

# **National HIV Behavioral Surveillance System Round 3:**

**Injecting Drug Users (NHBS-IDU3)  
Heterosexuals at Increased Risk of HIV (NHBS-HET3)**

## **Model Surveillance Protocol**



**Behavioral Surveillance Team  
NCHSTP/DHAP-SE/BCSB**

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## 1.1 Purpose of the National HIV Behavioral Surveillance System (NHBS)

Based on a June 1999 review of national HIV prevention programs, CDC's Advisory Committee for HIV and STD Prevention and other external experts called for the development of a national plan for HIV/AIDS prevention. In 2000, CDC, in collaboration with representatives from state and local health departments, academic institutions, and clinical and prevention organizations, initiated a strategic planning process that culminated in the development of CDC's *HIV Prevention Strategic Plan Through 2005*.<sup>1</sup> As part of this plan, four national goals were identified to reduce the annual number of new HIV infections in the United States by half. One of these goals was to strengthen the national capacity to monitor the HIV epidemic to better direct and evaluate prevention efforts, which has been further highlighted in the 2010 *National HIV/AIDS Strategy for the United States*.<sup>2</sup> In 2002, as an initial step toward meeting this goal, CDC awarded supplemental funds to state and local health departments to develop and implement the National HIV Behavioral Surveillance System (NHBS).<sup>3,4</sup>

NHBS was developed to help state and local health departments establish and maintain a surveillance system to monitor selected behaviors and prevention services among groups at highest risk for HIV infection. Findings from NHBS are used to enhance the understanding of HIV risk and testing behaviors in these groups, and to develop and evaluate HIV prevention programs that provide services to them. Within each participating Metropolitan Statistical Area (MSA), data are collected within the major city or HIV epicenter. Depending on the cycle and sampling method, other areas within the MSA may also be targeted for data collection.

NHBS activities are implemented in rounds composed of three cycles. The first cycle of each round focuses on men who have sex with men (MSM), the second cycle focuses on injecting drug users (IDU), and the third, on heterosexuals at increased risk of HIV infection (HET). These cycles are repeated in rounds so that data are collected from each risk group every three years. Cycles are referred to by the group of interest (NHBS-MSM, NHBS-IDU, and NHBS-HET), and the round of data collection is indicated by a number following the group of interest (e.g., NHBS-MSM1, NHBS-MSM2, etc).

## 1.2 Timeline and Scope of Protocol

To date, NHBS completed two rounds of data collection and the third round began in January 2011 with the NHBS-MSM3 cycle. NHBS-IDU3 will be conducted in 2012 and NHBS-HET3 in 2013. The table below displays data collection periods for the completed and upcoming NHBS rounds.

NHBS Round	NHBS Cycle		
	MSM	IDU	HET
1	Dec 2003-Dec 2004	Jan-Dec 2005	Jan 2006-Oct 2007
2	Jan-Dec 2008	Jan-Dec 2009	Jan-Dec 2010
3	Jan-Dec 2011	<i>Jan-Dec 2012</i>	<i>Jan-Dec 2013</i>

The activities described in this protocol are for NHBS-IDU3 and NHBS-HET3 cycles.

### 1.3 Collaborating Agencies

The third round of NHBS began in January 2011 with a 5-year funding award under the program announcement PS-11-001. NHBS grantees include 6 city health departments independently funded by CDC's Division of HIV/AIDS Prevention and 14 state health departments with jurisdiction over specific MSAs or Divisions within MSAs (For definitions of MSAs and Divisions see <http://www.census.gov/population/www/metroareas/metrodef.html>).

Independently-funded city health departments are: Chicago Division (Chicago MSA); Houston MSA; Los Angeles Division (Los Angeles MSA); New York Division (New York City MSA); Philadelphia Division (Philadelphia MSA); and San Francisco Division (San Francisco MSA). Funded MSAs/Divisions under the jurisdiction of the state health departments listed in brackets include the following: San Diego MSA [California]; Denver MSA [Colorado]; Washington Division, Washington DC MSA [Washington DC]; Miami Division, Miami MSA [Florida]; Atlanta MSA [Georgia]; New Orleans MSA [Louisiana]; Boston Division, Boston MSA [Massachusetts]; Baltimore MSA [Maryland]; Detroit MSA [Michigan]; Nassau Division, New York MSA [New York]; Newark Division, New York MSA [New Jersey]; San Juan MSA [Puerto Rico]; Dallas Division, Dallas MSA [Texas]; and Seattle Division, Seattle MSA [Washington]. Here forward, grantees are referred to as project sites.

To ensure that NHBS covers the geographic areas of the United States most impacted by the HIV epidemic, NHBS project sites comprise of state and local health departments in areas with the highest AIDS prevalence. These 20 MSAs/Divisions represent the majority of all persons living with AIDS in large MSAs (population  $\geq$  500,000) in the United States at the end of 2008.<sup>5</sup> Participating health departments will be supported only within the MSA or Division listed and only within the geographic bounds of the funded entity (where MSAs extend beyond the jurisdiction of the eligible state or city health department). Where it would be impractical to conduct NHBS in the entire MSA or Division, recruitment activities should be limited to the geographic area (e.g., city, county, or health district) within the MSA or Division with the highest HIV/AIDS morbidity. On the other hand, in order to preserve the integrity of the sampling method, recruitment activities may be extended to geographic areas adjacent to the MSA or Division if HIV/AIDS morbidity in those areas is high and CDC has granted approval.

## 1.4 Responsibilities

CDC investigators are principally responsible for developing the protocol and supporting appendices, and for providing technical assistance to the project sites. NHBS project site investigators are to 1) contribute to protocol development, 2) successfully implement the project using the methods described, and 3) ensure submission of data to CDC in a timely manner.

## 1.5 Justification for NHBS

The ongoing and systematic collection and analysis of data is needed to identify baseline risk behaviors and prevention service utilization, as well as to measure progress toward meeting prevention goals. NHBS will provide data on the sexual and drug-use behaviors that place individuals at risk for HIV infection, as well as provide data on their use of HIV prevention services. These data will also provide valuable information for monitoring and evaluating outcomes of the *National HIV/AIDS Strategy for the United States*<sup>2</sup> and for guiding national and local HIV prevention efforts. Furthermore, NHBS data may be used by public health officials and researchers to identify HIV prevention needs, allocate prevention resources, and develop and improve prevention programs that target the populations of interest and their communities.

Although HIV behavioral surveillance data cannot be used to evaluate the efficacy of specific interventions, they are important for monitoring whether HIV prevention efforts are reaching at-risk populations within a community and whether these efforts meet national and local prevention goals. At the individual level, NHBS participants may benefit directly from HIV prevention counseling, knowledge of their HIV status, and referrals for additional HIV risk information and care. Participants who have reactive HIV test results (preliminary HIV positive) or confirmed HIV positive test results will be counseled and referred for treatment and case management services.

NHBS-IDU3 and NHBS-HET3 cycles are designed to monitor HIV prevalence and behaviors that place individuals at risk of HIV infection among IDUs and at-risk heterosexuals, respectively.

### ***NHBS-IDU3 only***

Although HIV incidence among IDUs has decreased by approximately 80% since the late 1980s, the decline has slowed in recent years<sup>6</sup> and injecting drug use remains an important route of HIV transmission in the United States. IDUs are at increased risk of acquiring and transmitting HIV through the use of non-sterile injection equipment and through unsafe sex. At the end of 2008, 24% of the estimated number of persons aged 13 years and older living with a diagnosis of HIV infection in the 40 states with confidential name-based HIV surveillance was attributed to drug injection.<sup>7</sup> IDUs (including MSM who inject drugs) accounted for an estimated 12% (5,800/48,100) of new HIV infections in 2009<sup>8</sup>, and racial/ethnic minorities and women continue to be disproportionately affected.<sup>9</sup> Furthermore, recent studies among young IDUs reported high levels of injection and sexual risk behaviors underscoring the need for data to inform comprehensive and age-specific HIV prevention intervention.<sup>10</sup> Finally, analysis of the

NHBS-IDU1 data found high levels of injection risk practices, including sharing syringes to inject (36%) and sharing other injection equipment (62%). Having unprotected vaginal sex in the past 12 months was reported by 66% of men and 65% of women.<sup>11</sup>

### ***NHBS-HET3 only***

Recent CDC HIV surveillance data found that 28% of the estimated number of persons aged 13 years and older living with a diagnosis of HIV infection in the 40 states with confidential name-based HIV surveillance was attributed to heterosexual transmission.<sup>7</sup> Heterosexual contact accounted for an estimated 27% (12,900/48,100) of new HIV infections in 2009.<sup>8</sup> Persons with lower socioeconomic status (SES), racial/ethnic minorities, and women continue to be disproportionately affected by heterosexually acquired HIV.<sup>12,13</sup> The impact of lower SES was identified through analysis of the NHBS-HET1 data, which found that HIV prevalence was significantly higher among heterosexuals who had less than a high school education, were unemployed, and had annual household incomes  $\leq$ \$9,999.<sup>12</sup> In addition, women and minority populations continue to bear the greatest burden of HIV infections among heterosexuals. During 2006–2009, 83% of new HIV diagnoses attributed to heterosexual transmission in the 40 states with confidential name-based reporting were among Hispanics and African Americans.<sup>7</sup> Most (85%) of HIV cases diagnosed among female adults and adolescents in 2009 were attributed to heterosexual contact, of which African American and Hispanic women together accounted for 82%.<sup>7</sup>

## **1.6 Objectives for NHBS**

The objectives for NHBS are designed to monitor behaviors that place people at risk for HIV infection and they apply to the data collected for all three project cycles: NHBS-MSM, NHBS-IDU, and NHBS-HET. The NHBS objectives are as follows:

### **Risk Behaviors**

- Assess the prevalence of and trends in risk behaviors, including:
  - sexual risk behaviors
  - drug-use risk behaviors

### **HIV Testing Behaviors**

- Assess the prevalence of and trends in HIV testing behaviors.

### **Prevention**

- Assess the exposure to and use of prevention services.
- Assess the impact of prevention services on behavior.
- Identify gaps in prevention services and missed opportunities for prevention interventions.

### **Seroprevalence**

- Assess the prevalence of and trends in HIV infection.
- Assess behaviors associated with HIV infection.

## 1.7 General Approach for NHBS Implementation

NHBS cycles are repeated cross-sectional surveys of persons at increased risk of HIV who are recruited by their peers. The survey method used to recruit participants is Respondent Driven Sampling (RDS), a chain-referral sampling strategy similar to snowball sampling.<sup>14</sup> RDS has been found effective for recruiting populations that are “hidden” and that are connected by strong social networks and ties. We refer to hidden populations as those for which no sampling frame exists or whose members engage in stigmatized or illegal activities, making them reticent to divulge information that may compromise their privacy. IDUs and heterosexuals at risk of HIV infection are examples of a hidden population. RDS methods have also been widely employed by public health officials and researchers to sample IDUs for purposes of developing and evaluating HIV/AIDS interventions and for conducting behavioral surveillance.<sup>15</sup> RDS has been successfully implemented to recruit IDUs and heterosexuals at increased risk of HIV during NHBS rounds 1 and 2, and will be used in future cycles.

RDS implementation begins with a limited number of initial recruits, or “seeds.” Seeds can be identified by persons who work with the target populations or through outreach. People who work with these target populations may be able to appropriately identify dynamic individuals and refer them to the NHBS project staff. If outreach is used to identify seeds, the NHBS project staff should have an informal conversation to determine if the person meets the characteristics of a good seed.

Seeds complete the surveillance activities, which include eligibility screener, survey, and an optional HIV test, and then are asked to recruit a specified number (up to 5) of people they know. These persons, in turn, complete the surveillance activities and are asked to recruit others. This recruitment process continues until the sample size has been reached. By starting with a small number of seeds, limiting the number of individuals each participant can recruit, and allowing a significant number of recruitment waves to occur, study investigators assemble a final sample that resembles the underlying eligible population living in the project area and is unbiased by the characteristics of the seeds.<sup>14, 16</sup>

Participants receive incentives for participating in the surveillance activities as well as for recruiting others. The reimbursement amounts are determined locally by the NHBS project sites, and are based on previous experience with NHBS cycles or other similar studies. The reimbursement includes compensation for the survey and for providing specimens for HIV testing. The average amount of these reimbursements, based on compensation paid by similar studies in these cities, is \$25 for the survey, \$25 for HIV testing, and \$10 for recruiting each eligible participant who completes an interview.

## 1.8 Sample Size

Because NHBS is largely descriptive, power calculations, which are done for studies that are primarily designed to test specific hypotheses, were not performed. However, the sample size of 450-500 eligible respondents per each project site and for each NHBS cycle was determined by considering the presumed HIV prevalence and desired standard error for key indicators of interest (see Chapter 7, section 1), as well as the efficiency of the sampling method used, termed the *design effect*. This approach has been presented by Salganik<sup>17</sup> to calculate sample sizes for respondent driven sampling (RDS), the sampling method used for NHBS-IDU and NHBS-HET cycles. The sample size calculation recommended for estimating the prevalence of a trait with a given precision is:

$$n = deff \cdot \frac{P_A(1 - P_A)}{(SE(P_A))^2}$$

where *deff* is the design effect and  $P_A$  is the prevalence of the trait. Unpublished analyses of NHBS-IDU data suggest that a design effect approaching 4 is appropriate. If we assume a maximally-conservative estimated prevalence for any indicator – 0.5 – and a design effect of 4, then a sample size of 450-500 is adequate to detect such indicators with adequate precision (no greater than 0.047).

### ***NHBS-IDU3 only***

The target sample size for each project site, exclusive of “seeds” (initial recruits), is 500 completed interviews with participants meeting NHBS-IDU eligibility criteria (see Chapter 4, section 4). Across the 20 participating project sites, this would result in a combined sample size of 10,000 eligible IDUs.

### ***NHBS-HET3 only***

The target sample size for each project site, exclusive of “seeds,” is 450 completed interviews with participants who meet NHBS-HET definition inclusion criteria (see Chapter 4, section 4). Across the 20 participating project sites, this would result in a combined sample size of 9,000 heterosexuals at increased risk of HIV.

## 1.9 Purpose and Use of the NHBS Surveillance Protocol

This protocol describes the methods that must be followed to conduct the NHBS project in a standardized manner. It also provides historical information about project development and design. A standardized protocol is essential for a multi-site project like NHBS; it ensures comparability of data across sites, thereby allowing the data to be aggregated and presented as findings at the national level.

This protocol describes the activities that NHBS project sites will conduct for the NHBS-IDU3 and NHBS-HET3 cycles. The chapters include formative research activities (Chapter 2), data collection procedures and instruments (Chapter 3), sampling and recruitment methods (Chapter

4), HIV testing procedures (Chapter 5), data management (Chapter 6), plans for data analysis and dissemination (Chapter 7), data security and confidentiality guidelines (Chapter 8), and human subjects considerations (Chapter 9).

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## 2

## Formative Research Activities

### 2.1 Definition and Goals of Formative Research

Formative research is the process by which public health researchers and practitioners define a community of interest, investigate attributes of the community relevant to specific public health issues, and determine ways of accessing the community.<sup>1,2</sup> The purpose of NHBS formative research is to guide local implementation of NHBS activities to ensure successful data collection. Particularly, formative research can help ensure that the desired sample size is achieved and that the resulting NHBS sample is reflective of the target population.

NHBS formative research activities are completed over a period of approximately 3 months that precede the implementation of surveillance activities. All NHBS project sites are strongly encouraged to hire a local ethnographer to guide the collection, analysis, and interpretation of qualitative formative research data. Upon completion of their formative research activities, project sites are required to submit a series of short reports to their CDC project officer. These reports serve as the basis from which project sites, in consultation with CDC, tailor the implementation of the project to ensure its local acceptability and success.

The sampling strategy for this NHBS cycle is respondent driven sampling (RDS). RDS requires additional formative research activities to ensure that the resulting sample will meet the goals of the surveillance project.

#### ***2.1a Goals of formative research***

NHBS formative research goals are to:

- Garner the support of the community and its stakeholders for NHBS;
- Define the characteristics of the target population;
- Investigate the socio-cultural context of HIV-related behavior among the target population;
- Identify potential “seeds”, or initial recruits, for RDS;
- Obtain information on the major networks of the target population in the Division or MSA and identify networks with potentially high homophily;
- Identify strategies for reaching the target population for data collection (e.g., areas where the target population can be reached, community and neighborhood organizations that serve the population, and individuals that are knowledgeable about and have access to the population);

- Obtain information relevant to field logistics (e.g., appropriate locations and hours of operation for field site(s), whether appointment systems are feasible, and ideal attributes of field staff);
- Develop questions of local interest for HIV prevention; and
- Monitor the on-going implementation of NHBS.

A key feature of NHBS formative research is that it is an iterative process: knowledge about the target population builds as information is collected during each of the formative research activities mentioned above. This on-going processing of formative research data helps project staff identify gaps in knowledge and determine if there is a need to collect additional information.

A number of methods should be employed in order for sites to meet the formative research goals. These methods include secondary data review, key informant interviews, community key informant interviews, focus group interviews, street intercept surveys and direct observations.

## **2.2 Review of Secondary Data**

The purpose of the secondary data review is two-fold: (1) establish a foundation of information regarding the target population within the designated MSA or Division; and (2) identify gaps in knowledge regarding the target population that could impact successful implementation.

Secondary data sources may include published or unpublished surveillance data on HIV/AIDS, hepatitis, and other sexually transmitted diseases; HIV epidemiological profiles; HIV prevention plans; HIV counseling and testing data; and local studies of the target population.

Secondary data are reviewed to:

- Describe the demographic characteristics of the local target population's HIV/AIDS epidemics (e.g., age, race/ethnic group, geographic location, risk behaviors);
- Compile a list of community stakeholders and subject matter experts to help garner support for NHBS and/or invite for interviewing.

## **2.3 Primary Data Collection**

Formative research is an iterative process, thus information obtained through primary data collection should be used to validate findings from the secondary data review and to explore new and emerging issues.

NHBS formative research activities include the collection of data using an array of methods common to qualitative and ethnographic studies of health: key informant interviews, focus groups, street intercept surveys, and direct observations.<sup>3-10</sup> Each NHBS project site should

follow local requirements regarding informed consent for focus groups and key informant interviews. Three model consent forms are provided (Appendices A-C) and should only be modified in order to meet local IRB requirements. To protect the anonymity of those interviewed, consent to participate should only be provided verbally by participants and no data collection activities should be video- or audio-taped.

### ***2.3a Interviews with Key Informants***

Key informants are cultural and subject matter experts that provide insight about (1) the target population's HIV-related behavior, (2) study barriers that may be encountered in the field, and (3) recruiting potential NHBS participants. Key informants can include: community leaders, researchers and persons doing outreach who are familiar with the target population, health department staff, and individuals who are members of the target population.<sup>6</sup>

The interview guide for key informant interviews should be semi-structured allowing for detailed and in-depth discussions. Topics discussed should include the context of the community and target population (e.g., the locations where people in the community meet and socialize and characteristics of the target population) as well as implementation and logistics-based strategies (e.g., the best days, times, and locations for data collection and barriers to recruitment and participation).

Appendix A contains a model consent form for key informant interviews where compensation for participation is not appropriate. These include interviews with individuals such as health department officials, police, business and community leaders, and others whose official duties include the dissemination of information about local neighborhoods. Appendix B contains a model consent form for residents of the local communities who should not be expected to contribute information on neighborhood characteristics without being compensated for their time and effort.

### ***2.3b Focus Groups***

Focus groups are conducted with several individuals at one time under the direction of a moderator.<sup>5</sup> Focus group participants should be recruited from within the MSA and may include community stakeholders and leaders, staff from organizations that serve at-risk populations, and community residents.

Similar to key informant interviews, focus groups interviews should be semi-structured. Discussions may include such topics as: social, sexual, and drug-using networks in the MSA; strategies for garnering community support for NHBS, marketing NHBS locally, and recruiting the target population for participation; and the identification of key community members.

Appendix C contains a model consent form for focus groups.

### **2.3c Street Intercept Surveys**

Street intercept surveys conducted in key MSA locations are useful for soliciting spontaneous input of community members regarding community support and feasibility of NHBS. They also offer NHBS staff the opportunity to disseminate relevant information about the study. Street intercept surveys should be no longer than five minutes.

### **2.3d Direct Observations**

Observations allow the researcher to build on information gathered from key informant interviews and focus group by relying solely on what is seen by the researcher.<sup>6, 10</sup> Observing what is happening "on-the-ground," particularly in such settings as neighborhoods, service organizations, parks, and high drug activity areas, can provide project staff with insight into the behavior of the target population, issues relevant to the field sites, or a particular topic of interest.

## **2.4 Field Site Logistics**

Implementation of NHBS will occur at fixed field sites (storefront, office or van locations) identified through formative research. Field site locations should be easily accessible for the target population, safe, and designed in a manner that ensures that participant confidentiality will be maintained. It is important to ensure that potential participants have no real or perceived barriers to the location. For example, locating a field site where local business owners or residents resist the presence of the target population would present a barrier to potential participants.

## **2.5 Garnering Community Support**

The support of the community and its stakeholders is key to ensuring the acceptability of NHBS's formative and surveillance activities. Project sites should seek out community members, stakeholders, and organizations representative of or related to the target population. Such individuals and organizations may include:

- Community-based service and social organizations that serve the target population
- Local government and social service providers
- Religious communities
- Not-for-profit and non-governmental organizations
- Local media outlets

Identifying community stakeholders can be achieved by:

1. Requesting names from key informants, focus groups, state and local health department staff, and respondents of street intercept surveys
2. Identifying community leaders and members at public meetings
3. Contacting local cultural and subject matter experts including local researchers and academics

Once identified, project staff should inform community stakeholders about NHBS, solicit their input about potential barriers to NHBS, including logistics and community acceptance, and engage them in the process of developing local prevention questions.

## **2.6 NHBS-HET3 only - Identification of High Risk Areas (HRAs)**

For NHBS-HET cycles, formative research should include activities that identify and characterize High Risk Areas (HRAs). HRAs are geographic areas within the MSA where heterosexuals are at higher risk for HIV infection compared to other geographic areas within the MSA. HRAs are defined as areas with high rates of poverty. According to the U.S. Census Bureau, “poverty areas” are census tracts where 20% or more of the residents live below the poverty threshold.<sup>11</sup> HRAs will be used to identify appropriate locations for storefronts or van locations during survey implementation and to identify seeds. Identifying the HRAs will require project sites to obtain data sets, identify areas of high poverty, and map the HRAs using a Geographic Information System, or GIS. Officials in the state health department should be involved in the process of identifying HRAs because it entails handling confidential data. Data from the entire MSA (only within the jurisdiction of the NHBS state health department) should be used rather than just using data from the city. HRA identification will be described in greater detail in the NHBS Formative Research Guidelines.

## **2.7 Ongoing Formative Research**

Ongoing formative research involves gathering additional information to address concerns identified either from reviewing the process monitoring reports or via feedback from the field staff. NHBS project sites will conduct ongoing formative research throughout the cycle to ensure successful implementation. Information collected during ongoing formative research activities will help project staff better understand participation barriers and potential recruitment schemes so that local procedures can be developed and implemented to improve project activities.

Project sites will use a combination of methods to monitor enrollment rates, effectiveness of seeds, potential concerns about respondents’ eligibility, demographic characteristics of the sample, and other relevant indicators of data quality. Ongoing formative research will also monitor whether participants are distributing their coupons to people that they do not know (i.e.,

people who are “strangers”); an important assumption of the RDS method is that participants recruit people that they know, as opposed to strangers who are not a part of their social network.

Based upon findings from ongoing formative research, project sites may need to make modifications to their field operations, as approved by their CDC Project Officer.

## 2.8 References

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### 3.1 Data Collection Instruments

#### ***3.1a Eligibility screener***

NHBS participants are screened for eligibility before participation in the NHBS survey. Eligibility screening makes efficient use of staff and respondent time by quickly identifying those who are eligible and ineligible. NHBS uses a standardized, interviewer-administered instrument to determine eligibility. The eligibility screener is programmed into a portable computer. Eligibility criteria are described in Chapter 4.

The RDS sampling strategy affects the eligibility process, since all participants (with the exception of seeds) are recruited by their peers and therefore know some, but not all, of the eligibility criteria. Screening for eligibility is important for ensuring that all persons who present a valid coupon to NHBS field staff meet the same eligibility criteria for participation, allowing for comparison across all NHBS project sites.

#### ***3.1b Network Questions***

Information about the size and characteristics of participants' networks, and descriptions of the relationships between the participant and the person who gave them the coupon, will be used to account for sources of bias inherent to the RDS method and to calculate population estimates and sample variances. A "network" for RDS is defined as those persons whom the participant knows, has seen recently, and who meet the eligibility criteria for the given study. A participant's personal network size is based on how many people he or she knows who fit the eligibility criteria for the current NHBS cycle. Cycle-specific questions to obtain necessary network data are included as part of the NHBS questionnaire, following the eligibility screener (see Appendix E).

#### ***Development of the Network Questions***

The network questions used during previous NHBS cycles were developed based on consultation with Douglas Heckathorn (the developer of the RDS method) and were used in the IDU and HET pilot studies prior to the current cycle. The network questions for the current NHBS cycle have been modified based on experiences during previous cycles; consultation with NHBS principal investigators and cognitive testing of the network questions used in NHBS-IDU2 and NHBS-HET2 conducted by the National Center for Health Statistics.

#### ***3.1c Questionnaire***

##### ***Questionnaire components***

The NHBS Round 3 questionnaire consists of three components. First, the core questions comprise a standardized main component. Second, participating NHBS project sites may

develop and add questions that address topics of local interest. Third, cycle-specific questions are standardized, but they are asked only during the relevant cycle

***Core Questions.*** The core questions will be used by all project sites participating in NHBS and will provide data that will be used for comparisons of risk behaviors and HIV testing behaviors of the population of interest between the MSAs. The core questionnaire covers the following areas:

- Demographics
- Sexual behaviors
- Alcohol and drug use history
- HIV testing and prevention experiences
- Health conditions
- Assessment of prevention activities (i.e., exposure to HIV behavioral interventions)

***Local Use Questions.*** Project sites may include additional questions on topics of local interest. The local use questions shall not exceed 10 minutes maximum for administration.

***Cycle-specific Questions.*** The NHBS Round 3 questionnaire is a single document, with sections used only during each appropriate cycle: MSM, IDU, or HET. These cycle-specific questions are noted in Appendix E. The computerized version of the questionnaire will be set for each cycle so that interviewers can only administer the appropriate cycle-specific version. The NHBS Round 3 questionnaire has been approved by OMB (control number 0920-0770).

### ***Development of the questionnaire***

Development of the NHBS questionnaire is a collaborative process between participating NHBS project sites and CDC. Prior to development of the NHBS Round 3 questionnaire, NHBS project site staff and the Behavioral Surveillance Team evaluated the Round 2 questionnaire and data. In addition, CDC reviewed reports of cognitive testing previously conducted for NHBS items. Questions were evaluated and revised as necessary, and several new questions were identified for inclusion in order to incorporate the need for data on emerging issues. Select items were also reviewed by subject matter experts. All decisions regarding changes to the questionnaire were made to optimize data quality, provide consistent measurement over time for key NHBS indicators, and reduce respondent burden.

## **3.2 Translation of Data Collection Instruments**

All NHBS data collection instruments that involve questions asked directly of participants will be available in English and Spanish. Formatting and appearance of these instruments are the same in both languages. CDC is responsible for translating the eligibility screener, core questionnaire, and other standardized or model materials (e.g., model consent script) into Spanish. Translation of the data collection instruments by a single source ensures consistency across all states and populations. Translation into Spanish of the data collection instrument (except local questions) by other sources is prohibited. Local areas are responsible for

translating local questions into Spanish. No other languages will be used for NHBS and the use of translators is prohibited.

### **3.3 General Data Collection Procedures**

Data for NHBS will be collected in a number of steps; these are described below. The data collection instrument application is developed for use as a computer-assisted personal interview on a portable computer and will be administered in a standardized manner by trained interviewers.

#### ***Step 1: Participants present a valid study coupon to NHBS project staff***

At a storefront or mobile van location, potential “seeds” (the initial participants recruited by NHBS staff) and subsequently, the peers they recruit will present valid coupons to NHBS project staff. The number on the coupon will be entered into a specialized coupon manager program developed for NHBS (coupon manager) and its validity will be determined. Coupon manager provides a way to keep track of coupon numbers and respondent compensation for those who agree to recruit others into the study. In order to keep coupons from being duplicated, NHBS project sites will include non-replicable designs, such as a hologram, on coupons so that project staff can validate them.

#### ***Step 2: Eligibility assessment***

Respondents who are deemed to have a valid study coupon will be assessed using the eligibility screener (Appendix E). The eligibility screener is administered using a portable computer. Eligibility is determined by an algorithm based on both general and cycle-specific questionnaire items, programmed into the portable computer. The interview will automatically end after the eligibility screener is completed if the respondent is not eligible.

#### ***Step 3: Obtaining consent***

Interviewers will provide informed consent (Appendix F) to the respondents and address any questions. Based on local IRB guidelines and approval, some sites may use a summary form of the consent (Appendix G) and provide the respondent with a copy of the full consent form. Consent to participate will be obtained orally. Interviewers will check a box on the handheld computer indicating whether consent was obtained. The interview program will automatically end if the respondent does not agree to participate in the survey. Respondents may consent to the survey and any of the following: HIV testing, blood storage, and if applicable, other tests (e.g., hepatitis, STD). All NHBS project sites planning to store blood locally as well as those planning to ship any specimens to another lab for any reason (e.g., incidence, viral load, or other supplementary HIV tests not returned to participants) must obtain consent for storage from participants in order to store or ship specimens provided by those participants. Participants must consent to the survey to be eligible for the other components; however, if participants do not consent to the survey but still wish to receive an HIV test or other tests, project staff in each

NHBS site will provide referrals and information in order for the person to access these resources. Similarly, participants must consent to an HIV test in order to be eligible for additional tests, including supplementary HIV testing.

#### ***Step 4: Core questionnaire and local questions***

Eligible participants who provide consent will be administered the NHBS core questionnaire (Appendix E). The local questions will be launched automatically at the end of the core survey; these questions are also administered to respondents by the interviewer.

#### ***Step 5: HIV testing***

HIV testing procedures and the information recorded in the HIV testing log by staff do not require that additional questions be asked of the participants. See Chapter 5 for more details on HIV testing procedures.

#### ***Step 6: Participation incentives***

Participants will receive a small stipend for participation in NHBS activities. The reimbursement amounts are determined locally by the NHBS project sites, and are based on investigators' previous experience with NHBS cycles or other similar studies. The reimbursement includes compensation for the participant's time spent completing the survey (approximately \$25) and, if applicable, the HIV test (approximately \$25). If local regulations prohibit cash disbursement, equivalent reimbursement may be offered (e.g., gift certificates, tokens for public transportation). Participant compensation for incomplete surveys may be offered in accordance with local policies.

Local areas may have requirements about documenting payment of incentives. This should be done in accordance with requirements for maintaining anonymity (see Chapter 9).

#### ***Step 7: Training participants to recruit others***

After the interview is completed, the interviewer will ask participants meeting the recruitment criteria (see Chapter 4) if they would be willing to recruit other participants for a small incentive. After a brief training on the recruitment process, those who agree to recruit will be given up to 5 coded, non-replicable coupons (Appendix D). The participant will be told to give one coupon each to up to five different people they know who live in the project area (Appendix N).

Each coupon will have the local NHBS project name, location(s) of field sites or vans, phone number(s) where staff can be reached to make appointments, and a Survey ID number printed on it. The Survey ID on the coupon will be linked to the Survey ID of the participant the coupon is issued to (i.e., the recruiter), which will be documented in the coupon manager.

Participants who agree to recruit ("recruiters") will be asked to provide specific information that is used to create a Unique ID (different from their Survey ID) and to provide information about

any visible tattoos or physical marks so that their identification can be verified when they return to receive the incentives for recruiting other people (Appendix N). This information will be stored in the coupon manager.

Participants who recruit will receive their reimbursement by returning to the storefront where they were interviewed and checking in with the project supervisor. Project staff will use the Unique ID and any visible, physical marks to verify the identity of each recruiter returning to claim reimbursement for distributing coupons. After verification, recruiters will be given approximately \$10 per eligible participant who completed an interview. If a coupon recipient does not complete an interview, their recruiter will not be compensated for that coupon. However, project staff have the option of distributing an incentive to these recruiters to compensate them for returning to the storefront (e.g., bus tokens, HIV prevention materials, etc.).

