It *Can* be done!
Sample retention methods used for the Longitudinal Study of Adult Learning

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THIS IS A DRAFT DOCUMENT

This document has been constructed through the practice of the Longitudinal Study of Adult Learning (LSAL). LSAL was funded by NCSALL through 2005 and by the National Institute for Literacy in 2007.

The purpose of the document is to support longitudinal research in hard to retain populations. Users are free to use and modify sample procedures, forms and letters.

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INTRODUCTION

The Longitudinal Study of Adult Learning (LSAL) is a panel study that has five data collection points over seven years. The panel of 940 people who were interviewed in wave 1 are retained in the study and were interviewed once a year between 1998 and 2001 (waves 1 through 3) and once every two years for waves 4 and 5. This design gives 5 points of measurement for modeling change over time and a spread of seven years over which development and the outcomes of development can occur.

The findings of this longitudinal study will represent adults who in 1998 when the study started were age 18-44, residents of the Portland, Oregon metropolitan area, proficient but not necessarily native speakers of English, who did not have a high school diploma or GED and were not in high school. This is a target population for local Adult Basic and Adult Secondary Education programs.

A high quality sample has been recruited and retained despite the expectation that it is difficult if not impossible to do so with this population which is notoriously mobile and hard to locate. The table below shows sample size and retention rates through the five waves and seven years of data collection. This outstanding figure is due to the attention, planning and resources invested in the tracking and detective operations. Two important policy decisions also improved retention. First, we retained people who moved out of the original sampling geography by conducting telephone interviews and contracting with service providers in their area to conduct face to face assessments. Second, if a respondent could not be located and interviewed at one year we continued our efforts to find them and interviewed them in subsequent waves. Typically longitudinal studies loose most of their sample between the first and second rounds of data collection, a pattern you see in the table below. As the first three years of data collection occurred in contiguous years, it was difficult for us to learn from our mistakes and implement new procedures between wave one and two. The increase in sample at wave three indicates implementation of system improvements.

W1 (year 1)	W2 (year 2)	W3 (year 3)	W4 (year 5)	W5 (year 7)
n= 934	n= 828 89%	n= 838 90%	n= 816 87%	n= 801 86%

This manual describes the tracking and tracing methods used to sustain high retention rates over time with an unusually mobile and difficult to follow population. Tracking procedures are used to keep in touch with respondents over the course of the study in order to stay in touch with them for future interviews. Tracing procedures, referred to as "detective" work in the LSAL study, are employed when respondents and their contacts become unreachable by phone or mail, requiring deeper searching. For the LSAL study, the decision was made to hire staff dedicated to the tracking and tracing of respondents, who coordinated with interviewers to assist in retention efforts. *Note: throughout the text, the research participant is referred to as "R" for respondent.*

The next section will explain some general guidelines to consider when training interview, tracking, and detective staff and creating materials for the study. Sample forms and materials are hyperlinked in the text.

RETENTION SYSTEM DESIGN

The most important component in high retention is cultivating an appreciation of the contribution of the respondents as irreplaceable experts on their experience. As a longitudinal study progresses, each individual becomes more valuable. This is communicated to the research participants by respect and appreciation with every contact that they have with the study. The "How to's" suggested in this document are based on the foundation of personal relationships with the participants.

Systematic record keeping and documentation is critical. The LSAL developed software that tracked respondents through the cycle of regular "keep in touch" phone calls and scheduled interviews. Packaged contact management software available today will probably be able to serve this function. This system was set up to track contact with 950 individuals, retain the history of contact information and logs, and move people into the next status of the cycle. It also allows us to search for research participants or their contact referrals by name to respond, for instance, to a phone call placed to us.

The cycle is demonstrated in this linked diagram and works as follows:
The interviewer fills out a contact information form at the first interview in conjunction with the informed consent.

1. After the interview, the data is entered into the contact management application. The original form is kept in the respondent folder and filed under the subject ID number.
2. A three month flag is set for this contact to come up in the call list.
3. Every three months between interviews the respondent is called by a telephone "tracker". This is usually a quick phone call to confirm that our information is still current.
4. If the tracker is unable to make contact with the respondent, they call the personal referrals and use all information in the system to find and update the contact information.
5. If the tracker is still unable to locate the individual, they send the case to the detective.
6. The detective investigates and tries to resolve case using materials in this manual.
7. When a case has been updated it is returned to the data base with another 3 month flag, or if close to the scheduled interview, with a flag for two weeks prior to the interview. If, after several cycles, it is unlikely the respondent will change phone or location, they can be flagged for less frequent follow up.
8. Interviewers see contacts that are within the set window (time frame) as ready to be interviewed. They call and schedule interview.
9. All contact information is collected fresh at the follow up interviews. If, in the course of the interview session, the interviewer becomes aware that the respondent is very stable (owns own home) or very mobile (planning to move or homeless) the interviewer flags this information for appropriate follow up.

Extra communications

In addition to this routine cycle, we have occasionally sent out a mailing to everyone with an "Address Service Requested" notification on the return address. The post office then sends us the forwarding address for any incorrect addressees or notifies us if the forward has expired or is non-existent. For this purpose we have sent out a newsletter, holiday greeting cards, and a postcard notification of the incentive drawing.

The incentive drawing was used to retain interest during the two year gap between data collection. At the mid point, we sent out the message that everyone for whom we had current information would be entered into a drawing for cash prizes. Respondents were encouraged to call us to update their records, thereby increasing buy in. We randomly selected the winners from the list of current contacts using Excel and sent them a check. Unfortunately, for confidentiality reasons, we aren't able to publicize the winners.

Budgeting for personnel

To retain our sample of 950 using these procedures, LSAL employed up to four part time tracking callers totally 40 hours per week. These callers were scheduled to make calls between 9 am and 9 pm seven days a week to ensure "day part" coverage.

A half time lead detective managed the tracing work with help from a team of interviewers who were trained to do field work. The detective job description is attached. The flexibility to cross-train interviewers with detective tasks enabled us to concentrate effort where needed for the smoothest flow of productive interviews.

In order to follow up on calls and keep on top of messages, working at variable hours is important. For example, in our office, we have found it useful to have the trackers and detective work some mornings, some afternoons, at least one evening, and at least one weekend day. Spreading available resources to make inquiries at different times can facilitate reaching respondents who themselves work at varied times with varied schedules. It also provides a way for us to attempt to contact respondents without leaving excessive messages on their phones, which can be an irritant to respondents.

WORKING WITH RESPONDENTS TO GET GOOD CONTACT INFORMATION

Our in-house statistics demonstrate that contact information produces the best results for us in following our respondents from year to year. This information is collected at the interview session after the informed consent. The interviewer fills out the CONTACT FORM. Many of the respondents that we were unable to find lacked correct or complete contact information, which ties the hand of the tracking and detective team considerably. Sometimes finding the respondent can be accomplished, but other times there is simply no information or leads to follow. In order to reduce attrition and increase the overall validity of the study, it is crucial that accurate and complete information be gathered by interviewers in the field.

As the person making the initial person-to-person contact, as well as conducting follow-up interviews each year, the interviewer is in the best position to gauge the quality and quantity of the contact information given by the respondent. Interviewers' ability to do that will depend on their ability to empathize with the jobs of the tracker and detective and their requirements. Several issues you deal with may be avoided by working closely with interviewers. Defining what is sufficient and insufficient information is critical, because otherwise interviewers may not be in a position to evaluate the utility of information given by the respondent. For example, phone numbers can change very quickly, and can not alone be considered sufficient information for a contact. First names only will also not be sufficient to find a contact in the event that they ever move. Encourage your interviewers (and other staff, if relevant) to ask themselves these questions when they are eliciting information:

- *Is the information provided complete?*
- *Is the information provided legible?*
- *Is the information provided duplicated elsewhere (several persons in the same household)*
- *Does the information make sense?*
- *How else can we get in touch with this person?*

The last question here is particularly important, and it is frequently forgotten in the field. In some cases a respondent may only feel they have one name to give us, perhaps without an address or phone number. This leads to a very difficult situation for the detective, first because then it is your responsibility to determine who the respondent talked to or where they hung out previously. In the event that you can find the respondent's contact, you are in the situation of having to call the same person repeatedly in order to follow up on the respondent. Over-calling a single person does not help your cause as they frequently become angry at the intrusion, especially if they have not heard from the respondent, are no longer on speaking terms with the person, or have already given the respondent the message. For these reasons, it is important that the detective have more than one lead to follow in order to find a respondent. Therefore, work with your interviewers to help them see possibilities not represented in any line or space on the form. Where does the respondent hang out? Do they go to church? Does their mother go to church regularly? A friend? How would a friend get a hold of them if they moved? Do they have a bartender or other person they see periodically that you could leave a message with? Ask your interviewers to think beyond what is listed on the contact information sheet.

The obvious point here is that it is important that you determine that interviewers understand and be comfortable within the protocol. This means that you need to do two things- oversee interviewer training, and keep a sharp eye on the forms that come back into the office. The training should include examples of what a completed form looks like- all fields are filled in and "extra" info such as middle initials and employer name are included. If the field staff are in their first interviewing position, it is likely that role play will be helpful - frequently new hires are tentative at probing and feel less confident when outside the boundaries of the script. It is therefore essential to make the contact info elicitation process more scripted and comfortable. Their comfort at this early stage of the interview may help them later in the interview by reducing discomfort with other items in the survey.

In addition to role play, it is a good idea to have examples of contact info forms that are not filled out well (if available), and allow them to be viewed critically to determine which questions they would ask to get at missing information. This makes it easier for interviewers to look for and recognize where information may be duplicated or missing, how handwriting and spelling/dyslexia issues can cause problems, and to practice probing techniques. It also allows new hires to learn from their peers and see different ways of interacting with respondents, which helps them judge overall what works well and what does not.

Keeping a careful eye on incoming contact information forms is the next essential piece of the process. This allows you to quality check, determining which interviewers need to be more thorough in the collection of information, so that you can follow up with them personally and practice the protocol where needed. Without this step, if interviewers are rushed or careless, you will end up with few leads to follow when the respondent moves. By keeping the above considerations in mind, your job will be made more manageable. In addition, the specific pieces of information below are some that we have found to be necessary, or at least helpful to detectives in locating respondents. Interviewers can get much of this information while with the respondent, but these items should also be entered in the records for each case by trackers and detectives as more information is gathered.

Important Information

- **Middle initials are critical**.
  For example, names such as “Bill Davis” or “Mary Nelson” can result in 20-25 hits on a 411 query (not including listings for “B. Davis”, “W Davis,” or “M Nelson”). Not having more detailed information can translate into hours of extra work, and may result in not being able to find the respondent. Middle initials are also imperative for conducting vital statistics and corrections records inquiries. A corrections database may well have several “William Moores” with the same date of birth.
- **Apartment numbers are also important**.
  They might not seem crucial to the interviewer at the time of the field visit, but the address service requests that are made on all letters and postcards you may send require the apartment number. Without the number, the reply from the post office may be "insufficient address." With the number, the forwarding information can be sent directly to trackers so that they never end up lost.
- **Maiden and married names should be determined**
  If the respondent is married but has a different last name than her husband, it is crucial to get the husband's last name. In several cases in our sample, married women provided contacts that were outside of the home (usually a good strategy), but we never had the husband's last name to call information when the respondent moved.
- **Train interviewers to think beyond the page**
  Especially in situations where respondents are not able to provide any contact information, interviewers must be able to think creatively about questions to ask the respondent that would prove useful in finding them should we lose touch with them. For example, maybe they attend a church or hang out on a particular street corner where they are known by many people.

In essence, having a good understanding with interviewers about what is needed for tracking can mean more resources available for the entire project in reducing attrition in the sample. It is much easier to find respondents with information they provide than to find respondents via detective work. Asking that each interviewer follow up with respondents personally in the event that they do not have contact information particulars will help you immeasurably.

TRACKING PROCEDURES

Trackers are responsible for staying in touch with respondents for future interviews, which typically involves keeping track of their whereabouts periodically through phone calls and letters. For example, due to the particularly mobile population of subjects in the LSAL, all respondents are contacted every three months in order to confirm or update their phone or address information.

Tracking methods usually include:

- Calling Respondents – see tracking script
- Calling Contacts – see calling contacts script
- Using 411 or an online database such as *Masterfiles* to access current phone number and address information
- Sending postcards and following up on forwarding address info
- Reviewing cases of people that are difficult to reach and routing them to the detective when progress cannot be made

Calling Respondents

The primary method of tracking respondents for this population is to call them. It is quick and simple to do, likely to yield an immediate answer, and often provides an opportunity to add to the information already collected about the respondent. When calling respondents, it is important to be aware of all previous contacts and notes, paying particular attention to notes on pronunciation of names, good times to call, and anything else pertinent to making contact with each respondent. It's also important to be considerate of people's time and what else may be going on around them at the time of your call. Take the time to chat with respondents who want to chat, and likewise be brief with respondents who wish to get off the phone. When leaving messages, either with a family member, roommate, or answering machine, it is especially important to be concise. As a general rule, it's not a good idea to leave more than two or three messages per tracking stage, as this may annoy respondents and make them feel "bugged" – particularly in a longitudinal study that extends several years, the calls can add up. It is a better idea to find out the best times to reach a respondent, either by having the interviewer ask them during the collection of contact information at the initial interview, or by observing the general pattern of when the respondent has been reached in the past. If there is no such information available, it is important to vary call times so that all days and all times (morning, afternoon, evening and weekend) are covered. Whether keeping track of communication on each case using paper files or a database, it's essential to records dates, times, and results of each contact *attempt* as well as each successful contact. Notes should be brief so that other people on the team can quickly review the contact history. These abbreviations are helpful to standardize.

