1.0   Overview

These specifications are organized into three sections: an overview, the facility-level specifications, and SP-level specifications.

The overview relies on tables in sections 1.1 through 1.3 that show the various Sampled Person and Facility types. In Round 1, we field the Sampled Facilities. There is no question of eligibility with the SFs, since we stop all data collection for an SF if the SF is ineligible in the Facility Questionnaire. However, in Rounds 2 and 3, we also field "new facilities," i.e., facilities that are identified in the Residence History as places where the SP went during 1996. We administer the FQ in these NFs, and the amount of SP-level data we collect is dependent on the eligibility status as determined by the FQ. This strategy yields five facility types over the course of the survey:

1.   Sampled Facility. Fielded in Rounds 1-3
2.   Round 2 New Facility, Eligible. Fielded for the first time in Round 2 and found to be eligible.
3.   Round 2 New Facility, Ineligible. Fielded for the first time in Round 2 and found to be ineligible (either in the screener or in the Facility Questionnaire).
4.   Round 3 New Facility, Eligible. Fielded for the first time in Round 3 and found to be eligible.
5.   Round 3 New Facility, Ineligible. Fielded for the first time in Round 3 and found to be ineligible (either in the screener or in the Facility Questionnaire).

SPs are sampled each round only in the SFs; those sampled in Round 1 are known as Current Residents, those sampled in Round 2 are Round 2 First Admits (F2s), and those sampled in Round 3 are Round 3 First Admits (F3s). In addition, these SPs may transfer into other facilities during Rounds 2 and 3; in some cases, they will transfer into SFs, and in other cases they will transfer into new facilities. These combinations yield the seven facility types you see in the following tables.

1.1   Overview: Round 1

Sample Persons:	Facilities: SF	Rd2 NF, elig.	Rd2 NF, inelig	Rd3 NF, elig	Rd3 NF, inelig
CR sampled in this fac	Round 1, 2, 3				
F2 sampled in this fac	*Round 2, 3*				
F3 sampled in this fac	*Round 3*				
CR, continuing TR	*Round 3*	*Round 3*	*Round 3*		
CR, new TR	*Round 2, 3*	*Round 2, 3*	*Round 2, 3*	*Round 3*	*Round 3*
F2, new TR	*Round 3*	*Round 3*	*Round 3*	*Round 3*	*Round 3*
F3, new TR	*Round 3*	*Round 3*	*Round 3*	*Round 3*	*Round 3*

Round 1 Notes:

Only CRs sampled in this facility are included (see the cell bordered by double lines).

RH: Reference period for timeline data collection is SAD through today (or date of death if SP deceased); pre-stay reference period starts at SAD and goes backwards through last community stay beginning before 1/1/96.

HS: For eligible CRs, we collect Section HA (Baseline: 1/1/96), Section HB, and Section HC. The batteries are always administered in A-B-C order.

PM: The reference period for all eligible SPs in any given round is the earliest month in 1996 spent at least partially in an eligible unit of this facility and not already covered by a previous round's PM section, through the most recent month for which we have collected RH data for the entire month, and at least part of the month was spent in an eligible unit of this facility, and the month was not already covered by a previous round's PM section.[1]

BQ: No reference period; data are collected once, in the round in which the SP was sampled and found eligible.

IN: No reference period; data are collected once, in the round in which the SP was sampled and found eligible.

1.2 Overview: Round 2

Sample Persons:	Facilities: SF	Rd2 NF, elig.	Rd2 NF, inelig	Rd3 NF, elig	Rd3 NF, inelig
CR sampled in this fac	Round 1, 2, 3				
F2 sampled in this fac	Round 2, 3				
F3 sampled in this fac	Round 3				
CR, continuing TR	Round 3	Round 3	Round 3		
CR, new TR	Round 2, 3	Round 2, 3	Round 2, 3	Round 3	Round 3
F2, new TR	Round 3	Round 3	Round 3	Round 3	Round 3
F3, new TR	Round 3	Round 3	Round 3	Round 3	Round 3

Round 2 Notes:

Round 2 covers CRs continuing in their original SFs, F2s receiving their first SF interview, and CRs receiving their first interviews in a facility other than where they were sampled (which could be another SF or an entirely new facility). This latter category are known as Transfer SPs. All Rd2 NFs are screened, and some are found to be ineligible, while the remaining NFs receive the FQ to determine

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[1] "Already covered" in a previous round means that the month was selected from the PM1A matrix. Those months spent in an eligible unit of the facility and not selected from this matrix in a previous round are included in the current round's PM data collection.

eligibility; eligible Rd2 NFs continue with full data collection as appropriate for the SP, while in ineligible Rd2 NFs (as determined by either the screener or the FQ) we administer only RH.

RH:
  For CRs:
        If the SP died before the Round 1 date of interview, then no RH is collected in Round 2.
        Otherwise, for CRs continuing in their original facilities [first row on table above], the reference period begins on the Round 1 date of interview, and ends on the earliest of 12/31/96, the date of death (if deceased), or today.
        Otherwise, for CRs receiving their first RH in a transfer facility [fifth row], the reference period begins on the Transfer Admit Date (TAD) and ends on the earliest of 12/31/96, the date of death (if deceased), or today. If the TAD is after the transfer date reported by the previous facility, we will also administer pre-stay to cover that period.
  For F2s [second row], the reference period for timeline data collection is SAD through the earliest of 12/31/96, the date of death (if deceased), or today; pre-stay reference period starts at SAD and goes backwards through last community stay beginning before 1/1/96.

HS: For CRs, we collect Section HA (Time 2: 12/31/96) if the Round 2 RH data show that the SP was in an eligible unit of the facility on 12/31/96; otherwise, we do not collect Section HA for CRs in Round 2. For F2s, we collect Section HA (Baseline: KAD). If the Round 2 RH data show that the SP was in an eligible unit of the facility on KAD+90, and the date of the interview is on or after KAD+120, then we also collect Section HA (Time 2: KAD+90). For all SPs, if any stays in an eligible unit of the facility were reported in RH, we also administer Section HB. We also collect Section HC if either Section HA or Section HB were administered. The sections are always administered in A-B-C order.[2]

PM: Reference period defined in Round 1 overview.

BQ: No reference period; data are collected once, in the round in which the SP was sampled. In Round 2, BQ data are only collected for F2s in their original facilities.

IN: No reference period; data are collected once, in the round in which the SP was sampled. In Round 2, IN data are only collected for F2s in their original facilities.

USE: For CRs in their original facilities [top row of table], the reference period begins on 1/1/96. For CRs in a transfer facility [fifth row], the reference period begins on the transfer admit date (TAD). For F2s [second row], the reference period begins on SAD. For all SP types, the USE reference period ends on the most recent date that the SP was in an eligible unit of the facility on or prior to 12/31/96.

_____

[2] As a Round 2 example, if we interview beyond KAD+120 for an F2 who was in the facility the entire time since KAD, the sequence would be: Section HA (Baseline: KAD), Section HA (Time 2: KAD+90), Section HB, Section HC. If we interview before 12/31/96 for a CR who was in the facility the entire time since before 1/1/96, we only administer Section HB; but this same CR interviewed after 12/31/96 would get Section HA (Time 2: 12/31/96), Section HB, and Section HC.

EX: Initial reference period, for navigate purposes, same as USE. An exception to this is: if the day portion of the end of reference period is missing (but the month and year are known), then the EX reference period ends either on the current date (if the end of reference period month is the same as the current month) or on the last day of the end of reference period month. In all cases, the end of the reference period may not be later than 12/31/96. Please note that the reference period may change within the EX section, based on the date of the first billing period and the date through which the facility has up-to-date billing records.