### **3.4 Monitoring Data Collection**

All interview data are vulnerable to bias from variability in the way respondents are sampled and in the way interviews are conducted. This bias may arise from variability between interviewers or from variability between interviews conducted by a single interviewer. To prevent these biases, and to ensure that proper procedures are followed, monitoring procedures will be implemented to assess the consistency and quality of NHBS data collection activities.

The NHBS field supervisor or another project manager will periodically monitor each staff member as they conduct the eligibility screener, obtain informed consent, administer the NHBS questionnaire and train participants to recruit their peers. Feedback on their performance – areas of proficiency as well as areas for improvement – should be given shortly after observations are conducted. Supervisors are to monitor 10% of interviews administered by each interviewer.

### **3.5 Training for Study Personnel**

All NHBS personnel will be appropriately trained to conduct NHBS project activities. CDC will hold Field Operations training for Project Coordinators and Field Supervisors covering topics including: proper survey administration; required elements of informed consent; techniques for monitoring interviewers and staff; and instructions for creating a local training for interviewers and other project staff. Representatives from the Data Coordinating Center, or DCC (Chapter 6), will train Data Managers on best practices for organizing, editing and transmitting data on the DCC web portal. CDC will develop a detailed manual describing study operations and procedures and will test knowledge of NHBS study staff periodically. The local NHBS Principal Investigator has responsibility for ensuring all HIV counselors are trained according to local guidelines and standards with regard to HIV risk-reduction counseling and testing procedures.

## 4

# Sampling and Recruitment Methods

## 4.1 Overview

There are four main activities that make up Respondent-Driven Sampling (RDS): 1) formative research to identify networks and inform operating procedures for study implementation (Chapter 2); 2) recruiting, screening and interviewing “seeds”, or initial recruits; 3) screening and interviewing persons who present a valid coupon to NHBS project staff; and 4) training eligible NHBS participants to recruit others. This chapter focuses on the last three activities.

## 4.2 Initial Recruits -“Seeds”

RDS is a chain-referral strategy similar to snowball sampling. It is based on the theory that if peer recruitment proceeds through a sufficiently large number of waves, the composition of the sample will stabilize, becoming independent of the “seeds” – or initial recruits – from which recruitment began, and thereby overcoming any bias the nonrandom choice of seeds may have introduced.<sup>1,2</sup>

In RDS, a limited number of seeds are the starting point for the chain-referral process.

### 4.2a Identifying Seeds

Seeds may be identified through a variety of methods described in the formative research chapter (Chapter 2). The ideal seeds are dynamic individuals who are knowledgeable about and well connected to the target population and are motivated NHBS participants. Because seeds are the initial recruiters for the project and have a vested interest in the target population, they are more likely to encourage others to participate and to provide support for the project in the community. Selecting appropriate seeds accelerates recruitment, promotes longer recruitment chains, and helps reduce bias in the sample.

The following criteria should be considered when assessing whether an individual might be a good candidate for a seed:

- **Seeds should be diverse with respect to factors such as race/ethnicity, age, gender, or other factors that would create more insular networks.** The goal of RDS is to recruit a sufficiently large number of waves, so that the overall composition of the sample will stabilize and become independent of the seeds from which recruitment began; this stable sample composition is termed “equilibrium.” A factor that has an impact on how quickly equilibrium can be reached is called “homophily.” This refers to the degree of insularity, or in-group preference for recruitment. The more insular a group, the more likely they are to recruit others like themselves and the more waves it takes to reach equilibrium.

Having a diverse set of seeds will help ensure diversity of networks with regards to their degree of insularity included in the initial waves.

- **Seed selection should take into account network characteristics.** Network ties determine prevalence and extent of risk behaviors. Seeds should therefore be representative of the major target population networks in an MSA that are affected by the local epidemic. Information gathered during formative research activities will provide information on various networks and may also help in accessing appropriate networks for the target population.
- **As a group, seeds should reflect geographic diversity.** As a group, seeds should come from a variety of areas within the MSA, particularly where the target population is spread across different regions of the MSA.
- **Seeds cannot be transgender.** Transgender individuals are not the target population. In order to reduce the total number of transgender participants in the sample, individuals who are transgender may not be used as seeds for NHBS.
- **Seed selection need not take place only at the beginning of NHBS.** The RDS method does not require that all seeds be selected at the same time. If an important network from which no seeds were drawn is discovered during the course of NHBS, adding seeds from this group can be useful.

In addition, Seeds must meet all eligibility criteria for the current NHBS cycle.

***NHBS-HET3 only: Additional eligibility criteria for seeds***

- **Seeds must be residents of High Risk Areas (HRAs).** Since many social ties are formed among individuals who live on the same street or in the same neighborhood, it is important that seeds be residents of HRAs so that recruitment begins in areas most likely to have a high proportion of low SES residents (see Chapter 2 for more information on HRAs). HRA residency will be assessed during the survey. Seeds who do not live in an HRA may participate in NHBS-HET but will not be eligible to recruit others. (Note that this HRA criterion applies only to seeds, but does not apply to individuals recruited by seeds.)
- **Seeds cannot report injection drug use (ever).** In order to reduce the total number of injection drug users in the NHBS-HET sample, seeds will be assessed for their injection drug use during the survey. Seeds who report ever using injection drugs may participate in NHBS-HET but will not be eligible to recruit others for NHBS-HET. (Note that this criterion applies only to seeds; individuals who are recruited by seeds may report injecting drugs but will not be eligible to recruit others if they have injected drugs in the past 12 months.)
- **Seeds must not report high socio-economic status (SES).** In order to increase

the likelihood that networks will be representative of the target HET population (lower SES), the household income and educational attainment of seeds will be assessed during the survey. In order to be eligible to recruit other study participants, participants (including seeds) must have a household income below the HHS poverty guidelines OR have completed no more than high school education. Individuals whose household income exceeds the HHS poverty guidelines AND who have greater than a high school education (both conditions must be met) may participate in NHBS-HET but will not be eligible to recruit others for NHBS-HET.

#### **4.2b Recruitment of Seeds**

Using the criteria in 4.2a, NHBS project staff will recruit an initial group of approximately 5-10 seeds. The number of initial seeds will depend on the capacity of the project staff as well as the locations and types of target networks across the MSA.

When a potential seed is identified or contacted, NHBS project staff will briefly describe the current NHBS project and ask the potential seed if they would be willing to go to the field site location to discuss the project further. If the potential seed cannot do so at that time, they will be given a referral card to come to the field site location at a time of their choosing (a recruitment coupon may also serve as a referral card for seeds, see Appendix D). In some cases, seeds may be interviewed at the location where they have been contacted or identified by project staff, for instance, in a neighborhood venue or in a mobile van. When interviewing potential seeds, staff will ensure that they do not compromise the confidentiality of the participant; even when conducted on the street, interviews will be done in such a way as to ensure no one else besides project staff and the participant can hear or observe the proceedings. If confidentiality of interviews cannot be ensured in a street location, project staff will set up an appointment with the potential seed to be interviewed at the field site or office.

#### **4.2c Eligibility Screening of Seeds**

At the field site location, potential seeds will be assessed for eligibility using the eligibility screener (Appendix E). If eligible, seeds will provide consent and be interviewed using the NHBS questionnaire. If they are not eligible, the participant will be thanked for their time and interest in the project.

#### **4.2d Consent and Interviewing Seeds**

After eligibility is determined, the interviewer will obtain informed consent from the seed by reading the consent form and obtaining their verbal agreement to participate (Appendix F). Interviewers will address any questions that the seed may have, prior to starting the survey interview.

No data is collected from seeds who do not consent; however, they will be asked the

reason why they are not interested in participating so that project staff can assess what barriers to the study might exist.

Interviews will be conducted using the NHBS questionnaire (Appendix E) which is administered using a portable computer and personal interview program. The interview will take about 30 to 40 minutes. Interviews are conducted in a private area within the field site location, or in a secure, confidential area of a field site location.

#### ***4.2e HIV testing***

Seeds will be offered an anonymous HIV test. The testing component of NHBS is voluntary and consent for HIV testing is obtained prior to survey participation. HIV counseling and testing must be conducted in accordance with the NHBS protocol (Chapter 5) and in accordance with local standards established by state and local health departments.

#### ***4.2f Training Seeds to Recruit Others***

After the interview and HIV test is completed, the interviewer will ask eligible seeds that complete a valid survey if they would be willing to recruit other participants for a small incentive. After a brief training on the recruitment process, those who agree to recruit will be given up to 5 coded, non-replicable coupons (Appendix D). The participant will be told to give one coupon to each of up to 5 individuals they know and have seen in the past 30 days who live in the project area and meet certain cycle specific criteria.

Each coupon will have the current NHBS cycle name, location(s) of field site locations, phone number(s) where staff can be reached to make appointments, and a Survey ID number printed on it. The Survey ID on the coupon will be linked to the Survey ID of the participant the coupon is issued to (i.e., the recruiter), which will be documented in the coupon manager.

### **4.3 Coupon Redemption and Subsequent Recruitment**

All persons who bring a valid coupon will be assessed for eligibility. Those found to be eligible and who give consent to participate will be interviewed. These steps are the same as described in Section 4.2 above; however, non-seed participants must be interviewed at a field site location. Eligibility criteria for NHBS participation and recruitment are described in Section 4.4 below.

After completion of the interview process, non-seed participants who complete a valid survey and meet the recruiter criteria will be asked if they would be willing to help to recruit other participants for a small incentive.

Those who agree to recruit others will be given a brief training on the recruitment process

(Appendix N), and then will be given up to 5 coded, non-replicable coupons. The participant will be told to give one coupon to each of up to 5 individuals they know and have seen in the past 30 days who live in the project area and meet certain cycle specific criteria. The process of recruitment and interviewing will continue until the minimum target sample size is achieved (See Chapter 1).

#### **4.3a Obtaining Incentives for Recruiting**

Participants who agree to recruit other participants (“recruiters”) will be asked to provide specific information that is used to create a Unique ID (different from their Survey ID). They will also be asked to provide information about any of their visible physical marks (e.g., tattoos, scars, piercings); this information and the Unique ID will be used to verify the recruiter’s identity and the validity of claims for reimbursement for recruiting other eligible participants (Appendix N). This information will be stored in the coupon manager.

When a recruiter returns to claim reimbursement for distributing coupons, their identity will be verified using the Unique ID and the visible physical marks. After verification, they will be given approximately \$10 per eligible participant who completed an interview.

#### **4.3b Pacing and Ending Recruitment**

The pace of recruitment must be monitored to ensure that peer-referral chains are dense and have multiple “waves”; yet, the pace must not be so rapid as to overcrowd the field site location and place an undue burden on NHBS staff. Close monitoring of the sample will enable NHBS project sites to adjust the pace of recruitment.

An activation date on the coupon may help control the pace of enrollment, so that peer-recruits do not overwhelm the project staff. Similarly, an expiration date on the coupons may be useful as a way to encourage participants to schedule an interview within a short time after the date of the recruiter’s interview (approximately 4 weeks).

The field location should have operating days and hours that are well communicated to the target population (via coupons, signs, etc.). Project staff should determine the maximum number of interviews they can conduct each day in order to properly schedule interviews. Project staff should encourage participants to make an appointment to be interviewed, but may need to consider allowing walk-in appointments depending on which strategies allow for best recruitment of the target population.

#### ***NHBS-IDU3 only***

A minimum of 500 eligible IDU participants will be interviewed within the locally defined geographic area, exclusive of seeds. Data collection for NHBS-IDU3 is scheduled to begin on June 1, 2012, and end on November 30, 2012.

### ***NHBS-HET3 only***

A minimum of 450 heterosexuals meeting the HET definition eligibility criteria (see Section 4.4) will be interviewed within the locally defined geographic area, exclusive of seeds. Data collection for NHBS-HET3 is scheduled to begin on June 1, 2013 and end on November 30, 2013.

## **4.4 Eligibility Criteria**

### ***4.4a NHBS-IDU3 only***

#### ***Participant inclusion criteria***

A screener will be used to assess whether each respondent meets inclusion criteria. Respondents are eligible to complete the NHBS-IDU interview if they:

- Present a valid NHBS-IDU coupon
- Have not previously participated in the current NHBS-IDU cycle
- Live in the participating MSA or Division
- Are 18 years of age or older\*
- Have injected drugs without a prescription in the past 12 months and
- Able to complete the interview in English or Spanish

\*NHBS is a surveillance system of the HIV risk behaviors of adults in the United States, and the methods are designed to recruit an adult population. Surveillance systems, such as the Youth Risk Behavior Surveillance System (YRBSS) are more appropriate to understand the risk behaviors of minors in the United States.<sup>3</sup>

Participants meeting these criteria count toward the required NHBS-IDU sample size and are eligible to complete the interview and recruit others.

<b>NHBS-IDU ELIGIBILITY CRITERIA</b>		
<b>Criteria</b>	<b>Participant inclusion</b> (eligible to complete interview and recruit; n=500)	<b>To be a seed</b>
Presented a valid NHBS-IDU coupon	<b>X</b>	Seeds are recruited by NHBS staff
Has not previously participated in the current cycle of NHBS (i.e., NHBS-IDU3)	<b>X</b>	<b>X</b>
Lives in the participating MSA or Division	<b>X</b>	<b>X</b>
Is between 18 years of age or older	<b>X</b>	<b>X</b>
Has injected drugs in the past 12 months	<b>X</b>	<b>X</b>
Is able to complete the interview in English or Spanish	<b>X</b>	<b>X</b>
Is male or female ( <u>not</u> transgender)		<b>X</b>

#### **4.4b NHBS-HET3 only**

##### ***Participant inclusion criteria***

A screener will be used to assess whether each respondent meets inclusion criteria. Respondents are eligible to complete the NHBS-HET interview if they:

- Present a valid NHBS-HET coupon
  - Have not previously participated in the current NHBS-HET cycle
  - Live in the participating MSA or Division
  - Are between 18 and 60 years of age\* (inclusive)
  - Have had vaginal or anal sex with an opposite sex partner in the past 12 months
  - Are male or female (not transgender)
- and
- Able to complete the interview in English or Spanish

\*NHBS is a surveillance system of the HIV risk behaviors of adults in the United States, and the methods are designed to recruit an adult population. Surveillance systems, such as the Youth Risk Behavior Surveillance System (YRBSS) are more appropriate to understand the risk behaviors of minors in the United States.<sup>3</sup> The upper age limit for the NHBS-HET cycles is based on unpublished analyses of NHBS-HET1 data and information from CDC's Incidence Surveillance System. The upper age limit is necessary to ensure that the NHBS sample includes age groups most at risk for HIV infection.<sup>4</sup> In NHBS-HET1, although HIV prevalence was significantly higher among older

participants, rates of new HIV diagnoses were higher in participants 25 years old and younger. Similarly, CDC's HIV Incidence Surveillance System found that the largest number of new infections among females occurred between the ages of 30--39 years with incidence dropping precipitously for older age cohorts.<sup>4</sup> A review of numerous CDC sources of unpublished HIV incidence data suggest that an age cap of 60 is appropriate for NHBS.

### ***HET definition inclusion criteria***

To focus on heterosexuals at increased risk of HIV, NHBS-HET utilizes a further set of criteria designed to identify respondents as heterosexuals at increased risk for HIV. These criteria are known as the "HET definition." Participants are said to meet the HET definition if they:

- Meet all NHBS-HET participant inclusion criteria (above);
- Have not injected drugs without a prescription in the past 12 months;
- and
- Have low socioeconomic status (SES). Low SES is defined as having income that does not exceed Health and Human Services (HHS) poverty guidelines *or* educational attainment not greater than high school

Only participants who meet the HET definition count toward the required sample size.

To ensure a sufficient sample size for analysis, recruitment methods are designed to take participant inclusion criteria and the HET definition into account. CDC reviewed the literature, held a series of expert consultations, and evaluated a pilot HET population definition during the NHBS-HET1 cycle. The pilot identified that social-structural variables – particularly measures of individual SES – were the most effective means of identifying a representative sample of heterosexuals at increased risk of HIV infection.<sup>5</sup> These criteria were successfully applied during NHBS-HET2 and will be used in future NHBS-HET cycles. All respondents who meet the NHBS-HET participant inclusion criteria are eligible to participate, but participants can only recruit others if they meet the HET definition (i.e., have not injected drugs in the 12 months prior to the survey and have low socio-economic status). These factors will be assessed during the NHBS interview, and the portable computer will be programmed to inform the NHBS interviewer whether or not to invite participants to be recruiters.

<b>NHBS-HET ELIGIBILITY CRITERIA</b>			
<b>Criteria</b>	<b>Participant inclusion</b> (eligible to complete interview only)	<b>HET Definition</b> (Eligible to recruit; included in analysis; N= 450)	<b>To be a seed</b>
Presented a valid NHBS-HET coupon	X	X	Seeds are recruited by NHBS staff
Has not previously participated in the current cycle of NHBS (i.e., NHBS-HET3)	X	X	X
Lives in the participating MSA or Division	X	X	X
Is between 18 and 60 years of age	X	X	X
Had vaginal or anal sex with a person of the opposite-sex in the past 12 months	X	X	X
Is male or female ( <u>not</u> transgender)	X	X	X
Is able to complete the interview in English or Spanish	X	X	X
Has <u>not</u> injected drugs in the past 12 months		X	X
Income does <u>not</u> exceed HHS poverty guidelines <i>or</i> educational attainment is not greater than high school		X	X
Has <u>never</u> injected drugs			X
Resident of High Risk Areas (HRAs)			X

## 4.5 References

1. Heckathorn, D. Respondent-driven sampling: a new approach to the study of hidden population. *Social Problems*, 1997. 44(2): 174-199.
2. Heckathorn, D. Respondent-driven sampling II: Deriving valid population estimates from chain-referral samples of hidden populations. *Social Problems*, 2002. 49(1): 11-34.

3. Eaton, D.K., Kann, L., Kinchen, S., Shanklin, S., Ross, J., Hawkins, J., Harris, W.A., Lowry, R., McManus, T., Chyen, D., Lim, C., Brener, N.D., and Wechsler, H. Youth risk behavior surveillance--United States, 2007. *MMWR Surveill Summ*, 2008. 57(4): 1-131.
4. CDC. HIV/AIDS Surveillance Report, 2007. 2009. 19. Available at: <http://www.cdc.gov/hiv/surveillance/resources/reports/2007report/> (accessed September 23, 2011).
5. CDC. Characteristics associated with HIV infection among heterosexuals in urban areas with high AIDS prevalence - 24 cities, United States, 2006-2007. *MMWR Morb Mortal Wkly Rep*, 2011. 60(31): 1045-1052.

## 5.1 Overview

All persons who agree to participate in NHBS will be offered an anonymous HIV test. The testing component of NHBS is voluntary. The purpose of testing is to estimate HIV prevalence among populations participating in NHBS. HIV counseling and testing must be conducted in accordance with the NHBS protocol and in accordance with standards established by state and local health departments.

Persons who agree to participate in the testing component of NHBS will be provided with information about HIV testing. In accordance with local procedures and practices, project sites may offer rapid or laboratory-based HIV testing to participants. A specimen will be collected and tested for the presence of HIV antibody, antigen, or RNA from consenting participants. Specimens determined to be HIV-positive may be tested for evidence of recent HIV infection (incidence testing) if NHBS project sites choose to do so and funds are available to support it. NHBS project sites that utilize a rapid HIV test will need to obtain additional specimens from participants with a preliminary positive (or reactive) result for confirmatory testing and, if applicable, incidence testing.

HIV test results will be returned to participants by a trained counselor during a scheduled counseling visit or shortly after the time of testing if a rapid test is used. Because results of the incidence assays (see section 5.2f below) are useful in the aggregate for estimating incidence as part of surveillance activities but are subject to considerable misclassification of individuals, Food and Drug Administration (FDA) regulations do not allow results of these assays to be returned to individuals or clinicians.

## 5.2 Procedures/Methods

### 5.2a *Informed consent*

Based on site-specific testing options, consent for NHBS will include: 1) participating in the survey; 2) testing blood or oral specimens for the presence of HIV antibodies, antigens, and/or RNA; 3) other tests (e.g., hepatitis, syphilis) when funds are available; and 4) storing leftover specimens for additional tests, including incidence testing and any other testing beyond local procedures for HIV diagnostic testing when applicable. The informed consent process should follow local guidelines and standards with regard to HIV risk reduction counseling and testing procedures.

During the consent process, interviewers will explain to participants the purposes, procedures, benefits, and risks of giving a specimen and being tested for HIV. Participants may elect to

participate in the interview but refuse to provide consent for HIV testing. Participants who request an HIV test but do not consent to participating in NHBS will be given referrals and information for HIV testing. NHBS staff will also confirm a participant's decision to decline the HIV test at the end of the core survey to ensure they are given every opportunity to receive an HIV test. Appendix F contains a model consent form; if required, this form can be slightly modified to meet local requirements.

All tests done for NHBS will be anonymous. NHBS project sites unable to perform anonymous HIV testing will not be allowed to participate in NHBS.

### **5.2b Additional tests**

NHBS project sites can conduct other tests in addition to an HIV test, provided funds are available to support it. Tests that may be offered locally include sexually transmitted disease (STD) testing (e.g., syphilis) or hepatitis testing.

When funding is available, some NHBS sites may be awarded CDC funding to conduct testing for hepatitis B virus (HBV) and hepatitis C virus (HCV) using blood collected via venipuncture from persons identified and recruited through NHBS. The goals of this supplemental project are 1) to determine prevalence of HBV, HCV, and co-infections in a high risk population, and 2) to describe behavioral risk factors associated with HBV, HCV, and co-infections. Participants who consent to an HIV test will have the opportunity to supply a blood sample via venipuncture for HBV and HCV screening. Results of the HBV and HCV screening will be available to participants within one to three weeks of the original blood collection. Because participation is anonymous, it will be the responsibility of the participants to contact NHBS staff for hepatitis results. If necessary, NHBS staff will provide referrals to participants with positive hepatitis B surface antigen results or positive hepatitis C antibody test results. A model hepatitis testing log is provided in Appendix H.

### **5.2c HIV counseling**

After a participant consents to participating in NHBS, survey administration is completed; next, HIV counseling and referrals are provided. No counseling can occur before the survey has been administered. Counseling for rapid and standard HIV testing should follow standards established by state and local health departments. Appropriate risk-reduction counseling is provided to all participants who elect testing for HIV. Counselors will target prevention messages to specific risks identified during the behavioral surveillance interview. Barriers to risk reduction will be assessed, and methods to reduce or remove those barriers will be explored as appropriate for the participant. Counselors will provide referrals for any additional social support or medical services identified during the counseling session.

### **5.2d Specimen collection**

NHBS project sites may choose the testing method most suitable for their local situation. Depending on laboratory needs, oral fluid specimens or blood specimens from fingerstick or

venipuncture are collected for the purpose of HIV testing, although tests using blood tend to be more sensitive for early HIV infection than oral fluid. Blood specimens for HIV testing are strongly recommended based on the improved sensitivity of blood-based testing compared to oral specimens. NHBS project sites may offer rapid or laboratory-based HIV testing to participants.

Rapid testing is encouraged because it allows staff to provide preliminary results and make appropriate referrals to HIV care even for participants who may not return for lab-based test results. Rapid test specimens may be collected prior to survey administration, but only if local requirements allow counseling to be done after specimen collection. Persons who test positive for HIV on a rapid test must be asked to provide a blood or oral specimen for laboratory-based confirmatory testing at the time that preliminary positive test results are given.

Project sites have the option to implement a rapid testing algorithm using multiple rapid tests. A rapid test algorithm preferably begins with the most sensitive test, one using blood as opposed to oral fluid, so that early stage infections are not missed by the first rapid test. Participants may receive a false-negative test result if a rapid test is used that is not sensitive for early infection. This may particularly be an issue in a population with a high proportion of new infections. As with a single rapid test, confirmatory testing with laboratory-based test is required for individuals with multiple reactive rapid tests.

Results of rapid tests and specimen collection for confirmatory testing should be available after the survey has been administered. For NHBS project sites that choose to do incidence testing, incidence tests will be conducted on remnant samples of the confirmatory specimen. Processing of specimens should be done according to appropriate laboratory methods for the type of specimen collected.

Specimens are labeled with unique Survey ID numbers that match the participant's lab slip, questionnaire, and counseling card. No patient identifiers are included on any survey, specimen, lab slip, or instrument; this includes any tests provided locally (e.g., STD testing). The unique Survey ID is also affixed to the participant's appointment card, and the participant is counseled to keep the card in order to receive his/her results.

The NHBS Project Coordinator and collaborating technician at the laboratory will maintain a log of all samples received for NHBS. This log will contain the participant's Survey ID, the time and date of specimen collection and information regarding the participant's consent for storage. If the participant consents to storage, the log will indicate the date and time the sample was processed for storage and the amount frozen. If the participant does not consent to storage, the log will indicate the date and time the sample was destroyed. NHBS Project Coordinators will work closely with the lab to ensure the proper storage and disposal of NHBS specimens.

### **5.2e Counseling/returning HIV test results**

Participants who are provided with rapid HIV testing will receive their results during the NHBS encounter. Reactive (preliminary positive) test results obtained from currently approved HIV

rapid tests require that a confirmatory test (e.g., Western Blot, IFA, nucleic acid detection, or other tests in approved algorithms) be conducted in a laboratory.<sup>1-3</sup> Confirmatory tests acceptable for NHBS are those which are consistent with the current HIV case definition.<sup>4</sup>

Those participants who do not undergo rapid testing will receive their HIV test results by trained counselors within one to three weeks of the date of the specimen collection. NHBS project sites should develop flexible systems for return of HIV test results and counseling that are easily accessible by participants. During the initial encounter, the counselor will work with the participant to schedule a post-testing counseling session. The participants should be given an appointment card with the name and telephone number of health department personnel or counselor and the date, time and location of their appointment. The appointment card must have an affixed Survey ID number to link test results to the patient. No personal identifying information will be linked to the participant's HIV test result.

In the event that an in-person counseling session cannot be scheduled, participants may elect to receive HIV test results by telephone but only if local requirements allow the return of results in this manner. Appendix I includes an example of a detailed Telephone HIV Test Result Protocol used in Los Angeles as Part of *Project 1* (Protocol # 3910). NHBS project sites providing HIV results over the telephone must provide appropriate training to all telephone counselors.

All participants who test positive for HIV should be referred for appropriate medical care and HIV case management services at the time they receive their test results. NHBS project areas performing rapid testing should make a referral to care for participants with preliminary positive results at the time of the NHBS encounter during post-test counseling and after a confirmatory specimen has been collected. All referrals must be anonymous and the participant may not be reported to the state or local health department for HIV/AIDS surveillance purposes. The HIV test result can only be used for NHBS analysis purposes.

### **5.2f Incidence testing and results**

Advances in laboratory technology allow for the antibody testing of HIV-positive blood specimens from cross-sectional surveys to classify them as recent versus longstanding infection for the purpose of calculating HIV incidence estimates. There are several candidate incidence assays. To date, the only incidence assay that has been FDA-approved is the BED HIV-1 Capture EIA assay.<sup>5</sup> The FDA has determined that the BED assay, when used for surveillance purposes, does not require an Investigational New Drug or Investigational Device Exemption. Because the safety and effectiveness of this assay have not been established for purposes other than estimating HIV incidence at a population level, ***FDA regulations prohibit providing results to individuals*** or using these results for clinical management. Other incidence assays supported by CDC, such as the Bio-Rad Avidity EIA,<sup>6</sup> can be performed on NHBS specimens for research purposes. As with the BED assay, any incidence assay performed on NHBS specimens can only be used to estimate the incidence in that population. The results are for public health purposes only and cannot be used on an individual basis (i.e., returned to an individual).

Incidence assays can only be performed on blood specimens (e.g., serum, plasma, dried blood spots, etc.) determined to be HIV positive. Therefore, sites interested in measuring HIV incidence must collect blood specimens from participants. Project sites should first consult with the laboratory performing the incidence testing to determine the type of specimens accepted for incidence assays. Incidence testing for NHBS can only be done provided that participants consent to specimen storage and funding is available to support it. Plans for incidence testing must be discussed with a CDC Project Officer.

### **5.2g Reimbursement**

HIV testing will be provided at no cost to participants. In addition, participants may be reimbursed approximately \$25 for their time after all specimens have been collected.

If local policy allows participants to receive reimbursement for returning for their HIV test results, project sites may do so, provided funding is available to support it.. Project sites considering reimbursing participants for returning for their HIV test results must discuss this with their CDC Project Officer before implementation.

### **5.2h Data collection**

HIV testing data should be collected on logs maintained by NHBS project staff. HIV testing data (specimen information and results of all testing including incidence) will be linked to interview data via the unique survey ID. All logs or lab slips containing HIV testing data should be stored in a secure and locked file cabinet. Access to the logs should be limited to designated NHBS project staff.

### ***HIV test results***

Results of HIV tests will be recorded on a data collection form completed by the laboratory personnel or by NHBS project staff from a copy of the HIV test results. HIV test result logs will contain but are not limited to:

- survey ID
- laboratory ID
- rapid test(s) performed (if applicable)
- rapid test(s) results (if applicable)
- rapid test result returned
- specimen type
- laboratory-based test(s) performed
- laboratory-based test results
- self-report of HIV+ status
- final test result returned

A model HIV testing log is found in Appendix J. This log will be modified by project sites depending on testing methods implemented.

### *Specimen information for laboratory-based testing*

The NHBS lab coordinator will maintain a log of all specimens received. The log will contain:

- unique Survey ID;
- time and date of specimen collection;
- time and date the specimen was processed;

If consent for storage is obtained:

- time and date the sample was frozen;
- amount of sample frozen; and
- date and amount of frozen sample sent to CDC or a designated laboratory.

## **5.3 Data Management**

HIV test results listed in *HIV Test Results* section above will be entered into the HIV Test Result Log on the Data Coordinating Center (DCC; see chapter 6) Data Portal's online database. These data will be entered at least weekly so that reports generated by the DCC will reflect project sites' current numbers.

## **5.4 References**

1. CDC. Interpretation and use of the western blot assay for serodiagnosis of human immunodeficiency virus type 1 infections. *MMWR Morb Mortal Wkly Rep*, 1989. 38(Suppl 7): 1-7.
2. CDC. Update: HIV counseling and testing using rapid tests--United States, 1995. *MMWR Morb Mortal Wkly Rep*, 1998. 47(11): 211-5.
3. CDC. Notice to readers: Protocols for confirmation of reactive rapid HIV tests. *MMWR Morb Mortal Wkly Rep*, 2004. 53(10): 221-222.
4. Schneider, E., Whitmore, S., Glynn, K.M., Dominguez, K., Mitsch, A., and McKenna, M.T. Revised surveillance case definitions for HIV infection among adults, adolescents, and children aged <18 months and for HIV infection and AIDS among children aged 18 months to <13 years--United States, 2008. *MMWR Recomm Rep*, 2008. 57(RR-10): 1-12.
5. Parekh, B.S., Pau, C.P., Kennedy, M.S., Dobbs, T.L., and McDougal, J.S. Assessment of antibody assays for identifying and distinguishing recent from long-term HIV type 1 infection. *AIDS Res Hum Retroviruses*, 2001. 17(2): 137-46.
6. Masciotra, S., Dobbs, T.L., Candal, D., Hanson, D., Delaney, K., Rudolph, D., Charurat, M., Harrigan, R., McDougal, S., and Owen, M., Antibody Avidity-based Assay for Identifying Recent HIV-1 Infections Based on Genetic Systems TM ½ plus O EIA, in 17th Conference on Retroviruses and Opportunistic Infections (CROI). Feb 16-19, 2010: San Francisco, CA.

# 6

# Data Management

## 6.1 Overview

The purpose of this chapter is to describe basic data management procedures. The format for specific databases and directions for submitting data will be developed in collaboration with CDC and participating sites.

## 6.2 Data Configuration

### 6.2a Data Files

Each NHBS project site will maintain the following 4 databases for each of the current NHBS cycles:

1. Database of NHBS questionnaire records
2. Database of local questionnaire records
3. Coupon manager database
4. HIV testing database

To ensure consistency in database layouts across the NHBS project sites, CDC will create specifications for the NHBS questionnaire and HIV testing database. These specifications will cover the questions or variable text, variable names, field limits, skip logic, consistency checks, response values, and formats. The electronic NHBS questionnaire will be programmed such that cycle specific (MSM, IDU or HET) questions are asked during the appropriate cycle.

