
National Health
and Nutrition
Examination Survey

INTERVIEWER
PROCEDURES
MANUAL



March 2001

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TABLE OF CONTENTS

PART I

<u>Chapter</u>		<u>Page</u>
1	INTRODUCTION TO THE NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY	1-1
1.1	History of the National Health and Nutrition Examination Programs ..	1-1
1.2	Overview of Current NHANES	1-3
1.2.1	NHANES Pilot and Dress Rehearsal	1-4
1.2.2	Data Collection for NHANES Main Survey	1-4
1.3	Field Organization for NHANES.....	1-6
1.4	Overview of Interviewer Tasks.....	1-7
2	PREFIELD PROCEDURES	2-1
2.1	Overview of Interviewer Materials.....	2-1
2.1.1	Materials to Encourage Respondent Cooperation.....	2-1
2.1.2	Materials to Help You Prepare for Your Job	2-3
2.1.3	Materials to be Used in the Field	2-3
2.1.4	Materials for Organization and Recordkeeping	2-6
2.2	Preparing for the Field	2-7
2.3	Receiving and Reviewing Your Assignments	2-8
2.4	Planning and Scheduling	2-9
3	LOCATING THE DWELLING UNIT AND MAKING CONTACT.....	3-1
3.1	Definition of a DU	3-1
3.2	Locating the Dwelling Unit (DU).....	3-4
3.2.1	How Listing Sheets are Completed.....	3-6
3.2.2	Using the Household Assignment Label to Locate the Address on the Listing Sheet.....	3-6
3.2.3	Using the Lister's Material to Locate a DU.....	3-9
3.2.4	Maps Included in the Segment Folder.....	3-11
3.2.5	Problems Locating the DU.....	3-11
3.3	Introduction at the Door.....	3-11
3.3	Answering the Respondent's Questions	3-21

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
4	ADMINISTERING THE INTERVIEW	4-1
	4.1 The Household Screening Interview.....	4-1
	4.1.1 Content of the Screening Interview.....	4-1
	4.1.2 Eligible Screener Respondent	4-2
	4.1.3 Screener Specifications	4-3
	4.2 The Relationship Questionnaire.....	4-46
	4.2.1 Completion Order for Relationship Questionnaire	4-47
	4.2.2 Eligible Respondent for the Relationship Questionnaire	4-49
	4.2.3 Specifications for the Relationship Questionnaire	4-50
	4.3 Administering the Household Sample Person Questionnaires	4-63
	4.3.1 Eligible Respondent for SP Questionnaires	4-63
	4.3.2 Sample Person Language Problems	4-64
	4.3.3 Obtaining Consent for the SP Interview	4-64
	4.3.4 Beginning the SP Interview—The Respondent Information Questions.....	4-66
	4.3.5 Completion Order for the Household SP Interview	4-75
	4.4 Administering the Family Questionnaire.....	4-75
	4.4.1 Eligible Respondent for the Family Questionnaire	4-75
	4.4.2 Obtaining Consent for the Family Interview.....	4-76
	4.4.3 Beginning the Family Interview—The Respondent Information Questions.....	4-76
	4.4.4 Completion Order for the Family Questionnaire	4-81
5	THE HOUSEHOLD FOLDER.....	5-1
	5.1 Assignment Label	5-2
	5.2 Directions.....	5-2
	5.3 Appointment Summary	5-2
	5.4 Phone Number	5-4
	5.5 Summary of Forms Used to Complete the Consent Process	5-4
	5.6 Missed DU Procedure and Missed DU Form	5-4
	5.7 Translator Information.....	5-4
	5.8 Incentive Information	5-8
	5.9 Call Record Result Codes	5-8
	5.10 Language Use	5-11
	5.11 Household Result of Contacts.....	5-11

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
6	CONTACT PROCEDURES.....	6-1
	6.1 Contact Attempts	6-1
	6.1.1 Planning Your Contacts	6-1
	6.1.2 Number of Attempts.....	6-2
	6.1.3 Neighbor Contacts.....	6-3
	6.2 Using the Result of Contacts Page.....	6-4
	6.3 Entering Result Codes on the Household Folder.....	6-4
	6.4 Accessing Your Cases on the Pentop.....	6-17
	6.5 Entering Final Result Codes (Dispositions) on Your Pentop	6-19
	6.6 Entering Results (Dispositions) for Cases That Have Been Started But Not Completed.....	6-28
7	DUST COLLECTION.....	7-1
	7.1 Overview.....	7-1
	7.2 Eligibility	7-1
	7.3 When to Collect the Dust Sample.....	7-2
	7.4 Appropriate Respondent	7-3
	7.5 Obtaining Consent	7-3
	7.5.1 Dust Collection Consent Form.....	7-3
	7.5.2 Gaining Cooperation and Answering Frequently Asked Questions.....	7-10
	7.6 Dust Sample Supplies	7-12
	7.7 Dust Sample Collection Process	7-14
	7.7.1 Beginning the Collection Process with the CAPI Dust Collection Module	7-15
	7.7.2 Completing the Remainder of the Lead Dust Sampling Form (LDSF).....	7-25
	7.7.3 Obtaining the Dust Samples (Wipe Method)	7-28
	7.7.4 Ending the Dust Collection Process with CAPI.....	7-35
	7.8 Handling Dust Samples	7-51
	7.9 Dust Collection Reference Guide	7-52

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
8	THE MEC EXAMINATION APPOINTMENT.....	8-1
	8.1 Overview of MEC Operations	8-1
	8.1.1 The MEC Unit.....	8-1
	8.1.2 MEC Staff	8-4
	8.1.3 MEC Exam.....	8-4
	8.1.4 MEC Exam Schedule	8-7
	8.2 General Procedures for Making MEC Appointments.....	8-8
	8.3 Specific Procedures.....	8-10
	8.4 Reporting Medical Findings to SPs	8-60
	8.5 Answering Questions About Child Abuse.....	8-66
	8.6 Answering Questions About AIDS Testing.....	8-67
	8.7 Answering SP Questions About the Blood Draw	8-73
	8.8 Motivating the Respondent to Participate in the Examination	8-73
	8.9 Making Field Reminders	8-73
	8.10 Rescheduling Broken MEC Appointments.....	8-75
9	HOME EXAMINATIONS	9-1
	9.1 Overview.....	9-1
	9.2 Who Gets a Home Exam?.....	9-4
	9.3 Scheduling Guidelines	9-4
	9.4 Preparation for Scheduling a Home Exam – Completing the SP or Family Nonresponse Card.....	9-5
	9.5 Creating the Home Examination Appointment Module on Your Pentop	9-5
	9.6 Making the Home Exam Appointment.....	9-9
	9.7 Nonresponse to the Home Exam Appointment	9-16
10	NONRESPONSE.....	10-1
	10.1 Nonresponse Problems	10-1
	10.1.1 Problems Making Contact at the Dwelling Unit	10-2
	10.1.2 Problems Obtaining the Interview (Screener Relationship, SP, Family Interviews, or the Dust Collection Procedure) .	10-4
	10.1.3 Problems Obtaining the MEC Examination Appointment, Informed Consent, or Rescheduling Broken Appointments .	10-11

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
	10.2	Completing the Non-Interview Form For the Screener 10-11
	10.3	Documenting Nonresponse and Completing the SP or Family Nonresponse Card for SP Interview, Dust Collection, and MEC Appointment Nonresponse 10-13
	10.3.1	Specifications for Completing the SP or Family Nonresponse Card 10-16
	10.3.2	Documenting Nonresponse Using “Remarks” 10-17
	10.3.3	Using the SP or Family Nonresponse Card to Schedule a Home Exam 10-21
	10.4	Completing the Neighbor Information Form..... 10-23
11		QUALITY CONTROL..... 11-1
	11.1	Observations 11-1
	11.2	Field Edit 11-2
	11.2.1	Accounting for Case Materials..... 11-2
	11.2.2	Editing Hard-copy Materials 11-4
	11.2.3	Reviewing Certain Screens on Your Pentop 11-4
	11.3	Field Office Review of Cases 11-4
	11.4	Validation 11-5
	11.5	The Importance of Entering Accurate Key Information 11-5
	11.6	Checks for Key Information 11-6
	11.7	Updating Procedures and Specifications 11-6
12		QUALITY CONTROL OF LISTING 12-1
	12.1	Missed DU Procedure 12-1
	12.2	Creating a Household Folder for Missed DUs..... 12-7
	12.3	Examples of Missed DU Situations 12-8
	12.4	Missed Structure Procedure 12-10
13		REPORTING 13-1
	13.1	Report Forms 13-1
	13.1.1	Overview 13-1
	13.1.2	The Time and Expense Report 13-2
	13.1.3	Trip Expense Report 13-3
	13.1.4	The Interviewer Conference Report..... 13-6

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
	13.2 Conference With Your Study Manager	13-7
	13.2.1 Preparing for the Conference	13-7
14	SPECIFICATIONS AND DEFINITIONS FOR THE SAMPLE PERSON AND FAMILY QUESTIONNAIRES	14-1
	14.1 Overview of the SP and Family Questionnaires	14-1
	14.1.1 SP Questionnaire.....	14-1
	14.1.2 Family Questionnaire	14-1
	14.2 General Questionnaire Specifications.....	14-4
	14.3 Using Remarks.....	14-5
	14.4 Detailed Specifications	14-5
	14.4.1 The SP Questionnaire.....	14-5
	14.4.2 The Family Questionnaire.....	14-82
15	DEFINITIONS OF TERMS	15-1

List of Exhibits

<u>Exhibit</u>		
3-1	Typical Urban Segment	3-7
3-2	Typical Rural Segment	3-8
3-3	Example of Address Label.....	3-10
3-4	Segment Map with Directional Arrows	3-12
3-5	Tract Map.....	3-13
3-6	Lister's Maps.....	3-14
3-7	Special Instruction and General Comments for the Segment Form.....	3-15
3-8	Advance Letter.....	3-17
3-9	Screening Brochure.....	3-18

TABLE OF CONTENTS (continued)

List of Exhibits (continued)

<u>Exhibit</u>		<u>Page</u>
4-1	Household Interview Consent Form	4-65
4-2	Completed Household Interview Consent Form.....	4-67
5-1	Appointment Summary	5-3
5-2	Summary of Forms Used to Complete the Consent Form Process.....	5-5
5-3	Missed DU Procedure	5-6
5-4	Household Language Use and Translator Information.....	5-7
5-5	Incentive Information	5-9
5-6	Household Call Record Result Codes.....	5-10
5-7	Household Result of Contacts Page.....	5-12
6-1	Call Record	6-5
6-2	Household Call Record Result Codes.....	6-6
6-3	List of Screener Cases.....	6-18
6-4	List of Relationship Questionnaires.....	6-20
6-5	List of Person (SP) Questionnaires	6-21
6-6	List of Family Questionnaires.....	6-22
6-7	List of Appointment Cases.....	6-23
6-8	List of Dust Collection Questionnaires.....	6-24
6-9	List of All Cases	6-25
6-10	List of Household Level Cases	6-26
6-11	Example of CAPI Screen Containing List of Results	6-27
6-12	Example of CAPI Breakoff.....	6-29
7-1	Dust Collection Consent Form.....	7-4

TABLE OF CONTENTS (continued)

List of Exhibits (continued)

<u>Exhibit</u>		<u>Page</u>
7-2	Dust Collection Pamphlet — EPA and HUD Real Estate Notification and Disclosure Rule	7-5
7-3	Dust Sample Supplies	7-13
7-4	Interview Management Screen	7-16
7-5	List of Cases Eligible for Dust Collection	7-16
7-6	Lead Dust Sampling Form	7-18
7-7	Random Wall/Window Selection Protocol	7-22
7-8	Random Window Selection-Step 1: Random Wall Selection.....	7-23
7-9	Random Window Selection – Step 2: Random Window Selection	7-24
7-10	Location of Floor Wipe Sample and Replicate.....	7-30
7-11	Window Sill Sample Location	7-31
7-12	First Wipe Pass for the Floor Sample	7-33
7-13	Dust Collection Reference Guide (part of the interviewer’s hand card set)	7-53
8-1	Mobile Examination Center (MEC) exterior view	8-2
8-2	MEC Exam Components by Age.....	8-6
8-3	Household ID Label on Household Folder	8-12
8-4	SP Consent/Assent/Parental Brochure	8-18
8-5	Child SP Assent Brochure	8-27
8-6	Consent/Assent and Parental Permission for Specimen Storage and Continuing Studies.....	8-38
8-7	Summary of Forms Used to Complete the Consent Process	8-39
8-8	Consent Screens.....	8-42
8-9	Name Check Screen.....	8-45

TABLE OF CONTENTS (continued)

List of Exhibits (continued)

<u>Exhibit</u>		<u>Page</u>
8-10	Name Check Screen.....	8-46
8-11	Appointment Screen	8-48
8-12	Authorization for Transportation Form	8-51
8-13	School Excuse Letter	8-53
8-14	Exam Appointment Slips (4)	8-55
8-15	Summary Table of Household Folder.....	8-61
8-16	Certificate of Appreciation	8-62
8-17	Preliminary Report of Findings	8-63
8-18	Summary of MEC Examination Survey Measurements and Findings	8-65
8-19	Child Abuse Pages.....	8-68
8-20	AIDS Brochure	8-71
8-21	AIDS Information Sheet	8-72
8-22	Appointment History	8-74
9-1	NHANES Home Exam Components by Age Group	9-3
9-2	Example of SP or Family Nonresponse Card	9-6
9-3	Home Exam Button	9-7
9-4	Home Exam – Potential Candidates List	9-8
9-5	Home Exam Confirmation Screen.....	9-10
9-6	Home exam fact sheet (insert for consent brochure)	9-11
9-7	Home Exam Appointment Screen	9-13
9-8	Home Exam Appointment Slip.....	9-15
9-9	SP Card with Home Exam Appointment	9-17

TABLE OF CONTENTS (continued)

List of Exhibits (continued)

<u>Exhibit</u>		<u>Page</u>
9-10	SP Card – Home Exam Reason and Result Codes.....	9-18
9-11	Entering Nonresponse to Home Exam on the SP Card.....	9-19
10-1	Sorry I Miss You/Call-Back Card.....	10-5
10-2	Non-Interview Form for the Screener.....	10-12
10-3	SP or Family Nonresponse Card.....	10-14
10-4	Result and Reason Codes From Back of SP Card	10-22
10-5	Neighbor Information Form.....	10-24
12-1	Missed DU Form	12-4
12-2	Missed DU Screen	12-5
14-1	Sections in the SP Questionnaire	14-2
14-2	Sections in the Family Questionnaire	14-3

TABLE OF CONTENTS (continued)

PART II

<u>Chapter</u>		<u>Page</u>
1	INTRODUCTION	1-1
2	INTRODUCTION AT THE DOOR.....	2-1
	2.1 The Interviewer (YOU) as Focal Point.....	2-1
	2.2 General Approaches and Techniques.....	2-3
	2.3 Materials	2-5
	2.4 Answering Questions.....	2-6
	2.5 Refusals and Other Problems.....	2-9
	2.5.1 Contacting a Respondent.....	2-9
	2.5.2 Refusals.....	2-10
3	COMPLETING THE INTERVIEW AND MAKING THE EXAM APPOINTMENT	3-1
	3.1 General Approaches and Techniques.....	3-1
	3.2 Accommodating the Respondent.....	3-5
	3.2 Materials	3-8
	3.4 Answering Questions.....	3-10
	3.5 MEC Exam Components	3-12
	3.5.1 Physician's Exam.....	3-13
	3.5.2 Body Measurements.....	3-13
	3.5.3 Dietary Interview	3-13
	3.5.4 Health Interview.....	3-14
	3.5.5 Hair Collection.....	3-14
	3.5.6 Venipuncture	3-14
	3.5.7 Oral Health.....	3-15
	3.5.8 Urine Collection.....	3-16
	3.5.9 Dual Energy X-ray Absorptiometry (DXA).....	3-17
	3.5.10 Body Composition	3-18
	3.5.11 Cardiorespiratory Fitness	3-18
	3.5.12 Vision	3-18
	3.5.13 Balance Assessment.....	3-19
	3.5.14 Audiometry/Tympanometry.....	3-20
	3.5.15 Bone Markers.....	3-21
	3.5.16 Lower Extremity Disease.....	3-21
	3.5.17 Muscular Strength and Physical Function.....	3-22
	3.5.18 Volatile Organic Compounds Exposure.....	3-22

TABLE OF CONTENTS (continued)

<u>Chapter</u>		<u>Page</u>
4	SPECIAL TARGET GROUP CONSIDERATIONS	4-1
4.1	The Elderly	4-1
4.2	Interviewing Respondents with Health Impairments.....	4-2
4.2.1	Auditory-Limitations in Hearing.....	4-3
4.2.2	Limitations on Vision.....	4-5
4.2.3	Physical Impairments	4-7
4.3	Pregnant Women.....	4-8
4.4	Minority Populations	4-9
 <u>Attachment</u>		
A	INFORMATION FOR HEALTH REPRESENTATIVES TO USE IF SPS EXPRESS CONCERN ABOUT THE BLOOD DRAW DURING THE APPOINTMENT MAKING PROCESS	A-1

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1. INTRODUCTION TO THE NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY

This chapter provides a general description of the health examination surveys conducted by NCHS and the ongoing National Health and Nutrition Examination Survey. It also provides an overview of the tasks the interviewers are expected to perform during the survey.

1.1 History of the National Health and Nutrition Examination Programs

This NHANES is the eighth in a series of national examination studies conducted in the United States beginning in 1960.

The National Health Survey Act, passed in 1956, provided the legislative authorization for a continuing survey to provide current statistical data on the amount, distribution, and effects of illness and disability in the United States. In order to fulfill the purposes of this act, it was recognized that data collection would involve at least three sources: (1) the people themselves by direct interview; (2) clinical tests, measurements, and physical examinations on sample persons; and (3) places where persons received medical care such as hospitals, clinics, and doctors offices.

To comply with the 1956 act, between 1960 and 1994, the National Center for Health Statistics (NCHS), a branch of the U.S. Public Health Service, in the U.S. Department of Health and Human Services, has conducted seven separate examination surveys to collect interview and physical examination data.

The first three of these national health examination surveys were conducted in the 1960s:

1. 1960-62—National Health Examination Survey I (NHES I);
2. 1963-65—National Health Examination Survey II (NHES II);
3. 1966-70—National Health Examination Survey III (NHES III);

NHES I focused on selected chronic disease of adults aged 18-79. NHES II and NHES III focused on the growth and development of children. The NHES II sample included children ages 6-11, while NHES III focused on youths ages 12-17. All three surveys had an approximate sample size of 7,500.

Beginning in 1970 a new emphasis was introduced. The study of nutrition and its relationship to health status had become increasingly important as researchers began to discover links between dietary habits and disease. In response to this concern, under a directive from the Secretary of the Department of Health, Education and Welfare, the National Nutrition Surveillance System was instituted by NCHS. The purpose of this system was to measure the nutritional status of the U.S. population and changes over time. A special task force recommended that a continuing surveillance system include clinical observation and professional assessment as well as the recording of dietary intake patterns. Thus, the National Nutrition Surveillance System was combined with the National Health Examination Survey to form the National Health and Nutrition Examination Survey (NHANES). Four surveys of this type have been conducted since 1970:

4. 1971-75—the first National Health and Nutrition Examination Survey I (NHANES I);
5. 1976-80—the second National Health and Nutrition Examination Survey II (NHANES II);
6. 1982-84—Hispanic Health and Nutrition Examination Survey (HHANES); and
7. 1988-94—the third National Health and Nutrition Examination Survey (NHANES III).

NHANES I, the first cycle of the NHANES studies, was conducted between 1971 and 1975. This survey was based on a national sample of about 28,000 persons between the ages of 1-74. Extensive data on health and nutrition were collected by interview, physical examination, and a battery of clinical measurements and tests from all members of the sample.

NHANES II began in 1976 with the goal of interviewing and examining 28,000 persons between the ages of 6 months to 74 years. This survey was completed in 1980. To establish a baseline for assessing changes over time, data collection for NHANES II was made comparable to NHANES I. This means that in both surveys many of the same measurements were taken, the same way, on the same age segment of the U.S. population.

While the NHANES I and NHANES II studies provided extensive information about the health and nutritional status of the general U.S. population, comparable data were not available for many of the ethnic groups within the United States. HHANES, fielded from 1982 to 1984, aimed at producing estimates of health and nutritional status for the three largest Hispanic subgroups in the United States—Mexican Americans, Cuban Americans and Puerto Ricans—that were comparable to the estimates available for the general population. HHANES was similar in design to the previous HANES studies, interviewing and examining about 16,000 people in various regions across the country where there are large Hispanic populations.

NHANES III, conducted between 1988 and 1994, included approximately 40,000 persons selected from households in 81 counties across the United States. As previously mentioned, minority groups can have very different health status and characteristics, and thus black Americans and Mexican Americans were selected in NHANES III in large proportions. Each of these groups comprised separately 30 percent of the sample. It was the first survey to include infants as young as 2 months of age and to include adults with no upper age limit. For the first time a home examination was developed for those persons who were unable or unwilling to come into the exam center but would agree to an abbreviated examination in their homes. To obtain reliable estimates, children (1-5 years) and older persons (60+ years) were sampled at a higher rate. NHANES III also placed an additional emphasis on the effects of the environment upon health. Data were gathered to measure the levels of pesticide exposure, the presence of certain trace elements in the blood, and the amounts of carbon monoxide present in the blood.