Calling Contacts

Calling contacts is similar in many ways to calling respondents. It is important to be sensitive to the contact's attitude about the call and about the respondent so that you can understand the best way to communicate with the contact. Often contacts may not know a respondent's phone number or address but can offer valuable information that they did not know they had: it is up to the tracker to ask the right questions. Contacts are our most valuable resource for getting in touch with respondents when we can't reach respondents directly and as such they must be treated with care!

If more information is requested, explain that the study is confidential and that they can direct other questions about it to the respondent. Many contacts prefer to take a message and relay it to the respondent rather than tell us their information. In that case, we usually check back in a few days to make sure the message was relayed. However, sometimes letting the contact know that R chose them to help us find R if we needed to will prompt the contact to give a phone number or address if they know it.

- *R gave us permission to call you if we ever had difficulty getting in touch with him/her.* -
- *When R gave us your name as a contact they believed you would be helpful in assisting us to find them.*

Recording information about contacting respondents

- Record the date and time of each call so that future trackers can see the best times to reach R. If it is difficult to reach R, vary the days and times of calls.
- Record new information about R – if a contact mentions that R works at Subway, or their husband or wife's name, or that they may show up at a certain bar every Thursday -even if you don't think it's necessary for the moment. If a contact or respondent is reluctant, hostile, or particularly helpful and kind, it's usually good to record that as well to aid future trackers in preparing for or planning a call.

Using 411 or an online database to access current phone number and address information

If a respondent and their contacts cannot be reached through the phone numbers collected at the most recent interview, this is the stage when a quick check with 411 or an online database with current phone listings is worthwhile. For the LSAL project, the online database that *Masterfiles* provides is the preferred method of looking up phone and address info using the respondent's or contact's name: it's cheaper and faster than 411, equally as current, and trackers can see all of the listings for each name themselves, determining which listings are likely for a respondent and which are not. If a respondent has a less-than-common last name, sometimes calling all people with that last name in the area being searched can yield a relative or the participant themselves.

Sending postcards or letters and following up on forwarding address information

Some respondents do not have their own phone or a message phone, don't tend to respond to voicemail messages, or have stated that they prefer to be contacted by mail. For these respondents and for every respondent who was not successfully reached by phone for any other reason (for example, respondent and contact numbers are disconnected with no new published listings), sending a postcard to the respondent's last known address is the next step in tracking them. Cute "Friendly reminder" postcards can be bought formatted four up for printing on the back.

Postcards for tracking usually have a printed message asking respondents to call in to the study project's office on a 24-hour automated message line and confirm or update their phone number and address information, in addition to a reminder of when to expect the next interview. Postcards (and all correspondence to study participants) ***always*** include a request for address service, so that the post office will return the postcard to us (or a copy of it) with forwarding address information printed on a sticker. This allows us to track the whereabouts of a respondent if they neglect to tell us they have moved. When you receive a forwarding notice from the post office, update your records for that respondent and then send the card along to the new address. All returned mail, whether it includes a forwarding address or not, should be recorded in a database and filed in the appropriate respondent's file.

Reviewing cases of people that are difficult to reach and routing them to the detective when progress cannot be made

Trackers must be diligent and persistent in attempting to reach participants. Often they must try each of the above methods several times in order to make contact with a respondent and confirm their whereabouts. However, there are times when all attempts are dead ends: the respondent and their contacts have disconnected numbers, none of them are listed in directory information, and all correspondence is returned with no forwarding information. These cases are then turned over to the project detective in order to be traced.

WORKING WITH RESPONDENT CONTACTS

The telephone tracking person will call a respondent's contacts if and only if they are unable to reach the respondent at the phone numbers and emails given. While the focus of tracking and detective efforts is the locating of respondents, when they are hard to find more time is spent talking with **contacts**: people whose names, address, and phone numbers were given to us by respondents to help us get in touch in the event a respondent moves or is otherwise unreachable themselves. Contacts are the number one way we stay in touch with respondents when we are unable to reach the respondent directly. This section focuses on guidelines about communicating with contacts.

Being an effective tracker or detective is dependent on being a good communicator. A huge part of the tracker and detective's job requires dealing with people on the phone or in person who do not know us, and who may have no desire to help us. It is essential to understand that the persons you talk to have no investment in your efforts, and may not care whether you find a respondent. As a tracker or detective, your job is to make people want to help you. How you communicate with people will depend on many things, including: the age, gender, and personality of the contact, the relationship of the contact to the respondent, the mood a contact may be in at a given point, and the history of calls to the contact, among other things. This means that there is not a formula or script for communicating with contacts or respondents; rather, through careful listening and constant evaluation, the tracker and detective must determine what the contact would consider appropriate. Although there is no specific protocol for communicating effectively, there are general guidelines that may be followed.

It is important to:

- **Determine what means of address and language is appropriate to use with a contact.** Given that our sample is between the ages of 18-45, the contacts provided by respondents are very different. When dealing with older persons, use “Mr.” or “Mrs.” (or “Sir” and “Ma’am”). For respondent contacts like a grandma, explain that we are a study of adult learning, and suggest that their grandchild made a commitment to us to participate in our project. We have found that grandmas frequently track our respondents down for us and get them to call us. In contrast, when talking with younger contacts, be very informal; avoid an officious or businesslike tone of voice. Using a casual, laid back, and friendly (read: non-threatening) tone gets much better results here in the Pacific Northwest.
- **Match the tone and rhythm of the person you are talking to**, much as you would in the interview situation. "How are you today?" is appropriate with grandmas. "Hey, what's up?" or "How's it going?" works better with younger people. Strange as it may sound, even how you are seated can have a dramatic effect on how you come across over the phone. Sitting ramrod straight may not help you come across as laid back. Slouching in a chair while you talk on the phone can make your voice sound muffled and lazy or disinterested. We have found that our body matching our body language to the tone of the person on the phone helps us match the tone of the other person in our voices as well. Be comfortable, but also be aware of how the little things affect your delivery.

- **Avoid sounding like a telemarketer –** While in the process of making many calls to people, it can be easy to fall into an overly practiced, rote, formal, or under expressive tone of voice resulting from repetition of the same introductory information over and over when explaining the purpose of your call. This can often be interpreted as telemarketing language and the person you are calling may hang up or may not be extremely receptive to your call due to its impersonal tone. Whether you determine to use formal or informal language with a particular contact, if it's the first time they have heard from us it's very important to concentrate on putting energy and thought into each call, remembering that we are calling a different individual each time. Even though it may seem important to be bright, upbeat, and strictly professional, consider personalizing the interaction ("I" instead of "we" for example) to put the conversation on a level more likely to get results.
- **Establish a solid rapport with contacts that we have from within the respondents' social circle.** Ask for information only after chatting with the contact, sometimes for several minutes on the phone. This is especially true with older or homebound persons, who may have limited contact with people outside of the home. Active listening helps you to groom contacts that may initially be distrustful so that they are disposed to helping us find our respondent. Many times contacts will volunteer information about themselves that can be used to establish rapport, and can help make our voice friendlier to them on our next call. Keep this information in notes. For example, contacts frequently volunteer information about recent surgeries or children born, which can help facilitate conversation. Many contacts that have been extremely helpful in getting us information on the whereabouts of a respondent know us by our first names and feel that what we do is important.
- **Be sensitive to the environment of the respondent/contact.** Sometimes, if you call a respondent or contact you may hear persons in the background that may make it difficult to talk to the person you have called. If a parent, for example, is having a difficult moment with a child, it may be best to ask if you can call them back in 30 minutes or later in the day. More serious is a case in which you hear an adult in the background who is making it difficult for the person on the phone to talk by screaming or yelling at them. It is important to realize that, although rare, some respondents and

contacts may be in abusive situations where calls to a home are viewed suspiciously, and may cause real problems for the recipient of the call. We have identified persons in our sample who are face such issues at home, and active listening skills and flexibility are crucial to interacting with persons in these cases. In this type of situation, it is important to be brief and establish a better time to call, allowing them to answer your questions with simple yes/no answers.

- **Shift the focus of the call from our asking them for information to their being able to help us out**. Questions that have worked for us include: "What do you think I should do?" and "What advice could you give me about how to get in touch with so-and-so?" Whether you are in the field or on the phone, ask them how they would go about getting in touch with this person if they needed to do so. Frequently the person will say "no, I haven't heard from them," but when we ask will they see anyone that might run into our respondent, they realize that they do.
- **Use simple language that is easy to understand.** Ask yourself what you want to hear when you take a message, either in person or from a recording. Recognize that you have called before, so that you are not a faceless entity. Mention the project and university early in the message so the listener knows we are legitimate, but without making your call sound pompous. Be pleasant and cheerful but not forcedly so. Leave your phone number and name twice, so that it is easier for someone to write it down, and talk at a speed that doesn't require someone to replay a message in order to get the information. In short, use all of the techniques that make it easy for you as the recipient of such a call. Use simple, effective, and easy to understand language; avoid big words (Latinate vocabulary) that may come across as stuffy and over-educated. Although it is true that many people that you talk to are highly educated, few of them are likely to be offended by plain language. For contacts that are not highly educated, low-frequency vocabulary may serve to emphasize class differences, and this may result in their reluctance to provide you with information.

Dealing with Hostile Contacts: Relinquish the Ego!!

Upon occasion, contacts we may have for respondents in the study are hostile. This is usually for reasons beyond the control of project staff, such as dissolved personal relationships, landlords who are owed back rent, and family that may have had a difference of opinion with the respondent. It is absolutely essential to keep useful notes on the approachability of each respondent and contact. This means you should be explicit about how communication has been with each contact. Words like "hostile" or "angry" should be reserved for difficult or last-resort-type contacts, which are only called when other contacts also know nothing. A word such as "annoyed" may be more appropriate for others. If more than one person is making contact calls, a similar understanding of terminology needs to be in place. Exaggeration or lack of sensitivity to a contact's disposition can make it difficult for the next person calling to gauge the tone needed for making a call. In addition to taking accurate notes, prior to making a call it is imperative to look at all computer notes, and to know the entire activity for each contact- see what has happened in previous calls.

At some point though, the detective must deal with difficult, even hostile, contacts.

Everyone that you deal with deserves respect, even if they are screaming at you. *You never, ever want to engage in a verbal confrontation with a contact.* We gain nothing and lose everything.

If they are totally hostile, don't push it (as in, "Do not ever call here again"). Part of the respect contacts are afforded is that we do not disregard their explicit wishes. It is often possible to salvage a contact even if they are initially very angry. However, if a conversation with a contact is allowed to become confrontational, the contact will have no reason to help us; in fact, the contact is given ammunition in the sense that they have an excellent justification to refuse to help. This frequently means that the best line of defense in a hostile situation is to make yourself extremely vulnerable. Listen and wait and apologize for the call. When the person talking is at a point where they have had a chance to vent, say "I am *soooo* sorry to bother you again… but you are our *very* best lead to finding so-and-so…" Being straightforward and telling them what we are up against can sometimes help them feel like helping us out.

Many times, contacts have lost touch with a respondent and feel it is unlikely they will see them again. They may say something like, "I've told you several times already… I'm not going to see him…" Although they may feel that way, they may hear something later through friends or family, so you want to follow up later with the contact. **This**

means that at all times, you want to protect the rapport you have with a contact, even if it seems like a poor one. At least you are talking, and they have not asked you to not call again. This means that you must look in the computer notes before every call, and avoid calling too frequently. Make the most recent note one that specifies at what point a follow-up call can be made, and do not call earlier.

Another point to keep in mind when dealing with hostile contacts is to **avoid yes/no questions**. This is true for most all persons that you call (excluding situations described previously where a person may be in a hostile or abusive environment), and is especially important in relation to persons that are feeling pestered or have reasons to dislike the respondent. Asking "Can I call you again?" makes it easy for a contact to say "No." However, asking "How would it be if I called you back in a month or so?" makes it harder to say "no," and many people will say "I guess that would be OK."

Another tactic that has worked in cases where someone may feel we call too often is to **push the responsibility to our supervisor**. Whereas this may not be entirely accurate, it can help establish rapport with a contact. For example, we might say, "Sorry to keep calling, but my supervisor really is on me to find so-and-so." This tactic is a last resort of sorts, and won't work repeatedly; we typically use it only in cases where all leads have come up empty and we have no other option.

Although hostile contacts present a real challenge to the detective, we have been able to get information on several occasions by listening to their complaints and empathizing with the contact. Although we must be careful not to say anything that might malign a respondent, such active listening may provide important clues. Occasionally, even though a contact may have reason to dislike our respondent, they also may have heard information as to their whereabouts through mutual friends.