QDS (Questionnaire Development System) is software that will be used to program the electronic version of the NHBS questionnaire, collect data, and manage data collection.

### 6.2b Data Submissions to CDC

All data submissions to the CDC are made to the Data Coordinating Center (DCC). The DCC collects and processes data for delivery to the CDC as well as sites. Data management procedures performed by the DCC use standard data processing tools such as SQL and SAS. These include managing incoming data, generating error reports, incorporating data changes, and producing CDC required management reports. Data is transmitted to the DCC either by file upload (e.g., database of NHBS questionnaire records) or direct data entry (e.g., Data Error Log, HIV testing data, etc.) using secure data entry screens within the web-based data portal system. In addition to sending data to DCC, the portal can also be used by sites to revise submitted data, view reports, track field site activities and retrieve processed datasets.

After the NHBS data are sent through the DCC web portal, they will be processed by the DCC data manager. The DCC will then produce a report, on a monthly basis, for each NHBS project site that lists any data inconsistencies; the project sites will respond to the DCC's report and the edits will be incorporated into the data sets.

During the course of the NHBS cycles, project sites should communicate problems to both their Project Officer and to DCC representatives in order to resolve these issues in a timely manner.

Representatives from the DCC will train Data Managers on best practices for organizing, editing and transmitting data on the DCC web portal. Data Managers will also receive a detailed manual that will list all requirements for maintaining NHBS data sets; this manual shall be the primary resource for conducting NHBS data management activities.

### **6.3 NHBS Analysis File**

After the conclusion of each NHBS cycle, the DCC will create a standardized dataset (or a program to create the dataset locally) for each project site. NHBS project sites will only receive their local dataset. The purpose of the standardized datasets is to ensure that reports of NHBS data are consistent at both the local and national levels.

# 7

## Data Analysis and Dissemination

### 7.1 Data Analysis and Dissemination

CDC will have principal responsibility for analyzing and disseminating multi-site survey data. CDC will also have principal responsibility for analyzing multi-site data on HIV prevalence and incidence. Each participating institution will have principal responsibility for analyzing site-specific data.

The CDC analyses will focus primarily on questions related to the objectives of this study described in Chapter 1. To examine the key behavioral outcomes, data will be weighted when possible to account for the complex sampling design, which includes the effects of network sizes and within-group recruitment; these analyses will require the use of software that accounts for the sampling design, such as the Respondent Driven Sampling Analysis Tool (RDSAT).

NHBS project sites have responsibility for disseminating site-specific data and results. Project sites are encouraged to establish Community Advisory Boards (CABs) or other organizations to transmit study findings to the target community and stakeholders within the community.

#### ***7.1a Outcomes and minimum meaningful differences***

Anticipated outcomes for this study vary by population of interest and include:

- Prevalence of HIV risk behaviors;
- Prevalence of HIV testing and receiving HIV prevention services; and
- Prevalence of HIV infection, including previously undiagnosed HIV infection.

#### ***7.1b Anticipated products***

Each NHBS cycle will result in national and local products and publications. CDC is responsible for disseminating national reports, usually via the *Morbidity and Mortality Weekly Report (MMWR)* and other peer-reviewed journals. CDC will also present results at national conferences and meetings. Local NHBS project sites are responsible for disseminating local results to health department officials and the public by presenting results from NHBS at conferences, preparing reports for community planning groups, or publishing the results in peer-reviewed journals. NHBS project sites and CDC may collaborate on articles and reports when appropriate.

### 7.2 Limitations and Potential Biases

#### ***7.2a Respondent-Driven Sampling***

There are several sources of bias in RDS:

- Groups that are more insular (i.e., more likely to recruit only within their own group) are more likely to be over- or under-represented in the sample than less insular groups.
- Groups with larger networks may be overrepresented in the sample because more recruitment paths lead to their members.
- Some groups may be less willing or able to participate in the survey and would be underrepresented in the sample.

However, there are several ways to assess this bias and compensate for it. Some of the potential sources of bias are controlled by project staff; for instance, staff are encouraged to ensure that their initial peer-recruits, or seeds, are diverse by race/ethnicity, gender, age, geographic location and other important factors that would have the effect of increasing the insularity of recruitment and of homophily (i.e., groups that recruit only within their own group). It is also important for project sites to conduct adequate formative research to help determine the proper placement of field sites to minimize participants' barriers to taking a survey.<sup>1,2</sup>

Other sources of bias are taken into account during data analysis using information obtained during the survey. To calculate the population estimates and sample variances derived from RDS, participants' network size and information on who recruited whom (made possible through the coupon tracking system) are factored in to arrive at population estimates that reflect the underlying population. If these sources of bias cannot be satisfactorily controlled and measured, or if there are unknown barriers to peer-recruitment, some assumptions on which RDS is based may not be met and the resulting estimates may not reflect the true population parameters of the target population. Formative research and monitoring the sample throughout data collection is critical to minimize the effect of these sources of bias.

### **7.2b HIV testing data**

Biases in enrollment and agreement to HIV testing may result in over- or under-estimation of HIV prevalence or incidence. If those who agree to be tested differ from those who decline in terms of age, race, or sex, our findings may be less generalizable.

## **7.3 References**

1. Magnani, R., Sabin, K., Saidel, T., and Heckathorn, D. Review of sampling hard-to-reach and hidden populations for HIV surveillance. *AIDS*, 2005. 19 Suppl 2: S67-72.
2. McKnight, C., Des Jarlais, D., Bramson, H., Tower, L., Abdul-Quader, A.S., Nemeth, C., and Heckathorn, D. Respondent-driven sampling in a study of drug users in New York City: notes from the field. *J Urban Health*, 2006. 83(6 Suppl): i54-9.

## 8

# Data Security and Confidentiality

### 8.1 HIV/AIDS Surveillance Assurance of Confidentiality

As a component of HIV/AIDS surveillance, NHBS data are protected by the Assurance of Confidentiality (Section 308(d) of the Public Health Service Act, 42 U.S.C. 242 m(d)). This assurance prohibits the disclosure of any information that could be used to directly or indirectly identify individuals. A copy of the *Assurance of Confidentiality for HIV/AIDS Surveillance Data* is provided in Appendix K.

### 8.2 Written Data Security Policy

In accordance with the Assurance of Confidentiality requirements, each funded health department will write a data security policy covering the NHBS data and incorporate it into their existing policy for HIV/AIDS surveillance data. The written data security policy should be approved by the Overall Responsible Party (ORP) at the funded health department prior to implementing data collection. Until this is done, NHBS project sites must apply their existing standards for HIV/AIDS surveillance, which are approved by the ORP, to the NHBS data. For guidance on developing data security policies for HIV surveillance data, consult the CDC *Guidelines for HIV/AIDS Surveillance* (available online at <http://www.cdc.gov/hiv/topics/surveillance/resources/guidelines/guidance/>). This document establishes the minimum data security standards for protecting HIV/AIDS surveillance data.

The written policy will describe:

- The standard operating procedures and policies for maintaining the security of NHBS data.
- A data release policy describing the provisions for protecting against access to raw data or data tables containing small-denominator populations that could be indirectly identifying.
- An evaluation of the data security measures outlined in the document.

### 8.3 Security and Confidentiality Requirements

The following are the most applicable requirements for protecting the security of NHBS data. They are not inclusive of all the requirements listed in the *Guidelines for HIV/AIDS Surveillance*. Therefore, while drafting the local data security policy, NHBS project staff should not rely solely on the requirements provided in this document, but also review in full the *Guidelines for HIV/AIDS Surveillance*.

### **8.3a Maintain anonymity of the participants**

- Participant names should not be included in any NHBS data collection instruments or systems, including QDS programs, coupon manager database, and lab slips or test results. The only number used to label and identify data from the same participant is the Survey ID.
- If written consent forms are used and local policy requires participants to sign their real names to the forms, the consent forms should not be labeled with the Survey ID and are to be maintained in a separate file from other NHBS instruments. NOTE: Consent for all NHBS participants will be documented using the handheld computer and will be a part of each participant's survey record.
- If an appointment system is used for interviews, the appointment form will identify a prospective participant by the Survey ID.
- In the event that a local policy requires participants to indicate they received an incentive, it is recommended that the Survey ID be used to identify the participant and NOT the participant's name or signature. If policy will not allow the use of the Survey ID in lieu of the name or signature, special care should be taken to ensure that the Survey ID is not included on the form and that the form is stored separately from NHBS instruments. In either case, any receipts should not describe the project or contain the name of the NHBS project.
- Specimens, lab slips, and questionnaires are to be linked using the Survey ID number and the interview date. No personal identifiers should be written or affixed to the test results or lab slips. All HIV tests, including confirmatory tests, must be conducted anonymously. Any additional tests offered locally must also be anonymous.

### **8.3b Protect the electronic security of surveillance databases**

- Computers that can access electronic NHBS data should be physically secured and should be protected by coded passwords.
- Electronic databases containing NHBS data should be protected using coded passwords.
- Only authorized persons are to have access to electronic NHBS databases. Only individuals within the health department (and the authorized contractors) should be authorized to access NHBS data. Access to NHBS data must be defined in a formal, written data release policy.
- Access to data by personnel outside the surveillance unit must (1) be limited to those authorized on the basis of an expressed and justifiable public health need, (2) not compromise or impede surveillance activities, (3) not affect the acceptability of the surveillance system, and (4) be approved by the State ORP.
- Handheld computers
  - Handheld computers must be kept in the possession of the field staff at all times when in the field. Although the data management module of QDS is the only module that allows viewing of completed and entered interviews in the QDS files, the HAPI module of QDS (used to launch the NHBS questionnaire on the

handheld computers) can view incomplete interviews. Handheld computers incorporate the use of encryption software. NHBS data must be encrypted when stored on a handheld device. The key for de-encryption must not be written on the handheld device. Since NHBS interviews are encrypted by QDS and the de-encryption key is in the QDS warehouse module, the QDS warehouse should not be loaded on handheld device. Handheld computers must be protected by using a coded password known only to authorized NHBS project staff. Handheld computers must be collected and secured by the field supervisor after the last interview of the day. When not in use in the field, the handheld computers are to be locked in a drawer or office at the health department or the contracted agency conducting the surveillance. If this is not feasible, then a plan should be developed and incorporated into the data security policy that will ensure the security of the handheld computers.

- Handheld computers must be purged of NHBS data after the last interview of the day by uploading the collected interviews to the main database (e.g. QDS warehouse). This is important to minimize the amount of data carried on the handheld device. It will also minimize the number of records lost or compromised if the handheld device is lost or stolen.
- The ORP, NHBS Principal Investigator, and the CDC project officer must be notified in the event that a computer (including handheld computers) containing NHBS data is lost or stolen.
- When a computer used for NHBS is taken out of service, any hard drives that may have once contained NHBS data should be reformatted before being used for another purpose.
- Other removable storage media (e.g., compact disks used to store data backups) that are no longer needed for NHBS should be destroyed and not used for another purpose.

### ***8.3c Protect the transmission of electronic data***

NHBS data will be transmitted to DCC using the DCC portal, a secure internet-based system hosted by DCC. Data submitted through the DCC portal should be encrypted before being uploaded.

Surveillance data may not be transmitted through email or on disk because copies of the data will be maintained on various servers. A secure method for transmitting data files between local computer systems must be identified. Transfer files containing the NHBS data must be encrypted using commercially available software with at least 128-bit encryption capability. Encrypted databases may be transferred to a diskette or compact disk (CD) that can then be delivered by a courier service with package tracking capability (e.g., Federal Express or UPS) to an authorized individual who can upload the data to the other computer system.

The use of modems for data transfers must be approved by the ORP and incorporate the use of access controls. In addition, the NHBS data must be encrypted prior to electronic transfer.

### ***8.3d Protect the physical security of paper copies of NHBS forms***

- Paper copies of consent forms and other NHBS forms must be stored in locked filing cabinets that are inside locked offices.
- Only authorized persons should have access to paper copies of NHBS forms.
- Paper copies of completed consent forms and NHBS forms should be kept secured while interviews are being conducted in the field. Interviewers should use a clipboard or other device to gather these files during office hours and maintain possession of them throughout the field event. Field supervisors must gather all paper copies of completed consent forms and NHBS forms at the end of each field event and store them in a locked cabinet at the health department or within the field office.

### **8.3e Require project staff to take individual responsibility in protecting data**

- All authorized NHBS project staff must sign a confidentiality statement (see example in the CDC *Guidelines for HIV/AIDS Surveillance*, see Section 8.2). Newly hired staff must sign a confidentiality statement before access to NHBS data is authorized. This statement must indicate that NHBS data will not be released to unauthorized individuals. The original statement must be held in the employee's personnel file and a copy given to the employee. Staff must sign the confidentiality statement on an established periodic basis (e.g., annually).
- All authorized NHBS project staff with access to data must be knowledgeable about the data security policies and procedures. The written data security policy should be readily available and data security awareness trainings should be provided at regular intervals.
- NHBS project staff should not discuss the participants or the information shared during the questionnaire interviews with any unauthorized individual. Interviewers may share information with field supervisors or other study managers who have authorized access to NHBS data for problem-solving issues that arise in the field.
- Each NHBS project staff member will be responsible for protecting his/her workstation, laptop or handheld device that contains NHBS data. This responsibility includes protecting the keys to the physical space (e.g., offices), passwords, and other codes that would allow access to sensitive data. In addition, NHBS project staff must take care not to infect the computers with viruses or damage the equipment through exposure to the elements or misuse.
- NHBS project staff must not install software on the handheld computers or laptops containing NHBS data without notifying the CDC project officer.
- NHBS project staff should keep completed NHBS forms secured while interviewing in the field; use of clipboards or other devices that are in the possession of the interviewer at all times during field operations is recommended for this purpose.
- NHBS project staff must shred documents containing sensitive information before disposing of them.

## **8.4 Breaches in Data Security Procedures**

Breaches in the data security procedures should be promptly investigated by NHBS staff to assess the causes and implement remedies. Confirmed breaches resulting in the release of sensitive information should be reported to the ORP, the NHBS Principal Investigator, the local IRB, and the CDC Project Officer within two (2) business days of the adverse event.

**9.1 Institutional Review Board Approval**

The protocol for NHBS Round 2 was submitted for review and approved by CDC's Institutional Review Board (IRB) in 2007. In April 2009, the CDC Human Research Protections Office subsequently determined that NHBS is research, but that CDC is "not engaged" in this research. Therefore, the NHBS-HET2 protocol was not reviewed by the CDC IRB. In November 2010, the CDC Human Research Protections Office confirmed their previous decision and determined that NHBS Round 3 is research, but that CDC is "not engaged" in this research. Because NHBS is considered research, NHBS project sites must submit this protocol to their state and local IRBs for full or expedited IRB review; the state or local IRB of record may not determine the NHBS amended protocol to be exempt from review.

Participation in formative research activities involves the completion of an anonymous interviewer-administered interview or facilitator-led focus group. Consent will be obtained for interviewer-administered key informant interviews (Appendices A and B) and facilitator-led focus groups (Appendix C). Participation in the surveillance activities involves the completion of an anonymous interviewer-administered risk behavior survey and voluntary HIV counseling and testing; these activities are described to the participant during the informed consent process (Appendix F). The interviewer will document consent in the portable computers used for interviewing by indicating whether consent was obtained for the survey, for HIV testing and, where applicable, other tests (e.g., hepatitis) or specimen storage.

**9.1a Justification of waiver of documentation of informed consent**

For this protocol, a waiver of documentation of informed consent is recommended. The only record linking the subject and the research would be the consent document, and the principal risk is the potential harm resulting from a breach of confidentiality. This protocol presents no more than minimal risk of harm to subjects. NHBS Principal Investigators should request a waiver of documentation of informed consent to allow the use of oral consent (Appendix L) on the basis that the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

**9.2 Potential Risks and Anticipated Benefits**

Participation in NHBS presents no more risks to respondents than that which might occur outside of the context of surveillance. These non-surveillance contexts include participation in individual or group HIV prevention activities and interactions with HIV prevention and health-care providers in public or clinical settings. Similar to these contexts, participating in NHBS might cause discomfort to those participants who do not recognize their risks for HIV/STD

infection. Although privacy will be protected to the greatest extent possible, some acquaintances may recognize those respondents who enter field site locations, and who choose to participate.

### **9.2a Risks and benefits of the survey**

Participants may benefit from participating in the NHBS survey by better recognizing their own risks for HIV infection, speaking to trained staff about how to reduce those risks, learning more about local HIV prevention efforts, and obtaining prevention materials and referrals for health care, drug treatment, or HIV/STD testing and prevention services. Participating in NHBS also benefits communities by helping prevention planners to better direct state and local HIV prevention efforts.

Participants may feel uncomfortable about some of the questions in the survey, particularly those that are about sex and drug use.

### **9.2b Risks and benefits of HIV testing**

The risks of participating in the HIV testing component of NHBS are minimal and include those associated with loss of anonymity, drawing blood, and returning test results. Drawing blood may cause temporary discomfort such as bruising and rarely, infection. Some persons may pass out, and some have become injured while having their blood drawn; both of these circumstances are rare. There is minimal risk of secondary infection associated with phlebotomy. Disclosure of confirmed reactive or preliminary positive HIV test result may cause substantial psychological trauma.

Individuals who agree to participate in HIV testing will receive counseling about how to prevent acquiring or transmitting HIV infection and, if appropriate, referral to local programs, support groups and health care providers.

## **9.3 Voluntary Participation**

Participation in NHBS is completely voluntary. Participants can refuse to participate in the NHBS survey or in the HIV testing component without penalty. Participants are not required to take an HIV test to participate in the survey. However, participants will not be able to receive an HIV test without first completing the NHBS survey. Once participants have started the survey, they can refuse to answer any question or end the survey at any time without penalty. Participants whom NHBS project staff deem mentally incompetent to give informed consent, including those who are inebriated with alcohol or drugs, will not be allowed to participate in the interview.

All consent forms, questionnaires, and other survey instruments will be professionally translated into Spanish and certified. All consent forms, questionnaires, and survey instruments in Spanish will be administered by Spanish-speaking NHBS project staff.

## **9.4 Vulnerable Populations**

Persons under the age of 18 years of age will not be included in NHBS. Prisoners and pregnant women are not specifically targeted in sampling procedures for this project, but may be recruited for NHBS if they meet eligibility criteria. No special procedures are required for the participation of pregnant women. Persons with mental disabilities may also be included; however any person who cannot provide informed consent will be excluded from participation in the project. Interviewers will be trained to identify participants who cannot provide informed consent; these persons will be given the opportunity to reschedule their appointment as appropriate. All participants will be afforded the same protections.

## **9.5 Informed Consent Process**

Participants will take part in an informed consent process prior to beginning the survey. A model statement of informed consent is provided in Appendix F. Because participants may have difficulty reading and comprehending a written consent form, consent information should be read to each participant. Sites may use a summary consent if their local IRB approve (Appendix G) and should provide participants with a copy of the full consent form.

Documentation of obtaining consent will be entered into the personal interview program after the eligibility screener is administered. The personal interview program will automatically end the NHBS survey questionnaire if the respondent does not agree to participate. Respondents have the option of participating in the survey but declining the HIV test or other tests that are being offered. Sometimes, participants may change their mind about taking the HIV test during survey implementation; therefore, participants who initially decline the HIV test will be offered another opportunity at the end of the survey to receive the HIV test as part of the study. NHBS respondents are not required to agree to receive the results of their HIV test in order to participate in the study.

Participants will be offered a copy of the consent forms to read along with the interviewer; they may keep the form if they wish. Consent scripts or forms developed by NHBS project sites must contain all required elements of informed consent (Appendix M). Each NHBS project site's consent script or form must be reviewed and approved by the respective CDC project officer before submission to the local IRB.

## **9.6 Age of Participants**

NHBS is a surveillance system of adults in the United States, and the methods used in NHBS are designed to recruit an adult population. Previous NHBS cycles have used the same age criteria as proposed here and successfully recruited participants aged 18 and older.<sup>1-5</sup>

Persons younger than 18 years of age are excluded from this research because a separate, age-specific study of persons less than 18 years old is warranted and preferable. Sufficient numbers of subjects less than 18 years of age would be needed for age-specific analyses to be meaningful.

### ***NHBS-HET3 only***

An upper-age limit on participation in the NHBS-HET cycles is necessary to ensure that the age groups most at risk for HIV infection are included. A review of CDC sources of published and unpublished HIV incidence data and of newly-diagnosed HIV cases suggest that an age cap of 60 is appropriate for this purpose.

## **9.7 Anonymity and Privacy Protections**

NHBS is covered under the *Assurance of Confidentiality for HIV/AIDS Data* (Appendix K).

### ***9.7a Anonymity protections***

Participation in NHBS is anonymous. Participants will not be required to provide their names or other personal identifiers as a condition for participation. In order to prevent inadvertent linkage, consent forms that must be signed (due to local IRB requirement) are not labeled with a Survey ID number and are maintained separately from other documents. Blood specimens, lab slips, coupons and questionnaires are linked by Survey ID numbers only. No personal identifiers are on any of these forms. If participants voluntarily disclose their names or personal identifiers, these will not be maintained by NHBS- project staff nor linked with any survey instrument.

Participants who agree to become peer-recruiters will be asked to provide certain information, such as physical characteristics, in order for NHBS project staff to provide recruitment awards to participants who return to collect them. This information will be kept in the coupon manager database for the purposes of accurate reimbursements and will be destroyed two years after the completion of recruitment, reimbursements, and analysis of collected data. The coupon manager database is password-protected.

Participants who must return for HIV test results should be given post-test interview cards labeled only with Survey ID numbers that link respondents with test results.

### ***9.7b Privacy protections***

NHBS project staff will always conduct surveillance activities in ways that adhere to the ethical principles and standards by respecting and protecting to the maximum extent possible the privacy, confidentiality, and autonomy of participants.

Paper copies of NHBS consent forms, test results or other forms will be stored in locked filing cabinets that are maintained in secure office environments with limited and controlled access. Equipment used to administer the CDC-developed personal interview program (including portable computers) will be password protected. Computers and networks where data will be

downloaded and stored will also be password protected. Only authorized project staff will have access to completed survey data and study files. All project staff that will have access to the NHBS data must undergo local security and confidentiality training and must sign a statement of confidentiality.

The NHBS project sites will send data to CDC using the Data Coordinating Center (DCC), managed by ICF Macro. The DCC must use the secure data transfer algorithm, FIPS 140-2 (Federal Information Processing Standards Publication). Information about the algorithm can be found at this web-site (<http://www.csrc.nist.gov/publications/fips/fips140-2/fips1402.pdf>). The secure data transfer methodology is compliant and meets the guidelines set forth in OMB memorandum M-0404 (E-Authentication Guidance for Federal Agencies) (<http://www.whitehouse.gov/omb/memoranda/fy04/m04-04.pdf>) and NIST Special Publication 800-63 (E-Authentication Guideline: Recommendation of the National Institute of Standards and Technology) ([http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1\\_0\\_2.pdf](http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1_0_2.pdf)). The DCC data management systems must be in compliance with OMB, HHS, and CDC Certification and Accreditation Guidelines outlined in NIST SP 800-37 (Guide for Applying the Risk Management Framework to Federal Information Systems) (<http://csrc.nist.gov/publications/nistpubs/800-37-rev1/sp800-37-rev1-final.pdf>). In addition to the technical requirements listed above, data management processes must be in compliance with The Guidelines for HIV/AIDS Surveillance – Security and Confidentiality. (<http://www.cdc.gov/hiv/topics/surveillance/resources/guidelines/guidance>)

## **9.8 Reimbursement for Time and Effort**

Activities that are part of NHBS include the survey (which is the only activity required for participation), taking a voluntary HIV test, and recruiting peers into the study (also voluntary). Participants will receive a small stipend for participation in NHBS activities. The reimbursement amounts are determined locally by the NHBS project sites; amounts included in this document are based on previous experience with NHBS cycles or other similar studies.

Respondents will be reimbursed approximately \$25 in cash for their participation in the NHBS-survey. If local regulations prohibit cash disbursement, equivalent reimbursement may be offered in the form of gift certificates; however, all non-cash reimbursements should have appropriate value to the population. The formative research process can help verify what types of non-cash reimbursements are appropriate. All participants will be offered referrals to and materials with appropriate prevention information, testing resources, medical services, and other support services.

In RDS, participants who agree to recruit their peers are compensated a small amount for each eligible person they recruit into the project; the average amount of these reimbursements is \$10 for each eligible person recruited into the project, and the number of peer-recruits is limited to up to 5 persons.

HIV antibody tests will be provided at no cost to participants. In addition, participants will be reimbursed approximately \$25 for their time and inconvenience. Appropriate risk-reduction counseling will be provided to all participants who elect testing for HIV. Interviewers will target prevention messages to specific risks identified from the survey questionnaire. Barriers to risk reduction will be assessed, and methods to reduce or remove those barriers will be explored as appropriate for the participant.

Participants will receive their stipend after the survey has been administered and the specimen collected for HIV testing (if participant agrees to the HIV test). Project sites may choose to have either the Field Supervisor or the Interviewer dispense the stipend.

## **9.9 Adverse Events**

### ***9.9a Definition of an adverse event***

In NHBS, adverse events are defined as events leading to serious psychological, social, or physical harm to a participant that result from his or her participation in the study, including responding to the survey, and that are reported to or observed by any project staff. Adverse events should be distinguished from the mild, transient, and normal discomfort or awkwardness that some participants may experience during risk behavior interviewing (such as fidgeting in the seat, seeming apprehensive when speaking, not looking at the interviewer or looking down, blushing).

### ***9.9b Examples of adverse events***

- **Violations of confidentiality or privacy.** Having information about their participation disclosed by a member of NHBS project staff.
- **Hazing, harassment, or violence.** Examples are emotional trauma, physical violence or verbal abuse directed at a participant or project staff as a result of taking part in an interview.
- **Negative reactions from the community.** An example is a participant losing housing or other services because of participation in the study.
- Complaints about **inappropriate behavior on the part of NHBS project staff.**
- **Psychological or physical trauma** as a result of HIV testing.
- **Violations of the NHBS protocol.**

### ***9.9c Response to adverse events***

Adverse events must be taken seriously and handled in a consistent manner by all NHBS- project staff. The field supervisor must be notified of the event within 24 hours. The field supervisor will determine whether the reported event was related to NHBS and will document and report the event and its outcome. Adverse events determined to be related to NHBS must be reported to CDC and the local IRB within 2 business days or earlier as mandated by local IRB guidelines;

the CDC NHBS staff will report adverse events to the Associate Director for Science in the Division of HIV/AIDS Prevention for review and follow-up.

NHBS project staff are trained to respond to emergency situations involving NHBS participants, such as if a participant expresses suicidal feelings upon receiving a positive HIV test result. NHBS personnel are locally trained to respond to questions and concerns from participants who consent to HIV testing. They are also trained in de-escalation techniques, and how to respond to emergencies (e.g., fire/police/hospital contact numbers).

## 9.10 References

1. Gallagher, K.M., Sullivan, P.S., Lansky, A., and Onorato, I.M. Behavioral surveillance among people at risk for HIV infection in the U.S.: the National HIV Behavioral Surveillance System. Public Health Rep, 2007. 122 Suppl 1: 32-8.
2. Lansky, A., Sullivan, P.S., Gallagher, K.M., and Fleming, P.L. HIV behavioral surveillance in the U.S.: a conceptual framework. Public Health Rep, 2007. 122 Suppl 1: 16-23.
3. Lansky, A., Abdul-Quader, A.S., Cribbin, M., Hall, T., Finlayson, T.J., Garfein, R.S., Lin, L.S., and Sullivan, P.S. Developing an HIV behavioral surveillance system for injecting drug users: the National HIV Behavioral Surveillance System. Public Health Rep, 2007. 122 Suppl 1: 48-55.
4. CDC. Characteristics associated with HIV infection among heterosexuals in urban areas with high AIDS prevalence - 24 cities, United States, 2006-2007. MMWR Morb Mortal Wkly Rep, 2011. 60(31): 1045-1052.
5. CDC. HIV testing among men who have sex with men--21 cities, United States, 2008. MMWR Morb Mortal Wkly Rep, 2011. 60(21): 694-9.

## Appendix A

# Model Key Informant Interview Consent Form

*English Version; Grade Reading Level by Flesch-Kincaid Method: 7.9*

### National HIV Behavioral Surveillance System Key Informant Consent Form

#### A. Purpose

The [**Agency Name**] and the Centers for Disease Control and Prevention (CDC) are doing a study of persons who may be at risk for HIV infection, and who will be asked to take an HIV test. The reason for this interview is to learn about the best way to do this future study. We are asking you to participate in this interview because you may be able to provide us with ideas about the future study.

#### B. Procedures

If you agree to be interviewed, this is what will happen.

1. During the interview, a staff member will ask you questions about the following issues:
  - a. Ways to encourage participants to take the survey;
  - b. Reasons people might not want to take an HIV test, and ways to encourage them to do so;
  - c. Appropriate incentive levels for survey participation and HIV testing;
  - d. Descriptions of local neighborhoods and communities of persons at-risk of HIV.
2. Notes from the interview will be recorded on paper.
3. You can refuse to answer a question at any time. If you do not answer a question or want to end the interview, there will not be any penalty to you. No one except the study staff at [**Agency Name**] will have access to the information you provide to us.

The interview is anonymous. Your name will not be attached to your responses.

#### C. Discomforts and Risks

There are no physical risks to you by participating in this interview. No one will ask about your own behaviors, and you should not share this information during your interview.

#### D. Benefits

There are no direct benefits by being in this interview. The information you give us may help us have a better future study.

**E. Compensation**

You will not be paid for the time you spend taking part in the interview.

**F. Persons to Contact**

This study is run by: [*name of principal investigator and phone number*]. You may call [him/her] with any questions about being interviewed.

If you have questions about your rights as a participant or if you feel that you have been harmed, contact [*IRB committee or contact name and phone number*].

**G. Confidentiality Statement**

What you tell us is confidential. No one except the study staff at [**Agency Name**] and CDC will have access to your comments, except as otherwise required by law. Any comments made by you will not be attributed to you as an individual but to the collective group of individuals we interview as a whole. This interview will not be audio- or video-taped.

**H. Right to Refuse or Withdraw**

Doing this interview is VOLUNTARY. You have the right to refuse to answer any questions. You can end the interview at any time you want.

**I. Agreement**

Do you have any questions?

***Interviewer: Answer the participant's questions about the interview before proceeding to the next question.***

You have read or had read to you the explanation of this study, you have been given a copy of this form, the opportunity to discuss any questions that you might have and the right to refuse participation. I am going to ask for your consent to participate in this interview. By saying yes, you agree to participate in the interview. Do you agree to take part in the interview?

Date: \_\_\_\_\_ Interviewer initials in box confirm affirmative consent

I have fully explained to the participant the nature and purpose of the procedures described above and the risks involved in its performance. I have asked if any questions have arisen regarding the procedures and have answered these questions to the best of my ability.

Date: \_\_\_\_\_ Signature of interviewer: \_\_\_\_\_

## Appendix B

# Model Community Key Informant Interview Consent Form

*English Version; Grade Reading Level by Flesch-Kincaid Method: 7.9*

### National HIV Behavioral Surveillance System Community Key Informant Consent Form

#### A. Purpose

The [Agency Name] and the Centers for Disease Control and Prevention (CDC) are doing a study of persons who may be at risk for HIV infection, and who will be asked to take an HIV test. The reason for this interview is to learn about the best way to do this future study. We are asking you to participate in this interview because you may be able to provide us with ideas about the future study.

#### B. Procedures

If you agree to be interviewed, this is what will happen.

1. During the interview, a staff member will ask you questions about the following issues:
  - a. Ways to encourage participants to take the survey;
  - b. Reasons people might not want to take an HIV test, and ways to encourage them to do so;
  - c. Appropriate incentive levels for survey participation and HIV testing;
  - d. Opinions that people in this neighborhood have about HIV and HIV prevention.
  - e. Descriptions of local neighborhoods and communities of persons at-risk of HIV.
2. Notes from the interview will be recorded on paper.
3. You can refuse to answer a question at any time. If you do not answer a question or want to end the interview, there will not be any penalty to you. No one except the study staff at [Agency Name] will have access to the information you provide to us.
4. The interview is anonymous. Your name will not be attached to your responses.
5. You will receive \$25.00 for the time you spend taking part in the interview.

#### C. Discomforts and Risks

There are no physical risks to you by participating in this interview. No one will ask about your own behaviors, and you should not share this information during your interview.

**D. Benefits**

There are no direct benefits by being in this interview. The information you give us may help us have a better future study.