In addition to NHANES I, NHANES II, Hispanic HANES, and NHANES III, several other HANES projects have been underway since 1982. These projects have been a part of the HANES Epidemiologic Follow-up Survey, a multiphase project that has been conducting follow-up interviews with the NHANES I survey population in order to provide a longitudinal picture of the health of the U.S. population.

1.2 Overview of Current NHANES

This NHANES will follow in the tradition of past NHANES surveys, continuing to be a keystone in providing critical information on the health and nutritional status of the U.S. population.

The major differences from previous NHANES is that this NHANES will be a **continuous annual survey** and will be linked to the National Health Interview Survey. NHANES will collect data from a representative sample of the U.S. population every year. This will allow annual estimates for broad groups and more detailed estimates for specific race-ethnicity groups when several years of data are examined together. The new design also will allow some flexibility in the content of the questionnaires and exam components. In addition, new technology innovations in computer-assisted interviewing and data processing will result in rapid and accurate data collection, data processing, and publication of results.

The number of people examined in a 12-month period will be about the same as in previous NHANES, about 7,000 persons per year in 15 locations. The data from NHANES are used by

government agencies, state and community organizations, private researchers, consumer groups, companies, and health care providers.

1.2.1 NHANES Pilot and Dress Rehearsal

In mid 1998 and early 1999, three comprehensive tests were conducted in preparation for the main study—a pilot and two dress rehearsals. In each test, respondents were interviewed in their home and then asked to participate in a physical examination in the MEC. All tests were conducted in the Washington metropolitan area.

The pilot tested the household interviewing procedures and MEC procedures, including the physical exams, the examination center interviews, and the field office and exam center Integrated Survey Information System (ISIS). The dress rehearsals were the final trial run of all survey procedures.

1.2.2 Data Collection for NHANES Main Survey

Data collection on the NHANES main survey began early in 1999 and will be continuous. Westat has been contracted to conduct the study for approximately six years at 88 locations (stands) across the United States. Nearly 7,000 individuals per year of all ages in households across the United States will be randomly selected to participate in the main survey. The study respondents include whites as well as an oversample of blacks and Mexican Americans. The study design also includes a

representative sample of these groups by age, sex, and income level. Adolescents, older persons, and pregnant women will also be oversampled. The following are the overall goals of the data collection:

- Estimate the number and percentage of persons in the U.S. population and designated subgroups with selected diseases and risk factors.
- Monitor trends in the prevalence, awareness, treatment, and control of selected diseases.
- Monitor trends in risk behaviors and environmental exposure.
- Analyze risk factors for selected diseases.
- Study the relationships between diet, nutrition, and health.
- Explore emerging public health issues and new technologies.

Selected persons are invited to take part in the survey by being interviewed in their homes. Household interview data is collected via Computer Assisted Personal Interviewing (CAPI) and includes demographic, socioeconomic, dietary, and health-related questions. Upon completion of the interview, sample persons are asked to participate in a physical examination. The examination will be conducted in a specially equipped and designed Mobile Examination Center (MEC), consisting of four trailers. The MEC houses all of the state-of-the-art equipment for the physical exam and the tests conducted. The trailers are divided into rooms to assure the privacy of each study participant during the examination and interview. This examination includes a physical and dental examination conducted by a physician and a dentist, laboratory tests, X-rays, and other health interviews conducted by highly trained medical personnel. The household interviews and MEC exam combined will collect data in the following important health related areas:

- Cardiovascular and respiratory disease;
- Vision;
- Hearing;
- Mental illness;
- Growth;
- Infectious diseases and immunization status in children;
- Obesity;
- Dietary intake and behavior;
- Nutritional status;

- Disability;
- Skin diseases;
- Environmental exposures;
- Physical fitness; and
- Other health-related topics.

1.3 Field Organization for NHANES

There are two levels of field organization for this study—the home office staff and the field staff.

- **Home Office Staff from Westat**—Project staff from Westat are responsible for overseeing the field work.
- **Field Staff**—The field staff consists of three groups of employees: The stand office staff, the interviewers, and the MEC staff.
 - *Stand Office Staff*—For the main study, there are three office staff teams. Each team will work at an office opened at a specific stand. Each stand office will be headed by a study manager (SM) and will include a field manager (FM), an office manager (OM), two assistant office managers (AOMs), and a data manager (DM).

The study manager (SM) is responsible for the overall management of operations at a stand. S/he will also have primary responsibility for supervision of the household interviewers (health representatives).

The field manager's primary responsibility is to assist the SM and supervise the activities of the AOM's. S/he will deal with administrative issues and ISIS and CAPI problems.

The office manager is responsible for the stand office operations and is the main conduit for the flow of work and information between the MEC and the household interviewing staff. S/he supervises one or more local office clerks hired to assist with office activities.

The assistant office managers are primarily responsible for data entry into the Integrated Survey Information System (ISIS), editing data collection materials, and verification of interviewer work. They report to the field manager.

The data manager assists in the setup and testing of all computer systems and telecommunication hookups in the field. S/he also coordinates the maintenance and repair of all field computer systems with the home office and external vendors, and acts as the field "help desk" person.

- *Interviewers*—This staff is primarily responsible for identifying and enrolling the survey participants, conducting the household interviews, and appointing the study participants for health examinations.

Several times a week interviewers visit the stand office and report to the study manager. During the course of the study interviewers also interact with the other field office staff as well as home office staff.

- *MEC Staff*—This staff of health professionals conducts the physical examinations. The main study includes two exam teams traveling from stand to stand. There are 19 individuals on each traveling team: 1 MEC manager, 1 MEC coordinator, 1 licensed physician, 1 licensed dentist, 3 medical technologists, 5 health technicians, 2 MEC interviewers, 2 dietary interviewers, and 1 phlebotomist. In addition, local assistants are recruited, trained, and employed at each stand to assist the exam staff.

1.4 Overview of Interviewer Tasks

This section describes the steps that are always completed prior to the opening of a stand and also provides an overview of the tasks interviewers will be expected to perform. Each of these tasks is discussed in detail in later sections of this manual. In the overview that follows, certain key items are highlighted. These are basic concepts critical to the conduct of the study.

Steps completed prior to interviewing:

1. Statisticians **scientifically select certain segments** throughout sampling area. A segment is an area with definite boundaries, such as a city block or group of blocks containing a cluster of households.
2. Twelve weeks before data collection begins, NHANES staff **lists the segments**. Listing is the systematic recording on special forms of the address of every dwelling unit located within the segment. Commercial buildings and other structures not intended as living quarters will not be listed.
3. A **sample of dwelling units is selected** from the listing forms. This sample is the group of addresses that interviewers visit in order to conduct interviews.
4. Immediately before data collection begins, an **advance letter** will be sent to each dwelling unit with a mailing address. This letter briefly describes the study and informs the household that an interviewer will be contacting them in the near future.

The tasks interviewers perform when they arrive at a stand include:

1. After the successful completion of training, interviewers will be given an **assignment** of sampled dwelling units (addresses) to contact. Each assignment will consist of pre-labeled Household Folders, pre-labeled Neighbor Information Forms, and the appropriate Segment Folder. The corresponding cases are loaded onto your pentop.

2. Using addresses on the Household Folders and listing/mapping materials in the Segment Folder, interviewers will **locate these dwelling units**.
3. **If a selected address is not a dwelling unit or is not occupied**, interviewers will complete the "Vacant/Not a DU Section" on the Screener Non-Interview Form.
4. **In an occupied residential dwelling** unit, interviewers will contact an adult who lives in the selected household and administer the **Screener** on a pentop computer.

The Screener is an interview that enumerates all the individuals who live in the household, divides the household into families, and collects all the demographic characteristics necessary to immediately determine if there are persons in the household eligible for further interviewing.

All instructions necessary to determine eligibility and select sample persons (SPs) are **programmed** in the CAPI Screener.

5. If all persons in a household are **ineligible**, no further work will be done with the case. When **eligible** household members are identified, interviewers will continue to conduct all the necessary tasks associated with the case.
6. In eligible households a **signed interview consent form** for each respondent to the medical history and/or the Family questionnaire will be obtained.
7. Next, the appropriate **medical history CAPI interview** will be administered to eligible respondents or SPs. The questions asked will depend on the age of the SP.
8. In each household containing children ages 1-5, floor and window sill **dust samples** will be obtained. These samples will provide information on lead dust levels in the household environment.
9. A **Family questionnaire** will also be administered to one adult family member from each eligible family in the household.
10. Next, interviewers will set up an **examination appointment**. This process will be repeated for each SP, attempting to coordinate appointments that conform to the examination center schedule and are convenient for an individual SP and all other SPs within a family unit.
11. Interviewers will then obtain **signed consent form(s) for each SP for the examination**, call the field office to confirm the examination appointment(s), and give each SP an appointment slip.
12. If there is **more than one eligible family with SPs** selected, **this process will be repeated with each of the additional families**. Most often there is only one family in a household.
13. Interviewers will **record the result of each contact or attempted contact** with the household on the Call Record located on the Household Folder.
14. Interviewers will also support the survey by conducting some **field reminders** prior to MEC appointments and assist with **rescheduling of broken** (cancelled or no-show) **appointments** for the examinations.

15. If an interviewer is unable to complete any of the questionnaires or procedures (for any SP), an **SP or Family Nonresponse Card** will be completed. This card documents the problems encountered in completing one or more tasks.
16. Interviewers will **check for missed DUs and/or structures** when instructed to do so. If any are found, the Missed DU or Missed Structure Procedures will be implemented and appropriate forms will be completed.
17. When an interview has been completed, interviewers will **edit** their work, carefully reviewing all forms for completeness and legibility.
18. Interviewers will **report in person to the SM** at the stand office for regularly scheduled conferences, usually every other day. During these conferences, interviewers will return and discuss completed cases, discuss problems with incomplete cases, receive new case assignments, and report on time, expenses, and production.
19. To insure the accuracy and completeness of the survey, **all of interviewer work will be edited by the field office staff, and then validated** by recontacting respondents. After this review, supervisors will provide interviewers with feedback concerning the quality of the work.
20. At the end of each stand field period, interviewers will **return all interviewing materials** to the supervisor.

2. PREFIELD PROCEDURES

This chapter provides you with a description of all the materials you will be using in your job as an interviewer. It also provides a description of how you will receive assignments, as well as how to plan a schedule and prepare to go into the field to work on your assignments.

2.1 Overview of Interviewer Materials

At the beginning of the survey, you will be given the materials you will need to begin your work. After you begin working, it will be your responsibility to obtain additional supplies from the stand office as you need them. Check your supplies regularly so that you can pick up additional materials before you run out.

The sections below describe the materials you will use on this study. Most of these items are discussed in more detail in other chapters of this manual. The brief descriptions provided in this chapter are arranged under four main headings:

1. Materials to encourage respondent cooperation;
2. Materials to be used in the field;
3. Materials for organization and recordkeeping; and
4. Materials to help you prepare for your job.

2.1.1 Materials to Encourage Respondent Cooperation

These materials are designed to introduce the survey to respondents and to encourage them to participate in the interview. As noted below, many of these materials are available in Spanish as well as English.

- **Advance Letter (English and Spanish)**—This letter introduces the survey and requests the respondent's participation. In most situations, the home office will send a letter to each address just before you are assigned the case. In some areas, however, the addresses will not be adequate to mail the letter. In those cases, you will present the letter during the first contact with a household member. Make sure that each household has received an advance letter either in the mail or directly from you during your introduction.

- **Identification Badge**—This U.S. Public Health Service photo ID verifies that you are a health representative working on the study.
- **NHANES at a Glance**—This manual provides visual aides to be used, as necessary, to obtain respondent cooperation. It contains articles from newspapers, magazines, and letters of endorsement, etc. It is the only manual shown to respondents.
- **NHANES Data Uses Sheet (English and Spanish)**—This fact sheet provides you with examples of information collected on previous NHANES surveys and how the information has been used to benefit the U.S. population.
- **NHANES Let’s Improve Our Health Brochure**—This brochure gives an overview of the NHANES survey. It describes the survey and gives a brief summary of the benefits of the survey, what participation involves and provides reasons why they should participate.
- **Confidentiality Brochure (English and Spanish)**—This brochure contains a brief description of the procedures used to ensure the strict confidentiality of all survey responses and examination results.
- **Screener Brochure (English and Spanish)**—This brochure contains a brief description of the study and provides answers to questions respondents may have about the study. It emphasizes that eligible respondents may be asked further questions related to health and nutrition. It includes brief information about the NHANES sampling procedures and how the respondent's household was selected. You should have this brochure available to hand out to an eligible Screener respondent.
- **NHANES Fact Sheet**—A brochure of NHANES data highlights that illustrate how information collected in the survey has benefited people in the U.S.
- **Newspaper Flyer (English and Spanish)**—This one page flyer includes several abbreviated newspaper articles that show some findings from NHANES III.
- A NHANES magnet that can be affixed to a refrigerator.
- **Outreach Folders**—These are two-pocket folders designed for NHANES and they can be left with eligible households to hold informational materials, consent form copies, etc. at the conclusion of interviews.

2.1.2 **Materials to Help You Prepare for Your Job**

These materials are designed both as study guides for the training sessions and as reference documents for use throughout the field period. The materials are all contained within the manuals as follows:

1. **Interviewer's Manual**—This document contains all the study-specific information needed to work on NHANES. The manual is divided into 2 parts:

Part I

- **Field Procedures**—This section provides the specific procedures which must be followed for this survey.
- **Specifications for Household Interviews**—This section contains instructions and explanations for administering the Sample Person (SP) and Family questionnaires.
- **Glossary**—This section contains a list of words and terms used in the Screener, Relationship, Sample Person and Family questionnaires. Many of the terms listed in the glossary are also included in the CAPI instrument in on-line help screens.

Part II

- **Obtaining Respondent Cooperation Manual**—This manual contains documentation on all materials and techniques used to obtain respondent cooperation.
2. **CAPI Manual**—This manual documents the procedures you will use to maintain and operate your pentop and conduct interviews using a computerized questionnaire application.

2.1.3 Materials to be Used in the Field

The materials that you will use while interviewing include the following:

- **Appointment for Examination Slip (English and Spanish)**—This appointment slip is a reminder to be left with SPs for whom an appointment for an examination at the MEC has been scheduled. There are four versions of this form that vary by fasting guidelines and age.
- **Authorization for Transportation Arrangements for Persons Under 16 Years of Age (English and Spanish)**—This form must be completed, at the time of interview, by a parent or guardian of any SP under 16 who will be transported to the MEC.
- **Dust Collection Kit**—In selected households you will be collecting dust samples to determine lead dust levels in the home. This kit will contain all the forms and supplies you will need to conduct this component.
- **Consent Forms (English and Spanish):**
 - **Household Interview Consent Form (English and Spanish)**—This form provides respondents with information about the interview process and documents that informed consent has been obtained for each interview administered in the household. One interview consent form must be signed by each eligible respondent to the SP and the Family questionnaire.
 - **Sample Person MEC Consent/Assent Brochures (English and Spanish)**—These brochures contain more detailed information about the purpose of the study, particularly the examination component. There is a brochure for SPs 12 and older and parents of SPs under 18, and an assent brochure for children

7-11. The last page of the brochure contains the MEC examination consent or assent forms. This brochure must be presented to the SP, and/or the parent of the SP, as part of the examination informed consent process. S/he (and/or his/her parent or guardian) must read the brochure and sign the consent/assent form(s) prior to being examined.

- **Future Research Consent/Assent Form (English and Spanish)**—This form provides SPs with information about this process and documents whether informed consent from the SP has been obtained or not to keep specific specimens from the exam for future research to help understand health and disease and the genetic link to medical conditions. There is one consent/assent form. This form should be signed for each SP receiving an exam.
- **Dust Collection Consent Form (English and Spanish)**—This form documents that consent for the dust collection process has been obtained from those households eligible for this component and that the purpose and procedures associated with the process have been explained. One Dust Collection Consent Form must be signed by an adult member of the household.
- **Digital Symbol Substitution Exercise/Timer**—These materials are used in the administration of a section in the SP interview.
- **Hand Cards (English and Spanish)**—There are two sets of hand cards: one contains information for your use during the screening interview, and the other contains information you will use during the Sample Person (SP) and Family interview. In addition, the second set of hand cards helps you with the dust collection procedure and the MEC appointment making process.

- **Household Folder**—This folder contains the following:
 1. Address information to use in locating the unit;
 2. An Appointment Summary box in which to enter key MEC appointment status;
 3. Summary of forms to complete the consent process;
 4. Household language use information to document languages spoken in the household and translator information to track translator needs/arrangements;
 5. Missed Structure/Missed DU Forms to be completed when appropriate;
 6. Incentive Information to record the amount each SP will receive for their participation;
 7. A list of the Call Record Result Codes used to record the dispositions of the survey components; and
 8. The Household Call Record, which is used to record all contacts and results of contacts with the household.

The Household Folder is also used to hold and organize all hard-copy forms associated with the household.

- **Pentop computer and carrying case**—As mentioned previously, all of the screening and household interviewing will be conducted using a pentop computer. This case helps you carry your equipment and materials safely.
- **Neighbor Information Form/Screening Non-Interview Form**—On the front page of this document are the screening questions you will ask when conducting the Screening with a neighbor. The front page also contains a box that provides the written household sampling instructions needed to select SPs. The back page of this document is used for documenting those instances in which it is not possible to conduct a screening interview with the household.
- **Segment Folder**—Each segment with sampled units has a separate folder. This folder contains the following items:
 1. **Census Map**—This is a large map of the area that provides you with the segment boundaries. This map is a copy of a portion of the official Census Bureau Map for the area.
 2. **Segment and Tract Maps**—These are detailed maps that were used by the listers. You will use it to help locate the segment in which you will be interviewing.
 3. **Lister's Map**—This is a detailed map drawn by the lister if a situation in the segment needs further description.
 4. **Listing Sheets**—This form was used during the listing phase to record the addresses of all dwelling units in the segment. It will help locate the sampled dwelling unit.

- **Sorry I Missed You Card/Call Back Card (English and Spanish)**—This card is left when no one is at home at a sampled address. It briefly describes the study and tells the respondent that you will return.
- **SP Card**—This card must be thoroughly completed for any nonresponse situation associated with the extended interviews, Dust Collection process or examination appointment process. A list of the Call Record Result codes as well as nonresponse reason codes are printed on the back of the card.
- **School Excuse Form**—This form, upon request, will be prepared in the field office and can be presented to the school, explaining the nature of the survey and the need to examine the SP.
- **Certificate of Appreciation (English and Spanish)**—This certificate will be sent by the FO to each SP in the household after s/he has scheduled an examination appointment. It is signed by the Assistant Secretary of Health, Surgeon General, U.S. Public Health Service and the Director, National Center for Health Statistics.

2.1.4 **Materials for Organization and Recordkeeping**

These materials are designed to help you organize your work when you are in the field and to maintain accurate records for reporting your production, time, and expenses. They consist of the following:

- **Appointment Calendar**—This calendar is to be used as your record of appointments with respondents. By recording your appointments in this calendar, you will avoid making appointments for the same time with different respondents.
- **Interviewer Time and Expense Report**—This report is your means of reporting hours worked and expenses incurred, in order to receive the correct pay and reimbursement for expenses. You will submit it to your supervisor on a weekly basis.
- **Trip Expense Report**—This report is your means of reporting your eligible travel expenses and your living allowance. You will submit it to your supervisor on a weekly basis.
- **Interviewer Conference Report**—This is a computer-generated list of all cases assigned to you. You will use this report to review your work during your regular conference with the study manager.

2.2 **Preparing for the Field**

Each day, before you go into the field, check over your supplies. Make sure you take with you all the necessary materials so that you will not have to return home or to the stand office to pick up certain items or begin an interview and discover that you do not have the necessary materials. (Always

inventory your supplies when you visit the stand office.) Also make sure your materials are organized. Shuffling through your materials in the midst of an interview may cause unnecessary delays and give the respondent an unfavorable impression of you and the survey.

The following is a list of the items you should **always** take with you in the field. Keep in mind that if you are a bilingual interviewer and expect to encounter Spanish speaking respondents in your current assignment, you should also take the Spanish versions of the appropriate forms listed below.

- Pentop computer and carrying case;
- ID badge;
- Advance letters;
- Confidentiality Brochures;
- Screener Brochures;
- Newspaper Flyers;
- NHANES Data Uses Sheet;
- Household Interview Consent Forms;
- Dust Collection Kits;
- MEC Exam Brochures including MEC Consent/Assent Forms;
- Future Research Consent/Assent Forms;
- Pre-labeled Household Folders and Neighbor Information Forms for all cases you plan to work on that day;
- Digital Symbol Substitution Exercise and Timer;
- A watch with a second hand;
- Blank Household Folders;
- Appropriate Segment Folder(s) for cases you plan to work on that day;
- Hand Cards (2 sets);
- Appointment;
- Appointment for Examination Slips (four versions);
- Sorry I Missed You/Call Back Cards;
- Authorization for Transportation Arrangements for Persons Under 16 Years of Age;

- SP Cards;
- Sharpened No. 2 lead pencils;
- Black ink pen;
- NHANES at a Glance; and
- Interviewer Manual and CAPI Manual (kept in car for reference).

Whenever you are in the field and leave your car, make sure it is locked. Try to keep all materials (especially your pentop when it is not in use) out of sight (e.g., locked in the trunk of your car).

