

2004 NATIONAL SURVEY ON DRUG USE AND HEALTH

Full-Year Field Observation Report - FINAL

Contract No. 283-03-9028
RTI Project No. 08726
Deliverable No. 36

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Prepared for:
Substance Abuse and Mental Health Services Administration
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Prepared by:
RTI International
Research Triangle Park, NC 27709

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1. Introduction

Beginning in the spring of 2001, SAMHSA and RTI staff conducted a few informal field observations of Field Interviewers (FIs) working National Survey on Drug Use and Health (NSDUH) cases in the District of Columbia and North Carolina areas. The primary intent was to assess how closely FIs follow project protocols while completing fieldwork. Errors were prevalent enough to warrant further investigation. As a result, beginning in January 2002, nationwide field observations were begun. The purposes of these field observations included assessing and monitoring the nature and extent of screening and interviewing problems occurring in the field, and using the findings to improve training and field procedures in current and subsequent NSDUH surveys.

In 2004, field observations were conducted during Quarters 1, 2, 3, and 4. The 2004 field observations were conducted by NSDUH field management staff from both RTI and Headway. The design was to have these staff observe interviewers on 400 separate occasions with additional observations conducted by SAMHSA staff. An observation was considered complete only if a full interview was observed. An observation that entailed observing only completed screenings did not count toward the goal of 400 observations. No FIs were observed during their first quarter of work.

This full-year report summarizes the field observations conducted between January 1, 2004 and December 31, 2004. During this time period, a total of 403 observations were conducted with interviewers completing 825 screenings and 512 interviews. SAMHSA staff completed 2 of the 403 observations conducted, observing 8 screenings and 4 interviews. The remainder of the observations was conducted by RTI and Headway staff. Sixteen (16) observations not included in the count of 403 ended in observing completed screenings only. The data from these observations are included in this report. Observations were conducted by 52 Field Supervisors (FSs), 9 Regional Supervisors (RSs), 2 Regional Directors (RDs), 12 Survey Specialists (SSs), and 5 other project staff; and 1 SAMHSA staff member. Observers were assigned to observe both new FIs and veteran FIs throughout the year. "New" FIs were defined as FIs who had been initially trained on the NSDUH during the 2003 survey year at the September New-to-Project training session, and FIs who had been initially trained on the NSDUH during the 2004 survey year at the March or June New-to-Project training session.

In addition to summarizing the field observation procedures followed and the errors observed in 2004, this report summarizes actions implemented and recommendations for future actions based on the findings.

2. Observation Procedures

In order to minimize costs, but still ensure coverage of a variety of FIs and work conditions, we selected FIs using a purposive selection method. It would have been cost prohibitive to randomly select FIs for field observations. We planned field observation trips as early as possible to allow adequate time for planning efficient travel. The FIs were selected for observations based on the following criteria (in order of importance):

- Sufficient viable pending work to allow for observing an interview
- FI experience (New FI, Veteran FI)
- Recommendation for re-observation by previous observer or Regional Director
- Type of area (Rural, Suburban, Urban)
- Census region (Northeast, South, Midwest, West)
- FI gender (Male, Female)
- FI race (White, Black, Other)

In order to examine changes in screening and interviewing behavior over time, a subset of FIs observed included those that had been observed previously. This subset is included in the count of 403 field observations completed.

Observations were conducted in all 50 states plus the District of Columbia (see **Tables 2.1** through **2.5** for numbers of observations by FI experience, type of area, census region, FI gender, and FI race). Observers used a Field Observation Screening Checklist and a Field Observation Interviewing Checklist to document their observations. (A copy of these checklists as well as all the field observation field materials mentioned in the next two paragraphs can be found in the Appendix.) A Field Observer Reference Sheet, Field Observer Instructions sheet, and a Field Observer Task List were used in order to help maintain consistency in planning observation assignments and interacting with FIs and respondents. Observers were asked to mail a Field Observation FI Instructions sheet to the FI prior to the observer's arrival in the field. Current versions of the IPAQ Housing Unit (HU) and Group Quarters Unit (GQU) Scripts and CAI specifications for the front-end and back-end CAPI questions were posted on the project website for observers to print and use to follow along with FIs during observations.

Observers were asked to transfer information from paper Field Observation Screening Checklists and Field Observation Interviewing Checklists to electronic versions on the project website within 24 hours of completing an observation. This information was summarized into two master Excel data files accessible to all project staff members and SAMHSA staff via a link on the NSDUH website; one file contained all the screening observation data and the other file contained all the interviewing observation data. This page contained filters that allowed field management staff to download specific field observation data into a data summary report.

Each week a status report file called the Field Observations Weekly Status Report was sent to SAMHSA. This report included a count of observations completed to date and characteristics of observation trips completed and planned for the year. A summary page provided a count of all observations by type of travel (local, drive overnight, fly), census region, type of area, and whether the FI was observed previously. The summary file also indicated whether or not an FI was recommended for re-observation. For FIs recommended for re-observation, the file indicated the reason given for re-observation, the name of the previous observer, and the survey year(s) during which the FI was previously observed.

RTI developed a standard process for providing feedback to observed FIs. All field observation data were to be entered into the NSDUH website within 24 hours of completing an observation. The Field Observation Manager reviewed the information posted on the web for accuracy and completeness. Form omissions or mistakes made on the form by the observer were corrected by the Field Observation

Manager after gaining clarification from the observer. Observers were not allowed to give any observation feedback to the FI during or after the observation. The managing FS shared feedback with the FI after the observation trip had been completed, all data had been entered into the web CMS, and an e-mail had been sent to the managing FS by the Field Observation Manager giving permission to share the results. For cases where FIs made minor errors such as not having the respondent place the Quality Control Form in the Quality Control Form envelope himself/herself, the FS was instructed to have a detailed discussion with the FI about the error. For FIs whose demonstration of procedures was weak, such as not conducting the interview at a good pace, using leading probes, or not reading all interview questions verbatim, more extensive phone re-training or mentoring was required. Positive feedback concerning an FI's performance was sent via email to the managing FS, copying the RS, RD, Field Observation Manager, and National Field Director.

For FIs who committed a serious breach of protocol, defined as those which, when committed by an FI, could potentially violate a respondent's rights and/or compromise the accuracy of the data collected, the FI's work was suspended until the FS conducted retraining, and the RS, RD, and National Field Director approved the FI to return to work. The exact recommendations were based on the severity of the errors discovered during the observation and were monitored by the National Field Director for appropriateness. In these cases, a verbal warning (or a more serious disciplinary action if the FI had received a disciplinary action previously for the same behavior) was also issued to the FI.

Field observers were trained to remain neutral during the observations, and were only to intercede with a screening or interview if the respondent's rights were being violated or if the project equipment was in jeopardy. In all other situations, observers were instructed not to interfere.

Table 2.1 Observation Counts by FI Experience

FI Experience	New FI (M¹=116)	Veteran FI (M=287)	Total (M=403)
Screening Observations	286 (35%)	539 (65%)	825 (100%)
Interviewing Observations	147 (29%)	365 (71%)	512 (100%)
Overall	433 (32%)	904 (68%)	1,337 (100%)

Table 2.2 Observation Counts by Type of Area

Type Of Area	Rural (M=77)	Suburban (M=191)	Urban (M=135)	Total (M=403)
Screening	158 (19%)	399 (48%)	268 (33%)	825 (100%)
Interviewing	102 (20%)	239 (47%)	171 (33%)	512 (100%)
Overall	260 (19%)	638 (48%)	439 (33%)	1,337 (100%)

¹ M = number of unique observations completed

Table 2.3 Observation Counts by Census Region

Region	Northeast (M=85)	South (M=105)	Midwest (M=121)	West (M=92)	Total (M=403)
Screening	161 (20%)	225 (27%)	232 (28%)	207 (25%)	825 (100%)
Interviewing	110 (21%)	133 (26%)	154 (30%)	115 (22%)	512 (100%)
Overall	271 (20%)	358 (27%)	386 (29%)	322 (24%)	1,337 (100%)

Table 2.4 Observation Counts by FI Gender

FI Demographics: Gender	Male (M=89)	Female (M=314)	Total (M=403)
Screening	167 (20%)	658 (80%)	825 (100%)
Interviewing	114 (22%)	398 (78%)	512 (100%)
Overall	281 (21%)	1,056 (79%)	1,337 (100%)

Table 2.5 Observation Counts by FI Race

FI Demographics: Race	White (M=328)	Black (M=49)	Other (M=26)	Total (M=403)
Screening	694 (84%)	85 (10%)	46 (6%)	825 (100%)
Interviewing	418 (82%)	63 (12%)	31 (6%)	512 (100%)
Overall	1,112 (83%)	148 (11%)	77 (6%)	1,337 (100%)

3. Findings²

3.1 General Findings

Out of a possible 25,575 screening errors in 2004 (825 completed screenings x 31 possible errors on the Field Observation Screening Checklist), field observers noted 545 errors—2.13 percent of possible screening errors. Out of a possible 12,800 interviewing errors in 2004 (512 completed interviews x 25 possible errors on the Field Observation Interviewing Checklist), field observers noted 951 errors—7.43 percent of possible interviewing errors.

Several trends emerged among the 2004 field observations data. We were pleased to find that the vast majority of FIs displayed positive behaviors when conducting screenings (see **Table 3.1.1**). Of the 31 activities listed on the Field Observation Screening Checklist, the bullets below list appropriate activities (excluding serious breaches of protocol) that were observed at least 95 percent of the time:

- Displaying the ID badge prominently when knocking on the door of the SDU
- Being on the iPAQ “Study Introduction” screen when reaching the door
- Using iPAQ Spanish screens only when bilingual-certified
- Mentioning their name during their introduction at the door
- Mentioning RTI during their introduction at the door
- Mentioning the lead letter during their introduction at the door

² Error rate equals the percent of observed cases where an error was observed.

- If the respondent didn't recall the lead letter, offering one to the respondent
- Verifying that he/she is at the correct address
- Checking for missed DUs by reading the correct iPAQ screen verbatim
- Recording race based on respondent answer and not on FI observation
- Obtaining all screening information directly from the screening respondent and not by observation or a proxy
- Confirming the accuracy and completeness of the roster data with the screening respondent
- Expecting interview cooperation when one or two household members were selected for an interview (code 31 or 32)
- Presenting project and interview information accurately when one or two household members were selected for an interview (code 31 or 32)
- Gaining respondent trust and cooperation when one or two household members were selected for an interview (code 31 or 32)
- Demonstrating flexibility in scheduling the interview time when one or two household members were selected for an interview (code 31 or 32)
- Leaving appropriate information about future interview(s) when one or two household members were selected for an interview (code 31 or 32)
- Making attempts to begin the interview right away when one or two household members were selected for an interview (code 31 or 32)
- Being punctual when meeting an observer or respondent when prior arrangements had been made
- Being organized
- Demonstrating a thorough knowledge of the study
- Delivering a courteous, straightforward presentation
- Maintaining a calm, professional, and respectful demeanor

Observers noted some negative trends during screenings. The bullets below list improper activities from the Field Observation Screening Checklist (excluding serious breaches of protocol) that were observed at least 5 percent of the time:

- Not including US Public Health Service during their introduction at the door
- Not asking all iPAQ roster questions verbatim
- Not reading verification instructions verbatim when no household members were selected for an interview (code 22, 25, 26, or 30)

We were pleased to find that the vast majority of FIs displayed positive behaviors when conducting interviews (see **Table 3.1.2**). Of the 25 activities listed on the Field Observation Interviewing Checklist, the bullets below list appropriate activities (excluding serious breaches of protocol) that were observed at least 95 percent of the time:

- Choosing a private location to conduct the interview

- Setting up the equipment efficiently
- Keeping the ACASI portion private while remaining attentive
- Being punctual when meeting an observer or respondent when prior arrangements had been made
- Being organized
- Demonstrating a thorough knowledge of the study
- Keeping paper forms accessible
- Speaking in a clear voice
- Maintaining a pace comfortable for the respondent
- Being courteous and respectful of the respondent and his/her surroundings.

Observers noted some negative trends during interviews. The bullets below list improper activities from the Field Observation Interviewing Checklist (excluding serious breaches of protocol) that were observed at least 5 percent of the time:

- Not asking initial (front-end) CAPI questions verbatim
- Not completing the calendar accurately with the respondent while reading the CAI script and keeping the calendar where the respondent could see it
- Not reading the Intro to ACASI screen verbatim
- Not explaining headphone usage, offering headphones to the respondent, and/or not plugging the headphones in
- Not asking the demographic (back-end) CAPI questions verbatim
- Not listening to the responses or probing effectively for industry and occupation questions
- Not reading the Quality Control Form instructions verbatim
- Not presenting the Showcards when prompted by the CAI.

Table 3.1.1 Screening Error Rates³: New FIs vs. Veteran FIs

Screening Error	New FI (N ⁴ =286)	Veteran FI (N=539)	Overall (N=825)
Not displaying ID Badge prominently when knocking on door	2.45% (7)	0.56% (3)	1.22% (10)
Not being on IPAQ “Study Introduction” screen when reaching door	0.70% (2)	1.30% (7)	1.10% (9)
Using IPAQ Spanish screens when not bilingual-certified	0.00% (0)	0.00% (0)	0.00% (0)
Not including FI NAME in introduction	1.05% (3)	0.74% (4)	0.85% (7)

³ The numbers in parentheses represent the counts of errors made.

⁴ N = number of cases observed.

Screening Error	New FI (N ⁴ =286)	Veteran FI (N=539)	Overall (N=825)
Not including RTI in introduction	2.45% (7)	2.97% (16)	2.81% (23)
Not including US PUBLIC HEALTH SERVICE in introduction	4.55% (13)	7.05% (38)	6.23% (51)
Not including LEAD LETTER in introduction	0.70% (2)	0.56% (3)	0.61% (5)
If R didn't recall lead letter, FI not offering one to R	1.40% (4)	0.37% (2)	0.73% (6)
Not confirming that SR was an adult resident of SDU	1.05% (3)	1.11% (6)	1.10% (9)
Not verifying that he/she was at the correct address	2.45% (7)	2.23% (12)	2.32% (19)
Not giving Study Description to respondent	2.45% (7)	2.41% (13)	2.44% (20)
Not reading IPAQ "Informed Consent" screen to R	2.10% (6)	2.97% (16)	2.69% (22)
Not checking for missed DUs by reading the correct IPAQ screen verbatim	3.15% (9)	1.48% (8)	2.08% (17)
Not asking all roster questions verbatim	12.24% (35)	14.29% (77)	13.68% (112)
Not recording race based on R answer, but on FI observation instead	0.70% (2)	2.04% (11)	1.59% (13)
Not obtaining all screening information directly from the SR (by observation or a proxy)	0.35% (1)	0.00% (0)	0.12% (1)
Not confirming accuracy & completeness of roster data w/ screening respondent	1.40% (4)	4.82% (26)	3.66% (30)
When no household members were selected for an interview (code 22, 25, 26, or 30), not reading verification instructions verbatim	5.59% (16)	5.57% (30)	5.62% (46)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	0.35% (1)	0.56% (3)	0.49% (4)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately	2.80% (8)	0.19% (1)	1.10% (9)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	1.05% (3)	0.74% (4)	0.85% (7)
When one or two household members were selected for an interview (code 31 or 32), not demonstrating flexibility in scheduling interview	0.00% (0)	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s)	3.50% (10)	0.56% (3)	1.59% (13)

Screening Error	New FI (N ⁴ =286)	Veteran FI (N=539)	Overall (N=825)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	1.05% (3)	1.48% (8)	1.34% (11)
Committing other procedural violation not noted on this checklist	3.50% (10)	3.71% (20)	3.66% (30)
Not being punctual	0.35% (1)	0.19% (1)	0.24% (2)
Not being organized	3.50% (10)	1.11% (6)	1.95% (16)
Not demonstrating a thorough knowledge of study	6.29% (18)	1.30% (7)	3.05% (25)
Not delivering a courteous, straightforward presentation	0.00% (0)	0.19% (1)	0.12% (1)
Not maintaining a calm, professional, respectful demeanor	0.35% (1)	0.00% (0)	0.12% (1)
Making biasing or inappropriate remarks	1.40% (4)	4.08% (22)	3.17% (26)
TOTAL	2.22% (197)	2.08% (348)	2.13% (545)

Table 3.1.2 Interviewing Error Rates: New FIs vs. Veteran FIs

Interviewing Error	New FI (N=147)	Veteran FI (N=365)	Overall (N=512)
If IR was a minor, FI not first obtaining consent from parent or legal guardian	2.04% (3)	1.10% (4)	1.37% (7)
If interview respondent was not screening respondent, not explaining purpose of study and visit thoroughly	7.48% (11)	1.64% (6)	3.32% (17)
Not handing STUDY DESCRIPTION to the respondent	9.52% (14)	4.38% (16)	5.86% (30)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	2.72% (4)	1.92% (7)	2.15% (11)
Not choosing a private location to conduct interview	2.04% (3)	1.37% (5)	1.56% (8)
Not setting up equipment efficiently	2.04% (3)	1.64% (6)	1.76% (9)
Not asking initial (front-end) CAPI questions verbatim	10.20% (15)	18.63% (68)	16.21% (83)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where respondent could see it	8.16% (12)	16.71% (61)	14.26% (73)
Not reading Intro to ACASI screen verbatim	11.56% (17)	23.29% (85)	19.92% (102)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in	5.44% (8)	11.51% (42)	9.77% (50)

Interviewing Error	New FI (N=147)	Veteran FI (N=365)	Overall (N=512)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	4.08% (6)	3.01% (11)	3.32% (17)
Not asking demographic (back-end) CAPI questions verbatim	27.21% (40)	30.14% (110)	29.30% (150)
For industry & occupation questions, not listening to responses and probed appropriately	16.33% (24)	12.33% (45)	13.48% (69)
Not reading Quality Control Form instructions verbatim	20.41 (30)	20.55% (75)	20.51% (105)
Committing other procedural violation not noted on this checklist	14.97% (22)	12.60% (46)	13.28% (68)
Not presenting SHOWCARDS when prompted by the CAI	9.52% (14)	10.41% (38)	10.16% (52)
Not being punctual	0.68% (1)	0.27% (1)	0.39% (2)
Not being organized	4.08% (6)	1.92% (7)	2.54% (13)
Not demonstrating a thorough knowledge of study	6.80% (10)	1.37% (5)	2.93% (15)
Not keeping paper forms accessible	1.36% (2)	0.55% (2)	0.78% (4)
Not speaking in a clear voice	0.00% (0)	1.37% (5)	0.98% (5)
Not maintaining a pace comfortable for the R	2.72% (4)	3.29% (12)	3.13% (16)
Not being courteous and respectful of R and surroundings	0.00% (0)	0.00% (0)	0.00% (0)
Divulging R's confidential info to others	0.00% (0)	0.27% (1)	0.20% (1)
Making biasing or inappropriate remarks	8.84% (13)	8.49% (31)	8.59% (44)
TOTAL	7.13% (262)	7.55% (689)	7.43% (951)

3.2 Serious Breaches of Protocol

In 2002, SAMHSA and RTI conferred to identify as “serious breaches of protocol” those errors which when committed by an FI could potentially violate a respondent’s rights and/or significantly compromise the accuracy of the data collected. During screening some FIs committed serious breaches of protocol (see **Table 3.2.1**). FIs who committed one or more serious breaches of screening protocol received either a verbal or written warning and were suspended from work until the FI completed a re-training session with the FS. The bullets below list the activities from the Field Observation Screening Checklist that were determined to be serious breaches and that occurred with any frequency:

- Not confirming that the screening respondent was an adult resident of the SDU

- Not giving the respondent a Study Description
- Not reading the IPAQ Informed Consent screen to the screening respondent
- Making biasing or inappropriate remarks.

