

# **Survey of Prison Inmates - Pilot Study Field Interviewer Manual**

**Project 0212322**

**June 2013**



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## Appendix A: Consent Forms



# 1. INTRODUCTION

## 1.1 Overview

As part of the overall mission, the Bureau of Justice Statistics (BJS) collects and shares information on people housed in correctional facilities in the United States. One of the many data collection efforts undertaken by BJS is a survey of jail inmates that began in 1972 and has been done every 5-6 years. Inmates housed in prisons have also been interviewed periodically since 1974 and inmates in federal prisons have been surveyed periodically since 1991. These surveys provide valuable information for policymakers, researchers, and practitioners about the inmate population. A wide range of issues such as reentry, race and class inequality, mental health, immigration, and substance abuse have been studied as a result of the data collected from the series of surveys. Policymakers use the data to set standards and develop programs and policies, while administrators compare facilities against these standards to evaluate their facility. The data gathered helps guide decision making with the goal of improving the nation's correctional systems. The most recent survey of this kind was last done in 2002. The need for updated information is great and will help inform future policy decisions.

As a result, the Survey of Prison Inmates (SPI) will be conducted again in 2014. RTI has worked with BJS to update the questionnaire and methodology used for the 2004 SPI. The current project serves as the "dress rehearsal" for the 2014 SPI.

## 1.2 Purpose of the Pilot Study

The purpose of this pilot study is to test various aspects of this study. For this reason, you are asked to carry out the study as you have been instructed in this manual and at training. It is important that you do so in order for RTI and BJS to identify procedures, etc., that could be improved upon. We ask you to follow these procedures and make note of problems encountered. At the conclusion of data collection, RTI will hold a debriefing where you can provide your feedback.

RTI and BJS are undertaking this pilot study to test the questionnaire and the methods and procedures developed for the study. We are interested in learning how long the survey is; if respondents will agree to participate or not and why; if respondents understand the questions asked and can easily provide responses; if/when break offs occur; anything we can improve upon for the main study.

A pilot study, by nature, is different than a full scale study in that interviewers are testing procedures. We ask that you have patience and forbearance working through situations

that may become frustrating, as we learn what works and what does not work. You were selected for this assignment because of your experience interviewing in prisons and jails; your proximity to the selected facilities; your pleasant, patient, and professional attitude to our previous work assignments. Your efforts will provide important feedback on how easy or difficult it is to administer the questionnaire. This will help RTI to improve the interview process for the full scale study, to be undertaken at a later (and unknown) date. We look forward to a successful pilot in advance of the main study.

**NOTE:**

You worked on the National Inmate Survey (NIS) in the past. This pilot study will be different in many ways from the work you did on NIS. Please pay attention to the differences outlined in this manual to ensure that you conduct this study according to the project's requirements. What you learned on NIS may not be what you will be required to do on this study.

## **1.3 Project Structure**

The Pilot Study is composed of several RTI staff members responsible for developing the survey instrument; obtaining IRB approvals to interview inmates; setting up the logistics of conducting data collection in a tightly-controlled institutional setting; sampling the facilities and inmates; establishing data collection procedures and supervising the data collection staff; and processing the data obtained in the interview. The roles and responsibilities of the staff members are briefly discussed below.

### **1.3.1 Logistics**

This pilot will have one Logistics Manager (LM) who is responsible for working with facilities to gain access for the interviewing team and to make the arrangements necessary to complete data collection. The LM will determine the number of rooms available, times of day and days we can work, estimate of Spanish-speaking inmates, background check requirements, attire requirements, and allowable/unallowable items. All of the plans made and information gathered by the LM will be documented in the Facility Logistics Plan and will be sent to you by your Field Supervisor (FS) in advance of data collection at the facility. The LM is also responsible for obtaining the roster of all inmates at the facility that the Sampling Team will use to draw the sample of inmates that we want to interview. Your supervisors will work with the LM. Any concerns you have about the Facility Logistics Plan will be addressed with your FS, not the Logistics Manager.

### **1.3.2 Sampling**

Prior to your visit to the facility, facility staff will have provided the LM with a list of all of the inmates housed at the facility.

A member of the Sampling Team will draw a random sample of inmates and the sample, in the form of a list of names with identifying information. This list will be referred to as the List of Sampled Inmates, or sometimes, just as the Sample. The list will be transmitted to everyone's laptop. (Transmissions will be discussed in **Chapter 8**.) However, only the On-site Supervisor (OS) will ever print out the Sample.

It is the OS's responsibility to make sure that every inmate sampled at the facility is given the opportunity to speak to an interviewer, and that it is documented in the computer and on the paperwork required for this study. Therefore the OS must make sure that every FI on the team has both the electronic and hard copy of the List of Sampled Inmates before the start of data collection at a facility. (The Sample and how it is used will be discussed in detail in **Chapter 3**. OS duties are discussed in **Chapter 10**.)

### **1.3.3 Data Processing**

The Data Processing Team is responsible for transmitting the list of sampled inmates to be interviewed to each interviewer, including the OS, before data collection starts at the next upcoming facility. This team also maintains the project management website that your supervisors and other project managers use to monitor daily production at each facility.

### **1.3.4 Data Collection Team**

As a professional Field Interviewer (FI) you are a member of the Data Collection Team. Obviously, your responsibility is to interview the inmates in facilities. You will be part of a team, composed of 9 interviewers including an On-Site Supervisor (OS). For the pilot, RTI will employ a team of NIS-experienced interviewers to complete 80 interviews at each of six facilities in no more than 3 days per facility. Using NIS experienced FIs allows the pilot study to focus on questionnaire administration and not focus on other issues related to conducting a survey with incarcerated respondents. The pilot study can only be accomplished by a professional efficient team of FIs working well together to accomplish the task. We feel that we have assembled the right combination of skill and experience for the interviewing team. Your responsibilities as an integral member of the Data Collection Team will be discussed in greater detail throughout the remainder of this manual.

## **1.4 Project Schedule**

The tentative schedule for the pilot study data collection is outlined below.

July 2013— Pilot Study training

July – August 2013— Pilot Study data collection

## 1.5 Abbreviations

Below is a list of abbreviations used throughout this manual and in other project materials.

BJS	Bureau of Justice Statistics
BOP	Bureau of Prisons (federally-controlled facilities)
CAPI	computer-assisted personal interview
CMS	case management system
CO	correctional officer
DCTL	Data Collection Task Leader
D.R/I	distressed respondent/incident report
ER	Expense Report
FI	Field Interviewer
FLP	Final Logistics Plan
FS	Field Supervisor
FTSG	Field Technical Support Group (Tech Support)
ICE	Immigration and Customs Enforcement
IRB	Institutional Review Board
LM	Logistics Manager
LP	Logistics Plan
OS	On-Site Supervisor
PT&E	Production, Time, and Expense Report
RS	Regional Supervisor
RTI	RTI International
SPI	Survey of Prison Inmates
SPI-PS	Survey of Prison Inmates - Pilot Study

Additionally, the criminal justice system uses words that are not commonly used in everyday language. Or sometimes, our understanding of a word is not accurate. Below is a brief glossary of terms used in the criminal justice system.

**Prison** – A facility where inmates are under the authority of the state; generally speaking, inmates are held for one year or more.

**Federal Prison** – A facility where inmates who have committed federal crimes are housed. Federal prisons are under the jurisdiction of the Bureau of Prisons and are sometimes referred to on this project as “BOPs.”

**Jail** – a facility where inmates are under the authority of local jurisdictions; generally speaking, inmates are held for less than one year. The pilot will not include any jails.

**Arraignment** – the formal process of reading charges against a person. This is when the person is expected to make a plea (generally of “guilty” or “not guilty”).

**Work release** – A program which allows inmates to leave the facility to work, returning to the facility after his/her shift is over for the day.

## 1.6 Important Project Contact Information

**Exhibit 1-1** provides a list of important phone numbers and e-mail addresses that you may need while you are on the project.

To contact Technical Support (tech support), please follow the steps outlined after the table below.

**Exhibit 1-1. Contact Information**

Field Supervisors			
Name	Region	Phone Number	E-mail Address
Mary Zavotsky	100	855-322-2030	spimzav1@spi.rti.org
Other Project Staff			
Ellen Causey	Data Collection Task Leader	(800) 334-8571, ext 26306	<a href="mailto:ellen@rti.org">ellen@rti.org</a>
Rachel Caspar	Project Director	(800) 334-8571, ext 26376	caspar@rti.org
Chris Krebs	Co-Principal Investigator	(800) 334-8571, ext 25714	<a href="mailto:krebs@rti.org">krebs@rti.org</a>
Your Team:			
First Name	Last Name	Phone Number	E-mail Address

### **1.6.1 Technical Support PAGER: 1-877-821-5647**

If you have a technical problem, you should always call your FS first. She can answer procedural questions or resolve routine problems. Your FS may also be aware of other FIs having the same problem and may have already been notified of the solution by Technical Support. Even if your FS refers you directly to Technical Support, your FS needs to be aware that you are having a problem and are unable to work.

If your FS is unable to help you, Technical Support can be reached during regular business hours from 8:30 AM to 5 PM Eastern Time Monday through Friday by dialing a pager at (877) 821-5647. Be sure to enter a phone number (including area code and room number, if applicable) using your phone's key pad. No voice messages are saved on the pager.

Be sure to press the # key after you enter your numeric page. Otherwise, the page will not be sent.

If you are calling between 5 PM and 10 PM on a weekday or 10 AM and 10 PM on a weekend AND you have an emergency OR if you were told to call during this time, you can reach Technical Support via the same pager—(877) 821-5647 (be sure to leave call-back number—including hotel room number, if applicable). On weeknights (5 PM–10 PM) and weekends (10 AM–10 PM), technical staff should be contacted only for emergency situations. An emergency includes any technical problem you encounter while interviewing in a facility or if you are unable to work. Problems with e-mail capability are not considered an emergency.

When you speak to Technical Support, identify yourself as an FI on the SPI-PS, give your name, Headway ID (from your badge), and your supervisor's name. You may also have to provide the ID number of the laptop. This is the number printed on barcode label on the laptop. Be sure to answer tech support's questions calmly and patiently. This could help quickly diagnose the problem.

Be prepared to say which application was involved (or what you were doing—in an interview, transmitting, entering an event, etc.)

Take note of any error messages you saw and try to write them down so you can explain the message.

Describe what happened right before the problem happened and what steps you may have taken already.

Please note that you can never call your FS or tech support from a phone within a facility. This is true if you are having a technical issue. Instead, you will report the problem to your OS, who will report to your FS as soon as possible. Since FIs cannot come and go as they please when working at a facility, it is likely that the report will not be made until after the



team has left the facility for the day. Not calling from within the facility is a project requirement in order to avoid confidentiality breaches and must be followed at all times.

If your email is working, you can send an email to tech support at [fieldsupport@rti.org](mailto:fieldsupport@rti.org). Again, this cannot be sent from within the facility. Emails are only to be written, queued, or sent when you are NOT in a facility.

Please note that you will create your own password to use at the first screen, the PointSec screen, for the encryption software. If you forget your PointSec password, you will have to contact Tech Support to reset it. NOTE: Tech support **cannot** reset your PointSec password after regular hours or over the weekend. They cannot access the computer system needed to reset your password after hours or over the weekend. So if you forget your PointSec password, you will have to wait until the next weekday business day, during regular hours, to resolve this problem.

## **1.7 Field Interviewer Job Description**

During the staffing process, you were provided with two job descriptions. One covered the standard duties required of all FIs who accept Headway positions. The second job description detailed most of the duties expected of you while working on this study. You were asked to sign and return a copy of this document to your supervisor prior to attending training.

A copy of each of the job descriptions you received are provided in **Exhibits 1-2** and **1-3** for your ease in reference.

Please note that this assignment is not a typical household survey assignment. Your performance will not be rated heavily on your response rate, which is something you may have encountered on other surveys. Instead, your performance is rated more on how well you follow the rules established by RTI and the facilities and how well you work with a team of fellow interviewers. RTI expects you to handle yourself as a professional and treat each sample member and team member with respect.

There can be no coercion or aggressive convincing to participate. As a result, RTI expects that there will be times when you will have a larger than normal number of refusals. This is OK, as long as it is not a pattern that occurs week after week. It is more important to the overall success of this project that you work well in a prison environment with a group of other interviewers.

## 1.8 Professional Ethics and Respondents' Rights

Ethics can be broadly defined as a set of moral values or principles of conduct governing an individual or a group. Organizations must show their clients, employees and the public, a prevailing sense of integrity, honesty, and responsibility in all aspects of work.

All survey research conducted by RTI is based on the highest ethical standards. In addition to meeting or exceeding performance expectations, all field interviewers are expected to maintain the same professional ethics as all RTI researchers. These standards are taken very seriously since RTI's professional reputation depends upon all employees making the commitment to ethical standards a high priority.

As part of the professional ethics of conducting field surveys, all RTI personnel must protect the rights of survey respondents. These rights include:

- The right of informed consent refers to the legal requirement that respondents be given complete and accurate information so that they can make an informed decision about their participation in the survey.
- To ensure that all RTI studies meet the legal and ethical requirements of informed consent, all projects involving human subjects must be approved by our Committee for the Protection of Human Subjects, which serves as RTI's Institutional Review Board (IRB) under Federal regulations. This board looks very closely at the written introduction to the study to be sure that the respondents are being properly informed.
- The right to refuse refers to an individual's right to decline to participate in the study or to refuse to answer individual questions once an interview has begun.
- The right of privacy is guaranteed by the federal **Privacy Act of 1974**. This Act prohibits the release of data gathered by or for a federal agency without the written consent of the respondent. Fines and penalties apply to individuals or organizations that violate this law. You can explain this to a respondent when trying to gain his or her trust.
- The right to accurate representation requires honesty in dealing with respondents and answering their questions about the survey. For example, you cannot tell the respondent that an interview will take only a few minutes if you know it will last about an hour.

Because ethics and informed consent are such important aspects of field interviewing, all RTI survey research staff, including you, are required to read, understand, and apply to your work the principles of professional ethics of conducting research with human subjects. You have all completed either an on-line or hard copy training on IRB issues. RTI ensured that each of you was compliant with because you will be working with a special population,

inmates, who require that we take extra steps to protect their rights as human research subjects. We will review this later in this manual.

All staff involved in the collection, processing, and analysis of the survey data must be continually aware of the important responsibility to safeguard the rights of survey participants. Since interviewers are in direct contact with these respondents, you must demonstrate high ethical standards in **all** project contacts.

## **Exhibit 1-2. General Field Interviewer Job Description**

### **General**

#### **Position Description:**

The Field Interviewer (FI) conducts field work for survey research projects conducted by RTI International (RTI). FIs prepare for and conduct data collection operations according to project protocols. FIs ensure that field data collection activities are carried out in an efficient and cost effective manner, that the data collected are of the highest possible quality, and that all activities are conducted in a professional manner following established procedures.

#### **Qualifications:**

- Available for entire training and data collection period.
- Able to successfully complete training.
- Have reliable personal automobile available for business use.
- Must be willing to work evenings and weekends on a weekly and regular basis.
- Able to keep project information confidential.

#### **Major Requirements:**

- Successful experience with field interviewing activities.
- Demonstrate the ability to work with supervisor and complete assignments on schedule.
- Use maps to locate sample units.
- Obtain cooperation of survey respondents by effectively answering questions and addressing concerns.
- Conduct personal interviews following prescribed protocols.
- Accurately complete all project documents including electronic survey instruments, and all reporting forms.
- Adhere strictly to project deadlines for completing interviews, reporting progress, and returning materials and equipment.
- Maintain accurate, up-to-date records of progress in the field.
- Submit timely and accurate reports.
- Maintain a professional, cooperative relationship with your supervisor and other project staff, objectively sharing your thoughts while displaying an understanding of project management's concerns.
- Be receptive—not defensive—when given feedback from project personnel about your performance, striving to learn and improve.
- Keep supervisor informed of problem areas that might affect progress.

## **Exhibit 1-3. SPI-PS Field Interviewer Job Description**

### **SPI - PS Field Interviewer Job Description**

#### **PROJECT 0212322 Survey of Prison Inmates – Pilot Study)**

#### **The Field Interviewer (FI) for SPI - PS will be responsible for:**

- In-person interviewing of selected inmates in correctional facilities; this includes one on one contact with inmates in a private setting.
- Proper administration of a computer-assisted personal interview (CAPI) and paper and pencil interviewing (PAPI) in which you read the questions out loud and enter responses into the computer, for approximately 75 minutes in length, to selected individuals for the data collection period.

#### **TRAINING REQUIREMENTS:**

- Read and successfully complete the on-line RTI-supplied Human Subjects Tutorial prior to arriving at training (if needed).
- Complete the on-line Introduction to Field Interviewing prior to arriving at training, if required.
- Attend and successfully complete a paid out of town FI project training session scheduled to last 5 days. Additionally, participate in on-the-job training with a mentor or FS, as needed.
- Participate in any state-or facility-level training or orientation required by a facility prior to beginning data collection.
- Participate in on-the-job training with supervisor, as needed.

#### **REQUIREMENTS FOR INTERVIEWING ACTIVITY:**

- Based on facilities and inmates' availability, able to work up to 40 hours per week on weeks when facilities are scheduled for data collection.
- Available and willing to work day time as well as evening and weekend hours as required by your specific assignments.
- Able to adhere to the rules of the correctional facilities while conducting interviews.
- Maintain confidentiality of all survey data, including the names of facilities in which you collect data.
- Perform field work according to expectations defined in the general FI Job Description (Major Requirements).
- Able to be personable, responsive, and interactive when conducting interviewing activities and able to work with a diverse population.
- Ability to work well as a member of a team, being respectful of other team members, facility staff, and inmates.
- Available for field observations by a member of the project management staff, including staff from the Bureau of Justice Statistics.
- Prompt, reliable, and accurate reporting to both On-site Supervisor (OS) and FS.

### **SPI - PS Field Interviewer Job Description (continued)**

- Able to arrive on time and at the right location each day you work in a facility.
- Able to arrive on time for all team meetings, prepared to submit neatly completed paperwork.
- Able to follow the instructions of your on-site supervisor and your FS.
- Adapt and be flexible when plans have to change.
- Have the ability to transmit data via a land line phone, Internet access through a Broadband or wireless connection.
- Have an automobile or access to one, that you use for this work assignment.
- Available for overnight travel for a week at a time if remote facilities are involved in the assignment area.
- Assume full and legal responsibility for use and care of laptop computer (and possibly portable printer), taking reasonable and appropriate steps to safeguard them against damage, loss, or theft, and returning all equipment at the conclusion of this assignment or at the request of your supervisor.
- Willing to submit to and pass a criminal background check by correctional facilities and state correctional agencies.
- Able to carry a laptop computer and supplies, including up and down flights of stairs.
- Able to work as a team and follow OS instructions, as well as work independently.
- Professional attitude and ability to deal with facility staff in a professional manner.
- Able to keep an organized work space, ensuring that no supplies or paperwork are lost or misplaced.
- Submit accurate expense reports in a timely manner.
- Ability to use a laptop computer to enter data, move from screen to screen, send and receive email, connect laptop to phone line or Internet for transmissions.
- Ability to read out loud from a computer screen and from paper documents, in a clear and understandable voice and at an appropriate pace.

I have read and understood the requirements for this position.

Please check the box to acknowledge you understand the SPI-PS assignment.

Please type or sign your name here: \_\_\_\_\_

TODAY'S DATE: \_\_\_\_\_

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## **2. YOUR ASSIGNMENT**

### **2.1 You are Part of a Team**

This chapter is designed to give you an overview of your assignment. Because the interview will be conducted within the confines of the correctional facility, it presents special challenges to you as a FI that you might not normally encounter while conducting an interview in a respondent's home (or a public place). The goal of this chapter is to provide you with an overview of the data collection protocol and to address some issues specific to working inside correctional facilities.

RTI and Headway encourage working as a team member, team participation, and working toward a collective or team goal. If you have interviewed previously on household-based projects for Headway, you basically worked independently. You could structure your work plans, goals, and production individually, and you could incorporate your personal needs and other activities into those plans.

Headway is introducing more projects to the field where teamwork is a necessary component to success. They are staffing more studies where a group of FIs enter a school setting, interview patients within hospitals, or conduct interviews with inmates within prison facilities. These opportunities are relatively new, and a true teamwork mind set must be considered when staffing these projects.

The project provides you with an opportunity to display your teamwork skills and to develop ways of working within a team structure. Working well as a part of a cohesive unit is an absolute must. You will be required to arrive at a given area as a group, stay within the same lodging facility with the other members of your team, and interview respondents as a member of a team. This study requires that you support your team to the fullest. The only way the team can survive is when every member brings their best to the group and all work together to accomplish what has been assigned and prescheduled.

The first step of organizing a great team began when your FS staffed your team. She chose persons whom she thought would work well together. You were hired and are reading this material because your supervisor is confident that you will be a great member of her team and will bring great success to the study.

Headway and RTI have numerous acronyms for their studies, forms used within the studies and other processes. You are invited to use TEAM—Together Everyone Accomplishes More—for the team spirit you will need to incorporate into your endeavors.

### **2.2 Correctional Facilities**

The pilot study is designed to visit 6 facilities in a short period of time. You will interview in 4 state prisons and 2 federal (BOP) prisons. The size of the team will be determined by the

number of interviewing rooms available at the facility. As a result, there *may* be weeks when the facility does not have enough interviewing spaces available to send the entire team, *possibly* resulting in weeks or partial weeks, where there is no work for you. It is very likely that 2 facilities are scheduled one, after the other, so you may need to work 2 facilities in a week. Your FS and RTI will work together to ensure that the facility is fully staffed and balance the workload, as best as they can.

In the pilot study, RTI will select approximately 80 inmates from each facility. So for the entire pilot study, only 480 respondents will be sampled. In the pilot study, RTI will schedule 3 days to complete the work. We will not ask to extend data collection beyond a third day or to extend the hours on a given day. For purposes of the pilot, we will complete as many interviews as we can in three days, within the hours presented in the Logistics Plan. If we are not able to speak to and interview all 80 respondents on the List of Sampled Inmates, RTI and BJS will understand. Remember this is a pilot study. So one of the things we test is how long does it take to complete a typical interview in a real world setting. Interviewers will not be “in trouble” if the team is not able to complete their assignment at a facility.

During the initial facility recruitment phase, the LM documented the arrangements that were made with each facility in which you will work. These arrangements included human subjects protection procedures, such as protecting the privacy of the interview and support for inmates who may become distressed. These logistics arrangements are documented in a facility-specific Logistics Plan, which you will receive prior to working at the facility. You are expected to follow the logistics plan closely.

In the sections that follow, we discuss some of the procedures to be used while conducting interviews in correctional facilities.

### **2.2.1 Facility-Specific Requirements**

Each correctional facility has its own set of rules and regulations for collecting data at the facility. Just because a certain item or procedure is allowed at one facility doesn't mean that it will be allowed at every facility. Some facilities will require that each interviewer working in the facility attend orientation training before being allowed to work, typically the day before we start data collection, within that correctional facility. Any such training will be conducted separately from the RTI project training and at the discretion of the correctional agency. Typically, the goal of such training is simply to briefly familiarize the interviewer with the facility, the staff, and the security policies and procedures so that the interviewer can work more freely during the course of the data collection period (i.e., to minimize the need for supervision by prison staff). The orientation is not intended to be a full tour of the facility. The Logistics Manager has attempted to communicate the purpose of the initial orientation meeting to the facility.



For the most part, any facility-specific requirements will have been discussed and documented prior to the data collection team's arrival at the facility. The LM has collected information from each facility pertaining to security access, interview space, dress codes, timing of interviews, and other requirements on the Facility Logistics Plan. Your FS or OS will send you the Facility Logistics Plan and brief you on any site-specific requirements prior to your first day at the facility, at the pre-data collection team meeting, typically held the evening before the first day of data collection at the facility.

At training, you will go over a logistics plan in more detail. For now, please be aware of the types of information found in a logistics plan and what you will need to know to work in a facility. You need to have carefully read and understand AT LEAST, these sections of the logistics plan in order to get an idea of how data collection will be carried out at the facility:

- Address of Facility
- Scheduling and Room Availability
- Facility Access Requirements
- Mental Health Provider Information
- Required Study Items, including any dress code requirements
- Entry and Check-in: Parking, Door to enter, check-in time and process, items for check-in
- Policies Regarding Personal Items

Note that the facility receives a copy of the same plan that you receive. Therefore, some of the information on the plan is not really applicable to you.

NOTE: In previous years, interviewers were permitted to use ink pens in the facility. However, there was a misunderstanding between the logistics team and the data collection team. As a result, **no pens will be used in facilities**. Only pencils will be used in facilities. This will be documented on the Logistics Plan.

Understand that despite our best efforts to collect the necessary facility-specific information ahead of time, you may occasionally encounter a staff member who is unfamiliar with the study and/or who questions your credentials. Or you may find upon arriving at the facility that some of the policies or procedures may have recently changed. If this happens, remember to remain calm and courteous. You should demonstrate a great deal of flexibility while working at any correctional facility and do your best to abide by the requirements of the facility, without making comments about the circumstances.

You should report any deviations in policies or procedures as outlined in the logistics plan to your OS and let him discuss it with the facility or your FS if needed. Your role and the role of your OS and FS are discussed in **Chapter 10**.

Also, please remember that correctional facility staff has a number of other duties to perform and may not be able to drop everything to attend to your needs. Always be friendly and patient while interacting with others at the correctional facility—remember that your success at the site depends largely upon the staff and their willingness to accommodate you!

### **2.2.2 Attire**

Your style of dress and the way you carry yourself while conducting interviews at correctional facilities is a direct reflection of RTI. Nearly all facilities have dress codes that prohibit the wearing of blue jeans, t-shirts, shorts, miniskirts, open-toed or high-heeled shoes, and tight fitting or revealing clothing (some facilities define v-neck or sleeveless shirts as too revealing). Facilities require that visitors dress modestly, ensuring that the midriff (your waistline), your lower back, and your bust are covered whether you are seated, standing, or bending. No clothing should be so tight fitting that there are gaps between buttons or above or below a zipper, etc. Please limit the body piercing jewelry to 1-2 pairs of earrings. Tattoos must be covered at all times.

As a rule of thumb, it is best to dress in a business casual style. For women, this is defined as a skirt (knee length or longer, when permitted) or slacks and blouse or shirt. For men, this is khakis or something similar (not jeans or shorts) and a shirt with a collar. Polo shirts are fine. Shoes should be oxfords, loafers, or other rubber soled shoes. Sandals, flip flops, and athletic shoes don't make the grade.

You should not wear flashy jewelry. You should also dress in layers as temperatures can change greatly while you work. Be aware that you may not be allowed to wear certain clothing if it looks similar to what inmates wear at that facility.

General guidelines are described in **Exhibit 2-1**.

Dress code requirements are almost always described in the logistics plan and must be followed, without exception. Failure to follow the dress code may endanger you, stop all data collection activities at the facility for the day, and may result in immediate disciplinary action. If you have questions about the dress code at a particular facility, do not hesitate to contact your FS for clarification.

Always remember to wear your RTI identification badge at all times while working in the field. Only your first name will be printed on this badge. Depending on the requirements of the facility, you may also be required to wear one of their identification badges. You may

**Exhibit 2-1. General Guidelines for Dress When Working in Prisons**

**WOMEN:**

Acceptable Attire	Unacceptable Attire
<ul style="list-style-type: none"> <li>• Corduroy, chino/dockers style pants or slacks</li> <li>• Dress pants, cut in a tailored fit, but not too tight or too low to reveal underwear or thongs and not cut too low to reveal tattoos.</li> </ul>	<ul style="list-style-type: none"> <li>• Cargo pants, sweat pants, yoga pants, stretch pants, lounge pants, leggings (unless worn under a skirt of appropriate length)</li> <li>• Shorts, Bermuda shorts, skorts, capris, pedal pushers</li> <li>• Blue jeans or other colored denim jeans</li> <li>• Beach wear or cover ups.</li> </ul>
<ul style="list-style-type: none"> <li>• Skirts and/or dresses. Length determined by facility, but in general must be below the knee.</li> <li>• Sleeveless dresses are fine, unless the facility states otherwise. Bring a sweater or jacket in case the facility is cold.</li> </ul>	<ul style="list-style-type: none"> <li>• Sports or workout clothing (jerseys or pants, warm up pants, jackets, sweatshirts, including hoodies, or jogging suits)</li> <li>• Mini skirts</li> <li>• Some facilities do not want long, flowing skirts</li> </ul>
<ul style="list-style-type: none"> <li>• Buttoned blouses</li> <li>• Business dress shirts or t-shirts (no logos)</li> <li>• Sleeveless tops are fine, unless the facility states otherwise. Bring a sweater or jacket in case the facility is cold.</li> </ul>	<ul style="list-style-type: none"> <li>• No tank tops, belly shirts, tube tops midriff exposing tops</li> <li>• No tight-fitting ANYTHING!</li> <li>• Clothing that reveals ANY cleavage</li> </ul>
	<ul style="list-style-type: none"> <li>• No visible undergarments: bra or camisole straps, underwear, thongs</li> </ul>
	<ul style="list-style-type: none"> <li>• Hats, Baseball caps, bandanas, or casual head wear, i.e. wraps or scarves, unless worn for religious purposes.</li> </ul>
	<ul style="list-style-type: none"> <li>• All tattoos must be covered at all times—when walking, sitting, bending over, etc.</li> </ul>

**MEN:**

Acceptable Attire	Unacceptable Attire
<ul style="list-style-type: none"> <li>• Corduroy, chino/dockers style pants or slacks</li> <li>• Dress pants, cut in a tailored fit.</li> </ul>	<ul style="list-style-type: none"> <li>• Sweat pants</li> <li>• Shorts, Bermuda shorts,</li> <li>• Blue jeans or other colored denim jeans</li> </ul>
<ul style="list-style-type: none"> <li>• Business dress shirts or t-shirts (no logos). Preferably with a collar.</li> </ul>	<ul style="list-style-type: none"> <li>• Hats, Baseball caps, bandanas, or casual head wear, i.e. wraps.</li> </ul>

need to turn over your project ID badge or driver's license when you check in and wear one of their badges. If this happens, please remember to return the facility badge at the end of the day and to retrieve your identification. Please do not leave your project ID badge or driver's license at a facility.

### **2.2.3 Demeanor**

Throughout your interactions with both staff and inmates at correctional facilities, always keep in mind that you are a professional doing a very important job. As a professional, you are expected to have a great deal of knowledge about the survey you are conducting, including its purpose, the type of sample that was drawn, the interviewing process, etc. You must be knowledgeable about what you are doing and why it is being done, and you must be prepared to answer any questions that a staff member or respondent may have. It is so important that you understand how to answer staff or respondent questions. As a professional interviewer, you must always maintain the highest of ethical standards, collecting data with complete objectivity and treating with the utmost confidentiality and respect all information gathered or observed during an interview.

When you are working within the facility, there are some precautions you must follow when discussing issues or problems with your OS or other team members. You need to be careful to make any report in a place where no facility staff can overhear you. If you need to speak to your OS or another FI about a personal issue or confidential situation, it is best to wait until you are out of the facility and in a private location to discuss it. The car on the way back to the hotel is a good place to talk, as is a hotel room. However, hotel lobbies, parking lots, and restaurants are places where conversations can be overheard. Thus, do not discuss issues in public areas outside of the facility.

You should never discuss other facilities with staff. They may be curious where else we have done SPI-PS and how data collection went other facilities. They may even be aware that other facilities have hosted SPI-PS teams. They do talk to one another.

You cannot talk to staff about facilities visited or how data collection went. This is a breach of confidentiality and is not a professional way to behave. Instead, you should listen and politely respond that because of confidentiality requirements, you cannot talk about other facilities visited in the past or in the future.

In addition to having only appropriate interactions with staff and inmates, you are expected to treat your fellow interviewers with respect at all times. Act professionally at all times, even with your own teammates. Please treat your team mates as you would like to be treated.

## 2.2.4 Do's and Don'ts at Correctional Facilities

As previously stated, either your FS or OS will brief you on all the details of your assignment at each of the facilities. She will provide you with a copy of the Logistics Plan that includes all the information that has been collected by RTI staff about the facility, its staff, and operations. In addition to these guidelines, you should keep in mind that while establishing a comfortable rapport with each respondent is critical to gaining their cooperation and completing the interview, this is where the relationship ends. Occasionally, an inmate may attempt to establish an inappropriate personal relationship with you. Responding to those overtures and establishing a relationship outside of your professional duties are unacceptable and are grounds for possible termination of your employment and exclusion from working on future studies.

You have probably heard stories about people who have fallen in love with inmates who they believe are innocent. If at any time, a respondent tries to strike up a personal conversation during the course of the interview, politely remind him/her of the task at hand and try to redirect the respondent's attention to the questions that you are asking him/her as part of the interview. Interviewers cannot become personally involved with any inmate as a result of this project.

Inmates can sometimes be manipulative. Do not get wrapped up in his/her personal situation, and do not discuss your personal life with the respondent. Your emotions must be left at the door. You also are prohibited from undertaking any kind of religious activity, such as praying together, discussing religious beliefs or passing out religious pamphlets. Remember that you are an interviewer (not a case manager, clergy, or social worker) and your job is to complete as many interviews as possible.

At training you will learn about how to distinguish situations where you legally, ethically, and morally have an obligation to act on concerns you may have for the inmate's well-being, and you will also learn how to distinguish situations where you should not become involved (and may actually do more harm than good by doing so).

Below is a list of do's and don'ts to keep in mind while working at correctional facilities:

### *Do's*

- Follow all sign-in and/or gate pass procedures to the letter and without complaint.
- Allow extra time to check in and go through the security screening.
- Leave your cell phone and other valuables locked in your car out of sight. Bring only what you need from the computer bag—the laptop, power cord, this manual, and laptop bag. Leave the phone cord and any other equipment at home (or the hotel, if you are traveling).
- Be aware that some facilities have rules about what you can leave visible in your car (e.g. jackets, spare clothing). If in doubt, lock it in your trunk!

- Follow all requirements for the dress code.
- Bring in only items from the allowable list. (No cigarettes, tobacco, gum, cell phones)
- Show your RTI ID badge, your driver's license, and any other required form of identification to personnel at the gate or front desk.
- Check in, as a group, with the facility contact person upon arriving at the correctional facility (if this is part of the facility's agreed-upon procedures). The OS will be the main point of contact with the facility. So please let the OS make the initial contact upon arrival.
- Make sure that you have a facility staff member with you when you travel from building to building, if that is a requirement of that facility.
- Remain calm, courteous, professional, and flexible in all dealings with facility staff and inmates.
- Demonstrate a thorough understanding of the project and survey—answer all questions.
- Attend all scheduled orientation trainings and follow all facility policies and procedures.
- Keep all scheduled interview appointments with inmates and do your best to establish a comfortable rapport.
- Politely thank the inmate for his/her participation.
- Inform facility staff when an inmate is ready to return to the housing unit if that is a requirement of the facility.
- Before leaving for the day, be sure to politely thank the facility staff.
- Be sure to sign out and/or return your gate pass and collect any personal items (keys, wallet, etc.) from personnel at the gate/front desk.
- Remember that other occurrences within the facility may necessitate you to stop interviewing for a period of time that was not anticipated. In these situations, follow the instructions from facility staff.
- Safeguard confidentiality of the inmate and materials at all times.
- Keep up-to-date and complete records on your List of Sampled Inmates, your FI Daily Report, and in the case management system (CMS). Double checks on all case codes should be done every night.
- Wait to have any conversations about the facility or data collection with the team until you are in a private setting where nobody can overhear the conversation.
- Take your concerns to your OS, not facility staff. Your OS is the project contact person with the facility and the one point of contact for the interviewing team.
- Be on time for all agreed upon start and end times while working, for team meetings, for deadlines to submit your daily production, and for your FS calls.
- If you must wait on teammates to finish up their last interviews of the day, use this time you are waiting to make sure your codes are updated in the CMS, on the FI Daily Report, and on the List of Sampled Inmates. Never complain about having to

wait for another interviewer to finish up. (Someday you might be the last one to finish!)

- Follow all instructions on the logistics plan, especially as it relates to allowed food items, dress codes, and contraband items.
- Act like you are a guest in someone's home and be considerate of your host!
- Keep a positive attitude. You are doing an important job!

### *Don'ts*

- Do not interview anyone that you know personally. If you run into that situation, inform your OS so that someone else may take the case.
- Do not refer to correctional staff as guards (to many, this is regarded as a derogatory term). The preferred term is correctional officer (CO).
- Do not discuss anything that happened during an interview with any member of the project staff where it may be overheard by an inmate, a CO, or anyone else not affiliated with the study.
- Do not discuss refusal rates or participation rates at the facility. Many facilities will be curious to know "how they are doing." We cannot discuss this with the staff because if you tell the staff one thing and after the data is analyzed, the results are different, our reputation is questioned. RTI's researchers may code some cases differently once they conduct their analysis. Thus, the final response rate or refusal rate may be different. It is best to just explain that the various codes are stored on all the various FI laptops and it is difficult to calculate the percentages because of this. If you are uncertain what to say, it is best to explain to the staff person that you do not have all of the information.
- Do not complain about the OS or any of the other interviewers to facility staff. Complaints should be handled through the project chain of command.
- A few facilities have had gift shops, or vegetable stands, etc., that sell items made or grown by inmates. Do not purchase anything there. Other than lunch or soda/water, you should not purchase anything at a facility.
- Do **not** bring prohibited items into the facility. For example, some facilities have regulations about what types of drinks are allowed in the facility (e.g., water must be in a bottle that still has an unbroken seal).
- Many facilities may allow you to bring reading materials (check the Facility Logistics Plan to be sure). For security reasons, please do not bring hardback books or eReaders. Also, please be cognizant of the appearance of any reading materials – magazines like Cosmopolitan which feature cover models with plunging necklines and tout articles like "How to drive your man wild with passion" are not appropriate to bring to the facility! NOTE: Because interviewers will be reading all questions out loud to respondents, it is possible that there will be little "down time" for personal reading, etc.
- Do not bring makeup, including lipstick, lip gloss, lip balms or chap sticks, into facility.
- Do not bring any sort of sharp object into the facility (e.g., metal nail file, Swiss Army knife, paring knife to prepare your lunch, needles or scissors etc.).

- Guns and any ammunition are NEVER permitted on facility grounds, even if they are locked in your car. Facilities sometimes conduct random searches of vehicles.
- Cameras or other video or audio recording equipment are NEVER permitted on facility grounds. (If your cell phone has these capabilities, the phone needs to remain in your vehicle, out of sight. The camera/audio component of a cell phone is not to be used on facility grounds.)
- Many facilities have rules about what you may or may not have visible in the passenger compartment of your car. For example, some facilities prohibit you from having spare clothing or cigarettes visible in your car.
- Do **not** bring the following items into the facility:
  - chewing gum,
  - glass bottles,
  - cigarettes,
  - cell phones or any other personal electronic device, including eReaders,
  - religious pamphlets/literature.
- Do not smoke when on facility grounds. You cannot bring cigarettes into the facility and you may not be allowed having them visible in your car. However, at some facilities, the facility staff are allowed to smoke. Even if the staff member offers to let you smoke in a facility or on the grounds, you will politely decline. We all want to do everything we can to remain in good standing with the facilities. **RTI's policy is no smoking on facility grounds.**
- Use discretion when you speak with facility staff. Any personal conversations should be kept to a minimum. This includes discussions about your own personal information, or issues or problems that are internal to your team, to the project, or to RTI.
- Do not send, post, upload any information, including names of facilities or photos, etc., related to this project on any of your personal websites, including any on-line social networking sites. This includes Facebook, Twitter, YouTube, etc.
- Be careful about discussing your personal opinions about the study's topic with staff. Seemingly harmless comments (such as, "I feel bad for the inmates.") can unintentionally come across as either anti- or pro-inmate. This can cause the facility to think that we are biasing the data.

In short, remember that you are RTI's representative in the facility. Any future data collection at the facilities depends upon this round happening without major difficulties at the facilities.

### **2.3 The Role of the On-Site Supervisor**

In the facility, the On-Site Supervisor (OS) is responsible for making sure the flow of inmates is going smoothly, and gathering administrative data from the facility, as well as conducting interviews with inmates in certain situations, as described in **Chapter 3**.

The OS also serves as the point of contact with the facility staff. If you experience any problems at the facility, you should notify the OS and allow her to work with facility staff to



resolve the problem. The OS is the main point of contact with the facility. Should you encounter a problem in the facility, politely tell the staff person with whom you are talking that you are unsure about this and need to discuss it with your OS.

The OS is also the main point of contact with the FS and project staff at RTI and is in charge of the team while working in the facility.

The FS handles all issues outside the facility –not the OS. At a minimum, if you have problems with the items listed below, contact your FS. Do not ask the OS about the following:

- Hotel arrangements
- Travel arrangements
- Workload and assignments, including time off requests)
- EPTE questions and problems
- Expense report questions and problems
- Travel advance questions and problems

The OS has a great deal of responsibility, and the responsibilities do not end when the team leaves the facility for the day. The OS is also in charge of making sure that all inmates seen that day have a code assigned to them in the computer system and on all the right forms. The OS maintains the Master List of Sampled Inmates to track the status of every sampled inmate.

You can make the OS's job easier by accurately reporting on the inmates you have dealt with (e.g., interviews, refusals, break-offs) on the FI Daily Report, by keeping your result codes up to date in the case management system (CMS), by reporting this information at the end-of-the-day debriefing meeting (or sooner if the OS has time), and by helping out when asked.

Your FI Daily Report should be complete, legible, and accurate when you submit it to your OS. Also, whenever possible, you should give your completed FI Daily Report to your OS as you are waiting for other team members, at the close of the day at the facility or at the team meeting at the end of the day. When this is not possible, please submit your completed FI Daily Report to your OS BEFORE you go your separate ways for the evening or at least before you go to dinner. This way, the OS is not waiting until all hours of the night for everyone's reports. And he doesn't have to track you down to get your form from you. He can get a good night's sleep and be better prepared to handle the next day's challenges.

More information about the OS's role can be found in **Chapter 10**.

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### 3. PREPARING TO INTERVIEW

This chapter discusses the importance of ensuring that you have a suitable interview setting, getting inmates to the interview room, obtaining consent, and dealing with special situations that may occur while you are interviewing.

#### **NIS Vets:**

If you worked as an interviewer on the NIS, please read this chapter carefully. There are some procedures that are handled differently on SPI-PS than on the NIS, especially when it comes to interview setting and privacy.

#### 3.1 The Interview Setting

The Logistics Plan that your OS or FS will give you will indicate what space is available for you to use to conduct interviews. Typically, these areas will consist of either private office spaces or windowed meeting rooms located near a security desk through which an officer can observe the interview. It is preferable to arrange the interview setting so that when you seat the inmate, you are situated perpendicular to the window. In other words, sit so that your shoulders point at the window/door and so that the side of the laptop is visible. You will want to sit across from one another whenever possible, not next to one another. You will also want to place yourself so that you are closest to the door.

**NIS Vets:** On the NIS you had to set up the laptop so that the computer screen could not be observed through a window. This is NOT a requirement on this pilot study. There is no need to protect the screen or obscure any questions that are on the screen.

If you are using a desk, do not permit the inmate to sit on the side of the desk with access to the desk drawers unless that is the only location where the inmate can sit.

Upon arriving at the facility, your facility contact person will show the on-site supervisor (in centralized interview setting) or possibly you (if this is a decentralized interview setting), the specific spaces to use. You should quickly ascertain if this location meets RTI's privacy

and safety standards described below. If the location does not meet our required standards, report this to your OS before you speak to an inmate.

Also be aware that the space set aside for team members to use may be changed from day to day, and may even change during the day. Flexibility is key on this work assignment. Therefore, if your OS and the facility contact have not already discussed where interviews are to take place on a particular day, the OS should check in with your facility contact person each time that the team arrives at the facility to conduct interviews.

### **3.1.1 Centralized vs. Decentralized Interview Settings**

The interviewing space setting will vary from facility to facility. The logistics managers determine this in the planning stages, whenever possible.

Some facilities have provided us with a number of interviewing rooms all within the same building (e.g., multiple offices in the administration building or multiple classrooms in the education wing). This setting is referred to as a **centralized facility**. In other facilities, we will be provided interviewing rooms in a number of different buildings throughout the facility (e.g., one room in each of the inmate housing units). This setting is referred to as a **decentralized facility**. The designation is made by the logistics manager and is entered into the logistics plan under "Location/Layout of rooms."

It is not uncommon for the interviewing spaces to be a mix of both. This "hybrid" is usually described as a couple of rooms on different floors of the same building, or as a mixture of a few offices or classrooms, as well as a large room with several interviewing stations. The exact mixture depends on the facility's layout and availability of the interview rooms. For hybrid situations, the logistics plan will list the facility as decentralized. The OS will determine the best way to manage the flow of inmates in the different types of facilities. This is described in greater detail in **Chapter 10**.

In a **centralized** setting, the OS is responsible for making sure that all of the sampled inmates on the list of sampled inmates are called. By "called" this means that the OS tells the officer that next name(s) on the List of Sampled Inmates to be brought to the interviewing area. It does not mean that you or the OS calls the inmate on an internal phone. It does not mean that the facility calls out over a PA system, with one exception. It is possible that the facility will announce that an inmate is to come to an area. As long as the facility does not say the purpose, it is OK.

The OS will work with facility staff to bring inmates to the centralized area and direct inmates to the next available interviewer. There may be a waiting area for inmates to sit prior to being assigned to an FI. The OS's primary responsibility is to make sure that each sampled inmate has been called, in the order in which they are listed within the Housing Unit, and to direct inmates to the next available FI. If circumstances allow, he may interview inmates but only if he has ensured that all other FIs have an inmate to interview.

In centralized settings, the FI will be responsible for assigning result codes (on the List of Sampled Inmates, in the computer, and on the FI Daily Report) for any inmate who comes to his/her interviewing room. Documenting on the List of Sampled Inmates, the FI Daily Report, and in the Case Management System (CMS) is described later in this manual.

In the centralized settings, if the inmate does not come into an interviewer’s room/area, the FI will not assign a code. Instead, the OS will be responsible for assigning the appropriate codes to sampled inmates who do not speak to an interviewer. The OS is responsible for assigning codes for these inmates because he is the only team member who would have known this information in a centralized setting. He knows this from his interactions with facility staff when requesting to speak with each sampled inmate. For example, the OS would enter status codes for inmates who are not available, transferred, released, or refuse to come to the interviewing area. For these cases, the OS will write down all of the pending codes throughout the day; but will enter the last code of the day into the computer.

The following table explains who coded the various situations in a **centralized setting**:

Situation	Who Assigns the Code
Inmate brought to interviewing room (either complete, break-off, or refusal)	FI
Inmate refuses to come to interviewing room	OS
Inmate no longer at facility	OS
Inmate not available that day but may be available later during data collection	OS
Inmate never available during data collection period	OS

In a **decentralized** setting, an FI is responsible for all of the sampled inmates within the housing unit to which the OS has assigned that FI (e.g., if you are assigned to work in Dorm A, all of the inmates sampled from Dorm A are your responsibility).

The FI will work from the List of Sampled Inmate to ask the facility staff for the next inmate from the housing unit to be brought to the interviewing area. The FI will be responsible for assigning all result codes for the inmates in the assigned unit. The FI will report progress to the OS.

In a decentralized setting, the OS will work in one of the housing units and all of the inmates in that unit are his responsibility. The OS will have no idea how production went in the other units until the team reconvenes at the end of the day (unless there is a problem and you must report it to your OS sooner.). So it is imperative that you can handle working a unit, by calling inmates in roster order and assigning all codes to each case in the housing unit.

At the end of each work day, each FI must provide the OS with the list of sampled inmates for the housing unit worked that day, documenting codes on the List of Sampled Inmates, the FI Daily Report, and in the CMS on the laptop. The OS will determine if the FI will return to the same housing unit the next day to finish up or if she will move to a different housing unit.

After careful review of the list of sampled inmates and FI Daily Reports, the OS will also determine if an inmate has moved from one housing unit to another and inform the FIs involved of any such moves. This will ensure that all sampled inmates are called prior to the end of data collection at the facility.

The following table explains who coded the various situations in a **decentralized setting**:

Situation	Who Assigns the Code
Inmate brought to interviewing room (either complete, break-off, or refusal)	FI
Inmate refuses to come to interviewing room	FI
Inmate no longer at facility	FI
Inmate not available that day but may be available later during data collection	FI
Inmate never available during data collection period	FI

Note that if you finish a housing unit before the end of the day, then you will ask to be escorted (if you have to be escorted) to the OS’s location and speak with him, when he is available. (You never interrupt an interview while it is being conducted.) He will let you know if there are other units that need to be worked. At no time are you to leave the facility when your housing unit is complete. Instead, you will need to stay at the facility and leave as a group when your other teammates have finished for the day.

### 3.2 Requirements for Privacy

Regardless of the type of facility (centralized vs. decentralized), reasonable steps must be taken to provide privacy during the interview.

**NIS VETS:** Please note that the privacy requirements for this study are NOT as strict as they were on the NIS. You will notice that interview situations do not have to be as private as they were for the NIS. The questions asked in the SPI-PS interview are not considered as personal and sensitive as the questions asked on the NIS. Therefore, the privacy requirements will be different on SPI-PS.

In determining if an interviewing location is suitable, two issues must be kept in mind: privacy and potential for distraction. Most of the questions in SPI-PS are not considered to be sensitive so there is less need for extreme privacy arrangements. However, the interview is long so you will need to keep in mind that the opportunity for distraction should be minimized.

Ideally, the location would be totally private with no one in the room other than the inmate and interviewer. This allows the inmate to feel comfortable in answering questions candidly and to feel less tempted to pay attention to anything else going on in the room. Ideally, any COs would be out of the room although it is necessary to have a line of sight established so they can observe activities in the room. For SPI-PS, it is permissible to leave the door to the interviewing room open as long as other people cannot overhear the interview.

We realize that this ideal is not always available. Here are some other acceptable settings:

- In centralized locations, it is acceptable to conduct more than one interview in the same room at the same time. We will not be using cardboard dividers or fans to provide additional privacy. Inmates should be placed a reasonable distance apart in such a way that it would be difficult to overhear another interview. Besides insuring privacy, the added benefit is that the farther apart inmates sit from each other, the less temptation there is to interact and distract each other during the interview.
- In large areas, it is acceptable to have prison staff in the same room. Once again, they should be far enough away that conversations between inmates and interviewers should not be overheard. It is permissible for prison staff to be in a position that they can see the interviewer's screen.
- If facility staff is too close and causing discomfort for the inmate, then you can pause the interview until staff moves on. If the problem persists, you should ask the inmate if they are OK to continue. At the end of the interview, notify your OS of the interruptions and see if the OS can make different arrangements. Remember that your OS is the main point of contact with the facility, so it is important that you discuss any issues with the OS.
- It is not necessary to block windows with paper or worry about overhead cameras in relation to the laptop screen location.

While SPI-PS requirements are not as strict as you may be used to for NIS, you still need to make sure that the setting is suitable. For example, setting up an interviewing station in the middle of a busy hallway would not be acceptable, not only because it is not private but also because the inmate would surely be distracted every time someone walked past. If you feel that the setting is not acceptable, let your OS know. The OS should tactfully

discuss the specific problem with the space with the facility contact person. He should be prepared to offer suggestions of acceptable locations or set ups such as office space, a conference room, etc.

If adequate privacy cannot be secured, do not do the interview. However, in general, if privacy is disrupted briefly by someone quickly opening the door and looking into the room or walking by, stop reading questions until the person is gone and a private setting is re-established. Then the interview may be resumed.

If staff insists on being in the room or having the door open, the interview can be conducted. However if you feel that a staff member is encroaching on an inmate's privacy, you can explain that privacy is needed for the inmate to finish the interview as quickly as possible. If the inmate wishes to stop, then stop the interview. Be sure to speak to the OS right away so that steps can be taken to improve the interview setting.

Doors into the interview space ideally should be closed, but they can be left open if need be. Do not get angry or frustrated with staff, as they have rules too. Usually a compromise can be worked out between the facility and the OS.

The key elements of acceptable arrangements are listed below.

- A private setting is preferable, with no facility staff present in the interview room.
- Facility staff, however, must be able to observe the interview room, preferably from outside the interview room. But if they are present in the room, speak softly or pause if they are passing closely.
- Facility staff may be able to hear what is going on.
- Facility staff can see the computer screen.
- The room must have an outlet so you can plug in the computer to administer the CAPI interview. No interview should be conducted using only battery power.
- There must be minimal visual privacy. The inmate should not be able to be easily seen by other inmates while completing the survey.
- Privacy barriers, such as science fair boards, newsprint over large windows, etc. are not needed.
- The inmate should never touch the laptop. The FI retains possession of the laptop at all times.
- Interviewers will always read questions and responses (when appropriate) aloud and enter the respondent's answers. Allowing the respondent to complete any portion of the interview by him/herself is grounds for disciplinary action.



### **3.2.1 If Privacy Cannot Be Established**

If you believe that the setting provided by the facility is not private enough for the respondent to answer truthfully and no acceptable alternative setting is available, speak to your OS. If he cannot resolve the problem, he will sign out of the facility, go to his car, and call the FS. The FS will call the Data Collection Task Leader, who will arrange for a call with the facility contact (or designee) and attempt to resolve the situation.

You should not get in your car and drive back home or the hotel until instructed to do so by your FS. This may take a little while but be patient; time and mileage costs while traveling to the interview site are some of the largest costs of running a field data collection effort. Given that, it is worth the effort of the entire field team to work together with the facility to resolve any problems while the interviewer is still in close enough proximity to conduct the interview upon resolution of the problem.

### **3.2.2 If Privacy Cannot Be Maintained**

If you establish a private setting but then cannot maintain it, you will need to decide if this interruption is temporary and just pause until privacy is re-established. If it is not temporary, is the level of privacy still within the requirements of this study? If it is, then you can continue with the interview. If privacy cannot be established, you may have to break off the interview. Perhaps the interview is being conducted in a common area that had been empty at the start of the interview but is now filling up with people. Explain to the respondent that study procedures require that you maintain a private setting and that you need to talk to your OS and the facility contact. If your OS cannot find the facility contact or if the facility contact does not present an alternative interview setting where privacy can be maintained, follow the same procedures as mentioned above. Again, do not drive home or back to the hotel until instructed to by your supervisor—allow the OS and the project team time to resolve the situation.

Any interviews that are break offs cannot be resumed later. All break offs are final.

## **3.3 The List of Sampled Inmates**

Once interview room logistics are worked out, the process of bringing inmates to the interviewing area can begin. How will interviewers know which inmates were selected to participate in the study? RTI works with the facility to create the List of Sampled Inmates BEFORE you arrive at a facility. The logistics managers obtain a complete list of inmates housed at the facility. The statisticians select some of the names off that original list, which becomes the List of Sampled Inmates. The programmers then upload the list so that each interviewer can transmit their laptops to pick up the list. The process of selecting respondents occurs the week before the team is scheduled to work at the facility. Then, the

OS is responsible for providing each interviewer the hard copy version of the List of Sampled Inmates. Interviewers will NEVER print off their own copy of the list.

Please note that all copies of this list of sampled inmates must be safeguarded by all interviewers at all times as it contains personal information.

The names on the list have been placed in a specific order. We try to order the list by housing unit. For this reason, you should always call the inmates in the order on which they appear on the list. If, for some reason, the facility does not want to follow the list order, then we prefer that the facility reorder by housing unit and that we still request/call inmates in the order in which they are listed, within the housing unit. (So, for example, the facility may not want to interview in Housing Unit A first, which is listed first on the List of Sampled Inmates. Instead they want to interview in Housing Unit E first. Then the team can start in Housing Unit E, but the inmates must be called in the order they appear in Housing Unit E.) If the facility decides to do something other than the procedure described here, then the OS should contact the FS before proceeding. The OS should not always acquiesce and do what the facility demands. **Exhibit 3-1** shows an example List of Sampled Inmates.

### Exhibit 3-1 List of Sampled Inmates – All –Subjects

**Sample - All Subjects Facility ID: PTX999**

	<b>Inmate ID</b>	<b>Inmate Name</b>	<b>DOB</b>	<b>Adult</b>	<b>Prisoner ID</b>	<b>Housing Unit</b>	<b>HU 2</b>	<b>Case Status / Notes</b>
1	39870076	YOUNG, NEIL R	8/13/1966	Y	0721058	H01	Wing A	
2	39870019	ROBINSON, DAVID J	6/29/1984	Y	0720990	H01	Wing A	
3	39870027	MARLOWE, JERRY G	8/25/1994	N	0721108	H01	Wing C	
4	39870050	JAMES, ERIC	5/13/1969	Y	0721015	H01	Wing B	
5	39870068	NAVA, JASON R	1/18/1972	Y	0720749	H01	Wing B	
6	39870100	DOWELL, STEVE M	3/18/1972	Y	0721134	H02	Wing B	
7	39870142	OSWALT, JOHN M	6/30/1957	Y	0720385	H02	Wing A	
8	39870167	MANILDI, ELLIS	1/26/1989	Y	0713452	H03	Wing E	
9	39870183	FRANCIS, MARK	4/1/1973	Y	0712000	H03	Wing E	
10	39870035	CORBETT, DANNY J	7/7/1984	Y	0721018	H01	Wing C	

Wednesday, June 26, 2013

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## Column Headings on the List of Sampled Inmates:

**Facility ID.** The Facility ID is a six-digit means to identify a facility. The first letter indicates if it is a Prison (P), or Federal (F) facility. The second two letters indicate the state; the last three digits indicate a sequence number in that state. One of the first screens in each computer interview asks you to enter the Facility ID. So it is important to know the Facility Code or ID for the facility in which you are working. You will enter it every time you conduct an interview. The Facility ID is found at the top of the List of Sampled Inmates.

**Inmate ID.** This is the number that you will enter into the computer when you register the case. The ID numbers will have a check digit—if you do not enter the number correctly in the computer, you will see a pop-up box that asks you to re-enter the number.

**Inmate Name.** If you have any doubt that you have the correct inmate, compare the name on your list of sampled inmates with the name on the inmate's ID badge.

**DOB.** This is the inmate's date of birth. You will use this **ONLY** to determine if you have the correct inmate. It is possible that the facility did not provide this information and it may be missing or incorrect on the list of sampled inmates. This information is helpful when you have a popular name and need to confirm that you have the *right person*. For example, it is possible that two people with the same name are in the facility (David Smith, Jose Hernandez, etc.)

**Adult.** This column indicates if the inmate is 12-17 years old. The form will display a "Y" for Yes, meaning this person is an adult. Or the column will display a "N" for No, meaning this person is not an adult. If the inmate is marked as N, you will need to read final paragraph of the consent form as presented in the consent booklet, which concerns reporting requirements if they disclose abuse. Otherwise, if the column is filled with a "Y," you do not read the additional paragraph. See **Sections 3.6** and **3.7**.

**Prisoner ID.** This is the ID number that the **facility** uses for the inmate. Do not use this ID to register the case. The inmate ID is used only to verify an inmate in case you have more than one with the same name. Some inmates may not have an Inmate ID listed on the List of Sampled Inmates you receive. It is possible that they just arrived at the facility and have not been assigned an Inmate ID. Your OS will verify this with the facility, if necessary.

**HU (housing unit).** This information is needed when asking for inmates to be brought down to the interviewing area. This information may need to be given to the officers who are escorting inmates. Also, it is helpful to have this information so that the OS in centralized settings or you in decentralized settings, can be certain that all inmates from one housing unit have been called before moving to another housing unit. Some inmates may not have a Housing Unit indicated on the list you receive. It is also possible that they may have been moved at the facility and may be in a different unit than is listed. As long as you can verify that this is the correct inmate, you should still try to interview the person. This is not likely to happen at prisons. Your OS will work with the facility to resolve any confusion over housing units. So if you encounter problems with this when working in a decentralized setting, please tell your OS.

**HU2.** Sometimes facilities will break housing unit information into subunits (e.g., a bed number within a housing unit or a wing within a housing unit). If we have this information from the facility, we will provide it on the List of Sampled Inmates in this column.

**Case Status/Notes.** As you work through the List of Sampled Inmates, you will write down on the form, the Case ID you generated on the computer for each Inmate you are responsible for tracking, the event codes for each inmate you are responsible for tracking (Remember, you need to write down a code for each inmate you speak to in centralized settings and you need to write down a code for each inmate in your assigned housing until when working in decentralize settings). You may also keep notes on the List of Sampled Inmates, such as "working until 3 PM" to keep track of information that the CO has told you. Please do not write anything on the list that would provide information that the CO does not already have. For example, do not write down "refused" or "complete". You should enter the code for completed rather than writing "Completed" on the document. Then if the CO sees the document, he/she will not be able to tell if the inmate participated or not.

When you receive your List of Sampled Inmates, please write your first name or your initials on every page of your copy. You will turn in your List each evening and will get it back the next morning. The OS should write "Master Copy" on his/her list.

A word of caution: the List of Sampled Inmates may have errors, typos, or wrong information on them. The information contained on the list is only as good as what we receive from the facility. So, while it is important that the OS report significant errors found on the list, the team can expect to find occasional errors on the list.

### **3.4 Eligibility**

The logistics managers work with each facility to obtain a full list of the inmates housed at the facility on the MONDAY before the team is scheduled to begin data collection at the facility. For the pilot study, this means the sample was drawn 24 hours before you started data collection. This will give RTI a fairly accurate list of the inmates.

Before we generate the List of Sampled Inmates, we make every attempt to remove ineligible inmates. However, we do not always receive complete information from facilities when they send us their roster of inmates. Because of this, it is important you understand which inmates are NOT eligible to participate in the study.

The following types of inmates are ineligible for the study and should not be interviewed:

1. Inmates who have been released or transferred from the facility prior to the start of data collection.
2. Inmates who are physically unable to take the survey (e.g., deaf). Blind respondents are still eligible.
3. Inmates who are permanently mentally unable to understand the informed consent process and the survey.
4. Inmates who are under the age of 12 years old.

All other inmates will be considered eligible for the study. Below are some examples of inmates who will be eligible, even if the facility refuses to allow your team to interview them:

1. Inmates who are on death row.
2. Inmates who are on a civil commitment.
3. Inmates on work release. (NOTE to NIS Vets: For this study, the work release status does not matter. All inmates who have work release (supervised or unsupervised) are eligible to participate in this study.)
4. Inmates who are dangerous, in disciplinary segregation, medical segregation, in protective custody, or in a special housing unit.
5. Inmates who were released or transferred from the facility after the first day of data collection even if the inmate was not yet called by an interviewer.
6. Inmates sampled at multiple facilities during the data collection period. (This is not likely for the pilot study.)
7. Inmates held by another facility during the week of data collection but are on the sampled facility's roster (e.g., inmates held at a different hospital facility for medical treatment or inmates held at a courthouse holding area during trial).
8. Inmates not under the jurisdiction of the sampled correctional facility, even though they are housed there (e.g., inmates under custody of the U.S. Marshals, ICE/INS inmates housed at a non-ICE/INS facility).
9. Inmates who are 12 – 17 years old, but the facility requires parental consent to interview them.