Interpreting Contact Information

Human error can play a role in any study. For the detective, small errors may make locating respondents difficult, resulting in hours of extra work. It is important to remember that two persons are handling the information given before you see it (the respondent providing the contact information and the data entry person that enters information into the database). Also, recognize that any typos you produce may not be noticeable to you, but they may very well lead you on wild goose chases. Keeping an open mind to the possible sources of error and alternate interpretations is going to be very helpful for the detective's task as a whole.

The first possible place for error can be from the source. How many times have you found that a person that you have known for a long period of time has misspelled your name on a card or email, simply because they have not had occasion to write you before? Likewise, a respondent may think they are providing the correct spelling of a last name, for example, but have a letter or two transposed or incorrect. For example, the respondent may not even realize that in writing "Reed" it should be "Reid." The contact will not be useful to us if they move and we don't look under alternate spellings.

Sometimes, numbers in addresses are close, but not quite perfect. Numbers can be out of order or even a few digits off. In a few cases, it appeared that dyslexia was at fault, although the respondent may never have been diagnosed as such. For example, in our sample, we had lost contact with a respondent who had listed a contact with the last name "Irack." This was such an unlikely last name that an internet search with the first name and the original number showed that the last name was actually "Clark," and the phone number originally provided had the correct numbers but in a mixed order. This is a good example of how important it is for the detective should evaluate and reevaluate the contact information provided in cases where it has led to a dead end.

Next, the data entry may be at fault. It is easy to imagine that over the course of hours of data entry that a mistake may be made. We have found errors here by keeping hard copies of all original contact info on file handy for the detective to refer to if necessary.

Last but certainly not least, the tracker and detective have also been known to make errors. Obviously, when entering information such as phone numbers or addresses, it is a good idea to double-check all information at the time that it is entered. If this does not happen, it may be difficult to pinpoint the error later.

Along with effective communication skills, two additional general principles will help guide efforts to complete the tasks that face the tracker and detective on a longitudinal project. Each of the points below is explained in greater detail following:

- *Protect respondent confidentiality at all times.*

- *Coordinate with interviewers on the project to ensure that they have an adequate understanding of the information that you need in order to locate respondents.*

Respondent Confidentiality

For ethical reasons, it is absolutely essential that all study employees work to protect respondent confidentiality. In many cases, there is little or no cause for secrecy. However, like any diverse group of people, some percentage of respondents may lose touch with contacts, terminate friendships and relationships, divorce or separate from their partners, and have disagreements with family or landlords. As trackers and detectives, we have no way of knowing under what circumstances a respondent last spoke to their contacts. Most importantly, we have guaranteed confidentiality to our respondents, many of whom undertook participation in the study as a result of that guarantee.

> **The tracker and detective must be extremely sensitive to the possibility that an inquiry can have negative effects for a respondent. This means that their role is to get information without giving out sensitive information.**

This responsibility can seem difficult to uphold at times, *but it must never be compromised*.

The following examples represent the more common confidentiality issues we see on a regular basis, although of course the list is not exhaustive:

- **It is appropriate to tell a contact that a respondent gave us his/her name so that we would know how to get in touch with him or her**. In this case, the contact may volunteer information as to the whereabouts of the respondent.
- **It is not appropriate to tell a contact what leads we have in order to get confirmation** ("We heard that he might be in Seattle. Do you know if that is true?"). In the event a respondent has suffered from and/or escaped a domestic abuse situation, owed back rent, or just didn't want someone to know their whereabouts, we could clearly have a negative effect on the respondent with any careless words.
- **We do not relay messages between contacts and respondents.** As detectives, we can not demonstrate any bias toward any particular person or contact. Relaying messages might not be a problem in many cases, but in other cases where affection is not mutual between a respondent and contact it can be very

problematic. In our sample, we have encountered cases where a respondent has issued a restraining order against a contact, or vice versa. We cannot evaluate the relationship between a contact and a respondent, and our call should not be interpreted as a means for someone to contact the respondent without violating the restraining order.

- **Some contacts may request that we withhold information from a respondent**, such as their identity as the person who gave us the respondent's information. In order to do our job well we rely on contacts, and we must guard those relationships. If the contact requests anonymity, we protect that wish. If a contact has told us not to divulge their name and a respondent asks who provided their information, it is better to hedge, and say that a co-worker found them but left incomplete notes. Apologize and ask for new contacts if appropriate to the situation.
- **Other issues of confidentiality include medical issues or other sensitive information**. An example of this would be a case in which a contact may tell us that the respondent is in a drug treatment facility. Because we do not know the status of the relationships between the respondent and the other contacts, we must treat that information as sensitive. Social workers and counselors that provide services to a respondent are also bound by confidentiality issues to not provide us with any sensitive information on the respondent. It is appropriate to ask a counselor to convey a message to a respondent should they see them, and we have had luck with this strategy in our work. However, visiting a drug treatment facility will not help our cause, and could be construed as an invasion of the respondent's privacy.

TRACING ("DETECTIVE") PROCEDURES

After trackers have tried 411 for the respondent and all of their contacts, they are sent to detective for more intense attention. The guidelines provided below are a checklist of sorts, but it is important to note here that they are really guided by considerations of common sense more than being a simple list. It may be that some of these work better for you than for us. It may well be that you think of tactics that haven't been tried by us. Use common sense and follow up on any ideas that might produce leads. Imagine that the person you are looking for is a friend that you must contact. What would you do in that situation? This list is by no means exhaustive; rather, it is simply a list of some of the tactics that we have found helpful.

Once cases are sent to the detective, they are analyzed carefully in order to determine which of many courses of action should be taken. While, like tracking, tracing procedures follow a general pattern, flexibility and creative thinking are required. The detective needs to be able to read all the information on each case and digest the parts pertinent to finding the respondent – as a longitudinal study progresses and notes on each case expand, this means reading progressively more information about each case. But it pays to know the history of contact with each person. For example, sometimes finding a lost respondent is a matter of discovering an alternate phone number or address that was buried in the notes and overlooked in tracking. Or notes may indicate that a respondent is intending to leave the country in short order, and therefore the detective must employ a more aggressive method of finding the person to get new address information. Finally, notes on a case can indicate when the respondent prefers to be called, reveal which contacts seem to be the most helpful (and the most hostile) and a wealth of other information that may help you in choosing methods to locate the respondent.

Detective methods often parallel things done in tracking and include the following:

- Calling all available phone numbers (respondent and contacts), emailing all addresses
- Calling back all disconnected phone numbers every so often (a few weeks to a month) to see if they're reconnected
- Using the online database to look up respondents' or contacts' information, searching by name or reverse searching using address and phone numbers to discover new information
- Calling jails and state prisons, homeless shelters, and/or other organizations that apply to the case
- Sending letters to all available addresses: respondents, contacts, social service workers, parole officers, etc.
- Going on visits to respondents and contacts – see section on Field Visits

- Checking DMV records (if available) for updated address info
- Checking vital statistics very occasionally for deceased respondents

Calling all available phone numbers (respondent and contacts), emailing all addresses
When beginning detective work on a case, it's usually a good idea to double-check all phone numbers and email addresses presently listed for a respondent and their contacts. This helps confirm whether or not they will be of use in locating the respondent. Sometimes a participant's roommate will have denied that they live there to the tracker or an interviewer, but calling the same number on a different day may yield the participant themselves or another person who tells a different story or may know information about the respondent's whereabouts. Alternatively, a number may have been misdialed; if the person you reach on the phone doesn't know the respondent the first thing to do is confirm which number you dialed. It is part of the detective's job to pick up where the trackers left off, taking a different approach to asking for information. Additionally, many respondents and their contacts are merely difficult to pin down rather than impossible to find; persistence and varied call times can pay off. If the detective determines all current phone numbers are no longer of use, sometimes phone numbers from a previous year can still be connected to someone such as a former roommate that still knows and sees the respondent. Call all numbers for respondent. Does the respondent still live/work/know anybody there? #. In some cases, the original number is maintained by a family member, or a previous roommate or friend may still live there.

Call all contacts. If contacts don't know about R's whereabouts **push them on anyone else who would know where R would be**. People don't know that they have information until you ask pointed questions. (e.g., "Well I know his mom works at the local tavern..."). Explain that all of our leads are shot. What advice can they give us? Do they have any forwarding information? Do they have any idea of someone that might be in touch with the respondent, such as a local friend or relative? Do they have any way to get information, such as our number or a letter to the respondent? Does the person on the phone know where the respondent is, or could they give the respondent our number? Does the manager or a co-worker at the respondent's (former) workplace have any idea where the respondent might be? Does the person on the phone have any idea where the respondent hangs out? Does the person on the phone know what general part of town the respondent lived in, or if they have moved out of town?

Note that you may end up probing and doing detective work to locate contacts as well as the respondents themselves once leads for a respondent have dried up. The above inquiries work equally well for respondents and contacts. It can be helpful when trying to locate a contact to identify yourself informally but **never misrepresent yourself.** For example, you could say “Hello, I’m calling from Portland State University, I’m wondering if Mike is around – he’s a friend of someone who works with me named John Smith and John gave me his name as a contact…” – often this is sufficient introduction to get a third party to help you.

Calling back all disconnected phone numbers every so often (a few weeks to a month) to see if they’re reconnected

Phone numbers can be disconnected for non-payment of the bill and then reconnected to the same household. We have found that it’s worth checking back every few weeks or so on disconnected numbers, particularly if there aren’t many other leads.

Using the online database to look up respondents’ or contacts’ information, searching by name or reverse searching using address and phone numbers to discover new information

Consider alternate spellings for the names, because we have had luck finding persons with alternate spellings of last names as well as first names. For example, when a respondent writes "Poulsen" or "Sheilds," it may well be "Poulson" or "Shields." It is not a good idea to assume that the information given by the respondent is entirely correct. The source of the problem could be the result of human error. Compare the information entered in the database (if applicable) with the original contact sheet from the last interview. Consider the possibilities if the handwriting were interpreted differently. For example, sometimes "fours" are "nines". A quick comparison to last year's phonebook has also shown that sometimes respondents have transposed phone numbers or letters of contact names. Sometimes when a contact has moved and we can't get a number from 411, it’s because we are asking for the incorrect spelling of the last name.

Many online databases that provide current phone number and address information have several search options in addition to searching by name, such as searching by phone number or address. Creative searching can yield extra information that was not immediately apparent when searching by name. For example, searching by a respondent's address can result in finding a new number listed under a different name – calling that number can determine whether or not the respondent is still connected to that address. If no one answers, ask for a return call even if the people called have no connection to the respondent so you can tie up that lead – a good incentive to get people to call back is to say that you will be able to cross them off your list and not continue calling if they will respond to your inquiry.

With most databases you can also key in the street name without a house number and get everyone on the street that is listed- if a numerically close neighbor is on it you can call and ask them about the whereabouts of the respondent. We have also been able to get information from an apartment manager by asking someone in the building to let us know how to contact the manager.

Useful internet resources:

We do not recommend online detective services. We have found that they charge anywhere from $10 to $50 per hit and the information is often outdated or otherwise not useful. The procedures outlined here are more thorough than what they do. The tools below are useful, however.

MASTERFILES – current phone listings, reverse lookup by address and phone number, social security number lookup; there is a small charge per page of information. [http://www.masterfiles.com]

INFOSEEK'S INFOSPACE- locator: people search; reverse lookup, by address, by street, by number; email search [http://www.infospace.com]

USWESTDEX- online white pages [http://wp.uswestdex.com]

AT&T ANYWHO [http://www.anywho.com]

Try all of the above every couple of weeks.

Sending letters to all available addresses: respondents, contacts, social service workers, parole officers, etc.

If all numbers are disconnected or those have been reached aren't helpful, send letters to the respondent and to all contacts. The letter templates can be modified to fit many situations. Note that the contact letter contains no reference to the respondent being part of a *research* study; in the interest of confidentiality it states that they participated in an interview as part of a project.

Calling jails and state prisons, homeless shelters, vital statistics and other organizations that apply

Once a month, call corrections for your county, all surrounding counties, state and federal departments of corrections to ask about those that are missing for whom you have no good leads. This information can sometimes be found online as well; it varies from county to county and state to state. It is a good idea to establish a solid working relationship with one person that you may call on a monthly basis and follow up with a faxed inquiry. Several of our contacts prefer a fax as they can work on individual records in their spare time, and get back to us when they have finished the list. In the even that any respondent is listed as being in a correctional facility, the detective or the person in charge of remote interviews must arrange to set up a visitation at the correctional facility. It is recommended that these inquiries be made on a consistent basis, as respondents may move through the corrections system quickly. Furthermore, it has been our experience that respondents enjoy the opportunity to step out of the routine imposed on them in corrections to participate in our study. We sometimes interview inmates by phone. The best person though whom to make arrangements with the institution to interview an inmate in person or by phone is the inmate's counselor. They will need a telephone interview request letter and a special informed consent.

