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ATTACHMENT TO
NATIONAL OCCUPATIONAL EXPOSURE
SURVEY (NOES)

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The manual for National Occupational Exposure Survey (NOES) interviewers is presented and the surveying organization is described. An overview of the practice of survey research, and a discussion of what a survey is, the use of survey data, and procedures for conducting a survey are included. The role of the interviewer is assessed. The importance of anonymity and confidentiality is stressed, and laws pertaining to privacy are cited. General interviewing techniques are described for gaining cooperation of the subject, telephone contact, and dealing with refusals. The use of the questionnaire to obtain information, probing to obtain more complete information, recording the responses, and editing the questionnaires are discussed. Specific field procedures are outlined for sampling and contact procedures. Handling of specific problems or situations as they occur during interviews is reviewed. Administrative procedures including quality control, record keeping, telephone center organization, resources, and use are described.

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NIOSH NOHS II

Interviewer's Manual

Westat
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PART I - INTRODUCTION

The following sections present:

- A background of your employer, Westat;
- A general overview of survey research;
- Your role as an interviewer;
- Confidentiality practices to be followed during the survey; and
- Background Information of this survey.

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1. ABOUT WESTAT

Westat is an employee-owned research firm located in the Metropolitan Washington, D.C. area (Rockville, Maryland). Since its founding in 1961, Westat has become widely recognized as one of the leading research firms engaged in survey research, program evaluation, mathematical and statistical analysis, and computer applications.

Westat's professional staff includes men and women trained in the behavioral and social sciences -- economics, psychology, sociology, statistics, political science, and related fields. We serve a variety of organizations. Our clients include various government agencies, private organizations and universities, and other nonprofit organizations. One of our main activities is conducting surveys for agencies of the Federal government.

Westat's studies cover a broad range of subject areas -- economics, education, environmental protection, health and health services, housing, manpower and employment, and transportation.

Since high quality field work is absolutely essential for a good research product, Westat interviewers are a vital and highly valued part of our research team. Westat is proud of its reputation in the research field, and hopes that you will also enjoy and be proud of your role in this effort.

The next several sections contain general information about surveys and how, when, and why they are used. Such information will give you a general framework for understanding Westat's surveys and will also provide answers to some of your own (or future respondents') questions.

2. OVERVIEW OF SURVEY RESEARCH

2.1 What is a Survey?

A survey usually involves collecting data from a group of people selected to represent accurately the general population under study. We call the selected group a "sample." People in the sample are asked a series of questions (a questionnaire). The answers obtained are put together in an organized way so that conclusions can be drawn. This information is then used in planning, research, and solving particular problems.

Skillful interviewing procedures are used to ensure full and accurate information. Careful methods are followed so that the data gathered from the sample of respondents can be confidently used to represent the total population. The use of the sample means that a small number of respondents can be selected to represent the whole population, making it possible to avoid the expensive and time-consuming procedure of taking a census (a "census" involves a complete accounting of every person in the population being studied).

Survey information can be collected in many different ways. Questions can be asked face-to-face, or by telephone. Written questionnaires can be distributed by hand or mailed and can request extended comment by the respondent or answers indicated by simply checking a box or circling a code number. The type of survey technique used varies from study to study, depending on the kind of information sought, factors of time and budget, and the characteristics of those who are surveyed.

1. Planning the Study

Once it is decided that a survey is the best way to obtain the information needed, the specific objectives of the study must be defined; that is, what are the questions which the survey is to answer. After the specific objectives are defined, decisions need to be made as to the population to be covered and the best method to collect the desired information (i.e., by personal interview, telephone, or mail).

2. Selecting the Sample

Once we know what information we need and how best to obtain it, the next step is to select the sample for the study. The group of people to be covered by the survey must be defined and the number of people to be in the sample must be decided.

Since a sample is only a small part of the total population, it must be carefully selected to properly represent the total population. The sample's characteristics must reflect those of the entire population.

All sample households or members in a household are listed in a predetermined order. Those to be interviewed are chosen randomly from these listings. Samples are designed so that all members of the population have an equal or known chance of being selected as respondents.

3. Constructing the Questionnaire

Once the information needed is determined, we are ready to start designing the questionnaire. The researcher must word the questions so that they can be clearly understood. The

2.2 Use of Survey Information

The content, or type, of survey questions usually concerns people's behavior, knowledge, attitudes, how and where they live, and information about their background. Surveys are used when desired information cannot be obtained more accurately and less expensively by other means.

The results of survey research are used in many ways. For instance, social agencies may need information to help them evaluate their methods of handling particular problems. The government may use survey data to help plan for future programs or improve existing facilities. Often people's behavior as consumers or their attitudes and knowledge on important issues are surveyed, so information about social and economic conditions can be known by the public and by experts in the field.

For these reasons, the survey researcher is usually interested in such questions as "How many?", "Who?", "How?", and "Why?." Survey data can help answer questions like: How many people use a particular service?; Who are the people who use this service?; How do they use it?; And, why do they use it? The results of the survey can then be used to help change, improve, or just increase existing knowledge.

2.3 Conducting a Survey

Every individual survey is a separate research project that may require specially tailored sampling and interview designs. Nevertheless, there are several major steps that are common to most surveys and they are detailed below.

questions must then be arranged in the best possible order so they follow each other naturally. The questions must also obtain objective answers without directing or leading a respondent's thinking.

The questionnaire is always tested to make sure the questions gather information that meets the objectives of the study and cause no problems for the respondent to answer or for the interviewer to ask. Once the questionnaire reaches its final form, the next step is the pretest.

4. The Pretest or Pilot Test

Before the interviewing for the survey begins, a pretest is conducted with a smaller group of people representative of the larger sample. In the pretest, the questionnaire and field procedures are carried out exactly as though the survey had begun. By observing the results of the pretest, revisions are made to improve the questionnaire and field procedures for the main survey.

5. Interviewing

Interviewing, which is one of the core operations of any survey, includes the recruitment and training of interviewers, the preparation of general and specific interviewing instructions, field supervision and verification of interviews.

During the interviewing period, the success of the survey rests in the hands of the interviewer. Throughout this period, a supervisor keeps in close touch with the interviewers. The supervisor is responsible for maintaining the field work schedule, for primary problem solving for interviewers, and for the quality of the interviewing. In addition, a percentage of all interviewers' work is verified by Westat to ensure we get complete and correct data. The method of verification may vary by study. It could consist of a brief reinterview by telephone or mail with the respondent.

6. Editing and Coding the Interviews

When completed interviews are received by Westat, they are first edited to be sure all information is on the questionnaire. Once they are edited, the questionnaires are then coded. Codes are developed to help reduce the vast bulk of material gathered during the survey to more simple form. A coder classifies the respondent's answer to each question according to the code categories. The coder carefully goes over each interview and translates the respondent's answers into the form of numbers. These numbers are used to tabulate the survey results. The items in the questionnaires to be used in this study have been for the most part precoded.

7. Tabulating and Analyzing the Results

When the respondent's answers have been coded in the form of numbers, the numbers are then converted into a form that can be processed by a computer, usually punch cards or magnetic tape. These records are then processed by computers to read the information and print out tables of data. These tables are then analyzed.

8. Writing the Report

On the basis of statistical analysis, tables of findings are constructed and conclusions about the problem being studied arrived at. The study report then contains these conclusions and a description of the findings.

3. ROLE OF THE INTERVIEWER

The survey research interviewer is the eyes and ears of the research team. The function of the interviewer is to serve as a link between those who seek the facts and the respondents who furnish the answers.

The interviewer is involved in a very important act of communication. The information heard and recorded during an interview must be accurate and complete, so as not to bias or distort the content.

The interviewer's job is to make sure each person questioned hears the questions in exactly the way they are written in the questionnaire. Only when all interviewers working on a survey have learned to ask the questions in the same way can the interviews be combined to give a true picture of the experiences, thoughts, actions, and feelings of all the respondents.

The interviewer is a valuable and necessary person on the research team. A survey will only be as good as the interviewers who work on it. These days, when so many private and public agencies depend on accurate surveys to make decisions that affect people in all walks of life, the interviewer's job is especially important and meaningful.

4. CONFIDENTIALITY PRACTICES

4.1 Anonymity and Confidentiality

Anonymity and confidentiality are two words that are commonly used and used interchangeably in survey research. These two words have significantly different meanings and implications for survey activities.

Consider the difference in meaning as these words are applied to the survey setting. An "anonymous" respondent is one whose identity is disclosed to no one, not even the interviewer. Westat rarely, if ever, conducts studies in which participants are totally anonymous since the addresses of individuals are recorded on listing and screening forms and their names frequently obtained during the course of the interview. At the conclusion of a study, however, Westat project personnel generally destroy or encode identifying information such as names and addresses so that the identity of survey participants cannot be linked to the data collected. In addition, the survey reports that Westat or its clients generate maintain the total anonymity of survey participants since no names or identifying data are released.

Since survey participants are rarely anonymous to the project staff, procedures must be developed to protect their identity and to assure that the data collected from or about them cannot be uniquely associated with them. It is only their responses that are important, and that contribute to a complete set of responses from the total sample surveyed. Therefore, there is no reason why the identity of any survey respondent should ever be associated with the responses s/he provides. Not identifying or associating a respondent's name with his/her answer is called providing confidentiality of data to the respondent.

The main reason survey organizations can point to many successes in collecting information is CONFIDENTIALITY. Our interviewers can, and do, promise the people who are interviewed that their answers to the questions will be kept COMPLETELY CONFIDENTIAL.

We promise people that we will never reveal what they have told us. Their answers are combined with everyone else's in the survey and the results are reported in percentages and totals in such a way that no individual respondent's answers can be identified.

IT IS YOUR DUTY TO KEEP THE PROMISE OF CONFIDENTIALITY. NEVER DIVULGE NAMES OR TELL FACTS ABOUT OR REVEAL THE OPINIONS OF ANYONE YOU INTERVIEW.

Information collected or seen during an interview can be shared only with the research team, whose members are under the same ethical or moral obligation as you are to the people interviewed.

As evidence of its concern for the confidentiality of survey data, Westat requires that all interviewers sign a confidentiality agreement at the onset of each project. Violation of the terms of the agreement constitutes grounds for immediate dismissal.

4.2 Laws Pertaining to Privacy of Individuals

As you may know, there have been recent Federal laws, i.e., Privacy Act of 1974, dealing with the rights of privacy of sampled persons. On each study, we will develop procedures that conform to these laws. By adhering to these procedures, the interviewer will help ensure that the data is collected in compliance with the law.

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5. BACKGROUND INFORMATION ON NIOSH AND NOHS II

The Occupational Safety and Health Act of 1970 was passed into law to assure safe and healthful working conditions for working men and women. The National Institute for Occupational Safety and Health (NIOSH), was created by the Act to perform the functions of the Secretary of Health, Education, and Welfare, and is required under section 20 of the Act to carry out a broad spectrum of research into the occupational safety and health problems of a workforce exposed to an ever-increasing number of potential hazards on the job.

Early in its existence, NIOSH recognized the need to compile a reliable data base on worker exposures to health hazards so that research and regulatory efforts could be directed toward high priority problems. It became essential to derive: (1) reliable estimates of the numbers of workers exposed to the many hazardous occupational chemicals and physical agents; (2) to describe the types of industries and occupational groups where the potential for exposure to these hazards was observed; and (3) to identify the medical, industrial hygiene and safety practices used to protect workers. To this end, NIOSH undertook a field-based data collection effort known as the National Occupational Hazard Survey (NOHS). This survey assembled data from a probability sample of nearly 5,000 facilities, which for the first time, permitted the generation of statistically-defensible estimates of numbers of workers potentially at risk due to on-the-job exposures, and developed information on the types of industries and occupations where those exposures were known to occur. A total of more than 9,000 unique potential hazards were discovered, many of which had been obscured by trade name product designations.

The data available from NOHS I are unique, and continue to be the resource used for information on the extent and distribution of workplace health hazards. There is a clear and present need, however, to update the data base. The data from NOHS I are now a minimum of six to eight years old, and NIOSH recognizes a vital need for reliable current data for informed decision-making.

Therefore, beginning this fall and continuing for the next two years, NIOSH will be conducting the Second National Occupational Hazard Survey (NOHS II).

Westat will assist NIOSH in this effort by:

- selecting a national probability sample of business establishments in target industries,
- conducting a telephone screening to verify some basic information about the establishment and to obtain the name of a contact person,
- assigning the establishments to NIOSH industrial hygienists so that inspections can be completed.

Westat will be providing this sample to NIOSH on a monthly basis over the next two years. NIOSH will then notify the establishment that it has been selected and that a NIOSH representative will be visiting. The NIOSH representative will conduct an interview with the designated contact person and tour the facility to record exposure to specified hazards.

Each establishment will be assured that this is a research project only. No data gathered can be used for enforcement purposes. Individual data will be reported in statistical totals and trends only.

PART II - GENERAL INTERVIEWING TECHNIQUES

The following sections present general guidelines that you should follow:

- Before you contact your respondent;
- When you begin the interview;
- When you administer the questionnaire;
- When you end the interview; and,
- When you edit the questionnaire.

1. BEFORE MAKING CONTACT

Before you dial your first telephone number, there are several steps that are important to follow.

1.1 Review Your Interviewer's Manual and Other Study Materials

Review your manual and any other study materials until you are sure you understand all aspects of your job. This includes going over the general principles of interviewing, learning the field procedures, and understanding the question-by-question specifications on the screening and main questionnaire.

1.2 Review the Questionnaire(s)

Before you begin interviewing, practice using the questionnaire(s) until you feel confident.

A successful interview requires an interviewer who fully understands and can easily and correctly use the questionnaire. Stumbling through the questionnaire (i.e., losing track of skip patterns, shuffling papers, etc.) will disrupt the flow of the interview and will distract and disturb the respondent. Maintaining an even flow will greatly facilitate the interview process.

1.3 Organize Your Materials

Be sure you know what materials you need before you dial the number so that you have everything in front of you.

Also organize your materials and be accustomed to handling them, so you don't find yourself fumbling and shuffling things. This will be less distracting for both you and the respondent, and will help the interview flow more smoothly.

1.4 Plan Your Work Schedule

It is important that you work efficiently and minimize the actual time you spend on the telephone. In order to do this, you should plan out your daily itinerary.

Each study will have its own guidelines on the number of calls to make, and the necessary requirements for completing your assignment. Be sure to learn these requirements and take them into account when planning your work schedule.

2. BEGINNING THE INTERVIEW

The first step in the interviewing process involves setting up a friendly but professional relationship. Your professional manner will help to assure that the interview will be done in an efficient manner. In telephone interviewing, this relationship must be quickly established.

2.1 Gaining Cooperation

Experience in surveys indicates that there are three factors which help bring about the respondent's cooperation.

1. THE RESPONDENT AND INTERVIEWER NEED TO ESTABLISH A GOOD "RAPPORT." Rapport is the term used to describe the personal relationship between the interviewer and the respondent; rapport provides the foundation for good interviewing. The respondent's impression of you during your introduction and early remarks will determine considerably the rapport that will develop. The respondent's reaction to you as a person is very important. The respondent will react more favorably if s/he thinks the person on the telephone is someone with whom s/he will enjoy talking. This means you need to appear to the respondent as someone who is understanding and accepting. In addition, other factors important in achieving rapport are sincerity, sensitivity and courtesy. These qualities are communicated on the telephone through voice and expression. The telephone interviewer's personality is totally verbal and the telephone interviewer needs to communicate to the respondent a positive and friendly attitude, while remaining a professional interviewer.

2. THE RESPONDENT NEEDS TO SEE THE SURVEY AS BEING IMPORTANT AND WORTHWHILE. The interviewer should try to interest the respondent in the study. Hopefully, you can get the respondent to see the interview as a real opportunity to express views and to have those views taken seriously.

The respondent will need to understand what to expect during the interview, what the purpose of the interview is, how the information will be used, and the length of the interview. All respondents, even those who are least interested, should feel that the survey is important and their cooperation is very meaningful for the results of the survey.

3. ANY BARRIERS THE RESPONDENT FEELS ABOUT THE INTERVIEW NEED TO BE OVERCOME. The interviewer's friendly manner, the introductory statements, and the success with which the respondent's questions are answered from the respondent's viewpoint are the things which will sell both interviewer and the survey to the respondent.

Your effectiveness in this early stage is increased by the knowledge that the job you are doing is legitimate and important, and by knowing what you are doing and how it is done.

The interviewer's own state of mind has a big effect on the respondent's willingness to cooperate with the interview. Your conviction that the interview is important strongly influences the respondent's willingness to grant the interview. Your belief that the information you obtain will be significant and useful will motivate the respondent to answer accurately. Most people want to be heard and are happy that you have asked their opinions. Although they are sometimes reluctant to give specific information, they are often willing to do this if they are convinced that good use will be made of it and that their privacy will be protected.

2.2 Introduction on the Telephone

The introduction on the telephone is the first opportunity for the interviewer to demonstrate his/her friendly intentions and describe the survey in such a way that the respondent's interest is stimulated enough to grant the interview.

The following are some steps you should use in this introduction.

1. TELL THE RESPONDENT WHO YOU ARE AND WHOM YOU REPRESENT. Introduce yourself by name, saying that you are an employee of Westat, Incorporated, a research organization which does nationwide studies on important topics.

2. TELL THE RESPONDENT WHAT YOU ARE DOING. Have information about the study clearly in mind so you can explain it in such a way that it stimulates the respondent's interest. Also, mention that the respondent's answers are confidential. Some studies will provide an introduction; it is important to use this introduction.

3. TELL THE RESPONDENT HOW S/HE WAS CHOSEN, IF S/HE SHOULD INQUIRE. It is important that the respondent understand that s/he is part of a cross-section survey chosen quite impersonally. You may say something like this: "It is impossible for us to talk with everyone, so strict, scientific sampling methods are used to select a cross-section of people. These people then represent all the other people in different geographical areas and of different backgrounds with whom we could not talk."

4. TELEPHONE INTRODUCTIONS SHOULD BE BRIEF. The introduction should be read to the respondent. The interviewer should be prepared to administer the questionnaire upon completion of the introduction. The interviewer should assume the respondent is <u>not</u> too busy, and attempt to complete the interview on the first contact.

Try not to ask questions which can lead to a negative response. Examples of questions to avoid are, "Are you busy now?" and "Could I take this interview now?". This can lead the respondent into easily refusing the interview.

By all means, make an appointment to return the call during our calling hours; <u>if the respondent suggests this</u>. But suggest it yourself <u>only</u> as a last resort when you want to leave the "door open" for a later try when the respondent might be more available and willing to be interviewed.

5. DETERMINE ELIGIBILITY OF RESPONDENT. The person who answers the telephone may not be the person you must interview. Be sure to check that your respondent fulfills the eligibility requirements of the particular study.

2.3 Answering Respondent's Questions

Most people will go right through an interview without asking you any questions. Some will ask for information during the introduction, or after you've started the interview. However, you should always be ready to answer the respondent's questions as they come up. Listen to the respondent and answer only what is asked. Unasked for information may bore the respondent or may be misunderstood.

Some of the questions respondents ask are:

"How did you get my telephone number?"

"Who gave you our name?"

"I don't know enough about this. Why don't you call my neighbor?"

"What's all this about, anyway?"

"Why are you doing this survey?"

You should have ready convincing answers to questions like these. The material in this manual, plus other study materials should help you prepare your answers.

2.4 Handling Refusals

On occasion, a refusal will be encountered. Thus, interviewers often ask, "What do you do when a person refuses to be interviewed?" Unfortunately, there are no standard answers and a great deal depends on the resourcefulness of the interviewer. Just as one respondent differs from another, the reasons for refusals are many and varied.

Some respondents will not refuse outright, but may express some hesitancy, reservation, or initial hostility. In a short time, you will become sensitive to how firm a "no" you are receiving by the tone and wording of the respondent's comments. By being aware of your respondent, you may be able to overcome the resistance, by understanding and adapting yourself to fit that person's point of view. You begin to sense reasons behind the hesitancy, and develop ways to reassure the respondent.

If you are able to sense the reason why the respondent is refusing, try to use this reason in your response. For example:

<u>Respondent</u>: "We don't believe in surveys."

<u>Interviewer</u>: "Many people feel that way, and because they don't want to be included in surveys, their views and experiences get overlooked by the people (such as planners) who use the information from the survey. That's why it's very important for you to participate so you are <u>not</u> left out."

In telephone research, the interviewer is encouraged to ask the help of the supervisor to give additional information and assurance to the respondent on the validity and importance of the study. The supervisor is fully equipped to assist the interviewer at all times. More often than not, the respondent, after talking with the supervisor, is quite willing to continue with the interview.

However, if you find that your efforts are not successful in completing the interview with the respondent, accept the reason for noninterview politely and record that information on the appropriate form, giving your feelings for noninterview. Above all, do not antagonize or alienate the respondent; it just may be a bad time or a bad day for that person. Try to leave a pleasant impression so that we may be able to recontact the respondent at a later date.

Exhibit 2-1 shows the various reasons for refusals and how to handle them. Exhibit 2-2 lists some points an interviewer should remember if the interview seems to be leaning toward a refusal. These exhibits are included for easy reference by the interviewer.

