2005 NATIONAL SURVEY ON DRUG USE AND HEALTH

Field Interviewer Manual

Contract No. 283-2004-00022

Project No. 9009

Prepared for:

Substance Abuse and Mental
Health Services Administration
Rockville, Maryland 20857

Prepared by:

Research Triangle Institute

December 2004

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Research Triangle Institute

MISSION

To improve the human condition through objective, innovative, multidisciplinary research, development and technical services, setting the standard for scientific and professional excellence.

VISION

To become the world's premier independent research institute, recognized as the best in all that we do.

VALUES

Integrity - We perform with the highest principles of individual and group integrity and honesty. We communicate openly, sensitively, and realistically with each other and with our clients.

Excellence - We conduct our research, administrative, and support activities with excellence as a fundamental goal, providing our customers with exceptional value and delivering on our promises.

Innovation - We encourage the independent thinking and entrepreneurship of our staff. We employ the team approach to foster a vision for the future and we utilize multidisciplinary collaboration to produce innovative approaches to meet the requirements of our clients.

Respect for the Individual - We treat one another fairly, with dignity and equity, and maintain a work environment that motivates each of us to develop to our full potential.

Fiscal Responsibility - We operate with the fiscal responsibility that assures cost competitiveness and continuing financial strength.

Respect for the Institute - We recognize that the strength of RTI is our collective commitment to its values, goals, and practices.

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

TABLE OF CONTENTS (Continued)

TABLE OF CONTENTS (Continued)

TABLE OF CONTENTS (Continued)

TABLE OF CONTENTS (Continued)

TABLE OF CONTENTS (Continued)

List of Exhibits

List of Exhibits (Continued)

List of Exhibits (Continued)

Appendices

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 2,500 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 eight regional offices within the United States and six 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 premier independent research institute, 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,   and Project 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 as of January 2005. 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!

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

Exhibit 1.1   Data Collection Management Structure

```
                    ┌─────────────────────────┐
                    │  National Field Director │
                    └─────────────────────────┘
                                 │
        ┌────────────────────────┼────────────────────────┐
┌─────────────────┐    ┌─────────────────┐    ┌─────────────────┐
│ Regional Director│    │ Regional Director│    │ Regional Director│
└─────────────────┘    └─────────────────┘    └─────────────────┘
        │                        │                        │
┌────────────────────┐ ┌────────────────────┐ ┌────────────────────┐
│Regional Supervisors│ │Regional Supervisors│ │Regional Supervisors│
└────────────────────┘ └────────────────────┘ └────────────────────┘
        │                        │                        │
┌─────────────────┐    ┌─────────────────┐    ┌─────────────────┐
│ Field Supervisors│    │ Field Supervisors│    │ Field Supervisors│
└─────────────────┘    └─────────────────┘    └─────────────────┘
        │                        │                        │
┌─────────────────┐    ┌─────────────────┐    ┌─────────────────┐
│ Field Interviewers│   │ Field Interviewers│   │ Field Interviewers│
└─────────────────┘    └─────────────────┘    └─────────────────┘
        └────────────────────────┼────────────────────────┘
                    ┌─────────────────────────┐
                    │       Respondents       │
                    └─────────────────────────┘
```
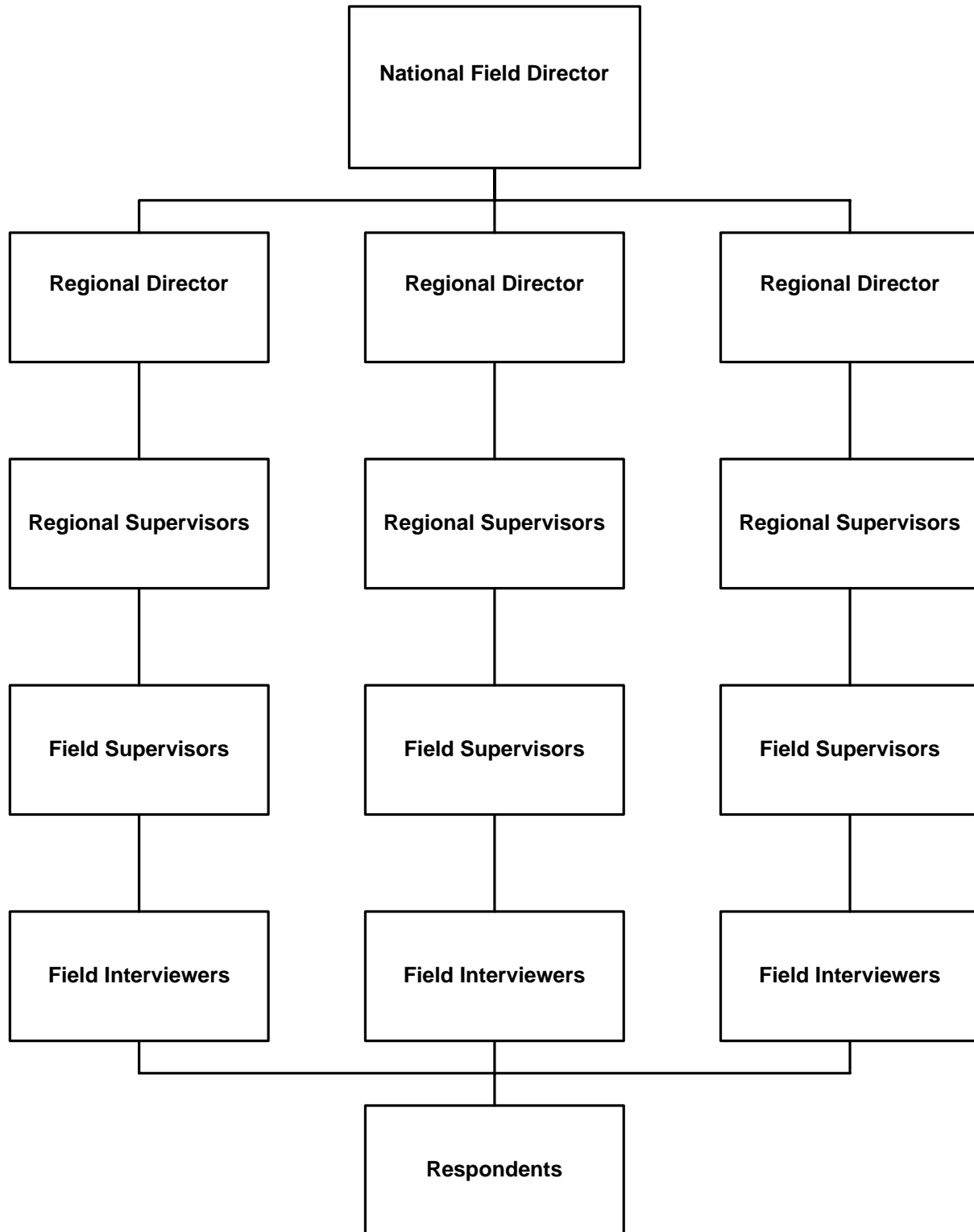
1.3   Study Background

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 United States Public Health Service, part of the 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 drug use

- to track trends in the use of alcohol, tobacco products, and various types of drugs

- to assess the consequences of drug use and abuse

- to identify groups at high risk for drug 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. With each iteration, 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 PAPI, the interviewer asked questions and recorded answers in a paper questionnaire, while the answers to more sensitive questions were recorded by the respondent on individual answer sheets. 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 <u>CRITICAL</u> 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 7	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 31

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							1	
	2	3	4	5	6	7	8	**Mail Lead Letters for QTR 1: 12/30, 31, 2004** **S/I Training: 1/5-1/9, 2005**
01	9	10	11	12	13	14	15	
02	16	17	18	19	20	21	22	
03	23	24	25	26	27	28	29	**QTR 1 Data Collection: 1/7-2/28, 2005**
Feb 04	30	31	1	2	3	4	5	
05	6	7	8	9	10	11	12	
06	13	14	15	16	17	18	19	
07	20	21	22	23	24	25	26	
Mar 08	27	28	1	2	3	4	5	
09	6	7	8	9	10	11	12	
10	13	14	15	16	17	18	19	**QTR 1 Clean-up Period: 3/1-3/31, 2005** **Week of March 27th:**
11	20	21	22	23	24	25	26	**Mail Lead Letters for QTR 2**
12	27	28	29	30	31			

Week	S	M	T	W	T	F	S	
Apr						1	2	
01	3	4	5	6	7	8	9	
02	10	11	12	13	14	15	16	
03	17	18	19	20	21	22	23	
04	24	25	26	27	28	29	30	**QTR 2 Data Collection: 4/1-5/31, 2005**
May 05	1	2	3	4	5	6	7	
06	8	9	10	11	12	13	14	
07	15	16	17	18	19	20	21	
08	22	23	24	25	26	27	28	
Jun 09	29	30	31	1	2	3	4	
10	5	6	7	8	9	10	11	**QTR 2 Clean-up Period: 6/1-6/30, 2005** **Week of June 26th:**
11	12	13	14	15	16	17	18	**Mail Lead Letters for QTR 3**
12	19	20	21	22	23	24	25	
13	26	27	28	29	30			

Exhibit 1.2   Quarterly Data Collection Schedule (continued)

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

QTR 3 Data Collection: 7/1-8/31, 2005

QTR 3 Clean-up Period: 9/1-9/30, 2005
Week of September 25th:
Mail Lead Letters for QTR 4

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

QTR 4 Data Collection: 10/1-11/30, 2005

QTR 4 Clean-up Period: 12/1-12/31, 2005

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 1.3***. 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 1.4***, 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. 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 all Regional Supervisors and other project management staff are listed in ***Exhibit 1.5***.

