

March 15, 2012

NOTE TO THE  
REVIEWER OF:

OMB CLEARANCE 1220-0141  
“Cognitive and Psychological Research”

FROM:

Brandon Kopp  
Research Psychologist  
Office of Survey Methods Research

SUBJECT:

Submission of Materials for Records  
Information and Feasibility of Use Study

Please accept the enclosed materials for approval under the OMB clearance package 1220-0141 “Cognitive and Psychological Research.” In accordance with our agreement with OMB, we are submitting a brief description of the study.

The total estimated respondent burden hours for this study is 412 hours.

If there are any questions regarding this project, please contact Brandon Kopp at 202-691-7514.

## 1. Introduction and Purpose

In the Consumer Expenditure (CE) Diary Survey, respondents report on their household's expenditures by completing a diary for two weeks. BLS is interested in examining the feasibility of using respondents' financial records, such as receipts, bills, and bank and credit card statements, to collect the required expenditure data. The goal of the proposed Records Information and Feasibility of Use Study ("Feasibility Study") is to ascertain whether a financial records-based data collection could provide sufficient data for the needs of the CE.

It is currently unknown what types of records respondents save, and what records they would be willing to share with an interviewer. Additionally the type and level of information available on records is also unknown. The proposed research will examine what records respondents have and are willing to share and whether information that is available on financial records meets the detailed needs of the CE survey.

The research will address the following questions concerning the breadth and detail of the financial records data, the relevance of the data to the CE, and participant reactions associated with sharing financial records:

- Breadth and Detail of Information Contained on Financial Records
  - What is the universe of available records participants could (and would be willing to) provide?
  - Does the number of available records, or the willingness of participants to provide records, vary by potentially important variables (e.g., income level, race/ethnicity, age, size of family, education)?
  - For which CE expenditure categories are participants able to collect records for over the time period allowed for record collection?
  - What are respondents' attitudes toward collecting their records and providing them to an interviewer?
- Relevance of Information on Financial Records to CE Surveys
  - What information relevant to the completion of the CEQ and CED surveys is available on respondents' financial records, such as item-level price information?
  - What relevant information is not available on records and would thus have to be included in a follow-up interview?
- Relevance of Information on Financial Records to Other BLS Surveys
  - What information that is not relevant to the CE surveys but is relevant to other BLS data collection efforts (e.g., the Consumer Price Index, the Telephone Point-of-Purchase Survey) is available on financial records?
- Respondents' Reactions to Sharing Financial Records
  - What are respondents' reactions to being asked to share financial records?
  - What personally identifiable information (PII) is contained on financial records?

## 2. Research Design

The study design requires two visits with each household, with each visit separated by two weeks. The first visit focuses on explaining the purpose of the study, gaining informed consent and giving instructions. The second visit focuses on collecting records and debriefing

participants on their record-keeping practices and their experience with and attitudes towards the record-keeping process. The protocols for each visit are included in Attachment B.

When interviewers arrive at a participant's home each time, they will explain the study and have the participant sign a consent form (Attachment C). Interviewers will then provide detailed instructions to participants on keeping and gathering records for all expenditures incurred over the next two weeks, explaining the types of records that should be kept. The interviewer will leave a record-keeping box with the respondent. The participant will be encouraged to place receipts, bills, and statements for all expenditures in the box for the next two weeks and to encourage other household members who are ages 14 and over to do the same. An appointment will be made for a return visit two weeks after the beginning of the record-keeping period.

During the record-keeping period, the interviewer will call to remind the participant about the record-keeping and to answer any questions the participant may have about the process. The day before the return visit, the interviewer will call to remind participants of the visit and to remind them that they should have their records ready for the visit. This reminder will allow the participant time to gather records that may not have been placed in the record-keeping box.

At the second visit, the same interviewer will return to the participant's home at the scheduled time. Interviewers will use a scanning device to scan records that the participant collected. For participants who did not collect any records, interviewers will probe for reasons why records were not available or were not collected. For participants who collected records, interviewers will ask about their experience and perceived burden in gathering the records.

### **3. Participants**

NORC will use a non-probability sample of 150 participants for this research. Participants will be recruited with the goal of obtaining an even distribution across five household characteristics: household size, participant education, annual household income, participant employment status, and participant age. The study will be conducted in the Chicago area.

NORC will obtain participants through a variety of channels. Flyers (Attachment A) will be distributed through neighborhoods, public libraries, supermarkets, and shopping malls. Advertisements will also be posted online on Craigslist. In addition, NORC may work with a recruiting firm as needed to enhance recruitment efforts for participants that may be difficult to recruit, such as the elderly and those with less than a high school education.

Potential participants who answer the ads or flyers will be screened. The screening criteria will be based on the five household characteristics of interest (see Attachment A). Participants will be assigned on a first come basis. If a particular quota has been reached, for example, a sufficient number of participants over the age of 60 have been recruited, additional potential participants who are interested will be placed on a waiting list and called back should an opening occur.

Participants will receive an incentive of \$40 for participating in the study.

#### 4. Burden Hours

Approximately 150 participants will complete the study, which involves two personal visits by an interviewer and the collection of financial records for a two-week period. Table 1 displays the breakdown of burden hours expected to complete 150 cases.

**Table 1: Administration Times for the Feasibility Study**

Stage of the Study	Number of Respondents	Average Time (hours)	Total Burden (hours)
1. Estimated 380 incoming calls from potential study participants.			
Recruiting	380	.050	19.0
2. From a total of 380 potential participants calling for information about the study, 266 (70%) will complete the eligibility screener.			
Screening	266	.054	14.4
3. Of 266 participants who complete the screening process, 186 (70%) will agree to make appointments for the interviewer to conduct Visit 1 and Visit 2.			
Appointments	186	.050	9.3
4. Of the 186 participants who make appointments for Visit 1 and Visit 2, 167 (90%) will complete Visit 1.			
Visit 1	167	.417	69.6
5. Of the 167 participants who complete Visit 1, 150 (90%) will keep financial records over the two-week reporting period.			
Record-keeping	150	1	150.0
6. Of the 150 participants who complete Visit 1, 150 (100%) will complete Visit 2.			
Visit 2*	150	1	150.0
<b>Total</b>			<b>412.3 hours</b>

\* Note: As part of Visit 2, the interviewer will conduct a short debriefing and scan the financial records that the participant has collected over the two-week study period. The debriefing is expected to take approximately 30 minutes and the records scanning will take an additional 30 – 70 minutes depending on the number of collected records and efficiency of the interviewer. The participant will not be “burdened” at this time except for the fact the interviewer will still be in their home. One hour represents our best guess at the length of the average interview.

