete Section A prior to mailing form to the field interviewer and enter data on Escort Authorization Log.

Field Interviewer: Complete and sign Section B upon initiation of the escort's services. Complete and sign Section C upon completion of the escort's services.

Escort: Sign Section B upon initiation of service. Sign Section C upon completion of service.

A

Project No.: 0211838.206.002 FI Name: Rachel Interviewer

Approved Rate: $ 7.00 /hr Estimated Total Hours: 5.00

Pre-approved on 2/15/11 (Date) by Kristen Effess (FS Name)

B

Escort Name: James Pike

Address: 1128 Tenth St.
Cleveland OH 45401

Telephone No.: (216) 382 - 5151

Social Security Number: 923-45-6789

EMPLOYEE ESCORT AGREEMENT

The undersigned employee of Headway Corporate Resources of North Carolina, Inc. ("Headway") hereby understands, acknowledges, and agrees that any person accompanying Employee while Employee is carrying out the duties of their employment, whether or not such person provides assistance to employee is not an employee, or agent, or independent contractor of Headway. Persons accompanying employees do so solely at the direction of and in the discretion of employee and Headway has no contractual or legal obligation to such persons.

Prior to any person accompanying employee while employee is engaged in the performance of the duties of their employment, employee shall have the person execute the "Escort Agreement" (below) and return to Headway.

Rachel Interviewer — **Field Interviewer** Signature

Rachel Interviewer — **Field Interviewer** Name Printed

ESCORT AGREEMENT

The undersigned individual represents that he/she is accompanying an employee of Headway Corporate Resources of North Carolina, Inc. ("Headway") while the employee is performing the duties of his/her employment. The undersigned acknowledges that he/she is not an employee, subcontractor or agent of Headway for any purpose and that Headway has no legal responsibility to or for the undersigned. The undersigned further represents that he/she will not seek to hold Headway liable for any loss, damage, claim action, or cause of action at law or in equity arising out of or related in any way to their accompaniment of any employee of Headway while such employee is action in the furtherance of their duties of employment.

James Pike — **Escort** Signature

James Pike — **Escort** Name Printed

C

Received $ 35.00 from Rachel Interviewer for escort services rendered on 2/23/11 while working in Cleveland. Amount based on a total of 5 hour worked at a rate of $ 7.00 /hr.

Signatures: James Pike — **Escort**

Rachel Interviewer — **Field Interviewer**

Disposition: Send original & yellow copy to supervisor, keep pink copy for your records, give gold copy to escort.

Sept 2005

11.9 FedEx Mailing Procedures

While we do not expect this to occur often, your FS or other RTI staff may request that you send materials or equipment via FedEx. For example, you would use FedEx to return faulty computer equipment to RTI if the Technical Support staff directs you to do so. The procedures, while simple, are essential to ensure that your shipment is not lost, arrives promptly, and that the charge is billed properly.

When sending materials via FedEx, place materials in a package suitable for shipping. Your local FedEx office can provide you with boxes and envelopes free of charge if you need them. Follow the steps documented in ***Exhibit 11.8*** to properly complete the FedEx airbill. An example of the pre-printed FedEx airbill that will be provided to you at training or by your FS for shipments is shown in ***Exhibit 11.9***. It is especially important that you use one of the pre-printed FedEx airbills provided. That way you only need to add your name and address and the rest is ready. If you need additional airbills, contact your FS to arrange for an additional supply to be sent to you.

11.9.1 Proper Handling of FedEx Packages

Project materials and equipment are vulnerable to loss or theft during drop off and delivery. Use the following steps to ensure proper delivery and handling of the package.

- Keep the top copy of the airbill, the "Sender's Copy," so you have a record of the important tracking number at the top of the airbill. RTI staff need this number to track the package if it is not delivered on time.
- Peel off the adhesive backing and affix the label to the package, or place the completed FedEx airbill in one of the provided plastic pouches.

Once ready for shipment, consider the best method for giving the package to FedEx. You have three options:

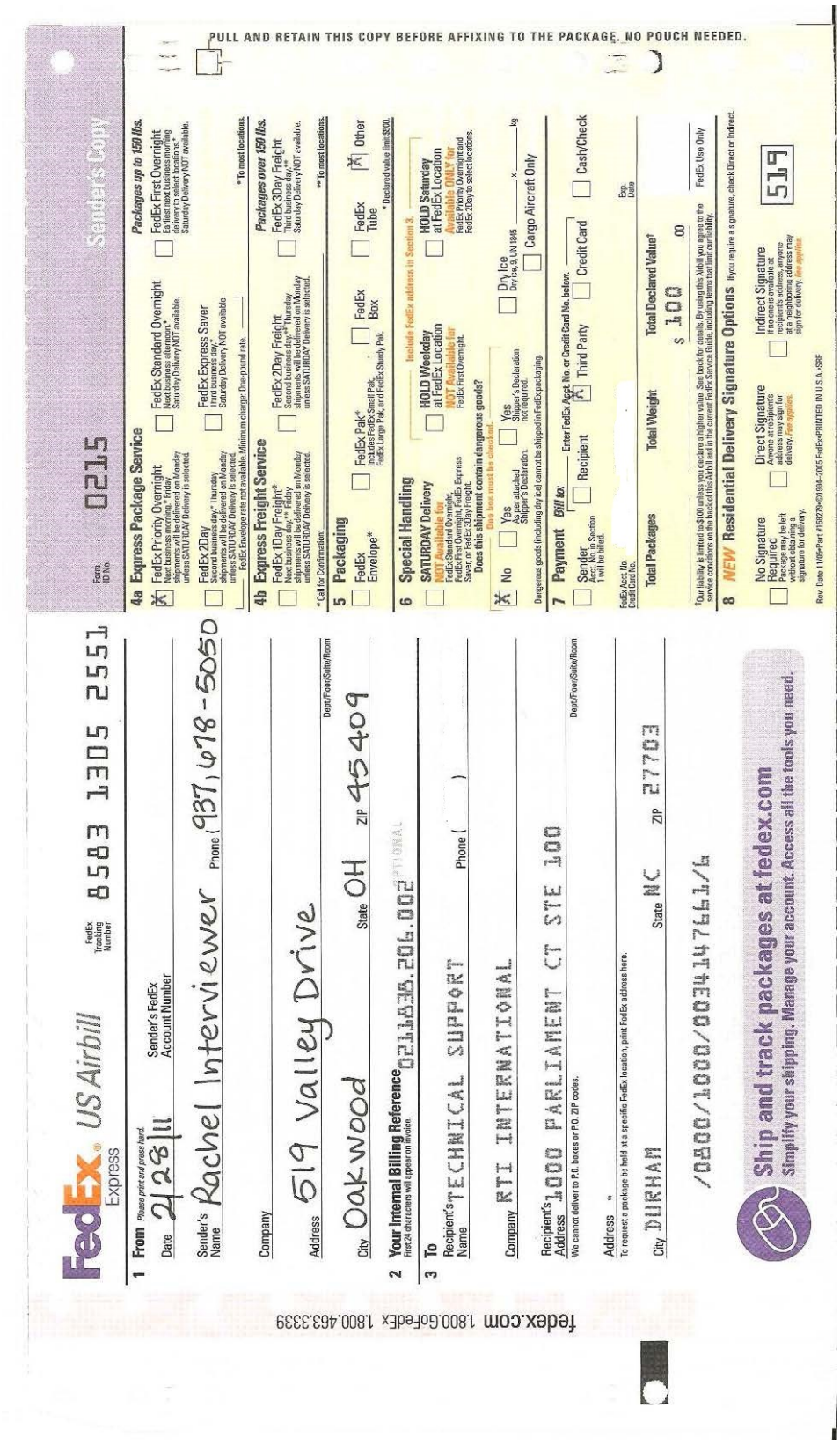
1. Arrange for the package to be picked up at your home by calling FedEx at 1-800-GOFEDEX. You MUST hand the package directly to an authorized FedEx employee. Do NOT leave the package unattended for pickup. Do NOT leave the package with a family member to give to FedEx.
2. Take the package to your local FedEx office. You must hand the package directly to an authorized FedEx employee. Do NOT ask any non-project person to deliver the package for you.
3. Leave the package in a secure FedEx drop box. Do NOT ask any non-project person to deliver the package for you.

While detailed, these FedEx procedures are designed to ensure that all project materials and equipment remain in "reliable hands" while in the field. Always ask your FS should you have any questions about these procedures.

Exhibit 11.8 Instructions for Completing a FedEx Airbill

Section #	Instructions	Additional Notes or Explanations
1	Enter the shipping date. Leave the Sender's account number blank. Enter your name, telephone number and address as the sender.	
2	Notice the project number 0211838.206.002 is preprinted.	The first three numbers before the project number, '02', are RTI internal accounting numbers and should be included with the project number. This number should be preprinted on the airbill and must be marked correctly for RTI to properly process charges. For data security purposes, do NOT add a project name or acronym.
3	For NSDUH materials or equipment, use the airbill with preprinted recipient information to RTI.	FedEx must have street addresses: no PO boxes.
4a	Verify the box 'FedEx Priority Overnight' is marked (unless otherwise instructed by your FS or RTI staff).	This must be marked correctly for RTI to receive the correct, discounted rate.
4b	Leave blank.	
5	Mark the type of package used for the shipment.	"Other" should be marked for NSDUH equipment or materials shipped in RTI packaging. If instructed by your FS or RTI staff to use FedEx Pak packing, make sure the appropriate package type is marked.
6	Ensure the box 'No' is checked under the question about possible dangerous contents.	
7	Ensure the box 'Third Party' is preprinted. Check also that the RTI FedEx account number ( ) is preprinted. Leave the weight/total declared value lines blank.	The standard FedEx coverage meets the project's needs. Additional insurance is not necessary.
8	For packages to RTI, this part does not apply. Leave the item blank.	

Exhibit 11.9 Completed FedEx Airbill



11.10 Work Absences Caused by Sickness and Vacation

If you must be absent from work for any reason, you should notify your FS as soon as possible. If the absence is due to a planned vacation, please discuss this with your FS as soon as your plans are nearly final and at least two weeks prior to your departure date.

In some circumstances you may be entitled to up to 12 weeks per year of unpaid, job-protected leave under the Family Medical Leave Act of 1993 (FMLA). The basic eligibility requirements are that an employee has worked for Headway for a minimum of one year, has worked at least 1,250 hours in the previous 12 months, and the employee is faced with a condition that is considered a legitimate reason for taking FMLA leave. These reasons may include: to care for the employee's child after birth, or placement for adoption or foster care; to care for the employee's spouse, son or daughter, or parent, who has a serious health condition; or for a serious health condition that makes the employee unable to perform his/her job.

If you encounter a situation where you feel unable to work due to one of the reasons above, you should notify your FS right away. For more information on FMLA, you may contact Headway and request the flyer "Your Rights Under the Family and Medical Leave Act of 1993."

11.11 Field Accidents and Injuries

If you are involved in an auto accident (whether injured or not) or have any type of fall or accident while on the job (whether injured or not), you must contact your FS as soon as is practically possible. He/she will work with you to ensure the accident is promptly and properly reported to Headway. It is important that the nature of the accident is reported to Headway within one business day if at all possible (call .

11.12 FI Referrals

Staffing a national study as large as NSDUH with a sufficient number of interviewers to complete all of the work in each of the states and FS regions is an ongoing task. Referrals from current field staff are one of our best sources of recruits for interviewer positions. Be on the lookout for other interested persons who are available to work on the project and likely to succeed as an interviewer.

NSDUH has a bonus system in place to encourage staff to recommend quality candidates. If you make a referral to your FS and the referred person is hired, completes training, and successfully completes two full quarter assignments, you are eligible for a bonus payment of $500.00 (less any standard deductions). Successful completion of the assignment means that the new interviewer completes all of the screening lines assigned to them, finalizes the interview process for all respondents identified, and is not on any step in the Headway discipline process.

11.13 FIs on Travel Status

If your FS identifies you as an interviewer who may work on travel status, you should **carefully** read the detailed Traveling Information Sheet shown in ***Exhibit 11.10***. This document explains the current

procedures for FI travel assignments for the NSDUH and provides excellent tips on how to have a successful trip.

Be aware that FIs on travel status have many more administrative details to pay attention to, particularly if traveling for another FS. You must be organized and keep careful records in order to complete accurate and timely reports.

While on travel status, you may be issued a travel advance. Just like the incentive advance, you are responsible for monitoring all funds issued for the purpose of travel. You are required to complete a Travel Advance Balance Sheet to track all expenses incurred throughout your travel dates.

The Travel Advance Balance Sheet has nine columns (see ***Exhibit 11.11***). The following are instructions on how to fill out each column.

Project #	The RTI Project number is 0211838-206.002.
Advance Amount	Record the advance amount in this column.
Travel Dates	Record your travel dates.
Date of Check	Record the date printed on the Headway travel advance check. Also record the date of a personal check written to repay Headway.
Check Number	Enter the check number printed on the Headway travel advance check. For a personal check written to repay Headway, record the check number.
Deduction Type	Use the following abbreviations: travel advance repayments from expenses "Exp," travel advance repayments from hours worked "Hrs," or personal checks to repay Headway travel advances "PC."
Deduction Amount	Enter the total amount of expenses incurred throughout each ePTE week of travel.
PTE Date	Enter the "Week beginning Sunday" date of the week that travel expenses were incurred.
Current Balance	Subtract the total expenses for each week from the current balance. This will leave the current balance owed to Headway.

The first type of transaction you will record on your travel advance balance sheet is your initial travel advance from Headway. Enter the "Project number," "Advance Amount," "Travel Dates," "Date of Check," "Check Number," and "Current Balance." Refer to the first entry on ***Exhibit 11.11*** for an example.

Your next transaction will be deduction amounts for each ePTE week during your travel dates. At the end of the ePTE week, total all expenses incurred during the "Week beginning Sunday" date of travel, and include it on your travel advance sheet. Enter the "Project number," "Deduction Type," "Deduction

Amount," and the "PTE Date" of which the expense was incurred. Then subtract the "Deduction Amount" from the Current Balance shown to obtain the new "Current Balance." Refer to the second entry on ***Exhibit 11.11***.

The last transaction you will record on your travel advance balance sheet is the personal check or money order from you to Headway to repay the total remaining balance of the travel advance. Refer to the last entry on ***Exhibit 11.11***. Record the "Project number," "Date of Check, "Check Number," "Deduction Type," "Deduction Amount," and calculate the "Current Balance" which should equal $0.

NOTE: All travel advances expire upon completion of the end travel date. FIs must send a check or money order (made out to Headway) to their FS for submission to Headway for any remaining balance within 15 days.

Exhibit 11.10 Travel Assignment Information Sheet

You are being considered for potential Travel Assignment(s). Soon you may be contacted about specific travel needs. Before you are contacted, and before you agree to a travel assignment, please read the information provided on this form. It will familiarize you with NSDUH Travel Procedures and what our expectations are for FIs who agree to accept Travel Assignments.

1. Selection

Once Regional Supervisors and Field Supervisors have agreed that a Field Interviewer on travel status is needed, a decision will be made on who is best suited for the assignment. Suitability will be determined based on:

- characteristics of the FI Region and segments where help is needed
- productivity of available FIs
- response rates normally achieved by available FIs
- cost consciousness of available FIs
- versatility of available FIs
- racial/ethnic/language needs
- geographic proximity
- length of stay necessary (many travel assignments require a minimum of 10 to 14 days).

2. Contact

Initial contact with available FIs will be made by your FS. The destination and type of assignment will be discussed in general. If you are offered a potential assignment and you are interested, you will then be contacted by either your FS, another FS (if you would be working in a different FS territory), or by the Regional Supervisor.

During this contact you will be provided with specific information about the size and makeup of the assignment, the length of stay necessary, and travel and lodging arrangements. Based on this conversation, you and the supervisor can make a decision on whether you should accept the assignment. Your own supervisor will be notified of the decision and informed of any plans made.

If you are offered and accept a Travel Assignment, Headway will provide you with any needed cash advance, air tickets, and car rental reservations. In almost all cases, arrangements for these will be made by the supervisor. At this time, you also will be advised on how to return any cash remaining from your advance at the end of your assignment.

Exhibit 11.10 Travel Assignment Information Sheet (continued)

3. Expectations

The use of FIs on travel status is expensive. In order to obtain maximum results in return for the costs incurred, it is critical that trips are productive. If you agree to a travel assignment, you must do your best to meet the following expectations:

- Employ the most economical means of travel to arrive at your destination.

  The supervisor will arrange for the most economical method of travel. If you live close enough to the assignment, you will be asked (in most cases) to drive to the location. If a flight is necessary, the supervisor will arrange for the purchase of the least costly, available fare. The cost of a rental car and your airline ticket will be billed directly to the project. These items will be sent to you by Headway. Remember to include these direct billed expenses in your iPAQ PT&E Summary (see ***Section 9.3***).

  If for some reason you would prefer to drive instead of fly (and if this is practical), your allowable mileage and hourly charges may not exceed the cost of the flight, your mileage to and from the airport, and the hours it would take to depart from your residence and fly to the assigned location.

- Work to find adequate, comfortable, and reasonable lodging.

  In many FI Regions, comfortable and adequate lodging can be found at prices far below the maximum allowable Government Rate. The supervisor will provide you with more than one reasonable option from which to choose. It is important that you choose from among the options offered, and that you not change locations without the express consent of the supervisor. If you know of alternative lodging that is close in proximity to your assignment and does not exceed the cost of the options offered you, you and the supervisor may agree on this alternate lodging. However, the final decision rests with the supervisor. RTI reimburses the actual cost of lodging, not the maximum allowable rate. Expenses incurred while staying with friends or relatives are not reimbursable.

- Follow regulations regarding allowable meals and incidental expenses.

  When on travel status, you will be reimbursed at the government Meals & Incidental Expense (M&IE) allowance rate for your travel location. This daily per diem covers all meals, tips, and other incidental expenses such as laundry, etc. No receipts are necessary. On partial travel days, you will receive a portion of the per diem rate depending on the timing of your trip. Your supervisor will communicate the appropriate amounts to you.

- Work at the height of your ability.

  FIs on travel status are nominated and selected based on their productivity in their local assignments. While on travel status, it is especially important that you give your best effort and complete your assignment in the least possible time with the best possible results. While you are not expected to exceed your abilities, you are expected to work up to them. You are expected to make maximum use of your time, and you should not take days “off” during the term of your assignment. If you happen to take an assignment in an area where you would like to sightsee or visit friends, arrange to do this after your assignment is completed. If there is no additional cost to the project, the supervisor will arrange your return flight to accommodate additional days after completion of your assignment.

Exhibit 11.10 Travel Assignment Information Sheet (continued)

- Be prepared to report frequently on your progress.

  Depending on the situation in your assignment location, the local FS may need frequent, even daily, reports on your progress. You must be prepared to meet the requirements of the situation and respond to the local FS's requests for information. Needs vary from situation to situation: You are expected to be flexible and cooperative in this matter.

- Be prepared to trade off segments, cases, etc., as needed.

  You may be working in a location with other traveling FIs or local FIs. Situations may require trading off cases, teaming with another FI in the same segments, or switching cases with another FI for refusal conversion. Your initial briefing with the supervisor(s) involved before you accept an assignment should prepare you for such eventualities, but you are expected to cooperate with the local FS and, if directed, with other FIs in the area in order to achieve the best results in the least amount of time.

- Keep careful and detailed notes for completing administrative tasks.

  While you are on travel status, it is especially important that you keep accurate, detailed, daily notes. Carefully track all expenses and note all work completed. When your travel assignment is over, be sure to complete your administrative tasks (ePTE, iPAQ PT&E summary, Headway Expense Report, settle Travel Advance) in a timely fashion.

- Obtain supervisor approval prior to charging overtime.

  If enough work exists that you can be productive and work more than 40 hours, the supervisor may authorize some overtime hours. The supervisor will determine (with your help) potential overtime hours that would lead to early completion and less time in the location. Prior approval is necessary, however, for any overtime charged. You are expected to alert the supervisor far enough in advance so that sound decisions can be made regarding allowable hours over 40 per week. Furthermore, it is important to understand that a travel assignment does not guarantee a schedule of 8 hours a day or 40 hours a week; your time charged may be more or less depending on the circumstances of the particular travel assignment.

Thank you for your interest in working on travel status. If you are selected for any travel assignments, please be assured we will do all we can to contribute to your success!

Useful Telephone Numbers:

FS_____	1- -_____-_____
FS_____	1- -_____-_____
FI_____	1-(___)-____-_____
Hotel_____	1-(___)-____-_____

To reach Headway:

To reach other RTI staff:

Call toll-free then ask the operator for the employee with whom you wish to speak.

Exhibit 11.11 Travel Advance Balance Sheet

TRAVEL ADVANCE BALANCE SHEET

Name _____

Project #	Adv. Amt.	Travel Dates	Date of Check	Check Number	Ded. Type*	Deduction Amount	PTE Date	Current Balance
0211838-206.002	$1,000	2/3-2/12	1/30/2011	601103				$1,000
0211838-206.002					Exp	$450	1/30/2011	$550
0211838-206.002					Exp	$450	2/6/2011	$100
0211838-206.002			2/13/2011	1752	PC	$100		$0

* **Exp**= Deductions from Expenses, **Hrs**=Deductions from Hours, **PC**=Personal Check sent to Headway

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REVIEW OF CHAPTER 11

Administrative Procedures

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- Learning and correctly following administrative procedures is crucial to save you and the project time and money.
- In order to be paid, you must submit an accurate and complete ePTE report each week.
- The weekly time on your ePTE is divided into several categories, including travel, contacting/locating, interviewing, and conference time. It is imperative that you maintain your personal records daily, keeping track of hours, miles, and expenses.

QUESTIONS TO ASK YOURSELF

1. It is necessary to obtain FS approval for any project-related purchases above what amount?

2. On what day does each weekly reporting period begin?

3. If you have 8 total interviews for the week, what information must be recorded in the Notes section of your ePTE?

4. Under what column would your transmission time belong? Under what column would you include all time spent screening?

5. What is the proper way to record the following times on your ePTE?

   one and a half hours

   ten minutes

   five hours and 45 minutes

   3 hours and five minutes

   one hour and fifteen minutes

   six hours

6. What information do you record in the Notes section of an ePTE?

12. SUMMARY

12.1 Introduction

To aid in the learning process, this manual is designed to break down the specific tasks of NSDUH interviewers and explain the parts individually. While that thorough approach helps cover all the procedural details, a reader can sometimes lose sight of the 'big picture' and how these procedures relate to each other. This chapter ties together all the pieces to give you a more realistic idea of the tasks in your workday and workweek.

12.2 Materials and Equipment

Many different materials and supplies have been mentioned throughout the manual. Here is a list specifying when each will be used, so you will know whether or not you will need a particular item at home or in the field.

