

Instrumentation Protocol Changes

1. Introduction

The 2002 NSDUH instrumentation protocols underwent minor modifications from the instrumentation protocols employed for the 2001 NHSDA. A summary of the changes for the 2002 NSDUH can be divided into three topics: the Newton screening instrument, CAI Questionnaire, and interviewer materials.

1.1 Newton Screening Instrument

The Newton screening instrument for the 2002 NSDUH received several wording updates, discontinued collecting lead letter receipt and mode of contact data, and received an update to the selection algorithm, yet the basic structure remained identical to the 2001 Newton screening instrument. The updates are summarized below

- As a result of the survey's name change, appropriate screens were updated with the new name.
- The selection algorithm was updated, using the lambda parameter, to force the likelihood of more pairs selected.
- With the addition of the interview incentive, the following sentence was added to the text on the Informed Consent Screen: "If anyone in your household is selected for the full interview, the person will receive a \$30 cash payment once the interview is completed." For the GQU program, the sentence reads, "If anyone is selected for the full interview, the person will receive a \$30 cash payment once the interview is completed."
- The Lead Letter Receipt screen and Mode of Contact for screening and interview contacts were removed from the screening program.
- The Missed DU question was updated from "First, are there any occupied or vacant living quarters besides your own in this unit?" to "Are there any other living quarters, with a separate entrance, within this structure or on this property?" and the protocol was revised to discontinue asking this of screening respondents at apartment or condominium building HUs.
- A parenthetical statement was added to the Ineligible for Quarter screen, "(Please let me know if I have included anyone who will/did live at school or somewhere else for most of the time during the months of (fill = Qtr months).)"
- The Another Eligible Household member screen was updated to include the phrase, "in this household" so the question was revised to: "Is there anyone 12 or older in this household that I have NOT listed who will live/lived here for most of the time during the months of (fill = Qtr months)?"

- A problem in the way that the Newton handled zip codes that start with a zero was fixed.

The 2002 Newton screening instrument can be found in Section 11 *Screening Questions*, in the *2002 Methodological Resource Book*.

1.2 CAI Questionnaire

Using the 2001 CAI Questionnaire as a base, the 2002 CAI Questionnaire saw the addition of questions and modules in the following substantive areas: daily smoking, drug treatment, past 12 months arrest history, adult mental health service utilization, and youth tobacco access.

The remaining modular components of the 2001 CAI Questionnaire remained essentially unchanged for the 2002 CAI Questionnaire except for minor modifications to wording and selective elimination of sufficient questions to allow for the additional burden of the questions and modules in the above substantive areas. Timing data from the 2001 survey results were used to ensure that the added components for the 2002 questionnaire did not increase the instrument length to be more than the OMB-approved time burden of 60 minutes.

Listed below are the changes made to the 2002 CAI Questionnaire.

- For variables requiring an answer in number of days or nights per year (range 1-365), all upper bounds were changed from 365 to 366.
- Inconsistency resolution questions for recent new users were added to all core drug modules. These questions are triggered if there is a discrepancy between the respondent's age at first use and month/year of first use. The respondent is routed through inconsistency resolution questions that ask which piece of information is correct, then ask the respondent to fix the incorrect piece(s) of information.
- Introductory screens were separated from the Core Demographics section and placed into a new section entitled Introduction.
- New variables FIIDCON and FIIDENT were added to the beginning of the instrument. FIIDCON displays the Field Interviewer (FI) ID associated with the interview laptop and asks the FI to verify that the ID is correct. If the FI responds with "No", they are routed to FIIDENT where they can enter their correct ID.
- REMINDFI was turned into a question asking the FI if they've read the Intro to CAI to the respondent. If the FI indicates they haven't read the Intro to CAI to the respondent, a new question, INTROCAI, prompts them to do so.
- Many of the inconsistency checks triggered throughout the questionnaire are based on the respondent date of birth entered at the beginning of the interview. A new variable, CONFDOB, was added that asks the FI to verify the date of birth entry with the respondent prior to confirmation of age.