### **3.5 Getting Inmates to the Interview Room**

Now that you understand how you know who will be brought to the interviewing area, this section discusses how inmates will be brought to you in the designated interviewing room. We have used the term to "call" the inmates. What we mean is that when the OS or an interviewer ask a facility staff person to have the next inmate on the List of Sampled Inmates brought to them. By "calling" we do NOT mean that you will call them on the phone or speak to them over a phone.

The manner in which inmates are brought to the interviewing area varies from facility to facility. It may even differ day to day within the facility. Simply put, procedures differ at different facilities. Procedures may even differ within a single facility. In lower-security facilities, inmates may be escorted by other facility staff such as case workers or sent to your interview room without an escort. In other facilities, officers may escort every inmate in cuffs or shackles. The staff will follow their procedures and you may have to wait awhile between inmates. Or you may be overrun with inmates. Being prepared for whatever

happens by knowing how to handle the situation will make data collection as smooth as possible.

Some facilities may want housing units to be worked in a certain order. Usually this is worked out ahead of time with the logistics manager. If the facility wants to change the order that the housing units are called, this is permissible. But, within a given housing unit, you should call the inmates in the order that they appear on the list.

In addition, even if you find out that an inmate is going to be released soon, you should not move that person up in calling order on the List of Sampled Inmates (however, once you have already called someone who is not available, they can be recalled out of order).

### **3.5.1 Building Rapport and Trust with the Staff who Escort the Inmates**

RTI worked very hard during its last prison data collection (NIS) to make a good impression with facilities. Because we are returning to some of the same facilities, we are hopeful that any goodwill established from the NIS will help SPI-PS be successful.

We expect that you will continue that strong tradition of building goodwill on your SPI-PS assignment. Every interviewer will have to work with facility staff. Staff may be great to work with and make your time in their facility very pleasant. Other times, staff sees you as an additional burden to their already stressful job. They sometimes come across as irritable towards you. You should not take their reaction to your visit personally, just as you would not take the angry reaction of a respondent in a household survey personally. Instead, you should be calm, flexible, and genuinely pleasant with all facility staff. And if you find cannot handle yourself professionally, then don't say anything to the staff and report the issue to your OS in a private setting away from the facility.

In order to reduce staff frustration with our presence in their facility, we have tried to minimize what we ask officers and staff to do. Simply put, their job is just to escort or send sampled inmates to the interviewer. They do not need to explain the study to sampled inmates. In fact, we prefer that they let you, the interviewer, do that. Their job is just to escort or send sampled inmates to the interviewer, in the order and pace we would like. The logistics managers have tried to impress upon the staff that all they need to say to inmates is something like: "Please come with me. There is a lady here who wants to talk to you about a study."

Potential participants will be brought to the interview room where you will explain the study and all respondent rights. COs may have questions of their own about the study. The unsigned consent form may be shown to the COs. It is also acceptable to share with them any information available on the FAQ (see **Exhibit 3-2**). However, they are not project staff and any confidential project information (e.g., other facilities we are visiting) should not be shared with them. Also, no one should talk about how data collection was handled or the

## Exhibit 3-2. Frequently Asked Questions

### **What is this study about?**

The Bureau of Justice Statistics and RTI International are conducting the Survey of Prison Inmates Pilot Study, which is designed to help us understand more about the experiences of inmates in the nation's correctional facilities. Questions will ask about your background and experience leading up to this incarceration, your experience here, and what plans do you have once you leave here.

### **How did I get picked?**

We randomly picked inmates in the facility to participate in the interview. Random means that each inmate in this facility had a chance of being selected. It is like if you filled a bag with marbles, shook up the bag, and then started picking the marbles out of the bag. You might pick any marble in the bag. You are one of 480 people selected to help us by answering the questions in the survey

### **How was this facility chosen?**

Facilities all over the country (state and federal prisons) were randomly selected to participate in the study.

### **Who do you work for?**

I am collecting data for RTI International, a nonprofit research company. I am not connected to this facility in any way.

### **What does the interview involve?**

First I will ask some questions about your background and experience leading up to this incarceration, your experience here, and what plans do you have once you leave here.

### **Who will see my answers?**

Your name will not appear anywhere in the interview. Researchers will see your answers but will not know who gave those answers. Your answers will be combined with everyone else answers, so no one will know how you answered. No one from the correctional facility will ever know what your answers were.

### **What if I do not want to answer a question?**

Participation is voluntary. You may refuse to participate. If you do decide to participate, you may refuse to answer any question that you do not want to answer.



way the team was treated at any other previously visited facility. This is not professional and not the way you should handle yourself as an interviewer on this project. You might be surprised to learn that the staffers at these facilities talk to one another and a disparaging comment could be shared with that facility, even if the name of the facility is not revealed.

Please note that at no time should you or any team member bring a token of appreciation to the facility as a way to build rapport with staff. As nice as the gesture may be, please do not bring in anything as a gift. It can be perceived as a bribe. This means, no donuts or coffee for the officers, etc. Being cooperative with staff and genuinely saying, "Thank You" is enough.

### **3.5.2 Inmate Flow in Centralized Facility Settings**

In a centralized facility it is the responsibility of the OS to work with the facility staff to have inmates brought to the interviewing area. The OS will request inmates in the order they appear on the paper List of Sampled Inmates. Because this is a pilot study, RTI is not certain of how many respondents need to be called at a time. On NIS, we typically asked for twice the number of interviewers to be called, approximately every 30 minutes. This was based on the interview lasting 35 minutes for every inmate. However, the survey length will vary, depending on a respondent's answers and will average around 80 minutes. So, the old NIS guidelines cannot be followed.

Furthermore, the OS should not ask for twice the number of interviewers because this means that some inmates will have to wait a long time. Our experience has taught us that when inmates have to wait for a long time, they will likely refuse to participate and may even tell their fellow inmates to refuse as well.

As a result the OS will need to work with the staff to find a good compromise for keeping the flow at the right pace.

In centralized interviewing settings, the OS will need to keep tabs on how FIs are progressing and as one interview is about to finish, the OS should let staff know that another inmate is needed. This arrangement will have to be tweaked as data collection progresses, so that there are not too many inmates waiting a long time to speak to an interviewer. This arrangement also means that there could be times when the interviewers will have to wait for the next inmate to arrive. Please remember this is a pilot study and we will learn what works and what does not work.

To ask for inmates, the OS may decide to write the inmates' names and correction ID numbers (and housing unit in a centralized facility) on an index card and give it to the CO or facility staff. Give the COs as few names as possible to prevent inmates from having to wait a long time to be interviewed. However, at times, it may not be possible to give them just a few names at a time. Sometimes it may be easier to give the facility a copy of the List of Sampled Inmates. For example, if a large number of inmates are away for work release or a

class, the COs may want to verify who is at the facility before requesting each name one by one. Try to be as flexible as possible while maximizing the privacy of the respondents and minimizing the burden to the facility.

If the OS learns that an inmate is unavailable (e.g., in court or working), the OS will try to find out when he may be available and request him again at the next available opportunity (e.g., after lunch or first thing the next day). The OS will mark this in the Case Status/Notes area on the List of Sampled Inmates, making sure to note this for the correct inmate. The OS will continue to work through the entire list until data collection is complete, noting inmates who could not complete the interview when they were called. When an interviewer is available, the OS will direct inmates to the next available interviewer. At the end of the day, the OS will review the cases called that day. If an inmate is not worked by another interviewer that day, then the OS will generate a case and assign an inmate to the case, then assign the last pending code for the day. This way, RTI will know that the team is working the case and will have a more realistic idea of how quickly the cases are being worked. If the inmate is called later in data collection and is worked by another FI, then that FI will code the case as usual and the OS will assign a final code to the case on his laptop. This will be described in **Chapter 10** in greater detail.

In a centralized setting, you, the interviewer, will track the outcome of the session with the inmate in the interviewing room (refusals, break-offs, and completes), while the OS will track the inmates who are called but are not seen by an interviewer.

### **3.5.3 Inmate Flow in Decentralized Facility Settings**

In a decentralized facility, it will be each interviewer's responsibility to work with the facility staff within his/her assigned housing unit to have inmates brought to the interviewing room. In essence, when you work in a decentralized setting, each FI is the OS in that specific location. Each FI works directly with the staff to request to speak to each inmate, following the roster order for the housing unit in which they are working. Each FI keeps track on the List of Sampled Inmates, the status of every inmate who did not come to the interviewing area when called as well the status of every inmate who did come to the interviewing area. In the CMS, each FI will generate a case, assign an inmate to the case, and assign pending and final codes to those cases. Finally, each FI will document codes on the FI Daily Report.

In a decentralized facility, interviewers will ask for 1 inmate at a time for each interviewer working that housing unit. As the interviewer thanks the inmate for completing the interview, ask for 1 more inmate, ensuring to follow the order the inmates are listed. Use of index cards to write down the next inmates on the list is allowable and encouraged. Again, it is important to work with the facility staff to strike a balance between burdening them with constantly calling for inmates and having inmates wait too long to be interviewed.

### **3.5.4 What is the Right Number of Inmates to Have Waiting to be Interviewed?**

Experience from previous years' data collection in correctional facilities suggests that having large groups of inmates called at the same time and having to wait for a long time to be interviewed dramatically increased refusals. If the facility staff is calling a much larger number of inmates than can be interviewed efficiently, the OS (in a centralized facility) or the interviewer (in a decentralized facility) should ask if it is possible to call fewer inmates at once. When having this conversation with the facility staff, you must remain calm and flexible while explaining our needs and also listening to the needs of the staff. In most instances a compromise can be reached that will allow us to respect the privacy of our respondents, keep the wait time to a minimum, and decrease the burden on the facility staff.

Even if there are a large number of inmates waiting, you are not allowed to complete multiple interviews at once. You cannot start an interview with one inmate and while the inmate is completing the interview, start an interview with another inmate. You must read all of the questions in the interview to each inmate. Unless there is an emergency, it is not permissible to switch FIs during an interview.

### **3.6 Initial Contact with the Respondent**

Once inmates are brought to you in the interviewing area, the next step in the study procedures is to start your initial contact with the respondent. Since an interviewer's style of delivery establishes an initial impression that can either alienate the respondent or encourage cooperation, you should always try to project a professional manner that you can modify according to the circumstance. The basic elements of a professional approach include:

- displaying a thorough knowledge of the purpose of the project and its materials,
- delivering a courteous straightforward presentation, and
- conveying respect for the respondent.

Good rapport is probably the most important tool of the interviewer, and you can achieve this by being sensitive to the respondent and being aware of how the respondent is reacting to you. If you are not enthusiastic and knowledgeable about the study, the potential respondent is not likely to be interested in participating. An abrasive manner is not desirable. Although an aggressive interviewer can occasionally bully respondents into participation, this tactic is not appropriate and is unethical and unprofessional. On the other hand, an interviewer who is too passive will be unsuccessful. Passivity conveys a lack of confidence or commitment to the survey. This attitude will not motivate the neutral or

uninterested sample member. You must win over such a person and convince him/her of how important it is to participate. In essence, you must sell the value of the study to each potential respondent. To do this effectively, you must be thoroughly convinced of the importance of the work. If you are not convinced of the validity and importance of this project, the inmate will not be convinced either.

Once the inmate has been brought to you, introduce yourself, stating only your first name. You will not touch the respondent or shake their hand, as physical contact is prohibited between visitor and inmate. A few inmates may extend their hand in greeting, but you cannot shake their hand. In order to smooth over a possibly uncomfortable situation, be sure that you are holding something in your right hand (consent form, pencil, etc.) and simply state "It's nice to meet you/Thanks for coming down today. Please have a seat and we will get started."

Do not jump right into the interview. Instead, you must confirm the respondent's name and verify that the name is on your List of Sampled Inmates before you start the interview. You also want to be sure to confirm with the respondent his/her date of birth or their Prisoner ID. You can simply say, "I need to confirm that you are [INMATE NAME]." You can either glance at their ID badge, if they have one, to confirm the ID # on the badge matches **Prisoner ID** listed on the List of Sampled Inmates. Remember the Prisoner ID is the ID assigned by the facility to the inmate and would be on their facility identification badge and is listed on the List of Sampled Inmates. Or you may ask the respondent for their date of birth and confirm it against what appears on the List of Sampled Inmates. Only proceed with an inmate that you have confirmed is on the List. If you happen to speak to an inmate who is not on your list, politely thank them for their time and let them know you will not be interviewing them today.

### **3.7 Explaining the Study and Obtaining Participation**

Once you confirmed that the person is on the List of Sampled Inmates, explain that you will read a form to them and answer any questions they have. Then, pass a copy of the consent form the respondent, letting him/her know that they should follow along as you read. You will hand a copy of the consent form to the respondent, which will be written in 3<sup>rd</sup> person ("Your interviewer will...").

You will then locate your version of the same consent form (printed on the same color paper and laminated). This version is written in 1<sup>st</sup> person (I will...) to make the process feel more natural. Then, immediately begin to read out loud the consent form completely. You must read the consent form out loud even if the inmate states that he/she can read.

For the pilot there will be 2 versions of the consent form for SPI-PS. One consent form is used when an incentive is allowed; the other is used when it is not. Since we are not conducting SPI-PS interviews in Spanish, there are no Spanish consent forms.

**BLUE** will be used for when the incentive IS allowed.

**WHITE** will be used for when the incentive is NOT allowed.

You will always take both laminated copies (white no-snack/blue yes-snack) with you into a facility that allows the incentive. You will do this in case you have a respondent who is not permitted to have the cookies, as determined by the facility. This way, you are prepared to read the no-snack version of the consent to respondents who cannot have cookies.

It is an IRB violation to give an inmate the blue version of the concern form simply cross out the sentence about getting cookies! When you are working in a facility that does not allow the incentive, you will need only the no-snack version of the laminated consent form. Failure to use the correct version of the consent is grounds for disciplinary action and RTI will have to throw out the data collected from that interview because the wrong consent form was used. If you do not have both the blue and white laminated copies with you when you work, you cannot interview until you have both versions in the FIRST person to use. Remember, you cannot cross through text or write in missing text on any consent form if you happen to have the wrong version of the consent form with you.

**Exhibit 3-3** is the FI Version (First Person) of the No-Snack Consent form. You will read this version of the consent form to read out loud to the respondent, in a facility where the incentive is not allowed OR to a respondent who resides in a facility that does allow the incentive, but the respondent is not permitted to have the snack. **Exhibit 3-4** is the Respondent (Third Person) Version of the No-Snack Consent form. This is the form you will give to the respondent to follow along as you read, and that you will sign and return to your OS at the end of the day.

In addition, there are First and Third Person versions of the Snack Consent form. Examples of all four consent forms are found in **Appendix A**.

The FI Version of the Consent Forms will be laminated and used at each facility. This means that you will not receive multiple copies of this form and must keep track of these job aids. Notice that the FI Version has additional text that you will read. After you read aloud the "Further Questions" section, notice that you have to read aloud **to all respondents** additional statements that summarize the consent form and ask all respondents if they understand. If they do not understand, you will explain it further and re-read the risks and benefits section of the consent form, to be sure that they are clear about the study requirements. This summary and clarification is a requirement of RTI's IRB and must be carried out, without taking any shortcuts.

When you are consenting a juvenile, you will read the summary as described above. Then you will read the final paragraph which concerns reporting requirements if they disclose abuse. See **Section 3.7.1** for instructions on confirming that you are speaking with a 12-17 year old.

## Exhibit 3-3. First Person (FI) Version of the No-Snack Consent Form



Bureau of  
Justice Statistics



# Survey of Prison Inmates Pilot Study

## Consent to Participate in Research Consent Form

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### ***Introduction***

The Survey of Prison Inmates Pilot Study is a research study being done by the Bureau of Justice Statistics and RTI International, a not-for-profit research organization, located in North Carolina. You are one of about 80 inmates at this facility who have been randomly selected to participate. Inmates will be interviewed at 6 facilities for this study. The purpose of this research project is to try out the procedures and the questionnaire we've developed for conducting a national Survey of Prison Inmates in 2014. The national survey will collect information on the conditions and experiences of inmates in the United States. Your participation in this project is voluntary. After you have heard the information about the study, you can decide if you want to answer the questions.

### ***Description of the Study***

This interview will take about 80 minutes. I will be asking questions about your criminal history, physical and mental health, drug and alcohol use prior to incarceration, and any treatment you may have received. I will also ask you questions about conditions at this facility, some background questions about your family, and education and work history. I will record your answers in this computer. In addition to asking you questions, we will review your criminal records. This review will allow us to conduct additional research without taking up more of your time with questions.

### ***Possible Risks or Discomforts***

Some of the survey questions are personal and some of them ask about behaviors that may be illegal. It is possible these questions may make you feel uncomfortable or upset. There are no right or wrong answers and you can skip any questions you do not want to answer. If you become upset for any reason, you can ask to stop the interview. Please tell me if you want to stop or take a break at any time during the interview. If you find the survey questions to be upsetting for any reason, I can also provide you with instructions for contacting a mental health counselor here at the facility.

### ***Benefits***

You will not receive any direct benefits for participating in this study. However, the results of this study may help to improve the condition and well-being of inmates in correctional facilities across the nation. If you choose not to participate you will not lose any benefits or services that you now receive or might receive in the future. Whether you participate or not will not affect your legal status or any decisions regarding your release from this facility in any way.

### ***Confidentiality***

This study is covered by a Privacy Certificate which means that nothing you tell me during the interview can be used in any legal action. Your name will not be connected with the information you provide in

this interview. We will treat everything you say during the interview and all information from your criminal record as private and confidential. We will not share any of the information you provide with anyone outside or at the facility or anyone who is not directly working on the project. There is, however, an exception to our promise of confidentiality. If you tell me that you intend to seriously harm yourself or a specific person, I may need to inform correctional staff.

Do you have any questions about taking part in this study?

**Further Questions**

You may keep a copy of this form. If you have any questions about the project, you may write to the Survey of Prison Inmates Pilot Study at RTI International, P.O. Box 12194, Research Triangle Park, NC 27709-2194. If you have questions about your rights as a project participant, you can write to RTI's Office of Research Protection at the same address.

**INTERVIEWER:** *You must read the following script out loud to the inmate and confirm that the inmate understands the information before concluding the informed consent process.*

**READ ALOUD TO ALL RESPONDENTS:**

I want to go over the main points in this form to make sure everything is clear. This interview is voluntary. You can say yes or no. It is totally up to you. Nothing about your legal situation, such as when you will be released or what treatment you might receive, will be changed by whether or not you participate in the interview. If you start the interview and then want to quit, that is okay. If you want to skip certain questions that is okay too. Do you understand?

IF THE INMATE ANSWERS 'NO', ANSWER ANY QUESTIONS THE INMATE HAS AND THEN RETURN TO THE CONSENT FORM AND RE-READ THE TEXT ENTITLED RISKS AND BENEFITS AND POINT TO THIS TEXT ON THE INMATE'S COPY OF THE CONSENT FORM.

**READ FOR JUVENILES ONLY:**

If you tell me out loud that you are being abused at this facility I, or my supervisors, may need to report it to the agency in this state that investigates abuse. Once we make a report we have no control over what will be done with the information. Do you understand that?

IF THE INMATE ANSWERS 'NO', ANSWER ANY QUESTIONS THE INMATE HAS AND THEN RETURN TO THE CONSENT FORM AND RE-READ THE TEXT ENTITLED CONFIDENTIALITY AND POINT TO THIS TEXT ON THE INMATE'S COPY OF THE CONSENT FORM.

So, please do not say anything out loud to me about being abused unless you want me to pass that information on to the agency in this state that investigates abuse. Do you have any questions? If you think of any questions or comments about the survey later, you can write us at the address provided. If you would like to participate in the interview, please tell me now and we will begin.

**IF INMATE CONSENTS, YOU SHOULD SIGN CONSENT FORM. INMATE GETS A BLANK COPY OF THE FORM IF HE/SHE WANTS ONE. GIVE COPY WITH YOUR SIGNATURE TO OS.**

## Exhibit 3-4. 3rd Person (Respondent) Version of the No-Snack Consent Form



Bureau of  
Justice Statistics



# Survey of Prison Inmates Pilot Study

## Consent to Participate in Research

### Consent Form

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#### ***Introduction***

The Survey of Prison Inmates Pilot Study is a research study being done by the Bureau of Justice Statistics and RTI International, a not-for-profit research organization, located in North Carolina. You are one of 80 inmates at this facility who have been randomly selected to participate. Inmates will be interviewed at 6 facilities for this study. The purpose of this research project is to try out the procedures and the questionnaire we've developed for conducting a national Survey of Prison Inmates in 2014. The national survey will collect information on the conditions and experiences of inmates in the United States. Your participation in this project is voluntary. After you have heard the information about the study, you can decide if you want to answer the questions.

#### ***Description of the Study***

This interview will take about 80 minutes. You will be asked questions about your criminal history, physical and mental health, drug and alcohol use prior to incarceration, and any treatment you may have received. You will also be asked questions about conditions at this facility, some background questions about your family, and education and work history. The interviewer will record your answers in the computer. In addition to asking you questions, we will review your criminal records. This review will allow us to conduct additional research without taking up more of your time with questions.

#### ***Possible Risks or Discomforts***

Some of the survey questions are personal and some of them ask about behaviors that may be illegal. It is possible these questions may make you feel uncomfortable or upset. There are no right or wrong answers and you can skip any questions you do not want to answer. If you become upset for any reason, you can ask to stop the interview. Please tell the interviewer if you want to stop or take a break at any time during the interview. If you find the survey questions to be upsetting for any reason, the interviewer can also provide you with instructions for contacting a mental health counselor here at the facility.

#### ***Benefits***

You will not receive any direct benefits for participating in this study. However, the results of this study may help to improve the condition and well-being of inmates in correctional facilities across the nation. If you choose not to participate you will not lose any benefits or services that you now receive or might receive in the future. Whether you participate or not will not affect your legal status or any decisions regarding your release from this facility in any way.



**Confidentiality**

This study is covered by a Privacy Certificate which means that nothing you tell the interviewer during the interview can be used in any legal action. Your name will not be connected with the information you provide in this interview. We will treat everything you say during the interview and all information from your criminal record as private and confidential. We will not share any of the information you provide with anyone outside or at the facility or anyone who is not directly working on the project. There is, however, an exception to our promise of confidentiality. If you tell the interviewer that you intend to seriously harm yourself or a specific person, he or she may need to inform correctional staff.

Do you have any questions about taking part in this study?

**Further Questions**

You may keep a copy of this form. If you have any questions about the project, you may write to the Survey of Prison Inmates Pilot Study at RTI International, P.O. Box 12194, Research Triangle Park, NC 27709-2194. If you have questions about your rights as a project participant, you can write to RTI's Office of Research Protection at the same address.

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If you would like to help us with our study by participating in the interview, please tell the interviewer now and we will begin.

Willing to participate in the interview.

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I certify that the nature and purpose, the potential benefits, and possible risks associated with participating in this research have been explained to the participant.

I have read all required informed consent text to this individual.

Person Who Obtained Consent: \_\_\_\_\_

Headway ID Number: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Notice that the FI Version (First Person) does not include the check boxes and signature lines. That is because you will never sign this version. You will sign only the Respondent (Third person).

After reading and answering all questions, you will use a consent form and mark "Willing to participate," then mark that you have read all required information to the respondent and fill in your name, Headway ID, and date. Place the signed form in your Data Collection Folder to return to your OS that evening. The inmate is never to sign any consent form. The inmate may keep the copy of the consent form that he/she was reading along with if he/she wants it; however, he/she is not required to keep the consent form. You do not need to sign the inmate's copy of the consent form.

### **3.7.1 Special Consent Procedures for Juveniles ONLY**

We will be interviewing in adult facilities only for SPI-PS. However, it is possible that youth 17 years old or younger may be housed in adult facilities. When you are confirming the identity of the inmate before you start the interview, you will confirm their status by looking on the List of Sampled Inmates to confirm if the respondent is an adult or not. Remember we will interview youth respondents who are between 12-17 years old only, when parental consent is not required.

If the List of Sampled Inmates has a "Y" in the column labeled, "Adult" then this respondent is an adult. You must read the consent form and the text that reviews the consent form.

If the List of Sampled Inmates has an "N" in the column labeled, "Adult", then this respondent is a juvenile. (If the juvenile is listed on the List of Sampled Inmates, then the juvenile can be interviewed.) You must read the consent form, including the text that reviews the consent form. In addition you must read the text flagged as "READ FOR JUVENILES ONLY."

The IRB requires that you read all three parts of the interview consent form to respondents who are juveniles:

1. the consent form,
2. the review of content of the consent form, and
3. the box entitled, "READ FOR JUVENILES ONLY."

Note that we will interview juveniles in adult facilities only where the facility does not require parental consent. The logistics manager will work with the facility to determine if parental consent is needed and if it is, to ensure that juveniles are not included in the List of Sampled Inmates. However, mistakes can be made. So please always check the age of the respondent and confirm by looking at the Logistics Plan that the facility does not require parental consent.

### 3.7.2 Answering Respondents' Questions

Occasionally inmates will have questions about participating in the study.

**Exhibit 3-2** displays possible answers to some frequently asked questions. Study the possible responses to these in anticipation of respondents' questions, making sure every potential study respondent understands how important he/she is to the overall success of the study. You might say something like, "This is your chance to tell us about your experiences. Without you, no one will know what you have experienced. No one will ever know the questions you were asked or the answers that you gave because your name is never connected with your answers."

Explain to potential respondents that they were chosen randomly from a list of people serving time at that correctional facility, using scientific sampling procedures. If they agree to participate, they will take part in a computerized interview conducted in a private setting at the correctional facility. Be sure to stress to potential respondents that only the researchers and project staff at RTI and BJS will see the data: no one at the facility will see their results. Tell them that all information will be kept strictly confidential and is protected by federal law.

Understand, however, that inmates may be skeptical about confidentiality promises since they are not accustomed to anything at the facility truly being confidential.

### 3.8 Avoiding and Overcoming Objections

You will find that most sample members are friendly and willing to cooperate, but a few individuals will have concerns, objections, suspicions, or fears. What may appear to be a refusal to cooperate may be just an expression of concern or a need for more information about the study, the procedures, or the background of the research. The following points should help you to avoid refusals when speaking to sample members:

- Do not invite refusals. An air of apology or defeat can sometimes trigger a refusal. Assume that the sample member will want to participate.
- A friendly, confident, and positive manner—assertive but not aggressive—will usually have positive results.
- Listen carefully to the respondent's comments and try to determine the basis for objections. Then target your responses to those objections or concerns.
- A little more detail about the study, the procedures, confidentiality, or the time involved may answer the unasked questions. Sometimes the best technique is to

simply ask “Is there something more I can explain to you about your participation in this study?”

- Our experience has shown that one way to avoid a refusal is to introduce yourself and start immediately to read the consent form. Interviewers reported to us that if they started out the conversation with something like the following, they avoided a number of refusals.
- “Hello, my name is [FILL IN YOUR FIRST NAME]. I am here today to ask you some questions about your life experiences. Let me read this form to you.” (NOTE: HAND THE INMATE A COPY OF THE FORM AT THIS POINT.) “It will explain everything about the reason I am here. Then if you have any questions after I’ve read this, I can answer your questions.”
- Then you should start reading the consent form, without hesitating. After you have read the consent form, then you can answer any questions and move on to sign the form and proceed with the interview.
- If the inmate is concerned about the type of questions that will be asked, suggest that you start the interview and that he/she may refuse any question that make him/her feel uncomfortable. Chances, are once the inmate sees what types of questions are being asked, he/she will feel comfortable continuing.

Another type of refusal happens when too many inmates are brought to the interviewing area. As a result, some inmates have to wait a long time to see an interviewer. In this situation, inmates can grow impatient and refuse out of frustration. If this happens, the OS should speak politely to facility staff to explain the situation. The OS will suggest that the number of inmates called at one time be limited, to reduce the wait time. Doing this will reduce the number of inmate waiting around and can reduce the number of refusals that occur.

If an inmate refuses in front of the group, the OS will still ask the sample member to go to the interviewing room where the FIs will review the consent form with him. Once he/she is away from the crowd, he/she might just change his mind.

Sometimes a refusal really means “not now.” Any time you get a refusal, you should ask why—you may find out that the inmate doesn’t object to the study—just the timing. For example, an inmate may have been called to see you right before he is expecting a visit from his family. He says he does not want to participate because he does not want to miss visitation. In that case, if it is alright with the facility, you can ask the inmate if you could call them at a different time.

As inmates complete the interview, you may want those who were happy with the experience to pass the word along to others that the interview was not bad and that they

did not mind answering the questions. Obviously you would not reveal to an inmate the names of anyone else sampled in the study but word tends to travel quickly, and if we can get the word out that participating is a good thing, it can help response rates.

This is an extremely unlikely situation, but in case you encounter a respondent who was incarcerated at one facility and completed the SPI-PS interview at that facility. Now the respondent is incarcerated at a second facility and he has been selected to complete the survey again. If the person volunteers that they have been selected in a different facility, explain that we are interested in finding out what is happening at this particular and we would really like the person's input. If the person refuses, please make a note in the comments section of the CMS explaining that the inmate was sampled before at another facility.

If you are unable to overcome an inmate's objections and the inmate simply will not consent to the interview, then accept the refusal as courteously and graciously as possible and thank the inmate for his/her time. Do not pressure, argue, or otherwise alienate him. **Because inmates are a protected class, according to our IRB Review Board, you cannot do or say anything that could be perceived as pressure to participate or coercion.** Reports to RTI of coercive behavior are taken seriously by the project management staff, must be reported to the IRB, and can result in disciplinary action taken against you.

Unless the inmate says that now is not a good time, you cannot speak to the inmate later. So, if the inmate refuses, there is no opportunity to speak to them again. Likewise, you cannot have another team member speak to the inmate. You should take the approach that you have one chance to speak to this inmate and trust your abilities to convince him/her to participate.

You are never to allow facility staff to try to talk the inmate into participating. Similarly, you cannot leave the interviewing area to go speak to an inmate directly in the cell, regardless if you are escorted or not. You will have violated his/her right to privacy if you went to the inmate and spoke to him/her.

Related to this, if you see or hear that facility staff are telling inmates NOT to participate, you should report this to your OS at your first opportunity to have a private conversation off the facility grounds. Please wait until you are not at the facility and are in a private location so that your conversation is not overheard at the facility. Once this is reported to your OS, he/she should report to the FS, who will report it to RTI. The Data Collection Task Leader will work with the logistics manager to speak to the facility contact person and ask that the staff not intervene. At no time should you speak directly to the facility staff to ask them to stop trying to convince inmates to not participate. This is not your role.

If you do get a refusal, always remember to be professional, courteous, and friendly. You can talk with an inmate to try to overcome a refusal, but you cannot appear to coerce an

inmate in any way. Different reasons need to be countered with a different emphasis in response. It is important to listen to the inmate's comments and tailor your response to the inmate's concerns or need for information, without being overbearing or coercive.

**Exhibit 3-5** lists some common refusals FIs received from inmates and how they attempted to convert the refusal, without being too pushy. Refusals will come with the territory of this assignment. Interviewers who have lots of refusals in a day or even at a facility, is not uncommon. So do not be surprised if you have several refusals. Your response rates are not the single most important aspect of your success on this assignment.

### **3.9 Starting the interview**

Once the respondent agrees to do the interview, then you will generate a Case ID and begin the interview. (This is described in **Chapter 7**.) Do not generate a case and move through the first screens of the interview BEFORE you have gotten the respondent's consent. This will result in a break off. **Do not generate the case and start the interview in the computer until the inmate has agreed to participate and you have signed the consent form.**

**If you generate the case and pre-start the interview and the respondent refuses, you will have to do a break-off. This is a completely unnecessary step in your assignment.**

Instead, you should generate the ID and begin the interview only after the respondent agrees to participate. Generating the case only takes a moment. The respondent can enjoy the incentive (if permitted to have them) while you get the computer ready to conduct the interview. Generating a case is described in **Chapter 5**.

#### **3.9.1 Offering the Incentive (when approved by facility)**

As an incentive to encourage participation, the study is providing small snacks to inmates. Prior to your arrival at the facility, the logistics managers will have checked to make sure that the snacks will be allowed. The Facility Logistics Plan will indicate whether the snack has been approved.

At those facilities where the incentive is allowed, you may offer the inmate the snack once the inmate has agreed to participate. The **entire** snack **must** be consumed by the inmate prior to leaving the interview room. Under no circumstance should the inmate be allowed to take any part of the snack out of the room. Also, you must make sure that the respondent does not leave the interviewing room with the wrapper. You can tell the respondent that you will take the bag for him/her and throw it away.

**Exhibit 3-5. Common Refusals and Responses**

<b>REFUSAL STATEMENT FROM INMATE</b>	<b>FI RESPONSE</b>
"I just got here, so you don't need to talk to me."	Emphasize that this study gives the inmate a chance to have his opinions and experiences heard.
"You woke me up...I just got off work...It's almost meal time...My lawyer/family is coming now....My favorite TV show comes on...It's poker night"	Acknowledge that now is not a good time. Ask when would be a better time and note that on your List of Sampled Inmates, CMS, and FI Daily Report.
"I don't want to do this. I work and if I do this, I won't get paid."	Ask if there is a time during the week when he/she is not working that he/she could do the interview. Or you can ask your OS if the facility has agreed to pay the inmate during work hours to complete the survey.
"I'm getting out soon so I don't want to do it."	Explain that we would appreciate their time to answer the questions because they ask about plans for your future.
"Will anyone here see my answers? I don't want to do this if they will see my answers."	No. No one at the facility will know how you answer the questions unless you choose to tell them.
"It's going to take too long."	Suggest that you get started and see how it goes and we can stop if you want to.

When a facility allows the inmates to have the incentive, RTI will ship to the OS enough of the snacks for each sampled inmate to have one bag of cookies. We include small trash bags as well. You should gather the snack wrappers and place them in the trash bags provided and take them with you each evening. We do not want you to leave the wrappers at the facility.

Finally, the snacks are only provided for inmates—interviewers should not consume them for any reason. The OS may keep uneaten snacks to be used at the next facility that allows the incentive.

### **3.10 Special Situations**

While the logistics manager has worked with corrections staff at each of the facilities to try to make sure the study goes smoothly, we realize that sometimes unusual situations can occur. Follow the guidelines listed below; if you encounter a situation that is not described, talk to the OS. He will contact the FS for further guidance.

If you find that you take a lunch break separately from the team, it is your responsibility to keep your laptop and study materials, such as consent forms, the Data Collection folder, the List of Sampled Inmates and your FI Daily Report, with you at all times. You will not leave it with the OS, as you might have done if you worked on the NIS.

On this study, the laptop and all its parts and any materials are your responsibility at all times. If you take a break lasting longer than 15 minutes, please power down the laptop completely so that you do not wear down the battery. The laptop, List of Sampled Inmates, and the FI Daily Report will never be left unattended in the same area. This creates a potentially serious breach of confidentiality.

#### **3.10.1 Juvenile Inmates**

As you read above, the SPI-PS will interview inmates who are between the ages of 12 and 17. Special attention must be taken when working with these young respondents.

As part of the logistics planning, the logistics managers determined if a facility housed 12- and 17-year olds. If they did, then the logistics managers determined if the facility would allow us to interview this population without obtaining parental consent. If the facility agreed to allow us to interview these inmates, you will need to be aware of the following:

Important points to be aware of when working at a facility that will allow us to interview children aged 12 - 17 years old:

1. They are sometimes referred to as minors or juveniles. Each state uses different definitions. That is why we refer to their age, so that there is no confusion.



2. During the consent process, you will read additional information out loud to the 12- and 17-year-old respondents that will ensure that they understand their participation in SPI-PS. See **Section 3.7**.
3. You will know if you need to read the additional information by confirming their "Adult" status on the List of Sampled Inmates. If the inmate is listed as "Adult-N" on the List, you will read the extra paragraph to the inmate. Otherwise, you will not read the extra text. You base the decision to read the extra consent material based on the information found in the List of Sampled Inmates. Do not ask the inmate if he/she is 18 years old or older. Instead, if the List of Sampled Inmates indicates "N" under the "Adult" status on the List, then you MUST read the additional text on the consent form.
4. You will follow study procedures, which will follow applicable laws and requirements, to report any times that the 12-17-year-old verbally reports to you any abuse. See **Section 3.11**.

### **3.10.2 Working Inmates**

In some facilities (particularly prisons), inmates may work during the day. All working inmates are eligible to participate in the SPI-PS. (Unlike the NIS where certain work release inmates were not eligible, this is not the case for SPI-PS.) Therefore, the OS may have to work with the facility staff to determine the best time to return, during the times already established by the Logistics Manager (LM), to interview inmates who are working while you are there. The OS is not to ask for different or additional hours to try to interview inmates who work. The LM will try to determine the best time to interview inmates who work and schedule the team to work during those times.

For inmates who are employed within the facility, the facility may be able to arrange their work schedule so that they can complete the interview during the time the team is there. For example, the facility might be willing to let the inmate start work an hour late to allow you to interview him during the day. Even though they are working, we still want to try to interview as many of these inmates as possible.

For this pilot study, interviewing will only occur during the times established by the LM in advance. If the team is unable to interview inmates who work because they were available only at times outside the scheduled hours, the OS will code them the appropriate code and notify the FS.

Note that some working inmates may refuse to participate because they do not want to lose their pay. In these instances, explain to the inmates that you can interview them when they are not working (thus no loss of pay), as long as the non-working hours fall within the times the team is scheduled to be there, or explain that you will need to check with your supervisor. Then, when appropriate to speak to the OS privately, inform him of the situation. He can report this back to her FS, who will speak to RTI.

It is possible that the facility will make arrangements so that the inmates will not lose their pay if they are interviewed during work hours. However, do not promise this to the inmate. Instead, report it to your OS and let RTI attempt to make the necessary arrangements. Sometimes, RTI learns of this requirement in advance and will have already made arrangements so that sampled inmates who work do not lose any pay.

### **3.10.3 Inmates Being Held for Other Authorities**

Some facilities hold inmates for authorities from a different jurisdiction. Examples include inmates being held for US Marshalls or for U.S. Immigration and Custom Enforcement (ICE). If the facility will allow you to interview these inmates, you should do so. However, if they feel that they do not have the authority to grant you permission to interview, you should code those inmates as 1150—inmate being held for other authorities. The OS should report any of these circumstances to the FS as soon as possible.

### **3.10.4 Dealing with Uncomfortable Situations**

While you are working in facilities, you may occasionally encounter situations where you do not feel comfortable. The following outlines the appropriate procedures to follow if these situations occur.

- **Verbal Abuse** (e.g., inmate swearing at you, using sexually explicit language, etc.). Try to get the inmate back on track by saying something like “This is not appropriate behavior. If you continue to speak to me this way, we will have to stop the interview and you will have to go back.” If this stops the behavior, you may continue the interview. Otherwise, tell the inmate that he is finished with the interview. Do not communicate the reason to the CO. Just tell the officer that the inmate is done with the interview. Be sure to document the situation in the comments you enter in the interviewer debriefing at the end of the interview.
- **Inappropriate Behavior** Terminate the interview. Tell the inmate “we are done with the interview.” Do not communicate the reason to the CO. Again, be sure to document the situation in the comments you enter in the interviewer debriefing at the end of the interview.

In either case, it is appropriate to report the incident to the OS. However, please be careful about making the report in a place where no facility staff can overhear you. The staff at the facility should not be told if something like this occurs. Telling a CO about an incident can put an inmate in jeopardy in a variety of ways—a disciplinary write-up, loss of privileges, or even a lengthening in the time of sentence. The IRB requires that the inmate will not experience any negative effects by participating in the study. Additionally, we do not want word to get around the facility that “if you talk to the interviewer, bad things will happen to you.” This will have a negative effect on our response rates and might jeopardize the outcome of the study.

To reiterate, unless imminent harm is involved (e.g., inmate reports intent to harm him/herself or someone else) or your safety is directly threatened, the facility staff should not be informed of anything that happened during the interview.

### **3.10.5 Lockdown at Facility**

Periodically, facilities may have lockdowns to account for all inmates. If a lockdown occurs during the middle of an interview, check with facility staff to find out what they want you to do. If they want the inmate to be returned to the cell for the lockdown, you must allow the inmate to discontinue the interview immediately. Code the interview as 2510 (break-off—facility initiated) on your List of Sampled Inmates; you will not attempt to finish the interview later. If the lockdown appears to be for a short period of time, use your time to update codes on the List of Sampled Inmates, in the CMS and on your FI Daily Report. If you experience lockdown of a longer duration, you will follow the staff's instructions to the letter and without incident. You are guests in the facility and should not argue with the staff. A lockdown is a serious matter, and the staff does not want your unwillingness to cooperate to create additional problems for them.

It should be noted that if you misplace equipment, that can also cause the facility to be locked down. Please bring in only what you need to conduct interviews. Be sure to check that you have everything with you when you leave the facility. Be extremely cautious with power cords, pencils, cookie wrappers, badges, as well as any sort of equipment the facility might ask you to carry (e.g., panic buttons). Notify your OS immediately if you have lost or misplaced any of your equipment. Be aware that if you cause a lockdown at a facility or are disruptive to the staff during a lockdown, disciplinary action will be taken.

### **3.10.6 Impaired Inmates**

In order for inmates to truly grant consent to participate, they must be able to understand the consent form. If you feel that an inmate is drunk or high, you should not begin the interview because it will be impossible to adequately consent the person. Ask that the inmate return at a later date to participate in the interview and code him/her as 1330 (impaired). A tactful way to handle this situation is to say "You seem tired, maybe this isn't the best time. Can we try this again later?"

It is possible that you may not realize that the person is impaired until you begin the interview. If it becomes apparent to you that inmate is impaired, tell the inmate "That's all the questions that I have for you," thank him/her for participating and break off the interview. Then complete the Debriefing Questions, making sure to answer the question about the TYPE of break off correctly (2370).

On the laminated copy of the consent form that you will use to read from, there is a summary that you will complete with each respondent. The information that you will read to the inmate after the consent form will help you to determine if the person is able to

understand enough about the study to participate. It reiterates key elements of the consent form (including the fact that it is voluntary, participating or not participating doesn't change the inmate's legal status and they're allowed to quit or refuse to answer any question). If you feel like the inmate does not understand, you may reread relevant pieces of the consent form. If they still don't seem to understand after multiple attempts to re-read relevant sections of the consent form, do not start the interview. Instead, you should code them as pending mentally incompetent (code 1350) and discuss with your OS.

Remember that you are not trained to easily determine if someone is temporarily or permanently impaired. (If you have knowledge or experience in this area, RTI kindly asks that you not make determinations based on your background.) RTI does ask you to make a judgment call, based on information you will receive at interviewer training. RTI recognizes this can be difficult at times. So, please just use your best judgment, based on this project's training, to determine if you think the inmate is or is not capable of completing the interview.

Please note that if the facility will not allow you to interview an inmate due to a mental or physical impairment, there are different pending codes: 1340 for Mentally Incompetent Inmate—Facility's Decision or 1360 for Physically Unable to Complete Interview—Facility's Decision.

### **3.10.7 Transgender Respondents**

On occasion, you may have a respondent whose gender is not obvious. In the case of transgender individuals, the facility information will be used to make that determination. For example, if you are interviewing in a women's facility, the computer program will know this already and is programmed to provide you with the gender-appropriate questions. You will not ask or observe the respondent's gender. You will simply ask the questions as they appear on the screen.

### **3.10.8 Inmates with Limited English Proficiency**

For this pilot study, we will conduct the interview in English ONLY. There will be no Spanish versions of the consent form available and we will not conduct the Spanish version of the instrument. For the pilot, you may encounter inmates who only speak limited English. If this is the case, determine whether the inmate's English is sufficient to complete the interview. If the inmate is unable to complete the interview in English and speaks Spanish, code that case as 1310 (Language Barrier—Spanish or other). Be sure to designate what language the inmate speaks.

### 3.11 Distressed Respondents

While we do not believe it is likely to happen, it is possible that the inmate could become distressed during the course of the interview. You may notice signs of distress by paying attention to verbal and nonverbal indicators (such as shakiness in the voice, crying). If you suspect that the respondent is in distress, ask the respondent if he/she is okay and whether he/she wants to continue the interview. If the inmate indicates that he/she is okay, continue the interview. If the inmate says he/she is ok but wishes to stop, break off the interview, complete the debriefing questions so that the final code of 2520: Break-off—inmate initiated, is automatically assigned. Remember to document this final code on your List of Sampled Inmates and on your FI Daily Report. You will not attempt to resume the interview at another time.

These types of incidents should be reported only in the debriefing section at the end of the computer interview and do not need to be reported to your OS. These types of incidents are not reported to the facility staff. Again, if the respondent says that he/she is OK, you DO enter a comment during the FI Debriefing Questions at the end of the computer interview. You do NOT report this to your OS or to any facility staff member.

If the inmate indicates that he/she is NOT okay, ask the respondent if he/she wants you to follow the distressed respondent contact procedure indicated on the Facility Logistics Plan, so that the respondent can obtain some assistance. If the respondent declines your offer to contact someone, you will respect the respondent's request. You should record, during the FI Debriefing Questions at the end of the computer interview, that the contact information was offered but not accepted. You do not need to report to your OS that the information was offered. You do not report this to any facility staff member.

If the respondent indicates that he/she is NOT okay and requests that the interviewer contact someone, follow the distressed respondent contact procedure found on the Facility Logistics Plan after the inmate has left the interview room. Or if the respondent indicates that he/she is not okay and wants to be given the contact information (as long as we have the approval of the facility to do this), then you will provide that information to the respondent.

We will provide you with the names of contact people at each facility on the facility logistics plan. If the inmate requests that the distressed respondent contact be contacted, you will document this in the FI Debriefing Questions at the end of the computer interview, and you will be required to complete a D.R/I Report and give it to the OS as soon as possible. The OS must report this to the FS within 24 hours of the event taking place.

Often, the facility has arranged with the logistics managers that the distressed respondent (DR) contact person is the closest correctional officer or other named staff person, instead of a specific counselor or third-party mental health care provider. In instances when the DR

contact person is a facility staff person, please tell the inmate that your instructions are to speak to a specific person (please tell the inmate the name of that person) or to speak to the closest officer (depending on the facility's requirements). Then ask the inmate if it is OK with them if you speak to the person. By doing this, you are letting the inmate know who you will be speaking with and letting the inmate decide if contact needs to be made. By taking this approach, the inmate can decide whether or not to request assistance. You are not doing anything to cause undue harm to the inmate.

If the respondent is unresponsive or incapable of requesting or declining the assistance of correctional staff, alert the correctional staff as to the respondent's state of distress. The correctional staff should only be notified in this instance or if the inmate threatens to harm him/herself or others (see following sections). In this instance, the interviewer will be required to complete a D.R./I Report and give it to the OS as soon as possible.

All of these situations (e.g., the inmate cries or takes a brief break in the interviewing room, you alerted correctional staff, you enacted the distressed respondent protocol) should be noted at the end of the interview in the debriefing section if the inmate does complete the interview and/or you have to complete a D.R./I report (See below.)

In past years, interviewers encountered several inmates who would look distressed and ask to speak to the mental health contact person for issues NOT related to the survey, such as not receiving their medications or needed treatment, etc. You should proceed with the instructions to follow to contact the mental health contact person for that facility and explain the circumstances. You should not make a determination if the distress is brought on by SPI-PS or not. Instead you will take the correct action, according to study procedures and let others handle the situation.

Because there are many possible scenarios and many possible responses, **Exhibit 3-6** lays this out in a table to guide you on what to do with distressed respondents and any reporting requirements.

### **3.11.1 D.R./I (Distressed Respondent/Incident) Report**

The D.R./I Report is a way to communicate information about distressed respondents incidents, or break offs that happen at a facility to the FS. If you enact the distressed respondent protocol (i.e., you contacted the distressed respondent contact or gave the contact information to the inmate and they took it) you must complete a D.R./I Report and turn it in to your OS at the end of the day. If you offered to contact the distressed respondent contact and the inmate refused, you do not have to complete the D.R./I Report.

If a respondent threatens to harm him/herself or others, you are required to fill out a D.R./I Report.

To complete the form for a distressed respondent, check the box marked D.R. (for distressed respondent), enter the date, FI ID, Inmate initials, describe what happened, indicate what sort of action you or the OS took, and check whether or not the distressed respondent contact at the facility was notified. If a respondent reports that another inmate has threatened to harm him/herself or others, you do not report it or fill out this form.

You will also use the D.R./I Form to document incidents that happen at the facility. Reportable incidents include any sort of lengthy delay in interviewing (e.g., a lockdown that takes over an hour), issues with facility staff, inmate issues other than distress, anything done at the facility that caused a lot of refusals (e.g., the CO calling 50 inmates at once and they all had to wait for hours to be interviewed) or anything else that you feel RTI should be made aware of. To complete the form for an incident, check the box marked Incident, fill in the date, the FI ID (if applicable), indicate the type of incident, describe what happened, and indicate any action taken by either the FI or OS. See **Exhibit 3-7** for an example of the D.R./I Report.

When a D.R./I Report has been received, the OS will contact the FS or RS as soon as practically possible. The FS will enter the information from the D.R./I Report into the project website. Senior project staff will discuss the situation and will notify the IRB to determine if further action may be called for.

### **3.11.2 Respondent Poses a Threat to Self**

If, during the course of an interview, a respondent volunteers that he/she is thinking about killing himself/herself, you must report this to your OS at the end of the interview after the inmate has left the area. The OS must report the incident to correctional staff as soon as possible. You will complete a D.R./I Report and give it your OS who will notify the facility staff, FS, and RS as soon as practically possible.

Please note that inmates are used to keeping very personal thoughts to themselves. They do not often share these thoughts with strangers. As a result, it is very rare that an inmate will tell you that he/she is thinking about or planning to harm themselves.

### **3.11.3 Respondent Poses a Threat to Others**

It is extremely unlikely, but someone may spontaneously tell you that they are planning to seriously hurt or kill someone else. If a respondent states that he/she intends or plans to kill or seriously harm a specific individual or individuals, then you must take action. After the inmate has left the interviewing room, you must notify correctional staff. Complete a D.R./I Report and give it to your OS. The OS will contact the FS or RS as soon as practically possible. Remember to also make a note in the debriefing questions (if the interview is completed) at the end of the interview.

It is also possible, although unlikely, that an inmate may act out physically. If that happens, alert the CO immediately. Complete a D.R/I Report and give it to your OS. The OS will contact the FS or RS as soon as practically possible.

Our confidentiality pledge to the inmates covers not only what they say, but also what they do. So, unless imminent harm is a possibility, interviewers should NOT tell the COs anything about what transpired during an interview. Remember that behaviors that would not get someone in trouble outside of prison may be viewed very differently in a corrections environment. COs may be very friendly and curious, but revealing information about what happened during an interview is absolutely not allowed.



**Exhibit 3-6. Distressed Respondent Scenarios and Actions**

<b>Situation</b>	<b>Your Response</b>	<b>Reporting Procedure</b>
You notice R appears to be upset.	Ask if R is OK. If OK, proceed with interview.	No report to facility or OS is needed. Report it in the FI Debriefing Questions at the end of the survey.
You notice R appears to be upset.	Ask if R is OK. If R indicates not OK, ask if R wants to pause briefly in the room or if wants to stop the interview.	If R pauses briefly or breaks off interview: no report to facility or OS needed, but you will complete the Break Off questions on the DR/I report and submit it to your OS.
You notice R appears to be upset with more intensity.	Ask if R is OK. If R indicates not OK, then ask if you should contact the DR contact at the facility.	<p>If R declines offer that you speak with DR contact, record that request was offered and declined in the FI Debriefing Questions If the interview is complete. Do not report this to OS.</p> <p>IF R accepts your offer to speak to the facility’s DR contact, then tell the R who that person is and seek their approval to speak to that person. If R allows you to speak to DR contact, do so after R has left the interviewing room. Complete the DR/I report and submit to your OS.</p>

**Exhibit 3-7. D.R./I. Report**

Type of Report: (check one)       D.R.       Incident

Date:

FI:

Case ID (D.R. only):                      Inmate Initials (DR only):

Type of Incident (Incident only):     Lockdown over 1 hour  
     Staff  
     Inmate other than distress  
     Other:

Briefly describe what happened:

Document any action taken by FI/OS:

Was designated D.R. contact notified? (DR only)

Yes  
 No—why not?

### 3.11.4 Juvenile Reports Abuse Out Loud

If, after you have read the additional consent text for juveniles AND the juvenile tells you out loud that he/she has been abused, then you will listen carefully to what the juvenile says but **not ask any additional questions**. You should listen to everything the juvenile says and note only pertinent facts that the juvenile volunteered to you, such as Who abused the juvenile, What happened, When did it happen, and Where did it happen. If the juvenile says, "Last week, an officer attacked me in my cell." that is all you can report. Do not ask for the officer's name, the day or date, or any additional details. You should never ask additional questions. Your job is to listen to the account the juvenile tells and report only that information on the DR/I Report.

You will document this on the report as an "Incident" and as "Other." You should record the inmate's initials, so that later you can remember their name. Record only what you need to write down to recall the story later. At the next break, give the DR/I Report to your OS. Do not discuss anything about the situation until you have left the facility and can have a private conversation with the OS. The OS will ask for the details of the conversation and will report the abuse to the FS, who will report it to project management. They will review the incident and will take proactive steps, according to each state's reporting requirements. Do not report it to the facility yourself as this could put the juvenile in danger of retaliation from facility staff members.

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## 4.0 GENERAL INTERVIEWING TECHNIQUES

### 4.1 Introduction

As an interviewer working on SPI-PS, you are directly responsible for one of the most important aspects of the study -- ensuring that the interview is administered properly, according to project-specific and generally-accepted survey procedures. Because you will be asking all of the questions directly to the respondent and there are no self-administered ACASI questions, it is necessary to review general interviewing techniques.

It is extremely important that you adhere closely to all procedures at all times and that you administer the questionnaire **exactly as it is written**. It is critical to the quality of data collected from respondents (the inmates) that you carry out these procedures as they are outlined in this manual and are taught at training. This chapter will present the standard procedures for properly conducting the Survey of Prison Inmates – Pilot Study interviews.

The information covered in **Section 1.6**, which pertains to your role as professional field interviewer who conducts his or her work with utmost confidentiality and professionalism and **Sections 3.6 - 3.8**, which pertain to obtaining participation and building rapport all apply to your job in obtaining interview participation. Please review these sections of this manual if you are unclear about professionalism in your job and obtaining participation ethically.

### 4.2 General Questionnaire Format

SPI-PS will be administered using a CAPI (Computer-Assisted-Personal Interviewing) instrument. This will be an interviewer administered interview where you read the question and record the respondent's verbal response. The respondent will never enter in his or her own answers to any portion of the interview.

The program software has been developed to make questionnaire administration as easy as possible. The program has been tested by RTI project staff. There may be times when you are not sure that the program is working correctly. While you should be aware of technical problems you might encounter, trust that the instrument will function correctly.

### 4.3 General Questionnaire Conventions

The SPI-PS interview uses several different conventions that will be discussed below. It is essential that you become familiar with these conventions so that you will be able to use them correctly.

- Rule #1** All lowercase text or probes printed in **bold type** are mandatory. You must speak these statements out loud.
- Rule #2** When presented on the screen as optional probes or clarification statements, lowercase unbolded text is optional to read out loud. Otherwise, you must read these statements to respondents. You will learn what is optional to read and what is mandatory at training.
- Rule #3** Lowercase underlined text (**bold** or unbold) signifies that it is to be spoken with emphasis.
- Rule #4** Generally, (ALL CAPITAL LETTERS) enclosed in parentheses signifies instructions for you, the interviewer. ALL CAPITAL LETTERS not enclosed in parentheses is most often a question to you or is response options that are NOT to be read out loud. Text in ALL CAPITAL LETTERS is never to be spoken aloud.
- Rule #5** (Lowercase text in parentheses) signifies optional text. You will use your professional judgment to determine if you should read out loud optional text, which usually a definition or further explanation. Or sometimes the optional text is presented in parentheses when you have a series of questions that start with the same wording, such as: "In the past 6 months, have you ever....?" If you respondent understands that the questions, there is no need to repeat. However, if you are ever not sure, it is always best just to read the text in parentheses, as well as the remaining text of the question.

## 4.4 Standardization of Questionnaire Administration

Standardization of questionnaire administration is crucial to a study such as SPI-PS. This means that **every** interviewer must administer **every** question in the questionnaire to **every** respondent **in the same way**. This helps to eliminate variability and interviewer bias, two factors that can seriously undermine the validity, or "believability," of the data gathered from a study.

Following the guidelines listed below will help to ensure that you are administering the questionnaire in a non-biased, standardized manner.

### 4.4.1 Asking the Questions

The following is a list of protocols to which you must adhere when administering the questionnaire.

- A. *Ask the questions using the exact words written.*

This may seem obvious, but it is key to ensuring comparability of the data gathered from the survey. If you change the wording in a question, even slightly, the respondent's answer may change accordingly. Consider these two questions:

- On average, how many hours of TV do you watch per week?
- How many hours a week do you watch TV?

The first question might elicit the answer "ten to twelve," while the second might be answered as "It depends on what's on; anywhere from three to twenty-five per week." The seemingly subtle change in the phrasing of the question resulted in very different answers. So, again, read every question exactly as it appears in the questionnaire.

B. *Ask the questions in the exact order in which they appear in the questionnaire.*

You will administer the questionnaire many times and may be tempted to take "short cuts." However, in the event that you become familiar with the questionnaire and know what questions are coming up, do not ask any question out of sequence. The questions are ordered as they are for very specific reasons. The meaning of a question may change or be unclear if it is asked out of sequence, and the resulting answer from your respondent may cause you to miss some questions entirely if you do not follow the prescribed order.

C. *Ask every question specified in the questionnaire.*

Never presume that the answer to an upcoming question has already been provided by a previous answer. The answer received in the context of one question may not be the same answer that will be received when the specific question is asked. The only questions that should not be asked are those that are part of a skip pattern.

D. *Read the complete question as it appears on the screen.*

The respondent may interrupt you and answer before having heard the complete question. When this happens, read the question again, making sure the respondent hears it through to the end. Do not assume a premature response applies to the question as written.

E. *Repeat questions that are misinterpreted or misunderstood by the respondent.*

The respondent might tell you that he/she did not understand the question or might look confused when trying to answer the question. He/She also might give an answer that seems illogical or irrelevant to the question that was asked. In any of these circumstances, you should simply repeat the question exactly as it is written. If the respondent asks you a specific question about what a question means (such as, "What do you mean by relationship?") you should not offer any explanations beyond what is provided on the screen. If there is no additional information to define the terms, then you politely say "Whatever 'relationship' means to you."

F. *Read the questions slowly.*

As you become more and more familiar with the questionnaire, you may be tempted to read through the questions more quickly, perhaps in an effort to reduce the burden for your respondent in terms of the time spent doing the interview. However, you must remember that this is the first time the respondent has heard these questions. Therefore, you must read slowly enough to allow for everything that you are asking to be understood. A pace of about one or two words per second is usually appropriate.

G. *Do not suggest answers to the respondent.*

As you progress through the instrument you will come across questions that you might think you know the answers to, based upon prior information you have heard. This can lead to a tendency to suggest or "verify" answers to the respondent. You should avoid this tendency and instead, read the question as written.

H. *Give the respondent plenty of time to choose their responses.*

As you become more familiar with the questions asked in the survey, you will learn that you will ask some questions that will require a lot of thought from the respondent. Some respondents and some interviewers may believe that they are taking too long to answer the questions and may rush through the questionnaire.

Do not rush the respondent and be sure to allow them to take as long as they need to give their response.

I. *Read introductory & transitional statements as they appear in the questionnaire.*

Since the questionnaire covers a range of topics and repeats very similar questions, it will sometimes be necessary to focus the respondent's attention on a new topic as it occurs in the sequence of questions. Introductory or transitional statements are provided to do this, and they must be read exactly as they appear in the questionnaire. These statements often contain instructional material for the respondent.

J. *Follow instructions to the interviewer (you) uniformly.*

Questionnaires are often more than just questions. When you administer the survey, you should follow the instructions and procedures exactly the same way each time you proceed through the questionnaire.

K. *Entries made by the interviewer should be accurate and clear.*

Make sure that your entries are correct, reflect the respondent's intent, and are recorded accurately. Errors in recording can significantly alter the responses and may not even be the same answer as the one the respondent gave.



- L. *Entries must represent the respondent's own opinions without bias introduced by the interviewer.*

Do not influence a respondent's answers by your behavior—that is, by your body language, your attitude, your tone of voice, or in any other way.

By following these rules of questionnaire administration you can ensure that the survey is administered to each respondent in exactly the same way and that the responses given accurately represent the respondent's experiences and opinions. This will guarantee that scientific principles were followed in the administration of the questionnaire and that the data gathered is of the highest quality.

#### **4.4.2 Probing**

One aspect of "asking questions" relates to probing. Probing is a technique used to help ensure that the answers given by a respondent are as accurate and complete as possible. Effective probes serve two purposes: they encourage a respondent to express him/herself completely, and they help the respondent focus on the specific requirements of the question. In order to know when to use a probe, you as the interviewer must be thoroughly familiar with the questionnaire and know the objectives of each question; that is, you must know what is being measured and what constitutes an acceptable response. Otherwise, you will have difficulty judging the adequacy of a response.

*All probes must stimulate thought and response without suggesting possible answers.* Only neutral or non-directive probes are used in the interviews. Some examples of proper probing techniques follow.

##### A. *Neutral Questions or Statements*

These probes encourage a respondent to further explain or elaborate upon a response. These must be stated in a neutral or non-challenging tone. Some examples of neutral probes are:

- What do you mean?
- Please explain that . . .
- Which would you say is closest?

B. *The Silent Probe*

A timely pause is the easiest and often the most useful type of probe. This lets your respondent know that you are expecting or waiting for additional information.

C. *Clarification*

Clarification probes are to be used when you judge the respondent's answer to be unclear, inconsistent, ambiguous, or contradictory. You must take care, however, not to appear to challenge the respondent; instead, tactfully express concern over not completely understanding the nature of the response. Some examples are:

"I'm not quite sure I understand what you mean by that. Tell me a little more."

"I'm sorry, but a few minutes ago I thought you said [CONTRADICTIONARY INFORMATION]. Could you clarify this for me?"

D. *Encouragement*

This technique involves your conveying to the respondent that you understand what he or she has said, and you would like to hear more. This would be the use of phrases like "I see . . . ," "That's interesting . . . ," "Uh-huh . . . ," etc. Non-verbal probes of this nature include a nod of the head or an expectant expression.