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Exhibit 2-1. Common reasons for refusals and how to overcome them

Common Reasons for Refusals	Ways to Overcome These Types of Refusals
1. Misunderstanding - The R does not understand the purpose of the interview (survey), why and how s/he has been selected, and the amount of time involved. Many times when an initial contact is made by telephone, the respondent is not giving the interviewer his/her undivided attention. This will undoubtedly lead to misunderstanding.	1. Misunderstanding - If the R refuses to participate because s/he does not seem to understand the purpose of the survey, why and how s/he was selected, or because s/he does not have time, simply restate in greater detail the information the respondent does not understand. If R says s/he has no time, stress that the interview will be brief if it is a short questionnaire. If it is a long questionnaire, set up an exact date and time when R can be recontacted to complete the interview. At all times, make R realize the importance of his/her participation in the study. Always remain polite and speak clearly and naturally, using terms that the R can understand.
2. Hearing or Language Difficulty - The R may be hard-of-hearing or have limited proficiency in English. The R may become confused, angry, and/or frightened interviewer.	2. Hearing or Language Difficulty - If R is hard of hearing, try to speak more loudly. If R's hearing problem is more severe, refer case to your supervisor. If R has difficulty with English, try to speak more slowly and find out which language the R speaks. Then refer the case to your supervisor. At all times, be polite to R and keep calm.
3. Preconceptions - The R may question the legitimacy of the telephone survey. The R may think the interviewer is selling something, harassing, or "casing" the R or house for robbery or more serious crimes.	3. Preconceptions - If the R has a notion that you are selling a product or service, or harrassing, or attempting a robbery, emphasize the nature of Westat, the name of the study and its imortance, and the name of the sponsoring agency. Assure the R that you are not a solicitor, but that you are an interviewer. If R still seems reluctant, suggest to R that s/he talk with your supervisor, or have R call Westat collect and talk with a project staff member who has been designated to take such phone calls.

Exhibit 2-1. Common reasons for refusals and how to overcome them (continued)

4. Wrong Time - The R may be very busy, tired, ill, or just plain irritable at this particular time.	4. Wrong Time - If the previous interviewer felt that the R refused because s/he had been contacted at a "bad time", then it is probable that the next interviewer will reach the R at a better time. It will be helpful if the next attempt is made at a slightly different time of day, or different day of the week. If the R actually refuses during this second call, probe for the "real" reason for the refusal. If you can establish the reason for the refusal, continue with the appropriate conversion technique.
5. Antagonist - The R may be antagonistic toward telephone surveys and feel that telephone surveys are an unjust use of the telephone communication process. The R may think think telephone surveys are an invasion of privacy.	5. Antagonistic - When attempting to convert a R who distrusts and dislikes any type of telephone interviewer, you should: • Stress the importance of the survey. • Stress the importance of R's participation. R represents many people and cannot be replaced by someone else. • Suggest that R talk to a supervisor to verify the validity of the survey.

Exhibit 2-2. How to avoid refusals during your first contact

1. Listen very carefully to the respondent's voice. Careful listening will help you to determine if the R becomes hesitant, nervous, or antagonistic.

2. Make the R feel privileged and important.

3. Know the suggested solutions to the various types of refusals.

4. Always have available for easy reference, the name and telephone number of the project staff member designated to take calls from Rs.

5. Always remain calm and maintain control of the interview. Be firm but friendly and polite. Use your voice effectively.

6. Practice with a friend and convince him/her to participate.

7. Remember the respondent is always right. Do not contradict R's opinions.

8. Avoid unnecessary conversation with R.

9. Never take a refusal personally.

3. USING THE QUESTIONNAIRE

The interviewer's goal is to collect accurate information by using the survey questionnaire according to sound interviewing practice. To fulfill this goal, the interviewer needs to understand the questionnaire and the principles for using it.

3.1 Types of Questions

In using a questionnaire, you will encounter, in varying numbers, the following types of questions.

1. PRECODED QUESTIONS. A precoded or closed-ended question is one in which the answer-choices are contained in the question, which are sometimes read to the respondent. The simplest form of a precoded question requires a "yes/no" answer, while other precoded questions may offer several possible answers. An example is shown below:

Are you able to tell me whether there are any unions at your company and what their names are?

Yes.	1
No	2

Most precoded questions are written so that the suggested answers are both exhaustive and mutually exclusive -- that is, they provide for all possible answers and do not duplicate each other. However, there may sometimes be an overlap between given categories; in such cases, respondents must choose the one that is closest to what they think or do.

Occasionally, a precoded question may call for multiple answers and not just one answer. In this case the interviewer would circle or check all the answer categories the respondent selects.

2. OPEN-ENDED QUESTIONS. Open-ended questions, which are also called "free answer" questions, are those which are followed by a blank space, and which do not list possible answers. An example is shown below.

What type of business is that? (PROBE USING SIC REFERENCE DIRECTORY.)

____

____

____

The typical open-ended question requires at least a sentence or two to answer, and often more. However, there is a special type of short-open-ended question that may best be described as a hybrid of precoded and open-ended questions that needs to be considered briefly. This is a question that simply asks the respondent to name an amount or perhaps a date ("How long?", "How much?", "When?"). These short questions are followed by a short line or lines to fill in the answer. They are all questions which, in theory, could have been followed by answer categories, but which for one reason or another (for instance, one can't list all the amounts of time) do not include these categories. An example of this type of question is:

Approximately how many employees are there at your establishment?

OF EMPLOYEES: ________

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3. DEPENDENT QUESTIONS. Dependent questions can be precoded or open-ended. Dependent questions are those which are asked of only some of the respondents. The determination of who is to be asked the question is "dependent" upon the answer to a previous question. You will be instructed in the questionnaire by what we call "skip" instructions, when a question is to be omitted based on a previous response. An example is the case

---

7. Does your company have any other establishments in (PSU)?

YES. 1 (Q8)
NO 2 (Q9)

8. How many establishments does your company have in (PSU)?

NUMBER:____________________

In this example question 8 should only be asked if the answer to question 7 is "YES".

It is surprisingly easy to begin to ask a dependent question before you suddenly realize that it should not have been asked. To avoid this, you should mentally review the instructions before starting the interview. If it should happen that you ask a dependent question when you should not, you should cross out any responses you have written down and write (M.E.) -- my error. NEVER ERASE anything on a questionnaire since anything that is recorded may be of value in interpreting the respondent's data.

3.2 Asking the Questions

The question now arises as to what are the principles and techniques the interviewer must follow in asking the various questions.

1. ALWAYS REMAIN NEUTRAL. You must maintain a neutral attitude with your respondents. The interviewer must be careful that nothing in words or manner implies criticism, surprise, approval or disapproval of either the questions asked or of the respondent's answers.

Through your relaxed, professional attitude, you can put the respondent at ease and gain his/her confidence. We need the respondent's answers to the questions with as little influence as possible by the interviewer. Another interviewer should obtain the same answers.

It is important that you as the interviewer feel at ease with the questions you ask. If you do not feel comfortable, you may transmit this feeling to your respondent. If you practice asking all questions in a "matter of fact" way, you will find in most cases neither you nor your respondent will feel sensitive about any questions asked. It is important to remember that the questions on this survey are there for a specific reason (these reasons are explained in the Question-by-Question Specifications) and have been successfully asked by other interviewers in the past. If you feel strongly about any topic in this study to the point that you are unable to hide your feelings in front of the respondent, you should not be interviewing on this survey.

2. ASK ALL QUESTIONS IN THE ORDER PRESENTED IN THE QUESTIONNAIRE. Never change the order of the questions in the

questionnaire. The questions follow one another in a logical sequence; to change that sequence would subvert the intent of the questionnaire and possibly the research. In fact, some questions may be asked later so as not to affect answers to earlier questions.

If your respondent is talking freely, you may feel that s/he has already answered some of the questions before you get to them. DO NOT SKIP OVER ANY OF THE QUESTIONS, EVEN THOUGH YOU THINK THERE MAY BE SOME REPETITION. If an occasional respondent should get a little annoyed and say, "I just told you that", you can always say something pleasant like:

> "I have to make sure that I had your <u>full</u> answer to that," or
>
> "I didn't know whether you would have other things to say on the subject," or
>
> "You may have already told me this, but let me ask the question anyway."

Of course, there are many questions we <u>want</u> you to omit or skip, depending on the answers to other questions. But these are always clearly labeled and there are written instructions for you to follow.

3. ASK ALL QUESTIONS EXACTLY AS WORDED. Do not change even one little word in the question that is printed out for you. Many times, the smallest change can affect the whole meaning of the question. Simply repeat the question if the need arises. If you do repeat the question, read <u>all</u> the words in the question.

EVEN THOUGH YOU FEEL THAT THE QUESTION COULD BE WORDED MUCH MORE SIMPLY, DO NOT IMPROVISE ON THE METHOD OF ASKING THE QUESTION. EVERY WORD IS THERE FOR A PURPOSE. Emphasize only those words which are underlined, and pause only at commas or after each answer category when they are included in the question itself. Read everything in a natural, even-toned manner.

In order for all the interviewers' work to be combined, there must be no doubt that each respondent heard exactly the same question before answering.

Sometimes, respondents will ask you to define words in a question or explain some part of a question. Unless a definition or explanation is provided in your question-by-question specifications, do not provide one. Simply let the respondent know that they should answer using their own definition. Say, "Whatever it means to you -- just answer that way."

4. DO NOT READ ANSWER CATEGORIES TO THE RESPONDENT UNLESS THEY ARE PART OF THE QUESTION. Some questions may have answer categories that the interviewer circles or checks based on the respondent's answer that are not mentioned in the question -- they should not be read to the respondent. Only read answer categories when they are part of the question (e.g., answer categories listed after a colon [:]) or when you are specifically instructed to do so.

5. DISCOURAGE UNRELATED CONVERSATION WHILE ASKING QUESTIONS. Occasionally a particular question may cause the respondent to call up a reminiscence or relate a lengthy story illustrating the point just made, especially among older, lonely, or more talkative respondents.

You'll do both yourself and the respondent a favor if you keep the interview businesslike in tone. If you hit upon a rambling respondent, or one who launches into irrelevant conversation, don't hesitate to interrupt and bring him/her back to the point of the question by repeating which you want to know. At the same time, of course, you must be careful not to antagonize the respondent, though you may find that talkative persons are the ones who least mind being interrupted.

3.3 Instructions in the Questionnaire

In addition to the questions you must ask, the questionnaire will also contain instructions. They are there to help you use the questionnaire correctly and must be followed closely.

The following are some of the more common rules relating to instructions in the questionnaire.

1. Words printed in LARGE TYPE or in ITALICS in the questionnaire are always interviewer instructions and are not read to the respondent. At times, instructions may appear in boxes.

2. SKIP INSTRUCTIONS IN PARENTHESES. Many answer categories are followed by a skip instruction in parentheses telling you where to go next. In most instances, you will be referred to a specific question. For example,

---

34. Are you familiar with any CETA program or any other programs sponsored by (CARD A)?

READ CARD A	YES	1 (Q 35)
	NO.	2 (BOX D)
	DON'T KNOW.	8 (BOX D)

As you can see from the above example post-answer skip instructions sometimes also refer you to (BOX D), rather than to a specific question, e.g., in the above example, one of the responses refers you to BOX D.

Skip instructions in parentheses are used primarily in situations where you skip to different places, depending upon how the respondent answers the question you have just asked. In instances where the answer is not followed by a skip instruction, you simply proceed down the page after the answer has been recorded. The next thing you will encounter will be either another question or a boxed set of boxed skip instructions.

You will also notice in the above example the "READ CARD A" instruction. This card will be given to the interviewer to use during the interview.

3. BOXED SKIP INSTRUCTIONS. Boxed skip instructions are essentially questions, except that they are directed to you rather than to the respondent. Whenever you encounter such an instruction, you will be asked to decide whether or not to ask the next question or series of questions, and you will be told the precondition for skipping, e.g.,

---

BOX C

INTERVIEWER: REVIEW Q37 AND CIRCLE ONE

AT LEAST ONE YEAR = YES. 1 (Q38)
ALL YEARS = NO/DK. 2 (Q40)

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If the respondent's answer or situation does not meet the precondition for skipping, you follow the next instruction which may be a preamble, a question, or another skip instruction. Sometimes this is stated explicitly, the skip instruction being followed by the phrase: OTHERWISE CONTINUE.

4. WORDS IN PARENTHESES IN THE QUESTION. Occasionally, you will find a word or phrase in parentheses as part of a question, e.g., (NAME). This means that you are to insert the name of the EMPLOYEE about whom you are asking as you read the question.

Another situation you will find is one which two words or phrases are separated by a slash and are enclosed by parentheses as part of a question. In these cases, you have to decide which word or phrase is appropriate to include in the question or whether or not it is appropriate to include the words or phrases when reading the question. In Q. 1, for example,

---

1. How many employees both full and part time (does this/do these) establishment(s) currently employ?

In the question you will use "does this" if you are referring to one establishment, or "do these" if referring to more than one establishment.

5. INSTRUCTIONS OF HOW TO RECORD ANSWERS. Where appropriate, questions are followed by an instruction about how to record the answer, e.g., RECORD VERBATIM or IF "OTHER" - SPECIFY In the absence of such special instruction, you would simply circle the code number corresponding to the respondent's answer or fill in the requested date, number, or letter in the box or space provided.

3.4 Maintaining Rapport

You began your rapport-building process with your introduction and it must be continued throughout the interview. Through your accepting and understanding behavior and your interest in the respondent, you can create a friendly atmosphere in which the respondent can talk freely and fully.

But occasionally rapport may be broken during the interview because the respondent finds a particular question "too personal" or for other reasons. If this happens, take time to reassure the respondent that s/he may speak freely without fear. This may be done by restating the confidential nature of the questionnaire and the impersonal nature of the survey.

If a respondent refuses to answer a question after you have reassured him or her of confidentiality, do not press the respondent -- go on to the next question. You do not want to irritate the respondent and provoke a refusal to complete the interview. If a respondent refuses to answer a question, be sure to note the refusal on the questionnaire.

4. PROBING

The quality of the interview depends a great deal on the interviewer's ability to probe meaningfully and successfully.

4.1 What is Probing and Why is it Necessary?

Probing is the technique used by the interviewer to stimulate discussion and obtain more information. We probe when a respondent's answer is not meaningful or is incomplete, i.e., when it does not adequately answer the question. There are a number of reasons respondents sometimes do not answer the question to our satisfaction.

In every day social conversation, people normally speak in vague and loose terms. It is understandable that respondents will at first respond to our questions in a way which is not clear or specific. It is important to encourage the respondent to express himself/herself more concretely, in very specific terms.

Sometimes respondents will think that they are answering a question when all they are doing is simply repeating an answer which was already given, or simply repeating parts of the question. A respondent can talk a great deal and still be just repeating the question in different words.

Respondents will sometimes miss the point of the question. Many times they will give responses which seem to answer the question, but as you can see when you look further, are not to the point of the question and are therefore irrelevant. It is easy to be "taken in" by a respondent who is talkative and gives a full and detailed response -- a response which, however, is quite beside the point. It is not the answer to the question asked. In most cases, a respondent gives an irrelevant response because s/he has missed an important word or phrase in the question.

Probing, therefore, has two major functions. First, probing motivates respondents to enlarge, clarify, or explain the reasons for their answers. Secondly, probing focuses the respondent's answer so irrelevant and unnecessary information can be eliminated. All this must be done, however, without introducing bias or antagonizing the respondent.

Below are some examples of answers that for different reasons fail to answer the questions properly. Because of the answers given, each requires probing.

EXAMPLES OF ANSWERS THAT REQUIRE PROBING

Question: How many employees did these establishments employ on June 1, 1979?

Answer: "A couple."

Answer: "We hired one for our Main Avenue office."

Answer: "We hired three during the month of June.

4.2 Knowing the Question Objectives

Your performance can be greatly improved if you fully understand the purpose and meaning of each question. In order to know this, you need to study your Question-by-Question specifications.

Once you know the purpose of a question, you will find it much easier to decide if you have a satisfactory answer or whether you should try to get a clearer and fuller one.

4.3 Probing Precoded and Open-Ended Questions

PROBING PRECODED QUESTIONS. Although open-ended questions more often require probing, you may also need to probe on a precoded question. Many respondents will answer a precoded question in the exact words of one of the answer categories, then your job is simply to circle the appropriate code. Sometimes the answer will not be given in the exact words of the answer categories, which may make it difficult, if not impossible, to interpret accurately where to code the response. In this case, you need to probe the respondent's answer. Sometimes the best probe for a precoded question is repeating the original question or you could give the nondirective probe, "Well, which comes closest?" and repeat all the answer categories. For instance, in the following example, you would probe to find out if the employee quit in anticipation of being discharged or perhaps because supervisors had expressed dissatisfaction.

Interviewer: Did this person quit in anticipation of being discharged or because supervisors had expressed dissatisfaction with his or her job performance?

YES 1
NO. 2

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Respondent: We didn't think he was doing a good enough job.

Interviewer: So did he quit because he thought he was going to be discharged or because supervisors had expressed dissatisfaction with the employee's job performance?

Respondent: Well, no, he quit to go to college.

Another situation which may occur in precoded questions is when the respondent gives additional information or explains his/her choice. In this case write down (in the blank space to the left of the codes) relevant comments the respondent volunteers while answering a precoded question. However, do not probe for clarification of these comments.

It will sometimes happen that a respondent will feel that none of the precoded responses fit; or that under certain conditions they would choose one answer and under different conditions another. In this situation, you should try to get the respondent to generalize by repeating the question and saying, "Just generally speaking, is it this way or that?", or "Most of the time," or "In most cases," etc. If the respondent insists that s/he can't choose, be sure to write down exactly what is said, and let the office decide how to code.

PROBING OPEN-ENDED QUESTIONS. In the case of the longer open-ended questions, the techniques of probing must be used to the fullest, for frequently the initial answers given by a respondent will fall far short of being specific, clear, and complete. In some cases, the main question will be followed on the questionnaire by a specific followup question, and sometimes the main question will be followed by the term "probe."

Whether or not this is done, the need to probe always exists, so long as the initial answer is not fully specific, clear, and complete.

4.4 Probing Methods Should be Neutral

It is very important to always use neutral probes. By this we mean you should not imply to the respondent that you expect a specific answer or that you are dissatisfied with an answer.

Remember the reason for probing is to motivate the respondent to respond more fully or to focus the answer, without introducing bias. The potential for bias is great in the use of probes. Under the pressure of the interviewing situation, the interviewer may quite unintentionally imply that some answers are more acceptable than others or may hint that a respondent might want to consider this or include that in giving responses.

4.5 Kinds of Probes

There are several different neutral probes which appear as part of a normal conversation that can be used to stimulate a fuller, clearer response.

1. AN EXPRESSION OF INTEREST AND UNDERSTANDING. By saying such things as "uh-huh" or "I see" or "yes," the interviewer indicates that the response has been heard, that it is interesting and that more is expected. Avoid such expressions as "great", "wonderful", or "outstanding".

2. AN EXPECTANT PAUSE. The simplest way to convey to a respondent that you know s/he has begun to answer the question, but has more to say, is to be silent. The pause allows the respondent time to gather his or her thoughts.

3. REPEAT THE QUESTION. When the respondent does not seem to understand the question, or misinterprets it, or seems unable to decide, or strays from the subject, it is often useful to repeat the question. Many respondents, when hearing the question for the second time, realize what kind of answer is needed.

4. REPEATING THE RESPONDENT'S REPLY. Simply repeating what the respondent has said is often an excellent probe. Hearing the response just given often stimulates the respondent to further thought.

5. A NEUTRAL QUESTION OR COMMENT. Neutral questions or comments are often used to obtain clearer and fuller responses. The following are some suggestions for probing questions that may help you explore many types of insufficient answers.

<u>PROBES TO CLARIFY</u>

"What do you mean exactly?"

"What do you mean by...?"

"Could you please explain that a little? I don't think I quite understand."

<u>PROBES FOR SPECIFICITY</u>

"What in particular do you have in mind?"

"Could you be more specific about that?"

"Tell me about that. What/who/how/why would...?"

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PROBES FOR RELEVANCE

"I see. Well, let me ask you again...(REPEAT EXACT QUESTION)."

"Would you tell me how you mean that?"

PROBES FOR COMPLETENESS

"What else?"

"What else can you think of?"

"What other reasons/things/examples, etc. can you think of?"

4.6 The Don't Know (DK) Response

The "I don't know" answer can mean a number of things. For instance:

- The respondent doesn't understand the question and says DK to avoid saying s/he doesn't understand;
- The respondent is thinking the question over, and says DK to fill the silence and give him-self/herself time to think;
- The respondent may be trying to evade the issue because s/he feels uninformed, or is afraid of giving a wrong answer, or because the question seems too personal; or
- The respondent may really not know or really may have no opinion on the question.

Try to decide which of the above may be the case. Don't be in too big a rush to settle for a "don't know" reply.

If you wait quietly -- but expectantly -- your respondent will usually think of something further to say. Silence and waiting are frequently your best probes for a "don't know." You'll also find that other useful probes are: "Well, what do you think?", "I just want your own ideas on that."

If you feel the respondent has answered "don't know" out of fear of admitting ignorance, you may act reassuring by saying "There's really no right answer to this question -- we're just interested in your opinion."