**E. Compensation**

You will be paid \$25 for the time you spend taking part in the interview.

**F. Persons to Contact**

This study is run by: [*name of principal investigator and phone number*]. You may call [him/her] with any questions about being interviewed.

If you have questions about your rights as a participant or if you feel that you have been harmed, contact [*IRB committee or contact name and phone number*].

**G. Confidentiality Statement**

What you tell us is confidential. No one except the study staff at [**Agency Name**] and CDC will have access to your comments, except as otherwise required by law. Any comments made by you will not be attributed to you as an individual but to the collective group of individuals we interview as a whole. This interview will not be audio or video-taped.

**H. Right to Refuse or Withdraw**

Doing this interview is VOLUNTARY. You have the right to refuse to answer any questions. You can end the interview at any time you want.

**I. Agreement**

Do you have any questions?

***Interviewer: Answer the participant's questions about the interview before proceeding to the next question.***

You have read or had read you the explanation of this study, you have been given a copy of this form, the opportunity to discuss any questions that you might have and the right to refuse participation. I am going to ask for your consent to participate in this interview. By saying yes, you agree to participate in the interview. Do you agree to take part in the interview?

Date: \_\_\_\_\_ Interviewer initials in box confirm affirmative consent

I have fully explained to the participant the nature and purpose of the procedures described above and the risks involved in its performance. I have asked if any questions have arisen regarding the procedures and have answered these questions to the best of my ability.

Date: \_\_\_\_\_ Signature of interviewer: \_\_\_\_\_

## Appendix C

## Model Focus Group Consent Form

*English Version; Grade Reading Level by Flesch-Kincaid Method: 7.4*

### **National HIV Behavioral Surveillance System Focus Group Consent Form**

#### **A. Purpose**

The [Agency Name] and the Centers for Disease Control and Prevention (CDC) will be doing a survey of persons who may be at risk for HIV infection and who will be asked to take an HIV test. The reason for the focus group is to learn about the best way to do this future study. We are asking you to be in the group because you may be able to provide us with ideas about the future study.

#### **B. Procedures**

1. If you agree to be in the focus group, you will take part in a focus group with up to 10 other people that will last between 1 ½ and 2 hours.
2. During the session, people will be asked questions about the following issues:
  - a. Ways to encourage participants to take the survey;
  - b. Reasons people might not want to take an HIV test, and ways to encourage them to do so;
  - c. Payment for the survey.
3. Notes from the focus groups will be recorded on paper.
4. The focus group is anonymous. We will not record your name or any other characteristics that might identify you at any time during the interview. No one except the study staff at [Agency Name] will have access to the information you provide to us.
5. You will be given \$25.00 for being in the focus group.
6. You can refuse to answer a question at any time. If you do not answer a question or want to leave the focus group, there will not be any penalty to you.

#### **C. Discomforts and Risks**

There are no physical risks to you by participating in this focus group. No one will ask about your own behaviors, and you should not share this information during your session.

Other focus group members may say things that may make you feel uncomfortable. If this happens, the staff will help to resolve the problem.

**D. Benefits**

The information you give us may help us have a better future survey.

**E. Compensation**

You will be paid \$25 for the time you spend taking part in the focus group.

**F. Persons to Contact**

This focus group is run by: *[name of principal investigator and phone number]*. You may call *[him/her]* with any questions about being in the focus group.

If you have questions about your rights as a participant or if you feel that you have been harmed, contact *[IRB committee or contact name and phone number]*.

**G. Confidentiality Statement**

What you tell us is confidential. Your responses will be labeled with a study number only. No one except the study staff at **[Agency Name]** and CDC will have access to the focus group's comments, except as otherwise required by law. Any comments made by persons in this group will not be attributed to individual members but to the group as a whole. This focus group will not be audio- or video-taped.

**H. Right to Refuse or Withdraw**

Being in this focus group is VOLUNTARY. You have the right to refuse to answer any questions. You can leave the focus group at any time.

**I. Agreement**

Do you have any questions?

***Moderator: Answer the participant's questions about the focus group before proceeding to the next question.***

You have read or had read to you the explanation of this study, you have been given a copy of this form, the opportunity to discuss any questions that you might have and the right to refuse participation. I am going to ask for your consent to participate in this focus group. By saying yes, you agree to participate in the focus group. Do you agree to take part in the focus group?

Date: \_\_\_\_\_ Moderator initials in box confirm affirmative consent

I have fully explained to the participant the nature and purpose of the procedures described above and the risks involved in its performance. I have asked if any questions have arisen regarding the procedures and have answered these questions to the best of my ability.

Date: \_\_\_\_\_ Signature of moderator: \_\_\_\_\_

# Appendix D

# Model Coupon

## FRONT

3011 **Project ASK** 3011

If you are eligible, you can earn \$25.00!

Call 1-888-865-4327 for an appointment or more information

When: Tuesdays and Fridays  
9am – 6 pm

Where: 7125 Central Ave., 2<sup>nd</sup> Floor

**\* This coupon expires on:**

East of Main Street, West of Brick Road  
Across from Salvation Army

**\*Map on back\***

## BACK

**Project ASK**

is located at 7125 Central Avenue  
between Main Street and Brick Road  
across from the Salvation Army

**1-888-865-4327**

Survey ID \_\_\_\_\_  
Interviewer ID \_\_\_\_\_

The map shows a street grid with Madison Avenue at the top, Main Street, Peachtree, and Brick Road at the bottom. Central Avenue runs vertically through the middle. A box labeled '7125 CENTRAL AVENUE' is located between Main Street and Peachtree, with an arrow pointing to a building icon. The Salvation Army logo is shown across from this building.

**PLEASE CALL FOR AN APPOINTMENT**  
(IT'S FREE CALL FROM ANY PAYPHONE.)

## Appendix E

## Data Collection Instrument

Form Approved:  
OMB No. 0920-0770  
Expiration Date: 05/31/2014

## **National HIV Behavioral Surveillance System: Eligibility Screener**

Public reporting burden of this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: CDC, Project Clearance Officer, 1600 Clifton Road, MS D-74, Atlanta, GA 30333, ATTN: PRA (0920-0770). Do not send the completed form to this address.

# National HIV Behavioral Surveillance System: Eligibility Screener

AUTO1. NHBS Round \_\_\_\_\_

AUTO2. NHBS Cycle \_\_\_\_\_ (1=MSM; 2=IDU; 3=HET)

AUTO3 Date of Interview: \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
(M M / D D / Y Y Y Y)

AUTO4. Time Begin \_\_\_\_:\_\_\_\_  1AM  2PM

AUTO5. Version \_\_\_\_\_

## Interviewer Entered Information

INT1. *Interviewer ID* \_\_\_\_\_

INT2. *Enter City* \_\_\_\_\_

INT3. *Survey ID* \_\_\_\_\_

*If the length of Survey ID is 4 digits and Cycle=1 skip to INT4;  
 If the Length of Survey ID is 4 digits and Cycle=2 or 3 skip to INT9.*

CONF1. **Interviewer:** The survey ID that you entered was [INT3]. Is this correct?  
 No.....  0 *Loop back to INT3*  
 Yes.....  1

***If NHBS-IDU or NHBS-HET (CYCLE=2 or 3), skip to INT9.***

INT4. *Venue Code* \_\_\_\_\_

INT5. *Event Number* \_\_\_\_\_

INT6. **Interviewer:** Is this interview a “Post Event Appointment”?  
 No.....  0 *Skip to Say Box before ES1*  
 Yes.....  1

***If INT4 is equal to 0, the skip to Say box before ES1.***

### Post Event Appointment

INT7. *Enter the field site ID for the location of the interview:* \_\_\_\_\_

INT8. *Enter the date of the recruitment event:* \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
M M / D D / Y Y Y Y

**If NHBS-MSM (CYCLE=) 1, skip to Say Box before ES1.**

INT9. **Field Site ID** \_\_\_\_\_

CONF2. **Interviewer:** The field site ID that you entered was [Response to INT9]. Is this correct?

No.....  0 **Loop back to INT9**

Yes.....  1

INT10. **Interviewer:** Is participant a seed?

No.....  0

Yes.....  1

**FOR ALL NHBS CYCLES**

**SAY:** I'd like to thank you again for your interest in this health survey. Remember that all information you give me will be kept private and I will not ask for your name. First, I will ask you a few questions about yourself and then the computer will determine if you have been selected to participate in the health survey.

**Eligibility Screener Questions**

ES1. What is your date of birth?

[Refused = 77/7777, Don't know = 99/9999] (M M / D D / Y Y Y Y)

So, you are [insert calculated age] years old. Is that correct?

No.....  0 **Loop back to ES1**

Yes.....  1

**If Respondent is <18 years old, skip to End1**

ES2. During 20xx, did you already complete at least part of the health survey that [Insert Project Name] is conducting? It could have been here or at another location.

No.....  0

Yes.....  1

Known previous participant.....  2

Refused to answer.....  7

Don't know.....  9

ES3. Do you consider yourself to be Hispanic or Latino/a? **[Interviewer: If necessary, say “Just tell me Yes or No.”]**

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If ES3 in (0, 7, 9), skip to ES4.***

ES3a. What best describes your Hispanic or Latino ancestry?  
***[READ CHOICES. CHECK ALL that apply.]***

- Mexican.....  1
- Puerto Rican.....  2
- Cuban.....  3
- Dominican.....  4
- Some other ancestry (*Specify*).....  5
- Refused to answer.....  7
- Don't know.....  9

ES4. ***[GIVE RESPONDENT FLASHCARD A.]*** Which racial group or groups do you consider yourself to be in? You may choose more than one option. ***[READ CHOICES. CHECK ALL THAT APPLY.]***

- American Indian or Alaska Native.....  1
- Asian .....  2
- Black or African American .....  3
- Native Hawaiian or Other Pacific Islander.....  4
- White .....  5
- Refused to answer.....  7
- Does not apply .....  8
- Don't know.....  9

ES5. What county do you currently live in? \_\_\_\_\_  
(List of eligible counties on computer)

***If “Other” county chosen, specify, then skip to Logic check before ES6.***

ES5a. How long have you been living in [project area]? (*Interviewer:* If response is in months, enter 0 below and then enter the number of months in the next screen.)

Years \_\_\_

[Refused = 777, Don't know = 999]

**If ES5a= 1-100, 777, or 999, skip to Logic Check before ES6**

ES5b. Number of months: \_\_\_  
range of values= 1-11

[Refused = 77, Don't know = 99]

**For NHBS-MSM, skip to ES8**  
**For NHBS-IDU, skip to ES9**  
**For NHBS-HET, ask ES6 - ES7a, then skip to ES9**

ES6. What zip code do you live in?

[Refused = 77777, Don't know = 99999] \_\_\_\_\_

ES7. **SHOW RESPONDENT THE MAP.** Please take a look at this map. Can you point to the area where you live?

*Interviewer:* Enter 6-digit census tract # \_\_\_\_\_  
(Refused= 777777, Don't know= 999999)

**ES7a. IF RESPONDENT IS A SEED (INT10=1)**  
*Interviewer:* Does participant live in a High Risk Area?  
No .....  0  
Yes .....  1

**Skip to ES9**

**FOR NHBS-MSM**

ES8. What was your sex at birth? [**CHECK only ONE**]

- Male.....  1
- Female.....  2
- Intersex/ambiguous.....  3
- Refused to answer.....  7
- Don't know.....  9

**FOR ALL NHBS CYCLES**

ES9. Do you consider yourself to be male, female, or transgender? [*CHECK only ONE*]

- Male.....  1
- Female.....  2
- Transgender.....  3
- Refused to answer.....  7
- Don't know.....  9

***If NHBS-IDU skip to ES10. If NHBS-HET, skip to Logic check before ES17.***

**NHBS-MSM behavioral eligibility questions**

ES9a. Have you ever had vaginal or anal sex with a woman?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

ES9b. Have you ever had oral or anal sex with a man?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***FOR NHBS-MSM, skip to SAY Box before ES18***  
***FOR NHBS-IDU, ask ES10 - ES17b, then skip to SAY Box before ES18***  
***FOR NHBS-HET, skip to Logic Check before ES17***

**NHBS-IDU behavioral eligibility screener questions**

ES10. Have you ever in your life shot up or injected any drugs other than those prescribed for you? By shooting up, I mean anytime you might have used drugs with a needle, either by mainlining, skin popping, or muscling.

- No.....  0 → *Skip to SAY box before ES18*
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9 } *Skip to SAY box before ES18*

ES11. When was the last time you injected any drug? That is, how many days or months or years ago did you last inject? *[Interviewer: Enter the number below. If today, enter 0]*

Number                 
*[Refused = 777, Don't know = 999]*

***If ES11 in (777, 999), skip to ES12.***

ES11a. *Interviewer:* Was this days or months or years? *[If today, enter “days”]*

- Days.....  1
- Months.....  2
- Years.....  3
- Refuse to answer.....  7
- Don't know.....  9

ES12. Which drug do you inject most often? *[READ CHOICES. CHECK ONLY ONE]*

- Speedball – Heroin and cocaine together .....  1
- Heroin, by itself.....  2
- Cocaine, by itself.....  3
- Crack.....  4
- Crystal, meth, tina, crank, ice.....  5
- Something else (*Specify*\_\_\_\_\_).  6
- Refused to answer.....  7
- Don't know.....  9

ES13. Where on your body do you usually inject? **[CHECK ALL THAT APPLY]**  
**[Interviewer: Have participant show ALL injection areas on body. Check for physical signs of injection]**

- Fresh track marks.....  1
- Needle-sized scabs.....  2
- Abscesses.....  3
- Old track marks or scars.....  4
- Injects in covered area .....  5
- No physical signs.....  6
- Respondent refused to show.....  7

***If participant has no visible physical signs of current injection, ask ES14-ES16. Otherwise, go to SAY Box before ES18.***

ES14. Step-by-step, tell me how you prepare your drugs.

**INTERVIEWER:**  
**Description could include:**  
 Mix drugs with water or lemon juice/vinegar  
 Use cooker /Heat drugs  
 Use filter

- Description OK.....  1
- Description Not OK.....  2

ES15. Step-by-step, tell me how you inject your drugs.

**INTERVIEWER:**  
**Description could include:**  
 Tie off and find vein (IVDU)  
 Clean injection site  
 Register (IVDU)

- Description OK.....  1
- Description Not OK.....  2

ES16. What type of syringe do you usually inject with?

**INTERVIEWER:**  
**Description could include:**  
Syringe size (in cc's or units)  
Needle size (gauge, length)  
Cap (color, number)

*(Can also ask where they usually get syringes, what they do with them after injecting, and how they know if they are new or used)*

Description OK.....  1  
Description Not OK.....  2

***If NHBS-IDU, skip to SAY Box before ES18***

## NHBS-HET behavioral eligibility questions

**SAY:** The next questions are about having sex. Please remember your answers will be kept private.

**IF ES9 is not 1 (male) or 2 (female), then skip to ES17c.**

ES17. Have you had sex with a *[insert “man” if respondent is female; insert “woman” if respondent is male]* in the past 12 months?

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

**If ES17 is not 1, skip to SAY box before ES18.**

ES17a. Did you have vaginal sex? By vaginal sex, I mean *[insert “he put his penis in your vagina” if respondent is female; insert “you put your penis in her vagina” if respondent is male]*.

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

**If ES17a = 1, skip to SAY box before ES18.**

ES17b. Did you have anal sex? By anal sex, I mean *[insert “he put his penis in your anus (butt)” if respondent is female; insert “you put your penis in her anus (butt)” if respondent is male]*

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

**If ES17b = 1, skip to SAY box before ES18.**

**CONF3. Ask the following if ES17=1 AND ES17a=0 AND ES17b=0):**

**“So, in the last 12 months, you only had oral sex with a *[insert “man” if respondent is female; insert “woman” if respondent is male]*? Is that correct?**

**If NOT correct, go back to ES17a.  
If CORRECT, go to SAY box before ES18.**

ES17c. Have you had sex in the past 12 months?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**SAY:** We've finished the first series of questions. Now the computer will determine whether you've been selected to participate in the survey.

**FOR ALL NHBS CYCLES**

ES18. **Interviewer:** Is this person alert and able to complete the health survey in English or Spanish?

- No.....  0
- Yes.....  1

**If ES18=0 and NHBS-MSM or NHBS-IDU, display ES18a; then, go to End1.  
If ES18=0 and NHBS-HET, display interviewer instruction ES18b; then go to End1.**

ES18a. **Interviewer:** Specify reason person not able to complete the interview [**CHECK ALL that apply**]:

- Not alert.....  1
- Not able to complete in English or Spanish.....  2
- Thought to be too young.....  3
- Other (specify \_\_\_\_\_).....  4

ES18b. **Interviewer:** Specify reason person not able to complete the interview [**CHECK ALL that apply**]:

- Not alert.....  1
- Not able to complete in English or Spanish.....  2
- Thought to be too young.....  3
- Thought to be too old.....  4
- Other (specify \_\_\_\_\_).....  5

**AUTO06.** Time Eligibility Screener Ended: \_\_\_:\_\_\_:\_\_\_ [Military time HH:MM:SS]

*Eligibility is calculated based on cycle-specific eligibility criteria defined in the protocol*

**End 1. If the participant IS NOT ELIGIBLE:**

**SAY:** Thank you for answering these questions. Unfortunately, the computer has not selected you to participate in the health survey. Thank you again for your time.

*End Interview.*

**End 2. If the participant IS ELIGIBLE:**

**SAY:** Congratulations! The computer has selected you to participate in the health survey. Let me tell you about it. [**Interviewer: Proceed with the consent process.**]

*Skip to Consent section.*

## CONSENT

***Interviewer: Conduct the local IRB-approved consent process***

- CN-1. Do you agree to take part in the survey?
- No.....  0
- Yes.....  1

***If CN-1 = 0, display: Thank the respondent for answering the questions. Then skip to CN-5.***

- CN-2. Do you agree to HIV counseling and testing?
- No.....  0
- Yes.....  1

***If CN-2=0, display:***

***Interviewer:*** You have documented that the person DID NOT consent to HIV counseling and testing. If the person DID consent to HIV testing, please arrow back and re-enter the consent for HIV testing.

***If interviewer confirms CN-2=0, and NHBS-MSM, skip to NHBS-MSM Core Intro.***

***If interviewer confirms CN-2=0, and NHBS-IDU, skip to NHBS-IDU Core Intro.***

***If interviewer confirms CN-2=0 and NHBS-HET, skip to NHBS-HET Core Intro.***

- CN-3. Do you agree to have other lab tests (if offered)?
- No.....  0
- Yes.....  1
- Does not apply.....  8

- CN-4. Do you agree to let us store a sample of your blood for future testing?
- No.....  0
- Yes.....  1
- Does not apply.....  8

***If CYCLE=MSM, skip to MSM Cycle OMB statement.***

***If CYCLE=IDU, skip to IDU Cycle OMB statement.***

***If CYCLE=HET, skip to HET Cycle OMB statement.***

CN-5. We're interested in knowing why people do not want to do this study. Would you mind telling me which of the following best describes the reason you do not want to do this study? ***[READ CHOICES. CHECK ALL that apply.]***

- You don't have time.....  1
- You don't want to talk about these topics.....  2
- Some other reason.....  3
- You'd rather not say why.....  9

Form Approved:  
OMB No. 0920-0770  
Expiration Date: 05/31/2014

## **National HIV Behavioral Surveillance System: Core Questionnaire**

### **MSM Cycle OMB Statement**

Public reporting burden of this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: CDC, Project Clearance Officer, 1600 Clifton Road, MS D-74, Atlanta, GA 30333, ATTN: PRA (0920-0770). Do not send the completed form to this address.

Form Approved:  
OMB No. 0920-0770  
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## **National HIV Behavioral Surveillance System: Core Questionnaire**

### **IDU Cycle OMB Statement**

Public reporting burden of this collection of information is estimated to average 54 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: CDC, Project Clearance Officer, 1600 Clifton Road, MS D-74, Atlanta, GA 30333, ATTN: PRA (0920-0770). Do not send the completed form to this address.

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## **National HIV Behavioral Surveillance System: Core Questionnaire**

### **HET Cycle OMB Statement**

Public reporting burden of this collection of information is estimated to average 39 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: CDC, Project Clearance Officer, 1600 Clifton Road, MS D-74, Atlanta, GA 30333, ATTN: PRA (0920-0770). Do not send the completed form to this address.

## National HIV Behavioral Surveillance System: Core Questionnaire

AUTO7. Time core questionnaire began: \_\_\_ \_\_:\_\_\_ \_\_: \_\_\_ \_\_ [Military time HH:MM:SS]

*If CYCLE=MSM, skip to MSM Core Intro.*

*If CYCLE=IDU, skip to IDU Core Intro.*

*If CYCLE=HET, skip to HET Core Intro.*

### NHBS-MSM Core Intro:

**SAY:** “Most people have never been in an interview like this one, so I’m going to describe how it works before we start. I will read you questions exactly as they are written. Some may sound awkward but I need to read them as worded so everyone in the study is asked the same questions. Some questions will ask you to recall if you did something, when you did it, or how often you did it. For others, I’ll read or show you a list of responses to choose from. Please be as accurate as you can.”

**Go to the Demographics Section.**

### NHBS-IDU Core Intro:

**SAY:** “Most people have never been in an interview like this one, so I’m going to describe how it works before we start. I will read you questions exactly as they are written. Some may sound awkward but I need to read them as worded so everyone in the study is asked the same questions. Some questions will ask you to recall if you did something, when you did it, or how often you did it. For others, I’ll read or show you a list of responses to choose from. Please be as accurate as you can.”

**Go to the Network Section**

### NHBS-HET Core Intro:

**SAY:** “Most people have never been in an interview like this one, so I’m going to describe how it works before we start. I will read you questions exactly as they are written. Some may sound awkward but I need to read them as worded so everyone in the study is asked the same questions. Some questions will ask you to recall if you did something, when you did it, or how often you did it. For others, I’ll read or show you a list of responses to choose from. Please be as accurate as you can.”

**Go to the Network Section**

**NETWORK (NS)**

*If Cycle=HET skip to HET Recruiter Relationship*

*If Cycle=IDU and R IS a seed (INT10=1), Go to IDU Network Size*

*If Cycle=HET and R IS a seed (INT10=1), Go to HET Network Size*

**Recruiter Relationship, NHBS-IDU**

**SAY:**

“I’m going to start by asking you about the person who gave you this coupon and about other people you know in [*project area*] who inject. Please remember that your answers will be kept private.”

NS-1. **[GIVE RESPONDENT FLASHCARD B.1.]** Which of the following describes how you know the person who gave you this coupon? You can choose more than one answer.

**[READ CHOICES. CHECK ALL that apply.]**

- A relative or family member .....  1
- A person you have sex with.....  2
- A person you use drugs with or buy drugs from .....  3
- A friend.....  4
- An acquaintance (that is, a person you know,  
but do not consider a friend).....  5
- A stranger (you don’t know the person/just met them...  6
- Refused to answer.....  77

***If NS-1 ≠ 6, go to IDU Network Size. Else, go to CONF4.***

**Recruiter Relationship, NHBS-HET**

**SAY:**

“I’m going to start by asking you about the person who gave you this coupon and about other people you know in [project area]. Please remember that your answers will be kept private.” [Go to NS-1a.]

NS-1a. **[GIVE RESPONDENT FLASHCARD B.2.]** Which of the following describes how you know the person who gave you this coupon? You can choose more than one answer. **[READ CHOICES. CHECK ALL that apply.]**

- A relative or family member.....  1
- A person you have sex with.....  2
- A friend .....  3
- An acquaintance (that is, a person you know, but do not consider a friend).....  4
- A stranger (you don’t know the person/just met them...  5
- Refused to answer.....  77

**If NS-1a ≠ 5, go to NS-3. Else, go to CONF4.**

**CONF4. Confirmation Message if recruiter = stranger:**

**IF NS-1 = 6 or NS-1a=5,**  
Where and when did you first see this person?

**Interviewer:**

**If the respondent indicates that they first saw the recruiter in a situation related to the project (e.g. receiving their coupon, waiting outside the storefront, etc.), then check “Recruiter is a stranger.”**

- Recruiter is a stranger..... 1 **If NHBS-IDU, go to NS-2. If NHBS-HET, go to NS-3.**
- Recruiter is not a stranger..... 2 **If NHBS-IDU, go to NS-1 and enter relationship. If NHBS-HET, go to NS-1a and enter relationship.**

## Network Size – NHBS-IDU

**SAY:** I'm going to start by asking you about people you know. Specifically, I'm going to ask you about how many people you know in *[insert project area]* who inject and whom you have seen in the past 30 days. Remember, we are only interested in those people you have seen in the past 30 days. I will not ask you any questions about any specific person.

NS-2. If *R IS a seed (INT10=1)*:

How many males in *[insert project area]* do you know who inject and whom you have seen in the past 30 days?

*[Refused= 7777, Don't Know= 9999]*    \_\_\_ \_\_\_ \_\_\_

If *R IS NOT a seed (INT10≠1)*:

How many males in *[insert project area]* do you know who inject and whom you have seen in the past 30 days? Please include the person who gave you the coupon if they are male.

*[Refused= 7777, Don't Know= 9999]*

NS-2a If *R IS a seed (INT10=1)*:

How many females in *[insert project area]* do you know who inject and whom you have seen in the past 30 days?

*[Refused= 7777, Don't Know= 9999]*    \_\_\_ \_\_\_ \_\_\_

If *R IS NOT a seed (INT10≠1)*:

How many females in *[insert project area]* do you know who inject and whom you have seen in the past 30 days? Please include the person who gave you the coupon if they are female.

*[Refused= 7777, Don't Know= 9999]*    \_\_\_ \_\_\_ \_\_\_

- NS-2b So in the past 30 days you've seen \_\_\_\_\_ *[insert sum of NS-2 and NS-2a, if NS-2=7777 or 9999, treat response as '0' in the summation, if NS-2a=7777 or 9999, treat as '0' in the summation]* people who you know inject and who live in *[insert project area]*.  
 Would you say that \_\_\_\_\_ *[insert sum of NS-2 and NS-2a]* people is about right?
- Yes, about right.....  0
- No, you actually know **less** people who inject.....  1
- No, you actually know **more** people who inject.....  2
- Refused to answer.....  7
- Don't know.....  9

**If NS-2b = 1 or 2: Go back to NS-2 (ask network size questions again)**  
**If NS-2b = 0 AND**  
*If sum of NS-2 and NS-2a > 3 AND < 7777 AND NS-2b = 0: Skip to Say Box before DM-1.*  
*If sum of NS-2 and NS-2a = 0: Go to CONF5.*  
*If sum of NS-2 and NS-2a > 0 AND sum of NS-2 and NS-2a < 4: Go to CONF6.*

**If NS-2 = 7777 or 9999: Skip to Say Box before DM-1**

CONF5.

**If overall network size is 0 (sum of NS-2 and NS-2a = 0),**

**ASK:** "You said you don't know anyone in *[project area]* who injects that you have seen in the past 30 days. Is this correct? Did you include the person who gave you the coupon?"

**If "NO" (R DOES know other injectors): go back to NS-2 (ask network questions again)**  
**If "YES" (R does NOT know any other injector): go to Say Box before DM-1**

CONF6.

**If overall network size is 1 – 3 (NS-2 and NS\_2a = 1, 2, OR 3)**

**ASK:** "Is there anyone else you know in *[project area]* who injects that you have seen in the past 30 days? Did you include the person who gave you the coupon?"

**If 'NO,' (respondent does NOT know any other injectors): Go to Say Box before DM-1**  
**If 'YES', (respondent DOES know more injectors): Go back to NS-2**  
**-Ask network size questions again.**  
**-Enter the correct network size.**

**Skip to Say Box before DM-1.**

## Network Size – NHBS-HET

**SAY:** I'm going to start by asking you about people you know. Specifically, I'm going to ask you about how many people you know in *[insert project area]* who you have seen in the past 30 days. Remember, we are only interested in those people you have seen in the past 30 days. I will not ask you any questions about any specific person.

**[GIVE RESPONDENT FLASHCARD C]**

NS-3. If *R IS a seed (INT10=1)*:

Please tell me how many male friends, relatives or people you associate with have you seen in the past 30 days, who are at least 18 years old, and live in *[insert project area]*.

**[Refused= 7777, Don't Know= 9999]**    \_\_\_ \_\_\_ \_\_\_

If *R IS NOT a seed (INT10≠1)*:

How many male friends, relatives, or people you associate with have you seen in the past 30 days, who are at least 18 years old, and live in *[insert project area]*? Please include the person who gave you the coupon if they are male.

**[Refused= 7777, Don't Know= 9999]**    \_\_\_ \_\_\_ \_\_\_

NS-3a If *R IS a seed (INT10=1)*:

How many female friends, relatives, or people you associate with have you seen in the past 30 days, who are at least 18 years old, and live in *[insert project area]*?

**[Refused= 7777, Don't Know= 9999]**    \_\_\_ \_\_\_ \_\_\_

If *R IS NOT a seed (INT10≠1)*:

How many female friends, relatives, or people you associate with have you seen in the past 30 days, who are at least 18 years old, and live in *[insert project area]*? Please include the person who gave you the coupon if they are female.

**[Refused= 7777, Don't Know= 9999]**    \_\_\_ \_\_\_ \_\_\_

NS-3b So in the past 30 days you've seen \_\_\_\_\_ *[insert sum of NS-2 and NS-2a, if NS-3=7777 or 9999, treat response as '0' in the summation, if NS-3a=7777 or 9999, treat as '0' in the summation]* friends, relatives, or people you associate with that live in *[insert project area]* and are at least 18 years old. Would you say that \_\_\_\_\_ *[insert sum of NS-2 and NS-2a]* people is about right?

- Yes, about right.....  0
- No, you actually know **less** people.....  1
- No, you actually know **more** people.....  2
- Refused to answer.....  7
- Don't know.....  9

**If NS-3b = 1 or 2: Go back to NS-2 (ask network size questions again)**  
**If NS-3b = 0 AND**  
*If sum of NS-3 and NS-3a > 3 AND < 7777 AND NS-3b = 0: Skip to Say Box before DM-1.*  
*If sum of NS-3 and NS-3a = 0: Go to CONF7.*  
*If sum of NS-3 and NS-3a > 0 AND sum of NS-3 and NS-3a < 4: Go to CONF8.*  
**If NS-3b = 7777 or 9999: Skip to Say Box before DM-1**

CONF7.

**IF overall network size is 0 (sum of NS-3 and NS-3a = 0),**

**ASK:** “You said you haven’t seen anyone in the past 30 days in *[insert project area]* who is a friend, relative, or someone you associate with who is at least 18 years old. Is this correct? Did you include the person who gave you the coupon?”

**If ‘No’:** (R DOES know others) go back to NS-3 (ask network questions again)  
**If ‘Yes’:** (R Does NOT know any others) go to Say Box before DM-1.

CONF8.

**IF overall network size is 1 – 3 (sum of NS-3 and NS-3a = 1, 2, OR 3)**

**ASK:** “Is there anyone else you know in *[insert project area]* who is a friend, relative, or someone you associate with who is at least 18 years old who you’ve seen in the past 30 days? Did you include the person who gave you the coupon?”

**If ‘NO’ (R Does NOT know any others): go to Say Box before DM-1**

**If ‘YES’ (R DOES know others): Go back to NS-3**  
 -Ask network size questions again  
 -Enter the correct network size.

**Skip to Say Box before DM-1.**

# National HIV Behavioral Surveillance System: Core Questionnaire

## Demographics (DM)

**SAY:** [If NHBS-MSM, insert "I'd like to start by asking"; otherwise, insert "Next, I'd like to ask you"] some questions about where you live. Please remember your answers will be kept private."

- DM-1. In the past 12 months, that is, since <interview month> of last year, have you been homeless at any time? By homeless, I mean you were living on the street, in a shelter, in a Single Room Occupancy hotel (SRO) , or in a car.
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If NHBS-MSM or NHBS-IDU and DM-1 in (0, 7, 9), skip to DM-2.**

**If NHBS-HET and DM-1 in (0, 7, 9), skip to DM-3.**

- DM-1a. Are you currently homeless?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If NHBS-HET, skip to DM-3.**

- DM-2. What zip code do you live in?  
**[Refused = 77777, Don't know = 99999]**    \_ \_ \_ \_ \_

- DM-3. Next, I would like to ask you some questions about your background. **What country were you born in? [DO NOT read choices. Check only ONE.]**
- United States.....  1
- Mexico.....  2
- Puerto Rico.....  3
- Cuba.....  4
- Other (*Specify* \_\_\_\_\_).....  5
- Refused to answer.....  77
- Don't know.....  99

**For NHBS-MSM:**

**If DM-3 in (1, 77, 99), skip to DM-5.  
If CITY= San Juan, PR, and DM3=3, skip to DM-5.**

**For NHBS-IDU and NHBS-HET:**

**If DM-3 in (1, 77, 99), skip to DM-4.  
If CITY= San Juan, PR, and DM3=3, skip to DM-4.**

DM-3a. What year did you first come to live in the United States?

