

NHANES III

CAPI

FIELD OFFICE TRAINING GUIDE

November 1994

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1. INTRODUCTION TO CAPI

1.1 What is CAPI? for NHANES III

CAPI (computer-assisted-personal-interviewing) replaces the Family, Household Adult, and Household Youth questionnaires as well as eliminates the need for continuation booklets.

Screeners continue to be conducted on hard copy but prior to conducting extended interviews, interviewers enter all the critical Screener information for eligible households into CAPI (about 80 percent of Screener data).

CAPI data will be edited by the CAPI Assistant Office Manager (CAPI AOM) in the field. S/he will be the final set of eyes prior to the electronic transmittal of the data to the client and home office at the end of the stand. The advent of CAPI enables the NCHS researchers to publish the data on a much more timely basis due to the elimination of the data prep component of the survey.

1.2 CAPI and Disposition Codes

CAPI will also be used to track the disposition of all completed work -- extended interviews and noneligible Screeners. Cases that are completed (all questionnaires finished in CAPI) will automatically be assigned a case disposition (11, S1, S2, F1). For the remaining work, interviewers will enter disposition codes 10, 30 and 31. All other cases will be considered to be in interim status until the interviewer has discussed the case with the supervisor and thus we will instruct the staff that only supervisors will enter codes 12-20, F2-F8 and S3-S9.

Supervisors will be able to override any CAPI disposition code.

CAPI will exclude the exam appointment process. No E or B codes will be entered in CAPI.

1.3 Key CAPI Concepts

Keep in mind the following key CAPI concepts:

- There is a **single database** for all the questionnaires. The database consists of multiple files organized in a hierarchical structure. Exhibit 1-1 illustrates the hierarchical design of the NHANES III CAPI database.

The "highest" level in the hierarchy is the BASE or case-level information that includes the sampled household address. There is one record in the BASE file for each sampled household.

The next level contains family-level information and includes files such as HOME that maintain family address data. Below the family-level, files such as ADLT and YUTH include information about the individuals in each family who complete adult or youth questionnaires.

The lowest level of the hierarchy contains files such as ANTA and VITA that have information about antacids and vitamins used by sampled SPs who complete extended interviews. For example, there is one VITA record for each vitamin reported by an SP.

The files in the database are linked by the ID structure. The IDs are longer (have more digits) for files lower in the hierarchy because of the need to include more information. For example, the ID for the VITA file includes the BASE ID plus family and person number information, and a sequential vitamin number.

- **Household data is stored as a unit.** All questionnaires for a case are stored on one diskette.
- There is always a **single "active" version** of the data. For example, while the interviewer is completing work on a case the "active" version is on the interviewer's PC and the office has a copy on the repository machine very much like having a xerox copy. When an interviewer turns in a completed case and the office makes a red diskette, the "active" version of the case at this point is on the red office diskette. When a case is deassigned from an interviewer, until it is reassigned, the yellow office diskette contains the "active" copy of the diskette.
- There is a **primary data source** for all variables -- CAPI or the AFMS. When an inconsistency/ discrepancy is identified between CAPI and AFMS data, the field office staff must reconcile/ adjudicate the information. Generally, the system which is the primary source of the data should be assumed to be correct and the other system should be updated. For example, CAPI is the primary source for SP name and the AFMS is the primary source for the NCHS number.
- The "VAX" is referred to throughout the discussion of CAPI procedures. The VAX is a central computer with a large amount of data storage space. It is the source of all initial cases assigned to individual interviewers and it is the ultimate destination of all finalized data.

- Two terms often used with CAPI are **upload** and **download**. Upload refers to data flow from the PC to the VAX. Download refers to the data flow from the VAX to the PC.

1.4 Changes/Additions To Forms And Documents

With the introduction of CAPI, NHANES will add, modify and eliminate documents. Note the following changes:

1. The Household Adult, Household Youth and Family questionnaires, Continuation Booklets, and office Edit Forms have been eliminated.
2. Six new hand cards have been added.
 - HAQ HAQ-1A Chest
 - HAQ-2A Hands
 - HAQ-7A National Origin or Ancestry
 - HAQ-7B Race
 - HYQ Y-1 National Origin or Ancestry
 - Y-2 Race
3. There are new versions of the Assignment/Reassignment Log, the Interim Folder and the MEC Reconciliation Form.
4. There are new specifications for the CAPI Screener, Household Adult, Household Youth, and Family questionnaires. These specifications combine the hard copy question definitions with instructions on the use of CAPI screens.
5. There are four new CAPI manuals to be used by the office staff.

Flow Charts -- This manual contains flow charts which diagram the question path (i.e., decision/skip patterns) the four NHANES instruments follow for each possible response.

Questionnaire Screens -- Four manuals which contain every questionnaire screen for the Screener, the Family, the Household Adult and the Youth questionnaires. They are especially useful in answering interviewer problems via telephone.

Annotated Questionnaires -- This manual links the hard copy version of the questionnaires to the CAPI program. Each question on the hard copy has a file name (top of the page) and a variable name (left hand side of the page). During the edit process, this manual is used to find the position of a question in the CAPI data base.

Codebook -- This manual is the reference manual for the questionnaire variables. It serves as the dictionary for the data processing component of the project. Like the Annotated Questionnaire Manual, it documents the position of each variable in the CAPI data base. Moreover, it contains the range definitions for each variable.

6. There is a PC Equipment Sign In/Out Sheet to track all CAPI equipment used by the interviewing staff.

1.5 New CAPI Equipment and Supplies

The implementation of CAPI will require new equipment and supplies. Note the following:

1. Laptops and Related Equipment -- Each full time interviewer will travel with his or her own PC (Compaq LTE/386). Each PC must be checked before the interviewer starts working at a stand. This check should be done by the field office staff in the same way blood pressure equipment is routinely checked.

In addition to the laptop, each interviewer will have a:

- _ Laptop carrying case with a name tag;
- _ Warranty card with matching serial number;
- _ Two backup diskettes;
- _ Power pack with a cord;
- _ Extension cord and an LTE AC adapter;
- _ Two NiMH batteries (one in the PC and a spare); and a
- _ Briefcase with a name tag.

Interviewers should also carry a placemat or towel to be placed on a respondent's table prior to setting down the PC.

2. Backup Laptops -- Each field office will have 2 extra laptops, batteries and LTE AC adapters to be transported from one stand to another.
 - _ One laptop will serve as a **hot spare** to be used by backup interviewers and when repairs are necessary; and

- The second laptop (the **repository** machine) will be used in the office to store partially completed cases still assigned to an interviewer, simulate interviewer field problems, and as a second "hot spare." The primary function of the repository PC will be to store interim cases still assigned to an interviewer and reduce the use of yellow diskettes. (See Section 3.2.1)

Two extra NiMH batteries and LTE AC adapters, for the aforementioned laptops, will also be stored in the office.

3. New Hardware -- Each field office will have the following new equipment:

- Two extra printers -- Each office will have a total of 4 printers.
 - 1 Epson FX 850 used to print Federal Express labels, FM reports, and CAPI Interviewer Conference Reports.
 - 1 Dot Matrix also used to print the aforementioned items.
 - 2 LN03 Laser Printers; one used in the editor's office to print CAPI edit reports and one for general office functions (e.g., letters).
- One extra PC (DEC/PC 333/SX with color monitor) connected to the VAX and located in the CAPI AOM's office to be used primarily to generate edit reports and make corrections/updates on final cases.
- Four blue laptop to IVAX cables for uploading and downloading data to and from the VAX. One cable should be located in each staff member's office.
- One blue two-pronged cable to connect the repository machine to the interviewer laptops.
- One extra Hayes Optima 96 Modem -- This modem will be used to transmit data from the laptops to Westat in order to resolve CAPI problems which cannot be fixed via regular telephone discussion. This will enable the programmers at the home office to view problems first hand and execute timely solutions.

To connect this modem, each office will also have:

- PC serial cable, 25-pin to 9-pin connectors;
- RJ-11 telephone cable (plugs to "line" plug); and an
- AC power cord.
- An extra standing disc to increase the electronic space.
- See Appendix A for more detail.

4. Diskettes -- Each field office will be working with multiple diskettes.

- Reformat Diskette (1) - This is a single distribution diskette labelled NHANES MASTER, Reformat Disk. This diskette will reformat the hard disk drive of a Compaq 386, LTE/Lite 20 laptop PC (i.e., interviewer/repository machines).
- Interviewer Load (3) - This is a set of 3 distribution diskettes labelled NHANES MASTER, Application Load. These diskettes will configure machines for interviewing and load all the actual interview and related programs.
- Home Exam Load (3) - This is a set of 3 distribution diskettes labelled NHANES MASTER, Home Exam Load. These diskettes should only be used on the Home Exam machine. They will configure a machine for home exam interviewing and load all the actual home exam interview and related programs.
- Audit Trail and DB Load (1) - This is a single distribution diskette labelled NHANES MASTER, Audit Trail Load. This diskette will reset the audit trail numbering and reinitialize the data base on all machines.
- Repository Load (1) - This is a single distribution diskette labelled NHANES MASTER, Repository Load. This diskette distinctly configures and loads the repository machine for office use.
- E-Mail Diskette (1) - This is a single distribution diskette labelled CC:MAIL REMOTE. This diskette will install E-mail [electronic mail] on a laptop machine. This should be done only on the repository machine.
- Editor's PC Load (1) - This is a single distribution diskette labelled NHANES MASTER, Editor's Desktop PC Load. This diskette distinctly configures and loads the DEC desktop PC used by the editors. It should only be used on the editor's machine.
- Compaq DOS Diskettes (6) - These are 6 buff-colored diskettes with the Compaq registered logo on them. These disks represent all of the operating system software needed for the particular laptop model in use. They are not properly project distribution diskettes since they contain hardware manufacturer software and will only be used in special support circumstances. Only 2 of these diskettes are relevant to NHANES use (however, please keep the entire set together), those labelled: MS-DOS Support and DIAGNOSTICS.
- Yellow and red diskettes - These will be used by the field office to maintain household interviewing work. They will be kept in the central file. Yellow diskettes will contain pending work and red diskettes will contain finalized work.
- Black diskettes - As noted earlier, interviewers will always carry two black diskettes to be used to backup data in their PCs. Interviewers

will mark these diskettes "1" and "2" and should always use #1 unless it becomes defective. Before leaving a stand, interviewers must turn in these diskettes to the FM. They will receive new backup diskettes at the next stand. At the end of the stand, these diskettes will be sent to Westat.

- Orange diskettes - These will be used to store the home exam data.

5. Other Supplies

- Plastic diskette sleeves for central filing system.
- An assortment of different color dots to designate case status.
- Labels for diskettes.
- A recycle box for storing diskettes no longer in use. These diskettes will be sent back to the home office at the end of the stand to be cleared and recycled.
- Backup tapes (set of 7) for CAPI, to be run at the end of each day just like the AFMS backups. These tapes will be sent to Westat at the end of the stand.
- See Appendix A for more detail.

CHAPTER 1 APPENDIXES

MEMORANDUM

December 2, 1992

To: Distribution
From: David Hill
Re: NHANES, Office Equipment and Supplies for CAPI

This memorandum describes the present CAPI hardware equipment, software and supplies that each NHANES field office should have on-site at the outset of a new stand. Home examination items are listed separately since these are not required at the outset of stand operation, only prior to examination startup.

Many of these items will be carried by field offices from site to site [editor's PC, hot spare laptops, cables, printers, excess supplies, etc.] or will arrive with interviewers from other sites [laptops, batteries, etc.]. After the initial three stands, all 3.5" PC diskettes will be recycled from previous stands [the first diskettes will be shipped to NCHS]. There is also some overlap of CAPI equipment and supplies with other field office supplies [e.g. toner and ink for laser printers and reuse of the DEC LA75 dot matrix printer].

In the upcoming weeks, acquisition, storage and shipping of these items will be shifted to the NHANES warehouse. Len Miller will oversee these items in the future. Requests for materials should be made to the warehouse. Also, the warehouse should be notified reasonably prior to the outset of a stand regarding the number of interviewers at the stand and anticipated equipment and supplies needed. Broken equipment should be returned to the warehouse [unless specifically directed otherwise] for replacement and repair. The warehouse will also track the major equipment by serial number for accounting purposes; thus, please keep them advised of changes in equipment distribution.

On the following list, a number of aspects are indicated by the following flags: *= expected ongoing resupply, s= track by serial number, d= software handled by DP staff. Note that the *N* below represent the number of interviewers at a stand.

Hardware Equipment:Interviewer Laptops:

- N* s - Compaq LTE/386 laptop computer for each interviewer
 - + AC adapter for each
 - + extra NiMH battery for each
 - + slip case for each
 - + warranty card, matching serial #
 - + carrying case for each
- 1 s - Compaq LTE/386 laptop computer, hot spare
- 1 s - Compaq LTE/386 laptop computer, extra [when available from storage]
- 2 - Extra NiMH batteries for LTE laptops, hold in office
- 2 - Extra LTE AC adapter, for use in office

IVAX Cables:

- 4 - laptop to IVAX upload/download cables [blue connectors]
- 1 - small std. screw driver for cable connector screws

Editor's PC

- 1 s - DEC/PC 333/SX, w/ color monitor

Home Exam: [on-site for Home Exams]

NIOSH Items: [shipped to field offices by Jeff Rushford, all items returned to same]

- 1 - laptop PC [spirometry software loaded]
[presently Compaq LTE/286, will switch to Dell 386 during this round]
 - + AC adapter
 - + slip case
 - + padded carrying case
 - + NIOSH spirometry backup diskette
- 1 - PJS Spirometry device

Westat Items:

- 1 d* - set of Home Exam Master diskettes [~3 diskettes]
- 1 - Compaq LTE/286 extra battery
- 1 - Compaq LTE/286 Diagnostics diskette
- 2 * - interview backup diskettes
- 20 * - Orange 3.5" PC diskettes [office case diskettes]

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2. BEGINNING A STAND

This and subsequent chapters will document the field office tasks which must be undertaken at each stand. The manual will integrate AFMS, CAPI and other tasks required to complete stand work but will only provide an in-depth discussion of the new CAPI procedures. The Field Operations Manual will continue to function as the principal reference for non-CAPI field office tasks.

2.1 Setting Up the Stand Office for the Household Interviewing and BP Component

1. Arrange stand supplies.
2. Set up all files.

2.2 Becoming Familiar with Segments

1. Cruise segments.
2. Review distribution of total sample by Segment and Subsample Table.
3. Review Age by Segment Distribution Table.

2.3 Preparing Laptops For Initial Assignment

2.3.1 Overview

Interviewers should be encouraged to drop off their PCs at the stand office the day prior to the start of interviewing or, at the latest, early (prior to 9:00 am) the next day. Loading individual assignments on the laptops (for 12-15 interviewers) will take several hours. Several office staff should be on hand to work on this task.

When an interviewer laptop arrives at a stand (either through interviewer drop off or through shipping), a **preliminary check** of the machine should be made by turning the machine on and checking for a **normal start up** ("Who are you?" prompt). If this occurs, then the office staff should use the Interviewer Load diskettes (3) and the Audit Trail Load diskette (1) to prepare the machine for the loading of initial assignments. The Interviewer Load disks will transfer the application version specific to the current stand to the machine, and the Audit Trail disk will reinitialize the audit trail sequence and erase any remaining cases from previous stands.

When an interviewer machine **does not start normally** during this initial check, use the Reformat disk prior to using the Interviewer Load and Audit Trail Load diskettes noted above.

After these software load steps are completed, the interviewer machines are ready to accept cases assigned to the respective interviewer. This is accomplished in the download process from the VAX.

2.3.2 Mechanics of Preparing/Loading Interviewer Laptops

After determining which laptop preparation tasks must be undertaken, proceed through the following steps in this order:

1. Determine whether the laptop software must be reformatted. Reformatting involves loading the operating system on to the hard disc. This operation destroys all existing items in the laptop prior to loading the operating system.

This step is generally not required. The home office will notify the field office staff when this step is necessary. To perform this task:

- Turn the PC off.
- Insert the "Reformat" diskette.
- Turn the PC on.
- A warning will appear indicating the data on drive C will be destroyed. You will press "Y" to continue and ENTER to begin formatting. This process will take a few minutes.
- A message will appear indicating the completion of this task.

- _ Remove the diskette and turn the PC off.
2. Load the 3 Interviewer Load diskettes labelled NHANES Master Disk. These diskettes configure the machines for interviewing and load all the actual interviewer and related programs.

To conduct this task:

- _ Turn the PC off.
 - _ Insert the first of the 3 diskettes at the prompt... Insert Installation disk #1.
 - _ Turn the PC on.
 - _ A message will prompt you to insert the remaining 2 diskettes (with the PC still on).
 - _ A final message (NHANES MASTER INSTALLATION COMPLETED) will appear indicating the completion of this task.
 - _ Remove the last diskette and turn the PC off.
3. Load the audit trail. This operation will ensure that every key stroke is saved -- it is the first line of data saving. If a problem occurs, it will help the programmers debug the system.

This procedure will **always** be undertaken at the beginning of a stand. It involves two steps: (1) preparing the diskette; and (2) loading the audit trail on each laptop. To perform these tasks proceed as follows:

Step 1

This step is only done **once**.

- _ Turn the PC off.
- _ Insert the "Audit Trail Load" diskette.
- _ Turn the PC on.
- _ Type RESETAUD.
- _ A message will appear indicating the completion of this task (AUDIT TRAIL FILE AND DATA BASE INITIALIZED).
- _ Remove the diskette and turn the PC off.

Step 2

This step must be performed on **each PC**.

- _ Turn the PC off.
- _ Insert the "Audit Trail Load" diskette.
- _ Turn the PC on.
- _ A message will appear indicating the completion of this task.
- _ Remove the diskette and turn the PC off.

2.3.3 Preparing Other Field Office Computers

In addition to the interviewers' laptops, there are four other types of computers in the field office: the "hot spare", the repository, the home examiner's laptop and the editor's desktop PC. Each of these computers serves a function in CAPI and need to be loaded with the appropriate software.

The "hot spare" is an interviewer's laptop that is kept in the field office to be issued to an interviewer in the event of an equipment problem. For purposes of software loading, it should be treated as an interviewer's laptop and loaded as described above in Section 2.3.2.