E. *Repetition*

Repetition could be either repeating the question, or repeating the response. The former is useful when it appears that the respondent may have misunderstood the question, or deviates from the topic at hand. The latter technique of repeating the response may produce additional comments or explanation from the respondent, especially if you say it in the form of a question. For example, if you ask the question, "How many times did you feel this way?" and your respondent says, "A lot," you could look at him or her and say, "A lot?" You are likely to get additional details or information, such as, "Well, I'd say at least once every week."

F. *Examples of Proper and Improper Probes*

Some examples of proper and improper probing techniques are given below. (NOTE: These questions are examples only and do not appear in the SPI-PS interview.)

**CORRECT Probe:**

**Question:** Including those television sets that are not used very often, or that may be in storage, how many television sets are there in your home?

**Response:** Oh, quite a few.

**Probe:** PAUSE -- How many?

**Response:** I think four or five.

**Probe:** The question asks to include TV sets that are not used or that may be

in storage. How many TV sets are there in your home?

**Response:** Well, then I'd have to say six.

In this example, the initial response consists of a very general statement about the number of TV sets. In the second response, a range is given. Finally, the second probe elicits a precise answer that satisfies the objectives of the question.

Consider another example using the same question where probing produces a response, but one in which the interviewer **improperly** directs the respondent.

**INCORRECT Probe:**

**Response:** Oh, quite a few.

**Probe:** Probably more than you need, huh?

**Response:** Yes. I guess we have one in every room.

**Probe:** Would you say that's about four -- including the kitchen?

**Response:** Yeah, sure I guess so.

Here, the interviewer literally gives the respondent the answer. In the first probe, the interviewer implies that he is expecting a large number. In the second probe, that is directive to the point of forcing the respondent to agree, the interviewer pounces on the words "every room." The respondent decides it is easier to agree with the answer that the interviewer has produced than to correct the number "about four." Focus on the question because valuable information could be lost if not properly asked or probed. For example, the fact that two TVs may have been in storage, or not in use, is lost completely in this second example.

### **4.4.3 "Don't Know" and "I Refuse" Responses**

When the respondent says, "I don't know," it can mean two things -- either he or she is not sure of an answer and needs more time to think, or he or she actually does not know how to answer the question. You must be prepared to discern between the two.

A respondent often will say, "I don't know" when asked to offer an opinion or attitude. He or she may find it difficult to put feelings into words. If you suspect this is the case, you should put him or her at ease by saying, "There are no right or wrong answers; just tell me how you feel about this."

When a respondent is uncomfortable answering such questions, he/she may respond "I

don't know" in an effort to avoid the question. If this appears to be the case, you again must make every effort to put your respondent at ease, reassuring him or her that the answers are confidential and are very important to the survey.

In the end, the respondent may insist that he/she does not know how to answer a particular question. Once you have properly probed for an answer, you should accept the response in the interest of not alienating the respondent, even if you believe he/she may be avoiding the question. Remember that there may be times when a respondent actually does not know the answer to one or more specific questions.

Many of the same rules apply when a respondent says "I don't want to answer that question—I refuse." When a respondent is uncomfortable answering such questions, he/she may respond "I don't want to answer that question" or "I'm uncomfortable answering that" in an effort to avoid the question. If this appears to be the case, you again must make every effort to put your respondent at ease, reassuring him or her that the answers are confidential and are very important to the survey.

Despite your efforts to assure the respondent, he or she has the right to refuse to answer any question. You will not bully or badger the respondent to answer the question. You should accept the response in the interest of not alienating the respondent, even if you believe he/she may be avoiding the question.

## 4.5 Recording Responses

Most of the questions in the interviews have pre-coded responses. There are some questions that are open-ended – that is, you must type in a response to the question. Some questions have pre-coded responses as well as an "Other (SPECIFY)" category. If the respondent's answer does not fit into a pre-coded answer, you must specify the response.

The recording practices below must be followed at all times to ensure that the recorded responses accurately reflect the respondent's answers.

LISTEN to what the respondent says and record the appropriate answer if the response satisfies the objective of the question. If it does not appear to satisfy the objective, then repeat the question.

TYPE EVERYTHING VERBATIM, especially for the open-ended or "Other (SPECIFY)" categories. It is important to record exactly what the respondent says in the computer.

**Recording ranges**—For questions that have coded response categories to which the respondent gives a range that spans two or more response categories, you are to probe for one answer by saying, "Please be more specific", or "Give me your best estimate." If the respondent is unable to give a response that fits into only one category and the question asks for:

1. TIME: Code the category with the most recent time (ex: "2 or 3 weeks ago," record as "2 weeks")
2. AMOUNT: Code the category with the greatest amount (ex: "\$25 or \$30, record as "\$30")
3. FREQUENCY: Code the category with the highest frequency (ex: "once or twice a week," record as "twice a week")
4. AGE: Record the younger age or drop the fraction (ex: "2 ½ years," record as "2 years".)
5. NUMBER OF DAYS, YEARS, MILES, ETC.: Record the greater number; round fraction to next highest whole number (ex: "75½ to 80¾ miles," record as "81 miles").

## 4.6 Avoiding Bias

Your job depends on your ability to ask questions, probe for more complete answers, and record responses without influencing a respondent. Maintaining your neutrality during all aspects of the interview process is one the hardest things to do. By remaining neutral, you avoid influencing respondents. This neutrality allows the respondent to provide his or her accurate and honest opinions. The following are some guidelines to follow to minimize bias.

A. *Do not assume answers ahead of time.*

During the course of the interview, you notice that your respondent has a wedding ring on his left hand. At a later point in the interview, you are supposed to ask the respondent about his marital status. But, because you noticed the ring, you assume that he is married, and you say, "And, you're married, right?" Not only have you re-written the question, you have made an assumption.

Your respondent begins to squirm in his chair and gleefully states that his wife just signed the divorce papers, and he hasn't pawned his ring for the cash yet. You are now in a very uncomfortable situation and you have entered an incorrect answer...all because you assumed this respondent was married.

B. *Do not suggest answers.*

Sometimes interviewers think they know what a respondent "means." Or, sometimes interviewers become impatient with slow speaking respondents. Do not be tempted to help. Ask the questions as they are written. Provide answer categories only when you are supposed to read them. Politely wait for the respondents to provide their answer.

C. *Do not interpret questions, words, or answers.*

Except when instructed, interviewers may not change or interpret the wording of a question. Also, do not change a respondent's answer. You are to record the response as it is given to you. The same applies to individual words.

D. *Do not give your opinions - even if asked!*

Many respondents will ask you what you think, or will provide an answer and try to determine if you agree with their response. Do not offer your opinion - even after the respondent has answered, since this may influence a later response.

E. *Make sure a respondent understands that we have no preference for one response over another.*

Occasionally, you may be disheartened when the respondent gives an answer that requires a series of follow-up questions. Avoid showing displeasure with a grunt or sigh or disparaging remark. This will signal to the respondent that he should answer "no" to similar questions to please you.

F. *Do not allow body language or expressions to indicate your feelings.*

Successful interviewing is anchored in the respondent's perception of you as a professional, interested in his or her answers, without regard to your own opinions or beliefs. Do not give visual signs that you are displeased with a response. An ill-timed cough or yawn can send the message that you did not like the answer or that you are bored and want to get home. Be aware of everything you do and say and avoid any body language or statement that a respondent could interpret as displeasure.

G. *Don't rush the respondent.*

While it is helpful to maintain a "businesslike" approach to the survey and pace your respondent, it is not appropriate to rush a respondent. Rushing a respondent causes him or her to answer "no" to everything without giving any thought to their true response to a question.

The questionnaire involves asking very complex questions at times. These questions may take some thought on the part of the respondent and may cause them to feel like they are taking too long to complete the survey. Respondents may ask you if they are taking too long or they may start to apologize for taking what they perceive as a long time. If this occurs, simply tell the respondent that they are doing fine and to take as long as they need to answer the questions. Do not let the respondent sense that they are taking a long time. If the respondent senses your impatience, they will begin to rush through the questions and not answer honestly.

H. *Do not make judgments about a respondent's ability to understand questions.*

It is a mistake to reword questions based on your perception of the respondent's ability to understand. Just because a person speaks with an accent does not mean that the respondent cannot understand the questions being asked. Avoid the temptation to replace words with "easier" words. Respondents may surprise you. A person's accent or appearance may have nothing to do with their ability to

understand the questions as they are written. Be sure to ask the questions exactly as they are written.

## **4.7 Conclusion**

Following these questionnaire administration procedures is imperative. Any Field Interviewer found to be in violation of these procedures will be subject to disciplinary action and can result in termination from the project. This is not meant to be a threat. Rather, it is an attempt to stress the importance and purpose of procedures and why it is necessary to follow them. It may seem that you are being asked to maintain high response rates AND to follow all procedures exactly. Sometimes, the two may not mesh—you may lose an interview if a respondent refuses to complete the interview by the rules. The important point to remember is that you understand and make every effort to obtain all interviews according to the procedures specified. If you do this, you will be a successful interviewer on this study.

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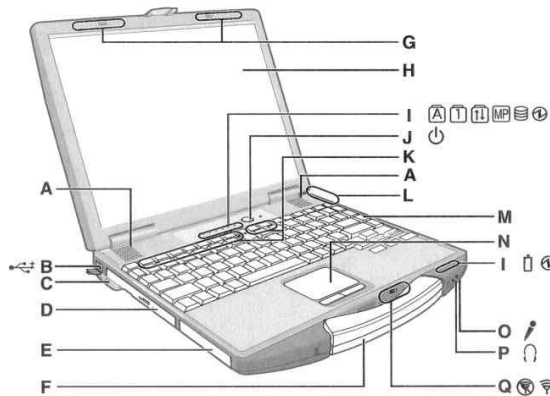


## 5. USING THE COMPUTER

This chapter discusses the care of your computer as well as the case management system (CMS): entering cases into the computer, assigning event codes, and bringing up interviews. It also discusses keeping track of your assignment.

### 5.1 Introduction to the Computer

#### Description of Parts



- A : Speaker**  
→ *Reference Manual "Key Combinations"*
- B : USB port**  
→ *Reference Manual "USB Devices"*
- C : Stylus holder**
- D : Multimedia pocket**  
→ *Reference Manual "Multimedia Pocket"*
- E : Hard disk drive**  
→ *Reference Manual "Hard Disk Drive"*
- F : Carrying handle**
- G : Wireless LAN antenna**  
<Only for model with wireless LAN>  
→ *Reference Manual "Wireless LAN"*
- H : LCD**  
<Only for model with touchscreen>  
→ *Reference Manual "Touchscreen"*
- I : LED indicator**  
  - ⏏ : Caps lock
  - ⌚ : Numeric key (NumLk)
  - ⏏ : Scroll lock (ScrLk)
  - MP : Multimedia pocket device status  
→ *Reference Manual "Multimedia Pocket"*
  - ⏏ : Hard disk drive status
  - ⏏ : Power status  
(Off: Power off/Hibernation, Green: Power on, Blinking green: **Windows Vista** Sleep/**Windows XP** Standby, Blinking green rapidly: Cannot power on or resume due to low temperature.)
  - ⏏ : Battery status  
→ *Reference Manual "Battery Power"*
- J : Power switch**
- K : Function key**  
→ *Reference Manual "Key Combinations"*

- L : Bluetooth antenna**  
<Only for model with Bluetooth>  
→ *Reference Manual "Bluetooth"*
- M : Keyboard**
- N : Touch pad**
- O : Microphone jack**  
A condenser microphone can be used. If other types of microphones are used, audio input may not be possible, or malfunctions may occur as a result.
- When recording in stereo using a stereo microphone:
    - Windows Vista**  
Click [Start] - [Control Panel] - [Hardware and Sound] - [Sound] - [Recording] - [Microphone] - [Properties], and then add a check mark for [No Filtering] in [Microphone Enhancements].
    - Windows XP**  
Click [start] - [All Programs] - [SoundMAX] - [Control Panel] and select [Microphone], and then add a check mark for [No Filtering] in [Microphone Enhancements].
  - When using a monaural microphone with a 2-terminal plug:
    - Windows Vista**  
Click [Start] - [Control Panel] - [Hardware and Sound] - [Sound] - [Recording] - [Microphone] - [Properties], and then add a check mark for [Voice Recording] in [Microphone Enhancements]. Otherwise, only audio on the left track will be recorded.
    - Windows XP**  
Click [start] - [All Programs] - [SoundMAX] - [Control Panel] and select [Microphone], and then add a check mark for [Voice Recording] in [Microphone Enhancements]. Otherwise, only audio on the left track will be recorded.
- P : Headphone jack**  
You can connect headphones or amplified speakers. When they are connected, audio from the internal speakers is not heard.
- Q : Wireless switch**  
→ *Reference Manual "Disabling/Enabling Wireless Communication" "Wireless LAN" "Bluetooth"*

Getting Started

### 5.1.1 Computer Care Instructions

- Do not eat, drink, or smoke when using the computer. Exposure to food, liquids, and smoke may damage the computer permanently.
- Do not leave the laptop in your car. Extreme temperatures can damage the computer and this is a significant data security violation.
- Do not place objects between the display and the keyboard.
- Do not open the screen at an angle greater than 180 degrees.
- Do not close the laptop lid while the computer is still on.
- Turn off the computer before moving it.
- When you pick up the computer, do not lift it by the screen. The screen is the weakest point.
- Do not drop or hit the computer against hard objects.
- Use the carrying case to carry the computer in and out of the facility (unless told otherwise by the facility).
- Bring only what you need into the facility. Leave things like the phone cord at home.
- Do not check the laptop when you fly!
- Use a soft cloth moistened with water to wipe the exterior of the computer.
- Use a soft *dry* cloth to *very gently* wipe the computer screen.
- Be aware that overwiping or using cleaners/sanitizers can cause the touchscreen to lose its accuracy.
- Do not spray cleaner directly onto the screen or keyboard.
- Do not use sanitizing gel, spray, or wipes on the screen or keyboard.
- Before we go any further, please **DO NOT** add to or alter the computer's software. **DO NOT** install games or other personal software on your machine. Any such tampering could cause the CAPI program to fail or reduce the amount of space available to store the interview data. The equipment receipt you sign expressly states **that you promise not to add to or alter the software.**

### 5.1.2 Turning the Computer On/Off

- Pull the carrying handle forward.
- Lift up the latch.
- Lift open the display.
- Press the power button (on the top of the computer on the right side) and hold it for about 1 second until the power indicator turns on before releasing it.

- Do not press the power button and hold it for more than 4 seconds. This will turn the computer off.
- Once the computer is on, you have to wait at least 10 seconds before turning it off again.
- To turn off the computer, you should be at the main screen of the CMS. Select the [**Exit**] button on the screen to turn your computer off. Do not press the Power button to turn off your laptop.
- **Do not close the laptop until your computer has completely turned off and the screen is black.**

### 5.1.3 Troubleshooting Problems with your Laptop

There are a few things you can try on your own to fix MINOR problems that you encounter with your laptop. If these tips do not fix the problem, notify your OS and FS. You may need to call RTI's Technical Support Group to fix the problem. (See **Chapter 1** for procedures to follow to call your FS or tech support.) See **Exhibit 5-1** below for common troubleshooting tips.

### 5.1.4 CheckPoint Username and Password

Every time you turn on your laptop, you will see a CheckPoint screen with two fields to enter information. This screen encrypts (protects) the data stored on the computer. It is a very important security feature of your laptop and must be used properly.

In the first field, you will first enter your username, which you will receive at training. Your CheckPoint username will never change.

In the second field, you will type in your CheckPoint password. You will create your password at training and you will be the ONLY person who will know that password. So it will be important to create a password you can't forget! Remember, at training, you will go through this process step by step.

NEVER write down the CheckPoint username or password. These must be committed to memory. Writing down either one of these items is like writing your PIN on your ATM card!

If you make a mistake while typing either your username or password, a pop-up box will appear that says, "Invalid Logon." Just click on the "OK" button and continue. Then a second box will appear that states something like this: "There have been one or more failed logon attempts on this PC since your previous successful logon." Click the "OK" button again.

**Exhibit 5-1. Common Troubleshooting Tips**

<b>PROBLEM</b>	<b>POSSIBLE SOLUTION</b>
<p>You type and odd characters appear on your screen, or your cursor jumps all over the screen.</p>	<p>Check to make sure that your NumLock is on. Look for the light with a number beneath it. If the light is off, press the NumLock button to turn on the light. Try again to type. If this does not fix the problem OR your NumLock light is on and there is STILL a problem, notify your FS.</p>
<p>You are unsure if you had a successful transmission of interview data.</p>	<p>One way to check is to open the CMS. A pop-up box will appear that will list any untransmitted cases. If there are IDs listed there, just after you attempted a transmission of CMS data (not an email transmission), then you did not have a successful transmission.</p> <p>Another way to check is to see if the day's completed cases (break-offs and completed interviews) disappeared from the CMS grid. If they disappeared, you had a successful transmission.</p>
<p>Your power cord is properly connected to the laptop and is plugged into an outlet, but the laptop is running on battery power.</p>	<p>Check the outlet to make sure it is working properly. Check your power cords to make sure that they are connected completely .</p>
<p>Your keyboard is unresponsive to typing.</p>	<p>It is very likely that this happens when you have left the laptop powered on, but not used it for a period of time. The laptop goes into a power-saving mode and the screen will be black. Moving your finger on the Touchpad will not awaken your computer. Instead, you should press the Power button briefly and the MS Windows login page will appear. The username will be pre-filled. Enter the password and press Enter. The screen will be restored to where you last were.</p>

Please note that if you take too long to enter either your username or password, you will be timed out and this same pop-up box will appear. It can be rather confusing and frustrating when it occurs. Please just click the [OK] button and proceed past the CheckPoint screen.

### **5.1.5 Microsoft Windows Username and Password**

After you navigate the CheckPoint screen, you will enter another (and different) username and password at the Microsoft Windows screen. Your username will be set prior to you receiving your laptop. Do not change this username. You will have this username for the life of the project. You will be told the password to enter on this screen at training. The password must also be committed to memory and cannot be written down.

All of these usernames and passwords will be easy to remember and with a little practice, will become second nature.

### **5.1.6 CMS Password**

Finally, to access the CMS, to work your cases, you will always enter a password. As with all other usernames and passwords, it must be memorized and cannot be written down. You will receive your CMS password at training. Once you have entered the CMS password, you will see the first screen in the CMS.

## **5.2 The Case Management System**

The CMS controls all of the activities on the computer. It allows you to generate a case, enter result codes for a case, start and complete an interview, transmit data to RTI, and complete your electronic Production, Time, and Expense Report (PT&E).

First, let's review how you move around or navigate in the CMS. There is no external mouse, so you should be comfortable moving the cursor using the TAB key and ENTER key OR using the internal mouse and TouchPad, found beneath the Space Bar. If you are not familiar with this, please let your FS and your trainer know this. It is critical to your success on this study that you understand how to navigate a computer screen without an external mouse.

Also, if you worked on the NIS study in the past, we will be using the same computers. BUT THE TOUCHSCREEN WILL NOT BE USED ON THIS STUDY. You will not be able to tap the screen to enter responses, etc. Instead, you will need to enter keystrokes to enter responses and to move around on the screen.

Let's talk about the various screens in the CMS. Once you have entered the CMS, the first screen is called the Main Menu. On this screen, you can perform the functions by selecting the appropriate button.

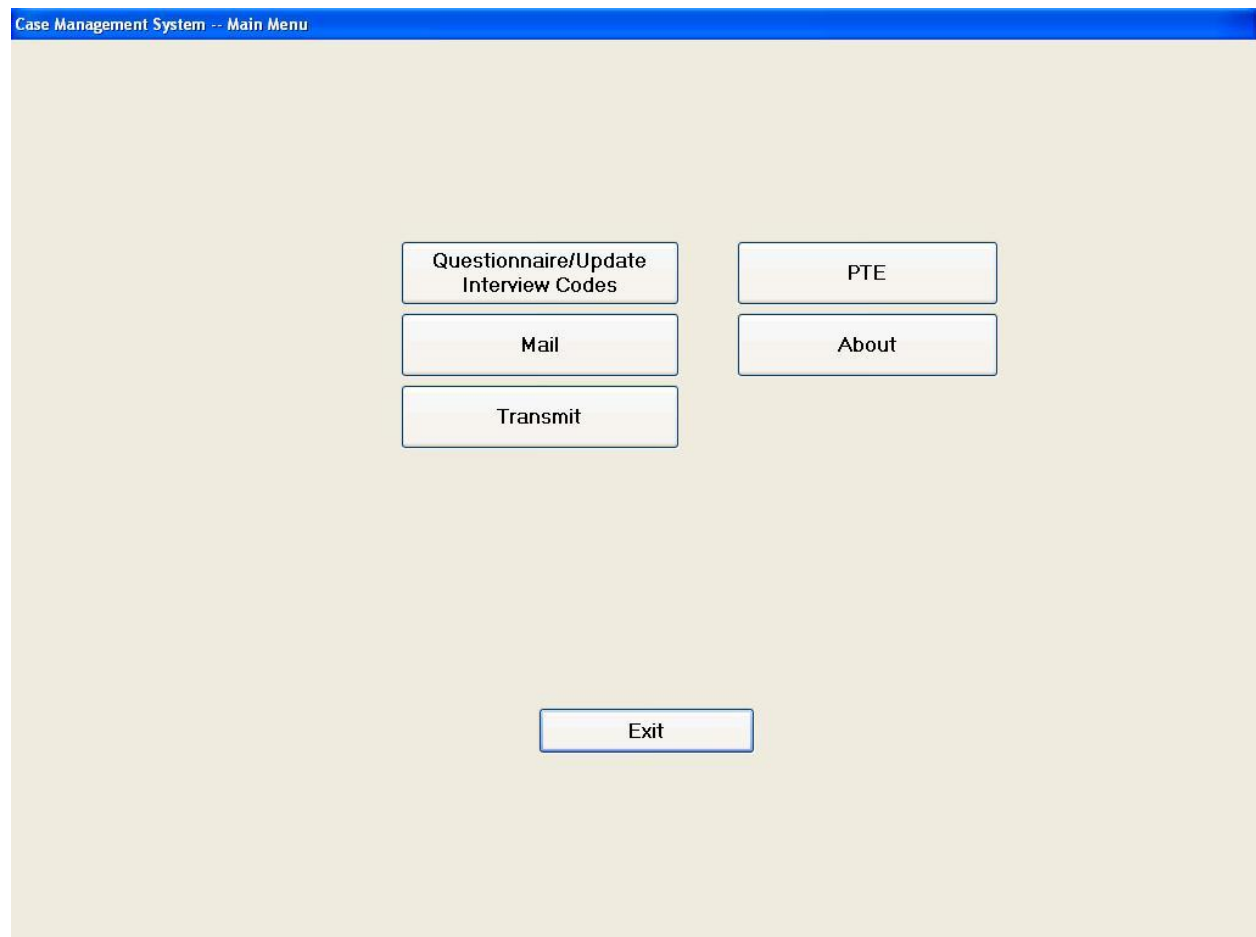
To select any of the buttons on the screen to perform that action, follow these instructions:

Use the [**Tab**] key and the [**Enter**] key: On the computer keyboard, press the [**Tab**] key until the button you wish to use is highlighted (when the dotted line outlines the button). Once you have the correct button highlighted, press the [**Enter**] key. This will cause the selected action to occur.

OR

Use the Touchpad (not the touchscreen): The Touchpad is the large gray square found below the Space Bar. To use the Touchpad, gently place a finger on the Touchpad. When you move your finger, the arrow will move on the screen. Move the arrow until it hovers over the button you wish to select. Then press one time the **left button** beneath the Touchpad. Remember the touchscreen will be disabled for the SPI-PS.

Beneath the screen image is a description of what each button does.



**Questionnaire/Update Interview Codes:** From here you can access either training or real cases, view the event history of a selected case, and update interview codes. (Training cases are used when you practice administering a questionnaire. Real cases are used when you work in a facility interviewing inmates.)

**Mail:** This button allows you to enter the Outlook Express e-mail program. More details about e-mail can be found in **Chapter 9**.

**Transmit:** This button makes the connection to RTI's server. The system can accommodate transmissions via analog land line (or dial up, using phone cord); Broadband (Internet, using an Ethernet cord); Wireless connection.

During a transmission, completed and finalized cases and other files may be received and/or sent. At the end of a transmission, the user sees a log window displaying the results of the transmission session.

Transmitting from this screen does NOT Send/Receive emails. A separate transmission, done when you are in your project email will send and receive emails. Transmissions are discussed in **Chapter 8**.

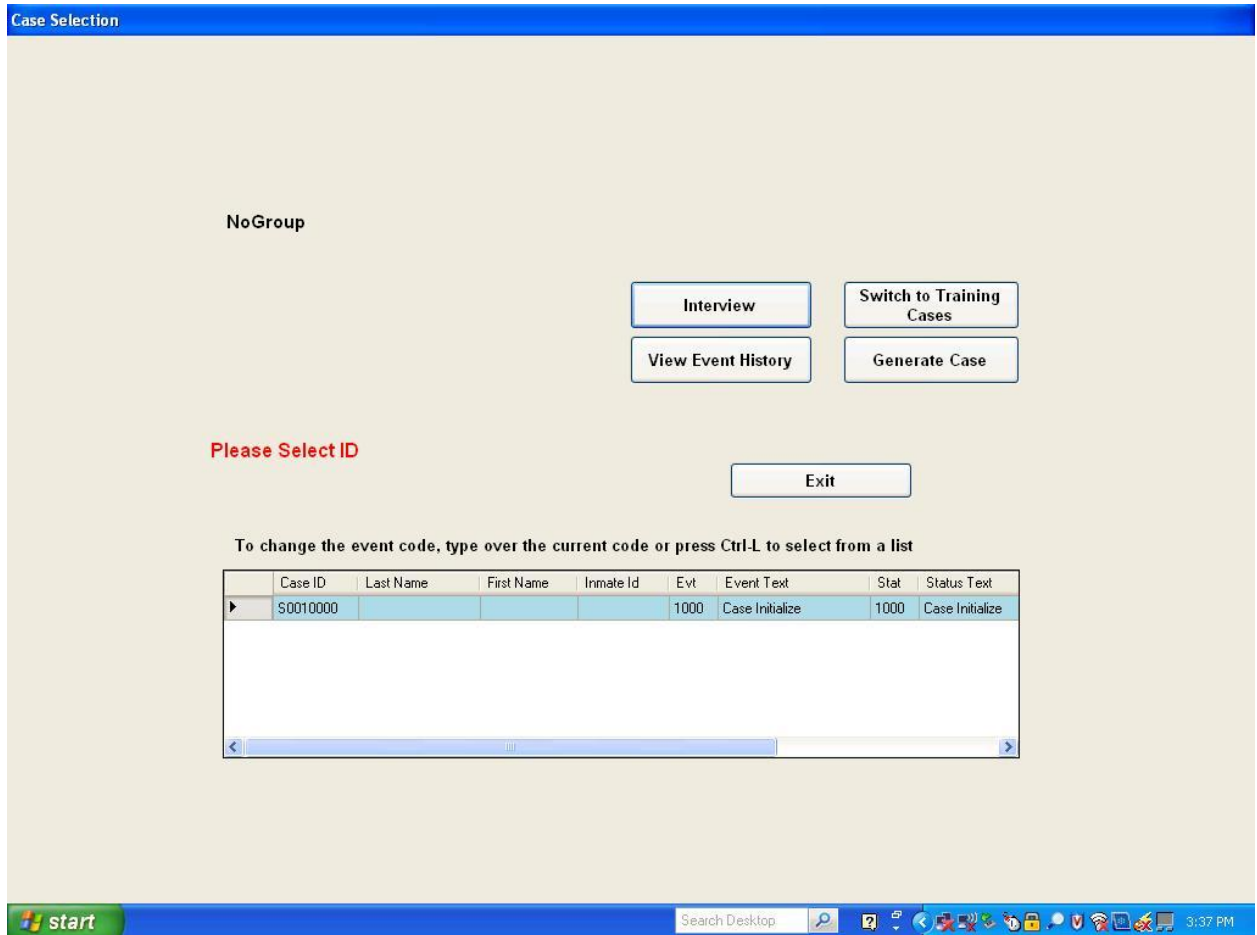
**PTE:** This allows you to enter and to submit PT&E information.

**About:** This displays the CMS version. You will not need to use this button unless asked to by field technical staff.

**Exit:** This button exits the CMS and shuts down the computer.

Once you are ready begin an interview or enter an event code for a pending case, select [**Questionnaire/Update Interview Codes**], found on the Main Menu screen.

The next screen you will see is the Case Selection screen. This is the screen you will use to work your cases. There are 5 buttons available to you on this screen. They are described below.



**Interview:** Choose this button to bring up a new interview, after you have generated a case.

**View Event History:** Use this button to review the pending event codes that have been entered so far for a case.

**Switch to Training Cases:** This is a toggle button to move between cases you will use at training or for practice AND cases you will use when you are working in a prison.

If you are in Training Cases Mode, this toggle button will say, **Switch to Real Cases**. That indicates that the cases you are currently working on are training cases. If you are in real cases, pressing **Go to Training Cases** allows you to bring up training cases on which you



can practice. *Be sure that you are not in training cases mode when you are doing actual interviews and that you are not in real case mode when you are practicing!* Once you have registered a case in one mode, you cannot register the same number in the other mode.

**Generate Case:** This button is the first button you will use to begin to work a case on your computer. You must generate a case in order to assign pending and final event codes and to interview a respondent.

**Exit:** This button returns you to the main CMS menu.

Next, let's talk about the grid and what does each of the column headings means.

**Case ID:** This ID is generated by the computer automatically. This computer-generated ID is created so that you can complete an interview or assign an event code to the case. This ID is NOT found on the List of Sampled Inmates. It is generated by the computer, completely independent from the List of Sampled Inmates. IDs generated by the computer will start with a letter (P). The Case IDs on the paper List of Sampled Inmates will NEVER start with a letter.

**Last Name:** This is the respondent's last name, as it appears on the List of Sampled Inmates.

**First Name:** This is the respondent's first name, as it appears on the List of Sampled Inmates.

**Inmate Id:** This is the same as the Inmate ID that appears on the List of Sampled Inmates. This is the ID assigned by the statisticians at RTI. This is NOT the ID the prison assigned to the inmate by the prison.

**Evt:** This is the 4-digit event code assigned to describe the most recent event assigned to the case.

**Event Text:** A phrase that describes the 4-digit number.

**Stat:** The 4-digit code that describes the status of the case.

**Status Text:** A phrase that describes the 4-digit number.

### 5.2.1 How to Generate a Case

When you want to work a case, there are several steps you must take before you begin. Before you can generate a case, there are some initial steps to follow. First you must make sure that you have the current facility's List of Sampled Inmates transmitted onto your machine. (See **Chapter 8 for transmissions and Chapter 10 for checking your computer for pick of the List of Sampled Inmates.**).

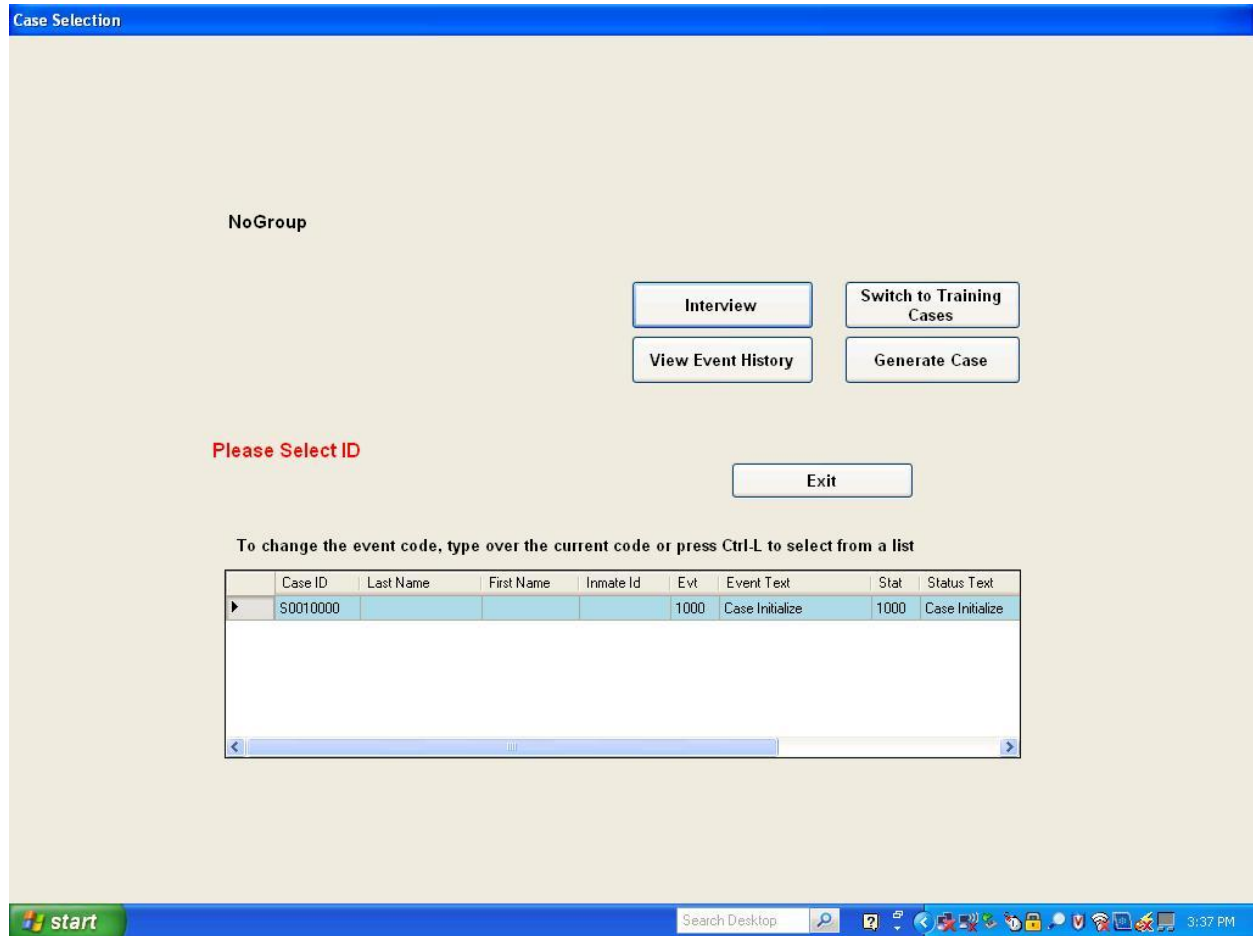
You will be told when that List is ready for pick up, either by your FS or OS. When you receive that message you will perform a transmission to RTI. This process will "pick up" the List of Sampled Inmates for your next assignment. In order for the respondent's name to appear in your CMS grid, you have to transmit and pick up (or electronically retrieve) the List of Sampled Inmates. If you are notified that the List is ready to be picked up and you are still at home, please transmit BEFORE you begin traveling to the hotel at the start of data collection. See **Section 10.2.2** for instructions on how to confirm that you have successfully transmitted and picked up the next needed List of Sampled Inmates.

Because you will not know in advance who you will be interviewing in the facility, you do not have a specific caseload on your laptop. Instead, you have the entire facility sample on your laptop. When you have the List of Sampled Inmates for the current facility on your computer, you are ready to begin work.

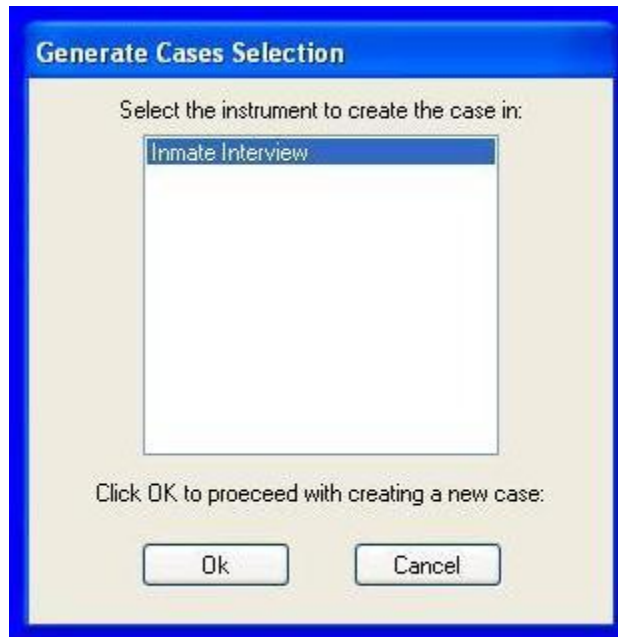
Once you are in a facility and ready to interview an inmate, you will need to ask the inmate to confirm his/her name and then you will look for his/her name on the List of Sampled Inmates, provided to you by your OS at the pre data collection team meeting. **Once you have found the name on the paper list, please confirm that you have the correct inmate by asking him/her to verify the date of birth and/or his/her Prisoner ID. (This is a necessary step because there have been instances of two people with the same name at the facility.)**

Once you have confirmed the respondent is the right person and he/she is on your List of Sampled Inmates, you can then generate a case. You must generate the case in order to work the case. Do not generate a lot of blank cases in advance. Please only generate a case one at a time, as needed. Also, once you generate a case for an inmate, you do not need to generate another case for the *same* inmate. Being mindful of generated Case IDs will keep your CMS grid uncluttered and easier to use.

To begin, click on [**Generate Case**] from the Case Selection screen.



At the next screen to appear, you will then move the cursor to hover over "Inmate Interview" in the white box and left-click once to select "Inmate Interview," your only option. This will select "Inmate Interview" and highlight the line in blue, as shown below. Then move the cursor to the [Ok] button and left-click one time.



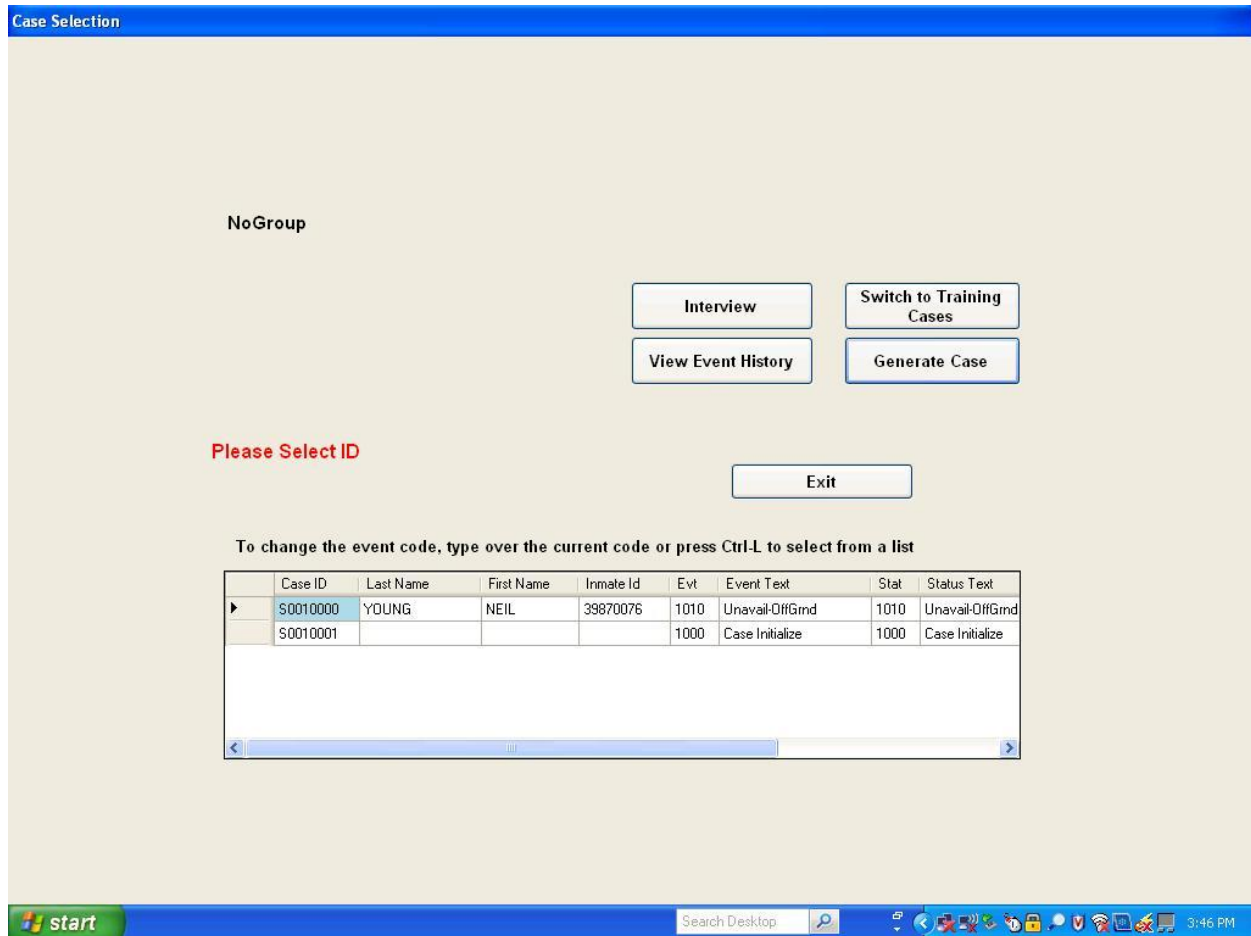
Next, a pop up box labeled "CMS" appears. The message states "You are about to create a new Case (a unique number prefills) Proceed:"



As long as the [Yes] button is highlighted, which it should be as this is the default, then you can press [Enter] to proceed with generating a case. There will be a slight pause as the case is generated on your laptop, while the case is created. If you did not want to proceed with generating the case, select [No] and press [Enter].) The computer will return to the Case Selection screen and no new blank case will be added to the grid.

For Training Cases, the computer-generated Case ID will start with T. For Real Cases, the computer-generated Case ID will start S (because of the project name). This new Case ID is NOT the Inmate ID on the List of Sampled Inmates, and it is not the Prisoner ID assigned by the facility. The Case ID you create here is for the computer system ONLY. The laptop tracks generated cases by this unique Case ID, starting with S.

If you did select [Yes] to proceed with case generation, the "Case Selection" screen of the CMS will appear, with the case generated displayed in the grid.



At this point in the process, only the computer-generated Case ID will display, as shown in the last line of the grid (See Case ID S0010001). Notice that the case you just generated is NOT the selected Case ID: the selected Case ID is S0010000.

In order to do the next step properly, you must select the line you wish to work. In this example, you want to work S0010001 and you would need to move your cursor down one line to select it. Otherwise, the cursor is pointing to S0010000, which is the wrong Case ID.

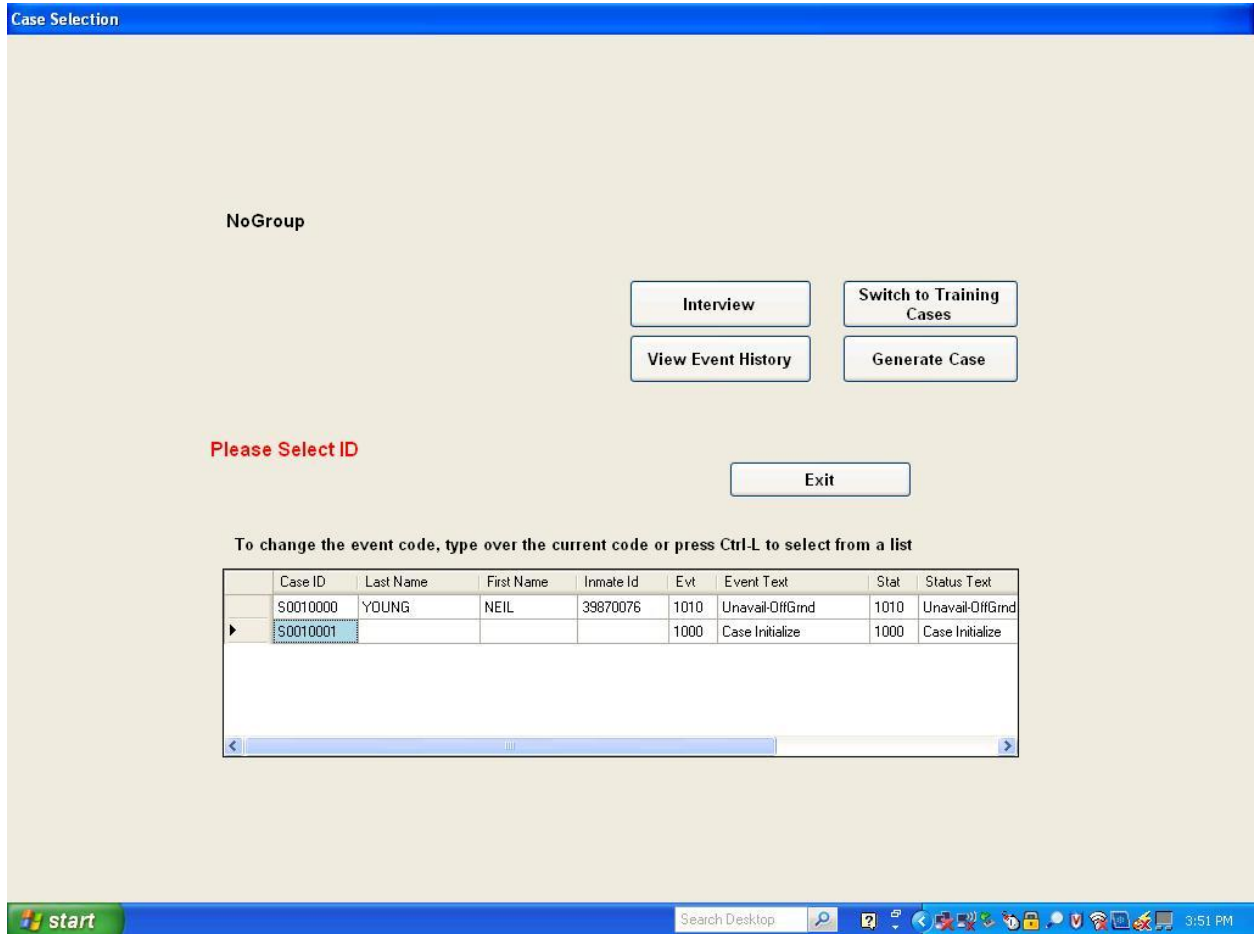
At this point, there is no name and no Inmate ID associated with the computer-generated Case ID. It is like a blank form at this stage in the process. This is why there is no name or Inmate ID associated with the computer-generated Case ID. Notice that the Event is a 1000

CLC

**Sample - All Subjects Facility ID: PTX999**

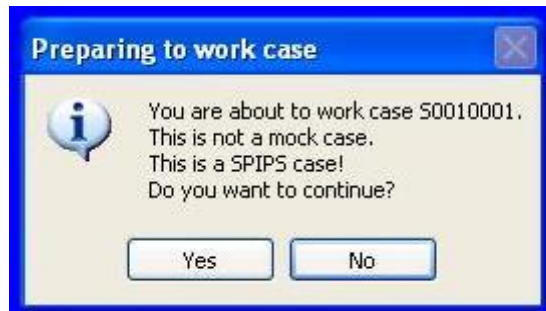
Inmate ID	Inmate Name	DOB	Adult	Prisoner ID	Housing Unit	HU 2	Case Status / Notes
1 39870076	YOUNG, NEIL R	8/13/1966	Y	0721058	H01	Wing A	S0010000 1500 EC 7/1 1010 Court EC 7/1
2 39870019	ROBINSON, DAVID J	6/29/1984	Y	0720990	H01	Wing A	S0010001 1500 EC 7/1
3 39870027	MARLOWE, JERRY G	8/25/1994	N	0721108	H01	Wing C	
4 39870050	JAMES, ERIC	5/13/1969	Y	0721015	H01	Wing B	
5 39870068	NAVA, JASON R	1/18/1972	Y	0720749	H01	Wing B	
6 39870100	DOWELL, STEVE M	3/18/1972	Y	0721134	H02	Wing B	
7 39870142	OSWALT, JOHN M	6/30/1957	Y	0720385	H02	Wing A	
8 39870167	MANILDI, ELLIS	1/26/1989	Y	0713452	H03	Wing E	
9 39870183	FRANCIS, MARK	4/1/1973	Y	0712000	H03	Wing E	
10 39870035	CORBETT, DANNY J	7/7/1984	Y	0721018	H01	Wing C	

After writing down the Case ID starting with S on the List of Sampled Inmates, you will assign an inmate name and inmate ID (from the List of Sampled Inmates) to this “blank” or unassigned Case ID on the laptop. To do this, make sure that the correct Case ID is selected, by making sure that the Case ID you want is highlighted in blue and the cursor is pointed to it. In the example below, an FI generated a case, ID S0010001 and it is selected. Then move the cursor to [**Interview**] and select it.



Next, you will see a pop up to confirm that you are about to work a case. You should always confirm that the correct computer-generated Case ID is displayed in this pop up box, by checking the ID you wrote on the List of Sampled Inmates for this inmate. If this **IS** the ID you want to work with, select [**Yes**].

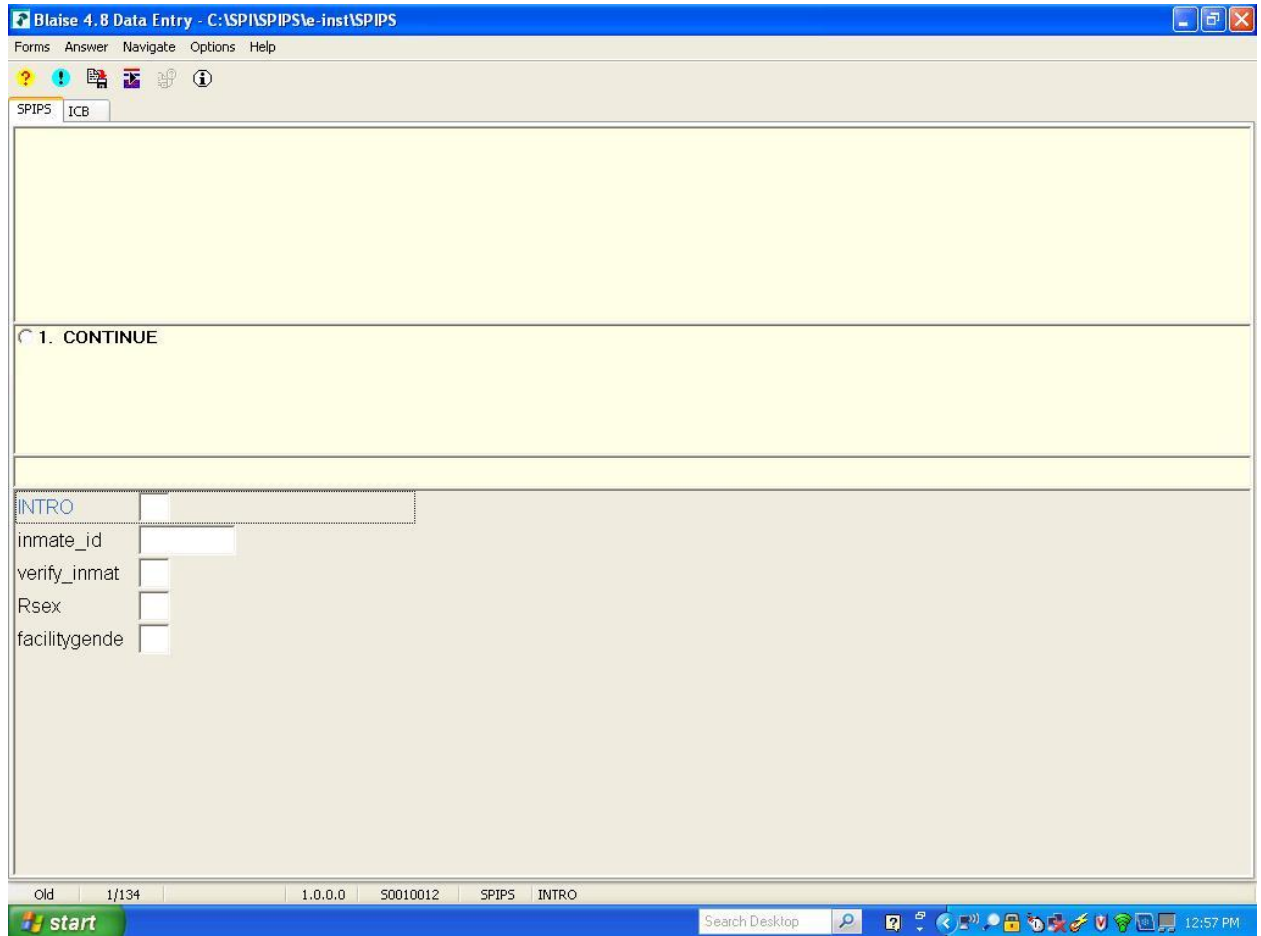
If you selected the wrong ID, select [**No**] and you will return to the previous screen. To proceed after confirming, press the [**Tab**] key to highlight the [Yes] button, then press [**Enter**].



The case will initialize, which can take a few seconds. Be patient. There is nothing you can do to force the computer to go faster!



At this point, you are in a real Blaise interview. This is the screen displayed:



Press [**1**] and [**Enter**] to Continue.

The next screen will ask you to look up the Inmate ID (which is the Inmate ID from the List of Sampled Inmates) and the Inmate Name. On this screen a look up table will appear as soon as you press any key.

Blaise 4.8 Data Entry - C:\SPI\SPIPSle-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

LOOKUP THE INMATE ID AND INMATE NAME

Enter a text of at most 8 characters

INTRO 1 CONTINUE

inmate\_id

verify\_inmat

Rsex

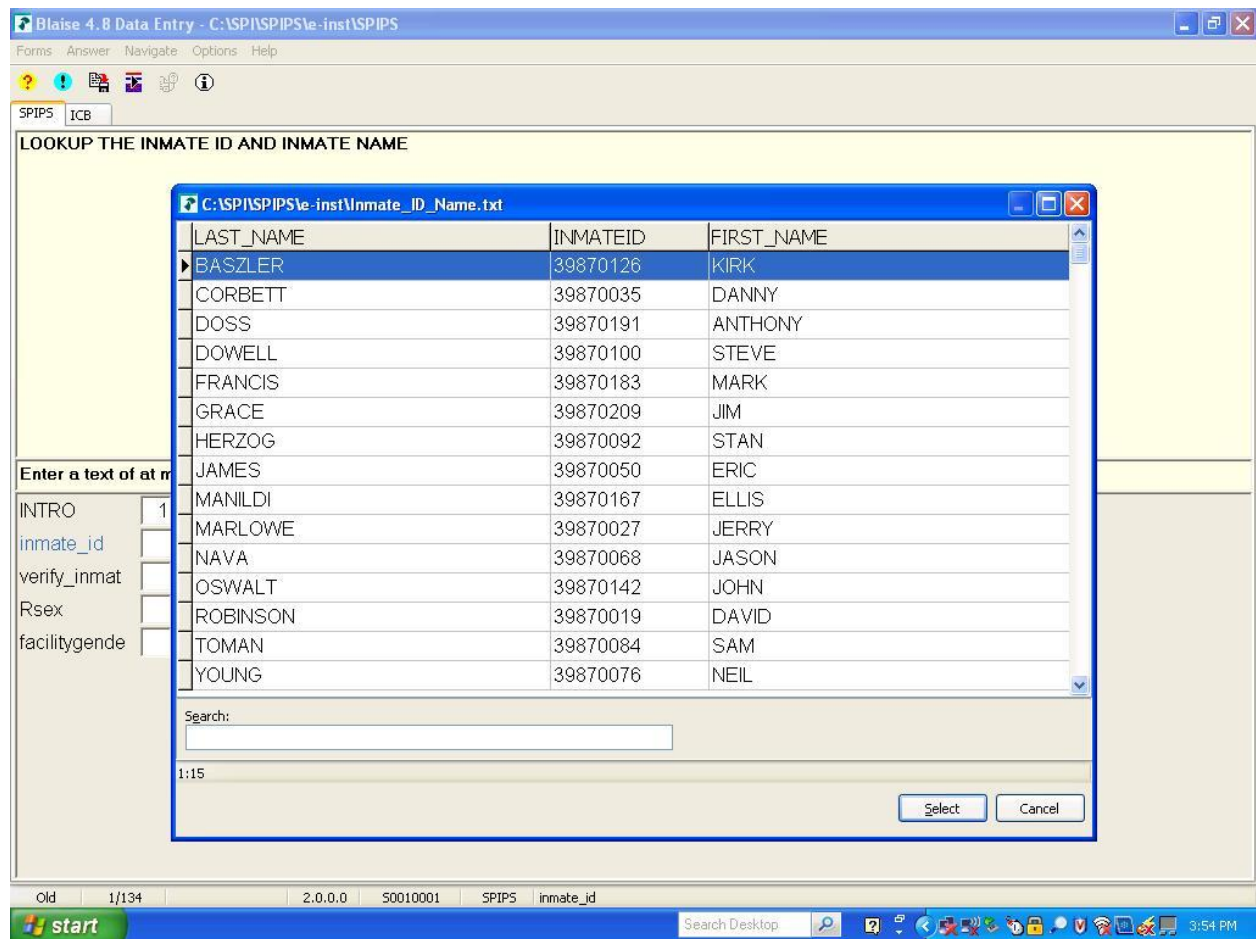
facilitygende

Old 1/134 1.0.0.0 50010012 SPIPS inmate\_id

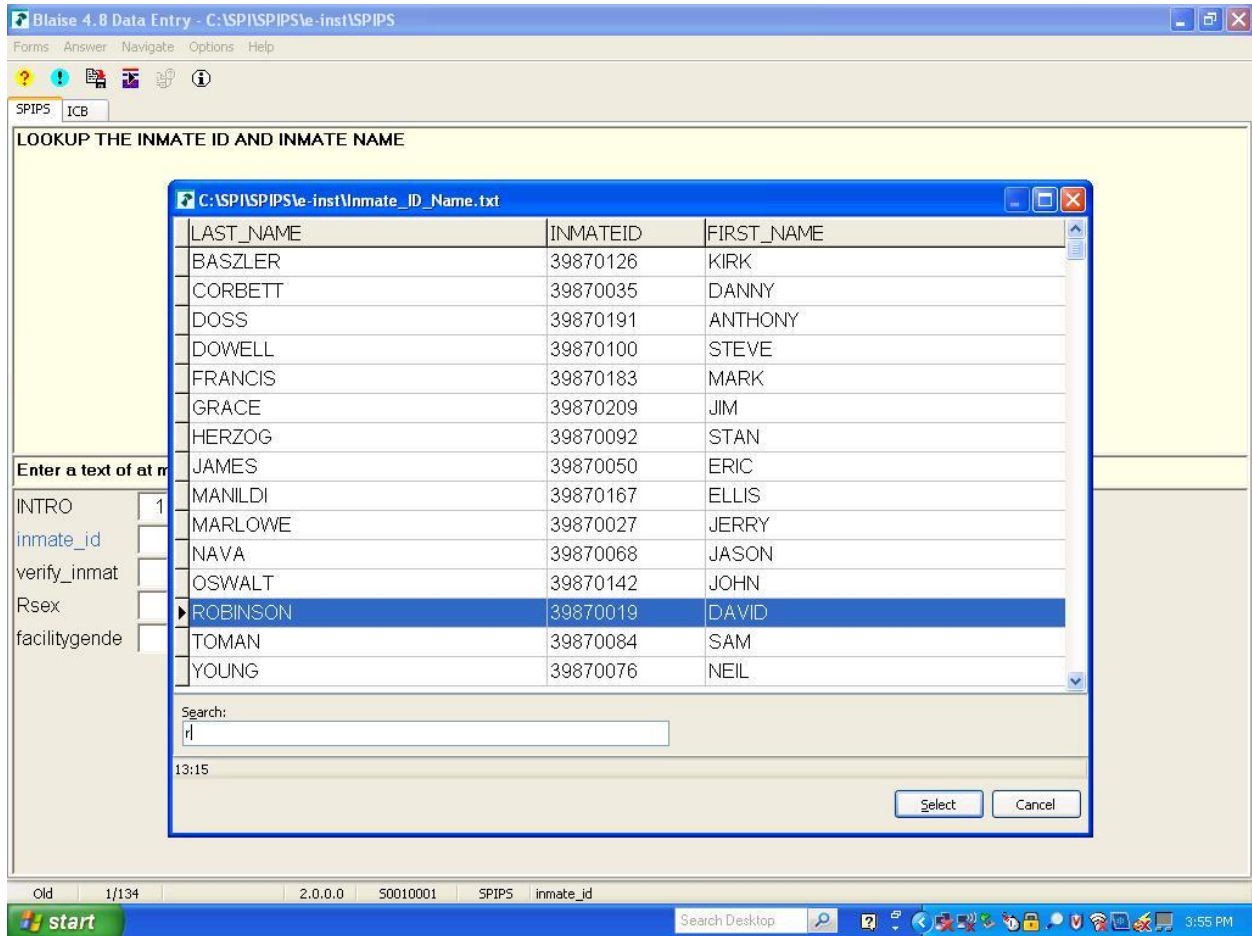
start Search Desktop 12:58 PM

The Look Up table will look like this. (See below on this page.) This table is the names and Inmate ID from the List of Sampled Inmates. PLEASE confirm that you have the correct names and Inmate IDs for the facility you are working. If you have the wrong list of inmates here, you cannot work cases. You will have to notify your OS who can update the List. If you have followed all of the pre-data collection steps to prepare to work, you should never enter a facility without the current list of names!

Review the list until you find the respondent. Be sure to confirm the last name, the first name, and the Inmate ID, which is the Inmate ID on the List of Sampled Inmates, by checking the paper List of Sampled Inmates.



When you find the respondent listed on the Look Up table, start to type the last name of the respondent until you find the correct name and Inmate ID. In this example, David Robinson, Inmate ID 39870019 is selected. When the correct line is selected, by displaying as a blue highlighted line, press [**Enter**] and the Look Up table will close.



Next, the computer will fill in the selected Case ID with inmate information you selected from the Look Up table:

Blaise 4.8 Data Entry - C:\SPIN\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

LOOKUP THE INMATE ID AND INMATE NAME

Enter a text of at most 8 characters

INTRO 1 CONTINUE

inmate\_id 39870019

verify\_inmat

Rsex

facilitygende

Old 1/134 2.0.0.0 50010001 SPIPS inmate\_id

start Search Desktop 3:57 PM

Press [**Enter**] again to proceed to the next question to verify that you selected the correct inmate. PLEASE take a moment to look at the name displayed in the question and to confirm that the person you want to either interview or assign a code is the one displayed on your screen.

Blaise 4.8 Data Entry - C:\SPIS\SPISle-inst\SPIS

Forms Answer Navigate Options Help

SPIPS ICB

ARE YOU SPEAKING WITH DAVID ROBINSON?