#### 5. Data Confidentiality

Due to the sensitivity of financial data, NORC considers it crucial to have high standards for maintaining the confidentiality of respondent data. NORC will protect the privacy of respondent data in the Feasibility Study and protect against disclosure of individually identifiable information by storing the collected data on secure encrypted devices, transmitting data through secure encrypted channels, controlling who can access data, and continuous monitoring and upgrading of plans and policies to meet security requirements.

NORC has experience meeting NIST 800-53 Rev. 3 moderate level controls for ten Federal Agency Certification and Accreditation (C&A) Authority to Operate (ATO) systems. Our environment meets the NIST security framework throughout its IT system. All NORC systems reside within secure facilities with controlled physical access. Systems are in a data center with boundary protection utilizing network firewalls, Intrusion Prevention System (IPS) and security monitoring using a unified situational platform. The IT environment is thoroughly documented and is managed through proven NIST Standard Operating Procedures (SOPs). NORC has completed two Certification and Accreditation (C&A) receiving Authority to Operate (ATO) with the BLS- NLS system which has also undergone audit by the Office of Inspector General (OIG) and successfully passed those requirements.

NORC office and field staff assigned to the Feasibility Study receive training on maintaining data confidentiality. All staff have completed training to become certified BLS Agents and signed NORC pledges of confidentiality. NORC conducts thorough training with field staff to ensure that they understand study protocols, including procedures for maintaining confidentiality of respondent data. Project staff will conduct monitoring to ensure that field interviewers understand and adhere to data security protocols. For the Feasibility Study, data collection will be performed on an encrypted device that meets BLS security standards. The study protocol dictates that field interviewers scan the respondent's financial records to be stored directly on the secured laptop and transmitted securely via SFTP. Field interviewers are also trained on the proper storage and handling of any paper documents that may be associated with a case.

#### **List of Attachments:**

- Attachment A: Recruiting Materials
  - Recruitment Script and Screener
  - Flyer
  - Frequently Asked Questions
- Attachment B: Interviewing Protocols
  - Visit 1 Protocol
  - Between Visit Checkup Protocol
  - Visit 2 Protocol
  - Diary
  - Showcard
- Attachment C: Consent Forms
  - Visit 1 Consent Form
  - Visit 2 Consent Form
-

## Attachment A: Recruiting Materials

### Recruitment Script and Screener

Hello. My name is [NAME] and I work for the NORC at the University of Chicago. I'm calling about your interest in the Household Spending Study. Is this a good time? Let me tell you a little bit about what we are going to do and then you can let me know if you are still interested.

NORC is conducting this study to try and improve the way information is collected for the Consumer Expenditure Survey, which is conducted several times a year by the Federal government's Bureau of Labor Statistics to gather information on the buying habits of American consumers. The results from the Consumer Expenditure Survey help set the Consumer Price Index, which tracks the current rate of inflation. NORC is conducting this study to explore whether collecting receipts and other financial records could improve the expenditure survey's accuracy and usability.

For this particular study, we will be asking respondents to collect the receipts and other financial records, such as bills, and bank and credit card statements, for everything they spend during a two-week period and share the information on those records with us. We will provide you with the materials you need to keep the records together, and you will not need to come in to any of our offices – one of our interviewers will come to meet you to give you the materials and explain how to use them. The interviewer will visit again at the end of the two-week period, to scan or make copies of the records and to ask you a few questions about your experiences as a participant. We will not take your receipts.

Your answers will always be kept private, and none of the information that we collect about you will be used for any purpose other than research. BLS will not receive your name or any other identifying information about you. Information from the records you provide will be entered into a computer file. The records data file and survey data will be stripped of all identifiers before we send it to BLS. We encourage participants to be as complete as possible in documenting their spending, but you are never required to provide any record that you would feel uncomfortable sharing. Also, your participation is completely voluntary and you may choose to skip any questions the interviewer asks or stop participating at any time.

The first visit will take about 30 minutes and the second visit about 60 minutes, for a total of 1 ½ hours, plus we estimate up to one hour will be necessary to collect and organize your financial records. You will be given \$40.00 at the end of the second interview.

Would you like to participate?

- [IF YES] Great. I am going to ask you a few background questions to confirm your eligibility. Then we can schedule an appointment time for you. → GO TO SCREENER QUESTIONS
- [IF NO] That's okay. We appreciate your call. But for research purposes, we would like to know why you choose not to participate. NOTE TO RECRUITER: IF POTENTIAL RESPONDENT DECIDES AFTER HEARING ABOUT THE STUDY THAT HE/SHE

DOES NOT WANT TO PARTICIPATE, ASK WHY NOT AND OFFER TO ANSWER QUESTIONS. RECORD THE RESPONDENT'S REASONS FOR NOT PARTICIPATING BELOW:

Thank you. Have a nice day.

### **SCREENER QUESTIONS**

INTERVIEWER: TO TRACK DEMOGRAPHICS AND CHECK ELIGIBILITY, OPEN RESPONDENT SCREENING DOCUMENT AT [\\norc.org\6935\Common\4MATERIALS\Recruiting&Screening\Respondent\\_screening.xls](\\norc.org\6935\Common\4MATERIALS\Recruiting&Screening\Respondent_screening.xls)

1. ENTER RESPONDENT GENDER. ASK IF UNSURE.
  1. MALE
  2. FEMALE
  
2. How old are you? Are you...
  1. 18-25 years old
  2. 26-60 years old, or
  3. 61 or older
  
3. What is the highest level of education you have completed?
  1. LESS THAN HIGH SCHOOL (NO HIGH SCHOOL DIPLOMA)
  2. HIGH-SCHOOL DIPLOMA, INCLUDING GED, OR SOME COLLEGE BUT NO DEGREE
  3. TWO- OR FOUR-YEAR COLLEGE DEGREE
  