The repository is a laptop used by the AOM/QCC as disk storage for field office copies of cases currently being worked. To load software on the repository, first treat it as an interviewer laptop (i.e., follow the instructions in Section 2.3.2). Then, use the Repository Load and E-Mail diskettes. These diskettes are sent from Westat; instructions for loading these diskettes are found on the labels.

The editor's PC is a DEC PC333/SX used by the AOM/QCC to edit cases. Software loading of this machine should start with the Interviewer Load , then the Audit Trail Load and finally the Editor's Load diskettes. Note: Always load the Editor's diskette by inserting the diskette in the A drive and typing A:\INSTAL.

The home examiner's laptop is a computer provided by NIOSH for use in home exams. When a home examiner's laptop is received and ready to be used, software should be loaded using the Home Exam Load and then the Audit Trail Load diskettes. Under no circumstances should the Reformat Disk be used on this machine. Any hardware or software loading problems with the home examiner's laptop should be reported to Westat immediately.

2.3.4 Time Changes

Whenever you change time zones or when a time change occurs as in October and April of each year, you will need to change the time on each laptop. Proceed as follows:

- _ At the NHANES prompt enter: Time and hit return.
- _ The following message will appear, "current time is _____."
- _ At enter new time: enter correct time.
- _ Check this procedure by entering Time again at the NHANES prompt and review the "current time" which appears on the screen.
- _ Exit out.

2.4 Making Initial Assignments

2.4.1 Non-CAPI Tasks

Proceed through the following tasks:

1. Record assignments in (paper) Assignment Log (Exhibit 2-1).
2. Prepare Household and Segment Folders.
3. AFMS: Activate the interviewer file and assign cases. Check off AFMS column in the Assignment Log. (See Part III, Section 2.4 in Field Operations Manual.)

2.4.2 Making Initial Assignments In CAPI

After the FM has completed all non-CAPI assignment tasks, s/he is ready to make the **initial** assignments in CAPI. This procedure, start-of-stand processing, is done only once during each stand. To do this, complete the following series of tasks:

- Log onto CAPI at a terminal hardwired to the VAX, enter the password and your initials;
- At the [CAPI]\$ prompt, type CASE_ASSIGN. The "ASSIGNMENT PROCESSING FOR CAPI" menu will appear;
- Select ITEM 1 "START OF STAND PROCESSING". The "START OF STAND PROCESSING" menu will appear;
- Select ITEM 1 "EXTRACT SURVEY CONTROL FILE FOR START OF STAND". This process will take several minutes; you will be prompted when it completed. Press RETURN to return to the menu;
- Select ITEM 4 "CREATE START OF STAND CAPI ASSIGNMENT FILES". This process will also take several minutes; you will be prompted when it is completed. Press RETURN to return to the menu;
- Select ITEM 3 "PRINT ASSIGNMENTS BY INTERVIEWER". You will be prompted to select ITEM 1 "LOADER FILE" or ITEM 2 "FILE OF CASES TO BE REMOVED". Select ITEM 1. You will then be prompted to select ITEM 1 "SPECIFIC INTERVIEWERS" or ITEM 2 "ALL INTERVIEWERS". Always select ITEM 2.
- The words "Report has been written to file CASEINT.ALL" will be highlighted as a prompt when this process is completed. Press ENTER to exit through the menus to the [CAPI] \$ prompt.
- At the [CAPI] \$ prompt, type PRINT CASEINT.ALL and press RETURN;
- Type LO to exit CAPI.

As a result of this process, the "Listing of Case Assignment Activity" report is produced (Exhibit 2-2). This report lists the interviewer, subsample, seg/serial number, a released flag and an action (new work, final, download, etc.). The FM should compare this report to the Assignment Log to confirm that the assignments match. Remember, the AFMS is the source of all assignment information and any changes in assignments must be made in the AFMS before cases are downloaded.

Exhibit 2-2

INITIAL ASSIGNMENT FILE

DATE: 11 17 19

Listing of Case Assignment Activity

Interviewer	Subsmp	Segser	Released	Flag	Action	NO	DISK
BAR	E	1001084	1		DOWNLOAD		
BAR	E	1001149	1		DOWNLOAD		
BAR	E	1001152	1		DOWNLOAD		
BAR	E	1001165	1		DOWNLOAD		
FIS	E	0200860	1		DOWNLOAD		
FIS	E	0200873	1		DOWNLOAD		
FIS	E	0200886	1		DOWNLOAD		
FIS	E	0200899	1		DOWNLOAD		
FIS	E	0200909	1		DOWNLOAD		
GER	E	0100931	1		DOWNLOAD		
GER	E	0100944	1		DOWNLOAD		
GER	E	0101024	1		DOWNLOAD		
ITA	E	1400805	1		DOWNLOAD		
LEV	E	0300757	1		DOWNLOAD		
RIO	E	1300879	1		DOWNLOAD		
RIO	E	1300882	1		DOWNLOAD		
TON	E	0800998	1		DOWNLOAD		

After determining that the assignments are correct and the AFMS and CAPI correspond, the FM checks the CAPI column in the Assignment Log. The Listing of Case Assignment Activity Report is placed in the back of the Assignment Log. The cases can then be downloaded using the procedure described below in Section 2.4.3.

2.4.3 Downloading Assignments

After the start-of-stand processing is completed, the FM (and other office staff, as needed) are ready to begin initial downloading assignments. This is the process in which cases are transferred from the VAX to the interviewers' laptops. Remember, this step can only be accomplished after the interviewers' laptops have been loaded with the appropriate software (as described in Section 2.3.2) and the start of stand processing procedure (as described in Section 2.4.2) have been done. To download assignments, use the following procedure:

- On each interviewer's laptop, enter the interviewer's initials and the supervisor's password. The SUPERVISOR ACTIVITIES MENU will appear. Select ITEM 4 "TRANSFER CASES";
- At the CASE MANAGEMENT MENU, select ITEM 3 "DOWNLOAD CASES FROM VAX";
- The prompt, "Please connect the VAX cable to the laptop computer. Strike a key when ready" will appear. Connect the cable from the VAX (the cable will have a blue 25-pin connector on the end) to the back of the laptop and strike a key;
- This downloading process will take several minutes and a series of screens will appear. Take no action until the prompt "Download finished. Disconnect VAX cable" appears;
- At this point, cases are transferred from the VAX to the laptops and no longer appear on the VAX.
- Disconnect the cable.

At this point, the download is completed; the cases have been transferred from the VAX to the laptop. However, the FM should confirm that the cases have been downloaded by reviewing the conference report on the interviewer's laptop. To do this, follow these steps:

- _ After the download is completed, strike a key. The CASE MANAGEMENT MENU will appear;
- _ Press ENTER to return to the SUPERVISOR ACTIVITIES MENU;
- _ Select ITEM 3 "GENERATE REPORTS;
- _ Select ITEM 1 "CONFERENCE REPORT"
- _ Select ITEM 1 "COMPUTER SCREEN"
- _ At the SELECT CASE MENU, enter 999 to display all cases.

If the download has been completed successfully, the first case in the assignment series will appear. Press "n" to scroll through the cases to confirm that the entire series was downloaded successfully. If so, press enter to exit through the menus and turn off the laptop. If the download was unsuccessful, repeat the process making certain that the cable is connected properly. If cases are missing from the laptop, the assignment and/or case processing steps may need to be repeated.

2.5 Additional Tasks

1. Prepare staff housing list.
2. Check blood pressure equipment.
3. Check laptops using the PC equipment Sign In/Sign Out Sheet (Exhibit 2-3).

2.6 Initial Conferences with Interviewers

At the initial conference, give each interviewer his/her laptop loaded with the most current version of CAPI, the audit trail software and the initial assignment. Provide all other hard copy assignment materials.

3. INTERVIEWER CONFERENCES

3.1 Preparing for the Conferences

Prior to their conferences with the AOM and the FM, interviewers should perform the following tasks:

- Enter all dispositions in CAPI for finalized cases which are not automatic (i.e., all except 11, S1, S2, F1).
- Enter NCHS sample numbers only for SPs appointed via telephone. All others will be entered after the FM has reviewed the completed Screeners. These numbers can be entered by the FM, the interviewer or any other office staff member at a later time.

A common error made by interviewers is the entry of the incorrect letter with the NCHS sample number. Keep the following in mind:

SPs age 2 months - 11 years	=	U
SPs age 12-19 years	=	T
Most adults	=	S or M
Certain exempt adult (e.g. those with diabetes)	=	E

- Obtain and enter in CAPI all permanent ID numbers for Missed DUs/Structures found. Remember that interviewers will assign case numbers to Missed Structures in the field, but they **must** received case numbers for Missed DUs from the office.
- Review the Conference Report on the PC prior to the FM conference to be sure that all entries have been made and that they are correct.

For the most part, the CAPI Conference Report replicates the AFMS Conference Report. It has three basic differences: (1) it contains no exam disposition codes; (2) it includes the gender of the SPs identified; and (3) it includes the Education Report.

- Review comments in CAPI to be sure they are relevant, clear and complete. If not, record the additional/clarifying information on a sheet of paper and include it with the case.
- Complete the cover of the Household Folder as interviews and cases are finalized. This will be very important since hard copy questionnaires will no longer be available to remind interviewers of what they have completed.

Enter complete taxi/appointment information on the cover of the Household Folder since with the implementation of CAPI there is no other hard copy documentation of this data.

- Interviewers must plan on being in the office approximately 1½ hours for each conference. The first 30 minutes will be spent running the CAPI Conference Report, preparing Interim Folders, and turning in completed noneligible Screeners to the AOM/OM. The remaining hour will be spent with the FM.

INTERVIEWERS MUST NOT CHANGE THEIR REPORTING TIME AND THEY MUST BE PROMPT.

- Print CAPI Conference Report in the Field Office immediately prior to conference and review it for completeness/correctness.

To print a Conference Report, the interviewer will:

- Connect the laptop to the printer in the interviewer area.
 - Line up the printer paper using the form feed button.
 - Enter the interviewer initials and password.
 - At the Interviewer Activities Menu, select option 3 -- Conference Report.
 - At Conference Report, select option 2 -- Print Format. A message will appear reminding the interviewer to connect the laptop to the printer.
 - Upon completion, disconnect the printer cable from the PC, exit and turn the power off.
- Thoroughly complete all Interim Folders necessary.

3.2 The AOM Conference

After printing a Conference Report, interviewers should report to the AOM. The AOM will copy the interviewer's entire database onto the repository. Interviewers should also turn in all completed non-eligible screeners to the AOM. The AOM will download these completed screeners from the laptop to diskette. To facilitate this and the FM conference, interviewers should sort their completed cases by eligible and non-eligible screeners and place them in seg/serial order.

3.2.1 Copying the Database Using the Repository

Using the interviewer's laptop and the repository, the AOM copies the interviewer's database. This provides a field office copy of cases in progress and eliminates the need to make interim (yellow) diskettes of each case currently being worked. This procedure copies, but does not remove, cases from the interviewer's laptop To accomplish the repository procedure, the AOM should complete the following tasks:

- On the interviewer's laptop, access the SUPERVISORY ACTIVITIES MENU and select ITEM 4 "TRANSFER CASES;"
- At the CASE MANAGEMENT MENU, select ITEM 5 "TRANSFER CASES TO REPOSITORY MACHINE;"
- Enter the interviewer's ID;
- A message will appear instructing the user to connect the interviewer laptop to the repository using the blue cable provided for that purposes. A message will then appear to "strike any key." STOP. Do not strike a key until the next step has been completed.
- On the repository at the NHANES prompt type "dd," press "enter" and wait for the "laplink" screen to appear;
- Return to the interviewer's laptop, strike any key and wait for the message "copying data base;"
- At the end of the procedure on the interviewer's laptop (1-2 minutes per interviewer), the "copying complete" message will appear and the system will automatically return to the Questionnaire Version screen;
- To end the process on the repository, press "ESC," then "Q," and answer "Y" to the question "Do you want to quit?"

This procedure should be repeated each time an interviewer reports.

At least once per day, or before each interviewer reports again, the data copied onto the repository needs to be "merged." In this case, merging means that the data needs to be put in a readable format. To conduct this merge, proceed as follows:

- At the NHANES prompt on the repository, type "merge;"
- The message "merging database" will appear;

- At the end of this process, a message will appear indicating that the merge has been completed for a specific interviewer or group of interviewers. Specifically, the IDs of interviewers for whom data has been merged will appear on the screen.

With this, the database copying and merging procedure is complete; a field office copy of all work in progress has been made.

3.2.2 Receiving Noneligible Screeners

After the AOM has copied the interviewer's database onto the repository, s/he will receive the noneligible screeners. These cases will be downloaded onto red diskettes; one diskette per week will be used for all noneligible households completed during that time. Each diskette will be labeled with the interviewer's ID and the beginning data for the week; each time cases are downloaded, a date will be written on the label. Also, an orange dot will be placed on the diskette the first time cases are downloaded to the diskette. This diskette will then be filed with the CAPI Conference Report and the noneligible screeners. At the end of the week, the data will be uploaded to the VAX and the orange dot will be dated. At the end of the stand, the diskettes will be sent to Westat to be recycled.

Before the downloading process is initiated, the AOM should record the disposition of each noneligible case on the AFMS report and check that the interviewer has entered each case disposition in CAPI by reviewing the CAPI Conference Report.

Specifically, the downloading of the noneligible cases is done in seven steps:

- On the interviewer's laptop, enter the interviewer's initials and the supervisor's password. The SUPERVISOR ACTIVITIES MENU will appear. Select ITEM 4 "TRANSFER CASES;"
- At the CASE MANAGEMENT MENU, select ITEM 1 "DUMP/TRANSFER CASE TO DISKETTE;"
- At the DUMP CASE MENU, select ITEM 2 "DUMP ALL NONELIGIBLE CASES TO DISKETTE;"
- Next, a prompt will appear asking "Is the diskette RED with no dot?" Enter ITEM 1 "YES;"

- At the next prompt, "SELECT A HH TO WORK," enter the seg/serial number of each noneligible household;
- After entering all of the seg/serial numbers of the noneligible households, an instruction will appear to insert the red diskette and strike any key. The noneligible screeners will be dumped onto the diskette;
- Remove and label the diskette.

NOTE: noneligible screeners that fall into the validation sample should be uploaded at the same time other noneligible screeners are uploaded (i.e., at the end of each week). If the disposition should change as a result of validation, the disposition should be corrected and the case uploaded again.

3.3 The Field Manager Conference

3.3.1 Beginning the Conference: CAPI-Related Tasks

Next, interviewers will report to the Field Manager. Using the AFMS and CAPI Conference Reports, the FM will proceed through a review of each of the remaining cases assigned to the interviewer. Specifically, the FM should:

- Review all newly completed eligible screeners Be sure all data on hard copy and AFMS/CAPI conference reports matches, that sampling is correct, and that dispositions are correct;
- Check updated information. Whenever an interviewer corrects/updates screener information, an asterisk (*) will appear next to the seg/serial number on the CAPI Conference Report for that case. This flag is a reminder to the FM to check that the update or correction was appropriate, and that the hard copy and the AFMS contain the same information;
- Modify information as needed. If the FM needs to enter or correct data on the interviewer's laptop, s/he will enter the interviewer initials, the supervisor's password and access the SUPERVISOR ACTIVITIES MENU. Data can be entered or corrected using the "MODIFY INFORMATION" option.
- Review the NCHS sample numbers confirm that the NCHS sample numbers that appear on the AFMS and CAPI Conference Reports are identical. NCHS numbers not yet assigned can be entered in CAPI later by the interviewer, the FM or other office staff.

3.3.2 Removing Completed Cases from an Interviewer Laptop

After any CAPI updates or corrections have been made, the FM should transfer all completed cases onto diskette. The FM should make a red diskette for each case for which all questionnaire level field work has been completed. To complete this task:

- On the interviewer's laptop, enter the interviewer's initials and the supervisor's password. The SUPERVISOR ACTIVITIES MENU will appear. Select ITEM 4 "TRANSFER CASES;"
- At the CASE MANAGEMENT MENU, select ITEM 1 "DUMP/TRANSFER CASE TO DISKETTE;"
- At the DUMP CASE MENU, select ITEM 1 "DUMP ONE CASE TO DISKETTE;"
- The prompt "Select a Household to Work" will appear. Enter the number of the case you wish to download;
- The prompt "Type of action:" will appear. Select ITEM 3, "CREATE FINAL DISKETTE;"
- The instruction, "Please insert the diskette with the CASE ID at this time. Strike any key when ready" will appear;
- After the download is completed, remove the diskette and write the case number and the date on the label. The FM does not affix dots to these diskettes.

The FM should download all completed cases as well as any cases that are to be deassigned or reassigned (See Section 3.4.2 and 3.4.3 of this manual). At this point in the conference, the FM would be wise to review the CAPI Conference Report using the "computer screen" option. This will ensure that the interviewer has the correct cases on the laptop and that cases have not been inadvertently removed from the laptop.

3.3.3 Non-CAPI-related Tasks

When CAPI-related tasks have been completed, the FM should review the cover of the household folder to confirm that the interviewer has recorded complete taxi and appointment information. Also, s/he should check that the appropriate diskettes are placed in a plastic sleeve inside the corresponding household folder. Finally, the FM should collect all other hard copy finalized work and:

- _ Discuss cases still in progress;
- _ Discuss edit results;
- _ Discuss work schedule and general productivity;
- _ Determine if the interviewer has sufficient quantities of materials, and if the BP and CAPI equipment is functioning properly;
- _ Determine if the interviewer needs a new assignment.