2.3 Receiving and Reviewing Your Assignments

Throughout the field period you will receive assignments from your supervisor. Assignments will be made by segment. Each assignment will consist of the following:

1. A **Household Folder** containing a computer-generated Household Assignment Label. This label will be attached to the front of each Household Folder and will identify the location of the dwelling unit to be contacted.
2. A **Neighbor Screening Form/Screener Non Interview Form**. The front page of this form contains a box that provides the written household sampling instructions needed to select SPs.
3. A **Segment Folder** containing a census map, segment and tract maps, sketch maps, and listing sheets. These maps and forms provide further information to help in locating assigned dwelling units.
4. An **Interviewer Conference Report**. After the cases have been assigned to you, they will be downloaded onto your pentop and will appear on your CAPI List of Cases on your pentop. This list can be accessed by turning on your machine, entering your password, tapping twice on the "Interview Management" icon and tapping once on the "Interviews" tab. A hard-copy Conference Report is printed using information from the List of Cases.

When you receive an assignment:

- Check the address on the Household Folder Assignment Label of each sampled dwelling unit with the address recorded on the Listing Sheet. The procedure for this is explained in Chapter 3; and
- Check the Household ID and address on the Household Case Identification Label with those listed on your pentop List of Cases or your Interviewer Conference Report to ensure you have the correct number of cases and that all identifying information for each case matches. The procedure for producing the Interview Conference Report is explained in Chapter 12.

If you encounter any discrepancies, notify your supervisor before leaving the field office.

As part of your assignment, you will be provided with various hard-copy blank survey documents. Each time you use one of these documents, be careful to record on the front cover the case number from the Household Folder Assignment Label. Once a document is used, that document should be kept in the corresponding Household Folder. In addition, you will receive blank Household Folders to be used if you find missed dwelling units (this procedure will be explained in Chapter 5).

Before accepting your assignment of cases, always check through the addresses to see that none of them are addresses of friends or relatives. It is a general rule that you should never interview a friend or relative. If you receive such a case, return it to your supervisor. (If you do not realize that this case is a friend or relative's address until you leave the office, do not complete any work on it. Return it in to your supervisor during your next conference.)

2.4 Planning and Scheduling

It is important to plan your schedule in a way that allows you to spend large blocks of time in the field. The amount of time you spend locating, contacting, screening, and interviewing during a day should greatly exceed the amount of time it takes you to get to a segment to work.

To keep your travel time to a minimum, your supervisor will always try to assign you cases that are clustered in one part of the stand. After completing part of your assignments, however, you may find that your remaining households are more scattered. To make efficient use of your time, it will then become particularly important for you to carefully plan your schedule before you go into the field. As you plan your route keep in mind any family or SP interview appointments you have made and organize your time so that you can contact as many households as possible between appointments.

When setting out to contact a household at which you have already made a previous attempt, review the Household Folder (see Chapter 5) for any notes you made on the earlier try. They will give you clues as to the best time to make your next attempt.

Study the contact procedures described in Chapter 6 before planning your work schedule.

3. LOCATING THE DWELLING UNIT AND MAKING CONTACT

This chapter provides the basic information you will need to locate the sampled dwelling unit, to introduce yourself and explain the purpose of your contact, and to answer any questions respondents might have.

3.1 Definition of a DU

Your assignment consists of address at which you first administer a short screening interview to determine if any member of the household is eligible to participate in the study. Screeners should be conducted only at addresses that qualify as Dwelling Units (DUs). Therefore, it is your responsibility to make sure that the assigned address is: (1) a DU, and (2) only one DU. In most cases, a DU will be easy for you to define, that is, a DU will be an apartment, a detached house, one house in a row of houses, half a duplex, etc. Sometimes, however, you will encounter structures where it is difficult to determine what constitutes a DU. Examples of these types of structures might be rooming houses, resident hotels, or houses that have been divided up into multifamily residences. The following definition explains in detail how to determine whether a residence is a DU.

A DU is a group of rooms or a single room occupied as separate living quarters, that is, when the occupants do not live and eat with any other person in the structure

AND

when there is direct access from the outside or through a common hall or area.

Also regard as DUs vacant groups of rooms and vacant single rooms that are intended for occupancy as separate living quarters.

Examples of Types of DU

Although the box above provides our definition of a DU, the concept of a DU can better be illustrated by the following examples of typical places that have been listed as DUs for this survey (remember that this list is merely illustrative and may not include some places that would qualify as DUs):

- **A single house** that is intended for occupancy by only one family.

- **A multiple-family house** containing more than one DU. (You often need to refer to the definition of a DU to determine the correct number of DUs in such places.)
- **A flat or apartment** in a structure that includes other flats or apartments.
- **A basement or attic apartment.** These may occur in any of the types of structures described earlier.
- **Vacant houses or apartments** that could be occupied.
- **A room in a nonresidential structure** where there are no other rooms occupied or intended for residential occupancy. Thus, if there is one room in a warehouse that the caretaker uses for his living quarters, such a room qualifies as a DU.
- **A mobile home or trailer** that is used as the permanent residence of the occupants and not just as their vacation residence.
- **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 a DU, 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.
- **Hotel or motel rooms** that are:
 - Occupied by permanent guests; or
 - Occupied by employees who have no permanent residence elsewhere.
- **Work camps** occupied by seasonal workers. If a worker occupies a unit for 6 months or more of the year, that unit is considered a permanent DU, as long as the unit satisfies the other requirements of a DU.
- **Seasonal dwellings**, such as summer homes, resort cottages, or other part-time homes that **currently serve as permanent residences, are** considered DUs. An example of a residence that could be permanent is one that is heated where heat would be required. However, if someone lives permanently in an unheated DU, it should be included.

Since it is difficult to determine without inquiry whether a seasonal unit currently serves as a permanent residence, seasonal dwellings are listed, unless:

- They are used for overflow sleeping quarters for the main house, in which case they are considered part of the main house; or
 - They fit the definition of vacation cabin given under examples of structures that are not DUs.
- **Rooms within institutions** (hospitals, penal institutions) that **serve as the permanent residence of a staff member**, and that satisfy the requirements of the DU definition. For example, an apartment that serves as a permanent residence for a houseparent in a college dormitory would be listed as a DU.
 - **DUs located on Indian reservations.**
 - **Housing on military bases** qualify as DUs unless the project specifies otherwise. NOTE: Military barracks and bachelor officers' quarters (BOQs) do not meet the definition of a DU.
 - **Time-share apartment units** meet the definition of a DU and should be listed.
 - **Model homes** if construction has been completed. Although they are not occupied, they meet the definition of a DU.
 - **Noninstitutional group quarters** are those housing units where nine or more persons unrelated to the person in charge live and eat together. Examples of noninstitutional group quarters are college dormitories and fraternity/sorority housing, rooms occupied in rooming and boarding houses, missions, communes, and workers' dormitories, monasteries, convents, group homes for the mentally or physically impaired, and halfway houses for drug/alcohol abuse, and maternity homes for unwed mothers.

Examples of Structures That Are Not DUs (Special Places)

Below is a list of units that, with the exception of **permanent** DUs of staff members located within them, do **not** qualify as DUs. If you are in doubt as to whether or not a structure qualifies as a DU, you should call your supervisor before contacting the unit.

Some examples of institutions that are not DUs include the following:

- **Unoccupied buildings** that have been condemned or that are being demolished.
- **Transient hotels or motel rooms** that are rented on a daily or short-term basis and are not intended for permanent occupancy.
- **Places of business** (stores, factories) but be sure to look for hard-to-find living quarters behind or above or inside business places.

- **Vacation cabins** include a group of five or more cabins owned and operated under a single management. These cabins must be clustered together and rented or intended for rent and identified by a sign on the property where they are located. If they do not meet these requirements, they are DUs. However, if you discover a permanent residence within the cluster of cabins, for example, the permanent residence of a resident manager or owner, this is a DU.
- All institutional group quarters. Examples:
 - Military barracks and bachelor officers quarters (BOQ);
 - Correctional institutions;
 - Hospitals;
 - Homes for aged;
 - Nursing homes; and
 - Juvenile institutions.

If you find that the assigned address is not a DU according to the guidelines here, you must complete a Vacant/Not a DU Form, which is the top half of the Screener Non-Interview Form. Instructions for completing this form are discussed in Chapter 10.

If you find that the assigned address includes **more than one DU**, you may need to follow special procedures. These are the Missed DU Procedures discussed in Chapter 12.

3.2 Locating the Dwelling Unit (DU)

Your assignment will usually consist of one or more segments. A segment is a geographical area with definite boundaries within a county or PSU. The size of a segment may vary from one block in an urban area to several square miles in a rural area. After receiving your assignment, you will need to locate the addresses of selected DUs within the segment. There are three basic steps to follow in doing this:

- Step 1:** **Locate the Segment:** Using maps of the area, you should identify the exact location of the segment.
- Step 2:** **Locate the Selected Address:** The address of the selected DU appears on the front page of the Household Folder in the Household Assignment Box. The addresses for all selected DUs within your assigned segment will also appear on the list of assigned cases on your laptop computer.

Step 3: Determine Whether Selected Address is a DU: Generally a selected address is clearly a DU (for example, a single-family house or an apartment in a multi-unit structure). Whenever you think a selected address may not qualify as a DU, you must refer to the DU definition to see if the selected address fits the description.

In conducting survey research studies, the procedure called sampling is used to select part of a group to represent the entire group. The selected part is called the sample. In drawing a sample, scientific probability methods are used in the home office to select a number of geographic areas called Primary Sampling Units (PSUs). Then within each PSU, smaller geographic areas called segments are chosen to be in the sample. In some studies, all the addresses in a segment will fall into the sample and in others only some of the addresses will be sampled. In both cases, in order to draw a proper sample of addresses, all of the addresses in the segment must be identified and **listed**.

The first stage of field operations is completed by a "Lister". The lister identifies and records the addresses of households (or descriptions and locations of households if they do not have addresses) on listing sheets.

The lister uses Tract maps and Segment maps (computer generated maps) to locate the area in which he or she is to work and records addresses within the specified area on the Listing Sheets. All the work the lister completes is placed in a Segment Folder.

The lister sends his or her work to the Westat home office where statisticians select certain households from the households recorded on the Listing Sheets for the interviewing phase of the study. You will receive all the work of the lister (Tract maps, Segment maps and Listing Sheets) in his or her Segment Folder for the segment in which you are assigned to work.

These will be copies of the original Listing Sheets and maps used by the listers when they recorded the addresses of all DUs in the segment. The Listing Sheets will designate the sampled addresses you are to contact, as well as help you locate them. The following sections further explain how to locate DUs using the Listing Sheets and other materials in the Segment Folder.

3.2.1 How Listing Sheets are Completed

An understanding of how addresses were entered on the sheets by the listers will help you to use the Listing Sheets to locate the DUs you have been assigned. Listers followed these two basic rules:

- Listers began at the northwest corner of the segment and recorded **all** of the residential addresses they encountered while traveling in a clockwise direction around the segment. They proceed around a segment, always turning right when the opportunity presents itself, thus listing each block in the segment.
- The lister lists only those DUs on the right, listing in sequence, and travels down every block in the segment, being sure to remain within the segment boundaries.

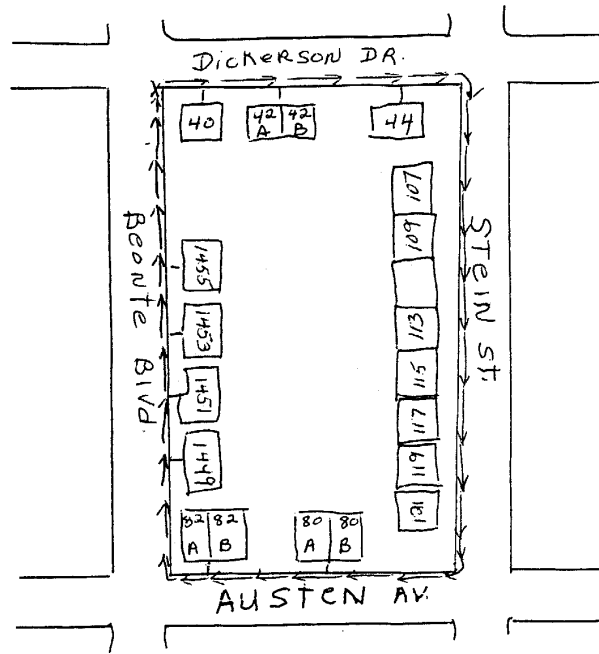
Exhibit 3-1 and Exhibit 3-2 on the following pages show how the listers proceeded in a typical urban segment and a typical rural segment. The listers began in the northwest corner and proceeded to record all DUs in the segment as shown on the Listing Sheet.

3.2.2 Using the Household Assignment Label to Locate the Address on the Listing Sheet

When all listings were completed, Westat's Sampling Department reviewed the listings and selected the sample DUs you will be contacting. During this process, sample DUs were assigned Household ID numbers. The Household ID appears in the Household Assignment Label on the front of the Household Folder. This Household ID number can also be found on the Listing Sheet. The Household ID consists of up to nine digits that provide the following information:

- **Stand Number**—This is the first three digits of the Household ID. This code identifies your area and should appear on all forms and communications with the office.
- **Segment Number**—This code identifies the segment within the stand. It is one or two digits.
- **Serial Number**—This code, along with the stand and segment numbers, uniquely identifies every DU in the sample. It is one to four digits.

Exhibit 3-1. Typical Urban Segment

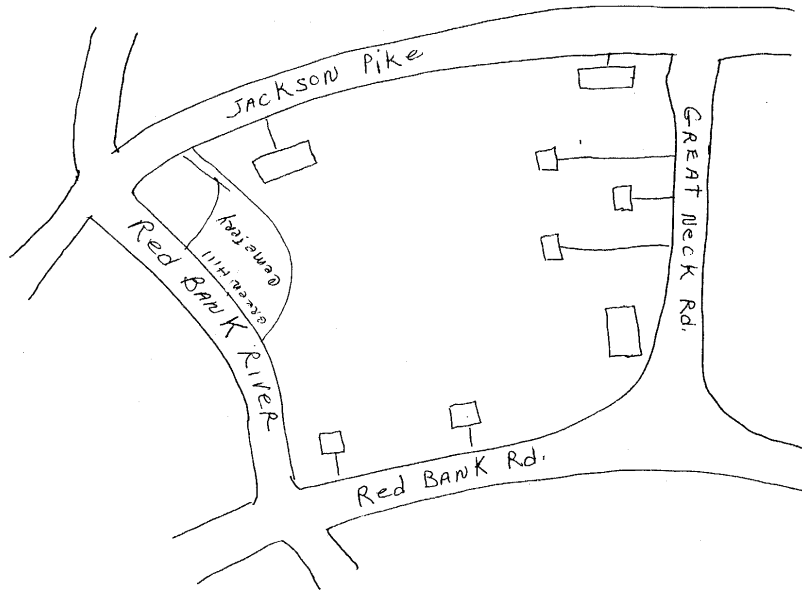


Lister: Jack Smith
 MAILING INFORMATION FOR SEGMENT
 City (Township, etc.): Temple State: TX
 Zip Code: 16193161-141344

NHANES IV
 MAIN LISTING SHEET

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address
	1		Dickerson	DR		40					
	2					42	A				
	3					42	B				
	4		↓	↓		44					
	5		Stein	ST		107					
	6					109					
	7					No#					Between 109 And 113
	8					113					
	9					115					
	10					117					
	11					119					
	12		↓	↓		121					
	13		Austen	AV		80	B				
	14					80	A				
	15					82	B				
	16		↓	↓		82	A				
	17		Beonte	Blvd		1449					
	18					1451					
	19					1453					
	20		↓	↓		1455					

Exhibit 3-2. Typical Rural Segment



Lister: JACK Smith
 MAILING INFORMATION FOR SEGMENT
 City (Township, etc.): Temple State: TX
 Zip Code: 1619181151-17171014

NHANES IV
 MAIN LISTING SHEET

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address	(m) If Grp. Qtrs. (✓)
	21		Jackson	Pike		NO#					2 STY. WHITE FRAME COVERED FR. PORCH w/7 POSTS	
	22		↓	↓							1 1/2 STY. NATURAL WOOD & SKYLIGHTS	
	23		Great Neck	Road							1 STY. GRAY WOOD GARAGE ON RT	
	24		↓	↓							2 STY BRICK, GREEN ROOF	
	25		↓	↓							WHITE POST ON PORCH	
	26		Red BANK	Road							LONG BRICK RANCH	
	27		↓	↓		NO#					DOUBLE CHIMNEY	
	8										1 STY. BRICK w/BEAR GARAGE	
	9										1 STY BRICK Red. ROOF	
	0										CARPORT FRONT PORCH	
	1											
	2											
	3											
	4											
	5											
	6											
	7											
	8											
	9											
	0											

Exhibit 3-3 shows how the Household ID and address printed on the Address Label enable you to locate the sampled DU on the Listing Sheet. The "Stand Number" is found in the right hand corner of the Listing Sheet. The "Segment Number" is directly below the "Stand Number" on the listing sheet. The serial number uniquely identifying the sampled household is in column (a) of the listing sheet next to the sample household address. Note only sampled households are identified with serial numbers on the listing sheet.

The address of the sample DU that appears on the Listing Sheet also appears in the Household Assignment Box on the front of the Household Folder. (Where no address is indicated, refer to the Listing Sheet and the segment maps to locate the DU.) Be sure the address and serial number on the Listing Sheet and the address and Serial Number on the front of the Household Folder agree. If there is any discrepancy, notify your supervisor before working on the case.

3.2.3 Using the Lister's Material to Locate a DU

In urban areas, you usually should have little difficulty locating the DU using the address that is printed on the address label. However, occasionally DUs may not have an address or the address may be insufficient to locate the DU.

In such a situation, you will have to refer to the Listing Sheets and the maps in the Segment Folder to locate the DU. By referring to the Listing Sheet, you will know the addresses of those DUs that are located on either side of the sampled unit.

In the instance that referring to the Listing Sheet does not help, check the Segment Map to find out the order in which the streets in the segment were listed. Then, using the Listing Sheets, follow the order that the DUs were originally listed. By doing this, you should be able to locate the sampled DU within the listing sequence.

Exhibit 3-3. Example of Address Label

Stand: 998 Seg: 1 Serial: 116
 8801 Rosemark CT
 Deal M 20879
 MISSED DU:
 Check for any DUs in this building
 which are not on the listing sheet.

Inspector: P. Parnace
 MAILING INFORMATION FOR SEGMENT
 City (Township, etc.): Deal State: Md
 Zip Code: 20707-1111

NHANES
 MAIN LISTING SHEET

Page 1 of 12

PSU: 998
 Segment: 01

(a) Office Use Only	(b) Line #	(c) Pre Dir.	(d) Street Name	(e) Street Type	(f) Post Dir.	(g) House #	(h) Apt. #	(i) Rural Route #	(j) Rural Route Box #	(k) Space or Lot #	(l) Secondary Address	(m) If Grp. Qtrs. (✓)	(n) Description of Location/Remarks
116	1		Rosemark	CT		8801							
	2					8803							
	3					8805							
117	4					8807							
	5					8809							
118	6					8811							
	7					8813							
119	8		Rosemark	CT		8815							
	9		Drexel Hill	CT		1901							
120	10					1903							
	11					1904							
	12					1905							
121	13					8224							
	14					8225							
	15					8227							
122	16		Drexel Hill	CT		8228							
	17		Rustbek	ST		45							
124	18					46							
	19					47							
125	20		Rustbek	ST		48							

3.2.4 Maps Included in the Segment Folder

Included with your assignments, you will be given maps that were used during the listing phase. There are three types of maps you will be given:

- Segment Maps, detailing the boundaries of the segment;
- Tract Maps, pinpointing the segment location within the surrounding area; and
- Hand Drawn Lister's Maps (if any), detailing more complex blocks within the segment.

These maps will be included in the Segment Folder. An example of each is presented in Exhibits 3-4, 3-5 and 3-6 on the following pages. Also included in the Segment Folder is the Special Instruction and General Comments for the Segment Form (Exhibit 3-7).

3.2.5 Problems Locating the DU

It is a good idea for you to obtain a local map of the area in which you will be interviewing. These can usually be obtained at gas stations, drug stores, or the local Chamber of Commerce. If you ever have trouble locating a sampled DU or a group of sampled DUs, ask for directions. Postal carriers or gas station attendants will usually be able to help you. If this fails, call your supervisor. S/he may be able to help you immediately by referring to the maps that are kept in the stand office.

3.3 Introduction at the Door

Once you have located the DU, you are ready to contact the household. How you present yourself at the door will usually determine success or failure in obtaining an interview. Since this is your first opportunity to describe the survey in such a way that the respondent's interest is stimulated sufficiently to participate in the interview, it is very important that the introduction be positive and friendly. If you can communicate your interest and enthusiasm about the survey and the interview, the respondent will view it as a pleasant and worthwhile experience.