NSDUH SUPPLIES NEEDED FOR FIELD WORK

- Your RTI photo ID badge
- iPAQ handheld computer in its protective canvas case
- Segment materials including copies of all original listing materials and Selected DU List as well as the List of Added Dwelling Units (on salmon color paper)
- Extra copies of the lead letter (English/Spanish)
- Study Description (English/Spanish)
- SAMHSA FI Authorization Letter (English/Spanish (for bilingual FIs))
- Q&A Brochures (English and Spanish)
- NSDUH information materials, including:
  - NSDUH Highlights
  - Newspaper Articles
  - Summary of Findings (You will receive one copy to show to respondents. Should a respondent want a copy, you may give yours out and request another.)
  - Who Uses the Data?
  - Short Reports
  - RTI/SAMHSA Fact Sheet
- Summary of the NSDUH Questionnaire handouts (English and Spanish)
- Showcard Booklet

- Laptop computer equipment including power cords, headphones, disposable headphone covers, and 20 foot extension cord
- Laptop carrying case
- Reference Date Calendars (English/Spanish)
- Quality Control Forms (English/Spanish)
- Envelopes for mailing Quality Control Forms
- Certificates of Participation
- Interview Payment Receipts (English and Spanish)
- Incentive cash
- NSDUH Pens (Tip: Have 2 available at each interview).

ADDITIONAL MATERIALS FOR FIELD REFERENCE/USE

- Your NSDUH Field Interviewer Manual (hardcopy and/or electronic version on laptop)
- Your NSDUH Field Interviewer Computer Manual
- "Sorry I Missed You" Cards
- Appointment Cards (English, and English/Spanish)
- Spanish Cards
- Other Language Introduction Card
- Extra iPAQ stylus
- iPAQ car charger and mini-USB cable for recharging
- Segment Access Documentation Forms
- Added Group Quarters Listing Forms.

AT-HOME MATERIALS

- Addressed lead letters
- Pre-stamped window envelopes
- iPAQ AC power adapter and mini-USB cable
- Gray telephone cord for laptop transmission and a beige phone cord coupler
- Extra stylus for use with the iPAQ
- Extra iPAQ screen protector
- Pens, pencils, paper

- iLearning CDs – Always leave at home in a safe place. Don't store the CDs in your laptop bag as damage can occur.
- Administrative Forms, including:
  - Working copies of ePTEs
  - Working copies of Headway Expense Report
  - Headway Expense Reports
  - Receipts for Escort Services
  - Incentive Advance Balance Sheets
  - Envelopes for mailing calendars/paper expense reports/PT&Es to your FS
  - Paper PT&Es, for revisions or backup

This list of NSDUH equipment and materials is lengthy and includes everything you need to conduct NSDUH screenings and interviews according to project protocol. If you feel the need for some additional item or handout, you may forward your suggestion to your FS who can pass it along to the appropriate staff for consideration. You are NEVER permitted to create your own materials. To collect accurate data for this highly important national study, all interviewing teams must conduct their work in the same way using the approved materials.

12.3 Organizing Your Materials

Even though NSDUH uses a computerized data collection system, there are still some paper forms for you to use. Keeping all of these organized and accessible can be a challenge. Each of you will develop an individual system for the various forms and pieces of equipment. Be sure to keep an accurate inventory of your materials on hand by storing them in one location to avoid stockpiling or running out of materials. Other suggestions for you to consider for organizing your materials are:

- An expandable wallet with divided sections. Each section holds an item, so you can find the appropriate one quickly.
- A crate with hanging folders in the trunk of your car. FIs often use this approach, and pull one of each of the needed items before approaching the door.
- Files in the laptop carrying case. There is room in the case for various materials or for an expandable wallet.
- Suitcase on wheels. This allows you to keep all your equipment and materials with you while easing the strain on shoulders and backs. These may be particularly helpful for FIs working in urban areas who routinely use public transportation. Remember you must have prior FS approval for expenses over $10.
- Consider safety issues when carrying the cash for paying incentives. Keep the cash in a safe place and only carry the amount you think you may need for the day.

12.4 Tasks for a Typical Day

Each day you work, there are specific tasks to perform. Of course, other activities vary depending on what you encounter out in the field. Here is a general summary of what to expect each day.

1. Review/devise your plan of action, including travel routes to/from segments. Use the iPAQ calendar, ROCs and ROC Distribution Summary to help in planning when to visit:

   a. At the Select Case screen, tap on View/Pending Cases to see what cases need work. Use the Sort feature to help determine which cases have not been contacted for some time (see ***Section 6.4.2***).

   b. Use the ROC Distribution Summary feature to review days and times of past visits.

      –Or–

      For each case you have visited before, select it and then go to the ROC screen (Actions, Go to Record of Calls), scrolling up and down to look at days and times of past visits.

   c. Check the comments for notes about best times to visit.

   d. For cases with 'no one home' codes, note any unvisited time periods.

   e. Group the cases by the determined best times/days.

      Plan your work! Work your plan!

2. Gather/organize your materials and supplies, then double check that you have everything.

3. Check the date and time on the iPAQ by looking at the top of the Select Case screen. If needed, connect the iPAQ to the laptop and transmit (see ***Chapter 6*** of the ***FI Computer Manual*** for instructions) to correct the iPAQ settings.

4. Travel to your segment.

5. Work! You will encounter a variety of situations:

   Can't screen (examples include no one home, vacant units, etc.)

   - choose case from Select Case then advance to Study Introduction
   - approach unit and discover you can't screen
   - complete ROC to document the situation.

   Screen Only (codes 22, 26, 30)

   - choose case from Select Case then advance to Study Introduction
   - approach unit and obtain participation of eligible SR
   - complete screening
   - obtain verification information
   - complete ROC.

   Screen, then Interview (codes 31, 32, then 70)

   - choose case from Select Case then advance to Study Introduction
   - approach unit and obtain participation of eligible SR
   - complete screening
   - obtain Informed Consent(s)

- connect laptop and enter QuestID from iPAQ
- complete interview(s) with available selected respondent(s)
- enter QC ID in CAI program
- complete ROC in iPAQ.

Screen, make appointment for interview (codes 31, 32 then 50)

- choose case from Select Case then advance to Study Introduction
- approach unit and obtain participation of eligible SR
- complete screening
- respondent(s) selected
- complete ROC for screening
- complete ROC for each person selected, recording appointment time
- prepare appointment card for selected person(s).

Interview only at appointment time (or other follow-up contact)

- choose case from Select Case, review selections and roster
- obtain participation/informed consent of respondent(s)
- connect laptop and enter QuestID from iPAQ
- complete interview(s) with available selected respondent(s)
- enter QC ID in CAI program
- complete ROC in iPAQ.

Record Physical Features information about cases before the start of your initial contact.

Remember to reset your iPAQ (see ***Section 6.11***) every 60 minutes during your working day.

6. Exit out to the **Today** screen, then travel home, mailing any completed Quality Control Forms on the way.
7. Review cases—any to place on hold?
8. Connect the iPAQ to the laptop.
9. Prepare for and then transmit to RTI from the laptop (with the iPAQ connected).
10. Read e-mail, if any.
11. Complete entries on working copy of ePTE reflecting the day's work, including hours, miles, expenses, incentives paid, and Case ID numbers of completed interviews and any breakoffs.
12. Leave both computers plugged in to recharge the batteries overnight.

12.5 Weekly Tasks

Each week there are specific tasks to complete:

- FS conference call.
- Prepare and submit actual ePTE from working copy (and transmit before Sunday at 10:30 p.m. EST).
- Enter summary PT&E data in your iPAQ (and transmit before Sunday at 10:30 p.m. EST).
- Update Incentive Advance Balance Sheet.
- Mail to your FS calendars from completed interviews, Interview Payment Receipts, and completed Headway Expense Reports (or backup paper PT&Es) with receipts attached.
- Inventory your project materials and supplies, requesting more as needed.

12.6 Periodic Tasks

At the beginning of every quarter, you must carefully review your segment materials and assignment for the assigned calendar quarter. Remaining tasks are performed on an as-needed basis:

- Prepare and mail lead letters.
- Call your FS for escort approval.
- Call your FS for help convincing your reluctant respondents.
- Call your FS for computer questions.
- Upon FS referral, call Technical Support.
- Talk with your FS about any controlled access situations in your assignment area.
- Call your FS for help with adding missed GQUs or other sampling concerns.
- Talk with your FS about deleting completed cases from iPAQ.
- Transmit as requested by FS.
- Resolve questions/problems.

12.7 End of Quarter Tasks

- Assign a final code to any cases not completed, **with FS approval**.
- Transmit from your iPAQ and laptop to transmit all data to RTI.
- Verify with your FS that final transmissions are complete and all data are successfully received at RTI. Confirm that you are totally finished with this quarter's work and that your FS is not planning to give you any other work for the remainder of the quarter.
- Your FS will enter information into the RTI system indicating you have transmitted all cases and are not going to work anymore this quarter.
- After your FS says to do so, transmit from your iPAQ. This transmission 'empties' your iPAQ and then lets the RTI computer know your iPAQ is empty.
- After a specified time as indicated by your FS, transmit again from your iPAQ to pick up the next quarter's work. The wait time is generally 2-4 hours.
- Handle segment materials as directed by your FS.
- Pat yourself on the back!
- Take a deep breath and prepare for the next quarter!

12.8 Continual Tasks

Keep the following goals in mind as you work:

- ALWAYS do your best;
- Behave professionally, treating all contacts and respondents with respect;
- Complete all assigned work in a timely manner;
- Work efficiently and effectively to minimize costs; and
- Conduct all work with quality in mind, following the detailed project procedures outlined in this manual.

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REVIEW OF CHAPTER 12

Summary

To assist your learning process, read the following summary of key points in this chapter. Following the summary are several questions to ask yourself. These questions will help you identify those areas you understand, and pinpoint the areas where you would benefit from re-reading a particular section.

SUMMARY

- Interviewers on this study must learn to effectively manage their supplies, including their valuable computer equipment and extensive materials. You will have to develop an organizational system that works best for you.
- Your work on this study can be broken down into daily, weekly, periodic (as needed), and end of the quarter tasks. It is extremely beneficial to use these task lists to productively organize (and understand!) your work load.

QUESTIONS TO ASK YOURSELF

1. List two supply or equipment items that you will NOT be taking into the field with you.
2. Before traveling to your segment to begin work, what should you always do?
3. List at least three tasks that you should do every night after you have finished working.

Appendix A

Instructions for Completing Paper PT&Es

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Instructions for Completing Paper PT&Es

As explained in ***Section 11.4***, all Headway field staff must complete an electronic Production, Time, and Expense (ePTE) report weekly and submit it in order to be paid. In case of computer or system problems, you may not be able to access the ePTE system so your FS may instruct you to prepare a paper PT&E. Also, if a submitted ePTE is found to contain errors, a corrected paper PT&E report must be submitted.

What to Record on a PT&E Report

Step-by-step instructions for completing a paper PT&E report are provided in this appendix. An example of a properly completed PT&E Report is provided in ***Exhibit A.1***. Please refer to these instructions and the example as you are completing your paper PT&Es to be sure you are making all required entries correctly.

The information entered in the first 4 steps listed below defines an individual PT&E report. If, in a given week, any of the information in these four steps varies, you must complete separate PT&E reports. For example, if you work for two supervisors in a given week, you must keep track of your work separately and complete two separate PT&E reports—one for each FS. If you complete work on two different task numbers or project numbers, you must prepare and submit two PT&Es. If you work in your usual location and on travel status in the same week, you must prepare and submit separate PT&Es.

1. Week Begin Date – At the top of the form, enter the date (month, day, and year) of the Sunday on which the reporting period began. Each reporting period runs for seven days—Sunday through Saturday.

2. RTI Project/Task No. – Enter the project number and the task number—0211838-206.002 for NSDUH data collection.

3. FS Information – Enter your FS's Area Number and your FS's name.

4. Travel Status – DO NOT mark the travel status box unless instructed to by your FS.

5. Did Not Work – If you do not work in a given week, you still must complete and submit a PT&E report. Mark this box to indicate you did not work, completing the top of the form and the Certification Box in the lower middle of the form.

6. Section A (Date) – This section identifies the days by date over a one-week reporting period. Enter the corresponding date for each day shown.

headway

under subcontract with

RTI International
Survey Research Division
PO Box 12194
Research Triangle Park, NC 27709

PRODUCTION, TIME, and EXPENSE REPORT (PT&E)

Field Supervisor Area 234

RTI Project Number: 0211838.206.002

Field Supervisor Name Kristen Effess Week Beginning Sunday 02 (Month) 06 (Day) 2011 (Year) Travel Status ☐ Did Not Work ☐

A		B	C								D							
		Production	Time								Expenses							
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Day of Week	Date	Number of Completed Interviews[1]	Total Hours Each Day[2]	Study/ Training	Travel	Contacting/ Locating	Interviewing	Editing	Conference	Other[3]	Miles Driven	Total Expenses	Lodging	Meals Actual Expense[4]	Tele-phone	Auto Rental	Misc.[5]	Incentives[6]
Sun	2/6	1	5.50		1.00	3.00	1.25			0.25	46							30.00
Mon	2/7	2	5.25		0.75	2.00	2.00		0.25	0.25	50							60.00
Tues	2/8	1	5.25		1.00	3.00	1.00			0.25	47							0.00
Wed	2/9	=	0.00															
Thurs	2/10	=	0.00															
Fri	2/11	=	0.00															
Sat	2/12	3	8.50		1.25	3.25	3.50		0.25	0.25	61	0.44					0.44	90.00
Totals		7	24.50		4.00	11.25	7.75		0.50	1.00	204	0.44					0.44	180.00

FOOTNOTE EXPLANATIONS:
[1]Record ID numbers in column B-1.
[2]Enter total hours worked each day in decimal form to the nearest .25 hour; then allocate time as appropriate in columns C-2 through C-8.
[3]Specify activity in the Notes section below.
[4]Report actual meal expenses within established daily limits.
[5]Explain all items in the Notes section below. Receipts must be attached for items exceeding $10.00.
[6]Incentive receipts must be attached.

123456 ID Number

Name: Rachel Interviewer (Please print)

Address: 519 (Number) Valley Drive (Street)

City: Oakwood State: OH ZIP: 45409

Telephone: (937) 678-5050 ☐ Please check if name or address change

I certify that this statement is true, correct and complete and that the data collected and submitted are truthful.

Signature Rachel Interviewer Date 2/12/11

Approved by: _____ (Supervisor) Date _____

Disposition: Send original and yellow copy to supervisor; retain pink copy for records.

B-1 Record ID #s of Interviews Completed During the Week	Notes:
	2/6, 2/7, 2/8, 2/12 OTHER time = transmitting data
OH041001B2A	2/12 = 0.44 stamp to mail FS calendars & receipts
OH041001838	R on 2/8 refused incentive payment (OH041002101A)
OH041000948	
OH041002104	
OH041000064	
OH041000068	
OH041001198	

12/04

7. Section B (Production) – Enter the total number of completed interviews (code 70s). DO NOT include completed screening cases in your entries. Add the entries in the column at the end of the week and record the total. You are also required to record the Case ID of each interview reported in Column B-1 in the "Notes" section, bottom-right. Check in the iPAQ for all your final interview cases (although these are not listed with a date). Make sure to keep up with your PT&E entries daily so you will know what you completed that day.

8. Section C (Time) – Entries should be made for each day you worked. In Column C-1, enter the total number of hours worked during the day as decimals, expressed in hours and portions of an hour to the nearest quarter hour. Show how your hours were spent on project work by distributing the time worked across the various columns as appropriate.

   The "time" categories are defined as follows:

   - Study/Training – Except for training periods, this column probably will not be used. However, if you are authorized to spend time doing remedial or additional study, record the time in this column.

   - Travel – Record time spent traveling to, from, and between your assigned segments making sure it is entered on the correct day of the week. (Do not include time spent for meals or errands.) Travel time should be recorded from portal-to-portal—for example, from the time you left your home until you arrived at your assigned segment. For other travel, such as to a training session or while on travel status completing an assignment, there are strict guidelines that cover reimbursement for travel time and expenses. Your FS will provide you with the appropriate amounts and other information prior to your trip. Contact your FS as soon as possible if you encounter any travel delays for additional instructions.

   - Contacting/Locating – Record the time spent locating, contacting, and screening respondents. Include time spent making appointments, explaining the study to potential respondents, completing the screening process, and making return visits to respondents selected for interviewing. Travel time within the segment also belongs in this column.

   - Interviewing – Record time spent administering the questionnaire from start to finish including computer set up. DO NOT include time spent completing screenings in this column.

   - Editing – Due to the computerized nature of the survey, you should not have editing time.

   - Conference – Record time spent preparing for and in conference with your FS, compiling weekly field reports, and any calls with RTI managers or office staff, including Technical Support.

   - Other – Use the "Other" column to indicate your time for transmitting to RTI. Also record time spent performing other allowable project activities, such as time spent FedExing faulty equipment. You must describe any "Other" activity in the "Notes" section in the lower right corner of the report.

   TOTAL THE ENTRIES IN ALL THESE COLUMNS AT THE END OF THE WEEK.

9. Section D (Expenses) – Enter the following for each day you work:

- Miles Driven – Record total miles driven each day on project business (rounded to the *nearest mile*). Check to make sure that the corresponding travel time is recorded in the Travel column. Headway then calculates how much you will receive, based on the number of miles at the established mileage reimbursement rate of $0.50 per mile. Note: This rate is set by the federal government and is subject to change.
- Total Expenses – On any day you have expenditures, record the amounts in the expense columns as appropriate. Receipts must be submitted for expenses over $10.00—remember to get prior approval from your FS. FIs on travel status must submit receipts for lodging, auto rental, etc. Note that parking tickets, traffic tickets, and other fines are not reimbursable expenses.
- Incentives – Record the total incentive payments made to respondents. The incentive column is not included in the total expenses column. If a respondent refused to accept the incentive payment, do NOT include that interview in the incentive column. Instead, you must describe the situation in the Notes section.
- Please note the following:
  - Lodging - Receipts must be attached. Before you travel, check with your FS about government reimbursement rates for rooms in the location where you are traveling. Any overnight travel must be approved in advance. In the Notes column, record the city and state of your travel location.
  - Meals - Meals are not reimbursable expenses except while on travel status. When making arrangements for travel status, your FS will give you the daily meals and incidental expenses per diem for your destination. Record that amount in the meals column for full travel days in which you stay overnight. Partial travel days are reimbursed at a partial per diem based on the timing of your trips. Note that the per diem amount includes money for incidental expenses such as tips and laundry. Receipts for these expenses are not necessary.
  - Telephone - Receipts must be attached. Submit a copy of your monthly telephone bill with any project calls highlighted. Telephone charges should be rare as most project staff have toll free numbers.
  - Auto Rental - Receipts must be attached. Auto rental must be pre-approved by your FS.
  - Miscellaneous - Receipts must be attached for expenses over $10.00. Also include any Receipts for Escort Services (see ***Section 11.8***). Explain all miscellaneous expenses in the Notes section.

10. For Office Use Only – Do not make any entries in this section. Headway completes this section once they determine the total amount due as payment for your work and reimbursement for your mileage and expenses.

11. Certification Section – Complete this section by printing your name, FI ID number, date, complete mailing address, and telephone number. Then sign the form, thereby certifying "that this statement is true, correct, and complete and that the data collected and submitted are truthful." Unsigned forms cannot be processed and will be returned, delaying payment to you.

12. Notes – The "Notes" section is for explaining *any* expenses and unusually high time charges to avoid delays in approving your PT&E. Also, record in the Notes section the following information:

- Case IDs for all interviews completed during the week.
- Case IDs for any breakoff interviews that occurred and were not subsequently completed during the week. Write BRK before the Case ID to indicate it is a breakoff case. You need not record Breakoffs that result in a completed interview within the same week.
- Explanations for any case in which the respondent refused to accept the cash incentive.
- Explanations of all time charges under "Other."
- Explanations of all Miscellaneous expenses (submit receipts for expenses over $10.00).
- Your work location (City and State) when working on travel status.

13. Advance Repayment" Box – If you have an outstanding travel or incentive advance and need to repay Headway, do not use this box. Instead you must submit a check for the amount you owe. For detailed instructions, see the memo from Headway which accompanied your advance.

Maintain your PT&E report daily. Do not rely on your memory to complete your PT&E later, especially since you must keep track of both time and expenses. You will have photocopies of the PT&E that you can use as a working copy to keep track of your daily time and expenses, *including the Case ID numbers of completed and breakoff interviews*. Then, at the end of your work week, transfer the information to a "real" copy for submission to your FS. DO NOT SUBMIT THE WORKING COPY. IT CANNOT BE PROCESSED AND WILL DELAY YOUR PAYMENT.

Exhibit A.2 contains the "10 Step Plan for Completing the PT&E/ePTE." This tool will help you in completing a paper PT&E as well as the working copy of the ePTE. Refer back to the detailed instructions in this appendix for specific questions not covered in the 10 Step Plan. Consult your FS as needed.

Exhibit A.2 10-Step Plan for Completing the PT&E

10-STEP PLAN FOR COMPLETING THE PT&E/ePTE

STEP 1: Fill in the correct project number, the date of the Sunday beginning the week, and your FS Area and FS Name. In the "Date" column, fill in the date for each day of the week. In the ePTE system, these dates will be pre-filled.

STEP 2: Calculate the total amount of time you worked each day from the time you left home until you returned home. Then subtract the time you spent on break. Add any time you spent transmitting or on conference calls. This is your total time worked. Write this total in the shaded column for that day, either "Total Hours Each Day" on the PT&E, or "Daily Total" on the ePTE working copy. Remember to round up or down to the nearest quarter-hour.

3:00 PM to 9:30 PM = 6.50 *minus* 30 minutes (dinner) *plus* 15 minutes (transmitting) = 6.25

STEP 3: Calculate the amount of time you spent traveling by looking at your starting and ending times for each part of the trip. Write this total in the "Travel" column.

Left home at 3:00 PM and got to the segment at 3:30 PM = 0.50 hours
Left the segment at 9:00 PM and got home at 9:30 PM = 0.50 hours
Total travel time = 1 hour

STEP 4: Indicate the total time (if any) spent interviewing that day in the "Interviewing" column. Make sure also to indicate the number of interviews that day in column B, "Number of Completed Interviews", and to enter the Case IDs in the "Notes" in column B-1 on the PT&E.

STEP 5: Indicate any other time spent transmitting or on conference calls with your FS or Tech Support in the appropriate column: "Conference" or "Other". Explain any Other time in the Notes section as well.

STEP 6: Add up all of the time you've indicated so far and subtract this from the total time you calculated in Step 2. Any remaining time is considered "contacting and locating" and is indicated in the "Contacting/Locating" column.

STEP 7: Using the odometer readings that you wrote down when you left home and when you returned (deducting any personal side trips), indicate your total mileage in the "Miles Driven" column.

STEP 8: Record each day's project-related expenses in the appropriate columns in the Expenses section. Total each day's row and record in the shaded "Total Expenses" column. Attach receipts for all items over $10.00. Remember to record incentive payments in the "Incentives" column.

