

# 2020 NATIONAL SURVEY ON DRUG USE AND HEALTH

## Field Interviewer Manual Field Interviewer Computer Manual

Contract No. HHSS283201700002C

Project No. 0215638

Prepared for:

Substance Abuse and Mental  
Health Services Administration  
Rockville, Maryland 20857

Prepared by:

RTI International

September 2019

Field Interviewer: \_\_\_\_\_

FI ID No: \_\_\_\_\_

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# RTI International

## VISION

We address the world's most critical problems with science-based solutions in pursuit of a better future.

Through innovation and technology, we deliver exemplary outcomes for our partners. We support one another in an environment grounded in integrity and respect.

## MISSION

To improve the human condition by turning knowledge into practice.

## VALUES

**Integrity** - We perform with the highest ethical standards of individual and group honesty. We communicate openly and realistically with each other and our clients.

**Excellence** - We strive to deliver results with exceptional quality and value.

**Innovation** - We encourage multidisciplinary collaboration, creativity and independent thinking in everything we do.

**Respect for the Individual** - We treat one another fairly, with dignity and equity. We support each other to develop to our full potential.

**Respect for RTI** - We recognize that the strength of RTI International lies in our commitment, collectively and individually, to RTI's vision, mission, values, strategies and practices. Our commitment to the Institute is the foundation for all other organizational commitments.

**Fiscal Responsibility** - We operate with financial integrity and transparency. We are accountable for cost competitiveness and continuing financial responsibility.

**Objectivity** - Our work is independent of undue influences by political, economic, or other factors. We maintain the highest level of scientific objectivity in our work.

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# 1. INTRODUCTION TO THE STUDY

Project staff on the National Survey on Drug Use and Health (NSDUH) welcome you to the team for this important study and hope you will find your responsibilities challenging, interesting, and enjoyable. We at RTI International look forward to working with you and appreciate the commitment and skill you bring to the project.

## 1.1 RTI International

RTI International is an independent, nonprofit research organization dedicated to improving the human condition. With a worldwide staff of more than 5,000 people, RTI offers innovative research in surveys and statistics, health and pharmaceuticals, advanced technology, education and training, economic and social policy, international development, energy and the environment. Universities in North Carolina founded RTI in 1958 as the first scientific organization in and centerpiece of the Research Triangle Park, a science park located between the cities of Raleigh, Durham, and Chapel Hill, North Carolina. In addition to its NC location, RTI has fourteen regional offices within the United States and offices in eleven different countries around the world. RTI performs research in the United States and internationally under contract with federal, state, and local governments; public service agencies; and private-sector clients.

## 1.2 Project Organization

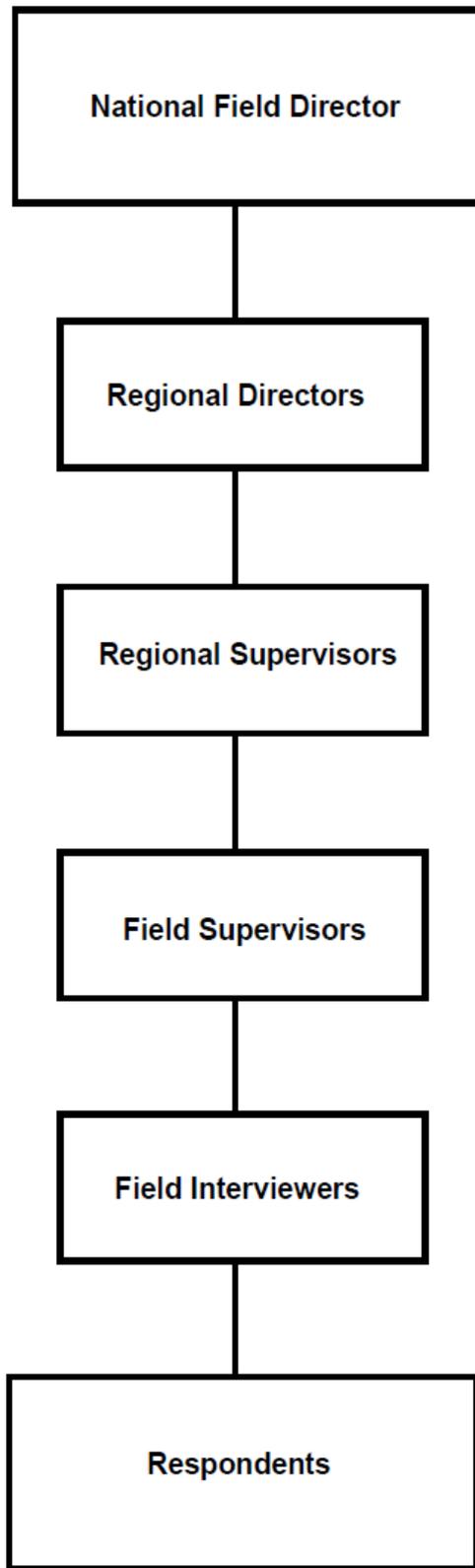
You are one of approximately 600 interviewers working on NSDUH. The field staff include the following positions:

- Field Interviewers (FIs) – who are supervised by:
- Field Supervisors (FSs) – who are managed by:
- Regional Supervisors (RSs) – who are directed by:
- Regional Directors (RDs) – who work with:
- the National Field Director and the Project Director.

Other field staff include Traveling Field Interviewers (TFIs) and a variety of assistant positions at all supervisory levels.

The chart in [Exhibit 1.1](#) illustrates the data collection management structure for the project. Within the chart, the flow from director to interviewer illustrates the direction of necessary communication and support for the project. You, the Field Interviewer, are the essential link in this chart. You are the only direct connection to NSDUH respondents who provide the information needed to complete this study.

**Exhibit 1.1 Data Collection Management Structure**



## 1.3 Study Background

### 1.3.1 Brief History of NSDUH

The NSDUH is currently an annual nationwide survey funded by the Substance Abuse and Mental Health Services Administration (SAMHSA), an agency in the U.S. Department of Health and Human Services.

First conducted in 1971, this study has become the nation's leading source of information on substance use patterns and behaviors. Early on, the study was conducted about every two years. The demand for current, accurate information rose sharply by the early 1990s, prompting the survey to be conducted annually. In 1999, the sample design was expanded to allow for the reporting of drug use estimates for each of the 50 states and the District of Columbia, and computers were used to conduct the survey instead of paper.

RTI International has conducted the study since 1988. Over the years, RTI has revised or implemented new procedures designed to simplify and enhance the data collection process while maintaining the highest level of data quality.

### 1.3.2 Current Design for NSDUH

The NSDUH data collection process is conducted electronically. All screenings—which determine whom, if anyone, to interview in the household—are completed using a small touch screen Samsung Galaxy tablet. Selected respondents are interviewed using computer-assisted interviewing (CAI) on a Dell laptop computer. Portions of the interview are conducted via computer-assisted personal interviewing (CAPI) where the interviewer asks the questions and records the answers in the computer. Sensitive questions are completed using audio computer-assisted self-interviewing (ACASI), where the respondents listen to the questions and enter their own responses. With ACASI, even you, the interviewer, will not know the responses to these personal questions. Studies repeatedly show that maximizing privacy helps encourage honest, accurate answers and produces high quality data.

Currently, the national sample is designed to yield about 16,875 completed interviews per quarter, for a total of about 67,500 interviews. Data collection continues to take place in all 50 states and Washington, D.C.

## 1.4 Data Collection Schedule

With the project's quarterly design, separate groups of households are selected and assigned to a specific quarter of the calendar year. This design requires **all** screening and interviewing (S/I) activities associated with the selected households be completed by the end of each quarter. **IT IS CRITICAL THAT THESE QUARTERLY DEADLINES BE MET.**

Completed screenings and interviews received after the end of the quarter **cannot be used and the late data are discarded**. This means you do not receive "credit" for these cases. These quarterly deadlines can be achieved with careful planning, diligent work, and follow through with your commitment to the project. Your FS will assist you with your work plan, modifying it as necessary as the quarter evolves.

The following are key dates in the quarterly data collection project schedule:

<b>Conduct Screening and Interviewing</b>	<b>Start Date</b>	<b>Completion Goal</b>
Quarter 1	January 5	February 29
Quarter 2	April 1	May 31
Quarter 3	July 1	August 31
Quarter 4	October 1	November 30
<b>Clean-Up and Reporting</b>	<b>Start Date</b>	<b>Final Date</b>
Quarter 1	March 1	March 31
Quarter 2	June 1	June 30
Quarter 3	September 1	September 30
Quarter 4	December 1	December 20

You will complete most cases within the first eight to nine weeks of each quarter, then use the last few weeks of the quarter for reviewing, verifying, and completing miscellaneous cases. The majority of S/I work should be completed prior to these clean-up dates, leaving only a minimum number of cases to be resolved. In some areas, it is possible only a few FIs will be involved in these clean-up phases. This may result in a cycle where some FIs will work for two months and then have a month with little or no work. It is also possible, however, that completing your assignments early will allow you to assist during the clean-up period in your area, or even in other areas if you are interested and available to travel.

[Exhibit 1.2](#) provides a more detailed timetable example of a quarterly data collection period (showing the first two quarters only). Please review this schedule **CAREFULLY**.

**Exhibit 1.2 Quarterly Data Collection Schedule**

	<u>Week</u>	<u>S</u>	<u>M</u>	<u>T</u>	<u>W</u>	<u>T</u>	<u>F</u>	<u>S</u>	
<b>Jan</b>	<b>01</b>				1	2	3	4	<b>Mail Lead Letters for QTR 1:</b> 12/30-31, 2019 S/I Training: 1/2-6, 2020  <b>QTR 1 Data Collection: 1/5-2/29,</b> 2020  <b>QTR 1 Clean-up Period: 3/1-3/31,</b> 2020  <b>Week of March 15th:</b> <b>Mail Lead Letters for QTR 2</b>
	<b>02</b>	5	6	7	8	9	10	11	
	<b>03</b>	12	13	14	15	16	17	18	
	<b>04</b>	19	20	21	22	23	24	25	
<b>Feb</b>	<b>05</b>	26	27	28	29	30	31	1	
	<b>06</b>	2	3	4	5	6	7	8	
	<b>07</b>	9	10	11	12	13	14	15	
	<b>08</b>	16	17	18	19	20	21	22	
<b>Mar</b>	<b>09</b>	23	24	25	26	27	28	29	
	<b>10</b>	1	2	3	4	5	6	7	
	<b>11</b>	8	9	10	11	12	13	14	
	<b>12</b>	15	16	17	18	19	20	21	
	<b>13</b>	22	23	24	25	26	27	28	
<b>Apr</b>	<b>01</b>	29	30	31	1	2	3	4	<b>QTR 2 Data Collection: 4/1-5/31,</b> 2020  <b>QTR 2 Clean-up Period: 6/1-6/30,</b> 2020  <b>Week of June 14th:</b> <b>Mail Lead Letters for QTR 3</b>
	<b>02</b>	5	6	7	8	9	10	11	
	<b>03</b>	12	13	14	15	16	17	18	
	<b>04</b>	19	20	21	22	23	24	25	
<b>May</b>	<b>05</b>	26	27	28	29	30	1	2	
	<b>06</b>	3	4	5	6	7	8	9	
	<b>07</b>	10	11	12	13	14	15	16	
	<b>08</b>	17	18	19	20	21	22	23	
	<b>09</b>	24	25	26	27	28	29	30	
<b>Jun</b>	<b>10</b>	31	1	2	3	4	5	6	
	<b>11</b>	7	8	9	10	11	12	13	
	<b>12</b>	14	15	16	17	18	19	20	
	<b>13</b>	21	22	23	24	25	26	27	
	<b>14</b>	28	29	30					

## 1.5 Project Abbreviations and Terminology

Throughout this manual, and in other project materials, abbreviations are used. A list of these abbreviations is provided in [Exhibit 1.3](#). Some of the abbreviations and terms used in this manual have exact meanings or refer to specific project materials. These terms are briefly explained in [Exhibit 1.4](#), in alphabetical order. Details regarding the use of the terms are located throughout the manual. Be familiar with these terms and use them consistently in your communications with other FIs and your FS.

## 1.6 Use of Manual

This manual is your primary reference. It provides a detailed description of the required NSDUH tasks. A copy of the FI manual can also be accessed directly from the tablet and laptop computers (see [Section 6.10.1](#) and [Appendix A](#)). A separate FI Computer Manual describes the actual computers, their use, and proper care and is available on the tablet (see [Section 6.10.1](#)).

Adherence to prescribed procedures and duties is extremely important to the success of the study. The manual, including all supplements, should be carefully studied before you attend your classroom training (either a New-to-Project session or the annual Veteran session), as you prepare for fieldwork, throughout data collection, and as questions arise.

You may have questions or encounter field situations for which you do not find an answer in this manual. When in doubt about any field situation, contact your FS. If he/she is unavailable and you need an answer immediately, contact the appropriate RS. Names and contact information will be provided at training. Telephone numbers for RSs and other project management staff are listed in [Exhibit 1.5](#).

### Exhibit 1.3 List of Abbreviations

<b>ACASI</b>	Audio Computer-Assisted Self-Interviewing
<b>ADDED DU</b>	Added Dwelling Unit
<b>CAI</b>	Computer-Assisted Interviewing
<b>CAPI</b>	Computer-Assisted Personal Interviewing
<b>Case ID</b>	Case Identification Number
<b>CBHSQ</b>	Center for Behavioral Health Statistics and Quality (the SAMHSA office in charge of NSDUH)
<b>CD</b>	Call Distribution
<b>C/L</b>	Counting/Listing
<b>DHHS</b>	U.S. Department of Health and Human Services
<b>DU</b>	Dwelling Unit
<b>FI</b>	Field Interviewer
<b>FS</b>	Field Supervisor
<b>GQU</b>	Group Quarters Unit
<b>HU</b>	Housing Unit
<b>ICE</b>	Immigration and Customs Enforcement
<b>ID</b>	Identification
<b>NSDUH</b>	National Survey on Drug Use and Health
<b>Q&amp;A</b>	Question and Answer Brochure
<b>QuestID</b>	Questionnaire ID
<b>QC ID</b>	Quality Control Form ID Number
<b>R</b>	Respondent
<b>RD</b>	Regional Director
<b>ROC</b>	Record of Calls
<b>RS</b>	Regional Supervisor
<b>SAMHSA</b>	Substance Abuse and Mental Health Services Administration
<b>SCA</b>	Service Contract Act
<b>S/I</b>	Screening/Interviewing
<b>SDU</b>	Sample Dwelling Unit
<b>SR</b>	Screening Respondent
<b>TFI</b>	Traveling Field Interviewer
<b>T&amp;E</b>	Time and Expense
<b>USCIS</b>	U.S. Citizenship and Immigration Services

## Exhibit 1.4 Definitions of Project Terminology

**Added DU** – a DU identified during the screening at an SDU which was not included on the original List of Dwelling Units in a segment but should have been.

**Audio Computer-Assisted Self-Interviewing (ACASI)** – a type of computer-assisted interviewing used to collect information from selected respondents for questions of a sensitive or personal nature. Respondents listen through headphones as the questions are read from computer audio files and enter the answers themselves directly into the computer.

**CAI Manager** – computer software program on the laptop computer for management of questionnaire data and several interviewer administrative tasks.

**Case Identification (Case ID)** – a ten-character code that starts with the state abbreviation and uniquely identifies a dwelling unit selected for the study.

**Case Management** – a broad term used to describe the process of organizing, keeping track of and completing your work in a timely fashion.

**Computer-Assisted Interviewing (CAI)** – a generic term used to indicate a computer is used during the interview. It includes CAPI and ACASI (*see definitions*).

**Computer-Assisted Personal Interviewing (CAPI)** – using a computer, the FI reads the questions displayed on the screen to the respondent, then enters the response directly into the computer.

**Consent** – in general terms, agreement to participate in a research study. Giving consent indicates the person understands the meaning of, and has agreed to participate in, the study. The consent process used in any research project must be approved by a Human Subject's Committee or Institutional Review Board.

Before speaking with a selected youth age 12-17 about the study to obtain consent from the youth, you must first obtain parental permission using the provided script.

**Counting and Listing (C/L)** – the process of creating a list of all the dwelling units contained within a segment (a specified land area). This phase has already been completed.

**Dwelling Unit (DU)** – a place where a person or persons could reside. This general term refers to both housing units and group quarters units (*see definitions*).

**Group Quarters Structure** – generally, any single structure in which ten or more unrelated persons reside; also these persons must live and eat together, not separately. Examples include a college dormitory, a homeless shelter, and a convent.

**Group Quarters Unit (GQU)** – a single living unit within a group quarters structure. Examples include a room in a sorority house, a bed in a halfway house, and an individual person in a migratory workers camp.

## Exhibit 1.4 Definitions of Project Terminology (continued)

**Householder** – the person or one of the persons in whose name the home is owned or rented. This individual must reside in the SDU for most of the 3-month data collection period.

**Housing Unit (HU)** – a group of rooms or a single room occupied, or intended for occupancy, as separate living quarters. Examples include a single family home, an apartment, a mobile home, and a ‘house mother’ apartment in a fraternity house.

**Lead Letter** – an introductory letter you send to each sample dwelling unit with a mailing address explaining that a field interviewer will contact the residents. A very brief overview of the study is included in the letter.

**Missed DU** – a unit identified during the screening that was potentially ‘missed’ during Counting and Listing. The address of a Missed DU is entered on the tablet, then later reviewed to see if the unit should be included as an Added DU (*see definition*).

**Nonrespondent** – a person who is eligible and selected for the study but who chooses not to participate.

**NSDUH FI Website** – through this website, FIs can send and receive messages from supervisors and project management staff.

**Partition** – within each quarter, the selected DUs are assigned in batches or partitions.

**Quality Control ID (QC ID)** – the code displayed in the upper-right corner of the Quality Control Form. This number is entered into the laptop at the end of the interview.

**Questionnaire ID (QuestID)** – the code that allows you to transition from the screening to the interview. The code is displayed on the tablet and entered into the laptop in order to begin an interview.

**Record of Calls (ROC)** – a term referring to the tablet program that allows FIs to record details about each and every visit to an SDU. Details include the date and time, the result code, and any important comments.

**Respondent (R)** – a person who is eligible and selected for the study, and who agrees to participate.

**Result Codes** – two-digit codes used to indicate the current status of each case. These codes are recorded in the Record of Calls on the tablet, sent automatically to RTI with each transmission, and are reviewed with your FS. When compiled into regular reports, these codes provide important information to project managers and the client on the progress of data collection.

**Sample Dwelling Unit (SDU)** – a dwelling unit that has been randomly chosen for inclusion in the NSDUH.

**Sampling Frame** – the source of all listed units from which SDUs are selected. For NSDUH, we use an area frame where all dwelling units within a specified land area (segment) are listed and then certain units from that list are randomly chosen (sampled) to be contacted about the study.

## **Exhibit 1.4 Definitions of Project Terminology (continued)**

**SCA Zone** – FI pay rates are determined by the Service Contract Act (SCA) which divides states into SCA Zones, often by county. Each week FIs prepare and submit an accurate T&E report of daily production, time and expenses for each SCA Zone in which they work.

**Screening** – the process of determining whether an SDU contains any eligible persons and if any of those eligible are selected to be interviewed.

**Screening Respondent (SR)** – the person who answers the screening questions. The SR must be an adult (age 18 or over) resident of the household.

**Segment** – a relatively small, well-defined area of land.

**Tablet (Samsung Galaxy Tablet)** – a handheld computer used to conduct screenings and for case management

**Time and Expense (T&E) Report** – FIs maintain an accurate record of daily production, time and expenses while working on this study and enter their information into the T&E system each week. Payments for hours worked and reimbursement of expenses are based on the information submitted.

**Transient** – Shelters and missions provide lodging for transient persons who have no other permanent place of residence. Transient residents of a selected shelter are eligible for the NSDUH. Overnight hotels, motels, or even hospitals provide temporary shelter for guests who have other homes. These transient structures are not included in NSDUH.

**Transmit** – the act of sending information from the tablet and laptop to RTI.

**Verification** – a process in which the quality and accuracy of all NSDUH field work is monitored by project managers and staff. This quality control process ensures the data being collected are accurate, valid, and reliable.

**Exhibit 1.5 Project Staff Information**

<b>REGIONAL SUPERVISORS</b>		
<b>Name</b>	<b>Phone No.</b>	<b>Location</b>
<b>REGIONAL DIRECTORS</b>		
<b>TECHNICAL SUPPORT GROUP (TSG) -</b>		

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# CHAPTER 1 MAIN IDEAS

## Introduction to the Study

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 1-1: You are a field interviewer for the NSDUH (National Survey on Drug Use and Health) working for RTI International, a nonprofit research organization in North Carolina.
- Page 1-3: NSDUH is sponsored by the Substance Abuse and Mental Health Services Administration (SAMHSA), an agency in the U.S. Department of Health and Human Services.
- Page 1-3: NSDUH is the nation's leading source of information on substance use patterns and behaviors and produces national and state data. Data are collected in all 50 states and the District of Columbia.
- Page 1-3: All data collection on NSDUH is done electronically. Screenings are completed using a handheld tablet computer, while interviews are completed using a laptop computer.
- Page 1-3 & 1-4: Data collection follows a strict quarterly schedule, with the majority of the work being accomplished in the first two months of each quarter.
- Page 1-6: FIs must understand many project abbreviations and terminology and use them consistently and correctly with other FIs and supervisors.
- Page 1-6: Details on the FI job and this project are presented in this manual, and it will be a useful tool as you work on this project. If you cannot find an answer in this manual, you can contact your FS for clarification.

## **QUESTIONS TO ASK YOURSELF**

1. In what year was NSDUH first conducted?
2. What is RTI International?
3. What is the last day that Quarter 2 interviews can be completed?
4. When should the bulk of your field work be finished in Quarter 1?
5. Define the following terms:

NSDUH

CAI

ACASI

SAMHSA

SDU

FS

DHHS

6. When is the tablet used?

## 2. YOUR JOB AS A FIELD INTERVIEWER

### 2.1 Introduction

Many factors make a NSDUH field interviewer (FI) successful. The key is to combine your knowledge and adherence to all NSDUH protocols and procedures with your natural talents, creativity, and social skills. Some guidelines are:

- follow **all** procedures and instructions carefully at all times;
- know the study;
- represent RTI International and NSDUH in a professional manner;
- listen and reply to respondents' needs and concerns;
- be convinced of the importance of the survey; and
- maintain open communication with your field supervisor (FS).

Other skills crucial to success are timeliness, organization, attention to detail, and persuasiveness. This chapter outlines your responsibilities as an FI and shows how the above factors come together for a successful NSDUH experience.

### 2.2 Screening and Interviewing Process

During the screening and interviewing process, you are responsible for the following activities:

- review your assigned segment materials (maps, Selected DU List, etc.)
- prepare and mail a lead letter to each sample dwelling unit (SDU) with a mailable address
- locate (using the segment materials) and contact each SDU
- determine that the SDU is a true HU or true GQU
- identify an eligible screening respondent (SR), obtain cooperation, and complete screening informed consent procedures by reading the Informed Consent screen verbatim and providing the Study Description
- conduct the screening by reading the questions exactly as shown on the tablet
- if no one is selected for an interview, obtain verification information for Quality Control (QC) procedures and thank the screening respondent
- if one or two persons are selected, attempt to begin the interview right away; if not possible, obtain appointment information, trying to schedule the interview(s) in the near future
- obtain informed consent from a respondent (and gain permission from a parent/guardian before speaking to a youth respondent aged 12-17 about the study) by reading the Introduction and Informed Consent script verbatim and providing the Study Description
- ensure an adult will be present in the DU for the duration of the interview with a youth respondent aged 12-17
- conduct the interview(s) following all project protocols, including:
  - reading all FI administered questions exactly as shown on the screen

- using neutral probes as necessary
- reading the scripted standardized screens to familiarize the respondent with how to use the computer, then allowing the respondent to complete the practice session
- using Showcards as instructed
- obtaining verification information for QC procedures
- giving the respondent the cash incentive and correctly completing receipt, in the correct order
- giving adult respondents and parents/guardians of youth respondents a Q&A Brochure
- thanking the respondent
- mailing QC Forms for all interviews completed each day
- transmitting data to RTI at the end of each work day.

To be successful, it is important to allocate adequate time for your field visits. Stay in the field **for at least four hours** when you have a sufficient number of cases to work, especially early in the quarter. This means traveling to the area, then spending at least four hours screening and interviewing before traveling home. Be sure to discuss your assignment with your FS so you can determine the most efficient work plan together.

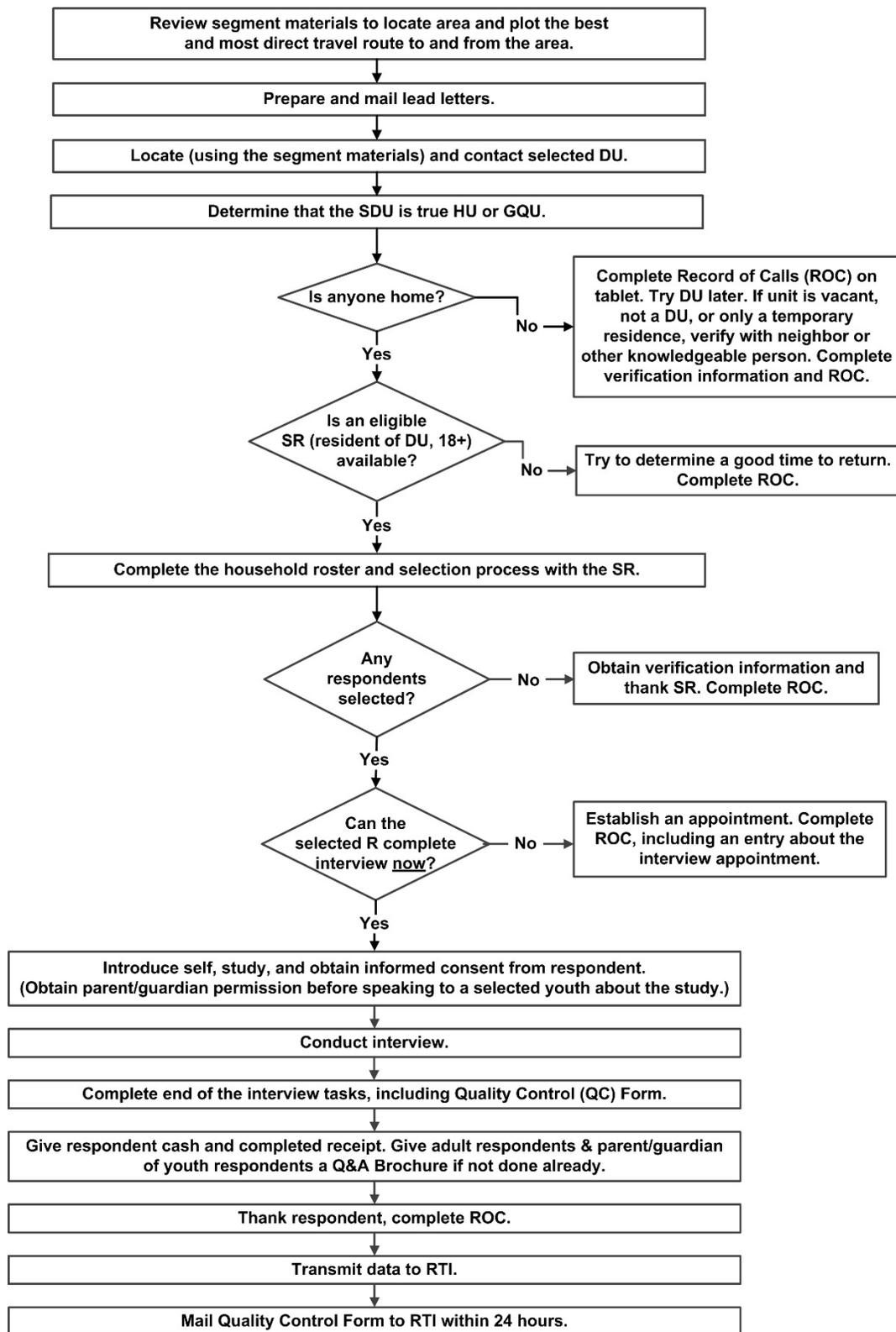
[Exhibit 2.1](#) illustrates the basic steps in the screening and interviewing process. Review this exhibit carefully before you continue reading the manual.

## 2.3 Field Interviewer Responsibilities

[Exhibit 2.2](#) provides the NSDUH FI job description. A summary of your responsibilities are:

- read this manual carefully and successfully complete any home study exercises prior to training
- successfully complete FI training programs
- maintain the confidentiality of all survey data and materials at all times
- prepare and mail lead letters to SDUs
- locate your assignment areas and plan the best travel routes to/from areas
- locate and contact the SDUs, obtaining participation of residents
- conduct screenings at SDUs with eligible screening respondents, reading all questions exactly as shown on the tablet screen
- conduct interviews with selected respondent(s) precisely following all project procedures; as needed, schedule and keep appointments for interviews with selected respondent(s)
- maintain daily records of your data collection activities
- transmit data to RTI at the end of each day of work
- carefully handle and track money used for cash incentives given to interview respondents
- review the status of cases during scheduled telephone or video conferences with your FS, providing detailed information about any problems with pending cases and cases put on hold
- participate in group telephone or videoconferences as requested by your FS
- complete and submit timesheets, expense reports, and other administrative information in a timely manner and according to prescribed schedules
- meet or exceed project efficiency targets
- meet or exceed project quality standards.

## Exhibit 2.1 Screening and Interviewing Process



## Exhibit 2.2 Job Description for a NSDUH Field Interviewer



### Job Description Data Collection Staff Field Interviewer 1

<b>Job Title: Data Collection Staff Field Interviewer 1</b>		
<b>Job Family: Social Sciences Research</b>	<b>Salary Grade: QQ</b>	<b>FLSA Status: Nonexempt</b>
<b>Job Function: Survey Data Collection</b>	<b>Job Code: 006515</b>	
<b>Reports to: Field Supervisor (FS) and Regional Supervisor (RS)</b>		

**Job Summary:** The Field Interviewer (FI) conducts field work for survey research projects conducted by RTI International. FIs prepare for and conduct data collection operations according to project protocols. FIs ensure that field data collection activities are carried out in an efficient and cost-effective manner, that the data collected are of the highest possible quality, and that all activities are conducted in a professional manner following established procedures.

**Essential Duties:** *Main purpose of job (List primary duties that occupy a majority of incumbent time in order of importance.)*

- Demonstrate the ability to work with supervisor and complete assignments on schedule.
- Use project maps to locate sample units.
- Obtain cooperation of survey respondents by accurately and effectively answering questions and addressing concerns while maintaining a professional, respectful demeanor.
- Conduct personal interviews following prescribed protocols.
- Accurately complete all project documents including electronic survey instruments, and all reporting forms.
- Adhere strictly to project deadlines for completing interviews, reporting progress, and returning project materials and equipment.
- Maintain accurate, up-to-date records of progress in the field.
- Submit accurate and timely reports.
- Maintain a professional, cooperative relationship with your supervisor and other project staff, objectively sharing your thoughts while displaying an understanding of project management's concerns.
- Maintain communication with your supervisor to ensure timely follow-up on requests.
- Be receptive-not defensive-when given feedback from project personnel about your performance, striving to learn and improve.
- Keep supervisor informed of problem areas that might affect progress.

**Minimum Required Education & Experience**

*Job Requirements are a combination of qualifications and related experience. Judgment of an acceptable equivalent combination, on an individual basis, is the responsibility of Management.*

**Minimum Required Education & Experience.**

High school graduate or GED

**Skills & Abilities**

*Below are skills and abilities required to perform the essential duties of this job. An addendum that clarifies additional skills and abilities for incumbents in this job may be used in addition to this description.*

**QUALIFICATIONS:**

- Must be at least 21 years old at time of employment.
- Possess effective communication skills through speech and listening, and fluency in English through reading, writing, and speaking.
- Available for entire training and data collection period.
- Able to successfully complete training.
- Must have a valid driver's license and reliable personal automobile available for business use.
- Must have valid identification for air travel (Real ID or U.S. Passport) required for business travel.
- Must be willing to work evenings and weekends on a weekly and regular basis.
- Able to keep project information confidential.

## Exhibit 2.2 Job Description for a NSDUH Field Interviewer (continued)

The Field Interviewer (FI) for NSDUH will be responsible for:

- In-person screening/interviewing of selected households with the sample distributed over the four calendar quarters of the data collection period.
- Proper administration of a computer-assisted interview, approximately one hour in length, to selected individuals throughout the four quarters of the data collection period.

### TRAINING REQUIREMENTS:

- For FIs who are new to NSDUH: Attend and successfully complete a 7-day FI training session, including a certification conducted at training, followed by participation in on-the-job training with a mentor or Field Supervisor (FS).
- For FIs who are NSDUH veterans: Successfully complete all components of the veteran FI training program, including attendance at an in-person training session in early January and successful completion of a certification conducted at training.
- For bilingual, Spanish-speaking FIs (both new and veteran): Successfully complete all components of the bilingual FI training program.

### REQUIREMENTS FOR SCREENING/INTERVIEWING ACTIVITY:

- Available to work approximately 20-25 hours per week to conduct screening/interviewing during field data collection periods.
- Available and willing to work primarily evenings and weekends (Saturday and Sunday).
- Available to spend at least 4 hours (not counting travel time) contacting selected households each visit to the field as determined by time in the quarterly field period.
- Available for a variable work schedule, as dictated by the quarterly schedule, front loading of sample each quarter, and depending on the size and location of assignments.
- Adhere to a schedule set by FS that ensures respondents are contacted at times they are most likely to be at home.
- Ability to read text verbatim from a computer screen (i.e., a laptop and handheld computer) and paper documents.
- Conduct valid, high quality in-person screenings/interviews in compliance with all project protocols covered at training and documented in the project manual.
- Available for field observations conducted by a member of client or RTI staff.
- Provide prompt, reliable, and accurate reporting to FS.
- Maintain regular access to a wireless internet connection in your home for data transmissions and required system updates to project equipment (installation and equipment costs, service fees, and related expenses to access an internet connection and computer are not reimbursable).
- Maintain regular access to a computer and internet connection for completion of training courses.
- Assume responsibility for and carefully track all money used for cash incentives.
- Available for possible overnight travel if remote segments are included in the assignment area.
- Assume full and legal responsibility for use and care of computers, taking reasonable and appropriate steps to safeguard them against damage, loss, or theft, and returning all project equipment at the conclusion of the NSDUH assignment or at a supervisor's request.

### Physical/Mental Demands

*Physical and mental demands of this role include those that must be met by an employee to successfully perform the essential functions of this job, as outlined above.*

- Travel frequently to respondent locations
- Be outside and exposed to all types of weather.
- Be able to drive and work outside after dark.
- Be exposed to pet dander in homes and to fumes and odors as might be expected in any indoor or outdoor environment.
- Stand, walk, and climb stairs.
- Communicate effectively through speech and listening in both indoor and outdoor environments.
- Transport project equipment and materials such as laptop computers and notebooks weighing 13 pounds or more.

*Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions of the job, per RTI procedure 4.2.1.*

### Disclaimer

*The above information on this description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities, and qualifications required of employees assigned to this job.*

### APPROVAL DATE: 08/28/2019

*This job description has been reviewed by Human Resources in conjunction with RTI Management. Subsequent revisions to this description must be reviewed by the Compensation Department.*

## 2.4 Professional Ethics and Respondents' Rights

All survey research conducted by RTI International is performed in accordance with the highest ethical standards. Our reputation depends upon ALL project staff making the commitment to ensuring these ethical standards are a top priority every day. RTI takes these standards very seriously and expects you to take them seriously as well.

As part of professional ethics, the rights of survey respondents **must** be protected by all project personnel. These rights include:

- The right of informed consent refers to the legal requirement that respondents be given complete and accurate information so they can make an informed decision about their participation in the survey.
  - To ensure all RTI studies meet the legal and ethical requirements of informed consent, all projects involving human subjects must be approved by our Office of Research Protection, which serves as RTI's Institutional Review Board (IRB) under federal regulations. This committee looks very closely at the written introduction to the study to be sure the respondents are being properly informed.
- The right to refuse refers to an individual's right to decline to participate in the study or to refuse to answer individual questions once an interview has begun.
- The right of privacy is guaranteed by the federal **Privacy Act of 1974**. This Act prohibits the release of data gathered by or for a federal agency without the written consent of the respondent. Fines and penalties apply to individuals or organizations that violate this law. You can explain this to a respondent when trying to gain his or her trust.
- The right to accurate representation requires honesty in dealing with respondents and answering their questions about the survey. For example, you cannot tell the respondent an interview will take only a few minutes if you know it will last about an hour, or say you work for a government agency such as SAMHSA, or the Department of Health and Human Services. RTI International is under contract with SAMHSA to conduct NSDUH but you are not considered part of any government agency.

All staff involved in the collection, processing, and analysis of the survey data must continually be aware of the important responsibility to safeguard the rights of the survey participants. Since FIs are in direct contact with these respondents, you must demonstrate high ethical standards in **all** project activity. Following all NSDUH protocols and procedures exactly ensures you display high ethical standards in your work.

While working, FIs are expected to comply at all times with all applicable federal, state and local laws, including adhering to all traffic laws, trespassing laws, etc. Any questions about a particular situation should be directed to your FS.

In order to provide high quality data to our client, you should only collect information from respondents in accordance with standardized NSDUH protocols and procedures. Falsification of any data will result in immediate termination from NSDUH and from future work on all RTI projects, as well as potential criminal and/or civil prosecution.

## 2.5 Importance of Confidentiality

The NSDUH interview data you collect are sensitive. You must ask all questions and record all responses in an objective and nonjudgmental manner. Treat as confidential any and all information you learn about respondents, whether directly from a response you receive or simply through casual observations before, during, or after your visit.

Project staff have taken special precautions to protect the confidentiality of respondents:

- The confidentiality of all responses to the questions is protected under federal law by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA), a government-wide law that provides strong confidentiality protections to many federal agencies conducting statistical surveys. Under CIPSEA, all answers are used for statistical purposes only and cannot be used for any other purpose.
- NSDUH is one of the few surveys where the last name of the respondent completing the interview is never recorded. While the respondents' addresses are known, this information is kept separate from the respondents' answers through the use of two different devices. The tablet contains the addresses of selected DUs, but the interview data are collected and stored in the laptop until transmission to RTI. Once at RTI, it would be possible to link the address information on the tablet and the more sensitive data collected in the laptop—but project staff NEVER link the data.
- Respondents should be reassured that any potentially identifying information, such as their name, address, or phone number are never made available to anyone outside of project staff. Never write down identifying information about a respondent anywhere other than the tablet's Record of Calls which is password protected. This includes not writing identifying information on any materials, or in emails or other messages to your FS. If you need to identify a specific case in communications with your FS, use the Case ID. Never mention respondent interactions on any social media platform (e.g., blog posts, Facebook, Twitter, Snapchat, Instagram), regardless of whether or not you exclude potentially identifying information.
- Never take pictures of respondents, their homes or their property—either inside or outside the home—while working in the field. There are no exceptions to this, even if a respondent says it's OK.
- In general, your cell phone should remain out of sight and set to silent when interacting with respondents. Never use any GPS or online map apps on your phone or another device to locate DUs (for details about this requirement see **Section 3.4**).
- Individual responses are only analyzed in combination with other responses collected nationwide.

All NSDUH staff, including those at SAMHSA, RTI managers and technical staff, and all field staff, must protect the confidentiality of all respondents. Under CIPSEA, knowingly and willfully disclosing confidential information is a Class E Felony, for which the penalties may include imprisonment for up to five years and fines up to \$250,000. Several NSDUH respondent materials outline the consequences of divulging respondent information to make it clear that respondent confidentiality will be protected.

## 2.6 Adherence to Procedures

At training (and again at the beginning of each survey year), you will be asked to sign a Data Collection Agreement (shown in [Exhibit 2.3](#)). By signing, you are entering into a contractual agreement that you will keep all data you collect confidential. It also certifies you will carry out all project procedures precisely as they are presented in this manual and at training. It is **very** important you understand and agree to this policy. Failure to comply could result in the termination of your employment as an FI on NSDUH. If you have any questions regarding this policy, discuss them with your FS prior to making arrangements to attend training.

**Exhibit 2.3 Data Collection Agreement**

<p><i><b>DATA COLLECTION AGREEMENT</b></i></p>	<p>Project Name: <u>    <b>National Survey on Drug Use and Health</b>    </u></p> <p>Project No.: <u>    <b>XXXXXXX</b>    </u></p>
<p>I, _____, an employee of RTI International, agree to provide field data collection services for the benefit of RTI in connection with the RTI Project shown above (“the Project”). Further, I</p> <ol style="list-style-type: none"> <li>1) am aware that the research being conducted by RTI is being performed under contractual arrangement with the <b>Substance Abuse and Mental Health Services Administration (SAMHSA)</b>;</li> <li>2) hereby accept all duties and responsibilities of performing specified data collection tasks and will do so <b>personally</b>, in accordance with the training and guidelines provided to me. At no time will I engage the services of another person to perform any data collection tasks for me without the prior written approval of my employer (RTI);</li> <li>3) agree to treat as <b>confidential</b> all information secured during interviews or obtained in any Project-related way during the period I am working on the Project, as required by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA), and understand, under Section 513 of this Act, I am subject to criminal felony penalties of imprisonment for not more than five years, or fines of not more than \$250,000, or both, for voluntary disclosure of confidential information. Any breach of confidentiality must be reported immediately to the National Field Director. This information will be shared with the SAMHSA Project Officer and RTI. I have also completed and fully understand the CIPSEA training provided to me;</li> <li>4) agree to treat as <b>confidential and proprietary</b> to RTI/SAMHSA any and all information provided by the public, whether collected or accessed in electronic or printed form during the course of my service on this Project, including but not limited to all data collection computer software and respondent data, and will protect such items from unauthorized use or disclosure;</li> <li>5) am aware that the survey instruments completed form the basis from which all analyses will be drawn, and therefore, agree that all work for which I submit invoices will be legitimate, of high quality and performed in compliance with all Project specifications to ensure the scientific integrity of the data;</li> <li>6) understand that I am fully and legally responsible for taking all reasonable and appropriate steps to ensure that any computer equipment issued to me for use on this Project is safeguarded against damage, loss, or theft. I also understand that I have a legal obligation to immediately return all equipment at the conclusion of my assignment or at the request of my supervisor;</li> <li>7) fully agree to conduct myself at all times in a manner that will obtain the respect and confidence of all individuals that I encounter as a representative of the Project and I will not betray this confidence by divulging information obtained to anyone other than authorized Project representatives of RTI;</li> <li>8) understand that evidence of <b>falsification, fabrication or distortion of any data</b> collected for this Project will be reported to RTI’s Scientific Integrity Committee, and such acts are grounds for immediately removing me from the Project and can result in my suspension from any government-funded research. Also, if falsification of data is substantiated, I understand a <b>formal fraud complaint</b> will be submitted to the U.S. Department of Health and Human Services’ <b>Office of Inspector General (OIG)</b> and I could be subject to <b>criminal and/or civil prosecution</b> and thereby face imprisonment, financial penalties or both;</li> <li>9) understand my obligations under this agreement supersede any prior or existing agreements on the same subject matter and will survive the termination of any assignment and/or my employment with RTI.</li> </ol>	
<p>_____ Employee Signature</p>	<p>_____ Date</p>

## 2.7 Performance Expectations

You are expected to collect accurate data efficiently and according to protocol. Management staff use the criteria presented in [Exhibit 2.4](#) to rate the performance of field interviewers.

Data collection procedures are standardized to maximize the quality of the data. You must follow the procedures described in this manual and act in a professional manner when representing NSDUH and RTI. You must also be very comfortable explaining the purpose of the study and how the information gathered will be used.

It is equally important to collect data efficiently to ensure the study is completed within budget and schedule constraints. The time and mileage spent while traveling to and from sample dwelling units is one of the major costs in any field survey. Keep travel to a minimum by carefully planning your route.

You are also expected to efficiently complete activities while at the selected dwelling unit. Be prepared, have the necessary equipment and materials, and be organized.

Use your FS as a resource to discuss unusual situations, review standardized procedures, or to answer questions about any aspect of the study. Carefully review this manual periodically to ensure your understanding of project procedures. This helps ensure the study is being conducted in the same way by all FIs.

## 2.8 Materials, Supplies, and Equipment

There are a variety of materials, supplies, and equipment used to conduct NSDUH. Adequate quantities of materials and supplies are sent to you prior to the start of data collection. You must use the correct and official NSDUH materials for each interview. Be sure to monitor your level of supplies on a weekly basis, making sure you do not have too little or too many of any specific item. Complete this weekly inventory before your scheduled telephone or video conference with your FS so you can inform him or her of any needed supplies at that time. Storing all materials in one location helps to manage this inventory.

As you complete your assignment, use your materials wisely and only request enough materials for the work you expect to have. Effective and efficient use of these materials is important. Pay close attention to how you store the materials to ensure they are not damaged. Some materials, such as the Showcard Booklet, are expected to last the full year. Treated properly, this should not be a problem.

Descriptions of the purpose and use of each item can be found throughout the manual. *Chapter 12* contains an inclusive list of project materials, supplies, and equipment.

## Exhibit 2.4 FI Performance Criteria

Performance is evaluated based on 12 criteria, which capture the key aspects of their role and responsibilities. Criteria and definitions are as follows:

1. **Productivity:** Completes expected quantities of work. Plans and organizes workload effectively.
2. **Response Rates:** Maintains satisfactory response rates as defined by project expectations with consideration given to site-specific circumstances beyond the control of the field interviewer.
3. **Conversion Skills:** Demonstrates satisfactory skills in converting hesitant and uncooperative respondents.
4. **Quality of Work:** Completes data collection tasks and administrative work accurately, with a minimum number of errors, attending to all details of each task. Follows administrative as well as project protocols and procedures.
5. **Cost Efficiency:** Completes assignments efficiently to keep mileage, wages, and expenses to a minimum as defined by project expectations, with consideration given to site-specific circumstances beyond the control of the field interviewer.
6. **Adherence to Deadlines:** Consistently meets deadlines set for production, data transmission, material and equipment return, submission of time and expense reports and other administrative information.
7. **Communication:** Keeps supervisor adequately informed of progress and problems. Returns calls and emails promptly. Attends and is prepared for supervisor conference calls.
8. **Computer Skills and Care:** Displays computer literacy. Able to use computer equipment, systems, and applications with routine training and support. Shows appropriate care for and maintenance of project equipment.
9. **Dependability:** Readiness to perform on own responsibility without having to be told; self-motivating, reliable. Performs required jobs well with a minimum of supervision.
10. **Cooperation:** Collaborates and cooperates willingly and freely with supervisor and peers. Team player. Responsive to performance feedback.
11. **Judgment:** Makes sound decisions in terms of weighing facts, past practice and theory where applicable, especially in the absence of detailed instructions or in emergency situations.
12. **Professionalism:** Strives to conduct all activities with excellence as a fundamental goal. Treats sample members, study participants, supervisor and peers with dignity and respect. Presents oneself in a manner that reflects positively upon RTI and clients.

# CHAPTER 2 MAIN IDEAS

## Your Job as a Field Interviewer

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 2-1: Successful FIs combine knowledge and adherence to all NSDUH protocols and procedures with their natural talents and social skills.
- Page 2-1: Screening and interviewing on NSDUH is a multi-step process which demands you follow all procedures and protocols.
- Page 2-1: You must always obtain informed consent from a respondent (and gain permission from a parent/guardian before speaking to a youth respondent aged 12-17 about the study, then obtain informed consent from the parent and youth to participate in the study) by reading the Introduction and Informed Consent script verbatim and providing the Study Description.
- Page 2-1 & 2-2: You must conduct the interview(s) following all protocols, including:
  - reading all FI administered questions exactly as shown on the screen
  - using neutral probes as necessary
  - reading the scripted standardized screens to familiarize the respondent with how to use the computer, then allowing the respondent to complete the practice session
  - using Showcards as instructed
  - obtaining verification information for QC procedures
  - giving the respondent the cash incentive and correctly completed receipt, in the correct order
  - giving adult respondents and parents/guardians of youth respondents a Q&A Brochure
  - mailing QC Forms for all interviews completed each day
  - transmitting data to RTI at the end of each work day.
- Pages 2-3 & 2-4: Your responsibilities as a professional FI on this study are substantial. They cover such diverse tasks as locating your assignment area, contacting the correct sample dwelling units, obtaining resident participation, and transmitting data to RTI. The first component of your responsibilities is to read this manual carefully and successfully complete your home study exercises prior to training.
- Page 2-7: The planning and implementation of NSDUH is based on the highest ethical standards. It is your job to protect the rights and confidentiality of our respondents.
- Page 2-11: Properly caring for your equipment and materials is an important FI task and is part of being cost-effective. Handling your materials with care helps you to avoid unnecessary waste and increasing costs.



## 3. LOCATING SAMPLE DWELLING UNITS

### 3.1 Introduction

RTI International statisticians are responsible for selecting the sample dwelling units (SDUs) to be contacted for NSDUH. Approximately 230,000 SDUs are selected throughout the entire United States each year.

#### 3.1.1 Definitions

All types of places a person could reside are called *dwelling units* (DUs). Examples of dwelling units include the most common type, housing units (apartments, houses, trailers, condos), as well as individual units within group quarters structures (college dormitories, homeless shelters, convents). Other types of dwelling units, which are **not** included in the NSDUH sample, are military housing (barracks, ships), various residential institutions (nursing homes, prisons), and some transient living quarters (hospitals, overnight hotels).

NSDUH defines dwelling units as housing units *and* group quarters units. When we refer to a DU, the procedure discussed applies to **both** housing units and group quarters units. Any procedures applying only to one type of unit will be clearly specified. Brief definitions of the three terms follow:

- **dwelling units** (DUs) - a generic term referring to both housing units and group quarters units
- **housing units** (HUs) - a group of rooms or a single room occupied or intended for occupancy as separate living quarters
- **group quarters units** (GQUs) - generally, any single living unit within a group quarters structure in which ten or more unrelated persons reside.

More detailed definitions of HUs and GQUs are provided in *Sections 3.2.1* and *3.2.2*.

#### 3.1.2 Overview of the Sampling Process

An area probability sample design has been used to select the sample dwelling units included in the NSDUH. Land areas were scientifically selected using Census Bureau estimates of population and housing unit counts to ensure the sample represents the entire United States' population.

For NSDUH, all 50 states and the District of Columbia have been divided into State Sampling Regions, or SSRs. The number of SSRs varies depending on the population of the state as shown in the table on the next page.

Each SSR within a particular state is expected to yield the same number of interviews. This means the more populated the area, the smaller the region.

In each SSR, eight segments (with boundaries usually defined by surface features such as streets, railroad tracks, and rivers) were selected, two segments for each of the four quarterly data collection periods.

State	SSRs per State	Total Segments	Approx. Int. per Segment
California	36	288	16
Texas, New York, and Florida	30	240	14
Illinois, Pennsylvania, Ohio, and Michigan	24	192	13
Georgia, North Carolina, New Jersey, and Virginia	15	120	13
Remaining 38 States and the District of Columbia	12	96	10
<b>Total United States</b>			
	<b>750 SSRs</b>	<b>6,000 Segments</b>	<b>67,500 Interviews</b>

Once the segments were defined, listers were assigned to Count and List the dwelling units in each of the 6,000 segments. The listers recorded all units in each segment on the List of Dwelling Units and, if applicable, the Group Quarters Listing Form. These forms include an address or description for each housing unit and group quarters unit located within the boundaries of the segment. From these listings, specific HUs and GQUs from each segment are selected to be part of the NSDUH sample. These selected HUs and GQUs are called sample dwelling units (SDUs) and make up your assignments.

As an FI, you are responsible for the final steps of the sampling process:

1. inspecting your segment materials
2. locating the segment and the designated SDUs using your segment materials
3. determining whether each SDU is a true HU or GQU
4. checking for and reconciling any missed HUs and GQUs, using your segment materials.

These steps are explained in detail in this chapter.

## 3.2 SDU Types

Only structures qualifying as eligible HUs or GQUs should have been listed. However, since the individual completing the listing was not required to enter structures or talk to residents, it is possible some listed structures may not qualify as an HU or a GQU or may be ineligible for the study.

### 3.2.1 Housing Units

It is your responsibility to make sure the assigned address is (1) a housing unit (as defined below), and (2) only one housing unit. If either of these conditions is not met, appropriate action must be taken.

For purposes of this study, a housing unit is a group of rooms or a single room occupied or intended for occupancy as separate living quarters. A more detailed definition is given in [Exhibit 3.1](#). Please refer to this definition before continuing to read.

### Exhibit 3.1 Definition of a Housing Unit

A housing unit is a group of rooms or a single room occupied or intended for occupancy as separate living quarters; that is:

- (1) The occupants do not live and eat with any other family group or persons residing in the structure

AND

- (2) There is either direct access from the outside or through a common hall.

Direct access means there is an entrance **directly** from the outside of the structure to the living quarters, **or** an entrance to the living quarters from a hall, lobby, or vestibule used by the occupants of more than one unit. Living quarters do not have direct access if the only entrance is through a hall or room of another unit.

Occupancy: A housing unit may be occupied by a family group or an individual living alone. It may also be occupied by nine or fewer unrelated persons. (NOTE: If ten or more unrelated persons occupy the unit, it is considered “group quarters” and is not to be treated as a selected housing unit.)

The following list of types of HUs, although not exhaustive, includes most types you may encounter:

1. A **single house** or **townhouse** intended for occupancy by only one family.
2. A **flat, apartment, or condo** in a structure including other flats, apartments, or condos.
3. A **basement** or **attic apartment** in a structure including one or more other DUs.
4. **Vacant houses** or **apartments** that could be occupied.
5. **Hotel** or **motel rooms** (a) occupied by permanent guests, or (b) occupied by employees who have no permanent residence elsewhere.
6. **Residential units under construction**. (Note: The Selected DU List may include such a unit.)
7. **Rooms within group quarters or an institutional structure** (such as a fraternity house or nursing home) serving as the permanent residence of a staff member or “house mother” and satisfying the requirements of the HU definition.
8. An **apartment in a nonresidential structure** used as a permanent housing unit (e.g., an apartment in a warehouse the caretaker uses for personal living quarters).
9. A **mobile home** or **trailer** used as the permanent residence of the occupants.
10. A **mobile home** or **trailer location** in a trailer lot or mobile home park in which numbered or otherwise specified spaces are rented. In such a mobile home park, each separate space allocated for one mobile home is listed as an HU, even if no mobile home currently occupies the space; that is, an empty space in a regular mobile home park is treated like a vacant apartment or house.
11. **Work camps occupied by seasonal workers** are considered permanent DUs if workers live there for half or more of the calendar quarter. Check the number of residents to see if the unit should be an HU or a GQU.
12. **Seasonal dwellings**, such as summer homes, resort cottages, or other part-time homes that could serve as residences.
13. **Rooming or boarding houses**. Determine the number of residents in the structure. If there are nine or fewer residents who are unrelated to each other, treat the structure as a housing unit. If there are ten or more unrelated persons, the structure is a group quarters. Group quarters are discussed later.

If you are ever in doubt as to how to classify a unit, contact your FS for clarification. Be sure to have your segment materials in front of you when you discuss the situation with your FS.

### 3.2.2 Group Quarters Units

The definition of group quarters is **any single structure in which ten or more unrelated persons reside; also these persons must live and eat together, not separately**. This definition could apply to any type of structure including houses, apartments, barracks, and dormitories. The actual group quarters units would be the rooms, beds, or individuals used to define the composition of the structure.

For this study, there are several instances where a structure is classified as group quarters regardless of the number or relationship of occupants:

- college dormitories, sorority, and fraternity houses
- quarters for live-in staff members of institutions (who do not live in actual housing units within the structure)
- missions and shelters.

The following list of structures, although not exhaustive, includes many examples of group quarters you may encounter:

1. A **boarding house** is a structure in which living space is rented to residents (boarders) who are served regular meals on the premises. Meals are furnished as part of the rental fee, which is usually paid on a weekly or monthly basis. Variations of boarding houses include:
  - A **rooming house** is a structure in which living space is rented to residents (roomers) who may receive maid or linen service in addition to a room. Meals are not provided regularly.
  - A **combination boarding and rooming house** is an establishment which serves meals to some resident persons (boarders) but only rents to others (roomers). The same listing rules apply to this unit as to boarding houses and rooming houses.
2. **Communes, “Families,” “Communities,” etc.** are groups of unrelated individuals who live together and pool their resources but who have no regular arrangements for contributing to expenses. Such groups may call themselves a family, a commune, an establishment, a community, a farm, a colony, etc.
3. **Convents, Monasteries, and Other Religious Residences** are considered group quarters if there are ten or more unrelated persons residing in them.
4. **Facilities for Housing Students** like fraternity houses, sorority houses, or student dormitories may be in the sample. *Eligible individuals in such student housing facilities are always considered residents of group quarters, regardless of the number or relationship of the occupants.* Please note that campus housing for married students and their families are considered housing units, not GQUs, since the occupants are related to each other. Similarly, some apartment complexes advertise as “student housing,” but also rent to non-students and are not school affiliated. These qualify as housing units, not GQUs.

The above examples apply to college age students. Should you encounter a boarding school with students under the age of 18 in your assignment, you must contact your FS for the appropriate procedures.

5. **Missions or Shelters** and other structures of this type may contain living quarters for individuals who, although somewhat transient, have no other “permanent” place of residence. *Missions or shelters are considered group quarters regardless of the number or relationship of the occupants.*
6. **Halfway Houses** are places occupied by persons such as former prisoners, mental patients, or alcohol or drug addicts. The occupants may be there on either a voluntary or involuntary basis.
7. **Institutional Staff Quarters** should be considered as part of the group quarters, regardless of the number or relationship of the occupants. *Residential quarters for caretakers, administrators, or other personnel that are permanent dwellings according to the housing unit definition, should be considered HUs.*
8. **Migratory Workers’ Camp or Logging Camp** consists of living quarters, or sites for living quarters, for ten or more seasonal or temporary workers engaged in agricultural activities (including related food processing activities) or in a logging operation. Such living quarters may be temporary in nature and may consist of structures, mobile homes (or sites), tents (or tent sites), vehicles, or a combination of types of living quarters.
9. **Nonmilitary Barracks and Bunkhouses** are structures providing living space for a number of people, either in large general areas or in small sleeping areas or rooms.
10. **Retirement Residences and Independent Group Residences for the Elderly, Handicapped, and Functionally Disabled** are also included in the sample. These are non-institutional residences, such as foster homes and board and care homes, which provide a home environment for the elderly, handicapped, and functionally disabled as an alternative to institutional care. The occupants must own or rent their living quarters. Meals may or may not be provided. Some supportive services are offered, such as supervision of self-administered medication and diet, assistance with housekeeping, and arrangement of transportation and recreational activities. If there are ten or more unrelated persons residing in these units, they should be considered a group quarters. If the residents live and eat separately (e.g., independent or assisted-living residences with a kitchen in each unit), these units should be considered housing units. Services do not include nursing care, medical care, or psychiatric care by staff members; if these services are included, it must be considered an institution, thus making it ineligible.

As illustrated by some of these examples, it is not always clear how to classify a unit. If you are ever in doubt about a unit, contact your FS for clarification. Be sure to have your segment materials in front of you when you call your FS.

### 3.2.3 Units That Do Not Qualify as Dwelling Units

Certain types of buildings should not have been listed. Those identified below, with the exception of permanent HUs or GQUs existing within them, do not qualify as DUs for the NSDUH. If you encounter such units included as SDUs in your assignment, code them appropriately on the tablet during screening. *Chapter 9* defines the screening result codes.

- Specified Institutional Units:
  - correctional institutions
  - mental institutions
  - homes for mentally and physically handicapped children
  - nursing, convalescent, and rest homes
  - hospitals
  - other institutions that provide care for residents or inmates.
- **Military Barracks** on a military base.
- **Unoccupied Structures** that have been condemned or are being demolished.
- **Places of Business**, such as stores, factories, etc. (Be sure, however, to look for hard-to-find living quarters behind, above, or inside such places.)
- **Certain Transient Living Units**, such as transient hotels and motels for overnight lodging (such as Holiday Inns, Red Roof Inns, etc.)

[Exhibit 3.2](#) provides a chart identifying categories of dwelling units and their respective eligibility for NSDUH.

## Exhibit 3.2 Dwelling Unit Eligibility for NSDUH

<u>DWELLING UNITS TYPES</u>	<u>Is This Unit Eligible for NSDUH?</u>
<u>Housing Units (HUs)</u>	
<ul style="list-style-type: none"> <li>• Civilian (e.g., house, apartment, condo, townhouse, etc.)</li> </ul>	YES
<ul style="list-style-type: none"> <li>• Military (e.g., family housing, civilian employee housing, etc.)</li> </ul>	YES
<u>Group Quarters Units (GQUs)</u>	
<ul style="list-style-type: none"> <li>• Non-Institutional      Civilian (e.g., rooming/boarding houses, dorms, fraternity or sorority houses, transient shelters, halfway houses, migratory workers' camps, etc.)</li> </ul>	YES
<ul style="list-style-type: none"> <li>• Non-Institutional      Military (e.g., barracks, ships, etc.)</li> </ul>	NO
<ul style="list-style-type: none"> <li>• Institutional            Civilian (e.g., correctional institutions, nursing homes, mental institutions, etc.)</li> </ul>	NO
<ul style="list-style-type: none"> <li>• Institutional            Military (e.g., VA Hospitals, military prisons, etc.)</li> </ul>	NO
<u>Certain Transient Living Units</u>	
<ul style="list-style-type: none"> <li>• Civilian (e.g., General hospitals, transient [overnight] hotels and motels, etc.)</li> </ul>	NO
<ul style="list-style-type: none"> <li>• Military (e.g., Military barracks, transient visitor housing, etc.)</li> </ul>	NO

### 3.3 Inspecting the Segment Materials

For each segment in your assignment, you will receive a packet of materials. This packet contains the materials listed in [Exhibit 3.3](#).

Each quarter, each SSR will have two segments. The segment is identified on all segment materials by the Segment ID number. The quarter in which the segment is to be worked is indicated on the computer generated Selected DU List. Since NSDUH is implemented on a quarterly basis, each SDU must be contacted in the quarter for which it was selected.

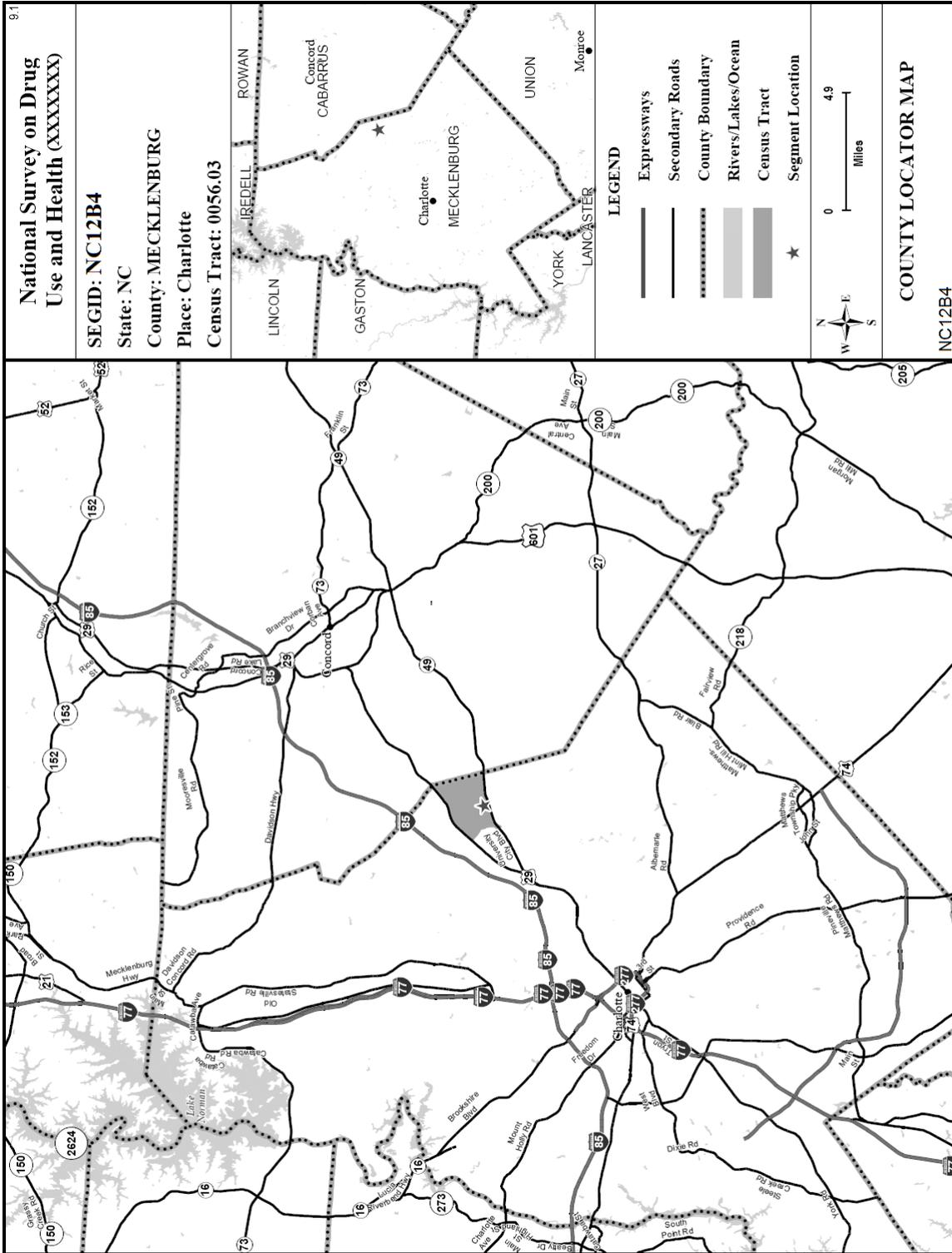
Before beginning any field work, review all items in the segment materials to familiarize yourself with the location of the segment and the characteristics of the area. During field work, continually check the maps and materials to be sure you have located the correct selected dwelling units. When field work is completed, check with your FS for detailed directions on what to do with the segment materials. Your FS may request you send the materials to him/her, or may instruct you to properly destroy any remaining segment materials. Any items containing SDU addresses must be shredded (then either recycled or trashed), burned or otherwise destroyed to prevent the possible transfer of this confidential information. Other segment materials not containing addresses or other confidential information may be recycled.

### Exhibit 3.3 Contents of Segment Materials Packet

<b><u>MAP SET</u></b>	
<ul style="list-style-type: none"> <li>County Locator Map (<a href="#">Exhibit 3.4</a>)</li> </ul>	...is used to determine the general location of the segment within the county; the census tract(s) containing the segment will be shaded. (A census tract is a land area with a population of about 4,000 that has identifiable boundaries on all sides.)
<ul style="list-style-type: none"> <li>Census Tract Locator Map (<a href="#">Exhibit 3.5</a>)</li> </ul>	...shows the location of the tract(s) within the county, as well as the segment's location; the segment is shaded. Specific roads (boundaries of the tract(s)) are labeled to assist in locating the general "neighborhood."
<ul style="list-style-type: none"> <li>Segment Locator Map (<a href="#">Exhibit 3.6</a>)</li> </ul>	...shows the segment boundaries within the tract(s); the segment is shaded. (The meaning of the symbols used for designating the different types of segment boundaries will be found in the legend of the Segment Locator Map only.)
<ul style="list-style-type: none"> <li>Page Index Map (<a href="#">Exhibit 3.7</a>)</li> </ul>	...shows, for segments with multiple Block Listing Map pages, how the various map pages fit together.
<ul style="list-style-type: none"> <li>Block Listing Map(s) (<a href="#">Exhibit 3.8</a>)</li> </ul>	... shows the location of all dwelling units listed in the segment. Used to locate the dwelling units that have been selected for screening and possibly interviewing.
<ul style="list-style-type: none"> <li>Zoom Map (<a href="#">Exhibit 3.9</a>)</li> </ul>	... shows an enlarged area of part of the segment. If certain streets are too close together on the Block Listing Map to allow the lister to accurately record the location of each SDU, a Zoom map enlarges the area so the precise location can be noted. There may be one or more pages of Zoom maps, labeled Zoom 1 of 3, Zoom 2 of 3, etc. The lister may have hand-drawn an enlargement sketch of a specific area as well.
<b><u>COMPUTER GENERATED FORM LISTING ALL SDUs FOR THE SEGMENT</u></b>	
<ul style="list-style-type: none"> <li>Selected DU List (<a href="#">Exhibit 3.10</a>)</li> </ul>	...lists all selected HUs and GQUs
<b><u>COPIES OF ORIGINAL COUNTING AND LISTING MATERIALS</u></b>	
<ul style="list-style-type: none"> <li>List of Dwelling Units (<a href="#">Exhibit 3.11</a>)</li> </ul>	...photocopy of original handwritten list of DU addresses and/or descriptions.
<ul style="list-style-type: none"> <li>Segment Information Sheet (<a href="#">Exhibit 3.12</a>)</li> </ul>	...contains helpful comments about the segment made at the time of listing.
<ul style="list-style-type: none"> <li>Screening and Interviewing Pre-Check Form (<a href="#">Exhibit 3.13</a>)</li> </ul>	...information, included if necessary, about possible segment issues discovered during the editing process.
<ul style="list-style-type: none"> <li>Group Quarters Listing Form (<a href="#">Exhibit 3.14</a>)</li> </ul>	...photocopy of original list of up to 30 group quarters units.
<ul style="list-style-type: none"> <li>Group Quarters Continuation Listing Form (<a href="#">Exhibit 3.15</a>)</li> </ul>	...continuation of original list of group quarters units for a structure with more than 30 GQUs (if necessary).
<ul style="list-style-type: none"> <li>Within-Structure Floor Sketch Sheet (<a href="#">Exhibit 3.16</a>)</li> </ul>	...sketch, included if necessary, showing layout that corresponds to the way the GQUs were listed.

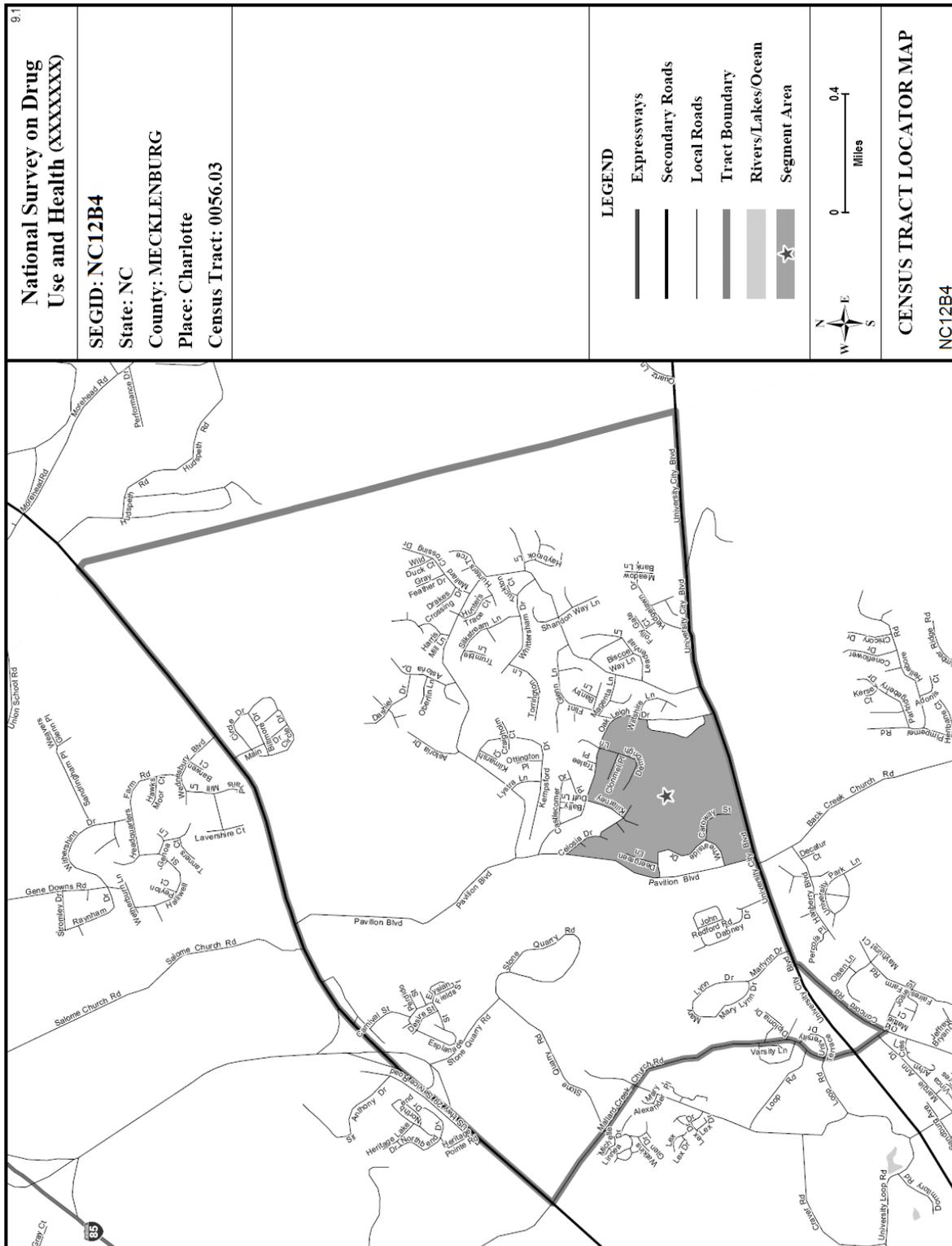
### Exhibit 3.4 County Locator Map

Shows the general location of the segment within the county; the census tract(s) containing the segment is shaded.



### Exhibit 3.5 Census Tract Locator Map

Shows the location of the census tract(s) within the county, as well as the segment's location. The segment is the shaded area.

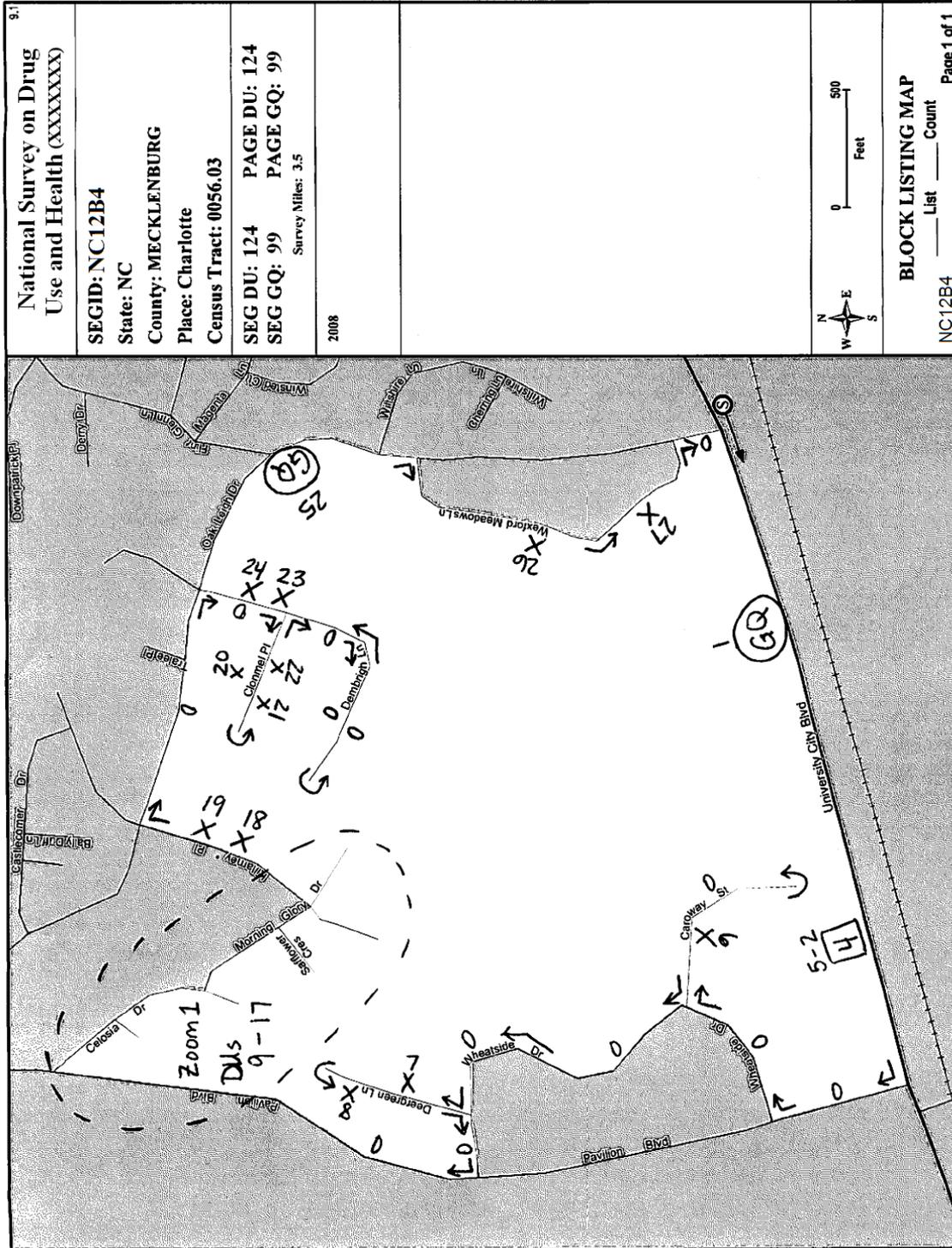






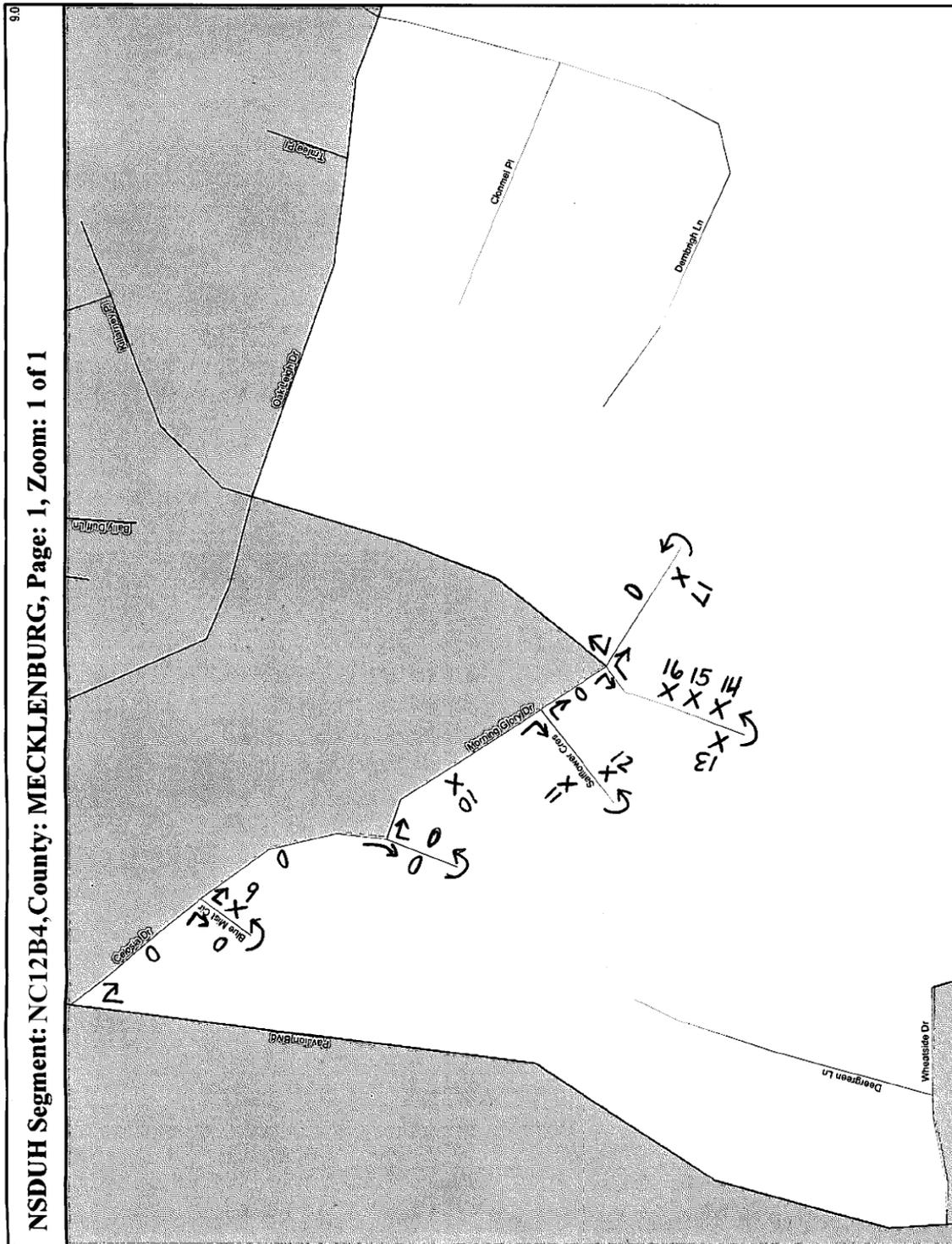
### Exhibit 3.8 Block Listing Map

This critically important map shows the relative locations of the dwelling units in the segment, including those selected for screening and possibly interviewing. A dwelling unit's line number is written above each X (or circle or square). Since a Zoom map was used to list DUs 9-17, there is a dashed line on the map representing the area included on the Zoom map.



### Exhibit 3.9 Zoom Map

Shows an enlarged area of part of the segment, providing space to allow the lister to record the location of each DU.



### Exhibit 3.10 Selected DU List

Lists all selected HUs and GQUs.

#### 20XX National Survey on Drug Use and Health Selected Dwelling Unit List *Quarter 1*

Segment ID NC12B4

Date 06/17/20XX

Number of Selected HUs: 7

Page 1

Number of Selected GQUs: 2

City: CHARLOTTE

State: NC Zip: 28262

DU Type	DU Indicator and Line #	Street#	Street Name/ Description of DU	Apt#	GQ Structure#	Partition#
HU	0002	900	UNIVERSITY CIRCLE BLVD	A		1
HU	0008		DEERGREEN LN WH CPCD GAR			2
HU	0012	1031	SAFFLOWER CRES			1
HU	0014	506	KILLARNEY PL			1
HU	0017	1426	MORNING GLORY DR			1
HU	0020		CLONMEL PL 2 STY BRK			1
HU	0026	917	WEXFORD MEADOWS LN			2
SHELTER	B003	2104	OAK LEIGH DR	3	025	1
SHELTER	B019	2104	OAK LEIGH DR	19	025	3

Total Pages: 1

**Exhibit 3.11 List of Dwelling Units**

This photocopy of the original handwritten list of DU addresses and/or descriptions shows all units listed for the segment and complete descriptions for instances where the entire description would not fit on the Selected DU List.

