

**NHANES III**  
**SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS**  
**TRAINING MANUAL FOR TELEPHONE INTERVIEWERS**

**PREPARED BY:**

**WESTAT**  
1650 Research Boulevard  
Rockville, MD 20850

November, 1989

## TABLE OF CONTENTS

1.	INTRODUCTION.....	1
1.1	What Is NHANES III?.....	1
1.2	The Supplemental Nutrition Survey of Older Americans.....	1
1.3	Problems Encountered in Inter-viewing the Elderly .....	2
2.	INTERVIEWER TASKS AND SURVEY MATERIALS .....	4
2.1	Overview of Interviewer Tasks.....	4
2.2	Interviewer Forms.....	4
2.3	Materials Sent To Subjects .....	5
3.	INTERVIEWER ASSIGNMENTS .....	7
3.1	The Interviewer Assignment Sheet (IAS).....	7
3.2	Receiving and Completing Assignments.....	14
3.2.1	NEW Assignments.....	14
3.2.2	DAY, EVENING, and WEEKEND Assignments.....	14
3.2.3	COMPLETE Assignments .....	15
3.2.4	Supervisor Attention .....	15
4.	CONTACT PROCEDURES.....	17
4.1	The Call Record.....	17
4.2	Result Codes .....	25
4.3	Contact Attempt Requirements .....	29
5.	TRACING 31	
5.1	Interviewer Tracing .....	31
5.2	Tracing Procedures.....	31
5.3	Soliciting Information From Contacts .....	32
5.4	In-depth Tracing .....	32
6.	PROXY INTERVIEWS .....	37
6.1	Situations Requiring a Proxy .....	37
6.2	Proxies Used in Previous Interviews.....	37
6.3	Locating a Proxy .....	38
6.4	Scheduling a Proxy Inter-view.....	38
6.5	Proxy Identification Form (PIF).....	39
7.	BEGINNING THE INTERVIEW.....	41
7.1	Language of Interview.....	41
7.2	Initial Contact.....	41
7.2.1	Introduction .....	41

7.2.2	No Food Model Booklet .....	42
7.2.3	Callbacks .....	42
7.3	Verification of Subject Information.....	42
7.4	Two Subjects At The Same Telephone Number .....	44
7.5	How To Handle Refusals .....	47
8.	CONDUCTING A DIETARY INTERVIEW BY TELEPHONE.....	49
8.1	Which Foods To Include In The Quick List .....	49
8.2	Introduction To The Collection Of Food Details.....	49
8.3	Meal Names and Where Eaten .....	50
8.4	Food Model Booklet.....	50
8.5	Final Checklist .....	51
9.	ENDING THE INTERVIEW.....	52
9.1	Exit Questions.....	52
9.2	Verification of Contact Information .....	54
9.3	Notification of Second Telephone Interview .....	55
10.	INCOMPLETE INTERVIEWS AND NON-INTERVIEWS.....	58
10.1	Incomplete Interviews.....	58
10.1.1	When Is An Interview Incomplete?.....	58
10.1.2	How to Handle an Incomplete Interview .....	58
10.1.3	Result Codes for Incomplete Interviews.....	58
10.2	How To Interrupt and Restart The DDC System .....	59
10.3	Non-Interviews .....	61
10.4	The Non-Interview Report Form (NIRF).....	62
11.	QUALITY CONTROL.....	64
11.1	Monitoring The Interview.....	64
11.2	Editing the Recall .....	64
11.3	Cross-checking Of Recalls.....	65
12.	ADMINISTRATIVE ISSUES .....	66
12.1	Interviewer Control Log.....	66
12.2	Editing and Printing The Dietary Recalls .....	66
12.3	Project Charge Number .....	66
12.4	Verification Calls.....	68
13.	COMMON QUESTIONS ASKED BY SUBJECTS .....	69

## LIST OF EXHIBITS

Advance Letter:	
English version	6
Interviewer Assignment Sheet:	
sample sheet for a first telephone interview	10
sample sheet for a second telephone interview	11
Call Record:	
sample record with remailed Food Model Booklet	21
sample record with callback appointment	22
Call Record:	
sample record requiring interviewer tracing	33
sample record requiring in-depth tracing	34
Proxy Identification Form	40
Interviewer Assignment Sheet:	
sample sheets with changes made to subject information	45
Exit Questions	53
Interviewer Assignment Sheet:	
sample sheets with changes made to contact information	56
Non-Interview Report Form	63
Interviewer Control Log	67

## 1. INTRODUCTION

### 1.1 What Is NHANES III?

NHANES stands for "National Health And Nutrition Examination Survey". This is the third such survey conducted by the National Center for Health Statistics (NCHS), which is a part of the federal government within the Public Health Service of the Department of Health and Human Services.

Participants in this survey are given a physical exam, dental exam, bone density measurement, x-rays, ultra-sound, electrocardiogram, blood testing, allergy testing as well as other tests and examinations. A 24 hour dietary recall is also administered. This examination takes place in a Mobile Examination Center (MEC), which is a group of trailers that house the testing equipment, examination rooms, and offices for the professional staff. These trailers travel from city to city to examine survey participants.

The people who are called upon to participate in this survey have been preselected so that the survey population is representative of the U.S. population (Hispanics are over sampled in order to get sufficient data on this subgroup). Participation is voluntary. Those people who agree to participate are paid a fee for their time. In past surveys, a high percentage of people (about 80%) agreed to participate.

The results of NHANES III will be used to study the prevalence of certain diseases and the risk factors associated with these diseases. The survey data will also help to contribute to an understanding of the role that nutrition might play in the status of health and disease.

### 1.2 The Supplemental Nutrition Survey of Older Americans

The Supplemental Nutrition Survey of Older Americans is a survey that will collect additional 24-hour dietary recall information on those people 50 or more years old who participated in NHANES III. Westat has been awarded a contract to conduct this survey for the National Center for Health Statistics.

The subjects in this survey will be contacted by telephone and the same computerized dietary interview as the one that was used in the MEC will be administered. Two recontacts will be made - one at four months and one at eight months after their original interview in the MEC.

Participation in this telephone survey is voluntary. However, at the time of their MEC examination, participants were told that they may be recontacted for follow-up surveys or for verification of information. No additional fee will be paid to the participants in this telephone survey.

The data collected in this survey will give researchers a better description of the eating habits of older Americans. These data will be used to relate eating habits to the maintenance of health or the development of disease.

### 1.3 Problems Encountered in Interviewing the Elderly

Since the Supplemental Nutrition Survey of Older Americans includes many elderly subjects, the interviewer must be particularly patient and understanding. It is especially difficult to interview the elderly over the telephone because you may have trouble hearing or understanding what the subject is saying and you have no visual clues that would otherwise help you to interpret the problem. Also, many older people live alone and may be uncomfortable talking to a stranger.

When interviewing the elderly, it is best to speak slowly and distinctly. Be careful not to offer too much information which can overwhelm or confuse the subject. Avoid using modern, technical words which may seem obvious to you but may not be part of an older person's vocabulary. Substitutions for some these words and phrases are listed below.

survey, questionnaire	----->	"I would like to ask you a few questions"
statistics, data	----->	"What you tell me about the foods you ate will help us to understand how foods can effect our health"
food intake, food consumption	----->	"I will ask you questions about the foods you ate yesterday"
food preparation	----->	"How did you cook that food?" "What ingredients did you use?"

It is likely that you will find elderly subject with hearing problems. However, it is important that you do not assume that someone has a hearing problem when in fact he/she is having difficulty understanding the terms that You are using. Ask a few simple questions before concluding that the subject is hard of hearing. If the subject does indeed have a hearing problem, you should

- a) use a lower pitched speaking voice since older people may lose their ability to hear sounds in the higher ranges
- b) attempt to find out if the subject has a hearing aid and allow him/her time to get it
- c) try calling back using the receiver instead of the headset since you can often get a clearer connection with the receiver

Indistinct speech is another problem. Do not assume that if a subject's speech is slurring that he/she is mentally incapacitated or perhaps drunk. It may be that the subject is recovering from a stroke and is having trouble with the physical pronunciation of the words. Or the subject may have dental problems which make speech difficult.

Memory problems are commonly reported by older persons. You will need to assess the subject's mental ability before beginning the 24-hour dietary recall. In the protocol for this survey, you will begin the interview by asking the subject whether or not he/she received our introductory letter and Food Model Booklet, and you will also ask for verification of his/her social security number and birth date. If the subject has trouble understanding what you are asking, you may want to ask a few more simple questions before determining whether the subject is mentally capable of responding to the dietary interview.

If you are unable to conduct the interview because of the subject's hearing or speech problem, or if you feel that the subject is mentally incapacitated and is unable to recall what he/she ate yesterday, you may use a proxy for the interview (see Section 6 for a discussion of proxy interviews).

## 2. INTERVIEWER TASKS AND SURVEY MATERIALS

### 2.1 Overview of Interviewer Tasks

To give you an overview of your job, the tasks which you need to perform are summarized below. All of these procedures are described in greater detail in later chapters of this manual or in the Dietary Interviewer's Training Manual for NHANES III.

- make telephone contact with the subjects on the assignment sheets
- attempt to find the correct telephone number of a subject if the number provided on the assignment sheet is wrong
- maintain a clear and complete record of all contact attempts
- conduct the dietary interview with the subject or a proxy using the computerized interview system
- collect information about the proxy if one is used
- document why it is not possible to complete an interview
- complete the Exit Questions with the subject or proxy
- verify the subject and contact person information that appears on the assignment sheet and correct or update if necessary

### 2.2 Interviewer Forms

The interview forms that you will use during this survey include:

- Interviewer Assignment Sheet (IAS): This sheet is used to assign a subject to you. It lists the information you need to know about the subject in order to telephone and conduct a dietary interview. It includes some helpful information about the previous dietary interview in the MEC; for second telephone interview assignments, it includes this same information about the first telephone interview. The IAS also identifies up to two people who can be contacted if you need assistance in tracing the subject.
- Call Record: This form is used to record every call you make to the subject's telephone number. It also provides space where you can describe your attempts to locate the subject when the telephone number on the IAS is incorrect. Only one Call Record should accompany every IAS; the same Call Record is used by all interviewers who place a telephone call to the subject.

- Proxy Identification Form (PIF): This form is used to collect information which identifies the person who acted as a proxy in the dietary interview. It also identifies the reason why a proxy was needed. You must fill out a PIF whenever a proxy is required for the interview, even if you are unable to conduct the interview because you cannot find someone to act as a proxy.
- Non-Interview Report Form (NIRF): This form is used to record information about why it was not possible to conduct the assigned interview. You must fill out one of these forms when you are terminating attempts at contacting the subject.
- Exit Questions: These questions are administered to each subject to obtain information about present health and eating habits and to determine the subject's preference for either the in-person or the telephone inter-view method.

There must be an Inter-viewer Assignment Sheet and a Call Record for every subject in the survey. If the assignment results in a completed interview, a sheet of Exit Questions must also be included. A Proxy Identification Form or Non-Interview Report Form will only be included with the assignment if they are needed.

The administrative forms that you will use during this survey include:

- Interviewer Control Log: This form is used to document the date and result of every completed assignment. Each interviewer will maintain a log of the assignments that he/she completed for the month.

### 2.3 Materials Sent To Subjects

A letter and Food Model Booklet are mailed to each subject about two weeks before they are placed on an IAS and assigned to you for an interview. Spanish language letters and booklets are sent to those subjects who conducted their previous dietary interview in Spanish. The letter informs them that we will be contacting them for a dietary interview and explains the reasons for conducting the survey. Copies of the English and Spanish language versions of the advance letter are included on the following pages.

If this letter is returned by the Post Office because the address is incorrect, we will trace the correct address of the subject and get a new telephone number before the subject is placed on an IAS.

Date

Participant Name  
Address  
City, State Zip

Dear Participant:

We would like to express our appreciation for your recent participation in the third National Health and Nutrition Examination Survey NHANES III, being conducted by the National Center for Health Statistics. We are now asking for your help once again.

