The Displaced New Orleans Residents Survey
Interviewer Manual

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SECTION 1: INTRODUCTION TO THE STUDY

1.0 Welcome to the Study

Welcome to the Displaced New Orleans Residents Study, aka the New Orleans Katrina Study!

We are very pleased to have you join the project team. As an interviewer, you play an important role in the overall success of the study. We anticipate that you will find working on this project challenging, but rewarding.

Note that the official name of this study is the Displaced New Orleans Residents Study (DNORS). This is the name that was used in the original proposal and on all ISR official documentation, as well as in most of the interviewer supporting documentation and technical and financial systems. However, we will be using the name – the New Orleans Katrina Study (NOKS) -- when we communicate with our potential respondents and others in the communities where we work.

1.1 Overview of the Study

Background and Expected Contributions of the Study

Hurricane Katrina struck New Orleans, Louisiana, on the morning of August 29, 2005. The effect on the population was enormous: all of 455,000 people in the city were forced to leave and resettle, which some did temporarily and others permanently. The toll from the hurricane was enormous and continues to unfold. Many people had family members or friends who died or were injured, had homes that were severely damaged or destroyed, lost their jobs or businesses, and had their lives severely disrupted. Even though this event occurred about four years ago, research on many major topics suffers from a lack of appropriate data and information on the people who lived in New Orleans.

A critical need in assessing the impact of the hurricane and in planning a recovery is to obtain representative data on the whereabouts, status, health, and well-being of people who lived in New Orleans at the time of Hurricane Katrina. The dispersion of residents makes this an extremely challenging undertaking.
However, the value of these data for researchers, policymakers, and the public is extraordinarily high.

This study is expected to make a number of important contributions, including:

- Providing valuable information on the whereabouts, health, and well-being of children and families who lived in New Orleans at the time of Hurricane Katrina, including information on short- and medium-term outcomes over a period of four years following the hurricane.
- Providing information for local community groups in New Orleans about the number and type of residents who lived in the city before the storm who have returned, and the number who have not returned but are interested in doing so. The study will also provide specific information on the reasons why people who want to return have not done so yet.
- Beyond merely providing descriptive summaries, the survey data will support detailed analyses of the causes and consequences of outcomes related to Hurricane Katrina. For instance, the study will provide detailed information for examining disparities in well-being by race/ethnicity and socioeconomic status.
- Findings from the survey will provide valuable information for policy makers, researchers, and the public interested in understanding the effects of Hurricane Katrina on the population of New Orleans. In particular, results will help describe and forecast the repopulation of New Orleans by displaced residents. Former residents’ decisions about whether to return to New Orleans or to resettle elsewhere will be a crucial factor determining the future size and composition of the city’s population.
- Evidence from post-Katrina New Orleans school enrollment (Liu and Plyer, 2007) and the age composition of displaced people in the American Community Survey data (Frey, Singer, and Park, 2007) suggests that families with children have so far been the most likely to remain displaced from the city.

Future Plans for the DNORS

Looking toward the future, this study will form the basis for a panel study to track the hurricane victims from New Orleans and to examine how they fare in the coming years. This will be a unique contribution of this project because there is no comparable study for the city, region, or country that will provide sufficiently detailed information about people who lived in New Orleans at the time of Hurricane Katrina.

The experience of the city’s residents in the years following Hurricane Katrina is of considerable interest because this population experienced the largest total burden from the hurricane. The panel will extend beyond providing a short-term assessment of the status and well-being of New Orleans residents, which is a limitation of all current studies.

Data collected over the longer term will allow us to determine for whom this tragedy is an experience from which they will never recover and for whom on-going support is essential. It will also allow us to identify individuals for whom the hurricane may have been a life-altering experience for the better. The ultimate outcome is likely to depend greatly on the person’s initial circumstances (e.g., education, income, health, and family structure), the evacuation experience, and where they relocated when New Orleans was evacuated and where they settled.

Finally, the methods developed for this study will be useful for future studies of populations displaced by natural or human-caused disasters.

Scope of the Study

After conducting on-the-ground listing of all addresses in randomly selected segments in Orleans Parish, a subset of all addresses was randomly selected for the study. A total of 1,250 eligible households who lived at the selected addresses in August, 2005 are expected to participate in the study. The study is a telephone study with the possibility of conducting face-to-face interviews when necessary. A significant amount of effort is anticipated to track and locate respondents, relying on both internet and on-the-ground work.

Listing for this project involved confirming/updating a list of addresses supplied by the US Postal Service for the selected sample segments.
Within each of the selected households we will first collect a household listing of people who were living at the sampled address in August 2005 at the time of Hurricane Katrina, using the screener interview to determine who is eligible for a main interview. Interviews will then be completed with up to two eligible persons in the household, for a combined estimated interview length of 60 minutes. Thus, if only one person is eligible, this person will be asked a combination of two interviews for a total of 60 minutes; while if two persons are eligible, each person will do a portion of the interview, each lasting approximately 30 minutes, for a total of 60 minutes per household. This length will vary based on the composition of the household pre-Katrina and the number of children in the household.

SRO’s involvement in this study includes collaborating with the PI and his colleagues on sample design, IRB approval, selection of sample segments, listing of addresses and selection of sample addresses, questionnaire design, pretesting, programming, locating respondents, data collection, and producing final data files and reports.

1.2 Funding Sponsor

The National Institutes of Health (NIH) have provided funding to the RAND Corporation, a non-profit research organization in Santa Monica, California, to conduct this study. The funding was obtained by the Principal Investigator (PI), Narayan Sastry, and his co-investigators on the project while the PI was primarily affiliated with the RAND Corporation. Thus, the grant is administered from the RAND Corporation as a subcontract to ISR/SRO. The PI is currently officially affiliated with both the RAND Corporation and ISR.

1.3 The DNORS Project Team

The DNORS involves the active collaboration of researchers from several institutions including the University of Michigan, the RAND Corporation, Tulane University, and Washington State University. Individuals involved in the study are listed in the table below.
**DNORS Research Project Staff:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Position</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Narayan Sastry, PhD</td>
<td>Principal Investigator</td>
<td>Research Associate Professor &amp; Adjunct Senior Social Scientist</td>
<td>University of Michigan &amp; RAND Corporation</td>
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<td>Michael Rendall, PhD</td>
<td>Co-Investigator</td>
<td>Senior Social Scientist</td>
<td>RAND Corporation</td>
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<tr>
<td>Bonnie Ghosh-Dastidar, PhD</td>
<td>Co-Investigator</td>
<td>Statistician</td>
<td>RAND Corporation</td>
</tr>
<tr>
<td>Mark VanLandingham, PhD</td>
<td>Co-Investigator</td>
<td>Professor</td>
<td>Tulane University</td>
</tr>
<tr>
<td>Elizabeth Fussell, PhD</td>
<td>Co-Investigator</td>
<td>Associate Professor</td>
<td>Washington State University</td>
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<td>Christine Peterson, MA</td>
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<td>RAND Corporation</td>
</tr>
<tr>
<td>Beth-Ellen Pennell, MA</td>
<td>ISR Investigator</td>
<td>Director of Survey Operations, SRC</td>
<td>University of Michigan</td>
</tr>
</tbody>
</table>

**The Survey Research Center Project Management Team**

The Survey Research Operations (SRO) unit within the Survey Research Center at the University of Michigan’s Institute for Social Research is responsible for preparing and carrying out the survey for this study. Representatives from several areas of the SRO work together as a team to carry out all study-related activities. The overall coordination is provided by the Management Team:

- Kirsten Alcser, PhD, Survey Director
- Esther Ullman, MSW, Sr. Project Manager
- Stephanie Sullivan, BA, Production Manager
- Jenny Bandyk, MA, Project Manager
- Joel Harvey, BA, Testing Coordinator

**Field Team Leaders and Interviewers:**

- Polly DuRose, AA, Team Leader (TL)
- Mary Leary, BA, Team leader (TL)
- Michael Schwartz, BA, Team Leader (TL)
- Kathryn Deslaurier, BA, Tracking Coordinator (TC)

Local interviewers recruited from New Orleans
On staff, experienced SRC/SRO interviewers
Off-site Internet trackers
1.4 Production Field Schedule

The following dates reflect the key milestones of the production field schedule for the DNORS:

- **June 21, 2009**: New Interviewer General Interviewing Techniques Training
- **June 22-25, 2009**: All Interviewer Study-Specific Training & Certification
- **June 29, 2009**: Start of Production Interviewing
- **March 31, 2010**: End of Production Interviewing

1.5 About the Interview

The DNORS questionnaire is a computer-assisted personal interview (CAPI), conducted on a laptop computer. The primary mode of interview is telephone. Face-to-face interviews with respondents will be permitted as necessary. A face-to-face interview is permitted if:

- (a) the respondent does not have a telephone,
- (b) the respondent specifically requests that it be done in-person at the home or at some public place,
- (c) the respondent has been reluctant to participate but is willing to be interviewed immediately when contacted in person during the refusal conversion process,
- (d) the interviewer locates the respondent at another local address while doing face-to-face tracking and the respondent and interviewer feel that this is the optimal time to do the interview to avoid future scheduling conflicts.

At each of the addresses selected for the study, we will first determine if any member of the current household was living at the sampled address at the time that Hurricane Katrina struck in 2005. If so, the interviewer will conduct a screener interview to determine who is eligible for a main interview. In households with only one eligible person, the interviewer will conduct one interview of approximately 60 minutes in length. In households with more than one eligible adult, a determination is made about who is the person most knowledgeable about the household and family affairs. This person will complete the Household sections of the interview, estimated at approximately 30 minutes in length.

A random selection among all eligible adults (including anyone identified as “most knowledgeable”) will also be done, and the
selected adult may or may not be the same person who was selected to do the Household sections of the interview. If the randomly selected adult is the same person who is doing the Household sections of the interview, that adult will get the Adult sections of the instrument in addition to the Household sections. The Adult sections alone are estimated at approximately 30 minutes in length.

However, if the randomly selected person is different from the person selected for the Household sections of the interview, each person will be expected to do an interview of approximately 30 minutes in length.

Finally, if the randomly selected adult is female and is the parent or caregiver of children 17 years old or younger, this female adult will be asked the “Female Adult version,” which is equal to the Adult sections of the questionnaire but with some additional questions about children. This version is not treated differently than the general Adult version in terms of average estimated length (“burden”) or respondent incentive (see below).

Respondents will receive $30 in appreciation for their participation. The interview is launched through an electronic sample management system (SurveyTrak), where interviewers will also document all efforts made to obtain an interview with the eligible, selected respondent(s), including efforts that do not result in a completed interview.

1.6 Role of the Interviewer

Interviewers are the key to the success of the DNORS. Prior to the start of the interview, the interviewer will read the “voluntary statement.” As usual, the interviewer is responsible for introducing the study to the respondent, convincing the respondent that the study is worthwhile and that his/her participation is critically important. The interviewer accurately collects the interview data as well as the required contact and observation data stipulated in the sample management system.

The role of the interviewer is expressed by the Pledge to Safeguard Respondent Privacy, Statement of Professional Ethics, and Employment Commitment Statement. These documents all reinforce your obligation to treat as confidential all information you learn about the respondent, before, during, and after the interview. Protecting the anonymity of respondents and the
The confidentiality of all research documents is paramount for this project and is a promise we make to all respondents on all ISR projects.

The interviewer is a professional researcher and a member of the research team. The success of this study depends on the interviewer’s ability to plan work and to schedule appointments efficiently, to record accurate and complete information, and to complete assignments in the prescribed time period. The evaluation of your performance will be based on adherence to the duties and responsibilities outlined here.

You will need to read this Interviewer Project Manual and all related study materials prior to your training session and also complete the Home Study Questions. After successfully completing the in-person training session, you will complete a Certification Interview. If requested, you may need to conduct additional practice interviews with your Team Leader (TL) prior to contacting respondents.

Quality is an important part of the job, and you are required to meet both the quality and production goals as specified.

Specifically this means:

- following guidelines regarding the best times to contact respondents;
- tracking selected respondents as needed;
- conducting the Screener interview to identify one or more eligible person to do the main interview(s), contacting selected respondents and scheduling interviews;
- reading verbatim the statement of voluntary participation and confidentiality to the respondent prior to the start of the interview, and answering all questions that he or she may have, prior to conducting the interview;
- completing interviews with selected respondents using standardized SRC interviewing techniques and accurately administering the questionnaire; and
- conducting interviews or other data collection activities in situations that do not compromise the respondent’s privacy.
In addition, you will have several administrative activities that are also very important to the quality and timeliness of the data collection. You are expected to complete call records at each attempt, enter time and expenses into the computer, and transmit computer files to SRC on a daily basis. You will be expected to keep in contact with your Team Leader through telephone conference calls and display good team work skills and a willingness to continually improve performance.

In your General Interviewing Techniques training, you were trained on the procedures for submitting your weekly hours and expenses using the web-based Tenrox system, in accordance with the current Biweekly Pay Schedule. Timely and accurate cost reports are critical to managing a project of this size, so you must submit your hours and expenses to SRC in a timely manner.

1.7 Terms and Abbreviations

Key terms used in the study materials as well as during training and work on this project are provided in Appendix A of this manual.
SECTION 2: THE DNORS PROJECT SAMPLE & SAMPLE MANAGEMENT

2.0 About the Sample

This section describes the sample design, highlights features of the electronic sample management system, and outlines procedures for updating the sample during data collection.

2.1 Sample Design

The Study Population

The study population consists of families living in Orleans Parish, Louisiana, in August 2005, immediately prior to any residential dislocation caused by Hurricane Katrina, and who are still living and can be located either by telephone anywhere in the United States, or by face-to-face interviewing, as necessary, in Orleans Parish.

The sample is an area probability sample, meaning that random sampling was implemented at several stages to ensure that the selected addresses or housing units will be representative of Orleans Parish:

Stage 1: Selection of Primary Sampling Units (PSUs)

In a national study, the SRO sampling section divides the United States into large geographic areas consisting of counties and metropolitan areas, known as Primary Areas (PAs), which are in turn grouped into strata based on population, Census Region, and other criteria. Within each stratum, one or more Primary Sampling Units (PSUs) are selected at random, typically with a probability proportional to population size. Because this study takes place in only one county (Orleans Parish), that county was selected with certainty as the only PSU. That is, Orleans Parish is the only PSU in the study.

Stage 2: Selection of Secondary Sampling Units (SSUs)

Each selected PSU consists of a large number of Census Blocks. The SRO sampling section groups these Census Blocks into Clusters with a designated minimum population and draws a systematic random sample of...
clusters. The selected clusters are called Secondary Sampling Units (SSU) or segments. A total of 150 segments have been selected to represent Orleans Parish. These segments were created and selected using Census 2000 data on the number of housing units in Census Blocks.

Stage 3: Selection of Individual Addresses

Prior to data collection, field interviewers have listed each address on each of the selected blocks within each of the selected segments, and the SRO sampling section has selected addresses systematically from a random start from among all of the listed addresses within each segment. These addresses, or housing units, now make up our study sample, and we need to attempt to interview someone from among members of a household who lived at each of the addresses in August 2005, at the time of Hurricane Katrina.

NOTE: Prior to the start of data collection, telephone numbers will be obtained for as many addresses as possible using a variety of resources.

A final additional step in the selection process is one that you -- the interviewer -- will carry out! You will complete a roster (i.e., take a household listing) of all eligible members of the eligible household for each selected address/housing unit. Up to two eligible persons will be randomly selected by the computer from among all eligible persons. These persons become our targeted respondents – the persons from whom we request an interview.

Approximately 5522 addresses/housing units have been selected with the expectation that we will successfully obtain interviews with members of 1,250 eligible households who lived at one of those addresses in August, 2005. The assumptions regarding the relationship between the total number of addresses/housing units needed to produce the goal of 1,250 completed interviews with eligible households, are based on expectations that approximately 80% of eligible households will cooperate by providing the necessary information collected in the screener and that approximately 55% of these eligible households will agree to do the DNORS interview.

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4 Listing for this project involved confirming/updating a list of addresses supplied by the US Postal Service for the selected sample segments.
The sample of 5522 addresses/housing units has been randomly grouped into smaller groups ("replicates") of 552 address/housing units in each group. These small groups/replicates will be combined into sample "releases" to be delivered via the sample management system to the field in stages as needed.

**Respondent Eligibility**

In order to be eligible for participation in the survey, subjects must be aged 18 or older and they must have lived at the selected address in August 2005, at the time of Hurricane Katrina.

Up to two eligible persons fulfilling these key requirements for study eligibility, may be interviewed. The determination of who will be interviewed is established as part of the screening for eligibility during the administration of a brief Screener interview at the time of the first successful contact with the household.

In households with more than one eligible adult person, a determination is made as to who is considered the person most knowledgeable about the household and family affairs. This person will do the Household sections of the interview.  

A random selection among all eligible adults will also be done, and the selected adult may or may not be the same person who was selected to do the Household sections of the interview. In the case where the randomly selected adult person is different from the person who has been identified as most knowledgeable about the household, the second person will do the Adult sections of the interview. (Please refer to the Section 1.5 “The Interview” as well as to Section 4 “The DNORS Questionnaires.”)

The expectation for eligibility and successful interviewing at the respondent level is that approximately 50% of the 1,250 eligible households will either have one eligible (single) person in the household or the selection process will establish that only one person from among several potentially eligible persons will be selected to do only one interview (60 minutes) (Household sections plus Adult sections). For the remaining 50% of the households, we may need to interview up to two eligible persons (each doing

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5 Sometimes a respondent will list more than one person as being most knowledgeable about the household and family affairs. In that case, you will record this information and the computer will make a random selection from among those identified as most knowledgeable.
approximately 30 minutes of interviewing). Furthermore, for situations that require interviewing two eligible persons, we estimate that in 30% of those situations, both persons would still be living at the same address, while for the remaining 20% of those would require that one interview be conducted with someone currently living elsewhere.

**Number of Production Interviews**

We expect to complete interviews with approximately 1,250 eligible households, with up to two respondents completing the main interview per household -- between June 29, 2009 and March 31, 2010 (9 months).

All interviews will be conducted by telephone, unless special circumstances warrant that some be done face-to-face.
2.2 The DNORS Sample Management System

Your sample of respondents to contact and interview will be in electronic form. Each sample line represents one preloaded sample line of the 2005 selected address. This line will be used to complete the screener with an eligible household member. Then, based on eligibility and selection done at the household level, up to two sample lines will be generated/spawned for the main interview(s).

SurveyTrak is a sample management system that will allow you to view sample information on your laptop. You will also access your sample line from this system when you get ready to do an interview.

After each contact attempt, including one that results in a completed interview, you are required to enter a call record. This includes entering detailed description of the attempt in Call Notes. (see Call Records Section).

SurveyTrak also allows you to transfer sample to other interviewers for follow-up (only if instructed to do so by your Team Leader). Lines generated from the screener line can be transferred separately from each other.

At the end of each day you are required to do a Send/Receive (S/R) so that information about the status of each of your sample lines can be captured in Ann Arbor to facilitate monitoring the progress of the entire study, and so that new information can be sent to update sample on your computer, including new tracking information and new sample lines transferred to you with your supervisor’s approval.

Please refer to your SurveyTrak User’s Manual for details on the use of the SRC sample management system. Below we highlight areas of the system and focus on those aspects that have been modified to fit the needs of the DNORS study.

2.3 SurveyTrak Components

Beginning with SurveyTrak

You will use SurveyTrak as a gateway to the questionnaire application.

1. You will enter SurveyTrak by clicking the “SurveyTrak” icon on the desktop.
2. Next enter your user ID and password.

3. The first screen that you see is the Appointments/Projections screen. To close this screen, click on the “X” in the upper right corner.

![The Planner Screen](image)

The Planner Screen

4. Choose “Projects” from the menu or the toolbar to gain access to your work sample. Select the appropriate project for the phase of the study you are working on. There will be a Production project for DNORS (DNORS PROD). There will also be Projects and lines for Practice, Training and Certification.

**Train/Practice:** This is the project you will use for practice on your own. This project is intended for you to gain experience with the application. It contains ten sample lines that you may use for practice.

**Production:** The directory where you will find all your production sample lines for the DNORS data collection.

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**Warning**

**Warning!** Be very careful that you NEVER start a production interview through the training or certification directories. Each of these directories is clearly marked. We will attempt to de-activate the training/certification directories before releasing the production sample.
SurveyTrak Functions

The SurveyTrak User’s Manual was sent with your laptop computer. If you are a returning interviewer and need a replacement copy of this manual, please notify your Team Leader. The manual will help you navigate your way through the program. Below is a summary of some of that information.

There is a row of icons displayed at the top of the main SurveyTrak screen. Functions can be accessed through these icons or through the menu choices.

SurveyTrak Icons

- **Projects** – This is the icon or button you will use to begin working with your sample, including viewing and changing sample information. If you are assigned to more than one project, you will need to carefully select the correct project to make sure that your work is entered in the right place.

- **Transfer** – This icon is used to transfer cases to other Interviewers when requested by your Team Leader.

- **Case Notes** – Used to record call notes about a particular case that are not related to a specific contact attempt, particularly anything that you want to remember when contacting the respondent or household again. Examples of case notes:
  - Door bell is broken; must knock
  - R sleeps during the day; do not call before 5:00 p.m.
  - R’s apartment is the unmarked door on the left.

- **View/Edit** – This option provides access to a variety of tabs specific to the needs of your project. You will find tabs for the respondent address, information for contact people, payment records, and a summary screen showing your call records.

- **Call Wizard** – This is where you record all contact attempts for a sample line, each referred to as a call record.
• **Planner** – This icon will allow you to access the planner which opens each time you open SurveyTrak. You can enter your time projections from this screen.

• **Send/Receive** – This option allows you to send and receive files to or from SRC in Ann Arbor. This option is only available when there is no SurveyTrak project selected and open.

• **Reports** – this holds different types of reports to help you monitor your progress.

• **Find** – This is a search function that will allow you to search based upon the criteria you give (Alphabetically, by zip code, etc.).

• **Lock** – The purpose of this function is to keep some information constant on your screen, while allowing you to scroll through and view other data about that sample line.

• **Sort** – Allows you to sort your sample lines in a variety of ways.

• **Interview** – This option takes you into the Blaise Interviewing application.

• **Exit** – This takes you out of the SurveyTrak application entirely, returning you to your Windows desktop.

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**SurveyTrak Main Screen**

This screen displays when you choose the **Projects** icon. From the Sample Line tab, this main screen shows the sample lines with status information displayed. You will notice that the **DNORS Main Screen** combines standard required tabs with tabs developed specifically for our study (See Screenshot below).

**SurveyTrak Main Screen: Study-Specific Features for DNORS**

Below we highlight the study specific features implemented for DNORS.
Top pane study-specific columns:

1. **SID Column**: The Sample ID displays the unique 10-digit number assigned to this sample line.
   - First digit: The PSU number which will be ‘1’ in all cases
   - Three digits will indicate segment number (101 – 250)\(^6\)
   - Four digits will indicate line number (0001 – 9999)
   - One digit for household number (0 in most cases, 1-9 if we find new housing units during interviewing)\(^7\)
   - One digit for interview type (0 for screener, 1 for adult, 2 for household, and 3 for combined household and adult interview)
   - The screener line is displayed on the sample tab with the preloaded New Orleans 2005 address. The other lines are spawned after the screener is completed.
   - The format of the SID is as follows: 1-XXX-XXXXX-X

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\(^6\) Note that there is also a separate column displaying segment number so sample can be sorted by segment, as well as a column indicating sample release.

\(^7\) See “Updating the Sample.”
2. **Iw Type Column**: Indicates whether the line is for a Screener (SCRN), Adult (Adult or A), Household (HH) or the combined Household/Adult (HHA) interview type. This will determine the path of the main interview.

3. **IW Order Column**: Indicates the priority for which interview should be completed; which interview should be completed first and which one second. This is based on information from the screener about whether the person selected for each main interview was the respondent who completed the screener and/or if those selected reside at the same address. This priority ranking is to help facilitate getting interviews most efficiently, however the order can be changed if circumstances warrant (the respondent indicated to be second priority is available to do their interview but the respondent for interview priority 1 is not available). One is not “forced” to do the priority one interview before attempting the priority 2 line.

**Bottom pane study-specific features:**

4. **Listed Address**: The 2005 New Orleans address is always displayed on the bottom pane of the sample tab. This is not editable. This is the housing unit we are always referring to for the interview, even if the R currently resides elsewhere. We want to know who lived at this selected New Orleans address in August 2005.

5. **HH and Adult or HHA Respondent Names**: These names and interview order appear on the bottom of the sample pane once the screener is completed and the main interview lines are spawned. This is a reminder to the interviewer of who was selected for which type of interview and what the priority order is for completing the interview.

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**SurveyTrak Main Screen: Non Study-Specific Features**

6. **RC IND**—This is the refusal conversion indicator. A flag will be displayed here if an interim refusal code has been recorded for this sample line at any point during the field period.

7. **RCLS Follow Up**—The Respondent Contact Locating Systems (RCLS) column will display the status of any phone calls a respondent or informant has made to Ann Arbor regarding this sample line. An indicator will let you know if you have outstanding calls requiring follow up.
8. **Result Code**—Displays the interim or final result code assigned to the sample line at any given time, reflecting the result when any type of attempt has been made to contact the household or the selected respondent.

9. **IW Status**—Displays the status of the interview, automatically assigned when you complete or suspend an interview.

10. **Result Date**—Displays the date of the last call record entered in Call Wizard.

11. **Tel Calls**—Displays number of telephone calls to the sample line.

12. **FTF Calls**—Displays number of face-to-face visits to the sample line.

13. **Last Call Mode**—Displays whether the most recent contact attempt was FTF or Tel.

14. **Wizard Action**—Wizard actions will launch automatically and must be completed as they appear on your screen. This column will usually be blank; it will only display “Incomplete” when a required action has not been completed.

---

**Other SurveyTrak Screens**

**Address Screen**

Next to the Sample Line tab is the Address Tab. Here you can view the address information we have for the respondent. This information can be viewed in the sample line screen as well. Since we may have received updated address information from multiple sources, including as part of the actual interview, it will be the most current address that is displayed here for the respondent. (For a general view of this screen, consult your SurveyTrak User’s Manual).
The Address Tab Screen

Transfer Lines Screen
The Transfer Lines Screen will show the lines that you have tagged for transfer that have not yet been transferred. If you want to change your mind, you would highlight the sample line on the Transfer Lines screen and click on the Untag for Transfer option in the Edit menu. (For a general view of this screen, consult your SurveyTrak User’s Manual).

Transfer Lines Screen
This option allows you to review information. When a transferred sample line has been received by the interviewer, SurveyTrak will return a “received” flag to the sending interviewer. When the “received” flag has been picked up by the sending interviewer the box in the received column will show an “x” to signify that the transfer was received. (For a general view of this screen, consult your SurveyTrak User’s Manual).
The Transfer History Tab Screen

Finalized
This tab presents the same information as the Main Screen described above, for all finalized sample lines (i.e., all lines that have been coded with a final result code).

