

TABLE OF CONTENTS

1.	INTRODUCTION TO THE STUDY	1-1
1.1	Research Triangle Institute (RTI)	1-1
1.2	Project Organization	1-1
1.3	Study Background.....	1-3
1.3.1	Brief History of NSDUH	1-3
1.3.2	Current Design for NSDUH.....	1-4
1.4	Data Collection Schedule.....	1-5
1.5	Project Abbreviations and Terminology	1-8
1.6	Use of Manual.....	1-8
2.	YOUR JOB AS A FIELD INTERVIEWER	2-1
2.1	Introduction.....	2-1
2.2	Screening and Interviewing Process	2-1
2.3	Field Interviewer Responsibilities	2-2
2.4	Professional Ethics and Respondents' Rights	2-6
2.5	Importance of Confidentiality.....	2-7
2.6	Adherence to Procedures	2-7
2.7	Performance Expectations	2-9
2.8	Materials, Supplies, and Equipment	2-9
3.	LOCATING SAMPLE DWELLING UNITS	3-1
3.1	Introduction.....	3-1
3.1.1	Definitions.....	3-1
3.1.2	Overview of the Sampling Process	3-1
3.2	Inspecting the Segment Materials	3-2
3.2.1	Locator Maps	3-20
3.2.2	Block Listing Map(s)	3-20
3.2.3	Selected Dwelling Unit (DU) List	3-21
3.3	Locating the Segment and the Designated SDUs	3-24
3.3.1	Housing Units	3-24
3.3.2	Group Quarters Units.....	3-25
3.4	Determining the Status of Each SDU	3-25
3.4.1	Housing Units	3-25
3.4.2	Group Quarters Units.....	3-28

TABLE OF CONTENTS (Continued)

3.4.3	Units That Do Not Qualify as Dwelling Units	3-30
3.5	Checking for Missed Dwelling Units	3-32
3.5.1	Missed DUs in Regular Housing Units (e.g., houses, townhouses, trailers)	3-32
3.5.2	Missed DUs in Apartment and Condo Buildings	3-35
3.5.3	Missed DUs in Group Quarters Structures (e.g., dormitories, shelters)	3-35
3.5.4	Dealing with Listed DUs That Should <u>Not</u> Have Been Listed	3-36
3.6	Adding Missed Dwelling Units.....	3-36
3.6.1	Adding Missed Housing Units.....	3-36
3.6.2	Reconciling Missed DUs	3-40
3.6.3	Adding Missed HUs on the Maps.....	3-42
3.6.4	Adding Missed Units within a Group Quarters Structure.....	3-44
3.6.5	Adding Missed Units within an Apartment or Condo Building	3-44
3.7	When to Call	3-46
3.8	Importance of Sampling Activities	3-46
4.	CONTACTING DWELLING UNIT RESIDENTS.....	4-1
4.1	Introduction.....	4-1
4.2	Scheduling Fieldwork	4-1
4.3	Assignment Materials	4-2
4.3.1	Case Identification Information	4-2
4.4	Record of Calls	4-3
4.4.1	Screening Result Codes	4-3
4.4.2	Recording Comments	4-10
4.5	Lead Letters	4-12
4.6	Organizing Your Materials	4-12
4.7	Initial Approach	4-14
4.8	Your Introduction.....	4-14
4.9	Eligible Screening Respondent and Address Verification.....	4-15
4.10	Informed Consent.....	4-16
4.11	Handling Language Barriers	4-19
4.12	Handling Controlled Access Situations	4-25

TABLE OF CONTENTS (Continued)