Special Codes: MB=Military Base Civilian Housing  
GQ=Group Quarters

NSDUH

**LIST OF DWELLING UNITS**

PAGE 1 of 2

SEGMENT ID: NC 12B4

LISTED BY: Connie Lister

DATE LISTED: 5 / 02 / 20XX

FI ID NO: 653749

1	1A	2	3	4	5	6	7
Line #	Spec Code	3+Units (Y/N)	Street No.	Street Name	Apt. No.	Dwelling Unit Description	Apt. Loc.
1	GQ	<input type="radio"/> or N	800	University Circle Blvd.		State University-Dorm	
2		<input type="radio"/> or N	900	↓	A		
3		<input type="radio"/> or N	↓	↓	B		
4		<input type="radio"/> or N	↓	↓	C		
5		<input type="radio"/> or N	↓	↓	D		
6		Y or <input type="radio"/>	17	Caroway St.			
7		Y or <input type="radio"/>	303	Deergreen Ln.			
8		Y or <input type="radio"/>	-	↓		NH CPCD GAR	
9		Y or <input type="radio"/>	-	Blue Mist Cr.		GR ALUM TRLR	
10		Y or <input type="radio"/>	1200	Morning Glory Dr.			
11		Y or <input type="radio"/>	1028	Safflower Cres.			
12		Y or <input type="radio"/>	1031	↓			
13		Y or <input type="radio"/>	507	Killarney Pl.			
14		Y or <input type="radio"/>	506	↓			
15		Y or <input type="radio"/>	504	↓			
16		Y or <input type="radio"/>	502	↓			
17		Y or <input type="radio"/>	1426	Morning Glory Dr.			
18		Y or <input type="radio"/>	492	Killarney Pl.			
19		Y or <input type="radio"/>	490	↓			
20		Y or <input type="radio"/>	-	Clonmel Pl.		2STY BRK	

City/Town Charlotte ST NC ZIP 28262 DU 1 - 20

City/Town \_\_\_\_\_ ST \_\_\_\_\_ ZIP \_\_\_\_\_ DU \_\_\_\_ - \_\_\_\_

City/Town \_\_\_\_\_ ST \_\_\_\_\_ ZIP \_\_\_\_\_ DU \_\_\_\_ - \_\_\_\_

Checked by: \_\_\_\_\_

**Exhibit 3.11 List of Dwelling Units (continued)**

Special Codes: MB=Military Base Civilian Housing  
GQ=Group Quarters

NSDUH

**LIST OF DWELLING UNITS**

PAGE 2 of 2

SEGMENT ID: NC 12B4

LISTED BY: Connie Lister

DATE LISTED: 5/02/20XX

FI ID NO: 653749

1	1A	2	3	4	5	6	7
Line #	Spec Code	3+Units (Y/N)	Street No.	Street Name	Apt. No.	Dwelling Unit Description	Apt. Loc.
21		Y or <input checked="" type="radio"/> N	68	Clonmel Pl.	A		
22		Y or <input checked="" type="radio"/> N	↓	↓	B		
23		Y or <input checked="" type="radio"/> N	712	Dembrigh Ln.			
24		Y or <input checked="" type="radio"/> N	710	↓			
25	GQ	<input checked="" type="radio"/> Y or N	2104	Oak Leigh Dr.		Salvation Army	
26		Y or <input checked="" type="radio"/> N	917	Wexford Meadows Ln.			
27		Y or <input checked="" type="radio"/> N	925	↓			
8		Y or N					
9		Y or N					
0		Y or N					
1		Y or N					
2		Y or N					
3		Y or N					
4		Y or N					
5		Y or N					
6		Y or N					
7		Y or N					
8		Y or N					
9		Y or N					
0		Y or N					

City/Town Charlotte ST NC ZIP 28262 DU 21 - 27

City/Town \_\_\_\_\_ ST \_\_\_\_\_ ZIP \_\_\_\_\_ DU \_\_\_\_ - \_\_\_\_

City/Town \_\_\_\_\_ ST \_\_\_\_\_ ZIP \_\_\_\_\_ DU \_\_\_\_ - \_\_\_\_

Checked by: \_\_\_\_\_

### Exhibit 3.12 Segment Information Sheet

Contains helpful comments about the segment made at the time of listing.

**SEGMENT INFORMATION SHEET** NSDUH

Segment ID NC 12B4 Completed By Connie Lister  
Date 5/02/20XX FI ID 653749

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**Instructions**

In Section A, describe characteristics of the segment that could be helpful to others who may visit or work in the area. In Section B, indicate potentially impassible roads, segment boundary problems, more notes on controlled access building information, group quarters information, and other pertinent information.

**Completion of this form is mandatory.**

**SECTION A**

- 1) Directions to DU #1 in segment:  
I-485 to Exit 33 for NC-49. Turn left on NC-49 N/University City Blvd. 0.4 miles to intersection with Oak Leigh Dr.
- 2) Parking/Road Conditions: public lot next to State Univ. Dorm
- 3) Income (Check All That Apply)     High     Middle     Low
- 4) Race/Ethnicity (Check All That Apply)  
 Hispanic     Black     White     Other, specify: \_\_\_\_\_
- 5) Language Barrier     Yes     No     Maybe    Specify: \_\_\_\_\_
- 6) Type of Structures in segment: (Check All That Apply)  
 Single     Multi-Unit     Group Quarters     Other, specify: \_\_\_\_\_
- 7) Any Difficulty Gaining Access to DUs:  Yes     No
- 8) If YES to question #7, indicate type of barrier (Check All That Apply)  
 Doorman     Locked Gate/Locked Door     Buzzer/Intercom  
 Physical Barrier (e.g. washed out road), specify: \_\_\_\_\_  
 Other, specify: \_\_\_\_\_
- 9) Manager's/Helpful Person's Name: n/a  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_
- 10) Convenient Public Building: McDonald's on Pavilion Blvd.
- 11) Significant Intersection or Landmark in Segment (If Applicable): n/a

**OVER**

**Exhibit 3.12 Segment Information Sheet (continued)**

SEGMENT ID: NC 12B4

**SECTION B – NOTES FROM LISTER TO FIELD INTERVIEWER**

Pleasant, quiet area

Group Quarters are:

- ① Dorm - State University
- ② Salvation Army

### Exhibit 3.13 Screening and Interviewing Pre-Check

Information, included if necessary, about possible segment issues discovered during the editing process.

Segment ID NC 12B4 Date 5/21/20XX NSDUH

## SCREENING & INTERVIEWING PRE-CHECK

The checked items apply to this segment and could affect one or more DU(s) and/or SDU(s).

Please note that these items were observed during the edit process. If you need additional information, check with your supervisor before you begin working.

### A. LIST

- 1. DU(s) listed as multi-unit structure but spotted on map as single DU: \_\_\_\_\_
- 2. Some DUs under construction at time of listing: \_\_\_\_\_
- 3. Mobile Home Park (MHP) listed sequentially. No lot #s available: \_\_\_\_\_
- 4. Fire #s or 911 numbers may be non-mailable addresses: \_\_\_\_\_
- 5. P.O. Box number only available address and no description provided: \_\_\_\_\_
- 6. Locked complex. Lister could not determine actual addresses or Path of Travel (POT): \_\_\_\_\_
- 7. Confirmed housing for the elderly/physically/mentally impaired - ineligible units may be listed: \_\_\_\_\_
- 8. GQU listed by beds or persons instead of rooms: Salvation Army Shelter
- 9. No contact person for GQU: \_\_\_\_\_
- 10. Could not determine multi City/ZIP breakdown: \_\_\_\_\_
- 11. City/Town name not provided by lister. City/Town determined by editor: \_\_\_\_\_
- 12. ZIP not provided by lister. ZIP determined by editor: \_\_\_\_\_
- 13. DU #'s on Block Listing Map do not correspond with DU #'s on Listing Form: \_\_\_\_\_

### B. MAP

- 1. Odd and even street numbers spotted on same side of street: \_\_\_\_\_
- 2. Path of travel corrected for some DUs: \_\_\_\_\_
- 3. Subsegment in place. Maps *outside the selected subsegment area* are not included: \_\_\_\_\_
- 4. Some DUs may be outside segment boundary: \_\_\_\_\_

### C. OTHER

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Rev. 3/04

### Exhibit 3.14 Group Quarters Listing Form

Photocopy of original list of up to 30 group quarters units, in this case for the Salvation Army shelter. (Note the example segment NC12B4 has another group quarters structure (the Ragland Dorm) although the listing forms for that structure are not shown.)

(FOR OFFICE USE ONLY \_\_\_\_\_)

NSDUH

<b>GROUP QUARTERS LISTING FORM</b> <b>(NOTIFY FIELD SUPERVISOR OF GQ)</b>  GQ LINE NO. <u>25</u> (from List of Dwelling Units)		Segment ID: <u>NC 12B4</u> Page <u>1</u> of <u>1</u> Completed by: <u>Connie Lister</u> FI ID <u>653749</u> Date: <u>5, 02, 20XX</u>	
<b>INSTRUCTIONS:</b> Complete this for each group quarter (GQ) identified and located within the sample segment. If more than 30 units, use a Group Quarters Continuation Listing Form. Submit completed forms with the original listing materials for the segment or as otherwise instructed.			
<b>A. IDENTIFICATION</b>		<b>B. LISTING INFORMATION</b>	
1. Name of Group Quarters: <u>Salvation Army</u>		1. Were any housing units listed that are associated with these group quarters: <input type="checkbox"/> Yes (Complete B.2) <input checked="" type="checkbox"/> No (Go to B.3)	
2. Address (Number and Street): <u>2104 Oak Leigh Dr.</u>		2. Enter, from the List of Dwelling Units, the line number(s) of housing units associated with these group quarters: _____	
3. City, State, and ZIP: <u>Charlotte, NC 28262</u>		3. Manager, landlord, or other knowledgeable person to contact: Name: <u>John Smith</u> Title: <u>Administrator</u> Telephone: <u>(704) 555-8294</u>	
4. Type of Group Quarters: <input type="checkbox"/> College Dorm <input type="checkbox"/> Boarding House <input checked="" type="checkbox"/> Shelter <input type="checkbox"/> Half-Way House <input type="checkbox"/> Other _____		4. Check the units listed or to be listed: <input type="checkbox"/> Rooms <input checked="" type="checkbox"/> Beds <input type="checkbox"/> Individuals  5. Enter the number of listing units in the GQ: _____ <input checked="" type="checkbox"/> Exact Number <input type="checkbox"/> Approximate Number	

#### C. LIST OF UNITS

Line No.	Name of Unit	No., Ltr., or Loc.	Line No.	Name of Unit	No., Ltr., or Loc.
1	Salvation Army Bed	1	16	Salvation Army Bed	16
2		2	17		17
3		3	18		18
4		4	19		19
5		5	20		20
6		6	21		21
7		7	22		22
8		8	23		23
9		9	24		24
10		10	25	↓	25
11		11	26		
12		12	27		
13		13	28		
14		14	29		
15	↓	15	30		

COMMENTS:  (Enter on back of form.)

### Exhibit 3.15 Group Quarters Continuation Listing Form

Continuation sheet for a structure with more than 30 GQUs (if necessary).

(FOR OFFICE USE ONLY \_\_\_\_\_)

NSDUH

<b>GROUP QUARTERS CONTINUATION LISTING FORM</b>  <b>GQ LINE NO.</b> _____ (from List of Dwelling Units)	Segment ID: _____ Page _____ of _____ Completed by: _____ FI ID _____ Date: ____/____/____
<b>INSTRUCTIONS</b> Complete this form for each group quarter (GQ) that exceeds 30 listed units. Number the line numbers starting with line 31 until the end of the listing. Submit completed forms with the original listing materials for the segment or as otherwise instructed.	

#### C. LIST OF UNITS

Line No.	Name of Unit	No. Ltr., or Loc.	Line No.	Name of Unit	No., Ltr., or Loc.
1			6		
2			7		
3			8		
4			9		
5			0		
6			1		
7			2		
8			3		
9			4		
0			5		
1			6		
2			7		
3			8		
4			9		
5			0		
6			1		
7			2		
8			3		
9			4		
0			5		
1			6		
2			7		
3			8		
4			9		
5			0		

COMMENTS:  (Continue on back of form.)

**Exhibit 3.16 Within-Structure Floor Sketch Sheet**

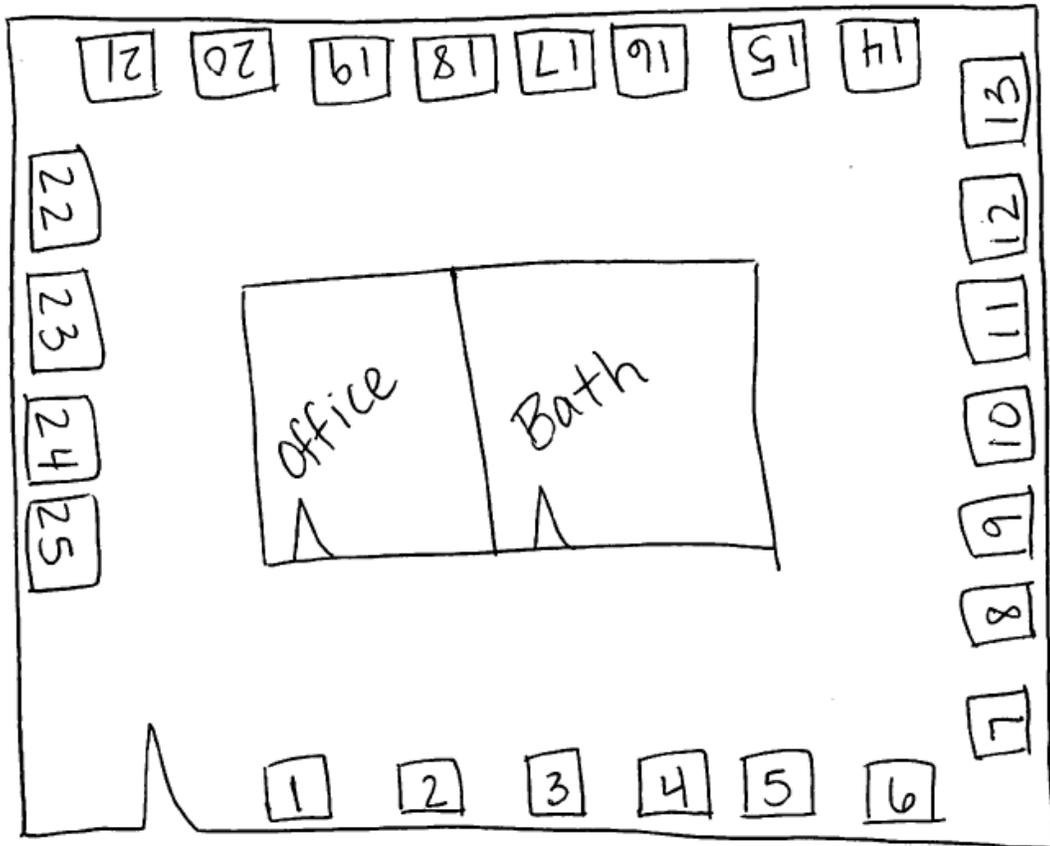
Sketch, included if necessary, showing the layout that corresponds to the way the GQUs were listed.

NSDUH

Page: 1 of 1

**WITHIN-STRUCTURE FLOOR SKETCH SHEET**

DU Line No. <u>25</u> (From listing of Dwelling Units)	Segment ID: <u>NC12B4</u>
Floor <u>1 (one story)</u>	Listed by: <u>Connie Lister</u>
	FI ID # <u>653749</u>
	Date Listed <u>5 / 02 / 20XX</u>



### 3.3.1 Locator Maps

The Locator Maps provide a general idea of the segment location by showing the surrounding geographic area. These maps, consisting of the County, Census Tract, and Segment Locator Maps ([Exhibits 3.4 – 3.6](#)), are produced using Census data. Local maps, such as county highway or city maps, are sometimes needed to help locate the segment. If necessary, the lister may have obtained such a map locally. If so, it will be in the segment materials and should be handled as instructed with all other segment materials when work has been completed.

### 3.3.2 Block Listing Map(s)

The Block Listing Map(s) show the location of each DU within the segment. This detailed map was used by the lister to mark the approximate location of each DU. Boundary and internal roads or streets and other significant features are clearly identified. Each segment may have one or more Block Listing Maps, depending upon the size and geographic make-up of the segment. The page numbers of the various maps are in the lower right hand corner. For segments with multiple Block Listing Maps, a Page Index Map is included and illustrates how the various maps fit together to form the segment.

While listing the area, the lister followed a prescribed order of travel; traveling around the segment in a clockwise direction, making each possible right turn at internal streets or roads and listing dwelling units as they appeared on the lister's right. See [Exhibit 3.17](#) for examples.

On the single page Block Listing Map illustrated in [Exhibit 3.8](#), note the different symbols:

- an "X" for a single HU structure
- a box □ with a number inside indicating the number of HUs contained in a multi-unit structure
- a circle ○ with "GQ" inside indicating a group quarters structure.

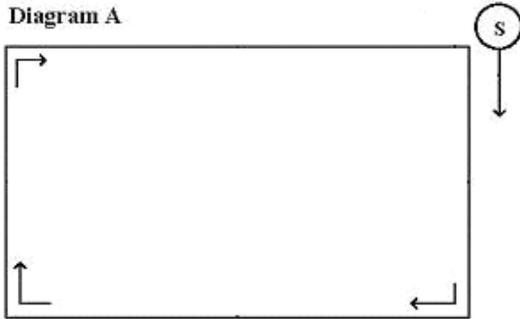
Also note the symbols on the sketch are cross-referenced to the List of Dwelling Units with the DU line number above the symbol. For example, an "X" with "3" above it on the Block Listing Map represents the location of the HU listed as line 3 of the List of Dwelling Units (see [Exhibit 3.11](#)); a circled "GQ" with "21" above it represents the location of the group quarters structure listed as line 21.

At times, it may have been difficult for the person who did the listing to fit several individual "Xs" on the map, especially if they are close together. In these cases, you may find a row of single family homes designated by two "Xs" connected by a bar with the corresponding line numbers printed above as in this example:

37 12  
X—X

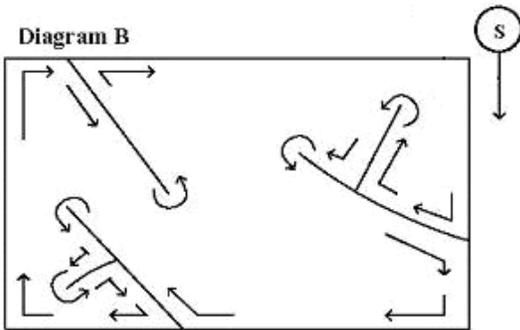
**Exhibit 3.17 Diagrams Illustrating the Prescribed Order of Listing a Segment**

Diagram A



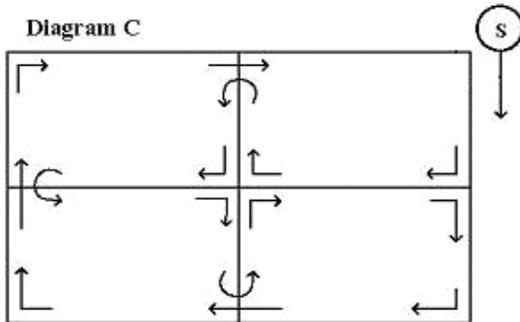
Travel Clockwise

Diagram B



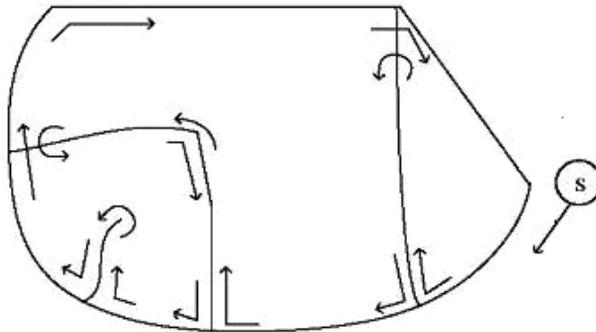
Make All Possible Right-Hand Turns

Diagram C



Make U-Turns at Boundaries

Diagram D



General Example Showing All Rules

In some instances, the Block Listing Map(s) did not give the lister adequate room to accurately record the DU locations. If so, Zoom maps are usually included. A Zoom map is an enlargement of a crowded or illegible area of a Block Listing Map. By following the numbering sequence of DUs, you can determine where the lister switched from the Block map to the Zoom map. Sometimes a Zoom map was not used and the lister created a sketch on a Block Listing Map Enlargement Form. Throughout the rest of this chapter, a reference to a Block Listing Map implies the inclusion of any enlargement sketches or Zoom maps.

Review the Block Listing Map before beginning your work so you have an idea of where all the SDUs in the segment are located. Then, carry it, along with the other segment materials, at all times for reference to ensure you are in the right area and are properly locating SDUs. Before contacting an SDU, make sure the address or description of the unit, as indicated by the line number, matches the location shown on the map. Refer to **Section 3.4** for more details on locating the segment and SDUs.

### **3.3.3 Selected DU List**

Although all DUs in a segment are listed on the original, handwritten List of Dwelling Units ([Exhibit 3.11](#)), only certain ones have been selected for you to contact. These selected DUs are printed on the Selected DU List ([Exhibit 3.10](#)). Also included on this list is the Partition Number. Sometimes assigned cases are released in batches or partitions, so not all SDUs on the Selected DU List are available to be worked. The partition to which each SDU is assigned is indicated in the last column on the Selected DU List. When additional SDUs are assigned your FS will tell you and you will receive the lines on your tablet via a transmission.

The Selected DU List provides a complete list of housing units and group quarters units selected in a segment. For each SDU, the Selected DU List displays an address or, if an address was not obvious, a description allowing you to identify the structure. On the computer-generated list, only a portion of the description may appear. At times, you will need to refer to the copy of the handwritten List of Dwelling Units for a complete description. A list of possible abbreviations used in this description is shown in [Exhibit 3.18](#).

If any group quarters were listed in a segment, a copy of the Group Quarters Listing Form ([Exhibit 3.14](#)) is included in the segment materials. The Group Quarters Continuation Listing Form ([Exhibit 3.15](#)) is included if the group quarters structure contained more than 30 units. The Within-Structure Floor Sketch Sheet ([Exhibit 3.16](#)) will be included only if the description of the unit on the listing form is not sufficient to locate it.

Exhibit 3.18 Counting and Listing Abbreviations

## Counting and Listing Abbreviations

<u>COLORS</u>		<u>ADDRESSES</u>		<u>OTHER/GENERAL</u>	
BG	Beige	ADD	Address	ATT	Attached
BK	Black	ALY	Alley	BSMT	Basement
BL	Blue	APT	Apartment	BUS	Business
BR	Brown	AVE	Avenue	CPT	Carport
DK	Dark	BLK	Block	CG	Cattleguard
GR	Grey	BLVD	Boulevard	CHNLNK	Chainlink
GN	Green	BLDG	Building	CHMY	Chimney
LT	Light	CIR	Circle	CHUR	Church
MED	Medium	CT	Court	COL	Column
OR	Orange	DRWR	Drawer	COR	Corner
PK	Pink	DR	Drive	CO	County
RD	Red	HWY	Highway	DB	Doorbell
TN	Tan	JCT	Junction	DRMR	Dormer
WH	White	LN	Lane	DBL	Double
YL	Yellow	PKWY	Parkway	DRWY	Driveway
		PL	Place	ELCMTR	Electric Motor
		PT	Point	ENT	Entrance
		PO	Post Office (Box)	EXT	Exit
		RD	Road	EXTR	Exterior
		RTE	Route	FEN	Fence
		ST	Street	FLR	Floor
		TER	Terrace	FDN	Foundation
				FRM	Frame
				FR	From
				GAR	Garage
				GRD	Guard
				GRV	Gravel
				GRND	Ground
				HSE	House
				LG	Large
				MBX	Mailbox
				MID	Middle
				MI	Mile
				PKT	Picket
				PCH	Porch
				PVT	Private
				RR	Railroad
				RSTR	Restaurant
				RM	Room
				SCRN	Screen/Screened
				SHK	Shake
				SHUT	Shutters
				SD	Side Door
				STR	Store
				STY	Story
				TR	Trim
				UC	Under Construction
				VAC	Vacant
				VER	Veranda
				VEST	Vestibule
				WIN	Window
				WD	Wood
<u>DIRECTION/ORIENTATION</u>		<u>STRUCTURE/MATERIALS</u>			
ABV	Above	ALUM	Aluminum		
ACR	Across	BRK	Brick		
ADJ	Adjacent	BRNSTN	Brownstone		
AFT	After	CDR	Cedar		
BCK	Back	CBLK	Cement Block		
BEF	Before	CEM	Cement		
BEH	Behind	LOG	Log		
BTWN	Between	RCK	Rock		
BTM	Bottom	SDG	Siding		
E	East	STN	Stone		
FRT	Front	STU	Stucco		
L	Left	VNY	Vinyl		
N	North				
NE	Northeast				
NW	Northwest				
RE	Rear				
R	Right				
S	South				
SE	Southeast				
SW	Southwest				
W	West				
<u>ARCHITECTURE/BUILDING STYLE</u>		<u>TYPES OF ROOFS</u>			
APT	Apartment	FLT	Flat 		
CPCD	Cape Cod	GBL	Gable 		
CLNL	Colonial	GMBR	Gambrel 		
CONDO	Condominium	HIP	Hip 		
CNTP	Contemporary	MNSD	Mansard 		
DBLWID	Doublewide	SHGL	Shingle		
DPX	Duplex	SPNTL	Spanish Tile		
RCH	Ranch	TIN	Tin		
RF	Roof				
SPL	Split Level				
TRAD	Traditional				
TRLR	Trailer				
TRANS	Transitional				

### 3.4 Locating the Segment and the Designated SDUs

The general location of a segment and the most efficient route of travel to reach the area should be determined during your careful, advance review of the segment materials. When you arrive at the segment, refer to the locator maps, Block Listing Map, and Selected DU List to ensure you have identified and located the precise boundaries of the area, that the proper area was listed, and that it was listed correctly. (For segments covering large geographic areas, talk to your FS first about your initial trip.)

If you determine the wrong area has been listed, if there are serious omissions or inaccuracies in the listing, or if there are significant changes to the area (such as a new subdivision or apartment building), do not proceed any further. Call your FS immediately.

When locating segments, GPS and online maps can provide a cost-efficient route to the area. You might use an address of a public building or street name to find the general segment location. However, GPS or online maps must NOT be used to locate specific SDUs, as this violates the respondent's confidentiality. Furthermore, the results are not always accurate and may differ from what is shown on the segment materials. Always use your segment materials to locate SDUs.

#### 3.4.1 Housing Units

Once you are in the exact segment location, you will begin identifying and contacting only designated SDUs. In most cases, you will be able to find them with little difficulty by using the location shown on the Block Listing Map and the address or description from the Selected DU List. In some cases, however, you will have to check more thoroughly and refer back to the handwritten List of Dwelling Units. For example, if you were using the map and list shown in [Exhibits 3.8](#) and [3.11](#):

- DU #8 — DEERGREEN LN WH CPCD GAR (White cape cod house with a garage on Deergreen Ln). When you arrive at the segment and locate Deergreen Ln, you do not see a white cape cod house. There is, however, a yellow cape cod house on Deergreen Ln, as indicated on the Block Listing Map. Upon talking to a neighbor, you learn the house located on Deergreen Ln across from DU #7 was recently painted and had been white. The yellow cape cod house is DU #8.
- DU #20 – CLONMEL PL 2 STY BRK (2 story brick house on Clonmel Pl). When you arrive at the house, you find the street number is not clearly indicated on the mailbox. You note the number visible on the duplex immediately across the street is 68. You are sure the street is Clonmel Pl. The DU has been located by referencing the Block Listing Map, Selected DU List, and visible street numbers associated with existing structures.

Always confirm you are at the correct SDU by checking the address or description on the Selected DU List with the location on the Block Listing Map. If the SDU address matches the approximate location on the map, proceed with contacting the residents.

If the street number or other descriptive markers are clearly visible on the DU, but the address does not match the position shown on the map, such as the address is across or down the street from the location indicated, answer the following two questions:

- Is the location of the SDU address in the general vicinity of the “X” on the map (e.g. around the corner, down the street or in the surrounding area)?
- Is the location of the SDU address within the segment boundaries?

If the answer to both questions is **Yes**, proceed with contacting the address. If the answer to either question is **No**, contact your FS who will follow-up with RTI’s Sampling Department.

If you are having difficulty locating a particular SDU, complete the following steps:

1. Locate and check the addresses of the DUs listed before and after the SDU, using the Block Listing Map, Selected DU List, handwritten List of Dwelling Units, and the other segment materials. If both addresses are correct, attempt to locate the SDU between these two DUs, referencing the segment materials as a guide. If you are able to locate the SDU, proceed with contacting the address.

If either of the addresses listed before and after the SDU are incorrect, or you are still unable to locate the SDU, continue with #2.

2. Investigate the area surrounding the “X” on the map to look for the address, such as checking further down the street, on both sides of the road, around corners, in cul-de-sacs, etc. If you are able to locate the correct address in the nearby area and it is still within the segment boundaries (i.e., the answer to both questions at the top of this page is **Yes**), proceed with contacting the SDU at that location.

After completing these steps, if you are still unable to locate the SDU, or the address is not in the general vicinity of the “X” or within the segment boundaries, contact your FS who will follow-up with RTI’s Sampling Department.

To illustrate these steps, consider the examples below using the materials shown in [Exhibits 3.8, 3.9, 3.10, and 3.11](#):

- DU #17 – 1426 MORNING GLORY DR. When you arrive at the location on Morning Glory Dr., you do not see a house as shown on the Zoom Map. However, there is one house further down the street on the opposite side of the road. You do not see a number on the house or mailbox to confirm the address. Next, you locate DUs #16 and #18, and confirm each address matches the corresponding location on the map. The house on Morning Glory Dr. is the only DU between those addresses, and is located near the “X” and within the segment boundaries. It seems the “X” on the map was placed in the wrong spot on Morning Glory Dr. This house is DU #17.
- DU #12 – 1031 SAFFLOWER CRES. After making a U-turn on Safflower Cres., 1031 is the second house on your right, not the first. You can see the street number for 1031 on the door of the house. On the handwritten List of Dwelling Units, the address listed before DU #12 is 1028 Safflower Cres., but it should be 1033 Safflower Cres. (that is, 1033 Safflower Cres. is missing from the List of DUs and the Zoom Map). The DU is in the general vicinity of the “X” and within the segment boundaries, so you proceed with contacting the address.

Please keep in mind the segment maps and lists of dwelling units were prepared fairly recently and the addresses should generally be accurate. The need to edit an address while locating or screening an SDU is a rare occurrence, and should only be completed if the physical address is missing or incorrect. Refer to **Section 6.8** for more details on the Editing Address Protocol.

### **3.4.2 Group Quarters Units**

In most instances, the dwelling unit you locate will be a housing unit, as in the examples above. However, you may encounter selected group quarters units as in [Exhibit 3.10](#) (GQU line numbers B003 and B019). In this example, using the Block Listing Map and the Selected DU List, first locate the Salvation Army Shelter, which is the structure containing the selected GQUs, listed as line number “025.” This line number is the number above the circled “GQ” on the Block Listing Map, which corresponds to the line number of the shelter on the original List of Dwelling Units. This number connects the selected group quarter units with the shelter in which they are located. After locating the structure, you then use the description of the unit from the Selected DU list (bed numbers 3 and 19) in conjunction with the Within-Structure Floor Sketch Sheet ([Exhibit 3.16](#)) to identify the correct GQUs.

For some group quarters units, the description of the unit alone may be sufficient for locating it (e.g., dormitory rooms with unique room numbers). In such a situation, a Within-Structure Floor Sketch Sheet probably would not be included with your segment materials.

### **3.4.3 Determining the Status of Each SDU**

You must determine the status of each SDU at the time of your initial screening contact using the definitions provided in **Section 3.2**.

## **3.5 Checking for Missed Dwelling Units**

Occasionally, there may be errors in the listing. There may have been some dwelling units the lister could not observe because of their location, mobile homes may have been moved into the segment, or what appeared on observation to be one type of unit may be entirely different when one is inside the structure. Every dwelling unit must have a chance of being selected. However, if it was not listed, it has no chance of being selected. The missed dwelling unit procedures, which you must follow carefully, are designed to give that opportunity to dwelling units that should have been listed but were not.

The procedures for checking for missed dwelling units are slightly different depending on whether the listed unit is a:

- group quarters unit in a group quarters structure (dormitories, shelters, boarding houses),
- housing unit in an apartment building or condominium structure (structures with 3+ units), or
- regular housing unit not included above (such as a single-family home, townhouse, trailer, or duplex-i.e. 2 units in a structure).

**You are not required to check the entire segment for missed dwelling units. The procedure only requires you check for missed DUs at certain types of selected dwelling units in the segment as part of the screening process when directed by the tablet.**

NOTE: Although you are only required to check for missed DUs at each eligible SDU when directed by the tablet, you should not ignore any significant listing problems. For example, if you discover an apartment building or a new subdivision not listed, call your FS.

### 3.5.1 Missed DUs in Regular Housing Units (e.g., houses, townhouses, trailers)

While screening at a regular HU that is **not** a condo or in an apartment building (i.e. HUs not in a structure with 3 or more units), the tablet prompts you to ask if there are any additional living quarters in the unit or on the property. Examples of the types of missed DUs you may find within an individual SDU are:

- a basement or upstairs apartment built in a structure that was originally a single-family dwelling, with an outside entrance the lister could not see,
- an apartment with an entrance in the rear of a large townhouse the lister missed, or
- an additional unit behind what looks from the front to be a standard duplex.

The tablet displays this question for regular housing unit structures such as single-family homes, trailers, cottages, townhomes, and duplexes. Townhomes and duplexes (i.e. 2 units) are included because there is a possibility of missed units in structures like this (e.g. a separate basement apartment).

Based on information recorded for each unit during listing, the tablet does not display this question for housing units in multi-unit (i.e. 3 units or more) apartment and condominium

buildings. Units in these structures are handled differently, as are all structures with selected group quarters units (see *Sections 3.5.2* and *3.5.3*).

### 3.5.2 Missed DUs in Apartment and Condo Buildings

The missed DU procedures for apartment buildings and condominium structures vary from the regular housing unit procedures.

- **WITHIN THE UNIT**

Most apartment and condo buildings consist of a number of single units within the multi-unit structure. In these buildings, the chances of finding a “unit within a unit” are very small, so the screening program skips the Missed DUs question altogether. However, to ensure our sampling is accurate, we have to allow for unusual situations such as a servant’s unit within a large apartment or flat. This does not mean a missed superintendent’s apartment within the apartment complex, but an apartment that has a second separate unit within the apartment. If

Missed DUs

Exit Span Help ◉ ◀ Previous

Line 015 300 Gordon Street

Are there any other living quarters within this structure or on this property, such as a separate apartment with a separate entrance?

Yes No

you are working in a building where this unusual situation is possible, be observant. If you discover an apartment within an apartment at a selected DU, you can add that unit to your tablet (see *Section 3.6*).

- **WITHIN THE STRUCTURE / ON THE PROPERTY**

As you start working an apartment or condo building where an HU has been selected, look for major discrepancies like a missed floor, a missed wing of a building, or other groups of units missed. If you discover a major discrepancy, gather the necessary information and check with your FS. Depending on the number of missed units, RTI's Sampling Department may choose a subset of units to be added.

In general, missed units found in an apartment or condo building must be added with input from RTI's Sampling Department. Gather the relevant information and then call your FS.

### **3.5.3 Missed DUs in Group Quarters Structures (e.g., dormitories, shelters)**

For selected units within group quarters structures, checks for missed DUs occur at the structure level, not the selected DU level. For all group quarters structures where a GQU has been selected, you must check with the manager, landlord, or other knowledgeable person to determine if the number of units originally listed is accurate. If the number is larger, those additional units become missed units. This situation may occur, for example, if:

- the lister missed basement rooms in a dormitory
- the number of persons or beds in a shelter has increased for the winter season.

Reviewing the original listing with a knowledgeable person should uncover any missed units within the structure or on the property.

Missed units found in a group quarters structure must be added through RTI's Sampling Department. Gather the relevant information and then call your FS.

If there is an entire group quarters structure not listed, it is considered a missed dwelling unit and the units within the structure, missed group quarters units. Unlike missed housing units, a missed group quarters structure does not have to be linked to (that is, "found at") a selected dwelling unit. Such a structure qualifies as a significant listing problem and must be discussed with your FS.

### **3.5.4 Dealing with Listed DUs That Should Not Have Been Listed**

On occasion you may discover an SDU does not qualify as a dwelling unit (e.g., a structure used for nonresidential purposes). You also may encounter a situation where an SDU no longer exists (e.g., a trailer has been moved). In such cases, code it appropriately on the tablet during screening. *Chapter 9* defines the screening result codes.

### 3.6 Adding Missed Dwelling Units

The procedures for adding missed DUs differ slightly for missed HUs and for missed GQUs. Note that **Bold** text in this section indicates what items you will touch on the tablet and is occasionally used for emphasis.

#### 3.6.1 Adding Missed Housing Units

When screening a regular HU, ask the question used to identify missed DUs if it appears. If the SDU is in a multi-unit structure such as an apartment or condo building with 3 or more units, the question will not appear, so continue with screening. (See **Section 3.6.5** for how to add any found “units within units.”)

If the answer to the Missed DU question is “No,” continue with the screening. If “Yes,” record the address of the possible missed unit.

Enter the house number in the Street Number field, then touch the Street Name field and enter the street name. If applicable, touch the Apartment Number (APT. #) field and record the unit number and/or letter(s). For example, if the address is 301 Gordon St, 1A, enter **1A** in the apartment field. If the address is 256 Main Street #3, enter **3** in the apartment field.

If a specific address is not available, enter a brief description of the unit in the Street Number field and record the street number and street name of the original SDU where the unit was found in the Street Name field. Remember the Street Number field only holds ten characters. For example, a missed DU was found over the garage while screening at 304 Gordon St, but a specific separate address is not available. In this case, type “gar apt” in the Street Number field, and then “304 Gordon St” in the Street Name field. Only use letters, numbers, spaces, periods, commas, or slashes; not other characters such as quotation marks.

- Touch **Cancel** if you want to cancel this entry.
- Touch **Update** to continue the process of adding the unit. You will be asked if you want to add another unit. Touch **Yes** if you want to add another unit and the above screen will reappear so you can enter the information. Touch **No** if that is the only (or last) added unit you want to link to this SDU.

Be certain the unit qualifies as a housing unit. Apparent housing units used for nonresidential purposes (e.g., business or storage) do not qualify and should not be added. Missed housing units intended for use as residences but vacant at the time of your visit are to be added. Units under

Missed DU Address

Cancel Update Help

Line 015 300 Gordon Street

**RECORD STREET ADDRESS OR DESCRIPTION OF UNIT:**

STREET # 301

STREET Gordon Street

APT. #

construction are to be added if construction has reached a point where all exterior windows and doors are installed (so it is not open to the elements) and useable floors (such as sub-flooring) are in place.

There are limits on the number of missed units you may add on your own on the tablet. You can add up to five missed units at one particular SDU, however the limit of missed units for a particular segment is ten. Because adding missed DUs happens so infrequently, your tablet will only have room to add five missed DUs. If you need the additional five lines, contact your FS, who will ask RTI to release the additional lines during your next transmission. Each time a missed DU is added, your tablet reminds you of how many lines are still available. If you find more than five missed units for one SDU or more than ten units for a segment, add the information about these units to the List of Added Dwelling Units ([\*Exhibit 3.19\*](#)). When the information is complete, alert your FS, who will then call RTI's Sampling Department.



### 3.6.2 Reconciling Missed DUs

Reconciling Missed DUs involves following several steps to see if the missed unit should be added to the sample. Read these screens carefully in order to respond correctly. *Note: Reconciling does not have to be completed immediately, but rather can be done later, when speaking with your FS for example. Refer to **FI Manual Section 6.9.2** for more details on accessing and completing the reconciliation process on the tablet.*

1. **Check the original, handwritten List of Dwelling Units (Exhibit 3.11) to see if the unit has already been listed.** Respondents may report a unit that was already listed. If the unit is already on the List of Dwelling Units, it does not need to be added, so touch **Yes**. If the unit is not on the List of Dwelling Units, touch **No**.

2. Missed units must satisfy location requirements before being added. This screen prompts you to consider the location of the missed unit.
  - Is it within the SDU?
  - Is it on the property of the SDU?
  - Is it within the segment boundaries?

If the unit is within the SDU or on the property of the SDU and within the segment boundaries, touch **Yes** and the unit will be added to the sample and your assignment. If the answer is “No,” the missed address will not be added.

MDU-Segment Kit Check

Exit Help

Link 0015 300 Gordon Street

INTERVIEWER: CONSULT YOUR SEGMENT KIT AND ANSWER THE FOLLOWING QUESTION(S):

IS THE UNIT THAT YOU ARE ATTEMPTING TO ADD

301 Gordon Street

ALREADY ON THE HANDWRITTEN LIST OF DWELLING UNITS?

(MAKE SURE YOU ARE LOOKING AT THE FULL LIST OF DWELLING UNITS, NOT THE SELECTED DU LIST.)

Yes No

(UNIT NOT ADDED)

MDU-SDU Check

Exit Help < Previous

Link 0015 300 Gordon Street

IS THE MISSED UNIT LOCATED WITHIN THE SDU OR ON THE SDU PROPERTY, AS WELL AS LOCATED WITHIN THE SEGMENT BOUNDARIES?

REFER TO YOUR FI MANUAL AND YOUR SEGMENT MAPS OR CALL YOUR FS IF YOU ARE UNSURE WHETHER THIS UNIT SHOULD BE ADDED. IF YOU CANNOT DO THAT RIGHT NOW, TOUCH THE Exit BUTTON TO EXIT THIS SCREEN. YOU CAN RECONCILE THIS DU LATER.

Yes No

(UNIT ADDED) (UNIT NOT ADDED)

3. Double check the complete address of the unit to be added on this screen. Make any necessary changes, checking to be sure everything is correct.
4. Use the information on this screen to record the unit on the List of Added Dwelling Units (see [Exhibit 3.19](#)). Record the:

- line number, which is the last 3 digits of the Case ID displayed towards the bottom of the screen,
- street number/street name, OR description/street name,
- the apartment number or location, as needed,
- the Link line number, shown at the top of this screen, and
- whether the unit is an HU or GQU.

All added dwelling units are recorded on this form, which becomes part of the segment materials.

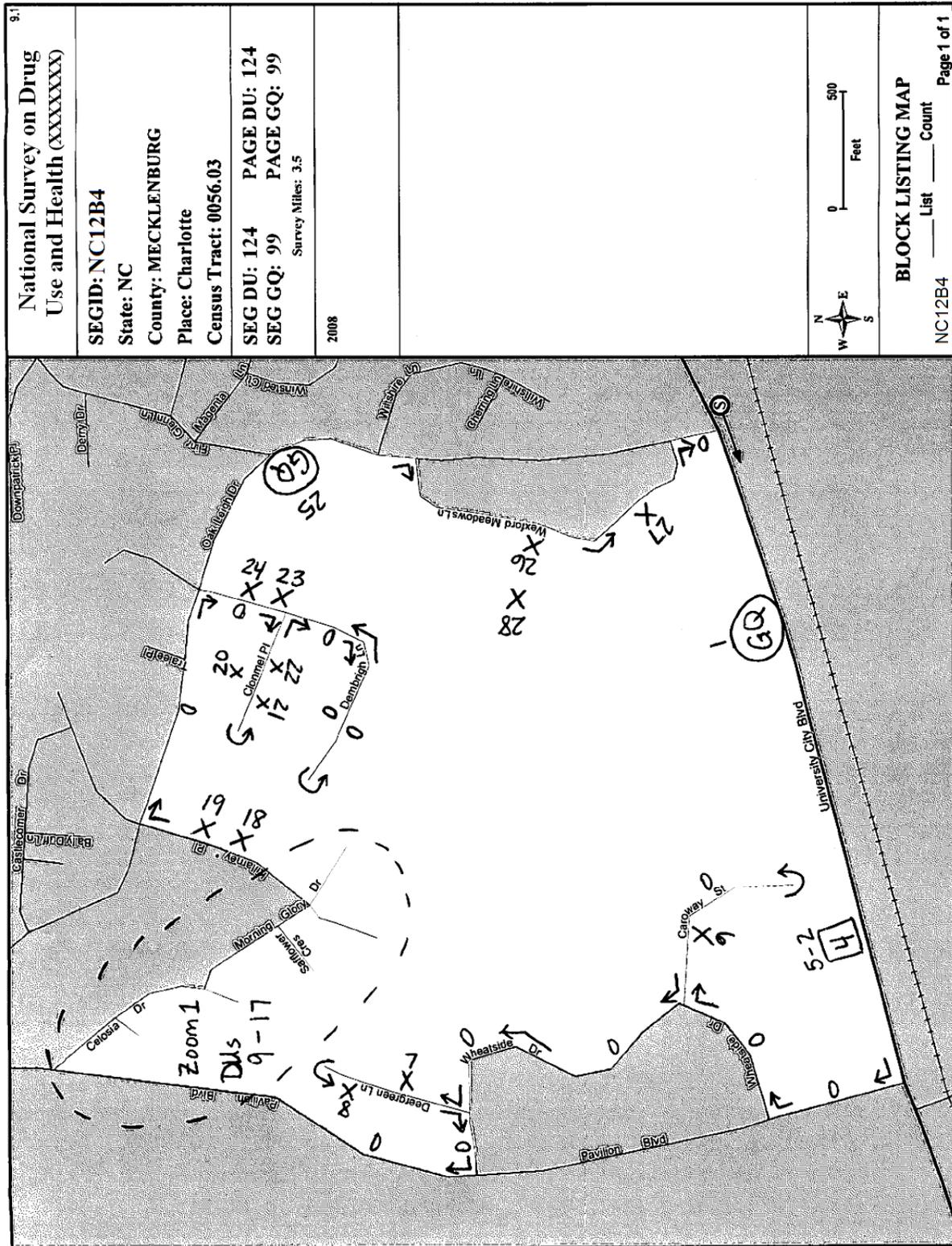
5. When everything on both the screen and the List of Added Dwelling Units is correct, touch **Update**. The unit will be added to your assignment.
6. Add the missed DU on the Block Listing Map. See [Section 3.6.3](#).
7. The added unit will appear in your tablet as the last line in the segment.

### 3.6.3 Adding Missed HUs on the Maps

Each time you add an HU and record it on the List of Added DUs, you must also enter a corresponding “X” (or box, in the case of multi-unit structures) in the appropriate location on the Block Listing Map. Remember to identify the symbol with the dwelling unit number provided by the tablet.

[Exhibit 3.20](#) illustrates how the Block Listing Map would look if a missed HU was discovered while screening at HU # 26 in the segment illustrated previously in this chapter. You should record the line number of the added HU (# 28 in our example) on the map in its corresponding location to the linked DU. In the exhibit, you can see HU # 26 now has an X with # 28 above it. This indicates line 28 was added at line 26. The line number is automatically assigned and then displayed by the tablet and recorded on the List of Added DUs in column 1. Be sure to give the information to your FS to update the FS set of segment materials as well. If at any time you need to see the Link line number for the added DU, reference your segment materials; the List of Added DUs and the Block Listing Map.

Exhibit 3.20 Block Listing Map (with Added DU)



### 3.6.4 Adding Missed Units within a Group Quarters Structure

Unlike units found at regular housing units, you do not add missed units found in group quarters structures to the tablet and then automatically screen them. Since the selection process for these missed units varies depending on the type and number of missed units (e.g. a room or bed), you are required to call your FS who then contacts RTI's Sampling Department to receive instructions on how to proceed. Be sure to have your segment materials as well as a thorough description of the missed unit situation in front of you when you contact your FS. In general, your FS will share:

- what information to include on the Added Group Quarters Listing Form ([Exhibit 3.21](#))
- whether to make a within-structure floor sketch
- what to do with the completed forms.

The information is used by RTI to select the missed units, if any, to be added to the sample. The assignment of any missed group quarters units to be screened takes place during transmission. The added cases are sent to your tablet for completion.

### 3.6.5 Adding Missed Units within an Apartment or Condo Building

The procedures for dealing with missed units found in apartment or condo buildings vary depending on the situation:

- If you find a unit within a unit (such as a servant's quarters within a large flat), that missed unit must be added to your tablet. This is not done during the actual screening but either before or after from the Select Case screen. For details, see *Section 6.9.1*.
- If you find a major discrepancy in the listing (e.g. a missed floor, a missed wing of a building, or other groups of units missed), you must contact your FS. Similar to the situation for missed units in group quarters structures (see *Section 3.6.4*), your FS must contact RTI's Sampling Department for instructions on how to proceed. Be sure to have all your segment materials and a thorough description of the situation.

The detailed process of adding missed DUs is not a task you will have to perform very often. When faced with a missed DU situation, be sure to consult these sections of the manual and discuss the situation thoroughly with your FS. A summary of the steps to check for missed DUs is located in [Exhibit 3.22](#).

### Exhibit 3.21 Added Group Quarters Listing Form

(FOR OFFICE USE ONLY \_\_\_\_\_)

Project XXXXXXX  
NSDUH

<b>ADDED GROUP QUARTERS LISTING FORM</b>  <b>GQ LINE NO. _____</b>  <b>(from List of Dwelling Units)</b>	Segment ID: _____ Page ____ of ____ Listed by: _____ FI ID No. _____ Date Listed: ____ / ____ / ____
Complete this form for a missed group quarters structure or for missed units within a previously listed group quarters structure. Please contact your FS for instructions on completing this form.	
<b>A. IDENTIFICATION</b>	<b>B. LISTING INFORMATION</b>
1. Name of Group Quarters: _____	1. Were any housing units listed that are associated with these group quarters: <input type="checkbox"/> Yes (Complete B.2) <input type="checkbox"/> No (Go to B.3)
2. Address (Number and Street): _____	2. Enter, from the List of Dwelling Units, the line number(s) of housing units associated with these group quarters: _____
3. City, State, and ZIP: _____	3. Manager, landlord, or other knowledgeable person to contact: Name: _____ Title: _____ Telephone: _____
4. Type of Group Quarters: <input type="checkbox"/> College Dorm <input type="checkbox"/> Boarding House <input type="checkbox"/> Shelter <input type="checkbox"/> Half-Way House <input type="checkbox"/> Other _____	4. Check the units listed or to be listed: <input type="checkbox"/> Rooms <input type="checkbox"/> Beds <input type="checkbox"/> Individuals  5. Enter the number of listing units in the GQ: _____ <input type="checkbox"/> Exact Number <input type="checkbox"/> Approximate Number

**C. LIST OF UNITS**

Line No.	Description of Unit	No., Ltr., or Loc.	Line No.	Description of Unit	No., Ltr., or Loc.
1			16		
2			17		
3			18		
4			19		
5			20		
6			21		
7			22		
8			23		
9			24		
10			25		
11			26		
12			27		
13			28		
14			29		
15			30		

COMMENTS:  (Enter on back of form.)

**Exhibit 3.22 Checking For Missed DUs Summary**

<b>CHECKING FOR MISSED DUs SUMMARY</b>	
<b>Check:</b>	<b>Within unit, and on property</b>
<b>When:</b>	<b>During screening (as directed by tablet)</b>
<b>How:</b>	<b>Tablet displays question as part of screening for housing units NOT in structures with 3+ units</b>
<b>What If You Find One?</b>	<b>Record address of missed unit on the tablet.</b>
<b>Reconcile When Entering Address?</b>	<b>No, wait until after screening is done (possibly even when speaking with FS). Must reference the handwritten List of Dwelling Units during the reconciling process.</b>
<b>What If You Find More Than One Missed DU at an SDU?</b>	<b>In tablet, add up to 5 missed DUs found at a specific SDU. If 6 or more are found, write addresses for all units (including 5 added to the tablet) on List of Added DUs, then call FS, who will contact RTI's Sampling Department.</b>
<b>What If You Find More Than Ten Missed DUs in a Segment?</b>	<b>Write all addresses on List of Added DUs (including 10 added to the tablet), then call FS, who will contact RTI's Sampling Department.</b>

### 3.7 When to Call

If you encounter missed units or unusual circumstances and cannot find answers in this manual, call your FS. Your FS is experienced in many field situations and can assist you. In some instances your FS will need to call RTI's Sampling Department for assistance.

Your FS will call RTI when:

- more than five missed HUs are discovered to be linked to a particular selected DU
- more than ten missed HUs are to be added to the segment
- a missed GQU is discovered within the group quarters structure
- a missed group quarters structure is discovered
- other major discrepancies in the segment listing are found.

Once the issue is resolved, detailed instructions will be relayed to you.

### 3.8 Importance of Sampling Activities

The field sampling steps discussed in this chapter are important. **All aspects of the area probability sample design used by RTI have been developed so data collected for this survey will be valid, reliable, and accurate.** However, the design is only valid if each interviewer carries out the final steps of sampling with care and precision. Even seemingly slight errors or oversights in interviewer sampling activities may necessitate costly and time-consuming corrective action.

Careful attention to the instructions presented in this chapter will provide the necessary information to complete the steps involved in checking the listing. Those steps are extremely important to ensure the accuracy of the sample and the data collected.

## CHAPTER 3 MAIN IDEAS

### Locating Sample Dwelling Units

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 3-1: Dwelling Units (DUs) consist of housing units (HUs) and group quarter units (GQUs). Common examples of HUs are apartments, houses, trailers, condos. Individual units within group quarters structures such as college dormitories, shelters or convents would all be classified as GQUs.
- Page 3-1 & 3-2: For this year's sample, all 50 states and the District of Columbia have been divided into SSRs. The number of SSRs varies depending on the population of the state. Each SSR then had segments selected. Each FI will be working in a defined segment, using listings and maps that were created earlier by listers.
- Page 3-9 & 3-10: For each segment in your assignment, you will receive a packet of segment materials containing the maps, listings, and information sheets needed to work your assignment.
- Page 3-9 & 3-30: In order to successfully complete your NSDUH cases, you will need to locate your segment, identifying the most efficient route of travel to/from your home and within the segment utilizing your segment materials.
- Page 3-28: When locating DUs, always check the Block Listing Map to confirm the address matches the approximate location on the map.
- Page 3-32 – 3-24: In order to ensure we have an accurate sample, it will be necessary for you to check for missed dwelling units when prompted by the tablet. The screening program has steps in place to guide you in adding any missed units.

## **QUESTIONS TO ASK YOURSELF**

1. Define a group quarters unit (GQU).
  
2. On the Block Listing Map, what does a box with a number inside indicate?
  
3. What should you do if you find a completely new subdivision in your segment that is not on your map or on the lists?
  
4. Name three examples of types of homes or structures that should NOT be included in the NSDUH sample.
  
5. Take some time to become familiar with the List of DUs and Selected DU List.
  - a. How many GQUs are in the shelter listed as line 25? (Refer to Group Quarters Listing Form, *page 3-24*.)
  
  - b. How many selected DUs are on Killarney Place?
  
  - c. What is the street address for line 17? Will you visit that house?

## 4. CONTACTING DWELLING UNIT RESIDENTS

### 4.1 Introduction

Being well prepared before making initial contact with the residents of a selected dwelling unit (DU) is important. You must be organized, know the purpose of the survey and be familiar with the screening and interviewing procedures as well as all study materials. Refer to *Chapter 12* for lists of the provided materials.

This chapter and *Chapter 5* contain detailed explanations of how to contact a DU and obtain cooperation.

### 4.2 Scheduling Fieldwork

One of your most important responsibilities is planning your fieldwork carefully to maximize the effectiveness of your time in the field. Below are general rules to apply when planning your work:

- Plan your trips so you will be in the sample areas during times when the chances of finding a respondent at home are the best. The most productive hours for first visits to most SDUs are between 4:00 PM and 9:00 PM on weekdays and from 9:00 AM to 9:00 PM on weekends.
- **Saturdays are generally the most productive day**, however, weeknights have proven to be an excellent time to find respondents home.
- Stay in the field for at least four hours when you have a sufficient number of cases to work, especially early in the quarter. Be sure to use good case management strategies and discuss your assignment with your FS to determine the most efficient work plan together.
- Lay out your itinerary so you can efficiently visit as many sample dwelling units (SDUs) as possible during a trip to an area.
- If you have only a little work left in one area, combine your trip to this area with a trip to a nearby segment when possible.
- Make a minimum of five attempts to complete each screening, contacting the unit at different times of day and different days of the week. Then discuss the case with your FS. Your FS may opt to send a letter to the DU. During your conference call, your FS will instruct you about contacting the DU again.

The timing and planning of your field trips is **very** important. You **MUST** be available to **work primarily evenings and weekends**.

### 4.3 Assignment Materials

Your FS makes assignments partially based on the location of the segment area in relation to your home. Whole segments are usually assigned, although sometimes they may be split. Your FS may make additional assignments as you complete your initially assigned work. As discussed in *Chapter 3*, you will receive the appropriate segment materials for each of your segments.

Each individual DU assigned to you—whether it is an HU or a GQU—will appear on the tablet **Select Case** screen and on the computer-generated Selected DU List (see [Exhibit 3.10](#)). **Enter all information collected during the screening process directly into your tablet.** For confidentiality reasons, NEVER write notes containing identifying information or the address of an SDU. All confidential information you record belongs in the password-protected computers, such as in the Record of Calls discussed below.

### 4.3.1 Case Identification Information

The first item displayed for each case on the tablet’s **Select Case** screen is the Case ID (or case identification number).

The Case ID numbers provide you with important information. For example, the Case ID number TX23B20119 tells you the following:

- TX     **State Abbreviation**—in this case, Texas
- 23B2   **Segment number**
- 0       **DU indicator** (always a zero (0) for HUs, or any letter A-Z for GQUs)
- 119     **SDU line number** from the List of DUs for the segment

This information is also listed on the Selected DU List. The first six characters are listed as the Segment ID on the top left of the form. The last four characters of the Case ID are listed under the “DU Indicator and Line #” column. For example, refer to the Selected DU List shown in [Exhibit 3.10](#). The first selected HU listed is in segment NC12B4 and is line number 002. The Case ID for this HU is NC12B40002.

The actual street address, or a physical description of the HU or GQU and its general location, also appears on both the **Select Case** screen and the Selected DU List. If you have difficulty locating one of your assigned DUs, refer to [Chapter 3](#).

## 4.4 Record of Calls

Each time you attempt to contact an assigned SDU to complete a screening, record the details about that visit in the tablet’s Record of Calls (ROC). This includes any attempted or actual contact with either a resident, neighbor or other knowledgeable person. Record each contact, or attempted contact, separately by adding a call record. For example, if you visit the SDU once and find no one home, then visit again 2 hours later, document both contacts separately in the ROCs. For each contact, the tablet



automatically records the date, day of the week, and time of day. You will select the appropriate screening result code and enter any comments about this contact for future use by you or another FI. **Section 9.2** contains details about result codes and ROC comments.

## 4.5 Lead Letters

Prior to the start of each quarter of data collection, RTI automatically generates an introductory lead letter for each SDU with a complete mailing address in an assigned segment. A copy of the lead letter is in [Exhibit 4.1](#). These letters, along with pre-stamped, window envelopes, the Selected DU List, and your packet of segment materials, are sent to you once your FS makes the assignment.

There are several things to note about the lead letters:

- The SDUs in each segment are grouped into partitions, and may not all be assigned at one time. The last column on the Selected DU List indicates the partition to which each SDU belongs. Your FS will tell you exactly which partition(s) are assigned to you at the start of the quarter. Only prepare and mail letters for the cases assigned to you. For example, if only the Partition 1 cases are available, only send letters to the SDUs with a 1 in the last column.
- Pull the letters for your assigned partition and keep all remaining letters in case your FS assigns other partitions later in the quarter. No new letters will be generated.
- Once the correct letters have been pulled, check all addresses carefully for any without a mailable address. Do not send letters to these SDUs as they cannot be delivered.
- Only pre-addressed lead letters should be mailed to respondents. Even if the physical address can be determined prior to contacting the DU, do NOT handwrite the address on a blank lead letter and mail it.
- When you visit an SDU without a mailable address, give the residents a lead letter from your supply of generic padded letters. Do not use any of the pre-printed letters which include SDU addresses/descriptions, as this could compromise confidentiality.

About one week prior to working an area, print your first and last name **neatly** where indicated on the letters. Printing your name legibly on the letter, instead of signing it provides a name which can help you during your initial contact and gives the reader a good impression of both you and the study. Fold the letter directly below the first sentence of the first paragraph to ensure the letter fits correctly into the envelope. Place one prepared letter in each of the pre-stamped envelopes so the pre-printed address shows through the window. **Be sure the full address is visible in the window, even when the letter is shaken up and down, then seal the envelope.** (Tap the letter up and down on a flat surface to check.) Mail the letters close to the time you will be in the area (about one week before) so residents will be more likely to remember receiving them.

**Exhibit 4.1 Lead Letter**

**UNITED STATES DEPARTMENT OF HEALTH & HUMAN SERVICES**

ROCKVILLE, MD 20857



Dear Resident:

The U.S. Department of Health and Human Services is conducting a study called the National Survey on Drug Use and Health. This study asks questions about use or non-use of alcohol, tobacco and other substances. The study also asks about mental health and other health-related topics relevant for all people. Since 1971, this information has been used by local, state and national agencies for planning and providing treatment and prevention programs.

Your address was randomly chosen, through scientific methods, along with almost 200,000 others across the country. RTI International, a nonprofit organization, was selected to conduct this study. Soon, an RTI interviewer will be in your neighborhood to give you more information. The interviewer will carry an identification card like the example shown below.

First, the interviewer will ask a few general questions. Then the interviewer may ask one or two members of your household to complete the full interview. It is possible no one will be chosen to be interviewed. **If anyone is chosen and completes the full interview, he or she will receive \$30 in cash.**

By Federal law\*, the answers you give will be kept confidential and will be used only for statistical purposes.

Please share this information with any others in your household. Feel free to ask the interviewer any questions you have about this study. More information is also available on the study website at: <http://nsduhweb.rti.org> or you may contact us at

Your help is very important to this study's success. Thank you for your cooperation.

Sincerely,

National Study Director, DHHS

Image of Identification Badge

National Field Director, RTI

You will be contacted by: \_\_\_\_\_  
Interviewer Name

\*Confidentiality protected by the Confidential Information Protection and Statistical Efficiency Act of 2002 (PL 107-347)  
Authorized by the U.S. Congress as part of Section 505 of the Public Health Service Act (42 USC 290aa4)  
Approved by Office of Management and Budget (OMB Approval No. xxxx-xxxx)

## 4.6 Organizing Your Materials

You will likely develop an individual approach to organizing your project materials (see *Chapter 12*). Before going to the field, be sure you have all materials and supplies—including the segment materials—you will need for both the screening tasks as well as any interviews you will conduct with selected respondents. Carry the necessary interviewing supplies—including the laptop—with you to the door when screening so you are ready to conduct an interview on the spot.

Before you leave home, check the date and time on your tablet. If the date/time is incorrect, refer to the instructions in the *FI Computer Manual Section 3.3.1* to correct the settings.

## 4.7 Initial Approach

The confidence you display resulting from careful preparation will increase your chances of obtaining participation. Approach the door confidently, with a positive attitude and your tablet case open and displaying the Study Introduction screen. Your RTI issued photo FI ID badge must be prominently displayed. Check—and double check—you are at the address selected and the correct address is displayed at the top of the tablet screen.

Knock or ring the bell at the front door, allowing the resident time to answer. If it is not clear which door you should access, such as there is no obvious “front door,” look for and proceed to the most easily accessible entrance. However, do NOT enter a garage or go behind the DU to find a back door; this may make the resident very uncomfortable. Be respectful of the resident and never enter a dwelling uninvited.

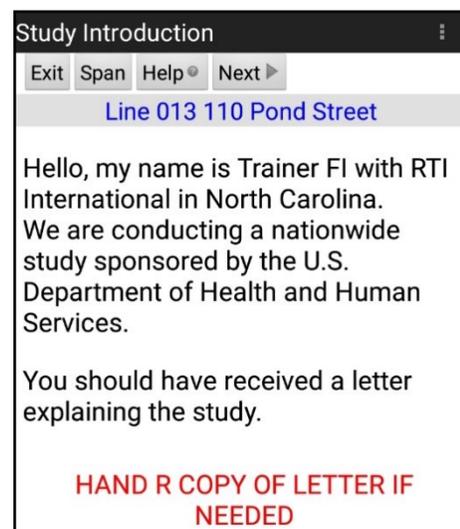
Be mindful of your surroundings when approaching a DU. Being aware and careful may help avoid accidents, unexpected encounters with animals, or potentially uncomfortable situations.

## 4.8 Your Introduction

Your introduction at the door, as shown on the tablet, is brief and clear with easily understood words so the respondent gets a general idea of what to expect from the study. The introductory screen on the tablet is shown here.

While you do not have to read this exact text, you must convey the same 4 points in your introduction. The introduction points you must include are:

- Your name
- You represent RTI International
- Sponsor is the U.S. Department of Health and Human Services
- Mention the lead letter



**NOTE: This is the ONLY tablet screen on which you can improvise and does not have to be read verbatim. All other screens must be read word for word.** The introduction screen is worded in a concise and direct manner, so consider using this text as much as possible to ensure all four required points are included. Especially for new FIs, it is suggested you read or memorize this text to cover the four points. Know what you are going to say so you can maintain eye contact. If you choose to give your introduction in your own words, be very careful not to state or imply you are with the U.S. Department of Health and Human Services or are a government employee, as this is inaccurate information.

If the respondent did not receive the letter, provide a copy as instructed on the screen. Be prepared to summarize the contents of the lead letter in your own words, if needed.

#### 4.9 Eligible Screening Respondent and Address Verification

**Beginning with this screen, you must read all text word for word.** The screen helps determine if an eligible screening respondent is available and if the address you have on the tablet is correct.

For this study, an eligible screening respondent (SR) is:

- a resident of the DU, **AND**
- an adult (age 18 or older).

Keep in mind three rules for the NSDUH:

- **SR must be age 18 or older.**

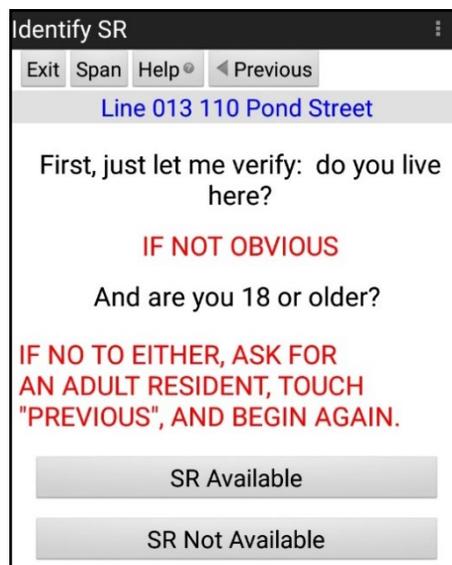
Information from a resident under the age of 18 is acceptable only when a young person is serving as the translator for an adult SR who does not speak English.

- **NSDUH is a personal visit survey.**

**All information is to be collected in-person,** not over the telephone. FIs found to be conducting telephone screenings in the past have been terminated. No telephone screenings are ever allowed.

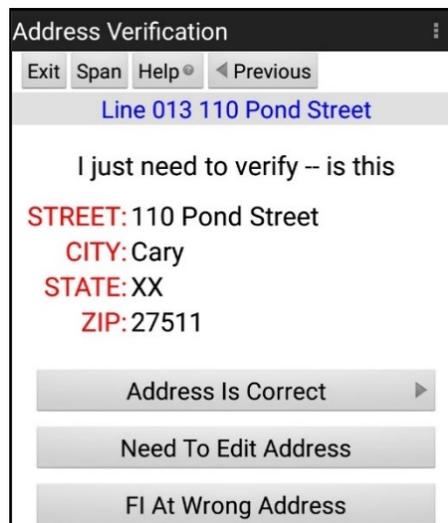
- **Answers must come from an adult member of the household.**

All responses to the screening questions must come from an adult resident of the household. Do not query neighbors for household composition, or record answers based on your observations of household members.



If an eligible screening respondent is not available, consider leaving a “Sorry I Missed You” card indicating you will return. Do not leave the card where it is easily seen from the street, as this may indicate to others the residents are away. Before you start working, discuss with your FS the practice of leaving these cards in your assigned areas. **DO NOT** leave your telephone number on this card or on any other materials left at the homes of potential respondents. This rule exists for your personal security.

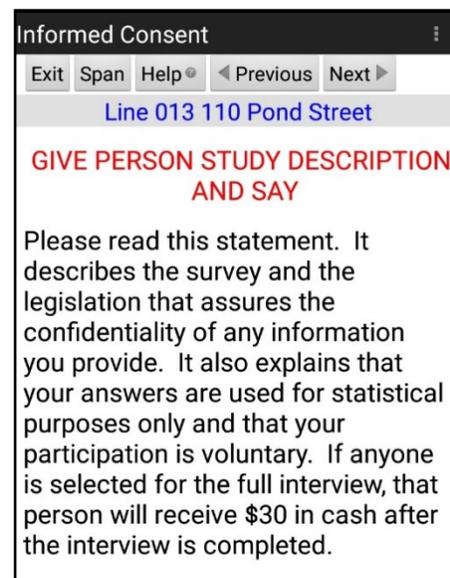
Once you are speaking with an eligible screening respondent, read the tablet script verbatim to verify with the SR that you are at the correct housing unit and have the physical address of the unit recorded accurately on the tablet.



#### 4.10 Informed Consent

Next, give the respondent a copy of the Study Description as instructed. Do not wait for the respondent to read the Study Description at that time unless the respondent specifically requests this. Rather, hand the Study Description and continue reading aloud the text on the Informed Consent screen, shown to the right.

**Never ask the respondent to return the Study Description** – the copy you provide is theirs to keep. If the respondent tries to give the Study Description back to you, politely encourage them to keep it by saying something like, “That is your copy to keep, for reference.” If the respondent still insists on returning it, you may accept it and make a note of this in the Record of Calls.



These informed consent procedures protect respondent rights and must be followed precisely at every SDU you visit.

The Study Description, as shown in [Exhibit 4.2](#), indicates:

1. The information respondents provide will be handled in the strictest confidence.
2. Their participation in the study is voluntary.

By law, each participant in the NSDUH **must** first be informed of the individual’s rights and then agree to participate based upon that knowledge. By reading the **Informed Consent** screen word for

word, and providing the Study Description for the respondent to keep as instructed, you give the respondent the information to make an informed decision about participation. (Note: the Study Description is part of the informed consent process and should be used ONLY as directed during the screening and/or interview.)

The goal of these introductory screens is to give the resident enough information to gain his or her consent so you can continue with the screening process. The tablet screens are worded carefully to provide the necessary information to the resident in a concise, direct manner. Completing these screens and following the procedures described ensures all residents are fully informed of their rights before they participate and that contact with each SDU is standardized.

Although this usually goes smoothly, there may be special situations requiring more effort on your part to be sure all respondents are fully informed. Consider the following:

- **SR cannot read:** Read the Study Description aloud to the SR.
- **SR only speaks Spanish:**
  - If you are an RTI-Certified bilingual FI, use the Spanish version of the Study Description, reading the text aloud if the person cannot read.
  - If you are NOT certified and are using a translator to obtain the screening information, read the tablet Informed Consent screen in English and allow the translator to translate for the SR. Then provide the Spanish version of the Study Description for the SR, asking the translator to read it aloud if the SR cannot read. If you are NOT an RTI-Certified bilingual FI, do NOT access or read the Spanish questions on the tablet.
  - If a translator is not available, contact your FS so a bilingual FI can handle the case.
- **SR only speaks another language other than English or Spanish:** If using a translator, read the tablet Informed Consent screen in English and allow the translator to translate for the SR. Ask the translator to translate the content of the Study Description, reading it aloud to the SR.

Additional details for handling language barriers are provided in the next section.

## Exhibit 4.2 Study Description



# Study Description

Your address is one of several in this area randomly chosen for the 20XX National Survey on Drug Use and Health. This study, sponsored by the U.S. Department of Health and Human Services, collects information for research and program planning by asking about:

- tobacco, alcohol, and drug use or non-use,
- knowledge and attitudes about drugs,
- mental health, and
- other health issues.

You cannot be identified through any information you give us. Your name and address will never be connected to your answers. Also, federal law requires us to keep all of your answers confidential. Any data that you provide will only be used by authorized personnel for statistical purposes according to the Confidential Information Protection and Statistical Efficiency Act of 2002.

The screening questions take just a few minutes. If anyone is chosen, the interview will take about an hour. You can refuse to answer any questions, and you can quit at any time. **Each person who is chosen and completes the interview will receive \$30 in cash.**

If you have questions about the study, call the Project Representative at [redacted]. If you have questions about your rights as a study participant, call RTI's Office of Research Protection at [redacted] (a toll-free number). You can also visit our project website: <http://nsduhweb.rti.org/> for more information.

Thank you for your cooperation and time.

Project Officer  
Center for Behavioral Health Statistics and Quality  
Substance Abuse and Mental Health Services Administration (SAMHSA)  
U.S. Department of Health and Human Services

Your confidentiality is protected by the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA, PL 107-347). Any project staff or authorized data user who violates CIPSEA may be subject to a jail term of up to 5 years, a fine of up to \$250,000, or both.

NOTICE: Public reporting burden for this collection of information is estimated to average 60 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, to SAMHSA Reports Clearance Officer, Paperwork Reduction Project (xxxx-xxxx), Center for Behavioral Health Statistics and Quality; Room 15E57B; 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 xxxx-xxxx, expiration date xx/xx/xx.

## 4.11 Handling Language Barriers

Occasionally, when someone answers the door, you may encounter a language barrier. If the language is Spanish and you are an RTI-Certified bilingual FI, continue with your introduction in Spanish. In other situations, follow these steps:

### **SR speaks only Spanish**

1. Try to locate another eligible SR in the DU who speaks English.
2. If that doesn't work, ask the person at the door about using another member of the household to serve as a translator for the screening questions. Most households have access to someone, often a young person, who can communicate well enough in both languages to interpret the screening questions for the Spanish speaking SR.

If the person offers, you can use a friend of the household or a neighbor as the translator. Do not suggest this, since it raises concerns about the confidentiality of the information. (*Note:* The translator is NOT the SR, but simply serving as a translator for the adult resident who is the SR.)

If you are NOT an RTI-Certified bilingual FI, under no circumstance should you access or use the Spanish translations of any screening questions. To ensure consistency across all languages, the questions must be read word for word in English to the translator. Then, the translator should provide the Spanish translation to the screening respondent. Do NOT allow translators to read the questions from the tablet in Spanish.

If you are NOT an RTI-Certified bilingual FI, but are using a translator you may show the Spanish version of the NSDUH videos to the SR as needed. If no translator is available, you are not allowed to access the Spanish version of the videos. A translator is needed so you can answer any questions the SR has after watching the video(s).

3. RTI provides a 'Spanish Card' which has this request for a translator from within the household written in Spanish (see [Exhibit 4.3](#)). Side 1 says:

Hello – I'm sorry but I don't speak Spanish. I'm here because I'm working on a nationwide health study sponsored by the U.S. Department of Health and Human Services. This study is completely confidential.

Is there someone here that speaks English? If yes, can you please ask him or her to come to the door? Thank you.

*Side 1: Explaining why I'm here—giving a brief description of the study—asking for a translator.*

At the bottom of the card is a reminder in English of the content. Show the card to the person at the door. Do NOT try to read the card out loud. (The only staff qualified to read it do not need the card.)

*Continued on the following page.*

If no one is available that speaks English, turn the card over. Side 2 says:

<p>A Spanish-speaking co-worker will be coming back to speak with you about this important study.</p> <p>What day(s) and what time(s) would you prefer that a Spanish-speaker come back to speak with you? Please circle the day(s) and time(s) of your preference. Thank you.</p>						
MONDAY <small>[Monday]</small>	TUESDAY <small>[Tuesday]</small>	WEDNESDAY <small>[Wednesday]</small>	THURSDAY <small>[Thursday]</small>	FRIDAY <small>[Friday]</small>	SATURDAY <small>[Saturday]</small>	SUNDAY <small>[Sunday]</small>
9:00 AM TO 12:00 PM		12:00 PM TO 3:00 PM				
3:00 PM TO 5:00 PM			5:00 PM TO 7:00 PM			
7:00 PM TO 9:00 PM						
<p><i>Side 2: A Spanish-speaker will be returning—what days and times are best?</i></p>						

Provide a pen for the person to circle the best days and times for a bilingual interviewer to return. Thank the person for their help.

When completing the ROC for the case, enter the marked days and times so the bilingual FI has access to the information. Then discuss the situation with your FS, so the case can be transferred.

4. As needed, continue to visit the household at different times on different days of the week to find someone that speaks English. Be sure to talk with your FS about the case.
5. Record the visit and any pertinent information in the tablet’s ROC. Note the use of a translator and their relationship to the householder or screening respondent in the ROCs.

**SR speaks another language**

1. Try to locate another eligible SR in the DU who speaks English.
2. If that doesn’t work, ask the person at the door about using another member of the household to serve as a translator for the screening questions. Most households have access to someone, often a young person, who can communicate well enough in both languages to interpret the screening questions for the SR.

If the person offers, you can use a friend of the household or a neighbor as the translator. Do not suggest this, since it raises concerns about confidentiality. (*Note:* The translator is NOT the SR, but simply serving as a translator for the adult resident who is the SR.)

3. RTI provides a card which has this request for a translator from within the household written in several other languages (see [Exhibit 4.4](#)). (See the text for Side 1 of the Spanish card for the English translation.) Included languages are:

Arabic	Korean
Chinese	Polish
French	Russian
German	Tagalog
Italian	Vietnamese

You are NOT expected to be able to choose the appropriate language for the person. Simply show the card to the person in hopes they will recognize their language on the card. If, however, you are positive you know the language of the household, point to the appropriate language as you show the card. Only point if you are certain, as guessing incorrectly may be confusing to the person.

The card has the text translated into the top 10 languages spoken at home in the United States (besides English and Spanish) according to the U.S. Census Bureau. Similar to Spanish, which includes numerous dialects from various countries, the above languages are general categories. For example, Chinese includes both the Mandarin and Cantonese dialects.

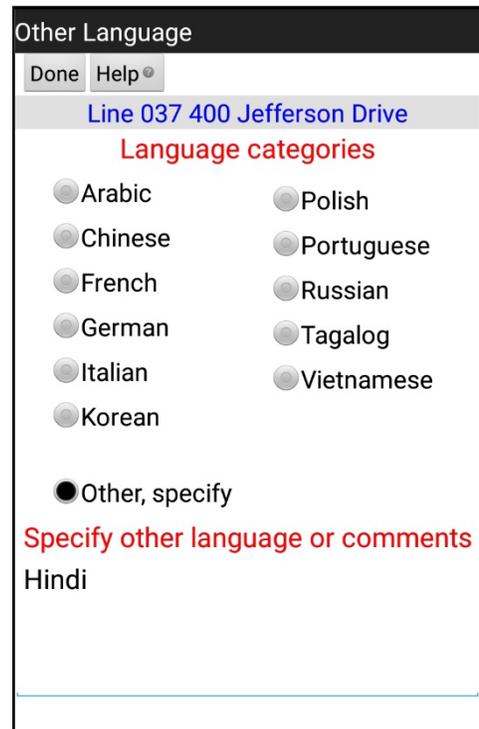
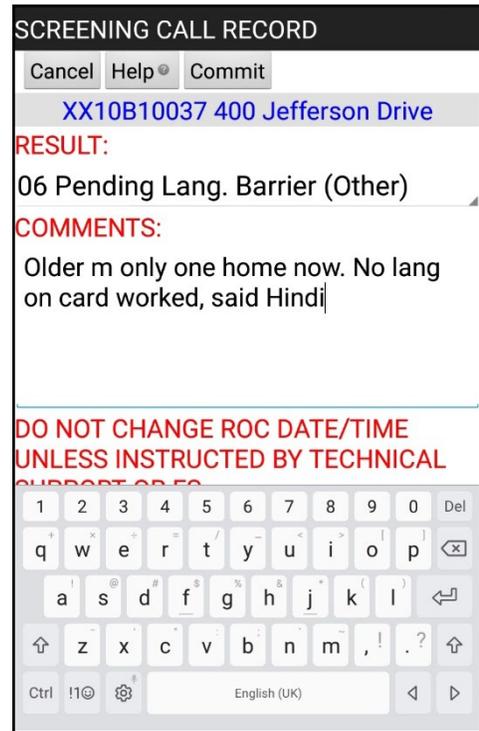
Record the visit and any pertinent information in your tablet's ROC.

Note: use a language barrier code (such as 05 or 06) if the language barrier prevented you from completing the screening. If you were able to complete the screening with another SR or through a translator, use the appropriate final screening result code.

- For pending or final other language barrier codes, when prompted by the tablet, record the language. If the SR does not indicate a language from the card and you do not recognize it, do not ask the SR, but make your best guess. If the language does not appear on the tablet, choose Other, Specify and then type the appropriate language. If you do not know, indicate that in the Specify other language or comments field. Also feel free to include any relevant comments on this screen.

- Be sure to discuss the situation with your FS.

Keep in mind your goal is to obtain accurate screening information. Remember you cannot use a translator for the interview, only for screening.



**Exhibit 4.3 Spanish Card**

Hola - Disculpe, pero yo no hablo español. Vengo a visitarlo(a) porque estoy trabajando para un estudio a nivel nacional sobre la salud, el cual es patrocinado por el Departamento de Salud y Servicios Humanos de los Estados Unidos. Este estudio es estrictamente confidencial. ¿Hay alguien aquí que habla inglés? Si es así, ¿puede pedirle a él/ella que se acerque a la puerta? Gracias.

*Side 1: Explaining why I'm here—giving a brief description of the study—asking for a translator.*

Un(a) compañero(a) de trabajo que habla español regresará para hablar con usted acerca de este estudio importante. ¿Qué día(s) y a qué hora(s) preferiría que una persona que habla español venga a hablar con usted? Por favor marque con un círculo los días y las horas de su preferencia. Muchas gracias.

LUNES	MARTES	MIÉRCOLES	JUEVES	VIERNES	SÁBADO	DOMINGO
[Monday]	[Tuesday]	[Wednesday]	[Thursday]	[Friday]	[Saturday]	[Sunday]
DE 9:00 AM A 12 DEL MEDIODÍA		DE 12 DEL MEDIODÍA A 3:00 PM				
DE 3:00 PM A 5:00 PM			DE 5:00 PM A 7:00 PM			
DE 7:00 PM A 9:00 PM						

*Side 2: A Spanish-speaker will be returning—what days and times are best?*

Exhibit 4.4 Other Language Introduction Card

## Other Language Introduction Card

### Arabic/العربية

السلام عليكم – أعتذر إليكم، فأنا لا أتكلم اللغة العربية. لقد أتيت إليكم لأني أعمل في دراسة صحية تشمل الولايات المتحدة كلها، وهي دراسة تُموّلها وزارة الصحة والخدمات الإنسانية بالولايات المتحدة، والدراسة معلوماتها مؤتمنة تماماً.  
هل يوجد أحد هنا يتكلم اللغة الإنجليزية؟ إن كان موجوداً، فهل بالإمكان أن تستدعيه إلى الباب من فضلك؟ مع جزيل الشكر.

### Chinese/中文

嗨 對不起，可是我不會說中文。我是為美國衛生及公共服務部主辦的一項全國性的健康調查而前來登門拜訪的。本調查絕對保密。

請問有人會講英文嗎？如果有的話，可以請他/她來說話嗎？謝謝。

### French/français

Bonjour — Je suis désolé mais je ne parle pas français. Je travaille sur une étude de santé à l'échelle nationale parrainée par le Département de la santé et des services sociaux des États-Unis. Cette étude est entièrement confidentielle.

Est-ce que quelqu'un parle anglais chez vous ? Si oui, pouvez-vous demander à cette personne de s'approcher de la porte ? Je vous remercie.

### German/Deutsch

Hallo – Es tut mir leid, aber ich spreche kein Deutsch. Ich bin hier, um an einer nationalen Gesundheitsstudie zu arbeiten, die vom Gesundheitswesen der USA gesponsert wird. Diese Studie ist streng vertraulich.

Gibt es hier jemanden, der Englisch spricht? Falls ja, könnten Sie ihn oder sie fragen, zur Tür zu kommen? Vielen Dank.

### Italian/Italiano

Salve – Mi scusi ma non parlo italiano. Sono qui perché lavoro ad uno studio sanitario nazionale patrocinato dal Dipartimento della Salute e dei Servizi Umani degli Stati Uniti. Questo studio è assolutamente riservato.

È presente qualcuno che parla inglese? Se sì, può chiedere a tale persona di venire alla porta? Grazie.