4. What is your current work status? Are you...
  1. Not currently working for pay (INCLUDES RETIRED, UNEMPLOYED, HOMEMAKER, OR STUDENT STATUS)
  2. Working part-time; that is, working fewer than 35 hours per week at one or more jobs, including self-employment
  3. Working full-time; that is, 35 or more hours per week at one or more jobs, including self-employment

5. Thinking about your total annual household income, which of the following ranges does it fall into:
  1. \$30,000 or less
  2. More than \$30,000 up to \$60,000, or
  3. \$60,000 or more
  
6. How many people live in your household (including yourself)? Be sure to include all children and adults who live with you.
  1. ONE (R LIVES ALONE)
  2. TWO (R LIVES WITH ONE OTHER PERSON);
  3. THREE OR MORE
  
7. Do you own or rent the place where you live?
  1. OWN
  2. RENT

IF RESPONDENT IS ELIGIBLE

- OK, it looks like you are eligible to participate in the study. SCHEDULE APPOINTMENT

If RESPONDENT IS NOT ELIGIBLE

- I'm sorry that right now we have enough people who have similar characteristics as you. Could I put your name on the waiting list and call you if a slot opens up?
  1. YES
  2. NO



Recruitment Flyer



*at the* UNIVERSITY *of* CHICAGO

**RESPONDENTS NEEDED  
FOR A STUDY OF HOUSEHOLD SPENDING**

**NORC at the University of Chicago** is looking for adults 18 and over to participate in a study of new methods for collecting information on consumer spending.

Participants will be paid **\$40** for their participation.

NORC spending study Call 312-XXXX-XXXX spendingstudy@norc.org
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## Frequently Asked Questions

### *What is the study about?/What is the Consumer Expenditure Survey?*

**The purpose of the Household Spending Study** is to discover whether incorporating the collection of printed records into the Consumer Expenditure Survey will improve the survey's accuracy and usability.

**The Consumer Expenditure Survey (CE)** provides information on the buying habits of American consumers. The CE is used to calculate the Consumer Price Index, which in turn is used to determine the current rate of inflation and to set government policies like the levels of Social Security payments, cost-of-living increases, and income-tax brackets.

### *Who is the Bureau of Labor Statistics (BLS)?*

The Bureau of Labor Statistics of the U.S. Department of Labor is the principal Federal agency responsible for measuring labor market activity, working conditions, and price changes in the economy. Its mission is to collect, analyze, and disseminate essential economic information to support public and private decision-making. You can learn more about BLS at its website, [www.bls.gov](http://www.bls.gov).

### *Who is NORC?*

NORC is a not-for-profit social science research organization affiliated with the University of Chicago. You can learn more about NORC at its website, [www.norc.org](http://www.norc.org), or call one of the study directors, Lisa Lee at (312) 759-4284 or Micah Sjoblom at (312) 759-4028.

### *Do I have to participate?*

Participation is voluntary. You may choose whether or not you want to be in this study. If you decide to be in the study, you may refuse to answer any question you do not want to answer or to stop participating at any time.

### *How much will I be paid?*

You will be given \$40.00 after you complete the second interview.

### *How long will the study take?*

The first visit will take about 30 minutes and the second visit about 60 minutes, for a total of 1 ½ hours. We estimate that you will spend up to 1 hour in between visits collecting and organizing your financial records.

### *Why should I participate?*

By participating in this study you can help make sure that the Consumer Expenditure Survey collects the most complete and accurate data possible. This study tests an important new method of collecting information on household expenditures—by asking respondents to save records such as receipts and bank statements and to share the information on those records in place of depending heavily on asking respondents to recall their expenditures in an interview. BLS will use what it learns from this study to improve the way it conducts the Consumer Expenditure Survey.

### *What kinds of records am I being asked to share?*

We would like to obtain any financial records that show your household's spending over the two-week study period. This would include store receipts, information from your check register, bank and credit card statements, bills, and any other records that document what you spent. Some of these records may be paper documents while others may be electronic or online. We encourage participants to be as complete as possible in documenting their spending, but you are never required to provide any record that you would feel uncomfortable sharing.

***Who do I contact if I have questions about my rights as a respondent?***

If you have any questions regarding your rights as a study participant, you may call Kathleen Parks, the NORC IRB Administrator, toll free, at 866-309-0542.

***How is my privacy protected?***

The BLS, its employees, agents, and partner statistical agencies, will use the information you provide for statistical purposes only and will hold the information in confidence to the full extent permitted by law. In accordance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (Title 5 of Public Law 107-347) and other applicable Federal laws, your responses will not be disclosed in identifiable form without your informed consent. The Privacy Act notice describes the conditions under which information related to this study will be used by BLS employees and agents. I can read the Privacy Act to you if you like.

**PRIVACY ACT STATEMENT**

In accordance with the Privacy Act of 1974, as amended (5 U.S.C. 552a), you are hereby notified that this study is sponsored by the U.S. Department of Labor, Bureau of Labor Statistics (BLS), under authority of 29 U.S.C. 2. Your voluntary participation is important to the success of this study and will enable the BLS to better understand the behavioral and psychological processes of individuals, as they reflect on the accuracy of BLS information collections. The BLS, its employees, agents, and partner statistical agencies, will use the information you provide for statistical purposes only and will hold the information in confidence to the full extent permitted by law. In accordance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (Title 5 of Public Law 107-347) and other applicable Federal laws, your responses will not be disclosed in identifiable form without your informed consent.

***How will you protect the information on my receipts?***

Everyone working on this project is required by law to protect your privacy. We will scan your documents onto secure devices and use encrypted means of data transmission and data storage at all times. Only authorized staff members from NORC who are working on this project will have access to the scanned versions of your documents. All our procedures must meet strict legal standards set by federal laws regarding human subject protections (28 CFR Part 46), and confidentiality (28 CFR Part 22).