For respondents that get out of jail but have no other viable contacts, parole and probation officers are usually willing to pass messages and cards along even though they cannot usually release any information about the respondent. Likewise, many agencies such as homeless shelters, social service agencies, churches, the military, etc can serve as viable places to find a respondent. Vital statistics offices are usually located at the county, so you may have to make contacts at several agencies. It's a good idea to forge a relationship with someone at each place who is willing to help by passing messages and asking around. Even if a respondent hasn't been around for awhile, very often they are known to people who frequent the place and they can point you in the right direction.

FIELD VISITS

Going on visits to respondents and contacts

Another important part of a detective's work is to conduct field visits at respondent and contact addresses when attempts made from the office alone have not led to finding our respondent. Next to using contact information, field visits are the most useful tool we have in locating people. In order to provide field representatives with the history on each case, it is necessary to print out the contact information and case history for each respondent. For confidentiality reasons, social security numbers and other highly sensitive information should be removed form the documents. Even so, field representatives should understand that they must use extreme caution with this information and protect these documents as they would their own personal information from the prying eyes of others.

Field visit packets

For most addresses visited, it is worthwhile to leave a letter printed on official letterhead (see samples). It is a great idea to have field visit packets ready to go for staff you are sending into the field. Such packets should be in a plastic envelope that will protect the contents from rain, and include ballpoint or waterproof pens, field visit reports (see attached), letters to respondent's contact, respondent field visit letters, neighbor field visit letters, official project envelopes and a large supply of project business cards. Train interviewers to leave a sealed letter with a contact so that the contact can pass it on at a later date. The field visit reports should be filled out at the time of each field visit, and be returned to the detective in a timely fashion (2 field visits performed at different times of day over 1-2 weeks). Keeping a log of field visits assigned will allow the detective to follow up on field visits to ensure that they have been performed, as well as reassign them to another person with a different schedule

Field visit training and procedures

Field visits usually first involve a home visit for the last known address of a respondent, visiting neighbors and/or the landlord if the respondent is not at the address and dropping off letters or cards as needed (see procedures checklist). These home visits can be done by a single field staff person working alone, or in pairs, with teams going out to canvas geographical areas. If the respondent is not found at their last known address and no other information was collected during that visit, arrange a home visit for a contact, again visiting the neighbors and/or the manager or landlord if no one is home, and dropping off letters or cards. In increase of cell phones over land lines means that fewer addresses can be found via reverse lookup of phone numbers. This situation can also give the detective an excuse for visiting someone in person. Being able to perform field visits successfully takes a lot of common sense, patience, good communication skills and ability to infer from surroundings. Most importantly, field visits should be assigned to staff that you feel will treat the task as a priority. Therefore you should choose your field representatives carefully and train them appropriately- do NOT send people into the field that you do not feel confident have good listening skills and an ability to empathize with others. Anyone that frequently finds other people upset at them but does not understand why should not represent the project in the field, because they may do damage rather than help the situation.

Oversee the actual training of those persons you entrust field visits to so as to ensure that they are completing all important parts of the process. Creative inquiry and curiosity is the mode of operation on field visits. Without adequate training we have found that interviewers may only go to the house where the respondent was known to reside previously. This sometimes works, but many times talking to neighbors and landlords is also important. Is there a tavern or a bar or cafe nearby? Does anybody remember where they were last working? Anybody in touch with someone that is in touch with the respondent or contact? These are good questions. Sometimes neighbors can give you only a general area they think the respondent has moved, such as "in Gresham around 182nd" or "she moved to Montana." Both of the above comments we encountered in the field were enough for us to locate a respondent, especially in cases where the name was fairly common (eliminated extraneous listings where we had huge possible numbers, such as

John Cook or Ed Davis). It has occurred that a vehicle or other item at the residence was for sale with a phone number listed. It is a very good idea to call these!

Similar to making calls and dealing with people on the phone, it is very important to read the body language of the people that you find in the field. For the most part, we have found that it is easier to get information from people in the field in a face-to-face situation than it is as a faceless entity on the phone. It is true that that is not always the case, but it is by far for the majority of the cases in our experience. Once again, it is important to not appear officious or stuffy to the people that you encounter in the field. Like on the phone, the field representative should match the rhythm and tone of the respondent (unless they are rude). Planning sufficient time to do visits is also important. Frequently, schmoozing with relatives for ten minutes or more is necessary in order to gain their trust, because they have no investment in helping you find the respondent. By talking with them and listening to what they have to say you give them a reason to start to want to help you.

We also make an attempt to speak with the resident manager or management company of apartment buildings. Although people in this position are frequently precluded from divulging any information about the whereabouts of a former tenant to us directly, sometimes they have been able to forward a letter or message to a respondent or contact once we have left the office. For this reason, again it is important to respect for needs and limitations of anyone else that you deal with in the field.

Finally, as with phone calls to contacts, it is extremely important to recognize that people have been helpful, and thank them for their time (even if they haven't actually been helpful).

REFUSAL CONVERSION

Respondent refusals come in many different forms and for many different reasons. It is part of the detective's job to determine why a respondent is declining participation and for how long. It is also the detective's job to train interviewers to recognize refusals and make the initial attempt to convince the respondent to change their mind. This usually involves some degree of salesmanship but the two most important things to keep in mind when attempting to convert a refusal are:

1. The importance of the study, and
2. The importance of the participant to the study.

The first step in refusal conversion is to elicit the respondent's reasons for not wanting to participate. The approach should be gentle and understanding. Identifying their "objections" gives you something to discuss with them.

Respondents often refuse for various practical reasons such as being too busy, not having childcare, or not having a convenient place to meet. These are considered "soft refusals" that can be converted through discussion with the interviewer – sometimes a bit of problem solving is required but the interview can take place. It is extremely helpful to train interviewers to be flexible, especially when these situations arise – for example, offering to meet anywhere and at any time the respondent has an opening in their schedule, or letting them know that they are good at doing interviews and helping to watch children at the same time.

Or they didn't have a good experience the last time they were interviewed. Once a respondent has tried to quit the study, it can be difficult to reform a decision. One important piece is asking for feedback about what we did incorrectly. In a longitudinal study the participants we lose cannot be replaced. We need accurate information about why a respondent wants out if we can get it. Listen and listen and listen. Tell them you will follow up on the problem (if possible) and then do so. Apologize sincerely and completely and ask if there is anything you can do to make it better if it is an interviewer error. If the respondent agrees to the interview, arrange the interview yourself and send only an experienced interviewer that you trust to be really good listener, and responsible.

Sometimes, however, people refuse participation for reasons that are less simple to define and therefore more difficult to resolve. It could just be a "bad time" in their lives and they don't feel like talking about themselves or seeing anybody. If the respondent continues to refuse, ask if you can please have permission to call them again in a few months or at the next round of data collection. We have been able to recover many respondents who refuse at the current time, but agree to a call the following year. Be extra careful not to push a respondent too hard – respect clearly stated wishes after you have listened to their concerns. It is far better to retain the possibility of a future interview with someone than annoy them so much that even the mention of the study becomes an irritant. If someone wishes to be let out of the study never to be called again, thank them for their time and participation and respect their wish. Cases that have dropped from the study should be documented according to your protocols.

Many people find it difficult to refuse to participate out right. Instead they avoid answering our calls or postpone interviews indefinitely. One tactic to deal with this is by making a field visit and leaving a note for them if they aren't there, or having a face to face conversation if they are. If it is time to interview the respondent, be prepared to interview them on the spot (we call this an "ambush" interview). This is very effective and is not met with the negative response one might imagine.

SUMMARY

The tracker and detective have the challenging but extremely important job of finding respondents and ensuring their participation in the study on a yearly basis. Because one of the main characteristics of respondents in the LSAL study has been a high rate of mobility, the tracker and detective have had a considerable task. Nonetheless, when working together with focus and persistence, they can effect a reduction in the rate of attrition for respondents, which is imperative in a longitudinal study such as the LSAL. This increases the validity of the research overall.

Working as a tracker or detective can be challenging when people are lost, but also very rewarding when people are found. Sometimes the connections that lead to finding people can seem almost miraculous or extremely coincidental, but it is important to keep in mind that although luck does play a role in finding lost respondents, it is no substitution for consistent and determined efforts.

Above all, it is essential to not give up on difficult to schedule and hard to find respondents nor on those who refuse participation. To keep people in the study we have rescheduled interviews as many as 15 times for a single respondent. Persistence pays off in the long run.

SUMMARY OF RESEARCH ON RECRUITMENT AND RETENTION
January 30, 1998
Clare Strawn

Recommendations for LSAL based on readings noted below

There are two levels of consideration for recruitment and retention issues in the LSAL project. The issues will be different for the Portland based study than for the national study because of the different organizational base from which these phases are being implemented. The most successful retention efforts are based on the organizational capacity to follow through with a "tracking or locator shop" that can maintain current contact files through the life of the study. This capacity would have to be built into the ongoing budget of the Portland study (other projects have shown the expense to be well justified) if we are conducting and managing the implementation through the PSU NCSALL office rather than farming it out. If the national study is to be implemented by an existing survey research organization such as ISR, the Census, PSID, or NORC, one of the considerations for this choice is their tracking and locator capacity. Given the nature of the population being studied and the relevance of our study questions to mobility issues, special attention must be paid to tracking respondents and reducing attrition.

We can facilitate future location of the respondents with the initial instrument design and interviewing protocols.

- Our informed consent procedure will include permission to use the respondent's SSN for the purposes of attaining data on their work history and employment. The SSN is also very helpful when locating lost respondents, and might also be used to identify respondents in future rounds of interviews to assure that we are re-interviewing the right person.
- We can ask the respondent to give us the names, addresses and phone numbers of family members likely to know their whereabouts. These contact people need to be included in the updated locator files. Family members have been shown to be a more reliable source of information than friends or other acquaintances. Social network data may be relevant to our research questions as well as important locator information.
- In person interviews lead to better response rate in follow up telephone interviews.
- Most studies have found monetary incentives to participate to be cost effective for the overall efficacy of the study.
- The screening procedure is very important. It is recommended that we get some data (correct telephone number and maybe, anyone in household not have HS) before the reason for the call is explained, since it is after that point that most potential respondents refuse participation for any reason. If screening questions distance the respondent from the interviewer such that they feel like an anonymous number, they are more likely to refuse. A personal connection and establishing a reason for their participation is important to recruitment.
- Giving respondents a study participant identification card with an 800 number is one way of building their identification as being part of the effort and helping them stay in touch with the project if they move.

Other design points influencing retention:

- Time between data collection waves.

- Respondent burden - such as taking a lot of tests and being interviewed often may outweigh their sense of benefit for contributing (be it monetary or intrinsic/value based).
- Address verification postcards should be sent at intervals that correspond with post office change of address forwarding policy.

NHES Feasibility study:
Total attrition rates are a function of response rate to screening by completed baseline rate by each wave. Therefore the initial response rate is critical to the overall attrition rate. They estimated a 62% total response rate for NHES, which they felt introduced too much bias to the data.

- Face to face initial interviews increased second wave response rates because of greater rapport and ability to verify address. In following waves, face to face interviews allowed the interviewer to ask neighbors, etc. about whereabouts if the respondent was not contacted.
- Sources differ on whether RDD yields a significantly higher response rate. However, the particularities of the population we are interested in have to be taken into consideration.
  - What percentage of our target population doesn't have phones?
  - How mobile is our target population - renters (66% response rate) move more than owners (86%).
  - Lower income (<$20,000) has a lower response rate (68%) than incomes greater than $40,000 (88%).
  - Blacks have a 49% response rate compared to whites at 85%.
- Follow up interviews should be scheduled at intervals that maximize response rate (balanced by data needs of course).
- Address verification postcards should be sent at intervals that correspond with post office change of address forwarding policy.
- About 66% of respondents willing to give data about contact person, those more cooperative respondents are also more willing to complete future interviews.

Dillman on increasing survey response:

Social exchange theory - behavior (participation in survey) is balance of perceived costs and rewards….therefore, minimize costs of responding and maximize the rewards, and establish trust that rewards will be delivered.

- Rewards can be explanation of part of carefully selected sample and their participation necessary for whole success.
- Personalize rather than formal or impersonal approaches are better.
- Communicate positive regard with tone of voice and script (you are being "consulted")
- Does participation support respondents values? (eg: your preferences should be heard in policy and public expenditure…appeal to study's social usefulness)
- Money incentives are a token or researchers trust rather than a payment for service. "The closer the monetary incentive comes to the value of the service performed, the

more the transaction tends to move into the realm of economic exchange and the easier it becomes for many people to refuse it."

- Telephone interviews do not give people time to consider social exchange stuff. But they have higher response rates than mail surveys because of telephone etiquette norms. In response to surprise, do not hear pitch and revert to conventional norms (hanging up if not interested). A prior letter prepares respondent for phone call.

Menard, *Longitudinal research*

Attrition bias is most important if it is systematic relative to questions being asked.
Cites Burgess (1989) as saying 80-90% response rate is reasonable expectation in most populations and that 50% is not acceptable re: quality data.