#### Exhibit 4.4 Other Language Introduction Card (continued)

##### Korean/한국어

안녕하세요? 죄송합니다만, 저는 **한국어**를 할 수 없습니다. 저는 미국 보건복지부에서 후원하는 전국 보건 연구팀에서 근무하고 있어 방문하게 되었습니다. 이 연구는 전적으로 기밀이 보장됩니다.

영어를 하실 수 있는 분이 여기 계십니까? 계시다면, 그 분께 문가로 나와주시도록 부탁드립니다. 주시겠습니까? 감사합니다.

##### Polish/polski

Dzień dobry. Przykro mi, ale nie mówię po **polsku**. Pracuję tutaj nad ogólnonarodowym badaniem zdrowia sponsorowanym przez Amerykański Departament Zdrowia i Opieki Społecznej. To badanie jest ściśle poufne.

Czy jest ktoś tutaj kto mówi po angielsku? Jeśli tak, czy możesz poprosić jego/ją o podejście do drzwi? Dziękuję.

##### Russian/Русский

Здравствуй! Извините, я не говорю **по-русски**. Я участвую в проведении общенационального опроса о состоянии здоровья населения, спонсором которого является Министерство здравоохранения и социального обеспечения США. Этот опрос является полностью конфиденциальным.

Есть ли здесь кто-либо, кто говорит по-английски? Если есть, не могли бы Вы пригласить его/ее подойти к двери? Спасибо.

##### Tagalog

Kumusta po – Ipagpaumanhin po ninyo, ngunit hindi ako nagsasalita ng **Tagalog**. Naririto ako dahil nagtatrabaho ako sa isang pambansang pag-aaral sa kalusugan na ini-sponsor ng Kagawaran ng Kalusugan at Mga Serbisyo sa Tao ng Estados Unidos. Ang pag-aaral na ito ay ganap na kompidensyal.

Mayroon po ba ditong nagsasalita ng Ingles? Kung oo, maaari po ba ninyong hilingin na pumunta siya dito sa pintuan? Salamat po.

##### Vietnamese/Tiếng Việt

Xin chào ông/bà– Xin lỗi, tôi không nói được **Tiếng Việt**. Tôi đến đây là để tham gia thực hiện một cuộc khảo sát về sức khỏe trên toàn quốc do Bộ Y Tế và Nhân Sinh Hoa Kỳ tài trợ. Cuộc nghiên cứu này được bảo mật hoàn toàn.

Ở đây có ai nói được tiếng Anh không? Nếu có, ông/bà có thể cho tôi gặp người đó được không? Cảm ơn ông/bà.

## 4.12 Handling Controlled Access Situations

In certain situations, there may be assigned DUs in an apartment building, a group of buildings, or an entire community which you can locate but cannot readily access the doors of the selected DUs.

This may be for many reasons, such as:

- a guard, door person, or front gate personnel
- security-coded door bells
- access codes needed to open doors or gates
- locked gates or gates with posted “no trespassing” signs
- intercoms used to announce the presence of a visitor
- key required to gain access to the entrance or doorbells.

During your segment material review, make note of any possible access situations. Usually, the person preparing the listing has already experienced and resolved or documented the access problem.

Note: Never contact a boarding school without first speaking with your FS. Specific protocols dictate the proper handling of boarding schools.

Each situation is unique. You should diligently explore every avenue possible, remaining open to methods or approaches that may vary considerably based on location. In most cases, **you should gather all relevant facts possible and complete the FI Segment Access Documentation Form (Exhibit 4.5). Prepared with the details, call your FS to discuss a plan of action.** Ongoing communication between you and your FS is vital in dealing with controlled access situations. Your FS has a copy of RTI’s “Guide to Controlled Access Situations” plus information from the project management website about controlled access situations identified during other phases of the study. Your FS can use these resources to locate additional ideas about how to gain access to problem areas.

While challenging, few of these locations are impossible to enter. FIs have been successful by carefully observing the situation, contacting the proper personnel and providing a thorough explanation of the study. Some tips that may help in gaining access include:

- First, always discuss the situation with your FS and agree on an approach.
- Always display your FI ID badge prominently.
- Carry extra copies of handouts such as the lead letter and Q&A Brochure.
- Be observant. Look for signs or plaques mentioning the name of the manager or owner of the building.
- Tell the guard or door person you are not selling anything, you are not going door-to-door, and you have specific units to visit. Explain you have sent a letter (show copy) and the individual residents were notified and may be expecting your visit. State this is not a marketing survey.

Also explain selected respondents who complete the interview are given a cash incentive. Most guards will not want to deny residents the chance to earn some extra money! However, do not reveal the actual amount of the incentive—in some neighborhoods, \$30 may not be a significant amount.

When needed, you may give the guard or door person a Door Person Letter ([Exhibit 4.6](#)). This letter provides general information regarding the study and the reason for your visit, and reiterates you are not selling anything. It also provides contact information if the door person wants to verify your legitimacy. This letter should be used to support or supplement your conversations with a guard or door person, not replace it. If your assignment has SDUs in gated or locked buildings or communities that would benefit from using this material, your FS will order a pad of Door Person Letters for you.

Additionally, a Doorperson card is available (shown at right) if the doorperson needs guidance in speaking with the resident about your presence. If you feel this card would benefit you, speak with your FS.

(NAME) with RTI International is here to see you regarding a letter you recently received about a nationwide study being conducted for the U.S. Department of Health and Human Services.

(He/She) just needs a few minutes of your time. May I admit (him/her)?

*(If necessary)* When would be a better time for (NAME) to stop by?

- **Be persistent.** Do your absolute best to gain entry during your initial visits. Sometimes as more time goes by, the situation becomes more challenging. The guard may ask a supervisor about you without allowing you to present your story or may become more stubborn about not allowing you to do your job.
- If it becomes necessary to speak to a manager or owner, emphasize how important the survey is and RTI has strict rules about privacy and confidentiality. Tell the manager the interview is voluntary and you will give the respondent the opportunity to make an informed decision about participating in the study.
- If necessary, ask your FS to send a letter to the management of the location explaining your visit and asking for their cooperation. The FS might find it necessary to contact a housing board or association in person. Copies of the available Controlled Access Letters are included in **Appendix B**.
- An informative video can also be sent by FS request.
- In attempting to gain access to the property, ALWAYS be respectful of and comply with applicable federal, state and local property laws, including trespassing laws. Do not attempt unlawful measures to enter a property [ex: climbing fences, etc.].

In addition, a helpful chart with suggestions for dealing with a variety of controlled access situations can be found in [Exhibit 4.7](#).

**Exhibit 4.5 FI Segment Access Documentation Form**

**NSDUH  
FI SEGMENT ACCESS DOCUMENTATION FORM**

Segment ID# \_\_\_\_\_ Quarter \_\_\_\_\_ Date \_\_\_\_\_  
City/Town \_\_\_\_\_ County \_\_\_\_\_  
FI Name \_\_\_\_\_ FI Gender: M F  
FS Name \_\_\_\_\_ FS Gender: M F  
RS Name \_\_\_\_\_ RD Name \_\_\_\_\_

**Phase: C/L** (Notify your FS if you did not physically list any portion of the segment. You MUST receive approval prior to sending a Blind List segment back to RTI.)

Date FS provided Blind List approval \_\_\_\_\_  
If Addresses Obtained, Lines Affected (From List of DU Form) \_\_\_\_\_  
Materials provided to assist with the Blind Listing (if applicable) \_\_\_\_\_  
Materials provided by \_\_\_\_\_

**Phase: S/I** (Notify your FS if segment was Blind Listed at C/L)

Exact No. of Unactivated SDUs in CA Situation \_\_\_\_\_  
Exact No. of Pending Screenings in CA Situation (only include activated SDUs) \_\_\_\_\_  
Exact No. of Pending Interviews in CA Situation \_\_\_\_\_

**DU Type**

\_\_\_\_\_ Single Family DU \_\_\_\_\_ Apartment Complex/Community/Development  
\_\_\_\_\_ College/University \_\_\_\_\_ Military Base  
\_\_\_\_\_ Boarding School \_\_\_\_\_ Shelter

**Type of Situation (check all that apply)**

_____ Apartment Building (garden style)	_____ Locked Building
_____ Apartment Building (high rise)	_____ Locked Gate
_____ Gated Community	_____ Security System
_____ Retirement Community	_____ No Trespassing Signs
_____ Assisted Living Center	_____ Front Desk Attendant
_____ Job Corps Facility	_____ Building Without Attendant
_____ Halfway House	_____ Intercom/Buzzer with Labels
_____ Drug Treatment Facility	_____ Intercom/Buzzer without Labels
_____ Home for mentally/physically challenged	_____ On-site Manager
_____ College/University	_____ Off-site Manager
_____ Boarding School	_____ Weather
_____ Military Base	_____ Bad Road
_____ Shelter	_____ Guard Dogs
	_____ Other, Specify _____

**Complete Name of Property** (*apartment complex, community, development, etc.*):

**Demographics of Population** (*include age, race and income level of community*):

**Exhibit 4.5 FI Segment Access Documentation Form (continued)**

**SEGMENT ID:** \_\_\_\_\_

**Description of Situation** (include type of situation, contact with management or residents to date, method of contact, and dates of contact): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Contact Information** (if for college/university or military base, see below):

Name of Contact Person \_\_\_\_\_

Title of Contact Person \_\_\_\_\_ Gender: M F

Phone number \_\_\_\_\_ Fax Number (if applicable) \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Specific Concerns of Contact Person/Management/Respondent (*describe their concerns*): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**College/University/Boarding School**

Name of Contact Person \_\_\_\_\_ Gender: M F

Title of Contact Person \_\_\_\_\_ Ph.D.: Y N

Full Name of School \_\_\_\_\_

Types of Facilities Involved (dormitories, fraternities, student apartments) \_\_\_\_\_  
\_\_\_\_\_

Complete Names of Facilities Involved (*example: Cox Hall*) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Number of Selected Rooms in Each Facility \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone Number \_\_\_\_\_ Fax Number (if applicable) \_\_\_\_\_

**Military Base:**

Branch (circle one): Air Force Army Coast Guard Marines Navy

Name of Contact Person \_\_\_\_\_

Rank (if active duty) \_\_\_\_\_ Gender: M F

Title of Contact Person \_\_\_\_\_

Full Name of Base \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone Number \_\_\_\_\_ Fax Number (if applicable) \_\_\_\_\_

## Exhibit 4.6 Door Person Letter

**UNITED STATES DEPARTMENT OF HEALTH & HUMAN SERVICES**

ROCKVILLE, MD 20857



Dear Building Representative:

To better serve all people across the nation, the U.S. Department of Health and Human Services (DHHS) is conducting an important national study on health-related issues. RTI International, a nonprofit research organization, is under contract to carry out this study for the DHHS.

A selected number of households within this building have been chosen at random to participate in this study. We are requesting your assistance in contacting only those specific households.

We understand your responsibility to protect the residents of this building and want to provide some important information about the study:

- We are not selling anything. This is not a marketing survey.
- A limited number of household addresses were randomly chosen to take part in this study. We do not have any other information about the residents other than their address.
- The selected households should have already received a letter indicating that an RTI interviewer will be visiting their address.
- The RTI interviewer only needs a few minutes of the residents' time to see if someone in the household will be asked to participate in an interview.
- If selected, those completing the interview will receive a cash incentive.
- The RTI interviewer should have already shown you his/her personal identification badge (an example is shown below). If not, please ask to see it.

Feel free to ask the interviewer any questions you have about the study. Additional information can be accessed on the study website at <http://nsduhweb.rti.org> or you may contact a study representative anytime Monday through Friday between 9:00 a.m. and 5:00 p.m. (Eastern Time) at

Your assistance is extremely important to the success of this study, and we thank you in advance for your help.

Sincerely,

**Interviewer badge example:**

Image of Identification Badge

National Study Director, DHHS

National Field Director, RTI

## Exhibit 4.7 Controlled Access Issues and Possible Solutions

Controlled Access Type	Potential Issues	Possible Solutions
<b>Locked/Gated Community</b>	Management/ Board denies access	See Guard section.
	Wall around community, or behind protective gate without a guard, keypad access only, no on-site personnel, no security or management info posted	<ol style="list-style-type: none"> <li>1. Review the segment materials to see how the lister gained access (or check with FS if this information is not available)</li> <li>2. Search for alternate entrances, walk thru gates, service entrances, golf cart path</li> <li>3. Go through the gate at the same time as someone else if there is no indication that this is illegal and you're comfortable doing this (talk with FS first)</li> <li>4. Park outside community and walk in if there is no indication that this is illegal and you're comfortable doing this (talk with FS first)</li> <li>5. Look online for website or talk with FS to locate community information, management contact</li> </ol>
	Only one car can get through entrance per time and needs code to get in or out	<ol style="list-style-type: none"> <li>1. Review the segment materials to see how the lister gained access (or check with FS if this information is not available)</li> <li>2. Search for alternate entrances, walk thru gates, service entrances, golf cart path</li> </ol>
<b>Municipal Areas</b>	Must register with City/County Gov't to work OR Must get a permit to work area and permit limits hours	<ol style="list-style-type: none"> <li>1. Speak with FS and follow registration process</li> <li>2. Speak with FS to gain permit to work area</li> <li>3. Carefully plan work hours to make the most out of the time your permit allows you to be in area</li> </ol>
<b>Guard (Apartment Buildings, High Income Neighborhood etc.)</b>	Can't get past guard	<ol style="list-style-type: none"> <li>1. Show Authorization Letter</li> <li>2. Advise guard that residents have been informed you are coming, may have appointments. Give Doorperson Letter</li> <li>3. Go back when a different guard is on duty</li> <li>4. Build rapport, make them feel important</li> <li>5. Have your hands full so they may not stop you</li> <li>6. Look like you belong, dress professionally, wave and smile when walking or driving in</li> <li>7. Ask guard for the name of their supervisor or someone else you can talk to</li> </ol>
	Guard says you need to talk to management	<ol style="list-style-type: none"> <li>1. Gather all contact information for FS</li> <li>2. Give Doorperson Letter</li> <li>3. Discuss with FS (do not contact building management directly)</li> <li>4. Determine if you can make direct contact with a resident who will grant you access</li> </ol>
<b>College/ Student Housing</b>	Housing Director (or other administrator) won't allow access	<ol style="list-style-type: none"> <li>1. Review the situation with FS before visiting</li> <li>2. Talk with FS about meeting with Housing Director/administrator to explain the study</li> <li>3. Have Housing Director (or designee) escort you to the SDUs</li> <li>4. Set up screenings/interviews in common area with specified dates/times for meetings (talk with FS first)</li> </ol>

**Exhibit 4.7 Controlled Access Issues and Possible Solutions (continued)**

Controlled Access Type	Potential Issues	Possible Solutions
<p><b>Intercoms/ Buzzers (Locked Buildings, SDUs, etc.)</b></p>	<p>No labels, names or numbers on intercom/ buzzer</p>	<ol style="list-style-type: none"> <li>1. Ask someone if you can walk in with him/her (talk with FS first, do not mention study name/subject)</li> <li>2. Try to find out when mail carrier comes</li> <li>3. If you've completed a screening or interview, try to get back in touch with that person to gain entrance again</li> <li>4. Look online for website to locate additional information, such as a management contact, numbering system, vacant apartments, open houses, etc.</li> <li>5. Once you gain access to the building, stay in until your work is done</li> <li>6. Buzz units at random to try to determine if it is a selected DU</li> <li>7. Be pleasant, brief &amp; articulate. You may not have a lot of time speaking on intercom. <i>"I'm here on official business. This is not a solicitation or a marketing survey. This is a very important health study with far-reaching ramifications for the entire country."</i></li> <li>8. Try to get SR to let you in or meet in lobby. <i>"My name is...,with RTI International. You should have received a letter from the U.S. Department of Health and Human Services with my name on it. I'm in the lobby now and have a few quick questions for you. If it's convenient, I can come up now so we can talk about the letter or I can meet you in the lobby. I'll be happy to wait until you can join me."</i> OR <i>"How would you like me to set this up? I can either meet you in the lobby or I can come up to your door. Whichever is most convenient for you."</i></li> </ol>
	<p>No intercom, but has buzzer for each unit. No one answers buzzer at the SDU</p>	<ol style="list-style-type: none"> <li>1. Ask someone if you can walk in with him/her (talk with FS first, do not mention study name/subject)</li> <li>2. Try visiting in the early morning or between 5-6pm (talk with FS first)</li> <li>3. Speak with neighbor to see what time residents get home and go then (do not mention study name/subject)</li> <li>4. After talking with FS, try to get in touch with building management to find out which units are not occupied</li> </ol>
	<p>No working intercom/buzzer</p>	<ol style="list-style-type: none"> <li>1. Have a friendly interaction with residents in hopes they will allow you access (talk with FS first and do not mention study name/subject)</li> <li>2. Visit after school or work</li> <li>3. Enter good ROCs with information gathered from residents</li> <li>4. Try other doors/alternate entrances</li> <li>5. Seek out mail carrier</li> <li>6. Once you gain access to the building, stay in until your work is done</li> </ol>
	<p>Video Doorbells (RING, NEST, etc.)</p>	<ol style="list-style-type: none"> <li>1. Be prepared when approaching the door; keep in mind they may be watching you before you realize (and as you leave)</li> <li>2. Ring the bell, then step back (so the R is better able to see you)</li> <li>3. Introduce yourself and indicate you are following up on a letter. Show the lead letter (to the camera, doorbell, etc.)</li> <li>4. Inform them you have a few questions to ask in-person</li> </ol> <p>NOTE: You are <b>NOT</b> allowed to complete the screening using a video doorbell; screenings must be conducted in person so you can give the respondent a Study Description.</p>

**Exhibit 4.7 Controlled Access Issues and Possible Solutions (continued)**

<b>Controlled Access Type</b>	<b>Potential Issues</b>	<b>Possible Solutions</b>
<b>Unguarded Gate</b>	No one answers buzzer at the SDU/ neighborhood gate.	<ol style="list-style-type: none"> <li>1. Review the segment materials to see how the lister gained access (or check with FS if this information is not available)</li> <li>2. Try visiting in the early morning or between 5-6pm (talk with FS)</li> <li>3. Speak to neighbor to see what time residents get home and go then (do not mention study name/subject)</li> <li>4. Ask someone if you can walk in with him/her (talk with FS first, do not mention study name/subject)</li> <li>5. Try to find out when mail carrier comes (if neighborhood)</li> <li>6. Look online for website to find management contact, open houses (if neighborhood). Discuss with FS (do not contact management directly)</li> <li>7. Once you gain access to neighborhood, stay in until your work is done</li> </ol>
<b>Dogs/Animals</b>	Can't get out of car due to loose dog/animals	<ol style="list-style-type: none"> <li>1. Honk horn, loudly but nicely say "Hello!" from car, smile and wave</li> <li>2. Try back another time and enter good notes in ROCs</li> <li>3. Check with neighbor to find out when resident gets home and try back then (do not mention study name/subject)</li> </ol>
<b>Dangerous Roads</b>	Can't access DU because of dangerous/ washed out road	<ol style="list-style-type: none"> <li>1. Honk horn</li> <li>2. Try back another time and make good notes in ROCs</li> <li>3. Check with neighbor to find out more information about the situation (do not mention study name/subject)</li> <li>4. Check with mail carrier to see if anyone lives in area</li> </ol>

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## CHAPTER 4 MAIN IDEAS

### Contacting Dwelling Unit Residents

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 4-1: The first steps you will always take when contacting DUs will be done at home: organizing your materials and planning your work. You **MUST** be available to work when respondents are usually home, **primarily evenings and weekends**.
- Page 4-2: The entire screening process, from when you are locating a DU to asking specific screening questions, is coordinated with your handheld computer, the tablet.
- Page 4-3: You will prepare and send a lead letter to each SDU (with a mailable address) in the released partition in your assignment prior to beginning work in an area. The purpose of this letter is to introduce you as a professional interviewer who will be visiting their home in regards to an important national study.
- Page 4-5: When introducing yourself at the door, your approach should be friendly and professional using concise and clear language that covers the four required points (or read the Study Introduction screen word for word).
- Page 4-6 & 4-7: After your introduction, three important steps are necessary to begin the screening: 1) locating an eligible screening respondent (an adult resident), 2) verifying the address, and 3) providing informed consent information.
- Page 4-7: When prompted on the Informed Consent screen, give the respondent a copy of the Study Description to read and to keep. Read aloud from the text on the tablet Informed Consent screen. These informed consent procedures protect respondent rights and must be followed precisely at every SDU you visit.

## **QUESTIONS TO ASK YOURSELF**

1. When you have a sufficient number of cases to work (such as at the beginning of a quarter), what is the absolute minimum number of hours you should spend in the field on each trip (not including travel time)?
2. In general, what time periods during the week are usually the most productive?
3. Where are all of the SDUs in your segment listed?
4. Build Case ID numbers from the following information.  
  
*The DU:           is located in Ohio in segment 13B0.  
                      is an HU listed at line number 184.*  
  
*The DU:           is located in segment 09B2 in Georgia.  
                      is an HU listed at line number 072.*
5. Who mails the lead letters to SDUs with mailable addresses?
6. When should lead letters be mailed?
7. What entry do you make on each lead letter before it is mailed?
8. Your FS assigns you all the Partition 1 SDUs in a segment. For which SDUs do you prepare lead letters?
  - a. all SDUs on the Selected DU List.
  - b. all SDUs in Partition 1 on the Selected DU List.
  - c. all SDUs in Partition 1 on the Selected DU List that have a mailable address.
9. What are the two main points of the Study Description?

## 5. OBTAINING PARTICIPATION

### 5.1 Introduction

Obtaining the trust and participation of a respondent to complete a screening or interview requires careful preparation. Displaying confidence, knowing the study and protocols, and being comfortable with the equipment will greatly increase your chances of success. This chapter presents some techniques handed down from experienced field interviewers and survey experts to deal with reluctant respondents: being prepared and professional, listening to what a respondent is really saying, and correctly addressing a respondent's concerns—sometimes before they have been raised.

### 5.2 Tools for Obtaining Participation

#### 5.2.1 Lead Letter

As mentioned in *Chapter 4*, before you begin working in an area, you must mail a lead letter to each assigned SDU. You have an additional supply of non-addressed lead letters to hand to residents who either do not remember receiving the letter or did not receive one because of an insufficient or incorrect mailing address. Remember, **do not leave lead letters at any SDU door—blank or addressed**. Blank lead letters are to be used during screening if needed.

#### 5.2.2 RTI Issued Photo FI ID Badge

Each FI working on this study is issued a photo identification badge (see [Exhibit 5.1](#)). Remember: you **must** always wear your FI ID badge when working on NSDUH. Wearing your badge helps potential respondents verify who you are and your legitimacy as a professional interviewer on NSDUH. Be sure your badge is prominently displayed as you knock on the door of an SDU. Maintain your badge's appearance. If your badge looks worn from use, request another from your FS.

#### Exhibit 5.1 RTI Issued Photo FI ID Badge

### 5.2.3 SAMHSA FI Authorization Letter

You also have a personal identification letter provided by SAMHSA, the sponsor of the study, formally authorizing you to work on NSDUH for RTI International (see [Exhibit 5.2](#)). Show this to respondents or others who question your legitimacy as an interviewer.

### 5.2.4 The Q & A Brochure

The Q&A (Question and Answer) Brochure (see [Exhibit 5.3](#)) provides a reference to the study, including answers to commonly asked questions. You will have copies to give when asked for additional information or to leave if a respondent is not available when you visit. **You are required to give a brochure to each adult interview respondent or parent or guardian of a youth respondent** (see [Section 8.11.2](#)). It is imperative you review and learn the information contained in the brochure. You must be able to reference these details and discuss them in your own words when speaking with respondents.

### 5.2.5 NSDUH Information

You will also have various handouts referencing NSDUH data to offer respondents. You may simply show these to interested or hesitant respondents who wish to see how the information are used, or you may give copies to respondents to keep. These materials include:

- Highlights from the study (see [Exhibit 5.4](#))
- Short Reports—relevant news briefs based on NSDUH facts
- News articles featuring NSDUH data
- “Who Uses the Data?” handout (see [Exhibit 5.5](#))
- RTI/SAMHSA Fact Sheet

It is critically important the screening and interviewing process be standardized so all FIs must have the same materials available. Do not supplement your supply of handouts with information you may find on the internet or from local publications.

In the fall, around the time of the SAMHSA release of the study results from the previous year, RTI staff search for interesting, unbiased articles to use nationally the next survey year. If you wish, send any interesting articles you may find to your FS, who will forward them to RTI for the appropriate review/approval/copyright investigation process before those articles can be shared with respondents.

If you are ever contacted by government officials or the news media for an interview, contact your FS who will pass along the information. Regional Directors and the National Field Director will work with SAMHSA to respond to the request.

Do not reference your NSDUH work or any respondent interactions on social media (i.e. blog posts, Facebook, Twitter, Snapchat, Instagram etc.), as this violates confidentiality. Refer to [Section 2.5](#) for more information on confidentiality and refer to your employment materials for more details.

**Exhibit 5.2 SAMHSA FI Authorization Letter**



**DEPARTMENT OF HEALTH & HUMAN SERVICES**

Substance Abuse and Mental  
Health Services Administration

Rockville, MD 20857

January - December 20XX

To Whom It May Concern:

This letter certifies that «Fname» «Lname» is a representative for the National Survey on Drug Use and Health, sponsored by the Substance Abuse and Mental Health Services Administration (SAMHSA). RTI International, a nationally recognized research organization with headquarters in Research Triangle Park, North Carolina, is under contract to the Federal Government to perform all data collection activities associated with the survey (DHHS Contract Number: HHSS283201700002C).

If you need additional assurance that «Fname» «Lname» is a legitimate RTI representative assigned to this government sponsored study, please contact \_\_\_\_\_, National Field Director, at \_\_\_\_\_, or the National Study Director at \_\_\_\_\_, between 9:00 AM and 5:00 PM ET, Monday through Friday.

Thank you for your cooperation.

Sincerely,

National Study Director,  
Center for Behavioral Health Statistics and Quality

## Exhibit 5.3 Question and Answer Brochure

### Answers to your questions



# National Survey on Drug Use and Health



Sponsored by the U.S. Department of Health and Human Services and the Substance Abuse and Mental Health Services Administration. Conducted by RTI International.

RTI International is a trade name of Research Triangle Institute. v.01.18

### What Is the National Survey on Drug Use and Health?

The National Survey on Drug Use and Health (NSDUH) provides up-to-date information on alcohol, tobacco, and drug use, mental health and other health-related issues in the United States. NSDUH is directed by the Substance Abuse and Mental Health Services Administration (SAMHSA), part of the U.S. Department of Health and Human Services (DHHS). The study is being conducted by RTI International, a nonprofit research organization.

NSDUH began in 1971 and is conducted every year. This year almost 70,000 people from across the United States will be interviewed for this important study.

Information from NSDUH is used to support prevention and treatment programs, monitor substance use trends, estimate the need for treatment facilities and assist with the creation of government policy.



If you have more questions about NSDUH, please call [redacted] or visit our Web site at <http://nsduhweb.rti.org>

For more information on SAMHSA or RTI International, contact:

NSDUH National Study Director  
SAMHSA  
Center for Behavioral Health  
Statistics and Quality  
5600 Fishers Lane, Room 15E09A  
Rockville, MD 20857  
[www.samhsa.gov](http://www.samhsa.gov)

NSDUH National Field Director  
RTI International  
3040 Cornwallis Road  
Research Triangle Park, NC 27709  
[www.rti.org](http://www.rti.org)

## Exhibit 5.3 Question and Answer Brochure (continued)

# Answers to Your Important Questions about the National Survey on Drug Use and Health

### Why Should I Participate?

You are important! Your household was one of only a few in this area selected for this study, and no other household or person can take your place.

Every person who is chosen and completes the full interview will receive \$30 in cash at the end of the interview in appreciation for their help.

If chosen for an interview, you will represent the residents of your community and help us gather important information that is needed to make sound policy decisions.

Your participation also provides vital information to researchers and local, state and federal agencies to design education, treatment and prevention programs and receive funding to support these efforts.

### What if I Do Not Smoke, Drink or Use Drugs?

In order to know the percentage of people who smoke, drink or use drugs, we also need to know how many people do not.

The responses of people who do not use these substances are just as important as the responses of people who do.

While some questions ask about drug knowledge and experience, other questions ask about a number of health-related topics relevant for all people. You do not need to know anything about drugs to answer the questions.

### How Was I Chosen?

Household addresses, not specific people, are randomly selected through scientific methods. Once a household has been selected, it cannot be replaced for any reason. This assures that NSDUH accurately represents the many different types of people in the United States.

A professional RTI interviewer will visit your household to ask several general questions that only take a few minutes to answer. Afterwards, one or possibly two members of your household may be asked to complete the full interview. It is possible that no one in your household will be chosen for the interview.



### What Will Happen During the Interview?

An interviewer will conduct the interview with each selected person using a laptop computer. No prior computer skills are necessary.

Participants will answer most of the interview questions in private, entering their responses directly into the computer. For other questions, the interviewer will read the questions aloud and enter the participant's responses into the computer.

The interview takes about one hour to complete. Persons who complete the full interview will receive \$30 at the end of the interview as a token of our appreciation.

All information collected for this study will be kept confidential and used only for statistical purposes, as required by federal law – the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA).

### What Is the Substance Abuse and Mental Health Services Administration?

SAMHSA is an agency in the U.S. Department of Health and Human Services (DHHS).

SAMHSA was created to improve the lives of people with or at risk for mental and substance use disorders.

NSDUH is used to help this mission by gathering data on substance use, problems related to substance use, and mental health problems in the United States. The numbers of people who use various substances, or have problems related to substance use or mental health, are important for planning treatment and prevention services.

SAMHSA selects a qualified survey research organization to administer NSDUH.

RTI International, a nonprofit research organization, is under contract with SAMHSA to conduct NSDUH.

*Your household has been chosen at random, but no one else can take your place. Your participation matters!*

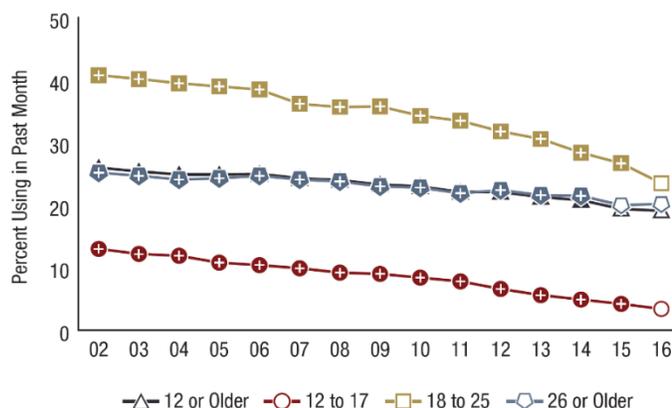
## Exhibit 5.4 Highlights from the Study

# *SELECTED HIGHLIGHTS* from the *20XX National Survey on Drug Use and Health*

### Tobacco Use

- An estimated 51.3 million Americans reported current use (during the past month) of cigarettes in 2016, which is 19.1 percent of the population aged 12 and older. Of these, 29.7 million were daily cigarette smokers.
- The graph to the right illustrates past month cigarette use among people age 12 or older.

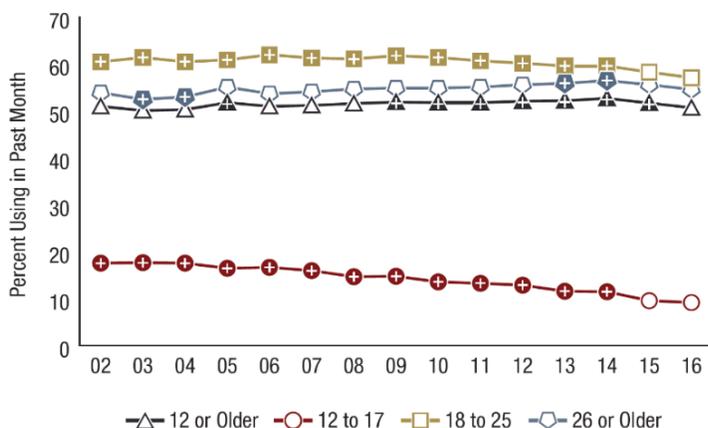
Past Month Cigarette Use among People Aged 12 or Older, by Age Group: Percentages, 2002 – 2016



+ Difference between this estimate and the 2016 estimate is statistically significant at the .05 level.

### Alcohol Use

Past Month Alcohol Use among People Aged 12 or Older, by Age Group: Percentages, 2002 – 2016



+ Difference between this estimate and the 2016 estimate is statistically significant at the .05 level.

- Slightly more than half of all Americans age 12 or older, 50.7 percent or an estimated 136.7 million persons, were current drinkers in the 2016 survey, which is lower than the 138.3 million persons (51.7 percent) reported in 2015. The graph on the left displays past month alcohol use by age group.
- Although consumption of alcoholic beverages is illegal for those under 21 years of age, 19.3 percent of this age group (7.3 million) were current drinkers in 2016.

### Illicit Drug Use

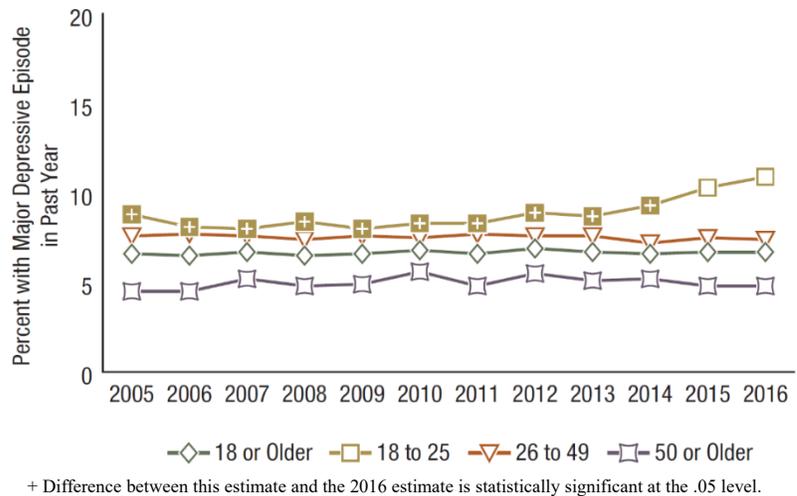
- An estimated 28.6 million Americans were current users of illicit drugs in 2016, meaning they used an illicit drug at least once during the 30 days prior to the interview. This estimate represents 10.6 percent of the population 12 years old or older.
- Marijuana is the most commonly used illicit drug, with an estimated 24.0 million current users, or 8.9 percent of the population 12 years old or older, which is higher than the 2015 rate of 8.3 percent. In 2016, an estimated 6.2 million (2.3 percent) misused prescription-type psychotherapeutic drugs in the past month.

## Exhibit 5.4 Highlights from the Study (continued)

### Mental Health

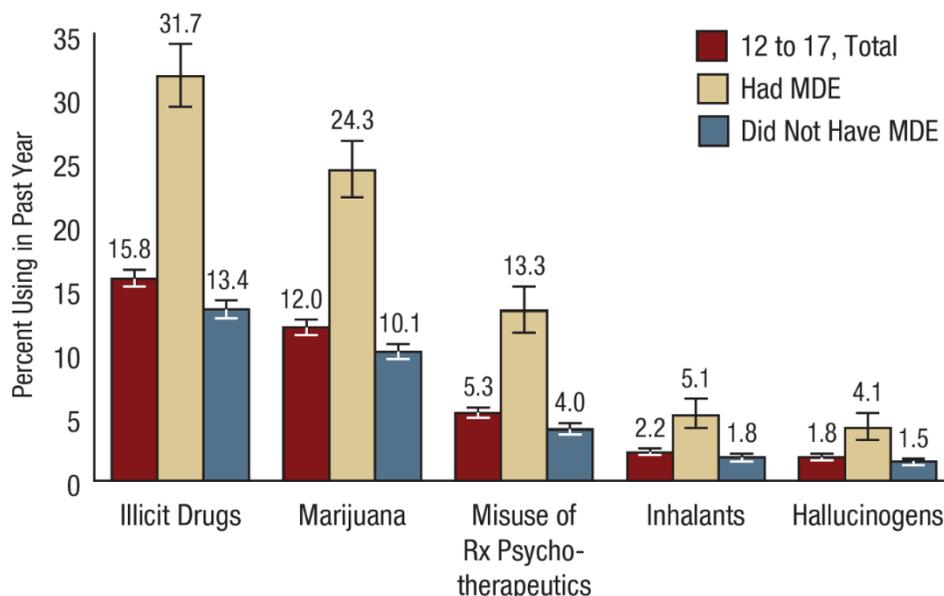
- In 2016, an estimated 16.2 million adults, or 6.7 percent of the population aged 18 or older, had at least one major depressive episode (MDE) in the past 12 months. Among adults, the percentage having MDE in the past year varied by age, as shown in the graph to the right.

Major Depressive Episode in the Past Year among Adults Aged 18 or Older, by Age Group: Percentages, 2005 – 2016



- Adolescents aged 12 to 17 with past year MDE were more likely than those without MDE to have used an illicit drug in the past year (31.7 vs. 13.4 percent). Youths with past year MDE were more likely to be users of illicit substances, as shown in the graph below.

Past Year Illicit Drug Use among Youths Aged 12 to 17, by Past Year Major Depressive Episode (MDE) Status: Percentages, 2016



Substance Abuse and Mental Health Services Administration. (2017). *Key Substance Use and Mental Health Indicators in the United States: Results from the 2016 National Survey on Drug Use and Health* (HHS Publication No. SMA 17-5044, NSDUH Series H-52).

## Exhibit 5.5 Who Uses the Data?

# National Survey on Drug Use and Health WHO USES THE DATA?

- The **White House Office of National Drug Control Policy** (ONDCP) uses the data to track progress toward goals in the National Drug Control Strategy.
- The **Substance Abuse and Mental Health Services Administration** (SAMHSA), an agency in the U.S. Department of Health and Human Services (DHHS), prepares statistical reports on substance use patterns and trends.
- **SAMHSA** uses the data to identify populations and geographic areas with particular substance abuse problems so that federal resources can be used efficiently for prevention and treatment programs.
- The **Partnership for Drug-Free Kids (formerly, The Partnership for a Drug-Free America)** uses the data to design media advertising campaigns for the prevention of substance use and abuse.
- Based on the trends and patterns of substance use evident in the data, the **National Institute on Drug Abuse** (NIDA) develops research programs targeted toward populations and types of drug use problems where the need is greatest.
- **University-based researchers** use the data to conduct research on important substance use issues, such as the risk and protective factors associated with substance use, personal and societal consequences of substance use, and the impact of policy decisions for dealing with the substance abuse problem.
- **Substance abuse agencies at the state and local level** use the data to assess the potential need for treatment services and to design programs that fit the needs of populations served.
- **State and local health departments** use the data to assess area substance use problems and to develop appropriate funding strategies and prevention measures.
- The **U.S. Department of Education** uses the data to inform drug use prevention and education programs and provide educational materials for teachers and administrators.
- The **U.S. Department of Transportation** uses the data on driving after alcohol and illicit drug use to develop prevention programs and materials on impaired driving.
- The **Office on Smoking and Health**, a part of the Centers for Disease Control and Prevention (CDC), uses the data to study trends and patterns in youth tobacco use and to develop strategies for reducing youth tobacco use.
- **Newspaper, television, and radio reporters** use the data in their stories on substance use and abuse.

*For additional information on these organizations and their use of NSDUH data, please visit <http://nsduhweb.rti.org> and click on the "Who Uses NSDUH Data" link.*

## 5.2.6 A Prepared and Professional Interviewer

The single most important tool for obtaining cooperation is YOU! A knowledgeable, organized FI who behaves in a professional manner at all times is the best option to convince the most hesitant respondent to participate. It is also important to make a positive impression on everyone you contact while working, not just potential respondents. Keep in mind the following tips for making a good first impression:

- Wear your FI ID badge prominently.
- Step back when the respondent opens the door.
- Smile and make eye contact with the respondent immediately.
- Maintain a positive mental attitude.
- Be, look, and act professional.
- Be genuine.
- Let the respondent know the worth and importance of the study.
- Let the respondent know of his or her value and importance to the study.
- Listen for keywords in any respondent objection and react accordingly.
- Be assertive, not aggressive. Have a positive presentation.
- Observe the surroundings.
- Follow the script on the tablet, but make eye contact with the respondent.
- Emphasize the address, not the individual, was chosen.

## 5.3 Importance of Interviewer Style

Your appearance and delivery style establish an initial impression that can either alienate a respondent or encourage cooperation. Your manner must be flexible to allow you to adapt to the situation. Consider the basic elements of a professional approach:

- Show proper identification and supporting documentation.
- Display a thorough knowledge of the purpose of the project and its materials.
- Deliver a courteous straightforward presentation.
- Convey respect for the respondent.

Always be professional, but also attempt to “fit in” to the neighborhood by dressing in a manner appropriate for the area. The goal is to reduce respondent suspicion.

Good rapport is one of the most important tools for an interviewer. Rapport is established by being sensitive to the respondent and the respondent’s living situation. During conferences with your FS, discuss your approach to cases you have not completed and attempt to define the potential respondent’s reaction. *Be aware of how the respondent is reacting to you.* Your goal is to learn to predict and even

modify respondent reaction. Once you can do this, you will be better able to appropriately counter respondent objections and be more successful in obtaining cooperation.

An abrasive manner is not desirable or acceptable. Although an aggressive interviewer might “bully” respondents into participation, this tactic is inappropriate, unethical and unprofessional and is not acceptable for use on NSDUH under any circumstance.

An interviewer who is too passive will be unsuccessful. Passivity conveys a lack of confidence or commitment. This attitude will not motivate neutral or uninterested respondents. You must “win over” such respondents and convince them of the importance of both the study and their participation. To do this effectively, you must be thoroughly convinced of the importance of the work. If you are not convinced of the project’s validity and importance, the respondent will likely not be convinced either.

#### **5.4 Explaining the Survey and Answering Questions**

The screening introduction gives potential respondents a general idea of what to expect. Many people are satisfied with this explanation. Others will have questions or express concerns. Use your knowledge of NSDUH, as well as your knowledge of survey research in general, to answer questions and address specific concerns.

First, always give accurate answers to respondent questions. It’s important to remember NSDUH does not directly provide funding to states or guarantee funding for specific programs. Instead, researchers, service providers, and local, state, and federal agencies may use NSDUH data when they apply for and/or allocate funding for programs and other efforts. If you do not know the answer to a question, offer to find out either right away or later, depending on how important it is to the participation of the respondent. If needed, offer to call your FS first and, if necessary, your RS to resolve the problem.

Use the Q&A Brochure and other NSDUH materials with reluctant respondents. Be very familiar with the contents of the materials. Some of the most common questions asked by respondents and the appropriate responses are shown in [Exhibit 5.6](#). Also refer to the *Screening and Interview Q&A Reference Guides* located on the tablet in the FI Assistant feature (see **Section 6.10.1**). Study these carefully so you become skilled in using this information. The *FI Ideas Booklet* is a compilation of tips from veteran NSDUH FIs and is also available in the FI Assistant. It includes excellent suggestions for ‘catch phrases’ and other tips for success. There are many excellent materials available for you to learn about the study. It is crucial you are comfortable explaining the survey to potential respondents in your own words.

Remember, you should NEVER write, circle or otherwise mark on the respondent materials. The only materials you should write on are those that specifically instruct you to do so (e.g., Sorry I Missed You Card, Interview Incentive Receipt, Quality Control Form, Appointment Card, etc.). Only mark on these materials as instructed and never include additional comments or notes.

## Exhibit 5.6 Answering Questions

Questions	Possible Response
“What’s the study all about?”	<p>NSDUH asks questions about health-related issues including individual experiences with and opinions about the use or non-use of alcohol, drugs and tobacco.</p> <p>NSDUH data provide important information to those who work in drug prevention, treatment, and research to support prevention programs, and estimate the need for treatment services.</p>
“Why Me? Why this house?”	<p>Your address was randomly chosen through scientific sampling procedures. It represents thousands of households across the nation.</p> <p>Once an address is chosen, no other address can be substituted for any reason. This practice ensures the NSDUH data represent the many different types of people in the United States.</p>
“Will my answers be kept private?”	<p>Absolutely. Answers are not be connected with any individual and your name will never be identified with your answers. Our interest is only in the combined set of responses from all participants, and not just one person’s answers.</p> <p>Federal law protects the confidentiality of all information you provide. Any violation of the law is a felony punishable by fines and imprisonment.</p>
“Who is RTI International?”	<p>RTI International is a nonprofit research organization dedicated to conducting research that improves the human condition.</p> <p>Located in North Carolina, RTI performs various types of laboratory and social research for government and industrial clients.</p>
“How long will the screening take?”	<p>The screening questions only take a few minutes. Once these are completed, we will know if anyone in your household has been selected to be interviewed.</p>
“How long will the interview take?”	<p>The time for the interview varies, but it generally takes about an hour. Of course, each person may take a little more or less time depending on that individual.</p>
“I don’t know much about drugs.” “I don’t do drugs. How can I help?”	<p>In order for our sample to represent all people living in this country, we need people who do not use or know about drugs to participate as well as those who do.</p> <p>The questions ask about other important health-related issues, including the use of other substances, such as tobacco, alcohol and prescription medications. Even if you do not currently use any of these items, it is important for us to learn that information too.</p>

## 5.5 “Tips” on Obtaining Participation

To aid in your success with potential respondents, you must develop your own particular style and then interact with them in a way comfortable for you. When you are developing **your** style, keep the following “tips” in mind:

- A positive attitude is crucial when interacting with potential respondents and others during your work. You need to feel confident about yourself and your knowledge of NSDUH in order to create a positive atmosphere. If you approach the door with an air of uncertainty, the potential respondent may not think this is important and be more likely to say “no” when asked to participate.
- If you are not enthusiastic and knowledgeable about the study, the potential respondent is not likely to be interested in participating.
- Persistence is key to gaining cooperation. For cases where no one answers the door, you must attempt to reach someone at different times of the day and on different days of the week. Talk to a neighbor to find out a time when the potential respondent is most likely to be at home. Never leave any NSDUH materials, other than the “Sorry I Missed You” card, at an SDU without first speaking with a resident.

If you are unable to persuade the potential respondent to participate, say “I’ll come back when you are not as busy,” or “I’ll stop by the next time I’m in the neighborhood.” These statements leave the door open for recontact, since they imply a respect for the person’s reason not to participate at this time. You can leave the Q&A Brochure and suggest they visit the NSDUH Website ([nsduhweb.rti.org](http://nsduhweb.rti.org)).

- Stress confidentiality, emphasizing answers are only reported as totals and individual names are *never* associated with answers. You can share the NSDUH Highlights or show the respondent the NSDUH Intro video on your tablet.
- Make sure every potential respondent knows how crucial he/she is to the overall success of NSDUH. Respondents should know they are unique because, due to the precise nature of the sampling procedures, selected respondents cannot be “replaced” by someone else.
- Most people are very busy. They may not wish to spend what free time they have participating in a long interview. Instead of saying, “The questions will take about an hour to finish,” try something like, “The questions will take about an hour to finish but the length varies and depends on the individual. Let’s start and see how it goes.” Be honest but do not dwell on the time involved.
- It is often helpful to remember and use words the respondent uses when addressing their concerns. For example, if a potential respondent said he/she had a sick child and did not have time to participate, begin your recontact with “I hope your child is feeling better.” Remembering these details can help build a positive relationship with the potential respondent. Such “tailoring” of the approach conveys interest and respect for the respondent’s situation and is often the key to obtaining cooperation.
- Finally, you must provide thorough documentation of all attempted contacts in the Record of Calls. Record the details of what happened during each contact. It may give you useful information if you have to initiate further contacts, such as refusal conversion attempts. Review your documentation before the next contact and plan and organize your approach.

## 5.6 Overcoming Objections

Some individuals will have concerns, objections, suspicions, or fears. What may appear to be a refusal to cooperate may be just an expression of concern or a need for more information about the study, the procedures, or the background of the research. The following points should help to reduce or eliminate “refusals” when making contacts:

- Be your best professional self. A friendly, confident and positive manner—assertive but not aggressive—will usually have positive effects.
- Believe in yourself and in the importance of the study. Do not invite refusals. An air of apology or defeat can sometimes trigger a refusal. Assume the respondent will want to participate.
- Know, and be able to explain, the study, its purpose, and its importance. Knowing the facts helps you be prepared to confidently answer questions and counter concerns.
- Many individuals want to know how their participation will benefit others. If they feel there is a benefit, they will view the study as less intrusive and be more likely to take part. With these respondents, consider showing the NSDUH Benefits video on the tablet.
- Listen carefully to comments and try to determine the basis for objections, then target your responses to those objections or concerns. Be concise. Don’t tell a respondent everything you know about the study if they are only asking about one specific thing.
- A little more detail about the study, the procedures, confidentiality, or the time involved may answer the “unasked” question when a respondent continues to object. Sometimes the best technique is to simply ask, “Is there something more I can explain about your participation in this study?”

[Exhibit 5.7](#) contains common reasons given by respondents for refusing a screening or interview. Different reasons need to be countered with a different emphasis in response. **Listen to the respondent’s comments** and tailor your response to the concerns or need for information. The chart lists common respondent reactions and items to keep in mind as well as examples of various responses for you to use.

If you are unable to overcome a respondent’s objections and the person will not consent to the screening, accept the refusal as courteously as possible and thank the person for his/her time. Do not pressure, argue, or otherwise alienate the person. Whatever the circumstance of the refusal, always remember to be professional, courteous, and friendly. Your goal is to leave the door open for another contact by you or by someone else to gain participation.

## Exhibit 5.7 Countering Refusals

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
<p>I don't have time. I am too busy.</p>	<p>Life can be very demanding. On the day you visited they may have been particularly overwhelmed.</p> <p>Try to at least get through the screening—the person at the door with “no time” may not even be eligible for an interview and the screening data is important to the study.</p>	<p>“My initial questions only take a few minutes. Let’s start with those, then we’ll know about how much more time is required—if any.”</p> <p>“I understand about being busy. I will work around your schedule and can return at a more convenient time.”</p> <p>Offer the respondent a choice, not a yes/no question. “I can come back. Would later this evening be better, or shall I return tomorrow?”</p>	<p>Too busy/no time/did too many already</p>
<p>I already did too many surveys.</p>	<p>Busy people may be civic-minded and have already participated in a number of surveys.</p>	<p>Appeal to the respondent’s sense of civic responsibility and pride—busy people may be involved with many activities because of a social conscience.</p> <p>Stress the importance of NSDUH.</p> <p>“It is so important that each selected person participate. You represent thousands of other people like you, and no one can take your place.”</p> <p>Show the NSDUH Intro or NSDUH Benefits video on the tablet.</p>	<p>Too busy/no time/did too many already</p>

**Exhibit 5.7 Countering Refusals (continued)**

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
<p>I don't want to give the government personal information.</p> <p>I don't like the government and what they are doing.</p>	<p>These people feel (to varying degrees) that the government is too invasive and may know too much already.</p> <p>Persons may also object to putting personal information on a computer.</p>	<p>Share information about SAMHSA: focus on the many beneficial programs and other initiatives supported by the agency</p> <p>“All your answers are kept completely confidential. Even I won't know your answers to the majority of the questions.”</p> <p>“We are only interested in the totals of all responses both nationwide and statewide, not in individual answers.”</p> <p>“I understand your concern, and no one will know how you answer the questions. The data are only reported as statistics.” (Show NSDUH Highlights)</p> <p>“We are collecting data to provide policymakers with accurate information to help them make better decisions based on facts, not politics.”</p> <p>“The study began in 1971, and has provided many administrations with valuable information.”</p>	<p>Surveys/Govt. invasive/teen exposure</p>
<p>I don't like surveys.</p>	<p>In the past, a 'survey' may have been a disguised—and unwanted—sales promotion.</p> <p>They may have political, religious, or philosophical reasons for not participating.</p>	<p>Reassure the respondent you are not selling anything, and you are there on official business. Show your FI ID badge and your SAMHSA Authorization Letter.</p> <p>Stress the importance of survey research in the formation of public policy.</p> <p>“In order to learn about the impact of various programs, it is necessary to conduct surveys to allow the public to provide input.”</p>	<p>Surveys/Govt. invasive/teen exposure</p>

**Exhibit 5.7 Countering Refusals (continued)**

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
<p>I don't want my child to hear about the drugs.</p>	<p>With the media coverage of the drug use problem among teens, parents are rightfully concerned about what their teen is exposed to.</p>	<p>Suggest the parent use the interview as an opportunity to talk with the child about his/her opinions about drugs. The SAMHSA website has materials and information on talking with youth about drugs and other topics.</p> <p>Give the parent a copy of the Summary of the NSDUH Questionnaire. "Maybe it would help to see the type of questions asked in the interview."</p> <p>"Most youths these days are aware after receiving information through the news, or through school prevention programs or courses."</p>	<p>Surveys/Govt. invasive/teen exposure</p>
<p>I don't believe my information is confidential. How do you keep information confidential?</p>	<p>Questions about confidentiality don't always mean the respondents are distrustful. Listen carefully to see if what they really need is more information.</p>	<p>"Names are never connected with the interview data, which are entered into my laptop computer. Once we finish, the case is locked and I cannot open it. Each evening I transmit completed cases to RTI for processing."</p> <p>"All research and field staff sign a pledge to keep all information completely confidential."</p> <p>"The information you provide is protected under federal law and can only be used for statistical purposes. Any violation of the law is a felony punishable by fines and imprisonment."</p> <p>Explain how the data are gathered and transmitted.</p> <p>Show the NSDUH Intro video on the tablet.</p>	<p>Clarify confidentiality, legitimacy, selection</p>

**Exhibit 5.7 Countering Refusals (continued)**

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
<p>How do I know you are doing the work you say you are doing?</p>	<p>Respondents may be suspicious when they discover the study asks about drug use.</p>	<p>Show your SAMHSA Authorization Letter.</p> <p>Provide a Q&amp;A Brochure and point out the contact information. “You can call RTI if you have questions about the study or to verify I represent RTI International.”</p> <p>Mention the NSDUH Website as an excellent source of information. (<a href="http://nsduhweb.rti.org">nsduhweb.rti.org</a>)</p> <p>(Show back of Q&amp;A) “If you have internet access, here are the websites for SAMHSA, RTI and the NSDUH. You can visit them for more information about these organizations and the study.”</p>	<p>Clarify confidentiality, legitimacy, selection</p>
<p>There is nothing in this for me.</p>	<p>Some persons need to see a direct personal benefit before they will participate.</p>	<p>“For those selected for the interview, I will give \$30 in cash when the interview is completed.”</p> <p>“The results of this survey provide government policy makers at the national and state levels with the data they need to evaluate existing programs and plan for new initiatives.”</p> <p>“The results of this survey provide researchers with valuable insights about the nature of the drug use problem.”</p> <p>Show the NSDUH Benefits video on the tablet.</p>	<p>“Nothing in it for me”/ uncooperative</p>

**Exhibit 5.7 Countering Refusals (continued)**

<b>Respondent Says:</b>	<b>Keep in mind:</b>	<b>Your Response:</b>	<b>Refusal Report Code</b>
I won't do it.	Although uncommon, there are people who are simply uncooperative and may not even give the reason for their refusal.	Always be pleasant and professional.  Try to convince the respondent how important the study and each respondent's participation is to the validity of the results.  Show the NSDUH Intro or Benefits video on the tablet.	"Nothing in it for me"/ uncooperative
You can't talk to my wife/ husband/child. I am sure he/she wouldn't want to participate in this study.	Sometimes a person in the household acts as a gatekeeper controlling your access to the selected respondent.  A gatekeeper often has a strong interest in what the respondent does, and may be a spouse or a parent.	"I understand your concern for your wife. Her participation is very important to the success of our study and I would like to talk with her about it. First, what concerns do you have about her participation?"	Gatekeeper/Parent/HH member disallow
I need to talk to my husband/wife first.	In this situation, you have access to the right person, but the gatekeeper is still influencing the behavior.	"I understand, what do you think their concern regarding your participation might be?"  "Your answers are completely confidential. No one in your family will see your answers."  Explain the importance of the study and that selected households and all selected respondents cannot be replaced.  Never pressure an uncomfortable spouse.	Gatekeeper/Parent/HH member disallow

**Exhibit 5.7 Countering Refusals (continued)**

Respondent Says:	Keep in mind:	Your Response:	Refusal Report Code
I think my (social) worker sent you.	Persons in the welfare or judicial system may have concerns that you are investigating their actions or their household status.	<p>“I work for RTI International in North Carolina, not for any specific government agency. RTI collects this information on behalf of the Substance Abuse and Mental Health Services Administration.”</p> <p>“Your responses are completely confidential, which means your social worker will not know that you participated in this study.”</p>	Welfare/INS/ICE/USCIS concern
Are you with Immigration/ Customs/INS/ICE?	<p>Non-citizens may be very concerned about their immigration status.</p> <p>INS stands for Immigration and Naturalization Service</p> <p>ICE stands for Immigration and Customs Enforcement</p> <p>USCIS stands for United States Citizenship and Immigration Services</p>	<p>“I work for RTI International in North Carolina, not for any specific government agency. RTI collects this information on behalf of the Substance Abuse and Mental Health Services Administration”</p> <p>“Your responses are completely confidential, which means no one in immigration/customs/ICE/ USCIS will ever know that you participated in this study.”</p>	Welfare/INS/ICE/USCIS concern
I’m not feeling well.	The respondent has been caught at a bad time.	“I am sorry. On my next trip to this area, I will come back to check with you.”	<p>Too ill/house messy/not dressed</p> <p>(This category is situational and does not generate a refusal letter.)</p>

**Exhibit 5.7 Countering Refusals (continued)**

<b>Respondent Says:</b>	<b>Keep in mind:</b>	<b>Your Response:</b>	<b>Refusal Report Code</b>
<p>My house is too messy for you to come in.</p> <p>I'm not really dressed.</p>	<p>The respondent feels the situation is not good for participation. You caught the respondent at a time when the temporary circumstances are causing trouble.</p>	<p>Weather permitting: "We could sit outside."</p> <p>"I don't mind waiting until you are ready."</p> <p>"I can come back later. Would this evening be better or later tomorrow afternoon?"</p>	<p>Too ill/house messy/not dressed</p> <p>(This category is situational and does not generate a refusal letter.)</p>
<p>Some other situation or a combination.</p>	<p>You are unsure of how to classify the respondent's concerns. Perhaps there are multiple concerns so choosing just one of the above categories is difficult.</p>	<p>Listen carefully to the respondent.</p> <p>"Is there something else I can explain to you about your participation?"</p> <p>Show the NSDUH Intro or Benefits video on the tablet.</p>	<p>Need to discuss with FS</p> <p>Make explicit notes to assist you when you and your FS discuss the case.</p>

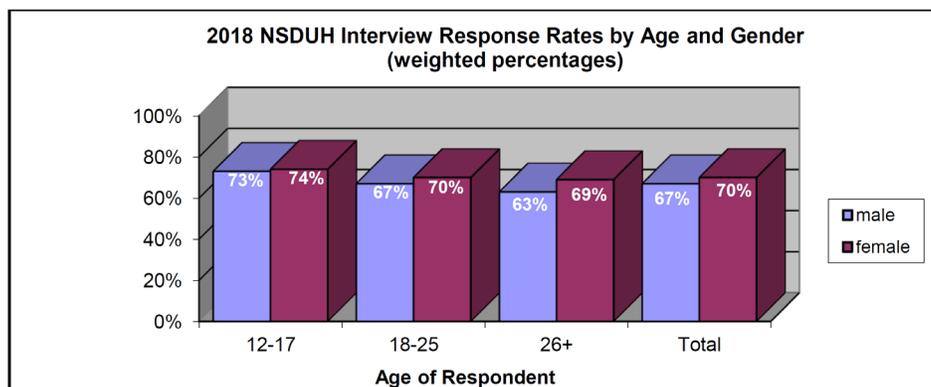
Record the result code for the refusal in the tablet ROC, then indicate the specific reason on the **Refusal Report** screen. (The refusal report code is listed on the right in [Exhibit 5.7](#)). Additionally, record any pertinent facts or impressions about the situation in the Refusal Report Comments section. When you transmit screening data to RTI, the refusal report information automatically generates a refusal conversion letter request unless you indicate the refusal is situational (i.e., ill, house too messy) or you select “Need to discuss with FS” which places the refusal letter request “on hold.” The refusal letters, available in English and Spanish, are tailored to the primary refusal situations encountered in the field. Copies of the refusal letters are provided in *Appendix B*.

The next day, your FS will see the refusal letter request on the project management website and he/she can either release the letter or keep the letter on hold until you discuss the case. Once your FS releases the refusal letter, it is printed and mailed to the SDU the next business day. As needed, check with your FS so you can time your return to the SDU to roughly coincide with the receipt of the letter.

Do not rely on memory to recount to your FS the events surrounding the refusal. Making notes in the ROCs at the time of the refusal will help you adequately and objectively discuss the situation with your FS. It will help your FS decide if a follow-up letter is appropriate to assist you or another FI in later contacts. Once your FS has discussed a refusal with you, he/she will determine the timing of the printing and mailing of the letter, if appropriate.

Though refusals may be discouraging, learning to handle them professionally—and not personally—helps in the long run. Do not allow refusals to change your positive attitude and approach when contacting respondents. Even the best FIs experience refusals; it is not necessarily a reflection of your ability as an interviewer. The important thing is to learn from the experience.

The graph below illustrates interview response rates for the 2018 study. The interview response rate is the proportion of those who complete the interview compared to the total number of people selected to participate. As you can see, it can be more difficult to obtain the participation of those age 26+ (those more likely to be busy with jobs and families), but even among this age group, almost three quarters of all eligible respondents actually completed the interview.



## 5.7 Local Social Climate

Some refusals will occur no matter how effective and adaptive you are. Some neighborhoods can be tough either in gaining access to the selected units, or in obtaining cooperation from residents who may not welcome strangers. Experienced field staff suggest the following tips:

- dress appropriately for the neighborhood
- never presume a respondent will not be friendly or willing to cooperate
- stress the scientific random nature of the address selection
- state clearly, early on, you are not soliciting
- be very willing to accommodate busy schedules.

For tips on dealing with controlled access situations, refer to *Section 4.12*.

If a neighborhood is experiencing a series of household break-ins or personal assaults, residents may be particularly reluctant to let you into their homes. If a respondent reports such circumstances, it is a good idea for you or your FS to contact local police to inform them of your presence in the area. It is important to discuss this with your FS prior to making any contact with the local police. Also, you may choose to wait and return to the neighborhood at a calmer time.

## 5.8 Working Safely

Since NSDUH uses a random sampling procedure, the neighborhoods selected represent all types of communities. In neighborhoods where residents are very suspicious or in areas where you feel you are at increased risk, always talk with your FS before working in the area. In some situations your FS can plan for two FIs to work together. However, using another person not associated with NSDUH as an escort is not allowed. **Possession of a weapon, concealed or otherwise, at any time while working on NSDUH is strictly prohibited (this includes having a weapon in your car).** Refer to your employment materials for additional details on this policy.

The following are some general tips on working safely and smartly.

### **Area**

- Be aware of the area—assess the situation and observe people. Stay alert and tuned in to your surroundings. Know where you are going and walk with confidence.
- Be proactive. Review your segment materials thoroughly prior to going to the area. Note if the lister mentioned the need to go during certain hours, etc. If possible, make the first visit to the area in the daytime in order to see what the area is like. Discuss the situation with your FS and come up with a plan together.
- Observe where you can find the nearest business, police station, fire station, or public building, and know their hours of operation.
- Put possessions in the trunk of your car before entering the area. Do not leave things visible in your car, particularly your NSDUH computer equipment.

- Carry the computer equipment as inconspicuously as possible.
- If anyone asks who you are, briefly tell them who you are and what you are doing. If someone in a car asks, reply from a distance: do not get too close to the car.
- Park your car in a well-lit area. Move it as necessary as you work.
- Walk in well-lit areas. Avoid taking short cuts through dark or wooded areas. Avoid walking in areas where there are tall hedges or shrubs.
- If an individual becomes physically confrontational or violent or threatens you in any way, get out of the situation as quickly as possible. Do not argue with or otherwise engage a hostile individual. Contact the police or law enforcement officials for assistance if you feel you are in danger. After speaking with police, contact your FS immediately to provide details on the situation and any conversations with officials.
- If you observe any unusual or concerning situations, remove yourself from that situation as quickly and safely as possible and then call your FS.
- Listen to your instincts. If a situation makes you uncomfortable or you feel something isn't right, it probably isn't!

### **Dress**

- Keep your dress professional, and not too casual. Wear comfortable, practical shoes.
- Do not wear jewelry.
- Do not carry a purse. Put your keys, incentive money, and cell phone in a pocket.
- Keep your FI ID badge visible.

### **Multi-unit Buildings**

- Carry a flashlight—apartment building hallways can be dark even during the daytime. (Do not use the flashlight on your cell phone, as respondents may think you are taking a video or pictures of the property.)
- Make noise, such as a low whistle or rattle your keys as you walk in the hallway or up a stairway. You do not want to startle or surprise anyone who might be hanging around.
- Go right to the selected apartment—don't look interested in what people are doing in the hallway. You should acknowledge them with a nod, smile, or brief eye contact, but go directly to the apartment—that's your task. Be aware, but do not concentrate on other things going on in the apartment building.

### **Speaking with Police**

(Note: This should be a rare occurrence and may not happen to you. However, it is always best to be prepared, keeping in mind the guidelines listed here, in case you interact with the police during field work.)

- Remain calm and professional when speaking with officers. Handle questions just as you do from respondents: listen, be concise in your reply and do not offer more information than necessary.
  - Show your FI ID badge when introducing yourself. If asked why you're in the area, provide a general explanation, such as **"I am working on a national study sponsored by the U.S. Department of Health and Human Services. Several houses in this**

**neighborhood were randomly selected to take part. They each received a letter in advance explaining I would be stopping by to talk with them about the study.”**

- If more specifics are requested, consider showing your SAMHSA Authorization Letter or other study materials that do not identify specific DUs, such as the lead letter or Q&A brochure. These items help further legitimize the study and your presence in the area.
  - Do your best to protect respondents’ confidentiality while complying with an officer’s requests. Never volunteer information or identify selected addresses or respondents unless specifically asked to do so by police. **Do not share answers or other details provided in response to the screening and/or interview questions**. That information is protected by CIPSEA and therefore immune from subpoenas and Freedom of Information Act requests.
  - In some instances, police may request to see your segment materials or the list of addresses included in your assignment. Before providing these materials, ask to call your FS so they might speak with police on your behalf. If you are not able to reach your FS, you should comply with the police request.
- In all police interactions, comply with all instructions to avoid conflict and call your FS immediately after speaking with police to provide details about the nature of your conversation, any study materials or information shared, and directions given to you by officers (e.g. don’t return to the DU, etc.).

## **5.9 The Working Environment of a Field Interviewer**

As an FI, your work environment may fall into one of three settings:

- in your home preparing supplies, planning your next trip to sample neighborhoods, conferencing with your FS, or transmitting data to RTI
- commuting to/from/within sample areas using a personal automobile, public transportation, or on foot
- on a respondent’s property, either inside or outside, conducting the screening or interview.

Each setting has its own conditions that can affect your personal safety. This section covers details of how you can work more safely in each of your work settings.

### **5.9.1 The Home**

NSDUH has various kinds of supplies and materials: interviewer manuals, computer equipment, segment materials and bulk supplies (handouts, brochures, etc.). Organizing these materials allows you to work more efficiently and more effectively.

Select a specific place in your home to keep all NSDUH materials. This place needs to be away from common traffic areas and away children and pets. Be attentive to your materials, taking inventory at least weekly before your conference call so you can inform your FS of any needs. Focus on keeping enough materials to supply your expected workload for the current quarter. Be mindful that NSDUH materials are costly to produce and should only be requested as needed. Do not stockpile materials as it is wasteful of limited project resources as well as your own space needed for storage. When moving materials and supplies, always be very careful to avoid injury.

### **5.9.2 Traveling To, From, and Within a Segment**

While a few FIs use only public transportation, most need to drive a vehicle to accomplish work in the field. Review your employment materials for detailed information on operating motor vehicles for business purposes.

Do not transport a respondent in your vehicle, even if they say it's OK. The only acceptable passengers while working are project staff such as supervisors, mentors, or observers, who are authorized to work on NSDUH. While working in the field, you are not to have children under the age of 18 or pets with you.

Unfortunately, in spite of your best attempts at prevention, sometimes an automobile accident happens. In addition to the information provided in your employment materials, refer to the Job Aids portion of your Showcard Booklet for the steps to follow if you are involved in an automobile accident.

### **5.9.3 On a Respondent's Property**

The final working environment is on a respondent's property—either inside or outside.

Be careful as you exit your car and gather your belongings. The laptop bag can be heavy enough to strain your back if you do not lift it properly. As you exit the driver's side of your car, if you have your laptop bag on the passenger's side, do not reach across the car to lift it towards you. This can cause serious back strains. Walk around the car and lift the bag carefully.

One of the most frequent concerns FIs report while in the field are dogs. Many people own dogs, often for their own personal safety considerations. You must be very cautious when approaching an SDU, especially one where it's obvious one or more dogs are around. Even a dog who appears to be friendly can suddenly become agitated. If a dog or other menacing animal blocks the path between you and the respondent's door, be careful. If the dog is obviously aggressive, don't put yourself in a dangerous situation. Try to get the attention of someone living in the household and ask him/her to restrain the dog before entering the property, especially if you have to open a gate or enter a fenced yard to access the front door. Refer to your employment materials for more information on dealing with animals and what to do if an accident occurs.

While the majority of respondents and people you come into contact with throughout your work will be friendly, there will be some who are not. You may receive verbal abuse from some of your respondents. Unfortunately, this comes with the territory of being an FI. However, you should remain polite and professional at all times and never escalate a situation or place yourself at risk for physical harm. If a respondent becomes physically confrontational or violent, or threatens you in any way, get away from that residence immediately. Talk with your FS about what happened, and together you will form a plan about how—or if—that particular residence should be approached. If at any time while in the field you feel you are in danger, leave the situation. Also, if you observe any unusual or concerning

situations between household members in a respondent's home, remove yourself from the situation as quickly and safely as possible and then call your FS.

Achieving targeted response rates for completed screenings and interviews is important to the project. But ensuring your safety while you are working is even more important, and no one is in a better position to do that than you. We want you to be successful and safe as you complete your work.

## CHAPTER 5 MAIN IDEAS

### Obtaining Participation

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 5-1 & 5-2: To assist in your goal to obtain participation at all of your SDUs, you will be provided with an extensive inventory of materials (letters, brochures, articles, etc.) to use at the door with the respondent and to leave as handouts. However, none of these materials will be as effective as YOU and YOUR approach. It is imperative that you not only maintain a positive and confident attitude, but that you know the study, the purpose and why it is important.
- Page 5-13: It will be necessary for you to overcome respondent objections and concerns. The “trick” is to listen carefully to what the respondent is saying. Every DU and every respondent must be handled uniquely.
- Page 5-13: No matter what the situation, you must be professional and treat the respondent and anyone you encounter while working with courtesy and respect.
- Page 5-21: When handling any case, including refusals, it is essential you make timely, informative notes in your ROCs. Do not rely on your memory to remember crucial information about the respondent and the case.
- Page 5-21: Reasons for refusals are broken down into specific categories. You will indicate the type of refusal encountered, thus enabling a specifically tailored letter to be generated at RTI.
- Page 5-24: Due to the unique nature of this job, you will have several different work environments: your home, car, the neighborhoods of your segment, and respondents’ homes. It is crucial to work safely in all of these situations, using common sense and provided safety guidelines.

## **QUESTIONS TO ASK YOURSELF**

1. How would you answer these respondent questions?

*I don't drink, smoke, or use drugs. Why would you want me in your survey?*

*How did you select me?*

*How do you keep my answers confidential?*

*Why don't you just go next door and talk to my neighbor? She loves to do this sort of thing.*

*What happens to the information after you gather it from all of us?*

2. What would you say if the respondent offered these objections?

*I'm too busy.*

*I don't like surveys.*

*I don't agree with the current administration's policies.*

*I don't want my kid to talk about drugs with you. He's too young.*

*I don't trust that my answers are safe.*

## 6. CONDUCTING SCREENING

### 6.1 Introduction

One of your main tasks as a NSDUH field interviewer is conducting household screenings. *Chapters 2 and 3* of the *FI Computer Manual* describe the tablet and include general instructions for entering information. *Appendix A* of the *FI Computer Manual* contains a sample screening to illustrate the flow of the screening process.

During screening, you obtain information about the residents of the household 12 years of age and older and enter that into the tablet. The tablet then performs the selection process in which zero, one, or two residents are chosen for the interview. This chapter describes the screening process and provides details about various tablet functions.

Note the following conventions used to present tablet-related information in this chapter:

**Text like this** designates a screen name. The tablet uses screen names instead of question numbers.

→ indicates the path to follow. Most screens have several options. The chapter usually shows the most common path, marked by the →. Most other options are explained later in the chapter.

**Bold** text indicates what items you will touch on the tablet and is occasionally used for emphasis.

*Italic text* displays “extra” explanations of features or buttons not necessary for screening.

### 6.2 Overview of NSDUH Screening

Screening is the process of obtaining information about a sample dwelling unit (SDU) to determine if it has residents eligible for NSDUH. *The term ‘dwelling unit’ includes both housing units (HUs) and group quarters units (GQUs).* You will complete a screening by reading the tablet screens **verbatim** (or “word for word”) and accurately entering all information provided by the respondent, to determine eligibility status.

Your main responsibility when screening is to record accurate, complete information as provided by respondents and to let the tablet tell you who, if anyone, to interview. After you enter all information for the residents of the DU, the tablet processes it using the eligibility criteria and selection program.

While every SDU must be screened, only about one in every two or three will have a resident selected for an interview. This will vary depending on the characteristics of each segment. About a quarter of the completed interviews for NSDUH are conducted with individuals age 12-17, while another quarter are with persons age 18-25. The remaining half are individuals age 26 and over.

### 6.3 Overview of Tablet Screening and Case Management Program

The tablet programs contain the following features:

- Case management groupings
- HU and GQU Screening Program (rostering and selection of eligible DU members)
- Spanish translation of the screening questions (for use only by RTI-certified bilingual FIs)
- Screen to collect verification information for completed screenings in which no one was selected for the interview and certain ineligible cases such as vacant units
- Record of Calls (ROC) to document each contact or attempted contact at an SDU, including Refusal Report
- Feature to add missed DUs
- Call Distribution for use in planning field visits
- Calendar for use to record appointments, if you wish
- FI Assistant feature containing helpful reference tools and videos
- NSDUH FI Website for access to online references and electronic communication with supervisors and other project staff.

Each of these features will be described in detail. The screening process is essentially paperless. However, you will have paper segment materials with a Selected DU List (described in *Chapter 3*) to assist in locating DUs.

Result codes, which convey what happened at the SDU during a visit, are mentioned throughout this chapter and are described in detail in *Chapter 9*.

### 6.4 The Screening Program

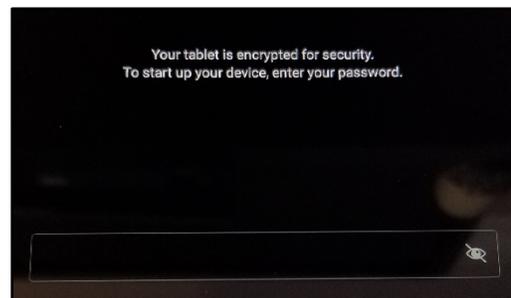
The various steps of the screening process are presented in this chapter. Later sections cover the additional options and functions within the tablet program that deal with many situations that occur while conducting screenings.

Once you arrive at the correct SDU and select the corresponding case on the tablet, you do not have to designate whether you are screening an HU, a GQU, or an Added DU. The tablet knows which type of case it is and automatically displays the appropriate screens. The most common type of SDU, the HU, is covered first. *Sections 6.7* and *6.9* explain GQUs and Adding Missed DUs.

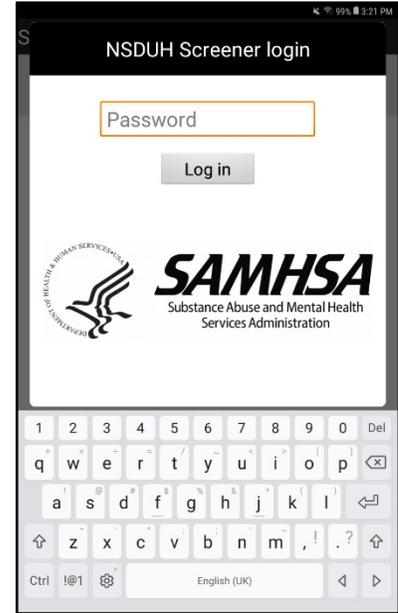
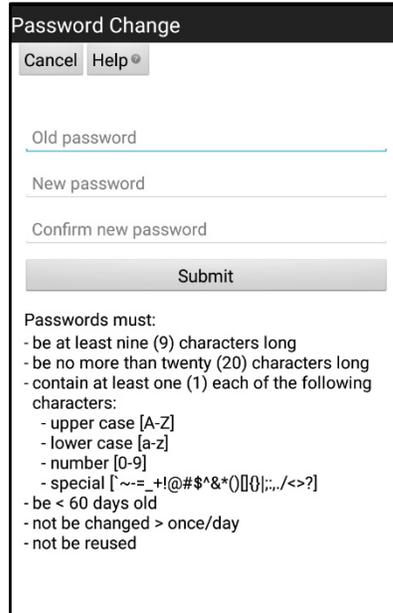
#### 6.4.1 Starting the Tablet

Before you approach the first SDU, prepare by accessing the screening program.

- Turn the tablet on and enter the Startup password.



- At the **Home** screen, touch the **NSDUH Screening icon**, then touch **OK** on the System Use Notification. By touching OK, you acknowledge your understanding and acceptance of the terms described each time you enter the screening program.
- At the NSDUH Screener login, touch in the password field to display the keyboard (as shown below on the right). Enter your **password** then touch **Log in**.



## 6.4.2 Case Management

The **Select Case** screen is your starting point for all screening and case management tasks on the tablet. In small text above the list of cases, the view currently selected, the segment, how the cases are sorted, and the number of cases in the current view are displayed. The grid on the **Select Case** screen displays the:

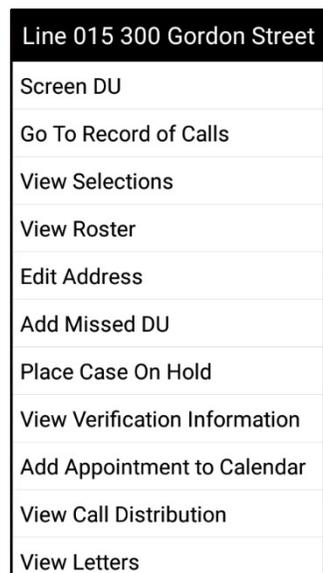
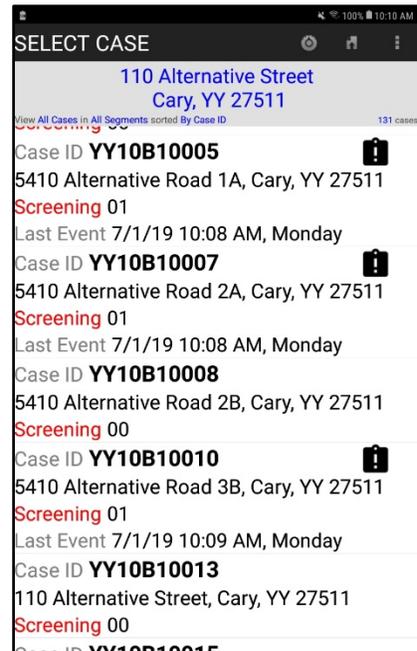
- **Case ID:** The first two letters are the state abbreviation, followed by the segment number, the DU indicator (zero for HUs, a letter A - Z for GQUs), then the line number for that SDU. Refer to **Section 4.3.1** for more details about the Case ID.
- **Street address:** The street address with city, state and zip code displays. As needed, apartment designations are included, while SDUs listed by description show the description instead of the street address.
- **Current result code or codes for the case:** These codes are the most recent entries made in the ROC. Screening displays the current screening result code, while Interview shows the interview result codes for the A and B interviews (if selected). **Section 9.2** contains details about result codes and their use.
- **Last Event:** For cases that have been contacted, the date and time of the last ROC event is shown.
- **2-Week Indicator:** the  symbol appears to the right of a Case ID if a pending case has been activated, but not contacted for 2 weeks. This reminds you to review the case and attempt contact to complete the case.

To scroll through the list of cases, swipe vertically on the screen. When you begin a vertical swipe, a small blue bar appears on the right side of the screen. Touch and hold this bar, moving it up or down to scroll quickly through the list.

After using your segment materials to identify and locate an SDU, touch and hold the corresponding case on the **Select Case** screen. The Actions menu appears, as shown to the right, and displays a list of functions that can be applied to a specific case. These case-level functions allow you to screen a DU, add a call record through the Record of Calls, edit the address, etc.

Confirm you selected the correct case by checking the line number and address at the top of the menu. Touch the first option, **Screen DU**, to begin a screening.

The Actions menu displays the same options for all cases. Depending on



the status of the case, certain options will not apply. For example, **View Selections** only applies for completed screenings in which someone is selected for an interview. If you touch an option that does not apply, a pop-up box explains no records are available; touch **OK** to return to the **Select Case** screen.

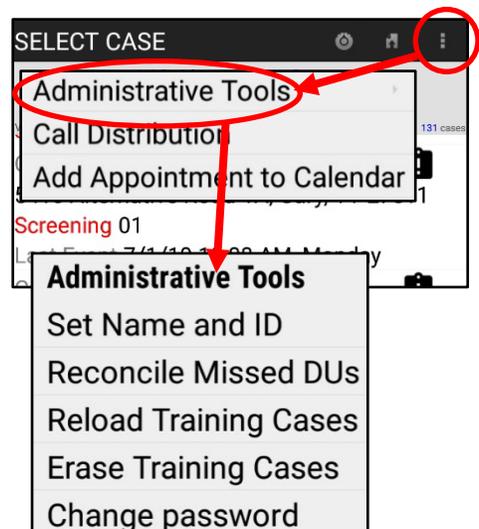
Each of the case-level options on the Actions menu is explained in the sections referenced below:

Actions Function (with case selected)	Manual Section
Screen DU	6.4.3 through 6.5
Go to Record of Calls	6.6
View Selections	6.4.7
View Roster	6.4.6 and 6.6
Edit Address	6.8
Add Missed DU	6.4.5 and 6.9
Place Case on Hold	6.12
View Verification Information	6.5
Add Appointment to Calendar	6.15
View Call Distribution	6.18
View Letters	6.6

## **ADMINISTRATIVE TOOLS**

On the **Select Case** screen, touching the **Functions**

icon  (located at the top right of the tablet screen) opens a pop-up window with several options. Touching the first option, **Administrative Tools**, displays the Administrative Tools menu, listing functions not associated with a specific case. Each of the options in the Administrative Tools is explained in the sections referenced in the chart below:



Administrative Tools	Manual Section
Set Name and ID	6.16
Reconcile Missed DUs	6.9.2
Reload Training Cases	6.17
Erase Training Cases	6.17
Change Password	6.19

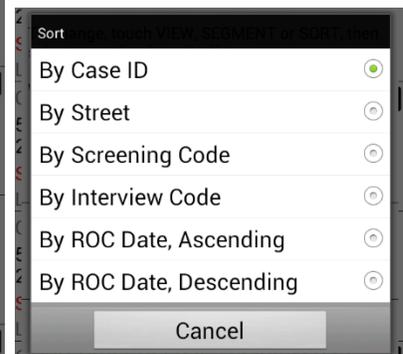
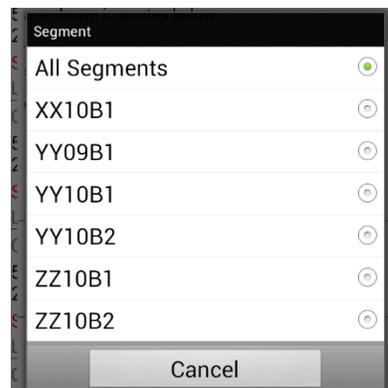
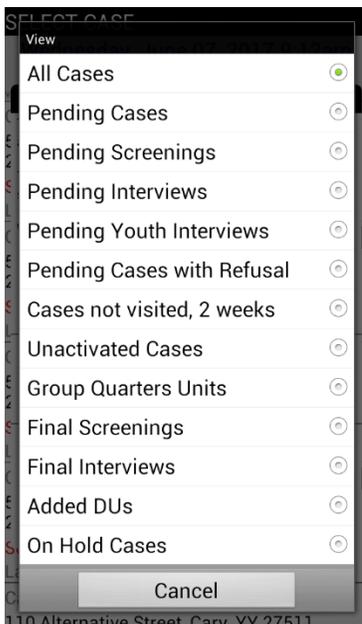
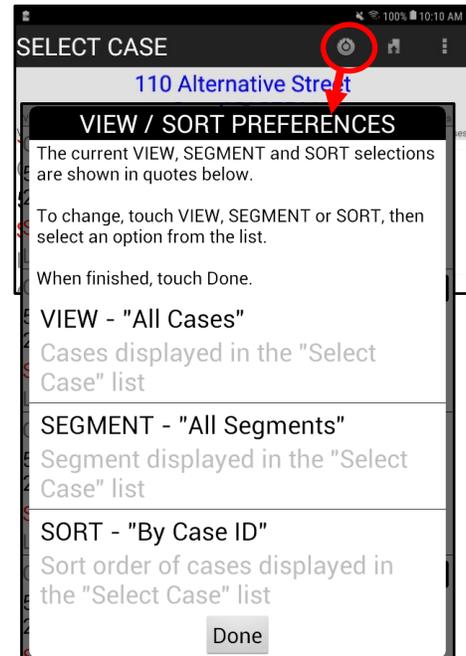
## VIEW/SORT PREFERENCES

On the **Select Case** screen, touch the **View/Sort icon**



(located at the top right of the tablet screen) to change the type and order of the cases displayed on your tablet. The View/Sort Preferences box appears as shown on the right.