1.3   Overview: Round 3

	Facilities:				
Sample Persons:	SF	Rd2 NF, elig.	Rd2 NF, inelig	Rd3 NF, elig	Rd3 NF, inelig
CR sampled in this fac	Round 1, 2, 3				
F2 sampled in this fac	Round 2, 3				
F3 sampled in this fac	Round 3				
CR, continuing TR	Round 3	Round 3	Round 3		
CR, new TR	Round 2, 3	Round 2, 3	Round 2, 3	Round 3	Round 3
F2, new TR	Round 3	Round 3	Round 3	Round 3	Round 3
F3, new TR	Round 3	Round 3	Round 3	Round 3	Round 3

Round 3 Notes:

In Round 3 we encounter the full range of facility and SP types. Rd2 NF eligibility was determined in Round 2. All Rd3 NFs receive the screener and possibly the FQ to determine eligibility; eligible Rd3 NFs continue with full data collection as appropriate for the SP, while in ineligible Rd3 NFs we administer only the RH. Notice that Rd3 NFs include those facilities identified for the first time in either Round 2 or Round 3.

RH:
        For continuing SPs (first, second, and fourth rows): If the SP was deceased prior to the Round 2 date of interview, the RH is NA. Otherwise, the reference period begins on the Round 2 date of interview, and ends on the earliest of 12/31/96, the date of death (if deceased), or today.
        For F3s in their original facility (third row), the reference period for timeline data collection is SAD through the earliest of 12/31/96, the date of death (if deceased), or today; pre-stay reference period starts at SAD and goes backwards through last community stay beginning before 1/1/96.
        For SPs receiving their first RH in a transfer facility (rows five, six and seven), the reference begins at TAD and ends on the earliest of 12/31/96, the date of death (if deceased), or today.

HS: For CRs, we collect Section HA (Time 2: 12/31/96) if the Round 3 RH data show that the SP was in an eligible unit of the facility on 12/31/96; otherwise, we do not collect Section HA for CRs in Round 3. For F2s, if the Round 3 RH data show that the SP was in an eligible unit of the facility on KAD+90, we also collect Section HA (Time 2: KAD+90). For F3s, we collect Section HA (Baseline: KAD). If the Round 3 RH data show that the SP was in an eligible unit of the facility

on KAD+90, and KAD+90 is on or before 12/31/96, we also collect Section HA (Time 2: 12/31/96). For all SPs, if any stays in an eligible unit of the facility were reported in RH, we also administer Section HB. We also collect Section HC if either Section HA or Section HB were administered. The sections are always administered in A-B-C order.

PM: Reference period defined in Round 1.

BQ: No reference period; data are collected once, in the round in which the SP was sampled. In Round 3, BQ data are only collected for F3s in their original facilities.

IN: No reference period; data are collected once, in the round in which the SP was sampled. In Round 3, IN data are only collected for F3s in their original facilities.

USE:
       For continuing SPs [first, second and fourth rows of table], if the SP was deceased prior to the Round 2 date of interview, then USE is NA. Otherwise, the reference period begins on the Round 2 date of interview, and ends on the earliest of 12/31/96, the date of death (if deceased), or today.
       For F3s in their original facility [third row], the reference period begins on SAD, and ends on the earliest of 12/31/96, the date of death (if deceased), or today.
       For SPs receiving their first RH in a transfer facility [rows five, six and seven], the reference begins at TAD and ends on the earliest of 12/31/96, the date of death (if deceased), or today.

EX:
       For continuing SPs [first, second, and fourth rows]: If no Round 2 billing periods require retrieval, and the SP did not spend any time in an eligible unit of the facility that was not already covered by a previous EX, then EX should be marked NA. If any Round 2 billing periods require retrieval, then the reference period begins at the earliest billing period requiring retrieval. Otherwise, the reference period begins on the first day on which the SP stayed in an eligible unit of the facility after the last day covered by EX in the previous round. The reference period ends on 12/31/96 if the SP was in an eligible unit of the facility on that date; otherwise the reference period ends on the most recent date prior to 12/31/96 that the SP resided in an eligible unit of the facility. If the day portion of the end of reference period is missing (but the month and year are known), then the EX reference period ends either on the current date (if the end of reference period month is the same as the current month) or on the last day of the end of reference period month. In all cases, the end of the reference period may not be later than 12/31/96.
       For F3s in their original facility [third row], the reference period begins on SAD; the reference end date is the same as for continuing SPs.
       For SPs receiving their first RH in a transfer facility [rows five, six and seven], the reference begins at TAD; the reference end date is the same as for continuing SPs.