Case Notes
As described earlier, you will enter notes here that can be used to quickly get the status of a given sample line. Instructions for how to enter these notes are provided in your SurveyTrak User’s Manual.

Tabs Available in the View/Edit Function

While some SurveyTrak actions are driven by a Wizard (“automatic”) action, others are tabs that you will either enter data into or view as needed.

Below are some descriptions and instructions for those tabs. Once you have highlighted the particular sample line that you want, you will click the View/Edit button on the toolbar.

Call Info Tab
You are required to complete a Call Record after each attempt you make to contact the sample line. Note that a Wizard action brings up the request for you to enter a Call Record when an interview has been suspended or completed only. In all other situations, you will need to remember to complete the Call Record.

In the Call Record you will have recorded each visit/call or attempted visit/call for your sample lines. The Call Record in SurveyTrak is the place that holds the fully detailed note. The Call Record should be completed as soon as possible after the attempt or interaction is made.
The View/Edit Call Info Tab

The Call Info Tab allows you to review the calls you have made and entered for this sample line. This tab cannot be edited.

Entering a Good Call Record

The call record information is a chronological journal of all calls made to a sample address, including times you reach or don't reach the respondent.

Call records that contain concise detailed information about the contact or attempted contact with a respondent are one of the most valuable tools an interviewer can have. Many people depend on the call records of the case to gain an understanding of the interaction between the respondent and the interviewer, which in turn can be used to make necessary adjustments in potential future waves of the study. As the interviewer, it is your responsibility to provide complete, relevant and useful information in the call record for each of your cases.

The Call Wizard Call Info
The Call Wizard Call Information
Use this to record information gleaned from neighbors or building managers when attempting to track a respondent. This should also be used to enter a summary for all resistant or problematic cases, and for cases that need to be transferred to another interviewer.

Please complete the call record for every visit or telephone call made to the household. Begin filling in the information at the beginning of the call (when you dial the phone number or drive up to the household). Do not wait until you have completed the call or finished your work for the day. Finish the entry for the call as soon as the contact ends.

Date
Record the month and date when contact was attempted or achieved.

Time of Day
Enter the exact time for each contact (or attempt) and write AM or PM. The “time of day” is when you leave your car to walk up to the address, (or when you dial the phone number).

Who Talked To
Enter the name and relationship to the household of each person that you talked to during each contact.

Result Code
Record the numeric code for the outcome of each call, using the result codes found in the Project Manual.

Comments/Notes
In this space you should write a note about the contact or attempt. Detailed notes are very important in helping us understand the effort involved in making contact with the household or respondent. Describe the situation so that anyone who reads it will have a clear picture of what your experience was. Think about the kinds of information that are useful for you when you receive a sample line transferred from another interviewer. In the first couple of contacts, it is especially important to record as many verbatim comments and queries made by the Informant or the Respondent as possible. All of this information will help us to evaluate the methods used in gaining cooperation from respondents and also learn what can be done to increase participation in future research studies.
**Respondent Address Tab**

This tab displays the current/updated name, address and phone number(s) of the respondent. This will be pulled in from preloaded address information or updated information completed within the Blaise application. You may make any updates that apply as you confirm this with the respondent at this point.

You will see that most of the address information is highlighted with a ‘*’ meaning that the information is required. However, if the respondent is not willing to provide the information, and it was not collected and pulled forward for display in this tab, you will enter REF for Refused, or DK for Don’t Know and move on. For DNORS we are also collecting the respondent’s nickname or any other name they go by, this information may help us to locate them at a later date.

**Respondent Address Tab**

The Notes field at the bottom of the Respondent Address Tab should be used to include additional information that might be useful in contacting this Respondent for verification or for future interviews. For example, you might note the best times to call, the name in which the phone number is listed, or that the address is temporary and where, if known, the Respondent expects to be living in the future.

**1st Contact Person (CP) Address**

This tab stores name, address, and phone information of the first contact person provided by Respondent. We ask the respondent to provide the contact information for a family member or friend – someone who would tend to always know where the R might be. This information will help the researchers locate the respondent in the future.
Read the scripted information on the tab which offers the respondent the reasons we are collecting this information.

The View/Edit Contact Person Tab

2nd Contact Person Address
This tab stores name, address, and phone information of the second contact person indicated by R and includes the same script.

RCLS Tab
The Respondent Contact Locating System (RCLS) is used to track the progress of contacts with DNORS respondents. Returned letters will be logged in this system as well as phone calls made by respondents to the 800 number. If there is a contact that requires RCLS follow up, you will see an exclamation point on the line in SurveyTrak. You will open this tab to enter your follow up actions. (See also Section 3.13 for details.)

The View/Edit RCLS Tab
Tracking Update Tab

This tab will display the most recent information sent for this line from the Internet Tracking (IT) team. You should transfer all information to a call record as soon as it is received.

The View/Edit Tracking Update Tab

Tracking History Tab

This tab provides the history of tracking updates the interviewer has been provided.
Tracking History Tab

Mailing Tab
This tab provides a place for you to record whether an interview has been recorded and, if so, the date you mailed the CD to the designated recipient (TL or Ann Arbor). Since you will be requested to mail it so that it can be tracked, there is a field for you to enter a tracking number. In case multiple CD’s are burned for a case there are several fields provided.

The View/Edit Mailing Tab

Incentive Payment Tab
This tab is to be used to document the incentive payment to the respondent. It is automatically launched (Wizard Action) when an interview is completed. The current address for the respondent—will be padded in here for you to confirm or change, if the respondent indicates another address where he or she would like the check mailed.
Post-Interview Required Information

After completion of a screener interview, the following Wizard Actions will be completed:

1. Respondent Address
2. Call Record (Wizard)

After completion of a main interview, the following Wizard Actions will need to be completed:

1. Respondent Address
2. Contact Person #1 Address
3. Contact Person #2 Address
4. Incentive Payment (R Payment Wizard)
5. Call Record (Wizard)
6. Contact Observations (Wizard)
7. Interviewer Observations (Wizard)

When suspending an interview, you will be requested to confirm/collect:

1. Respondent Address
2. Call Info (Wizard)

2.4 The DNORS Result Codes

The result codes, or status codes as they are sometimes called, that we will use on this project, are the SRC standard codes for field studies with the exception of three codes (9000 series) that have been approved for use on this study.

Result codes are separated into interim result codes and final result codes. The interim codes are used to document the outcome of each attempt made on a given sample line, i.e., it becomes a historical record of the process of work put into working a given sample line. The final codes are assigned when work has stopped on a given sample line. Final status codes are used for a complete or partial interview, final refusals, non-interviews (e.g., permanent condition, deceased, language problem), non-sample (e.g., no eligible respondent).
The DNORS Result Code Definitions

This section describes the Result Codes to be implemented for the DNORS study. (Please see also “Result Code Card” in Appendix B.)

A result code of 0000 indicates that a sample line has not been worked, i.e. no attempt has been made to contact the household/respondent. Main lines which have been spawned after completing a screener should never have the 0000 code. A call record should be entered immediately with a result code selected based on information that was gained when the screener was completed.

The 1000 Series - Completes

This series is to be used in coding contact attempts which result in an interview/screener.

<table>
<thead>
<tr>
<th>1000</th>
<th>Completes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>Completed Interview/Screener</td>
</tr>
<tr>
<td>1005</td>
<td>Accepted Partial Interview</td>
</tr>
</tbody>
</table>

Code 1001 – fully completed interview or screener.

Code 1005 – partially completed interview. This code is not used for interviews which will be completed at a later date; it is only used with the permission of the study staff for interviews that will be accepted without completing the data collection with this Respondent.

The 1400 Series – Voicemail or Answering Machine/Service Reached

This series is for voicemail (VM) systems and answering machines; it differentiates between whether or not a message was left.

<table>
<thead>
<tr>
<th>1400</th>
<th>Answering Machine/Service Reached</th>
</tr>
</thead>
<tbody>
<tr>
<td>1401</td>
<td>Answering Machine or VM, No Message Left</td>
</tr>
<tr>
<td>1402</td>
<td>Answering Machine or VM, Message Left</td>
</tr>
</tbody>
</table>

Code 1401 – reached an answering machine or voicemail system and did not leave a message.

Code 1402 – reached an answering machine or a voicemail system and left a message.
The 1600 Series - Pager, Fax, Modem, Text Messenger, TTY

There are a number of other devices you may encounter while attempting to contact a respondent. The 1600 series codes are meant to record the encounters with some of the more common devices.

<table>
<thead>
<tr>
<th>1600</th>
<th>Pager, Fax, Modem, Text Messenger, TTY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1602</td>
<td>Fax, Modem</td>
</tr>
</tbody>
</table>

Code 1602 – for use with a fax or modem, identified by a series of screeching beeps and whistles. Lines with this code should be attempted once or twice more and then placed into tracking if the same sound is heard.

The 2000 Series – Incorrect (Bad), Non-Working Number

These items are grouped in a way that brings field and phone codes for the same outcomes into the same category. The 2000 series is meant to capture some of the basic processes of discovering that a phone number is nonexistent or non-working.

<table>
<thead>
<tr>
<th>2000</th>
<th>Bad Address, Bad Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>Address Non-Existent</td>
</tr>
<tr>
<td>2009</td>
<td>Complete Silence</td>
</tr>
<tr>
<td>2010</td>
<td>Strange Noise / Fast Busy</td>
</tr>
</tbody>
</table>

Code 2006 – found, either through a face-to-face visit or returned mail, indicating that the address recorded for the respondent does not physically exist. This code is used only on list studies (where the address is specified, regardless of whether the respondent name is known)

Code 2009 – a call is placed and only silence is heard.

Code 2010 – a call is placed and a strange noise is heard, that is not a fax, modem, pager, TTY, etc.

The 3000 Series – Not Answered, No Contact

The 3000 series is meant to capture information about a call or visit that was made to a phone number or address that is apparently correct, but no contact was made due to one of the circumstances listed. This category is likely to be the most common no-contact group.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3000</td>
<td>Not Answered, No contact</td>
</tr>
<tr>
<td>3001</td>
<td>Ring No Answer / No one home</td>
</tr>
<tr>
<td>3002</td>
<td>Phone Busy</td>
</tr>
<tr>
<td>3003</td>
<td>Locked Building / Gated Community</td>
</tr>
</tbody>
</table>

Code **3001** – a phone call is placed that rings but no one answers, or you knock on the door and no one appears to be home, and the building does not appear to be abandoned.

Code **3002** – a phone call is placed and you get a busy signal, or you knock on the door, but no one will answer and you can hear people inside.

Code **3003** – attempting to reach a respondent face to face but are prevented from doing so by a locked building or gated community. This result code is for situations where it is not possible to reach the door leading into the respondent’s place of residence. For example, a multistory building may prevent you from reaching the door of the respondent’s apartment because the main door to the building is locked or a guard will not allow you to enter the premises. This also includes situations where a dog prevents you from reaching the door. This does not include situations in which the respondent is incarcerated.

---

**The 4000 Series – Contact No Resistance, General Callback**

The 4000 series of codes should be used when a household is contacted and you are told something like “now is not a good time” to talk and the person is not able to give more information about a better time to call back. In order to use this code, there must be recognition or permission from the household member that you will be calling back. For example, a household is contacted and a household member who is leaving to go shopping is reached and he or she says, “Just try back another time.”

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4000</td>
<td>Contact No Resistance, General Callback</td>
</tr>
<tr>
<td>4001</td>
<td>Cont No Resis, General Callback, Informant (R Known)</td>
</tr>
<tr>
<td>4002</td>
<td>Cont No Resis, General Callback, Respondent</td>
</tr>
<tr>
<td>4003</td>
<td>Cont No Resis, General Callback, R Unknown</td>
</tr>
</tbody>
</table>

Code **4001** – reached an informant who deferred contact but did not specify a good time to call back or return. This code should only be used if the respondent has been identified. If he or she has not, the attempt should be coded 4003.

Code **4002** – reached the respondent, who deferred contact but did not specify a good time to call back or return.
Code **4003** – achieved contact with someone at a household in which a respondent has not yet been selected; the person reached deferred contact but did not specify a good time to call back or return. This code is only used in studies whose designs include a screening process to determine the respondent.

**The 4100 Series – Contact No Resistance, Best Time Known**

The 4100 series of codes cover all contact situations in which you have spoken to someone at the identified phone number and were told a better (or “best”) time to call back. Use this whenever anyone gives a time of day or day of the week that would be the “best” or a “better” time to reach the respondent. SurveyTrak will automatically prompt you to enter a specific date and time for these codes. Even though you don’t have this information from the person you spoke with, you should, at this time, decide on a specific time to call back that fits in the best time.

<table>
<thead>
<tr>
<th>4100</th>
<th>Contact No Resistance, Best Time Known</th>
</tr>
</thead>
<tbody>
<tr>
<td>4101</td>
<td>Cont No Resis, Best Time Known, Informant (R Known)</td>
</tr>
<tr>
<td>4102</td>
<td>Cont No Resis, Best Time Known, Respondent</td>
</tr>
<tr>
<td>4103</td>
<td>Cont No Resis, Best Time Known, R Unknown</td>
</tr>
</tbody>
</table>

Code **4101** – reached an informant, who specified a better or best time for the interviewer to call back or return. This code should only be used if the respondent has been identified. If he or she has not, the attempt should be coded 4103.

Code **4102** – reached the respondent, who specified a better or best time for the interviewer to call back or return.

Code **4103** – achieved contact with someone at a household in which a respondent has not yet been selected; the person reached specified a better or best time for the interviewer to call back or return. This code is only used in studies whose designs include a screening process and should be used rarely since most studies' screening questions are brief and it is preferable to encourage the informant to answer the screening questions as soon as possible.

**The 4200 Series – Contact No Resistance, Appointment Made**

The 4200 series of codes should be used when a hard appointment is set to talk with either the respondent or someone in the household. A hard appointment is one in which you have been provided with a specific date and time at which you can reach either the respondent or the household. These codes are differentiated by who in the household set the appointment.
<table>
<thead>
<tr>
<th>4200</th>
<th>Contact No Resistance, Appointment Made</th>
</tr>
</thead>
<tbody>
<tr>
<td>4201</td>
<td>Cont No Resis, Appt Made, Informant (R Known)</td>
</tr>
<tr>
<td>4202</td>
<td>Cont No Resis, Appt Made, Respondent</td>
</tr>
<tr>
<td>4203</td>
<td>Cont No Resis, Appt Made, R Unknown</td>
</tr>
</tbody>
</table>

Code **4201** – reached an informant, who set an appointment for the interviewer to call back or return. This code should only be used if the respondent has been identified. If he or she has not, the attempt should be coded 4203.

Code **4202** – reached the respondent, who set an appointment for the interviewer to call back or return.

Code **4203** – achieved contact with someone at a household in which a respondent has not yet been selected; the person reached sets an appointment for the interviewer to call back or return. This code is only used in studies whose designs include a screening process and should be used rarely since most studies’ screening processes are brief and it is preferable to encourage the informant to answer the screening questions as soon as possible.

### The 4300 Series – Contact Initial Resistance

The 4300 series should be used whenever contact is made with a household and you experience resistance. The resistance or refusal could be from an informant, the identified respondent refusing to do the interview, or any adult member in the household refusing a callback. This group of codes would also be used when you get ‘hung up on’ during the introduction or during further attempts at persuasion.

<table>
<thead>
<tr>
<th>4300</th>
<th>Contact Initial Resistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>4301</td>
<td>Cont Initial Resistance, Informant (R Known)</td>
</tr>
<tr>
<td>4302</td>
<td>Cont Initial Resistance, Respondent</td>
</tr>
<tr>
<td>4303</td>
<td>Cont Initial Resistance, R Unknown</td>
</tr>
<tr>
<td>4305</td>
<td>Cont, Released Final Refusal for Calling</td>
</tr>
</tbody>
</table>

Code **4301** – reached an informant, who expressed resistance to the request to interview the respondent. Such an informant is also called a “gatekeeper.” This code should only be used if the respondent has been identified. If he or she has not, the attempt should be coded 4303.

Code **4302** – reached the respondent, who expressed resistance to the survey request.

Code **4303** – achieved contact with someone at a household in which a respondent has not yet been selected; the person reached...
expressed resistance to the survey request. This code is only used in studies whose designs include a screening process.

Code 4305 – released case previously coded final refusal for further effort to be made in addressing respondent concerns. This code is used only in unusual circumstances and when specifically directed.

**The 4500/4600 Series – Tracking**

These codes are for interviewers while they or a designated internet tracker are carrying out tracking efforts. If/when a respondent is located, a non-tracking code should be assigned to the sample line.

<table>
<thead>
<tr>
<th>4500/4600</th>
<th>Answering Machine/Service Reached</th>
</tr>
</thead>
<tbody>
<tr>
<td>4510</td>
<td>Tracking by Interviewer, R Tracking</td>
</tr>
<tr>
<td>4610</td>
<td>Tracking by Tracking Team/Internet Tracker, R Tracking</td>
</tr>
</tbody>
</table>

Code 4510 – action taken by interviewer to locate lost respondent. This code is used in documenting all steps related to interviewer tracking of a lost respondent, including follow-up calls to tracking leads. Actions taken by Tracking Team members should be assigned codes in the 4600 series.

Code 4610 – action taken by Tracking Team to locate lost respondent. This code is used in documenting all steps related to Tracking Team tracking of a lost respondent, including follow-up calls to tracking leads.

**The 4900 Series – Hold, Problem Review**

This set of codes distinguishes between the two distinct types of problems that can occur with an interview. This will allow for efficient diagnosis of who should be addressing the problem, as well as allowing for the analysis of the incidence of each type of problem.

<table>
<thead>
<tr>
<th>4900</th>
<th>Hold – Problem Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>4901</td>
<td>Hold, Technical Problem</td>
</tr>
<tr>
<td>4902</td>
<td>Hold, Procedural Problem</td>
</tr>
</tbody>
</table>

Code 4901 – a technical problem was encountered. Technical problems encompass those with the computer hardware or software which interviewers need for completing the interview.

Code 4902 – a procedural problem was encountered. A procedural problem arises when an unusual situation is encountered and the
interviewer is unsure how to apply standard study protocols in determining how to proceed.

The 5000 Series – Final Refusal

These codes are final result codes to be used when the respondent or an informant has refused to participate and no further refusal conversion attempts will be made. **These codes require permission from your supervisor before assigning any of these codes.**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5000</td>
<td>Final Refusals</td>
</tr>
<tr>
<td>5001</td>
<td>Final Refusal, Respondent</td>
</tr>
<tr>
<td>5002</td>
<td>Final Refusal, Informant (R Known)</td>
</tr>
<tr>
<td>5003</td>
<td>Final Refusal, R Unknown</td>
</tr>
<tr>
<td>5006</td>
<td>Final Refusal, Do Not Attempt RC</td>
</tr>
</tbody>
</table>

Code **5001** – the respondent refused to participate in the study. Attempts to address his or her concerns were made per study protocol (e.g. call back, letter sent). No further attempts will be made.

Code **5002** – an informant (“gatekeeper”) refused to have the interview conducted with the respondent. Attempts to address his or her concerns were made per study protocol. No further attempts will be made.

Code **5003** – the respondent has not yet been selected and a household member refused to allow the household to be included in the study. Attempts to address his or her concerns were made per study protocol. No further attempts will be made.

Code **5006** – a respondent, or someone other than the respondent, refuses to be included in the study, and it was never attempted to reach him or her for conversion due to various circumstances.

The 6000 Series – Other Non-Interview

This series is meant to cover some of the final situations, other than refusal, that may prevent you from conducting an interview with a respondent. **These codes require permission from your supervisor before assigning any of these codes.**

<table>
<thead>
<tr>
<th>Code</th>
<th>Other Non-Interview</th>
</tr>
</thead>
<tbody>
<tr>
<td>6000</td>
<td>Other Non-Interview</td>
</tr>
<tr>
<td>6001</td>
<td>NI: Tracking Exhausted (R Known)</td>
</tr>
<tr>
<td>6002</td>
<td>NI: Final Non-Contact Unknown HH Eligibility</td>
</tr>
<tr>
<td>6003</td>
<td>NI: Incomplete Interview</td>
</tr>
<tr>
<td>Code</td>
<td>Reason</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td>6004</td>
<td>NI: Permanent Condition</td>
</tr>
<tr>
<td>6005</td>
<td>NI: Language Barrier, R Known</td>
</tr>
<tr>
<td>6007</td>
<td>NI: Contact; Other Reason</td>
</tr>
<tr>
<td>6008</td>
<td>NI: Contact; HH Eligibility Unknown</td>
</tr>
<tr>
<td>6009</td>
<td>NI: Locked Building / Gated, HH Elig Unknown</td>
</tr>
<tr>
<td>6010</td>
<td>NI: Respondent Incarcerated</td>
</tr>
<tr>
<td>6012</td>
<td>NI: Deceased Respondent</td>
</tr>
<tr>
<td>6014</td>
<td>NI: Final Non-Contact, R Known</td>
</tr>
<tr>
<td>6015</td>
<td>NI: Language Barrier, R Unknown</td>
</tr>
<tr>
<td>6016</td>
<td>NI: Contact; Unknown R</td>
</tr>
</tbody>
</table>

Code **6001** – a respondent was lost and tracking did not produce results, so the respondent was never reached.

Code **6002** – multiple contact attempts failed to result in any contact with anyone at the address or phone number. As a result, there was no confirmation that the address or phone number was an eligible sample unit (e.g. household) for the study. This may include sample lines where contact attempts resulted in a string of answering machines/privacy manager intercepts with no direct household contact. This code is used only on studies whose designs include a screening process.

Code **6003** – the respondent was contacted and the interview was started, but for some reason the interview was never completed or never completed to a point that is considered acceptable as a partial complete.

Code **6004** – a reason other than language prevented the respondent from completing the interview (e.g. blindness, deaf, physically unable to speak).

Code **6005** – the respondent was contacted and the interview or consent process was started, but due to language comprehension, the interview was never completed or never completed to a point that is considered acceptable as a partial complete.

Code **6007** – not be able to complete the interview with a respondent for some reason other than those identified in these result codes (e.g. respondent is leaving the country for the duration of the study).

Code **6008** – contact was made, but the interviewer was unable to determine if the address or phone number was an eligible sample unit (e.g. household) for the study.
Code 6009 – attempting to reach a respondent face to face, but are prevented from doing so by a locked building or gated community. This result code is for situations where you are not able to reach the door leading into the respondent’s place of residence. For example, a multistory building may prevent the interviewer from reaching the door of the respondent’s apartment because the main door to the building is locked or a guard prevents you from entering the premises. This also includes situations where a dog prevents you from reaching the door.

Code 6010 – it is confirmed that the respondent is incarcerated, will be incarcerated for the entire interviewing period, and there is no access to the respondent.

Code 6012 – it is discovered that the selected respondent is deceased. This status was not known during the household listing process or was discovered since the listing process.

Code 6014 – respondent was located, but no successful contact (and no final refusal).

Code 6015 – contact was made, but only with someone unable to respond to screening questions in an approved study language. As a result, no respondent was selected.

Code 6016 – contact confirmed that the address or phone number belonged to a sample unit (e.g. household), but, due to a reason other than refusal, the interviewer was unable to determine if there were any household members eligible to participate. For example, this code would be used if every contact achieved was with a minor.

The 7000 Series – Non-Sample

<table>
<thead>
<tr>
<th>7000</th>
<th>Non-Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>7002</td>
<td>NS: Sub-Selected Non-Sample</td>
</tr>
</tbody>
</table>

Code 7002 – the sample line was statistically selected to be coded non-sample, because it was determined that the study had more sample than needed to reach study goals.

---

8 Note that for this study, if the member of the 2005 household is deceased at this point in time (when you take a household listing), that person is made in-eligible for selection to the interview.
The 8000 Series – Non-Sample

This series contains other non sample codes, meaning the sample line does not meet the study eligibility criteria and so is excluded. Please consult with your supervisor before assigning any of these codes.

<table>
<thead>
<tr>
<th>8000</th>
<th>Non-Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>8001</td>
<td>NS: Sample Listing Isn’t Proper</td>
</tr>
</tbody>
</table>

Code 8001 – the listing is not the proper type for the study. This would be the case if we discovered that the address is actually outside of the sample area or if results of tracking confirm that a sample address was a business and not a residence in August 2005 (e.g. it was converted to a hair salon and no one was living there at the time of Katrina).

The 9000 Series – Study Specific Codes

These codes have been created and approved for use on this specific study.

<table>
<thead>
<tr>
<th>9000</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>9001</td>
<td>NS: HU Vacant Aug 2005</td>
</tr>
<tr>
<td>9002</td>
<td>NI: HU Occupied Aug 2005, Cannot Identify HH</td>
</tr>
<tr>
<td>9003</td>
<td>NI: HU Occupied Aug 2005, HH Identified; Not Found</td>
</tr>
</tbody>
</table>

Code of 9001: This is a non-sample code. It will be used in a situation where we learn that the housing unit/address was vacant in August 2005 at the time of Hurricane Katrina. That is, no household was living at that address.

Code of 9002: This is a non-interview code. It will be used in a situation where we learn that the housing unit/address was occupied in August 2005 at the time of Hurricane Katrina but we are unable to identify that household. No one can tell us who lived at the address at that time, nor are we successful in gleaning this information from any of our tracking steps.

Code of 9003: This is a non-interview code. It will be used in a situation where we learn that the housing unit/address was occupied in August 2005 at the time of Hurricane Katrina and we know which household was living there, but we have not been able to locate a member of that household.
2.5 Blaise Highlights

Moving Between SurveyTrak and Blaise

Blaise is the computer programming application that the DNORS questionnaire and some other study-specific forms are programmed in.

When you enter SurveyTrak and choose the “Projects” option, you will see your list of sample lines. Highlight the sample line for your respondent to select the interview for the respondent. *(Please take great care to make certain you highlight the correct sample line, i.e., the line with the correct name!)* Then you can click the “Interview” icon or choose interview from the menu selections. This will move you into Blaise and you can start the interview.

Once you finish the interview with the Respondent (R), SurveyTrak will bring you to the R Address Tab to update Name and Address information. Next, you will collect name and address for two contact people and enter that information in the Contact Person Tabs. You will then be directed to the Incentive Tab to complete the required information pertaining to the payment of the incentive. Finally, you will need to complete the Call Record as well as the Contact Observations and the Interviewer Observations as appropriate.

**Addresses for Two Contacts:** We want the names and addresses of two people who are from a different household (from the respondent and from each other) who will know how to get in touch with the respondent if we can’t locate him or her. Let the respondent know that we will never contact these people unless we are unable to locate the R at the address and phone number they have already given. The only reason we might need to contact the respondent again would be if we had any problems with the interview and needed to talk with the R for clarification, or if we decided to continue the study again in the future and needed to locate the R if s/he had moved. We are a social research organization and we do not sell lists of names and addresses to anyone under any circumstances. If the R will only give business addresses and phone numbers for the contact people, this is better than no information. Also get the relationship of the contact person for the respondent.
For these two people you will gather:

- Full name
- Street Address
- City, State and Zip Code
- Area Code + Telephone Number
- Relationship to the R

**Interviewer Observations**

These observations are to be recorded after each completed interview. After completing the Respondent and Contact Persons addresses, the Incentive Payment, and the Call Record, you will be prompted to complete the Interviewer Observations. You will be launched into a mini-Blaise form to record your observations of the interview. **Please do NOT complete the Interviewer Observations until after you leave the Respondent’s home.**

The Interviewer Observations provide a description of the Respondent, his/her understanding of the interview questions, and the interview situation. This information is vital to understanding the circumstances surrounding the interview and clarifying any confusing or conflicting information contained in the interview. It also brings attention to any questions that may be confusing for respondents. The Interviewer Observations must be completed as soon after completing the interview as possible and certainly within the same day as the interview. Your interview will not be recorded as complete until this section/form is completed.