During interviewing, some FIs committed serious breaches of protocol (see **Table 3.2.2**). FIs who committed one or more serious breaches of interviewing protocol received either a verbal or written warning and were suspended from work until the FI completed a re-training session with the FS. The bullets below list the activities from the Field Observation Interviewing Checklist that were determined to be serious breaches of protocol and that occurred with any frequency:

- If the interview respondent was a minor, not first obtaining consent from a parent to conduct the interview
- If the interview respondent was not the screening respondent, not explaining the purpose of the study and visit thoroughly
- Not handing the Study Description to the respondent
- Not reading the Intro to CAI script from the Showcard Booklet verbatim to the respondent
- Divulging respondent’s confidential information to others
- Making biasing or inappropriate remarks.

Table 3.2.1 Serious Breaches of Protocol: Screening

Screening Error	New FI (N=286)	Veteran FI (N=539)	Overall (N=825)
Not confirming that SR was an adult resident of SDU	1.05% (3)	1.11% (6)	1.10% (9)
Not giving Study Description to respondent	2.45% (7)	2.41% (13)	2.44% (20)
Not reading IPAQ “Informed Consent” screen to R	2.10% (6)	2.97% (16)	2.69% (22)
Making biasing or inappropriate remarks	1.40% (4)	4.08% (22)	3.17% (26)

Table 3.2.2 Serious Breaches of Protocol: Interviewing

Interviewing Error	New FI (N=147)	Veteran FI (N=365)	Overall (N=512)
If IR was a minor, FI not first obtaining consent from parent	2.04% (3)	1.10% (4)	1.37% (7)
If the interview respondent was not the screening respondent, not explaining the purpose of the study and visit thoroughly	7.48% (11)	1.64% (6)	3.32% (17)
Not handing the Study Description to the respondent	9.52% (14)	4.38% (16)	5.86% (30)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	2.72% (4)	1.92% (7)	2.15% (11)

Interviewing Error	New FI (N=147)	Veteran FI (N=365)	Overall (N=512)
Divulging R's confidential info to others	0.00% (0)	0.27% (1)	0.20% (1)
Making biasing or inappropriate remarks	8.84% (13)	8.49% (31)	8.59% (44)

3.3 Findings by FI Experience^{5,6}

Tables 3.1.1 and 3.1.2 show the error rates and the number of errors by FI experience for each screening and interviewing checklist item. New FIs committed screening errors at about the same rate of veteran FIs. The new FI screening error rate was 2.22 percent and the veteran FI screening error rate was 2.08 percent. There were no specific screening errors that new FIs were more likely to commit than veteran FIs, and vice versa.

New FIs committed interviewing errors at about the same rate of veteran FIs. The new FI interviewing error rate was 7.13 percent and the veteran FI interviewing error rate was 7.55 percent. However, there were a few errors that new FIs were more likely to commit than veteran FIs. The bullets below list improper activities from the Field Observation Interviewing Checklist that new FIs were more likely to commit than veteran FIs:

- Not explaining the purpose of the study and visit thoroughly if the interview respondent was not the screening respondent
- Not handing the Study Description to the respondent
- Not demonstrating a thorough knowledge of the study

In contrast, during interviewing new FIs were less likely than veteran FIs to commit the following errors:

- Not asking initial (front-end) CAPI questions verbatim
- Not completing the Calendar accurately with the respondent while reading the CAI script and keeping the calendar where the respondent could see it
- Not reading the Intro to ACASI screen verbatim
- Not explaining headphone usage, offering headphones to the respondent, and/or not plugging the headphones in

3.4 Findings by Type of Area

As shown by the error rates in Table 3.4.1, FIs working in rural areas were slightly less likely than FIs working in suburban areas to make screening errors with the error rate for urban FIs falling between the two. FIs working in rural areas were slightly less likely than FIs working in suburban areas or urban areas to make interviewing errors. None of these differences are considered significant.

⁵ For the purposes of this report, new FIs were defined as those FIs who were initially trained on the project at either the September 2003 new-to-project training session or the March or June 2004 new-to-project training session.

⁶ Error rate differences were considered significant if the new FI error rate and the veteran FI error rate differed by at least 5%.

Table 3.4.1 Error Rates by Type of Area⁷

Type Of Area	Rural	Suburban	Urban	Overall
Screening	1.61 % (79)	2.26% (280)	2.24% (186)	2.13% (545)
Interviewing	6.75% (172)	7.63% (456)	7.56% (323)	7.43% (951)

3.5 Findings by Census Region

As shown by the error rates in **Table 3.5.1**, FIs working in the South were slightly less likely than FIs living elsewhere to make screening errors. FIs working in the West were slightly less likely than FIs living elsewhere to make interviewing errors. None of these differences are considered significant.

Table 3.5.1 Error Rates by Census Region

Type Of Area	Northeast	South	Midwest	West	Overall
Screening	2.91% (145)	1.72% (120)	2.20% (158)	1.90% (122)	2.13% (545)
Interviewing	9.13% (251)	6.83% (227)	7.82% (301)	5.98% (172)	7.43% (951)

3.6 Findings among FIs Previously Observed^{8 9}

Out of the 403 observations conducted in 2004, 383 different FIs were observed. Twenty (20) FIs were observed twice in 2004. Of the 383 FIs, 50 were originally observed during 2003 completing 117 screenings and 74 interviews. In 2004, these same 50 FIs were observed completing 94 screenings and 63 interviews. **Tables 3.6.1** and **3.6.2** show the most common errors made by these 50 re-observed FIs and the corresponding error rates that occurred in 2003 and 2004. Overall, re-observed FIs committed more errors in 2003 than in 2004. For the 31 screening checklist items that were common to 2003 and 2004, the screening error rate was 4.05 percent in 2003 versus 1.99 percent in 2004. The bullets below list improper activities from the Field Observation Screening Checklist that were more likely in 2003 than in 2004:

- Not being on IPAQ “Study Introduction” screen when reaching the respondent’s door
- Not confirming that the screening respondent was an adult resident of the SDU

⁷ The numbers in parentheses represent the counts of errors made. Error rates based on total number of cases observed.

⁸ Note that the number of observations summarized in section 3.6 is significantly smaller than the number of observations summarized in most other sections of this report.

⁹ Error rate differences were considered significant if the 2003 error rate and the 2004 error rate differed by at least 5%.

- Not verifying that he/she was at the correct address
- Not asking all roster questions verbatim
- Not recording race based on respondent answer, but on FI observation instead.

In contrast, in 2003 FIs were less likely than in 2004 to not include US Public Health Service in their introduction.

For the 25 interviewing checklist items that were common to 2003 and 2004, the observation error rate was 8.05 percent in 2003 versus 7.68 percent in 2004. The bullets below list improper activities from the Field Observation Interviewing Checklist that were more likely in 2003 than in 2004:

- Not completing the calendar accurately with respondent while reading the CAI script and keeping the calendar where respondent could see it
- Not reading the Intro to ACASI screen verbatim
- Not listening to the responses or probing effectively for the industry and occupation questions.

In contrast, in 2003 FIs were less likely than in 2004 to not ask the demographic (back-end) CAPI questions verbatim.

Table 3.6.1 Screening Error Rates by Year for Re-observed FIs (for items common to 2003 and 2004 checklists)

Screening Error	2003 (N=117)	2004 (N=94)
Not displaying ID Badge prominently when knocking on door	0.85% (1)	0.00% (0)
Not being on IPAQ "Study Introduction" screen when reaching door	5.98% (7)	0.00% (0)
Using IPAQ Spanish screens when not bilingual-certified	0.00% (0)	0.00% (0)
Not including FI NAME in introduction	0.85% (1)	3.19% (3)
Not including RTI in introduction	2.56% (3)	2.13% (2)
Not including US PUBLIC HEALTH SERVICE in introduction	3.42% (4)	8.51% (8)
Not including LEAD LETTER in introduction	0.00% (0)	1.06% (1)
If R didn't recall lead letter, FI not offering one to R	2.56% (3)	1.06% (1)
Not confirming that SR was an adult resident of SDU	7.69% (9)	1.06% (1)
Not verifying that he/she was at the correct address	10.26% (12)	2.13% (2)
Not giving Study Description to respondent	0.85% (1)	0.00% (0)
Not reading IPAQ "Informed Consent" screen to R	3.42% (4)	2.13% (2)

Screening Error	2003 (N=117)	2004 (N=94)
Not checking for missed DUs by reading the correct IPAQ screen verbatim	5.98% (7)	1.06% (1)
Not asking all roster questions verbatim	34.19% (40)	6.38% (6)
Not recording race based on R answer, but on FI observation instead	5.98% (7)	0.00% (0)
Not obtaining all screening information directly from the SR (by observation or a proxy)	0.85% (1)	0.00% (0)
Not confirming accuracy & completeness of roster data w/ screening respondent	6.84% (8)	9.57% (9)
When no household members were selected for an interview (code 22, 25, 26, or 30), not reading verification instructions verbatim	6.84% (8)	11.70% (11)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	0.85% (1)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not demonstrating flexibility in scheduling interview	0.00% (0)	0.00% (0)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s)	3.42% (4)	1.06% (1)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	0.85% (1)	0.00% (0)
Committing other procedural violation not noted on this checklist	10.26% (12)	0.00% (0)
Not being punctual	0.85% (1)	0.00% (0)
Not being organized	4.27% (5)	1.06% (1)
Not demonstrating a thorough knowledge of study	2.56% (3)	3.19% (3)
Not delivering a courteous, straightforward presentation	0.00% (0)	0.00% (0)
Not maintaining a calm, professional, respectful demeanor	0.00% (0)	0.00% (0)
Making biasing or inappropriate remarks	3.42% (4)	6.38% (6)
Total	4.05% (147)	1.99% (58)

Table 3.6.2 Interviewing Error Rates by Year for Re-observed FIs (for items common to 2003 and 2004 checklists)

Interviewing Error	2003 (N=74)	2004 (N=63)
If IR was a minor, FI not first obtaining consent from parent or legal guardian	0.00% (0)	1.59% (1)
If interview respondent was not screening respondent, not explaining purpose of study and visit thoroughly	1.35% (1)	0.00% (0)
Not handing STUDY DESCRIPTION to the respondent	4.05% (3)	1.59% (1)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	0.00% (0)	3.17% (2)
Not choosing a private location to conduct interview	2.70% (2)	1.59% (1)
Not setting up equipment efficiently	0.00% (0)	1.59% (1)
Not asking initial (front-end) CAPI questions verbatim	20.27% (15)	22.22% (14)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where respondent could see it	24.32% (18)	15.87% (10)
Not reading Intro to ACASI screen verbatim	25.68%(19)	19.05% (12)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in	10.81% (8)	9.52% (6)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	2.70% (2)	3.17% (2)
Not asking demographic (back-end) CAPI questions verbatim	22.97% (17)	38.10% (24)
For industry & occupation questions, not listening to responses and probing appropriately	18.92% (14)	12.70% (8)
Not reading Quality Control Form instructions verbatim	16.22% (12)	17.46% (11)
Committed other procedural violation not noted on this checklist	22.97% (17)	15.87% (10)
Not presenting SHOWCARDS when prompted by the CAI	6.76% (5)	6.35% (4)
Not being punctual	0.00% (0)	1.59% (1)
Not being organized	2.70% (2)	1.59% (1)
Not demonstrating a thorough knowledge of study	2.70% (2)	1.59% (1)
Not keeping paper forms accessible	2.70% (2)	1.59% (1)
Not speaking in a clear voice	0.00% (0)	3.17% (2)
Not maintaining a pace comfortable for the R	1.35% (1)	3.17% (2)

Interviewing Error	2003 (N=74)	2004 (N=63)
Not being courteous and respectful of R and surroundings	1.35% (1)	0.00% (0)
Divulging R's confidential info to others	1.35% (1)	1.59% (1)
Making biasing or inappropriate remarks	9.46% (7)	7.94% (5)
Total	8.05% (149)	7.68% (121)

3.7 Trends in Errors Made 2001-2004

For the 25 screening checklist items that were common to the 2001, 2002, 2003 and 2004 observation checklists, **Table 3.7.1** shows that the observation error rate was 7.40 percent in 2001, 4.08 percent in 2002, 2.95 percent in 2003, and 2.06 percent in 2004. Overall, FIs improved from 2001 to 2004 in that they did not make the following screening errors as often:

- Not being on the iPAQ “Identify SR” screen when reaching the door
- Not including US Public Health Service in their introduction
- Not confirming that the screening respondent was an adult resident of the SDU
- Not giving the Study Description to the respondent
- Not reading the IPAQ “Informed Consent” screen verbatim to the respondent
- Not checking for missed DUs by reading the correct IPAQ screen verbatim
- Not asking all roster questions verbatim
- Not demonstrating a thorough knowledge of the study

For the 17 interviewing checklist items that were common to the 2001, 2002, 2003, and 2004 observation checklists, **Table 3.7.2** shows that the observation error rate was 8.62 percent in 2001, 5.45 percent in 2002, 4.46 percent in 2003, and 5.95 percent in 2004. Overall, FIs improved from 2001 to 2004 in that they did not make the following interviewing errors as often:

- If the interview respondent was not screening respondent, FI not explaining purpose of study and visit thoroughly
- Not reading the Intro to CAI from the Showcard booklet verbatim to the respondent
- Not setting up the equipment efficiently
- Not demonstrating a thorough knowledge of the study

Table 3.7.1 Screening Error Rates by Year for Items Common to the 2001, 2002, 2003, and 2004 Screening Observation Checklists

Screening Error	2001 (N=266)	2002 (N=814)	2003 (N=683)	2004 (N=825)
Not displaying ID Badge prominently when knocking on door	2.63% (7)	3.44% (28)	0.59% (4)	1.22% (10)
Not being on IPAQ “Identify SR” screen when reaching door	6.77% (18)	2.21% (18)	2.20%(15)	1.10% (9)