STEP 9: Total all of your columns down and double-check that you have also correctly added across and that the subtotals equal the totals in the shaded columns. For paper PT&Es, every column and row needs to be accurately calculated and re-checked—adding down and across to your left. The ePTE system will total this information for you.

STEP 10: For ePTEs, transfer data from the working copy into the ePTE system. Transmit completed ePTEs to RTI by Sunday before 10:30pm EST. For paper PT&Es, complete the information in the name and address section and sign the form with a ball-point pen verifying that the information is correct.

Submitting a Completed Paper PT&E

Send your paper PT&E (with any receipts stapled behind the white copy) weekly by first-class mail to your FS for review and signature. Keep the pink copy for your records and mail the original and yellow copies of your PT&E to your FS no later than *Monday* of each week. DO NOT use pre-addressed RTI envelopes; PT&Es received at RTI directly from an FI are returned to the appropriate FS for signature. Once your FS receives your PT&E in the mail, he/she must review, approve, and sign it, and then send the forms to Headway/RTI for processing. All FS approved PT&Es received at Headway/RTI by 3 p.m. on Tuesday are processed, and checks or direct deposit vouchers are mailed by first-class mail to your home on Friday.

Remember to include any completed Reference Date Calendars and Interview Payment Receipts when mailing your paper PT&E.

Please be aware that processing PT&Es takes time—sometimes as long as two or three weeks from the time you mail the PT&E to your FS to the time you are paid, depending on holidays. Note that direct deposit is available to you, with funds available the Monday following Headway processing.

Common Errors

The following are examples of common—and careless—errors found on paper PT&Es:

- Unsigned
- Failure to enter the task number (or, failure to enter the correct task number)
- Failure to enter a complete/correct ID number
- Incorrect totals or no totals in columns and rows
- Breakdown of time not recorded in the proper column or totaled in a column other than the one in which daily entries are recorded.
- Time not rounded to quarter hours and not recorded in decimal form (two decimal points). Do not record time in minutes. Round to the nearest quarter hour:

Time Worked	Incorrect Entry	Correct Entry
1 hour and 15 minutes	1:15	1.25 hrs.
1 hour and 20 minutes	1:20	1.25 hrs.
1 hour and 30 minutes	1:30	1.50 hrs.
1 hour and 40 minutes	1:40	1.75 hrs.
1 and 3/4 hours	1:45	1.75 hrs.

Taking time to double check your work to catch any mistakes will save processing time and allow you to receive payment on time. Legible work helps as well—please write neatly in blue or black ink.

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Appendix B

Result Codes

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Result Code List

This list includes all result codes, pending and final as well as screening and interviewing. The codes are defined and followed by a list of examples for each code. For instructions on the next steps to take after assigning a screening code, see ***Section 4.4.1***. Instructions on necessary steps to take for cases with interviewing codes are in ***Section 7.3.2***.

PENDING SCREENING CODES

01 **NO ONE AT DU** — no one is at the unit at the time of your visit.

Examples:

- You visit an SDU, and no one is at home.
- You knock on the door of an SDU, and no one answers the door. You decide to leave and go to another SDU.
- You visit an SDU, and find no one home. A neighbor boy tells you that no one lives in the SDU. You have not discussed this SDU with your supervisor or confirmed it with an adult.

02 **SCREENING RESPONDENT (SR) UNAVAILABLE** — Someone is at the unit; but that person is not an eligible or knowledgeable screening respondent (young child, babysitter, housekeeper, etc.) OR, that person could be an SR but is unavailable at that time. The SR must be an adult (18+) resident of the SDU.

Examples:

- You visit an SDU to do a screening. The only person home is a 16-year-old resident.
- You visit an SDU for the second time. When you knock on the door, a woman answers but indicates she is the babysitter. (Be sure to ask when would be a good time to return to speak with an adult resident, and record that information in the iPAQ ROC comments.)
- You visit an SDU and no one answers your knock. You hear voices inside.
- You visit an SDU and the gentleman says he cannot talk with you now as he must leave. He is not refusing to do the screening, but cannot complete it at that time. Be sure to ask when would be a good time to return.

03 **NEIGHBOR INDICATES OCCUPANCY** — An adult neighbor (or other informant) indicates that the unit is occupied.

Examples:

- You visit an SDU for the first time, and no one answers the door. Before you enter an 01, you see an adult neighbor and ask if someone lives at this address. The neighbor confirms and you code it an 03. (Remember to ask the neighbor for a good time to return.)

- On your third attempt at an SDU with no one home, you go next door to ask a neighbor if the unit is occupied. The neighbor says a young couple lives there and that the best time to reach them is later in the evenings during the week. Code the initial visit to the SDU as an 01, then record the visit with the neighbor as an 03, entering the other information in the comments.

04 **INCAPABLE** — No one at the unit is physically or mentally able to respond meaningfully to the screening questions. When prompted by the iPAQ, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.

Examples:

- You visit an SDU and discover that the only resident of the SDU cannot understand any screening questions apparently due to mental incapability such as pronounced mental retardation, autism or intoxication.

- The person who answers the door reeks of alcohol and is obviously drunk. No one else seems to be home.

05 **LANGUAGE BARRIER - SPANISH** — The screening respondent speaks Spanish and does not speak English well enough to complete the screening. RTI-Certified bilingual FIs have the option of completing the screening in Spanish.

Example:

- You have a respondent who speaks only Spanish. You use the Spanish card to find out if there is anyone else in the household that could answer the screening questions in English. No one in the household speaks English so you code it an 05, and your FS will send a bilingual FI to this address.

06 **LANGUAGE BARRIER - OTHER** — The screening respondent speaks a language other than English or Spanish and does not speak English well enough to complete the screening. When prompted by the iPAQ, record the language. Also use this code when you cannot tell what language is being spoken by a respondent, entering 'unknown' when prompted. Your FS can send a bilingual FI who can tell if it is Spanish or not.

Example:

- The person greets you at the door of an SDU speaking in a language that you do not understand but that you know is not Spanish. You attempt to make conversation in English, but the resident does not understand what you are saying. There is no one else at home who speaks English. You try to use the Language Card, but the person becomes confused.

07 **REFUSAL** — The screening respondent you are talking with refuses to allow you to proceed with the screening process.

Examples:

- You visit a household and a man answers the door. You tell him who you are and why you are there. He says he is not interested. You try to convince him that this will only take a few minutes of his time. He tells you he is not interested and slams the door in your face.

- A woman cautiously answers the door, whispering to you that this isn't a good time. She keeps looking over her shoulder and seems anxious. She says she does not want to answer any questions and that you must go away.

08 **UNABLE TO LOCATE SDU** — You are unable to determine the exact location of the SDU.

Example:

- You are out in the field and you cannot locate an address. You look at your maps and ask for directions, but still no luck. You code it an 08 and talk to your FS immediately.

09 **OTHER - SPECIFY** — The situation you encounter does not fit into any of the above categories. Also use this if you are unsure how to code a situation and you **temporarily** code it an 09 until talking with your FS.

Once you enter the code 09, comments describing the situation, and then commit that record, the iPAQ will prompt you to choose a sub-category for the case. These sub-categories include:

- Screening breakoff
- Selected wrong line number
- Added in error
- Safety issue
- Controlled access
- Possible vacant
- Possible vacation/not primary residence
- GQU is institution [active for GQU Program only]
- Other listing problem
- Need to discuss with FS
- Something else, Specify

Example:

- You discover that an SDU should not have been listed because it is outside of the segment boundaries. You have not discussed the SDU with your FS. Choose as the sub-category "Other listing problem."

- You encounter a gated community in which you have 4 SDUs. At your initial visit you are unable to pass through the gate so are unable to reach the doors of these SDUs. Note as much information as possible to help in your discussions with your FS about how to handle the situation. Code each SDU an 09 and choose as the sub-category "Controlled Access."

Please note that the Controlled Access sub-category applies to any SDU for which you cannot reach the actual door of the SDU. This might be in a gated community as just described or a single locked gate leading to a single SDU. Other examples include SDUs in an apartment building with a door person and military bases with guards.

In all controlled access situations, be sure to collect as much information as possible (see ***Exhibit 4.7***) and contact your FS to discuss the situation.

FINAL SCREENING CODES

10 **VACANT** — While in the field you confirm with a neighbor, landlord, realtor, or other knowledgeable person that the unit is vacant. For rural areas where neighbors are scarce, a contact from the post office, fire department or local town hall may be used if they are familiar with the address. The iPAQ prompts you to complete the verification information (including the **first name** and **phone number** of the person providing the confirmation).

Example:

- You have visited an SDU four times. You finally talk to the owner of the house next door, who tells you no one lives in the SDU.

11 **NO ONE AT DU - REPEATED** — Repeated visits at different times of the day and on different days of the week have failed, and **your FS has approved.** No verification information is required.

Example:

- It is the 12th week of the quarter. You have visited an SDU 10 times and have never found anyone home. You are certain that someone lives in the SDU because the house is fully furnished, the electric meter is running every time you are there, and the lawn is cut every week. You have not been able to catch a neighbor willing to give you any information about the SDU. Your supervisor gives you permission to give the case a final code.

12 **SCREENING RESPONDENT (SR) UNAVAILABLE - REPEATED** — Repeated visits at different times of the day and on different days of the week have failed, and **your FS has approved**. No verification information is required.

Example:

- It is the 11th week of the quarter. You have visited an SDU six times, but have never found an adult resident to do the screening. Your supervisor gives you permission to give the case a final code.

13 **NOT A PRIMARY RESIDENCE** — You have verified with the current or temporary residents, a neighbor, real estate agent, or landlord that the unit is not used as a primary residence during the quarter (that is, it is only a weekend or vacation home). In rural areas, verify with the post office, fire department or local town hall as needed. To qualify as a primary residence, the residents must spend the majority of their time living at the DU. If residents are not there for 1/2 or more of the quarter, see code 26. The iPAQ prompts you to obtain verification information.

Note: If you are screening a resident of the DU and they will not live there for 1/2 or more of the quarter, see code 26.

Example:

- You discover that an SDU is a vacation home that the owners only visit occasionally.

14 **INCAPABLE** — This code should rarely be used. However, if no one at the unit is able to respond meaningfully to the screening questions, **your FS can give approval.** No verification information is required. When prompted by the iPAQ, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.

Examples:

- You visit an SDU and discover that the only resident of the SDU does not understand your screening questions, but it is obvious that the person speaks and understands English. You revisit the SDU the following week and find that the resident still cannot understand your questions. Being sensitive to the situation, you have checked with neighbors to see if someone else lives there who can answer your questions. The neighbors indicate the resident is mentally impaired. Your supervisor has given you permission to give the case a final code.

- Caretaker of the resident says the resident is mentally or physically incapable of responding to the questions. The caretaker is not a resident.

15 **LANGUAGE BARRIER - SPANISH** — This code should be used rarely. If there is not a possibility of transferring the case to a bilingual FI, **your FS can give approval**. Do not code this until your FS says there are no bilingual FIs to work it. No verification information is required.

Example:

- All residents of an SDU speak Spanish only. It is week 12 of the quarter, and there are no bilingual FIs available to work the case. Your supervisor has given you permission to give the case a final code.

16 **LANGUAGE BARRIER - OTHER** — This code should rarely be used. If there isn't a translator available, **your FS can give approval**. When prompted by the iPAQ, record the language. No verification information is required.

Example:

- You have visited an SDU five times. You have never found anyone home who speaks a language you can understand, nor can you find a translator. Your supervisor gives you permission to give the case a final code.

17 **REFUSAL** — All attempts to convert the refusal have been unsuccessful and **your FS gives approval**. The iPAQ will prompt you to enter a refusal reason. Be sure you have made accurate notes about the situation. No verification information is required.

Example:

- You got a refusal from a resident at an SDU. A refusal letter was sent from RTI. You revisited the SDU after the letter was sent and the resident threatened to call the police. Your supervisor gave you permission to give the case a final code.

18 **NOT A DWELLING UNIT** — Verify with a neighbor, landlord, or other knowledgeable person that the unit does not meet our definition of a dwelling unit. In rural areas, verify with the post office, fire department or local town hall as needed. Enter the verification information (including name and number of the person providing the confirmation) when prompted by the iPAQ.

Examples:

- Units that have been demolished or merged with another unit, a unit used by a church or nonprofit organization as a meeting facility, or a unit used only for business or storage.
- You discover that an SDU is a beauty shop only.
- You visit a household and find that it burnt down last week.

19 **GQU LISTED AS HU** — A group quarters unit (GQU) was listed incorrectly as a housing unit (HU). Please make note of information about the structure including the type of group quarters (i.e., shelter, dormitory, etc), whether the units would be listed by rooms, beds, or persons, and a contact person (manager, owner). Check with your FS for further instructions.

Example:

- Upon visiting an SDU, you learn that the SDU originally listed as an HU has been converted into a boarding house with 11 rooms. You discuss the SDU with your supervisor and he gives you permission to give the case a final code.

20 **HU LISTED AS GQU** — An HU was listed incorrectly as a GQU. **Check with your FS for further instructions.**

Example:

- You visit an SDU that was originally listed as a boarding house but is now a single family dwelling unit. Your supervisor gives you permission to give the case a final code.

21 **DENIED ACCESS** — After many attempts you are **UNEQUIVOCALLY** denied access to the door of the SDU. **FS approval is required**. No verification information is required.

Example:

- You attempt to gain access to an SDU in an apartment building through a door person but are unable to get past the door person. Your supervisor has attempted contact with the building owners, RTI has sent packages to the on-site managers and building owners, but neither the manager nor the owners will give you permission to enter the building. Your supervisor has given you permission to give the case a final code.

22 **ALL MILITARY** — The iPAQ automatically assigns this code if during screening all DU members are found to be military personnel on active duty. Persons on active duty in the military are not eligible for NSDUH. Be sure to enter the verification information in the iPAQ as prompted.

Example:

- You are visiting SDUs on a military base and discover that both residents of an SDU are on active duty in the military.

23 **OTHER - SPECIFY** — This code should be rarely used as virtually all situations are covered by another appropriate code. However, it applies for all cases that do not fit any of the above categories or code 29. Be sure you have fully described the situation to your FS, and he/she **has given approval** to use this code. Be sure to document the circumstances in your Record of Calls. Once you enter the code 23, comments describing the situation, and then commit that record, the iPAQ will prompt you to choose a sub-category for the case. These sub-categories include:

- Added in error
- Safety issue
- GQU is institution [active for GQU Program only]
- Something else, Specify

No verification information is required.
Please note that GQUs discovered to be institutions are technically listing errors and belong under code 29. Given that a number of interviewers mistakenly use code 23 for the situation, this sub-category was included to assist RTI staff in recoding the cases to code 29.

Example:

- You go through the process and add a missed DU. After it is added, you discover the unit WAS originally listed, so it should not have been added. You discuss the situation with your FS and obtain her approval to use Code 23. In the comments section of the ROC, describe the situation. From the list of sub-categories, choose "Added in Error."

25 **NO ELIGIBLE SDU MEMBERS** — When all DU members listed on the screening roster are changed to ineligible status, the iPAQ automatically assigns this code at the end of the screening. It is not available for you to assign in the iPAQ ROC section. Enter the verification information in the iPAQ.

Examples:

- You are about to finish a screening early in the quarter when the screening respondent tells you they are moving in 2 weeks and in fact will not live in the house for most of the quarter. Mark all listed household members as ineligible, then the iPAQ assigns this code. Be sure to explain the situation in the ROC comments.

- While completing a screening roster towards the end of the quarter, the screening respondent indicates he is on active duty in the military and his only house-mate just moved in last week so did not reside in the unit for most of the quarter. Both residents are ineligible, so the iPAQ assigns code 25. Be sure to explain the situation in the ROC comments.

26 **WILL RESIDE/HAS RESIDED IN DU LESS THAN ½ OF THE QUARTER** — When the response is 'no' to the third screening question, at the **Occupancy** screen, there is no household roster and a code 26 applies. The iPAQ assigns this code during the screening when no one in the DU will live there (or has lived there) for most of the time during the three months of the quarter. This code should only be used when speaking with a resident of the DU, otherwise see code 13. Enter verification information in the iPAQ.

Example:

- You determine through screening in a college dorm that the three residents of the SDU are college students who will be living at their parents' homes for most of the quarter.

29 **LISTING ERROR** — These units were listed in error during the counting and listing phase.

Examples:

- The fourth unit in a multi-unit structure is an SDU. You locate the structure and realize there are only three units. You confirm with the manager that there have always only been three units. The SDU does not exist, meaning the unit was originally listed in error.

- The person completing counting and listing went one street too far, so the SDU is out of the boundaries of the segment. Confirm this by a thorough investigation in the area using the maps and listing materials, then discuss it with your FS.

- A corner store has only one apartment above the store. While the business itself was not listed, the apartment was listed using the front street address and was listed again using the side street address, which is the main entrance for the unit. Both addresses are selected DUs. You verify the situation with the business owners and the resident of the apartment. You then check with your FS to discuss which case to screen and which to code as a 29.

- You visit a group quarters structure with 3 selected units and meet with the manager to determine the accuracy of the listing. During the conversation, you realize the facility is actually an institution since medical and psychiatric care are provided for the residents. You discuss the situation with your FS, who approves the code for each selected GQU and reminds you to enter "Ineligible – Institution" in the ROC for each case.

30 **NO ONE SELECTED FOR INTERVIEW** — The iPAQ automatically assigns this code at the end of the screening when a resident of the dwelling unit has provided the screening information, but no one listed on the roster was selected for the interview. Enter the verification information when prompted.

Example:

- You complete a screening and no one is selected for an interview.

31 **ONE SELECTED FOR INTERVIEW** — The iPAQ automatically assigns this code at the end of the screening when one DU member is selected to be interviewed. No screening verification information is required.

Example:

- You complete a screening and one person is selected for an interview.

32 **TWO SELECTED FOR INTERVIEW** — The iPAQ automatically assigns this code at the end of the screening when two DU members are selected to be interviewed. No screening verification information is required.

Example:

- You complete a screening and two residents are selected for an interview.

PENDING INTERVIEW CODES

50 **APPOINTMENT FOR INTERVIEW** — You have spoken with the respondent and have set a time to conduct the interview.

Example:

- The selected respondent is at home, but cannot complete the interview at that time. You make an appointment to complete the interview the following afternoon.

51 **NO ONE AT HU** — No one is at the HU.

Example:

- Last week following screening the selected respondent was not at home (code 52). You revisit the SDU at the time suggested by the screening respondent and no one is at home.

52 **RESPONDENT UNAVAILABLE, CALL BACK** — Someone is at the SDU, but the selected interview respondent is not. OR, the selected respondent is at the SDU but is unavailable at that time and does not provide a firm appointment time.

Examples:

- At the conclusion of screening, you discover the selected respondent is not at home.
- You return for a scheduled appointment with a young mother only to find her children are all sick.
- At the conclusion of screening, the SR is selected for an interview. She is busy and cannot complete the interview now. She must leave for work without setting an appointment time. She is not refusing, but cannot complete it at that time.

53 **BREAKOFF** — The respondent you are interviewing either refuses to allow you to complete the interviewing process or cannot complete the interview at that time.

Example:

- You are halfway through an interview with a respondent. The respondent remembers that he must be at work in 10 minutes. He tells you that you must leave right away.

54 **INCAPABLE** — The respondent is unable to meaningfully answer the questions. Examples are respondents with pronounced mental retardation, autism, or who are intoxicated. Physical problems due to serious illness, deafness, or severe speech disorders may qualify. If the physical or mental incapability is not temporary, **discuss the situation with your FS.** Always attempt the interview unless it is absolutely clear that the respondent cannot be interviewed. When prompted by the iPAQ, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.

Example:

- The respondent is autistic so cannot complete the CAPI portion of the interview.

55 **LANGUAGE BARRIER - SPANISH** — The respondent speaks Spanish, and does not speak English well enough to complete the interview. Talk with your FS about transferring the case to a bilingual FI. **There can be NO translators for an interview**.

Example:

- The respondent speaks only Spanish.

56 **LANGUAGE BARRIER - OTHER** — The respondent speaks a language other than English or Spanish and does not speak English well enough to complete the interview. Talk with your FS. **Unlike screening, there can be NO translators used for the interview**. When prompted by the iPAQ, record the language.

Example:

- The respondent speaks only German.

57 **REFUSAL** — The respondent refuses to let you start the interviewing process. Make notes in the iPAQ Refusal Report while the incident is still fresh in your mind and **discuss with your FS** how to handle the case. A refusal letter may be sent.

Examples:

- The selected respondent refuses to complete the interview.

- The selected respondent is a 20-year-old who lives with his parents. The father refuses to allow you to interview the 20-year-old. Since the respondent is not 12-17, this becomes a gatekeeper situation with the father refusing for the respondent. Choose the Gatekeeper reason on the iPAQ Refusal Report and note that the father was the gatekeeper.

- A 15-year-old respondent refuses to participate, even though the mother gave permission.

58 **PARENTAL REFUSAL** — The parent refuses to allow you to interview the selected youth aged 12-17. If a parent refuses for a son or daughter aged 18 or over, use code 57. Make any necessary notes in the iPAQ and **discuss this with your FS**. A special refusal letter may be sent to the parent.

Example:

- The selected respondent is a 14-year-old female. Her father, the screening respondent, refuses to let you interview the daughter.

59 **<u>OTHER - SPECIFY</u>** — The situation you encounter does not fit into any of the categories above. Describe the situation in the Comments. Once you have committed the record, indicate which sub-category applies:

- R moved
- R under age 12
- R in military
- R rostered in error
- R deceased
- Interviewed wrong person
- Screened wrong line
- Safety issue
- Controlled access
- Need to discuss with FS
- Something else, Specify

Be sure to **discuss with your FS** how to handle the case.

Example:

- You revisit the SDU two weeks after screening and discover that the selected respondent has moved across the country. You have not discussed the situation with your supervisor. From the list of sub-categories, choose "R moved."

FINAL INTERVIEW CODES

70 **INTERVIEW COMPLETE** — The respondent has completed the interview.

Example:

- You complete an interview with a respondent.

71 **NO ONE AT HU - REPEATED** — Your repeated attempts at different times of the day and days of the week fail, **and your FS agrees**. With persistence, this code should be used rarely. You must have gone back to the household **at least** four times, and no one was ever home.

Example:

- It is the last day of the quarter. You revisit an SDU where you completed screening two weeks prior. Since completing screening, you have not been able to find anyone at home. Your supervisor has given you permission to give the case a final code.

72 **RESPONDENT UNAVAILABLE - REPEATED** — There may be situations in which the respondent is out of the country or institutionalized (hospital, in jail, etc.) and will not be returning before the end of the data collection quarter. You also may not be able to contact the selected respondent. If a respondent moves and cannot be contacted at the new address, use code 79 to allow managers to track those special cases. After you have investigated the situation fully, **discuss it with your FS who must approve your use of this code**. With diligence, this code also will be used rarely.

