MANUAL FOR INTERVIEWERS

...OF THE

SURVEY RESEARCH CENTER
UNIVERSITY OF MICHIGAN

ANN ARBOR, MICHIGAN

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September, 1954

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FOREWORD

The field work you are doing with the Survey Research Center is quite different from any other kind of work. The techniques you employ are different, and, in many respects, the working conditions themselves are different. This inevitably means that the problems of administering the work will differ greatly also.

While you will be visited from time to time by a Traveling Supervisor, to a great extent you will be on your own. In this connection, this Interviewer Manual is designed to give you the basic principles and procedures of our work which you will need in order to keep your part of the operation going smoothly and effectively.

Our organization is devoted to gathering and studying information about important problems of the day. As a member of the Center staff, you are taking part in an endeavor which is pertinent not only to many immediate public problems, but also to the more basic goal of clarifying human behavior and the ways in which people can live together more happily and effectively.

The foundation of the work of the Center is its interviewing staff. Much of the progress we have made in survey work and in securing the support of the public is possible only through the fine work and cooperation of our interviewers. If our studies are to be accurate and socially useful in the future, there is a real responsibility placed on you to apply interviewing and sampling techniques with care.

We hope that you will find this Manual interesting and helpful, and that you will refer to it frequently during your career as an interviewer. And we hope that you will enjoy your work with the Survey Research Center. We feel that we are undertaking important research problems. We know that you, too, will find the work stimulating and rewarding.

This manual is the product of the work, experience and thoughts of many people. Those who have contributed greatly are the regional supervisors: Marian Brody, Elizabeth Cain, Mina Hockstad, Lillian Kleinberg, Elsie McKenzie, Goldina Powell, and Chloie Sergeant.

In the office many suggestions were made, particularly by Esme MacKinnon of the Field Office, and Leslie Kish and Jane Williams of the Sampling Section. Since the material for the manual has been developed over several years some who made significant contributions have left the Center, James Culp, Dorothy Fredenhagen, and Robert Peebles made great contributions.

The final preparations of the manual was made by Lyons M. Howland under the general direction of Charles F. Cannell, Head of the Center's Field Staff.

Ann Arbor, Michigan
September, 1954

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GENERAL INFORMATION ON SURVEYS

AND THE WORK OF THE CENTER

CHAPTER I

THE SAMPLE SURVEY: WHAT IT IS AND HOW IT IS USED

This first chapter contains general information about sample surveys and some of the ways in which surveys are being used by the Survey Research Center and other organizations. The discussion will help you understand the usefulness of surveys and the applications to which they are put; it will also provide you with information which is useful in answering respondents' questions.

WHAT IS A SAMPLE SURVEY?

Speaking broadly, a sample interview survey is a systematic procedure used in the collection and analysis of facts about a population. The procedure involves interviewing a sample of people representing the population under consideration; the facts obtained are put together in an organized way so that conclusions can be drawn from them. The information is used in the solution of some particular problem or to add needed information about the problem to what is already known. Skillful interviewing procedures are used to ensure full and accurate information. Careful sampling procedures are followed so that the facts gathered from the sample of respondents can be confidently used to represent the facts existing in the total population. The use of a sample makes it possible to avoid the very expensive and time-consuming procedure of taking a Census (a complete accounting of everyone in the population being studied).

Needless to say, the survey technique is used when the desired information cannot be more accurately and less expensively obtained in other ways. For example, it would be very inefficient to conduct a sample survey to determine the number of passenger cars in use in the U. S. A study of the files of the state licensing bureaus can provide such information much faster and in a more reliable way. On the other hand, there are many types of information for which we would need a survey; for example, no information is available from any records on the occupations, intentions, habits, or other characteristics of automobile owners. Information such as this must be obtained through some sort of direct contact with the persons involved.

The Content of Survey Questions

The survey method is applicable to a wide variety of problems in many fields. Its capacity for wide application is indicated by the varied types of information which may be gathered through this technique. The content of survey questions may be roughly divided into four groups:

1. Data About Respondent's Behavior. Many survey questions deal with the actions or behavior of respondents in varied fields of human activity. In the economic field, for example, spending and saving have been intensively studied in surveys. In other areas, the respondents' behavior with regard to voting, reading, visits to physicians, geographical movements and other activities are the subjects of survey questions.

2. "Psychological" Data. This includes questions about the respondents' opinions, attitudes, past experiences, expectations and the amount of information he has regarding the subject of the survey. This type of information includes many of the most interesting questions available to researchers. It is also the area in which there is least likely to be data available from non-survey sources.

3. Data About Respondents' Environment. In many surveys it is important to know certain facts regarding the circumstances in which the respondents live. This might include information about the local neighborhood, the adequacy of the living quarters, etc.

4. Personal Descriptive Data. Surveys often include questions regarding the sex, age, occupation, education, nationality, and many other personal-social characteristics of the respondents.

Using Survey Information

Having gathered these kinds of information, the surveyor is then in a position to analyze the information and investigate the problem at hand. He will no doubt be interested in such questions as: "How many", "Who", "How", and "Why". A survey on the use of public libraries might help answer the following kinds of questions:

How many people use a public library more than five times a year?

Who are the people who tend to use public libraries (i.e., their age, occupation, education and other characteristics)?

How do people make use of a public library (pleasure reading, reference, etc.)?

Why do some people use libraries, while others do not?

It will be evident that the answers to questions like these would be of interest to a variety of persons. For example, this kind of information would be of use to librarians, educators, publishers, and to others interested in the practical problems of improving public library facilities. This type of survey might also be of use to theoretical researchers interested in studying, for example, the manner in which the public is reached and influenced by information from various sources (the study of "Mass Communication").

TYPES OF SURVEY ACTIVITY

A survey of library use is only one example of the many topics which may be studied through the survey method. Today, the survey is being used to advantage on many different fronts, including opinion polling, market research, government surveys and social research. These types of survey activity, and the various ways in which they are used, are described briefly below.

The Public Opinion Poll

The polls are perhaps the most well-known branch of the survey field. As survey organizations which study topics of popular interest, the polls are outgrowths of "straw" or informal votes conducted by newspapers for the purpose of forecasting elections as early as 1824. During the 1930's, a number of independent polling agencies were organized (e.g., the Roper and Gallup polls), and since that time have polled public opinion on the elections, and on specific issues of interest to newspaper and magazine readers and other segments of the population. One of the contributions of the straw vote and of the later polling has been their success in arousing popular interest in survey work.

The Market Research Survey

Another type of survey activity is the work being done by business in the broad area known as consumer market research. Each year, thousands of surveys are carried out by market research groups to determine consumer requirements for various goods, and the effectiveness of marketing programs. Market surveys are focused on such problems as: determining the attitude of consumers toward products on the market; studying the demand for various products; surveying the unsatisfied needs of consumers, etc. Work in the market research field has helped bring manufacturers closer to the needs of the consumer, and has again contributed to public acceptance of results based on interviewing small samples.

Government Surveys

Government surveys, in a sense, are an old idea. From the earliest times, governments have taken inventories of their human resources for taxing, military, legislative and other purposes. In addition, democratic procedures in government brought forth a new need -- the need for better communication between the people and their officials. Through the development of sampling and other survey techniques, it is now possible to obtain with relative ease an accurate miniature of the total population. Thus, in a sense, it is possible to convene the entire citizenry of the country and to get information about public opinions, desires and problems, with an ease never dreamed of by the framers of the Constitution. Today, various government agencies conduct or sponsor a wide variety of surveys designed to measure public opinion and to gather statistics about the various segments of the population.

The Social Survey

An important area of survey activity is the social survey which is used to gather information about the social and economic conditions of the population, or segments thereof. In the main, social surveys are an outgrowth of the European social reform movements in the 19th century. In France, England and other countries, philanthropists and others interested in social welfare were beginning to study prison conditions, treatment of mental patients, poverty and other social problems. These early studies were grounded on the idea that until the size and nature of these problems could be measured, very little effective action could be taken to improve conditions. The social scientists of the day, being interested in studying the nature of man and the workings of society, were also beginning to see the need for systematic information about the behavior and conditions of various parts of the population.

The European survey movement rapidly spread to the U. S., especially after 1900. The presence of many national groups in this country and the special social problems of large cities provided an obvious field of work. Since 1915, the number of social surveys has increased by leaps and bounds. These surveys dealt with a large number of topics, including public schools, care of mental patients, housing, public health, crime, and others. In recent years, the Depression and two World Wars, which produced many nationwide social and economic problems, were factors in the development of the social survey movement.

Needless to say, survey procedures in earlier days tended to be haphazard and impractical. Over the years, through experiment and experience, researchers have developed more scientific and systematic methods. Developments in social science and statistics were especially instrumental in speeding this progress. Researchers came to realize that it was possible to make reliable estimates of conditions in large populations from careful observations of relatively small numbers. Indeed, the social survey has come a long way from the unscientific methods which typified the work of the first surveyors.

The Survey Research Center Survey

Various fields of survey activity have been briefly mentioned above. Here, one may ask: In what branch of the survey field does the work of the Center belong? This question is somewhat difficult to answer because the various branches of survey work overlap to some extent. (For example, the subjects of some government surveys can be said to belong to the social survey field.) We can answer this question better by looking at the objectives of the social survey. Put in broad terms, the social surveyor seeks to obtain information about the population (or parts of it) in order to fulfill two objectives:

1. To aid in the solution of practical problems of public import, and

2. To expand our basic knowledge of human beings and the society in which they live.

These two objectives are part of the basic objectives of the Survey Research Center. The usual Center study is undertaken to gather information which can be applied to the problems of policy planners in government, labor, industry and community organizations. The Center survey also is designed to foster theoretical research in the social sciences. This means that the Center survey is a matter of problem solving and academic research rather than of idle curiosity. It also means that the Center must use careful survey methods if it is to adequately fulfill these two important objectives. Following chapters will discuss in more detail the objectives and methods of our organization.

CHAPTER II

THE SURVEY RESEARCH CENTER: ITS WORK AND GOALS

The Survey Research Center, together with the Research Center for Group Dynamics, comprise the two divisions of the INSTITUTE FOR SOCIAL RESEARCH. The Institute is a research branch of the University of Michigan. Its basic goal is to increase our understanding of social behavior through the utilization of scientific methods. Underlying this goal is the faith that scientific methods can make a major contribution to knowledge about social affairs and to human welfare. The work of the two research centers is based on this idea.

The Survey Research Center was established by the University of Michigan in 1946 to fulfill four major objectives:

1. Promote and carry out research in the social sciences.
2. Provide advanced professional training for researchers.
3. Conduct research for the improvement of research methods.
4. Cooperate with other branches of the University through exchange of personnel for research, consultation and teaching.

In this chapter, we will briefly describe some of the activities of the organization to acquaint you with the purposes and functions of the Center's work. This information is not only of general interest to the interviewer, but will also help you to answer respondents' questions and to carry out more effectively the other aspects of your job. Let us first describe the Center's program of studies.

THE CENTER'S SURVEY RESEARCH PROGRAMS

During the years of its operation, the Center has conducted a large number of surveys on various psychological, sociological, economic and political problems. Some of these surveys have been of nation-wide scope involving thousands of respondents, others being restricted to special groups within the population. Studies are usually undertaken with the sponsorship of governmental agencies, private business organizations, and foundations. In some cases studies have been instituted at the request of an outside agency; in some cases on the initiative of the Center itself.

The Center undertakes only those projects which meet the following requirements:

1. The project must be clearly in the public interest.

2. The project must give promise of increasing our knowledge of people, their attitudes, behavior, or conditions of life.

3. The project must come within the scope of the Center's research competence.

4. The Center must be permitted substantial freedom in the design of the study and the publication of the results.

The Center's survey program is divided into three research areas which are briefly described below.

Economic Behavior

The oldest of the Center's research programs is that which deals with economic behavior and attitudes. These surveys are concerned with studying the major economic decisions made by consumers and businessmen. The program was undertaken in the belief that peoples' information, attitudes and expectations influence their economic behavior, and that interview information of this type from a sample of consumers or businessmen can throw much light on past and coming economic trends. Information about the economy from other sources - incomes, assets, debts, prices - can thus be supplemented by sample interview information on psychological and sociological factors.

The major economic surveys of the Center are a series of annual studies known as the SURVEYS OF CONSUMER FINANCES, conducted for the Federal Reserve Board. The major findings from this survey are reported each year in the Federal Reserve Bulletin. The Surveys of Consumer Finances enable the Federal Reserve Board to publish annually statistics about the distribution among American families of incomes, of major assets and debts, of amounts saved and spent on durable goods. Information is also published on financial attitudes, intentions to purchase houses and durable goods, and on other topics. The surveys are meant to have immediate practical uses, and at the same time, they aim at contributions to our general knowledge of economic behavior.

Further surveys concerned with respondents' economic decisions have been carried out on a variety of purchases (e.g., one-family houses, life insurance, U. S. government savings bonds, and common stock). The Center has also conducted a series of nationwide surveys on attitudes toward inflation, spending and saving. These surveys were intended to be of practical assistance to the U. S. Treasury Department, and other public and private agencies. At the same time these studies serve to broaden the social scientist's knowledge of economic behavior and attitudes. The program activities are directed toward a better understanding and prediction of economic fluctuations (inflation, economic upswing, etc.)

A test of the practical usefulness and theory of the Economic Behavior Program is made when economic trends underwent a substantial change. For example, early in one year when industrial production started downward (1949), most experts and forecasters were predicting that consumer buying would go down. However, data from our Survey of Consumer Finances indicated a continuation of large-scale consumer purchases. This, in fact, turned out to be the case. Early in another year at a time of scare buying and price inflation (1951), the Survey of Consumer Finances data pointed toward a reduction in the rate of consumer purchases; subsequent developments confirmed this finding.

Attitudes and Behavior in Public Affairs

The study of the viewpoints, values and behavior of the American people as citizens is of great interest to the Public Affairs Program, a second research program of the Center. One of the first studies by the Center inquired into public understanding and evaluation of the nation's foreign policies. A number of other studies have been carried through in this broad area. These surveys were not designed as polls, simply to count up the "Ayes" and "Nays" on current questions, but rather as intensive investigations of the terms in which political affairs are seen by people in this country, their sources and levels of information, and the background of values and beliefs in which their attitudes are formed.

Another series of studies in this program has dealt with voting. In 1948 the Center carried out a national survey to illuminate certain aspects of the presidential vote of that year. Several publications in this area have come from the Center. In 1952, the Center started a two-year study of the popular vote in the 1952 presidential election. This study was undertaken through a grant from a private philanthropic foundation, the Carnegie Corporation. The project represented the most intensive study of a presidential popular vote undertaken by any survey research agency up to that time. It was designed to investigate the major forces which appear to have influenced individual voting behavior.

A third area of interest in this program is the study of "mass communication"- the processes through which the public is reached and influenced by information from various sources. Virtually all the surveys concerned with public perceptions and values include data on this problem. One special study of mass communication has been undertaken; this study was concerned with the audiences reached by the principal information media (newspapers, radio, libraries, etc.), with special emphasis on the public use of libraries.

In addition to studies in these three areas, there have also been a number of individual projects falling within the general scope of this program. For example, a project was carried out for the Atomic Energy Commission to determine the concepts and attitudes of people living in areas adjacent to large atomic energy installations. A series of studies for the Federal Civil Defense Administration gathered information on public understanding of problems of civil defense and of public participation in civil defense activities. A grant from the General Motors Corporation made possible a survey of public ideas on the role of large corporations in the nation's economic and political life. A comprehensive study of the nation's adolescent boys with attention to their activities, interests, plans and problems has also been a focus of study for this program.

Human Relations and Social Organization

A third research program of the Center, the Human Relations Program, is devoted to studying the principles underlying group behavior and functioning. The purpose of the program is to study various kinds of social groups with the aim of discovering the conditions under which groups of people work together effectively, and of finding out what factors bring about the highest satisfaction and morale of group members.

Although the program is planning to do research in a variety of social groups, initial surveys have been done among employees in industrial and office settings. The organizations studied include a large insurance company, a railroad, several union locals, and other organizations. Each successive study has been designed to extend or verify findings from prior studies. The findings of this series of studies are of wide-spread interest to industrialists, labor unions, social scientists, administrators and others. The program, which was initially made possible by a grant from the Office of Naval Research, has received continued support from that source as well as from business organizations and research foundations.

An interesting example of research in this program is a study which was conducted in a public utility corporation. The study involved the collection of information from all of the company's more than 10,000 employees, including personal interviews with a number of rank and file employees and with all personnel engaged in supervision or management. These data made possible an intensive analysis of factors involved in worker morale. The Center and public utility have also cooperated closely in utilizing the survey findings.

The Center's principle purpose in these studies has been the advancement of scientific knowledge. In all projects in industry the Center has taken specific measures to maintain its impartial position in regard to labor and management. The major findings of all studies are published and are of use not only in enlarging our knowledge of group behavior, but in providing practical information which organizations can use in improving their functioning.

CENTER FINANCIAL SUPPORT

The Center is supported by funds from four sources:

1. Government agencies.
2. Business and industrial organizations.
3. Research foundations.
4. The University of Michigan.

In addition to the funds received from these sources, the Center (Institute) receives other support from the University in the form of office space, building maintenance, library services, and administrative services.

All study proposals, contracts, and expenditures are controlled by the Board of Regents of the University, (through the officers of the University and through the Executive Committee of the Institute for Social Research). Direct control over the nature of our research and other objectives rests with the Executive Committee of the Institute. This committee, composed of faculty members appointed by the Board of Regents upon nomination by the President of the University, reviews all activities and research proposals of the Center, and gives counsel in the planning of long-term objectives.

STUDY OF RESEARCH TECHNIQUES

In an effort to improve its surveys and to contribute to our knowledge about survey methods, the Center each year conducts a number of studies on research techniques. These studies are done by the Center both on its own, and in cooperation with other research organizations (e.g., the U. S. Bureau of the Census). The research in this area has dealt with various phases of the survey process (see Chapter III on "How a Survey is Made"). Some of these studies have been concerned with such topics as:

1. Consistency of report in repeated interviews.

2. Effect of interviewer attitudes on interview results.

3. Comparison of results obtained by different types of questionnaires.

4. Factors influencing respondent refusals.

Many of the studies of methods have been done as by-products of larger surveys. Funds for their support have come in part through research foundations. In large part, however, their cost has been absorbed in the general operating expenses of the Center. In any event, the Center is committed to the belief that the continuing study of methods is essential to the life of a research organization.

TRAINING RESEARCH SPECIALISTS

One of our major objectives is to help the various departments of the University provide professional training to persons entering the social sciences. Each year members of the Center staff present a number of courses in various social science departments and professional schools of the University. These courses deal with various aspects of research and survey methods, and are open to all qualified students of the University. In addition, the Center offers each summer special courses in survey research for the benefit of people in business, government, universities or other agencies.

On-the-job training is also offered by the Center. A number of junior positions on the Center staff are open to qualified persons who are enrolled in the professional schools and departments of the University. These people receive day-to-day experience with survey procedures which supplements the training they receive in their formal classes.

PUBLICATION AND CONSULTATION

If the greatest benefit is to be gained from research, findings and methods must be made available to other researchers and to community leaders who can use the information in the solution of social problems. In this connection, we maintain a program of publication, exchange of information, and application of research findings to community and public problems.

The Center makes its methods and findings easily available to other researchers and to leaders in government, labor, business, industry and other interested groups. As a matter of policy it publishes all its major findings and research methods; these reports are available to the public. Reports of findings also appear in a number of scientific and professional publications. Several magazines of nationwide circulation have featured articles describing the work of the Center, as have various trade publications and newspapers throughout the nation. Center staff members are also active in professional societies, and frequently present findings at meetings of these groups as well as meetings of various community organizations.

The Center also cooperates with other researchers and with outside organizations through exchange of consultation and advice. A number of persons come to the Center each year for consultation and also to utilize briefly the facilities of the organization. Staff members are occasionally made available to other research agencies to assist in planning of projects.

ORGANIZATION OF THE SURVEY RESEARCH CENTER

The General Staff

The work of the Center is organized into the three research programs discussed above. These programs are each under the general direction of a Program Director. Each program includes several, separate research projects, each under the direction of a Study Director. Within each program, there are in addition, Assistant Study Directors, Research Assistants, and clerical personnel. In addition to the staffs for each research program, there is, of course, the Field Staff, and three other sections which provide the services of sampling, content analysis (coding), and office services.

The senior staff members are, with few exceptions, engaged full-time in the research and teaching activities of the Center. The junior research staff is composed for the most part of advanced graduate students and those who have recently completed their formal scientific training. There is also a clerical and administrative staff, and a staff of experienced coders available for part-time services for each survey.

The Center is housed in the Institute for Social Research Building at 1135 Catherine Street in Ann Arbor. The building is near the main campus of the University.

The Field Staff

The field section is responsible for the collection of the survey data. This section consists of a headquarters Field Office in Ann Arbor; a national staff of interviewers who reside in the interviewing areas; and a staff of regional supervisors who are responsible for the hiring and training of the interviewers.

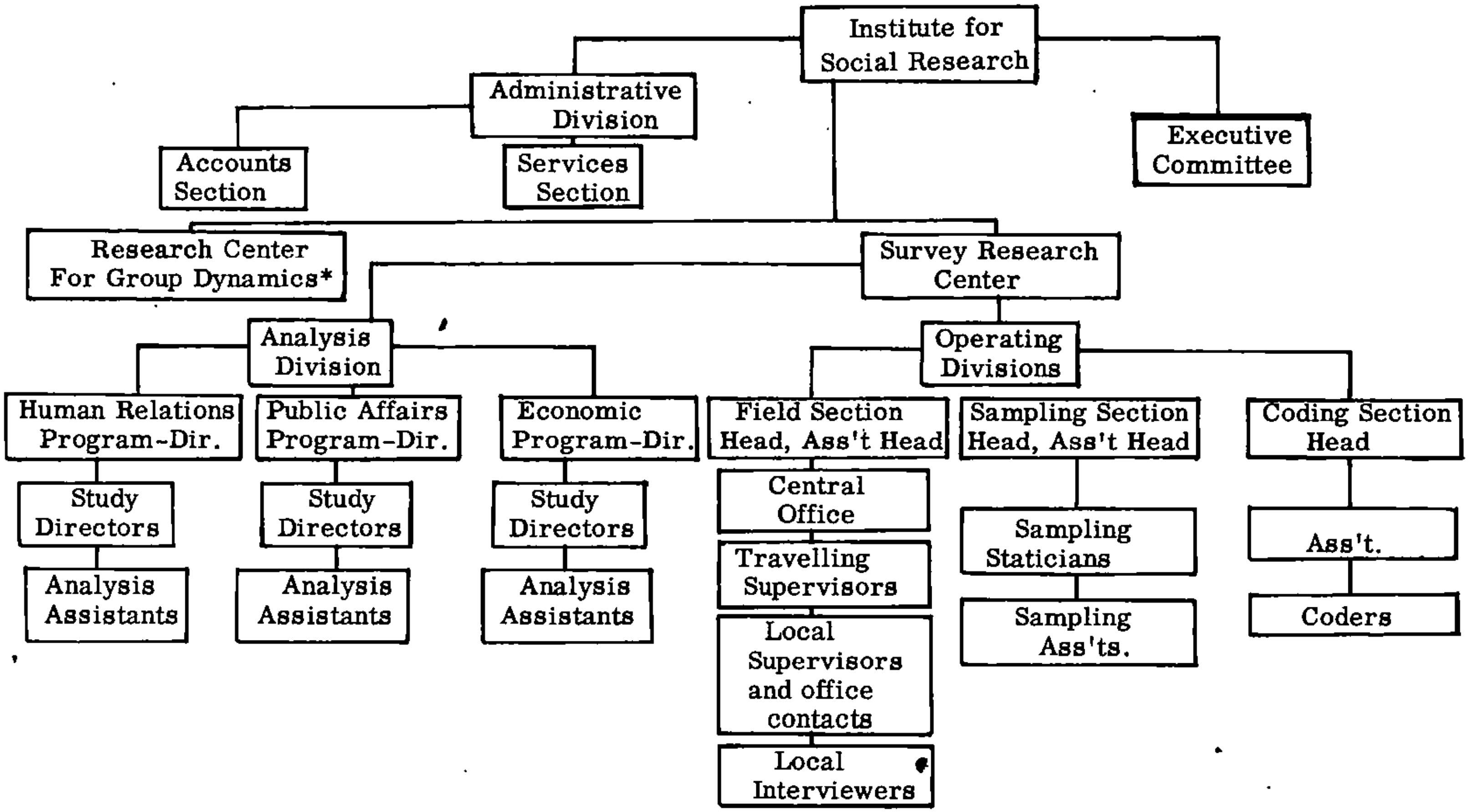
The Center's interviewing staff is set up on the basis of the county units and metropolitan areas over the country which comprise our national sample. Within each sample point, the Center maintains a local staff of trained interviewers on a part-time basis. The Center also appoints a part-time supervisor or office contact who does part of the local field work, and who assumes responsibility for contacting the office and executing the field work in that area.

The size of the local interviewing staffs is determined, in large part, by the sample size in the area. In some counties where a small number of interviews are to be obtained, one person handles the field work. In other areas where the number of interviews varies, the office contact or supervisor does the major part of the work alone, relying on one or more of the other interviewers whenever they are needed. In the metropolitan areas, which require a large number of interviews, the staff may go as high as 15 interviewers. The total size of our interviewing staff is about 180 interviewers. As of 1954, these staff members reside in 56 counties and 12 metropolitan areas scattered from the East to the West coast in 35 states.

About two-thirds of the Center's interviewing staff is composed of women; over 80% have some college training; and 75% fall in the age group 30-60 years. The occupational groups most frequently represented among the interviewers are housewives, school teachers, and graduate students. A typical interviewer, if there were one, would be a housewife, between 30 and 45 years of age, with college training who wants part-time work.

The Field Office in Ann Arbor is in general charge of all field work. This office is made up of a Head, who is in general charge of Center field work; two or three assistants in charge of contact with the interviewing staff and with Travelling Supervisors; a secretary, and part-time clerical personnel who are responsible for record-keeping. During your field work with the Center, you will no doubt get to know (at least through letters!) several of the office personnel.

INSTITUTE FOR SOCIAL RESEARCH
ORGANIZATION CHART



*Detailed organization of Research Center for Group Dynamics is not presented here.

Table I

CHAPTER III

HOW A SURVEY IS MADE

To the casual observer, surveying must appear to be a simple procedure. The questions asked seem obvious enough and the percentages always add up to one hundred. The casual observer seldom suspects the detailed labors which lie behind the neat columns of figures in the final report. The fact is that a survey is carried out, step by step, with the utmost care. The procedure for this detailed planning is a formula. Just as a chemist must follow a chemical formula exactly in order to make the desired product, so the researcher must follow the survey formula exactly in order to produce accurate information. This means that the many people involved in the survey process must carry out their own work accurately, and must work together as a team if the survey is to be a success.

This section will acquaint you in a brief and general way with the procedures followed at the Center in conducting a survey. The information will help you to understand how your work as an interviewer fits into the survey process. It will also illustrate the principle that the survey staff -- samplers, interviewers, analysts -- must work together as a team if the survey is to be a success.*

SELECTION OF STUDIES

Chapter II has indicated four major requirements of a Center project. When a new project is proposed, it is carefully considered in the light of these four requirements by the Center's Executive Committee. The Executive Committee is composed of the Director of the Center, the three Program Directors (each of whom is in charge of a Center research program), and the Heads of the Field and Sampling Sections. If these people agree that the study should be undertaken, it is submitted to the Executive Committee of the Institute for Social Research, which helps to guide Center research policy. Once the study is approved by this latter group, the contract is signed, and detailed preparations begin.

DEFINING THE SURVEY OBJECTIVES

One of the first steps in any survey is to define and outline the questions which the survey is to answer. In doing this, the study planners work out a statement of the

*This chapter will also provide information which will help you to answer questions respondents will ask you about survey procedures.

problem and general objectives which the survey must meet. These general objectives are then broken down into very specific objectives, and a list of "specifications of data" is drawn up which states what specific items of information will be needed in order to answer the problem. This list of needed information is the basis for the questionnaire which will be used on the survey.

Determining the specific objectives of the survey is sometimes rather involved. The planners of the study must analyze their problem carefully to make sure that they include as many of the pertinent aspects of the problem as they can. In some cases, the study planners will need to go into the field for "scouting" or informal exploratory interviews as a means for determining some of the important factors for investigation.

For example, suppose we consider the problem of conducting a survey on public attitudes toward taxes. It is necessary to define the problem by specifying what types of taxes the survey will cover. Federal taxes? State and local taxes? Income taxes? Sales taxes? The survey may deal with all or only some of these. Public reactions to the tax forms, dates and methods of payment perhaps should be studied. Would people be willing to see public services curtailed for the sake of reducing taxes? Also, it might be necessary to know how much information the public has about taxes. Do people know what the tax rates are? Do they know what the money is used for?