Exhibit 3-4. Segment Map with Directional Arrows

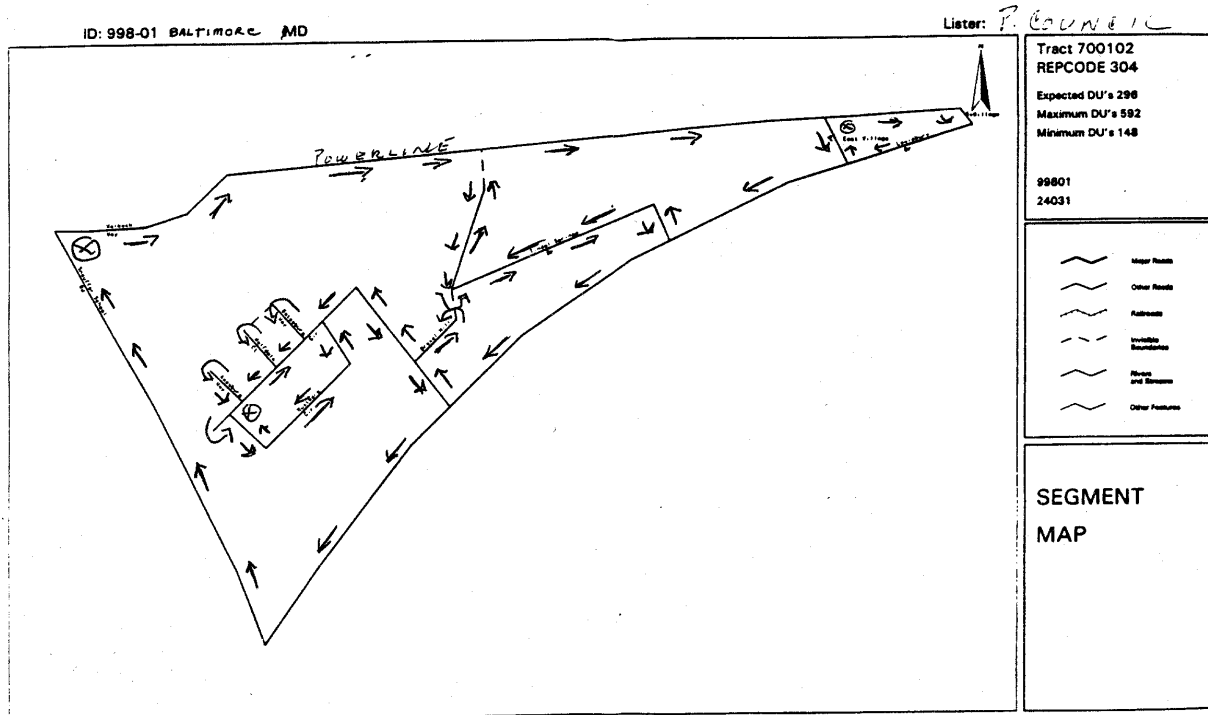


Exhibit 3-5. Tract Map

ID: 998-01 BALTIMORE, MD

Lister:

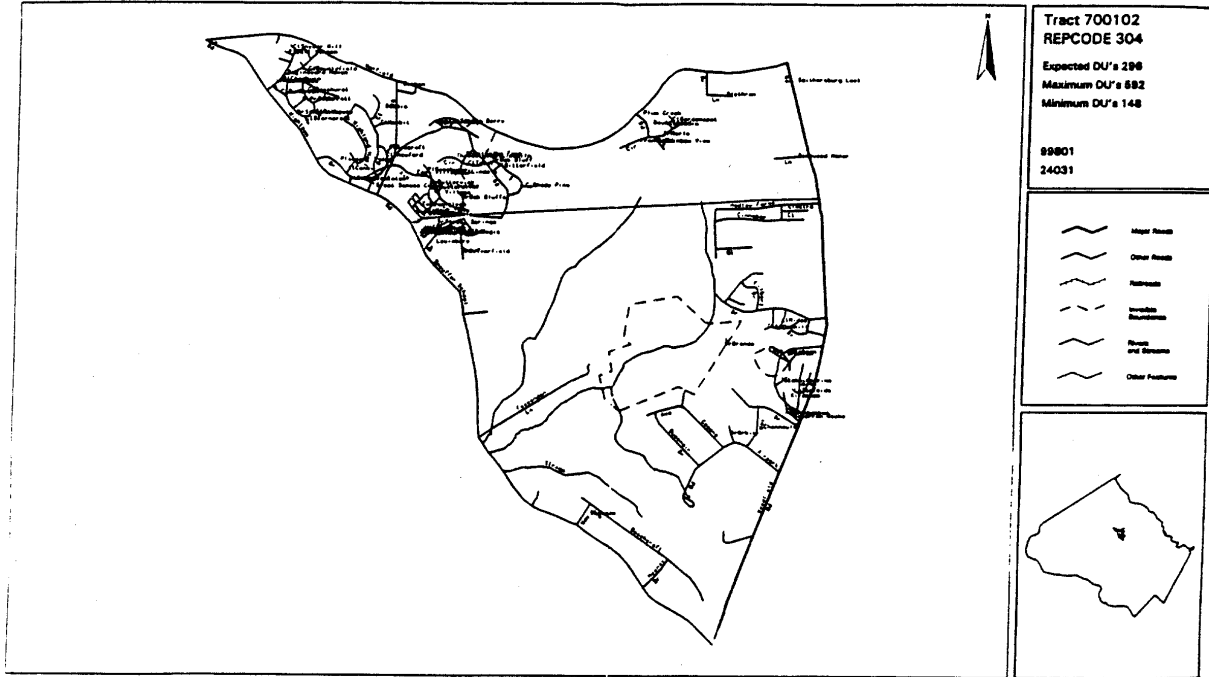
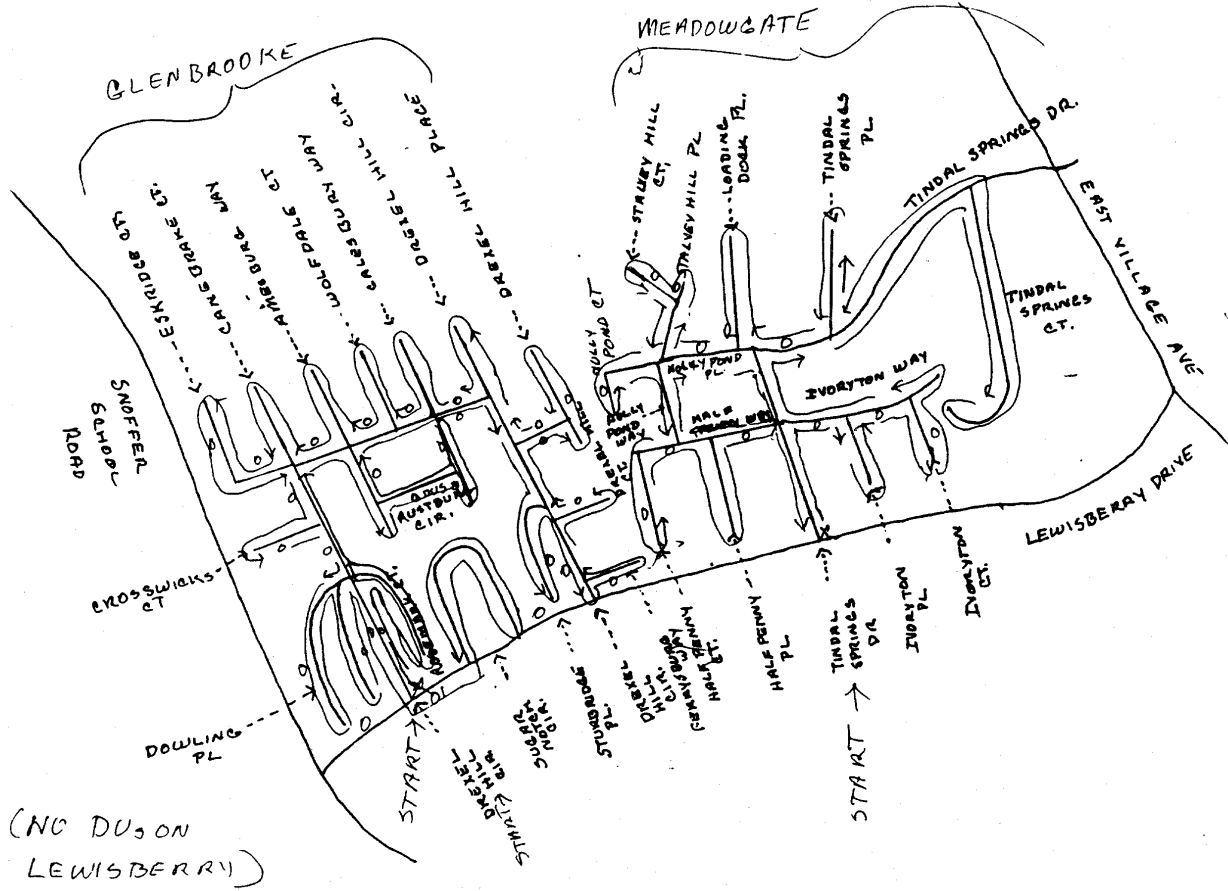


Exhibit 3-6. Lister's Maps



998-01



(NO DUOS ON LEWISBERRY)

Exhibit 3-7. Special Instruction and General Comments for the Segment Form

**SPECIAL INSTRUCTION
AND GENERAL COMMENTS
FOR THE SEGMENT**

SEGMENT #: 116

SPECIAL INSTRUCTIONS:

- THIS IS A SPLIT SEGMENT
- WITHIN THIS SEGMENT IS AT LEAST ONE SECTION (DOUGHNUT) THAT SHOULD NOT BE LISTED
- UNABLE TO DETERMINE ONE OR MORE BOUNDARY NAMES
- PLEASE OBTAIN LOCAL MAP FOR CLARIFICATION

GENERAL COMMENTS

*No parking in front of most
addresses. Very dense area. There are
lots of apartments especially in the
Hlenbrook area.*

A brief introduction is printed on the first screen of the computer-assisted personal interview (CAPI) Screener. You must use this introduction whenever you make contact with a household. It has been designed to let the respondent know immediately

- Who you are,
- What you are doing, and
- Why you are there.

INTRODUCTION: Hello, I'm _____ and we are conducting a survey for the U.S. Public Health Service (**SHOW ID BADGE**). A letter was sent to you recently explaining the survey, which is called the National Health and Nutrition Examination Survey and is about your family's health. **[IF RESIDENT DOES NOT REMEMBER LETTER, HAND NEW COPY.]** All the information that you give us will be kept in the strictest confidence. Your name will not be attached to any of your answers without your specific permission.

If the respondent indicates that s/he wants to know more about the privacy of his/her answers, you should access the "confidentiality statement" available by clicking on the HELP icon at the Screener Introduction screen. This statement appears below.

Information will be collected under authority of Section 306 of the Public Health Service Act (42 USC 242k) with a guarantee of strict confidence. Section 308(d) of the Public Health Service Act (42 USC 242m) and the Privacy Act of 1974 (5 USC 552a) state that we are forbidden to release any information that identifies you or your family to anyone, for any purpose, without your consent.

Public reporting burden for this collection of information is estimated to average 6.6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer; 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

When reading the introduction, you should always show your ID badge and have a copy of the advance letter (see Exhibit 3-8) and the Screener Brochure (see Exhibit 3-9) ready to give to the respondent. These will help offset possible suspicions about your identity or purpose and overcome reservations the respondent may have about being interviewed.

The Screener has been designed to be administered at the doorstep. However, if you have established rapport with the respondent, it may be administered inside the respondent's home.

Exhibit 3-8. Advance Letter

You or a member of your family may have a chance to take part in an important national health survey.

The National Center for Health Statistics, a part of the Centers for Disease Control and Prevention, is responsible for this survey – the National Health and Nutrition Examination Survey. This survey teaches us about the health and diet of people in the United States. Over the years, other surveys like this have led to changes in the foods we eat and the health care we receive.

In the next few weeks, one of our interviewers will visit your home. She or he will show you official U.S. Public Health Service identification and ask some short, easy questions about you and other family members. This interview will take only a few minutes of your time. The purpose of these questions is to see if you or a member of your family will be asked to participate in the survey. Answering the questions is completely voluntary, and you may choose not to answer any question. I assure you there will be no penalties or loss of benefits of any kind from refusing to answer.

If you or other household members are chosen, we hope you will participate in the survey. You will be among the many people in towns and cities across the country who help us increase our knowledge about the health of people in the United States.

This survey is a Federal program authorized by the Public Health Service Act. All of your answers will be kept in strict confidence. We will use this information only for statistical research and reports. Your answers will be added to others, so no one can identify which are yours.

Thank you in advance for helping.

Sincerely,

Edward J. Sondik, Ph.D.
Director

P.S. If you have questions, please call Jean Findlay of my staff at 1-800-452-6115. The call is free, and we would be happy to answer your questions.



National Health and Nutrition Examination Survey

From the CENTERS FOR DISEASE CONTROL AND PREVENTION/National Center for Health Statistics

...monitoring the Nation's Health



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention
National Center for Health Statistics



NHANES

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY

What is the National Health and Nutrition Examination Survey?

The National Health and Nutrition Examination Surveys (NHANES) are studies conducted by the National Center for Health Statistics -- a Federal agency that gathers health data for the United States.

For more than 35 years, we have had short interviews around the country in homes like yours. We use these short interviews to choose some households to take part in the survey. The survey includes more detailed interviews and physical exams for some people in each household. The exams are conducted in mobile centers that are located in the communities selected for the survey.

From NHANES, we learn about the health of people in the United States. We find out about dental health, hearing and vision, and the kind of nutrition each person has. We take body measurements, such as height and weight, and look for certain diseases and health conditions.

We use the data to solve health problems, to develop health programs, and to improve the quality of health care.

The current NHANES survey began in 1999. It will now be an on-going program and will go to locations in all parts of the United States.

How will I recognize the survey interviewer?

The person who comes to your home will have an official identification card from the U.S. Public Health Service. His or her photo will be on the card.

How was I chosen for the interview?

Because we cannot talk to everyone in the country, we choose certain households to represent many others. To do this scientifically, we begin by selecting certain counties or cities. Then in these areas, we choose smaller areas such as blocks. Finally, we select a few houses within the small areas.

The people who live in these houses make up a "sample" of the people in the counties and cities chosen. We do not know who lives in any of the houses before we arrive to conduct the interview.

Your home has been chosen to take part in the short interview that we use to decide who will take part in this NHANES.

How do I know that information about me will be kept confidential?

We respect your privacy. Public laws keep all information you give confidential.

We will hold all data we collect in the strictest confidence. We gather and protect all information according to requirements of Federal Laws: The Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent.

This means that we cannot release any fact about you without your consent, even if a court of law asks for it. We will keep all survey data safe and secure. When we allow researchers to use survey data, we protect your privacy. We assign code numbers to replace names or other facts that could identify you.

We combine your answers with those from thousands of other people. We report survey findings in percentages and totals to protect the privacy of those who took part in the survey.

We appreciate your talking with our survey interviewer. By taking part in this survey, you will help add to our information about the health of people living in the United States.

NCHS internet address: www.cdc.gov/nchswww/

3.3 Answering the Respondent's Questions

Although in most cases the introduction is all you will need to gain the respondent's cooperation, there will be times when you will have to answer questions before you begin the interview. A respondent's questions indicate interest and concern. You should be prepared to answer in ways that respond to that interest and concern.

Listen to the respondent's questions and answer by providing only the information needed to remove the respondent's doubts about you or the survey. In other words, make your answers brief and to the point. Do not volunteer extra information or unnecessarily lengthy explanations. Unasked for information may be misunderstood and confuse the respondent.

It is extremely important that you be thoroughly familiar with the purpose of the survey so that you can answer questions accurately. You should also be familiar with the contents of the advance letter and screener brochure so that, when appropriate, you can point out the written answers as you respond to questions.

If you don't know the answer to a question, admit that you don't know it. Continue with the interview but volunteer to have your supervisor call to talk with the respondent if the respondent wants you to.

The Obtaining Respondent Cooperation Manual includes questions respondents will frequently ask about the survey and suggested answers.

4. ADMINISTERING THE INTERVIEW

4.1 The Household Screening Interview

At each sample dwelling unit you will conduct a screening interview to identify the sample persons (SPs) to be enrolled in the study. This screening is done using computer-assisted personal interviewing (CAPI). Data from previous NHANES indicate that approximately half of all screening interviews are conducted "at the doorstep". Consequently, the CAPI Screener application has been designed for easy use while you are standing outside the sampled dwelling unit. SPs are selected for the study primarily based on demographic information, including gender, age, ethnicity, race, income, as well as pregnancy status. The sampling program to identify SPs will automatically be run on your computer. If no SPs are identified, CAPI will classify the case as having no SPs, and no further interviewing will take place at that dwelling unit. If SPs are selected, CAPI will instruct you about who to interview.

4.1.1 Content of the Screening Interview

The CAPI screening instrument provides a record of individual household members and has four primary stages as follows:

1. Enumeration of all people living in the household;
2. Classification of these persons by the various categories—gender, ethnicity, race, age, pregnancy status and when appropriate, income;
3. Selection of SPs;
4. Collection of contact information.

The Screener also serves several other important purposes:

- Provides an introduction for the interviewer to use at the door; and
- Assures confidentiality of the information obtained by the interviewer.

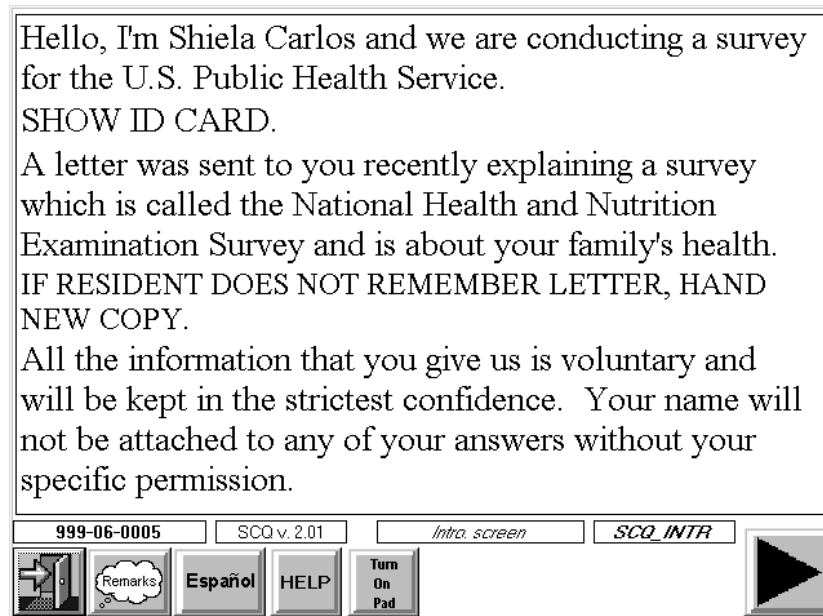
One Screener will be loaded on your pentop for each address in your assignment. You will also receive a hard-copy Household Folder (Chapter 5) and a Neighbor Information Form (Chapter 10) for each address. You must complete a CAPI Screener for each dwelling unit in your assignment regardless of whether anyone in the household is eligible for the main survey.

4.1.2 Eligible Screener Respondent

An eligible Screener respondent must be a **knowledgeable adult household member at least 18 years old or an emancipated minor** (a person under 18 who lives only with persons under 18 or who has been married). It may be necessary to determine whether or not the person to whom you are speaking is actually a household member, using the rules for household membership in Section 4.1.3.6. The Screener respondent will need to provide accurate information about everyone who lives in the household: their ages, race/ethnicity, and, if appropriate, pregnancy status.

4.1.3 Screener Specifications

4.1.3.1 Introduction







Use the paragraph on this screen when you are at the door to introduce yourself. During this initial contact, show your ID badge and have available the advance letter (in case the respondent does not recall or did not receive a letter) and the Screener Brochure, which explains the study.

4.1.3.2 Notice of Confidentiality and Burden Statement

Information will be collected under authority of Section 306 of the Public Health Service Act (42 USC 242k) with a guarantee of strict confidence. Section 308(d) of the Public Health Service Act (42 USC 242m) and the Privacy Act of 1974 (5 USC 552a) state that we are forbidden to release any information that identifies you or your family to anyone, for any purpose, without your consent. Public reporting burden for this collection of information is estimated to average 6.6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer; 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

Access this screen by tapping once on the "HELP" button at the introduction screen. It contains a statement of confidentiality and a public reporting burden notice. Read these statements to the respondents only when necessary.

4.1.3.3 Dormitory Room

INTERVIEWER: IS THIS A DORMITORY ROOM?							
<input type="radio"/> Yes							
<input type="radio"/> No							
501-01-0004	SCQ v. 3.00	dormitory	SCQ027				
		Español	Turn On Pad	DK	RF		

Students who live in dorm rooms will skip some subsequent screener questions. They will not be asked if they have a home somewhere else because these individuals should be sampled at their present location (the dorm room). Further, questions about income are not asked of students living in dorm rooms. Income information gathered from these individuals tends to be imprecise. The income of these individuals are often quite low; however, they are frequently supported by their parents. Also, students rarely know their roommates income.

4.1.3.4 Address Verification

I would like to verify your address. Please give me your complete address.

19907 DREXEL HILL CR
GAITHERSBURG MD 20879

NO (WRONG ADDRESS)
 YES (CORRECTIONS)
 YES

600-01-0006 SCQ v. 1.6 verify addr. SCQ070a

Remarks HELP Turn On Pad

This question requires you to listen to the address given by the respondent and check it against information displayed at the top of the screen. Ask this question to be sure you are interviewing at the correct dwelling unit. If the address given by the respondent is **exactly** the same as the address displayed on the screen, use code 1 (YES).

If the respondent provides a **minor** address correction, code YES - CORRECTIONS. CAPI will allow you make the correction in the appropriate address field. The answer fields you can change are shaded. A typical minor address correction is a change to the ZIP code. Notice that the cursor rests on the Street #. This is because you will probably not use the “Additional Address Line” field very often. This line is for additional address information such as the name of a dormitory or apartment building.

To make a correction, place your cursor in the field and, with your keypad turned off, tap “clear”. Turn your keypad on and correct any errors in the address. Several fields have drop down lists to make it easier to record information. Remember, your drop down lists do not work when your keypad is on. **NOTE: If a respondent provides a correction to the street address number or name or an addition of an apartment number, be sure you are at the correct address.** If you are at the wrong address, code NO – WRONG ADDRESS. CAPI will go to the end of the Screener and you will need to locate the correct dwelling unit.