Exhibit 1.3   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
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)
OAS .... Office of Applied Studies (the SAMHSA office in charge of NSDUH)
PAPI .... Paper and Pencil Interviewing
PHS .... Public Health Service
PT&E .... Production, Time, and Expense Report
Q&A .... Question and Answer Brochure
QuestID .... Questionnaire ID
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
VerifID .... Verification ID

Exhibit 1.4   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 1.4   Definitions of Project Terminology (continued)

Group Quarters Structure – generally, any single structure in which ten or more <u>unrelated</u> 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 H5450 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.

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***.

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.

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.

Exhibit 1.4   Definitions of Project Terminology (continued)

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.

VerifID – 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.

Exhibit 1.5   Project Staff Information

REGIONAL SUPERVISORS				
Name	**Phone No.**	**Fax**	**E-Mail**	**Location**
				RTI/RTP
				Offsite
				Offsite
				Offsite
				Offsite
				Offsite
				RTI/RTP
				RTI/RTP
				RTI/RTP

RTI PROJECT MANAGEMENT				
				RTI/RTP
				RTI/RTP
				Offsite
				RTI/RTP
				Offsite
				Chicago
				RTI/RTP

HEADWAY				
				RTI/RTP

FIELD SERVICES UNIT				
				Regent 136

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, part of 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

   PHS

6. When is the iPAQ used?

2005 NSDUH
December 2004   1-16   Field Interviewer Manual
Chapter 1 – Introduction to the Study

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 supervisor.

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 SDU with a mailable address

3. locate (using the segment materials) and contact each sample dwelling unit

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 screening by presenting 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 the Showcards as instructed

- – obtaining verification information for quality control (QC) procedures

- – giving the respondent the cash payment

- – thanking the respondent.

11. transmit the data to RTI on a daily basis.

In order to be successful, it is important to plan adequate time for your field visits. This includes travel time to the area, spending at least four hours in the sample areas for screening and interviewing, and travel time home.

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 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, presenting 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 supervisor, 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

1. Review segment materials to locate area and plot the best and most direct travel route to and from the area.

2. Prepare and mail lead letters.

3. Locate (using the segment materials) and contact selected DU.

4. Determine that the SDU is a true HU or true GQU, and check for missed dwelling units.

5. Is anyone home?

   No ➤ Complete Record of Calls (ROC) in iPAQ. Try DU later.
   If unit is vacant, not a DU, or only a temporary residence, verify with neighbor or other knowledgeable person. Complete verification (QC) information and complete ROC.

   Yes ↓

6. Is an eligible SR (resident of DU, 18+) available?

   No ➤ Try to determine a good time to return. Complete ROC.
   Yes ↓

7. Complete the household roster and selection process with the SR.

8. Any respondents selected?

   No ➤ Obtain verification (QC) information and thank SR. Complete ROC.
   Yes ↓

9. Can the selected R complete interview <u>now</u>?

   No ➤ Establish an appointment. Complete ROC, including an entry about the interview appointment.
   Yes ↓

10. Introduce self, study, and obtain informed consent from respondent. (Obtain parent/guardian consent before approaching a selected youth.)

11. Conduct interview.

12. Complete end of the interview tasks, including Quality Control Form.

13. Give respondent cash payment.

14. Thank respondent, complete ROC.

15. Transmit data to RTI.

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. Field interviewers 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)

<u>FIELD INTERVIEWER JOB DESCRIPTION</u>
PROJECT 9009
National Survey on Drug Use and Health (NSDUH)

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

- In-person screening/interviewing of selected households with the sample distributed over the four calendar quarters (see schedule in Chapter 1).
- 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 6-7 days. Additionally, participate in on-the-job training with a mentor or FS, as needed.
- For FIs who are NSDUH veterans: Attend and successfully complete a veteran FI project training session scheduled to last 2-3 days.
- Bilingual Spanish-speaking interviewers will be required to review the translated instruments and other procedures unique to bilingual interviewing. For FIs who are new to the project, this bilingual training session will last approximately an additional day.

REQUIREMENTS FOR SCREENING/INTERVIEWING ACTIVITY:

- Available for approximately 15-25 hours per week to conduct screening/interviewing during field data collection periods.
- Available and willing to work evening and weekend hours as required by your specific assignments.
- Perform field work according to expectations defined in the general FI Job Description (Major Requirements), completing the required number of interviews in the designated FI Region(s) by the end of each quarterly field period.
- Available for quarterly 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 THE NSDUH, VISIT OUR WEBSITE AT:
http://nsduhweb.rti.org

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 <u>right of informed consent</u> 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 <u>right to refuse</u> 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 <u>right of privacy</u> 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 <u>right to accurate representation</u> 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.

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.

2.5 Importance of Confidentiality

Much of the data collected during the NSDUH interview are sensitive. You <u>must</u> 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 <u>any</u> and <u>all</u> 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 the 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. All answers are only used for research and analysis and cannot be used for any other purpose.

- The NSDUH is one of the few surveys where the 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 the project staff.

- 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.

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 <u>you will carry out all project procedures</u> 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 supervisor prior to making arrangements to attend training.

Exhibit 2.3   Data Collection Agreement

<table>
<tr>
<td rowspan="2">

HEADWAY
CORPORATE RESOURCES

*DATA COLLECTION
AGREEMENT*

</td>
<td>

Project Name: <u>**National Survey on Drug**</u>
                 <u>**Use and Health**</u>

</td>
</tr>
<tr>
<td>

Project No.:   <u>**9009**</u>

</td>
</tr>
</table>

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**;

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, 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;

4) agree to treat as **confidential and proprietary** to 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.   **8/04**

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 supervisor 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.

RTI has in place a program of Continuous Quality Improvement (CQI) for the field staff. In CQI, the aim is to continually support you and improve your work while keeping errors to a minimum. The objectives of this program are four-fold:

- to increase screening and interviewing response rates

- to reduce field costs while maximizing data quality

- to provide FIs with the tools and support they need to strengthen their interviewing skills and abilities

- to monetarily reward and recognize FIs who contribute to reaching gains in performance.

To achieve these project objectives, NSDUH created the FI Performance Incentive Program. Each group of FIs who report to the same FS have an opportunity to earn rewards based on performance, willingness to work to meet objectives and willingness to cooperate with others in the group. This program allows us to recognize and appropriately reward staff who demonstrate steady improvement and commitment to the project by helping us meet performance objectives.

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. If you require additional supplies, contact your supervisor. 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 – Meets deadlines set for production and for submission of administrative information consistently.

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 15-25 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 200,000 sample dwelling units (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 <u>unrelated</u> 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 United States' population.

For NSDUH, all of the 50 states and the District of Columbia have been divided into <u>State Sampling Regions</u>, 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 <u>segments</u> (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, FIs 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 <u>sample dwelling units</u> (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 FI 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 <u>must</u> 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 directions on what to do with the segment materials.

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.)

- Block Listing Map(s)
  (***Exhibit 3.5***)
  …used to locate the actual dwelling units in the segment which have been selected for screening and possibly interviewing. Depending on the size of the segment, this may be one or more pages. For segments with multiple pages, a Page Index Map shows how the multiple Block Listing Maps fit together. You may also have a Zoom map, which is an enlargement of a specific area on a Block Listing Map. 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 3.6***)
  …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 3.7***)
  …photocopy of original handwritten list of DU addresses and/or descriptions.

- Segment Information Sheet
  (***Exhibit 3.8***)
  …contains helpful comments about the segment made at the time of listing.

- Screening/Interviewing Pre-Check
  Form (***Exhibit 3.9***)
  …information, included if necessary, about possible segment issues discovered during the editing process.

- Group Quarters Listing Form
  (***Exhibit 3.10***)
  …photocopy of original list of up to 30 group quarters units.

- Group Quarters Continuation Listing
  Form (***Exhibit 3.11***)
  …continuation for a structure with more than 30 GQUs (if necessary).