Remember that the respondents have a legal right to look at their interview, including the comments in your call notes. You should keep your remarks impersonal, non-judgmental, and directed to the interview itself.

**Contact Observations**

These contact observations are to be recorded for certain pre-determined situations only. These very brief questions about what the respondent said during the call/encounter will be launched automatically when certain result codes are assigned to the outcome. Once they are done you will see “Completed” in the contact observation column for that case on the main SurveyTrak screen.
Suspended Interviews

There may be times when an interview cannot be completed in one sitting. The respondent may become tired, the interview may run longer than anticipated, or an unexpected visitor may interrupt the session. These or similar situations will require you to suspend the interview. Instructions on how to suspend interviews are included in your Blaise instructions.

After suspending the interview you will enter a Call Record describing the reasons for suspending the interview, the question number at which the interview was suspended, and the day, date and time that has been agreed upon to continue the interview. You will enter the Call Record as soon as possible but always before you send and receive that evening.

Remember, when suspending an interview:

1. Try to finish the section in which you are working. This will allow the respondent to remain focused on a specific topic and not force him/her or you to remember it at a later date. If it is not possible to finish the section, at least be certain to complete the entire question being asked and then move on to the next question. The computer will only save information after a completed question.

2. Always write down the question number of the next question to be asked. Record that information in the call record and when resuming an interview from point of suspension always check to make sure that is where you start.

3. Never leave a respondent’s home without rescheduling an appointment to continue the interview.

4. Never shut down the computer without first returning to the “Windows” desktop and following “Shutdown” procedures.

5. If the interview was suspended as a result of the respondent’s refusal to continue, be certain to enter that information in your call notes.
Re-entering Suspended Interviews

Before you complete a suspended interview certain preparations need to be made. First, always tab over to the “Iw Status” column on the SurveyTrak Sample Listing Screen. If anything other than “SUSPND” appears on that interview line, there is a problem and you should immediately contact your TL or the Computing Help Desk. If “SUSPND” does appear, you are ready to re-enter the interview.

You return to a suspended interview the same way that you started the interview in the first place. In SurveyTrak, select the correct project, highlight the sample line you are working on, and click the “Interview” icon (or choose interview from the menu options). To resume the interview, use the FN + END keys to move to the point where the interview was suspended.

Recovering Lost or Damaged Interviews

There may be times when, because of a power failure or human error, the computer has been turned off incorrectly. Do not panic! Procedures have been established to recover lost or damaged interviews. Contact your TL or the Computing Help Desk.
SECTION 3: CONTACTING HOUSEHOLDS & SCREENING FOR ELIGIBILITY

3.1 Planning and Scheduling

There are many tasks you need to complete when you call or visit a household: obtain a listing of the people who resided there on August 2005, at the time of Hurricane Katrina, screen the household to determine if there is an eligible respondent, and, if the eligible selected respondent is available, you will launch into the interview. All of these tasks need to be done smoothly and professionally and take careful planning to achieve. Familiarity with all the study materials and planning your work ahead will make you more efficient in working through your assignment. Being well prepared will also help to promote your credibility with informants and respondents.

3.2 Ten Tips for Building Effective Rapport

Always be prepared for your interactions with respondents (as well as informants), and use the skills you have to make that interaction as strong, positive, and professional as it can be. Below are ten tips to building rapport with your respondents, informants, or contact persons.

PROFESSIONALISM sets you apart.

Social science research is a sophisticated scientific manner of gathering data. You are associated with an organization that maintains high quality standards and trains its staff to be effective members of a research team. Use your full name and affiliation with the University of Michigan and the Institute for Social Research. Speak clearly and effectively.

Get the person’s ATTENTION.

People today have more contact than they would like with polls, market research, mail surveys, and telephone surveys. They listen when they expect to receive a benefit or to influence change. Provide your respondent with the information about the utility and importance of the DNORS.
Establish a **Dialogue**.

All of us like a good conversation. I talk, you listen. You talk, I listen. We share information. The respondents need to believe their views and experiences are worthy and valid. The respondent needs to know that you understand the concerns expressed to you. You do this by providing information as needed, rephrasing the respondent’s comments, and reflecting these comments back along with further explanations. The dialogue need not be lengthy to be effective.

Some things to consider are:

- Select responses which would allay the respondent’s concern;
- Give the respondent the response quickly and smoothly in language that would be comfortable for the respondent; and,
- Don’t ask questions that can be answered with a “yes” or a “no.”

Build your **knowledge** of your **Project**.

Respondents incorporate information in different ways. By increasing your knowledge of how this study works and learning all you can about your respondents, you will know how to relate the survey goals to your respondent’s situation.

Build your **knowledge** of your **sample member**.

Each time you contact respondents, you will learn a little bit more about them. You learn their schedules and when to call. You learn their family or job concerns. You realize that like other important issues in their lives, the survey must be relevant to their lives. As you learn about your respondents, you learn how to explain the importance of the survey to them.

**Anticipate** common questions.

Respondents will have many different ways of asking “Why me?” Your task is not only to anticipate common questions, but also to know how to provide an answer which is understandable to the respondent. Listen for the language used by the respondent – the phrasing, style, and pace – this can provide you with clues and help you phrase your reply in a way that is more responsive to the respondent. In this Project Manual, there is a list of some commonly asked questions and suggested responses (see
“Frequently Asked Questions” below). Be prepared to modify the wording to fit your situation and your own communication style.

Some specific questions you should be prepared for as you anticipate what kinds of questions the respondent/informant might ask, include:

- What is this all about?
- What will this information be used for anyway?
- Who is paying for this study?
- Why do you need me?

Use **ACTIVE LISTENING TECHNIQUES.**

Listening is work! When people talk, they don’t want advice, suggestions, or judgments. They want someone to listen. Listen to the words, ask for clarifications, and rephrase the statements. Use the respondent’s words in their explanations.

Some specific techniques are:

- Listen to the respondent’s comments;
- Listen to the respondent’s tone of voice, background noises, and hesitations;
- Reply to the respondent with respect for his or her statements;
- Identify the concern underlying the respondent’s hesitation;
- Use the respondent’s words. For example, “I understand you’re not interested, but let me explain a few things…”

Each contact is **UNIQUE.**

Ten people can see the same event and have ten different observations. Each contact with a respondent is a slice of his or her life. Treat each contact like a piece in a jigsaw puzzle. As each contact creates a new piece in the puzzle, the respondent’s situation is fleshed out.

**TIMING** is the key.

Our respondents have a sense of what they are doing, when, and for how long. Although our request may seem like an intrusion into their schedules, your task is to create a convenient way for the respondent to make time for the interview.
End on a **Positive Note**.

If at first you don’t succeed, try again. Of course, you can only try again if the respondent lets you. And the respondent will let you if you know when to leave. As you sense resistance or annoyance building, ease back and wait for another day.

Averting and converting refusals are some of the most challenging aspects of interviewing. During the study, it is particularly important to gain the confidence of the household members and the respondent quickly. There is a delicate balance between pushing for production interviews without alienating respondents from participation. When you encounter resistance, let your TL know immediately so that she can decide whether a persuasion letter, transferring the sample line, or a different approach by you would be the best choice. Below are more suggestions for maximizing your success with informants, gatekeepers, and respondents.

### 3.3 Getting Started

Prior to the call/visit…

- Build your knowledge of the study, the “most commonly asked questions,” and other aspects of the screening and interview.

First few seconds into the visit…

- Assume your respondent or informant is neutral and just needs your input and enthusiasm to convince them that this is a priority.

- Speak firmly in statement-making intonation (vs. a more tentative question-like inflexion). Project a voice that conveys your confidence that the respondent will find you worthwhile to listen and talk to.

- Don’t ask Yes/No questions – it’s too easy for the respondent to say “No.”

### Before You Call: Preparing for Phone Interaction

The DNORS is a telephone study, so you will contact respondents and informants by telephone in the vast majority of times. The tips
listed below will help you to prepare for a positive interaction via the phone. As you know, a positive interaction right from the start is key when recruiting people via the telephone (it is much easier for people to hang up or to say “no” right away, since the conversation is more anonymous than when standing face-to-face with someone).

1. Prepare materials. Have printed materials at hand for reference and reminders.
2. Have your calendar ready to set appointments.
3. Have the toll-free number at hand.
4. Have ST open and ready to record information.
5. Review information specific to the respondent you’re calling, including previous call records.
6. Have your introduction prepared.
7. Decide in advance if you will leave a voice message if there is no answer, and if so, exactly what the message will say.
8. Introduce yourself immediately giving name and organization. Even if you have previously spoken to the respondent, he or she may not recognize your name now.
9. Active listening applies to phone calls as well as face to face visits. Nonverbal clues are not available, but verbal clues are. Baby crying in the background? Respondent sounds out-of-breath? These may be signs that your call is inconvenient.
10. Differentiate yourself from telemarketers immediately by saying you hope this is a good time to talk rather than launching into a request to interview.
11. Watch your phone manners – politeness always counts!
12. Strive to make informants partners, not gatekeepers.
13. Animation in your voice will help to make up for the fact that the respondent can’t see your friendly smile.
14. Be prepared for respondents who say they are on the “Do Not Call” list; explain the distinction between solicitation and social research and why your call is different.
15. Make sure you are calling at their preferred number if known so that they have a sense of control regarding phone interruptions. If it’s better to reach them at another number, record that information (and be glad that you have another number for them!). Make sure to record what each number is (home, work, cell, relative, etc.).
16. Let them know that you care enough to call them back – they are essential to our research and cannot be replaced.
17. Always thank them for their time – phone interruptions can be really inconvenient for all of us!
Before you Call/Visit: Preparing for Face-to-Face Interaction

When working in segments to identify, track or interview respondents who do not have phones, remember to take all the necessary materials for screening and interviewing with you. Here’s the checklist of materials you should take with you when you visit your sample area.

- Your laptop and battery charger
- Your photo ID badge and Letter to Authorities
- Copy of the pre-notification letter and brochure
- Copy of press release(s) if available
- UM Business Sign for your car
- Laminated Pledge of Confidentiality

It may not be possible to conduct interviews during your first visit, but you may be able to screen households and set up appointments to return to the segment. Record as much information as possible, even if you are not able to make contact with a household.

In order to familiarize yourself with your segments, you should plan to drive or walk your segment(s), looking for indicators that might identify the best time for your first contact attempt with the household. Some things you should focus upon, when visiting your sample household for the first time, include the following:

Look at the yard and surrounding areas. Are there toys in the yard? Are there children playing in the area? If children reside in the household, it is very likely that someone will be home in the late afternoon.

Look at the housing units. Are they all single bedroom apartments with no cars parked outside? If so, it is possible that the units are occupied by working individuals and therefore it would be a better use of time to attempt contacts at these households during the evening or on weekends.

Look for impediments to gaining access to your sample households. Does your segment include an apartment building? Is it a locked apartment building? Does your segment include a neighborhood with sample households within a gated community? Start working this sample early, as it may take more attempts to gain access and complete the household screening. Team Leaders have extensive experience in gaining access to locked apartments or gated communities. Consult them for next steps.
Look for **safety issues**. Are there housing units near abandoned buildings or others that are partially obstructed by bushes or other impediments? If so, you will need to take this into account before proceeding. Consult your Team Leader for recommendations.

### 3.4 Contacting Respondents

Your first contact with a household, whether it be on the telephone or in-person makes a lasting impression that can make scheduling an interview either easy or difficult. Remember that the respondent does not know you personally, so professionalism is very important. You will present a professional image only if you know the study so thoroughly and are so well prepared that no question a reluctant respondent may ask will surprise you.

Before you contact a respondent, a pre-notification letter (with $5 enclosed) will have been sent to the household (see Appendix C1). However, the person(s) you speak with for the first time may not have received the letter or have read the letter, so you should be prepared to speak with them as if they had not received any information ahead of your contact. Each respondent is extremely important to our research and cannot be replaced, so your mission is to instill a sense of worthiness by:

- Providing the facts and background of the study.
- Invoking your belief and enthusiasm in the value of this study and in their part in it.
- Communicating your confidence that there’s something in this for the respondent—the opportunity to contribute to this important study. You can also mention the $30 that the eligible respondent will receive as a token of our appreciation for his/her participation in the study.
- Conveying your belief that the individual’s willingness to participate will make the study more valid and more meaningful.
DNORS Contact Process

The initial contact attempt for all sample lines will be by the interviewer who is holding the line in SurveyTrak and the Internet tracker (IT) who will work on the line only if it is coded 4610 by the interviewer. This is consistent with the model used on most SRO field projects.

Using the preloaded information in SurveyTrak, you will attempt to contact the respondent by phone to schedule an appointment. If the phone number is not in service or not correct for the respondent or if there is no preloaded phone number, you will follow the tracking steps listed in Call Wizard and in this manual in Section 6. If you are still unsuccessful in reaching the respondent, your Team Leader will either ask you to attempt a face-to-face contact or code the line for tracking by an IT (4610).

Once the respondent is located by the interviewer or the IT, the interviewer will contact the R to schedule an appointment. It is then the interviewer’s responsibility to conduct the interview, and complete all post-interview actions. (See Figure 3.1.)
Figure 3.1: DNORS Contact Process

Advance letter sent from Ann Arbor

Interviewer unable to locate R using ST steps and initiates IT tracking

Interviewer attempts phone contact

R calls toll free number

Interviewer contact; R refuses

Interviewer unable to locate R; follows ST tracking steps

IT tracking leads require FTF tracking by interviewer

Unable to locate via Internet or FTF tracking

Tracker locates R

Interviewer locates R

Interviewer completes interview

Counted as an interview!!

Counted as lost

Counted as a refusal
3.5 Contacting Informants

When you reach an informant who is having doubts about providing contact information about the respondent, identify the issue and respond to it. Do not overwhelm an informant with explanations. It is better to hold something back so you have a reason to call again. You might say:

*I can understand your reservations about giving out information on a close, personal friend without checking with him first. Why don’t you contact Mr. Jones and I’ll call you back in a few days?*

Remember, timing is everything! Don’t push an informant to the point he feels harassed. If you sense he is feeling pressured, back off. Let a few days or weeks go by before you attempt contact again, especially if you sense that he needs to make contact with the respondent before giving you the requested information.

---

**Telephone Tips**

Chances are you will be talking to people who have a direct link to the respondent, and to some who do not. Some informants may be suspicious, question the legitimacy of our research, or perceive contact with you as an imposition on their time. Dealing with informants requires preparation and finesse.

The first step is to evaluate the situation and develop a strategy before you pick up the telephone.

- What is the best introduction I can give?
- How did I obtain the informant’s name or agency name?
- What are the most useful questions I can ask him or her?
- What questions or objections might the informant have? How will I respond to them?

---

**Telephone Introduction**

In most cases, the interviewer should introduce him or herself by establishing credentials/affiliation and convey the importance of locating the respondent for valuable research.
If the informant asks, “How did you get my name or telephone number?” The interviewer should be prepared to answer the question without hesitancy, in a matter-of-fact tone of voice. Below are examples of appropriate responses to the question:

**If contacting the informant was a suggestion of another individual:**

*A person I spoke with while trying to locate [respondent’s name] suggested I contact you. The University of Michigan’s commitment to safeguard privacy does not allow me to disclose that person’s name. Any information you provide will also be confidential.*

**If the informant’s name and telephone number was obtained through an electronic resource:**

*We were able to determine that you were a neighbor of [respondent’s name] in [year] by your address. We understand this is an unusual request, but it’s important to our research that we locate [him/her]. Any information you give us will be confidential.*

A word of warning about electronic sources: Do not volunteer that you have obtained the name or number through an electronic source. Many people have misconceptions about electronic sources being illegal or are uncomfortable with the amount of public information that is electronically available today. In some cases, it may be best to start the conversation with confirmation that you are talking to the resident of a particular address, rather than confirmation that you are speaking with a particular person.

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**3.6 What to Include in Call Notes**

Include in your call notes the person with whom you spoke. Note the relationship between the respondent and the person with whom you spoke, as well as the gender and age, if known.

Names are essential in making contact with the correct person on the next call as well as recording any telephone numbers that are used while trying to contact the respondent.

What was said by the interviewer. How much and what kind of information was given to the respondent/informant should be written in the call note.
What was said by the informant. Note any concerns that were expressed and whether or not your response seemed sufficient to allay the informant’s concerns.

Action to be taken in future calls. If an appointment was set, note the time and date and indicate whether this is a firm appointment or simply a suggested time to call back.

Other suggestions that might help get the interview. Make note of information such as the respondent’s normal working hours or household routines that might interfere with obtaining an interview (e.g., meal times, children’s schedules, etc.).

Answering machine messages. The first time an answering machine or recording is heard, write a brief summary of the recorded message. Make note in the call record of any changes in that message in the future.

Examples of Good and Bad Call Notes

Bad: R was busy. Try back eves.

Good: M/R John Jones interrupted after verifying address, said house is being remodeled. Said call back in one week after workmen leave on [date]. Afternoons are best because R works in a casino at night.

— — —

Bad: Had a long chat with F/R. Wasn’t interested at first because she doesn’t have time and is not feeling well—her objections ran the whole, usual gamut. We seemed to develop a good rapport, shared a couple of laughs and she finally came around when I told her how we can’t replace her (the ol’ “piece of the jigsaw puzzle” line). She said she and her sister live there. Said to call back tomorrow after church.

Good: Talked with F/R Sarita Munoz R came to the phone and was hesitant at first but helpful once I explained why she was irreplaceable. I explained why it is important to talk with everyone who is part of the New Orleans Katrina Study, no right or wrong answers, study background, convenient hours, etc. Made appt. for tomorrow [date] after church [time] to do the interview at her home. Confirmed address in SurveyTrak.

— — —
Bad: M/R, not too bright, said “I ain’t gonna do no survey for yer company and I ain’t gonna send no money to ya’s neither.” Nothing I could say seemed to penetrate his thick skull.

Good: M/R Philip Morris was convinced we must be soliciting funds. Kept saying “I ain’t gonna do no survey for your company or send any money.” I tried to explain the study and its purpose several times but to no avail. He finally just hung up. Will discuss with TL about making personal visit to home or sending persuasion letter.

The Call Note Checklists

Please include these items in your interim call notes:

- Identify the respondent by name and include which type of respondent (screener, household, or adult)
- The name of the person you spoke with and his or her relationship to the selected HU, if known
- Day of the week and time of day of the call
- Any information given to you by a respondent or an informant
- The best time to reach the respondent
- Recurring schedule information for the respondent or household such as they work nights, only call after 1 pm, etc.
- If the respondent is attending school and where
- Plans to move during data collection period
- Information on additional phone numbers or residences
- Virtually any tidbit of information that you learn in conversation that could be helpful in contacting the respondent now or in the future
- Place of employment
- Names of family members, roommates, etc.
- Whether residence is owned or rented
- Cooperation level of the informant or respondent
- Content of voice mail or answering machine message the first time it is heard and whether or not it has changed in subsequent calls, including:
  - Is it a male or female voice?
  - Does the message identify the respondent or the respondent’s family by name?
  - Does the message verify the phone number you have called?
  - If you left a message, what did you say?
- If the interview was suspended, you must include the last question number and reason for the suspend.
Please include these items in the **final** call note:

- Identify the respondent by full name: “R, John Smith”
- Method and amount of payment
- Length of interview
- Mode of interview
- Number of sessions to complete interview
- Respondent’s cooperation level
- If the respondent was upset at any time during the interview and if so, what actions were taken
- Specific comments the respondent made about participating in the study
- Best time to reach the respondent
- Any unusual circumstances, described factually and without judgment
- Any plans to move
- Was this case resistant at any time and if so, how was the resistance resolved?
- Was contact information for CP provided, and if not, why not?
- Was the interview recorded?
- Was a Finder’s Fee offered? If so to whom and how much?

And **never** include these things in call notes:

- Any information disclosed during the course of the interview
- Judgments or opinions about the respondent or others in the household
- Conjecture about why a respondent or informant did or said something

These kinds of comments are inappropriate in all circumstances. Failure to adhere to this policy will result in counseling from the study Production Manager and may lead to removal from the study. If you encounter a situation that you feel should be included in your notes and you don’t know how to record it professionally, please consult your TL for assistance. Problems need to be documented, but it needs to be done in an objective and professional manner.
3.7 Frequently Asked Questions

Informants Who Ask Questions

Please remember that it each of us has the responsibility to adhere to our pledge to safeguard respondents’ confidentiality. This obviously applies to everything that the respondent says during the interview or during our initial contact attempts with him or her. But it also applies to his or her potential participation in our study. Thus, you are never permitted to tell anyone outside of the selected household that you are looking for someone who has been selected to participate in the New Orleans Katrina Study. When talking to someone outside of the selected housing unit you should say something more general like “a very important study,” or “an important research study conducted by the University of Michigan and the RAND Corporation.”

If the study prepares a press release, you may use/show that press release to anyone, including potential informants and other interested, helpful parties. This is because what is in the press release is public knowledge. The study-specific brochure, however, is written for potential respondents and should not be given to people who do not belong to the selected housing unit.

Respondents Who Ask Questions

You must be prepared to address respondents’ concerns in order to gain their cooperation. Below is a list of the most commonly asked questions and information that you can use when asked these types of questions about the study.

What is this all about?

The New Orleans Katrina Study will provide valuable information on the whereabouts, health, and well-being of children and families who lived in New Orleans at the time of Hurricane Katrina, including information on short- and medium-term outcomes over a period of four to five years following the hurricane.

The study will provide information for local community groups in New Orleans about the number and type of residents who lived in the city before the storm who have returned, and the number who have not returned but are interested in doing so. The study will also
provide specific information on the reasons why people who want to return have not done so yet.

Results of the study will help community groups, government, and non-profit organizations to provide services to New Orleans and New Orleanians affected by the storm.

Who is being asked to participate?

More than 1,250 households who were living in Orleans Parish when Hurricane Katrina struck will participate in this important study. Households are selected for participation using a random scientific sampling procedure. Up to two adults are randomly selected from all eligible people in each of the selected households.

How will the interviews be conducted?

People who are eligible and selected to participate in the study will be interviewed over the phone or, if necessary, in person, by our professional staff. The interview takes on average 30-60 minutes, depending on your situation and how much you have to say about the topics that we cover.

Participants will receive a check for $30 after the interview is completed as a token of our appreciation for their participation.

What kinds of questions will be asked?

We will be asking questions about members of the household that were living at the selected address in August 2005, when Hurricane Katrina struck: who was living at the address, where each person is now, and if no longer at the address, what are their plans for returning.

We will also be asking some questions about past and current work, education, financial resources and about reactions that people may have/had to the disaster and how these reactions and feelings may have impacted their lives, including their health and their emotional and social well-being.
Why have I been asked to participate?
Why don’t you call/get someone else?

You will help us better understand the effects of Hurricane Katrina on residents in New Orleans. We are interested in the experiences of people with all levels of exposure to the hurricane, so your participation is important even if you feel that you were not directly affected by the hurricane.

We are interested in information about you, personally. This information cannot be obtained from anyone else, and it is very important to the success of the study.

Each person who is asked to participate has been carefully selected to represent thousands of other people like them. Only the selected individuals from each household may participate. No substitutions are allowed. As such, participation from each potential respondent is critical to the success of the research.

Is participation voluntary?

Yes, participation is voluntary and completely confidential. You may choose not to answer any or all of the questions. You may stop the interview at any time.

What will happen to my answers when we finish?

Your answers will be combined with the answers from all of the other participants and a summary report will be prepared. No names or identifying information will be connected with anyone’s answers. It is important to include the experiences of many different people to assure that we are getting a true “picture” of the affects that Hurricane Katrina has had on people’s lives. The identity of participants will never be released.

The data collected will be used by academic researchers and government policy makers to better understand the effects on children and families, including their health and social and economic well-being as a result of having been temporarily or permanently uprooted after Hurricane Katrina.
Who will see my answers?

Your information is confidential. The University of Michigan and RAND will not share any personally-identifying information with any agency, or your employer, other family members, neighbors or anyone else. Your information will only be used for statistical purposes and will only be published in aggregated totals.

How will this help me?
What’s in it for me?

Providing information about your situation and experiences gives you a chance to influence the development of policies that have an impact on how communities prepare for potential large-scale disasters in the future.

The University of Michigan knows that your time is valuable. And, as a token of our appreciation, you will receive a check in the amount of $30 after completing the interview.

How can I get a copy of the results?

Reports will be made available after the data collection is completed and the results have been tabulated.

How long will the interview take?

The interview will take on average 30 - 60 minutes depending on your situation and how much you have to say about the topics that we cover.

Who is conducting this study?
What is the name of the project director?

The New Orleans Katrina Study is conducted by the University of Michigan in Ann Arbor, Michigan, in collaboration with the non-profit RAND Corporation in Santa Monica, California, and Tulane University in New Orleans. The University of Michigan’s Survey Research Center will oversee the data collection of interviews with the New Orleans study participants. Approximately half of the interviewers are residents of New Orleans and the surrounding area.
and are employed and trained by the Survey Research Center at the University of Michigan.

The project director and principal research investigator is Dr. Narayan Sastry, a professor at the University of Michigan who is also affiliated with the RAND Corporation. Tulane University is represented by the co-investigator and professor, Dr. Mark VanLandingham. In addition, investigators from several other Universities in the nation are collaborating on this important study.

Who is funding the study?

The National Institutes of Health (NIH) is providing funding for this study.

3.8 Refusal Aversion and Persuasion

We believe that most people you call or visit will be interested in doing the interview. But if there is resistance, it may be because they think that your mission is similar to those in market research or some other commercially motivated enterprise. When someone says, “I’m not interested” or “I don’t do things like this,” they are probably thinking of market research or a sales pitch.

Your mission then is to instill that sense of worthiness by:

- Providing the facts and background of the study.

- Invoking your belief and enthusiasm in the value of this study and in their part in it.

- Communicating your confidence that there’s something in this for the respondent: the opportunity to contribute to policy makers’ and others’ ability to plan for future natural disasters. You can also mention the $30 that the eligible respondent will receive for completing this interview.

- Conveying your belief that the individual’s willingness to participate will make the study more valid and more meaningful.
3.9 Refusal Conversion (RC)

Later in the study you will discuss with your Team Leader (TL) and Production Manager (PM) in your conference calls how best to handle situations where it appears that the respondent is refusing to participate in the study. There is a fine line between attempting to convert a refusal and bothering the respondent excessively. Your TL and PM will help you establish that balance. They will also discuss specific strategies with you, which might include transferring the sample line to someone else (sometimes a different person or approach works in this type of a situation).