I would like to verify your address. Please give me your complete address.

19907 DREXEL HILL CR 20879-

Dir Pre Street Name st/rd/ave Dir Post Apt

GAITHERSBURG MD 20879-

PO Boxno RR# RR Box City State Zip

600-01-0006 SCQ v. 1.6 addr. correction SCQ070b

Remarks HELP Turn On Pad DK RF

NHANES is a longitudinal study. The address information you verify/collect in this question will be critical in tracking respondents. Please keep in mind the importance of accurate address information and verify and record all data very carefully.

4.1.3.5 Household Composition Questions

The next series of questions is designed to provide a record of individual household members. The information collected in this series will obtain a complete list of all persons living or staying in the dwelling unit, identify and delete nonhousehold members, and obtain the gender of each person.

Since the first objective of these questions is to obtain a complete listing of all household members, let us review some definitions of "household" and "household membership."

Rules for Determining Household Members

Household—The entire group of persons who live in one dwelling unit. It may be several persons living together or one person living alone. It includes the household reference person (defined on page 4-11) and any relatives living in the unit. The household may also include roomers, employees, or other persons not related to the reference person.

Household member—Consider the following categories of persons in a dwelling unit as members of the household.

- Persons, whether present or temporarily absent, whose **usual place of residence** at the time of interview is the dwelling unit.
- Persons staying in the dwelling unit who have no usual place of residence elsewhere. Usual place of residence is ordinarily the place where a person usually lives and sleeps. A usual place of residence must be specific living quarters held by the person to which s/he is free to return at any time. Living quarters that a person rents or lends to someone else cannot be considered his/her usual place of residence during the time these quarters are occupied by someone else. Likewise, vacant living quarters that a person offers for rent or sale during his/her absence should not be considered his/her usual place of residence while s/he is away.
- Special situations regarding household membership. You may encounter certain situations where household membership is unclear. Below are guidelines for handling these situations. You may have to ask enough probe-type questions so that you can determine the actual situation, and therefore, make the proper decision as to household membership.
 1. **Families with two or more homes**—Some families have two or more homes and may spend part of the time in each. For such cases, the usual residence is the place in which the person spends the largest part of the calendar year. Only one unit can be the usual residence. For example, the Browns own a home in the city and live there most of the year. They spend their summer vacation at their beach cottage. Neither house is rented in their absence. By our rule, then, their home in the city is their "usual residence" because they spend the majority of the year there.
 2. **Students and student nurses**—Any student away at school, college, trade, or commercial school in another locality will be interviewed in the locality where they are attending school. That is, even if a student considers his/her parents' home to be their usual residence, consider him/her to be a household member where presently residing. Consider a student to be a household member of his/her parents' home only if s/he is home for the summer vacation and has no usual residence at the school.
 3. **Seamen**—Consider crew members of a vessel to be household members at their home rather than on the vessel, regardless of the length of their trips and regardless of whether they are at home or on the vessel at the time of your visit (assuming they have no usual place of residence elsewhere).
 4. **Members of Armed Forces**—Consider members of the Armed Forces (either men or women) as household members if they are stationed in the locality and usually sleep in the dwelling unit, even though no health information will be obtained for them.
 5. **Citizens of foreign countries temporarily in the United States**—Determine whether to interview citizens of foreign countries staying at the sample unit according to the following rules:

- Do not interview citizens of foreign countries and other persons who are living on the premises of an embassy, ministry, legation, chancellery, or consulate.
 - List in the questionnaire and interview citizens of foreign countries and members of their families who are living in the United States and are not on the premises of an embassy, etc. This applies only if they have no usual place of residence elsewhere in the United States. However, do not consider as household members foreign citizens merely visiting or traveling in the United States.
6. **Persons with two concurrent residences**—If a person has two concurrent residences, ask how long the person has maintained them, and consider the residence in which the greater number of nights was spent during that period as the person's usual place of residence.
 7. **Persons in vacation homes, tourist cabins and trailers**—Interview persons living in vacation homes or tourist cabins and trailers if they usually live there or if they have no usual residence anywhere else. Do not interview them if they usually live elsewhere.
 8. **Inmates of specified institutions**—Persons who are inmates of certain types of institutions at the time of interview are not household members of the sample unit. They are usual residents of the institution and are out of scope for this survey.
 9. **Families within the household with separate living quarters**—If, in addition to a "typical family group" (i.e., parent(s) and unmarried children or two or more unmarried siblings) there are additional relatives in the household, ask if they all live and eat together as one family. If they do, treat them as a single family. If any of the persons say they live separately from the others, determine if they have either separate cooking equipment or separate direct access to the dwelling. If either of these conditions apply, consider them as living in a separate household. If there is a "Missed DU" message on the front of the Household Folder, you will need to follow the instructions described in Chapter 12.

Household Composition Question Specifications

Total Number of Persons in the Household

To begin, how many people live in this household?

4

600-01-0006 SCQ v. 1.6 HH count SCQ090

Remarks HELP Turn On Pad DK RF

At this screen enter the number of people given by the respondent. If you learn later that the number you entered here is incorrect, you are not required to correct this item to agree with the number of persons you have entered on the household membership roster.

Identifying a Reference Person (Householder)

What is the first and last name of the person or one of the persons who owns or rents this home and usually lives here?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		

600-01-0006 SCQ v. 1.6 *enum. ref. pers.* SCQ100

Remarks HELP Turn On Pad DK RF

The purpose of this question is to establish a "reference person" in order to make the subsequent questions easier to ask and to later arrange household members into family units. The **reference person** is:

The first household member 18 years or older mentioned by the Screener respondent who is "the person or one of the persons who owns or rents the dwelling unit." If no household member occupying the dwelling unit owns or rents the unit, the reference person is the first household member mentioned who is 18 years of age or older.

On rare occasions, you may encounter **dwelling units occupied entirely by persons under 18 years old**. When this occurs, use the following rules to designate the reference person:

- If one of the household members owns or rents the sample unit, designate that person as the reference person.
- If more than one household member owns or rents the sample unit, designate the oldest owner/renter as the reference person.
- If none of the household members owns or rents the sample unit, designate the oldest household member as the reference person.

Recording Names on the Household Composition Roster

The space allotted for household member names on the screens is divided into separate response fields. This is done to encourage the accurate recording of names.

Always try to enter a first and last name. Enter a middle name if it is volunteered.

Obtain **unique** names for all household members. Two person in the household may have the same first and last name. For example a father and son may both be "David Hill." In this example a unique qualifier must be added to one or both of the names to distinguish them. That unique qualifier may be a suffix, such as "Jr" or "Sr" or it may be a middle name.

DO NOT ASSUME MEMBERS OF THE FAMILY HAVE THE SAME LAST NAME.

As mentioned previously, middle names or initials are not required during the screening process unless they are needed to record a unique name. For example, the mother in the household is Maria Teresa Vega and the daughter is Maria Elena Vega. You should probe and enter a middle name or initial for each of these women to get a unique name. If there are two persons in the family with the same complete name, they must then be further identified by indicating "Sr" or "Jr" in the field labeled SUFFIX.

Do not record parts of a last name in the middle name field. In some instances a woman may use her maiden name as part of her last name (i.e., Sharon Pratt-Dixon). Do not enter her maiden name in the middle name field.

REMEMBER TO VERIFY THE SPELLING OF ALL NAMES. Even "Smith" can be spelled in a variety of ways (i.e., Smyth, Smithe, etc.).

Hispanic Surnames

Hispanics often use conventions for recording full names other than those you may be familiar. It is important that these names be recorded accurately and within the appropriately designated box on the household membership roster.

Since a significant portion of the NHANES sample is Hispanic, review some of these conventions and the methods you use to record names on the household membership roster.

1. Father's last name followed by a hyphen followed by mother's maiden name (e.g., Sanchez-Gomez).

Both last names should be placed in the "Last Name" field.

2. Father's last name followed by mother's maiden name with no hyphen.

Both last names should be placed in the "Last Name" field leaving a space between the names (e.g., Sanchez Gomez).

3. "De", "de la", or "del" as part of a surname.

When a woman marries, she may append her husband's last name preceded by "del", "de" or "de la" meaning "of" or "of the" (Maria Vacario de Sanchez). Some men's names may also contain these words (e.g., Manuel de la Puente).

In this case all of these names should be entered in the "Last Name" field. Using the example above, "Vacario de Sanchez" would be entered in the "Last Name" field. Again, remember to leave appropriate spacing between name parts.

4. "De", "de la", or "del" as part of a middle name.

In some cases a woman may have a middle name (e.g., Maria del Carmen, Maria de la Concepcion) that is preceded by "de" or "de la". For the most part these middle names have a religious origin or connotation. When you are uncertain about the correct recording of such names, probe to determine whether to record a name as a middle or last name. Space names appropriately.

5. In a few cases female respondents will use their father's, mother's, and husband's surnames and their father's surname. For example, Maria Luisa Gonzales-Rodriguez de Martinez.

In this case "Gonzales-Rodriguez de Martinez" should be entered in the "Last Name" field. Space names appropriately.

You are not expected to become an expert on the use of Hispanic surnames. Just be aware that there are several possible conventions in use. Make an effort to enter all names in the correct boxes. If you are unsure how to enter a name, ask the respondent how it should be recorded.

On rare occasions a respondent may refuse to provide a name. If this happens, enter the first person as SP1, the second as SP2; continue this sequence until all household members are entered.

Enter the gender of the reference person. [Note: CAPI will not allow you to move forward until you have entered the reference person's gender. You may enter names using the following procedures:]

- Tap on the button at the bottom of the screen labeled "TURN ON PAD". A small red light will flash, indicating the key pad is turned on.
- When the keypad appears, the cursor will be in the first name field. Type in the first name by tapping on the appropriate letters and tap on "OK" on the keypad. The keypad will disappear, however, it will continue to be functional.

- To see the keypad, tap on the next entry field (Middle or Last name) and the keypad will reappear, enabling you to make further entries.
- When you no longer need the keypad, tap on the button labeled "TURN OFF PAD".
- To enter identical last names, simply tap on the "Repeat" button on the keypad. This will duplicate the last name entered directly **above** the empty last name field.
- You may also enter first and middle name and suffix by using the drop down lists that appear when you tap on the small arrow next to the entry field. However, the keypad must be turned off to activate these lists.

The names of the other household members obtained through the household composition questions will be recorded consecutively on the screens that follow.

CAPI will skip a number of household composition questions if only one person lives in the household.

Identifying All Person in the Household on the Household Membership Roster

The CAPI screens are designed to enter persons on the household roster in the following preferred order. The reference person, persons **related** to that person in descending age order, and unrelated persons.

Persons Related to the Reference Person

And the other members of this household who are related to Jane Banks : What are their names? By related, I mean by blood, marriage or a marriage like relationship. Please include adopted and foster children.
Do not include students living away at school. Let's begin with the oldest. PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2					

501-01-0004 SCQ v. 3.00 enum. other HH rels. SCQ130

Remarks E Delete Row HELP Turn On Pad DK RF Insert Row

This roster screen is intended to obtain the names of the household members who are related to the reference person. Notice the line "Do not include students living away at school". By adding this line, we hope to prevent the enumeration of students who may be thought of as living with their parents, but are actually living at school. Remember, we will administer the Screener to students at their residence at school.

The number of lines that will appear initially on this roster will equal the number of persons you have entered as living in the household in a previous question. You can add or delete lines using the INSERT ROW and DELETE ROW buttons at the bottom of the screen.

By "**related**," we mean all persons living in the household who are related to the reference person by blood, marriage, or adoption. This includes members of the immediate family, such as mother, father, son, daughter, as well as members of the extended family, such as granddaughter, grandson, uncle, aunt, niece, and nephew. Stepparents, stepchildren, daughters-in-law and sons-in-law are relatives through marriage and, therefore, should be considered as members of the same family. Although not

related by blood, marriage, or adoption, any foster children or godchildren of the reference person who are living in the household should be treated as part of the reference person's family.

Be sure the respondent includes himself/herself as one of the family members if s/he has not been listed as the reference person but is related to the reference person.

Persons in the Household Unrelated to the Reference Person

Are there any other persons not related to Julian Drake living in this household? (What are their names?)
 PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F

600-01-0006 SCQ v. 1.6 *enum. HH non-rels.* SCQ140

For purposes of the study, unrelated persons are considered as members of separate families. For example, a husband and wife, living with an unrelated caretaker and his wife, constitute two separate families. A family can consist of only one person.

You will ask a series of questions in the Relationship Questionnaire (see Section 4.2) to determine all relationships of persons in the household to the Reference Person and relationships of persons **not** related to the reference person to each other. If there are persons living in the household who are unrelated to the reference person, CAPI will group them into "family units." After you have completed the Screener and Relationship Questionnaire, CAPI will create a separate Family Questionnaire in your assignment for each family in the household containing at least one SP.

First Review of Household Membership Roster

I have 2 people living here ...
[READ NAMES LISTED BELOW.]

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2	DEBRA		QUINCE		F

501-01-0004 SCQ v. 3.00 *sweep intro.* SCQ145

E Delete Row Turn On Pad DK RF Insert Row

CAPI will display the names of each household member you have listed on the household membership roster as an introduction to the next question. Read the question as written inserting the names of all household members displayed by CAPI. Be sure to use the scroll arrow if necessary to view all the names listed.

"Household Membership "Sweep" Questions

Have I missed ...

... any babies or small children? Yes No

... any lodgers, boarders, or persons in your employ who live here? Yes No

... anyone who usually lives here but is now away from home? Yes No

... anyone else living or staying here? Yes No

600-01-0006 SCQ v. 1.6 *sweep kids* SCQ150

HELP Turn On Pad DK RF

This series of questions serves as a reminder to the respondent about persons who may have been overlooked.

Begin reading the first question by mentioning the names of all the household members you have recorded. If the respondent answers "YES" to any of these sweep questions and you determine that the person mentioned usually lives in the household, tap on the YES response and the household membership roster will appear. You will then use the INSERT tab to add a line to the roster and record the person's name and gender. Always probe for anyone else before continuing to the next question. When entering names of babies or small children, a probe will appear on the screen prompting you to ask for a **unique** name ("Junior," "Senior" or "the Third").

[Have I missed anyone else living or staying here?]
(What are their names?)
PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F

999-15-0008 SCQ v. 2.01 *enum. missed else* SCQ180N

Remarks E Delete Row Turn On Pad DK RF Insert Row ◀ ▶

*Insert Row
Confirm?*

Yes No

[Have I missed anyone else living or staying here?]
 (What are their names?)
 PROBE: Any others?

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JULIAN		DRAKE		M
2	PAULA		DRAKE		F
3	JEREMY		DRAKE		M
4	MELANIE		DRAKE		F
	ALLYSON		MARCUS		

999-15-0008 SCQ v. 2.01 *enum. missed else* SCQ180N











Reviewing the Household Roster

[VERIFY HOUSEHOLD MEMBERS BY READING NAMES LISTED BELOW.]

#	First Name	Middle Name	Last Name	Suffix	Gender
1	JANE		BANKS		F
2	DEBRA		QUINCE		F

501-01-0004 SCQ v. 3.00 enum. summary SCQ190

Remarks E Delete Row Turn On Pad DK RF Insert Row ◀ ▶

The intent of this interviewer instruction is to ensure the collection of complete listing of all household members during the initial screening. By summarizing/repeating the listing for the respondent, we hope to avoid Screener errors involving the correct listing of household members.

Read the names of all the household members displayed by CAPI. Be sure to use the scroll arrow to view all the names on the roster if you need to. If the respondent mentions another person at this point, probe to see if he or she usually lives in the household.

If an error is discovered (e.g., too many/few persons listed, gender incorrect), make the appropriate changes to the roster by using the INSERT ROW and the DELETE ROW tabs. After adding or deleting persons, read the members of the household again to the respondent to make sure you have listed all persons correctly. This question is extremely important in establishing household membership. Except in cases of clear interviewer error, no corrections can be made to the household composition after the initial screening.

If there is any doubt about a person's membership in the household, contact your supervisor before you continue with the Screener.

Identifying Persons With Other Homes

Do any of the persons in this household have a home anywhere else?
STUDENTS LIVING AWAY AT SCHOOL ARE CONSIDERED TO HAVE A HOME SOMEWHERE ELSE.

Yes
 No

501-01-0004 SCQ v. 3.00 *HH other home* *SCQ195*

Remarks Español HELP Turn On Pad DK RF ◀ ▶

This question is designed to verify that all persons recorded as residing in the household are household members as defined in Section 4.1.3.6. The interviewer instruction is designed to clarify how to treat students away at school, if they have been enumerated. If you receive a "YES" response to this question ("have other home"), CAPI will display a list of all person in the household with a column labeled OTHER HOME and prompt you to ask, "Who is that?"

(Who is that?)
 SELECT MEMBERS WITH HOME ELSEWHERE.
 PROBE: Anyone else?

Name	Other Home
Julian Drake	
Paula Drake	Yes
Jeremy Drake	No
Melanie Drake	
Allyson Marcus	

600-01-0006 SCQ v. 1.6 *pers. other home* SCQ200

Remarks HELP Turn On Pad DK RF ◀ ▶

Enter a "YES" in the corresponding field for each person who has been identified as having another home. CAPI will automatically fill the response field for those persons who do not have another home with a response of "NO."

Where does Eduardo Aguila-Rodrigas usually live and sleep; here or somewhere else?

Name	Live Here
Raul Aguila-Rodrigas	HERE
Eduardo Aguila-Rodrigas	

601-01-0001 SCQ v. 1.7 *military livehere* SCQ240

English HELP Turn On Pad DK RF ◀ ▶

CAPI will then display a question to determine where each person you have recorded as having another home usually lives and sleeps. The responses for the column LIVE HERE will be blank for each person. You will have two response options: "HERE" and "SOMEWHERE ELSE." **Ask this question and enter responses for each appropriate person.** If you determine that any person you have recorded as having another home usually lives and sleeps somewhere else, enter "SOMEWHERE ELSE"

for that person. This will automatically eliminate the person from the household roster and the remainder of the questions.

Military Status

Are any of the persons in this household now on full-time active duty with the Armed Forces of the United States?

Yes

No

600-01-0006 SCQ v. 1.6 HH military SCQ220

Turn On Pad DK RF

This question is asked in all households, regardless of the household members' age or gender.

"Active duty in the Armed Forces" means full-time active duty in the U.S. Army, Navy, Air Force, Marine Corps, or Coast Guard, and any National Guard unit presently activated as part of the regular Armed Forces. Included in "active duty" is the 6-month period a person may serve in connection with the provisions of the Reserve Forces Act of 1955.

Do not count the following persons as members of the Armed Forces:

- Persons working in civilian positions for the Armed Forces;
- Persons serving in the Merchant Marine;
- Persons in a National Guard unit not activated as part of the regular Armed Forces;
- Civilians who train only part time as reservists; and
- Persons who are in any reserve component of the Armed Forces but who only attend weekly reserve meetings, summer camp, or the like.

(Who is that?)
 PROBE: Anyone else?
 SELECT ACTIVE MILITARY MEMBERS.

Name	Military
Julian Drake	<input type="checkbox"/>
Paula Drake	<input type="checkbox"/>
Jeremy Drake	<input type="checkbox"/>
Melanie Drake	<input type="checkbox"/>
Allyson Marcus	<input type="checkbox"/>

600-01-0006 SCQ v. 1.6 *pers. military* SCQ230

If you receive a "YES" response to the military question, CAPI will display a list of all persons in the household with a column labeled MILITARY, and prompt you to ask, "Who is that?" For each person identified, enter a "YES" response. CAPI will automatically fill a response of NO for those persons who are not on full time active duty with the military.

CAPI will then display a question to determine where the person usually lives and sleeps. The responses for the column labeled LIVE HERE will be blank. For each person you are required to enter one of two response options: HERE and SOMEWHERE ELSE. If you determine that any person you have recorded as active military usually lives somewhere else, select the response SOMEWHERE ELSE for that person.

Information about military status and where a person in the military usually lives is essential for determining whether the Armed Forces member may be a reference person or family head, which is possible if the person lives at home (even though s/he cannot be an SP). [See item (4) under household member—Section 4.1.3.6.] An active military person who usually lives somewhere else is not considered a member of the household and will automatically be removed from the household membership roster.

Interviewer Review Household Composition

THESE ARE THE MEMBERS OF THE DU WHO HAVE BEEN LISTED AS HH MEMBERS.

Name	Gender
Julian Drake	M
Paula Drake	F
Jeremy Drake	M
Melanie Drake	F
Allyson Marcus	F

600-01-0006 SCQ v. 1.6 *HH summary* *SCQ250*

Remarks HELP Turn On Pad ◀ ▶

CAPI displays a list of all persons you have entered as household members for your review. This list need not be read to the respondent unless you have any doubt about a person's household membership. Review the entries to be sure that you have the correct listings. If you need to change the recording of a name or gender, or if you need to add or delete a person from the roster at this point, you must back up to one of the questions containing a household membership roster to make the correction using the INSERT ROW or DELETE ROW buttons at the bottom of the screen.

In asking the entire set of household composition questions, you may learn that your original ordering of household members was incorrect.

If the person on the first line was deleted because he or she is not a household member, s/he is no longer considered the "reference person." For example, if person 1 is in the Armed Forces and does not live at home, CAPI will consider the next household member 18 years of age or older listed on the roster as the reference person.

4.1.3.6 Ethnicity and Race Questions

SHOW CARD 1..

Do any of the groups on this card represent Julian Drake's national origin or ancestry?
 IF "YES", PROBE: Which group?