3.4 Making Assignments During a Stand

3.4.1 Assigning New Work

When the Field Manager determines that an interviewer needs new work; that is, work that has not previously been assigned, s/he must complete a series of tasks. After making the assignment decision, the FM records the assignment in the Assignment Log. Next, the household and segment folders are prepared. In the AFMS, the cases are assigned according to the procedures described in the Field Office Manual; the "AFMS" column on the Assignment Log is checked. To assign the cases in CAPI, the FM should complete the following series of tasks:

- _ At a terminal hardwired to the VAX, log onto CAPI, enter the password and your initials;
- _ At the [CAPI]\$ prompt, type "CASE_ASSIGN." The ASSIGNMENT PROCESSING FOR CAPI" menu will appear;
- _ Select ITEM 2 "DURING STAND PROCESSING. The "DURING STAND PROCESSING MENU" will appear;

- Select ITEM 1 "EXTRACT CASE ASSIGNMENT/INFORMATION DURING STAND." This process will take several minutes; you will be prompted when it is completed. Press RETURN to return to the menu;
- Select ITEM 3 "CREATE CAPI LOAD ASSIGNMENT FILES." This process will also take several minutes; you will be prompted when it is completed. Press RETURN to return to the menu;
- Select ITEM 2 "PRINT ASSIGNMENTS BY INTERVIEWER." You will be prompted to select ITEM 1 "LOADER FILE" or ITEM 2 "FILE OF CASES TO BE REMOVED." Select ITEM 1. You will be prompted to select ITEM 1 "SPECIFIC INTERVIEWERS" or ITEM 2 "ALL INTERVIEWERS." Always select ITEM 2. You will be prompted when this process is completed;
- Exit through the menus to the {CAPI}\$ prompt;
- At the {CAPI}\$ prompt, type PRINT CASEINT.ALL and press RETURN;
- Type LO to exit CAPI.

As a result of this process, the "Listing of Case Assignment Activity" report is produced. This report lists the interviewer, subsample, seg/serial number, a released flag and an action (new work, download, final, etc.). The FM should compare this report to the Assignment Log to confirm that the assignments match. Remember, the AFMS is the source of all assignment information and any changes in assignments must be made in the AFMS before the cases are downloaded.

After determining that the assignments are correct and the AFMS and CAPI correspond, the FM checks the CAPI column in the Assignment Log. The cases can then be downloaded using the procedure described in Section 2.4.3 of this manual.

3.4.2 Deassigning Cases

In order to deassign and reassign work in the AFMS, a disposition code must be assigned. This is not true for CAPI. To expedite the CAPI deassignment and reassignment process, cases will not be given interim codes in CAPI. In CAPI, deassigning a case entails dumping/transferring that case from the current interviewer's laptop onto a yellow diskette and holding it pending reassignment to another interviewer. When the FM is ready to deassign cases, s/he should complete the following tasks:

- On the interviewer's laptop, enter the interviewer's initials and the supervisor's password. The SUPERVISOR ACTIVITIES MENU will appear. Select ITEM 4 "TRANSFER CASES;"
- At the CASE MANAGEMENT MENU, select ITEM 1 "DUMP/TRANSFER CASE TO DISKETTE;"
- At the DUMP CASE MENU, select ITEM 1 "DUMP ONE CASE TO DISKETTE;"
- The prompt "Select a Household to Work" will appear. Enter the number of the case you wish to deassign;
- The prompt "Type of action" will appear. Select ITEM 2 "REMOVE CASE FOR NEXT INTERVIEWER OR PULLBACK;"
- The instruction, "Please insert the diskette with the case ID at this time. Strike any key when ready" will appear;
- Insert the yellow diskette and strike a key;
- After the dump/transfer is completed, remove the diskette and write the case number and the date on the label.

After the dump/transfer is completed, the FM should confirm that the case has been removed from the interviewer's database by using the "conference report" and "computer screen" options. Next, the FM should place the yellow diskette in a plastic sleeve in the corresponding household folder. At this point, the case exists only on the yellow diskette where it remains pending reassignment.

3.4.3 Reassigning Cases

When the FM is ready to reassign a case to a second or subsequent interviewer, s/he should first make the reassignment in the AFMS, record the reassignment in the Reassignment Log and check the AFMS column in the Log. To reassign the case in CAPI, s/he should use the following procedure:

- On the interviewer's laptop, enter the interviewer's initials and the supervisor's password. The SUPERVISOR ACTIVITIES MENU will appear. Select ITEM 4 "TRANSFER CASES;"
- At the CASE MANAGEMENT MENU, select ITEM 2 "RESTORE CASES FROM DISKETTE;"
- The prompt "Select a household to work" will appear. Enter the seg/serial number of the case you wish to reassign;
- The prompt "Please insert the transfer diskette at this time" will appear. Insert the yellow diskette with the case number on the label and strike any key;
- When the transfer is completed, you will be prompted to remove the diskette.

Next, the FM should confirm that the case has been transferred to the interviewer's laptop by using the "conference report" and "computer screen" options. After making this determination, the FM can give the interviewer the household folder and other hard copy case materials. The yellow diskette can be sent to Westat for recycling.

3.4.4 Deassigning and Reassigning Nonresponse

Nonresponse cases, whether at the screener level or the questionnaire level, are deassigned and reassigned in CAPI using the procedures described in Sections 3.4.2 and 3.4.3 of this manual. As stated above, no disposition codes are required for CAPI reassignments, but these codes must be entered in the AFMS. Remember to make all reassignments in AFMS before dumping or transferring the cases in CAPI.

4. CASE PROCESSING

4.1 Overview

Under the CAPI system, the disk replaces questionnaires as the central document. Screener information from the hard copy Screener, SP and Family questionnaires for a household reside on one disk.* Each disk is a household level document.

A **red** disk represents a completed household (all SPs are finalized and/or the case will not be worked in the field again) which is ready to be uploaded to the VAX. **Yellow** disks represent an interim household that is still being worked in the field. Yellow and green Household Folders will continue to be used to record the status of each SP in the household and provide the field office staff with a record of household contacts.

Section 4.2 of this document describes the content of each of the files used in the field office as part of the central filing system. Section 4.3 outlines the normal flow of work through the office.

4.2 The Central Filing System

The central files will continue to be organized around most of the standard work stations described in the Office Procedures Manual and are designed to facilitate the flow of work through the office. Most file drawer titles remain the same. The content of some drawers will change.

*There are exceptions to this rule that occur when more than one interviewer is conducting interviews in the household simultaneously. This is a rare interim occurrence.

4.2.1 Log In File

This file contains work to be logged in to the AFMS. The file should contain:

- _ AFMS Conference Report
- _ CAPI Conference Report
- _ Household Folders
- _ Interim Folders
- _ Finalized Screeners
- _ A household disk containing completed interviews for the household

This file is usually kept in the AOM's office.

4.2.2 To Be Edited File

This file contains work to be edited in exam date order. It includes both Household and Interim Folders. Inside the folders are disks (yellow or red) containing completed interviews for a specific household. The file is usually kept in the AOM/QCC's office.

The file is divided into two sections:

- _ Priority Edits
 - Those cases that contain SPs whose MEC examination or home exam date is within the next several days.
 - Those cases that contain nonresponse.
 - Those cases that have completed home examinations.

- _ Regular Edits

In order to keep track of which interviews must be edited first, the exam date for each SP will be clearly marked on the green Household Folder or the yellow Interim Folder. Thus, folders are arranged in this file according to the earliest exam date recorded.

4.2.3 Edit/Review File

This file is usually kept in the AOM/QCC's office. The AOM/QCC will use the CAPI edit reports to evaluate the quality of data entry. These reports consist of all "don't know" answers, "other specify" responses, and comments made in each completed interview in a specific household. (CAPI edit report details are provided in Section 7, Editing Using the CAPI System.)

When there is a question about an interviewer's entry on the edit report, the AOM/QCC will highlight the entry, attach it to all related hard copy material (Screener, HH Folder), and discuss it with the interviewer.

The Edit/Review File is divided into two sections:

- Cases that need to be discussed with the interviewer, organized by interviewer initials.
- All cases awaiting data retrieval filed in segment and serial number order.

4.2.4 SP Specific Documents

This file is kept in a central location in the field office. It contains all of the forms related to a specific SP. This file includes:

- Consent Forms
- Blood Pressure Forms
- Birth Certificate Authorization Forms
- Authorization for Transportation Forms
- MEC Physician Report Forms.

Note that this file will not contain diskettes. All completed interviews for a household will be on one diskette. After the case has been uploaded to the VAX, the diskette is filed in the Household Level File.

4.2.5 Household Level File (Disposition 11)

This file is kept in a central location in the field office. The file contains:

- _ Green Household Folders or Interim Folders
- _ Screeners
- _ Household disk (red or yellow) containing completed and edited interviews

4.2.6 Home Exam Materials File

This file is usually kept in the Office Manager's office. The file contains:

- _ Control Cards and SP Cards
- _ Household Folders with Red and Orange Diskettes
- _ Home Examiner's laptop, spare batteries and other administrative forms
- _ The Home Exam load diskettes (3)

4.2.7 Non-Eligible Files

Materials relating to non-eligible households are kept in two distinct files:

- _ Non Eligible Diskettes -- As the AOM/QCC checks in non-eligible cases he/she removes them from the interviewers laptop onto a red diskette. Case IDs and disposition codes for all non eligible cases are kept on one diskette per interviewer. Each diskette is filed by interview name until the end of a work week. At that time the AOM/QCC uploads all the non eligible cases contained on each interview diskette to the VAX. Individual AFMS and CAPI conference reports representing each time the interviewer reported to the office are also kept in this file. These reports are valuable when trying to determine the disposition of a case in the adjudication process.
- _ The paper work for non eligible cases (Screeners and Household Folders) are kept in a separate file drawer in a central location.

4.2.8 Nonresponse

This file is usually kept in the Field Managers office. It is divided into two sections. The first section contains Household Folders and disks for the following cases:

- _ Awaiting immediate refielding for MEC/interview appointment
- _ Home Exam candidates
- _ Broken appointments to be refielded
- _ No further action at this time/review later
- _ Final nonresponse

The second section contains both the hard copy Screener, the Interim Folder and the yellow diskette containing the household level information (ID and address) for nonresponse at the Screener level.

4.2.9 Pull Back File

On occasion, cases may need to be deselected from the sample. The Pull Back File contains Screeners for those cases deselected plus a yellow diskette containing all cases that have been deselected and removed from interviewer's machines. This file is usually kept in the Field Manager's office.

4.2.10 Red Disk Pending Upload File

This file is usually located in the AOM/QCC's office. The file contains red diskettes that need further action before they can be uploaded to the VAX. This may occur when data retrieval is necessary or when software problems have occurred that prevent uploading.

4.2.11 Upload File

This file contains red diskettes that are ready to be uploaded to the VAX. It is usually located in the AOM/QCC's office.

4.3 Work Flow

The normal flow of work through the field office starts when the interviewer reports to the office to turn in cases and receive new assignments and continues through 6 specific steps.

Step 1 -- Interviewer Meets with AOM/QCC to Download Non Eligible Cases to Diskette

Using the procedures described in previous chapters of this manual, the AOM copies the interviewer's entire data base on to the repository machine and downloads all finalized non eligible cases from his/her machine to diskette. Household Folders, Screeners and red diskettes containing the non eligible IDs and dispositions are filed in the appropriate **Non Eligible File** and uploaded to the VAX once a week. The AOM notes the disposition of each noneligible case on the interviewer's AFMS conference report and checks that each disposition has been entered in CAPI by reviewing the Interviewer's Conference Report.

Step 2 -- Interviewer Conferences With Field Manager

Next the interviewer visits the Field Manager for his/her interviewer conference. During this conference the Field Manager collects finalized work for eligible cases. This includes:

- Completed interviews for interim cases (yellow diskette, Screeners and yellow Household Folder)
- Completed interviews for those households in which all interviews have been finalized (red diskette, Screeners and green Household Folder)
- Non response work (yellow or red diskettes, Screeners and yellow or green Household Folders)

Step 3 -- AOM/QCC Logs In Cases

The Field Manager places the CAPI conference report, the AFMS conference report, the Interim Household Folders containing yellow diskettes, green Household Folders containing red diskettes and Screeners for all eligible cases in the **Log In File** located in the AOM/QCC's office.

Using the AFMS and CAPI conference report the AOM/QCC enters the disposition of all finalized work into the AFMS. The conference reports are filed in the AOM/QCC's office and all Household Folders, Screeners and diskettes containing completed interviews are given to the AOM/QCC in charge of editing.

Step 4 -- Non Response Cases are Processed

The Field Manager files non response Household Folders, Screeners and diskettes in either the **Screener Non Response File** or the **Interview/Exam Non Response File** depending on the point in the survey process in which the non response occurred.

Step 5 -- AOM/QCC Edits Eligible Cases

The AOM/QCC files the disks, Household Folders and Screeners in the appropriate sections of the **To Be Edited File**. If SPs have been scheduled for exams, all the exam related documents are filed in the **SP Specific Documents File**.

If a data problem exists, the case Household Folder and Screener are filed in the appropriate section of the **Edit/Review File** and the red diskette is filed in the **Pending Upload File**.

Step 6 -- Upload Completed Cases to VAX

If data from the case is ready to be uploaded to the VAX, the red diskette is filed in the **Upload File**. After it is uploaded, the red diskette is filed along with the Screener and Household Folder in the Household Level File.

5. SUPPORT FOR MEC OPERATIONS

5.1 Interaction Between CAPI and AFMS

The AFMS remains the primary system used to schedule appointments. All appointment information continues to be kept in the AFMS and on the green and yellow Household Folders.

5.2 Assigning NCHS Numbers in CAPI

The NCHS number, generated by the AFMS system, must be entered in CAPI. The AFMS generates the NCHS number when an appointment is scheduled and information is entered on the AFMS Schedule and Identify Screen. When an interviewer makes an appointment, h/she accesses the CAPI Interviewer Activity Menu in order to enter the NCHS number into CAPI.

If an interviewer does not schedule an appointment until he/she visits the field office, the interviewer or the office staff may enter the NCHS number into CAPI. NCHS numbers are entered in CAPI using the following steps:

- _ Access the INTERVIEWER'S ACTIVITY MENU.
- _ Select Option #5 CALL THE FIELD OFFICE/SCHEDULE AN APPOINTMENT.
- _ Enter the Case ID
- _ Select the SP Line Number
- _ Enter the NCHS number and press the ENTER key.
- _ Enter the NCHS **letter** and press the ENTER key.
- _ Select Option #2 to return to the INTERVIEW ACTIVITY MENU.

5.3 Updating NCHS Numbers in CAPI

Changes occur when an NCHS number has been incorrectly entered into CAPI by the interviewer. Usually, this will be discovered during the Field Manager's conference or during the editing process. Specifically, the field office should proceed through the following steps in CAPI in order to change NCHS numbers.

- _ Access the Supervisor Activities Menu
- _ Select Modify Information (option #1)
- _ Enter the Case ID
- _ Select Modify Key Data Items (option #2)
- _ Select the SP Line Number
- _ Select Enter Sample Number/NCHS ID or Letter (option #5)
- _ Correct/Update/Enter New NCHS #
- _ Steps 2 through 8 must be repeated for each SP whose NCHS number must be updated.

The editor can also change the NCHS number using the update process. This process is explained in detail in Chapter 7.

5.4 Providing SP Information to the MEC

All the SP specific data required by the MEC staff at the time of the SP examination will be produced on a CAPI report entitled the "MEC/Physician Report."

Using a menu item from the Supervisor Menu screen, the AOM/QCC will produce this report at the same time s/he produces the other edit reports. An explanation of the procedure used to generate this report is contained in Chapter 7.

5.5 Making Changes in CAPI using the MEC Demographic Correction Form

Name, age and birthday information will be checked with the SP at the MEC by the MEC Coordinator and compared to information on the MEC Physician Report. The Coordinator uses the MEC Correction Form to note any changes in SP demographic information, then returns the form to the OM. The OM then makes all necessary changes in the AFMS and gives the completed MEC Correction Form to the AOM/QCC to make correction in CAPI.

If the case has not been finalized (all SP dispositions are not final) the AOM/QCC will file a copy of the MEC Correction Form in the "Edit Review File" and will hold the folder with the disk (yellow) until all SP interviews have been finalized. At that time s/he will make the necessary corrections.

The AOM/QCC uses the MEC Correction Form to update demographic information in the CAPI interview. Updates to demographic information are made using the following steps:

- _ Restore the appropriate disk to the Editor's PC
- _ Access the SUPERVISOR ACTIVITIES MENU
- _ Select MODIFY INFORMATION (option #1)
- _ Enter the Case ID
- _ Select MODIFY KEY DATA ITEMS
- _ Select the SP Line Number
- _ Select options 1-4

The editor may also change demographics information using the update process. This process is explained in detail in Chapter 7.

Cases must be uploaded to the VAX **after** all updates have been made. If the case has already been uploaded, it must be uploaded again after changes are made. The updated demographic information will overwrite the old information on the VAX.

6. SUPPORT TO HOME EXAMS

6.1 Setting Up the Home Exam Machine

Home exams can only be conducted from the Home Examiner's 286 model laptop. NIOSH continues to send these laptops to each stand prior to the start of home exam activity. The Home Examiner uses a unique Home Exam Menu from this laptop to conduct the interview. To begin Home Exams the 286 laptop must be loaded with the following software:

- **Home Exam Load** - This is a set of three distribution diskettes labelled NHANES MASTER, Home Exam load. These diskettes should only be used on the Home Exam machine. These diskettes will configure the machines for home exam interviewing and load all the actual home exam interview and related programs. This should be done at the outset of home exam activity at a stand, that is prior to loading any interview data or any actual interviewing. The diskettes can be loaded by inserting diskette #1 and turning the machine on and following the prompts. Turn the machine off and on again after loading.
- **Audit Trail and DB Load** - This is a single diskette labeled NHANES MASTER, Audit Trail Load. It should be used only after the Home Exam Load diskettes. This diskette will re-initialize the data base and will destruct any previous interview data present on the machine. It should, therefore, be used only when preparing a machine when it initially arrives at the stand. To load the diskette, turn on the machine, insert the diskette and type A:\INSTALL.

6.2 Materials Needed In Order to Process Home Exam Cases

The following items will be needed in order to assign cases and receive cases from the Home Examiner's machine:

- Household Folder
- Household Diskette
- Control Card
- SP Card
- Orange Diskette

- Home Examiner's Laptop

6.3 Field Office Processing of Home Exam Cases

There are 3 distinct procedures used to process home exam cases depending on whether it is a standard home exam, a replicate home exam, or a cold call.

6.3.1 Standard Home Exams

6.3.1.1 Processing Finalized Cases (Red Diskette)

To conduct the home exam interview for a specific SP, the corresponding household disk must be loaded onto the Home Examiner's laptop. Most of the time the OM will be loading a red diskette on to the Home Examiner's machine.