A follow-up study is being conducted to gather more dietary information from participants who are 50 years of age and older. As a participant in this follow-up study, you will receive a telephone call within the next few weeks. There is nothing you need to do to prepare for this interview. The interviewers will ask you to describe the foods you ate the day before, as well as you can remember, just as you did in the mobile exam center. This entire interview will be conducted over the telephone and will take only about 20 - 30 minutes.

The Food Model Booklet in this package is for you to use during the telephone interview. Please keep it near your telephone! It will help you to describe the amount of a food which you ate. The interviewer will explain how to use the Food Model Booklet.

As with the information you gave us before, all of your answers will be kept confidential according to federal regulations and will be used for research purposes only. We will not release or publish any information that identifies you as a participant in this study.

Your participation is entirely voluntary. However, the information you provide will be an important contribution to the success of this survey, particularly in examining the relationships between nutrition and disease.

Sincerely,

Manning Feinleib, M.D., Dr. P.H.  
Director, NCHS

### 3. INTERVIEWER ASSIGNMENTS

#### 3.1 The Interviewer Assignment Sheet (IAS)

The computer generates an Interviewer Assignment Sheet (IAS) for every subject who we want to contact and interview. The sheet is two-sided. The information on the front of this sheet is explained below. Sample IAS's for first and second telephone inter-views are included at the end of this section.

Subject ID: Each subject is identified by a 7-digit ID number. This ID number will begin with a "2" on the IAS for the subject's first telephone interview; the same number, only beginning with a "3" instead of a "2", will be used as the subject's ID for the second telephone inter-view. When filling out the survey forms, you should copy the subject ID exactly as it appears on the IAS.

Interview #: The interview number is either a "1" or a "2". The first telephone interview is conducted about four months after the MEC interview; the second telephone interview is conducted about 4 months after the first one. An IAS for interview #2 contains more information than an IAS for interview #1 because it includes information from the first telephone interview.

Telephone Start Date and Telephone End Date: You may begin attempts at calling the subject on the Telephone Start Date. This date is about two weeks after the advance letter and Food Model Booklet are mailed to the subject. The assignment must be completed by the Telephone End Date, which is five weeks from the Start Date.

SUBJECT INFORMATION: The subject's name, social security number, sex, age, date of birth, home address, telephone number (and name under which the telephone number is listed), and mailing address, are printed on the IAS. The telephone number is the one that you will use to contact the subject.

If an ID number is listed for "other subject at the same telephone number", be sure that you have the IAS for that subject as well. Then, when contact is made, try to complete an interview with each of the subjects.

MEC DIETARY INTERVIEW: The IAS lists the date on which the subject received the dietary interview in the MEC. It also reports who acted as the respondent during this interview (the participant, a proxy, or both the participant and a proxy) and the language in which the inter-view was conducted (English, Spanish, or both Spanish and English).

FIRST TELEPHONE INTERVIEW: The IAS lists the date on which the subject received his/her first telephone dietary interview. The respondent and the language used during this interview are also reported as they are for the MEC dietary interview.

The information about use of a proxy as the respondent in the MEC interview and/or the first telephone interview is provided to alert you to the fact that the subject may need help in responding to the interview questions. However, do not automatically assume that if the previous interview(s) was conducted with a proxy, the current interview must be conducted with a proxy. You should always first attempt to conduct the interview with the subject. Look for a proxy only when it becomes apparent that the subject cannot respond for him/herself. Likewise, do not assume that if the subject was able to respond for him/herself in the previous interview(s) that the same will occur in the current interview. A hard-of-hearing subject may not be able to hear as well over the telephone as in-person and therefore may need to use a proxy for the telephone interview whereas one was not necessary in the MEC. (see Section 6 for information on proxy interviews.)

The information about the language of the previous interview(s) is provided so that the Spanish-speaking subjects can be handled by the Spanish-speaking interviewers. You should begin to converse in the language indicated on the IAS unless it becomes apparent that the subject can communicate better in the other language.

The following information is listed on the back of the IAS:

FIRST AND SECOND CONTACT: The IAS identifies up to two people who can be contacted if help is needed in locating the subject. The information about each contact includes their name, address, telephone number, the name under which this telephone number is listed, and their relationship to the subject.

PROXY INFORMATION: This information can only appear on IAS's for interview #2. If a proxy was used in the first telephone interview, the proxy's name, address, telephone number, and relationship to the subject are listed. One or two reasons for needing a proxy are also listed here. If the reason for needing a proxy is listed but the proxy identifying information is missing, it is likely due to the fact that the first telephone interview was not completed because a proxy was needed but one could not be located.

It is part of your responsibility to verify the subject and contact information on the IAS (see Sections 7.3 and 9.2). If a piece of information on the IAS is incorrect, draw a line through it. If you know the correct information, write it above the information it is replacing (or as close as possible). If a piece of information on the IAS is missing and you are able to obtain it, write the information in the appropriate space on the form.

On the right side of the IAS, the CHANGES column is used to indicate the type of change or correction that you made. The type of change pertains to a section of information. There are CHANGE indicators for subject's home address, subject's telephone, subject's mailing address, first contact person, and second contact person. For a complete discussion on making changes to the subject information, see section 7.3; for a complete discussion on making changes to the contact information see section 9.2. General descriptions of the types of changes are presented below:

new: Place a check mark here if the corresponding section of information on the IAS must be completely erased and replaced by the new information that you have written on the form. For example, you would check "new" next to the subject's telephone number if the subject moved and you want to record his/her new telephone number.

fix: Place a check mark here if you have made a correction to some portion of the information in the corresponding section on the IAS. This would include spelling corrections. For example, you would check "fix" next to the subject's telephone number if the number listed on the IAS was never a correct telephone number for the subject and you want to replace this incorrect number with the correct one.

none: Place a check mark here if the corresponding section of information on the IAS must be completely erased because it is incorrect and there is no new information that should take its place. For example, you would check "none" next to the subject's telephone number if you discovered that the subject's telephone was disconnected.

dk: Place a check mark here if the corresponding section of information on the IAS must be completely erased because it is incorrect but you don't know the correct information that should take its place. For example, you would check "dk" next to the subject's telephone number if you know that the number listed on the IAS is wrong but you are not able to find the correct one.

refused: Place a check mark here if the subject refuses to provide the correct information. For example, you would check "refused" next to the contact's telephone number if the subject refused to give you the number.

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 2011234 Telephone Start Date: 12/13,  
Interview #: 1 Telephone End Date: 01/17/90

-----  
SUBJECT INFORMATION

NAME: Maynard, Elizabeth Ann  
sex: F age: 57 DOB: 05/15/32

CHANGES

SS #: 109-38-8761 <---- fix \_\_\_  
dk \_\_\_  
refused \_\_\_

HOME ADDRESS: Hillside Manor Apts <---- new \_\_\_ fix \_\_\_  
1082 University Blvd #1104 dk \_\_\_  
Takoma Park, MD 20912 refused \_\_\_

TELEPHONE: (301) 744-1872 <---- new \_\_\_ fix \_\_\_  
listing name: Maynard, James none \_\_\_ dk \_\_\_

MAILING ADDRESS: P.O. Box 745 <---- new \_\_\_ fix \_\_\_  
Takoma Park, MD 20912 none \_\_\_ dk \_\_\_  
refused \_\_\_

OTHER SUBJECT at same telephone #: 2011247

-----  
MEC DIETARY INTERVIEW

Interview Date: 11/14/88  
Respondent: participant  
Language: English

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 2011234

Interview #: 1

-----  
FIRST CONTACT <---- new \_\_\_ fix \_\_\_

NAME: Erickson, Karen M

ADDRESS: 112 S 34th St  
Minneapolis, MN 5501

TELEPHONE: (202) 387-3681 <---- none \_\_\_ dk \_\_\_  
listing name: Erickson, James refused \_\_\_

RELATIONSHIP: sister

-----  
SECOND CONTACT <---- new \_\_\_ fix \_\_\_

NAME:

ADDRESS:

TELEPHONE: <---- none \_\_\_ dk \_\_\_  
listing name: refused \_\_\_

RELATIONSHIP:  
-----

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 3016789 Telephone Start Date: 04/15  
Interview #: 2 Telephone End Date: 05/20/89

-----  
SUBJECT INFORMATION

NAME: Hernandez, Maria

sex: F age: 57 DOB: 05/15/32

SS #: refused

CHANGES

<---- fix \_\_\_  
dk \_\_\_  
refused \_\_\_

HOME ADDRESS: 1082 University Blvd  
Takoma park, MD 202912

<---- new \_\_\_ fix \_\_\_  
dk \_\_\_  
refused \_\_\_

TELEPHONE: (301) 744-1872

listing name:

<---- new \_\_\_ fix \_\_\_  
none \_\_\_ dk \_\_\_

MAILING ADDRESS:

<---- new \_\_\_ fix \_\_\_  
none \_\_\_ dk \_\_\_  
refused \_\_\_

OTHER SUBJECT at same telephone #:

-----  
MEC DIETARY INTERVIEW

Interview Date: 11/14/88  
Respondent: participant & proxy  
Language: English & Spanish

-----  
FIRST TELEPHONE INTERVIEW

Interview Date: 12/13/89  
Respondent: participant  
Language: Spanish

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 3016789

Interview #: 2

-----  
FIRST CONTACT

<---- new \_\_\_ fix \_\_\_

NAME: Rincito, Juan M.

ADDRESS: 112 S 34th St

Takoma Park, MD 20912

TELEPHONE: (202) 387-3681

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name: Rincito, Juan

RELATIONSHIP: friend

-----  
SECOND CONTACT

<---- new \_\_\_ fix \_\_\_

NAME: Hernandez, Carlos T.

ADDRESS: 1819 Greentree Dr

Hamilton, TX 70214

TELEPHONE: none

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name:

RELATIONSHIP: brother-in-law

-----  
PROXY INFORMATION

NAME: Feskanich, Diane

ADDRESS: 1106 Linden Ave Apt 202  
Takoma Park, MD 20912

TELEPHONE: (301) 270-0120

RELATIONSHIP: next door neighbor

REASON FOR NEEDING A PROXY: hearing problem  
memory problem/mental incapacity

## 3.2 Receiving and Completing Assignments

There are six work baskets labelled NEW, DAY, EVENING, WEEKEND, COMPLETE, and SUPERVISOR ATTENTION. All assignments are to be kept in these baskets. Take assignments from these baskets and return them to the appropriate baskets when you have finished with them. Never leave them on your desk or with your personal materials when you are gone. Someone else may be able to continue working on them in your absence.

### 3.2.1 NEW Assignments

Westat receives new subjects in batches. Each batch represents a "stand", which is the period of time a MEC spends in one location. Therefore, the subjects within a batch all live in the same general area.

The computer generates the IAS's for the subjects in a stand about two weeks after the advance letters containing the Food Model Booklets are mailed. The Interview Supervisor receives these IAS forms and places them in the NEW assignments basket. Interviews with Spanish speakers are marked in red. You may take assignments from the NEW assignments basket as you are ready for them.

When you arrive at work, you are also expected to look in the appropriate work basket (Day, Evening, or Weekend) for the current shift to see if there are any assignments for subjects whom other interviewers have attempted to call but were unable to reach to complete an interview.

### 3.2.2 DAY, EVENING, and WEEKEND Assignments

For assignments which you are unable to complete during your period of work, place the IAS, Call Record, and any other forms pertinent to the assignment in either the DAY, EVENING, or WEEKEND work baskets so that another interviewer can continue working on it. Be sure that all the forms are securely fastened together with a paper clip.

DAY basket: Put assignments here if you have determined that the best time to reach the subject is during the day or if the required number of daytime calls have not yet been placed. (See Section 4.3 for number of contact attempts that should be made during each shift.)

EVENING basket: Put assignments here if you have determined that the best time to reach the subject is during the evening or if the required number of daytime calls have already been placed.

WEEKEND basket: Put assignments here if you have determined that the best time to reach the subject is during the weekend or if the required number of daytime and evening calls have already been placed.

When you come to work, you should check these baskets for work assignments. Check only the DAY basket if you are working during daytime hours. Check both the DAY and EVENING baskets if you are working during the evening hours. Check all baskets DAY, EVENING, and WEEKEND -- if you are working on a weekend day.