Examples:

- The person was a member of the household at the time of the screening, but was incarcerated and will not be returning home before the end of the field period.

- You went back to the household at least four times and even though others were home, the respondent was never home.

- It is the last day of the quarter. You have visited an SDU many times since screening, have spoken to residents of the SDU other than the selected respondent, have attempted to get an appointment for an interview with the selected respondent, but have never found the selected respondent at home. Your supervisor has given you permission to give the case a final code.

- It is the last day of the quarter. You have visited an SDU many times since screening and even though the respondent was often home and seemed as though she'd like to do the interview, she was very busy or leaving and could not complete the interview at that time. She never provided a firm appointment time.

73 **BREAK OFF (PARTIAL)** — All attempts to complete the interview have been unsuccessful, and **your FS approves**.

Example:

- There are two days left in the quarter. You began the interview three weeks ago. You have attempted to complete the interview several times but have never been able to find the selected respondent at home. Your supervisor gives you permission to give the case a final code.

74 **INCAPABLE** — The respondent is physically or mentally unable to respond meaningfully to the interview questions. **Your FS will approve the use of this code.** When prompted by the iPAQ, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROCs to document the situation.

Example:

- The selected respondent has severe Alzheimer's Disease. The respondent does not seem capable of completing the interview. You discuss the situation with your FS, and she gives you permission to give the case a final code.

75 **LANGUAGE BARRIER - SPANISH** — The case cannot be completed because of a Spanish language barrier, and no bilingual interviewer is available to complete the case. **Your FS must give approval to use this code.**

Example:

- It is the last week of the quarter. During screening at an SDU four weeks ago, you discovered the selected respondent speaks only Spanish. Even though you reported it right away, your supervisor has not been able to get a bilingual FI for the case and has given you permission to give the case a final code.

76 **LANGUAGE BARRIER - OTHER** — An interview cannot be completed due to a language barrier other than Spanish, and **your FS approves**. We do not certify interviewers to conduct the interview in any other languages. Be sure to specify the language.

Example:

- The respondent speaks only Chinese. Your supervisor gives you permission to give the case a final code.

77 **REFUSAL** — All attempts to convert an adult or youth refusal are unsuccessful, and **your FS approves**. Be sure you indicate the reason for the refusal in the iPAQ.

Example:

- Two months ago following screening, the selected respondent refused to complete the interview. You revisited the SDU and the respondent still refused to complete the interview. Your supervisor gives you permission to give the case a final code.

78 **PARENTAL REFUSAL** — All attempts to persuade the parent or guardian to allow you to interview the youth have been unsuccessful, and **your FS approves**. Note that this code is ONLY for parental refusals for 12-17 year olds. If a parent refuses for an 18 year old, it is a gatekeeper situation similar to a husband refusing for a wife, and the correct code is a 77.

Example:

- It is the last week of the quarter. One month ago another FI in your area screened an SDU in which one interview respondent was chosen. Despite several attempts, the first FI was unable to convince either parent of the 12-year-old to allow the youth to complete the interview. Your supervisor transfers the case to you. You also fail to gain permission from either parent for the youth to do the interview. Your supervisor gives you permission to give the case a final code.

79 **OTHER - SPECIFY** — This code should be used **only** for cases that do not fit **any** of the other categories. Be sure to **fully describe the situation in the Comments on the Record of Calls and talk with your FS for approval** to assign this code. Situations where a code 79 applies include:

- youth respondent only 11 years old;
- respondent on active duty in the military;
- denied access;
- college student rostered in error; and
- respondent moved and no forwarding address could be found.

Carefully consider if another result code applies (e.g. Code 71 – No One at HU - Repeated or Code 72 – Respondent Unavailable - Repeated), since each case with a code 79 must be reviewed by RTI staff.

Once you have committed the record, indicate which sub-category applies:

- R moved
- R under age 12
- R in military
- R rostered in error
- R deceased
- Interviewed wrong person
- Screened wrong line
- Safety issue
- Controlled access
- Something else, Specify

Example:

- The selected respondent is not at home at the time of screening. When you revisit the SDU you are told that the selected respondent does not actually live at the SDU but only visits occasionally. You discuss the situation with your FS, and he/she gives you permission to give the case a final code. From the list of sub-categories, choose "R rostered in error."

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Appendix C

Refusal Letters

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Screening—Too Busy/No Time (S1)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute contacted someone in your household about participating in the National Survey on Drug Use and Health. We are sorry we called on your household at an inconvenient time.

The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

As you know, this nation is made up of all kinds of people, and so we are talking to all kinds of people—including busy people like you. If we only interviewed people who have a lot of free time, then active people like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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S1

Screening—Surveys /Government Too Invasive (S2)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute contacted someone in your household about participating in the National Survey on Drug Use and Health. We understand that at the time, some concerns were expressed about participating in the study.

Your privacy is important—Research Triangle Institute protects your privacy by not providing any individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your full name. To further protect your privacy, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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S2

Screening—Needs Clarification (S3)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute contacted someone in your household about participating in the National Survey on Drug Use and Health. We understand that at the time, some concerns were expressed about participating in the study.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your full name. To further protect privacy, the interview is set up so that the participant records most answers—the interviewer never sees or hears them.

If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

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S3

Screening—"Nothing in it for me"/Uncooperative (S4)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute contacted someone in your household about participating in the National Survey on Drug Use and Health. We understand that at the time, there was no interest in participating. We are writing to ask you to reconsider.

The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you can make a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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S4

Screening—Spouse/HH Member will not allow Participation (S5)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute contacted someone in your household about participating in the National Survey on Drug Use and Health. We understand that at the time, some concerns were expressed about participating in the study.

Your privacy is important—Research Triangle Institute protects your privacy by not providing any individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for anyone's full name. To further protect privacy, the interview is set up so that the participant records most answers—the interviewer never sees or hears them.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment at a time that would be convenient for you.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

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S5

Interview [Adult]—Too Busy/No Time (I1)

[DATE]

Resident
[STREET ADDRESS] Attention: [age] year old [gender] resident
[CITY], [STATE] [ZIPCODE]

Dear Resident:

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some reluctance about spending the time necessary to do the interview.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

As you know, this nation is made up of all kinds of people, and so we are interviewing all kinds of people—including busy people like you. If we only interviewed people who have a lot of free time, then active people like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

We combine your answers with the answers of thousands of other people and report them only as overall numbers. The survey is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

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I1

Interview [Adult]—Surveys/Government Too Invasive (I2)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some concerns about participating in the study.

We understand that your privacy is important—Research Triangle Institute protects your privacy by not providing any individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your name.

To further protect your privacy, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

We also appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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I2

Interview [Adult]—Needs Clarification (I3)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,
Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some concerns about the study.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your answers to the survey questions are combined with the answers of thousands of other people and reported only as overall numbers. To further protect your privacy, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

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I3

Interview [Adult]—"Nothing in it for me"/Uncooperative (I4)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you were not interested in participating. We are writing this letter to ask you to reconsider.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Without adequate levels of participation, these health-related decisions might not be as informed, and money for programs that might be needed in your state or community could be directed elsewhere.

A limited number of people were randomly selected to represent the population of the U.S.—and you were one of them! You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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I4

Interview [Adult]—Spouse/HH Member will not allow Participation (I5)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some concerns about participating in the study.

We understand that your privacy is important—Research Triangle Institute protects your privacy by not providing any individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your name.

To further protect your privacy, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment at a time that would be convenient for you.

We also appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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I5

Interview [Teen]—Too Busy/No Time (M1)

[DATE]

Resident
[STREET ADDRESS] Attention: [age] year old [gender] resident
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some reluctance about spending the time necessary to do the interview.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

We understand that you have many demands on your time. However, if we only interviewed teenagers who had lots of free time, then active teenagers like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is precious to you. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Please know that your privacy will be protected. Your answers cannot be looked at by anyone—including your parents. We combine your answers with the answers of thousands of other teenagers and report them only as overall numbers. Also, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. The option to refuse to answer any question is always available.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial survey.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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M1

Interview [Parent]—Teen Exposure (M2)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: Parent/Guardian of [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute asked permission for a young person in your home to participate in the National Survey on Drug Use and Health. At the time, you expressed some reluctance about exposing your teen to questions related to substance use.

We understand your concern. Please know that if you allow your teen to participate, the option is always available for him or her to answer "I don't know" to any question.

The survey also includes other questions related to school and community topics, such as participation in different types of school-based activities.

A limited number of teens were randomly selected to represent the teenage population of the U.S. Your teenager cannot be replaced. We need responses from everyone selected to get an accurate picture of teenage health issues. For example, in order to know how many teens are using various substances, we need to hear from the thousands of teens who are not using any substances.

We also appreciate that your teen's time is a precious commodity. **As a token of our appreciation, your teen will receive a cash payment of $30 at the end of the interview.** Also, the interviewer can give your teen a Certificate of Participation—some participants have been able to go to their schools with this certificate and get class or community service credit for participating in the survey.

Thank you for your time. I hope you'll reconsider and choose to let your teenager participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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M2

Interview [Teen]—Needs Clarification (M3)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you expressed some concerns about the study.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

Please know that your privacy will be protected. Your answers cannot be looked at by anyone—including your parents. We combine your answers with the answers of thousands of other teenagers and report them only as overall numbers. Also, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. The option to refuse to answer any question is always available.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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*The National Survey on Drug Use and Health is conducted by Research Triangle Institute for the Substance Abuse and Mental Health Services Administration, an agency of the U.S. Public Health Service in the Department of Health and Human Services. [http://nsduhweb.rti.org] [http://www.samhsa.gov] [http://www.rti.org]

M3

Interview [Teen]—"Nothing in it for me"/Uncooperative (M4)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. At the time, you were not interested in participating. We are writing this letter to ask you to reconsider.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S.—and you were one of them! You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.** Also, your interviewer can give you a Certificate of Participation—some participants have been able to go to their schools with this certificate and get class or community service credit for participating in the survey.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

---

*The National Survey on Drug Use and Health is conducted by Research Triangle Institute for the Substance Abuse and Mental Health Services Administration, an agency of the U.S. Public Health Service in the Department of Health and Human Services. [http://nsduhweb.rti.org] [http://www.samhsa.gov] [http://www.rti.org]

M4

Interview [Parent]—Parent /HH Member will not allow Participation (M5)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIPCODE]

Attention: Parent/Guardian of [age] year old [gender] resident

Dear Resident,

Recently, a Field Interviewer from Research Triangle Institute asked permission for a young person in your home to participate in the National Survey on Drug Use and Health. At the time, you expressed some reluctance about allowing your teen to participate in the study. We are writing this letter to ask you to reconsider.

A limited number of teens were randomly selected to represent the teenage population of the U.S. Your teenager cannot be replaced. It is not necessary that he or she know anything about drugs, alcohol, or tobacco to participate in the study. In fact, in order to know how many teens are using various substances, we need to hear from the thousands of teens who are not.

If you allow your teen to participate, the option is always available for him or her to answer "I don't know" or to refuse any question.

We understand that the privacy of your family is important—Research Triangle Institute protects participants' privacy by not providing any individual answers to anyone. Your teen's answers would be combined with the answers of thousands of other teens and reported only as overall totals.

We also appreciate that your teen's time is a precious commodity. **As a token of our appreciation, your teen will receive a cash payment of $30 at the end of the interview.** Also, the interviewer can give your teen a Certificate of Participation—some participants have been able to go to their schools with this certificate and get class or community service credit for participating in the survey.

Thank you for your time. I hope you'll reconsider and choose to let your teenager participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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*The National Survey on Drug Use and Health is conducted by Research Triangle Institute for the Substance Abuse and Mental Health Services Administration, an agency of the U.S. Public Health Service in the Department of Health and Human Services. [http://nsduhweb.rti.org] [http://www.samhsa.gov] [http://www.rti.org]

M5

Screening—Unable to Contact (U1)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIP]

Dear Resident:

Recently, a Field Interviewer from Research Triangle Institute attempted to contact your household about participating in the National Survey on Drug Use and Health. So far, we have been unable to speak with anyone in your household. Your participation in this study is important—this is why we continue to try and reach you.

Some people are cautious about speaking to a stranger at the door, and that is understandable. Please know that we are not soliciting or selling anything—we have just a few general questions to ask that will take about five minutes.

It is not necessary for you to let the interviewer into your home—you can answer the questions right at your door.

After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview. **If anyone is selected for the full interview, that person will receive a cash payment of $30 at the end of the interview as a token of appreciation for participating.**

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

Thank you for your time. I hope you'll choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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*The National Survey on Drug Use and Heath is conducted by Research Triangle Institute for the Substance Abuse and Mental Health Services Administration, an agency of the U.S. Public Health Service in the Department of Health and Human Services. [http://nsduhweb.rti.org] [http://www.samhsa.gov] [http://www.rti.org]

U1

Interview—Unable to Contact (U2)

[DATE]

Resident
[STREET ADDRESS]
[CITY], [STATE] [ZIP]

Attention: [age] year old [gender] resident

Dear Resident:

Recently, a Field Interviewer from Research Triangle Institute came to your home and asked you to participate in the National Survey on Drug Use and Health. You were not available to complete the interview at that time and have been away or unavailable each time the interviewer has returned since then. Your participation in this study is important—this is why we continue to try and reach you.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your answers to the survey questions are combined with the answers of thousands of other people and reported only as overall numbers. To further protect your privacy, the survey is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment time—the interview can also be conducted at a neutral location such as a public library.

We appreciate that your time is a precious commodity. **As a token of our appreciation, you will receive a cash payment of $30 at the end of the interview.**

Thank you for your time. I hope you'll choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, telephone me toll-free at [TOLL FREE NUMBER].

Enclosure

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*The National Household Survey on Drug Abuse is conducted by Research Triangle Institute for the Substance Abuse and Mental Health Services Administration, an agency of the U.S. Public Health Service in the Department of Health and Human Services. [http://nsduhweb.rti.org] [http://www.samhsa.gov] [http://www.rti.org]

U2

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Appendix D

NSDUH Respondent Website Content

Information last updated 9/15/2010. For up-to-date content, refer to the website at:
http://nsduhweb.rti.org

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National Survey on Drug Use and Health

Home | About NSDUH | Survey Results | About SAMHSA | About RTI | Contact Information

The National Survey on Drug Use and Health (NSDUH) provides national and state-level data on the use of tobacco, alcohol, illicit drugs (including non-medical use of prescription drugs) and mental health in the United States. NSDUH is sponsored by the Substance Abuse and Mental Health Services Administration (SAMHSA), an agency of the U.S. Public Health Service in the U.S. Department of Health and Human Services (DHHS).

Research Triangle Institute (RTI), an independent, nonprofit research organization based in Research Triangle Park, North Carolina, has held the project contract since 1988. The current contract between RTI and SAMHSA continues NSDUH data collection through 2011.



General Information

Learn more about the National Survey on Drug Use and Health (NSDUH).



Selected Participants

Has your address or someone in your household been selected to take part in the National Survey on Drug Use and Health?



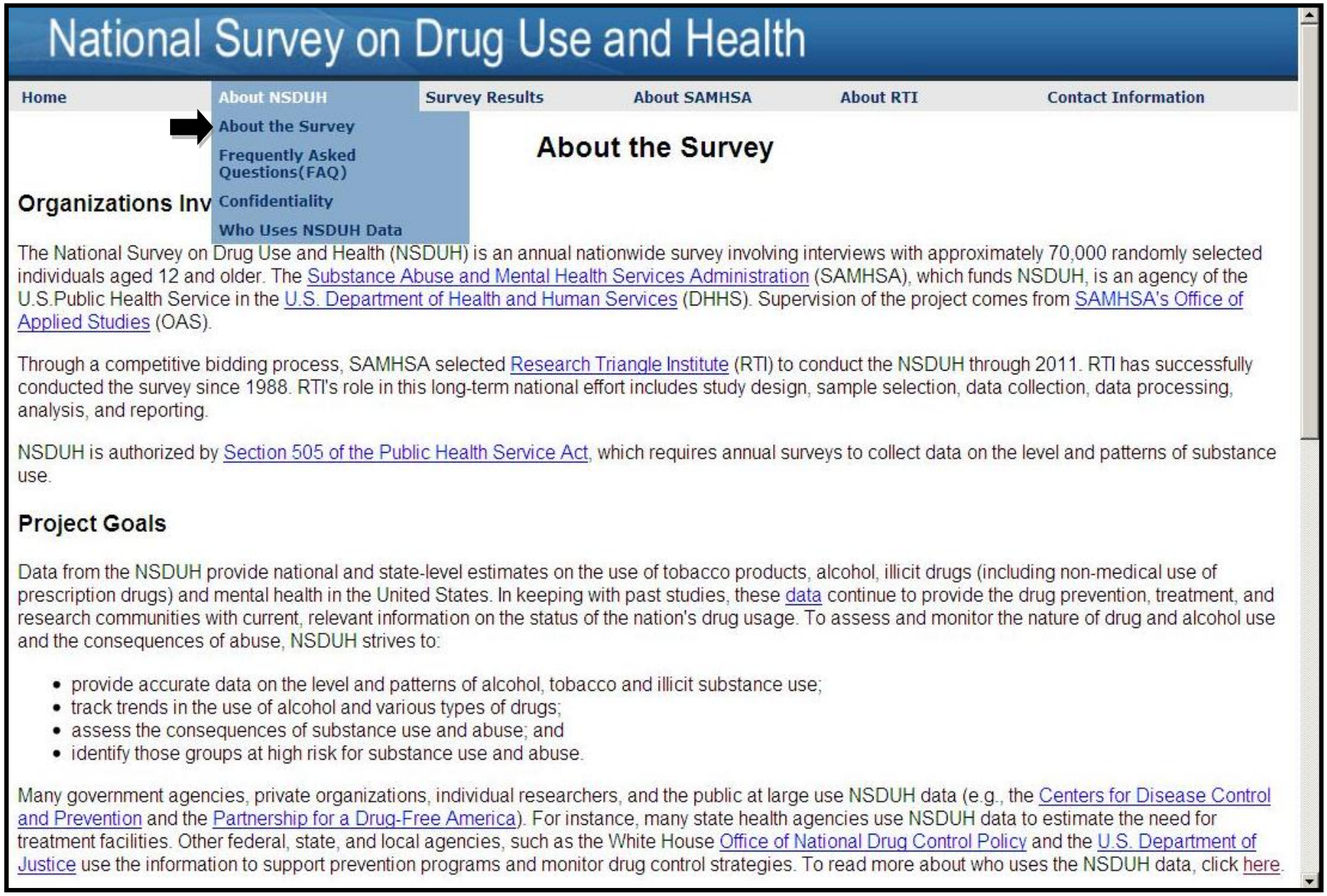
Employment Opportunities

Are you interested in working on the team of NSDUH data collection staff dispersed throughout the nation?

Number of visits since January 1, 2010 = 24663

A Life in the Community for Everyone
SAMHSA

RTI INTERNATIONAL


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Organizations Inv
The National Survey on Drug Use and Health (NSDUH) is an annual nationwide survey involving interviews with approximately 70,000 randomly selected individuals aged 12 and older. The Substance Abuse and Mental Health Services Administration (SAMHSA), which funds NSDUH, is an agency of the U.S.Public Health Service in the U.S. Department of Health and Human Services (DHHS). Supervision of the project comes from SAMHSA's Office of Applied Studies (OAS).
Through a competitive bidding process, SAMHSA selected Research Triangle Institute (RTI) to conduct the NSDUH through 2011. RTI has successfully conducted the survey since 1988. RTI's role in this long-term national effort includes study design, sample selection, data collection, data processing, analysis, and reporting.
NSDUH is authorized by Section 505 of the Public Health Service Act, which requires annual surveys to collect data on the level and patterns of substance use.
Project Goals
Data from the NSDUH provide national and state-level estimates on the use of tobacco products, alcohol, illicit drugs (including non-medical use of prescription drugs) and mental health in the United States. In keeping with past studies, these data continue to provide the drug prevention, treatment, and research communities with current, relevant information on the status of the nation's drug usage. To assess and monitor the nature of drug and alcohol use and the consequences of abuse, NSDUH strives to:
provide accurate data on the level and patterns of alcohol, tobacco and illicit substance use;
track trends in the use of alcohol and various types of drugs;
assess the consequences of substance use and abuse; and
identify those groups at high risk for substance use and abuse.
Many government agencies, private organizations, individual researchers, and the public at large use NSDUH data (e.g., the Centers for Disease Control and Prevention and the Partnership for a Drug-Free America). For instance, many state health agencies use NSDUH data to estimate the need for treatment facilities. Other federal, state, and local agencies, such as the White House Office of National Drug Control Policy and the U.S. Department of Justice use the information to support prevention programs and monitor drug control strategies. To read more about who uses the NSDUH data, click here.

Selection Process

A scientific random sample of households is selected across the United States, and a professional RTI field interviewer makes a personal visit to each selected household. Once a household is chosen, no other household can be substituted for any reason. This practice is to ensure that NSDUH data represent the many different types of people in the United States.

After answering a few general questions during the in-person visit by the interviewer, one or two residents of the household may be asked to participate in the survey by completing an interview. It is possible that no one will be selected for the interview. If an individual is selected for the interview, their participation is voluntary, but no other person can take their place. Since the survey is based on a random sample, each selected person represents more than 4,500 United States residents. At the end of the completed interview, the selected person receives $30 in cash.

Data Collection and Processing

Participants complete the interview in the privacy of their own home. A professional RTI field interviewer personally visits each selected person to administer the interview using a laptop computer. No prior computer skills are necessary. Individuals answer most of the interview questions in private and enter their responses directly into the computer so even the interviewer does not know the answer entered. For some items, the interviewer reads the question aloud and enters the participant's response into the computer. The interview takes about one hour to complete.

All selected persons are encouraged to participate, whether or not they use or even know anything about drugs. In order to know the percentage of people who do use these substances, we also must know how many people do not. Furthermore, participation from all selected persons is important as questions in the survey ask about a number of health-related topics relevant to all people.