The specific steps in home exam case processing of finalized cases (red diskette) are as follows:

- All NCHS numbers for each SP to be examined in the household must be entered into CAPI before the case is assigned to the Home Examiner. The Home Examiner will need this information in order to access the SP's home examination interview.
- Remember that when assigning a Home Exam for a household in which all interviews have been finalized, the OM will be loading the active version of the case onto the Home Examiner's laptop. The OM should load the case from the red diskette onto the Home Examiner's laptop using the following procedure:
 - Turn on the Home Examiner's laptop. Verify the date and time of day by pressing the enter key when the date and time fields appear.
 - Enter your initials and the supervisor's password.
 - Select the Home Examiner's Menu by entering "no" at the supervisors menu selection prompt. The Home Exam Menu will then appear.
 - Select HOME EXAM PREPARATION (Option #5).
 - Enter the 7-digit ID number of the case to be assigned to the Home Examiner.
 - Insert the diskette with the Case ID and strike any key when ready.

- At the prompt, remove diskette and strike any key when ready.
 - At the Viewpoint Selection Screen, select the line number of the SP receiving the home exam.
 - A screen will appear asking whether this case is a replicate. Enter "no" code "2".
 - The Viewpoint Selection Screen will again appear. If there is more than one SP to be examined in the household, enter the line number of the second person. The Replicate Screen will then reappear.
 - The Viewpoint and Replicate Screen will continue to appear until all SPs to be examined in the household have been selected.
- To check that the case has been properly assigned to the Home Examiner proceed as follows:
- Return to the Home Examiner's Main Menu by pressing the return key at each screen presented.
 - Select CAPI HOME EXAM (Option #1).
 - Select REVIEW CASES (Option #2).
 - All SPs assigned to the Home Examiner ordered by the segment/serial number of their respective households should appear on the screen.
 - Press return at all screens presented to exit the menu back to the NHANES prompt.
- Give the Home Examiner the Household Folder, the SP Card, and the Control Card to review in the office. The Home Examiner has the capability of accessing the SP's weight and insulin usage from the CAPI interview by using the Home Examiner's Menu program installed on her machine.
- Label a blank orange diskette with the case segment/serial number and place an "A" on the label indicating you have restored the active version (red diskette) of the case onto the Home Examiner's laptop.
- The Home Examiner will take the SP Card and the Control Card with her to the field. The Household Folder along with the red and orange diskettes should stay in the office in the household level file until the Home Examiner returns.

- When the Home Examiner returns to the office, download the case containing the completed home exam from her laptop to the blank orange diskette using the following procedure:
 - Turn on Home Examiner's laptop and access the Supervisor Activity Menu by entering the supervisor password and a "yes" at the supervisor menu selection prompt.
 - At the Supervisor Menu select TRANSFER CASES (option #4).
 - Select DUMP ONE CASE TO DISKETTE (Option #1).
 - Select FINAL DISKETTE REMOVE FROM PC (Option #3).
- File the Household Folder, the orange diskette and red diskette in the Priority Edit drawer.
- After the home exam has been edited, upload the orange diskette containing the finalized case and the completed home exam to the VAX using standard upload procedures accessed through the Supervisor Activity Menu.
- If the home exam has not been completed for any reason, dump the case to the blank orange diskette and file the disk in the recycle drawer. At this point the Field Manager will decide what further action must be taken.

6.3.1.2 Processing Interim Cases (Yellow Diskette)

When assigning a case for a household in which all SP interviews are not finalized, the OM restores the yellow disk onto the Home Examiner's machine. As a consequence, the Home Examiner does not necessarily have the most active version of the case. The active version of the case remains with the interviewer in the field.

- Interim cases should be restored to the Home Examiner's machine using steps described previously in Section 6.3.1.1), pages 6-2 and 6-3.
- After loading the case onto the Home Examiner's laptop, label a blank orange disk with the segment/ serial number and place an "I" on the label indicating an interim case has been restored to the Home Examiner's laptop.
- When the Home Examiner returns to the office, download the case to the orange diskette using the Supervisor Activity Menu. These procedures are described in Section 6.3.1.1), page 6-4.
- File the Interim Folder, the yellow diskette, and the orange diskette in the Priority Edit drawer.

- Both the orange and the red diskette (when it is produced) must be uploaded to the VAX using the following procedure:
 - Upload the orange diskette first. Remember the orange diskette contains the completed home exam interview but does not contain finalized SP interviews for the household.
 - Next, upload the red diskette to the VAX. The red diskette contains finalized SP interviews but does not contain the completed home exam.

NOTE: If the orange diskette is uploaded after the red diskette incomplete interview data will be uploaded to the VAX.

6.3.2 Replicate Home Exams

Use the following procedures when assigning and processing replicate home exams.

- Access the Home Exam Menu from the home examiner's laptop. Use the following steps to proceed through the Menu.
- At the Home Examiner's Menu select HOME EXAM PREPARATION (Option #5).
 - Enter the original 7-digit case ID number.
 - Insert the red diskette with the Case ID and strike any key when ready.
 - Remove the red diskette and strike any key when ready.
 - At the Viewpoint Selection Screen, select the line number of the SP receiving the home exam.
 - At the Replicate Screen, select "yes" code "1".
 - Enter the replicate case number.
 - The Viewpoint Selection Screens will again appear. If there is more than one SP to be examined in the household, enter the line number of the second person. The Replicate Screen will then reappear.
 - The Viewpoint and Replicate Screen will continue to appear until all SPs to be examined as replicates in the household have been selected.
 - When the process is completed, press the return key at each screen presented to exit.

- Label a blank orange diskette with both original and replicate segment/serial numbers and NCHS numbers. Place in the household level file.
- When the Home Examiner returns, download the case on to the orange diskette using the following procedure.
 - Access the Supervisor's Activity Menu on the Home Examiner's laptop by entering your initials, the supervisor password and a "y" (yes) at the prompt.
 - Select TRANSFER CASES (Option #4).
 - Select DUMP ONE CASE TO DISKETTE (Option #1).
 - Select FINAL DISKETTE REMOVE FROM PC (Option #3).
- To check that the case has been removed from the Home Examiner's laptop
 - Exit back to the main menu (Supervisor Activities Menu) by using "ENTER" at each screen presented.
 - Select General Reports (Option 3)
 - Select Conference Report (Option 1)
 - Select Computer Screen (Option 1)
 - Enter 999 to display all Home Exam cases currently on the Home Examiner's machine.
 - All SP assigned to the Home Examiner ordered by the segment/serial number of their respective households should appear.
 - Press enter at each screen presented to exit back to the NHANES prompt.
- File the orange diskette, the red diskette, and the Household Folder in the Priority Edit drawer.
- Upload the orange diskette containing the completed replicate home exam to the VAX using the standard upload procedure accessed through the Supervisor Activity Menu.

6.3.3 Cold Calls

Under normal circumstances, the decision concerning cold calls is made by the interviewer and the Field Manager during the interviewer conference. At this time, the Field Manager will give the Household Folder to the Office Manager. When the Home Examiner visits the Field Office the case should be restored to her machine following the procedures used to restore a regular home exam case to a laptop. These procedures are discussed on pages 6-2 and 6-3.

If the Home Examiner cannot visit the Field Office before the cold call must be made and thus the case cannot be restored to her machine, she has the capability of creating the Home Exam Interview on her laptop by accessing the Home Exam Menu. In order to accomplish this, the Home Examiner will need the following information from the Office Manager:

- Segment/serial number
- Family number
- SP number
- Sample number
- SP's full name
- SP's address
- SP's telephone number
- Density (1-6)
- Date of Birth
- Sex
- Race
- Ethnicity
- Language the examination is to be conducted in
- Education (1-3)"

When the Home Examiner returns to the Field Office the case should be downloaded onto an orange diskette using the download procedures for a regular case described on page 6-4.

7. EDITING USING THE CAPI SYSTEM

7.1 Introduction

With the institution of CAPI, the focus of editing changes.

The CAPI design includes several features that promote the collection of quality data. Skip patterns are automatically programmed into the interview, and edit checks that compare a respondent's answers with his/her previous responses are programmed so that corrections can be made as the interviewer is entering information into CAPI.

There are, however, several editing responsibilities that must be performed by the Quality Control Coordinator. In the NHANES CAPI interview there are recoding and corrections to be made from interviewer's comments. In addition, there are data checks to be made that are not part of the CAPI software because they are either too complex or burdensome to be programmed at this point in time.

There are several issues to consider when looking at the importance of the CAPI editing process.

- CAPI data is automatically transmitted to the client at the end of each stand. This makes the Quality Control Coordinator's job critical because he or she provides the final set of eyes before the data are transmitted.
- With the institution of CAPI, the AOM/QCC will be the only person allowed to update data in a completed interview. This makes his or her job critical to the overall integrity of survey data.
- Reports from the AOM/QCC are often the basis of assessments about the quality of overall survey data. This makes quality in editing that much more important.

For the purposes of the following discussion the Editing Process consists of four distinctive processes: Case Review, Data Retrieval, Updating CAPI Variables, and Uploading Finalized Cases to the VAX.

7.2 The Case Review Process of Finalized Work

This section discusses in detail the steps used to conduct a review of a finalized eligible household in which interviews for the household have been completed. The review of interim cases will be discussed in Section 7.3.

In order to conduct a case review, the AOM/QCC must have access to the following items:

- _ The completed green Household Folder
- _ The corresponding completed hard copy Screener
- _ The corresponding red diskette containing household level interview data.
- _ The VAX terminal (the editor's terminal)
- _ The AFMS terminal

The case review should be viewed as a three step process:

1. Produce the standard CAPI edit reports.
2. Review Screener information which includes reconciling hard copy Screener information with information entered in the AFMS and CAPI.
3. Review specific data items in the Adult, Youth and Family interviews.

The following is a more detailed discussion of each of these steps.

7.2.1 Production of CAPI Edit Reports

There are four standard CAPI Edit Reports that must be produced.

1. One Comments report must be produced per household.
2. One DK/Refusal report must be produced for each completed interview to be reviewed in the household.
3. One "Other Specify" report must be produced for each completed interview to be reviewed in the household.
4. One MEC Physician report must be produced for each SP in the household.

The steps involved in printing Comments, Other Specify, and DK Refused Reports are as follows:

1. Restore the case contained on the red diskette to the editor's PC by executing the following steps:
 - _ At the Supervisor Activity Menu select Transfer Cases (Option #4).
 - _ At the Case Management Menu select Restore Case from Diskette (Option #2).
 - _ Enter the household ID number.
2. After this transaction is completed, return to the Supervisor Activities menu by striking the "ENTER" key at each screen presented. Execute the following steps to print the first 3 reports (COMMENTS, DK-REF, OTHER SPECIFY).
 - _ At the Supervisor Activities Menu select Generate Reports (Option #3)
 - _ At the Generate Reports Menu select Editor Reports (Option #3).
 - _ Enter the case ID number for the household
 - _ Enter the correct Family Number
 - _ Select the interview to be edited by selecting the line number of the appropriate SP or the Family Questionnaire.
 - _ At the Editor Reports Menu select Run All Reports (option #1). All reports (DK/Refused, Other Specify, Comments) will be generated.
3. Return to the "REPORTS" Menu by striking the "Enter" key at each screen presented.

To generate the MEC/Physician report proceed as follows:

- _ Select MEC/Physician Report (option #2)
- _ Enter Household Case ID
- _ Enter the Family Number
- _ Select the SP Line Number
- _ Strike the ENTER key at each screen presented to return to the NHANES prompt. The report will print automatically.

At the end of the report printing process, remember to remove the case from the editor's PC.

7.2.2 Review of Household Folder and Screener Information

The second step in the edit process is the review of the Household Folder and the Screener information. Four items are needed for this review. The Household Folder, the hard copy Screener for the household, the AFMS "Schedule and Identify" screen for each SP, and a MEC Physician Report for each SP.

This review process consists of two steps:

1. Check the Household Folder for completeness and accuracy. Match the MEC appointment day, time and method of transportation for each SP as recorded on the Household Folder with information in the AFMS.
2. Compare household address; spelling of first, middle and last name of each SP; race/ethnicity of each SP; age/sex/birthday of each SP; and NCHS#, family#s and SP#s in the hard copy Screener with information in the AFMS Schedule and Identity Screen and the CAPI MEC Physicians Report. Reconcile discrepant information.

7.2.3 Review of Specific Data Items in the Youth, Adult, and Family Interviews

As mentioned previously, each completed interview in a household must be reviewed using four standard edit reports. The following is an explanation of the content of each report and a description of the procedure that should be used when reviewing an interview.

Don't Know/Refused Report (See Appendix A)

- **Content** This report contains a list of all "don't know" and "refused" responses entered in the interview. One DK/Refused report is produced for each SP interview. For example, one report will contain a list of all DK/Refused responses in a specific interview.
- **Procedure**
 - Review the number of DK/refused responses. Identify unusual DK response patterns within the interview. Identify unusual interviewer patterns. If an interviewer consistently receives a DK response to a specific question, this may be an indication that he or she is asking the question incorrectly.

- When the respondent's answer does not fit into a precoded response category, the CAPI interview convention is to enter a comment using a CTRL/K and to enter a "DK" in the response field in order to move to the next screen. It is the AOM/QCC's responsibility to determine whether the DK response is appropriate. Compare each DK response with the response corresponding to that question on the Comments report.

Other/Specify Report/Text Answers (See Appendix B)

- **Content** -- This report contains a list of all "other specify" and open-ended responses. Like the DK/Refused report, one report must be produced for each completed interview.
- **Procedure**
 - Check legibility
 - Check completeness
 - Using the editors knowledge of the interview and an annotated version of questionnaire determine if response entered changes any other response in the interview.
 - Recode "other" text answers which fit into existing response categories.

MEC/Physician Report (See Appendix C)

- **Content** -- This report contains relevant demographic information for a specific SP. It also contains a record of all vitamin, medication and antacid data entered in Section X of the Adult interview or Section K of the Youth interview in addition to other selected health condition related data. One report must be produced for each SP in the household.
- **Procedure**
 - Check the name, dosage and length of time taken for all medication listed for legibility and completeness.
 - Check the statements at the end of the report indicating if respondent has high blood pressure. If this condition is present check that it is consistent with medication reported.

Comments Report (See Appendix D)

- **Content** -- This report contains a list of all comments entered into CAPI for each interview in a specific household. One comment report contains a list of all comments made for each interview completed in the household. For example, if a Youth, Adult and Family questionnaire are completed for the household, the report will consist of a list of all comments made in the Adult interview by question number and a list of all comments made in the Youth and Family Questionnaire by question number.

- **Procedure**
 - Review legibility of comments
 - Determine if comment is appropriate. Comments are necessary when:
 - * The respondent corrects a previous response and it is too far back in the interview for you to back up through screens to correct the answer. Be sure to explain clearly the information that is being changed.
 - * The respondent provides a response that is "invalid" in a question with a hard range check. Using comments to enter the response is the only way to capture the information. Remember, comments are not made in soft range checks.
 - * You don't know how to record a response. Record the comment, explaining clearly the problem you encountered and sufficient detail to allow the editors to categorize the response.
 - Determine whether the comment has an impact on any other response in any of the completed interviews for the household.

7.2.4 Steps in the Review of Interim Cases

It is preferable to conduct the review process after all interviews for a household have been finalized and the data for the case is on a red diskette. However, often this is not practical or efficient. In these cases, new interviews should be reviewed as they are added to the diskette using the procedures discussed on previous pages. There are several special procedures to keep in mind when dealing with interim cases:

- The data for the case will be on a yellow diskette inside a yellow interim folder. The AOM/QCC can determine which interviews are on the diskette by looking at the cover of the interim folder. This folder must be accurately completed by the interviewer. If it is not, alert the Field Manager to the problem.

- Demographic information for each SP must continue to be compared in the hard copy Screener, with information in the AFMS and information on the MEC Physicians report. This is easy to forget, since demographic information cannot be checked initially but rather must be checked as interviews are completed and MEC Physician reports are produced.

7.3 Data Retrieval

With the initiation of CAPI, data retrieval should be significantly reduced. However, some data retrieval will occur.

The most common reasons for CAPI data retrieval are:

- Missing Data - Often the social security number for children who are SPs is not available during the interview and must be retrieved when they visit the MEC. Occasionally the presence of a middle initial on the Consent Form indicates that a missing middle name should be obtained during the MEC visit.
- Data Discrepancies - Discrepancies between SP demographic information entered in CAPI and the hard copy Screener require that data retrieval take place at the MEC.

Steps in Data Retrieval

- Using the Annotated Questionnaire, copy the applicable screen (question) to be sent to the MEC.
- Highlight the question to be asked.
- Attach the screen to the SP's MEC/Physician Report and place in SP Specific Document File until SP is scheduled to visit the MEC.
- Note that if data retrieval is necessary on the Family Questionnaire, a copy of the data retrieval screens should be attached to each SP's MEC Physician Report.
- Send the screens to the MEC on the day of the SP's examination.
- Write a note on the appropriate edit report indicating data retrieval and file the reports in the edit review drawer.
- When the screens return, pull the edit reports and the disk, make the appropriate updates.

7.4 Updating CAPI Variables

After the AOM/QCC has conducted an edit review of the Screener and all household interviews, he or she may find it necessary to change and/or update information in one or more interviews. This process is called updating. There are a variety of reasons for making updates to the Screener or household interviews. Some examples are listed below.

- Changes or additions to a household members demographic information (names, addresses, birth dates, etc.) have been discovered after the interview has been completed.
- Comments made by the interviewer in CAPI indicate that a response in the CAPI interview is incorrect and must be changed or additional information must be added to the interview.
- An "Other Specify" response should be recoded to one of the existing precoded categories.
- Questions in the CAPI interview require data retrieval. When screens are returned from the MEC the new responses must be entered into CAPI.(CAPI data retrieval is explained in detail in Section 7.3)

Steps in the Update Process

Updating should only be performed after all interviews in the household are finalized and the data is on a red disk. When editing an interim case make notations concerning updates on the appropriate edit report form and complete the update process after the case is on a red diskette.

Mechanics of Using the Update Function

- a. Restore the case from the diskette to the PC by using Transfer Cases on the Supervisors Menu (option 4) and Restore case from Diskette on the next menu screen (option 2).
- b. Press the return key at each screen presented to exit back to the NHANES prompt.
- c. At the NHANES prompt type: Update
- d. At the ID prompt select the segment and serial number (household level records), the Family number (Family level records) and the line number (SP level records) of the case in order to access a specific set of records.