RC Opening Sentences

Generally, the following introductory sentences are helpful to put a respondent at ease:

- I ‘called/stopped by’ before and caught you at a bad time.
- I'm ‘calling/stopping by’ to apologize for any misunderstanding.
- I'm ‘calling/stopping by’ for two reasons: First, because you are very important to our study and we do want to interview you; and second, because I want to be able to answer any questions you may have about our study.
- I'm ‘calling/stopping by’ again because we need your help.
- I'm sure you're wondering why I'm ‘calling/stopping by’.

Common Refusals and Responses

There are some general concerns that some respondents typically have when asked to participate in a survey. Please be prepared to address these concerns on the spot.
I am too busy

When the Respondent says “I'm too busy” or “I don't have time,” you might reply:

“I understand that you have a busy schedule, and it's very important that we speak to busy people like yourself in order to get an accurate representation of opinion.”

“I can understand your feelings and other participants have felt the same way. However, they found that it's an interesting study, and they've enjoyed the interview.”

“We know your time is valuable and we want to do the interview at a convenient/good time for you. I could give you a call at (suggest alternate days and times).”

I don't do surveys

When the Respondent says, “I don't do surveys,” you might reply:

“I can understand your reluctance to give information to a stranger. My name is ([POINT TO BADGE,] GIVE NAME). If you would like to verify that I am an interviewer for the University of Michigan, you may call our Ann Arbor office (1-800-759-7947).

“Any information you choose to give is kept strictly confidential and is only used to derive survey totals. Any identifying information is kept separate from your interview in special confidential files.”

“You don't have to answer any question you don't want to, any information you do give is helpful.”

“I am sorry to hear that. I know some people don’t like to do surveys, but most people we talk with find it very interesting. You are important to our study, and we really need your help.”

I'm not interested

When the Respondent says, “I don't care to answer any questions” or “I'm not interested,” you might reply:
“You are important to our study, and we really need your help. We believe this study is important because it has significant implications for the future. This is an opportunity for you to let government officials and policy makers know of your experiences and needs.”

“This particular household was scientifically selected to represent many other households. Nobody can replace you in this study. If we cannot interview you, your opinions and the number of people like yourself will not be reflected in the study results.”

“There are no right or wrong answers. We are interested in your thoughts and opinions. This is an opportunity for your opinions to be heard.”

“I’m sorry that you are not interested. This is a very important study to help researchers and policy-makers better understand the impact of large-scale disasters on people’s lives. We would like to get information about these issues from people like yourself.”

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I don’t give out personal information

When the Respondent says (he/she) does not give out personal information, or is concerned about confidentiality, you might reply:

“I understand how you feel, and I would like to assure you that you don’t have to answer any question that you don’t want to – the interview is completely voluntary and confidential.”

“I understand how you feel and would like to assure you that your answers are completely confidential. Though we ask people about their individual situations, everybody’s answers are combined so that no one person’s answers can be identified.”

“You are very important to our study, and we really need your help. Any information you choose to give us is kept strictly confidential, and any identifying information is kept separate from your answers. To better understand the effects of Hurricane Katrina on the lives of people in New Orleans, we need to interview hundreds of people and then combine everyone’s answers together and study the results in a statistical form.”
Why me?

When the Respondent says, “Why me?” or “Why don't you interview someone else?” you might reply:

“Sample addresses were chosen based on census data to make up a representative sample of households in your area. Your voice represents that of many.”

“This particular household was scientifically selected to represent many other households. Nobody can replace your participation in this study. If we cannot interview you, your opinions and the number or people you represent will not be reflected in the study results.”

“You are important to our study, and we really need your help. We believe this study is important because it has significant implications for the future. This is an opportunity for you to let government officials and policy makers know of your experiences and needs.”

Who are you? What’s this about?

When the Respondent says, “What organization are you with?” or “I never heard of your outfit” or “What business are you with?” you may reply:

“Let me tell you a little about it. The Survey Research Center is part of the Institute for Social Research at the University of Michigan. The Institute was established OVER 50 years ago, and today is the largest university-based academic social research institution in the world.”

“The Survey Research Center conducts studies that are important to society and contribute to scholarly knowledge and research. We are not involved in market research.”

“I am not working for a business, I am contacting you on behalf of the University of Michigan and we are working on a very important research study.”

I’m not feeling well

When the Respondent says, “I'm not feeling well” or “I'm caring for a sick individual,” you might reply:
“I'm sorry to hear that you aren't feeling well. We want to do the interview at a convenient time for you. I could give you a call at (suggest alternate days and times).”

“I am sorry that you are not feeling well, how about if we postpone this for awhile (a few days) and I'll give you a call then (or I'll give you our collect call number and you can call us). Perhaps things will be going better for you then. Thank you for talking with me now.”

“I can understand that you're busy caring for another person. We want to do the interview at a convenient time for you. I could give you a call at (suggest alternate days and times).”

The Hard of Hearing

When the Respondent says, “Speak up, I'm having trouble hearing you!” or “I can't hear you,” you might reply:

“IS THIS BETTER IF I SPEAK LOUDER?” “CAN YOU HEAR ME NOW?”

“Is there someone else there I could speak with?”

To get the household listing, try to speak with someone else, or schedule a return call if no one else is available. If it is the Respondent who is having hearing difficulties, speak slowly and clearly and suggest a face-to-face interview.

Remember to speak slowly with a lower tone in your voice. If the R cannot hear, you should suggest a call back in the morning. (Their hearing may be greater in the morning hours than later in the day.)

The DK Respondent

When the Respondent says, “I don't know anything about that,” you might reply:

“There are no right or wrong answers. We are interested in your thoughts and opinions. This is an opportunity for your opinions to be heard.”
“Let me assure you that there aren't any right or wrong answers. I think you'll find it interesting and we'd really appreciate knowing how you feel about these topics.”

“If we made it a practice to speak to only people who felt they knew all about this or only people who were eager to speak with us, we'd have slanted/biased results.”

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**The Gatekeeper**

When the Respondent we want isn't available:

Schedule a callback.

Continue to make appointments and schedule callbacks. Give the toll free telephone number and hours of operation for the telephone facility to the informant.

“I understand that you say he/she isn't interested, but it is necessary for me to speak to him/her directly.”

“I would like to speak with him/her to explain a little bit about our research. It is an important study and we would like his/her help. I am hoping you can suggest a good time to call again.”

“We do not mean for this to be a nuisance for you – if this were not as important as it is, we wouldn't risk bothering you.”

Once you are able to speak to the Respondent ask him or her if s/he knows why we have been calling. Give him/her an explanation of the study, answer any of questions s/he may have, and go right into the interview.

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**3.10 Persuasion Letters**

Occasionally when a respondent is reluctant to provide information, a letter can help alleviate fears or concerns about the project. We have prepared a series of persuasion letters that will be mailed to reluctant respondents upon interviewer request. These have been developed to answer the most common concerns that respondents (or others) often have about participating in a survey.

For DNORS, we have letters to address these situations:
Respondents who are hard to reach;
Respondents who say they are simply not interested;
Respondents who have concerns about confidentiality or the personal nature of the questions; and,
Respondents who say that they are too busy.

You may only send one persuasion letter, so please make sure that you are selecting the most appropriate type.

These letters will be requested using the SurveyTrak letter request system. They will be mailed from Ann Arbor. You will also use the letter request system to track the progress of the letter so that you know when to make the follow up contact with the respondent.

Please consult with your TL when requesting a persuasion letter. After the letter is received, we will make only one additional contact with the respondent, so we want to make sure that we have tried other avenues first, requested the most appropriate type of letter, and carefully prepared the follow up approach.

To request a persuasion letter, you should first contact your TL and discuss the case with him or her. Use the Letter Request Form in SurveyTrak to request that a persuasion letter be sent to a respondent. You will be asked to select the type of letter from a drop-down menu, the recipient (respondent or other), and provide the address to which the letter should be sent if it is other than the ST address. There are no personalized letters available for this project.

There are different Household (Screener) and Respondent (Main Interview) versions of the Confidentiality, General Resistance, No Contact and Too Busy letters. (See Appendix C4.)

You will be asked to choose from these types from the drop-down menu:

- Building Authority
- Confidentiality – HH
- Confidentiality – R
- General Resistance – HH
- General Resistance – R
- No Contact – HH
- No Contact – R
- Other (Enter in Notes field)
- Too Busy – HH
- Too Busy – R
An “Other” category is also listed and may be used in special circumstances later in the study.

The Building Authority Letter is not a persuasion letter, but the same letter request system is used for requesting all mailings. In requesting this letter you will be required to provide the name, title, and mailing address of the facility “gatekeeper”—this is usually the manager or owner.

After you have made a selection, the request will be forwarded to Ann Arbor and processed within a week. An email message will be sent to you and your TL when the letter is mailed to the respondent.

About a week after a letter has been mailed, re-contact the reluctant respondent and try to obtain the interview.
3.11 Best Times to Contact

What is the best time to contact a respondent – either by phone or in person? It is best to rely on previous research which has established the times during which people are most likely to be found at home.

Research has shown that **evenings** are most productive for making contact, particularly with those that tend to not be home very often. **Weekend days** are the next most productive. Specifically, you can maximize your potential for contacting someone by using the following contact windows:

- Sunday-Thursday evening 6:00 p.m. - 9:00 p.m.
- Friday or Saturday evening 6:00 p.m. - 9:00 p.m.
- Saturday Any time
- Sunday After 1:00 p.m.
- Monday-Friday daytime 9:00 a.m. - 6:00 p.m.

Use these contact windows in the order listed. Generally, if you have no information about the best time to reach the household, an **evening visit is most likely to yield contact**, followed by a weekend visit, and finally a weekday contact.

Additionally, anytime you are returning to the area for a scheduled appointment at another household, use that opportunity to attempt another contact at any problematic or other nearby sample addresses. While in the area, it may also be helpful to talk with neighbors and ask about the best time to contact someone at a household. Keep in mind, however, that you have a responsibility to maintain confidentiality for all our respondents. If you speak with a neighbor, you can tell them that you are from the University of Michigan, but you must be careful not to reveal the name of the study or the specific reason for attempting contact.

It is also important not to “over contact” any one household within a small time frame just because of potential obstacles. If you make contact with someone at a household but are presented with problems, let enough time elapse to allow for a different response, and to avoid the appearance of “harassment.” Team Leaders can often provide valuable advice about how to space calls to a household.
3.12 Efficient Contact Strategies

“Working smart” is an important part of conducting your work in a manner that is both timely and cost-effective. When working your sample, the following strategies may be helpful in limiting the time spent traveling to assignments, thereby maximizing your field efficiency:

- When making FTF visits, leave a copy of the “Sorry I Missed You” (SIMY) card, indicating when you will be contacting the household again. You may add the telephone number of an approved UM dedicated line if you have one.

- After six unsuccessful calls to a household, including contacts in all five contact windows, the case will be reviewed by your team leader.

- Discuss persistent no contact (NOC) and all problematic cases with your team leader.

It is essential that you use this time efficiently by working in large blocks of time and by maximizing your efforts in the field. Review your assignment every day to determine if there are respondents that haven’t been contacted in all five contact windows. And if there are no contact (NOC) households where an informant has provided any valuable information about the respondent, be sure to focus on such cases.

3.13. RCLS – Contacts from Respondents

There is a column on the Sample tab to note Respondent Contact Logging System (RCLS) Follow Up. When phone calls are received at the central office from a respondent, they are logged in the RCLS application. If a call is received from one of your sample IDs, you will see receive an e-mail notification of the call. In order to view the call in SurveyTrak, you will need to complete a Send/Receive. Once the S/R is complete, an exclamation point will be visible in the “RCLS Follow Up” column under that sample ID number on the Sample tab.
To view the call information, click the View/Edit button while the sample ID line is highlighted. You will be taken to the View/Edit tabs, where you will choose the RCLS Follow Up tab.

Figure 3.13.1 RCLS Follow Up Indicator

Figure 3.13.2 RCLS Follow Up Tab
There are three sections to the RCLS Follow Up tab:

The top section is a table containing information about the call. Note the scroll bars at the right and bottom of this section (see Fig. 3.13.2). The scroll bars allow you to view multiple calls (if applicable) and additional columns not seen in the window.

The middle section, Contact Call Information, provides a quick glimpse of the call. This information is entered by the central office staff when a respondent call the toll free number. In the “Notes” box, the operator will enter any action that is required of the interviewer.

RCLS Contact Follow Up section, at the bottom, is where you will input your follow up actions regarding the call. As always, first record any contact with the respondent in the Call Wizard. Once you have recorded your information there, complete the required fields (red asterisks) in this RCLS Contact Follow Up section. If you select “Other” for the follow-up action, you will be required to enter the specifics of that action.

The “Iwer Call Rec Link” allows you to view all call records related to this sample ID (Fig. 3.13.3) when you click on the box to the right of the field.

Select and highlight the call record that corresponds to the action you have taken to close the call and click OK. Once you have selected the call record that corresponds to the follow-up action,
the date, time and mode will automatically fill with the information from the call record. When you have completed the follow-up actions, click the Save button on the RCLS Follow Up tab. Once you save the follow-up action, you will not be able to go back into the call and make changes. Note that the Call Status (see Fig. 3.13.2) indicates “Open” before you input any information. Once you complete your follow up, the Call Status changes to “Closed” (see Fig. 3.13.4) and the exclamation mark will be removed from the RCLS column on the Sample tab.

Figure 3.13.4 Call Status: Closed

If a respondent calls the toll free number, but no follow-up action is required by you, you will still receive an e-mail notification of a call, but there is no exclamation point in the RCLS Follow Up column on the Sample tab. This indicates that the call has been resolved, and there is no follow-up required by you. You will be able to view the call in the View/Edit, RCLS Follow-Up tab. Additionally, you may see two or more exclamation points on one sample ID in cases where the caller has phoned more than one time or you have not completed your follow-up for previous calls.

Using RCLS for Respondent Correspondence and Returned Mail

This project will use RCLS to record other types of respondent contacts including mail returned by the post office (e.g., advance letters, persuasion letters) and emailed tracking messages. RCLS
receipt and follow up procedures are the same. When the mode of the RCLS contact reads “Other: returned mail” this informs you that mail that you have sent to a respondent was returned to the Ann Arbor office by the post office. The email should give all pertinent information that was recorded on the envelope. These messages may be sent by the project staff, not by the 800 line staff, so any questions regarding these should be directed to the sender of the email.

### 3.14 Scheduling Appointments

Setting an appointment with a respondent can sometimes be tricky. Many respondents have very hectic schedules. Work commitments, family obligations, or children’s school activities may take priority over an appointment to conduct an interview. When setting an appointment with a respondent, be sure you get an **exact date and time of day**. Ask specific questions to narrow down the best appointment time for the respondent. You can do this by **not** asking “yes” or “no” questions when setting the appointment. For example, if you said to a respondent “Would Tuesday evening at 8:00 p.m. be good for you?” you may be setting yourself up for a “no” response. Try first giving options to the respondent and then moving the conversation to the specific appointment slot. For example, “Would weekdays or weekends be better for you?” Or, “What evening this week would be best?” When you schedule an appointment, record the time in your calendar and SurveyTrak and make sure not to schedule appointments too close together.

Sometimes you may not get a specific appointment time but a more general impression about when you might find the respondent at home. In these situations, you should record this in Call Notes and plan to call or visit this respondent at that time.

**Appointments must never be forgotten — so take special care to record specific dates and times in your calendar and in SurveyTrak.** Overall, it is important to be organized and not to rely on appointments alone to meet weekly production goals. You should always be actively pursuing new contacts and interviews.

### 3.15 Screening the Household

Before beginning screening of household members, you must find an appropriate informant. An informant is the person who
provides you with information about the household. The
Informant must be an adult household member (18 or older) who
is knowledgeable about the rest of the household and can give you
the full list of the people who lived in the household in August
2005, at the time of Hurricane Katrina. It is critical that you do
not speak with a minor about the survey or use a minor as an
informant. The informant should also be a knowledgeable
member of the household. “Member of the household” means
someone who eats or sleeps there most of the time.
“Knowledgeable” implies that the selected person can give you
accurate and complete information about all other members of the
household. Note that the first informant you speak to may not have
been a member of the household in August 2005, at the time of
Hurricane Katrina, and thus may not be the most knowledgeable
informant about the household composition on that date, even if he
or she is currently a member of the household. If you have trouble
finding a knowledgeable person or if that person cannot complete
the household listing, contact your Team Leader or Production
Manager for further instructions.

 Household Listing

We collect the following information about each member of the
household as it existed in August 2005, at the time of Hurricane
Katrina: the person’s first name or initials, current age, gender,
and relationship to the informant. After random selection of one or
more eligible members to be interviewed, questions are asked
about whether those members are currently living with the screener
respondent, and, if not, where they live.

The listing is set at the time you complete it and must include
everyone (adult and children) who lived at the sampled address
in August 2005, at the time of Hurricane Katrina, regardless of
his or her age.

The Household Listing should include:

- Related family members, who were living at the sample
  address in August 2005, at the time of Hurricane Katrina.

- All the unrelated people (if any), such as romantic partners,
  lodgers, roomers, foster children, wards, or employees who
  shared the housing unit in August 2005, at the time of
  Hurricane Katrina. Only include people who had been
  living in the housing unit for at least two months, but also
include people who had lived there for two months or less if they did not have another place to stay or live.

- **Any Household Member Who is Now Deceased**: It is possible that a person who was a member of the household in August 2005, at the time of Hurricane Katrina, has died. Please include that person in the household listing. However, for the purposes of this study this person is not eligible for selection, thus the computer will not select anyone who has died as a respondent for the main interview. However, if, when you attempt to try to contact a selected person, you discover that he or she has died, please use the appropriate non-interview result code for ‘R Deceased.’

- **Eligible Person Who is Now Institutionalized**: It is possible that a person who was a member of the household in August 2005, at the time of Hurricane Katrina, and living at the sample address is now institutionalized (e.g., is now in prison, a nursing home, etc.). Please include that person in the household listing, because he or she was living at the address in August 2005, at the time of Hurricane Katrina. If you discover that someone is institutionalized when you attempt to contact him or her and cannot be interviewed, please use the appropriate non-interview result code.

- Be sure to include people as residents of the sampled dwellings if the dwelling was their primary residence or if they did not have any other dwelling—even if they had lived there for less than two months. For example, if a woman got married and moved into her new husband’s house, which was sampled, in August 2005, then she would be considered a resident because, although she had been there less than two months, this was her primary (in this case, her only) residence.

The Household Listing should exclude all people who were living somewhere else for more than two months in August 2005, at the time of Hurricane Katrina. Examples of people who should be excluded are:

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9 When we talk about ‘two months’ here we are saying that if the person did not live at the address for the two months prior to the time that the hurricane struck, they should be excluded.
- People who were in a correctional facility, halfway house, adult foster care, nursing home, or mental hospital for more than two months immediately prior to August 2005, at the time of Hurricane Katrina.

- People who were away at school, living in a college dormitory, apartment or house, in August 2005, at the time of Hurricane Katrina.

- Armed forces personnel who were deployed or living in a military facility somewhere else in August 2005, at the time of Hurricane Katrina.

- People who lived or stayed at another place most of the time. For example, if a person’s New Orleans residence was their second home in August 2005, at the time of Hurricane Katrina, then they should not be listed as a resident.

- Visitors. (Exception: These should be included if they had been visiting at the residence for more than two months immediately prior to the time that Hurricane Katrina struck.)

The key is to obtain a household listing of only those members of a household who were living at the sample address in August 2005, at the time of Hurricane Katrina. For example, if someone was in the military immediately prior to August 2005, at the time of Hurricane Katrina, this person is not eligible for the study even if he/she considered the dwelling to be his/her “home” and is now living with the household.

If a person is selected and it is determined during the attempt to locate or interview that person that he or she was NOT living at the same address in August 2005, at the time of Hurricane Katrina, please notify your TL/PM. The sample line will have to be checked in to the Help Desk and then the household listing will have to be completed again in order to select an eligible respondent who was a 2005 resident. Code 4901 should be used until the issue is resolved.

It is important that you use the inclusion and exclusion criteria very carefully when you obtain the household listing AND keep reminding the informant who is providing the information for the household listing that you are asked to only include those people who lived at the address for at least two months (or had no other
place to stay or live) immediately prior to August 2005, at the time of Hurricane Katrina.

If you are unsure that you have correctly listed the household members, contact your TL/PC for verification of procedures prior to initiating any interview. Interviews taken with the wrong respondent will not be accepted.

For DNORS, we will interview up to two adult members of the household (chosen randomly) who were living at the selected address in August 2005, at the time of Hurricane Katrina. Once the informant gives you the household listing, the computer will determine whether or not you have any eligible respondents and, if so, it will select up to two respondents if there are multiple eligible adults.

If the person(s) who is/are selected currently reside(s) elsewhere, you will collect contact information to attempt to interview the person(s) at their current location.

It is very important that you complete the household listing accurately the first time, because you will not be able to edit the listing after it is completed. If you do find that you have made an error, you will be required to suspend the interview and restart it, which will mean taking the household listing over again. You will need to talk with your TL about how to handle this situation before you attempt to restart work on that sample line.

3.16 Respondent and Interviewing Issues

Obtaining Informed Consent

Federal legislation and regulations govern federally funded research projects. The University of Michigan has chosen to apply these regulations to all of our research projects. The regulations require that a potential respondent be expressly informed of the fact that the interview and any information he or she provides is strictly voluntary and confidential. In addition, if the respondent has any questions, it is incumbent upon the interviewer to provide this information or to make certain that someone else gets back to the respondent with this information. The information that respondents have the right to know before agreeing to start the interview includes, but is not limited to the following six points:

1. the purpose of the study;
2. the average length of the interview;
3. the procedures that will be followed;
4. any risks or benefits that might be associated with participation;
5. the fact that consent to do the interview may be withdrawn and participation discontinued at any time (i.e., that participation is voluntary); and
6. sources from which additional information about the study can be obtained.

This information must be made available to each potential respondent so that the individual can base the decision to participate or not to participate on full knowledge of the study and the consequences of involvement. Much of this information is provided in the Advance (Pre-Notification) Letters (See Appendix C1) that were sent to eligible households prior to the start of data collection, as well as in the study Brochure that is included with this and other mailings as needed (See Appendix C2). However, there is no guarantee that the respondent has seen these materials.

Verbal Consent

Prior to starting the interview, you are required to read verbatim the voluntary/ confidentiality statement, which is part of the Blaise questionnaire:

“Please remember that your participation is voluntary. Your responses to these questions will be kept confidential, and your answers will be presented together with answers from others to report the overall results for people from New Orleans. But you can also refuse to answer any questions you would rather not answer or stop the interview at any time”.

You will receive a laminated copy of this statement to keep with you so that you can repeat it if you do not complete the interview in the first session and go back to complete it at a later time.

Privacy During the Interview

The interview should be conducted in private if at all possible. If you hear a lot of noise in the background, you should ask the R if s/he might be able to find a quieter place to do the interview.
Similarly, if you notice that there is someone else present while you are conducting the interview, gently ask if there is somewhere else the interview could be conducted so that it could be done privately. When making an appointment it may be a good idea to schedule a time when the respondent is most likely to be alone.

**Respondent Incentive Payments**

Each respondent who agrees to participate in the DNORS main interview will be given a token of appreciation of $30. A check in the appropriate amount will be mailed to the respondent as soon as possible after the respondent completes the interview. You will also have the option on the respondent payment screen to request a money order for those respondents who indicate that it is preferable.

In situations where you may be doing a face-to-face interview and believe that the respondent will not complete the interview unless he or she receives a cash incentive, please consult with your team leader. He or she will review the circumstances and may authorize a cash payment. In this case, you must complete and have the respondent sign the paper cash receipt form.

The Incentive Payment Tab in SurveyTrak will is used to document all payments and the modes of payment.

**Partial Interviews**

There may be a few cases where the respondent will start the interview and not want to complete it or be unable to finish it. Always try to set up an appointment to finish the rest of the interview. Try not to let much time elapse between interviewing sessions, as R may lose interest and refuse to continue.

If you are unable to reach the respondent or persuade him or her to complete the interview, contact your team leader. Result code 1005 is reserved for partial interviews that cannot be completed during the field period, but it must be approved by the study staff. Your team leader will submit the request and let you know the appropriate final code to assign. We want to keep the number of partial interviews to a minimum, so please try to complete all interviews that were started.
4.0 General Interviewing Techniques

Your goal is to collect accurate information using the DNORS data collection questionnaire. In addition to understanding the questionnaire and the data collection procedures, there are general interviewing techniques that you must learn and employ to meet this goal. These techniques are crucial to ensuring the integrity of the data. You have received extensive training in General Interviewing Techniques (GIT), but we have summarized some of the most important concepts here.

4.1 Questionnaire Conventions

In order to ensure the scientific integrity of the questionnaire, questions must be asked and recorded in a uniform manner throughout the study period. To facilitate this, a number of conventions have been designed to standardize the recording of responses. For the most part, this may seem like second nature to you and you will not even be aware that it is taking place. However, two criteria must be met by you to make it all work:

- **Ask every question as it appears in the questionnaire.** Research staff and ISR staff have carefully tested and reviewed every question. While some questions may appear to be repetitious or superfluous, it is critical that you ask the informant or respondent the question exactly as it is written and record their responses. Please do not assume any responses on behalf of the respondent.

- **Ask questions in a neutral, uniform manner.** The way that a question is asked often affects the response received. For this reason, you must try to ask each question in as neutral a tone as possible, adding emphasis only where and when directed to do so by the questionnaire.

- **Probing Don’t Know and Refused.** Unless otherwise instructed for a specific question or set of questions, you must probe once for each time the respondent answers ‘don’t know’ or refuses an answer. This approach is intended to
give the respondent another chance to think about the question and to reduce the amount of missing data. If the respondent says ‘don’t know,’ or he or she refuses to answer when you probe once, you will stop probing and record the ‘don’t know’ or ‘refused’ as his/her final answer.

4.2 The DNORS Questionnaires

Overview

This project consists of a Screener questionnaire and a Main questionnaire. Both are administered using a laptop. After completion of the Screener, the Screener creates (“spawns”) up to two lines, each representing an eligible adult who will be asked to complete one or more sections of the Main questionnaire.

The Main questionnaire consists of question sections that are asked based on sample type. Sample type is determined in the respondent selection process during the administration of the Screener questionnaire:

- Sample type 1: person is asked the Adult sections of the questionnaire [A].
- Sample type 2: person is asked the Household sections of the questionnaire [HH].
- Sample type 3: person is asked both the Household and the Adult sections of the questionnaire [HHA].

Preload

There are several types of preload used on this project.