[7777 = Refused, 9999 = Don't know]

(Y Y Y Y)

DM-3b. What language are you most comfortable using with your family and friends? **DO NOT READ CHOICES. CHECK ONLY ONE.**

- English.....  1
- Spanish .....  2
- Chinese.....  3
- Tagalog .....  4
- Korean .....  5
- Portuguese.....  6
- Other (*Specify:* \_\_\_\_\_) .....  7
- Refused to answer.....  77
- Don't know .....  99

**For NHBS-MSM, skip to DM-5**

**For NHBS-IDU AND NHBS-HET, ask DM-4 through DM-4a**

DM-4. What is your current marital status?

**[READ CHOICES. CHECK only ONE.]**

- Married.....  1
- Living together as married.....  2
- Separated.....  3
- Divorced.....  4
- Widowed.....  5
- Never married.....  6
- Refused to answer.....  7
- Don't know.....  9

**If DM-4= 2, ask DM-4a. Otherwise, skip to DM-5.**

DM-4a. Is your formal marital status separated, divorced, widowed, or never married?

- Separated.....  1
- Divorced.....  2
- Widowed.....  3
- Never married.....  4
- Refused to answer.....  7
- Don't know.....  9

DM-5. What is the highest level of education you completed?

**[DO NOT read choices. CHECK only ONE.]**

- Never attended school.....  00
- Grades 1 through 8.....  01
- Grades 9 through 11.....  02
- Grades 12 or GED.....  03
- Some college, Associate's Degree, or Technical Degree.....  04
- Bachelor's Degree.....  05
- Any post graduate studies .....  06
- Refused to answer.....  77
- Don't know.....  99

DM-6. What best describes your employment status? Are you: **[READ CHOICES. CHECK only ONE.]**

- Employed full-time.....  01
- Employed part-time.....  02
- A homemaker.....  03
- A full-time student.....  04
- Retired.....  05
- Unable to work for health reasons.....  06
- Unemployed.....  07
- Other.....  08
- Refused to answer.....  77
- Don't know.....  99

**For Respondents who are not currently homeless (DM-1=0 OR DM-1a=0): Say:** Next I'd like to ask you some questions about your household income. By "household income," I mean the total amount of money earned and shared by all people living in your household.

**For Respondents who are currently homeless (DM-1a=1): Say:** Next I'd like to ask you some questions about your income. By "income," I mean the total amount of money you earn or receive. This includes money other people share with you.

DM-7. What was your *[insert household income if DM-1=0 OR DM-1a=0; insert income if DM-1a=1]* last year from all sources before taxes?

**GIVE RESPONDENT FLASHCARD E. DO NOT read choices.**

**SAY:** Please take a look at this card and tell me the letter that best corresponds to your monthly or yearly income.

Monthly Income	Yearly Income	
a. 0 to \$417.....	a. 0 to \$4,999.....	<input type="checkbox"/> 00
b. \$418 to \$833.....	b. \$5,000 to \$9,999.....	<input type="checkbox"/> 01
c. \$834 to \$1041.....	c. \$10,000 to \$12,499.....	<input type="checkbox"/> 02
d. \$1042 to \$1250.....	d. \$12,500 to \$14,999.....	<input type="checkbox"/> 03
e. \$1251 to \$1667.....	e. \$15,000 to \$19,999.....	<input type="checkbox"/> 04
f. \$1668 to \$2082.....	f. \$20,000 to \$24,999.....	<input type="checkbox"/> 05
g. \$2083 to \$2500.....	g. \$25,000 to \$29,999.....	<input type="checkbox"/> 06
h. \$2501 to \$2916.....	h. \$30,000 to \$34,999.....	<input type="checkbox"/> 07
i. \$2917 to \$3333.....	i. \$35,000 to \$39,999.....	<input type="checkbox"/> 08
j. \$3334 to \$4167.....	j. \$40,000 to \$49,999.....	<input type="checkbox"/> 09
k. \$4168 to \$4999.....	k. \$50,000 to \$59,999.....	<input type="checkbox"/> 10
l. \$5000 to \$6,250.....	l. \$60,000 to \$74,999.....	<input type="checkbox"/> 11
m. \$6251 or more.....	m. \$75,000 or more.....	<input type="checkbox"/> 12
Refused to answer.....		<input type="checkbox"/> 77
Don't know.....		<input type="checkbox"/> 99

} **Skip to DM-8**

DM-7a. Including yourself, how many people depended on this income? **[MUST BE AT LEAST 1.]**

**[Refused = 77, Don't know = 99]**    \_\_\_

**SAY:** The next questions are about health insurance. By health insurance, we mean health plans people get through employment or purchased directly as well as government programs like Medicare and Medicaid that provide medical care or help pay medical bills.

- DM-8. Do you currently have health insurance or health care coverage?
- No.....  0 *Skip to DM-8b*
- Yes.....  1
- Refused to answer.....  7 } *Skip to DM-8b*
- Don't know.....  9 }

- DM-8a. *[Give participant Flashcard F.]* What kind of health insurance or coverage do you currently have? *[READ choices. Check ALL that apply.]*
- A private health plan (through an employer or purchased directly) .....  01
- Medicaid (for people with low incomes).....  02
- Medicare (for the elderly and people with disabilities).....  03
- Some other government plan .....  04
- TRICARE (CHAMPUS).....  05
- Veterans Administration coverage.....  06
- Some other health care plan (*Specify* \_\_\_\_\_).....  07
- Refused to answer.....  77
- Don't know.....  99

- DM-8b. Is there a place that you **usually** go when you are sick or you need advice about your health? Do not include internet websites or talking with people who are not health care providers.
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If DM-8b=7 or 9, skip to DM-9**

- DM-8b.1. Is this because there is no place you go for health care or because there is more than one place?
- There is **no** place.....  1
- There is **more than one** place.....  2
- Refused to answer.....  7
- Don't know.....  9

**If DM-8b.1 =1, 7, or 9, skip to DM-9.**

DM-8c. What kind of place [if DM-8b=1, fill “is it?”; else fill “do you go to most often”] - a clinic, doctor's office, emergency room, or some other place?

- Clinic or health center.....  1
- Doctor's office or HMO.....  2
- Hospital emergency room.....  3
- Some other place.....  4
- Doesn't go to one place most often.....  5
- Refused to answer.....  7
- Don't know.....  9

DM-9. In the past 12 months, that is, since <interview month> of last year, have you seen a doctor, nurse, or other health care provider?

- No.....  0 **Skip to DM-9b**
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9 } **Skip to DM-9b**

DM-9a. At any of those times you were seen, were you offered an HIV test? An HIV test checks whether someone has the virus that causes AIDS.

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**Skip to DM-9c.**

DM-9b. About how long has it been since you last saw a doctor, nurse, or other health care provider about your own health? Would you say it was...[READ CHOICES. CHECK only ONE.]

- Within the past 5 years.....  1
- More than 5 years ago.....  2
- Refused to answer.....  7
- Don't know.....  9

DM-9c. During the past 12 months, was there any time when you needed medical care but didn't get it because you couldn't afford it?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

DM-10. Do you consider yourself to be: *[READ CHOICES. CHECK only ONE.]*

- Heterosexual or "Straight".....  1
- Homosexual, Gay, or Lesbian.....  2
- Bisexual.....  3
- Refused to answer.....  7
- Don't know.....  9

***If Respondent is male (ES9=1) and DM-10 = 2 or 3, ask DM-10a. Otherwise, skip to Say Box before SX-1.***

DM-10a. Have you ever told anyone that you are attracted to or have sex with men?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If DM-10a in (0, 7, 9), skip to DM-11.***

DM-10b. I'm going to read you a list of people you may have told. Please tell me which ones apply. Have you told: **[READ CHOICES, CHECK NO OR YES FOR EACH ONE.]**

	No	Yes	Refused to answer	Does not Apply	Don't know
1. Gay, lesbian, or bisexual friends .....	<input type="checkbox"/> 0...	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7....	<input type="checkbox"/> 8....	<input type="checkbox"/> 9
2. Friends who are not gay, lesbian, or bisexual.....	<input type="checkbox"/> 0...	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7....	<input type="checkbox"/> 8....	<input type="checkbox"/> 9
3. Family members.....	<input type="checkbox"/> 0...	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....		<input type="checkbox"/> 9

**FOR NHBS-IDU AND NHBS-HET: ASK DM-10b.4**

4. Spouse or partner.....	<input type="checkbox"/> 0...	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7....	<input type="checkbox"/> 8....	<input type="checkbox"/> 9
5. Health care provider.....	<input type="checkbox"/> 0...	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7....	<input type="checkbox"/> 8....	<input type="checkbox"/> 9

DM-11. During the past 12 months, have any of the following things happened to you because someone knew or assumed you were attracted to men? **[READ CHOICES, CHECK NO OR YES FOR EACH ONE.]**

	No	Yes	Refused to answer	Does not apply	Don't know
a. You were called names or insulted	0	1	7		9
b. You received poorer services than other people in restaurants, stores, other businesses or agencies	0	1	7		9
c. You were treated unfairly at work or school	0	1	7	8	9
d. You were denied or given lower quality health care	0	1	7	8	9
e. You were physically attacked or injured	0	1	7		9

DM-12. **[Give participant Flashcard G.]** Next, I'm going to read you a statement. Please tell me how strongly you agree or disagree with it, using one of the options on this card. **Most people in [insert project area] are tolerant of gays and bisexuals. Do you...[READ choices. CHECK only ONE.]**

Strongly agree.....	<input type="checkbox"/> 01
Agree.....	<input type="checkbox"/> 02
Neither agree nor disagree.....	<input type="checkbox"/> 03
Disagree.....	<input type="checkbox"/> 04
Strongly disagree.....	<input type="checkbox"/> 05
Refused to answer.....	<input type="checkbox"/> 07
Don't know.....	<input type="checkbox"/> 09

**SEXUAL BEHAVIOR (SX)**

*If Cycle=MSM and ES9a in (0, 7, 9), skip to the male sex partner section.*

*If ES9 =2, skip to the FOR FEMALE RESPONDENTS ONLY section*

*If ES9 = 3, 7, or 9, skip to the ALCOHOL section*

**FOR MALE RESPONDENTS ONLY**  
**Female Sex Partners (Male respondent)**

**SAY:** Next, I'm going to ask you some questions about having sex. Please remember your answers will be kept private. **GIVE RESPONDENT FLASHCARD H.1**

For these questions, "having sex" means *oral, vaginal, or anal sex*. *Oral sex means mouth on the* vagina or penis; vaginal sex means penis in the vagina; and anal sex means penis in the anus (butt). I need to ask you all the questions, even if some may not apply to your situation.

**Interviewer:** Use your discretion in using slang terms for the following sexual behavior questions.

*If Cycle=MSM or Cycle=HET, skip to SX-2.*

- SX-1. Have you ever had vaginal or anal sex with a woman?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

*If SX-1 in (0, 7, 9), skip to the male sex partner section.*

- SX-2. How old were you the first time you had vaginal or anal sex with a woman?

*[77 = Refused, 99 = Don't know, 88=Not Applicable]    \_ \_*

*If SX-2=88, skip to CONF13a.*

CONF13a. Het sex confirmation – male participants

**If SX-2=88, display:**

“Interviewer, you have indicated that the participant has never had vaginal or anal sex with a woman. Is this correct?”

- No.....  0  
Yes.....  1

**If No, go back to SX-2.**

**If Yes and NHBS-HET, skip to END of Questionnaire.**

**If Yes and NHBS-MSM or NHBS-IDU, skip to Say Box before SX-26.**

SX-3. In the past 12 months, that is, since <interview month> of last year, with how many different women have you had oral, vaginal, or anal sex?

**[Refused = 7777, Don't know = 9999]** \_\_\_\_\_

**NHBS-MSM & NHBS-IDU Skip Pattern for # of Female Sex Partners:**

**If SX-3 =1: Ask SX-4a. (RT column)**

**If SX-3 > 1: Ask SX-4. (LT column)**

**If SX-3 = 0, 7777, or 9999: Go to the male sex partner section**

**NHBS-HET Skip Pattern for # of Female Sex Partners:**

**If SX-3 =1: Ask SX-4a. (RT column)**

**If SX-3 > 1: Ask SX-4. (LT column)**

**If SX-3 = 0, 7777, or 9999: Go to CONF13.**

**CONF-13b. Sex partner confirmation (NHBS-HET):**

**If SX-3=0, 7777, or 9999, read:**

***I would like to clarify your response. You indicated that you haven't had sex with a woman in the past 12 months. Is that correct?***

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If NO (NOT correct), go to SX-3 (ask it again)***

***If YES, (correct), Refused, or Don't know, go to END of Questionnaire.***

<b>FOR MULTIPLE FEMALE SEX PARTNERS</b> [Read Say Box and Questions in this column]			<b>FOR ONE FEMALE SEX PARTNER</b> [Read Say Box and Question in this column]
<p><b>SAY:</b> Now I'm going to ask you to describe these sex partners as either main or casual partners. <b>[GIVE RESPONDENT FLASHCARD I]</b></p> <p>By "main partner" I mean a woman you have sex with and who you feel committed to above anyone else. This is a partner you would call your girlfriend, wife, significant other, or life partner. And by "casual partner" I mean a woman you have sex with but do not feel committed to or don't know very well.  <b>Refused = 7777, Don't know = 9999</b></p>			<p><b>SAY:</b> Now I'm going to ask you to describe this sex partner as either a main or casual, partner. <b>[GIVE RESPONDENT FLASHCARD I]</b></p> <p>By "main partner" I mean a woman you have sex with and who you feel committed to above anyone else. This is a partner you would call your girlfriend, wife, significant other, or life partner. And by "casual partner" I mean a woman you have sex with but do not feel committed to or don't know very well.</p>
Question	Response	Skip Pattern	Question
SX-4. Of the _____ [insert number from SX-3] women you've had oral, vaginal, or anal sex with in the past 12 months, how many of them were main partners?	[ ]	<b><i>If SX-4= SX-3, skip to Multiple main female partners</i></b>	SX 4a. Was this woman a main partner or a casual partner?
SX-5. How many were casual partners?	[ ]		Main partner..... <input type="checkbox"/> 1 <i>Skip to One main female partner</i> Casual partner..... <input type="checkbox"/> 2 <i>Skip to One casual female partner</i> Refused to answer.. <input type="checkbox"/> 7 Don't know..... <input type="checkbox"/> 9 } <i>Skip to SX-8</i>

**Skip Pattern for Multiple Female Sex Partners:**

***If SX-4 ≠ 0, 7777, or 9999:***

***Go to Multiple main female partners.***

***Otherwise, if SX-5 ≠ 0, 7777, or 9999:***

***Go to Multiple casual female partners.***

**MAIN PARTNERS**

<b>MULTIPLE MAIN FEMALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE MAIN FEMALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<i>SAY:</i> Now I'm going to ask you about the _____ <i>[insert number from SX-4]</i> female main sex partners you had in the past 12 months.			<i>SAY:</i> Now I'm going to ask you about the female main sex partner you had in the past 12 months.		
<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>	<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>
SX-6a. Of your _____ <i>[insert number from SX-4]</i> female main partners in the past 12 months, with how many did you have vaginal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-6c.</i>  <i>If 1 skip to SX-6b (one).</i>	SX-6a. In the past 12 months, did you have vaginal sex with this woman?	[_____]	<i>If 0, 7, or 9, skip to SX-6c.</i>
SX-6b. In the past 12 months, with how many of these _____ <i>[insert number from SX-6a]</i> women did you have vaginal sex without using a condom?	[_____]		SX-6b. In the past 12 months, did you have vaginal sex with her without using a condom?	[_____]	<i>If SX-4 &gt; 1 skip to SX-6c(multi).</i>
SX-6c. Of your _____ <i>[insert number from SX-4]</i> female main partners in the past 12 months, with how many did you have anal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-6e.</i>  <i>If 1 skip to SX-6d (one).</i>	SX-6c. In the past 12 months, did you have anal sex with this woman?	[_____]	<i>If 0, 7, or 9, skip to SX-6e.</i>
SX-6d. In the past 12 months, with how many of these _____ <i>[insert number from SX-6c]</i> women did you have anal sex without using a condom?	[_____]		SX 6d. In the past 12 months, did you have anal sex with her without using a condom?	[_____]	<i>If SX-4 &gt; 1 skip to SX-6e (multi).</i>
SX6e. Of your _____ <i>[insert number from SX-4]</i> female main partners, how many did you have sex with <u>for the very first time</u> in the past 12 months?	[_____]		SX-6e. Think about the very first time you had sex with this woman. Was it within the past 12 months?	[_____]	
SX-6f. Of your _____ <i>[insert number from SX-4]</i> female main partners in the past 12 months, how many <u>did you give</u> things like money or drugs in exchange for sex?			SX-6f. In the past 12 months, did <u>you give</u> this woman things like money or drugs in exchange for sex?		
SX-6g. Of your _____ <i>[insert number from SX-4]</i> female main partners in the past 12 months, how many <u>gave you</u> things like money or drugs in exchange for sex?			SX-6g. In the past 12 months, did this woman <u>give you</u> things like money or drugs in exchange for sex?		

**If SX-4 = SX-3: Skip to All Female Partners**

**If SX-4a=1: Skip to Last Female Partner section**

**If SX-5=0, 7777, or 9999 Skip to All Female Partners section**

**If SX-5=1 skip to One casual female partners section**

**If SX-5 >1 skip to Multiple casual female partners section**

### CASUAL PARTNERS

<b>MULTIPLE CASUAL FEMALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE CASUAL FEMALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<b>SAY:</b> Now I'm going to ask you about the _____ [insert number from SX-5] female casual sex partners you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.			<b>SAY:</b> Now I'm going to ask you about the female casual sex partner you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.		
<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>	<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>
SX-7a. Of your _____ [insert number from SX-5] female casual partners in the past 12 months, with how many did you have vaginal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-7c.</i>  <i>If 1 skip to SX-7b (one).</i>	SX-7a. In the past 12 months, did you have vaginal sex with this woman?	[_____]	<i>If 0, 7, or 9, skip to SX-7c</i>
SX-7b. In the past 12 months, with how many of these _____ [insert number from SX-7a] women did you have vaginal sex without using a condom?	[_____]		SX-7b. In the past 12 months, did you have vaginal sex with her without using a condom?	[_____]	<i>If SX-5 &gt;1 skip to SX-7c(multi).</i>
SX-7c. Of your _____ [insert number from SX-5] female casual partners in the past 12 months, with how many did you have anal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-7e.</i>  <i>If 1 skip to SX-7d (one).</i>	SX-7c. In the past 12 months, did you have anal sex with this woman?	[_____]	<i>If 0, 7, or 9, skip to SX-7e.</i>
SX-7d. In the past 12 months, with how many of these _____ [insert number from SX-7c] women did you have anal sex without using a condom?	[_____]		SX-7d. In the past 12 months did you have anal sex with her without using a condom?	[_____]	<i>If SX-5 &gt;1 skip to SX-7e(multi).</i>

<b>MULTIPLE CASUAL FEMALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>		<b>ONE CASUAL FEMALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>	
SX-7e. Of your _____ [insert number from SX-5] female casual partners, how many did you have sex with <u>for the very first time</u> in the past 12 months?	[_____]	SX-7e. Think about the very first time you had sex with this woman. Was it within the past 12 months?	[_____]
SX-7f. Of your _____ [insert number from SX-5] female casual partners in the past 12 months, how many <u>did you give things</u> like money or drugs in exchange for sex?		SX-7f. In the past 12 months, did <u>you give</u> this woman things like money or drugs in exchange for sex?	
SX-7g. Of your _____ [insert number from SX-5] female casual partners in the past 12 months, how many <u>gave you things</u> like money or drugs in exchange for sex?		SX-7g. In the past 12 months, did this woman <u>give you</u> things like money or drugs in exchange for sex?	

**ALL FEMALE PARTNERS**

***If SX-3=1 and SX4a ≠ 7 OR 9, skip to LAST FEMALE PARTNER.***

SX-8. In the past **12 months**, that is, since < interview month> of last year, did you have vaginal or anal sex without a condom with a woman whose HIV status you didn't know?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX-8a . In the past **12 months** did you have vaginal or anal sex without a condom with a woman who was HIV negative?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX-8b . In the past **12 months**, did you have vaginal or anal sex without a condom with a woman who was HIV positive?

- No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

### Last Female Partner

SX-9. Now I would like you to think about the last time you had sex with a woman. When was the last time you had oral, vaginal, or anal sex with a woman? Just tell me the month and year.

[77/7777 = Refused, 99/9999 = Don't know]

(M M / Y Y Y Y)

**If SX-9 = 77/7777 or 99/9999, go to CONF14.**

**CONF14. INTERVIEWER, ask:**

**Did you have sex with a woman in the past 12 months, that is, since &[AGO\_1Y]?**

No.....  0  
 Yes.....  1  
 Don't know.....  9  
 Refuse to answer.....  7

*If CONF14 = 0 Loop back to SX-3*  
*If CONF14 = (7,9) skip to SX-26*

**Skip Pattern:**  
**If SX-3 =1: Go to Logic check before SX-11.**  
**Otherwise, if SX-3 > 1: Ask SX-10.**

SX-10 . **[GIVE RESPONDENT FLASHCARD I].** Was the woman you had sex with that last time a main partner or a casual partner? Remember, a main sex partner is someone you feel committed to above anyone else. And a casual sex partner is someone you do not feel committed to or don't know very well.

- Main sex partner.....  1  
 Casual sex partner.....  2  
 Refused to answer.....  7

Don't know.....  9

***If participant had only one female partner and reported NO exchange with only female partner, skip to SX-12.***

***If last female partner was main (SX-10=1), and participant reported NO exchange sex with any female main partners (both SX-6f and SX-6g= 0), skip to SX-12.***

***If last female partner was casual (SX-10=2) and participant reported NO exchange sex with any female casual partners (SX-7f and SX-7g = 0), skip to SX-12.***

SX-11. When you had sex that last time, did you give her things like money or drugs in exchange for sex?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX-11a. When you had sex that last time, did she give you things like money or drugs in exchange for sex?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX-12. When you had sex that last time, did you have vaginal sex?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX13. During vaginal sex that last time, did you or your partner use a condom?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

SX-13a. Did you or your partner use the condom the whole time?

No.....  0

- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-14. Did you or your partner use the condom to prevent pregnancy, to prevent infections like HIV or other sexually transmitted diseases, to prevent both, or for some other reason?

- Pregnancy .....  1
- HIV/STDs.....  2
- Both.....  3
- Other reason.....  4
- Refused to answer.....  7
- Don't know.....  9

***If participant did not report anal sex with only female partner or did not report anal sex with any female partners of the type identified for last female partner, skip to SX-17.***

SX-15. When you had sex that last time, did you have anal sex?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If SX-15 in (0, 7, 9), skip to CONF15.***

SX-16. During anal sex that last time, did you use a condom?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If SX-16 in (0, 7, 9), skip to SX-17.***

SX-16a. Did you use the condom the whole time?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**CONF-15 Confirmation Message: Ask the following if SX-12 and SX-15 = 0:**

**"So this means you only had oral sex the last time you had sex?"  
If participant says "No," go back to SX-12.**

SX-17. Before or during the last time you had sex with this partner, did you use:  
**[READ CHOICES. CHECK only ONE.]**

- Alcohol.....  1
- Drugs.....  2
- Both alcohol and drugs.....  3
- Neither one.....  4
- Refused to answer.....  7
- Don't know.....  9

**If SX-17 in (1, 4, 7, 9), skip to SX-18.**

SX-17a. Which drugs did you use? **[DO NOT read choices. CHECK ALL that apply.]**

- Marijuana .....  1
- Speedballs (heroin and cocaine together) .....  2
- Heroin .....  3
- Crack cocaine.....  4
- Powdered cocaine .....  5
- Crystal meth (tina, crank, ice) .....  6
- X or Ecstasy .....  7
- Special K (ketamine) .....  8
- GHB .....  9
- Painkillers (Oxycontin, Vicodin, Percocet) .....  10
- Downers (Valium, Ativan, Xanax) .....  11
- Hallucinogens (LSD, mushrooms) .....  12
- Poppers .....  13
- Other drug .....  14
- Refused to answer.....  77
- Don't know.....  99



SX-18. The last time you had sex with this partner, did you know her HIV status?

- No.....  0 *Skip to SX-19*  
Yes.....  1  
Refused to answer.....  7 *Skip to SX-19*

SX-18a. What was her HIV status?

- HIV-negative.....  1  
HIV-positive.....  2  
Indeterminate.....  3  
Refused to answer.....  7

SX-19. Was this partner younger than you, older than you, or the same age as you?

- Younger .....  0  
Older .....  1  
Same age .....  2  
Refused to answer.....  7  
Don't know.....  9

***If SX-19 in (0, 2, 7, 9), skip to SX-19b.***

SX-19a. What was her age? \_\_\_\_\_ *[777 = Refused, 999 = Don't know]*

SX-19b. Which of the following best describes her racial or ethnic background? *[READ choices. Choose one.]*

- American Indian or Alaska Native.....  1  
Asian .....  2  
Black or African American .....  3  
Hispanic or Latino.....  4  
Native Hawaiian or Other Pacific Islander.....  5  
White.....  6  
Refused to answer.....  7  
Don't know.....  9

SX-20. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, has this partner ever injected drugs like heroin, cocaine, or speed?

Would you say she: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-21. As far as you know, has this partner ever used crack cocaine?

Would you say she: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-22. As far as you know, has this partner ever been in prison or jail for more than 24 hours?

Would you say she: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-23. How long have you been having a sexual relationship with this partner? (Please tell me how many days, months, or years). **[Interviewer: If "one night stand," enter 0]**

# of Days:    \_\_\_ \_\_\_

# of Months:  \_\_\_ \_\_\_

# of Years:    \_\_\_ \_\_\_

**[Refused = 777, Don't know = 999]**

**If SX-23 > 12 months, skip to SX-25**  
**If SX-23=0, skip to the male sex partners section.**

SX-24. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, during the time you were having a sexual relationship with this partner, did she have sex with other people? Would you say she: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-24a. During the time you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If SX-23 ≤ 12 months, skip to the male sex partner section**

SX-25. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, during the past 12 months when you were having a sexual relationship with this partner, did she have sex with other people? Would you say she: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-25a. During the past 12 months when you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

## Male Sex Partners (Male respondent)

**SAY:** Now I'm going to ask you some questions about having sex with other men. I need to ask you these questions even if some don't apply to you. Please remember your answers will be kept private. **[GIVE RESPONDENT FLASHCARD H.2]**

For these questions, "having sex" means oral or anal sex. Oral sex means he put his mouth on your penis or you put your mouth on his penis. Anal sex means you put your penis in his anus (butt) or he put his penis in your anus (butt).

**If Cycle=MSM, skip to SX-27.**

SX-26. Have you ever had oral or anal sex with a man?

- No.....  0 *Skip to alcohol use history section*
- Yes.....  1
- Refused to answer.....  7 *Skip to alcohol use history section*
- Don't know.....  9 *Skip to alcohol use history section*

SX-27. How old were you the first time you had oral or anal sex with a man?

*[77 = Refused, 99 = Don't know, 88=Not Applicable]*      \_ \_

**If SX-27=88, skip to CONF15b.**

CONF15b. MSM sex confirmation

**If SX-27=88, display:** "Interviewer, you have indicated that the participant said he never had either oral or anal sex with a man. Is this correct?"

- No.....  0
- Yes.....  1

**If No, go back to SX-27.**

**If Yes and Cycle=MSM, skip to END Section.**

**If Yes and Cycle=-IDU or Cycle=HET, skip to the alcohol history use section.**

SX-28. In the past 12 months, that is, since *<interview month>* of last year, with how many different men have you had oral or anal sex?

*[Refused = 7777, Don't know = 9999]*      \_ \_ \_ \_

**If SX-28 ≥ 1 and SX-28 < 7777, skip to SX-29.**

**If SX-28 = 0, ask SX-28a, then skip to the venue attendance section.**

SX-28a. Think about the last time you had either oral or anal sex with a man. How many years ago was that?

*[Refused = 7777, Don't know = 9999]*      \_ \_ \_ \_ *Range: 1-99*

**Skip Pattern for # of Male Sexual Partners: If SX-28 =1, ask SX-29a. Otherwise, ask SX-29.**

<b>FOR MULTIPLE MALE PARTNERS</b> [Read Say Box and Questions in this column]			<b>FOR ONE MALE PARTNER</b> [Read Say Box and Question in this column]
<p><b>SAY:</b> Now I'm going to ask you to describe these sex partners as either main or casual partners. <b>[GIVE RESPONDENT FLASHCARD J]</b></p> <p>By “main partner” I mean a man you have sex with and who you feel committed to above anyone else. This is a partner you would call your boyfriend, husband, significant other, or life partner. And by “casual partner” I mean a man you have sex with but do not feel committed to or don't know very well.</p> <p><b>Refused = 7777, Don't know = 9999</b></p>			<p><b>SAY:</b> Now I'm going to ask you to describe this sex partner as either main or casual partners. <b>[GIVE RESPONDENT FLASHCARD J]</b></p> <p>By “main partner” I mean a man you have sex with and who you feel committed to above anyone else. This is a partner you would call your boyfriend, husband, significant other, or life partner. And by “casual partner” I mean a man you have sex with but do not feel committed to or don't know very well.</p>
Question	Response	Skip Pattern	Question
SX-29. Of the _____ [insert number from SX-28] men you've had oral or anal sex with in the past 12 months, how many of them were main partners?	[ ]	If SX-29 = SX-28, skip to Multiple main male partners.	SX-29a. Was this man a main partner or a casual partner?
SX-30. How many were casual partners?	[ ]		Main partner..... <input type="checkbox"/> 1 → Skip to One main male partner Casual partner..... <input type="checkbox"/> 2 → Skip to One casual male partner Refused to answer.... <input type="checkbox"/> 7 } Don't know..... <input type="checkbox"/> 9 } Last male partner section

**Skip Pattern For Multiple Male Partners:**  
**If SX-29 is not equal to 0, 7777, or 9999, go to Multiple main male partners.**  
**Otherwise, if SX-30 is not equal to 0, 7777, or 9999, go to Multiple casual partners.**

**MAIN MALE PARTNERS**

<b>MULTIPLE MAIN MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE MAIN MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<b>SAY:</b> Now I'm going to ask you about the _____ <i>[insert number from SX-29]</i> male main sex partners you had in the past 12 months.			<b>SAY:</b> Now I'm going to ask you about the male main sex partner you had in the past 12 months.		
<b>Question</b>	<b>Response</b>	<b>Skip Pattern</b>	<b>Question</b>	<b>Response</b>	<b>Skip Pattern</b>
SX-31a. Of your _____ <i>[insert number from SX-29]</i> male main partners in the past 12 months, with how many did you have anal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-31c. If 1, skip to SX-31b single.</i>	SX-31a. In the past 12 months, did you have anal sex with this man?	[_____]	<i>If 0, 7, or 9, skip to SX-31c.</i>
SX-31b. In the past 12 months, with how many of these _____ <i>[insert number from SX-31a]</i> men did you have anal sex without using a condom?	[_____]	<i>If 1, skip to SX-31b.1 single.</i>	SX-31b. In the past 12 months, did you have anal sex with him without using a condom?	[_____]	<i>If 0, 7, or 9 and SX-29&gt;1, skip to SX-31c multi.</i>
SX-31b.1. Did you know the HIV status of any of these _____ <i>[insert number from SX-31b]</i> men?	0 = no 1 = yes 7 = Ref	<i>If 0 or 7, skip to SX-31c</i>	SX-31b.1. Did you know his HIV status?	0 = no 1 = yes 7 = Ref	<i>If 0 or 7, skip to SX-31c</i>
SX-31b.2. For how many of these men did you know their HIV status?	[_____]	<i>If 1, ask single partner version of SX-31b.2.</i>	SX-31b.2. What was his HIV status?	HIV-positive...1 HIV-negative...2 Indeterminate...3 Refused.....7	<i>If SX-29&gt;1, skip to SX-31c multi.</i>
SX-31b.3. Of those _____ <i>[insert number from SX-31b.2]</i> men, how many did you know were HIV-positive?	[_____]				
SX-31b.4. How many did you know were HIV-negative?	[_____]				
SX-31c. Of your _____ <i>[insert number from SX-29]</i> male main partners, how many did you have sex with for the <u>very first time</u> in the past 12 months?	[_____]		SX-31c. Think about the very first time you had sex with this man. Was it within the past 12 months?	[_____]	
SX-31d. Of your _____ <i>[insert number from SX-29]</i> male main partners in the past 12 months, how many <u>did you give</u> things like money or			SX-31d. In the past 12 months, did <u>you give</u> this man things like money or drugs in		

<b>MULTIPLE MAIN MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE MAIN MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
drugs in exchange for sex?			exchange for sex?		
SX-31e. Of your _____ <i>[insert number from SX-29]</i> male main partners in the past 12 months, how many <u>gave</u> <u>you things</u> like money or drugs in exchange for sex?			SX-31e. In the past 12 months, did this man <u>give</u> <u>you</u> things like money or drugs, in exchange for sex?		<i>If SX-29a=1, skip to QSX- 33.</i>

***Skip Pattern for Multiple Male Sex Partners:***  
***If SX-29= SX-28, Skip to SX-33.***  
***Otherwise, if SX-30 is not equal to 0, 7777, or 9999, go to Say Box before SX-32a.***

**CASUAL PARTNERS**

<b>MULTIPLE CASUAL MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE CASUAL MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<b>SAY:</b> Now I'm going to ask you about the _____ [insert number from SX-30] male casual sex partners you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.			<b>SAY:</b> Now I'm going to ask you about the male casual sex partner you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.		
<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>	<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>
SX-32a. Of your _____ [insert number from SX-30] male casual partners in the past 12 months, with how many did you have anal sex?	[ ]	<i>If 0, 7777, or 9999, skip to SX-32c.</i>	SX-32a. In the past 12 months, did you have anal sex with this man?	[ ]	<i>If 0, 7, or 9, skip to SX-32c.</i>
SX-32b. In the past 12 months, with how many of these _____ [insert number from SX-32a] men did you have anal sex without using a condom?	[ ]		SX-32b. In the past 12 months, did you have anal sex without using a condom?	[ ]	
SX-32b.1. Did you know the HIV status of any of these _____ [insert number from SX-32b] men?	0 = no 1 = yes 7 = Ref	<i>If 0 or 7, skip to SX-32c.</i>	SX-32b.1. Did you know his HIV status?	0 = no 1 = yes 7 = Ref	<i>If 0 or 7, skip to SX-32c.</i>
SX-32b.2. For how many of these men did you know their HIV status?	[ ]	<i>If 1, ask single partner version of SX-32b.2, then go to SX-32c.</i>	SX-32b.2. What was his HIV status?	HIV-positive...1 HIV-negative...2 Indeterminate...3 Refused.....7	
SX-32b.3. Of those _____ [insert number from SX-32b.2] men, how many did you know were HIV-positive?	[ ]				
SX-32b.4. How many did you know were HIV-negative?	[ ]				
Soft edit check					
SX-32c. Of your _____ [insert number from SX-30] male casual partners, how many did you have sex with <u>for the very first time</u> in the past 12 months?	[ ]		SX-32c. Think about the very first time you had sex with this man. Was it within the past 12 months?	[ ]	

<b>MULTIPLE CASUAL MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE CASUAL MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
SX-32d. Of your _____ <i>[insert number from SX-30]</i> male casual partners in the past 12 months, how many <u>did you give</u> things like money or drugs in exchange for sex?			SX-32d. In the past 12 months, did <u>you give</u> this man things like money or drugs in exchange for sex?		
SX-32e. Of your _____ <i>[insert number from SX-30]</i> male casual partners in the past 12 months, how many <u>gave you things</u> like money or drugs in exchange for sex?			SX-32e. In the past 12 months, did this man <u>give you</u> things like money or drugs, in exchange for sex?		