Pearson & Boruch (1986) *Survey Research Designs: Towards a better understanding of their costs and benefits.*

- Data quality between telephone and in person interviews not measurably different, especially when telephone is used to follow up in person baseline.
- When respondent understands what survey is for, more willing to invest cognitive effort. Follow-up interviews can share data results with respondents to increase their investment.
- PSID has one full time staff person dedicated to "care and feeding" of respondents - cultivating relationships and tracking people, writing personalized persuasion letters tailored to reason for decline. 86% response rate from T1 to T2.
- Young people are hardest to persuade …leave home after mother's day, family rifts make tracking difficult.
- For variables on human capital development (PSID), there was not significant difference between an intensely pursued respondent panel and a statistically estimated "deteriorated" panel. But the deteriorated panel would not have had enough African American respondents for split off analysis.

Booth & Johnson (1985)

RDD was found to yield no less accurate data than face to face. (Spatial and digital randomization are similar). 89% of respondents provided their full name and address and 72% gave a contact name. QA protocol was to follow-up interview with a letter (progress report on study) within one year, focusing on subset of respondents that hadn't provided re-contact info or reference. People more likely to give contact info in follow up QA if they weren't forthcoming originally - tested trust that no bad outcomes to participation. Non-relatives given as contact people were not as helpful in locating people as relatives.
City directories were not helpful to relocate people who are highly mobile. Attrition occurred most in expected segments: females 14-24, black, Spanish-speaking, two-person households, renters, and those not graduating from high school.

Suggestions for our study: QA telephone calls should follow baseline interviews within one month to verify telephone numbers and get additional contact into.

Maynar & Schaeffer (1997)

This paper is a discourse analysis of telephone survey requests to be interviewed which have been declined. Note the different exchange patterns between a personal call and one from an institution… recognition patterns different, and don't include "how are you?" All declines occurred after reason for call (RFC) was explained, none after personal and organizational identification. Very few of the interviewers attempt to change their mind were successful, most changed respondent's attitude from polite to abrupt. Questions that emphasize the anonymity of the potential participant (screening questions about household for instance) loosen the personal connection, making it easier to distance from the request. "We wonder whether there are ways in which the procedural questions of the interview and the responses to expressed concerns can be better "tailored" (Groves et al 1992) to recipients and perhaps thereby convert potential declinations into acceptances." (p.70) [Good question, how do you go about finding out?] Since there are no declines before the RFC, (after call answered) that may be a recruitment opportunity space…suggestion is to "insert concise material into it that all recipients will hear…in the recruitment opportunity space, there may be ways to increase the visibility of more particular identities for both parties and heighten a recipients sense of the survey's legitimacy" (examples: "Making your voice heard" "having your opinion count")

Zahs, N., Pedlow, S., Morrissey, M., Marnel, P. and Nicholas, B. (1995) *High School and Beyond Fourth Follow up Methodology Report*.

This methods report gives detailed protocol for managing CATI lab interviews and maintenance of longitudinal locator databases. Indentifier data has to be kept separate from survey data for confidentiality, but you have to be able to verify the ID number on re-interview to be sure you have the right person. Non-response rates are the usual patterns: 20% black, 10% white, 14.3% no postsecondary ed compared to 9.2 voc pse and 8.1 other pse.

Schaie
Effects of monetary incentives. Volunteering behavior has changed over time; payment is current expectation. Rate of volunteering differs by age. (MacDonald, 1972). Subjects scoring high on "need for approval" are more willing to volunteer on pay condition but not on other two. Schaie conducted study to see if those participants who were promised pay differed on cognitive or personality factors from those who weren't. Findings: women more likely to volunteer than men in both conditions. Peak participation ages 40-68, decreasing linearly on each side. No bias found for pay/not pay variables.

Burgess
Three factors control success of tracing: 1) tracing methods, 2) time between survey waves, 3) organizational ability and access to reliable information. Types of tracing: 1) retrospective - start with last interview address and track from there; 2) Forward racing - build in information at time of interview that will assist later follow-up - eg: family or network contacts, ID number like SSN, give respondent address forwarding card. Important

to inform respondent on outset that we will be asking for info to enable us to follow them. Important to assure respondent of confidentiality and ethics of tracing information. Comparative costs of forward tracing - such as contacting every year rather than once after five years and easier/earlier completion date of interview - advantage to maintain periodically up to date address file of respondents.

Sources of tracing information: most efficient to organization. References: telephone and directory assistance, computer aided telephone search; neighbors, apartment managers or landlords, banks, credit bureaus, social clubs, employers; Post office, motor vehicles, gov. administrative records, voter lists; utility companies, subscription/mailing lists. Important to have rules for identifying respondent at second contact…identification code protocol to match interviews, and "identification card" (SSN?) section of the survey of unchanging characteristics. Who to trace? Respondent *and contacts.*

Should expect 80-90% re-contact rate. Potential bias is greater if there is a correlation between the subject matter and population mobility.

Citations:

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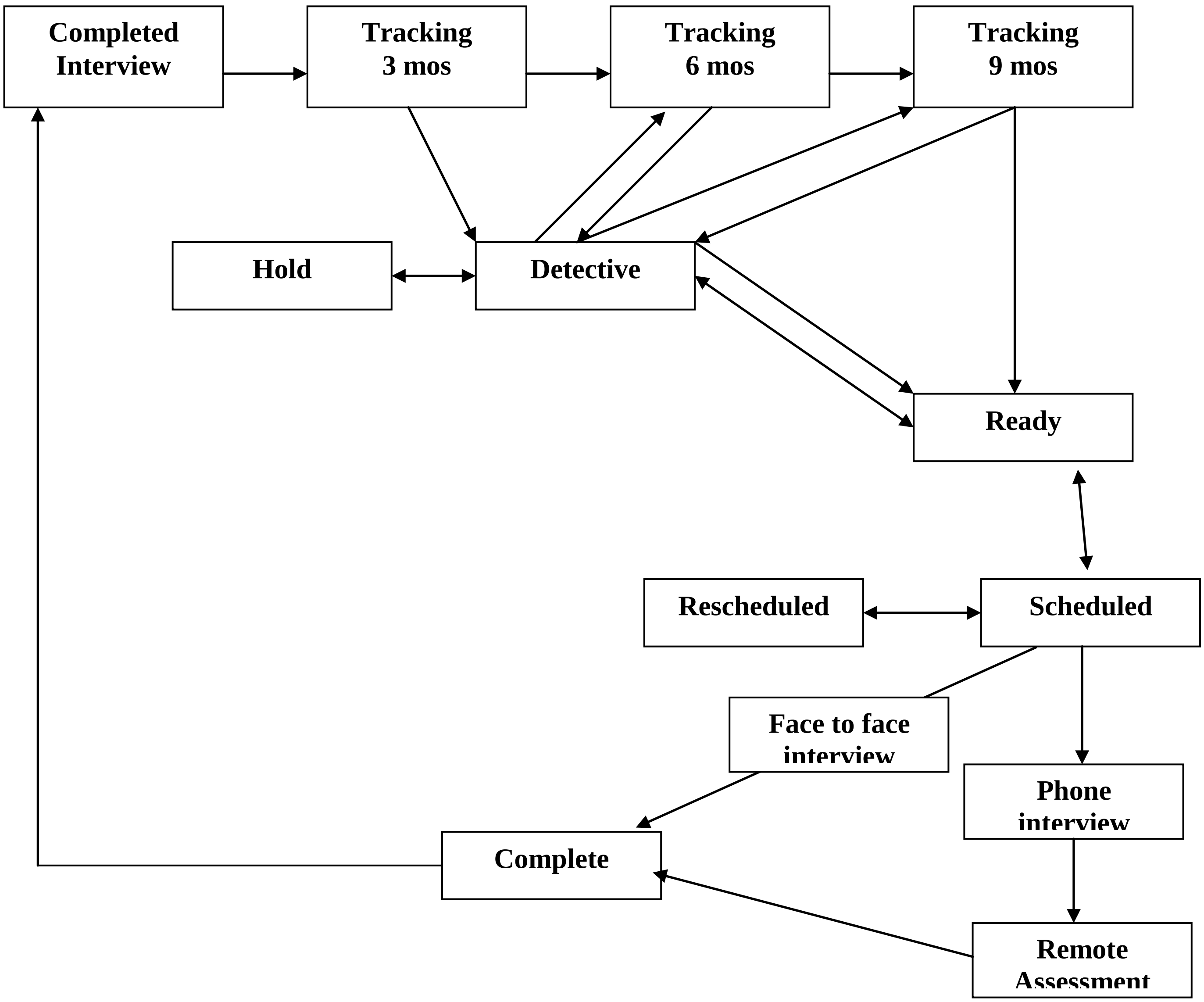
FORMS AND SAMPLES

Longitudinal retention flowchart

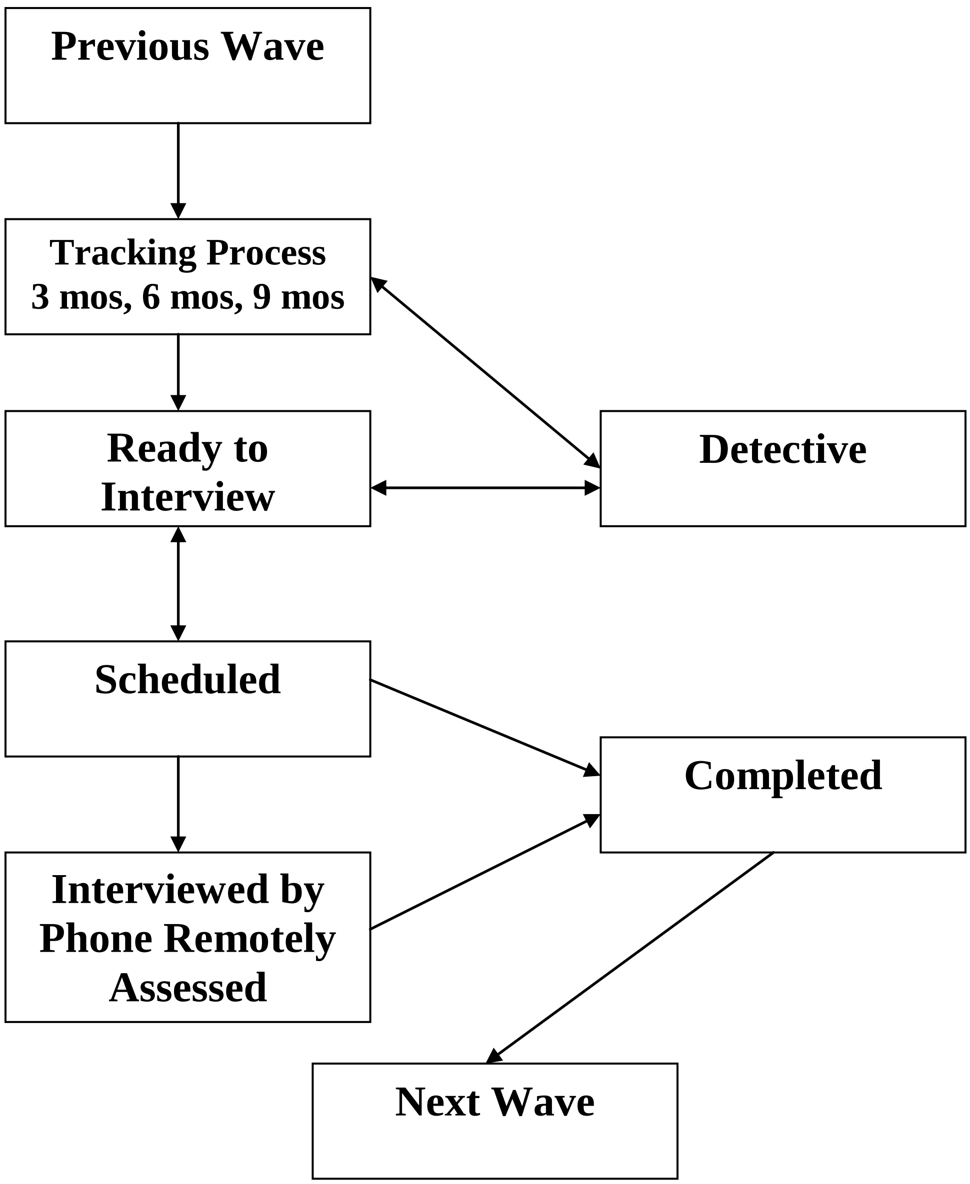
A Complex Guide to ERIK[1]

(Electronic Respondent Interview Knowledge)



[1] ERIK is our name for the proprietary software application created to manage the respondent interview cycle.

A Simple guide to ERIK



Lifelong Learning Study

Newsletter
July 2001

Portland State University PO Box 751 Portland, OR 97207-0751

Thanks to all of you who participated in our study!

Because of your outstanding participation over the past three years, we have been asked to continue with the study for five more years. Interviews will take place every other year. So, for example, if you did your paid interview with us in February 2001, we would like to interview you again in Feb 2003 & Feb 2005. The next time you participate in our study, we will pay you **$40**!

You could win $500 if you continue to participate!