(1) Screener Preload:

a. The screener lines will be preloaded with the selected 2005 address (the focus of the study).

b. Some screener lines will also have preloaded phone numbers associated with someone who lived at the 2005 address which were identified prior to production. Phone numbers in “phone type 1” have been confirmed as belonging to someone who lived at the selected address in 2005.

c. Other screener lines will have preloaded phone numbers in “phone type 2” which came from “batch” look-ups. These have not been confirmed but are a starting point or a lead for the interviewer.

d. Sometimes there are names preloaded. REMEMBER: these are only names of someone who lived at the address in 2005, they are not necessarily who needs to complete the screener; other people may be eligible. These are the contact people we
may have identified before production began and are also a starting lead.

(2) Main Questionnaire Preload:

a. Address information collected in the screener will be preloaded in the main instrument and SurveyTrak

b. Preload created as a result of information collected in the Screener itself, which will determine some routing paths in the instrument (i.e., who will be asked which questions). An example of this is the person’s gender, which will influence whether questions about children are asked as part of the interview. Specifically, if the person selected to answer the Adult question sections is female and parent/caregiver of children age 17 or younger, that person will be asked the children questions for up to a maximum of three children. The computer will select 3 children at random if the female respondent has more than 3 children.

c. Other preload from the Screener will help to determine interview order and interview flow.

Figure 4.1 in Appendix D shows the flow of information from Screener to the Main interview (Household, Adult, and Household/Adult)

The Screener Questionnaire

Prior to determining who will do which sections of the questionnaire, a brief Screener is administered. The Screener collects information about who was living at the selected address in August, 2005. One or more respondents are selected to complete the Main interview based on the informant’s assessment of who is most knowledgeable about the household as well as a random selection of an adult from among all eligible participants, including the most knowledgeable person.

The Main Questionnaire

The DNORS Main questionnaire will take between approximately 30 minutes and 60 minutes to administer, depending on whether the potential respondent is selected to do the Household sections, the Adult sections, or both the Household and the Adult sections. There are over 10 distinct sections within this questionnaire. Each section groups questions together to address one or more issues of interest to the study, and the questionnaire moves smoothly from the first to the last section.
Questionnaire Section Overviews

Below we provide an overview of the content of the DNORS main questionnaire.

Section A: Introduction and Consent

This section introduces the study to the respondent and verifies that the respondent is indeed eligible to participate in the study.

Section B: Household Information

The purpose of this section is to obtain basic information about the respondent’s dwelling in New Orleans at the time of Hurricane Katrina, including whether it was a house or an apartment, whether it was rented or owned, and whether the respondent is still living there. If respondents are now living somewhere else, they are asked for their current address.

Section C: Household Members

This section is completed in two different ways, depending on whether or not the respondent is a Household Respondent (HHR).

All Respondents - HH, Adult and HH/A - will be asked to verify the listing from the Screener of everyone who lived in their home in August 2005, at the time of Hurricane Katrina, and to correct any errors that they identify.

Adult Respondents (ARs) and HHRs will then be asked an identical set of questions about themselves. Next, female ARs will answer a series of questions about up to three of their children under age 18 years of age. Finally, HHRs will be asked a set of detailed questions about each other person in the Household list.

The questions that ARs and HHRs are asked about themselves begin at question C22, where they are asked if they lived in the same dwelling one year ago. ARs/HHRs are then asked about their return to New Orleans following Hurricane Katrina, when they moved away from the city for good, and how likely they will be living in New Orleans after one year. They are next asked about their place of birth, race and ethnicity, marital status, children they
have had (including their children’s age, sex, and place of residence at the time of Hurricane Katrina), education, employment (including their occupation, industry, work hours, and earnings), health insurance coverage, and overall health status. All of these questions are about the respondents’ current status, at the time of the interview. The respondents are then asked a series of questions about their status back in August 2005, at the time of Hurricane Katrina, covering health status, marital status, employment, health insurance, and place of health care. Finally, they are asked about their religiosity.

Female ARs then receive the Child Module, which asks questions about up to three children under 18 years of age in turn. For each child, the Child Module begins by asking for information about the child’s father and about background characteristics for children who were not part of the household at the time of Hurricane Katrina, including education, school experiences, employment, health insurance, and overall health status. The Child Module then asks detailed questions about the child’s health (overall health status and diagnoses of key chronic and acute conditions such as asthma) and about the child’s behavior.

When ARs complete the questions about themselves (including the questions about children, in the case of female respondents), they then proceed on to the next section. In contrast, when HHRs complete the questions about themselves, they are then asked a series of questions about each other person who was living with them in New Orleans at the time of Hurricane Katrina. The sequence of questions about each other person on the household list begins by asking whether that person currently lives with the HHR. One possible response is that the person has died. If this is the case, the HHR is asked a series of questions about the deceased person’s date of birth or age, the date or age when he/she died, where he/she was residing, place of birth, race or ethnicity, education, employment status, cause of death, and first and last name.

For people on the household list who are still alive, HHRs are asked a series of questions, beginning at C19, about where the person currently lives and who he/she lives with, his/her return to New Orleans following Hurricane Katrina, when he/she moved away from the city for good, and how likely it is that he/she will be living in New Orleans after one year. They are then asked about the person’s place of birth, race or ethnicity, marital status, children he/she has had (including the children’s age, sex, and place of residence at the time of Hurricane Katrina), education,
employment, schooling (including, for children under 18, whether they are enrolled in school and, if not, why not, grade repetition, and expulsion), health insurance coverage, and overall health status. All of these questions are about the person’s current status, at the time of the interview. The HHR is then asked a series of questions about the person’s status back in August 2005, at the time of Hurricane Katrina, covering health status, marital status, employment, and health insurance.

Section D: Traumatic Experiences and Losses

This section contains questions about possible traumatic experiences and losses that the respondents may have experienced due to Hurricane Katrina. For example, they are asked about whether they knew people who were injured or killed because of the hurricane. Respondents are also asked about the damage to their dwelling in New Orleans and the dollar value of their property losses.

Section F: Health

This section contains questions about the respondent’s health status. A series of questions are asked about whether the respondent has been diagnosed with specific conditions and diseases, and, if so, how old he or she were when this occurred. Respondents are also asked to report their height and weight.

Section H: Mental Illness

Respondents are asked in this section to rate how often they experienced various feelings associated with depression and anxiety over the past thirty days.

Section L: PTSD Checklist

In this section, respondents are asked a series of questions about problems or complaints that they experienced in the past month because of Hurricane Katrina. These problems and complaints are all related to experiencing post-traumatic stress disorder.
Section G: Depression

This section asks a short series of questions about the specific symptoms associated with experiencing depression. These symptoms include feeling down, having trouble with sleep, and having little energy. Respondents are asked about experiencing these symptoms in the past thirty days.

Section J: Perceived Stress

The short series of questions in this section asks respondents about their experience of stress in the past month, such as their inability to control things in their lives.

Section M: Household Income

This section asks respondents to report their household income in the past 12 months and in the 12-month period prior to Hurricane Katrina. For respondents who are unable or unwilling to provide a specific dollar figure, they are guided through a series of unfolding brackets that ask simpler questions about whether their household income was above or below a certain amount.

4.3 Study Specific Protocols

The DNORS has developed several study-specific protocols that interviewers must follow during data collection to safeguard respondents’ rights and to ensure high data quality.

Cell Phone Protocol

When completing a telephone interview, you may find that it is with a respondent who is using a cell phone. Consideration needs to be made of the following:

1. Whether or not the respondent would end up incurring expenses due to their cell phone plan;

2. Whether or not we might end up doing an interview while the respondent is in a situation where a distraction, such as an
interview, might put him or her at risk of an accident – like if the respondent is driving a car;

3. Whether or not we can safeguard the respondent’s confidentiality sufficiently if he or she is moving around or in a public place.

There are difficulties with interviewing respondents using cell phones, and for this reason some studies exclude cell-phones completely. For DNORS, respondents may use cell phones, and you will work with the respondent to make sure that this is done appropriately and safely.

If the respondent is on a cell phone, you tell him/her how long the interview is expected to last and ask if there is another non-cell phone that s/he would be prefer to use when doing the interview. If so, you get the number for the other phone and set an appointment to call back. If no other phone is available, you inquire about limitations of the cell phone plan and offer to call back at a time when the plan offers free minutes. If this is not an option, you may inform the respondent that we are able to provide a cell phone reimbursement of $10 to help defray the cost of conducting the interview by phone. This payment will be requested using the R pay system in SurveyTrak at the completion of the interview. It will be in the form of a check mailed by Ann Arbor.

Although in these conditions it is acceptable for a respondent to use a cell phone for the interview, it is never appropriate for you to use a cell phone to complete a phone interview.

Answering Machine Protocol

In order to protect potential respondents’ confidentiality, you should not leave messages on answering machines that you are not certain belong to the respondent.

When calling the address of a potential eligible respondent, please leave as little as possible information, since we may not yet know if the respondent is currently living there.

Studies differ in how they prefer interviewers to deal with answering machines at respondent’s homes. Since many people now have Caller ID, we feel that on this study, the interviewer should feel free to leave a message as early as on the first attempt.
With Caller ID, the respondent would likely know who called already, so it might be best to say something rather than hanging up without saying anything.

When leaving a message at a household, the interviewer should provide the ISR toll-free number and also asks the person to tell the ISR contact person that this pertains to the New Orleans Katrina Study. If you have a dedicated UM phone line with an approved outgoing voicemail message, you may also leave this number if you prefer. You may not leave your personal land or cell phone number. These numbers will be provided to the front desk so that they can forward respondent calls to you as needed.

When leaving a message, please keep it as close as possible to the following script:

“Hello, my name is [NAME] and I am calling on behalf of an important study being conducted by the University of Michigan. I would like to set a time to talk with you to see if you are eligible to participate in our study. Please call our toll-free number in Michigan at 1-800-759-7947 and mention the [NAME] Study. I will follow up with you in a few days – Thank You!”

Clinical Contact Support Protocol: SRC Field Interviewers & Study Respondents

The Survey Research Center is committed to providing support to respondents and to interviewers. Most of our studies involve interviewers interacting with respondents. Sometimes the questions we ask can stir up feelings in both the respondents and the interviewers. During in-person interviews, field staff witness what goes on in the homes of real people in their daily lives.

We have established specific protocols to help interviewers handle some of the things that can occur. The most important thing for an interviewer to know is that you have the solid support of the University of Michigan, Survey Research Center. You are not expected to handle these issues alone. We will outline the protocol for handling the type of situations that you may encounter: 1) emergencies; 2) distressed respondents; 3) reporting unusual situations or possible abuse; and 4) getting help for yourself.

Emergencies

When interviewing in a respondent’s home, you may observe a situation that warrants immediate action on your part. Though
very rare, should you ever witness a violent crime, a child or anyone else in immediate danger, or other similar situation where not calling the local police or fire department would endanger the lives of the people living in the respondent’s household, call the local authorities immediately.

As soon as possible after you have done this, please contact your Production Manager. If you cannot immediately reach her, please call the SRO toll-free number (1-800-759-7947) and ask to speak with your project leader. If he or she is not available, please ask to speak with one of the members of the Survey Research Operations (SRO) management team.

It is highly unlikely that you will ever be involved in such a situation. If there is any ambiguity about the severity of the situation, please call your Production Manager first, before taking any action. We want to protect the privacy of the respondents and members of their households, but not at the cost of the safety of the family.

After you have reported the situation to someone at SRO, you should speak with someone from the Clinical Contact Team. Please call the SRO toll-free number and say that you have an emergency and need to speak to the CC Team.

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**Distressed Respondents**

Sometimes when a questionnaire includes sensitive topics, some respondents may experience distress during or after an interview. You should familiarize yourself with this protocol so that you are comfortable handling these types of situations.

1. First, you should never try to advise the respondent. If they are too upset to continue the interview, you should take the following steps:

   - If the respondent is crying, you may wish to offer a tissue, ask if he or she wants to get a drink of water or take a short break. Give the respondents ample time to compose themselves.

   - If the respondent is not able to proceed after a few minutes, or if he or she asks you for help (at any point in the interview), you should say “I’m not trained to help you with this situation, but the University has help available for you.
We have someone working with our study that you can talk to. Would you like me to have that person give you a call? She will contact you soon and talk to you, and if you need further help, she will help you find help in your area.”

- In the very rare situations where the respondents mention that they are thinking of hurting themselves or others, you must contact someone from the Clinical Contact team. You can either tell the respondent that you plan to do so, or not, as you see fit. If the threat of suicide is immediate, contact 9-1-1 first. (This is highly unlikely. We mention it here only so that you will know what to do if it ever does occur.) It is possible, however, that you might hear a respondent make a threat to hurt someone, or say that they have been wondering if the world would be better off without them. If you have any concerns that someone might be feeling suicidal or violent, contact the CC team.

2. If the respondent is not able to continue with the interview after taking a short break, make an appointment to complete the interview at a later time. If you cannot set an appointment time, let him or her know you’ll follow up in a few days.

3. The next step is to immediately contact the Clinical Contact Team. See the process for contacting them below.

4. In cases where the respondent shows some distress, but is able to continue with the interview, you still may offer this service to them at the end of the interview.

5. You may contact the CC Team about a respondent even if you did not talk about this possibility with the respondent. Sometimes you may not be fully aware of your concern about a respondent until a day or two after the interview. All members of the CC Team have signed the ISR Pledge of Confidentiality and are bound by it.

*Remember*, do not hesitate to contact the CC team with your concerns about a respondent.

If you suspect that a respondent could use some support, or help from an expert in their community, do not hesitate to contact the team.

Some examples of the types of concerns you may have include:

a) a respondent is suffering from depression or other mental health problem, but is not getting any kind of help for it; b) a respondent
suggests that someone is abusive towards him or her, and she does not know what to do about it.

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**Contacting the Clinical Contact Team**

In most cases, the best way to contact the team is by sending an email to their group address (SRO-CCP@isr.umich.edu). This email should contain:

- A summary paragraph describing the situation (with no identifying information).
- The best time and phone to reach you (as well as your time zone).
- Suggestions you may have about the best time to reach the respondent and the respondent’s time zone, if that is relevant to the situation.

A CC Team member will contact you to follow up. In some cases, you may feel like the situation is more urgent and that you need to speak to someone right away. If so, call the SRO 800-line (1-800-759-7947). Staff answering that line will contact the CC Team member on call and someone will call you back as soon as they can. If you do call, you should still send the CC Team an email as described above, being sure to mention that you have asked for a call back.

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**Reporting Possible Abuse**

We are required to report any threat of harm to self or others made by the respondent. In our experience, this is a very rare event. If you are in a situation where the respondent is making statements that you interpret as being a threat of harm, make notes and contact your supervisor after the interview. If the situation is dangerous, end the interview and contact your supervisor immediately. The supervisor will contact the project staff who will determine the appropriate course of action.

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**Getting Help for Yourself**

There may be times when you are at a respondent’s house that you may observe physical abuse or neglect of someone in the household. These situations can be very upsetting. If you feel or even suspect that you have observed abuse, you should report it to the CC Team.
It is possible that at times you may feel upset yourself after conducting an interview with a respondent who is distressed. If you feel you need to talk to someone about your feelings related to that type of situation, you should also follow the procedure above to contact the CC Team.

In addition, if you yourself need assistance in handling any relationship, emotional or work-place upset, we have another UM resource available. The Faculty and Staff Assistance Program (FASAP) is available for you as a University employee. Brochures are distributed at registration. To schedule an appointment for counseling, you may contact FASAP at 1-734-936-8660 (this is not a free call) or you may email them at fasap@umich.edu. For more information about services available at FASAP, see their website: http://www.umich.edu/~fasap/

We are pleased that FASAP is providing short term counseling and referral services to our interviewing staff that may encounter difficult or troubling situations. The service is strictly confidential, and FASAP does not provide us with any individual or demographic information on who has used the services, though they will be giving us aggregate data as to how our interviewers have utilized the service.
SECTION 5: INTERVIEWING ON SENSITIVE TOPICS

5.0 Introduction

This interview includes a number of questions that may be sensitive and/or embarrassing to the respondent. The following steps should help you to maintain your comfort and your respondent’s comfort when collecting data about sensitive topics.

Please remember that the project is able to provide counseling service to respondents and interviewers as needed (see Section 4).

5.1 Important Considerations

Establishing the Tone of the Interviews

During your initial contacts with the respondent, you should be business-like and professional in your demeanor in order to set the tone for subsequent interchanges. Developing a personal relationship with a respondent results in the respondent’s considering you as a friend, peer, or maternal or paternal figure who may judge or condemn them if they report undesirable or unusual activities. Assume a non-judgmental, noncommittal, professional (but not impersonal) approach to the respondent and the subject matter of the interview.

Establishing and Maintaining the Interviewer’s Comfort Zone

The “comfort zone” is the area of your comfort in answering or asking questions and hearing the answers without reacting in a way that changes the respondents’ replies. In order to handle the respondent’s questions and concerns, your comfort zone must be broader than their comfort zone. Work to familiarize yourself with as many sensitive words and phrases as you feel comfortable with, so that you will be professional and unflappable when faced with difficult topics which the R might feel less comfortable talking about.

If you are at all uncomfortable with the subject, the respondents will pick up on this and it will make their communication with you more difficult. Work with your Team Leader to master this
important aspect of your work. Maintaining your comfort zone and always being professional when you answer a respondent’s questions will help to increase the respondent’s comfort with you and the questions.

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**Reading Sensitive Questions**

Read sensitive questions clearly and confidently, like a doctor or nurse might in a clinic. Use feedback to train the respondent to answer appropriately.

Ask any embarrassing or sensitive questions in the same way that you ask the other questions. Most persons will answer these questions easily, freely and honestly – partly because they realize that we have important scientific reasons for asking, and partly because our interviewers treat these questions in the same unemotional and non-judgmental way that they ask all questions. But even more important, you must be careful not to give anyone the impression that you disapprove or that you are overly curious about their responses.

Train the respondent to stay within your comfort zone. Do not laugh at or acknowledge jokes or banter in bad taste of too personal a nature. Use silence as a statement that this sort of interaction is not part of your research purpose. Your image is a serious professional doing serious research.

At the same time, distinguish between a light comment made by a slightly nervous respondent, and a joke that is simply in bad taste. Do not volunteer personal comments or experiences. Establish a rapport but not a friendship.

Do not be surprised if respondents “lose it” during the interview, giggle or laugh, or even cry at some of the questions. Maintain your doctor-like friendly professionalism and continue asking questions to help get their attention back on the task. Offer to take a short break to let the respondent get a tissue or drink of water if he/she becomes upset. Give the respondent a few moments to compose him/herself, and then continue with the interview. If the respondent is too upset to continue, ask to reschedule an appointment to finish the interview.
Establish and maintain privacy. A critical requirement for the collection of unbiased data is a private setting for the administration of the interview. If possible, you and the respondent should be away from interruptions during the interview, and responses to questions should not be audible to other household residents. This will make it easier to create and control an atmosphere of professional comfort.
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SECTION 6: RESPONDENT IDENTIFICATION & TRACKING

6.0 Introduction

Everyone will have a role to play in tracking DNORS respondents. Much of the tracking that is done will be done by the Internet trackers (IT) who will attempt to locate telephone numbers for 05 residents of selected addresses. However, phone interviewers will be doing callbacks on unconfirmed phone numbers, New Orleans interviewers will do face-to-face (FTF) tracking to help locate respondents, and phone interviewers, ITs, and even TLs who live in areas where NOLA residents are believed to have moved might also be asked to help with FTF tracking. Tracking, for this project, really is a team activity!

6.1 The Advance Preparation

The SRO Ann Arbor Office attempted to find telephone numbers for residents using online resources before data collection began. In addition, we did preproduction tracking for the DNORS pilot segments last fall and then again for the remaining sample shortly before training. Phone numbers from all of these sources will be loaded into SurveyTrak. This information may or may not be correct, but phone interviewers will use these numbers to make initial attempts to contact the 05 residents.

In addition, an advance mailing goes out to announce the study to all the housing units in the sample prior to the start of data collection. This mailing goes to the selected sample address unless it is a No # housing unit. Many of these letters are received by 05 respondents who are expecting our call when data collection begins, but because of the large number of people who have moved out of New Orleans, many will not be delivered to eligible respondents. They may be delivered to residents of the sample address who did not live at the HU in 05 or they might be returned to Ann Arbor because the HU no longer exists. Additional information about the respondent’s location might be provided on advance letters that are returned to Ann Arbor. If this happens, the new information will be forwarded to the interviewer holding the SurveyTrak line using the RCLS system (see Section 3.13).
6.2 When Does a Line Go to Tracking?

There are only two tracking codes that are used on DNORS, 4510 which is interviewer tracking and 4610 which is IT tracking. When a line is first identified as needing tracking, it is always coded 4610 first as we will do Internet tracking before asking interviewers to attempt phone or FTF tracking.

The 4610 result code is used when a line first enters into tracking. It will be used when one of these situations arises:

- When a sample line is preloaded without a phone number;
- When the preloaded phone number is not a working number;
- When the preloaded phone number is a working number but it is not for an 05 resident of the selected address;
- When there have been 8 or more calls to a preloaded number with no contact; or,
- When a respondent is selected during the screener for whom the screener respondent has no contact information.

The person who is holding the line in SurveyTrak will be the person to make this determination. If there is no preloaded phone number, the TL will have the sample line and he or she will assign the tracking code as soon as the sample line is released. If there is a preloaded phone number and it is not in service or is not for an 05 resident, the phone interviewer holding the line will assign the 4610 tracking code after having tried all the phone numbers on the Respondent Tab.

If there have been at least eight calls to the preloaded number made in different call windows, the phone interviewer will also enter the line into tracking to see if the IT team can confirm that the number is for a sample address. The phone interviewer will enter this call note for the line when coding it 4610: “Phone number confirmation needed.”

The ITs can see the SurveyTrak call records and will know that the line has been submitted for phone number verification. If they determine that the phone number is listed for the sample address you’re trying to reach, they will notify you and you will continue to try to make contact. If they find that it is not listed for the sample address, they will attempt to find a valid phone number for the 05 residents using online sources.
6.3 Tracking and Confidentiality

Tracking is essential for the success of the project, but our pledge to safeguard the confidentiality of our respondents is still the first priority. This means that we have to plan carefully, being mindful of how we speak with informants and what we are divulging to them as we seek information.

One of the things that you will need to do while tracking is to learn to elicit information from informants without providing information that would be a breach of confidentiality. You can, as always, tell the informant that you are calling from the University of Michigan and that you are trying to locate residents of selected addresses who lived at those addresses in 2005 right before Katrina.

Keep in mind that one thing that happens after a disaster is that profit-seekers move in to take advantage of the situation, some legally and some not. Residents have been cautioned by authorities, as well as friends and neighbors, not to divulge personal information because of the danger that they may be dealing with someone whose motives are not legal. The best way to deal with this concern is to be proactive and invite the informant to investigate you.

Invite them to call the 800 number to confirm your employment and the legitimacy of the study. You can also provide information on the ISR website (http://www.isr.umich.edu/home/) or the RAND website (http://www.rand.org/) so that they can investigate the organizations you represent. And then offer to call them back after a specified period when they have had an opportunity to verify your purpose.

6.4 Telephone Tracking

When we are calling phone numbers to determine if they are indeed numbers for 05 residents of a sample address, we are doing telephone tracking. Phone interviewers and ITs will do various forms of phone tracking.
Result Codes

There are very few phone numbers that will be preloaded into SurveyTrak that have actually been confirmed as belonging to someone who was an 05 resident of a sample address, so in a sense, almost all of the phoning that we do initially is a form of tracking. However, these lines will not be coded for tracking unless they meet one of the criteria above. Until that happens, you will use your normal result codes for callbacks, etc.

In addition to making phone attempts on these preloaded numbers, phone interviewers will also receive sample lines that have updated phone leads from the IT team. Like the preloaded numbers, these will be lines that are not confirmed, so the process for contacting these lines will be exactly the same as those that are preloaded with one exception – these lines will be coded 4510 (interviewer tracking) and retain this code until an 05 resident is reached or the phone number is ruled out and the line is returned to 4610, IT tracking. All of the following procedures will apply to both types of phone numbers.

Figure 6.1: Choosing Result Codes
Telephone Recordings and Results

If you call a number listed in SurveyTrak, a number of things might happen. It’s important to remember that even “wrong” numbers can provide useful information and all results must be documented.

1. The number has been “disconnected.” Listen carefully to the recording. “Temporarily disconnected” may mean that the individual has not paid a telephone bill or that the number has been disconnected while an individual is on an extended vacation or at a second home. If you continue to get the same message after two weeks, the line should go into IT tracking and be coded 4610.

2. The number is “being checked for trouble.” This telephone company recording may mean the line has a service problem but it too can be an indication that the customer has not paid the bill. Try the number periodically for two weeks to see if it is reconnected. If not, this too should be coded 4610 so the IT team will know it needs tracking.

3. The number is not for an 05 resident of the selected address. If this happens, verify that the number you called, including area code, is the number that was listed in SurveyTrak. Find out if the number is currently assigned to the sample address and if so, if any of the current residents lived at the address in 2005 or if they know who did.

4. The number has been changed to a non-published number. This will be less common as we are generally not calling numbers for a specific person, but rather numbers associated with the address that we have found through listings. However, if it does happen, record this in the call record and put the line into IT tracking, code 4610.

5. The number rings more than 20 times, but is never answered. Twenty rings may mean the number is no longer assigned or that you have reached a pay phone. After 20 rings on assigned numbers, you may get a recorded message, “Your party is not answering, please try your call later.” These lines should be coded for tracking so that the ITs can confirm that this is a working number for an address we are trying to reach. Use the same call note as for lines that have
been tried 8 times without success: Phone number confirmation needed.

6. Calling the number produces a **high pitched squeal** (possibly a fax or modem). Try the number at least three times at different times of the day. If you get the same sound, the line should be coded 4610 for IT tracking.

7. When calling the number, if you get a message giving you a **new number**, call the new number. Keep in mind that it is residents of a selected address you are looking for, not an identified individual. The person you reach at the new number may – or may not – be an eligible resident.

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**No Phone Number Lines**

What if the sample line has no telephone number preloaded? Phone interviewers will not receive a line for work unless there is a phone number preloaded. If you do, please notify your TL right away.

FTF trackers however may receive these lines for tracking when this segment is selected for face-to-face work. If the line is coded 0000 when you receive it, you will open the line and enter a call record coded 4510 which indicates that it’s in interviewer tracking. The call note should say “No phone number in sample preload.” You will make a contact attempt at this address when you are in the segment following the procedures in the FTF section of this section.

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**Before You Call**

As with all of our work, it is always a little bit more challenging to make a good impression and communicate well over the phone than it is in person. Making sure that you are prepared and in the right environment before you begin to make telephone contact attempts will help you to make up for the communication gap that distance creates. Review these tips periodically to help you remember how to set the stage. Share your own tips with your work group during production calls so that we can all continue to improve our communication.

- Make sure you’re in a quiet space and will not be interrupted. You are making professional calls and need to
make sure that your home office sounds like your office and not like your home.