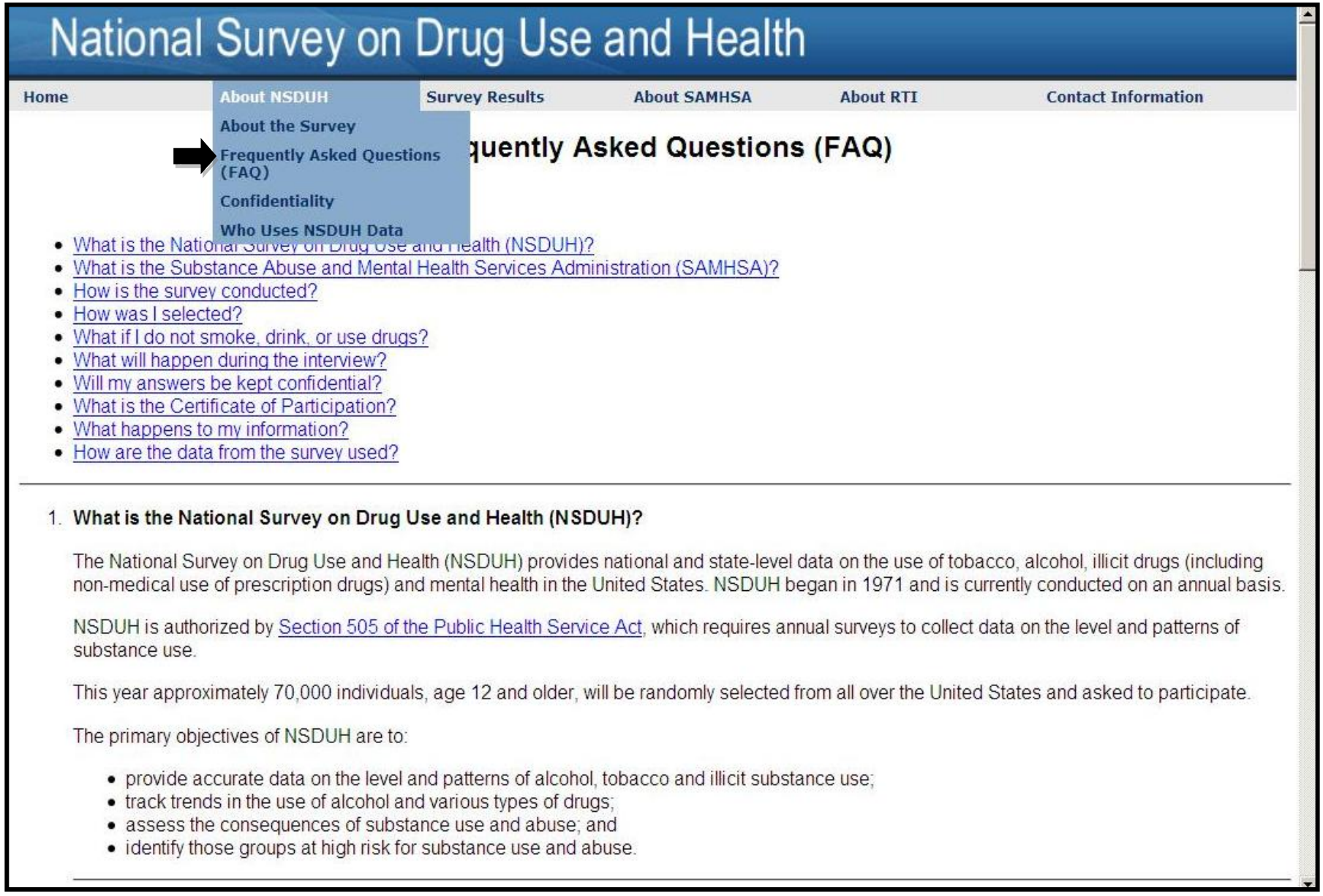
Both SAMHSA and RTI are committed to assuring the complete confidentiality of all responses. Our interest is only in the combination of all responses nationwide—not any one individual's answers. Full names are never recorded or associated with a participant's answers. Additionally, the confidentiality of the answers provided to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA). By law, all responses can only be used for statistical purposes and cannot be used for any other purpose.

Each interview data file – identified only by a code number – is electronically transmitted to RTI on the same day the interview is conducted. Combined with all other participants' answers, the data are then coded, totaled, and turned into statistics for analysis. As a quality control measure, participants may receive a telephone call or letter from RTI to verify that the interviewer completed the interview with them in a professional manner.








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quently Asked Questions (FAQ)
What is the National Survey on Drug Use and Health (NSDUH)?
What is the Substance Abuse and Mental Health Services Administration (SAMHSA)?
How is the survey conducted?
How was I selected?
What if I do not smoke, drink, or use drugs?
What will happen during the interview?
Will my answers be kept confidential?
What is the Certificate of Participation?
What happens to my information?
How are the data from the survey used?
1. What is the National Survey on Drug Use and Health (NSDUH)?
The National Survey on Drug Use and Health (NSDUH) provides national and state-level data on the use of tobacco, alcohol, illicit drugs (including non-medical use of prescription drugs) and mental health in the United States. NSDUH began in 1971 and is currently conducted on an annual basis.
NSDUH is authorized by Section 505 of the Public Health Service Act, which requires annual surveys to collect data on the level and patterns of substance use.
This year approximately 70,000 individuals, age 12 and older, will be randomly selected from all over the United States and asked to participate.
The primary objectives of NSDUH are to:
provide accurate data on the level and patterns of alcohol, tobacco and illicit substance use;
track trends in the use of alcohol and various types of drugs;
assess the consequences of substance use and abuse; and
identify those groups at high risk for substance use and abuse.

2. **What is the Substance Abuse and Mental Health Services Administration (SAMHSA)?**

   The Substance Abuse and Mental Health Services Administration (SAMHSA) is an agency of the U.S. Public Health Service in the U.S.Department of Health and Human Services (DHHS). Created in 1992, SAMHSA provides leadership and federal focus for the nation's mental health and substance abuse treatment and prevention programs. NSDUH helps facilitate this mission by monitoring the nature and extent of substance use in the United States, as well as the consequences of this use.

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3. **How is the survey conducted?**

   Under a competitive bidding process, SAMHSA selects a survey research organization to administer the NSDUH. Currently, Research Triangle Institute (RTI) is under contract to conduct the NSDUH through 2011. RTI, located in Research Triangle Park, North Carolina, and closely associated with the University of North Carolina, Duke University, and North Carolina State University, is an independent, nonprofit research organization that has successfully conducted the survey since 1988.

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4. **How was I selected?**

   A scientific random sample of households is selected across the United States, and a professional RTI field interviewer makes a personal visit to each household. Once selected, no other household can be substituted for any reason. This practice is to ensure that the NSDUH data represent the many different types of people in the United States.

   After answering a few general questions during the in-person visit by the interviewer, one or two members of your household may be asked to participate in the survey by completing an interview. It is possible that no one will be selected for the interview.

   If you are selected, no other person can take your place. Since the survey is based on a random sample, you will represent more than 4,500 other United States residents. At the end of the completed interview, you will receive $30 in cash.

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5. **What if I do not smoke, drink, or use drugs?**

   In order to know the percentage of people who use these substances, we also need to know how many people do not. The responses of people who do not use drugs are just as important as the responses of people who do. While some questions ask about drug knowledge and experience, other questions ask about a number of health-related topics relevant for all people. You do not need to know anything about drugs to answer the questions.

---

6. **What will happen during the interview?**

   A professional RTI field interviewer personally visits each selected person to administer the interview using a laptop computer. No prior computer skills are necessary. Individuals answer most of the interview questions in private and enter their responses directly into the computer so that even the interviewer does not know the answer entered. For some items, the interviewer reads the questions aloud and enters the responses given into the computer. The interview takes about one hour to complete. Persons who complete the interview receive $30 in cash at the end of the interview

7. **Will my answers be kept confidential?**

   Yes. Both SAMHSA and RTI are committed to assuring complete confidentiality of all responses. Our interest is only in the combination of all responses nationwide—not any one individual's answers. Participants' full names are never recorded or associated with their answers. Additionally, the confidentiality of the answers provided to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002(CIPSEA). By law, all responses can only be used for statistical purposes and cannot be used for any other purpose.

   For more on confidentiality, click here.

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8. **What is the Certificate of Participation?**

   In appreciation for their help with this important study, individuals who complete the interview can receive a Certificate of Participation from the interviewer to confirm their participation in the NSDUH. Individuals may then be able to present the Certificate of Participation to school administration or other officials and receive school or community service credit. It is the individual's responsibility to make a request for credit—RTI has not made any advance arrangements with any school in the nation and receipt of school or community service credit cannot be guaranteed.

---

9. **What happens to my information?**

   Each interview data file—identified only by a code number—is electronically transmitted to RTI on the same day the interview is conducted. Combined with all other participants' answers, the data are then coded, totaled, and turned into statistics for analysis. As a quality control measure, you may receive a telephone call or a letter from RTI to verify that the interviewer completed the interview with you in a professional manner.

---

10. **How are the data from the survey used?**

    Many government agencies, private organizations, individual researchers, and the public at large use the data for a number of purposes. For example, the U.S. Public Health Service and state health agencies use the data to estimate the need for treatment facilities. Other federal, state, and local agencies use the information to support prevention programs and monitor drug control strategies.

    For a list of who uses NSDUH data, click here.

For more information on NSDUH, contact one of the individuals listed below.

SAMHSA Contact	**RTI Contact**
National Study Director, Office of Applied Studies	Project Director

administration or other officials and receive school or community service credit. It is the individual's responsibility to make a request for credit—RTI has not made any advance arrangements with any school in the nation and receipt of school or community service credit cannot be guaranteed.

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10. **How are the data from the survey used?**

    Many government agencies, private organizations, individual researchers, and the public at large use the data for a number of purposes. For example, the U.S. Public Health Service and state health agencies use the data to estimate the need for treatment facilities. Other federal, state, and local agencies use the information to support prevention programs and monitor drug control strategies.

    For a list of who uses NSDUH data, click here.

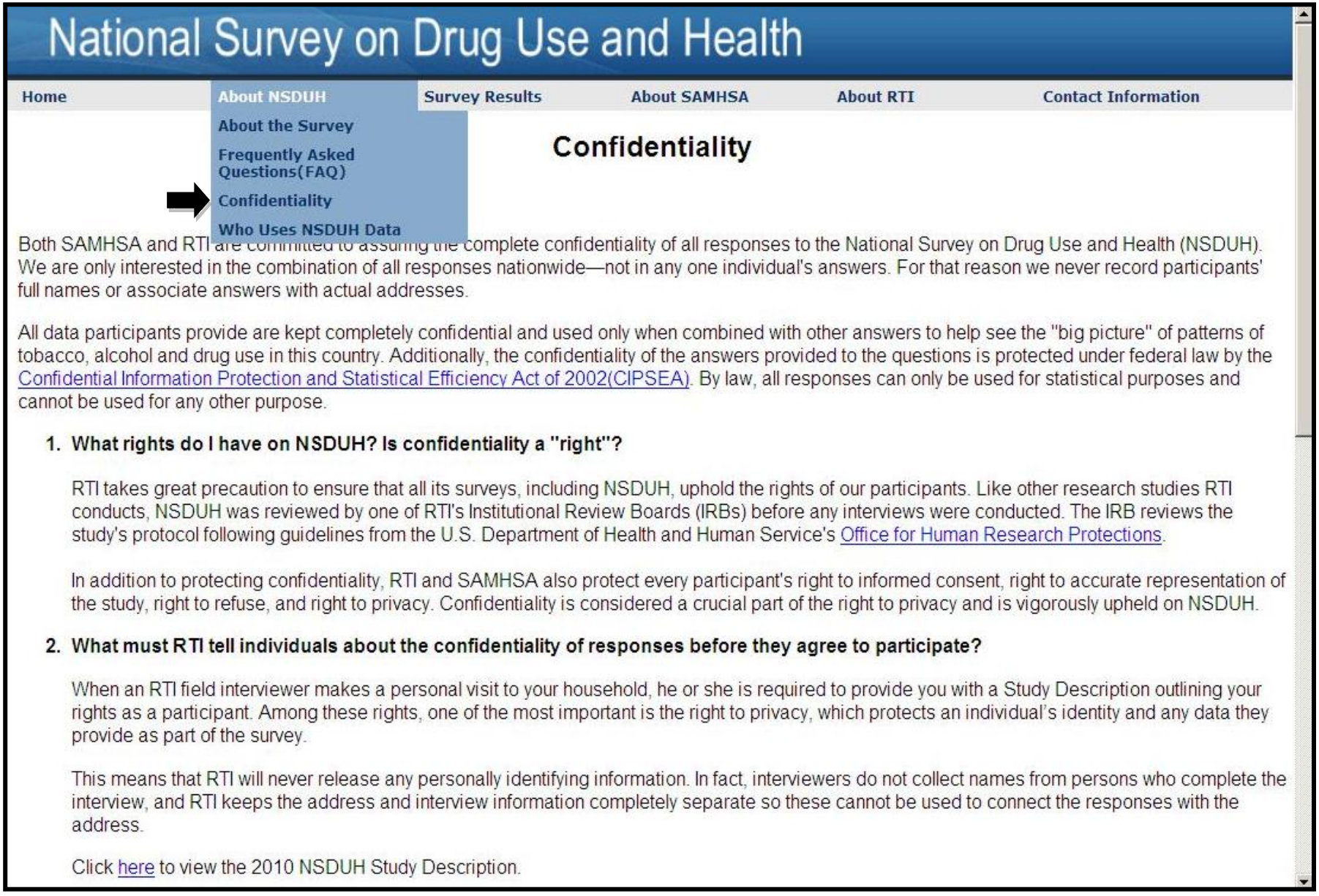
For more information on NSDUH, contact one of the individuals listed below.

SAMHSA Contact

National Study Director, Office of Applied Studies
DHHS/OAS/SAMHSA
1 Choke Cherry Road, Room 7-1009
Rockville, MD 20857
e-mail:
http://www.oas.samhsa.gov/nsduh.htm

RTI Contact

Project Director
Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709
e-mail:
http://www.rti.org


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Confidentiality
Both SAMHSA and RTI are committed to assuring the complete confidentiality of all responses to the National Survey on Drug Use and Health (NSDUH). We are only interested in the combination of all responses nationwide—not in any one individual's answers. For that reason we never record participants' full names or associate answers with actual addresses.
All data participants provide are kept completely confidential and used only when combined with other answers to help see the "big picture" of patterns of tobacco, alcohol and drug use in this country. Additionally, the confidentiality of the answers provided to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002(CIPSEA). By law, all responses can only be used for statistical purposes and cannot be used for any other purpose.
1. What rights do I have on NSDUH? Is confidentiality a "right"?
RTI takes great precaution to ensure that all its surveys, including NSDUH, uphold the rights of our participants. Like other research studies RTI conducts, NSDUH was reviewed by one of RTI's Institutional Review Boards (IRBs) before any interviews were conducted. The IRB reviews the study's protocol following guidelines from the U.S. Department of Health and Human Service's Office for Human Research Protections.
In addition to protecting confidentiality, RTI and SAMHSA also protect every participant's right to informed consent, right to accurate representation of the study, right to refuse, and right to privacy. Confidentiality is considered a crucial part of the right to privacy and is vigorously upheld on NSDUH.
2. What must RTI tell individuals about the confidentiality of responses before they agree to participate?
When an RTI field interviewer makes a personal visit to your household, he or she is required to provide you with a Study Description outlining your rights as a participant. Among these rights, one of the most important is the right to privacy, which protects an individual's identity and any data they provide as part of the survey.
This means that RTI will never release any personally identifying information. In fact, interviewers do not collect names from persons who complete the interview, and RTI keeps the address and interview information completely separate so these cannot be used to connect the responses with the address.
Click here to view the 2010 NSDUH Study Description.

3. How does RTI protect confidentiality on NSDUH?

The confidentiality of the answers provided to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002(CIPSEA). Any information collected is kept strictly confidential and can only be used for statistical purposes. Any project staff member or authorized data user who violates CIPSEA may be subject to a prison term of up to five years, a fine of up to $250,000, or both. In addition, all NSDUH project staff complete annual training on confidentiality and CIPSEA.

4. Does RTI require interviewers and other researchers to sign a written statement to protect the confidentiality of the data?

Yes. We require that all project staff with access to NSDUH data sign a Confidentiality Agreement and all RTI field interviewers sign a Data Collection Agreement. In signing these forms, each individual personally pledges to uphold the confidentiality of all data they collect, process, or analyze. Under the Confidential Information Protection and Statistical Efficiency Act of 2002(CIPSEA), any violation of the agreement would make the individual subject to criminal penalties, including a prison term of up to five years, a fine of up to $250,000, or both.

Failure to protect a participant's confidentiality can also result in immediate termination for that staff member. RTI takes this very seriously, as our company's reputation would be at risk if there were ever a breach of confidentiality.

5. Has anyone ever tried to obtain confidential data from this study (such as subpoenaing an individual's answers on a court case)?

No. There have been no instances of attempts to obtain any confidential data that RTI has collected in *any* study, including the years since RTI began collecting data for NSDUH in 1988.

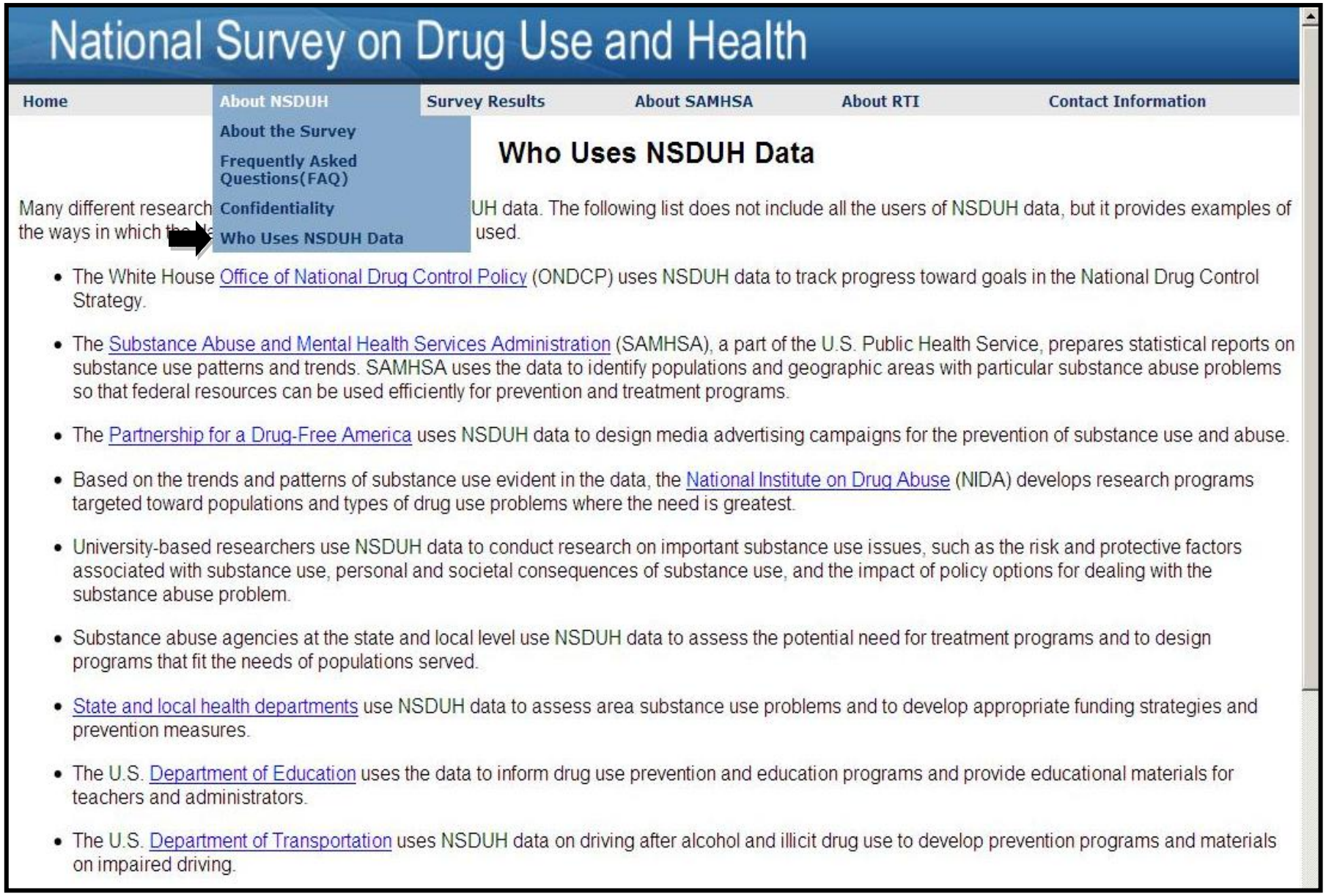
For more information on NSDUH or confidentiality, contact one of the individuals listed below.

SAMHSA Contact

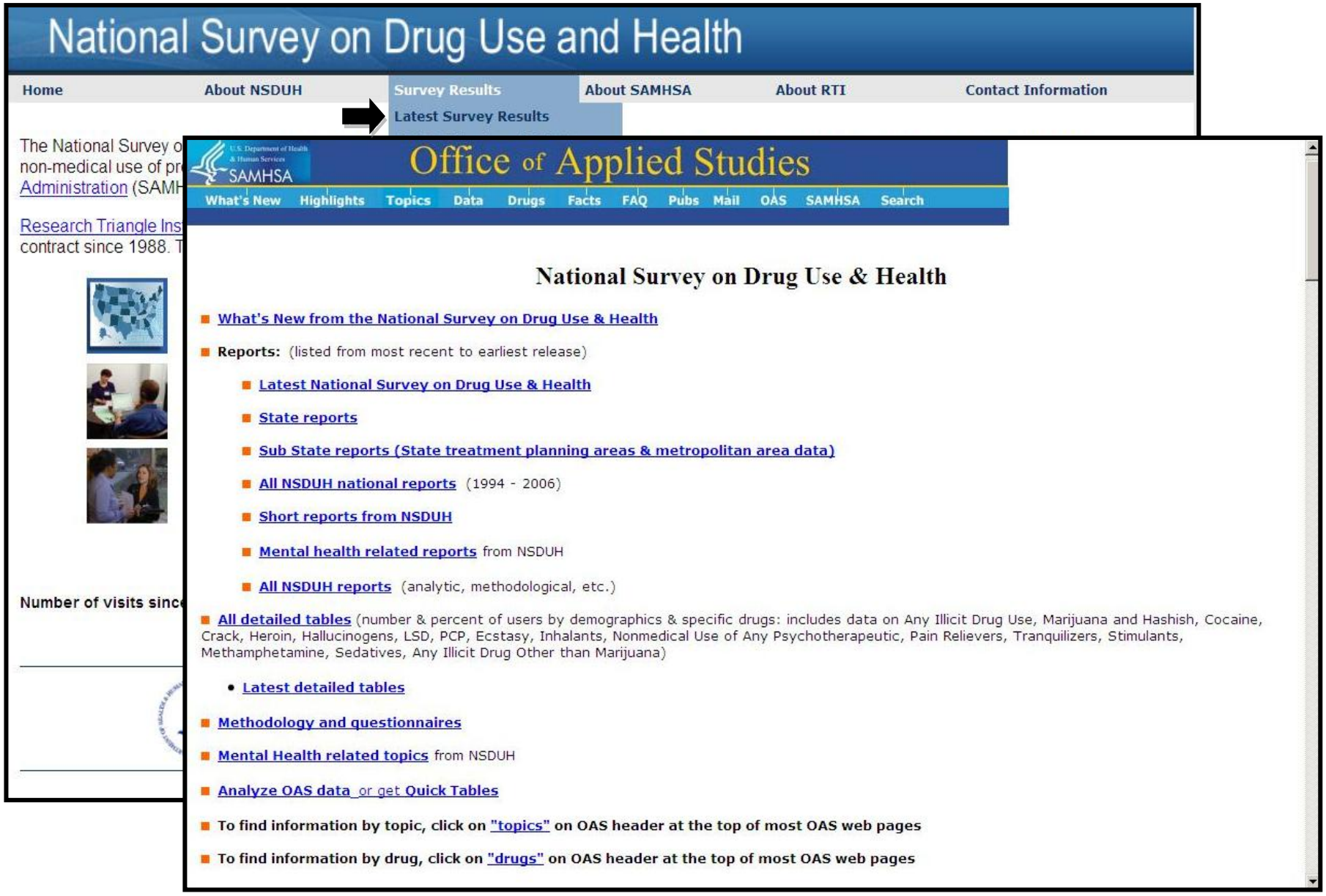
National Study Director, Office of Applied Studies
DHHS/OAS/SAMHSA
1 Choke Cherry Road, Room 7-1009
Rockville, MD 20857
e-mail:
http://www.oas.samhsa.gov/nsduh.htm

RTI Contact

Project Director
Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709
e-mail:
http://www.rti.org


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Who Uses NSDUH Data
Many different research
UH data. The following list does not include all the users of NSDUH data, but it provides examples of
the ways in which th
used.
• The White House Office of National Drug Control Policy (ONDCP) uses NSDUH data to track progress toward goals in the National Drug Control Strategy.
• The Substance Abuse and Mental Health Services Administration (SAMHSA), a part of the U.S. Public Health Service, prepares statistical reports on substance use patterns and trends. SAMHSA uses the data to identify populations and geographic areas with particular substance abuse problems so that federal resources can be used efficiently for prevention and treatment programs.
• The Partnership for a Drug-Free America uses NSDUH data to design media advertising campaigns for the prevention of substance use and abuse.
• Based on the trends and patterns of substance use evident in the data, the National Institute on Drug Abuse (NIDA) develops research programs targeted toward populations and types of drug use problems where the need is greatest.
• University-based researchers use NSDUH data to conduct research on important substance use issues, such as the risk and protective factors associated with substance use, personal and societal consequences of substance use, and the impact of policy options for dealing with the substance abuse problem.
• Substance abuse agencies at the state and local level use NSDUH data to assess the potential need for treatment programs and to design programs that fit the needs of populations served.
• State and local health departments use NSDUH data to assess area substance use problems and to develop appropriate funding strategies and prevention measures.
• The U.S. Department of Education uses the data to inform drug use prevention and education programs and provide educational materials for teachers and administrators.
• The U.S. Department of Transportation uses NSDUH data on driving after alcohol and illicit drug use to develop prevention programs and materials on impaired driving.