## Last Male Partner

SX-33. Now I would like you to think about the last time you had sex with a man. When was the last time you had anal or oral sex with a man? Just tell me the month and year.

[77/7777 = Refused, 99/9999 = Don't know]            /              
 (M M / Y Y Y Y)

**If SX-33 = 77/7777 or 99/9999, go to CONF16.**

CONF16. **INTERVIEWER:**  
**Did you have sex with a man in the past 12 months, that is, since &[AGO\_1Y]?**  
 No.....  0  
 Yes.....  1  
 Don't know.....  9  
 Refuse to answer.....  7

*If CONF16 = (7,9), then skip to SX50*

**Skip Pattern:**  
**If SX-28=1, go to SX-35.**  
**Otherwise, if SX-28>1, ask SX-34.**

SX-34. Was the man you had sex with that last time a main partner or a casual partner? **[GIVE RESPONDENT FLASHCARD J].** Remember, a main sex partner is someone you feel committed to above anyone else. And a casual sex partner is someone you do not feel committed to or don't know very well.

- Main sex partner.....  1
- Casual sex partner.....  2
- Refused to answer.....  7
- Don't know.....  9

**If participant had one male partner and reported NO exchange with only male partner, skip to SX-36.**  
**If last male partner = main (SX-34 = 1) AND participant reported NO exchange with ANY male main partners, skip to SX-36.**  
**If last male partner = casual (SX-34 = 2) and participant reported NO exchange with ANY male casual partners, skip to SX-36.**

SX-35. When you had sex that last time, did you give him things like money or drugs in exchange for sex?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-35a. When you had sex that last time, did he give you things like money or drugs in exchange for sex?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-36. When you had sex that last time, did you have receptive anal sex where he put his penis in your anus (butt)?

- No.....  0  *Skip to SX-38*
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9  *Skip to SX-38*

SX-37. During receptive anal sex that last time, did he use a condom?

- No.....  0  *Skip to SX-38*
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9  *Skip to SX-38*

SX-37a. Did he use the condom the whole time?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-38. When you had sex that last time, did you have insertive anal sex where you put your penis in his anus (butt)?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If SX-38 in (0, 7, 9), skip to CONF17.***

SX-39. During insertive anal sex that last time, did you use a condom?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If SX-39 in (0, 7, 9), skip to SX-40.***

SX-39a. Did you use the condom the whole time?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***CONF17: Ask the following if SX-36 and SX-38 =0:  
"So this means you only had oral sex the last time you had sex?"***

SX-40. Before or during the last time you had sex with this partner, did you use:  
***[READ CHOICES. CHECK only ONE.]***

- Alcohol.....  1
- Drugs.....  2
- Both alcohol and drugs.....  3
- Neither one.....  4
- Refused to answer.....  7
- Don't know.....  9

***If SX-40 in (1, 4, 7, 9), skip to SX-41.***

SX-40a. Which drugs did you use? ***[DO NOT read choices. Check ALL that apply.]***

- Marijuana .....  1
- Speedballs (heroin and cocaine together) .....  2
- Heroin .....  3
- Crack cocaine.....  4
- Powdered cocaine .....  5
- Crystal meth (tina, crank, ice) .....  6
- X or Ecstasy .....  7
- Special K (ketamine) .....  8
- GHB .....  9
- Painkillers (Oxycontin, Vicodin, Percocet) .....  10
- Downers (Valium, Ativan, Xanax) .....  11
- Hallucinogens (LSD, mushrooms) .....  12
- Poppers .....  13
- Other drug .....  14
- Refused to answer.....  77
- Don't know.....  99

***If participant had one male sex partner in past 12 months, skip to SX-42.***

SX-41. The last time you had sex with this partner, did you know his HIV status?

- No.....  0 ***Skip to SX-42***
- Yes.....  1
- Refused to answer.....  7 ***Skip to SX-42***

SX-41a. What was his HIV status?

- HIV-negative.....  1
- HIV-positive.....  2
- Indeterminate.....  3
- Refused to answer.....  7

- SX-42. Was this partner younger than you, older than you, or the same age as you?
- Younger .....  0
- Older .....  1
- Same age .....  2
- Refused to answer.....  7
- Don't know.....  9

**If SX-42 in (0, 2, 7, 9), skip to SX-42b.**

SX-42a. What was his age? \_\_\_\_\_ [777 = Refused, 999 = Don't know]

SX-42b. Which of the following best describes his racial or ethnic background? **[READ choices. Choose one.]**

- American Indian or Alaska Native.....  1
- Asian .....  2
- Black or African American .....  3
- Hispanic or Latino.....  4
- Native Hawaiian or Other Pacific Islander.....  5
- White.....  6
- Refused to answer.....  7
- Don't know.....  9

SX-43. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, has this partner ever injected drugs like heroin, cocaine, or speed?

Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-44. As far as you know, has this partner ever used crack cocaine?  
Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-44a. As far as you know, has this partner ever used crystal meth (tina, crank, ice)?  
Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-45. As far as you know, has this partner ever been in prison or jail for more than 24 hours?  
Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-46. How long have you been having a sexual relationship with this partner? (Please tell me how many days, months, or years). **[Interviewer: If "one night stand," enter 0.]**

# of Days:    \_\_\_ \_\_\_

# of Months:  \_\_\_ \_\_\_

# of Years:   \_\_\_ \_\_\_

**[Refused = 777, Don't know = 999]**

**If SX-46 > 12 months, 777, or 999, skip to SX-48. If SX-46=0, skip to SX-49.**

SX-47. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, during the time you were having a sexual relationship with this partner, did he have sex with other people? Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-47a. During the time you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If SX-46 ≤ 12 months, skip to venue attendance section.**

SX-48. As far as you know, during the past 12 months when you were having a sexual relationship with this partner, did he have sex with other people? Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-48a. During the past 12 months when you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If SX-46 > or = 3 years or SX-46 = Don't Know or Refused, skip to the venue attendance section**

SX-49. Where did you first meet this partner? *[DO NOT read choices. Check only ONE.]*

- Internet.....  01
- Chat line.....  02
- Bar/Club.....  03
- Circuit party or Rave.....  04
- Cruising area.....  05
- Adult bookstore.....  06
- Bath house, sex club or sex resort.....  07
- Private sex party.....  08
- Somewhere else.....  09
- Refused to answer.....  77
- Don't know.....  99

***If NHBS-IDU OR NHBS-HET, skip to SX-52***

### Venue Attendance

SX-50. In the past 12 months, how often have you gone to a place where gay men hangout, meet or socialize? These could include bars, clubs, social organizations, parks, gay businesses, bookstores, sex clubs, etc. Was it: ***[GIVE RESPONDENT FLASHCARD L. READ CHOICES. CHECK only ONE.]***

- |                                 |                                 |                                 |                                 |                                 |                                 |                                 |                                 |                                  |                               |
|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|----------------------------------|-------------------------------|
| Never                           | More than<br>once a day         | Once a<br>day                   | More than<br>once a week        | Once<br>a week                  | More than<br>once a month       | Once a<br>a month               | Less than<br>once a month       | Refused<br>to answer             | Don't<br>Know                 |
| <input type="checkbox"/> 0..... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 2..... | <input type="checkbox"/> 3..... | <input type="checkbox"/> 4..... | <input type="checkbox"/> 5..... | <input type="checkbox"/> 6..... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 77..... | <input type="checkbox"/> ..99 |

SX-51. In the past 12 months, how often have you used the internet to meet or socialize with gay men either for *friendship or sex*? These could include social network websites (such as Facebook or MySpace), websites directed towards gay men (such as Manhunt or Gay.com), dating websites, or the use of mobile social applications (such as Foursquare or Grindr). Was it: ***[GIVE RESPONDENT FLASHCARD L. READ CHOICES. CHECK only ONE.]***

- |                                 |                                 |                                 |                                 |                                 |                                 |                                 |                                 |                                  |                               |
|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|----------------------------------|-------------------------------|
| Never                           | More than<br>once a day         | Once a<br>day                   | More than<br>once a week        | Once<br>a week                  | More than<br>once a month       | Once a<br>a month               | Less than<br>once a month       | Refused<br>to answer             | Don't<br>Know                 |
| <input type="checkbox"/> 0..... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 2..... | <input type="checkbox"/> 3..... | <input type="checkbox"/> 4..... | <input type="checkbox"/> 5..... | <input type="checkbox"/> 6..... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 77..... | <input type="checkbox"/> ..99 |

## Non-gay identified outness

**If DM-10 (Sexual identity)=2 or DM-10=3, skip to the alcohol use history section .**

SX-52. The next question is about whether you have told people that you are attracted to or have sex with men. Have you ever told anyone that you are attracted to or have sex with men?

- No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

**If SX-52 in (0, 7, 9), skip to SX-53.**

SX-52a. I'm going to read you a list of people you may have told. Please tell me which ones apply. Have you told: **[READ CHOICES, CHECK NO OR YES FOR EACH ONE.]**

- |   | No                            | Yes                             | Refused to answer               | Does not Apply                  | Don't know                 |
|---|-------------------------------|---------------------------------|---------------------------------|---------------------------------|----------------------------|
| 1. Gay, lesbian, or bisexual friends .....            | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7....  | <input type="checkbox"/> 8 .... | <input type="checkbox"/> 9 |
| 2. Friends who are not gay, lesbian, or bisexual..... | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7....  | <input type="checkbox"/> 8....  | <input type="checkbox"/> 9 |
| 3. Family members.....                                | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7..... |                                 | <input type="checkbox"/> 9 |

**FOR NHBS-IDU AND NHBS-HET: ASK SX-52a.4**

- |                              |                               |                                 |                                |                                |                            |
|------------------------------|-------------------------------|---------------------------------|--------------------------------|--------------------------------|----------------------------|
| 4. Spouse or partner.....    | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 8.... | <input type="checkbox"/> 9 |
| 5. Health care provider..... | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 8.... | <input type="checkbox"/> 9 |

SX-53. During the past 12 months, have any of the following things happened to you because someone knew or assumed you were attracted to men? **[READ CHOICES, CHECK NO OR YES FOR EACH ONE.]**

	No	Yes	Refused to answer	Does not apply	Don't know
a. You were called names or insulted	0	1	7		9
b. You received poorer services than other people in restaurants, stores, other businesses or agencies	0	1	7		9
c. You were treated unfairly at work or school	0	1	7	8	9
d. You were denied or given lower quality health care	0	1	7	8	9
e. You were physically attacked or injured	0	1	7		9

SX-53f. *[Give participant Flashcard G.]* Next, I'm going to read you a statement. Please tell me how strongly you agree or disagree with it, using one of the options on this card.

Most people in *[insert project area]* are tolerant of gays and bisexuals. Do you...*[Read choices. Mark only one.]*

- |                                 |                             |
|---------------------------------|-----------------------------|
| Strongly agree.....             | <input type="checkbox"/> 01 |
| Agree.....                      | <input type="checkbox"/> 02 |
| Neither agree nor disagree..... | <input type="checkbox"/> 03 |
| Disagree.....                   | <input type="checkbox"/> 04 |
| Strongly disagree.....          | <input type="checkbox"/> 05 |
| Refused to answer.....          | <input type="checkbox"/> 07 |
| Don't know.....                 | <input type="checkbox"/> 09 |

**END OF MALE RESPONDENT SECTION. GO TO the alcohol use history section.**

**FOR FEMALE RESPONDENTS ONLY**

**Male Sex Partners (Female respondent)**

- SX-54. Have you ever had vaginal or anal sex with a man?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If SX-54 in (0, 7, 9), skip to SX-80.***

SX-55. How old were you the first time you had vaginal or anal sex with a man?

*[77 = Refused, 99 = Don't know; 88 = Not Applicable]    \_\_ \_\_*

***If SX-55=88, skip to CONF13a.***

CONF16b. Het sex confirmation-female participants

***If SX-55=88, display:***  
“Interviewer, you have indicated that the participant has never had either vaginal or anal sex with a man. Is this correct?”

No.....  0

Yes.....  1

***If No, go back to SX-55.***  
***If Yes and NHBS-HET, skip to END of Questionnaire.***  
***If Yes and NHBS-IDU, skip to the alcohol use history section.***

SX-56. In the past 12 months, that is, since *<interview month>* of last year, with how many different men have you had oral, vaginal, or anal sex?

*[Refused = 7777, Don't know = 9999]*

***NHBS-IDU Skip Pattern for # of Male Sexual Partners:***  
***If SX-56 =1, ask SX-57a.***  
***If SX-56 >1, ask SX-57.***  
***If 0, 7777, or 9999, skip to SX-80***

**NHBS-HET Skip Pattern for # of Female Sex Partners:**  
**If SX-56 =1: Ask SX-57a. (RT column)**  
**If SX-56 > 1: Ask SX-57. (LT column)**  
**If SX-56 = 0, 7777, or 9999: Go to CONF18.**

**CONF18. Sex partner confirmation:**

**If SX-56=0, 7777, or 9999, read:**

**I would like to clarify your response. You indicated that you haven't had sex with a man in the past 12 months. Is that correct?**

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If NO (NOT correct), go to SX-56 (ask it again)**

**If YES, (correct), Refused to answer, or Don't know, go to End of Questionnaire.**

<b>FOR MULTIPLE MALE PARTNERS</b> [Read Say Box and Questions in this column]			<b>FOR ONE MALE PARTNER</b> [Read Say Box and Question in this column]
<p><b>SAY:</b> Now I'm going to ask you to describe the sex partners you've had in the past 12 months as either main or casual partners.</p> <p><b>[GIVE RESPONDENT FLASHCARD J]</b>            By "main partner" I mean a man you have sex with and who you feel committed to above anyone else. This is a partner you would call your boyfriend, husband, significant other, or life partner. And by "casual partner" I mean a man you have sex with but do not feel committed to or don't know very well.</p> <p><b>Refused = 7777, Don't know = 9999</b></p>			<p><b>SAY:</b> Now I'm going to ask you to describe this sex partner you've had in the past 12 months as either a main or casual partner.</p> <p><b>[GIVE RESPONDENT FLASHCARD J]</b>            By "main partner" I mean a man you have sex with and who you feel committed to above anyone else. This is a partner you would call your boyfriend, husband, significant other, or life partner. And by "casual partner" I mean a man you have sex with but do not feel committed to or don't know very well.</p>
<b>Question</b>	<b>Response</b>	<b>Skip Pattern</b>	<b>Question</b>
SX-57. Of the _____ [insert number from SX-56] men you've had oral, vaginal, or anal sex with in the past 12 months, how many of them were main partners?	[_____]	<b>If SX-57= SX-56, skip to Say Box before SX-59a.</b>	SX-57a. Was this man a main partner or a casual partner? Main partner..... <input type="checkbox"/> 1 <b>Skip to Say Box before SX-59a</b> Casual partner..... <input type="checkbox"/> 2 <b>Skip to Say Box before SX-60a</b>
SX-58. How many were casual partners?	[_____]		Refused to answer... <input type="checkbox"/> 7 Don't know..... <input type="checkbox"/> 9 } <b>Skip to SX-61</b>

**Skip Pattern for Multiple Male Partners:**

**If SX-57 is not equal to 0, 7777, or 9999, go to Say Box before SX-59a.**

**Otherwise, if SX-58 is not equal to 0, 7777, or 9999, go to Say Box before SX-60a.**

**MAIN MALE PARTNERS**

<b>MULTIPLE MAIN MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE MAIN MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<i>SAY:</i> Now I'm going to ask you about the _____ <i>[insert number from SX-57]</i> male main sex partners you had in the past 12 months.			<i>SAY:</i> Now I'm going to ask you about the male main sex partner you had in the past 12 months.		
<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>	<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>
SX-59a. Of your _____ <i>[insert number from SX-57]</i> male main partners in the past 12 months, with how many did you have vaginal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-59c.</i>	SX-59a. In the past 12 months, did you have vaginal sex with this man?	[_____]	<i>If 0, 7, or 9, skip to SX-59c.</i>
SX-59b. In the past 12 months, with how many of these _____ <i>[insert number from SX-59a]</i> men did you have vaginal sex without using a condom?	[_____]		SX-59b. In the past 12 months, did you have vaginal sex with him without using a condom?	[_____]	
SX-59c. Of your _____ <i>[insert number from SX-57]</i> male main partners in the past 12 months, with how many did you have anal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-59e.</i>	SX-59c. In the past 12 months, did you have anal sex with this man?	[_____]	<i>If 0, 7, or 9, skip to SX-59e.</i>
SX-59d. With how many of these _____ <i>[insert number from SX-59c]</i> men did you have anal sex without using a condom?	[_____]		SX-59d. In the past 12 months, did you have anal sex with him without using a condom?	[_____]	
SX-59e. Of your _____ <i>[insert number from SX-57]</i> male main partners, how many did you have sex with <u>for the very first time</u> in the past 12 months?	[_____]		SX-59e. Think about the very first time you had sex with this man. Was it within the past 12 months?	[_____]	
SX-59f. Of your _____ <i>[insert number from SX-57]</i> male main partners in the past 12 months, how many <u>gave you things</u> like money or drugs in exchange for sex?			SX-59f. In the past 12 months, did this man <u>give you</u> money, drugs, or other things in exchange for sex?		
SX-59g. Of your _____ <i>[insert number from SX-57]</i> male main partners in the past 12 months, how many <u>did you give</u> things like money or drugs in exchange for sex?			SX-59g. In the past 12 months, did <u>you give</u> this man things like money or drugs in exchange for sex?		<i>If SX-57a=1, skip to SX-62.</i>

***Skip Pattern for Multiple Male Sex Partners:***

***If SX-57= SX-56, go to SX-62.***

***Otherwise, if SX-58 is not equal to 0, 7777, or 9999, go to Say Box before SX-60a .***

**CASUAL PARTNERS**

<b>MULTIPLE CASUAL MALE PARTNERS</b> [Read questions in this column] <i>Refused = 7777, Don't know = 9999</i>			<b>ONE CASUAL MALE PARTNER</b> [Read questions in this column] <i>No = 0, Yes = 1, Refused = 7, Don't know = 9</i>		
<b>SAY:</b> Now I'm going to ask you about the _____ <i>[insert number from SX-58]</i> male casual sex partners you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.			<b>SAY:</b> Now I'm going to ask you about the male casual sex partner you had in the past 12 months. Remember, a casual sex partner is someone you do not feel committed to or don't know very well.		
<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>	<i>Question</i>	<i>Response</i>	<i>Skip Pattern</i>
SX-60a. Of your _____ <i>[insert number from SX-58]</i> male casual partners in the past 12 months, with how many did you have vaginal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-60c.</i>	SX-60a. In the past 12 months, did you have vaginal sex with this man?	[_____]	<i>If 0, 7, or 9, skip to SX-60c.</i>
SX-60b. In the past 12 months, with how many of these _____ <i>[insert number from SX-60a]</i> men did you have vaginal sex without using a condom?	[_____]		SX-60b. In the past 12 months, did you have vaginal sex with him without using a condom?	[_____]	
SX-60c. Of your _____ <i>[insert number from SX-58]</i> male casual partners in the past 12 months, with how many did you have anal sex?	[_____]	<i>If 0, 7777, or 9999, skip to SX-60e.</i>	SX-60c. In the past 12 months, did you have anal sex with this man?	[_____]	<i>If 0, 7, or 9, skip to SX-60e.</i>
SX-60d. In the past 12 months, with how many of these _____ <i>[insert number from SX-60c]</i> men did you have anal sex without using a condom?	[_____]		SX-60d. In the past 12 months, did you have anal sex with him without using a condom?	[_____]	
SX-60e. Of your _____ <i>[insert number from SX-60]</i> male casual partners, how many did you have sex with <u>for the very first time</u> in the past 12 months?	[_____]		SX-60e. Think about the very first time you had sex with this man. Was it within the past 12 months?	[_____]	
SX-60f. Of your _____ <i>[insert number from SX-58]</i> male casual partners in the past 12 months, how many <u>gave you things</u> like money or drugs in exchange for sex?			SX-60f. In the past 12 months, did this man <u>give you</u> money, drugs, or other things in exchange for sex?		
SX-60g. Of your _____ <i>[insert number from SX-58]</i> male casual partners in the past 12 months, how many <u>did you give</u> things like money or drugs in exchange for sex?			SX-60g. In the past 12 months, did <u>you give</u> this man things like money or drugs in exchange for sex?		

**If SX-56=1 AND SX-57a ≠ 7 OR 9, skip to SX-62.**

SX-61. In the past **12 months**, that is, since <interview month> of last year, did you have anal or vaginal sex without a condom with a man whose HIV status you didn't know?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-61a. In the past **12 months** did you have vaginal or anal sex without a condom with a man who was HIV negative?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-61b. In the past **12 months**, did you have vaginal or anal sex without a condom with a man who was HIV positive?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-62. Now I would like you to think about the last time you had sex with a man. When was the last time you had oral, vaginal, or anal sex with a man? Just tell me the month and year.

[77/7777 = Refused, 99/9999 = Don't know] (M M / Y / Y Y Y) -

**If SX-62 = 77/7777 OR 99/9999, go to CONF19.**

**CONF19. INTERVIEWER:**

**Did you have sex with a man in the past 12 months, that is, since &[AGO\_1Y]?**

- No.....  0
- Yes.....  1
- Don't know.....  9
- Refuse to answer.....  7

***If SX-56=1, go to SX-64. Otherwise if SX-56>1, ask SX-63.***

SX-63. Was the man you had sex with that last time a main partner or a casual partner? ***GIVE RESPONDENT FLASHCARD J.*** Remember, a main sex partner is someone you feel committed to above anyone else. And a casual sex partner is someone you do not feel committed to or don't know very well.

- Main sex partner.....  1
- Casual sex partner.....  2
- Refused to answer.....  7
- Don't know.....  9

***If participant had 1 partner and reported NO exchange with only partner, skip to SX-65.  
If participant's last partner was main partner and participant reported NO exchange with ANY main partners, skip to SX-65.  
If participant's last partner was casual and participant reported NO exchange with ANY casual partners, skip to SX-65.***

SX-64. When you had sex that last time, did he give you things like money or drugs in exchange for sex?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-64a. When you had sex that last time, did you give him things like money or drugs in exchange for sex?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-65. When you had sex that last time, did you have vaginal sex?

- No.....  0  *Skip to Logic check before SX-68*
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9  *Skip to Logic check before SX-68*

- SX-66. During vaginal sex that last time, did you or your partner use a condom?
- No.....  0 → *Skip to Logic check before SX-68*
- Yes.....  1
- Refused to answer.....  7 } *Skip to Logic check before SX-68*
- Don't know.....  9 }

- SX-66a. Did you or your partner use the condom the whole time?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

- SX-67. Did you or your partner use the condom to prevent pregnancy, to prevent infections like HIV or other sexually transmitted diseases, to prevent both, or for some other reason?
- Pregnancy .....  1
- HIV/STDs.....  2
- Both.....  3
- Other reason.....  4
- Refused to answer.....  7
- Don't know.....  9

***If participant had 1 male partner and reported NO anal sex with that partner, skip to SX-70.  
 If participant's last partner was main and participant reported NO anal sex with ANY main partners, skip to SX-70.  
 If participant's last partner was casual and participant reported NO anal sex with ANY casual partners, skip to SX-70.***

- SX-68. When you had sex that last time, did you have anal sex?
- No.....  0 → *Skip to CONF20.*
- Yes.....  1
- Refused to answer.....  7 } *Skip to CONF20.*
- Don't know.....  9 }

- SX-69. During anal sex that last time, did your partner use a condom?
- No.....  0 → *Skip to SX-70*
- Yes.....  1
- Refused to answer.....  7 } *Skip to SX-70*
- Don't know.....  9 }

- SX-69a. Did he use the condom the whole time?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**CONF20. Ask the following if SX-65 and SX-68=0:**  
**"So this means you only had oral sex the last time you had sex?"**  
**If respondent says "no," go back to SX-65.**

- SX-70. Before or during the last time you had sex with this partner, did you use:  
**[READ CHOICES. CHECK only ONE.]**
- Alcohol.....  1 *Skip to SX-71*
- Drugs.....  2
- Both alcohol and drugs.....  3
- Neither one.....  4 } *Skip to SX-71.*
- Refused to answer.....  7 }
- Don't know.....  9 }

- SX-70a. Which drugs did you use? **[DO NOT read choices. Check that apply.]**
- Marijuana .....  1
- Speedballs (heroin and cocaine together) .....  2
- Heroin .....  3
- Crack cocaine.....  4
- Powdered cocaine .....  5
- Crystal meth (tina, crank, ice) .....  6
- X or Ecstasy .....  7

- Special K (ketamine) .....  8
- GHB .....  9
- Painkillers (Oxycontin, Vicodin, Percocet) .....  10
- Downers (Valium, Ativan, Xanax) .....  11
- Hallucinogens (LSD, mushrooms) .....  12
- Poppers .....  13
- Other drug .....  14
- Refused to answer.....  77
- Don't know.....  99

SX-71. The last time you had sex with this partner, did you know his HIV status?

- No.....  0 **Skip to SX-72**
- Yes.....  1
- Refused to answer.....  7 **Skip to SX-72**

SX-71a. What was his HIV status?

- HIV-negative.....  1
- HIV-positive.....  2
- Indeterminate.....  3
- Refused to answer.....  7

SX-72. Was this partner younger than you, older than you, or the same age as you?

- Younger .....  0 **→ Skip to SX-72b**
  - Older .....  1
  - Same age .....  2
  - Refused to answer.....  7
  - Don't know.....  9
- } Skip to SX-72b**

SX-72a. What was his age?      \_\_\_\_\_      **[777 = Refused, 999 = Don't know]**

SX-72b. Which of the following best describes his racial or ethnic background? *[READ choices. Choose one.]*

- American Indian or Alaska Native.....  1
- Asian .....  2
- Black or African American .....  3
- Hispanic or Latino.....  4
- Native Hawaiian or Other Pacific Islander.....  5
- White.....  6
- Refused to answer.....  7
- Don't know.....  9

SX-73. *[GIVE PARTICIPANT FLASHCARD K]* As far as you know, has this partner ever injected drugs like heroin, cocaine, or speed?

Would you say he: *[READ CHOICES. Check only ONE.]*

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-74. As far as you know, has this partner ever used crack cocaine?

Would you say he: *[READ CHOICES. Check only ONE.]*

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-75. As far as you know, has this partner ever been in prison or jail for more than 24 hours?  
Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-76. As far as you know, has this partner ever had sex with other men?  
Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-77. How long have you been having a sexual relationship with this partner? (Please tell me how many days, months, or years). **[Interviewer: If "one night stand," enter 0.]**

# of Days:    — — —

# of Months:  — — —

# of Years:   — — —

**[Refused = 777, Don't know = 999]**

**If SX-77 > 12 months, 777, or 999, skip to SX-79. If SX-77 ≤ 12 months, skip to SX-80.  
If SX-77=0, skip to SX-80.**

SX-78. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, during the time you were having a sexual relationship with this partner, did he have sex with other people? Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-78a. During the time you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

SX-79. **[GIVE PARTICIPANT FLASHCARD K]** As far as you know, during the past 12 months when you were having a sexual relationship with this partner, did he have sex with other people? Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

SX-79a. During the past 12 months when you were having a sexual relationship with this partner, did you have sex with other people?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

### Female Sex Partners (Female Respondents)

SX-80. Now I'm going to ask you about having sex with other women. In the past 12 months, with how many different women have you had sex?

**[Refused = 7777, Don't know = 9999]** \_\_\_\_\_

## ALCOHOL USE HISTORY (AL)

**SAY:** The next questions are about alcohol use. Please remember your answers will be kept private. For these questions, "a drink of alcohol" means a 12 oz beer, a 5 oz glass of wine, or a 1.5 oz shot of liquor. **SHOW RESPONDENT FLASHCARD M (PICTURE OF ALCOHOL DRINK SIZE)**

AL-1. In the past 12 months, that is, since <interview month> of last year, did you drink any alcohol such as beer, wine, malt liquor, or hard liquor?

- No.....  0    **→**    *Skip to Say Box before ID-1*
- Yes.....  1
- Refused to answer.....  7    **}**     *Skip to Say Box before ID-1*
- Don't know.....  9

AL-2. In the past 12 months, how often did you have 5 or more alcoholic drinks in one sitting? [*4 or more drinks if respondent is female.*] **GIVE RESPONDENT FLASHCARD L. READ CHOICES. CHECK only ONE.**

- Never.....  0
- More than once a day.....  1
- Once a day.....  2
- More than once a week.....  3
- Once a week.....  4
- More than once a month.....  5
- Once a month.....  6
- Less than once a month.....  7
- Refused to answer.....  77
- Don't know.....  99

AL-3. The next questions are about drinking alcohol during the past 30 days, that is, since the [insert day of current month] of last month. During the past 30 days, on how many days did you drink any alcohol?