2 Facility-Level Navigation

2.1 Screen Layout

The facility-level navigation screen is the first CAPI screen that requires the interviewer to enter any data:

```
FACNAV
                ROUND {n} {SAMPLE/NEW} FACILITY NAVIGATION

                    CURRENT STATUS:  {CASE STATUS}
                {ELIGIBILITY STATUS:  {ELIGIBLE/INELIGIBLE/UNKNOWN}}


                               (   )

                {1.  FACILITY QUESTIONNAIRE          ({FQ STATUS})}
                {2.  SAMPLING                        ({SAMPLING STATUS})}
                 3.  SP NAVIGATION                   ({NOT} AVAILABLE)
```

2.2 Screen Behavior

The first line should display the current round number, and "SAMPLE" or "NEW".

The {CASE STATUS} display should contain the overall status of this facility:

Rd	Code	Meaning	**Facilities** SF	eligible R2 NF	ineligible R2 NF	eligible R3 NF	ineligible R3 NF
1	1	Fac not started	available	available	n/a	available	available
1	2	Fac started, not completed	available	available	n/a	available	available
1	3	Need fac MD & sampling	available	n/a	n/a	n/a	n/a
1	4	Need fac MD and SP work	available	available	n/a	available	available
1	5	Need fac MD, SP work/MD	available	available	n/a	available	available
1	6	Need fac MD & SP MD	available	available	n/a	available	available
1	7	Need fac MD; SPs done	available	available	n/a	available	available
1	8	Fac final, need sampling	available	n/a	n/a	n/a	n/a
1	9	Fac final, need SP work	available	available	available	available	available
1	10	Fac final, need SP work/MD	available	available	available	available	available
1	11	Fac final, need SP MD	available	available	available	available	available
1	12	Complete/Final	available	available	available	available	available
1	13	Stopped by home office	n/a	n/a	n/a	n/a	n/a
2/3	81	Fac not started	available	available	n/a	available	available
2/3	82	Need facility-level work	available	available	available	available	available
2/3	83	Need facility- and SP-level work	available	available	available	available	available
2/3	84	Need SP-level work	available	available	available	available	available
2/3	85	Complete/Final	available	available	available	available	available

The {ELIGIBILITY STATUS} display line will only appear for New Facilities, and will display the facility eligibility status ("Eligible", "Ineligible", or "Unknown").

The first category (Facility Questionnaire status) on the FACNAV screen will appear for all facilities in all rounds, and will display the following codes:

Facility	Questionnaire	
Code	Meaning	When displayed
1	Not Available	Only displayed if facility is ineligible from a previous round or from the screener.
2	Not started	Initial value for all facilities which are not ineligible
3	Started, not completed	FQ data collection interrupted; not enough data to proceed to sampling.
4	Missing data	Further data collection required to be designated "complete."
5	Complete	FQ data collection is complete for the current round, or in R3 only a R2 New Facility was ineligible but is being fielded to complete Residence History

The second category on the FACNAV screen (Sampling status) will appear only for eligible Sample Facilities, and will be coded in each round as "Not Available" until the Facility Questionnaire is either "Missing Data" or "Complete." At that point, Sampling will be displayed as "Not Started" until the section is started, "Started, not completed" until the section is complete, and "Complete" when appropriate. Sampling should be "Complete" if there were no admissions during the sampling reference period. Notice that "Missing Data" is not relevant for the Sampling section in any facility. The possible codes are:

Sampling		
Code	Meaning	When displayed
1	Not available	When FQ is any status other than Missing Data or Complete
2	Not started	Initial value after FQ is Missing Data or Complete
3	Started, not completed	Sampling data collection interrupted
5	Complete	All Sampling data collected for this round
6	Final Refusal	Facility refused to provide sampling list

Category 3 (SP Navigation) will appear on the screen for all facilities in all rounds, and the possible codes are "Available" or "Not Available". The program will display "Available" if there are one or more SPs for whom we know the scope of the data collection; otherwise, the screen shows "Not Available." For instance, in a Sampled Facility in Round 1, this category should show "Not Available" until Sampling is complete; however, in Round 2, this category should be "Available" at the beginning of the round, since the interviewer could collect data on the Current Residents. For New Facilities receiving their first NNHES interviews, this category should be "Not Available" if we do not know the facility's eligibility status (and therefore do not know the scope of the SP-level data collection). However, if the New Facility has been deemed ineligible from the screener or FQ in this round, or the eligibility status is known from a previous round, then this category should be "Available."