Screening Error	2001 (N=266)	2002 (N=814)	2003 (N=683)	2004 (N=825)
Not including FI NAME in introduction	0.38% (1)	0.49% (4)	0.15% (1)	0.85% (7)
Not including RTI in introduction	5.64% (15)	2.46% (20)	1.76% (12)	2.81% (23)
Not including US PUBLIC HEALTH SERVICE in introduction	12.41% (33)	7.49% (61)	7.32% (50)	6.23% (51)
Not including LEAD LETTER in introduction	1.50% (4)	0.98% (8)	0.15% (1)	0.61% (5)
If R didn't recall lead letter, FI not offering one to R	3.38% (9)	1.97% (16)	1.02% (7)	0.73% (6)
Not confirming that SR was an adult resident of SDU	10.53% (28)	8.48% (69)	4.39% (30)	1.10% (9)
Not verifying that he/she was at the correct address	3.76% (10)	6.76% (55)	6.88% (47)	2.32% (19)
Not giving Study Description to respondent	12.03% (32)	3.56% (29)	1.46% (10)	2.44% (20)
Not reading IPAQ "Informed Consent" screen to R	16.17% (43)	8.35% (68)	2.93% (20)	2.69% (22)
Not checking for missed DUs by reading the correct IPAQ screen verbatim	18.80% (50)	4.91% (40)	3.95% (27)	2.08% (17)
Not asking all roster questions verbatim	36.84% (98)	29.12% (237)	24.60% (168)	13.68% (112)
Not recording race based on R answer, but on FI observation instead	4.14% (11)	2.09% (17)	2.49% (17)	1.59% (13)
Not obtaining all screening information directly from the SR (by observation or a proxy)	1.88% (5)	1.72% (14)	0.73% (5)	0.12% (1)
Not confirming accuracy & completeness of roster data w/ screening respondent	4.14% (11)	7.00% (57)	4.54% (31)	3.66% (30)
When one or two household members were selected for an interview (code 31 or 32), not expecting interview cooperation	2.26% (6)	0.37% (3)	0.29% (2)	0.49% (4)
When one or two household members were selected for an interview (code 31 or 32), not presenting project and interview information accurately ¹⁰	10.53% (28)	0.98% (8)	0.73% (5)	1.10% (9)
When one or two household members were selected for an interview (code 31 or 32), not gaining respondent trust/cooperation	2.63% (7)	0.61% (5)	0.29% (2)	0.85% (7)
When one or two household members were selected for an interview (code 31 or 32), not leaving appropriate information about future interview(s) ¹⁰	1.13% (3)	1.47% (12)	1.76% (12)	1.59% (13)
When one or two household members were selected for an interview (code 31 or 32), not making attempts to begin interview right away	1.50% (4)	0.61% (5)	0.88% (6)	1.34% (11)
Not demonstrating a thorough knowledge of study	18.80% (50)	5.53% (45)	2.78% (19)	3.05% (25)
Not delivering a courteous, straightforward presentation	3.76% (10)	0.98% (8)	1.17% (8)	0.12% (1)
Not maintaining a calm, professional, respectful demeanor	3.38% (9)	0.49% (4)	0.59% (4)	0.12% (1)
Total	7.40% (492)	4.08% (831)	2.95% (503)	2.06% (425)

¹⁰ Item wording changed slightly in 2002

Table 3.7.2 Interviewing Error Rates by Year for Items Common to the 2001, 2002, 2003, and 2004 Interviewing Observation Checklists

Interviewing Error	2001 (N=131)	2002 (N=548)	2003 (N=414)	2004 (N=512)
If IR was a minor, FI not first obtaining consent from parent or legal guardian	2.29% (3)	0.91% (5)	0.48% (2)	1.37% (7)
If interview respondent was not screening respondent, not explaining purpose of study and visit thoroughly	8.40% (11)	2.37% (13)	1.21% (5)	3.32% (17)
Not reading INTRO TO CAI from Showcard Booklet verbatim to the respondent	17.56% (23)	2.74% (15)	1.21% (5)	2.15% (11)
Not choosing a private location to conduct interview	3.82% (5)	2.55% (14)	2.66% (11)	1.56% (8)
Not setting up equipment efficiently ¹⁰	12.21% (16)	2.55% (14)	1.69% (7)	1.76% (9)
Not asking initial (front-end) CAPI questions verbatim	12.98% (17)	17.34% (95)	10.63% (44)	16.21% (83)
Not completing CALENDAR accurately with respondent while reading CAI script and keeping calendar where respondent could see it ¹⁰	15.27% (20)	14.60% (80)	14.25% (59)	14.26% (73)
Not explaining HEADPHONE usage, offering headphones to R, and plugging in ¹⁰	6.11% (8)	3.83% (21)	8.45% (35)	9.77% (50)
Not keeping ACASI portion private (read ACASI), and/or not remaining attentive	3.05% (4)	1.46% (8)	1.69% (7)	3.32% (17)
Not asking demographic (back-end) CAPI questions verbatim	26.72% (35)	24.82% (136)	20.53% (85)	29.30% (150)
Not presenting SHOWCARDS when prompted by the CAI	12.98% (17)	9.12% (50)	6.28% (26)	10.16% (52)
Not demonstrating a thorough knowledge of study	12.21% (16)	2.92% (16)	2.42% (10)	2.93% (15)
Not keeping paper forms accessible	3.05% (4)	2.19% (12)	0.72% (3)	0.78% (4)
Not speaking in a clear voice	3.05% (4)	1.82% (10)	0.97% (4)	0.98% (5)
Not maintaining a pace comfortable for the R	6.87% (9)	2.92% (16)	1.69% (7)	3.13% (16)
Not being courteous and respectful of R and surroundings	0.00% (0)	0.18% (1)	0.24% (1)	0.00% (0)
Divulging R's confidential info to others	0.00% (0)	0.36% (2)	0.72% (3)	0.20% (1)
TOTAL	8.62% (192)	5.45% (508)	4.46% (314)	5.95% (518)

4. Summary and Management Recommendations

The 2004 field observations show that FIs are generally following procedures, but continue to show some deficiencies. As in previous years, the most common errors involve FIs not reading the IPAQ or CAPI questions verbatim. Overall, new FIs were no more or less likely than veteran FIs to make errors. However, new FIs were more likely to not explain the purpose of the study and visit thoroughly if the interview respondent was not the screening respondent, not hand the Study Description to the respondent, and not demonstrate a thorough knowledge of the study. Based on these findings, we recommend placing emphasis on these procedures in future New-to-Project FI Training Sessions.

Overall, FIs who were observed in 2004 committed fewer errors than FIs observed in prior years on the common screening and interviewing checklist items. However, veteran FIs were more likely than new FIs to not ask initial (front-end) CAPI questions verbatim; not complete the Calendar accurately with the respondent while reading the CAI script, and keep the calendar where the respondent could see it; not read the Intro to ACASI screen verbatim; and not explain headphone usage, not offer headphones to the respondent, and/or not plug the headphones in. Still, the overall drop in error rates across the survey years gives us reason to believe that re-training helps prevent future errors. We are optimistic that the targeted training efforts we have used and currently have in place will keep these errors to a minimum in 2005. In addition to specific training of FIs observed making an error, these methods entail re-training FIs on not making the errors that have been observed during our 2005 Veteran Training Conference; during weekly FS-FI conference calls; in weekly FS-FI e-mail messages; in “Data Quality Items of the Week” during the first two months of the quarter; in monthly procedural e-mails sent to the FI work force; and in the eVal questionnaires completed during Quarters 2 and 3.

It remains troubling to see that many FIs continue to not read questions verbatim. One partial solution to this problem is to again use feedback from field observations to inform minor changes to the screening or interviewing questions, as we did with the 2004 instruments. We will also re-train FIs during the 2006 Veteran FI Training Conference on the procedures that were observed with high error rates, including reading verbatim. We will emphasize to the FIs that they are an integral part of the NSDUH, not only as representatives of the study, but as researchers. We will provide clarification on why following project protocol and reading verbatim is not only required, but critical to conducting research. During the data quality section, we will present examples and findings from research studies to demonstrate why it is important to follow project procedures and how even slight deviations from protocol can affect the quality of the data collected. In addition, we will conduct in-class exercises to illustrate the potential effects of not reading verbatim and following protocol. We hope this emphasis on collecting high quality data will reassure FIs about their importance in this scientific research, and empower them to conduct their work according to project protocol.

It is also important to note that the minimum criterion upon which an FI was marked as not reading verbatim was a failure to read one word of one question exactly as written. Most FIs who did not read questions verbatim only missed reading a few portions of the questions verbatim. In addition, observer notes indicated that many of the questions that were paraphrased by the FI did not appear to change the meaning of the question. Therefore, although we will continue to focus more attention on training FIs to read questions verbatim, we feel that the data have not been compromised as much as the high percentages of errors may initially indicate. Moreover, FIs have continually improved since 2001 in that they are now more likely to read the screening Informed Consent screen verbatim, read the missed DUs screen verbatim, ask all roster questions verbatim, and read the Intro to CAI from the Showcard book verbatim.

In summary, we recognize that information gathered from field observations is very valuable for identifying negative trends that need to be addressed through re-training and improvements made to our NSDUH training programs. As an additional method for maintaining a low incidence of procedural

errors, we recommend continuing to use field observation results to drive the content of the ongoing training methods listed above. And because we continue to observe errors among new and veteran interviewers, we recommend continuing to conduct field observations indefinitely.

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Appendix
2004 Field Observation Field Materials

2004 Field Observer Reference Sheet

Welcome to the 2004 NSDUH Field Observation Process! Field observations are being conducted throughout the United States in order to gain a better understanding of the NSDUH screening and interviewing process. Observing actual fieldwork will provide feedback that will help us improve new-to-project and veteran FI training programs.

This document covers the materials and procedures that you will use in preparing for and conducting field observations. You should take some time to read and study all of the materials before going out to observe an FI.

The specific items you will need are:

- Field Observer Reference Sheet (this document, which contains Field Observations Observer Instructions and the Field Observations Task List)
- Field Observations FI Instructions
- Screening Observation Checklist
- Interviewing Observation Checklist
- 2004 NSDUH CAI Script
- 2004 NSDUH Screening Scripts

In 2004, we plan to observe at least 400 interviews completed by 400 different FIs over quarters 1, 2, 3, and 4. You can anticipate making 1-3 observation trips per quarter yourself. The procedures and protocols for field observations in 2004 are very similar to those we used in 2003. However, there are 3 main changes for 2004 of which you should be aware:

1. Observers should not give any observation feedback to the FI during or after the observation. If the FI asks you for feedback, you should state that you have taken some notes, you will be sending that information to RTI staff, and that the FI will receive more information at a later time. The managing FS can share feedback with an FI after the observation trip is complete, all data have been entered into the web CMS, and an e-mail has been sent to the FS by the field observation manager giving permission to share the results.
2. FSs may now observe veteran FIs who work on their team, provided that doing so does not incur high travel costs. This will enable FSs to directly observe their FIs' performance and to see up-close the segments in which the FIs are working.
3. In 2004, all time spent preparing for and conducting field observations should be charged to project task 08726.162.001.
4. There is a new question on the field observation checklists – “Would you recommend that this FI be observed again?” This question is to be answered AFTER you have completed the field observation with the FI but before you enter the information from the checklists into the web. See the Field Observations Observer Instructions form for direction on making this recommendation.

When it is time for you to conduct an observation, you will be sent via e-mail the name of the FI to observe. You should first contact the FS of that FI to make sure that FI has an assignment for the quarter.

You should then contact the FI and make arrangements to observe him/her. You should plan observation trips as far in advance of the trip as possible (14-day minimum if you are flying to the segment). Once trip plans are finalized, send an e-mail to Laura Justin, copying the managing FS and RS and your supervisor, detailing the trip plans. [Note that the managing FS and RS should be copied on all e-mails related to observations of their FIs.]

All observations should be scheduled during the most productive times of the day and days of the week. You should expect to observe FIs in the evenings and/or on weekend days. You should accommodate the FI's work schedule. If while on an observation trip you observe a completed interview and there are no more viable cases expected for that day, the trip should be ended unless this would lead to flight penalties. Before ending an observation trip early, contact Laura Justin to confirm (800-334-8571, ext 3923).

Prior to conducting an observation, you should check the Downloadable Project Forms and Report Shells page to make sure you have the latest version of all field observation forms and documents. You can determine whether the version you have is the latest version by comparing the "revised" date in the upper right-hand corner of each document. If your version is not the latest, print the latest version of the document(s) for use in conducting your field observation.

The Screening and Interviewing Observation Checklists were designed for you to complete while in the household observing an FI. You should complete a hard-copy Screening Observation Checklist for each screening you observe that ends in a code 22, 25, 26, 30, 31, or 32. You should complete a hard-copy Interviewing Observation Checklist for each completed interview you observe. On the first page of each checklist you should fill in general information about the FI being observed and the segment being worked. On subsequent pages you should follow along with the FI and check "Correct," "Error," or "N/A." for each procedure listed. If you observe an error that is not listed on the checklist, check "Error" beside "Other Procedure Violation not noted on this Checklist" and describe the specific error you saw. As you complete the checklists, compare the FI's performance to the NSDUH "Gold Standard" screening and interview we consider when conducting certifications. At the end of the day, transfer information from the paper checklists into the field observations web entry system.

Upon meeting an FI in the segment, confirm that he/she has read the FI instructions. Answer any questions the FI has before you approach an SDU. Do not allow the FI to see the Screening Observation Checklist or Interviewing Observation Checklist.

All time spent planning, preparing for, and conducting 2004 field observations should be charged to project number 08726.162.001. FSs will be allowed overtime for observation work; however we would like for FSs to work as efficiently as possible in all project responsibilities in order to minimize overtime charges. Time spent on field observation trips by RTI staff may be eligible for compensatory or extended time, both of which must be pre-approved by the project and administrative supervisor. In cases where extended time is allowed, RTI staff will be notified on a monthly basis.

If you have any questions at all before proceeding to the field to observe, send an e-mail to the **[NSDUH] 2004 Field Observations** Outlook distribution list.

Thank you for your help with the 2004 NSDUH Field Observations!

2004 Field Observer Instructions

Before contacting an FI to set up an observation trip, contact the managing FS to confirm that the FI has an assignment and to request that the FS send a copy of the Field Observation FI Instructions to the FI. When you contact the FI to set up an observation trip you should explain that the purpose of conducting field observations is to gain a better understanding of the NSDUH screening and interviewing process. Field observations will provide excellent feedback that will help us improve new-to-project and veteran FI training programs.

Before starting a screening or interview with you present, the FI must introduce you to the respondent and get the respondent's permission for you to observe the screening or interview.

For contacts with Screening Respondents, the FI should add the italicized text below to the IPAQ Intro Screen:

- Hello, my name is _____ *and this is [NAME OF RTI OR SAMHSA OBSERVER]* from *[RESEARCH TRIANGLE INSTITUTE IN NORTH CAROLINA/US PUBLIC HEALTH SERVICE]*. We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service....
- **IF NECESSARY:** The FI can explain more about why the observer is there using information scripted for interview contacts below.

For contacts with Interview Respondents, the FI should do the following:

- FI introduces self.
- FI says: "I'd like to introduce you to *[NAME OF RTI OR SAMHSA OBSERVER]*. As a part of the project's quality control procedures, he/she will be observing my work today.
- **IF NECESSARY:** "He/she will **NOT** be observing your specific responses to the interview questions. He/she is only interested in observing the overall interviewing process. He/she has signed the same Confidentiality Pledge that I have signed, assuring you that both of us will keep your information private."
- FI asks, "Is it OK with you for him/her to observe your interview today?"
 - If YES** (R agrees to allow the observer to observe): FI reads Intro to CAI script
 - If NO** (R does not agree to allow the observer to observe): FI will excuse the observer and proceed with the interview administration solo.

The FI should not try to involve you in the screening or interviewing process. You should intervene only you observe a serious mistake (e.g., the FI is at the wrong SDU, the FI has not gained parental or legal guardian permission before asking a minor to participate). If you observe a serious mistake, you must note this error beside "Other Procedure Violation not noted on this Checklist" on the corresponding screening or interviewing observation checklist that you complete for that FI.

The FI should not look to you for answers to respondent questions; the FI should simply ignore you and proceed with the screening or interview. You may answer questions about SAMHSA, RTI, or the NSDUH if the answer is general knowledge AND the FI either does not know the answer OR the FI's reply did not satisfy the respondent's inquiry. In all other cases do not expand upon a FI's answer to a

question even if you know more or feel that you could clarify an FI's answer to a question. Do not make any statements that are controversial or biasing to the respondent. If the FI wants to discuss something with you after leaving the SDU, that is fine; however, minimum exchange should occur between the FI and you while SDU members are present.

You must adhere to the same confidentiality requirements as the FI. You must never discuss the specifics of any cases outside the project team.

You should complete the Screening Observation Checklist and Interviewing Observation Checklist in hard copy using a clipboard or hard binder while at the household observing a screening or interview. You should wait until after you have completed observation of the FI to complete the final question on the forms: "Would you recommend that this FI be observed again?" Before answering this question, review all of the completed observation checklists and consider the FI's performance throughout the day. You should recommend to re-observe an FI who makes significant errors or shows a need for improvement, as demonstrated by a general lack of knowledge or a propensity for errors. A "propensity for errors" would be evident if an FI repeated 4 or more unrelated errors during multiple screenings or repeated 4 or more unrelated errors during multiple interviews. You should also recommend to re-observe an FI if the FI committed one or more "serious breaches of protocol" - those errors which when committed by an FI could potentially violate a respondent's rights and/or significantly compromise the accuracy of the data collected. Examples of serious breaches of screening protocol include:

- Not confirming that the screening respondent was an adult resident of the SDU
- Not reading the IPAQ Informed Consent screen to the screening respondent
- Not obtaining all screening information directly from a valid screening respondent but instead by observation or proxy
- Making biasing or inappropriate remarks
- Examples of serious breaches of interviewing protocol include:
 - Not first obtaining consent from a parent or legal guardian to conduct the interview when the interview respondent was a minor
 - Not reading the Intro to CAI script from the Showcard Booklet verbatim to the respondent
 - Divulging respondent's confidential information to others
 - Making biasing or inappropriate remarks

Once you have made your recommendation on whether to re-observe, transfer the information from the paper checklist(s) into the corresponding web observation form(s). All information should be entered into the web within 24 hours of completing the observation.

You should document the ID of all cases you observe that involve face-to-face contact between an FI and anyone at the SDU (Finalized or Non-Finalized) but are not documented on a completed observation checklist (this would include all cases that do not end with a final code of 22, 25, 26, 30, 31, 32, or 70). To do this, download and print from the Downloadable Project Forms and Report Shells a copy of the "Obs Cases not Documented on Obs Checklist Worksheet" and on it record the following information for all cases that you observe: Date of Observation, Case ID, Result Code, Observer Last Name, Observer First Name, FI Last Name, and FI First Name. If you observe any errors during your observation of these cases, in the spreadsheet provide a detailed description of what happened. After each field observation trip, enter all of this information into the file and send it to Laura Justin (ljustin@rti.org).