Name	Ethnicity
Julian Drake	
Paula Drake	
Jeremy Drake	
Melanie Drake	
Allyson Marcus	

600-01-0006 SCQ v. 1.6 ethnicity SCQ260

Remarks HELP Turn On Pad DK RF

SHOW CARD 1..

Do any of the groups on this card represent Julian Drake's national origin or ancestry?
 IF "YES", PROBE: Which group?

Name	Ethnicity
Julian Drake	
Paula Drake	Mexican-American or Mexican
Jeremy Drake	Other Hispanic or Latino
Melanie Drake	Both Mexican & Other Hispanic
Allyson Marcus	Not Hispanic

600-01-0006 SCQ v. 1.6 ethnicity SCQ260

Remarks HELP Turn On Pad DK RF

It is very important to accurately obtain for each household member whether s/he belongs to one of the Hispanic groups listed on Show Card 1 illustrated below. Since Mexican-Americans/Mexicans are one of the special target groups for this study, this series is particularly interested in identifying persons who classify themselves as such.

National Origin and Ancestry is the national or cultural group from which the person is descended, as determined by the nationality or lineage of a person's ancestors. There is no set rule as to

how many generations are to be considered in determining origin. A person may report his/her origin based on a parent, grandparent, or some far removed ancestor.

<p>Show Card 1. Mexican Mexican-American Other Hispanic or Latino</p>

Note the following definitions for Show Card 1.

1. Mexican and Mexican American refer to anyone of Mexican birth or descent. They refer to anyone who may call themselves "Mexican, Mexican American, Chicano or Tex-Mex."
2. Other Hispanic or Latino refers to anyone who says they were born in or had ancestors from Spain or one of the western hemisphere territories or countries (excluding Mexico) where Spanish is the primary language (e.g., Puerto Rico, Nicaragua, El Salvador, Dominican Republic, Colombia, Peru, etc.).

Begin this question by showing Show Card 1 to the respondent and allowing the respondent to indicate if any group on the card represents the household member's national origin or ancestry. If the household member is Hispanic, code the response that corresponds to the particular group named by the respondent.

3. Both Mexican and Other Hispanic or Latino refers to anyone who says that they are of Mexican descent and are also Other Hispanic or Latino. (For example: "My mother is from Mexico and my father is from Puerto Rico, so I am both Mexican and Puerto Rican.") Note that in this instance the person will be classified as Mexican American/Mexican for sampling purposes.
4. Not Hispanic refers to anyone who is not Mexican, Mexican American or Other Hispanic or Latino.

ASK IF NECESSARY: CODE ALL.

What Latin American or Spanish country does Allyson Marcus or Allyson Marcus's ancestors come from?

PROBE IF NECESSARY: Which country best represents Allyson Marcus's main national origin or ancestry.

IF CATEGORY/COUNTRY NOT LISTED, CODE "NOT HISPANIC".

Allyson Marcus	<ul style="list-style-type: none"> Argentina Bolivia Chile Colombia Costa Rica Cuba
----------------	---

600-01-0006 SCQ v. 1.6

Remarks HELP Delete Row Turn On Pad

If a household member is identified as only "Other Hispanic or Latino," a probe question will appear for the specific nationality or country of origin. Tap on the arrow key within each response field to see a comprehensive list of countries in alphabetical order for selection.

If the respondent has trouble selecting **one** country, use the probe that appears on the screen: "Which country best represents your **main** national origin or ancestry?" If the respondent still cannot choose one country, CAPI will allow for multiple entries to this question. In this case you are required to add another "ethnicity" row for the person by using the INSERT ROW button.

Also note that "Mexico" is one of the countries on this list. If indeed the respondent says "Mexico," the person will be classified as Mexican American/Mexican for sampling purposes.

If the respondent mentions a country that **is not** on the list, select the response category NOT HISPANIC. This category appears at the end of the list. In this instance, the respondent will be classified as "Not Hispanic" for sampling purposes.

CAPI requires that you ask the ethnicity question for each person before moving on to the next person.

Ethnicity Review Screen

Ethnicity information is critical to sampling. It is extremely important that ethnicity information, as reported by the respondent, is entered correctly. CAPI will list the ethnicity you have entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about ethnicity and change your entry.

WARNING: REVIEW ETHNICITY FOR EACH PERSON!
SAMPLING ALGORITHM WILL BE APPLIED.

Name	Ethnicity
Julian Drake	Not Hispanic
Paula Drake	Not Hispanic
Jeremy Drake	Not Hispanic
Melanie Drake	Not Hispanic
Allyson Marcus	Other Hispanic or Latino

600-01-0006 SCQ v. 1.6 ethnicity: summary SCQ262

Remarks HELP Turn On Pad

Race Questions

SHOW CARD 2.
What race do you consider Julian Drake to be?
Select one or more.

Julian Drake

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White
- Other

600-01-0006 SCQ v. 1.6 race SCQ270







Remarks HELP Turn On Pad DK RF

This question is asked of all household members. Race is based on identification **by the respondent**. Hand the respondent Show Card 2. Remember to read the **entire** question, including the phrase "select one or more." Do **not** suggest answers to the respondent and do **not** try to explain or define any of the groups. Check the response that corresponds to the person's race. If multiple races are mentioned, check all reported.

CAPI requires that you ask the race question for each person and tap the "Next" button before moving on to the next person.

Race Review Screen

Race information is critical to sampling. It is extremely important that race information, as reported by the respondent, is entered correctly. CAPI will list the race(s) you have entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about race and change your entry.

WARNING: REVIEW RACE FOR EACH PERSON! SAMPLING ALGORITHM WILL BE APPLIED.	
Julian Drake	<input checked="" type="checkbox"/> Black or African American
Paula Drake	<input checked="" type="checkbox"/> Black or African American
Jeremy Drake	<input checked="" type="checkbox"/> Black or African American
Melanie Drake	<input checked="" type="checkbox"/> Black or African American
Allyson Marcus	<input checked="" type="checkbox"/> White
600-01-0006	SCQ v. 1.6
race summary	
SCQ271	
	
	
	

4.1.3.7 Birth Date and Age

Ask for each household member's birthdate. You should use the appropriate drop down list to enter responses in this screen. (Note: Turn off your key pad first.) Select the month, day, and year from the drop down list. If you cannot get the exact date, enter the approximate date. If only the year is known, enter "DK" for both month and day, then enter the year.

If month, day, and year of birth have been entered, CAPI will calculate and display the person's age based on the birthdate information you have entered. Since age is one of the sampling criteria, CAPI requires you to verify this age with the respondent.

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
2	Paula Drake	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
3	Jeremy Drake	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
4	Melanie Drake	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
5	Allyson Marcus	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>

600-01-0006 SCQ v. 1.6 *DOB* SCQ290

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
2	Paula Drake	Jan Feb Mar	
3	Jeremy Drake	Apr May Jun	
4	Melanie Drake	Jul Aug Sep	
5	Allyson Marcus	Oct Nov Dec	

600-01-0006 SCQ v. 1.6 *DOB* SCQ290

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	May / [] / []	
2	Paula Drake	/ [] / []	
3	Jeremy Drake	/ [] / []	
4	Melanie Drake	/ [] / []	
5	Allyson Marcus	/ [] / []	

1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad DK RF

What is Julian Drake's birthdate?

#	Name	DOB	Age Yrs
1	Julian Drake	May / 12 / []	
2	Paula Drake	/ [] / []	199
3	Jeremy Drake	/ [] / []	198
4	Melanie Drake	/ [] / []	197
5	Allyson Marcus	/ [] / []	196

195
194

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad DK RF

What is Julian Drake's birthdate?

#	Name	DOB			Age Yrs
1	Julian Drake	May	12	193	
2	Paula Drake				0
3	Jeremy Drake				1
4	Melanie Drake				2
5	Allyson Marcus				3
					4
					5

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad

So Julian Drake is age 68?
IF NECESSARY, RE-ENTER CORRECT AGE.

#	Name	DOB			Age Yrs
1	Julian Drake	May	12	1930	68
2	Paula Drake				
3	Jeremy Drake				
4	Melanie Drake				
5	Allyson Marcus				

600-01-0006 SCQ v. 1.6 DOB SCQ290

Remarks HELP Turn On Pad DK RF

CAPI will allow you to change the age entered in this field. When this happens, CAPI will display a message indicating that the date of birth is being changed and will automatically recalculate the date of birth to correspond to the age change.

The date of birth year is being changed.

OK

If you have any doubt about birthdate or age information, reconcile your entries with the respondent before you continue. If the respondent does not know the person's birth date, but only his/her age, enter DK for the month day and year. CAPI will then prompt you to enter the person's age. Note if CAPI does not **calculate** the person's age, you will have to use the alpha keypad on the CAPI screen to enter the age.

In rare instances the respondent may not know one of the household members birthday **or** age. In this case DKs should be entered in each response field (month, day, year, and age). CAPI will then display a range of ages for selection.

About how old is Raymond Terez?
IF AGE IS LESS THAN 12 MONTHS, ENTER "0".

#	Name	DOB			Age Yrs
1	Albert Holms	Jul	18	1972	26
2	Raymond Terez	DK	DK	DK	DK
3	Jeffrey Goth				

0-11 mn
1-2 yr
3-5 yr
6-11 yr
12-15 yr

601-01-0005 SCQ v. 1.7 DOB S

Remarks Español Turn On Pad DK RF

These ranges will vary based on the sampling criteria for that case. Since sampling is in part based on age, CAPI requires you to select an age range at this point in order to continue with the interview. Ask the respondent to make his/her best "age range" guesstimate.

Age Review Screen

WARNING: REVIEW AGE FOR EACH PERSON! SAMPLING ALGORITHM WILL BE APPLIED.		
Name	Age	Range
Julian Drake	68	
Paula Drake	64	
Jeremy Drake	19	
Melanie Drake	3	
Allyson Marcus	19	

600-01-0006 SQ v. 1.6 *age summary* *SCQ301*

Remarks HELP Turn On Pad ◀ ▶

Age information is critical to sampling. It is extremely important that age information, as reported by the respondent, is entered correctly. CAPI will list the age (or ranges) you entered for each person. This should not be read to the respondent unless you have any doubt about a person's response. Review the entries to be sure you have entered them correctly. If you find you have made an error in one of your entries, you must back up to the screen containing the question about age and change your entry.

Note: If you have entered an age range, the age you see displayed in CAPI will be the number that is the low end of the range.

4.1.3.8 Pregnancy Question

Another special target group for this NHANES is pregnant women. If you have recorded one or more females between the ages of 15 and 39 living in the household, CAPI will display a final question on pregnancy before once again applying the sampling criteria to the case.

If you receive a "YES" response to this question, CAPI will display a list of all females in this age category with a column labeled PREGNANT and prompt you to ask, "Who is that?" The responses in these field are blank. For each person identified as pregnant, select a "YES" response.

Note: You are not required to enter "NO" for those persons who are not pregnant.

Is anyone in the household pregnant?
 IF NECESSARY: We ask this question because the study is interested in collecting information about the nutritional habits of pregnant women.

Yes
 No

600-01-0006 SCQ v. 1.6 *HH pregnant* *SCQ302*

(Who is that?)
 SELECT PREGNANT MEMBERS.

Name	Pregnant
Allyson Marcus	<input type="button" value="Yes"/> <input type="button" value="No"/>

999-15-0008 SCQ v. 2.01 *pers. pregnant* *SCQ303*

4.1.3.9 Sampling

This section describes CAPI procedures for selecting SPs. As noted earlier, there are multiple sampling criteria for this study—gender, ethnicity, race, age, pregnancy status, and in some instances, income. At certain points in the Screener, CAPI applies these criteria. Overall, think of sampling during the Screener as a two-step process:

1. After the household roster is completed (persons name and gender), CAPI applies the sampling criteria to determine if any person in the household has a chance of being selected as an SP based on **gender**. If at that point no one has a chance of being selected, CAPI will skip to the ending questions in the interview. An example of this is when the sampling criteria requires that only females are selected and the household is made up of all males.
2. CAPI also applies the sampling criteria after the **ethnicity, race, and age** questions are asked. If at that point no one in the household has a chance of being selected (for example, the sampling criteria requires that only blacks be selected and the entire household is white), CAPI will skip to the ending questions in the interview.

4.1.3.10 Income

Thinking about all sources of income, please tell me whether the total income received by the members of this household during the last 12 months -- that is from December 1998 to November 1999 -- was more or less than \$14,378?
IF INCOME EQUAL TO \$14,378 CODE "LESS".

More
 Less

501-01-0004 SCQ v. 3.00 HH low income SCQ340

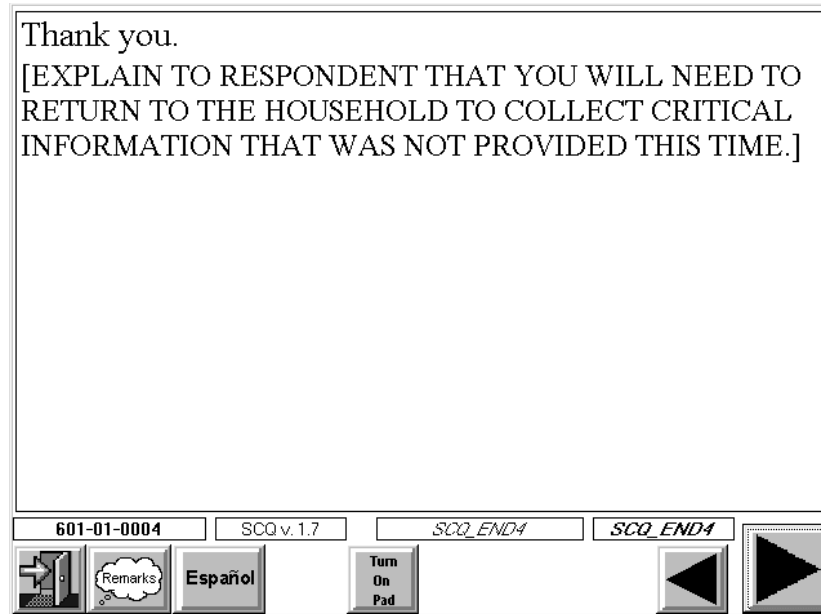
Remarks Español Turn On Pad DK RF

This question is only asked if the household has been selected for income sampling and members of the household are in specific age and gender categories. The dollar amount that appears in the text of the question is calculated by CAPI based on the number of household members. If the question answer is "more", then no one in the HH is sampled based on income. If the question answer is "less", then any household member in the age and gender categories specified in the income sampling message who have not already been sampled will be sampled. If the respondent refuses or doesn't know the answer to the low income question, CAPI checks to see if there are any children under 6 years old and no males in the household 18 years old or older. If both of these conditions are met, CAPI samples household members who meet the income sampling criteria.

4.1.3.11 Sample Person Selection

If no SPs have been selected, CAPI will display the ending questions for the Screener. If SPs have been selected, CAPI will display a message similar to the one below.

If any key sampling information is missing (either because the respondent does not know or has refused the information), CAPI will display a message indicating to you and the respondent that you will be required to return to the household to obtain this information before CAPI applies the sampling criteria. The Screener cannot be finalized until all key information is obtained. See below.



4.1.3.12 Recontact Questions (Mailing Address and Phone Number)

Mailing Address

Is Julian Drake's mailing address the same as his street address?

Yes
 No

600-01-0006 SCQ v. 1.6 mail addr. y/n SCQ420

Remarks HELP Turn On Pad DK RF

Please give me Julian Drake's complete mailing address?

19907 DREXEL HILL CR

Dir Pre Street Name st/rd/ave Dir Post Apt

GAITHERSBURG MD 20879-

PO Boxno RR# RR Box City State Zip

600-01-0006 SCQ v. 1.6 mail addr. correct SCQ425

Remarks HELP Turn On Pad DK RF

You will verify that the address recorded for this dwelling unit is also the mailing address. If so, code YES. If it is not, code NO, and CAPI will display an additional screen that allows you to enter a new mailing address. As on the street address screen, the cursor rests on the Street #. This is because you will not use the “Additional Address Line” field very often. Remember, this line is for additional address information such as the name of a dormitory or apartment building.

In whose name is the telephone listed?
 SELECT NAME FOR TELEPHONE LISTING FROM
 HOUSEHOLD ROSTER

Name

- Julian Drake
- Paula Drake
- Jeremy Drake
- Melanie Drake
- Allyson Marcus
- Janet Marcus

999-15-0008

400a

Remarks Español On Pad

The purpose of the question above is to obtain the household telephone number and the name of the person it is listed under. Ask this question in all households, regardless of whether SPs are selected from this household. Notice there is a check box for "NO PHONE." If you enter a phone number, CAPI displays a question to determine in whose name the telephone is listed. CAPI allows you to pick the name under which the phone number is listed from a list of family members or you may select the option "NOT ON LIST" or "UNLISTED." Be sure to select the name of the person in whose name the telephone is listed with the telephone company.

Is there another number where you can be reached?

Phone # () -

Ext

601-01-0001 SCQ v. 1.7 other phone SCQ460

Remarks Español Turn On Pad DK RF

If the family does not have a phone or if phone number is refused, another question will appear asking the respondent for another phone where s/he can be reached and the location of that phone.

Note: If there is no other phone where the respondent can be reached, CAPI requires that you use the "DK" or "RF" button in this field before moving forward. Notice that you can check the "NO PHONE" option.

The screenshot shows a software interface with a large text input field at the top containing the question "Where is that telephone located?". Below this field is a dropdown menu that is open, displaying five options: "WORK", "RELATIVE'S HOME", "NEIGHBOR'S HOME", "MOBILE PHONE", and "OTHER". At the bottom of the interface, there are several control elements: a text box containing "999-15-0008", a "Remarks" icon, a language selector set to "Español", an "On Pad" button, and buttons for "DK" and "RF". To the right of these buttons are two navigation arrows (left and right) and a text box containing "SCQ461".

The next screen asks for the location of this other phone.


4.1.3.13 Thank You Screen

Thank you. This household has eligible survey participants.
[READ NAMES BELOW]
[IF APPROPRIATE, EXPLAIN PARTICIPATION IN STUDY TO RESPONDENT.]

Name	Gender	Age
Julian Drake	M	68
Paula Drake	F	64
Jeremy Drake	M	19
Melanie Drake	F	3

600-01-0006 SCQ v. 1.6 SCQ_END? SCQ_END?

Remarks HELP Turn On Pad



The last screen provides a closing statement to be read to the respondent. The text of this closing statement will vary depending on the respondent's answers. If SPs have been selected, CAPI will also display each SP's name.

4.2 The Relationship Questionnaire

Only eligible households (households in which there is at least one SP) will be asked a set of relationship questions. These questions are designed to determine individual household member relationship to the Reference Person and relationships to each other.

The intent of this questionnaire is to divide all household members into individual family units for the purpose of administering the Family Questionnaire. In NHANES, the definition of a family is as follows: An individual or a group of two or more related persons who are living together in the same household; for example, the Reference Person, his/her spouse, foster son, daughter, son-in-law, and their children and the wife's uncle. Also, unmarried couples are considered as belonging to the same family. Additional groups of persons living in the household who are related to each other, but not to the reference person, are considered to be separate families; for example, a lodger and his/her family, or a household employee and his/her spouse, or a single boarder with no one related to him/her living in the household. Hence, there may be more than one family living in the household and a family can consist of only one person.

Note: If the household consists of only 1 person, CAPI will automatically code the Relationship questionnaire as complete and no relationships questions will be asked.

For each separate family (i.e., unrelated to the reference person), a head of the family is determined. All household members related by blood, marriage, or adoption to the head of this separate family are family members.

Examples of Various Household Compositions

Example #	Reference Person	Other household members	# of separate family units
1	Husband	Wife, two sons	1
2	Mother	Son, daughter, daughter's husband and child	1
3	Grandmother	Granddaughter, niece, and roomer	2
4	Roommate #1	Roommate #2, roommate #3	3

Example 1 is straightforward. All household members are related to the reference person, therefore, there is only one family (Family #1) in the household.

Example 2 is also only one family. Even though the daughter's family (her husband and child) live in the household, they are still all related to the reference person and should be considered one family.

In Example 3, there are two separate family units. Family #1 is the grandmother, her granddaughter, and niece. Family #2 is the roomer. Since the roomer is unrelated to the reference person, s/he is considered a separate family, even though it is only one person.

In Example 4, there are three families. Since all three roommates are unrelated, they each constitute a separate family (Family #1, Family #2, and Family #3).

4.2.1 Completion Order for Relationship Questionnaire

The Relationship Questionnaire screens are similar to those used in the Screener in that it is designed to be easily administered "at the door step." Except in **rare** circumstances, this short questionnaire should be asked **directly** after the Screener. CAPI will facilitate this process by providing the opportunity to move directly into the Relationship Questionnaire after the last question in the Screener is answered. An example of the screen facilitating this process appears on the next page.

NOTE: If you have conducted the Screener questionnaire at the door and have found eligible SPs, you know that you will need to conduct a number of additional questionnaires. At this point, we suggest that you **TRY** to continue with the remainder of the interviews, but move to a more comfortable interview setting inside the home.

PERFORM THE RELATIONSHIP INTERVIEW AT THIS TIME?

Yes

No

600-01-0006 SCQ v. 1.6 *Do SFQ now?* *FSQCONT*

In rare circumstances the Relationship Questionnaire can be administered during another interview session after the Screener is completed. For example, you may complete the Screener on Monday and return to the household the following day to complete the Relationship Questionnaire and the appropriate extended questionnaires (SP and Family). However, the Relationship Questionnaire must be finalized (completed, refused, etc.) **before any extended questionnaires are administered** in the household.