1. YES  
 2. NO

INTRO 1 CONTINUE  
inmate\_id 39870019  
verify\_inmat  
Rsex  
facilitygende

Old 1/134 2.0.0.0 50010001 SPIPS verify\_inmate

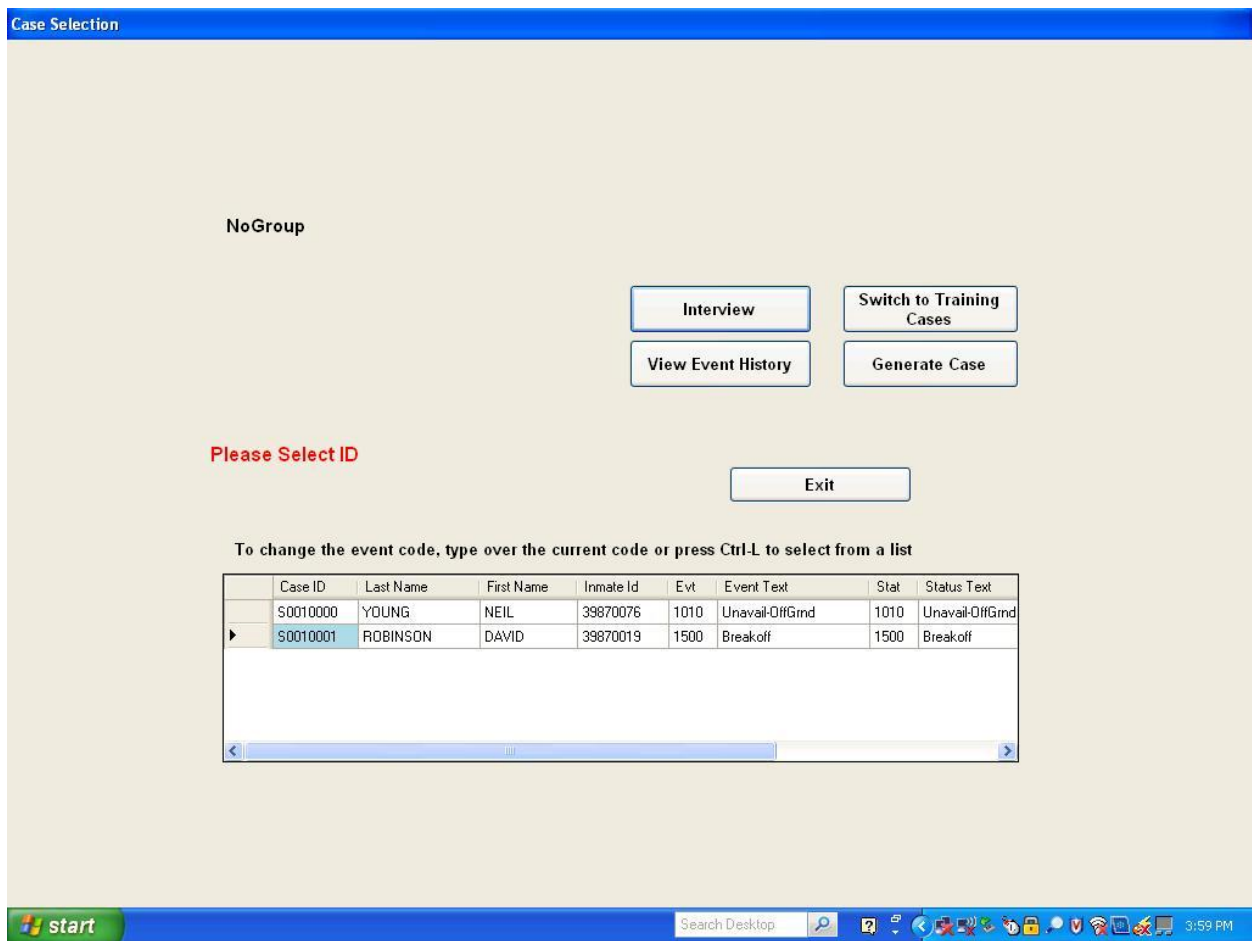
start Search Desktop 3:58 PM

If you are positive about the identity of the person, enter [**1**] for yes and press [**Enter**]. You have now successfully associated the computer-generated Case ID (starts with a letter) to an actual person! If this is not the name of the person you want, press [**2**] for no and press [**Enter**]. Doing this will prevent the computer from assigning this person to the computer-generated Case ID.

If you verified that you are speaking to the inmate whose name is displayed, you can take one of two paths. You can continue with the interview, by pressing the [Enter] key and moving to the next question. OR

If you are assigning an inmate to this Case ID in order to assign a pending event code (such as a refusal, release, etc.), then you will exit the case by pressing the [red X] in the upper right corner to close the Blaise interview.

After a few seconds, the Case Selection screen will appear. The Case ID you just assigned to an inmate will appear at the bottom of the list. In this view, the Inmate name and the Case ID you selected are now filled. The case is now updated to a new event of 1500, a pending break off.



When you see the code of 1500, you can then work the case to update event codes of the case. Once you generate a case and assign an inmate to that case, you do not need to generate another Case ID for that respondent again. You will be able to update the event codes for the case until it is assigned a final code. Assigning event codes is described in **Section 5.2.2** below.

PLEASE NOTE: You cannot generate blank Case IDs for ALL of the cases on the List of Sampled Inmates. Instead, you should generate cases for cases for which you are responsible. **Do not generate cases in advance.**

**IMPORTANT NOTES:**

**As you generate a case, it appears at the bottom of the CMS grid. This is because the computer puts cases in order by the computer-generated Case ID and NOT the Case ID listed on the List of Sampled Inmates.**

**The Case ID on the grid will be in numeric order and will start with a letter.**

**When the computer generates a Case ID, it is not the Case ID that is automatically selected in the grid. Instead, the computer will select the Case ID just above the one you just generated. To select the Case ID you just generated, you will need to move the cursor down one row. Otherwise, you will interview the inmate or assign a code under the wrong ID!!**

In **centralized** facilities, you will generate IDs for inmates with whom you speak directly. If you speak directly to an inmate, you will generate a blank Case ID, then assign a name to the blank case ID on your laptop. If you do not speak to an inmate, the OS or the FI who did speak with the respondent will be responsible for generating and assigning an ID.

In **decentralized** facilities, if you are the only person working in your assigned housing unit, you are responsible for all inmates housed in the unit and would generate and assign the Case IDs as you speak with the inmate or learn information about the inmate from the corrections staff.



**WARNING!!**

**Do NOT assign the same inmate to several computer-generated IDs.**

**Each inmate should have one and only one unique computer-generated Case ID.**

Be aware that you can select the same inmate over and over when you use this system. This system is not set up to remove an inmate from the Look Up table once you assign him/her to a computer-generated Case ID.

Your CMS grid should have one computer-generated Case ID for one respondent!

All of the steps to generate a Case ID and assign an Inmate to that ID are found in **Exhibit 5-2**.

Once you have generated a Case and assigned an inmate to that ID, the two most common actions you will take on the Case Selection by Group Screen are to select the "Interview" button in order to assign an event code to a Case ID or to conduct an interview. First, let's review how to enter an event code. (Conducting an Interview is discussed in **Chapter 7**.)

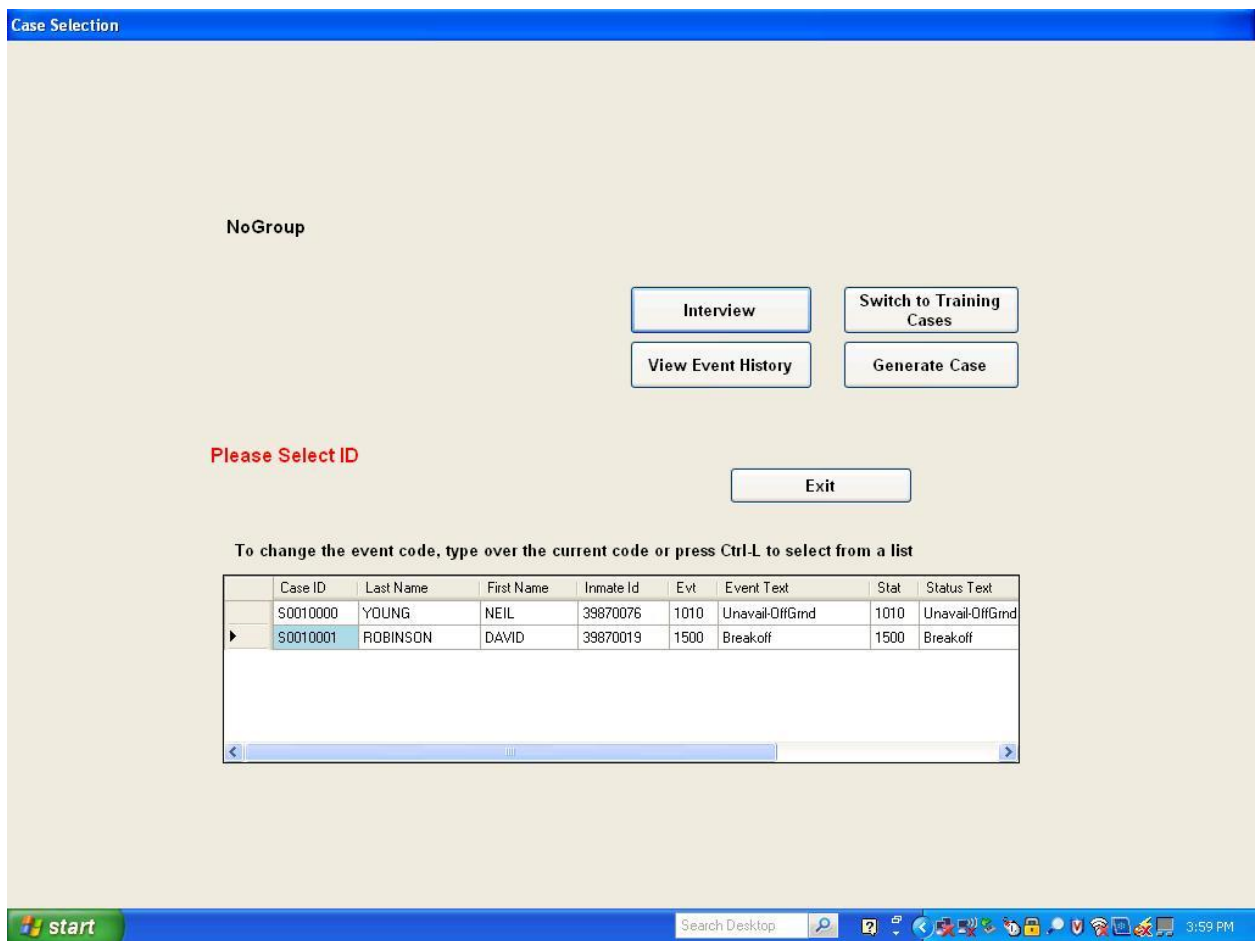
## Exhibit 5-2. Steps to Generate a Case and Assign an Inmate to the Case

1. Transmit to pick up the List of Sampled Inmates for the current facility. (**Chapter 8**).
2. Check the Roster Printing System on your desktop to ensure the List is on your laptop. (**Chapter 10**).
3. In the facility, verify that your respondent is on your List of Sampled Inmates.
4. Access the Case Management System on your computer.
5. Select [**Generate Case**]. A blank line will appear in the CMS grid, with an Event Code of 1000 (Case Initialized).
6. On the paper List of Sampled Inmates, find the inmate on the list. On his/her row, write the computer-generated Case ID in the Case Status/Notes column. This ID will start with the letter S.
7. Select [**Interview**] from the Case Selection Grid.
8. On the first screen in the interview, press [**1**] to continue.
9. Select the Inmate from the Inmate Look Up table:
  - a. Press any key to bring up the Look Up table
  - b. Type the last name or use the Up and Down arrow to select the Inmate from the list.
  - c. Look at the selection you made to ensure you picked the correct name from the list.
  - d. Press [**Enter**] to select the name from the list.
  - e. Press [**Enter**] again to enter the Inmate ID into the answer field in the questionnaire.
  - f. Read the screen and verify that you selected the correct name and press [**Enter**].
10. Continue with the interview until its completion; OR
11. If you are assigning a pending code to the case you created, press the [**red X**] in the upper right corner of the screen to close the instrument.
12. The Case Selection Grid will appear and the inmate name and ID will now appear in the grid. The case will be assigned a status of **1500**. This will allow you to assign updated pending codes to the case.

## 5.2.2 Entering Event Codes

To enter an event for a Case ID, you must first select the CORRECT Case ID. You can do this in one of two ways.

1. Use the Touchpad to move the cursor to the correct line and then left-click once, or
2. Press **Tab** on your keyboard until the black triangle is aligned next to the FIRST row of the grid. Then use the down (or up) **arrow keys** to move the black triangle to the correct row.



The screenshot shows a software window titled "Case Selection" with a blue header. The main area is light beige and contains the text "NoGroup" at the top left. In the center, there are four buttons: "Interview", "Switch to Training Cases", "View Event History", and "Generate Case". Below these is a red prompt "Please Select ID" and an "Exit" button. A instruction reads: "To change the event code, type over the current code or press Ctrl-L to select from a list". Below this is a table with the following data:

Case ID	Last Name	First Name	Inmate Id	Evt	Event Text	Stat	Status Text
S0010000	YOUNG	NEIL	39870076	1010	Unavail-OffGmd	1010	Unavail-OffGmd
S0010001	ROBINSON	DAVID	39870019	1500	Breakoff	1500	Breakoff

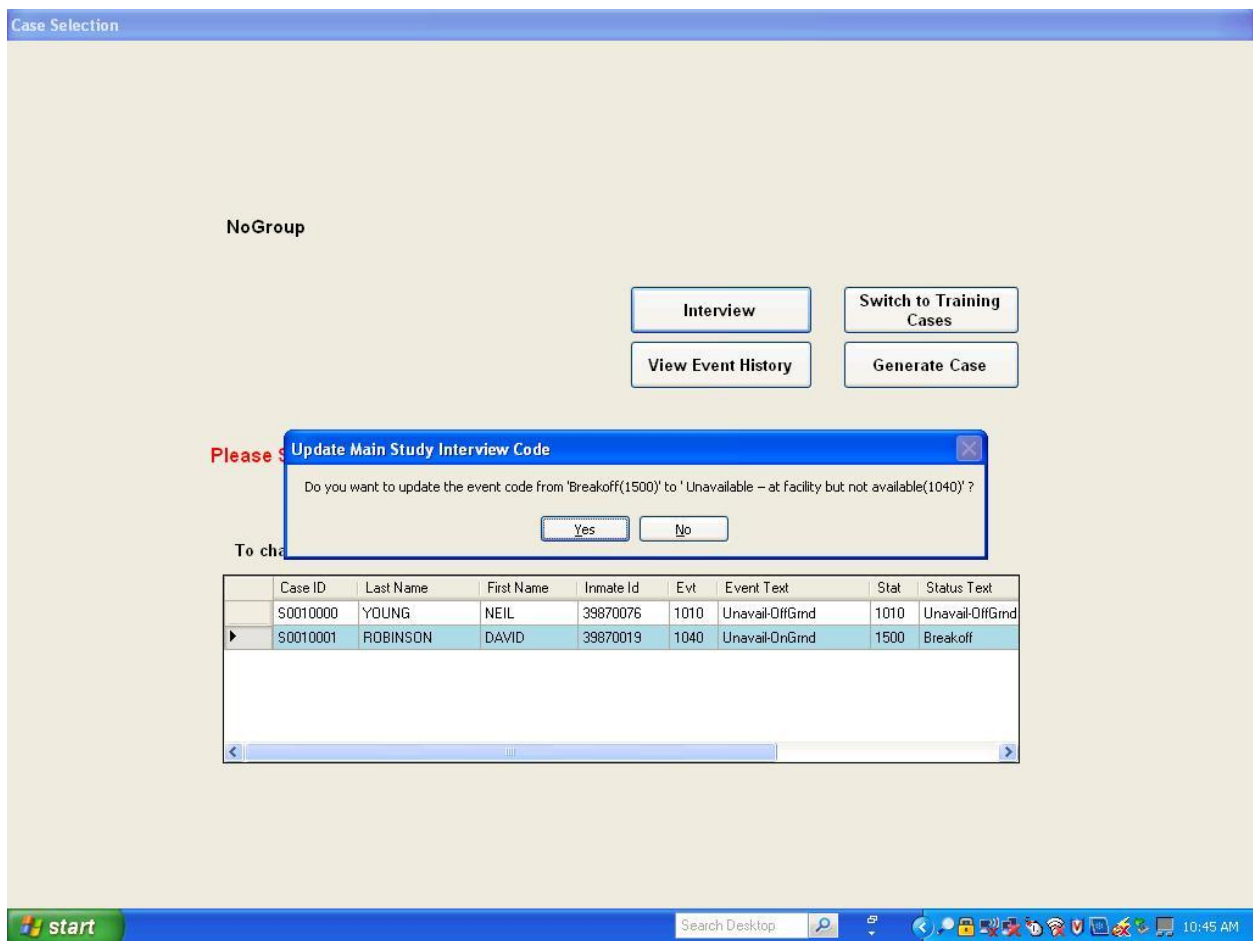
The table has a scroll bar at the bottom. The Windows taskbar is visible at the bottom of the screenshot, showing the start button, search bar, and system tray with the time 3:59 PM.

Once the correct row is selected, you can update and then edit the event code. You can do this in one of two ways:

1. Press the **right arrow key** until the box labeled "Evt" (the 5<sup>th</sup> column) is highlighted in blue. Then you can type in the event code, or

- When the correct Case ID is selected, you can bring up a dropdown list of event codes by holding down the **[Ctrl]** key and typing the letter **[L]** at the same time. (These instructions appear on the computer, just above the grid.) Then select the correct code from the dropdown list.

After the event code has been edited, press the **[Enter]** key on the keyboard and a confirmation screen appears (shown below). Please read the sentence in the message to confirm that the information you have entered is correct. If you do want to update the event, then press the **[Tab]** key one time so that the highlighted button becomes the **[Yes]** button. Then press the **[Enter]** key.



Next, the Event History Information Screen displays.

The screenshot shows a Windows desktop environment with a taskbar at the bottom. The taskbar includes the Start button, a taskbar search box, and several system tray icons. The time displayed is 10:46 AM. A window titled "Case Selection" is open in the background. In the foreground, a window titled "frmEventInfo" is displayed. The window contains the following fields and controls:

- Event Code:** (empty text field)
- Event Text:** (empty text field)
- Event occurred on:**
  - HH:MM AM/PM: 10 : 46
  - AM/PM selection:  AM,  PM
  - MM/DD/YY: 6 / 29 / 13
- Contact Type Attempted:**
  - By Phone
  - No Contact Attempted
  - In Person
  - E-mail
- Comments:** (empty text area)
- Save and Exit:** (button)

Working from top to bottom, left to right, follow these steps:

**Box labeled, "Event occurred on [DATE]:"**

Purpose of this box: This is where you enter information about when the event **actually** took place...NOT when you are entering the information.

Verify that the date the event occurred is correct. Since you are supposed to be updating codes in the computer between inmates or when you have during the day, the date should not have to be changed.

You do not need to enter anything for time since time difference is not significant to SPI-PS.

Next, you need to make sure that "Contact Type Attempted" is correct. Generally speaking, contact will have been made in person. To make a change, press Tab on the keyboard to

move from the event time and date to the contact type attempted box. Press the Up arrow key to select the contact type. When you have moved to your selection, press Enter and the circle next to your choice will be filled.

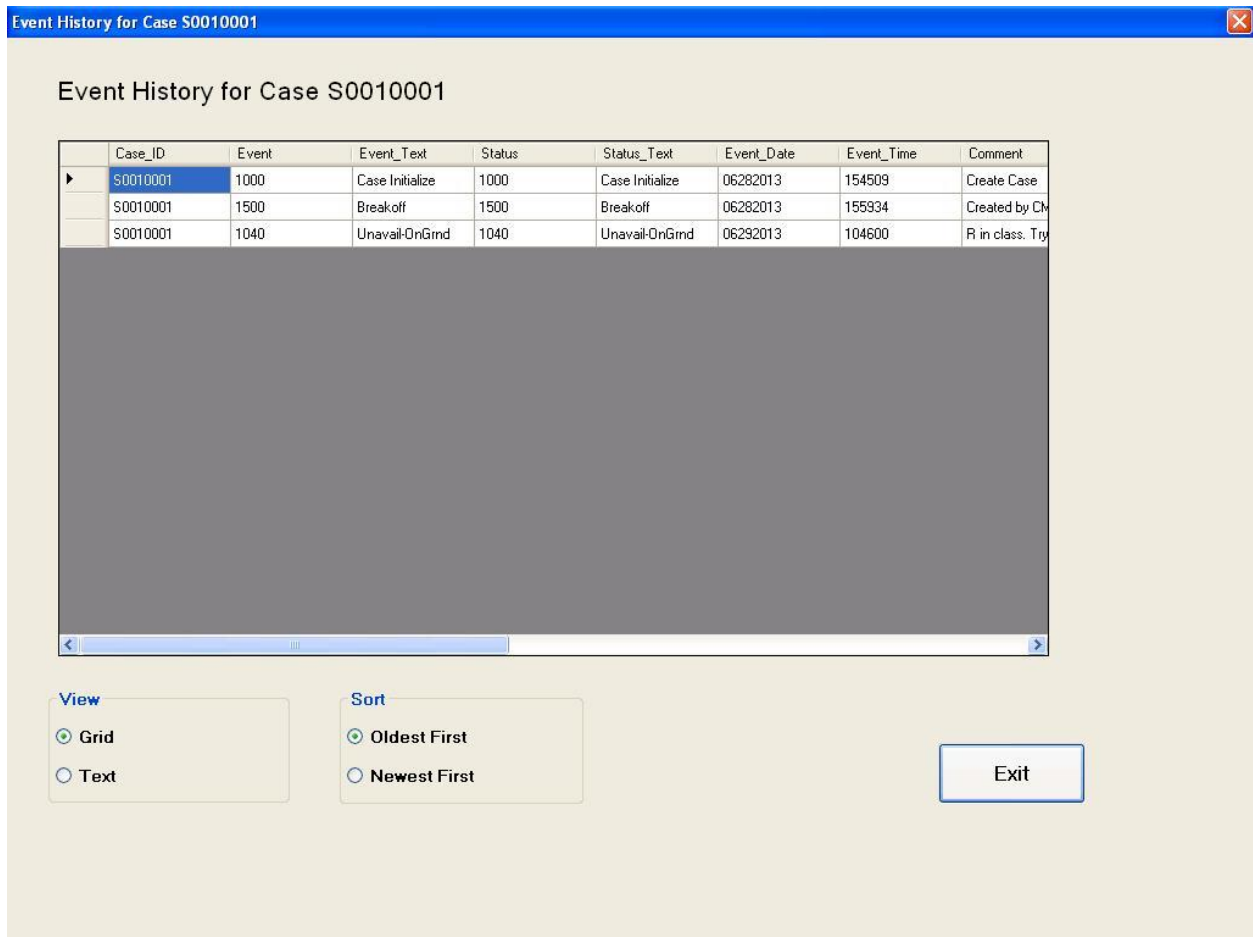
Next, press Tab to move to the "Comments" box. Type in any comments that will be helpful to you to recall this case. For example, if you need to speak to the inmate later, enter a comment to reflect this. Other examples are for unusual situations (e.g., break-offs, language barrier). Otherwise, comments such as "Completed" are not needed, as the code assigned to the case already indicates this. Likewise comments such as "Nice guy" are not necessary and are wasteful.

When you have entered the Event History Information, press Tab to select the [**Save and Exit**] button. When that button is highlighted, press Enter. Your entry is automatically saved and the computer will return you to the "Case Selection" screen shown above.

The updated event code will now display in the grid. The status code is also updated automatically. You should never change the status code, as this is always done automatically by the computer.

If you want to see what events have been entered for the Case ID so far, select the Case ID from the grid, then click on the [**View Event History**] button on the computer screen. To do this, you can move out of the grid by pressing [**Tab**]. Or you can use the Touchpad to move the cursor until it hovers over the [**View Event History**] button. When the cursor is on the button, press the left mouse button, found beneath the Space Bar.

After selecting the **View Event History** button, the following screen appears:



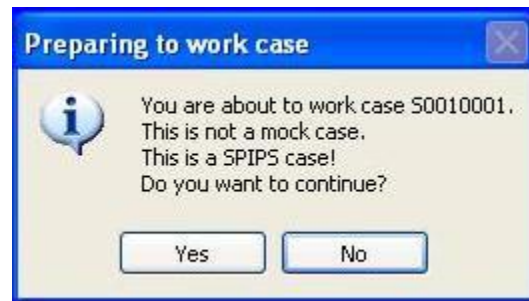
You can only read information on this screen. There is no way to edit or change the information on this screen. When you are done, press **[Tab]** until the **[Exit]** button is highlighted, then press **[Enter]** to return to the Case Selection Screen.

### 5.2.3 The Interview Button on the Case Selection Grid

Once you are ready to begin the interview, make sure that you are on the Case Selection, where the grid listing the case IDs you have generated and assigned to an inmate is displayed. Verify that you are working in Real Cases, by confirming that the Button in the upper right says, "Switch to Training Cases." Then select the case you want to open by moving the arrow up and down in the grid, until the Case ID is highlighted. Then press the Interview button. You can press the Interview button in one of two ways:

1. Use the Touchpad to move the cursor until it hovers over the **[Interview]** button, then left-click once, or
2. Once the correct Case ID is selected on the grid, press **[Tab]** until the **[Interview]** button is highlighted. Then press **[Enter]**.

Next, you will see a warning that you are about to work case (ID will be prefilled). Remember this is the computer-generated Case ID. Please make sure that you have selected the correct Case ID for the inmate you wish to interview. Otherwise, you are making an error that is cumbersome to fix. If you realize at this screen that you selected the wrong ID or you are not sure, select "No" to indicate that you do not want to continue. You will then be able to select the correct Case ID from the grid.



In the example above, the box specifies the case ID that you are about to work and that it is a real case, not a mock (or practice) case.

**IMPORTANT NOTE TO REVIEW:**

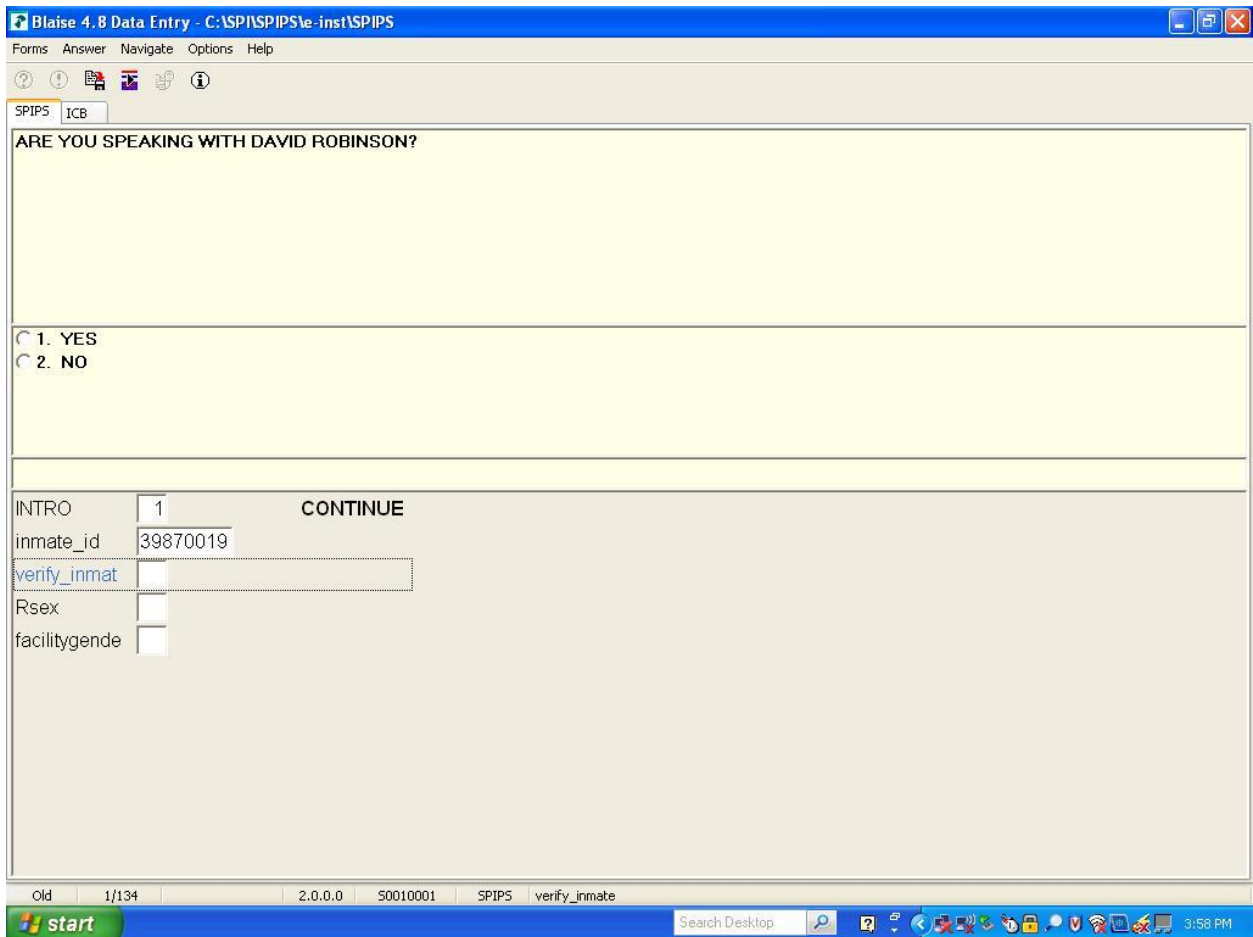
You must check TWO THINGS in this box:

1. Make sure you have the correct Case ID
2. Make sure you are working it as a real case (if you are doing a real interview) or a mock case (if you are just practicing).

If you do not have the right Case ID OR if you are in a "Mock" case when you are speaking with a selected respondent, press **No** to get out of the case. If you are sure that this is the case you want, press **Yes**.

If you press [**Yes**], you will enter the interview. For a few seconds you will see a screen with the word "Initializing" in the middle. Once it is done initializing, you will see the first screen of the interview:





Please confirm that the inmate ID is the same Inmate ID found on the List of Sampled Inmates. If it matches, you can proceed. If it does not match, STOP. Press the Red X in the upper corner and return to the Case Selection screen to pick the correct Case. **DO NOT INTERVIEW A RESPONDENT ON THE WRONG CASE ID.**

When you have confirmed the Inmate ID as correct, press [**End**] to go the last unanswered question and proceed through the entire survey. You should skip only a couple of questions and begin the interview with the question labeled, "verify\_inmat."

We have just covered accessing the Case Management System and what are the main tools of the CMS, as it relates to the interview: generate a case, interview a respondent, update event codes. In the next section, we will review the general computer program used on the SPI-PS interview. Once we review this, we will then discuss the actual SPI-PS interview content and review some of the questionnaire that will require your special attention. Later chapters will address transmissions, email, and ePTes.

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## 6. CONDUCTING THE BLAISE® CAPI INTERVIEW

In the section, we review the computer program you will use to conduct the SPI-PS survey. SPI-PS will use Blaise as the computer program, which was NOT used for NIS: the screens will look VERY different for SPI-PS. Also, the touchscreen will not be used on SPI-PS to enter information into the computer. For these reasons, this section of the manual will review how to navigate the SPI-PS Computer Assisted Personal Interview (CAPI) instrument. This chapter will discuss:

- entering responses into the interview
- entering “Don’t Know” and “Refused” responses
- error messages and consistency checks
- changing a response
- handling break-offs and resuming break-off interviews
- the various function keys

The CAPI development team has done everything it can to ensure the CAPI system is as easy as possible for you and the respondent to use. To use the system properly, however, you must become familiar with the general program features described in this chapter.

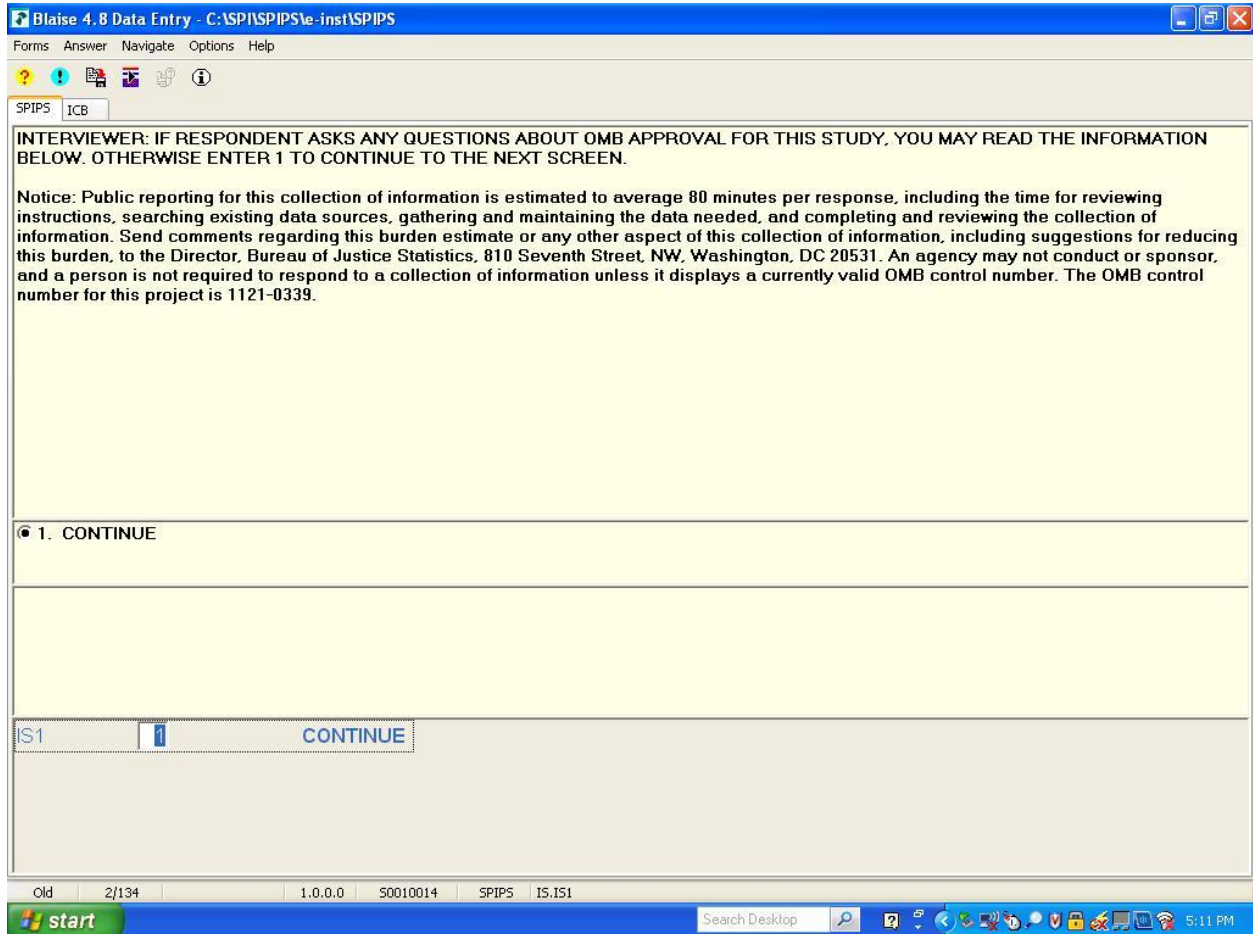
Throughout this chapter are several ways of presenting information. Understanding these conventions allows you to make easier references:

- [ ] (brackets) refer to a specific key on the keyboard. For example, if the instructions are to type an “a,” the text states “Press the [a] key.”
- [Tab] means to press the [**Tab**] key until a specified event occurs.
- [Alt] or [Ctrl][*letter*] means to press and hold down the [**Alt**] or [**Ctrl**] key, and pressing and releasing the **letter** of the command (such as [s] for start).

### 6.1 Layout of the Blaise® Screen

A typical screen found in the computerized interview looks like the screen displayed in **Exhibit 6-1**, Blaise® is a computer program used for conducting interviews. The Blaise® screen consists of five main parts: the top information bar, the question field, the available response options field, the answer screen, and the bottom information bar.

## Exhibit 6-1. First Screen of the Interview - OMB



### 6.1.1 Top Information Bar

The Blaise® application is Windows-based, so the very top of the screen has drop-down menus. Clicking the Forms, Answer, and Navigate menus displays function keys programmed for use with the screening and interview applications. Or, for quicker options, the programmed function keys include:

[F3] or ? Button	Don't Know
[F4] or ! Button .	Refused
[F10] .....	Language Toggle (We will not use this in the SPI-Pilot Study.)
[↑] [↓] .....	Used to move backward and forward within the instruments
[Enter] .....	Go forward to the next question
[Home] .....	Jumps back to the first question.
[End] .....	Jump forward to the first unanswered question

[Alt] [X] or Red X Break off the interview

[Page Up]..... Go to the previous screen of a multi-screen question

[Page Down] .... Go to the next screen of a multi-screen question

There are also three symbols located at the top of the screen you can click to record a Don't Know or Refused response, or to enter a comment. Click the Question mark (?) symbol to indicate a Don't Know response, and click the exclamation mark (!) for a Refused response.

### **6.1.2 Question Field**

The question field is located in the upper part of the Blaise® screen and contains the question text. Here you may also find specifications to help administer the question, including definitions of terms and information to assist you in probing. Please pay careful attention to the notes and instructions in this portion of the screen.

We have used different text conventions to indicate what you should read verbatim and what serves as instructions to you. **Do not** read text to the respondent that appears in ALL UPPERCASE. Text that you read verbatim to the respondent is in upper/lower case. Text in parentheses is optional.

### **6.1.3 Response Options Field**

A separate box below the question field contains the available response options for the item. For example, **Exhibit 6-2** shows the available response options for entering the month of a date of birth. Blaise® can capture one response per item or multiple responses for code-all-that-apply items. For items where a single response is expected, the case in **Exhibit 6-2**, a radio button appears next to the available response options. For items where multiple responses can be entered, a box appears next to each response option, as in **Exhibit 6-3**.

## Exhibit 6-2. Example Pre-Coded Question

The screenshot shows a Windows XP desktop environment with a data entry application window titled "Blaise 4.8 Data Entry - C:\SPI\SPIPS\le-inst\SPIPS". The application window has a menu bar with "Forms", "Answer", "Navigate", "Options", and "Help". Below the menu bar is a toolbar with icons for help, error, print, save, and information. The main content area of the application is yellow and contains the following text:

SPIPS ICB

What is your date of birth?

ENTER MONTH

Below this text is a list of radio button options for the months of the year:

<input type="radio"/> 1. January	<input type="radio"/> 4. April	<input type="radio"/> 7. July	<input checked="" type="radio"/> 10. October
<input type="radio"/> 2. February	<input type="radio"/> 5. May	<input type="radio"/> 8. August	<input type="radio"/> 11. November
<input type="radio"/> 3. March	<input type="radio"/> 6. June	<input type="radio"/> 9. September	<input type="radio"/> 12. December

Below the radio button options is a form with three input fields labeled "MONTH", "DAY", and "YEAR". The "MONTH" field contains the value "10", the "DAY" field contains "17", and the "YEAR" field contains "1966".

At the bottom of the application window, there is a status bar with the following text: "Old 4/134 1.0.0.0 50010014 SPIPS DEMO.DEMO1\_mm".

The Windows taskbar at the bottom of the screen shows the "start" button, a search box labeled "Search Desktop", and the system tray with the time "5:14 PM".

### Exhibit 6-3. Example Code-All-That-Apply Question

Blaise 4.8 Data Entry - C:\SPI\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

Which of these categories describes your race? You may answer yes to one or more of these categories.

- 1. White?
- 2. Black or African-American?
- 3. American Indian or Alaska Native?
- 4. Asian?
- 5. Native Hawaiian or other Pacific Islander?

Enter at most 5 values

DEMO1a	<input type="text" value="1"/>	YES	DEMO3f
DEMO1b			DEMO3g
DEMO2	<input type="text" value="2"/>	NO	<input type="text" value="DEMO4"/>
DEMO3a			DEMO5 <input type="checkbox"/>
DEMO3b			DEMO6 <input type="checkbox"/>
DEMO3c			DEMO7
DEMO3d			DEMO7s <input type="checkbox"/>
DEMO3e			DEMO8 <input type="checkbox"/>

Old 5/134 1.0.0.0 50010014 SPIPS DEMO.DEMO4[1]

start Search Desktop 5:25 PM

#### **6.1.4 Answer Screen**

The answer screen is below the response options and range bar and contains the answer field for the current question. Each answer field is identified by a unique name that contains up to eight characters, and that name sometimes reflects the question content or the questionnaire section. (In **Exhibit 6-3**, the current question name is DEMO4.) Sometimes, the answer screen displays only the answer to the current question. Other times, the answer screen may contain answer fields for more than one question, but the cursor—indicated by a small, blinking, vertical line—always flashes in the answer field for the question screen displayed.

#### **6.1.5 Bottom Information Bar**

The information bar at the very bottom of the screen provides information about the case. The most helpful to you is the reference to which screen in the series is displayed. For example, in **Exhibit 6-3**, screen 5/134 is shown, indicating that this is screen 5 of 134 in the interview application. This is helpful information to know if you have a computer problem and need to report to tech support the screen you were on when the problem occurred.

### **6.2 Entering Responses**

This section describes how to enter answers to different types of interview questions. There are five types of questions you can ask in Blaise® interviews. They are (1) numerical, (2) pre-coded, (3) code-all-that-apply, (4) open-ended, and (5) dates. These types of questions are discussed next.

#### **6.2.1 Numerical Responses**

Numerical questions require you to enter a number within an acceptable range. As discussed above, the acceptable range is displayed in the range bar at the bottom of the question screen. To enter a numerical response, type the number and press [Enter]. This automatically moves you to the next item. Note that you need not key a leading zero. For example, in **Exhibit 6-4** where the numeric value range is 0 to 12, a response of “9” can be keyed as [9] and does not need to be entered as [09].



## Exhibit 6-4. Example Numerical Question

The screenshot shows a software window titled "Blaise 4.8 Data Entry" with a menu bar containing "Forms", "Answer", "Navigate", "Options", and "Help". Below the menu bar are several icons, including a question mark, a warning sign, a printer, a mouse, and an information icon. The main content area has a light yellow background and contains the following text:

SPIPS ICB

Before you were released, how much time had you served in prison or jail on that sentence?

ENTER NUMBER OF MONTHS

Enter a numeric value between 0 and 12

Months Days Years

Below these labels are three small input boxes, one under each label. The "Months" box is currently selected with a mouse cursor.

At the bottom of the window, there is a status bar with the following text: "Old 12/134 1.0.0.0 50010014 SPIPS C.J.CJ8a". The Windows taskbar is visible at the very bottom, showing the "start" button, a search box labeled "Search Desktop", and the system tray with the time "5:21 PM".

Notice that directly underneath the question there is a bar indicating the range or number of values the computer accepts in answer to the specific question. In **Exhibit 6-4**, the allowable range is between 0 and 12. You must enter a numeric answer ranging from 0 to 12; if you enter an answer higher than 12, a range error box appears (for a discussion of error messages see **Section 6.3**).

### **6.2.2 Pre-Coded Questions**

Pre-coded questions require that you select one answer from a list of answer choices. The code number that corresponds to the appropriate answer choice is then entered in the computer. For example, for the question shown in **Exhibit 6-2**, to enter the response "October," you would press [**10**] and [**Enter**].

### **6.2.3 Code-All-That-Apply Questions**

Code-all-that-apply questions (as in **Exhibit 6-3**) allow you to select more than one response from a list. As with pre-coded questions, a number corresponds to each answer choice, and the answer field looks as it does for a single-answer question. To enter multiple answers, enter a number corresponding to an answer choice, then press the space bar and enter another number corresponding to a different answer choice. When you do this, a checkmark appears in the response options field next to the corresponding answer. A hyphen separates the multiple answers in the answer screen.

### **6.2.4 Open-Ended and "Other-Specify" Questions**

Most of the interview questions are formatted in one of the ways described above. There are, however, a few open-ended questions where you key the respondent's verbatim answer. The maximum length of text you can enter for an open-ended question is specified in the range bar at the bottom of the question screen. In **Exhibit 6-5**, the maximum number of text characters that can be entered is 30. The Other-Specify option in a pre-coded question is similar to an open-ended question. If you enter the number corresponding to the Other-Specify option, a follow-up screen appears where you must enter text specifying the other answer. As with open-ended questions, the length of the field is indicated in the range bar.

## Exhibit 6-5. Example Open-ended Question

Blaise 4.8 Data Entry - C:\SPI\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

**At the time of the arrest or charge in December,2010 that led to your current incarceration in what state and city or town did you live?**

ENTER CITY/TOWN

Enter a text of at most 20 characters

CJG8	CJ49b	<input type="text"/>
CJG9	description	WYOMING
CJG9_OTH	CJ49zip	
CJG10	CJ50	
CJG10_oth	CJ51a	
CJ48	CJ51b	
CJ48_oth	description2	
CJ49a	CJ52	<input type="text"/>

Old 81/134 1.0.0.0 50010014 SPIPS CJ.CJ49a

start untitle - Paint Search Desktop 5:30 PM

## 6.2.5 Date Questions

Some questions may ask the respondent to recall a date a particular event occurred (see **Exhibit 6-6**). Some questions allow you to type a single number to indicate the month (as shown in **Exhibit 6-6**). However, sometimes, you will type the answer as digits. For these questions, the answer section accepts the date as two digits for the month and four digits for the year.

### Exhibit 6-6. Example Date Question

Blaise 4.8 Data Entry - C:\SPIN\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

In what month and year were you arrested for or charged with those offenses?

ENTER MONTH

(IF MORE THAN ONE DATE GIVEN, TAKE THE EARLIEST DATE. IF NO PHYSICAL ARREST TOOK PLACE, ASK FOR THE DATE WHEN NOTIFIED OF CHARGES.)

1. January       4. April       7. July       10. October  
 2. February       5. May       8. August       11. November  
 3. March       6. June       9. September       12. December

Month: 12      Year: 2010

Old 37/134 1.0.0.0 S0010014 SPIPS C.J.C29a

start Search Desktop 5:31 PM

## 6.2.6 "Don't Know" and "Refused"

Don't Know or Refused responses generally do not appear as answer categories in the questionnaire, although they are within the acceptable range of responses. Because these responses are not displayed on the screen, the respondent is more likely to answer the question within the preferred ranges.

Don't Know and Refused are almost always possible responses for a question.

If a respondent doesn't know the answer to a question, probe gently first. If the respondent still doesn't know, then left-click the yellow "?" in the top menu area to enter a Don't Know response. The computer displays a highlighted question mark in the answer field.

If a respondent refuses to answer a question, then probe gently. If necessary, remind the respondent that all answers are confidential. If the respondent still does not want to answer, then left-click the blue exclamation point "!" in the top menu area for Refused. The computer displays a highlighted exclamation point in the answer field.

Just be careful to probe gently! Remember you cannot do anything that could be construed as being too aggressive or pushy or coercive when interviewing incarcerated respondents.

### **6.3 Changing Answers**

You may occasionally need to back up and change an answer to a previous question because the respondent changed his/her mind or you made a keying error. To back up, use the up arrow key [↑]. Each time you press the up arrow key, you go back one answer field screen. After backing up to the desired field and changing the answer, you can use the [End] key to return to where you left off, the next unanswered question.

If you make a mistake when entering an answer and have not yet pressed [Enter] to move to the next question, use the [Backspace] key to erase the information. The [Backspace] key does not let you back up to a previous screen—only use it to erase all or part of the answer you have entered in the current answer field. The [Delete] key lets you erase an entire response entered in an answer field. You can use it to delete the answer you've keyed in the current answer field, or you can use it to delete an answer to a previous question when you have backed up.

So to quickly change an answer, you can: (1) use the up arrow to back up, (2) use the [Delete] key to erase an answer that is to be changed, and (3) use the [End] key to jump forward again to where you left off.

### **6.4 Error Messages and Consistency Checks**

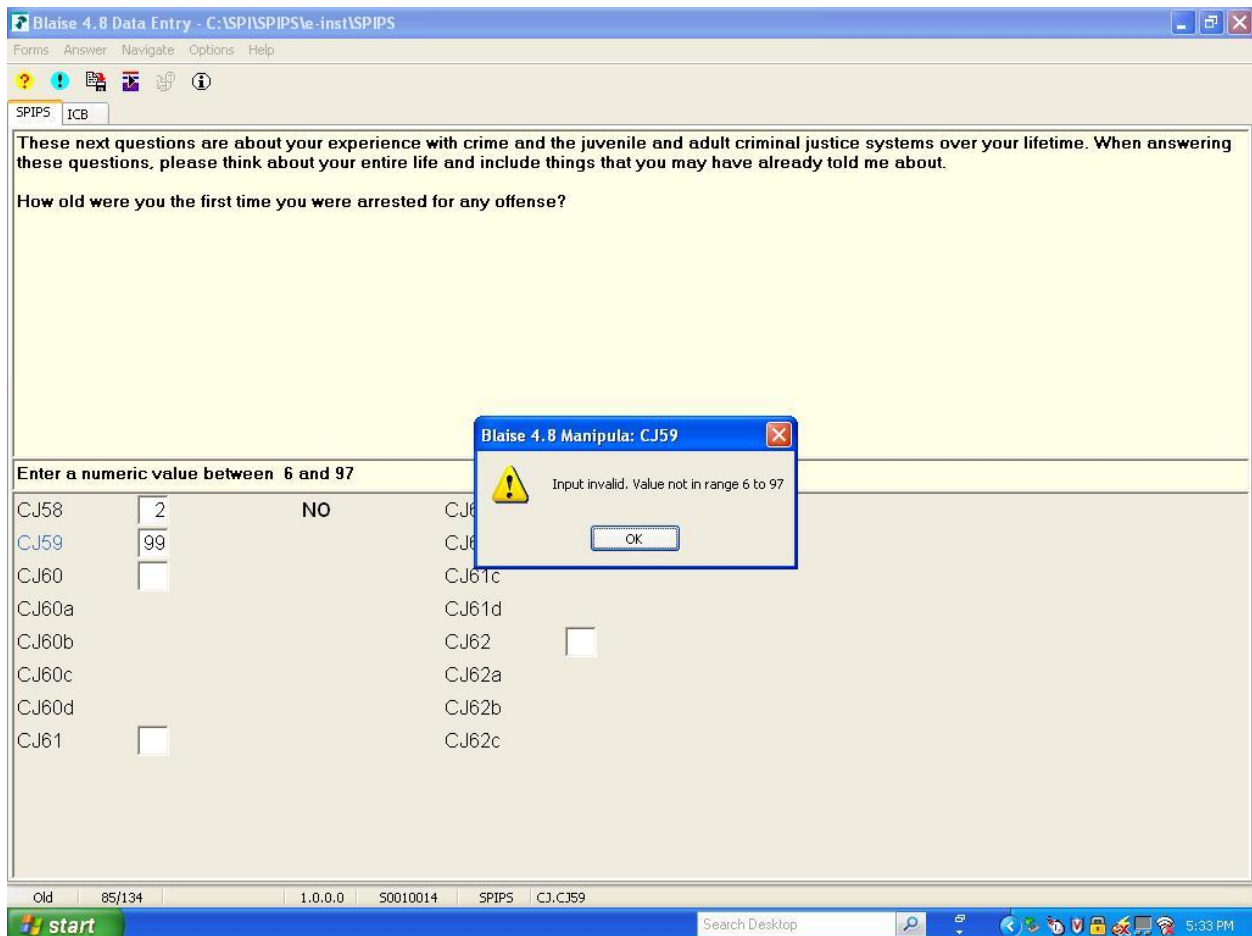
There are different types of error messages and consistency checks you may encounter during the interview. When the program determines that an error was made or an inconsistency was entered, you are warned with a message and asked to change your answer, or you are asked to choose between two inconsistent answers.

### 6.4.1 Range Errors

When you enter an answer outside of the allowable range, a Range Error message appears on the screen that reads "Input invalid. Value not in range" (see **Exhibit 6-7**). You cannot move on to the next question only after entering an answer within the acceptable range. Because the range is noted on the screen in the range bar, errors of this nature are rare. The cursor is still in the same field, and you should simply key an allowable response.

The same error message also appears when you try to enter a response for pre-coded or multiple answer field questions that are out of range. For example, if the response options are: (1) Yes, (2) No, and (3) Sometimes, an error message appears if you enter something other than 1, 2, 3, Don't Know, or Refused. Again, simply enter an answer within the allowable range to continue.

**Exhibit 6-7. Example of Range Error Message**



### **6.4.2 Consistency Codes**

Sometimes, you are routed to a consistency check screen if two of the respondent's answers appear to be incompatible. (See **Exhibit 6-8**) For example, in DEMOA2 where respondent reported entering the Coast Guard in 1985 and then reported being discharged in 1980 at DEMOA3, the discharge date preceded the entry date. One of these two numbers is wrong due to a data entry error or respondent confusion. If the participant claims that both answers are correct, you can click the Suppress button to accept both answers and move forward. If you probe and determine that one of the responses is incorrect, you can highlight the response to fix, and click the GOTO button to return to that item. After correcting the discrepant answer, press [End] to return to where you left off. If you entered the wrong answer and the consistency check screen appears, simply click on the Close button to close the consistency check screen and enter in the correct response.

## Exhibit 6-8. Example of Consistency Check Screen

Blaise 4.8 Data Entry - C:\SP\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

In what year were you last discharged from the United States Armed Forces?  
(ENTER 999 IF INMATE HAS NOT BEEN DISCHARGED/IS CURRENTLY SERVING)  
ENTER YEAR

enter 999 or 1920 to current ye

Questions involved	Value
DEMO.DEMOA3	1980
DEMO.DEMOA2	1985

Supress Close Goto

Old 6/134 1.0.0.0 50010014 SPIPS DEMO.DEMOA3

start Search Desktop 5:34 PM

## 6.5 Exiting the Interview

You can exit the interview in two ways. The normal exit for an interview occurs after you answer the last question in the final questionnaire section. There are times, however, when you are forced to exit the interview before it is completed. Both procedures are covered here.

### 6.5.1 Normal Exit

When you reach the end of the interview, you will follow the instructions on the screen. After a few seconds the system returns to the Case Management screen and a final interview code of 2000 is automatically assigned to the case by the program. The data are automatically saved upon exiting.



### 6.5.2 Break-off

At times you may need to stop, or break off, an interview before you have finished. This may be because the facility requires that you stop interviewing or because the respondent refuses to or cannot continue. Try to gently convince the respondent to continue, if you can, but if you must break off the interview, you can. However for SPI-PS, you will complete a set of debriefing questions BEFORE you exit from the case. **Section 7.4** describes how to navigate to the Debriefing Questions to properly close out an interview you started, but must break off.

For both break-offs and normal exits, **do NOT shut down or turn off your computer until you have exited the Blaise® interview program. Only then can you shut down by exiting the Case Management System correctly.** During the entire interview, the data are saved periodically; however, if you turn off or shut down your computer prior to exiting properly, the last few data items collected may be lost.

Once you break off an interview on SPI-PS, you cannot re-open it and resume the interview. You cannot interview the right respondent on that Case ID on your laptop. Instead, another interviewer will have to complete the interview on their laptop. (Handling this situation will be discussed at training.)

## 6.6 Exiting the Case Management System

Once you have completed an interview, including answering the Debriefing Questions, you should exit the Case Selection by Group screen:

- Press [**Exit**]. This returns you to the Main Menu screen.
- At the Main Menu, press [**Exit**].
- A pop-up box displays text asking if you want to Exit the SPIPS system.
- Select [**Yes**].
- Your Panasonic ToughBook shuts down automatically. DO NOT press the power button at this point. The computer is already off, so pressing the power button turns it back on.
- Do not close the screen display until the screen is completely black. The computer processes data internally until the screen goes to black. Closing the

screen before the balck screen interrupts this process and can cause your computer to become corrupt and to stop working.

## 6.7 Summary of Function Keys

Blaise® key combinations, often called “hot keys,” are key commands that you can use while conducting the interview. The following commands (in **Exhibit 6.9**) can be used throughout the interview unless otherwise indicated:

**Exhibit 6.9 Blaise® “hot keys”**

Function	Keyboard Command	Description
Back up	up-arrow key [↑]	Allows you to back up to previous answer fields. The current answer to the question is displayed in the answer field.
Go forward	[Enter]	Allows you to move forward one field or question as long as the current question has been answered.
Go forward one screen	down-arrow key [↓]	Allows you to go forward one answer field at a time as long as the current question has been answered.
Jump forward to next unanswered question	[End]	After you back up to a question, this command is used to bring you forward to the next unanswered question.
Jump back to the first question	[Home]	If you need to go back to the first question asked in the survey, this is the key you will use.
Break-off	[Alt] [X]	Allows you to exit the interview at any time.
Enter a “Don’t Know” response	[F3] or “?” Symbol	Enters the code for Don’t Know (a highlighted question mark).
Enter a “Refused” response	[F4] or “!” symbol	Enters the code for Refused (a highlighted exclamation point).

## 7. Conducting the SPI-PS Interview

Now that you have reviewed general interviewing techniques and the mechanics of completing an interview in Blaise®, let's review the actual Survey of Prison Inmates – Pilot Study questionnaire.

For this pilot study, RTI estimates that each interview will take approximately 80 minutes to administer. The survey will ask about The SPI-PS survey will ask respondents about a variety of topics, such as:

Demographics	Alcohol Dependency & Abuse
Criminal Justice	Drug Use
Socio Economic Status	Substance Dependency
Mental Health and Treatment	Drug and Alcohol Treatment
Physical Health and Treatment	Social Support Outside the Facility
Disabilities	Programs
Alcohol Use	Rule Violations & Complaints

The questions are designed to collect data on the characteristics of inmates, as well as their pre- and post-incarceration experience; current and future service needs, and post-release plans and expectations. None of the questions are considered of a sensitive nature, although some questions may cause a respondent to become upset. (**See 3.11** for handling distressed respondents.) For NIS veterans, the questions asked in this survey are much less suggestive than were asked in the NIS. The tradeoff is that SPI-PS has no ACASI questions. Instead you will read all questions to the respondent and his/her answers into the computer.

## 7.1 Starting the SPI-PS Interview

You will have a series of questions to complete before you begin the demographics section. For every interview, you will be presented with questions to answer, by observation. DO NOT ASK THESE QUESTIONS OUT LOUD.

You will enter the gender of the respondent as you observe it and you will enter the gender of the facility as well. This information is found on the Logistics Plan, if you are uncertain. The good news about this sometimes tricky question is that if you are ever not sure of the gender of the person you are interviewing, you will enter the gender of the facility. So if you are interviewing at an all-male facility, enter the respondent's gender as male.

Next is the OMB Burden Statement. You will read this ONLY if the respondent has questions about the burden associated with completing the SPI-PS questionnaire.

Then you will be asked to enter the Facility ID (found on the top of the List of Sampled Inmates) and your Headway ID. The Facility ID is not case sensitive. However, the preferred way to enter it is: Letters in ALL CAPS, following by digits. When you are prompted to enter the Facility ID, you will need to double check the ID by referring to the top of the List of Sampled Inmates. Be sure that you enter the correct facility when you work! An error in typing means that while you complete an interview at one facility, the system recognizes the interview as belonging to a different facility. Also, be sure to NOT enter a previous week's Facility ID. Some FIs did this on NIS because they were in the habit of entering the ID from the work done the previous week.

Finally, you will be asked to indicate if the incentive was allowed at the facility. When you enter a response to this question, be sure to think about the individual respondent, not the facility as a whole. RTI wants to know if the individual was allowed to have the incentive. This is an important distinction because the facility may allow the cookies but a respondent may not be allowed due to a medical condition. If this were the case, you would answer no.

Please do not enter the responses to these questions before you see the respondent. It is not a good use of your time! Instead, explain the respondent that you have a few questions to answer in the computer before you start asking questions of him/her. It will take you only a few seconds to complete these 4 questions. Then you will begin the actual questionnaire by asking a series of demographics questions, followed by the Criminal Justice questions, which can be tricky to administer.

## 7.2 The Criminal Justice (CJ) Module

The questions in this survey are designed to be asked and answered as easily as possible. The modules are designed to be very straightforward and easy for interviewers to administer. The Criminal Justice (CJ) module is very complex, however, and will require extra focus and attention to detail as you administer the questions in it. You will need to pay close attention to how you enter responses in order to move quickly and efficiently through this module. The data captured in the CJ module are extremely important and will directly impact other questions in later parts of the instrument.

The CJ module is arranged into separate blocks of questions about respondents' experiences with the U.S. criminal justice system, the specifics of their current incarceration, and detailed questions about offenses they have committed. The answers you enter into the laptop will determine which blocks of questions respondents receive. One of the critical sets of questions is designed to capture information about the respondent's offenses in order to determine their "Controlling Offense"; the crime or offense for which the respondent is currently incarcerated. If there are multiple offenses, the controlling offense is the crime that has the longest sentence the respondent has been given. When there are multiple offenses with a single sentence length or equal sentence lengths a hierarchy is applied to determine which offense is the controlling offense. Although you, as the interviewer, will not determine the controlling offense, the way in which you enter data about the offenses and sentence lengths will play a crucial role. The instrument is programmed to determine the controlling offense, based on data you collect.

You will be guided through a series of questions that will capture all of the crimes or offenses (or probation or parole violations) that were committed by the respondent, which led to the current incarceration. You will be given a detailed demonstration of how to complete this process during classroom training and you will be given ample opportunity to practice and have any questions answered by the trainer.

Because this data entry process is not something you may have done recently, we provide a quick overview of the process below.

You will ask the respondent to list all of the offenses that led to his/her current incarceration and record his/her answers using a Look Up table. This Look Up table has been designed to be both robust and flexible. It is very extensive and includes approximately 46,000 possible offenses so you should be able to find all offenses in this table. The table was created using actual raw data from previous inmate surveys and includes numerous variations of each offense, as they have been reported by actual inmates and/or recorded by interviewers in the past. Therefore, there are even numerous misspelled words in the table by design. Whenever possible please locate the correctly spelled offense on the table, as it is preferable to select the correctly-spelled words. However, if you cannot find it spelled

correctly, you can select a misspelled version. This will allow flexibility in cases where you may struggle with the correct spelling of a given offense, yourself.

This table is programmed so that you can start to type any word and ALL of the offenses in the table that contain that word will populate the table. This will give you a lot of options from which to choose. It will sort dynamically as you type so you will notice the search results becoming more refined as you type more of the word(s) in the offense.

When you record an offense you will see a screen like this. To enter an offense, begin typing the first few letters of the offense and the Look Up table will display. To narrow the options, the first word you should type is a noun. For example, if the respondent states the offense "vehicular homicide," you should type "homicide," but you can type "vehicular" or "homicide" and the offense should appear in the table. The following examples will appear by starting to type "homi...."