[77 = Refused, 99 = Don't know]      \_ \_

**If AL-3 in (0, 77, 99), skip to Say Box before ID-1.**

AL-4. During the past 30 days, on the days when you drank alcohol, how many drinks did you usually have? (*Interviewer: The number of drinks must be greater than 0.*)

[77 = Refused, 99 = Don't know]                      — —

AL-5. During the past 30 days, how many times did you have 5 or more alcoholic drinks in one sitting? [*4 or more drinks if respondent is female.*]

[77 = Refused, 99 = Don't know]                      — —

## DRUG USE HISTORY

### Injection Drug Use (ID)

**SAY:** The next questions are about injection drug use. This means injecting drugs yourself or having someone who isn't a health care provider inject you. Please remember your answers will be kept private.

**FOR NHBS-MSM AND NHBS-HET, ASK ID-1**

**FOR NHBS-IDU, GO TO ID-1a**

ID-1. Have you ever in your life shot up or injected any drugs other than those prescribed for you? By shooting up, I mean anytime you might have used drugs with a needle, either by mainlining, skin popping, or muscling.

- No.....  0 → *Skip to Say Box before ND-1*
- Yes.....  1
- Refused to answer.....  7 } *Skip to Say Box before ND-1*
- Don't know.....  9 }

ID-1a. Think back to the very first time you injected any drugs, other than those prescribed for you. How old were you when you first injected any drug?

*[77 = Refused, 99 = Don't know]*      \_ \_

ID-1bnum. When was the last time you injected any drug? That is, how many days or months or years ago did you last inject?

Number \_ \_ \_ \_  
*[Refused = 777, Don't know = 999]*

**ID1b.dmy Interviewer:** Was this days or months or years ago that you last injected? *[If today, enter "days"]*

- Days.....  0
- Months.....  1
- Years.....  *[Refused = 777, Don't know = 999]*

**If ( ID1b.num=1 and ID1b.dmy=2) or if (ID1b.num=12 and ID1b.dmy=1) or if ID1b.num=365 and ID1b.dmy=0), display:**

**Interviewer:** Was this more than 1 year ago or within the past year?

*Within the past year.....*

*More than 1 year ago.....*

***If last injection was within the past year {need logic with reference number and value}, go to ID-2.  
If last injection was more than 1 year ago and CYCLE=1 (MSM) or CYCLE=3(HET), go to Non-  
Injection Drug Use Section.  
If last injection was more than 1 year ago and CYCLE=21 (IDU), go to End.***

***If NHBS-MSM or NHBS-HET and ID-1b > 12 months, skip to Say Box before ND-1.  
If NHBS-IDU AND ID-1b > 12 months, skip to END of questionnaire.***

***SAY:*** The next questions are about injection drug use in the past 12 months, that is, since <interview month> of last year. When I ask you about "needles," I'm talking about needles and syringes.

ID-2. ***[GIVE RESPONDENT FLASHCARD L]*** In the past 12 months, on average, how often did you inject? ***READ CHOICES. CHOOSE only ONE.***

- Never.....  0
- More than once a day.....  1
- Once a day.....  2
- More than once a week.....  3
- Once a week.....  4
- More than once a month.....  5
- Once a month.....  6
- Less than once a month.....  7
- Refused to answer.....  77
- Don't know.....  99

***SAY: [GIVE RESPONDENT FLASHCARD L]*** I'm going to read you a list of drugs. For each drug I mention, please tell me how often you injected it in the past 12 months, that is, since <interview month> of last year.

ID-3. How often did you inject... **READ EACH DRUG CHOICE. CHOOSE ONLY ONE RESPONSE PER TYPE OF DRUG**

	Never	More than once a day	Once a day	More than once a week	Once a week	More than once a month	Once a month	Less than once a month	Refused to answer
a. Speedball (heroin & cocaine together)	00	01	02	03	04	05	06	07	77
b. Heroin, by itself	00	01	02	03	04	05	06	07	77
c. Powdered cocaine, by itself	00	01	02	03	04	05	06	07	77
d. Crack cocaine	00	01	02	03	04	05	06	07	77
e. Crystal meth (tina, crank, or ice)	00	01	02	03	04	05	06	07	77
f. Oxycontin	00	01	02	03	04	05	06	07	77

ID-3g1. Did you inject any other drugs in the past 12 months?

- No.....  0 **→** Skip to SAY box before ID-4
- Yes.....  1
- Refused to answer.....  7 } Skip to SAY box before ID-4
- Don't know.....  9 }

*Specify other drug* \_\_\_\_\_

ID-3g2. How often did you inject [*Interviewer: insert other drug specified*]:

- | Never | More than once a day | Once a day | More than once a week | Once a week | More than once a month | Once a month | Less than once a month | Refused to answer |
|-------|----------------------|------------|-----------------------|-------------|------------------------|--------------|------------------------|-------------------|
|-------|----------------------|------------|-----------------------|-------------|------------------------|--------------|------------------------|-------------------|

g. (Other drug). 00.. 01.....02.....03.....04.....05.....06.....07.....77

ID-4. [**GIVE RESPONDENT FLASHCARD M; READ ALL CHOICES**] In the past 12 months when you injected, did you get your needles at any of the following places?

- |  | No                             | Yes                           | Refused to answer              | Don't know                 |
|--|--------------------------------|-------------------------------|--------------------------------|----------------------------|
| a. Pharmacy or drug store .....  | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |
| b. Doctor's office, clinic, or hospital.....                             | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |
| c. Friend, acquaintance, relative, or sex partner.....                   | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |
| d. Needle or drug dealer, shooting gallery, hit house, off the street... | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |
| e. Needle exchange program.....  | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |
| f. Some other place.....   | <input type="checkbox"/> 0.... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7.... | <input type="checkbox"/> 9 |

(Specify \_\_\_\_\_)

ID-5. In the past 12 months when you injected, how often did you use a new, sterile needle? By a new, sterile needle, I mean a needle never used before by anyone, even you. **[GIVE RESPONDENT FLASHCARD 0, READ CHOICES. CHECK only ONE.]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

**SAY:** Next, I'm going to ask you about your injecting behaviors in the past 12 months, that is, since <interview month> of last year.

**If ID-5 = 0, 1, 2, OR 3, ask ID-6.**

ID-6. In the past 12 months, with how many people did you use a needle after they injected with it?

**[Refused = 777, Don't know = 999]**    \_ \_ \_

ID-7. In the past 12 months, with how many people did you use the same cooker, cotton, or water that they had already used. By "water," I mean water for rinsing needles or preparing drugs.

**[Refused = 777, Don't know = 999]**    \_ \_ \_

ID-8. In the past 12 months, with how many people did you use drugs that had been divided with a syringe that they had already used?

**[Refused = 777, Don't know = 999]**    \_ \_ \_

**If ID-6 ≥ 1, ask ID-9. If not, skip to instructions before ID-10**

ID-9. In the past 12 months, how often did you use needles that someone else had already injected with? **[GIVE RESPONDENT FLASHCARD 0, READ CHOICES. CHECK only ONE]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

**For NHBS-IDU, ask ID-10 through ID-12 then skip to ID-14**

**If ID-7 ≥ 1, ask ID-10– ID-12**

ID-10. In the past 12 months when you injected, how often did you use a cooker that someone else had already used? **[GIVE RESPONDENT FLASHCARD 0, READ CHOICES, CHECK only ONE.]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

ID-11. In the past 12 months when you injected, how often did you use a cotton that someone else had already used? **[GIVE RESPONDENT FLASHCARD 0, READ CHOICES, CHECK only ONE.]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

ID-12. In the past 12 months when you injected, how often did you use water that someone else had already used? **[GIVE RESPONDENT FLASHCARD O, READ CHOICES, CHECK only ONE]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

**FOR NHBS-MSM AND NHBS-HET, ASK ID-13**

**If ID-7 ≥ 1, ask ID-13**

ID-13. In the past 12 months when you injected, how often did you use cookers, cottons, or water that someone else had already used? **[GIVE RESPONDENT FLASHCARD O, READ CHOICES, CHECK only ONE.]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

**If ID-8 ≥ 1, ask ID-14**

ID-14. In the past 12 months when you injected, how often did you use drugs that had been divided with a syringe that someone else had already injected with? **[GIVE RESPONDENT FLASHCARD O, READ CHOICES. CHECK only ONE.]**

- Never.....  0
- Rarely.....  1
- About half the time.....  2
- Most of the time.....  3
- Always.....  4
- Refused to answer.....  7
- Don't know.....  9

*If ID-6= 0, DK, or REF and  
 If ID-7= 0, DK, or REF and  
 If ID-8= 0, DK, or REF  
 then skip to the non-injection drug use section (ND)*

**SAY:** Now I'd like you to think about the **last time** you injected with someone.  
 By "injecting with someone," I mean you shared drugs or equipment, or both with at least one other person that you were with when you injected.

ID-15. When was the last time you injected with someone?

[77/7777 = Refused, 99/9999 = Don't know] (M M / Y Y Y Y)

*If ID-15 = 77 skip to ND-1  
 If ID-16 = 99, the skip to ID-15 conf*

**ID15conf.**

**Did you last inject with someone in the past 12 months, that is, since [AGO1Y]?**

- No.....  0
- Yes.....  1
- Don't know.....  7
- Refuse to Answer.....  9

*If ID-6=0, Skip to ID-16a*

ID-16. The last time you injected with someone, did you use a needle after anyone else had already injected with it?

- No.....  0
- Yes.....  1 *Skip to ID-17*
- Refused to answer.....  7
- Don't know.....  9

- ID-16a. Did you use a new sterile needle to inject?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If ID-7=0, Skip to ID-18**

- ID-17. The last time you injected with someone, did you use a cooker, cotton, or water that anyone else had already used?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If ID-8=0, Skip to ID-19**

- ID-18. The last time you injected with someone, did you use drugs that had been divided with a syringe that anyone else had already injected with?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**SAY:** The next questions are about this last person you injected with.

- ID-19. Is this person male or female?
- Male.....  1
- Female.....  2 **→ Skip to ID-21**
- Other (specify \_\_\_\_\_).....  3

ID-20. **[GIVE RESPONDENT FLASHCARD K]** As far as you know, has this person ever had sex with another man? Would you say he: **[READ CHOICES. Check only ONE.]**

- Definitely did not.....  0
- Probably did not.....  1
- Probably did.....  2
- Definitely did .....  3
- Refused to answer.....  7
- Don't know.....  9

ID-21. The last time you injected with this person, did you know their HIV status?

- No.....  0 **Skip to ID-22**
- Yes.....  1
- Refused to answer.....  7 **Skip to ID-22**

ID-21a. What was their HIV status?

- HIV-negative.....  1
- HIV-positive.....  2
- Indeterminate.....  3
- Refused to answer.....  7

ID-22. The last time you injected with this person, did you know if they had been tested for hepatitis C?

- No.....  0 **Skip to ID-23**
- Yes.....  1
- Refused to answer.....  7 **Skip to ID-23**

ID-22a. What was the result of their hepatitis C test?

- Negative.....  1
- Positive.....  2
- Refused to answer.....  7
- Don't know.....  9

ID-23. **[GIVE RESPONDENT FLASHCARD 0]** Which of the following best describes your relationship to this person? Would you say this person was a: **READ CHOICES, CHECK only ONE.]**

- Sex partner .....  1
- Friend or acquaintance .....  2
- Relative .....  3
- Needle or drug dealer.....  4
- Stranger.....  5
- Other (specify \_\_\_\_\_).....  6
- Refused to answer.....  7
- Don't know.....  9

## Non-Injection Drug Use (ND)

**SAY:** Now I'm going to ask you about drugs that you may have used but did not inject. I will refer to these as non-injection drugs. This includes drugs like marijuana, crystal meth, cocaine, crack, club drugs, painkillers, or poppers.

ND-1. In the past 12 months, that is, since <interview month> of last year have you used any non-injection drugs, other than those prescribed for you?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If ES9=2 and ND-1 in (0, 7, 9), skip to Say Box before TX-1.**  
**If ES9=1 and ND-1 in (0, 7, 9), skip to ND-3.**

**SAY:** I'm going to read you a list of drugs. For each drug I mention, please tell me how often you used it in the past 12 months. **Do not** include drugs you injected or drugs that were prescribed for you.  
**GIVE RESPONDENT FLASHCARD L.**

ND-2. How often did you use...**READ EACH DRUG CHOICE. CHOOSE ONLY ONE RESPONSE PER TYPE OF DRUG.**

- |  | Never                            | More than once a day             | Once a day                       | More than once a week            | Once a week                      | More than once a month           | Once a month                     | Less than once a month           | Refused to answer           |
|--|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|-----------------------------|
| a. Marijuana.....  | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| b. Crystal meth (tina, crank, or ice).....                   | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| c. Crack cocaine.....  | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| d. Powdered cocaine that is smoked or snorted.....           | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| e. Downers (benzos) such as Valium, Ativan, or Xanax.....    | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| f. Painkillers such as Oxycontin, Vicodin, or Percocet, .... | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| g. Hallucinogens such as LSD or mushrooms.....               | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| h. X or Ecstasy.....   | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| i. Heroin that is smoked or snorted.....                     | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |

**If NHBS-MSM, ask ND-2j – ND-2l**

- |                               |                                  |                                  |                                  |                                  |                                  |                                  |                                  |                                  |                             |
|-------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|-----------------------------|
| j. Poppers ( amyl nitrite)... | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| k. GHB.....                   | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |
| l. Special K (ketamine).....  | <input type="checkbox"/> 00..... | <input type="checkbox"/> 01..... | <input type="checkbox"/> 02..... | <input type="checkbox"/> 03..... | <input type="checkbox"/> 04..... | <input type="checkbox"/> 05..... | <input type="checkbox"/> 06..... | <input type="checkbox"/> 07..... | <input type="checkbox"/> 77 |

ND-2m1. In the past 12 months have you used any other non-injection drugs?

No.....  0 → *Skip to ND-3*

Yes.....  1

Refused to answer.....  7 } *Skip to ND-3*

Don't know.....  9 }

*Specify other drug* \_\_\_\_\_

ND-2m2. How often did you use:

	Never	More than once a day	Once a day	More than once a week	Once a week	More than once a month	Once a month	Less than once a month	Refused to answer
m. (Other drug).	<input type="checkbox"/> 00..	<input type="checkbox"/> 01.....	<input type="checkbox"/> 02.....	<input type="checkbox"/> 03.....	<input type="checkbox"/> 04.....	<input type="checkbox"/> 05.....	<input type="checkbox"/> 06.....	<input type="checkbox"/> 07.....	<input type="checkbox"/> 77

***If Respondent is not male (ES9 ≠ 1), skip to Say Box before TX-1.***

ND-3. In the past 12 months, have you used Viagra, Levitra or Cialis?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

***If ND-3 in (0, 7, 9), skip to Say Box before TX-1.***

ND-3a. Did you use it to treat erectile dysfunction?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

***If Respondent is male (ES9 =1) AND ID-3e= 1 through 7 or ND-2b=1 through 7, ask ND-3b. Otherwise, skip to Say Box before TX-1.***

ND-3b. You told me that you used crystal meth (tina, crank, ice). In the past 12 months, did you use Viagra, Levitra or Cialis at the same time you used crystal meth?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

## **ALCOHOL AND DRUG TREATMENT (TX)**

**SAY:** Next, I'm going to ask you about alcohol and drug treatment programs. These include out-patient, in-patient, residential, detox, methadone treatment, or 12-step programs.

TX-1. Have you ever participated in an alcohol treatment program?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

***If TX-1=0, skip to TX-1b. If TX-1 in (7, 9), skip to TX-2.***

TX-1a. Have you participated in an alcohol treatment program in the past 12 months?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

TX-1b. In the past 12 months, did you try to get into an alcohol treatment program but were unable to?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

TX-2. Have you ever participated in a drug treatment program?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

***If TX-2=0, skip to TX-2b. If TX-2 in (7, 9), skip to Say Box before HT-1***

TX-2a. Have you participated in a drug treatment program in the past 12 months?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

TX-2b. In the past 12 months, did you try to get into a drug treatment program but were unable to?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

## **HIV TESTING EXPERIENCES (HT)**

**SAY:** Now I'm going to ask you a few questions about getting tested for HIV. Remember, an HIV test checks whether someone has the virus that causes AIDS.

- HT-1. Have you ever been tested for HIV?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If HT-1=0, skip to HT-6.  
If HT-1 in (7, 9), Skip to Say Box before HT-9.***

- HT-2. When did you have your first HIV test?
- [77/7777 = Refused, 99/9999 = Don't know]***           /
- (M M / Y Y Y Y)

***HT2conf. INTERVIEWER INSTRUCTIONS:***  
***If HT2(y) < 1985, display:***  
***HIV testing was not widely available before 1985. Please confirm the year. Is &[TST1TSTY] correct?***

Yes.....  1 ***Go to next question***

No.....  0 ***Loop back to put in the correct year***

***HT2conf. If HT2 < DOB, display:***  
***"The date of the first test cannot be before your date of birth ([insert month and year of birth based on ES1])."***  
***Then loop back to HT2.***

- HT-3. In the past 2 years, that is, since [***insert calculated month and year***], how many times have you been tested for HIV?
- \_\_\_\_\_

***[Refused = 777, Don't know = 999]      ➔      If 0, 777, or 999, skip to HT-4***

- HT-4. When did you have your most recent HIV test?
- [77/7777 = Refused, 99/9999 = Don't know]***           /
- (M M / Y Y Y Y)

**HT4conf. INTERVIEWER INSTRUCTIONS:**

**If HT4(y) < 1985, display:**

**Interviewer: HIV testing was not widely available before 1985. Please confirm the year. Is &[RCNTTSTY] correct?**

**Yes.....  1 Go to next question**

**No.....  0 Loop back to put in the correct year**

**If HT-4=DK or HT4(y) = year before calendar year of interview and HT4(m)=DK, ask HT4conf2. Otherwise, go to logic check before HT4a to determine if participant should be asked HT4a – HT4b.**

**HT4conf2.**

**Was your most recent HIV test in the past 12 months, that is, since [AGO1Y]?**

**Yes.....  1**

**No.....  0**

**HT2conf. If HT4 < HT2, display:**

**“The date of the most recent HIV test cannot be before the date of your first test ever ([insert response to HT2]) .”**

**Then loop back to HT4.**

**Otherwise, if (HT2=DK or Ref) and HT4 < DOB, display:**

**“The date of the most recent HIV test cannot be before your date of birth ([insert month and year of birth based on ES1]).”**

**Then loop back to HT4.**

**HT2conf. If HT3=0 and date of last HIV test is fewer than 2 years before interview date, display:**

**You said that you did not have any HIV tests in the past 2 years. However, your most recent HIV test is within the past 2 years. Please correct the number of HIV tests that you had in the past 2 years.**

**Then loop back to HT3.**

**If Auto3 - HT-4 is > 5 years ago or if time since last HIV test cannot be determined based on HT4 or HT4conf2, skip to HT-4c.**

HT-4a. When you got tested in \_\_\_\_ / \_\_\_\_ [insert date from HT-4, if date is known, otherwise, insert "that last time"], where did you get tested?

Testing Site: \_\_\_\_\_

[Write down the site name and classify it from the list of choices below. Probe with additional questions if necessary. DO NOT read choices. Choose only ONE site type.]

- HIV counseling and testing site.....  01
- HIV/AIDS street outreach program/Mobile Unit...  02
- Drug treatment program.....  04
- Needle exchange program.....  05
- Correctional facility (jail or prison).....  6
- Family planning or obstetrics clinic.....  07
- Public health clinic/ Community health center .....  09
- Private doctor's office (including HMO).....  11
- Emergency room.....  12
- Hospital (inpatient).....  13
- At home.....  14
- Other.....  15
- Refused.....  77
- Don't know.....  99

HT-4b. When you got tested in \_\_\_\_ / \_\_\_\_ [insert date from HT-4, if date is known, otherwise, insert "that last time"], was it a rapid test where you could get your results within a couple of hours?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

HT-4c. What was the result of your most recent HIV test? *[DO NOT Read choices, check only ONE.]*

- Negative.....  1
- Positive.....  2
- Never obtained results*.....  3
- Indeterminate.....  4
- Refused to answer.....  7
- Don't know.....  9

***If HT-4c=2, skip to HT-7.***

***If HT-4c=1 or HT-4c=Ref, go to Logic check before HT-6 to evaluate time since last HIV test.***

***Otherwise, if HT4c=3, 4, or DK, ask HT-5.***

HT-5. Before your test in \_\_\_/\_\_\_/\_\_\_ *[insert date from HT-4, if date is known, otherwise, insert "that last time"]*, did you ever test positive for HIV?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If HT-5=1, skip to HT-7a. Otherwise, go to Logic check before HT-6 to evaluate time since last HIV test.***

***Refer to HT-4 and HT4conf2. LAST HIV TEST WAS DONE (Check one):***

***≤ 12 months ago.....  SAY Box before HT-9***

***> 12 months ago.....  Go to next question***

***Cannot determine if last HIV test in past 12 months ...  Go to SAY Box before HT-9***

*[PERSONS WHO HAVE NEVER TESTED HIV+ AND HAVE NOT TESTED FOR HIV IN THE PAST 12 MONTHS]*

HT-6 I'm going to read you a list of reasons why some people have not been tested for HIV. Which of these best describes the most important reason you have not been tested for HIV in the past 12 months? **[READ CHOICES. CHOOSE only ONE.]**

- You think you are at low risk for HIV infection?.....  1
- You were afraid of finding out that you had HIV?.....  2
- You didn't have time?.....  3
- Some other reason?.....  4
- No particular reason.....  5
- Refused to answer.....  7
- Don't know.....  9

***If HT-6 ≠ 4, go to Say Box before HT-9.***

HT-6a. ***What was the most important reason you have not been tested for HIV in the past 12 months?***

\_\_\_\_\_

***Go to Say Box before HT-9.***



**If HT-7b in (0, 7, 9), skip to HT-7d.**

HT-7c. Did you give the names or contact information of any of your partners when asked?

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

HT-7d. Before your first positive test in \_\_\_\_ / \_\_\_\_ [insert date from HT-4 or HT-7a, if date is known, otherwise, insert "that time"], did you ever have a negative HIV test? (By negative HIV test, I mean the test showed you did not have HIV infection.)

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

**If HT-7d in (0, 7, 9), skip to HT-7e.**

HT-7d.1 What was the month and year that you got your last negative HIV test? Tell me when you got your last test, not when you got your results.

[77/7777 = Refused, 99/9999 = Don't know] (M M / Y Y Y Y)

**HT7d.1conf. INTERVIEWER INSTRUCTIONS:**

**If HT7d.1(y) < 1985, display:**

**Interviewer: HIV testing was not widely available before 1985. Please confirm the year. Is [response to HT7d.1(y)] correct?**

- Yes.....  1 **Go to next question**  
No.....  0 **Loop back to put in the correct year**

**HT7d1conf.**

**If HT7d.1 < date of 1<sup>st</sup> positive test (when HT7=1, first positive date=HT4; otherwise, first positive test date is from HT7a) display:**

**The date of your last negative HIV test cannot be after your first positive test.**

**Then loop back to HT7d.1.**

**Otherwise, if date of 1<sup>st</sup> positive test is unknown (HT4 or HT7a=DK or Ref), and (HT7d.1 < ES1 {date**

*of birth}}, display:  
The date of the last negative HIV test cannot be before the date of birth. Then loop back to HT7d.1.*

HT-7e. In the 2 years before your first positive test in \_\_\_\_ / \_\_\_\_ [insert date from HT-4 or HT-7a, if date is known, otherwise, insert "that time"], how many times did you get tested for HIV? Don't include your first positive test in that total number.

[Refused = 7777, Don't know = 9999] \_\_\_\_\_

HT-7f. Have you ever been seen by a doctor, nurse, or other health care provider for a medical evaluation or care related to your HIV infection?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

*If HT-7f = 1, skip to HT-7g.  
If HT-7f in (7, 9), skip to Say Box before HT-8b.*

HT-7f.1. What is the main reason you have never gone to a health care provider for a medical evaluation or care related to your HIV infection? **[DO NOT read choices. Choose only ONE reason.]**

- Feel good, don't need to go .....  01
- Don't want to think about being HIV positive/Denial.....  02
- Didn't have money or insurance.....  03
- Inconvenient (location/hours/time, etc.).....  04
- Forgot to go/Missed appointment.....  05
- Drinking or using drugs.....  06
- Appointment pending.....  07
- Other.....  08
- Refused.....  77
- Don't know.....  99

*If HT-7f.1=8, ask HT-7f.2. Otherwise, skip to Say Box before HT-8b.*

HT-7f.2. *Interviewer: Type in other reason Respondent never sought HIV care.*

**Skip to Say Box before HT-8b.**

HT-7g. When did you first go to your health care provider after learning you had HIV?

[77/7777=Refused, 99/9999 = Don't know] (M M / Y Y Y Y)

**HT7aconf.**

*If HT7g < date of first positive test (either HT4 or HT7a), display:*

*The date you first saw your health care provider about your positive serostatus should not be before your first positive test. Then loop back to HT7g.*

*Otherwise, if date of first positive test is unknown (either HT4 or HT7a=DK or Ref) and (HT7g < ES1 {date of birth}), display:*

*The date you first saw your health care provider about your positive serostatus should not be before your date of birth ([insert month and year of birth based on ES1]).” Then loop back to HT7a.*

**If HT-g=DK, ask HT-7g.1. Otherwise, skip to HT-7h.**

**HT7g.1.**

*Did you first go to your health care provider for HIV care more than 3 months after learning you had HIV?*

- Yes.....  1  
No.....  0  
DK.....  9  
Ref.....  7

**INTERVIEWER INSTRUCTIONS: Refer to date of first positive HIV test (HT-4or HT-7a) and response to HT7g or HT7g.1.**

**< 3 months before first provider visit**

**Skip to HT-7i**

**> 3 months before first provider visit**

**Go to next question**

**Interval cannot be determined (date missing and HT7g.1=DK or Ref)**

**Skip to HT-7i**

**If first positive test result was > 3 years before [date of interview], skip to HT-7i**

HT-7h. Some people go to a health care provider soon after learning they are positive; others do not. What is the main reason you didn't go to a health care provider soon after you learned of your HIV infection? *[DO NOT read choices. Choose only ONE reason.]*

- Felt good, didn't need to go .....  01
- Didn't want to think about being HIV positive/Denial.....  02
- Didn't have money or insurance.....  03
- Inconvenient (location/hours/time, etc.).....  04
- Forgot to go/Missed appointment.....  05
- Drinking or using drugs.....  06
- Unable to get an earlier appointment.....  07
- Other.....  08
- Refused.....  77
- Don't know.....  99

***If HT-7h = 8, ask HT-7h.1. Otherwise, go to HT-7i.***

HT-7h.1 ***Interviewer: Type in other reason Respondent did not seek HIV care soon after diagnosis:***

\_\_\_\_\_

HT-7i. When did you last go to your health care provider for HIV care?

*[77/7777=Refused, 99/9999 = Don't know]*                /            
(M M / Y Y Y Y)

***HT7i.1.***

***Was your last visit for HIV care in the past 6 months?***

- Yes.....***  ***1***
- No.....***  ***0***
- DK.....***  ***9***
- Ref.....***  ***7***

***INTERVIEWER INSTRUCTIONS: Refer to date of last visit based on HT-7i and HT7i.1.***

<b><i>≤ 6 months since last provider visit</i></b>	<b><i>Skip to HT-8</i></b>
<b><i>&gt; 6 months since last provider visit</i></b>	<b><i>Go to next question</i></b>
<b><i>Interval cannot be determined (date missing and HT7i.1=DK or Ref)</i></b>	<b><i>Skip to HT-8</i></b>

HT-7j. What is the main reason you have not gone to a health care provider for HIV care in the past 6 months? **[DO NOT Read reason types. Choose only ONE reason.]**

- Felt good, didn't need to go.....  01
- Don't want to think about being HIV positive/Denial.....  02
- Didn't have money or insurance.....  03
- Inconvenient (location/hours/time, etc.).....  04
- Forgot to go/Missed appointment.....  5
- Drinking or using drugs.....  06
- Appointment pending.....  07
- Other.....  08
- Refused.....  77
- Don't know.....  99

**If HT-7j = 8, ask HT-7j.1. Otherwise, go to HT-8.**

HT-7j.1. **Interviewer: Type in other reason Respondent has not sought HIV care in past 6 months:**

\_\_\_\_\_

HT-8. Are you currently taking antiretroviral medicines to treat your HIV infection?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If HT-8 in (1, 7, 9), skip to Say Box before HT-8b.**

HT-8a. What is the main reason you are not currently taking any antiretroviral medicines? **[DO NOT read reason types. Choose only ONE reason.]**

- Feel good, don't need them.....  01
- CD4 count and viral load are good.....  02
- Doctor advised to delay treatment.....  03
- Don't want to think about being HIV positive./Denial.....  04

- Worried about side effects .....  05
- Don't have money or insurance.....  06
- Drinking or using drugs.....  07
- Recently into medical care.....  08
- Other.....  09
- Refused.....  77
- Don't know.....  99

***If HT-8a = 9, ask HT-8a.1. Otherwise, go to Say Box before HT-8b.***

HT-8a.1 ***Interviewer: Type in other reason Respondent is not currently taking ARVs:***

\_\_\_\_\_

***SAY:*** Researchers are studying whether antiretroviral medicines could possibly be taken to prevent HIV infection.

- HT-8b. Before today, have you ever heard of people who do not have HIV taking antiretroviral medicines, to keep from getting HIV?
- No.....  0
  - Yes.....  1
  - Refused to answer.....  7
  - Don't know.....  9

***If participant answers 0, 7 or 9, skip to Say Box before HT-14.***

- HT-8c. In the past 12 months, have you given your antiretroviral medicines to a sex partner who was HIV-negative because you thought it might keep them from getting HIV?
- No.....  0
  - Yes.....  1
  - Refused to answer.....  7
  - Don't know.....  9

***Skip to SAY Box before HT-14***

**FOR PARTICIPANTS WHO HAVE NOT PREVIOUSLY TESTED HIV+:**

**SAY:** Researchers are studying whether anti-HIV medicine (also called antiretrovirals)-- a pill -- could possibly be taken to prevent HIV infection.

HT-9. Before today, have you ever heard of people who do not have HIV taking anti-HIV medicines, to keep from getting HIV?

- No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

***If participant answers 0, 7 or 9, skip to HT-13.***

HT-10. In the past 12 months, have you taken anti-HIV medicines after sex because you thought it would keep you from getting HIV?

- No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

HT-11. In the past 12 months, have you taken anti-HIV medicines before sex because you thought it would keep you from getting HIV?

- No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

***If participant has not taken PEP or PrEP in the past 12 months, skip to HT-13.***

HT-12. Please tell me if you got any of the anti-HIV medicines you took from the following people or places. Did you get them from...**[GIVE RESPONDENT FLASHCARD Q. READ ALL CHOICES.]**

	No	Yes	Refused to answer	Don't know
a. Doctor or other health care provider	0	1	7	9
b. Sex partner, friend, relative, or acquaintance	0	1	7	9
c. Internet	0	1	7	9
d. Some other place ( <i>Specify</i> _____)	0	1	7	9

**HT12d=1, ask HT12d.1. Otherwise, skip to HT-14.**

HT-12d.1. *Interviewer: Type in other specified place* \_\_\_\_\_.