Always try at least once to obtain a reply to a "don't know" response, before accepting it as the final answer. But be careful not to antagonize respondents or force an answer if they say again that they don't know. Proceed to the next question after coding the DK reply.

4.7 Examples of Probing

The following are rules of probing which will help you avoid biasing the respondent's answers.

1. Don't ask whether a person means this or that, because this suggests only one of two answers, even though there may be many other possibilities which the respondent is thinking about.

2. Don't try to sum up in your own words what someone has said, because this may suggest to the respondent that YOUR idea of his/her feelings is the "right answer."

3. Don't ask whether the respondent meant a particular thing by a certain word. This suggests one answer, when s/he might actually have another one in mind.

4.8 When to Stop Probing

When you have obtained as much information from the respondent as possible and when you have encouraged the respondent to clarify the meaning of his or her own words so that you (and we) know exactly what s/he had in mind -- only then do you have a complete answer and only then should you stop probing. However, if at any time the respondent becomes irritated or annoyed, discontinue probing. We do not want the respondent to refuse the rest of the interview.

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5. RECORDING ANSWERS

So far, we have talked about how to ask the questions and how to get clear and complete answers. Both of these are very important jobs. Still, if you fail to write down or circle the answer properly, all your previous efforts will have been wasted.

The writing down and circling of what the respondent said, and where you have probed, is called RECORDING. Always record answers in soft (No. 2 or 2B) pencil and carry at least three sharpened pencils in case of breakage.

5.1 Recording Precoded Questions

Precoded questions are easy to record. Ordinarily the answers will be clearly shown on the questionnaire and will be designated by a different code number. The usual way to indicate answers given is to circle the appropriate code, as shown in the example below:

First, am I correct that this is (NAME OF ESTABLISHMENT)?

YES.	1
NO	2

Sometimes a precoded question will include an "other" category. This is for an answer that cannot be classified in the given categories. In addition to circling the corresponding code, often you will be asked to specify the actual answer in the space

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provided. In these cases, it is especially important to faithfully record the response verbatim.

In addition to the answer categories contained in the question, there will occasionally be a "Don't Know" or "DK" choice added to the list of codes to be circled or checked. Follow the rules set out in Section 4.6 on "Don't Know" answers.

In the short open-ended question type, answer lines where you record the answer are provided. An example is shown below:

How many unions are there at your company?

NUMBER: ____________

The following are some general rules for recording precoded answers.

1. ON PRECODED QUESTIONS, CAREFULLY CIRCLE OR CHECK ONLY ONE CODE (UNLESS THE QUESTION CALLS FOR OR PERMITS MORE THAN ONE ANSWER) - It is unfortunate to have to throw out an answer because the interviewer, in a hurry, made a large circle or check which covered two codes or recorded more than one and didn't correct it, and we didn't know which was meant.

2. IF IT IS NECESSARY TO CHANGE A CODE, BE SURE TO TELL US THE REASON - If the respondent changes his/her mind after you have already circled one code, cross out the wrong code and note next to it in parentheses "R changed mind" or "Respondent Error" (R.E.). NEVER ERASE. If you circled the wrong code by mistake, cross it out and note -- again in parentheses -- "My error" (M.E.).

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5.2 Recording Open-Ended Questions

The key word in recording open-ended questions is "verbatim." This means writing down everything relevant the respondent says in their own words. Here are a few important rules which will help you and Westat.

1. BE READY TO WRITE - Have your pencil poised when you ask your question. Start writing immediately; otherwise you'll be far behind from the beginning.

2. USE ABBREVIATIONS - However, look over the abbreviations you have used after you hang up. If any abbreviations would be confusing to the people who have to read the responses, spell out the term completely while going over your work. Abbreviations like DK (don't know), gov't., etc., are acceptable.

3. ASK THE RESPONDENT TO SLOW DOWN - People are usually flattered when you ask them to speak a little more slowly, or repeat something, or wait a minute until you catch up, because you "don't want to miss anything," or you "want to get this all down." Other techniques include speaking more slowly yourself; reading aloud as you record; and reading back the part of the sentence you have recorded and asking the respondent to complete what you have not recorded.

4. THE X MARK IN PARENTHESES "(X)" IS THE PROBE MARK USED BY WESTAT - Do not write out your probe -- simply make an "(X)" in your recording at the point you probed. The respondent's answer to your probe would then follow the (X).

Perhaps a few words explaining the purpose of probe marks will make clear to you why it is so important that you use them, and use them correctly.

We assume that interviewers, after reading these instructions, will use only neutral probes. Therefore, we don't need to see the words you used in probing, but we do want to see when you probed. The respondent's answers, mixed in with probe signs "(X's)," give us a picture of the conversation which took place.

Some respondents answer questions fully and to the point with little encouragement from the interviewer. In such cases, we would expect to find fewer probe marks than in cases where getting answers is like pulling teeth. It is important to know whether the final "I can't think of anything," which the respondent said, came after many probes and s/he really didn't know, or whether it was just a form of a "lazy don't know," which was unprobed.

The (X) probe mark is your way of telling us that there was some conversation between you and the respondent. Whenever a probe mark "(X)" is used, some recording should follow.

5. VERBATIM RECORDING, OF COURSE, MEANS THAT YOU SHOULD USE THE RESPONDENT'S OWN LANGUAGE <u>WORD FOR WORD</u> - Don't correct or summarize what respondents say; let them speak for themselves! We are as interested in the kinds of words a respondent uses as in the meaning of an answer.

6. BE SURE TO INCLUDE THE PRONOUNS (HE, SHE, IT, THEY)! - Without them the meaning of the answer is frequently not as clear as you think.

7. USE THE WHITE SPACE AVAILABLE - Use all the white space available, if needed, when recording. Be sure to mark the answers with the question number if the narrative comments are

on a different part of the questionnaire (e.g., the bottom of the page).

8. PLEASE GIVE YOUR OWN REMARKS WHEN YOU FEEL SOMETHING NEEDS EXPLAINING - It is important to put your remarks in parentheses ( ) so we don't confuse your explanations like (respondent began fidgeting), (baby starts crying), (respondent laughed), etc. with a respondent's answer. Also remember to circle any notes you make to yourself.

9. IF A RESPONDENT REFUSES TO ANSWER A QUESTION, LEAVE THE QUESTION BLANK AND WRITE "REFUSED" IN THE MARGIN.

6. ENDING THE INTERVIEW

All people who give their time for an interview are entitled to courteous and tactful treatment. Try to leave respondents with the impression that they have taken part in an interesting and worthwhile experience -- one they would be willing to repeat.

After all survey questions have been asked, indicate your appreciation to respondents by thanking them; also mention that their contribution has been most helpful in providing important information to the study. Remember that the respondent is familiar with your task from the discussion at the beginning of the interview, so don't spend too much time going over the same information. Spend a few minutes answering any additional questions your respondent may have; then close the interview.

7. EDITING THE QUESTIONNAIRE

As soon as possible after you hang up the telephone, read through the interview while it is still fresh in your mind. Even if you have asked a question, probed, and obtained a full answer, the entire response can be lost if we can't understand what you wrote.

Make sure it is all filled out accurately and completely. This procedure is known as EDITING and, though it doesn't take long, it is an important part of an interviewer's job. Some of the purposes of editing are:

1. TO CATCH AND CORRECT, OR EXPLAIN, ERRORS AND OMISSIONS IN RECORDING - Common errors that can be caught in editing are: omitted codes, unnecessary questions asked, and errors in circling codes. In the pressure of the interview situation, the interviewer may make any of these errors; most of them could be corrected by the interviewer if s/he edits carefully, immediately after the interview.

2. TO LEARN FROM MISTAKES SO THEY ARE NOT REPEATED - Study your Question-by-Question specifications before your first interview and refer to them while editing your early cases.

3. TO CLARIFY HANDWRITING AND WRITE OUT ABBREVIATIONS - Go over all illegible handwriting, and fill in all but the most common abbreviations.

4. TO ADD YOUR COMMENTS IN PARENTHESES WHICH MIGHT HELP US TO UNDERSTAND A RESPONSE OR AN INTERVIEW AS A WHOLE - Cross out wrong codes when necessary but be sure to write an explanation in parentheses ( ) next to the question. If you have

omitted a question or made any other errors do not try to correct them by guessing answers; just indicate that you are aware of the error. This note to us would, of course, be in parentheses.

Edit the interviews in blue pencil. NEVER ERASE. All question numbers which contain errors by omission or in which you are not sure about recording practices, should be written in the upper right-hand corner of the questionnaire cover.

PART III-SPECIFIC FIELD PROCEDURES

The following sections present specific procedures you will use during the conduct of the NIOSH NOHS II Telephone Screening. These include contact and noninterview procedures; how to begin and end the interview; and how to handle refusals. Also included will be question-by-question specifications for the questionnaire.

1. INTERVIEWER TASKS - OVERVIEW

This section presents a step-by-step overview of the tasks you will be performing during the telephone interview data collection.

Step 1: Inspect Your Interviewing Materials - You should make sure you have all materials necessary to complete the interview. These will include screening and main questionnaires, Interviewer Assignment Sheets (IAS), Information Sheets, Cards, Screening Call Records (SCR) and your training manual. You should become familiar with the material prior to calling the first establishment.

Step 2: Dial the Phone Number - If the telephone number is connected with a business, you will enter the Case ID number on the front of the Screening Questionnaire.

Step 3: Begin the Screening Questionnaire - You will begin the Screening Questionnaire with whomever answers the phone. The screening questions will determine the eligibility of the establishment and the respondent. Try to complete the screener on the first call. If it is absolutely necessary, make an appointment to call back.

Step 4: Record Results of all Contacts - Record the results of all calls on the SCR and on the IAS.

Step 5: Scan Edit the Questionnaires - Do a quick scan edit of the questionnaire as soon as you hang up the telephone.

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2. DESCRIPTION OF NOHS II SAMPLE AND PROCESS

As was mentioned earlier in this manual, Westat is under contract to the National Institute for Occupational Safety and Health (NIOSH) to provide a national probability sample of establishments to be used in the conduct of the Second National Occupational Hazard Survey (NOHS II).

During the course of this survey, teams of industrial hygienists, hired and trained by NIOSH, will be visiting each sampled establishment to conduct an interview with a knowledgable representative of the establishment and to tour the facility to record exposure to certain hazards. The team will remain in the target PSU for only four weeks. Assignments will be made to the team by Westat based on the amount of time necessary to complete an establishment of a particular size and SIC code. For these reasons it is critical that the sample we deliver to NIOSH contains the most accurate information we can obtain. The process we will use to draw, screen and deliver this sample to NIOSH is discussed in the following sections.

2.1 Sample Selection

The sample for this study is a national sample of business establishments. To begin the process of selecting this sample, the first step is to divide the country into primary sampling units (PSU's). Once these PSU's are identified, they are handled individually throughout the fieldwork portion of the study.

The sampling frame for each PSU is constructed primarily from the Dun and Bradstreet, Dun's Market Identifiers (DMI) list. To qualify for telephone screening, the establishments on the list had to meet the following requirements:

- Employ more than seven employees,
- Be located in the United States, and
- Be engaged in a primary activity or type of business on a target list of Standard Industrial Classifications (SIC). (See Appendix B for a list of target SICs.)

Once all eligible establishments in a particular PSU are identified, case ID numbers are assigned and a sample list and information labels are generated. The labels are affixed to information sheets and assignments are prepared for the first stage of sample preparation.

2.2 Sample Preparation

Before the sample of establishments can be delivered to NIOSH, several steps must be taken to ensure that it is a clean and accurate sample. The first of these steps is the telephone screening.

2.2.1 Telephone Screening

Each establishment in the sample must be contacted by telephone to verify (or correct if necessary) some basic information that we already have and to obtain some additional information.

In general, we will be verifying (or correcting):

- the establishment name,
- the street address, and
- the SIC code.

Additionally, we must obtain:

- Information on any additional establishments located in (PSU),
- The name, title and phone number of a knowledgable contact person in each establishment, and
- The names of any unions at the establishment.

2.2.2 Editing and Transcribing

Once the information has been verified/obtained via the telephone screening the questionnaire will be carefully edited to ensure that all the information is complete and appears to be correct. If additional establishments have been identified, subsampling will also take place at this time. Appropriate information will then be transcribed onto the information sheet.

2.2.3 Keying and Delivery

Completed information sheets will be copied, batched and transmitted to Data Enterprises on a weekly basis. Once the entire PSU has been key punched, the establishments on the tape will be sorted and listed in the order in which the NIOSH inspectors will be required to contact them. This tape and several "hard copy" assignment packages will be delivered to NIOSH each month for approximately two years.

A schedule of PSU's and delivery dates as well as weekly progress reports will be posted in the NIOSH receipt control area.

3. USE OF SPECIFIC MATERIALS

3.1 Information Sheet

For each case you are assigned you will be given an Information Sheet (See Exhibit 3-1). This sheet should contain all the sample information you will need to locate the establishment and conduct the interview. The sheet contains three sections: a computer generated label at the top, a label update section, and a subsampled establishment information section.

3.1.1 The Label

The label contains the following information:

- ID: This is the eleven digit Westat case identification number. The first three digits are the site numbers; the next four are case numbers, the eighth and ninth digits are the stratum number, the tenth is the random group identifier, and the eleventh is the questionnaire number. This eleventh digit will always be "1" unless additional establishments are subsampled. In this case, a consecutive number will be assigned during subsampling.
- EMPL: This is the number of employees for this establishment shown on our sample list.
- ESTABLISHMENT NAME & ADDRESS: Printed in the middle of the label is the name and address of the establishment you will be contacting.
- ACCT: This account number is for analysis purposes only.
- Phone #: This is the phone number that appeared on the DMI list for this establishment.

Exhibit 3-1. Information sheet

INFORMATION SHEET NIOSH/NOHS II

ID: 001-0081-02-A SAMPL: 035

AUTOMATION PROJECTS INC
3250 SKOKIE VALLEY RD
HIGHLAND PARKIL 60035

ACCT: 08401344 SIC: 3564
PHONE: 312-433-4560

TARGET COUNTIES: 254
COOK,DUPAGE,KANE,
LAKE,MCHENRY,WILL

LABEL UPDATE INFORMATION ONLY

001-0081-02-A

TELEPHONE #: (   ) ____________ ID#: [ ]

RESPONDENT NAME: ____________

RESPONDENT TITLE: ____________

ESTABLISHMENT NAME: ____________

ADDRESS: ____________
(STREET)

____
(CITY) (STATE) (ZIP)

OF EMPLOYEES: ____________ SIC CODE: ____________

UNIONS? YES |__| (COMPLETE UNION IDENTIFICATION FORM)

NO |__|

SUBSAMPLED ESTABLISHMENT INFORMATION

TELEPHONE #: (   ) ____________ ID#: [ ]

RESPONDENT NAME: ____________

RESPONDENT TITLE: ____________

ESTABLISHMENT NAME: ____________

ADDRESS: ____________
(STREET)

____
(CITY) (STATE) (ZIP)

OF EMPLOYEES: ____________ SIC CODE: ____________

UNIONS? YES |__| (COMPLETE UNION IDENTIFICATION FORM)

NO |__|

- SIC: This code is the Standard Industrial Classification for this business. (See APPENDIX C for SIC code translations.)

- TARGET COUNTIES: This is the county or counties of which the sample site is comprised. This list is to be read to the respondent whenever (TARGET PSU) appears in the questionnaire.

3.1.2 Label Update Information Only

Any additions or corrections to the label information will be entered in this section by the editor.

3.1.3 Subsampled Establishment Information

If additional establishments are discovered, appropriate information will be entered here when the subsampling is complete.

3.2 Cards

You have a set of cards to use to enable you to gather information so that we can verify or correct the establishment's SIC code. For each establishment you will use Card A. This card will enable you to classify, in general, the principal activity of the business.

Based on the response to Card A, you will choose an additional card (1 through 10) to further refine the principal activity classification. These classifications will then be translated into SIC codes by the editor.

4. CONTACT/NON-INTERVIEW PROCEDURES

4.1 Contact Procedures

Up to six attempts will be made to make initial contact with the respondent. Since the NIOSH Survey control system is automated, in addition to your regular assignments, you will sometimes receive computer printouts of special cases. For example, all IDs where the telephone has not been answered after 3 attempts will be grouped onto "3 call no answer" computer sheets. If you are assigned these sheets, your supervisor will ask you to verify with the telephone company that these are working numbers. You may also be asked to call these numbers at special times during the day, for example early morning or late afternoon. Another type of special case will be 1st refusals. Interviewers will be assigned 1st refusal computer sheets only after they have received refusal conversion training. Not all interviewers will receive this type of training.

4.2 Recording Your Attempts to Interview

All attempts to reach a respondent, will be recorded on the screening call record (SCR) and the Interviewer Assignment Sheet (IAS).

The following are instructions on how to record your attempts to interview.

4.2.1 Screening Call Record

The SCR is located on the back of the Information Sheet. Exhibit 4-1 presents the screening call record, result codes and appointment record.

Exhibit 4-1.

CALL RECORD						
INT. NAME	DATE	TIME		RESULT*	COMMENTS	
		Began	Ended			
1.		am pm	am pm			
2.		am pm	am pm			
3.		am pm	am pm			
4.		am pm	am pm			
5.		am pm	am pm			
6.		am pm	am pm			
7.		am pm	am pm			
8.		am pm	am pm			
9.		am pm	am pm			
10.		am pm	am pm			

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*RESULT CODES	
INTERIM	FINAL
1. NO ANSWER	C - COMPLETE
2. 1st REFUSAL/BREAKOFF	C1 - SUBSAMPLED COMPLETE
3. BUSY SIGNAL	RB - REFUSAL/BREAKOFF
4. CALLBACK - NO APPOINTMENT	NW - NON-WORKING/NO LISTING
5. CALLBACK - APPOINTMENT	NA - NO ANSWER
6. NEEDS SUBSAMPLING	OA - OUT OF TARGET AREA
8. OTHER (SPECIFY IN COMMENTS)	I - INELIGIBLE SIC
9. INFORMATION REQUESTED PRIOR TO INTERVIEW (ENTER BELOW)	O - OTHER (SPECIFY IN COMMENTS)

APPOINTMENT RECORD	
1. DATE: ______ TIME: ______ am pm TELEPHONE: ( ) ______ COMMENTS: ______	2. DATE: ______ TIME: ______ am pm TELEPHONE: ( ) ______ COMMENTS: ______
3. DATE: ______ TIME: ______ am pm TELEPHONE: ( ) ______ COMMENTS: ______	4. DATE: ______ TIME: ______ am pm TELEPHONE: ( ) ______ COMMENTS: ______

INFORMATION FOR MAIL-OUT

ID # [001-0061-02-A]

TYPE OF REQUEST: ☐ Initial Refusal/Breakoff

☐ Special Mailout --- Specify Details ______

______

RESPONDENT NAME: ______

RESPONDENT TITLE: ______

ESTABLISHMENT NAME: ______

ADDRESS: ______

(STREET)

______

(CITY) (STATE) (ZIP)

A set of mini-labels containing the case ID number will be attached in the upper right hand corner of the SCR.

Once you have contacted a telephone number and determined that it is connected to an establishment, you will place one of these mini-labels onto the front of the screening questionnaire.

4.2.1.1 Call Record Box

The Call Record box on the SCR is divided into five columns:

- Int. Name: Record your first initial and full last name;
- Date: Record month and day of your contact or attempted contact, e.g. 1101;
- Time: Record the time of your contact or attempted contact. Be sure to circle a.m. or p.m. Record the time ended and circle a.m. or p.m. Each time you make a call to the establishment the time began and ended must be recorded.
- Result: Record what happens when you make the call. There is a box marked with an asterisk (*) Result Codes. The box is divided into interim result codes and final result codes. These codes are defined below.
- Comments: Record any pertinent or clarifying information, e.g., an explanation of an "other" code, or problems within the questionnaire that should be brought to your supervisor's attention.

4.2.1.2 <u>Result Codes</u>

• <u>Interim Codes</u>

All <u>interim codes</u> are to be recorded as numbers. They are used only when the outcome of the contact does not result in a final disposition.

1. <u>No Answer</u> - Code "1" when no one answers the telephone when you call.

2. <u>1st Refusal/Breakoff</u> - Code "2" the first time a respondent refuses the interview or breaks off the interview. (This is an interim code because the case may be reassigned during the nonresponse conversion effort.) Whenever a 2 is assigned you must fill out the "Information for Mail Out" box at the bottom of the SCR.

3. <u>Busy Signal</u> - Code "3" when the number is busy. If you get a busy signal, someone is at the number so try again in 10 minutes.

4. <u>Callback - No Appointment</u> - Code "4" when you call a number and the person you talk to does not give you a special time or day to call back. You may use this code (a) when you have completed part of the questionnaire but must call back to complete the remainder with another respondent, or (b) when a knowledegable respondent is not available. Remember always try to make an appointment to call back.

5. <u>Callback - Appointment</u> - Code "5" when you call a number and receive a day and/or time of day to call back to talk to a <u>R</u> (e.g., Monday afternoon, Wednesday at 5:00 p.m. etc.)