**Blaise 4.8 Data Entry - C:\SPI\SPIPS\le-inst\SPIPS**

Forms Answer Navigate Options Help

SPIPS ICB

**For what offenses were you put on probation?**

(USE THE LOOKUP TABLE TO ENTER OFFENSES. USE 'OTHER' IF OFFENSE IS NOT FOUND IN THE TABLE. ENTER '999' AFTER THE LAST OFFENSE IS RECORDED.)

**VERIFY THE RECORD OFFENSE**

**Enter a text of at most 25 characters**

CJB2 [2]  
 CJB2a [2]  
 CJB3[1]  
 CJB3\_oth[1]  
 CJB3[2]  
 CJB3\_oth[2]  
 CJB3[3]  
 CJB3\_oth[3]

**C:\SPI\SPIPS\le-inst\crimes - Blaise 4.8 Database Browser**

offense	NCRP_Offense_Code	code_20	CONTROLLING_TYPE
HOMICIDE	13	1	1
HOMICIDE/	10	1	1
HOMICIDIO	10	1	1
2 HOMICIDES	13	1	1
2 HOMISIDES	10	1	1
HOMICIDE 1ST	13	1	1
HOMICIDE 2ND	10	1	1
NEG HOMICIDE	15	1	1
AUTO HOMICIDE	20	3	1
HOMICIDE 1ST	10	1	1
DOBLE HOMISIDE	10	1	1
HOMICIDE - 2ND	10	1	1
DOUBLE HOMICIDE	13	1	1
HOMICIDE MURDER	10	1	1
ATTENED HOMISIDE	11	9	1

Search: homi

1:394

Select Cancel

Old 23/134 2.0.0.0 S0010001 SPIPS C.J.CJB3[1]

start USB20FD (E:) Search Desktop 2:43 PM

When you have begun typing, please move your cursor to hover over the “offense” column and move the cursor so you make the column wider. This will show you the entire offense as it was typed in previously. It is important to display the full column because you may not see the key word you typed unless you make the column wide enough.

Please select carefully. You will see some misspellings (such as “doble homiside”), but you will also see very long entries. If you do not have the full offense description displayed, you could select the wrong offense. If the full column is not displayed, you might see only “Murder” and could select the wrong offense, when you should have selected, “Murder in First Degree.”

Scroll until you see the offense reported by the respondent. Sometimes you will have to scroll through several lines. When you find the offense, make sure the offense is highlighted and then press [Enter]. The Look Up table closes, and the offense will fill in the response field. An interviewer instruction will remind you to always verify with the respondent the offense that you have recorded before moving on to the next screen. In order to move to the next question, you will need to press the Enter key again.

The screenshot shows the Blaise 4.8 Data Entry software interface. The main window displays a form titled "For what offenses were you put on probation?" with a "VERIFY THE RECORD OFFENSE" section. A "Blaise 4.8 Database Browser" window is open, showing a table of offenses. The table has columns for "offense", "NCRP\_Offense\_Code", "code\_20", and "CONTROLLING\_". The row "VEHICULAR HOMICIDE" is highlighted. The search bar at the bottom of the browser window contains the text "homi".

offense	NCRP_Offense_Code	code_20	CONTROLLING_
NEGLIGENT HOMICIDE	30	3	
VEHICLUAR HOMICIDE	10	1	
VEHICULAR HOMICIDE	20	3	
VIHICULAR HOMICIDE	10	1	
1ST DEGREE HOMICIDE	13	1	
2ND DEGREE HOMICIDE	13	1	
3RD DEGREE HOMICIDE	10	1	
AUTOMOBILE HOMICIDE	20	3	
BVEHICULAR HOMICIDE	20	3	
DELIBERATE HOMICIDE	13	1	
HOMICIDE - (MURDER)	10	1	
HOMICIDE 1ST DEGREE	13	1	
HOMICIDE 2ND DEGREE	13	1	
HOMICIDE BY VEHICLE	20	3	
HOMICIDE 1ST DEGREE	10	1	

Once you select the offense, that selection fills in the question text for subsequent questions in the CJ module. **If you select incorrectly, you will need to back up and correct the offense.** If you enter or select the wrong offense from the Look Up table and you do not go back and correct it, the respondent will likely become confused or frustrated later in the survey, which could jeopardize their participation.

If you do not see the particular offense listed in the table, you can enter "Other" and type in the exact offense. To do this, follow the instructions to type "Other" and then enter the respondent's answer, verbatim. Be careful to check out all word combinations before you select "Other," because odds are the offense you are attempting to record is somewhere in the table. For example, if the respondent states their offense was driving with a revoked license, you may not find it listed simply under "license." You may have to search using the key word, "driving" or "revoked", or both words. If the offense was not found searching by the key words, then you would select "other" and add the offense.

This is intended to be a brief overview of one part of the Criminal Justice (CJ) module. We will review this module at training to be sure you are comfortable using the Look Up table and completing the Criminal Justice module.

### **7.3 Request for Social Security Number (SSN)**

After you have asked all of the questions in the survey, you will make one more request of the respondent. You will ask the respondent if he/she is willing to provide you with their Social Security Number. You will read the text on the screen, including scrolling down to read the text hidden behind the response option. If the respondent willing to provide the SSN, then you will record it in the computer.

The purpose of the request is to obtain information on the respondent's use of programs or benefits provided by the Social Security Administration. The script explains why we need to request the SSN and that we will not release the data to any agency or individual not connected to the research. You will explain that there is no impact on the benefits or services they receive and whether or not they agree to this, their legal status will not change. The script explains how the information will be combined with all other records, for research only and will be kept confidential.

RTI and BJS will uphold the promise of confidentiality and have obtained a federal government Privacy Certificate, which promises to use the data only for research purposes; only viewed by those who need to know, who must sign a document that they understand their responsibility to protect the information; any findings or reports will be written such that no person could be identified; data will be stored in a secure manner and destroyed upon completion of the research.



The Social Security will be transmitted to RTI at the next transmission you perform. The SSN is then stored in a secure server at RTI and the respondent's name is never saved in the same file as the SSN.

#### **7.4 Break Off**

If an inmate or a facility staff member stops the interview at any point, it is a break-off. It does not matter how many questions the inmate answered, it is still a break-off.

At the point at which you had to stop asking questions, you will need to move to the next block of questions to complete the FI Debriefing Questions on the laptop. **DO NOT CLOSE THE INSTRUMENT OR PERFORM A BREAK OFF JUST YET.**

To move to the next block of questions, move the cursor to the upper left corner of the screen. There are two tabs displayed there, just below the "?" and "1" buttons. When you are asking questions in the questionnaire, the SPIPS tab will be larger. Next to the SPIPS tab is the **ICB** tab. Point your cursor at ICB and left click once. After clicking the ICB block, this is where you will access the debriefing questions every time you stop an interview before it is complete.

Proceed through the debriefing questions, answering each question thoroughly and to the best of your ability. The first question presented asks:

Blaise 4.8 Data Entry - C:\SP\SPIPS\inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

IS THIS A BREAKOFF BEFORE COMPLETION OF THE INSTRUMENT

1. YES  
 2. NO

IBC\_BREA  ICB5   
IBC\_WHY  ICB6   
ICB1  ICB7   
ICB2   
ICB2\_OTH   
ICB3   
ICB4   
ICB4\_OTH

Old 1/1 2.0.0.0 50010001 ICB ICB.IBC\_BREAK

start Search Desktop 4:07 PM

You will enter [1] for yes because you were not able to complete the interview with the respondent. It is important that you select the correct answer here so that the system will apply the correct final break off event code to the case. If you indicate this case was a break off, you will have to select the type of break off. Again, please select carefully because the choice you make determines the final code assigned:

Blaise 4.8 Data Entry - C:\SPIP\SPIPS\le-inst\SPIPS

Forms Answer Navigate Options Help

SPIPS ICB

INDICATE THE BREAKOFF TYPE

1. facility initiated  
 2. inmate initiated  
 3. Mentally incapable  
 4. Physically incapable  
 5. Underage

RV15		ICA3	2	right
RV16		ICA4	2	NO
RV17		ICA5	1	CONTINUE
RV18		IBC_BREA	1	YES
RV19		IBC_WHY		
END_RV	1	CONTINUE	ICA1	
ICA1	1	ssn	ICA2	
ICA2	111-11-1111		ICA2_OTH	

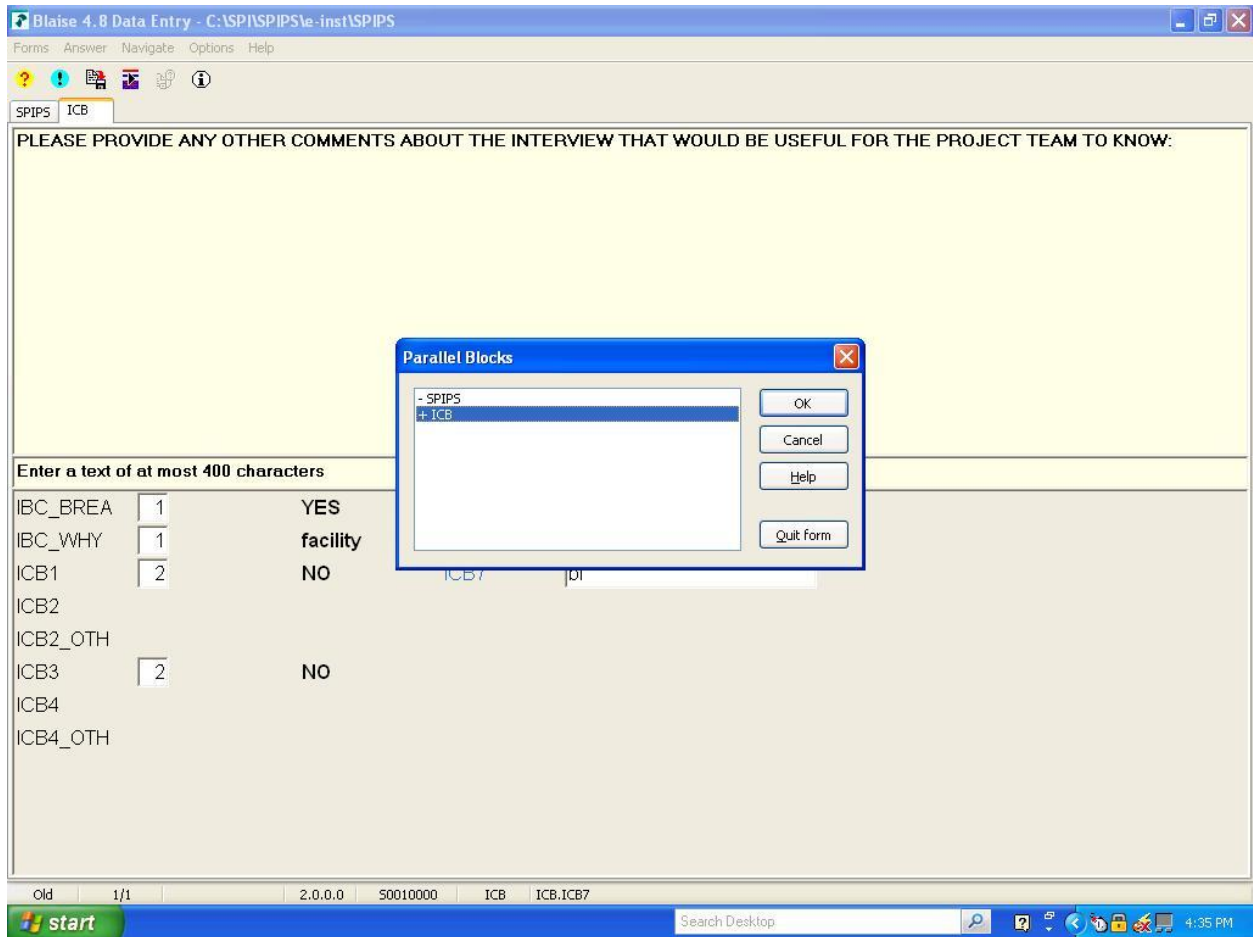
Old 133/134 2.0.0.0 S0010001 SPIPS ICB.ICB\_WHY

start Search Desktop 4:10 PM

You will also note if the respondent asked questions during the consent process and what were those questions, as well as if the respondent made comments during the request for the Social Security Number. You will indicate how well you felt the respondent understood the questions asked in the interview and what sections were troublesome.

The last debriefing question is open-ended and allows you to describe anything that you feel would be useful for RTI to know. This includes any privacy issues, interruptions, disruptions, or if you had to implement the distressed respondent protocol: anything that you feel would be helpful for RTI to know about the interview. RTI is interested to know how easy or difficult it was for the respondents to understand the questions. RTI wants to know if respondents were able to tell their story correctly based on the questions that were asked. So please note any cases where the questions fit really well with an inmate's experiences and where they did not fit well. You will have to enter something in the field, so if you have nothing helpful to add, type, "None."

After you enter your last comment, a pop up box will appear.



To exit from the interview, select [**Quit Form**]. Then, the computer will process the data and the screen will disappear briefly. Finally, the Case Selection Grid will appear. The completed case will be updated with the final code (one of the final break-off codes or a final interview).

A few reminders about break offs: If the inmate indicates he/she has to use the bathroom in the middle of the interview, encourage him/her to wait to finish the interview. If the inmate leaves the interviewing room for any reason, including using the bathroom, the interview must be coded as a break-off. All incomplete interviews will be finalized. You will never restart the interview, and you will never attempt to call the inmate again to complete the interview.

It is a violation of study procedures to enter "Refused" on question screens after the inmate has already asked to stop the interview. Instead of pressing the Refused button repeatedly, simply perform a break off.

If a break off takes place, you will still need to offer the Contact Card and complete the ICB Block of questions within the Blaise questionnaire to correctly complete the broken off interview.

## **7.5 End of the Interview**

After you make the request to record his/her Social Security Number, you ask the respondent two debriefing questions about the length of the interview and the level of privacy.

Then, you will offer the Contact Card, shown below. The purpose of the Contact Card is to provide the respondent with a name and address to which he/she can write if he/she has any questions or concerns. The inmate does not have to take the Contact Card.

**Exhibit 7.1 SPI-PS Contact Card**

<b>For Additional Information on the Survey of Inmates-Pilot Study</b>	
<b>Questions About the Project</b>	<b>Questions About Your Rights as a Research Participant</b>
<p><b>SPI-PS Study PI RTI International P.O. Box 12194 Research Triangle Park, NC 27709-12194</b></p>	<p><b>Office of Research Protection RTI International P.O. Box 12194 Research Triangle Park, NC 27709-12194</b></p>

Be sure to thank the respondent for their time and willingness to complete the survey. Be sure to collect the empty bag of cookies from the respondent, so that they do not leave the room with the wrapper or any uneaten cookies in their possession.

Then, let the CO know that the inmate is ready to return to wherever he/she came from. Once the respondent has left your interviewing station, you will complete a set of debriefing questions for every completed interview. There is no password or extra keystrokes to access these questions.

If there were any unusual situations during the interview (including using the distressed respondent protocol), please indicate what happened in the comments question of the debriefing section.

Then follow the on-screen instructions to close out the interview. You should always double check to make sure that the completed interview code appears in the CMS.

## 7.6 Keeping Track of Your Assignment

Now that you have learned how to get set up for and administer the SPI-PS questionnaire, let's review how to keep track of your assignment. It is EXTREMELY important to carefully track each case for which you are responsible by assigning Result Codes to each case you register. To remind you who is responsible for assigning codes to cases, please read the following carefully.

**Exhibits 7-2** and **7-3** indicate who is responsible for recording the result code, depending on working in a centralized facility or a decentralized facility.

### Exhibit 7-2. Centralized Facilities

Situation	Who Generates the Case ID and Records the Code on List of Sampled Inmates, in CMS, and on the FI Daily Report
Inmate brought to interviewing room (either complete, break-off, or refusal)	FI
Inmate refuses to come to interviewing room	OS
Inmate no longer at facility	OS
Inmate not available that day but may be available later during data collection	OS
Inmate never available during data collection period	OS

For **centralized** facilities, interviewers only code inmates that they physically see (e.g., completes, refusals, break-offs). By code, we mean that you will generate the case on the laptop and assign it an Event Code; you write the code on the List of Sampled Inmates; and you record the Case ID, the Inmate ID and code on the FI Daily Report. The OS codes all other sampled inmates (e.g., those no longer at the facility or transferred) in the CMS, on the Master List of Sampled Inmates, and on the FI Daily Report.

If one of these inmates becomes available and an FI interviews him, the OS will code simply final code the case in his computer, on the Master List and on the FI Daily Report. The OS will note on the Master List of Sampled Inmates who worked the case to its real, final complete. The interviewer would code it the case its true outcome in the CMS, as well as completing her List of Sampled Inmates and FI Daily Report. Next we will discuss who codes cases in decentralized facilities.

### Exhibit 7-3. Decentralized Facilities

Situation	Who Records
Inmate brought to interviewing room (either complete, break-off, or refusal)	FI
Inmate refuses to come to interviewing room	FI
Inmate no longer at facility	FI
Inmate not available that day but may be available later during data collection	FI
Inmate never available during data collection period	FI

Note: Assumes that this happens in FI’s assigned housing unit.

In **decentralized** facilities, interviewers are responsible for correctly managing all inmates in their assigned housing unit. Each FI will generate a case and assign a sampled inmate to the case for every inmate in his/her assigned housing unit.

Any inmates who have transferred to another housing unit, but are still in the prison, should be noted on the FI Daily Report (on the back) so that the OS can assign them to another interviewer. Do not generate a case and assign a pending code. Rather, report this move within the facility to the OS who will notify the FI working in the inmate’s current housing unit.

Otherwise, FIs should generate a case and code all other cases (e.g., completes, refusals, releases) in your assigned housing unit. In a decentralized setting, the OS will have his own housing unit and be responsible for registering and coding the inmates in that housing unit.

The expectation is that interviewers and the OS will have adequate time either between interviews or brief periods waiting for the next inmate to arrive. During these breaks, the expectation is that the FI and OS will update their List of Sampled Inmates, CMS, and FI Daily Reports. The goal is to have most of the cases you worked that day completely up to date in all three places (List of Sampled Inmates, CMS, and FI Daily Report). Ideally the FI could then submit her List and FI Daily Report to the OS immediately at the end of the day. If there is an extended downtime, it is possible that two FIs can check each other's List of Sampled Inmates, FI Daily Report, and CMS. This will allow another pair of eyes to review the information to make sure it is all complete, accurate, and correct.

By continually updating your documents and computer throughout the day, you will be able to end your day sooner and can take time to relax sooner. This will also allow your OS to start her evening work sooner. And, you will be saving the project time and money by doing this "bookkeeping" in your down times while in the facility.

Now that you know who assigns the codes, below is the list of result codes to be used on the SPI-PS.

## **7.7 Result Codes**

Each case is initialized as **1000** as soon as you generate it. Once you have taken any action on a case, you must enter an event code on the List of Sampled Inmates, in the CMS, and on the FI Daily Report.

The result codes you use for the SPI-PS are as follows. There are pending codes and final codes that you will need to assign. So please pay close attention to the codes listed below.

### **PENDING CODES**

#### **Unavailable**

- 1010 Unavailable – off facility grounds** – the inmate is not available because he/she is away from the facility for the day (working off grounds, in court, out-count, etc).
- 1020 Segregation (non-medical)** - the inmate is not available because he/she is in segregation (other than for medical reasons). Check to see if FI can do a CAPI in segregation.
- 1030 In hospital, medical segregation** – the inmate is not available because he/she is ill or injured and cannot come to the interviewing room. If the person is likely to be here for the entire data collection period, check to see if FI can do a CAPI in hospital.
- 1040 Unavailable – at facility but not available** – the inmate is not available but is currently at the facility (for reasons that are not covered by other codes – e.g., working in facility, seeing lawyer) - Specify reason.



NOTE: If the inmate works within the facility but cannot be interviewed when called, code him as 104—at facility but unavailable. You should determine when the inmate is available and attempt to interview him/her at that time, as long as it is at a time when the team is already scheduled to work.

**1050 Ran out of time at facility** – Only use this code if instructed to by On-Site Supervisor (OS).

### **Refusal**

**1110 Inmate refused to come to interviewing room** – the inmate told the correctional officer that he/she would not speak to the interviewer.

**1120 Inmate talked to FI but refused study** – the inmate refused the FI directly.

**1130 Violent inmate** - Facility will not let you talk to the inmate because the inmate has been identified as violent.

**1140 Refusal by facility** – Facility will not let you talk to the inmate (for reasons other than him/her being too violent, mentally incompetent, or under age). Specify reason why they would not let you talk to the inmate.

**1150 Inmate being held for other authorities** – facility is not authorized to let you talk to the inmate because they are holding that inmate for other authorities (e.g., US Marshal cases, inmates awaiting deportation).

### **Not at Facility**

**Note that when you code an inmate as no longer at the facility (either because the person has been released or transferred), it is crucial for you to find out the date that the person left so that you can use the correct code. However, if getting the date is too burdensome for the facility, do not push them to provide the date. Instead, notify your OS who can work with one central contact at the facility or who can notify the FS that obtaining dates is too burdensome for the facility staff.**

**Sometimes a CO will tell you that an inmate has been transferred. It is important to clarify whether the inmate has been transferred to a different facility or just to a different housing unit within the same facility. If the inmate is just in a different housing unit within the same facility, we would still attempt to interview him/her.**

**1210 Inmate left facility before data collection began** – inmate was unable to be interviewed because he/she was gone from the facility (either transferred or released) before you did any work in the facility.

**1220 Inmate left facility after data collection began** – inmate was unable to be interviewed because he/she left the facility (either transferred or released) after data collection began but before you were able to interview him/her.

**1230 Inmate left facility – date unknown** - inmate was unable to be interviewed because he/she left the facility (either transferred or released) but you were unable to confirm the date that this happened.

**1240 Inmate being temporarily held at another facility** – The inmate is still officially on the facility’s List of Sampled Inmates but is temporarily being held somewhere else (e.g., courthouse facility during court case, hospital facility for treatment).

### **Not able to complete**

**1310 Language barrier – (Spanish or other language)** - The inmate is unable to participate because he/she does not speak English well enough to complete the interview. Specify language.

**1330 Impaired** – the inmate is drunk/high to a degree that he/she could not take part in the study. Continue to try to contact the inmate each day while you are at the facility to see if he/she might be able to participate later in the week.

**1340 Mentally incompetent inmate – facility decision** – facility staff says that inmate is unable to participate because he/she is mentally incapable.

**1350 Mentally incompetent inmate - interviewer decision** – Inmate is judged by interviewer (or OS) to be unable to participate because he/she is not mentally capable.

**1360 Physically unable to complete interview – facility decision** – facility staff says inmate is unable to participate because he/she is not physically capable (e.g., deaf)

**1370 Physically unable to complete interview – interviewer decision** – inmate is judged by interviewer (or OS) to be unable to participate because he/she is not physically capable (e.g., deaf)

### **Break-off**

**1500 General break-off** - is automatically assigned by the computer program.

**1530 Break-off – started in error** – Interview was started but not completed because the wrong case or wrong inmate was selected. Unlike the other two break-off codes, this ID may be used again for the correct respondent. If the 1530 is assigned, a final code must be assigned.

### **Ineligible**

**1600 Sampled in error** – inmate should not have been in sample (for reason other than age).

**1610 Juvenile in facility that requires parental consent** – inmate is between the ages of 12 and 17 years of age, but cannot be interviewed because the facility requires parental consent.

## Other

- 1770 Multiple facilities sampled – unit not worked** – this code is used when what originally appeared to be one facility turns out to be multiple facilities; use this code for inmates housed in a facility where we do not collect data.
- 1800 Other** – this code is used for pending cases when none of the codes above apply. Be sure to specify what the situation is.

## FINAL CODES

For SPI-PS, all cases must assigned a final code on your CMS grid. There are some situations where the final code is automatically assigned to a case. Please note that you cannot assign a final code to a pending code until you have approval from

### Completed Interview Codes

- 2000 Complete** – this code is automatically assigned when you complete a CAPI interview.

### Unavailable

- 2010 Unavailable – off facility grounds** – the inmate is not available because he/she is away from the facility for the day (working off grounds, in court, out-count, etc).
- 2020 Segregation (non-medical)** - the inmate is not available because he/she is in segregation (other than for medical reasons). Check to see if FI can do a CAPI in segregation.
- 2030 In hospital, medical segregation** – the inmate is not available because he/she is ill or injured and cannot come to the interviewing room. If the person is likely to be here for the entire data collection period, check to see if FI can do a CAPI in hospital.
- 2040 Unavailable – at facility but not available** – the inmate is not available but is currently at the facility (for reasons that are not covered by other codes – e.g., working in facility, seeing lawyer) - Specify reason.

NOTE: If the inmate works within the facility but cannot be interviewed when called, code him as 104—at facility but unavailable. You should determine when the inmate is available and attempt to interview him/her at that time, as long as it is at a time when the team is already scheduled to work.

- 2050 Ran out of time at facility** – Only use this code if instructed to by On-Site Supervisor (OS).

## **Refusal**

- 2110 Inmate refused to come to interviewing room** – the inmate told the correctional officer that he/she would not speak to the interviewer.
- 2120 Inmate talked to FI but refused study** – the inmate refused the FI directly.
- 2130 Violent inmate** - Facility will not let you talk to the inmate because the inmate has been identified as violent.
- 2140 Refusal by facility** – Facility will not let you talk to the inmate (for reasons other than him/her being too violent, mentally incompetent, or under age). Specify reason why they would not let you talk to the inmate.
- 2150 Inmate being held for other authorities** – facility is not authorized to let you talk to the inmate because they are holding that inmate for other authorities (e.g., US Marshal cases, inmates awaiting deportation).

## **Not at Facility**

- 2210 Inmate left facility before data collection began** – inmate was unable to be interviewed because he/she was gone from the facility (either transferred or released) before you did any work in the facility.
- 2220 Inmate left facility after data collection began** – inmate was unable to be interviewed because he/she left the facility (either transferred or released) after data collection began but before you were able to interview him/her.
- 2230 Inmate left facility – date unknown** - inmate was unable to be interviewed because he/she left the facility (either transferred or released) but you were unable to confirm the date that this happened.
- 2240 Inmate being temporarily held at another facility** – The inmate is still officially on the facility’s List of Sampled Inmates but is temporarily being held somewhere else (e.g., courthouse facility during court case, hospital facility for treatment).

## **Not able to complete**

- 2310 Language barrier – (Spanish or other language)** - The inmate is unable to participate because he/she does not speak English well enough to complete the interview. Specify language.
- 2330 Impaired** – the inmate is drunk/high to a degree that he/she could not take part in the study. Continue to try to contact the inmate each day while you are at the facility to see if he/she might be able to participate later in the week.

- 2340 Mentally incompetent inmate – facility decision** – facility staff says that inmate is unable to participate because he/she is mentally capable. No interview will be started.
- 2350 Mentally incompetent inmate – interviewer decision** - Inmate is judged by interviewer (or OS) to be unable to participate because he/she is not mentally capable. This code can be assigned as an interview break off, or as a final code, selected from the drop down list.
- 2360 Physically unable to complete interview – facility decision** - facility staff says inmate is unable to participate because he/she is not physically capable (e.g., deaf). No interview will be started.
- 2370 Physically unable to complete interview – interviewer decision** – inmate is judged by interviewer (or OS) to be unable to participate because he/she is not physically capable (e.g., deaf). This code can be assigned as an interview break off, or as a final code, selected from the drop down list.

### **Break-off**

- 2510 Break-off – facility initiated** - Interview was started but not completed due to a situation at the facility (e.g., had to stop for lunch, end of day, lockdown). Once an interview has been broken off, it may not be restarted.
- 2520 Break-off – inmate initiated**– Interview was started but not completed due to some situation with the inmate (e.g., got called away to speak with lawyer). Once an interview has been broken off, it may not be restarted.
- 2550 Underage break-off** - this is assigned by the interviewer in the CMS. Once an interview has been broken off, it may not be restarted.

### **Ineligible**

- 2600 Sampled in error** – inmate should not have been in sample (for reason other than age).
- 2610 Juvenile in facility that requires parental consent** – inmate is between the ages of 12 and 17 years of age, but cannot be interviewed because the facility requires parental consent.

### **Other**

- 2770 Multiple facilities sampled – unit not worked** – this code is used when what originally appeared to be one facility turns out to be multiple facilities; use this code for inmates housed in a facility where we do not collect data.
- 2800 Other** – this code is used for pending cases when none of the codes above apply. Be sure to specify what the situation is.

**2990 Case ID assigned to inmate, not used** – The Case ID was generated and assigned to an inmate, but was never worked. There is no event code assigned to it and no interview was started or finished on this ID.

Because we have only a SHORT time to complete the interviews, it is imperative that you carefully track your cases and assign the correct pending result code to ensure that all sampled inmates are given the chance to participate in this study.

You will track every Case ID that you generate and then assign to an inmate, on your computer in **three places**:

- 1. List of Sampled Inmates (your paper copy)**
- 2. In the CMS**
- 3. The FI Daily Report**

You will need to discuss assigning final codes with the OS. **Exhibit 7-6** is a table that tells you when you can assign a final code and who has the authority to allow you to enter the code.

## **7.8 Recording Information on the List of Sampled Inmates**

As soon as you receive your List of Sampled Inmates from your OS, you should write your initials or first name at the top of each page. The OS will write “Master Copy” on his/her copy.

Keep track of your cases by entering information on the List of Sampled Inmates first. As you work a case, you should write down the computer-generated Case ID, the event code, date, and your initials in the notes section of the hard copy list.

It is important to remember that only codes and information that the CO has told you (e.g., will be back from court at 2 PM) should be written on the list of sampled inmates. Do not write “complete” or “refused” on the list of sampled inmates. Instead, use just the code and the date it occurred. If you write down information that is not common knowledge to the officers and staff (such as “refused” or “completed”), you are breaching respondent confidentiality and not ensuring the respondent’s right to privacy. A written comment such as “refused” or “complete” can be used by facility staff for retribution or punishment. But a code of 1120 or 2000 is meaningless to facility staff and protects a respondent’s right of privacy. We cannot do anything that can potentially cause harm to a respondent, and revealing a respondent’s status could harm the inmate. **Exhibit 7-4** is an example of how to fill out the List of Sampled Inmates (with no codes entered in the CMS). You will update

the notes as you work through the cases, across all 3 days of data collection. This update includes documenting the assignment of the final code.

In addition to recording information about cases you worked on the List of Sampled Inmates, you will also record information in the CMS, and on the FI Daily Report. Entering codes in the CMS is described in **Section 5.2.2**. Below are the instructions for completing the FI Daily Report.

## **7.9 Completing the FI Daily Report with Pending Event Codes**

In addition to recording codes on the list of sampled inmates and in the CMS, you will complete an FI Daily Report to turn into the OS at the end of the day along with your list of sampled inmates. The FI Daily Report captures information about all of the cases that you worked that day.

For each case worked, record the Case ID that starts with an S, the Inmate ID, the inmate's initials (just the initials, not the full name), the code you assigned the case (if you had more than one code for the day for the case, **record the LAST code that you recorded for the day**), the page and line number on the list of sampled inmates, and a check mark when you have coded it in the CMS. **Exhibit 7-5** presents the correct way for the FI to complete the form, using the codes documented on the List of Sampled Inmates shown in **Exhibit 7-4**.

An example of the LAST code for the day would be this scenario (not shown in the exhibits): You work in a decentralized facility and you are assigned to work all of the cases in Housing Unit A. You call one inmate in the morning and the officer states that he is taking a GED class that morning. So you record a 1040 on your List of Sampled Inmates and the CMS. That day, you work through all of the other sampled inmates in Housing Unit A, so you ask the officer after lunch if the inmate who had GED classes is currently available. The officer tells you that he is now at court and not available. You write down another 1010, noting court as the reason and to ask again tomorrow. You will record the 1010 on the List of Sampled Inmates and in the CMS. The last code for the day for this case would be 1010, not 1040. You write down 1010 on the FI Daily Report. You do not write down on the FI Daily Report the 1040 since it happened earlier in the same day and is not the last code of the day.

All cases must be coded in the CMS and recorded on the List of Sampled Inmates and the FI Daily Report BEFORE you turn in your paperwork at the end of each day. Otherwise, the numbers of cases coded will not match the electronic report submitted by the OS and your DCTL, FS, and OS will spend a great deal of time determining the error and ask you to correct it.

**Exhibit 7-4. Example of List of Sampled Inmates with Cases Coded**

EFC

**Sample - All Subjects Facility ID: PTX999**

Inmate ID	Inmate Name	DOB	Adult	Prisoner ID	Housing Unit	HU 2	Case Status / Notes
1	39870076 YOUNG, NEIL R	8/13/1966	Y	0721058	H01	Wing A	50010000 1500 EC 7/1 1010 Court EC 7/1
2	39870019 ROBINSON, DAVID J	6/29/1984	Y	0720990	H01	Wing A	50010001 1500 EC 7/1 2000 EC 7/1
3	39870027 MARLOWE, JERRY G	8/25/1994	N	0721108	H01	Wing C	50010004 1500 EC 7/1 1010 Court EC 7/1
4	39870050 JAMES, ERIC	5/13/1969	Y	0721015	H01	Wing B	50010002 1500 EC 7/1 2000 EC 7/1
5	39870068 NAVA, JASON R	1/18/1972	Y	0720749	H01	Wing B	50010003 1500 EC 7/1 2510 EC 7/1
6	39870100 DOWELL, STEVE M	3/18/1972	Y	0721134	H02	Wing B	
7	39870142 OSWALT, JOHN M	6/30/1957	Y	0720385	H02	Wing A	
8	39870167 MANILDI, ELLIS	1/26/1989	Y	0713452	H03	Wing E	
9	39870183 FRANCIS, MARK	4/1/1973	Y	0712000	H03	Wing E	
10	39870035 CORBETT, DANNY J	7/7/1984	Y	0721018	H01	Wing C	50010005 1500 EC 7/1 1110 EC 7/1



### Exhibit 7-5. FI Daily Report, page 1

#### FI Daily Report

FI Name: Ellen Conklin Date: July 1, 2013  
 Facility ID: PTX999 Housing Unit (if decentralized): 401

Cases Coded Today						
Case ID	Inmate ID	Inmate Initials	Last Code of the Day	Page & Line on List	Coded in CMS (Y/N)	Previous Code SEE NOTE*
S0010000	39870076	NYR	1010	1/1	✓	
S0010001	39870019	DJR	2000	1/2	✓	
S0010002	39870050	EJ	2000	1/4	✓	
S0010003	39870068	JRN	2510	1/5	✓	
S0010004	39870027	JGM	1010	1/3	✓	
S0010005	39870035	DJC	1120	1/10	✓	
S						
S						
S						
S						

**\*NOTE: To find the correct code to enter in the "Previous Code:"**

1. Put your FI Daily Reports in chronological (date) order, with the most recent report on top.
2. Review each Report, starting with the report from yesterday and working back in time.
3. If you find the case ID on a previous report, copy the code you see on that previous day's report to this form.

Inmate Transfers to Other Housing Units (Y/N)? Y If Yes, list on back.

Interviewer Errors (Y/N)? N If Yes, list on back.

Distressed Respondents (Y/N)? N Incidents (Y/N)? N Other (Y/N)? N

**OS USE ONLY**

Code									
Total									



In decentralized facilities, when you complete the FI Daily Report, you will also indicate codes from prior days that you had assigned for the case (e.g., in a decentralized unit, if you coded the case a 1010 on Monday and a 2000 on Tuesday, on Tuesday's Daily Report, you would enter the 2000 in the Last Code of the Day column and the 1010 in the Previous Code column).

In centralized facilities the OS will be responsible for filling in the previous code column.

The FI Daily Report is also where you report to the OS any:

1. inmate transfers to other housing units (decentralized facilities only),
2. entry errors,
3. distressed respondents,
4. incidents, or
5. other special circumstances.

Inmate transfers (when in decentralized settings only) and entry errors should be recorded on the back of the form. If you had D.R/I Reports, those forms should be completed and turned in to your OS with the completed FI Daily Report.

It is preferable that as you work each case, you record the codes and other information on the List of Sampled Inmates, the laptop (or CMS), and the FI Daily Report. This way, your documentation is always up to date. However, sometimes this is not possible because of inmate flow in the facility. We understand that you may have to update your list, the CMS, and/or the FI Daily Report during breaks or while you are waiting for the next inmate to be brought to you. We would prefer that you keep your records as updated as possible during the day. Otherwise, you will not remember everything you must record.

If you keep your paperwork and laptop up to date, then you can turn in your List of Sampled Inmates and FI Daily Report either at the facility at the end of the day, or shortly after the team has returned to the hotel. If this is not possible, the project requires that your paperwork and codes in the laptop be updated, checked, and turned in to your OS before you go to dinner that evening. The purpose of requiring this deadline is so that your OS can have your paperwork early enough to complete her tasks AND eat a meal and go to sleep! The deadline also means that your OS does not have to try to find you to ask for your papers. As member of a well-functioning team, RTI expects you are respectful of others' time.

The OS will use the FI Daily Report to update the master List of Sampled Inmates and to complete the OS Daily Report, which is sent nightly to the FS. The accuracy of the FI Daily

Report and OS Daily Report is crucial to our ability to monitor data collection progress at the facility. Every effort should be made to complete your FI Daily Report without errors.

### **7.10 Obtaining Approval to Assign Final Codes**

On SPI-PS, all cases must be assigned a final code in order for each case to come off your CMS grid and to be received at RTI. Therefore, before the end of the last day of data collection, every case in your laptop must be assigned a 2000 series final code and transmitted to RTI. There are some cases that will be finalized automatically (final break offs and completed interviews). However, some cases, you will need to enter the final code manually. For the cases you final-code yourself, you must have either OS/FS/RTI approval before you assign a final code. You must follow the approval process before you finalize a case that is not finalized automatically. **Exhibit 7-6** displays the final code and who is authorized to approve you to assign it. Remember, you must obtain approval before you assign a final code.

When you have the approval and assign a final code, please record it in the CMS (of course). You will also record the final code on the List of Sampled Inmates and on the FI Daily Report, as described in **Section 7.10.1** below. Your OS will review your CMS grid before you depart for home at the end of data collection, to ensure that every case is assigned a final code. Ideally, RTI would prefer that the team transmits BEFORE departure for home.

By transmitting final codes, all cases assigned a 2000 or higher will be removed from your CMS grid. This means that you will not have to perform a Reset like you had to do on NIS. However, any cases that remain a 1990 or lower WILL remain on your CMS grid. You cannot begin at your next facility if you have ANY 1000 series codes remaining on your computer. RTI wants you to start each facility with a blank CMS grid.

If for some reason, you have pending codes (1000 series) codes appearing on your grid after your final data transmission, please contact your FS right away. It is very important that all cases are finalized and transmitted successfully to RTI BEFORE you start work at the next facility.

**Exhibit 7-6 Approval Matrix for Assignment of Final Codes**

<b>Final Code</b>	<b>Final Code Description</b>	<b>Who Approves BEFORE FI assigns it in the CMS</b>
2010	Unavailable off grounds	OS on last day
2020	Segregation – non-medical	OS on last day
2030	In hospital, medical segregation	OS on last day
2040	Unavailable, at facility, but not available	OS on last day
2050	Ran out of time	OS (can confirm with FS if needed)
2110	Inmate refuses to come to interviewing area	FS
2120	Inmate talked to FI, refused	FS
2130	Violent Inmate	FS
2140	Facility Refusal	FS
2150	Inmate held for other authorities	FS
2210	Inmate left before data collection began	OS on last day
2220	Inmate left facility after data collection	OS on last day
2230	Inmate left facility – date unknown	OS on last day
2240	Inmate being temp held at another facility	OS on last day
2310	Language barrier	OS
2330	Impaired	OS
2340	Mentally incompetent inmate – facility decision	OS in centralized/FI in decentralized
2350	Mentally incompetent inmate – interviewer decision	OS in centralized/FI in decentralized if interview was not started OR Autocoded if interview was started.

2360	Physically unable to complete the interview – facility decision	OS
2370	Physically unable to complete the interview – interviewer decision	OS in centralized/FI in decentralized if interview was not started OR Autocoded if interview was started
2510	Break-off – facility initiated	Autocoded
2520	Break-off – interviewer initiated	Autocoded
2600	Sampled in Error	RTI
2610	Juvenile in facility that requires parental consent	RTI
2770	Multiple facilities sampled – unit not worked	RTI
2800	Other	FS
2990	Case ID assigned to inmate, not used	OS

### 7.10.1 Documenting Final Codes

#### **For cases that automatically code to a final code (2000, 2510, 2520):**

Document on the List of Sampled Inmates and the FI Daily Report following the procedures outlined above. No approval is required since the system will assign these automatically in the CMS. However, you will need to record them on the List of Sampled Inmates and on the FI Daily Report (ensuring to record any previous codes, if there were any).

#### **For cases that require approval from OS, FS, or RTI:**

Your OS will notify you that you are approved to assign the final code. (See **Chapter 10** for OS instructions for obtaining approvals.)

You should then write the approval on the List of Sampled Inmates. Please write the following information for the case: the final code, who approved (OS, FS, RTI) and the date. **Exhibit 7-7** is a List of Sampled Inmates, showing you how to document final codes that require approval.

When you have recorded the approval, then open the CMS and update the event code for the case. In the Notes box of the Event History Information screen, please record a note that states who and when approval was given. For example, "OS gave approval 7/3." Or "OS got OK from FS, 7/3."

On the day that you assign and transmit the final code, complete an FI Daily Report, as you normally would. Be sure to fill out the "Previous Code" column so that the OS knows that the code is applied to a case that is already coded, and not a newly-worked case. An example of an FI Daily Report documenting final codes is shown in **Exhibit 7-8**.

**Please do not assign final codes (that are not automatically assigned) until you have the approval of either your OS, FS, or RTI, depending on the code.**

At the end of every day of data collection you will turn in your Data Collection Folder to the OS. In your Data Collection Folder should be (1) your List of Sampled Inmates, (2) your FI Daily Report, (3) D.R/I Reports (if applicable), (4) completed consent forms, and (5) unused supplies. The OS will keep your FI Daily Report, D.R/I Reports, and completed consent forms. She will return your Data Collection Folder to you at the start of the next day with the List of Sampled Inmates and replenished supplies.

Because there is much to remember, **Exhibit 7-9** provides a summary in list form of the steps you must follow to conduct an SPI-PS interview with an inmate.

**Exhibit 7-7. Example of List of Sampled Inmates with Final Codes**

**Sample - All Subjects Facility ID: PTX999**

*EFC*

Inmate ID	Inmate Name	DOB	Adult	Prisoner ID	Housing Unit	HU 2	Case Status / Notes
1	YOUNG, NEIL R	8/13/1966	Y	0721058	H01	Wing A	50010000 2010-per OS EC-7/3 1500 EC 7/1 1010 court EC 7/1 1010 " EC 7/2 1010 " EC 7/3
2	ROBINSON, DAVID J	6/29/1984	Y	0720990	H01	Wing A	50010001 1500 EC 7/1 2000 EC 7/1
3	MARLOWE, JERRY G	8/25/1994	N	0721108	H01	Wing C	50010004 2040-per OS EC 7/3 1500 EC 7/1 1010 court EC 7/1 1010 court EC 7/2 1040 class EC 7/3
4	JAMES, ERIC	5/13/1969	Y	0721015	H01	Wing B	50010002 1500 EC 7/1 2000 EC 7/1
5	NAVA, JASON R	1/18/1972	Y	0720749	H01	Wing B	50010003 1500 EC 7/1 2510 EC 7/1
6	DOWELL, STEVE M	3/18/1972	Y	0721134	H02	Wing B	50010006 2000 EC 7/2
7	OSWALT, JOHN M	6/30/1957	Y	0720385	H02	Wing A	50010007 2000 EC 7/2
8	MANILDI, ELLIS	1/26/1989	Y	0713452	H03	Wing E	50010008 2510 EC 7/3
9	FRANCIS, MARK	4/1/1973	Y	0712000	H03	Wing E	50010009 2000 EC 7/3
10	CORBETT, DANNY J	7/7/1984	Y	0721018	H01	Wing C	50010005 2120-per FS EC 7/2 1500 EC 7/1 1040 GED EC 7/1 1120 EC 7/1



**Exhibit 7-8. Example of FI Daily Report with Final Codes**

**FI Daily Report**

FI Name: Ellen Conklin Date: July 3, 2013

Facility ID: PTX999 Housing Unit (if decentralized): H02, H03

Cases Coded Today						
Case ID	Inmate ID	Inmate Initials	Last Code of the Day	Page & Line on List	Coded in CMS (Y/N)	Previous Code SEE NOTE*
S0010000	39870076	NRY	2010	1/1	Y	1010
S0010004	39870027	JGM	2040	1/3	Y	1040
S0010008	39870167	EM	2510	1/8	Y	-
S0010009	39870183	MF	2000	1/9	Y	-
S						
S						
S						
S						
S						
S						

**\*NOTE: To find the correct code to enter in the "Previous Code:"**  
 1. Put your FI Daily Reports in chronological (date) order, with the most recent report on top.  
 2. Review each Report, starting with the report from yesterday and working back in time.  
 3. If you find the case ID on a previous report, copy the code you see on that previous day's report to this form.

Inmate Transfers to Other Housing Units (Y/N)? N If Yes, list on back.

Interviewer Errors (Y/N)? N If Yes, list on back.

Distressed Respondents (Y/N)? N Incidents (Y/N)? N Other (Y/N)? N

**OS USE ONLY**

Code									
Total									

### Exhibit 7-9. Steps to Conducting an SPI-PS Interview

Once the inmate is brought to you:

1. Introduce yourself and verify the inmate's name from your List of Sampled Inmates.
2. Provide a copy of the informed consent document to the inmate to review. **Read the entire form aloud from your copy. Go over the summary** and answer any questions the inmate may have about the study. Inmates may take their copy of the consent form with them when they leave if they wish.
3. NOTE: Do not generate a case and open an interview for an inmate unless he/she has agreed to participate.
4. If the inmate refuses to participate, thank him/her and let the CO know that the inmate is done (but do not let the CO know that the inmate refused). Generate a Case, assign an Inmate to the generated Case ID, and enter the code into your computer. Update your list of sampled inmates with the computer generated Case ID, appropriate result code (1120), your initials, and the date. Then put a check mark on the list of sampled inmates for this case to indicate that you have updated the CMS. Record the Case ID (starts with an S) and the Inmate ID (from the List of Sampled Inmates) and code on the FI Daily Report.
5. If the inmate agrees to participate, check the box on the consent form indicating this, sign, and date the form and fill in your interviewer ID number on the copy that will be returned to RTI. The inmate's copy should not be signed by you.
6. Offer the inmate the snack (if allowed) and then indicate if they accepted it on the consent form.
7. Verify that you are in **Real Case** mode and not **Training Case** mode.
8. Open an interview for the inmate by pressing the **Interview** button in the CMS. Verify that you have selected the correct case ID, assign the inmate name ID to the generated Case ID and proceed with the rest of the interview.
9. Conduct the interview by reading aloud all questions, probing as appropriate for the best, most accurate response. Then correctly enter the answer into the computer.
10. When the interview is complete, thank him/her and offer the Contact Card. Be sure they have finished their snack and retrieve the wrapper. Let the CO know the inmate is ready to leave.
11. When the inmate has left you, complete the debriefing questions, noting any special situation or issues that occurred during the interview that you feel we should be aware of.
12. Close out the interview.
13. Be sure to update the code on the List of Sampled Inmates, and write down the date and your initials.
14. Be sure to update your FI Daily Report with the Case ID, Inmate ID, inmate initials, last code of the day, location on the List of Sampled Inmates, previous code, if applicable, as well as any transferred inmates errors, DR/I information.

If you need to initiate a break-off during the interview:

- Stop entering responses. Select the **ICB** Block at the top of the computer screen. Answer the questions, being careful to select the correct reason for the break off.
- At the pop up box, select [**Quit Form**] to close out the break-off debriefing questions. Be sure to note in the Event History comments why the break-off occurred.
- Close out the interview in Blaise.
- Be sure to update your List of Sampled Inmates with the appropriate code, the date, and your initials.
- Be sure to update your FI Daily Report with the Case ID, Inmate ID, inmate initials, the last code of the day, location on the List of Sampled Inmates, previous code, if applicable, as well as any transferred inmates errors, DR/I information.

## 8. Transmission

This chapter discusses transmitting events and data back to RTI. Information on how to transmit to send and receive project email will be covered in **Chapter 9**.

You, your supervisor, and the RTI project management staff use the data from your transmissions of field activities to monitor closely the data collection efforts. **For each day that you work, you should transmit/transfer data that evening from your laptop to RTI.**

You will not transmit from the facility even if you have time left at the end of the day or if facility staff tells you it is okay to do so. It is against project protocol to EVER transmit from within a facility.

Transmissions are a simple process and are done from the CMS. When transmitting from your laptop to RTI, you will be sending the following types of data:

1. interview data,
2. updated codes, and
3. PT&E data (see **Chapter 12**).

It is also possible that you will receive updates to the CMS and/or instrument. One of the most important files transmitted TO your laptop is the List of Sampled Inmates. Remember that at each facility, RTI will select approximately 80 inmates for the study. In order for you to interview at a facility, this list has to be transmitted to your laptop BEFORE you leave home to start data collection. For each facility you are assigned to work, please transmit before you leave home to ensure that the List of Sampled Inmates is stored on your computer.

One word of caution: **Transmitting during stormy weather is not advisable.** Lightning can travel through telephone and electrical lines and ruin the internal workings of your computers.

Your Toughbook is configured so that when you click the [**Transmit**] button in the CMS Main Menu, the software will run a check to determine which transmission mode is active. Your Toughbook will be set up to transmit using wireless, Broadband, and Dial Up. The Default mode is to attempt to transmit via Dial Up. So if you do not turn on the wireless or do not connect to a modem via an Ethernet cord, the computer will attempt to transmit via a phone line. Therefore, it is important that you set up the desired transmission mode before you click the transmit button. Below are instructions for all 3 transmission modes.

## 8.1 Transmitting Via Wireless Connection to the Internet

On this project, transmission via a wireless connection to the Internet is allowed. HOWEVER, you will transmit ONLY from your home or your hotel, or other public location (such as a Starbuck's). **YOU WILL NEVER TRANSMIT FROM WITHIN THE FACILITY.**

Because you will not transmit wirelessly from within the facility, you will check your laptop every morning to ensure that the wireless capability is turned off on your laptop BEFORE you enter a facility. This will prevent accidental wireless transmissions.

Because you will transmit each night you work and most nights you will spend in a hotel, it is important to know how to transmit wirelessly from a hotel. Each hotel may have slightly different requirements, so the following are the general steps to be completed in order to transmit wirelessly.

Always plug in your laptop to run off electrical power. You should never transmit when you are running on battery power.

1. Locate the wireless switch at the front of the laptop, under the handle. The switch will have a symbol that looks like a radio tower beaming out a signal.
2. Move the switch to the right to enable the wireless.
3. Then start your computer, entering all required passwords.
4. **If you are transmitting wirelessly from a hotel or other remote location:**
  - a. When you are at the CMS Main Menu screen, press the "Windows" button on your keyboard. This is the button located on the lower left of the keyboard between the [Fn] key and the [Alt] key. The button has the Windows symbol (a waving flag divided into 4 squares) within a white circle on the key. OR you can drag the Main Menu screen to the side to expose the computer's desktop. To drag the screen, move the cursor to the very top of the screen so that it hovers in the blue bar at the very top (where it says, "Case Management System – Main Menu"). Then, press and hold down the left click button on the Touchpad, while you drag the cursor to the side. You will want to move the screen enough to expose the green Windows [start] button in the lower left corner. Then, release the cursor and drag it to the "start"; button and left click once.
  - b. From the Windows [start] button, Select Internet Explorer to access the Internet. It is located at the top of the first column within this box.
  - c. Your hotel should display its own website. If not, type "Google" in the search box. Once you have attempted to search on Google, the hotel home page should appear.

- d. In your hotel room, locate the username and password information you need to access the hotel's wireless and enter that information.
  - e. When you are connected to the hotel's system, then navigate to the CMS and proceed with transmission as described in **Section 8.5**.
5. **If you are transmitting wirelessly from your home:** Navigate to the CMS and proceed with transmission as described in **Section 8.5**.

NOTE: If the hotel charges for wireless access, please notify your FS before everyone on your team pays for access. Possibly, you can go to the hotel lobby to access the wireless for free OR your OS will be the only person who can charge for the service and each of you will need to access through your OS's access.

On previous studies, we found that many more hotels offered only digital phone lines. Thus, interviewers were not able to transmit over the phone lines at those hotels. When you encounter this situation, attempt to transmit wirelessly, by turning on the wireless and NOT connecting the phone line or the Ethernet cord. If you are unable to transmit, contact your OS to attempt to solve the problem. One alternative transmission option is to transmit via broadband. This process is covered in **Section 8.5**.

## **8.2 Transmitting From Your Laptop Via a Dial-Up Connection**

All **dial-up transmissions** should be done over standard analog telephone lines. Almost all household lines are analog lines and can safely be used to transmit from your home.

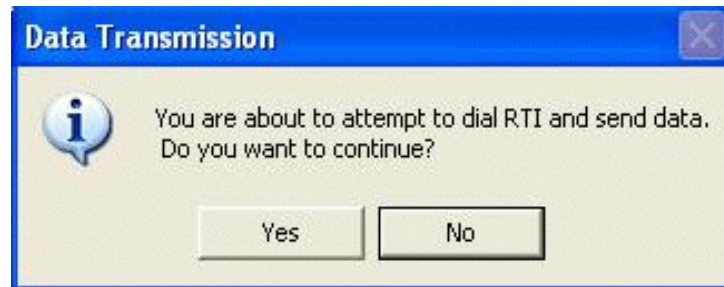
## **8.3 Completing the Dial-Up Data Transmission**

Before you begin a dial-up transmission, you first need to make sure that the laptop is set up and ready to complete a dial-up connection. Complete the following steps before you initiate the transmission:

1. First, connect your laptop to an electrical outlet or surge protector. You should always operate your laptop on electrical power, not battery power, whenever possible. When you transmit on battery power and the battery dies it can result in corruption of the data files.
2. Next, you must connect your laptop to a standard analog telephone line using the telephone cord provided for modem use:
  - Find the internal modem port on the back of the computer. It looks like a telephone wall jack.
  - Connect one end of the telephone cord to the internal modem port, then connect the other end to the telephone jack on the wall.
3. You are now ready to transmit.

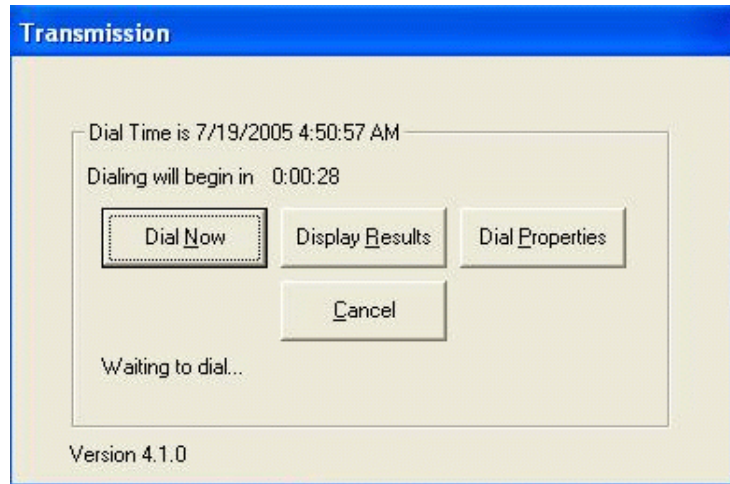
4. When you are finished transmitting, disconnect the telephone cord from the wall jack and the computer itself.

Once the phone line is properly connected to your laptop, select the [**Transmit**] button from the CMS menu. A screen, shown below, will appear confirming that you want to continue to dial RTI and send data. Click **Yes** to continue; otherwise, click **No**. Clicking **No** will return you to the CMS menu.



If you click **Yes**, you will see the Transmission menu, which has four buttons as shown below.

From the Transmission menu, if you select **Display Results**, it will display the Transmission Results screen. This screen displays messages (both errors and informational messages) from your last transmission session. This provides a convenient way for you to check the status of your last transmission without actually doing another transmission. This same screen will appear at the end of every transmission. An example screen is shown later in this section. At times, your FS or an RTI technical support person may ask you to view this log for troubleshooting purposes. Selecting the **Close** button from the Display Results screen will exit and return you to the Transmission menu.

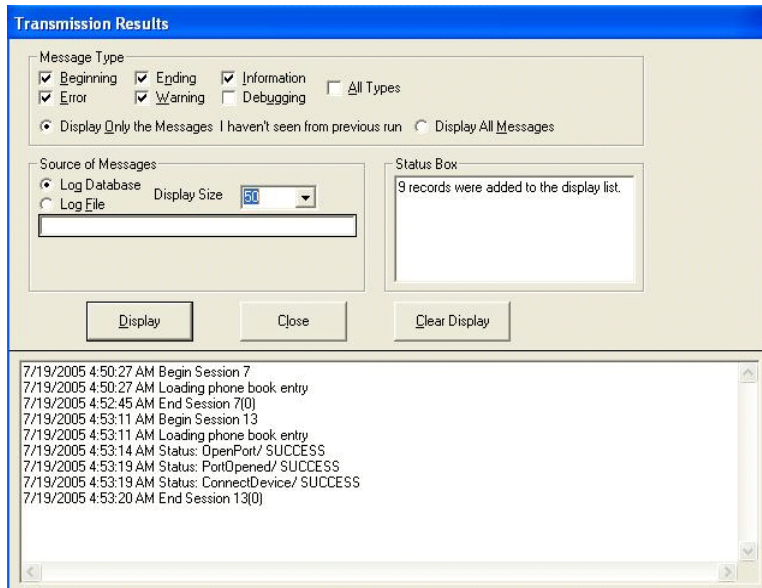


If you select the **Dial Properties** button, you will be able to change properties such as your phone prefix. An example would be if you had to stay in a hotel that required a "9" to access an outside line. (See **Section 5.3** for detailed instructions on changing your dial properties.) Clicking **Cancel** from the Transmission menu will return you to the CMS menu. Finally, selecting **Dial Now** will continue with the transmission process.

After selecting the **Dial Now** button, you will see a window labeled **Connection Status**, which displays various messages as your laptop connects, via your phone line, to RTI. Once your laptop successfully begins the transmission process (also known as having been authenticated by the RTI computer systems), another window should also appear above that is labeled **Data Transmission Status**.

This window also displays messages as your transmission progresses. The laptop continues to transmit/receive the data and then presents a **Transmission Results** screen when it is finished (see below). Be patient as occasionally this procedure takes a long time, especially if many cases/files are going back and forth. If error messages appear, copy the **exact** error messages to paper, and contact your FS. When the transmission is complete, click the **[Close]** button. You will not need to use other buttons unless instructed to do so by RTI technical support.

If errors did occur during transmission, a pop-up box will warn you of any cases that were not transmitted. Copy the case IDs to paper for reference when talking with your FS or RTI technical support. If this pop-up box appears, press **Enter** to close it.



## 8.4 Altering Telephone Settings – for Dial Up Transmissions

When you stay in a hotel, you may need to alter the way your computer dials into RTI to transmit your data. **Please contact Technical Support via the pager (877-821-5647) before making any changes to your laptop settings other than those covered in the following subsections.** Note that these changes apply to dial-up transmitting, not to broadband transfers.

### ***Call Waiting***

The “call waiting” feature of many telephone companies has changed over the last couple of years. In the past, an incoming call was very likely to disrupt a transmission with call waiting enabled. Most phone companies have made changes to their systems and now the incoming caller would have to let the phone ring for over a minute to cause any problems. Since this is unlikely, it is not necessary to set up the laptop to disable call waiting. In fact, disabling call waiting can cause more transmission problems than it fixes.

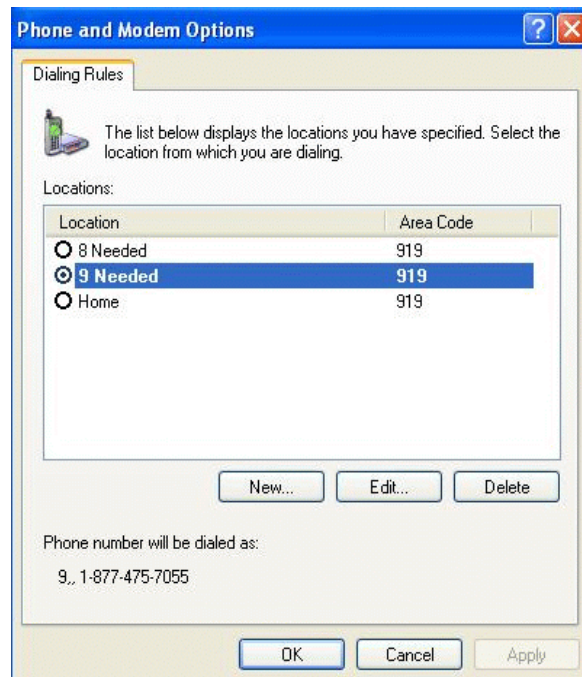
We recommend that you try transmitting from home with call waiting still enabled. However, if you experience transmission problems due to incoming calls, you can disable call waiting in the dialing preferences. First, determine your local telephone company’s disabling code (e.g., \*70, #70). It might be necessary to look in the phone book or call the phone company to find out the correct disabling code. Once you have that information, please contact technical support who will walk you through the remaining steps.



### 8.4.1 Changing Dial Properties

If you are on travel status and are staying in a hotel, you may need to change the dial-in setting on the laptop so that you can transmit. To access an outside line in most hotels, you must first dial "9" before dialing the full telephone number. To make this change, follow these steps:

1. Click on **Transmit** on the Case Management System menu.
2. You will be asked to confirm that you are ready to transmit.
3. When the transmission box appears, click on **Dial Properties**.
4. A Dialing Properties box will appear.



5. Dialing rules have been created for each of the hotel options for accessing an outside line (8 and 9). All you will need to do is to select the appropriate one for the hotel in which you are staying. Using your touchpad, click on either **8 Needed** or **9 Needed**.
6. You will notice that the phone number to be dialed, shown at the bottom of the window, now has a 9 or 8 in front of the 1-877 number.
7. Click **OK**. You will be back at the transmission dialog box and ready to continue with your transmission by clicking on **Dial Now**. If you only need to change the dial properties but do not need to transmit at this time, you can click **Cancel** to return to the CMS menu.

**IMPORTANT NOTE:**

Once you return home, you will need to repeat these steps and change your "location" to "Home."

Do not change the area code. It should always be set to 919. This will ensure that you never receive phone charges for your transmissions.