The planners of the survey must consider all such aspects of the problem. It may be that they will not be able to deal with them all, because of limitations of time or money, in which case the scope of the survey will have to be limited. In any case, the goal is to specify what aspects of the subject will be covered, and to anticipate exactly the type of findings that will be included in the final report.

CHOOSING THE STUDY DESIGN

While most studies require a single survey of one particular group, this is not always the case. Surveys may be designed in a variety of ways, depending on the objectives of the study. It may be desirable for some purposes to survey two contrasting communities or industrial plants, and to compare the two sets of results. In studies where it is important to measure changes or trends in opinions or behavior, a group of people (sometimes called a "panel") may be selected as respondents and this group may be interviewed several times at specified intervals. In any event, an adequate study design is an important consideration in the planning of a survey.

SELECTING THE SAMPLE

Another basic step in planning a survey is to determine the sample to be used in the study. To do this, the survey planners must decide on and define exactly the group to be covered by the survey. For example, if the survey objectives involve studying opinions of the American people, the group to be studied (the "universe") would probably be the entire adult population, and the sample of individuals we draw must represent this population. If the project is a morale survey within a certain factory, the group to be covered might be all the employees in the factory. Or, perhaps the survey is to cover only the skilled and unskilled workers, not the clerical and executive staff.

Many of our surveys involve a study of the American population. It is for this reason that we maintain a "national sample" of counties and metropolitan areas which have been carefully chosen to represent the national population. (See Chapter IX on Sampling). The national sample is constructed in such a way that it can be split into two parts, each of which is a national sample in itself. For some national studies, only one part of the sample is used; for other studies both parts are used. The size of the sample used depends on such factors as the desired accuracy of the results (in the light of the problem being investigated by the survey) and the survey budget.

Once these kinds of questions have been decided, the problem then is to select the actual dwellings to be contacted by the interviewers. Using a method which will be indicated in Chapter IX on Sampling, the Sampling Section proceeds to draw a sample of dwellings within each county or metropolitan area being used in the survey. The selected individuals at the sample dwellings comprise the sample of respondents for the study.

DRAWING UP THE QUESTIONNAIRE

Once the study planners have listed the items of information we need to obtain from the respondents, we are ready to start building the questionnaire. This is done by the Study Director and members of the Field Section. Needless to say, much effort goes into the construction of the questionnaire. It is drawn up with the same systematic care that goes into all the phases of the survey operation.

The questionnaire must be constructed in such a way that it obtains the data which are set out in the specifications. To do this, the researchers turn to the specifications of data to determine the kinds of information that are needed. Then they phrase questions so that these kinds of information will be obtained and will be usable for the research purposes of the study. This, of course, is more easily said than done. The researcher must carefully word his questions according to sound survey principles. He must arrange his questions in the best possible order, and thoughtfully consider the problem of questionnaire length. These and other factors need to be carefully considered.

Pretesting the Questionnaire

Before any questionnaire is used in the field, it undergoes extensive pretesting along the above lines. The pretest allows the study planners to determine: 1) whether the questions bring answers that meet the objectives of the survey; 2) whether all important phases of the survey subject have been adequately covered; 3) whether the questionnaire stimulates respondent cooperation; 4) whether the questions are in satisfactory order; 5) and whether the questions are completely understood by the respondents.

The Study Director's staff, members of the Field Office, and several experienced interviewers serve as pretesters. These people go out and take interviews (using the trial questionnaire) with a representative group of people exactly as though the survey had already begun. They then gather to discuss their experiences and difficulties, and on the basis of these observations, revise the questionnaire where changes are felt to be needed. Some questions are dropped and others substituted; new questions may be added; others are re-worded and re-phrased. The revised version of the questionnaire is then tried out again, and needed revisions are made on the basis of that experience. The process of interviewing and revision continues until the members of the pretest staff are agreed that the questionnaire finally meets all the qualifications set up for it.

CARRYING OUT THE FIELD OPERATION

When the questionnaire reaches its final form, work is begun on the study Instruction Booklet which contains a special set of interviewer instructions for the survey being planned. These instructions (together with questionnaires and other field materials) are sent to the interviewers for study prior to the interviewing. The Instruction Booklet will tell you:

1. the general aims of the study;
2. whom to interview;
3. what kind of information you should obtain in answer to each question; and
4. miscellaneous instructions on interviewing procedures, survey time schedule, and other information pertinent to the survey.

The Instruction Booklet will also help you to answer the questions respondents may ask you.

Other materials to be used in the field are also being prepared at this stage of the operation. These include such items as field sampling materials, wage and expense forms, and very often, introductory letters to respondents and news releases for local newspapers.

A few days before the interviewing is scheduled to begin, the Field Section mails to the interviewers all materials connected with the study, and from that point on to the end of the interviewing, the success of the survey rests in the hands of the interviewers. Throughout the field work, the office keeps in touch with the interviewers to help with individual problems or questions that may occur. As the study progresses, detailed records on the work completed by each interviewer are maintained by the Field Section.

When the completed interviews have been processed by the Field Section, they are sent on to the next phase in the survey process - that of coding.

CODING THE INTERVIEWS

When taken together, the interviews on a survey represent a tremendous volume of verbal material. This is especially true of Center interviews since many of our interviews are of a "free answer" type (see Chapter VI on Interviewing). A single study sometimes produces hundreds of thousands of words. Confronted by the task of analyzing this large body of material, the Study Director and his staff first need to organize the interview material into a concise form (based on the study objectives) so that it can be readily comprehended and handled statistically. This is the function of "content analysis" or "coding", as it is called at the Center.

To accomplish this, the analysis staff turns to the study objectives and constructs a "Master Code" by which this vast bulk of material may be reduced to more simple form, and by which the specific points covered in the study objectives may be extracted from the respondents' answers. It is then the job of the coder to classify the respondent's answer to each question according to the code categories in the Master Code. The coder carefully goes over each interview, and translates your respondent's answers into the form of numbers which are used in the tabulation of the survey results.

As far as the time schedule is concerned, while the interviewing is being done, the analysis staff is building the code. Generally, within two weeks after interviewing starts, a code has been set up and coders are being trained. By the third week of interviewing, production coding has begun. Accurate timing is essential here since coding usually goes much faster than the interviewing; time schedules for interviewing need to be followed so that the coding can be finished shortly after the interviewing is completed.

ANALYZING AND TABULATING THE RESULTS

When the respondents' answers have been classified in the form of numbers on a coding sheet, the numbers are then transferred onto special IBM punch cards by the simple matter of punching holes in them with a "key punch machine". The location of a hole in the card indicates how the respondent was coded and on what topic, each interview being assigned one or more cards for punching. Once the coded interviews have been transferred to the punch cards, it is a comparatively simple matter to count and compare the coded answers of respondents by means of IBM machines which rapidly "read" the holes in the cards and record the counts. The Study Director is then ready to start the analysis for which he has been making detailed plans during the preceding phases of the study.

One of the first things most analysts request from the IBM machine room is a copy of the "straight run" results on each question. This means that the IBM cards are run through the tabulating machine which will count the number of times each kind of answer occurred on each question. Later the analyst will order cross-tabulations or "cross-runs" - in which the machine will sort out all cards having a given answer on one question and then tabulate the kinds of answers these same people gave on other questions. For example, in a past Center survey, a question was asked as to how people viewed U. S. foreign policy; at the end of the interview respondents were asked their approximate income. A cross-run was made on these two questions to determine whether people with higher income viewed our foreign policy differently than those respondents with a lower income.

3. <u>Barriers to the interview existing in the respondent's mind need to be overcome.</u>

In the early stages of the interview, the interviewer must size up, and prevent or decrease the uneasiness some respondents may feel. One such barrier may be the respondent's skepticism about the purpose of the interview. For example, the interviewer is sometimes confused by the respondent with a salesman of some sort. Another barrier may be the respondent's feeling that he is inadequate, that he will be embarrassed by what he thinks may be difficult questions. A third barrier may be a respondent's idea that the interview is used to check up on him in some subtle way. It is clear that the interviewer needs to be on the look-out for such barriers so that he can reassure the respondent.

* * *

The interviewer's problem, then, is to use procedures which take these three factors into account. The interviewer's friendly manner, his introductory statements, and the success with which he answers the respondent's questions (<u>from the respondent's viewpoint!</u>) are all designed to sell himself and the survey. <u>This involves more than just getting</u> the respondent to give some time for an interview. The interviewer's goal is to get the respondent positively involved in the survey, and to maintain or even increase this involvement throughout the interview.

Your effectiveness in this early stage is increased by the knowledge that the job you are doing is legitimate and important, and by knowing what you are doing and how it is done. Remember that you have the right to ask a person for information, just as he has the right to refuse to answer. The interviewer's own state of mind is often reflected in the respondent's reaction to the request for an interview. If the interviewer's approach is uncertain or uneasy, this feeling is communicated to the respondent, who reacts accordingly.

INTRODUCTORY PROCEDURES

The respondent's first reaction to a request for an interview is likely to be a mixture of curiosity and the desire to be courteous to a stranger. This amount of interest is not sufficient to conduct a full interview. However, it at least permits the interviewer to demonstrate his friendly intentions, and to describe the survey in a way which stimulates the respondent's further interest.

The interviewer needs to be especially sensitive to the respondent's first reactions because at this early stage, he has not yet had a chance to build up a relationship with the respondent. The outcome of the interview hangs on whether the interviewer can hold the respondent's first interest long enough to build further cooperation.

Facts to Tell the Respondent

An instruction booklet is sent out to you for each survey. This booklet contains suggestions on how the interviewer can introduce himself, and how he can explain the particular survey to the respondent. On every survey, however, certain basic points should be covered in your introduction.

1. Who you are and whom you represent: You should introduce yourself as an employee of the Survey Research Center of the University of Michigan, a research organization which does nation-wide surveys on topics of national importance. For some surveys, it will be possible to say what agency or organization has requested the survey. Usually, you should show your identification card.

2. What you are doing: You should make a general statement of the subject and purpose of the survey. The instruction booklet for the survey will have a section telling you why the survey is being made, why the information is needed, and what use will be made of the results. You will need to know this information so you can briefly explain it to your respondents in a way that will stimulate interest. It is better to make only a general statement of the survey topic, without getting too specific to avoid suggesting the respondent's answers in the interview.

3. How the respondent happened to be chosen: It is important that the respondent understand that he is part of an impersonal "cross section" sample, and that the interview is anonymous. You may say something like this: "You see, in trying to find out what people in the country think, we don't talk with everyone, but we try to talk to men and women of different ages in all walks of life. We use a map of the city and take certain blocks from it at different places. In each block, we stop at every tenth house or so. We put all the interviews together and we have a cross section of the people." If necessary, the interviewer can briefly illustrate the procedure by showing the respondent the city or county map. Information for this part of the introduction is to be found in the sampling section of this manual, and also in the instruction booklet for each survey.

In many of our studies, the Center sends introductory letters to the respondents in advance of the interviewer's visit. These letters contain most of the above-mentioned points, and are of considerable help to the interviewer. You can also carry newspaper clippings about the Center's work, copies of past survey reports, and other material which demonstrate to the respondent the importance and integrity of the Center's surveys.

Two Stages in the Introduction

There are usually two stages to the usual introduction situation. The first stage occurs at the door when you first make your contact with the people at the dwelling unit. The second stage occurs when you are inside the house, and are able to talk more easily than on the doorstep.

The doorstep is not, of course, a very convenient place for carrying on a conversation and establishing a friendly relationship. Many experienced interviewers feel that the "Doorstep introduction" should be relatively brief. Once you are inside the house, you are then in a better position to convince the person of the value of his cooperation. It is easier for him to say "No thank you" on the doorstep than in his living room.

In some cases, the person who comes to the door will not be the actual respondent. You will need to establish friendly relations with whoever answers the door so that you will be able to obtain the information you need to determine who the respondent is.

Adapt your Approach to the Situation

The most successful interviewer is one who is able to size up the situation quickly on the basis of what little information he has about the respondent, and to act accordingly. You will need to be flexible, and to vary your approach according to your intuition about the situation in which you find yourself. Adapt your introductory remarks to the particular respondent, to the type of language he uses, to the kinds of things he seems to want to know about, etc. With some respondents you may feel the need to go into some detail; with others, you can get an interview with only a brief explanation of the basic points. In any event, be sure you don't give out specific information or express opinions that will be called for in the questionnaire.

Your Goal is "Rapport" with the Respondent

Your goal, of course, is to build in the respondent a feeling of friendliness and trust in you and the survey so that he will give the information you desire. "Rapport" is the term used to designate the personal relationship of confidence and understanding between the interviewer and respondent which provides the foundation for good interviewing. Your impression on the respondent during the introduction determines to a considerable degree the rapport that will develop. The more natural the approach, the better. Simplicity of dress, a level of language suitable to the occasion, friendly behavior and a sincere interest in the respondent's point of view will gain acceptance for the interviewer as a person to whom the respondent can talk on a basis of common understanding.

Sometimes the interviewer may feel that the introductory process alone has not established him firmly enough to proceed at once with the interview. A useful procedure in such cases is to talk about some topic in which both the interviewer and the respondent have an interest. Discussion of the weather, the latest baseball scores, or the respondent's garden, and making friends with the dog or children are some of the things which help ease the situation.

Answering Respondent's Questions

Although most people will go right through with the interview without any question, some people will ask you questions either during the introduction or after you have started the interview. Some of the types of questions that respondents ask are as follows:

1. "How did you happen to pick me?"
2. "Why are you doing this survey?"
3. "Why is a university doing surveys?"
4. "Who gave you our name?"
5. "I don't know enough about this to talk to a university. Why don't you go next door?"

The interviewer needs to have ready, convincing answers to such questions as these. The material in this manual, the survey instruction booklets, the "Staff Letter," the "Why Ask Me?" folder, and your conferences with Travelling Supervisors will all provide you with information you can use in answering these questions.

Problem Cases

Depending on the locality and the survey, about 96-99 out of 100 people will grant an interview when approached properly. In general, respondents show a healthy interest and enthusiasm for the work we are doing. Thus, the number of problem cases you will run into will be very much in the minority. There are, of course, some people who are resistant. In these cases, the interviewer needs to analyze the cause for the resistance, and to adapt his approach to the particular problem. The fact is, no one resists without a motive, and the chances are good that the person can be persuaded if the interviewer is able to identify the real cause.

A common factor in resistance is simple lack of understanding on the part of the respondent. In this type of case it may be that the interviewer failed to make clear just what it is that he's doing, why, how the respondent was chosen, etc. Rather than admit that he doesn't understand, and uneasy about taking part in something he doesn't understand, the respondent gives an excuse for not granting an interview. A long, complicated introduction to a poorly educated person, or an over-simplified introduction to a well-educated person is often the basic cause for this type of problem.

Occasionally, a respondent will think that the interviewer is really a salesman. An emphatic statement to the contrary usually solves this problem; however, the interviewer probably should not take up the point unless he has reason to believe the respondent has this idea.

From time to time, the interviewer comes in contact with a respondent who feels inadequate about giving "good enough answers" in the interview. In this case, the interviewer obviously needs to convince the person that 1) there are no "right" or "wrong" answers to the opinion questions on the survey, 2) the questions are interesting, 3) the interview information is confidential. In addition, a relaxed and friendly manner on the part of the interviewer is especially important. If, on the other hand, the respondent feels that the interview may be intended to check up on him in some way, the problem calls for a convincing explanation as to the purpose of the study, the method by which the respondent was selected, with emphasis on the confidential nature and integrity of Center surveys. Newspaper clippings and reports from Center surveys may be shown the respondent to re-enforce the interviewer's statements.

As we have mentioned, these cases will be the exception rather than the rule. The interviewer will find that he is accepted into the great majority of households. We have mentioned these problems merely to give the interviewer information for the few cases that can arise.

If the Respondent is Busy or Away

In most cases when the person selected in the sample is at home, it is possible to interview him then. In some cases the respondent is actually too busy, is getting ready to go out, etc., so that an interview at that time is not feasible. (However, a word of caution here -- make sure the respondent is really too busy and not just making excuses to avoid giving the interview.) When you are convinced that he is actually busy, give a general introduction and try to stimulate his interest to the extent that he will be willing to see you at a later time. Ask what times of day he is usually free, and try if possible, to make a definite appointment to see him. You may need to suggest several times before you and the respondent can agree on a convenient time.

If the person you are to interview is not at home, introduce yourself and briefly explain your visit to someone in the dwelling who will be able to tell you when the respondent will be at home. It is, of course, a good plan to establish friendly relations with this intermediary since his attitude can help or hinder you in making contact with the proper respondent. In some cases it would be advisable to explain briefly why you cannot interview someone other than the prescribed respondent.

A Typical Introduction

Introductions vary from situation to situation, so it is difficult to give a good example here. However, the pattern of many introductions will be something like the following:

Interviewer: I'm from the survey Research Center of the University of Michigan. We're doing a survey here in St. Louis, and in other places throughout the country, talking to people about how things are going financially these days. The Federal Reserve Board in Washington is interested in the public's ideas about this, and we are doing this nationwide survey for them. I think you've received a letter from us about this survey.

Respondent: Well, I don't know. (Pause) I guess I did.

Interviewer: I have a copy here. It explains what we're doing. Maybe you'd like to read it again?

Respondent: MMhuh. (Looking over letter) Yes, that's the one. Well, what's this all about? (Dubiously)

Interviewer: Well, I'm from this survey branch of the University. We do surveys on important topics of the day. What we do is to take a cross section of the country, and talk to all those people. By the way, here is my identification.

Respondent: MMhuh. Say, what's the purpose of all this? I never knew they did this.

Interviewer: One of the chief jobs of the Federal Reserve Board is to look after the money matters of the country, as you know. In order to know how to plan ahead, they have to have information that is up to date about how people are getting along. We've been doing this work for 9 years now. They put out a whole series of reports on it, like this one here.

Respondent: Uh-huh. I see.

Interviewer: You can see by this report that it's just to gather facts and figures. And, of course it's all confidential. We never identify the people at the addresses we visit.

Respondent: I see. Well, what do you want to know?

(At this point, the interviewer starts the interview, keeping in mind that he may need to do more explaining or answering respondent's questions later in the interview).

CHAPTER V

USING THE QUESTIONNAIRE

Once the interviewer has introduced himself and started the rapport-building process, he is ready to begin the interview itself. The interviewer's goal is to collect accurate information by using the survey questionnaire according to sound interviewing practice. To fulfill this goal, the interviewer needs to know some basic facts about the Center questionnaire and how it is used.

The use of the questionnaire is a matter of great importance since it is the basic tool which the interviewer uses in collecting the survey information. The purpose of the questionnaire is to help the interviewer obtain accurate and complete information. It does this by serving three functions which are as follows:

1. To cover the research objectives of the study.
2. To assist the interviewer in establishing rapport.
3. To standardize the interviews from respondent to respondent.

The Questionnaire is Based on the Study's Research Objectives

Every survey is designed to obtain certain items of information. Research and experience has shown that if we are to obtain a desired item of information accurately, we need to design a specific question to get at the desired item. (See Chapter III on "How a Survey is Made"). Much effort is put into the construction of a question so that it will fulfill its exact purpose. The question writer carefully words and pretests every survey question to make sure its meaning is understood by a maximum number of respondents.

The Questionnaire Helps to Standardize the Interview

The researcher needs to combine and to treat statistically the data collected in the interview. This means that the data must be collected in a uniform manner for all respondents. Thus, all the people in a sample must be asked the same questions in the same way. Research has shown that peoples' answers are strongly influenced by the wording of a question. Obviously, if a question is differently worded for different respondents, it will not yield comparable results.

Experiments have been tried in which interviewers were given the objectives of a survey and asked to word their own questions. It was found that different interviewers worded the objectives in different ways; the interviews, thus, were not scientifically comparable.

Experience also indicates that question order must be the same from interview to interview since changes in question sequence unduly affect respondent's answers. Question order is carefully pretested prior to the interviewing to ensure the best sequence of questions. The use of a fixed questionnaire, then, helps to standardize the many hundreds of interviews taken on a survey.

The Questionnaire is Designed to Help Build Respondent Interest

We have already mentioned that good rapport with the respondent is a "must" if the interviewer is to secure full and accurate information. The techniques used by the interviewer are all designed to help in rapport-building. This by no means excludes the questionnaire since it has a direct effect on the relations between interviewer and respondent, and consequently on the quality of the information collected. The survey planners try in every way to turn out a questionnaire which helps to build maximum respondent interest.

The wordings of the questions are an important factor in this regard. For example, the choice of words and language must be within the respondent's understanding if we are to avoid irritating him. The questions are phrased in a friendly and conversational way to arouse the respondent's interest. Face-saving words and phrases are built into the questionnaire where necessary to avoid embarrassing the respondent.

Another means of gaining respondent interest has to do with the order of the questions. For example, the first questions usually deal with topics which are easy to talk about, and thereby serve as "rapport-builders" since the questions indicate to the respondent that the content of the interview will be interesting and easily answered. Furthermore, question order is arranged so that it makes the most sense to the respondent. A good questionnaire flows easily from item to item, and often leads the respondent to anticipate the next question because it seems to him the logical topic to discuss. When the questioning changes to a new topic, transition statements are included to help the respondent "shift gears" to the new area of discussion. Thus, the questionnaire is designed to provide a conversational atmosphere, rather than an atmosphere of cross-examination or questioning.

ASKING THE QUESTIONS

The previous section mentioned some of the principles which require the interviewer to use the questionnaire in the prescribed way. If these principles are not followed, the survey information is likely to be inaccurate. Thus, the interviewer plays two roles in the interview:

1. That of the technician who applies standard techniques to each interview, and

2. That of the human being who builds up a permissive and warm relationship with each respondent.

The question now arises: what specific techniques can the interviewer use in carrying out these two roles? The following sections will supply some answers to this question.

Use the Questionnaire, But Use it Informally

The interview should proceed on as informal and relaxed a plane as possible, and the interviewer should avoid creating the impression that the interview is in any sense a quiz or cross-examination. The interviewer must be careful that nothing in his words or manner implies criticism, surprise, approval or disapproval of the questions asked or the respondent's answers.

You should keep the questionnaire in sight during the interview, glancing at it before asking each question. Put each question to the respondent in a natural and conversational tone of voice, not obviously reading it. Try to avoid drawing too much attention to the questionnaire since your goal is to set up a friendly relationship between yourself and the respondent; too much obvious attention to the questionnaire makes for an atmosphere of interrogation, which is something you want to avoid. Each question should be asked in a manner implying that it presents an interesting topic, and that you are extremely interested in having the respondent's ideas on it.

The manner of the interviewer is especially important in maintaining rapport. That is, the extent to which the interviewer can manage to be receptive, interested and stimulating determines the quality of the interview. Most of this must be accomplished by the interviewer's manner - his tone of voice, his way of listening to the respondent, etc. Regardless of what the interviewer says in words, if the respondent senses that the interviewer's manner is cold and mechanical, a poor interview is probable.

Ask the Questions Exactly as Worded on the Questionnaire

As it is essential that exactly the same questions be asked of each person interviewed, the interviewer should make no changes in the phrasing of the questions. Not only are deliberate word changes to be avoided; the interviewer must be on guard against unconscious word changes. For example, in constantly repeating the questions during interviewing, the interviewer may unwittingly leave out part of the question, or change some words. Or, the interviewer may ask the question just as worded, but in an effort to be conversational, may add a few words at the end of the question.

Take for example, the question: "Where do you get most of your news about current events in this country? -- from the radio, the newspapers, TV, or talking to people" Now, consider the following variations on this wording:

1. "Where do you get most of your news about current events?" (Last part of the question is completely omitted).

2. "Where do you get most of your news about current events in this country? - from the radio, the newspapers, or talking to people?" (The news source, TV, is omitted).

3. "Where do you get most of your news about current events in this country? - from the radio, the newspapers, TV, or talking to people? That is, which one do you rely on the most?" ('Conversational' comment added which changed the question completely.)

The respondent's answer depends on what question was asked of him. Thus, a change of wording can very easily change the response obtained.

The above examples represent more or less major changes in wording. Experiments, however, have shown that even a slight change of wording can distort results. If, in the above example, the interviewer merely changed the order in which he mentioned the news sources, this could bias the results. It has been established that the order in which alternatives are presented has, in some cases, an effect on responses.

If some interviewers vary the order of alternatives in a question, the responses to these questions can not be combined with the responses obtained by interviewers who adhered strictly to the question wording.

Ask the Questions in the Order Presented on the Questionnaire

We have mentioned that question sequence is carefully worked out to give continuity and a conversational atmosphere to the questionnaire. The sequence is also arranged so that early questions will not have a harmful effect on the answers to questions appearing later. Furthermore, question order needs to be standardized from respondent to respondent if the interviews are to be comparable. For these reasons, the interviewer needs to adhere strictly to the proper question order.

Ask Every Question Specified on the Questionnaire

In answering a particular question, respondents will occasionally give an answer which can also be applied to a question farther down on the questionnaire. Or, from time to time, when the interviewer needs to ask a series of apparently "similar" questions, the respondent may say, "Just put me down as 'Yes' to all of them." In this case, the interviewer may wonder whether he should skip the questions which are apparently answered.

The answer to this question is "no". In cases where asking the question will lower rapport dangerously, the interviewer must, of course, be satisfied with what he already has. However, it is the interviewer's responsibility to make certain, wherever possible, that the respondent is fully exposed to each question specified on the questionnaire. In the situation mentioned above, the interviewer can follow the following procedure:

1. write down the initial answer under the question when it occurs,

2. and ask the partially answered question when you get to it, but preface it with some remark which will show the respondent that you haven't forgotten what he said earlier and haven't rejected his earlier answer. Such a remark might be: We have already touched on this, but let me ask you ...." or "We're asking people on this survey about each one of these, and I'd just like to make sure how you feel about each one separately .."

In rare cases, the respondent actually will have answered the following question completely, and you will not have to ask it. In the following extract from an interview, for example, the respondent's reply to Question 4 includes information which fully answers Question 6:

Q4. Do you think the prices of things you have to buy will stay where they are:

(Answer) No, I don't see how they can. What with the shortage and with labor wanting higher wages every day, it looks to me as if prices are going to get sky-high. And that's certainly going to be hard on people like us whose salaries stay the same. I had a small increase two months ago, but there's no chance of getting another for a couple of years.

Q6. Do you think your income will change any in the next six months?

This is fairly easy to determine in the case of factual questions, or of questions involving a simple statement of opinion. However, assuming a question is answered is a dangerous procedure where you're dealing with questions on the respondent's attitudes. When in doubt, use the procedure described above.

If the Question is not Understood, or Misinterpreted

The questionnaire builders have carefully worded and pretested each question to ensure that it is understandable to the maximum number of respondents. Therefore, you will have no difficulty in the great majority of cases. From time to time, however, a respondent will not understand a question, or will misinterpret it. In such instances, you should use the following procedure:

1. First, repeat the question as it is written, and give the respondent another chance to answer it on that basis. If you suspect that the respondent merely needs time to think it over, do not press him for an immediate answer. If you think it's a case of the respondent needing reassuring, you may want to add to the question a neutral, conversational remark, such as: "We're just trying to get peoples' ideas on this" or "there are no right or wrong answers, just your idea on it."

2. If you still do not get a response in terms of the wording and meaning of the question, do not explain the question, but reword the question slightly. This will happen only once in a great while, and should be done only as a last resort. Furthermore, a record of the rewording should be made in the write-up so the office will be able to pick out those few respondents who were exposed to rewordings.

In many questionnaires, there are some questions which should not be reworded because we want to get the respondent's reaction to the question as it was worded on the questionnaire. The instruction booklet for each survey will tell you which questions, if any, are of this type.

Some Miscellaneous Notes on Asking Questions

Transition Statements - Between the main topics on the questionnaire there is usually a transition statement which serves to "change the scene" -- that is, to close one topic and introduce another. The transition helps the respondent to bridge the gap between the completed topic and the new one. The transition statement also makes the interview more of a natural, friendly discussion, and less of a question-answering situation. This helps to maintain rapport, and the interviewer will find these printed transition statements very useful.

Knowing Question Objectives - It is obvious that if the interviewer is to use the questionnaire with any degree of success, he will need to make a careful study of the specific objective for each question on the questionnaire before the interviewing starts. A thorough knowledge of the question objectives is essential to an effective job of interviewing.

Keep Track of Questionnaire Changes - If, for any reason, the interviewer finds it necessary to depart from the wording or order of the questionnaire, he should point out in the write-up of the interview how and why he did so. In this way, the write-up will convey more fully the interview situation. (See Chapter VIII on "Recording the Interview").