- The Substance Abuse and Mental Health Services Administration (SAMHSA), a part of the U.S. Public Health Service, prepares statistical reports on substance use patterns and trends. SAMHSA uses the data to identify populations and geographic areas with particular substance abuse problems so that federal resources can be used efficiently for prevention and treatment programs.
- The Partnership for a Drug-Free America uses NSDUH data to design media advertising campaigns for the prevention of substance use and abuse.
- Based on the trends and patterns of substance use evident in the data, the National Institute on Drug Abuse (NIDA) develops research programs targeted toward populations and types of drug use problems where the need is greatest.
- University-based researchers use NSDUH data to conduct research on important substance use issues, such as the risk and protective factors associated with substance use, personal and societal consequences of substance use, and the impact of policy options for dealing with the substance abuse problem.
- Substance abuse agencies at the state and local level use NSDUH data to assess the potential need for treatment programs and to design programs that fit the needs of populations served.
- State and local health departments use NSDUH data to assess area substance use problems and to develop appropriate funding strategies and prevention measures.
- The U.S. Department of Education uses the data to inform drug use prevention and education programs and provide educational materials for teachers and administrators.
- The U.S. Department of Transportation uses NSDUH data on driving after alcohol and illicit drug use to develop prevention programs and materials on impaired driving.
- The Office on Smoking and Health, a part of the Centers for Disease Control and Prevention (CDC), uses NSDUH data to study trends and patterns in youth tobacco use and to develop strategies for reducing youth tobacco use.
- Newspaper, television and radio reporters use NSDUH data in their documentaries on substance use and abuse.


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All NSDUH national reports (1994 - 2006)
Short reports from NSDUH
Mental health related reports from NSDUH
All NSDUH reports (analytic, methodological, etc.)
All detailed tables (number & percent of users by demographics & specific drugs: includes data on Any Illicit Drug Use, Marijuana and Hashish, Cocaine, Crack, Heroin, Hallucinogens, LSD, PCP, Ecstasy, Inhalants, Nonmedical Use of Any Psychotherapeutic, Pain Relievers, Tranquilizers, Stimulants, Methamphetamine, Sedatives, Any Illicit Drug Other than Marijuana)
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Methodology and questionnaires
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To find information by topic, click on "topics" on OAS header at the top of most OAS web pages
To find information by drug, click on "drugs" on OAS header at the top of most OAS web pages



What's New
from the National Survey on Drug Use & Health

To find information by topic, click on "topics" on OAS header banner at the top of the web page.

NEW The NSDUH Report - - **Children Living with Substance-Dependent or Substance-Abusing Parents: 2002 to 2007**

NEW The NSDUH Report - - **Alcohol Treatment: Need, Utilization, and Barriers**

The NSDUH Report - - **Nonmedical Use of Adderall® among Full-Time College Students**

The NSDUH Report - - **Exposure to Substance Use Prevention Messages and Substance Use among Adolescents: 2002 to 2007**

The NSDUH Report: **Concurrent Illicit Drug and Alcohol Use**

The NSDUH Report - - **Trends in Adolescent Inhalant Use: 2002 to 2007**

The NSDUH Report - - **Smokeless Tobacco Use, Initiation, and Relationship to Cigarette Smoking: 2002 to 2007**

The NSDUH Report - - **Adolescent Mental Health: Service Settings and Reasons for Receiving Care**

The NSDUH Report - - **Trends in Nonmedical Use of Prescription Pain Relievers: 2002 to 2007**

The NSDUH Report - - **Cigar Use among Young Adults Aged 18 to 25**

The NSDUH Report - - **Serious Psychological Distress and Receipt of Mental Health Services**

The NSDUH Report - - **Marijuana Use and Perceived Risk of Use among Adolescents: 2002 to 2007**

The NSDUH Report: **Trends in Substance Use, Dependence or Abuse, and Treatment Among Adolescents: 2002 to 2007**

The NSDUH Report - - **Participation in Self-help Groups for Alcohol and Illicit Drug Use, 2006 and 2007**

The NSDUH Report: **Underage Alcohol Use: Where Do Young People Get Alcohol?**

The NSDUH Report - - **Major Depressive Episode and Treatment for Depression among Veterans Aged 21 to 39**

The NSDUH Report - - **Mental Health Service Use among Youths Aged 12 to 17: 2005 and 2006**

The NSDUH Report - - **Out-of-Home Services for Emotional or Behavioral Problems among Youths Aged 12 to 17: 2002 to 2006**

The NSDUH Report: **Alcohol Use among Pregnant Women and Recent Mothers: 2002 to 2007**

The NSDUH Report - - **Alcohol Dependence or Abuse in Substate Areas** (State treatment planning areas)

The NSDUH Report - - **Past Month Cigarette Use Among Racial and Ethnic Groups**

The NSDUH Report - - **Substance Use Treatment Need among Adolescents, 2003-2004**

The NSDUH Report - - **Nonmedical Users of Pain Relievers, Characteristics of Recent Initiates**

The NSDUH Report - - **How and Where Young Adults Obtain Marijuana**

The NSDUH Report - - **Academic Performance and Substance Use among Students Aged 12 to 17 (2002, 2003, & 2004)**

The NSDUH Report: **Alcohol Dependence or Abuse: 2002, 2003, and 2004**

The NSDUH Report - - **State Estimates of Underage Drinking**

State Estimates of Substance Use from the 2003-2004 National Surveys on Drug Use & Health (HTML) **(PDF format)**

The NSDUH Report - - **Characteristics of Recent Adolescent Inhalant Initiates**

The NSDUH Report - - **Sources of Payment for Substance Use Treatment**

The NSDUH Report - - **Substance Use and Employment among Youths Aged 15 to 17**

The NSDUH Report - - **Youth Violence and Illicit Drug Use**

The NSDUH Report - - **Serious Psychological Distress and Substance Use among Young Adult Males**

The NSDUH Report - - **Depression among Adolescents**

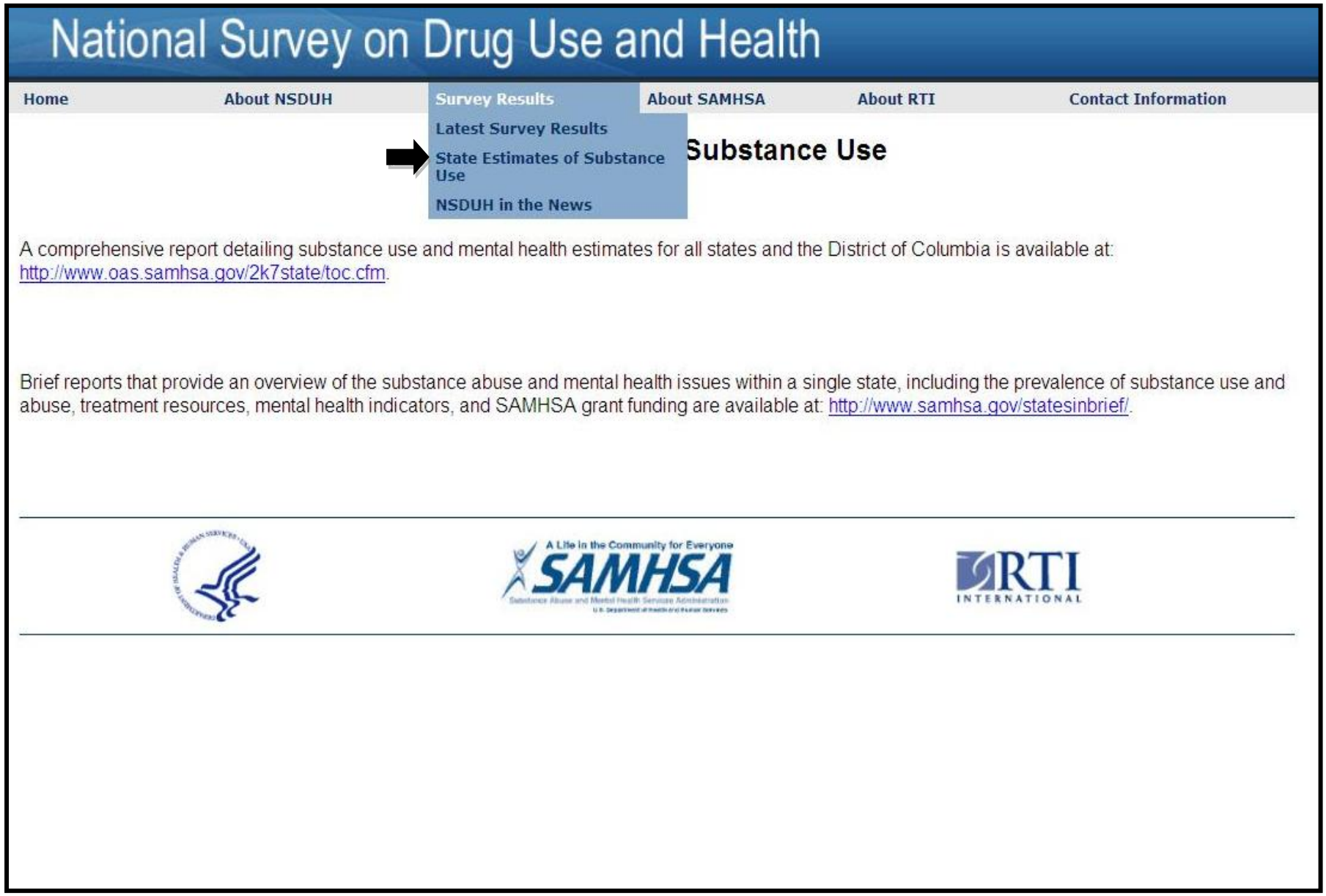
M-5: Evaluating and Improving Methods Used in the National Survey on Drug Use and Health (PDF format; 1.3 MB)

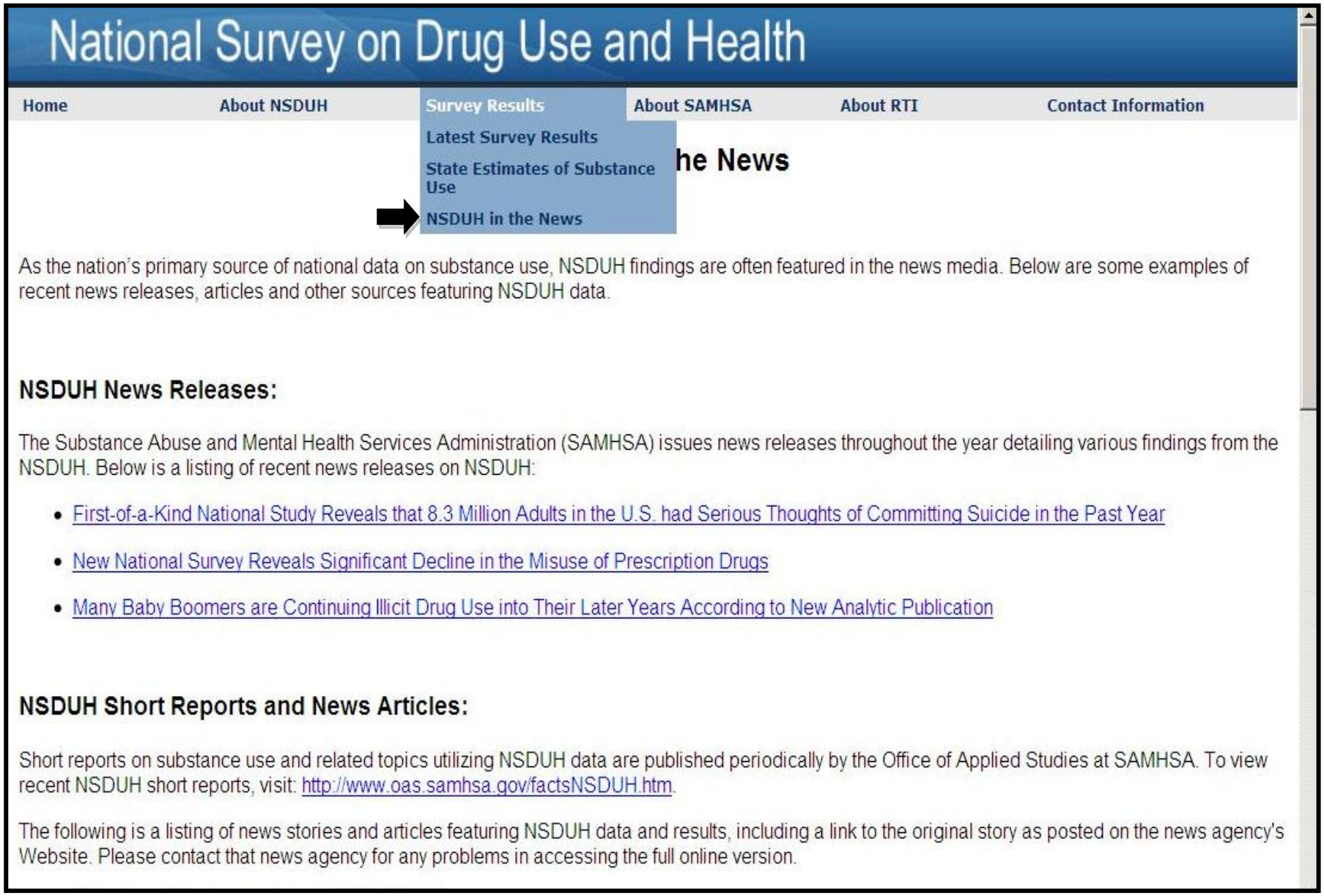
The NSDUH Report - - **Suicidal Thoughts among Youths Aged 12 to 17 with Major Depressive Episode**

This page was last updated on April 14, 2009.

SAMHSA, an agency in the Department of Health and Human Services, is the Federal Government's lead agency for improving the quality and availability of substance abuse prevention, addiction treatment, and mental health services in the United States.

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A comprehensive report detailing substance use and mental health estimates for all states and the District of Columbia is available at: http://www.oas.samhsa.gov/2k7state/toc.cfm.
Brief reports that provide an overview of the substance abuse and mental health issues within a single state, including the prevalence of substance use and abuse, treatment resources, mental health indicators, and SAMHSA grant funding are available at: http://www.samhsa.gov/statesinbrief/.
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NSDUH in the News
he News
As the nation's primary source of national data on substance use, NSDUH findings are often featured in the news media. Below are some examples of recent news releases, articles and other sources featuring NSDUH data.
NSDUH News Releases:
The Substance Abuse and Mental Health Services Administration (SAMHSA) issues news releases throughout the year detailing various findings from the NSDUH. Below is a listing of recent news releases on NSDUH:
First-of-a-Kind National Study Reveals that 8.3 Million Adults in the U.S. had Serious Thoughts of Committing Suicide in the Past Year
New National Survey Reveals Significant Decline in the Misuse of Prescription Drugs
Many Baby Boomers are Continuing Illicit Drug Use into Their Later Years According to New Analytic Publication
NSDUH Short Reports and News Articles:
Short reports on substance use and related topics utilizing NSDUH data are published periodically by the Office of Applied Studies at SAMHSA. To view recent NSDUH short reports, visit: http://www.oas.samhsa.gov/factsNSDUH.htm.
The following is a listing of news stories and articles featuring NSDUH data and results, including a link to the original story as posted on the news agency's Website. Please contact that news agency for any problems in accessing the full online version.

NSDUH Short Reports and News Articles:

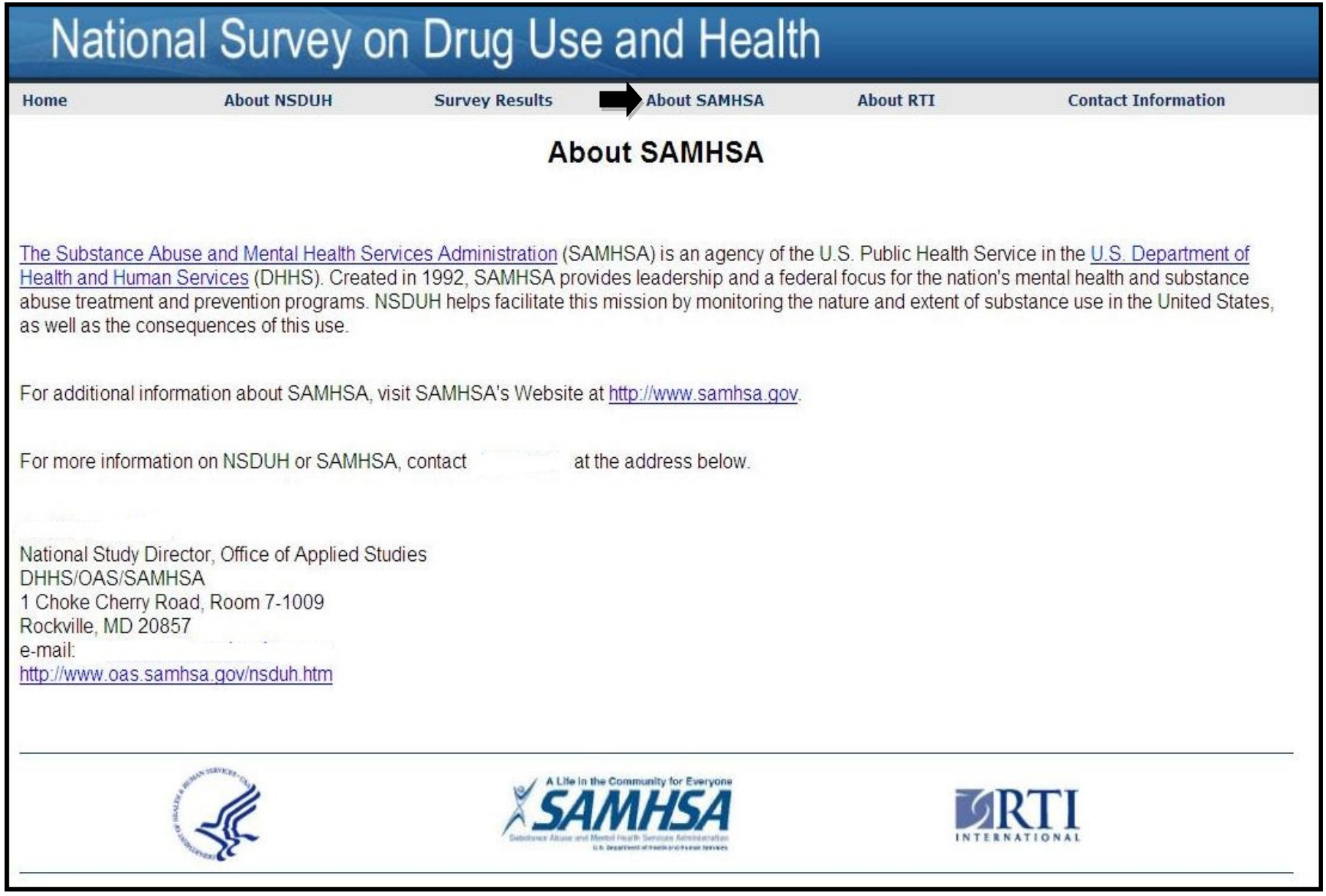
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The following is a listing of news stories and articles featuring NSDUH data and results, including a link to the original story as posted on the news agency's Website. Please contact that news agency for any problems in accessing the full online version.

- New drug of choice on campus(CNN 10/2/09)



- Abuse of prescription drugs dips (USA Today, 9/10/09)
- Baby Boomers and Binge Drinking (Chicago Tribune, 9/1/09)



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About SAMHSA

The Substance Abuse and Mental Health Services Administration (SAMHSA) is an agency of the U.S. Public Health Service in the U.S. Department of Health and Human Services (DHHS). Created in 1992, SAMHSA provides leadership and a federal focus for the nation's mental health and substance abuse treatment and prevention programs. NSDUH helps facilitate this mission by monitoring the nature and extent of substance use in the United States, as well as the consequences of this use.