If you are unsure at step "d" about the records you want to access, remember the following:

- Typing in only segment/serial number and a variable name will display every occurrence of the variable within the case.

Typing in seg/serial number, Family number plus the variable name will display every occurrence of that variable in all interviews pertaining to that family.

- Typing in segment serial, Family number and line number plus the variable name will give you every occurrence of the variable for a specific SP

- e. At the Variable prompt type the four letter file name and a ".", then the variable name that matches the question needing change. The file and variable name are contained in the annotated questionnaire and the codebook. Exhibit 7-1 contains a page from the questionnaire codebook. The file and variable name for question AX7 are circled.
- f. At the variable name prompt type "@U". The existing answer to the question will appear with a backslash.
- g. At the update filespec prompt, type CAPI.UPD.
- h. At this point type in the new response to the question. Use the Codebook to determine the range of acceptable answers to the specific question. Do not use the Annotated Questionnaire as the answer categories listed in this document are not necessarily correct. Exhibit 7-2 contains a page from the questionnaire codebook. The range of acceptable answers to question AX7 is circled.
- i. If you have further changes to make within this case do so at this point by typing in the next variable name. However, make sure you are at the correct level to make the next update (i.e., Household level, Family level, or SP level).
- j. Press enter twice to exit. At this point the successful transaction for that entry will be reported as: CASEUPDTV2.0

transactions journalized in TRANSINL.
1 transaction record
1 successful update

- k. Check the updated response by typing the ID number and variable name again.
- l. Note that you have made an update to the question on the appropriate edit report.

Exhibit 7-1

P03
 ADLT ←

Question No.	Variable Name	Column Number(s)	Counts	Variable Description and Codes
X7K7	AMT ←	212-214	NUMERIC	AX7YK7 AMOUNT VITAMINS <hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 0-30 AMOUNT VITAMINS 866 VARIABLE AMOUNTS
X7K7	AMTUNIT	215-216	NUMERIC	AX7YK7 AMOUNT VITAMINS UNIT <hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 1 CAPSULES, TABLETS/PILLS 2 TEASPOONS 3 TABLESPOONS 4 FLUID OUNCES/OUNCES 5 DROPS/DROPPERS 6 PACKETS/PACKS/PAKS/PACKAGES 7 MILLILITERS 8 WAFERS 9 SHOTS/INJECTIONS 10 OTHER SPECIFY
X7K7	AMTUNIOS	217-246	ALPHA	AX7YK7 AMOUNT VITAMINS UNIT OTHER <hr/>
X8K8	VITAUNIT	247-248	NUMERIC	AX8YK8 TIME TAKING VITAMINS UNIT <hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 1 LESS THAN ONE MONTH 2 MONTHS 3 YEARS

Exhibit 7-2

Ques No.	Variable Name	Column Number(s)	Counts	Variable Description and Codes
X7K7	AMT	212-214	NUMERIC	AX7YK7 AMOUNT VITAMINS
				<hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 0-30 AMOUNT VITAMINS 666 VARIABLE AMOUNTS
X7K7	AMTUNIT	215-216	NUMERIC	AX7YK7 AMOUNT VITAMINS UNIT
				<hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 1 CAPSULES, TABLETS/PILLS 2 TEASPOONS 3 TABLESPOONS 4 FLUID OUNCES/OUNCES 5 DROPS/DROPPERS 6 PACKETS/PACKS/PAKS/PACKAGES 7 MILLILITERS 8 WAFERS 9 SHOTS/INJECTIONS 10 OTHER SPECIFY
X7K7	AMTUNIOS	217-246	ALPHA	AX7YK7 AMOUNT VITAMINS UNIT OTHER
X8K8	VITAUNIT	247-248	NUMERIC	AX8YK8 TIME TAKING VITAMINS UNIT
				<hr/> -1 INAPPLICABLE -7 REFUSED -8 DK -9 NOT ASCERTAINED 1 LESS THAN ONE MONTH 2 MONTHS 3 YEARS

7.5 Uploading Finalized Cases to the VAX

After a case has been reviewed, data retrieval has been performed as necessary and appropriate updates have been made to the data, the disk containing the final version of the data for a specific household is ready to be uploaded to the VAX. Uploading is the process by which the data is transmitted to the VAX. The data for all finalized households are stored in one data base on the VAX until the end of the stand.

Note that only finalized data on red diskettes should be uploaded to the VAX. Steps in the upload process are as follows:

- _ Place Red Diskette in editor's PC.
- _ Access the Supervisor Activity Menu and select TRANSFER CASES (Option #4)
- _ Select Upload Case to VAX (Option #4)
- _ Select Upload One Finalized Case to VAX (Option #1)
- _ Enter the 7-digit household ID number
- _ Connect VAX cable to PC
- _ A computer tone will sound when the upload process is completed
- _ Remove the red diskette from the editor's PC

7.6 Monitoring the Editing Process

In order to track the editing process of diskettes containing household data two stickers are affixed to each diskette. Yellow stickers are used to track the editing status of each diskette and orange stickers are used to track the upload status. These stickers are used in the following manner:

Finalized Cases (Red Diskettes)

- _ If all interviews for a household are completed and turned in to the Field Manager on the same day one yellow sticker is affixed to the red disk. When all the cases for the household are edited, the current date is written on the yellow sticker.

Interim Cases (Yellow Diskettes)

- A yellow sticker placed on a disk indicates that an interview contained on the disk is ready to be edited.
- Each time a completed interview is turned into the Field Manager, the yellow disk is updated with new data.
- The yellow disk is then given to the AOM/QCC who enters the new disposition into the AFMS and places another yellow sticker on the disk.
- When the new interview is edited, the editor date is written on the sticker

Uploaded Cases

- An orange sticker affixed to a red diskette indicates that information on the red diskette is ready to be uploaded to the VAX. Once uploading is completed the date of the upload should be written on the sticker and the disk should be filed in the appropriate file.

7.7 Examples of Edit Workflow

The following pages summarize the normal workflow process when editing a finalized case on a red diskette and an interim case on a yellow diskette.

7.7.1 Finalized Case - Red Diskette

The steps in this process will vary depending on the complexity of the case and the severity of data problems. Below is an example of the work flow process for a case containing data problems that require both data retrieval and updating.

1. Case = Green Household Folder hard copy Screener, Red diskette with a yellow sticker.
2. Produce all edit reports for the case on Editor's PC.
3. Compare hard copy Screener information with AFMS and reconcile. Check demographic information on each SP's MEC Physician Report with hard copy Screener and reconcile discrepancies.
4. Using the Comments, DK/Refusal, Other Specify and MEC Physician Report, edit reports, perform an edit review of the data. Highlight on the edit report all updates that need to be made to the case.

5. Write questions directed to the interviewer on the appropriate edit report.
6. Place the date on the yellow sticker indicating the case has been edited. File the edit reports in the edit review drawer by segment and serial number. File the Household Folder with the red diskette and the hard copy Screener in the Household level (Disposition 11) file and place all SP documents in the SP level document file.
7. After discussing the case with the interviewer produce data retrieval screens as necessary and file the data retrieval screens in the data retrieval file by SP examination date. Indicate the need for data retrieval by placing a red dot on the Household Folder.
8. After screens have been returned from the MEC, perform all necessary updates to the red diskette and place an orange sticker on the red diskette indicating the diskette is ready to be uploaded to the VAX.
9. Upload the disk to the VAX. Date the orange sticker and refile the disk in the Household Folder.

7.7.2 Interim Cases

It is always preferable to edit cases after all interviews have been finalized and data is on a red diskette. However, this is often not practical or efficient. The following is a summary of the workflow process for a case containing two SPs. One SP questionnaire is completed. The other SP questionnaire and the Family Questionnaire are awaiting completion.

1. Case = Yellow Household Folder, hard copy Screener, yellow diskette with yellow sticker.
2. Produce edit reports for the completed SP interview (Comment, DK/Refusal, Other/Specify and SP MEC Physician Report).
3. Check SP's Screener information with AFMS and information on MEC Physician Report and reconcile discrepant information.
4. Using the edit reports perform an edit review of the data for the completed interview. Highlight updates to be made on the appropriate edit report.
5. Write questions directed to the interviewer on the appropriate edit report.
6. Place the date on the yellow sticker indicating that one SP questionnaire has been edited. File the Household Folder with the yellow diskette in the Household level file (Disposition 11) and place all SP documents in the SP level document file. Place the edit reports in the edit review drawer.

7. After discussing the case with the interviewer produce data retrieval screens as necessary and file the data retrieval screens in the data retrieval file by SP examination date. Indicate the need for data retrieval by placing a red dot on the Household Folder.
8. New interviews should be edited as they are added to the diskette using steps 2 through 7. Note each time a interview is added to the diskette a new yellow sticker should be affixed to the yellow disk. Date this new sticker when the interview is edited.
9. After all interviews are completely edited and data retrieval has been made on all SPs, transfer the data on the yellow diskette to a red diskette. Place a yellow dot with a date on the red diskette.
10. Pull the edit reports on all interviews and make the necessary updates to the case using the update notations made previously on the edit reports.
11. Perform all necessary updates to the red diskette. Place an orange sticker on the red diskette, indicating the diskette is ready to be uploaded on the VAX.
12. Upload the red diskette to the VAX. Place a date on the orange sticker indicating the case has been uploaded to the VAX.

7.8 Common Software Procedures Used in the Editing Process

7.8.1 Software Utilities

A software utility is series of software commands designed to enable the user to perform special functions. The following is an outline of those software utilities used to perform specific editing functions in NHANES interviews.

MOVEID #1

One of the primary reasons this utility is used is to assign a new line number to a household member in the CAPI matrix after a case has been finalized . This process is complicated by the fact that line numbers are attached to complete data records and thus it cannot be accomplished by using the standard supervisor functions. The following is an example of a case requiring this type of MOVEID utility:

There are three people listed as members of the household in the CAPI matrix. The person on line #2 has been incorrectly listed as a household member. After approval from NCHS, he has been eliminated from the CAPI matrix using the items on the Supervisors Menu or by using the CTRL/D function on the matrix.

The AOM/QCC must move the household member listed on line #3 to line #2 using the following steps:

1. Restore the case from the red diskette on to the editor's PC
2. Return to the NHANES prompt
3. At the NHANES prompt type: MOVEID
4. Type the case number, the family number and the original line number of the person to be moved (example: 44444440103)
5. Type the case number, the family number and the family membersnew line number (example: 44444440102)

Remember the first line number typed is always the line number to be moved and the second line number typed is always the target.

MOVEID #2

The second primary application of MOVEID is to merge data from two disks to one. This is done when data is corrupted during an interview and a dummy case must be created by the interviewer in order to continue with the interview. It is also done when 2 interviewers are used to interview different SPs in a household. The following is an example of a case requiring this type of utility:

Two interviewers conduct separate interviews simultaneously with the two adult SPs in the household. In order to accomplish this, the first interviewer accesses the actual case on his or her PC and completes SP #1 Adult Interview. The second interviewer creates a dummy case on his or her PC using the Missed Structure/Missed DU procedures and completes an Adult Interview for the other SP in the household. When they return to the office both cases are taken off their machines on disks.

The AOM/QCC must then merge the data on the dummy case on to the data on the original disk, using the following procedure:

1. Restore both diskettes to the editor's PC
2. Use the Update Utility to check that variables in each case have been properly entered.

3. Return to the C prompt and type C:\MOVEID

Type the dummy case number, including the Family number and the line number of the SP.

(example: 76800010102)

Type the original case number, including the Family number and the line number of the SP.

(example: 01234560102)

4. Strike the RETURN key.
5. Dump the merged case on to a clean red diskette.
6. The computer will display a series of functions indicated that it is merging the cases.

In cases like this, remember to be consistent with line numbers on the matrix.

Remember the first number typed is the number to be moved. The second number typed is the target.

SMOKEDIT

This utility allows the editor to access the smoking matrix of a completed Family Interview in order to make updates to variables in this section. It is most often used to add someone to the smoking matrix of a completed Family interview. To add or delete someone from the smoking matrix, execute the following steps:

1. At the NHANES prompt type SMOKEDIT
2. Type the Household ID
3. Follow the instructions as they appear on the screen to add or delete a person to the smoking matrix.

VPAEDIT

This utility is used to add or delete a vitamin, mineral or antacid from a completed household interview. To add or delete an item from this section, execute the following steps:

1. At the NHANES prompt type VPAEDIT
2. Enter the case ID
3. Enter the line number of the SP whose interview is to be changed.
4. Follow the instructions as they appear on the screen to add or delete a vitamin, medication or antacid from this section.

BLODDRIV

This utility is used to reenter information in the Blood Pressure section of a completed Adult Interview. It is primarily used after an interviewer has had technical difficulty with the section and either was not able to enter information or entered information improperly. The interviewer notes the correct information on paper. Subsequently the editor must access the section in order to reenter information. To use this utility, execute the following steps:

1. At the NHANES prompt type: BLODDRIV
2. Enter the case ID number
3. At the Viewpoint Selection Screen select the line number of the correct SP.
4. A screen appears asking if you wish to clean out the blood pressure section. If "Yes" is selected, you are presented with the first question in the section in order to reenter data; if "No" is selected, you are returned to the NHANES prompt.

PRINAUD

This utility is used to execute an audit trail. An audit trail is a record of each key stroke the interviewer made while conducting an interview. One audit trail is created each time an interviewer accesses a case. The AOM/QCC will use the audit trail to understand how an interviewer proceeded through a case when there are problems and to reenter data when original data on the interviewer's laptop has been corrupted.

1. Attach the interviewers PC to the printer. Go to the NHANES prompt on the interviewers PC
2. At the NHANES prompt type: UPDATE
3. Type the case ID
4. At the Variable prompt type: AUDNAME
5. This will generate a list of SURV records for that ID. One SURV record is created each time the case has been accessed.
6. Select the appropriate SURV record either by checking the date the specific interview was completed (the date will appear within the ID numbers on the left side of the screen) or if all interviews were completed on the same day, select all the SURV records.
7. Record the corresponding file name(s). The file name is the value corresponding to the variable named SURV.AUDNAME. It will begin with the letters "AUD".
8. Exit to the NHANES prompt.
9. At the NHANES prompt type: PRINAUD/AUD/"*file name*" (AUDXXXXX.DAT). The audit trail will then be printed.

7.8.2 Software Commands Used to Perform Editing Functions

There are several software commands the AOM/QCC uses in order to perform editing related software activities. The following is a list of these commands and the function each performs. All commands should be typed from the NHANES prompt.

<u>COMMAND</u>	<u>FUNCTION</u>
NHANES>LOOKFLOP	Allows AOM/QCC to view all cases on an individual diskette
NHANES>LOOKLAP	Allows AOM/QCC to view all cases on an individual laptop PC.
NHANES>LIST TRANSJNL.DAT	Allows AOM/QCC to view all the updates that have been made to all cases.
UPLOAD CHECK	In order to perform a quick check to see if a case has been uploaded to the VAX, use the AFMS terminal by typing CAPI at the NHANES prompt, type SHOWVAR. At the ID prompt, type the case ID. At the variable prompt type any variable name contained in the case. If the variable is present the case has been uploaded to the VAX. If the message reads "no records present" the case has not been uploaded.
VIEW STATUS	In order to view the status of all interviews within a case, execute the following steps: <ol style="list-style-type: none">1. Type UPDATE at the \$ prompt.2. Type the ID number of the case.3. At the variable prompt type: INTV.STATUS

7.9 Modem Operation

In order to enable Westat home office programmers to access data on a specific PC when problems arise, the AOM/QCC must know the procedure for operating the modem. The procedure is as follows:

1. Connect the modem to the laptop. (As you face the laptop, the outlet will be on the right side.)
2. Connect the modem to the AC outlet and to the telephone. Be sure the telephone cord is plugged into the socket marked "line " on the modem.
3. Turn the modem on by pushing the toggle switch up.
4. At the NHANES prompt type: `cd\ANYWHERE`
5. At the ANYWHERE prompt type: `AWHOST`
6. When the first menu appears choose "Begin Host Operation" by moving the highlight bar and striking the RETURN key.
7. At the next menu choose "wait for connection" and strike the RETURN key. After the connection is made, the programmer will have access to the data on the PC.

7.10 Additional AOM/QCC Responsibilities

7.10.1 Entering the HAQ Short Form

Towards the end of the stand, the AOM/QCC should check with the Field Manager and the AFMS for those adult SPs who are final nonresponse (those adult SPs who are nonresponse and will not be refiled). Hard copy Short Forms should be pulled for those respondents.

The AOM/QCC should enter the Short Form information by following the steps detailed below.

- _ At the SUPERVISOR ACTIVITIES MENU, select Modify Information (Option #1).
- _ Select Modify Disposition Codes (Option #3).
- _ Select Youth, Adult, or Family Disposition (Option #2).
- _ Enter a Disposition code.
- _ Screen will appear asking if you want to enter Short Form information. Select "yes"
- _ Enter Short Form information on subsequent screens.

7.10.2 Editing of Home Examination Data

Prior to the development of the CAPI system for the Home Examination component, editing of home examination data was done by the Home Examiner and by the MEC Manager. This editing consisted primarily of checking that the appropriate skip pattern was followed, and that the data entered fell within certain acceptable ranges. The CAPI system developed for the home examination component has changed the nature of the editing needed, eliminating the need for skip pattern and range edits, and adding a more formal review of the data by the AOM/QCC. Editing tasks are outlined below.

7.10.2.1 Home Exam Edit Reports.

Two reports must be reviewed for each completed home exam:

_ Other, Specify Report

A few of the questions from the home examination allow the examiner to answer "other" then specify an answer if the answer categories provided for that question are not appropriate. The Quality Control Coordinator should review any instance of use of the "Other, specify" option to verify that the newly specified answer is unique from the answer choices provided. Any questions on the appropriate use of the "other, specify" option should be referred back to the Home Examiner for clarification.

– **Comments Report**

A report of all comments made by the Home Examiner during the course of the examination should be printed as a part of the editing process. Comments should be reviewed by the Quality Control Coordinator. Any questions concerning these comments should, again, be referred back to the Home Examiner for clarification. The Quality Control Coordinator should confer with the Home Examiner before making any changes to the database based on comments made by the Home Examiner during the examination.

The comment reports should be sent to Lisa Hall at the end of each stand.