   Whenever a "5" is recorded, information must be recorded in the Appointment Record. You will use this code (1) when you have completed part of the questionnaire but must call back to complete the remainder with another respondent or (2) when a knowledgeable respondent is not available.

6. <u>Needs Subsampling</u> - Code "6" when you have completed the screening questionnaire and one or more establishments need to be selected before you can interview further. Subsampling will be conducted by a clerk. You are not allowed to subsample yourself.

8. <u>Other (Specify in Comments)</u> - Code "8" when there is a problem with the questionnaire what your supervisor must resolve. Record what the problem is in the comments column.

9. INFORMATION REQUESTED PRIOR TO INTERVIEW - Code "9" if the respondent will not conduct the interview prior to being mailed additional information about the survey.

   Whenever a "9" is assigned, you must fill out the "Information for Mail Out" box at the bottom of the SCR.

- <u>Final Codes</u>

All final codes are to be coded as letters and should be used whenever an interview is finalized.

C <u>Completed</u> - Code "C" when you have completed a screening questionnaire for any case that was <u>not</u> previously subsampled.

C-1 Code "C-1" when you have completed a screening questionnaire that had been previously subsampled. This code enables us to keep a special count of these cases.

PC <u>Partially Complete</u> - Code "PC" only when the respondent refuses a section of the questionnaire and refusal conversion has been attempted.

RB <u>Refusal/Breakoff</u> - Code "RB" as a final code when an attempt to convert a refusal/breakoff fails.

C6

NW Non Working/ No Listing - Code "NW" when the number called is not a working number. An operated assisted call must be made before a case can be closed out as an "SNW". Confirmation calls to the telephone company which result in No listing for the establishment may also be closed out as "NW".

NA No Answer - Code "NA" when after five attempts, there is still no answer. Your supervisor is the only one who will ever assign a "NA" code.

I Ineligible - Code "I" when the establishment you are calling has less than eight employees or if its SIC is out of scope.

OA Out of Target Area - Code "OA" if the organization you are calling is not located in the target area or does not have any establishment in the target area.

O Other (Specify in Comments) - Code "0" when something other than the above happens. Record situation in comments column, e.g. respondent unavailable during field period.

4.2.1.3 Appointment Record

Whenever a screening questionnaire status is "5", the appointment record must be filled out.

- Date: Record the month and day of the appointment.
- Time: Record the time of the appointment and circle a.m. or p.m.
- Telephone: Record the telephone number including area code (and extension if available) of the person who is to be called back.
- Comments: Record the name of the person you will want to talk to and any other pertinent information. Also record who set appointment -- did the person you need to talk to or did someone else?

Exhibit 4-2.

SUPPLEMENTAL MAILING SHEET

INFORMATION FOR MAIL-OUT

ID# |_|_|_|_| |_|_|_|_|_| |_|_|_|

TYPE OF REQUEST: ☐ Initial Refusal/Breakoff

☐ Information requested prior to interview

RESPONDENT NAME: ______________________________

RESPONDENT TITLE: ______________________________

ESTABLISHMENT NAME: ______________________________

ADDRESS: ______________________________
(STREET)

____
(CITY) (STATE) (ZIP)

C8

The IAS will be given to you by your supervisor at the beginning of your shift and you will turn it in at the end of your shift or within four hours, whichever is shorter.

At the top of the IAS, you will enter your initials in the space provided and you will enter the date you are making the calls. Also take note of the site and time zone you will be calling. IAS's will be produced by site.

You will notice that each IAS contains 22 ID numbers. You should make your calls in ID order and in general should only call each ID number once prior to returning the sheet to your supervisor. However there are three circumstances where more than one call can be made: first, if the phone number is busy, you should try again every 10 to 15 minutes; secondly, if the respondent is on another line or is busy and asks you to call back at a time that is within your shift or within the four hour limit; and thirdly, if the respondent cannot complete all the information and a second respondent must be called to complete the questionnaire.

Although a space is not provided, record your initials and the date you are making calls near the middle on the top of the IAS.

The assignment sheet is divided into several columns:

- <u>Site and ID</u> - Listed in these columns are the site and ID numbers you will be attempting to contact. You will receive an Information Sheet for each ID listed on the IAS. If a telephone number is connected to an establishment, you will enter the ID number onto the screening questionnaire. You will never record information in this column.

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- Interviewer - Listed in this column are the initials of the interviewers who called the phone number last. This column will be blank when you receive your first assignments. You will never record information here.

- Status - Listed in this column is the result of the last attempt to reach this number. This shows the disposition of the screening questionnaire. This column will be blank when you receive your first assignments. You will never record information here.

- Appointment and Time - Listed in these two columns is the date and time that an appointment has been set. These two columns will be blank when you receive your first assignments. You will never record information here.

- Record # - This is a number that the computer converts from each case ID to its own ID for the purpose of finding and updating cases.

- Update - The space provided from the REC # to this update column is used to record any and all results, including appointment date and time for each case.

You will first record the time of the attempts, e.g., 3:00 p.m. Next, using the interim and final codes, you will record the code. Each time a new telephone number is called, the time and disposition should be recorded.

Whenever you record a "5" code, you must record an appointment date and time. When recording the time to call back, you will record the time where the R is, not where you are.

4.2.3 Setting Appointments

When setting appointments to call back, either: (1) set up an appointment during your shift (within 4 hours of the

"0

time you receive the batch) or (2) set an appointment at least 24 hours from the time you are talking to the respondent (one day ahead) within the hours of operation for this study. If a R sets a time that is not however within the hours of operation, you should explain to him/her that with time differences, it is not possible to call back at that time. If R insists on a time not within the hours of operation or a time between the end of your shift but less than 24 hours from when you are calling, you must bring the case to the attention of your supervisor immediately.

The hours of operation for the NIOSH Survey are 8:30 a.m. to 7:00 p.m., Monday through Friday EDT. However, the schedule will change from month to month depending on the PSU being worked.

Therefore, if you are calling in other time zones, use the table below to decide when you can make appointments. (All times listed are R time).

Table 4-1

	No appointments before	No appointments after
Central	7:45 a.m.	5:30 p.m.
Mountain	6:45 a.m.	4:30 p.m.
Pacific	5:45 a.m.	3:30 p.m.

4.3 Special Procedures

4.3.1 Refusal/Breakoff

The first status code Refusal/Breakoff will not be allowed as a code on the first attempt to complete an interview.

All initial or first refusals will be recorded as "2" on the IAS. Only in special cases will a "RB" be allowed on the first contact. If you feel a case warrants a "RB" on the first attempt, you must discuss the situation with your supervisor.

4.3.2 Non Working Numbers

When you dial a number and it is a non working number, you must place an operator assisted call to that number before you close it out as an "NW". Sometimes interviewers may misdial a number the first time or a connection may be incomplete.

4.4 Non-Interview Report Form (NIRF)

A Non Interview Report Form (Exhibit 4-4) must be completed whenever a respondent refuses to be interviewed, breaks off during an interview or for situations where a respondent was supposed to be interviewed but could not be for some reason, e.g. language problem, unavailable during field period, etc.

It is important that you fill this form out immediately after finalizing a non-interview case while the information is still fresh in your mind. You should fill out the form as follows:

- Date: Record month, day and year.
- Interviewer's Name: Record first initial and last name.
- ID#: Record ID number from the SCR.
- Reason for Non-Response: Circle one code and follow the appropriate skip patterns.

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- Refusal/Breakoff Section: Most of these questions are self-explanatory; however, a few clarifications are:

  - Q2. We want you to record the reason for refusal/breakoff verbatim. In past surveys we have found the best way to convert a refusal is to know exactly what the R said and to address those concerns in the conversion attempt. Then circle all that apply on the listing and include those reasons that were not orally expressed by R.

  - Q9 should be filled out for breakoffs only.

Exhibit 4-4

NON-INTERVIEW REPORT FORM (NIRF)

NIOSH SURVEY

Date: ______________

ID#: ______ ______ ______

Interviewer's Name: ______________

1. REASON FOR NON-RESPONSE:

Refusal..........................1 (2)
Breakoff.........................2 (2)
Language Problem.................3 (10)
Other (SPECIFY) ______________
______________4 (TERMINATE)

2. STATE REASON FOR REFUSAL/BREAKOFF: (RECORD VERBATIM) ______________

____

____

____

____

Circle all that apply

A. Confidentiality/Too Personal....................1
B. Too Busy/Not Interested.........................2
C. Negative reaction to Employer Survey (EXPLAIN) ______________
______________3
D. Negative reaction to government or other surveys in general..........4
E. R does not think Interviewer is legitimate/mistrust interviewer..........5
F. Interview sounds too long/is taking too long..........6
G. No reason given..........7
H. Other..........8

3. STRENGTH OF REFUSAL/BREAKOFF: (CIRCLE ONE)

Mild-no hostility..............1
Firm but not hostile...........2
Hostile........................3

4. WHAT METHODS DID YOU USE TO PERSUADE R TO COOPERATE/CONTINUE:

____

____

5. REFUSAL/BREAKOFF MADE BY:

Male...........................1
Female?........................2

6. DO YOU THINK ANOTHER INTERVIEWER MIGHT BE ABLE TO OBTAIN/COMPLETE THE INTERVIEW:

Yes..................1 7
No...................2 (9)

7. WHAT TYPE OF INTERVIEWER:

A. SEX:
Male.................1
Female...............2

B. AGE:
Under 30.............1
30 or older..........2

C. RACE:
White................1
Black................2
Spanish descent......3
Other (SPECIFY) ______

5. HOW TO BEGIN THE INTERVIEW

Once you have become familiar with the survey instruments and procedures you will be ready to start interviewing.

Because you will be using a list sample for this study you should encounter very few problems reaching the correct establishment. Any potential problems can be avoided by simply reading the questions and following the instructions in the screening questionnaire.

5.1 Use of Introduction

Introductions are provided for you in the screening questionnaire. You must cover the following points during the introduction:

- Who you represent and for whom the study is being conducted;
- The purpose of the study;
- How long the questionnaire will take; and
- The confidential nature of the survey.

You will note that two introductions appear in the questionnaire. Box A will determine which introduction you should use. Although the contents of both introductions are the same, the wording is slightly different. The first introduction is read to the original R who can answer questions about the nature of their business. The second introduction is read to a new R. Whenever you interview a new respondent, you must read the introduction to that person.

6. PREPARATION FOR RESPONDENT QUESTIONS AND RESPONDENT REFUSALS

The interviewer can avoid any type of negative reaction from the respondent by:

- Being prepared;
- Asking every question in a professional even-toned manner;
- Understanding the purpose of the survey; and
- Having a basic understanding of why particular questions are asked.

If you follow these procedures, then you will be able to answer any questions the respondent might have. If you do not follow these procedures, then you will stumble and hesitate and may therefore arouse a negative reaction from the respondent.

In the following sections, we have outlined some possible types of questions that the respondent might have, and answers you can provide. We will also discuss, in greater detail, refusals and how to handle them for this particular study.

6.1 Answering the Respondent's Questions

Some respondents may ask for information as soon as you finish the introduction, after you have started the interview, or during the interview. You should always be ready to answer the respondent's questions as they arise. Listen to the respondent and answer only what is asked. Answer the respondent's questions clearly and concisely. Additional information may bore the respondent or open a "Pandora's box." You could then lose control of the interview.

Respondent's questions are rarely phrased the same as we have noted them in this manual. Some questions may in fact not be questions at all, rather a rambling response. Some respondents will be quite articulate in expressing their viewpoints. You may even contact some respondents who have a great deal of knowledge about the topic under study. This respondent will perhaps present the most challenging questions. Whether the question is ill-phrased or well-phrased, you must answer each question with <u>sincerity</u> and <u>directness</u>. By doing so, you will communicate to the respondent a professional attitude and a concern that his questions are important. But should you be asked a question that you are unable to answer or that you feel the answer may lead to a refusal, refer the person to your supervisor. The supervisor will be in a better position to answer the respondent's questions.

The material in this manual, in addition to other study materials, should help you prepare your answer. These responses are merely suggestions. They are not and should not be interpreted as <u>the</u> response. They simply cover the viewpoints and items that should be incorporated into your answers.

- <u>How was I selected?</u>

We obtained a list of employers from various areas. We then used a scientific method to draw up a sample of employers from these lists. Your organization has been selected to "represent" businesses not only in your community but also across the nation. Due to the chance selection process and its representativeness, we can only interview those businesses selected by the process. If you refuse, we <u>cannot</u> substitute another organization for yours and the results of our study will not accurately represent businesses like yours.

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- <u>But our company is too small (or large) to be representative.</u>

Your organization, no matter the size, will represent small (or large) businesses. We are looking at the full range of businesses. Your organization will also represent businesses that do the same type of work or produce the same type of product, whether there is one employee or thousands.

- <u>How do I know my answer will be kept confidential?</u>

Any identifying information such as your name, the company's name, address or telephone number, etc., is kept separately from the actual questionnaire. The information collected from your business is confidential and will be combined with answers from other organizations to prepare statistical results. Your answers will be used only by research project staff. Each of them has signed an affidavit to keep confidential all information provided by respondents.

- <u>How long will the interview take?</u>

In most cases the interview will take about five minutes. However, if you have several establishments, it may take a little longer.

- <u>Can you mail me the questionnaire?</u>

or

- <u>We do not interview over the phone.</u>

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We are only conducting these interviews by telephone. If you prefer, we can send you a letter from NIOSH which authorizes us to conduct this survey and then call back in a couple of weeks to complete the interview by telephone. (IF R CONTINUES TO REFUSE, GET NAME OF PERSON IN ORGANIZATION WHO IS REFUSING, THE CORRECT NAME OF ORGANIZATION, ADDRESS AND ZIP CODE. RECORD THE INFORMATION ON THE SCR AND A NIRF.)

- Who is Westat?

Westat is an independent, employee-owned research organization located in Rockville, Maryland just outside of Washington, D.C. Westat conducts surveys and evaluations on many different subjects. NIOSH chose Westat to conduct this survey.

- How do I know you're who you say you are?

(REFER R TO YOUR SUPERVISOR, OR GIVE R CONTACT NAME (DIANE WARD) AND TELEPHONE NUMBER AND SET UP AN APPOINTMENT TIME ALLOWING FOR R's VERFICATION.)

6.2 How to Handle Refusals

In any survey, there are always some respondents who refuse outright to be interviewed and some who tacitly indicate that they will not participate. While it is usually surprising to new interviewers how many fall into the latter rather than the former category, it is equally surprising to them how few refusals actually do occur. The interviewer is probably the major influence on the motivation of the respondent and on the quality of the responses received. If you, as the interviewer, are interested in the study, enthusiastic about your work, and like the respondent, these feelings will usually be communicated to the respondent with positive effects on the latter's participation.

But to fully understand and comprehend why someone may refuse to participate, we need only to place ourselves for a moment in the role of the respondent. According to some survey researchers there are several factors which affect a respondent's decision to participate. A few of these are:

Reasons why respondents participate	Negative factors which may cause respondents to refuse
Self expression	Fear of the survey, the interviewer, or use of the data
Interpersonal response	Hostility toward interviewer
Intellectual challenge, curiosity	Perceived invations of privacy
Insight	Threatened subject matter
Acceptable role behavior	Hostility toward sponsor
Rewards	Cost in time and energy

- <u>Fear of the Survey, the Interviewer, or Use of the Data</u>

Respondents tend to fear things they don't understand. By having the purpose of the study and for what the data will be used clearly on your mind, you can alleviate respondents' fears.

Some respondents may think you are trying to sell them something, plan a robbery, or "check-up" on the company's hiring practices. You can legitimize yourself and the study by:

- Allowing the respondent to talk with your supervisor;
- Offering to mail the respondent additional information;
- Giving the respondent a NIOSH contact name and telephone number; or
- Having the respondent call Diane Ward.

We are not "policing" employment activities of companies. We are merely conducting a survey. We are only interested in answers. Names, addresses and other identifying information will not be attached to the answers in any final results.

- Hostility Toward the Interviewer

You may find that you (as the interviewer) are incorrectly matched to a respondent. For instance, a female respondent may be uncomfortable with a male interviewer or vice versa. This situation rarely occurs, but it is possible. It is also possible that a respondent may be hostile to the interviewer's voice. (See Appendix A for voice and Diction.) You must maintain a pleasant and professional telephone personality.

Do not quickly decide that the respondent may be refusing to participate because of a "mismatch" of personalities. Tune your ear for respondents vocal cues. You may detect that there is another reason for refusal. If you are unable to get the respondent to participate, thank the R.

After hanging up, fill out a Non-Interview Report Form (NIRF). Include on the NIRF pertinent information that may be helpful for "refusal conversion.1" (The more details you provide on the NIRF, the easier it may be to complete the interview on the next call.)

- <u>Refusing Certain Questions Because of Perceived Invasion of Privacy or Threatening Subject Matter</u>

The information collected in the NIOSH Survey should not be threatening to most respondents. Some questions may, however, seem sensitive. You can help to eliminate any potential refusals to a particular question by:

- Reading each question in a professional (even toned) manner;
- Reading each question, as written, without any hesitancy in your voice;
- Never prefacing any question with, "You may think this question is peculiar but I have to ask it."

You must be aware that the manner in which you ask the question may bias the respondent's answer. Therefore it is imperative to maintain a professional attitude for these reasons:

1. Refusals can be avoided.

2. Respondent answers can be more accurate.

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Although a respondent may be willing to participate, she/he may not want to discuss certain subjects. If this should happen, then:

- Assure the respondent of confidentiality;
- Tell respondent that his/her name and organization name will not be linked with the answers in the final report;
- Explain that you are required to ask <u>every</u> question because each one is important. <u>R</u> can refuse to answer any question asked.

After this type of interview:

- Record, as much as possible, everything the respondent said about refusing a particular question.

  Record this interchange to the left of the response categories.
- Indicate the question or series of questions which the <u>R</u> refused.
- Record this on the Call Record in the comments column.
- Indicate the reason that <u>R</u> refused any questions.

  Record this on the Call Record in the comments column.

- <u>Hostility Toward the Sponsor</u>

If the respondent is hostile toward federal government surveys, you may want to reiterate the purpose of the survey and the use of the information. You can also tell the respondent that the company's experiences may get overlooked if s/he decides not to participate in the survey.

It is always helpful to preface a rebuttal to a respondent's objection with a token agreement or understanding of his/her viewpoint: (e.g., "I can understand that," or "You certainly have the right to feel that way."). This takes the respondent off the defensive and usually works as well as a more detailed rebuttal.

- <u>Cost of Time and Energy</u>

The timing of the interview may also affect the respondent's participation. Calls to companies during peak office hours (around 10:30-11:30 a.m. and 3:30-4:30 p.m.) may meet with little success, and may even be resented. Keep in mind that these are businesses and persons you want to talk to may have very important things to do or may be very busy. Should you call at an inconvenient hour or if the respondent becomes annoyed with you as a result of this contact, try to complete the screening portion, which will only take a few minutes, then set up an appointment for a time more convenient for the respondent. The main interview may not even have to be completed with that particular respondent.

The summary, just as one respondent differs from another the reason for refusals are many and varied. As we have stated, some respondents will not refuse outright, but may express some hesitancy, reservations, or initial hostility. In a short time, you will become sensitive to how firm a "no" you are receiving by the tone and wording of the respondent's comments. When you begin to sense reasons behind the hesitancy, you should develop ways to reassure the respondent.

It is always helpful to preface a rebuttal to a respondent's objection with a token agreement or understanding of his/her viewpoint: (e.g., "I can understand that," or "You certainly have the right to feel that way."). This takes the respondent off the defensive and usually works as well as a more detailed rebuttal.

- Cost of Time and Energy

The timing of the interview may also affect the respondent's participation. Calls to companies during peak office hours (around 10:30-11:30 a.m. and 3:30-4:30 p.m.) may meet with little success, and may even be resented. Keep in mind that these are businesses and persons you want to talk to may have very important things to do or may be very busy. Should you call at an inconvenient hour or if the respondent becomes annoyed with you as a result of this contact, try to complete the screening portion, which will only take a few minutes, then set up an appointment for a time more convenient for the respondent. The main interview may not even have to be completed with that particular respondent.

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If you find you are not getting anywhere with the respondent, try to hang up before you get that final "no". It just may be a bad time or a bad day. Often another interviewer approaching the respondent may have more luck. Another interviewer will be assigned to convert this case. THEREFORE, ABOVE ALL DO NOT ANTAGONIZE OR ALIENTATE THE RESPONDENT. LEAVE THE "DOOR OPEN" SO ANOTHER INTERVIEWER CAN TRY. REMEMBER THAT SOMEONE FROM NIOSH MAY BE CONTACTING THIS RESPONDENT AT A LATER TIME.

7. ENDING THE INTERVIEW

All people who give their time for an interview are entitled to courteous and tactful treatment. Try to leave respondents with the impression that they have taken part in an interesting and worthwhile experience -- one they would be willing to repeat.

Since NIOSH will be contacting most of these respondents in person to conduct the main portion of this study, its very important to leave respondents with a positive attitude about the phone interview. Thank the respondents for their cooperation and time. Take a few minutes to answer any additional questions your respondents may have, then end the interview session.