You should not give any observation feedback to the FI during or after the observation. If the FI asks you for feedback, you should state that you have taken some notes, you will be sending that information to RTI staff, and that the FI will receive more information at a later time. In the event that the FI offers

project related feedback to you (such as notable material development issues or suggestions), please forward those comments to Lee Ellen Coffey [coffey@rti.org] and Laura Justin [ljustin@rti.org].

FIs should not see the Screening Observation Checklist or Interviewing Observation Checklist prior to an observation. If you are the managing FS, RS, or RD and provide observation feedback to the FI, you may show the FI the completed checklists at the end of an observation trip but you may not give the FI a copy of the checklists.

As soon as you have completed all of the field observations you will be conducting for the quarter, ship all completed hardcopy field observation checklists to Laura Justin at RTI.

Any questions about field observations should be directed to the **[NSDUH] 2004 Field Observations Outlook** distribution list.

2004 Field Observer Task List

Please follow these steps while planning and conducting field observation trips. It is not necessary to actually complete or submit this form; it is designed as a helpful tool so you do not skip any protocol steps.

Enter a check mark in the space provided as you complete each item.

A. TRAVEL PREPARATION

- ___ 1. Receive Field Observation Assignment. Obtain contact information for the FI from the General Information link in the web.
- ___ 2. Contact the FI's Field Supervisor to ensure the FI has a work assignment. Instruct the FS to send a copy of the FI Field Observations Instructions to the FI.
- ___ 3. Contact the Field Interviewer and discuss:
___ a) Workload
___ b) Date most convenient for observation to take place (weekends are preferred due to likelihood of completing interviews and to allow for lower airfare, if applicable)
___ c) Determine based on workload the type of trip this will be (local, overnight driving, overnight flying)
- ___ 4. Once the date of observation has been determined, send the following information in an e-mail to Laura Justin, copying the managing FS and RS, and your supervisor:
___ a) Date of observation trip
___ b) Name of FI to be observed
___ c) Type of trip (local, overnight driving, overnight flying)
- ___ 5. Are flight arrangements necessary?
 YES NO
YES continue with 6. NO Skip to Field Preparation.
- ___ 6. Make flight and rental car arrangements with Navigant Travel (1-877-612-3370) at least 14 days prior to scheduled trip.
- ___ 7. Send completed Flight information Shell to Susan Beauvais, copying Laura Justin and your supervisor.

B. FIELD PREPARATION

- ___ 1. Download the most recent forms from the Field Observation box on the Downloadable Project Forms and Report Shells page:
___ a. Field Observation FI Instructions Form: You should hand a copy of this form to the FI when you meet him/her in the field. It contains the script the FI is to read to the respondent when introducing you and your role as the observer.

- _____ b. **Field Observer Reference Sheet:** This form contains the script the FI is to read to the respondent when explaining your presence. It also outlines your role and responsibilities as the observer.
 - _____ c. **2004 NSDUH IPAQ Screening Scripts:** Print and read through this file before going to the field. Use the script while observing an FI conducting a screening so you can check whether he/she reads the IPAQ screens verbatim.
 - _____ d. **2004 NSDUH CAI Script:** Print and read through this file before going to the field. Use the script to while observing an FI conducting an interview so you can check whether he/she reads the CAI screens verbatim.
 - _____ e. **Screening Observation Checklist:** One copy of this form must be completed for each screening case you observe than ends in a code 22, 25, 26, 30, 31, or 32. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing a screening.
 - _____ f. **Interviewing Observation Checklist:** One copy of this form must be completed for each completed interview you observe. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing an interview.
- _____ 2. Make sufficient copies of both the screening and interviewing checklists before going into the field (one for each screening and one for each interview).
 - _____ 3. Observe the FI. Document comments only for errors seen during your observation. Pass along positive feedback to the managing FS, but send via e-mail separate from any negative feedback, as noted below.

C. AFTER THE OBSERVATION

- _____ 1. After you have completed the observation, indicate in the designated section of the screening and interviewing checklists whether or not you recommend that the FI you observed be re-observed in the future.
- _____ 2. Enter data from your checklists into the field observations web entry system. Complete and enter the checklists into the web within 24 hours of completing your observation. Make sure to enter only those comments that reflect an error on the part of the FI.
- _____ 3. Send an e-mail to the FS, copying the RS, RD, and [NSDUH] 2004 Field Observations, sharing positive feedback about the FI's performance.
- _____ 4. Download and complete the Observed Cases not Documented on Observation Checklist Worksheet from the Web. Complete and send this within 24 hours of completing your observation to Laura Justin [jperkins@rti.org].
- _____ 5. In the event that the FI offers project related feedback to you, please forward those suggestions/comments to Lee Ellen Coffey [coffey@rti.org] and Laura Justin [ljustin@rti.org].
- _____ 6. As soon as you have completed all of the field observations you will be conducting for the quarter, please ship all completed hardcopy field observation checklists to Laura Justin at RTI

2004 Field Observation FI Instructions

Welcome to the Field Observation component of the 2004 NSDUH!

You have been selected to be observed by an RTI or SAMHSA representative. This observation will take place while you are conducting your fieldwork. The goal of these field observations is to gain a better understanding of the NSDUH screening and interview process. As a result of this observation, both you and the field observer will be able to provide feedback that will help improve our new-to-project and veteran FI training programs.

Before starting a screening or interview, you must introduce the observer to the respondent and gain the respondent's permission for the observer to be present.

For contacts with Screening Respondents, you should add the italicized text below to the IPAQ Intro Screen:

- “Hello, my name is _____ *and this is [NAME OF RTI OR SAMHSA OBSERVER]* from *[RESEARCH TRIANGLE INSTITUTE IN NORTH CAROLINA/US PUBLIC HEALTH SERVICE]*. We are in your neighborhood conducting a nationwide study sponsored by the U.S. Public Health Service....”
- **IF NECESSARY:** Explain more about why the observer is there using information scripted for interview contacts below.

For contacts with Interview Respondents, you should do the following:

- Introduce yourself.
- Say, "I'd like to introduce you to *[NAME OF RTI OR SAMHSA OBSERVER]*. As a part of the project's quality control procedures, he/she will be observing my work today.”
- **IF NECESSARY:** “He/she will **NOT** be observing your specific responses to the interview questions. He/she is only interested in observing the overall interviewing process. He/she has signed the same Confidentiality Pledge that I have signed, assuring you that both of us will keep your information private.”
- Ask, “Is it OK with you for him/her to observe your interview today?”

If YES (R agrees to allow the observer to observe): Read Intro to CAI script

If NO (R does not agree to allow the observer to observe): Excuse the observer and proceed with the interview administration solo.

As you complete screenings and interviews the observer will be taking notes. Do not be concerned about the specific comments or notes that the observer makes. The observer will not be giving you specific feedback on the observation unless the observer is your FS, RS, or RD. In those cases the observer will share feedback with you at the end of the observation trip. If your observer is not your FS, RS, or RD, your FS will provide observation feedback at a later time.

Do not try to involve the observer in the screening or interviewing process. If a respondent has a question, you should not look to the observer for the answer. The observer will answer a question only if the question is neutral and general AND you either do not know the answer OR your reply did not satisfy the respondent's inquiry.

When answering the CAI FI debriefing question FIDBF07, you should **NOT** consider the field observer as “another person.”

If you would like to discuss something with the observer after leaving the SDU, that is fine; however, minimum exchange should occur between you and the observer while SDU members are present.

Feel free to offer project related feedback to the observer that you would like to have passed along to the project staff. Your suggestions are welcome and appreciated!

NOTICE: Public reporting burden (of time) for this collection of information is estimated to average 5 minutes 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, SAMHSA Reports Clearance Officer, Paperwork Reduction Project (0930-0110), Room 16-105; Parklawn Building; 5600 Fishers Lane; Rockville, MD 20857. 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. The OMB control number for this project is 0930-0110.

OMB No: 0930-0110
Expires: 01/31/05

2004 NSDUH HU SCREENING SCRIPT FOR iPAQ

Hello, my name is _____ with Research Triangle Institute in North Carolina. We are conducting a nationwide study sponsored by the U.S. Public Health Service. You should have received a letter explaining the study. (HAND R COPY OF LETTER IF NEEDED.)

First, just let me verify: Do you live here?

IF NOT OBVIOUS: And are you 18 or older?

IF NO TO EITHER, ASK FOR AN ADULT RESIDENT AND BEGIN AGAIN.

- . SR AVAILABLE (CONTINUE)
- . SR NOT AVAILABLE NOW (GO TO RECORD OF CALLS)

I just need to verify — is this [READ COMPLETE ADDRESS INCLUDING CITY, STATE, AND ZIP]?

- . ADDRESS IS CORRECT (CONTINUE)
- . NEED TO EDIT ADDRESS
- . FI AT WRONG ADDRESS

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

(FOR REGULAR HUs SUCH AS INDIVIDUAL HOUSES, TOWNHOUSES, DUPLEXES, TRAILERS, COTTAGES): Are there any other living quarters within this structure or on this property, such as a separate apartment with a separate entrance?

- . YES (GO TO MISSED DU ADDRESS SCREEN)
- . NO (CONTINUE)

[APARTMENT/CONDO BUILDINGS HUs]: CONTINUE

REFERENCE MONTHS: QTR 1 = JANUARY / FEBRUARY / MARCH
QTR 2 = APRIL / MAY / JUNE

QTR 3 = JULY / AUGUST / SEPTEMBER
QTR 4 = OCTOBER / NOVEMBER / DECEMBER

(Will/Have) you or anyone else in this household (live/lived) here for most of the time during the months of [REFERENCE MONTHS]?

(Including yourself), how many people in this household (will live/lived) here for most of the time during the months of [REFERENCE MONTHS]? (Do not include anyone who lived at school or somewhere else for most of the time during the months of [REFERENCE MONTHS].)

Of these [#] people, how many are now age 12 or older?

Next I'll ask a few questions about the people who live here. Let's start with the person or one of the persons living here who owns or rents this home. We'll refer to this person as the householder.

Please tell me the age of this person on his or her last birthday.

IF SR IS HOUSEHOLDER: Please tell me your age on your last birthday.

ASK ONLY IF NOT OBVIOUS: (Are you/Is this person) male or female?

(Are you)/(Is (he/she)) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (your/his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

(Are you)/(Is (he/she)) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **(Are you)/(Is (he/she)) currently on active duty in the military?** [iPAQ WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

Now I need some general information about (the other person/all of the other people) in this household who are 12 years old or older and who (will live/lived) here for most of the time during the months of [REFERENCE MONTHS]. IF MORE THAN 2 HOUSEHOLD MEMBERS: (Let's start with the oldest and work down to the youngest person 12 years or over.)

REPEAT SERIES OF QUESTIONS FOR ALL HOUSEHOLD MEMBERS AGE 12 AND OLDER.:

**Please tell me the age of the (oldest/next oldest) person on his or her last birthday.
How is this person related to the householder?**

ASK ONLY IF NOT OBVIOUS: **(Are you/Is this person) male or female?**

(Are you)/(Is (he/she)) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (your/his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

(Are you)/(Is (he/she)) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **(Are you)/(Is (he/she)) currently on active duty in the military?** [iPAQ WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

[iPAQ SCRIPT WILL CONFIRM ROSTER INFORMATION FOR EACH HOUSEHOLD MEMBER, THEN ASK: **Is this the Screening Respondent?** UNTIL A SCREENING RESPONDENT IS IDENTIFIED.]

I need to make sure this list is accurate. I have listed... [READ AGES AND RELATIONSHIPS ABOVE]. REVIEW ROSTER FOR ACCURACY AND COMPLETENESS. TAP ANY LINE TO MAKE A CORRECTION. WHEN ALL CORRECT, TAP 'CONTINUE.'

(Have/Will) all of these people (lived/live) here for most of the time during the months of [REFERENCE MONTHS]? (Please let me know if I have included anyone who (will live/lived) at school or somewhere else for most of the time during [REFERENCE MONTHS].) FOR EACH INDIVIDUAL NOT ELIGIBLE FOR SELECTION, TAP THE LINE WITH HIS/HER DATA AND CHANGE THE ELIGIBILITY FIELD TO INELIGIBLE.

Did we miss anyone who is 12 or older and who (will live/was living) here for most of the time during the months of [REFERENCE MONTHS]? (Do not include anyone who (will live/lived) at school or somewhere else for most of the time during [REFERENCE MONTHS].) IF YES, ADD HOUSEHOLD MEMBER TO ROSTER.

TAP 'MAKE SELECTION' BUTTON AND iPAQ WILL SHOW RESPONDENT SELECTION SCREEN WITH INFORMATION ABOUT HOUSEHOLD MEMBERS SELECTED FOR 'A' AND 'B' INTERVIEWS IF ANYONE IS SELECTED.

IF NO ONE IS SELECTED, iPAQ WILL GO TO VERIFICATION SCREEN WHERE FI WILL ENTER NAME AND TELEPHONE NUMBER OF SCREENING RESPONDENT. **So that my supervisor may check the quality of my work, may I please have your first name and telephone number?**

iPAQ WILL FINAL CODE CASE OR FI WILL ENTER PENDING/FINAL CODE AT ADD CALL RECORD SCREEN.

NOTICE: Public reporting burden (of time) for this collection of information is estimated to average 5 minutes 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, SAMHSA Reports Clearance Officer, Paperwork Reduction Project (0930-0110); Room 16-105; Parklawn Building; 5600 Fishers Lane; Rockville, MD 20857. 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. The OMB control number for this project is 0930-0110.

OMB No: 0930-0110
Expires: 01/31/05

2004 NSDUH GQU SCREENING SCRIPT FOR iPAQ

Hello, my name is _____ with Research Triangle Institute in North Carolina. We are conducting a nationwide study sponsored by the U.S. Public Health Service. You should have received a letter explaining the study. [HAND R COPY OF LETTER IF NEEDED.]

First, just let me verify: Do you live here?

IF NOT OBVIOUS: And are you 18 or older?

IF NO TO EITHER, ASK FOR AN ADULT RESIDENT AND BEGIN AGAIN.

- . SR AVAILABLE (CONTINUE)
- . SR NOT AVAILABLE NOW (GO TO RECORD OF CALLS)

I just need to verify — is this [READ COMPLETE ADDRESS INCLUDING CITY, STATE, AND ZIP]?

- . ADDRESS IS CORRECT (CONTINUE)
- . NEED TO EDIT ADDRESS
- . FI AT WRONG ADDRESS

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

INTERVIEWER: IS THIS GQU A TRANSIENT SHELTER?

IF TRANSIENT SHELTER: ARE THE LISTED UNITS...

- . ROOMS,
- . BEDS, OR [GO TO AGE QUESTION]
- . PERSONS? [GO TO AGE QUESTION]

IF LISTED BY ROOM: (Including yourself), how many people are staying in this room?

IF LISTED BY ROOM: How many of these [#] people are now age 12 or older? [GO TO AGE QUESTION]

**REFERENCE MONTHS: QTR 1 = JANUARY / FEBRUARY / MARCH QTR 3 = JULY / AUGUST / SEPTEMBER
QTR 2 = APRIL / MAY / JUNE QTR 4 = OCTOBER / NOVEMBER / DECEMBER**

IF NOT TRANSIENT SHELTER: (Will/Did) you or anyone else in this room live here for most of the time during the months of [REFERENCE MONTHS]?

IF NOT TRANSIENT SHELTER: (Including yourself), how many people (live/lived) in this room for most of the time are during the months of [REFERENCE MONTHS]?

IF NOT TRANSIENT SHELTER: Of these [#] people, how many are now age 12 or older?

Please tell me your age on your last birthday.

What is your first name?

ASK ONLY IF NOT OBVIOUS: (Are you/Is this person) male or female?

Are you of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe your national origin or ancestry— Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

Are you White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **Are you currently on active duty in the military?** [iPAQ WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

IF MORE THAN 1 PERSON: **Now I need some general information about (the other person who is/all of the other people who are) 12 years old or older and who (will live/lived) in this room for most of the time during the months of [REFERENCE MONTHS]. (Let's start with the oldest and work down to the youngest person 12 years or over.)**

Please tell me the age of (this/the (oldest/next oldest) person on his or her last birthday. [REPEAT SERIES OF QUESTIONS FOR ALL GQU UNIT OCCUPANTS AGE 12 AND OLDER.]

What is this person's first name?

ASK ONLY IF NOT OBVIOUS: **Is this person male or female?**

Is (he/she) of Hispanic, Latino or Spanish origin? (That is, do any of these groups describe (his/her) national origin or ancestry—Puerto Rican, Cuban, Cuban-American, Mexican, Mexican-American, Chicano, Central or South American, or origin in some other Spanish-speaking country?)

Is (he/she) White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian? [MARK ALL THAT APPLY]

ASK ONLY IF PERSON LISTED IS 17 TO 65 YEARS OLD: **Is (he/she) currently on active duty in the military?** [iPAQ WILL AUTOMATICALLY RECORD NO FOR ANYONE 12-16 OR 66+]

iPAQ SCRIPT WILL CONFIRM ROSTER INFORMATION FOR EACH HOUSEHOLD MEMBER AND WILL ALWAYS CODE THE FIRST PERSON LISTED AS THE SCREENING RESPONDENT.