5. OBTAINING PARTICIPATION.....	5-1
5.1 Introduction.....	5-1
5.2 Tools for Obtaining Participation	5-1
5.2.1 Lead Letter	5-1
5.2.2 RTI Photo ID Badge	5-1
5.2.3 SAMHSA FI Authorization Letter.....	5-2
5.2.4 The Q & A Brochure.....	5-2
5.2.5 NSDUH Information.....	5-2
5.2.6 A Prepared and Professional Interviewer	5-9
5.3 Importance of Interviewer Style	5-9
5.4 Explaining the Survey and Answering Questions	5-10
5.5 “Tips” on Obtaining Participation	5-12
5.6 Overcoming Objections	5-13
5.7 Local Social Climate.....	5-21
5.8 Using an Escort.....	5-21
5.9 Working Safely	5-22
5.10 The Working Environment of a Field Interviewer	5-22
5.10.1 The Home.....	5-23
5.10.2 Traveling To, From, and Within a Segment	5-25
5.10.3 On a Respondent’s Property	5-34
 6. CONDUCTING SCREENING.....	 6-1
6.1 Introduction.....	6-1
6.2 Overview of NSDUH Screening.....	6-1
6.3 Overview of iPAQ Screening and Case Management Program	6-2
6.4 The Screening Program.....	6-3
6.4.1 Starting the iPAQ.....	6-3
6.4.2 Case Management.....	6-4
6.4.3 Introduction and Verify Address	6-8
6.4.4 Informed Consent.....	6-10
6.4.5 Missed DUs.....	6-11
6.4.6 Completing the Housing Unit Roster.....	6-11
6.4.7 Selection.....	6-25
6.5 Verification	6-27
6.5.1 Entering Verification Data.....	6-27

TABLE OF CONTENTS (Continued)

6.6	Record of Calls	6-30
6.6.1	Adding Interview A and B Case ROC Result Codes.....	6-33
6.6.2	Refusal Report	6-35
6.6.3	Unable to Contact	6-36
6.6.4	Special Rules for Final Codes 11, 17 and 77	6-36
6.6.5	Importance of ROC Data	6-36
6.6.6	Flow of iPAQ Program	6-36
6.7	GQU Screening Program	6-37
6.8	Edit Address.....	6-39
6.9	Missed DUs Procedures.....	6-40
6.9.1	Adding Missed DUs.....	6-40
6.9.2	Reconciling Missed DUs	6-40
6.10	Physical Features	6-41
6.11	Reset iPAQ.....	6-46
6.12	Daily Closing of the Screening Program	6-46
6.13	On Hold Feature.....	6-47
6.14	Re-open Case	6-47
6.15	Transferring Cases	6-48
6.16	Calendar	6-48
6.17	Set Name and ID	6-50
6.18	Erase/Re-Load Training Cases	6-50
6.19	NSDUH Utilities.....	6-51
7.	PREPARING TO INTERVIEW	7-1
7.1	Introduction.....	7-1
7.2	Your Role as a Professional Field Interviewer	7-1
7.3	Case Assignment.....	7-2
7.3.1	Assigning Interview Result Codes.....	7-3
7.3.2	Interview Result Codes	7-4
7.4	Contacting the Selected Respondent(s)	7-8
7.4.1	Initial Contacts	7-8
7.4.2	Following Respondents.....	7-9
7.5	Obtaining Interview Participation.....	7-9
7.5.1	Types of Respondents (and How to Deal with Them).....	7-12
7.5.2	Dealing with Minors	7-15
7.5.3	Certificate of Participation.....	7-18

TABLE OF CONTENTS (Continued)

7.6	Informed Consent Procedures.....	7-22
7.6.1	Adult Informed Consent	7-22
7.6.2	Parent/Guardian Permission to Approach Youth.....	7-23
7.6.3	Youth Informed Consent.....	7-23
7.7	Getting Started	7-26
7.7.1	Choosing a Location	7-26
7.7.2	Privacy	7-27
7.7.3	Setting up the Computer	7-28
8.	THE NSDUH INTERVIEW	8-1
8.1	Introduction.....	8-1
8.2	Standardizing the CAPI Interview Process.....	8-1
8.2.1	General Questionnaire Conventions	8-1
8.2.2	Asking the Questions	8-2
8.2.3	Probing.....	8-4
8.2.4	When and How to Probe	8-6
8.2.5	Recording Responses	8-9
8.2.6	"Don't Know" or "Refused"	8-9
8.3	The NSDUH Interview Content.....	8-10
8.4	Introductory Statement and Informed Consent.....	8-12
8.5	Verifying Eligibility.....	8-12
8.5.1	Underage or Active Military Respondents	8-12
8.6	Use of Showcards and Pillcards.....	8-13
8.7	Completing the Reference Date Calendar.....	8-14
8.8	FI Responsibilities During the ACASI Portion	8-16
8.9	Industry and Occupation Questions	8-18
8.10	Respondent Difficulties	8-20
8.11	Post Interview Procedures.....	8-23
8.11.1	Verification	8-23
8.11.2	Incentive Payment Procedures.....	8-25
8.11.3	Field Interviewer Observation Questions	8-27
8.11.4	Packing up the Equipment	8-32
8.11.5	iPAQ ROC	8-32
8.12	Thank the Respondent.....	8-32