### 3.2.3 COMPLETE Assignments

An assignment is complete when you have assigned a Final Result Code on the Call Record. If the completed assignment resulted successfully with a dietary interview, print a copy of the recall report.

Clip all of the forms together and place them into the COMPLETE basket. All assignments must have an IAS and a Call Record. If the assignment resulted in a completed interview, it will also have an Exit Questions sheet and the printed 24-hour recall. If the interview was conducted with a proxy, it will also have a Proxy Identification Form. If the assignment did not result in a completed interview, it will have a NonInterview Report Form. An Address Tracing Form will also be attached if any in-depth tracing was done to locate the subject. The Interview Supervisor and/or Survey Coordinator will review all cases that did not result in a complete interview.

An assignment must be completed by the Telephone End Date printed on the IAS. At least ten attempts must have been made to contact the subject at various times of the day and days of the week (see Section 4.3 for the required schedule of contact attempts)%

If you find that a subject is out of town or in a hospital or a nursing home for a period of time that extends beyond this five week limit, you will not be able to conduct the interview. Assign a Final Result Code of 'NH' on the Call Record.

### 3.2.4 Supervisor Attention

Put the IAS and any other forms that go with the assignment into the SUPERVISOR ATTENTION basket if

- a) you have scheduled an appointment for an interview;
- b) the subject says that he/she does not have the Food Models Booklet;
- c) you are unable to find the correct telephone number for the subject and you want to send the case for more extensive tracing;
- d) at least ten unsuccessful attempts have been made to reach the subject.

If you have scheduled an appointment for an interview, the Interview Supervisor will ensure that one of the interviewers will call the subject at the scheduled time.

If the subject does not have a Food Models Booklet, circle "Y" next to the "re-mail Food Model Booklet?" question on the Call Record and record -the "date sent to remailing". Note any address corrections if necessary. The Interview Supervisor will refile the assignment about one week after the booklet has been remailed. The "date back from remailing" will appear on the Call Record.

If the subject's telephone number on the IAS is wrong and you cannot find the correct one, put the current date in the "date sent to tracing" field at the top of the Call Record. The case will be sent for additional, in-depth tracing. If the subject's correct telephone number is found through this tracing effort, the Interview Supervisor will refile the assignment and the date on which this is done will be filled in the "date back from tracing" field on the top of the Call Record.

If ten unsuccessful attempts have been made to reach a subject, do not assign a Final Status Code of "NL" (subject not locatable). The Interview Supervisor will determine whether to assign the "NL" status code or whether to refile the case for additional attempts at telephone contact.

#### 4. CONTACT PROCEDURES

##### 4.1 The Call Record

The Call Record is the form that you will use to record the results of all telephone calls that you make in attempting to contact a subject. One Call Record must be completed for every subject assigned on an Interviewer Assignment Sheet (IAS).

The following paragraphs explain the data which you will be entering onto the Call Record. Sample Call Records are included at the end of this section as an illustration.

Subject ID and Name: Copy the subject ID number and name from the IAS to the appropriate spaces on the top of the Call Record.

Interview #: Circle "1" if this is the subject's first telephone interview; circle "2" if this is the subject's second telephone interview.

Page Number: The page number and total number of pages in the Call Record must be entered at the top of each page. Enter the page number when you begin using the form and enter the total number of pages in the Call Record when the assignment is completed.

In most cases, a single sheet will be sufficient. However, if more than ten calls are placed to a subject, additional Call Record sheets can be attached to the first. Be sure to copy the subject ID number and name onto the additional sheets.

Call Numbers 1 through 10: The middle section of the Call Record consists of a box with lines numbered one through ten. It is essential that you make an entry in this box after every attempt at contacting the subject. Record one contact attempt per line. One Call Record can accommodate up to ten contact attempts. If more than ten attempts are made, they can be documented on a second Call Record sheet.

Once a Final Result Code has been assigned on the Call Record, circle the number which indicates the number of telephone calls that were placed to the subject.

The data included in each call line are described by the following column specifications:

ID: Enter your interviewer ID number in this column.

Date: Enter the day and month of the date you make the call (e.g., 3/15)

Time: Enter the time of day that you make the call (e.g., 1:15 P). Include either "A", "PI, or IN' to indicate a.m., p.m., or noon.

DEW: Enter a "D" if you placed the call during a weekday before 6:00 p.m.; enter an "E" if you placed the call during a weekday after 6:00 p.m.; or enter a "W" if you placed the call during the day or evening of a weekend. Use the code for the time of day at your location - not the location of the subject being called.

Result: Enter the number code (for interim results) or the letter code (for final results) appropriate to the outcome of your call. All available codes are printed on the Call Record. The proper assignment of these Result Codes is explained in the next section of this manual.

Comments: Record any additional information which helps to describe what happened during the attempted telephone contact. The information should be sufficient to permit another interviewer to continue with the assignment. Try to limit your comments to the space provided on this line. However, if you feel additional explanation is necessary, you can continue the comments in the Notes section on the bottom of the Call Record. When writing in the Notes section, be sure to record the number of the call to which the comment belongs.

For some Result Codes, specific information must be recorded in the Comments column. This information is specified along with the explanation of the Result Codes in Section 4.2

Callback Appt : If an appointment has been made for an interview with the subject and/or proxy on a particular date, the date and approximate time of the appointment should be recorded in this column. Record the appointment time as it would be in your location, not the time for the location of the subject.

This column is only used when a specific appointment has been made to conduct the interview on a future date. If a general time of the day or week is suggested for a callback, or if the subject asks you to call back later on the same day, it should be entered in the Comments column - not in the Callback Appt column.

Do not circle "Y" for the "appointment required?" question at the top of the form until the scheduled interview is completed.

The following data is recorded in the top section of the Call Record, between the two solid lines:

Final Result Code: Once a final result code has been assigned to the case, enter the code into the field at the top of the Call Record. For some codes, this might be a duplication of the last code that appears in the Result column. For example, if a call results in a completed interview, the code "C" is entered into the Result column for that call and is written as well at the top of the Call Record.

For other codes, the last code that appears in the Result column may not be the same as the final result code. For example, if a proxy is needed for the interview but one is not readily available, an interim status code of "4" is entered into the Result column for that call. If you are never able to locate a suitable proxy, a final result code of "I" would be entered only on the top of the Call Record.

Date of Code Assignment: Enter the date on which the final result code is assigned on the Call Record.

Appointment Required?: Circle "Y" when you conduct an interview with the subject or a proxy on a scheduled appointment date. Circle "N" if the interview was conducted on a non-scheduled day. Do not circle either response if an interview was not conducted.

Interviewer Tracing?: Circle "Y" if you needed to do any tracing. Tracing would have been required if the interim status code for "wrong number - interviewer tracing" had ever been assigned or if the interim status code for "ring no answer" had been assigned at least seven times.

Remail Food Model Booklet? Circle "Y" if the subject does not have a Food Model Booklet (an interim status code of 6 would be assigned on a call line). Be sure that address corrections appear on the IAS if necessary. These assignments go into the Supervisor Attention basket. They will be refiled about one week after the Food Model Booklet is remailed.

Date sent to tracing: If you are unable to find a correct telephone number for the subject, enter the date on which you are sending the assignment for more in-depth tracing (see Section 5 for a discussion of tracing procedures). These assignments go into the Supervisor Attention basket.

Date back from tracing: If the assignment was sent for in-depth tracing and the people responsible for doing the tracing are successful in finding the subject's current telephone number, the assignment will be refiled and the date on which it is refiled will be entered into this field on the Call Record.

Date sent to remailing: If the subject does not have a Food Model Booklet, enter the date on which you are requesting that another booklet be mailed to the subject. These assignments go into the Supervisor Attention basket.

Date back from remailing: If another Food Model Booklet was sent to the subject, the assignment will be refiled about one week after the booklet was mailed and the date on which it is refiled will be entered into this field on the Call Record.

Notes: The bottom portion of the Call Record provides space where you can enter general notes about your contact attempts which may be helpful to another interviewer who will continue to work on the assignment, or general notes about the interview which may be helpful to someone reviewing the case. When entering general notes, precede the notes with the date and your interviewer ID.

This space can also be used to continue the Comments information for a particular call. Be sure to record the call number before continuing the comment.

Tracing Record: This space on the back of the Call Record is used to record any steps you take in tracing the subject. Label each recorded tracing attempt with the date and your interviewer ID. Describe who you called (first or second contact person, Directory Assistance) and the outcome of the call. If the contact gives you a new telephone number for the subject, record this number here in the Tracing Record. Enter it on the IAS only after you have verified that the number is correct.

CALL RECORD  
 SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

pg 1 of 1

Subject ID: 21011234  
 name: Maynard, Elizabeth Ann

interview #: (1) 2

-----  
 date sent to tracing: \_\_\_\_\_ final result code: C date: 12/27/89  
 back from tracing: \_\_\_\_\_ appointment required? Y N  
 date sent to remailing: 12/15/89 interviewer tracing? Y N  
 back from remailing: 12/27/89 remail Food Model Booklet? (Y) N  
 -----

ID	Date	Time	DEW	Reslt	Comments	Callback Appt date/time
1	4220	12/14	1:30 P	D	1	
2	4220	12/14	5:00 P	D	3 SP works during the day - call after 6:00 on the weekend	
3	4223	12/15	7:30 P	E	6 SP lost Food Model Booklet - remail	
<u>(4)</u>	4221	12/27	6:30 P	E	C	
5						
6						
7						
8						
9						
10						

Interim Result Codes:

- (1) ring no. answer
- (2) busy signal
- (3) subject not available
- (4) proxy needed
- (5) incomplete interview
- (6) no Food Model Booklet
- (7) wrong number - try new number
- (8) wrong number - interviewer tracing

Final Result Codes:

- (C) complete interview
- (I) incomplete interview
- (NR) refused interview
- (NL) subject not locatable
- (NP) proxy not locatable
- (NH) subject away for extended period
- (ND) subject deceased

NOTES: (label each note with the date and your interviewer ID or with the call number to which the note pertains)

---



---



---



---



---



CALL RECORD  
 SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

pg 1 of 1

Subject ID: 3101167891

interview #: 1 (2)

name: Hernandez, Maria

-----  
 date sent to tracing: \_\_\_\_\_ final result code: C date: 4/20/92  
 back from tracing: \_\_\_\_\_ appointment required? (Y) N  
 date sent to re-mailing: \_\_\_\_\_ interviewer tracing? Y N  
 back from re-mailing: \_\_\_\_\_ re-mail Food Model Booklet? Y N  
 -----

ID	Date	Time	DEW	Reslt	Comments	Callback Appt date/time
1	4224	4/15	10:00 A	D	1	
2	4224	4/15	4:30 P	D	3	Sister answered phone - said SP works during the day - will call after 7:00
3	4227	4/16	7:30 P	E	2	SP answered phone - insisted on night of interview - 4/20 10:00 A
<u>(4)</u>	4225	4/20	10:00 A	W	C	
5						
6						
7						
8						
9						
10						

Interim Result Codes:

- (1) ring no answer
- (2) busy signal
- (3) subject not available
- (4) proxy needed
- (5) incomplete interview
- (6) no Food Model Booklet
- (7) wrong number - try new number
- (8) wrong number - interviewer tracing

Final Result Codes:

- (C) complete interview
- (I) incomplete interview
- (NR) refused interview
- (NL) subject not locatable
- (NP) proxy not locatable
- (NH) subject away for extended period
- (ND) subject deceased

NOTES: (label each note with the date and your interviewer ID or with the call number to which the note pertains)

---



---



---



---



---



## 4.2 Result Codes

Every attempt you make to contact and interview a respondent must be given a result code. All possible result codes are printed on the Call Record. There are two types of result codes that will be used in this study: interim and final. Interim codes are numbers and should be used when further calls will be needed. Final codes are letters and should be used when no further calls will be made.

### Interim Result Codes

(1) RING NO ANSWER

Use code "1" when no one answers the telephone. It is important that you let the telephone ring about six or seven times. This should allow sufficient time for someone to answer.