Int. Initials

Time

8. POTENTIAL FIELD PROBLEMS

Unusual Field Situations

The screening questionnaire for this study has been designed to handle every situation that we anticipate happening. However, there may be some instances where unusual situations occur. The following are some different types of situations and what actions should be taken. Other situations not foreseen here are bound to happen. When you are in doubt about how to handle a situation, tell your respondent you will call him/ her right back and discuss the situation with your supervisor.

- <u>The number you reach is an answering service.</u>

There are two types of answering services you may encounter.

1. The "Human" Type - If a person answers the phone and says that you have reached the answering service, you should verify that you have reached the correct business and ask if there are certain hours during the day when the business answers its own phone. This information should then be recorded on the SCR.

2. The "Machine" Type - If you encounter an answering machine you should record the call as a no answer but write answering machine in the comments column of the SCR. Be sure to record all of these attempts on the SCR and the IAS, so that your supervisors can determine if all possible times and days have been attempted.

- <u>The business you call has recently changed names.</u>

If, when verifying the name of the business you have called, the respondent tells you that the name of the business has recently been changed (e.g., Well, we used to be Vic's Cafe but he sold out to Mel, so the name is now Mel's Diner.), you should record this information on the SCR and in the LABEL UPDATE space on the Information Sheet and continue the interview.

- You reach a telephone company recording saying that the number has been changed. If this situation occurs, record the new number on the SCR with an explanation for the change. Also cross out the old number on the Information Sheet with a single line and enter the new number next to it.

- You reach a business that cannot do any interviews without permission from a regional or main office. If this situation occurs, obtain the name of the respondent and the phone number and the name of a contact person at the regional/main office. Record this information on the SCR and tell the respondent that someone may be calling him/her back when we obtain permission. DO NOT CALL THE REGIONAL/MAIN OFFICE UNTIL YOU HAVE CHECKED THE RESPONDENT CARD FILE.

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et and for charging

9. ADMINISTRATIVE MATTERS

9.1 Assignments

You will receive an Interviewer Assignment Sheet containing your assignments from your supervisor at the beginning of your shift.

You will be updating the IAS as you place calls during your shift. If during your telephoning you need additional cases to contact, see your supervisor.

You will return to the supervisor your IAS and the corresponding cases and call records as you finish them or within four hours of the time you got your assignment (whichever time period is shorter). Before turning in the IAS you must:

- Be sure the case folders are in the same order that they appear on the IAS.
- Make sure that all ID numbers you have assigned during your shift match (i.e., ID number on the screening questionnaire must match the ID number on the screening call record and IAS.).

Each case determined to be eligible will be placed in a case folder for you by the Receipt Clerk. It is important when you receive these folders back that you check to be sure the site/ID number on the questionnaire agrees with the site/ID number recorded along the top of the folder. This site/ID number should be the same as the one on your IAS. If you receive materials where the site/ID number does not match, see your supervisor immediately.

9.2 Special Assignments

Most of the time, your supervisor will ask you to work a regular type of assignment, such as new batches or batches in process. However, your supervisor may assign you a special batch, such as appointments, initial refusals, cases requiring a mailout prior to interview, and cases with three or more calls and no answer. When your supervisor gives you a special assignment, he/she will always give you special instructions about the cases in the batch. If you are inadvertently given an IAS that identifies the batch as a special handling report, please inform your supervisor.

In addition to special groups of assignments, your supervisor may also ask you to work some problem cases. Problems may occur with Information Sheets or with the screening questionnaire. Particular problems you may encounter have been discussed previously. The form that will identify cases needing special attention is called the Problem Sheet (Exhibit 9-1). A Problem Sheet will be attached to a case and will describe the situation and propose solutions. Information about the case should be recorded at the top of the form, including date, time zone and site/ID#. When you receive a case such as this, you should attempt the suggested solution(s) in the order they are listed. Record the results of your attempt in the Interviewer Call Record on the lower portion of the form. If you can suggest other possible solutions, bring your suggestion(s) to the attention of your supervisor. Do not pursue your own solutions without first discussing them with your supervisor. Do not write on the lower portion of the form where indicated "FOR OFFICE USE ONLY."

If, during telephoning, you encounter a problem situation or a situation which you feel needs special attention, bring

Exhibit 9-1.

Date: ________________

Time Zone: ___________

PROBLEM SHEET

SITE/ID#: ________________________ BATCH #: ______________

INTERVIEWER/SUPERVISOR: ______________ FILE TYPE: ____________

PROBLEM: ______________________________________

____

____

____

____

SOLUTIONS:	SUPERVISOR
1. ______________________	________
2. ______________________	________
3. ______________________	________
4. ______________________	________
5. ______________________	________

INTERVIEWER CALL RECORD

SOLUTION #	INTER-VIEWER	DATE	TIME	RESULT	COMMENTS

FOR OFFICE USE ONLY:

FINAL RESULT:

DATE	TIME	RESULT	INTERVIEWER	SUPERVISOR'S INITIALS	APPT. DATE / TIME

the case to the attention of your supervisor. Do not complete a problem sheet without prior approval, as your supervisor may be able to suggest alternative methods for handling the situation.

Additionally, your supervisor may ask you to recontact a business to obtain some missing information for a case or to clarify inconsistent information. If this is necessary, he/she will give you the case with a Data Retrieval Sheet (Exhibit 9-2). Review the problem as described on the form and, when necessary, call back the business to obtain an answer. You should correct the screening questionnaire in the appropriate place(s) and record the resolution of the problem on the Data Retrieval Sheet. Record each attempt and contact in the call record on the bottom of the form. Do not record data retrieval attempts on the screening call record. Data retrieval cases should be returned to your supervisor separately from your regular assignment.

9.3 Quality Control

Since our goal is to produce the best quality of data possible, several methods will be employed to achieve this goal.

The first is the scan edit you will perform each time you complete an instrument. After each contact with a respondent you should quickly review the instrument for omissions or inconsistencies. If a mistake is found, record it in the comments section of the call record. Do not call the respondent back until you have been given permission by the supervisor. If a problem exists that you don't know how to solve, consult your supervisor.

Exhibit 9-2.

DATA RETRIEVAL SHEET

Interviewer Name ______________________ Date Edited ____________

Site/Case ID# ______________________ Editor ____________

SQ (#)	DESCRIPTION OF PROBLEM

SQ (#)	RESOLUTION

	CALL RECORD									
Int. Initials										
Date										
Time										
Result										

Next is the ongoing editing procedure by your supervisor and the editing staff. Your supervisor will talk to you about any mistakes found during this process. When you first begin to interview, he/she will conduct a review with you noting frequent errors or omissions found in your work.

Your supervisor will be available to answer questions that may arise during your shift. We encourage you to ask questions of the supervisor if there is a problem.

Lastly, the supervisor will directly monitor some of your interviews as you conduct them. This is a standard procedure we use in all our telephone survey projects. She will complete a monitor sheet for all monitoring conducted in a given work shift and will provide you with feedback on your performance.

9.4 Record Keeping

As previously stated you will record information on the results of each call on the "Interviewer Assignment Sheet" and on the Call Records. Section 4 includes instructions on how to complete the "Call Record" and the "Interviewer Assignment Sheet." In addition to these records, you will be responsible for signing in and out on the "Telephone Room Sign-In Sheet," and completing a "Temporary Time Sheet." These are standard forms for the telephone center and are discussed in detail in Part IV, Telephone Center Procedures.

9.5 Project Charge Number

The charge number for the NIOSH Survey is 0010. Use this number for charging time on your time sheet and for charging long distance calls.

PART IV - TELEPHONE CENTER: PROCEDURES MANUAL FOR THE INTERVIEWER

The following sections present general information regarding the organization, procedures, and resources at the Telephone Center.

1. INTRODUCTION TO THE TELEPHONE CENTER

The Westat Telephone Research Center is an integral part of the survey research structure with emphasis on data collection by telephone. Our telephone facilities and equipment are used regularly for a variety of surveys, as well as, an aid in the development of the most effective instruments.

1.1 Telephone Center Organization

Because the Telephone Center plays a major role in the data collection for many of our studies, great care has been used in developing the staff structure at the Telephone Center. Exhibit 1-1 shows the staff structure of the Telephone Center facility.

1.2 Administrative Staff Functions

The Telephone Center Development Group consists of senior level corporate officers who work with the Telephone Center Manager in many ways, some of which are:

- o Telephone data collection methodological issues;
- o Systems for survey control and planing; and
- o General planning of market development activities.

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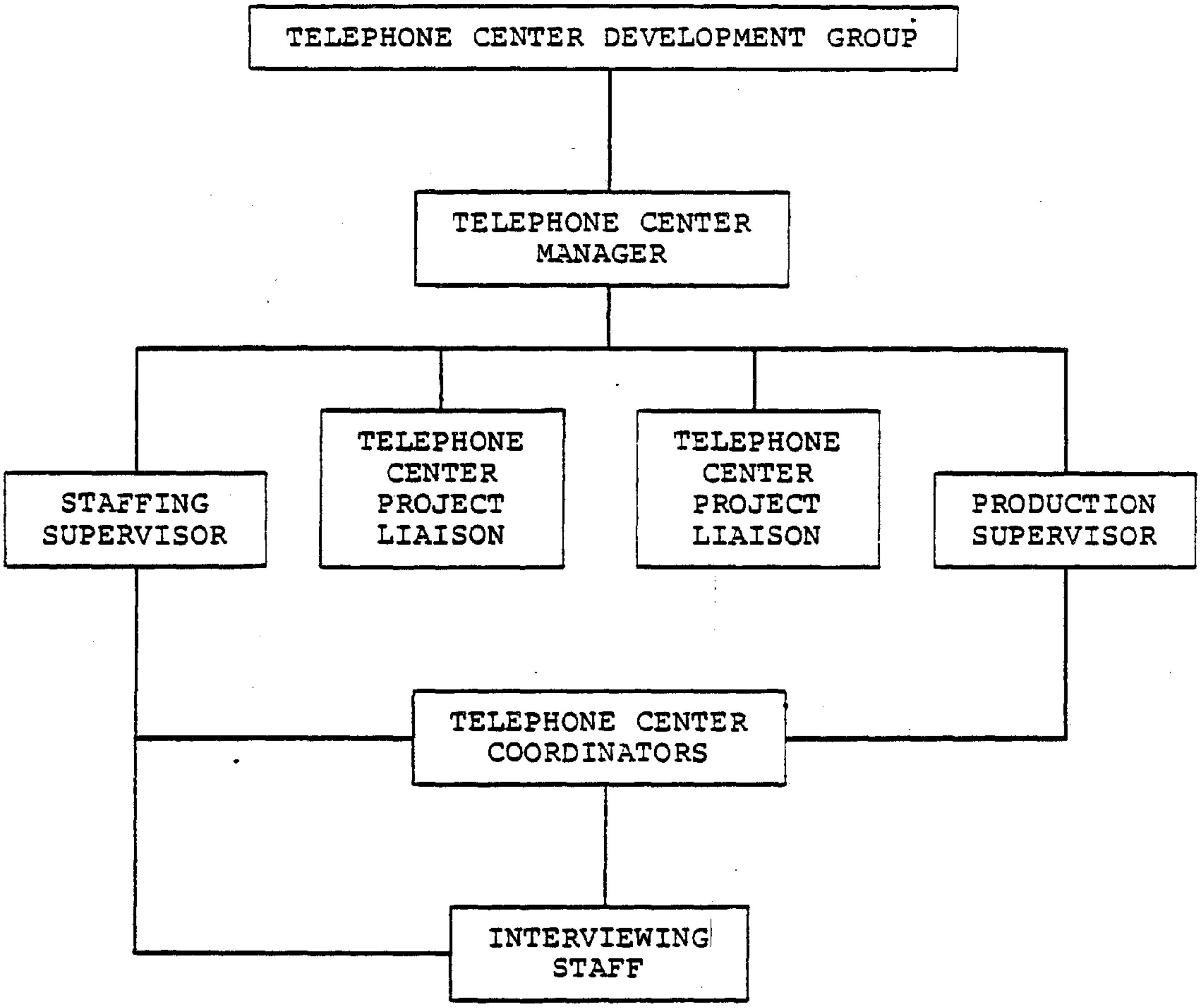
Exhibit 1-1. Telephone center organization



The <u>Telephone Center Manager</u> is responsible for:

- Scheduling and planning of survey projects;
- Managing the center supervisors, their interactions and communications;
- Planning and implementing the acquisition telephone lines;
- Making sure the physical facilities and equipment of the center are in working order;
- Direct marketing, or marketing support, for telephone surveys;
- Evaluating center staff's overall performance, reviewing pay rates, discharging, and laying off staff; and
- Specific project training activities.

There is a team of professional staff members, each with specific roles, that helps administer day-to-day operations at the telephone center. They are the Staffing Supervisor, the Production Supervisor, and Telephone Center (TC) Project Liaisons. Every interviewer should understand these roles, so that s/he can direct questions to the appropriate person.

The <u>Staffing Supervisor</u> is responsible for:

- Recruiting new telephone interviewers;
- Assigning all telephone interviewers to telephone studies (with attention given to the needs of a particular project);
- Preparing an interviewing schedule for each project;
- Coordinating all project scheduling activities;
- Handling interviewer personnel problems, as appropriate;
- Approving time sheets; and
- Distributing weekly paychecks.

The <u>Production Supervisor</u> is responsible for:

- Preparing production and productivity reports for all projects in the telephone center;
- Producing daily/weekly time reports and summarizing hours by project for each week;
- Reporting to project staff when production goals have not been met or will be met ahead of schedule;
- Providing other reports and labor analysis such as response rates and support time for different activities;
- Supervising overall use of the computer system developed for survey control; and

- Acting as a telephone center liaison with company programmers in developing and setting up survey files.

The TC Project Liaisons are responsible for:

- Coordinating and supervising all project activities in the telephone center;
- Supervising general telephone center functions;
- Training/retraining interviewing staff on general telephone center procedures as well as specific project training procedures;
- Developing and implementing voice training;
- Monitoring interviewing activities;
- Reviewing interviewer productivity with telephone center staff and/or project staff; and
- Attending to the confidentiality and security of the survey data.

1.3 On-Line Staff Functions

In addition to the permanent administrative staff, the Telephone Center also has Coordinators, temporary staff members responsible for some general operations and activities. Generally, Coordinators may be assigned to one or more projects, depending on the size and nature of the study requirements. During times of low activity, the Coordinators may actually do some interviewing.

The TC Coordinators are responsible for:

- Observing attendance, reporting absenteeism, lateness or early departures to the Staffing Supervisor;
- Maintaining a productive and professional work environment;
- Assisting in monitoring interviewing activities;
- Dealing with any usual respondent concerns or non-technical problems; and
- Attending to the security of the center: opening or closing the facility as needed.

When a TC Coordinator is assigned to a specific study, s/he is trained on the survey work plans, procedures and questionnaires. Then s/he is also responsible for:

- Dealing with most of the technical and procedural questions raised by the interviewers;
- Letting the project staff/liaison know of sampling or materials flow problems that are causing down time; and
- Ensuring that the work is proceeding efficiently and conforming with the established procedures.

2. TELEPHONE CENTER PROCEDURES

To efficiently and effectively operate a quality business, every organization must establish specific procedures. Adherence to the Telephone Research Center's procedures is the responsibility of each and every person, regardless of their position. If any interviewer cannot abide by the rules, then his/her performance will be reviewed. S/he could be subject to dismissal.

2.1 Shift

The Telephone Center is open seven days a week and generally at the following hours:

Monday - Friday	9 a.m. - 11 p.m.
Saturday	9 a.m. - 6 p.m.
Sunday	1 p.m. - 10 p.m.

These hours are flexible and can accommodate the various needs of a study. Each weekday is broken up into three shifts: morning, afternoon and evening. Weekend hours vary depending on study requirements. Interviewers along with the Staffing Supervisor, will decide on a schedule that fulfills both the interviewer's needs and the needs of the Telephone Center.

2.2 Interviewer Schedules/Attendance

The Staffing Supervisor will arrange a work schedule with each interviewer, depending on the needs of the specific

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study and the availability of the interviewer. If, during a study, the prearranged work schedule cannot be met, the interviewer should check with the Staffing Supervisor to rearrange the work hours. This must also be acceptable to the study's project staff.

The Telephone Center expects every interviewer to:

- Adhere to his/her work schedule;
- Report to work on time each day; and
- Work the entire shift that is scheduled.

Attendance will be monitored by way of the interviewer Sign In/Out Sheets, which is explained in Chapter 5.1. If for some reason an interviewer will be late or absent, s/he is to notify the Staffing Supervisor as soon as possible, so arrangements can be made to ensure proper phone coverage. Since every study in the telephone center is faced with strict deadlines, production goals and high phone costs, it is essential that every interviewer be responsible. The numbers to call are 881-5310 ext. 469 during the day and 468-6843 after 6 p.m. and on weekends. Failure to report prior to any absence and continuous tardiness could lead to dismissal.

2.3 Interviewer Notice Board

Communication is an integral part of every organization. Any memos or notices concerning the telephone interviewers will be posted on a bulletin board located in the Telephone Center. Every interviewer should make a habit of consulting this board daily since s/he will be responsible for the posted material.

2.4 Breaks/Lunch

The Telephone Center provides a break room which includes a soda machine, coffee/hot water, a refrigerator, and microwave oven. These conveniences are to be used only by the Telephone Center staff and are expected to be kept in proper working order.

An interviewer will be much more effective if s/he takes a break/lunch. Continuous phone work may affect his/her interviewing. However, there are Telephone Center guidelines that must be followed:

- Each interviewer is allowed one 15 minute break during each 4 hour shift. These breaks must be taken during the shift. Two 15 minute breaks CANNOT be substituted for or with lunch.
- Extended breaks MUST be arranged with the Staffing Supervisor. (An interviewer will not get paid for more than 15 minutes.)
- A half-hour lunch MUST be taken by anyone working 8 hours. Therefore, an interviewer will be scheduled 8 1/2 hours and be paid for 8 hours of work.

If an interviewer remains in the Telephone Center during a break or lunch, s/he must move to the break room. Since there will be interviews conducted over open phone lines in the main telephone room, any general conversation occurring can be distracting and can sometimes be overheard by the respondent. Courtesy and consideration of co-workers is essential.

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2.5 Telephone Center Etiquette

Maintaining a pleasant and professional work environment at the Telephone Center requires that everyone join in the conserted effort to follow some DO's and DON'Ts.

While interviewing:

- DO NOT smoke in the phone room. It is poor interviewing style and hinders air ventilation.
- DO NOT eat while sitting at the carrells.
- DO NOT hold conversations in the phone room. It is disruptive to interviewers at work.
- DO NOT use phone lines in the carrells for personal use. There will be a phone assigned for personal use. However, you must restrict your calls to 5 minutes. Any misuse of phone lines may be cause for dismissal.

After interviewing:

- DO return all working materials to their proper place, both Telephone Center forms and project related materials.
- DO leave carrells in such order that another interviewer can begin working immediately. A carrell is not a personalized desk, therefore, any personal items should be removed.
- DO spray the phone receiver with disinfectant after each shift. Disinfectant is available at the Telephone Center.

2.6 Parking

Parking is available in the back parking lot located behind the NOAA building. Since it is a private facility, a $2.00 deposit is required for an entrance card. Employees at the Telephone Center must park in this lot between 8:30 a.m. and 6:00 p.m. Interviewers working on night shifts may park in the parking space(s) in front of the NOAA building. To request a card, contact the TC receptionist. The deposit is refundable upon leaving the company. To receive your deposit, contact the TC receptionist. Any automobile parked in a reserved or visitor's parking space between 8:30 a.m. - 6:00 p.m. will be ticketed and/ or towed. Westat is not responsible for any tickets or towing. Everyone's cooperation in this matter is appreciated.

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used only when there are not WATS or MCI lines available. The toll lines should also be used for all local business calling. To use the toll line you must pick up the line and dial the (area code) and number. When using toll lines, it is mandatory that you complete a toll record form. Further explanation of this form is given in Chapter 5.3.

3.2 Phone Rests

Each carrell is equipped with a phone rest. Phone rests are an aide to the interviewer because:

- They are less cumbersome to wear than to hold the receiver throughout a lengthy interview.
- They leave your hands free to record respondent answers quickly and accurately.

3.3 Typical Telephone Problems

When using the telephone, situations may arise when a call may not be completed or additional information may be required to track a phone number. A brief description is given of techniques or information that can be used when problems arise. There are two types of telephone operators whose services are available, should they be needed.

Directory Assistance - Information operators are available to assist in finding telephone numbers for individuals or businesses which cannot be located in the telephone book. To use directory assistance, obtain a correct name and city. It will be helpful to have a full street address. Be aware that

Preceding Page Blank

many individuals list their phone number by first initial and last name rather than by full name. Also, note that many people have unlisted or unpublished telephone numbers. To contact directory assistance locally use the toll line, and dial 411. For long distance information on a toll line dial the area code of the location you are calling + 555-1212.

Zero Operators - '0' operators are available to assist whenever trouble is experienced in placing a call, for example, when a number is dialed repeatedly and a connection is not obtained, or the connection is to a number other than the one dialed. A 'zero' operator can sometimes directly connect the number having trouble being reached. To contact a 'zero' operator on a toll line dial 0. However, consult with a supervisor before using this service.