***What information will be shared with the government/with BLS?***

NORC will not provide unedited purchase receipts to the Bureau of Labor Statistics. Before we provide receipt information to the Bureau, we will remove any personally identifying information, including names, full or partial credit card information, and customer ID numbers. Information from the spending diaries will be entered into a computer file and will also be

stripped of personally identifiable information. Your name will not be associated with any of the responses you give to the survey questions

## Attachment B: Interviewing Protocols

### Visit 1 Protocol

#### MATERIALS NEEDED FOR VISIT 1

- INTERVIEWER PROTOCOL BOOKLET (THIS BOOKLET)
- CONSENT FORM (TWO COPIES)
- RECORDS STORAGE BOX (PENS/PENCILS, RECEIPT WALLETS, FILE FOLDERS)
- DIARIES (CHECK NUMBER IN HOUSEHOLD ON FACESHEET)

#### INFORMED CONSENT #1

PROVIDE RESPONDENT WITH A COPY OF THE INFORMED CONSENT FORM #1. ASK THE RESPONDENT TO READ THE FORM (OR READ IT TO HIM/HER, DEPENDING ON RESPONDENT PREFERENCE), ANSWER ANY QUESTIONS, AND HAVE THE RESPONDENT SIGN THE FORM. LEAVE A SEPARATE COPY OF THE FORM WITH THE RESPONDENT.

- SIGNED CONSENT FORM #1 COLLECTED
- COPY OF CONSENT FORM #1 GIVEN TO RESPONDENT
- RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

#### INSTRUCTIONS ON RECORD KEEPING

##### REVIEW MEMBERS OF CONSUMER UNIT

We would like you to collect spending records for the people in your household who are age 14 or older. According to my records, there are [NUMBER – LOOK AT SCREENER INFORMATION] people in your household. How many are age 14 and older? I will write their names here as a reminder that we would like to get spending records for these people.

- RECORD NUMBER OF RECORD KEEPERS IN HOUSEHOLD: \_\_\_\_\_
- FILL IN NAMES ON FILE FOLDERS, ON RECORD BOX AND IN DIARIES WITH RESPONDENT'S HELP

What is his/her relationship to you?

Person 1

1. Spouse
2. Girl/Boyfriend
3. Parent
4. In-law
5. Aunt/Uncle

What is his/her relationship to you?

Person 2

1. Spouse
2. Girl/Boyfriend
3. Parent
4. In-law
5. Aunt/Uncle

What is his/her relationship to you?

Person 3

1. Spouse
2. Girl/Boyfriend
3. Parent
4. In-law
5. Aunt/Uncle

What is his/her relationship to you?

Person 4

1. Spouse
2. Girl/Boyfriend
3. Parent
4. In-law
5. Aunt/Uncle

What is his/her relationship to you?

Person 5

1. Spouse
2. Girl/Boyfriend
3. Parent
4. In-law
5. Aunt/Uncle

6. Son/Daughter	6. Son/Daughter	6. Son/Daughter	6. Son/Daughter	6. Son/Daughter
7. Foster Child	7. Foster Child	7. Foster Child	7. Foster Child	7. Foster Child
8. Niece/Neph.	8. Niece/Neph.	8. Niece/Neph.	8. Niece/Neph.	8. Niece/Neph.
9. Grandchild	9. Grandchild	9. Grandchild	9. Grandchild	9. Grandchild
10. Cousin	10. Cousin	10. Cousin	10. Cousin	10. Cousin
11. Boarder	11. Boarder	11. Boarder	11. Boarder	11. Boarder
12. Roommate	12. Roommate	12. Roommate	12. Roommate	12. Roommate
13. Other non-related person	13. Other non-related person	13. Other non-related person	13. Other non-related person	13. Other non-related person
14. Sibling	14. Sibling	14. Sibling	14. Sibling	14. Sibling
15. Self	15. Self	15. Self	15. Self	15. Self
16. Grandparent	16. Grandparent	16. Grandparent	16. Grandparent	16. Grandparent

## OVERVIEW OF RECORDS COLLECTION TASK

There are several different kinds of records I want you to collect for the next two weeks. First, I would like you to keep receipts or other records for all purchases you and anyone else in your household makes. Here are some examples of places where you may make a purchase and should collect the record. GIVE RESPONDENT THE SHOWCARD.

- Grocery stores
- Department stores
- Restaurants
- Gas stations
- Drug stores
- Online purchases

As you can see, we would like you to keep the receipt for any purchase you make over the next two weeks.

I am also interested in other financial records that would be helpful in determining your household's spending over the two-week period. So in addition to receipts for specific purchases, please collect records such as:

- Bills—utility bills, phone bills, bills for any services you use
- Credit card statements
- Bank statements
- Automatic payments
- Online statements
- Online order confirmations

Some of your records may be online records. Please print those out and store them along with the paper receipts and records you receive. You may notice that the same purchase might show up on more than one record. For example, if you go to a store and pay for something with your credit card, you will get a store receipt. That same purchase will also show up on your credit card statement. Don't worry about giving us duplicate information. To make it easier for you, feel free to just include both records.

## RECORDS STORAGE BOX AND RECEIPT WALLETS

I am leaving this Records Storage Box with you to make it easier for you to keep track of your records. Inside the box you will see there is a separate file folder and diary for each person on your list.

We know it can be difficult to remember to put your records in the box if you do not do it right away. I encourage you and other household members to keep your receipt wallet with you as you go about your day.

Put in your receipts immediately after a purchase and then put the receipts in the box at the end of the day. Also include printed confirmations from any online purchases or payments.

I have put a separate file in the box for each family member to put their records in.

WRITE NAME ON BOX

### WHEN TO USE THE DIARY AND HOW TO USE IT

Now let me show you the diary. Sometimes you will not have a receipt for a purchase. For example, you do not get a receipt when you buy something from a vending machine. You can also use the diary if you lose a receipt. We prefer that you print a paper copy of any online purchase confirmations or automatic payments, but if you are unable to print them please enter those in the diary as well.

- TAKE OUT THE DIARIES, POINT OUT THE FOLLOWING:
- DIARY KEEPER NAME ON EACH DIARY
- REVIEW INSTRUCTION PAGE
- USE EXAMPLE DIARY PAGE TO POINT OUT EACH FIELD TO BE COMPLETED

If there is a record or receipt in which you do not want to share the details with us, please write that purchase in the diary.

### DATES OF DATA COLLECTION

I would like the household to collect records for the entire household for two weeks. You will begin collecting receipts today and continue through the end of the day on [DATE]. I will come back on [DATE] to make copies of the records and collect the diary, and to ask you a few questions.