- Within-Structure Floor Sketch Sheet
  (***Exhibit 3.12***)
  …sketch, included if necessary, showing layout that corresponds to the way the GQUs were listed.

Exhibit 3.2   County Locator Map

**National Survey on Drug
Use and Health (9009)**

SEGID: NY1234
State: NY
County: BRONX
Place: New York
Census Tract: 0295

LEGEND

Secondary Roads	
Expressways	
County Boundary	
★	Census Tract

COUNTY LOCATOR MAP

NY1234
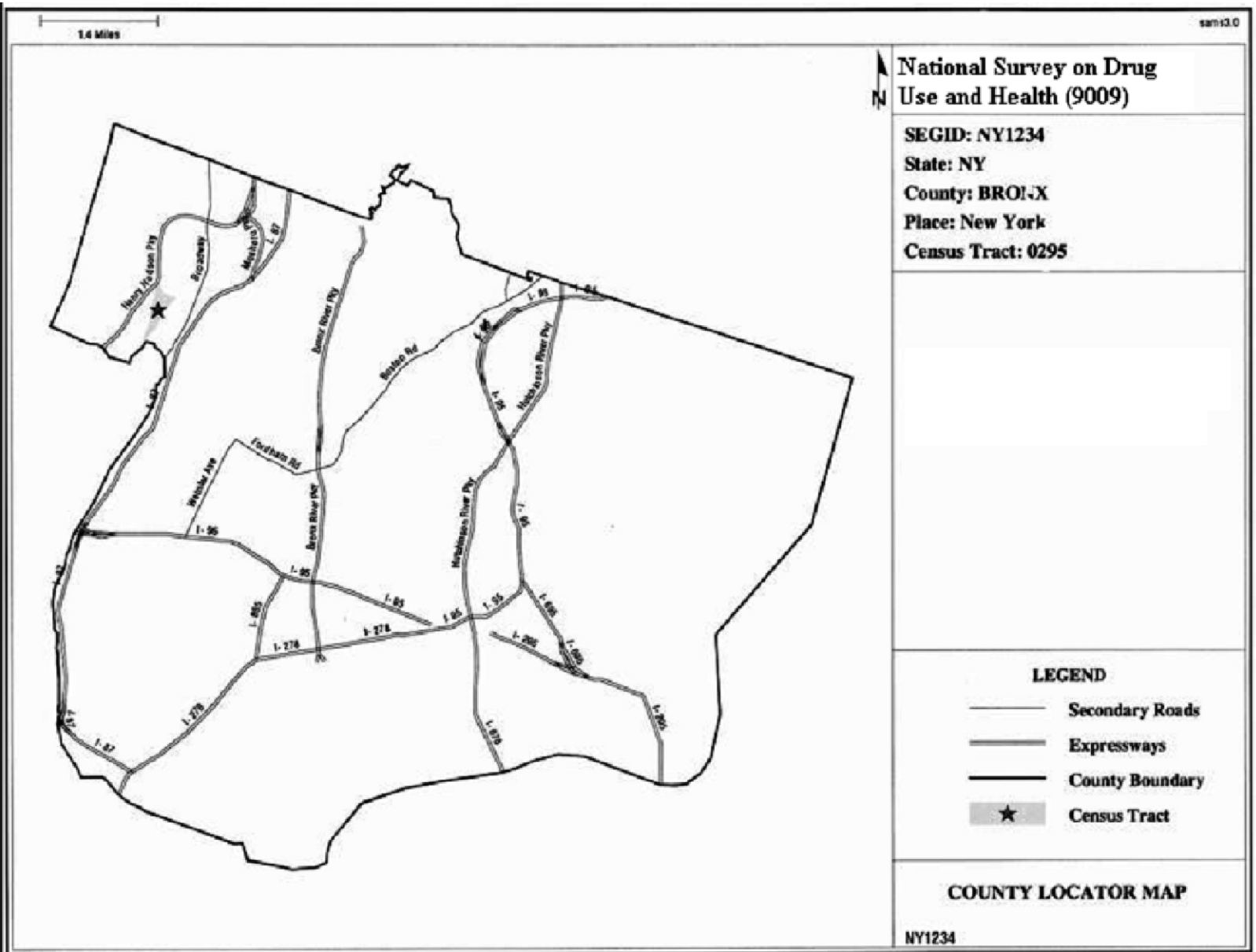
Exhibit 3.3   Census Tract Locator Map

National Survey on Drug
Use and Health (9009)