TABLE OF CONTENTS (Continued)

9. DOCUMENTING AND REPORTING PROCEDURES	9-1
9.1 Introduction.....	9-1
9.2 Transmissions from the Field.....	9-1
9.3 Entering Weekly PT&E Summary Data in iPAQ.....	9-2
9.4 Conference Call with Field Supervisor.....	9-7
9.4.1 Status of All Cases	9-7
9.4.2 Noninterview/Refusal Cases.....	9-7
9.4.3 Problems Encountered During the Week.....	9-8
9.4.4 Problems with Quality of Work.....	9-8
9.4.5 Production, Time and Expense Information	9-8
9.4.6 Production in Relation to Project Goals.....	9-8
9.4.7 Plan for Next Week's Workload	9-8
9.5 Reporting Summary	9-9
10. QUALITY CONTROL.....	10-1
10.1 Introduction.....	10-1
10.2 Staff Training and Assessment	10-1
10.2.1 New-To-Project Training.....	10-1
10.2.2 Veteran Training Sessions	10-2
10.2.3 Ongoing Training	10-2
10.2.4 Assessments	10-3
10.3 Evaluation of Training Programs.....	10-3
10.4 Screening Edits	10-6
10.5 Interviewing Edits.....	10-6
10.6 Screening/Interview Observations	10-6
10.7 Verification	10-6
10.7.1 Screening Verifications.....	10-7
10.7.2 Interview Verifications	10-7
10.7.3 The Verification Process.....	10-7
11. ADMINISTRATIVE PROCEDURES	11-1
11.1 Introduction.....	11-1
11.2 Terms of Employment	11-1
11.3 Authorization for Expenditures.....	11-1
11.4 Electronic Production, Time and Expense (ePTE) Reports.....	11-4

TABLE OF CONTENTS (Continued)

11.5	The ePTE System.....	11-4
11.5.1	Overview.....	11-4
11.5.2	Default Value Settings	11-5
11.5.3	Entry Form	11-7
11.5.4	Detail Form	11-10
11.5.5	Edit Checks in the ePTE System	11-20
11.5.6	Advanced Features.....	11-21
11.6	Submitting Receipts with Electronic PT&Es.....	11-24
11.7	Handling Incentive Advances	11-27
11.7.1	Incentive Payments	11-27
11.7.2	Incentive Advance Balance Sheet.....	11-27
11.7.3	Repaying the Incentive Advance Balance	11-29
11.8	Escorts	11-32
11.9	FedEx Mailing Procedures.....	11-34
11.10	Work Absences Caused by Sickness and Vacation	11-36
11.11	Field Accidents and Injuries	11-36
11.12	FI Referrals	11-36
11.13	FIs on Travel Status	11-37
12.	SUMMARY	12-1
12.1	Introduction.....	12-1
12.2	Materials and Equipment	12-1
12.3	Organizing Your Materials	12-3
12.4	Tasks for a Typical Day	12-4
12.5	Weekly Tasks.....	12-6
12.6	Periodic Tasks	12-6
12.7	End of Quarter Tasks	12-7
12.8	Continual Tasks	12-7