Maintaining Rapport

Inasmuch as the type of interview used by the Survey Research Center seeks to attain a full and spontaneous discussion, good rapport between interviewer and respondent is very necessary throughout the interview. We have mentioned that the interviewer begins the rapport-building process when the respondent first opens his door. However, the interviewer does not cease his efforts to build rapport once the interview has started. Rather, the interviewer recognizes that good rapport must be maintained throughout the interview to insure full and valid information.

Through his permissive and understanding behavior, through his interest in the respondent, and through his use of a respondent-centered questionnaire the interviewer provides a friendly atmosphere in which the respondent can talk truthfully and fully throughout the interview.

Occasionally during an interview, rapport may be broken because the respondent finds a particular question "too personal". When this happens, the interviewer would be wise to take time out to re-establish rapport, and to reassure the respondent regarding the impersonal, anonymous nature of the survey. This may be done by a re-statement of the points explained in the introduction. The interviewer may also use such a device as showing the respondent a report from a past survey, which illustrates how each respondent's answers are grouped with the answers from other respondents.

Occasionally a question is reached which breaks rapport because the respondent feels he "doesn't know anything about that" or says "my opinion couldn't be worth anything to a university on that question." Here it may be useful to stop and reassure the respondent. In this case you could explain that there are no right or wrong answers, that everyone's answers are important, that these are "64 dollar questions and not everyone has ideas on them," etc. You may even feel it necessary to break away from the questionnaire and to discuss something off the subject to allow the respondent to regain composure. It is important, however, that such topics be outside the scope of the questionnaire so that nothing the interviewer says will influence the rest of the interview.

CHAPTER VI

STIMULATING DISCUSSION -- PROBING

In the last analysis, all of the interviewer's work leads to the goal of obtaining accurate and full answers to the survey questions. All the interviewer's efforts in introducing himself, establishing rapport, and asking the survey questions are necessary steps to this goal. The present chapter will deal with some additional procedures which the interviewer needs to use in securing adequate answers to the survey questions.

WHY YOU NEED TO STIMULATE DISCUSSION

It might be thought a simple matter to ask a respondent the survey questions and to record his replies. However, the interviewer soon finds that obtaining specific, complete responses which fill the question objectives can be the most difficult part of interviewing. Some respondents have difficulty in putting their thinking into words. The responses of other respondents may be unclear or incomplete. The respondent may want to hide his attitudes because he feels that they are not socially acceptable. The interviewer must deal with such factors as these, and use procedures which throw into bold relief the thinking of the respondent as it exists.

Even the best questionnaire often brings first responses which are unclear, incomplete or irrelevant to the question objective. For example, carefully examine the following answers, and note how the questionnaire question is not answered:

Question: Do you think it will make a lot of difference to the country whether the Democrats or Republicans win the November elections, or that it won't make much difference which side wins?

Answer: Yes I do. (Unclear answer)

Question: Considering the country as a whole, do you think we'll have good times, or bad times, or what between now and a year from now?

Answer: Oh, maybe good times, maybe bad. It all depends. (unclear answer)

Answer: I hope we'll have good times. (irrelevant answer)

Question: We're interested in finding out how people look on government bond drives. How do you feel about them?

Answer: Well, I don't think they're ... uh, I don't know. (the respondent obviously had something in mind, but didn't say it: incomplete answer)

Answer: Oh, I'll tell you - I think the government better get busy and do something about food prices before we all go broke. (Irrelevant answer)

These answers illustrate some of the problems interviewers face. The interviewer would fail if he merely accepted these replies, because they don't fulfill the question objectives adequately. Obviously, some method of stimulating discussion on the topic of the question is needed so that clear, complete and relevant answers are obtained. The following section discusses ways in which this can be done.

GOOD RAPPORT STIMULATES DISCUSSION

It is clear that the respondent's friendly feelings toward the interviewer and the survey are a direct aid to the discussion. As the respondent gets satisfaction from talking with a receptive, understanding interviewer about something in which he is involved, he is more likely to give adequate answers. The characteristics of the interview relationship can be described in the following terms:

a. warmth and responsiveness on the part of the interviewer. The interviewer needs to feel a genuine interest in the respondent, and an acceptance of him as a person.

b. a permissive atmosphere in which the respondent feels completely free to express any feeling or viewpoint. The interviewer's attitude is one of complete acceptance and understanding of the respondent's statements. The respondent should be entirely free to "let down his hair." By his attitude and behavior, the interviewer demonstrates that no response is out of place.

c. a freedom from any kind of pressure or coercion. The interviewer in no way states his own ideas, reactions or preferences. Although he is "permissive" and understanding, the interviewer remains objective in the same manner as a physician or lawyer when dealing with his clients.

In this kind of atmosphere, the respondent obtains much satisfaction in "opening up" without argument or hurry by the interviewer. The respondent gets the feeling that his ideas are acceptable to the interviewer. It is the feeling of "Here is that rare thing -- a person to whom I can really talk." Nothing that the respondent says is too trivial for the attention of the interviewer. Through his relationship with the interviewer, the respondent not only feels free to talk, but is actually stimulated to do so.

A requisite to good rapport is that the respondent must know where he stands in the interview. The interview is actually a new situation for most respondents. When the interview first starts, the respondent doesn't know what is expected of him nor how far he can safely go. Obviously a respondent will react more favorably and openly in a situation he understands and accepts. The respondent must understand, for example, that the interview is confidential and important, that the interviewer is a friendly person ready to listen, that he can discuss the interview topics in detail, etc. Through his use of a well-designed questionnaire, his behavior towards the respondent and his friendly reactions to the answers, the interviewer "defines" the situation for the respondent. Throughout the interview, and especially in its early stages, the interviewer makes a careful effort to establish the tone of the interview in the respondent's mind. Thus, the respondent comes to have a clear idea of where he stands, and what roles he and the interviewer are to play. This, in turn, facilitates the discussion.

SOME SPECIFIC PROBING PROCEDURES

Good rapport generally stimulates discussion. However, the interviewer often needs to get more specific than this. That is, he needs to obtain responses in terms of specific questions on the questionnaire. The interviewer has available for this purpose a number of probing techniques which will help him to get particular questions answered without distorting the answers.

When the respondent's answer doesn't meet the question objective, before you go on to the next question, you will need to use probing techniques to obtain a clear, complete and relevant answer. This does not mean that you should openly question a respondent's answer, since the respondent probably thought that he was answering your question in all good faith. Rather, your purpose is to have the respondent clarify and expand his answer in terms of the question objective.

Specific Probing Techniques

The probing procedures outlined below will be very useful in stimulating discussion and getting answers to the questionnaire questions. These devices should be introduced casually and unobtrusively as a natural expression of interest in what the respondent is saying or is about to say.

1. Brief assenting comments, such as "uh-huh," "yes," "I see," or "that's interesting," natural to social conversation fit into an interview very well, and may be used frequently. These serve to indicate to the respondent that the interviewer is giving his attention to the answer, and is interested in it. This stimulates the respondent to talk further.

2. An expectant pause on the part of the interviewer, accompanied by a look of inquiry after the respondent has given only a brief reply to a question is often useful. This is frequently enough to convey to the respondent the impression that he has merely begun answering the question, and it will often bring forth further response.

3. Repeating the question is a particularly useful device when the respondent does not understand the question, when he misinterprets it, when he seems unable to make up his mind, or when he strays from the subject.

4. Repeating the respondent's reply is an especially useful device for helping him to clarify his response and prompting him to enlarge upon his statement. When the respondent's statement is long and unclear, it is sometimes advisable to summarize it in order to obtain a clear answer. However, the summary is a dangerous device since the interviewer can too easily inject his own thinking into it, and thus affect the respondents statement of opinion. Summarizing the respondent's answer should be done carefully, only when you absolutely need to, and only after you have had quite a bit of

interviewing experience. Be sure you adhere strictly to the respondent's answer, leaving out your own ideas. Furthermore, your summary of the answer should be included in the interview write-up (see Chapter VIII). The following is an example of good summarization (taken from a wartime survey):

Interviewer: What do you feel shortages in food are due to? (questionnaire question)

Respondent: I think ....Well, for one thing they have to feed the army. I mean, hungry men can't be expected to fight. Then, for another thing, I imagine they're trying to keep from having a shortage -- you know, distributing it equal, because this is going to be a long war. At least, I think it will.

Interviewer: You think, then, one reason is that the army is using more food, and another is that the government is trying to distribute food equally?

Respondent: Yes, that's why rationing is a good idea. People hear that something is getting scarce so they start buying up all they can. That makes shortages worse and its unfair to those that can't buy ahead.

5. Neutral questions ("probes") in a neutral tone of voice are often used to obtain fuller, clearer responses. Following are examples of this type of question:

How do you mean?
I'd like to know more about your thinking on that.
What do you have in mind there?
I don't quite understand what you mean there.
Why do you think that is so?
Why do you feel that way.
Which figure do you think comes closest?
What do you think causes that?
Do you have any other reasons for feeling as you do?
Anything else?

Statements such as these indicate that the interviewer is interested, and make a direct bid for more information. This technique is a difficult method for newer interviewers to master, but it is a dependable and fruitful technique when used correctly. It requires that the interviewer recognize immediately just how the respondent's answer has failed to meet the objective of the question, and that he then formulate a neutral type of question to elicit the information he needs. -- The interviewer's manner of asking these neutral questions is important. Needless to say, a strident, demanding tone of voice can damage rapport. In this connection, it is sometimes a good technique for the interviewer to appear slightly bewildered by the respondent's answer, and intimate in his probe that it might be himself who failed to understand. (For example: "I'm not quite sure I know what you mean by that -- could you tell me a little more?") This technique can arouse the respondent's desire to cooperate with a human being trying conscientiously to do a good job. It should not be overplayed, however. The respondent should not get the feeling that the interviewer doesn't know when a question is properly answered.

Example of Combined Probe

Let us consider several examples of probing to illustrate some of the methods we have discussed. The first example illustrates a combination of three probing devices: the assenting comment, repeating the respondent's reply, and the neutral question. The question objective is the respondent's prediction of the country's future economic condition, and in what terms he thinks of this.

Question: Considering the country as a whole, do you think we'll have good times, or bad times, or what between now and a year from now?

Answer: Oh, I don't know - don't think anybody could say much about that. A lotta things can happen during the year. Me personally, uh, I figure times will be o.k.

Probe: I see. Uh, you say you'd figure that times will be o.k. How do you mean there?

Answer: Oh, I think business will probably be good and people will be getting along fine. There'll be lots of jobs around, too.

Notice how the interviewer used the respondent's own words together with a neutral question to get more discussion, and to clear up the vague term, "o.k." In this case, a "How do you mean there?" probe by itself might have thrown the respondent into an unnecessary dissertation on why nobody could say for sure, instead of the objective we were after. Repeating the respondent's words also had the effect of softening the impact of the direct question, "How do you mean there?"

Example of Probing for Factual Information

The following example is taken from an interview with a farmer, and illustrates a simple factual type of questionnaire question:

Question: How many bushels of wheat did you harvest last year?

Answer: My gosh, we had a terrible year! When we'd ought to be planting last spring it rained all the time, and then it got dry and everything burned up.

Repeat Q.: I see. Well, how many bushels of wheat did you harvest last year, would you say? (Notice neutral phrase "would you say" which was added for conversational effect)

Answer: Oh, we didn't get more than 300 bushels.

Probe: Uh-huh. You say you didn't get more than 300 bushels. Uh, can you give me a little closer estimate on that? (Repeat respondent's answer with probe).

Answer: Well, like I said it was an awful year around here. Nobody did very well. But I guess we got a little more than 300 -- between 350 and 400 I guess actually.

Probe: 350 to 400 you say. Well, which would be closest?

Answer: Oh I think we estimated it at right around 400 bushels.

Here, the respondent was more concerned with the misfortunes of the crop than with a precise estimate of it. The interviewer accepted the respondent's statement of attitude, but focused on the factual part of the response he was after by first repeating the question, and then probing for a close estimate. The estimate of 300 bushels having served to make the respondent's point, was dropped. The final answer of 400 bushels was almost certainly closer to the actual fact. In obtaining factual information, interviewers often have the problem of separating out the facts wanted from the respondent's attitudes. The basic procedure used by the skillful interviewer is to 1) know the question objective thoroughly, and 2) non-directly probe while, at the same time, maintaining rapport.

Example of Probing for Attitudinal Information

Let us take another example, this time dealing with an attitudinal type of question:

Question: How do you feel about the U. S. sending money and help to other countries?

Answer: Well, I don't know ...

Probe: (Interviewer nods slightly and pauses expectantly)

Answer: I -- sometimes I think we go a little too far.

Probe: I see. Well, can you tell me a little more about what you have in mind?

Answer: Well, maybe we ought to give some help - but my gosh when I see our tax money go to help some of those countries who don't help themselves, I think sometimes we'd better lay off.

*Probe: Uh-huh. That's interesting. You think maybe we ought to give some help, but sometimes you think we'd better lay off because some of them don't help themselves .... (expectant pause)

Answer: Why sure! I think we'd better let them go their own way, and to heck with them! We're getting in over our head.

*Notice that in summarizing the respondent's longer statement, the interviewer included both sides of the statement in about the same balance as the respondent had given it.

Probe: Were you thinking of any particular countries, or just in general?

Answer: Oh, I mean all of them.

In this example the respondent made a mildly critical statement at first, which was vague to some extent. The interviewer reacted to this by being neutral and yet accepting. He didn't criticize the respondent, nor did he agree with him; he merely probed for clarification and indicated a general acceptance of the statement. The result of this was a clarifying response and a more critical statement. The neutral probing by the interviewer permitted the respondent to clarify himself, and to make his final bitter response without feeling the need to defend or modify it.

The "I Don't Know" Answer

Look back at the previous example for a moment. Notice that in his first answer the respondent started by saying "I don't know," and then paused. The interviewer shrewdly "probed" by waiting for further comment. If the interviewer had accepted the "I don't know" at that point, he would have missed the rest of the response. The fact is that the words respondents use are symbols for their thoughts; respondents don't always mean what they first say. Fuller discussion, thus, gives us a truer and fuller idea of the respondent's thoughts.

The "I don't know" answer might mean any number of things. For example:

1. The respondent doesn't understand the question, and answers "don't know" to avoid saying that he didn't understand.

2. The respondent is thinking over the question, and says "don't know" as a tentative sort of idea to give him time to think.

3. The respondent may be trying to evade the issue. He may feel that his opinion is not socially popular, or that he doesn't have enough information to give a "fair opinion." Or he may have other reasons for keeping his opinion to himself, so he begs off with the "don't know" response.

4. The respondent may actually not know, and may not have an opinion or an attitude on the topic.

Through stimulating discussion and reassuring the respondent, the interviewer will need to determine which of the above possibilities holds true when a respondent answers "don't know." If the respondent actually doesn't know the facts requested of him, or has no opinion on an opinion question, this of course is significant to the survey. However, it is the interviewer's responsibility, as far as possible, to ascertain that this is in fact the case.

Probing Methods Should be Neutral

We have stressed the fact that the interviewer needs to "stimulate" discussion. This does not mean that the interviewer influences the meaning of the respondent's answers. Probing procedures should be completely neutral so that the respondents' answers are not distorted by the interviewer's own ideas. Thus, when a neutral questionnaire question is asked of all respondents, we have up to that point comparability between all the interviews on the survey. If at this point each interviewer asks a leading probe, the responses are no longer responses to the original question, but will vary from interviewer to interviewer, depending upon the sub-question which was asked. This thoroughly defeats the objective of standardization, and adulterates the respondent's answer with interviewer ideas. The use of a probe is to increase the "response-getting" power of the questionnaire question, without changing its content. For example:

Question: In your opinion will the U. S. be able to get along with Russia in the long run, or will we have to go to war with them sooner or later?

Answer: I don't see as we'll need to go to war with them.

Probe: Mm huh. Well, why would you feel that we can stay out of war? *(very argumentative tone of voice)*

Answer: Well, both we and Russia want peace. It's pretty simple. All we have to do is get together with them.

Probe: You mean, you feel the Russians actually want peace?

Answer: (Changing opinion) Well, there is a lot of talk about war these days. Who can tell, maybe we will have to go to war with them.

In a case like this, you'll notice it is difficult to tell just how the respondent did feel about the topic because the interviewer subtly introduced his own thinking. Thus, the interviewer should in no way indicate his own position either through his choice of words for the probes or through his behavior. The respondent should be allowed to talk about the subject the way he wants to, and to develop his own answers through stimulation but not influence by the interviewer.

This principle, of course, applies to interviewing on both factual (e.g., "Do you own a car?") and attitudinal (e.g., "How do you feel about ....?") survey questions. However, in attitudinal interviewing, the interviewer must be especially careful to use neutral methods because the expression of attitudes and opinion is very easily influenced by the interviewer. Sometimes an answer may be suggested unconsciously by the mere inflection of the interviewer's voice. Take the simple question:

"Do you think the United Nations is doing all it can to help keep peace in the world, or not?"

Asked in a normal manner, this question easily permits either a "Yes" or "No" answer. But by the inflection of your voice, you can do all sorts of tricks with it. If you emphasize the word "all," you may get a higher than normal percentage of "No" responses. If you stress United Nations, you are likely to get a high percentage of "Yes" answers.

You Will Need to Know the Specific Objective of Each Survey Question

If the interviewer is to probe for clear, complete and relevant answers, he will need to know exactly what he is after. For each survey, we send out an Instruction Booklet to the interviewer which states the objective of each question on the questionnaire. This should be carefully read before any production interviews are taken.

The following example illustrates a faulty knowledge of the question objective:

Question: Can you tell me how much you spent on additions to your home, for repairs and upkeep this year, 1954?

Answer: Well, let's see...I had a new roof put on. Uh, then I had a grass sprinkler system put in the lawn. Yeah, and I got a new air conditioning unit put in at the factory.

Probe: Well, how does this break down? How much did you pay on each?

Answer: Oh, let's see...I paid about a thousand dollars for the roof, and two thousand for the sprinkler..uh, let's see, it was nine thousand for the air conditioning.

Probe: Uh-huh. That's a total of twelve thousand. Is that right?

Answer: Yes, that's correct.

In this example, notice that the question asks for money spent on the home. However, the respondent gave part of his answer in terms of an air conditioning unit in his small factory, and the interviewer failed to catch this. The mere fact that the respondent said something doesn't mean the question was answered according to the question objective. Very often, the interviewer will need to thread his way through a long series of side-issues and irrelevant answers before he obtains an adequate answer. To do this, he must keep his sights well-trained on the objective he is after.

Each Respondent is Different

The interviewer is cautioned not to forget a basic fact of human nature: just as there are not two finger prints exactly alike, there are not two individuals exactly alike. Each individual has his own unique ideas, and probing techniques should bring these ideas out as they exist.

The interviewer, of course, will need to size up the general type of the respondent since this information is useful in building rapport. However, the interviewer should never make assumptions or guesses regarding the respondent's responses. In carrying out the interview, the interviewer should maintain an objective and scientific attitude, and should be prepared for every conceivable response to a survey question.

CHAPTER VII

THE CLOSING PHASES OF THE INTERVIEW

GATHERING THE PERSONAL DATA

The survey analysis usually requires that we collect certain facts about each person interviewed. To this end, you are supplied with a check list or Personal Data Sheet on which the desired data are to be recorded. They include such items as the age of the respondent, his marital status, education, place of birth, etc. This material is obtained after the respondent has answered the last questions on the questionnaire.

You can usually start right in on the Personal Data questions with no resistance or question on the part of the respondent. ("Let's see now, this is an interview from a man, and I'll check that box. And about how old are you?" etc.) If, however, the respondent asks why you want his age, religion, income, or what-have-you, you can say something like the following:

> 'Well, as I was saying earlier, we are talking with men (women) of different ages and various occupations, etc. We put all the interviews together, and then count them up to see whether men feel differently than women, whether young people feel differently than older people and so on. To do this, we need to know a few things about the people we talk to. So, I have just a few questions on that type of thing."

This gives the respondent a logical reason for our desiring the information, and shows him why his cooperation will be of help. If there seems to be a need for further reassurance, you may add: "As I mentioned, the interview is completely confidential. The survey report is simply a summary of all the interviews, without, of course, identifying anyone."

Sometimes brackets are provided in the Personal Data Sheets, rather than specific figures required. In this case, you can show the respondent the brackets and ask him in which one he belongs. Or, you may make such a statement as: "Well, we're interested in your approximate age here - are you between 30 and 40, between 40 and 50 50..." This technique is useful in overcoming reticence to reveal personal data (although by this time in the interview, you will often have such rapport that the respondent would reveal his complete personal history, if you asked for it!).

If you are matter-of-fact in your approach, you will not encounter any problems. People are used to giving such information about themselves to various agencies, so that gathering such data represents much less difficulty than new interviewers often imagine.

CLOSING THE INTERVIEW

After the interview has been completed, you will need to close suitably your relationship with the respondent. It is important to leave the respondent with a friendly feeling toward you and toward the Survey Research Center which you represent. It is also important that any questions or doubts about the interview that may be expressed by the respondent be cleared up before you leave. The respondent should have the feeling that the interview has been a worthwhile and enjoyable experience, and that he has contributed something by his answers. If the respondent has shown interest in the survey and in the Center, you might ask if he has any more questions. If necessary, you can tell him to feel free to write the office if he would like further information on the Center's work. A few words of thanks will make the respondent feel that his efforts have been appreciated.

CHAPTER VIII

RECORDING THE INTERVIEW

Even though the interviewer does a good job in taking his interviews, the survey cannot succeed unless the interviewer conveys the responses to the analyst in a full and unbiased form. Ideally, the best way to obtain full and accurate information is to use some sort of recording machine, and to get down on the tape or disc everything that happened in the interview. This, of course, is not practical for a number of reasons. The interviewer, therefore, is charged with the responsibility of keeping an accurate record of the interview material as the interview proceeds.

RULES FOR RECORDING INTERVIEWS:

CONTENT

In its written form, a good interview should present a picture of what the respondent said, and how he said it. The function of the written interview is not simply to relay to the office the answers to the survey questions, but to transmit, as nearly as possible, an image of the interview situation and the personality of the respondent.

Record the Responses During the Interview

Experience has shown that the only accurate way to reproduce the responses is to record them during the time of the interview. A good deal of relevant information will be lost, and distortions will occur if you try to remember everything and then write it up afterward.

Use the Respondent's Own Words

To obtain a faithful record of the respondent's answers, the interviewer should write down what the respondent says in response to each question. The interviewer should be sure that the written replies are the respondent's answers in his own words. Although you cannot portray facial gestures, you can retain much of the "flavor" of the respondent's thinking by recording the interview verbatim. Try to catch the phrases, grammatical errors, tricks and peculiarities of speech characteristics of the particular person so that something of his individual personality will be reflected in the interview and give it color and animation. A good interview report is one in which the respondents replies are reported in the words he himself used to express them.

Do Not Summarize or Paraphrase the Respondent's Answers

Summarizing or paraphrasing a response creates an artificial and dangerous step between the respondent and the analysis, since it is likely to result in distortion.

If he summarizes or paraphrases, the interviewer can very easily distort (however unintentionally) the emphasis of an answer, and obscure the respondent's perspective or level of thinking.

Consider the difference between the following examples; one was recorded verbatim, the other was paraphrased:

"I don't give a doggone what the Russians think of us. I think we should get in there and tell those stinkers off. They're pushing us around too much!"

"We should stand up to the Russians."

Notice that the paraphrase to the right above lacks the true intensity and lustre of the respondent's reply. But the problem is more serious than this: the paraphrase above, to some extent, actually distorts the meaning of the respondent's answer. The specific terms in which the respondent talks, the words he uses and the length of his answer all provide us with important information.

Include Everything that Pertains to the Question Objectives

Everything that pertains to the objectives of a question should be noted. Long, irrelevant discourses may be omitted if you are certain they have no bearing upon the question, and contain nothing which serves to throw further light on the study objectives. (The interviewer will have to exercise his judgment in deciding to what extent the contents of such digressions are relevant to the aims of the interview. When in doubt, include the digression).

When digressions are omitted, the interviewer should briefly summarize in the interview report what the respondent was talking about, and enclose the summary in parentheses. For example:

> (Here, R talked at length about his son's experience in the war which I decided wasn't directly connected to the question objective)

Include All Your Probes

All comments or probes by the interviewer should appear in the interview report in parentheses at the point where they were made in the interview. This is necessary because the analyst needs to know at just what point the respondent's answer to the survey question stopped, and exactly where the interviewer probed or made a rapport-stimulating comment. (See suggestions for useful abbreviations given below).

Hold the Respondent's Interest

Most respondents won't mind the fact that you are writing down the answers. However, if the respondent seems somewhat sensitive on this point, you may want to make a short explanation. Such a statement might be:

> "If you don't mind, I'll jot down some notes as we go along so I'll be sure to remember accurately what we talked about."

The interviewer should keep his attention centered on the respondent, and not become absorbed in his notebook or questionnaire to the extent that the respondent is not the center of his attention. Nor should the interviewer pause too long in his note-taking while the respondent waits for the next question. This doesn't mean that there should be constant chatter, but merely that the interviewer should guard against losing the respondent's attention and interest. With a little practice, the interviewer can readily acquire the knack of taking notes deftly while at the same time he keeps the conversation moving.

Include Thumbnail Sketch, When Indicated

On some surveys a short Thumbnail Sketch describing the interview situation should be included with the interview write-up. The instruction booklet for the survey will indicate when this is needed. Since they are often very helpful in interpreting the rest of the interview, the Thumbnail Sketches should appear at the beginning of the interview report where the coder can read it before proceeding to the answers.

The Thumbnail Sketch should include the following types of information:

1. Attitude of the respondent and family toward you and the survey.

2. Any unusual characteristics of the respondent or the dwelling, or factors in the life of the respondent which help to explain his answers.

3. Any factors which tended to influence the interview -- interruptions, digressions from the topic of the interview, foreign language difficulty, respondent hard of hearing, respondent not understanding or disliking certain questions, etc.

4. In general, include any information about the respondent, aside from what's on the questionnaire, which you think will aid the analyst in understanding the respondent and his answers. For example, on the way out to the door the respondent might give additional information which he hadn't mentioned during the interview. Or, during your introduction, he might have made a a significant statement or inquiry.

Note: Do not include in the Thumbnail Sketch notes to the office which you want us to see right away, or which require an answer. Rather, put these on stationery addressed to us, since we're liable not to see the Thumbnail Sketch right away.

RULES FOR RECORDING INTERVIEWS:

MECHANICS

To facilitate analysis and to make the interviewer's job easier, it is necessary that the interview reports be filled out according to a uniform procedure. The following specific rules for the form of an interview should therefore be observed.

1. The writing must be legible. For Write-Up Questions (see below) either typewritten or handwritten (ink or pencil) manuscripts are acceptable. For the other

two types of questions (described below) you will need to use pencil, since erasures during editing may be necessary.

2. Place your name, interview number, and the project number at the top of each page. (In regard to interview number, you should number your interviews in the order in which you take them. Do not assign an interview number to a sample address until the interview is actually taken. Thus, each interviewer maintains his own numerical sequence for the total number of interviews he takes on a given survey).

3. Where applicable, use exclamation points and underlinings in the interview report to indicate words which the respondent stressed.

4. Within each survey question, parentheses should be used for the following purposes:

A. All probes you use.
B. All remarks you make to the respondent.
C. Comments you wish to make to the analyst--
   a. What the respondent means by an unclear answer (when probing has failed to work)
   b. Description of respondent behavior (for example, "pounds table" or "R frowns")
   c. Summaries of what the respondent said when he digressed.
   d. Cross references (see below)
   e. Abbreviations indicating "inapplicable" and other reasons a question is not answered (see below).

The use of parentheses is necessary because it allows the analyst to differentiate clearly between the answer of the respondent and your comments or explanation.

5. Cross references should be used to call attention to material in one survey question which contains an answer (in whole or in part) to another question. The need for cross reference can arise in two ways. First, in answering an earlier question, the respondent may also answer a question that comes later in the interview. In this case, write down the answer as it occurs, and when you get to the later question (which was partially or wholly answered) write in a cross reference. (Note: A question may be omitted only when you are certain you have already obtained a full and clear answer to it). Such a cross reference might be:

Q. 10 - (see Q. 4)

Or, the other way around: a respondent may think of something he wishes to add to an earlier question. Again, write it down at the point in the interview where the respondent mentions it. When you review the interview before sending it to the office, put a cross reference in the earlier question involved.

6. Each question in the questionnaire should be accounted for either with an answer or with an explanation of why no answer is given. In order to keep things straight, the following standard set of abbreviations should be used when a question is not answered.

Inap. -- This is an abbreviation for inapplicable or inappropriate and is to be used when you did not ask the question because it did not apply. Inap. IS NOT TO BE USED ON SPACES CALLING FOR DOLLAR AMOUNTS (see Fill-Out questions below).

Omitted - Means that the question was appropriate for the respondent but that you left it out intentionally for some reason. In these cases, the reason should always be given.