3   SP-level Navigation

3.1   NAVIGATE Screen

When the interviewer selects "SP Navigation" from the facility navigation screen, she comes to the NAVIGATE screen:

NAVIGATE

SELECT THE SP AND SECTION YOU WOULD LIKE NEXT
{(* CTRL-F and CTRL-G AVAILABLE *)}

Sample Type	Name	RH	HS	PM	BQ	IN	{IA	USE	EX	CRR}
CR	Agatha...	RDY			NA	NA				{NA}
F2	Brenda...	RDY			NA	NA				{NA}
CR	Carmen...	NA	NA	NA	NA	NA		{NA}	{NA}	{NA}
F3	Darnelle...	RDY								
TR	Edith...	RDY			NA	NA				
TR	Frances...	RDY			NA	NA				{NA}

(More Below)

{Sample/Transfer} Admission Date:	{DATE}	Available Result Codes:
Vital Status:	{ALIVE/DEC'D ON {DOD}}	{CODE}
{SECTION} Status:	{STATUS}	{CODE}
{Reference Period:	{REFERENCE DATES}}	{...}

General screen behavior:

- The USE, EX, and CRR sections are used in Rounds 2 and 3, not in Round 1. The CRR column is never used in New Facilities. The IA section is administered only in Round 3.

- The cursor is always on a "cell" defined by the intersection of an SP and a section. The interviewer may press <Enter> on a "RDY" or "MD" cell to start that CAPI section for that SP. The interviewer may enter a result code on appropriate cells for that particular SP-section.

- The interviewer may select a section to be worked by arrowing to that cell and pressing <Enter>. If the section has a disposition that allows the interviewer to select it, according to the table in section 3.2, then the interviewer will proceed into that section. Otherwise, an appropriate error message will be displayed and the interviewer will remain on that cell.

- When the NAVIGATE screen is first shown during an interviewing session, the cursor will be on the cell for Residence History for the first SP; after the interviewer selects and completes a section, the program will return to this screen with the cursor on the cell for the SP and section just completed.

- Control-A (Add a Line) and Control-D (Delete a Line) are not allowed.

- The interviewer may exit this screen by pressing <Esc>.

- Subject to the relationships in the table in section 3.2, the interviewer may arrow to a cell and enter an interim or final result code.

- After an interviewer completes a section, CAPI will assign it either a 96-C or a 94-MD, according to the retrieval specifications for that section.

- The General CAPI Specifications describe the standard instructions at the bottom of the screen (using arrow keys, the Escape key, etc.). To this instruction line, add: "TO SAVE, PRESS F10".

3.2 Matrix Displays

- If the interviewer has moved backwards either using control-B or control-J, and a forward entry is available, display "(* CTRL-F and CTRL-G AVAILABLE *)" in bright magenta on black. If no forward entry is available, leave the display blank and colorless.

- Sample Type (Column 1): If the SP was sampled in this facility, display the CR, F2, or F3 sample type. Otherwise, display TR (for Transfer SP).

- Name (Column 2): Display first and last name for each SP, in ascending alphabetical order by last name.