Quick Facts

Number of participants in study:

1998-1999: 979

1999-2000: 869

Characteristics of participants:

Average age: 27.5

95 people came to the US from another country

89 speak English as a second language

Participants who moved outside of the Portland area:

1999-2000: 41

2000-2001: 50

Number of people screened to find participants for this study:

135,892 phone calls to random households

1,104 people identified through these calls who were eligible to participate in study

Questions you have asked:

Why is my participation in this study important?

So far, you have been part of the only long term research study that tells the story of what happens to adults after they leave school. Your story needs to be told. One of the exciting things that is happening is that this study is de-bunking many of the stereotypes that are out there about people who didn't finish high school. In fact, one of the main things that we've found is how different everyone is!

Everyone's story is an important piece of the whole picture. For example, if you decide not to participate in the paid interview because you are too busy holding down one or more jobs, taking care of kids and going to school, we certainly understand. But if we only interviewed people who had the spare time, your story about how hard you work wouldn't be part of the picture.

Please see other side →

Your continued participation in the study is important to the success of the whole project. Without you, we can't get the whole story, and you cannot be replaced! Since we are trying to understand how adults change over time, we can't add a new person to replace you now because we wouldn't have the first years of interviews to compare against.

Why do you call me every 3 or 4 Months?
The results of this study would be less valuable if we were not able to interview the same group of people every year. Most people we have interviewed have moved at least since we first met them. So, we call all of the participants every few months to keep track of new addresses and phone numbers. The contacts that you gave us have also helped out a lot in locating those of you who have moved or changed phone numbers

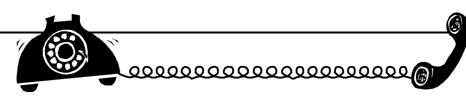
Why do I get a check instead of cash for my participation?
We realize that cashing a check can be a hassle. We are trying to find a better way to pay you next time.

Can I see my score from that test- booklet thing I take?
The purpose of the paper-and-pencil "test" that you take is not to grade you. Its purpose is to get an idea of how your skills change over time. Your score for the test you took the first year is not so important on its own. It is more meaningful to the research when we can look at your scores from the first, second, and third years of participation and compare them to the things you do in your daily life. Overall, the population of Oregon has shown stronger reading and writing skills than in other states.

Thanks again for your participation!

If I move away from Oregon, can I still participate in the study?
Yes! We can conduct your interview over the phone and then have someone in your local area give you the paper-and-pencil test and give you your check for participation. Just be sure to call our toll-free number to keep us updated with your current address and phone number.

What do you do with all the information given in the interviews?
We have 10 interviewers that meet with about 30 participants from the study every week. All of the information that you give us during the interview gets entered into a computer system with a number instead of your name for identification. When we are done with all the interviews, we make one file with all the information, or data. The data is then studied by researchers who use statistical analyses to answer the questions that Congress and adult education programs want to know about how to increase support for adult lifelong learning.



Moving?

Please call & let us know your new address and/or phone number.
24 hour voice mail:
(503) 725-8722

If outside the area:
1-800-547-8887, ext.8722

You can only win the $500 drawing if we have your current telephone number & address!

The Lifelong Learning Study at
Portland State University
****

Remember the $500 drawing?

On July 4, **five** people from our study will be randomly selected by computer to receive

$100 each!

What do you need to do?

Update us with your current address and phone numbers between now and July 1, 2004 and your name will be entered into the drawing.

Call our 24-hour message line:

503-725-8724

(or toll-free 800-547-8887, ext. 8722
weekdays 9am-4:30pm PST)

We will call you if you win –
and send you the **$100 !!!**

Thank you for your continued participation in the Lifelong Learning Study!!!

Detective Job Description

The Detective for the Longitudinal Study of Adult learning will help ensure a high retention rate for the study by being responsible for the following tasks:

- Investigation as needed to locate and access respondents that trackers and interviewers are unable to find.
- Ensure respondents are interviewed within their "window"
- Case management of lost, hostile, and hard-to-schedule respondents
- Review cases with Project Manager and Field Manager once a month
- Take lead in conducting and following up on home visits
- Delegate and supervise home visit work to selected field interviewers
- Attend regularly scheduled meetings prepared to report on Detective activities as well as advise interviewers in creative scheduling of more challenging respondents
- Update database of respondent information, maintain detailed records of all detective cases
- Ensure confidentiality of respondents

Qualifications:

- Own a car or have easy access to a car
- Fluent in English
- Comfortable with computer and changing technical environments
- Be able to communicate across race and class differences and have non-judgmental attitude towards others (ideally have experience doing this in social service or research setting)
- Some management experience
- FLEXIBLE schedule

Qualities:

1. Persistent	**2.** Somewhat nosy
3. Good listener	**4.** Creative problem solver
5. Like people	**6.** Dedicated and responsible

CONTACT INFORMATION-interviewer fill out this form, check info, and sign off below.

_____________________ ________ ___________________________ ___________________

FIRST name M.I. LAST name MAIDEN name

_____________________ ________ Spouse's name ____________________________________

Date of birth (MM/DD/YY) gender

ADDRESS: Alternate Address (mailing address):

_______________________________ ______________________________

_______________________________ ______________________________

Names of persons who live with you: Your Employer: _____________________________

HOME Phone:_______________________ WORK Phone:________________________

MESSAGE Phone:____________________ Pager:________________________________

CELL Phone: ________________________ Fax:______________________________

EMAIL:________________________ ____________What is the best way to reach you?_______

CONTACTS (who do not live with you)

#1 NAME ______________________________________Relationship__________________

ADDRESS ______________________________________ Phone __________________

____

#2 NAME ______________________________________Relationship__________________

ADDRESS ______________________________________ Phone__________________

____

#3 NAME_______________________________________Relationship__________________

ADDRESS_______________________________________ Phone__________________

Moving ☐ prison ☐ phone ☐ tals not admin ☐ computer error ☐

completed and reviewed by ____________________ date_________________

Tracking call script (2 pages)

Our local #: 725-8722
Toll-free: 1800-547-8887, ext 8722 (weekdays, 8am til 4:30pm Pacific Time)

Calls to Respondent

Hello, I'm giving you a quick call from [Portland State University's] Lifelong Learning Study. [We're those people who do that paid interview with you once a year]. We were just calling to make sure we could still reach you at this phone number/address.

- Are you still living at this phone #/address? (confirm address)
- Are the work/cell/pager numbers & **email address** that we have for you still current? (and what's the best way to reach you?)
- Are there any other phone numbers that you'd like us to have?
- Do you think you'll be keeping this same phone # and address for a while, or do you have any plans to move (like, in the next 3 months)?

It looks like we'd be interested in meeting with you again in _______ (month) of (year). AND we will be paying you again for your time (mention $amount). So until next interview, we'll keep in touch [we'll call you every few months to bug you!]. **Please** let us know if you move or change phone numbers. [Do you have our phone #? Magnet?]

We **really** appreciate being able to keep in touch with you.
We **really** appreciate your continued participation in our study.
We look forward to meeting with you again to do another paid interview.
Thanks for sticking with the study!

Leaving a message for Respondent on voice mail or answering machine

Hello! I'm calling from the Lifelong Learning Study. [We're the people who do that paid interview with you every year]. We were just calling to make sure we could still reach you at this phone number [because we are interested in doing more paid interviews with you in the future]. If you could just give us a quick call back to confirm that this is still an okay # to reach you, that'd be **great**. You can call us **anytime** at 725-8722; this is our 24-hour/day voice mail line, so you can call at any time and just leave us a quick message confirming your current address and the best phone numbers where you can be reached. We would **really** appreciate it. Thank you, and we look forward to doing more paid interviews with you.

Getting tracking info from roommate when Respondent isn't home

(use this option only if (1) R hasn't been home on the last several times you've called, and (2) the memo notes indicate we've spoke with R the past few tracking calls & there haven't been many issues in finding R, and (3) the person seems like a nice individual who wouldn't mind talking to us)

May I please speak with R? {*person says R isn't home*} Okay, the reason I'm calling is because I'm with the Lifelong Learning Study [at Portland State University] and R does some work with us once a year; I am just checking in to verify that R can still be reached at this number. Can I verify that with you? Can I also verify Rs address? Thanks. We **really** appreciate that. R doesn't need to call us back. For future reference, what is the best time to reach R at this number?

Contacts Calling Script

Hello! My name is _____ and I am calling from Portland State University's Lifelong Learning Study. The reason I am calling you is because your friend/son/daughter/
niece/boyfriend, [R's name], does some work with us and we have been having some troubles locating him/her. **S/he had given us your name and phone number, previously, as a contact person who might be able to help us out if we had ever lost touch with them**. So, do you know of a good phone number or address, or any other way to get a hold of R?

Contact may ask: Who are you? What do you guys do? How do you know R?
Suggested replies or good phrases to have on hand:
-*We work with R once a year.*
-*We are located at Portland State University.*
-*R does some work with us once a year.*
-*We've been meeting with R once a year for the past 3 years.*
-*We are very interested in working with R again.*
-*R gave us permission to call you if we ever had difficulty getting in touch with him/her.* - -*When R gave us your name as a contact they believed you would be helpful in assisting us to find them.*

If more information is requested, explain that the study is confidential and that they can direct other questions about it to R.

Many contacts prefer to take a message and relay it to the respondent rather than tell us their information. In that case, we usually check back in a few days to make sure the message was relayed. However, sometimes letting the contact know that R chose them to help us find R if we needed to will prompt the contact to give a phone number or address if they know it.
-*R gave us permission to call you if we ever had difficulty getting in touch with him/her.* - -*When R gave us your name as a contact they believed you would be helpful in assisting us to find them.*
****
Recording information about contacting respondents

- Record the date and time of each call so that future trackers can see the best times to reach R. If there is trouble reaching R, vary the days and times of calls.
- Record new information about R – if a contact mentions that R works at Subway, or their husband or wife's name, or that they may show up at a certain bar every Thursday. Even if you don't think it's necessary for the moment. If a contact or respondent is reluctant, hostile, or even particularly helpful, it's usually good to record that as well.

MasterFiles, Inc.

REACH DIRECTORY ASSISTANCE

INTERNET WEB ACCESS &
BATCH PROCESSING AGREEMENT

This Agreement ("Agreement") is made between MasterFiles, Inc., a Texas corporation, having principal place of business at 14900 Landmark Boulevard, Suite 620, Dallas, Texas 75240-6780 (hereinafter referred to as "MasterFiles") and "Licensee", as identified hereunder, and any of the Licensee's subsidiaries and/or affiliates, if any.

The Reach Directory Assistance service is an electronic information service provided by MasterFiles, which allows the Licensee to access various local telephone company's databases comprising names, addresses and telephone numbers. The intended use of the Reach Directory Assistance service is for internal use of the Licensee only. Upon registration, the Licensee becomes subscriber to the Reach Directory Assistance service and agrees to be bond by the terms of this Agreement. MasterFiles grants the Licensee a non-exclusive, non-transferable license to use Reach Directory Assistance.

Licensee's Obligations
Licensee is responsible for payment of all fees for services incurred.

Fees & Payment
Initial setup includes one free online ID. There is an activation or change fee of $10 for each additional online username and password requested. This fee does not apply to batch processing profiles.

Reach Directory Assistance service charges will be incurred for the following:
Requests for information are initiated by using any of the available search request functions. Examples of
this are "Residential", "Business", "Government", "Reverse", "Address", "Per Release", or "SSN".
The Licensee is charged for information returned.
("Screen") described in one of the following:

(1) set of up to thirty (30) listings or lines of information;
(2) "no listings found" or similar message;
(3) "too many listings found" or similar message.

The set of listings returned from the database suppliers may consist of names, addresses, telephone numbers, non-published indicators, caption or other information.

MasterFiles reserves the right to change its fees and charges, or any other terms and conditions, at any time, effective immediately upon publication, and shall use its best efforts to notify the licensee (including by facsimile, newsletter, or, if available, network message) in advance of or concurrent with such changes.

Upon MasterFiles' approval, corporate and government entities Customers will be billed monthly by invoice NET 30 days. Late payments will be subject to a charge of one percent (1%) per month, or the legal interest rate, whichever is higher, of the overdue balance until paid in full. The Fees are exclusive of applicable taxes, surcharges, and other amounts due under federal, state, and local law, which Customer agrees to pay to MasterFiles in addition to the Fees.

Should the Licensee fail to pay fees or charges due hereunder or fail to carry out any other obligation under this Agreement, MasterFiles may, with or without notice, suspend access to or use of the Reach Directory Assistance service.

Acceptable Use Policy
The Reach Directory Assistance service provides address and phone number information, based on the provision of a name, city, and state; or name and address information, based on the provision of area code and telephone number. The user agrees not to use the Reach Directory Assistance service for any illegal activities. The user further agrees not to use the databases to contact people in ways contacted person considers objectionable.