I need to make sure this list is accurate. I have listed... [READ LIST OF GQU OCCUPANTS' AGES AND NAMES]. REVIEW ROSTER FOR ACCURACY AND COMPLETENESS. TAP ANY LINE TO MAKE A CORRECTION. WHEN ALL CORRECT, TAP 'CONTINUE.'

IF NOT TRANSIENT SHELTER: **(Have/Will) all of these people (lived/live) in this room for most of the time during the months of [REFERENCE MONTHS]?** FOR EACH INDIVIDUAL NOT ELIGIBLE FOR SELECTION, TAP THE LINE WITH HIS/HER DATA AND CHANGE THE ELIGIBILITY FIELD TO INELIGIBLE.

IF NOT TRANSIENT SHELTER: **Did we miss anyone who is 12 or older and who (will live/was living) in this room for most of the time during the months of [REFERENCE MONTHS]?** IF YES, ADD OCCUPANT TO ROSTER.

TAP 'MAKE SELECTION' BUTTON AND iPAQ WILL SHOW RESPONDENT SELECTION SCREEN WITH INFORMATION ABOUT HOUSEHOLD MEMBERS SELECTED FOR 'A' AND 'B' INTERVIEWS IF ANYONE IS SELECTED.

IF NO ONE IS SELECTED, iPAQ WILL GO TO VERIFICATION SCREEN WHERE FI WILL ENTER TELEPHONE NUMBER OF SCREENING RESPONDENT. **So that my supervisor may check the quality of my work, may I please have your first name and telephone number?**

iPAQ WILL FINAL CODE CASE OR FI WILL ENTER PENDING OR FINAL CODE AS APPROPRIATE AT ADD CALL RECORD SCREEN.

2004 National Survey on Drug Use and Health - CAI SCRIPT

Core Demographics

age1 What is your date of birth?

ENTER MM-DD-YYYY

DOB: _____

DK/REF

DEFINE CALCAGE:

CALCAGE = AGE CALCULATED BY "SUBTRACTING" DATE OF BIRTH FROM DATE OF INTERVIEW.

confdob [IF AGE1 NE DK OR REF] I have entered your date of birth as [AGE1]. Is this correct?

1 YES

2 NO

DK/REF

confirm [IF AGE1 NE DK/REF AND CONFDOB NE DK/REF] That would make you [CALCAGE] years old. Is this correct?

1 YES

2 NO

DK/REF

under12 [IF CONFIRM = 1 OR DK/REF AND CALCAGE < 12] Since you are [CALCAGE] years old, we cannot interview you for this study. Thank you for your cooperation.

PRESS [ENTER] TO CONTINUE. *PROGRAM SHOULD ROUTE TO FIEXIT.*

dkrefage [IF (CALCAGE IS 12 OR OLDER AND CONFIRM = DK/REF) OR AGE1 = DK/REF OR CONFDOB = DK/REF] I need your correct age so I can ask you the right questions. What is your correct age?

AGE: [RANGE: 1 - 110]

DK/REF

IF DKREFAGE NOT (BLANK OR DK/REF) THEN CALCAGE = DKREFAGE

under12b [IF DKREFAGE < 12] Since you are [CALCAGE] years old, we cannot interview you for this study. Thank you for your cooperation.

PRESS [ENTER] TO CONTINUE. *PROGRAM SHOULD ROUTE TO FIEXIT*

lastchance [IF DKREFAGE = DK/REF] Since I am not certain what your age is, I cannot interview you for this study. Thank you for your cooperation.

PRESS [ENTER] TO CONTINUE. *PROGRAM SHOULD ROUTE TO FIEXIT*

QD01 The first few questions are for statistical purposes only, to help us analyze the results of the study.

INTERVIEWER: RECORD RESPONDENT'S GENDER.

- 5 MALE
- 9 FEMALE

QD03 Are you of Hispanic, Latino, or Spanish origin or descent?

- 1 YES
- 2 NO
- DK/REF

QD04 [IF QD03 = 1] HAND R SHOWCARD 1. Which of these Hispanic, Latino, or Spanish groups best describes you? Just give me the number or numbers from the card.

QD04othr [IF QD04 = 7] Please tell me which other Hispanic, Latino or Spanish group best describes you.

DK/REF

QD05 HAND R SHOWCARD 2. Which of these groups describes you? Just give me the number or numbers from the card.

QD05ASIA [IF QD05 = 6] HAND R SHOWCARD 3. Which of these Asian groups describes you? Just give me the number or numbers from the card.

QD05OTHA [IF QD05ASIA = 7] Please tell me which other Asian group or groups describes you.

OTHER ASIAN GROUP: _____
DK/REF

QD05OTHR [IF QD05 = 7] Please tell me which other racial group or groups describes you.

OTHER RACIAL GROUP: _____
DK/REF

QD07 [IF CURNTAGE = 15 OR OLDER] Are you now married, widowed, divorced or separated, or have you never married?

- 1 MARRIED
- 2 WIDOWED
- 3 DIVORCED OR SEPARATED
- 4 HAVE NEVER MARRIED
- DK/REF

INTERVIEWER NOTE:

If the respondent is divorced but currently remarried, code as married. By "divorce" we mean a legal cancellation or annulment of a marriage. By "separated" we mean legally or informally separating due to marital discord.

QD08 [IF QD07 = 1 OR 2 OR 3] How many times have you been married?

NUMBER OF TIMES: [RANGE: 1 - 9]
DK/REF

QD09 [IF CURNTAGE = 17 OR OLDER] Have you ever been in the United States' armed forces?

1 YES
2 NO
DK/REF

QD10 [IF QD09 = 1 OR DK/REF] Are you **currently** on **active** duty in the armed forces, in a reserves component, or now separated or retired from either reserves or active duty?

1 ON ACTIVE DUTY IN THE ARMED FORCES
2 IN A RESERVES COMPONENT
3 NOW SEPARATED OR RETIRED FROM EITHER RESERVES OR ACTIVE DUTY
DK/REF

MILTERM1 [IF QD10 = 1] I need to verify what I just entered into the computer. You said you are **currently** on **active** duty in the armed forces. Is that correct?

1 YES
2 NO
DK/REF

MILTERM2 [IF MILTERM1 = 1] People who are currently on active duty in the armed forces are not eligible to be interviewed in this study. I appreciate you taking the time to speak with me. Thank you.

PRESS [ENTER] TO CONTINUE.
[ROUTE TO FIEXIT]

QD11 HAND R SHOWCARD 4. What is the highest grade or year of school you have **completed**?

Please tell me the number from the card.

INCLUDE JUNIOR OR COMMUNITY COLLEGE ATTENDANCE; DO NOT INCLUDE TECHNICAL SCHOOLS (BEAUTICIAN, MECHANIC, ETC.).

QD12 This question is about your overall health. Would you say your health in general is excellent, very good, good, fair, or poor?

calendar CALENDAR

Throughout the rest of this interview, the computer will ask you questions about three time periods, the past 30 days, the past 12 months, and your lifetime. To help you remember the first two time periods, let's mark this calendar with the beginning dates for each one of them.

SHOW CALENDAR TO RESPONDENT.

Now let's think about the past 30 days. According to the calendar [DATEFILL] was 30 days ago, so I will write [DATEFILL] here on the calendar. I'll call that your 30-day reference date.

WRITE 30-DAY REFERENCE DATE ON CALENDAR AND CIRCLE DAY;
UNDERLINE ENTIRE 30-DAY PERIOD.

A number of questions will ask about the past 12 months, that is since this date last year. Let's look at the calendar and find that date — [DATEFILL]. I'll call that your 12-month reference date.

WRITE 12 MONTH REFERENCE DATE ON CALENDAR, AND CIRCLE DAY ON
CALENDAR.

Please use this calendar as we go through the interview to help you remember when different things happened. I will remind you to think about your 30-day reference date and your 12-month reference date when I ask you questions.

PRESS [ENTER] TO CONTINUE.

Beginning ACASI Section

IntroAcasi1 You will do an important part of this interview on your own, using the computer and headphones. Before you start, we'll go through a short practice session so you can learn how to use this computer. Let me quickly point out the keys you will use. The computerized practice session that follows will go through what each key does in greater detail.

MOVE COMPUTER SO RESPONDENT CAN USE IT AND POINT OUT THE FOLLOWING:

[POINT TO THE ROW OF FUNCTION KEYS] First, these are the function keys. The function keys and what they do are labeled for you.

[POINT TO F3] If you don't know the answer to a question, press F3.

[POINT TO F4] If you don't want to answer a question, press F4.

[POINT TO THE ROW OF NUMBER KEYS] These are the number keys

[POINT TO THE ENTER KEY] The Enter key is here,

[POINT TO THE SPACE BAR] the space bar is here,

[POINT TO THE BACKSPACE KEY] and the Backspace key is here

[POINT TO THE BOTTOM OF THE SCREEN] The answers that you enter will show up here at the bottom of the screen.

[POINT TO ON/OFF SWITCH] This button up here turns the machine on and off. Please do not press it! It will turn the machine off, and we'll lose the interview.

[POINT TO TOUCHPAD] Also, please do not touch this pad. This will disable the interview.

PRESS [ENTER] TO CONTINUE.

IntroAcasi2 You can adjust the volume here

[DEMONSTRATE VOLUME ADJUSTMENT ON THE HEADPHONE CORD].

Please put on your headphones. When you are ready, let me know.

ONCE RESPONDENT HAS HEADPHONES ON, PRESS "1" AND [ENTER] SO R CAN BEGIN PRACTICE SESSION.

Acasi Section is Completed by Respondent

Back-End Demographics

INTRODM2 For the next questions, I will read the question out loud, you can tell me your answer, and I will enter it into the computer.

PRESS [ENTER] TO CONTINUE.

QD13 How many times in the past 12 months have you moved?

NUMBER OF TIMES: _____ [RANGE: 0 - 365]
DK/REF

INTERVIEWER NOTE:

The respondent should include moves from one residence to another within the same city/town as well as those from one city/town to another.

QD14 Were you born in the United States?

1 YES
2 NO
DK/REF

QD15 [IF QD14 = 2] In what country or U.S. territory were you born?

COUNTRY OR US TERRITORY: _____
DK/REF

QD16a Have you lived in the United States for at least one year?

1 YES
2 NO
DK/REF

QD16b [IF QD16a = 1] For how many years have you lived in the United States? Please estimate the total number of years you have lived here over your lifetime.

NUMBER OF YEARS: _____ [RANGE: 1-90]
DK/REF

QD16c [IF QD16a = 2] For how many months have you lived in the United States? Please estimate the total number of months you have lived here over your lifetime.

IF LESS THAN ONE MONTH, ENTER 0

NUMBER OF MONTHS: _____ [RANGE: 0-12]
DK/REF

QD17 The next questions are about school. Are you now attending or are you currently enrolled in school? By “school,” we mean an elementary school, a junior high or middle school, a high school, or a college or university. Please include home schooling as well.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

If the respondent is on a holiday or summer break from school, but plans to return when the break is over, then he/she should be coded as currently enrolled in school.

Do not include vocational or technical schools.

QD17a [IF CURNTAGE=12-25 AND (QD17=2 OR DK/REF) AND QD11 = 1 - 15] Are you currently on a holiday or vacation break from school?

- 1 YES
- 2 NO
- DK/REF

QD17b [IF QD17a = 1] Do you plan to return to school when your holiday or vacation is over?

- 1 YES
- 2 NO
- DK/REF

QD18 [IF QD17 = 1] HAND R SHOWCARD 5. What grade or year of school are you **now** attending? Please tell me the number from the card.

[IF QD17b = 1] HAND R SHOWCARD 5. What grade or year of school will you be attending when your vacation is over? Please tell me the number from the card.

INTERVIEWER NOTE:

If the respondent is on a holiday or summer break, select the category for the year or grade he/she will enter when he/she returns to school.

If home schooled or other alternative, ask for grade equivalent.

QD18a [IF QD18 = 1-12] Is your school public, private, charter, or are you home schooled?

QD18b [IF QD18a = 2] Is your private school run by a religious organization? For example, is it Catholic, Protestant, Jewish, Islamic or any other type of religious school?

- 1 YES
- 2 NO
- DK/REF

QD18c [IF QD17 = 1 AND QD18a = 1, 2 OR 3] HAND R SHOWCARD 6. What is the **lowest** grade or year at the school you go to? The lowest grade is the one attended by the youngest students at your school. Please tell me the number from the card.

[IF QD17b = 1 AND QD18a = 1, 2 OR 3] HAND R SHOWCARD 6. What is the **lowest** grade or year at the school you will be attending when your vacation is over? The lowest grade is the one attended by the youngest students at your school. Please tell me the number from the card.

QD18d [IF QD17 = 1 AND QD18a = 1, 2 OR 3] Please look at this showcard again. What is the **highest** grade or year at the school you go to? Please tell me the number from the card.

[IF QD17b = 1 AND QD18a = 1, 2 OR 3] Please look at this showcard again. What is the **highest** grade or year at the school you will be attending when your vacation is over? Please tell me the number from the card.

QD19 [IF QD17 = 1] Are you a full-time student or a part-time student?

[IF QD17b = 1] Will you be a full-time student or a part-time student?

QD20 [IF QD19 = 1] During the past 30 days, that is, from **[DATEFILL]** up to and including today, how many **whole** days of school did you miss because you were sick or injured?

IF SCHOOL WAS NOT IN SESSION DURING THE PAST 30 DAYS, ENTER 90.

NUMBER OF DAYS: _____ [RANGE: 0-30, 90]
DK/REF

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD21 [IF QD19 = 1 AND QD20 NE 90] During the past 30 days, that is, since **[DATEFILL]**, how many **whole** days of school did you miss because you skipped or “cut” or just didn’t want to be there?

NUMBER OF DAYS: _____ [RANGE: 0 - 30]
DK/REF

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD22 [IF (QD11 = 1 - 12 OR DK/REF) AND CURNTAGE = 12 - 25 AND (QD17a = 2 OR DK/REF OR QD17b = 2)] Have you received a high school diploma?

1 YES
2 NO
DK/REF

QD23 [IF QD22 = 2 OR DK/REF] Have you received a GED certificate of high school completion?

1 YES
2 NO
DK/REF

QD24 [IF QD23 = 1 OR 2 OR DK/REF] HAND R SHOWCARD 7. Please look at this card and tell me which one of these reasons **best** describes why you left school before receiving a high school diploma. Just give me the number.

QD24SP [IF QD24 = 16] What is the main reason you left school before receiving a high school diploma?

DK/REF

QD25 [IF QD24 = 1 - 16 OR DK/REF] How old were you when you stopped attending school?

AGE WHEN STOPPED ATTENDING SCHOOL: _____ [RANGE: 0-110]
DK/REF

QD26 [IF CURNTAGE = 15 OR OLDER] The next questions are about working. Did you work at a job or business at any time **last week**? By last week, I mean the week beginning on Sunday, [STARTDATE] and ending on Saturday, [ENDDATE].

1 YES
2 NO
DK/REF

INTERVIEWER NOTE:

If the respondent asks about unpaid work, tell him/her to include unpaid work in a family farm or business if he/she worked more than 15 hours last week.

A student who is given a stipend is **not** considered to be working.
Someone doing volunteer work is **not** considered to be working.
A person who provides personal labor in exchange for work done for them, rather than for pay, is considered to be working.

QD27 [IF QD26 = 2] Even though you did not work at any time last week, did you **have** a job or business?

1 YES
2 NO
DK/REF

QD28 [IF QD26 = 1] How many hours did you work **last week** at all jobs or businesses?

OF HOURS WORKED: _____ [RANGE: 1 - 120]
DK/REF

QD29 [IF (QD28 = 1 - 120 OR DK/REF) OR QD27 = 1] Do you **usually** work 35 hours or more per week at **all** jobs or businesses?

1 YES
2 NO
DK/REF

INOC01 [IF QD26 = 1 OR QD27 = 1] In what kind of business or industry do you work? That is, what product is made or what service is offered?

_____ [ALLOW 50 CHARACTERS]

DK/REF

INTERVIEWER NOTE:

If the respondent has more than 1 job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Hospital, newspaper publishing, mail order house, auto engine manufacturing, breakfast cereal manufacturing. Please probe thoroughly!

INOC02 [IF QD26 =1 OR QD27=1 AND INOC01 NE DK/REF] HAND R SHOWCARD 8. Which of these categories best describes the business or industry in which you work?

- 1 MANUFACTURING
- 2 WHOLESALE TRADE
- 3 RETAIL TRADE
- 4 AGRICULTURE
- 5 CONSTRUCTION
- 6 SERVICE
- 7 GOVERNMENT
- 8 OTHER

DK/REF

INOC02M [IF INOC02 = 1] What do they make?

_____ [ALLOW 15 CHARACTERS]

DK/REF

INOC02T [IF INOC02 = 2 OR 3] What do they sell?

_____ [ALLOW 15 CHARACTERS]

DK/REF

INOC03 [IF INOC02 = 8] Please describe the business or industry in which you work.

_____ [ALLOW 15 CHARACTERS]

DK/REF

INOC04 [IF QD26 =1 OR QD27=1 AND INOC01 NE DK/REF] What kind of work do you do? That is, what is your occupation?

_____ [ALLOW 50 CHARACTERS]

DK/REF

INTERVIEWER NOTE:

If the respondent has more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Registered nurse, personnel manager, supervisor of order department, gasoline engine assembler, grinder operator. Please probe thoroughly!

INOC05 [IF QD26 = 1 OR QD27 = 1 AND INOC01 NE DK/REF] What are your most important activities or duties in that job?