Skipped - This is used only when the interviewer left out the question unintentionally.

The following symbols apply only to financial questions -- those requiring answers in dollar amounts.

0 -- The zero is used only when a question has been asked and the reply was "none," "no," "not any" or some other equivalent of zero. The zero should never be put in if the question was not asked.

---- -- The dash is to be used only in spaces requiring dollar amounts where where the question was not asked because it did not apply. With the exception of the abbreviation DK (which means the respondent does not know the dollar amount), no words are to be used on lines requiring dollar amounts.

X -- An "X" may be used through an entire box of questions (i.e., questions grouped into a box on the questionnaire) instead of Inap.

Note: There is an abbreviation, N.A. which has a special meaning for our analysts and for that reason should never be used in writing up an interview.

Tips on Note-Taking

With practice (try recording part of a radio newscast, practice on a friend, etc.), the interviewer will be able to take down the interview material with little or no trouble. Here are some tips which can help the interviewer become adept at speedy recording:

1. In sitting down to start the interview, try to find a place where you can lay your materials on a flat and firm surface so that you will be able to write your notes conveniently. Experience has demonstrated that if the interviewer's position is convenient, the notes will be of better quality. If possible, try to line up the questionnaire and respondent (and notebook, if you're using Write-Up questions) in the same line of vision so that you can take each one into your vision without moving your head or body to any extent.

2. Be prepared to write while you're still asking the question. When the respondent starts to answer the question, begin to write immediately. If you wait until he's through before you start writing, it might be difficult to record the reply verbatim, in which case you'll be tempted to summarize, the answer in your own words.

3. In many cases you'll be able to take down the answers legibly during the interview. If the respondent starts talking fast, or if for some other reason you have trouble recording it legibly, you may need to use such devices as the following:

a. Abbreviate words. Usually this is done by using the first letter plus a few key letters. You may find it useful to use an apostrophe when at least one syllable is omitted. In addition, certain words appear frequently in the interviews on a particular survey, and as you go along, you can develop abbreviations for such words. In a financial survey, for example, such words as "financial," "prices," "cost-of-living," "government," "business," etc., occur frequently. By way of example, look at these abbreviations:

R - respondent	pcs - prices
I'er - interviewer	cst lvng - cost-of-living
I'w - interview	fncl - financial
I'ng - interviewing	gvt - government
DK - don't know	ec - economic
RQ - survey question repeated	mkt - market
T'Nail - Thumbnail Sketch	depr'n - depression

b. Abbreviate sentences. You can do this by leaving out articles and prepositions, by using only key words, etc. In the case of standard probes, all you will need to jot down is one or two key words which will designate the standard probes which are understandable to everyone. For instance, (How mean?) is all that you need to write to show that your probe was (How do you mean that?). And (What mind) designates that you actually said (What do you have in mind?). In all cases where you think we won't understand what probe you used, be sure to write it out after the interview. (Thus, for probes which aren't standard or are complicated you will need to jot down enough key words in your notes to enable you to remember correctly how you worded your probe -- so you can write out the probe during an editing or write-up session after the interview).

c. Look up speed-writing systems. There are books on the market which deal with simplified speed-writing systems (other than standard shorthand) which are relatively easy to learn. You may want to study one of these systems or to work out some methods of your own. The fact is that most respondents don't talk fast, and if you make a conscious effort to work out some sort of abbreviation system, you will have no problem.

Remember That Someone Who Was Not Present During the Interview Will be Using the Interview Report.

Respondent answers which are clear to the interviewer are not always clear to the analyst, who was not present during the interview. The interviewer has the benefit of seeing the respondent's facial expression, hearing the respondent's tone of voice, and other clues in the interview situation. The analyst, however, will have only the written words to consider. By including probes, by getting verbatim answers, and by including exclamation points, underlinings and other comments on the way the answer was given, the interviewer helps to close the gap between the interview situation and the analyst.

After the interview you will need to go over the interview report to make sure it is clear to someone who was not present during the interview. In particular, vague abbreviations or unclear sentence shortening should be clarified. Even though you have asked a question, probed and obtained a full answer, the entire question can be lost to coding if the coder can't understand what was written.

The best time to go over the interview is right after you take it. Sometimes it isn't possible to get right to it because you're out on an extended field trip -- but don't take more than one or two more interviews, or let more than a day pass before you go over the interview.

* * * * * * *

In terms of the interviewer's recording procedures, there are three types of questions the Center uses on its interview surveys. These are:

1. The Write-In Question.
2. The Check-Off (Fill-Out) Question.
3. The Write-Up Question.

Usually, a survey will involve at least two of these types of questions. For example, on the Center's study of the 1952 Presidential Election, the Center used a Write-In Questionnaire for the main body of questions, and Fill-Out Questions for the personal data information. (Personal data are almost always obtained by means of the Fill-Out Question.) On the Survey of Consumer Finances, all three types of questions have been used on the same survey. However, on any one survey, a major part of the information will usually involve the use of only one of these question types.

USING WRITE-IN QUESTIONS

In the case of the Write-In Question, a questionnaire for each respondent is furnished you. Lines for the respondent's answer are provided after each printed question. During the interview, the interviewer writes the respondent's answers and his own probes on the questionnaire in the lines provided. This type of question is used on topics for which most respondents' replies are likely to be short and easily recorded; thus this type of question does not usually involve "writing up" the respondent's answers after the interview.

In most cases the interviewer can easily record the answers legibly at the time of the interview since most of the questions can be answered by a single word or short phrase. Occasionally, a Write-In Question will require a longer answer or some detailed probing, or a respondent may get "wound up" and deliver an extensive speech. When this happens, if the material is relevant to the question objective, the interviewer will need to take down the material, resorting to abbreviated notes, with a view to "writing up" the answer as soon as possible after the interview.

The pretesters try to leave enough space which, according to the pretest interviews, should take care of any ordinary answers. If the space provided is not enough, and if the interviewer feels that the respondent is giving relevant information, it should be taken down on the back of the page, in the margin of the questionnaire, or on an extra sheet of paper. (The interviewer should make a note on the questionnaire to indicate that this has been done so the coder will be sure to catch all the pertinent information.) The interviewer should not write summaries of the respondent's answers, and should not omit relevant material or probes that were used.

In most cases the interviewer will not have to re-write the answers to Write-In Questions. In a few cases it might be impossible to take a legible record during the interview, and these responses will have to be rewritten. The general rule is to rewrite only those answers which are illegible. In any case, the interviewer will need to give each interview a brief final checking to see that it is complete and readable.

Example of Recorded Write-In Questions

Q1. Who do you think will be elected president in November? *Oh, I don't know, I guess Eisenhower*

1a. (IF R MAKES CHOICE) Do you think it will be a close race or will (answer to Q1) win by quite a bit? *Well that's hard to say (How mean?) Oh I think Ike will really take it by a wide margin.*

Q2. Do you think there are any important differences between what the Democratic and Republican parties stand for, or do you think they are about the same? *You're darn right there's a difference (R. pounds table (What have in mind) → (See back of sheet answer to probe.*

Q3. Suppose a man has some money over and above what he needs for his expenses. What do you think would be the wisest thing for him to do with it nowadays - put it in a savings account, buy government savings bonds with it, invest it in real estate, or buy common stock? *Gosh, I don't know anything about stock (RQ) Oh I'd say government bonds.*

3a. Why do you make that choice? *Gov't. is pretty safe. If it fails nothing will have any value*

USING CHECK-OFF (FILL-OUT) QUESTIONS

The Check-Off or Fill-Out type of question is used on topics of simple fact which merely require that the interviewer check the appropriate boxes or enter the appropriate figures on the questionnaire. This type of question obviously requires no write-up after the interview. The interviewer will have frequent occasion to use the Check-Off or Fill-Out Question since the Personal Data Questions at the end of the usual Center interview are written in this form. In addition, most of the interview on surveys involving a large body of factual information (such as a Survey of Consumer Finances) will utilize this type of question.

Since all the interviewer needs to do is to check the appropriate answer-box or enter the appropriate figure on the questionnaire, this kind of question poses very few problems in recording the respondent's answer. There are however, errors which occur from time to time in the use of Check-Off or Fill-Out questions:

1. The interviewer, of course, should be sure to check the correct answer-box or use the appropriate line for entering the figure required.

2. It is important to check one and only one answer-box for each question (unless the question instructions indicate otherwise.) Sometimes a respondent gives an answer to a question, and the interviewer checks the correct box. Then the respondent changes his mind and gives another answer. Before the interviewer checks the box corresponding to the respondent's final answer, he should erase the check mark for the original response. Another mistake to avoid is marking the questionnaire so that the coders can't tell which answer is indicated.

For example: $\boxed{\text{Yes}}$ ✓ $\boxed{\text{No}}$ $\boxed{\text{Yes}}$ ✗ $\boxed{\text{No}}$

3. The interviewer needs to be familiar with the layout of the questionnaire and the question instructions before interviewing is started.

4. Fill-Out Questions should be inspected for errors and omission as soon as reasonably possible after the interview.

5. In using Fill-Out Questions feel free to write in the margin any comments made by the respondent which amplity, qualify or clarify the response.

Example of Recorded Fill-Out Questions

Q44. Do you own a car? $\boxed{\text{Yes}}$ (X) $\boxed{\text{No}}$

IF YES 45. Do you own more than one? $\boxed{\text{no, just one}}$ $\boxed{\text{two}}$ (X) $\boxed{\text{three or more}}$

		First car	Second car, if any
IF OWNS	46. Did you buy your car new or used?	$\boxed{\text{New}}$ (X) $\boxed{\text{Used}}$	$\boxed{\text{New}}$ $\boxed{\text{Used}}$ (X)
	47. What year and make is it?	1953 Ford	1950 Ford
	48. When did you buy it (year)?	1953	1951 Station wagon
If 1952 or 1953	49. What month did you buy it in?	Feb.	Dec. I think
	50. What was its total price?	$2100	$2500

USING WRITE-UP QUESTIONS

On some surveys, either part or all of the questionnaire is composed of Write-Up Questions. In this case all discussion in the interview is recorded verbatim by the interviewer in his notebook during the interview. Then, at the earliest opportunity after the interview, the interviewer completely "writes up" his notes of the discussion, including all respondent answers and interviewer probes. In writing up his notes, the interviewer expands all abbreviations which he used in his note-taking, so that the final form of the write-up gives a complete picture of the discussion.

The Write-Up Question is usually used on exploratory studies where full investigation of the various aspects of the respondent's thinking is required. Write-Up Questions are likely to involve long, complicated responses which require extended probing. The problem of recording the responses, thus, is more complicated than in the case of Write-In or Check-Off questions. For this reason, the write-up of necessarily abbreviated notes is required.

Taking Notes During the Interview

In general, the interviewer needs to follow the rules for recording interviews outlined above in this chapter. In addition, the following comments apply exclusively to Write-Up Questions.

In using Write-Up Questions, the interviewer should take verbatim notes -- word for word exactly as the respondent states his ideas on each question, numbering them according to the questionnaire so they can be identified with the proper question when written up. If the interviewer can take notes in shorthand, so much the better; if not, the interviewer will need to work out some sort of abbreviation system (see Tips on Note-Taking above). In any event the interviewer should be sure that his necessarily abbreviated jottings accurately reflect the respondent's answers in his own words, including bad grammar, dialect, slang, and even profanity. Even the most hastily taken notes should be sufficiently full so that the interviewer will be able to reconstruct the answers as a true reflection of the respondent's opinions.

Digressions by the respondent can be omitted if the material is clearly irrelevant to the question objectives. However, when in doubt, the interviewer should always include the digression. This is especially important in the use of the Write-Up Question. For example, the respondent may sometimes seem to ramble, but may actually be giving useful information. The interviewer should be alert to sense significant implications in comments that may at first seem to be a digression. A recital of some past experience, an illustration by use of analogy, the experience of a member of the family or friend, related in a rambling manner may have the most important bearing on the respondent's thinking.

Writing Up the Interview

Before actually writing up his notes, the interviewer should reconstruct the situation for himself so that he has the individual clearly in mind. Time is an important factor in this regard. Experience has shown that the longer the interviewer waits to write up his notes, the more difficult it is. It is necessary that the write-up be done as soon after the interview as possible.

If through inadvertence or lapse of memory the interviewer cannot supply the original answer to a question, he should make a simple statement to this effect in the proper place in the write-up, placing after the question number a notation such as "Forgot to ask," "Notes for this question unintelligible," "Cannot recall answer," or whatever the cause of the omission may be. If the interviewer remembers the gist of the respondent's answer, he should write it up, putting it in the following form: (R said that ....) In no case should an interviewer assume that he can deduce what a particular respondent would have replied to a given question.

Examples of Question Write-ups

Here are some examples of the way experienced interviewers write up the answers of their respondents. In a study of international relations, question 16 was: "Do you think the Russian Government is trying to cooperate with the rest of the world as much as it can?" One answer was:

16. My belief is that Russia is not. Russia seems to have some fear. (What sort of fear -- fear of what?) There's a feeling of distrust there. It seems they really can't trust the other countries. (Why do you think that is?) The reason, I believe, is because their form of government is not the same as ours. For that reason they distrust our government. They fear there might be some conflict arise between the various types of governments.

In a study done among wheat growers, question 4 was: "Do you think the Government should do anything to support wheat prices?"

4. Well, you want me to tell you what I really think? (Absolutely) They shouldn't tell us what to do, (R shaking his head) and as far as that goes, they ain't got the right, but of course, if things get so bad they look like we're gonny drop back to forty-cent wheat, then I think we got to do something like that. (support prices).

SECTION C

SAMPLING: PRINCIPLES AND PROCEDURES

The previous section outlined the procedures we use in collecting accurate information from the respondent. However, no matter how good the interviews are, the results of our surveys cannot be accurate if we select the wrong people to interview. That is, our sample of respondents must be selected carefully according to sound principles so that it will faithfully represent the population we are studying. This means that sampling procedures need to be adequately designed in the office, and need to be carefully carried out by the interviewer in the field.

The following section will give you some of the ideas behind our sampling methods, and will describe the procedures to be followed by the interviewer in this important part of the survey process.

CHAPTER IX

THE PRINCIPLES OF SAMPLING

In a sense, sampling is a procedure which is known to all of us. Consider the case of the housewife buying a bushel of apples at the market. The housewife's problem is to determine whether or not the apples are of good quality. Rather than look at every apple in the basket, the housewife "samples" the bushel of apples by examing a few apples which she assumes are like the rest of the apples in the basket. That is, our housewife uses her "sample" of apples to generalize about the quality of the entire lot. This example illustrates the basic aim of all sampling which is to select part of a population or group to faithfully represent the whole population or group being studied.

In terms of survey work, statisticians at the Center and elsewhere have worked out a method which enables us to select a small but representative sample of the population under study. By observing (i.e., by interviewing) our sample we can make accurate estimates about the entire population from which the sample was taken. Thus, a sample of only 1,000 interviews can accurately reflect the situation of 100,000,000 adults within a very small margin or error -- provided that those 1,000 respondents have been carefully selected according to sound principles of sampling.

How is it possible to make accurate estimates about millions of people by using a sample of only 1,000 of them? A detailed answer to this question would require a very thick book and a good deal of technical language. However, the basic ideas behind this kind of sampling are simple. Following paragraphs will outline some basic sampling principles, and will briefly describe how our survey samples are drawn.

THE BASIC IDEA BEHIND SAMPLING

A basic requirement of any sample is that it must reflect the population from which it was selected (i.e., the population which we are interested in studying). The work of statisticians has demonstrated that the best way to be sure a sample is representative is to use some completely "random" method of selection. Selecting at random means using some specified method of choosing which gives each individual in the group to be studied an equal chance of being in the sample.* A random procedure may be illustrated by the method used by the Selective Service. Slips of paper bearing numbers are thoroughly mixed in a bowl, and then are selected at random, one at a time. (The numbers selected designate the drafting of the men holding the specified registration numbers).

* To be more exact, each individual must have at least a known chance of getting in the sample.

In the case of the housewife, this means that every apple in the bushel being sampled must have the same chance of being selected for examination, including the little apples and large apples, including apples in the middle and bottom of the basket as well as the apples easiest to pick up on the top. For the researcher, this means that every person in the population being sampled must have an equal chance of being interviewed, including rich and poor people, old and young people, people in large cities and those on remote farm roads, and so on.

SAMPLING PROCEDURES USED BY THE CENTER

The random selection of apples from a bushel basket is a relatively simple procedure. The housewife could proceed systematically through the bushel basket, going through each bit of space in the basket only once, and selecting every fifth apple, for example. On the other hand, selecting a random sample of all households in the U. S. for a survey involves a more complicated method, although the principle is the same. For this reason, let us take a somewhat more complicated example to illustrate the actual procedures used.

Simplified Illustration of Sampling Method

Suppose that you have a large apple orchard of 600 trees, and you want some information on how much fruit you can expect to get from the orchard. You could use various procedures to arrive at an estimate.

1. You could merely look at the trees and make an estimate. If you wanted only a crude estimate, a quick look at the trees would be an adequate procedure. In this way you could make a very rough statement that "it looks like I'll have a good yield this year." Using this rough method, you might even guess at how many apples would be picked. However, you would have to recognize that your guess was very rough, and could be very inaccurate.

2. You could go through the orchard selecting a few of what you think are "average" or "typical" trees. You could pick the fruit from these trees, and if the trees were really average, you could estimate more accurately the total yield of the orchard. But suppose some of the trees were pretty old, some of them quite young. Suppose they were of different strains. Suppose also that part of the orchard was on a hillside and another part of it was in a hollow, so that the amount of rainfall and exposure to sun and frost were different for different parts of the orchard. Then you would have all sorts of conditions to keep in mind in choosing your "average" trees. Your guesses of what would be average or typical trees could plainly be very much in error, and when you multiplied your incorrect average by the total number of trees, the error would be large indeed.

3. Obviously, you would need some method which takes all these factors into account. That is, you would need some method of "random selection" which

would give each tree an equal chance of being included in your sample. It is only in this way that you could reliably obtain a representative sample. This method would involve a procedure like the following:

Starting at one corner of your orchard, you would begin counting trees. You would count every tree, no matter how good or how poor its yield appeared to be. At every - say - 20th tree, no matter what its quality, you would stop and pick the fruit. This means that you are giving every tree one chance in 20 of coming into your sample. At the end of this process, you would have apples from 30 trees in bushel baskets. Since each tree has one chance in 20 of coming in the sample, to get an estimate of the total yield you would multiply the number of apples you have by 20. -- In picking from every 20th tree, some of the trees might seem to you to be too poor, others too good, but your sample of trees would be a miniature of your orchard, representative of the different ages, the different strains, and different growing conditions included in the orchard. Your estimate of the total yield would therefore be based on the actual state of your orchard, not on guess.

To draw a sample of American households in exactly the same manner would mean starting in one corner of the United States and counting off households, not skipping a single household no matter how small or unusual or out-of-the-way it happened to be, and taking -- say, every one-thousandth household as a sample household. That procedure is, of course, impossible. But the scheme that the Center actually uses in drawing a sample is based on the same principle.

"Area Probability" Sampling

The modern sampling method used by the Center, called "Area Probability Sampling," is a form of random sampling. Center respondents, in effect, are randomly selected within randomly selected geographical areas so that each person or unit in the population being studied has an equal or a known chance of getting into the sample.

The "area" in area sampling means that this sampling method is based on these two assumptions: that all persons we will survey occupy a place in time, and a place in space. Their place in time is the duration of the survey. Their place in space is their place of residence, whether on a farm or in a city dwelling.

Therefore, if the total ground area of the United States is divided into small areas, such as city blocks, towns, or open country segments, then every person in the United States and every person who is a potential respondent will have a place of residence in one of these small areas. It follows that if each of these areas has an equal chance (or at least known chance) of being designated as an interview area, then each person in the United States has likewise an equal (or known) chance of falling into an interview area. This is the basic idea of this kind of sampling. Thus, it is made certain that chance lies alike among rich man and poor, wise man and fool, not just the average American, but the extremes as well.

Description of How the Sample is Selected

The selection of the sample for most of the surveys you'll be working on is carried out in a series of steps. Roughly, these steps are as follows:

Step 1: The entire area of a map of the United States was divided into sub-areas in such a way that every bit of territory in the country falls into one and only one sub-area. These sub-areas are generally counties or metropolitan areas because these are convenient units within which the interviewer can operate. (In certain places we select parts of two or three counties for greater convenience. The large metropolitan areas, of course, consist of many counties).

Once the sub-areas are designated, we select by chance -- that is, by a random method -- 66 sub-areas to be in our standing national sample. The 66 sub-areas are scattered throughout 34 of the 48 states.

Step 2: Each one of the 66 selected sample points is further sub-divided into smaller areas. Let us take, for example, a hypothetical county, and show how it would be handled if it had been selected as one of the 66 sample points. (The subdivision of the county is done by means of a county map). Suppose that the county contains 6 highly populated areas such as cities or towns. We would mark these areas on a map, randomly select say two of these areas to be in our sample.

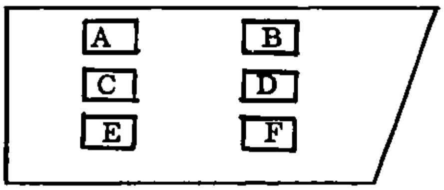


Fig. 1. COUNTY "MAP" SHOWING TOWNS AND CITIES (A, B, C, ETC.)

Now, we must give the remainder of the county (i.e., that part which was not included in one of the 6 congested areas) a chance of being selected into the sample. We would sub-divide this rural portion of the county into what we call "open country segments," and randomly select one or more of these to be included in our sample. -- Let us suppose that we randomly selected two congested areas (towns A and C in the diagram below) and three open country segments (segments 1, 2, and 3 in the diagram below) as the sample points within the county.

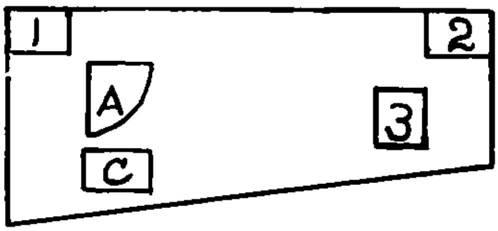


Fig. 2. COUNTY "MAP" SHOWING SELECTED SAMPLE AREAS (TOWNS AND SEGMENTS)

Step 3: Each of the two selected towns would be further sub-divided into blocks by marking these areas off on a map or aerial photograph according to natural block boundaries (streets, etc.). Sample blocks are then randomly selected within each of the towns or cities in the sample. Each block selected would be a block within which interviews would be taken. -- The task remaining is to randomly select the particular dwelling units at which interviews are to be taken.

Step 4: For the succeeding steps in the sampling procedure, the interviewer is the key person. He is the person who carries out the further sub-dividing of the areas already selected. -- We ask the interviewer to "list" the addresses (or descriptions) of all the dwellings in the blocks we have selected for our sample. In doing this, the interviewer is, in essence, making a "map" of the block which can be used in the office to select dwellings. (See Chapter X on Listing).

For a particular survey, the Sampling Section will select "sample addresses" from the listings of the sample blocks made by the interviewer. The selected sample addresses designate where the interviews are to be taken. -- In selected open country segments, the interviewer is usually asked to interview at every dwelling found within the segment.

*Step 5: Within each selected dwelling, a specific respondent is designated, perhaps the head of a spending unit, or perhaps an adult selected at random (see Chapter XII).

Human Judgment is Unreliable in Sample Selection

In the description of our sampling given above, notice that random sampling is used at every step in the process, and that no personal choice of interviewing areas or respondents is left to anyone on the survey staff. As we have seen in the "orchard" example above, if a surveyor tries to pick a representative sample by guessing certain people or places to be representative, a "biased" sample is likely to result (that is, the sample will tend to over or under-represent certain groups, and will not be a true replica of the population being sampled). Human judgment should not be the basis for the selection of a sample if it is to be unbiased.

Usually these biases are unconscious. For example, sampling research has been done on surveys in which interviewers or samplers did, in fact, try to pick out a sample of "typical" families. It was found that without realizing it, most field workers tended to skip houses where dogs are kept! It happens that larger families tend to have dogs, and as a result, larger families were seriously under-represented in the sample.

*Actually, the theory and practice of modern sampling is much more complex than is indicated by the steps given above. The details are unnecessary to an understanding of the general principles we have outlined. If you are interested in further information on sampling, write the Center for additional material and see the bibliography at the end of this manual.

Conscious biases also operate. Thus, in choosing "typical" farmers, field workers are reluctant to take their cars into back roads. Farmers in remote areas are, therefore, underrepresented, and since they are different from those living along good highways, such "samples" are never representative. Experience in sampling indicates that there are hundreds of biases like these, and that they invariably operate in judgment selections.*

THE INTERVIEWER AND SAMPLING

We have stated the principles and methods used by the Center in its sample selection. What significance do these principles and methods have for the interviewer?

The Goal: To Take an Interview at Each Dwelling in the Sample

The office makes every effort to use adequate sampling procedures. However, a large part of the survey sampling is in the hands of the interviewers. If sampling procedures are to be effective, indeed if Center surveys are to be successful, the interviewer needs to carefully study and execute the field sampling.

In the various sampling steps, from listing to actual interviewing, if we miss any of the sub-areas, the people in these areas have no chance of getting in the sample, and the sample fails to that extent. The areas which have fallen into the sample need to be correctly identified by the interviewer, including of course, the designated dwelling units. Once the sample dwelling units have been ascertained, the interviewer needs to obtain interviews at as many of the designated dwelling units as possible.

The Interviewer Cannot Substitute Respondents

Chapters XI and XII describe the procedures to be used in identifying sample dwelling units and selecting the respondent at the dwelling. In carrying out these procedures, the interviewer cannot substitute one individual for another if the original person is unavailable. The unanswered doorbell does not allow the interviewer to step next door. Like the Royal Mountie, he must get his man. The house on the remote back road or muddy street, the house with the long flight of steps to the front door and the one with the growling dog outside thus have equal opportunity of being included in the sample.

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*In "Quota Control Sampling," used by some survey organizations, interviewers in selected areas are asked to choose respondents who fit certain categories thought by the Study Director to be pertinent. The dwellings where interviews are to be taken are usually not specified in advance, the interviewer being provided with a Quota Sheet telling him to look for a certain number of men and women, a certain number of people in each age group, economic level, etc. Quota Samples tend to over-represent the kind of people that are easily available, and are easy or pleasant to interview. Investigation has shown that Quota Control Sampling was partly responsible for the failure of the polls during the 1948 Presidential Election Campaign.

If we made a substitution when a respondent was not available or when the dwelling is difficult to get to, we would quickly destroy the representativeness of our sample. People who live on back roads can be very different from people who live on well-paved streets. People who stay at home are not the same as people who tend to be away from home: when substitutions are made, the sample misses such important groups as young men, people with small families, employed women, farmers who deal in products which require regularly trading in town, etc.

Interviews in a Sample Area Are Not Used to Represent That Area

An interviewer may find himself thinking, as he interviews at sample addresses, "why these places are not at all typical of this locality." On the usual Center survey, the interviews in a particular county or metro area are not necessarily a representative sample of that particular area, and will not be used to represent it. The purpose of the sample is not to represent one county, but rather to represent the entire United States, or major regions of it.

In addition to your own county or metro area, there are many other sample areas, and each one of them contributes only a small number of interviews. The interviewer should think of the sample as a thin network spread over the whole area represented by the survey. No one county is adequately represented by itself, but when taken together, all the sample areas represent the U. S..

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The following chapters on various aspects of the field sampling will spell out the interviewer's procedures in some detail.

CHAPTER X

LISTING DWELLING UNITS IN SAMPLE BLOCKS

The geographical units where you go to interview are of two kinds: 1. Open Country Segments, and 2. Town, City (or "Rural") Blocks. Prior to the interviewing, we in the office randomly select these units, using maps and other information. In the case of Open Country Segments, you merely go to the segment(s) selected on a survey, and take interviews at all dwelling units located within the Segment (explained in Chapter XI). However, in the case of town and city blocks, the sampling procedure is a little more involved.

For town and city blocks prior to the interviewing, we need some exact information on the dwelling units which are located on these blocks. That is, in order to select dwelling units in an unbiased manner, we need to have a systematic list of all the dwelling units on the selected blocks. For this reason, we will ask you from time to time to go to selected blocks, look at every building on the blocks and write down the addresses (or description) of all places where people live or might live. This process is called "Listing."

When you have turned in your listing, we then select sample addresses from it. For a particular survey, we send back to you some of the addresses you have listed which we randomly selected, and you visit these addresses for interviewing.

Listing is an important part of the sampling process. The reason we list is to insure an unbiased selection of dwelling units for interviewing -- that is, to give each place where people might live its proper chance of getting in the sample (by being included in the listing). The accuracy of our samples, thus, depends upon the accuracy of your listing job. Furthermore, your listings are used to select samples generally for several surveys. This means you must list all dwellings well enough to enable an interviewer on future surveys to re-locate the designated addresses. The following instructions take you through the listing process step by step.