- Section Dispositions (Columns 3-10): Display the current disposition for each SP-section combination, using the following table:

Code	Meaning	Screen display	Determ'd by:	"Available" if current code is:	"Available" codes:	Can int select?
91	Not Ready	(blank)	CAPI		none	N
92	Ready for Interviewing	RDY	CAPI		1,4	Y
93	Breakoff	BRK	CAPI		1,4	Y
94	Missing Data	MD	CAPI		13,1,4	Y
95	Ineligible/Sampling Err.	IF	CAPI		none	N
96	Complete	C	CAPI		none	N
97	Ready for Data Entry	DE	CAPI		4,14	Y
99	Not Applicable	NA	CAPI		none	N

1	Consent Required	CRQ	Interviewer	92,93,94,2,4	2,3	N
2	Consent Obtained	RDY	Interviewer	1,3	1,4	Y
3	Initial Consent Denied	ICD	Interviewer	1	2,11	N
4	Initial Refusal	REF	Interviewer	92,93,94,97,1,2	1,12	Y
11	Final Consent Denied	FCD	Interviewer	3	none	N
12	Final Refusal	FR	Interviewer	4	none	N
13	Never Will Know	C	Interviewer	94	none	N
14	No Comm Resps Avail.	C	Interviewer	97	none	N
15	SP Name Not Known	C	Interviewer	97	none	N

3.3   Dynamic Screen displays

The lower half of the NAVIGATE screen displays current information about the SP and section where the cursor is positioned. The SAD/TAD and Vital Status displays change each time the interviewer arrows into a new row (i.e., these are attributes of the SP). The Reference Period, Section Status and Available Result Code displays change each time the interviewer arrows into a new cell -- that is, these are attributes of the SP-section combination.

3.3.1   Sampled Admission Date/Transfer Admission Date. For SPs sampled in the current facility (i.e., non-transfer SPs), display the SAD; if the SAD is not known, display "UNKNOWN". For SPs not sampled in the current facility (i.e., transfer SPs), display the TAD from Residence History (if Residence History is not yet completed, use the date of admission reported by a previous source).

3.3.4   Vital Status. This may be known after sampling, and must be known in order for Residence History to be complete. If the vital status is not known, display "UNKNOWN". If the SP is alive, display "ALIVE". If the SP is deceased, display "DECEASED ON {Date of Death }", where date of death is in standard mm/dd/yy format with DK or RF substituted as necessary and appropriate for the components of the date.

3.3.5   Section Status. Using the table in section 3.2 of these specifications, display the "Meaning" that corresponds to the current disposition for the section.

3.3.6   Reference Periods. If the section has a blank, NA, or final status code, no reference period information is displayed. Otherwise, display the reference periods described for each facility type, SP type, and questionnaire section in section 1 of these specifications.

3.3.7   Available Result Codes. Using the table in section 3.2 of these specifications, display the "Available Codes" that correspond to the current disposition for the section. These available codes also serve as the hard range for this cell on the matrix.

3.4 Initializing the NAVIGATE Matrix

Sample Persons:	Facilities: SF (eligible)	Rd2 NF, elig.	Rd2 NF, inelig	Rd3 NF, elig	Rd3 NF, inelig
CR sampled in this fac	Rd1: Rule A Rd2: Rule B Rd3: Rule B				
F2 sampled in this fac	Rd2: Rule A Rd3: Rule B				
F3 sampled in this fac	Rd3: Rule A				
CR, continuing TR	Rd3: Rule B	Rd3: Rule B	Rd3: Rule D		
CR, new TR	Rd2: Rule C Rd3: Rule C	Rd2: Rule C Rd3: Rule C	Rd2: Rule D Rd3: Rule D	Rd3: Rule C	Rd3: Rule D
F2, new TR	Rd3: Rule C	Rd3: Rule C	Rd3: Rule D	Rd3: Rule C	Rd3: Rule D
F3, new TR	Rd3: Rule C	Rd3: Rule C	Rd3: Rule D	Rd3: Rule C	Rd3: Rule D

Rule A (SPs sampled this round in this facility): RH is RDY, all others are blank.

Rule B (continuing SPs in an eligible facility):
>   BQ, IN sections always initialized to NA.
>   If the CRR adminstered in a previous round, then CRR initialized to NA.
>   If previous round RH was final non-response (any code other than 96-C), then initialize all sections to NA for this SP.
>   If SP deceased at previous round date of interview, then initialize RH and HS to NA. If any PM data need to be collected, set PM to RDY; otherwise, set PM to NA. If any USE data need to be collected, set USE to RDY; otherwise, set USE to NA. If any EX data need to be collected or retrieved, set EX to RDY; otherwise set EX to NA.
>   Otherwise (SP not deceased at end of previous round), then initialize RH to RDY, and leave HS, PM, USE and EX blank.