- Have the toll-free number and website addresses at hand.
- Review notes of previous call attempts before you dial so you’re familiar with the history and why you’re calling.
- Have an appropriate introduction prepared for anyone who might answer the phone.
- Decide in advance if you will leave a voice message if you don’t reach the target, and if so, exactly what the message will say.
- Introduce yourself immediately giving name and organization. Even if you have previously spoken to this person, they may not recognize your name now.
- Have SurveyTrak or Weblog open and ready to record notes and leads.
- Have your list of questions ready and your telephone tracking script.
- Active listening applies to phone calls as well as FTF visits. Nonverbal clues are not available, but verbal clues are. Baby crying in the background? Informant sounds out-of-breath? These may be signs that you have called at a bad time. Offer to call back without them having to request it.
- Watch your phone manners – politeness always counts!
- If someone other than the person you’re seeking answers the phone, strive to make informants partners, not gatekeepers.
- Animation in your voice will help to make up for the fact that the informant can’t see your friendly smile.
- Have your calendar ready to set an appointment to call back if necessary.
- Always thank them for their time – phone interruptions can be difficult and inconvenient for everyone.

What to Say

For all calls where the residents have not yet been identified and the screener not completed, you will be treating anyone who answers the phone as an informant and revealing very little about the study. After you have confirmed that they are 05 residents, you may give them all of the details that are included in the precontact letter, the study brochure, and the FAQs. Until then, you should rely on this introductory script to help you.

Hello, my name is [IWer name] and I’m calling from the University of Michigan on behalf of the RAND Gulf States Policy
Institute. I’m trying to locate residents of [sample street address] who might be eligible to participate in a study that we’re conducting. Did you live at this address in August 2005 just before Hurricane Katrina?

If yes: May I have your name? If you have a few minutes I’d like to give you some information about the study and see if anyone in your household is eligible.

If no:
Do you live at that address now?
Did anyone else in your household live at [sample street address] in August 2005?
Do you know anyone who did?

We appreciate your time – thank you very much!

As always, you will record the results and enter a detailed call note; and if the line has been coded for IT tracking, transfer it to your TL.

6.5 Face-to-Face Tracking

Face-to-face tracking is required for many lines that don’t have telephone numbers available. Prepare for all FTF tracking by packing needed supplies, reviewing the sample in the segment you’ll be visiting, and checking the segment maps or other resources for driving directions.

Supplies include the following:
- FTF tracking note pad
- SIMY cards
- Tracking Cards with finder’s fee information

Unlike many other projects you might have worked on, for DNORS successful FTF tracking does not necessarily end in an interview. In certain circumstances, for example if the respondent has been resistant or has difficulty hearing, your TL may tell you in advance that you should complete interviews face-to-face while you are in the field. However, in most instances your time will be better spent making contact with 05 residents, completing the screener, and then letting them know that we will be calling selected respondents to complete the interview(s) by phone. Needless to say, having good contact information will be critical. This will allow you to use your
time in the segment to do further tracking, something that the phone and IT team members will rarely, if ever, be able to do.

Carefully read all notes and instructions from updates you may have received from the ITs so that you make the best use of your time in the field.

If you get to the designated address and find that the 05 residents do not live there, there are still ways that the visit might lead to a contact with them. Introduce yourself and the reason for your visit, and then ask the people who do live there if they know the 05 residents, and if they have any contact information for them. You will also visit neighbors who might be helpful and ask them the same questions.

**FTF Questions**

Here are some questions you should ask when doing FTF tracking:

- Do you happen to know how I can get in contact with the former residents?
- When was the last time you saw or spoke with the 05 residents?
- Were there specific neighbors that the 05 residents were friendly with who might be able to help me?
- Do you have a phone number for them, even an old one?
- Can you tell me how I might contact a relative of the residents who might know where they are now?
- Do you know the name of any relative of the residents who might help, even a partial name?
- Do you know a city or state where the residents were from?
- Can you tell me anything about the former residents? How many people lived there? How old? What relationship to each other?
- Can you tell me if a friend of the family is nearby so I may inquire with him/her?
- Do you have any contact information that might help us contact a friend?
• Were the residents involved in any neighborhood/community activities or groups that might assist me?

• Do you know where any of the 05 residents worked before they left this area?

• Do you know if the 05 residents were natives of the state of Louisiana? If the residents were not natives of the area, do you know where they originally lived?

A shortened version of this list printed right on your tracking note form. Record each piece of information that you gather on your FTF visit. Any detail, no matter how small it might seem to you, might prove to be the lead needed for the IT team to locate the residents.

Neighborhood residents aren’t the only way to collect information when doing FTF tracking. Here are some other people and things that might be helpful.

• Mail carriers
• Employees of neighborhood businesses
• Names on building permits
• Signs in or on vehicles parked at the HU
• Realty signs
• Utility meters (are they functioning?)

And always, always make the best use that you can of a willing informant. The people who spend a lot of time outside and know all of their neighbors can be the best resources. Explain that you’re part of a research project and try to enlist their cooperation - it will be time well spent.

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**Coding FTF Results**

Just as for phone tracking, your call notes will be essential in providing information back to the IT team if your tracking efforts are unsuccessful. If you have been assigned the segment for one segment trip only, you will enter appropriate call notes for all lines that you attempt and then transfer lines as requested by your TL.

For those lines where you speak with an 05 resident, you will attempt to complete the screener and then enter all follow up call notes as needed, including for the main lines that are spawned. For those lines where you do not make contact, you will code the line 4610 and transfer back to your TL to hold for additional tracking leads.
**DNORS Tracking Letter**

When the Internet tracker discovers an address that we believe is current for members of the 05 household but there is no accompanying telephone number, we will attempt a face-to-face contact with the residents. However, if the address is not in New Orleans or one of the areas where a DNORS field staff member lives, a tracking letter will be sent to the household to establish contact (See Appendix E). The tracking letter is similar to the precontact letter sent to all sample addresses but it mentions their former residence in New Orleans in 2005.

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**6.6 Updates from the IT Team**

When you receive an update message from the IT team, it is imperative that you **follow up on the information promptly**. The information in the notes field will let you know if there is a new telephone number or new address that should be attempted for this HU.

You will be alerted to the new lead by an email like this.

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**Update from DNORS IT about 1-001-00040-0**

Stephanie Sullivan [68388582@isr.umich.edu]

*Sent*: Sat 5/30/2009 9:13 PM  
*To*: Pamela Swanson  
*Cc*: Stephanie Sullivan, Stephanie Sullivan, Stephanie Sullivan

Good news! An Internet Tracker has sent you new information about SID 1-001-00040-0.

Please do the following:

1) Send/Receive in SurveyTrak

2) Copy the entire tracking note from the tracking tab in View/Edit

3) Open Call Wizard for the sampleline and insert a call record. Paste the tracking note in the call notes field and save it with the appropriate result code

4) Take follow up action on the line as soon as possible

Note that the email tells you the number of the case that has new information, and it summarizes the steps that you need to take to capture this information in SurveyTrak. It is essential that you do this immediately because SurveyTrak can only hold one new lead at a time. If the IT finds
another lead and tries to send it to you, it would overwrite the first lead if you haven’t saved it in a call record.

6.7 Documentation

Documentation is always important in field work, and nowhere more so than when you are doing tracking. The tiniest shred of information, one that you might think could not possibly be useful in tracking, might be just the piece of information that we need to put the pieces together and find the residents we’re looking for.

It could include, but is definitely not limited to things like:

- First names
- Number of people who lived in HU
- Places residents had previously lived
- What kind of work they did

If you record the information, it might lead to an interview. If you don’t record it, it never will!
7.0 Introduction

Several on-the-ground activities are needed for the DNORS study. The first one – updating the sample – is an activity that is required when the interviewer discovers a housing unit which might have been overlooked during the listing phase. This activity is commonly referred to as “Type II Updating.”

The second activity will likely be completed by our local interviewers before the start of production. However, in some cases it may be necessary to ask an interviewer to do this activity during the field period. We describe it briefly here in the Project Manual, because it is an important part of the design of this project.

7.1 Updating the Sample

The DNORS is primarily a telephone study. However, when the interviewer is doing tracking work, trying to find the selected housing unit, s/he may need to “update” the sample listing to reflect the true condition of the segment. Although a listing of all housing units in the study area was taken in October - November 2008 (for the first 10 segments) and April – May, 2009 for the remaining 140 segments, housing units may have been missed during the listing phase. An interviewer will need to update the sample of addresses to reflect any housing units which were overlooked by the listers. This type of updating is called “Half Open Interval” updating, or “Type II” updating.

The “Half Open Interval” updating takes place at the time of the first visit to a sample address. This type of update includes adding previously unlisted dwelling units at the selected address that may have been missed during the original listing. An example of this is a duplex that is not obvious from the street or an upstairs apartment that was not clearly marked.

The first thing to do is to be sure that the households are indeed unlisted. A check of the complete segment listing will confirm this. Some cases will be more obvious than others— for example, if the selected line has a notation such as “up,” “down,” “front,” “rear,” “right side,” “left,” “side door,” on either the address line or
in the additional information field, it is likely that other locations having the same street address have already been listed. In any event, the complete segment listing should be checked.

If it is determined that any additional housing units were not listed during the listing process, the interviewer should fill out the “DNORS SAMPLE UPDATE FORM” shown in Appendix F.

This form will be used slightly differently depending on whether you have identified 4 or fewer housing units at the address versus having identified 5 or more housing units. Please be sure to check the correct box.

On this form you indicate:

- Your INTERVIEWER ID
- Team Leader (initials)
- The Original Sample ID
- PSU Number (not needed since it is always 1)
- Segment Number
- Address and description of the already listed housing unit
- Description and location of all additional housing units (only if you have found 4 or fewer housing units at the address)

This form is then sent (as an email attachment) to the SRO sampling section, following the instructions at the bottom of the form and copying your TL on the e-mail. You will not interview anyone at this location until it is determined which address to use. The new selections will be added to your sample in SurveyTrak once the SRO sampling section has approved the additional sample lines. You will not be directly notified of this addition, but you will find the line(s) in your sample after a send/receive. If a pre-notification letter is mailed to the new sample line(s), you will be notified by your TL of the date it was mailed, so that you can plan your contact attempt accordingly.

If the structure consists of 5 or more housing units, you will list only the sample line ID in the table at the bottom of the update form. In the e-mail to the SRO sampling section, you should provide apartment/unit numbers or a description of the location of each unit within the structure. The SRO sampling section will select some of the units to be added into the sample. Again, you will see the added line(s) after you send/receive, and you will be notified if and when pre-notification letters are mailed to these added line(s).
Keep in mind that sample updating is very important. These are people who had no chance for selection into our sample and therefore, could not be represented in the survey. An example of the Half Open Interval updating: there is an older housing unit that showed up in our sample as a single listing, but when you arrived at that address, you found that there is multiple housing units inside the house. Once the Half Open Interval updating has been completed, the original housing unit is now separated into multiple living units which might be selected for inclusion in the sample.

Making Address Corrections

The bulk of the segment listings for the DNORS were completed very recently -- during spring of 2009. You may still notice some changes to the housing unit address or description when you are in the field for interviewing. For example, you may now find a house number posted for a HU that had been listed as “No #.” If any changes are confirmed, you will need to make changes in the address tab in SurveyTrak for the selected line and enter a Case Note.

Whenever you suspect that a correction needs to be made, the first step is to make absolutely certain that you are, indeed, at the selected housing unit. In most cases, it will be obvious; in some cases the address numbers of housing units on one or both sides of the selected unit/address will be available in the “additional information” in the segment listing file.

There will be some difficult cases where you or your TL or PM will need to consult the segment listing in order to confirm that the address change is needed. The map of the segment and its boundaries and the complete listing will have addresses or descriptions of the non-selected housing units on either side of the selected unit/address; this will allow you to confirm that you are at the selected address. This is particularly important for changes to address numbers and/or street names or housing unit descriptions.

Once you have confirmed that you are at the correct housing unit, make a note in your Case Notes describing the situation in detail. Even if you are just replacing a “NO #” listing with its posted address, make a Case Note explaining the change you are making and your documentation for making it.
If you do not have the segment map or the segment listing in your computer, please contact your TL. **Do not make an address correction until you have contacted your TL for further instructions.**

“Major” Sample Update Changes

The DNORS is not expecting to undertake updating of entire segment listings since they were completed very recently. However, if major changes are noted in a segment area while you are there--such as new HU construction or reconstruction of destroyed HUs, or HU demolition, notify your TL.

**Difficult to Identify HUs**

If you discover that the building containing a sample address contains more than one HU (apartment) but you are having trouble identifying the proper unit to contact because the address only appears in the segment listing once OR because the address appears more than once but there aren’t any apartment or unit numbers to uniquely identify each unit, you need to call your TL for assistance. You should not attempt to contact any resident until this is clarified.

Please make a list of the apartment numbers you find on-site through observation of mailboxes or doorbells and contact your TL. The TL will contact the Ann Arbor office, who will select the proper apartment to contact.

You may also receive sample lines that look like this:

    NO # Main Street

If this happens, you should refer to the segment list for more information. The lister may not have been able to get an address, but there may be a note that says “green house next to the 7-11”. You can then go to that address and do your screening of the household to establish eligibility and to select the respondent. Ask the informant in those cases to give you the correct address and update the address tab in SurveyTrak. Notify your TL in these cases and enter the address check information in a Case Note as directed above.
7.2 Supplemental Housing Unit Observation Sheet

DNORS is interested in the conditions of neighborhoods since Hurricane Katrina. Thus, we have collected neighborhood information for each segment during the listing phase. However, since a lot of the damage was uneven in terms of how it affected the housing units in the segment overall, we also need to collect information about the physical conditions of the selected housing unit.

The observation is of the actual physical structure, if standing, or of the foundation or other aspect of the housing unit that remains after the storm. The types of things that we want to record include:

- Structure: Is it a traditional structure, modular/manufactured unit, mobile home/house trailer, camper/travel trailer, recreational vehicle, or something else?

- Is it a single family dwelling, a duplex, a small, medium or large multi-unit?

- Are there barriers to accessing the unit, such as locked common entrance, locked gates, doorkeeper/gatekeeper, or intercom?

- Is there any evidence of damage to the unit’s roof, windows, walls, foundation, etc.?

- Are there any other housing units at the address/on the lot, and if so, what types and how many? An example is when a trailer may be sitting on the lot, while the housing unit itself is being repaired.

Most of these sheets will be completed prior to start of data collection. However, your TL will let you know if you need to collect this information for housing units in your area. (Please see Supplemental Housing Unit Observation Sheet in Appendix G.)

If you are asked to complete a Supplemental Housing Unit Observation Sheet you might be able to record the observation of the housing unit when at the address. You may be at the address when doing tracking for one or more selected addresses in one area and should then complete this form right away. In most cases, since the study is a telephone study, interviewers will not usually visit the
address to do an interview. For those cases, we will have completed these housing unit observations before beginning production.

Once an observation sheet has been completed you are responsible for mailing it to Ann Arbor for data entry. The information from the sheet will be entered into a Web Logging program in Ann Arbor so that the data is automatically captured to generate reports for the management team for monitoring of completion rate throughout the study period.
SECTION 8: ADMINISTRATIVE PROCEDURES

8.0 Importance of Confidentiality

Respondents’ rights to privacy and confidentiality of the information that they provide are the cornerstones to the success of any survey.

ISR pledges to the respondent that it will preserve and protect high standards of confidentiality. Each ISR staff member is required to sign a pledge to ensure that she/he understands, and will uphold, these standards of confidentiality. Copies of the ISR “Policy on Safeguarding Respondent Privacy” and “Pledge to Safeguard Respondent Privacy” are included in the ISR employment package. You will receive a copy of your signed pledge to carry with you when conducting interviews.

As stated in the ISR policy statement, the “promise of confidentiality” is a promise to a respondent that the information she or he provides will not be disseminated without explicit permission; that the fact that the respondent participated in the study will not be disclosed; and that disseminated information will include no linkages to the identity of the respondent. Such a promise encompasses traditional notions of both anonymity and confidentiality.

"Anonymity" means that the name and other identifying information about a respondent (or informant), or about other persons about whom the respondent or informant provides information, will not be revealed.

"Confidentiality" means that specified information provided by an informant or respondent will not be disclosed without the permission of the respondent. Names and other identifying information regarding respondents, or other persons about whom the respondent provides information, are presumed to be confidential. Other information may be designated as confidential by specific agreement of the respondent and ISR staff.

Proper handling and storage of study materials, including the laptop computer and hard copy materials, is critical to ensure against loss, breach of security or respondent confidentiality, and other hazards. All DNORS materials must be kept secure. Never leave project materials lying around for others to see; this includes
members of the respondent’s household, members of your own household, or anyone else who is not a member of the DNORS staff. In order to ensure the security of the laptops and documents, you must identify an area in your home where you can safely store materials between visits to sample households. No one should accompany you to an interview unless directed by your Team Leader.

Most of the DNORS interviews will be conducted by phone, and you will not see the setting in which the respondent conducts the interview, but the interview should be conducted in a private setting so that the respondent is comfortable answering the questions. You should mention this to the respondent when scheduling an interview.

If you will be conducting a FTF interview and the household does not afford a private area for the interview, suggest alternate locations to the respondent. The comfort and privacy of the respondent should be central to the decision about where to conduct the interview.

The protection of a respondent’s right to privacy and the confidentiality of the information that she/he provides is a serious part of the interviewer’s job. Failure to comply with the standards of confidentiality presented in the ISR pledge will result in discipline up to and including termination of employment, fines, and/or incarceration. No respondent’s confidentiality has ever been compromised in the 60-year history of the ISR. We intend to continue this record.

8.1 Procedures for Maintaining Confidentiality

The interviewer must maintain the security of the data at all times. Listed below are procedures that will ensure that you maintain the DNORS standards of confidentiality:

- Never reveal your computer password to anyone.
- Your computer is for use on the DNORS only. Do not load any additional software on the computer. The interviewer is the only individual who should use the computer.
- Always conduct interviews in situations that do not compromise the respondent’s privacy.
• Never leave confidential material or the computer unattended in the respondent’s home or a public place.

• Never identify the sample households or respondents to anyone outside of the DNORS staff.

• Never discuss respondent information with anyone outside of the DNORS staff. It is inappropriate to discuss a respondent’s answers even if the identity of the respondent is not revealed. This includes not sharing identifying or potentially identifying information with other interviewers.

• When referring to a respondent, either in an e-mail message or during conference calls, always use the sample identification (SID number) only. Do not use the respondent’s name.

• When doing face-to-face tracking and using the Tracking Form, make sure that the form is shredded as soon as the information is entered into the computer.

8.2 Getting Started with Data Collection

Study Goals and Expectations

Our goal is to provide you with the highest quality interviewing tools that we can and to do our best to support you in your job of collecting high quality data for this project. The training you receive will prepare you to deal with the daily challenges you will encounter during the interviewing process. We have tried to detail all possible instructions in this interviewer manual, but we must also call on your professionalism to ask questions if you need clarification. The quality of data that we provide to researchers demands that each interview is taken with the highest regard for all interviewing procedures and protocols. The Survey Research Center is recognized worldwide for the quality of data collected by its interviewing staff. Being part of this study means that you are joining a highly respected and professional staff.

We believe that your understanding of, and commitment to, SRC and project goals will enable you to be a productive member of the team, striving to meet the goals for this study.

It is important to maintain control over the time spent per interview. Given the variable nature of interviewing, some interviews will exceed the target and some will come in below it.
DNORS Production Goals

The production goals for the DNORS are:

1. **Completed interviews with members of 1,250 households**
2. An expected response rate of **at least 50%** among all eligible respondents identified in the Screener.
3. Production being successfully completed between the weeks of July 29, 2009 and March 31, 2009 (9 months).

Successful data collection on this study will be measured in terms of our ability to (1) effectively identify and track eligible respondents, and (2) complete telephone interviews with eligible respondents.

Production goals for this study take two forms – overall study goals and individual interviewer goals. The overall goals have been established based on the budget and experience from other studies. Your TL will work with you to set your individual goals based on the overall study goals and your assignment.

Expectations of Interviewers

Interviewers are encouraged to set SMART goals.

- **Specific**
- **Measurable**
- **Attainable**
- **Reasonable**
- **Timely**

It is important to maintain control over the hours spent per interview. Given the variable nature of interviewing, some interviews will exceed the target and some will come in below it. DNORS production goals take two forms, an overall study goal and an individual goal. The overall goal has been established based on the budget and experience from other ISR studies.

Interviewers will report to the TL by telephone and e-mail on a weekly basis at a prearranged time. Time and expenses on the DNORS will be monitored closely throughout the data collection period. Screening and interviewing progress and all entries made in SurveyTrak are available for your TL/PM to review. The
weekly conference call will be spent discussing respondent concerns, developing a strategy for meeting the overall production goal of the study, and sharing tips and success stories. Interviewers should have reports ready, materials in order, and your list of questions or problems prepared before the call. Being prepared will allow you to make the most efficient use of the time with your TL. It is a requirement of your employment to attend and participate in these conference calls.

One of your tasks will be to send information back to ISR electronically. This process is completely automated – all you have to do is connect the computer to your Internet supplier and then choose the appropriate menu selection. You must transmit computer files every day, not only so that the data can be sent to ISR but also to update your system and Field Progress and Cost Reports. Daily transmission also allows the Team Leader to review your work, time, and expenses and for the DNORS Project Staff to monitor progress and costs on a daily basis. This is required even on days when you have not done any interviews or made any contact attempts.

To ensure the quality of the data collected for the project, strict quality control procedures will be followed, including evaluation of each interviewer’s work and verification calls for complete interviews and eligibility. The PM/TL will play a key role in the quality control effort. In particular she will provide feedback to you regarding the quality and accuracy of your interviews, and feedback on the strengths and weaknesses of your performance.

---

**Project Manual as Resource**

There is a great deal of information that is essential to conducting high quality interviews. The Interviewer Project Manual should always be your first reference when you have questions about the study or an administrative process. If you do not find the answer in the manual, contact your TL.

---

**Before You Begin Interviewing**

Interviewers working on this study will be required to complete the following assignments before conducting any production interviews.
- Attend Study-Specific Training
- Read the Project Manual and review all materials
- Complete the on-line home-study exercise
- Successfully conduct a certification interview
- Inventory supplies and prepare materials for interviewing.

Certification Requirements

All interviewers are required to complete one certification screener and main interview at training.

The interviewer will not be certified to begin production interviewing until the evaluator of the certification interview determines that the interviewer has met the necessary quality expectations in conducting the interview.

Additional certification interviews may be conducted at the trainers’ discretion.

Receiving and Reviewing Your Assignments

Before beginning work, you should review your sample assignment. Please sort your sample by result code after each send/receive to quickly identify new lines. New lines may be coded 0000 or 4501 depending on whether or not they have been in tracking before you receive them.

Planning and Scheduling Your Work

Your plan should be based on the required production goals and the amount of time you have committed to work. Knowing in advance how you will approach your assignment will maximize your efficiency and cost. Organize your sample so that you can work in large blocks (4 hours) of time when working face-to-face.

When working by phone, the most efficient way for you to work might be just the opposite. In addition to keeping scheduled appointments for interviews, you should plan 2-3 periods a day when you will sit down and make phone attempts to unreached lines. This will spread out your contact attempts over different call windows and increase the chances that you will find an informant or respondent at home.
Transferring Cases

Occasionally, you will need to transfer a case to another interviewer. For phone interviewers, this may be to balance case load or to attempt refusal conversions. For FTF interviewers, this will usually happen when you have tracked a segment and are ready to move on to another area. Both phone and FTF interviewers will transfer sample back to the TL when there are no current leads to be worked. In other instances, your TL may suggest that a different interviewer may have an approach that is better suited for a particular respondent.

Only transfer cases when instructed to do so by your team leader.

To transfer a case, do the following:

- Get approval from your TL.
- Go into SurveyTrak and flag the cases for transfer in the “Transfer Cases” tab.
- Select the name of the person to receive the cases from the list in the transfer screen.
- Do Send/Receive to send the cases to the other interviewer. The transfer is not completed by simply tagging the lines – you must also complete the Send/Receive.
- Check the Transfer History Tab in SurveyTrak to make sure that the lines were successfully transferred.

Monitoring Your Sample

Monitoring your work will ensure that you are working efficiently, working your sample evenly, attending to details, and meeting the project goals. You should always have a work plan for the week and know what is the next step needed for each of your sample lines. Ask yourself these questions and you will be prepared for sample reviews with your Team Leader.

- Have you followed all GIT and study specific procedures as outlined in this manual and the GIT manual?
• Have you completed interim and final call notes for every contact attempt according to the DNORS call record protocol?
• Have you used the correct interim and final result codes?
• Do you have any lines that have not been worked, not worked recently, or not worked adequately?
• Do you have any sample lines that you need to discuss with your Team Leader?
• Are you following the DNORS tracking protocol and moving lines through the tracking process promptly?
• Are you working with your TL to determine the best strategy for each resistant line?
• Are you making every effort to collect information on one CP for each respondent?
• Are you carefully checking all contact information for Rs and CPs so that we will be able to contact them again if necessary?
• Are you meeting the project goals for number of interviews per week, hours worked per week, and hours per interview (HPI)?

The reports feature in SurveyTrak allows you to monitor your progress in relation to the production goals established. By selecting the “Reports” feature in the SurveyTrak drop-down list, you will see a list of the different reports available to you to view. These reports are updated each time you do a send/receive. Double click on the report to see a summary view of your work.

Using the Projections Tool

Throughout the project you will be required to project the hours you will be working using the Interviewer Projection Tool (IPT) in SurveyTrak.

When you open SurveyTrak the first screen you see is the Appointments/Projections screen. At the top of this screen you will see any interview appointments you have scheduled for the day. The bottom of the screen is where you will enter your weekly time projections for each SRC project you are working on. You should have your time projections for the coming week entered into SurveyTrak by the end of the work week on Saturday evening.

The IPT is a planning tool to help you schedule your week and let your TL know that you are planning your work in different contact windows and will meet your hourly commitment to the project.
This is not a dynamic tool; you should **not** continue to modify your projections after they are entered on Saturday, even if you have a change in your schedule.

To enter a new time projection, click **Insert** and a new line will appear. Click on the arrow under Project and a list of all the projects to which you are assigned will appear. Select the day of the week, the contact window you will start working on that day, and enter the number of hours you intend to work and click **Save** when you have completed each entry. If you enter a line in error, highlight the line and select delete. If you plan to work across two contact windows in one day, make an entry for each of them.

If you have medical problems, are planning a vacation, or have other responsibilities that temporarily limit the hours you can work, the notes drop-down menu allows you to easily explain why your projections might be less than expected. For example, if you know you have medical tests planned for next Wednesday and you normally work 6 hours on Wednesdays, you could select “Illness/Injury/Medical.” You can also select “other” which will bring up a text box for you to type in additional information. You should not enter detailed personal information however. You can also highlight a line and either edit it or delete it. Refer to your Team Leader if you have questions about what is expected.

The Projection Tool will always come up automatically when you enter SurveyTrak, but you can also access it any time by clicking on Planner on the task bar at the top of SurveyTrak.

---

**Reporting Time and Expense**

You have received training in using the Tenrox system for reporting your time spent on DNORS and expenses to the project. It is very important that you enter your Tenrox data EACH DAY. Your PM and TL will be monitoring this closely throughout the production period.