I. WHAT ARE YOU TO LIST?

Before we go to the actual listing procedures, let us consider first what you are to list. The purpose of listing is to obtain the address of every dwelling unit (occupied or unoccupied) within the boundaries of the sample block. This means that you'll have to have a good idea of what we mean by the term, "dwelling unit."

A. What is a Dwelling Unit? In general, a Dwelling Unit is a group of rooms or a single room forming separate living quarters and usually containing separate cooking facilities. A Dwelling Unit may be living quarters for a person living alone, for a family, or for any other group of people living together.* - "Separate living quarters" is the key phrase in this definition. (Notice that there are two ideas in this phrase: that of separate and that of living quarters).

Ordinarily, a Dwelling Unit is one of the following:

A one-family house.

Half of a two-family house (duplex)

One of the separate living quarters in a house which has been divided up into several separate Dwelling Units.

An apartment or flat in an apartment house or other building (including the janitor's apartment in the basement, or a penthouse on the roof).

Sometimes we find different kinds of Dwelling Units such as:

An apartment in a hotel building.

A rooming house with several (9 or less) roomers.

A shack or lean-to in a back yard.

A living quarters in a structure devoted primarily to non-residential use such as a Dwelling Unit in the back of a store, over a garage, in a gasoline station, or a watchman's quarters in a warehouse, etc.

A trailer, tent, houseboat, yacht, or railroad car on a siding used as living quarters.

The idea of separate cooking facilities applies to most cases and helps us to clarify the definition of a Dwelling Unit. However, there are some living quarters which may not have separate cooking facilities, but which are to be classified as Dwelling Units. The following types of living quarters are Dwelling Units even though they may not have cooking equipment:

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*"Cooking facilities" means cooking equipment for the exclusive use of the occupants. This might be a regular range or a stove; or it might be a gas or electric hot plate which is used for preparing the majority of the occupants' meals. (If the cooking equipment is used only to prepare light breakfasts, and the other daily meals are eaten elsewhere, the place is not a separate Dwelling Unit, and the occupant(s) should be considered a roomer(s) and is (are) to be included in the main Dwelling Unit in the structure - usually the landlord's Dwelling Unit).

Two or more rooms with a separate entrance.*

Rooms which are the only living quarters in the structure, such as a watchman's quarters in a building.

A one-room apartment.

B. Certain types of institutions are not listed. There are certain comparatively large places where residents have common living arrangements of some kind, and these are arbitrarily excluded from listing because their unusual nature calls for special treatment. The following types of institutions are not to be listed:

1. Hospitals
2. Dormitories for colleges and other schools
3. Convents and monasteries
4. Military installations

Of course, there may be Dwelling Units within such institutions occupied by people who maintain or run these institutions such as: the Dwelling Unit of a Doctor or caretaker in a hospital which furnishes his living quarters on the premises, or the dwelling of house mothers and teachers in college dormitories. Dwelling Units of this kind should be listed.

C. Why do we use the Dwelling Unit concept? People live in all kinds of places -- houses, apartments, tents, trailers, etc. Some houses are arranged just for one family, some for two or more families, and others, like apartment buildings, have living arrangements for dozens of families. Listing just the structures on a block would not tell us much. Listing every person who lives on the block would be cumbersome and unworkable. Thus, we need to define some kind of unit which more adequately and conveniently describes all of these living arrangements in a way which will give each person living on the block a chance of getting in the sample. The idea of Dwelling Unit is the concept we have worked out for this purpose.

II. MATERIALS USED IN LISTING

The following are the supplies you will need for listing:

A. A map of the city, town, or village on which the blocks to be listed are outlined and numbered. In some small towns we cannot obtain usable maps, and you may be sent an aerial photograph of the locale to use as the map.

B. A Dwelling Address Listing Sheet for each block (see end of this chapter for example). Each Listing Sheet contains a rough sketch of the block in the upper right corner. Continuation Sheets are included in the supplies in case you need more space for listing addresses.

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*Living quarters are said to have a separate entrance if the occupants reach their quarters directly through an outside door or a common hall and they do not have to pass through anybody else's rooms.

The Continuation Sheets are the same as the regular Listing Sheets, except that there is no space for the block sketch, heading, etc.

III. LOCATING THE BLOCK TO BE LISTED

A. Your map shows the sample blocks to be listed. The outlines on the map (or aerial photograph) and the sketch on the Listing Sheet define the boundaries of each block. Street names of adjoining blocks on the map will often help you locate the block boundaries. In areas where street names are missing (such as a rural block), use the street names which do exist in the vicinity as a clue. You can also measure off the distances which are involved by means of your speedometer. The mileage scales which are provided on maps and photos will help in determining distances.

B. Make Sure You're in the Correct Block Area. The block is defined as the entire area located within the given boundaries. You are to list every Dwelling Unit located within the boundaries (but not those in another block across a street which is one of the boundaries). -- When you reach the block, it may sometimes be a good idea to walk around it to identify the boundaries before you begin to list the dwelling units. Be sure that the boundaries of the block you are in correspond with those indicated by the map and Listing Sheet Sketch.

C. In most cases, the sample block will be an entire "city block" (or "square") bounded by four streets. However, in some cases, the block to be listed may be only part of a "city block." In other cases, the area of the block may include two or more city blocks or irregular tracts of land. In either case, determine the exact area as delineated on the map.

D. An effort is made to obtain the most recent maps and photos available. Changes do occur, however; streets and roads change names, etc. The important thing is to locate the area of the block as it was intended by the person who drew the outlines on the map or photo.

1. In case the area marked on the map or photo does not correspond to the block as you find it, try to determine the cause of the difference. List according to your own best judgment of the area covered by the map, and attach an explanation with a sketch of your own to the Listing Sheet. (Note: Sometimes the office of the city or county engineer or city clerk may be able to clarify your problem).

2. If you are unable to identify the block, send a description of the situation to the office and wait for clarification.

IV. DETERMINING THE DWELLING UNITS

A. When you come to a building, the first job is to determine whether any part of it is intended to be a place of residence. If the building contains living quarters -- either occupied, vacant or is in the process of construction -- list each of them. Churches, factories, stores, gasoline stations, etc., are skipped only if you are sure that no part of them is devoted to living space.

B. In most cases, the living quarters will be obvious, and all you will need to do is to observe the structure from the outside. Where you are unsure about the living arrangements and where only a few Dwelling Units are likely to be involved, list the Dwelling Units according to your best judgment. If however, you are unsure and there seem to be a large number of Dwelling Units involved in the building, follow the instructions given below.

C. One-family houses. In many cases, the building will appear to be a one family house and you will list it as such. Judge as best you can from the exterior. (Of course, since you had to judge from the exterior, some of these may be found at the time of interviewing to contain two or three or four dwelling units. At the time of interviewing, interviews will be taken at each of the dwelling units actually found at the address which was listed as one dwelling unit. - See Chapter XI)

D. Multi-Family houses. In some cases you will come across homes which you have good reason to suspect of being duplex or being split into several Dwelling Units. Such characteristics as the nature of the construction, double entrances, separated rear entrance, the number of doorbells, mailboxes or electric meters on the outside may give you clues. The kind of neighborhood also is pertinent (e.g., in low income neighborhoods, people may tend to divide a building into several Dwelling Units.) You should identify the separate Dwelling Units and enter them on separate lines. In cases where the houses contain four or more separate Dwelling Units, it is usually fairly evident from the outside, and you will be able to identify them and list them on separate lines of the listing sheet. In houses containing two or three dwellings, however, the distinction may not be always so clear. If you are in doubt about such a house, list it as one dwelling unit.

E. Apartment Buildings. In case of apartment buildings of permanent residency, the interviewer will need to determine the number of Dwelling Units and list them separately. Often mail boxes and doorbells provide a useful clue, and help the interviewer to determine the number of Dwelling Units in the building. Sometimes the janitor or manager in large apartment houses will be helpful in cases where it is difficult to determine the number of Dwelling Units.

1. Be sure to list the janitor's or superintendent's apartment.

2. Watch for separate entrances. Sometimes a building may have two or more separate entrances. Sometimes the basement and first floor apartments have separate entrances off the main lobby. Such clues as these will help you avoid missing dwelling units.

F. Transient Hotels, Tourist Courts and Apartment Hotels. There are transient hotels and apartment hotels in which some of the accomodations are used for permanent occupancy (in contrast to transient occupancy). When you come across a place like this, you will need to ask some responsible person whether there are any such accomodations. If there are living quarters for more permanent occupancy (including the manager's and janitor's living quarters, if any), you will need to find out if any of these have:

1. Separate cooking equipment -- which could be used for preparing the majority of the tenants' meals, or

2. Two or more rooms with a separate entrance

If a dwelling is occupied at times by transients and at other times by regular tenants, list it. Each unit (whether occupied or not) which meets either of these qualifications should be considered a separate Dwelling Unit, and be listed as such -- assuming that it is ordinarily used for more permanent occupancy. All non-transient units which do not meet F 1 or F 2, should be handled according to the instructions in Section H below.

G. Rooming Houses. Here again, you will need to determine whether there are any living quarters for more permanent occupancy. That is, we do not want to list those Dwelling Units usually occupied by transients (i.e., people who are going to be there for only a few days and who have a permanent residence elsewhere). You will need to ask some responsible person for this information, and apply qualifications # 1 and # 2 (in paragraph F above) to whatever non-transient living quarters you discover. -- All non-transient units which do not meet F 1 or F 2 above, should be handled according to the instructions in Section H below.

H. Non-transient Living Quarters Which Don't Fit F 1 or F 2 Above. In transient hotels, apartment hotels and rooming houses you may find some non-transient living quarters which don't technically qualify as Dwelling Units according to F 1 or F 2 above. If you find such living quarters, use the following rules:

1. If there are 9 or less separate living quarters in a building which do not qualify as Dwelling Units, they are simply considered rooms occupied by roomers, and should be regarded as combined with the landlord's quarters and listed as one dwelling unit. (The structure, thus, would be considered a single dwelling unit). If the landlord doesn't live there, they should be regarded as combined with each other, and listed as a single Dwelling Unit.

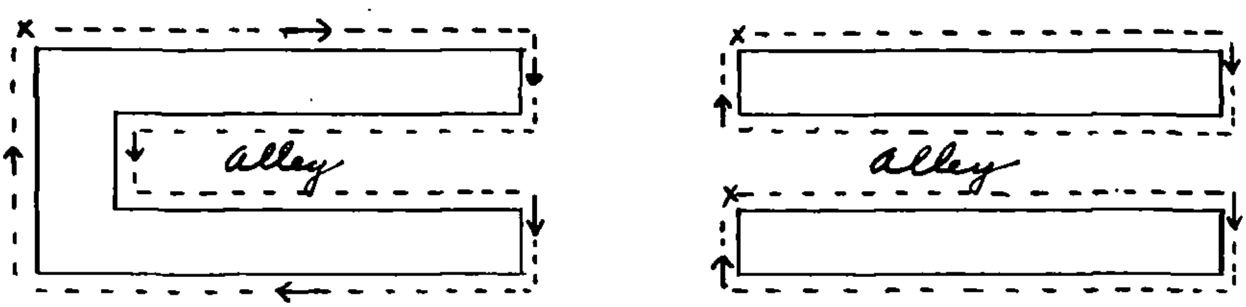
2. If there are 10 or more separate living quarters in a building which do not qualify as Dwelling Units, they are to be excluded from the listing. In this case, list any living quarters which do qualify (including the landlord's Dwelling Unit, if any), and make an explanatory comment in the margin of the Listing Sheet which you think will help explain the situation.

I. Trailer Camps. Again, we want to list those dwelling units which are usually occupied by people who have this as their regular residence. We do not want to list those Dwelling Units rented by transients (i.e., people who are going to be there for only a few days and have a permanent residence elsewhere). Ask some responsible person which of the units are now -- and generally are -- occupied by non-transients. List all non-transient trailers. Wherever possible, make a sketch of the Trailer Camp, showing the location of all trailers, including transient trailers. Send the sketch with the Listing Sheet.

V. NOTING THE DWELLING ADDRESS OR DESCRIPTION

A. Proceeding Around the Block. Begin listing at the place on the block shown by the "X" on the Listing Sheet in the upper right corner. This is usually the North side next to the Northwest corner of the block. Proceed in a clockwise direction around the block, i.e. so that the buildings of the sample block are on your right as you walk along. This clockwise direction is shown by the arrow (→) next to the "X" on the Listing Sheet sketch. (If you face toward the block you are listing, a "clockwise" direction is toward your left). -- Using this systematic procedure will help the interviewer find the address when he visits the block for the interviews. It will also help you to make sure that you cover your block thoroughly.

1. If there are any small streets or alleys on the block, be sure to check them for possible dwelling units. Go in and out of such intersecting street and list them as you come to them. List first that side of the street or alley which you come to first. If the alley cuts through your block, you may find it easier to consider separately the two halves of the block, listing first one half, then the other half. When you do this, explain on the Listing Sheet what you did by including a little sketch such as:



B. Watch for Obscure Dwelling Units. Often a building has a dwelling unit in the rear. This is particularly true of stores, shops, etc., where someone may live at the rear of the structure or over the store, or a shack or lean-to alongside of a building may be a Dwelling. Be sure to list these Dwelling Units. Remember that your job is to list every place where somebody lives (or might live) within the area of the boundaries of the block. Be on the lookout for obscure dwellings in the middle of your block - away from the street.

C. Rules for Entering Addresses or Descriptions. As you come across the Dwelling Units, list the address or description of each one on a separate line of the Listing Sheet. Beginning with line 1 on the Listing Sheet, you continue listing the addresses of all the Dwelling Units that you find around and inside the block as you proceed clockwise. If there are more Dwelling Units on the block than lines on the listing sheet, use one or more "Continuation Listing Sheets" as necessary.

1. The address (or description) of each Dwelling Unit should appear on a separate line on the Listing Sheet. Do not use a line for anything but an address or description (i.e., put notes and comments in the margin or on a separate piece of paper).

2. Line # 1 on the Listing Sheet should have the address or description of the first Dwelling Unit you come to on the block. Use Line # 2 for the next dwelling, and so on.

3. Where there is more than one Dwelling Unit in a building, list each Dwelling Unit separately (i.e., on a separate line).

D. Numbering Floors Within a Building. When Dwelling Units are unnumbered within a building it is sometimes necessary to include the floor number as part of the dwelling descriptions. The following procedure should be used for numbering floors:

1. Dwelling Units in basements (any floor for which you must step down from the ground floor in order to enter) should be marked "basement" on your listing.

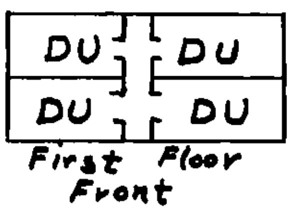
2. The ground or street floors are floor 1 (whether or not there are dwelling units there).

3. The first floor above the ground floor should be called floor # 2, and so on up. For example, a dwelling unit above a one-story store would be "second floor above store."

E. The Order of Listing Unnumbered Dwelling Units Within a Building. A systematic order of listing dwellings which have no numbers is important. Many buildings, of course, have their own numbering system which you can use. However, if you find unnumbered Dwelling Units in a building, use the following rules for order of listing:

- List the bottom floor first (basement, if any) and work up.
- List the Dwelling Units on the right first and then the left.
- List the front Dwelling Units first, and then the rear.

For example, in a small apartment house which has the following design --



You would start on the bottom floor (basement if any) and list the Dwelling Units in the following order: right front, right back, left front, left back. You would then go through the same order on the next floor up, and so on.

In a duplex house attached side to side, you should list the right side first and then the left side because that is the order that you will encounter going clockwise around the block. If the two entrances of the duplex are front and rear take the front first and then the rear. If you come across some complicated arrangement make a sensible system in accord with the above; include a sketch and explain the layout on the listing sheet or on an attachment to it.

F. Writing the Description or Address. You will need to identify each Dwelling Unit with sufficient clarity that anyone who had never seen it could locate it on the block by using the listing you made. Note: If there is only one Dwelling Unit in the building, you usually only need to identify the building. However, if there is more than one Dwelling Unit in the building, you need to identify both the building and each Dwelling Unit in it.

1. Where the Dwelling Unit (and the building in which it is located) has a clearly discernible number, use the number and the street name:

   - "160 Oak Street" -- (this indicates that the interviewer has listed the building as a single residence).
   - "1325 South Street, Apartment 1"
   - "1325 South Street, Apartment 2" -- (the building at 1325 South Street is evidently seen to have more than one dwelling unit; each dwelling unit is designated).

2. Where the Dwelling Unit or the building in which it is located (or both) is unnumbered, you will need to use a description. To describe the unnumbered building use the more permanent and more obvious features such as color of the building, the type of roof it has, the location of the porch, the location of the building in relation to a numbered building on the street, etc. Temporary features such as "child's tent in front" or seasonal features such as "roses on front porch" are to be avoided. Examples of building descriptions:

   - "Spruce Street at Adams Street, a large red brick house."
   - "Oak Street near Turner Street, single white house with green shutters, large maple tree in front."

   In multiple-family buildings which contain unnumbered (or unlettered) Dwelling Units, you will need to describe each Dwelling Unit by its location. Examples:

   - "Johnson Street, large red brick house, second floor apartment."
   - "421 Howard Street, first floor"
   - "421 Howard Street, second floor, right front" -- (the building at 421 Howard Street evidently has more than one dwelling unit; the dwelling units are designated by location in the building since there are no apartment or flat numbers or letters).

Here are some additional examples of Dwelling Unit identification

- "200 Green Street, above a shoe store" -- (in this case there was only one Dwelling Unit in the building, but it would have been hard to locate without the additional description.
- "712 Beaumarchais Drive, house to rear of main house" -- (the house to the rear had no number, and would have been difficult to locate accurately.

G. What to do if a Block Contains no Dwellings. If you go to a "sample block" and find that there are no dwellings on it, briefly describe on the Listing Sheet what there is on the block. For example:

1. "There are no dwellings on this block -- entire block is occupied by a railroad yard."

2. "The entire block is occupied by commercial buildings. These were inspected and no dwellings were found."

3. "There are no dwellings on this block. The entire block is vacant land."

Note: If a sample block is only partially occupied by dwellings, please be sure to describe the rest of the block on the Listing Sheet -- that is, explain whether the remainder of the block is vacant or explain what occupies the rest of the block.

VI. RATING THE LISTED DWELLINGS

A. As part of the listing job, the interviewer needs to "rate" each of the dwellings in the block according to whether he thinks the occupants of the dwelling belong in a high, medium or low income level. The interviewer's rating for each Dwelling address is written in the "Rating" column of the Dwelling Address Listing Sheet (see example at end of this chapter).

B. Full instructions for rating listed dwellings are sent to the interviewer with each listing job. For that reason, the details are not included here.

VII. GENERAL TIPS ON LISTING

A. We've mentioned that you can list almost entirely by observation, using the clues afforded you (entrances, mailboxes, light meters, etc.). However, we also mentioned that at places like apartment hotels, tourist courts and rooming houses, you will need to check with someone in the structure (see Section IV above). In addition to these, you may find occasionally other structures which seem to have a lot of dwellings which you're unsure about. If so, try to consult someone in the structure, briefly explain you're taking a dwelling count for the Center, and ask about the layout of the dwellings for permanent occupancy. -- This won't happen very often, though; for the most part, listing goes fairly rapidly.

B. If you're new to a complicated neighborhood, it may be possible to get some information about the types of dwellings there from people like gas station attendants, policemen, etc. For example, in a lower income neighborhood where the houses look like single residences, you may suspect that many of the houses have several dwellings; asking a question or two from someone in the neighborhood may get you some useful information. However, if you have reason to believe that informants will get "suspicious," and possibly cause problems on future surveys there, of course, don't press the issue.

C. Little harm is done to the sample if a doubtful case turns out not to be a Dwelling Unit at the time of interview. However, if the doubtful case actually is a Dwelling Unit, much harm is done to the sample if the dwelling has been left out of the listing. When you are in doubt as to whether a building or part of a building should be listed, list it while you are at the location, and write up the situation in a note attached to the Listing Sheet. Describe the layout of the building, the arrangement of possible dwellings, and the system you used in listing. When in doubt, list.

D. Feel free to write in notations on the margins of the Listing Sheets, or to write explanatory notes on an attached sheet of paper. Rough sketches of the arrangements of dwellings in a difficult building should be attached to the Listing Sheet whenever you think it will help to explain the situation.

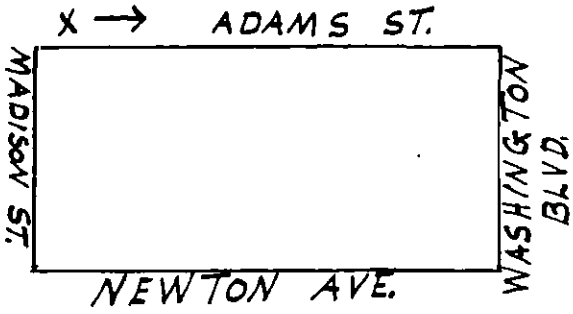
E. In writing the address or description of a Dwelling Unit, remember that it should be clear enough so that another interviewer could find the same Dwelling Unit. For all practical purposes, Listing Sheets can be considered as permanent Center records.

F. The boundary of each sample block is shown on the map and on the Listing Sheet sketch. Do not list anything across the street.

G. It is difficult for us to obtain up-to-date maps of some areas. If you know of a better map than the one we're using, let us know about it. Here are some of the places you can obtain information on better maps: City Engineer, Assessor, or Clerk; City Planning Commission; Chamber of Commerce; Fire or Police Station; Real Estate Board; County Engineer, Surveyor or Clerk, etc.

VIII. EXAMPLE OF COMPLETED LISTING

DWELLING ADDRESS LISTING SHEET



Survey Research Center July, 1954

Area Clark, Arkansas

Place Arkadelphia

Block No. 3

Interviewer L. C. Johnson

List on this sheet the address or description of every dwelling unit located on the area within the boundaries of the block outlined above. Start listing at the corner marked X (see above diagram) and proceed systematically around the block in a clockwise direction as shown by the arrow (→). (Clockwise is to your left as you face toward the block). If there are streets or alleys that cut into the block, go in and out of each as you come to it. Mark on the sketch such streets and alleys, and any other useful changes or additions. For dwellings without street numbers, give good descriptions. Each dwelling address should be on a separate line. Do not use a line for anything but an address or description of a dwelling. Write all other relevant information about this block around the edges or on an attached sheet. As you list, fill out the rating column and the zone number or P. O. address in the box below. (For further instructions, see Chapter on Listing in your manual.)

BE SURE THAT EVERY PLACE OF RESIDENCE WITHIN THE BLOCK IS LISTED AND THAT ALL APARTMENTS ARE NUMBERED OR OTHERWISE IDENTIFIED.

Line No.	Address or Description of Dwelling Unit (and Apt. No. or location)	Rating	Project No.
1	201 Adams St. duplex right	M	
2	201 Adams St. duplex left	M	
3	207 Adams St. first floor	ML	
4	207 Adams St. Second floor	ML	
5	211 Adams St. white 2 story number not clear large bay window	M	
6	1842 Washington Blvd.	MH.	
7	1836 Washington Blvd. front	ML	
8	1836 Washington Blvd. rear	L	
9	1822 Washington Blvd.	M	
10	Dwelling above garage at 1822 Washington Blvd.	M. L	

The Post Office address of this block is: Arkadelphia, Ark.

(OVER)

Note: There are about 10 vacant lots between lines 5 + 6

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Line No.	Address or Description of Dwelling Unit (and Apt. No. or location)	Rating	Project No.
11	1820 Washington Blvd. second floor above grocery store	L	
12	1816 Washington Blvd. basement apt.	ML	
13	1816 Washington Blvd. Apt. #1	L	
14	1816 Washington Blvd. Apt # 2	L	
15	1816 Washington Blvd. Apt. #3	L.	
16	alley near 1818 Washington one story White bung. green trimmings 3 red brick steps to front door	ML	
17	? Washington Blvd. grey 1½ story blue roof lg. oak tree in front yard	ML	
18	208 Madison, basement apt.	ML	
19	208 Madison, first floor right. front apt.	M	
20	208 Madison, first floor right, rear apt.	M	
21	208 Madison, first floor left, front apt.	M	
22	208 Madison, first floor left, rear apt.	M	
23	208 Madison, second floor, front apt.	ML	
24	208 Madison, second floor, rear apt.	ML	
25			
26	Note: No dwellings on Newton Ave: Strictly		
27	Commercial and there are no dwellings		
28	above or behind stores		
29			
30			

If you run out of lines on this sheet and there are more dwellings on the block, attach a "continuation sheet," and continue listing.

CHAPTER XI

IDENTIFYING SAMPLE DWELLING UNITS FOR INTERVIEWING

When the interviewing begins, it is the interviewer's job to visit the sample segments and blocks and to take an interview at each of the sample Dwelling Units. In doing this, the interviewer needs to follow the correct procedure so that the sample is preserved intact. Without accuracy in this phase of the sampling we cannot have an adequate sample. Without an adequate sample the survey cannot be successful.

This chapter will outline the procedure to be used in identifying the Dwelling Units at which interviews are to be taken. The procedure is generally the same for all surveys -- with rare exceptions which will be noted in the special instructions for the surveys on which they occur.

I. LOCATING SAMPLE ADDRESSES IN LISTED BLOCKS

A. Materials for locating sample addresses. At the beginning of every survey we will send to you the following materials to help you locate the sample addresses:

1. Maps and aerial photographs. You will receive maps or photos of the locale of your sample addresses. The sample blocks containing the addresses at which you are to interview on various surveys will be outlined in color on the map or photo. The map will have a note marked with the number of the survey on which you are working, telling you which blocks are to be used on that particular survey. (Other blocks outlined on the map but not designated for use on this particular survey should be disregarded.) The blocks will also have block numbers. The block numbers will appear on the Sample Address Summary, on the Block Address Cards, and on the Duplicate Listing Sheets (these forms are discussed below).

2. Duplicate Block Listing Sheets. We will also send to you a Duplicate Listing Sheet for the blocks in which you will be interviewing. This Listing Sheet is a copy of the original Listing Sheet for the block. As such, it contains not only the sample addresses you will be using on the survey, but all of the other addresses in the block as well. (Occasionally, in the case of large blocks, the Duplicate Listing Sheet will contain the addresses of only part of the block). The sample addresses to be visited on the particular survey will be indicated on the Duplicate Listing Sheet by the survey number placed in the column entitled "Project Number" (see example of original Listing Sheet at the end of the previous chapter).

   Take the Duplicate Listing Sheets with you on each interviewing trip so that you can locate exactly each sample address in relation to the other dwellings on the block.

3. Block Address Card. For each sample block on a survey you will also receive a Block Address Card which contains the sample addresses in that block. This form will help you keep track of the addresses to be visited in any one block. (See end of this chapter for example of Block Address Card).

4. Block Sketch Sheet. Some sampling areas contain blocks which are hard to locate because of difficult boundaries or blocks which contain many unnumbered dwellings. If your area contains any such blocks, you will usually receive a Block Sketch Sheet. On this sheet you will find a rough sketch of the block which contains markings indicating the location of the listed dwellings on the block. The Block Sketch Sheet will help you find the sample dwellings.

5. Sample Address Summary. The Office Contact or Local Supervisor will receive a Sample Address Summary for the entire sampling area. This form contains the sample addresses (and their block numbers) to be visited on the survey in your area. It is for the Office Contact's or Supervisor's use in keeping track of interviews assigned or the general progress of the survey. (See end of this chapter for example).

6. Sampling Material Summary. The Office Contact or Local Supervisor will also receive a form entitled Sampling Material Summary. This form lists the sampling materials sent out from the office, and is to be used to check the receipt and return of these materials.

   Note: After every survey, all materials excepting the Sample Address Summary should be returned to the office. (See end of this chapter for example of Sampling Material Summary).

B. Use your Materials to Locate the Sample Addresses. Use the map (photo), Block Address Card, Duplicate Listing Sheet, and Block Sketch Sheet (if any) to locate each sample address accurately. It will probably be most efficient if you work with groups of addresses instead of taking, for example, one address in Block 10, another across town 3 miles away in Block 2, etc.

If, for any reason you are unable to locate a dwelling, or if there appears to be a discrepancy between what you find, and what is on the Listing Sheet:

1. Write the office immediately giving the town, block number, address (or dwelling description, and a statement of the difficulty.

2. If the listing is badly in error, showing a major discrepancy which will increase or decrease your sample by 6 or more cases, make up a new listing and send it to the office with a note. You will then receive instructions as to how to handle the case.

3. If a major problem of locating dwellings arises which prevents you from continuing the interviewing, phone the office directly.