7.10.2.2 Producing Home Exam Edit Reports

Home exam edit reports should be produced using the same process the editors use to produce edit reports for a completed interview. This process is detailed in Section 7.2.1.

7.10.2.3 Review of the Home Examination Data Form (Appendix E)

The Home Examination Data Form is used by the Home Examiner if it is necessary to take SP measurements away from the proximity of the PC. The Examiner enters these measurements into the PC from the form before continuing with the examination. In the event that the Home Examiner has found it necessary to use this form during the examination, it will be given to the Quality Control Coordinator upon the Examiner's return to the field office. The Quality Control Coordinator will need to verify that the measurement data entered by the Home Examiner into the database is the same as the measurement data written on the data form by looking at specific variables using SHOWVAR/UPDATE process detailed in Section 7.5.1.

Note: The Home Examination Data Form is a two-sided form. Only measurement data found on the front page of the form (body measures, physical function, and cognitive function data) will need to be checked. The information on the back of the form (SP information for spirometry and venipuncture information) is for the Home Examiner's use only.

The Home Examination Data Form should be shredded at the field office after the AOM/QCC has verified that the data has been correctly entered into the database.

CHAPTER 7 APPENDIXES

APPENDIX A

REPORT OF REFUSED/DON'T KNOW RESPONSES

QUESTIONNAIRE: Adult
DATA BASE ID: 12005950101

DATE: 01/12/93 TIME: 20:26:03

SEG/SER: 1200595
SP NO.: 1

FAMILY NUMBER: 01
LINE NUMBER: 1

SEGMENT.VARIABLE	VALUE	LABEL
ADLT.ARTHRTYP	-8 (DK)	AC1C TYPE OF ARTHRITIS

APPENDIX B

REPORT OF OTHER SPECIFY/TEXT ANSWERS

QUESTIONNAIRE: Adult
DATA BASE ID: 12005950102

DATE: 01/12/93 TIME: 20:27:18

SEG/SER: 1200595
SP NO.: 2

FAMILY NUMBER: 01
LINE NUMBER: 2

SEGMENT.VARIABLE	VALUE	
ADLT.ABDCAUOS	INFLAMMATION OF DK	
Variable Label:	AJ8A CAUSE OF ABDOMIN PAIN OTHER SPECIFY	Length: 18
ADLT.WORKWHOM	SELF	
Variable Label:	AS6 NAME OF COMPANY	Length: 4
ADLT.WORKKINDS	BABYSITTING	
Variable Label:	AS8 WHAT KIND OF INDUSTRY WORKED FOR	Length: 11
ADLT.WORKDUTY	SEE THAT MY CHILDREN GET FED AND DON'T GET HU	
Variable Label:	AS10 ACTIVITES AND DUTIES AT JOB	Length: 45
F.WORKDUT2	T. WALK WHEN IT'S PRETTY. MEET THE SCHOOL	
Variable Label:	AS10 MOST IMPORTANT DUTIES	Length: 43
ADLT.WORKDUT3	BUS.	
Variable Label:	AS10 MOST IMPORTANT DUTIES	Length: 4
ADLT.WORKMOOS	THIS JOB--DAY CARE.	
Variable Label:	AS17 OCCUPATION OTHER SPECIFY	Length: 19
ADLT.MOSTINOS	MY OWN BUSINESS	
Variable Label:	AS19A TYPE INDUST WORKD LONGST OTHR SPEC	Length: 15
ADLT.MOSTDUTY	MAKE SURE THE CHILDREN ARE FED AND KEPT OUT O	
Variable Label:	AS20 TYPE DUTIES LONGEST JOB WORKD	Length: 45
ADLT.MOSTDUT2	DANGER. EXERCISE THEM.	
Variable Label:	AS20 MOST IMPORTANT DUTIES	Length: 23
ADLT.BORNST	AL	
Variable Label:	AV12 STATE BORN IN	Length: 2
PMED.PMEDNAOS	01 ESTRACE 2MG	
Variable Label:	AX9YK9 NAME OF PRESCRIPTION MEDICINE	Length: 14

APPENDIX C
REPORT OF OTHER SPECIFY/TEXT ANSWERS

QUESTIONNAIRE: Youth
DATA BASE ID: 12005950104

DATE: 01/12/93

TIME: 20:30:20

SEG/SER: 1200595
SP NO.: 4

FAMILY NUMBER: 01
LINE NUMBER: 4

SEGMENT.VARIABLE	VALUE	
PMED.PMEDNAOS	01 ORTHO	
Variable Label:	AX9YK9 NAME OF PRESCRIPTION MEDICINE	Length: 8
PMED.WHYTAKOS	01 MENSTRUAL--HEAVYFLOW	
Variable Label:	AX11YK11 WHY TAKE MEDICINE OTHER SPECIFY	Length: 23

REPORT OF OTHER SPECIFY/TEXT ANSWERS

QUESTIONNAIRE: Youth
DATA BASE ID: 12005950104

DATE: 01/12/93

TIME: 20:30:27

SEG/SER: 1200595
SP NO.: 4

FAMILY NUMBER: 01
LINE NUMBER: 4

SEGMENT.VARIABLE	VALUE	
PMED.PMEDNAOS	01 ORTHO	
Variable Label:	AX9YK9 NAME OF PRESCRIPTION MEDICINE	Length: 8
PMED.WHYTAKOS	01 MENSTRUAL--HEAVYFLOW	
Variable Label:	AX11YK11 WHY TAKE MEDICINE OTHER SPECIFY	Length: 23

APPENDIX C
REPORT OF OTHER SPECIFY/TEXT ANSWERS

QUESTIONNAIRE: Youth
DATA BASE ID: 12005950104

DATE: 01/12/93

TIME: 20:30:20

SEG/SER: 1200595
SP NO.: 4

FAMILY NUMBER: 01
LINE NUMBER: 4

SEGMENT.VARIABLE	VALUE	
PMED.PMEDNAOS	01 ORTHO	
Variable Label:	AX9YK9 NAME OF PRESCRIPTION MEDICINE	Length: 8
PMED.WHYTAKOS	01 MENSTRUAL--HEAVYFLOW	
Variable Label:	AX11YK11 WHY TAKE MEDICINE OTHER SPECIFY	Length: 23

REPORT OF OTHER SPECIFY/TEXT ANSWERS

QUESTIONNAIRE: Youth
DATA BASE ID: 12005950104

DATE: 01/12/93

TIME: 20:30:27

SEG/SER: 1200595
SP NO.: 4

FAMILY NUMBER: 01
LINE NUMBER: 4

SEGMENT.VARIABLE	VALUE	
PMED.PMEDNAOS	01 ORTHO	
Variable Label:	AX9YK9 NAME OF PRESCRIPTION MEDICINE	Length: 8
PMED.WHYTAKOS	01 MENSTRUAL--HEAVYFLOW	
Variable Label:	AX11YK11 WHY TAKE MEDICINE OTHER SPECIFY	Length: 23

APPENDIX D

Comments for case 1200595:

921130132639001YE1A 01 3 YE WE GOT MISTY AT 2. SHE OUR NEICE--HUSBANDS BROTHER'S CHILD.{YUTH.RHEUMEV 12005950103

921130132723001YE1G 01 3 YE DR.SAIDBRONCHIAL ASTHMA ONETIME.{YUTH.ASTHMEVR 12005950103

921130133833001YH6 01 3 YH WHEN WE FIRST GOTHER WE TOOK HER TO DR EVERY 2 WKSFOR EAR INFECTION. AND HER THROAT WAS IRRITATED. THAT WAS 12 YRS AGO.{YUTH.EARTIMES 12005950103

921130135530001YE14 01 4 YE HAD SPEECH CLASS IN GRAMMAR SCHOOL. KIND OF TONGUE TIED. SLIGHT PROBLEM{YUTH.STUTTER 12005950104

921130140613001AX12YK1201 4 YK SHE USED IT IN 90 FOR 6 MOS. THIS TIME WE GOT IT IN OCT.{PMED.PMEDTAKE 1200595010401

921130141319001FC6 01 1 PC THESE AREMISTY'S BIOL PARENTS.{FMEM.PARNSTRO 12005950103

921201085552001AC1AALT 01 1 AC JUSTIN MY NECT. I FELL ONE TIME IN THE STORE.{ADLT.ARTHREVR 12005950101

921201085655001AC1F 01 1 AC I HAD ACUTE BRONCHITIS ONCE LAST YEAR.{ADLT.BRONCEVR 12005950101

921201085906001AE7 01 1 AE ON THE BORDERLINE.{ADLT.CHOLHIGH 12005950101

921201090045001AF1 01 1 AF I HAD SOME ULCERS BEFORE. MY ESOPHAGUS TUBE WAS INFLAMED.{ADLT.CHSTEVR 12005950101

921201090226001AF14 01 1 AF I HAD A TREADMIL TEST A COUPLE OF YRS AGO, BUT IT WAS NEGATIVE. LEVEL 11 OR NEXT TO HIGHEST LEVEL.{ADLT.LEGPAIN 12005950101

921201091007001AJ6 01 1 AJ MAYBE CAUSED BY TO MUCH CAFFEINE,{ADLT.ABDMOVE 12005950101

921201092620001AP1 01 1 AP I HAVE ONE WEAK EYE. LEFT.{ADLT.BLIND 12005950101

921201100551001AJ3 01 2 AJ SHE SAID 3 WEEKS.{ADLT.ABDLAST 12005950102

921201100756001AJ3 01 2 AJ THAT WAS WHEN I WAS IN THE HOSP LAST DEC. IT HURT EVERY DAY. FOR 3 WEEKS.{ADLT.ABDLAST 12005950102

921201105444001AZA13 01 2 AZ HARD TO HEAR. SP SAYS DR. USUALLY USES LEFT ARM.

Comments for case 1200595:

921130132639001YE1A 01 3 YE WE GOT MISTY AT 2. SHE OUR NEICE--HUSBANDS BROTHER'S CHILD.{YUTH.RHEUMEV 12005950103

921130132723001YE1G 01 3 YE DR.SAIDBRONCHIAL ASTHMA ONETIME.{YUTH.ASTHMEVR 12005950103

921130133833001YH6 01 3 YH WHEN WE FIRST GOTHER WE TOOK HER TO DR EVERY 2 WKSFOR EAR INFECTION. AND HER THROAT WAS IRRITATED. THAT WAS 12 YRS AGO.{YUTH.EARTIMES 12005950103

APPENDIX E

HOME EXAMINATION DATA FORM

Body Measures (Section A)

- A1. Weight: ____ . ____ (kg) Comment: ____
- A2. Standing Height: ____ . ____ (cm) Comment: ____
- A5. Triceps Skinfold: ____ (mm) Comment: ____
- A6. Mid-arm Circumference: ____ . ____ (cm) Comment: ____

Physical Function (Section C)

- C7b. Use of arms to scoot forward ___ Yes ___ No ___ Unable to move
- c. Ability to stand ___ Yes, without arms, no assistance
___ Yes, with arms for pushing off
___ Unable ___ Refused
- C8a. Time to complete 5 stands ____ . ____ seconds Chair Height: ____ . ____
- C9. Hipflex and Knee Flexion:
Right: ___ Fully ___ Partially ___ Unable ___ Refused
Left: ___ Fully ___ Partially ___ Unable ___ Refused
- C10. Tandem Stand:
Are you able to stand by yourself and balance without holding onto anything?
___ Yes ___ No Number of seconds tandem stand held ____ . ____
- C11. Measured Walk
Trial A: ____ . ____ (seconds) Steps: _____
Trial B: ____ . ____ (seconds) Steps: _____

Cognitive Function Test (Sections D and F)

I'm going to read you a short story and when I'm through I'm going to wait a few seconds and then ask you to tell me as much as you can remember. The story is (slowly):

Three children were alone at home and the house caught on fire. A brave fireman managed to climb in a back window and carry them to safety. Aside from minor cuts and bruises, all were well.

1. THREE CHILDREN
2. HOUSE ON FIRE
3. FIREMAN CLIMBED IN
4. CHILDREN RESCUED
5. MINOR INJURIES
6. EVERYONE WELL

Trial A: _____

Trial B: _____

SP Information for Spirometry

SP ID Number: _____ Original SP ID # _____ Age: _____
Height: _____ cm. Sex: _____ Race: _____ Hispanic Origin: _____
Temp: _____ °C Barometric Pressure: _____ Smoked Cigarette?: _____
URI?: _____ Heavy Meal?: _____ # Tech Blows: _____ # SP Blows: _____

Venipuncture (Section K)

- K1. Hemophilia? _____
- K2. Chemotherapy? _____
- K3. Current time _____
- K4. Last ate? _____
- K5. Anything to drink? _____
- K6. Time last drank? _____
- K7. Results of Venipuncture? _____ Complete Time: _____
_____ Incomplete Code: _____

Comment Codes for Body Measures:

- 02 SP was crying/fighting/upset/uncooperative
- 03 Not done because of rash or other skin irritation/dermatosis
- 04 "Tight skin" (could not separate subcutaneous fat from underlying muscle)
- 06 SP visibly edematous
- 07 Skinfold too large for calipers
- 08 Too many folds of fat -- unable to reliably identify site
- 09 Cast at side -- describe
- 10 Equipment malfunction
- 12 SP unable to stand/sit straight (due to Dowager's hump, scoliosis, etc.)
- 13 Exam Aborted (e.g., SP too tired and hungry, etc.)

Comment Codes for Venipuncture:

- 01 SP refusal
- 02 SP ill/faints
- 03 SP in prone position
- 04 Multistick required
- 05 SP uncontrollable
- 06 Veins not palpable
- 07 Condition of veins
- 08 Medical exclusion
- 09 Glove deterrent
- 10 Problems with needle
- 11 Problems with vacutainer
- 12 Other reasons

8. CLOSING A STAND USING CAPI

8.1 Reconciling Stand Records and Statistics Using Adjudication Reports

It is very important that all records and statistics agree before the field office closes. Reconciling inconsistencies between hard copy documents and the data files from AFMS and CAPI before packing and shipping is one of the primary responsibilities of the Field Office. The detailed description of the reconciliation process between AFMS and the hard copy documents is in Chapter 8 of the AFMS Field Operations Manual. This section describes the additional reconciliation process that must take place with the institution of CAPI.

8.1.1 Adjudication Reports -- Overview

The CAPI system contains survey data that must be reconciled with the AFMS and remaining hard copy documents.

Specifically, the data entered into CAPI that must be reconciled with the data in AFMS and hard copy are as follows:

- Screener disposition codes for all eligible and non-eligible households.
- Specific household and SP level Screener information (household address, family number, household composition information, SP race, ethnicity, military status, birthday, age, sex, and SP number, NCHS number and letter).
- Specific questionnaire information -- Education and education completed (questions A-7 and A-8 from the Family Questionnaire).
- Disposition codes for all finalized questionnaires.

Initially it is the AOM/QCC's responsibility to make consistency checks between data entered into CAPI and data entered on hard copy Screeners and AFMS. The adjudication reports will display those inconsistencies that remain after the editing process.

8.1.2 Tasks to Accomplish Before Printing Adjudication Reports

Discrepancies in information between hard copy, AFMS and CAPI should be reconciled on an ongoing basis. The adjudication reports should be produced each week starting approximately two weeks after the stand begins.

In order to avoid unnecessary reconciliation problems before adjudication reports are printed, all finalized cases should be entered into AFMS and uploaded to the CAPI database. More specifically, before reports are produced the following tasks should be completed.

- _ All finalized Screener codes are entered into CAPI and AFMS.
- _ All finalized Screeners are uploaded to the CAPI database.
- _ All relevant SP information is entered into the AFMS.
- _ All CAPI data for completed cases is uploaded to the VAX.
- _ All MEC corrections forms should be updated to CAPI and AFMS.

8.1.3 Content of Adjudication Reports

The reports compare information on the AFMS database with information on the CAPI database, that is, information that has been uploaded to the CAPI database via the VAX. Three separate reports are generated each time the adjudication process is executed. Each report has several pages. This section describes each page of each report and when it should be used. It also outlines some potential sources of error to look for when examining the pages and suggests some possible reconciliation procedures. Use Appendix A, B, and C when reviewing this section.

- A. Dwelling Unit Level Adjudication Reports (See Appendix A).** These reports specify discrepant information at the dwelling unit level.

Page 1 - Matched by Segment/Serial Number -- Addresses Found Only in AFMS.

Description:

This is a list of those sampled household addresses that appear only in the AFMS system.

When to Reconcile:

After most of the CAPI cases have been uploaded to the database via VAX -- towards the end of a stand.

Sources of Error:

The CAPI case has not been finalized. Keep in mind that all released addresses in the sample are entered into the AFMS system at the beginning of a stand, however, in order for a sampled address to appear in CAPI, the case associated with the address must be finalized and then transferred to the CAPI data base using uploading procedures. When page 1 of the report is run initially, at the beginning of the MEC examination period, very few cases are finalized and uploaded to the CAPI database, therefore, the report will show many addresses that only appear entered in the AFMS system.

A case has failed to be uploaded to the CAPI database via the VAX or the upload process did not work correctly. Toward the end of the stand this page becomes more useful in identifying cases that have been finalized but not uploaded to the CAPI database through oversight or an error in the uploading process. This situation should be reconciled as soon as the cases are identified.

Replicates have been completed. Note that replicate numbers will routinely appear on this list because replicate numbers are not entered in CAPI.

Reconciliation Process:

Check the status of the case. If the case is finalized, check the CAPI database for the case. If the case does not appear on the database, upload the case (refer to Section ___ for upload instructions).

If the case red disk indicates the case was uploaded, check the upload program to see that it is working correctly.

Page 2 - Matched by Segment/Serial Number - Addresses Found Only in CAPI.

Description:

This is a list of those sampled household addresses that only appear in the CAPI database. Often this report is blank because addresses are entered into the AFMS before they are entered into CAPI. Addresses do not appear in the CAPI database until they are uploaded.

When to Reconcile:

Immediately

Sources of Error:

Occasionally a test case is created in CAPI and inadvertently placed in the CAPI database. It will therefore appear in CAPI while not appearing in the AFMS. A programmer from the Westat home office will remove this case from the database when notified.

Cases from previous stands have been uploaded to the CAPI database. This happens when the recycled red disks used at each stand are not cleaned at the home office. In this instance, cases from previous stands as well as the current case will be uploaded from the red disk to the VAX.