SEGID: NY1234
State: NY
County: BRONX
Place: New York
Census Tract: 0.295

LEGEND

———— All Roads

—— Tract Boundary

★ Segment Area

CENSUS TRACT LOCATOR MAP
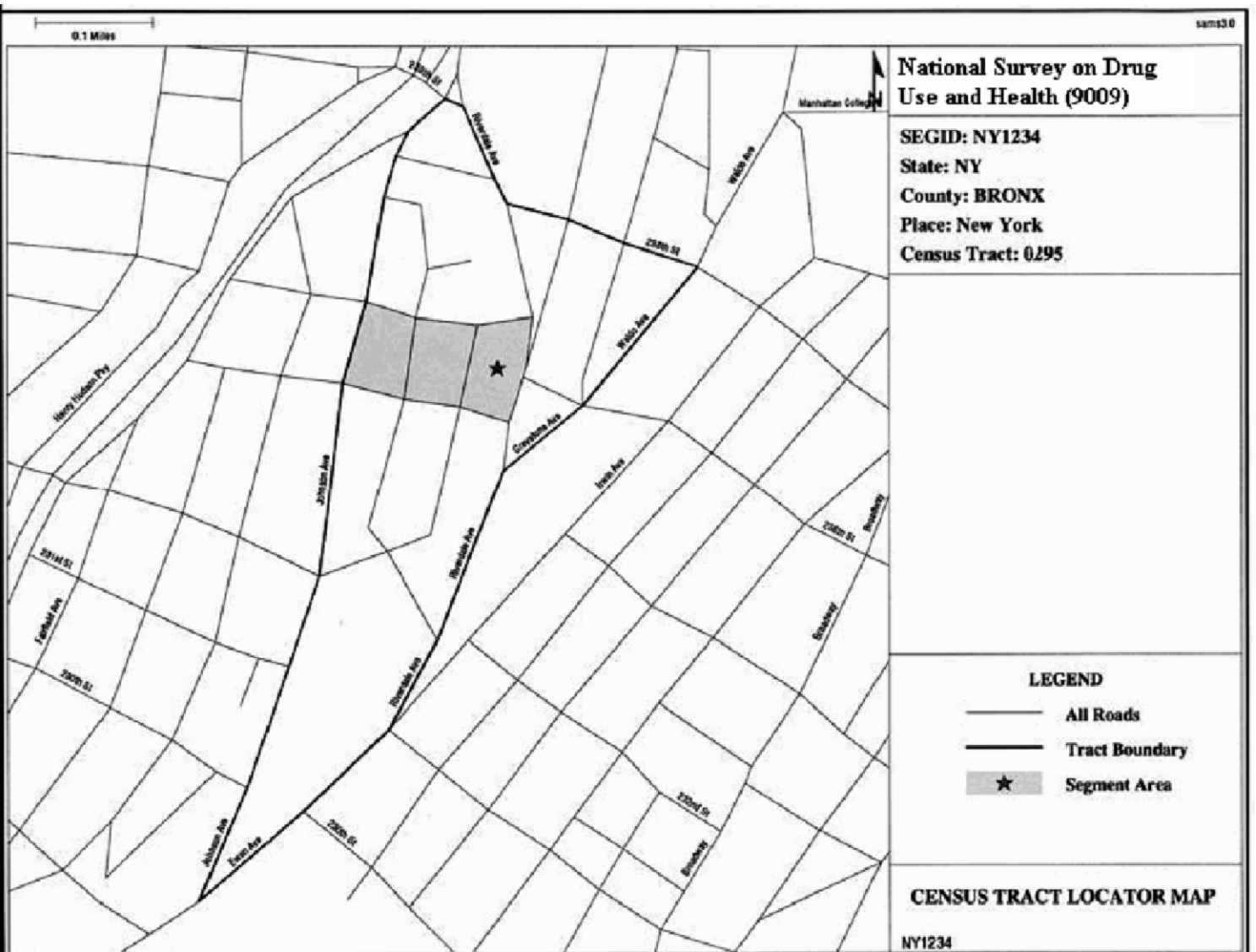
NY1234

Exhibit 3.4   Segment Locator Map
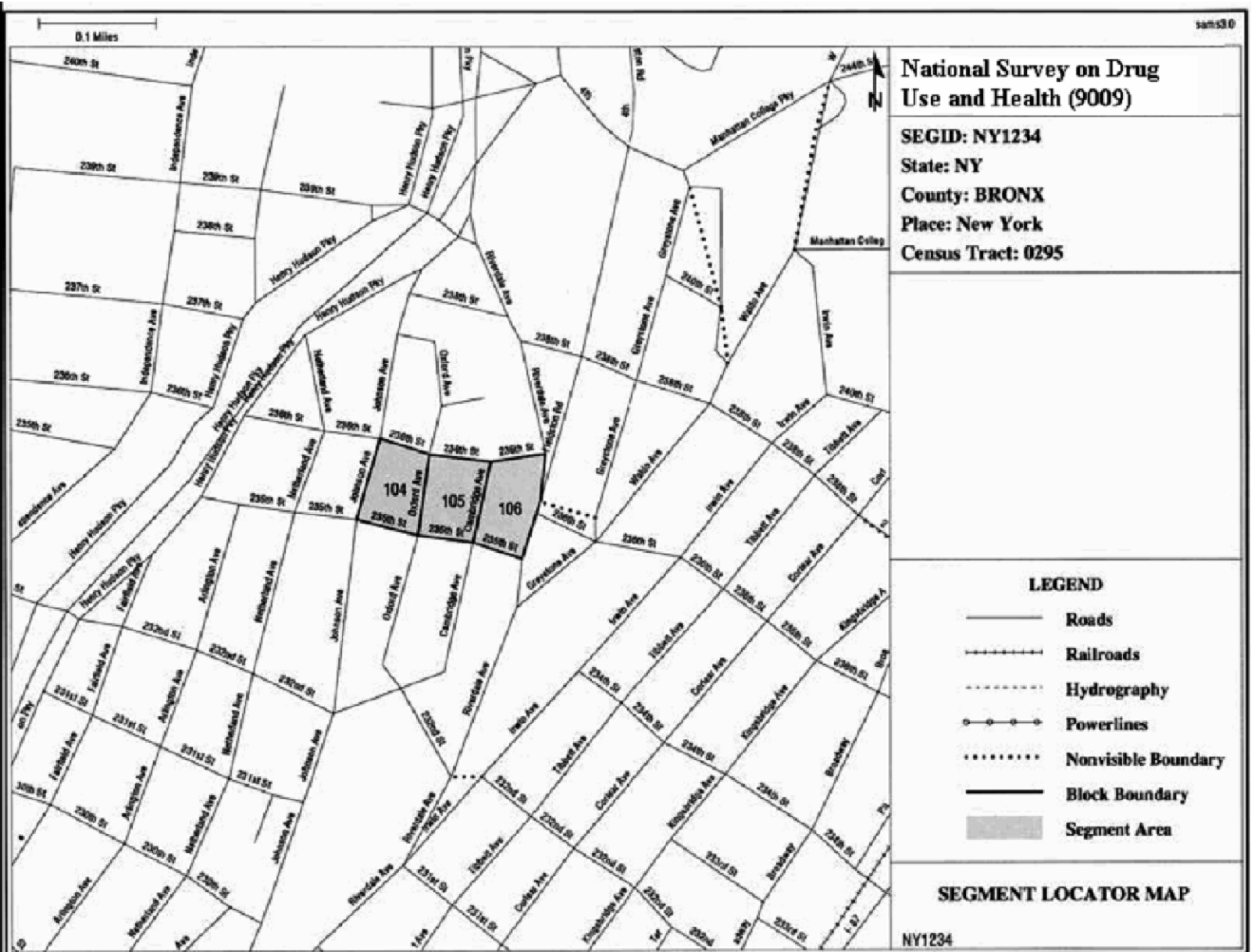
Exhibit 3.5   Block Listing Map
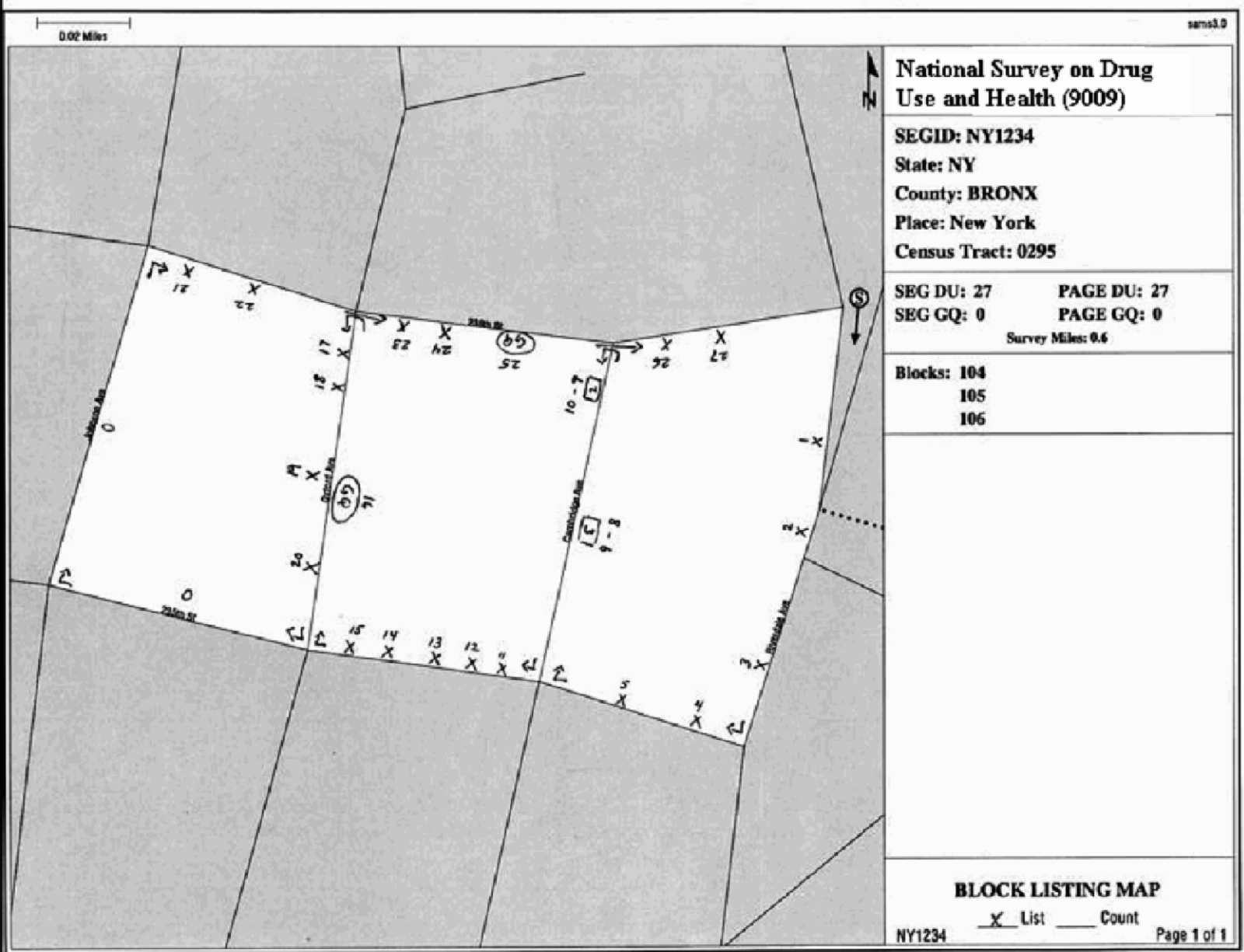
Exhibit 3.6   Selected DU List

2005 National Survey on Drug Use and Health
Selected Dwelling Units
Quarter 1

Date: 11/24/2004
Page 1 of 1

Segment ID: NY1234
Number of Selected HUs: 6
Number of Selected GQUs: 2
City: New York   State: NY   Zip: 12345

Map Page	DU Type	DU Indicator and Line#	Street#	Street Name/Description of DU	Apt#	GQ Structure#	Partition #
1	HU	0001		RIVERDALE AVE 1 STY WH FRM BRK			1
1	HU	0002		RIVERDALE AVE BRK SPL 2-CAR GA			
1	HU	0003		RIVERDALE AVE CDR SDG FULL FRO			2
1	HU	0004	913	235TH ST			
1	HU	0008	908	CAMBRIDGE AVE	C		1
1	HU	0009		CAMBRIDGE AVE STUCCO SPNTL RF	FRT		
1	HU	0012	943	235TH ST			1
1	HU	0013	947	235TH ST			
1	HU	0014	951	235TH ST			1
1	HU	0015	955	235TH ST			
2	Check empty map page(s) for missed DUs: page 2						
3	HU	0020	1111	OXFORD AVE			2
3	HU	0021	1030	236TH ST			
3	SHELTER	B003	910	236TH ST	3	025	1
3	SHELTER	B004	910	236TH ST	4	025	
3	SHELTER	B019	910	236TH ST	19	025	3
3	SHELTER	B020	910	236TH ST	20	025	