- To change the type of cases displayed, touch **View**. The View options appear, as shown below on the left.
- To change the segment, touch **Segment** to see a list of segments currently in your assignment, as shown in the middle below.
- To change the order of the cases displayed, touch **Sort**. The Sort options appear, as shown below on the right.
- After making your selections, touch **Done**.



Use the View, Segment and Sort options to efficiently manage your cases and properly plan your workload. For instance, by choosing to view **Pending Cases**, you see a list of all the pending cases (screening and interview) you have left to work in your assignment. To make sure you are following up properly on identified interview cases, choose **Pending Interviews** to see the interview cases you need to complete. To make sure you entered a Record of Calls event when you visited an Added DU, touch **Added DUs** for a listing of all Added DUs. To count the number of interviews you have completed when completing your timesheet, touch **Final Interviews**.

Use the View, Segment and Sort options together to see and manage detailed aspects of your caseload. For example, to see the pending refusals in all segments assigned to you by screening code, select the following options: View-Pending Cases with Refusal, Segment-All segments, Sort-By Screening Code. Each of the View options is explained in the chart below:

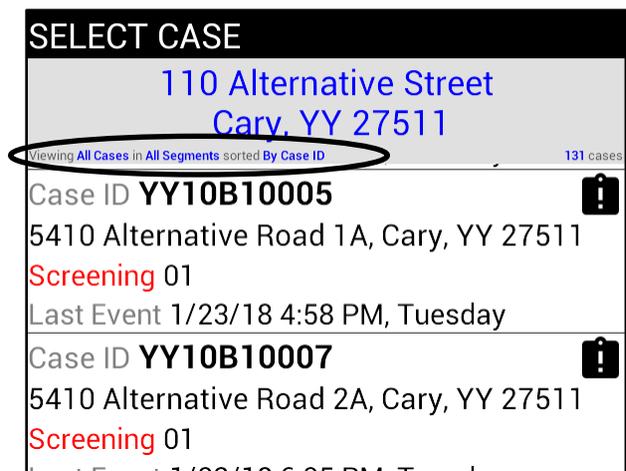
<b>VIEW OPTIONS</b>	
All Cases	All cases, pending and finalized screenings and interviews
Pending Cases	All pending cases in your assignment, both pending screenings and pending interviews for both HUs and GQUs
Pending Screenings	Pending screening cases (cases not yet worked and screening result codes 01-09) for both HUs and GQUs
Pending Interviews	All pending interview cases (interview result codes 50-59)
Pending Youth Interviews	All pending interview cases with youth respondents
Pending Cases with Refusal	All pending cases with a refusal result (07, 57)
Cases not visited, 2 weeks	All cases that have not been visited in the last 2 weeks
Unactivated Cases	All cases that have not yet been activated
Group Quarters Units	All GQU cases
Final Screenings	Final screening cases (screening result codes 10-32)
Final Interviews	Final interview cases (interview result codes 70-79)
Added DUs	All missed DUs that have been added
On Hold Cases	Cases that are on hold and should not be transmitted until you have spoken with your FS about them

The Segment options allow you to view cases from all segments or cases within a particular segment. The segments listed will vary depending on your assignment. Use this option, in combination with the View menu, to quickly locate particular types of cases for a certain segment.

The Sort options allow you to change the order in which the cases are displayed on the screen, and are explained in the chart below:

SORT OPTIONS	
By Case ID	This sort follows the order of the cases as shown on the Selected DU List.
By Street	While working, use the “By Street” sort to be sure you are working efficiently. SDUs are originally listed following a strict path of travel so structures on only one side of the street are listed at a time (to ensure coverage). Sometimes other streets are listed before units on the opposite side of a given street are listed. It can be helpful to sort by street to easily see all the SDUs on a given street together within the segment.
By Screening Code By Interview Code	These sorts list the cases in order by the chosen result code, with the smaller result codes first. This can be helpful when talking with your FS about your work. For example, as you discuss refusal cases, you can sort by Screening Code and look at all the Pending Screening Refusals (code 07). As you discuss pending interviews when no one was home, you can sort by Interview Code to see the code 51 No One at DU cases. The cases are initially listed by the code for the A interviews.
By ROC Date, Ascending By ROC Date, Descending	<p>These sorts allow you to list the cases by date of the last visit. Select By ROC Date, Ascending to see the cases you have not contacted recently. Use By ROC Date, Descending to see the cases you most recently visited first to easily find the ones you contacted yesterday.</p> <p>Use this Sort in combination with View and Segment options as needed.</p> <p>Example 1: Since it is important to complete interviews as soon as you can, View Pending Interviews, then Sort By ROC Date, Ascending to see which pending interview cases you have not contacted recently.</p> <p>Example 2: When talking with your FS about recent refusal cases, view Pending Cases with Refusal for all segments, sorted by ROC Date, Descending.</p>

Use the View/Sort options to find your cases quickly. HINT: if you are having trouble locating a particular case, check the current View/Sort (displayed at the top of the **Select Case** screen). The case you are looking for may not be included in the current view.

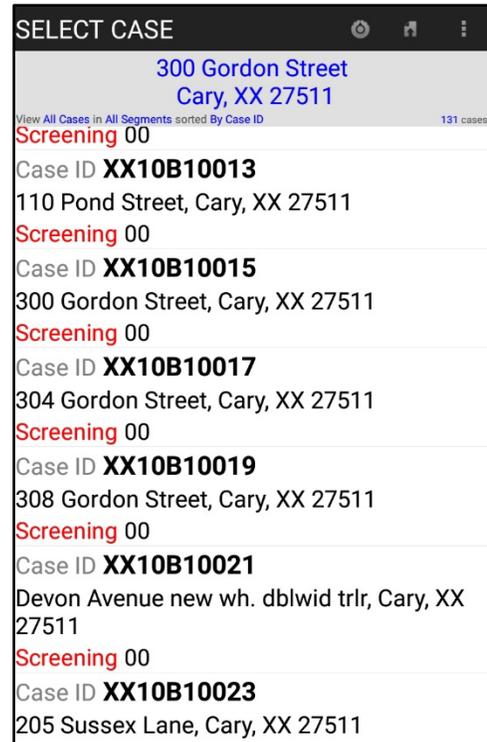


### 6.4.3 Introduction and Verify Address

Instructions on completing a normal screening using the HU screening program are in this section. Remember, the → designates the category option to follow.

To get started with the screening, follow these steps:

1. Identify and locate the DU to be screened. On the **Select Case** screen, touch and hold the **line with the correct Case ID** and address for the unit to select the case.

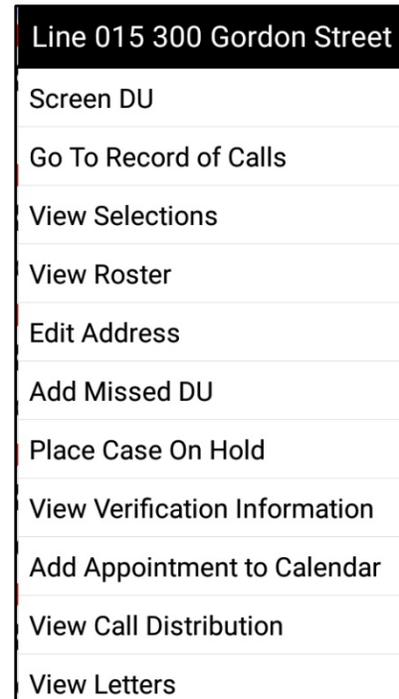


The Actions menu appears, as shown to the right. Confirm you selected the correct case by checking the line number and address in the menu header. **Double check you have the correct DU displayed.**

**You MUST be on the correct line when you screen a DU.**

The selection process programmed on the tablet is unique to each DU. That is, if you enter the same household information for two different lines (two different addresses), the selection most likely will be different (e.g., one case may be a code 30, no one selected, and the other a code 31, one person selected).

2. After verifying you have the correct line selected, touch the first option, **Screen DU**, to begin a screening.



3. The **Study Introduction** screen appears and displays your introduction. **You should be on this screen as you approach the SDU.**

*Note: Be sure the tablet case is open any time you are with a respondent. If you need to close the case, you must put the tablet in your laptop bag. The back of the tablet case has a cut out for the tablet camera; keeping the case open covers this and prevents the respondent from possibly thinking you are filming your interaction.*

Introduce yourself and the study by either reading the text displayed on the screen, or using your own words, making sure to include all four required points (your name, you represent RTI International, sponsor is the U.S Department of Health and Human Services, and mention the lead letter).

**NOTE: This is the ONLY tablet screen that does not have to be read verbatim. All other screens must be read word for word.** The introduction screen is worded in a concise and direct manner, so consider using this text as much as possible. It helps to have the script memorized so you can maintain eye contact. Have lead letter copies with you in case the respondent has not received one, or does not remember receiving one. Refer to **Section 4.8** for additional information on your introduction.

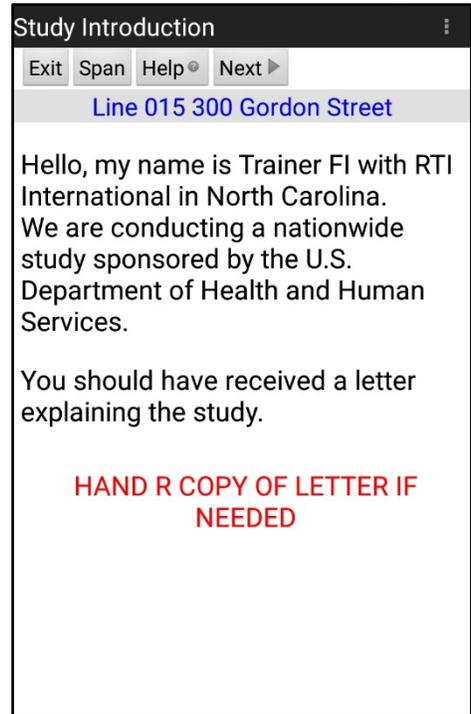
*If the address of someone you know is selected, it is acceptable to complete the screening, but if anyone is selected for the interview, contact your FS for further instructions. In the rare event a NSDUH staff member's address is an SDU, you should complete the screening with an eligible screening respondent. If someone at the address is selected for an interview, contact your FS for instructions.*

Note the “Span” button included at the top of the screen. Touching Span at any point changes the display from English questions to the Spanish translation. **Only RTI-Certified bilingual FIs are allowed to access the Spanish questions. There are no exceptions.**

After touching Span, the button now appears as Eng. Return to the English questions at any time by touching **Eng**.

If you are not a bilingual FI, **NEVER** use the Spanish version of the screening. Also, **NEVER** change the language of the questions to Spanish to let a translator read from the tablet to the screening respondent.

If you are using a translator with a screening respondent, you must read the text word for word in English to the translator and have the person translate the question(s) for the screening respondent into Spanish (or other language, as necessary).

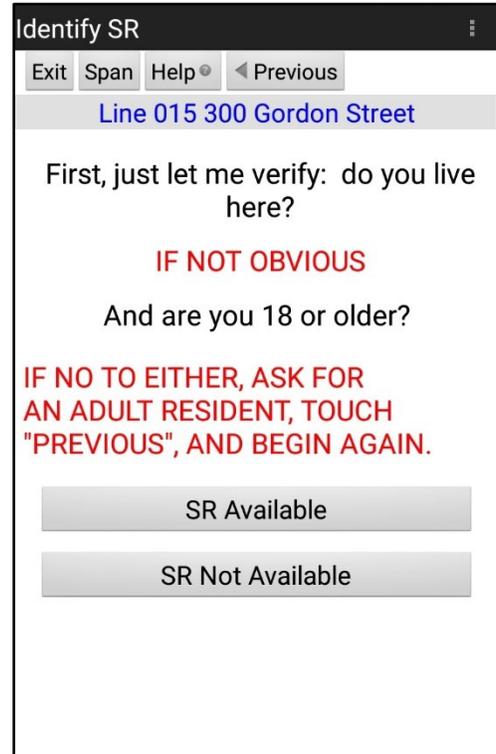


Whether conducted in English, Spanish, or through a translator (preferably a household member with adequate language skills), **the goal of all screenings is to gather accurate information.** Be especially careful in language barrier situations since misunderstandings can occur. Do not complete a screening unless you are confident about the quality of the information you receive. Refer to **Section 4.11** for additional information on dealing with language barriers and translators.

→ When finished, touch **Next** at the top of the screen, or swipe across the screen from right to left to move forward. Note: some screens do not allow swiping to advance. See **FI Computer Manual Section 3.2.5** for more instructions about swiping to advance.

4. The **Identify SR** (screening respondent) screen includes the questions for verifying the person to whom you are speaking lives at the SDU and is age 18 or older. Screening must be completed with an adult resident of the DU. No proxy screenings are allowed. That is, all screening information must come from a resident who is 18 or older.

- Touch **SR Not Available** if either of the following situations occurs:
  - No one answers the door or you are not able to introduce yourself.
  - You are able to introduce yourself but either the question, “First just let me verify: do you live here?” or “And are you 18 or older?” is answered “No,” and no other adult resident is available.
- Touching **SR Not Available** takes you to the Record of Calls to document the event (e.g., 01- no one at home, etc.). Details of ROC entries are discussed in **Section 6.6**.



- Touch **SR Available** if both questions, “First, just let me verify: do you live here?” and “And are you 18 or older?” are answered “Yes.”
- The Exit button at the top of the screen allows you to exit from this and other screens if necessary. If you touch Exit, a pop-up box asks if you really want to exit. Touching **Yes** takes you to the Record of Calls. If you touched Exit in error, touch **No** to close the box.
  - Touching **Previous** at the top of the screen allows you to back up one screen if necessary. Swiping to advance is not allowed.

- On the **Address Verification** screen, read the statement and complete address including the city, state and ZIP, to verify you are at the exact address. If there is only a description of the DU, obtain a street address if possible. NEVER change a physical address or description to a mailing address or Post Office box.

These are the response categories:

→ **Address Is Correct.**

- Need To Edit Address (see *Section 6.8*).
- **FI At Wrong Address** (takes you back to **Select Case** screen so you can either select the correct line and continue screening with the SR or locate the correct unit).
- Touching **Previous** at the top of the screen allows you to back up one screen if necessary, while the **Exit** button takes you to the Record of Calls. Swiping to advance is not allowed.



#### 6.4.4 Informed Consent

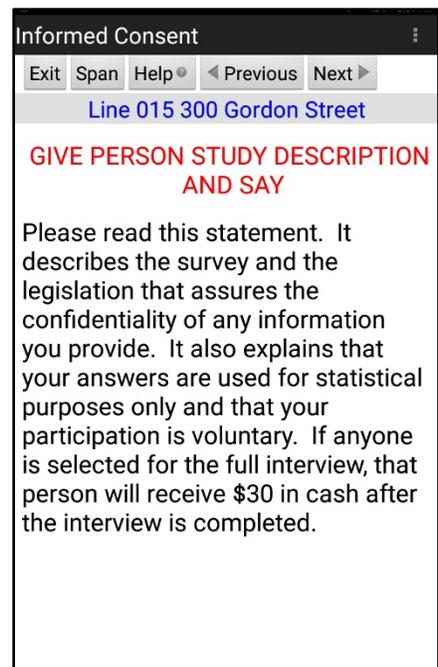
Give the SR a copy of the Study Description to keep, then read the text on the **Informed Consent** screen to the SR verbatim. It is crucial that every SR receive the Study Description as this provides the required information necessary to allow the SR to make an informed decision about participation in the study.

**NEVER** use the terms “pay” or “payment” in reference to the \$30 incentive when answering respondent questions or trying to gain participation. Say you “will give” or they “will receive” \$30 in cash after the interview is completed. Never imply or otherwise indicate the respondent will be paid for their participation.

You have three options:

→ Continue by touching **Next**.

- Back up to the previous screen by touching **Previous** (to go back to Address Verification, Identify SR, or Study Introduction screens).
- **Exit** (to exit out of the screening use the Exit button at the top of the screen to go to ROC [e.g., refusals]).



### 6.4.5 Missed DUs

As explained in *Chapter 3*, part of your job is dealing with dwelling units that were not included when the segment was listed. The **Missed DUs** screen is used to identify any missed DUs during screening. It will only appear at regular housing units that are individual units, such as single family homes, townhouses, duplexes, trailers, and cottages. While townhouses are not technically individual structures, there is a stronger possibility of missed units in townhomes where it is possible to rent out basements as separate living quarters, so the question is asked. The question will not appear at housing units that are multi-unit structures, like condo or apartment buildings (structures with 3+ units).

At regular HUs when you ask the question:

- A “Yes” response takes you through the missed DU process, then continues the screening (*Section 6.9*).  
→ “No” continues the screening.

Swiping to advance is not allowed.

### 6.4.6 Completing the Housing Unit Roster

Having completed the introductory steps, rostering the unit to gather actual information about household members is next.

#### Occupancy

First, determine whether this will be the primary residence for anyone in the DU during the reference months of the quarter displayed by the tablet. If you are screening before the 15th day of the middle month of a quarter (February, May, August or November), the question will be displayed as, “Will you or anyone else in this household live here for most of the time during...” If you are screening on or after the 15th of a middle month, the question will automatically be displayed as “Have you or anyone else in this household lived here for most of the time during...”

If the SR does not know whether or not they (or anyone

Missed DUs

Exit Span Help ◉ ◀ Previous

Line 015 300 Gordon Street

Are there any other living quarters within this structure or on this property, such as a separate apartment with a separate entrance?

Yes No

Occupancy

Exit Span Help ◉ ◀ Previous

Line 015 300 Gordon Street

Have you or anyone else in this household lived here for most of the time during the months of January, February and March?

Yes No

else there) will live there for most of the time during the quarter, treat this as a “Yes” and proceed.

If you touch **No** because no one will live there for most of the quarter, a pop-up box appears asking you to verify the response. Another pop-up box confirms this before the program concludes the screening. It then takes you to **Verification**, then **Record of Calls**, and finalizes the case as a code 26, since respondents lived in the DU less than half of the quarter. Once finalized, you cannot re-open the case without intervention by your FS.

The pop-up box also allows you to change your answer if it was entered in error (touched in error or answered incorrectly by the SR). In the pop-up box, touch **No** if you do not want to change the answer entered. Touch **Yes** if you do want to change the answer. The tablet then displays the Occupancy question again so the correct response can be entered. If you do not think the SR fully understood the question, re-read the question emphasizing the phrase “most of the time.”

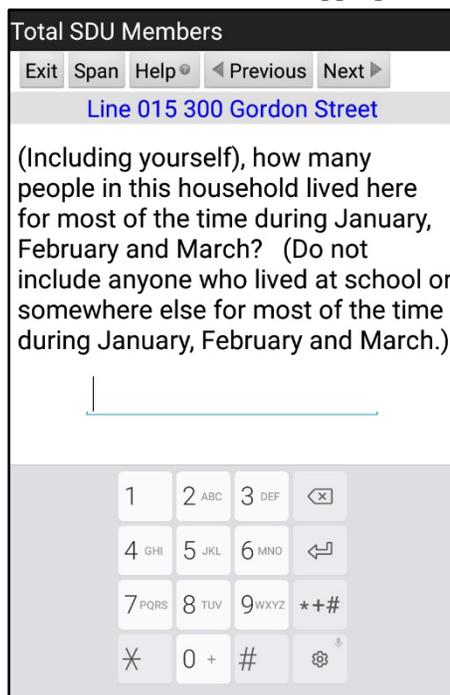
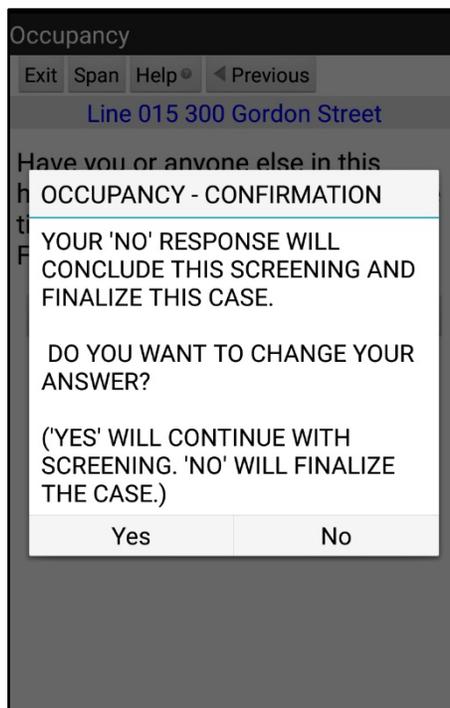
An example of a correct “No” response to the Occupancy question is if you visit an SDU during the second week of the quarter and are told the entire family is moving out that week. No one in that household will live there for most of the time during the quarter, so the answer is “No.” The appropriate final code (26) is then automatically assigned by the tablet.

→ Continuing with the screening process, the response to the Occupancy question is “Yes.”

### **Total SDU Members**

This question asks for the total number of persons expected to live at the DU for most of the time during the quarter. For the most accurate information, focus on the idea of “most of the time during the quarter.” Include all adults and children, even babies. If questions of eligibility are raised, refer to the Enumeration Rules (see [Exhibit 6.1](#) and the **Job Aids Section of the Showcard Booklet**) which explains who should and should not be included in the household roster.

The last phrase in parentheses is an optional probe, not meant to be read at all households. Read it **only** if you feel the



SR needs some additional help in understanding who we are—and who we are not—interested in rostering. In past years the majority of persons listed on the roster in error were college students. Be sure to read this phrase at DUs where there might be college-age children.

→ On the keyboard, touch the **number(s)**. When finished, touch **Next**.

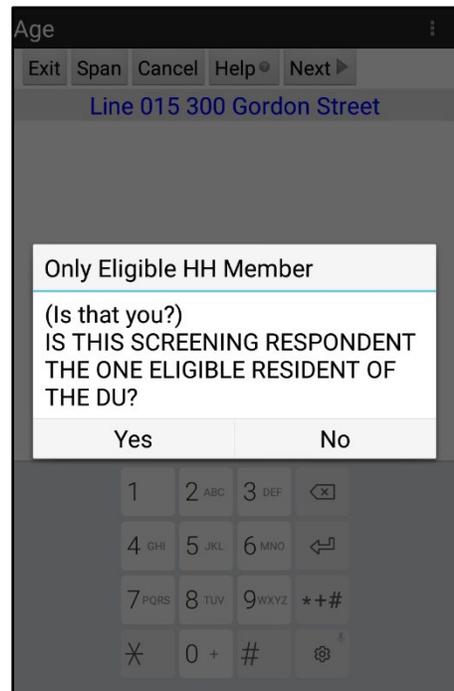
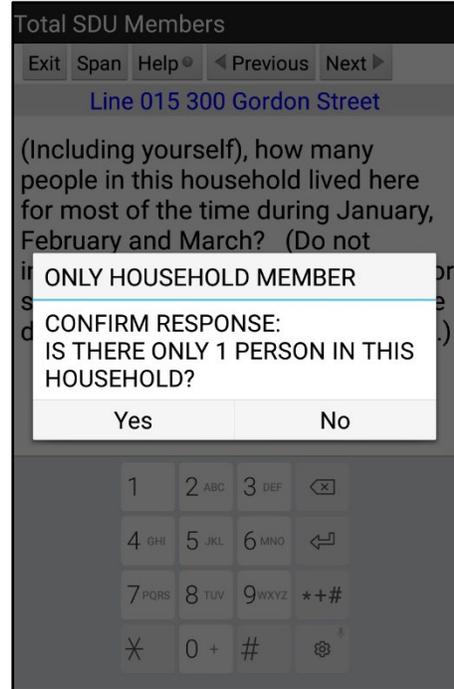
*If you touch a number in error, touch the backspace key to delete the number to the left of the cursor (the blinking line). To move the location of the cursor to delete the correct digit, touch anywhere on the line and the cursor will move to that location.*

### **If the answer is “1”:**

If you enter “1” total SDU member, a confirmation pop-up box appears asking if there is only one person in this household. The confirmation box is there in case you entered “1” by mistake. The program uses different wording for some questions when there is only one household member. If “1” is correct, touch **Yes**.

Another box appears asking if this SR is the one eligible resident of the DU. This is important because there could be more than one person living there but only one who will be living there for most of the time during the months of the quarter. In fact, your SR might be a resident of the DU at the time of screening but be an ineligible person who is moving out early in the quarter.

- If the SR is the one eligible person, touch **Yes**.
- If the SR is not the one eligible person, touch **No**.



**Exhibit 6.1 Enumeration Rules**

**PERSONS WHO ARE NOT TO BE INCLUDED ON ROSTER:**

- Persons under the age of 12 at the time of screening are included in the Total SDU Members number, but not in the roster
- Persons who are institutionalized at the time of screening
- Persons who will not live at the SDU for most of the time during the quarter

**PERSONS WHO ARE TO BE INCLUDED ON ROSTER:**

- Persons who will live at the SDU for most of the time during the quarter (provided they are 12 or older and not institutionalized at the time of screening)

**PERSONS ON ACTIVE DUTY IN THE UNITED STATES' MILITARY/ARMED FORCES:**

- Active duty personnel who live at the SDU for half or more of the quarter will be rostered, but then will be made ineligible by the tablet prior to selection

**KNOWN CITIZENS OF FOREIGN COUNTRIES:**

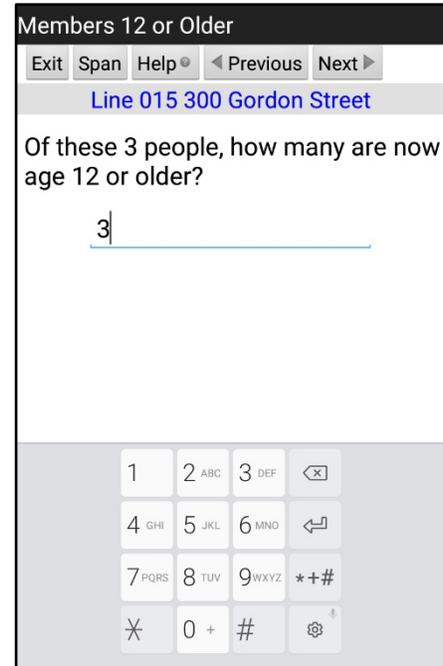
- **DO NOT INCLUDE:**
  - citizens of foreign countries living on the premises of an embassy, ministry, legation, chancellery, or consulate
  - citizens of foreign countries who consider themselves to be just visiting or traveling in the United States (regardless of the length of time they will be staying at the SDU)
- **DO INCLUDE** citizens of foreign countries who are not living on the premises of an embassy, ministry, etc., but who are living/studying/working in the United States and who will be living at the SDU for most of the time during the quarter.

## **Members 12 or Older**

The response entered for Total SDU Members displays in this question which asks how many of these residents are now 12 years old or older.

→ Enter the number, and touch **Next**.

If the answer is “1” the tablet will confirm the response in the same process just described and move directly to the age question.



## **Roster Intro**

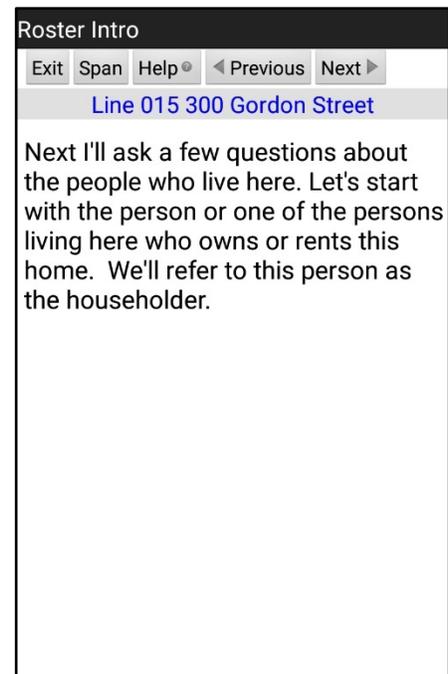
For SDUs with more than one eligible member, the tablet displays this transition statement which defines the householder—the person or one of the persons who lives there and in whose name the home is owned or rented. You are interested in the person who is considered to be the householder for most of the time during the quarter. Also, do NOT assume the SR is the householder. If the SR states the home is owned or rented by more than one person, have the SR choose one to serve as the householder by saying something like, “It is your choice who you would like to use.” Only if the SR has difficulty choosing, list the person mentioned first as the householder.

→ After reading this statement, touch **Next**. Swiping to advance is not allowed.

## **Roster**

Next, create a roster that includes every person age 12 or older who will live at the SDU for most of the time during the months of the quarter.

The six items to be collected are age, relationship to the householder, gender, Hispanic origin, race, and military status. Each question appears on a separate screen. The tablet repeats the question series for each eligible household member.



For each item:

- **Read the question to the respondent.** Read verbatim using the exact words shown on the screen. The tablet customizes the questions when possible, using appropriate pronouns such as “you” for the screening respondent and he or she for others, once gender has been answered.
- **Enter the answer** by touching the appropriate response from the list below the question.

### **AGE**

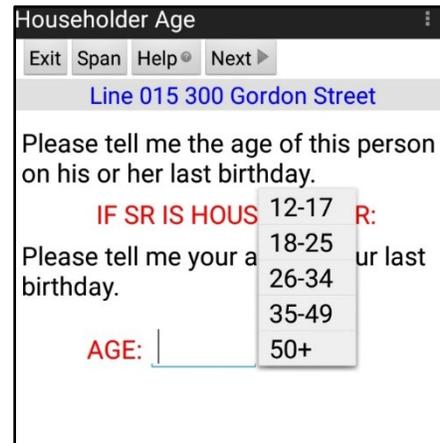
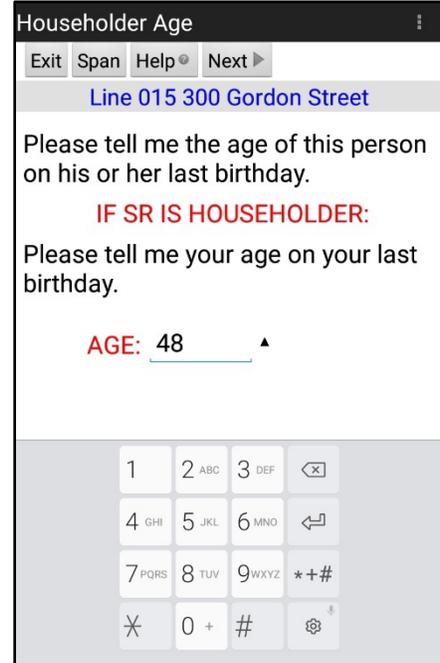
The intent of this question, “Please tell me the age of this person on his or her last birthday,” is to collect the householder’s present age. Some ethnic or racial groups report age as “age on their next birthday,” meaning the year they are presently living. However, some screening respondents may misinterpret “age on last birthday” as the age they were “last year.” It is important to probe and collect present age on last birthday. Do not ask, “How old are you?” as a probe. Instead, re-read the question putting emphasis on the words “last birthday.”

At this point you may or may not know if the SR (the person you are speaking with) is the householder. Unless the SR has identified himself/herself as the householder, read the first question. However, if you already know the SR is the householder, use the alternate question that specifies “your” age.

If the SR refuses to give an age, reassure him/her the information is needed for the selection process and the data are used for statistical purposes only. If the SR continues to refuse, attempt to obtain an age range category as a last resort. Only enter age ranges when absolutely necessary, since an accurate age is needed for proper data analysis. Touch the up arrow to the right of the answer field to see a list of available age ranges.

Ask the SR to indicate the range in which the age falls (12-17, 18-25, 26-34, 35-49, 50+). Touch the correct range for the response. If the respondent refuses to choose an age range, explain you cannot continue without the information. If the SR still will not supply an age or range, touch Exit to go to the ROC and record the screening as a pending refusal. Never code an age range by observation.

→ Enter householder’s present **age** using the keyboard, then touch **Next**.



## **SCREENING RESPONDENT**

The next step is to indicate whether or not the SR is also the householder. Do NOT automatically assume the SR is the householder. You may know based on clues provided by the respondent. The pop-up box instructs you to determine, based on information you already have and the age of the SR, if the householder is the SR. If unsure, read the question, “Is that you?”

The SR must be a household member age 18 or older. If you identify an SR under age 18 in an HU or GQU, the tablet prompts you to “locate” an eligible SR.

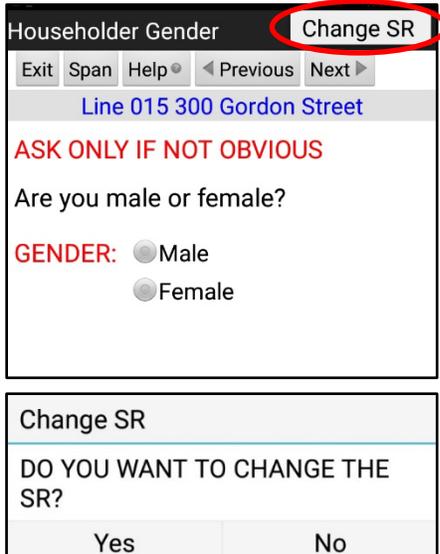
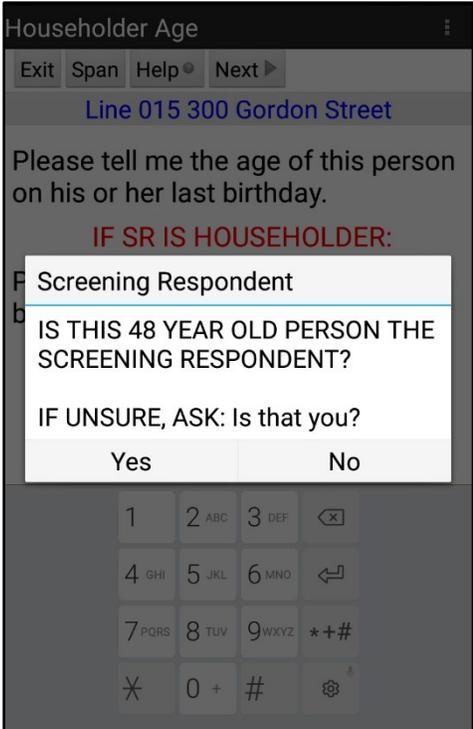
- Touch **Yes** if the person is the SR or **No** if the person is not the SR.
- If the person is not the SR, the tablet continues to ask this question as you enter each household member’s age until someone is identified as the SR. You should eventually identify one rostered person as the SR.

*The possibility exists that the SR may not be listed on the roster because of ineligibility for NSDUH. Perhaps the SR is a resident of the DU at the time of screening but is moving out the next week and will not be there most of the quarter. The tablet continues to ask for an SR who has a roster record entered and reminds you to mark one. If the actual SR is not listed on the roster, you must record the details of the situation in the ROC Comments.*

*It is also possible you may need to change the person marked as SR at some point. Marking the correct SR allows the tablet to display the correct question wording including pronouns. During subsequent rostering questions, if you realize you need to change the SR, you may do so. To change the SR:*

1. Touch Functions  on any of the rostering screens and the Change SR button appears. Touch Change SR.
2. The tablet asks a confirmation question to be sure you want to change the SR. Touch the appropriate answer.
3. If yes, you are asked if the person for whom you are completing the roster is the SR. Indicate your response. Another pop-up then asks you to confirm your response (“PLEASE CONFIRM RESPONSE. IS THIS PERSON THE SR?”).
4. If you answer “No” to indicate the person is not the SR, you will be prompted to choose an SR on subsequent roster members until an SR is marked.

*Read the pop-up boxes carefully and the tablet will guide you through the process of changing the SR. You probably will not need to use this function often, but it is there if needed.*



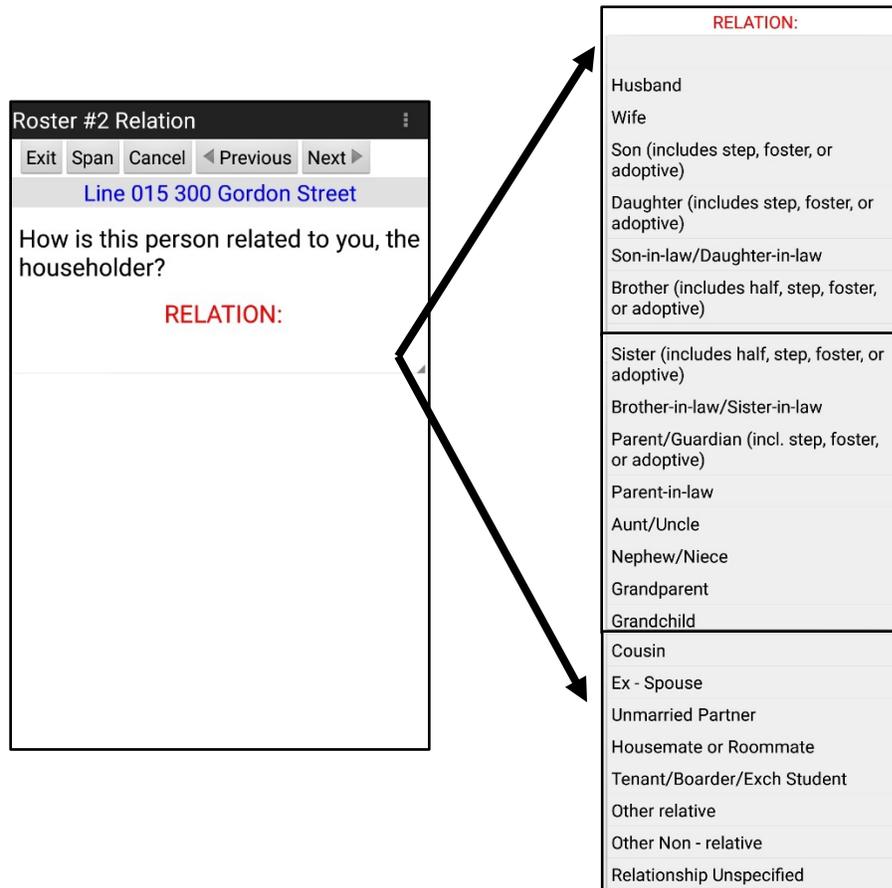
## RELATIONSHIP

For all DU members other than the householder, the relationship question appears as, “How is this person related to the householder?” (or “How is this person related to you, the householder?”). (For the householder, the relationship is automatically filled as Householder.) When selecting the relationship for a roster member, always choose the most appropriate category.

→ Touch the **relation field** to display a box with a list of relationships.

Then touch the appropriate relationship to the householder. As needed, swipe up or down to scroll through the list. Make sure you are familiar with all the relationships available (shown below) so you are able to easily select the most applicable one. The respondent may not use an exact term from this list so carefully review the entire list before choosing the closest and most appropriate category. Doing so will help ensure each roster member’s relationship to the householder is clear, and assist with identifying the correct respondent if anyone is selected for the interview.

→ Touch **Next** when finished.



## **GENDER**

Only if it is not obvious, ask, “Is this person male or female?”

If you are talking to the SR and they are rostering themselves, the text will read, “Are you male or female?”

You may need to ask this question for the householder unless the screening respondent is the householder or the SR uses a specific pronoun when referring to the householder. If the SR uses names, do not use the name to determine gender as many names can be gender neutral.

*Note: On the Householder Gender question, if the SR refuses to provide a gender, says “neither,” or gives a gender-neutral response, there are no refused/unknown options. (Note: Refused is an option for subsequent household members.) Politely explain there are only two options and probe for a response. If the SR still refuses:*

- *For the Householder, the FI should answer based on the pronoun used by SR, or by observation of SR.*
- *For all subsequent roster members, mark Refused.*

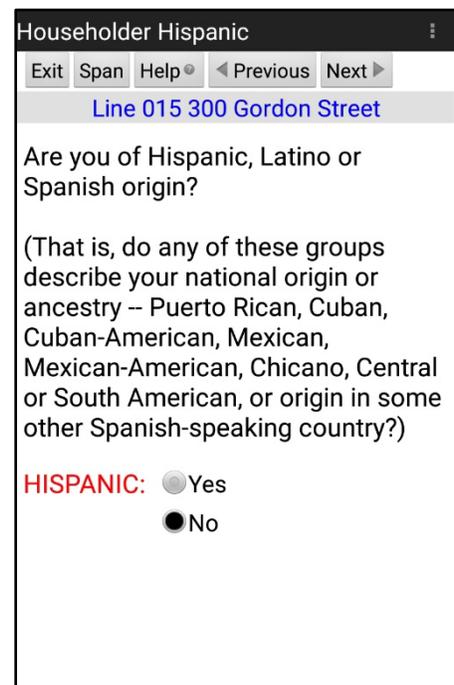
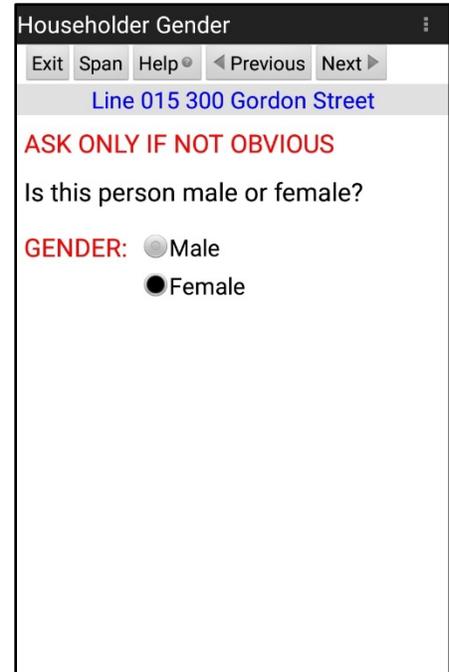
For other DU members, if the relationship selected indicates a specific gender (husband, wife, son, daughter, brother or sister) the tablet records the gender for that person automatically and this screen will not appear. *(Note: As needed, the gender can be edited if it is different than the prefilled answer.)*

→ Touch the correct response, then Next.

## **HISPANIC ORIGIN**

Ask the question on the screen, “Are you of Hispanic, Latino or Spanish origin?” If the SR hesitates or seems to not know what is meant by Hispanic, then read the additional explanatory sentence, starting with “That is,...” Otherwise, you do not have to read the text in parentheses.

→ Touch the **correct response**, then touch **Next**.



## **RACE**

In order to accurately capture how respondents view themselves in terms of race, the race question allows a respondent to select multiple races. It is important you **read the entire question at least once, while rostering the Householder**, so the respondent hears all the choices.

Check as many races as apply. If you touch a category by mistake, touch the category again to clear the answer.

Do not code this item by observation, even if there is no doubt in your mind. The answer must come from the SR, not you.

Only if the SR refuses to provide a race or ethnicity for the householder can you record an answer for the race and Hispanic origin questions based upon your observation of the race/ethnicity of the SR. Be sure to note this in the ROC Comments. This is only for the householder and only if absolutely necessary. This should happen VERY rarely.

Never record other household members' race or ethnicity by observation. For subsequent household members, the options "unknown" and "refused" are available on the screen. If the SR cannot provide an answer and is unwilling to guess, even after probing, touch Unknown. If the SR refuses to provide a response even after you provide reassurance of confidentiality, touch Refused. **Due to the importance of all screening information, UNKNOWN and REFUSED responses are closely monitored.**

→ Touch the **correct response(s)**. Touch **Next** when finished.

*Note: If a respondent says the race is Hispanic, you need to probe for an answer. Politely acknowledge you have recorded Hispanic for the previous question, then read the race question again. If the respondent replies Hispanic is the race category, simply mark "Other." If the respondent gives "Hispanic" as the race for other household members, do not continue to probe for the race. Mark "Other" and continue with the next question.*

Householder Race

Exit Span Help ◂ Previous Next ▸

Line 015 300 Gordon Street

Are you White, Black or African American, American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, or Asian?

Race:

White

Black or African American

American Indian or Alaska Native

Native Hawaiian/other Pacific Islander

Asian

Other

(CHECK ALL THAT APPLY)

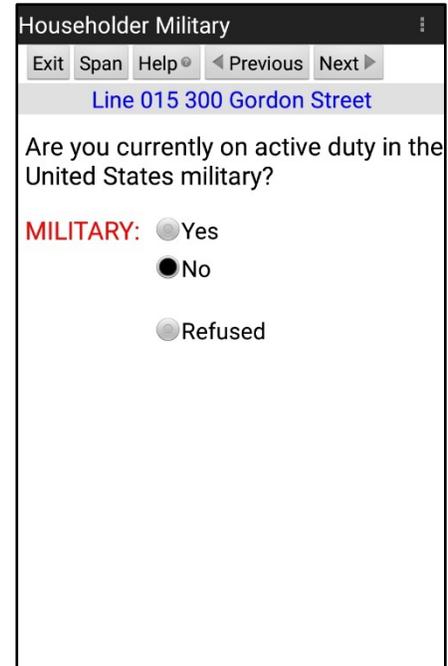
## **MILITARY STATUS**

You will only see this question for DU members between the ages of 17 and 65, since recruits must be at least 17 to enlist in the armed services and the military has a mandatory retirement age. For individuals aged 12-16, or 66 and older, the tablet skips the question and records a “No” response. For persons aged 17-65, read the question. It is important to read the question as worded—omitting “currently” or “active” changes the intent of the question and may yield an incorrect response.

For subsequent household members, the options “unknown” and “refused” are available on the screen. “Unknown” is not available for the SR, since they should know if they are on active duty or not.

While anyone on active duty in the military is not eligible for the interview, their spouses, children, or any other civilian dependents living with them are eligible for the interview. When an entire household consists of only active duty military personnel, the tablet automatically assigns a code 22 for the case and prompts you to obtain verification information.

→ Touch the correct response then Next.

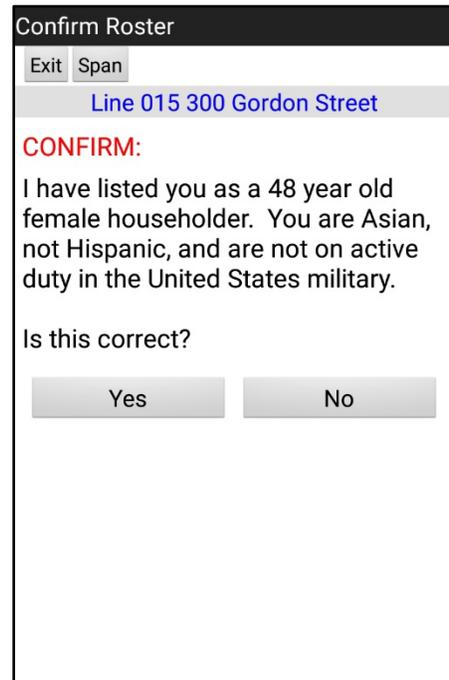


## **CONFIRM ROSTER**

Before the tablet finalizes the roster for this person, this screen helps verify the accuracy of the information you have recorded by quickly reviewing the responses with the SR. If there was an unknown or refused response, that item will not display within the script.

- If you need to edit or add a response, touch **No**. The tablet then displays the questions again, one at a time, with the previous responses displayed. Make any needed changes, touching Next to move through the questions.

→ If all is correct, touch **Yes** to continue.



## **TRANSITIONAL PHRASE**

This statement explains the rostering of the remaining household members.

If there are only two household members age 12 or older (one is the householder and the other is the next person to be rostered), the first sentence is customized to display “the other person” instead of “all of the other people,” and the second sentence does not appear.

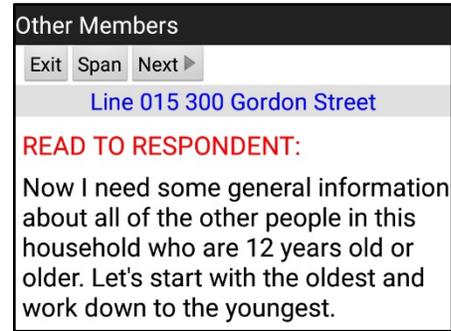
→ Touch **Next**, then roster the remaining household members.

While rostering another household member, or editing an existing member’s record, if the SR tells you this person will not actually be living in the SDU for most of the time during the quarter, touch the Cancel button at the top of the screen (as seen in the Roster # 2 image to the right). A pop-up box then asks you to verify the cancellation of the record. This situation happens occasionally when an SR includes a son or daughter currently living at college. Be sure to explain why you cancelled the roster record in the ROC Comments (see **Section 6.6**).

Note: You cannot cancel the first person’s record (householder), as the Cancel option is not available. If necessary, you can make this person ineligible on the Verify Roster Data screen.

*While rostering members other than the householder, if the SR provides an answer before or as you are asking a particular roster question, you may enter the response without reading the corresponding question in its entirety (only because the SR has heard the questions in their entirety once already). For example, after you read the Hispanic question for Roster Member #2 the SR answers “No, he’s not Hispanic and he’s white too.” In this situation you may enter the response “White” without reading the Race question, then continue with asking the next question on military status.*

*Remember, for the householder you must read all of the roster questions verbatim to the SR. When rostering other household members, never assume the respondent will volunteer information early. Always proceed with reading the roster questions verbatim, and only in circumstances where the SR has heard the question in its entirety at least once already then provides a response before you complete the question are you allowed to accept this information.*



## VERIFY ROSTER DATA

After all household members are rostered, the tablet displays a summary chart on the **Verify Roster Data** screen. The screen appearance and instructions depend on the number of members rostered: rosters with just one member will look like the screen below on the left, and rosters with two or more members will look like the screen below on the right. The appropriate screen appears automatically.

Verify Roster Data

Exit +Member Span Help ◉ Next ▶

Line 002 102 Kildaire Farm Road

**DO NOT READ TO RESPONDENT.  
WHEN READY, TOUCH NEXT TO  
MAKE SELECTION.  
TO MAKE CORRECTIONS: TOUCH  
AND HOLD THE ROSTER LINE THAT  
YOU WANT TO EDIT, THEN TOUCH  
"EDIT" FROM THE POP-UP MENU.**

RELATION	AGE	SR
Householder	38	Y

Verify Roster Data

Exit +Member Span Help ◉ Next ▶

Line 015 300 Gordon Street

I need to make sure this list is accurate. I have listed ...

**[READ AGES AND RELATIONSHIPS  
ROSTERED].  
TO MAKE CORRECTIONS: TOUCH  
AND HOLD THE ROSTER LINE THAT  
YOU WANT TO EDIT, THEN TOUCH  
"EDIT" FROM THE POP-UP MENU.**

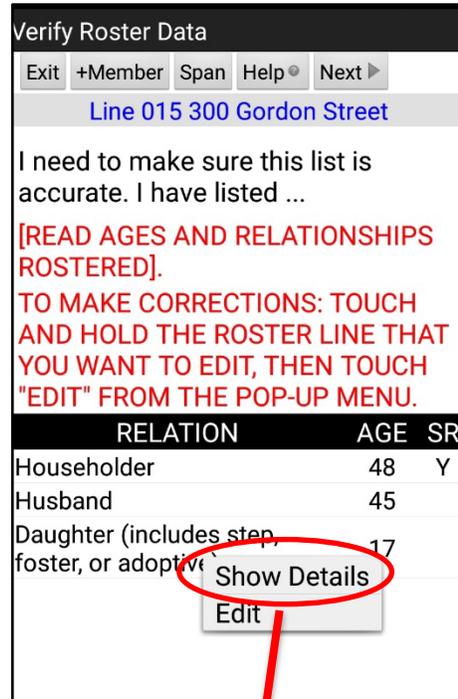
RELATION	AGE	SR
Householder	48	Y
Husband	45	
Daughter (includes step, foster, or adoptive)	17	

Be aware this screen does not follow the pattern of previous screens. The directions to you are in red ALL CAPS. At households with two or more members, the prompt states, “I need to make sure this list is accurate. I have listed... (READ AGES AND RELATIONSHIPS ROSTERED).” There is some flexibility when presenting the ages and relationships. An example of what to say at the household shown above on the right is, “I need to make sure this list is accurate. I have listed a 48-year-old householder, 45-year-old husband, and 17-year-old daughter.” The SR does not need to respond. Verifying who is listed on the roster is very important, as it gives the SR the chance to ensure they included everyone and that the ages are accurate to the best of their knowledge. After reading the screen, touch **Next**. For households with only one member, the prompt tells you to touch Next without reading anything to the SR.

The columns are labeled as follows:

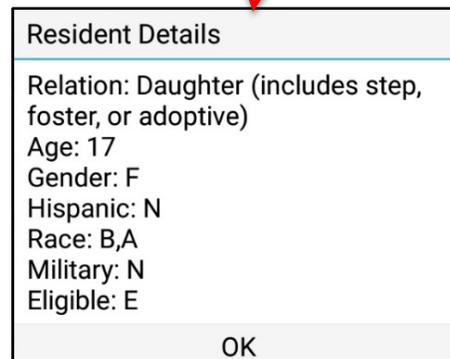
Relation	Relationship
Age	Age
SR	Screening Respondent (Y or blank)

To view roster details, touch and hold the roster line you wish to see. From the pop-up menu that appears, touch **Show Details** to view a summary of the information entered for that roster member.



An example displaying all roster details is shown to the right in the Resident Details pop-up. The additional details are:

Gender	(M or F)
Hispanic	(Y or N)
Race	(W=White, B=Black or African American, I=American Indian or Alaska Native, P=Native Hawaiian or other Pacific Islander, A=Asian, O=Other Race)
Military	(Y or N)
Eligible	(E=Eligible, I=Ineligible)



For some items, U for Unknown or R for Refused may appear if the SR was unable or unwilling to provide an answer. To close the Resident Details pop-up, touch **OK**.

**All entries must be complete and reflect the responses provided.**

## **EDIT ROSTER MEMBER**

If the SR wants to correct an entry or you see an error you made, you can edit any person's roster information by touching and holding his/her line in the chart on the **Verify Roster Data** screen, then touching **Edit**. An Edit Roster Record? pop-up appears confirming you want to edit the selected roster. Touch No to close the box if selected in error. Touch **Yes** and an **Edit Roster Member** screen appears, as shown to the right, listing the various items, including selection eligibility and screening respondent status.

You can update responses to any of these categories by touching the correct response, which replaces the original response. When finished, touch **Commit**.

Edit Roster Record?	
DO YOU WANT TO EDIT THE ROSTER INFORMATION FOR THE 17 YEAR OLD DAUGHTER (INCLUDES STEP, FOSTER, OR ADOPTIVE)?	
Yes	No

Edit Roster Member #3		
Cancel	Commit	Help
Line 015 300 Gordon Street		
AGE:	17	▼
GENDER:	<input type="radio"/> M	<input checked="" type="radio"/> F <input type="radio"/> R
RELATION:	Daughter (includes step, foster, or adoptive)	
HISPANIC:	<input type="radio"/> Y	<input checked="" type="radio"/> N <input type="radio"/> R <input type="radio"/> U
RACE: (CHECK ALL THAT APPLY)		
<input type="checkbox"/> White	<input type="checkbox"/> Am. Indian	<input checked="" type="checkbox"/> Asian
<input checked="" type="checkbox"/> Black	<input type="checkbox"/> Hawaiian/PI	<input type="checkbox"/> Other
<input type="radio"/> Race Refused	<input type="radio"/> Race Unknown	
MILITARY:	<input type="radio"/> Y	<input checked="" type="radio"/> N <input type="radio"/> R <input type="radio"/> U
ELIGIBLE:	<input checked="" type="checkbox"/>	
SR:	<input type="checkbox"/>	

Use the **Cancel** button to exit. A pop-up appears confirming you really want to cancel the edit to the roster record. Touch No to close the pop-up and continue making edits. Touch **Yes** to return to the **Verify Roster Data** screen without making any changes.

Cancel Edit	
ARE YOU SURE YOU WANT TO CANCEL THE EDITS TO THIS ROSTER RECORD?	
Yes	No

While on the **Verify Roster Data** screen, if you need to add a member to the roster, touch the **+Member** button at the top. The tablet will walk you through rostering the new member. Once complete and after ensuring the roster information is correct on the **Verify Roster Data** screen, touch **Next**. Due to the importance of this step, swiping is not allowed on this screen.

- **Read the list** on the **Verify Roster Data** screen and make any necessary corrections, then touch **Next**.

#### 6.4.7 Selection

The selection process is fully automated: the tablet processes the information entered, and selects zero, one, or two respondents to be interviewed. After you verify the roster and touch **Next**, you see a confirmation box asking if you are sure you are ready to make the selection.

Before responding, consider the accuracy of the information on the tablet. Have you entered it correctly? Do you feel the respondent answered correctly and/or truthfully? If you have doubts, touch **No** and either make corrections to the roster immediately or touch **Exit** to exit screening. All the information you have entered is saved, and you can go back into the case to make updates as soon as you obtain the correct information.

Once the selection is made, you cannot go back into the roster and re-screen without special intervention by your FS and RTI staff, so be sure you are ready to proceed.

- In most cases you will proceed by touching **Yes**.



The **Respondent Selection** screen displays who in the household was selected for an interview. The screen is divided in half: the upper half displays selection information for Interview A; the bottom half is for Interview B.

Items listed for each person selected for the interview are:

- **Roster Number:** The roster number is the numerical listing of the persons listed on the roster. For example, the daughter was listed third and was selected for an interview, so the roster number is “3.” If no one is selected, it simply says “None.”
- **QuestID (A or B):** This is the QuestID you enter in the CAI Manager on the laptop to begin the interview (see *Chapters 7 and 8* of this manual as well as *Chapter 5* of the *FI Computer Manual* for more on conducting the interview.)

For cases with two selected respondents (code 32), make sure QuestIDs for A and B are entered correctly in the CAI Manager for the right person!

- **Relation:** The relationship to the householder on the roster.
- **Age:** Age of the selected respondent. If age categories were used in the roster, the age range is displayed here.
- **Sex:** Gender of selected respondent.
- **Race** Race of selected respondent.
- **Hispanic** Whether or not the selected respondent is Hispanic.

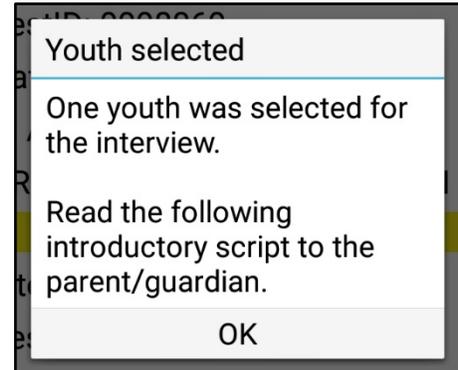
These pieces of information will help you identify the selected interview respondent during this or subsequent visits to the household. *Chapter 7* discusses preparing for the NSDUH interview.

The screenshot shows a mobile application interface titled "Respondent Selection". At the top, there is a navigation bar with "Done" and "Help" options. Below this, the address "XX10B10015 300 Gordon Street" is displayed. The screen is split into two sections: "Interview A" and "Interview B", each with a yellow header. Interview A details include Roster #: 1, QuestID: 9998069, Relation: Householder, Age: 48, Sex: F, Race: A, and Hisp: N. Interview B details include Roster #: 3, QuestID: 9998915, Relation: Daughter (includes step, foster, or adoptive), Age: 17, Sex: F, Race: B,A, and Hisp: N.

## YOUTH SELECTED FOR INTERVIEW

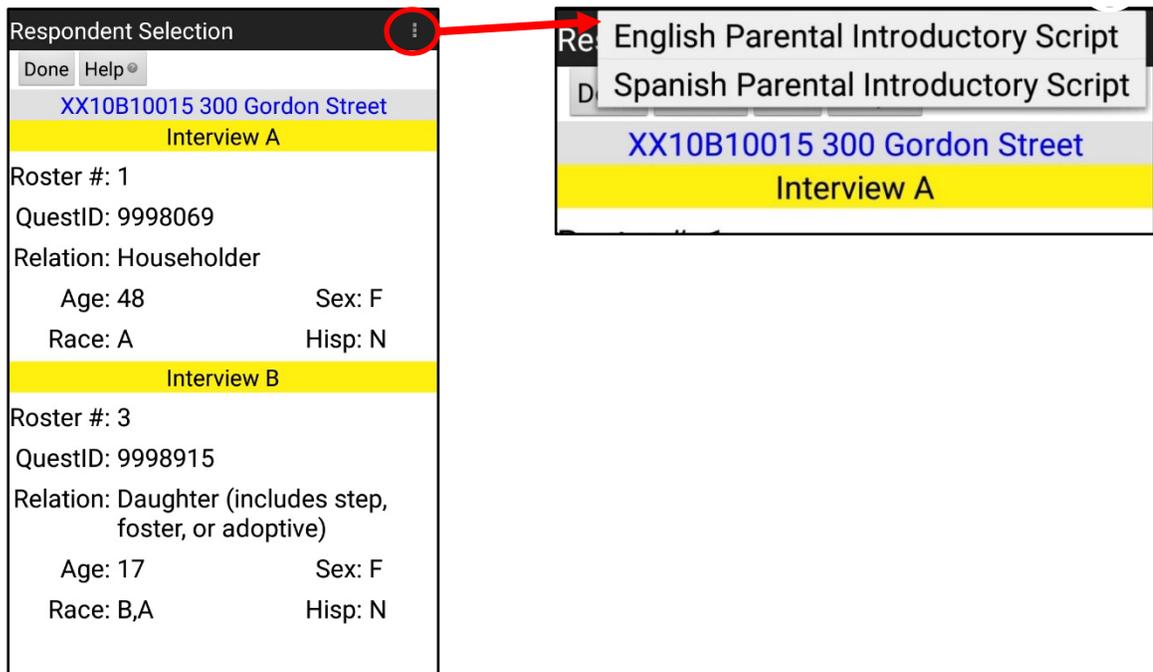
If a youth respondent, aged 12 to 17, is selected for an interview, upon touching Done on the **Respondent Selection** screen, a pop-up appears reminding you one or two youths were selected and you must read the introductory script to the parent to gain permission to speak with the youth(s) about participating in the study.

Touch **OK** to continue. The appropriate script appears based on whether one or two youths were selected and displays the age(s) of the selected youth in the text automatically.



To access the Parental Introductory Script at a later time, from the **Respondent Selection** screen touch Functions, then select the appropriate script, either in English or Spanish.

Refer to **Sections 7.4.2** and **7.6.2** for the Parental Introductory Script text and information about permissions when interviewing youth.



## 6.5 Verification

If no one is selected to be interviewed (Code 30) the tablet displays the **Verification** screen to obtain verification information from the SR which is used for quality control procedures.

Finalized ineligible cases (for example, vacant or vacation homes) have result codes 10, 13, 18, 22, 25, and 26 (see description of result codes in *Section 9.2.2*) and also take you through the verification process. For these cases you enter the correct code in the ROC (see *Section 6.6*), then the tablet displays the **Verification** screen. You will obtain information from a knowledgeable adult, such as a neighbor, landlord, realtor, or in some cases the SR, then the program immediately takes you from the ROC screen through the verification process while you are still talking with this person. Be aware that no NSDUH staff members are to serve as this contact person. Also, individuals providing verification information who do not live at the DU (neighbors, landlord, etc.) should not receive study-specific materials such as Q&A Brochures, etc.

Verification

Done Span Clear Help

Line 002 102 Kildaire Farm Road

So that my supervisor may check the quality of my work, may I please have your first name and telephone number?

First Name

Not Avail. Ref.

Phone

Home Cell Work Not Avail. Ref.

CONFIRM NUMBER WITH R

NOTES TO VERIFICATION CALLER

### 6.5.1 Entering Verification Data

Read the script on the screen verbatim: “So that my supervisor may check the quality of my work, may I please have your first name and telephone number?” The first name and phone are used to contact a percentage of each FI’s cases. If the person refuses, say something like, “A percentage of the households I visit are called just to check that I have been here doing my job. They will only ask a few questions to make sure I was here and I was professional.” Emphasize it is used only to check the quality of your work. Consider leaving a Q&A Brochure (with SDU residents only) that might help the respondent remember your visit.

This screen allows you to enter the person’s first name, home, cell or work phone, indicate if any pieces of information were not available or refused, and enter any helpful comments for the RTI verification caller. After entering the phone number, you must confirm the number entered with the respondent to be sure you have entered it correctly. Ask the respondent to repeat the number or read the number back to the respondent for confirmation.

Be aware that your FS is not able to view this information. It is accessed only by NSDUH Data Quality and Verification staff.

## NAME

After reading the question, touch the **box** for the First Name field and use the keyboard to enter the respondent's first name.

- Enter the person's name. Capitalization is not necessary, but the tablet keyboard does automatically capitalize the first letter of the name.

If the person refuses to provide a name or for some reason a name is not available, touch the appropriate selection (Not Avail or Ref) below the First Name box. First, reassure the person the information is completely confidential and only used to verify the quality of your work.

## PHONE

- When you have finished the name entry, touch **the Phone field**, to display the numeric keypad and enter the 10-digit phone number. It is not necessary to include dashes, as they are added once you touch Done.

- If you make a mistake on the phone number, touch the **backspace** key (to the right of the number 3) to delete the incorrect digits then enter the correct number.

Ask the respondent to repeat the number for you or read it back to them to confirm you have entered the number correctly.

- Touch the word **Home, Cell** or **Work** below the number to designate the correct phone number type. This helps the RTI verification caller when trying to reach this respondent. Remember, entering the correct area code and phone number is very important.
  - A home or cell number is better than a work number.
  - **Never** prompt the respondent for their phone number by leading with the area code (i.e. suggesting a response, "555..."), as this can introduce interviewer bias. The respondent should provide the entire number.
  - If you are given a work number, try to get an extension or at the minimum, a department name to include in the Notes.
  - RTI's verification unit cannot accept incoming calls.

Verification

Done Span Clear Help

Line 002 102 Kildaire Farm Road

So that my supervisor may check the quality of my work, may I please have your first name and telephone number?

First Name Joan

Not Avail.  Ref.

Phone

Home  Cell  Work  Not Avail.  Ref.

**CONFIRM NUMBER WITH R**

**NOTES TO VERIFICATION CALLER**

1 2 3 4 5 6 7 8 9 0 Del

q w e r t y u i o p <

a s d f g h j k l ↵

↑ z x c v b n m , ! . ? ↑

Ctrl !@ English (UK) < >

Verification

Done Span Clear Help

Line 002 102 Kildaire Farm Road

So that my supervisor may check the quality of my work, may I please have your first name and telephone number?

First Name Joan

Not Avail.  Ref.

Phone 9195553456

Home  Cell  Work  Not Avail.  Ref.

**CONFIRM NUMBER WITH R**

**NOTES TO VERIFICATION CALLER**

1 2 ABC 3 DEF <

4 GHI 5 JKL 6 MNO ↵

7 PQRS 8 TUV 9 WXYZ \*\*+#

\* 0 + #

If the person refuses to give you a number or does not have a phone, touch the appropriate category (Ref for Refused or Not Avail for Not Available) below the phone number. Reassure the person the information is completely confidential and is only used to verify the quality of your work.

*If you experience a number of people refusing to provide verification information, please talk with your FS about this so he/she is aware. Your FS may also have tips on preventing these refusals.*

### **NOTES TO VERIFICATION CALLER**

- If you have notes to enter for the verification caller, touch the **box** under Notes to Verification Caller, and use the keyboard to enter any notes that would help the RTI verification caller complete the call.

Examples of helpful notes are:

- Best times to call. If you had trouble reaching this person, the verification caller will likely experience the same problem. Provide information on the best times to call. For example, the person says calling on weekday evenings is best.
- Best days to call. If the person was difficult to find at home, provide information on when you had luck catching him or her.
- Who the contact person is (landlord, real estate agent, person who just moved into the house). If a name is not available, include a note to the verification caller about the situation.
- If the person gives a work phone, enter the extension number or department name.

*If you used a translator to conduct the screening, include a note to the verification caller documenting the use of a translator and indicating the language spoken (if known).*

*If the same person is providing verification data for multiple units (apartments, etc.), include a note that the contact is a “multiple verifier.” Then, pass this information on to your FS so the Data Quality team can be notified. (Your FS does not have access to this information.) This will help eliminate multiple verification calls to the same person.*

- When finished, **scan all verification data entries for accuracy**, then touch **Done** to continue to the Record of Calls.

**Verification**

Done Span Clear Help

**Line 002 102 Kildaire Farm Road**

So that my supervisor may check the quality of my work, may I please have your first name and telephone number?

**First Name** Joan

Not Avail.  Ref.

**Phone** 9195553456

Home  Cell  Work  Not Avail.  Ref.

**CONFIRM NUMBER WITH R**

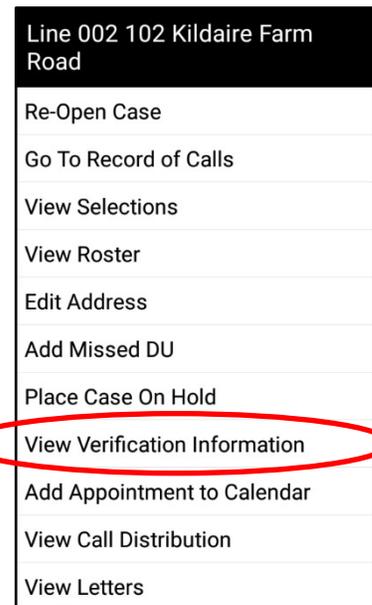
**NOTES TO VERIFICATION CALLER**

Best to call evenings during week. 6-9pm

- If you need to update an entry, touch the **category title** (First Name, Phone, Notes). Either use the keyboard to edit your entry or touch **Clear** and your entry is erased so you can enter the correct information.

*If needed, verification information can be edited to include additional information or corrections BEFORE the case is transmitted (once transmitted, no edits can be made.) If edits are needed, place the case On Hold to ensure it is not transmitted.*

*To review or edit the verification information, from the Select Case screen touch and hold the case to display the Actions menu. Touch View Verification Information and make any needed edits. Touch Done to save the changes and exit.*

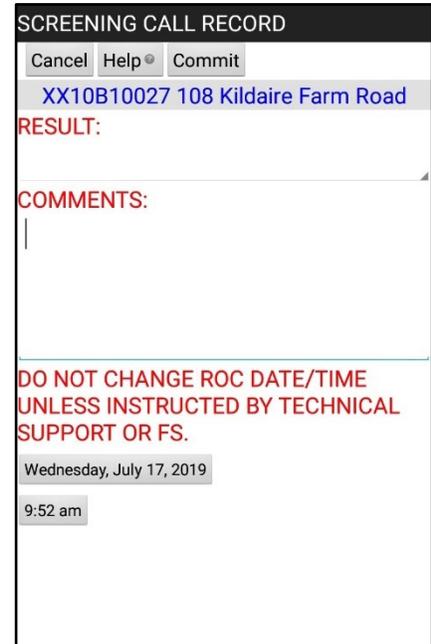


## 6.6 Record of Calls

The ROC on the tablet allows you to document each attempted contact with an SDU with just a few touches. Each visit to each SDU must be documented separately in the ROC. The ROC also contains a refusal report required for each entry of a refusal code, both pending and final, described in **Section 6.6.2**.

There are two main ways to access the ROC—from the screening and from the **Select Case** screen where you touch and hold the case, then touch **Go to Record of Calls**.

When you approach the SDU for a screening visit, be on the **Study Introduction** screen, ready to screen. When you can complete the screening, the tablet then takes you to the ROC to make your entries in the **Screening Call Record** screen shown to the right. Similarly, if you cannot finalize the screening during the visit (for example no one is home, or an SR is not available), you exit the screening and next see the **Screening Call Record** screen for that SDU.



- The day of week, date and time of day are prefilled in gray near the bottom of the screen. Do NOT change the date or time displayed on the screen unless specifically instructed to do so by your FS or Technical Support staff.
- The ROC is very quick and easy to complete while you are at or walking away from an SDU. You MUST enter the call record information at—or immediately after—the time of contact (i.e. once you are at your car).

- Touch the RESULT field to display the list of screening (or interview) result codes. Touch the **appropriate result code**. Result codes are explained in **Section 9.2**.

To the right is the list of pending codes for a screening case. You can view the final codes by swiping up on the screen to scroll through the list.

- Next, add any **Comments** (such as good times to return or information to help you locate the respondent, etc.).

To enter comments, touch the **Comments box** to display the keyboard. When entering comments, do not enter duplicate text such as “screening complete” or “no one at home.” The codes designate this information already. Only enter information helpful to you, your FS or whoever is working the case, as it could get transferred to another FI.

Provide details on who you talked with (if anyone) and what you observed or encountered at the SDU, such as which cars were in the driveway. Do not, however, enter a name even if the respondent provides a name or you saw names on mailboxes, buzzers, etc. (See **Section 9.2.5** for tips on recording comments.)

Once you complete the ROC entry, touch **Commit** to save the record.

To the right is a properly completed example of an ROC for a visit to an SDU when an eligible screening respondent was not available to complete the screening (note the comment regarding the time to return).

**RESULT:**

- PENDING SCREENING CODES
- 01 No one at DU
- 02 SR Unavailable
- 03 Neighbor Indicates Occupancy
- 04 Pending Incapable
- 05 Pending Lang. Barrier (Spanish)
- 06 Pending Lang. Barrier (Other)
- 07 Pending Refusal
- 08 Unable To Locate SDU
- 09 Pending Other - Specify
- FINAL SCREENING CODES

---

**SCREENING CALL RECORD**

Cancel Help Commit

XX10B10027 108 Kildaire Farm Road

**RESULT:**

02 SR Unavailable

**COMMENTS:**

Return late afternoon 7/17. Woman on way to pick up kids

---

**DO NOT CHANGE ROC DATE/TIME UNLESS INSTRUCTED BY TECHNICAL SUPPORT OR FS.**

Wednesday, July 17, 2019

9:52 am

When entering an ROC from the **Select Case** screen, touch and hold the case, then touch **Go to Record of Calls**. The tablet displays the **Record of Calls** screen where you can view previously entered results or add a new one. This screen lists all of the events for that case, including screening and any interview A or B result codes, as well as any comments entered.

Actions from the **Record of Calls** screen are:

**DONE:** Touch **Done** when ready to exit the ROC.

**ADD:** Touch **Add** to add a call record for this case (as long as the case is not complete, i.e. final interview codes entered)

**CD:** Touch **CD** to access the Call Distribution feature (see *Section 6.18*)

**ROSTER:** Touch **Roster** to view the household roster on the **Verify Roster Data** screen.

**SELECTIONS:** Touch **Selections** to view respondent selection information.

**FUNCTIONS:** Touch **Functions** (at the top right of the tablet screen) to access various features, some of which only appear if they apply to the case selected:

**Add an Appointment** to the tablet calendar (see *FI Computer Manual Section 3.5.2*)

**Calendar** – Access the Calendar (see *Section 6.16*)

**Help** – View helpful information about the screen

**View Verification Information** – If verification information exists, goes to Verification screen

A few additional features are available via a pop-up box that can be accessed by **touching and holding** the line of the record you want to work with. These features are:

**Edit:** to edit the comments of an existing record, **touch and hold** the line of the record to edit, then touch **Edit**. In general, editing comments should be a rare task. When you first enter the ROC, take the time to enter detailed comments right then, and consider the entry finished! Do not attempt to edit other ROC fields. Note: you cannot edit any records that have already been transmitted or codes automatically assigned by the screening program (25, 30, 31, 32 and sometimes codes 22 and 26).

**Delete:** to delete an existing record. This feature should be very rarely used. Notify your FS for additional instructions if you need to delete an ROC. Note: only call records that have not been transmitted can be deleted. Screening code events 25, 30, 31, 32 and some 22s and 26s cannot be deleted. A pop-up box appears to verify you want to delete the record.

RECORD OF CALLS			
Done	Add	CD	Roster
Selections			
XX10B10027 108 Kildaire Farm Road			
Type	Result	Date/time	
S	31	7/22/19 1:46 PM, Mon	
S	01	7/17/19 5:13 PM, Wed	
<i>Comment</i> No car in drive			
S	02	7/17/19 9:52 AM, Wed	
<i>Comment</i> Return late afternoon 7/17. Woman on way to pick up kids			
S	01	7/16/19 10:07 AM, Tue	
<i>Comment</i> Blue car in drive			

**View Comments:** to display all comments from all records for a case. If there are no comments, this option will not appear.

**View Refusals:** to view refusals from a previous refusal report. You will only see this option if any pending refusal codes have been entered (07, 57, 58) for this case. Touch **View Refusals** to view the refusal reasons and any additional comments you have entered on the Refusal Report (see *Section 6.6.2*).

**View Letters:** to view letters sent to an SDU. This option is available if any refusal or unable to contact letters have been sent for this case (see *Sections 6.6.2* and *6.6.3*).

### 6.6.1 Adding Interview A and B Case ROCs

When the selection process results in one person selected for the interview (code 31) or two persons selected (code 32), you must enter the interview status for the respondent(s) selected at that visit when you completed screening. Either the interview was completed, or if it was not completed because the respondent was unavailable or for other reasons, this information needs to be documented.

#### One Person Selected (Screening Code 31)

The program automatically enters the screening code 31 with the date and time. You can add comments, if necessary, to document any unusual situations you encountered during the screening, but this is not the place for information about the interview. Commit the code 31 and the main **Record of Calls** screen displays.

The program also reminds you with a pop-up box to enter the Interview A Call Record. Close the reminder then touch **Add**.

On the **Interview Call Record** screen, the date and time are automatically entered by the tablet. Select an interview result code from the list and add any necessary comments about the interview (see *Section 9.2* for explanations).

RECORD OF CALLS		
Done	Add	CD Roster Selections
XX10B10013 110 Pond Street		
Type	Result	Date/time
S	31	7/19/19 6:25 PM, Fri
S	01	7/19/19 3:37 PM, Fri
Comment	No car in drive	
S	01	7/18/19 8:36 PM, Thu
Comment	White car in drive	
S	02	7/18/19 4:22 PM, Thu
Comment	Family headed to church event. Try back later tonight.	
S	01	7/17/19 1:18 PM, Wed
Comment	No car in drive	

## Two Persons Selected (Screening Code 32)

The program automatically enters the screening code 32 with the date and time. You can add comments about the screening, if necessary, but again, this is not the place for information about the interviews. Commit the code 32 and the main **Record of Calls** screen appears.

A pop-up box reminds you to enter a call record for both the A and B cases. Touch **Add**, then on the **Choose ROC Type** screen, touch either **Interview A** or **Interview B** to designate which record you are entering first. Refer to the selection information displayed above the Interview A or Interview B button to be sure you select correctly. On the next screen, the selection information displays at the bottom of the call record. Double-check this to be sure you enter the correct code and comments for the correct interview respondent.

Choose ROC Type

Line 019 308 Gordon Street

Which type of call record do you want to enter?

Screening

Relation: Son (includes step, foster, or adoptive)  
Gender: M Age: 14

Interview A

Relation: Daughter (includes step, foster, or adoptive)  
Gender: F Age: 12

Interview B

Cancel

After you enter the first interview code (A or B), again at the main ROC screen, touch **Add** to create a second record, then touch **Interview A** or **Interview B** to designate the correct interview record.

Here are examples of properly completed interview call records.

INTERVIEW A CALL RECORD

Cancel Help Commit

XX10B10019 308 Gordon Street

RESULT:  
50 Appointment for Interview

COMMENTS:  
7/20. 4pm. Mom gave permission to speak with R

DO NOT CHANGE ROC DATE/TIME UNLESS INSTRUCTED BY TECHNICAL SUPPORT OR FS.

Friday, July 19, 2019

6:32 pm

Relation to householder: Son (includes step, foster, or adoptive)  
Gender: M  
Age: 14  
Race: W

INTERVIEW A CALL RECORD

Cancel Help Commit

XX10B10019 308 Gordon Street

RESULT:  
70 Interview complete

COMMENTS:  
Mom gave permission for interview

DO NOT CHANGE ROC DATE/TIME UNLESS INSTRUCTED BY TECHNICAL SUPPORT OR FS.

Saturday, July 20, 2019

5:15 pm

Relation to householder: Son (includes step, foster, or adoptive)  
Gender: M  
Age: 14  
Race: W

## 6.6.2 Refusal Report

Once you enter a pending or final refusal code in the ROC and touch **Commit**, the **Refusal Report** screen appears listing the most common reasons people refuse.

To complete the refusal report:

- Touch the **one main refusal reason** that applies for this specific case and visit.
- If you have specific comments for this refusal, touch the **Comments box** to add comments to this refusal report. Including details about the situation helps you when discussing conversion strategies with your FS. Notes such as which parent refused for a selected youth or which household member was acting as a gatekeeper are very important. If the respondent has a different mailing address, such as a P.O. Box, enter the correct mailing address in the Comments.
- Touch **Done** to exit.

Refusal Report

Done Help

Line 019 308 Gordon Street

Reason for refusal

- Too busy / no time / did too many already
- Surveys / Government invasive / teen exposure
- Clarify confidentiality, legitimacy, selection
- "Nothing in it for me" / Uncooperative
- Gatekeeper / Parent/HH member disallow
- Welfare / INS / ICE / USCIS concern
- Too ill / house messy / not dressed
- Need to discuss with FS

Comment

The first time you record and transmit a pending refusal for screening or an interview (codes 07, 57 or 58), refusal conversion letters may be sent based on the category you select and any comments you make. These letters were explained in **Section 5.6**. Each SDU can receive one screening refusal letter and one interview refusal letter for each selected respondent.

For this reason, be very careful to choose the correct pending interview refusal code: use 57 (pending refusal) for adult and youth respondents who refuse, as well as for adult gatekeepers who refuse for an adult respondent such as a parent refusing for an adult child still living at home or a spouse refusing for the other spouse. Use code 58 (pending parental refusal for age 12-17) for situations where a parent refuses to allow the 12-17 year old youth to participate. Note: If this parental refusal is incorrectly coded a 57 and transmitted, a code 58 can be entered on the tablet for that case. However, a parental refusal letter cannot be sent since the original refusal code entered was incorrect. See **FI Manual Chapter 9** for more details on refusal codes.

To see when a letter was sent, from the main ROC screen, touch **Functions**. If a letter has been sent, the View Letters option displays. You can touch **View Letters** to see when a letter was mailed.