_____ [ALLOW 50 CHARACTERS]
DK/REF

INTERVIEWER NOTE:

If the respondent has more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: patient care, directing hiring practices, supervising order clerks, assembling engines, operating grinding mill. Please probe thoroughly!

INOC06 [IF QD26 =1 OR QD27 = 1 AND INOC01 NE DK/REF] HAND R SHOWCARD 9. Which of these categories best describes the business in which you work?

- 1 PRIVATE **FOR-PROFIT** COMPANY OR BUSINESS
 - 2 PRIVATE **NOT-FOR-PROFIT** COMPANY OR BUSINESS
 - 3 **LOCAL** GOVERNMENT (CITY, COUNTY, ETC.)
 - 4 **STATE** GOVERNMENT
 - 5 **FEDERAL** GOVERNMENT
 - 6 **INTERNATIONAL OR FOREIGN** GOVERNMENT
 - 7 SELF-EMPLOYED IN AN **INCORPORATED** BUSINESS
 - 8 SELF-EMPLOYED IN AN **UNINCORPORATED** BUSINESS
 - 9 WORKING **WITHOUT PAY** IN A FAMILY BUSINESS OR FARM
- DK/REF

QD30 [IF QD27 = 1] HAND R SHOWCARD 10. Please look at this card and tell me which one of these reasons **best** describes why you did not work last week. Just give me the number.

QD31 [IF QD27 = 2 OR DK/REF] HAND R SHOWCARD 11. Please look at this card and tell me which one of these reasons **best** describes why you did not have a job or business last week. Just give me the number.

QD32 [IF QD31 = 1] During the past 30 days, did you make **specific efforts** to find work? Include any contacts you made with anyone about a job, sending out resumes or applications, placing or answering ads. Do not include only reading job ads.

- 1 YES
- 2 NO
- DK/REF

QD33 [IF QD26 = DK/REF OR QD27 = 2 OR DK/REF] Now, think about the past 12 months, from **[DATEFILL]** through today. Did you work at a job or business at any time during the past 12 months?

- 1 YES
- 2 NO
- DK/REF

QD34 [IF QD30 = 5 OR INOC06 = 7-8, SKIP TO QD35.]

[IF QD26 = 1 OR QD33 = 1 OR (QD27 = 1 AND QD30 NE 5). Have you been self-employed at any time during the past 12 months?

- 1 YES
- 2 NO
- DK/REF

QD35 [IF QD34 = 1 OR QD30 = 5 OR INOC06 = 7-8] How many different employers, including yourself, have you had in the past 12 months?

OF EMPLOYERS IN PAST 12 MONTHS: _____ [RANGE: 1 - 52]
DK/REF

QD36 [IF QD34 = 2 OR DK/REF OR (QD34 = BLANK AND QD35 = BLANK AND (INOC06 = 7-8 OR QD30 = 5))] How many different employers have you had in the past 12 months?

OF EMPLOYERS IN PAST 12 MONTHS: _____ [RANGE: 1 - 52]
DK/REF

QD37 [IF QD26 = 1 OR QD27 = 1] During the past 12 months, was there ever a time when you did **not** have at least one job or business?

- 1 YES
- 2 NO
- DK/REF

QD38 [IF QD37 = 1] In how many weeks during the past 12 months did you **not** have at least one job or business?

OF WEEKS WITHOUT A JOB OR BUSINESS: _____ [RANGE: 1 - 52]
DK/REF

INTERVIEWER NOTE:

If the respondent did not have at least one job or business for less than one week, enter "1".

QD39a [IF QD27 = 2 OR DK/REF] In what year did you last work at a job or business?

ENTER THE FOUR-DIGIT YEAR IN THE FOLLOWING FORMAT: YYYY.

IF THE RESPONDENT NEVER WORKED FOR PAY, ENTER 9991.

_____ YEAR LAST WORKED

DK/REF

QD39b [IF QD39a NE 9991 OR DK/REF OR BLANK] In what month in [**YEAR FROM QD39a**] did you last work at a job or business?

INOC07 [IF QD33 = 1 AND (QD39b AND QD39a NE DK/REF)] When you last worked in [**QD39b, QD39a FILL**], in what kind of business or industry did you work? That is, what product was made or what service was offered?

[IF QD33 = 1 AND (QD39b OR QD39a = DK/REF)] When you last worked, in what kind of business or industry did you work? That is, what product was made or what service was offered?

_____ [ALLOW 50 CHARACTERS]

DK/REF

INTERVIEWER NOTE:

If the respondent had more than 1 job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Hospital, newspaper publishing, mail order house, auto engine manufacturing, breakfast cereal manufacturing. Please probe thoroughly!

INOC08 [IF QD33 =1 AND INOC07 NE DK/REF] HAND R SHOWCARD 8. Which of these categories best describes the business or industry in which you worked?

- 1 MANUFACTURING
- 2 WHOLESALE TRADE
- 3 RETAIL TRADE
- 4 AGRICULTURE
- 5 CONSTRUCTION
- 6 SERVICE
- 7 GOVERNMENT
- 8 OTHER

DK/REF

INOC08M [IF INOC08 = 1] What did they make?

_____ [ALLOW 15 CHARACTERS]
DK/REF

INOC08T [IF INOC08 = 2 OR 3] What did they sell?

_____ [ALLOW 15 CHARACTERS]
DK/REF

INOC09 [IF INOC08 = 8] Please describe the business or industry in which you worked.

_____ [ALLOW 15 CHARACTERS]
DK/REF

INOC10 [IF QD33 =1 AND INOC07 NE DK/REF] What kind of work did you do? That is, what was your occupation?

_____ [ALLOW 50 CHARACTERS]
DK/REF

INTERVIEWER NOTE:

If the respondent had more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: Registered nurse, personnel manager, supervisor of order department, gasoline engine assembler, grinder operator. Please probe thoroughly!

INOC11 [IF QD33 = 1 AND INOC07 NE DK/REF] What were your most important activities or duties in that job?

_____ [ALLOW 50 CHARACTERS]
DK/REF

INTERVIEWER NOTE:

If the respondent had more than one job, he/she should tell you about only one of the jobs. In these situations, the choice of which job to report is left to the respondent.

In order to accurately code a respondent's occupation, our coders need complete information. Examples include: patient care, directing hiring practices, supervising order clerks, assembling engines, operating grinding mill. Please probe thoroughly!

INOC12 [IF QD33 =1 AND INOC07 NE DK/REF] HAND R SHOWCARD 9. Which of these categories best describes the business in which you worked?

- 1 PRIVATE **FOR-PROFIT** COMPANY OR BUSINESS
- 2 PRIVATE **NOT-FOR-PROFIT** COMPANY OR BUSINESS

- 3 **LOCAL** GOVERNMENT (CITY, COUNTY, ETC.)
 - 4 **STATE** GOVERNMENT
 - 5 **FEDERAL** GOVERNMENT
 - 6 **INTERNATIONAL OR FOREIGN** GOVERNMENT
 - 7 SELF-EMPLOYED IN AN **INCORPORATED** BUSINESS
 - 8 SELF-EMPLOYED IN AN **UNINCORPORATED** BUSINESS
 - 9 WORKING **WITHOUT PAY** IN A FAMILY BUSINESS OR FARM
- DK/REF

QD40 [IF QD26 = 1 OR QD27 = 1] During the past 30 days, that is, from [DATEFILL] up to and including today, how many **whole** days of work did you miss because you were sick or injured?

OF DAYS: _____ [RANGE: 0 - 30]
DK/REF

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD41 [IF QD26 = 1 OR QD27 = 1] During the past 30 days, that is, from [DATEFILL] up to and including today, how many **whole** days of work did you miss because you just didn't want to be there?

OF DAYS: _____ [RANGE: 0 - 30]
DK/REF

INTERVIEWER NOTE:

Days missed because the respondent stayed home with a sick child or other family member should not be included.

QD42 [IF QD26 = 1 OR QD27 = 1] HAND R SHOWCARD 12. Thinking about the location where **you** work, how many people work for your employer out of this office, store, etc.?

QD43 [IF QD42 = 1 - 5 OR DK/REF] At your workplace, is there a written policy about employee use of alcohol or drugs?

- 1 YES
 - 2 NO
- DK/REF

QD44 [IF QD43 = 1] Does this policy cover only alcohol, only drugs, or both alcohol and drugs?

QD45 [IF QD44 = (1 - 3 OR DK/REF) OR QD43 = (2 OR DK/REF)] At your workplace, have you ever been given any educational information regarding the use of alcohol or drugs?

- 1 YES
 - 2 NO
 - 3 DON'T REMEMBER
- DK/REF

QD46 [IF QD45 = 1 - 3 OR DK/REF] Through your workplace, is there access to any type of employee assistance program or other type of counseling program for employees who have alcohol or drug-related problems?

- 1 YES
- 2 NO
- DK/REF

QD47 [IF QD46 = 1 - 2 OR DK/REF] Does your workplace ever test its employees for alcohol use?

- 1 YES
- 2 NO
- DK/REF

QD48 [IF QD47 = 1 - 2 OR DK/REF] Does your workplace ever test its employees for drug use?

- 1 YES
- 2 NO
- DK/REF

QD49 [IF Q47 = 1 OR Q48 = 1] Does your workplace test its employees for drug or alcohol use as part of the hiring process?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Testing as part of the hiring process refers to a test that must be conducted, and show no presence of drugs in order for an applicant to be hired.

QD50 [IF Q49 = 1 OR 2 OR DK/REF] Does your workplace test its employees for drug or alcohol use on a random basis?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Testing on a random basis refers to a test conducted at unscheduled times with a random group of a company's employees.

QD51 [IF Q47 = 1 OR Q48 = 1] According to the policy at your workplace, what happens to an employee the **first** time he or she tests positive for illicit drugs?

- 1 HANDLED ON AN INDIVIDUAL BASIS / POLICY DOES NOT SPECIFY WHAT HAPPENS
- 2 EMPLOYEE IS FIRED
- 3 EMPLOYEE IS REFERRED FOR TREATMENT OR COUNSELING
- 4 NOTHING HAPPENS
- 5 SOMETHING ELSE HAPPENS

DK/REF

QD52 [IF QD42 = 1 - 5 OR DK/REF] Would you be more or less likely to want to work for an employer that tests its employees for drug use as part of the hiring process? Would you say more likely, less likely, or would it make no difference to you?

- 1 MORE LIKELY
 - 2 LESS LIKELY
 - 3 WOULD MAKE NO DIFFERENCE
- DK/REF

QD53 [IF QD52 = 1 - 3 OR DK/REF] Would you be more or less likely to want to work for an employer that tests its employees for drug or alcohol use on a random basis? Would you say more likely, less likely, or would it make no difference to you?

- 1 MORE LIKELY
 - 2 LESS LIKELY
 - 3 WOULD MAKE NO DIFFERENCE
- DK/REF

QD54 Altogether, how many people live here now, **including yourself**? Please include anyone who (has lived/will live) here for most of (**January, February, and March / April, May, and June / July, August, and September / October, November, and December**).

IN HOUSEHOLD: _____ [RANGE: 1 - 25]
DK/REF

INTERVIEWER NOTE:

If you are interviewing in a transient shelter, enter "1".

If you are interviewing in a group quarters unit that was listed by room, enter the number of people living in the room.

IF QD54 = 1 OR DK/REF SKIP TO FIRST QUESTION FOLLOWING HH ROSTER, OTHERWISE CONTINUE.

PERAGEYR [IF QD54 = 2 - 25] Now I need some additional information about each person who lives here. Let's start with the oldest. How old was he or she on his or her **last** birthday? (WORDING FOR ADDITIONAL CYCLES: How old was the next oldest person on his or her last birthday?)

INTERVIEWER: FOR CHILDREN LESS THAN 24 MONTHS (2 YEARS), ENTER '1.' YOU WILL BE PROMPTED FOR THE AGE IN MONTHS ON THE NEXT SCREEN.

AGE IN WHOLE YEARS: _____ [RANGE: 1 - 110]
DK/REF

CHAGEMON [IF PERAGEYR = 1] ENTER THE AGE **IN WHOLE MONTHS** FOR THIS HOUSEHOLD MEMBER:

AGE IN MONTHS: _____ [RANGE: 1 - 23]
DK/REF

CHMONSEX [IF CHAGEMON = 1 - 23] Is the [CHAGEMON FILL]-month old child a male or a female?

5 MALE
9 FEMALE
DK/REF

CHYRSEX [IF CHAGEMON = DK/REF] Is this child a male or female?

5 MALE
9 FEMALE
DK/REF

PERYRSEX [IF PERAGEYR = 2 - 110] Is the [PERAGEYR FILL]-year old person male or female?

5 MALE
9 FEMALE
DK/REF

PERSEX [IF PERAGEYR = DK/REF] Is this person a male or a female?

5 MALE
9 FEMALE
DK/REF

MRELATON [IF CHMONSEX OR CHYRSEX OR PERYRSEX OR PERSEX = 5] HAND R SHOWCARD 13. Please look at this card and tell me which category best describes his relationship to you.

INTERVIEWER NOTE:

If it is clear to you that the respondent is talking about/rostering themselves, you may say "Is that you?". If the answer is Yes, enter "1" for "SELF".

1 SELF
2 FATHER
3 SON
4 BROTHER
5 HUSBAND
6 UNMARRIED PARTNER
7 HOUSEMATE OR ROOMMATE
8 SON-IN-LAW
9 GRANDSON
10 FATHER-IN-LAW
11 GRANDFATHER
12 BOARDER OR ROOMER
13 OTHER RELATIVE
14 OTHER NON-RELATIVE
DK/REF

- FTHRTYPE** [IF MRELATON = 2] Is he your biological, step-, adoptive, or foster father?
- SONTYPE** [IF MRELATON = 3] Is he your biological, step-, adoptive, or foster son?
- BTHRTYPE** [IF MRELATON = 4] Is he your full, half, step-, adoptive, or foster brother?
- BTWNTYPE** [IF AGE1 = AGE OF THIS HOUSEHOLD MEMBER AND BTHRTYPE = 1] Is he your identical twin, fraternal twin, or neither?
- FRELATON** [IF CHMONSEX OR CHYRSEX OR PERYRSEX OR PERSEX = 9] HAND R SHOWCARD 14. Please look at this card and tell me which category best describes her relationship to you.

INTERVIEWER NOTE:

If it is clear to you that the respondent is talking about/rostering themselves, you may say "Is that you?". If the answer is Yes, enter "1" for "SELF".

- 1 SELF
 - 2 MOTHER
 - 3 DAUGHTER
 - 4 SISTER
 - 5 WIFE
 - 6 UNMARRIED PARTNER
 - 7 HOUSEMATE OR ROOMMATE
 - 8 DAUGHTER-IN-LAW
 - 9 GRANDDAUGHTER
 - 10 MOTHER-IN-LAW
 - 11 GRANDMOTHER
 - 12 BOARDER OR ROOMER
 - 13 OTHER RELATIVE
 - 14 OTHER NON-RELATIVE
- DK/REF

- MTHRTYPE** [IF FRELATON = 2] Is she your biological, step-, adoptive, or foster mother?
- DAUTYPE** [IF FRELATON = 3] Is she your biological, step-, adoptive, or foster daughter?
- SISTYPE** [IF FRELATON = 4] Is she your full, half, step-, adoptive, or foster sister?
- FTWNTYPE** [IF AGE1 = AGE OF THIS HOUSEHOLD MEMBER AND SISTYPE = 1] Is she your identical twin, fraternal twin, or neither?
- PROXYINT** PROXY INFORMATION
The next questions are about your health insurance coverage and the kinds and amounts of income that you receive.

(This information will help in planning health care services and finding ways to lower costs of care.)

PRESS "1" TO CONTINUE.

FAMILY MEMBERS:

PERAGEYR year old MRELATON/FRELATON

(Continue until all HH members have either been listed or excluded)

QP01 [IF QD54 > 1 AND RESPONDENT IS ONLY FAMILY MEMBER 18 OR OLDER AND ALL PERAGEYR NE DK/REF, SKIP TO QHI01]

[IF GRID HAS MORE THAN 1 ADULT PERSON LISTED AND ALL PERAGEYR NE DK/REF] {SHOW GRID ON SCREEN. SHOW ONLY ADULT FAMILY MEMBERS (PERAGEYR > 17) IN THIS GRID} I have listed as adult family members who live here: your READ RELATIONSHIPS SHOWN BELOW. Do you think one of these people would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

[IF GRID HAS ONLY 1 ADULT PERSON LISTED] {SHOW GRID ON SCREEN. SHOW ONLY ADULT FAMILY MEMBERS (PERAGEYR > 17) IN THIS GRID} Do you think your READ RELATIONSHIP SHOWN BELOW would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

[IF GRID HAS NO ONE OTHER THAN THE RESPONDENT LISTED AS 18 OR OLDER, BUT THERE IS AT LEAST 1 DK OR REF ENTERED FOR ANY PERAGEYR OR THERE IS MORE THAN 1 ADULT LISTED AND AT LEAST 1 DK/REF ENTERED FOR ANY PERAGEYR.] Is there anyone else who lives here who is 18 or older who would be better able to give me the correct information about your health insurance coverage and the kinds of income you receive?

- 1 YES
- 2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]
DK/REF [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

QP02 [IF QP01=1 AND MORE THAN 1 OTHER PERSON IN GRID] Who is the person you think can help us get the correct information for these questions? ENTER RELATIONSHIP OF PERSON WHO CAN BETTER ANSWER THESE QUESTIONS.