Data Phones - Sometimes a situation is encountered when a number is dialed, the phone seems to be answered, but only a high pitched tone is heard. This means a connection has been made to a data phone. A data phone is a link between a computer terminal and a main computer. A data phone always represents contact with a business. If this happens to you, inform your supervisor/project liaison.

Busy Circuits - At times when a long distance number is dialed, a recording is reached saying, "all circuits are busy." This means that there are currently more people trying to call that area than there are phone lines available into that area. If this occurs, wait a few minutes and try the number again.

4. TELEPHONE CENTER PRODUCTION CONTROL SYSTEMS

There are two types of systems used at the Telephone Center for controlling production: manual and automated. A description of each system and the role the interviewer plays is given below.

4.1 Manual System

The manual system consists of hand-kept logs used for recording the disposition of each case. Generally, interviewers will be required to complete a Shift Progress Report (see Exhibit 5-4) each day with this system. Accurate reporting is essential since daily and weekly reports on interviewer and overall survey production will be prepared with the information obtained from these reports. The project staff can then determine if survey goals are being met.

4.2 Automated System

The automated system is computer assisted. The sample used is placed in a computer file and can be generated on a computer Interviewer Assignment Sheet (IAS). The interviewer records all information regarding each case, including the status, directly on the IAS. The computer operators will key the information directly into the computer. This information is keyed in on a daily basis. A computer tally which reports interviewer and survey production will be generated daily and weekly. In order for the reports to be accurate, it is essential that the interviewers record properly and legibly on the IAS. Interviewers must use rulers when recording disposition codes so that the correct disposition code is attached to the correct ID number. Rulers will be furnished by the Telephone Center.

5. TELEPHONE CENTER FORMS

5.1 Sign In/Out Sheet

All Telephone Center interviewers will be expected to accurately record the time worked in the Telephone Center on a daily basis. Sign In/Out Sheets (Exhibit 5-1) for each project will be posted in a designated area. Each work day you will:

1) Locate the sheet for your project.
2) Sign your name by the appropriate shift for which you are scheduled.
3) Record the entry time in the "IN" column.
4) Sign yourself out when taking a break/ lunch, and sign in again when you return.
5) If an interviewer is working on two or more projects, s/he must sign in and out for each project.
6) Record the time in the "OUT" column when your shift is completed.

It is extremely important to remember to sign in and out every day. The Sign In/Out sheets are used by the Telephone Center staff for various purposes:

- To record interviewer time on the payroll time sheets;
- To prepare daily interviewer production reports; and
- To project staffing needs for current and future surveys.

Date ______________

TELEPHONE CENTER SIGN IN/OUT SHEET

Project Name ______________________________ # __________

Shift	In	Out	Interviewer	Hours Sched.	In	Out	Total Hours
Morning (__to__)							
Afternoon (__to__)							
Evening (__to__)							

a. Dyad role pla
he trainee t

Interviewers who neglect to sign in and out will not be paid for those hours worked.

5.2 Time Sheets

Beginning January 1, 1980, telephone interviewers are paid through a weekly payroll system. The interviewing work week begins on Sunday and ends Saturday. On the following Monday, time sheets are turned into the accounting department and paychecks for the previous week are given out on Friday. Each interviewer will complete a green 3-part time sheet (Exhibit 5-2) each pay period as follows:

1) Print your legal name on the top of of the sheet.

2) Include the dates of the current pay period.

3) Record the name and charge number of the survey(s) worked that week.

4) Sign your name in the lower right hand corner.

If any of the above information is omitted, it could cause delays in processing and you may not get paid on time. Do not record your hours on the time sheet. The time sheets are collected by the Staffing Supervisor who records the hours worked as recorded from the Sign In/Out Sheet. The pink copy will be returned for your own records. Any errors recorded on the time sheets are usually the result of failure to accurately sign in and out. It is your responsibility to sign in and out each day.

ared script,
terviewer

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Exhibit 5-2. Time report

WESTAT

An Employee-Owned Research Corporation

TIME REPORT

TELEPHONE RESEARCH CENTER TEMPORARY PERSONNEL **ONLY** USE THIS REPORT

TEMPORARY ONLY
TELEPHONE RESEARCH CENTER

Employee Number ____________ Name ______________________ For Period ____________ (Sunday) thru ____________ (Saturday)

REFERENCE LISTING OF ACCOUNT NUMBERS FOR NONCHARGEABLE HOURS

TEMPORARY EMPLOYEES

2100 Vacation
6005 Holiday
6420 Clerical
6475 Recruiting
6496 Telephone Center-Management
6498 Telephone Center-Non Supervisory

ACTUAL TIME HISTORY

CHARGEABLE HOURS Project Name	Number	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	TOTAL
Total Chargeable									
NONCHARGEABLE HOURS Account Name	Number	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	
Total Nonchargeable									
TOTAL HOURS									

Overtime ______ hours ______

Approved ______________________

Approved hours must be included in actual time history above.

Accounting – Original Copy
Supervisor – Blue Copy
Employee – Pink Copy

Employee Signature ______________

Supervisor or Project Director Signature ______________

5.3 Toll Records

Toll records (Exhibit 5-3) are used to record each long distance contact made when using a toll line. The form MUST include:

1) The interviewer's name;

2) Each area code and telephone number called;

3) The date the call was made; and

4) The project charge number.

These records are essential so that each project is properly billed. Return the completed toll records each day to the Production Supervisor.

5.4 Shift Progress Report

A Shift Progress Report form (Exhibit 5-4) is used on projects using only a manual control system, to show the amount of progress the interviewer has made during a particular shift. In most cases, progress is considered the number of completes and/or finalized cases. The form is returned with the questionnaires to a Coordinator by each interviewer at the end of each shift.

Exhibit 5-3. Toll record

WESTAT, INC.
TELEPHONE TOLL RECORD

Name ____________________ Month ____________________

Date	Number (or party called)	Charge To	Remarks

Exhibit 5-4. Shift progress report

SUPERVISOR'S SHIFT PROGRESS REPORT

DATE: ____________________

SUPERVISOR: ____________________

PROJECT NAME: ____________________

\# ____________________

SHIFT HOURS: ______ TO ________

TOTAL # of Interviewer Hours ____________

TOTAL Finalizations ____________________

Completes ____________________

Parials ____________________

Ineligible ____________________

Final Refusal ____________________

Language Problems ____________________

Other ____________________

No. of Initial Refusals ____________________

Comments: ____________

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5.5 Personnel Forms

Each new interviewer working at the Telephone Center <u>must</u> complete the following forms before a paycheck can be issued:

1) New Employee Form;
2) Federal Withholding;
3) State Withholding; and
4) Signed Statement of Confidentiality.

6. TELEPHONE CENTER RESOURCES

Telephone Center staff provides a number of developmental resources for the interviewing staff. These resources are techniques and training methods designed to further the professional growth of the interviewers. These techniques and training methods can also assist project staff in planning and implementing telephone surveys. These resources include: initial training, retraining, (including how to handle first refusals), refusal conversion, voice labs, and a telephone book library.

6.1 Initial Training

All interviewers, whether experienced or not, are expected to attend the training sessions for those projects to which they have been assigned. Initial training is conducted by project staff with the aid of Telephone Center supervisors and coordinators. There are four different general training techniques commonly used in training interviewers on most studies:

- Home Study - An Interviewer's Manual containing general telephone interviewing techniques, specific project requirements, and question by question specifications, is generally given to each interviewer prior to the start of training. Interviewers are to review the manual before attending the training session.

- Interactive lecture - Presentation and reinforcement of the basic concepts of each set of procedures. The lecture is scripted to include trainer-trainee interaction.

- Dyad role playing - By using a prepared script, one trainee takes the role of an interviewer while the other trainee plays the respondent. Then the roles are reversed.

- Written exercises - These exercises include such items as questions about procedures, entries to be made in the questionnaires, forms to be filled out, etc.

6.2 Retraining

Retraining is available when project staff, telephone staff and/or interviewers deem necessary. Retraining will include reviewing and practicing certain project procedures and/or interviewing techniques such as probing and handling refusals. Methods for retraining will include discussion and role playing and will be reviewed individually or in small groups.

6.3 Refusal Conversion Training

Refusal conversion training is available to help interviewers who will be attempting to complete an interview with a respondent who has initially refused to participate. This training will include discerning the reasons for the first refusal and practicing through role plays. Not every interviewer is suited to refusal conversion interviewing. Supervisors will choose interviewers to undergo this training about two weeks after the survey begins.

6.4 Voice Labs

Voice labs are voice and diction training sessions. These labs are used as an additional training tool for general project training. They are designed to reinforce and expand the techniques learned at interviewer training.

The voice labs were created to help every interviewer to:

- Effectively use his/her voice over the phone;
- Feel more comfortable with his/her vocal technique in the interview situation;
- Be more effective in answering respondents' questions; and
- Better handle possible refusals.

There are three types of voice training available to all interviewers. These are:

1. General Introduction to Voice and Diction - This introduction is usually available during initial training for a project. The session will cover the various vocal techniques that an interviewer uses to make his/her telephone manner a professional one.

2. Small group sessions - Small group sessions will be available for interviewers. These sessions will include reviewing and practicing voice techniques.

3. Individual sessions - Individual voice sessions are available to interviewers who have specialized vocal needs.

The General Introduction to Voice and Diction will be held only once, at initial training. The small group and individual voice labs will be routinely scheduled taking into account the project schedule. If after you start interviewing, you become interested in these additional training aids, inform your supervisor.

6.5 Telephone Book Library

A collection of telephone directories is available for use by both interviewing staff and project staff. The library is located in the reception area of the Telephone Center. There is a place where individuals can sit while using this resource. The following rules must be observed by anyone using the library.

1. Sign out each directory(ies) that you use;
2. Return each directory to its exact place(s) on the shelf; and
3. Sign in each directory on the appropriate sheet when you have finished with it.

NEVER TAKE A DIRECTORY OUT OF THE TELEPHONE CENTER.

Remember the reception area is where the library is located; it is not a lounge and not a place to gather and "chat".

Exhibit 5-1. Sign In/Out Sheet

Date ____________

TELEPHONE CENTER SIGN IN/OUT SHEET

Project Name ______________________________ # ____________

Shift	In	Out	Interviewer	Hours Sched.	In	Out	Total Hours
Morning (__ to __)							
Afternoon (__ to __)							
Evening (__ to __)							

Exhibit 5-2. Time report

WESTAT
An Employee-Owned Research Corporation

TIME REPORT

TELEPHONE RESEARCH CENTER TEMPORARY PERSONNEL ONLY USE THIS REPORT

TEMPORARY ONLY
TELEPHONE RESEARCH CENTER

Employee Number ______________ Name ______________ For Period ______________ (Sunday) thru ______________ (Saturday)

REFERENCE LISTING OF ACCOUNT NUMBERS FOR NONCHARGEABLE HOURS

TEMPORARY EMPLOYEES

2100 Vacation
6005 Holiday
6420 Clerical
6475 Recruiting
6496 Telephone Center-Management
6498 Telephone Center-Non Supervisory

ACTUAL TIME HISTORY

CHARGEABLE HOURS Project Name	Number	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	TOTAL
Total Chargeable									

NONCHARGEABLE HOURS Account Name	Number	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	
Total Nonchargeable									
TOTAL HOURS									

Overtime ______ hours ______

Approved ______________

Approved hours must be included in actual time history above.

Accounting	–	Original Copy
Supervisor	–	Blue Copy
Employee	–	Pink Copy

Employee Signature ______________
Supervisor or Project Director Signature ______________

Exhibit 5-3. Toll record

WESTAT, INC.
TELEPHONE TOLL RECORD

Name ______________________ Month ______________________

Date	Number (or party called)	Charge To	Remarks

Exhibit 5-4. Shift progress report

SUPERVISOR'S SHIFT PROGRESS REPORT

DATE: ____________________

SUPERVISOR: ____________________

PROJECT NAME: ____________________

____

SHIFT HOURS: ______ TO ______

TOTAL # of Interviewer Hours ____________

TOTAL Finalizations ____________________

Completes ____________________

Parials ____________________

Ineligible ____________________

Final Refusal ____________________

Language Problems ____________________

Other ____________________

No. of Initial Refusals ____________________

Comments:

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APPENDIX A

TELEPHONE TECHNIQUES

(A Guide to Effective Telephone
Personality for the Interviewer)

TELEPHONE TECHNIQUES

1. Introduction

As a Telephone Center Team, we are an integral part of the development of social and behavioral research methodology. We are the investigators and play an important role in building a scientific foundation for the research.

The role of the telephone interviewer is more challenging than that of an in-person interviewer. The in-person interviewer has the advantage of observing both the respondent's facial expressions and body language. Facial expressions and body language can be key factors in conducting a smooth, successful interview. A respondent who is interviewed in person may feel more relaxed by the interviewer's appearance, direct eye contact, facial expressions, and body lanaguage. All of which can aid the interviewer's legitimacy and credibility. Telephone interviewers do not have this advantage. Yet, telephone interviewers have overcome this barrier by effectively using the voice. By developing a professional telephone manner, the interviewer can establish and maintain a sound rapport with the respondent without the advantage of being in a face-to-face situation.

2. Developing a Professional Telephone Manner

There are many things that make up a professional telephone manner. These include:

- Vocal quality;
- Concentration;
- Enthusiasm and determination;
- Neutrality and tact; and
- Good listening skills.

2.1 Voice Quality

Before you pick up the telephone receiver to attempt contact with a respondent, you must assess your vocal qualities. Vocal qualities include: tone quality, pitch and inflection, rate, force, breathing, diction, and vocal variety. You must be totally aware of your vocal strengths and weaknesses. Your voice will have a direct effect upon your interviewing skills. Your voice can have a positive impact upon the respondent, your productivity and your morale. Consider the statement, "There is no index of character so sure as the voice..."* We often tend to judge a person by his or her voice. We regard as crude and rough a man whose voice is harsh and gutteral. Likewise, we think of a woman whose tones are sharp and nasal as a shrew. A thin, breathy voice, characterized by the frequent use of upward inflections, suggests a lack of conviction or indecisiveness.

Your voice represents you, the survey and the Company. The next few sections will concentrate on developing vocal qualities. REMEMBER:

> Your voice is like a musical instrument, it <u>always</u> needs tuning.

So, no matter how experienced you are, training your voice is a continuing process.

2.1.1 Tone Quality

Tone quality refers to the type of sound your voice has. It also refers to the tone projection of the voice. The

*Benjamin Disraeli, former prime minister of Great Britain, 1868-1880.

sound you make can be hoarse, nasal, thin or weak, deep, pharyngeal, or full and rounded. Regardless of how pleasant or unpleasant you sound, we will attempt to help you learn more about your tone production. We cannot correct any major problems in tone quality in a short time. The exercises we will do can be helpful. We will also teach you how to relax, which is a major factor in producing a better tone.

Tension and nervousness can be serious impediments in voice production. If you become tense, your voice may constrict. A constricted sound is unpleasant to hear and it also hurts your throat. Nervousness can afflict your breathing ability, which can impair the sound of the voice. Learning to relax is not easy. But we will go through some relaxation exercises that you can even do on your own, at home, or on-the-job.

2.1.2 Pitch and Inflection

Pitch and inflection refer to the high and low sounds of your voice. Variety in pitch or vocal range is a very important part of your speaking voice. There are three areas of pitch that we will talk about:

1. Optimum Pitch - Every voice has an ideal pitch. There are a few tones that you have in your range that are the easiest and most comfortable to use.

2. Habitual Pitch - This is a range of pitch patterns that you constantly use in everyday speech. These may coincide with your optimum pitch but often they do not because in daily life, the speaking voice is used differently than in controlled speech situations.

3. Falsetto - This pitch is perceived as high. Falsetto is rarely used except to create special tonal effects in speech.

The exercises you receive during training will help you locate the best range of pitch that you should use while on the telephone. These exercises will also help to overcome sounding monotone. A monotone voice is very difficult to listen to. On the other hand, a voice that is constantly going up and down can be either too relaxing or too obnoxious for the listener.

Having a better understanding of pitch will also give you a better control for using inflection. Inflection of words, phrases, or sentences help to clarify the meaning of what you are saying. Inflection, or glide, means a change in pitch on the tone, chiefly on vowels, diphthongs, and to some extent consonants. The voice glides up and down the scale to express changing thoughts and emotions. In general, upward glides on individual words express questions, indecision, or incomplete thoughts; downward glides express complete thoughts and degree of emphasis. Use of both downward and upward glide on a stressed syllable of a word (called circumflex) expresses uncertainty, irony, or double meaning.

2.1.3 - Rate or Pace

The rate or pace of your speech, whether it be too fast or too slow or just right, is important in communication. If you talk too fast your listener loses track of what you are trying to say. If you talk too slow, your listener will lose interest or finish your sentences for you. If your overall rate is "just right", you may sound boring. The rate you use in speech must be varied. The following elements can help you attain variety in rate:

- Pausing;
- Duration of sound and words;
- Phrase length;
- Phrase rate.

Using these elements effectively will enable you to achieve variety. Rate changes help in focusing on important ideas.

2.1.4 Force

Force is the power you put behind a word or phrase to achieve vocal expressiveness. Force is a way of stressing. A stressed word or phrase becomes the most important part of a sentence and is easily identified by the listener as important. A forced sentence, on the other hand, can be dangerous. Although a forced sentence can be emotionally effective (in large audience situations and often can stir an audience to attention), it can sound intimiaating.

If you force the wrong word or phrase, the whole meaning can be distorted. The exercises will help you to effectively use force and to locate key words or phrases that can be emphasized by using force. NOTE: You can make a word or phrase sound important by using many different techniques. Force is only one way to emphasize.

2.1.5 Breathing

The basis for building a strong and responsive voice lies in developing breath control. Power and control in initiating tone come from well-developed muscles of exhalation.

Although breathing is a natural function of the human body, our respiratory mechanisms were not designed for speech. We also tend to abuse our breath control:

- Day-to-day speech habits are sometimes accompanied by a variety of emotions. When we are undergoing emotional duress, such as anxiety due to fear, danger, shock, or anger, our breath control gives way to life-sustaining needs. In order to meet these types of "emergencies", the respiration rate is speeded up and becomes shallow. Speaking under these conditions is noticeably more difficult.

- Sometimes the clothes we wear constrict the lower rib cage and abdomen. This will reduce the efficiency of breathing.

Simply stated, breathing is an automatic intake and release of air. We can also consciously breath; that is, we can hold our breath, slowly inhale and quickly exhale, or vice versa. Since tone is produced by the exhaled breath, the ability to control the rate of exhalation becomes very important.

There are good and bad ways to breath for speech. Good methods involve using the diaphragm, the abdomen, and the lower rib cage. Breathing by solely raising the chest, the shoulders and the collarbones, or by expanding the chest are not good methods. Breathing by using the upper portion of your body can create tension and stress in your voice. The intake of air is limited when you breathe by moving your chest. And since exhalation is best controlled by muscles, thoracic or chest exhalation is not precise.

Breathing in the lower regions (lower rib cage, diaphragm, and abdomen) is easier to do and requires less energy. The muscles in your stomach and abdomen are very effective tools in controlling exhalation.

The telephone interviewer is also challenged by having to sit. Sitting in poor posture can be like wearing a girdle. It constricts your ability to control your breathing.

Effective breath control is the key behind vocal tone, pitch, rate, and force or stress, and volume. The exercises you learn during training should also be done on your own.

2.1.6 Diction

The previous sections have focused on the production, amplification, and control of the voice. We are now going to discuss the importance of speaking distinctly. Even if you have a gorgeous voice and know how to use it effectively, all your efforts will mean nothing if your words are not clear. If your speech is characterized by slurring, mumbling, or oral inaccuracy, your listener will perceive you in a negative way.

With most people who garble their words, poor articulation is simply a matter of habit. Poor articulation can be overcome by being attentive to your speech patterns. You must also make a conscious effort to speak clearly. But whatever the cause and however severe the problem of poor diction, it must be overcome by anyone who aspires to success in any field involving communication with others.

During training we will discuss the instruments you use to produce good, clear diction. The exercises we give will be brief. However, if anyone has a more serious diction problem, other than plain sloppy speech, we will work with that person outside of the training session.

2.1.7 Vocal Variety

It is possible to master tone production and diction, and still be judged as dull, monotonous, and hard to listen to. The key to success lies in achieving vocal variety.

If you have good tone quality, wide pitch range, clear understanding of rate and how to use it, know when to effectively use force, and have developed your breath control, then you should be an effective speaker. An effective speaker is one who can use all of these vocal components in a variety of ways. Vocal variety helps clarify the main points and makes the listener more attentive.

2.2 Concentration

Concentration is not always an easy thing to accomplish. You will find yourself concentrating on such things as: 1) what the respondent is saying, (2) your recording procedures, (3) skip patterns, and (4) forms you might need for the interview. You might also find yourself being distracted by sounds on the line or in the telephone center, and by activities in the telephone center. You may also be distracted by events in your personal life. Learning to block out any distractions may be difficult for some people, but it can be done if you "thrust" all your energy into your interview.

Learning to balance your efforts of concentration on the phone takes time when you are beginning a new project. Once you feel comfortable with the whole interviewing process, don't become too confident. You'll "blow" your concentration efforts. Take this example: An actor becomes so familiar with his lines and his movement on stage, he finds his thoughts drift.

when he finds himself standing in the middle of the stage with all attention on him, he won't know where he is or what he should say or do. This can be very embarrassing.