## **8.5 Transmitting From Your Laptop Via a Broadband Connection**

The process for transmitting data through a broadband connection will look very much similar to that of using the dial-up connection. However, because the broadband connection is a continuous connection, there are actually fewer steps needed to complete data transmission in this way.

You can transmit from home to pick up the List of Sampled Inmates, etc., via a dial up connection, as long as your land line is analog and not digital. Chances are that if you have a bundle of services (TV cable, phone line, and Internet access) then your phone service is digital and NOT analog. If you have only a digital phone line at home, then you can transmit via Broadband, using your cable access through an Ethernet cord.

### **8.5.1 Completing the Broadband Data Transfer**

Before you begin a broadband transmission, you first need to make sure that the laptop is set up and an active broadband connection exists. Having an active broadband connection means you must be connected to the Internet via a broadband or Ethernet cable (not a telephone cord). If you are transmitting from a hotel, instructions for connecting to the Internet will vary by hotel. Look for instructions in the room (often on a desk or bedside table), or contact the front desk for instructions.

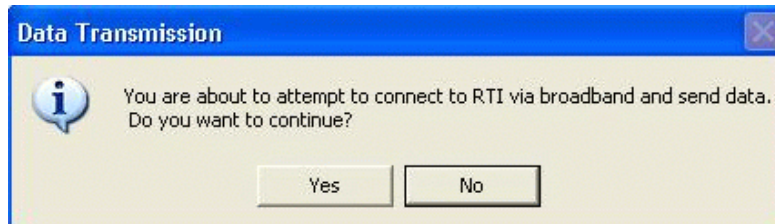
If you are transmitting from home and subscribe to a broadband Internet service through a Digital Subscriber Line (DSL) hookup, be sure to transmit through a filter. The filters were likely installed on your phone lines when you initially had the DSL connected. If you have questions about whether your lines have filters already connected, contact your DSL provider.

Complete the following before you initiate a broadband transmission:

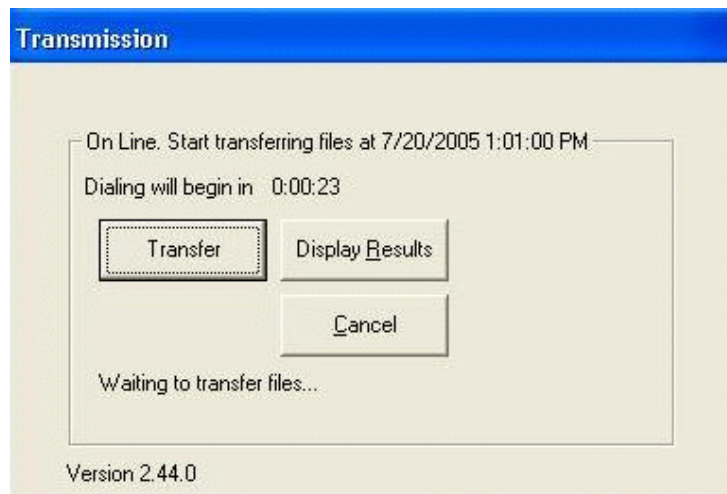
1. First, connect your laptop to an electrical outlet or surge protector. You should ALWAYS operate your laptop on ELECTRICAL POWER, not battery power.
2. Next, you must connect your laptop to your Ethernet line (broadband Internet line) as follows:

- Find the Ethernet port on the back of the laptop (it looks like a large phone jack, and is next to the phone jack on the laptop).
  - Connect one end of the Ethernet cable to the port on laptop.
  - Make sure the other end is connected to an active broadband Internet jack in the wall.
3. If you are transmitting from a hotel, additional steps may be necessary to connect to the Internet. Look for instructions in the room (often on a desk or bedside table), or contact the front desk for instructions on how to connect to the Internet.
4. Once connected to the Internet, you are now ready to transfer data.

Once the computer is set up on broadband, select the [**Transmit**] button from the CMS menu. A Data Transmission screen (shown below) will appear confirming that you want to continue to transmit and send data to RTI. Click **Yes** to continue; otherwise, click **No**. Clicking **No** will return you to the CMS menu.



If you click **Yes**, you will see the Transmission menu, which has three buttons as shown below.



From this Transmission menu, if you select **Display Results**, you will see the Transmission Results screen. This screen will display messages (both errors and informational messages) from your last session. This provides a convenient way for you to check the status of your last transmission without actually doing another transmission. This same screen will appear at the end of every transmission. An example screen is shown on the next page. At times, your FS or an RTI tech support person may ask you to view this log for troubleshooting purposes. Selecting the **Close** button from the Display Results screen will exit and return you to the Transmission menu.

Clicking **Cancel** from the Transmission menu will return you to the CMS menu.

To transmit, select **Transfer** and the Broadband transmission will initiate.

After selecting the **Transfer** button, you will see several windows open and close on the screen. During this time, the computer is preparing data files for transfer to RTI. This process may take a minimum of 20 to 30 seconds, but could take longer if a larger number of files are being prepared. Please make sure to not do anything with the computer during this time. It is important that you allow the computer time to prepare these data files. Once these files are prepared and ready to send, you will see the **Data Transmission Status** window appear.

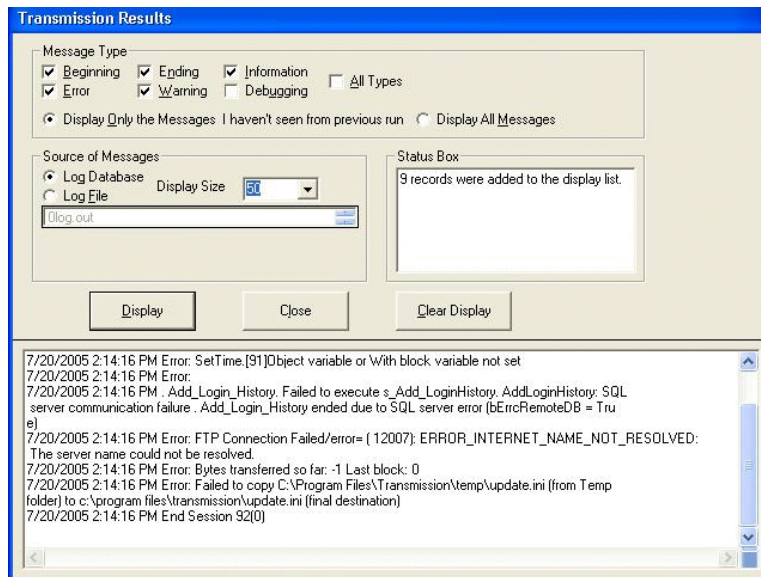
This window will display messages as your transfer progresses. The laptop will continue to transfer/receive the data and when finished will present a Transmission Results screen (below). Because these data are being transferred over a broadband connection, it should happen fairly quickly. It is very likely that you will not see each transfer step as it occurs, and so you should review the display window for any error messages. If error messages appear, copy the exact error messages to paper, and contact your FS. When the transfer is complete, you will see a series of messages that indicate successfully sent various files. The last line of a successful broadband transmission will say, "**Done processing file transfer orders.**" This means the transmission was successful.

However, if you have transmission issues, please make note of any error message in the **Transmission Results** box. You will need to report these error messages to your FS and to Field Tech Support Group, if you have to call Tech Support.

After a successful file transfer on broadband, or after noting the error messages that appeared, then you may click on the **Close** button.

You will not need to use other buttons unless instructed to do so by RTI technical support. If errors did occur during transfer, a pop-up box may appear to let you know of any cases that were not transferred. Copy the case IDs to paper for reference when talking with your FS or RTI technical support. If this pop-up box appears, press the **Enter** key to close the box.

Once you return to the CMS menu after a successful transfer, any finalized cases should have been transferred and will no longer show up in the grid under Questionnaire/Update Interview Codes.



## 8.6 Troubleshooting Transmission Problems

### ***When Transmitting via Dial-Up:***

When using dial-up to transmit data, if you receive messages like “Your transmission was unsuccessful,” “There was no connection made with any RTI server,” “All RTI servers are busy,” or “Loss of RAS connection,” try the following steps:

First, close any pop-up boxes, and then transmit again.

Be sure that the phone cords are properly connected.

Verify that you are using a standard analog telephone line.

Be sure your dial-up settings are set correctly for either “9 Needed” or “Home,” depending on where you are dialing from.

Check to see that Disable Call Waiting Code is not checked by clicking on **Edit** after clicking on **Dial Properties**.

If you are unable to connect after three attempts at transmitting, try again later or follow Technical Support protocol.

### ***When Transmitting via Broadband (Wired Internet):***

When transmitting using broadband, you may see some of the following messages:

- An error message appears stating “Web Service Error: Failed to initialize web service.”

- This error message indicates that a broadband Internet connection was not found. Check that all connections are securely plugged in.
  - Also check that the modem card's link/act light is on. Remember if this light is not on, then the laptop is not receiving a signal from the cable modem.
  - Make sure the modem and router are powered on. If these devices are not acting properly, you may need to contact your Internet Service Provider's (ISP's) Technical Support to determine the cause of the problem.
- An error message appears stating "Access Denied to web service. Not a valid user."
- This error occurs when the laptop has a problem logging into the case transfer system. Usually simply attempting another transmission will correct the problem.
  - If this error still appears after multiple attempts, contact RTI's Technical Support Group.
- An error message appears stating "Web Service Execution Error" or "Web Service Error."
- Try another transmission.
  - If this error still appears after multiple attempts, contact RTI's Technical Support Group.
- The transmitting box is displayed but there has been no activity on the screen for awhile.
- Depending on the type of ISP and the amount of information to be transmitted, a normal transmission could take 1–30 minutes.
  - If there is no activity on the screen for more than 5 minutes (if you are using a broadband ISP) or 30 minutes (if you are using a dial-up ISP), your transmission may be "hung up" in the system in some way.
    - a. Close whatever boxes are displayed.
    - b. Try to transmit again.

If this does not work, you need to exit the CMS so that the laptop shuts down. Turn on the computer and try transmitting again. If problems are still encountered, contact Technical Support.

One suggestion to try is this: if you are transmitting using broadband and it is not successful, try to transmit using dial-up, if possible, and vice versa.

If you are staying in a hotel and having problems, check with your OS. He might know if others are having similar problems and have found a solution. If that is not helpful, you should call your FS for further guidance. If he/she advises you to call technical support, here again is the contact information for technical support.

## Contacting NIS Technical Support

Days	Time (Eastern)	Type of call	Method	Number to call
Monday – Friday	8:30 am - 5:00 pm	Any	Pager	(877) 821-5647
Monday – Friday	5:00 pm - 10:00 pm	Emergencies only	Pager	(877) 821-5647
Saturday – Sunday	10:00 am - 10:00 pm	Emergencies only	Pager	(877) 821-5647

If you call the Tech Support pager, type in the phone number you can reached, including area code. (Without the area code, tech support cannot return your page.) Also, if you are staying at a hotel and leave the hotel general # as the call back number, please also enter your room number. Otherwise, tech support does not WHO paged them and cannot tell the front desk where to direct the call. It is fine to leave your cell phone # on the pager, but please note that RTI will not cover the cost of the call, if there is one.

Once you are speaking to tech support, calmly state who you are and what project you are working on.

The Tech Support person will ask you a series of questions. The more details you can provide, the better chance Tech Support can diagnose the problem correctly. If you get an error message, write it down and document any steps you took to try to solve the problem yourself.

Calmly follow the instructions you are given and do not go ahead of tech support. They have very specific steps they want you to take, so please be patient when listening to their instructions.

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## 9 USING OUTLOOK EXPRESS

Electronic mail, usually referred to as e-mail, is a valuable communication tool during data collection. It is important that you become comfortable sending, receiving, and filing e-mail messages. Your supervisor and RTI project staff use e-mail to answer questions that have been raised, to document changes in procedures, to deliver Facility Logistics Plans and to update you on the status of the project. It is very convenient to check your e-mail immediately after transmitting data because you are already connected via the modem. However, you are required to check e-mail every day you are working in a facility and at least two times a week when you are not working in a facility. Your FS may require you to check e-mail more frequently.

Please remember that transmitting data and transmitting and checking email are two separate transmission processes. To transmit data, see **Chapter 8**. To transmit to send or receive your email messages, see **Section 9.7**. If you perform only one transmission type (data or email), the other type of transmission does not happen automatically.

This chapter includes all the information you need to use Outlook Express mail. There are many other features that you may wish to learn on your own, but they are not necessary for this project and are not covered here. Also, because Outlook Express is a Windows-based program, you use the touch pad to navigate through the program.

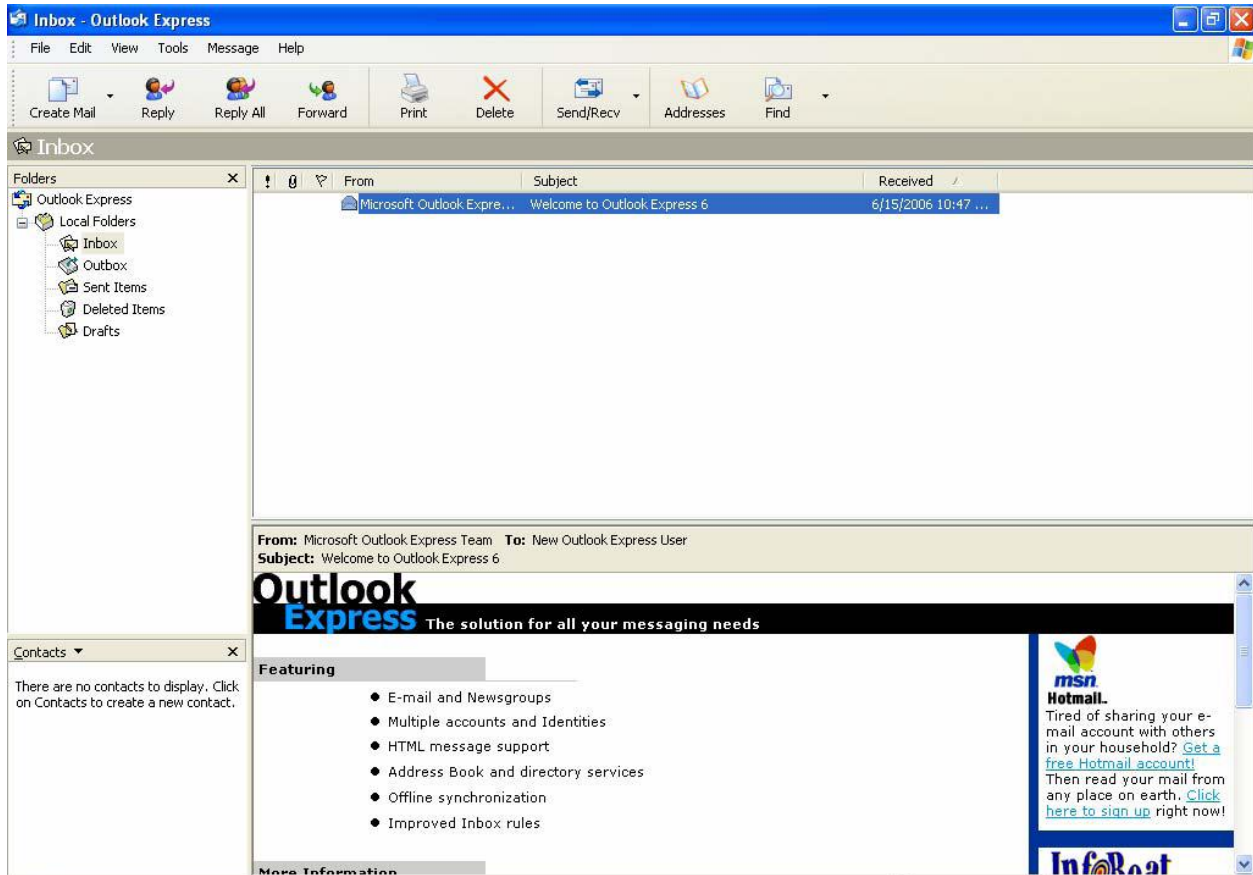
### 9.1 Screen Layout

The Outlook Express screen is shown below. Across the top is the menu bar from which you perform all functions. Just below the menu bar is a row of icons called the tool bar. These icons enable you to perform frequently used functions without using the menu bar.

Along the left side of the screen is a graphic representation of the different "mailboxes" in your e-mail system. Each mailbox stores a different kind of message. The system is set up initially with five mailboxes: the Inbox, the Outbox, the Sent Items box, the Deleted Items box, and the Drafts box. You may add additional mailboxes for storing specific types of messages, such as messages from your supervisor, messages you sent to RTI's technical support, etc. You may also create mailboxes in which to store folders. Creating mailboxes and folders is covered in **Section 9.14**.

- *The Inbox* stores all messages sent to you, both read and unread, until you delete them or file them elsewhere.
- *The Outbox* stores messages that you have finalized but not yet sent. These messages are "queued," waiting to be actually sent when you have the modem connected.
- *The Sent Items box* stores copies of messages already sent by you, until you delete them or file them elsewhere.

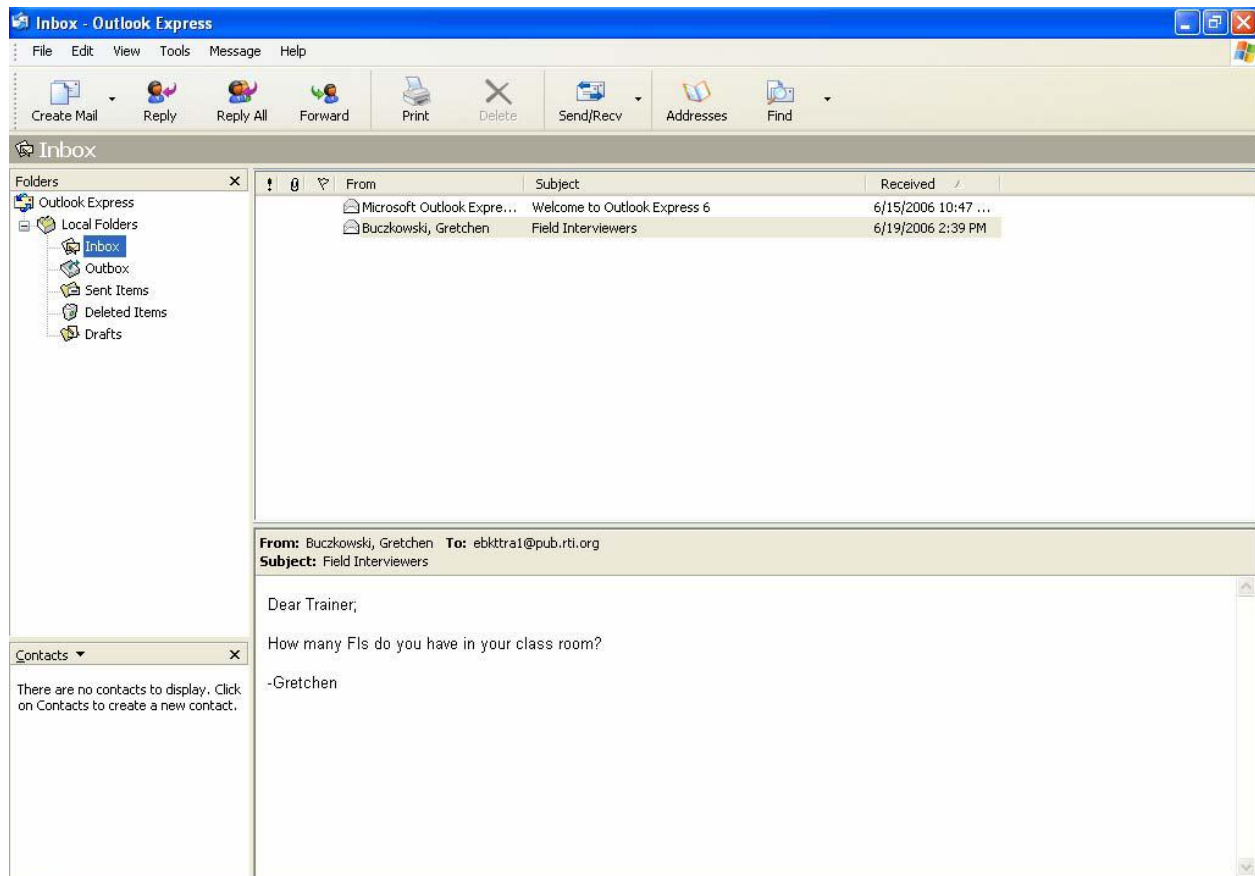
- *The Deleted Items box* contains messages that you have deleted. Messages are not actually deleted until you “empty” the Deleted Items box. Therefore, messages are still retrievable from the Deleted Items box until you empty it. See **Section 9.13** for instructions on emptying the Deleted Items box.



- *The Drafts box* contains incomplete messages that have not been queued or sent to a recipient.

The large window to the right of the list of mailboxes displays all of the messages contained in the Inbox. You may also display the contents of the Outbox, Sent Items box, Deleted Items box, Drafts box, or other mailboxes that you have created.

To select the mailbox whose contents you want to display, double-click the name of the mailbox in the list on the left side of the screen. The contents of the selected mailbox appear in the window of the right side of the screen, as shown below.



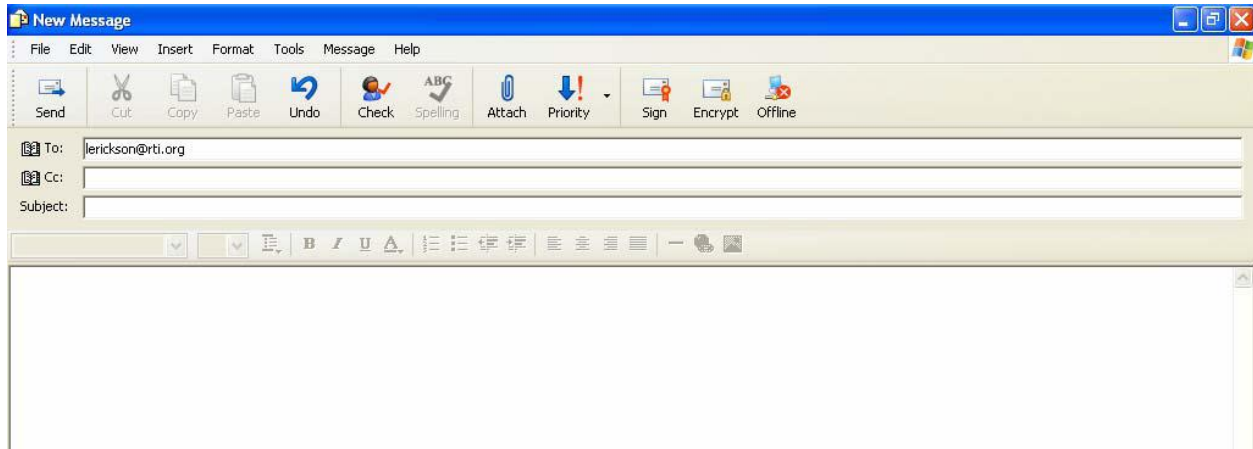
## 9.2 Writing and Sending a Message

You can write messages in Outlook Express without being connected via the modem to RTI. The messages are queued until you are ready to send them using your modem. This feature is convenient when you have several messages to write or when your message is not urgent and can wait until you have your modem connected for transmitting data.

However, if your message is urgent, you can send it immediately after writing it. There may be some lag time before the message is received since the recipient must connect to RTI to check his/her e-mail.

To write a new message, follow the steps below.

1. Click the **Create Mail** icon on the toolbar or go to **File** on the menu and choose **New**, and then **Mail Message**. A new message shell appears as shown below.



Use the following guidelines to complete the header items: "To," "Cc," and "Subject." Use the **Tab** key to move to the next item and **Shift Tab** to move back to the previous item.

*To:* Type the address of the person(s) to whom you want the message to go. The address may be upper- or lower-case. If there is more than one address, separate the addresses with a semi-colon.

For a complete list of contact information for project staff, including FSs, see **Chapter 1**.

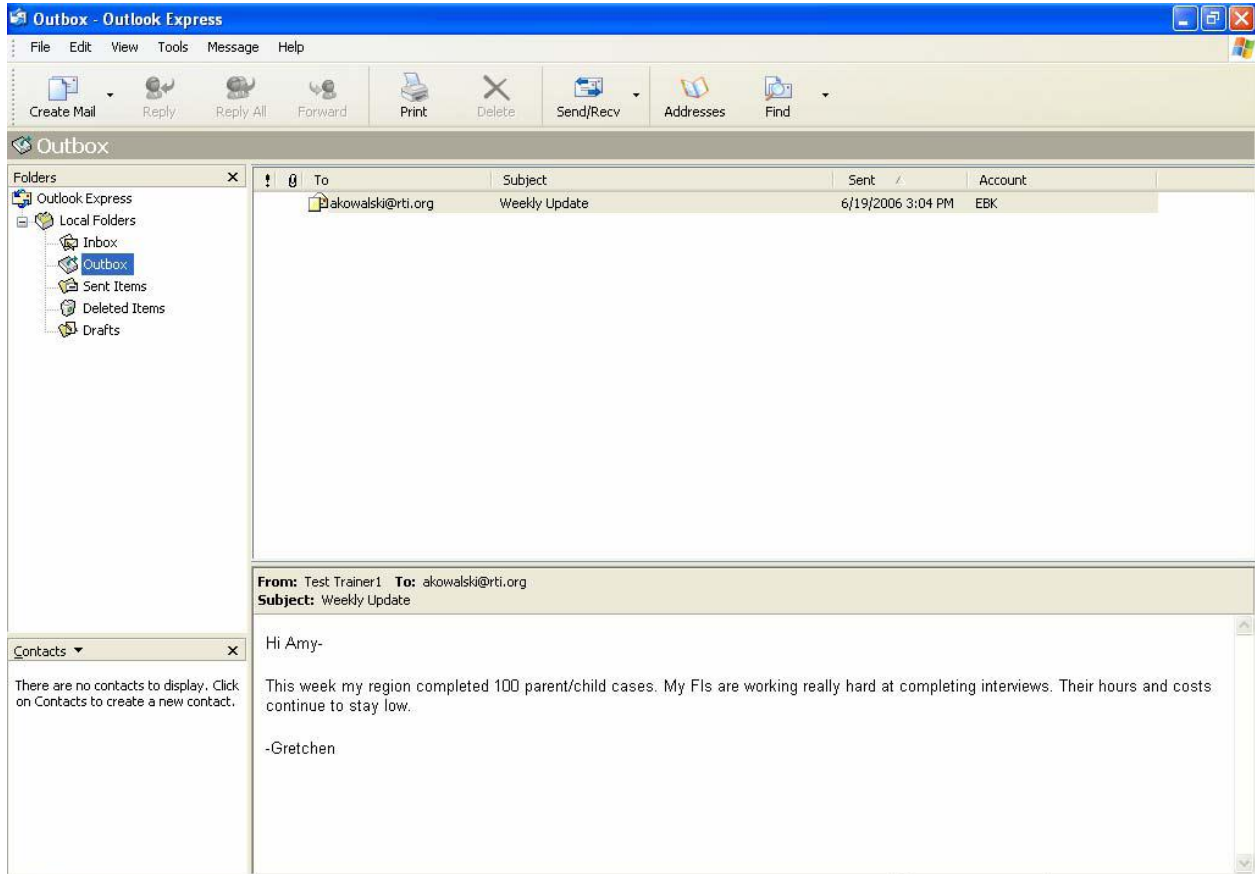
*Cc:* Type the addresses of anyone whom you would like to receive a copy of the message.

*Subject:* Type a brief description of the contents of the message.

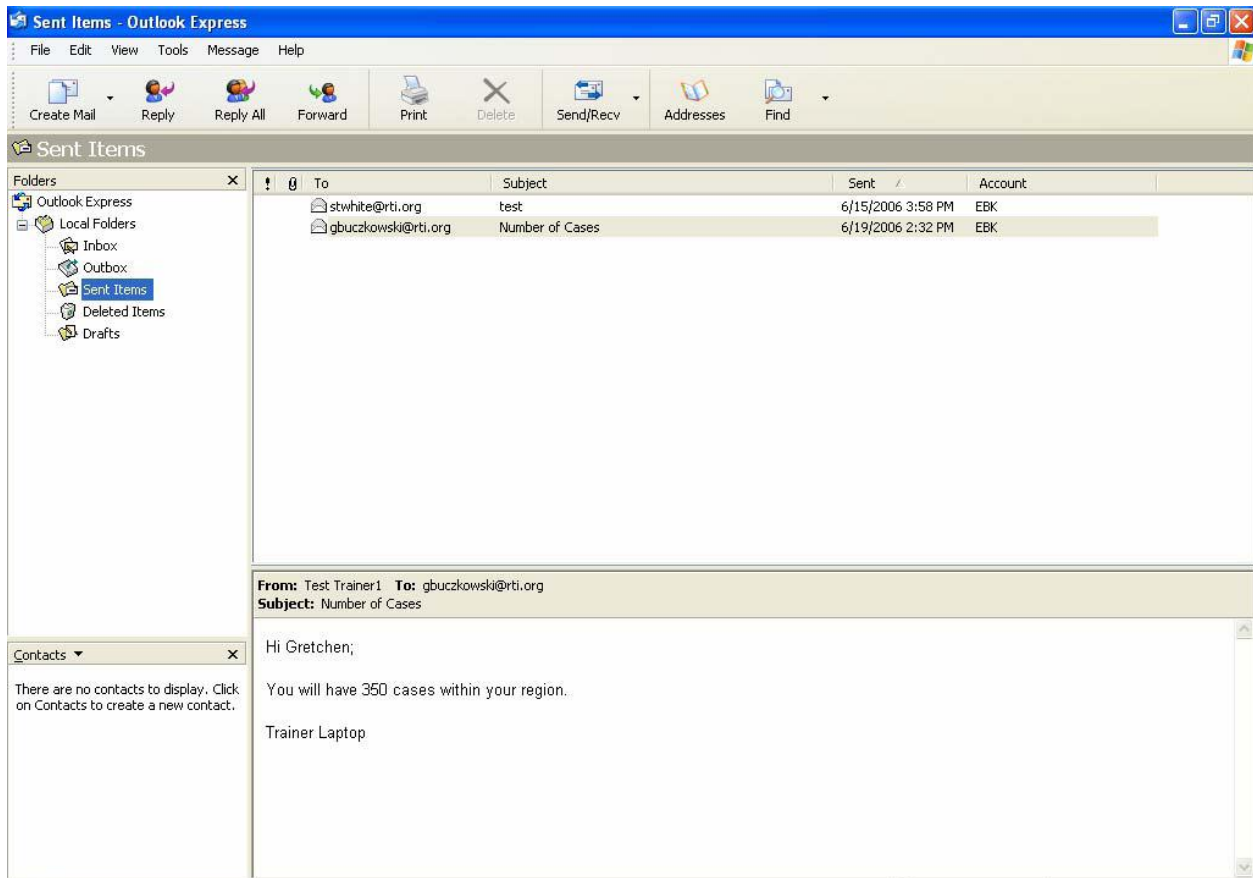
2. Press the **Tab** key until the cursor is in the large blank area, or click inside the area to move the cursor there. Type your message.
3. To queue the written message:
  - a. Click on the **Send** button at the top on the far left of the toolbar.
  - b. The message is now put in line to be sent the next time you send/receive e-mail.
4. To send the message:
  - a. Connect your modem to a phone jack using the telephone/modem cord.
  - b. Click the **Send/Recv** icon in the tool bar.
  - c. After the message is sent, the connection with RTI automatically terminates.

### 9.3 Queued Mail

Queued mail is stored in the Outbox. Double-click the **Outbox** in the list of mailboxes on the left side of the screen to view the contents of the Outbox. Messages that are queued and waiting to be sent are indicated by an envelope with a blank letter in front located to the left of the recipient's e-mail address as shown below.



Messages that have already been sent are located in the Sent Items box and have an open envelope to the left of the recipient's e-mail address as shown below.



You can write and queue multiple messages, then connect your modem and check mail, sending all queued messages at the same time. It is not necessary to send messages one at a time.

Note that using the **Send/Recv** icon both sends queued messages and receives messages that have been sent to you.

Also, if you have a queued message that is unable to be sent, all e-mail messages listed (queued) after this message will not be sent until this stuck message has either had the address corrected or been deleted from the queue.

The following section reviews the process of checking mail.

## 9.4 Checking Mail

You are required to check mail frequently (every day you are working in a facility and at least two times per week when you are not working in a facility) in case your supervisor or an RTI project staff member has sent you a message.

To check mail:

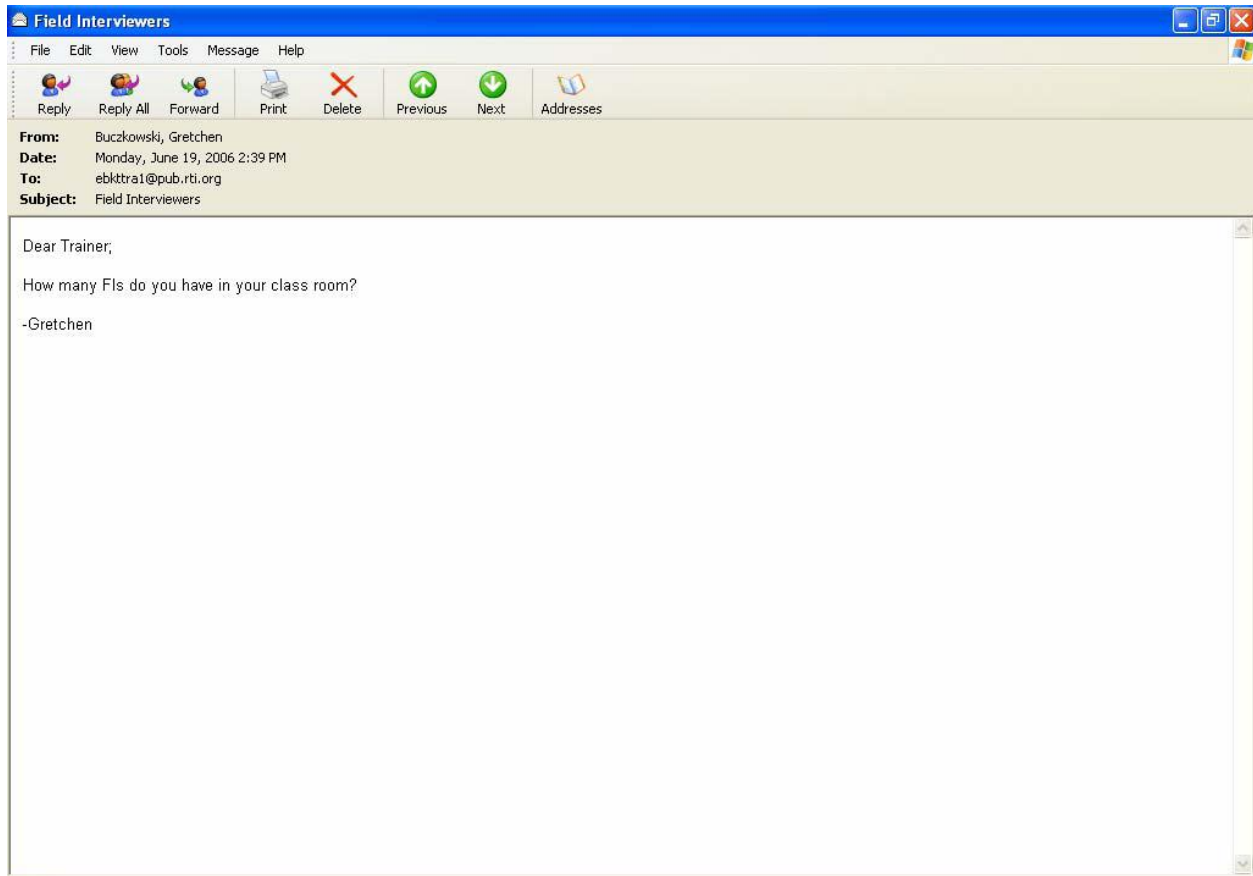
1. Make sure your modem is connected (see **Chapter 8**).
2. Click the **Send/Recv** icon on the toolbar (two envelopes with blue arrows pointing to the left and right, the seventh icon from the left).
3. A message lets you know how many messages are being downloaded onto your laptop (or if there are no messages waiting for you).
4. The connection with RTI automatically terminates.
5. Your new mail is in the Inbox for you to read.

While checking mail, any queued mail is also automatically sent.

## 9.5 Reading Messages

Messages sent to you are listed in your Inbox. When a message arrives in your Inbox, the header appears in bold, indicating that you have not read it. If your Inbox is not already open, a small envelope icon will appear in the lower right-hand corner of the screen to indicate that you have new mail.

To read a message from any of the mailboxes, simply double-click that message in the roster of the appropriate mailbox. The message appears in a window that opens over the roster. An example is shown below.



## 9.6 Replying to a Message

To reply to a message you have received:

1. If the message you want to reply to is displayed on your screen (as shown above), click the **Reply** icon on the toolbar (a single person with a purple arrow) to reply only to the sender of the message. If the message had multiple recipients and you would like all of them to see your reply, click the **Reply All** icon (two people with a purple arrow).

OR

If the message you want to reply to is not displayed on your screen, from the mailbox roster listing the message, right-click the message and select **Reply to Sender** or **Reply to All** within the menu that appears.

2. A window opens that is similar to a new message window. However, the **To** and **Subject** fields are automatically filled in, and the message to which you are replying is in the body of your reply message. Type your reply at the top. You can also move the cursor within the original message with the arrow keys to add your comments.
3. Queue and send the reply the same way that you would a new message.



## 9.7 Forwarding a Message

To forward a message in one of your mailboxes to someone else:

1. Make sure the message you want to forward is displayed on the screen, or that it is highlighted on the roster.
2. Click the **Forward** icon on the toolbar (a single person with a green arrow on the left side).
3. Type the address of the person(s) to whom you want to forward the message. (Your name automatically appears on the **From** line.)
4. The original message, including the heading, is displayed in the body of your message. Type your message above the forwarded message. You may also move the cursor to the body of the forwarded message to add your own comments.
5. Queue and send the message the same way that you would a new message.

## 9.8 Deleting a Message

To delete a message:

1. Put the message in the Deleted Items box.
    - a. Make sure the message you want to delete is displayed on the screen, or that it is highlighted on the roster.
    - b. Click the **Delete Message** icon on the toolbar (large red X).
  2. Empty the Deleted Items box.
    - a. Right-click **Deleted Items** box on the left side of your screen.
    - b. Click **Empty 'Deleted Items' Folder** on the menu that comes up.
- OR
- a. Click **Edit** on the menu bar.
  - b. Click **Empty 'Deleted Items' Folder**.

If you would like the Deleted Items box to be automatically emptied each time you exit Outlook Express:

1. Click **Tools** on the menu bar.
2. Click **Options**.
3. Click the **Maintenance** tab.
4. Click the box by **Empty messages from the 'Deleted Items' folder on exit** to check it.
5. Click **OK**.

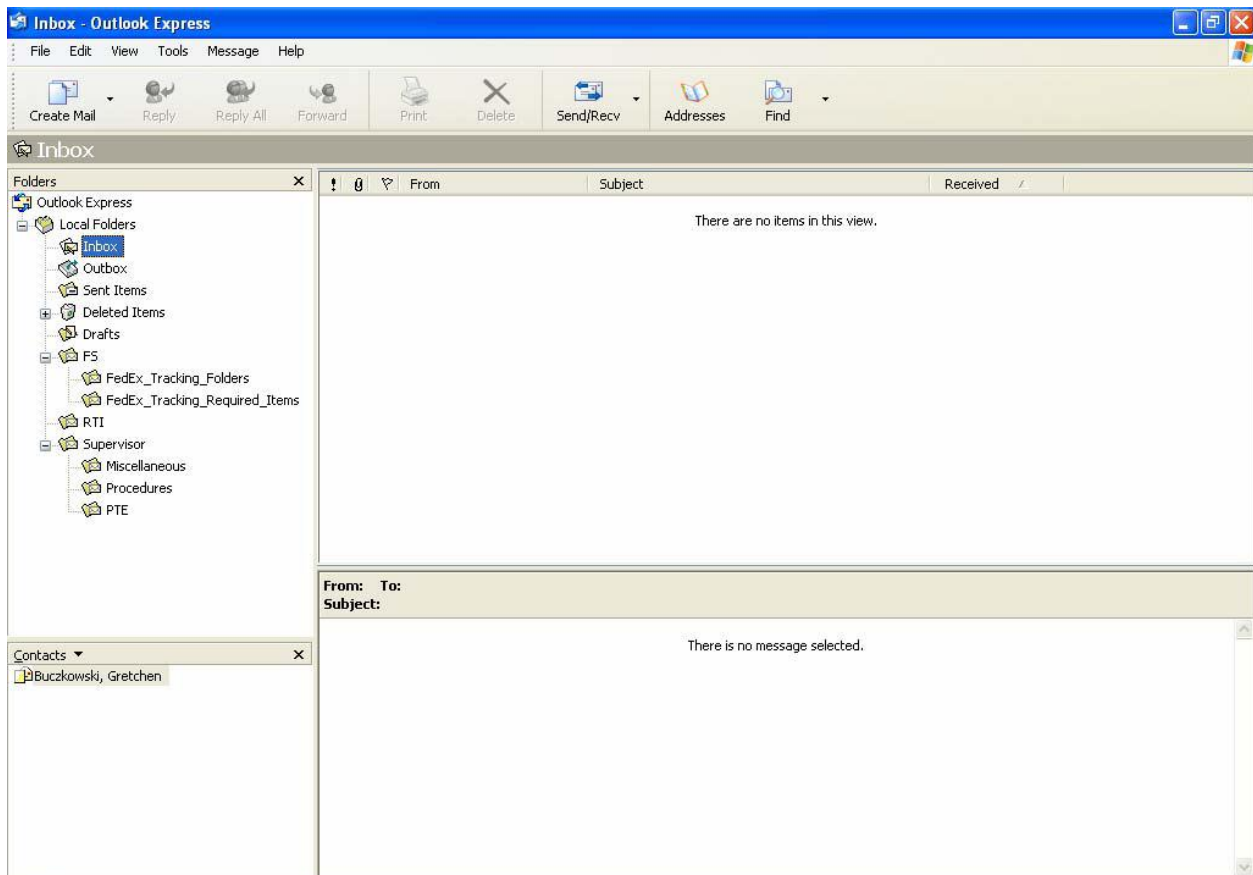
## 9.9 Moving Messages between Mailboxes and Folders/Setting up Folders

As you accumulate messages, get in the habit of filing them in an appropriate folder or deleting them so that your mailboxes are manageable. We recommend setting up additional

mailboxes and folders in which to store mail messages that you need to keep so that your Inbox and Sent Items box do not become too full. To prevent reaching memory capacity regularly delete any messages that you do not need to keep. Remember that as you delete items from your mailboxes and folders they are sent to the Deleted Items box. To completely delete them, you must delete them from the Deleted Items box. This should be a very rare occurrence, but if you reach memory capacity, you should contact your FS or RTI Technical Support.

Messages are stored in mailboxes. Folders may also be used if additional organization is desired. For example, you might create a folder called "Field Supervisor" and within it create subfolders called "PTE," "Procedures," and "Miscellaneous." These subfolders provide specific places to file messages to and from your supervisor regarding your PT&E, issues related to field procedures, and miscellaneous issues, respectively. Some additional folder suggestions include one called "Team" to store messages to and from your other team members, a folder called "Logistics Plans" to store messages about facility Logistics Plans, or a folder called "RTI" where you would file similar messages to and from RTI staff.

You may set up folders and subfolders to organize your messages any way you wish. As you set up your filing system, the structure of the system is displayed in the box on the left side of your screen, as shown below.



### **To create a new folder or subfolder:**

1. Click **File** on the menu bar.
2. Click **New** in the drop-down list. Use the touch pad to move the cursor to **Folder** in the next drop-down box. Click on the left mouse button to open the **Create Folder** window.
3. Underneath **Folder name** type the name of the folder you wish to create.

OR

1. Using the touch pad move the cursor to the **Local Folders** in the left hand side of the screen and click the right mouse button.
2. Click on **New Folder** and the **Create Folder** window opens. If you already have a folder created, and want to create another subfolder *within* that one, highlight the name of the existing folder and click the right mouse button to open another **Create Folder** window.
3. Underneath **Folder name**, type the name of the folder you wish to create.
4. Click **OK**.

Once you have created a system of folders and subfolders, managing your mail is much easier. Rather than having to look through a long list of unrelated messages in your Inbox or Sent Items box to find a particular message, you can simply go to the appropriate mailbox and folder to quickly locate it.

The key to success in managing your mail is to process it soon after you have received it or sent it. Delete messages that you do not need to keep. File other messages from your Inbox and Sent Items box regularly. (Be sure to not move or file messages from your Outbox, since these are queued, and have not yet been sent. If you move a queued message from the Outbox, it will not be sent.)

Once a message is filed, you may still move it from one folder to another. In fact, even messages that have been deleted are retrievable up until the point that you empty the Deleted Items box. Retrieving a deleted message is simply a case of moving a message from one mailbox (Deleted Items) to another mailbox.

### **To move a message from one folder to another:**

*From the roster of messages:*

1. Right-click the message on the roster.
2. Click the **Move to folder** item within the drop-down list.
3. Click the folder on the menu where you would like the message to go. If the subfolder is in a folder, using the left mouse button click the name of the folder twice to bring up a menu of items stored in that folder.

*From the currently displayed message:*

1. Click **File** on the menu bar.
2. Left mouse click the **Move to Folder** item in the dropdown menu.
3. Click the folder on the menu where you would like the message to go. If the subfolder is in a folder, using the left mouse button click the name of the folder twice to bring up a menu of items stored in that folder.

**To delete a folder or subfolder:**

1. Right-click the name of the folder/mailbox on the left side of the screen to bring up a menu.
2. Click **Delete**.
3. You are alerted if the mailbox has messages stored in it.

## **9.10 Address Book**

To make it easier to send mail to frequent recipients, Outlook Express allows you to set up an address book, with "nicknames" that are easier to remember and type than the person's e-mail address. For example, your FS is Mary Zavotsky. Rather than typing spimzav1@spi.rti.org each time you send her a message, you can instruct your computer to send it to her address when you simply type "Mary" in the To or Cc line.

Once an address is in your address book, you may simply type the nickname (e.g., Amanda) in the "To" line of a message. Note that once a nickname has been created for someone you must enter the exact same spelling or your message will not be sent.

## **9.11 Using Help in Outlook Express**

The Outlook Express software documentation is your primary source of information and is easily accessible when you need it. Additional tools are included in Outlook Express to help you get the information you need.

**To view the Help Contents:**

1. Click the **Help** menu on the menu bar in Outlook Express.
2. Choose Contents and Index

OR

1. Press the **F1** key.

Pressing the **F1** key will display the Help Contents or a Help topic about the active window or dialog box. You can also highlight a menu or command name and then press **F1**.

## **9.12 Hotel and Home Use: Changing Telephone Settings**

When on travel status, it may be necessary for you to stay in a hotel that requires you to dial a 8 or 9 before accessing outside phone lines for a dial up transmission. If you do need

to dial a 9 first to make phone calls, you also need to have the computer dial a 9 before accessing your e-mail. **Chapter 8** of this manual has a step-by-step explanation of how to alter the dialing pattern for transmitting data to and from RTI. Changing this setting for transmission also affects the dialing for e-mail. See **Chapter 8** for these step-by-step instructions for changing the computer's dialing pattern to "9 needed" and back to "home" (without a 9).

### **9.13 Use of Project E-mail Accounts**

Project e-mail may only be used for project purposes. All project e-mail communication must be done using the field staff e-mail accounts established for the project. Personal e-mail accounts cannot be used to send/receive confidential study information, including Facility Logistics Plans. Likewise, project e-mail accounts cannot be used to send/receive personal communication. FSs may send e-mail with nonconfidential information to an FI's personal account as a back-up when there are time-sensitive or urgent matters to communicate. No facility names or inmate names should be used in e-mail communication. Information regarding facilities and specific inmates should be communicated using Facility ID numbers and Inmate Case ID numbers.

All e-mail communication should remain within the Data Collection Team (i.e., FIs, FSs, DCTL) and Technical Support. Do not e-mail the LMs, facility staff, or the Bureau of Justice Statistics unless specifically asked to do so by your FS, RS, or the DCTL. Violations of project e-mail protocols will result in immediate disciplinary action.

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## **10. ON-SITE SUPERVISOR INSTRUCTIONS**

### **1.0 General On-Site Supervisor Responsibilities**

Every facility will have an OS. This person, identified by the FS, will be responsible for the following tasks:

- transmit to pick up the List of Sampled Inmates;
- print the List of Sampled Inmates for the FIs who work at the facility;
- hold a pre-data collection team meeting
- prior to the start of data collection, check laptops to ensure that the new list of sampled inmates is loaded on the laptop, and that all codes from the previous facility have been final coded and removed from each FI's CMS;
- distribute supplies to FIs;
- check each laptop each morning to ensure the wireless capability is turned off;
- coordinate activities at the facilities;
- in centralized facilities, help to direct the flow of inmates to the next available interviewer; assigns event codes to all inmates not sent to an interviewer to interview (refusals, transfers, releases, etc.)
- in decentralized facilities, interview inmates;
- work with the facility contact to resolve any room problems, scheduling conflicts, etc.;
- report distressed respondent incidents and any unusual incidents to the FS;
- in centralized facilities, code any inmate who has not come to the interviewing area (e.g., in court, in disciplinary segregation, etc.);
- complete and email to FS and DCTL: FI production, error, and DR/I reports;
- give the FS a nightly report of facility activities, via phone (briefly);
- collect expense reports from the FIs at the end of the week and send them via FedEx to the FS;
- send all Lists of Sampled Inmates, consent forms, and facility specific unused supplies back to RTI via FedEx at the end of data collection at the facility; and
- when the FS makes the decision to begin sending team members home due to the completion of work at a facility, the OS always stays until last and until the inmate has been called and assigned a code on the List of Sampled Inmates, the FI Daily Report, and in the CMS.

While not all interviewers will be named as OS, each interviewer should be familiar with what the OS does in the event the interviewer has to perform in that role.

### **10.2 Picking Up and Printing the List of Sampled Inmates**

The OS will access a system on the laptop, called the Sampled Inmate System. (If you worked on the NIS in previous years, this was previously known as the Roster System.) This

system is available on everyone's laptop, in case an interviewer has to step in as OS in an emergency. As a result, the information on the Sample Inmate System is provided to all FIs as a reference.

On the day before the team begins work at a facility, the OS will need to transmit to RTI to pick up the List of Sampled Inmates. Follow the instructions in **Chapter 8** of the manual for transmitting instructions. Instructions for accessing the List of Sampled Inmates and printing it are below.

### **10.2.1 Printer Instructions**

In order to print the List of Sampled Inmates, connect the RTI-provided printer to the laptop.

- The printer has a power cord that goes in the back of the printer (it is marked Power).
- There is another cord that connects the printer to the laptop. The small connector goes into the printer; the larger connector goes into the side of the laptop.
- Flip the printer top open and open the door at the bottom to hold the paper when it comes out of the printer.
- The ON button is on the top of the printer.
- The paper slides in the top. Put several pieces of paper in at once, but no more than 20 sheets at a time, or the printer will jam.

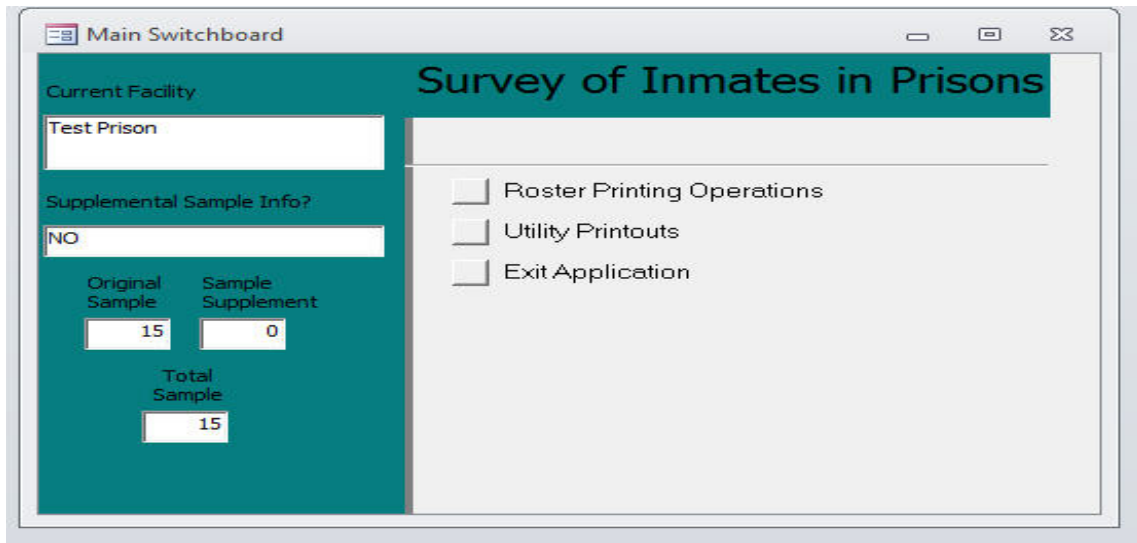
Once the new List of Sampled Inmates is picked up via transmission, the OS will print a copy for each interviewer who will be working at the facility for the upcoming week (including one for himself and one for the facility, as a backup).

Once the printer is connected to the laptop and paper is loaded into the printer, the OS should start the laptop and enter the passwords to access the CMS (if the computer is not turned on yet). After logging into the system, double-click on the blue menu bar at the top of the screen to minimize the CMS window. Then, hover the cursor in the blue menu bar, left click and hold it down, while moving your finger on the touchpad to drag the screen to the side. This will expose the desktop, where the Sampled Inmate System (SIS) Application shortcut is found. The shortcut looks like this:

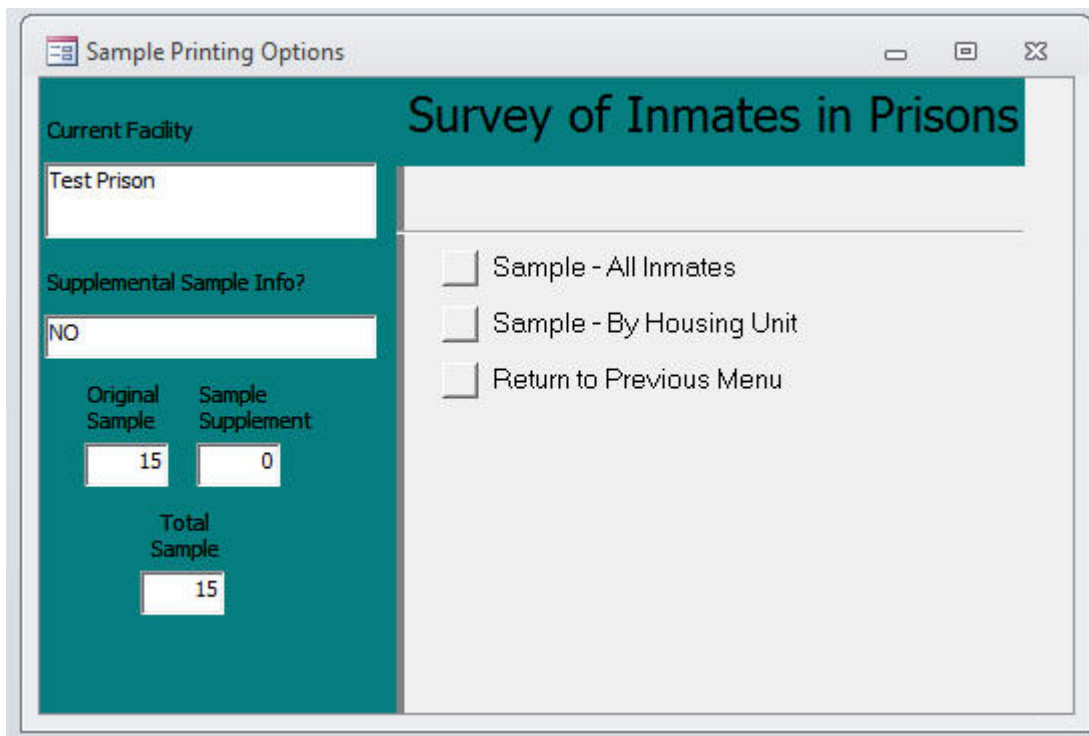




Left click twice on the shortcut and the Main Page of the SIS will appear:



From the Main Page or Switchboard, select Roster Printing Operations. The following screen will appear:



From this screen, the current prison is listed. The name of the prison where the team will be working in that week should appear (not a prison that was completed previously). If a

previously worked prison is listed here, transmit again to see if the new List of Sampled Inmates is sent to your laptop. If not, contact your FS as soon as reasonably possible.

The Supplemental Sample Info field will always say "NO." The original sample will tell you how many inmates were selected for SPI. (Again there will be no supplemental sample.) The total sample will always equal the original sample. For most prisons, the original sample will be 80. However, there may be prisons where we are required to oversample, so this number could be greater.

The printing options presented on this screen allow the List of Sampled Inmates to be printed in several different ways.

- **Sample—All Inmates**—This is the option used most frequently. It is preferable to use the "All Inmates" version when the team works in a centralized facility. It will print a continuous list of all inmates in the sample, in the order RTI would prefer that the team asks to speak to the inmates.
- **Sample—By Housing Unit**—This option is used when the roster should be organized so that each housing unit is on a separate page. This option should be used when the team is working in a decentralized facility.
- **Return to Previous Menu** – The OS will select the option after printing is completed and is closing out of the system.

The OS may give a copy of the List of Sampled Inmates to a facility, if they request it, but only after arrival at the facility. If they must have a copy of the list prior to the arrival of the team, they must obtain it from the Logistic Manager for that facility.

The List of Sampled Inmates will look like the example below (in this particular case, the OS picked a list of all inmates).

---

**Sample - All Subjects Facility ID: PTX999**

	<b>Inmate ID</b>	<b>Inmate Name</b>	<b>DOB</b>	<b>Adult</b>	<b>Prisoner ID</b>	<b>Housing Unit</b>	<b>HU 2</b>	<b>Case Status / Notes</b>
1	39870076	YOUNG, NEIL R	8/13/1966	Y	0721058	H01	Wing A	
2	39870019	ROBINSON, DAVID J	6/29/1984	Y	0720990	H01	Wing A	
3	39870027	MARLOWE, JERRY G	8/25/1994	N	0721108	H01	Wing C	
4	39870050	JAMES, ERIC	5/13/1969	Y	0721015	H01	Wing B	
5	39870068	NAVA, JASON R	1/18/1972	Y	0720749	H01	Wing B	
6	39870100	DOWELL, STEVE M	3/18/1972	Y	0721134	H02	Wing B	
7	39870142	OSWALT, JOHN M	6/30/1957	Y	0720385	H02	Wing A	
8	39870167	MANILDI, ELLIS	1/26/1989	Y	0713452	H03	Wing E	
9	39870183	FRANCIS, MARK	4/1/1973	Y	0712000	H03	Wing E	
10	39870035	CORBETT, DANNY J	7/7/1984	Y	0721018	H01	Wing C	

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Once the OS has selected the List (All Inmates or by Housing Unit) to be printed, click **File** on the top bar. This will bring down a drop down menu. Select **Print**. Lists must be printed in landscape as the notes will not be included when the portrait option is used. The default is set to the Landscape option. To verify that the Lists will print in Landscape, select "**Properties**." The Orientation should be set to Landscape.

Also, in order to save on ink, you should always print out the lists in "Fast Draft" mode.

When the OS is done printing off the needed number of Lists, then select **Return to Previous Menu** and then **Exit Application** to close out this system. From the desktop, move the cursor to the bright bar and drag it up until the CMS screen is in view. This will allow the OS to continue doing any necessary tasks within the CMS or to properly exit from the CMS. The only proper way to shut down your computer is to navigate to the CMS Main Screen and select the **Exit** button, allowing the computer to shut down completely. Remember, do not close the laptop until the screen is completely black.

Make sure that for centralized facilities, each interviewer has a complete "All Inmates" version of the List of Sampled Inmates. They will use this to look up Inmate ID numbers for the inmates and to keep track of their result codes prior to entering them into the CMS and the FI Daily Report. As the OS, you are responsible for tracking the disposition of all inmates in the sample and will need to print a copy for yourself that will serve as the Master List of Sampled Inmates.

For decentralized facilities, print one copy of the List of Sampled Inmates, by housing unit, and give each interviewer the housing unit for which he/she is responsible. You will want to print a second complete copy by housing unit for yourself to serve as the Master List of Sampled Inmates to help you keep track of the entire sample. Place the List of Sampled Inmates and all needed supplies for the first day in a data collection folder for each interviewer, including the laminated copies of the consent forms for the FIs to use. Generally speaking, that is all you would need to do for the first day of work in a facility. You will pass out the data collection folder at your pre-data collection team meeting. This will be described later.

When you hand out the lists of sampled inmates and supplies, ask each FI to write their initials or first name, at the top of each page of their list. At the end of the day, you will collect the lists from each FI so you can update your Master List of Sampled Inmates.

For SPI-PS, the OS will print off one copy of the entire List of Sampled Inmates for each FI to use for the entire data collection period in the facility. The OS will not assign certain cases and print out special Lists of Sampled Inmates. Nor will the OS reprint new Lists nightly. The expectation is that each FI will receive one copy of the entire sample to be used for the 3 days of work in the prison. This approach will reduce the workload of the OS and will save a few trees!

## 10.2.2 Interviewer Check of Upload of Next List of Sampled Inmates

Just as the OS must transmit to receive the List of Sampled Inmates, each interviewer will be required to transmit to pick up the List of Sampled Inmates for their next assigned facility. Your FS will contact you to let you know when the List is ready. (This will typically be on Monday afternoon, prior to the start of data collection on Tuesday morning.)

In order to know for sure that you have the List of Sampled Inmates on your computer, you will do the following steps.

- Receive notification that the List is ready for “pick up.”
- Log into the CMS and transmit to RTI.
- While still in the CMS: at the top of the screen, double-click on the blue menu bar to minimize the CMS window.
- Then, click on the Sampled Inmate System (SIS) Application icon on the computer desktop.
- The Main Page of the SIS will appear:

### Main SIS Page

The screenshot shows a software window titled "Main Switchboard" with a teal header bar that reads "Survey of Inmates in Prisons". The interface is divided into two main sections. On the left, there is a teal sidebar containing several input fields: "Current Facility" with the text "Test Prison", "Supplemental Sample Info?" with the text "NO", and a table for sample counts. The table has two columns: "Original Sample" with a value of 15, and "Sample Supplement" with a value of 0. Below this table is a "Total Sample" field with a value of 15. On the right side of the window, there are three unchecked checkboxes: "Roster Printing Operations", "Utility Printouts", and "Exit Application".