QP03 [IF QP02 NE DK/REF OR BLANK] Is your [QP02 FILL] here at home now?

- 1 YES
- 2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]
DK/REF [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

QP04 [IF QP03=1] Would you ask your [QP02 FILL] to join us to help with these last questions about health insurance and income?

- 1 YES
- 2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]
DK/REF [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

HASJOIN [IF QP04 = 1] HAS THE PERSON'S [QP02 FILL] JOINED R?

- 1 YES [ACTIVATE PROXYFILL AS "SAMPLE MEMBER/SAMPLE MEMBER'S" FOR REMAINING QUESTIONS]
- 2 NO [ACTIVATE PROXYFILL AS "YOU/YOUR" FOR REMAINING QUESTIONS]

TOPROXY [IF HASJOIN = 1] WHEN [QP02 FILL] HAS JOINED YOU. The next questions are about **SAMPLE MEMBER'S** health insurance coverage and the kinds and amounts of income that **SAMPLE MEMBER** and other people in your family receive.

(This information will help in planning health care services and finding ways to lower costs of care.)

PRESS [ENTER] TO CONTINUE.

QHI01 [IF QP03 = 2 OR DK/REF OR QP04 = 2 OR DK/REF OR HASJOIN = 2 OR DK/REF ADD THIS TEXT PRIOR TO THE QUESTION: Since your [QP02 FILL] is not available, I'd like you to answer these next questions the best you can.] Several government programs provide medical care or help pay medical bills.

Medicare is a health insurance program for persons aged 65 and older and for certain disabled persons. (Are you/Is **SAMPLE MEMBER**) covered by Medicare?

- 1 YES
 - 2 NO
- DK/REF

QHI01v [IF QHI01 = 1 AND CURNTAGE < 65] You have indicated that [you are/**SAMPLE MEMBER** is] covered by Medicare, which is a health insurance program **for persons aged 65 and older** and for certain disabled persons. Is this correct?

- 1 YES
 - 2 NO
- DK/REF

QHI02 Medicaid is a public assistance program that pays for medical care **for low income and disabled persons**. [IF MEDIFILL NE NONE] The Medicaid program in [STATE FILL] is also called [MEDIFILL].

(Are you/Is **SAMPLE MEMBER**) covered by Medicaid?

- 1 YES
 - 2 NO
- DK/REF

INTERVIEWER NOTE:

Medicaid refers to a medical assistance program that provides health care coverage to low income and disabled persons. Most states refer to Medicaid as Medical Assistance.

QHI02v [IF QHI02 = 1 AND CURNTAGE = 65 OR OLDER] You have indicated that [you are/**SAMPLE MEMBER** is] covered by Medicaid, which is a public assistance program that pays for medical care for **low income and disabled persons**. Is this correct?

- 1 YES
- 2 NO
- DK/REF

QHI02A [IF CURNTAGE = 12-19] (Are you/Is **SAMPLE MEMBER**) currently covered by [CHIPFILL]?

- 1 Yes
- 2 No
- DK/REF

INTERVIEWER NOTE:

These programs cover children from low-income families who do not have private health insurance and who do not qualify for other Medicaid programs.

QHI03 (Are you/Is **SAMPLE MEMBER**) currently covered by TRICARE, or CHAMPUS, CHAMPVA, the VA, or military health care?

These programs cover active duty and retired career military personnel and their dependents and survivors and also disabled veterans and their dependents and survivors.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

CHAMPUS stands for Comprehensive Health and Medical Plan for the Uniformed Services. It provides health care in private facilities for dependents of military personnel on active duty or retired for reasons other than disability. In some areas, this may be known as TRICARE.

CHAMPVA stands for Comprehensive Health and Medical Plan of the Veterans Administration. It provides health care for the spouse, dependents, or survivors of a veteran who has a total, permanent service-connected disability.

Military health care refers to health care available to active duty personnel and their dependents; in addition, the VA provides medical assistance to veterans of the Armed Forces, particularly those with service-connected ailments.

QHI06 Private health insurance can be obtained through work, such as through an employer, union, or professional association, or by paying premiums directly to a health insurance company.

(Are you/Is **SAMPLE MEMBER**) currently covered by private health insurance?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Private health insurance refers to any type of health insurance other than Medicare, Medicaid and coverage provided to military personnel and their dependents. It includes coverage by a health maintenance organization (HMO), fee for service plans, and single service plans.

QHI07 [IF QHI06 = 1] (Was your/**SAMPLE MEMBER'S**) private health insurance obtained through work, such as through an employer, union, or professional association?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

This health insurance could be obtained through any family member's employment, not just the respondent's employment.

QHI08 [IF QHI06 = 1] Does (your/**SAMPLE MEMBER'S**) private health insurance include coverage for treatment for any of the following conditions?

Alcohol abuse or alcoholism?

- 1 YES
- 2 NO
- DK/REF

QHI09 [IF QHI06 = 1] Drug abuse?

- 1 YES
- 2 NO
- DK/REF

QHI10 [IF QHI06 = 1] Mental or emotional problems?

- 1 YES
- 2 NO
- DK/REF

QHI11 [IF (QHI01 = 2 OR QHI01v = 2) AND (QHI02 = 2 OR QHI02v = 2) AND QHI03 = 2 AND QHI06 = 2 AND (IF CURNTAGE = 12 - 19: QHI02a = 2)] (Are you/Is **SAMPLE MEMBER**) currently covered by any kind of health insurance, that is, any policy or program that provides or pays for medical care?

- 1 YES
- 2 NO
- DK/REF

QHI13 [IF (QHI01 = 1 AND QHI01v NE 2) OR (QHI02 = 1 AND QHI02v NE 2) OR QHI02a = 1 OR QHI03=1 OR QHI06 = 1 OR QHI11 = 1] During the past 12 months, was there any time when (you/**SAMPLE MEMBER**) did **not** have **any** kind of health insurance or coverage?

- 1 YES
- 2 NO
- DK/REF

QHI14 [IF QHI13 = 1] During the past 12 months, about how many months were (you/**SAMPLE MEMBER**) **without any** kind of health insurance or coverage?

OF MONTHS: _____ [RANGE: 1 - 12]
DK/REF

INTERVIEWER NOTE:

If the respondent reports less than one month, enter "1".

QHI15 [IF (QHI01 = 2 OR QHI01v = 2) AND (QHI02 = 2 OR QHI02v = 2) AND QHI03 = 2 AND QHI06 = 2 AND QHI11 = 2 AND (IF CURNTAGE = 12 - 19: QHI02a = 2)] About how long has it been since (you/**SAMPLE MEMBER**) last had **any** kind of health care coverage?

- 1 WITHIN THE PAST 6 MONTHS
- 2 MORE THAN 6 MONTHS AGO, BUT WITHIN THE PAST YEAR
- 3 MORE THAN 1 YEAR AGO, BUT WITHIN THE PAST 3 YEARS
- 4 MORE THAN 3 YEARS AGO
- 5 NEVER HAD COVERAGE
- DK/REF

QHI17 [IF QHI15 = 1 - 4 OR DK/REF] HAND R SHOWCARD 15. Which of the reasons on this card is the **main** reason why (you/**SAMPLE MEMBER**) stopped being covered by health insurance?

QHI18 [IF QHI15 = 5] HAND R SHOWCARD 16. Which of the reasons on this card describe why (you/**SAMPLE MEMBER**) never had health insurance coverage?

INTROINC [IF QD54 = 1] These next questions are about the kinds and amounts of income that you receive.

These questions refer to the calendar year [CURRENT YEAR - 1] rather than to the past 12 months that were referred to in some earlier questions. The calendar year [CURRENT YEAR - 1] would be from January 1st, [CURRENT YEAR - 1], through December 31st, [CURRENT YEAR - 1]

[IF FAMLY = GRID] These next questions are about the kinds and amounts of income that (you/SAMPLE MEMBER) and (your/SAMPLE MEMBER'S) READ RELATIONSHIP(S) SHOWN BELOW receive.

These questions refer to the calendar year [CURRENT YEAR - 1] rather than to the past 12 months that were referred to in some earlier questions. The calendar year [CURRENT YEAR - 1] would be from January 1st, [CURRENT YEAR - 1], through December 31st, [CURRENT YEAR - 1]

PRESS [ENTER] TO CONTINUE

FAMILY MEMBERS:
(shown here)

QI01 In [CURRENT YEAR - 1], did (you/SAMPLE MEMBER) receive Social Security or Railroad Retirement payments?

(Social Security checks are either automatically deposited in the bank or mailed to arrive on about the 3rd of every month. If mailed, they are sent in a gold envelope.)

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Social Security or Railroad Retirement payments are paid by the U.S. Government to persons who are retired, severely disabled, or are dependents or survivors of workers.

QI02 [IF QI01 NE 1 AND FAMLY=GRID SHOW GRID ON SCREEN.] The next question is about the members of (your/SAMPLE MEMBER'S) family who live here — that is, (your/SAMPLE MEMBER'S) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1] In [CURRENT YEAR - 1], did **you** receive Social Security or Railroad Retirement payments?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM GRID receive Social Security or Railroad Retirement payments?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive Social Security or Railroad Retirement payments?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Social Security or Railroad Retirement payments are paid by the U.S. Government to persons who are retired, severely disabled, or are dependents or survivors of workers.

QI03 In [CURRENT YEAR - 1], did (you/SAMPLE MEMBER) receive Supplemental Security Income or SSI?

(Federal SSI checks are either automatically deposited in the bank or mailed to arrive on the first of every month. If mailed, they are sent in a blue envelope.)

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI04A [IF QI03 NE 1 AND FAMILY=GRID AND QI01 NE 1. SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive Supplemental Security Income or SSI?

[IF ONLY 1 PERSON IN GRID AND [QP01 NE 1 OR QP04 NE 1]] In [CURRENT YEAR - 1], did your (READ RELATIONSHIP SHOWN BELOW) receive Supplemental Security Income or SSI?

[IF MORE THAN ONE PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members receive Supplemental Security Income or SSI? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI04B [IF QI03 NE 1 FAMILY=GRID AND QI01=1. SHOW GRID ON SCREEN.]The next question is about the members of (your/SAMPLE MEMBER'S) family who live here — that is, (your/SAMPLE MEMBER'S) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive Supplemental Security Income or SSI?

[IF ONLY 1 PERSON IN GRID AND [QP01 NE 1 OR QP04 NE 1]] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive Supplemental Security Income or SSI?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive Supplemental Security Income or SSI?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Supplemental Security Income or SSI is a program administered by the Social Security Administration that makes assistance payments to low income, aged, blind, and disabled persons. Some states also have their own SSI programs. Include these also if reported.

QI05 In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) receive income from wages or pay earned while working at a job or business?

- 1 YES
- 2 NO
- DK/REF

QI06A [IF QI05 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from wages or pay earned while working at a job or business?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive income from wages or pay earned while working at a job or business?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members receive income from wages or pay earned while working at a job or business? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO
- DK/REF

QI06B [IF QI05 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1). SHOW GRID ON SCREEN. The next question is about the members of (**your/SAMPLE MEMBER'S**) family who live here — that is, (**your/SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from wages or pay earned while working at a job or business?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM GRID receive income from wages or pay earned while working at a job or business?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive income from wages or pay earned while working at a job or business?

- 1 YES
- 2 NO
- DK/REF

QI07A [IF FAMILY=GRID] In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) or anyone in (your/**SAMPLE MEMBER'S**) family living here receive food stamps?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Food stamps are government-issued coupons that can be used to purchase food. Instead of coupons, some states issue a special card that can be used like a credit card to purchase food in grocery stores. The food stamp program is a joint federal-state program which is administered by State and Local governments.

QI07B [IF NO OTHER FAMILY IN HOUSEHOLD] In [CURRENT YEAR - 1], did **you** receive food stamps?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Food stamps are government-issued coupons that can be used to purchase food. Instead of coupons, some states issue a special card that can be used like a credit card to purchase food in grocery stores. The food stamp program is a joint federal-state program which is administered by State and Local governments.

QI08 At any time during [CURRENT YEAR - 1], even for one month, did (**you/SAMPLE MEMBER**) receive any cash assistance from a state or county welfare program such as [TANFFILL]?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI09A [IF QI08 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] At any time during [CURRENT YEAR - 1], even for one month, did **you** receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] At any time during [CURRENT YEAR - 1], even for one month, did your READ RELATIONSHIP SHOWN BELOW receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF MORE THAN 1 PERSON IN GRID] At any time during [CURRENT YEAR - 1], even for one month, did any of these same [# OF PEOPLE IN GRID] family members receive any cash assistance from a state or county welfare program such as [TANFFILL]? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI09B

[IF QI08 NE 1 AND FAMILY=GRID AND QI01=1 AND QI03=1 AND QI05 = 1. SHOW GRID ON SCREEN.]

The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] At any time during [CURRENT YEAR - 1], even for one month, did **you** receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] At any time during [CURRENT YEAR - 1], even for one month, did your READ RELATIONSHIP SHOWN BELOW receive any cash assistance from a state or county welfare program such as [TANFFILL]?

[IF MORE THAN 1 PERSON IN GRID] At any time during [CURRENT YEAR - 1], even for one month, did any of **these** family members receive any cash assistance from a state or county welfare program such as [TANFFILL]?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

If the respondent volunteers receiving welfare payments from a program other than the one mentioned, or from another state, record a "yes" response. Do not probe for this information.

QI10 In [CURRENT YEAR - 1], because of low income, did (**you/SAMPLE MEMBER**) receive any **other** kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI11A [IF QI10 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], because of low income, did **you** receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], because of low income, did your READ RELATIONSHIP SHOWN BELOW receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], because of low income, did any of these same [# OF PEOPLE IN GRID] family members receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI11B [IF QI10 NE 1 AND FAMILY=GRID AND QI01=1 AND QI03=1 AND QI05=1 AND QI08 = 1. SHOW GRID ON SCREEN.]The next question is about the members of your family who live here — that is, (**your/SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], because of low income, did **you** receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], because of low income, did your READ RELATIONSHIP SHOWN BELOW receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], because of low income, did any of **these** family members receive any other kind of welfare or public assistance, such as help with getting a job, placement in education or job training programs, or help with transportation, child care, or housing?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Only non-monetary types of assistance should be included for this question.

QI12A [IF QI08=1 OR QI09A=1 OR QI09B=1 OR QI10=1 OR QI11a =1 OR QI11b = 1 AND (QI07a=2 OR QI07b=2)] For how many months in [CURRENT YEAR - 1] did (**you/SAMPLE MEMBER**) or any **other** family member living here receive **any** type of welfare or public assistance?

OF MONTHS RECEIVED ASSISTANCE: _____ [RANGE: 1 - 12]
DK/REF

QI12B [IF QI08=1 OR QI09A=1 OR QI09B=1 OR QI10=1 OR QI11a =1 OR QI11b = 1 AND (QI07A = 1, DK/REF OR QI07B=1, DK/REF)]. For how many months in [CURRENT YEAR - 1] did (**you/SAMPLE MEMBER**) or any **other** family member living here receive **any** type of welfare or public assistance, **not** including food stamps?

OF MONTHS RECEIVED ASSISTANCE: _____ [RANGE: 1 - 12]
DK/REF

QI13 In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) have money in any kind of savings or other bank account that earned interest or did (**you/SAMPLE MEMBER**) receive dividend income from stocks or mutual funds or income from rental property, royalties, estates, or trusts?

(Include money market funds, treasury notes, IRAs or certificates of deposit, interest earning checking accounts, bonds, or any other investments that earn interest.)

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock.

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI14A [IF QI13 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1 OR QI10 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** have money in any kind of savings or other bank account that earned interest or did you receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

1 YES
2 NO
DK/REF

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock.

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI14B [IF QI13 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10 = 1). SHOW GRID ON SCREEN.] The next question is about the members of (your/(**SAMPLE MEMBER'S**)) family who live here — that is, (your/(**SAMPLE MEMBER'S**)) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM BELOW have money in any kind of savings or other bank account that earned interest or did he/she receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members have money in any kind of savings or other bank account that earned interest or did they receive dividend income from stocks or mutual fund or income from rental property, royalties, estates, or trusts?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Dividends: Some people make investments by purchasing shares of stock in corporations. The corporation then distributes some of the profits to shareholders in the form of dividends.

Mutual funds consist of investors who pool their money to purchase shares of stock.

Rental Income: Income received from the rental of land, buildings, real estate, or from boarders after rental expenses are deducted.

Royalties: The total cash from royalties less expenses. This income could come from mineral rights, patents, copyrights, or trademarks.

Estates or Trusts: Include periodic payments from an estate or trust. Exclude lump-sum, one-time payments from these sources.

QI15 Child support is money paid by one parent to the other parent for the support of their child. In [CURRENT YEAR - 1], did (**you/SAMPLE MEMBER**) receive any child support payments for a child (**you are/SAMPLE MEMBER** is) raising?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI16A [IF QI15 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE 1 OR QI10 NE 1 OR QI13 NE 1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04=1]In [CURRENT YEAR - 1], did **you** receive any child support payments for a child you are raising?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)]In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive any child support payments for a child (he/she) is raising?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members living here that I referred to earlier receive any child support payments for a child they are raising? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI16B [IF QI15 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10=1 AND QI13 = 1). SHOW GRID ON SCREEN.] The next question is about the members of (your/SAMPLE MEMBER'S) family who live here — that is, (your/SAMPLE MEMBER'S) READ RELATIONSHIP(S) FROM BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did you receive any child support payments for a child you are raising?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1) In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive any child support payments for a child (he/she) is raising?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these family members receive any child support payments for a child they are raising?