Screener information has been erroneously entered from screen out cases. Occasionally an interviewer will mistakenly enter addresses and matrix information for cases that contain no SPs. When the "10" is uploaded to the VAX, the address of the household will appear on the CAPI database.

Reconciliation Process:

Notify personnel at Westat home office.

Page 3 - Matched by Address - Discrepancies in Addresses between AFMS and CAPI.

Description:

When a household address varies between AFMS and CAPI this report will display both the AFMS and CAPI addresses for adjudication.

When to Reconcile:

Immediately

Note that initially household addresses in both systems are identical because they have been loaded into both systems from the same data source.

Determining which address on this list is correct and reconciling the situation can be a lengthy process. Therefore all addresses on this report should be reconciled before the next set of reports are produced in order to avoid a lengthy adjudication process at the end of the stand.

Sources of Error:

Address has been changed on the Modify Screener Address Screen in the AFMS system without being changed in CAPI.

Address has been updated using the CAPI interview without notifying the office of the correction. As a result the change is not recorded in the AFMS.

Reconciliation Process:

Check the hard copy Screener and the MEC reports in order to determine the correct address.

Page 4 - Matched by Disposition

Description:

Discrepancies in Screener disposition. This report will print Screener disposition discrepancies between those cases entered in AFMS and those cases that have been uploaded to the CAPI database

When to Reconcile:

Immediately

Sources of Error:

Screener disposition has not been entered in CAPI Occasionally Screener information for ineligibles (10's) is uploaded to the CAPI database without a Screener disposition because the interviewer has neglected to enter the disposition in CAPI.

A Screener disposition (10-20, 30, 31, 32) varies between systems. For example, an interviewer may enter a disposition "10" in CAPI. The disposition is subsequently changed from a "10" to a "12" and is not updated in one of the systems. Dispositions between CAPI and AFMS therefore will appear discrepant. This is a common problem and should be reconciled immediately.

Program Error. Since there is more than one place the disposition appears in CAPI, dispositions can vary within a household and the adjudication report can display an incorrect disposition pulled from one of these places. The Editor should look at both the "Base" disposition variable and the "Screener level" disposition variable to see if these two dispositions match.

Reconciliation Process:

Check hard copy screening information.

Check for a disposition entry in CAPI by looking at previous AFMS and CAPI conference reports. These reports present a history of disposition codes. By comparing the reports one can usually determine which disposition needs to be changed (usually AFMS).

Talk to Field Manager about disposition.

- B. Family Level Adjudication (See Appendix B).** These reports identify discrepancies in disposition of Family Questionnaires and family numbers between CAPI and AFMS. The first two pages of this report compare the assignment of family numbers in both systems. The last page compares the Family Questionnaire disposition codes in both systems. This report only compares cases that have been entered in the AFMS system with cases that have been uploaded to the CAPI database.

Page 1 - Matched by Segment/Serial - Family Numbers found only in AFMS.

Description:

In order to produce this page the adjudication program matches household family numbers in the AFMS as they are identified on the Schedule and Identify Screen with those household family numbers in CAPI cases that have been uploaded to the CAPI database.

When to Reconcile:

This type of error should be reconciled as soon as it appears on the report.

Sources of Error:

An error has been made in the identification of families within the household. There are a variety of circumstances that can lead to this error. As an example, occasionally an interviewer will identify 2 or more families when making an appointment but identify all household members under family #1 in the CAPI interview.

Another common mistake occurs in a multi-family household when an SP is mistakenly assigned to the wrong family.

Reconciliation Process:

Check the conference reports.

Check hard copy Screener information.

Usually the correct information appears in the AFMS and information in CAPI needs to be updated.

Talk to Field Manager about number of families in household.

Caution: Changing or adding family numbers in CAPI usually requires a process called "MOVE ID" see the Quality Control Coordinator before you make any changes of this nature.

Page 2 - Matched by Segment/Serial - Family Number Found Only in CAPI

Description:

Family numbers found only in CAPI. This is a list of family numbers that appear in the CAPI database but do not appear in the AFMS.

When to Reconcile:

This type of error should be dealt with as soon as it appears on the report.

Sources of Error:

An error has been made in the family identification process As explained previously, occasionally an interviewer or an office staff member will assign an incorrect family number to a case either in the CAPI interview or the AFMS.

Reconciliation Process:

Check hard copy Screener information.

Talk to interviewer or Field Manager about the number of families in household.

Page 3 - Discrepancies in disposition codes for the Family Questionnaire.

Description:

This report will display both the AFMS and CAPI Family interview disposition codes for cases that have been entered into AFMS and CAPI when that code varies between the two systems. A disposition code for each questionnaire must be entered in AFMS and CAPI. All disposition codes for the Family Questionnaire are key entered in the AFMS by a member of the office staff. CAPI automatically stamps F1 dispositions, however, if the interview is finalized as nonresponse, the disposition code must be key entered in CAPI by the Field Manager or AOM/QCC. Entry error or omissions associated with this process sometimes leads to discrepancies between the Family Questionnaire disposition codes in AFMS and CAPI.

When to Reconcile:

Errors of this nature should be reconciled as soon as they appear on this page of the report.

Sources of Error:

There is confusion about which code applies. Occasionally there is confusion between a code F6 (Eligible Adult Unavailable During the Field Period), code F7 (Illness) and code F8 (Other).

A key entry error has been made when entering the code.

No disposition code has been entered in CAPI.

Reconciliation Process:

Check the Conference Report for a history of disposition codes.

Check the hard copy Screener and Household Folder for the correct disposition code.

Check with the Field Manager concerning the appropriate code.

- C. SP/Person Level Adjudication Reports (See Appendix C).** This report lists discrepancies at the SP level for those cases that have been entered in the AFMS on the Schedule and Identify screen with those case that have been uploaded into the CAPI database.

Page 1 - SP numbers found only in AFMS.

Description:

This is a list of those SP numbers that only appear in the AFMS.

When to Reconcile:

After most cases have been uploaded to the VAX.

Sources of Error:

An error has been made in the identification of SPs within a household There are a variety of circumstances that can lead to this kind of error. Most often this involves a key entry error (i.e., the same SP number is assigned to both SPs in the household).

Reconciliation Process:

Check hard copy Screener and Household Folder for the appropriate number of SPs in household.

Check with interviewer or Field Manger about the correct number of SPs in the household.

Check the CAPI Matrix for key entry errors on the Matrix.

Check the Conference Reports.

Check the CAPI database under the variable name; SP NUM. This should display a list of the households' SPs in CAPI ordered by SP number.

Database (SP Number)

Page 2 - SP numbers found only in CAPI.

Description:

This is a list of SP numbers that appear in CAPI but do not appear in the AFMS.

When to Reconcile:

This type of error should be reconciled as soon as it appears on a report.

Sources of Error:

An error has been made in the SP identification process. As explained previously, occasionally an interviewer or office staff member will assign an incorrect SP number to a case either in the CAPI interview or the AFMS.

Reconciliation Process:

Database Variable (SP number)

Check hard copy Screener and Household Folder for the appropriate number of SPs in household.

Check with the Field Manger about the correct number of SPs in the household.

Check the CAPI Matrix for key entry errors on the Matrix.

Check the CAPI database under the variable name; SP NUM. This should display a list of the households' SPs in CAPI ordered by SP number.

Page 3 - Discrepancies found between SP information entered in AFMS and CAPI/Match on SP Level Variables.

Description:

This adjudication program compares selected SP information on those households that have been entered into AFMS and uploaded to the CAPI database. Discrepant information is then designated by an "*". Information on this page is pulled from a variety of sources in each system.

All of the information appearing under the heading "AFMS RECORD" is accessed from the Schedule and Identify screen. The first 15 categories appearing under the heading of "CHESHIRE RECORD" are accessed from information the interviewer has entered in the Screener Matrix. The last 2 categories under this heading (EDUC-A7) and EDUC COMPL-A8) are from answers given in the Family Interview.

When to Reconcile:

Immediately

Sources of Error:

There have been changes in Screener information between the time information was entered in the Schedule and Identify Screen and the time information was entered into the CAPI Screener matrix or the CAPI Family Questionnaire.

There are entry errors on the Schedule and Identify screen, on the CAPI Screener matrix or in the CAPI Family Questionnaire.

There have been errors made in the identification of SPs or Families.

Reconciliation Process:

Screener Information -- Check information on the hard copy Screener against information entered in CAPI and in AFMS. Discuss discrepancies with interviewer.

NCHS NO and NCHS LETTER -- the AFMS generates NCHS numbers and, therefore, should be used as the source of correct information.

EDUC-A7 and EDUC COMPL-A8 -- The information entered in the CAPI questionnaire should be used as the source of correct data.

SP DISP -- All three data sources (AFMS, CAPI and hard copy Screener) should be checked to determine source of correct data.

8.1.4 Printing Adjudication Reports

The instructions for running adjudication reports are as follows:

- _ Use a terminal connected to the VAX.
- _ At username prompt type CAPI.
- _ Enter Password.
- _ At initials prompt type your initials.
- _ At \$ prompt type "Adjudicate".

8.1.5 The Reconciliation Process

When discrepancies are found and data must be changed in order to adjudicate the two systems remember:

- Find the primary source for each data item before you make a change. The priority for adjudication is to first adjudicate at the DU level then the family level and finally the person level. Changes made at the DU level may alleviate adjudication problems at the family and SP level.
- When considering whether to make corrections to the AFMS or CAPI remember that values that would have been updated using the hard copy interview would also be updated using CAPI. For example the most reliable source of education information is the family questionnaire. Therefore, if there is a discrepancy between the AFMS and CAPI on education information, the CAPI interview should be regarded as the most reliable source of this kind of information and the AFMS should be updated.

8.2 Additional End-of-Stand Procedures

With the advent of CAPI, most end of stand procedures will remain the same. This section will document the exceptions.

8.2.1 Running the Editor's Transaction File

The editor's transaction file contains a record of all the editing performed during the stand. At the end of the stand this file must be copied on a 3½ inch diskette and sent to Westat.

In order to copy the file proceed through the following steps:

- Place the 3½ inch diskette in Drive A
- At the NHANES prompt type COPY TRANSJNL.DATA (space) a:
<return>
- Label the diskette "Editor's Transaction File" and send the diskette in the Westat end-of-stand shipment.

8.2.2 CAPI Flat File and End-of-Stand Tapes

At the end of the stand, in addition to the AFMS backup tapes, two CAPI tapes must be produced:

– CAPI Flat File Tapes (3)

After having uploaded the final case to the VAX, go to the VAX and proceed through the following steps:

- At USERNAME: type CAPI.
- Enter the PASSWORD.
- At INITIALS: enter your initials.
- At the \$ prompt, type DBFLAT and wait until the program finishes and you are returned to the \$ prompt. This takes about five minutes.
- At the \$ prompt, type ENDFLAT, you will be prompted to place a cartridge in the disk drive. The program will proceed when you type ENTER. It takes about 10 minutes to complete. This backup tape should be placed in the NCHS bin. To make a second and third copy for WESTAT and for the Field Office, simply place a new cartridge in the disk drive and type ENDFLAT again. Label each of the 3 tapes with the date, the stand location, the stand number, and the words "End of Stand CAPI flat files."

– CAPI End-of-Stand Tape (1)

- At the \$ prompt, type ENDSTAND and you will be prompted to place a backup cartridge in the disk drive. It will begin when you press ENTER. This process takes about 50-70 minutes. After it has completed, send this cartridge to WESTAT. Label this tape with the date, the stand location, the stand number, and the words "CAPI Endstand Backup."

8.3 End-of-Stand Shipments -- Additions and Changes

There are several additions and changes to the end-of-stand shipment procedure due to the institution of CAPI.

1. Shipment to RTP will be limited to the following items:

- _ End-of-Stand Dump.
- _ Control Cards for cross stand work.
- _ A copy of the stand AFMS tape.

Send these items to the attention of Pat Hagwood.

2. Shipments to NCHS Survey Operations Branch remain the same with the following additions:

- _ Screeners 10s, 11s, 12s, 13s, 14s-20s, 30s-31s and 32s.
- _ Household Folders with Screener disposition 10, 11, 12, 13, 14-20, 30-31 and 32.
- _ A copy of the CAPI flatfile tape.

Send these items to the attention of Mary Colbert. In addition, FAX a hand-written copy of the final End-of-Stand figures to Carolyn Petty Martin and a Broken Appointment Report to Paula Wallace.

3. Shipments to Westat will remain the same with the following additions:

- _ All yellow, red, and orange diskettes containing incomplete/ineligible screening information should be sent to Len Miller at Westat for recycling. Label this packet "Immediate Recycle".
- _ All red and orange diskettes containing completed screening and household interview information should be sent to Kay Sigle. Label this package "Completed Disks for Stand _____."
- _ All #1 backup diskettes from interviewers working at the stand.
- _ A copy of the CAPI Flatfile Tape.
- _ The CAPI End-of-Stand Tape.
- _ The CAPI back-up tape for the last day of the stand.
- _ A copy of the Editor's Transaction File.

4. The following items should be packed in the MEC for transport to the next stand:
 - _ Extra "hot spare" laptop.
 - _ A complete set of all necessary systems disks. (See Chapter 3)
 - _ Extra blank yellow and red diskettes.
 - _ All major pieces of CAPI computer equipment.

8.4 End-of-Stand Reports

The field office is responsible for producing the following reports at the end of the stand:

1. Response Rate Totals by Male/Female and Age
2. Response Rate Totals by Race
3. Daily Appointment Totals
4. Master List - 3 copies
5. Home Exam Response Rate Totals
6. End of Stand Dump
7. Final Stop Rule Report
8. Final Adjudication Report
9. Validation Reports

The reports should continue to be sent to Mary Colbert at NCHS and to Westat.

CHAPTER 8 APPENDIXES

Date: 10- 7-92

APPENDIX A

DWELLING UNIT ADJUDICATION - MATCH ON SEG/SER
Discrepancies in SEG/SER found are as follows:

Found only in AFMS

SEGSER	ADDRESS
0200899	516 N EUCLID AVE SIOUX FALLS SD 57104
1001071	3409 W 51ST ST APT 425 SIOUX FALLS SD 57106
1001084	3409 W 51ST ST APT 431 SIOUX FALLS SD 57106
1001107	3409 W 51ST ST APT 434 SIOUX FALLS SD 57106
1001123	3401 W 51ST ST APT 511 SIOUX FALLS SD 57106
1001136	3401 W 51ST ST APT 513 SIOUX FALLS SD 57106
1001149	3401 W 51ST ST APT 515 SIOUX FALLS SD 57106
1001152	3401 W 51ST ST APT 516 SIOUX FALLS SD 57106
1001165	3401 W 51ST ST APT 518 SIOUX FALLS SD 57106
1200681	6200 W 43RD ST APT 906 SIOUX FALLS SD 57106
1200694	6200 W 43RD ST APT 901 SIOUX FALLS SD 57106
1200717	6200 W 43RD ST APT 803 SIOUX FALLS SD 57106
1200720	6200 W 43RD ST APT 605 SIOUX FALLS SD 57106
1200733	6200 W 43RD ST APT 504 SIOUX FALLS SD 57106
1200746	6200 W 43RD ST APT 501 SIOUX FALLS SD 57106
1600919	601 E 28TH ST SIOUX FALLS SD 57105

Date: 10- 7-92

DWELLING UNIT ADJUDICATION - MATCH ON SEG/SER

Found only in Cheshire

SEGSER

ADDRESS

0299998 512 N EUCLID AVE. SIOUX FALLS SD 57104

Date: 10- 7-92

DWELLING UNIT ADJUDICATION - MATCH ON ADDRESS

Discrepancies in Addresses found are as follows:
Listed in SEG/SER order

AFMS Record:	0100973	724 E.MAPLE ST	SIOUX FALLS	SD 57104
Cheshire Record:	0100973	724 EAST MAPLE STREET	SIOUX FALLS	SD 57104
AFMS Record:	0200886	512 N EUCLID AVE	SIOUX FALLS	SD 57104
Cheshire Record:	0200886	512 N EUCLID AVE.	SIOUX FALLS	SD 57104
AFMS Record:	0350000	724 N. FRENCH AVE.BASEMENT	SIOUX FALLS	SD 57103
Cheshire Record:	0350000	724 N FRENCH AVE BASEMENT	SIOUX FALLS	SD 57103
AFMS Record:	0901350	5600 W 14TH ST	SIOUX FALLS	SD 57106
Cheshire Record:	0901350	5600 W 14TH STREET	SIOUX FALLS	SD 57106

Date: 10- 7-92

DWELLING UNIT ADJUDICATION - MATCH ON DISPOSITION

AFMS Record:	1900842	1	10	2905 S 1ST AVE	SIOUX FALLS SD 57105
Cheshire Record:	1900842	-1		2905 S 1ST AVE	SIOUX FALLS SD 57105
AFMS Record:	1900855	1	10	2907 S 1ST AVE	SIOUX FALLS SD 57105
Cheshire Record:	1900855	-1		2907 S 1ST AVE	SIOUX FALLS SD 57105
AFMS Record:	1900868	1	10	2909 S 1ST AVE	SIOUX FALLS SD 57105
Cheshire Record:	1900868	-1		2909 S 1ST AVE	SIOUX FALLS SD 57105
AFMS Record:	1900871	1	10	2911 S 1ST AVE	SIOUX FALLS SD 57105
Cheshire Record:	1900871	-1		2911 S 1ST AVE	SIOUX FALLS SD 57105

Date: 10- 7-92

APPENDIX B

FAMILY NUMBER ADJUDICATION - MATCH ON SEG/SER

Family number discrepancies found are as follows:

Found only in AFMS

SEGSER FMNO DISP
0101192 01 F2
0101202 01 F1
0200899 01 F1
0201076 01 F1
0201092 01 F2
1001071 01 F6
1001084 01 F1
1200694 01
1200717 01 F1
1600919 01 F2
7699999 01
7799999 01