Warranties

NO WARRANTY IS MADE BY MASTERFILES NOR REACH DIRECT REGARDING ANY INFORMATION PROVIDED THROUGH OR IN CONNECTION WITH THE REACH DIRECTORY ASSISTANCE SERVICE, AND MASTERFILES HEREBY EXPRESSLY DISCLAIMS ANY AND ALL WARRANTIES, INCLUDING WITHOUT LIMITATION: (1) ANY WARRANTIES AS TO THE AVAILABILITY, COMPLETENESS, CURRENTNESS, ACCURACY OR CONTENT OF INFORMATION; AND (2) ANY WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

Liability

MASTERFILES SHALL HAVE NO LIABILITY FOR ANY DAMAGES TO THE LICENSEE, INCLUDING WITHOUT LIMITATION ANY LIABILITY FOR DAMAGES (INCLUDING INCIDENTAL OR CONSEQUENTIAL DAMAGES OR LOSS OF PROFITS) CAUSED OR ALLEGEDLY CAUSED BY ANY FAILURE OR PERFORMANCE, ERROR, OMISSION, INTERRUPTION, DELETION, DEFECT, DELAY IN OPERATION, COMPUTER VIRUS OR TRANSMISSION, ACCESS TO ALTERATION OF, OR USE OF RECORDS, WHETHER FOR BREACH OF CONTRACT, TORTIOUS BEHAVIOR, NEGLIGENCE OR UNDER ANY OTHER CAUSE OF ACTION, AND/OR IN THE EVENT OF AN INTERRUPTION OF THE REACH DIRECTORY ASSISTANCE SERVICE DUE TO CIRCUMSTANCES WITHIN THE CONTROL OF MASTERFILES OR DUE TO CIRCUMSTANCES BEYOND MASTERFILES' CONTROL.

Governing Law

Said agreement shall be governed by and construed and enforced in accordance with the laws of the State of Texas.

Name/Title: ____

Company: ____

Phone/Fax: ____

Email: ____

Address: ____

City: ____

State: ________________________**Zip**: ____________________

Signature: ____

Your MasterFiles Salesperson is: **Cheryl Mitchell**

Date: ____

EXHIBIT A

Reach411.com Pricing

Effective May 1, 2002

Monthly Usage (each category)	National Directory Assistance Per Query by Name/Address/Phone **	Per Release Res/Bus	Per Match by SSN	Name & Add. Per Match SSN/COA
1 - 1,000	$ 0.20	$ 0.45	$ 0.25	$ 0.05
1,001 - 2,500	$ 0.19	$ 0.43	$ 0.24	$ 0.05
2,501 - 5,000	$ 0.18	$ 0.42	$ 0.23	$ 0.05
5,001 - 10,000	$ 0.17	$ 0.41	$ 0.22	$ 0.05
10,001 - 25,000	$ 0.16	$ 0.40	$ 0.21	$ 0.04
25,001 - 50,000	$ 0.15	$ 0.39	$ 0.20	$ 0.04
50,001 - 100,000	$ 0.14	$ 0.37	$ 0.19	$ 0.04
100,001 - 250,000	$ 0.13	$ 0.36	$ 0.17	$ 0.04
250,001 - 500,000	$ 0.12	$ 0.35	$ 0.15	$ 0.03
500,001 - 1,000,000	$ 0.11	$ 0.34	$ 0.14	$ 0.03
1,000,001 - 2,500,000	$ 0.10	$ 0.32	$ 0.12	$ 0.02
2,500,001 - Higher	$ 0.09	$ 0.30	$ 0.10	$ 0.02

**ASK ABOUT OUR NEW "WILD CARD" SEARCH.

Wildcard: Input at least 3 characters in the first or last name or last name only field, followed by a "." (period).
Output: All combinations of input.

EXAMPLE: “PAT. KIE.” RETURNS PAT, PATRICK, PATRCIA, PATRICE AND OTHER FIRST NAME CHOICES and KIE. RETURNS KIELE, KIESGEN, KIELEY, KIEN AND OTHER LAST NAME CHOICES. THIS POWERFUL MATCHING LOGIC IS USED BY LIVE DA OPERATORS FOR “411”.

All per release batch clients will be asked to submit a test file for evaluation. Based on file evaluation a processing fee may be required per file based on hit rates that fall below an agreed upon match rate. Per query and per release profiles may be established. Pricing is based on volume associated with each individual profile.

Initial setup includes one free ID. There is an activation or change fee of $10.00 for each additional online username and password requested. This fee does not apply to batch processing profiles.

Fees are based on information returned per “screen”. A screen is defined as follows: a set of up to **30** listings or lines of information; no listings found or similar message; or too many listings found or similar message.

Abbreviations

&	And
Addr	Address
Ambush	go try to get an R on the spot
Apt	Apartment
b/c	Because
CB	Call back
CT	Contact
CUB	Call us back
Disc	Discontinued/disconnected
DK	Don't know (or doesn't know)
DOC	Dept of Corrections
Ext	Extension
FV	Field Visit
Gen VM	Non-personalized voicemail, maybe for many people
HF	Hard File
Info	Information
LEP	Limited English Proficiency
LL	Landlord
LM	Left message
M	Man
Mach	Machine
msg	Message
NA	No Answer
NBR	Neighbor
New #	
New ph #	New phone #
New Addr	New address
NIS	Not in service
R	Respondent
RA	Remote Assessor
Rel	Relative
RM	Roommate
PC	Postcard
POA	Plan of Attack
Poss	Possible
TANY	Try Again Next Year
VM	Voice Mail
w/o	without

MF	Masterfiles Reach 411 database (tracking and Detective only)
Deep MF	Masterfiles ssn search (for Detective person only)

The Lifelong Learning Study
Portland State University

Hello!
We haven't talked with you for a while, but we'd like to! We want to keep in touch with you for another interview.

Please call us at:
(503)725-8722
(800) 547-8887 ex.8722
(weekdays, daytime only)
lllstudy@hotmail.com

And tell us how to reach you.
Thanks for sticking with the study!

Detective Procedures

Routine

Weekly

- Go through Hold queue – assess level of activity on each case (try to keep "no activity" cases to under 20 each week)
- Review field visit needs – create/assign as needed
- (during data collection)- go through Ready pile – assign cases as needed, troubleshoot, or put in Detective/Hold
- (during data collection) – check status of assigned cases, field visits, ambushes
- (during data collection) – prioritize "red" cases, determine course of action

Monthly

- general corrections status
- check status of homeless R's

Quarterly

- ODL inquiry
- Vital statistics

Finding a lost respondent

- Call all available phone numbers (respondent and contacts) and email them too.
- If a # is disconnected we call it back after a couple weeks then months to double check that it hasn't been re connected
- Call 411(or use a service like Masterfiles) for both R and contacts
- Do a reverse lookup using the address or phone number on the Internet (Masterfiles)
- Send postcards or letters to available addresses – R, contacts, parole officers etc. "Address Service Requested"
- If mail is returned, double check addresses on hand written documents in file and in data base.
- Call justice system contact for state and county
- Go on Field Visits to R and contacts and leave notes or talk to neighbors or apartment managers if appropriate. Workplace can be visited too.
- DMV records if available (good for address changes, then phone numbers can be found through internet lookup).
- vital stats check occasionally for deceased respondents
- REPEAT all detective activities until you find the person. Persistence pays off.

Contacts: if they don't know info, probe for anything they can tell you: where R's mom works, R's hangouts, churches, agencies (Job Corps, community college, homeless shelter)etc. Record all information in R's file for future use.

In general, field visits are more effective than phone calls, especially to contacts – people tend to offer more information in person than over the phone. If contacts are not helping you on the phone, a visit can yield results.

When a respondent is hard to find, our most successful methods have been (in the following order):

1. Contacts
2. Field visits
3. Driver's license info
4. letters
5. 411 or Masterfile

November 8, 2006

Dear first name,

Hello from the Lifelong Learning Study!

It's been a while! I'm happy to have found a way to contact you, and I hope you are doing alright.

Guess what? We've been funded for another year of interviews! We'll be starting in January and paying $50. But we're having a hard time getting a hold of you.

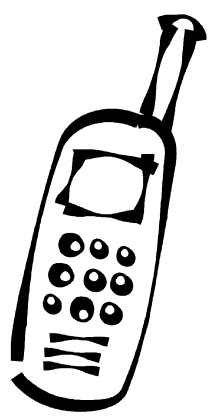
Please call or email us now to update your contact info.

503-725-8722
1-800-547-8887 ex. 8722
lllstudy@hotmail.com

As you know you are very important to our study! Without you, what would we do?

Thanks and take care,

detective first name
Lifelong Learning Study
Portland State University
PO Box 751
503-725-8722
1-800-547-8887 ex. 8722
lllstudy@hotmail.com



March 1st, 2006

Dear first name,

We are from Portland State University and trying to contact first name last name . First name worked on a project with us gave us your name as a contact person to help us reach her (him). We have had difficulty getting a hold of her (him) recently and we would like to interview her (him) again this year. She (he) will be paid $XX for working with us again if we can reach her (him).

It would be helpful to us if you could pass this information along to her or if you know where she can be reached- please call us at
503-725-8722. For long distance calls, please call **1-800-547-8887, extension 8722**

Thank you for your time. I've included a note to give to first name in case you see her. Thank you!

Sincerely,

The Lifelong Learning Panel Study, PSU

OUT-Of-AREA: Arranging interviews for Respondents (Rs) in P R I S O N S
<u>Institution</u>: Oregon State Correctional Institution –

TO: Interviewer (**Note**: Sections 6,7,8 below for day of interview) **RE: ID# 11111**

Please write up any additional requirements or information you think the Study needs for future interviews at this institution. LEAVE IN FILE. Use back of this form & circle "OVER". Thanks.

TO: WAVE 3 Scheduling – If R is still incarcerated next Wave, follow these procedures.

1. Call "Program Services"; Manager a/o 4/28/00 = Ms. Fran Scheidler, 1-503 373 0119 to arrange.

2. IF interview is done by telephone, she will refer us to "Academic Section" for field assessor (tester).

3. For DEW interviewers available to drive to Salem, submit the following for approval in advance:
   1) Copy of driver's license both sides on PSU letterheads
   2) Social Security #
   3) Birthday
   4) Current Address
   5) IF any address has been out of state within 10 years, include 10-year history
   6) Fax of OCSI's current "release of Liability for Equipment FROM OCSI signed by Project Manager and FAXED back then carried on day of interview in R's file.

4. Fax "Prison" LETTER (Computer, "Detective" folder). Check for Name/title/where to send.
   As of 4/28/00, fax to OSCI, Mr. J. Muranaka, 503-378-2944
   OR: Mail letter to him at 3405 Deerpark Drive, Salem, OR 97310

5. PAYMENT: VOID check if in file; Rs must be made by money order, mailed:
   Make MONEY ORDER out to prisoner's name: Mr. Joe Smith
   Include SID# SID#111111111
   Mail to Department of Corrections
   ATTN: CENTRAL TRUST (Inmates)
   PO Box 14400
   Salem OR 97309-5077

6. Driving Instructions to OSCI, Salem
   15 to Exit 253 (may be Detroit/Santiam). L at light onto Hwy 22. Go 2-3 miles east.
   OCSI is on GAFFIN Rd. Go to tower; get directions from guard

7. Interviewer must carry on DAY OF INTRVIEW:
   1) Driver's license
   2) Release of liability form re: laptop (see above)
   3) Business card from LLPS is recommended
   4) Keep prisoner's SID# on hand in case needed

8. Dress Code: wearers of BLUE DENIM will be denied entry. Recommend NO denim at all.

9. Tell Inmate his money order will be mailed as State requires to Inmate Central Trust.

4/28/00RR

TO PAY INCARCERATED Respondents, at Oregon State Correctional Institution,
Complete slip below and pass to FIELD MANAGER.

1. Payment to Respondents interviewed while in custody
   At Oregon State Correctional Institution
      Make MONEY ORDER out to prisoner's name
      Include SID#
      Mail to Department of Corrections
      ATTN: CENTRAL TRUST (Inmates)
      PO Box 14400
      Salem OR 97309-5077

      DEW ID#:_______ NEEDED BY:___________

2. Payment to Respondents interviewed while in custody
   At Oregon State Correctional Institution
      Make MONEY ORDER out to prisoner's name
      Include SID#
      Mail to Department of Corrections
      ATTN: CENTRAL TRUST (Inmates)
      PO Box 14400
      Salem OR 97309-5077

      DEW ID#:_______ NEEDED BY:___________

3. Payment to Respondents interviewed while in custody
   At Oregon State Correctional Institution
      Make MONEY ORDER out to prisoner's name
      Include SID#
      Mail to Department of Corrections
      ATTN: CENTRAL TRUST (Inmates)
      PO Box 14400
      Salem OR 97309-5077

      DEW ID#:_______ NEEDED BY:___________

4. Payment to Respondents interviewed while in custody
   At Oregon State Correctional Institution
      Make MONEY ORDER out to prisoner's name
      Include SID#
      Mail to Department of Corrections

ATTN: CENTRAL TRUST (Inmates)
PO Box 14400
Salem OR 97309-5077

DEW ID#:________   NEEDED BY:____________

Letter head

DATE: April 29, 2005

TO: Mr. Starks

FROM: ____, Project Manager Longitudinal Study of Adult Literacy

RE: Scheduling phone interview with inmate ______ (#________)

We are conducting research about lifelong learning funded by the U.S. Department of Education in which we follow a panel of individuals over several years. We interviewed the above mentioned inmate last year in his/her home and need to do a follow up interview at this time. Our ability to complete the follow up interviews with all subjects is critical to the success of the entire project and we appreciate your help in facilitating this interview.