Please refer to your **Time & Expense Manual** for detailed instruction about how to complete your Tenrox data.

Be sure that you use the correct Project Name and Worktype. For this study we are asking you to pay special attention to time that you use for (1) travel to and from your sample addresses, (2) time spent specifically on tracking the eligible household or eligible respondent – say by making phone calls or stopping in to talk with neighbors or places in the neighborhood, (3) administrative tasks
such as conference calls, entering time and expenses, calls to and from your TL, and, of course, (4) time spent doing the interview which is charged to production.

Ordering Supplies

Your TL will set a regular day of the week on which he or she will submit supply requests, and you will be asked to get your orders to the TL before that time. Your request must include all of the following information: (1) your name and ID number, (2) the description of the item(s) requested, and (3) the quantity of each. Order supplies before you are completely out of an item. Every effort will be made to mail out your supplies within 2 business days of your request; however, please allow 7-10 days for delivery.

Computer Problems

Computer problems should be reported to the Help Desk at 1-800-631-2819; please let your TL know as well if there is a computer problem. Do not attempt to “fix” computer problems yourself or call in a friend or family member who is a technology wizard for assistance. No one other than SRO employees may use or repair the laptops.

The Help Desk logs all calls and follows up promptly. If you have concerns or have not gotten a response, please notify your TL.

If you have charged time to computer problems in Tenrox there must be a call to the Help Desk to report the problem.

Mailing Advance/Pre-Notification Letters

Pre-notification letters will be mailed from the Ann Arbor office before the start of data collection and as needed during the field period. (See Appendix C1.) This mailing will include a study brochure as well (see Appendix C2). Phone calls from respondents made in response to the advance letters will be relayed to interviewers using the RCLS system (see Section 3.13).
Persuasion Letter Requests

Occasionally when a respondent or informant is reluctant to provide information, a letter can help alleviate fears or concerns about the project. We have prepared a series of “persuasion” letters that will be mailed to reluctant respondents upon interviewer request. These have been developed to answer the most common concerns that respondents (or others) often have about participating in a survey. (See Appendix C4.)

To request a persuasion letter, you should first contact your TL and discuss the case with her. Use the Letter Request Form in SurveyTrak to request that a persuasion letter be sent to a respondent. You will be asked to select the type of letter from a drop-down menu. Pay close attention to the titles and make sure to request an HH letter if the screener has not been completed and an R letter if the Respondent had been identified through the screener process.

The DNORS Study Brochure

A study-specific brochure has been developed for you to use as necessary to help explain the project to a potential respondent and allay concerns about the validity of our research. (See Appendix C2.)

Please do NOT give the DNORS study brochure to anyone other than the selected household or respondent, because it provides information about the study that, if shared with others, would violate confidentiality by letting it be known which study the household/respondent may be participating in.

The brochure contains a reference to the New Orleans Katrina Study website, where respondents may want to go to find out more about the study. (See Appendix C3.)
8.3 Putting it All Together: Summary of Interviewer Tasks

1. Be prepared. Review the supplies you have received and know the study concepts and procedures.

2. Review your sample materials.

3. Plan your approach for working your sample in order to maximize effort and minimize cost.

4. Prepare your introduction based on the respondents you will be contacting.

5. Practice aversion and conversion approaches by role-playing with your family members and friends.

6. Make complete detailed call notes for documentation to be used this wave and in the future.

7. Continue to use this manual as a reference source throughout data collection. Annotate it during training and the course of data collection. Be sure to use your GIT manuals throughout the study as needed as well.

8. Monitor your sample and review your work.

9. Mail completed CDs and other requested field materials promptly.

10. Meet the expectations and study goals.

11. Enjoy this study and your success on it!
8.4 Quality Control Procedures

You are QC Expert #1!

There are a number of ways in which we monitor the quality of our data collection efforts. Our definition of quality embodies many aspects ranging from the interviewing team, the questionnaire and support materials, performance of the questionnaire application, management of the sample, and the data that are collected. We all share responsibility for the quality of all aspects of the data collection process. Below are some of the specific responsibilities that each of us shares in this process.

The interviewer is the first line of defense in quality control. By carefully following study procedures and maintaining a commitment to collecting high quality data, the interviewers play a critical role in this project.

The Team Leaders and project team in Ann Arbor are available to answer questions and help with problems as they arise, but it is the interviewer in the field that really determines the success of the project.

Taping, Evaluating and Verifying Production Interviews

As you monitor and review your work, so will your Team Leader. He or she will frequently review your call records and make sure you have a successful experience on the DNORS. A portion of your interviews will also be evaluated and verified.

**Digitally Recorded Interviews (DRI).** We will be using DRI to monitor interviews on this project. Digital tapes of interviews will be carefully reviewed by your Team leader and SRC QC experts. Please refer to the DRI handout for a description of the protocol as well as a Quick Start Guide for how to start/stop the DRI and how to burn the digital recordings unto a CD and prepare them for mailing.

**Verification** The Ann Arbor verification team will be making routine verification calls to respondents. This is a time we often hear very complimentary comments about the professionalism and courtesy of the interviewer, and it is an opportunity for us to find out whether or not portions of the interview are well understood and completed.
During the verification process, we validate a portion of each interviewer’s production work by comparing responses given by the respondent during the verification call to responses given during the interview. We will provide feedback to your Team Leader/Production Manager after each verification call.

Each interviewer will have 10% of interviews randomly flagged for verification throughout the course of the project.

Verification and evaluation reports will be generated to assist in the monitoring of these critical pieces of the data collection process, and will be updated and sent to supervisory staff weekly.

8.5 Safety Concerns

Safety Procedures and Protocols

Safety of our interviewing staff is always an important consideration. Please be sure to take the safety precautions that are described in your GIT Concepts Manual and which were discussed during your GIT training. A brief review of safety procedures that you should follow when working on the MCS at all times include:

- Take your “Letters to Authorities” to the area’s police stations. These “Letters to Authorities” inform the local police precincts of which interviewers are working in their areas and the make of cars they are driving.

- Have your Interviewer’s badge with you at all times.

- When starting to work in a new area and you are not able to contact the housing unit by telephone, travel to the area early on a weekday morning and familiarize yourself with the neighborhood.

- Listen to the local residents if they express concern about your safety. Ask them their opinion of the best time of day to be in the area so as to minimize any risks.

- Document any situations that you consider a safety risk on your cover sheet and discuss the situation with your Team Leader.

- If you are ever approached by a person who demands your equipment, give the equipment to them without hesitation.
• If a respondent or household member appears intoxicated or there are signs of liquor on the premises, excuse yourself and reset the appointment for early in a day and have another interviewer or Study Aide accompany you to the appointment, after clearing this with your TL.

• If there is any sign of drugs or the respondent or household member appears ‘high,’ LEAVE THE PREMISES IMMEDIATELY. Talk to your TL or PC about the incident.

• In extreme cases, with extreme safety concerns, the Principal Investigator and the SRO management team will take the interviewer’s and TL’s recommendations into consideration, before making a decision to proceed.

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**Safety Tips while in the Field**

• Familiarize yourself with the neighborhood on the first visit; make note of public telephones, brightly lit areas, potential parking spaces, public transportation, etc., as well as potential hazards.

• Leave your tentative itinerary of areas and/or addresses with a family member or friend.

• Make sure your car is in good working order and that you have adequate gasoline for your trip.

• Always lock your car. Drive with it locked.

• If you are parking in a lot, avoid parking by vans. Park on the street and leave adequate room to be able to exit easily.

• Park under a light if you will be returning after dark.

• Do not take your purse with you, when interviewing. Lock it in the trunk or place it completely out of sight, under the seat or in the glove compartment. Carry change for a phone call.

• If you lock your purse in the trunk do NOT do this in view of people at the housing unit (address) or anyone in the neighborhood. Don’t forget your keys though!
• Jackets, slack or skirt pockets are good places to keep your keys while interviewing. Other ideas – pin your keys out of sight on your person. Put your ignition key in the ashtray and carry only the door key with you.

• On returning, have your key in your hand ready to unlock your car without fumbling. Approach your car with caution, checking for anyone around or under your car. Visually check out the back seat before entering. Be aware. Lock your car, immediately upon entering it.

• When you have finished in one place, leave the area immediately. Drive to a well-lit public place to do your editing or to make notes.

• In most interviewing areas, leave your fancy jewelry at home. Dress to blend in with your area, not to stand out.

• Walk, stand and convey a sense of confidence and purpose. You are a Professional Interviewer and you know what you are doing. Stay alert to your situation – the area, the people, the weather, the traffic, and the noises.

• Pay attention to YOUR instincts. Trust others but mostly trust yourself.

• Although it may be your personal right, University policy prohibits the carrying of guns during work time for all staff in positions other than approved public safety positions.
8.6 When You Are Finished Working on the Project

What To Do When You Have Completed Your Assignment

Any unused supplies should be returned to the Ann Arbor office. A UPS shipping envelope and preprinted address labels will be supplied.

Critical Steps To Closing Down the Project on the Laptop

The following close out procedures are in addition to anything your Team Leader (TL) or Production Manager (PM) requires of you.

When an interviewer terminates or has finished work on a project and will not be assigned to another project in less than one month, it is the responsibility of the Team Leader to make arrangements for the return of equipment.

Step 1: The PM or TL will contact you to coordinate the shipping of the computer. Final sample reconciliation must be done at this time.

Step 2: The PM or TL will inform the Help Desk staff that you will be returning the computer and a Help Desk call will be opened.

Step 3: Ship the computer to Ann Arbor following the provided shipping instructions. It is your responsibility to provide the PM or TL with a valid UPS tracking number.

Step 4: The PM or TL will inform the Help Desk staff of the valid UPS tracking number and that the computer has been shipped.

Step 5: Upon receipt of the laptop in Ann Arbor, the Data Collection Services unit will conduct final check of sample and close out interviewer from all applicable projects.
Computer Shipping Instructions (Close-out and Repair)

The computer must be in its bag and placed in a box with no less than 2 inches of material (crumpled paper, bubble wrap, Styrofoam peanuts) surrounding it. For final returns, all included laptop peripherals should also be placed in the box including but not limited to: Extension cord, 3-prong adapter, computer phone cord, telephone duplex adapter, telephone fem-fem adapter, laptop power supply, and mouse.

If UPS provides pick-up service in your area, call the number located at the top of the pre-printed UPS shipping document (1-800-PICKUPS). Inform UPS of the U-M account number (X43440) and the shipping method (final return of laptop - 2nd day air, laptop repair - next day air). Please do not send shipments for A.M. delivery. Make pick-up arrangements with them at this time. If pickup service is not available in your area, you will have to take it to another facility for shipping. Please do not use a small packing company or drug store. Many of these stores do not accept the U-M charge number and will not honor the discount.

Fill out the UPS shipping document. Whenever possible, use a pre-printed UPS shipping document that has been provided to you for the project which you are working. If you do not have a pre-printed UPS shipping document, fill out a blank document using the following information.

1. The shipper’s UPS account number is X43440. **
2. The reference number is the 6-digit Short Code for the project.
   
   Your PM or TL will provide you with the 6-digit Short Code for the project. **

3. The shipping address is:
   
   Mike Etzel
   University of Michigan - ISR
   330 Packard - B342 Perry Bldg
   Ann Arbor, MI 48104-2910

4. The phone number is 1-800-631-2819.
5. Fill in the weight of the package.
6. The insured value should be $2,000.00.
7. The method of payment is “Bill Shipper.”
8. Sign and date the document.
**DO NOT ADD ANY ADDITIONAL INFORMATION TO THESE FIELDS OTHER THAN WHAT IS SPECIFIED.**

If you have any problems with UPS or with filling out the shipping document, please call the Help Desk at 1-800-631-2819.

Please note that we cannot accept a computer sent COD.
APPENDICES
### Appendix A: Terms and Abbreviations

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3-Digit</td>
<td>Code used for project identification in some applications, Sprint cards, for example</td>
</tr>
<tr>
<td>6-Digit</td>
<td>Project Short Code - varies by phase and is entered on mail and UPS packages to identify project</td>
</tr>
<tr>
<td>8-Digit</td>
<td>Assigned interviewer identification number</td>
</tr>
<tr>
<td>Blaise</td>
<td>The software program in which the interviews are conducted on the laptop computer</td>
</tr>
<tr>
<td>CAI</td>
<td>Computer-assisted interview</td>
</tr>
<tr>
<td>CAPI</td>
<td>Computer-assisted personal interview</td>
</tr>
<tr>
<td>Call Note</td>
<td>A narrative note describing what happened on a contact attempt; it is part of the call record</td>
</tr>
<tr>
<td>Call Record</td>
<td>Documentation of all information of a contact attempt - date, time, mode, result code, and description of the attempt in form of a call note</td>
</tr>
<tr>
<td>Call Windows</td>
<td>A list of the time periods for attempting to contact households</td>
</tr>
<tr>
<td>Callback</td>
<td>Follow up calls after initial attempts at contacting respondent or informant</td>
</tr>
<tr>
<td>CAPI</td>
<td>Computer-assisted personal interview</td>
</tr>
<tr>
<td>CATI</td>
<td>Computer-assisted telephone interview</td>
</tr>
<tr>
<td>CIDI</td>
<td>Composite International Diagnostic Interview CIDI is a comprehensive, fully-structured interview designed to be used by trained lay interviewers for the assessment of mental disorders according to the definitions and criteria of ICD-10 and DSM-IV.</td>
</tr>
<tr>
<td>Confidentiality</td>
<td>Our protection of respondent data; answers are only reported in aggregate form and individual names are never associated with the answers</td>
</tr>
<tr>
<td>Contact</td>
<td>Any attempt to reach an informant or respondent by phone, mail, email, or face-to-face visit</td>
</tr>
<tr>
<td>CR</td>
<td>Call record</td>
</tr>
<tr>
<td>Data</td>
<td>Information collected during the interview</td>
</tr>
<tr>
<td>DCO</td>
<td>Data Collection Operations</td>
</tr>
<tr>
<td>DCS</td>
<td>Data Collection Services</td>
</tr>
<tr>
<td>Dedicated Line</td>
<td>Land telephone line used only for work on UM studies</td>
</tr>
<tr>
<td>DNORS</td>
<td>Displaced New Orleans Residents Study</td>
</tr>
<tr>
<td>DRI</td>
<td>Digitally recorded interview</td>
</tr>
<tr>
<td>F1 Help</td>
<td>The way to access the QxQ instructions onscreen during the interview</td>
</tr>
<tr>
<td>F2 Note</td>
<td>A blank field that the interviewer can use during the interview to enter additional relevant information that cannot be included in the coded response to a question</td>
</tr>
<tr>
<td>Feedback</td>
<td>Standard phrases the Interviewer uses to inform the respondent that he/she is doing well on the survey and which motivate the respondent to continue doing well</td>
</tr>
<tr>
<td>---------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Final Code</td>
<td>Result codes that indicate the final disposition of a sample line</td>
</tr>
<tr>
<td>Finder's Fee</td>
<td>A fee offered to a contact person or other informant when the interviewer believes that it will persuade the informant to provide a respondent's address or telephone number or encourage the informant to persuade the respondent to get in touch with us. Usually paid only after the interview is successfully completed.</td>
</tr>
<tr>
<td>Front Desk</td>
<td>The SRO staff who answer the respondent toll free number</td>
</tr>
<tr>
<td>FTF</td>
<td>Face-to-face, as in the mode of tracking or interviewing</td>
</tr>
<tr>
<td>Help Desk</td>
<td>Toll free number (1-800 631-2819) to reach IT staff for assistance with computer related problems</td>
</tr>
<tr>
<td>HH</td>
<td>Household</td>
</tr>
<tr>
<td>HPI</td>
<td>Hours per interview</td>
</tr>
<tr>
<td>HU</td>
<td>Housing unit (the address)</td>
</tr>
<tr>
<td>Informant/Inf</td>
<td>Any person who may provide information about the residents or respondents</td>
</tr>
<tr>
<td>Interim Code</td>
<td>Result codes used before a line is final</td>
</tr>
<tr>
<td>Interview</td>
<td>Collection of data using the survey questionnaire in a uniform manner for all respondents</td>
</tr>
<tr>
<td>ISR</td>
<td>Institute for Social Research</td>
</tr>
<tr>
<td>IT</td>
<td>Internet Tracker</td>
</tr>
<tr>
<td>IW/IWER</td>
<td>Abbreviation for Interview and Interviewer</td>
</tr>
<tr>
<td>MPI</td>
<td>Miles per interview</td>
</tr>
<tr>
<td>NOKS</td>
<td>New Orleans Katrina Study – the “public” name for DNORS</td>
</tr>
<tr>
<td>OBS</td>
<td>Observations made by the interviewer; for DNORS we have two types of observations: 1) Interviewer observations and 2) Contact observations</td>
</tr>
<tr>
<td>PAF</td>
<td>Performance Assessment Form; an evaluation of the performance of field staff members</td>
</tr>
<tr>
<td>PC</td>
<td>Production Coordinator</td>
</tr>
<tr>
<td>PM</td>
<td>Production Manager</td>
</tr>
<tr>
<td>Preload</td>
<td>Information that is already filled in the sample line before you begin to work; for DNORS, this will include the HU address and for some line, a telephone number for the address</td>
</tr>
<tr>
<td>Pretest</td>
<td>Preliminary data collection to test the study questionnaire and systems</td>
</tr>
<tr>
<td>PSU</td>
<td>Primary sampling unit</td>
</tr>
<tr>
<td>QxQ</td>
<td>Question-by-Question objective; these explanations and definitions appear on the computer screen and are helpful in understanding the intent of the question and in providing clarification to respondents;</td>
</tr>
</tbody>
</table>
on the computer screen, they are accessed by using the F1 key

| QC | Quality control measures taken to ensure quality date, including certifications, evaluations, and verifications |
| R  | Respondent |
| RB | Respondent booklet |
| RC | Refusal/Conversion; the process of addressing respondent concerns or reluctance to interview in order to keep a high cooperation rate which ensures adequate representation of the population being surveyed. |
| Respondent/R | The person who is eligible to be interviewed |
| Result Code | A numeric code that indicates the status of a sample line in SurveyTrak. There are two types of result codes: an interim code indicates you are still actively working the case and a finalized code indicates work on the line is complete |
| S/R | Send/Receive data, either via email or SurveyTrak; interviewers are asked to transmit on a daily basis while connected to the Internet |
| Sample | Small part of the total population carefully selected to represent the whole |
| Screener | The brief preliminary interview used to collect information about the residents of a selected HU and determine the eligible respondent(s) for the household |
| Segment | Part of a PSU that is scientifically selected for inclusion in the sample for a study |
| SID | Sample identification number |
| SRC | Survey Research Center of the Institute for Social Research at the University of Michigan is the parent organization of the Survey Research Operations |
| SRO | Survey Research Operations is the unit within the Survey Research Center that will be conducting the training, data collection, and field data management for this project |
| SurveyTrak | Electronic sample management system that organizes, stores, and reports information on the sample, interviewing progress, and costs |
| Tenrox | Software used to record interviewer hours, report expenses, and request travel advances |
| TL | Team Leader |
| Tracking | The process of locating respondents who are eligible to participate in an interview; for DNORS we will be tracking 05 residents of selected addresses |
| Type II Updating | The process for adding sample lines as needed when additional HUs are found at a selected address |
| Weblog | Electronic system that organizes, stores, and reports information on the sample, primarily to document and communicate locating/tracking efforts |
(This page is intentionally left blank)
### DNORS Interim Result Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0000</td>
<td>Not Worked</td>
</tr>
<tr>
<td>1401</td>
<td>Answering Machine, No Message Left</td>
</tr>
<tr>
<td>1402</td>
<td>Answering Machine, Message Left</td>
</tr>
<tr>
<td>1602</td>
<td>Fax, Modem</td>
</tr>
<tr>
<td>2006</td>
<td>Address Non-Existnet</td>
</tr>
<tr>
<td>2009</td>
<td>Complete Silence</td>
</tr>
<tr>
<td>2010</td>
<td>Strange Noise / Fast Busy</td>
</tr>
<tr>
<td>3001</td>
<td>Ring No Answer / No One Home</td>
</tr>
<tr>
<td>3002</td>
<td>Phone Busy</td>
</tr>
<tr>
<td>3003</td>
<td>Locked Building / Gated Community</td>
</tr>
<tr>
<td>4001</td>
<td>Contact No Resist, General Callback, Inf (R Known)</td>
</tr>
<tr>
<td>4002</td>
<td>Contact No Resist, General Callback, R</td>
</tr>
<tr>
<td>4003</td>
<td>Contact No Resist, General Callback, R Unknown</td>
</tr>
<tr>
<td>4101</td>
<td>Contact No Resist, Best Time Known, Inf (R Known)</td>
</tr>
<tr>
<td>4102</td>
<td>Contact No Resist, Best Time Known, R</td>
</tr>
<tr>
<td>4103</td>
<td>Contact No Resist, Best Time Known, R Unknown</td>
</tr>
<tr>
<td>4201</td>
<td>Contact, Appt Made, Inf (R Known)</td>
</tr>
<tr>
<td>4202</td>
<td>Contact, Appt Made, R</td>
</tr>
<tr>
<td>4203</td>
<td>Contact, Appt Made, R Unknown</td>
</tr>
<tr>
<td>4301</td>
<td>Contact Initial Resistance, Inf (K Known)</td>
</tr>
<tr>
<td>4302</td>
<td>Contact Initial Resistance, R</td>
</tr>
<tr>
<td>4303</td>
<td>Contact Initial Resistance, R Unknown</td>
</tr>
<tr>
<td>4305</td>
<td>Contact, Released Final Refusal for calling</td>
</tr>
<tr>
<td>4510</td>
<td>Tracking by Iwer, R Tracking</td>
</tr>
<tr>
<td>4610</td>
<td>Tracking by Tracking Team, R Tracking</td>
</tr>
<tr>
<td>4901</td>
<td>Hold, Technical Problem</td>
</tr>
<tr>
<td>4902</td>
<td>Hold, Procedural Problem</td>
</tr>
</tbody>
</table>

### Interim Call Note Checklist

Please include these items in your interim call notes:

- When referring to respondent, identify the type of respondent:
  - RS = Screener Respondent
  - RA = Adult Respondent
  - RHH = Household Respondent
  - RHH/A = Combined Household/Adult Respondent

- Identify the resident/respondent/informant by name
- The relationship of the person you spoke with to residents/respondent, if known
- Any information given to you by the resident, respondent, or informant
- If the person you spoke with was resistant, what did they say? What questions did they ask? How did you respond?
- The best time to reach the residents/respondent
- Recurring schedule information for the respondent or household such as they work nights, only call after 1pm, etc.
- Plans to move during data collection period
- Information on additional phone numbers or residences
- Virtually any tidbit of information that you learn in conversation that could be helpful in contacting the residents or respondent now or in the future
- Names of family members, roommates, etc.
- Cooperation level of the resident, informant, or respondent
- Content of voice mail or answering machine message the first time it is heard and whether or not it has changed in subsequent calls, including:
  - Is it a male or female voice?
  - Does the message identify the residents by name?
  - Does the message verify the phone number you have called?
  - If you left a message, what did you say?
- If the interview was suspended, you must include the last question number and reason for the suspend
DNORS Final Result Codes

**Completed Interviews**
- 1001  Complete Interview
- 1005  Accepted Partial Interview (defined by PI)

**Final Refusals**
- 5001  Final Refusal, Respondent
- 5002  Final Refusal, Informant (R Known)
- 5003  Final Refusal, R Unknown
- 5006  Final Refusal, Do Not Attempt RC

**Non-Interview/Unknown Eligibility**
- 6001  NI: Tracking Exhausted (R Known)
- 6002  NI: Final Non-Contact Unknown HH Eligibility
- 6003  NI: Incomplete Interview
- 6004  NI: Permanent Condition
- 6005  NI: Language Barrier, R Known
- 6007  NI: Contact; Other Reason
- 6008  NI: Contact; HH Eligibility Unknown
- 6009  NI: Locked / Gated, HH Eligibility Unknown
- 6010  NI: R Incarcerated
- 6012  NI: R Deceased
- 6014  NI: Final Non-Contact, R Known
- 6015  NI: Language Barrier, Unknown R
- 6016  NI: Contact; Unknown R

**Nonsample**
- 7002  NS: Sub-Selected Non-Sample
- 8001  NS: Sample Listing Isn’t Proper

**Study Specific Codes**
- 9001  HU vacant in August 2005
- 9002  HU occupied Aug 2005, cannot identify HH
- 9003  HU occupied Aug 2005, HH identified; not found

---

**Final Call Note Checklist**
Please include these items in the final call note.

- Identify the respondent by full name: “R, John Smith”
- The type of respondent
  - RS = Screener Respondent
  - RA = Adult Respondent
  - RHH = Household Respondent
  - RHH/A = Combined Household/Adult Respondent
- Method and amount of payment – main interviews only
- Length of interview – main interviews only
- Mode of interview
- Number of sessions to complete interview
- Respondent’s cooperation level
- If the respondent was upset at any time during the interview and if so, what actions were taken
- Specific comments the respondent made about participating in the study
- Best time to reach the respondent
- Any unusual circumstances, described factually and without judgment
- Any plans to move
- Was this case resistant at any time and if so, how was the resistance resolved?
- Was contact information for CPs provided, and if not, why not?
- Was a Finder’s Fee offered? If so to whom and how much?
- For final screener call note, copy immediately to main line(s) that are spawned and add detail as needed.
Appendix C1: Prenotification Letter

Dear Sir/Madam:

The RAND Gulf States Policy Institute and The University of Michigan’s Survey Research Center are pleased to invite your household to participate in a study about the effects of Hurricane Katrina on people who lived in New Orleans before the hurricane. Funding for the study is provided by the National Institutes of Health.

Enclosed is $5.00 to thank you for your attention to this important study.

The RAND Gulf States Policy Institute is a partnership between RAND (a nonprofit research institution) and seven universities in the Gulf states region: Jackson State University, Tulane University, Tuskegee University, University of New Orleans, University of South Alabama, University of Southern Mississippi, and Xavier University. We are working together to conduct research that will contribute to building a better future for Louisiana, Mississippi, and Alabama after Hurricanes Katrina and Rita. The Survey Research Center at the University of Michigan has over 60 years of experience conducting research on important social issues.

An interviewer from the University of Michigan will call or visit your residence soon. Your address was randomly selected, and we have no knowledge about your household before this visit. Our interviewer will be asking for your help in identifying adults in your household who might be eligible to participate in this study. Persons who complete an interview will receive $30 as a token of appreciation for their participation. The interviewer will provide further information about eligibility for both parts of the interview.

The interview is completely voluntary and confidential. Researchers see only the numbers that represent the answers to questions. Only summary reports are prepared and we will never release any information about you as an individual.

The goal of this study is to understand how Hurricane Katrina has affected people who lived in New Orleans. Researchers and community groups will use results from the study to help design better services for people affected by the hurricane. This is an on-going study of individuals and families from New Orleans and we may contact you in a few years about participating again.