List of Exhibits

1.1	Data Collection Management Structure	1-2
1.2	Quarterly Data Collection Schedule	1-6
1.3	List of Abbreviations	1-9
1.4	Definitions of Project Terminology	1-10
1.5	Project Staff Information	1-13
2.1	Screening and Interviewing Process	2-3
2.2	Job Description for a NSDUH Field Interviewer	2-4
2.3	Data Collection Agreement.....	2-8
2.4	FI Performance Criteria	2-10
3.1	Contents of Segment Materials Packet	3-3
3.2	County Locator Map.....	3-4
3.3	Census Tract Locator Map.....	3-5
3.4	Segment Locator Map.....	3-6
3.5	Page Index Map	3-7
3.6	Block Listing Map	3-8
3.7	Zoom Maps	3-9
3.8	Selected DU List.....	3-12
3.9	List of Dwelling Units	3-13
3.10	Segment Information Sheet.....	3-15
3.11	Screening & Interviewing Pre-Check.....	3-16
3.12	Group Quarters Listing Form.....	3-17
3.13	Group Quarters Continuation Listing Form.....	3-18
3.14	Within-Structure Floor Sketch Sheet.....	3-19
3.15	Common Counting/Listing Abbreviations.....	3-22
3.16	Definition of a Housing Unit	3-26
3.17	Dwelling Unit Eligibility for NSDUH.....	3-31
3.18	Diagrams Illustrating the Prescribed Order of Listing a Segment.....	3-34
3.19	List of Added Dwelling Units.....	3-39
3.20	Block Listing Map (with Added DU)	3-43
3.21	Added Group Quarters Listing Form.....	3-45
4.1	ROC Abbreviations.....	4-11
4.2	Lead Letter	4-13

List of Exhibits (Continued)

4.3	Study Description.....	4-18
4.4	Spanish Card	4-22
4.5	Other Language Card.....	4-23
4.6	Controlled Access Video Script.....	4-27
4.7	FI Segment Access Documentation Form	4-29
5.1	RTI Photo ID Badge	5-1
5.2	SAMHSA FI Authorization Letter.....	5-3
5.3	Question and Answer Brochure	5-4
5.4	Highlights from the 2004 Study.....	5-6
5.5	Who Uses the Data?.....	5-8
5.6	Answering Questions.....	5-11
5.7	Countering Refusals.....	5-14
5.8	Moving Supplies Safely.....	5-24
5.9	Headway Motor Vehicle Policy.....	5-26
5.10	Driving Safely	5-28
5.11	Defensive Driving Tips.....	5-30
5.12	Procedures after an Automobile Accident	5-31
5.13	Working Safely in the Heat.....	5-33
6.1	Enumeration Rules.....	6-14
6.2	Physical Features Data Reference Sheet.....	6-44
7.1	Answering Questions About the Interview.....	7-10
7.2	Summary of the NSDUH Questionnaire.....	7-16
7.3	Countering Youth Refusals.....	7-19
7.4	Certificate of Participation	7-21
7.5	Introduction and Informed Consent 18 or Older.....	7-24
7.6	Introduction and Informed Consent 12-17.....	7-25
8.1	Examples of Acceptable Probes.....	8-5
8.2	NSDUH CAI Interview Content.....	8-11
8.3	Reference Date Calendar	8-15
8.4	Quality Control Form.....	8-24
8.5	Interview Payment Receipt.....	8-26
8.6	FI Observation Questions	8-28

List of Exhibits (Continued)

9.1	Summary Steps for Entering iPAQ PT&E Summary Data	9-6
9.2	Weekly NSDUH Tasks	9-10
10.1	Steps to Maximize Data Quality.....	10-4
11.1	Headway Discipline Policy.....	11-2
11.2	Completed ePTE	11-13
11.3	ePTE Working Copy.....	11-17
11.4	Completed Headway Expense Report	11-26
11.5	Incentive Advance Agreement.....	11-30
11.6	Incentive Advance Balance Sheet.....	11-31
11.7	Completed Receipt for Escort Services	11-33
11.8	Completed FedEx Airbill.....	11-35
11.9	Travel Assignment Information Sheet.....	11-39
11.10	Travel Advance Balance Sheet	11-42

Appendices

Appendix A	Instructions for Completing Paper PT&Es	A-1
Appendix B	Result Codes	B-1
Appendix C	Refusal Letters	C-1
Appendix D	NSDUH Respondent Website Content	D-1
Appendix E	NSDUH Guide to Pronunciations	E-1