### INSTRUCTIONS FOR OTHER HOUSEHOLD MEMBERS

Remember that we want spending records for everyone in the household who is 14 or older. It is up to you to decide whether you will collect records from everyone to put in the box and make diary entries for them or whether you will ask each person in your household do this themselves. But please note that only you, as the household respondent, would be paid.

### ANSWER RESPONDENT QUESTIONS

RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

**CONFIRM APPOINTMENT FOR SECOND VISIT**

I have in my appointment book that my second visit with you is scheduled for [DATE/TIME]. I will call to confirm this appointment with you a few days in advance.

MAKE SURE SECOND APPOINTMENT IS MARKED IN THE RESPONDENT’S DIARY

RECORD DATE AND TIME

**RETURN APPOINTMENT**

DAY \_\_\_\_\_

DATE \_\_\_\_\_/\_\_\_\_\_/2012

TIME \_\_\_\_\_:\_\_\_\_\_ AM/PM

**CONTACT INFORMATION FOR QUESTIONS**

If you have any questions over the next two weeks, please feel free to call. My number is here in the diary and also on the Records Storage Box.

**WRAP-UP**

**ANSWER RESPONDENT QUESTIONS.** I would be happy to answer any questions that you have.

**REMINDE RESPONDENT OF FOLLOW-UP APPOINTMENT.** Thank you for your help with this study.

RECORD END OF INTERVIEW #1 TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

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**Between Visit Checkup Protocol**

**FOLLOW-UP CALL TO RESPONDENT**  
**CALL RESPONDENT 3 -4 DAYS AFTER FIRST VISIT**

RECORD TIME OF CALL \_\_\_\_\_:\_\_\_\_\_ AM/PM

RECORD DATE OF CALL \_\_\_\_\_/\_\_\_\_\_/ 2012

- HAS RESPONDENT BEGUN THE RECORD-KEEPING TASK?
- DOES RESPONDENT HAVE ANY QUESTIONS?
- INTERVIEWER WILL CALL BACK NEXT WEEK WITH A REMINDER ABOUT THE SECOND APPOINTMENT.



REMIND RESPONDENTS TO ONLY USE THE DIARIES IF THEY DO NOT HAVE -RECORDS OF THEIR PURCHASES.  
ASK THEM TO CHECK ONLINE RECORDS AND EITHER PRINT OR NOTE IN THE DIARY. THIS INCLUDES ANY AUTOMATIC PAYMENTS THAT WENT THROUGH DURING THE TWO WEEKS.

### REMINDER CALL

- RECORD TIME OF CALL \_\_\_\_\_:\_\_\_\_\_ AM/PM
- RECORD DATE OF CALL \_\_\_\_\_/\_\_\_\_\_/ 2012

- NEXT APPOINTMENT IS...

DAY \_\_\_\_\_  
DATE \_\_\_\_\_/\_\_\_\_\_/2012  
TIME \_\_\_\_\_:\_\_\_\_\_ AM/PM

- ASK RESPONDENT TO PLEASE HAVE ALL HOUSEHOLD SPENDING RECORDS READY FOR THE VISIT.
  - o COLLECT RECEIPTS AND OTHER RECORDS AND PUT IN THE BOX.
  - o COMPLETE THE DIARY FOR PURCHASES WITH NO RECEIPT.
  - o PRINT OUT ANY ONLINE RECORDS.

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### Visit 2 Protocol

#### MATERIALS NEEDED FOR VISIT 2

- INTERVIEWER PROTOCOL
- CONSENT FORM #2 (TWO COPIES)
- PAYMENT RECEIPT
- \$40 CASH IN ENVELOPE
- LAPTOP AND SCANNING EQUIPMENT
- AUDIO-RECORDER

#### MATERIALS TO TAKE AWAY FROM VISIT

- SCANNED OR ELECTRONIC RECEIPTS AND STATEMENTS
- DIARIES
- SIGNED CONSENT FORM
- SIGNED PAYMENT RECEIPT

## INFORMED CONSENT

PROVIDE RESPONDENT WITH A COPY OF THE INFORMED CONSENT FORM #2. ASK THE RESPONDENT TO READ THE FORM (OR READ IT TO HIM/HER, DEPENDING ON RESPONDENT PREFERENCE), ANSWER ANY QUESTIONS, AND HAVE THE RESPONDENT SIGN THE FORM. LEAVE A SEPARATE COPY OF THE FORM WITH THE RESPONDENT.

- SIGNED CONSENT FORM #2 COLLECTED
- COPY OF CONSENT FORM GIVEN TO RESPONDENT
- RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

## REVIEW OF RECORDS

Let's take a look at the records and receipts that you gathered for today's visit.

- a. LOOK AT CONTENTS OF RECORDS STORAGE BOX, LOOK FOR EACH HOUSEHOLD MEMBER'S DIARY. ARE ALL DIARIES ACCOUNTED FOR? IF ANY DIARIES ARE MISSING, ASK → I see that NAME'S diary is missing. Do you know where that is?

ALL HOUSEHOLD MEMBERS' DIARIES ARE COLLECTED

- b. IS EACH HOUSEHOLD MEMBER'S RECORDS FILE IN THE BOX? IF ANY FILES ARE MISSING, ASK → I see that NAME's file folder is missing. Do you know where that is?

ALL HOUSEHOLD MEMBERS' RECORDS FILES COLLECTED

I will now make copies of the records and receipts you placed in the box. Before I get started, do you have any records or receipts online such as for automatic payments or confirmations of online orders that we need to collect? IF YES → You could print those online records out for me while I make copies of the records in the box.

## SCANNING PAPER DOCUMENTS

SCAN DOCUMENTS

USE THE SHOW CARD TO REMIND RESPONDENT ABOUT THE THINGS WE WANT TO COLLECT.

## RETRIEVING ELECTRONIC RECORDS

IF RESPONDENT CANNOT PRINT THE ONLINE RECORDS, HELP RESPONDENT UPLOAD ONLINE FILES TO SECURE PROJECT FTP SITE. IF THE RESPONDENT DOES NOT WISH TO UPLOAD THE FILES, HAVE RESPONDENT RECORD THE INFORMATION FROM THE ELECTRONIC RECORDS IN THE DIARY.

RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

## **RESPONDENT DEBRIEFING**

Now I would like to ask you a few questions about your experiences keeping records and receipts for this study. With your permission, I would like to audio-record our discussion. [IF RESPONDENT AGREES] → When I turn on the recorder I will ask your consent to record the interview. Please say ‘yes’ to verify I have your consent. AUDIO-RECORD THE RESPONDENT DEBRIEFING. AT THE BEGINNING OF THE RECORDING, ASK THE RESPONDENT TO CONFIRM ON TAPE THAT HE/SHE HAS CONSENTED TO THE RECORDING → I would like to confirm that I have your permission to record this interview. RESPONDENT SHOULD SAY “YES” BEFORE YOU PROCEED TO THE DEBRIEFING QUESTIONS.

RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

### RESPONDENT DEBRIEFING QUESTIONNAIRE

#### ***Burden of Keeping Records***

**QUESTION 1.** How easy or difficult was it for you to collect records for all your purchases during the two-week period?

- Very easy
- Somewhat easy
- Neither easy nor difficult
- Somewhat difficult
- Very difficult

**QUESTION 2.** How much time did you spend altogether over the past two weeks collecting and organizing records for this study?

- \_\_\_\_\_ MINUTES
- \_\_\_\_\_ HOURS
- RESPONDENT DID NOT SPEND ANY TIME COLLECTING RECORDS OR RECEIPTS

**QUESTION 3.** [IF R USED THE DIARY] How much time did you spend altogether over the past two weeks recording items in the diary?

- \_\_\_\_\_ MINUTES
- \_\_\_\_\_ HOURS
- RESPONDENT DID NOT USE DIARY

#### ***Completeness of Record-keeping***

Now I want to ask you about all the purchases you made during the last two-weeks. Think about all the purchases you made during the study period for which you have a record.

**QUESTION 4.** Of those records you obtained, do you think you were able to save...?

- Just about all → GO TO QUESTION 6
- Most
- Some
- A few
- Or just about none

**QUESTION 5.** [IF NOT “Just about all” RECORDS SAVED] Why were you not able to save all the records?

**QUESTION 6.** Were there some types of purchases that you couldn’t save records for?

- YES
- NO → GO TO QUESTION 7

**QUESTION 6A.** What kind of purchases were you not able to save records for?

**QUESTION 7.** Were there any purchases for which you could have collected a record but did not?

- YES
- NO → GO TO SKIP BEFORE QUESTION 8

**QUESTION 7A.** What kind of purchases were those?

**QUESTION 7B.** Why did you not collect a record?

**SKIP:** IF RESPONDENT REPORTS ANY PURCHASES WITH NO RECORD, THAT IS, IF QUESTION 4 IS NOT “Just about all” or QUESTION 6=YES or QUESTION 7=YES, THEN ASK QUESTION 8. OTHERWISE, GO TO QUESTION 10.

**QUESTION 8.** → Did you record all of the purchases that you did not have a record for in the diary?

- YES → GO TO QUESTION 10
- NO

**QUESTION 9.** Why were you not able to write all the purchases that did not have a record in the diary?

**QUESTION 10.** Did you receive any bank statements or credit card statements during the last two weeks? These can be paper or online.

- YES
- NO

**QUESTION 11.** Did you put those statements...?

- In the records storage box? → GO TO QUESTION 12
- In your receipt wallet? → GO TO QUESTION 12
- Somewhere else (please specify) → GO TO QUESTION 12
  
- DID NOT SAVE STATEMENTS

**QUESTION 11A.** [IF NOT SAVED] Why not?

***The Respondent's Usual Payment and Record-keeping Practices***

**QUESTION 12.** Now I want to learn about forms of payment you use when you make a purchase. Think about all the purchases you made *in the last two months*, whether in-person at a store, online, by telephone, or by mail order. Did you pay for anything with ...? [CHECK ALL THAT APPLY]

- Cash
- Credit card
- Debit card
- Electronic payment service, such as PayPal or BillPay
- Automatic withdrawals or payments
- Another form of payment (please specify). WRITE IN BOX

**QUESTION 13.** I would like to find out what you usually do with receipts, bills, bank or credit card statements, and other financial documents that you receive. When you are not participating in our study, what do you usually do with...?

a. ***Paper*** bills, receipts, and bank or credit card statements that you receive?

[CHECK ALL THAT APPLY]

- Save all or almost all of them
- Save them for purchases over a certain amount
- Save them for items you might want to return
- Do not tend to save them
- Something else (please specify)

**QUESTION 14.** Where do you save these paper records? Do you put these documents...? [CHECK ALL THAT APPLY]

- In your wallet, purse, or briefcase
- In a box or bag
- In a designated spot in your home or office
- In a file cabinet
- Somewhere else (please specify)
  
- RESPONDENT DOES NOT STORE RECORDS AT ALL

- R STORES RECORDS, BUT NOT IN A SYSTEMATIC WAY
- b. What do you usually do with ***electronic or e-mail bills***, receipts and bank or credit card statements that you receive? [CHECK ALL THAT APPLY]
- Save all or almost all of them
  - Save them for purchases over a certain amount
  - Save them for items you might want to return
  - Leave/save them in online account to refer back to
  - Do not tend to save them
  - Something else (please specify) WRITE IN BOX BELOW
- RESPONDENT DOES NOT RECEIVE ANY ELECTRONIC OR E-MAIL BILLS/RECEIPTS

**QUESTION 15.** Where do you save these electronic records? [CHECK ALL THAT APPLY]

- Print them out and store a paper copy
  - Save an electronic file on your computer
  - Leave them in the website or e-mail account to refer back to
  - Something else (please specify)
- RESPONDENT DOES NOT STORE RECORDS AT ALL
  - R STORES RECORDS, BUT NOT IN A SYSTEMATIC WAY

**QUESTION 16.** Do you keep a check register or other record of paper or electronic checks that you write?

- YES
- NO
- RESPONDENT DOES NOT WRITE CHECKS

***The Respondent's Use of the Records Storage Box and Diary***

**QUESTION 17.** When you were keeping records for this study, did you use the records storage box that was provided for you?