If your concentration level is developed and balanced then your ability to speak well, without hesitancy, will improve. Concentration increases awareness; awareness means you will be prepared.

2.3 Enthusiasm and Determination

If you are enthusiastic about the study, you will communicate this to the respondent. There will be a sense of confidence and assurance in what you are doing. If you enjoy your work, your voice will project this. If you do not enjoy this type of work, your voice will be lifeless, boring and sound bothered or perturbed. If you are not enthusiastic about the study as a whole, you should find something about it that you like. Although your feelings should not enter in the conversation, your feelings may influence the way you sound.

Determination can be positive. Determination can increase your confidence level. But too much determination can be dangerous. Excessive determination can make you sound too forceful and aggressive and sometimes desperate.

2.4 Neutrality and Tact

You must always remain neutral and objective during the interview. This point cannot be stressed enough. You cannot become involved with the respondent. A few pleasantries perhaps can be exchanged but only to make the respondent feel at ease. Otherwise, you must maintain a business-like attitude. But don't be cold!

If a respondent becomes too talkative, you should listen carefully, but listen for a cue that you can use to tactfully get you back to the questionnaire. Your voice should be soothing and confident.

If a respondent expresses a view that is offensive to you, you must never contradict it or comment on it. Ignore it or make a pleasant transition and move on to the next question. Or say something like, "That may be so but I have a few more questions to ask."

Tact is knowing when to say the right thing at the right time.

2.5 Listening Skills

To speak is only one-half of the communication process. To complete the process, one must also listen. If you listen carefully to your respondent, not only will you hear the answers, but you might also hear how the respondent feels about the questions, the interview, or the survey as a whole. We will call the way in which a respondent answers, vocal cues. Vocal cues can be hesitant, disinterested or distracted, irritated, or hostile.

Hesitancy is usually accompanied by oral stumbling, "uh's", or drawn out phrases. When someone sounds hesitant, he or she may be afraid or nervous, and may not trust this particular communication situation.

A disinterested or distracted respondent will not be fully listening to the questions. Therefore, the answers will not be clear. You may find the respondent pausing for a long time and sounding vague.

Irritation in the voice includes sighing, huffing sounds, clicks of the tongue, and downward and upward inflections. This circumflex inflection of words suggests double meaning.

Hostility in the voice sounds harsh and forceful. There are no pauses. The pace will be rapid and the volume will be loud.

These are some obvious types of vocal cues. There are more that fall in-between. The point here is to <u>listen carefully to the respondent</u>.

There is no defined cure for poor listening skills. You simply have to consciously listen. This requires concentration. But if you concentrate too hard, all you will remember is your thoughts to concentrate. You must listen and comprehend.

What do you do when you perceive that the respondent's vocal cues register some problems? If you find that the vocal cues sound:

<u>Hesitant</u> for fear, nervousness, or distrust	<u>THEN</u>	<u>Reassure</u> the respondent, by using a calm soothing tone, that the study is important. Stress the confidential nature of the interview. Slow down your rate to emphasize the importance of <u>R</u>'s participation.

<u>Disinterested</u> and <u>Distracted</u>, accompanied by boredom	<u>THEN</u>	Adjust your rate of speech. Put a little more power behind your words. Your enthusiasm can be contagious. If you are enthusiastic your pitch will also vary. Vocal variety is a key solution to this problem.
<u>Irritated</u>	<u>THEN</u>	Remain calm, confident and soothing. Determine if <u>R</u> is irritated because he or she is busy. If <u>R</u> is busy or this is a bad time, it might be wise to set up a <u>definite</u> appointment for a callback. If <u>R</u> is irritated because of the survey's content, you must sound confident and reassuring. Your voice must never sound hesitant. Vocal variety and an effective use of force will be helpful.
<u>Hostile</u>	<u>THEN</u>	You must maintain "firm but friendly" control. Be confident. Your tone must not become harsh. You cannot hesitate. You should pick up the pace a little. Do not try to debate with the respondent. Be understanding but not "wishy-washy". Try to keep the upper hand but don't offend the respondent. The <u>R</u> must always feel he or she is right. Make the respondent feel important and needed for the survey.

Active listening is an important tool that a telephone interviewer can use to obtain the respondent's respect during the interview. By interjecting such words as "Uh-huh", "I see", "yes", etc., at the appropriate times, the respondent will know you are actively listening and interested. Sometimes repeating a phrase verbatim will illicit a positive response from the respondent for it serves several purposes:

- Confirms the R's statement;
- Shows the R that the interviewer was listening carefully and was being attentive;
- Gives interviewer time to write down the R's statement; and
- Allows you to probe R's statement for clarification, etc.

Never give the R a vocal cue that will cause him/her to sense you are nervous, pensive, bored or anxious.

The following points summarize all that has been said. These points should serve as a quick guide to a more effective and professional telephone personality.

- BE EXPRESSIVE: Speak at a moderate rate and volume, but vary the tone of your voice to add vitality and emphasis to what you say.

- BE DISTINCT: Pronounce your words clearly and carefully. Always speak directly into telephone transmitter.

- BE ALERT: Be cheerful, wide awake and listen. This sets the tone of any conversation and shows you are listening.

- BE NATURAL: Use simple language. Avoid slang and technical terms, when answering respondent questions.

- BE PLEASANT: Show that you are interested. You can personalize your conversation by using the person's name, but never get too personal.

- BE COURTEOUS: Good telephone habits are nothing more than good manners.

APPENDIX B

TARGET
STANDARD INDUSTRIAL CLASSIFICATIONS

NIOSH NOHS II

TARGET

STANDARD INDUSTRIAL CLASSIFICATIONS

SIC	DESCRIPTION
0723	Crop preparation services for market, except cotton ginning
0724	Cotton ginning
0742	Veterinary services for animal specialities
0782	Lawn and graden services
0783	Ornamental shrub and tree services
1311	Crude petroleum and natural gas
1321	Natural gas liquids
1381	Drilling oil and gas wells
1382	Oil and gas field exploration services
1389	Oil and gas field services, not elsewhere classified
1521	General contractors - single family homes
1522	General contractors - residential buildings, other than single family
1531	Operative builders
1541	General contractors - industrial buildings and warehouses
1542	General contractors - nonresidential buildings, other than industrial buildings and warehouses
1611	Highway and street construction, except elevated highways
1622	Bridge, tunnel, and elevated highway construction
1623	Water, sewer, pipeline, communication and power line construction
1629	Heavy construction, not elsewhere classified

SIC	DESCRIPTION
1711	Plumbing, heating (except electric), and air conditioning
1721	Painting, paper hanging, and decorating
1731	Electrical work
1741	Masonry, stone setting, and other stone work
1742	Plastering, drywall, acoustical and insulation work
1743	Terrazzo, tile, marble and mosaic work
1751	Carpentering
1752	Floor laying and other floor work, not elsewhere classified
1761	Roofing and sheet metal work
1771	Concrete work
1781	Water well drilling
1791	Structural steel erection
1793	Glass and glazing work
1794	Excavating and foundation work
1795	Wrecking and demolition work
1796	Installation or erection of building equipment, not elsewhere classified
1799	Special trade contractors, not elsewhere classified
2011	Meat packing plants
2013	Sausages and other prepared meat products
2017	Poultry and egg processing
2021	Creamery butter
2022	Cheese, natural and processed
2023	Condensed and evaporated milk

SIC	DESCRIPTION
2024	Icecream and frozen desserts
2026	Fluid milk
2032	Canned specialties
2033	Canned fruits, vegetables, preserves, jams and jellies
2034	Dried and dehydrated fruits, vegetables, and soup mixes
2035	Pickled fruits and vegetables, vegetable sauces and seasonings, and salad dressings
2037	Frozen fruits, fruit juices and vegetables
2038	Frozen specialties
2041	Flour and other grain mill products
*2042	Prepared feeds for animal *(SIC code not listed in manual)
2043	Cereal breakfast foods
2044	Rice milling
2045	Blended and prepared flour
2046	Wet corn milling
2047	Dog, cat and other pet food
2048	Prepared feeds and feed ingredients for animals and fowls, not elsewhere classified
2051	Bread and other bakery products, except cookies and crackers
2052	Cookies and crackers
2061	Cane sugar, except refining only
2062	Cane sugar refining
2063	Beet sugar
2065	Candy and other confectionery products

SIC	DESCRIPTION
2066	Chocolate and cocoa products
2067	Chewing gum
2074	Cottonseed oil mills
2075	Soybean oil mills
2076	Vegetable oil mills, except corn, cottonseed, and soybean
2077	Animal and marine fats and oils
2079	Shortening, table oils, margarine and other edible fats and oils, not elsewhere classified
2082	Malt beverages
2083	Malt
2084	Wines, brandy, and brandy spirits
2085	Distilled, rectified, and blended liquors
2086	Bottled and canned soft drinks and carbonated waters
2087	Flavoring extracts and flavoring sirups, not elsewhere classified
2091	Canned and cured fish and seafoods
2092	Fresh or frozen packaged fish and seafoods
2095	Roasted coffee
2097	Manufactured ice
2098	Macaroni, spaghetti, vermicelli, and noodles
2099	Food preparations, not elsewhere classified
2111	Cigarettes
2121	Cigars
2131	Tobacco (chewing and smoking) and snuff
2141	Tobacco stemming and redrying

SIC	DESCRIPTION
2211	Broad woven fabric mills, cotton
2221	Broad woven fabric mills, man-made fiber and silk
2231	Broad woven fabric mills, wool (including dyeing and finishing)
2241	Narrow fabrics and other smallwares mills: cotton, wool, silk, and man-made fiber
2251	Women's full length and knee-length hosiery
2252	Hosiery, except women's full length and knee-length hosiery
2253	Knit outerwear mills
2254	Knit underwear mills
2257	Circular knit fabric mills
2258	Warp knit fabric mills
2259	Knitting mills, not elsewhere classified
2261	Finishers of broad woven fabrics of cotton
2262	Finishers of broad woven fabrics of man-made fiber and silk
2269	Finishers of textiles, not elsewhere classified
2271	Woven carpets and rugs
2272	Tufted carpets and rugs
2279	Carpets and rugs, not elsewhere classified
2281	Yarn spinning mills: cotton, man-made fibers and silk.
2282	Yarn texturizing, throwing, twisting and winding mills: cotton, man-made fibers and silk
2283	Yarn mills, wool, including carpet and rug yarn
2284	Thread mills
2291	Felt goods, except woven felts and hats

SIC	DESCRIPTION
2292	Lace goods
2293	Paddings and upholstery filling
2294	Processed waste and recovered fibers and flock
2295	Coated fabrics, not rubberized
2296	Tire cord and fabric
2297	Nonwoven fabrics
2298	Cordage and twine
2299	Textile goods, not elsewhere classified
2311	Men's, youths', and boys' suits, coats and overcoats
2321	Men's, youths', and boys' shirts (except work shirts) and nightwear
2322	Men's, youths', and boys' underwear
2323	Men's, youths', and boys' neckwear
2327	Men's, youths', and boys' separate trousers
2328	Men's, youths', and boys' work clothing
2329	Men's, youths' and boys' clothing, not elsewhere classified
2331	Women's, misses', and juniors' blouses, waists, and shirts
2335	Women's, misses', and juniors' dresses
2337	Women's, misses', and juniors' suits, skirts, and coats
2339	Women's, misses', and juniors' outerwear, not elsewhere classified
2341	Women's, misses', children's and infants' underwear and nightwear
2342	Brassieres, girdles, and allied garments
2351	Millinery

SIC	DESCRIPTION
2352	Hats and caps, except millinery
2361	Girls', children's, and infants' dresses, blouses, waists, and shirts
2363	Girls', children's, and infants' coats and suits
2369	Girls', children's, and infants' outerwear, not elsewhere classified
2371	Fur goods
2381	Dress and work gloves, except knit and all-leather
2384	Robes and dressing gowns
2385	Raincoats and other waterproof outer garments
2386	Leather and sheep lined clothing
2387	Apparel belts
2389	Apparel and accessories, not elsewhere classified
2391	Curtains and draperies
2392	House furnishings, except curtains and draperies
2393	Textile bags
2394	Canvas and related products
2395	Pleating, decorative and novelty stitching, and tucking for the trade
2396	Automotive trimmings, apparel findings, and related products
2397	Schiffli machine embroideries
2399	Fabricated textile products, not elsewhere classified
2411	Logging camps and logging contractors
2421	Sawmills and planning mills, general
2426	Hardwood dimension and flooring mills

SIC	DESCRIPTION
2429	Special product sawmills, not elsewhere classified
2431	Millwork
*2433	Prepared wood buildings *(SIC code not listed in manual)
2434	Wood kitchen cabinets
2435	Hardwood veneer and plywood
2436	Softwood veneer and plywood
2439	Structural wood members, not elsewhere classified
2441	Nailed and lock corner wood boxes and shook
2448	Wood pallets and skids
2449	Wood containers, not elsewhere classified
2451	Mobile homes
2452	Prefabricated wood buildings and components
2491	Wood preserving
2492	Particleboard
2499	Wood products, not elsewhere classified
2511	Wood household furniture, except upholstered
2512	Wood household furniture, upholstered
2514	Metal household furniture
2515	Mattresses and bedsprings
2517	Wood television, radio, phonograph, and sewing machine cabinets
2519	Household furniture, not elsewhere classified
2521	Wood office furniture
2522	Metal office furniture
2531	Public building and related furniture

SIC	DESCRIPTION
2541	Wood partitions, shelving, lockers, and office and store fixtures
2591	Drapery hardware and windoe blinds and shades
2599	Furniture and fixtures, not elsewhere classified
2611	Pulp mills
2621	Paper mills, except building paper mills
2631	Paperboard mills
2641	Paper coating and glazing
2642	Envelopes
2643	Bags, except textile bags
2645	Die-cut paper and paperboard and cardboard
2646	Pressed and molded pulp goods
2647	Sanitary paper products
2648	Stationery, tablets and related products
2649	Converted paper and paperboard products, not elsewhere classified
2651	Folding paperboard boxes
2652	Set-up paperboard boxes
2653	Corrugated and solid fiber boxes
2654	Sanitary food containers
2655	Fiber cans, tubes, drums, and similar products
2661	Building paper and building board mills
2711	Newspapers: publishing, publishing and printing
2721	Periodicals: publishing, publishing and printing
2732	Book printing

SIC	DESCRIPTION
2741	Miscellaneous publishing
2751	Commercial printing, letterpress and screen
2752	Commercial printing, lithograph
2753	Engraving and plate printing
2754	Commercial printing, gravure
2761	Manifold business forms
2771	Greeting card publishing
2782	Blankbooks, looseleaf binders and devices
2789	Bookbinding and related work
2791	Typesetting
2793	Photoengraving
2794	Electrotyping and stereotyping
2795	Lithographic platemaking and related services
2812	Alkalies and chlorine
2813	Industrial gases
2816	Inorganic pigments
*2818	Organic chems not elsewhere classified *(SIC code not listed in manual)
2819	Industrial inorganic chemicals, not elsewhere classified
2821	Plastics materials, synthetic resins, and nonvulcanizable elastomers
2822	Synthetic rubber (vulcanizable elastomers)
2823	Cellulosic man-made fibers
2824	Synthetic organic fibers, except cellulosic
2831	Biologic products

SIC	DESCRIPTION
2833	Medicinal chemicals and botanical products
2834	Pharmaceutical preparations
2841	Soap and other detergents, except specialty cleaners
2842	Specialty cleaning, polishing, and sanitation preparations
2843	Surface active agents, finishing agents, sulfonated oils and assistants
2844	Perfumes cosmetics, and other toilet preparations
2851	Paints, varnishes, lacquers, enamels, and allied products
2861	Gum and wood chemicals
2865	Cyclic (coal tar) crudes, and cyclic intermediates, dyes, and organic pigments (lakes and toners)
2869	Industrial organic chemicals, not elsewhere classified
*2871	Fertilizers *(SIC code not listed in manual)
2873	Nitrogenous fertilizers
2874	Phosphatic fertilizers
2875	Fertilizers, mixing only
2879	Pesticides and agricultural chemicals, not elsewhere classified
2891	Adhesives and sealants
2892	Explosives
2893	Printing ink
2895	Carbon black
2899	Chemicals and chemical preparations, not elsewhere classified
2911	Petroleum refining
2951	Paving mixtures and blocks

SIC	DESCRIPTION
2952	Asphalt felts and coatings
2992	Lubricating oils and greases
2999	Products of petroleum and coal, not elsewhere classified
3011	Tires and inner tubes
3021	Rubber and plastics footwear
3031	Reclaimed rubber
3041	Rubber and plastics hose and belting
3069	Fabricated rubber products, not elsewhere classified
3079	Miscellaneous plastics products
3111	Leather tanning and finishing
3131	Boot and shoe cut stock and findings
*3141	Footwear, except slippers, rubber footwear *(SIC code not listed in manual)
3142	House slippers
3143	Men's footwear, except athletic
3144	Women's footwear, except athletic
3149	Footwear, except rubber, not elsewhere classified
3151	Leather gloves and mittens
3161	Luggage
3171	Women's handbags and purses
3172	Personal leather goods, except women's handbags and purses
3199	Leather goods, not elsewhere classified
3211	Flat glass
3221	Glass containers

SIC	DESCRIPTION
3229	Pressed and blown glass and glassware, not elsewhere classified
3231	Glass products, made of purchased glass
3241	Cement, hydraulic
3251	Brick and structural clay tile
3253	Ceramic wall and floor tile
3255	Clay refractories
3259	Structural clay products, not elsewhere classified
3261	Vitreous china plumbing fixtures and china and earthenware fittings and bathroom accessories
3262	Vitreous china table and kitchen articles
3263	Fine earthenware (whiteware) table and kitchen articles
3264	Porcelain electrical supplies
3269	Pottery products, not elsewhere classified
3271	Concrete block and brick
3272	Concrete products, except block and brick
3273	Ready-mixed concrete
3274	Lime
3275	Gypsum products
3281	Cut stone and stone products
3291	Abrasive products
3292	Asbestos products
3293	Gaskets, packing, and sealing devices
3295	Minerals and earths, ground or otherwise treated
3269	Mineral wool

SIC	DESCRIPTION
3297	Nonclay refractories
3299	Nonmetallic mineral products, not elsewhere classified
3312	Blast furnaces (including coke ovens), steel works, and rolling mills
3313	Electrometallurgical products
3315	Steel wire drawing and steel nails and spikes
3316	Cold rolled steel sheet, strip and bars
3317	Steel pipe and tubes
3321	Gray iron foundries
3322	Malleable iron foundries
3324	Steel investment foundries
3325	Steel foundries, not elsewhere classified
3331	Primary smelting and refining of copper
3332	Primary smelting and refining of lead
3333	Primary smelting and refining of zinc
3334	Primary production of aluminum
3339	Primary smelting and refining of nonferrous metals, not elsewhere classified
3341	Secondary smelting and refining of nonferrous metals
3351	Rolling, drawing, and extruding of copper
3353	Aluminum sheet, plate, and foil
3354	Aluminum extruded products
3355	Aluminum rolling and drawing, not elsewhere classified
3356	Rolling, drawing, and extruding of nonferrous metals, except copper and aluminum
3357	Drawing and insulating of nonferrous wire

SIC	DESCRIPTION
3361	Aluminum foundries (castings)
3362	Brass, bronze, copper, copper base alloy foundries (castings)
3369	Nonferrous foundries (castings), not elsewhere classified
3398	Metal heat treating
3399	Primary metal products, not elsewhere classified
3411	Metal cans
3412	Metal shipping barrels, drums, kegs, and pails
3421	Cutlery
3423	Hand and edge tools, except machine tools and hand saws
3425	Hand saws and saw blades
3429	Hardware, not elsewhere classified
3431	Enameled iron and metal sanitary ware
3432	Plumbing fixture fittings and trim (brass goods)
3433	Heating equipment, except electric and warm air furnaces
3441	Fabricated structural metal
3442	Metal doors, sash, frames, molding and trim
3443	Fabricated plate work (boiler shops)
3444	Sheet metal work
3446	Architectural and ornamental metal work
3448	Prefabricated metal buildings and components
3449	Miscellaneous metal work
3451	Screw machine products
3452	Bolts, nuts, screws, rivets, and washers

SIC	DESCRIPTION
*3461	Metal stampings *(SIC code not listed in manual)
3462	Iron and steel forgings
3463	Nonferrous forgings
3465	Automotive stampings
3466	Crowns and closures
3469	Metal stampings, not elsewhere classified
3471	Electroplating, plating, polishing, anodizing and coloring
3479	Coating, engraving and allied services, not elsewhere classified
3482	Small arms ammunition
3483	Ammunition, except for small arms, not elsewhere classified
3484	Small arms
3489	Ordnance and accessories, not elsewhere classified
3493	Steel springs, except wire
3494	Valves and pope fittings, except plumbers' brass goods
3495	Wire springs
3496	Miscellaneous fabricated wire products
3497	Metal foil and leaf
3498	Fabricated pipe and fabricated pipe fittings
3499	Fabricated metal products, not elsewhere classified
3511	Steam, gas, and hydraulic turbines and turbine generator set units
3519	Internal combustion engines, not elsewhere classified
*3522	Farm machinery and equipment *(SIC code not listed in manual)