- Response options 12 and 13 in QD06 (Which of these groups best describes you?) were filled in with "Other racial group" and "Other Asian group," respectively. This separated the Asian racial grouping, and was inconsistent with the response option listing in QD05 (Which of these groups describes you?). Logic for response options 12 and 13 in QD06 were switched so that "Other Asian group" would be listed first in 12, and "Other racial group" would be listed last in 13, right before "None of these."
- Added ADVISE RESPONDENT NOT TO USE THE TOUCHPAD to the interviewer instructions on the INTROACASI screen.
- Added a question, ALLAPPLY, that shows the respondent how to interact with a "code all that apply" question. The question asks the respondent to indicate all types of music they listen to from a precoded list of various music categories.
- In CG10 (How many cigarettes did you smoke in the past 30 days?), "per day" was deleted in each response option. This question is for respondents who only smoked one day in the past 30 days.
- Questions CG16y1 through CG16m2 were added to get the month and year a respondent first started smoking every day for new daily smokers. These questions were patterned after the question series used in all core drug modules to collect month and year of first use from new users.
- For all core drug modules, if the respondent indicates they used in the past 30 days, they are then asked how many days they used in that time period. If the respondent doesn't know or refuses to answer, they are asked to provide an estimate, within the ranges 1-2, 3-5, 6-9, 10-19, 20-29, and 30. An estimation variable is then created using the lower end of their answer. This estimation variable is calculated the same way across all drug modules.

The alcohol module differs from the other core drug modules in that the respondent is also asked for the number of days in the past 30 days that they had five or more drinks on one occasion, known as "binging." This answer is compared with the overall level of past 30 day use, and if the overall level is lower than the binge level, inconsistency resolution questions are triggered.

Using the lower end of the estimation range to calculate the alcohol estimation variable, ESTIALC, was problematic. As an example, if a respondent estimated their overall use as 6-9 within the past 30 days, ESTIALC was calculated as 6. If the respondent then reported 8 binge days in the past 30 days, the inconsistency resolution questions were triggered. To counter this, another variable, ESTIALC2, was created which calculated the estimate rate using the higher end of the estimation range. ESTIALC2 was then used to compare past 30 day use with past 30 day "binge" use.

- If the respondent reports in SD01 that they have smoked heroin or reported they have snorted heroin in SD03, they are given a follow-up question asking for the most recent time they did this (SD02 or SD04, respectively). If the respondent reports in SDHEUSE or SD08 that they have injected heroin, they also get a recency question. However, if they report in SDHEUSE that they have smoked or snorted heroin, they were not asked about recency. Two new recency questions were added for these respondents. SDHEUSE3 is now asked if the respondent reports they have smoked heroin, and SDHEUSE4 is asked if they report they have sniffed or snorted heroin.
- Respondents who reported they have injected heroin (SD08 or SDHEUSE), cocaine (SD06), methamphetamine (SD10a), or any other stimulant (SD10c), but then said "No" to SD05 (Have you ever used a needle to inject any other drug?), were getting skipped out of SD12-16 (needle use behavior questions). The CAI logic was corrected to include these respondents.
- The lower bound of SPCIG04's (number of bidis smoked in the past 30 days) range was changed from 0 to 1.
- The lower bound of SPCIG08's (number of clove cigarettes smoked in the past 30 days) range was changed from 0 to 1.
- TX22A was added, asking the respondent why they did not make an effort to get needed treatment. If they indicate "Other" as a reason, they are allowed to specify up to 5 other responses.
- A parallel question, TX23A, was also added asking the respondent why they did not make an effort to get additional treatment they needed. If they indicate "Other," they are allowed to specify up to 5 other responses.
- Question DRCGE06 breaks up the respondent's reference of "past 30 days." Wording for DRCGE06b and DRCGE07 was added to get the respondent back on track. "Think about your use of cigarettes during the past 30 days as you answer these next questions" was added to the beginning of DRCGE06b. It was added to the beginning of the DRCGE07 if DRCGE06b is blank.
- Changed "excluding" to "not including" in SP03o (In the past 12 months, were you arrested and booked for any other sexual offense, not including rape or prostitution?).
- Added inconsistency resolution questions (SP03r-SP03ssp) at the end of the arrest and booking question series. Respondents who indicate they've been arrested and booked in the past 12 months, but answer "No" to all arrest and booking questions are now asked to resolve this inconsistency.
- Added probe questions directly after ADMT01 (stayed overnight or longer in a hospital or facility for mental health reasons during the past 12 months), ADMT13 (received outpatient mental health treatment during the past 12 months) and ADMT25 (took prescription medication to treat a mental condition in the past 12 months) if the respondent refused to answer them (ADMTREF1, ADMTREF13 and ADMT25, respectively).