- YES → GO TO QUESTION 18
- NO

**QUESTION 17A.** [IF R DID NOT USE BOX] Why not?

**QUESTION 18.** Did you use the diary?

- YES → GO TO QUESTION 19
- NO

**QUESTION 18A.** [IF R DID NOT USE THE DIARY] Why not?

**QUESTION 19.** Did you use the receipt wallet that was provided for you?

- YES → GO TO QUESTION 20
- NO

**QUESTION 19A.** [IF R DID NOT USE THE WALLET] Why not?

**QUESTION 20.** How could we make it easier for you to keep records for this study?

**SKIP:** ASK THESE NEXT SET OF QUESTIONS IF THERE ARE OTHER HOUSEHOLD MEMBERS WHO ARE ELIGIBLE TO PARTICIPATE IN RECORD-KEEPING, THAT IS, THOSE AGES 14 AND OLDER. IF NOT, GO TO QUESTION 26.



***Other Household Members***

**QUESTION 21.** Did you ask other members of your household to provide records for the study?

- YES → GO TO QUESTION 22
- NO
- NO OTHER HOUSEHOLD MEMBERS IN HOUSEHOLD

**QUESTION 21A.** [IF NO] Why not?

**QUESTION 22.** Overall, how comfortable would you say other household members felt about sharing their records for this study?

- Very comfortable
- Somewhat comfortable
- Somewhat uncomfortable
- Very uncomfortable

**QUESTION 23.** Over the two weeks in which you collected records, how much effort did you put into getting other household members to collect their records?

- A great deal of effort
- Some effort
- A little effort
- No effort at all

**QUESTION 24.** Overall, how much effort do you think *other household members* put into collecting their records for the study?

- A great deal of effort
- Some effort
- A little effort
- No effort at all
- EFFORT DIFFERED BY HOUSEHOLD MEMBER (PLEASE EXPLAIN)

**QUESTION 25.** About how many of the records were you able to get from each household member?

- All or almost all their purchases
- Most of them
- Some of them
- A few of them
- Or none or almost none of their purchases
- DIFFERED BY HH MEMBER (PLEASE EXPLAIN):

***Confidentiality and Privacy Concerns***

**QUESTION 26.** We were interested in a variety of records, including receipts, bank statements, credit card statements, check registers, or any other records that would provide information on household spending. Were there any records you were not comfortable sharing with us?

- YES
- NO → GO TO QUESTION 27

**QUESTION 26A.** [IF YES] What types of records? [CODE RESPONDENT'S OPEN-ENDED ANSWER.]

- Bank statements
- Credit card statements
- Check register
- Other (please specify)

**QUESTION 26b.** Could you explain why you were not comfortable sharing some of your records?

- Confidentiality concerns
- Too personal
- Too much financial information on the documents
- Something else (please specify)

**QUESTION 27.** Is there anything else you would like to share with us about your experiences participating in this study?

RECORD TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

**WRAP-UP**

ANSWER RESPONDENT QUESTIONS

THANK YOU AND PAYMENT → I would like to offer you \$40 in appreciation for your time. I have a receipt for you to sign acknowledging this payment. Thank you for participating in this study.

- COLLECT SIGNED RECEIPT
- COMPLETE INTERVIEWER DEBRIEFING QUESTIONS WHEN YOU PREPARE SUMMARY OF CASE
- RECORD END OF INTERVIEW TIME: \_\_\_\_\_:\_\_\_\_\_ AM/PM

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**Diary**

# HOUSEHOLD SPENDING STUDY

**DIARY KEEPER'S NAME**

Your participation in the Household Spending Study helps us to improve the quality of the Consumer Expenditure Surveys, which tell us about the products and services that are bought by the people in the United States.

Please record in this diary your household's expenses and purchases **for which you have no receipt or other record** for the following period:

I will return on \_\_\_\_\_ at \_\_\_\_\_.

If you have any questions, please call:

Field Interviewer's Name:	Telephone:
Field Manager's Name:	Telephone:
Project Director's Name:	Telephone:



at the UNIVERSITY of CHICAGO

Acting as a collecting agent for the U.S. Department of Labor, Bureau of Labor Statistics.

OMB Control No: 1220-0141

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## Instructions

1. Use this diary to write down things you buy *for which you have no receipt or other record.*
2. For each purchase, please enter the following information:
  - Who made the purchase
  - When the purchase was made
  - Where the purchase was made
  - How it was paid for
  - How the purchase was made (for example—in person, mail order, online)
  - Total price paid (and whether tax was included in the price)
  - Why you don't have a receipt

3. If you buy more than one item at a time, you do not have to record the price of each item, only the total spent on the entire purchase.

Please record information for everyone in your household who is 14 years or older:

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## This is an example of how to fill out the diary page

<b>Who made this purchase?</b>		If you are keeping track of purchases for other people in your household, write in the name of the purchaser here.	<b>When was the purchase made?</b>	
<input type="checkbox"/> Me <input type="checkbox"/> Another household member: Who? <u>Lisa</u>			<u>Jan</u> <u>8</u> , 20 <u>12</u> <small>Month      day      year</small>	
<b>Where was the purchase made?</b>		Examples: drug store; vending machine; gas station; online (such as amazon.com).		
Grocery store				
<b>How did you pay for this purchase?</b>		<b>What was the total purchase price?</b>		
<input type="checkbox"/> Cash <input type="checkbox"/> Online payment service <input type="checkbox"/> Credit card <input type="checkbox"/> Other <input type="checkbox"/> Debit card              Please explain: _____ <input type="checkbox"/> Check                      _____ <input type="checkbox"/> Automatic payment		\$ <u>67 . 35</u> Does this price include tax? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>How was this purchase made?</b>		<b>Why don't you have a record for this purchase?</b>		
<input type="checkbox"/> In person with a cashier or sales clerk <input type="checkbox"/> In person at a self-checkout or vending machine <input type="checkbox"/> Online <input type="checkbox"/> Phone order <input type="checkbox"/> Mail order <input type="checkbox"/> Some other way Please describe: _____		<input type="checkbox"/> Lost or misplaced receipt <input type="checkbox"/> Left behind at place of purchase <input type="checkbox"/> None provided <input type="checkbox"/> Did not want to provide receipt for this study <input type="checkbox"/> Another reason Please explain: _____		

Enter the total price paid. You do not need to enter the amounts of any individual items – just the total amount.