Date: 10- 7-92

FAMILY NUMBER ADJUDICATION - MATCH ON SEG/SER

Found only in Cheshire

SEGSER FMNO DISP
0101215 02 -1
0299998 01 F1

Date: 10- 7-92

FAMILY ADJUDICATION - MATCH ON CASE DISPOSITION

Discrepancies in Dispositions found are as follows:
Listed in SEG/SER order

AFMS Record:	0100999	01	F6
Cheshire Record:	0100999	01	F7
AFMS Record:	0101215	01	F1
Cheshire Record:	0101215	01	0
AFMS Record:	1200704	02	
Cheshire Record:	1200704	02	F6
AFMS Record:	1400795	01	F6
Cheshire Record:	1400795	01	F7
AFMS Record:	1400805	01	F2
Cheshire Record:	1400805	01	-1

APPENDIX C

Date: 10- 7-92

SP NUMBER ADJUDICATION

Found only in AFMS

SEGSER	FMNO	SPNO	NCHS	LAST NAME	AGE
1600870	01	02	1560832	POHLMAN	6
1600919	01	01	1561197		45
1600922	01	02	1561979	GREBIN	9
1900813	01	01	1562223	MEADE	42

Date: 10- 7-92

SP NUMBER ADJUDICATION

Found only in Cheshire

SEGSER	FMNO	SPNO	NCHS	LAST NAME	AGE
0101215	02	01	-1	DOE	27
0200844	01	04	1560913	LYNCH	13
0200886	01	04	1562142	DEMPSTER	12
0200886	01	05	1562115	DEMPSTER	8
0200912	01	04	1560883	THOMAS	19
0299998	01	01	-1	DEMPSTER	43
0299998	01	04	-1	DEMPSTER	12
0299998	01	05	-1	DEMPSTER	8
0300744	01	04	1562126	MOUSSEAU	3
0350000	01	05	1562177	HOGAN	7
0350000	01	06	1562185	HOGAN	3
0800969	01	04	1561049	ONTJES	23
0800998	01	04	1561073	CHRISTMAN	0
1100626	01	04	1561391	ESSEN	8
1100642	01	05	1561545	HUSMANN	3
1300840	01	04	1561103	KNOFLICEK	6
1300879	01	04	-1	WERMERS	11
1400782	01	04	1560956	SOWELL	7
1600870	01	04	1560840	POHLMAN	3
1600922	01	04	1561987	GREBIN	7
1900813	01	04	1562258	MEADE	5

Date: 10- 7-92

PERSON LEVEL ADJUDICATION - MATCH ON SP LEVEL VARIABLES

Discrepancies found are as follows:
Listed in SEG/SER/FAMILY/SP order

	AFMS RECORD -----		CHESHIRE RECORD -----
SEGMENT	01		01
SERIAL	01215		01215
FAMILY	01		01
SP NO	01		01
NCHS NO	1560808		1560808
NCHS LETTER	M		M
LAST NAME	SMITH		SMITH
FIRST NAME	JOHN		JOHN
BIRTHDATE	01\01\55		01\01\55
AGE	37		37
AGEUNIT	Y		Y
RACE	1		1
ETHNICITY	3		3
SEX	M		1
SP DISP	S2		S2
* EDUC-A7			12
* EDUC COMPL-A8			1

	AFMS RECORD -----		CHESHIRE RECORD -----
SEGMENT	01		01
SERIAL	01215		01215
FAMILY	01		01
SP NO	02		02
NCHS NO	1560816		1560816
NCHS LETTER	M		M
LAST NAME	SMITH		SMITH
FIRST NAME	MARY		MARY
BIRTHDATE	02\22\57		02\22\57
AGE	35		35
AGEUNIT	Y		Y
RACE	1		1
ETHNICITY	3		3
SEX	F		2
SP DISP	S3		S3
* EDUC-A7			12
* EDUC COMPL-A8			1

	AFMS RECORD -----		CHESHIRE RECORD -----
SEGMENT	02		02
SERIAL	00886		00886
FAMILY	01		01
SP NO	01		01
NCHS NO	1562134		1562134
NCHS LETTER	S		S
* LAST NAME	DENSTER		DEMPSTER

9. SUPPORT TO HOME EXAMS

A. Materials Needed In Order to Process Home Exam Cases:

- Household Folder,
- Household Diskette,
- Control Card,
- SP Card,
- orange diskette,
- Home Examiner's Laptop.

B. Field Office Processing of Home Exam Cases

1. Regular Home Exams

- a. Finalized Cases (Red Diskette) - Home exams can only be conducted from the Home Examiner's 286 model laptop. The Home Examiner uses a unique Home Exam Menu from this laptop in order to conduct the interview. To conduct the home exam interview for a specific SP, the corresponding household disk (yellow, red) must be loaded onto the Home Examiner's laptop.

- 1) Specific Steps in Home Exam Case Processing of Finalized Cases (red diskette).

- All NCHS numbers for each SP to be examined in the household must be entered into CAPI before the case is assigned to the Home Examiner. The Home Examiner will need this information in order to access the SP's home examination interview.
- When assigning a Home Exam for a household in which all interviews have been finalized, the OM loads the active version of the case onto the Home Examiner's laptop. Load the case from the red diskette onto the Home Examiner's laptop using the following procedure:
 - Turn on the Home Examiner's laptop. Verify the date and time of day by pressing the enter key when the date and time fields appear.
 - Enter your initials and the supervisor's password.
 - Select the Home Examiner's Menu by entering "no" at the supervisors menu selection prompt. The Home Exam Menu will then appear.
 - Select Home Exam Preparation (option #5).
 - Enter the 7-digit ID number of the case to be assigned to the Home Examiner.
 - Insert the diskette with the Case ID and strike any key when ready.

- At the prompt, remove the diskette and strike any key when ready.
 - At the Viewpoint Selection Screen, select the line number of the SP receiving the home exam.
 - A screen will appear asking whether this case is a replicate. Enter "no" code "2".
 - The Viewpoint Selection Screen will again appear. If there is more than one SP to be examined in the household, enter the line number of the second person. The Replicate Screen will then reappear.
 - The Viewpoint and Replicate Screen will continue to appear until all SPs to be examined in the household have been selected.
- To check that the case has been properly assigned to the Home Examiner proceed as follows:
- Return to the Home Examiner's Main Menu by pressing the return key at each screen presented.
 - Select CAPI Home Exam (option #1).
 - Select Review Cases (option #2).

- All SPs assigned to the Home Examiner ordered by the seg/serial number of their respective households should appear on the screen.
 - Press return at all screens presented to exit the menu back to the NHANES prompt.
- Give the Home Examiner the Household Folder, the SP card, and the Control Card to review in the office. The Home Examiner has the capability of accessing the SP's weight and insulin usage from the CAPI interview by using the Home Examiner's Menu program installed on her machine.
 - Label a blank orange diskette with the case segment/serial number and place an "A" on the label indicating you have restored the active version (red diskette) of the case onto the Home Examiner's laptop.
 - The Home Examiner will take the SP card and the Control Card with her to the field. The Household Folder along with the red and orange diskettes should stay in the office in the household level file until the Home Examiner returns.
 - When the Home Examiner returns to the office, download the case containing the completed home exam from her laptop to the blank orange diskette using the following procedure:
 - Turn on Home Examiner's laptop and access the Supervisor Activity Menu by entering the supervisor password and a "yes" at the supervisor menu selection prompt.
 - At the Supervisor Menu select Transfer Cases (option #4)
 - Select Dump One Case to Diskette (option #1)
 - Select Final Diskette (Removes from PC) (option #3).
 - File the Household Folder, the orange diskette and red diskette in the Priority Edit drawer.
 - After the home exam has been edited, upload the orange diskette containing the finalized case and the completed home exam to the VAX using standard upload procedures accessed through the Supervisor Activity Menu.
 - If the home exam has not been completed for any reason, dump the case to the blank orange diskette and file the disk in the recycle drawer. At this point the Field Manager will decide what further action must be taken.
- b. Interim Cases - Yellow Diskettes. When assigning a case for a household in which all SP interviews are not finalized, the OM restores the yellow disk onto the Home Examiner's machine. As a consequence, the Home Examiner does not have the active version of the case. The active version of the case remains with the interviewer in the field.

- 1) Interim cases should be restored to the Home Examiner's machine using steps described previously in Section B.1.a.1), page 9-1 and 9-2.
- 2) After loading the case onto the Home Examiner's laptop, label a blank orange disk with the seg/serial number and place an "I" on the label indicating an interim case has been restored to the Home Examiner's laptop.
- 3) When the Home Examiner returns to the office, download the case to the orange diskette using the Supervisor Activity Menu. These procedures are described in Section B.1.a.1), page 9-3.
- 4) File the Interim Folder, the yellow diskette, and the orange diskette in the Priority Edit drawer.
- 5) Both the orange and the red diskette (when it is produced) must be uploaded to the VAX using the following procedure:
 - Upload the orange diskette first to the VAX. Remember the orange diskette contains the completed home exam interview but does not contain finalized SP interviews for the household.
 - Upload the red diskette to the VAX. The red diskette contains finalized SP interviews but does not contain the completed home exam.
 - If the orange diskette is uploaded after the red diskette incomplete interview data will be uploaded to the VAX.

2. Replicate Home Exams

Use the following procedures when assigning and processing replicate home exams.

- a. Access the Home Exam Menu from the home examiner's laptop. Use the following steps to proceed through the Menu.
 - At the Home Examiner's Menu select Home Exam Preparation (option #5)
 - Enter the original 7-digit case ID number.
 - Insert the red diskette with the Case ID and strike any key when ready.
 - Remove the red diskette and strike any key when ready.
 - At the Viewpoint Selection Screen, select the line number of the SP receiving the home exam.
 - At the Replicate Screen, select "yes" code "1".
 - Enter the replicate case number

- The Viewpoint Selection Screen will again appear. If there is more than one SP to be examined in the household, enter the line number of the second person. The Replicate Screen will then reappear.
 - The Viewpoint and Replicate Screen will continue to appear until all SPs to be examined as replicates in the household have been selected.
 - When the process is completed, press the return key at each screen presented to exit.
- b. Label a blank orange diskette with both original and replicate seg/serial numbers and NCHS numbers. Place in the household level file.
- c. When the Home Examiner returns, download the case on to the orange diskette using the following procedure.
- _ Access the Supervisor's Activity Menu on the Home Examiner's laptop by entering your initials, the supervisor password and a "yes" at the supervisor menu selection prompt. (option #3)
 - _ Select Transfer Cases (option #4)
 - _ Select Dump One Case to Diskette (option #1)
 - _ Select Final Diskette [Remove from PC] (option #3)
- d. To check that the case has been removed from the Home Examiner's laptop, use the following procedures.
- _ Exit to the NHANES prompt by pressing the return key at each screen presented.
 - _ At the NHANES prompt, type HOMEEXAM to access the Home Exam Menu.
 - _ From the Home Exam Menu, select CAPI Home Exam (option #1)
 - _ Select Review Cases (option #2)
 - _ All SP assigned to the Home Examiner ordered by the seg/serial number of their respective households should appear.
 - _ Press enter at each screen presented to exit back to the NHANES prompt.
- e. File the orange diskette, the red diskette and the Household Folder in the Priority Edit Drawer.
- f. Upload the orange diskette containing the completed replicate home exam to the VAX using the standard upload procedure accessed through the Supervisor Activity Menu.

3. Cold Calls

- a. Under normal circumstances, the decision concerning cold calls is made by the interviewer and the Field Manager during the interviewer conference. At this time, the Field Manager will give the Household Folder to the Office Manager. When the Home Examiner visits the Field Office the case should be restored to her machine following the procedures used to restore a regular home exam case described in Section B.1.a.1), page 9-1 and page 9-2).
- b. If the Home Examiner cannot visit the Field Office before the cold call must be made and thus the case cannot be restored to her machine, she has the capability of creating the Home Exam Interview on her laptop by accessing the Home Exam Menu. In order to accomplish this, the Home Examiner will need the following information from the Office Manager:
 - Seg/serial number
 - Family number
 - SP number
 - Sample number
 - SP's full name
 - SP's address
 - SP's telephone number
 - Density (1-6)
 - Date of Birth
 - Sex
 - Race
 - Ethnicity
 - Language the examination is to be conducted in
 - Education (1-3)"
- c. When the Home Examiner returns to the Field Office the case should be downloaded onto an orange diskette using the download procedures for a regular case described in Section B.1,a,1), page 9-2.

10. CLOSING A STAND USING CAPI

A. AFMS Data Entry Checks

This task consists of running all household and SP disposition reports to ensure that all dispositions have been entered into the AFMS.

B. AFMS and hard copy document reconciliation

Check to see that there are appropriate hard copy documents for every household and SP listed in AFMS and that the disposition listed in AFMS is consistent with the disposition on hard copy.

C. AFMS/Master Schedule Consistency Checks

1. In this check the number of examined SPs from the Master Appointment Schedule is compared with the number shown on the AFMS generated daily report. This check is performed for both the MEC Exam and Home Exam.
2. CAPI does not keep track of SP examination status.

D. Validation Checks

1. This check determines whether all validations scheduled for the stand have been completed.
2. The results of validation will continue to be entered in the AFMS system.

E. CAPI/AFMS Adjudication Reports

1. Since there will no longer be information on hard copy to compare with information in the AFMS, all internal consistency checks described below will be accomplished using the AFMS/CAPI Adjudication Reports.
2. Adjudication Reports make the following checks
 - a. All SPs are correctly identified including name, age and sex both in AFMS and CAPI.
 - b. All ID numbers are correctly recorded on the front of all documents and are also consistent in AFMS and CAPI.
 - c. All disposition codes are correct and consistent with documents obtained for the household and the SP and are consistent both in AFMS and CAPI.
 - d. There is matching demographic information entered in CAPI for each SP listed in the AFMS.

F. Instructions for Running Adjudication Reports

1. Use a terminal connected to the VAX

2. At Username prompt type CAPI
3. Enter Password
4. At Initials prompt type your initials
5. At \$ prompt type "Adjudicate"

G. Content of Adjudication Reports

The reports compare information on the AFMS data base with information on the CAPI Data Base. Three reports are generated for the sample data base each time reports are run:

1. Dwelling Unit Adjudication - Match On SEG/SER (see Appendix H).
 - a. First Page -- Addresses found only in AFMS.
 - b. Second Page -- Addresses found only in CAPI.
 - c. Third Page -- Discrepancies in address between AFMS and CAPI.
 - d. Dwelling Unit Adjudication -- Match on disposition discrepancies in Screener level dispositions.
2. Family Level Adjudication (see Appendix I)
 - a. Family Number Adjudication -- Family numbers found only in AFMS.
 - b. Family Number Adjudication -- Families numbers found only in CAPI.
 - c. Family Adjudication Match on Case Disposition -- Discrepancies in Family disposition codes between AFMS and CAPI.
3. SP Level Adjudication (see Appendix J).
 - a. SPs found only in AFMS.
 - b. SPs found only in CAPI.
 - c. SP discrepancies found between AFMS and CAPI
 - _ The Follow Items will print out on report for each SP with discrepant information: Segment-Serial #-Family #-SP#-NCHS #-NCHS Letter-Last Name-First Name-Birthdate-age-age Unit-Race-Ethnicity-Sex-SP Disposition-Education (A7)-Education Completion (A8). Note that education information for those SPs who are 17 or younger will never match on adjudication reports because education information is not entered in AFMS for those SPs.
 - _ There will be a * next to those items which do not match on both systems.

H. Steps in Adjudication Process

Adjudication should be an ongoing process otherwise reconciliation becomes too time consuming at the end of the stand. Adjudication reports should be run at least once a week after SP examinations begin.

1. The adjudication process can begin as soon as finalized cases have been entered into the AFMS and CAPI. Thus before running adjudication reports enter all non eligible Screener codes in CAPI and AFMS - Upload non eligible Screeners to the VAX and enter all information for completed SPs on the "Enter Disposition" Screen in the AFMS.

Upload all completed households (red diskettes with dated yellow sticker and orange sticker) to the VAX.

2. Run Adjudication Reports.
3. When discrepancies are found and data must be changed in order to adjudicate the two systems remember:
 - a. Find the primary source for each data item before you make a change. The priority for adjudication is to first adjudicate at the DU level then the Family level and finally the person level. Changes made at the DU level may alleviate adjudication problems at the Family and DU level.
 - b. When considering whether to make corrections to the AFMs or CAPI remember that values that would have been updated using the hard copy interview would also be updated using CAPI. For example the most reliable source of demographic information is the SP questionnaire. Therefore, if there is a discrepancy between the AFMS and CAPI on demographic information, the CAPI interview should be regarded as the most reliable source of this kind of information and the AFMS should be updated.

I. Additional End of Stand Procedures

Most end of stand procedures will remain the same with the following exceptions:

- a. Additional Procedures
 1. The initiation of CAPI eliminates the shipment of hard copy questionnaires
 2. All red diskettes containing finalized cases for eligible households must be bar-coded with segment and serial numbers and scanned using the following procedure:
 - Label each finalized diskette with the bar code segment and serial labels formally used to label the Family Questionnaire.

- Scan each diskette using the new option #8 on the AFMS Transmittal Menu entitled "Barcode Red Disk" (see Attachment K). This menu item will allow you to scan the diskettes using the same procedures previously used to scan questionnaires.
- Orange diskettes containing completed Home Exams must be sent with the corresponding red diskette. Place these two diskettes together for shipment.

b. Shipment Additions and Changes

1. Shipment to RTP will be limited to the following items:

- End of Stand Dump
- Control Cards for Cross Stand Work
- A Copy of the Stand AFMS Tape
- Copies of the Transmittal Forms for all S1's through S9's.

Send these items to the attention of Pat Hagwood.

2. Shipments to NCHS Survey Operations Branch remain the same with the following additions:

- Screeners 10s, 11s, 12s, 13s, 14s-20s, 30s-31s and 32s.
- Household Folders with Screener disposition 10, 11, 12, 13, 14-20, 30-31 and 32.
- All Red bar-coded and scanned diskettes containing finalized cases for eligible households.
- All orange diskettes containing completed Home Exams (attached to the corresponding finalized red diskette).
- A copy of the CAPI backup disk.

Send these items to the attention of Carolyn Petty-Martin.

3. Shipments to Westat will remain the same with the following additions:

- All yellow, grey, and red diskettes containing non eligible screening information or incomplete household information should be sent to Kay Sigle at Westat for recycling.

4. The following items should be packed in the MEC for transport to the next stand:

- extra "hot spare" laptop
- a complete set of all necessary systems disks (see 3-2)
- extra blank yellow and red diskettes

- all major pieces of computer equipment (see Attachment L).