Please call our toll-free number, 1-800-759-7947, to talk with your interviewer, find out if you are eligible, or get answers to your questions about the study. When calling this number please mention the New Orleans Katrina Study. If you have any questions regarding your rights as a research participant, you may call the RAND Human Subjects Protection Committee at 310-393-0411, Ext. 6124.

Also, to obtain more information about this important study, please visit the New Orleans Katrina Study website at www.rand.org/labor/noks/.

Thank you in advance for your help on this important study.

Sincerely,

Narayan Sastry, Ph.D.  
Director, New Orleans Katrina Study
This is a research study funded by the National Institutes of Health to look at the effects of Hurricane Katrina. The study will provide valuable information on the whereabouts, health, and well-being of children and families who lived in New Orleans at the time of Hurricane Katrina, and the results of the study will help community groups, government, and non-profit organizations to provide services to New Orleans and New Orleanians affected by the storm.

More than 1,250 households who were living in Orleans Parish when Hurricane Katrina struck will participate in this important study. Households are selected for participation through random sampling (like a lottery). Up to two adults are randomly selected from all eligible people in each of the selected households.

Yes, participation is voluntary and completely confidential. You may choose not to answer any or all of the questions. Each person who is asked to participate has been carefully selected to represent thousands of other people like them. Only the selected individuals from each household may participate. No substitutions are allowed. Because of this, participation by each selected person is critical to the success of the study.

You will help us better understand the effects of Katrina on people who lived in New Orleans just before the hurricane. We are interested in the experiences of people with all levels of exposure to the hurricane, no matter where they currently live.

You will be interviewed either over the phone or in person by our professional staff, at a time that is convenient for you. The survey takes between 30 and 60 minutes to complete depending on your situation and how much you have to say about each of the topics that we cover. Each person who completes an interview will receive $30 as a token of our appreciation.

Interviewers will ask a range of questions covering your experiences since Hurricane Katrina, including questions about work, health, well-being, and family life. There are no right or wrong answers to any of these questions, and what you tell us is completely confidential.

Survey results are never associated with your name or the name of anyone who participates in the study. Information from each of the hundreds of individual interviews is collected and combined into one large “dataset.” The data collected will be used by university researchers and government policy makers to better understand the need for services among people affected by Hurricane Katrina and to better prepare for future natural disasters.

This study was designed by researchers at the RAND Gulf States Policy Institute, which is a partnership that includes several local universities such as Tulane University, University of New Orleans, and Xavier University. The University of Michigan is also a collaborator and is responsible for conducting the interviews. All interviewers have been trained by the University of Michigan’s Survey Research Center. The Survey Research Center is one of the largest and most respected academic research organizations in the country and has 60 years of experience conducting national studies.
Who is funding the project?

Financial support for this study comes from the National Institutes of Health.

Other questions?

If you have any questions, please contact the project team at 1-800-759-7947; the call is free and we are eager to help. This is the number for the Survey Research Center at the University of Michigan. If you mention the New Orleans Katrina Study when you call, you will be directed to the right person.

If you have any questions regarding your rights as a research participant in this study, you may contact RAND’s Human Subjects Protection Committee:

Phone 310-393-0411, Ext. 6124
e-mail Carolyn_Tschopik@rand.org
Mail Human Subjects Protection Committee RAND Corporation 1776 Main Street, PO Box 2138 Santa Monica, CA 90407-2138

New Orleans Katrina Study
Narayan Sastry, Ph.D. Principal Investigator
Mark VanLandingham, Ph.D. Co-Investigator

Please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/
NEW ORLEANS KATRINA STUDY
http://www.rand.org/NOKS/

NEW ORLEANS KATRINA STUDY OVERVIEW

This web site provides information about the New Orleans Katrina Study and tries to answer questions you may have about the study. If you are a participant in the New Orleans Katrina Study or have been asked to participate, we hope you will take a few minutes to read about the New Orleans Katrina Study.

About The New Orleans Katrina Study

The New Orleans Katrina Study is a study about the whereabouts, status, health, and well-being of people who lived in New Orleans at the time of Hurricane Katrina. Even though Katrina occurred several years ago, there is still no reliable information on many major topics affecting people who lived in New Orleans.

This study is expected to make a number of important contributions, including:

- Providing valuable information on the whereabouts, health, and well-being of children and families who lived in New Orleans at the time of Katrina.

- Providing information for local community groups in New Orleans about the number and type of residents who lived in the city before the storm who have returned, and the number who have not returned but are interested in doing so. The study will also provide specific information on the reasons why people who want to return have not done so yet.

- The study will provide insights into the causes and consequences of outcomes related to Katrina. For instance, the study will provide detailed information on disparities in well-being by race/ethnicity and socioeconomic status.

- Findings from the survey will provide valuable information for policy makers, researchers, and the public interested in understanding the effects of Hurricane Katrina on the population of New Orleans.

Why Participate?

More than 1,250 households who were living in Orleans Parish just before Katrina hit will participate in this important study. If you have been asked to participate in the New Orleans Katrina Study, your participation is very important to the success of the study and the usefulness of the results. This is true even if you feel that you were not directly affected by Katrina.

To represent all types of people who lived in New Orleans before Katrina, we selected a random sample (like a lottery) of the population. A random sample of the population
can provide information about the whole population. We need you in the sample to represent yourself and other people like you.

Participants in the New Orleans Katrina Study are making an important contribution to knowledge about their communities, families, and experiences. Ultimately, you are also helping to build a foundation on which we can develop programs to improve outcomes for people affected by Katrina and other disasters.

Participation in the New Orleans Katrina Study is easy. All you need to do is to be willing to contribute some of your time. Participants answer questions about their daily lives, their family, and their experiences. Participation is voluntary and completely confidential. You may choose not to answer any or all of the questions. You may stop the interview at any time.

Providing information about your situation and experiences gives you a chance to influence policies that have an impact on how communities prepare for potential large-scale disasters in the future.

Privacy and Confidentiality

Your information is confidential. The University of Michigan and RAND will not share your name or identify information with any agency, or your employer, other family members, neighbors, or anyone else.

The New Orleans Katrina Study is strongly committed to protecting your privacy. Because participants trust us with the information they provide, we bend over backwards to make sure that the privacy and confidentiality is maintained and protected. Everyone involved in the New Orleans Katrina Study, including interviewers and researchers, are regularly trained and certified on strict rules and procedures to protect privacy and confidentiality.

For example, interviewers never discuss the answers participants gave during interviews with anyone else. They are also never allowed to identify participants by name or tell anyone (except other project staff) which addresses they are visiting or which neighborhoods they are working in. Information is stored in restricted computer files which cannot be accessed by anyone outside the project. Researchers working on the project do not have access to information on participants’ names or addresses.

Who is conducting this study?

The New Orleans Katrina Study is conducted by researchers at the University of Michigan in Ann Arbor, Michigan, the non-profit RAND Corporation in Santa Monica, California, and Tulane University in New Orleans. The University of Michigan’s Survey Research Center will oversee the data collection of interviews with the New Orleans study participants. Approximately half of the interviewers are residents of New Orleans and the surrounding area and are employed and trained by the Survey Research Center at the University of Michigan.
The project director and principal research investigator is Dr. Narayan Sastry, a professor at the University of Michigan who is also affiliated with the RAND Corporation. Tulane University is represented by Dr. Mark VanLandingham. In addition, investigators from several other Universities in the nation are collaborating on this important study.

**Funding for the New Orleans Katrina Study**

The National Institutes of Health (NIH), which is part of the U.S. Department of Health and Human Services, provides financial support for the New Orleans Katrina Study. NIH funds research projects that make important contributions to scientific knowledge and that contribute to improving the health of the American population. NIH also requires researchers to comply with strict rules about protecting the privacy and rights of participants in research. The *New Orleans Katrina Study* has strict measures to protect the rights and privacy of people participating in the study.

The identities of *New Orleans Katrina Study* participants will **not** be released to government agencies or to anyone else.

**Contact Us**

For more information about the New Orleans Katrina Study, please contact us at:

- E-mail: noks@umich.edu
- Telephone: 1-800-759-7947
(This page is intentionally left blank)
Appendix C4: Persuasion Letters

[TYPE: BUILDING AUTHORITY]

Date

Selected address line 1
Selected address line 2
Selected address line 3

Dear Sir/Madam:

The University of Michigan’s Survey Research Center is conducting a study for the RAND Gulf States Policy Institute. Some of the units in your <BUILDING/COMPLEX> were selected for the study. Residents in these selected units have received a letter explaining the purpose of the study and letting them know that an interviewer will be contacting them.

Because of the security measures provided in your <BUILDING/COMPLEX>, I am writing in advance of the interviewer’s attempt to contact the residents in order to provide you with information about the study and to introduce our staff.

This study will provide valuable information for researchers and policymakers. Participation is completely voluntary and confidentiality is protected by Federal Law. Those eligible residents who are interviewed also receive a monetary token of appreciation for their participation.

Our interviewers wear photo ID badges which verify their employment by the University of Michigan. They will contact only the households that have been notified of the study who will be expecting their visit.

The interviewer who has been assigned to contact your <BUILDING/COMPLEX> is <FIRST NAME LAST NAME>. <He/She> will call or visit you soon to make arrangements for accessing the selected units. In the meantime, if you have any questions or would like more information, please call our toll free number: 1-800-759-7947, Monday – Friday, 9am – 7pm (CST) and mention the New Orleans Katrina Study.

Thank you in advance for your help.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Selected address line 1
Selected address line 2
Selected address line 3

Dear Sir/Madam:

An interviewer from the Survey Research Center at the University of Michigan recently contacted you or a member of your household about participating in the New Orleans Katrina Study, which is being conducted by the RAND Gulf States Policy Institute and the University of Michigan. I understand that you had some concerns about the confidentiality of the interview. Because you are so important to the study, I would like to take a moment to explain some things about the study that might reduce your concerns.

We understand that you may be reluctant to share information about your experiences during and after Hurricane Katrina. Please be assured that we take our commitment to confidentiality very seriously. We will hold the information you provide in strict confidence. Your name and other identifying information will not be associated with your answers. Your responses will be combined with those of other participants and reported for the entire group. There will be no way to identify any one participant. The Survey Research Center is proud of 60 years of experience in conducting confidential surveys on issues of national importance.

The results from this study will help policymakers plan for future disasters. The only way for the study to meet this important goal is to speak with people like you. The telephone interview will take 30 – 60 minutes depending on your situation and how much you have to say about the topics that we cover. It only takes a few minutes to determine eligibility. The eligible person who completes the telephone interview will receive $30 as a token of appreciation for his or her participation. The interviewer will provide additional information about eligibility for the study.

If you would like more information, please call our toll-free number: 1-800-759-7947. Please accept my personal thanks for your involvement. We very much appreciate the time you take to complete an interview.

To learn more about this important study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Dear [Respondent Name]:

An interviewer from the Survey Research Center at the University of Michigan recently contacted you or a member of your household about participating in the New Orleans Katrina Study, which is being conducted by the RAND Gulf States Policy Institute and the University of Michigan. I understand that you had some concerns about the confidentiality of the interview. Because you are so important to the study, I would like to take a moment to explain some things about the study that might reduce your concerns.

We understand that you may be reluctant to share information about your experiences during and after Hurricane Katrina. Please be assured that we take our commitment to confidentiality very seriously. We will hold the information you provide in strict confidence. Your name and other identifying information will not be associated with your answers. Your responses will be combined with those of other participants and reported for the entire group. There will be no way to identify any one participant. The Survey Research Center is proud of 60 years of experience in conducting confidential surveys on issues of national importance.

The results from this study will help policymakers plan for future disasters. The only way for the study to meet this important goal is to speak with people like you. The telephone interview will take 30 – 60 minutes depending on your situation and how much you have to say about the topics that we cover. You will receive $30 as a token of appreciation for your participation.

If you would like more information, please call our toll-free number: 1-800-759-7947. Please accept my personal thanks for your involvement. We very much appreciate the time you take to complete an interview.

To learn more about this important study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Selected address line 1
Selected address line 2
Selected address line 3

Dear Sir/Madam:

An interviewer from the University of Michigan recently contacted you or a member of your household about participating in the New Orleans Katrina Study. I understand that you have some reservations about participating in the study or talking with an interviewer. Because your participation is so important to its success, I would like to take a moment to explain some things about the study that might ease your concerns.

The New Orleans Katrina Study is being conducted by an experienced team of researchers at the RAND Gulf States Policy Institute and the University of Michigan. Our interviewers are employees of the University of Michigan. All information that you provide will be used for research purposes only and will be kept strictly confidential. No identifying information will ever be released. The university is committed to protecting your confidentiality and we follow very strict university and federal guidelines.

The interview will take 30 – 60 minutes depending on your situation and how much you have to say about the topics that we cover. The process of determining eligibility only takes a few minutes. The eligible person who completes the interview will receive $30 as a token of appreciation for his or her participation. The interviewer will provide additional information about eligibility for the interview.

Please call us at 1-800-759-7947 to obtain more information or to schedule a time to talk to your interviewer. Thank you in advance for your help with this important study.

To learn more about this study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Selected address line 1
Selected address line 2
Selected address line 3

Dear [Respondent’s Name]:

You have been selected to take part in the New Orleans Katrina Study, an important study being conducted by the University of Michigan. I understand that you have some reservations about participating in the study or talking with an interviewer. Because your participation is so important to its success, I would like to take a moment to explain some things about the study that might ease your concerns.

The New Orleans Katrina Study is being conducted by an experienced team of researchers at the RAND Gulf States Policy Institute and the University of Michigan. Our interviewers are employees of the University of Michigan. All information that you provide will be used for research purposes only and will be kept strictly confidential. No identifying information will ever be released. The university is committed to protecting your confidentiality and we follow very strict university and federal guidelines.

The interview will take 30 – 60 minutes depending on your situation and how much you have to say about the topics that we cover. You will receive $30 as a token of appreciation for your participation.

Please call us at 1-800-759-7947 to obtain more information or to schedule a time to talk to your interviewer. Thank you in advance for your help with this important study.

To learn more about this study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Dear Sir/Madam:

We recently sent a letter to your household, asking you to take part in the New Orleans Katrina Study. Your address was selected at random for this important research study that is being conducted by the RAND Gulf States Policy Institute and the University of Michigan.

Our interviewer has tried to contact your household on a number of occasions, but has been unable to find anyone at home. We are writing to let you know about this difficulty and to ask for your help in finding a good time to contact you to see if anyone in your household is eligible for an interview. This will take only a few minutes. The eligible person who completes an interview will receive $30 as a token of appreciation for his or her participation. The interviewer will provide additional information about eligibility for the interview.

Although any single household may not seem very important to the study, your help is essential to the success of the study. Each participant represents the opinions and experiences of many thousands of other people in similar situations. No substitutions are allowed for those selected to participate. The information that you provide, together with the information from other respondents, will allow researchers and policymakers to better understand the effects of Hurricane Katrina on people from New Orleans and how to plan for future disasters.

All information collected will be used for research purposes only and will be kept strictly confidential. No individual person or family will ever be identified. You may skip any of the questions you wish. Most people find that completing the interview is an interesting and rewarding experience.

Please call our toll free number, 1-800-759-7947, to find out if you or someone else in your household is eligible to participate. Thank you for your help with this important research study.

To learn more about this study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Dear Sir/Madam:

We recently sent a letter to your household asking that you take part in the *New Orleans Katrina Study*. You were selected at random for this important research study that is being conducted by the RAND Gulf States Policy Institute and the University of Michigan.

Our interviewer has tried to contact you on a number of occasions, but has been unable to find you at home. We are writing to let you know about this difficulty and to ask for your help in finding a good time to contact you. If you complete the interview, you will receive $30 as a token of appreciation for your participation.

Although any one person may not seem very important to the study, your participation is essential to its success. Each participant in the study represents the opinions and experiences of many thousands of other people in similar situations. No substitutions are allowed for those selected to participate. The information that you provide, together with the information from other respondents, will allow researchers and policymakers to better understand the effects of Hurricane Katrina on people from New Orleans and how to plan in case of future disasters.

All information collected will be used for research purposes only and will be kept strictly confidential. No individual person or family will ever be identified. You may skip any of the questions you wish. Most people find that completing the interview is an interesting and rewarding experience.

If you can suggest a good time for us to reach you, or if you have any questions about the study, please call our toll free number, 1-800-759-7947. Thank you for your help with this important research study.

To learn more about this study, please visit the *New Orleans Katrina Study* website at [http://www.rand.org/labor/noks/](http://www.rand.org/labor/noks/).

Sincerely,

Kirsten Alcser, Survey Director
Survey Research Center
Dear Sir/Madam:

One of our interviewers contacted you recently about your household’s participation in the New Orleans Katrina Study, being conducted by the RAND Gulf States Policy Institute and the University of Michigan. I understand you have a very busy schedule that makes it difficult for you to find time to talk with us. Because you are so important to this study, I would like to explain some things about the study that might encourage you to participate.

The interview will only take about 30 – 60 minutes depending on your situation and how much you have to say about the topics that we cover. It only takes a few minutes to determine eligibility. The eligible person who completes the interview will receive $30 as a token of appreciation for his or her participation. The interviewer will provide additional information about eligibility for the interview.

Your participation in this study is very valuable. The results will help researchers and policymakers to understand how New Orleans residents have been affected by Hurricane Katrina and how to plan for future disasters. We cannot use information about another person’s experiences in place of yours. Without your participation, our findings may not reflect the true experiences of all New Orleanians, because we will be missing information from busy people like yourself. The only way for this study to meet these important goals is to speak with you.

Your participation in this study is very important. Your interviewer will try to minimize the amount of time the interview will take. If you have any questions, or if you want to suggest a good time to reach you, please call our toll-free number: 1-800-759-7947.

To learn more about this important study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely yours,

Kirsten Alcser, Survey Director
Survey Research Center
Dear [Respondent Name]:

One of our interviewers contacted you recently about participating in the New Orleans Katrina Study, being conducted by the RAND Gulf States Policy Institute and the University of Michigan. I understand you have a very busy schedule that makes it difficult for you to find time to talk with us. Because you are so important to this study, I would like to explain some things about this study that might encourage you to participate.

You have been selected as the respondent for your household. The interview will only take about 30 – 60 minutes of your time depending on your situation and how much you have to say about the topics that we cover. You will receive $30 as a token of our appreciation for completing this interview.

Your participation in this study is very valuable. The results will help researchers and policymakers to understand how New Orleans residents have been affected by Hurricane Katrina and how to plan for future disasters. We cannot use information about another person’s experiences in place of yours. Without your participation, our findings may not reflect the true experiences of all New Orleanians, because we will be missing information from busy people like yourself. The only way for this study to meet these important goals is to speak with you.

Your participation in this study is very important. Your interviewer will try to minimize the amount of time the interview will take. If you have any questions, or if you want to suggest a good time to reach you, please call our toll-free number: 1-800-759-7947.

To learn more about this important study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Sincerely yours,

Kirsten Alcser, Survey Director
Survey Research Center
Appendix D: Interview Flow & Type

Fig. 4.1 DNORS INTERVIEW FLOW & TYPE

2005 Listed Address

2005 Resident at least 18 now

Screener:
- Grid of All residents in 2005
  Select R for adult section
- Collect info of who is most knowledgeable about 2005 HH
  Selects R for HH section
- Iw order & Type
  Same person selected for both?
  Do any selected Rs live at same address?

Screening Completed

SurveyTrak:
- Spawns lines, indicates Iw type - 3 types: A, HH, HHA
- Indicates Iw order
- Preloads info from screener

Main Interview:
- Section C: If HH or HHA, then loop questions for all 2005 household members
- Section C: If Adult or HHA type & female with children, ask children questions
Appendix E: Tracking Letter

Dear Sir/Madam:

The RAND Gulf States Policy Institute and the University of Michigan’s Survey Research Center are pleased to invite your household to participate in a study about the effects of Hurricane Katrina on people who lived in New Orleans before the hurricane. We believe your household is eligible based on your residence at a selected New Orleans address in August 2005.

The RAND Gulf States Policy Institute is a partnership between RAND (a nonprofit research institution) and seven universities in the Gulf states region: Jackson State University, Tulane University, Tuskegee University, University of New Orleans, University of South Alabama, University of Southern Mississippi, and Xavier University. We are working together on research to build a better future for Louisiana, Mississippi, and Alabama after Hurricanes Katrina and Rita. The Survey Research Center at the University of Michigan has over 60 years of experience conducting research on important social issues. Funding for the study is provided by the National Institutes of Health.

Your New Orleans address was randomly selected (like in a lottery), and we have no prior knowledge about your household. Our interviewer will ask for your help in identifying adults in your household who might be eligible to participate in this study. Those who complete an interview will receive $30 as a token of appreciation for their participation. The interviewer will provide further information about eligibility for the study.

The interview is completely voluntary and confidential. Researchers see only the numbers that represent the answers to questions. Your responses will be combined with those of other participants and reported for the entire group. We will never release any information about you as an individual.

The goal of this study is to understand how Hurricane Katrina affected people who lived in New Orleans. Study results will be used to design better services for people affected by the hurricane. This is an on-going study of individuals and families, and we may contact you in a few years about participating again.

Please call our toll-free number 1-800-759-7947 and mention the New Orleans Katrina Study to talk with your interviewer. If you have any questions regarding your rights as a research participant, you may call the RAND Human Subjects Protection Committee at 310-393-0411, Ext. 6124.

To learn more about this important study, please visit the New Orleans Katrina Study website at http://www.rand.org/labor/noks/.

Thank you in advance for your help on this important study.

Sincerely,

Narayan Sastry, Ph.D.
Director, New Orleans Katrina Study
**Appendix F: Sample Update Form**

**DNORS: SAMPLE UPDATE FORM**

**ADDED HOUSING UNITS**

ADDED HOUSING UNITS are generally located in HU-structures, thought to have been single-family units at the time of listing. These will usually be discovered when you go to a listed and selected address (line) for interviewing on a study. If there are four or fewer HUs sharing the already listed and selected address, all will be included on the study for interviewing. If there are five or more HUs sharing the selected address, only some will be included.

IWER 8-Digit ID: ______________________

TL (initials): ______________

Original SID: _____________________

PSU#: 1   Segment #: ________

___ Check this box if there are four or fewer HUs sharing the already listed and selected address, fill in all of the information requested below.

___ Check this box if you have found five or more HUs sharing the selected address and fill in only the address and sample ID information requested in the first row.

<table>
<thead>
<tr>
<th>Address or Description of Housing Unit</th>
<th>Sample ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Already Listed Address and HU1 Location in Structure)</td>
<td>__ __ __ __ __ __ __ __ __ __ -1</td>
</tr>
<tr>
<td>(Added HU2 Location in Structure)</td>
<td>__ __ __ __ __ __ __ __ __ __ -2</td>
</tr>
<tr>
<td>(Added HU3 Location in Structure)</td>
<td>__ __ __ __ __ __ __ __ __ __ -3</td>
</tr>
<tr>
<td>(Added HU4 Location in Structure)</td>
<td>__ __ __ __ __ __ __ __ __ __ -4</td>
</tr>
</tbody>
</table>

Please save the electronic file using “SAVE AS” and using the filename like this:
PSU#_SEG#_LINE# (pertaining to the specific PSU, SEG and LINE covered on your form)

*Email the completed form to Kat Donahue and cc Andrew Hupp and your Team Leader*
Appendix G: Supplemental Housing Unit Observation Sheet

DNORS: Supplemental Housing Unit Observation Sheet

SID#_________________  IWER ID_________________ DATE:___/___/___

1. Describe the type of this housing unit. Please select one.

   ____ 1 **Traditional structure**, fixed to a foundation, pilings and piers, or concrete slab, such as a house, apartment, condo, duplex, etc.

   ____ 2 **Modular/manufactured unit**, clearly a prefab or ‘kit’ structure intended for temporary living space. Typically not “fixed” to a foundation or slab except by utility connections--have no axles or wheels. [SKIP TO Q3]

   ____ 3 **Mobile home/house trailer**, generally sits on a concrete slab but may have wheels. Intended to reside on-site for long periods or permanently parked. [SKIP TO Q3]

   ____ 4 **Camper/travel trailer**, has one or more axles and wheels, and is towed by or sits in the bed of a pickup truck. Do not have their own motors. [SKIP TO Q3]

   ____ 5 **Recreational vehicle**, has axles, wheels and is powered and driven under own power, rather than towed behind another vehicle. [SKIP TO Q3]

   ____ 6 **None, vacant lot** [SKIP TO Q8]

   ____ 7 **Other**, any other structure not noted above that is being lived in temporarily (examples could be a garage, pole barn or other “out-building”, bus, even a tent). Please specify

   __________________________________________. [SKIP TO Q3]

2. In what type of structure is this Housing Unit located? Please select one.

   ____ 1 **Single family dwelling**

   ____ 2 **Duplex**

   ____ 3 **Small multi-unit (3-9 units)**

   ____ 4 **Medium multi-unit (10-49 units)**

   ____ 5 **Large multi-unit (50+ units)**

3. Does the HU appear to be occupied? Please select one.

   ____ 1 **Yes**

   ____ 0 **No** [SKIP to Q6]

4. Is there evidence of children living in the Housing Unit? Please select one.

   ____ 1 **Yes**

   ____ 0 **No**

5. Is there evidence of an ADULT at home on weekdays? Please select one.

   ____ 1 **Yes**  ____ 0 **No**

OVER→
6. What barriers are there to accessing this Housing Unit? Please check all that apply.

- [ ] a Locked common entrance
- [ ] b Locked gates
- [ ] c Doorkeeper / Gatekeeper
- [ ] d Access through intercom
- [ ] e Guard dog(s)
- [ ] f Other (specify) ____________________________________________________

7. What sort of visible damage is there to the Housing Unit? If any of the categories below make the HU uninhabitable without major repairs, check “Major” damage. This will be a judgment call in some instances.

Please check a damage level (none, minor, or major) for each Visible Damage Type category, and indicate whether repairs appear to be under way if there is any damage.

<table>
<thead>
<tr>
<th>Visible Damage Type</th>
<th>Level of Damage</th>
<th>Repairs Under Way?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>None (0)</td>
<td>Minor (1)</td>
</tr>
<tr>
<td>Roof</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Windows</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Walls</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Foundation</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Interior water damage</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Interior mud damage</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Outbuildings</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
<tr>
<td>Other (Specify)</td>
<td>Yes(1)</td>
<td>No(0)</td>
</tr>
</tbody>
</table>

8. Are there OTHER Housing Units at this address/ on this lot?

- [ ] 1 Yes
- [ ] 0 No [SKIP TO END]

8a. If yes, how many other housing units are at this address/ on this lot? [PLEASE FILL IN A NUMBER FOR EACH STRUCTURE BELOW. IF NONE, ENTER “0.”]

- [ ] 1 Traditional single-family structures with foundations or cement slabs
- [ ] 2 Duplex units
- [ ] 3 Apartment/condo units
- [ ] 4 Manufactured/modular homes
- [ ] 5 Mobile homes/house trailers
- [ ] 6 Campers/travel trailers
- [ ] 7 Recreational vehicles
- [ ] 8 Other units used as housing (Specify) ___________________________

THANK YOU