Although we would like to obtain copies of all receipts you collected during the study period, we realize there may be some receipts you do not wish to share.



## Diary Entry #1

<b>Who made this purchase?</b>		<b>When was the purchase made?</b>	
<input type="checkbox"/> Me <input type="checkbox"/> Another household member: Who? _____		_____, 20____ Month      day      year	
<b>Where was the purchase made?</b>			
<b>How did you pay for this purchase?</b>		<b>What was the total purchase price?</b>	
<input type="checkbox"/> Cash <input type="checkbox"/> Online payment service <input type="checkbox"/> Credit card <input type="checkbox"/> Other <input type="checkbox"/> Debit card              Please explain: _____ <input type="checkbox"/> Check                      _____ <input type="checkbox"/> Automatic payment		\$ _____. Does this price include tax? <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>How was this purchase made?</b>		<b>Why don't you have a record for this purchase?</b>	
<input type="checkbox"/> In person with a cashier or sales clerk <input type="checkbox"/> In person at a self-checkout or vending machine <input type="checkbox"/> Online <input type="checkbox"/> Phone order <input type="checkbox"/> Mail order <input type="checkbox"/> Some other way Please describe: _____ _____		<input type="checkbox"/> Lost or misplaced receipt <input type="checkbox"/> Left behind at place of purchase <input type="checkbox"/> None provided <input type="checkbox"/> Did not want to provide receipt for this study <input type="checkbox"/> Another reason Please explain: _____ _____ _____	



## **Showcard**

### **TYPES OF PURCHASES**

- Grocery stores
- Department stores
- Restaurants
- Gas stations
- Drug stores
- Online purchases

### **TYPES OF RECORDS**

- Bills (utility, phone, etc)
- Credit card statements
- Bank statements
- Automatic payments
- Online statements
- Online order confirmations

## Attachment C: Consent Forms

### Visit 1

The Bureau of Labor Statistics (BLS) is conducting research to increase the quality of BLS surveys. This study is intended to suggest ways to improve the procedures the BLS uses to collect survey data.

NORC at the University of Chicago, a social science research organization, is conducting the Household Spending Study on behalf of BLS. As part of this study, you will collect records for everything you spend over a two-week period and share the information on those receipts with us. During today's visit, the interviewer will give you the study materials and explain their use. The interviewer will return in two weeks to scan or copy the records and to ask you a few questions about your experiences while participating in the study.

The BLS, its employees, agents, and partner statistical agencies, will use the information you provide for statistical purposes only and will hold the information in confidence to the full extent permitted by law. In accordance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (Title 5 of Public Law 107-347) and other applicable Federal laws, your responses will not be disclosed in identifiable form without your informed consent. The Privacy Act notice on the back of this form describes the conditions under which information related to this study will be used by BLS employees and agents.

During this research you will be audiotaped, or you may be observed. If you do not wish to be taped, you still may participate in this research.

We estimate it will take you an average of 2 ½ hours to participate in this research (30 minutes for today's visit, about 60 minutes for the second visit, and up to one hour in between visits to gather and organize your financial records).

If you agree to participate, at the end of the second visit you will receive \$40 as a token of appreciation for your participation in the study.

Your participation in this research project is voluntary, and you have the right to stop at any time. If you agree to participate, please sign below.

If you have any questions about the study, please ask your interviewer. You may also contact the Project Director, Micah Sjoblom, at 312-759-4028 or [sjoblom-micah@norc.org](mailto:sjoblom-micah@norc.org). If you have questions about your rights as a research participant, you may contact Kathleen Parks, the head of NORC's Institutional Review Board at 866-309-0542.

I have read and understand the statements above. I consent to participate in this study.

---

Participant's signature

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Date

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Participant's printed name

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Researcher's signature

OMB Control Number: 1220-0141

Expiration Date: 02/28/15

#### PRIVACY ACT STATEMENT

In accordance with the Privacy Act of 1974, as amended (5 U.S.C. 552a), you are hereby notified that this study is sponsored by the U.S. Department of Labor, Bureau of Labor Statistics (BLS), under authority of 29 U.S.C. 2. Your voluntary participation is important to the success of this study and will enable the BLS to better understand the behavioral and psychological processes of individuals, as they reflect on the accuracy of BLS information collections. The BLS, its employees, agents, and partner statistical agencies, will use the information you provide for statistical purposes only and will hold the information in confidence to the full extent permitted by law. In accordance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (Title 5 of Public Law 107-347) and other applicable Federal laws, your responses will not be disclosed in identifiable form without your informed consent.

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## Visit 2

The Bureau of Labor Statistics (BLS) is conducting research to increase the quality of BLS surveys. This study is intended to suggest ways to improve the procedures the BLS uses to collect survey data.

NORC at the University of Chicago, a social science research organization, is conducting the Household Spending Study on behalf of BLS. During today's visit, the interviewer will scan or copy any records you collected over the last two weeks and ask you a few questions about your experiences while participating in the study.

The BLS, its employees, agents, and partner statistical agencies, will use the information you provide for statistical purposes only and will hold the information in confidence to the full extent permitted by law. In accordance with the Confidential Information Protection and Statistical Efficiency Act of 2002 (Title 5 of Public Law 107-347) and other applicable Federal laws, your responses will not be disclosed in identifiable form without your informed consent. The Privacy Act notice on the back of this form describes the conditions under which information related to this study will be used by BLS employees and agents.

During this research you will be audiotaped, or you may be observed. If you do not wish to be taped, you still may participate in this research.

We estimate today's visit will take about 60 minutes.

If you agree to participate, at the end of today's visit you will receive \$40 as a token of appreciation for your participation in the study.

Your participation in this research project is voluntary, and you have the right to stop at any time. If you agree to participate, please sign below.

If you have any questions about the study, please ask your interviewer. You may also contact the Project Director, Micah Sjoblom, at 312-759-4028 or [sjoblom-micah@norc.org](mailto:sjoblom-micah@norc.org). If you have questions about your rights as a research participant, you may contact Kathleen Parks, the head of NORC's Institutional Review Board at 866-309-0542.

I have read and understand the statements above. I consent to participate in this study.

---

Participant's signature

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Date

---

Participant's printed name

---

Researcher's signature

OMB Control Number: 1220-0141

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