This code is also used when the telephone is answered by an answering machine or an answering service. If the answering machine or answering service verifies that you have reached the correct telephone number for the subject, record this information in the Comments column of the Call Record. Do not leave a message.

(2) BUSY SIGNAL

Use code "2" when the number is busy. If you get a busy signal, someone is usually at the number so try again in 10 or 15 minutes. Record both attempts on the same line of the Call Record, using slash marks to separate the times at which the calls were made (i.e., "5:15/5:25") and the results of each call (i.e., "2/C").

(3) SUBJECT NOT AVAILABLE

Use code "3" when the telephone call is answered but you do not conduct a dietary interview with the subject. You will use this code when

a) you contact a person other than the subject and the subject is not available

b) you contact the subject but he/she does not presently have time to do the interview

When one of these situations occurs, you should first try to determine the best general time of day (e.g., early a.m., after dinner) or time of the week (e.g., weekends, beginning of next week) when the subject is available for the interview and record this in the Comments column of the Call Record. Avoid specifying a particular date or day of the week for the interview.

If the respondent says that he/she must leave in less than 30 minutes, do not begin the interview. As described above, determine the best general time of day or time of the week when you should call back.

If you do not plan to call the subject back before you leave work for the day, put all of the subject's forms into the appropriate work basket (Day, Evening, or Weekend) so that another interviewer can continue with the assignment.

You should not schedule an appointment for the callback unless it is unavoidable. A callback is considered to be an appointment when you schedule the interview for a particular day. It is better if the subject does not know the day on which he/she will be interviewed because the subject might change his/her eating habits or write down everything eaten on the previous day rather than attempt to recall the foods during the interview. This would bias the data collection.

If the subject insists that he/she will be available for the telephone interview on only one particular day, the date and time of day must be entered into the Callback Appt column of the Call Record. Put all of the subject's forms into the Supervisor Attention basket so that the Interview Supervisor can assign the callback to an interviewer who is working at that time. (The "Y" response to the 'appointment required?' question on the Call Record does not get circled until the scheduled interview is completed.)

(4) **PROXY NEEDED**

Use code "4" when you contact the subject but he/she needs a proxy to participate in the interview and a proxy is not presently available. Begin filling out the Proxy Identification Form - you should at least note the reason a proxy is needed. You may also be able to record some or all of the proxy identifying information.

When a proxy is needed, you should first try to determine the best general time of day (e.g., early a.m., after dinner) or time of the week (-e.g., weekends, beginning of next week) when the proxy is available for the interview and record this in the Comments column of the Call Record. Put all of the subject's forms in the appropriate work basket (Day, Evening, or Weekend) so that another interviewer can continue with the assignment.

Avoid specifying a particular date or day of the week for the interview. As stated above, you should not schedule an appointment for the callback unless it is unavoidable. A callback is considered to be an appointment when you schedule the interview for a particular day. If the subject insists that the proxy will be available for the telephone interview on only one particular day, the date and time of day must be entered into the Callback Appt column of the Call Record. Put all of the subject's forms into the Supervisor Attention basket so that the Interview Supervisor can assign the callback to an interviewer who is working at that time.

(5) INCOMPLETE INTERVIEW

Use code "5" when you have begun the dietary interview but the subject breaks off before the computerized interview is complete (see Section 10 for more information about incomplete interviews). Again, it is important that you determine before beginning the interview whether or not the respondent will be free for the next 30 minutes to avoid an incomplete interview.

However, if the subject does break off in the middle of the interview, you should first ask when you may call later that same day to continue the interview. If the subject is not able to continue that same day, it is also acceptable to continue the interview on the following day if you are planning to work on that day. (In this situation, do not put this assignment into the work baskets when you leave for the day. Keep it aside so that you can recontact the subject the next day and complete the interview. This is the only time that you may hold on to an assignment overnight.)

If you are unable to contact the subject within one day after the initial contact and you did not complete the dietary interview during the original contact, the dietary interview must be started again from the beginning when the subject is recontacted.

(6) NO FOOD MODEL BOOKLET

Use code "6" when the subject says that he/she has not received the Food Model Booklet or cannot find it. If the subject has not received the booklet, verify the address and make changes as necessary on the IAS. Circle "Y" next to the "re-mail Food Model Booklet?" question, enter the current date in the "date sent to remailing" field, and place all of the subject's forms into the Supervisor Attention basket so that a second Food Model Booklet can be mailed to the subject. The assignment will be refiled about seven days after the booklet has been re-mailed.

(7) WRONG NUMBER - TRY NEW NUMBER

Use code "7" when the telephone number you called is incorrect and you are given a new number for the subject. This will occur when

- a) there is a recorded message saying that the number has changed and the message includes the new number.
- b) the person who answers the telephone says that this is not the subject's telephone number and provides you with a different number.

Record the new number in the Comments column of the Call Record. Do not change the subject's telephone number on the IAS until you call the number and it proves to be correct.

(8) WRONG NUMBER - INTERVIEWER TRACING

Use code "8" when you find that the telephone number on the IAS is incorrect and you are not given another number for the subject. This will occur when

- a) there is a recorded message saying that this telephone number is not in use
- b) the person who answers the telephone does not know the subject and/or cannot provide a correct telephone number

Try telephoning the first and/or second contact people to ascertain the correct telephone number for the subject. (See Section 5 for a full discussion of interviewer tracing procedures.) Record the date, your interviewer ID, who you called, the result of the call, and the new telephone number in the Tracing Record section of the Call Record. Do not record this new telephone number on the IAS until you call it and it proves to be correct.

#### Final Result Codes

(C) COMPLETE INTERVIEW

Use code "C" when the computerized dietary interview has been completed.

(I) INCOMPLETE INTERVIEW

Use code "I" when the subject breaks off before the computerized dietary interview is complete (interim result code "5" was assigned) and the interview is never completed at a later time or on a later date. (See Section 10 for a discussion of incomplete interviews.)

Reasons for being unable to complete the interview include:

- a) unable to recontact the subject (subject never home, no answer, etc)
- b) subject refuses to complete interview when you recontact him/her.

Note that if the subject refuses to complete the interview, the final result code is III - not "NR" for "refused". You must fill out a Non-Interview Report Form (NIRF) for every assignment that results in a Final Result Code of "I".

(NR) REFUSED INTERVIEW

Use code "NR" when the subject refuses to be interviewed. This code should only be used when all means of attempting to convince the subject to participate at the present time or at a later time have failed (see Section 7.5). An NIRF must be filled out for a subject that has been assigned an "NR" code.

Note that this code is assigned when a subject refuses to participate in any part of the interview. If the interview is partially completed and the subject refuses to continue, a Final Result Code of "I" is assigned.

(NL) SUBJECT NOT LOCATABLE

Code "NL" is used when you are not able to locate subject. This situation will occur when

- a) at least ten telephone calls have been made at different times of the day and week but there was never any answer or the subject was never in.
- b) the telephone number for the subject on the IAS was wrong and all tracing attempts to get a new telephone number have failed.

Interviewers should never assign an "NL" code to the Call Record. When one of the above situations occurs, put the assignment into the Supervisor Attention basket with a note stating that an "NL" code might need to be assigned to the case. The Interview Supervisor will decide whether to assign an "NL" code, continue contact attempts, or refer the case to tracing.

(NP) PROXY NOT LOCATABLE

Use code "NP" when a subject was not interviewed because you were unable to locate a needed proxy. An NIRF and a Proxy Identification Form (PIF) must be filled out for a subject that has been assigned an "NP" code. On the PIF, leave the proxy information blank; enter a code for the reason a proxy was needed.

(NH) SUBJECT AWAY FOR EXTENDED PERIOD

Use code "NH" if the subject is away on a vacation or business trip, or is in the hospital or a nursing home, and will not return home before the Telephone End Date on the IAS. An NIRF must be filled out if an "NH" code is assigned.

(ND) SUBJECT DECEASED

Use code "ND" when you are told by a reputable contact that the subject has deceased. Record the name and the relationship of this person to the subject in the Comments column or Notes section of the Call Record. An NIRF must be filled out when an "ND" code is assigned.

#### 4.3 Contact Attempt Requirements

It is expected that, because of the age of this particular survey population, you will be able to reach many of the subjects during the day. However, because we cannot predict when each subject will be available, you should use the following guidelines in making your contact attempts:

3 DAY calls between 9:00 a.m. and 6:00 p.m.

2 EVENING calls between 6:00 p.m. and 9:00 p.m.

2 WEEKEND calls between 9:00 a.m. and 9:00 p.m.

If after seven attempts nobody has answered the telephone, you should try calling the first and/or second contact person to determine whether you have the correct telephone number for the subject and when might be a good time to reach the subject at home (see Section 8 for tracing procedures). If the contact gives you a new telephone number for the subject, record it in the Tracing Section of the Call Record. Do not change the subject's telephone number on the IAS until you have successfully reached the subject at that number to verify that the number is correct.

At least ten calls must be placed to the subject. When ten calls have been made and you have not been able to reach the subject, put the assignment in the Supervisor Attention basket. The Interview Supervisor will decide whether to assign a final result code of "NL" (subject not locatable), continue contact attempts, or refer the case for in-depth tracing.

## 5. TRACING

### 5.1 Interviewer Tracing

Interviewer "tracing" consists of the telephone calls that you make, other than to the subject's telephone, in attempting to locate the subject. Tracing is required when you are unable to contact the subject using the telephone number listed on the Interviewer Assignment Sheet. This situation will occur when

- a) the telephone number listed on the IAS is incorrect and the person who answers the phone at this number does not know the correct telephone number for the subject (interim result code - 7).
- b) you have attempted to contact the subject at least seven times at various times of the day and week (see section 4.3 for when contact attempts should be made) and you repeatedly received no answer.

### 5.2 Tracing Procedures

First, try calling Directory Assistance in the subject's home town. If you are tracing because the telephone number on the IAS was incorrect, check with Directory Assistance to see if they have a new listing for the subject. If you are tracing because there has been no answer at the subject's telephone number after seven or more calls have been placed, verify with Directory Assistance that the number is correct.

If Directory Assistance is not helpful, try calling the contact people listed on the IAS. (See Section 5.3 below for how to solicit information from the contacts.) Verify whether the number you have for the subject is correct or, if the subject has moved, ask whether they could give you the new telephone number.

Document all of your tracing attempts in the Tracing Record section on the back of the Call Record. Preface each tracing attempt with the date and your interviewer ID. Include who you called (Directory Assistance, first contact, second contact) and the outcome of the call. If you are given a new telephone number for the subject, record this number in the Tracing Record section of the Call Record. Do not change the subject's telephone number on the IAS until you have called the number and verified that it is correct.

On the Call Record, be sure to circle "Y" in response to the 'interviewer tracing?-' question.

If you cannot find a correct telephone number for the subject, the assignment will be sent to specially trained people on the Westat staff for more in-depth tracing (see Section 5.4 below). Record the current date in the "date sent" to tracing" field on the Call Record and place the assignment in the Supervisor Attention basket. The assignment will be refiled for further contact attempts if a current telephone number can be found. When it is refiled, a "date back from tracing" will be filled in on the Call Record and an Address Tracing Form will be attached to the other forms for the subject.

Sample Call Records for assignments that required interviewer and indepth tracing are included at the end of this section.

### 5.3 Soliciting Information From Contacts

When you telephone a contact person, identify yourself and briefly describe the purpose of your call.

"Hello. My name is \_\_\_\_\_ I am trying to reach Mr/Ms \_\_\_\_\_ for a health survey that is being conducted by the federal government. Mr/Ms. \_\_\_\_\_ has already participated in this survey and he/she gave us your name and telephone number in case we were unable to reach him/her directly. I have been trying the reach Mr/Ms \_\_\_\_\_ but (explain why you have been unsuccessful]. Can you tell me his/her correct telephone number?"

If the contact seems evasive or cautious about disclosing the whereabouts of the subject, offer Westat's toll-free number:

1-800-638-8778

The contact can either telephone this number or give the number to the subject and ask him/her to call. The person who answers the toll-free line will verify that your call was part of a government conducted survey and will assure the person that all information collected in the survey will be kept confidential.