To review this refusal report information, in the ROC touch and hold the **line for that event**, then touch **View Refusal**. You will see the refusal report with the reason indicated and any comments entered. Keep in mind, refusal reports cannot be edited after they have been transmitted.

If you go back to an SDU and must assign a pending refusal code again, you are prompted to complete another refusal report. Situations can vary between visits, so record accurate information for that visit as well.

### 6.6.3 Unable to Contact

Similar to the refusal letter system just described, an automated system can send Unable to Contact (UTC) letters to SDUs you are having trouble contacting, for screenings or interviews (see *Appendix B* for examples). After numerous unsuccessful attempts (as documented with the result codes), the system flags the case for your FS who, after discussion with you, can either have the letter sent, wait longer, or indicate a letter will not help.

Important point: Do not rely on the letter to gain entry! While letters may help, the best approach is always a professional, knowledgeable, organized interviewer.

To see when a letter was sent, at the main ROC screen, touch **Functions**. If a letter has been sent, the View Letters option displays. Touch **View Letters** to see when the letter was mailed.

### 6.6.4 Special Rules for Some Final Codes

The program only allows you to enter a final screening code 11 (no one at DU repeatedly) if you have made at least five visits to the SDU—our project minimum. The program also only allows you to enter a final refusal code if you have previously entered a pending refusal code. These checks are designed to keep you from accidentally assigning a final code when a pending code should be used.

### 6.6.5 Importance of ROC Information

The program is designed to simplify the recording of accurate and complete information. Make sure you complete the record directly after screening or when leaving the DU. As mentioned earlier, ROC information is transmitted each time you transmit to RTI. The next day the information is compiled into special reports made available to your FS through the secure project management website. Your FS can see exactly what time you visited a unit the day before as well as the timing of all previous attempts and your comments. This level of detail assists your FS in helping you better manage your cases and work efficiently.

### 6.6.6 Flow of Tablet Program

While the past few sections went step-by-step through the details of the major sections of the screening program, the summary in *Appendix A* of the *FI Computer Manual* can help you better understand the flow of the program. This summary is most often helpful early in the learning process. If you are new to the study, take time now to review the information found in *Appendix A* of the *FI Computer Manual*.

The remainder of *Chapter 6* presents the various other tasks performed through the tablet. These tasks are accomplished somewhat independently, so there is no need to follow a case through each process for the rest of the chapter.

## 6.7 GQU Screening Program

If you have a group quarters structure in your segment, you will work closely with your FS before you ever visit the structure. Carefully review your segment materials, noting how the units were listed (as rooms, beds, or persons) and discuss the situation with your FS before attempting to contact a GQU.

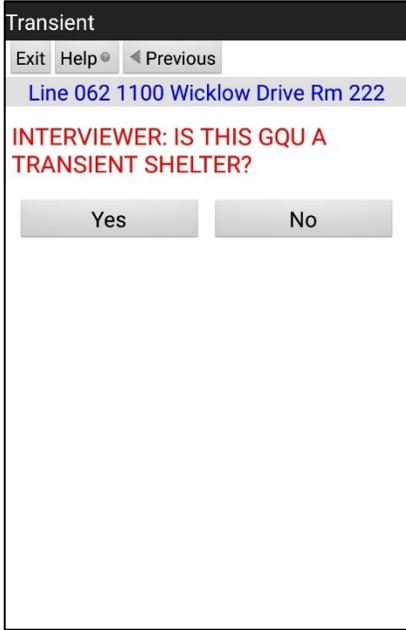
The GQU screening program functions in the same way as the HU program except for a few additional features specific to Group Quarters. All additional or different items are documented below:

- The GQU screening program does not contain the **Missed DUs** screen asking if there are any other living quarters on the property. Before you begin screening at a group quarters structure with selected GQUs, you need to find a knowledgeable adult (usually someone who works there) and verify the number of units in the listing is correct and the units are listed appropriately (by rooms, beds, etc.). This is especially important for GQUs listed by beds or persons.

If there is a discrepancy between the original Group Quarters Listing Form and what you find when you visit the GQU, call your FS. You cannot add missed GQUs on the tablet. They need to be listed and sampled first, then the GQU cases can be transmitted to your tablet during one of your regular daily transmissions.

You can, however, add a missed housing unit linked to a GQU. For example, you can add an HU for a “house mother’s apartment” within a fraternity house. To do so, on the **Select Case** screen touch and hold the **line of the GQU**, then touch **Add Missed DU**. Be sure to follow the detailed instructions in *Section 6.9*.

- In the GQU screening program after **Informed Consent** there are a few additional screens that set up the appropriate roster questions for GQUs.
  1. The **Transient** screen asks you if the GQU is a transient shelter. If not, the program takes you to the **Occupancy** screen to continue the screening.



Transient

Exit Help ◉ ◀ Previous

Line 062 1100 Wicklow Drive Rm 222

INTERVIEWER: IS THIS GQU A TRANSIENT SHELTER?

Yes No

2. If the GQU is a transient shelter, the next screen, **Unit Type**, asks you if the units were listed as rooms, beds, or persons. Refer to your segment materials as needed to locate this information.

*(Note: For colleges, review the Segment Information Sheet to see if listed by rooms or beds. If by beds, contact your FS immediately, as these should be rare and have special instructions to follow.)*

If listed by rooms:

The next screen is the

**Total GQU Members**

screen, which asks, “(Including yourself) How many people are staying in this room?” Then you see the **Members 12 or**

**Older** screen, which asks,

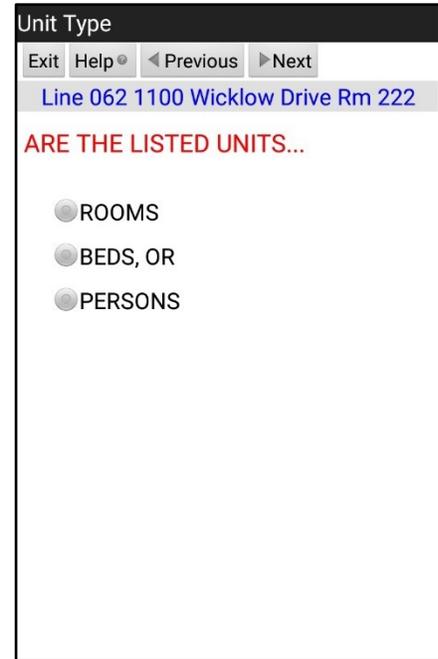
“How many of these \_\_\_\_ (number from previous question) are now age 12 or older?” Then you start the rostering process, beginning with age.

If listed by beds or persons:

The tablet goes right to the age question, and the roster questions use the pronoun “your.”

- If the GQU is located within a transient shelter, the **Occupancy** screen will not appear because the eligibility rule of living at the SDU for most of the quarter does not apply. With transient GQUs, think of it as taking a “snapshot” of the GQU at the time of the screening.
- The SR for the GQU is always the first person listed on the roster.
- The HU question for “relationship to householder” is replaced by “What is your first name?” so the GQU members can be properly identified (as they are often unrelated people of similar ages). If the SR refuses to give a first name, request he or she use initials or some other identifying information so you are both clear who you are talking about during rostering and possible selection. Even when you learn a respondent’s name this way, do not call the respondent by name in conversation as the respondent may feel less ‘anonymous’ and therefore less comfortable providing honest answers.

If the case is a code 30, the SR’s first name displays automatically on the **Verification** screen (data taken from the roster, though you may edit the name if needed). You need to read the screen verbatim, confirm the name, enter and confirm the phone number, and enter any Notes (if necessary).



## 6.8 Edit Address

The lists of dwelling units were prepared fairly recently and addresses should generally be accurate. Editing addresses should not be a common task. Only edit an address if the physical address is missing or incorrect. If the DU was listed by description, try to obtain a street number/street name address. Do not change an address or description to a Post Office box. Before editing an address, ALWAYS confirm you are at the correct SDU. To do this, use project resources including the handwritten List of DUs, Block Listing Maps, and the address or description in your tablet.

In the rare event you must edit an address, carefully review the Editing Address Protocol chart located in the Job Aids portion of the Showcard Booklet (see [Exhibit 6.2](#)) to be certain all appropriate procedures have been completed and the edit has been approved. Sometimes, prior to editing an address, you need to notify your FS and obtain approval from RTI's Sampling Department. Every time you edit an address, you must notify your FS (before or after the edit depending on the situation), who will notify the Sampling Department and update the original versions of the listing materials. For your records, update your copy of the segment materials and note the reason for the edit in the Record of Calls.

There are two ways to edit an SDU address on the tablet. The one used depends on when you obtain the new address information.

1. If you obtain the information during the screening on the **Address Verification** screen, touch **Need To Edit Address**. Touch the appropriate **field** to make it active, use the **backspace** key to delete what is displayed, and enter the **correct information**. (Note: for apartments, record the unit indicator as applicable. Ex: address is 301 Gordon St. 1A, enter **1A** in the Apt. # field.)

The program performs several checks and may prompt you to verify that information has been entered correctly.

- Touch **Update** to save the changes and continue screening by returning to the **Address Verification** screen so you can verify you entered the updates correctly. If you arrived at the Edit Address screen in error, touch **Previous**.
2. If you obtain address change information before the screening begins, you can enter this information from the **Select Case** screen. Situations where you might want to enter address updates this way are SDUs with descriptions only or areas that have recently received new addresses due to 911 coverage. Touch and hold the **line of the SDU**, then touch **Edit Address** and the **Edit Address** screen appears. Touch the **field** to make it active, delete what is displayed, and enter the **correct information**. As needed, respond to any prompts based on checks of the address.

- Touch **Update** to save the changes.
- Touch **Cancel** if you got to this screen in error or do not want the changes saved.

Both options take you back to the **Select Case** screen.

Edit Address

Cancel Update Help

Line 021 Devon Avenue new wh. dblwid trlr

TOUCH THE ITEM YOU NEED TO EDIT

STREET # 3057

STREET Devon Avenue

APT. #

CITY Cary

STATE XX

ZIP 27511

## Exhibit 6.2 Editing Address Protocol Chart

### **Editing Address Protocol**

#### **When to Edit an Address**

Editing SDU addresses should not be a common task. An address should only be edited if the physical address is missing or incorrect, such as when only a description of the SDU is provided.

Before editing an address, first confirm you are at the correct selected dwelling unit. To do this, use a combination of project resources, including the handwritten List of DUs, block listing maps, and the address or description in your tablet. If you are confident you are at the correct DU but the address is incorrect, you should consult the *Editing Address Protocol* chart. It will guide you on the steps to follow.

When you edit an address, there are two additional steps you must take to complete the process. First, you must enter a note in the Record of Calls explaining the reason for the edit. Second, you should notify your FS of the edit. Your FS must update their copy of the segment materials with the edit, and in many cases notify RTI's Sampling Department to update the project sampling frame.

**Never make edits to an address which creates a duplicate of an address already listed on the original List of DUs. Enter a note in the Record of Calls describing the situation and address discrepancy, and then obtain permission from your FS and Sampling before making the edit.** Carefully checking the original List of DUs before making an edit will ensure no duplication occurs.

After reviewing the *Editing Address Protocol* chart, if you are unsure whether an address should be edited or the appropriate procedures to follow, enter detailed notes about the situation in the ROC and contact your FS promptly for assistance.

#### **When NOT to Edit an Address**

In order to maintain the integrity of the sample, there are specific situations when you should not edit an address. These situations are listed as "Improper" in the third column of the *Editing Address Protocol* chart. For example, addresses must never be edited due to screening on the incorrect line or at the wrong dwelling unit. Always double-check the address at the top of the tablet screen and consult your segment materials to prevent this type of error.

Also, do not change an address or description to a Post Office Box, but instead enter any PO Box information in the Record of Calls.

Lastly, do not edit addresses to change abbreviations to full spellings, such as "Dr." to "Drive," or from full spellings to abbreviations, such as "Boulevard" to "Blvd."

#### **Reminder:**

Always refer to the chart:

- when deciding whether or not to edit an address, and
- to be certain all appropriate procedures have been completed when editing an address.

**Exhibit 6.2 Editing Address Protocol Chart (continued)**

<b>EDITING ADDRESS PROTOCOL</b>			
<b>REMINDER:</b> Always review your segment maps, original list of dwelling units, and Tablet information before editing SDU addresses.			
<b>Scenario</b>	<b>Description of Situation</b>	<b>Proper or Improper to Edit</b>	<b>Appropriate FI Action</b>
<b>A</b>	Description edited to a street address	Proper	Check handwritten list of DUs, if address is not on list, delete description; enter street address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>B</b>	Street name spelling corrected or drive/avenue/street/etc. corrected	Proper	Edit address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>C</b>	Correction of one SDU address due to 911/U.S. Postal Service/ local government address revisions	Proper	Edit address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>D</b>	Correction of listing error for one SDU (includes edits to street/apt. number)	Proper	Check handwritten list of DUs, if address is not on list, edit address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>E</b>	Adding apt. numbers to differentiate between added units in an SDU or on SDU property	Proper	Check handwritten list of DUs, if address is not on list, edit address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>F</b>	City, state, or zip code corrected	Proper	Edit address in Tablet; proceed with screening; enter notes in ROCs; notify FS
<b>G</b>	Within controlled access buildings/complexes, edits to addresses for multiple units originally gained through "blind" listing or listing by buzzer/mailbox	Proper (with prior approval from FS)	Notify FS; if approved by FS, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>H</b>	Complete street name change	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>I</b>	Removing the apt. number from SDU address	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>J</b>	Correction of address for multiple units due to 911/U.S. Postal Service/local government address revisions	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>K</b>	Correction of listing error for multiple units (includes edits to street and/or apt. number) *See Scenario G for additional information	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>L</b>	Adding apt. numbers to single dwelling units *See Scenario E for additional information	Proper (with prior approval from FS and Sampling)	Notify FS; if approved by FS and Sampling, edit address in Tablet; proceed with screening; enter notes in ROCs
<b>M</b>	Description or street address edited to a Post Office Box address	Improper	Place Post Office Box address in ROCs
<b>N</b>	Edit due to screening on the wrong line or at the wrong dwelling unit	Improper	Request status code change or reopen code from FS; complete screening on correct line
<b>O</b>	Edit due to merged or condemned unit, or unit does not exist	Improper	Notify FS; code case as instructed by FS and Sampling

## 6.9 Missed DUs Procedures

The process of checking for missed DUs is explained in *Sections 3.5* and *3.6*. The tablet takes you through the process of adding a missed DU, prompting you for information.

### 6.9.1 Adding Missed DUs

There are two ways to add missed DUs. The one you use depends on when you obtain the missed DU information.

1. If you obtain the information **during the screening** while on the **Missed DUs** screen, that is, you get a “**Yes**” response to the question about other separate living quarters, **enter the address** of the unit, then continue the screening. You will be prompted to reconcile the missed DU(s) as you exit the ROC for that screening.
2. The screening program allows you to enter a Missed DU from the **Select Case** screen for instances when your FS instructs you to add a Missed DU or if you found a Missed DU during the screening and accidentally entered “No” at the Missed DU question. Note: this should be rare.

Touch and hold the **line of the SDU**, then **Add Missed DU**. Enter the address of the missed unit then touch **Update** (see *Section 3.6*). Next a pop-up box appears asking if you want to add another unit. Remember, you can link up to five added units to an SDU. Touch **Yes** if you want to add another unit. Touch **No** if that is the only (or last) added unit you want to link to this SDU. For details about how to reconcile the missed DU, see Reconciling Missed DUs (*Section 6.9.2*).

### 6.9.2 Reconciling Missed DUs

The process of reconciling missed DUs involves a series of questions prompted by the tablet to see if the unit should be added (see *Section 3.6*). There are two places where you can reconcile missed DUs.

1. If you locate a missed DU at the time of screening, add the missed DU, finish screening the case and exit the ROC. You will then see the prompt, “There are some missed DUs associated with this segment. Would you like to reconcile these?” Touch **No** if you wish to reconcile the missed DU later. Touch **Yes** if you can and want to reconcile the missed DU now.
2. You can also reconcile Missed DUs from the **Select Case** screen by touching **Functions, Administrative Tools**, then **Reconcile Missed DUs**. At the **Segments and Missed DUs** screen, touch and hold the line for the segment containing the missed DU you wish to reconcile, then touch **Reconcile**.

Next, a pop-up box appears to confirm you are ready to reconcile all missed DUs for the selected segment. (You must reconcile all missed DUs for the selected segment at the same time). Touch **Yes** if you are ready to reconcile all missed DUs within the segment. Touch **No** if you wish to reconcile later.

As explained in *Section 3.6.2*, the reconciliation process involves answering questions to tell the tablet to add or not add the unit. It tells you if it has added the unit. If added, you can quickly view the unit by **Viewing Added DUs**, which displays all added DUs in your assignment.

## 6.10 Additional Tablet Home Screen Features

The tablet **Home** screen has additional features for your use as needed. These items provide easy access to helpful resources right in the palm of your hand.

At the bottom of the **Home** screen are icons for various tools.

- Touch **FI Website** to access the NSDUH FI website. Refer to *FI Computer Manual Section 3.4* for information about the website.
- Touch **Calendar** to access the optional tablet calendar. Refer to *FI Computer Manual Section 3.5* for more information.
- Touch **Settings** to access the tablet's settings menu, which you may need the first time you connect to a new wireless network. *FI Computer Manual Section 3.3* has more.
- Touch **Chrome** if you need to access the internet in order to establish a wireless connection. The internet should only be used for project-related business. Instructions on using it for wireless access are provided in *FI Computer Manual Chapter 6*.



### 6.10.1 FI Assistant

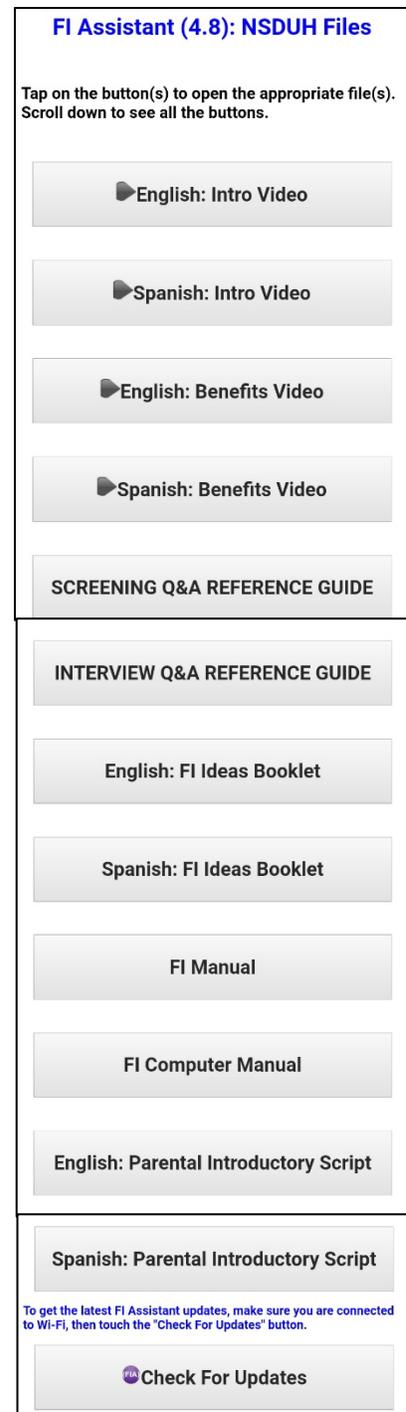
The FI Assistant feature contains helpful items such as the NSDUH Intro and NSDUH Benefits videos (in English and Spanish) that can be used to help gain cooperation, the Screening and Interview Q&A Reference Guides, the FI Manual and FI Computer Manual, the Parental Introductory Scripts (in English and Spanish) and the FI Ideas Booklets (in English and Spanish). From the **Home** screen, touch FI Assistant to access the list of items included.

Touch Intro Video or Benefits Video (either English or Spanish) to access videos designed to support the information you share with a respondent by offering a concise, visual explanation of the NSDUH. The videos may be used as needed with respondents to gain participation. You must pay careful attention to your respondent and gauge whether or not the respondent may benefit from seeing a video. Do NOT use these videos with every respondent. Just as with your materials, the videos should be used in conjunction with your knowledgeable presentation of the study and only used when necessary. When you do decide to use a video, introduce it to the respondent by saying something like, *“To give you a better idea of what the NSDUH is about, I’ll show you a short video and then can answer any additional questions you might have.”*

If you are NOT an RTI-certified bilingual FI, but are using a translator to conduct the screening, you may use the Spanish version of the videos as needed. This is only acceptable while using a translator because if the respondent has questions about the video, you can answer them via the translator.

Your tablet will be set with the media sound level up so the video sound will play. If needed, use the volume rocker key on the right side of the tablet to turn the volume up or down while the video plays. Refer to *FI Computer Manual Chapter 3* for more details on the tablet sound.

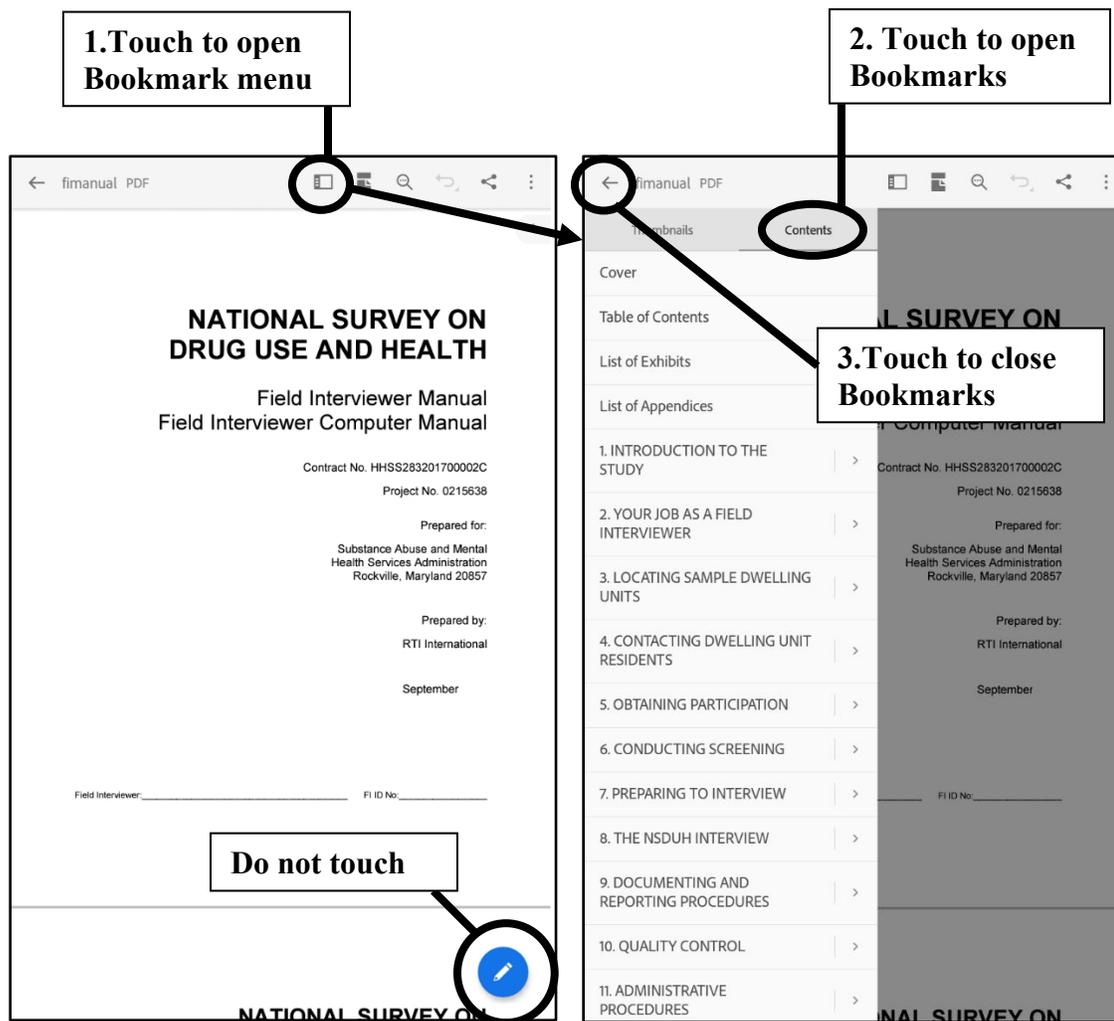
The Screening and Interview Q&A Reference Guides, shown in [Exhibit 6.3](#), contain common respondent questions and answers you may encounter while screening or interviewing. You should review the guides and be sure you are able to correctly answer these questions in case a respondent asks one. If you must, you may refer to this guide in the field to answer a respondent question, but you may never



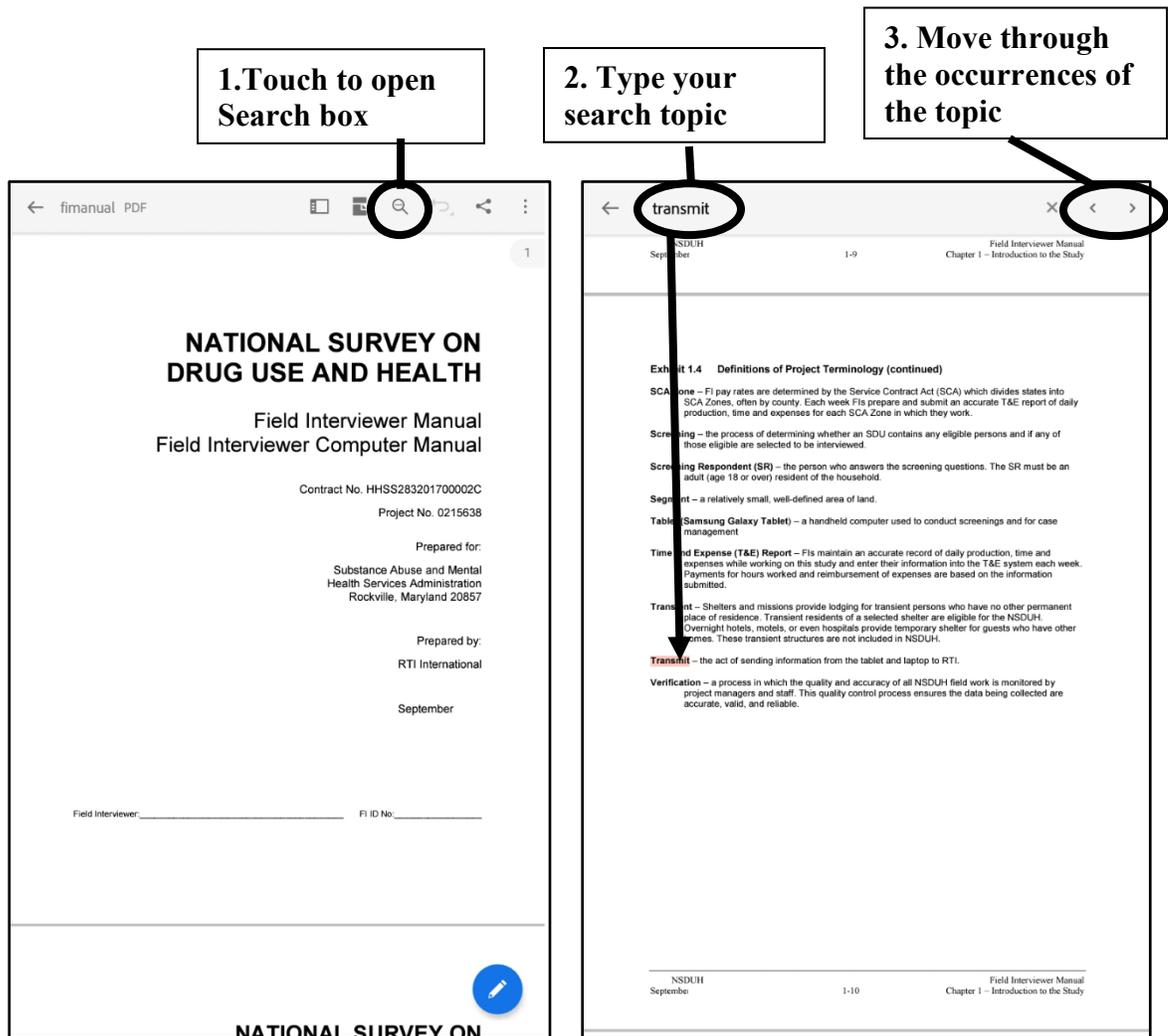
show these guides to a respondent. Do not rely on using this feature in the field with a respondent, as it does not look as professional as you being able to answer the question yourself. Carefully study these documents and take note of the respondent materials that can be used to help answer the questions.

PDF versions of the FI Manual and FI Computer Manual are available via the FI Assistant as well. Instructions for accessing and viewing both manuals are included below.

After touching FI Manual or FI Computer Manual, the document opens. Touch the bookmark icon (  ), then touch Contents to open the Table of Contents menu to navigate to different chapters and sections of the manual. Once the menu is open, touch the appropriate chapter to go to the beginning of that chapter. Likewise, touch the arrow to the right of the chapter name to open a sub menu of chapter sections and then touch the desired section. As needed, scroll up and down on the menu to see more content. To close the Table of Contents menu, touch the left facing arrow at the top of the screen. Do NOT touch the blue edit icon, the circle with a pencil icon in it.



To search for a specific topic or word in the manual, touch the magnifying glass icon at the top of the page. This moves the cursor to the search box and opens the keyboard so you can enter text. Type the search topic and touch the magnifying glass on the keyboard (in place of Enter). This brings you to the first occurrence of the word in the manual, which is highlighted as shown in the image on the right. Touch the right facing arrow to move to the next occurrence of the searched term. If you need to go back to find earlier occurrences of the term, touch the left arrow.



When finished with your search, touch the left facing arrow at the top left of the screen to close the search box. When finished viewing the manual, touch the back arrow on the bottom right of the tablet to return to the FI Assistant.

The Parental Introductory Scripts, available in both English and Spanish, in the FI Assistant are not respondent specific and should ONLY be accessed if the script for a particular case is not available from the Respondent Selection screen. For example, if you learn an incorrect age was given for a selected youth (e.g. a 17 year-old rostered as 18) after completing the screening, the needed script will not appear

on the Respondent Selection screen, as the youth was rostered as an adult. Instead you must access the script from the FI Assistant and read it to the parent, including the correct age and gender pronouns for the selected youth. This should be a very rare occurrence and in all other situations, the specific Parental Introductory Script for each case should be accessed directly from the Respondent Selection screen.

At times, items within the assistant may be updated or additional items added. Touching Check For Updates while connected to a wireless network will check for and update the FI Assistant. Your FS may ask you to update your FI Assistant when changes are made.

## Exhibit 6.3 Q&A Reference Guides

<b>SCREENING Q&amp;A REFERENCE GUIDE</b>
<p><b>“WHAT’S THIS ALL ABOUT?”</b></p> <ul style="list-style-type: none"><li>• We are in your neighborhood conducting a nationwide study sponsored by the U.S. Department of Health and Human Services. I just have a few general questions for you, which only take a few minutes.</li><li>• This study provides current information on experiences with and attitudes towards alcohol, tobacco, substance use, and other health-related issues. Your address was one of only a few in this area selected for the study.</li><li>• This study asks questions about health-related issues, including the use or non-use of alcohol, tobacco and other substances. The data are used by local, state and national agencies to track trends and to make planning and funding decisions. I need to ask just a few questions, to see if anyone is selected for an interview.</li></ul>
<p><b>“WHY ME?”/“HOW DID YOU PICK THIS HOUSE/ADDRESS?”</b></p> <ul style="list-style-type: none"><li>• Your address was randomly chosen through scientific sampling procedures. It represents thousands of other households across the nation.</li><li>• Your address was one of only a few in this area randomly chosen for this study, and no other household can take your place.</li><li>• Each year almost 200,000 addresses across the country are randomly chosen for this study through scientific methods. Your address was among those selected, which is why I am here. (Let’s see if anyone living here is chosen for the full interview.)</li></ul>
<p><b>“I DON’T GIVE OUT PERSONAL INFORMATION.”</b></p> <ul style="list-style-type: none"><li>• I understand your concern. I only need a few general pieces of information to see if anyone is chosen for the full interview. You can refuse to answer any question you don’t feel comfortable with.</li><li>• No one else will ever know how you answer the questions. The data are only reported as statistics. (<i>Show NSDUH Highlights or National Results Report</i>).</li><li>• I am required by law to keep all of your information private and confidential.</li></ul>
<p><b>“I HATE THE GOVERNMENT/ADMINISTRATION.”</b></p> <ul style="list-style-type: none"><li>• We are collecting data so policymakers can make decisions based on facts, not politics.</li><li>• This study has been conducted since 1971, under Democrat and Republican administrations alike, to provide officials with accurate information to use when making decisions.</li><li>• This study is part of SAMHSA’s mission to reduce the impact of substance abuse and mental illness on America’s communities. Your input is an important part of these efforts, and you can’t be replaced.</li></ul>

### Exhibit 6.3 Q&A Reference Guides (continued)

#### **“I’M NOT INTERESTED”/“GO TALK TO SOMEONE ELSE”**

- I understand. Others have felt the same way until they learned more about this very important study and why I’m here. This study provides critical data needed by our local, state and national agencies for providing education, treatment and prevention programs.
- Switching addresses would mean the sample was no longer random or scientific. I cannot make changes as it would impact the accuracy of the data.
- Your participation can benefit your community and state, without you ever having to leave home. This is a rare opportunity to provide your input, and no one else can take your place.
- I’m not selling anything. I’m from (*Place*) and I’m here on behalf of the U.S. Department of Health and Human Services. Can you please help me by giving just a few minutes of your time, so I can explain why I’m here? (You can even time me.)
- (If chosen for an interview), you will represent the residents of your community and help us gather important data that is needed to make sound policy decisions and direct funding for programs in our state (to educate, prevent, and treat substance use and mental health issues).

#### **“WHO IS RTI?”**

- RTI International is a nonprofit research organization based in Research Triangle Park in North Carolina. RTI is dedicated to conducting research that improves the human condition.
- RTI International is a nonprofit research organization affiliated with Duke University, the University of North Carolina, and North Carolina State University. RTI has been contracted to conduct this study (for SAMHSA).

#### **“WHAT IS SAMHSA?”**

- SAMHSA, the Substance Abuse and Mental Health Services Administration, is an agency in the U.S. Department of Health and Human Services.
- SAMHSA provides leadership for the nation’s mental health and substance abuse treatment and prevention programs.

#### **“HOW DO I KNOW YOU’RE LEGITIMATE?”**

- (*Show Authorization Letter*) This letter from SAMHSA authorizes me, as an RTI representative, to help conduct this research.
- (*Show back of Q&A*) Here is the toll-free number to verify that I represent RTI. I’ll be happy to wait while you call.
- (*Show back of Q&A*) If you have internet access, here are the websites for SAMHSA, RTI and NSDUH. You can visit them for information about these organizations and the study.

## Exhibit 6.3 Q&A Reference Guides (continued)

<b>INTERVIEW Q&amp;A REFERENCE GUIDE</b>
<p><b>“WHY SHOULD I DO THIS?”</b></p> <ul style="list-style-type: none"><li>• Your input is so important because it provides our local, state and federal officials with accurate data to help them make decisions based on facts, not politics.</li><li>• Your answers matter! The results of this study can help to properly direct funding in our state for programs to educate, prevent, and treat substance use and mental health issues.</li><li>• Substance use and mental health issues are both national and local concerns. Your input will help us better understand the issues in our community/state.</li><li>• Your participation provides vital information to researchers and local, state and federal agencies to design and fund education, treatment and prevention programs.</li><li>• Once you complete the full interview, I'll give you \$30 in cash.</li><li>• FOR YOUTH: Many schools give school or community service credit for participating. I'll give you a certificate of participation at the end of the interview that you can share with your teachers.</li></ul>
<p><b>“WILL MY ANSWERS BE KEPT PRIVATE?”</b></p> <ul style="list-style-type: none"><li>• Absolutely. By law, any information you provide will remain completely private and confidential and can only be used for statistical purposes. (Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA)) <i>(Point to CIPSEA information on Study Description or Q&amp;A)</i></li><li>• The data are reported only as statistics; no one else will know how you answered the questions. <i>(Show NSDUH Highlights or National Results Report)</i></li><li>• You enter most of your answers directly into the computer so even I won't know or see your responses. Your address or other identifiable information is <b>never</b> connected with your answers.</li></ul>
<p><b>“WHAT TYPE OF QUESTIONS WILL YOU ASK?”</b></p> <ul style="list-style-type: none"><li>• The questions are about health-related issues, including the use or non-use of tobacco, alcohol and various substances. <i>(Show Summary of the Questionnaire)</i></li></ul>
<p><b>“HOW WILL THE INFORMATION BE USED/REPORTED?”</b></p> <ul style="list-style-type: none"><li>• Researchers and local, state, and federal organizations use the data to understand substance use trends and to develop prevention and treatment programs. <i>(Show NSDUH Highlights, Who Uses the Data, or National Results Report)</i></li><li>• The data are combined with the responses from all 70,000 interviews. No individual data are ever reported. <i>(Show NSDUH Highlights or National Results Report)</i></li></ul>

### Exhibit 6.3 Q&A Reference Guides (continued)

#### **“I DON’T KNOW MUCH ABOUT DRUGS.”/“I DON’T DO DRUGS.”**

- We’re gathering a “picture” of the nation’s experiences. For our study to be accurate, we need all types of people to participate, including those who do not use or know much about drugs.
- The interview asks about a number of health-related topics relevant to everyone. You do not need to know anything about drugs to answer the questions.

#### **“I’M TOO BUSY FOR THIS.”**

- We need busy people like YOU to be represented in the study for the results to be accurate. I will work around your schedule and can return at a time convenient for you. (*Suggest two possible times to return*)
- I know your time is limited. Let’s start now and we can always finish on another day.
- I can empathize. Your participation is so important that I am authorized to work around your schedule. For this study, you represent thousands of other people like yourself, and we want to be sure their input is included.

#### **“I’M NOT INTERESTED.”/“I DON’T DO SURVEYS.”**

- For this study, you will represent the residents of your community and thousands of other people across the country. If you do not participate, their voices will not be heard.
- Your participation will help us gather data needed to make important policy decisions and direct funding for programs in our state (to educate, prevent, and treat substance use and mental health issues).
- I understand your hesitation. Your experiences are very important to this study and you cannot be replaced. Many people find the interview very interesting, and it’s a unique opportunity to participate in research.
- This is NOT a marketing survey. It is an important national research study on health-related issues.

#### **“I DON’T WANT MY CHILD DOING THIS.”**

- Participating gives your child an opportunity to do something for the community and represent over 1,000 young people similar to him/her.
- I understand. Many youth are already aware of the topics in the interview through the news, school courses, or from watching TV. This handout provides examples of some of the questions. (*Show Summary of the Questionnaire*) I’m happy to answer any questions you may have.
- Many schools give school or community service credit for participating. At the end of the interview, I can give your child a certificate that he/she can take to school.
- FOR ADULT CHILD: I understand your concern and can answer any questions you may have. However, I also need to give your son/daughter the opportunity to learn about the study (since they are over 18).

## 6.11 Daily Closing of the Screening Program

After each day's work as you leave your segment and return home, exit the screening program to the **Home** screen. From the **Select Case** screen, touch the **Back Arrow** on the bottom right of the tablet. Then touch **OK** when prompted whether or not you want to exit the NSDUH Screener. Although all information is immediately saved once entered on the tablet, exiting out of the screening program performs "clean up" operations essential for your tablet. If you do not exit out to the **Home** screen daily, you may begin to see odd things occurring on your tablet screens.

At times the tablet may display the **Home** screen even if you have not exited the screening program. In this case, touch the NSDUH Screening icon. Return to the **Select Case** screen, touch the **Back Arrow**, then **OK** to actually exit to the **Home** screen. Remember to exit to the **Home** screen each day.

## 6.12 On Hold Feature

Once information is transmitted to RTI, it generally cannot be changed or updated. Therefore, if you have a problem case, place it on hold before transmitting so you can work with your FS to resolve the problem prior to transmission. Information for cases on hold are not sent to RTI during transmission.

Only put on hold any problem cases you need to discuss with your FS. These problem cases need to be resolved before taking them off hold. Make sure you do not place routine cases on hold.

Examples of cases that are candidates for placing on hold are:

- A vacant unit (code 10) with partial verification information, but you need a better phone number or extension for the real estate agent who gave you the vacancy information.
- A case you screened improperly, either by selecting the wrong line or by entering incorrect information and making a selection.

To place a case on hold, at the **Select Case** screen, touch and hold the **line with the correct ID and address**, then touch **Place Case On Hold**. At the prompt, touch **Yes**, you are sure you want to place the case on hold. Any information for this case not already transmitted to RTI will not be transmitted until you take the case off hold.

When you put a case on hold, **On Hold** appears in red font next to the Case ID on the **Select Case** screen. This **On Hold** text remains until you take the case off hold. If you



have put several cases on hold, you can view the list by touching **View/Sort**, then **View**, then **On Hold Cases**. This View of the **Select Case** screen lists all cases on hold. Change the list displayed by

choosing another View, such as Pending Cases. Call your FS to discuss any case on hold. Have your tablet handy to display the list of on hold cases.

Take a case off hold by touching and holding the correct line on the **Select Case** screen, touching **Take Case Off Hold**, then touching **Yes** to indicate you do indeed want to take the case off hold. You must take a case off hold before you can take any actions on the case.

### 6.13 Re-open Case

If you finalize a screening case using the wrong line, notify your FS immediately. If your case is a candidate for re-opening, your FS gives you a special code for that specific case, and you enter the code to re-open the case and re-screen. This should happen very rarely and generally can be prevented entirely if you work carefully through your assignment, always being sure you are working at the correct line.

Always report any such situations to your FS immediately so the information can be properly marked for problem solving and perhaps be re-opened. Do not try to resolve these situations on your own.

If your FS gives you the special re-open code for a case, go to the **Select Case** screen, touch and hold the **line of the SDU**, then touch **Re-open Case**. After entering the special code, you go directly to begin screening the SDU. All information entered during the initial screening (beginning with the **Occupancy** screen) is visible and you can review or update any and all responses.

### 6.14 Transferring Cases

If necessary, your FS will designate any cases identified for transfer from one FI to another in the FS Control System. This information is then processed in the Control System at RTI. The system removes any transferred cases off the original FI's tablet when that FI transmits to RTI, then processes any new information and prepares the case for pickup by the new FI's tablet during his or her next transmission. The entire process is automated and can be done in a day.

Cases transferred to you are picked up by your tablet during your regular transmission. During and following a successful transmission, your tablet processes the new cases. DO NOT interrupt or turn off the tablet during this processing or records may be inaccessible to you.

If the cases are not in your previously-assigned segment, be sure you obtain printed copies of the segment materials from your FS before contacting new cases so you can be sure you are contacting the correct SDUs.

Your approach to transferred cases will vary depending on the situation. Be sure to carefully review the ROCs of any transferred cases to be familiar with the history of each case. While reviewing, look for good times and days of the week to return. If screening has been completed, be sure to review the

household roster and be familiar with the characteristics of the selected respondent(s). Your FS will also discuss expectations and strategies with you for the transferred cases.

### 6.15 Calendar

The tablet includes a calendar and appointment feature available for those who wish to use it. When using this optional tool, **do not include ROC data in the Calendar**. You are the only person who will see the calendar information; therefore all pertinent information must be included in the ROCs. There is no need to duplicate information as you can check your ROCs for a more detailed description of the situation. The calendar is NOT a requirement but a tool provided to assist those who wish to use it.

Refer to *Section 3.5* of the *FI Computer Manual* for details on the accessing and using the calendar.

### 6.16 Set Name and ID

At training, you will set your name on the tablet so your name displays in the introduction on the **Study Introduction** screen. If the FI ID number is incorrect, check with your FS.

### 6.17 Erase / Re-Load Training Cases

Training cases used during training sessions remain on your tablet (at the bottom of the list) for additional practice or discussions of certain situations with your FS. When you are ready, you may remove the training cases. To remove training cases:

From the **Select Case** screen, touch **Functions**, then **Administrative Tools**, then **Erase Training Cases**. Do not worry—this only affects your training cases, not your NSDUH assignment! The tablet asks you to confirm you are ready to erase the cases. Please be patient and wait for the tablet to finish processing before touching anything.

Once training cases are removed, if either you or your FS feel you need further practice, the training cases can be easily re-loaded on your tablet. To reload training cases:

From the **Select Case** screen, touch **Functions**, then **Administrative Tools**, then **Reload Training Cases**. Again please be patient.

Even if you still have the training cases on your tablet, you can re-load them if you simply want a fresh set of practice cases without any screening or interview information entered.

### 6.18 Call Distribution

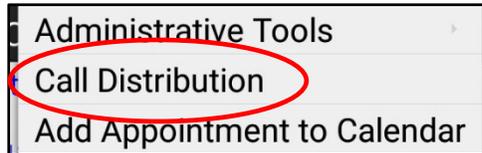
The tablet is equipped with a Call Distribution feature to be used in planning your work. This convenient and informative feature provides the days and times you have visited SDUs. It helps you determine the days and times you have not often visited SDUs, providing a better idea of possibly more

productive times to visit so you can work efficiently. This feature must be utilized in order to plan your visits effectively and is especially useful during conference calls with your FS. The basic steps for using the Call Distribution are presented here.

The Call Distribution feature can be accessed in several ways.

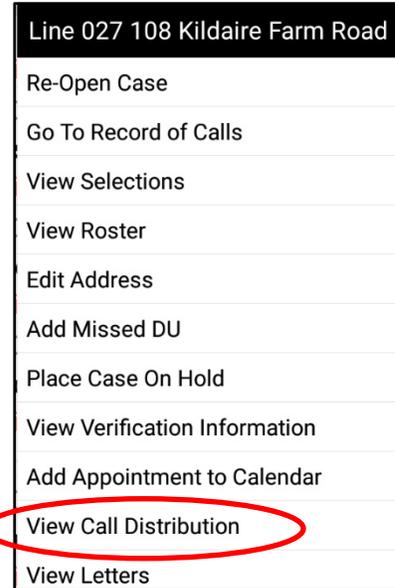
**To access the Call Distribution:**

- From the **Select Case** screen, touch **Functions**, then touch **Call Distribution**.



OR

- From the **Select Case** screen, touch and hold the case to bring up the Actions menu. Touch **View Call Distribution**.



OR

- From a specific case's **ROC** screen, touch **CD** at the top of the screen.



The **Call Distribution** screen appears.

Accessing this screen from a specific case on the **Select Case** screen or a specific case's **ROC** screen shows the summary of calls made to that particular case, as shown on the right. Notice the Case ID is filled in for this example and numbers appear in the chart at the bottom of the screen. These numbers indicate how many ROCs have been entered on those specific days and times.

	6A-10A	10A-12P	12P-4P	4P-6P	6P-10P	10P-6A	All
Su	-	-	-	-	-	-	-
M	-	-	1	-	-	-	1
Tu	-	1	-	-	-	-	1
W	1	-	-	1	-	-	2
Th	-	-	-	-	-	-	-
F	-	-	-	-	-	-	-
Sa	-	-	-	-	-	-	-
All	1	1	1	1	-	-	4

If you access the **Call Distribution** screen from the **Select Case** screen without indicating a specific case, the Case ID will not be filled and the summary chart will be blank, as it is here.

Choosing specific selection criteria to be entered (as explained on the next page) allows you to customize the information viewed in order to be of the most use. It's up to you how general or detailed you would like to make your search by using the criteria in different combinations.

	6A-10A	10A-12P	12P-4P	4P-6P	6P-10P	10P-6A	All
Su	-	-	-	-	-	-	-
M	-	-	-	-	-	-	-
Tu	-	-	-	-	-	-	-
W	-	-	-	-	-	-	-
Th	-	-	-	-	-	-	-
F	-	-	-	-	-	-	-
Sa	-	-	-	-	-	-	-
All	-	-	-	-	-	-	-

**To select Call Distribution criteria:**

- Touch the field under **Select a Case or Segment** to choose the case(s) to include.
  - All Cases: Shows distribution of all ROCs entered for all cases.
  - Segments: Lists all segments with ROCs entered. When a segment is selected, displays the distribution for that particular segment.
  - Cases: Lists the individual cases with ROCs entered. When a case is selected, displays the call distribution for that particular case.

All Cases
===== Segments =====
XX10B1
===== Cases =====
XX10B10013 - 01,02,01,31
XX10B10017 - 09
XX10B10019 - 32,50,70,57
XX10B10027 - 01,02,01,31
XX10B1A062 - 02

- Touch the field under **Select a ROC Type** to choose the type of records to display.
  - All ROC Type Records: Shows all ROC records regardless of type.
  - Screening Records Only: Shows only screening ROCs.
  - Interview Records Only: Shows only interview ROCs.

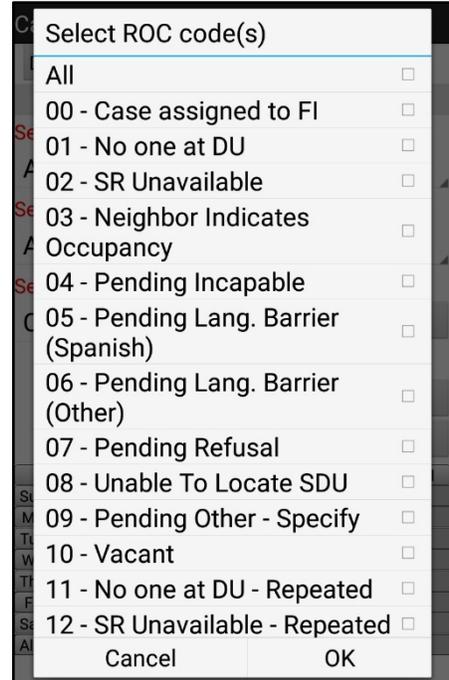
All ROC type records
Screening records only
Interview records only

- Touch the field under **Select a Status** to choose the result codes to display.
  - All: Shows all case status types.
  - Not at Home: Shows cases with pending not at home result codes (01, 02, 03, 51, 52).
  - Pending: Shows cases with pending result codes.
  - Completed: Shows cases completed successfully with result codes 30, 31, 32, and 70.
  - Finalized: Shows cases with final result codes.
  - Refusals: Shows cases with pending refusal codes.
  - Choose ROC code(s): Allows you to choose a specific ROC code to view by displaying another box with all codes listed to choose from, as shown on the next page.

All
Not at Home
Pending
Completed
Finalized
Refusals
Choose ROC code(s)

- If you select “Choose ROC code(s)” as the type of record, a screen listing possible codes appears. To select a specific result code to view, touch the **code** then touch **OK** to go back to the **Call Distribution** screen. To go back without saving the changes, touch **Cancel**.

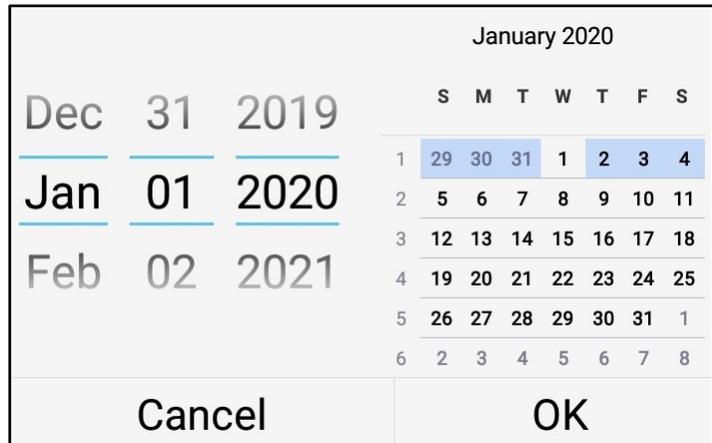
Multiple codes can be selected. For example, you could select multiple pending codes while working within a specific segment to view the visit history to plan the best follow-up.



- Beginning and ending dates are also available to narrow your Call Distribution search.

Touch in the Begin Date box and scroll to choose a beginning date for the ROC information. Or, you can touch the date on the calendar appearing on the right of the pop-up.

Once selected, touch **OK**. To go back without saving the changes, touch **Cancel**.

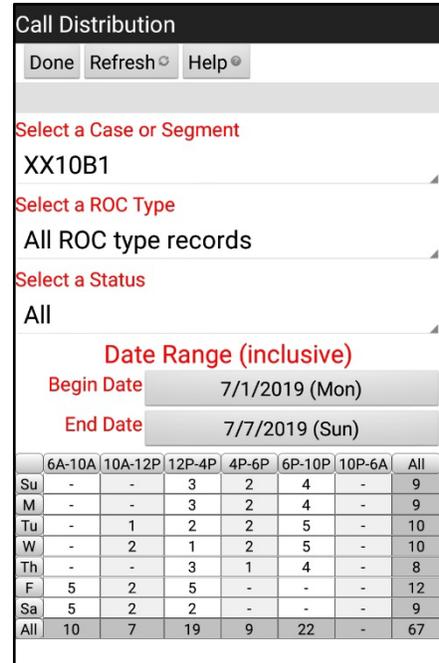


Touch in the End Date box and scroll to choose an end date for the ROC information. Or, you can touch the date on the calendar appearing on the right of the pop-up.

This allows you to look specifically at your calls for a certain time period (ex: day, week, month, etc.).

In this example, specific summary options have been selected. The chart shows information for all records for Segment XX10B1, between July 1 and July 7, 2019. Notice the numbers in the chart represent the number of calls made within these parameters for each time of day and day of the week. For example, in looking at this chart, it is evident that the FI has not made any calls on Friday or Saturday afternoon or evening and should consider visiting SDUs at that time.

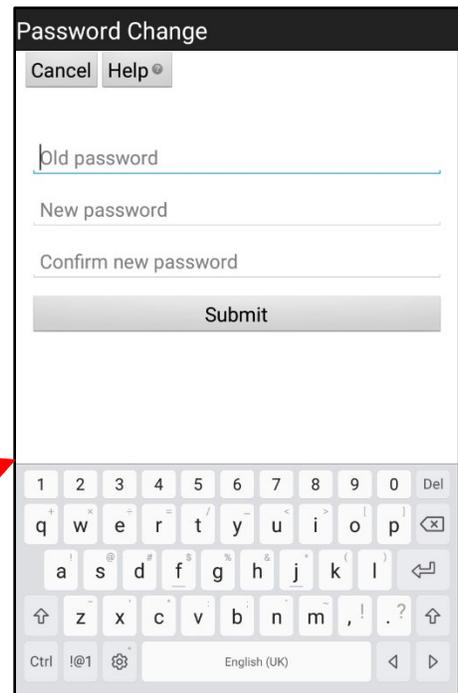
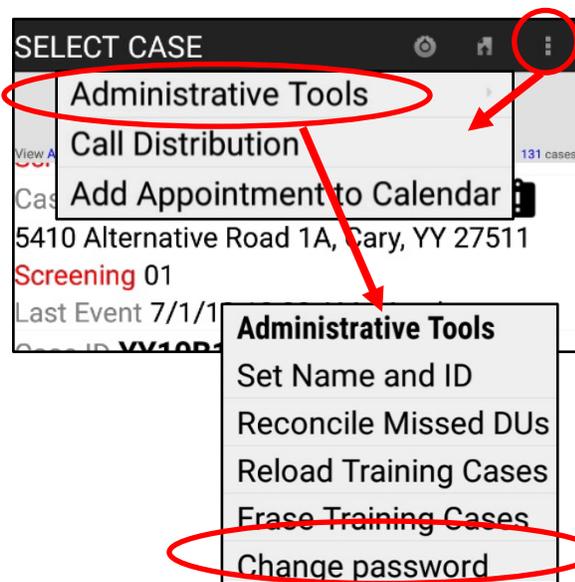
Experiment with this Call Distribution feature in order to find useful criteria combinations. This is a necessary and very helpful tool in planning your work.



### 6.19 Change Password

The NSDUH Screener password must be changed every 60 days. When it is time for a password change, the tablet will prompt you to do so while you are logging into the screening program. Simply enter your old password, then enter your new password twice, as instructed and touch Submit.

If you want to change your password outside of the regularly scheduled requests, you can do so via the Functions menu. On the Select Case screen, touch Functions, then Administrative Tools. Touch Change password. The password can only be changed once per day.



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## CHAPTER 6 MAIN IDEAS

### Conducting Screening

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Page 6-1: During screening, you'll obtain information about all residents of the household who are 12 years of age or older and record that information in your tablet. The tablet then determines who, if anyone, is selected for an interview. Refer to *FI Computer Manual Appendix A* to see the natural flow of the screening process in a concise format.
- Page 6-2: In addition to the screening process, the tablet helps you manage your work, prompts you to enter important verification information when needed, and simplifies the critical task of completing a Record of Call (ROC) for each visit to an SDU.
- Page 6-6: On the **Select Case** screen you can view cases in different categories, such as pending interviews or final screenings for a certain segment or all segments assigned to you. You can also sort the cases so they are displayed in various orders, such as by interview code or the date most recently contacted. Viewing and sorting cases will help you to efficiently manage your assignment.
- Page 6-10: Clearly marked tablet screens will enable you to introduce yourself and the study, identify an SR, verify the address, obtain informed consent, check for missed DUs, and verify the DU is the primary residence for more than half of the quarter.
- Page 6-13: After the above initial screens, the eligible (12 or over) household members must be rostered, recording their age, relationship to householder, gender, ethnicity, race, and military status. The tablet then makes its selection to determine who is chosen for an interview.
- Page 6-30: When one or more youth respondents are selected for an interview, obtain permission from the parent to speak with each youth about the study by using the Parental Introductory Script.
- Page 6-31: In instances where either no one is selected for an interview or no one is eligible for an interview, the tablet prompts you to record verification information for quality control procedures.
- Page 6-34: The Record of Calls helps you assign a code for each contact at the DU, whether you have found no one at home or have successfully completed the screening. These codes are either automatically assigned by the tablet or recorded directly by you. Each call record is stamped with a date and time.
- Page 6-56: At the end of each day, it is imperative that you exit the screening program to the **Home** screen BEFORE turning off your tablet.
- Page 6-58: The Call Distribution feature provides valuable information on the days and times of past visits to help you plan future visits and work efficiently.

## **QUESTIONS TO ASK YOURSELF**

1. On the **Home** screen, what do you touch to begin a screening?
2. What screen should your tablet be on as you approach a DU?
3. What does the Span button on the top of your screen mean and who is allowed to use this feature?
4. Consider these examples and decide whether the person should be rostered.  
*The wife of an active duty Navy Lieutenant.*  
*A couple who will be moving out of their home of the last ten years during the last week of the quarter.*  
*A daughter who will be 12 next week.*
5. Let's say an SDU is vacant at the time of the screening, with confirmation provided by an adult neighbor. What information is gathered for quality control purposes?
6. What should you do if the SR interrupts and provides an answer for the race question the first time you read this question?
7. What should you do when the SR answers they are Hispanic for the race question?
8. At the end of each work day when you exit the screening program, what tablet screen displays?
9. Name several criteria you can specify when you customize the information to view in the Call Distribution.

## 7. PREPARING TO INTERVIEW

### 7.1 Introduction

With every scientific survey, there are many necessary components that contribute to the overall success of the research. As a professional field interviewer for NSDUH, you are responsible for one of the most important aspects of the study: making sure every interview is administered according to all established survey procedures. This chapter discusses the steps required to prepare for an interview and offers suggestions for dealing with some respondent situations you may encounter. Refer to [Exhibit 7.1](#) for a listing of interview preparation steps and additional steps required when interviewing a youth respondent. Detailed instructions for administering the NSDUH interview are provided in *Chapter 8*, while instructions for using the CAI Manager and the CAI program on the laptop are in *Chapter 5* of the *FI Computer Manual*.

### 7.2 Your Role as a Professional Field Interviewer

Always keep in mind you are a professional doing a very important job. As a professional, you are expected to possess a great deal of knowledge about NSDUH—its purpose, the type of sample, the interview process, etc. You must be knowledgeable about what you are doing, understand why it is being done, and be prepared to answer any questions a respondent may have.

As a professional FI, you must always maintain the highest ethical standards, collect quality data with complete objectivity and treat **all** information gathered or observed during an interview with the utmost confidentiality and respect. These same requirements apply to any small talk or rapport-building conversation before, during or after the actual interview. For example, if you learn the name of your respondent through conversations between family members, DO NOT call the person by name, even though it may seem like a friendly gesture. Doing so may make the respondent feel less anonymous, which may hamper the honesty of the responses provided. You must convey to every respondent that you are a professional completing the interview in a completely confidential manner, and your work is not affected by any personal biases, opinions or prejudices. However, if while working your NSDUH assignment, you observe any unusual or concerning situation in a respondent's home, remove yourself from that situation as quickly and safely as possible and then call your FS.

**Following the questionnaire administration procedures and ethical standards is critical.** We ask you to maintain high response rates AND insist you follow all procedures to collect quality data. You must follow all specified procedures without exception, which includes making sure all respondents adhere to those procedures as well.

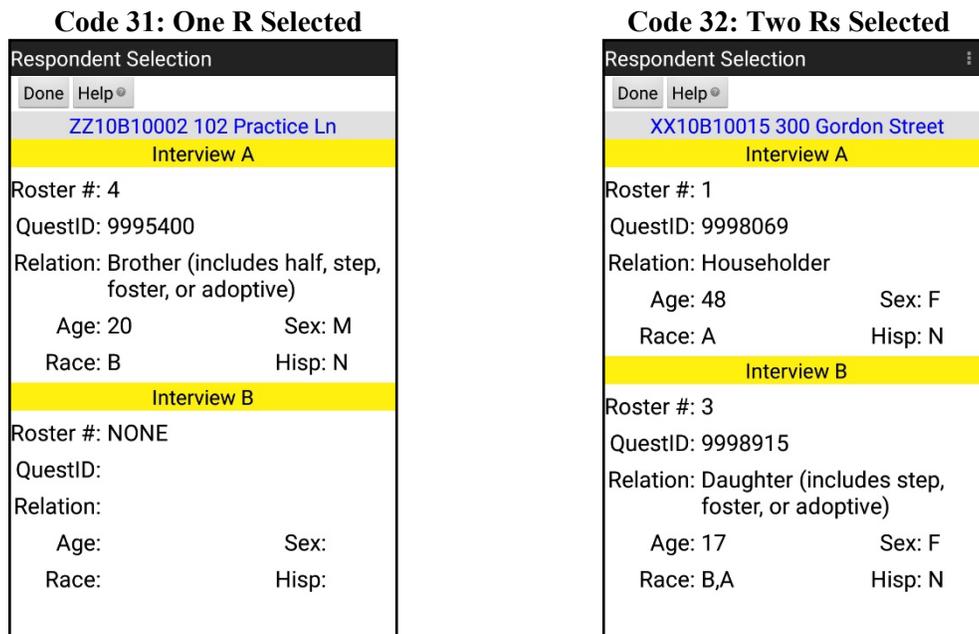
**Exhibit 7.1 NSDUH Interview Preparation Steps**

<b>Interview Preparation Steps</b> (Refer to noted Manual Sections for details)	
<b>Interview Steps</b> Apply to both Adult and Youth Respondents	<b>Additional Steps for Youth Respondents</b>
<p>Identify Respondent (7.3)</p> <ul style="list-style-type: none"> <li>– Use the information on the Respondent Selection screen on the tablet to identify the person to interview</li> </ul>	
<p>Contact the Respondent (7.4)</p> <ul style="list-style-type: none"> <li>– Introduce yourself (if necessary) and the study (7.4.1 for adult, 7.4.2 for youth)</li> </ul>	<p><u>BEFORE</u> speaking with the youth about the study, obtain parent/guardian permission using the script from the tablet (7.4.2) [Document who gave permission in the ROCs]</p>
<p>Answer Questions and Gain Participation (7.5)</p> <ul style="list-style-type: none"> <li>– Explain the study, provide materials as needed and answer any questions the R may have</li> </ul>	<p>Consider participation issues specific to youth (7.5.3)</p>
<p>Complete Required Informed Consent Process (7.6)</p> <ul style="list-style-type: none"> <li>– Read appropriate script from Showcard Booklet to R, providing Study Description when instructed (7.6.1 for adult, 7.6.3 for youth)</li> </ul>	<p><u>BEFORE</u> reading the informed consent script to the youth, obtain parent/guardian permission to conduct the interview by reading the top box of the script for 12-17 year olds to the parent/guardian (7.6.2) [Document who gave permission in the ROCs]</p>
<p>Set Up for the Interview (7.7)</p> <ul style="list-style-type: none"> <li>– Select a private, appropriate location (7.7.1 and 7.7.2)</li> <li>– Set up the laptop including headphones and plugging into power when available (7.7.3)</li> <li>– Check the date and time on the laptop and update as needed (refer to <b>Section 5.14</b> of the <b>FI Computer Manual</b>); NEVER begin an interview with an incorrect date or time</li> </ul>	<p>Ensure a parent or another adult is present in the home (although not in the same room) during the interview (7.7.2)</p>

### 7.3 Identifying Interview Respondents

All respondents selected to be interviewed are identified at the end of the screening process. When you screen a household, the tablet instructs you to conduct either zero, one, or two interviews at that household. You may have cases transferred to you for completion that were screened by a different FI. Your FS will keep you informed of such situations.

The **Respondent Selection** screen on the tablet lists the respondent selected, the roster number, and demographic information. The tablet automatically assigns the Questionnaire ID (QuestID) displayed on the screen, which is used to start the interview in the laptop.



After the screening is complete and an individual has been selected for an interview, ALWAYS try to conduct the interview at that time. Use the **Respondent Selection** screen to see the information needed to identify and locate the selected respondent, as well as the QuestID to start the interview in the laptop.

You may need to view the **Respondent Selection** screen when returning for a follow-up visit to identify the correct interview respondent. There are several ways to access this information:

- From the **Record of Calls** screen for the appropriate case, touch **Selections**
- From the **Select Case** screen, touch and hold the appropriate case. On the Actions menu, then touch **View Selections**

In the event there are two household members with exactly the same demographic information and one or both are chosen for an interview, you need to know which one to contact. Since the roster is

completed from oldest to youngest, assume the eldest of the two household members was listed first. For example, consider an apartment with four residents where the last two (roster numbers 3 and 4) are both 21 and have the exact same demographics. If roster number 3 is chosen for an interview, ask for the older of the two. If roster number 4 is selected, ask to speak with the younger. If the screening respondent cannot identify which is older, you may choose one of the two at random. This unusual situation is the ONLY case where you can choose a respondent at random. You must explain the circumstances in the Record of Calls (ROC) comments.

Once you identify your respondent, you cannot switch to another household member. If you have any questions about determining which respondent to interview, talk with your FS.

## 7.4 Contacting the Selected Respondent(s)

The techniques for contacting identified interview respondents are similar to those for screening, except selected interview respondents may be familiar with the reason for your visit and understand you are asking them for a longer time commitment.

Whenever possible, **proceed with the interview immediately after you finish the screening.** The best way to achieve high response rates and be efficient is to always try to complete the interview on the spot (OTS) while you are already at the SDU and have identified the respondent(s) to be interviewed. If a respondent is present and willing to participate, begin the interview. If two respondents in the same household are selected to complete interviews, conduct these back-to-back.

The following sections cover the process for contacting adult respondents and the differences in contacting youth respondents in more detail.

### 7.4.1 Adult Respondent Introduction

The transition from a completed screening into the interview requires you to be flexible and use your knowledge of the study. Carefully review the steps below and suggested text to use when speaking with an ADULT respondent:

- If necessary, ask the screening respondent or person you are speaking with to locate the selected respondent for you:
- *[R AGE/GENDER/RELATIONSHIP] has been selected for the full interview. I would like to speak with [him/her] to explain the study. Is [he/she] available?*
- When the respondent arrives, introduce yourself using text similar to your screening introduction:
- *My name is [NAME] with RTI International in North Carolina. We are conducting a nationwide study sponsored by the U.S. Department of Health and Human Services.*
- Continue to briefly describe the study. If the screening respondent is your selected interview respondent, you can begin at this point, since you have already introduced yourself:

- *You have been randomly selected for the full NSDUH interview which asks about tobacco, alcohol, and drug use or non-use as well as other health related issues. All of your answers will be confidential and used only for statistical purposes. I have my computer and materials right here with me – where can we set up to begin?*
- Answer any questions the respondent may have (**Section 7.5**).
- Obtain informed consent (**Section 7.6**).
- Set up for and conduct the interview (**Section 7.7** and **Chapter 8**).

**Note** the above only applies to **adult** interview respondents.

#### **7.4.2 Youth Respondent Introduction**

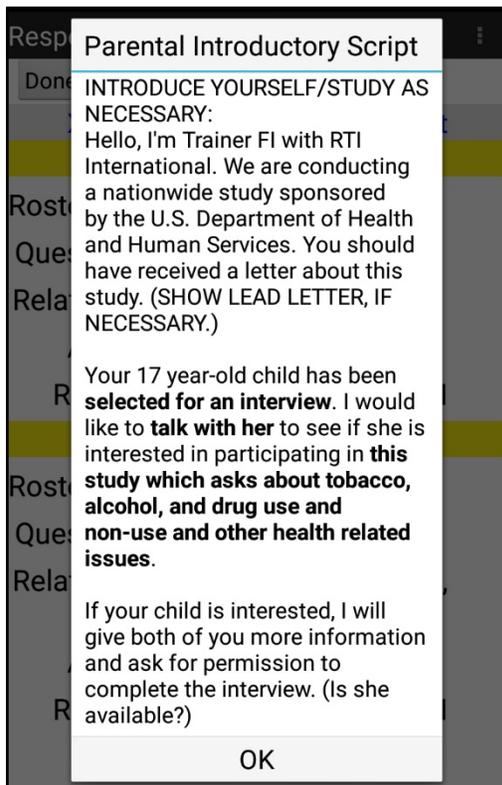
For selected youth respondents aged 12-17, you must obtain parental permission before speaking with the youth about the study using the standardized script on the tablet (available in English and Spanish). **No one 17 years old or younger may be contacted or interviewed without permission from a parent or guardian regardless of the situation.**

**Before speaking with the youth**, introduce yourself and the study to the youth’s parent or guardian using the first paragraph of the Parental Introductory Script on the tablet, if not done earlier. For example, if the screening respondent is the parent, you have already introduced yourself and the study to him/her, so it is not necessary to read the introductory paragraph from the script. In other situations, briefly introduce yourself and the study to the parent/guardian, referencing the script on the tablet.

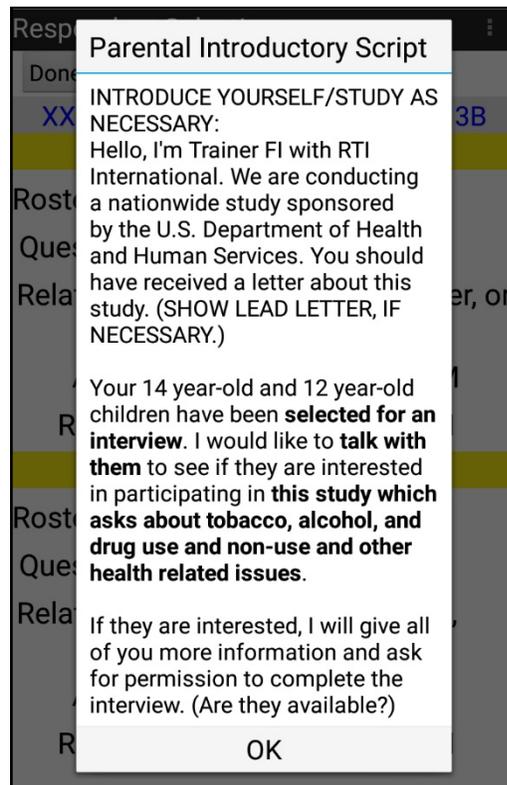
Next, ask the parent for permission to speak with the youth about the study using the script provided on the tablet. The correct script appears automatically at the conclusion of a screening in which a youth is selected (after touching **Done** on the **Respondent Selection** screen and **OK** at the pop-up reminder). The script includes the youth’s age and gender, and will change slightly depending on whether one or two youths were selected for an interview, as shown on the next page. The script includes bolded text in several places. You can read the full script as written or use your own words to obtain permission as long as you cover all bolded text in the script with the parent/guardian. If the parent does not speak English, the translator (if used for the screening, for example), should translate the information for the parent. Only RTI-Certified bilingual FIs are allowed to use the Spanish Parental Introductory Script.

To access the script at a later time, go to the **Respondent Selection** screen for the appropriate case, touch Functions and choose the appropriate script, either English Parental Introductory Script or Spanish Parental Introductory Script.

### One Youth Selected:



### Two Youths Selected:



Once the parent agrees, only then may you speak with the selected youth. Approach the youth and introduce yourself and the study briefly in your own words, providing materials describing the study as necessary. If two youth respondents are selected, talk with them individually so you can focus your attention on each person, and so each can make a personal decision about participating. Document in the ROCs who gave permission to speak with the youth. Talk with your FS about how to format and record this information.

### 7.4.3 Additional Contact Information

If the interview cannot be completed on the spot, gather additional contact information while at the DU. If you are speaking with the selected interview respondent, try to schedule an appointment—within the next 2 or 3 days when possible. Experienced NSDUH FIs suggest offering a choice. For example: *“Would later this evening be better or tomorrow afternoon?”* Complete an interview appointment card to leave with the respondent.

If the selected interview respondent is not available, ask the person to whom you are speaking to suggest the best days and times to return to speak directly with the selected person. In the case of a selected youth, ask for a time when both a parent and the youth will be available.

If the respondent offers you his/her phone number to set an appointment, accept the number, recording it only in the ROC comments for the case. Do not write the phone number down on paper or

enter it into your personal cell phone. Protect the phone number the same way you would any other information collected during a screening or interview.

Let them know you will be working in the area and may stop by as well. However, do NOT ask for a phone number as this may raise concerns about confidentiality. A respondent freely offering a phone number is acceptable, but an FI requesting a number is not.

If a respondent offers their email address or asks you to contact them via text message, inform them you are not able to accept email addresses or send and/or receive text messages. Make alternative arrangements to schedule an appointment. You should not provide your email address to the respondent.

Offering your phone number to a respondent may seem convenient, but is something to carefully consider. Providing your number gives the respondent an opportunity to call and refuse over the phone. Talk with your FS about his or her preference. You may give out a personal cell phone number— understanding that RTI and SAMHSA do not accept any liability which might result from you doing so, and any charges for phone use are not reimbursable. You are strongly advised NOT to give out your home number for personal safety reasons.

If you call (or receive a call from) a respondent, **do not store any respondent contact information in that phone. Never** create a “contact” profile for any respondent in your phone. Immediately after speaking with a respondent, **delete the respondent’s number** from the incoming and/or outgoing call logs so that information is never stored. If unsure of how to do this, consult your phone’s user manual.

#### **7.4.4 Documenting the Interview Contact in the ROC**

When you finish screening and have selected interview respondent(s), you must enter ROCs for each respondent to document what happened during that screening visit. Also, if you are unable to complete the interview on the spot and must make return visits to the SDU, document all subsequent visits in the interview call records.

Record the details for the appropriate respondent, either interview A or interview B, in the Record of Calls on the **Interview Call Record** screen (see *Section 6.6.1*) in your tablet. Result codes are explained fully in *Section 9.2*. If you wish, as a personal reminder you may also use the calendar feature on the tablet (see *Section 6.15*). *Note: information included in the calendar does not replace the notes you must make in the Record of Calls.*

Consider these interview ROC examples:

- You complete a screening and one person is selected but is not at home. Once you finish the screening, commit the ROC for the final screening result of one person selected (code 31). Then add a pending interview ROC indicating the interview respondent is unavailable (code 52). Include details about days/times for return visits.

- You complete a screening and two persons are selected. The interview A respondent completes the interview OTS and you speak with the B respondent and set an appointment in 2 days. Commit the final screening ROC (code 32), add a final interview A ROC for the interview once completed (code 70), and add a pending interview B ROC with details for the appointment made with the interview B respondent (code 50).

Make sure the ROCs for any pending interviews have detailed notes about what took place and plans for the future. Thorough notes help you recall details, and also helps your FS and teammates if the case needs to be transferred to another FI.

### 7.4.5 Return Visits to the SDU

While you should always attempt to complete the interview at the time of screening, if you must revisit the SDU to contact the selected interview respondent, be prepared. Review the list of materials in *Chapter 12* before leaving home and have all necessary paperwork and equipment. Before you leave, check that the tablet date and time displayed on the **Select Case** screen are correct. If not, refer to *Section 3.3.1* of the *FI Computer Manual* for instructions on correcting the tablet settings.

Go to the tablet **Record of Calls** screen to view all the previous visit information for the SDU.

To see who the selected person is, touch **Selections** to review the roster information for your selected household member and to obtain the QuestID to enter into the laptop. To see the completed roster for the household, touch **Roster**. Use this information to identify the screening respondent and other household members. You can also view the respondent selection(s) and household roster information from the **Select Case** screen. Touch the **line for the case** you need to review, then touch **View Selections** or **View Roster**.

If you completed the screening at the SDU, reviewing the roster and ROC notes should refresh your memory. If the case was transferred to you, review the roster and past ROCs in detail to see what happened during previous contacts, including past times which were successful (as in someone was home).

Respondent Selection

Done Help

YY09B10001 124 Example Dr

Interview A

Roster #: 3  
QuestID: 9995044  
Relation: Son (includes step, foster, or adoptive)  
Age: 21 Sex: M  
Race: B Hisp: N

Interview B

Roster #: 5  
QuestID: 9995570  
Relation: Daughter (includes step, foster, or adoptive)  
Age: 15 Sex: F  
Race: B Hisp: N

Verify Roster Data

Exit +Member Span Help Next

Line 001 124 Example Dr

I need to make sure this list is accurate. I have listed ...

[READ AGES AND RELATIONSHIPS ROSTERED].

TO MAKE CORRECTIONS: TOUCH AND HOLD THE ROSTER LINE THAT YOU WANT TO EDIT, THEN TOUCH "EDIT" FROM THE POP-UP MENU.

RELATION	AGE	SR
Householder	44	Y
Wife	42	
Son (includes step, foster, or adoptive)	21	
Daughter (includes step, foster, or adoptive)	18	
Daughter (includes step, foster, or adoptive)	15	

Approach the selected respondent using an introduction similar to the one used for screening. Keep it simple and straightforward. It may help to mention which member of the household was the screening respondent, since this person may have discussed the situation with the selected person. Refer to *Sections 7.4.1* and *7.4.2* for more information on transitioning to the interview.

#### **7.4.6 Following Respondents Who Move**

If you return to an SDU to complete an interview and learn the selected respondent no longer lives there, try to obtain the new address/location.

- If the move is local, talk to your FS and then try to contact the respondent at the new address.
- Attempting to follow a respondent would be inappropriate if the respondent is now in the hospital or jail. If possible, determine the expected length of stay to see if an interview with that respondent before the end of the quarter is feasible, and talk with your FS.
- If the respondent has moved to a group home, find out the type of situation and talk with your FS about whether additional contact is possible and/or appropriate.
- If the respondent is no longer local, determine the distance and discuss the case with your FS. Depending on how far, you may be asked to attempt the interview, or the case may be transferred to another FI located closer to the new address.

No matter the situation, keep in mind eligibility is based on the information received at the time of screening. If you return to complete an interview and discover, for example, a respondent has been jailed, he/she is not disqualified even though he/she is institutionalized when you revisit.

However, if you are told the selected respondent does not actually live at the SDU and should not have been included in the household roster, enter a code 59 (select “R rostered in error” from the list of sub-categories) and describe the situation in the comments. Then, discuss this case with your FS. Ineligible respondents who move or do not live at the SDU, such as those rostered in error, do not need to be followed.

### **7.5 Answering Questions and Gaining Participation**

Convincing persons selected for the interview to participate is an important part of your job. The selected interview respondent may not have been the screening respondent and may be unfamiliar with the study. Keep in mind persons who were the SR and willingly completed a five-minute screening may need additional convincing to complete a lengthier interview.

#### **7.5.1 Answering Questions**

Be thoroughly familiar with the study so you are comfortable answering questions (see *Chapter 5*). Specific questions relating to the interview and suggested responses are in [Exhibit 7.2](#). Be comfortable with these topics as well. The refusal letters in *Appendix B* are also available to help convert reluctant respondents. See *Section 5.6* for more on refusal letters.

Often, when someone is apprehensive about participating in a “survey” using the words “study,” “research,” or “interview” can be helpful. Assure the respondent you are not selling anything. Show the NSDUH Highlights to explain how the data are used.

The computerized nature of the study may be a positive factor in convincing some respondents to participate. If your interview respondent was also the screening respondent, he/she already observed you conducting the selection process with the tablet. The privacy afforded by answering more sensitive questions using the computer is particularly important in getting honest answers from respondents.

For individuals who seem intimidated by technology, suggest they try the initial questions to see how easy it will be to complete the interview. Field staff report some respondents who were initially hesitant became more confident as the interview progressed. Assure the respondent of how simple it will be to complete the interview and emphasize you will be present to help with any problems that might arise. These respondents may also benefit from viewing the NSDUH Intro video on the tablet.

Sometimes you may encounter a reluctant respondent you suspect is making an appointment for the interview with no intention of keeping that appointment (an unstated or “soft” refusal). In that case, suggest the respondent try a few questions now to see how it goes. Once into the interview, most respondents will complete it. Your flexibility and willingness to suit the respondent’s needs goes a long way in convincing reluctant persons to participate.

Your personal safety is always a priority. Never offer to drive a respondent in your car. Also, you cannot offer to exchange a service for respondents if they will participate. Offering to finish washing the car during the ACASI portion, mowing the lawn, cooking dinner or anything similar are all unacceptable bribes to obtain participation and are against project protocol. There is only one exception: if a respondent has small children, you may offer to entertain the children while the respondent completes the interview. However, you must be present and available to help the respondent.

You will give a \$30 cash incentive to each respondent who completes the entire interview. The possibility of \$30 for completing an interview for about an hour may convince reluctant persons to participate.

## Exhibit 7.2 Answering Questions About the Interview

Question	Possible Answer
“What type of questions will you ask?”	The questions are about health-related issues, including past and current use of various substances. ( <i>Show Questionnaire Summary</i> )
“I don’t use drugs. How can I help you?”	For our sample to represent all people living in this country, we need people who do not use drugs or know about drugs to participate as well as those who do.
“Are the questions personal?”	Some questions may seem a bit personal to some people. All answers are confidential; no one else will know what you said. You don't have to answer any question you don't want to answer.
“Will my family get to see my answers?”	No. You will be interviewed privately and complete most of the interview on your own using a laptop computer. When we are finished, the interview will be locked so no one can open it. All of your answers are protected by Federal law. I have signed a pledge to keep all responses completely confidential.
“How will the data be used?”	Researchers use NSDUH data to understand substance use trends throughout the U.S. Government and state health agencies use the data to assess the need for and develop substance abuse prevention and treatment programs. ( <i>Show NSDUH Highlights/Who Uses the Data</i> ) Or Federal law requires the data can only be used for statistical purposes.
Why should I do this?	Your answers matter! The results of this study could help our state receive funding for programs to help educate, treat, and prevent substance use and mental health problems. Or When you finish the full interview, I'll give you \$30 in cash.
“How long will the interview take?”	It generally takes about an hour.
“Will my answers be kept private?”	Yes, by law, the information you provide will remain completely private and confidential. No one will know how you answered the questions. The data are reported only as statistics. ( <i>Show National Results Report or NSDUH Highlights</i> )

## 7.5.2 Types of Respondents (and How to Deal with Them)

As an FI, you encounter many types of people. Included in this section are descriptions of some respondent types and helpful suggestions for dealing with them from experienced, successful field staff.

**Busy Respondents/No Time** – This is the most common reason given for not wanting to participate. Many people lead busy lives and have little free time.