Original Sample	Sample Supplement
15	0

Total Sample: 15

- Roster Printing Operations
- Utility Printouts
- Exit Application

When the Main Page of SIS appears, you will look at the “Current Facility” listed. If that facility is the one you will work in for the upcoming week, then you know you have received the List of Sampled Inmates for your assigned facility. You have completed this task and can exit.

To get out of this screen:

- Select **Return to Previous Menu** option displayed on the Sample Printing Options. This will navigate back to the Main Switchboard screen.
- Select **Exit Application** to close out this system. Next the computer desktop will appear.
- From the desktop, move the cursor to the bright bar and drag it up until the CMS screen is in view. This will allow the OS to continue doing any necessary tasks within the CMS or to properly exit from the CMS. The only proper way to shut down your computer is to navigate to the CMS Main Screen and select the **Exit** button, allowing the computer to shut down completely.
- Remember, do not close the laptop until the screen is completely black.

If you do not see your next assigned facility listed in the Current Facility field, close out of the program, by clicking on gray box in upper right corner of Main SIS Page. Then, move your cursor to blue bar and drag the CMS screen back into full view. Transmit again and repeat the process.

If you cannot pick up the List of Sampled Inmates, please contact your OS immediately. As long as one team member has successfully transmitted and picked up the List of Sampled Inmates, he can copy this list from one laptop to another. **If you do not have the List of Sampled Inmates for the current facility in the SIS System, you cannot work in the facility.**

### **10.3 Distributing Supplies**

In the week prior to data collection at a facility, RTI will mail the OS all of the supplies needed for the upcoming facility. These supplies include consent forms, contact cards, pencils, expense reports, FI Daily Reports, snacks and trash bags, when the incentive is permitted. Most often, these supplies will be shipped to the OS’s home address and will be the OS’s responsibility to transport to the hotel. Only on rare occasions will supplies be shipped to the hotel for the OS. The OS is never to ship the supplies ahead to the hotel herself.

**A NOTE ABOUT PENCILS:** In previous years, interviewers were able to use ink pens in the facility. However, there was a misunderstanding between the logistics team and the data

collection team and ink pens were not approved for use. For SPI-PS, in order to avoid any confusion, only pencils will be used in facilities. If a facility happens to allow pens, it will be indicated as an allowable item in the logistics plan.

When all members of a team fly into an area, the facility supplies may be FedExed to their destination hotel. Supplies are only shipped once for each facility, so if supplies begin to run low, the OS should report this to her FS. OSs will also receive “bulk” supplies which are to be used as backups if the team is running low on certain forms. **OSs should always bring their bulk supplies with them to a facility, as the team may need to use materials from the bulk supplies.** By having the bulk supplies on hand, it is possible that the problem can be resolved without scrambling for a solution at the last minute. However, if supplies are needed from RTI, please allow 2 business days for supplies to arrive. With only 3 days to complete data collection, the need to bring bulk supplies should be evident! Your FS will need to request the supplies from RTI and they are shipped out for delivery in the afternoon of the next day, unless otherwise requested.

In addition, the OS will replenish the supplies needed in the Data Collection Folder nightly and return the Data Collection Folder to each FI the next morning. The folder will contain the FI’s List of Sampled Inmates as well.

#### **10.4 Pre-Data Collection (DC) Team Meeting**

Prior to beginning work at the facility, the OS will hold a pre data collection meeting to distribute supplies and go over the Logistics Plan for the facility. The meeting can take place the evening before data collection begins (if all FIs have to travel to the site and are staying in a hotel) or the morning data collection begins before entering the facility. At the pre data collection meeting, the OS will distribute supplies and a copy of the List of Sampled Inmates to each FI in a Data Collection Folder. The OS will check each laptop to ensure that everyone has no pending or final codes in their CMS from previous weeks and that each FI has successfully picked up the List of Sampled Inmates for the facility to be worked. This meeting should not last longer than 30 minutes.

Many details will be discussed at this meeting. **So it is extremely important that each FI is present at this meeting.** One detail that will be decided at this meeting will be the time and place the team will gather each morning. The team will gather at the time set by the OS, ready to go to work. Please be on time each morning!

At a minimum the OS will cover these topics at the Pre-DC Team Meeting:

- Review the Logistics Plan, especially times, restricted items, dress code, lunch, etc.
- Distribute Supplies for Day 1, including List of Sampled Inmates
- Check each FI's CMS to make sure all pending cases from previous facility are final coded and transmitted to RTI, ensuring grid is blank.
- Check each FI's CMS to make sure that the laptop is set to work in Real Cases. (Button will say "Switch to Training Cases.")
- Check each FI's laptop to ensure the List of Sampled Inmates for the facility worked for current week is loaded into each laptop. (No one should have a previous week's List loaded or have no List loaded.)
- Check each FI's laptop to ensure that the wireless is turned off. This will be checked by the OS again in the morning before leaving for the facility.
- Determine meeting place and time for the next morning so that the team meets on time and with enough time to arrive at the facility on time!

At the daily morning meeting time, the OS will take a moment to check to make sure that everyone has the supplies they need to work that day. The OS will confirm that everyone has turned off the wireless capability on their laptop. No laptop will enter a facility with the wireless turned on. This violates study protocol and will result in disciplinary action. Why do we do this? We do this because we do not want an FI to ever accidentally transmit data from within a facility.

## **10.5 Coordinating Activities at the Facility**

As part of her responsibilities, the logistics manager has already had extensive contact with the facilities to arrange things like room space, interviewing hours, directions to the facility, etc. The OS and all FIs will receive all of that information in the Facility Logistics Plan prior to the start of data collection. In order to avoid confusing the contact person at the facility, we require that all communication with the facility **prior** to the beginning of data collection is handled through the logistics manager. If the OS or other team members have questions about the facility prior to arrival at the facility, please contact the FS. The OS will never contact the facility directly prior to the start of data collection.

Only after data collection begins AND the facility requests it, should the OS provide his cell phone # or other phone contact information. The facility may request the cell phone # as a way to contact the OS in case of emergency. Similarly, the OS should contact the facility



only after data collection has begun and there is an emergency—such as a weather delay or disabled vehicle, etc.

The OS is responsible for working with the facility to make sure that proper project protocols can be followed. Often, the rooms are set up well for privacy and interviewing can start right away. However, sometimes teams have found that an interviewing set up does not meet the project's minimum privacy requirements. In those cases, the OS needs to negotiate with the facility to ensure proper privacy. It is helpful to explain what the ideal interviewing situation is (private enough so that others can't understand the conversations, but it is OK to see the computer screen) and see if there are any accommodations that can be made. Similarly, facilities may be slow in calling inmates, resulting in a lot of delays for the team. Other times, the facility may call too many inmates at the same time. This results in lengthy waits for the inmates and often results in mass refusals. The OS may need to brainstorm with the facility to see if the flow of inmates can be adjusted. The OS might say something like "how can we work together to get this done as efficiently as possible?" It's important to pick battles – it's more important to have a private interview setting than to argue about something like food restrictions. Remember that if the team is willing to bend on some things, the facility may be willing to bend on others – the things that are most important to the study.

The OS is responsible for making sure that all FIs have assignments in the facility and making sure that each inmate on the list has been called.

In centralized facilities, the OS will be the person providing the names to the COs and asking them to call each inmate. Also in centralized facilities, the OS will make sure that as an interviewer finishes one interview, the next inmate is directed to that interviewer. The OS will also determine the disposition of any inmate who does not come to the interviewing area to be interviewed (e.g., transfers, releases, etc.) and will enter the event codes for these cases into his laptop. In most centralized facilities, the OS will not interview. Instead, the OS will direct the flow of inmates to the next available interviewer and account for every inmate on the List of Sampled Inmates. In rare instances, if time and circumstances allow, the OS may be able to conduct some interviews, but not to the detriment of maintaining the flow of inmates to the next interviewer or tracking the disposition of all inmates on the List of Sampled Inmates.

Experience has shown that at some facilities, they want the OS to interview. The facility may have worked very diligently or re-arranged a class schedule to find the additional interviewing room for the OS. When a facility is somehow offended that the OS is not interviewing, then it is acceptable for the OS to interview inmates. If this occurs, the OS must ensure that the facility is calling inmates in the order that the inmates are listed.

The OS must also report to his FS that evening that he interviewed and could not control inmate flow. The FS will, in turn, report this to RTI. However, if a facility does not have a

preference if the OS interviews, then normally the OS should not interview. Instead, he should control the flow of inmates to interviewers.

In decentralized facilities each FI will work separately from the rest of the team. FIs in decentralized settings provide to the facility the names of the respondents to call in a reasonable flow (not too many, not too few). The OS will work his own area (such as a housing unit) during the day. But the OS is still the one responsible for making sure that the team has attempted to call each inmate on the List of Sampled Inmates.

Even in decentralized settings, the OS is responsible for working with the facility to make sure the rooms are appropriate and do any sort of troubleshooting that is necessary. If the OS has any problems that she cannot resolve himself, he must contact the FS.

## **10.6 Required Nightly Team Meeting**

At the end of each day of work, the **ENTIRE** team will meet for a brief daily meeting. This meeting should not last more than 15 minutes and should take place shortly after arriving back at the hotel. At this meeting, the FIs will return to the OS their Data Collection Folders, with all cases properly documented on the List of Sampled Inmates and the FI Daily Report, and include all signed consent forms. If any issues need to be discussed about problems related to data collection, distressed respondents, or any incidents, these should be discussed at this meeting.

Please hold this meeting in a private area of the hotel, not in a common area. After the meeting, the OS will work through the FI Daily Reports and the List of Sampled Inmates to make sure that the day's cases are properly documented. The OS will then compile the numbers of cases coded, any errors, and any incidents or distressed respondents and submit the information to the FS NIGHTLY.

## **10.7 The Master List of Sampled Inmates**

One of the main responsibilities of the OS is to maintain the Master List of Sampled Inmates. Depending on the facility type (centralized vs. decentralized), the way the OS tracks the disposition of every sampled inmate at the facility is handled differently.

In centralized facilities the OS is responsible for getting the inmates to the interviewing area. As the OS works his way through the list of sampled inmates, calling inmates in the order in which they appear, the OS will track inmates that have not been brought to the interviewing area (e.g., those in court or released). The OS will write down the code, any notes, his initials, and the date next to each case, as he inquires about them, on the Master List.

At the end of each day, the OS will document these cases that were not seen by an available interviewer in his CMS, on his Master List of Sampled Inmates, and on an FI Daily Report. This process is a requirement for the SPI-Pilot Study so that RTI and the FS can track the progress of the team through the caseload.

For any inmates who were never seen by an interviewer (final refusals, final release/transfer, final not available, etc.), the OS will need to assign a final code, ensuring to obtain FS approval, when appropriate. For any inmates who were worked by another FI on the team, the OS will still assign a final code to the case generated on his computer. The other FI will also go through the process of assigning final code to that case on their computer. There will be no code assigned to designate that one case was “transferred” to another FI, as was done on the NIS. Instead, both cases will be reviewed by RTI and RTI will determine which case is the real “final” case.

For inmates who are brought to the interviewing area, the OS will direct them to the next available interviewer. When the OS directs an inmate to an interviewer, he will note the interviewer’s initials and date on the Master List, but not generate a case on his laptop.

By writing down the FI initials, this will allow him to keep track of the interviewer who met the inmate. This will speed up the reconciliation process done each evening by the OS.

In decentralized facilities each FI will be responsible for getting inmates to the interviewing room within their assigned housing unit. Each interviewer will record a code, any notes, their initials, and the date next to each case as they are worked. At the end of each day each FI will turn in their FI Daily Report and List of Sampled Inmates to the OS (just as she would do in a centralized facility). The OS will use the FIs’ List of Sampled Inmates and FI Daily Reports to transfer the FI’s initials, date worked, and assigned codes for each case worked, to the Master List of Sampled Inmates. Again, if the OS should have any discrepancies, the FI’s List of Sampled Inmates may be of assistance in determining the problem. The OS will also note if the FIs have listed any inmates that have transferred to other housing units. If so, he will make note of this and report it to the FI assigned to the respondent’s “new” housing unit so that he/she will be called by the FI working in that housing unit.

At the end of each day, each FI will turn in their FI Daily Report and their own copy of the List of Sampled Inmates. The OS will use the FI’s copy of the List of Sampled Inmates to determine the disposition of each inmate who met with an interviewer. He will copy the codes listed on each FI’s List of Sampled Inmates to the Mast List of Sampled Inmates. As he does this, he will also check to ensure that each FI’s Daily Report matches the codes assigned on the FI’s List. The OS will also confirm that the computer-generated Case ID is documented on each FI’s List and copy that ID onto the Master List. If he finds any discrepancies, he will need to refer to that FI’s List of Sampled Inmates to help resolve any problems.

## 10.8 OS Daily Report

In addition to updating the Mast List of Sampled Inmates, the OS will tally each FI's Daily Report and compile that information in a report that is emailed to the FS and DCTL nightly. For the SPI-PS, the OS will count up the number of cases coded, by code, by FI and report these numbers in an email template. The OS will not use the "OS app" from NIS. Because data collection is much shorter on SPI-PS, the numbers must be reported each night and cannot wait a day to correct any errors. A template is given in **Exhibit 10-2**.

To complete the template, assemble all of the FI Daily Reports for each day data collection takes place. For each FI Daily Report, the OS will count up the number of cases coded, by code and record that information at the bottom of the FI Daily Report, just as was done in previous years on NIS. If there is a prior day's code for a case on the master list, the OS must be sure to indicate on the FI Daily Report what that previous code was, if the interviewer has not already done so. Once you have marked all of the previous codes on the FI Daily Report, you will enter totals for each code listed in the Last Code of the Day column and the Previous Code column at the bottom of the FI Daily Report in the OS USE ONLY box. Previous code totals are entered as negative numbers in the OS USE ONLY box. This is the same process followed previously on NIS. In the example shown in **Exhibit 10-1**, Ellen Conklin worked on 6 cases that day. Since this was the first day of data collection, there are no previous codes to record.

The OS will repeat this for each FI's FI Daily Report for that day. Once the OS has filled in the OS USE ONLY box on each FI's FI Daily Reports, the OS will copy over the codes and the number of cases with that code (including negative numbers). The OS will answer the other questions in the OS Report Template to be emailed to the FS, **that evening.** (**Exhibit 10-2**) The OS will then make a quick call to the FS each evening the team worked in a facility, to provide the number of codes by FI, any errors, Distressed Respondents, and any incidents. The evening call should not last longer than 15 minutes, unless necessary! The OS should quickly update the FS on all things that happened that day, but not drag out the conversation. It is important that the OS takes time to rest each evening!

On this call, the OS should discuss any cases ready to be assigned a final code. Using Ellen Conklin's caseload as an example (**Exhibit 10-1**), the OS would know that the 2 cases coded 1010 should not be finalized, since it is not the last day of data collection. However, the OS should discuss the 1120 with the FS. If the FS approves the case to be coded a final code, the OS will note this on the Master List of Sampled Inmates and on the FI's List of Sampled Inmates. The next morning, each FI is responsible for reviewing their List of Sampled Inmates, identifying the cases that are approved for a final code, and entering the code in the CMS and documenting that it was finalized on the List of Sampled Inmates. In addition, the FI will document the final code on the FI Daily Report for the day the final code was entered, ensuring that he/she enters the previous code.

**Exhibit 10-1. Example FI Daily Report**

**FI Daily Report**

FI Name: Ellen Conklin Date: July 1, 2013  
 Facility ID: PTX999 Housing Unit (if decentralized): 401

Cases Coded Today						
Case ID	Inmate ID	Inmate Initials	Last Code of the Day	Page & Line on List	Coded in CMS (Y/N)	Previous Code SEE NOTE*
S0010000	39870076	NYR	1010	1/1	✓	
S0010001	39870019	DJR	2000	1/2	✓	
S0010002	39870050	EJ	2000	1/4	✓	
S0010003	39870068	JRN	2510	1/5	✓	
S0010004	39870027	JGM	1010	1/3	✓	
S0010005	39870035	DJC	1120	1/10	✓	
S						
S						
S						
S						

**\*NOTE: To find the correct code to enter in the "Previous Code:"**  
 1. Put your FI Daily Reports in chronological (date) order, with the most recent report on top.  
 2. Review each Report, starting with the report from yesterday and working back in time.  
 3. If you find the case ID on a previous report, copy the code you see on that previous day's report to this form.

Inmate Transfers to Other Housing Units (Y/N)? Y If Yes, list on back.  
 Interviewer Errors (Y/N)? N If Yes, list on back.  
 Distressed Respondents (Y/N)? N Incidents (Y/N)? N Other (Y/N)? N

**OS USE ONLY**

Code	1010	1120	2000	2510					
Total	2	1	2	1					

**Exhibit 10-2 OS Daily Report- Email Template**

OS Report Template: Team Daily Production Summary

INSTRUCTIONS: OS—TAKE EACH FI'S FI DAILY REPORT, WITH THE TALLIES RECORDED AT THE BOTTOM OF EACH FORM AND COPY THE CODES AND THE NUMBERS YOU RECORDED BELOW.

FACILITY ID: \_\_\_\_\_

TODAY DATE: \_\_\_\_\_

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

FI NAME: [INSERT NAME]

Code								
Total								

**Exhibit 10-2 OS Daily Report- Email Template, continued**

FI NAME: [INSERT NAME]

Code								
Total								

OS: REPORT ANY CODING ERRORS (AS TOLD TO YOU BY FI, THAT YOU FOUND IN YOUR NIGHTLY REVIEW, OR AS THE FI REPORTED ON THE FI DAILY REPORT:

OS: WERE THERE ANY INCIDENTS TO REPORT TO YOUR FS:  
YES NO  
(IF YES, PLEASE TELL YOUR FS ABOUT IT IN YOUR CALL.)

WERE THERE ANY DISTRESSED RESPONDENTS:  
YES NO  
(IF YES, PLEASE TELL YOUR FS ABOUT IT IN YOUR CALL.)

**Each evening the OS will complete the following tasks:**

- **Update the Master List of Sampled Inmates with assigned by all FIs that day.**
- **Review FI Daily Reports to ensure that what FI wrote on the List of Sampled Inmates, matches the FI Daily Reports.**
- **Tally each FI Daily Report to count the cases coded, including cases that were previously coded, by counting them as negative numbers.**
- **Complete the OS Report Template and email to FS and DCTL.**
- **Call FS with update.**
- **Remove consent forms from data collection folders**
- **Replenish each data collection folder with new blank consents, contact cards, and an FI Daily Report.**

**The next morning, the OS will return the FI's copy of the List of Sampled Inmates in the same folder and distribute any cookies and trash bags needed.**

To help the OS maintain his energy, you can offer to help by asking what you can do to help...maybe you can read off codes to the OS or maybe you can assemble the materials for the next day.

## **10.9 At the End of Data Collection at a Facility**

**Make sure each inmate has a FINAL code assigned:** On the last day of work at a facility, the OS will make sure that all inmates have received a final code in the CMS. This means the OS will need to make sure that the interviewers have entered final codes for all of the inmates to whom they were assigned on each FI's CMS. The OS must code out any inmate who was never seen (e.g., never available, transferred out of the facility, etc.). In an ideal situation, each FI would transmit from the hotel on the last day before departing so that the OS could confirm that all cases were final coded and successfully transmitted to RTI. If that is not possible, the OS should confirm that all cases on each FI's CMS grid have a final code. Then the FI will transmit the day they arrive at home so that the CMS grid is clean and ready for the next assigned facility.

**Complete a Facility Debriefing Form** (see *Exhibit 10-3*): This provides excellent feedback to management about how data collection went at the facility.



The OS should note on the facility debriefing form any reason for a high number of refusals (i.e., a large group of inmates waiting a long period of time, refusals coming from one housing unit in particular, or any other noticeable pattern of the refusals).

The logistics team would appreciate the OS placing the debriefing form in a clearly marked manila envelope. Therefore, place the completed Facility Debriefing Form in one of the unused manila envelopes and write "Facility Debriefing Form" and the Facility ID on the outside of the envelope, if it is not written on the envelope already. When the OS ships back the extra/unused supplies, she will place the Facility Debriefing Form envelope on the top of the materials so that it is the first thing seen when the box is opened at RTI. This form is needed when the LM speaks with the facility after data collection has been completed.

**Return Shipment of Supplies:** should be dealt with as follows:

**Keep for Future Facilities:**

Unused consent forms  
Uneaten cookies  
Pencils  
RTI contact cards  
Unused Expense Report  
Unused FI Daily Reports

**Return to RTI:**

Completed Facility Debriefing Form  
All Lists of Sampled Inmates  
Completed FI  
FI Daily Reports  
Completed Consent Forms  
Extension Cords and Power Strips

The Fulfillment Department at RTI respectfully requests that the returned forms be **sorted by type**. The OS should send the Facility Debriefing Form in the FedEx package with these supplies. (The Facility Debriefing Form should be placed in a manila envelope and clearly marked for easy retrieval). Please send all forms listed above under "Return to RTI" to Cheryl Uhrig. The OS will receive pre-printed airbills with Cheryl's information printed on them. **Please ship these materials within 24 hours of the end of data collection at the facility. Also, please email your FS to tell her the tracking # of the package(s) that were shipped to RTI.**

**On the last day, collect the expense reports and hotel receipts:** The OS will collect expense reports and receipts for all of the team members (if anyone is on travel status) and FedEx them to the FS. This means that the night before, your expense report should be complete and will require only the last day of the hotel and the travel day home per diem amount. There is no good reason why the FIs cannot submit their expense report before they begin their travel home.

Another tool that has been developed to assist the OS with his duties is the On-Site Supervisor Checklist (see **Exhibit 10-4**). The use of this tool will help to complete all of the OS tasks and responsibilities with greater success.

**Exhibit 10-3. Facility Debriefing Form**

Facility: \_\_\_\_\_

Date of Data Collection: \_\_\_\_\_

On-site Supervisor: \_\_\_\_\_

1. Overall, how do you think data collection went at the facility?
  - a. Good
  - b. Fair
  - c. Poor
2. How cooperative was the facility coordinator?
  - a. Very cooperative
  - b. Somewhat cooperative
  - c. Neither cooperative nor uncooperative
  - d. Somewhat uncooperative
  - e. Very uncooperative
  - f. Coordinator absent altogether
3. Overall, how cooperative were the facility staff?
  - a. Very cooperative
  - b. Somewhat cooperative
  - c. Neither cooperative nor uncooperative
  - d. Somewhat uncooperative
  - e. Very uncooperative
4. Are you aware of any problems that the FIs experienced? If so, explain.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Did any inmates become distressed during data collection?  
No  
Yes—what steps were taken?
6. Did anything happen during data collection that you believe would have adversely affected data quality?  
No  
Yes—elaborate:
7. In this facility were all inmates brought to a central location from which the OS routed them to an available interviewer or did each interviewer maintain her own list of inmates to call?  
Central location with OS controlling the flow to interviewers  
Interviewers maintained their own lists
8. Were there any substantial deviations from the logistics plan?  
\_\_\_\_\_  
\_\_\_\_\_
9. Anything else we should know about data collection at this facility?  
\_\_\_\_\_  
\_\_\_\_\_

## **10.10 End of Data Collection and Interactions with Facility Staff**

As data collection ends at a facility, some staff members may want to know how the facility did. They may ask to speak to the team or to the OS. OSs and FIs should not report information about refusal rates to facility staff. If asked, the FIs should say that we code cases in many ways and the codes are carried on various computers, so it is impossible to pull that type of information together in the field. Just let them know that we appreciate everything they and their staff have done to help us complete our data collection while in their facility.

Occasionally, data collection progress is faster than anticipated and we may be able to leave the facility earlier than we had planned. This information should not be reported to the facility as they then may start to make plans assuming that we will be gone sooner than anticipated. Data collection may have proceeded very well, but we cannot predict the remaining days. For example, if a lock down occurs we may lose several hours or an entire day of data collection. Facilities can sometimes become upset if we tell them we will be done early and then are unable to do so. If they ask how data collection is going and we are ahead of schedule, it is best to say that “we are on schedule” rather than to report that we will finish early. Daily progress rate and expected completion date will be discussed by your FS and RS every day. If progress is slower than expected, your FS, RS, and LM will be in close communication and will decide the best course of action to make sure that we finish data collection on time (e.g., asking the facility for more hours a day or more days).

Finally, on the last day when the OS is certain that data collection is complete, the OS must inform the facility contact when work at the facility has been completed, letting the facility know that the team will not return. The OS should thank the facility for its hospitality and cooperation. FIs and OSs should have no contact with a facility after they have completed interviewing the sample assigned to them.

## **Exhibit 10-4. On-Site Supervisor Checklist**

Upon receipt of supply box

- Inspect contents and ensure that you have the right forms, materials, and incentives in adequate quantity for the next week's assignment
- Report to your FS that the box was received and let your FS know if you are in need of any supplies
- Begin to divide supplies among the # FIs working at the next facility, by day
- Day before data collection (or day when notified List of Sampled Inmates is ready)
- Transmit to pick up sample for facility
- Print out Lists of Sampled Inmates for facility, allowing one copy for yourself, each FI, and one back up copy for the facility.
- Assemble Data Collection Folders

Day before data collection

- Remember to take flash drive, bulk supplies and printer with you when you travel.
- If unfamiliar with the area, drive to the facility to ensure directions are correct.
- Meet with team.
- Distribute Data Collection Folders (lists of sampled inmates and supplies).
- Ensure that each team member has successfully transmit the previous facility's final codes from the previous week.
- Ensure that each team member has successfully transmitted and picked up the List of Sampled Inmates for assigned facility.
- Ensure that each FI has disabled the wireless capability. Do this each morning before leaving hotel to enter the facility.

First Day at Facility

- Meet facility contact person
- Determine best way to call inmates
- Ask about continuing to interview during counts
- Ask about how to return inmates after interview (pass necessary?)
- Check rooms to determine if privacy requirements can be met (discuss with facility if not; contact FS if privacy issues cannot be resolved)

End of Every Day

- Collect Data Collection Folders from FIs (Lists of Sampled Inmates, FI Daily Reports, signed consent forms) at brief meeting
- Collect D.R/I reports, if there were any
- Reconcile the Master List of Sampled Inmates
- Complete and e-mail Daily Report to your FS
- See if FIs need any additional supplies
- Transmit
- Call FS to update her and determine any final cases that can be coded.

Last Day at Facility

- Make sure every inmate has been called
- Code out (or make sure FIs have coded out) inmates who have not been available, left the facility, etc. Every inmate should be coded BEFORE you leave the facility.
- Collect Data Collection Folders (lists, leftover supplies) and expense reports from FIs
- Reconcile the Master List of Sampled Inmates

- Complete final OS Daily Report
- Complete Facility Debriefing form
- FedEx lists of sampled inmates, consent forms, Facility Debriefing Form, and unused supplies to RTI and report all tracking #s of shipped packages to FS
- FedEx expense reports to FS

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## 11. DATA SECURITY AND CONFIDENTIALITY

Data collected on this project are confidential. It is your responsibility as a professional FI on this study to maintain the integrity and confidentiality of the data entrusted to you. This chapter outlines the procedures and protocols for all FIs to ensure confidentiality and data security on the SPI-PS.

At training, you will be asked to sign a Headway Corporate Resources Data Collection Agreement which certifies that you will carry out all project procedures precisely. By signing this, you enter into a contractual agreement that requires you to keep confidential all data you collect. Your signatures on the agreement will affirm your understanding of SPI-PS project policies and your agreement to comply with all of them. This chapter reinforces all the points discussed in the agreement, and discusses detailed protocols to help ensure that all papers, forms, data, materials, and equipment in your possession are secure and confidential at all times.

### 11.1 Security of Physical Materials

Detailed protocols have been developed that reduce the risk of potentially compromising the confidentiality of study participants and the security of the data. The succeeding sections describe these protocols. You must understand and follow the procedures outlined below. Doing so ensures that the confidentiality of project materials and data are maintained at all times.

### 11.2 Safeguarding Materials in the Field

The SPI-PS collects data from inmates through a relationship of trust. You have the legal and ethical obligation at all times to safeguard participant confidentiality and secure materials and equipment from unauthorized access or use. There are several different forms of confidential data used or acquired for the SPI-PS:

- information found on hardcopy lists of sampled inmates and
- computer equipment (e.g., data residing on the hard drive).

Of these, the most sensitive form of data is the lists of sampled inmates. This is because the lists contain identifying information that could easily be read by anyone.

Store all confidential project materials when not in use in the laptop bag or overnight in a locked cabinet, if available, even at home. Do not store laptops or lists of sampled inmates or other study materials or equipment in your car overnight, **even in a locked trunk**. In addition to the increased risk of theft, keeping the computer in a car often exposes it to extreme temperatures, which can harm the laptop.

You are responsible for ensuring the security of the lists of sampled inmates. At the end of each day you work, make sure you have the list of sampled inmates with you or have given

it to the OS. Lists of Sampled Inmates should never be left at a facility when you are not there. Moreover, these lists should not be left anywhere. The OS should always hand the printed list directly to the interviewer and the interviewer should always hand the printed list directly to the OS. (It can be inside the data collection folder.) These lists should be passed out or returned to the OS in a private area, such as a car or hotel room and NOT in a hotel lobby or restaurant, whenever possible.

Most important: remember that you are not allowed to store the lists of sampled inmates in the same bag as the laptop when you are in the facility. We require this because if someone were able to see the roster and access the computer, he/she could see information about our survey participants and the facilities. If this occurs, this is a breach of confidentiality that can cause the project to stop work.

### **11.3 Safeguarding Materials in the Interviewer's Home**

Follow these simple steps to protect the materials in your possession.

- Store materials out of sight of family members and visitors, preferably in a locked cabinet or room. Never store items in your vehicle.
- Laptops and other study materials must never be used by anyone but you.
- Passwords are never written down, affixed to the laptop, written on your manual, or made available to anyone else.

### **11.4 Safeguarding Materials When Traveling**

When traveling by car *during the day*, store all study materials in your locked trunk, out of sight. When traveling by air, never check your computer as luggage. You must take it with you as carry-on luggage to reduce the chances of damage or loss.

Never allow anyone to check your computer unless he/she has presented official airport security identification. Beware of imposters who might try to trick careless travelers into allowing them access to or control of their laptops or other equipment. Also, beware of two-person or larger teams working to get between you and your computer as you pass through security checkpoints.

After you go through airport security with your laptop, please remember to retrieve it from its bin. No laptops should ever be left behind at airport security. One way to avoid this is to always try to leave enough time to go through security. When people rush or are running late, they can forget things.

In hotel rooms, store your laptop in the laptop carrying case and place it out of sight in your hotel room. Also, if you have a copy of a List of Sampled Inmates, please store it securely, but separately, from the laptop. Materials should never be left out where hotel staff can see them. If in doubt, discuss security procedures with your FS.



## **11.5 Shipping Materials**

Another way we protect against data loss is by checking the timeliness of case materials received by RTI from the field. We have put deadlines in place so that project management knows when to expect materials to arrive at RTI. When something is not received, the overdue item(s) will appear on a report and your RS and FS will begin the process of tracking down those items. Being able to quickly identify overdue items and account for these items improves the likelihood of recovery and enables us to notify affected persons as soon as possible.

### **11.5.1 Protocol for Shipping Lists of Sampled Inmates and Materials to RTI**

The OS is required to ship all lists of sampled inmates, FI-signed consent forms, the FI Daily Reports, and the Facility Debriefing Form to RTI within 24 hours of completing work at a facility.

Shipping must be done via FedEx overnight delivery. Your FS will search on FedEx.com for the closest FedEx location that meets project requirements and will let you know where it is located and provide directions. **Exhibit 11-1** shows a properly completed FedEx airbill for shipment of materials to RTI.

Before you send off the packages, please send an email to your FS reporting the following information:

- FedEx tracking # (the 16-digit number at the top of the airbill)
- Shipping date
- Contents of package. Send ALL lists of sampled inmates and FI Daily Report Forms, signed consent forms, the Facility Debriefing Form, and any unused supplies that need to be returned to:

Cheryl Uhrig  
RTI International (Haynes Building, 323M)  
3040 Cornwallis Rd  
Durham, NC 27703

The OS will receive copies of airbills preprinted with Cheryl Uhrig's information.

Note that if the OS is unable to ship materials within the deadlines outlined above, he/she must report this to the FS.

Exhibit 11-1. Completed Airbill (to RTI)

MUR1

FedEx Copy

Packages up to 150 lbs.  
For packages over 150 lbs., use the  
FedEx Express Freight US Adult.

10028 10028

fedex.com 1.800.GoFedEx 1.800.463.3339

1 From  
Date  
Sender's Name  
Company  
Address  
City  
State  
ZIP

Sender's FedEx Account Number  
0215  
Form ID No.  
0215

8033 8556 5341

2 Your Internal Billing Reference  
021222 001 005/CLMP

3 To  
Recipient's Name  
Company  
Address  
City  
State  
ZIP

CHERYL UHRIG  
RESEARCH TRIANGLE INST GCP  
3040 CORNWALLIS RD  
RTP NC 27709-0155

4 Express Package Service \* To most locations.  
May be service only (see stamp). Please select carefully.

49  FedEx 2Day AM  
Second business morning.  
Saturday Delivery NOT available.

03  FedEx 2Day  
Second business afternoon.  
Thursday shipments  
delivered on Monday unless SATURDAY  
Delivery is selected.

20  FedEx Express Saver  
Third business morning.  
Saturday Delivery NOT available.

Next Business Day

06  FedEx First Overnight  
First business morning delivery to select  
locations. Friday shipments will be delivered on  
Monday unless SATURDAY Delivery is selected.

01  FedEx Priority Overnight  
Next business morning. \* Friday shipments will be  
delivered on Monday unless SATURDAY Delivery  
is selected.

05  FedEx Standard Overnight  
Next business afternoon.  
Saturday Delivery NOT available.

5 Packaging \* Declared value limit \$50K.

06  FedEx Envelope\* 02  FedEx Pak\* 03  FedEx Box 04  FedEx Tube 01  Other

6 Special Handling and Delivery Signature Options

03  SATURDAY DELIVERY

10  No Signature Required  
No signature is required for delivery.  
Changing a signature for delivery.

34  Indirect Signature  
If no one is available at recipient's  
address, the package will be delivered to a  
residential delivery address. For  
residential deliveries only. Fee applies.

Does this shipment contain dangerous goods?  
One line must be checked.

04  No  
As per attached Shipper Declaration.  
Shipper's Declaration.

06  Dry Ice  
Dry Ice, up to 100 lbs.

05  Yes  
As per attached Shipper's Declaration.  
Shipper's Declaration.

Dangerous goods (including dry ice) cannot be shipped in FedEx packaging  
or placed in a FedEx Express Drop Box.

7 Payment Bill to

1  Sender  
FedEx Account No. \_\_\_\_\_  
Drop Card No. \_\_\_\_\_

2  Recipient  
Enter FedEx Acct. No. or Credit Card No. below.

3  Third Party  
FedEx Acct. No. \_\_\_\_\_  
Drop Card No. \_\_\_\_\_

4  Credit Card  
5  Cash/Check  
Exp. Date \_\_\_\_\_

Obtain receipt  
Acct. No. \_\_\_\_\_  
Date \_\_\_\_\_

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ Total Declared Value\* \_\_\_\_\_  
in lbs. \$ \_\_\_\_\_

Your liability is limited to US\$100 unless you declare a higher value. See the current FedEx Service Guide for details.

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0108006926

8033 8556 5341

Every effort should be made to ship materials within 24 hours after completion of a facility. However, an acceptable FedEx drop off location may not always be within a reasonable driving distance from the facility or the hotel. The FS and OS should communicate when FedEx is not reasonably close and determine when the OS will be able to ship by FedEx. This decision must be communicated to the RS.

## **11.6 Receipting, Eventing, and Storing of Incoming Case Materials**

Confidential case materials are stored in a controlled-access environment at RTI's Main Campus. Only authorized staff have access to study materials.

Incoming packages are opened each business day and contents of the package receive an event code upon initial receipt (i.e., a "hit the door" event). Anything not received within acceptable parameters will appear on the Overdue Materials Report, which will cause your FS and the Data Collection Task Leader to begin searching for the lost items. Problem items are reviewed and resolved by the Data Collection Task Leader for SPI-PS.

## **11.7 Security of Electronic Data**

You are responsible for securing all electronic equipment used in your work for this study. The loss of equipment and the data that reside on it are extremely serious concerns. We have several methods of helping you protect these data and equipment.

### **11.7.1 Safeguarding Laptops/Electronic Data**

Your laptop computer should have a label affixed to it that indicates that the laptop is RTI property and if found, a toll-free number to contact is provided. If you do not have this label, please contact your FS immediately so that a label can be sent to you.

Store the laptop in the laptop bag provided by RTI. Laptops can only be used by authorized SPI-PS field staff and only for intended purposes.

The computer has a series of usernames and passwords to be entered. These usernames and passwords must be committed to memory and cannot be written down ANYWHERE.

### **11.7.2 Safeguarding Laptops/Electronic Data in Facilities**

When you are in a facility, the respondent, other inmates, and correctional staff are not allowed to view the case management display on the laptop. The case management display contains confidential information about other study participants. If you need to leave your computer, it should be left with the OS or in a locked room that most facility staff do not have access to. Your list of sampled inmates should never be left with your computer.

### **11.7.3 Safeguarding Laptops/Electronic Data When Traveling**

Procedures for securing laptops when traveling are similar to those of other confidential materials. If traveling by car, during the day, store the laptop bag out of sight in the trunk

of a locked car when unattended. Never leave the laptop overnight in your car, even in a locked trunk. By safeguarding the laptop, you are also safeguarding electronic data.

During air travel, your laptop must be treated as carry-on luggage. It can only be opened for and examined by airport security personnel from the Transportation Security Administration (TSA). In hotels, laptops should be stored out of sight, when unattended. Discuss hotel security provisions with your FS as needed.

### **11.8 Password Protections**

All SPI-PS laptops and case management and data collection applications are password protected. Laptops are secured with three passwords: one for the encryption system, one for Windows, and one for the CMS. No one outside of project staff may know the passwords. Only authorized FSs and FIs can use the laptops. You must protect the passwords. **Do not** carry a written copy of the passwords in the laptop bag, place the password on the laptop with stickers, give the passwords to others, or leave the passwords where others can find them.

### **11.9 Protocol for Data Transmissions**

You are required to transmit every day you work. All interview data must be transmitted on the same day the interview is completed. In some instances, your FS may require you to transmit more than once in one day. It is important that you follow these instructions from your FS.

If you are ever not able to transmit from the hotel or your home, during a week you are working in a facility, please report this to your OS. He/She may be able to assist you or he/she may have to report the problem to the FS, who will then work with RTI to resolve the issue. Nightly data transmissions are vital to the monitoring and completion of data collection at a facility.

RTI has standard electronic transmission reports that indicate when each FI last transmitted. These reports will help identify FIs who fail to transmit interview data on the same day the interview is completed. These reports can also be used to identify FIs who may be having transmission problems.

For additional security, completed interviews will be removed from laptops once receipt is verified in-house and work is completed at the facility.

### **11.10 Protocol for Reporting Unanticipated Problems Involving Data Security and Confidentiality**

An unanticipated problem is defined as any activity that potentially compromises the confidentiality of the study participants and the security of the data. It may constitute problems such as the loss or theft of any confidential information, including facility Logistics

Plan and any copies of the List of Sampled Inmates that involve risks to study participants. Loss/theft of the laptop containing interviews is also considered an unanticipated problem.

Similarly, the electronic transmission of any confidential information through any means other than your RTI account is also considered an unanticipated problem. There may be other situations that may constitute an unanticipated problem. If you are unsure about whether or not a situation needs to be reported as an unanticipated problem, ask your OS, FS, or the Data Collection Task Leader (DCTL) at RTI.

If you feel that adequate privacy or security cannot be achieved in an interviewing room or area in the facility, you should take the following steps:

1. Inform the OS.
2. The OS will speak to the CO to see if the situation can be rectified (e.g., if security is an issue because there are a large number of inmates waiting, the OS should ask if fewer inmates can be brought at a time).
3. If accommodations cannot be made, the OS should contact the FS (or if the FS is not available, contact the DCTL).
4. If RTI cannot work out satisfactory arrangements or make suggestions that improve the situation, you are not required to continue interviewing in that room or area if you feel that privacy and safety is being compromised.

Remember that reporting an unanticipated problem does not mean the FI or the FS will be terminated. It is just an important part of the job. Following study protocols and reporting the unanticipated problem report in a timely manner is one of the many considerations made by management before any disciplinary measures are taken in any particular case.

### **11.11 Protocol for Reporting Loss/Theft of Laptop or Physical Materials (Lists of Sampled Inmates or Logistics Plans)**

Communication protocols for reporting the loss/theft of physical case materials and equipment have been developed. If you lose any of the case materials that contain confidential information, including your laptop, notify your FS as soon as you realize something is missing. She will then alert the others in the project chain of command. Be prepared to provide as much information about the loss/theft to your FS. She will need (1) a detailed description of the incident, (2) a comprehensive list of missing equipment, materials, and data for each affected case, and (3) identifying information, if any, that was in the materials (e.g., participant names). If the laptop is missing, your FS will need to know whether or not the laptop login or password information was included in any of the missing materials.

Your FS will notify Headway and your RS of the incident and ask you to obtain a copy of the police report, if applicable. A copy of the police report will be forwarded to RTI project staff.

### **11.12 Monitoring Field Staff Compliance with Data Collection Protocols**

Field staff compliance with all the data collection protocols will be monitored closely and on a daily basis by SPI-PS project staff. To minimize follow-up efforts with field staff on any possible noncompliance of protocol, *be proactive about reporting any justifiable circumstances or situations that prohibit you from performing tasks according to protocol.* There should be *constant communication* between FI/OS and their FS and FS with their RTI supervisor.

### **11.13 Overdue Materials**

Reports on overdue materials are generated for Lists of Sampled Inmates, and the Facility Debriefing Form. Reports are reviewed by your FS and project staff. You will be alerted about any item listed as delinquent or overdue. Your FS will obtain any additional information about the case/item from you. If the missing materials were shipped, FSs should have the OS's email message with the FedEx ship date and tracking number of each delinquent item to begin tracking the missing package(s). The FS then initiates tracking with FedEx. As mentioned earlier, be proactive in reporting any items that may not be shipped to RTI for some justifiable reason. Doing so will minimize the burden of follow-up and tracking activities.

### **11.14 Retrieval of Materials/Equipment When Field Staff Leave the Project**

All study materials are the property of the U.S. Federal Government. When you leave the project, your FS is responsible for ensuring that all study materials and equipment are promptly returned to RTI. Your FS identifies all the materials and equipment that are in your possession. You will receive a letter from Headway Corporate Resources providing detailed instructions for the return of all materials and equipment. Your FS will closely monitor the return of all materials and equipment. Appropriate follow-up action will be initiated when items are not returned within a specified period of time. An additional disciplinary action letter from Headway may be sent to you as a follow-up measure. If necessary, legal proceedings will be initiated to procure government materials and, especially, any confidential information.

### **11.15 Accountability Standards and Remedial Actions**

We recognize that there are situations where transmission and shipping protocols will be difficult to comply with. For example, you may have evening interviews or you may have transmission problems. If for any reason you are not able to transmit on time, *you must inform your FS so that he/she can determine if the delay is excused.* Regardless of what the situation may be, *all field staff should be conscientious in their efforts to comply with the protocols.* Criteria have been developed for evaluating accountability and for ensuring that disciplinary action is applied consistently on the SPI-PS.

## **12. ADMINISTRATIVE PROCEDURES**

Just as it is important for you to precisely follow instructions and procedures for conducting data collection; it is equally important for you to adhere to administrative guidelines. Following procedures correctly saves money and time and means we do not have to repeat completed tasks. Properly completing administrative forms means that reports will be more accurate. In this chapter, we will discuss various administrative tasks critical to the success of the study. Please be prompt and complete all administrative forms with care.

### **12.1 Terms of Employment**

All interviewers working on this study are employees of Headway Corporate Staffing Services. Headway will perform all functions related to payment for hours worked and expenses incurred, including deductions for federal and state taxes and social security. You will be asked to complete a W-4 form so that appropriate deductions can be withheld. The terms of employment have been spelled out in the Contract of Employment that will be signed, along with other employment forms, prior to training.

In addition to all payroll functions, Headway Corporate Staffing Services is also responsible for all necessary personnel documentation and the actual hiring and terminating of employees. Your FS, as the name implies, is your direct supervisor and has full authority in managing his/her staff. However, should problematic situations arise in which personnel action is necessary, your FS must follow established, written guidelines that are fair and satisfy all legal requirements.

### **12.2 Background Checks**

All Headway employees must undergo a background check before beginning work on any RTI study. If you are asked to complete paperwork to conduct a background check for Headway, please complete the paperwork promptly so that the recruitment process will progress in a timely manner. If you have worked for Headway in the past, but have not had a background check in the past 12 months, Headway will require that you undergo another background check and will send you the necessary paperwork. This is a routine procedure for Headway to ensure that interviewers do not pose a security risk while working.

Additionally, many prisons require that you submit to a background check in order to work in their facility. Prior to working at a facility, you may be asked to complete additional forms so that an individual facility may conduct their own background check. Please complete and return the forms promptly, being sure to follow all provided instructions. This ensures timely processing of your background check.

The facility's determination of your ability to work in that facility, based on the outcome of their background search, is binding. So it is possible to pass the Headway clearance; but if the facility sees something in your records, they have the final say on whether or not you can work at their facility. Neither Headway nor RTI is able to dispute the decision of the facility.

### **12.3 Code of Behavior**

In order for the project to run smoothly, the following procedures and policies apply. Failure to follow these procedures will result in a disciplinary letter from Headway and possible termination. If you have any questions or concerns, please contact your FS.

1. You must transmit each day that you work. See **Chapter 8** for information about transmitting.
2. You may not change the scheduled survey dates without first talking to the FS. If you cannot reach your FS and need an immediate decision, contact the DCTL. Only requests from the facility are acceptable reasons to change the dates; you may not reschedule for your own personal reasons.
3. If the facility requests a change in date, make sure that the new date does not conflict with any of the other scheduled facilities for your team. You must let your FS know the new date immediately.
4. FIs will act in a professional manner in the facilities, as representatives of RTI and BJS. FIs will be professional and respectful at all times towards facility staff members; inmates; and fellow team members, including the OS, FS, and RTI staff and staff from BJS, our client. Furthermore, FIs will act professionally and appropriately when guests at a hotel or restaurant. Unprofessional and inappropriate behavior will not be tolerated.
5. FIs will not perform any personal favors for inmates. This includes giving money, mailing letters, or contacting people outside of the facility on their behalf.
6. FIs will dress appropriately at each facility. This means no jeans, shorts, short skirts, high-heeled shoes, open-toed shoes, sneakers, sandals, hats, tank tops, tube tops, t-shirts, or anything that resembles part of the inmate wardrobe.
7. Snacks have been purchased as incentives for inmates. They are not to be consumed by interviewers.
8. If you are permitted to eat at the facility commissary/cafeteria, etc., please do not take more food than you can consume for one meal. Please do not request a "to go" box and take home food from the facility.
9. You must submit your PT&E each week (even if you did not work). A delay of 2 weeks in submitting PT&Es is grounds for action.
10. FIs will not share personal information with inmates, nor will they establish personal relationships with inmates.
11. Please keep the lines of communication open with your FS. If she cannot contact for 48 hours without prior notification of an absence, you may be considered as abandoning your job and disciplinary action may be taken.



In addition to the project-specific code mentioned above, Headway also has a Discipline Policy (see **Exhibit 12-1**). Failure to follow the project-specific code outlined above can result in disciplinary action through Headway.

## 12.4 Authorization for Expenditures

Do not purchase supplies that can be provided by RTI, as RTI is able to obtain some items at a discounted rate. Before spending more than \$10 on project-related business, consult with your FS to obtain authorization. This policy will control budget expenditures and make sure your FS has input into all decisions affecting fieldwork. Expenses made without prior authorization may be denied reimbursement, *so be certain to obtain FS approval prior to making any such expenditure*. You must also obtain and submit receipts for expenses over \$25 on a Headway Expense Report form. See the table below for how to handle the various scenarios.

Amount	Recorded Where	Approval Needed before spending the \$	Receipts Needed
\$.01 - \$10	ePTE	YES	NO
\$10.01 - \$25	ePTE	YES	NO
\$25.01 -	Headway Expense Report	YES	YES

## 12.5 Conference Call with Field Supervisor

If you are the OS at a facility, you will report to your FS each evening you are in a facility about the status of the sample. You will be expected to e-mail the day's production numbers to your FS and then call the FS to discuss the report. At training, your supervisor will schedule a set time for you for this conference. The information you report must be up-to-date and accurate. Your production information will be compiled into reports to allow project staff to monitor the progress of the study. Be prepared to report on the status of each sample member and any problems encountered or anticipated.

In addition, FIs will have calls with their supervisors to review the next scheduled facility visit, including any needed travel plans, advances, and logistics of entering the facility. The call may also cover questions regarding your EPTE or data quality issues.

Out of respect for your supervisor's busy schedule, please be on time, available, and prepared for your call. If you cannot make your call, please let your FS know as soon as possible so that the call can be rescheduled. Also, please make sure that you have all materials requested organized and available to you before the call begins.

## Exhibit 12-1. Headway Discipline Policy

### EMPLOYEE COUNSELING AND DISCIPLINE

In order to maintain the safety and welfare of all employees and satisfy the performance requirements established by Headway and its clients, all employees are expected to meet Headway's standards of work performance. Work performance encompasses many factors, including but not limited to: attendance, punctuality, personal conduct, professional behavior or fulfilling commitments, job proficiency, and general compliance with the Headway and RTI policies and procedures.

If an employee does not meet these standards, Headway may, under appropriate circumstances, terminate the employee immediately or take corrective action other than immediate dismissal. However nothing in this policy alters the at-will nature of your employment with Headway.

The intent of corrective action is to formally document performance issues while providing the employee with reasonable time within which to improve performance. The process is designed to encourage development by providing employees with notification of areas that need improvement.

To assure uniformity and fairness of treatment, Headway has established counseling procedures to formally communicate the need for an employee to meet the expected standards of work performance. This counseling will generally be provided at the intervals listed below:

- First Notice – Oral Warning
- Second Notice – Written Advisory Letter
- Third Notice – Written Probationary Letter
- Fourth Notice – Written Termination Letter

**Please be advised that Headway reserves the right to skip immediately to a written advisory, probation, or termination depending on the circumstances. These counseling guidelines in no way change the employee's "at will" employment status with Headway. Either Headway or the employee has the option to terminate the employment relationship at any time, with or without cause**

Such counseling actions require corrective action on the part of the employee and any written notices are designed to provide formal recognition of this need for action.

1. The oral warning is given to the employee by their supervisor to counsel him/her on specific performance deficiencies. The employee should be informed of the deficiencies, ways that improvements may be made and the deadline in which to make the improvements before proceeding to further disciplinary actions. The oral warning will be followed up with an email to the employee from their supervisor documenting the discussion.

2. The advisory letter is sent to an employee to counsel him/her on specific performance deficiencies. The letter will state the project policies and protocols that are being violated. The letter will also inform the employee that immediate improvement is necessary. Failure to demonstrate improvement within the stated time period will result in the employee being placed on probationary work status. The advisory letter will remain in effect throughout employment with Headway. If the employee demonstrates a temporary improvement and at any later point in time violates the terms of the advisory letter, the employee will immediately be placed on probation.

3. The probationary letter is generally sent as a second notice to the employee placing him or her on probation. During this probation, the employee is not eligible for salary increases, bonus

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**Exhibit 12-1. Headway Discipline Policy (continued)**

awards, promotions, or transfers. If there is a documented violation of the terms of the probation letter during probation, the employee may be terminated.

4. The termination letter is sent as a final notice to the employee, releasing him or her from the employment of Headway.

In some cases the advisement notice may be skipped depending on the circumstances and the employee will be placed on immediate probation. **Similarly, depending upon the severity and the circumstances, the first, second and third notice may be skipped and an employee may be subject to immediate discharge.** Following are some examples of grounds for immediate dismissal of an employee:

- Failure to comply with company policy or project protocol
- Confirmed falsification of data, including but not limited to screenings, interviews, timesheets, expense reports, or employment application
- Unexplained loss of or damage to equipment provided to the employee, not reimbursed by the employee
- Being found under the influence of using or unauthorized possession of alcohol or illegal substances while working
- Theft
- Possession of a firearm or other dangerous weapon while working

This list is intended to be representative of the types of activities that may result in immediate termination. It is not exhaustive, and is not intended to be comprehensive.

## 12.6 Electronic Production, Time, and Expense (ePTE) Reports

All Headway field staff must complete and submit electronic Production, Time, and Expense (ePTE) reports weekly in order to be paid. In addition to serving as your timesheet, the ePTE reports give RTI project staff a detailed summary of the tasks completed during the 1-week period covered by the reports and any time and expenses required for completing these tasks.

*You must submit complete and accurate ePTE reports each week for all work done in order to be paid. If you do not work in a given week or if you did not work on one or more of the tasks, you should still submit a report indicating that you did not work. No overtime may be worked without prior approval from your supervisor.*

While you are required to submit ePTE reports each week, there may be times when you are not able to access the electronic system due to computer or other problems. In such instances, submit paper PTE reports. *Keep a small supply of paper PTEs as a backup.*

Additionally, there may be times when you discover an error, such as an expense you forgot to report, after you have submitted an ePTE report and your FS has approved it. *You must submit the revision report using paper PTE reports.*

### Overview

This section focuses on how to use the ePTE program, which is built into the CMS. This section gives detailed instructions on entering information in the various forms, as well as on completing an ePTE report from an administrative perspective, such as where to enter specific hours or expenses. (Note that the ePTE system refers to individual ePTE reports as “records.”)

The ePTE system has several electronic forms for you to complete. Details for the various forms are given in subsequent sections.

- **Default Value Setting Form**—The first time you access the system, you must identify yourself and set certain values, such as your Headway ID (FI ID) number. You only need to complete this form once (see **Section 12.7**).
- **Entry Form**—In this form, you identify important information such as project number (including task number), FS, week worked, etc., which defines an individual ePTE report (see **Section 12.8**).
- **Detail Form**—This form has the rows and columns in which you record the details of the workweek’s production, time, and expenses (see **Section 12.9**).

In each of these forms, use the **Tab** key to move from one field to the next. Holding down the **Shift** key while pressing the **Tab** key (**[Shift] [Tab]**) moves backwards through the

fields. The field that is active either has the cursor in the entry field or is highlighted with a dotted line around it.

**Sections 12.10** and **12.11** provide instructions on using the system’s edit checks, how to handle various messages that may appear, and tips for some advanced functions. *NOTE:* Unless someone else has been authorized to enter your ePTE report information on your behalf, you must enter it yourself. Violating this rule may delay your payment.

You access the ePTE from the main CMS menu by pressing **PTE** to enter the ePTE system.

## 12.7 Default Value Settings Form

The first time you enter the ePTE system, you must provide some personal identifying information. It is critical that you enter this information correctly, because this information is used to identify your ePTE reports and process your paycheck. It is particularly important that you enter your ID number correctly—once you save the ID number on this form, you will not be able to make corrections without help from your FS. The Default Value Setting screen is shown below.

(NOTE: This form no longer requires your SSN.)

The screenshot shows a window titled "RTI Electronic PTE System Default Value Setting". At the top, there is a warning message: "This information will fill your PT&E Entry Form—please enter it accurately. If you have questions, consult your manual. If help is still needed, contact your supervisor. You must enter a valid Social Security Number and RTI ID before using other ePTE functions. Note that once you Save, you CANNOT change the SSN or RTI ID on this computer without authorization from RTI." Below the message are several input fields: "Soc. Sec. No." (555-55-5555), "RTI ID" (123456), "Last Name" (Doe), "First Name" (Jane), "St. Address" (1234 Main Street), "City" (Raleigh), "State" (NC), "Zip" (27555), "Phone #" ((111) 222-333), "Supervisor Name" (Patience Supervisor), "Supervisor Area #" (606), "Project Number" (08116), and "Allow Past PT&E Edit" (15 Days). There is a checkbox for "New Name/Address/Phone" which is checked. At the bottom, there are three checkboxes for "Allow PTE Type": "Data Collection", "Count & List", and "Supervisor", all of which are unchecked. To the right of these checkboxes are three buttons: "Save", "Exit", and "Help".

**Personal information (first nine fields)**—Carefully enter your personal identifying information (up through the phone number field). Be very careful with your ID number. Press **[Tab]** to move to the next field. Pressing **[Shift] [Tab]** moves backwards. If your name is longer than the displayed field, the program accepts the additional characters (until the maximum of 50).

**New Name/Address/Phone**—When you make changes in the name, address, or phone number fields (including the first time, when you change from no entry to an

entry), the system automatically checks this box. A checked box tells the system to submit the changes to Headway for processing.

Note: If Headway already has your correct name and address on file, press [**Space bar**] to uncheck this box. Only leave the box checked *if there have been changes to your name and/or address* that Headway needs to know about.

Press [**Tab**] to continue.

**Supervisor Name and Area #**—Enter your *supervisor's name and area number* (see **Chapter 1**). Type the FS number very carefully, and double-check your entry for accuracy.

**Project Number**—Enter the primary data collection project and task number. For example, enter **0212322** as the primary project number. Then press **Tab** to move to the task field after the hyphen, and then type **001.005**.

**Allow Past PT&E Edit**—This box is prefilled with 15 days. Do not change this number unless instructed to do so by your FS or RTI staff.

**Allow PTE Type**—When Data Collection is highlighted (with a box around it), press the [**Space bar**] to place a checkmark in that box. The Supervisor check box only applies to your FS. If you do not make a selection here, Data Collection is automatically chosen by default.

**Save**—Once you have filled in all fields and double-checked all your entries, triple-check your ID number. Next, press [**Alt**] [**s**] (for Save).

If the New Name/Address/Phone box is checked when you save your information, a message box then appears asking if you want to transmit this address to Headway. You should choose *Yes* if Headway does not have your up-to-date name, address, or telephone number on file; otherwise, choose *No*.

If the New Name/Address/Phone field is not checked, you will not get this message box.

After you have saved your information, the RTI ID fields are shaded in light blue, indicating that these fields are "read-only." You can no longer change these values without obtaining a special password from your FS.

*NOTE: You must enter a valid RTI ID number before moving on to the ePTE Entry Form.*

**Help**—If you have any questions about any of the fields on this form, press [**Alt**] [**h**] (for Help). Read the topics displayed in the Help window using the [↓] key to scroll through the text. Close the Help window by pressing [**Alt**] [**F4**].

**Exit**—Once you have filled in all information on this form and have saved it, you can exit by pressing [**Alt**] [**x**] (for Exit) to automatically continue with the Entry Form.

## 12.8 Entry Form

The first time you work in the ePTE system, you complete the Default Value Settings Form as described in **Section 12.7**. Upon exiting that form, you see the PT&E Application Entry Form, referred to as the Entry Form. Each subsequent time you enter the ePTE system, you start at the Entry Form. An example of this form is shown below.

The default values from the Default Value Settings Form are prefilled in their appropriate fields. In particular, note the blue shading around RTI ID, and the Supervisor Name buttons, indicating that these fields are read only. The FS and project number information from the Default Value Settings Form are displayed, but these values can be altered on this form.

On the Entry Form are the four items that define a specific ePTE report: week begin date, project/task number, FS name/area number, and travel status. If, in a given week, any of this information varies, you must complete separate ePTE reports each week for each task number. Consider the following situations:

- While working on this study you are required to submit an ePTE report each week whether you worked that week or not.
- If during the same week you work while on travel status and also work while not on travel status, you must complete separate ePTE reports to divide the information between travel and nontravel status.

As in all ePTE forms, use [**Tab**] to move between fields and [**Shift**] [**Tab**] to move backwards between fields. The current field either has the cursor in it or is highlighted with dotted lines. Within the fields, use the left [←] and right [→] arrow keys to move around and [**Delete**] to remove characters. If you have questions about the fields on this form, press [**Alt**] [**h**] (for Help). Refer to **Section 12.11** for additional information on the Entry Form Help box.

**Supervisor Name and Area**—Your FS and FS area number are displayed. Since the ePTE system expects you to want to enter an ePTE report for this FS, the system skips these two fields, and the first highlighted field is the Week Begin Date. To enter an ePTE report for your FS, simply leave the supervisor fields as they are.

**Week Begin Date**—Enter the date of the Sunday contained within the work week of this ePTE report. Use the format shown in the example, with two digits for month and two digits for day (using leading zeros as needed) and a four-digit year. The slash in the display that separates the month/day/year entries is already there, so you need only enter the numbers.

**RTI Project ID**—The main project number and task number are displayed (**0212322.001.005**). Tab through these fields to prepare an ePTE report for this number. Entering incorrect project or task numbers causes problems and can delay your payment.

**Travel Status**—Leave the box empty unless your supervisor has indicated you are on travel status. Travel Status is defined as staying away from home overnight. To mark the Travel Status box, press the [**Space bar**]. To remove a check mark from this box, be sure the field is highlighted with the dotted lines, and then press the [**Space bar**]. PLEASE REMEMBER TO CHECK THIS BOX IF YOU ARE ON APPROVED TRAVEL STATUS. IF YOU DO NOT CHECK THE BOX AND YOU ARE TRAVELING, YOU WILL NOT BE PAID AT THE TRAVEL RATE (AN EXTRA 50 CENTS PER HOUR.)

If you stay in the hotel the night before the first day of data collection and don't stay at the hotel after that, you are on travel status only for the day before the first of data collection. You may charge, on an expense report, the hotel room and meals on the one day you were on travel status. Otherwise, you may not charge the project for meals on the days you are NOT on travel status. For a week when you spent only one night in the hotel, you will need to complete two ePTEs that week: one for the day you were on travel status and one for the days when you were not.

**Flight delays**—Field staff will be reimbursed for a maximum of 4 hours for flight delay, per Headway and RTI policy. If an overnight stay is required, the project will provide per diem (hotel, meals, and incidentals) for the area of the delay and will not pay for additional hours incurred by the delay. As soon as an FI knows there will be a substantial delay, they must report it to their FS who will provide the information to their RS. Reimbursement for an overnight stay of this nature must be pre-approved.

**PTE Type**—The options available for PTE Type depend on which PTE types you marked on the Default Values Form. You can only choose from the types that are not shaded a light blue. If you need to alter the Default Values Form, see **Section 12.7**.

For interviewers working on this study, Data Collection is the type of ePTE you submit. With the Data Collection button marked, press [**Tab**] to continue to the next field.

**Did Not Work**—If you did not perform any work during the given reporting period, place a check in this box by pressing the [**Space bar**]. For accurate reports, it is important for you to submit a Did Not Work ePTE report by marking this box and transmitting that information.