Note: Selected Lines are Shaded

Total Pages: 1

Exhibit 3.7   List of Dwelling Units

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

LIST OF DWELLING UNITS   PAGE __1__ of __2__

SEGMENT ID: __NY 1234__   LISTED BY: __Jane Doe__

DATE LISTED: __10__ / __2__ / __2004__   FI ID NO: __654321__

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				Riverdale Avenue		1 sty. wh. frm. brk. fen.	
2				↓		brk. spl. 2-car gar.	
3				↓		cdr. sdg. full front porch	
4			913	235th Street			
5			915	↓			
6			908	Cambridge Avenue	A		
7			↓		B		
8			↓		C		
9						Stucco spntl rf.	frt
10				↓		↓	Re
11			939	235th Street			
12			943				
13			947				
14			951				
15			955	↓			
16	GQ		1100	Oxford Avenue		State University-Dorm	
17			1117				
18			1115				
19			1113				
20			1111	↓			

City/Town __New York__   ST __NY__   ZIP __12345__   DU __1__ - __20__

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

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

Checked by: _____

Exhibit 3.7   List of Dwelling Units (continued)

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

LIST OF DWELLING UNITS   PAGE 2 of 2

SEGMENT ID: NY 1234   LISTED BY: Jane Doe

DATE LISTED: 10 / 2 / 2004   FI ID NO: 654321

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			1030	236th Street			
22			1020				
23			950				
24			930				
25	GQ		910			Salvation Army Shelter	
26			904				
27			902				
8							
9							
0							
1							
2							
3							
4							
5							
6							
7							
8							
9							
0							

City/Town New York   ST NY   ZIP 12345   DU 21 - 27

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

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

Checked by: _____

Exhibit 3.8   Segment Information Sheet

SEGMENT INFORMATION SHEET

Segment ID __NY 1234__   Completed By __Jane Doe__

Date __10/2/2004__   FI ID __654321__

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, 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: __West on Cross Bronx, north on Major Deegan, exit S. Henry Hudson Parkway__

2) Parking/Road Conditions: __public lot on west side of Cambridge__

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   Please specify: _____

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

7) Manager's/Helpful Person's Name: __n/a__

   Address: _____

   Telephone: _____

8) Convenient Public Building: __McDonalds across from dorm on Oxford__

9) Significant Intersection or Landmark in Segment (If Applicable): __n/a__

SECTION B -- NOTES FROM LISTER TO FIELD INTERVIEWER

-pleasant, quiet area
-group quarters are: ① Salvation Army Shelter
                     ② dormitory for State University

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

☐ YES - NOTES ADDED (PLEASE ADD NOTES ON BACK)   ☒ NO - NO NOTES ADDED

Exhibit 3.9   Screening and Interviewing Pre-Check

Segment ID __NY1234__   Date __10/21/2004__   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 3.10 Group Quarters Listing Form

(FOR OFFICE USE ONLY __B__)

GROUP QUARTERS LISTING FORM	Segment ID: NY 1234	Page __1__ of __1__
GQ LINE NO. __25__	Completed by: Jane Doe	FI ID 654321
(from List of Dwelling Units)	Date: 10 / 2 / 2004	

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 Shelter

2. Address (Number and Street):

   910 236th Street

3. City, State, and ZIP:

   New York, NY 12345

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: (212) 555-1111

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

5. Enter the number of listing units in the GQ: __25__
   ☒ 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 3.11   Group Quarters Continuation Listing Form

(FOR OFFICE USE ONLY _____)

GROUP QUARTERS CONTINUATION LISTING FORM	Segment ID: _____ Page _____ of _____
GQ LINE NO. _____	Completed by: _____ FI ID _____
(from List of Dwelling Units)	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 3.12   Within-Structure Floor Sketch Sheet

Page ___1___ of ___1___

<u>WITHIN-STRUCTURE FLOOR SKETCH SHEET</u>

DU line No. _____25_____
    (From List of Dwelling Units)

Floor ___1 (One Story)___

Segment ID __NY1234__

Listed by __Jane Doe__

FI ID No. __654321__

Date Listed __10 / 2 /2004__
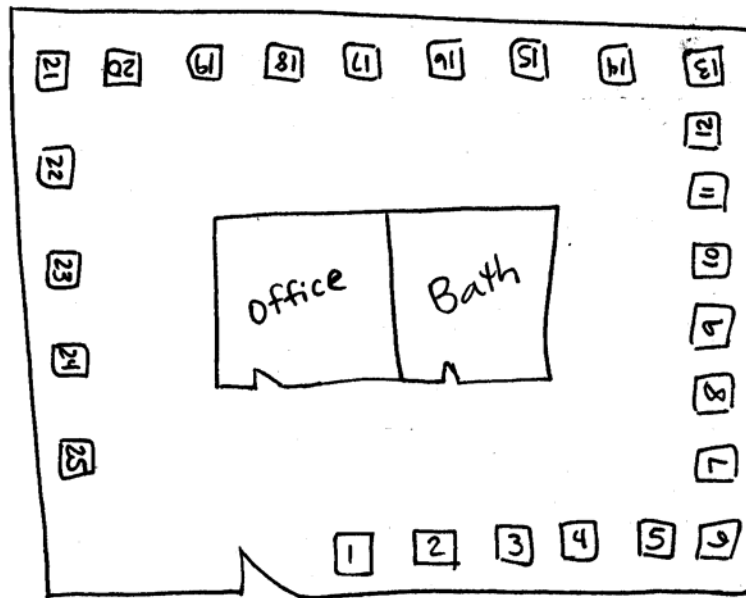
3.2.1 Locator Maps

The Locator Maps provide you with a general idea of the location of the segment by showing the surrounding geographic area. 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 returned 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 3.5*, 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 3.7*); a circled "GQ" with the number "25" above it represents the location of the group quarters structure listed as line 25.

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 3.6***) in the grey shaded lines. Note that also listed on this form is the address or description of each DU immediately <u>following</u> the selected DU (the need for this will be explained later in this chapter).

The Selected DU List provides a <u>complete</u> 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 3.7***) for a complete description. A list of abbreviations that might have been used in this description is shown in ***Exhibit 3.13***.

Exhibit 3.13   Common Counting/Listing Abbreviations

COLORS		DIRECTION/ORIENTATION		ARCHITECTURE/BUILDING STYLE	
BG	Beige	ABV	Above		
BK	Black	ACR	Across	APT	Apartment
BL	Blue	ADJ	Adjacent	CPCD	Cape Cod
BR	Brown	BCK	Back	CLNL	Colonial
DK	Dark	BEH	Behind	CONDO	Condominium
GR	Gray	BTWN	Between	CNTP	Contemporary
GN	Green	BTM	Bottom	DBLWID	Doublewide
LT	Light	E	East	DPX	Duplex
MED	Medium	FRT	Front	RCH	Ranch
OR	Orange	L	Left	RF	Roof
PK	Pink	N	North	SPL	Split Level
RD	Red	NE	Northeast	TRAD	Traditional
TN	Tan	NW	Northwest	TRLR	Trailer
WH	White	RE	Rear	TRANS	Transitional
YL	Yellow	R	Right		
		S	South		
		SE	Southeast		
		SW	Southwest		
		W	West		

ADDRESSES		STRUCTURE/MATERIALS		TYPES OF ROOFS:	
ADD	Address	ALUM	Aluminum	FLT	Flat
ALY	Alley	BRK	Brick	GBL	Gable
APT	Apartment	BRNSTN	Brownstone	GMBR	Gambrel
AVE	Avenue	CDR	Cedar	HIP	Hip
BLK	Block	CBLK	Cement Block	MNSD	Mansard
BLVD	Boulevard	CEM	Cement	SHGL	Shingle
BLDG	Building	LOG	Log	SPNTL	Spanish Tile
CIR	Circle	RCK	Rock	TIN	Tin
CT	Court	SDG	Siding		
DRWR	Drawer	STN	Stone		
DR	Drive	STU	Stucco		
HWY	Highway	VNY	Vinyl		
JCT	Junction				
LN	Lane				
PKWY	Parkway				
PL	Place				
PT	Point				
PO	Post Office (Box)				
RD	Road				
RTE	Route				
ST	Street				
TER	Terrace				
WAY	Way				

Exhibit 3.13   Common Counting/Listing Abbreviations (continued)

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

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 Field Supervisor immediately.