II. ACCOUNTING FOR ALL SAMPLE DWELLING UNITS IN LISTED BLOCKS

After you have located a SAMPLE ADDRESS, you will need to determine the specific DWELLING UNITS to be interviewed. To do this, you'll need to carry out two tasks:

A. You are to interview at all Dwelling Units you find at the listed Sample Address. Hence, you'll need to determine the number of Dwelling Units at the address.

B. You are to interview at all unlisted dwellings between the Sample Address and the "next listed" address. Hence, you'll need to determine if there are such dwellings.

Each of these checks are discussed in separate paragraphs below.

A. Checking for "Extra Dwelling Units" at the Sample Address. Sometimes a sample address which was listed as a single Dwelling Unit actually contains more than one Dwelling Unit (for example, a basement apartment, servant's quarters over a garage, etc.). These "Extra Dwelling Units," the ones that couldn't be seen in a structure when the block was listed, must be included in the survey if we are to have an unbiased sample. When you go to a sample address, therefore, you will need to ask yourself the question:

- "Are there any other dwelling units at this specific address?" (i.e., in addition to the one the lister obviously had in mind). This information can be obtained by inspection, or if necessary, from the residents of the sample address. -- In most cases the answer to this question will be "No" since the great part of the listing is usually accurate. If the answer to this question is "Yes," interviews should be taken at all extra Dwelling Units discovered at the specific sample address. At the top of the Face Sheet or Cover Sheet for each of these "extra" interviews, write "EXTRA DWELLING UNIT."

  Thus, you are to interview at whatever Dwelling Unit, or units, you find at the specific sample addresses given you. If an address listed as a single Dwelling Unit actually contains two, three or four dwellings which are not listed, you are to take interviews at all (the two, three or four) Dwelling Units at that address. -- However, if other Dwelling Units in the building have been listed separately (consult the Duplicate Listing Sheet to ascertain this), then do not take interviews at these other dwellings.

B. Checking for Dwelling Units between the Sample Address and the "Next Listed" Address. When you approach a sample address, you should have two addresses in mind. There is the sample address itself where you interview at all Dwelling Units identified with that address. The other important address is the "next listed" address which is the one immediately under the address on the Duplicate Listing Sheet.* You need to

*If the sample address is the last address on the Listing Sheet, the "next listed" address is the first address on the Listing Sheet.

keep in mind the "next listed" address because it is important to include in the survey sample all unlisted Dwelling Units which fall between these two addresses. You may discover such Dwelling Units either because they were "missed" when the block was listed, or because they are "new construction," built since the block was listed. In either case, we want to include them in the sample. So, you will have to ask yourself another question:

- "Are there any Dwelling Units between the sample address and the next listed address?" In most cases, the answer to this question will be "No." In other words, most of the time you will find that the address given as the "next listed" address is actually the next dwelling adjoining the sample address. Of course, if there are some commercial structures without dwellings in them between the two addresses, your answer will be "No" because we're *interested only in Dwelling Units*. However, in case of doubt, you should take a quick look at such places to see whether there are any dwellings in them, (e.g., stores where the proprietor may live in the back, or upstairs.) (Note: Sometimes an address is not missed in the listing, but merely listed out of order; check the Listing Sheet to be sure).

  If there are Dwelling Units between the sample address and the next listed address, handle the situation as follows:

1. If there are less than five Dwelling Units (either newly constructed or missed in the original listing), between the sample address and the "next listed" address, interview all of them. For each interview taken, write "NEW CONSTRUCTION" or "MISSED DWELLING" (as the case may be) in large letters across the top of the Face Sheet for each interview. Also write a brief note on the rear of the Face Sheet describing where you found the new construction or missed dwelling.

2. If there are five or more newly constructed or missed dwellings between the sample address and the "next listed" address, write the office about the situation, listing the address of all such dwellings. We will then tell you what to do by return mail.

C. Note: Be sure to check for Extra, Missed and New Construction Dwelling Units even though the specific assigned address turns out to be a non-interview.

D. Following are some examples illustrating where you are to take interviews:

1. If the building was thought to contain a single Dwelling Unit, only the street number (or description) of the building is given; such as –

Preceding address:	1640 South Street
Sample address:	1636 South Street
Following address:	1632 South Street

   In such a case, you would interview at all the Dwelling Units in 1636 South Street, and at all Dwelling Units (if any) between 1636 and 1632 South Street.

2. If the addresses are listed as:

   Preceding address: 1333 Fourth Street
   Sample address: 1335 Fourth Street, first floor
   Following address: 1335 Fourth Street, second floor
   Following address: 1337 Fourth Street

   you would take all Dwelling Units on the first floor only. The second floor had been listed as a separate Dwelling Unit.

3. If the addresses are listed as:

   Preceding address: 127 Ash Street, first floor front
   Preceding address: 127 Ash Street, first floor back
   Sample address: 127 Ash Street, second floor front
   Following address: 127 Ash Street, second floor back
   Following address: 125 Ash Street

   you would interview at the second floor front Dwelling Unit and at any Dwelling Units "between" that and the second floor back.

4. If the addresses are listed as:

   Preceding address: 500 High Street, Apt. 3
   Sample address: 500 High Street, Apt. 4
   Following address: 500 High Street, Apt. 5

   you would interview at Apt. 4, and at any Dwelling Unit that exists between what the lister designated as Apt. 4 and what he designated as Apt. 5

5. If the addresses are listed as:

   Preceding address: 21635 Kercheval Street, Apt. 1
   Sample address: 21635 Kercheval Street, Apt. 2
   Following address: 21635 Kercheval Street, Apt. 4

   you would interview at Apt. 2, and if Apt. 3 exists, you would take that too. (providing Apt. 3 was not listed).

E. If you notice any change in the sample block which is not indicated on the Listing Sheets, let us know about it. For example, if some of the house numbers have been changed or if there is any large scale demolition of dwellings, attach a note to the Duplicate Listing Sheet explaining the situation and its location.

1. One change in the block we're especially interested in is large-scale new construction. While you're in the location of a sample block, take a quick look at the entire block. Any large-scale new construction of dwellings (5 or more dwellings) taking place which is not in the listings anywhere in the block should be reported to the office. This would include things like newly-constructed apartment buildings, a new housing development, a row of new houses, a newly-developed trailer camp, etc. The purpose of this check is to allow us to correct

our Listing Sheets to protect us (and you) from having these large groups of Dwelling Units come into a later sample in a big lump as new construction Dwelling Units. If any large new constructions are found, make a notation on the listing sheet or block address record telling us the location, type and size of the construction, and if not completed, approximately when it will be completed (if you can find out). We will then be able to take account of the information for future surveys. (Of course, if it's occupied during the current survey, you would need to let us know about it immediately so we can decide whether it should be in the sample on the current survey).

F. In general, if you have any questions about identifying Dwelling Units that should or should not be in the sample, let us know at once.

III. LOCATING DWELLING UNITS IN OPEN COUNTRY

Most counties will have some thinly populated areas outside of towns for which we have no listings. In these areas you will need to locate the Dwelling Units for yourself as you proceed. Here is the way this is done:

A. You will receive a "county map" which has areas of land (called "segments") colored in on it. A note on the map will tell you how many segments there are in your county on the particular project you are working on.

B. Within each of these segments you will usually find a few Dwelling Units. Since our maps are sometimes inaccurate, we do not know exactly how many you will find in the segments. Some will have several and others may have none. Most of them will have from three to five dwellings.

C. In many counties aerial photographs will be sent to you. The segment numbers and boundaries on these correspond to those you find on the highway map. They give more detail of the segment than you will find on the map and will help you locate the segment accurately. (If you feel the need, write the Field Office for literature on reading aerial photos).

D. To reach the sample segment, first locate on the map the best road to reach the segment, and notice the point at which this road reaches the boundary of the segment. When you reach what you believe to be the segment boundary, verify this by checking the location of actual terrain features, schools, churches, and other landmarks (if any) against their location on the map and photograph. Your scale of miles on the map is especially useful in locating boundaries where they do not coincide with roads. Here, it is a simple matter to "clock" the distance from the nearest crossroad with your speedometer.

- The segments are usually bounded by easily identifiable boundaries such as roads, rivers, railroads, etc. Look for these boundaries to be sure that you have the segment correctly located. The area inside these boundaries defines the segment and everything located inside them belongs to that segment.

- Houses located across a road or a creek which is a segment boundary do not fall into the sample even though land belonging to their owners may be within the segment. You need only remember that our sample is composed of structures with Dwelling Units in them, and not land or land owners. Although the "county map" shows the location of dwellings as found when the map was made, do not depend on these marks for locating houses. These maps are sometimes years old and rather inaccurate. Often there are roads in addition to those shown on the map. As you drive around the segment, be on the lookout for roads or paths indicating where you may find houses inside the segment. Make an effort to get the Dwelling Units which are hidden from the road.

E. To help you keep track of Dwelling Units in your open country segments, we will send you an Open Country Sketch Sheet for each segment. On this sheet will appear a sketch of the segment. Please record on this sketch the location of all Dwelling Units in the segment according to the specific instructions printed on the sheet. Do this the first time you get to the segment.

F. You are to interview at every Dwelling Unit located within the boundaries of the sample segments except in certain counties where special instructions are furnished. (No check for New Construction or Missed Dwelling Units is necessary because you are interviewing at every Dwelling Unit in the segment).

G. Since these dwelling units will not have numbers or streets, you will need to describe the house very carefully. Try to find some permanent feature which distinguishes it from the others in the area, rather than just the color of the house (people frequently paint their houses). For example: "small white house, green roof, field stone chimney north side." The description of the dwelling, together with the number of the segment in which it is located should be indicated on the Face Sheet or Cover Sheet for that interview (see following Chapter).

EXAMPLE OF BLOCK ADDRESS CARD

BLOCK ADDRESS CARD

SURVEY RESEARCH CENTER

Project XX Date March 1953

Area Barron County

Place Rural Blocks

Block No. 15

In most cases each Sample Address contains one Dwelling Unit. Occasionally a Sample Address will turn out to contain either no Dwelling Units, or two or more Dwelling Units. Each time this occurs, please explain briefly the situation on the reverse side of this form, indicating which Sample Address is involved. This will help to keep our records straight.

PLEASE RETURN THIS FORM

For each Dwelling Unit PLEASE TURN IN an interview or Non-Interview Form.

Line No.	Sample Address (Street No. or Description)	Result at Dwelling Unit
4	908 E. McPherson St.	Int. # 3 - Doe
15	1014 E. McPherson St.	Int. #4 - Doe Int. #5 - Doe
	Interview #5 was "Extra" D.U. upstairs	at line 15

EXAMPLE OF SAMPLE ADDRESS SUMMARY

ADDRESS	BLK.	NAME OF INTERVIEWER	RESULT ON CALLS 1st	2nd	3rd	4th	Add.	DATE MAILED	COMMENTS
908 E. McPherson St.	15	Doe	NAH	RA	Int. #3			1/15	
1014 E. McPherson St.	15	Doe	Int. #4					1/15	
315 S. Stanford	16	Whitney	NAH	NAH	NAH	RA	Int. #10	1/30	
515 E. Normal Apt. 101	17	Whitney	Ill made appt.	Int. #25				2/13	Return after 2/10 R just returned from hospital
501 E. Normal downstairs apt.	17	Jahnke	NAH	NAH	Int. #17			2/1	PSU
			Int. #20					2/1	SSU
1014 E. McPherson	15	Doe	Int. #4					1/15	"New Construction"
315 S. Stanford up	16	Whitney	Int. #12					1/30	Extra D.U.

EXAMPLE OF SAMPLING MATERIAL SUMMARY

Sampling Material Summary
(This form is for your own use
to check receipt and return
of materials)

COUNTY OR METRO AREA Clark, Arkansas

SURVEY RESEARCH CENTER
UNIVERSITY OF MICHIGAN

PROJECT 752 MAILING DATE Sept. 54

The following sampling materials are being mailed to you:

PLACE	Sample Addresses: Supervisor's Summary, Block address Records, Block Address Cards, etc.	Open Country Selections	Materials for Listing	Map No.	No. of Photos
Arkadelphia	8 addresses			2	1 + 3
Gurdon			Blocks 1,2,3,4 for listing	5	
Open Country		2 segments		1	

ALL MAPS, PHOTOS, BLOCK ADDRESS RECORDS, BLOCK ADDRESS CARDS AND DUPLICATE LISTING SHEETS MUST BE RETURNED TO THIS OFFICE OR ACCOUNTED FOR IMMEDIATELY AFTER THE CLOSE OF THIS STUDY.

Note: We shall send you sample addresses in Gurdon when the listings come back.

OPEN COUNTRY SKETCH SHEET
for non-listed segments

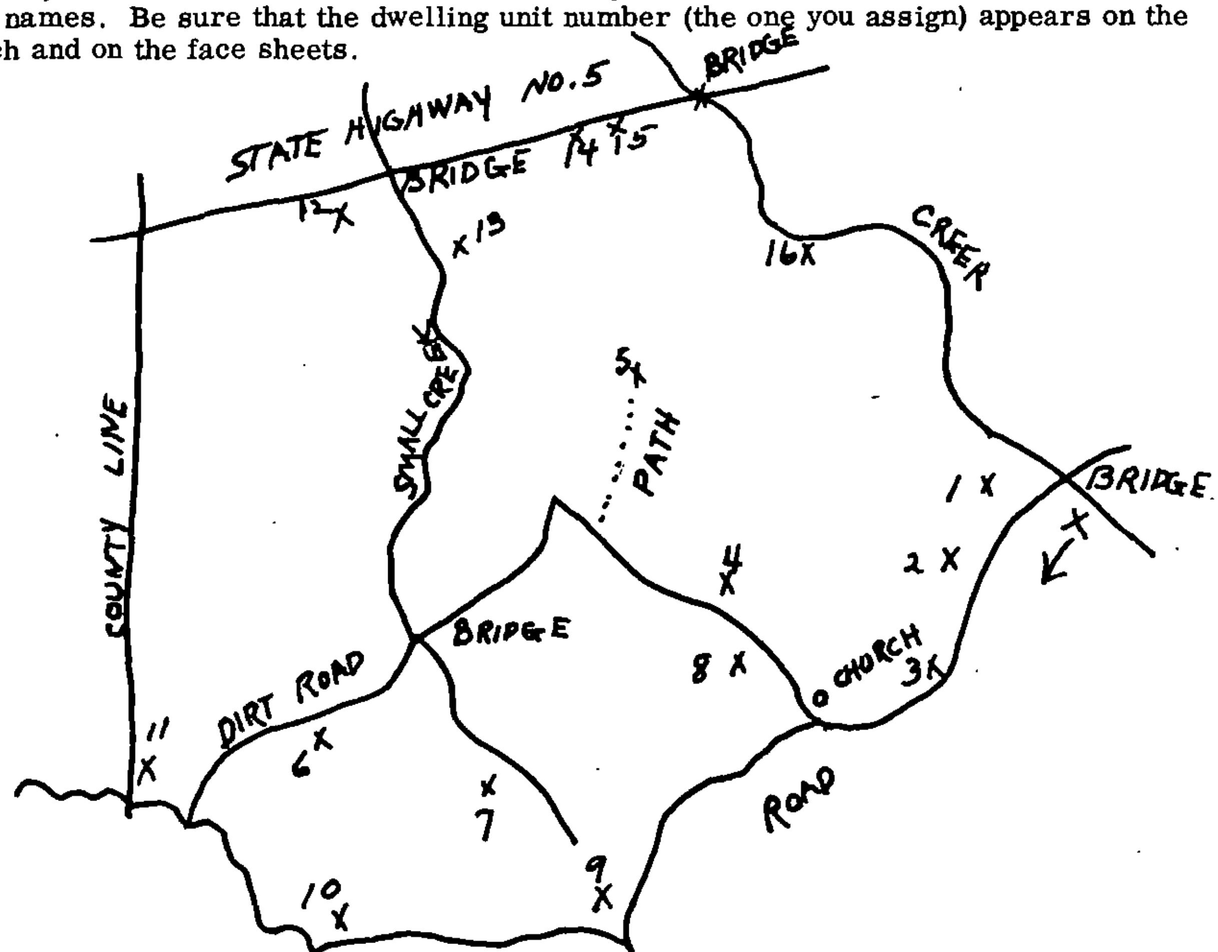
AREA BLACK HAWK OPEN COUNTRY SEG. NO. 11

COUNTY BUCHANAN PROJECT 752

At the bottom of this sheet you will find a sketch of an open country segment. The purpose of the sketch is to provide a place where you can show the location of each dwelling unit in the segment. We suggest that at the time of your first visit to the segment, you identify the location of every dwelling in the segment by placing an X on the sketch at the location, then assign a dwelling unit number to each dwelling on the sketch.

As you interview, this dwelling unit number should be placed on the interview face sheet just before the description. In other words, what you are doing is making a map and giving the dwelling units numbers so they can be identified just as though they were dwelling units in a town. This sheet will aid you, or another interviewer if need be, to find the proper dwelling unit in case of revisit.

Feel free to make any notes or remarks on this sketch which might help in locating the dwelling units in the future. Please make corrections on the sketch where necessary; show any road or other new features not already on the sketch, or correct street and road names. Be sure that the dwelling unit number (the one you assign) appears on the sketch and on the face sheets.



PLEASE RETURN

CHAPTER XII

SELECTING THE RESPONDENT

Even after the correct sample of Dwelling Units has been identified, the sampling process is not complete until the proper respondent has been selected from among the members of the sample Dwelling Unit. A careful selection procedure at the Dwelling Unit is one of the key controls we have to an accurate sample of whatever group of people we are surveying.

There are two procedures for selecting respondents which you will need to know. These procedures are:

1. Sampling with Selection Tables.

2. Sampling with Spending Units.

The procedure to be used on a survey depends on the survey objectives. At the beginning of each survey you will receive instructions indicating which procedure to use. The two procedures are described in separate sections below.

I. SAMPLING WITH SELECTION TABLES

In some of our studies, we need to obtain a sample of the adult population in the country.* In these cases we interview only one person in each Dwelling Unit. That person is chosen by a random method which ensures a representative selection when all dwelling units are combined. Any deviation from the procedure described below changes the chances for different adults to fall into the sample, and thus prevents us from getting a truly random sample of the population we are studying.

A. Each sample address has a Cover Sheet assigned to it in the office. Prior to the interviewing we will enter each sample address (or description) on a Cover Sheet. It will be necessary that you use the Cover Sheet assigned to that address when interviewing at the Dwelling Unit designated by the address. (See example of Selection Table Cover Sheet in this chapter).

B. For some Dwelling Units you'll have to assign the Cover Sheet yourself. That is there are three kinds of situations in which we cannot enter the address on the Cover Sheet prior to interviewing. To take care of these situations, we send out packs of additional Cover Sheets which are to be assigned by you as outlined below:

*Occasionally we need to study some particular segment of the population such as adult females, or persons over 18 years of age. In a case like this you would get special instructions to list on the Cover Sheet only those persons who fill the particular qualifications we set up. The principles outlined in this section, however, would remain the same.

1. At a sample address which was listed as one Dwelling Unit you may find an additional Dwelling Unit(s) for which no Cover Sheet is assigned. Or, you may find an additional Dwelling Unit between the sample address and the "next listed" address. Whenever you find such a Dwelling Unit, assign a Cover Sheet from your stapled pack of blank Cover Sheets to that Dwelling Unit. That is, tear off the Cover Sheet from the top of the pack and enter the complete address and block number.

   - In the case of "Extra" Dwelling Units, the Cover Sheet already assigned by us goes to the one which appears to be the chief Dwelling Unit there. This may be according to the person who owns the house, or if no one there owns the house, the person living on the main floor. Make this determination according to your best judgment.
   - Remember to indicate at the top of the Cover Sheet the type of additional Dwelling Unit involved - that is whether it is "Extra," "Missed," or "New Construction."

2. In Open Country segments, the Dwelling Units are not listed beforehand because all Dwelling Units within the segment are interviewed. Before the survey, you will receive a stapled pack of Cover Sheets for each open country segment. You are to proceed around the segment and assign a Cover Sheet to each Dwelling Unit as you come to it - even before going up to the house for an interview. For each Dwelling Unit you come to, tear off the top Cover Sheet from the pack.

3. Sometimes, although seldom, you may have to interview at the same time that you list the block and designate the sample addresses that you assign Cover Sheets before interviewing. If you ever have to do this, you will get special instructions on it.

C. To summarize the assignment of Cover Sheets:

1. Every Dwelling Unit in the sample (including "Extra," "Missed," etc.) must have a Cover Sheet assigned to it before you can select the respondent. This holds true regardless of whether the outcome is an interview, a refusal, a vacant, etc. We are able to assign most of the Cover Sheets in the office; however, you will need to assign some of them yourself.

2. When you assign Cover Sheets, you are to take the Cover Sheet from the top of the stapled pack. This is necessary because the stapled packs are specially assembled to help insure a random selection.

3. You must use the original Cover Sheet as assigned either by the office, or by you. Even if the original has become soiled, do not use the additional Cover Sheets in the pack to replace it because this would distort the order in which the pack was assembled.

D. Steps in using the Selection Table. On the Cover Sheet you will notice a "Selection Table" which is usually located beside the space for listing the occupants. You will notice that the Selection Tables on various Cover Sheets differ in respect to the numbers entered in the second column. This is because the Selection Table affords the random selection of the respondent from among the adults in the Dwelling Unit. To select the respondent you will need to go through the following steps:

Step I. List all adults in the listing space on the Cover Sheet.

a. First introduce yourself and explain the survey briefly to whatever adult you find at home. (See Chapter IV on introductions).

b. Explain that in order to obtain a "cross section" sample, we need to know who is living in the household. Say "Will you tell me the number of people 21 years of age and over who live here in this household, I don't need their names -- just their relation to you."

c. Enter this information in the first column of the listing space (under "relationship to head") on the Cover Sheet assigned to that address.

Note - List only adults (21 years of age or over)
- List by relationship to head (wife, son, brother, roomer, maid, etc.)
- List all residence of the Dwelling Unit.*

d. Check to be sure the person has included not only family members, but any roomers, hired hands, maids, etc., who live there. Ask "Is there any one else living here in this household?" If you find any additions, these should be listed also. We want all adults living in the household to be included.

Step II. Record in column 2 the sex of each listed person.

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*In most cases it is simple to determine who is to be listed. List any adult who has the sample Dwelling Unit as his only place of residence. - Those few people who have more than one place of residence will be more difficult to classify. If a person has more than than one place of residence, follow these rules:

1. If a person's second residence (other than the sample DU) is a place we would not include in the survey (transient hotel room, hospitals, etc.), then list him on the Cover Sheet. Thus, a person temporarily in the hospital would be listed. A truck driver or travelling salesman who spends his time away from home in transient hotel rooms would also be listed.

2. If a person's second residence is a place we would include in the survey, (i.e., another DU) do not list him unless he plans to stay at the sample DU for the major part of the interviewing period (i.e., over half). Thus, a mother-in-law who is visiting her son and his wife but who has a home elsewhere would be listed if she were planning on staying (or had stayed) at her son's house over half of the interviewing period. A person who stays at one DU during the week, but lives at another DU over the week-end is classified as an occupant of the one in which he lives most of the time.

Step III. Record in column 3 the age of each listed person.

This information may be obtained by saying: "I'd like to know the ages of the people. About how old is __________ (mention one)." The ages can be approximate.

If you find you have recorded a person who turns out to be under 21, cross his name off your listing.

Many of your Dwelling Units will contain only a man and wife with no grown children; or only one adult. In these cases you do not need to ask or record age and you may skip Step IV.

Step IV. Assigning the Adult Number (column 4).

First, take all males and give number 1 to the oldest male, 2 to the next oldest male, and so on. After all the males are numbered, continue by numbering the females; the oldest female gets the next number after the youngest male adult, etc.

Step V. Determining which adult is to be interviewed.

In order to determine which adult is to be interviewed, use the Selection Table on the Cover Sheet. In that table, find the number in the left hand column corresponding to the total number of adults in this dwelling unit. To the right of this number, in the right hand column, you will then find the number of the adult to be interviewed; put a check ( ) there. That is the number of the person you are to interview.

Step VI. Now find the number of the adult you have selected and put a check ( ) opposite him in the column labeled "respondent." This is the respondent; you must interview him or her, and no one else. In case this person is not at home, ask about the best time to make a return call to interview him. Below are two illustrations of how to select a respondent within a household, using the Selection Table method.

E. Using the Selection Table - Example 1.

Relationship to head	Sex	Age	Adult Number	Respondent
Head	M	--	1	✓
Wife	F	--	2	

Selection Table C	
If the number of adults in the dwelling unit is:	Interview the adult numbered:
1	1
2	1 ✓
3	2
4	2
5	3
6 or more	3

The majority of dwellings will have only two adults, man and wife. The husband gets number 1 and the wife number 2. According to table used, (Table C in this example) adult number 1, the husband is the one to be interviewed.

F. Using the Selection Table - Example 2.

Relationship to head	Sex	Age	Adult Number	Respondent
Head	M	38	2	
Wife	F	40	4	✓
Daughter	F	21	5	
Mother-in-law	F	62	3	
Roomer	M	42	1	

Selection Table D	
If the number of adults in the dwelling unit is:	Interview the adult numbered:
1	1
2	2
3	2
4	3
5	4 ✓
6 or more	4

There are five adults in this dwelling and two of them males. Number 1 goes to the older male, the roomer; number 2 to the younger, the head. Then come the three women in order of their ages. (You really wouldn't need to ask the ages of the women since the order of ages is obvious). Use of the Selection Table (Table D in this example) indicates adult number 4, the wife, is the one to be interviewed.

The order in which you write down the adults is unimportant. The important thing is the order of assigned numbers which is a separate procedure carried out after the adults are listed.

G. Choosing the time to call at an address. You will notice that at Dwelling Units using Selection Tables A, B, and C, most of the interviews will turn out to be with males (who are usually employed persons). At Dwelling Units using Selection Tables D, E, or F, most of the interviews will turn out to be with housewives. (This is particularly true in households containing only two adults, husband and wife; these make up a large proportion of all interviews.) -- In the case of most listed areas, we manage to concentrate in one or two blocks Cover Sheets of the same type -- either all of the addresses have A, B, or C, Selection Tables, or all the addresses have D, E, or F Tables. Therefore, you should try to schedule your calls accordingly:

1. For blocks which have A, B, or C Selection Tables, you should use mostly late afternoon or evening calls, and calls during the weekend.

2. If you want to make calls in the morning, in the afternoon before 5:00 p.m. on week days, you should concentrate them in blocks with D, E, or F Selection Tables.

UNIVERSITY OF MICHIGAN
SURVEY RESEARCH CENTER
COVER SHEET

Interviewer ______________________________ Int. No. ________

Block No. ________ Place ______________________ County ____________

Address (or description) ______________________________________

____

Adults in DU (Relationship to Head)	Sex	Age	Adult Number	Respondent

Selection Table C	
If the number of adults in the dwelling unit is:	Interview the adult numbered:
1	1
2	2
3	2
4	3
5	4
6 or more	4

	First Call	Second Call	Third Call	Number of calls if over three
Date				
Hour				
Result				

If interview is taken, attach to interview,aand return.

If no interview is taken, fill out Non-interview form and return.

NON-INTERVIEW FORM

Reason for non-interview

- [ ] No one at home after required number of calls
- [ ] Someone at address, but respondent not at home
- [ ] House vacant
- [ ] Address not a dwelling
- [ ] * Refusal (give detailed account on other side of sheet)
- [ ] * No interview for other reason (give reason on other side of sheet)

H. Interview only the person selected by the Selection Table. If your respondent turns out to be a man who travels extensively and who won't be home during the survey, do not interview his wife; that is, don't substitute anyone for the original selection. In this case, the dwelling unit is classified as a non-interview. -- Whenever an interviewer interviews the wrong respondent, we have to discard the interview and not use it in the analysis.

1. What happens when the interviewer takes the wrong respondent is illustrated by the following example: if, during a survey, each interviewer has taken 20 interviews, and has made only one mistake in interviewing the wrong respondent, the error is 5% in the overall survey results. In terms of the adult population of the country this means about 5 million people, which is nearly equal to the adult population of New York City. If each interviewer makes two mistakes, the figure is doubled. It is because of this that we discard interviews with wrong respondents (in order not to introduce this source of bias into the results of the survey).

I. Each Dwelling Unit in the sample should have a Cover Sheet return to the office by the end of the survey, regardless of whether it turned out to be an interview or a non-interview. If it's a non-interview, be sure to fill in the Non-Interview Form which accompanies the Cover Sheet.

J. Be sure that each Cover Sheet has been completely filled in, including:

1. The address (or description).
2. The Block or Segment Number.
3. The notation "EXTRA DU," "MISSED DU," or "NEW CONSTRUCTION DU," should be made on the Cover Sheet for Dwelling Units in those categories.
4. On Open Country Cover Sheets remember to include the segment number, the Dwelling Unit Number and the description of the Dwelling Unit.