- Acknowledge their limited and valuable spare time, but let them know how valuable they are to our study. *“We need to speak with busy, active people like you. Our study will lack balance if we only interview people who have lots of free time.”*
- Assure them you will work around THEIR schedule. *“I can return in an hour or tomorrow. Which is better for you?”* Giving the respondent a choice allows you to maintain control of the outcome.
- Offer to get started and see how it goes. *“I know your time is very limited. We can start now and finish on another day, if necessary.”*
- Talk to them about NSDUH and their significant role in it. Remind them of the importance of the study and that they cannot be replaced. *“We need you and your help.”*
- For adult respondents and as a last resort, offer to meet them somewhere convenient that will provide privacy. *“May I meet you someplace after work?”* Do not offer to drive them in your car. While you may suggest a neutral location such as a public library, do not suggest meeting at their place of employment. You can only conduct an interview at a respondent’s place of employment if they suggest it (and if that location provides sufficient privacy). A respondent offering is acceptable, but an interviewer suggesting this may be viewed as intrusive or an invasion of privacy. See **Section 7.7.1** for more information about acceptable and unacceptable interview locations.

**Suspicious or Frightened Respondents** – These persons suspect you are at their home to sell them something or to take advantage of them. Particularly with elderly persons, they may be afraid of your presence and may avoid you by speaking through a closed door or not coming to the door at all. Counter their concerns by establishing your legitimacy.

- Allow plenty of “personal space.” Take two steps back when the door is opened. Speak with a smile and a reassuring tone of voice. Empathize with them. *“I understand your concerns completely. I’m always very careful with strangers, too! However...”*
- Show your FI ID badge. Introduce yourself and explain why you are there and what you are doing.
- Show the Lead Letter and the Authorization Letter with your name in it.
- Provide a copy of the Q&A Brochure and any other materials that seem appropriate.
- Offer to let the respondent call your FS to verify your employment while you wait outside.
- Be persistent. If no one answers the door, try back at different times and on different days. Ask your FS about sending an Unable to Contact letter.

**Apathetic Respondents** – If you hear “I’m not interested,” or “I don’t care about this,” or even a polite “No thanks, I’m good,” chances are you have an apathetic respondent who may announce their disinterest before you even speak. Your challenge is to convince them NSDUH is something they should care about.

- Recognize and appreciate their reluctance. *“I can understand why you might be hesitant until you know more about our study, let me explain....”* Use the Q&A Brochure and handouts with data such as the Highlights. You want to spark their interest. Begin a conversation in which you educate and draw the individual out. Building rapport helps!
- Their input matters. *“Your answers are very important! The study results are used to make policy decisions on education and substance abuse prevention programs.”*
- Apologize. Maybe they did not receive a lead letter or the screening respondent did not mention it to the selected respondent. *“I’m sorry! You must not have seen the letter telling you I would be stopping by. Let me give you a copy and tell you about it.”*
- Find out specifically why they do not care or do not want to participate. *“It would be helpful for me if you would share your reasons for not wanting to participate in this important research.”* OR *“It’s important to me and my supervisor that your questions and concerns are addressed. Can you describe them to me?”*
- Try to move past the objection and launch into the introduction. Sometimes “I’m not interested,” is offered to see if you will take the bait and go away. Try to stand your ground.

**“Doesn’t Apply to Me” Respondents** – Selected respondents may feel the study does not apply to them if they don’t use drugs, or they may feel they have nothing to contribute.

- Explain we need all types of respondents to get an accurate picture of the entire population. *“You are extremely important to this study, as you represent over 4,500 people like you.”*
- Assure them their answers are very important. *“Without answers from people like you, this study wouldn’t be accurate. If we only spoke with drug users, it would look like the entire population used drugs, and that is not true.”*
- Appeal to their curiosity. *“Many participants find the study questions to be very interesting.”*

**Confidentiality Issues** – Many people desire privacy and want to protect their personal information from telemarketers and scam artists.

- Reassure them that all answers are strictly confidential. *“By law, the information you provide will remain completely private and confidential.”*
- Persons concerned about what happens to the information may need to understand the process. *“I won’t even see most of your answers because you will enter them into the computer yourself. After the interview is complete, the file is closed and I cannot reopen it.”*
- Explain how all the answers are combined into statistical reports and it is not possible to tell who provided the information or where they lived. Show them the NSDUH Highlights. *“NO ONE will know how you answered the questions. The data are reported only in statistical form.”* Point out the NSDUH Website address ([nsduhweb.rti.org](https://nsduhweb.rti.org)) on the back of the Q&A Brochure if the respondent is interested in viewing recent reports.
- If they are curious, try *“You can read all the questions, but refuse to answer any you are uncomfortable with.”* OR *“Wouldn’t you like to know what questions are asked? We can start now and you can skip any you would rather not answer.”*

**Government Issues** – Some think the government already knows too much and government surveys are a waste of taxpayer dollars.

- Avoid discussions of government spending and politics! If the topic arises, make sure all your comments are neutral and bring the conversation back to NSDUH.
- A wide variety of researchers use the data, not just the government. Use your materials as you explain the purpose of the study and how the data are used. Find some common ground to interest the respondent.
- People who dislike the government still have strong views. *“This is your chance to have input and contribute to the formation of public policy.”* Do not state this is their chance to “tell the government what they think.” Very few of the questions ask for opinions.
- Regarding the waste of taxpayer dollars spent on surveys, you can offer the following response: *“The funds have been allocated and Congress has mandated this research take place. If you participate, you have the opportunity to represent thousands like yourself. These people will not be represented if you do not help.”*

**Language and Cultural Issues** – Communicating with selected respondents who are from different backgrounds may be a problem. There may be language barriers, cultural differences (perhaps they are uncomfortable speaking with strangers), or they may fear you are from the immigration department.

- If their language is Spanish and you are not an RTI-Certified bilingual FI, tell your FS a bilingual FI is needed.
- Even if the selected respondent was able to complete the screening in English, if the respondent indicates they would feel more comfortable completing the interview in Spanish, the case should be completed by a bilingual FI. It is important you honor this request. Conducting the interview in the respondent’s preferred language not only increases the comfort level of the respondent, but also improves the quality of the data collected. Only RTI-Certified bilingual FIs are allowed to conduct any portion of the NSDUH interview in Spanish (including the ACASI). All interviews conducted by non-bilingual FIs must be done entirely in English with no translation of the interview questions.
- Honor any requests to return to speak to someone else, such as a husband or a father. Do not pressure a reluctant spouse.
- Show appropriate credentials, including your FI ID badge, Authorization Letter, and the Q&A Brochure.
- Stress the confidential nature of the study.

### **7.5.3 Youth Specific Participation Issues**

Dealing with 12-17 year-olds can present some special challenges. If a young person is selected for an interview, the parent may be hesitant to give permission for a “stranger” to speak with or ask the young person questions. Allow the parent to view the Intro video on the tablet and review your Authorization Letter, then provide a copy of the Q&A Brochure or any other appropriate materials. You can also give the parent a copy of the Summary of the NSDUH Questionnaire (see [Exhibit 7.3](#)). Also,

suggest looking at the NSDUH Website ([nsdweb.rti.org](https://www.nsdweb.rti.org)) for more information. If necessary, the parent may call your FS or RS for additional confirmation of your status as a professional FI working on NSDUH.

Examples of some responses you may provide to parents include:

- “This provides an opportunity for you to discuss this subject with your child.”
- “There are other topics included besides drugs. Knowing the opinions and experiences of your child is important as well.”
- “‘No’ answers are just as important as ‘yes’ answers to get an accurate picture of today’s youth.”
- “Participating in a study like this provides an opportunity to learn about the research process.”
- “This gives your child an opportunity to do something for their community.”

When attempting to gain the cooperation of a youth, keep in mind the following tips:

- Respect the youth by listening carefully and responding to any concerns.
- Emphasize how important each respondent is—he or she represents about 1,000 other youth and cannot be replaced.
- Offer choices with either/or responses, instead of yes/no responses. For example, “We can either do this now while your parent is here or I can meet you here tomorrow after school if your parent is available.”
- Stress the confidentiality of all responses, mentioning no teacher or parent will see the answers.
- Be flexible and schedule the interview around the youth’s busy schedule.
- Don’t get in the middle of a disagreement between the youth and the parent. Likewise, don’t involve another party such as a guidance counselor or teacher.
- Schedule the interview at a time when another adult can be present in the SDU for the entire interview.
- Mention the computer used for the study and the \$30 in cash given at the completion of the interview.

Additional suggestions for converting youth refusals are included in [Exhibit 7.4](#).

Although it can require some effort to speak with both the parent and the youth to properly follow the required youth permission protocols and to find a time to complete the interview, the vast majority of youth respondents complete the interview. Being able to offer a cash incentive for participation can help persuade reluctant youth. (Note the cash should be given to the youth respondent, not the parent/guardian. See [Section 8.11.2](#) for more details). You may also offer a Certificate of Participation. Guidelines for the use of the certificate are covered in [Section 8.11.3](#).

# *20XX National Survey on Drug Use and Health*

## Summary of the Questionnaire

To know more about the *National Survey on Drug Use and Health* and the types of questions the interviewer will ask, included below is a summary of each section of the questionnaire. Keep in mind that not all participants will see every question—the questions depend on each person’s experiences. Furthermore, participants can always refuse to answer any questions during the interview.

### **Demographics**

This section, administered by the interviewer, consists of questions about the participant such as his/her date of birth, race, educational background, and health status.

#### *Sample Questions:*

- ▶ What is the highest grade or year of school you have **completed**?
- ▶ Would you say your health in general is excellent, very good, good, fair, or poor?

### **Computer Practice Session**

In this section, the interviewer shows the participant how to use the laptop computer and lets him/her practice using a short practice session.

### **Cigarettes, Alcohol and Illicit Drugs**

For most of the rest of the interview, the participant answers questions by listening to the questions over headphones and/or reading the questions on the computer screen, and then entering responses using the computer’s keyboard. The participant answers these questions in private, although the interviewer is available to help with any problems using the computer. During this part of the interview, only the participant can hear and see the questions and see his/her responses.

#### Tobacco Products and Alcohol

These sections include questions about whether and how often participants have used cigarettes, smokeless tobacco, cigars, pipe tobacco, and alcoholic beverages such as beer, wine, or liquor.

#### *Sample Questions:*

- ▶ Have you **ever** smoked part or all of a cigarette?
- ▶ How old were you the **first time** you used “smokeless” tobacco?
- ▶ What is your **best estimate** of the number of days you drank alcohol during the past 30 days?

#### Illicit Drugs

The next sections ask about the participant’s use or non-use of marijuana, heroin, cocaine, hallucinogens, inhalants, methamphetamine, and prescription pain relievers, tranquilizers, stimulants, and sedatives. Questions about drug dependence and drug treatment are also included in these sections.

#### *Sample Questions:*

- ▶ Have you **ever**, even once, used marijuana or hashish?
- ▶ How much do people risk harming themselves physically and in other ways when they use **cocaine once a month**?

## Exhibit 7.3 Summary of the NSDUH Questionnaire (continued)

### Adult Social Environment and Mental Health

Participants aged 18 and older receive questions about their social experiences, including their opinions about drug use, and in some cases, their experiences as a parent. Mental health questions cover such topics as depression and treatment for mental health problems.

#### *Sample Questions:*

- ▶ How do you feel about **adults** trying marijuana or hashish once or twice?
- ▶ During the past 12 months, was there any time when you **needed** mental health treatment or counseling for yourself but **didn't get it**?
- ▶ Have you ever in your life had a period of time lasting several days or longer when **most of the day** you felt **sad, empty, or depressed**?

### Youth Experiences and Mental Health

Youth aged 12-17 participating in the survey are also asked questions about their social experiences such as: perceptions about the risks of using certain drugs; whether getting drugs is difficult or easy; feelings about school and peers; and involvement in clubs, sports, and other extracurricular activities. The mental health questions cover such topics as depression and treatment for mental health problems.

#### *Sample Questions:*

- ▶ **During the past 12 months**, in how many different kinds of school-based activities, such as team sports, cheerleading, choir, band, student government, or clubs, have you participated?
- ▶ Have you ever in your life had a period of time lasting several days or longer when **most of the day** you felt **sad, empty, or depressed**?
- ▶ During the past 12 months, did you receive treatment or counseling from a **private therapist, psychologist, psychiatrist, social worker, or counselor** for emotional or behavioral problems that were **not** caused by alcohol or drugs?

### Health Insurance and Demographic Information

In this section, the participant answers questions about school and work. Then the laptop is handed back to the interviewer, who asks questions about health insurance and family income information to help in analyzing the data. If necessary, a knowledgeable adult in the household may be asked to help participants answer some of these questions.

The answers to these questions increase the government's knowledge about health care, especially as it may relate to drug use or treatment. This information helps in planning health care services and finding ways to lower the costs of care.

#### *Sample Questions:*

- ▶ How many hours did you work **last week** at all jobs or businesses?
- ▶ **Before taxes and other deductions**, was the **total combined family** income during 20XX more or less than 20,000 dollars?
- ▶ Are you currently covered by private health insurance?

The interviewer is available to answer any additional questions about the National Survey on Drug Use and Health questionnaire.

*Thank you for your cooperation and help!*

## Exhibit 7.4 Countering Youth Refusals

<b><u>Reason for Refusal</u></b>	<b><u>Response</u></b>
<b><i>Too busy/No time</i></b>	<p><i>Be flexible in setting up an interview.</i> With school and extracurricular activities, youth can be very busy so you must be flexible and adjust to their schedules. Remember a parent or another adult must be present in the house (although not the same room) to conduct the interview.</p> <p><i>Drop by before the youth goes out.</i> On the weekends and during the summer, youth generally sleep late then go out for the day. It helps to visit the house just after they get up but before they are ready to “hit the road.”</p>
<b><i>Lack of interest / Nothing in it for me</i></b>	<p><i>Mention the cash incentive.</i> Youth in particular enjoy having extra cash in their pockets. Explaining they will receive cash at the conclusion of the interview will often persuade them to find time for the interview.</p> <p><i>Make them feel important.</i> One of the most important methods for obtaining youth participation is to give them a sense of their own importance. Many have never been singled out and this will give them an opportunity to feel special. Let them know they are irreplaceable.</p> <p><i>Suggest it could count toward school or community service credit.</i> Some youth can get school credit or community service credit for participating in the study by bringing the lead letter and brochure to their teachers and explaining what it was like to participate. Youth have even written papers about their experience participating in our study! Encourage them to explore this.</p> <p><i>Give a Certificate of Participation (see <b>Section 8.11.3</b>).</i></p> <p><i>Send a refusal letter.</i> Ask your FS about sending a special letter addressing many of the concerns teens express.</p>
<b><i>Concerns about confidentiality</i></b>	<p><i>Provide a private setting.</i> Some youth are concerned about privacy. They don’t want their parents to know about things they have done. Be sensitive to this and conduct the interview in a private setting, reassuring the youth that his/her parents will never see the answers.</p>
<b><i>Teen-parent power struggles</i></b>	<p>Sometimes parents worry about their children growing up and try to control that process. Permission to participate in the study is something parents can control. You must first convince the parents (before dealing with the youth) that it is to their child’s benefit to participate. If the parent is won over, he/she may then support the youth’s decision to participate.</p> <p>Other times the power struggle is in reverse—the parent would like the youth to participate so the he/she refuses, knowing it will irritate the adult. In this situation and with the parent’s permission, it helps to discuss the interview away from the parent (make sure the parent remains in the house). This will help the youth consider participating in a context other than the conflict with the parent(s).</p>

## 7.6 Informed Consent Procedures

Even after a respondent has initially agreed to the interview, **you must follow the detailed informed consent requirements.** The respondents' Right to Informed Consent is a critical part of any scientific study such as NSDUH. This means each person must receive all the information necessary to make a completely informed and knowledgeable decision about participating. Even if someone immediately agrees to be interviewed, you are still required to follow the informed consent procedures and read the appropriate Intro to CAI script to each respondent before beginning the interview. Try to read this script as you set up the computer and prepare for the interview, but if you cannot, you **must** do this when prompted by the CAI **before asking any interview questions.**

A potential respondent must be informed of the following key points:

- the purposes of the study
- the procedures that will be followed
- the approximate length of the interview
- the fact that consent may be withdrawn and participation discontinued at any time (i.e., that participation is voluntary)
- sources from which additional information about the study can be obtained. Examples include the Q&A Brochure, Study Description, and the NSDUH Website.

By following the detailed NSDUH protocols, all the required information is made available to each respondent. As explained in the next sections, the information presented for informed consent varies depending on whether your respondent is an adult or youth. Most importantly, the informed consent process must be completed individually with each respondent and cannot be administered to two respondents simultaneously. You must follow all procedures described in the next sections before beginning each interview. **There are no exceptions to these informed consent requirements.**

### 7.6.1 Adult Informed Consent

The informed consent information you present to a selected adult interview respondent (age 18 and older) is found in the Showcard Booklet (see [Exhibit 7.5](#)). For adult respondents, you must read the Introduction and Informed Consent for Interview Respondents Age 18+ text in its entirety. Some respondents may ask if they can just read the document, instead of you reading it to them. This is not allowed for two reasons: first, most respondents would just skim the document to save time, and second, poor readers may not be able to and may not admit it. Because this information is so important, our procedures require you read all the text out loud to each respondent.

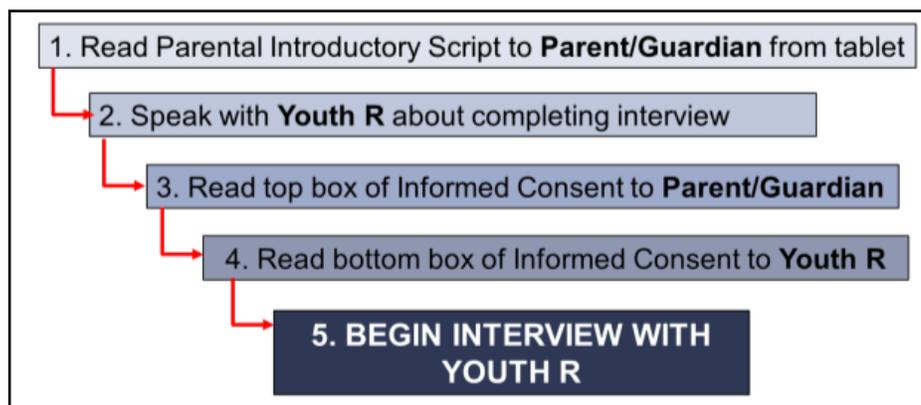
Also, give the respondent a copy of the Study Description to keep. This is an important requirement mandated by the IRB so always be sure each interview respondent has a copy in their hand at the time of the interview. The only exception to handing the Study Description as part of the interview

informed consent process is when a screening respondent is selected for the interview and has the copy you provided during the screening in hand or readily available, such as beside them on the table. Each interview respondent must have a copy of the Study Description as part of the informed consent process.

## 7.6.2 Parent Permission to Interview Youth

Completing interviews with respondents aged 12-17 **requires** the consent of both the youth and his/her parent (or guardian if no parent lives in the DU). There are strict protocols for speaking with and interviewing youth. As explained in **Section 7.4.2**, you must obtain parent permission (using the script on the tablet) to speak with the youth about the study. Then, after you introduce yourself and the study to the youth, follow the informed consent steps for youth respondents as detailed here and in **Section 7.6.3**. Pay close attention to these requirements as well as the general informed consent requirements in Section 7.6. Included below is a summary of the necessary steps you must complete, in the exact order listed, before beginning an interview with a youth.

- Step 1:** Read the Parental Introductory Script to the parent (or guardian) from the tablet, making sure to cover the bolded text if the script is not read verbatim. The script appears automatically when a youth is selected for an interview. If the parent is not available at that time, the script can also be accessed later from the Respondent Selection screen.
- Step 2:** With the parent's permission to speak with the youth, introduce yourself to the youth, provide information about the study, and inform the youth they have been selected for the interview.
- Step 3:** Once the youth agrees to do the interview, read the top box of the Introduction and Informed Consent (see [Exhibit 7.6](#)) to the available parent (or guardian) verbatim from your Showcard Booklet and obtain their permission to conduct the interview with the youth. If more than one youth is being interviewed, this step must be done for each youth respondent individually. Also, the parent or another adult must be present in the home (although not in the same room) during the interview.
- Step 4:** Finally, read the bottom box of the Introduction and Informed Consent to the youth respondent, providing a Study Description when prompted (see **Section 7.6.3**).
- Step 5:** With all the steps completed, you can proceed with the interview as long as there is an adult present in the home for the duration of the interview.



Your interactions with a parent must take place in person, never over the phone. **These informed consent procedures must be followed without exception to comply with IRB requirements.** A few issues to consider when dealing with the parent of a youth interview respondent are:

- If a parent is unavailable but resides in the household, ask the person you are speaking with for days and times to find the parent at home. If the person offers contact information (phone number only) for the parent, you may use this to set up an in-person meeting time **only** (enter the phone number in ROCs). You must still conduct the informed consent process in person to obtain permission. Do not ask for a phone number; however, if the person offers, you may accept it. Never store respondent contact information in your phone. You **MUST** delete any entries in your phone call logs for incoming/outgoing calls after speaking with a respondent so that information is never maintained on your personal phone.
- If a parent does not reside in the household with the youth (for example: a youth is living with another adult relative), ask to speak with the youth’s guardian. **Verbally confirm the person is the guardian and has the authority to make decisions for the youth.** It is not your responsibility to determine if someone is an appropriate guardian for a youth respondent. You simply ask that adult if they are the guardian and have the authority to make decisions for the youth. If they say “Yes” then you can continue as you would with a parent. If they are not sure or say “No” then you cannot proceed.
- **NEVER attempt to obtain permission to interview a youth from anyone other than a parent or person who verbally confirms their status as the legal guardian.** This includes adult siblings and other relatives aged 18 and over.
- **If a parent cannot be located to grant permission or the guardian indicates he/she does not have the authority to make decisions for the youth, then the interview with the youth cannot be conducted.** Enter a Code 59 (Other), make detailed ROC notes, and contact your FS for further instructions.
- Always **make detailed notes in the ROCs, indicating who gave permission to speak with the youth and to conduct the interview.** Talk with your FS about how they prefer this information be formatted. Refer to these ROC notes as needed to confirm the parent/guardian present at the interview was the person who originally gave permission for you to interview the youth (by hearing the script from the Showcard Booklet).
- If you obtain permission from one parent to conduct the interview with the youth, but that parent is not at home when you return and the other parent IS present, only proceed with the interview if the other parent also grants permission for you to interview the youth (by hearing the consent script from the Showcard Booklet).
- The **parent or another adult must be present in the home** during the entire interview. The parent/adult should be alert (i.e. not sleeping) and available in the house or close-by in the yard where they can be aware of your interactions.
  - If the interview is completed in a library or other public location, the adult present must be another **known** adult, not just a librarian or other stranger.

You may encounter parents who cannot communicate well enough in English to understand when you read the permission to interview script.

- If the parent speaks Spanish, use the Spanish translation of the Introduction and Informed Consent script in the Showcard Booklet. The only FIs allowed to read the Spanish version of the script to a respondent are RTI-Certified bilinguals. If you are not an RTI-Certified

bilingual FI, the parent may read the script on their own. If the parent cannot read, the youth or another translator may read the script to the parent.

- If the language is other than English or Spanish, the youth or another translator may use the English script and translate the information for the parent to understand.

Use the youth or translator to answer any questions the parent may have. In these situations, do your best to be sure the parent understands what you are requesting.

**No one 17 years old or younger may be contacted about the study or interviewed without in-person permission from a parent or guardian. There are NO exceptions to this, regardless of an individual's living situation.**

### **7.6.3 Youth Informed Consent**

Once the parent has heard the informed consent script from the Showcard Booklet and provided permission to conduct the interview, ask for the youth's agreement to participate by completing the informed consent process with the youth. To do this, read the text from the second box of the Introduction and Informed Consent for Interview Respondents Age 12-17 to the youth from the Showcard Booklet (see [\*Exhibit 7.6\*](#)). Give the youth respondent a copy of the Study Description to keep when directed in the script. Observe the youth's reaction carefully. Keep in mind a youth's failure to object does not mean he or she understands the consent process and should not be taken that way. Use your judgment. Do NOT begin an interview with a youth until you are satisfied he/she understands what you are asking and is willing to proceed.

## INTRODUCTION AND INFORMED CONSENT FOR INTERVIEW RESPONDENTS AGE 18+

**INTRODUCE YOURSELF AND STUDY AS NECESSARY:** Hello, I'm \_\_\_\_\_, and I'm working on a nationwide study sponsored by the U.S. Department of Health and Human Services. You should have received a letter about this study. (SHOW LEAD LETTER, IF NECESSARY.)

### READ THE BOXED INFORMATION BELOW BEFORE STARTING EVERY INTERVIEW

This year, we are interviewing about 70,000 people across the nation. You have been randomly chosen to take part. You will represent over 4,500 other people who are similar to you. You may choose not to take part in this study, but no one else can take your place. We will give you \$30 when you finish the interview.

#### **GIVE STUDY DESCRIPTION TO R IF YOU HAVE NOT ALREADY DONE SO.**

This study asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health issues. It takes about an hour. You will answer most of the questions on the computer, so I will not see your answers. We are only interested in the combined responses from all 70,000 people, not just one person's answers. This is why we do not ask for your name and we keep your answers separate from your address. RTI may contact you by phone or mail to ask a few questions about the quality of my work. This is why we ask for your phone number and current address at the end of the interview.

While the interview has some personal questions, federal law keeps your answers private. We hope that protecting your privacy will help you to give accurate answers. You can quit the interview at any time and you can refuse to answer any questions.

If it is all right with you, let's get started.

(Can we find a private place to complete the interview?)

## INTRODUCTION AND INFORMED CONSENT FOR INTERVIEW RESPONDENTS AGE 12-17

**READ THE SCRIPT BELOW AND OBTAIN PERMISSION FROM THE PARENT/GUARDIAN**

Your (AGE) year-old child has been selected to be in this study. Your child's participation is voluntary. This interview asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health related issues. All of your child's answers will be confidential and used only for statistical purposes. Since your child will answer most of the questions on the computer, I will never see the answers, and you are not allowed to see them either. If it is all right with you, we'll get started.

(Can we find a private place to complete the interview?)

**ONCE PARENTAL PERMISSION HAS BEEN GIVEN, CONFIRM THE PARENT/GUARDIAN OR ANOTHER ADULT WILL BE PRESENT FOR THE DURATION OF THE INTERVIEW**

**THEN, READ THE BOXED INFORMATION BELOW BEFORE STARTING EVERY INTERVIEW WITH A 12-17 YEAR OLD**

This year, we are interviewing about 70,000 people across the nation. You have been randomly chosen to take part. You will represent over 1,000 young people in this country who are similar to you. You may choose not to take part in this study, but no one else can take your place. We will give you \$30 when you finish the interview.

**GIVE STUDY DESCRIPTION TO R IF YOU HAVE NOT ALREADY DONE SO.**

This study asks about tobacco, alcohol, and drug use or non-use, knowledge and attitudes about drugs, mental health, and other health issues. It takes about an hour. You will answer most of the questions on the computer, so I will not see your answers. Your answers will never be seen by either your parents or your school. We are only interested in the combined responses from all 70,000 people, not just one person's answers. This is why we do not ask for your name and we keep your answers separate from your address. RTI may contact you by phone or mail to ask a few questions about the quality of my work. This is why we ask for your phone number and current address at the end of the interview.

While the interview has some personal questions, federal law keeps your answers private. We hope that protecting your privacy will help you to give accurate answers. You can quit the interview at any time and you can refuse to answer any questions.

If it is all right with you, let's get started.

## 7.7 Getting Started

Being comfortable with setting up the computer and starting the interview makes it much easier for you to focus on establishing rapport with respondents, gaining their cooperation, and answering any questions they may have. Practicing this process on your own improves your ability to set up efficiently and correctly for an actual interview.

### 7.7.1 Choosing a Location

Always work with the respondent to find the best place to conduct the interview. Consider the following issues when choosing the best location:

- Privacy

Find a reasonably private location for the respondent (i.e. no others around, no one can hear or observe the interview), where you and the respondent can sit apart so the screen is not visible to you or other household members during the ACASI portion of the interview (see **Section 7.7.2** for more details).

- Ethics

Do not interview a youth without a parent or another adult present in the home. Never conduct an interview in a separate bedroom or bathroom.

- Temperature

High temperatures can make the laptop feel hot. The laptop should always be placed on a flat, hard surface, such as a table, to allow adequate ventilation. Do not place the laptop on your lap or the respondent's lap. Doing so may block the air vents and the laptop may become hot enough to harm skin and damage the equipment.

- Battery power

**Whenever possible, conduct the interview by plugging the laptop's power cord into an outlet**, using the extension cord if necessary. Plugging in the laptop helps prevent potential issues, such as losing battery power.

Be prepared with a fully-charged battery in case you cannot connect to an outlet. For example, you might interview in a location, such as a front porch, where you cannot plug into an electrical outlet so you must rely on the battery. You should recharge your battery *each night* before going out into the field and when you will not be using the laptop for a period of time to ensure the battery is always fully charged. See **Chapter 4** of the **FI Computer Manual** for more information.

- Safety

Choose a location where both you and the respondent feel safe. For example, avoid conducting the interview outside if you or the respondent fear possible theft or violence.

Make the respondent comfortable without compromising the standards and rules for administering the interview. For example, if someone cannot meet you in their home because of their schedule or concerns about privacy, offer to meet at a mutually-convenient place such as a private area or meeting room in a public library. Do not offer to drive a respondent in your car. Due to lack of privacy and having food/drinks/safety hazards near the equipment, interviews cannot be conducted at swimming

pools, restaurants, coffee shops, stores or other eating establishments. Consider safety and ethics when finding a private location and do not conduct interviews in hotel rooms, hospital patient rooms, cars or your home. Because the computer can run on battery power, it is possible to conduct the interview outdoors, such as on a porch.

When choosing a location, use common sense. Do not conduct interviews in locations where there is possible risk of damage to the computer equipment. Whatever location you agree upon, it must have the necessary privacy and convenience for the respondent to provide honest answers as they complete the survey. Both you and the respondent should feel comfortable in the chosen location.

### 7.7.2 Privacy

For several important reasons, the NSDUH interview must be conducted in private:

- Many of the questions are personal and sensitive. Respondents may feel very uncomfortable responding when other family members are present. Maintaining the confidentiality of the data is crucial for a respondent to provide honest responses, thus ensuring valid data.
- Privacy helps minimize the number of distractions, allowing respondents to focus on the task at hand.
- Respondents may tell you what they think you want to hear, instead of providing the real answer.

Due to cultural differences, the perception of privacy varies. For some, privacy may not be viewed as achievable or even desirable given the number of people living in the residence. Experiences are often openly shared with family members. The presence of an infant or very small child, however, is not usually a problem.

In some instances, a household member, such as a parent, may insist on being present during the interview. **A parent or another adult must be present in the home when interviewing a youth.** However, a parent should not be in the same room and able to view or hear any of the questions or answers. If the parent wishes to be present in the room during the interview, explain the youth must be able to listen to and answer all questions in privacy. Explain to the parent that respondents are generally more honest—and thus provide higher quality data—when allowed to answer the questions in private. Well-meaning persons may try to clarify or explain a situation the youth has described or coach the youth on answers. Inform the parent the study is very interested in the answers of the youth and would like him/her to answer without outside influence.

If the parent still insists on being present, go on with the interview but only after you are sure the parent cannot hear or view the questions or answers. If this is not possible and there is no privacy, politely stop the interview and reschedule for another time. Document either situation in the ROC and/or FI Debriefing questions on the tablet.

In general, if privacy is disrupted **briefly** by someone walking past the room during the CAPI portion, stop reading questions until the person is gone and privacy is reestablished. If household members are present or interrupt often during the CAPI portion, one way to increase privacy is to position the respondent next to you so he/she can read the questions and response categories on the computer screen and then say the number or letter or simply point to the answer on the screen. This should rarely occur. That way, other household members passing do not hear the questions or answers, though this approach may not prove effective for all respondents (such as those with reading limitations, **Section 8.8.2**). If interruptions persist, break off the interview and complete it later.

If the respondent's privacy is disrupted during the ACASI portion of the interview, such as by a household member walking or standing behind the respondent, stop the interview and explain to the person it is important the interview be conducted in private to minimize distractions and allow the respondent to provide accurate answers. A respondent's use of technology, such as cell phones or tablets, during an interview should be handled in a similar fashion. If the respondent is using a video calling application (e.g. FaceTime, Skype, etc.) to speak with someone else during the interview, that other person should not be allowed to hear/see ACASI questions and/or answers. Consider the person on the video call as someone else in the room and handle that the same way you would if they were actually present in the DU. No photo, video or audio recording should occur at any time by respondents during an interview. If a respondent insists on recording the interview (either as video or audio only), inform the respondent you cannot proceed as that does not provide sufficient privacy.

Finally, if you believe the setting is not private enough for the respondent, offer to return to the household when you can complete the interview in private. Document the situation in the ROC.

### **7.7.3 Setting up the Computer**

When you choose a location for the interview, plan to sit opposite or catty-corner to the respondent. Here are some ergonomic considerations to maximize your own comfort and that of the respondent when setting up the equipment:

- Sit with the computer straight in front of you at a comfortable height. Place your feet flat on the floor and keep your back straight. The screen should be about 20 inches in front of your face.
- Keep your arms at a 90-degree angle to the keyboard with your wrists straight.
- Arrange for adequate lighting. Soft, indirect lighting is preferable. Position the laptop so sunlight or bright indoor lighting does not create a reflection on the screen.

Adjustments like these will greatly increase comfort for you and the respondent during the interview.

Once you are in a private location, assemble your equipment and materials:

- Unpack the computer.

- Connect the two parts of the power cord then plug it into the computer.
- Plug the cord into a wall outlet, using the extension cord if needed. When necessary, you may conduct interviews on battery power. However, it is better to plug in the laptop since it helps prevent potential issues, such as losing battery power.
- Connect the headphones and cover the earpieces with a new set of disposable covers. Do not ask the respondent to do this. Always cover the headphones yourself as part of the set-up process. Be sure the respondent is present to observe the application of the of new covers.
  - Even if the respondent chooses not to use the headphones during ACASI, you must plug in the headphones to disable the computer speakers and thus ensure privacy. Respondents listening to the audio during ACASI must use the headphones, not the speakers. Do not unplug the headphones until after the interview is completed and you have turned off the computer, even if the respondent says it’s OK for you to unplug them during the interview.
  - Only use the headphones provided for you with your NSDUH equipment. To ensure standardization, do not use a respondent’s headphones or your own personal headphones. If your NSDUH headphones break, ask your FS to order another pair.
- Insert the security key, then turn on the laptop. Complete the logon process by entering your password as instructed in **Section 4.5.3** of the *FI Computer Manual*.
- Open the CAI Manager as instructed in **Section 5.2** of the *FI Computer Manual*.
- Double-check the laptop date and time displayed at the top of the CAI Manager. **Never** start an interview with the incorrect date or time as this can cause significant problems with age and date calculations and affect the questions respondents receive. Refer to **Section 5.14** of the *FI Computer Manual* for more information on updating the date and time. Contact Technical Support if you are unable to correct these items on your own.
- Locate the appropriate QuestID from your tablet, double checking you have the QuestID for the correct address AND for the correct respondent, either A or B. Also take out the Showcard Booklet, the Quality Control Form and envelope, the Interview Incentive Receipt, and Q&A Brochure (if not given earlier).

See **Chapter 8** of this manual as well as **Chapter 5** of the *FI Computer Manual* to read about the procedures for conducting the NSDUH interview.

# CHAPTER 7 MAIN IDEAS

## Preparing to Interview

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 7-1: As a professional FI on this study, you are responsible for administering every interview correctly, following the detailed project protocols. In addition, you must always maintain high ethical standards, treating your respondents and their information with the utmost confidentiality and respect. It is important you remain completely unbiased and objective.
- Pg. 7-3: It is always best to complete the interview immediately after a respondent has been selected through the screening process. This will improve your response rates and efficiency. If this is not possible, identify a good time to return and set a firm appointment.
- Pg. 7-5: Before speaking with a selected youth about the study, you must obtain parent/guardian permission using the Parental Introductory Script on the tablet.
- Pg. 7-7: As with screenings, any interview result or visit must be documented in the ROCs and assigned an appropriate result code.
- Pg. 7-8: After the screening has been completed, the tablet allows you to view the household roster and selection screens. This enables you to re-educate yourself on the make-up of the household on your return visits.
- Pg. 7-9: The skills that enable you to successfully complete screenings also enable you to obtain interview participation. Be professional, friendly, knowledgeable, and PERSISTENT.
- Pg. 7-19: Even after a respondent has initially agreed to the interview, you must follow the informed consent procedures.
- Pg. 7-20 – 7-22, and 7-24: To complete an interview with a youth, you must first obtain the verbal permission of the parent/guardian, then the consent of the youth. A parent/guardian or another adult must be present in the home (although not in the same room) during the interview.
- Pg. 7-26: To administer the interview, it is imperative you find a private location where you and your respondent can comfortably use the laptop.

## **QUESTIONS TO ASK YOURSELF**

1. What screen on the tablet displays the information needed to identify a selected interview respondent and begin an interview in the laptop?
2. Imagine you have completed a screening on Monday evening and are making a return visit on Tuesday evening to try and catch the selected interview respondent at home. You would like to know who the screening respondent was, and since you have contacted 10 cases since yesterday, you cannot remember. How can you locate this information on your tablet?
3. What are the appropriate steps you must take to contact a youth who is selected for an interview?
4. If a teen refuses because of a lack of interest, what would you say?
5. After you complete an interview with a youth, the parent asks how the interview went. What would you tell the parent?
6. Why is it so important the NSDUH interview be conducted in private?

## 8. THE NSDUH INTERVIEW

### 8.1 Introduction

This chapter discusses the NSDUH interview process, including general standards for administering the interview, the content of the questionnaire, and the procedures to follow at the close of the interview. Technical details about the interview are covered in *Chapter 5* of the *FI Computer Manual*.

Two methods of administration are used for the NSDUH interview: CAPI (computer-assisted personal interviewing) and ACASI (audio computer-assisted self-interviewing). The CAPI portions require you to read questions from the computer screen and enter the respondent's answers into the computer using the keyboard. During the ACASI portion, the respondent sits in front of the computer, puts on headphones through which he/she can hear the questions read by the computer, and enters his/her own responses into the computer using the keyboard.

### 8.2 Standardizing the CAPI Interview Process

The most crucial element of the interview process for a national field survey such as NSDUH is standardization – meaning **every FI must administer every interview to every respondent in the same way**. This helps eliminate variability and interviewer bias, two factors that can seriously undermine the validity of the data collected. If each screening and each interview is conducted in the same way following established protocols, any variation in the data will reflect actual variation among respondents, not variation among the ways respondents were asked the questions.

#### 8.2.1 General Questionnaire Conventions

The NSDUH questionnaire uses several different conventions discussed below. It is essential to become familiar with these conventions so you can use them effectively. The two pictures below show examples of the conventions explained on the following page.

**HAND R SHOWCARD 12.** Of these income groups, which category best represents **your total personal** income during 2018?

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

At any time during 2018, even for one month, did you or any of these same family members receive any cash assistance from a state or county welfare program such as Work First?

**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.

## 1. Upper- and Lowercase text

- Black text not in parentheses is mandatory and you must read this aloud exactly as written in CAPI. In ACASI, the computer voice reads this text aloud and the respondent listens with the headphones.
- (Black text in parentheses) is optional. This is wording that does not have to be spoken aloud. Optional wording is provided to help you clarify the question if necessary. If you choose to read text in parentheses, you must read it verbatim, word for word as written on the screen.
- Text in blue signifies word(s) to be spoken with emphasis. For example, for the question "What is the highest grade or year of school you have **completed**?" the word "**completed**" appears in blue on the screen so you would emphasize this word.
- Mixed upper- and lowercase text in green are interviewer notes which should be read aloud only if the respondent asks for more details about a question.

## 2. Uppercase Text

- Text in ALL UPPERCASE LETTERS is never to be spoken aloud as it includes instructions for the interviewer. These may appear in the text of the question.

### 8.2.2 Asking the Questions

The following rules apply for the CAPI portions of the interview where you are reading the questions out loud to respondents:

#### 1. Ask the questions using the exact words on the screen. Do not change or add words.

This may seem obvious, but following this rule is key to ensuring comparability of the data gathered from the survey. If you change the wording in a question, even slightly, the respondent's answer may change.

Imagine this situation:

*Actual question: Of these income groups, which category best represents your total combined family income during 2019—that is, yours and that of your wife?*

*FI asks: Of these income groups, which category best represents your total combined family income during the last year—that is, yours and that of your wife?*

A respondent could answer two different numbers for the two different questions, based on the time frame referenced in the text. For example, the respondent may consider “the last year” to mean the last 12 months, rather than referencing the previous calendar year. Then the income reported could be incorrect due to the respondent including wages from the current year. Subtle changes in the phrasing of questions can easily result in different answers. Read every question exactly as it appears.

Adding text before or after reading the question verbatim is **not** acceptable. Do not re-state the meaning or explain a question to the respondent in your own words. Also, unless the respondent asks, do not explain why you are required to perform a task a certain way or what you are doing. Simply go about your tasks efficiently and professionally.

## **2. Read the complete question.**

The respondent may interrupt you and answer before hearing the complete question. When this happens, politely explain you must read the entire question, then read the question again. Do not assume a premature response applies to the question as it is written. You must also read each question even if you think you already know the answer from previous responses or conversation. With the change in context, the actual response may vary from what was said previously.

## **3. Read the questions slowly.**

As you become familiar with the questions, you may be tempted to read more quickly. However, you must remember this is the first time the respondent has heard these questions, so read slowly enough to allow the respondent to understand everything you are asking. A pace of about two words per second is recommended.

Give the respondent plenty of time to recall past events. If necessary, allow time for the respondent to check records such as insurance records, payment records, etc., to answer questions, but NEVER look at these records yourself.

## **4. Use introductory or transitional statements as they are written.**

Since the questionnaire covers a number of topics, focusing the respondent's attention on a new topic as it occurs in the sequence is often necessary. Transition statements are provided and must be read exactly as written. These statements often contain instructions for the respondent—time periods, circumstances to be considered, definitions, etc.

## **5. Do not suggest answers to the respondent.**

As you go through the interviewer-administered sections of the interview, you will encounter questions similar to those asked during screening. You also may think you know the answer to a question based on your observations or a prior interview, in the case of an SDU with two selected respondents. Do not suggest answers to the respondent or alter answers provided during the interview to match the screening responses. During the ACASI or CAPI sections the respondent may try to rely on you to help answer the questions. Your job as an interviewer is to ask the questions verbatim and make sure the respondent understands, but not to answer for the respondent.

## **6. Become comfortable with the interview material.**

Even though you are not administering the majority of the interview, it is important to be familiar with the questions so you can help respondents if any problems arise.

## **7. Be nonjudgmental.**

Interact with respondents in a nonjudgmental manner. It is possible respondents will tell you about actions that are illegal or that you find to be immoral, sad, or shocking. Regardless of what you hear, you must accept the information without judging. It is important you accept all you hear in a matter-of-fact manner so the respondent continues to feel comfortable providing confidential information. Do not discuss personal issues with the respondent. Without offending the respondent, be polite and keep the focus on the interview.

### **8.2.3 Probing**

Probing is a technique used to help ensure the answers given by the respondent are as accurate and complete as possible. Probing serves two purposes: 1) to help the respondent understand the question,

and 2) to obtain a clear response from the respondent without suggesting answers. Be sure to use an appropriate neutral or nondirective probe. General rules for probing are as follows.

1. There are three types of **repetition** probes.

**Repeat the question if the respondent misunderstood or misinterpreted the question.**

After hearing the question the second time, the respondent likely will understand what is being asked. This is usually the best and most straightforward method of probing.

Similarly, **repeating the answer choices** suggests to the respondent the response needs to come from these choices.

**Repeat the answer if the response is too vague to answer the question.**

For example, if you ask the respondent for his/her current marital status and he/she answers, "I'm on the loose," an effective probe is, "On the loose?"

2. **Pause to indicate to the respondent you need more or better information.**

This is a good silent probe after you have determined the respondent's response pattern.

3. **Any unscripted probes must be neutral.**

Use **neutral questions or statements** to encourage a respondent to elaborate on an inadequate response. Avoid probes that can be answered with a 'yes' or 'no' by the respondent.

Examples of neutral probes are "What do you mean?" "How do you mean?" "Tell me what you have in mind" or "Tell me more about...."

Use **clarification probes** when the response is unclear, ambiguous or contradictory.

Be careful not to appear to challenge the respondent when clarifying a statement and always use a **neutral** probe. Examples of clarification probes are "Can you give me an example?" or "Could you be more specific?"

4. **Affirmation or reinforcement probes provide encouragement** and can communicate to the respondent you are waiting for additional information.

Similar to the silent probe, you can encourage the respondent to provide more information by nodding your head affirmatively, or using a positive term like "Yes" or "Uh-huh" and then pausing.

**Exhibit 8.1** lists specific examples of acceptable probes.

## **Exhibit 8.1 Examples of Acceptable Probes**

### **Repeating All or Part of the Question**

- “Let me read the question again.” Repeat the full question with emphasis.
- “Let me read the question again just to be sure we are focusing on the same time period.” Repeat the full question with emphasis.
- Repeat the answer choices with emphasis.
- Wait 8-10 seconds. If no answer is given, repeat the full question.

### **Requesting a Clarification**

- “For this question, I need an answer of either ‘yes’ or ‘no’.”  
-or-
- “Is that a ‘yes’ or a ‘no’?”
- “Can you give me a specific number of (hours/days/weeks/etc.)?”
- “Would you say 9 or 10?”

### **Reassurances**

- “To the best of your knowledge. . . ”
- “Remember, we will not tell anyone what you say.”
- “Remember, there are no right or wrong answers.”
- “Take your time.”
- “I have to ask all of the questions in order.”
- “We're interested in your own interpretation of the question.”
- “We just want to know what you think.”
- “Whatever [WORD] means to you.”

### **Repeating an Earlier Question**

- “Let me read you an earlier question.”

## 8.2.4 When and How to Probe

The following explains when and how to probe to obtain information that is complete, accurate, and useful to the researchers who analyze the data.

### **RESPONDENT DOES NOT GIVE A SIMPLE “YES” OR “NO” ANSWER**

- Gives a clear answer, but not “yes” or “no”

If the respondent gives an answer to a yes or no question that is *completely* clear (“absolutely” “not at all”, “never!”), enter “yes” or “no” even though the respondent did not actually say “yes” or “no.” There is no need to probe in such cases.

- Says “yes” or “no” and more

Respondents often say “yes” or “no” and then give you additional information. For example, if you ask, “Have you ever been in the United States Armed Forces?” the respondent might say “Yes, but I’m out now.” The additional statement explains why, but it *does not contradict* the “yes” answer. In such cases, ignore the additional information and enter the “yes” or “no” answer without probing.

On the other hand, if you think the additional information *might contradict* the “yes” or “no” answer, repeat all or part of the question. For example, when asked if the respondent or any of these same family members received SNAP benefits, formerly known as food stamps, the respondent says, “no, just Grandma.” You know from the recently completed household roster that Grandma does live at this residence. Since the additional information seems to contradict the “no” answer, repeat the question emphasizing the phrase “... or any of these same family members...”

### **UNCLEAR RESPONSES**

- Unclear numeric answers

Some questions ask for a number (an age, the duration of something, etc.). If the respondent answers with “a few,” “I was pretty young,” “quite a while” etc., then say: “Can you give me a specific number of (hours, days, etc.)?”

Often respondents answer these questions with more than one number (“when I was 18 or 20 years old,” “for two to three days,” etc.). For many questions we only want a single number as an answer, not a range, so it is necessary to encourage respondents to give us their **best opinion as to a specific number**.

If the respondent is unable to answer with a single number even after probing, choose the *more extreme* number given. Examples are:

- a time - code the category with the most recent time (ex: “2 or 3 weeks ago,” record “2 weeks”);
- an amount - code the category with the greatest amount (ex: “\$28,000 or \$30,000,” record “\$30,000”);
- a frequency - code the category with the highest frequency (ex: “once or twice a week,” record “twice a week”).

If the response is a fraction and the question asks for:

- an age - drop the fraction (ex: “18½ years old,” record “18 years”) and record the younger age;
  - a number of days, years, miles, etc. - round fraction to next highest whole number (ex: “8½ days,” record “9 days”) and record the greater number.
- Gives a vague or unclear response

If the respondent seems to have understood the question, but gives a vague or unclear response such as “it depends” “Oh, goodness!” “sometimes yes, sometimes no,” then gently say, “Is that a ‘yes’ or a ‘no’?” If you are not sure the respondent understands or remembers the question, repeat the question, saying “Let me read the question again.” When repeating the question, pause slightly between parts of complex phrases, and emphasize any words that will help the respondent understand (focus your emphasis on the time frame and the terms that describe frequency).

- Gives an unrelated response

Sometimes respondents go off on a tangent without answering the question. Do not discuss personal issues with the respondent. Be polite and without offending the respondent, bring the focus back to the job at hand by listening, smiling to acknowledge the respondent’s words, then repeat the question, emphasizing important words.

## **MISUNDERSTANDINGS**

- Does not understand the question

If the respondent tells you he or she does not understand a question, or if the answer makes no sense and indicates the respondent did not understand, say “Let me read the question again” (repeat the question, emphasizing key words). Note: The first sentence (“Let me read the question again”) is optional and should be used only if you think it helps you maintain rapport with the respondent.

While working in the ACASI portion of the interview, if the respondent asks what a word means or indicates he or she does not understand a question, politely suggest reading the question again. If the respondent is still confused, offer the phrase, “whatever it means to you” and encourage them to answer as best they can.

- Misunderstands the time period

If the respondent says something that makes you think he or she is not focusing on the correct *time period* for the question, reread the key part of the question or the entire question, emphasizing the time period. For example, if you ask a 28-year-old if there was a time in the past 12 months when he did not have health insurance and he says, “Yes, when I was 22 years old,” he is not focusing on the correct time period (the past 12 months).

- Misunderstands a frequency requirement

At times, you may need to repeat the question or otherwise probe because respondents give answers that indicate they may not have understood the frequency requirement of the question.

- Misunderstands an intensity requirement

Sometimes you will need to probe because the respondent does not understand or ignores the *intensity* or severity asked about in the question.

## **DON'T KNOW, REFUSED**

- A respondent says “I don’t know”

When a respondent says “I don't know,” it can mean one of three things: 1) the respondent may need more time to think about the answer; 2) he or she may be reluctant to tell you something personal; or 3) he or she actually does not know the answer to the question—or is unsure of the best answer.

If a respondent says “I don’t know... hmm...” and appears to need more time to think about an answer, wait silently and expectantly for an answer. If you feel it would help, you may say “Take your time.”

If you think the respondent has said “I don't know” because he/she is reluctant to tell you private information, you should put the respondent at ease by saying “Remember, we will not tell anyone what you say” or “Remember, there are no right or wrong answers.”

Sometimes respondents truly do not know the answer to a question. For example, if you ask about certain items covered by their health insurance, the respondent may simply not know. The *first time* a respondent says “I don’t know” in this way, say “To the best of your knowledge...” On future questions, however, you may accept the “don't know” response in the interest of not alienating the respondent.

Note: Listen closely to respondents to be sure they are really saying they do not know. “Oh, I don’t know, probably not” could actually mean “no” to the respondent, while “I don’t know, I could have” may mean yes. Do not guess what the respondent means. Instead, say “Is that a ‘yes’ or ‘no’?” using a pleasant tone.

- Refuses to answer a question

After repeating the assurance of confidentiality, allow the respondent to exercise the right “to refuse to answer any or all questions.” You should also enter “Refused” if a respondent does not feel comfortable answering a specific question. Add a comment about the circumstances (see **Section 5.7** of the *FI Computer Manual* for instructions on how to add a comment).

- Does not answer a question

If the respondent does not answer, wait 8-10 seconds to give the respondent time to think. If there is still no response, say “Let me read the question again” and then repeat the question emphasizing key words. If no answer is given a second time, code as “Refused” and continue. Sometimes respondents fail to answer a question they find very personal rather than flatly refusing to answer. Sometimes, however, they have become unwilling to continue with the interview. If you suspect this is the case, ask the respondent if he or she would like to take a break. They may feel like continuing after a few minutes to themselves.

- Does not give a codable answer

In the unlikely event the probing strategies do not work in obtaining a codable response from the respondent, enter a comment for that question. Use a “Don’t Know” as the response to the question so you may continue with the interview.

### **8.2.5 Recording Responses**

Most of the questions in the NSDUH questionnaire have precoded responses. A few questions, however, are open-ended so you must type in a response to the question. Some questions have precoded responses including an “Other (SPECIFY)” category. If the respondent's answer does not fit into a

precoded answer, then choose “Other” and specify the response.

When recording open-ended or other specify responses, follow the practices below to ensure the recorded responses accurately reflect the respondent's answers.

- Record the response verbatim typing the key words the respondent says. For example, the respondent is specifying her race and says “I think of myself as...,” there is no need to record that first phrase. The important step is to accurately record the race.
- Record answers in English, even if the interview is being conducted in Spanish. Only record a Spanish word if there is no comparable English word to translate the answer.
- If you run out of room in the “other specify” field, make a note for the question, continuing the answer in the comments space (see *Section 5.7* of the *FI Computer Manual*).
- Make a note in the comments space about any responses that “don't quite fit” in one of the response categories for that question. If a respondent asks you what to do about responses that do not fit during the ACASI portion, it is appropriate to tell the respondent to enter a note in the comments space as well.
- When entering a comment, include general remarks about the interview or interview setting as applicable. Your notes will help the analysts to understand any points of confusion, difficulty, etc. (see *Section 5.7* of the *FI Computer Manual*).
- Wrong code—If you mistakenly enter the wrong answer or if the respondent changes his/her mind, go back to the question by pressing [F9] and use the backspace key to erase the old answer. Then type the correct answer.

Since respondents complete most of the interview on their own, answer their questions about recording responses in this same way.

### **8.2.6 “Don’t Know” or “Refused”**

“Don’t know” and “Refused” responses generally do not appear as answer categories in the questionnaire although they are within the acceptable range of responses. Since these responses are not displayed on the screen, the respondent is more likely to answer the question within the “preferred” ranges. *Follow the probing techniques discussed in Section 8.2.3 to encourage accurate reporting.* However, "Don't know" and "Refused" are always possible responses for any question in the CAPI or ACASI sections.

- If a respondent refuses to answer a question while you are administering the CAPI, reassure the respondent and ask again. Then if needed, press the [F4] key for “Refused.” Press [Enter] to move to the next question.
- If a respondent tells you he/she does not want to answer a question during the ACASI portion, stress that all information provided is confidential and protected under CIPSEA. If he/she still does not want to answer, then tell the respondent to press the [F4] key.
- If a respondent does not know the answer to a question you have asked, probe first. Then, if necessary, press the [F3] key then [Enter] and the computer will move to the next question.
- If a respondent does not know an answer during the ACASI portion, tell the respondent to make a best guess. If needed, tell him/her to press the [F3] key.

### **8.3 The NSDUH Interview Content**

[Exhibit 8.2](#) contains a chart listing the various topics involved in the NSDUH interview. The chart also lists any additional materials needed for each particular section. The first section of the interview contains questions on basic demographics (such as age, sex, and race) and is administered in CAPI. This is followed by a brief ACASI practice session. After the practice, the respondent completes the ACASI section, which contains the questions about drug use, mental health, and certain experiences and opinions. When the respondent has finished this section, turn the computer back toward yourself and administer a second CAPI component which contains more specific demographic questions, plus questions about income and health insurance.

## Exhibit 8.2 NSDUH CAI Interview Content

Module	Mode of Administration	Required Aids
Introduction	CAPI*	None
Core Demographics	CAPI	Showcards 1-5
Beginning ACASI Section	FI reads description of keyboard and helps respondent adjust headphones.	None
Practice Session	Respondent completes computer practice session with FI help.	None
Calendar (30-day & 12-month reference dates)	ACASI**	None
Tobacco	ACASI	None
Alcohol	ACASI	None
Marijuana	ACASI	None
Cocaine	ACASI	None
Crack	ACASI	None
Heroin	ACASI	None
Hallucinogens	ACASI	None
Inhalants	ACASI	None
Methamphetamine	ACASI	None
Pain Relievers Screener	ACASI	None
Tranquilizers Screener	ACASI	None
Stimulants Screener	ACASI	None
Sedatives Screener	ACASI	None
Pain Relievers Main Module	ACASI	None
Tranquilizers Main Module	ACASI	None
Stimulants Main Module	ACASI	None
Sedatives Main Module	ACASI	None
Special Drugs	ACASI	None
Risk/Availability Section	ACASI	None
Blunts	ACASI	None
Substance Dependence and Abuse	ACASI	None
Special Topics	ACASI	None
Prior Substance Use	ACASI	None
Drug Treatment	ACASI	None
Health	ACASI	None
Adult Mental Health Service Utilization	ACASI: 18+ year-olds only	None
Social Environment	ACASI: 18+ year-olds only	None
Parenting Experiences	ACASI: parents of 12-17-year-olds	None
Youth Experiences	ACASI: 12-17-year-olds only	None
Mental Health	ACASI: 18+ year-olds only	None
Adult Depression	ACASI: 18+ year-olds only	None
Youth Mental Health Service Utilization	ACASI: 12-17-year-olds only	None
Adolescent Depression	ACASI: 12-17-year-olds only	None
Consumption of Alcohol	ACASI	None
Emerging Issues	ACASI	None
Market Information for Marijuana	ACASI	None
Back End Demographics	ACASI	None
Education	ACASI	None
Employment	ACASI	None
Household Roster	CAPI	Showcards 6&7
Proxy Information	CAPI	None
Health Insurance	CAPI (Proxy allowed)	Showcards 8&9
Income	CAPI (Proxy allowed)	Showcards 10-12
Verification	FI & respondent complete form.	Quality Control Form & Envelope
Interview Incentive	FI completes form and gives cash	Interview Incentive Receipt, cash

\* CAPI (computer-assisted personal interviewing): FI reads questions and records responses.

\*\* ACASI (audio computer-assisted self-interviewing): Respondent reads questions on screen or listens to questions through headphones and then records answers into computer.

## 8.4 Introductory Statement and Informed Consent

With the computer properly set up (as explained in *Section 7.7.3*) in a private location comfortable for both you and the respondent (as explained in *Sections 7.7.1* and *7.7.2*), you are ready to begin the interview. Double-check that the laptop time and date are correct on the CAI Manager. If incorrect, correct them prior to starting the interview (refer to *Section 5.14* of the *FI Computer Manual* for details). **Never start an interview with incorrect laptop dates or times.** Carefully enter the QuestID from the tablet; be absolutely certain you are using the correct QuestID for the interview and double check your entry. Then move the cursor off the screen to avoid distractions for you and the respondent (refer to *Section 5.3* of the *FI Computer Manual* for details).

The computer first confirms your FI ID number and the language to be used (English or Spanish), then displays the burden statement. **ONLY** read this statement if the respondent asks about the burden or time associated with the interview. The next screen asks you if you have read the Introduction and Informed Consent script to the respondent. If you have not, you **must** do so at this point. See *Section 7.6* for information about Informed Consent Procedures.

## 8.5 Verifying Eligibility

The first question the computer prompts you to ask is the respondent's date of birth. This question is asked for two reasons:

- to verify the respondent is age 12 or older before beginning the interview (individuals under age 12 are not eligible for the survey), and
- to determine the respondent's age at the time of the interview so the appropriate interview questions are displayed.

### 8.5.1 Underage or Active Military Respondents

We cannot interview persons who are not at least 12 years old. It is possible you could begin an interview and discover the respondent is not yet 12 years old. If this happens, do **NOT** re-roster the entire household. Instead, the computer asks you to confirm this response is correct and ends the interview. If the respondent is found to be ineligible during the ACASI portion of the interview, the computer will take the respondent to the end of the ACASI portion. Then you take back the computer and enter the 3-letter code (RTI) to continue. After you enter this code, the computer exits the interview.

The same situation could occur if you discovered the respondent is on active duty military status, which is why this question is asked at the beginning of the interview. Again, do not re-roster the household. The CAI ends the interview automatically and considers it a completed case.

In either of these situations, you must discuss the case with your FS. With approval, code the case in the tablet as a 79 "OTHER." The tablet then displays a list of possible reasons for the OTHER code. Select the appropriate reason and provide additional comments to fully explain the situation.

## 8.6 Use of Showcards

During the interview, there are times when it is helpful to the respondent to see the list of answer categories to aid in answering a question. Called Showcards, they are bound together into the Showcard Booklet. There are many advantages to using Showcards:

- Long or complicated answer categories listed on the Showcards do not have to be read as part of the question, which allows the respondent to review all choices carefully.
- Using the Showcard Booklet may encourage the respondent to report more honest answers to sensitive CAPI questions such as income or education level.
- Other household members who may be nearby do not hear the actual response.

Because of these benefits to data quality, you are required to use the Showcards while conducting an interview. If you do not have the Showcard Booklet with you in the field, because it was lost, stolen or left at home, you cannot conduct an interview. You **MUST** have a Showcard Booklet before beginning an interview.

Proper use of the Showcards means YOU maintain control of the booklet according to the following steps, which should be adhered to for EVERY question utilizing a Showcard:

- When prompted by the instructions on the screen, turn to the appropriate Showcard and hand the booklet to the respondent before beginning to read the question. If needed, you may also lay the booklet **flat on the table** beside the respondent but do not prop it open or set it upright.
- Do not continue to hold the booklet in your hand. While that may seem to be a good way to control it, the respondent needs to be able to move the booklet for optimal viewing (lighting, angle, distance, etc.). There is no need to say anything about turning to the right card or giving it to the person unless the respondent asks.
- **Take the booklet back** when you have completed that question.

The Showcards are separated by tab dividers into English and Spanish versions and a series of helpful Interviewer Job Aids at the back of the Showcard Booklet for your reference.

## 8.7 FI Responsibilities During the ACASI Portion

Before beginning the ACASI portion of the interview, the respondent learns to use the laptop and the computer program. Your role is to familiarize the respondent with the keyboard by reading the scripted, standardized introduction. Be sure the laptop is positioned in such a way so the respondent can see the keyboard. First, point with your finger to the various keys and features, then read the exact text shown on the screens. Do not add additional explanations but present the streamlined text precisely. Following your introduction, the respondent completes a detailed practice session on using ACASI on his/her own.

The screens introducing the keyboard and the practice session appear on the following pages.

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 and our interview program. 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 SEE THE KEYBOARD 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.

**PRESS [ENTER] TO CONTINUE.**

INTROACASI1

These next items will help you enter your answers into the computer.

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

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

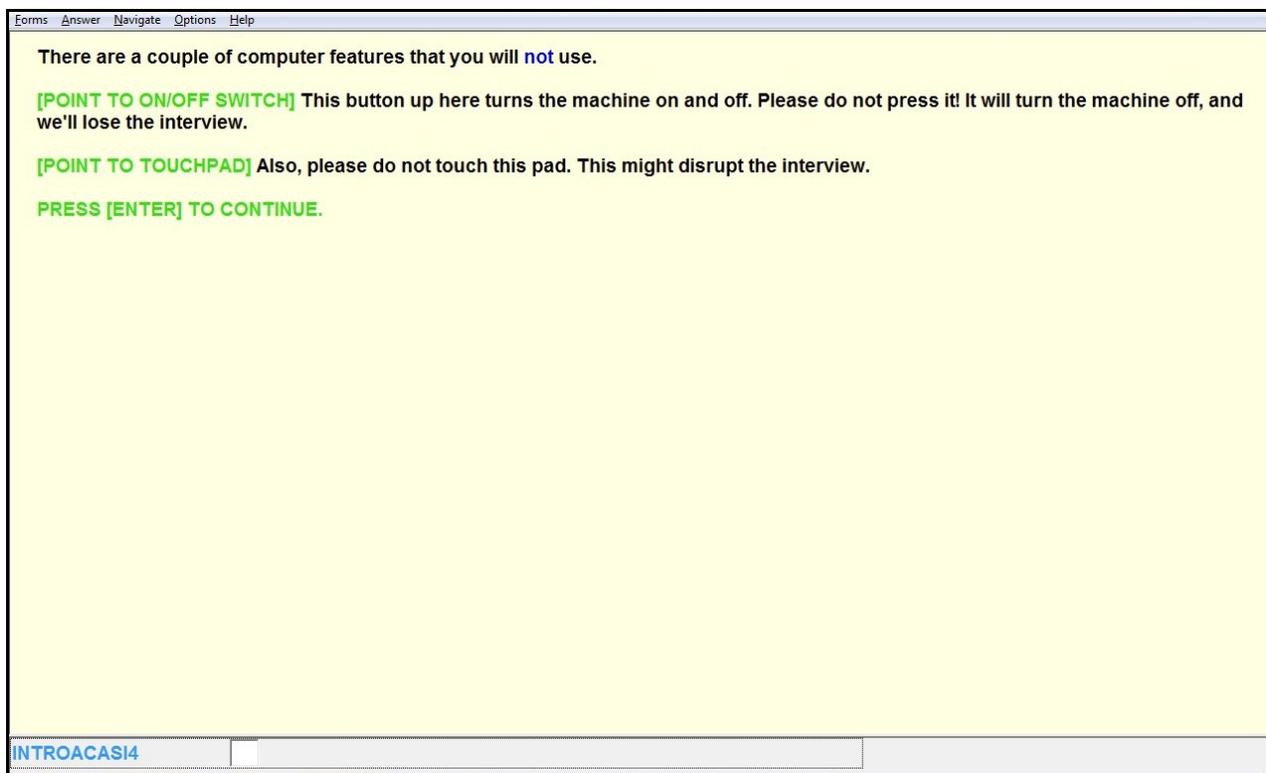
**[POINT TO THE SPACE BAR]** the space bar is here,

**[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.

**PRESS [ENTER] TO CONTINUE.**

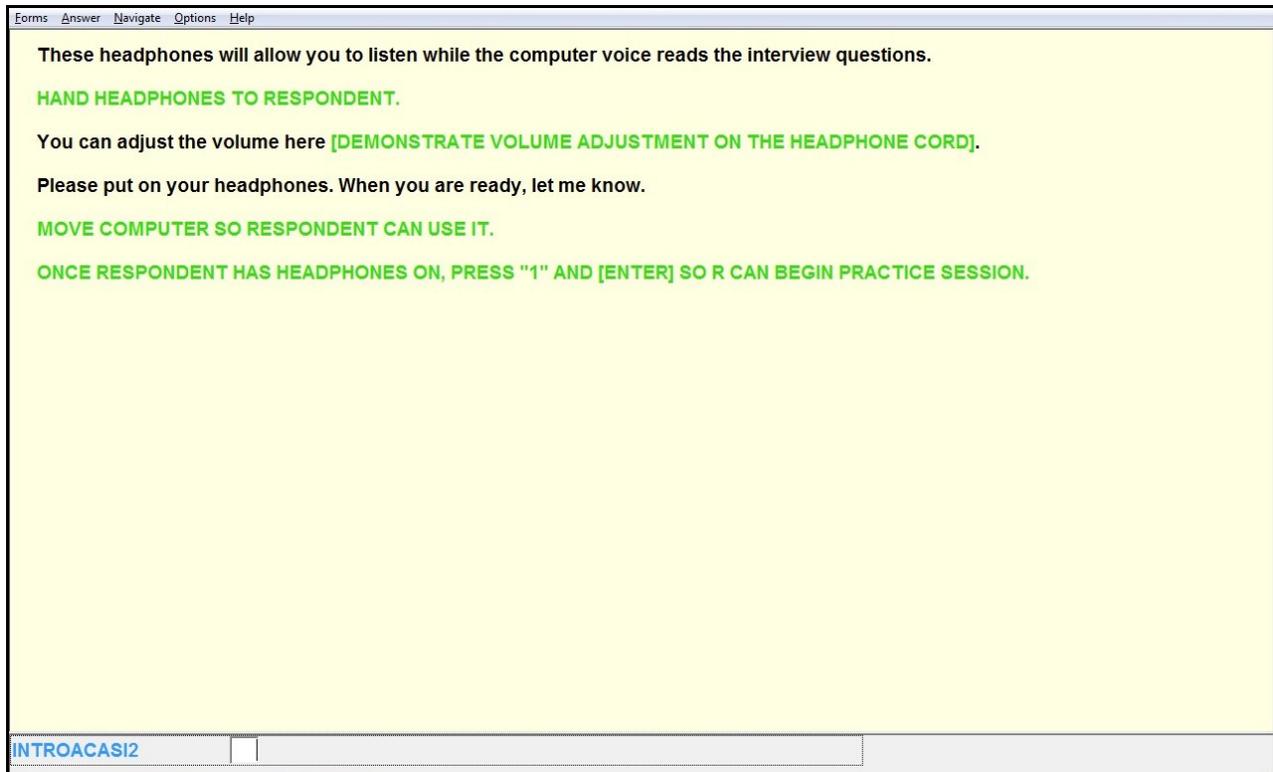
INTROACASI3



Next you introduce the respondent to the headphones. As explained in *Section 7.7.3*, you must plug in the project-issued NSDUH headphones (not any other headphones) and place fresh headphone covers on them when you are setting up the computer. It is important to complete those tasks during set-up before you enter the QuestID to begin the interview. Taking time to plug in headphones during the ACASI introduction disrupts the flow of the interview.

Even if you think the respondent will not use the headphones, or if he/she states it directly, you still must follow the exact steps. **Never** allow the respondent to listen to the questions through the laptop speakers, as this serious protocol violation impacts privacy and confidentiality.

Read the text and follow the instructions on the screen, handing the headphones to the respondent and demonstrating the volume adjustment on the headphone cord by moving the dial. Move the computer so it is in a position for the respondent to use.



The screenshot shows a software window with a menu bar at the top containing 'Forms', 'Answer', 'Navigate', 'Options', and 'Help'. The main content area has a yellow background and contains the following text:

These headphones will allow you to listen while the computer voice reads the interview questions.

**HAND HEADPHONES TO RESPONDENT.**

You can adjust the volume here **[DEMONSTRATE VOLUME ADJUSTMENT ON THE HEADPHONE CORD]**.

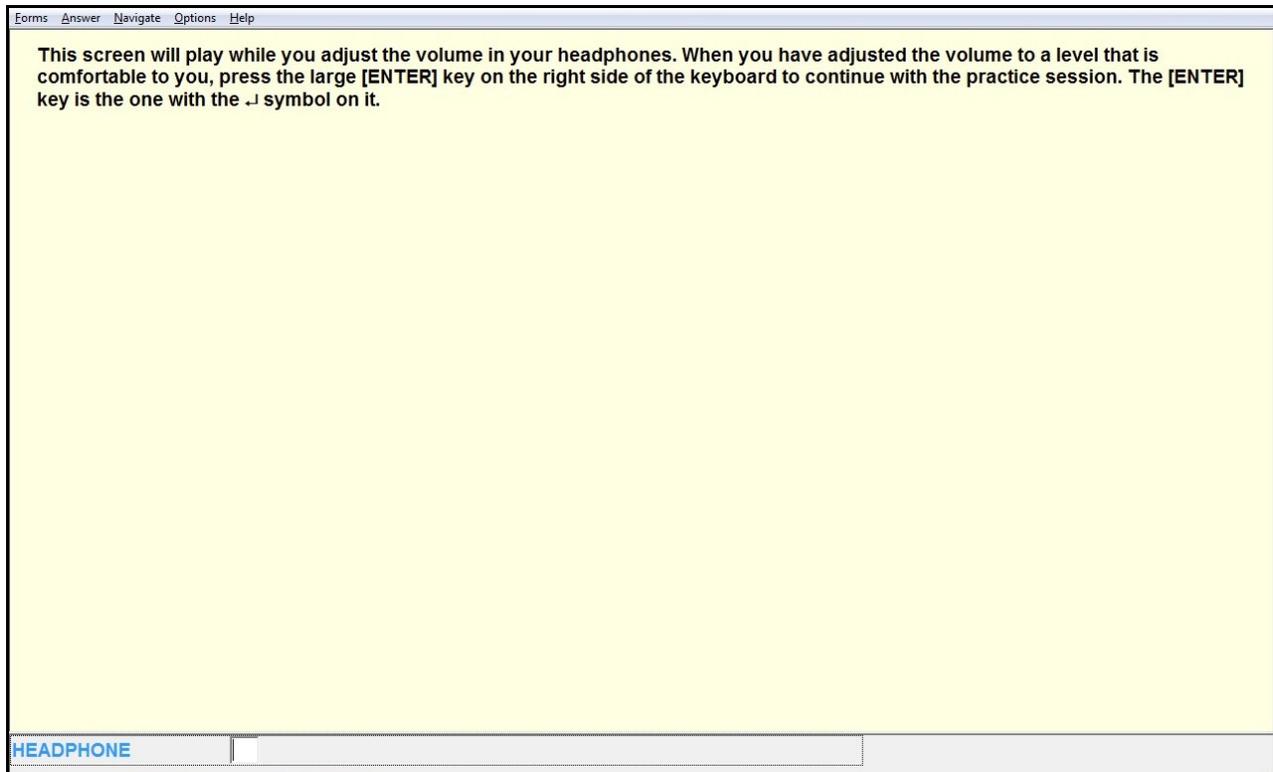
Please put on your headphones. When you are ready, let me know.

**MOVE COMPUTER SO RESPONDENT CAN USE IT.**

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

At the bottom left of the window, there is a label 'INTROACASI2' and a small rectangular input field.

The respondent listens to the HEADPHONE screen and adjusts the headphone volume as needed. If the audio ends before the respondent is finished adjusting or if the respondent missed the instruction to press [Enter] to continue, assist the respondent by pressing [F10] to replay the audio.



When ready, the respondent can press [Enter] to start the ACASI practice session. The practice session explains what the respondent needs to know to complete the ACASI section, but be prepared to answer questions. It is important each respondent complete the practice session on his or her own. Even respondents who are very comfortable using a computer need to understand how this computer program is set up and which keys perform which tasks.

Remember the respondent should complete the ACASI section in private; therefore, you should only sit beside the respondent during the practice session if you feel it would be helpful. At the end of the practice session, you must move to some location in the room where you are unable to see the computer screen, such as sitting across the table from the respondent. **Do not leave the room.** Remain available in case the respondent has questions or needs help with the computer.

You must be available to help if your assistance is required, but be unobtrusive. Try to occupy yourself constructively so the respondent does not feel rushed. However, be aware of what is happening with the respondent. Because most of this questionnaire is self-administered, it is important to be sensitive and responsive to subtle clues from the respondent. In particular, be receptive to signals the respondent is having a problem with one of the questions or with the computer.

Some suggestions for how to fill the time during the ACASI are as follows:

- Prepare the Quality Control Form and envelope for use at the end of the interview. (*Section 8.11.1* provides detailed instructions.)
- Prepare the Interview Incentive Receipt for use at the end of the interview by writing **ONLY** the Case ID number on the receipt. **Do not** sign/date it or check the box marking acceptance until you have presented the respondent with the incentive cash.
- Review your Record of Calls (ROC) and pending cases on the tablet to plan your remaining workload for the day and week. Do not add a final interview code for the current interview as it is not yet complete. **Note:** Never add ROCs outside of a visit to an SDU.
- Re-read portions of the FI Manual or the FI Computer Manual. You can access these manuals through the FI Assistant on the tablet (*Section 6.10.1*) or take a chapter or two at a time out of the manual binder to read. Regular reviewing of the detailed procedures in the manual greatly improves your knowledge of the project and your understanding of the project protocols.
- Review other resources available in the FI Assistant on the tablet, including common respondent questions/answers and the FI Ideas Booklet.
- Review the Job Aids in the Showcard Booklet.

Remain attentive and available during the interview, even while completing any of the above tasks. The respondent should never feel as if he/she is interrupting or disturbing you if he/she needs to ask for assistance. If you have a cell phone, turn it OFF! Do NOT make or receive telephone calls, text, email, connect to an internet/hotspot or, use your phone or mobile device in any manner during this time. Doing so could disturb the respondent and decrease your awareness of the respondent's needs during ACASI.

Also, never connect your tablet to the internet while in a respondent's home. If the respondent appears uncomfortable with any of the recommended activities involving your tablet, cease them immediately.

If the respondent seems to be moving through the ACASI portion too quickly, do not do or say anything about this to the respondent, as this would affect the standardization of the interview. Rather, ensure the FI administered sections are conducted at a comfortable pace and note the respondent moved quickly through ACASI in the FI debriefing questions.

When the respondent is finished with the ACASI portion, take back the computer and ask the questions for the remaining sections. Leave the headphones plugged into the laptop until the end of the interview.

## 8.8 Respondent Difficulties

At some point, you may encounter a respondent who has limitations or is impaired in some way. The main concern is whether the respondent is physically, mentally, and emotionally capable of participating in the study. Always use sensitivity and good judgment to determine whether they are capable of participating in the study.

### 8.8.1 Physical Challenges

You may encounter a respondent with physical limitations, such as blindness, deafness, or paralysis. Some people with physical handicaps will be able to operate a computer, although others may not. This study was designed for self-reporting, so *only* in the instances of the severely physically impaired are you permitted to enter a respondent's answers in the ACASI portion of the interview for him/her, but must do so without seeing the computer screen. Respondents who are fearful of using a computer, such as some elderly respondents, do not qualify as having a physical limitation; you must encourage them to use the computer (see *Section 7.5* for more details). If they continue to refuse to use the computer, the interview must not be completed.

- **Blind respondent.** A blind respondent will wear the headphones to listen to the questions and responses. Hearing the response options is particularly important when pill images display on the screen. In some instances, the respondent may feel comfortable entering the ACASI responses on his/her own. Place the respondent's fingers on the 1, 2, and Enter keys, reminding him/her to ask for help when needed.

If the respondent is not comfortable entering responses, have the respondent tell you the answers he/she wants you to enter. If possible, sit where you cannot directly see the screen to enter the responses. If you must sit beside the respondent, cover the screen with a piece of paper or lower the display slightly to protect their privacy. When a Showcard is needed, you must read the categories to the respondent and ask him/her to select one.

- **Physically impaired respondent.** If the respondent is not able to enter the responses into the computer because of a physical limitation, he/she can either wear the headphones to listen to the questions or read the questions him/herself from the screen. Again, the respondent tells you the answer he/she wants you to enter into the computer. Refer to the above paragraph on blind respondents for ways to protect the respondent's privacy during the ACASI.
- **Deaf respondent.** For a deaf respondent, the only deviation from the standard procedures in the ACASI portion is that the headphones are not used, although you must still plug them in to disable the laptop speakers. To participate, a deaf respondent must be able to read.
  - First, hand the Introduction and Informed Consent script from the Showcard Booklet to the respondent to read.
  - For the first CAPI questions, sit beside the respondent and enter the responses for him/her after the respondent has read the screen and given you an answer.
  - For the screens introducing the keyboard and the practice session, point out the keys on the laptop to the respondent.
  - The procedures for the ACASI section will be just like any other respondent who chooses to read the screens rather than listening through the headphones. Move to where you cannot see the respondent's answers for this part of the interview and turn down the headphone volume to prevent others from hearing the questions.
  - For the back-end demographics section, once again sit beside the respondent and enter the responses for him/her after the respondent has read the question and the Interviewer Notes on each screen. It may be necessary for you to communicate with the respondent on paper if he/she has questions or if you need to probe.

**You or other persons, such as household members should *never*, under any circumstances, read the questions in the ACASI portion of the interview out loud to the respondent – even if the respondent says it’s OK to do so.** This would be a major breach of study protocol, and the case could not be included in the analysis—so, despite the best of intentions, you would have wasted your time, the respondent's time, and project resources. Since respondents can listen to the ACASI questions through the headphones, there is no need for anyone to ever read these questions. Consequently, the protocol states doing so is in violation of acceptable procedures for the interview and is not allowed.

If a physically impaired respondent begins the ACASI section and later decides it is too difficult to finish on his/her own, give the respondent the option of having you key the answers for him/her, following the procedures detailed above, or coding the case as a final breakoff. If a respondent has physical limitations preventing him/her from participating even with your help, document this situation and check with your FS.

In all cases that deviate from the standard protocol, explain the situation in the FI debriefing questions and the ROC on the tablet, and discuss the details for that particular case with your FS immediately.

### **8.8.2 Reading Limitations**

Another challenge you may come across is how to interview a respondent with poor or no reading skills. Youth respondents (12-17), respondents whose native language is not English, respondents who cannot read or write, elderly respondents, or those with hearing or vision problems may fall into this category. You may not become aware of a person's inability to read (or write) until you pass the computer to the respondent. The respondent may not tell you he/she cannot read. Instead, he/she may try to hide this inability by using the excuse about being “too busy” to complete the rest of the interview and ask you to do it instead.

The questionnaire is designed to allow even the poorest of readers to follow along and enter the answers in the computer. In fact, the interview may be easier for nonreaders because using the headphones, they can hear all questions and answer categories read aloud. During the CAPI portion, you read aloud the appropriate text (question text and as needed, answer choices including any answers printed on Showcards) and the respondent provides the answers for you to enter. During the ACASI, the respondent listens to the questions and types the corresponding number of the answer. Code numbers are associated with each answer category, so you can direct the respondent to the specific number to press if he/she is confused. Studies show even the poorest of readers can usually recognize and follow along with numbers.

## 8.9 Importance of Proper Administration

It is critical these interview administration procedures be followed exactly. Data collection procedures are standardized to maximize the quality of the NSDUH data.

The questionnaire is designed for ease of use with poor or non-readers, so it is not appropriate for you to enter any answers in the computer unless your respondent is physically incapable of doing so. It is never appropriate for you to answer questions for a respondent who is capable but simply does not want to take the time or trouble to do so. The ACASI design, with respondents entering their own answers, is key to maintaining the confidentiality of responses. If you have a respondent who resists completing the questionnaire for himself/herself, you must make every effort to explain the purpose of the survey's design, the importance of private and confidential responses, and the fact this is the procedure you must follow to properly conduct the interview. Here is an example:

"In order to do my job properly, it is very important I conduct this interview according to these exact procedures to ensure every interview across the entire country is being done the same way—that is, every respondent is completing his or her own questions. This also ensures the privacy and confidentiality of the answers you give."

If a respondent insists he/she is too busy at the time of your visit, offer to return at another time when he/she can complete the questionnaire unaided.

At times a respondent, especially a youth, may look to others in the household for an answer or explanation of a question. If this occurs, redirect the respondent to answer the question on their own, whatever it means to them. Explain to the respondent to protect their privacy and maintain the confidentiality of the data, we cannot allow assistance from others in the household. If the respondent does not know the answer, handle the situation as described in **Section 8.2.6** by probing for a best guess. If the respondent is still unsure, accept the "Don't Know" response.

## 8.10 Using a Proxy

During the insurance and income questions in the back-end CAPI portion of the interview, a proxy may be used to assist the respondent as needed. However, the proxy should not provide assistance during the other non-proxy sections of the interview.

When selecting a proxy, the computer screen displays the ages and relationships of all adult family members who currently live at the SDU, as reported in the household roster. The respondent must choose a proxy from this list of adult residents. In very rare instances, there may be another adult resident who was included on the roster but with incomplete information, such as a missing age or relationship, and so the person does not appear on this list. In that rare case, use 10 “Other adult relative” to select that person as the proxy. Remember the proxy must be a current adult resident of the SDU.

<input type="radio"/> 1. 71 YEAR OLD GRANDMOTHER
<input type="radio"/> 2. 46 YEAR OLD FATHER
<input type="radio"/> 3. 42 YEAR OLD MOTHER
<input type="radio"/> 4. DO NOT USE
<input type="radio"/> 5. DO NOT USE
<input type="radio"/> 6. DO NOT USE
<input type="radio"/> 7. DO NOT USE
<input type="radio"/> 8. DO NOT USE
<input type="radio"/> 9. DO NOT USE
<input type="radio"/> 10. OTHER ADULT RELATIVE

QP02

The proxy must also be able to speak and understand English. If you are an RTI-Certified bilingual FI, then the proxy must speak English or Spanish well enough to answer the questions on his/her own, without a translator. **The interview respondent cannot serve as a translator for a proxy.** If the proxy cannot understand the questions without a translator, then the respondent should answer the questions to the best of his or her knowledge. **The interview questions cannot be translated for any reason.**

The interview program guides you through the process of asking a proxy to join you and answer the insurance and income questions on behalf of the respondent. If the person initially selected to be the proxy is not available, the program prompts you to ask the respondent if one of the other adult family members living there could serve as the proxy. For example, in the situation shown above, if the youth indicates the mother should be the proxy but the mother is not home, the interview program repeats the prompts to see if either the father or grandmother could serve as the proxy.