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

In some cases, child support may be paid through a welfare agency or a court. We are only interested in whether the respondent received child support payments. We are not collecting information about any child support payments the respondent pays out to other individuals.

QI17 In [CURRENT YEAR - 1] did **(you/SAMPLE MEMBER)** receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

QI18A [IF QI17 NE 1 AND FAMILY=GRID AND (QI01 NE 1 OR QI03 NE 1 OR QI05 NE 1 OR QI08 NE1 OR QI10 NE 1 OR QI13 NE 1 OR QI15 NE1). SHOW GRID ON SCREEN.]

[IF ONLY 1 PERSON IN GRID AND QP04 = 1] In [CURRENT YEAR - 1], did **you** receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP FROM BELOW receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of these same [# OF PEOPLE IN GRID] family members living here that I referred to earlier receive income from any other sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension (other than Social security or Railroad Retirement)? READ RELATIONSHIPS SHOWN BELOW AS NECESSARY.

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

QI18B [IF QI17 NE 1 AND FAMILY=GRID AND (QI01=1 AND QI03=1 AND QI05=1 AND QI08=1 AND QI10=1 AND QI13=1 AND QI15=1). [SHOW GRID ON SCREEN.] The next question is about the members of (your/**SAMPLE MEMBER'S**) family who live here — that is, (your/**SAMPLE MEMBER'S**) READ RELATIONSHIP(S) SHOWN BELOW.

[IF ONLY 1 PERSON IN GRID AND QP04=1] In [CURRENT YEAR - 1], did **you** receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF ONLY 1 PERSON IN GRID AND (QP01 NE 1 OR QP04 NE 1)] In [CURRENT YEAR - 1], did your READ RELATIONSHIP SHOWN BELOW receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

[IF MORE THAN 1 PERSON IN GRID] In [CURRENT YEAR - 1], did any of **these** family members receive income from **any other** sources, such as Veterans Administration payments, worker's or unemployment compensation, alimony, other disability, retirement or survivor pension other than Social Security or Railroad Retirement?

Do not include lump sum payments, such as money from an inheritance or the sale of a home.

- 1 YES
- 2 NO
- DK/REF

INTERVIEWER NOTE:

Alimony: Money received periodically from a former spouse following a divorce or separation.

INTROTIN The next two questions are about (your/**SAMPLE MEMBER'S**) **total personal** income from all sources **during [CURRENT YEAR - 1]** before taxes and other deductions.

[IF INCFILLP NE BLANK] Please include money from[INCFILLP1, INCFILLP2, INCFILLP3, and INCFILLP UNTIL ALL INCFILLPS INSERTED] that we just talked about.

PRESS [ENTER] TO CONTINUE.

QI20 **Before taxes and other deductions**, was (your/**SAMPLE MEMBER'S**) **total personal** income during [CURRENT YEAR - 1] more or less than 20,000 dollars?

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

- 1 \$20,000 OR MORE
- 2 LESS THAN \$20,000
- DK/REF

INTERVIEWER NOTE:

Do not include money received from loans or tax refunds.

HAND18a [IF QI20=2] HAND R SHOWCARD 17.

HAND18b [IF QI20=1] HAND R SHOWCARD 18.

INTROTPI [IF QI20 NE DK/REF] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total personal** income during [CURRENT YEAR - 1]?

(Include the [INCFILLP1, INCFILLP2, INCFILLP3, and INCFILLP UNTIL ALL INCFILLPS INSERTED] that we just talked about.)

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

QI21A [IF QI20=2] ENTER NUMBER THAT BEST REPRESENTS (**R'S/SAMPLE MEMBER'S**) **TOTAL PERSONAL INCOME** DURING [CURRENT YEAR - 1].

- 1 LESS THAN \$1,000 (INCLUDING LOSS)
- 2 \$1,000 - \$1,999
- 3 \$2,000 - \$2,999
- 4 \$3,000 - \$3,999
- 5 \$4,000 - \$4,999
- 6 \$5,000 - \$5,999
- 7 \$6,000 - \$6,999
- 8 \$7,000 - \$7,999
- 9 \$8,000 - \$8,999
- 10 \$9,000 - \$9,999
- 11 \$10,000 - \$10,999
- 12 \$11,000 - \$11,999
- 13 \$12,000 - \$12,999
- 14 \$13,000 - \$13,999
- 15 \$14,000 - \$14,999
- 16 \$15,000 - \$15,999
- 17 \$16,000 - \$16,999
- 18 \$17,000 - \$17,999
- 19 \$18,000 - \$18,999
- 20 \$19,000 - \$19,999
- DK/REF

QI21B [IF QI20=1] ENTER NUMBER THAT BEST REPRESENTS (**R'S/SAMPLE MEMBER'S**) **TOTAL PERSONAL INCOME** DURING [CURRENT YEAR - 1].

- 21 \$20,000 - \$24,999
 - 22 \$25,000 - \$29,999
 - 23 \$30,000 - \$34,999
 - 24 \$35,000 - \$39,999
 - 25 \$40,000 - \$44,999
 - 26 \$45,000 - \$49,999
 - 27 \$50,000 - \$74,999
 - 28 \$75,000 - \$99,999
 - 29 \$100,000 OR MORE
- DK/REF

INTROFI1 [IFQD54 NE 1, DK OR RE]

[SHOW GRID ON SCREEN] The next two questions are about the **total family** income from all sources **during [CURRENT YEAR - 1]** before taxes and other deductions. We would like you to combine everyone's income — that is, (yours and your READ RELATIONSHIPS FROM BELOW/**SAMPLE MEMBER'S** AND **SAMPLE MEMBER'S** READ RELATIONSHIPS IN GRID).

[IF INCFILLF NE BLANK] Please include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLPF INSERTED] that we just talked about.

QI22 [IFQD54 NE 1, DK OR RE AND QI20 NE 1] **Before taxes and other deductions**, was the **total combined family** income during [CURRENT YEAR - 1] more or less than 20,000 dollars?

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

- 1 \$20,000 OR MORE
 - 2 LESS THAN \$20,000
- DK/REF

INTERVIEWER NOTE:

Do not include money received from loans or tax refunds.

HAND19a [IF QI22=2] HAND R SHOWCARD 17.

HAND19b [IF QI22=1 OR QI20=1] HAND R SHOWCARD 18.

INTROFI2 [IF QI22 = 2. SHOW GRID ON SCREEN] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total combined family** income during [CURRENT YEAR - 1]-- that is, (yours and your READ RELATIONSHIPS SHOWN BELOW/**SAMPLE MEMBER'S** AND **SAMPLE MEMBER'S** READ RELATIONSHIPS SHOWN BELOW)?

(Include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLFS INSERTED] that we just talked about.)

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

INTROFI3 [IF QI22 = 1 OR QI20=1. SHOW GRID ON SCREEN] Of these income groups, which category best represents (your/**SAMPLE MEMBER'S**) **total combined family** income during [CURRENT YEAR - 1]-- that is, (yours and your READ RELATIONSHIPS SHOWN BELOW/**SAMPLE MEMBER'S** AND **SAMPLE MEMBER'S** READ RELATIONSHIPS SHOWN BELOW)?

(Include the [INCFILLF1, INCFILLF2, INCFILLF3, and INCFILLF UNTIL ALL INCFILLFS INSERTED] that we just talked about.)

(Income data are important in analyzing the health information we collect. For example, the information helps us to learn whether persons in one income group use certain types of medical care services or have conditions more or less often than those in another group.)

PRESS [ENTER] TO CONTINUE.

QI23A [IF QI22=2]ENTER NUMBER THAT BEST REPRESENTS **THE TOTAL COMBINED FAMILY INCOME** IN [CURRENT YEAR - 1].

- 1 LESS THAN \$1,000 (INCLUDING LOSS)
 - 2 \$1,000 - \$1,999
 - 3 \$2,000 - \$2,999
 - 4 \$3,000 - \$3,999
 - 5 \$4,000 - \$4,999
 - 6 \$5,000 - \$5,999
 - 7 \$6,000 - \$6,999
 - 8 \$7,000 - \$7,999
 - 9 \$8,000 - \$8,999
 - 10 \$9,000 - \$9,999
 - 11 \$10,000 - \$10,999
 - 12 \$11,000 - \$11,999
 - 13 \$12,000 - \$12,999
 - 14 \$13,000 - \$13,999
 - 15 \$14,000 - \$14,999
 - 16 \$15,000 - \$15,999
 - 17 \$16,000 - \$16,999
 - 18 \$17,000 - \$17,999
 - 19 \$18,000 - \$18,999
 - 20 \$19,000 - \$19,999
- DK/REF

QI23B [IF QI22=1 OR QI20=1] ENTER NUMBER THAT BEST REPRESENTS **THE TOTAL COMBINED FAMILY INCOME** IN [CURRENT YEAR - 1].

- 21 \$20,000 - \$24,999
- 22 \$25,000 - \$29,999
- 23 \$30,000 - \$34,999

24 \$35,000 - \$39,999
25 \$40,000 - \$44,999
26 \$45,000 - \$49,999
27 \$50,000 - \$74,999
28 \$75,000 - \$99,999
29 \$100,000 OR MORE
DK/REF

QI24 The last question has to do with telephones in your household. How many different telephone numbers do you have in this household? Please don't include cellular phones in your answer. Also, don't count business numbers or extensions with the same number.

OF TELEPHONE NUMBERS: _____ [RANGE: 0 - 20]
DK/REF

THANKR THANK R.

BE SURE YOU HAVE YOUR SHOWCARD BOOKLET.

PRESS [ENTER] TO CONTINUE.

VERIFID ENTER THE VERIFICATION ID FROM THE QUALITY CONTROL FORM FOR THIS INTERVIEW.

CASEID ENTER THE CASE ID FOR THIS INTERVIEW.

BE SURE TO INCLUDE A OR B AT THE END OF THE CASE ID.

TOALLR3I It is important that I do my job correctly; therefore, my supervisors will be checking on my work. Would you help me by printing your home telephone number and address on this form? Then place it in the postage-paid envelope so that my supervisor can write or call you in several weeks to confirm that I did my job. As you can see, this is kept separate from your answers so they will still be completely private.

PRESS [ENTER] TO CONTINUE.

INCENT01 While you are completing the quality control form, I will be finishing some questions to show that I did the interview. [SHOW RESPONDENT INTERVIEW PAYMENT RECEIPT FORM.] I will also sign this form to indicate that I have paid you the \$30 for this interview. At the bottom of this form, we have included national hotline numbers that you can call if you need to talk to someone about mental health or drug use issues.

INTERVIEWER:

- 1) SHOW INTERVIEW PAYMENT RECEIPT FORM TO RESPONDENT.
- 2) PAY RESPONDENT \$30 CASH.
- 3) SIGN YOUR NAME TO DOCUMENT THAT YOU HAVE PAID THE RESPONDENT. [IF THE RESPONDENT WILL NOT ACCEPT THE CASH INCENTIVE, MARK THE APPROPRIATE BOX ON THE INTERVIEW PAYMENT RECEIPT FORM AND SIGN IT.]

Let me know when you are finished completing the form.

Thank you very much for your help.

PRESS [ENTER] TO CONTINUE.

FIDBFINTR FIELD INTERVIEWER DEBRIEFING QUESTIONS

FIEXIT END OF INTERVIEW REACHED

Screening Observation Checklist

Directions: Complete **one** Screening Observation Checklist for **each** screening you observe that ends in a code 22, 25, 26, 30, 31, or 32. For each screening procedure and summary item listed below, place a mark in the "Correct," "Error," or "N/A" column. For each Error or N/A response, provide a brief description in the space just below that item. If you observe an error that does not fit any of the categories below, describe that error in item 25. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing a screening. Within 24 hours you should enter this information into the field observations web entry system.

Screening Case ID:

Quarter: Qtr1 Qtr2 Qtr3 Qtr4

Date of Observation:

Time Started: : AM PM (When FI first spoke to respondent)

Time Ended: : AM PM (When FI last spoke to R or began speaking about interview)

FI ID:

FI Name: _____

Observer Name: _____

Observer Title:

FS RS RD SS SAMHSA Staff Other

Census Region: (Choose one of the following):

Northeast South Midwest West

Location (Choose one of the following):

Urban Suburban Rural

Type of dwelling unit (Choose one of the following):

Single family Apartment GQU College Housing

SCREENING PROCEDURES OBSERVED	Correct	Error	N/A
1. Displayed ID Badge prominently when knocking on door			
2. On iPAQ "Study Introduction" screen when reached door			
3. Used iPAQ Spanish screens only if bilingual-certified			
4. Included FI NAME in introduction			
5. Included RTI in introduction			
6. Included US PUBLIC HEALTH SERVICE in introduction			
7. Included LEAD LETTER in introduction			
8. If R didn't recall lead letter, FI offered one to R			
9. Confirmed that SR was an adult resident of SDU (FI does not need to confirm age when it is obvious SR is 18 or older)			
10. Verified that he/she was at the correct address			
11. Gave Study Description to respondent			
12. Read IPAQ "Informed Consent" screen to R			
13. Checked for missed DUs by reading the correct iPAQ screen verbatim (This screen should not be read at apartments/condos)			
14. Asked all roster questions verbatim			
15. Recorded race based on R answer, not FI observation (If the SR refuses to answer for the householder, the FI can record an answer based on his/her observation of the race of the SR)			
16. Obtained all screening information directly from the SR (not by observation or a proxy)			
17. Confirmed accuracy & completeness of roster data w/ screening respondent			
18. For codes 22, 25, 26, or 30, read verification instructions verbatim			
19. For code 31 or 32, expected interview cooperation			
20. For code 31 or 32, presented project and interview information accurately			
21. For code 31 or 32, gained respondent trust/cooperation			
22. For code 31 or 32, demonstrated flexibility in scheduling interview time			
23. For code 31 or 32, left appropriate information about future interview			
24. For code 31 or 32, made attempts to begin interview right away			
25. OTHER PROCEDURAL VIOLATION NOT NOTED ON THIS CHECKLIST:			

SCREENING SUMMARY	Correct	Error	N/A
26. Was punctual			
27. Was organized			
28. Demonstrated a thorough knowledge of study			
29. Delivered a courteous, straightforward presentation			
30. Maintained a calm, professional, respectful demeanor			
31. Made NO biasing or inappropriate remarks			
32. Was there any respondent confusion due to something the FI said or did? If YES, describe:			
33. Was there any respondent confusion due to a procedure OR to the iPAQ Screening Program itself? If YES, describe:			
34. Would you recommend that this FI be observed again? (Answer only after the observation of this FI has been completed.) If YES, describe:			

Interviewing Observation Checklist

Directions: Complete **one** Interviewing Observation Checklist for **each** interview you observe. For each Interview Procedure and Summary item listed below, place a mark in the "Correct," "Error," or "N/A" column. For each Error or N/A response, provide a brief description in the space just below that item. If you observe an error that does not fit any of the categories below, describe that error in item 15. You should complete this checklist in hard copy using a clipboard or hard binder while at the household observing an interview. Within 24 hours you should enter this information into the field observations web entry system.

Interview Case ID:

Quarter: Qtr1 Qtr2 Qtr3 Qtr4

Date of Observation:

Time Started : AM PM (When FI first spoke to interview respondent about interview)

Time Ended : AM PM (When FI last spoke to interview respondent)

FI ID:

FI Name: _____

Observer Name: _____

Observer Title:

FS RS RD SS SAMHSA Staff Other

Census Region: (Choose one of the following):

Northeast South Midwest West

Location (Choose one of the following):

Urban Suburban Rural

Type of dwelling unit (Choose one of the following):

Single family Apartment GQU College housing

INTERVIEWING PROCEDURES OBSERVED	Correct	Error	N/A
1. If IR was a minor, FI first obtained consent from parent or legal guardian			
2. If interview respondent was not screening respondent, explained purpose of study and visit thoroughly			
3. Handed STUDY DESCRIPTION to the respondent			
4. Read INTRO TO CAI from Showcard Booklet verbatim to the respondent			
5. Chose a private location to conduct interview			
6. Set up equipment efficiently			
7. Asked initial (front-end CAPI) questions verbatim			
8. Completed CALENDAR accurately with respondent while reading CAI script and kept calendar where respondent could see it			
9. Read INTRO TO ACASI screen verbatim			
10. Explained HEADPHONE usage, offered headphones to R, and plugged in			
11. Kept ACASI portion private (did not read ACASI), but remained attentive			
12. Asked demographic (back-end CAPI) questions verbatim.			
13. For industry & occupation questions, listened to responses and probed appropriately			
14. Read Quality Control Form and Incentive Payment instructions verbatim			
15. OTHER PROCEDURAL VIOLATION NOT NOTED ON THIS CHECKLIST:			

INTERVIEWING SUMMARY	Correct	Error	N/A
16. Presented SHOWCARDS when prompted by the CAI			
17. Was punctual			
18. Was organized			
19. Demonstrated a thorough knowledge of study			
20. Kept paper forms accessible			
21. Spoke in a clear voice			
22. Maintained a pace comfortable for the R			
23. Was courteous and respectful of R and surroundings			
24. Did not divulge R's confidential info to others			
25. Made NO biasing or inappropriate remarks			
26. Was there any respondent confusion due to something the FI said or did? If YES, describe:			
27. Was there any respondent confusion due to a procedure OR due to the CAI instrument itself? If YES, describe:			
28. Would you recommend that this FI be observed again? (Answer only after the observation of this FI has been completed.) If YES, describe:			