- 2001 Quarter 1 data showed that the majority of answers to ADMT12 (amount of money paid for inpatient mental health care over past 12 months) were in the \$5,000 and more category. Response categories were revised to include \$5,001-\$7,500, \$7,501-\$10,000, and More than \$10,000.
- Specify questions (ADMT27SP-ADMT27SP4) were added for those who indicate "Other" for ADMT27 (reasons for not getting needed mental health treatment).
- Added questions about youth tobacco access (YE35a-YE35b). For youths who smoked in the past 30 days, but report not buying cigarettes from a store or gas station in the past 30 days, YE35b asks if they *tried* to buy from a store/gas station. For past 30 days smokers who said they did not buy cigarettes at all, YE35a asks how they got the cigarettes they smoked during the past 30 days.
- The lower bound of the range in YE43 (number of days smoked a cigar with marijuana in it in the past 30 days) was changed from 0 to 1 to be consistent with the past 30 day questions within the cigarettes section.
- Updated PHWORST (which fear mentioned in the SMI is the strongest for the respondent) so that only highlighted response options are valid.
- GANRVLOT (more or less nervous than others?) response options were reworded to be consistent with GAWORLOT (worry more or less than others?).
- If the answer to QD18 (grade of school now attending) was within two years of QD11 (grade of school completed), an error box was triggered, and the FI had to either fix the information or explain it. This hard error was changed to only trigger the error box if question QD18 is less than QD11 by a year or more.
- Made wording in QD19 (full-time or part-time student status) dependent on whether the respondent is currently attending school or will be attending school after vacation/holiday.
- If INOC06's (Which of these categories best describes the business in which you work?) answer is "self-employed," QD34, which asks if the respondent has been self-employed at all in the past year, is now skipped.
- Added a date fill to the beginning of INOC07 (industry last worked in) to indicate which past job to refer to.
- Entering 9999 for "Never worked for pay" in QD39a (year last worked) clashed with the code 9999 the editing staff use to indicate "missing data." The code for "Never worked for pay" was changed to 9991.
- Updated state CHIP, Medicare/Medicaid, and TANF program names in the Health and Income sections.
- Edit checks within the household roster were added to help get the highest quality data in the field. These checks are:
 - If the respondent reports more than one spouse.

- Respondent's age entered in the household roster is checked with CURNTAGE (respondent's current age).
- If the FI enters a relationship code of 2 or 11 (father or grandfather) for a household member, then the respondent should be younger.
- If the FI enters a relationship code of 3 or 9 (son or grandson) for a household member, then the respondent should be older.
- Proxy questions were skipped if "don't know's" or "refusal's" were entered in the household roster for any household member ages. QP01 (if a proxy is needed) is now asked if no one else in the household roster is 18 or older, and there's at least 1 "don't know" or "refused" entered for age in the roster.
- The upper bound in the CAI logic for QHI02a (covered by CHIP?) was changed from 17 to 19.
- Wording in TOALLR3I (instructions to the respondent on how to fill out the verification form) was updated to match our protocol.
- INCENT01 (ending the interview with the respondent) and INCENT02 (did the respondent accept the incentive payment) were updated to refer to the \$30 incentive payment.
- In the FI Debriefing Questions, incentive debriefing questions (INCENT02-INCEN17) were added. (Missing question numbers are questions included in the Incentive Experiment CAI, but excluded from the 2002 NSDUH.)
- In FIDBF02 (Where did the interview take place?), response option number 3 was changed from RESTAURANT to IN SOME TYPE OF CONFERENCE ROOM ATTACHED TO A RESIDENCE HALL, SCHOOL, OR APARTMENT COMPLEX. The NSDUH protocol does not allow interviews to be conducted in restaurants.
- New debriefing questions, FIDBF04A and FIDBF04B, were added to try to capture information on how many of the pillcards respondents use.
- A new debriefing question, FIDBF04c, was added asking the FI for how much of the interview the respondent had their headphones on.
- In FIDBF07 (how private was the interview?), response option 2 was revised to specify that MINOR DISTRACTIONS referred to distractions from other people.