Rule C (transfer SPs receiving first interview in an eligible facility): Initialize RH to RDY, set BQ and IN to NA, and leave all other sections blank.

Rule D (transfer SPs receiving first or continuing interview in an ineligible facility): If previous round RH was final non-response (any code other than 96-C) or if SP deceased at previous round date of interview, then set all sections to NA. Otherwise, initialize RH to RDY and set all other sections to NA.

3.5 Setting CAPI Dispositions on NAVIGATE

Residence History must be set to 94-Missing Data or 96-Complete before any other section can be worked.

Each time the interviewer administers RH <u>before any other SP-level section has been started</u>, the program needs to evaluate the RH outcome and set the other section dispositions accordingly. Once any other SP-level section has been started for a particular SP, a change in the RH disposition has <u>no effect</u> on the dispositions of the other SP-level sections for that SP.

If the RH outcome is 95-IF, then set all other sections to NA. Otherwise, follow the instructions below.

When the current RH status is either 94-MD or 96-C with no other SP-level sections started for this SP, and the SP <u>is</u> a transfer SP with no stays in eligible units of the facility, then set all remaining sections to NA.

When the current RH status is either 94-MD or 96-C with no other SP-level sections started for this SP, and the SP <u>is not</u> a transfer SP with no stays in an eligible unit of the facility, then evaluate each section <u>not already</u> initialized to NA from section 3.4:

HS: Set HS to RDY.
PM: If the SP needs any PM data collection, as defined in section 1 of these specifications, set PM to RDY; otherwise, set PM to NA.
BQ: Set BQ to RDY.
IN: Set IN to RDY.
IA: *[Not applicable for Rounds 1 and 2.]*
USE: *[Not applicable for Round 1.]* If the SP had any stays between 1/1/96 and 12/31/96 in an eligible unit of the facility and not asked about in a previous round, set USE to RDY; otherwise set USE to NA.
EX: *[Not applicable for Round 1.]* If the SP had any stays between 1/1/96 and 12/31/96 in an eligible unit of the facility and not asked about in a previous round, set EX to RDY. Else if EX was administered in a previous round and any retrieval is necessary, set EX to RDY. Otherwise, set EX to NA.

If RH is finalized with a final non-response code, and RH has not been 94-MD in this round, then HS, PM, BQ, IN, and USE should be set to NA (unless they already are NA). If there are outstanding expenditures items from the previous round data collection, set EX to RDY. Otherwise, set EX to NA.[3]

3.6   A Special Case: The Community Respondent Roster

The Community Respondent Roster (CRR) poses a special challenge for the navigation system, since the interviewer collects that actual CRR data via hard copy. The interviewer is directed to prompt the respondent for community contacts during all of the SP-level sections, and therefore the CRR section is blank (Not Ready) until all of these sections are final for an SP. (Note: for CRR purposes, PM is considered final if it is currently 94-MD.) When all SP-level sections are final, the CRR cell will have a result code of 97-DE, indicating that the interviewer needs to perform the hard copy data entry for the CRR section before the section can be coded as a complete.

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[3] Note that the interviewer is allowed to close out a 94-MD with an initial, and then final, refusal. This means that it is possible to finalize an SP with 12-Final Refusal in RH, and 96-C in all the other SP sections -- as long as RH was a 94-MD before it became a 12-FR. It is also possible that the SP could be finalized with 12-FR in RH and 99-NA in the other SP sections.

When the CRR section is marked 97-DE, the interviewer has the following options:

1. She may enter 4-Initial Refusal, which may become a final refusal for that section if the facility refused to divulge any community respondent information.
2. She may enter 14-No Community Respondents Available, if the facility cooperates but the SP simply has no living next-of-kin.
3. She may enter 15-SP Name Not Known, if the facility will not release the SP names.
4. She may press enter, go into the CRR module and enter the community respondent data.