**Enter PTE**—Once you have completed all fields, press [**Alt**] [**n**] (for Enter PTE).

**Exit**—If you do not want to enter ePTE information now, press [**Alt**] [**x**] (for Exit). When you exit in this way, any changes just made to the information displayed are not saved. When you return to the ePTE system, your default values appear. After indicating you want to exit, a confirmation box appears asking if you are sure you wish to exit. A *Yes* response takes you to the CMS. A *No* response clears the boxes, and you remain at the Entry Form.

## 12.9 The Detail Form

After identifying an ePTE report on the Entry Form and choosing the **Enter PTE** button, you see the Detail Form (shown below). This section explains the process of entering



information into an ePTE report and gives you detailed explanations for the various columns, including where to enter certain hours or expenses.

### How to Start

First, check that the information at the top of the form is correct. Also, make sure that the dates on the left-hand side of the form actually correspond to the workweek. *If you notice any mistakes, do not enter any information.* Exit this form by pressing [**Alt**] [**c**] (for Cancel) to return to the Entry Form. Make the necessary corrections to that form; then, when everything is correct, press [**Alt**] [**n**] (for Enter PTE) to return to the Detail Form.

### How to Move

Within the Detail Form, move from field to field using [**Tab**], [**Shift**] [**Tab**], or any of the arrow keys. The field that is active—that is, if you enter information it appears in that field—is shaded a light orange. On the Detail Form shown to the left, the active field is Sunday, Production. Once you enter an amount in a field, the left and right arrow keys allow you to move among the characters in that field. To continue to the next field, you must press [**Tab**] or [**Enter**].

To move from one section of the form to another, you must be on the final space of the first section and then press [**Tab**]. For example, to move from “C–Time” to “D–Expense,” use [**Tab**] or the arrow keys to move to the last cell in the Time chart, which is Saturday, Other. Press [**Tab**] to move to section D, Sunday, Miles Driven. To move back to the “C–Time” section from the “D–Expense” section, use the arrow key to position yourself in the Sunday, Miles Driven field, and then press [**Shift**] [**Tab**]. The chart flows in this way:

- **Time →Expenses →Notes →Save/Cancel/Print**

Pressing [**Tab**] again when the **Print** button is highlighted takes you back to the start of the Time section.

### ***How to Enter***

Enter the appropriate values in the chart. The program rounds your entries as needed and supplies the standard two-decimal place value. Therefore, if you enter 2 hours, the program displays 2.00. If you enter 2.2 hours, the program displays 2.25. The program also calculates and displays all totals.

Time should be rounded to quarter hours and recorded in decimal form (two decimal points). *Do not record time in minutes.* For example, if you had 1 hour and 45 minutes of travel time, you should enter your time as 1.75. If you mistakenly enter your time in minutes (1.45), the program automatically rounds .45 to .50, which would not be correct. You would only be paid for 1 1/2 hours, rather than the 1 3/4 hours you worked. So, be sure to enter your numbers in decimal form rounded to the nearest quarter hour. The following table shows examples of incorrect and correct time entries:

**Recording Time on a PT&E**

<b>Time Worked</b>	<b>Incorrect Entry</b>	<b>Correct Entry</b>
1 hour and 15 minutes	1.15	1.25 hrs.
1 hour and 20 minutes	1.20	1.25 hrs.
1 hour and 30 minutes	1.30	1.50 hrs.
1 hour and 40 minutes	1.40	1.75 hrs.
1 hour and 45 minutes	1.45	1.75 hrs.

### ***What and Where to Enter***

Step-by-step instructions for completing an ePTE report are provided in this section. An example of a properly completed ePTE report is ***shown below***. Please refer to the following instructions and the examples as you are completing your reports, to be sure you are making all required entries correctly. Because of the flow of the system, we recommend that you complete the Notes section (see step 5 below) as your last step when completing your ePTE report.

Research Triangle Institute PT&E Application - Detail Form

**Data Collection** Soc. Sec. No. 123456789 RTI ID 654321 Project 0209778-001.006  
**PT&E** Week Begin 03/04/2007 Travel N Supervisor 100-Nina Smith

A		B		C							B-1	
Day of Week	Date	# of Completed Interviews*	Training	Home Study	Travel	Contact Locate	Inter-viewing	Editing	Confer-ence	Other*	Daily Total*	Note
Sun	03/04										0.00	3/05 - .5 hours - facility training
Mon	03/05				0.75		7.00			0.50	8.25	
Tues	03/06				0.75		8.00				8.75	
Wed	03/07				0.75		8.00				8.75	
Thurs	03/08				0.75		8.25				9.00	
Fri	03/09				0.75		7.75				8.50	
Sat	03/10										0.00	
<b>Totals</b>		0	0.00	0.00	3.75	0.00	39.00	0.00	0.00	0.50	43.25	

\* Click on labels denoted by "\*" for more details

A		D							B-1	
Day of Week	Date	Miles Driven	Lodging	Meals Expense*	Tele- phone*	Auto Rental*	Misc. *	Incentive*	Total Expense	Note
Sun	03/04								0.00	<input type="text" value="\$0.00"/> Advance Repayment* <input type="button" value="Save"/> <input type="button" value="Cancel"/> <input type="button" value="Print"/>
Mon	03/05	15							0.00	
Tues	03/06	15							0.00	
Wed	03/07	15							0.00	
Thurs	03/08	15							0.00	
Fri	03/09	15							0.00	
Sat	03/10								0.00	
<b>Totals</b>		75.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

**Section B (Production)**—Enter the total number of completed *interviews* each day. Make sure to keep up with your entries daily on a working copy ePTE report, so you will know what you completed that day. Only 200s should be reported on your ePTE. This total can be obtained from your FI Daily Report.

**Section C (Time)**—In each column, enter the hours worked each day to the nearest quarter hour. Hours must be entered as decimals and are rounded to the nearest quarter hour. See above for examples of correct time entries. Show how your hours were spent on project work by distributing the time worked across the various columns as appropriate. The program totals your entries by row and column. The Time columns are defined as follows:

**Training**—Except for training periods, this column is rarely used. If you are authorized to spend time doing remedial or additional study, record the time in this column.

**Home Study**—This column is only used in rare situations when instructed by your FS. During the year, any time spent on home study work must be approved by your FS and should be reported in the Training column.

**Travel**—Record time it takes to drive from home or the hotel to the facility and back. Also include the time it took to travel from home to your hotel at the beginning of an assignment and to return upon completion of your facility. (Do not include time spent for meals or errands.)

**Contact/Locate**—do not use this category.

**Interviewing**—Once you are ready to begin interviewing for the week, record all time spent within the facility to which you are assigned. However, you will exclude the time spent eating lunch or other meal(s) while working. Review the "Other" category information below to learn how to record the time you spend within a facility prior to beginning your interviews. Also include under "interviewing":

- Time spent waiting for inmates to arrive once called or down time during short (less than 1 hour) counts or lockdowns (see **section Other** on how to charge time for counts or lockdowns that last more than 1 hour).
- Time spent editing event codes while in the facility should also be included here (see **section Editing** for more details).

**Editing**—Only record time here if you edit documents and paperwork or add codes to the CMS after you have left the facility.

- The majority of editing should be done in between interviews or during down time (i.e., waiting for inmates, during counts, etc.). Only the OS should have editing time after leaving the facility.
- Example of correctly entering your editing time while working in the facility—you work 9 hours at the facility. During this 9 hours while in the facility, you spend 1.5 hours editing your forms and entering them into the CMS. You would enter 9 hours interviewing and 0 hours editing.

**Conference**—Record time spent preparing for and in conference with your FS, OS (OS conferences at the end of the day should take no more than 15 minutes, on average), and any calls with RTI managers or office staff, including technical support.

**Other**—Wait time on the first day during the check-in process at the facility and time spent completing an orientation, if required, should be included here. Time recorded under “Other” always requires an explanation in the Notes section. Also include in the Other column:

- Transmitting time.
- Disruptions to data collection in a facility that last 1 hour or more, including counts or lockdowns (with a note to explain the disruption).
- In addition, record time spent performing other allowable project activities, such as time spent shipping faulty equipment.
- We do not allow you to charge time for doing laundry, packing your suitcases, loading your car, traveling to and from the grocery store, or for grocery shopping or other tasks you complete in preparation for beginning your travel to the facility.

**Section D (Expenses)**—Please read this section carefully. Expenses are claimed on *either* the ePTE report *or* the Headway Expense Report, but *nothing* should be reported on both. Please refer to **Section 12.12** for details on the Headway Expense Report. Your FS will monitor your expenses very closely, and any expense you submit is subject to review.

The ePTE program totals your entries by row and column. The Expense columns are defined as follows:

- **Miles Driven**—Record total miles driven each day on project business (rounded to the nearest mile). Check to make sure that the corresponding travel time is recorded in the Travel column. Headway calculates how much you will receive, based on the number of miles at the current established mileage reimbursement rate. *Note:* This rate is set by the federal government and is subject to change. Headway will use the most current rate to calculate the mileage reimbursement. (If you ride with someone else, you would report your travel time but not the miles driven.) When using a rental car for

transportation, do not report the miles you drive. Instead, submit receipts for fuel purchased for the rental car.

- **Lodging**—Lodging expenses are not reimbursable except while on travel status, as defined by overnight travel that is approved in advance by your FS. Lodging expenses must be submitted on the Headway Expense Report (see **Section 12.12**). Do *not* record lodging expenses on the ePTE report.
- Prior to visiting a facility, your FS will locate hotel rooms that meet the federal government per diem rate as determined by the federal government. You will work closely with your FS to make any required hotel reservations, ensuring that room rates do not exceed the government reimbursement rates for rooms in the location where you are traveling. Any overnight travel must be approved in advance. In the Notes, record the city and state of your travel location. If during any given week you both commute from home to work and stay in a hotel, you submit two separate ePTEs (one for each type circumstance).
- **Meals**—Meal expenses must be submitted on the Headway Expense Report (see **Section 12.12**). Do *not* record meal expenses on the ePTE report.
- **Telephone**—All land line telephone expenses must be submitted on the Headway Expense Report with receipts (regardless of amount). Do *not* record telephone expenses on the ePTE report. Submit a copy of your monthly land line telephone bill with any project calls highlighted.
- **Auto Rental**—Auto rental expenses, e.g., gas purchased, should be reported on the Headway Expense Report. You must be on travel status and have prior approval from your FS in order to be reimbursed for an auto rental. Your FS will make any necessary auto rental reservations for you with National Car Rental, and the cost of the rental will be billed directly to the project.
- **Miscellaneous**—All expenses \$25 and under are recorded on the ePTE report and do not require a receipt, even if the total for the day is over \$25. Expenses over \$25 are submitted with receipts on the Headway Expense Report and are not reported on the ePTE report. Again, you must have FS approval before submitting expenses over \$10. Be sure to explain all miscellaneous expenses in the Notes section.
- **Incentive**—This does not apply to this study because our incentives are nonmonetary. Do not use this column.
- **Advance Repayment—Leave this blank.** Do *not* use this box—Headway does not review any information entered here. Instead, you must submit a check for the amount you owe. See the memo from Headway that accompanied your advance for detailed instructions. Otherwise, Headway will automatically withhold money from your paycheck to cover any outstanding (unaccounted for) advance money.
- **Explanations of all expenses under "Other."**

All expenses must be explained in the notes box. Please enter date, amount, and a note. For example, 8/1: \$5.00 toll.

### **When to Enter**

You **must** record your ePTE information daily on the provided Working Copy (paper copy) of the ePTE. Record the information daily as you work. Otherwise, you may forget to include

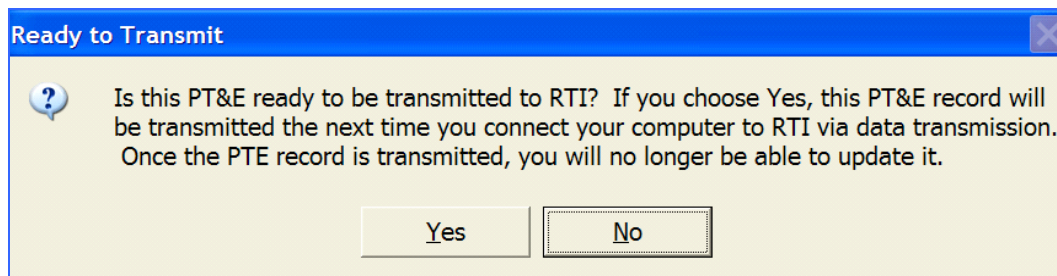
hours or expenses. Once you have completed your work for the week, transfer the information recorded from your working copy to your ePTE on the laptop. After you have entered your data for the week and have checked for accuracy, save the information and indicate that you are ready to transmit. Once a report is transmitted, you cannot update it.

Remember, you must have your ePTE information entered into the ePTE system and transmitted to RTI before 10:30 p.m. (EST) on Sundays.

### ***When Finished Entering***

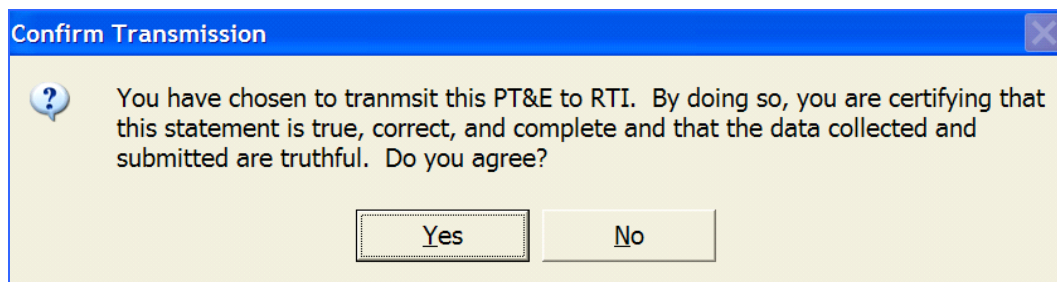
If you do not wish to keep any changes you have made, press [**Alt**] [**c**] (for Cancel). A confirmation box appears asking if you are sure that you want to discard the changes made. If no, press [**Enter**] to remain in the Detail Form. If you are sure you want to cancel, tab to Yes, and press [**Enter**]. The Entry Form reappears.

When your information in the Detail Form is complete, press [**Alt**] [**s**] (for Save). The Ready to Transmit box (shown below) appears:



If you have not completed the entire week's information for your ePTE, press [**Enter**] (for No). A box then appears reminding you that, because your ePTE report is not final, you must finalize and transmit it later. Press [**Enter**] to close this box and return to the Entry Form, where you can either enter another ePTE report or exit the system by pressing [**Alt**] [**x**].

If you have *finalized* this ePTE report and wish to send it to RTI during your next transmission, press [**Alt**] [**y**] (for Yes). The following box appears:



Answering **Yes** to this question is equivalent to signing your name to a paper document, indicating that all information is accurate and complete. Press [**Enter**] (for Yes) to sign and

finalize your ePTE report. Once your ePTE is finalized, you must transmit to submit it for approval. During your next transmission to RTI, the report is sent, processed, and then forwarded to your FS for approval. Once the report is transmitted, you can no longer edit the information. The report becomes read-only, indicating that you can view but you cannot change the report. The system takes you to the Entry Form, and asks if you want to enter another report. Your answer depends on whether you need to make another entry for the week. If you worked part of a week on travel and part not on travel, you need to submit separate sets of ePTEs.

If you have any doubts about the information that you entered before you certify that your information is correct, tab to *No* and press [**Enter**]. The next message box reminds you that your ePTE report is not finalized, and you should finalize later. Press [**Enter**] to close that message box, and you will return to the Entry Form.

## 12.10 Edit Checks in the ePTE System

The program is sophisticated enough to provide some built-in checks to prevent errors when filling out your ePTE report. The system displays a message or warning box that identifies problems and makes suggestions for resolving them. If you encounter a pop-up box, read it carefully. Press [**Enter**] to close the box and continue.

The following scenarios will cause an error pop-up message to appear:

- begin work week date is in the future or is too far in the past;
- begin work week date is not a Sunday;
- letters and other characters have been entered in a numeric field (such as hours worked);
- completed interviews were not entered in whole numbers (no decimals are permitted);
- at least one completed interview is entered, but there are no notes with the Case ID; and
- more than 20 hours were worked in a given day.

## 12.11 Advanced Features

The previous sections provide all the steps necessary to complete a regular ePTE report. This section includes additional system features and focuses on making changes to your ePTE data and your personal information.

- **Editing hours and expenses on an untransmitted ePTE report**—You can open and edit any ePTE report in the system, as long as the report has not been transmitted to RTI.
  - On the Entry Form, key in the exact information of the report you want to edit.
  - Press [**Alt**] [**n**] (for Enter PT&E) to see the previously completed Detail Form.

You can use this method to update hours, expenses, or other information in any untransmitted reports. Transmitting to RTI only sends those ePTE reports that you specify as Ready to Transmit when the reports are saved. If you choose not to transmit the report when you save it, you must open it later using this method, and then save it with a transmission confirmation in order for RTI to receive the report before 10:30 PM (EST) on Sunday.

- **Deleting an ePTE report that has not been transmitted**—To delete an untransmitted ePTE report, key in the exact information on the Entry Form as the one you want to delete. Press [**Alt**] [**e**] (for Edit) then [**Enter**] (for Delete PT&E Report). The system asks whether you really want to delete this report. If you answer yes, the report is removed from the system. Please note that you can only delete reports that are not yet transmitted to RTI.
- **Locating untransmitted ePTE Reports**—As explained above, you can locate and edit an untransmitted report by providing the exact same information on the Entry Form as the report you want to locate. Sometimes, however, you do not remember the ePTE reports that you have previously entered. The Entry Form provides a tool to help you. To find untransmitted reports:
  - Press [**Alt**] [**f**] (for File) then [**u**] for Search Un-transmitted ePTE. The PT&E Entries on File Form (shown below) lists all ePTE entries in the system that have not been transmitted. Use the arrow keys to move up or down in the list until the report you wish to edit is highlighted in blue, then press [**Enter**]. This takes you back to the Entry Form where the fields are filled with the data from that particular report. Press [**Alt**] [**n**] to enter the Detail Form to make changes to the data associated with that ePTE report.

The screenshot shows the 'PT&E Entries on File' pop-up window with the following table data:

PTE Date	RTI ID	PTE Type	Proj. No.	Sub No.	FS Area	Travel	Ready to Transmit
03/04/2007	654321	Data Collection	0209778	001.006	100	N	Y
02/25/2007	654321	Data Collection	0209778	001.006	100	N	Y
02/12/2006	622993	Data Collection	0209176	001.005	100	N	Y

- **Locating transmitted ePTE reports**—Use the method discussed above to view transmitted ePTE reports. From the Entry Form, press [**Alt**] [**f**] (for File) and [**t**] (for Search Transmitted PT&E) to see a list of reports that have already been transmitted to RTI. Selecting a report from this screen works the same way it did with untransmitted reports. Use the arrow keys to highlight in blue the report you wish to view, and then press [**Enter**]. You can open these reports for viewing purposes only. The system displays a pop-up box when you enter the Detail Form, reminding you that the report has already been transmitted and asking you if you would like to



open the report for viewing only. All the fields in the Detail Form are grayed out or read-only, preventing you from making changes. Also, the only available option from the Detail Form is to cancel, [Alt] [c].

- **Correcting mistakes on an ePTE that has already been transmitted**—For these instances, please notify your FS as soon as possible. Your FS may also ask you to contact Headway staff.
- **Completing an ePTE for up to 2 weeks in which you do not work**—On the Entry Form, check the Did Not Work field. Then, go to the Detail Form in order to save the report and make it “Ready to Transmit.” If you check “Did Not Work” on the Entry Form, you cannot enter any hours or expenses on the Detail Form.
- **Completing a PT&E report for 3 weeks or more in which you do not work**—Do not submit an ePTE report if you will not be working for 3 weeks or more. Instead, your FS must send an e-mail message to Headway indicating the dates you will not be working, as well as the reason you will not be working.
- **Loading default values**—If you have made changes to the information on the Entry Form and now need to bring your default values back, press [Alt] [t] (for Tools), and then press [l] (for Load Default Values).
- **Clearing default values on the Entry Form**—Occasionally, you may want to clear out all default information displayed on the Entry Form in order to enter information for a new ePTE report. To do so, press [Alt] [t] (for Tools), and then press [r] (for Refresh).
- **Changing the default values on the Entry Form**—Occasionally, you need to change the default values that prefill when you begin the ePTE program. From the Entry Form, press [Alt] [t] (for Tools), and then press [v] (for Uppdate Default Values).

The System Default Value Setting Form appears, so you can update your personal information. You can make corrections to all values *except SSN and RTI ID*. If you make updates to your name, address, or phone number, a checkmark appears in the New Name/Address/Phone field. After you make the updates, press [Alt] [s] (for Save). A pop-up box asks if you would like to transmit this change. If so, answer Yes to this pop-up box. The next time you transmit to RTI, this update information is sent to RTI and Headway.

- **Changing your RTI ID numbers**—These values are the main keys to processing your ePTE reports (and being paid!). You would only change these numbers under very unusual circumstances, and before doing so need to acquire a password from your FS. Once you have the password, go to the Entry Form. Press [Alt] [t] (for Tools), and then press [i] (for Change ID). The Change RTI ID Form appears, as shown below.

Enter the updated information and the password, and then press [**Alt**] [**o**] (for OK). If you enter this form in error, cancel out by pressing [**Alt**] [**c**] (for Cancel).

- **Compact your ePTE data**— Occasionally, your FS or technical support may recommend that you compact your ePTE data to enhance system performance and to prevent system crashes. Compacting data is scheduled by either your FS or technical support and should not be done on your own. *When the system is compacting data, please wait until it finishes. Do not perform any other task or turn off your computer, as doing so may cause serious problems.*
- **Accessing the built-in help files**—From the Entry Form, press [**Alt**] [**h**], and then press either [**b**] (for Basic Information) or [**q**] (for the list of Frequently Asked Questions). You can scroll down the Help window by using the down arrow [**↓**]. Once you have finished reading the help file, close it by pressing [**Alt**] [**F4**].

## 12.12 Expense Reports

Using the ePTE system to submit your data has many advantages, including increased speed and accuracy of submission. As discussed earlier, you record all expenses **over** \$25 along with all telephone costs on this form, and you must include receipts. Per diem meals are recorded on the Expense Report, but do not require receipts. Remember, you document expenses \$25 and less on the ePTE report. Every expense is claimed on *either* the ePTE report *or* the Headway Expense Report, but *nothing* is reported on both forms. In other words, you cannot claim the same expense twice.

Please be sure to complete this report carefully, *legibly*, and completely. This will aid your FS who has to review and double check all entries on the report to ensure that there is a receipt and that the numbers were added correctly.

To aid you in completing an accurate expense report, you should enter your expenses *daily* on the working copy expense report provided to you. On the last day of data collection, you should transfer the information to your expense report that will be turned in to the OS.

Follow these steps when using the Headway Expense Report shown in **Exhibit 12-2** to submit your receipts:

- Accurately record your FS's area number and name, the project number (including the task number), and the corresponding week beginning date.

**Date**—Enter the dates beside each day of the week on the left side.

**Total expenses**—Total your daily expenses by adding the amounts in each of the expense columns.

**Lodging**—While on travel status, document all lodging expenses incurred for the corresponding day of the week. **Lodging receipts must be attached.** You must enter the daily room rate, including taxes, for each day you stay in a hotel. You cannot enter the total amount for the length of your stay on the last day you stayed in the hotel.

Your FS will tell you if you are on travel status, as defined as having to spend the night in a hotel. Otherwise, you are not considered on travel status for SPI-PS.

**NOTE about Hotel Arrangements:**

Working on the SPI-PS often requires overnight stays in new cities. Prior to your travel, your FS will select your lodging based on proximity to your facility, safety of the area, and the price falling within the specified Government Rate for that area. Government Rates dictate the prices allowed with a state, city, and county and must be met as a condition of our study's contract. In many instances cities with sampled facilities provide comfortable and adequate lodging far below the maximum allowable Government Rate.

Your FS will strive to ensure that the lodging she books meets all the standards listed above; however, there may be times when legitimate problems necessitate moving to a new location. All FIs must move to the new location. All FIs must stay at the same hotel. Should the team need to move, you must work out arrangements with your FS **prior** to making a move. The OS cannot authorize a move to a different hotel. Only the FS can authorize a move. When insurmountable problems occur with the selected location of your overnight stay and you know of alternative lodging that is near your assignment and is within the per diem for the area, you and your FS may agree on this alternate lodging. If you find yourself needing to locate alternative accommodations, here are some helpful tips: it goes without stating that we need to stay away from high-end hotels—Embassy Suites, Marriott, Hyatt, etc. Try some of these suggested options: Holiday Inn, Super 8, Red Roof, Days Inn, Comfort Inn, Quality Inn, Sleep Inn, and Microtel. Occasionally La Quinta and Hampton Inn will allow booking at the government per diem.

When locating alternative accommodations and inquiring about rates, you may be told that the establishment books at government per diem; beware of a common pitfall and confirm the rate. Check to see if this rate is at or below the per diem your supervisor provided to you for that location. Many times the "government" rate you are quoted is a hotel-established rate, not the actual federal government per diem for lodging and is higher than the actual amount allowed by the federal government per diem. Another option is to use any discount options that you qualify for, such as AARP, AAA, etc. The final decision rests with your FS and any move incurred without his/her express consent may not be billed to the project. Should you be allowed to change accommodations, the move must be made either in the morning prior to working at your facility or in the evening after your work at the facility has been completed.

Additionally, your FS will make a hotel reservation and hold it for a brief period of time (usually not more than 24 hours). In the brief period, your FS will contact you and ask that you call the hotel and move the reservation to your personal credit card. Therefore, it is very helpful if you have a credit card on which you can hold a

reservation. Note that your FS can provide an advance to cover the cost of the hotel room so that charges are not made to your credit card.

While some people do not have a credit card, a hotel reservation can be held using a debit card, with a credit card associated with it. However, if a debit card is used, it is common policy for hotels to hold a room at double the room rate. (For example, the hotel costs \$100 per night, but the hotel will hold it on your debit card for \$200 per night.) In previous years, interviewers were not aware of this policy and overdrew their debit card. Please be cautious of the credit or debit card you use to hold a hotel reservation.

**Meals**—Meals are not reimbursable expenses unless you are on travel status. When making arrangements for travel status, your FS will give you the daily meals and incidental expenses (M&IE) per diem for your destination, as established by the federal government. Record that amount in the meals column for full travel days in which you stay overnight. Partial travel days are reimbursed at 75% of the full per diem rate. Note that the per diem amount includes money for incidental expenses such as tips and laundry. Receipts for Meal and Incidental expenses are not necessary.

You will receive the full per diem rate for your destination, without the need of receipts. You will record the per diem for the day on your expense report and you will be reimbursed for that amount. Remember that on travel days, you will receive only 75% of the per diem amount.

If you exceed the federal government per diem, you will be reimbursed only up to the per diem amount. Please note that the meal allowance amount includes tips to wait staff. Contracts with the U.S. Government **do not allow** reimbursement of alcoholic beverages.

If the purchase of groceries is preferred to purchasing meals, use the per diem allowance. Groceries purchased are not a reimbursable expense: the per diem money is used in place of expensing the cost of the groceries.

Note that the per diem amount includes money for incidental expenses, such as tips to housecleaning, bell hops, taxis, and laundry. Receipts are not necessary for incidental expenses. The maximum amount that may be charged for incidental expenses is \$5 per day and is *included* in the total per diem.

**Per diem for partial days in the field**—A recent government regulation dictates that on any day of travel (to or from your work assignment), you are only allowed to bill up to 75% of the allowable per diem for the area where you will be working. This is not the per diem rate for your home area, but the one where your assigned work is located. Food may be purchased at any time during a travel day, but the total may not exceed 75% of the allowable per diem.

Receipts for incidental expenses, unless they exceed \$25, are not necessary. For example a receipt for baggage fees would be needed. Expenses other than meals and fuel incurred while staying with family or friends are not reimbursable.

**Telephone**—Document project telephone charges made on your land line as one total charge once you have received your telephone bill. You must submit a copy of your monthly telephone bill with any project calls highlighted. Telephone charges should be rare, as most project staff have toll-free numbers. Also, while on travel status, document each day any project telephone charges incur, and attach the hotel receipt showing the phone charges. Telephone calls made from the hotel for personal

business, including calling home to check on family and friends, are not reimbursable by the project.

**NOTE:** Cell phone charges, including text messages, incurred while working on this project are not reimbursable. Any cell phone calls made or text messages sent as part of your work assignment are not reimbursable because of the difficulty of determining the actual cost of these communications.

**Auto rental**—You must be on travel status and have prior approval from your FS in order to be reimbursed for an auto rental. Your FS will make any necessary auto rental reservations for you with National Car Rental and the cost of the rental will be billed directly to the project.

Therefore, you should not record the cost of the auto rental on your Headway Expense Report. Any gas you purchase is a reimbursable expense. Please keep those receipts and document it on the expense report under "Miscellaneous." NOTE: Please do not allow the car rental agency to fill the tank for you. This is VERY expensive and is a waste of project money. However, you must attach your receipt for auto rentals to this form and submit it with this form.

Note that rental cars are the exception and not the rule on this project and interviewers who fly will be expected to carpool. Not everyone will have their own rental car.

**Miscellaneous**—Document all miscellaneous expenses over \$25 for the corresponding day of the week. All purchases over \$10 must be approved by your supervisor BEFORE the purchase is made. Record the amount and explain the expense in the Notes section including tolls exceeding \$25. ***Receipts for all miscellaneous expenses over \$25 must be submitted with this form.*** Remember, expenses over \$25 are not recorded on your ePTE report.

**Incentives**—Monetary incentives are not used on this project. This will remain blank.

**Notes**—Enter notes as required. For example, explain all miscellaneous expenses in the Notes section.

**Exhibit 12-2. Headway Expense Report**

**HEADWAY EXPENSE REPORT**

**RTI Project Number:** \_\_\_\_\_

Field Supervisor Area: \_\_\_\_\_

Field Supervisor Name: \_\_\_\_\_

Week Beginning Sunday: \_\_\_\_\_

Month: \_\_\_\_\_ Day: \_\_\_\_\_ Year: \_\_\_\_\_

Day of Week	Date	Total Expenses	Lodging*	Meals	Telephone*	Auto Rental*	Miscellaneous†
Sunday							
Monday							
Tuesday							
Wednesday							
Thursday							
Friday							
Saturday							
<b>Totals:</b>							

\* All expenses for Lodging, Telephone and Auto Rental must be accompanied by original receipts.  
 † All miscellaneous expenses must be explained in the Notes section. Attach receipts for expenses over \$5.00.

ID Number: \_\_\_\_\_

Name: \_\_\_\_\_ (Please print)

Address: \_\_\_\_\_ (Street)

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_-\_\_\_\_-\_\_\_\_  Please check if name or address change

I certify that this statement is true, correct and complete and that the data collected and submitted are truthful.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Approved by: \_\_\_\_\_ Supervisor

**Notes:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Disposition: Send original, yellow, and pink copies to supervisor; retain gold copy for your records.

When finished, complete the certification area by entering your six-digit Headway ID number, and the date prepared. Sign your name to certify that the report is true, correct, and complete, and that the data collected and submitted are truthful. Without your signature, your FS cannot approve and submit for reimbursement. Unsigned expense reports will be returned to you for signature. This will only slow down an expense repayment from Headway.

Keep the gold (bottom) copy for your records.

Your expense report should be completed and given to the OS at the end of the last day of data collection at the facility before you travel home. The OS will FedEx everyone's expense reports to the FS on that day. Any exceptions to this protocol must be approved by your supervisor.

Anyone who does not give their expense report to the OS at the end of data collection must send their expense report via **regular mail** to their FS. No FedEx is permitted. Choosing to send it by regular mail does not ensure its timely delivery, which can delay reimbursement or authorization for additional travel advances. This can prohibit you from working consistently.

## **12.13 Travel Advances**

Travel expense advances will be made by a Headway Corporate Staffing Services via direct deposit, only. There is not an option to have a check sent to you.

This advance is, in effect, a **loan** which you are responsible to repay within 15 days of the end of the trip. All expenses related to an advance are to be reported on your expense report and appropriate deductions will be made from your advance amount. RTI reserves the right to withhold any amount deemed appropriate.

Be sure to review the dates specified for travel on your Headway statements, viewable on line. Advance money must be reconciled within 15 days from the end travel date for the remaining amount. In other words, if you have not submitted an expense report verifying that the advance has been spent through travel expenses within 15 days of the end travel date, your outstanding balance will be deducted from your payroll earnings or expense reimbursement.

If you did not spend the full amount of the advance for the travel during the specified time, you must repay Headway the unused amount. This must occur within 15 days of the end travel date. The best approach to take is to submit a check for the unused portion of the advance with the expense report, which you will give to your OS. On the check for the amount owed, write "advance #1234 repayment" in the check memo. When you submit a check for advance repayment, please include the Advance Repayment slip that was sent with the initial Headway advance. An example is shown in **Exhibit 12-3**. To find the advance #, please review the materials that were included in the envelope in which the advance was sent.

Then, you should make a copy of the check and slip for your own records. This is very important to do. Otherwise, you have no documentation of when you sent in your repayment. **You should FedEx the repayment materials and the check to your FS.**

On the photocopy of the check and repayment slip, please write down the FedEx tracking number, so that your FS can track your package when problems arise.

**Exhibit 12-3. Advance Repayment Slip**

<b>Advance Repayment</b>	
<b>Employee Name:</b>	_____
<b>Employee ID Number:</b>	_____
<b>Project Number:</b>	<b>Sub Number:</b> _____
<b>Advance #:</b>	<b>Inc or Travel?</b> _____
<b>Repayment Amt: \$</b>	<b>Date:</b> ____/____/____

If you need the advance money after the 15-day period or need additional advance money, please contact your supervisor prior to the 15-day deadline, which is the due date on the advance.

When you receive an advance, you must maintain thorough records of advances received, deductions made, and balances due to Headway. You will keep track of your advance money on an Advance Balance Sheet, which you will receive at training. Keep this sheet current to prevent confusion about the amount of money you have been advanced by Headway. Accounting for advances can become very complicated if you do not maintain up-to-date records. You can also access a copy of the form on Headway's website:

[http://headwaycorp.com/rti\\_fi/formviewer.php?file=rti\\_fi/TravelandIncentiveAdvanceBalanceForms.doc](http://headwaycorp.com/rti_fi/formviewer.php?file=rti_fi/TravelandIncentiveAdvanceBalanceForms.doc)

It is imperative that you keep detailed and accurate records of advances received, how the advance was spent, and when it was repaid. Sloppy record-keeping will make it difficult to reconcile any discrepancies and it will be difficult to manage if you have received multiple advances.

When repaying an advance balance, do NOT:



- attach repayment checks to expense reports or paper PT&Es;
- send the check in a FedEx package without a completed Repayment Slip;
- use U.S. Mail unless specifically instructed by Headway staff (the correct mailing address (which is different than the above address) will be provided); or
- include notes about advance repayment in the Notes section of your ePTE/PT&E as that Notes space is for your FS, not for Headway.

Once advance balances are overdue, Headway is authorized to deduct from 100% of all expenses and up to 70% of gross wages to reconcile the advance amount. Please carefully review the information included with the original advance for the Headway disciplinary and collection steps to be implemented should the advance balance not be resolved promptly.

## **12.14 Federal Express Shipping Procedures**

### ***Procedures for OS to ship facility materials back to RTI***

The procedures for sending in materials by FedEx are essential to ensuring that the shipment is not lost, arrives promptly, and that the charge is billed properly.

When sending materials via FedEx, please follow the procedures outlined below:

Place materials in a package suitable for shipping via FedEx. RTI will provide a number of FedEx envelopes to use each week to ship the materials. The local FedEx office can provide boxes and envelopes free of charge if needed.

Complete Section 1 of the preprinted FedEx airbill that is provided in the facility supplies (see **Exhibit 12-4**). *It is especially important that the OS use one of the preprinted FedEx airbills provided.* That way, the OS fills in only her name and address. If the OS needs additional airbills, she should contact your FS to arrange for an additional supply to be sent to the OS.

Section 4a of the FedEx airbill is for type of service. Check FedEx Standard Overnight.

Section 4b remains blank.

Section 5 is for type of packaging. You will use a FedEx Pak (tyvek) or a FedEx box or a cardboard box (other) most of the time.

Section 6 is for special handling. Mark only the area for dangerous goods...Mark it as "No."

Keep the top copy of the airbill, which says "Sender's Copy," so the OS has a record of the tracking number at the top of the airbill.

Please email your FS with the tracking #s so that she and RTI staff have this information if it is not delivered on time.

Place the completed FedEx airbill in one of the provided plastic pouches.

Peel off the adhesive backing and affix the pouch to the package.

FedEx is now assessing fees for some delivery services as well as incorrect or incomplete information on the FedEx airbill. For example, entering the wrong address or picking the wrong packaging (e.g., picking FedEx Letter when you are sending materials in a FedEx Box) will result in fees. You will be responsible for any fees incurred from errors made while completing the airbill. These fees are not reimbursable project expenses.

Take the completed package to the local FedEx office, a FedEx drop-off location, or call FedEx to arrange for the package to be picked up (1-800-GOFEDEX). Never leave a package at the hotel or the facility for FedEx pick up unless it is left in an official FedEx drop box. It is better to take the package to the closest office or drop-off location. If the OS cannot get to one of these because of the interviewing location, please contact your FS for further instructions.

NOTE: The OS should use the FedEx labels that are prefilled with the return address for **Cheryl Uhrig** to return:

- Lists of Sampled Inmates
- Signed consent forms
- FI Daily Reports
- Unused materials
- Any extension cords that were shipped that week
- Facility Debriefing Form

NOTE: The OS should use the FedEx labels that are prefilled with the FS's address to submit:

- FI Expense Reports
- Receipts from the previous week for the last meal consumed while traveling.

Exhibit 12-5. Completed FedEx Label for OS to Use to Weekly Ship Materials to RTI

**FedEx** Package Express® **US Airbill**

**1 From** Sender's FedEx Account Number

Date

Sender's Name

Company

Address

City State ZIP

MUR 1

**FedEx Copy**

Packages up to 150 lbs. For packages over 150 lbs. use the FedEx Express Freight Airbill.

**4 Express Package Service** \* To most locations. \*\*NOTE: Services active has changed. Please adjust carefully.

**Next Business Day**

**06**  FedEx First Overnight  
Earliest next business morning delivery to select destinations. **Next business afternoon.** \* Saturday Delivery NOT available.

**01**  FedEx Priority Overnight  
Next business morning delivery to select destinations. **Next business afternoon.** \* Saturday Delivery NOT available.

**05**  FedEx Standard Overnight  
Next business afternoon. \* Saturday Delivery NOT available.

8033 8556 5341

0215 From ID No.

**2 Your Internal Billing Reference** 0212322 001 005 / CLUB

**3 To** Recipient's Name: CHERYL UHRIG  
Company: RESEARCH TRIANGLE INST GCP  
Address: 3040 CORMWALLIS RD  
City: RTP State: NC ZIP: 27709-0155

Phone: 919 541-8945

City State ZIP

Dept./Floor/Suite/Room

Use this line for the HOLD location address or for combination of your shipping address.

**5 Packaging** \* Declared value limit \$500.

**06**  FedEx Envelope\* **02**  FedEx Pak\* **03**  FedEx Box **04**  FedEx Tube **01**  Other

**6 Special Handling and Delivery Signature Options**

**10**  No Signature Required  
Package may be left without obtaining a signature for delivery.

**17 Payment Bill to:**

**01**  Direct Signature  
Someone at recipient's address may sign for delivery. **34**  Indirect Signature  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. **For applicable residential deliveries only. See applicable.**

**04**  No Signature Required  
All per attached Shipper's Declaration. **06**  Dry Ice  
Dry Ice, UR, IBC, or A. **kg**

**03**  Next Business Day  
Earliest next business morning delivery to select destinations. **Next business afternoon.** \* Saturday Delivery NOT available.

**02**  FedEx 2Day A.M.  
Second business morning Saturday delivery NOT available.

**03**  FedEx 2Day  
Earliest next business morning delivery to select destinations. **Next business afternoon.** \* Saturday Delivery NOT available.

**20**  FedEx Express Saver  
Third business day. \* Saturday Delivery NOT available.

**7 Payment Bill to:**

**1**  Sender  
FedEx Acc. No. I will be billed. **2**  Recipient  
Enter FedEx Acc. No. or Credit Card No. below. **3**  Third Party  
Enter FedEx Acc. No. or Credit Card No. below. **4**  Credit Card  
Enter Exp. Date. **5**  Cash/Check

Total Packages: Total Weight: Total Declared Value\*

Your liability is limited to US\$100 unless you declare a higher value. See the current FedEx Service Guide for details.

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## **12.15 Work Absences Caused by Sickness and Vacation**

If you must be absent from work for any reason, you should notify your field supervisor as soon as possible. If you become ill while working in a facility or staying at the hotel, please notify your OS and your FS as soon as possible. Your FS will work with the OS to devise a plan to cover your assignment.

If the absence is due to a planned vacation, please discuss this with your FS (not your OS) as soon as your plans are final and at least 4 weeks prior to your departure date. We are still scheduling the facilities so it is important to know when you are not available.

Because this pilot study is scheduled to last only 5 weeks, it is really important to let your FS know of any absences you have. If she does not know you are unavailable and she tries to contact you, you have 48 hours to respond to her. After 48 hours, Headway may consider you as abandoning your job. This could impact your ability to continue to work on this project and other future RTI assignments.

## **12.16 Field Accidents and Injuries**

If you are involved in an auto accident (whether injured or not), or you have any type of fall or accident while on the job (again, whether you were injured or not), you must contact your field supervisor as soon as it is practically possible. She will work with you to ensure that the accident is promptly and properly reported to RTI and Headway. It is important that the nature of the accident is reported to Headway within one business day if at all possible. Please note that Headway does not pay for a rental car if your personal automobile is damaged in an accident.

## **12.17 Headway Equipment Policy**

In order to conduct your work on the SPI-PS, you will receive a laptop computer. All equipment is the property of the federal government. The equipment issued to you is your responsibility, and it is expected that you will take necessary precautions to ensure its safety and continued functionality. When you receive your equipment at training, you will complete and sign an Equipment Agreement and Receipt Form, referred to as an EARF.

When you receive equipment and sign the EARF, you assume full and legal responsibility for taking reasonable and appropriate steps to safeguard this equipment against damage, loss, or theft. You are expected and legally responsible for taking good care of the equipment and taking steps to ensure the safety of your equipment.

What does that mean? Basically, be careful! Do not repeatedly jam cords into connectors causing damage. Do not leave your computer in your car in plain sight. Be sensible when working with your equipment in the field.

While it is understood that an occasional accident or event out of your control may occur, Headway has specific consequences for theft, loss, or damage beyond repair, including steps on the Headway disciplinary policy and required repayment of the approximate value of the equipment for repeated problems. These consequences are documented in the Headway/RTI Equipment Policy contained in **Exhibit 12-6**. **Exhibit 12-7** is an example of a Disciplinary Action Form.

You are provided with excellent equipment to use on the SPI-PS. You are responsible for the proper handling and care of this equipment. Should your equipment stop working, you may not swap equipment with other staff because each laptop is unique to a specific FI.

**Exhibit 12-6. Headway/RTI Equipment Policy**

**Headway/RTI Equipment Policy**

**Purpose:** To encourage Headway field staff to maintain adequate security, care, and responsibility for issued equipment and to document remediation processes in the event of lost, stolen, damaged, or otherwise unreturned equipment.

**Application:** The policy applies to any individual piece of equipment, as *identified* by the *project*, issued to the Headway employee. Fault or negligence is **irrelevant** in the application of the remediation process.

**Definitions:**

X *Equipment*—projects identify all items to be considered “equipment” subject to the terms of this policy. This typically includes electronic devices (e.g., computers, video and audio recorders, cameras, medical devices, measuring devices, etc.) as well as nonelectronic equipment (e.g., medical devices, measuring equipment, tools, luggage/containers, etc.). Projects should not list materials normally considered “consumables” such as forms, office supplies (e.g., pens, pencils, pads, clips, binders, tape, etc.).

Listing of the “equipment” and value must be documented using a current Equipment Assignment Receipt Form (EARF) as shown in *Attachment A (Exhibit 16.19)*.

X *Value*—equipment value is the **depreciated** value of an **individual** piece of equipment at the time the equipment is lost or damaged; it is not the replacement cost (unless the equipment is brand new when lost or damaged).

X *Limit of Liability*—Headway is responsible only for the cost of lost and/or damaged equipment identified under this policy. Headway and its employees are not financially responsible for any data, software, images, etc. that may have been loaded or otherwise entered into an electronic device that was lost or damaged under the purview of this policy. Further, Headway and its employees have no financial responsibility or liability for the labor associated with the loading or collection of the data, software, images, etc. This includes the labor costs associated with subsequent reloading or reproducing the lost data, images, and/or software. Finally, any costs associated with preparing and shipping replacement equipment to a Headway field staff member is the responsibility of the project, not Headway.

X *Occurrences*—remediation is applied to an “occurrence” of loss or damage regardless of the number of individual pieces of equipment affected.

X *Period of Remediation*—the count of occurrences will be tracked on a single project regardless of the chronological length of the field data collection period(s) as well as across multiple RTI-sponsored projects to which a Headway staff member may be assigned either simultaneously or in succession.

X *Clearing of Occurrence Count*—the count of occurrences (either 1 or 2) will be cleared after a period of 3 years (36 months) of no equipment loss or damage. This period includes any time that the staff member may not be working on an RTI-sponsored project.

(continued)

**Exhibit 12-6. Headway/RTI Equipment Policy (continued)**

- X NOTE: Clearing of the occurrence count will **not** be applied to anyone who was terminated (at either Occurrence 2 or 3). Anyone terminated for equipment loss may work **only** on future RTI projects that **do not** require the issuing of equipment as defined by this policy.

**Remediation:** In all occurrences the project staff must submit a completed Headway Disciplinary Action Form [*Attachment B (Exhibit 16.21)*] to begin the remediation process detailed below:

*1st Occurrence*

- X No remediation applied to the Headway field staff member. He/she will, however, receive a written notification documenting the occurrence and advising him/her of the consequences of any further loss/damage of equipment according to this policy.
- X Headway reimburses the "owner" (e.g., RTI or contract) for the depreciated value at the time of loss of the equipment OR actual cost of repair (whichever is less) within 30 calendar days of receiving the completed Disciplinary Action Form from the "owner."
- X The field staff member will not be required to repay Headway for any or all affected equipment.

*2nd Occurrence*

- X A written notice of probation or termination (depending on the circumstances) is issued to the Headway field staff member. [NOTE: Headway retains ultimate decision-making responsibility regarding terminations. They will consult with project management staff regarding circumstances and consider those in light of employment and EEOC regulations in making their final determination.]
- X Headway reimburses the "owner" (e.g., RTI or contract) for the depreciated value at the time of loss of the equipment OR actual cost of repair (whichever is less) within 30 days of receiving the completed Disciplinary Action Form.
- X The Headway field staff member will be required to repay the depreciated value at the time of loss of the equipment OR actual cost of repair (whichever is less) to Headway. [NOTE: If a field staff member on probation fails to repay Headway, Headway may terminate the employee for cause at their discretion. They will notify project staff in advance of the impending action.]

*3rd Occurrence*

- X A written notice of termination will be issued to the Headway staff member.
- X Headway reimburses the "owner" (e.g., RTI or contract) for the depreciated value at the time of loss of the equipment OR actual cost of repair (whichever is less) within 30 days of receiving the completed Disciplinary Action Form.
- X The Headway field staff member will be required to repay the depreciated value at the time of loss of the equipment OR actual cost of repair (whichever is less) to Headway.

(continued)

**Exhibit 12-6. Headway/RTI Equipment Policy (continued)**

**Subsequent Recovery of Lost or Stolen Equipment:**

- X In the event that lost or stolen equipment (for which Headway has already reimbursed the "owner") is subsequently located and returned, Headway will invoice the "owner" to recover the full amount originally reimbursed.
- X Recovery and return of equipment will clear the "occurrence" from the field staff member's record.

**Grandfathering Prior Losses:**

- X This policy supersedes all prior Headway AND project-specific equipment policies that were applied to Headway employees.
- X Any prior "occurrences" of lost or damaged equipment documented under a now superseded equipment policy DO carry over to the new policy. For example, anyone having a first occurrence under a prior policy will still have one occurrence on record under the new policy. A second loss of equipment will be remediated as described herein under "2nd Occurrence."

**12.18 Returning Your Computer at the End of Data Collection**

It is crucial that you return your laptop as soon as you are done with your assignment. In order to do this:

1. Your FS will request that a FedEx computer suspension box be sent to you. RTI can ship you the box for the same cost of you going to get one. So, please do not go purchase your own suspension box.
2. Contact your FS for instructions on how to properly place the laptop in the box.
3. You will return the laptop in the box we provide and ship it to RTI via FedEx to:

FTSG  
RTI – One North Commerce Center  
5265 Capital Blvd  
Raleigh, NC 27616  
919-248-4525

You should have saved the FTSG pre-printed airbill that you received at training. Your training instructor requested that you place it in a pocket of the carrying case. If you no longer have the FTSG pre-printed airbill, please let your FS know. He/she will help you get another airbill.

Please enter the insurance amount in Box # as \$1000.

Include in your shipment your laptop, power cord, laptop bag, bag strap, phone cord, and blue cleaning cloth (if it was included when you got the computer).



Be sure to keep the top copy of the airbill for your records. This way, you have a record of the tracking # and shipment date in case your laptop is not received at RTI.

When you do ship back your equipment, please notify your FS that you have shipped the equipment. Please tell him/her the date you shipped the equipment and the Airbill Tracking # (the 16-digit # at the top of the airbill).

**Exhibit 12-7. Headway Disciplinary Action Form**

All projects  
09/2003

**EMPLOYEE DISCIPLINARY ACTION FORM**

Complete **all** requested information, then send this file via e-mail to your immediate supervisor and/or project designee. Your immediate supervisor or project designee should then forward the completed file to [HeadwayHR@RTI.ORG](mailto:HeadwayHR@RTI.ORG) for processing and distribution. Include in the text of your e-mail any changes in the letter that are specific to this FI.

It should be noted that while Headway requests input from the employee's immediate supervisor, as well as the project, we reserve the right to make any final decisions regarding the discipline of our employees.

- Type information in the fields below. Fields and Rows will expand, and text will wrap to next line as needed.
- To advance to the next field, press the Tab key. To return to previous fields, hold down the Shift key and press the Tab key.
  - To check or uncheck a box, advance to the box using the Tab key, then press the spacebar.

Employee Name:	Employee ID Number:

Project Name:	Project Number:

Supervisor Name:	Date:

Type of Disciplinary Action ( <i>check ONLY one box</i> ):		
Warning:	Probation	Notice of Separation of Employment
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Nature of Violation ( <i>check all that apply</i> ):	
Policy / Procedure Violation:	<input type="checkbox"/>
Inadequate Production:	<input type="checkbox"/>
Other:	<input type="checkbox"/>
<i>(If "Other," specify):</i>	

Company Remarks:
<p>Enter specific information below regarding the problem. For example, if you are advising an employee regarding his/her failure to work 20 hours per week, include the last 2-3 weeks' hours. If you are advising an employee regarding his/her production levels, include the averages for the employee and the region or nation to demonstrate the need for improvement. The field will expand and text will wrap as needed.</p>

(continued)

**Exhibit 12-7. Headway Disciplinary Action Form (continued)**

<p>Corrective Action To Be Taken:</p> <p>Enter specific information below regarding the corrective action. For example, FI needs to work a minimum of 20 hours per week with a minimum of 4 hours per field visit.</p>			
<p>Consequences:</p> <p>Example: FI may be placed on probationary work status or released from assignment.</p>			
<p>Deadlines:</p> <p>Example: Failure to demonstrate improvement within one week may result in further disciplinary action.</p>			
<p>Information for Letter:</p> <p>Enter information for the letter in the fields below.</p> <p>The text of the Employee Disciplinary Action letter is shown at the bottom of this form. To view the letter you must scroll down using vertical scroll bar at the right of the screen. Indicate in your cover e-mail if changes should be made to the text of the letter that are specific to this situation or employee.</p>			
<p>Mr.</p> <p><input type="checkbox"/></p>	<p>Ms.</p> <p><input type="checkbox"/></p>	<p>Employee First Name:</p>	<p>Employee Last Name:</p>
<p>Supervisor's Name:</p>		<p>Project Designee's Name:</p>	
<p>_____ Signature, Don Davis Headway Human Resource Manager</p>		<p>_____ Date</p>	

## 12.19 SPI-PS Procedures

Because working in a prison presents many challenges to data collection, RTI has developed a list of tasks FIs are expected to complete.

### SPI-PS PROCEDURES

#### Travel Day (Monday)

- A. Transmit to pick up the List of Sampled Inmates for the next week's facility. Check your OS printer utility to confirm that you have successfully received your List— **BEFORE you begin to travel to the hotel...Do this at home. You may not be able to transmit successfully from the hotel, so it is better to do this before you depart.**
- B. Travel safely to the hotel, allowing enough time to arrive at the hotel, check in, and prepare to attend the mandatory Pre-Data Collection Team meeting.
- C. Set your alarm for the next morning, so you are not late!

#### The Interview Process—Day 1

- A. Ensure that you disabled the wireless connection capability.
- B. Ensure that you have no previous cases on your CMS grid. If you do, please confirm the final codes are entered and transmit BEFORE you get to the facility.
- C. Ensure that you have set the interviewing mode to "Real Cases" to ensure that you do not complete interviews in "Training" Mode.
- D. Get Data Collection Folder with the hard copy (paper) list of sampled inmates and supplies from OS.
- E. Be on time, with all supplies and equipment, dressed according to facility requirements, to meet your team so that you can travel to the facility.
- F. Bring any required ID. Leave anything you don't need in your hotel room or trunk.
- G. Follow all check-in procedures exactly. Allow the OS to speak to the facility staff, as the OS is the team's (and RTI's) representative.
- H. Attend any facility-led orientation, if applicable.
- F. Allow OS to inspect room to ensure privacy requirements are met.
- G. When inmate first enters, check his/her name and birth date or Inmate ID on the List of Sampled Inmates to verify you are speaking to the right person.
- H. Hand the inmate the 3<sup>rd</sup> person version of the consent form. Then you will read the first person version of the form to the inmate. Be sure to read the additional information – this makes sure the inmate understands what the study is about. If the inmate agrees to do the interview, you sign the paper consent form, enter your RTI ID number, the current date, and put a check in the box on the consent form.
- I. Generate the Case ID in computer. **Double check that you are in real cases and have entered the correct Case ID number before you press the Interview button to assign the inmate to the Case ID. Do not pre-assign the ID until the inmate agrees to do the interview.**

- J. If the inmate agrees to the interview and appears able to complete the interview, proceed with the questions. If the facility allows it, give the inmate the small snack (this snack must be consumed before the inmate leaves the interviewing room). Retrieve the wrapper and place in your trash bag.
- K. Be sure to carefully read all questions aloud to the respondent, following all screen instructions and using all professional interviewer techniques to obtain the best, most accurate responses.
- L. At the end of the interview, thank him/her for participating, and give him/her a copy of the contact information (if he/she wants it). After the inmate has left the room, complete the debriefing section of the questionnaire.
- N. When you complete the interview or a break-off occurs for any reason, enter the correct code on your paper List of Sampled Inmates and on the FI Daily Report. Always complete a DR/I/BO report for every break-off.
- O. Completed interviews and completed break-offs will automatically be coded in the CMS.
- Q. If for some reason you cannot do the interview (Refused, Transferred, Released, Language Barrier, Underage, Mentally or Physically Incapable, Unavailable, or Temporarily Impaired), record the correct code on the hardcopy list of sampled inmates, enter the code in the CMS, and record the code on the FI Daily Report.
- R. Cases not coded as complete (i.e., unavailable or temporarily impaired inmates) should be the first ones you call for the next day, in their original order listed on the paper list of sampled inmates. If the inmate is still unavailable/unable to complete the interview, enter another event code so that there is a record of each attempt made to contact them.
- S. Enter the Case ID that begins with S, the Inmate ID and initials, and code on the FI Daily Report.
- T. Remember to report DR/I, transferred inmates, and any errors on the FI Daily Report.
- U. Report any distressed inmate/s or incidents to your OS. Review **Section 3.11** for specific information about what constitutes either of these situations.

### **End of Day 1**

- A. Check your paper list of sampled inmates against your computer and your FI Daily Report. Correct any differences. It might be helpful for you to check someone else's paperwork, since a fresh set of eyes may catch errors.
- B. Be sure to report any coding errors that were made that day to your OS: either wrong codes, that you were unable to update, assigned to the right inmate or the right code assigned to the wrong inmate.
- C. At the end of the day, prepare your Data Collection Folder which includes: a completed and accurate FI Daily Report, a completed and accurate paper list of sampled inmates, signed consent forms, and any index cards, to give to your OS at the end of the day team meeting.
- D. Follow any facility check out procedures (be sure to pick up your driver's license if you had to turn it in during check in).

- E. Attend a brief team meeting to submit your paperwork, update the OS on any issues and get information for meeting the team the next morning. Replenish any needed supplies (consent forms, cookies, trash bags, contact cards, etc.) from your OS.
- F. Transmit as soon as possible each evening.
- G. After transmitting, check your CMS and make sure all of the cases that were either CAPI completes or Break-offs were removed. If not, transmit a second time. If they are still there after the second transmission, report each case ID and corresponding event code to your OS, who will then report it to your FS.
- H. Update your expense report and your working copy of the PT&E.

## **Start of Day 2**

### **Meet your team on time, ready to go to the facility for the day.**

- A. Obtain your Data Collection folder in preparation for the day.
- B. Confirm that you have disabled/turned off the Wireless transmission switch.
- C. Note if there are any cases you can final code if you have down time during the day.
- D. Proceed with the steps from **Day 1**.

## **Final Day**

- A. Follow the same **End of Day 1** steps.
- B. Turn in unused consent forms and other materials to your OS.
- C. Give your completed expense report, with lodging and meal receipts included, to your OS.
- D. Do a final transmit and check that you received a successful transmission log and that your Completes, Break-offs, and final codes are no longer in your CMS. If not, transmit a second time. If they are still there after the second transmission, report each case ID and corresponding event code to your OS and your FS.

## **Over the Weekend**

- C. Complete your ePTE and transmit no later than **Sunday at 10:30 PM EST**. Only the following items should be entered on your ePTE. You should record the hours worked daily on your working (hard copy) paper PTE and transfer the data when you are ready to transmit your ePTE.
  - a. Section B—Production
    - i. Enter the total number of completed *interviews* each day (Code 200s).  
**Please remember to enter this information daily.**
  - b. Section C—Time
    - i. **Travel:** Time it takes to drive from home or the motel to the facility and back. Also include the time it took to travel from home to your motel at the beginning of an assignment and to return upon completion of your facility.

- ii. **Interviewing:** Record the time you spend interviewing until you leave the facility, minus time spent eating meals. Also include in the Interviewing column:
    1. Time spent waiting for inmates to arrive once called or down time during short (less than 1 hour) counts or lockdowns.
    2. Time spent editing event codes while in the facility.
  - iii. **Other:** Wait time on the **first** day during the check-in process at the facility and time spent completing an orientation, if required, should be included here. Time recorded under Other always requires an explanation in the Notes section. Also include in the Other column:
    1. Transmitting time.
    2. Disruptions to data collection in a facility that last 1 hour or more, including counts or lockdowns (with a note to explain the disruption).
  - iv. **Editing: Only** record time here if you edit documents and paperwork or add codes to the CMS **after you have left the facility**. RTI expects that you will be able to keep updated records in the CMS, on the List of Sampled Inmates, and FI Daily Report throughout the day and will not charge editing time in the evening to complete this task.
    1. The majority of editing should be done in between interviews or during down time (i.e., waiting for inmates, during counts, etc). Only the OS should have editing time after leaving the facility.
    2. **Example of correctly entering your editing time while working in the facility**—you work 9 hours at the facility. During this 9 hours while in the facility, you spend 1.5 hours editing your forms and entering them into the CMS. You would enter 9 hours interviewing and 0 hours editing.
  - v. **Conference:** Time spent meeting with your OS (OS conferences at the end of the day should take no more than 15 minutes, on average) or conferencing by telephone with your FS, plus any time required in preparation for these calls, meetings, etc.
- c. Section D—Expenses
- i. **Miles Driven** is the total miles driven each day on project business (rounded to the nearest mile). If you are riding with a team member, you **cannot** charge miles on the ePTE (you can only submit the appropriate travel time).
    1. If you have been provided a rental car, you can claim fuel costs with an attached receipt. Do not charge miles in this instance.
    2. If you ride with another FI, you may charge travel time, but not mileage.
  - ii. **Misc Expenses** that are under \$25.00 should be included on the ePTE with a note explaining the charges. Expenses should never be submitted on both the hard copy (paper) expense report form and the ePTE.

## 12.20 Disposition of Materials

SPI-PS uses a variety of materials. The table in **Exhibit 12-8** details what materials are used and what should be done with them at the end of data collection at a facility.

**Exhibit 12-8. Materials Disposition Information**

<b>Form</b>	<b>What does it do?</b>	<b>Where does it go?</b>
List of Sampled Inmates	Lists inmates in sample; used to keep track of result codes for entry into computer.	OS collects and sends to RTI.
Consent form	Explains study to inmate.	Send signed copy to RTI, give copy to inmate if he/she wishes.
Laminated Consent Forms	Has consent language in 1 <sup>st</sup> person ("I" instead of "the interviewer"), contains additional text to make sure the inmate understands the consent form	FI retains these copies until SPI-PS assignment ends.
Contact information card	Gives inmate information about where to contact someone if he wants more information about the study.	Give to inmate if he/she wishes.
Index cards	List names of inmates in sample—give to COs.	OS collects and sends to RTI.
FI Daily Report	Keeps track of FI's work each day.	Give to OS at the end of the day.
OS Daily Production Report	Documents the daily production of each FI working, reports any coding errors, distressed respondents, and incidents	OS will email this to the FS nightly, BEFORE a quick call to the FS.
OS Facility Debriefing form	Reports on how data collection went at facility. Form is completed by the OS.	Place in marked manila envelope and return with supplies at end of data collection at facility.
DR/I Report	Collects information about distressed respondents, incidents, or break offs at facility.	Give to OS at the end of the day so she can report to FS.
Working PT&E	Used to keep track of time prior to entering it in ePTE.	Keep for files.
Expense Report	Used when traveling or incurring any expense that needs to be documented.	OS will collect and send to FS.
FedEx airbill—to Cheryl Uhrig	Used to send lists of sampled inmates, consent forms, and FI Daily Reports and unused supplies back to RTI.	OS uses
FedEx airbill—to FTSG	Used for shipping laptop back to RTI.	FI should store in carrying case when it is received at training.
FedEx airbill—to FS	Used for shipping expense reports	OS.



**Appendix A**  
**Consent Forms**