SIC	DESCRIPTION
3523	Farm machinery and equipment
3524	Garden tractors and lawn and garden equipment
3531	Construction machinery and equipment
3532	Mining machinery and equipment, except oil field machinery and equipment
3533	Oil field machinery and equipment
3534	Elevators and moving stairways
3535	Conveyors and conveying equipment
3536	Hoists, industrial cranes, and monorail systems
3537	Industrial trucks, tractors, trailers, and stackers
3541	Machine tools, metal cutting types
3542	Machine tools, metal forming types
3544	Special dies and tools, die sets, jigs and fixtures, and industrial molds
3545	Machine tool accessories and measuring devices
3546	Power driven hand tools
3547	Rolling mill machinery and equipment
*3548	Metalwork machinery, except maching tools *(SIC code not listed in manual)
3549	Metalworking machinery, not elsewhere classified
3551	Food products machinery
3552	Textile machinery
3553	Woodworking machinery
3554	Paper industries machinery
3555	Printing trades machinery and equipment
3559	Special industry machinery, not elsewhere classified

SIC	DESCRIPTION
3561	Pumps and pumping equipment
3562	Ball and roller bearings
3563	Air and gas compressors
3564	Blowers and exhaust and ventilation fans
3565	Industrial patterns
3566	Speed changer, industrial high speed drives, and gears
3567	Industrial process furnaces and ovens
3568	Mechanical power transmission equipment, not elsewhere classified
3572	Typewriters
3573	Electronic computing equipment
3574	Calculating and accounting machines, except electronic computing equipment
3576	Scales and balances, except laboratory
3579	Office machines, not elsewhere classified
3581	Automatic merchandising machines
3582	Commercial laundry, dry cleaning, and pressing machines
3585	Air conditioning and warm air heating equipment and commercial and industrial refrigeration equipment
3586	Measuring and dispensing pumps
3589	Service industry machines, not elsewhere classified
3592	Carburetors, pistons, piston rings, and valves
3599	Machinery, except electrical, not elsewhere classified
*3611	Electrical measuring instruments, test electricity *(SIC code not listed in manual)
3612	Power, distribution, and specialty transformers

SIC	DESCRIPTION
3613	Switchgear and swithboard apparatus
3621	Motors and generators
3622	Industrial controls
3623	Welding apparatus, electric
3624	Carbon and graphite products
3629	Electrical industrial apparatus, not elsewhere classified
3631	Household cooking equipment
3632	Household regrigerators and home and farm freezers
3633	Household laundry equipment
3634	Electric housewares and fans
3635	Household vacuum cleaners
3636	Sewing machines
3639	Household appliances, not elsewhere classified
3641	Electric lamps
3643	Current-carrying wiring devices
3644	Noncurrent-carrying wiring devices
3645	Residential electric lighting fixtures
3646	Commercial, industrial, and institutional electric lighting fixtures
3647	Vehicular lighting equipment
3648	lighting equipment, not elsewhere classified
3651	Radio and television receiving sets, except communication types
3652	Phonograph records and pre-recorded magnetic tape
3661	Telephone and telegraph apparatus

SIC	DESCRIPTION
3662	Radio and television transmitting, signaling, and detection equipment and apparatus
3671	Radio and television receiving type electron tubes, except cathode ray
3672	Cathode ray television picture tubes
3673	Transmitting, industrial, and special purpose electron tubes
3674	Semiconductors and related devices
3675	Electronic capacitors
3676	Resistors, for electronic applications
3677	Electronic coils, transformers and other inductors
3678	Connectors, for electronic applications
3679	Electronic components, not elsewhere classified
3691	Storage batteries
3692	Primary batteries, dry and wet
3693	Radiographic X-ray, fluoroscopic X-ray, therapeutic X-ray, and other X-ray apparatus and tubes; electro-medical and electrotherapeutic apparatus
3694	Electrical equipment for internal combustion engines
3699	Electrical machinery, equipment, and supplies, not elsewhere classified
3711	Motor vehicles and passenger car bodies
3713	Truck and bus bodies
3714	Motor vehicle parts and accessories
3715	Truck trailers
3721	Aircraft
*3722	Aircraft engines, engine parts *(SIC code not listed in manual)

SIC	DESCRIPTION
3724	Aircraft engines and engine parts
3728	Aircraft parts and auxiliary equipment, not elsewhere classified
3731	Ship building and repairing
3732	Boat building and repairing
3743	Railroad equipment
3751	Motorcycles, bicycles, and parts
3761	Guided missiles and space vehicles
3764	Guided missile and space vehicle propulsion units and propulsion unit parts
3769	Guided missle and space vehicle parts and auxiliary equipment, not elsewhere classified
3792	Travel trailers and campers
3795	Tanks and tank components
3799	Transportation equipment, not elsewhere classified
3811	Engineering, laboratory, scientific, and research instruments and associated equipment
*3821	Mechanical measuring instruments *(SIC code not listed in manual)
3822	Automatic controls for regulating residential and commercial environments and appliances
3823	Industrial instruments for measurement, display and control of process variables; and related products
3824	Totalizing fluid meters and counting devices
3825	Instruments for measuring and testing of electricity and electrical signals
3829	Measuring and controlling devices, not elsewhere classified
3832	Optical instruments and lenses

SIC	DESCRIPTION
3841	Surgical and medical instruments and apparatus
3842	Orthopedic, prosthetic, and surgical appliances and supplies
3843	Dental equipment and supplies
3851	Opthalmic goods
3861	Photographic equipment and supplies
3873	Watches, clocks, clockwork operated devices, and parts
3911	Jewelry, precious metal
3914	Silverware, plated ware, and stainless steel ware
3915	Jewelers' findings and materials, and lapidary work
3931	Musical instruments
3942	Dolls
3944	Games, toys and childrens' vehicles; except dolls and bicycles
3949	Sporting and athletic goods, not elsewhere classified
3951	Pens, mechanical pencils, and parts
3952	Lead pencils, crayons, and artists' materials
3953	Marking devices
3955	Carbon paper and inked ribbons
3961	Costume jewelry and costume novelties, except precious metal
3962	Feathers, plumes, and artificial trees and flowers
3963	Buttons
3964	Needles, pins, hooks and eyes, and similar notions
3991	Brooms and brushes
3993	Signs and advertising displays

SIC	DESCRIPTION
*3994	Morticians goods *(SIC code not listed in manual)
3995	Burial caskets
3996	Linoleum, asphalted-felt base, and other hard surface floor coverings, not elsewhere classified
3999	Manufacturing industries, not elsewhere classified
4013	Switching and terminal establishments
4111	Local and suburban transit
4119	Local passenger transportation, not elsewhere classified
4121	Taxicabs
4151	Schoolbuses
4171	Terminal and joint terminal maintenance facilities for motor vehicle passenger transportation
4172	Maintenance and service facilities for motor vehicle passenger transportation
4212	Local trucking without storage
4214	Local trucking with storage
4221	Farm product warehousing and storage
4222	Refrigerated warehousing
4224	Household goods warehousing and storage
4225	General warehousing and storage
4226	Special warehousing and storage, not elsewhere classified
4231	Terminal and joint terminal maintenance facilities for motor freight transportation
4411	Deep sea foreign transportation
4421	Transportation to and between noncontiguous territories
4422	Coastwise transportation

SIC	DESCRIPTION
4423	Intercoastal transportation
4431	Great lakes - St. Lawrence seaway transportation
4441	Transportation on rivers and canals
4452	Ferries
4453	Lighterage
4454	Towing and tugboat service
4459	Local water transportation, not elsewhere classified
4463	Marine cargo handling
4464	Canal operation
4469	Water transportation services, not elsewhere classified
4511	Air transportation, certified carriers
4521	Air transportation, noncertified carriers
4582	Airports and flying fields
4583	Airport terminal services
4612	Crude petroleum pipe lines
4613	Refined petroleum pipe lines
4619	Pipe lines, not elsewhere classified
4742	Rental of railroad cars with care of lading
4782	Inspection and weighing services connected with transportation
4783	Packing and crating
4784	Fixed facilities for handling motor vehicle transportation not elswhere classified
4789	Services incidental to transportation, not elsewhere classified
4811	Telephone communication (wire or radio)

SIC	DESCRIPTION
4821	Telegraph communication (wire or radio)
4832	Radio broadcasting
4833	Television broadcasting
4899	Communication services, not elswhere classified
4911	Electric services
4922	Natural gas transmission
4923	Natural gas transmission and distribution
4924	Natural gas distribution
4925	Mixed, manufactured or liquefied petroleum gas production and/or distribution
4931	Electric and other services combined
4932	Gas and other services combined
4939	Combination utilities, not elsewhere classified
4941	Water supply
4952	Sewerage systems
4953	Refuse systems
4959	Sanitary services, not elsewhere classified
4961	Steam supply
4971	Irrigation systems
5012	Automobiles and other motor vehicles
5013	Automotive parts and supplies
5014	Tires and tubes
5031	Lumber, plywood and millwork
5039	Construction materials, not elsewhere classified
5051	Metal service centers and offices

SIC	DESCRIPTION
5052	Coal and other minerals and ores
5093	Scrap and waste materials
5161	Chemicals and allied products
5171	Petroleum bulk stations and terminals
5172	Petroleum and petroleum products wholesalers, except bulk stations and terminals
5521	Motor vehicle dealers (used only)
5531	Auto and home supply stores
5541	Gasoline service stations
7211	Power laundries, family and commercial
7212	Garment pressing, and agents for laundries and dry cleaners
7213	Linen supply
7214	Diaper service
7215	Coin-operated laundries and dry cleaning
7216	Dry cleaning plants, except rug cleaning
7217	Carpet and upholstery cleaning
7219	Laundry and garment services, not elsewhere classified
7221	Photographic studios, portrait
7231	Beauty shops
7241	Barber shops
7251	Shoe repair shops, shoe shine parlors, and hat cleaning shops
7261	Funeral service and crematories
7299	Miscellaneous personal services
7331	Direct mail advertising services

SIC	DESCRIPTION
7332	Blueprinting and photocopying services
7333	Commercial photography, art, and graphics
7339	Stenographic services; and reproduction services, not elsewhere classified
7341	Window cleaning
7342	Disinfecting and exterminating services
7349	Cleaning and maintenance services to dwellings and other buildings, not elsewhere classified
7391	Research and development laboratories
7395	Photofinishing laboratories
7397	Commercial testing laboratories
7399	Business services, not elsewhere classified
7512	Passenger car rental and leasing, without drivers
7519	Utility trailer and recreational vehicle renting
7531	Top and body repair shop
7534	Tire retreading and repair shops
7535	Paint shops
7538	General automotive repair shops
7539	Automotive repair shops, not elsewhere classified
7542	Car washes
7549	Automotive services, except repair and car washes
7622	Radio and television repair shops
7623	Refrigeration and air conditioning service and repair shops
7629	Electrical and electronic repair shops, not elsewhere classified

SIC	DESCRIPTION
7631	Watch, clock, and jewelry repair
7641	Reupholstry and furniture repair
7692	Welding repair
7694	Armature rewinding shops
7699	Repair shops and related services, not elsewhere classified
8062	General medical and surgical hospitals
8071	Medical laboratories
8072	Dental laboratories
8091	Health and allied services, not elsewhere classified
8411	Museums and art galleries
8421	Arboreta, botanical, and zoological gardens

THIS STUDY IS AUTHORIZED BY THE OCCUPATIONAL SAFETY AND HEALTH ACT OF 1970 [27 U.S.C. 669(a)]

OMB # 68S80036
EXPIRES: September 30, 1981

NATIONAL INSTITUTE FOR OCCUPATIONAL SAFETY AND HEALTH

NATIONAL OCCUPATIONAL HAZARD SURVEY II

ATTACH MINI-LABEL HERE

CASE ID # |__|__|__| - |__|__|__|__| - |__|__| - |__|__|

Prepared by:

WESTAT
An Employee-Owned Research Corporation
11600 Nebel Street • Rockville, Maryland 20852 • 301 881-5310

... Washington, D.C. We are conducting a study for the National Institute for Occupational Safety and Health.

READ COMPLETE NAME FROM INFO SHEET

1. First, am I correct that this is (NAME OF ESTABLISHMENT)?

VERIFY TELEPHONE #

YES 1 (Q4)
NO 2 (Q2)

2. What is the name of this establishment?

NAME: ____________________

3. Are you in any way affiliated with (NAME OF ESTABLISHMENT)?

YES 1 (Q4)
NO. . . . . 2 → Thank you very much but I seem to have reached the wrong establishment.

IF EST. HAS MERELY CHANGED NAMES OR IS OTHERWISE DIRECTLY CONNECTED TO LABEL EST., CONTINUE. IF UNSURE, RECORD RELATIONSHIP HERE (VERBATIM). THE ONLY TIME YOU WILL TERMINATE HERE IS IF YOU HAVE A COMPLETELY DIFFERENT EST.

4. Who would be the best person in your organization to speak to about the nature of your business and the number of employees you have? (RECORD NAME, TITLE, AND PHONE NUMBER OF R BELOW. IF R IS NOT AVAILABLE, ALSO RECORD NAME, PHONE NUMBER, AND BEST TIME TO CALL BACK ON THE SCREENING CALL RECORD.)

WHAT THE BUSINESS DOES

1st REFERRAL
NAME: ____________________
TITLE: ____________________
PHONE #: (   ) ____________________

2nd REFERRAL
NAME: ____________________
TITLE: ____________________
PHONE #: (   ) ____________________

3rd REFERRAL
NAME: ____________________
TITLE: ____________________
PHONE #: (   ) ____________________

USE THESE SPACES FOR MULTIPLE REFERRALS SO THAT THE ORDER IN WHICH YOU SPOKE WITH RESPONDENTS IS CLEAR.

BOX A

INTERVIEWER: REVIEW Q4 AND CIRCLE ONE:

ORIGINAL R IS BEST RESPONDENT . . . . 1 (INTRODUCTION #1)
NEW R IS BEST RESPONDENT. . . . . 2 (INTRODUCTION #2)

INTRODUCTION #1 - ORIGINAL RESPONDENT

Before we begin, I would like to give you a little more information about the study. The study is authorized by the Occupational Safety and Health Act of 1970.

The main study, called the National Occupational Hazard Survey, is a special research project designed to obtain basic information about health and safety practices within workplaces.

The purpose of this initial part of the study, however, is to verify some information about your establishment so we can be sure that establishments like yours are adequately represented in this study. Your responses are voluntary, however your cooperation is needed to make the results of this study comprehensive, accurate and timely. The questions will take about five minutes to answer. (Is this a convenient time to talk?) (IF YES, BEGIN INTERVIEW WITH Q5. IF NOT A CONVENIENT TIME, RECORD RESPONDENT'S NAME, PHONE NUMBER AND BEST TIME TO CALL BACK ON THE SCREENING CALL RECORD.)

→ (SKIP TO Q5) ←

INTRODUCTION #2 - NEW RESPONDENT

Hello. My name is ______________________________ with Westat, a national research company near Washington, D.C. We are conducting a study for the National Institute for Occupational Safety and Health. The study is authorized by the Occupational Safety and Health Act of 1970.

The main study, called the National Occupational Hazard Survey, is a special research project designed to obtain basic information about health and safety practices within workplaces.

The purpose of this initial part of the study, however, is to verify some information about your establishment so we can be sure that establishments like yours are adequately represented in this study. Your responses are voluntary, however your cooperation is needed to make the results of this study comprehensive, accurate and timely. The questions should take about five minutes to answer. (Is this a convenient time to talk?) (IF YES, BEGIN INTERVIEW WITH Q5. IF NOT A CONVENIENT TIME, RECORD RESPONDENT'S NAME, PHONE NUMBER AND BEST TIME TO CALL BACK ON THE SCREENING CALL RECORD.)

5. Does your company have any other legal name(s)? (PROBE: Are you a subsidiary of a larger corporation?)

YES. 1 (Q6)
NO 2 (Q7)

THE INTENT OF THIS QUESTION IS TO HELP IDENTIFY DUPLICATE LISTINGS. YOU MAY HAVE TO PROBE MORE THAN ONCE.

LIST COMPLETE NAMES. IF THE RESPONDENT ASKS, YOU MAY SAY THAT THIS IS NECESSARY TO PREVENT HIM/HER FROM RECEIVING MULTIPLE CALLS ABOUT THE SAME EST.

7. In what county and state is this establishment located? (RECORD VERBATIM AND CIRCLE CODE BELOW)

____
COUNTY / STATE

IN TARGET PSU 1 (Q8)
NOT IN TARGET PSU. 2 (Q9)

8. Does your organization have any other establishments located in (TARGET PSU)?

READ ALL COUNTIES LISTED ON INFO SHEET LABEL.

YES. 1 (Q10)
NO 2 (Q11)

9. Does your organization have any establishments located in (TARGET PSU)?

YES 1 (Q10)
NO. . . . . 2 → Thank you very much but at this time we are only talking to organizations with establishments in (TARGET PSU). (TERMINATE)

YOU WILL TERMINATE HERE IF YOU HAVE REACHED THE LABEL EST. BUT IT IS NOT LOCATED IN THE TARGET PSU AND IT HAS NO OTHER EST. LOCATED IN THE TARGET PSU. THIS SITUATION SHOULD RARELY OCCUR.

10. How many establishments are there (including this one)?

OF ESTABLISHMENTS: ____________

THIS NUMBER MUST MATCH THE NUMBER OF GRID COLUMNS COMPLETED AND IT MUST INCLUDE THE LABEL EST. IF THE LABEL EST. IS IN THE TARGET PSU.

11. What is the full name and local address of (your establishment/ ESTABLISHMENT #)? THIS MUST BE A STREET ADDRESS.	NAME: ______ ADDRESS: ______ STREET # ______ CITY STATE ZIP
12. Approximately how many employees are employed at (this/that) establishment?	# OF EMPLOYEES: ______
13. What is the principal activity of (this/that) establishment? Would you say it is: (READ CARD A AND RECORD APPROPRIATE CATEGORY #)	CATEGORY #: ______
14. INTERVIEWER: SELECT THE CARD # WHICH CORRESPONDS TO THE CATEGORY IN Q13. I am going to read a second list. Please tell me which of the following categories corresponds to (your principal merchandise or product line/ the principal service rendered/the type of construction performed). (READ CARD)	CATEGORY #: ______

BOX B

INTERVIEWER: REVIEW Q10

Q10 = BLANK (ONLY ONE ESTABLISHMENT IN TARGET PSU) . . . 1 (Q16)
Q10 = NOT BLANK (MORE THAN ONE EST. IN TARGET PSU). . . . 2 (Q15)

15. Are all of your establishments in the same type of business?	YES. . . . . . . 1 (CODE Qs 13 AND 14 FOR EACH ESTABLISHMENT WITHOUT ASKING) NO . . . . 2 (REASK Qs 13 AND 14 FOR EACH ESTABLISHMENT AS YOU GET TO IT)
16. Are there any unions at (your establishment/ESTABLISHMENT #)?	YES. . . . . . . 1 (Q17) NO . . . . 2 ~~(Q18)~~ (Q19) SKIP ERROR DON'T KNOW . . . 3 (Q18)
17. What is the exact name of (each of) the union(s)?	UNION #1 ______ UNION #2 ______ UNION #3 ______
18. Who would be the most knowledgeable person to contact at (your/that) establishment if additional information is necessary concerning unions?	CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______
19. (Am I correct that you would be/Who would be) the most knowledgeable person to contact at (your/that) establishment if additional information is necessary concerning your business?	CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______

NAME: ______	NAME: ______
ADDRESS: ______ STREET #	ADDRESS: ______ STREET #
______ CITY STATE ZIP	______ CITY STATE ZIP
# OF EMPLOYEES: ______	# OF EMPLOYEES: ______
CATEGORY #: ______	CATEGORY #: ______
CATEGORY #: ______	CATEGORY #: ______

NOTE: A GRID COLUMN MUST BE COMPLETED FOR EACH EST. LOCATED IN THE TARGET PSU. IF THE LABEL EST. IS LOCATED IN THE TARGET PSU, INFORMATION FOR IT MUST BE ENTERED IN THE FIRST COLUMN. (THIS IS NECESSARY FOR SUBSAMPLING) ALL INFORMATION IN THIS SECTION MUST BE COMPLETE AND ACCURATE SINCE NIOSH SURVEYORS WILL USE IT TO LOCATE THE SAMPLE EST. AND CONTACT THE CORRECT REPRESENTATIVE(S).

YES. . . . . 1 (Q17) NO . . . . 2 (Q18) DON'T KNOW . . . 3 (Q18)	YES. . . . . 1 (Q17) NO . . . . 2 (Q18) DON'T KNOW . . . 3 (Q18)
UNION #1 ______ UNION #2 ______ UNION #3 ______	UNION #1 ______ UNION #2 ______ UNION #3 ______
CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______	CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______
CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______	CONTACT PERSON: ______ TITLE: ______ PHONE #: ( ) ______

INTERVIEWER: BE SURE YOU HAVE COMPLETED A GRID COLUMN FOR EVERY ESTABLISHMENT LOCATED IN (TARGET