No SP or Dust Collection Questionnaire will be created in CAPI until the Relationship Questionnaire is accessed and either completed or otherwise finalized. This means the SP and Dust Collection Questionnaires will not appear on your case list until you finalize the Relationship Questionnaire. If you do not finish the Relationship Questionnaire, CAPI will display the screen below.

BYPASS AND FINALIZE THE RELATIONSHIP QUESTIONNAIRE IN ORDER TO COMPLETE THE SP QUESTIONNAIRE(S)? WARNING: IF YOU CHOOSE "YES", NO FAMILY QUESTIONNAIRES WILL BE CREATED FOR THIS CASE.			
<div style="background-color: black; color: white; padding: 10px; display: inline-block;"> <input type="radio"/> Yes <input type="radio"/> No </div>			
999-07-0015	SFQ v. 2.01	Finalize Module 2	FINMOD2
Remarks	Español	Turn On Pad	▶

If you choose to the YES option at this screen, you may continue with the SP Questionnaire(s), however, no Family Questionnaire will be created for the household.

4.2.2 Eligible Respondent for the Relationship Questionnaire

An eligible respondent for the Relationship Questionnaire must be a knowledgeable household member at least 18 years old or an emancipated minor (see Section 4.1.2). Since the Relationship Questionnaire should normally be administered directly after the Screening, an eligible respondent will most often be the same household member who answered the Screener interview.

4.2.3 Specifications for the Relationship Questionnaire

4.2.3.1 Relationship of All Household Members to the Reference Person

What is Paula Drake's relationship to Julian Drake ?

Relationship

600-01-0006 SFQ v. 1.6 Pick relationship to SFQ10,70

Remarks HELP Turn On Pad DK RF

What is Paula Drake's relationship to Julian Drake ?

Relationship

SPOUSE (HUSBAND/WIFE)
UNMARRIED PARTNER
CHILD (BIOLOGICAL/ADOPTIVE/IN-LAW/STEP/F
CHILD OF PARTNER
GRANDCHILD
PARENT (BIOLOGICAL/ADOPTIVE/IN-LAW/STEP

600-01-00

What is Paula Drake's relationship to Julian Drake ?

Relationship

- BROTHER/SISTER (BIOLOGICAL/ADOPTIVE/IN-LAW)
- GRANDMOTHER/GRANDFATHER
- AUNT/UNCLE
- NIECE/NEPHEW
- OTHER RELATIVE
- HOUSEMATE/ROOMMATE

600-01-00

Rema

In this first series, you will record the relationship of all household members to the household reference person. The household reference person is the first household member, 18 years of age or older, listed on the Screener household member roster (the first person mentioned in the Screener who owns or rents the house).

Always read the question that appears on the screen exactly as it is written. "What is Jim's relationship to Alice?" (husband) is very different than "What is Alice's relationship to Jim?" (wife).

Relationships are generally reported based on self-identification. That is, the respondent selects the appropriate answer category from the options listed on the Hand Card.

There are 17 relationship categories. All categories are defined on the HELP screen in CAPI and in the Glossary (Chapter 15). When coding relationships, keep in mind the following points:

- All persons listed must be identified by their relationship to the reference person. If the respondent has already given you the relationship of the household members, you may record the relationship without asking. However, this information **must be verified**. Remember, we are interested in the relationship to the **reference person** and not necessarily to the respondent.
- For unmarried couples living together, ask about relationships and accept the response given, such as husband, wife, or partner. Keep in mind that this study expands the definition of related to accommodate partner relationships.
- The study is not interested in obtaining specific relationships other than the ones listed above. For example, if Johnny is the reference person's cousin, Johnny's relationship to the reference person should be coded as OTHER RELATIVE.

- The definition of "related" extends to everyone related to the reference person (blood, marriage, or adoption) either directly or through another relationship. Consider the example below.

David (reference person) and Karen are married. Johnny is Karen's brother and Mary is Karen's niece. Pete is Mary's cousin.

Karen's relationship to David = Spouse
 Johnny's relationship to David = Brother (in-law)
 Mary's relationship to David = Niece
 Pete's relationship to David = Other relative

Degree Questions

If you have entered a household member's relationship to the reference person as "Child", "Parent" or "Brother/Sister", you will ask the respondent to further specify the **degree** or the **kind** of relationship that exists between the Reference Person and the household member. For example:

Example: Jeremy Drake is Reference Person's (Julian Drake) son

Is Jeremy Drake, Julian Drake's biological (natural), adoptive, step, foster son or son-in-law?

BIOLOGICAL (NATURAL) SON

ADOPTIVE SON

STEP SON

FOSTER SON

SON-IN-LAW

600-01-0006
SFQ v. 1.6
Type of kid relation-son
SFQ20,80

▶
Remarks
HELP

Turn On Pad
DK
RF

◀
▶

Example: Lupita is Reference Person's (Tony Ramos) mother

Is Lupita Quintero, Tony Ramos's biological (natural), adoptive, step, or foster parent or mother-in-law?

BIOLOGICAL (NATURAL) PARENT
 ADOPTIVE PARENT
 STEP PARENT
 FOSTER PARENT
 MOTHER-IN-LAW

600-01-0007 SFQ v. 1.6 *Type of relation-mother* SFQ 30, 90

Remarks HELP Turn On Pad DK RF

Example: Nancy Ramos is Reference Person's (Tony Ramos) Sister

Is Nancy Ramos, Tony Ramos's full, half, adoptive, step, or foster sister or sister in-law?

FULL SISTER
 HALF SISTER
 ADOPTED SISTER
 STEP SISTER
 FOSTER SISTER
 SISTER-IN-LAW

600-01-0007 SFQ v. 1.6 *Type of relation-sister* SFQ 40, 00

Remarks HELP Turn On Pad DK RF

4.2.3.3 Questions for Individuals Who Are Not Related to the Reference Person

Persons living in the household who are **not** related to the reference person are interviewed as separate families. For example, the Jones family has a lodger and his wife who rent a room in their home. If either the lodger or his wife is an SP, they will be treated as a separate family and administered a separate Family Questionnaire. CAPI will automatically divide people who are unrelated to the reference person into separate families using the responses to questions in the Relationship Questionnaire.

If there is more than one person in the household who is unrelated to the reference person, CAPI will present a series of questions to determine how these individuals should be grouped.

Consider the following example. Julian and Jeremy Drake and their daughter, Melanie, live at 54 Elm Street. Janet, Tamie and Allyson Marcus are sisters who rent rooms within the Drake household. Julian Drake is the reference person.

Now I would like to talk about those persons in the household who are not related to Julian Drake .
Is Allyson Marcus related to anyone in the household?

Yes
 No

999-15-0008 SFQ v. 2.01 *Talk to non-related-* SFQ050
 [Home] [Remarks] [Español] [Turn On Pad] [DK] [RF] [Left Arrow] [Right Arrow]

Who is Allyson Marcus related to?

Name	Rel.
Paula Drake	<input type="checkbox"/>
Jeremy Drake	<input type="checkbox"/>
Melanie Drake	<input type="checkbox"/>
Janet Marcus	<input checked="" type="checkbox"/>
Tamie Marcus	<input checked="" type="checkbox"/>

999-15-0008 SFQ v. 2.01 SFQ060
 [Home] [Remarks] [Español] [HELP] [Turn On Pad] [Left Arrow] [Right Arrow]

The relationship categories that appear for these persons are defined exactly as in the initial relationship questions (see Section 4.2.3.1). In this example, Janet and Allyson would constitute a separate family because they are not related to Mr. and Mrs. Drake but they **are** related to each other.

4.2.3.4 Parent-Child Relationships

Next you will identify any parent-child relationships that may exist. Of course, some of these relationships may have already been identified. For example, if the Household Reference Person has any children, a parent-child relationship was identified when you entered the relationship of the child. Therefore, CAPI will not display any questions regarding that particular parent-child relationship. Other parent-child relationships can be inferred. For example, if the Reference Person has a spouse, it is reasonable to assume that there is some degree of parent-child relationship between the Reference Person's child and spouse.

The question shown on the next page is used when the Reference Person has both a spouse or partner and a child. The instrument will make the connection that there is some degree of parent-child relationship between the Reference Person's spouse and child.

I recorded that Paula Drake is the mother of Jeremy Drake.
Is Jeremy Drake her biological, adoptive, step, foster child, son-in-law or a non relative of Paula Drake?

BIOLOGICAL CHILD
 ADOPTIVE CHILD
 STEP CHILD
 FOSTER CHILD
 SON-IN-LAW
 NON-RELATIVE

600-01-0006 SFQ v. 1.6 Type of child of SFQ110a

Remarks HELP Turn On Pad DK RF ◀ ▶

The screens shown below and on the next page are used to identify parent-child relationships that don't include the Reference Person or that cannot be inferred by CAPI based on answers to previous relationship questions.

Is Eduardo Aguilera-Rodrigas's mother a household member?
[Include mother-in-law]. IF OBVIOUS, VERIFY
ONLY. CHOOSE MOTHER OVER MOTHER-IN-LAW IF
BOTH PRESENT.

- YES - MOTHER IN HOUSEHOLD
- NO - MOTHER NOT IN HOUSEHOLD
- LEGAL GUARDIAN IN HOUSEHOLD

601-01-0001 SFQ v. 1.7 *Person mother a HH* SFQ120

Home Remarks Español HELP Turn On Pad DK RF Left Arrow Right Arrow

Who is that ? [SELECT PERSON FROM HOUSEHOLD
MATRIX].

Name	
Linda Ledesma-Rayes	<input checked="" type="checkbox"/>
Blanca De La Puenta	<input type="checkbox"/>

601-01-0001 SFQ v. 1.7 *Who is mother* SFQ130

Home Remarks Español Turn On Pad Left Arrow Right Arrow

Is Eduardo Aguila-Rodrigas's father a household member? [Include father-in-law].
 IF OBVIOUS, VERIFY ONLY.
 CHOOSE FATHER OVER FATHER-IN-LAW IF BOTH PRESENT.

YES - FATHER IN HOUSEHOLD
 NO - FATHER NOT IN HOUSEHOLD
 LEGAL GUARDIAN IN HOUSEHOLD

601-01-0001 SFQ v.1.7 *Father a HH member* SFQ150

Español HELP Turn On Pad DK RF

Who is that ? [SELECT PERSON FROM HOUSEHOLD MATRIX].

Name	
Raul Aguila-Rodrigas	<input checked="" type="checkbox"/>
Pedro Ledesma-Rayes	<input type="checkbox"/>
Alberto De La Puenta	<input type="checkbox"/>

601-01-0001 SFQ v.1.7 *Who ?* SFQ160

Español Turn On Pad

The questions above will be asked only if a person's father or father-in-law has not already been identified, and there is at least one female in the family that is at least 12 years old or older. The roster will only contain the females in the household who are at least 12 years old. Enter code 3 (LEGAL GUARDIAN) if the person has no mother in the household, but does have a legal guardian.

The questions above will be asked only if a person's father or father-in-law has not been identified, and there is at least one male in the family that is at least 12 years old or older. The roster will only contain the males in the household that are at least 12 years old. Enter code 3 (LEGAL GUARDIAN) if the person has no parent in the household, but does have a legal guardian.

4.2.3.5 Marital Status

You will determine **current** marital status for each person in the household **14 years of age or older**. You will usually know this by the time you get to this item, so you can simply verify this information with the respondent in most cases. If there is any doubt, however, ask. If a family member is either married or living with a partner, you will ask if they live in the household and who they are, the spouse or partner, thus identifying marital relationships. Note: These questions will not be asked if marital relationship for all household members have been recorded or inferred from answers to previous questions.

The screenshot shows a CAPI interface for a marital status question. The question text is: "Is Jesus Rodrigas now married, widowed, divorced, separated, never married or living with a partner?". Below the question is a list of six radio button options: MARRIED, WIDOWED, DIVORCED, SEPARATED, NEVER MARRIED, and LIVING WITH PARTNER. The "MARRIED" option is selected. At the bottom of the screen, there is a control bar with several elements: a box containing "601-01-0009", a box containing "SFQ v.1.7", a box containing "Person married", and a box containing "SFQ180". To the right of these boxes are several buttons: a "Remarks" button with a speech bubble icon, an "Español" button, a "HELP" button, a "Turn On Pad" button, a "DK" button, an "RF" button, and two navigation arrows (left and right).

4.2.3.6 Ending the Relationship Questionnaire—Entering Respondent Information

At the end of the Relationship Questionnaire, CAPI prompts you to select the name of the person who responded to the questions from the list of persons in the household and to enter information about an interpreter if one was used. These screens appear on the next page.

Note: These screens may appear twice; once for the Screener and once for the Relationship Questionnaire if they were administered on separate occasions.

SELECT RESPONDENT FOR THE SCREENER MODULE II
-- HOUSEHOLD RELATIONSHIPS

Respondent

- Julian Drake
- Paula Drake
- Jeremy Drake
- Melanie Drake
- Allyson Marcus
- Janet Marcus

999-15-0008 SFQ v. 2.01

Remarks Español On Pad

WAS INTERPRETER USED?

Yes

No

999-15-0008 SFQ v. 2.01 *interp. used* *R1Q090*

Remarks Español Turn On Pad

The options for "Interpreter Type" are "Living in Household," "Neighbor or Friend," or "Paid Interpreter."

Generally, we expect that you will be able to complete the Screener and Relationship Questionnaire with an English speaking household member 18+. If there is no one in the household who meets these qualifications, try to find someone in the neighborhood who could serve as an interpreter. If no one is available, talk to your supervisor. S/he will find a professional/paid interpreter for you. If option "Neighbor or Friend" or "Paid Interpreter" is selected, you will be required to enter the person's

name and phone number, in addition to the language in which the Screener and Relationship Questionnaires (see next pages for example of these screens) was conducted.

COMPLETE INTERPRETER ENTRIES BELOW
CODE TYPE OF INTERPRETER

Living in Household
 Neighborhood or Friend
 Paid Interpreter

600-01-0006 SCQ v. 1.6 *interp. type* *R10030*

Remarks HELP Turn On Pad ◀ ▶

COMPLETE INTERPRETER ENTRIES BELOW
CODE TYPE OF INTERPRETER

Living in Household
 Neighborhood or Friend
 Paid Interpreter

600-01-0006 SCQ v. 1.6 *interp. type* *R10030*









Remarks HELP Turn On Pad ◀ ▶

ENTER NAME OF INTERPRETER

First Name

Last Name









600-01-0006 SCQ v. 1.6 *interp. name* *RIQ050*

ENTER PHONE NUMBER OF INTERPRETER

Phone # () -

600-01-0006 SCQ v. 1.6 *interp. phone* *RIQ060*

Note: The respondent selection screens that appear for the Screener (when the Screener and Relationship Questions are administered on separate occasions) are slightly different.

4.3 Administering the Household Sample Person Questionnaires

The SP questionnaires will be administered to each eligible SP. The actual questionnaire sections administered will depend upon the SP's age. (See Chapter 14 for an overview of the sections in the SP questionnaire).

4.3.1 Eligible Respondent for SP Questionnaires

To be eligible for the household SP questionnaire, the person must have been selected through the sample person selection procedures applied by CAPI in the screening interview. **SPs who are 16 years of age and older must respond to the SP questionnaire for themselves, unless they are physically or mentally unable to do so.** In these rare situations, when there is a **serious** physical or mental condition, a proxy respondent may be used to conduct the interview (e.g., SP has hearing problem, is senile, or mentally retarded, etc.). If you have any doubt about whether to use a proxy, call your supervisor prior to administering the interview. However, even in these proxy situations, there is one section of the SP questionnaire for persons 60+ that cannot be conducted by a proxy—the digital symbol substitution exercise (measures cognitive function).

On the other hand, **interviews for SPs birth to 15 years old should always be conducted with a proxy respondent.** In the unusual situation where the "youth" lives alone, only with persons who are under 16 years old, or is married, interview the youth and document the situation before starting the interview on the Respondent Information Screens (see Section 4.3.4).

A **proxy respondent** must be a family member 18 years old or older. For children (birth to 15 years old), the preferred proxy respondent is the most knowledgeable about the child (usually the mother or father). Generally, the proxy respondent for the child is a household member. In rare situations, this type of proxy may be a family member who does not live in the household (e.g., parents divorced, mother lives elsewhere). For adults with a serious physical or mental condition, a spouse would be preferred. It is best that the proxy live in the same household as the SP, but if no such proxy is available, residence elsewhere is acceptable.

4.3.2 Sample Person Language Problems

NHANES will have an English and Spanish version of the CAPI questionnaire. In addition, the NHANES interviewing team includes bilingual (English/Spanish) interviewers. If you encounter a situation where a Spanish language interview is needed for an SP, return the case to your supervisor. If you encounter a situation where the SP only speaks another language (i.e., Chinese, French, Japanese, etc.), or does not speak enough English to conduct the interview, try to find a household translator or a friend or neighbor to assist in the conduct of the interview. This translator should be age 18 or older. If you cannot find an appropriate translator, discuss the case with your supervisor.

4.3.3 Obtaining Consent for the SP Interview

Each respondent for the Household questionnaires (SP and Family Questionnaires) must read and sign a Household Interview Consent Form (Exhibit 4-1) prior to the start of the interview. In addition, respondents who are 16 and 17 must also have a parent read and sign the Consent Form. **A respondent is only required to sign the form once regardless of the number of interviews s/he completes.** For example, a mother who responds for herself in one SP interview and for her child in another SP interview is **only required to sign one form.**

This consent form addresses several key survey issues. It:

- Explains the general structure and goals of the survey;
- Informs the respondent about the length of the household interview and provides an overview of the interview topics;
- Discusses data uses and confidentiality; and
- Explains the voluntary nature of participation and the rights of survey participants.

On the bottom of this consent form is an area for signatures. Use the following guidelines to complete the signature process.

- Enter the Household ID number on the appropriate lines – the Household ID consists of the Stand, Segment, and Serial Number of the case. This number appears on the label on the front cover of your Household Folder.

Exhibit 4-1. Household Interview Consent Form

#1

FORM APPROVED: OMB # 0920-0237

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY HOUSEHOLD INTERVIEW CONSENT

Print name of respondent _____
First Middle Last

You have been chosen to take part in the National Health and Nutrition Examination Survey (NHANES) conducted by the National Center for Health Statistics (NCHS). This survey tells us about the health and nutrition of people in the United States. It combines an interview with a health exam. Our interviewer will ask questions about you and your family. Some questions are about your work and leisure and your health care. Others are about illnesses and health conditions and other health topics. Also, we will ask for your Social Security and Medicare numbers to do research on health and health care. The interview will take about one hour. We may contact you again for further studies.

We use data collected in this survey to study many health issues. We use information only for research and statistical reports. All data collected will be kept strictly private. We gather and protect all information in keeping with the requirements of Federal Laws: the Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent.

You may take part in the survey interview or not. That is your choice. No penalties or loss of benefits will come from refusing. If you choose to take part, you may choose not to answer any question.

Do you have more questions about the survey? You can make a toll-free call to Dr. Kathryn Porter of the U.S. Public Health Service at 1-800-452-6115, Monday-Friday, 9 AM-6 PM EST. If you have questions about your rights as a survey participant, call the Institutional Review Board Chair at 1-800-223-8118.

I have read the information above. I freely choose to participate in the NHANES household interview.

Signature of person answering household questionnaire(s) _____ Date _____

IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:
(Unless the participant is an emancipated minor)

Signature of parent/guardian _____ Date _____

Signature of staff member _____ Date _____ Witness (if required) _____ Date _____

HOUSEHOLD ID _____ FAMILY # _____

Which questionnaire(s) did person respond to?

FAMILY SP (IF CHECKED, PRINT BELOW)

SP NAME

SP ID

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Public reporting burden of this collection of information is estimated to average 6.6 hours per response for total participation, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

- Enter the Family Number on the appropriate line. This number will usually be "1". However, if there is more than one family in the household, this number will appear on your CAPI case list.
- Have the respondent sign and date the form. Ask the respondent to sign his/her full name.
- If the respondent is 16 or 17, one of the respondent's parents or guardians must sign and date the form on the line provided. Note: A parent or guardian must sign on the appropriate signature line unless the SP is an emancipated minor (a person who is under 18 who lives alone or only with persons who are under 18 or who is or has been married). If the SP is an emancipated minor, the "emancipated minor" box **must** be checked. This box appears under the general heading "IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:".
- Sign your name on the line entitled "Signature of staff member."
- "Witness (if required)" refers to any witness used during the consent process. For example, if a respondent cannot read, read the entire form to him/her in the presence of a witness. If the respondent cannot read or write, have a witness testify that the respondent has been read the form information and consents to participate in the interview. In both cases, print the full name of the witness on the appropriate line.
- Check the boxes and list the SP names that correspond to **all** questionnaires the person will respond to.
- Enter each SP six digit SP ID. (You will obtain this number from the field office when you call to make an appointment. Thus, this may need to be entered during your field edit).

For example, if the respondent (Jane Smith) completes her SP Questionnaire, her son Robert's and her daughter Lucy's SP Questionnaire and also completes the Family Questionnaire, her completed Household Interview Consent Form should look like the one displayed as Exhibit 4-2.

This form is printed on 3-part paper. Keep the top two copies and give the respondent the last page for his/her records.

4.3.4 Beginning the SP Interview—The Respondent Information Questions

After selecting the appropriate SP interview and before administering the first set of questions, you will be asked to enter information about the respondent, the Household Consent Form, and Interpreter Information before CAPI will allow you to continue.