If the contact doesn't know the subject's telephone number, record whatever information you do receive (i.e., subject has moved to Florida, subject is out of town for two months, etc) in the Tracing Record section of the Call Record.

### 5.4 In-depth Tracing

In-depth tracing is done by specially trained Westat staff for locating hard to find subjects. Cases from this survey will go to the in-depth tracing staff when either

- a) the advance letter and Food Model Booklet sent to the subject is returned as undeliverable, or
- b) the subject's telephone number on the IAS is wrong and you are unable to determine the correct number.

A case that has been through in-depth tracing will have an Address Tracing Form attached to it. If the case was sent for in-depth tracing by one of the interviewers (situation lb' above), the Call Record will have a "date sent to tracing" and a 'date back from tracing".

CALL RECORD  
 SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

subject ID: 3101161718191

interview #: 1 (2)

name: Hernandez, Maria

date sent to tracing: \_\_\_\_\_ final result code: C date: 4/25/90  
 back from tracing: \_\_\_\_\_ appointment required? Y N  
 date sent to remailing: \_\_\_\_\_ interviewer tracing? (Y) N  
 back from remailing: \_\_\_\_\_ remail Food Model Booklet? Y N

ID	Date	Time	DEW	Reslt	Comments	Callback Appt date/time
1	4224	4/15	10:00 A	D	1	
2	4224	4/15	2:30 P	D	1	
3	4226	4/16	7:00 P	E	1	
4	4221	4/17	9:30 A	W	1	
5	4221	4/18	11:00 A	W	1	
6	4224	4/19	3:00 P	D	1	
7	4223	4/19	9:00 P	E	1	
8	4223	4/25	7:20 P	C		
9						
10						

Interim Result Codes:

- (1) ring no answer
- (2) busy signal
- (3) subject not available
- (4) proxy needed
- (5) incomplete interview
- (6) no Food Model Booklet
- (7) wrong number - try new number
- (8) wrong number - interviewer tracing

Final Result Codes:

- (C) complete interview
- (I) incomplete interview
- (NR) refused interview
- (NL) subject not locatable
- (NP) proxy not locatable
- (NH) subject away for extended period
- (ND) subject deceased

NOTES: (label each note with the date and your interviewer ID or with the call number to which the note pertains)

4:19 = 4223 - Call after 4/25 - call in the evening

TRACING RECORD: (label each tracing attempt with the date and your interviewer ID;  
include who you called and the result of the call)

4/14 #4223 - called contact #1; said SP is on vacation until 4/25 - left to  
call in the evening

CALL RECORD  
 SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

pg 1 of 1

Subject ID: 2101142341  
 name: Maynard, Elizabeth Ann

interview #: (1) 2

-----  
 date sent to tracing: 12/14/89 final result code: \_\_\_\_\_ date: \_\_\_\_\_  
 back from tracing: \_\_\_\_\_ appointment required? Y N  
 date sent to remailing: \_\_\_\_\_ interviewer tracing? (Y) N  
 back from remailing: \_\_\_\_\_ remail Food Model Booklet? Y N  
 -----

ID	Date	Time	DEW	Reslt	Comments	Callback Appt date/time
1	4224	12/14	2:15 P	D 8	wrong # - person answering telephone never heard of SP	
2						
3						
4						
5						
6						
7						
8						
9						
10						

- Interim Result Codes:
- (1) ring no answer
  - (2) busy signal
  - (3) subject not available
  - (4) proxy needed
  - (5) incomplete interview
  - (6) no Food Model Booklet
  - (7) wrong number - try new number
  - (8) wrong number - interviewer tracing

- Final Result Codes:
- (C ) complete interview
  - (I ) incomplete interview
  - (NR) refused interview
  - (NL) subject not locatable
  - (NP) proxy not locatable
  - (NH) subject away for extended period
  - (ND) subject deceased

NOTES: (label each note with the date and your interviewer ID or with the call number to which the note pertains)

---



---



---



---



---

TRACING RECORD: (label each tracing attempt with the date and your interviewer ID;  
include who you called and the result of the call)

12/14 #4224 - called DA - no history for SP in Takoma Park  
- called 1<sup>st</sup> contact - said SP moved 2 months ago but doesn't know  
where she moved to

## 6. PROXY INTERVIEWS

A proxy is a person who acts as the respondent in place of the subject. The proxy and subject should work together to respond to the interview questions.

### 6.1 Situations Requiring a Proxy

A proxy is needed if the subject is unable to respond for him/herself. Some reasons why the subject might be unable to respond include the following:

- a) subject is hard of hearing and cannot hear well over the telephone
- b) subject has a speech problem and cannot be understood over the telephone
- c) subject has a vision problem and cannot use the food model diagrams to estimate quantities of food intake
- d) subject has a memory problem or is mentally incapacitated such that he/she cannot recall what foods were eaten the previous day
- e) subject speaks a language other than English or Spanish

A proxy should only be used when the subject has some physical or mental disability or speaks a foreign language that prevents him/her from responding to the interview questions over the telephone. A proxy should not be used just because the subject is not at home. For example, even if you have trouble finding the subject at home and a husband or wife volunteers to tell you what their spouse had eaten the previous day, do not conduct this interview with the proxy. Also, do not conduct a proxy interview if the subject is now in a nursing home or hospital even if the person answering the telephone claims to know everything that the subject had to eat on the previous day.

In most circumstances, the subject should be present with the proxy to respond to the interview questions. The proxy is used as an interpreter or conveyor of information and the subject is the source of the information. However if the subject is mentally incapacitated or is otherwise incapable or responding to the interview questions, it is permissible to use a knowledgeable proxy as the source of information. In the rare case that the subject is home but is too sick or for some other reason is physically unable to come to the phone, you may speak primarily with the proxy. Still, the subject should be available to help the proxy and provide information if needed.

### 6.2 Proxies Used in Previous Interviews

The IAS tells you whether the dietary interview in the MEC was conducted with the subject, with both the subject and a proxy, or with only a proxy present. For second telephone interview assignments, this same information is provided from the first telephone interview.

You should always first try speaking with the subject to determine for yourself whether he/she is capable of responding to the interview. However, it is quite likely that you will need a proxy if one was needed in the past.

Proxy identifying information from the MEC interview is not included on the IAS, so for first telephone interviews, you will need to locate a proxy (see Section 6.3 below). IAS's for second telephone interviews include the name, address, and telephone number of the proxy used in the first telephone interview. You should try to use this same person as a proxy in the second telephone interview.

The IAS also tells you whether the dietary interview in the MEC was conducted in English, Spanish, or "other" language. If "other" language is listed on the IAS, you can be fairly certain that a proxy will be needed for the telephone interview. Speak with the person who answers the telephone and ask if the subject is able to speak English. If not, use a proxy as an interpreter.

### 6.3 Locating a Proxy

if the subject has some mental or physical incapacity and cannot respond at all to the interview question, be sure that the proxy is someone who resides with the subject. Most likely, a person who is incapacitated will have someone living there who acts as a caretaker. A person who does not reside with the subject is unlikely to know what the subject had to eat during the entire day.

If the subject can recall what he/she had to eat but needs help in communicating it to you, you can use someone as a proxy who does not live with the subject. If the subject cannot suggest someone to act as a proxy, try calling the contact people. One of them might act as a proxy or they might suggest other people to call.

### 6.4 Scheduling a Proxy Interview

If a proxy is not available when you initially contact the subject, try and determine the time of day or time of the week when the proxy is usually at the subject's home. You should not schedule an appointment for the callback unless it is unavoidable. A callback is considered to be an appointment when you schedule the interview for a particular date.

An appointment may be unavoidable if the subject insists that you must schedule the interview in order to find the proxy at home, or if one of the contacts has agreed to act as a proxy and you must schedule a time when the contact agrees to be at the subject's residence. If this is the case, record the date and time of the appointment in the Callback Appt column of the Call Record. (Do not circle "Y" for the "appointment required?" question until the scheduled interview is completed.) Place the assignment in the Supervisor Attention basket. The Interview Supervisor will ensure that one of the interviewers will call the subject and/or proxy on the scheduled date.

## 6.5 Proxy Identification Form (PIF)

Whenever an interview is conducted with the aid of a proxy, a Proxy Identification Form (PIF) must be completed. The data which you must record on this form are described below:

SUBJECT ID and name: Copy the subject's ID number and name from the IAS.

Interview # and Date of Interview: Circle "1" or "2" to indicate whether this is a first or second telephone interview. Record the date of the interview.

Final Result Code: Circle the final result code that was recorded on the Call Record. It should be one of the following:

- C - Complete Interview
- I - Incomplete Interview
- NP - Proxy Not Locatable (no interview was conducted because you could not find a proxy)

PROXY Identifying Information: Record the proxy's full name, address, and telephone number. If the proxy is reluctant to give this information, explain that the information will only be used to contact him/her to ask for proxy assistance when we conduct the next dietary interview in four months. If the proxy refuses to give his/her full name, address and/or telephone number, write "refused" in the blank space on the form.

RELATIONSHIP of Proxy to Subject: Describe the relationship of the proxy to the subject (i.e. husband, friend, neighbor, housekeeper, etc.)

REASON For Needing a Proxy: Enter the code number for the reason a proxy was needed for the interview. You can enter up to two codes. If "other" is selected, briefly describe the reason.

You should always ask the proxy for his/her name, address, telephone number, and relationship to the subject before beginning the dietary interview. In this way, you are sure to get the information, rather than waiting until the end of the interview when the proxy might be anxious to leave. It will also help you to assess whether the person will be a good proxy. If he/she refuses to provide any of the proxy identification information, you might try to find someone else who would be more cooperative.

If the final result code - "C" or "I", the entire PIF-should be filled out. If the final result code - "NP", there would be no proxy identifying information. However, you would still enter a reason code for why a proxy was needed.

A sample Proxy Identification Form is included on the following page.

PROXY IDENTIFICATION FORM (PIF)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

SUBJECT ID: 1210111234

interview #: 1 2

name: Maynard, Elizabeth Ann

date of interview: 12/27/89

final result code: C I NP  
(circle one)

PROXY first name: Susan

last name: Whiteson

street: 29 Fieldcrest Rd

city: Silver Spring

state: MD zip code 20975

telephone #: (301) 995-7812

RELATIONSHIP to subject: friend

REASON for needing a proxy: 2

(enter one or two codes)

- (1) hard of hearing
  - (2) speech problem
  - (3) vision problem
  - (4) memory problem/mental incapacity
  - (5) language other than English or Spanish
  - (9) other (specify)
- \_\_\_\_\_
- \_\_\_\_\_

## 7. BEGINNING THE INTERVIEW

### 7.1 Language of Interview

If the previous dietary interview was conducted in Spanish, it will be circled in red on the IAS. For these cases, begin speaking in Spanish when someone answers the telephone. If this language is not understood by the person who answers, begin again in English.

### 7.2 Initial Contact

#### 7.2.1 Introduction

When the telephone is answered, ask to speak with the subject. Use the subject's full name as it appears on the IAS.

If the subject is not home or if he/she is not able to come to the telephone, try to find out the best general time of day or time of the week when the subject is likely to be home and record this information in the Comments column of the Call Record.

If you do contact the subject, the first thing you should do is explain who you are and why you are calling. The introduction should be similar to the following example:

'Hello. My name is \_\_\_\_\_ I am calling as part of the NHANES survey that you took part in last \_(date) We are now continuing our collection of dietary information from \_\_\_\_\_ all participants over 50 years of age. This will give us \_\_\_\_\_ a better idea as to what people in this age group are eating. We are also testing the use of a new telephone interview method to collect dietary data.

You should have received a letter informing you of this telephone survey. The letter also contained a Food Model Booklet which you will need to use during the dietary interview. Did you receive this letter and booklet?"

If the subject says that he/she has received the Food Model Booklet, you can proceed:

'I would now like to administer the same dietary interview that you had during your examination. This will take about 30 minutes. Are you free for the next half hour?"

Whether or not the subject has time to participate in the interview, you should proceed with the subject verification questions (see Section 7.3).