3.3.1   Housing Units

Once you are in the exact segment location, you will begin identifying and contacting only designated Sample Dwelling Units (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 3.5* and *3.6*:

- HU #1 -- One story white frame house on Riverdale Avenue. When you arrive at the segment and locate the corner of Riverdale Avenue and 236th Street, you do not see a white frame house. There is, however, a yellow frame house facing Riverdale Avenue a short distance from the corner, as indicated on the Block Listing Map. Checking around the corner of 236th Street, you find a house in the position indicated for HU #27 on the map. The next house south of the yellow frame house on Riverdale Avenue is a brick split-level house with a two-car garage, the description listed for HU # 2, in the location indicated for HU #2 on the Block Listing Map. Upon talking to a neighbor, you find that the house located between HU #27 and HU #2 was recently painted and had been white. The yellow frame house is HU #1.

- HU #12 -- 943 235th Street. 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 preceding on the east is 939, and the number 947 is seen on the next house to the west. You are sure that the street is 235th Street. 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 3.6* (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 3.12*) 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 3.14*. Please refer to this more detailed definition before continuing to read.

Exhibit 3.14   Definition of a Housing Unit

A <u>housing unit</u> 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

<div align="center">AND</div>

    (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 <u>not</u> have direct access if the only entrance is through a hall or room of another unit.

<u>Occupancy</u>: 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 <u>not</u> 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 <u>voluntary</u> or <u>involuntary</u> 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. <u>Services do not include nursing care, medical care, or psychiatric care by staff members</u>; if these services are included, it must be considered an institution, thus making it <u>ineligible.</u>

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 <u>not</u> qualify as DUs for NSDUH. If you encounter such units included as SDUs in your assignment, classify them with the appropriate code during screening.

- **<u>Specified Institutional Units</u>**:
    - 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.
- **<u>Military Barracks</u>** on a military base.
- **<u>Unoccupied Structures</u>** that have been condemned or are being demolished.
- **<u>Places of Business</u>**, such as stores, factories, etc. (Be sure, however, to look for hard-to-find living quarters behind, above, or inside such places.)
- **<u>Certain Transient Living Units</u>**, such as transient hotels and motels for overnight lodging (such as Holiday Inns, Red Roof Inns, etc).

Exhibit 3.15 provides a chart identifying categories of dwelling units and their respective eligibility for the NSDUH.

Exhibit 3.15   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)			
•	Noninstitutional	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:

| Missed DUs | 🔊 11:05 |

Line 015 300 Gordon Street

FOR REGULAR HUs SUCH AS INDIVIDUAL HOUSES, TOWNHOUSES, DUPLEXES, TRAILERS, COTTAGES

Are there any other living quarters within this structure or on this property, such as a separate apartment with a separate entrance?

[Yes]   [No]

FOR APARTMENT/CONDO HUs: DON'T ASK, JUST TAP "APT/CONDO" (BELOW) TO CONTINUE.

[APT/CONDO]

? ◀ Span Exit   ⌨ ▲

- 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 <u>check the geographic interval</u> between the SDU and the next listed dwelling unit to determine if there are any unlisted DUs. 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 3.16*), traveling around the segment in a <u>clockwise</u> 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.

Exhibit 3.16   Diagrams Illustrating the Prescribed Order of Listing a Segment
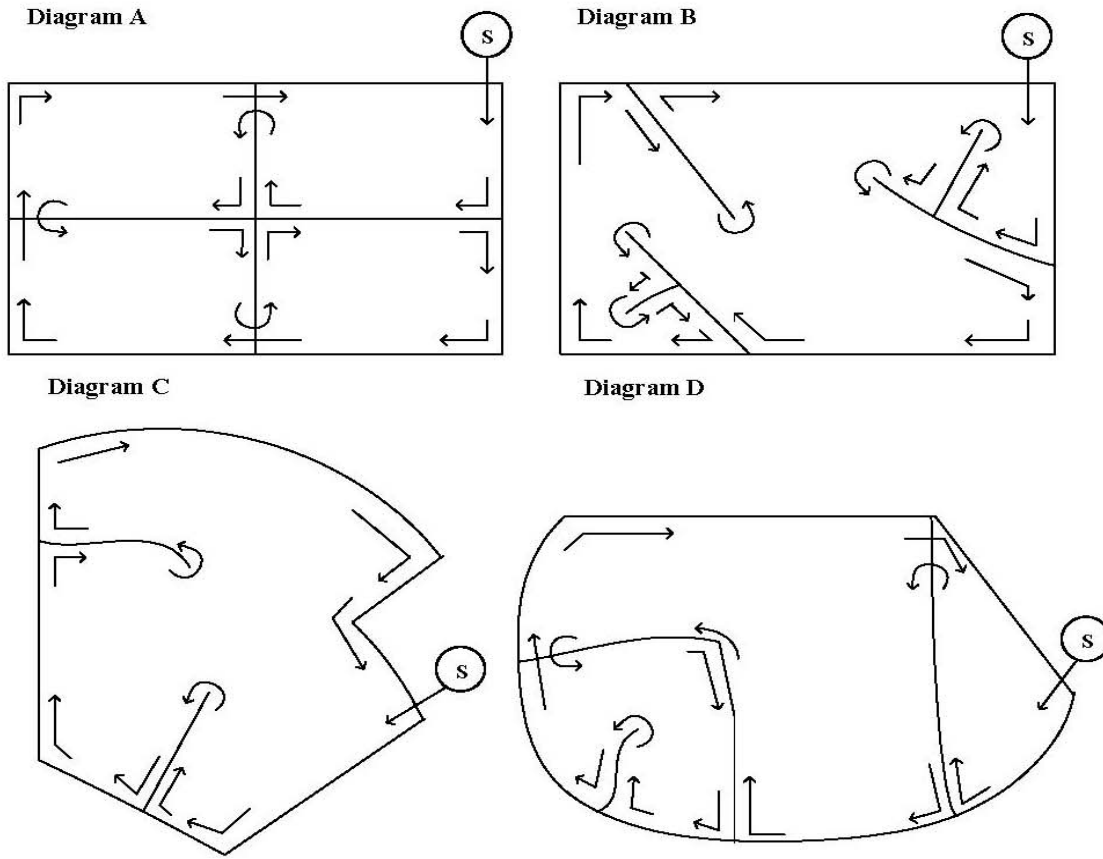
Note: (s) represents the starting point

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.

- **<u>WITHIN the UNIT</u>**

  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 <u>at a selected DU</u>, you can add that unit to your iPAQ (see *Section 3.6*).

- **<u>WITHIN THE STRUCTURE /ON THE PROPERTY</u>**

  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 resampled.

- **<u>GEOGRAPHIC INTERVAL</u>**

  Remember to also check the geographic interval between the structure and the next listed structure to look for missed units. Be observant.

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, the checks for missed DUs occur at the structure level, not the selected DU level. For all group quarters structures <u>where a GQU has been selected,</u> 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 <u>Not</u> Have Been Listed

While we want you to add any missed or new DUs you find, <u>do not make any deletions from the list of DUs</u>. 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 <u>are</u> 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.')
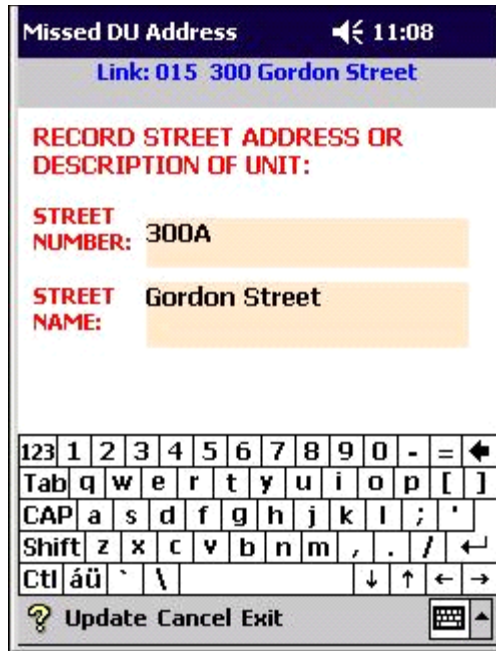
Enter the street address or description of the missed unit. Enter the house number in the Street Number field, then tap on the Street Name field and enter the street name. If a specific address is not available, enter a description of the unit in the Street Number field, then record the name of the street 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, record the information about these missed units on the List of Added Dwelling Units (*Exhibit 3.17*). 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 3.17   List of Added Dwelling Units

NSDUH - Project 9009   Page 1 of _____

Survey Year _____

LIST OF ADDED DWELLING UNITS

		FI ID		
SEGID_____	FI_____	No._____	Date_____	

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 <u>all</u> 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**