II. SAMPLING WITH SPENDING UNITS

We have mentioned that Selection Tables are used when we need to sample the total adult population of the country. However, the objectives of some economic surveys require that we define our respondents somewhat differently. On such surveys we need to sample all the "Spending Units" in the country, rather than the adult population, as such. In this procedure, we define our respondents in terms of Spending Units, and the interviewer takes an interview at each Spending Unit he finds at sample Dwelling Units.

A Spending Unit is defined as a person or group of persons who are in the same family unit who depend upon a common or pooled income for their major items of expense. In sampling with Spending Units, the interviewer's goal is to obtain an interview with every Spending Unit in every Dwelling Unit which falls into the sample. In order to do this, he needs to follow these general steps:

1. Identify all Dwelling Units in the sample; this includes all Dwelling Units at each sample address, and all Dwelling Units between the sample address and the "next listed" address (within open country segments, identify all Dwelling Units within the segment boundaries).

2. Identify all Spending Units at each Dwelling Unit: this is done by asking the questions on the survey Cover Sheet (see example of Cover Sheet at end of this chapter).

3. Take an interview with the head of each Spending Unit.

Procedures in identifying the Spending Units at a Dwelling Unit will be described in following sections.

A. How to Identify the Family Units Within the Dwelling Unit.

1. Column 1 - Before you identify the Spending Units within the Dwelling Unit, you'll first need to identify the Family Units. You may get the information for the Cover Sheet from any responsible adult in the Dwelling Unit. First, introduce yourself and explain briefly the survey to the person who comes to the door. Then ask, "Will you tell me the number of people, 18 years of age and over, who live here in this household -- I don't need their names, just their relation to you."

   - List these people on the Cover Sheet in Column 1, giving their relationship to the head of the Dwelling Unit.

   - The head of the Dwelling Unit is in most cases the husband or the "man of the house."

   - List all persons living in the Dwelling Unit who are 18 years of age and over. Persons related to the head should be listed by their relationship, such as wife, son, mother-in-law, etc.

   - Persons not related to the head of the Dwelling Unit should be listed according to their position in the household, such as maid, roomer, chauffeur, etc.

   - Make special inquiries to find all the persons above 18 who live in the dwelling unit. Unless you take special pains to find out about them, you are quite likely to miss roomers and unrelated persons. In larger families, it is quite possible to miss members of the family if you aren't careful.

2. Column 2 - "Family Unit Number" - put the number of the family. Each of the persons listed in the Dwelling Unit should be numbered.

   - A "Family Unit" is a person or a group of persons living in the same Dwelling Unit who are related to each other by blood, marriage or adoption.

   - The head of the Dwelling Unit is the head of Family Unit Number One and all those related to him belong to Family Unit Number One.

   - All persons in the Dwelling Unit not related to the head are separate individual family units and will have different family unit numbers. (2, 3, etc.)

   - Each roomer or servant living alone at the Dwelling Unit is a separate one person "family." If he has a wife (or other relative), living in the Dwelling Unit, she should be given the same family unit number.

B. How to Identify the Spending Units in the Dwelling Unit.

1. A Spending Unit is a person or group of persons who are in the same Family Unit who depend upon a common or pooled income for their major items of expense.

   - An individual living in the household and related to the head of the household is considered a separate Spending Unit if he (or she) has all of the four characteristics: (1) if he is at least 18 years old (2) and if at the time of the interview, he has an income of $15 a week or more (3) and if he keeps his finances separate (4) and if he contributes less than half of his income to the family for family living expenses.

   - People who are not members of the same family are never members of the same Spending Unit. In other words, members of the same Spending Unit are always related to each other. This means that unrelated roomers and servants are always considered as separate spending units, but a family may be united in one Spending Unit or split in several spending units.

   - Husband and wife living together in the same dwelling are always members of the same Spending Unit, even if they insist that they keep their finances separate.

2. If there are say - 3 Family Units at a Dwelling Unit, you will know at this point that there are at least 3 Spending Units (because people who are not members of the same Family Unit are never members of the same Spending Unit). If each of the Family Units has only one member, you will not need to go any farther since you will be sure that each Family Unit contains one, and only one Spending Unit.

3. However, if any Family Unit has more than one member (other than husband and wife because they are always in the same Spending Unit), you will need to determine whether there is more than one Spending Unit in it. The questions in columns 3, 4, and 5 on the Cover Sheet are to be used for this purpose. In other words, if you do not know the Spending Unit composition of the Dwelling Unit after you have determined the Family Units, you will need to use columns 3, 4, and 5 to help you arrive at the Spending Unit composition.

4. How to use columns 3, 4, and 5 on the Cover Sheet:

   a. Column 3 - Within every Family Unit having more than one member (excepting husband and wife), ask Question 3 about every member of the family who is not the head of the family. Ask, "Does _________ receive $15 or more a week from any source?" "From any source" means from wages, salary, dividends, annuities, etc. Write "Yes" or "No" in the column.

      - If the answer is "No," he is part of the same Spending Unit as the head of his family.

      - If the answer is "Yes," you must fill in column 4.

b. Column 4 - Ask about all persons for whom you entered "yes," in column 3. Ask, "Does he (she) keep his finances separate from the family income or not?"

- If separate -- enter "yes."
- If does not keep separate from the income of the head of the family -- enter "no."
- If the answer is "no," (that is, he does not keep his finances separate), he is part of the same Spending Unit as the head of his family.
- If his answer is "yes," fill in column 5.

c. Column 5 - Ask only of people who keep their finances separate. Ask, "Does he contribute less than half his income to family living expenses?" Write "yes" or "no" in the column.

- If the answer is "no," (that is, he contributes half or more of his income), he is part of the same Spending Unit as the head of his family.
- If the answer is "yes," he is a separate Spending Unit. From this information you can tell the Spending Unit composition of the people living in the Dwelling Unit. In other words, anyone for whom you have entered "yes" in columns 3, 4, and 5 is a separate S. U. If a "no" appears in any of these columns, he belongs to the same S. U. as the head of his family.

d. Column 6 - numbering the Spending Units.

- Assign each Spending Unit in the Dwelling Unit a separate number.
- The Head of the Dwelling Unit (head of the main family) is the head of Spending Unit number one.
- All members of his Spending Unit are also numbered one.
- If there are other Spending Units in the household, number each unit separately. The head of the next Spending Unit is given number two and all members of that unit are assigned the same number.
- If there is more than one Spending Unit at a Dwelling Unit, you will need to fill out a separate Cover Sheet for each Spending Unit. Be sure the extra Cover Sheets are identical with the original (including the address, and the information in columns 1-6), the only difference being that you would check a different respondent in column 7. (Fill out the extra Cover Sheets as soon as possible -- this way you will have the Cover Sheets to remind you that you have other interviews to take there).

C. Whom you are to interview

1. We need an interview with each Spending Unit you discover at sample Dwelling Units.

2. You should try to interview the head of each Spending Unit since he usually is the person who knows most about the financial parts of the survey. However, when it is impossible to interview the head, you may interview the wife (or if a married couple is not involved, another adult member of the same Spending Unit who is well informed about affairs of the Spending Unit). In households with high incomes, it is particularly important to try to get the head.

3. In cases where you interview the wife, you may find that she does not know some of the financial or other information. In this case, please try to make an appointment with the head to collect this additional information.

4. Please be sure to check in column 7 of the Cover Sheet, the one person of that Spending Unit whom you interview. Wherever your respondent is not the head of the Spending Unit, explain the circumstances which made the substitution necessary. Whenever you get information from someone else other than the respondent which you have checked in this place, please note this on the questionnaire.

D. Special Cases

1. It has been mentioned that husband and wife are always considered to be in the Spending Unit. In the rare cases where they do not know about each other's financial affairs, it may be necessary to ask some of the questions of each of them, and then add together the information obtained. (If this happens, note it on the questionnaire).

2. In most cases it is simple to determine who is in the sample. That is anyone who regularly lives at the Dwelling Unit is in the sample, and is to be screened through the Cover Sheet procedure. A few cases are more difficult. How about the truck driver who is away from home most of the time? How about the patient in the hospital, or the travelling salesman?

   - If the only home of the Spending Unit is at the Dwelling, take an interview. (If the head is away, try to get him later. If you can't, interview someone else in the Spending Unit).

   - If the Spending Unit has more than one Dwelling, but the whole Spending Unit will be at the sample Dwelling for over half of the interviewing period, take an interview, and give us a description of the facts. Again, try to interview the head.

   - If only part of a Spending Unit is (or will be) at the sample Dwelling for over half of the interviewing period, take an interview, but be sure to write a note about it on the interview.

   - Active members of the Armed Forces (not veterans), who do not live in the Dwelling Unit, are to be excluded and not considered members of the family.

E. Changes in household or spending unit during the year.

1. In some cases a person who is now a member of the Spending Unit was not a member throughout the year. For example, a son or daughter over 18 years of age may have returned from college. Or, you may interview a newly formed Spending Unit made up of a couple who were married in the past year or this year before the interview. These cases should be dealt with as if the respective persons were members of the Spending Unit throughout the year. In other words, in the income schedule you have to obtain information on the incomes of both the husband and his bride, both before and after they were married.

2. In some other cases, a person may be a member of the Spending Unit throughout all or most of the last year, but not at the time of the interview. If this is the case because the person moved away (e.g., a daughter who married), the person is to be excluded and his income and savings disregarded. An exception to this rule is to be made if the person died either during last year or this year before the interview. Since it may be the main bread-winner who died, we must obtain income on his income and assets from his widow (or heir).

3. If you interview a person now living alone who was divorced last year, it will be necessary to estimate the respondent's share in the family income before the divorce (50% if no other information is available) and add respondent's individual income after the divorce.

F. Remember to check for extra, new construction and missed Dwelling Units, and to assign a fresh Cover Sheet to each such Dwelling you discover. For each such "additional" Dwelling, you'll need to identify all Spending Units.

G. Examples of Sampling with Spending Units

This process of identifying Spending Units may seem complicated because it involves a number of steps. The illustrations below will help make the points clear.

EXAMPLE 1

1 How many people <u>18 years of age and over</u>, live here?	2 Family Unit No.	3 Does he (she) receive $15 or more per week from any source?	4 <u>If YES:</u> Does he (she) keep his finances separate?	5 <u>If YES:</u> Does he (she) contribute less than one-half of his income?*	6 Spending Unit No.	7 Indicate respondent by check
HEAD OF D.U.	1	—	—	—	1	✓
wife	1	—	—	—	1	
daughter	1	no	—	—	1	

Comment on Example 1

1. The wife is automatically included in the husband's spending unit.

2. Since the daughter does not receive $15 or more a week, she is part of her father's Spending Unit -- thus, there is only one interview to be taken in the Dwelling Unit.

EXAMPLE 2

1 How many people <u>18 years of age and over</u>, live here?	2 Family Unit No.	3 Does he (she) receive $15 or more per week from any source?	4 <u>If YES:</u> Does he (she) keep his finances separate?	5 <u>If YES:</u> Does he (she) contribute less than one-half of his income?*	6 Spending Unit No.	7 Indicate respondent by check
HEAD OF D.U.	1	—	—	—	1	✓
wife	1	—	—	—	1	
son	1	yes	no	—	1	
son	1	yes	yes	yes	2	(also int. this son)
Chauffeur	2	—	—	—	3	(also int. Chauffeur)
Maid (wife of chauf)	2	—	—	—	3	

Comment on Example 2

1. Note that columns 3, 4, and 5 need not be filled out for the wives since they belong to their husband's spending unit.

2. One son (listed on third line down) does not keep his finances separate from the family's, so he is part of his father's Spending Unit, and is not to be interviewed. Information about his (the son's) finances is to be obtained from the Head.

3. The other son (listed on fourth line down) is a separate Spending Unit because he has all the four characteristics listed on page 97, Section B1.

4. The chauffeur and maid are automatically a separate Spending Unit since they are members of a separate Family Unit.

5. Notice that three interviews are to be taken in this Dwelling Unit. Thus, it is necessary to fill in three Cover Sheets, one for each interview. The three Cover Sheets need to be filled in exactly alike (including address of the Dwelling Unit, same order in which the occupants are listed, etc.), except for the interview number and the check mark in column 7 which indicates the respondent in each interview. There must be only one check in column 7 on any one Cover Sheet.

EXAMPLE 3

1 How many people 18 years of age and over, live here?	2 Family Unit No.	3 Does he (she) receive $15 or more per week from any source?	4 If YES: Does he (she) keep his finances separate?	5 If YES: Does he (she) contribute less than one-half of his income?*	6 Spending Unit No.	7 Indicate respondent by check
HEAD OF D.U.	1	–	–	–	1	(Interview all 5 Spending Units)
Roomer	2	–	–	–	2	
Roomer's Wife	2	–	–	–	2	
Roomer	3	–	–	–	3	
Roomer	4	–	–	–	4	
Maid	5	–	–	–	5	

Comment on Example 3

1. In this Dwelling Unit there are 5 Spending Units. Five identical Cover Sheets should be filled out, and 5 interviews should be taken here.

2. If any of these 5 Spending Units turn out to be non-interviews, its Cover Sheet with accompanying Non-Interview Form should be sent in to the office.

3. If this Dwelling Unit is "Extra" or is one which exists between a sample address and the "next listed" address, all 5 Cover Sheets should have the notation, "EXTRA DU" or "MISSED DU" or "NEW CONSTRUCTION DU" (whichever applies).

4. In filling out the 5 Cover Sheets, the interviewer should be sure to include the address (or description) of the Dwelling Unit together with the Block or Segment Number on each Cover Sheet.

5. Send in the interviews as you complete them. Do not hold them until you have taken interviews with all the Spending Units in the *Dwelling Unit*. However, be sure you have filled in all the Cover Sheets you are going to need for that Dwelling Unit before you send in any completed interviews.

Survey Research Center
University of Michigan

OFFICE USE ONLY	
S. R.	____
P.C.	____
S.U.C.	____

FINANCIAL SURVEY

Cover Sheet I - Non-farm - INFORMATION ABOUT THE DWELLING UNIT

Interviewer ____________________ Interview No. ______ Date ______________________

Area ____ State ______________________

IF TOWN OR CITY __________________________________ IF OPEN COUNTRY

Place __________________ Block No. __________ Segment No. __________

Address or Description of Dwelling ____

Apt. No. _____________ ____

(Ask when applicable - see instructions):

1 How many people 18 years of age and over, live here?	2 Family Unit No.	3 Does he (she) receive $15 or more per week from any source?	4 If YES: Does he (she) keep his finances separate?	5 If YES: Does he (she) contribute less than one-half of his income?*	6 Spending Unit No.	7 Indicate respondent by check
HEAD OF D.U.	/	—	—	—	/	

(List in same order on all cover sheets for this dwelling Unit)

8. Do you (SU covered by this interview) have any children less than 18 years old.
   (If yes) 8a. How many? ____

*If yes, that is, if he (she) contributes less than one-half, he (she) is a separate spending unit. If no, he (she) is not a separate spending unit. The main spending unit should be numbered "1". Please number all spending units.

☐ Check if R. wants copies of reports.

SECTION D

ADMINISTRATIVE PROCEDURES

CHAPTER XIII

TIME AND EXPENSE REPORTS

In addition to the actual field work, the interviewer has the responsibility of keeping time and expense records. This information is meant to serve three purposes. First, of course, it serves as a basis for payment to the interviewer. Secondly, the information allows us to keep a running account of the progress and field expenditures on each study. Thirdly, the information is invaluable in helping us to plan the timing and budgeting of future field operations.

The system of time and expense reports involves several basic forms -- each serving a specific purpose which will be described in separate sections below. The forms used are:

1. Yellow Time Card
2. Expense Voucher
3. Mileage Statement

In addition to these time and expense forms, there is another form called the Day-by-Day Work Record. You do not submit this form on a regular basis, but according to instructions for each specific study.

These procedures, which were worked out over a period of years, have been set up to handle the large amount of paper work involved in maintaining a field staff of some 180 persons. If the interviewer is to receive accurate payment on time, the forms must be carefully filled in and sent to the office according to schedule. The interviewer should also be sure to keep a copy of each report submitted which will be useful in case of error in the office, or forms lost in the mail.

INSTRUCTIONS FOR YELLOW TIME CARD

The yellow time card is used as a basis for paying you for the time spent on the job each day. It is the official record of your time on the job. It is also an official progress report of the production of interviews.

Should a time card contain errors in adding of the hours reported, the payroll section will simply correct the total and, in the case of large errors, enclose an explanatory note with your check. If there should be any other kinds of questions regarding hours worked, number of interviews taken, etc., we will write you about the problem before the report is processed for payment.

The Back of the Time Card

The back of the card is reserved for

1. your signature,
2. the total number of hours, and
3. the date mailed.

The date the card was mailed provides a little added protection for you in that it makes the card easier to trace, in the event a problem should arise. Your signature should be your legal signature in ink since it certifies the total number of hours you are reporting on the card.

Below is an example of the back side of a correctly filled-in time card. You may want to have it before you when you are making up your time reports to avoid errors and thus insure your receiving prompt payment.

EXAMPLE OF TIME CARD - BACK SIDE

UNIVERSITY OF MICHIGAN	TIME REPORT	INSTITUTE FOR SOCIAL RESEARCH
	I certify I have worked 35 1/4 hours as shown on reverse side.	Date June 16 1954
	Mary J. Doe Employee signature	

The Face of the Time Card

The face of the card is where you will report the number of hours spent each day in interviewing, study, training, and so forth. All time entered should be figured to the nearest quarter hour. The following information goes on the face of the card:

1. At the top of the card, we would like you to print your name, title, rate of pay, county, the month in which the work was done, and the number of the project on which you were working.

2. The first column contains the dates of the month. All time entered should be placed on the line coinciding with the date on which you spent the time.

3. The second column calls for the interview numbers of the interviews taken on the particular day (whether or not they were written up on that day). Be sure to enter the interview numbers (e.g., 9, 10, 11) rather than the number of interviews (see example in this section).

TIME CARD - FACE SIDE

Name Mary J. Doe

Title Interviewer Rate 1.25

County St. Clair, Michigan

(approved)

Month April Project No. 902

Day	Interview Numbers	Interv. and Study	Superv. and Train.	Listing	Other
1			4		
2				4	
3				3	
4	1, 2	3 1/2			
5		4			
6	3, 4	3			
7		2			
8	5, 6, 7	5 1/4			
9		2			
10		3			
11					
12					
13	8, 9	2 1/2			
14					
15	10	1			
16					
17					
18					
19					
20					
21					
22					
23					
24					
25					
26					
27					
28					
29					
30					
31					
Total Interview	10	Hours 24 1/4	4	7	
Gross Wages		Earnings			
Ref		Classification			

4. The third column calls for time spent in obtaining and writing up interviews (travel, waiting time, time spent going to and from respondent's homes even when no interview results - etc.) In general, this column should include all time directly related to interview production.

5. The fourth column should include time spent in supervising (for local supervisors) and time spent in training (training is time spent with the travelling field supervisor only - all other time spent by yourself or with the local staff in studying materials goes into the column marked "Study and Interviewing.)"

6. The fifth column is to be used only when you are doing block listing and should include all time spent in connection with such listing.

7. The "Other" column is for special activities that come up from time to time. We will let you know when it is to be used. At all other times, the time you spend should be fitted into columns 3-5.

After recording each day's time, the total for each column should be computed and entered on the "Hours" line at the bottom of the card. The other lines entitled "Earnings" and "Classification" should not be filled in.

Mailing Your Time Card

There are two payroll periods each month which are:

1. the 1st to the 15th, and

2. the 16th to the 31st (30th) of the month.

All time you have spent between the 1st and 15th of the month should be received in the office not later than the 20th of the same month (preferably before), at which time the final payroll lists for that period are prepared. In like manner, all time you have spent between the 16th and 31st (30th) of the month should be received in the office not later than the 5th of the following month (preferably before), which is the final payroll day for that period. To put the matter in another way, on the 16th and 1st of the month you will need to be sure that a time card (or cards) covering the previous half month's work has been sent to the office.

You may use a single time card for the whole half month period. Or, if you wish, you may use separate cards for each quarter month, and mail them in at the end of each week's work. Notice that the heavy lines on the face of the card divide the dates up into quarter month intervals). In any event, do not mix payroll periods on your time cards. That is, in no case should a card contain time from more than one payroll period (1st to 15th and 16th to 31st). For example, if you forgot to send in your time for the first payroll period of a particular month, and need to send in the whole month's time at once, be sure you make out a separate card (cards) for each of the two payroll periods.

To receive prompt payment, be sure your time cards are properly filled out and sent in on time. For each payroll period the University keeps records and turns out checks for many hundreds of people. If your time card comes in too late for the current payroll list, it cannot be processed (except under unusual circumstances) until the next payroll period, approximately two weeks later. Similarly, if a time card has errors in it, it may be held up until the next payroll period if there's not enough time to rectify an error before a payroll deadline.

The following chart summarizes the time schedule for time cards:

PAYROLL PERIOD:	RECEIVED IN OFFICE BY:	CHECK MAILED FROM OFFICE ON:*
1st to 15th	20th of the month	30th of the month
16th to 30th	5th of the month	15th of the month

*When the 15th and 30th of the month falls on Saturday, Sunday, or a holiday, your checks will be mailed to you the previous work day.

INSTRUCTIONS FOR EXPENSE VOUCHERS

In order to insure the quickest possible payment for expenses which you incur on work for the Center, study the following instructions. Have them before you each time you are writing up a voucher so that your report will be precise and accurate. This will prevent our having to return them to you for correction - thus causing you inconvenience in receiving delayed payment.

The vouchers are official University records of expense claims. (Time on the job goes on the time card, not on expense voucher). One copy of each voucher you send in becomes part of the University's permanent file; as such, it is available to auditors who examine the accounts from time to time. For these reasons, it is important that you fill out the voucher correctly and completely, and send them in according to schedule.

For each voucher period, fill out two (2) copies of the voucher form according to the instructions below. One copy must be an original on both sides. Use either typewriter or pen. Information on voucher periods is given in a following section.

The Front of the Expense Voucher

The front or face of the voucher is the side with TRAVEL-VOUCHER in the upper left-hand corner.

1. The first entry you are to make on the front of the voucher is your printed name - as you want it to appear on your check - in the space designated "Name of Payee." On the second line, print your address, and on the third line print the city, zone and state.

2. On this side of the voucher on the lines in the middle of the page write the simple statement: "Travel and expenses incurred on Project # XX interviewing." This explanation of the purpose of the claim is sufficient.

3. Finally, -- AND THIS IS IMPORTANT -- your signature, in ink should appear at the bottom of the original and duplicate copy of the face side of the voucher. (A carbon copy of your signature cannot be accepted -- neither can your signature written with pencil be accepted.) If, by any chance, a voucher is returned to you for signature, please do not trace over the signature. NOTE: These items (name, address, purpose of claim and signature) are all that you have to concern yourself with on the front side of the voucher. All of the other blanks will be filled in by the office.

The Back of the Expense Voucher

1. In the upper left hand corner of the back of the voucher, fill in the time period covered by the voucher -- such as April 1-15, 1953; or April 16-30, 1953.

2. In the "Day" column, you will need to enter the date of the month on which any particular expense occurred.

3. In the space for "Character of Expenditure," we need to have a full description of the expenses. (See example below.)

4. The amounts column should contain the amount you are claiming for each expense.

How are Expenses to be Listed on the Expense Voucher?

1. Travel by privately owned car:

a. Whenever you use your own car on official business and wish to claim reimbursement for the mileage travelled, you will need to fill out the regular mileage statement in addition to the expense voucher. The mileage statement is described in the following section. The two copies of the expense voucher and one of the mileage statement should be sent in together.

b. Since the mileage statement contains the details of your travel by car, the only thing that needs to appear on the voucher itself is a summary of the travel expenses you are claiming. This summary should include the dates during which the total travel occurred, the total number of miles, the amount per mile, and the total amount claimed and a statement of the general area covered (e.g., "In and around Adair County" or eight round trips - Detroit to Wayne, Michigan," et al) This should be the last item to be mentioned on the voucher, and should appear as in the following example.

DAY	CHARACTER OF EXPENDITURE	Amounts $	¢
1-14	Mileage claimed (statement attached) 180 miles at 7¢ two		
	round trips Detroit-Wayne, Michigan	12	60

2. Travel by public transportation:

a. Any expenses you have for bus fares, street car, subway, etc., while on the job should be stated on the voucher. Where a taxi is used, full explanation must be given together with a receipt for the fare (if it is over $1.00). The matter of reimbursement will be decided on the basis of the explanation given.

b. All fares for any given day may be lumped together on the line for that day. The statement should include the date, the number of fares, the rate of each fare, and the total amount - as in the following example.

DAY	CHARACTER OF EXPENDITURE	Amounts $	¢
7	4 bus fares at 10¢		40
7	2 street car fares at 10¢		20
8	taxi home to 1010 Haverhill (authorized by field office -		
	no public transportation available) receipt enclosed	1	10

3. Other kinds of expenses:

   a. You are entitled to claim reimbursement for regular expenses connected with the work, such as those for postage, local telephone calls, office supplies and so forth.

   b. Each different kind of expenditure should appear on a separate line, and expenditures on different dates should appear on separate lines, as in the example below.

   c. When the cost of a purchased item exceeds $1.00, receipts for the purchased item should be attached to the voucher.

   d. All telegrams or long distance telephone calls to Ann Arbor should be made collect. Other telegrams, toll or long distance calls should be listed separately on the voucher telling who was contacted, when and where.

   e. Feel free to describe in detail your reasons for any expenditure on the voucher when you feel the expenditure might be questioned. Remember that the people who will be examining your expense reports were not actually on the scene of the field work. A good rule to follow: when in doubt write in a full explanation.

DAY	CHARACTER OF EXPENDITURE	Amounts $	¢
3	Called John Smith, Oak Park, Ill. (regarding interview completion)		40
3	Night letter Elsie Jones, Brookfield, Ill., official business		70
11	Postage		27
13	5 telephone calls at 10¢		50
13	2 steno notebooks, 3 pencils		35

What is the "Disallowance" Procedure?

If there is any question about items you have listed for expenses, rather than hold up payment on the entire voucher while it is being straightened out, we use a different procedure. The amount of any questioned item will be subtracted from the voucher and the rest will be sent through for payment. When your check is mailed for the reduced amount, the statement which accompanies it will show: (a) the amount of your original claim, (b) the amount taken off (disallowed), and (c) the reason for subtracting this amount.

If you should have any questions, either about how to fill out the vouchers, or what you can claim, they should be sent to the Head of the Field Section. If you believe an item was erroneously subtracted from your voucher, send along another voucher with whatever additional explanation you think is relevant on it; and it will then be reviewed and you will be notified of the results.

Mailing Your Expense Voucher

The voucher periods are similar to the payroll periods. That is, we prefer to have separate claims for the period from the 1st to the 15th and the 16th through the end of the month. In other words, a voucher for expenses during the first half of the month should be submitted as soon as possible after the 15th of the month. Another voucher for the second half of the month should be sent in immediately following the end of the month. Since voucher periods coincide with pay periods, it is suggested that you send together the time cards and voucher for each period.

Expenses on each voucher are reimbursed by a special expense check (separate from the pay check). Expense checks are ordinarily sent to the interviewer about six days after receipt of the voucher in the office.

INSTRUCTIONS FOR MILEAGE STATEMENT

Interviewers may use their cars for interviewing any time that such use will expedite their work. For all official driving, reimbursement is made at the rate of $.07 per mile (as of the date of publication of this manual). This amount is paid in lieu of all other car expenses. (The only other car expenses that may be charged to the University are those for tolls, where it is necessary to use a toll bridge, road, or tunnel. This type of expense, however, is to be indicated on your expense voucher and <u>not</u> on your mileage statement.)

In claiming mileage, a mileage statement attached to the corresponding expense voucher should be submitted with the following information to support your claim on the voucher:

1. First of all, print your own name at the top of the page in the space marked "Driver."

2. In the space below that, give the names of any co-workers travelling with you.

3. Considering the left hand column to be "Column 1," put the month and year of the official travel at the top of Column 1. For each day on which you are claiming mileage, put the corresponding day of the month.

4. In the second column, indicate the place from which you started the trip.

5. In the third column, tell your destination. It is unnecessary to indicate mileage for each small trip within an open country segment or town. These may be grouped for one day and entered: "In and around O.C. Seg. 2 - 20 miles," "In and around Cincinnati - so many miles."

6. The fourth column should show the reading on your speedometer at the beginning of the trip.

7. In the fifth column, the speedometer reading at the time you ended the official trip should be recorded.

8. <u>The entire speedometer reading</u> must be recorded for each entry on the mileage statement. Recording the last three figures is not sufficient since the last three figures of a speedometer reading appear 10 times in each thousand miles.