### 7.2.2 No Food Model Booklet

If the subject did not receive the Food Model Booklet or cannot find it, tell him/her that we will mail another copy. Assign an interim result code of "6" to the call. Verify that the mailing address on the IAS is correct and make changes or updates if necessary. Write the current date in the "date sent to remailing" field on the IAS. Clip all of the subject's forms together and place them in the Supervisor Attention basket. The case will be refiled about one week after the Food Model Booklet is remailed. The "date back from remailing" field on the IAS will have the date on which you can continue attempts at contacting the subject.

### 7.2.3 Callbacks

If the subject is not able to devote the next 30 minutes to the interview, ask when he/she will be available so that you can call back. Try to determine the best general time of day or best days of the week. Avoid specifying a particular date or day of the week when you will call back. It is better if the subject does not know the day on which you will call back because he/she might change eating habits in anticipation of the interview.

If the subject insists that he/she will be available on only one particular day, the date and time of the appointment must be entered into the Callback Appt column of the Call Record. Place the subject's forms in the Supervisor Attention basket. The Interview Supervisor will ensure that one of the interviewers will call the subject at the appointed time.

The 'appointment required?' question on the Call Record is asking whether the completed interview took place on a scheduled appointment day. Therefore, do not circle the "Y" response to this question until after the scheduled interview is completed. Do not circle any response to this question when you are making the appointment because you cannot be sure that the scheduled interview will actually take place.

## 7.3 Verification of Subject Information

After you have completed your introduction, you must verify the subject's identifying information. (You should attempt to do this even if the subject does not have time at the moment to do the interview.) Tell the subject that you first want to be sure that the information you have about him/her is correct. Then verify the following information:

spelling of the first and last name

date of birth

home address (and mailing address, if different)

social security number

Make a correction by drawing a line through the incorrect piece of information and writing the correct data directly above it. Or, if data (such as the social security number) is missing on the IAS and you have obtained the information from the subject, write it in the blank space where it belongs.

When a correction or addition is made to the subject's social security number, home address, telephone, or mailing address, you must check one of the fields in the CHANGES column to indicate the type of change that you are making. There are five types of changes, though not all types are available for all fields.

In general, "new" means that you are providing more current information than what is printed on the IAS; "fix" means that you are correcting information that was printed on the IAS; 'none' means that the field(s) on the IAS are blank because there is not information which should appear in those fields; "dk" means that the field(s) are blank because you do not know what the correct information should be; and "refused" means that the field(s) are blank because the subject refused to provide the correct information.

More specifically, the types of changes that you might make to the subject information are outlined below:

**SS** Check "fix" if the SS # listed on the IAS is wrong or is blank and you are entering the correct number; if the SS field on the IAS is blank and the subject says he/she doesn't know the correct number, check "dk"; if the SS field on the IAS is blank and the subject refuses to give you the correct number, check 'refused'.

If the word "refused" is printed on the IAS instead of the SS #, this means that the subject has refused to provide the number when asked for it at a previous interview. Do not ask for it again.

**HOME ADDRESS:** Check "new" if the subject has moved and you are providing a new address. (The old address will be kept in the computer system as the subject's previous address.) Check "fix" if the address listed on the IAS is wrong and you are correcting it (i.e., the spelling of the street name is wrong or the zip code is wrong).

The "dk" and "refused" fields will be used very rarely. Check "dk" if you have determined that the address listed on the IAS is wrong but you do not know the correct address. Check "refused" if you have determined that the address listed on the IAS is wrong and the subject has refused to give you the correct address.

**TELEPHONE:** Check "new" if the subject has a new telephone number which you are entering on the IAS. (The subject may have moved or may have changed his/her number for some other reason.) When "new" is checked, the old telephone number is saved in the computer system.

Check "fix" if the telephone number listed on the IAS is incorrect and you are providing the correct number. Check "none" if the telephone number listed on the IAS is incorrect and you have determined that the subject no longer has a telephone. Check "dk" if the telephone number listed on the IAS is incorrect but you have not determined the correct number.

MAILING ADDRESS: The change fields for mailing address are the same as those for home address except for the additional choice of "none". Check "none" if a mailing address is listed on the IAS but you have crossed it out because you have determined that the subject does not actually have a separate mailing address.

Sample IAS's with interviewer corrections are included on the following pages.

Once you have verified the subject information, ask the subject to get the Food Model Booklet and begin the dietary interview.

#### 7.4 Two Subjects At The Same Telephone Number

If two subjects live at the same residence, their IAS's will be clipped together. You should attempt to interview both of them when you telephone. If you complete an interview with one of the subjects but not with the other, put the completed assignment in the Complete basket and cross out the subject ID of the "other subject at same telephone #" on the IAS of the incomplete assignment so that the next interviewer to work on the case will not look for the IAS of this other subject.

You are to give a full, individual interview to each subject. Do not allow the subjects to answer as a pair, even if their diets for the previous day were very similar. Explain that you must ask each person to answer for him or herself despite the fact that it might require more time.

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 1011234 Telephone Start Date: 12/13/89  
Interview #: 1 Telephone End Date: 01/17/90

-----  
SUBJECT INFORMATION

NAME: Maynard, Elizabeth Ann  
sex: F age: 57 DOB: 05/15/32

CHANGES

SS #: 109-38-8761 <---- fix \_\_\_  
dk \_\_\_  
refused \_\_\_

HOME ADDRESS: Hillside Manor Apts <---- new \_\_\_ fix   
1082 University Blvd<sup>Ave</sup> #1104 dk \_\_\_  
Takoma Park, MD 20912 refused \_\_\_

TELEPHONE: (301) 744-1872 <---- new \_\_\_ fix \_\_\_  
listing name: Maynard, James none \_\_\_ dk \_\_\_

MAILING ADDRESS: ~~P.O. Box 745~~ (SP no longer maintains <---- new \_\_\_ fix \_\_\_  
Takoma Park, MD 20912 a P.O. box) none  dk \_\_\_  
refused \_\_\_

OTHER SUBJECT at same telephone #: 1011247

-----  
MEC DIETARY INTERVIEW

Interview Date: 11/14/88  
Respondent: participant  
Language: English

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 3011234 Telephone Start Date: 04/15/90  
Interview #: 2 Telephone End Date: 05/20/90

-----  
SUBJECT INFORMATION

NAME: Hernandez, Maria

sex: F age: 57 DOB: 05/15/32

SS #: refused

CHANGES

<---- fix \_\_\_  
dk \_\_\_  
refused \_\_\_

HOME ADDRESS: ~~1002 University Blvd~~

<---- new \_\_\_ fix \_\_\_  
dk   
refused \_\_\_

Takoma park, MD 202912

(SP has moved) - Jk new address + telephone #)

TELEPHONE: ~~(301) 744-1872~~

<---- new \_\_\_ fix \_\_\_  
none \_\_\_ dk

listing name:

MAILING ADDRESS:

<---- new \_\_\_ fix \_\_\_  
none \_\_\_ dk \_\_\_  
refused \_\_\_

OTHER SUBJECT at same telephone #:

-----  
MEC DIETARY INTERVIEW

Interview Date: 11/14/88  
Respondent: participant & proxy  
Language: English & Spanish

-----  
FIRST TELEPHONE INTERVIEW

Interview Date: 12/13/89  
Respondent: participant  
Language: Spanish

## 7.5 How To Handle Refusals

Participants in NHANES III were informed that they may be recontacted in the future, and all telephone numbers were provided voluntarily by the participants. Still, there will be some subjects who will outright refuse to participate in the telephone survey and others who will tacitly refuse by avoiding the interview.

Identifying why a person may decline to participate will assist you in gaining the subject's cooperation. When you first sense some degree of unwillingness on the part of the subject, it is wise to try and identify why the person is declining and what positive force can be employed to your advantage.

- cost in time and energy

It may be that you have reached the subject at a particularly busy time. Also, contacts at mealtimes or bedtime are likely to be resented. Should you make contact at an inconvenient hour, apologize for the intrusion and try to determine when the subject is usually at home and is not busy.

If the subject says that he/she *is* "too busy" or the interview is "too long", stress the importance of the research and the importance that he/she be represented in this research.

- hostility towards NHANES III or government surveys in general

If the subject is hostile toward government surveys, you may reiterate the purpose of the survey and the use of the information. You can also say that his/her experiences may get overlooked if he/she decides not to participate in the survey.

It is always helpful to preface a rebuttal to a subject's objection with a token agreement or understanding of the problem: e.g., "I can understand that", or "You certainly have the right to feel that way".

- fear of the interviewer or use of the data

If the subject seems mistrustful of who you are, remind the subject that he/she has received an advance letter about the interview. If the subject is still hesitant, offer Westat's toll free number so that he/she can verify the authenticity of the study.

If the subject is fearful of how the data you collect will be used, assure him/her that as before, all answers will be kept confidential according to federal regulations and will be used for research purposes only. No information that could be used to identify the subject will be released or published.

- subject matter too personal

The questions asked in this dietary survey should not be threatening or too personal to most subjects. However, a subject may be reluctant to describe his/her food intake if he/she ate a lot of "Junk" foods. You can alleviate this problem by being non-judgmental and by not expressing surprise at what you may consider to be bizarre eating habits.

Another sensitive subject area is food sufficiency, which is addressed in the Trailer Questions of the DDC program. Reading each question in an even-toned manner and not being hesitant yourself can eliminate hesitancy on the subject's part.

If you find that you are not getting anywhere with the subject, try to end the conversation before you get a final "no". It may just be a bad time or a bad day and you or another interviewer may try again on another day. If the subject is adamant about his/her refusal, assign a final result code of "NR" to the case and fill out a Non-Interview Report Form (see Section 10.3).

## 8. CONDUCTING A DIETARY INTERVIEW BY TELEPHONE

Instructions for conducting the 24-hour dietary interview are contained in the Dietary Interviewer's Training Manual for NHANES III. For the most part, instructions for the telephone interview are the same as those outlined in the NHANES III manual for the in-person interview in the MEC. However, conducting a dietary interview over the telephone with the subject sitting at home presents situations and possible difficulties which are not experienced in the field. This chapter' addresses these issues.

### 8.1 Which Foods To Include In The Quick List

During the field interview in the MEC, subjects 20 years and above were asked if they changed the way they ate the night before because of fasting requirements for the MEC examination. If they did, the foods consumed on the evening before the recall day were recorded. This fasting question does not need to be asked for the telephone interview. Record only those foods which the subject ate on the previous day, from midnight till midnight. Do not record any foods that the subject says he/she normally eats during the day but did not happen to eat on the day of recall.

If the subject is reluctant to tell you what he/she had to eat to day before because his/her diet that day was very unusual (due to illness, large party, travel, etc), do not permit the subject to tell you what he/she normally eats. Reassure the subject that we want to know exactly what was eaten on the previous day. If the food quantities were unusual, the reason for the unusually large or small quantity will be noted at the end of the interview.

### 8.2 Introduction To The Collection Of Food Details

The following is an example of what to say after completing the Quick List:

"Now we're going to fill in more details about your list of foods. Please try to describe these foods to the best of your ability. It is not necessary for you to leave your seat to check a food in your kitchen or to ask someone else about the meal preparation."

It is important to stress to the subject that he/she should not go looking in the kitchen in order to find a brand name, read a package label, compare the size of their glasses with those in the Food Model Booklet, etc. You should also discourage the subject from asking another person who usually prepares the meals to help answer some of the questions. We are interested in recording the subject's food consumption to the best of his/her knowledge.

If a food is readily available, you may permit the subject to read the brand name or food label. You may also permit the subject to ask another person a question or two if that other person is right at hand. However, do not allow these activities if they are adding too much time to the interview. Use your judgement

### 8.3 Meal Names and Where Eaten

Before beginning the Food Entry process, you must introduce the subject to the "list of meals" and the "where eaten" selections. In the MEC, these two lists were displayed on the wall. For the telephone survey, the lists are printed on the first two pages of the Food Model Booklet.

The following is an example of your introduction to the "list of meals" and "where eaten" selections:

"If you open your Food Model Booklet, you will see a list entitled "list of meals" on the first page and another list entitled "where eaten" on the second page. For each food or group of foods that you've reported, I'll have you select an answer from each list. "There is no right or wrong answer."