_________, an interviewer in our study would like to schedule a phone interview with __________at this time. This interview will last approximately one half hour. In the future we would also like to have someone come to the jail and to administer a timed standardized test. This involves giving the inmate a pencil, booklet that they write in and a one-sheet reference page. These are returned to the interviewer. We pay a research subject fee, which we will deliver as a money order for the inmate's account.

We can schedule the phone interview at your earliest convenience. If you have questions or need to verify anything, please call me at 503-702-3624. Written information or requests can be sent via fax at (503) 725-8721. Thank you once again for your assistance.

Project Manager
PSU's Lifelong Learning Study

Informed Consent for the LIFELONG LEARNING PANEL STUDY – Wave 5

I,____________, am a researcher from Portland State University and I am asking you to give informed consent to participate in this research project. The purpose of the study is to better understand how adults learn and how changes in skills and abilities influence their lives over time.

- The study involves an interview that takes approximately one hour and skills test that also take a maximum of 40 minutes.
- You are being paid $45 for completing the interview and skills tests.
- Other than the participation fee already mentioned, you may not receive any direct benefit from taking part in this study, but it may help to increase knowledge that may help others in the future.
- All information you give will be anonymous. Your name will not be connected to your responses to the survey or to the skills test. No responses or information will be released in a way that permits individuals to be identified.
- Your name and the names of your contacts will be kept confidential.
- The contacts you give to the interviewer may be telephoned or mailed a post card periodically in order to stay in touch with you for future interviews.
- You do not have to answer any questions that you feel uncomfortable with; your participation is voluntary and you may withdraw from the interview at any time.
- Participating in this study will not affect your course grade (if taking classes) or your relationship with any other agency.
- The researcher has read this document to me and I understand the above information and agree to take part in this study.
- Arrangements for this interview have been made through corrections administration. Neither the institution nor any other agency has access to information given to us in confidence.
- Your participation is completely voluntary. Participating in this study will not influence your legal status, your eligibility for parole or probation, or the conditions of your confinement.

Signature:________________________________ Date:__________________________

I have read the informed consent to the study participant: __________________________

Interviewer signature

PLEASE CALL (503) 725-8722 IF YOU MOVE OR CHANGE YOUR PHONE NUMBER or if you have any questions.

April 7, 2006

Hi first name,

Yes, it's us at the Lifelong Learning Study again. I've just heard that you may be getting out of custody soon, which is exciting news! I hope the transition goes smoothly for you.

I'm writing to remind you how important you are to our study. You represent thousands of other people similar to you. We want **your voice** included when we report our results to the US Department of Education. Your story can make a difference in the lives of others through our research process.

I hope that when you get settled, you will give us a call, email, or postcard updating your contact information, including where you are staying, a good phone number, email, and address to reach you at, and any contacts who will be able to let us know where you are.

Thank you, and good luck!

Willow
PSU's Lifelong Learning Study
PO Box 751
Portland, OR 97207-0751
503-725-8723
1-800-547-8887

OREGON - SHELTERS

Astoria Rescue Mission 62 W. Bond Astoria, OR 97103 Phone: (503)325-6243	**Klamath Falls Gospel Mission** P.O. Box 87 823 Walnut Klamath Falls, OR 97601 Phone: 541- 882-4895 FAX: 541-8824264
Bay Area Rescue Mission P. O. Box 523 North Bend, OR 97459 Phone: (503)888-8808	**Medford Men's Gospel Mission** 126 W. Jackson Medford, OR 97501 Phone: 541-779-1597
Benton County Youth Shelter, Inc. P. O. Box 285 Corvallis, OR 97339 Phone: 541-754-2404	**Lane Shelter Care, Inc.** P.O. Box 23338 1790 West 11th Avenue, Suite #290 Eugene, Oregon 97402 Phone: (541)686-1262 FAX: (541)686-0359
Bon Apartments Program Lane Shelter Care, Inc. c/o Uhlhorn Program 689 West 13th Avenue Eugene, OR 97402 Phone: (541)345-4244	**Outside-In Street Light Shelter** 1236 SW Salmon Portland, OR Phone: (503)223-4121
Community Outreach, Inc. 128 SW 9th Street Corvallis, OR 97333 Phone: 541-758-3000 FAX: 541-758-3481	**Raphael House** P. O. Box 10797 Portland, OR 97210 Phone: (503)222-6507/Crisis Line: (503)222-6222
Eugene Mission 1542 W. 1st Street (1st and Chambers) Eugene, Oregon Phone: 541-344-3251	**Salvation Army Shelter** 1065 Crews Road Medford, OR 97501 Phone: 541-773-7005
Family Shelter House Lane Shelter Care, Inc. 969 Highway 99 North Eugene, OR 97402 Phone: (503)689-7156	**Stonehaven Women's Shelter Ministry** P.O. Box 20231 Keizer, OR 97307-0231 Phone: 503-390-0809(Must call first) FAX: 503-463-494
First Place Family Center 1995 Amazon Parkway Eugene, OR Phone: 541-342-7728 (8:00 a.m.-5:00 p.m.) FAX: 541-465-1731	**Women's and Children's Gospel Mission Shelter** 534 N. Bartlett Road Medford, OR 97501 Phone: 541-772-2931
Friendship Unlimited 1819 SE Ladd Street Portland, OR Phone: (503)239-0983	**Hawthorn Program** Lane Shelter Care, Inc. 2988 Oak Street Eugene, OR 97405 Phone: (541)343-4070
Gospel Rescue Mission P. O. Box 190 244 NE "E" Street Grants Pass, OR 97528 Phone: 547-476-0082 FAX: 547-479-9427	

Letterhead

18 November, 2001

Army World-Wide Locator
U.S. Army Enlisted Records
and Evaluation Center
8899 East 56th Street
Indianapolis, IN 46249-5301

To Whom It May Concern:

I am writing to request a mailing address for someone who is on active duty in the United States Army.

Name:
DOB: 3/8/80

I believe he is normally stationed at Ft. Bragg, NC, but is currently in Germany. I would like to know how to reach him by mail within the next two or three months.

I have enclosed a check for $3.50. I would appreciate it if you could send a receipt for the money with the information I requested.

Thank you very much for your assistance.

Sincerely,

Cynthia Lopez
Special Interviews Coordinator
Lifelong Learning Study

1-800-547-8887, ext. 8724
lopezc@pdx.edu

letterhead

DATE:

TO: COUNTY VITAL STATISTICS
FROM: LIFELONG LEARNING PANEL STUDY, Portland State University

RE: Inquiry of public records

Once again, we would appreciate any help that you may offer. **At your convenience**, would you please let us know if you have certificates of death for any of the persons listed below?

At this time we are unable to locate the following persons:

Name, Last	**Name, First**	**DOB**	**SSN**

We may be reached at **503-725-8724**, and our fax number is **503-725-8721**. Thank you very much for your time.

Special Interviews Coordinator

Field Visit Checklist

1. (**detective**):Print detective notes and face sheet
2. Take field visit letters and R's folder from file cabinet in case they want to do the interview then and there (**AMBUSH ONLY**)
3. (**detective**):Highlight appropriate address to visit as some addresses have already had visits or aren't appropriate to visit
4. Go to highlighted address
5. Go over history briefly by reading detective notes so you have an idea of what has been going on w/ case
6. Knock on door-
   if anyone answers:
   explain who you are and why you are there...
   - From Portland State we did an interview with (John Smith) last year interested in interviewing him again here b/c have had lots of trouble getting in touch with him over the phone
   - is he here?
     - if not, do you know where he is? do you have a current # for him? where I might find him? would the neighbors know? who did he hang out with ? do you think he's still in the area? where does he work? who is the manager/owner? What would you do to find him?
     - You can always use your evil supervisor as an excuse and say you were sent out on this mission and need to come back with some sort of helpful information.
     - Always try to leave with a lead and always leave your card and the letter- just in case by some miracle he stops by or a friend of his stops by looking for him
     - If you can’t get R’s #, try to get the # of the house/person where you are for possible future contact w/out the hassle of another field visit.

   - If R is there try to do interview on the spot or schedule a time (or just update R, CT info if no IV due for awhile-i.e. tracking visit). Make sure you make appropriate phone # or address changes on their face sheet

   - If no one answers the door before leaving a note
     - go to neighbors and use the same type of script from above
     - if no neighbors are home- leave "neighbor notes" with them and business cards
   - go back to the original house and leave a "respondent note" and business card

Please keep extensive notes on who you talk to and where (e.g. which neighbors house, who was friendly, who not etc...)

Give Cynthia extensive paper notes for those found and not found.

Enter notes into the computer for each R visited, re: results, leads, etc.

Be liberal with your cell # so that people can call you if they have a lead or suggestion of where to look for R.

Try to visit a variety of times/days in the week.

Field Visit Info Sheet

REGION______

FV assigned to: ______________________ (Date FV set_________)

R#_______________________

R name_______________________________________

Visiting: R CT___________________________ Other_________________

Relationship____

Address of Field Visit:

Other helpful clues (why FV?):

Date/Day_________(_______)Time of visit:_____

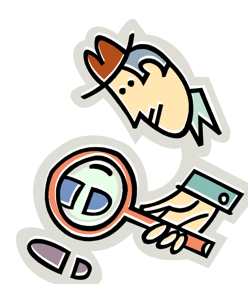
Wave 1 Interview Date_________
Tracking/ Detective / Hold /Other
Okay to schedule? yes / no
Auth code_____________

Results of field visit
Other leads
Notes:

Phone #s ____

Address ____

New contact____



We are from Portland State University and are trying to contact your neighbor ________________________. We were in touch with them last year but have had difficulty getting a hold of them recently. It would be helpful to us if you could pass this information along to them or if you know where they can be reached- please call us at 503-725-8722.

Thank you for your time.

Sincerely,
Portland State University

Somos de Portland State University y estamos tratando de contactar a tu vecino/a ________________________. Estuvimos en contacto con ellos el año pasado pero hemos tenido dificultad encontrándole recientemente. Nos ayudaría si usted pudiera darle esta información o si usted sabe donde podremos hablarle- por favor llámenos al 503-725-8722.

Gracias por su tiempo.

Sinceramente,
Portland State University

March 1st, 2006

Dear first name,

We are from Portland State University and trying to contact first name last name . First name worked on a project with us gave us your name as a contact person to help us reach her (him). We have had difficulty getting a hold of her (him) recently and we would like to interview her (him) again this year. She (he) will be paid $XX for working with us again if we can reach her (him).

It would be helpful to us if you could pass this information along to her or if you know where she can be reached- please call us at
503-725-8722. For long distance calls, please call **1-800-547-8887, extension 8722**

Thank you for your time. I've included a note to give to first name in case you see her. Thank you!

Sincerely,

The Lifelong Learning Panel Study, PSU

We recommend writing a personalized message specifically addressing the individual's concerns and motivations. Highlight the money. These samples are suggestions.

Dear_________________,

Most people who participate in the Lifelong Learning Study work a lot and have responsibilities that keep them very busy. Like everyone in our study, you have a lot going on now. You're probably considering not participating in our study this year.

We'd like to change your mind.

You are very important to our study!

Statistically, you represent not only yourself but also
1000s of people similar to you. The results we report to the
US Department of Education should include you. You
can help us understand the opportunities that
should be available to adults who want to learn
at home, in school, or on the job.

Your experiences and opinions are unique, and we can't replace you with anyone else. Please call 503-725-8722 and leave a message with a phone number where we can reach you. Your voice matters! We pay $45 for interviews now, and we can do them by telephone too!

Thanks for your time!

Lifelong Learning Panel Study

Estimado/a, ____________________________.

La mayoría de gente que participan en el Lifelong Learning Study trabajan mucho y tienen responsabilidades que los mantienen muy ocupados. Como todos en nuestro estudio, tienes mucho que esta ocurriendo ahora mismo. Probablemente estas pensando no participar en nuestro estudio este año.

Queremos cambiar tu idea.

Tú eres importante a nuestro estudio!

Estadísticamente, tu no solamente te representas, también representas a miles de personas similar a ti. Los resultados que reportamos al Departamento de Educación deben incluirte. Tus experiencias pueden ayudarnos entender las oportunidades que deben ser disponible para adultos que quieren aprender en casa, en la escuela o en el trabajo.

Tus experiencias y opiniones son únicas, y no podemos remplazarte con otra persona. Por favor llámanos para que podamos arreglar una entrevista contigo este año. No tomara mucho tiempo, solamente una hora y media, y te pagaremos $45.

Gracias por tu tiempo!

Lifelong Learning Panel Study

Por favor llámanos al 503-725-8722 y deja un mensaje con un numero de teléfono donde podremos encontrarte. Tu voz cuenta!