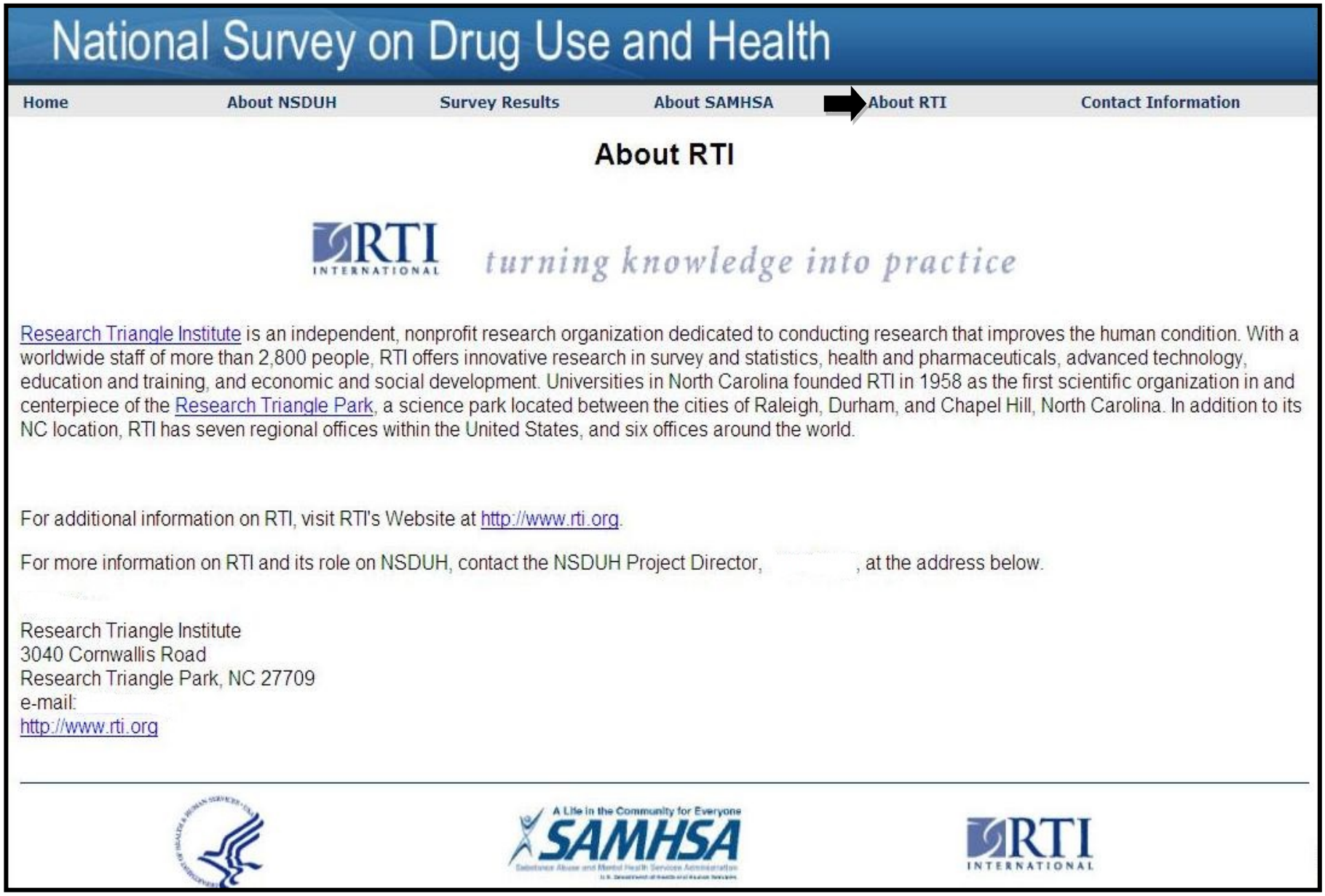
For additional information about SAMHSA, visit SAMHSA's Website at http://www.samhsa.gov.

For more information on NSDUH or SAMHSA, contact at the address below.

National Study Director, Office of Applied Studies
DHHS/OAS/SAMHSA
1 Choke Cherry Road, Room 7-1009
Rockville, MD 20857
e-mail:
http://www.oas.samhsa.gov/nsduh.htm

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About RTI

RTI INTERNATIONAL *turning knowledge into practice*

Research Triangle Institute is an independent, nonprofit research organization dedicated to conducting research that improves the human condition. With a worldwide staff of more than 2,800 people, RTI offers innovative research in survey and statistics, health and pharmaceuticals, advanced technology, education and training, and economic and social development. Universities in North Carolina founded RTI in 1958 as the first scientific organization in and centerpiece of the Research Triangle Park, a science park located between the cities of Raleigh, Durham, and Chapel Hill, North Carolina. In addition to its NC location, RTI has seven regional offices within the United States, and six offices around the world.

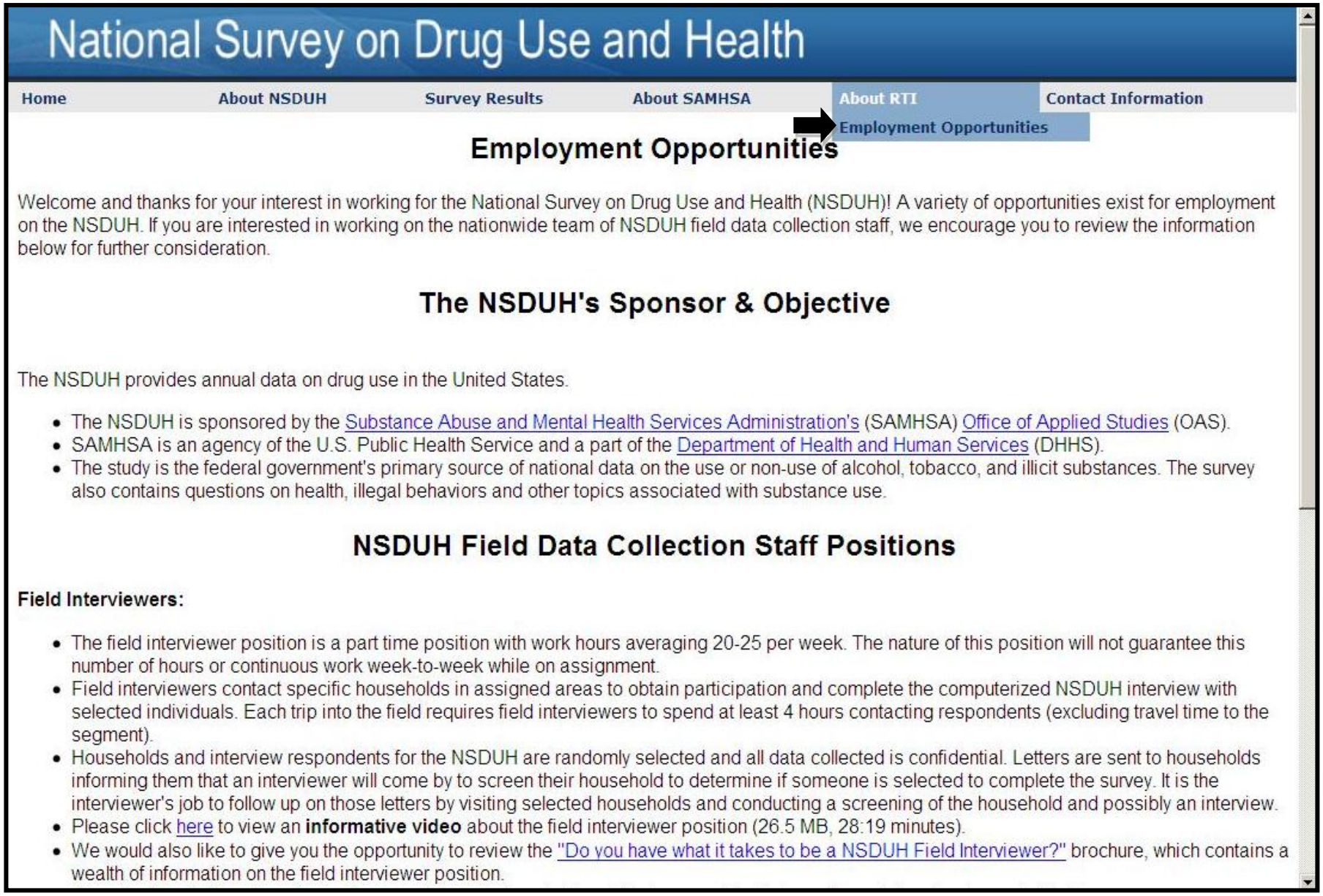
For additional information on RTI, visit RTI's Website at http://www.rti.org.

For more information on RTI and its role on NSDUH, contact the NSDUH Project Director, , at the address below.

Research Triangle Institute
3040 Cornwallis Road
Research Triangle Park, NC 27709
e-mail:
http://www.rti.org

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Employment Opportunities

Employment Opportunities

Welcome and thanks for your interest in working for the National Survey on Drug Use and Health (NSDUH)! A variety of opportunities exist for employment on the NSDUH. If you are interested in working on the nationwide team of NSDUH field data collection staff, we encourage you to review the information below for further consideration.

The NSDUH's Sponsor & Objective

The NSDUH provides annual data on drug use in the United States.

- The NSDUH is sponsored by the Substance Abuse and Mental Health Services Administration's (SAMHSA) Office of Applied Studies (OAS).
- SAMHSA is an agency of the U.S. Public Health Service and a part of the Department of Health and Human Services (DHHS).
- The study is the federal government's primary source of national data on the use or non-use of alcohol, tobacco, and illicit substances. The survey also contains questions on health, illegal behaviors and other topics associated with substance use.

NSDUH Field Data Collection Staff Positions

Field Interviewers:

- The field interviewer position is a part time position with work hours averaging 20-25 per week. The nature of this position will not guarantee this number of hours or continuous work week-to-week while on assignment.
- Field interviewers contact specific households in assigned areas to obtain participation and complete the computerized NSDUH interview with selected individuals. Each trip into the field requires field interviewers to spend at least 4 hours contacting respondents (excluding travel time to the segment).
- Households and interview respondents for the NSDUH are randomly selected and all data collected is confidential. Letters are sent to households informing them that an interviewer will come by to screen their household to determine if someone is selected to complete the survey. It is the interviewer's job to follow up on those letters by visiting selected households and conducting a screening of the household and possibly an interview.
- Please click here to view an **informative video** about the field interviewer position (26.5 MB, 28:19 minutes).
- We would also like to give you the opportunity to review the "Do you have what it takes to be a NSDUH Field Interviewer?" brochure, which contains a wealth of information on the field interviewer position.

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- We would also like to give you the opportunity to review the "Do you have what it takes to be a NSDUH Field Interviewer?" brochure, which contains a wealth of information on the field interviewer position.
- Opportunities for travel assignments around the country exist for staff who complete high quality work in a timely, cost-effective manner.

Field Supervisors:

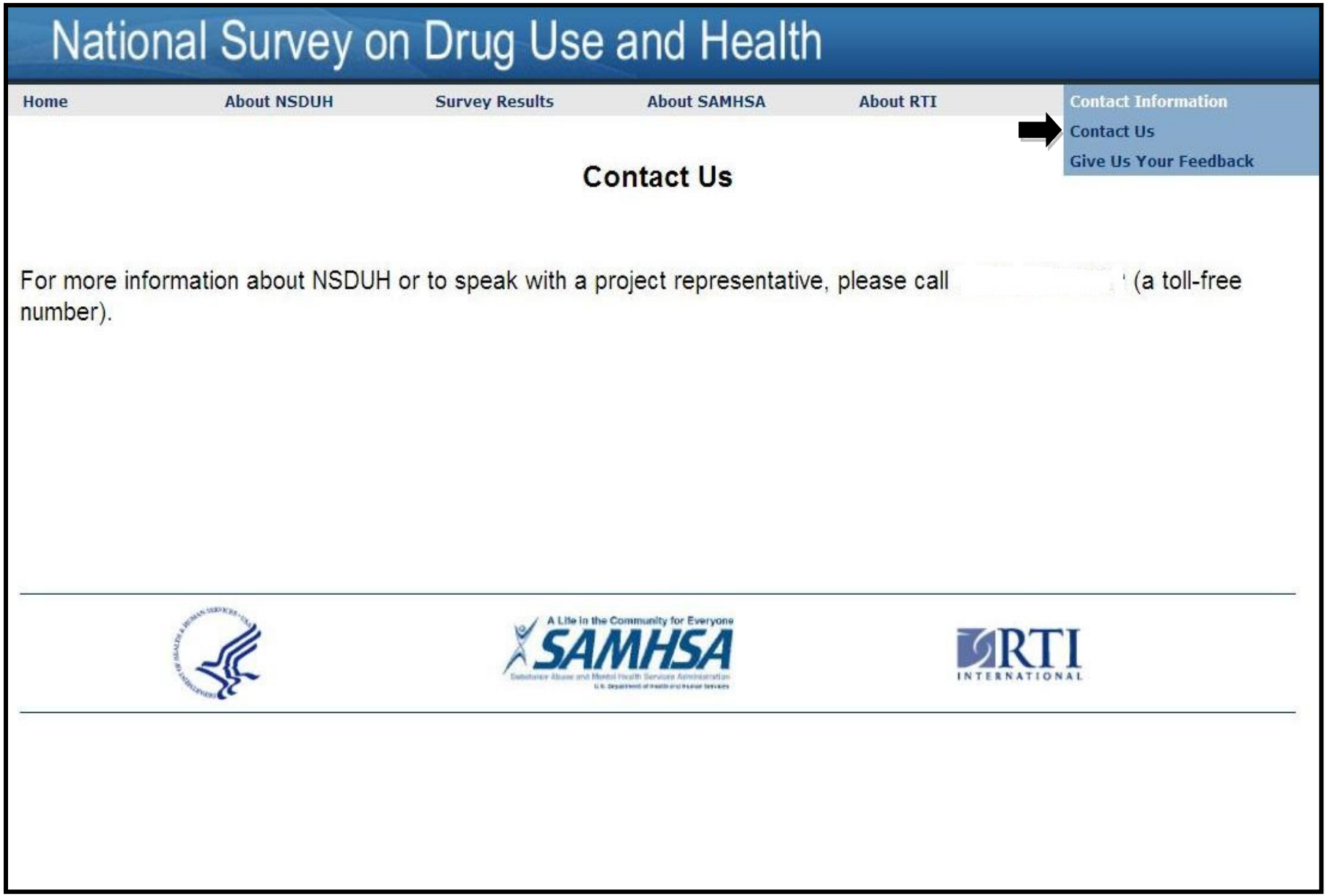
- Field supervisors are full-time employees, charged with supervising 10-18 field interviewers. Supervisors have frequent contact with interviewers and are responsible for the oversight of all aspects of the field interviewers they supervise, ensuring high quality data, cost efficiency and steady completion of assigned cases.

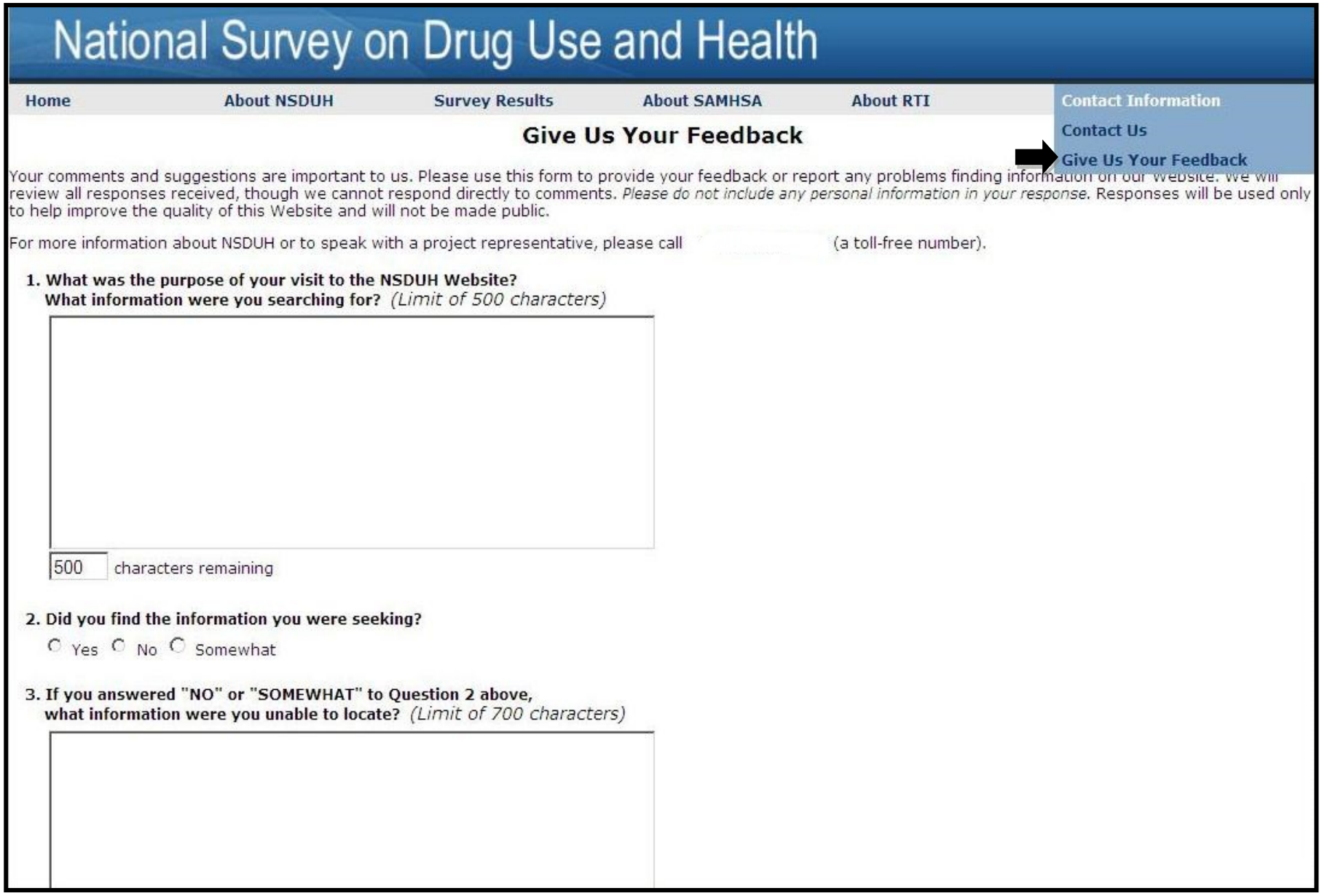
Research Triangle Institute & Headway Corporate Resources

Research Triangle Institute (RTI), an independent, nonprofit organization based in Research Triangle Park, North Carolina, has conducted the NSDUH project since 1988. All field interviewers are employees of Headway Corporate Resources. Headway Corporate Resources, a workforce solutions provider, partners with RTI to connect field interviewers with a variety of work opportunities with RTI. Employment assignments are considered temporary in scope and will be based on the duration of the project. Headway is an Equal Opportunity Employer.

If you are a prospective field interviewer interested in working on the NSDUH, please visit Headway Corporate Resources' Career Zone (http://rti-headway.appone.com/) to register, complete a profile and upload your resume. Your information will be reviewed and you will be contacted if your qualifications appear to fit the needs of the NSDUH project.

If you are interested in working with Research Triangle Institute, visit RTI's Website at www.rti.org to view the current job openings at RTI locations throughout the world.


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Give Us Your Feedback

Your comments and suggestions are important to us. Please use this form to provide your feedback or report any problems finding information on our website. We will review all responses received, though we cannot respond directly to comments. *Please do not include any personal information in your response.* Responses will be used only to help improve the quality of this Website and will not be made public.

For more information about NSDUH or to speak with a project representative, please call (a toll-free number).

1. What was the purpose of your visit to the NSDUH Website?
What information were you searching for? *(Limit of 500 characters)*

500 characters remaining

2. Did you find the information you were seeking?

○ Yes ○ No ○ Somewhat

3. If you answered "NO" or "SOMEWHAT" to Question 2 above, what information were you unable to locate? *(Limit of 700 characters)*

700 characters remaining

4. Do you have any additional comments or suggestions for improving our Website? What other topics would you like to see featured? Please include any Webpage name(s) as appropriate.
(Limit of 700 characters)

700 characters remaining

Thank you for completing our feedback form.