### 8.4 Food Model Booklet

The Food Model Booklet contains diagrams of the food models that were used by the subjects in the MEC. The circles in the booklet are diagrams of both the floppy disks and hard disks that were available in the MEC.

The following is an example of your introduction to the Food Model Booklet:

"The Food Model Booklet contains diagrams of the food models that you used in the examination center to describe the amount of food you ate. You may use the booklet, or you may describe the amounts in common terms, such as a slice of bread or a whole medium-sized apple. Please use whichever description you feel is most appropriate for describing the quantity of a particular food.,,

"I would like to take a minute to go through the Food Model Booklet with you, to reacquaint you with the models that you used in the MEC. Page 3 contains diagrams of shapes, and pages 3 and 4 have a ruler and a size grid. You can describe a food by telling me its shape and then using the ruler or size grid to give me the dimensions of that shape.'

'Pages 5 through 12 contain the diagrams of the food models. If you use one of these diagrams to describe a quantity of food, please tell me the page number and name or code number of the diagram. For cups, bowls, and glasses, tell me which line on the diagram best describes the portion you ate or drank. When you use any of the spoons, please tell me the quantity in level spoonfuls.,,

Pages 13 through 17 contain various size circles. If you use these circles to describe the size of a food such as a cookie or slice of lunchmeat, please tell me the thickness of the food in terms of the number of thickness sticks."

It is not necessary to introduce the diagrams of the milk cartons, pizza slice, or muffin. If the subject is having trouble describing a quantity of milk, pizza, or muffin, and you sense that one of these diagrams might be helpful, you may refer the subject to the appropriate page.

#### 8.5 Final Checklist

After the Recall Review is completed, a paragraph appears on the computer screen with a list of commonly forgotten foods. Read the paragraph aloud to the subject; do not read the list of foods. Refer the subject to the Final Checklist which is printed on the last page of the Food Model Booklet. Allow the subject sufficient time before continuing, then read the question, "Can you think of anything else that you ate or drank yesterday that you haven't mentioned?"

## 9. ENDING THE INTERVIEW

### 9.1 Exit Questions

The Exit Questions should be asked immediately after you finish the dietary interview on the DDC system. Tell the subject that you have a few additional questions that you would like to ask about his/her health and eating habits. Then read the questions exactly as stated on the form. Answer each question by circling the codenumber of the selected response.

For question #2, "Are you presently following a special diet because of a medical reason or health concern?", a 'special diet' is either

- a diet which was prescribed by a doctor or dietician, or
- a specified diet plan, such as the Vanderbilt Diet (usually for weight loss).

If the answer to question #2 is "no", skip question #3 and proceed to question #4. If the answer is "yes", read question #3, "what type of special diet are you following?" Do not read the list of the types of diets. Circle the code number of each type of diet that the subject says he/she is following. You may select as many responses as necessary.

Record verbatim whatever the subject might say in response to question #5 regarding their health or eating habits.

A sample Exit Question sheet is included on the next page.

EXIT QUESTIONS  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 12101112341

interview #: 1 2

name: Maynard, Elizabeth Ann

- 
- 1) How would you describe your present health? Would you say it is excellent, very good, fair, or poor?
- 1 - Excellent
  - 2 - Very Good
  - 3 - Fair
  - 4 - Poor
- 2) Are you presently following a special diet because of a medical reason or health concern?
- 1 - Yes, following a special diet
  - 2 - Not following a special diet [skip to Question #4]
- 3) What type of special diet are you following? (Circle codes for all that apply)
- 1 - Diabetic Diet
  - 2 - High Calcium
  - 3 - High Fiber
  - 4 - Lactose Intolerance
  - 5 - Weight Reduction/Low Calorie
  - 6 - Low Cholesterol
  - 7 - Low Fat
  - 8 - Low or Reduced Sodium
  - 9 - Ulcer Diet Plan
  - 10 - Other: \_\_\_\_\_
  - 11 - Do not know medical reason or health condition
- 4) Do you have a preference for either the in-person interview method or the telephone interview method?
- 1 - Prefer in-person interview method
  - 2 - Prefer telephone interview method
  - 3 - No preference
- 5) Is there anything you wish to add about your health or eating habits?
- My cholesterol level was 280 - I was able to get it down to 220
- \_\_\_\_\_
- \_\_\_\_\_

## 9.2 Verification of Contact Information

After administering the Exit Questions, remind the subject that he/she had given us the names of a couple of people who could be contacted in case we are unable to locate him/her for future follow-up information. Read the names, addresses, telephone numbers and relationships of the contact people listed on the IAS and ask the subject if this information is still accurate.

In many cases, the IAS will list only one contact person (or perhaps no contacts at all), or the information about a contact person will be incomplete. **IT IS YOUR JOB TO TRY AND ATTAIN COMPLETE IDENTIFYING INFORMATION FOR TWO CONTACT PEOPLE.**

Contacts can be friends, relatives, neighbors, pastors or rabbis, or other people who know the subject well. A contact should always be an individual person. Do not list the subject's workplace or church as the contact name. An individual at the subject's workplace or church, however, may serve as a contact.

If the subject does not know the telephone number or address of the person who is listed as the contact, try to get the subject to replace this person with another contact for whom they do know the address and telephone number.

We may need these contacts over the next five or ten years in order to locate lost subjects. Since our subjects are all over 50 years old, try to avoid contacts who are the subject's mother or father. These people may not be useful contacts ten years from now.

When changing or adding to the contact information which appears on the IAS, you must check the appropriate field which indicates the type of change that you are making. On the top lines, next to the titles FIRST CONTACT and SECOND CONTACT, the two types of changes are 'new' and 'fix'. Check 'new' if the contact information on the IAS is blank and you are adding a new contact or if you are replacing the contact listed on the IAS with a new contact. Check 'fix' if you are correcting any of the information listed for the contact. For example, you might correct the contact's address if the person has recently moved, or you might correct the contact's telephone number if it is listed incorrectly on the IAS.

The types of changes for the contact's telephone number are "none", "dk", and "refused". You need to check one of these fields only if you are changing the telephone number currently list on the IAS to blanks or if you are adding a new contact person and his/her telephone number field is blank. Check "none" if the telephone number is missing because the contact does not have a telephone. Check "dk" if the subject just doesn't know the contact person's telephone number. Check "refused" if the subject refuses to give you the contact's telephone number.

Sample IAS's with changes made to the contact information are included at the end of this section.

Although we have made provisions for contact people without telephone numbers, you should avoid listing such people as contact. Contacts without telephone numbers are not very useful if we should need to trace the subject in the future.

### 9.3 Notification of Second Telephone Interview

When you have completed all interview procedures, you should thank the subject for taking his/her time in participating in this survey. Remind the subject that he/she has made a valuable contribution to our efforts in nutrition research.

If you are conducting a first telephone interview, tell the subject that this nutrition study requires that we do two dietary interviews per subject and that the next interview will take place in about four months. The subject will receive a letter to notify him/her in advance of the second interview.

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

subject ID: 2011234

interview #: 1

FIRST CONTACT

<---- new \_\_\_ fix \_\_\_

NAME: Erickson, Karen M

ADDRESS: 112 S 34th St

Minneapolis, MN 5501

TELEPHONE: (202) 387-3681

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name: Erickson, James

RELATIONSHIP: sister

SECOND CONTACT

<---- new  fix \_\_\_

NAME: Rayburn, Michael

ADDRESS: 1052 University Ave # 1103  
Takoma Park, MD 20912

TELEPHONE: (301) 744-9123

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name:

RELATIONSHIP: neighbor

INTERVIEWER ASSIGNMENT SHEET (IAS)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 1011234

Interview #: 2

-----  
FIRST CONTACT

<---- new \_\_\_ fix

NAME: Rincito, Juan M.

ADDRESS: <sup>12</sup>~~122~~ S 34th St  
Takoma Park, MD 20912

TELEPHONE: (202) 387-3681

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name: Rincito, Juan

RELATIONSHIP: friend

-----  
SECOND CONTACT

<---- new  fix \_\_\_

NAME: ~~Hernandez, Carlos T.~~ Flores, Maria

ADDRESS: ~~1819 Greentree Dr~~ 24 Salem St  
~~Hamilton, TX 70214~~ Silver Spring, MD 20987

TELEPHONE: none (301) 477-5423

<---- none \_\_\_ dk \_\_\_  
refused \_\_\_

listing name: Flores, Michael

RELATIONSHIP: ~~brother-in-law~~ friend

-----  
PROXY INFORMATION

NAME: Feskanich, Diane

ADDRESS: 1106 Linden Ave Apt 202  
Takoma Park, MD 20912

TELEPHONE: (301) 270-0120

RELATIONSHIP: next door neighbor

REASON FOR NEEDING A PROXY: hearing problem  
memory problem/mental incapacity

## 10. INCOMPLETE INTERVIEWS AND NON-INTERVIEWS

### 10.1 Incomplete Interviews

#### 10.1.1 When Is An Interview Incomplete?

An incomplete interview is one in which you began but did not complete the computerized dietary interview using the DDC system.

#### 10.1.2 How to Handle an Incomplete Interview

Try to avoid incomplete interviews by asking the subject whether or not he/she is free for the next thirty minutes before you begin the dietary interview. If the subject says that he/she must leave shortly, ask when it would be convenient for you to call back. As described in previous sections of this manual, do not schedule a callback for a particular date unless it is unavoidable. Try to determine the best time of day or days of the week when the subject is at home and record this in the Comments column of the Call Record.

If you begin an interview and the subject breaks off before the DDC system interview is complete, ask when you may call later that same day to continue. Stress to the subject that it is important that you call back later today - otherwise you will need to begin a new dietary interview for another 24 hour period. When an interview is interrupted and continued at a later time, it must be continued by the same interviewer on the same PC.

(It is also permissible to continue the dietary interview on the next day if you plan on coming to work on that day. In this situation, you should not put the assignment in a work basket at the end of the day. Keep it aside so that another interviewer will not pick it up. You must be sure to use the same PC when you continue the interview on the next day.)

Remember, if you are unable to contact the subject by the next day, do not continue with the same dietary interview. You must start the dietary interview again, from the beginning.

In the NOTES section of the Call Record, describe why the subject broke off before the interview was complete and record where the break occurred (i.e., 'after description of lunch').

#### 10.1.3 Result Codes for Incomplete Interviews

When a telephone contact results in an incomplete interview, an interim result code of "5" is assigned to the call.

If you are unable to recontact the subject or if you do recontact the subject and he refuses to complete the interview, a final result code of "I" is assigned on the Call Record. Remember that if the subject refuses to continue an interview that was already begun (this includes the case where you must begin the dietary questioning again because it is more than one day since your initial contact), this should not be coded as a "refused interview" - it receives a code of "I" for an "incomplete interview".

A Non-Interview Report Form (see section 10.4 below) must be filled out for all cases with a final result code of "I". These will be reviewed by the Inter-view Supervisor and/or the Survey Coordinator to determine whether the assignment should be refiled.

## 10.2 How To Interrupt and Restart The DDC System

If the subject breaks off before the dietary inter-view is complete, you must tell the DDC system to save your work so that you can complete it at a later time. **DO NOT EXIT THE DDC PROGRAM WITHOUT FOLLOWING THESE INTERRUPT PROCEDURES.** If you do not follow these procedures, the Quick List will be lost and the DDC system will not be able to prompt you with these foods when you continue the interview.

When you interrupt the DDC system, the system responds in the same way that it does when there is a system abort or a mechanical failure. In a sense, the DDC system treats your interrupt as an "intentional abort". The messages on the screen will refer to 'abort procedures', so don't be confused by this terminology.

The procedures for interrupting and restarting a dietary interview on the DDC system are as follows:

### Interrupting the DDC Dietary Interview

- 1) At any point during the dietary interview, you can interrupt the system by hitting

<Ctrl> C

which means that you must press the key labelled "Ctrl" and the letter "C" key at the same time. The system will then display the following menu:

---

#### DIETARY DATA COLLECTION (DDC) CONTROL PROGRAM

The DDC has terminated abnormally.  
Do you wish to:

Replay recall excluding last keystroke  
Replay to specified position  
Ignore error, start a new interview  
Ignore error and quit  
Copy keystroke file for later analysis

---

Select

copy keystroke file for later analysis

and press ENTER. The keystroke file is a recording of all of the keys you hit in entering the dietary information.