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.
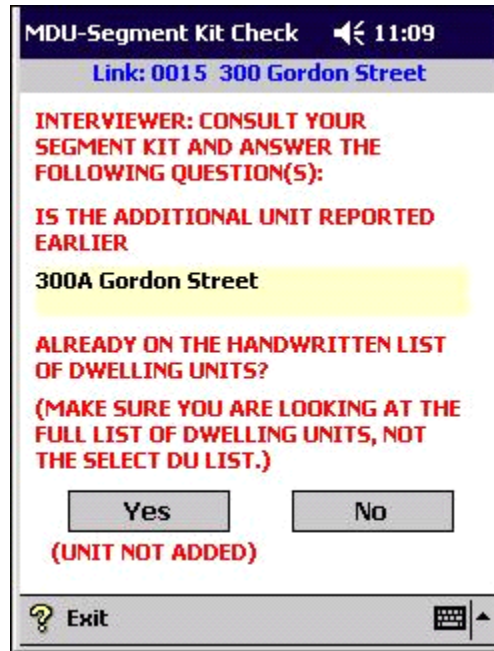
The instructions on this screen remind you to double check the original, handwritten List of Dwelling Units (***Exhibit 3.7***) to see if the unit has already been listed. When asking respondents about additional units on their property, they may report a unit that was indeed already listed. If the unit 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**.
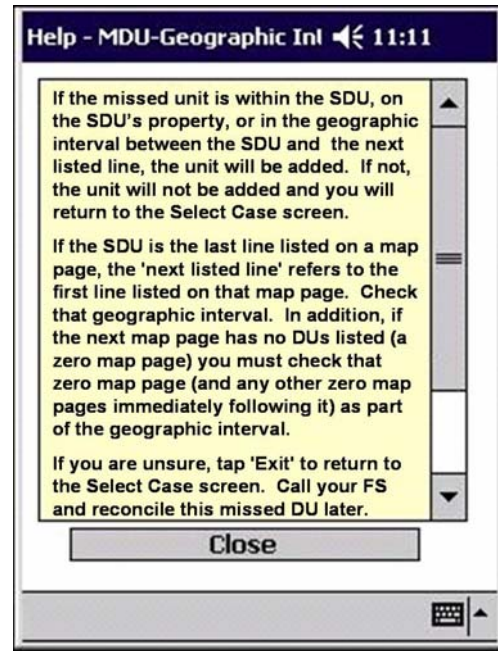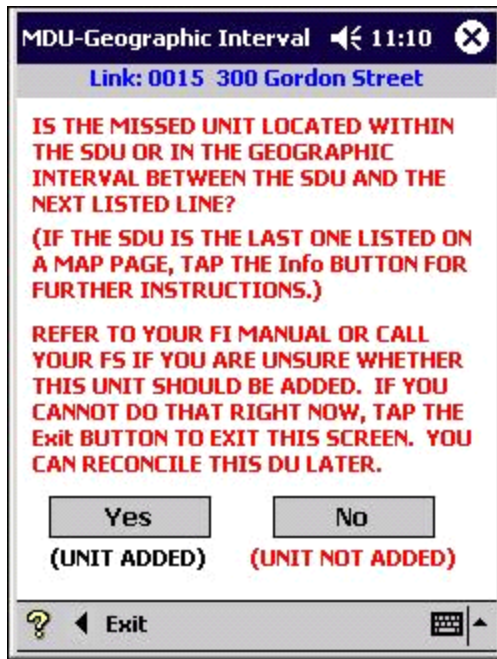
Missed units not on the List of Dwelling Units must satisfy location requirements before being added. This screen prompts you to consider the location of the missed unit.

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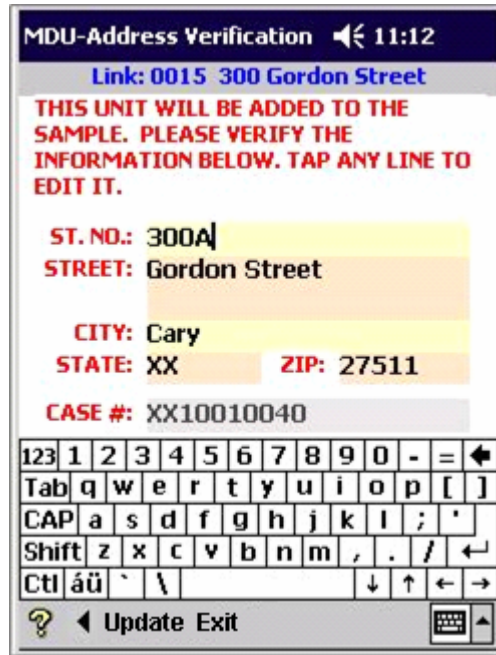
The complete address of the unit to be added is displayed on this screen for you to double check.

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 3.17***). 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.

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 3.18 illustrates how the Block Listing Map would look if an unlisted HU were discovered in the interval between HU # 3 and HU # 4 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 3.18 Block Listing Map (with Added DU)
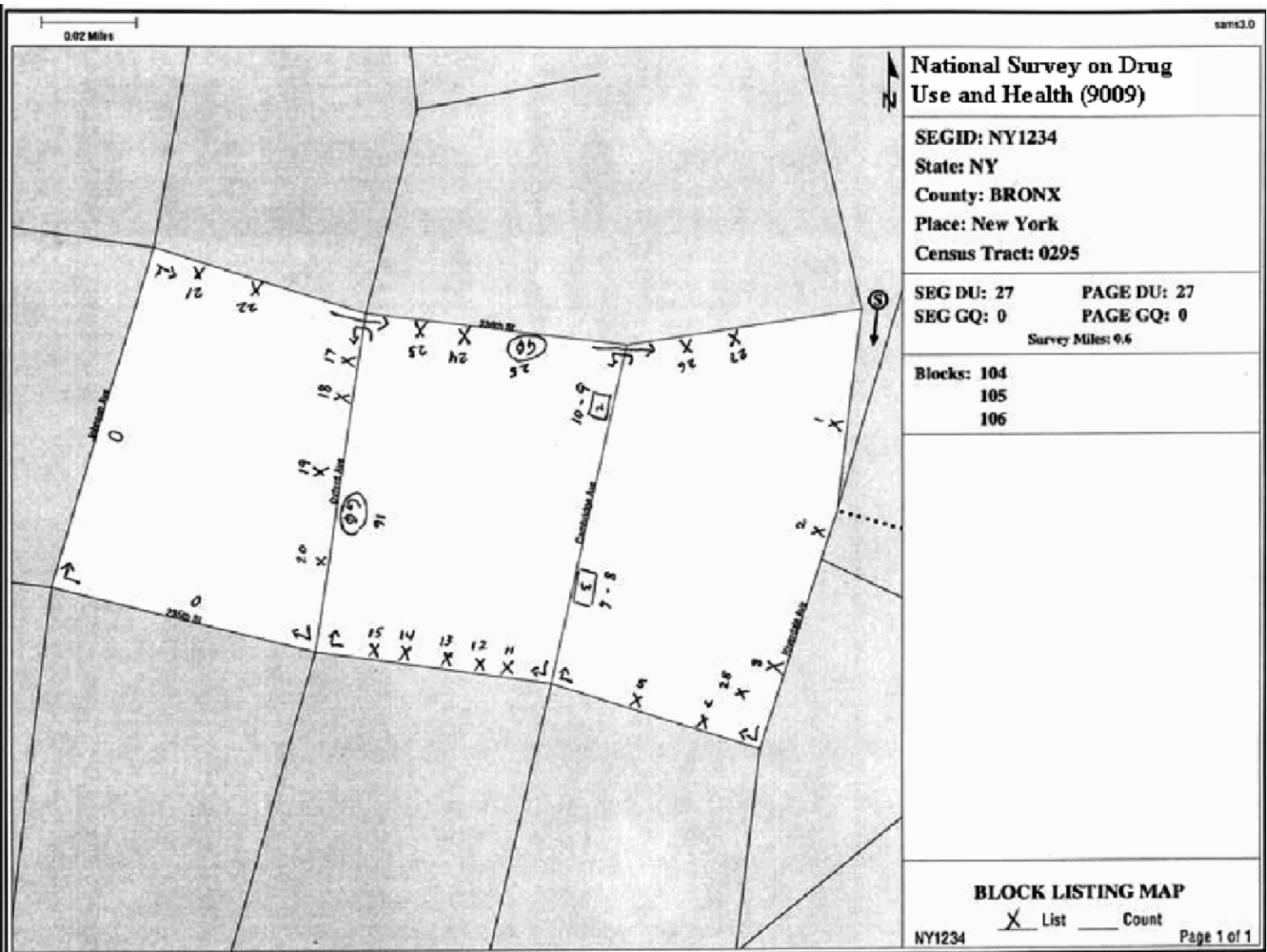
3.6.4 Adding Missed Units within a Group Quarters Structure

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 3.19***)
- 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 3.19   Added Group Quarters Listing Form

ADDED GROUP QUARTERS LISTING FORM	Segment ID: _____ Page _____ of ____
GQ LINE NO. _____	Listed by: _____ FI ID No. _____
(from List of Dwelling Units)	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

1. Name of Group Quarters:

2. Address (Number and Street):

3. City, State, and ZIP:

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: _____
   - Title: _____
   - Telephone: _____

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.