Submit Feedback Reset Form

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Appendix E

NSDUH Guide to Pronunciations

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NSDUH Guide to Pronunciations

Brands of Tobacco:

Al Capone	al ca-**pone**
Antonio y Cleopatra	an-**toe**-nee-o ee **clee**-o-**pah**-tra
Arturo Fuente	ar-**tour**-oh foo-**en**-tay
Capri	ca-**pree**
Cohiba	co-**hee**-ba
Copenhagen	**kope**-en-hay-gun
Cuesta-Rey	**kwes**-ta ray
Doral	door-**al**
El Producto	**ell** pro-**duck**-to
Garcia y Vega	gar-**see**-ah ee **vay**-gah
Havatampa	hav-ah-**tam**-pah
La Corona	**la** kah-**rone**-ah
Liggett Select	lig-et se-**lect**
Macanudos	mac-ah-**nooh**-doze
Montecristo	mon-tee-**cris**-toe
Partagas	par-**tay**-gahs
Romeo y Julieta	**ro**-may-oh ee hoo-lee-**et**-ah
Tijuana Smalls	tee-ya-**wan**-ah smalls
Viceroy	**vice**-ah-roy

Alcoholic Beverages:

Cassis	kah-**sees**
Cognac	**kon**-yak
Creme de menthe	**krem**-duh-menth
Drambuie	dram-**boo**-ee
Grand Marnier	**grand** marn-nee-**ay**
Kahlua	kah-**loo**-ah
Lager	**lah**-gur
Liqueurs	lih-**koors**
Muscadine	**mus**-ka-dine
Schnapps	shnops
Scuppernong	**skupp**-er-nong
Vermouth	ver-**mooth**

Illicit Drugs:

Hallucinogen	ha-**loo**-sin-oh-jin
Hashish	**hash**-eesh
Heroin	**hair**-oh-in
Marijuana	**mare**-ah-**wan**-ah
Mescaline	**mess**-ka-lin
Peyote	pay-**yo**-tee
Phencyclidine	fen-**sigh**-kluh-deen
Psilocybin	**sill**-oh-**sigh**-bin

Inhalants:

Aerosol spray	**air**-uh-sol **spray**
Amyl Nitrite	**am**-ill **nigh**-trite
Anesthetic	**an**-ess-**theh**-tic
Ether	**ee**-thur
Halothane	**hal**-oh-thane
Inhalant	in-**hay**-lunt
Lacquer thinner	**lack**-er **thin**-ner
Nitrous oxide	**nigh**-truss **ock**-side
Toluene	**tall**-yoo-een
Whippits	**whip**-ets

Prescription Pain Relievers:

Analgesic	an-nul-**jee**-zick
Darvocet-N	**dar**-voh-set-n
Darvon	**dar**-von
Demerol	**dem**-er-all
Dilaudid	die-**law**-did
Fioricet	fee-**or**-ih-set
Fiorinal	fee-**or**-ih-nall
Hydrocodone	**high**-dro-**koh**-done
Lorcet	**lore**-set
Lortab	**lore**-tab
Methadone	**meth**-uh-done
Morphine	**more**-feen
OxyContin	**ock**-see-**con**-tin
Percocet	**per**-koh-set
Percodan	**per**-koh-dan
Phenaphen with Codeine	**fen**-ah-fen with **koh**-deen
Propoxyphene	proh-**pocks**-ih-feen
Stadol	**stay**-doll
Talacen	**tal**-uh-sin
Talwin	**tall**-win
Talwin NX	**tall**-win-n-x
Tramadol	**tram**-uh-doll
Tylenol with Codeine	**tie**-luh-nall with **koh**-deen
Tylox	**tie**-locks
Ultram	**ul**-trum
Vicodin	**vigh**-ka-din

Prescription Tranquilizers:

Alprazolam	al-**pra**-zoe-lam
Atarax	**at**-uh-racks
Ativan	**at**-uh-van
BuSpar	**byoo**-spar
Clonazepam	kluh-**na**-zeh-pam
Diazepam	die-**az**-uh-pam
Equanil	**eh**-kwuh-nill
Flexeril	**fleck**-suh-rill
Klonopin	**klah**-nuh-pin
Librium	**lih-**bree-um
Limbitrol	**lim**-bi-trall
Lorazepam	luh-**raz**-uh-pam
Meprobamate	**meh**-pro-**bam**-ate
Rohypnol	roh-**hip**-nall
Serax	**seer**-racks
Soma	**so**-muh
Tranquilizer	**trang**-kwuh-lie-zer
Tranxene	**tran**-zeen
Valium	**val**-ee-um
Vistaril	**vis**-tah-rill
Xanax	**zan**-acks

Prescription Stimulants:

Amphetamines	am-**fet**-uh-meens
Benzedrine	**ben**-zah-dreen
Biphetamine	bye-**fet**-uh-meen
Cylert	**sigh**-lert
Desoxyn	deh-**zocks**-in
Dexamyl	**decks**-uh-mill
Dexedrine	**decks**-uh-dreen
Dextroamphetamine	**deck**-stro-am-**fet**-uh-meen
Didrex	**die**-drecks
Eskatrol	**ess**-kah-troll
Fastin	**fass**-tin
Ionamin	eye-**own**-uh-min
Mazanor	**maz**-uh-nor
Methamphetamine	**meth**-am-**fet**-uh-meen
Methedrine	**meth**-uh-dreen
Methylphenidate	**meth**-ill-**fen**-i-date
Obedrin - L.A.	o-**bed**-rin - L.A.
Phentermine	**fen**-ter-meen
Plegine	pluh-**zjeen**
Preludin	pray-**loo**-din
Ritalin	**rit**-uh-lin
Sanorex	**san**-uh-recks

Stimulant	**stim**-yoo-lunt
Tenuate	**ten**-you-ate

Prescription Sedatives:

Amytal	**am**-ih-tall
Barbiturates	bar-**bit**-your-rut
Butalbital	byoo-**tal**-bi-tall
Butisol	**byoo**-ti-zall
Chloral Hydrate	**klor**-al **high**-drate
Dalmane	**doll**-main
Halcion	**hal**-see-on
Methaqualone	meh-**thack**-wuh-lone
Nembutal Sodium	**nem**-byoo-tall **so**-dee-um
Pentobarbital	**pen**-toe-**bar**-bi-tall
Phenobarbital	**fee**-noh-**bar**-bi-tall
Placidyl	**pla**-si-dill
Quaalude	**kway**-lood
Restoril	**res**-to-rill
Secobarbital	**seh**-koh-**bar**-bi-tall
Seconal	**seh**-kuh-nall
Sedative	**seh**-duh-tiv
Sopor	**so**-pore
Temazepam	te-**maz**-i-pam
Tuinal	**two**-i-nall

Special Drugs:

Adderall	**add**-ur-all
Alpha-methyltryptamine	**alf**-uh-**meth**-ul-**trip**-tuh-mean
Ambien	**am**-bee-in
Dimethyltryptamine	di-**meth**-ul-**trip**-tuh-mean
Gamma Hydroxybutyrate	**gam**-mah high-**drox**-ee-byoo-**teer**-ate
Ketamine	**ket**-uh-mean
Salvia Divinorum	**sal**-vee-uh dih-vih-**nor**-um
5-MeO-DIPT	**five-**mee-oh-d-i-p-t

Other Words:

CHAMPUS	**champ**-us
CHAMPVA	**champ**-vuh or **champ**-V.A.

Complete alphabetical listing

Adderall	**add**-ur-all
Aerosol spray	**air**-uh-sol **spray**
Al Capone	al ca-**pone**
Alpha-methyltryptamine	**alf**-uh-**meth**-ul-**trip**-tuh-mean
Alprazolam	al-**pra**-zoe-lam
Ambien	**am**-bee-in
Amphetamines	am-**fet**-uh-meens
Amyl Nitrite	**am**-ill **nigh**-trite
Amytal	**am**-ih-tall
Analgesic	an-nul-**jee**-zick
Anesthetic	**an**-ess-**theh**-tic
Antonio y Cleopatra	an-**toe**-nee-o ee **clee**-o-**pah**-tra
Arturo Fuente	ar-**tour**-oh foo-**en**-tay
Atarax	**at**-uh-racks
Ativan	**at**-uh-van
Barbiturates	bar-**bit**-your-rut or bar-**bi**-choo-its
Benzedrine	**ben**-zah-dreen
Biphetamine	bye-**fet**-uh-meen
BuSpar	**byoo**-spar
Butalbital	byoo-**tal**-bi-tall
Butisol	**byoo**-ti-zall
Capri	ca-**pree**
Cassis	kah-**sees**
CHAMPUS	**champ**-us
CHAMPVA	**champ**-vuh or **champ**-V.A.
Chloral Hydrate	**klor**-al **high**-drate
Clonazepam	kluh-**na**-zeh-pam
Cognac	**kon**-yak
Cohiba	co-**hee-**ba
Copenhagen	**kope**-en-hay-gun
Creme de menthe	**krem**-duh-menth
Cuesta-Rey	**kwes**-ta ray
Cylert	**sigh**-lert
Dalmane	**doll**-main
Darvocet-N	**dar**-voh-set-n
Darvon	**dar**-von
Demerol	**dem**-er-all
Desoxyn	deh-**zocks**-in
Dexamyl	**decks**-uh-mill
Dexedrine	**decks**-uh-dreen
Dextroamphetamine	**deck**-stro-am-**fet**-uh-meen
Diazepam	die-**az**-uh-pam
Didrex	**die**-drecks
Dilaudid	die-**law**-did

Dimethyltryptamine	di-**meth**-ul-**trip**-tuh-mean
Doral	door-**al**
Drambuie	dram-**boo**-ee
El Producto	ell pro-**duck**-to
Equanil	**eh**-kwuh-nill
Eskatrol	**ess**-kah-troll
Ether	**ee**-thur
Fastin	**fass**-tin
Fioricet	fee-**or**-ih-set
Fiorinal	fee-**or**-ih-nall
Flexeril	**fleck**-suh-rill
Gamma Hydroxybutyrate	**gam**-mah high-**drox**-ee-byoo-**teer**-ate
Garcia y Vega	gar-**see**-ah ee **vay**-gah
Grand Marnier	**grand** marn-nee-**ay**
Halcion	**hal**-see-on
Hallucinogen	ha-**loo**-sin-oh-jin
Halothane	**hal**-oh-thane
Hashish	**hash**-eesh
Havatampa	hav-ah-**tam**-pah
Heroin	**hair**-oh-in
Hydrocodone	**high**-dro-**koh**-done
Inhalant	in-**hay**-lunt
Ionamin	eye-**own**-uh-min
Kahlua	kah-**loo**-ah
Ketamine	**ket**-uh-mean
Klonopin	**klah**-nuh-pin
La Corona	la kah-**rone**-ah
Lacquer thinner	**lack**-er **thin**-ner
Lager	**lah**-gur
Librium	**lih-**bree-um
Liggett Select	lig-et se-**lect**
Limbitrol	**lim**-bi-trall
Liqueurs	lih-**koors**
Lorazepam	luh-**raz**-uh-pam
Lorcet	**lore**-set
Lortab	**lore**-tab
Macanudos	mac-ah-**nooh**-doze
Marijuana	**mare**-ah-**wan**-ah
Mazanor	**maz**-uh-nor
Meprobamate	**meh**-pro-**bam**-ate
Mescaline	**mess**-ka-lin
Methadone	**meth**-uh-done
Methamphetamine	**meth**-am-**fet**-uh-meen
Methaqualone	meh-**thack**-wuh-lone
Methedrine	**meth**-uh-dreen
Methylphenidate	**meth**-ill-**fen**-i-date

Montecristo	mon-tee-**cris**-toe
Morphine	**more**-feen
Muscadine	**mus**-ka-dine
Nembutal Sodium	**nem**-byoo-tall **so**-dee-um
Nitrous oxide	**nigh**-truss **ock**-side
Obedrin - L.A.	o-**bed**-rin - L.A.
OxyContin	**ock**-see-**con**-tin
Partagas	par-**tay**-gahs
Pentobarbital	**pen**-toe-**bar**-bi-tall
Percocet	**per**-koh-set
Percodan	**per**-koh-dan
Peyote	pay-**yo**-tee
Phenaphen with Codeine	**fen**-ah-fen with **koh**-deen
Phencyclidine	fen-**sigh**-kluh-deen
Phenobarbital	**fee**-noh-**bar**-bi-tall
Phentermine	**fen**-ter-meen
Placidyl	**pla**-si-dill
Plegine	pluh-**zjeen**
Preludin	pray-**loo**-din
Propoxyphene	proh-**pocks**-ih-feen
Psilocybin	**sill**-oh-**sigh**-bin
Quaalude	**kway**-lood
Restoril	**res**-to-rill
Ritalin	**rit**-uh-lin
Rohypnol	roh-**hip**-nall
Romeo y Julieta	ro-may-oh ee hoo-lee-et-ah
Salvia Divinorum	**sal**-vee-uh dih-vih-**nor**-um
Sanorex	**san**-uh-recks
Schnapps	shnops
Scuppernong	**skupp**-er-nong
Secobarbital	**seh**-koh-**bar**-bi-tall
Seconal	**seh**-kuh-nall
Sedative	**seh**-duh-tiv
Serax	**seer**-racks
Soma	**so**-muh
Sopor	**so**-pore
Stadol	**stay**-doll
Stimulant	**stim**-yoo-lunt
Talacen	**tal**-uh-sin
Talwin	**tall**-win
Talwin NX	**tall**-win-n-x
Temazepam	te-**maz**-i-pam
Tenuate	**ten**-you-ate
Tijuana Smalls	tee-ya-**wan**-ah smalls
Toluene	**tall**-yoo-een
Tramadol	**tram**-uh-doll

Tranquilizer	**trang**-kwuh-lie-zer
Tranxene	**tran**-zeen
Tuinal	**two**-i-nall
Tylenol with Codeine	**tie**-luh-nall with **koh**-deen
Tylox	**tie**-locks
Ultram	**ul**-trum
Valium	**val**-ee-um
Vermouth	ver-**mooth**
Viceroy	vice-ah-roy
Vicodin	**vigh**-ka-din
Vistaril	**vis**-tah-rill
Whippits	**whip**-ets
Xanax	**zan**-acks
5-MeO-DIPT	**five-**mee-oh-d-i-p-t

Appendix F

iLearning Instructions

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iLearning Instructions

Throughout data collection, all field staff must participate in on-going training, including training conducted through iLearning. iLearning, or Independent Learning, is a multimedia application incorporating graphics, audio clips, and videos to increase your knowledge about protocols, procedures, and professional development. This Appendix summarizes the steps to begin and exit an iLearning training course. Technical details regarding the laptop and CAI Manager are covered in ***Chapters 4*** and ***5*** of the ***FI Computer Manual***.

Beginning an iLearning Course

To begin an iLearning course:

1. Plug laptop into power, and plug in the headphones.
2. Turn on the computer, enter the passwords provided at training and press [ENTER] to continue.
3. Once the CAI Manager screen appears, load the iLearning CD into the CD drive located on the right side of the laptop.
    - Press the CD eject button (a small rectangular button in the middle of the CD drive). Note: The laptop power must be on to open the CD drive.
    - Open the CD drive until it extends all the way out of the side of the laptop.
    - With the iLearning CD label facing up, carefully place the hole in the middle of the CD on the raised black circle in the middle of the drive and gently press down until the CD clicks into place.
    - Once the CD is secured, close the CD drive by pushing it back inside the laptop.
4. Next, click the "iLearning" button located at the bottom of the CAI Manager screen once using the Touchpad (see ***Exhibit F.1***) and wait for the program to open. The first time an iLearning CD is loaded you will see an "Optimization" message instructing you not to touch any key on the computer. When processing is completed, another message will instruct you to click "OK," then click on the "iLearning" button again.
5. Once the iLearning program opens, click once on the course title (shown in red text) you wish to complete from the menu displayed on the left hand side of the screen (see ***Exhibit F.2***). Information on commonly used iLearning course functions can be found in the chart on the next page.

After Viewing an iLearning Course

To exit an iLearning course:

1. Click the "Exit" button in the upper right hand corner of the iLearning screen**.** Note: For the iLearning course results to be transmitted to RTI, you must review all iLearning course slides, complete the assessment questions and exit each course as instructed on the End of Course slide.
2. When back at the CAI Manager Screen, remove the iLearning CD from the CD drive if you are finished with iLearning and store the CD in its case in a safe place at home, NOT in your laptop bag as damage to the CD can easily occur. If you wish to complete another course, continue with Step 4 above.
3. Exit the CAI Manager to turn off the laptop**.**

iLearning Course Functions

Other functions you may need to use during an iLearning course are detailed in the chart below.

Function	Instructions
Replay the audio	• Press [F10].
Move through the iLearning course	• Click the "Previous" and "Next" buttons located at the bottom of the iLearning screen to move forward or backward through the course slides.
View a specific slide	• Click the slide title displayed on the left hand side of the screen.
View a specific iLearning course	• Click once on the course name in red text located on the left hand side of the screen to begin.
View a video	• Play: Move your cursor over the black video box, and press the left touchpad button once. • Pause: While video is playing, click the video box once to pause. • Resume: When the video is paused, click the video box once to resume. • Stop: The video will stop playing on its own.
Exit out of an iLearning course	• To exit out of an iLearning course at any time, click the "Exit" button in the upper right hand corner of the screen. The course will be automatically saved when you exit. • This takes you to the CAI Manager screen where you can remove the iLearning CD and perform other tasks or exit and shut down the laptop.
Transmit iLearning course results to RTI	• For the results to be transmitted, you must review all iLearning course slides, complete the assessment questions and exit the course as instructed on the End of Course slide. • Once you have completed these steps, the results of the course will be saved and transmitted to RTI during your next transmission. • Refer to the text above the course listing on the left hand side of the screen for course completion and transmission information.

iLearning Course Troubleshooting

At times, you may experience some problems with the functioning of an iLearning course**.** If that happens, remain calm and refer to this Appendix to ensure you are following the iLearning instructions step-by-step. Listed below are some common problems and troubleshooting tips for iLearning.

Audio/Video Skips:

1. Be sure that you have the laptop plugged in. Running on battery power while completing the course negatively affects the audio and video quality.
2. Be sure you are using your headphones. The audio quality is better through the headphones than through the laptop speakers. Also, make sure the volume is turned up on both your laptop and headphones.
3. Listen to the audio in its entirety before viewing a video or proceeding to the next screen. Attempting to move quickly through the slides may cause the audio to skip and the video to not load properly.
4. If you experience audio problems on a particular slide, wait until the audio finishes playing, then simply press F10 to repeat the audio.
5. If you experience video problems on a particular slide, go back to the previous slide, then click Next to return to the slide with the video. Once the audio finishes, try playing the video again.

Cannot advance to a later slide in a course using the menu on the left-hand side of the screen:

1. Be sure you have viewed all previous iLearning slides. The iLearning program will not allow you to move ahead in the course without viewing each preceding slide. Click on "Last Viewed Slide" to go back to the last slide you have viewed and then click Next to continue through the course.

Viewing Assessment Results:

1. Obtain your assessment results from the Results slide, which follows the Assessment questions in each iLearning course. This slide tells you how many questions out of the total number of questions you answered correctly and your score for the course. **Do NOT call Technical Support to obtain your results**. If you have any questions regarding your assessment results, contact your FS.

Transmitting iLearning Course Results:

1. To ensure your iLearning results are transmitted to RTI, you must complete and exit the course as instructed on the End of Course slide. Your results will not be transmitted until you have fully completed each course [i.e. viewed each slide, answered all assessment questions and exited the course as instructed on the End of Course slide]. **Do NOT call Technical Support to check if your course was received**.

2. If you have any questions regarding the status of your iLearning course, refer to the text located above the course list in the menu on the left hand side of the screen. After selecting a course by clicking on the title once, you will see the status which will be one of the following:

- If the course has not been completed, “Course X not complete” will appear in red text.
- If the course has been completed but has not been transmitted, “Course X complete but not transmitted” will appear in black text.
- If the course has been completed and transmitted, “Course X complete & transmitted” will appear in green text.

Examples of the course completion and transmission text are located in ***Exhibit F.3***.

Exhibit F.1 CAI Manager

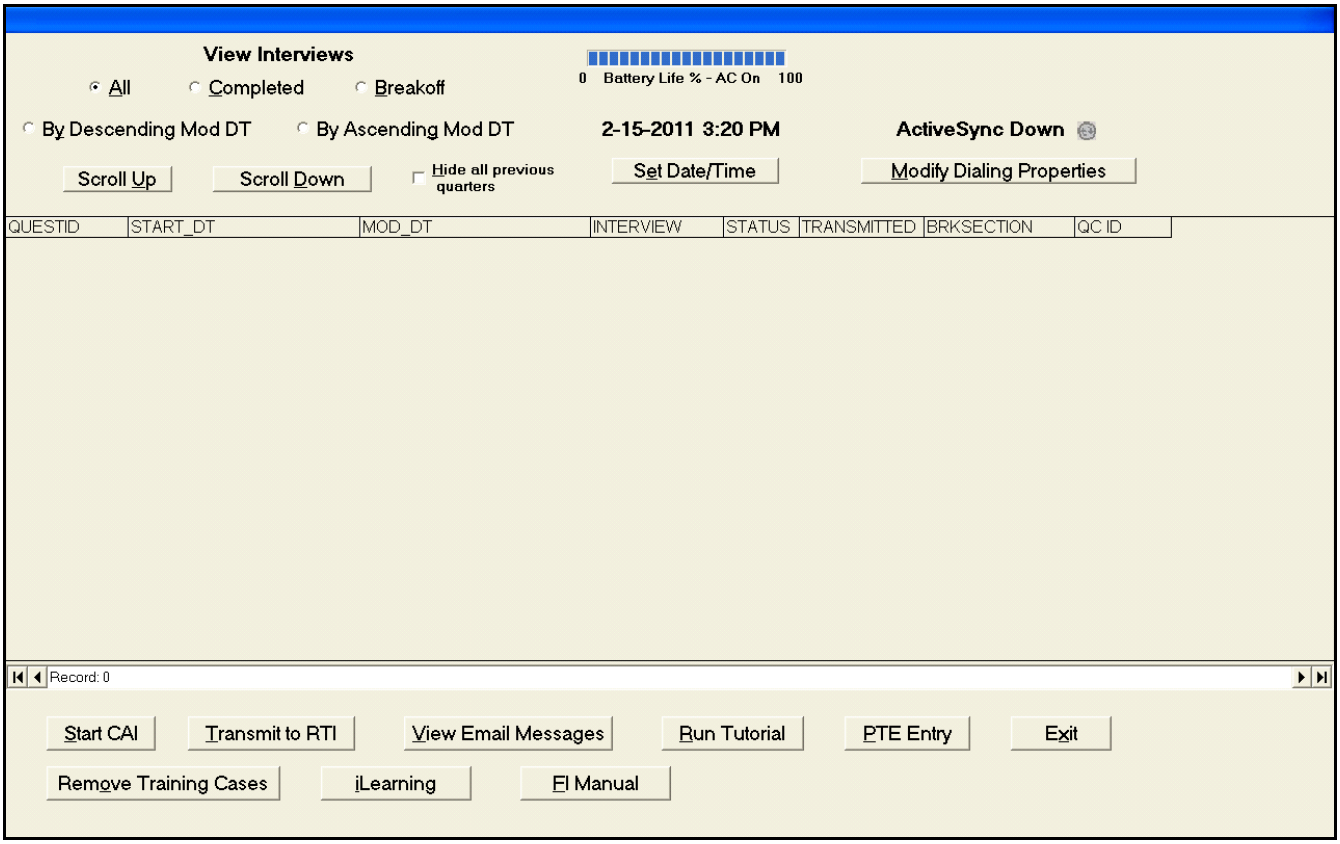
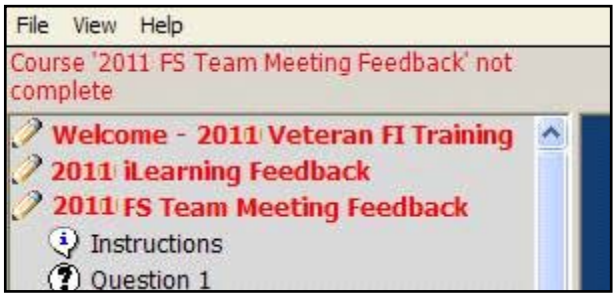
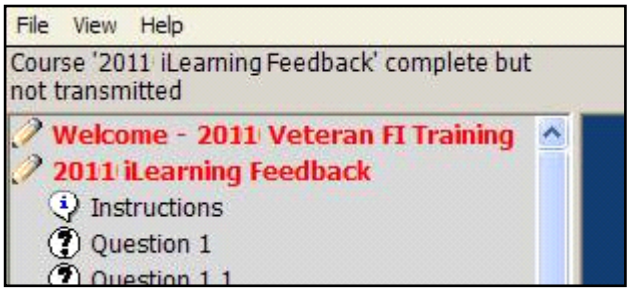
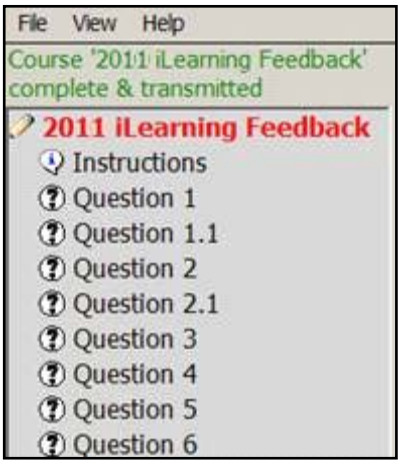


Exhibit F.2 iLearning Course Screen



Exhibit F.3 iLearning Course Status Information

Course Status	Example	Next Steps
Course not complete		Complete the course (answering all assessment questions and viewing the End of Course slide) and transmit to RTI
Course complete but not transmitted		Transmit to RTI
Course complete & transmitted		You were successful! The course has been completed and successfully transmitted to RTI

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Index Topics

NOTE: This index includes topics that are discussed in multiple places within the FI Manual and the FI Computer Manual. The Table of Contents and the List of Exhibits at the front of the manual are also excellent resources for finding details about various tasks.

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