The complete 2002 CAI Questionnaire with all updated or additional questions and modules highlighted can be found in Section 12, *Questionnaires*, in the *2002 Methodological Resource Book*.

1.3 Interviewer Materials

The 2002 interviewer materials and the protocols for using those materials were based on the 2001 interviewer materials and protocols. In addition to minor wording revisions, and year updates [2001 to 2002], the following changes were made for the 2002 interviewer materials.

- The survey name change from NHSDA to NSDUH was reflected throughout the 2002 materials.
- With the implementation in 2002 of a cash incentive for completed interviews, the text of the screening informed consent script on the Newton and both Introductions to CAI were revised to include this new information. Additionally, incentive text was added to materials given to respondents, such as the Lead Letter, Study Description, Question and Answer Brochure, and Refusal Conversion and Unable to Contact letters.
- For the Lead Letter, changes included the name of the National Field Director and also, on the image of the sample FI ID badge, the new RTI logo.
- The format of the Study Description was changed to make it look less like a letter (specifically the Lead Letter). The text and signature of Dr. Goldstone were enclosed in a large box, while the title and the DHHS/PHS/OAS logo were at the top of the document.
- Revisions to the text of the Question and Answer Brochure included some simplification and personalization of the content, such as replacing "How Are the Participants Selected?" with "How Was I Selected?" A new section answered the question "Why Should I Participate?"
- The format of the Question and Answer Brochure was altered to increase legibility and readability. Graphics were also inserted to provide some balance to the large amount of text on the brochure. It also was changed from a tri-fold brochure printed on 8½ x 11 inch paper to a brochure with 4 folds printed on 8½ x 14 inch paper.
- A new handout available to interviewers in 2002 was referred to internally as the "Spanish Card." For non-bilingual interviewers encountering a Spanish speaking household, this card, written in Spanish, requested an English speaking respondent. If no one was available, the back of the card explained that an interviewer who could speak Spanish would return, and asked the person to record a good time for this interviewer to visit. This was not a procedural change. Providing the card to the interviewers simply improved communication with the person at the door.
- Another new handout was the SAMHSA report entitled "Beliefs Among Youths About Risks from Illicit Drug Use." Interviewers added this to their supply of various handouts available to use in gaining cooperation.
- The Certificate of Participation was revised to update the National Field Director's name and to give it a new "look" with altered format and font.

- The format of both Introduction to CAI scripts was improved to make it easier for interviewers to know which paragraphs to use in various situations, such as if an adult respondent was not the screening respondent.
- Updates to the Pillcards, bound in the Showcard Booklet and used during the pill sections of the interview, included several updated pictures and medication spellings.
- On the Verification Form, completed at the end of the interview, the spaces for recording the date and time of the interview, which was completed by the interviewer, were moved to the bottom portion of the form.
- A new form for use at the completion of the interview, the Interview Payment Receipt, allowed the FI to document payment of the cash incentive. The respondent, interviewer, and supervisor all received a copy of the receipt.

Copies of the 2002 interviewer materials can be found in Section 10, *Written Communication*, in the *2002 Methodological Resource Book*.