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 3-13*.)

    b. How many selected DUs are on Cambridge Avenue?

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

    d. What does the description for the selected DU on line 3 mean? (Refer to Selected DU List on *page 3-8*.)

4. CONTACTING DWELLING UNIT RESIDENTS

4.1   Introduction

Being well prepared before making initial contact with the residents of a dwelling unit 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 <u>before</u> contacting the first dwelling unit.

4.2   Scheduling Fieldwork

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

- Spend a <u>minimum</u> of four hours working in the sample neighborhood on each trip (travel time to and from the segment should <u>NOT</u> be included as part of the four hours).

- 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 <u>minimum</u> of <u>four</u> 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 on your iPAQ.** There are also ample note spaces within the iPAQ program. However, if you wish, you may make notes to yourself on the segment materials.

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 spaces are listed as the Segment ID on the top left of the form. The last four spaces of the Case ID are listed under the "DU Indicator and Line #" column. For example, refer to the Selected DU List shown in *Exhibit 3.6*. The first selected HU listed is in segment NY1234 and is line number 001. The Case ID for this HU is NY12340001.

The actual street address, or a physical description of the HU or GQU and its general location, also appear 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*.

4.3.2 Controlled Access Situations

There may also be assigned DUs in an apartment building, group of buildings, or entire community which you can locate but cannot readily access. This may be for many reasons, such as:

- a guard, doorman, or front gate personnel

- security-coded door bells

- access codes needed to open doors or gates

- 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, you will record summary information about the access situation for each SDU. 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:

- <u>Always</u> 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 doorkeeper that you are <u>not</u> 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.

- <u>Be persistent</u>. 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 4.1* contains the well-worded script for this video.

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 4.2*). **Prepared with the details, call your FS to discuss a plan of action**. As mentioned, a letter may help. 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.

Exhibit 4.1   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 4.1   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 4.2   FI Segment Access Documentation Form

NSDUH
FI SEGMENT ACCESS DOCUMENTATION FORM

Segment ID#_____   County_____   Quarter_____

Date _____C/L_____S/I_____

FI Name_____   FI Gender: M   F

FS Name_____   FS Gender: M   F

RS Name_____   RD Name_____

Exact No. of Unactivated SDUs in CA Situation_____

Exact No. of Pending Screenings in CA Situation (please only include SDUs that have been activated)_____

Exact No. of Pending Interviews in CA Situation_____

DU Type

_____Single Family DU   _____Apartment Complex/Community/Development

_____College   _____Military Base

Type of Situation *(check all that apply)*

_____Front Desk Attendant   _____Locked Building

_____Apartment Building (garden style)   _____Locked Gate

_____Apartment Building (high rise)   _____Security System

_____Gated Community   _____Building Without Attendant

_____Retirement Community   _____Intercom

_____Assisted Living Center   _____On-site Manager

_____Job Corps Facility   _____Off-site Manager

_____Halfway House   _____Bad Road

_____Drug Treatment Facility   _____Guard Dogs

_____Home for mentally/physically challenged

_____College/University

_____Military Base

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)*: _____

_____

_____

_____

_____

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

_____

_____

(OVER)

Exhibit 4.2   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

Name of Contact Person_____ _____   Gender: M   F

Title of Contact Person_____   _____   ___   Ph.D.:   Y   N

Full Name of College/University_____

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):   Army   Navy   Air Force   Marines

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)*_____

8/04

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 below, 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 supervisor. 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 supervisor 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 <u>critical</u> 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.
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.). 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. • 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.

Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
04	**PHYSICALLY/ MENTALLY INCOMPETENT**	No one at the unit is physically or mentally able to respond meaningfully to the screening questions.	• Attempt to locate a competent adult DU resident. • If the limitations seem temporary, return to the unit 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 check with your FS. • Record the visit and any pertinent information in the ROC.
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 at training. *Note that you cannot use a translator for the interview, only for screening.* • If none of these works, talk with your FS. • Record the visit and any pertinent information in the iPAQ's ROC.
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 screening respondent 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. *Remember you cannot use a translator for the interview, only for screening.* • Record the visit and any pertinent information in your iPAQ's ROC, specifying the language in the Comments section.

Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
07	**REFUSAL TO SCREENING QUESTIONS**	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	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
			• 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. 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 (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. The iPAQ prompts you to obtain verification information. Note: If residents are not 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. 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. 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	**DU CONTAINS ONLY MILITARY PERSONNEL**	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.
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 THE QUARTER**	This code is automatically assigned by the iPAQ 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. 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: • DU's 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 so are ineligible. Assign this code **once your FS has approved**. Document the situation in the ROC comments sections.

Screening Not Obtained		
Result Code	Result Code Description	Use This Code in This Situation
11	**NO ONE AT DU AFTER REPEATED VISITS**	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 AFTER REPEATED VISITS**	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	**PHYSICALLY / MENTALLY INCOMPETENT**	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**.
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 TO BUILDING / COMPLEX**	If after many attempts you are UNEQUIVOCALLY denied access, use this code **once your FS has given approval**.
23	**OTHER**	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:

- <u>Informative</u> – record appointment times, best times to return, who you talked to, or if no adult was home, record which cars were in the driveway.

- <u>Helpful</u> – note relevant information for you to use in preparing to return or when discussing the case with your supervisor. If a case gets transferred to another FI, the notes are <u>very important</u> to the new FI to understand what has happened.

- <u>Concise</u> – 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 4.3* 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 non-judgmental.

Exhibit 4.3   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 4.4***. 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. 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.

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. 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 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 4.4   Lead Letter

DEPARTMENT OF HEALTH & HUMAN SERVICES

U.S. Public Health Service
Office of Applied Studies
Rockville, MD 20857

_____, 2005

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 research purposes. This is guaranteed 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,

Assistant Project Officer, USPHS

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. You should 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 language that is 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 <u>ever</u> allowed without <u>prior</u> 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.

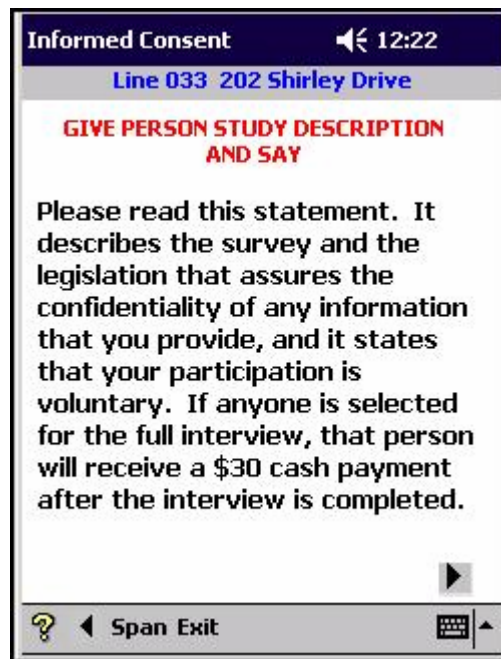If an eligible screening respondent is not available, consider leaving a "Sorry I Missed You" card indicating that you will return. Before you start working, discuss with your FS the practice of leaving these cards in the area where you will be working. **DO NOT** leave your telephone number on this 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.

Address Verification ◀€ 12:21
Line 033 202 Shirley Drive

I just need to verify -- is this

STREET: 202 Shirley Drive

CITY: Cary

STATE: XX

ZIP: 27511

Address Is Correct - Continue

Need To Edit Address

FI At Wrong Address

? ◀ Span Exit ▣▲

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 below. Consider memorizing this important script in order to present this important information accurately while maintaining eye contact with the respondent.

Informed Consent ◀€ 12:22
Line 033 202 Shirley Drive

GIVE PERSON STUDY DESCRIPTION AND SAY

Please read this statement. It describes the survey and the legislation that assures the confidentiality of any information that you provide, and it states that your participation is voluntary. If anyone is selected for the full interview, that person will receive a $30 cash payment after the interview is completed.

▶

? ◀ Span Exit ▣▲

The Study Description, as shown in **_Exhibit 4.5_**, 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 as instructed, you give the respondent the information to make an informed decision about participation. 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.

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 4.5   Study Description

Public Health Service
Office of Applied Studies

Study Description

Your address is one of several in this area randomly chosen for the 2005 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, and to use your answers only for research purposes (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
                , the representative for 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.

Office of Applied Studies
Substance Abuse and Mental Health Services Administration (SAMHSA)
U.S. Public Health Service
Department of Health and Human Services

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.

<u>SUMMARY</u>

- 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. 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?