- 2) The system will now ask you what you want to name this keystroke file:

Copy the keystroke file to:

Name the file using the subject's 7-digit ID, followed by a period and the word "key". For example, if the subject ID is 1234567, the keystroke file should be named:

Copy the keystroke file to: 1234567.KEY

- 3) Once you have saved the keystroke file by entering the file name and pressing ENTER, the same abort menu will appear on the screen. This time, select

Ignore error and quit

if you want to exit the DDC system, or Select

Ignore error, start a new interview

if you are ready to begin a new dietary interview.

#### Restarting the DDC Dietary Interview

- 1) When you are ready to continue the dietary interview, you must call the DDC program using the "front -k" command with the name of the keystroke file that you saved:

FRONT -K 1234567.KEY

The system will begin by displaying the same abort menu selections. This time, choose the first selection:

Replay recall excluding last keystroke

- 2) After hitting the ENTER key, you will see your previous responses quickly flash across the screen as the system replays the dietary interview. Once the system gets to your next-to-last keystroke, the system will stop, the next-to-last DDC dietary screen from the incomplete interview will be displayed, and the following choices will appear on the top line:

1. Live mode 2. Continue playback 3. Play N-keystrokes

The reason that the system does not replay the last keystroke is that if the system had truly aborted, we would not want to replay the same keystroke and cause another abort. In the case of an interrupted interview, we want to replay every keystroke that had been entered. Therefore, type "2" for "Continue playback. The number choices on the top line will disappear. Now hit the Spacebar. Your final keystroke from the previous interview will then playback.

- 3) The last screen of the incomplete interview should now be displayed. The message at the top of the screen will read:

End of keystroke file:            switching to live mode. Press any key to continue.

Press any key on the keyboard. The message at the top of the screen will disappear and you are ready to continue the dietary interview. (This first screen will be missing its usual heading on the top line)

### 10.3 Non-Interviews

A non-interview is the result of a failure to contact the subject, a failure to locate a needed proxy, or a refusal from the subject to be interviewed (see section 7.5 for a discussion on how to deal with refusals).

Non-interviews have final result codes that begin with the letter "N". These codes are listed below:

NR - refused interview  
NP - proxy not locatable  
NL - subject not locatable  
NH - subject away for extended period  
ND - subject deceased

A Non-Interview Report Form (see below) must be filled out for every assignment that results in a non-interview. These will be reviewed by the Interview Supervisor and/or the Survey Coordinator to determine whether the assignment should be refielded for continued contact attempts.

#### 10.4 The Non-Interview Report Form (NIRF)

You must complete an NIRF for an assignment that results in an incomplete interview or a non-interview.

Complete the top of the form by copying the subject's ID number and name from the IAS. Circle whether this is a first or second telephone interview.

The NIRF has three sections. **COMPLETE ONLY THAT SECTION WHICH IS APPROPRIATE FOR THE FINAL RESULT CODE OF THE ASSIGNMENT.**

Answer the questions in the first section if the final result code - "I" or "NR". You are asked to state verbatim the subject's reason for refusing (in the case of a refused interview) or breaking off (in the case of an incomplete interview). You must also circle one or more code numbers for the descriptions that apply to the reason for refusal or breakoff. For the final part of this section, you are asked to describe what you said or did to persuade the subject to begin or continue the interview.

If the final result code - "NP", "NL", or "NH", you are only asked to describe what you did to try and contact the subject (in the case of "NL") or locate a proxy (in the case of "NP"). If the final result code is 'NH', record where the subject is and when (or if) he/she is expected to return.

If the final result code - 'IND', you must complete the third section of the NIRF. This asks for the subject's date and place (city and state) of death. If the person who tells you that the subject is deceased is not able to answer these questions, do not pursue trying to attain this information. Write "DK" for "don't know" in the answer spaces on this form.

A sample NIRF is included on the next page.

NON-INTERVIEW REPORT FORM (NIRF)  
SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

Subject ID: 12101112341

interviewer #: (1) 2

name: Maynard, Elizabeth Ann

-----  
If final result code = INCOMPLETE INTERVIEW..... I  
REFUSED INTERVIEW..... NR

\* State reason for refusal/breakoff (record verbatim)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* Circle all that apply:

- Too busy..... 1
- Not interested..... 2
- Interview sounds too long/is taking too long..... 3
- Must breakoff to take care of other business..... 4
- Negative reaction to the MEC examination..... 5
- Negative reaction to government or surveys in general..... 6
- Subject does not think interviewer is legitimate/mistrust..... 7
- Confidentiality/too personal..... 8

\* What methods did you use to persuade subject to cooperate/continue?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

-----  
if final result code = PROXY NOT LOCATABLE..... NP  
SUBJECT NOT LOCATABLE..... NL  
SUBJECT AWAY FOR EXTENDED PERIOD..... (NH)

\* What did you do to try and contact the subject or locate a proxy?

Husband said that SP is in England for three months visiting  
his daughter - will not return until 2/1/88  
\_\_\_\_\_  
\_\_\_\_\_

-----  
if final result code = SUBJECT DECEASED..... ND

\* Date of death: \_\_\_\_\_

\* Place of death: \_\_\_\_\_  
city state

-----

## 11. QUALITY CONTROL

The quality control procedures that will be used for the telephone dietary interview will follow as closely as possible the procedures that are used for the in-person interviews in the MEC. The quality control procedures in the MEC are outlined in the Dietary Interviewer's Training Manual for NHANES III. The differences and similarities in the procedures that will be used for the telephone interview are outlined below.

### 11.1 Monitoring The Interview

Random telephone interviews will be monitored by NCHS and Westat staff, especially during the first few months of the survey. As interviewers become more familiar with the computerized dietary interview, monitoring of the interviews will occur less frequently.

Interviewers will be evaluated on their

- 1) telephone interviewing skills
- 2) proper use of the computerized dietary interview system
- 3) ability to pose neutral questions and extract accurate information from the respondents during the dietary interview
- 4) proper use of the Food Model Booklet
- 5) complete and accurate entry of data onto the survey forms

Monitoring will also include review of printed recalls. Interviewers will receive feedback on these recalls and questions and concerns may be discussed.

We will not audio tape any of the interviews as part of the quality control process.

### 11.2 Editing the Recall

It is your responsibility to edit every recall using the Edit functions of the DDC system. This is fully explained in the NHANES III manual.

Unlike the MEC interview, you will not be required to do any

- 1) data retrieval from outside sources, such as feeding programs for the elderly, work cafeterias or local restaurants
- 2) market checks for foods that are missing in the DDC system

### 11.3 Cross-checking Of Recalls

Every tenth dietary recall will be cross-checked by another interviewer. The Interview Supervisor will monitor the Interviewer Control Logs to determine the tenth interview with a final result code of "C". She will print a Recall Report for this interview and assign it to another interviewer for review.

The NHANES III manual describes how to review the Recall Report from another interviewer and how to fill out the Verification Problem Sheet if there is a discrepancy.

## 12. ADMINISTRATIVE ISSUES

### 12.1 Interviewer Control Log

Each interviewer will maintain an Interviewer Control Log. Start a new log at the beginning of every month by entering your name, interviewer ID number, and the current month at the top of the form.

When you complete an assignment (that is, you have assigned a final status code to the assignment), record the date, the subject's ID number, and the final status code assignment on one line of the form. Use a second sheet, if necessary, to continue the list, entering the same heading information at the top of the second sheet. Note the total number of log sheets that you used for the month.

The Interview Supervisor will use this log to determine which recalls should be cross-checked by another interviewer.

A sample Interviewer Control Log is included on the next page.

### 12.2 Editing and Printing The Dietary Recalls

The Interview Supervisor will remove the recalls from the hard disks of the PC's about every two or three days and move them to back-up diskettes. Once they are removed from the hard disk, you will no longer be able to access them for editing or printing. Therefore, it is essential that you have fully edited all of your recalls and that you have printed a copy of all of the recall reports at the end of each working session.

if you are unable to fully edit a recall because you have a question about how to enter a particular food, leave the assignment with the question in the Supervisor Attention basket. The Interview Supervisor will refrain from removing the questionable recall from the hard disk. You can finish editing the recall when your question has been answered.

### 12.3 Project Charge Number

Each Westat study is assigned a specific charge number. The charge number for this study is

930204

Use this number when dialing the long distance calls and also when you fill out your employee time sheet.

INTERVIEWER CONTROL LOG  
 SUPPLEMENTAL NUTRITION SURVEY OF OLDER AMERICANS

pg 1 of 1

Interviewer ID: 4220  
 name: Tanica Windham

month: January '90

	Date	Subject ID	Result.
1	1/3	2031579	C
2	1/3	2035632	C
3	1/3	2048991	ND
4	1/5	2040718	C
5	1/5	2033775	C
6	1/5	2030102	C
7	1/6	2044996	C
8	1/8	2037476	NR
9	1/8	2045927	C
10	1/8	2057139	C
11	1/8	2053432	C
12	1/9	2046434	C
13	1/9	2051297	C
14			
15			
16			
17			
18			
19			
20			

	Date	Subject ID	Result.
21			
22			
23			
24			
25			
26			
27			
28			
29			
30			
31			
32			
33			
34			
35			
36			
37			
38			
39			
40			

Circle the line number of every tenth completed interview (Result = C);  
 these Recall Reports will be cross-checked by another interviewer.

## 12.4 Verification Calls

If a subject wants to verify the legitimacy of the study, he/she may use Westat's toll-free number.

1-800-638-8778

You should explain that this is a central number used for many Westat projects, so that when the phone is answered, the subject should ask to speak with the supervisor of the 'Dietary Telephone Interview for NHANES III'.

If you give a subject this toll-free number, fill out an "800 number" card so that the telephone supervisors are aware that this person may be calling and are alerted as to what they are calling about.

### 13. COMMON QUESTIONS ASKED BY SUBJECTS

Subjects may ask you questions about their MEC examinations, or they may ask for additional information about the survey or the dietary interview. If you do not know the answer to a question, tell the subject that someone will call back to discuss the issues. Give the subject's name, ID number, telephone number and questions to the Interview Supervisor and she will pass it along to the appropriate person for help.

The following is a list of anticipated questions and responses that may help you answer some of the more common inquiries.

- 1) I never received the results of my examination tests. How do I find out if I am OK?

You may call this telephone number: (301) 436-8267. Tell the person who answers the telephone that you would like Dr. Savage to call you back about the results of your NHANES III examination. Leave your name, telephone number, and the city in which you received your examination, and Dr. Savage will call with your examination results.

- 2) This is the second time I have been contacted. Am I being recontacted because there is something wrong with me?

Please do not feel that you are being singled out for any medical or health reason. We are trying to recontact all adults over 50 years of age who were examined in the Mobile Exam Center for this study.

- 3) Yesterday was not a typical day for me because I went to a wedding reception and ate a lot of rich food (because I was too busy to eat, etc.). Wouldn't you prefer that I tell you what I usually eat or what I ate the day before yesterday?

I appreciate your concern. However, we do want to know what you actually ate yesterday. We are collecting information from a large number of people so we expect to see a lot of variation in food intakes.

- 4) Most of my meals are prepared in a Meals on Wheels kitchen [prepared by a relative or housekeeper, bought ready to eat, etc.] so I really don't know a great deal about what is in them or how they are prepared. Wouldn't you rather speak with someone who could better answer your questions?

We would like you to describe the foods as best you can. Describe the foods by how they looked and how they tasted. If you don't know the ingredients in a food or how a food was prepared, just tell me that you "don't know". You do not need to ask anyone else in order to find out the information.

5) Why do I need to repeat the same dietary interview?

I appreciate the fact that this interview will take time out of our day, but I can assure you that this information will contribute to important studies which will examine possible relationships between diet and health. Researchers can get a much better idea of a person's usual food intake when they can see the foods eaten on three different days than when they have only one day's consumption.