If there is no one to serve as a proxy, the respondent answers the questions to the best of his or her knowledge.

## 8.11 Post Interview Procedures

### 8.11.1 Verification

During the final steps of the interview, you complete the verification process. The Quality Control Form (see [Exhibit 8.3](#)) is printed with English on one side and Spanish on the other. A form must be submitted for every completed interview, even if the respondent refuses to fill out the form. Do not submit a form for breakoffs; wait until you finish the entire interview to complete and mail a Quality Control Form.

If the respondent is a 12- to 17-year-old, the Quality Control Form should be completed by a parent/guardian. Use the steps described below, explaining the process to the parent. If a parent is unavailable at that time, it is acceptable for the 12- to 17-year-old to complete the form, however the preference is always for a parent to complete the Quality Control Form for a youth. (Remember another adult must be present in the home when completing an interview with a youth.)

The procedures for completing the interview verification process are as follows:

1. While the respondent completes the ACASI portion, prepare a Quality Control Form:
  - a. Prepare the interviewer portion of the form by writing the current date and the **approximate** interview completion time, circling AM or PM. Do not wait to enter a time but enter an estimate.
  - b. Carefully copy the Case ID from the tablet to the appropriate boxes at the bottom of the form. Be sure to enter the correct letter, either A or B.
  - c. Print your first and last name and FI ID # in the FI portion (the bottom half) of the form.
  - d. If the respondent is 12-17 years old, indicate which adult gave permission for the interview in the box in the bottom right corner of the form (e.g. “Mother”).
2. When prompted by the CAI, enter the QC ID (letter and numbers under the barcode) from the top right corner of the Quality Control Form you have prepared for this interview. Carefully follow the instructions printed on the computer screen and be sure to include the hyphen.
3. Next, the screen shown on the following page appears. Read the text to the respondent or the parent/guardian of a youth respondent, providing the prepared Quality Control Form, postage-paid envelope and a pen when instructed on the screen.
4. The respondent/parent prints his/her telephone number and address on the form, and puts the Quality Control Form into the envelope and seals it. If the respondent/parent refuses to complete the Quality Control Form, ask him/her to write “refused” on the top half of the Quality Control Form, place it in the envelope and seal it. Note: A youth completing the form may ask which phone number to record. ONLY if the youth asks, tell him/her to enter the parent’s number, not their own personal number.
5. The respondent/parent returns the sealed envelope to you.
6. Mail the Quality Control Form to RTI in the postage-paid envelope within 24 hours.

Forms Answer Navigate Options Help

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 phone number and current address on this form?

**GIVE QUALITY CONTROL FORM AND ENVELOPE TO THE RESPONDENT OR TO THE PARENT/GUARDIAN FOR A YOUTH RESPONDENT, IF AVAILABLE.**

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. When you are finished, please seal the envelope and return it to me. As you can see, this is kept separate from the responses that were entered so they will still be completely private.

**PRESS [ENTER] TO CONTINUE.**

TOALLR3I

Data Quality staff at RTI who deal with the Quality Control Forms offer the following reminders:

- Take time to carefully and neatly fill out the bottom portion of each Quality Control Form. It is important each letter and number in the date, time, FI ID and Case ID fields are clearly legible when forms are received at RTI.
- Do NOT use a Quality Control Form you have already reported for another case, even if the first respondent left it blank.
- For households with two interview respondents, keep the Quality Control Forms for the A and B cases separate. Each respondent/parent should complete the top portion of the appropriate form, placing it in a separate envelope and sealing it.
- Pink Quality Control Forms from training sessions are not acceptable for use in the field. The interview program will reject all QC IDs on training forms.
- Only provide respondents with Quality Control Forms for the current survey year. You cannot use forms from previous years as they are no longer valid. Destroy all unused forms you have left at the end of each survey year.
- Carefully enter the QC ID into the CAI, entering the letter and numbers, including the dash. Complete this task **before** you hand the form to the respondent.
- Likewise, carefully record the correct Case ID number on the Quality Control Form for the interview. Be sure to include an A or B.
- Interviewers are only to complete the bottom of the form. Respondents/parents complete the upper portion, including the address and phone number. Respondents/parents are also to place the completed form in the envelope and seal it, not you. These procedures are in place to stress confidentiality and must be taken seriously.

**Exhibit 8.3 Quality Control Form**



**QUALITY CONTROL FORM**

T90-4003

**NOTICE:** Public reporting burden (or time) for this collection of information is estimated to average 2 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, to SAMHSA Reports Clearance Officer, Paperwork Reduction Project (xxxx-xxxx), Center for Behavioral Health Statistics and Quality, Room 15E57B, 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 xxxx-xxxx.

OMB No.: XXXX-XXXX  
 OMB Expiration Date:  
 XX/XX/XX

**VERSIÓN EN ESPAÑOL AL REVERSO**

As part of our quality control program, we plan to contact a portion of the survey participants to make sure that the interviewer has followed the study procedures. We only ask general questions—no specific information is required. We sincerely appreciate your cooperation.

**Please fill in the boxes below. (PLEASE PRINT CLEARLY.) Thank you.**

*[Your phone number will be kept confidential and will not be released to anyone other than our quality control representatives.]*

<b>TELEPHONE NUMBER</b>				-						
	(Area Code)				(Telephone Number)					

<b>YOUR ADDRESS</b>	
---------------------	--

<b>CITY</b>		<b>STATE</b>		<b>ZIP CODE</b>					
-------------	--	--------------	--	-----------------	--	--	--	--	--

**BOXES BELOW MUST FIRST BE COMPLETED [IN INK] BY INTERVIEWER.**

<b>TODAY'S DATE</b>	0	5	-	1	8	-	X	X	<b>TIME</b>	0	6	:	3	0	AM PM	
<b>FI NAME</b>	Rachel Interviewer						<b>FI ID #</b>	1	2	3	4	5	6			
<b>CASE ID #</b>	0	H	0	4	B	0	-	0	-	1	3	2	-	A	<b>Include A or B!</b>	
<b>IF</b> respondent is 12 - 17 years old, which adult granted permission for the interview? → (Examples: father, mother, etc.)							Mother [Print Parent/Guardian's relationship to the child in this box.]									

### 8.11.2 Incentive Procedures

You are responsible for giving \$30 cash to each respondent who completes an interview. Only give the respondent the cash while you are on the INCENT01 screen during the final steps of the interview process, not at any other time.

Do NOT use the terms “pay” or “payment” in reference to the incentive. Only say you “will give” or they “will receive” \$30 in cash after the interview is completed. You should not imply or otherwise indicate the respondent will be paid for their participation.

Once you finish explaining the Quality Control Form to the respondent, the CAI displays the instructions for the incentive process. Procedures are as follows:

- Give the respondent \$30 cash.
- Record the Case ID on the Interview Incentive Receipt (see [Exhibit 8.4](#)). Be sure to include the A or B. (This step can be completed during the ACASI portion, but it is important you do not sign/date the form or mark the cash acceptance ahead of time.)
- Mark the appropriate box indicating the respondent either accepted or declined the cash.
- Sign, then date the receipt. To maintain a professional and trustworthy manner, it is important to sign/date at this time in front of the respondent and only after the respondent has received or declined the incentive. (Hint: Since you give a pen to the respondent to complete the Quality Control Form, it helps to have a second pen available to sign and date the receipt.)
- Give the respondent the top copy.
- Read the script on the CAI screen to the respondent using the exact words shown. Do not begin to read until you have completed all the above listed steps. The text explains the incentive and mentions the national hotline numbers printed at the bottom of the form for respondents who wish to talk with someone about mental health or drug use issues.
- Mail the yellow copy to your FS in your regular shipment. Keep the pink copy for your records.

If the respondent refuses to accept the money, you must mark the appropriate box on the Interview Incentive Receipt. Some respondents may ask you to donate the money to a charity instead of accepting it. You cannot donate the money to a charity for a respondent. Instead, encourage respondents to accept the cash and donate it to their favorite charity themselves.

**The incentive procedures direct you to give the incentive money to the respondent, regardless of whether he/she is a youth, at the completion of the interview. However, if the parent of a 12-17 year-old respondent refuses to let you give the incentive directly to the youth, you should give the incentive to the parent. This should be a rare occurrence, but if the parent is adamant the youth not receive it, then you should give the money to the parent rather than causing a hostile or potentially dangerous situation.**

Forms Answer Navigate Options Help

**HAND RESPONDENT \$30 CASH.**

**MARK THE APPROPRIATE 'CASH ACCEPTANCE' BOX ON THE INTERVIEW INCENTIVE RECEIPT.**

**SIGN AND DATE INTERVIEW INCENTIVE RECEIPT AND GIVE TOP COPY TO RESPONDENT.**

I have signed this form to indicate that I have given you \$30 for this interview. At the bottom of this form, we have included national hotline numbers that you can call if you ever feel you need to talk to someone about mental health or drug use issues.

**IF NOT DONE EARLIER, GIVE ADULT RESPONDENT OR PARENT/GUARDIAN OF YOUTH THE Q&A BROCHURE AND SAY:** For more details on the National Survey on Drug Use and Health, this brochure includes answers to common questions, website addresses and other information.

**PRESS [ENTER] TO CONTINUE.**

INCENT01

If not done previously, the incentive process also instructs you to give adult interview respondents and parents or guardians of youth respondents a Q&A Brochure and read the scripted text shown in parentheses at this time. Do not move past this screen if the Q&A has not been given up to this point. It is a requirement that every adult interview respondent and parent or guardian of a youth respondent receive a copy of the Q&A Brochure during the screening or interview. You are not required to give youth respondents a copy of the brochure, only the parent or guardian. However, if a youth respondent would like a brochure, you may give them a copy now or provide one along with the Certificate of Participation at the end of the interview (see *Section 8.11.3*).

If you are unsure whether you have given the adult respondent or parent a Q&A Brochure beforehand, provide another copy and read the scripted text. If the parent or guardian has given explicit permission to interview the youth without a parent present (i.e. you have followed all parental/youth informed consent procedures and another adult will be present in the home during the interview), then you must give them a Q&A Brochure when you obtain parental permission for the interview.

**Exhibit 8.4 Interview Incentive Receipt**

<h2 style="margin: 0;">Interview Incentive Receipt</h2> <p style="margin: 0;">U.S. Department of Health and Human Services and RTI International</p> <p style="margin: 0;"><b>thank you for participating in the 20XX National Survey on Drug Use and Health.</b></p> <p style="margin: 0;">In appreciation of your participation in this important study, you are eligible to receive \$30 in cash.</p> <p style="margin: 0;">Since maintaining the confidentiality of your information is important to us, your name will not be entered on this form. However, the interviewer must sign and date this form to certify you received (or declined) the cash incentive.</p>		
<u>Rachel Interviewer</u> Interviewer	<u>5-18-XX</u> Date	<u>OH04B00132-A</u> Case ID
<input checked="" type="checkbox"/> Accepted Cash Incentive	<input type="checkbox"/> Declined Cash Incentive	

If you ever feel that you need to talk to someone about mental health issues, you can call the National Lifeline Network. Counselors are available to talk at any time of the day or night and they can give you information about services in your area.

1-800-273-TALK or 1-800-273-8255  
1-888-628-9454 (Spanish)  
<http://suicidepreventionlifeline.org/>

If you ever feel that you need to talk to someone about drug use issues, you can call the Substance Abuse and Mental Health Services Administration's Treatment Referral Helpline. This is a 24-hour service that will help you locate treatment options near you.

1-800-662-HELP or 1-800-662-4357  
1-800-487-4889 (TDD)  
<http://findtreatment.samhsa.gov>

Disposition: Top copy to Respondent, yellow to Field Supervisor, pink to Field Interviewer.

### 8.11.3 Certificate of Participation (OPTIONAL)

After completing an interview with a youth respondent, you can give him/her a Certificate of Participation (see [Exhibit 8.5](#)). Students may use the certificate to confirm participation in NSDUH. Explain some students have been able to receive credit for participation, but the student must initiate the request, and the teacher/school administration may or may not allow the student to receive credit of any sort. No advance arrangements have been made with any school in the nation.

It is **very important** the youth and the parents understand it is the youth's responsibility to arrange to receive any possible school or community service credit. Be very careful not to mislead the respondents into thinking they will definitely receive some direct benefit from their participation. Credit for NSDUH participation is **not** guaranteed.

The certificate is worded to allow for use with respondents other than middle or high school students, but should be used primarily with youth respondents. Adult respondents should not receive a certificate unless they ask for acknowledgment that they completed the survey or seem very interested in receiving one.

When the interview is finished, complete the certificate following these steps:

- To ensure confidentiality, fill in only the date the interview was completed, your name, and your FI ID number. Do not write the respondent's name on the certificate. If necessary, explain to the respondent why you did not fill in their name.
- Give the certificate to the respondent and tell him/her to sign it before showing it to a teacher. Be sure to also give a Q&A Brochure, mentioning the website with more information about the survey. The website address is on the back of the brochure.

# Certificate of Participation

The U.S. Department of Health and Human Services and RTI International would like to thank

\_\_\_\_\_  
[Participant's Signature]

for participating in the **National Survey on Drug Use and Health**

on

\_\_\_\_\_  
[Date of Interview]

Field Interviewer

National Field Director  
RTI International  
3040 Cornwallis Road  
Research Triangle Park, NC 27709



FI ID #

This document certifies that the above named individual participated in NSDUH, a voluntary survey for the U.S. Department of Health and Human Services. Across the country, some participants approach their school teachers or other group leaders to ask about possible special community service credit as they completed this important national survey. The time commitment for participation in this survey is between 1 and 2 hours. A copy of the NSDUH brochure, which explains the study in more detail, should accompany this certificate. If you need further information, contact the National Field Director, \_\_\_\_\_, at \_\_\_\_\_.

U.S. Department of Health  
and Human Services



#### 8.11.4 Packing up the Equipment

When finished, exit the CAI Manager then turn off the laptop. It is important you exit the CAI Manager and turn off the laptop to ensure all interview data are properly saved and secured. Then pack up the computer equipment by doing the following:

- gently close the screen display
- unplug the parts of the power cord (from the computer first then from the wall plug)
- unplug the headphones and dispose of the covers
- carefully place the laptop in the laptop bag
- carefully wrap up the power cord parts, extension cord, and headphones and place them in the laptop bag (not in with the laptop, use another pocket)
- zip the laptop bag closed.

Remember to pack up the Showcard Booklet, Interview Incentive Receipt copy, QC Form in the sealed envelope (and any other papers) and put them in your laptop bag. Remember the tablet and security key!

#### 8.11.5 Thank the Respondent

Always thank the respondent for spending time with you and for contributing to the success of this important national study. Do your best to leave the respondent feeling very positive about the interview.

#### 8.11.6 Tablet ROC

Remember to update the ROC with the final interview result, a code 70, indicating successful completion of the interview. Do this when you leave the DU and before doing other field work. Do not enter the 70 on the tablet until the interview has been completed. It is always possible you could have a breakoff unexpectedly.

Once you enter the code 70, you will answer a series of questions on the tablet about the interview, as described in *Section 8.12*. You must answer all the debriefing questions at one time so it is important to allow yourself enough time to answer them thoughtfully.

If you have back-to-back interviews, wait to enter the code 70 on the tablet until the second respondent begins the ACASI portion. When you begin the first interview, go to the **Respondent Selection** screen to see the QuestID. Simply leave the tablet on that screen to see the QuestID to start the second interview. Once the second respondent begins the ACASI, enter the code 70 for the first completed interview and thoughtfully answer the debriefing questions.

## 8.12 Field Interviewer Debriefing Questions

Once you enter the code 70, you will answer a series of questions on the tablet about how you felt the interview went, providing details about the situation. The questions ask your opinion about the levels of respondent understanding, cooperation, and privacy. They also ask about the respondent's experience with the interview itself. You are also given the opportunity to make any notes or comments that may help in understanding the situation or the respondent. Do not feel you have to enter a note; only add notes that truly clarify a given situation.

When considering privacy, the only two people who should be in the room are you as the interviewer and the respondent. Use these questions to record any *other persons* who were present or listening to the interview. Keep in mind the following exceptions:

- If a **proxy respondent** is used during the income/insurance questions, this **does not cause a breach of privacy** unless the proxy is present during non-proxy sections of the interview.
- If an **observer** accompanies you during the interview, this is **not a breach of privacy** as the observer is a member of the project staff. Do not count observers as being present or listening to the interview.

The FI debriefing questions are listed in [Exhibit 8.6](#).

In addition to the debriefing questions, if there was anything particularly unusual about an interview, call your FS as soon as possible to discuss what occurred. Documenting such unusual occurrences in the ROCs or debriefing questions is not sufficient, especially if there are concerns about respondent privacy and/or confidentiality.

## Exhibit 8.6 FI Debriefing Questions

Debriefing - FIDBF1

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Line 019 308 Gordon Street

**THESE QUESTIONS ARE FOR YOU TO ANSWER. DO NOT READ TO THE R.**

Did you conduct this interview at the respondent's home, either inside or outside?

YES

NO

If FIDBF1 is "No"

Debriefing - FIDBF2

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Line 019 308 Gordon Street

Where did you conduct this interview?

- 1. AT THE RESPONDENT'S WORKPLACE
- 2. AT THE HOME OF THE RESPONDENT'S RELATIVE OR FRIEND
- 3. IN SOME TYPE OF CONFERENCE ROOM IN A RESIDENCE HALL, SCHOOL OR APARTMENT COMPLEX
- 4. AT A LIBRARY
- 5. IN SOME TYPE OF COMMON AREA, SUCH AS A LOBBY, HALLWAY, STAIRWELL, OR LAUNDRY ROOM
- 6. SOME OTHER PLACE

If FIDBF2 is "Some other place"

Debriefing - FIDBF2a

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Line 019 308 Gordon Street

Where did the interview take place?

|

1 2 3 4 5 6 7 8 9 0 Del

Q W E R T Y U I O P <

A S D F G H J K L ↵

↑ Z X C V B N M , ! . ? ↓

Ctrl !@ ☺ English (UK) < >

Debriefing - FIDBF3

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Line 019 308 Gordon Street

Please estimate for how much of the ACASI interview the respondent had their headphones on.

- 1. NONE/R TOOK HEADPHONES OFF IMMEDIATELY
- 2. LESS THAN HALF OF THE ACASI INTERVIEW
- 3. ABOUT HALF OF THE ACASI INTERVIEW
- 4. MORE THAN HALF OF THE ACASI INTERVIEW
- 5. ALL OF THE ACASI INTERVIEW

## Exhibit 8.6 FI Debriefing Questions (continued)

Debriefing - FIDBF4

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Line 019 308 Gordon Street

How cooperative was the respondent?

- 1. VERY COOPERATIVE
- 2. FAIRLY COOPERATIVE
- 3. NOT VERY COOPERATIVE
- 4. OPENLY HOSTILE

Debriefing - FIDBF5

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Line 019 308 Gordon Street

Please indicate how private the interview was. Do not count yourself or a project observer as another person in the room.

- 1. COMPLETELY PRIVATE – NO ONE WAS IN THE ROOM OR COULD OVERHEAR ANY PART OF THE INTERVIEW
- 2. MINOR DISTRACTIONS – PERSON(S) IN THE ROOM OR LISTENING LESS THAN 1/3 OF THE TIME
- 3. PERSON(S) IN THE ROOM OR LISTENING ABOUT 1/3 OF THE TIME
- 4. SERIOUS INTERRUPTIONS OF PRIVACY MORE THAN HALF THE TIME
- 5. CONSTANT PRESENCE OF OTHER PERSON(S)

If FIDBF5 is “2, 3, 4, or 5”

Debriefing - FIDBF6

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Line 019 308 Gordon Street

Not including yourself or project observers, who were the other people present or listening to the interview? *Check all that apply.*

- 1. PARENT(S)
- 2. SPOUSE
- 3. LIVE-IN PARTNER/BOYFRIEND/GIRLFRIEND
- 4. OTHER ADULT RELATIVE(S)
- 5. OTHER ADULT(S)
- 6. CHILD(REN) UNDER 18
- 7. OTHER

If FIDBF6 is “7”

Debriefing - FIDBF7

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Line 019 308 Gordon Street

Please enter a description of the other person(s) present or listening to the interview. This description may be relationship to the respondent if you have this information, or simply the gender and estimated age.

1 2 3 4 5 6 7 8 9 0 Del  
 Q W E R T Y U I O P  
 A S D F G H J K L  
 Z X C V B N M , ! . ?  
 Ctrl 11@ English (UK)

## Exhibit 8.6 FI Debriefing Questions (continued)

Debriefing - FIDBF8

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Line 019 308 Gordon Street

Did the respondent make any comments about the interview being too long?

YES

NO

Debriefing - FIDBF9

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Line 019 308 Gordon Street

Did the respondent have trouble understanding any **questions** asked during the interview?

YES

NO

If FIDBF9 is “Yes”

Debriefing - FIDBF9a

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Line 019 308 Gordon Street

Enter the screen name and a brief description of what the respondent found confusing. If you do not know the screen name, please provide as much information as possible.

1 2 3 4 5 6 7 8 9 0 Del  
Q W E R T Y U I O P <X>  
A S D F G H J K L ↵  
↑ Z X C V B N M , ! . ? ↑  
Ctrl !@ English (UK) < >

Debriefing - FIDBF10

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Line 019 308 Gordon Street

How often did this respondent let you know what his or her answers were as he or she completed the ACASI portion of the interview?

1. NONE OF THE TIME – I DO NOT KNOW WHAT ANY OF THE ANSWERS ARE

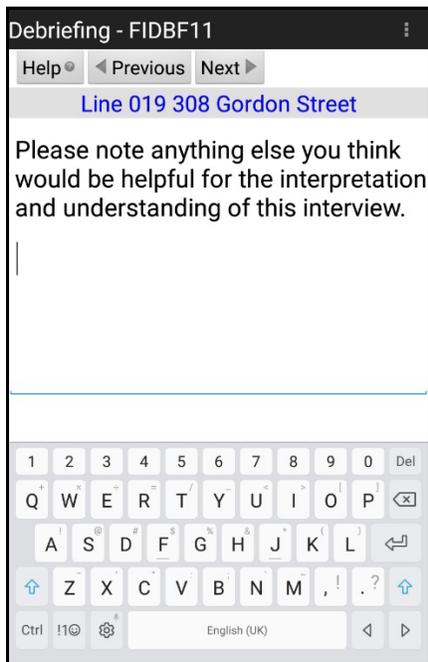
2. A LITTLE OF THE TIME – I KNOW WHAT A FEW OF THE ANSWERS ARE

3. SOME OF THE TIME – I KNOW WHAT SOME OF THE ANSWERS ARE

4. A LOT OF THE TIME – I KNOW WHAT A LOT OF THE ANSWERS ARE

5. ALL OF THE TIME – I KNOW WHAT ALL OF THE ANSWERS ARE

## Exhibit 8.6 FI Debriefing Questions (continued)



The screenshot shows a mobile application interface titled "Debriefing - FIDBF11". At the top, there are navigation buttons: "Help", "Previous", and "Next". Below this is a header for the current question: "Line 019 308 Gordon Street". The main text of the question reads: "Please note anything else you think would be helpful for the interpretation and understanding of this interview." Below the text is a large, empty text input field. At the bottom of the screen, a virtual keyboard is visible, showing the letters Q, W, E, R, T, Y, U, I, O, P on the top row; A, S, D, F, G, H, J, K, L on the second row; and Z, X, C, V, B, N, M, comma, period, question mark on the third row. The keyboard also includes function keys like Ctrl, Shift, and a language selector set to "English (UK)".

## CHAPTER 8 MAIN IDEAS

### The NSDUH Interview

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 8-1: The CAI questionnaire is administered using two different methods: CAPI and ACASI. During the CAPI portions, you read questions from your computer screen and record the respondent's answers. The sensitive questions appear during the ACASI portion—the respondent listens to and/or reads the questions and records the answers in private.
- Pg. 8-1: To ensure collection of high quality data, the NSDUH interview must be standardized, meaning every FI must administer every interview to every respondent in the same way. Using questionnaire conventions and CAPI rules make standardization possible.
- Pg. 8-3 – 8-8: To ensure respondent answers are as accurate and complete as possible, a technique called probing should be used. Probing can help the respondent understand the questions and help you in obtaining a clear response. Correct probing NEVER suggests answers to the respondent.
- Pg. 8-13: During the interview, you show the respondent Showcards to serve as helpful visual aids.
- Pg. 8-18 – 8-20: If you encounter respondents who are physically or mentally impaired, use sensitivity and good judgment to determine whether they are capable of participating in the study. In situations where the respondent is physically incapable of completing the interview, it is acceptable for you to help complete the ACASI portion of the interview. With the respondent listening to the audio, you will record the answers as provided by the respondent, but must do so without ever seeing the computer screen. This is the ONLY situation where you are allowed to complete the ACASI questions.
- Pg. 8-23 – 8-28: After completing the interview, the respondent completes a Quality Control Form as part of our verification procedures. The Interview Incentive Receipt documents the cash provided to the respondent at the end of the interview.

## **QUESTIONS TO ASK YOURSELF**

1. Match the formatting of the CAI text below with the proper interviewer use of the text.

_____ <b>black text</b>	<b>a. optional text</b>
_____ <b>(black text in parentheses)</b>	<b>b. FI notes—do not read</b>
_____ <b>text in blue</b>	<b>c. required text</b>
_____ <b>TEXT IN ALL UPPERCASE LETTERS</b>	<b>d. text to emphasize</b>

2. Answer these True / False questions.

- T F You are never allowed to suggest answers.
- T F If the R interrupts you, you still must read the entire question.
- T F If you think an R may not know a certain word, it is permissible to replace a word to help the R understand.
- T F If the R asks you for your opinion, you are allowed to give it.

3. If, after reading a question to the respondent, he appears to have misunderstood or misinterpreted it, what probe would you use?

4. If you mistakenly enter the wrong answer, how can you go back to the previous question?

5. What key is pressed if a question is refused?

6. Is the set of questions about tobacco administered using CAPI or ACASI?

7. What does the result code 70 mean? When should you enter it in your tablet?

## 9. DOCUMENTING AND REPORTING PROCEDURES

### 9.1 Introduction

The documentation and reporting of field activities is used to closely monitor the ongoing NSDUH data collection. You document and report your field activities through:

- Record of Calls. The actions you take to complete screenings and interviews are documented in the Record of Calls on your tablet (see **Section 9.2**).
- CAI Manager. The CAI Manager on the laptop displays all breakoff and completed interviews and the status of their transmission to RTI International (see **Chapter 5** of the *FI Computer Manual*).
- Data Transmission. Screening data, screening and interview result codes, Record of Calls information, verification for noninterviews, and refusal report data, are all transmitted from your tablet to RTI, and CAI data are transmitted from your laptop to RTI (see **Chapter 6** of the *FI Computer Manual*).
- Conference Calls. You and your FS will have scheduled conference calls at least once each week (see **Section 9.4**).
- T&E Reports. Each week you will submit your Time and Expense (T&E) reports following established deadlines.
- Mailings. Each week you will mail your completed Interview Incentive Receipts to your FS (see **Section 9.5**). Mail completed Quality Control forms to RTI within 24 hours of the interview completion (see **Section 8.11.1**).

### 9.2 Record of Calls and Result Codes

Each time you contact or attempt to contact an assigned SDU, record the details in the tablet's Record of Calls (ROC) by adding a separate call record for each (see **Section 6.6** for details on adding ROCs). This includes any attempted or actual contact with either a resident, a neighbor or other person whom you ask for contact information. For example, if you visit the SDU once and find no one home, then visit again 2 hours later, you should fully document both contacts separately in the ROC. For each ROC, the tablet automatically records the date, day of the week, and time of day. You must enter the appropriate result code and detailed comments about this contact (see **Section 9.2.5**).

Result codes describe the current status of each case and are discussed routinely with your FS. Each time you transmit data from the tablet to RTI, the result codes are included with the actual screening data. These transmitted codes are then tabulated to produce reports that provide information on the progress of the fieldwork. In these reports, your FS sees the result code assigned for each contact you made with a particular DU. Having this information available helps as you and your FS discuss the best approach to the case.

RTI staff and project management rely heavily on these progress reports to make decisions on how to properly manage the project. It is **very important** you understand when and why to use each result code. It is also critical to add ROCs as you complete your work in the field.

Screening result codes are assigned and reported during the process of screening SDUs while interview result codes apply for SDUs when someone is selected for the NSDUH interview. Some codes are “PENDING” indicating a final resolution has not yet been obtained, while “FINAL” codes show the case is complete.

	Type of Code	Code Range	FI Manual Reference
Screening Codes	Pending	01-09	9.2.1
	Final	10-32	9.2.2
Interview Codes	Pending	50-59	9.2.3
	Final	70-79	9.2.4

*Sections 9.2.1 through 9.2.4* contain detailed listings of the result codes and descriptions of when to use them, along with examples for each code. For pending codes, the table also lists suggested actions to take to resolve the situation and finalize the case.

### 9.2.1 Pending Screening Result Codes

Carefully review the following for details on the correct use of pending screening codes.

PENDING SCREENING RESULT CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
01	<b>NO ONE AT DU</b>	No one is at the unit at the time of your visit.	<ul style="list-style-type: none"> <li>Plan another visit at a different time of day or another day of the week.</li> <li>Try to determine a good time to catch someone at home.</li> <li>Record the visit and any pertinent information in your tablet's ROC.</li> </ul>
<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>You visit an SDU, and no one is at home.</li> <li>You knock on the door of an SDU, and no one answers the door. You decide to leave and go to another SDU.</li> </ul>			

PENDING SCREENING RESULT CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
02	<b>SCREENING RESPONDENT (SR) UNAVAILABLE</b>	Someone is at the unit but that person is not an eligible/knowledgeable screening respondent (young child, babysitter, housekeeper, etc.) OR, the SR cannot complete the screening at that time (due to being busy, needing to leave, etc.) OR you know someone is home (someone peeks out window, etc.), but they will not answer the door. The SR MUST be an adult resident of the SDU.	<ul style="list-style-type: none"> <li>Plan another visit at a different time of day or another day of the week.</li> <li>Try to determine a good time to catch someone at home by asking for a day and time when you should return.</li> <li>Record the visit and any pertinent information in your tablet's ROC.</li> </ul>
03	<b>NEIGHBOR INDICATES OCCUPANCY</b>	A neighbor (or other informant) indicates the unit is occupied.	<ul style="list-style-type: none"> <li>Inquire about when would be a good time to find someone home at the DU. DO NOT obtain actual screening information from a neighbor or mention the study name/subject.</li> <li>Continue to try to contact a resident of the DU to complete the screening.</li> <li>Record the visit and any pertinent information in your tablet's ROC.</li> </ul>

PENDING SCREENING RESULT CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
04	<b>PENDING INCAPABLE</b>	<p>No one at the unit is physically or mentally able to respond meaningfully to the screening questions.</p> <p>Examples of mental incapability are respondents with pronounced intellectual disability, autism, or who are intoxicated. Also, physical incapability due to serious illness, deafness, or severe speech disorders may qualify.</p>	<ul style="list-style-type: none"> <li>• Remaining sensitive to the situation, attempt to locate a capable adult resident of the DU.</li> <li>• If the limitations seem temporary, return on a different day or at a different time.</li> <li>• If the limitations seem permanent and no other possible SR resides at the unit, discuss the situation with your FS.</li> <li>• Record the visit and any pertinent information in the ROC. When prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation and include comments in the ROC to document the situation.</li> </ul>
05	<b>PENDING LANGUAGE BARRIER (SPANISH)</b>	<p>The screening respondent speaks Spanish and does not speak English well enough to complete the screening. RTI-Certified bilingual FIs have the option of completing screenings in Spanish (see <b>Chapter 6</b>). <b>Only RTI-Certified bilingual FIs are allowed to access the Spanish questions on the tablet. There are no exceptions.</b></p>	<ul style="list-style-type: none"> <li>• Try to locate another eligible SR in the DU who speaks English.</li> <li>• Ask the person about using another member of the household to serve as a translator for the screening questions. If necessary most households have access to someone, often a young person or even a neighbor, who can communicate well enough in both languages to interpret the screening questions for the Spanish speaking SR. RTI provides a 'Spanish Card' which has this request for a translator written in Spanish. Details for using the card are provided in <b>Section 4.11</b>. <b>Remember you <u>cannot</u> use a translator for the interview, only for screening.</b></li> <li>• If none of these work, talk with your FS.</li> <li>• Record the visit and any pertinent information in the tablet's ROC.</li> </ul>

PENDING SCREENING RESULT CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
06	<b>PENDING LANGUAGE BARRIER (OTHER)</b>	The screening respondent speaks a language other than English or Spanish, and does not speak English well enough to complete the screening.	<ul style="list-style-type: none"> <li>Try to locate another eligible SR in the household who speaks English.</li> <li>Ask the person about using another member of the household to serve as a translator for the screening questions. If necessary most households have access to someone, often a young person or even a neighbor, who can communicate well enough in both languages to interpret the screening questions for the SR. RTI provides a card which has this request for a translator written in several other languages. Details for using the card are provided in <b>Section 4.11</b>. Remember you <u>cannot</u> use a translator for the interview, only for screening.</li> <li>Record the visit and any pertinent information in your tablet's ROC. When prompted, record the language. Do not ask the SR but make your best guess. See <b>Section 4.11</b> for more information.</li> </ul>
07	<b>PENDING REFUSAL</b>	The screening respondent you are talking with refuses to allow you to proceed with the screening process.	<ul style="list-style-type: none"> <li>Tactfully try to persuade the respondent to answer the few screening questions (see <b>Chapter 5</b> for information about overcoming refusals and obtaining participation).</li> <li><b>DO NOT</b> antagonize the respondent. Leave the door open for an attempt to convert, either by you or someone else. This decision is up to your FS.</li> <li>As well as possible, determine the reason for the refusal.</li> <li>Record the visit in your tablet's ROC. When prompted, indicate a refusal reason.</li> <li>Note in the ROC if there is another eligible SR at the household.</li> <li>Make detailed notes while the incident is fresh in your mind. By recording what happened, you will greatly assist your FS in deciding how to handle the case and will help the next FI, if someone else tries to convert the case.</li> </ul>

PENDING SCREENING RESULT CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
08	<b>UNABLE TO LOCATE SDU</b>	You are unable to determine the exact location of the SDU.	<ul style="list-style-type: none"> <li>Ask first for directions to the general area. Ask at the police station, the fire department, or other public place. If needed, you may give an exact address as long as you <b>DO NOT</b> state the specific reason you are trying to find the unit. Mentioning you are an interviewer contacting the unit for participation in an important national survey is fine—stating you want to interview someone for the National Survey on Drug Use and Health is not acceptable.</li> <li>Contact your FS for additional instructions.</li> <li>Record the visit and any pertinent information in your tablet's ROC.</li> </ul>
			<p><i>Example:</i></p> <ul style="list-style-type: none"> <li><i>You are out in the field and cannot locate an address. You look at your maps and ask for directions, but still no luck. You code it an 08 and talk to your FS.</i></li> </ul>
09	<b>PENDING OTHER – SPECIFY</b>	The situation you encounter does not fit into any of the above categories.	<ul style="list-style-type: none"> <li>Record the visit in your tablet's ROC and describe the situation in the comments section.</li> <li>The tablet also asks you to record the type of 'other' case from the following list of possible sub-categories: <ul style="list-style-type: none"> <li>– Screening breakoff</li> <li>– Selected wrong line number</li> <li>– Added in error</li> <li>– Safety issue</li> <li>– Controlled access</li> <li>– Possible vacant</li> <li>– Possible vacation/not primary residence</li> <li>– GQU is institution (GQU only)</li> <li>– Other listing problem</li> <li>– Need to discuss with FS</li> <li>– Something else, Specify</li> </ul> </li> <li>For Controlled Access situations, gain as much information as possible (see <b>Section 4.12</b>).</li> <li>For possible vacant/vacation homes, attempt to verify with an adult neighbor, landlord, or real estate agent. For rural areas where neighbors are scarce, a contact from the post office, fire department or local town hall may be used if they are familiar with the address.</li> <li>Discuss with your FS how to handle the case.</li> </ul>
			<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li><i>You discover an SDU should not have been listed because it is outside of the segment boundaries. You have not discussed the SDU with your FS. Choose as the sub-category "Other listing problem."</i></li> <li><i>You encounter a gated community in which you have 4 SDUs. At your initial visit you are unable to pass through the gate so are unable to reach the doors of these SDUs. Note as much information as possible to help in your discussions with your FS about how to handle the situation. Code each SDU an 09 and choose as the sub-category "Controlled Access."</i></li> </ul>

## 9.2.2 Final Screening Result Codes

Final screening codes indicate the case is finished, meaning either screening information was obtained OR the SDU is ineligible (e.g., vacant) OR you were unable to obtain screening information. Complete all relevant steps described in the pending codes and consult with your FS on additional steps before requesting permission to finalize a case. If all attempts fail, your FS must agree the case is complete before giving approval to assign the final code. The list below describes the final codes and examples of each.

FINAL SCREENING CODES: SDUs That Are Ineligible for the Study		
Result Code	Result Code Description	Use This Code in This Situation
10	<b>VACANT</b>	Assign this code only after verifying with an adult neighbor, landlord, or real estate agent that the unit is vacant. For rural areas where neighbors are scarce, a contact from the post office, fire department or local town hall may be used if they are familiar with the address. The tablet prompts you to complete the verification information.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You have visited an SDU four times. You finally talk to the owner of the house next door, who tells you no one lives in the SDU.</li> </ul>	
13	<b>NOT PRIMARY RESIDENCE</b>	Assign this code after verifying with the current or temporary residents, an adult neighbor, the landlord, or real estate agent that the unit is not used as a primary residence during the quarter (that is, it is only a weekend or vacation home). To qualify as a primary residence, the residents must spend the majority of their time living at the DU. In rural areas, verify with the post office, fire department or local town hall as needed. The tablet prompts you to obtain verification information.  Note: If you are screening a resident of the DU and they will not live there for 1/2 or more of the quarter, see code 26.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You discover an SDU is a vacation home that the owners only visit occasionally.</li> </ul>	
18	<b>NOT A DWELLING UNIT</b>	Assign this code after verifying with an adult neighbor, landlord, or real estate agent the unit does not meet our definition of a dwelling unit (see <b>Section 3.2</b> ). Possible examples are units that have been demolished or merged with another unit, a unit used by a church or organization as a meeting facility, or a unit used only for business or storage. In rural areas, verify with the post office, fire department or local town hall as needed. Enter verification information when prompted by the tablet.
	<i>Examples:</i> <ul style="list-style-type: none"> <li>You discover an SDU is a beauty shop only.</li> <li>You visit a household and find that it burned down last week.</li> </ul>	
19	<b>GQU LISTED AS HU</b>	If the GQU was listed incorrectly as an HU, use this code. Record information about the structure, including the type of group quarters (dormitory, shelter), how the units would be listed (rooms, beds, persons), and a contact person. Check with your FS for further instructions.
	<i>Example:</i> <ul style="list-style-type: none"> <li>During a visit, you learn the SDU originally listed as an HU has been converted into a boarding house with 11 rooms. You discuss the SDU with your FS who gives permission to final code the case.</li> </ul>	

FINAL SCREENING CODES: SDUs That Are Ineligible for the Study		
Result Code	Result Code Description	Use This Code in This Situation
20	<b>HU LISTED AS GQU</b>	If an HU was listed incorrectly as a GQU, use this code. Check with your FS for further instructions.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You visit an SDU that was originally listed as a boarding house but is now a single family dwelling unit. Your FS gives you permission to give the case a final code.</li> </ul>	
22	<b>ALL MILITARY</b>	The tablet automatically assigns this code if during screening all DU members are found to be United States military personnel on active duty. Persons on active duty in the military are not eligible for NSDUH. Be sure to enter the verification information on the tablet as prompted.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You are visiting SDUs on a military base and discover both residents of an SDU are on active duty in the United States military.</li> </ul>	
25	<b>NO ELIGIBLE MEMBERS</b>	When all DU members listed on the screening roster are changed to ineligible status, the tablet automatically assigns this code at the end of the screening. It is not available for you to assign in the tablet's ROC. Enter the verification information on the tablet.
	<i>Examples:</i> <ul style="list-style-type: none"> <li>You are about to finish a screening early in the quarter when the screening respondent tells you they are moving in 2 weeks and will not live in the house for most of the quarter. Mark all listed household members as ineligible, then the tablet assigns this code. Be sure to explain the situation in the ROC comments.</li> <li>While completing a screening roster towards the end of the quarter, the screening respondent indicates he is on active duty in the military and his only housemate just moved in last week so did not reside in the unit for most of the quarter. Both residents are ineligible, so the tablet assigns code 25. Be sure to explain the situation in the ROC comments.</li> </ul>	
26	<b>RESPONDENT (R) IN DU LESS THAN 1/2 QUARTER</b>	This code is automatically assigned by the tablet during the screening when no one in the DU will live there (or has lived there) for most of the time during the three months of the quarter. This code should only be used when speaking with a resident of the DU, otherwise see code 13. Enter verification information on the tablet.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You determine through screening in a college dorm that the three residents of the SDU are college students who will be living at their parents' homes for most of the quarter.</li> </ul>	
29	<b>LISTING ERROR</b>	<p>If you encounter an SDU that should not have been listed during the Counting and Listing phase, check with your FS who may check with RTI's Sampling Department, if needed. Possible situations include:</p> <ul style="list-style-type: none"> <li>DUs listed outside the segment boundaries.</li> <li>Invisible DUs (e.g., a fourth unit in a 3-unit structure).</li> <li>DUs listed twice on the original List of DUs.</li> <li>GQUs that are institutions and therefore ineligible.</li> </ul> <p>Assign this code <b>once your FS has approved</b>. Document the situation in the ROC comments.</p>

FINAL SCREENING CODES: SDUs That Are Ineligible for the Study		
Result Code	Result Code Description	Use This Code in This Situation
	<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>The fourth unit in a multi-unit structure is an SDU. You locate the structure and realize there are only three units. You confirm with the manager there have always only been three units. The SDU does not exist, meaning the unit was originally listed in error.</li> <li>The person completing counting and listing went one street too far, so the SDU is out of the segment boundaries. Confirm this by a thorough investigation in the area using the maps and segment materials, then discuss it with your FS.</li> <li>A corner store has only one apartment above the store. While the business itself was not listed, the apartment was listed using the front street address and was listed again using the side street address, which is the main entrance for the unit. Both addresses are selected DUs. You verify the situation with the business owners and the resident of the apartment. You then check with your FS to discuss which case to screen and which to code as a 29.</li> <li>You visit a group quarters structure with 6 selected units and meet with the manager to determine the accuracy of the listing. During the conversation, you realize the facility is actually an institution since medical and psychiatric care are provided for the residents. You discuss the situation with your FS, who approves the code for each selected GQU and reminds you to enter "Ineligible – Institution" in the ROC for each case.</li> </ul>	
FINAL SCREENING CODES: Screening Not Obtained		
Result Code	Result Code Description	Use This Code in This Situation
11	<b>NO ONE AT DU - REPEATED</b>	If repeated visits at different times of the day and days of the week have failed, use this code <b>once your FS has given approval</b> . (There must have been at least 5 prior ROCs entered before assigning this code.)
	<p><i>Example:</i></p> <ul style="list-style-type: none"> <li>It is the 10th week of the quarter. You have visited an SDU 10 times and have never found anyone home. You are certain someone lives in the SDU because the house is furnished, the electric meter is running every time you are there, and the lawn is cut every week. You have not been able to find a neighbor willing to give you any information about the SDU. Your FS gives you permission to give the case a final code.</li> </ul>	
12	<b>SCREENING RESPONDENT (SR) UNAVAILABLE - REPEATED</b>	If repeated visits at different times of the day and days of the week have failed, use this code <b>once your FS has given approval</b> . (There must have been at least 5 prior ROCs entered before assigning this code.)
	<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>It is the 11th week of the quarter. You have visited an SDU six times, but have never found an adult resident to do the screening. Your FS gives you permission to give the case a final code.</li> </ul>	
14	<b>FINAL INCAPABLE</b>	This code should be used rarely. However, if no one at the unit is able to respond meaningfully to the screening questions, use this code <b>once your FS has given approval</b> . When prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one that is most limiting to participation. Document the situation in the ROC comments
	<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>You visit an SDU and discover the only resident of the SDU does not understand your screening questions, but it is obvious the person speaks and understands English. You revisit the SDU the following week and find the resident still cannot understand your questions. Being sensitive to the situation, you have checked with neighbors to see if someone else lives there who can answer your questions. The neighbors indicate the resident is mentally impaired. Your FS has given you permission to give the case a final code.</li> <li>Caretaker says the resident is mentally or physically incapable of responding to the questions. The caretaker is not a resident.</li> </ul>	

FINAL SCREENING CODES: SDUs That Are Ineligible for the Study		
Result Code	Result Code Description	Use This Code in This Situation
15	<b>FINAL LANGUAGE BARRIER (SPANISH)</b>	If there isn't a translator, use this code <b>once your FS has given approval</b> .
	<i>Example:</i> <ul style="list-style-type: none"> <li>All residents of an SDU speak Spanish only. It is week 10 of the quarter, and there are no bilingual FIs available to work the case. Your FS has given you permission to give the case a final code.</li> </ul>	
16	<b>FINAL LANGUAGE BARRIER (OTHER)</b>	If there isn't a translator, use this code <b>once your FS has given approval</b> .
	<i>Example:</i> <ul style="list-style-type: none"> <li>You have visited an SDU five times. You have never found anyone home who speaks a language you can understand, nor can you find a translator. Your FS gives you permission to give the case a final code.</li> </ul>	
17	<b>FINAL REFUSAL</b>	If all attempts to convert the refusal have been unsuccessful and <b>your FS gives approval</b> , use this code. The tablet will then prompt you to enter a refusal reason. Be sure to make accurate notes about the situation.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You got a refusal from a resident at an SDU. A refusal letter was sent from RTI. You revisited the SDU after the letter was sent and the resident threatened to call the police. Your FS gave you permission to give the case a final code.</li> </ul>	
21	<b>DENIED ACCESS</b>	If after many attempts you are <b>UNEQUIVOCALLY</b> denied access to the door of the SDU, use this code <b>once your FS has given approval</b> .
	<i>Example:</i> <ul style="list-style-type: none"> <li>You attempt to gain access to an SDU in an apartment building but are unable to get past the door person. Your FS has attempted contact with the building owners, RTI has sent packages to the on-site managers and building owners, but neither the manager nor the owners will give you permission to enter the building. Your FS has given you permission to give the case a final code.</li> </ul>	
23	<b>FINAL OTHER-SPECIFY</b>	Use this code for all cases that do not fit any of the above categories. Be sure you have fully described the situation to your FS, and he/she <b>has given approval</b> to use this code. Be sure to document the circumstances. The tablet also prompts you to choose the applicable sub-category for the situation from the following list: <ul style="list-style-type: none"> <li>– Added in error</li> <li>– Safety issue</li> <li>– GQU is institution (GQU screenings only)</li> <li>– Something else, Specify</li> </ul> <p>Note: Technically, a GQU found to be an institution is a listing error and should be finalized using code 29. However, some FIs incorrectly use the 'other' code, so having the "GQU is institution" sub-category available helps RTI staff who must re-classify the case.</p>
	<i>Example:</i> <ul style="list-style-type: none"> <li>You go through the process and add a missed DU. After it is added, you discover the unit WAS originally listed, so it should not have been added. You discuss the situation with your FS and obtain approval to use code 23. Describe the situation in the ROC comments. From the list of sub-categories, choose "Added in Error."</li> </ul>	

FINAL SCREENING CODES: Screening Completed		
Result Code	Result Code Description	Use This Code in This Situation
30	<b>NO ONE SELECTED</b>	The tablet automatically assigns this code at the end of the screening when a resident of the dwelling unit has provided the screening information, but no one listed on the roster was selected for the interview. Enter the verification information when prompted.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You complete a screening and no one is selected for an interview.</li> </ul>	
31	<b>ONE PERSON SELECTED</b>	The tablet automatically assigns this code at the end of the screening when one DU member is selected to be interviewed. Next you add another call record and enter the interview result code for the interview case (including details of parental permission obtained if a youth was selected).
	<i>Example:</i> <ul style="list-style-type: none"> <li>You complete a screening and one person is selected for an interview.</li> </ul>	
32	<b>TWO PERSONS SELECTED</b>	The tablet automatically assigns this code at the end of the screening when two DU members are selected to be interviewed. Next, add another call record for each interview and enter the appropriate interview result code for each case (including details of parental permission obtained if a youth was selected).
	<i>Example:</i> <ul style="list-style-type: none"> <li>You complete a screening and two residents are selected for an interview.</li> </ul>	

### 9.2.3 Pending Interview Result Codes

For a final screening code of 31 (one person selected) or 32 (two persons selected), you must assign interview result codes for each person. For details on entering Interview Call Records on the tablet, refer to **Section 6.6.1**. Always remember to enter the appropriate pending or final interview code to document the result for the interview as of the time of screening along with each follow-up contact.

Pending codes are assigned when the case is not yet complete. Explanations of when to use a particular code, and what action to take to resolve the situation so the case can be completed, are as follows:

PENDING INTERVIEW CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
50	<b>APPOINTMENT FOR INTERVIEW</b>	You have spoken with the <b>interview respondent</b> and have set a time to conduct the interview.	<ul style="list-style-type: none"> <li>Note the appointment in the tablet's ROC (include important details and permission information for youths) and in your personal calendar and/or the tablet calendar. Complete an appointment card to leave at the household.</li> </ul>
	<i>Example:</i> <ul style="list-style-type: none"> <li>The selected respondent is at home, but cannot complete the interview at that time. You make an appointment to complete the interview the following afternoon.</li> </ul>		

PENDING INTERVIEW CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
51	<b>NO ONE AT DU</b>	No one is at the DU.	<ul style="list-style-type: none"> <li>Plan another call, making sure to visit at a different time of day or another day of the week.</li> <li>Try contacting the unit on the same day of the week or same time of day when the screening was completed.</li> <li>Ask a neighbor when would be a good time to catch someone at home. Record any information in the ROC.</li> </ul>
	<i>Example:</i> <ul style="list-style-type: none"> <li>Last week following screening the selected respondent was not at home (code 52). You revisit the SDU at the time suggested by the screening respondent and no one is at home.</li> </ul>		
52	<b>RESPONDENT UNAVAILABLE</b>	Someone is at the SDU but not the selected interview respondent. OR The selected respondent is at the SDU but unavailable at that time (due to being busy, needing to leave, etc.) and does not provide a firm appointment time.	<ul style="list-style-type: none"> <li>Try to determine a good time to return when the respondent will be at home. Ask the household member/respondent, and record any information in the ROC comments, about possible times to contact the respondent (include important details and permission information for youths).</li> <li>Plan another visit at a different time of day or another day of the week.</li> </ul>
	<i>Examples:</i> <ul style="list-style-type: none"> <li>At the conclusion of screening, you discover the selected respondent is not at home.</li> <li>You return for a scheduled appointment with a young mother only to find her children are ill.</li> <li>At the conclusion of screening, the SR is selected for an interview. She is busy and cannot complete the interview now. She must leave for work without setting an appointment time. She is not refusing, but cannot complete it at that time.</li> <li>A youth is selected for the interview, but is not at home. After obtaining parental permission, the parent tells you to come back tomorrow at 4pm to interview the youth. Since you did not speak with the selected youth, enter a code 52. Make notes about who gave permission, etc.</li> </ul>		
53	<b>PENDING BREAKOFF (PARTIAL INTERVIEW)</b>	You have started the interview and the respondent you are interviewing either refuses to allow you to complete the interviewing process or cannot complete the interview at that time.	<ul style="list-style-type: none"> <li>If the breakoff is friendly, schedule a convenient time for the respondent to complete the interview. Enter the ROC for the breakoff and record information about the appointment in the ROC. Enter one additional ROC for the appointment with the appropriate pending code.</li> <li>If the breakoff is not friendly, tactfully try to persuade the respondent to continue. See <b>Chapter 5</b> for ideas on overcoming refusals and obtaining participation. <b>Section 7.5</b> discusses how to answer questions about the interview.</li> <li>DO NOT antagonize the respondent. Leave the door open for you or someone else to attempt to convert the refusal and complete the case. This decision is made by your FS.</li> <li>Make notes in the ROC comments while the incident is still fresh in your mind. Recording what happened helps you and your FS decide how to handle the case, and helps any other FI who may be assigned to complete the case.</li> </ul>
	<i>Example:</i> <ul style="list-style-type: none"> <li>Halfway through an interview, the respondent says he must be at work in 10 minutes. He tells you to please leave right away.</li> </ul>		

PENDING INTERVIEW CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
54	<b>PENDING INCAPABLE</b>	The respondent is unable to meaningfully answer the questions. Examples of mental incapability are respondents with pronounced intellectual disability, autism, or who are intoxicated. Also, physical incapability due to serious illness, deafness, or severe speech disorders may qualify.	<ul style="list-style-type: none"> <li>• Remaining sensitive, try to determine if the limitation is temporary (as in illness or intoxication). If so, return at a more convenient time.</li> <li>• If the limitation is not temporary, discuss the situation with your FS. Always attempt the interview unless it is absolutely clear that the respondent cannot be interviewed.</li> <li>• Describe the situation fully in the ROC and when prompted indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present indicate the one that is most limiting to participation.</li> </ul>
55	<b>PENDING LANGUAGE BARRIER (SPANISH)</b>	The respondent speaks Spanish and does not speak English well enough to complete the interview.	<ul style="list-style-type: none"> <li>• Talk with your FS about transferring the case to a bilingual FI. Unlike screening, there can be <b>NO translators for an interview.</b></li> </ul>
56	<b>PENDING LANGUAGE BARRIER (OTHER)</b>	The screening respondent speaks a language other than English or Spanish, and does not speak English well enough to complete the interview.	<ul style="list-style-type: none"> <li>• Talk with your FS. Unlike screening, there can be <b>NO translators used for the interview.</b></li> <li>• When prompted, record the language.</li> </ul>
57	<b>PENDING REFUSAL</b>	This code is for adult respondents and youth respondents who refuse to complete the interview. If a parent refuses to give permission for a youth, use code 58 Parental Refusal, whether or not the youth is willing to be interviewed. If a parent or other household member refuses to allow you to interview another selected adult (such as a spouse or an adult child) use this code and mark "Gatekeeper" as the reason on the tablet Refusal Report. Specify who the gatekeeper is in the Refusal Report comments.	<ul style="list-style-type: none"> <li>• Tactfully try to persuade the respondent to participate. See <b>Chapter 5</b> for information about overcoming refusals and obtaining participation. <b>Section 7.5</b> discusses how to respond to questions about the interview.</li> <li>• <b>DO NOT</b> antagonize the respondent. Leave the door open for you or someone else to attempt to convert the refusal and complete the case. Your FS makes this decision.</li> <li>• Make notes in the tablet Refusal Report while the incident is still fresh in your mind. Recording what happened helps you and your FS decide how to handle the case and also helps any other FI assigned to complete the case.</li> </ul>

PENDING INTERVIEW CODES			
Result Code	Result Code Description	Use This Code When...	Follow Up Actions to Take
57	<p><i>Examples:</i></p> <ul style="list-style-type: none"> <li><i>The selected respondent refuses to complete the interview.</i></li> <li><i>The selected respondent is a 20 year-old who lives with his parents. The father refuses to allow you to interview the 20 year-old. Since the respondent is not 12-17, this becomes a gatekeeper situation with the father refusing for the respondent. Choose the Gatekeeper reason on the tablet Refusal Report and note the father was the gatekeeper.</i></li> <li><i>A 15 year-old respondent refuses to participate, even though the mother gave permission.</i></li> </ul>		
58	<b>PENDING PARENTAL REFUSAL FOR AGE 12-17</b>	The parent refuses to allow you to interview the selected youth.	<ul style="list-style-type: none"> <li>Tactfully try to persuade the parent to give you permission to talk with and interview the youth. <b>Section 7.5.3</b> discusses dealing with parental concerns. DO NOT antagonize the parent.</li> <li>Make any necessary notes in the tablet Refusal Report and discuss this with your FS. A special refusal letter may be sent to the parent.</li> </ul>
	<p><i>Example:</i></p> <ul style="list-style-type: none"> <li><i>The selected respondent is a 14 year-old female. Her father, the screening respondent, refuses to let you interview the daughter.</i></li> </ul>		
59	<b>PENDING OTHER - SPECIFY</b>	The situation you encounter does not fit into any of the above categories.	<ul style="list-style-type: none"> <li>Describe the situation in the ROC comments, and discuss with your FS how to handle the case.</li> <li>After entering the code 59, the necessary comments, and then committing the ROC, a list of possible sub-categories appears. Select the category most closely describing the situation. Choices include: <ul style="list-style-type: none"> <li>R moved</li> <li>R under age 12</li> <li>R in military</li> <li>R rostered in error</li> <li>R deceased</li> <li>Interviewed wrong person</li> <li>Selected wrong line</li> <li>Safety issue</li> <li>Controlled access</li> <li>Need to discuss with FS</li> <li>Something else, Specify</li> </ul> </li> </ul>
	<p><i>Example:</i></p> <ul style="list-style-type: none"> <li><i>You revisit the SDU a week after screening and discover the selected respondent has moved across the country. You have not discussed the situation with your FS. From the list of sub-categories, choose "R moved."</i></li> </ul>		

## 9.2.4 Final Interview Result Codes

Final interview result codes indicate the case is finished—either because the interview was successfully completed OR because you were unable to obtain an interview. For noninterviews, be sure you have completed all suggested, relevant steps described in the pending codes section before asking your FS for approval to assign a final code. Consult with your FS for any additional strategies. If all of these attempts fail, your FS must agree the case is complete and approve your use of a final noninterview code. The following list describes the final interview codes.

FINAL INTERVIEW CODES		
Result Code	Result Code Description	Use This Code in This Situation
70	<b>INTERVIEW COMPLETE</b>	The respondent has completed the interview. This is the BEST result code and is the desired result for all selected interviews.
	<i>Example:</i> <ul style="list-style-type: none"> <li>You complete an interview with a respondent.</li> </ul>	
71	<b>NO ONE AT DU-REPEATED</b>	Given the importance of each and every interview, we expect diligence in pursuing selected household members. However, if your repeated attempts at different times of the day and days of the week fail and your FS agrees, then use this code.
	<i>Example:</i> <ul style="list-style-type: none"> <li>It is the last day of the quarter. You revisit an SDU where you completed screening several weeks prior. Since completing screening, you have not been able to find anyone at home. Your FS has given you permission to give the case a final code.</li> </ul>	
72	<b>RESPONDENT UNAVAILABLE - REPEATED</b>	We hope with persistence this code will be used rarely. However, there may be situations in which the respondent is simply not available to complete the interview, out of the country or institutionalized (hospital, etc.), and will not be returning before the end of the data collection quarter. For respondents who move and cannot be contacted at the new address, use code 79, not 72.
	<i>Examples:</i> <ul style="list-style-type: none"> <li>The selected respondent was a member of the household at the time of the screening, but was incarcerated and will not be returning home before the end of the quarter.</li> <li>You went back to the household at least four times and even though others were home, the respondent was never home.</li> <li>It is the last day of the quarter. You have visited an SDU many times since screening, spoken to residents of the SDU other than the selected respondent, and attempted to get an appointment for an interview with the selected respondent, but have never found the selected respondent at home. Your FS has given you permission to give the case a final code.</li> <li>It is the last day of the quarter. You have visited an SDU many times since screening and even though the respondent was often home and seemed as though she'd like to do the interview, she was very busy or leaving and could not complete the interview at that time. She never provided a firm appointment time.</li> </ul>	
73	<b>FINAL BREAKOFF – (PARTIAL INTERVIEW)</b>	You have started the interview and the respondent you are interviewing either refuses to allow you to complete the interviewing process or cannot complete the interview. Your FS must approve the use of this code.
	<i>Example:</i> <ul style="list-style-type: none"> <li>There are two days left in the quarter. You began the interview three weeks ago. You have attempted to complete the interview several times but have never been able to find the selected respondent at home. Your FS gives you permission to give the case a final code.</li> </ul>	

FINAL INTERVIEW CODES		
Result Code	Result Code Description	Use This Code in This Situation
74	<b>FINAL INCAPABLE</b>	If the respondent is physically or mentally unable to respond meaningfully to the interview questions, your FS will approve the use of this code. When prompted, indicate whether the respondent is physically or mentally incapable to the best of your knowledge. If both limitations are present, indicate the one most limiting to participation and include comments in the ROCs to document the situation.
	<i>Example:</i> <ul style="list-style-type: none"> <li>The selected respondent has severe Alzheimer's Disease. The respondent does not seem capable of completing the interview. You discuss the situation with your FS who gives you permission to give the case a final code.</li> </ul>	
75	<b>FINAL LANGUAGE BARRIER (SPANISH)</b>	Use this code if the case cannot be completed because of a Spanish language barrier and a bilingual FI was not available to complete the case. Your FS must give approval.
	<i>Example:</i> <ul style="list-style-type: none"> <li>It is the last week of the quarter. During screening at an SDU four weeks ago, you discovered the selected respondent speaks only Spanish. Even though you reported it right away, your FS has not been able to get a bilingual FI and has given you permission to give the case a final code.</li> </ul>	
76	<b>FINAL LANGUAGE BARRIER (OTHER)</b>	Use this code for any interviews not completed due to a language barrier other than Spanish. We do not certify FIs to conduct the interview in other languages. Be sure to specify the language when prompted. Your FS must give approval.
	<i>Example:</i> <ul style="list-style-type: none"> <li>The respondent speaks only Chinese. Your FS gives you permission to give the case a final code.</li> </ul>	
77	<b>FINAL REFUSAL</b>	If all attempts to convert an adult, youth, or gatekeeper refusal are unsuccessful, your FS will approve the use of this code. Indicate the reason for the refusal in the tablet Refusal Report. For a parental refusal for a youth, use code 78.
	<i>Example:</i> <ul style="list-style-type: none"> <li>Following screening, the selected respondent refused to complete the interview. After discussion with your FS, you revisited the SDU and the respondent still refused to complete the interview. Your FS gives you permission to give the case a final code.</li> </ul>	
78	<b>FINAL PARENTAL REFUSAL FOR AGE 12-17</b>	If all attempts to persuade the parent or guardian to allow you to interview the youth are unsuccessful, your FS will approve the use of this code. Be sure to complete the tablet Refusal Report.
	<i>Example:</i> <ul style="list-style-type: none"> <li>It is the last week of the quarter. One month ago another FI in your area screened an SDU in which one interview respondent was chosen. Despite several attempts, the first FI was unable to convince either parent of the 12 year-old to allow the youth to complete the interview. Your FS transfers the case to you. You also fail to gain permission from either parent for the youth to do the interview. Your FS gives you permission to give the case a final code.</li> </ul>	
79	<b>FINAL OTHER - SPECIFY</b>	Use this code only for cases not fitting any of the other categories, such as the selected respondent is under age 12 or in the military. Also use this code for respondents who move and cannot be contacted at the new address. Carefully consider if another result code applies, since each case with a code 79 must be reviewed by RTI staff. Talk with your FS for approval to assign this code. Be sure to fully describe the situation in the ROC comments and then, as with a code 59, choose the applicable sub-category from the list on the tablet screen.
	<i>Example:</i> <ul style="list-style-type: none"> <li>The selected respondent is not at home at the time of screening. When you revisit the SDU you are told the selected respondent does not actually live at the SDU but only visits occasionally. You discuss the situation with your FS, and he/she gives you permission to give the case a final code. From the list of sub-categories, choose "R rostered in error."</li> </ul>	

## 9.2.5 Recording Comments

The comments area of the ROC gives you space to record important details about the situation.

Comments should be:

- **Informative** – record appointment dates/times, best times to return, who you talked to, or, if no adult was home, record which cars were in the driveway. In the case of a youth selected for an interview, record details about permission granted and by whom. Also, remember to include notes describing unusual situations, such as why a screening roster member was made ineligible, or if there was a discrepancy between an age provided by the screening and interview respondents or for the other examples listed below.

Examples of situations requiring ROC comments (list is not all inclusive):

- Use of a translator for the screening questions, and their relationship to the householder or screening respondent
  - Screening or interview breakoffs
  - Roster discrepancies between the screening and interview, especially age and gender discrepancies for interview respondents
  - Respondent impairments or difficulties which may result in deviation from standard protocol (e.g. deafness, blindness, etc.)
  - Reasons a screening or interview respondent was made ineligible (e.g. military, moved, deceased, incarcerated, under age 12, etc.)
  - Youth interviews – detail who gave permission to speak with youth, who gave permission to interview youth and which adult was present during the interview.
  - Use of a screening respondent who was not listed on the roster (e.g. SR was a resident of the DU at the time of screening but will not live there most of the quarter)
  - Screening or interviews completed at the wrong DU or incorrect Case ID
- **Helpful** – note relevant information for you to use in preparing to return or when discussing the case with your FS. If a case gets transferred to another FI, the notes are **very important** to the new FI to understand what has happened.
  - **Concise** – Explain your comments directly, leaving out unnecessary words or information. Your comments must be easily understood by you, your FS, other FIs, and project managers. [Exhibit 9.1](#) lists suggested standard abbreviations for ROCs.

Examples of good ROCs:

- CB after 7:00 PM
- 2:30 Sat [DATE] appt
- W M 15ish said parents home after 8:00
- Hisp F 60s refused, send SPAN letter

When entering ROCs, only include relevant information. For example, there is no need to enter “No one home” for a code 01—the result code already provides that information. Also, keep your comments appropriate and nonjudgmental (do not include names or negative descriptions of respondents and/or their property). Never include anything you would not want the resident to see; **ALWAYS remain professional.**

## Exhibit 9.1 ROC Abbreviations

### PROJECT ABBREVIATIONS

<b>R</b>	respondent (for the interview)
<b>SR</b>	screening respondent
<b>FI</b>	field interviewer
<b>Q&amp;A</b>	Q&A brochure
<b>DU</b>	dwelling unit

### STANDARD ABBREVIATIONS

<b>days of the week</b>	(with 3 letters)
<b>F</b>	female
<b>M</b>	male
<b>B</b>	black
<b>W</b>	white
<b>Hisp</b>	Hispanic
<b>SPAN</b>	Spanish
<b>INFO</b>	information
<b>REF</b>	refused

### SUGGESTED HELPFUL ABBREVIATIONS

<b>CB</b>	call back (or come back)
<b>APPT</b>	appointment
<b>AM</b>	morning
<b>AFTRN</b>	afternoon
<b>PM</b>	evening
<b>NGHBR</b>	neighbor
<b>GTKPR</b>	gatekeeper
<b>WKND</b>	weekend

### 9.3 Transmissions from the Field

Each day you work, transmit screening and Record of Calls data from the tablet and any interview data from your laptop to RTI. Project staff closely monitor all daily transmissions and production data reports. Occasionally, your FS may request you transmit on a certain day even if you did not work. For details about transmitting, see *Chapter 6* of the *FI Computer Manual*.

### 9.4 Conference Call with Field Supervisor

Another crucial way work is documented is in your required regularly scheduled conference call with your FS. During your call, you will review the status of your assignment. Your FS will schedule a set time with you for your call. Be prepared and ready at your assigned time. Your FS has many conferences scheduled and needs to start each call on time to maintain the schedule. Be considerate of your FS and your fellow FIs. If you cannot make a scheduled conference, contact your FS as soon as the conflict arises to see about rescheduling the call.

As with your other NSDUH tasks, preparation helps ensure your calls go smoothly and cover all relevant topics. During your call, discuss any needed materials. Be prepared by inventorying your supplies PRIOR to the call.

The next few sections cover types of issues you need to discuss with your FS. After reading these explanations, carefully review the summary conference call checklist in [Exhibit 9.2](#).

#### 9.4.1 Status of All Cases

During your call, you will discuss production up through the day before your call. Have your tablet on the **Select Case** screen to view the current status of your cases. Each evening after all transmissions have occurred, individual reports using tablet ROC information are generated and posted to the secure project management website. Your FS can view your work history on any specific case, which is the same information you have on your tablet. While the two of you view the same detailed information, you can discuss your experiences in the field, plans for converting refusal cases, ways to improve data quality, production issues, etc.

#### 9.4.2 Noninterview/Refusal Cases

Discuss all potential noninterviews with your FS. Use the “Sort” option on the **Select Case** screen to easily find all cases with particular result codes (see *Section 6.4.2*). For example, if you encountered a neighborhood with screening language barriers, sort by the code (05 or 06) to see all affected cases. For other situations, such as controlled access issues, sort appropriately and use the notes entered in the ROC and in the Other, Specify fields to discuss the case with your FS. Use the Call Distribution feature to review the timing of your visits (see *Section 6.18*).

For refusals, refer to the Refusal Report and comments as you discuss each situation and the possible circumstances that resulted in the refusal (see [Exhibit 5.7](#) for refusal reason codes). Letters can be sent for refusals with identified, non-situational reasons (see [Section 5.6](#)). Once a letter has been sent, you can see that from the ROC screen by touching **Functions**, then **View Letters**.

During the call, you and your FS can decide the best follow-up approaches for refusals, which may include changing the time of day you visit the household, transferring the case to another FI with different characteristics, etc. After the case has been discussed in detail, he/she will recommend appropriate follow-up action.

### **9.4.3 Problems Encountered During the Week**

Give your FS details about problems you have encountered and special circumstances you expect. Be prepared with a list to ensure all problems/questions are addressed. Discuss strategies for dealing with potential problem areas or cases. Discuss any technical problems with your equipment.

### **9.4.4 Problems with Quality of Work**

Discuss with your FS any questions or doubts you have concerning your understanding of project materials or any procedures. In turn, your FS will bring to your attention any problems identified while reviewing or verifying your work. Remember, falsification in any form is not tolerated.

### **9.4.5 Production, Time and Expense Information**

Your FS will want to review your T&E information. Discussions may also include reviewing expectations for hours worked and expenses charged as related to team and project budgets.

### **9.4.6 Production in Relation to Project Goals**

To properly plan your workload, you must have a clear picture of the scope of your assignment, team and project deadlines and production goals. Your FS will help you establish individual production goals that satisfy your needs and meet necessary team and project deadlines. It is beneficial to both you and RTI if you are realistic and straightforward about your goals and expectations when discussing your planned workload with your FS.

### **9.4.7 Plan for Next Week's Workload**

You are expected to share your schedule and your work plan for the upcoming week's workload with your FS. He/she will help refine your plan to meet specific individual and project goals. As discussed in [Chapter 4](#), planning your work in advance increases efficiency and decreases costs. Therefore, when planning the next week's workload, discuss the location of your cases, anticipated travel problems, unusual expenses you might incur, anticipated scheduling problems, and material re-supply requests.

Be aware that NSDUH policy requires any overtime charges be approved in advance. If you anticipate working more than 40 hours in a given workweek, you must have prior FS approval.

## **Exhibit 9.2 Conference Call Checklist**

### **ADVANCE PREPARATIONS**

- Inventory materials and supplies, making a list of all items needed to ensure adequate supplies for the upcoming week
- Prepare a list of any questions or problems to discuss with your FS regarding challenging cases, procedural issues, or equipment concerns
- Know your schedule and work availability for the week; be prepared to discuss any changes to the work plan you provided for the week

### **RIGHT BEFORE THE CALL**

- Have tablet on the Select Case screen
- If requested by your FS, have the laptop on the CAI Manager screen
- Have any lists or other needed items available (for example, if you are having controlled access issues, have your segment materials available)
- Be on time!

### **DURING THE CALL**

- Be open to suggestions and other feedback, striving to learn and improve
- Maintain a professional demeanor, sharing your insights while displaying an understanding of management's perspective

### **OTHER TIPS**

- Use the tablet Sort option on the Select Case screen to easily locate cases by result code
- Use the tablet View option on the Select Case screen to easily locate pending cases, on hold cases, etc.
- Use the tablet Call Distribution feature (Functions, Call Distribution) to see what time periods you have visited a segment or particular SDU, to help in planning return visits (see **Section 6.18**)

## 9.5 Reporting Summary

The following summarizes reporting requirements on NSDUH. If anything is unclear, discuss it with your FS:

### 1. Daily documenting (on days you worked)

- Enter detailed ROC information for each contact at an SDU.
- Complete entries for the day on working copy T&Es by SCA Zone as detailed in your employment materials

### 2. Daily computer transmissions (on days you worked)

- Transmit completed screening data and current ROC events from the tablet
- Transmit interview data for any completed interviews from the laptop

### 3. Weekly reporting

- Submit T&E reports — according to established deadlines (refer to your employment materials)
- Weekly Work Plan
  - Use case management tools on the tablet, including the Call Distribution (see *Section 6.18*), View/Sort Preferences (see *Section 6.4.2*), and ROC entries, and your knowledge of the assigned segment(s) to prepare a work plan for the week
  - Submit your work plan to FS by the established deadline
  - Contact FS if you need to make any changes to your work plan

### 4. Weekly conference call with FS discussion topics:

- Status of assigned cases
- Noninterview/Refusal cases
- Problems encountered during the week, including any equipment problems
- Data quality items
- Feedback on work completed
- Review T&E reports submitted
- Production in relation to project goals
- Plan for next week's workload
- Request supplies if necessary.

### 5. Mail shipments

- On a **weekly** basis, mail to your FS the copies of completed Interview Incentive Receipts.
- Mail completed Quality Control Forms from completed interviews to RTI within 24 hours of the completion of the interview. Use the envelopes provided.

# CHAPTER 9 MAIN IDEAS

## Documenting and Reporting Procedures

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 9-1: The ongoing and accurate reporting of field activities is absolutely vital to this study. There are many ways you provide documentation: ROC, CAI Manager, transmitting data from your tablet and laptop, conference calls, and your submitted T&E reports.
- Page 9-1 – 9-18: The history and results of each contact with a DU are recorded in the tablet's Record of Calls. You will assign a result code, either pending or final, to each entry you make in the ROC and must enter appropriate helpful comments as needed.
- Pg. 9-19 – 9-22: At least once each week, you will have a scheduled telephone or video conference with your FS. Many topics are discussed, including the status of all of your assigned cases, the strategies for completing your cases successfully, the work plan for the upcoming week, your submitted T&E, and any problems or concerns you may have.

## **QUESTIONS TO ASK YOURSELF**

1. What tablet tool must you use to efficiently plan your work taking into account your prior visits?
2. Assign a result code for the following situations.

### Screening Situations

*You approach a house and all residents only speak Polish.*

*At an apartment, the only adult at home is the babysitter.*

*You drive to a house that looks like no one is home—there are no cars in the driveway; you knock on the door and there is no answer.*

### Interviewing Situations

*You make a return visit to the DU, but your interview respondent is not there.*

*A mother does not want you to interview her 16 year-old son.*

*The respondent speaks only Spanish and you are not an RTI-Certified bilingual FI.*

*You set a firm appointment with the selected interview respondent for tonight at 6 PM.*

3. During conference calls with your FS, what materials should you have available?
4. What will you be mailing directly to RTI?
5. What is the time frame for each mailing to RTI?

# 10. QUALITY CONTROL

## 10.1 Introduction

Quality control is important at all stages of the data collection process, but nothing affects the quality of the NSDUH data as much as you. Your ability, preparedness, and commitment to properly performing data collection tasks following all project protocols are the most important components of the overall quality control process. This chapter discusses quality control procedures.

## 10.2 Staff Training and Assessment

### 10.2.1 New-to-Project Training

During the New-to-Project FI training session, project staff present the information necessary to properly perform your job as an interviewer on this study. This includes detailed training on conducting the screening and interview, as well as a review of administrative procedures. An essential part of this training involves your hands-on practice—using the materials and equipment, completing the screening, conducting the interview, and transmitting. By the end of the session, you will have actively practiced the steps involved in being an effective interviewer. Towards the end of training, you will participate in a certification process in which you will demonstrate to trainers you can satisfactorily conduct a NSDUH screening and interview according to project protocol.

To make sure you are learning what you need, project staff and other RTI personnel will monitor your performance throughout the session. They will watch while you conduct practice cases, complete paired exercises, etc. During this time, take advantage of the opportunity to ask any questions you have and to learn from any feedback or suggestions for improvement given by trainers. The purpose of monitoring is two-fold: 1) project staff can evaluate your preparedness and ability to conduct data collection activities in a professional and respectful manner, and 2) you have the chance to make sure you are doing everything properly.

Specific items to be evaluated include:

- explaining the survey and its purpose
- familiarity with the informational materials
- completing the screening process using the tablet
- explaining and obtaining informed consent using the Study Description
- setting up the computer equipment
- administering the NSDUH interview
- reading the questions verbatim
- pacing the questions, probing, and other general presentation skills

- following instructions on the computer screen
- resolving inconsistent information
- using the function keys (entering comments, keying “don’t know,” etc.)
- proper completion of the end of the interview tasks
- recording administrative data
- transmitting information to RTI.

This evaluation helps staff determine how well they have done their job of training you, and how well you have done your job of learning the needed material. Evening practice sessions are available for those needing or wanting additional help during training. Trainers and supervisors may require that certain interviewers attend these labs for practice.

All graduates will be mentored by a veteran FI or FS after training concludes. Some graduates may also receive additional on-the-job training or be required to participate in additional practice sessions with their FS before beginning work.

### **10.2.2 Veteran Training Sessions**

Interviewers who have worked on NSDUH the previous study year are required to participate in a Veteran Training program prior to beginning Quarter 1 data collection. During this training, veteran FIs review results from the past year and changes for the coming year, as well as learn ways to continually improve their performance and enhance their skills as professional interviewers. Veteran FIs will complete a certification at the end of training to demonstrate the ability to satisfactorily conduct a NSDUH screening and interview according to project protocol.

### **10.2.3 Ongoing Training**

Learning continues throughout the year as specially developed materials are used to review procedures with staff to further enhance their understanding of the project procedures. This includes a Screening and Interview Task List, included as [\*Exhibit 10.1\*](#), which summarizes the main tasks of the screening and interviewing process. A copy is available in the Job Aids portion of the Showcard Booklet.

Each quarter, Data Quality Discussion Topics are provided to all FIs to highlight important reminders about protocol and procedures, along with applicable FI Manual references. FSs then review and discuss the topics on conference calls to ensure FI understanding and compliance with these protocols.

Additionally, FSs hold periodic group conference calls on other topics to address regional issues affecting the team and other team needs. These group calls promote individual and team growth and overall excellence on NSDUH.

Ongoing training includes field observations in which you are accompanied by a supervisor or other project staff from RTI or SAMHSA as you work. The purpose of such field observations is to ensure the collection of high quality data for our client. These observations should be viewed as an opportunity to be sure you are following important study protocols. To help you perform your job better, you will receive constructive feedback based on the observer's findings and re-training if needed.

Throughout the year, ongoing training is also made available to you via web-based iLearning courses. iLearning helps to refresh your knowledge about protocols and procedures and enhance your professional development (see *Appendix C*).

Before receiving an assignment, all FIs (both new and veteran) must read and sign a Data Collection Agreement (see [Exhibit 2.3](#)) to conduct all field work in accordance with established project protocols and RTI guidelines for professional behavior.

#### **10.2.4 Assessments**

Periodic assessments of all field staff will determine the level of understanding of project procedures and are completed via iLearning courses. Staff are given the opportunity to correctly answer each assessment question, and those not achieving a passing final score are required to complete additional training. It is vital to pay close attention to all course content (audio and screen text) to successfully pass the assessment. Staff completing the assessment in good standing are then approved to continue working on NSDUH.

### **10.3 Evaluation of Training Programs**

At the close of interviewer training sessions, you may be asked to complete an evaluation to assess the training program and materials, trainers, and training facilities. Your feedback is important, as your evaluation is used to improve preparations for future NSDUH training sessions.

FIs completing the New-to-Project training may provide feedback on the mentoring process to their FS.

## Exhibit 10.1 NSDUH Screening/Interviewing Tasks

Carefully review the below list to be sure you understand how to properly complete each task, referring to the FI Manual section(s) as needed for details.

Global Tasks	Manual
<p><b>Read Verbatim Using the Exact Words Provided</b> Do not skip or change words. Do not add additional words or explanations. Take your time to ensure you read each word.</p>	6.2, 8.2
<p><b>Know the Study</b> Accurately and concisely answer respondent questions about the study and participation.</p>	5.1 – 5.6 7.5
<p><b>Use Materials Correctly</b> Be organized and have materials accessible. Hand required materials as prompted on the screen. Remember to pack the Showcard Booklet, completed QC Form (sealed in the envelope) and Interview Incentive Receipt copies at the end of the interview. Do not ask for any other materials to be returned.</p>	4.6 12.2
<p><b>Protect Respondent Rights</b> Follow ALL informed consent protocols exactly. Treat all information observed/provided confidentially. Treat each person you encounter respectfully, professionally and ethically. Never reveal a respondent's answers to anyone, including the respondent's family members. Resist the temptation to reveal even positive information gleaned from an interview to parents or other household members</p>	2.4 – 2.6 4.10 7.6
<p><b>Perform all Tasks in an Unbiased Manner</b> Work calmly and professionally. Any comments must be neutral and unbiased.</p>	7.2 8.2

Screening Tasks	Manual
<p><b>Use Segment Materials to locate the correct SDU</b></p>	3.4
<p><b>Introduce Yourself and the Study to the Screening Respondent (SR)</b> SR must be an adult (18+) resident of the SDU. Have your FI ID badge visible. Include the 4 points: your name, you represent RTI International, the sponsor is the U.S. Department of Health and Human Services, and mention/offer the Lead Letter.</p>	4.8 4.9
<p><b>Obtain Informed Consent for screening</b> Give the SR a copy of the Study Description to keep, and read the Informed Consent screen verbatim.</p>	4.10
<p><b>Complete the Household Roster</b> Ask the questions verbatim and carefully enter responses. The SR must hear each question read in its entirety one time to hear all options. Subsequently you may accept responses early, <u>only</u> if the SR interrupts. Never assume or code by observation other than gender (<i>with one RARE exception if ethnicity/race refused for Householder – see FI Manual</i>).</p>	6.4
<p><b>Transition to the Interview Smoothly</b> For selected respondent(s), share selection information with SR and interview respondent(s) if available. Ask and be prepared to complete the interview(s) at that time.</p>	7.3 7.4
<p><b>Collect Verification Information (for SDUs with no one selected)</b> Read the text verbatim and enter details accurately.</p>	6.5

## Exhibit 10.1 NSDUH Screening/Interviewing Tasks (continued)

Interview Tasks	Manual
<p><b>Obtain Parental Permission to Speak with Selected Youth</b> PRIOR to talking with youth about the study, read the script available on the tablet Respondent Selection screen to the parent/guardian.</p>	7.4.2
<p><b>Introduce Yourself and the Study to the interview respondent (R)</b> Accurately answer any questions the R may have.</p>	7.4, 7.5
<p><b>Obtain Parental Permission to Interview Selected Youth</b> Read the top box of the youth script from the Showcard Booklet to the parent/guardian. If two youth are selected, read the script twice to obtain separate permission for each youth. Confirm an adult will be at home during the interview.</p>	7.6.2
<p><b>Complete Informed Consent Protocols</b> Read the age appropriate script from the Showcard Booklet verbatim and when prompted give the R a copy of the Study Description to keep (unless the R was the SR and still has a copy available; in all other situations, provide a copy to the R).</p>	7.6
<p><b>Choose an interview location that gives the respondent privacy</b></p>	7.7
<p><b>Set up the Laptop Properly and Efficiently</b> Plug in laptop and headphones, and place fresh covers on the ear pieces in front of R. Turn on laptop and enter password. Enter the QuestID to begin the interview.</p>	7.7.3
<p><b>Ask Questions as Worded; Ask All Questions</b> Allow R time to respond. Do not rush the R or allow R to rush you. Ask all questions even if you think you know the answer. Never assume/code by observation. Probe to ensure accurate/complete responses, particularly for initial answer of don't know.</p>	8.2
<p><b>Use Showcards Properly</b> Turn the Showcard Booklet to the proper card, and give it to the R when instructed on the screen (or lay it on the table for the R). Do not prop up or hold the booklet yourself. Take the booklet back when finished with the question.</p>	8.6
<p><b>Introduce the Laptop to the R</b> Read the introduction screens verbatim. As instructed, first point (with your finger) then read the description. Be sure the R can see the keyboard. Offer the headphones and demonstrate the volume adjustment.</p>	8.7
<p><b>Be Available During the ACASI</b> Assist if the R has questions, but be sure you cannot see the screen. To protect confidentiality and privacy, NEVER read the ACASI questions out loud or allow them to play through the laptop speakers (even if the R thinks it is OK). Prepare the end of interview forms (Interview Incentive Receipt: Case ID ONLY; QC Form: all boxes in the FI portion). Leave the headphones plugged in until the very end of the interview.</p>	8.7
<p><b>Complete the QC Form Process</b> Read the screen text exactly, provide the prepared form and envelope as instructed. R should place the completed QC Form in the envelope and seal before returning it to you. For youth respondents, ask the parent/guardian to complete the form.</p>	8.11.1
<p><b>Complete the Incentive Process</b> Follow the steps on the screen in order (hand cash, mark box, sign and date receipt, give R top copy). Read the text on the screen verbatim. Provide a Q&amp;A Brochure to the R, or the parent/guardian of a youth, reading the screen text. (This is not required if you provided a brochure earlier, such as when explaining the study.)</p>	8.11.2
<p><b>Understand your professionalism and dedication make a difference!</b></p>	7.2

## 10.4 Screening Edits

Due to the sensitive nature of electronic screening, be extra cautious as you enter the information into your tablet. When you complete each roster, you will review the entries with the screening respondent, checking that everything is entered correctly and completely.