Exhibit 4-2. Completed Household Interview Consent Form

#1

FORM APPROVED OMB # 0920-0237

NATIONAL HEALTH AND NUTRITION EXAMINATION SURVEY
HOUSEHOLD INTERVIEW CONSENT

Print name of respondent JANE ELLEN SMITH
First Middle Last

You have been chosen to take part in the National Health and Nutrition Examination Survey (NHANES) conducted by the National Center for Health Statistics (NCHS). This survey tells us about the health and nutrition of people in the United States. It combines an interview with a health exam. Our interviewer will ask questions about you and your family. Some questions are about your work and leisure and your health care. Others are about illnesses and health conditions and other health topics. Also, we will ask for your Social Security and Medicare numbers to do research on health and health care. The interview will take about one hour. We may contact you again for further studies.

We use data collected in this survey to study many health issues. We use information only for research and statistical reports. All data collected will be kept strictly private. We gather and protect all information in keeping with the requirements of Federal Laws: the Public Health Service Act (42 USC 242k) authorizes collection and Section 308(d) of that law (42 USC 242m) and the Privacy Act of 1974 (5 USC 552A) prohibit us from giving out information that identifies you or your family without your consent.

You may take part in the survey interview or not. That is your choice. No penalties or loss of benefits will come from refusing. If you choose to take part, you may choose not to answer any question.

Do you have more questions about the survey? You can make a toll-free call to Dr. Kathryn Porter of the U.S. Public Health Service at 1-800-452-6115, Monday-Friday, 9 AM-6 PM EST. If you have questions about your rights as a survey participant, call the Institutional Review Board Chair at 1-800-223-8118.

I have read the information above. I freely choose to participate in the NHANES household interview.

Jane Ellen Smith 11/30/00
Signature of person answering household questionnaire(s) Date

IF PERSON ABOVE IS 16 OR 17, PARENT/GUARDIAN MUST ALSO SIGN BELOW:
(Unless the participant is an emancipated minor)

Signature of parent/guardian _____ Date _____
Way Sylvester 11/30/00
Signature of staff member Date Witness (if required) Date

HOUSEHOLD ID 601100049 FAMILY # 01

Which questionnaire(s) did person respond to?

FAMILY SP (IF CHECKED, PRINT BELOW)

SP NAME	SP ID
<u>Jane Smith</u>	<u>006421</u>
<u>Robert Smith</u>	<u>016572</u>
<u>Luay Smith</u>	<u>371152</u>
_____	_____
_____	_____
_____	_____

Public reporting burden of this collection of information is estimated to average 6.6 hours per response for total participation, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Reports Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0237).

Respondent for the Interview

First you must select the respondent for the interview from a list of household members.

The screenshot shows a software window titled "SELECT RESPONDENT FOR THE SP QUESTIONNAIRE". The window is divided into two main sections. The top section is a large empty rectangular area. The bottom section contains a label "Respondent" followed by a dropdown menu. The dropdown menu is open, displaying a list of names: Michelle Spencer, Tad Spencer, Laurie Spencer, Gregg Spencer, and Julia Lyle. Below the list is the option "NOT IN HOUSEHOLD". At the bottom of the window, there is a toolbar with several icons and buttons. From left to right, these include: a numeric keypad icon with the number "600-01-0017-01-03" above it; a "Remarks" button with a speech bubble icon; a "HELP" button; a "Turn On Pad" button with a small keypad icon; a left arrow button; and a right arrow button. The text "YQ010" is visible in the bottom right corner of the window.

You may select a household member or "someone not in the household."

Following General Eligibility Rules – Selecting a Proxy for an SP Who is Age 16+

If you select a proxy for a person who should be the respondent, CAPI will display the following screen.

WHY IS INTERVIEW BEING CONDUCTED WITH A PROXY?

SP has Cognitive Problems

SP has Physical Problems (Specify)

Other (Specify)

600-01-0017-01-03 HPQ v. 1.6 *proxy/reason, coded* *R10030*

Remarks HELP Turn On Pad ◀ ▶

CAPI will require you to enter the reason for your selection in order to continue.

Following General Eligibility Rules – Selecting a Child Under Age 16 as the Respondent

If you select a child under 16 years old as a respondent for the SP interview, CAPI will display the screen below.






INTERVIEW SHOULD BE CONDUCTED WITH A PROXY
BECAUSE SP IS UNDER 16 YEARS OLD
ENTER ONE OPTION

SP is an Independent Minor

Person Selected as Respondent in Error

SP Age Entered in Error -- SP is AGE 16+

999-15-0008-01-04 HPQ v. 2.01 *proxy:reason, coded,* *R1Q020*

  **Español**   

CAPI will require you to enter the reason for your selection in order to continue.

Household Consent Form Information

You must acknowledge that the respondent has signed the consent form before CAPI will allow you to continue.

HAS RESPONDENT SIGNED A HOUSEHOLD INTERVIEW
CONSENT FORM?

Yes

No

600-01-0017-01-03 HPQ v. 1.6 consent form RIQ036

Remarks HELP Turn On Pad

Navigation arrows

The screen below is an example of the message that will appear when the Interview Consent Form has not been signed.






EACH RESPONDENT FOR HOUSEHOLD
QUESTIONNAIRE MUST SIGN A HOUSEHOLD
INTERVIEW CONSENT FORM BEFORE THE INTERVIEW
CAN BE ADMINISTERED.

600-01-0017-01-03 HPQ v. 1.6 no consent notice RIQ037






Remarks HELP Turn On Pad

Navigation arrows

Interpreter Information

INTERPRETER USED FOR THIS INTERVIEW?			
<input type="radio"/> Yes <input type="radio"/> No			
999-15-0008-01-04	HPQ v. 2.01	<i>interp. used?</i>	<i>RIQ040</i>
	 Remarks	Español	 Turn On Pad
			

You must record whether an interpreter will be used for the interview, and if so, the type of interpreter (household member, paid, or neighbor/friend). If the interpreter is a household member, you will select his/her name from a household roster list. If the interpreter type selected is "paid" or "neighbor/friend," you will be required to enter his/her name and phone number.


CODE TYPE OF INTERPRETER			
<input type="radio"/> Living in Household <input type="radio"/> Neighborhood or Friend <input type="radio"/> Paid Interpreter			
600-01-0017-01-03	HPQ v. 1.6	<i>interp. type</i>	<i>RIQ050</i>
	 Remarks	HELP	 Turn On Pad
			

SELECT NAME OF INTERPRETER FROM HOUSEHOLD ROSTER

Michelle Spencer
Tad Spencer
Laurie Spencer
Gregg Spencer
Julia Lyle
NOT IN HOUSEHOLD

600- HH RI0060

Remarks HELP On Pad




ENTER NAME OF INTERPRETER

First Name [REDACTED]
Last Name [REDACTED]

600-01-0017-01-03 HPQ v. 1.6 interp. name, text RI0070

Remarks HELP Turn On Pad



ENTER PHONE NUMBER OF INTERPRETER

() -

600-01-0017-01-03 HPQ v. 1.6 *interp. phone* *RIQ080*

Remarks HELP Turn On Pad DK RF

Interview Language

Lastly, you are required to enter the language in which the interview was conducted.

LANGUAGE OF INTERVIEW

English
Spanish
French
German
Italian
Japanese

600-01-0017-0 *language* *RIQ090*

Remarks HELP On Pad

4.3.5 Completion Order for the Household SP Interview

The household SP questionnaires are administered following the completion of the Screener interview and Relationship interviews with SPs who are available during that visit. The Family

Questionnaire may also be completed during the same visit, although generally it is best to administer it after all SP questionnaires have been completed.

4.4 Administering the Family Questionnaire

A separate Family Questionnaire will be completed for each family that has at least one SP (i.e., one Family Questionnaire per family with eligible SPs). Therefore, if a household has two families and both families have an SP, two Family Questionnaires are completed. If a household has two families, but only one family has an SP, then only one Family Questionnaire is completed.

The Family Questionnaire is organized to ask questions about the non-SP head of the family, each SP in the family, and the household in general. (See Chapter 14 for a list of the sections in the Family questionnaire).

4.4.1 Eligible Respondent for the Family Questionnaire

An eligible respondent for the Family Questionnaire must be a family member (i.e., household member related by blood, marriage, or adoption to the head of the family) who is at least 18 years old. In families where there is no one 18 years or older, you should choose as a respondent the head of the family or any person in the family who has ever been married.

In households that have more than one family with an SP, the interviewer will need to use a respondent from each family to complete the appropriate Family Questionnaires. It is not permissible to have a nonfamily member respond to the Family Questionnaire.

Since the Family Questionnaire asks very specific questions about such subjects as occupation and income, it is important that the respondent be very knowledgeable about family matters. For this reason, it is preferred that the head of the family or spouse of the head be the respondent for the Family Questionnaire.

4.4.2 Obtaining Consent for the Family Interview

As mentioned previously, each respondent for the household questionnaires must sign a Household Interview Consent (Exhibit 4-1 and 4-2). If the respondent for the Family Questionnaire has

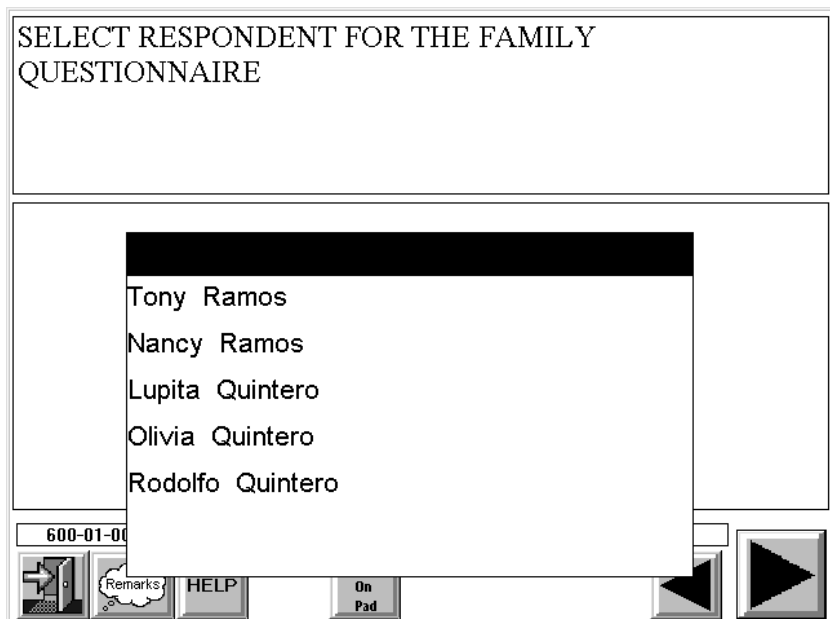
not previously signed a form (for example, s/he may be the head of the family but not an SP and be only responding for the Family Questionnaire), s/he must do so before the Family Questionnaire can be administered.

Use the basic instructions described in Section 4.3.3 for completing this form.

4.4.3 Beginning the Family Interview—The Respondent Information Questions

After selecting the appropriate family interview and before administering the first set of questions, you will be asked to enter information about the respondent, the Household Consent Form, and the use of an interpreter before CAPI will allow you to continue.

Respondent for the Interview



CAPI will present a list of family members from which to select the respondent. CAPI will not allow you to select anyone outside the family as a respondent for this interview.

Household Consent Form Information

HAS RESPONDENT SIGNED A HOUSEHOLD INTERVIEW
CONSENT FORM?

Yes

No

600-01-0007-01 HFQ v. 1.6 consent form RIQ020

Remarks HELP Turn On Pad

You must acknowledge the respondent has signed the Household Consent Form before continuing. If he or she has not signed, a warning message will appear.

THE RESPONDENT MUST SIGN A HOUSEHOLD
CONSENT FORM BEFORE THE INTERVIEW IS
ADMINISTERED.

600-01-0007-01 HFQ v. 1.6 Consent Warning RIQWarn

Remarks HELP Turn On Pad

Interpreter Information

You must record whether an interpreter will be used for the interview, and if so, the type of interpreter (household member, paid, or neighbor/friend). If the interpreter is a household member, you will select his/her name from a household roster list. If the interpreter type selected is "paid" or "neighbor/friend," you will be required to enter his/her name and phone number. Lastly, you are required to enter the language in which the interview will be conducted.

INTERPRETER USED FOR THIS INTERVIEW?					
<input type="radio"/> Yes					
<input type="radio"/> No					
999-15-0008-01-04	HPQ v. 2.01	interp. used?	RI0040		
	Remarks	Español	Turn On Pad		

CODE TYPE OF INTERPRETER					
<input type="radio"/> Living in Household					
<input type="radio"/> Neighborhood or Friend					
<input type="radio"/> Paid Interpreter					
600-01-0007-01	HFQ v. 1.6	interp. type	RI0040		
	Remarks	HELP	Turn On Pad		

ENTER NAME OF INTERPRETER

First Name [REDACTED]

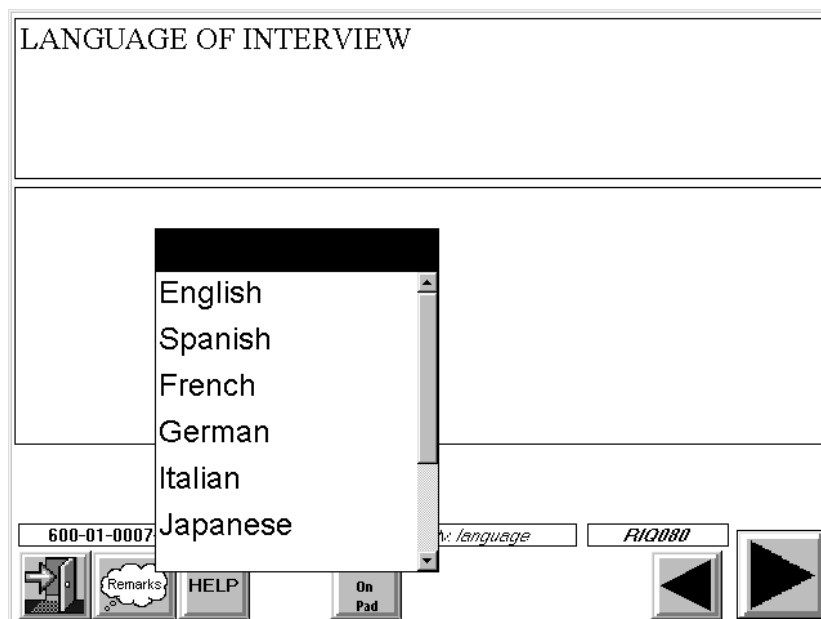
Last Name [REDACTED]

600-01-0007-01 HFQ v. 1.6 *interp. name, text* *FIQ060*

ENTER PHONE NUMBER OF INTERPRETER

() - [REDACTED]

999-15-0008-01-04 HPQ v. 2.01 *interp. phone* *FIQ080*



4.4.4 Completion Order for the Family Questionnaire

The Family Questionnaire is completed for every family in the household with at least one SP. The Family Questionnaire may be completed on the same visit as the Screener and Relationship interview but ideally should be completed after all of the SPs have been interviewed.

Note: As discussed earlier in this chapter (Section 4.2.1), the Relationship Questionnaire must be completed in order for CAPI to identify families within the household and create Family Questionnaires for each eligible family. You must administer the Relationship Questionnaire or CAPI will not create Family Questionnaires.

5. THE HOUSEHOLD FOLDER

For each dwelling unit (DU) you are assigned you will receive a Household Folder. The folder itself is used to store documents associated with the case. The Household Folder consists of the following sections:

Page 1

- Assignment Label;
- Directions to the Dwelling Unit;
- Household Phone #;
- MEC Exam Appointment Summary;

Page 2

- A Summary of Forms Used to Complete the Consent Form Process;

Page 3

- Missed DU Procedure and Missed DU Form;
- Translator Information;

Page 4

- The Household Call Record – Result of Contact;
- Incentive Information;

Page 5

- Call Record Result Codes;

Page 6

- Household Language Use; and
- Household Call Record.

This chapter discusses the purpose of each of these sections. It also provides a description of the procedures and specifications you should follow while completing each section.

5.1 Assignment Label

Each Household Folder you receive will have a large Assignment Label on the front page. This label contains the Household ID (Stand/Segment/Serial) number, address, any special message for the case and respondent incentive information. Section 3.2.2 contains a detailed discussion of the label and the information that can be found on it.

5.2 Directions

This area should be used when the dwelling unit is unusually difficult to locate. Record as much information as you think is appropriate. Information you record in this space will help you and any other interviewer who is assigned the case locate the dwelling unit.

5.3 Appointment Summary

The lower half of the front cover of the Household Folder is the MEC Exam Appointment Summary (Exhibit 5-1). Entries in this section should be made as the current interviewer appoints each SP. Note that this section can accommodate appointments for up to six SPs and report up to four appointments for **each** SP (in cases of "cancelled" or "no show" appointments).

The summary should be completed according to the following specifications:

- **Screener Disposition:** Enter final disposition code for completed screeners.
- **Family #:** Enter the Family # generated by the Relationship Questionnaire. You will find this on your Case Assignment List on your laptop.
- **Person #:** Enter the SP's Person # generated by the Relationship module. Note: You **must** obtain this information from your Case Assignment List of SPs on your laptop. Never arbitrarily assign Person #s to SPs.
- **Inter ID:** Enter your interviewer ID for each SP in the household that you are working. Note that space is provided to allow the recording of information for up to four interviewers per SP.

- **SP ID:** Enter this six-digit number as soon as it is assigned by the field office staff.
- **APPT. DISP:** Enter the numeric code (MEC APPOINTMENT SCHEDULING CODE) from the Household Call Record Result Codes.
- **MEC Exam Appt. Information:** If an appointment has been scheduled (code 11), enter the date, time, mode of transportation for the SP's appointment (i.e., taxi, self-transport, or field staff transport), and any special consideration codes that should be noted. Special consideration codes are discussed in Section 8.3 of this manual.

5.4 Phone Number

Record the home phone number for the household in this space.

5.5 Summary of Forms Used to Complete the Consent Process

This summary (Exhibit 5-2) was designed to guide you through the process of obtaining all the correct hard copy forms for each SP. The space below the summary will be used by the Field Office Staff to check that all necessary forms have been obtained and are properly signed.

5.6 Missed DU Procedure and Missed DU Form

Located inside of each Household Folder on page 3 is the Missed DU Form (see Exhibit 5-3). The specifications for completing this form and a detailed discussion of the Missed DU Procedures can be found in Chapter 12.

5.7 Translator Information

If you have arranged for a translator for the SP questionnaire, enter as much detail as possible about the translator on the appropriate lines under the heading "TRANSLATOR INFORMATION" (Exhibit 5-4). The field office staff may also enter information in this space if they are responsible for arranging a translator for the SP.

Exhibit 5-2. Summary of Forms Used to Complete the Consent Form Process

SUMMARY OF FORMS USED TO COMPLETE THE CONSENT PROCESS

	Household Interview Consent	Dust Sample Consent	Transport	MEC Consent/ Assent	MEC Child Assent	Future Research Consent/Assent	DSS Form
SP 0-11 Months	Signed by Parent	N/A	YES	Signed by Parent	N/A	N/A	N/A
SP 1-6 Years	Signed by Parent	YES (1-5)	YES	Signed by Parent	N/A	Signed by Parent	N/A
SP 7-11 Years	Signed by Parent	N/A	YES	Signed by Parent	Signed by Child	Signed by Parent & Child	N/A
SP 12-17 Years	Signed by Parent & Child (16-17)	N/A	YES (12-15)	Signed by Parent & Child	N/A	Signed by Parent & Child	N/A
SP 18+ Years	YES	N/A	N/A	YES	N/A	YES	YES (60+)

Place 1 consent/age group label for each SP below:

Relationship to HH/SP. Indicate whether the translator is a family member, a friend, or neighbor who lives outside the household, or a professional translator.

Phone Number and Transportation. If the translator is someone who lives outside the household (neighbor, friend, or professional), enter the translator's phone number and the mode of transportation s/he will be using to travel to the household for the interview.

5.8 Incentive Information

The Incentive Information Space (Exhibit 5-5) is printed below the Record of Calls on page 4 of the HH Folder. SPs who agree to the exam may qualify for several monetary incentives. The number of incentives that apply to each SP is determined by when he/she is scheduled for an exam, where he/she lives, if he/she has special transportation needs, and the number of special study components for which he/she qualifies. A discussion of monetary incentives associated with exams is contained in Section 8.3 of this manual.

This space is designed to help you and the field office staff keep track of the type and amount of incentive offered to each appointed SP. Record the SP's name and enter an amount in each appropriate area. Enter total amount for each SP in the right hand column of the form and a total for the family in the space provided in the lower left hand corner of the page.

5.9 Call Record Result Codes

On page five of the Household Folder you will find the result codes to be used on the Household Call Record (Exhibit 5-6). These codes will be defined in the next chapter on Contact Procedures.

5.10 Language Use

Information recorded in this section (Exhibit 5-7) will help the supervisor make assignments and organize work efficiently. Record all the languages spoken or used in the household. We are interested in languages that are **spoken fluently** and **regularly** by household members—not languages that one or more household members may have studied in school. Indicate whether a translator will be needed to conduct any of the household interviews.

5.11 Household Result of Contacts

The Household Result of Contacts (see Exhibit 5-7) is located on pages 4 and 6 of the Household Folder. It provides you with space to record information about each of your attempts to locate, contact, and complete the necessary work on the sampled household. The Result of Contacts page has four basic purposes:

1. It serves as a permanent record of your work on each case;
2. It helps you schedule your contact attempts efficiently;
3. It enables you to keep track of the current status of all of your assignments; and
4. It aids your supervisor in evaluating the progress you are making on your assignments and in giving you suggestions to help you in your work.

We will discuss how you complete the Result of Contacts and use the Call Record Result Codes in the next chapter on Contact Procedures.