9. The last column should show the total number of miles covered on the trip to the nearest mile. Do not enter fractions of a mile.

10. As in the case of the voucher, your mileage statement should cover a period either from the 1st through the 15th of the month, or the 16th through the end of the month. Consequently, under the lines "Voucher period covered by this claim" should be filled in with the dates for one of these periods - the same dates that appear on the accompanying voucher.

11. In the far right hand corner total up the number of miles appearing on the whole statement, multiply this figure by $.07 (allowance per mile) and enter the resulting figure on the line below for "Mileage Claim."

12. Finally, do not forget to sign the statement on the line provided at the bottom of the form. Your signature makes the form official and compensation cannot be made for the mileage without it.

13. If, for any reason, you use more than one car during the course of a study, or have your speedometer fixed in a way which changes reading, be sure to note that fact and the reason on the mileage statement. When this is not done, the speedometer readings appear inconsistent and delays in processing the claim occur.

Be sure to subtract any personal driving you may do during the course of the day from your speedometer readings so that the readings will correspond with your statement of total mileage.

One Copy of the Mileage Statement Should Accompany your Expense Voucher.

Mileage statements sent in without an accompanying voucher will have to be returned to you for the voucher. The following pages contain a correctly-executed mileage statement together with one copy of an accompanying voucher. In filling out your report forms, it will be useful to refer to these examples.

SPECIAL NOTES

1. In filling out time card, voucher and mileage statement for a particular period, please check to see that all three of these forms are consistent with one another in regard to dates, activities indicated, etc. If they are not, you have made a mistake in one or more of the forms. For example, if you indicate mileage on a certain day, but there is no time indicated on the time card for that day, either the date of your mileage is wrong or you forgot to include time for that day.

2. As a general policy, for the case of new interviewers only, the Center withholds training time and expense payments until the newly-hired person's first production interviews are taken.

INSTRUCTIONS FOR DAY-BY-DAY WORK RECORD

The Day-by-Day Work Record is not submitted on a regular basis, but according to instructions for each specific study. At the beginning of each study, you will be notified regarding the dates for which we would like to have Day-by-Day records kept in your area. If, for any reason, you do not work during the period indicated, simply send in a statement to that effect to the office at the time the records are due.

The Day-by Day Work Record is used for analysis purposes only. You are not paid on the basis of the time and expenses you enter on them. The form is quite detailed so that we may have sufficient information for a full analysis of time and expenses in the various field activities. This information aids us in planning future studies. In order to keep the records as accurate as possible, it is suggested that you have the form with you when you are working and that you keep it up to date as you go along.

Filling out the Day-by-Day Work Record

1. First, you should fill in the blanks at the top of the record sheet (see example of filled-in Work Record). These are quite obvious and you should have no difficulty with them. Your name and address (both street and city) should go in the designated blanks in the upper right hand corner; the county and state and project number (this is a number assigned by the Center to the particular survey upon which you are working) should go in the blanks in the upper left hand corner.

2. As you will notice, the record sheet is divided into two sections. The plan is to keep each day's time separate; therefore, you are to enter only two days on a sheet and each of these in a separate section of the sheet. One line is to be used to record each call; the calls are to be recorded in the sequence in which they are made. Other lines are to be used as needed for time spent in study, listing, and for the write-up of interviews, etc.

3. Time of Day: In this column belongs, as its heading states, the time of day that you set forth on the different activities involved in your interviewing job. For example, in this column goes the time of day that you start forth on your first call; the time you start for your next call; and then finally the time you start for home; the time you begin a study period; the time you begin your write-up of interviews; etc. The time should be indicated -- 9:30 A.M., 7:00 P.M., etc.

4. Miles Travelled: The "Miles Travelled" column is to be used only if you drove your automobile. The number of miles travelled to reach each respondent's home goes in this column. Thus, the number of miles for each call includes only the distance from the preceding call to the present one (including the distance from your home to R's home for the first call each day.) Finally, when travelling by auto, one line must also be used each day for recording the miles travelled returning from the last interview to your home.

5. Carfare: When travel is by public conveyance, the carfare is to be recorded in the "carfare" column. Each entry is for the cost of carfare from one call to the next. Follow the same procedure as in "Miles Travelled" above.

6. Address and Block Number: The address entered under "Address and Block Number (Segment No. if Open Country" should correspond with that given on the address card. Please record the complete street address. If the respondent lives in the open country, the segment number is required and the description of the house as it appears on the Cover Sheet for that dwelling. When listing, this is the column in which to record the block number.

7. City: In the "City" column, you enter the name of the town or city in which the preceding street address is located.

8. Call No.: The number of times calls have been made at this particular address or spending unit should be entered in the "Call Number" column -- i.e., whether this is the first, second, third call, etc. to that address. Even when more than three calls have been made, the specific number should be entered. The call numbers should correspond with the information in the call boxes on the Cover Sheet for that address.

9. Result of Call: Under the "Result of Call" column, the call may be entered as NAH (not at home), RA (respondent absent), R (refusal), HV (vacant), AND (Address not a dwelling), or NI (no interview for other reasons) as the case may be. Where the call has resulted in an interview, the interview number should be recorded here. This number and the result of call are the same as those which you place on the Cover Sheet for that address.

****

The next five columns are to contain the amounts of time spent on the specified activities. This time is to be recorded only to the nearest one-quarter hour, i.e., 6 Hrs., 6 1/2 Hrs., 6 1/4 Hrs., 7 Hrs., etc. Fractions should be used rather than decimals in recording the quarters of an hour. The various activities are as follows:

10. Travel: The amount of time recorded in the "Travel" column is the time spent in reaching the sample address and locating the respondent.

11. Interviewing: The amount of time entered in the "Interviewing" column is the time spent in taking the interview. For any calls in which no interview is obtained, the total amount of time spent is to be entered under "Travel" above. However, if you have spent some time talking with someone other than your R at the address or with neighbors trying to determine the habits of the household, you may enter it in the "Miscellaneous" column, followed by an explanation in the next column. The total of "Travel" and "Interviewing" should be the total time spent on a particular call.

12. Listing: Under "Listing" the time spent on listing and rating dwelling units should be entered and should include only time spent on actually listing. Travel time to and from the block belongs to "Travel."

13. Study: The "Study" column is for any time spent in study of materials, training sessions, and practice interviews.

14. Miscellaneous: In the "Miscellaneous" column you may record any time which could not be appropriately assigned to any of the preceding categories - i.e., write-up time, etc.

15. Description of Activity and Comments: The space in the "Description of Activity and Comments" column may be used in describing various activities for which time is entered in the column entitled "Miscl." This space may also be used for comments regarding any difficulties encountered.

16. Date: Halfway down this last column and again at the bottom of the record sheet are a couple of blanks designated "Date." Here you are to enter the month, day and year that the activities recorded immediately above have taken place. As we said before, each sheet should contain not more than two days' activities, and therefore, you should enter only two dates, -- one in the middle of the sheet and one at the bottom. However you may use the entire sheet for one day if you find that you do not have enough lines in the one section to record your day's activities. In case this is necessary, please indicate that the record sheet is for one day only.

17. Total Hours for Day: In the blank spaces below each section of the form, you are to total the hours for each of the columns headed "Travel," "Interviewing," "Listing," "Study," and "Miscl." for that particular day. Then add them horizontally -- that is, across the sheet - and place the total number of hours for the day in the box to the right of the "Date" entitled "Total Hours for Day."

18. Signature: At the very bottom of the record sheet in the right hand corner is a place for your signature.

REMINDER: The Day-by-Day Records are used only for analysis. Payment for time and expenses is made on the basis of the yellow time card and vouchers.

****

The following chart summarizes the time schedule for the four forms discussed in previous sections:

Report Form	Mailing Dates to Ann Arbor		Number of Copies
Yellow Time Cards	1st	16th	1
Mileage Statement	1st	16th	1
Expense Voucher	1st	16th	2
Day-by-Day Work Record	(Special Instructions)		1

Render Bill in Duplicate on this Form

TRAVEL-VOUCHER
University of Michigan, Ann Arbor, Mich.

Payee Leave Blank
Voucher No.
To Be Filled in By Payee
Fund
Dept.
Acct.

Name of Payee Mary Doe

Street and No. 1262 High Street

City, Zone and State Wayne 3, Michigan

Order No.	Date		ITEMS	Amount	
			For reimbursement of expenses incurred while traveling on official business as per itemized statement within		

Note-State purpose of trip on lines below.

Travel and Expenses incurred on Project # 87

I certify that the within statement of account is correct, and in accordance with law; that the amount charged for expenses was actually expended and was reasonable, necessary, and in the discharge of official duties; and that the above account, or any part of it, has not heretofore been allowed or paid.

Mary J. Doe
Payee Sign Here

Extensions and Footings and Prices and Terms Correct:		Passed by Traffic Dept.	Passed by Acct. Dept.:	
Check Number	Date of Payment	Posted		
		Ledger	Index	

Approved for payment ______ 19___

Head of Unit or Authorized Agent

UNIVERSITY OF MICHIGAN

Submit in DUPLICATE
in ink or typewritten.

Statement of Expenses Incurred Traveling on Official Business

For month of

June 1-15 19 54

DAY	CHARACTER OF EXPENDITURE	Amounts $	Amounts ¢
3	Long distance to John Smith, intr. Oak Park Ill. off. bus.		40
	night letter Elsie Jones, Supr. Brookfield, Ill off. bus.		70
7	4 bus fares at 10¢		40
	2 street car fares at 10¢		20
8	Taxi to 1010 Haverhill (authorized by Field		
	office - no public transportation available.		35
11	Postage		27
13	5 telephone calls, off. bus. at 6¢		30
	6 steno notebooks at 20¢ (receipt attached)	1	20
1-15	Mileage Claimed (statement attached)		
	320 miles at 7¢ Two round trips - Detroit		
	to Wayne and around Detroit + County	22	40
	TOTAL	26	22

Less deductions (if any)

AMOUNT OF CHECK

INSTITUTE FOR SOCIAL RESEARCH

UNIVERSITY OF MICHIGAN

Mileage Statement

Driver: Mary Doe

Occupants: Jane Smith

Date	From	To	Speedometer Readings		Miles
			Start	End	
2	235 Huron St.	Segments #2 + #3 + ret.	5063	5119	56
3	235 Huron St.	Blks #51, #52 + #54 + ret.	5119	5130	11
5	235 Huron St.	Segments #1 + #5 + ret.	5147	5250	103
9	235 Huron St.	Blks #1, #2, #5, #4, #6 + ret.	5275	5305	30
10	235 Huron St.	Segments #2, #3, + ret.	5305	5425	120

Voucher period covered by this claim:

From June 1 to June 15, 1954

Total Miles 320

Allowance Per Mile .07

Mileage 22.40

I certify that this statement of mileage is correct, that the amount charged for mileage was reasonable, necessary, and in discharge of official business; and that the above account or any part of it has not heretofore been allowed or paid.

Signature Mary J. Doe

SURVEY RESEARCH CENTER
UNIVERSITY OF MICHIGAN

Name Mary Doe
Address 1262 High Street
City Wayne, Michigan

County and State Wayne, Mich.
Project Number 87

DAY-BY-DAY WORK RECORD

Time of Day	Miles Traveled	Car-Fare	Address and Block Number (Segment No. if Open Country)	City	Call No.	Result of Call	Time Spent to 1/4 Hours: Travel	Time Spent to 1/4 Hours: Interviewing	Time Spent to 1/4 Hour: Listing	Time Spent to 1/4 Hour: Study	Time Spent to 1/4 Hour: Misc	Description of Activity and Comments
3 P.M.	10	–	Home to 1523 Hamlin	Wayne, Mich.	1	Int. # 1	1/2	1 1/4	–	–	–	
4:45 P.	2	–	1523 Hamlin to 15 South	" "	3	R.A. made appt.	1/4	–	–	–	1/4	Talking to R's wife
5:15 P.	6	–	15 South St. to home	" "	–	–	1/2	–	–	–	–	
7 P.M.	–	.15	Home to 515 Green	" "	1	N.A.H.	1/4	–	–	–	–	
7:15 P.	–	–	515 Green to 80 West St.	" "	2	Int. # 2	–	1	–	–	–	
8:30 P.	–	.15	80 West Street to Home	" "	–	–	1/4	–	–	–	–	
9 P.M.	–	–			–	–	–		–	–	3	Writing up Int. #1 & #2
							1 3/4	2 1/4				

Date June 5, 1951 Total Hours for Day 7 1/4

Time of Day	Miles Traveled	Car-Fare	Address and Block Number (Segment No. if Open Country)	City	Call No.	Result of Call	Travel	Interviewing	Listing	Study	Misc	Description of Activity and Comments
9 A.M.	7	–	Home to Huron Hotel	Wayne, Mich.	–	–	1/2	–	–	2	–	Training with Supv.
12:30 P.	4	–	Huron Hotel to Blks #10 & #11	" "	–	–	1/4	–	2 1/2	–	–	
3:15 P.	9	–	Blk. #11 to 15 South St.	" "	4	Int. # 3	1/2	1	–	–	–	
4:45 P.	6	–	15 South St. to Home	" "	–	–	1/2	–	–	–	–	
5:15 P.	–	–		" "	–	–	–	–	–	1	–	Going over materials
							1 3/4	1	2 1/2	3		

Date June 8, 1954 Total Hours for Day 8 1/4

Signature Mary J. Doe

Chapter XIV

FUNCTIONS OF LOCAL SUPERVISORS AND OFFICE CONTACTS*

The counties and metropolitan areas in our national sample vary considerably as to size of area, size of sample there, interviewing conditions, and other factors. To fit the local situation, the interviewing staffs vary in size from one to fifteen interviewers. Depending on the situation, the Traveling Supervisor will appoint either a Local Supervisor or an Office Contact.

The Traveling Supervisor's decision as to whether a Supervisor or Office Contact is to be appointed depends on a number of factors. Where the staff is large enough to require supervision and coordination, one person is appointed to supervise and serve as contact with the office. In other areas where the staff is small or where interviewing conditions do not require extensive supervision and coordination, an Office Contact is appointed. In choosing a particular person to fill these positions, the Traveling Supervisor considers such factors as: where the staff members live; who has a car available or sufficient time for the extra work, work experience, etc.

In any event, one person in each sample area will be appointed either Local Supervisor or Office Contact, which duties are to be carried out in addition to the individual's interviewing. There are some functions which are common to both Supervisors and Office Contacts; these will be mentioned in the first section below. The section following that will deal with the duties which apply only to the Supervisor. Thus, if you are a Supervisor or Office Contact (or the only staff member in your area), the information in this chapter will be especially pertinent to you.

FUNCTIONS OF SUPERVISORS AND OFFICE CONTACTS

1. Returning Availability Forms

When plans are made for a survey, the office sends out an "Availability Form" notifying the Local Supervisor or Office Contact as to the dates of the study, and the approximate number of interviews expected from that area. Whenever it is felt that more than one person is needed in an area, you are asked to arrange with the interviewers on the staff to work. Return the Availability Form as soon as possible, and to indicate who is available for the study.

2. Receiving Survey Supplies

All supplies and materials are sent to the Local Supervisor or Office Contact prior to the beginning of a survey in the following manner:

a. Sampling materials (i.e. maps, listing sheets, etc.) are sent by first class mail and marked special delivery and/or air mail.

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* If you are the only staff member in your area, this chapter will still be pertinent, since it gives basic information on the field operation.

b. Questionnaires, cover sheets, instruction booklets and other materials without handwriting are sent 4th class mail, usually special (handling) delivery. Any materials with handwriting on them are sent by first class mail (according to postal regulations).

After a survey is in the field, additional instructions, corrections, changes and general information, in the form of numbered memos regarding the survey are sent to all interviewers as well as Supervisors and Office Contacts - usually air mail.

3. Reviewing Survey Materials

The Supervisor or Office Contact should check all maps and other sampling materials to determine if the addresses, blocks and segments are clearly defined, and whether all materials have been sent by the office, In case of doubt, contact the office immediately for clarification.

4. Ensuring Proper Field Procedures

The Supervisor or Office Contact needs to see that interviews are taken in the proper blocks and segments, and that the proper person is interviewed. You will also need to check that sufficient call-backs are made at different times of day, and at appropriate intervals to obtain all interviews possible (the survey instruction booklets offer specific instructions in this regard).

5. Accounting for Every Sample Address

You are also responsible for making certain that each address in the sample is visited and reported on (use the Sample Address Summary as a check). This means that the results of the visits should be one of the following:

a. Interview
b. NAH (Not at home after required number of calls)
c. R (refusal)
d. HV (address a vacancy on first visit)
e. AND (address not a dwelling)
f. RA (someone at home but respondent absent)
g. Non-interview for "other" reason

Therefore, if 75 addresses fall into your sample, (including extra, missed and new construction DU'S) 75 addresses must be accounted for by the supervisor at the end of the survey.

6. Responsibility for Completion Within Study Time Limit

It is the Supervisor's or Office Contact's responsibility to see that the interviewing is completed within the time limit set for the survey. This means that you must work closely with the interviewers, keeping yourself informed in regard to the daily progress of the work, and in turn keeping the office in Ann Arbor informed. You should maintain a current up-to-date record on the Sample Address Summary Sheet. (see Chapter XI).

The matter of the interviewing deadline is of great importance. Several phases of the study (coding, tabulation, analysis, etc.) have to follow the interviewing, and if the field operation is behind schedule, staffing and budget arrangements of the research phases are placed in jeopardy. The Field Office will be able to help local staffs which are not able to finish the interviewing load on time. However, we must know of the problem in time if we are to help. If the interviewing cannot be finished in the time scheduled, the Office Contact or Supervisor should notify the office of the circumstances immediately.

7. Returning Progress Reports

The Local Supervisor or Office Contact is required to fill in at least one Progress Report form for each study. These forms cover not only the total number of interviews taken, but also such information as non-interviews, number of extra dwelling units that have turned up, number of secondary spending units (on economic studies), and any problems that may have arisen. These forms are sent out when we need more information in the office in order to make some additional decisions. Hence it is important that you have your records up-to-date as these Progress Report forms must be returned to the office immediately.

8. Returning Survey Materials

An important responsibility of the Supervisor or Office Contact is to see that all maps and sampling materials are promptly returned to the office at the end of the study via first class mail. One over-size envelope is included in the supplies for this purpose. Unused extra questionnaires (in quantity) should either be destroyed or returned to Ann Arbor, 4th class mail. It is not necessary to return supplies such as envelopes, stationery, paper, etc. These supplies can be used from study to study. Additional supplies will be sent on request from the Supervisor or Office Contact.

SPECIAL FUNCTIONS OF THE SUPERVISOR

1. Meeting with the Interviewers

When the sampling and survey materials have been received and before the interviewing is started, the Supervisor should meet with the interviewer(s). The purpose of this meeting is to study and discuss the objectives of the survey: the method of respondent selection, maps and other sampling materials, the objective of each question on the questionnaire, the study deadline and other general instructions in the study instruction booklet.

All aspects of the survey should be clear to each person before he starts to interview. A carpenter with years of experience in carpentry must nevertheless study the specifications for each separate job as a new problem; similarly, a certain amount of preparation is necessary before even an experienced interviewer can start out on a new assignment.

2. Reviewing Practice Interviews

On some studies the instruction booklet will indicate that two practice interviews should be taken by the local staff before the sample addresses are started. The purpose of these practice interviews is to enable you to anticipate some of the problems which may arise in the interviewing and to familiarize yourself with the question objecttives. The Supervisor and interviewers should go over these practice interviews together, checking them for completeness and accuracy, and ascertaining whether or not the objective of each question has been met. --All practice interviews should be mailed to the office by the Supervisor.

3. Review of Production Interviews

After several production interviews have been taken by each person, the Supervisor and interviewers should review the question objectives and any other problems that are occurring. The office should be contacted if you have any questions on which we can be of help.

6. Reviewing Administrative Forms

It is the responsibility of the Supervisor to go over with the interviewers any problems on interviews, time cards, day-by-day work records, mileage statements and expense vouchers. Particular attention should be given to accuracy, completeness and signature, before they are forwarded to Ann Arbor.

INSTRUCTIONS ON MAILING INTERVIEWS

The Office Contact or Supervisor (or, if the arrangement has been made, the interviewer) should mail interviews regularly to Ann Arbor in the pre-addressed brown envelopes. Our coding operation is geared to a constant and steady flow of interviews from the field, and cannot function effectively otherwise. Hence, morl than five interviews should never be allowed to accumulate before mailing. (see instructions below regarding mailing of interviews).

Before interviews are mailed to the office, they should be properly assembled. That is, all the sheets of paper associated with an interview (cover sheet, thumbnail sketch, write-up etc.) should be attached together by means of a paper clip, staple, or other means of attachment. This will avoid confusion in the office. The thumbnail sketch should be attached immediately following the cover sheet rather than on top of it.

Interviews should be sent to the office by first class mail, and your return address should be affixed to the envelope containing the interviews. Interviews may be sent via air mail special delivery when there is a distinct shortage of time before the study deadline. In all cases be sure to firmly seal the envelope. Scotch tape is especially useful in this regard.

Here are two suggestions which supervisors might find helpful:

a. Have the first envelope of three interviews weighed at the post office. This will obviate the necessity of taking the interviews to the post office each time, since the supervisor will know how much postage is required for that number of interviews.

b. Insert a postcard, self-addressed, in each envelope containing interviews on which have been listed the numbers of the enclosed interviews. The card will be returned to the supervisor upon receipt of the envelope in the office. This eliminates worry on your part as to whether or not the interviews have arrived safely in Ann Arbor.

COMMUNICATION WITH THE OFFICE

Use collect telephone calls and collect telegrams to the office in cases of emergency, or at times when information is needed immediately to complete the field work. Among emergencies justifying telephone calls or telegrams would be such things as non-arrival of materials and supplies, errors in sampling materials, unusual cases not covered by instructions, shortages of materials, need for additional instructions to avoid errors and delay in work, illness of interviewer which will delay the study and need for additional personnel to complete the work.

Collect telephone calls and collect telegrams concerning matters not directly a part of the study itself, cannot be accepted. University regulations state that inquiries not directly related to the study cannot be reimbursed. Therefore, inquiries about future work and future assignments, inquiries regarding pay and expense checks, and other personal inquiries should be made by mail.

SPECIAL NOTE: The Center's Field Staff is widespread from coast to coast, with a single central office in Ann Arbor. Unfortunately with this kind of organization, there can be little face-to-face contact between field workers and members of the central office. This means that two-way communication with the central office is especially important. We make every effort to answer all communications from interviewers and supervisors, and to keep in close touch with you through mail, telephone and telegram. In return, we urge you to feel completely free to contact us about your questions and problems. Even if you just feel like chatting, drop us a line at any time. We would also like to get your comments and reactions to each survey.

All communications to the Center should be addressed to:

Field Office
or: Charles A. Cannell
Survey Research Center
University of Michigan
Ann Arbor, Michigan

The telephone number is Ann Arbor NO 3-1511, Extension 2482.

CHAPTER XV

YOU AND THE SURVEY RESEARCH CENTER: MISCELLANEOUS INFORMATION

Deductions from your Paycheck

Income tax deductions are the only deductions made from your paycheck. These deductions are made from each check according to its amount and the number of exemptions you specified when you originally joined the Center staff. At the end of the calendar year the University payroll office sends to you a Withholding Statement which states the total wages earned by you and the total income tex withheld by the University during the year. You will need this information for your annual income tax return.

The University does not make Social Security deductions from the pay check of any University employee since it is not a participant in the Social Security program under the provisions of the Social Security Act.

Your Identification Card

For each survey you will be sent an identification card which identifies you as an official representative of the University of Michigan Survey Research Center. For your benefit, and to avoid any difficulties in the way of proper identification, you should be sure to sign this card and have it in your possession when interviewing or doing any other work for the Center. Be careful not to lose this card; but if it should be lost or destroyed in some way, let us know. Be sure to return your card at the end of each study unless you are otherwise instructed.

On-the-Job Insurance Coverage

For the benefit of all employees of the Center, the University carries a workmen's compensation and employer's liability insurance policy. The details of the coverage provided are much too elaborate to include in this brief statement. In general, howeven, the policy provides coverage for all injuries occurring while the employee is engaged in University business, and provides compensation for lost time, and cost of medical services as provided by the workmen's compensation law of the State of Michigan.

In certain states which have their own compulsory compensation insurance laws, the benefits provided by the University policy are in accord with the requirements of those particular states. Staff members in all states not having a compulsory compensation insurance law will receive the same benefits as provided under the Michigan law.

If you undergo any kind of a personal injury accident which was sustained in the conduct of your duties, let us know the facts immediately. We will send you pertinent forms to fill out and the instructions for receiving compensation.

In regard to automobile insurance, the University has found it impractical to secure coverage for cars not owned by the University. It is therefore the responsibility of each individual to provide his own automobile insurance.

Visits by Traveling Supervisors

From time to time your sample area will be visited by a Center Traveling Supervisor. During these visits, the Supervisor will take the opportunity to give both old and new interviewers training about the latest Center work and the new methods it has developed. Part of this training will be based on the office's review of your work. At the same time you can raise whatever problems you have had and questions you would like to discuss (particularly those which are difficult to discuss with the central office by mail or telephone). In the periods between Traveling Supervisors' visits, the local staff in each sample area is completely on its own.

Schedule of Surveys

It goes without saying that we try to give as much survey work as possible to as many people on our staff as possible. However, surveys differ from one another as to size and type of sample they require, and this, of course, affects the amount of field work to be done.

Our national sample is constructed in a way which allows it to be split into two parts, each of which is an adequate cross section national sample in itself. On a national sample study for which only a small number of interviews is required, we use only half of our counties and metropolitan areas. (To do otherwise on a small study would be highly inefficient, both for interviews and for the Center). On the large studies we, of course, use all of our sample areas. The size of the sample depends on the sampling and analysis procedures required by the survey objectives. In any event, we always do our best to spread the surveywwork equitably among the staff members.

Advance Notice of Surveys

For various reasons we are, unhappily, unable to tell you very far in advance (usually about a month) about the schedule of the coming surveys. The fact is that the timing of the various factors involved in making up a survey is difficult to predict. One factor, of course, is that agreements with sponsors must be made; this takes time and many discussions. Once the basic agreements are reached, specific survey plans have to be worked out: the time that such planning will take is difficult to predict.

In this connection we are endeavoring to organize a series of periodic surveys which would allow us to tell you some months in advance about at least some of the surveys which would be coming. Until we are able to provide a steady survey schedule, we will, of course, make every effort to tell you as far in advance as possible about the specific field schedule of each coming survey.

FINAL WORDS

You have been selected as a member of the Center staff not only because of your general qualifications, but because of your interest and skills in dealing with people. Although it is true that field work with the Center is rigorous, it is also rewarding. The interviewer can obtain a great deal of personal satisfaction from the field work and his dealings with respondents. The interviewer can also feel that he is making a concrete contribution to the Center's study of human beings and important problems of our time.

Although as a field staff member you are on your own to a great degree and see very little of other Center people, remember that you have all our resources behind you. If there is any way in which we can be of help, let us know at any time. We hope that all the members of the Field Staff will greatly enjoy their work with our organization.

BIBLIOGRAPHY

Further information on surveys and social research is given in the following books and pamphlets. In addition, a detailed list of Center publications is available upon request. Feel free to write us about any other information you desire.

1. Counseling and Psychotherapy by Carl R. Rogers. Houghton Mifflin Company, New York, 1942.
   An important and interesting book which outlines the principles and techniques of non-directive counseling. The book is important for the Center interviewer since many of our interviewing methods are based on the ideas it contains.

2. How to Read Aerial Photographs for Census Work. Published by the Bureau of the Census, U. S. Department of Commerce.
   A useful pamphlet which contains information on how to use aerial photos, complete with actual photos and examples of how to read them. The pamphlet can be purchased from the Superintendent of Documents, U. S. Government Printing Office, Washington, 25, D. C. (Price: 20¢).

3. Language in Action by S. I. Hayakawa. Harcourt, Brace & Company, New York, 1941.
   The interviewer is directly concerned with word meanings. This readable book discusses some of the principles of the use and meanings of words. It is very pertinent to the interviewer's job of understanding respondents' answers, probing and filling question objectives.

4. Research Methods in the Behavioral Sciences (Editors: Fesinger a[illegible]). The Dryden Press, New York, 1953.
   This is a basic resource book on social-psychological research methods. It was written by various members of our Institute, in cooperation with other authors. It includes sections on the use of the survey method, sampling, data-collection and analysis. Interviewers will be particularly interested in chapters on selection of the sample and interviewing.

5. Research Methods in Social Relations, Volumes I and II (Editors: Jahoda, Deutsch and Cook). The Dryden Press, New York, 1951.
   This is another basic source book on methods used by social scientists. Particularly pertinent for interviewers are chapters on questionnaire construction, interviewing and sampling.

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