Once received at RTI, all electronic screening data are gathered and reviewed by complex computer programs that evaluate the data and check to be sure you are conducting screenings correctly. Feedback on any problems noted during the process is given to your FS to share with you.

## 10.5 Interviewing Edits

Since the majority of the information you collect for NSDUH is entered directly into your laptop computer, edits such as checking skip patterns for missing data are performed automatically during the interview.

All electronic interview files transmitted to RTI are encrypted for security and later reviewed to ensure their quality. Complex programs evaluate the interview data to ensure you are administering the interview correctly. Again, your FS will share any feedback with you.

## 10.6 Screening/Interview Observations

You may be accompanied in the field by an observer as you conduct screenings and/or interviews in your assignment. Project staff from RTI or SAMHSA will join you in person as you visit DUs to observe the screening and interview process. If you are to be observed, your FS will notify you and provide instructions well in advance of the observation date.

## 10.7 Verification

In order to provide continuing feedback on the quality and accuracy of cases to you and to our client, SAMHSA, your work is subject to an intense verification process. RTI is contractually bound to verify the quality and accuracy of field work conducted on NSDUH. All finalized cases are subject to verification, which is generally conducted via telephone. However, RTI also conducts field verifications where a staff member recontacts visited SDUs in person. Inaccurate or substandard work is very costly to the project, so procedures are in place to identify and correct errors.

Falsification, fabrication or distortion of any data collected is unacceptable under any circumstances. **Falsification occurs when an FI compromises the quality of NSDUH screening and/or interview data by knowingly disregarding project protocols or procedures to fabricate screenings and/or interviews.** Consequences, as detailed in the Data Collection Agreement (see [Exhibit 2.3](#)) include reporting the falsification to RTI's Scientific Integrity Committee, immediate termination from the project and any future work with RTI, and suspension from any government-funded research. Additionally, for

substantiated falsification, a formal fraud complaint will be submitted to the U.S. Department of Health and Human Services' Office of Inspector General (OIG) and the interviewer in question could be subject to criminal and/or civil prosecution and thereby face imprisonment, financial penalties or both.

### **10.7.1 Screening Verifications**

Verification contacts are made with a random sample of all completed screenings reported as:

- vacant
- not a primary residence
- not a dwelling unit
- residents there less than ½ of the quarter
- no eligible SDU members
- HU/GQU contains ONLY military personnel
- no one selected for interview.

Refer to **Section 6.5** for details on screening verifications.

### **10.7.2 Interview Verifications**

A random sample of each FI's finalized interview cases are verified with the respondent or, for youth respondents aged 12-17, permission is first obtained from a parent prior to contacting the youth for the actual verification information. Refer to **Section 8.11** for details on interview verifications.

### **10.7.3 Verification Process**

Screening and interview verifications are conducted by RTI's Call Center Services department. Respondents who do not provide a telephone number for verification purposes are contacted by mail. As needed, in-person field verifications may be conducted to follow-up on verification nonresponse and problem situations.

The verification process is a tool for NSDUH staff to monitor not only your performance as an FI but also their performance as project trainers and managers. The information gathered helps staff ensure the data being collected and delivered to our client are of the highest possible quality. You will receive prompt feedback on your performance and will be notified should any problems arise.

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## CHAPTER 10 MAIN IDEAS

### Quality Control

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 10-1: Quality is the backbone of NSDUH and thorough quality control measures are in place at every stage of the data collection process.
- Pg. 10-6: Screenings need to be edited as you are completing them—every piece of information you collect is used in the study analyses. Therefore, every roster should be complete and accurate.
- Pg. 10-6: While administering interviews, the CAI program is continually editing your work for missing data and proper skip patterns and provides immediate feedback if mistakes are found.
- Pg. 10-6: RTI is contractually bound to verify the quality of our field work. All finalized cases are subject to verification.

## **QUESTIONS TO ASK YOURSELF**

1. If falsification is discovered, what consequences does the FI who submitted the fabricated work face?
2. If selected to be observed in the field, who could you be observed by?
3. Ongoing training takes place throughout the year via iLearning courses. Why are these courses important to the quality of the NSDUH data?

## 11. ADMINISTRATIVE PROCEDURES

### 11.1 Introduction

Knowing and following administrative procedures carefully is of paramount importance to the success of this survey. Incorrect administrative information affects the accuracy of reports which impact management decisions. The efforts required to correct errors are costly and time consuming.

Whether you are a veteran FI or brand-new to this study, it is **necessary to understand and follow all administrative procedures**. Read this chapter and your employment materials carefully, refer to them when necessary, and do not hesitate to contact your FS with questions.

### 11.2 Authorization for Expenditures

All project expenses are carefully monitored to control costs and make sure your FS has input into all decisions affecting field work. Before incurring a project-related expense, discuss it with your FS to obtain prior approval. Expenses more than \$25.00 require receipts to be submitted for reimbursement. Expenses made without prior authorization or unnecessary expenses may be denied reimbursement.

### 11.3 Time and Expense (T&E) Reports

All staff must complete and submit Time and Expense (T&E) reports weekly in order to be paid. In addition to serving as your timesheet, the T&E reports give RTI managers a detailed summary of the tasks completed during the one-week period covered and any time and expenses required to complete these tasks. Refer to your employment materials for detailed instructions on T&E reports. You **must** submit complete and accurate T&E reports each week for all work done in order to be paid.

### 11.4 Handling Incentive Advances

You are responsible for giving respondents cash incentives and monitoring your incentive funds on a weekly basis. You will discuss your incentive balances weekly with your FS. As part of the hiring process, you complete an Incentive and Travel Advance Agreement which provides the terms and conditions associated with receiving an advance. Refer to your employment materials for details on receiving and properly accounting for the incentive amounts provided.

NSDUH protocol requires you to provide incentives to **all** respondents from the incentive advance. When in the field working, you **must have sufficient funds with you** to give respondents incentives on the spot. It is a serious violation of project procedures to fail to give the respondent the incentive before leaving the household and is grounds for termination.

## 11.5 Shipping Procedures

Occasionally, your FS or other NSDUH staff may request you ship materials or equipment. For example, you may need to return computer equipment if Technical Support staff directs you to do so. To ensure your shipment is not lost, arrives promptly, and the charge is billed properly, refer to the procedures outlined here and contact your FS with any questions.

When sending materials, place in a package suitable for shipping. Local shipping offices can often provide boxes and envelopes free of charge if needed. Whenever possible, use the NSDUH provided, pre-printed shipping labels to send packages. If you need additional labels or assistance obtaining shipping supplies, contact your FS. When shipping equipment, only use the box and label provided by Technical Support staff.

Properly completed shipping labels are required to ensure correct delivery and billing. Your FS may email you a prefilled label or include one in another shipment. If emailed, print the prefilled label and affix to your package for shipping.

If using a UPS airbill, confirm it is labeled for UPS Next Day Air (see the red section at the top), then follow the steps in [Exhibit 11.1](#) for proper completion. It is important to print clearly to avoid shipping and billing issues. An example of a properly completed UPS airbill is shown in [Exhibit 11.2](#).

### 11.5.1 Proper Handling of Packages

Project materials and equipment are vulnerable to loss or theft during drop off and delivery. Use the following steps to ensure proper delivery and handling of the package.

- Keep a record of the shipment, including the tracking number and any drop-off receipts (if provided). The tracking number may be needed to track the package if it is not delivered.
- Affix the label securely to the package or place the label in the provided plastic pouch (if applicable).

Once ready for shipment, consider the best method for delivering the package to ensure all project materials and equipment remain in “reliable hands” at all times. Always check with your FS if you have questions. Shipments should be dropped off when traveling to or from the field. Options include:

1. If you are not shipping computer equipment, personally leave the package in a secure UPS drop box. Do NOT ask any non-project person to drop off the package for you.
2. Take the package to your local UPS office and hand the package directly to an authorized UPS employee. Do NOT ask any non-project person to deliver the package for you.
3. If you need to make a special trip to ship a package, notify your FS who may arrange for the package to be picked up. A completed UPS airbill at the time of pick up is required; UPS drivers do not provide labels. You MUST hand the package directly to an authorized UPS employee. Do NOT leave the package unattended for pick up or with a family member or other non-project person to give to UPS.

To find the nearest UPS store or drop off location, visit: [ups.com/dropoff](https://www.ups.com/dropoff) .

**Exhibit 11.1 Instructions for Completing an Airbill**

Section #	Instructions	Additional Notes or Explanations
1	<p>Confirm the NSDUH UPS Account Number and Reference Number are preprinted.</p> <p>Enter your name, telephone number, address, and RTI International (in the Company field) as the sender.</p>	<p>The NSDUH UPS Account Number ( ) and “NSDUH SI” text must be entered correctly for RTI to properly process charges.</p> <p>If the Account Number or “NSDUH SI” is NOT preprinted, you MUST enter the text manually.</p> <p>For data security purposes, do NOT add any other information.</p>
2	<p>Enter the name, address, and phone number of the person you are shipping the package to. Enter RTI International in the Company field.</p> <p>If shipping to a residential address check the box for Residential Delivery.</p>	<p>UPS must have street addresses: no PO boxes.</p>
3	<p>Mark the type of package used for the shipment (something MUST be entered here to avoid extra charges from UPS)</p>	<p>UPS letter (envelope) will be used most often when shipping segments. Do not fill the weight or dimensional weight boxes for letter shipments.</p> <p>When using other package types (box, etc.), enter an estimated weight for the shipment.</p>
4	<p>Check the Shipper Release box.</p>	<p>Selecting Shipper Release authorizes UPS to release the package on the first delivery attempt without receiving a signature.</p>
5	<p>Verify the box “Next Day Air” is marked (unless otherwise instructed by your FS or RTI staff).</p>	<p>This must be marked for RTI to receive the correct, discounted rate.</p>
6	<p>Leave the Optional Services fields blank (unless otherwise instructed by your FS or RTI staff).</p>	
7	<p>Leave the Additional Handling fields blank.</p>	
8	<p>Ensure the box “Bill Third Party” is marked.</p>	
9	<p>Confirm the NSDUH UPS Account Number and address are preprinted.</p>	<p>NSDUH UPS Account Number:            Company’s Name: <b>RTI International</b>            Address: <b>5265 Capital Blvd. Raleigh, NC 27616</b></p> <p>If the Account Number or address is NOT preprinted, you MUST enter the text manually.</p>
10	<p>Sign and date the airbill</p>	

Exhibit 11.2 Completed Airbill

**UPS Next Day Air®**  
**UPS Worldwide Express®**  
**Shipping Document**

See instructions on back. Visit [UPS.com](http://UPS.com) or call 1-800-PICK-UPS® (800-742-5877) for additional information and Tariff/Terms and Conditions.

**TRACKING NUMBER** 1Z 302 4E6 22 1000 000 2

**SHIPMENT FROM**  
SHIPPER'S UPS ACCOUNT NO.  
**NSDUH SI**

REFERENCE NUMBER

NAME **Rachel Interviewer** TELEPHONE **(111) 234-4569**

COMPANY

**RTI International**

STREET ADDRESS  
**1234 Main Street**

CITY AND STATE  
**Raleigh, NC** ZIP CODE **27529**

**EXTREMELY URGENT DELIVERY TO**

NAME **Fran Smith** TELEPHONE **(515) 333-1212**

COMPANY

**RTI International**

STREET ADDRESS  
**400 Jones Street**

CITY AND STATE (INCLUDE COUNTRY IF INTERNATIONAL)  
**Durham, NC**

DEPT./FLR.  Residential Delivery

ZIP CODE **27604**



This form not needed with UPS Internet Shipping at UPS.com

**3** WEIGHT  LIR  PAK  WEIGHT DIMENSIONAL WEIGHT (If Applicable) LARGE PACKAGE

**4** SHIPPER RELEASE

**5** TYPE OF SERVICE  NEXT DAY AIR  EXPRESS (INTL)  DOCUMENTS ONLY  SATURDAY PICKUP  SATURDAY DELIVERY  CUSTOMS VALUE  DEclared VALUE FOR CARRIAGE  AMOUNT  C.O.D.  AMOUNT

**6** OPTIONAL SERVICES  An Additional Handling Charge applies for certain items. See instructions.

**7** ADDITIONAL HANDLING CHARGE

**8** TOTAL CHARGES \$

**9** RECEIVER'S/THIRD PARTY'S UPS ACCT. NO. OR MAJOR CREDIT CARD NO. EXPIRATION DATE

3 0 2 4 E 6 /

THIRD PARTY'S COMPANY NAME  
**RTI INTERNATIONAL**

STREET ADDRESS  
**5265 CAPITAL BLVD**

CITY AND STATE  
**RALEIGH NC** ZIP CODE **27616**

**10** SHIPPER'S SIGNATURE **X Rachel Interviewer** DATE OF SHIPMENT **10/22/XX**

SHIPPER AUTHORIZES UPS TO ACT AS FORWARDING AGENT FOR EXPORT CONTAINER AND CUSTOMS PURPOSES. SHIPPER WARRANTS THAT THESE COMMODITIES, TECHNOLOGIES OR SERVICES ARE EXPORTED FROM THE UNITED STATES, WERE EXPORTED IN ACCORDANCE WITH THE EXPORT ADMINISTRATION REGULATIONS. DIVERSION CONTRARY TO USE IS PROHIBITED.

All shipments are subject to the terms contained in the UPS Tariff/Terms and Conditions of Service, which are available at [UPS.com](http://UPS.com) and local UPS offices.

0101911202609 6/14 RRD **UPS COPY**

## 11.6 Travel Assignments

If your FS identifies you as an interviewer who may work on a travel assignment, you should **carefully** read the Travel Assignment Information shown in [Exhibit 11.3](#). This document provides details on NSDUH travel assignments and tips for a successful trip.

FIs on travel status must pay attention to many more administrative details. Be organized and keep careful records in order to complete accurate and timely reports.

While on travel, you may be issued a travel advance. Just like the incentive advance, you are responsible for monitoring all funds issued for the purpose of travel as described in your employment materials.

## Exhibit 11.3 Travel Assignment Information

Before you agree to a travel assignment, review the information below to familiarize yourself with NSDUH travel assignment procedures and expectations.

### 1. Selection

When the decision is made to have a field interviewer (FI) work in an area on a travel assignment, selection of the FI best suited for the work is based on:

- characteristics of the region(s) and segment(s);
- productivity, response rates, cost consciousness, and versatility of available FIs; and
- geographic proximity and length of stay necessary.

### 2. Contact

Your field supervisor (FS) will initially discuss the travel assignment with you, describing the destination and the expected work. If you are offered a potential assignment and are interested, you will then be contacted by either your FS, another FS (if you would be working in a different FS territory), or the regional supervisor (RS).

During this contact you will receive specific information about the size and makeup of the assignment, the length of stay, and travel and lodging arrangements. Based on this conversation, you and the FS or RS can make a decision on whether you should accept the assignment. Your FS will be notified of the decision and informed of any plans made.

If you accept a travel assignment, you will be provided any needed cash advance, airline tickets, and car rental reservations. In most cases, these arrangements will be made by the local FS overseeing the travel assignment. You also will be advised on how to return any cash remaining from your advance at the end of your assignment.

### 3. Expectations

The use of FIs on travel assignments is expensive. In order to obtain maximum results in return for the costs incurred, it is critical that trips are productive. If you agree to a travel assignment, you must do your best to meet the following expectations:

- Employ the most economical means of travel to your destination.

If you live close enough to the assignment, you will be asked (in most cases) to drive to the location. If a flight is necessary, the local FS will arrange for the purchase of the least costly, available fare. Airline tickets and car rental expenses will be billed directly to the project.

If you prefer to drive instead of fly (and if this is practical), your allowable mileage and hourly charges may not exceed the cost of the flight, your mileage to and from the airport, and the hours it would take to depart from your home and fly to the assigned location.

- Find adequate, comfortable, and reasonable lodging at or below the government rate.

In many areas, lodging can be found at prices below the allowable government rate. The local FS will provide you with reasonable options. It is important to choose from the options offered, and not change locations without FS approval.

**Under no circumstances may lodging be booked for more than the nightly Government Per Diem rate for the location.** To find the per diem rate, visit the GSA website (<http://www.gsa.gov/portal/content/104877>) and enter the zip code of the hotel.

- Occasionally, a 'government rate' may be quoted by the hotel, but it is not the official GSA rate. NSDUH must use the government rate from the GSA website.

### **Exhibit 11.3 Travel Assignment Information (continued)**

- The rate must be for the entire trip, including weekend days (e.g. If the government rate is not honored on weekends, alternate lodging must be used for part or all of the trip). The rate cannot be averaged for the week. Each night must be at or below the government rate.
- **Before checking-in to the hotel, the local FS must approve the lodging and rate.**
- When checking-out, review the receipt to ensure the correct rate was charged. If not, work with the hotel to correct the rate before leaving the location.
- If there is no lodging available at or below the government rate, talk with the local FS as the dates of the trip may need to be adjusted.

If you know of alternative lodging in close proximity to your assignment that does not exceed the cost of the options offered, you and the FS may agree on this alternate lodging. However, the final decision rests with the local FS. The actual cost of lodging, not the maximum allowable rate, will be reimbursed. Expenses incurred while staying with friends or relatives are not reimbursable.

- Follow regulations regarding allowable meals and incidental expenses.

When on a travel assignment, you will be reimbursed at the government Meals & Incidental Expense (M&IE) allowance rate for your travel location. This daily per diem covers all meals, tips, and other incidental expenses. No receipts are necessary. On travel days, you will receive the allowable travel day amount, set at 75% of the per diem rate for the location. The local FS will communicate the appropriate amounts to you.

- Work at the height of your ability following instructions provided by the local FS.

It is especially important to give your best effort and complete your assignment efficiently with the best possible results. You are expected to work each day and make maximum use of your time. You should expect to work long days, following the specific work plan provided by the local FS.

If you happen to take an assignment in an area where you would like to sightsee or visit friends, arrange to do this **after** completing your assignment. If there is no additional cost to the project, the FS will arrange your return flight to accommodate the additional days.

- Be prepared to report frequently on your progress.

Depending on the situation, the local FS may need frequent, even daily, reports on your progress. You must be prepared to meet this requirement and respond to the FS's requests for information.

- Be prepared to transfer/trade off segments, cases, etc., as needed.

You may be working with other traveling FIs or local FIs, trading cases, teaming with another FI in the same segments, or transferring cases for refusal conversion. Your initial briefing with the local FS should prepare you for such eventualities, but you are expected to cooperate with the FS and, if directed, with other FIs in the area to achieve the best results in the least amount of time.

- Keep careful and detailed notes for completing administrative tasks.

It is especially important to keep accurate, detailed, daily notes. Carefully track all expenses and note all work completed. When your travel assignment is over, complete your administrative tasks in a timely fashion.

- Obtain FS approval prior to charging overtime.

If enough work exists that you can be productive and work more than 40 hours, the local FS may authorize some overtime if those hours would lead to early completion and less time in the location. Prior approval is required for any overtime charged. You must alert the FS far enough in advance so a decision can be made regarding allowable hours. Furthermore, understand that a travel assignment does not guarantee a schedule of 8 hours a day or 40 hours a week; your time may be more or less depending on the circumstances.

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# CHAPTER 11 MAIN IDEAS

## Administrative Procedures

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 11-1: Learning and correctly following administrative procedures is crucial to save you and the project time and money.
- Pg. 11-1: In order to be paid, you must submit complete and accurate T&E reports each week.

## **QUESTIONS TO ASK YOURSELF**

1. It is not necessary to obtain FS approval for project-related purchases below \$25.00 (True or False)
2. What time period is covered by each T&E report?
3. It is considered a serious violation of project procedures to fail to give the respondent the incentive before leaving the household. (True or False)
4. When sending a package, you can leave the package with a family member until it is picked up by an authorized employee. (True or False)

## 12. SUMMARY

### 12.1 Introduction

This manual breaks down the specific tasks of NSDUH interviewers and explains the parts individually. This chapter ties together all the pieces to give you a realistic idea of the tasks in your workday and workweek.

### 12.2 Materials and Equipment

Many different materials and supplies have been mentioned throughout the manual. This list specifies when each will be used, so you will know whether or not you will need a particular item at home or in the field.

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#### NSDUH SUPPLIES NEEDED FOR FIELD WORK

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- Your FI ID badge
  - Tablet in its protective case, stylus
  - Segment materials including copies of all listing materials and Selected DU List as well as the List of Added Dwelling Units
  - Extra copies of the Lead Letter (English/Spanish)
  - Study Description (English/Spanish)
  - SAMHSA FI Authorization Letter (English and Spanish (for bilingual FIs))
  - Q&A Brochures (English and Spanish (for bilingual FIs))
  - NSDUH information materials, including:
    - NSDUH Highlights
    - News Articles Handout
    - Who Uses the Data?
    - Short Reports
    - RTI/SAMHSA Fact Sheet
    - National Results Report
  - Summary of the NSDUH Questionnaire (English and Spanish (for bilingual FIs))
  - Showcard Booklet
  - Laptop including power cords, headphones, disposable headphone covers, and extension cord
  - Laptop bag
  - Security key (on lanyard with FI ID badge)
  - Quality Control Forms (English/Spanish)
  - Envelopes for mailing Quality Control Forms
  - Certificates of Participation
  - Interview Incentive Receipts (English and Spanish (for bilingual FIs))
  - Incentive cash
  - Pens (Tip: Have 2 pens available at each interview).
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### **ADDITIONAL MATERIALS FOR FIELD REFERENCE/USE**

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- Your NSDUH Field Interviewer Manual (hardcopy and/or electronic version on laptop/tablet)
- Your NSDUH Field Interviewer Computer Manual (hardcopy and/or electronic version on tablet)
- “Sorry I Missed You” Cards
- Appointment Cards (English and Spanish (for bilingual FIs))
- Spanish Cards
- Other Language Introduction Card
- Door Person Letter (if applicable for segment)
- Door Person Card (if applicable for segment)
- Tablet car charger and USB cable for recharging
- Segment Access Documentation Forms
- Added Group Quarters Listing Forms (if applicable for segment).

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### **AT-HOME MATERIALS**

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- Addressed Lead Letters
- Pre-stamped window envelopes (for mailing Lead Letters)
- Envelopes for mailing receipts/administrative forms (as needed) to your FS
- Tablet AC adapter and USB cable
- Pens, paper
- Administrative Forms
- NSDUH Materials and Inventory Tracking Form.

This list of NSDUH equipment and materials is lengthy and includes everything you need to conduct NSDUH screenings and interviews according to project protocol. If you feel the need for an additional item or handout, forward your suggestion to your FS who can pass it along to the appropriate staff for consideration. You are NEVER permitted to create your own materials or alter materials already provided in any way (i.e. marking on materials anywhere other than specified areas). To collect accurate data for this highly important national study, all interviewers must conduct their work in the same way using approved materials.

### 12.3 Organizing Your Materials

Keeping your materials organized, accessible and in good condition can be a challenge. You will develop an individual system for the various forms and pieces of equipment. Keep an accurate inventory of your materials on hand by storing them in one location and performing a weekly inventory check (using the NSDUH Materials and Inventory Tracking Form) to avoid stockpiling or running out of materials. Other suggestions for neatly organizing your materials are:

- An expandable wallet with divided sections. Each section holds an item, so you can find the appropriate one quickly.
- A crate with hanging folders in the trunk of your car. FIs often use this approach, and pull one of each of the needed items before approaching the door.
- Files in the laptop bag. There is room in the case for various materials or for an expandable wallet.
- Laptop bag (provided). This allows you to keep all your equipment and materials with you to be organized and readily accessible, while offering protection to your computer equipment.
- Consider safety issues when carrying the incentive cash. Keep the cash in a safe place and only carry the amount needed for the day.

### 12.4 Tasks for a Typical Day

Each day you work, there are specific tasks to perform. Other activities vary depending on what you encounter in the field. Here is a general summary of what to expect each day.

1. Develop/review your plan of action, including travel routes to/from segments. Use the tablet ROCs, Call Distribution, View and Sort features, and calendar to help in planning when to visit:
  - a. Change the View to Pending Cases to see what cases need work. Further utilize other Pending Case Views and Sorts to help determine casework priority and develop your work plan (see *Section 6.4.2*).
  - b. Use the Call Distribution feature to review days and times of past visits (see *Section 6.18*).
  - c. For cases with ‘no one home’ codes, note any unvisited time periods.
  - d. Check the ROC comments for notes about best times to visit.
  - e. Group the cases by the determined best times/days.
  - f. Plan your work! Work your plan!
2. Gather/organize your materials and supplies, then double check that you have everything.
3. Check the date and time on the tablet. If needed, transmit to correct the tablet settings (or if you cannot transmit, see *Section 3.3.1* of the *FI Computer Manual* for instructions).
4. Travel to your segment.

5. Work! You will encounter a variety of situations:

**Can't Screen** (examples include no one home, vacant units, etc.)

- choose case from Select Case then advance to Study Introduction
- approach unit and discover you can't screen
- obtain verification information as needed (codes 10, 13, 18)
- complete ROC to document the situation.

**Screen Only** (codes 22, 25, 26, 30)

- choose case from Select Case then advance to Study Introduction
- approach unit and obtain participation of eligible SR
- complete screening
- obtain verification information
- complete ROC.

**Screen, then Interview** (codes 31, 32, then 70)

- choose case from Select Case then advance to Study Introduction
- approach unit and obtain participation of eligible SR
- complete screening
- obtain participation/Informed Consent(s) of selected respondent(s) (and permission of parent/guardian if youth)
- prepare laptop and enter QuestID from tablet
- conduct interview(s) with available selected respondent(s)
- perform end of interview steps by carefully following the instructions on the screen for the Quality Control Form and incentive procedures, providing a Q&A Brochure to each adult respondent and the parent/guardian of each youth respondent, if not done earlier
- complete ROC in tablet for screening and interview with each selected respondent
- mail completed Quality Control Form(s) to RTI within 24 hours.

**Screen, make Appointment for Interview** (codes 31, 32 then 50)

- choose case from Select Case then advance to Study Introduction
- approach unit and obtain participation of eligible SR
- complete screening
- complete ROC for screening
- complete ROC for each person selected, recording interview appointment time
- prepare appointment card for selected person(s).

**Screen, document Other Pending Interview** (codes 31, 32 then code 51- 59)

- choose case from Select Case then advance to Study Introduction

- approach unit and obtain participation of eligible SR
- complete screening
- complete ROC for screening
- complete ROC for each person selected, recording details about the situation and any suggested days and times to try again.

**Interview only at Appointment Time** (or other follow-up contact)

- choose case from Select Case, review selections and roster
  - obtain participation/Informed Consent of selected respondent(s) (and permission of parent/guardian if youth)
  - prepare laptop and enter QuestID from tablet
  - conduct interview(s) with available selected respondent(s)
  - perform end of interview steps by carefully following the instructions on the screen for the Quality Control Form and incentive procedures, providing a Q&A Brochure to each adult respondent and the parent/guardian of each youth respondent, if not done earlier
  - complete ROC(s) in tablet
  - mail completed Quality Control Form(s) to RTI within 24 hours.
6. Exit the screening program to the **Home** screen, travel home, mail any completed Quality Control Forms on the way.
  7. Review cases—any to place on hold?
  8. Prepare for, then transmit from the tablet.
  9. Prepare for, then transmit from the laptop (if any interviews were conducted that day).
  10. Check the NSDUH FI Website, and read project messages, if any (see **Section 3.4** of the *FI Computer Manual* for instructions).
  11. Turn the laptop and tablet off completely, then plug in both to charge.
  12. Complete administrative entries reflecting the day’s work by SCA Zone, including hours, miles, expenses, incentives given, and Case ID numbers of completed interviews and any breakoffs.

Leave both computers plugged in to recharge the batteries.

## 12.5 Weekly Tasks

Each week there are specific tasks to complete:

- Inventory your project materials and supplies, requesting more as needed. Do this before your conference call with your FS so you can tell him/her at that time if you need anything.
- Participate in FS conference call(s).
- Provide FS with your weekly work plan (deadline provided by FS) and alert FS if/when there are any changes to the plan.
- Accurately complete all weekly administrative tasks by the established deadlines.
- Mail Interview Incentive Receipts from completed interviews to your FS.

## 12.6 Periodic Tasks

At the beginning of every quarter, you must carefully review your segment materials and assignment for that quarter. Remaining tasks are performed on an as-needed basis:

- Prepare and mail lead letters.
- Participate in periodic group conference calls (telephone or video) as requested by your FS.
- Call your FS to discuss refusal cases and for help convincing reluctant respondents.
- Call your FS for computer questions. Upon FS referral, call Technical Support.
- Talk with your FS about any controlled access situations in your assignment area.
- Call your FS for help with adding missed units or other sampling concerns.
- Talk with your FS about removing completed cases from tablet.
- Transmit as requested by FS.
- Perform the update process on the laptop.
- Resolve questions/problems.

## 12.7 End of Quarter Tasks

- Assign a final code to any cases not completed, **with FS approval**.
- Transmit from your tablet and laptop to send all data to RTI.
- Confirm with your FS that final transmissions are complete and all data are successfully received at RTI. Confirm you are totally finished with this quarter's work and your FS is not planning to give you any other work for the remainder of the quarter.
- Your FS will enter information into the RTI system indicating you have transmitted all cases and are not going to work anymore this quarter.
- Follow the detailed instructions from your FS to transmit from your tablet to clear the completed cases and pick up the next quarter's work.
- Handle segment materials as directed by your FS.
- Pat yourself on the back!
- Take a deep breath and prepare for the next quarter!

## 12.8 Continual Tasks

Keep the following goals in mind as you work:

- ALWAYS do your best.
- Behave professionally, treating all contacts and respondents with respect.
- Complete all assigned work in a timely manner.
- Work efficiently and effectively to minimize costs.
- Conduct all work with quality in mind, following the project procedures detailed in this manual.

# CHAPTER 12 MAIN IDEAS

## Summary

To assist your learning process, read the following summary of main ideas in this chapter. On the next page are several questions to ask yourself, along with space to record your answers and other notes if you would like. These questions will help you identify those areas you understand and pinpoint the areas where you would benefit from re-reading a particular section.

- Pg. 12-3: NSDUH field interviewers must learn to effectively manage their supplies, including their computer equipment and extensive materials. You will have to develop an organizational system that works best for you.
- Pgs. 12-3 – 12-6: Your work on this study can be broken down into daily, weekly, periodic (as needed), and end of the quarter tasks. It is extremely beneficial to use these task lists to productively organize (and understand!) your work load.

## **QUESTIONS TO ASK YOURSELF**

1. List two materials or equipment items you will NOT be taking into the field with you.
2. Before traveling to your segment to begin work, what should you always do?
3. List at least three tasks that you should do every night after you have finished working.

## **Appendix A**

### **Accessing the Manuals from the Laptop**

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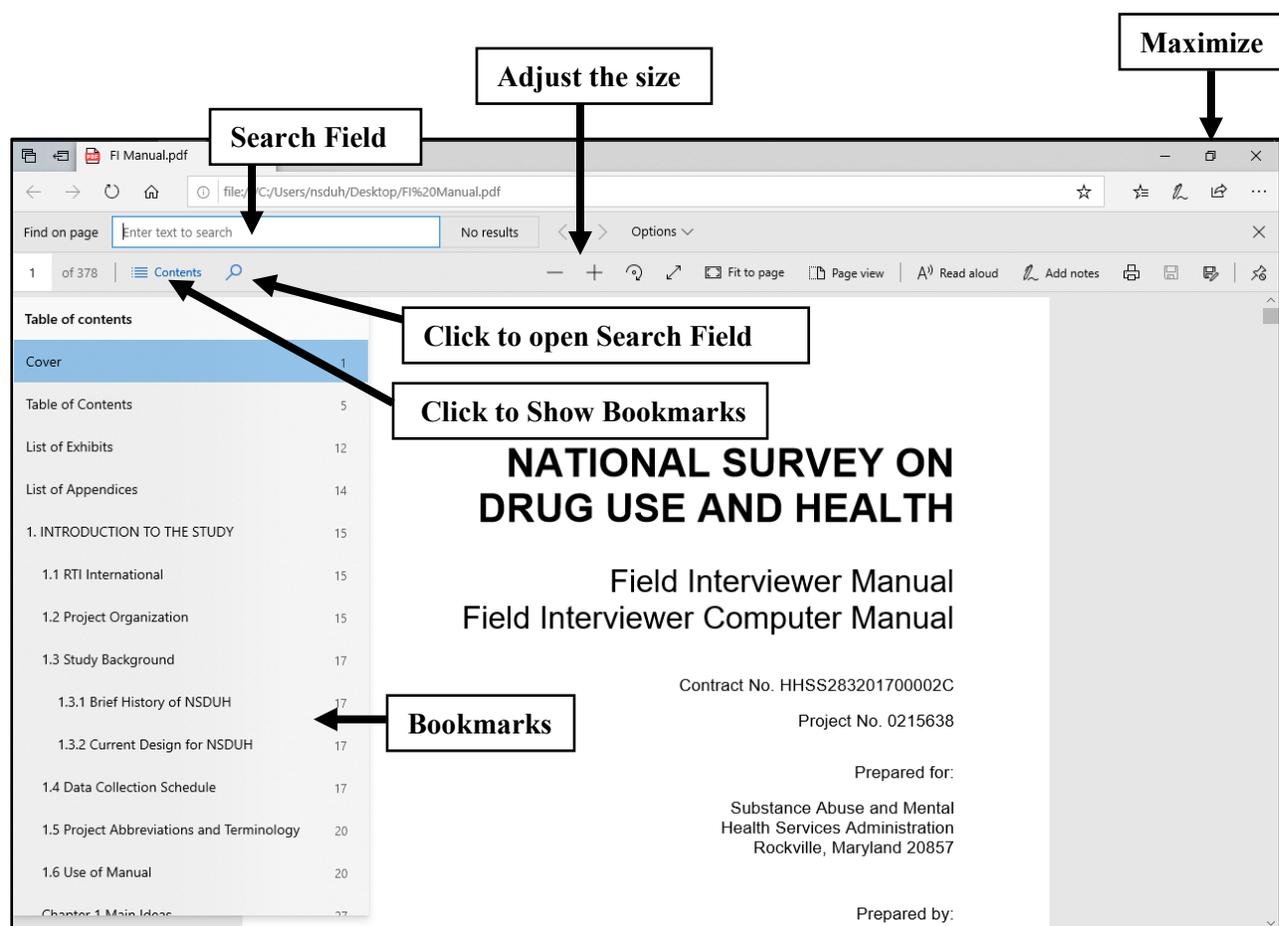
## Accessing the Manuals From the Laptop

Copies of the NSDUH FI manual and FI computer manual can be accessed from the laptop desktop. Please keep in mind the manuals should never be shown to respondents—either intentionally or by accident. This is for your reference ONLY. The manuals are also available via the FI Assistant on the tablet (see *Section 6.10.1*).

To access the manuals:

1. Log on to the computer and advance to the desktop screen.
2. On the desktop, double-click the ‘FI Manual’ or ‘FI Computer Manual’ icon located at the bottom of the screen.
3. Once the manual opens, if needed, click the “Maximize” button located to the left of the “X” in the upper right hand of the screen (shown with a ) to display the manual full screen.
4. Use the Touchpad to maneuver through the manual pages. The most commonly used navigation functions are described in [Exhibit A.1](#).

Click “Contents” to display the bookmarks on the left side.



## Exhibit A.1 FI Manual Navigation Functions

Function	Instructions
Adjust the view or size of the page	<ul style="list-style-type: none"> <li>Click the + or – to increase or decrease the size (located toward the top of the screen).</li> </ul>
To page through a chapter or section	<ul style="list-style-type: none"> <li>Press the Page Up or Page Down buttons on the keyboard; OR</li> <li>Use the Touchpad to move the scroll bar on the right up and down as needed to advance through the pages. (Scroll bar appears when the cursor hovers over the area); OR</li> <li>Enter the page number you want to advance to (to the left of the 'Contents' button).</li> </ul>
View a specific section or chapter	<ul style="list-style-type: none"> <li>Click 'Contents' to display the Bookmarks. Located on the left hand side of the screen, bookmarks represent the various chapters and sections in the manual.</li> <li>To advance to a particular chapter or section, click the bookmark for that item.</li> </ul>
Search for a word or phrase	<ul style="list-style-type: none"> <li>Click the magnifying glass icon and a Search box appears on the left side of the screen. Type the word(s) you want to search for and press <b>Enter</b>.</li> <li>The manual advances to the first occurrence of the search word. To advance to the next occurrence, press <b>Enter</b> or click the <b>right arrow</b> to the right of the search box. To go back to a previous occurrence, click the <b>left arrow</b>.</li> </ul>
To exit the FI Manual	<ul style="list-style-type: none"> <li>Click the "X" in the upper right corner of the document.</li> <li>This takes you to the desktop where you can perform other tasks or shut down the laptop.</li> </ul>

## **Appendix B**

### **Refusal/Controlled Access Letters**

*This page intentionally left blank.*

## Screening—Too Busy/No Time (S1)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a professional interviewer from RTI International contacted someone in your household about participating in the National Survey on Drug Use and Health\*. We are sorry we called on your household at an inconvenient time.

The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

**If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

As you know, this nation is made up of all kinds of people, and therefore we are talking to all kinds of people—including busy people like you. If we only interviewed people who have a lot of free time, then active people like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

---

\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [<https://nsduhweb.rti.org>] [<https://www.samhsa.gov>] [<https://www.rti.org>]

## Screening—Surveys /Government Too Invasive (S2)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a professional interviewer from RTI International contacted someone in your household about participating in the National Survey on Drug Use and Health\*. We understand that some concerns were expressed about participating in the study.

Your privacy is important—RTI International does not provide individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your full name. To further protect your privacy, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

**If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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## Screening—Needs Clarification (S3)

[DATE]

Resident

[STREET ADDRESS]

[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a professional interviewer from RTI International contacted someone in your household about participating in the National Survey on Drug Use and Health\*. We understand that some concerns were expressed about participating in the study.

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your full name. To further protect privacy, the interview is set up so that the participant records most answers—the interviewer never sees or hears them.

**If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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## Screening—"Nothing in it for me"/Uncooperative (S4)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a professional interviewer from RTI International contacted someone in your household about participating in the National Survey on Drug Use and Health\*. We understand that at the time, there was no interest in participating. We are writing to ask you to reconsider.

The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

**If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you can make a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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## Screening—Spouse/HH Member will not allow Participation (S5)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Dear Resident,

Recently, a professional interviewer from RTI International contacted someone in your household about participating in the National Survey on Drug Use and Health\*. We understand that some concerns were expressed about participating in the study.

Your privacy is important—RTI International does not provide individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for anyone’s full name. To further protect privacy, the interview is set up so that the participant records most answers—the interviewer never sees or hears them.

If you agree to participate, the option to refuse to answer any question is always available. The initial questions for the study only take about five minutes and ask for very general information. After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview.

**If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment at a time that would be convenient for you.

Thank you for your time. I hope you’ll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Adult]—Too Busy/No Time (I1)

[DATE]

Resident

[STREET ADDRESS]

[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident:

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some reluctance about spending the time necessary to do the interview.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

As you know, this nation is made up of all kinds of people, and so we are interviewing all kinds of people—including busy people like you. If we only interviewed people who have a lot of free time, then active people like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

We combine your answers with the answers of thousands of other people and report them only as overall numbers. The interview is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will have a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Adult]—Surveys/Government Too Invasive (I2)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some concerns about participating in the study.

We understand that your privacy is important—RTI International does not provide individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your name.

To further protect your privacy, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

We also appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will have a direct impact on important health-related decisions.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Adult]—Needs Clarification (I3)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some concerns about the study.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your answers are combined with the answers of thousands of other people and reported only as overall numbers. To further protect your privacy, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Adult]—"Nothing in it for me"/Uncooperative (I4)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you were not interested in participating. We are writing this letter to ask you to reconsider.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Without adequate levels of participation, these health-related decisions might not be sufficiently informed, and money for programs that might be needed in your state or community could be directed elsewhere.

A limited number of people were randomly selected to represent the population of the U.S.—and you were one of them! You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Adult]—Spouse/HH Member will not allow Participation (I5)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some concerns about participating in the study.

We understand that your privacy is important—RTI International does not provide individual answers to anyone. Your answers are combined with the answers of thousands of other people and reported only as overall numbers. Also, we never ask for your name.

To further protect your privacy, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment at a time that would be convenient for you.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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[<https://www.samhsa.gov>] [<https://www.rti.org>]

## Interview [Teen]—Too Busy/No Time (M1)

[DATE]

Resident

[STREET ADDRESS]

[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some reluctance about spending the time necessary to do the interview.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

We understand that you have many demands on your time. However, if we only interviewed teenagers who had lots of free time, then active teenagers like yourself would not be fairly represented. Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is precious to you. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Please know that your privacy will be protected. Your answers cannot be viewed by anyone—including your parents. We combine your answers with the answers of thousands of other teenagers and report them only as overall numbers. Also, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them. The option to refuse to answer any question is always available.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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M1



### Interview [Teen]—Needs Clarification (M3)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some concerns about the study.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will have a direct impact on important health-related decisions.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

Please know that your privacy will be protected. Your answers cannot be viewed by anyone—including your parents. We combine your answers with the answers of thousands of other teenagers and report them only as overall numbers. Also, the interview is set up so that you record most of your own answers—the interviewer never sees or hears them. The option to refuse to answer any question is always available.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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## Interview [Teen]—"Nothing in it for me"/Uncooperative (M4)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. At the time, you were not interested in participating. We are writing this letter to ask you to reconsider.

A limited number of teenagers were randomly selected to represent the teenage population of the U.S.—and you were one of them! You cannot be replaced. If you choose not to participate, your experiences and views—as well as a thousand other teenagers you represent—will not be heard.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so informed decisions about policies and programs can be made. By participating in this study, you will have a direct impact on important health-related decisions.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.** Also, your interviewer can give you a Certificate of Participation—some participants have been able to go to their schools with this certificate and get class or community service credit for participating.

Thank you for your time. I hope you'll reconsider and choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions, contact me toll-free at [TOLL FREE NUMBER].

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\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [<https://nsduhweb.rti.org>] [<https://www.samhsa.gov>] [<https://www.rti.org>]

## Interview [Parent]—Parent /HH Member will not allow Participation (M5)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIPCODE]

Attention: Parent/Guardian of [age] year old [gender] resident

Dear Resident,

Recently, a professional interviewer from RTI International asked permission for a young person in your home to participate in the National Survey on Drug Use and Health\*. At the time, you expressed some reluctance about allowing your teen to participate in the study. We are writing this letter to ask you to reconsider.

A limited number of teens were randomly selected to represent the teenage population of the U.S. Your teenager cannot be replaced. It is not necessary that he or she know anything about drugs, alcohol, or tobacco to participate in the study. In fact, in order to know how many teens are using various substances, we need to hear from the thousands of teens who are not.

If you allow your teen to participate, the option is always available for him or her to answer “I don’t know” or to refuse any question.

We understand that the privacy of your family is important—RTI International does not provide individual answers to anyone. Your teen’s answers would be combined with the answers of thousands of other teens and reported only as overall totals.

We also appreciate that your teen’s time is precious. **As a token of our appreciation, your teen will receive \$30 in cash at the end of the interview.** Also, the interviewer can give your teen a Certificate of Participation—some participants have been able to go to their schools with this certificate and get class or community service credit for participating.

Thank you for your time. I hope you’ll reconsider and choose to let your teenager participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [<https://nsduhweb.rti.org>] [<https://www.samhsa.gov>] [<https://www.rti.org>]

M5

## Screening—Unable to Contact (U1)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIP]

Dear Resident:

Recently, a professional interviewer from RTI International attempted to contact your household about participating in the National Survey on Drug Use and Health\*. So far, we have been unable to speak with anyone in your household. Your participation in this study is important—this is why we continue to try and reach you.

Some people are cautious about speaking to a stranger at the door, and that is understandable. Please know that we are not soliciting or selling anything—we have just a few general questions to ask that will take about five minutes.

It is not necessary for you to let the interviewer into your home—you can answer the questions right at your door.

After these initial questions, someone in your household may or may not be randomly selected to participate in the full interview. **If anyone is selected for the full interview, that person will receive \$30 in cash at the end of the interview as a token of appreciation.**

A limited number of households were randomly selected to represent the population of the U.S. Your household cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not have a chance to be heard.

Thank you for your time. I hope you'll choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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U1

## Interview—Unable to Contact (U2)

[DATE]

Resident  
[STREET ADDRESS]  
[CITY], [STATE] [ZIP]

Attention: [age] year old [gender] resident

Dear Resident:

Recently, a professional interviewer from RTI International came to your home and asked you to participate in the National Survey on Drug Use and Health\*. You were not available to complete the interview at that time and have been away or unavailable each time the interviewer has returned since then. Your participation in this study is important—this is why we continue to try and reach you.

A limited number of people were randomly selected to represent the population of the U.S. You cannot be replaced. If you choose not to participate, your experiences and views—as well as the thousands of people you represent—will not be heard.

Your answers are combined with the answers of thousands of other people and reported only as overall numbers. To further protect your privacy, the study is set up so that you record most of your own answers—the interviewer never sees or hears them. Also, the option to refuse to answer any question is always available.

The results of this study help state and national policymakers learn about health issues—including information on alcohol, tobacco, and drug use, non-use, and opinions—so that informed decisions about policies and programs can be made. By participating in this study, you will make a direct impact on important health-related decisions.

Your participation is critical to the success of this study, and we are happy to make a special effort to work around your schedule so that you can be included. Please feel free to call me to set up an appointment time—the interview can also be conducted at a neutral location such as a public library.

We appreciate that your time is precious. **As a token of our appreciation, you will receive \$30 in cash at the end of the interview.**

Thank you for your time. I hope you'll choose to participate in this extremely important and beneficial study.

Sincerely,

[FS NAME], Field Supervisor

P.S. Please, if you have any questions or would like to set up an appointment, contact me toll-free at [TOLL FREE NUMBER].

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\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [<https://nsduhweb.rti.org>] [<https://www.samhsa.gov>] [<https://www.rti.org>]

## Call Me—Adult Interview

[DATE]

Resident  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Attention: [age] year old [gender] resident

Dear Resident:

Recently, an interviewer from RTI International came to your residence and asked you to participate in the National Survey on Drug Use and Health\*. **Your participation in this study is important—which is why we continue to try to reach you.**

We want to provide you with additional information about the study:

- A limited number of individuals—including you—were randomly chosen to take part. No other person can take your place in this study.
- As a token of our appreciation, you will receive \$30 in cash at the end of the interview.
- Any information you provide is kept completely confidential and will be used only for statistical purposes.
- For more details about the study, please visit <https://nsduhweb.rti.org>.

We are happy to work around your schedule so that you can be included. Please contact our supervisor for your area to set up an appointment.

Please call:

**[FIRST & LAST NAME]**  
**[PHONE NUMBER] (toll free)**

If our supervisor is not available when you call, please leave your phone number, address and the time you wish to be interviewed. You will receive a call to confirm your appointment.

Thank you for your time. Your call is very important to the success of this study, and I thank you in advance for your cooperation.

Sincerely,

National Field Director

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\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [\[https://nsduhweb.rti.org\]](https://nsduhweb.rti.org)  
[\[https://www.samhsa.gov\]](https://www.samhsa.gov) [\[https://www.rti.org\]](https://www.rti.org)

## Call Me—Interview (Parent of Minor)

[DATE]

Resident  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Attention: Parent of [age] year old [gender] resident

Dear Resident:

Recently, your child was selected to participate in the National Survey on Drug Use and Health\*. **Your child's participation in this study is important—which is why we continue to try to reach you.**

We want to provide you with additional information about the study:

- A limited number of individuals—including your child—were randomly chosen to take part. No other person can take your child's place in this study.
- As a token of our appreciation, your child will receive \$30 in cash at the end of the interview.
- All information provided is kept completely confidential and will be used only for statistical purposes.
- For more details about the study, please visit <https://nsduhweb.rti.org>.

We are happy to work around your family's schedule so that your child can be included. Please contact our supervisor for your area to set up an appointment.

Please call:

[FIRST & LAST NAME]  
[PHONE NUMBER] (toll free)

If our supervisor is not available when you call, please leave your phone number, address and the time you wish your child to be interviewed. You will receive a call to confirm the appointment.

Thank you for your time. Your call is very important to the success of this study, and I thank you in advance for your cooperation.

Sincerely,

National Field Director

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\* The National Survey on Drug Use and Health is conducted by RTI International for the Substance Abuse and Mental Health Services Administration, an agency in the U.S. Department of Health and Human Services. [<https://nsduhweb.rti.org>] [<https://www.samhsa.gov>] [<https://www.rti.org>]

## Call Me—Screening

[DATE]

Resident

[ADDRESS]

[CITY], [STATE] [ZIP]

Dear Resident:

We need your assistance with the National Survey on Drug Use and Health conducted by RTI International for the U.S. Department of Health and Human Services.

A limited number of household addresses—including yours—were randomly chosen to take part in this important study. No other household or person can take your place. Information gathered from this study is used by researchers and local, state and federal health agencies in developing various medical and health-related policies and programs.

Typically, a professional interviewer from RTI International visits each selected residence in person. We have been unable to contact you in this manner, so we are contacting you by mail instead. Your participation in this study is very important or we would not continue to try to reach you.

Since we cannot contact you in person, we ask you to please call our supervisor for your area, to set an appointment for an interviewer to visit your household.

Please call:

**[FIRST & LAST NAME]**

**[PHONE NUMBER] (toll free)**

The interviewer only needs a few minutes of your time to see if someone in your household will be chosen for an interview. Every person who **is chosen and completes the full interview will receive \$30 in cash at the end of the interview as a token of appreciation**. Any information you provide is kept completely confidential and will be used only for statistical purposes.

For more details about the study, please visit <https://nsduhweb.rti.org> .

Your call is extremely important to the success of this study, and I thank you in advance for your cooperation.

Sincerely,

National Field Director

## Controlled Access—College IRB

[DATE]

[NAME], [TITLE]  
[COLLEGE/UNIVERSITY NAME]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [DR./MR./MS.] [NAME]:

Recently one of our interviewers, [FIRST & LAST NAMES], attempted to contact specific [ROOMS/RESIDENCES] on the [COLLEGE/UNIVERSITY NAME] campus that were randomly selected to participate in the National Survey on Drug Use and Health (NSDUH) conducted by RTI International for the U.S. Department of Health and Human Services. So far, [MR./MS.] [LAST NAME] has been unable to [GAIN ACCESS/GAIN FULL ACCESS] to [NAME OF RESIDENCE HALL/STUDENT APTS], and we are asking for your help.

We understand your responsibility to protect the students on campus and want to provide you with additional information about the study:

- We are not selling anything. This is not a marketing survey.
- NSDUH provides valuable national and state-level information about important health-related issues including experiences with and opinions about the use or non-use of alcohol, drugs, and tobacco. For this reason, it is just as important that we talk to people who have not used drugs as it is that we talk to people who have.
- A limited number of [ROOMS/HOUSEHOLDS] were randomly chosen to take part. We do not have any information about the residents other than an address.
- The interviewer only needs a few minutes of the residents' time to see if someone in the [ROOM/HOUSEHOLD] will be asked to participate in an interview. If selected, those completing the interview receive a cash incentive.
- All information provided is kept completely confidential and used for statistical purposes only in compliance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (PL 107-347).
- For more details about the study, please visit <https://nsduhweb.rti.org>.

A current Institutional Review Board (IRB) summary package is included for your review. By helping us access the selected [ROOMS/HOUSEHOLDS] at [COLLEGE/UNIVERSITY NAME], you will make a direct contribution to this important research effort. [FIRST & LAST NAMES], our supervisor in your area, will contact you soon to address any questions, or you may call [HIM/HER] toll free at [TOLL FREE NUMBER].

Your assistance is extremely important, and I thank you in advance for your help.

Sincerely,

National Field Director

## Controlled Access—GQU

[DATE]

[NAME], [TITLE]  
[GQU NAME]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [MR./MS.] [LAST NAME]:

Recently one of our interviewers, [FIRST & LAST NAME], attempted to contact specific [RESIDENCES/UNITS] within your [TYPE OF GQU] that were randomly selected to participate in the National Survey on Drug Use and Health (NSDUH) conducted by RTI International for the U.S. Department of Health and Human Services. So far, [MR./MS.] [LAST NAME] has been unable to [GAIN ACCESS/GAIN FULL ACCESS] to [GQU NAME OR ADDRESS], and we are asking for your help.

We understand your responsibility to protect your residents and want to provide you with additional information about the study:

- We are not selling anything. This is not a marketing survey.
- NSDUH provides valuable national and state-level information about important health-related issues including experiences with and opinions about the use or non-use of alcohol, drugs, and tobacco. For this reason, it is just as important that we talk to people who have not used drugs as it is that we talk to people who have.
- A limited number of addresses were randomly chosen to take part. We do not have any information about the residents other than an address.
- The interviewer only needs a few minutes of the residents' time to see if someone in the [HOUSEHOLD/UNIT] will be asked to participate in an interview. If selected, those completing the interview receive a cash incentive.
- All information provided is kept completely confidential.
- For more details about the study, please visit <https://nsduhweb.rti.org> .

By helping our interviewer access the selected [RESIDENCES/UNITS] in [NAME OF GQU], **you** will make a direct contribution to this important research effort. [FIRST & LAST NAMES], our supervisor in your area, will contact you soon to address any questions, or you may call [HIM/HER] toll free at [TOLL FREE NUMBER].

Your assistance is extremely important to the success of this study, and I thank you in advance for your help.

Sincerely,

National Field Director

## Controlled Access—Law Enforcement

[DATE]

[FIRST NAME] [LAST NAME]  
[POSITION], [LAW ENFORCEMENT AGENCY]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [TITLE/MR./MS.] [LAST NAME]:

RTI International will be in your area conducting the National Study on Drug Use and Health (NSDUH) for the U.S. Department of Health and Human Services during the months of [FILL IN MONTHS OF QUARTER].

We understand your responsibility to protect the residents of [CITY/COUNTY NAME]. Since the public may ask your department about the legitimacy of this national study, we seek your cooperation in providing information about the study to staff members who may receive such inquiries.

- We are not selling anything. This is not a marketing survey.
- NSDUH is the primary source of national and state-level data concerning alcohol, tobacco, and drug use. Information from this study is used by government agencies, policy makers, and researchers to monitor substance abuse trends, design and support prevention, treatment, and education programs.
- A limited number of household addresses are randomly selected to represent the population of the U.S. Once a household has been chosen, it cannot be replaced.
- A professional interviewer from RTI International will only visit the selected households and needs a few minutes of the residents' time to see if someone in the household will be asked to participate in an interview. If selected, those completing the interview will receive a cash incentive.
- All information provided is kept completely confidential as required by federal law\*.
- For more details about the study, please visit <https://nsduhweb.rti.org> .

Thank you in advance for sharing this information with all pertinent staff in your department. Your efforts are important to the success of this study, and I thank you in advance for your help. If you have any questions, please contact our supervisor for your area, [FIRST & LAST NAME] toll free at [**TOLL FREE NUMBER**].

Sincerely,

National Field Director

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\* The Confidential Information Protection and Statistical Efficiency section of the E-Government Act of 2002 (Public Law 107-347) ensures that any information residents provide will only be used for statistical purposes and cannot be used for any other purpose. Any unlawful use of these data may result in a jail term of up to 5 years, a fine of \$250,000, or both.

## Controlled Access—Meet Me

[DATE]

Resident

[NAME OF COMPLEX/UNIVERSITY]

[STREET ADDRESS]

[CITY], [STATE] [ZIP]

Dear Resident:

We need your help with the National Survey on Drug Use and Health conducted by RTI International for the U.S. Department of Health and Human Services.

A limited number of addresses—including yours—were randomly chosen to take part in this important study. No other household or person can take your place.

Typically, a professional interviewer from RTI International visits each selected residence in person. We respect the policies of [NAME OF COMPLEX/UNIVERSITY] so we are asking you to speak with our interviewer, who only needs a few minutes of your time to see if someone in your [HOUSEHOLD/ROOM] will be chosen for an interview. Every person who **is chosen and completes the full interview will receive \$30 in cash at the end of the interview as a token of appreciation.**

Please meet with our interviewer [FI FIRST/LAST NAME] in [MEETING PLACE]:

Please meet in [MEETING PLACE]:

- [DAY OF WEEK], [MONTH] [DATE] [TIME]

**OR**

- [DAY OF WEEK], [MONTH] [DATE] [TIME]

If you are unable to speak with [MR/MS] [LAST NAME], call [FS FIRST/LAST NAME], our supervisor for your area, at [TOLL FREE NUMBER] (toll free) to request another meeting time.

Any information you provide is kept completely confidential and used only for statistical purposes. Information gathered from this study is used by researchers and local, state and federal health agencies in developing various medical and health-related policies and programs.

For more details about the study, please visit <https://nsduhweb.rti.org>.

Your visit with [MR/MS] [FI LAST NAME] or call to [MR/MS] [FS LAST NAME] is extremely important to the success of this study, and I thank you in advance for your cooperation.

Sincerely,

National Field Director

## Controlled Access—Military IRB

[DATE]

[RANK] [FULL NAME], [TITLE]  
[NAME OF BASE]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [RANK/MR./MS.] [LAST NAME]:

Please be advised that [MR./MS.] [FIRST & LAST NAMES], an authorized representative of RTI International, is collecting data for the National Survey on Drug Use and Health (NSDUH). This important research study is sponsored by the U.S. Department of Health and Human Services (OMB No. 0930-0110).

We understand and respect your responsibility to protect individuals living on [NAME OF BASE] and want to provide you with additional information about the study:

- We are not selling anything. This is not a marketing survey.
- NSDUH provides valuable national and state-level information about important health-related issues including experiences with and opinions about the use or non-use of alcohol, drugs, and tobacco. For this reason, it is just as important that we talk to people who have not used drugs as it is that we talk to people who have.
- The interviewer only needs a few minutes of the residents' time to see if any **civilian** members of the household will be asked to participate in an interview (*active-duty members of the military are not eligible for this study*). If selected, those completing the interview receive a cash incentive at the end of the interview.
- All information provided is kept completely confidential and used for statistical purposes only in compliance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (PL 107-347).
- For more details about the study, please visit <https://nsduhweb.rti.org> .

An Institutional Review Board (IRB) summary package is included for your review. By helping us access the selected households on [NAME OF BASE], you will make a direct contribution to this important research effort. [FIRST & LAST NAMES], our supervisor in your area, will contact you soon to address any questions, or you may call [HIM/HER] toll free at [TOLL FREE NUMBER].

Your assistance is extremely important to the success of this study, and I thank you in advance for your help.

Sincerely,

National Field Director

## Controlled Access—More Info

[DATE]

[NAME], [TITLE]  
[COMPLEX/COMMUNITY NAME]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [MR./MS.] [NAME]:

One of our interviewers, [FIRST & LAST NAMES], needs to contact specific residences within [COMPLEX/COMMUNITY NAME] that were randomly selected to participate in the National Survey on Drug Use and Health (NSDUH) conducted by RTI International for the U.S. Department of Health and Human Services.

We understand your responsibility to protect your residents and want to provide you with additional information about the study:

- We are not selling anything. This is not a marketing survey.
- NSDUH provides valuable national and state-level information about important health-related issues including experiences with and opinions about the use or non-use of alcohol, drugs, and tobacco. For this reason, it is just as important that we talk to people who have not used drugs as it is that we talk to people who have.
- A limited number of household addresses were randomly chosen to take part. We do not have any information about the residents other than an address.
- The interviewer only needs a few minutes of the residents' time to see if someone in the household will be asked to participate in an interview. If selected, those completing the interview receive a cash incentive.
- All information provided is kept completely confidential.
- For more details about the study, please visit <https://nsduhweb.rti.org> .

By helping our interviewer access the selected households in [NAME OF COMPLEX/ COMMUNITY], **you** will make a direct contribution to this important research effort. [FIRST & LAST NAMES], our supervisor in your area, will contact you soon to address any questions, or you may call [HIM/HER] toll free at [TOLL FREE NUMBER].

Your assistance is extremely important to the success of this study, and I thank you in advance for your help.

Sincerely,

National Field Director

## Controlled Access—Need Assistance, Complex

[DATE]

[NAME], [TITLE]  
[COMPLEX/COMMUNITY NAME]  
[ADDRESS]  
[CITY], [STATE] [ZIP]

Dear [MR./MS.] [NAME]:

Recently one of our interviewers, [FIRST & LAST NAMES], attempted to contact specific residences within [COMPLEX/COMMUNITY NAME] that were randomly selected to participate in the National Survey on Drug Use and Health (NSDUH) conducted by RTI International for the U.S. Department of Health and Human Services. So far, [MR./MS.] [LAST NAME] has been unable to [GAIN ACCESS/GAIN FULL ACCESS] to [NAME OF COMPLEX/COMMUNITY], and we are asking for your help.

We understand your responsibility to protect your residents and want to provide you with additional information about the study:

- We are not selling anything. This is not a marketing survey.
- NSDUH provides valuable national and state-level information about important health-related issues including experiences with and opinions about the use or non-use of alcohol, drugs, and tobacco. For this reason, it is just as important that we talk to people who have not used drugs as it is that we talk to people who have.
- A limited number of household addresses were randomly chosen to take part. We do not have any information about the residents other than an address.
- The interviewer only needs a few minutes of the residents' time to see if someone in the household will be asked to participate in an interview. If selected, those completing the interview receive a cash incentive.
- All information provided is kept completely confidential.
- For more details about the study, please visit <https://nsduhweb.rti.org> 

By helping our interviewer access the selected households in [NAME OF COMPLEX/ COMMUNITY], **you** will make a direct contribution to this important research effort. [FIRST & LAST NAMES], our supervisor in your area, will contact you soon to address any questions, or you may call [HIM/HER] toll free at [TOLL FREE NUMBER].

Your assistance is extremely important to the success of this study, and I thank you in advance for your help.

Sincerely,

National Field Director

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## Appendix C

### iLearning Instructions

*Please note that web content/layout is fluid and may differ slightly from what is presented here.  
Refer to information received from your FS or other NSDUH Management staff if questions arise.  
For up-to-date content, refer to the Mindflash website at: [rti.mindflash.com](https://rti.mindflash.com) *

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## iLearning Instructions

Throughout data collection, all field staff must participate in on-going training. iLearning (Independent Learning) courses incorporate visual slides with text and graphics, an audio component providing details and instructions, and video presentations to increase your knowledge about protocols and procedures, and enhance your professional development. These courses are available via Mindflash, an online training website accessible from any computer with a high-speed internet connection. (Note: You cannot access Mindflash from your NSDUH laptop or tablet). This Appendix summarizes the steps to access and begin an iLearning course.

**Only desktop or laptop computers should be used to access Mindflash, as the program does not work reliably with tablets, iPads or other types of mobile devices.** You will also need computer speakers or headphones to listen to the course audio. The audio provides important information, so you **MUST** listen to the audio in its entirety while viewing the screens. For your reference, the minimum system requirements to access Mindflash are listed here:

**Operating System:**

Mac 10.5 or higher

Windows 7 or higher

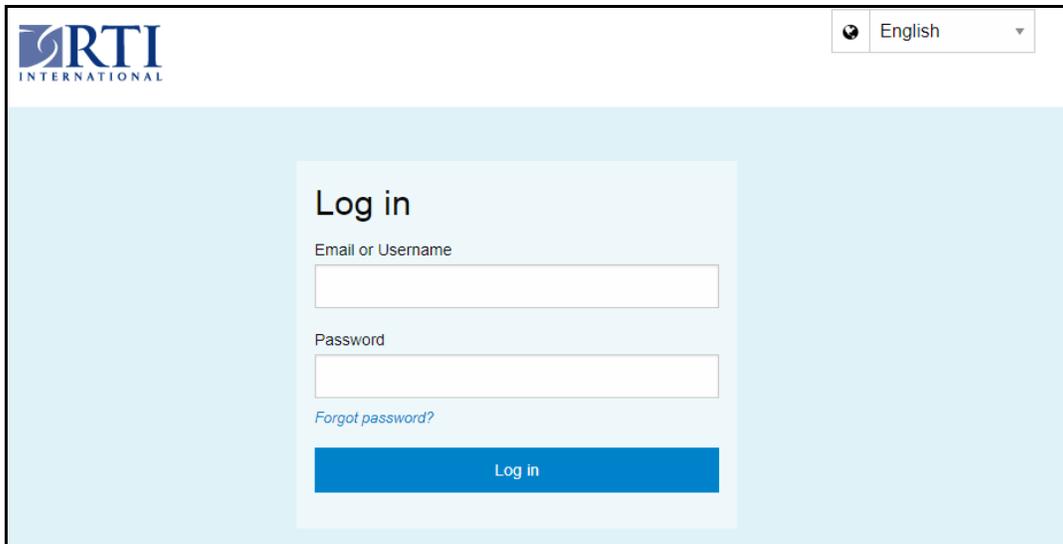
**Internet Connection:**

Cable/DSL or faster

### Beginning a Course

To begin a course:

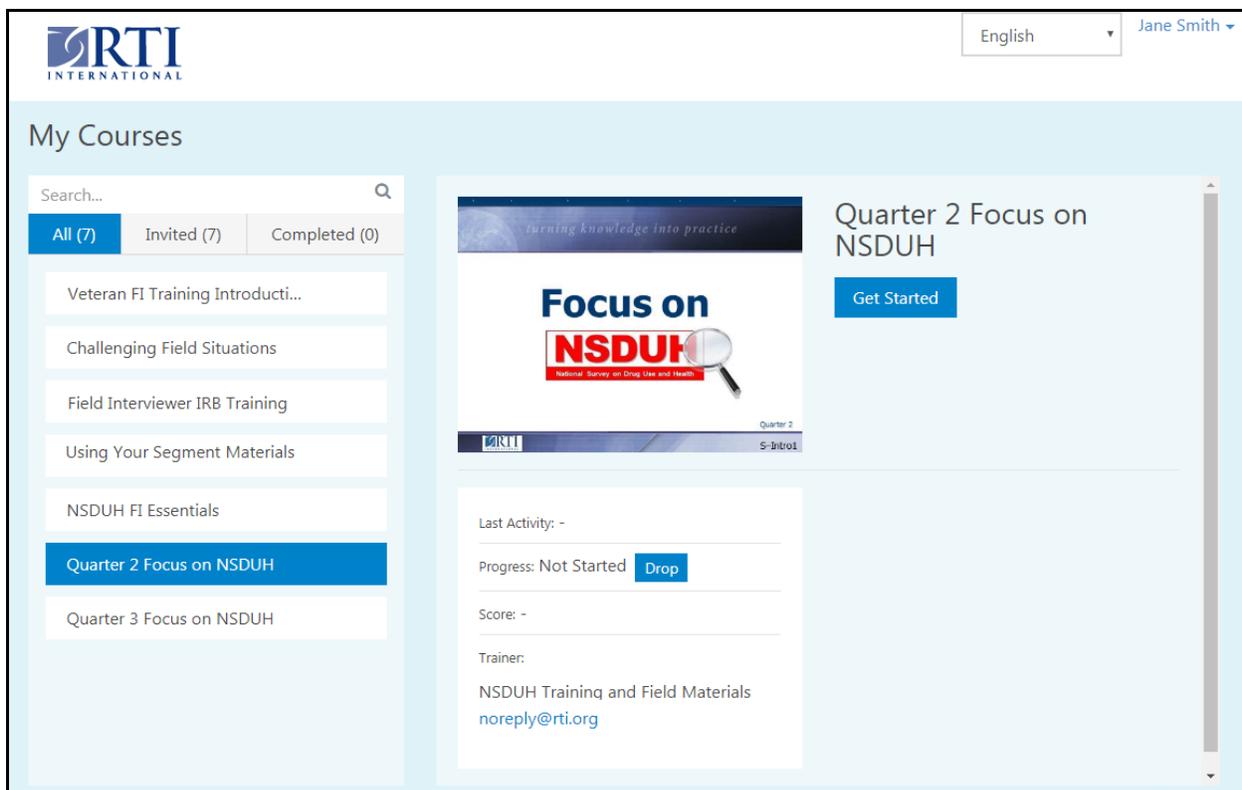
1. Access the internet by opening an internet browser such as Chrome, Internet Explorer, or Firefox.
2. Go to this website: [rti.mindflash.com](http://rti.mindflash.com) 
3. At the Log In screen, enter your Username and Password as detailed below:
  - Username = Your 6-digit FI ID #
  - Password – refer to the email received about the course to get the password (do **NOT** change your password).



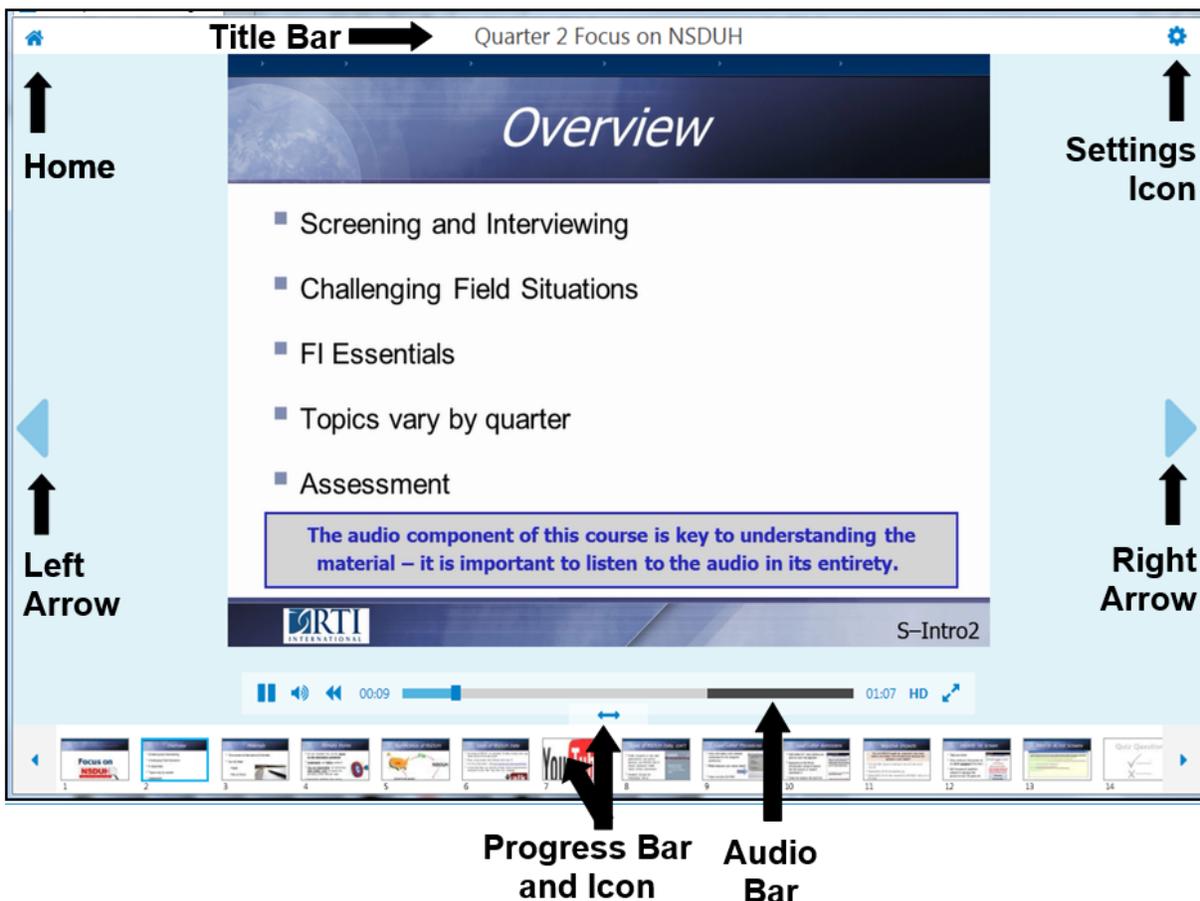
- After logging in, the dashboard screen displays the available courses. Click the Invited tab to see courses that have not been completed. Select the course you wish to complete, then click “Get Started” to begin. [Note: Never use the “Drop” button unless instructed to do so by your FS.]

To find a specific course, you can begin typing the course name in the Search box and then select the course from the list that appears below it.

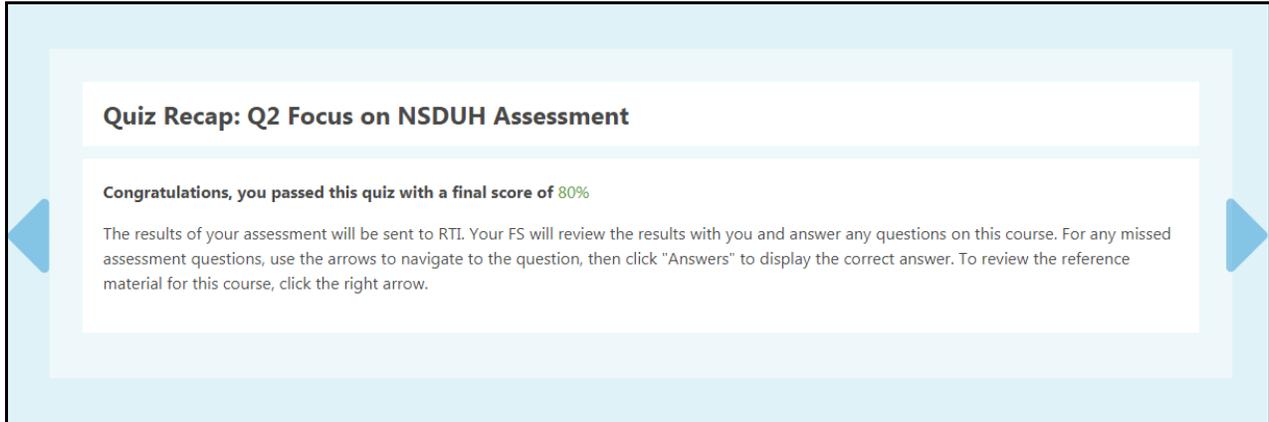
Click the “Get Started” button to begin the course. (As the status of the course changes, this button will change to “Resume Course” or “Review Course” as appropriate.)



5. To navigate within the course, use the right and left arrows displayed next to the slides (as shown in the picture below). In addition, please note the following course features:
- Audio Bar – To replay the audio, click the Play button on the bar at the bottom of the slide. (When audio is playing, the Pause button appears in place of the Play button.)
  - Progress Bar – Click the horizontal arrow icon at the bottom of the screen to open the progress bar. Clicking the icon again closes the bar. This bar allows you to click on a slide to go directly to that screen. Note: You can only click on and view a slide via this progress bar if all the previous slides have been viewed (i.e. you cannot jump ahead to a slide that has not been previously viewed in the course).
  - Title Bar – This bar at the top of the screen includes the following options:
    - Home – If you need to exit the course, click the Home (house icon) on the left. This will take you to the dashboard screen where you can log out (click the down arrow next to your name, then click “Log out.”) Your progress in the course will be saved.
    - The Settings icon on the far right allows you to exit and log out of Mindflash. Your progress in the course will be saved.

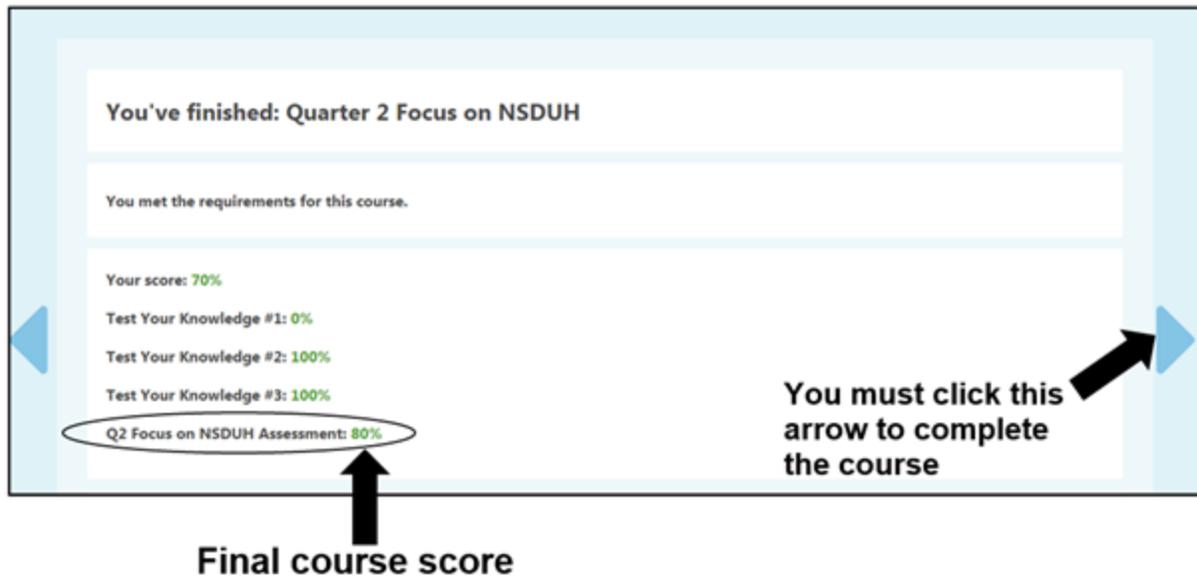


6. Each course includes an assessment with either 5 or 10 questions. **YOU WILL ONLY HAVE ONE OPPORTUNITY TO ANSWER EACH QUESTION.** Please take your time and answer the questions carefully and thoughtfully. Use the left and right arrows (or the Progress Bar) to refer back to the course content as needed. It is expected that every FI will pass each course.
- After the assessment a Recap slide displays your results. This assessment score determines whether you have passed or failed the course. You must score at least 80% on the assessment to pass the course.



- The final slide in the course displays an overall score, taking into account the results on any short quizzes (if included within the course content) AND the assessment. This overall score is **NOT** your final score, so please do not worry if it is lower than expected.

**YOU MUST CLICK THE RIGHT ARROW ON THIS SLIDE FOR THE COURSE TO BE MARKED AS COMPLETE.** After clicking the right arrow, you will arrive back at the dashboard screen, indicating the course is complete.



7. You can also logout from the dashboard screen.
  - Click the down arrow next to your name in the upper right corner of the screen.
  - Click “Log out” in the drop-down list that appears. (*Please do not use the option listed for “Edit profile.”*)
8. If you exited a course before it was complete, from the dashboard, simply click on “Resume Course” to go back into the course where you left off. Completed courses can also be reviewed from the dashboard as a refresher. If the course does not appear on the main dashboard screen, click the “Completed” tab. Once in the course, you can easily navigate to specific screens or questions by using the Progress bar.

[Note: Never use the “Drop” button unless instructed to do so by your FS.]

The screenshot shows the RTI International dashboard. At the top left is the RTI International logo. At the top right, there is a language dropdown menu set to 'English' and a user profile for 'Jane Smith'. The main heading is 'My Courses'. Below this is a search bar and three tabs: 'All (7)', 'Invited (7)', and 'Completed (0)'. A list of courses is shown on the left, with 'Quarter 2 Focus on NSDUH' selected and highlighted in blue. To the right, the course details for 'Quarter 2 Focus on NSDUH' are displayed. It includes a 'Resume Course' button, a progress bar showing 'In Progress 37%' with a 'Drop' button, and a 'Trainer' section listing 'NSDUH Training and Field Materials' with the email 'noreply@rti.org'. The course banner features the text 'Turning knowledge into practice' and 'Focus on NSDUH National Survey on Drug Use and Health'.

## Troubleshooting

At times, you may experience problems with the functioning of a course. Below are some common problems and troubleshooting tips. If you are unable to resolve the issue after following these tips, or for other problems or questions not listed here, contact Technical Support at 877-419-1768.

### You are unable to access Mindflash:

- Make sure you are using a desktop or laptop computer. Tablets, iPads, smart phones and other types of mobile devices should not be used, as they do not work reliably with Mindflash.
- Check the minimum system requirements, and confirm your computer and internet connection meets these requirements
- Check your internet connection. If your internet connection is active, try another internet browser (ex: Internet Explorer, Chrome, Firefox, etc.)
- Make sure you are entering the website address ([rti.mindflash.com](http://rti.mindflash.com) ) correctly into the address bar of your browser, and not the search bar or some other field. Also, do not add “www” or other text before the address.
- Try to access the course again at another time.

### Audio/Video Skips:

- Listen to the audio in its entirety before proceeding to the next screen. Attempting to move quickly through the slides may cause the audio to skip and videos to not load properly.
- Your internet connection may affect the audio quality. You may need to try the course again at another time.
- If the audio does not play automatically when viewing a slide, click the Play button on the bar at the bottom of the slide to start or replay the audio.
- If you experience video problems on a particular slide, go back to the previous slide, then return to the slide with the video.

### Course Appears Incomplete, even though you finished:

- You must review all the slides in their entirety, answer all assessment questions as well as any quiz and feedback questions (if included in the course content) AND click the right arrow on the last slide (showing the overall score and quiz/assessment results) for the course to be marked as complete. Refer to Step 6 on page C-4 in this appendix for more details.
- You can also check the course status on the dashboard screen. After selecting the course, you will see the status which will be one of the following shown in [Exhibit C.1](#).

**Exhibit C.1 Course Status Information**

Status	Example
<p><b>Course Incomplete</b></p>	 <p><b>Next steps:</b> In this example, the course is 92% complete. To complete the course, click Resume Course. This will take you to the last slide viewed. Be sure to review all remaining slides, answer all assessment questions (and quiz/feedback questions if included), and click the right arrow on the last slide to complete the course.</p>
<p><b>Course Completed</b></p>	 <p><b>Next Steps:</b> In this example, the course is complete and displays Passed along with the score in green.</p>

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## Index Topics

NOTE: This index includes topics discussed in multiple places within the FI Manual and the FI Computer Manual. The Table of Contents and the List of Exhibits at the front of the manual are also excellent resources for finding details about various tasks.

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