**HT11 does NOT equal 1, ask HT12d.1. Otherwise, if HT-11 DOES equal 1, skip to HT-14.**

HT-13. Would you be willing to take anti-HIV medicines every day to lower your chances of getting HIV?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**FOR ALL PARTICIPANTS:**

**SAY:** Now I'm going to read you some statements. Please tell me how strongly you agree or disagree with each statement, using the options on this card. **[Give participant Flashcard G]**

HT-14. The first statement is... Most people in *[insert project area]* would discriminate against someone with HIV. Do you...**[READ choices. Mark only one.]**

- Strongly agree.....  01
- Agree.....  02
- Neither agree nor disagree.....  03
- Disagree.....  04
- Strongly disagree.....  05
- Refused to answer.....  07
- Don't know.....  09

HT-15. Most people in *[insert project area]* would support the rights of a person with HIV to live and work wherever they wanted to. Do you...**[READ choices. Mark only one.]**

- Strongly agree.....  01
- Agree.....  02
- Neither agree nor disagree.....  03
- Disagree.....  04
- Strongly disagree.....  05
- Refused to answer.....  07
- Don't know.....  09

HT16. Most people in *[insert project area]* would not be friends with someone with HIV. Do you...*[ READ choices. Mark only one.]*

- Strongly agree.....  01
- Agree.....  02
- Neither agree nor disagree.....  03
- Disagree.....  04
- Strongly disagree.....  05
- Refused to answer.....  07
- Don't know.....  09

HT-17. Most people in *[insert project area]* think that people who got HIV through sex or drug use have gotten what they deserve. Do you...*[READ choices. Mark only one.]*

- Strongly agree.....  01
- Agree.....  02
- Neither agree nor disagree.....  03
- Disagree.....  04
- Strongly disagree.....  05
- Refused to answer.....  07
- Don't know.....  09

## HEALTH CONDITIONS (HC)

**SAY:** Next, I'd like to ask you some questions about your health.

**If Respondent is Male (ES9 =1), ask HC-1**

- HC-1. Have you been circumcised?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**SAY:** The next questions are about hepatitis, an infection of the liver.

- HC-2. Has a doctor, nurse or other health care provider ever told you that you had hepatitis?
- No.....  0 → *Skip to HC-5*
- Yes.....  1
- Refused to answer.....  7 } *Skip to HC-5*
- Don't know.....  9 }

- HC-2a. What type or types of hepatitis have you had? [**CHECK ALL THAT APPLY.**]
- Hepatitis A.....  0
- Hepatitis B.....  1
- Hepatitis C.....  2
- Other.....  3
- If Other: Specify* \_\_\_\_\_
- Refused to answer.....  7
- Don't know.....  9

**If HC-2a=1, ask HC-3.**

- HC-3. Have you ever taken medicine to treat your hepatitis B infection?
- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If HC-2a=2, ask HC-4a through HC-4c. Else, skip to HC-5.**

HC-4a. When were you told you had hepatitis C? *[READ CHOICES. CHECK ONE.]*

- 6 months ago or less.....  0
- More than 6 months, but less than 1 year ago.....  1
- At least 1 year but less than 5 years ago .....  2
- At least 5 years but less than 10 years ago.....  3
- 10 years ago or more.....  4
- Refused to answer.....  7
- Don't know.....  9

HC-4b. Have you ever taken medicine to treat your hepatitis C infection?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If HC-4b= 0, 7, OR 9, skip to HC-5.**

HC-4c. Did your doctor tell you that you were cured of your hepatitis C infection after you finished taking medicine for hepatitis C?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**SAY:** Now I'm going to ask you about getting tested for hepatitis.

HC-5. Have you ever had a blood test to check for hepatitis C infection?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

**If HC-5 in (0, 7, 9), skip to HC-5b.**

HC-5a. When did you have your most recent hepatitis C test? *[READ CHOICES. CHECK only ONE]*

- 6 months ago or less.....  0
- More than 6 months ago, but less than 1 year....  1
- 1 year ago or more.....  2
- Refused to answer.....  7
- Don't know.....  9

HC-5b. Have you ever had a blood test to check for hepatitis B?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If HC-5b in (0,7,9), skip to HC-6.***

HC-5c. When did you have your most recent hepatitis B test? *[READ CHOICES. CHECK only ONE]*

- 6 months ago or less.....  0
- More than 6 months ago, but less than 1 year...  1
- 1 year ago or more.....  2
- Refused to answer.....  7
- Don't know.....  9

HC-6. There are vaccines or shots that can prevent some types of hepatitis. Have you ever had a hepatitis vaccine?

- No.....  0  *Skip to Say box before HC-7*
- Yes.....  1
- Refused to answer.....  7  *Skip to Say box before HC-7*
- Don't know.....  9

HC-6a. What type or types of hepatitis vaccine have you had? *[READ CHOICES. CHECK only ONE]*

- Hepatitis A vaccine.....  1
- Hepatitis B vaccine.....  2
- Both Hepatitis A and B vaccines.....  3

Refused to answer.....  7  
 Don't know.....  9

**SAY:** Now, I'm going to ask you some questions about sexually transmitted diseases, or STDs, other than HIV and hepatitis.

Has a doctor or other health care provider **ever** told you that you had any of the following: *[READ choices. CHECK YES or NO for each one.]*

	No	Yes	Refused to answer	Don't Know
HC-7. Genital herpes?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-8. Genital warts?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-9. Human papillomavirus or HPV?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9

HC-10. In the past 12 months, that is, since (\_\_\_/\_\_\_), were you **tested** by a doctor or other health care provider for a sexually transmitted disease like gonorrhea, chlamydia, or syphilis? Do NOT include tests for HIV or hepatitis.

No.....  0  
 Yes.....  1  
 Refused to answer.....  7  
 Don't know.....  9

**If HC-10 = 0, DK, or Ref, skip to HC-12.**

HC-11. In the past 12 months, that is, since (\_\_\_/\_\_\_), were you **tested** for... *[READ choices. CHECK YES or NO for each one.]*

	No	Yes	Refused to answer	Don't Know
a. Gonorrhea?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
b. Chlamydia?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
c. Syphilis?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
d. Some other STD (except HIV)?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
d.1 <i>If Yes: Specify</i> _____				

In the **past 12 months**, has a doctor or other health care provider told you that you had . . . **[READ choices. CHECK YES or NO for each one.]**

	No	Yes	Refused to answer	Don't Know
HC-12. Gonorrhea?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-13. Chlamydia?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-14. Syphilis?.....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-15. Some other STD (except HIV)?....	<input type="checkbox"/> 0.....	<input type="checkbox"/> 1.....	<input type="checkbox"/> 7.....	<input type="checkbox"/> 9
HC-15. <i>If Yes: Specify</i> _____				

HC-16. A vaccine to prevent HPV infection is available and is called the HPV shot, cervical cancer vaccine, GARDASIL®, or CERVARIX®. Have you ever received the HPV shot or cervical cancer vaccine?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

***If HC-16 in (0, 7, 9), skip to JT-1.***

HC-17. How old were you when you received your first dose of the HPV vaccine?

*[77= Refused, 99= Don't know]*      \_\_ \_\_ Range=5 – 46years.

## HIV TESTING IN JAIL (JT)

**SAY:** Now I will ask about experiences you may have had with the criminal justice system. Please remember your answers will be kept private.

JT-1. Have you ever been held in a detention center, jail, or prison for more than 24 hours?

- No.....  0 → *Skip to Say Box PA-1*  
Yes.....  1  
Refused to answer.....  7 } *Skip to Say Box PA-1*  
Don't know.....  9 }

JT-1a. During the past 12 months, that is, since <interview month> of last year have you been held in a detention center, jail, or prison, for more than 24 hours??

- No.....  0  
Yes.....  1  
Refused to answer.....  7  
Don't know.....  9

*If JT-1a in (0, 7, 9), skip to Say Box before PA-1.*

JT-2. During the past 12 months, when you were in detention, jail, or prison, did you get a test for HIV?

- No.....  0 → *Skip to JT-3*  
Yes.....  1  
Refused to answer.....  7 } *Skip to JT-3*  
Don't know.....  9 }

JT-2a. During the past 12 months, how many times did you get tested for HIV in detention, jail, or prison?

*[77 = Refused, 99 = Don't know]*      \_ \_ \_

JT-2b. *[If JT-2a > 1 and < 77, autofill with “Think of the last time you were tested for HIV in detention, jail, or prison.”]* Did you get the results of that HIV test?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

JT-3. During the past 12 months, when you were in detention, jail, or prison, did you get a test for hepatitis C?

No.....  0 → *Skip to Say Box before PA-1*

Yes.....  1

Refused to answer.....  7 } *Skip to Say Box before PA-1*

Don't know.....  9 }

JT-3a. During the past 12 months, how many times did you get tested for hepatitis C in detention, jail, or prison?

*[77 = Refused, 99 = Don't know]*      \_ \_

JT-3b. *[If JT-3a > 1 and < 77, autofill with “Think of the last time you were tested for hepatitis C in detention, jail, or prison.”]* Did you get the results of that hepatitis C test?

No.....  0

Yes.....  1

Refused to answer.....  7

Don't know.....  9

**ASSESSMENT OF PREVENTION ACTIVITIES (PA)**

***SAY: Next I'd like to ask you about HIV prevention activities that happen around here.***

PA-1. In the past 12 months, have you gotten any free condoms, not counting those given to you by a friend, relative, or sex partner?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If PA-1 in (0, 7, 9) AND participant injected in past 12 months, skip to PA-2.  
Else, if PA-1 in (0, 7, 9) AND participant did NOT inject in past 12 months, skip to PA-4.***

***If PA-1=1 AND NHBS-MSM, go to PA-1a.  
Else, if PA-1=1 AND NHBS-IDU, skip to PA-1b.  
Else if PA-1=1 AND NHBS-HET, skip to PA-1c.***

PA-1a. ***[GIVE RESPONDENT FLASHCARD R.]*** Which place or places on this list did you get free condoms from? ***[READ CHOICES. MARK ALL THAT APPLY.]***

- HIV/AIDS-focused community-based organization...  1
- GLBTQ organization or community health center.....  2
- Health center or clinic.....  3
- Bar, club, bookstore, or other business.....  4
- Some other place .....  5
- Refused to answer.....  7
- Don't know.....  9

***Skip to PA-1d.***

PA-1b. ***[GIVE RESPONDENT FLASHCARD S.]*** Which place or places on this list did you get free condoms from? ***[READ CHOICES. MARK ALL THAT APPLY.]***

- HIV/AIDS-focused community-based organization...  1
- Needle or syringe exchange program.....  2
- IDU outreach program.....  3

- Health center or clinic.....  4
- Drug or alcohol treatment program.....  5
- Some other place .....  6
- Refused to answer.....  7
- Don't know.....  9

***Skip to PA-1d.***

PA-1c. **[GIVE RESPONDENT FLASHCARD T.]** Which place or places on this list did you get free condoms from? **[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization.....  1
- Health center or clinic.....  2
- Bar, club, bookstore, or other business.....  3
- Drug or alcohol treatment program.....  4
- Some other place.....  5
- Refused to answer.....  7
- Don't know.....  9

PA-1d. Have you used any of the free condoms you received?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If injected drugs in past 12 months, go to PA-2. Otherwise, skip to PA-4.***

PA-2. In the past 12 months, that is, since <interview month> of last year have you gotten any new sterile needles for free, not including those given to you by a friend, relative, or sex partner?

- No.....  0 ***Skip to PA-3***
- Yes.....  1
- Refused to answer.....  7 ***Skip to PA-3***
- Don't know.....  9

PA-2a. **[GIVE RESPONDENT FLASHCARD S.]** Which place or places on this list did you get the free sterile needles from? **[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization...  1
- Needle or syringe exchange program.....  2
- IDU outreach program.....  3
- Health center or clinic.....  4
- Drug or alcohol treatment program.....  5
- Some other place .....  6
- Refused to answer.....  7
- Don't know.....  9

PA-2b. Have you used any of the free sterile needles you received?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

PA-3. In the past 12 months, have you gotten any new cookers, cotton, or water for free, not including those given to you by a friend, relative, or sex partner?

- No.....  0  **Skip to PA-4**
- Yes.....  1
- Refused to answer.....  7  **Skip to PA-4**
- Don't know.....  9

PA-3a. **[GIVE RESPONDENT FLASHCARD S.]** Which place or places on this list did you get those free items from? **[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization...  1
- Needle or syringe exchange program.....  2
- IDU outreach program.....  3
- Health center or clinic.....  4
- Drug or alcohol treatment program.....  5
- Some other place .....  6
- Refused to answer.....  7
- Don't know.....  9

PA-3b. Have you used the free cookers, cotton, or water that you received?

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

PA-4. In the past 12 months, have you had a one-on-one conversation with an outreach worker, counselor, or prevention program worker about ways to prevent HIV? Don't count the times when you had a conversation as part of an HIV test.

- No.....  0  **Skip to PA-5**
- Yes.....  1
- Refused to answer.....  7  **Skip to PA-5**
- Don't know.....  9

**If PA-4 in (0, 7, 9), skip to PA-5.**

**If PA-4=1 AND NHBS-MSM, go to PA-4a. Else,  
if PA-4=1 AND NHBS-IDU, skip to PA-4b. Else  
if PA-4=1 AND NHBS-HET, skip to PA-4c.**

PA-4a. **[GIVE RESPONDENT FLASHCARD R.]** Which type of organization did they work for?  
**[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization...  1
- GLBTQ organization or community health center.....  2
- Health center or clinic.....  3
- Bar, club, bookstore, or other business.....  4
- Some other place .....  5
- Refused to answer.....  7
- Don't know.....  9

**Skip to PA-4d.**

PA-4b. **[GIVE RESPONDENT FLASHCARD S.]** Which type of organization did they work for?  
**[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization...  1
- Needle or syringe exchange program.....  2
- IDU outreach program.....  3
- Health center or clinic.....  4
- Drug or alcohol treatment program.....  5
- Some other place .....  6
- Refused to answer.....  7
- Don't know.....  9

**Skip to PA-4d.**

PA-4c. **[GIVE RESPONDENT FLASHCARD T.]** Which type of organization did they work for?  
**[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization.....  1
- Health center or clinic.....  2
- Bar, club, bookstore, or other business.....  3
- Drug or alcohol treatment program.....  4
- Some other place.....  5
- Refused to answer.....  7
- Don't know.....  9

PA-4d. During those one-on-one conversation(s), did you: **[ASK EACH QUESTION, MARK NO OR YES FOR EACH]**

- |  | No                            | Yes                             | Refused<br>to answer            | Don't<br>Know              |
|--|-------------------------------|---------------------------------|---------------------------------|----------------------------|
| 1. Discuss ways to talk to a partner about safe sex?....   | <input type="checkbox"/> 0... | <input type="checkbox"/> 1...   | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                                 |                                 |                            |
| 2. Practice ways to talk to a partner about safe sex?..... | <input type="checkbox"/> 0... | <input type="checkbox"/> 1...   | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| 3. Discuss ways to effectively use condoms?.....           | <input type="checkbox"/> 0... | <input type="checkbox"/> 1...   | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                                 |                                 |                            |
| 4. Practice ways to effectively use condoms?.....          | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <b>[If injected drugs in past 12 months, ask:]</b>         |                               |                                 |                                 |                            |
| 5. Discuss how to prepare for safe injections?.....        | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                                 |                                 |                            |
| 6. Practice safe drug-injecting practices?.....            | <input type="checkbox"/> 0... | <input type="checkbox"/> 1..... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |

PA-5. In the past 12 months have you been a participant in any organized session(s) involving a small group of people to discuss ways to prevent HIV? Don't include discussions you had with a group of friends.

- No.....  0
- Yes.....  1
- Refused to answer.....  7
- Don't know.....  9

***If PA-5 in (0, 7, 9), skip to INT11.***

***If PA-5=1 AND NHBS-MSM, go to PA-5a.***

***Else, if PA-5=1 AND NHBS-IDU, skip to PA-5b.***

***Else if PA-5=1 AND NHBS-HET, skip to PA-5c.***

PA-5a. ***[GIVE RESPONDENT FLASHCARD R.]*** Which type of organization sponsored those sessions? ***[READ CHOICES. MARK ALL THAT APPLY.]***

- HIV/AIDS-focused community-based organization...  1
- GLBTQ organization or community health center.....  2
- Health center or clinic.....  3
- Bar, club, bookstore, or other business.....  4
- Some other place .....  5
- Refused to answer.....  7
- Don't know.....  9

***Skip to PA-5d.***

PA-5b. ***[GIVE RESPONDENT FLASHCARD S.]*** Which type of organization sponsored those sessions? ***[READ CHOICES. MARK ALL THAT APPLY.]***

- HIV/AIDS-focused community-based organization...  1
- Needle or syringe exchange program.....  2
- IDU outreach program.....  3
- Health center or clinic.....  4
- Drug or alcohol treatment program.....  5
- Some other place .....  6
- Refused to answer.....  7
- Don't know.....  9

***Skip to PA-5d.***

PA-5c. **[GIVE RESPONDENT FLASHCARD T.]** Which type of organization sponsored those sessions? **[READ CHOICES. MARK ALL THAT APPLY.]**

- HIV/AIDS-focused community-based organization.....  1
- Health center or clinic.....  2
- Bar, club, bookstore, or other business.....  3
- Drug or alcohol treatment program.....  4
- Some other place.....  5
- Refused to answer.....  7
- Don't know.....  9

PA-5d. During those organized group session(s), did you: **[ASK EACH QUESTION, MARK NO OR YES FOR EACH.]**

- |  | No                            | Yes                           | Refused to answer               | Don't Know                 |
|--|-------------------------------|-------------------------------|---------------------------------|----------------------------|
| 1. Discuss ways to talk to a partner about safe sex?....   | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                               |                                 |                            |
| 2. Practice ways to talk to a partner about safe sex?..... | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| 3. Discuss ways to effectively use condoms?.....           | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                               |                                 |                            |
| 4. Practice ways to effectively use condoms?.....          | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>[If injected drugs in past 12 months, ask:]</i>         |                               |                               |                                 |                            |
| 5. Discuss how to prepare for safe injections?.....        | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |
| <i>If yes, ask:</i>  |                               |                               |                                 |                            |
| 6. Practice safe drug-injecting practices?.....            | <input type="checkbox"/> 0... | <input type="checkbox"/> 1... | <input type="checkbox"/> 7..... | <input type="checkbox"/> 9 |

**BEFORE BEGINNING THE LOCAL QUESTIONS, THE INTERVIEWER ANSWERS THE FOLLOWING QUESTION. DO NOT READ THIS QUESTION TO THE RESPONDENT.**

**INT11. How confident are you of the validity of the respondent's answers?**

Confident.....  1

Some doubts.....  2

Not confident at all.....  3

*If response is 2 or 3, please explain why you are not confident in the respondent's answers:*

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**Auto8.** Time core questionnaire ended: \_\_ \_\_: \_\_ \_\_  1 AM  2 PM

**END SECTION**

**INTERVIEWER INSTRUCTIONS:**

*Please confirm. Did the person complete the survey?*

- No (did not complete the survey).....*  0
- Yes (did complete the survey).....*  1

***If consent for HIV test not recorded (CN-2 = 0), go to CONF23.***

**CONF23. INTERVIEWER INSTRUCTIONS:**

***SAY: My records reflect that you did not agree to HIV testing when asked earlier during the interview. Before I close out the survey, I'd like to ask you again about whether or not you would like an HIV test. Did you want the HIV test that is part of today's survey?***

- Yes (respondent DOES want the test).....*  1
- No (respondent DOES NOT want the test).....*  0

***If CONF23 =1, go to CN-2.***

- CN-2. Do you agree to HIV counseling and testing?
- No.....  0
  - Yes.....  1

***If CN-2=0, display:***

***Interviewer:*** You have documented that the person DID NOT consent to HIV counseling and testing. If the person DID consent to HIV testing, please arrow back and re-enter the consent for HIV testing.

***If interviewer confirms CN-2=0, and NHBS-MSM, skip to Interviewer Comments Section.***

***If interviewer confirms CN-2=0, and NHBS-IDU, skip to Interviewer Comments Section.***

***If interviewer confirms CN-2=0 and NHBS-HET, skip to Interviewer Comments Section.***

- CN-3. Do you agree to have other lab tests (if offered)?
- No.....  0
  - Yes.....  1
  - Does not apply.....  8

CN-4. Do you agree to let us store a sample of your blood for future testing?

No.....  0

Yes.....  1

Does not apply.....  8

### **FOR NHBS-IDU**

*Message about Eligibility to Receive Coupons:*

*If COMPLETE=1 AND VALIDITY ≠ 3:*

*"This respondent is ELIGIBLE to recruit others and receive coupons."*

*Message about not being eligible to receive coupons:*

*If VALIDITY = 3 OR COMPLETE=0:*

*"This respondent is NOT eligible to recruit others or receive coupons."*

### **FOR NHBS-HET**

*Message about Eligibility to Receive Coupons:*

*Non-seeds:*

*If participant met HET definition {at/below poverty OR low education AND gender=male or female AND no IDU in past 12 mos.}, AND COMPLETE=1 AND (VALIDITY =1 or 2);*

*Seeds:*

*If participant met recruiter criteria for non-seed AND HRA=1 AND EVRINJ=0;*

*"This respondent is ELIGIBLE to recruit others and receive coupons."*

*Message about not being eligible to receive coupons:*

*Non- seeds:*

*If participant did NOT meet HET definition OR VALIDITY = 3 OR COMPLETE = 0*

*Seeds:*

*If participant did NOT meet HET definition OR VALIDITY = 3 OR COMPLETE = 0 OR participant does NOT live in an HRA OR participant ever injected;*

*"This respondent is NOT eligible to recruit others or receive coupons."*

*To the Interviewer: Do you have any additional comments to add?  
If yes, enter comments below:*

Interviewer Comments

**LOCAL USE QUESTIONS FOLLOW**

*After completing the local questions say:  
Do you have any questions about the issues we've talked about?*

*Thank the respondent for their time and end the interview.*

## National HIV Behavioral Surveillance System: Flashcards

### FLASHCARD A

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White

### FLASHCARD B.1

- A relative or family member
- A person you have sex with
- A person you use drugs with or buy drugs from
- A friend
- An acquaintance
- A stranger

### FLASHCARD B.2

- A relative or family member
- A person you have sex with
- A friend
- An acquaintance
- A stranger

### FLASHCARD C

How many people do you know who are:

- Friends, relatives, or other people you associate with, AND
- Who are at least 18 years old, AND
- Who live in *[insert project area]*

### FLASHCARD E

	<u>MONTHLY INCOME</u>	<i>OR</i>		<u>YEARLY INCOME</u>
A.	\$0 to \$417		A.	\$0 to \$4,999
B.	\$418 to \$833		B.	\$5,000 to \$9,999
C.	\$834 to \$1,041		C.	\$10,000 to \$12,499
D.	\$1,042 to \$1,250		D.	\$12,500 to \$14,999
E.	\$1,251 to \$1,667		E.	\$15,000 to \$19,999
F.	\$1,668 to \$2,082		F.	\$20,000 to \$24,999
G.	\$2,083 to \$2,500		G.	\$25,000 to \$29,999
H.	\$2,501 to \$2,916		H.	\$30,000 to \$34,999
I.	\$2,917 to \$3,333		I.	\$35,000 to \$39,999
J.	\$3,334 to \$4,167		J.	\$40,000 to \$49,999
K.	\$4,168 to \$4,999		K.	\$50,000 to \$59,999
L.	\$5,000 to \$6,250		L.	\$60,000 to \$74,999
M.	\$6,251 or more		M.	\$75,000 or more

### **FLASHCARD F**

- Private health plan
- Medicaid
- Medicare
- Some other government plan
- TRICARE (CHAMPUS)
- Veterans Administration coverage
- Some other health care plan

### **FLASHCARD G**

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

## **FLASHCARD H.1**

### **Definition of "Having Sex"**

Oral, vaginal, or anal sex.

- Oral sex means mouth on the vagina or penis
- Vaginal sex means penis in the vagina
- Anal sex means penis in the anus (butt)

## **FLASHCARD H.2**

### **Definition of "Having Sex"**

Oral or anal sex.

- Oral sex means mouth on the penis
- Anal sex means penis in the anus (butt)

## FLASHCARD I

### *Female Sex Partners*

**Main partner:**

A woman you have sex with and who you feel committed to above anyone else. This is a partner you would call your girlfriend, wife, significant other, or life partner.

**Casual partner:**

A woman you have sex with but do not feel committed to or don't know very well.

## FLASHCARD J

### *Male Sex Partners*

**Main partner:**

A man you have sex with and who you feel committed to above anyone else. This is a partner you would call your boyfriend, husband, significant other, or life partner.

**Casual partner:**

A man you have sex with but do not feel committed to or don't know very well.

### **FLASHCARD K**

- Definitely did not
- Probably did not
- Probably did
- Definitely did
- Refused to answer
- Don't know

### **FLASHCARD L**

- Never
- More than once a day
- Once a day
- More than once a week
- Once a week
- More than once a month
- Once a month
- Less than once a month

**FLASHCARD M**  
**FOR USE WITH ALCOHOL QUESTIONS**



**1 Shot of Liquor**  
(Whisky, Vodka, Gin, etc.)  
1.5 oz.



**1 Regular Beer**  
12 oz.



**1 Glass of Wine**  
5 oz.

### **FLASHCARD N**

- Pharmacy or drug store
- Doctor's office, clinic, or hospital
- Friend, acquaintance, relative, or sex partner
- Needle or drug dealer, shooting gallery, hit house, off the street
- Needle exchange program

### **FLASHCARD O**

- Never
- Rarely
- About half the time
- Most of the time
- Always

### **FLASHCARD P**

- Sex partner
- Friend or acquaintance
- Relative
- Needle or drug dealer
- Stranger

### **FLASHCARD Q**

- Doctor or other health care provider
- Sex partner, friend, relative, or acquaintance
- Internet
- Some other place

### **FLASHCARD R**

- HIV/AIDS-focused community-based organization
- GLBTQ organization or community health center
- Health center or clinic
- Bar, club, bookstore, or other business
- Some other place

### **FLASHCARD S**

- HIV/AIDS-focused community-based organization
- Needle or syringe exchange program
- IDU outreach program
- Health center or clinic
- Drug or alcohol treatment program
- Some other place

## **FLASHCARD T**

- HIV/AIDS-focused community-based organization
- Health center or clinic
- Bar, club, bookstore, or other business
- Drug or alcohol treatment program
- Some other place

*English Version; Grade Reading Level by Flesch-Kincaid Method: 7.2*

## **National HIV Behavioral Surveillance System Model Consent Form**

The [Agency Name] and the Centers for Disease Control and Prevention (CDC) invite you to be part of a research study of persons who may be at risk for HIV infection. The information I will give you can help you make a good choice about joining the study.

### **A. Why we are doing this project**

The purpose of this study is to learn about risk for HIV. We will use this information to plan better HIV prevention and treatment programs for people in your community. Being in this study is voluntary.

### **B. What will happen**

If you agree to be in this study, this is what will happen.

1. You will do a survey with a trained staff member.

The survey has questions about your health, drug use, sex practices, and HIV prevention services. It will take about 40 minutes. At the end of the survey, I may offer you a chance to recruit up to 5 other people for this study.

2. If you agree to the survey, we will offer you a free HIV test. If you already know that you are HIV-infected, we would still like to offer you an HIV test today so that we can link today's HIV test result with your survey results.
3. *[For sites doing HIV tests via blood draw only]* If you agree to an HIV test, you will also be asked to have your blood sample stored
4. *[For sites doing hepatitis testing]* If you agree to the HIV test, we will also offer you free hepatitis B and C testing.

If you agree to the HIV test, you will have a 10- to 15-minute HIV prevention counseling session with a trained staff member. The session will cover the meaning of results from the HIV test. You will also learn about how to reduce your chances of being infected with HIV and other infectious diseases.

The HIV test will be done by a standard or rapid test as discussed below.

*[For sites doing the Standard Test]*

#### *Standard Test*

We will [draw less than 1 tablespoon of your blood using a needle/stick the tip of one of your fingers to obtain a few drops of blood/take a swab from your mouth] and test it for HIV. Your test results will be ready within one week. We will set up a day and time for you to get your results. You will get

counseling about what the test results mean and referrals to services, if needed. [*For sites that allow HIV test phone results: If you cannot return for your HIV test results, you can arrange to receive your counseling and test results by telephone.*]

*[For sites doing the Rapid Test]*

#### *Rapid Test*

We will [stick the tip of one of your fingers to obtain a few drops of blood/take a swab from your mouth]. You will get counseling about what the test result means. You can get the result of your HIV test within 1 hour. You will get referrals to services, if needed. If the rapid test result is reactive, or if you know you are already HIV- infected, we will [draw less than 1 tablespoon of your blood by needle/stick the tip of one of your fingers to obtain a few drops of blood/swab the inside of your mouth for oral fluid] for a second test to confirm your rapid test result. The result of the confirmatory test will be ready within one week. We will set up a day and time for you to get your results.

*[For sites doing the Rapid Test Algorithm]*

#### *Rapid Test Algorithm*

We will [stick the tip of one of your fingers to obtain a few drops of blood/take a swab from your mouth]. You can get the result of your HIV test within 1 hour. You will get counseling about what the test result means. If the first rapid test is reactive, or if you know you are already HIV- infected, we will do up to two additional tests to confirm your results. For the additional rapid tests, we will [draw less than 1 tablespoon of your blood by needle/stick the tip of one of your fingers to obtain a few drops of blood/swab the inside of your mouth for oral fluid]. Finally, we will use this same [blood/oral fluid] to confirm your rapid test result in a laboratory. The result of the confirmatory test will be ready within one week. We will set up a day and time for you to get your results.

*[For sites doing Hepatitis B and C Tests]*

#### *Hepatitis B and C Tests*

If you agree to an HIV test, we can offer you free screening for hepatitis B and C infection. We will collect a blood sample (about 2 teaspoons) with a needle from your arm. You will get counseling about what the test results mean. You will get referrals to services, if needed. The result of the hepatitis B and C tests will be ready within two weeks. We will set up a day and time for you to get your results. You will get counseling about what the test results mean and referrals to services, if needed. [*For sites that allow hepatitis test phone results: If you cannot return for your HIV test results, you can arrange to receive your counseling and test results by telephone.*]

*[Include any additional test to be offered].*

#### *Linkage*

We will link your test results with your survey so we can learn about sexual and drug-use risk behaviors known to be connected with HIV infection. We will link your test results using the same ID assigned to the survey. This is an anonymous survey and testing project. Your name will not be on the test results or the survey. No one besides you will be told your test results, and neither the survey nor the test will be placed in any medical record.

*[For sites doing Storage for Additional Tests]*

#### *Storage for Additional Tests*

We would like to store any blood that is left over after we do your test. We plan to use this sample for studies we will do in the future. We will store your sample with some data about you, such as your age, race, and sex. We will not put your name on the sample and there will be no way to know it is yours: thus, we will not be able to report back any test results to you. We will not conduct any genetic testing or

use blood for cloning or commercial purposes. You can decline to let us store your blood and still be in this study. If you do not wish to have us store your blood, your blood sample will be destroyed after this testing is completed. If you agree to have us store your blood, we will destroy your blood sample within 10 years.

**C. Things to consider**

There are minimal risks from being in this study:

1. Some of the questions in the survey are about sex and drugs and may make you feel uncomfortable.
2. [*If doing phlebotomy*: Drawing blood may cause temporary discomfort from the needle stick, bruising, bleeding, light-headedness, and local infection.]
3. You may feel uncomfortable finding out you might have been infected with HIV.
4. If your HIV test result is negative, there is a slight chance that the results are wrong and that you could still be infected.

**D. Benefits**

Benefits you may get from being in this study include:

1. You will receive condoms and information on HIV/AIDS and STDs.
2. You will receive free referrals to other local programs, as needed.
3. If your HIV [*or additional tests offered*] results are positive, you will be counseled about ways to prevent the spread of infection and you will be able to talk about your concerns, if you wish. You will also be referred for medical care.
4. If your test results are negative, you will receive counseling on how to prevent future infections.

**E. Alternatives**

If you choose not to take part in the study but would like to take an HIV test, we will inform you of agencies or organizations that provide testing. You will get no medical treatment in this study.

**F. Compensation**

You will be paid for the time you spend taking part in the study. For completion of the survey, you will get [*survey incentive*]. If you take part in the HIV test, you will get an additional [*HIV test incentive*]. You may also get [*recruitment incentive*] each for up to 5 people whom you send to us for the study. [*If you take part in other tests offered, you will get (incentives for additional tests offered if applicable)*].

**G. Persons to Contact**

This study is run by: *[name of principal investigator and phone number]*. You may call [him/her] with any questions about being in the study.

If you have questions about your rights as a participant or if you feel that you have been harmed, contact *[IRB committee or contact name and phone number]*.

If you want one, you will get a copy of this form to keep.

**H. Confidentiality Statement**

This survey is anonymous. Your responses and test results will be labeled with a study number only. The study staff at **[Agency name]** and CDC will have access to the survey. Collaborators from other project sites will have access to the survey, but will not be allowed to see any information that could identify you. Your responses will be grouped with survey answers from other persons.

If you know me, you may ask for another staff member so that your answers will be fully anonymous.

**I. Costs**

You will not be charged for counseling, the HIV test *[any additional tests offered]*, safer sex and HIV prevention materials, referrals to appropriate agencies, or any other services provided by this study.

**J. Right to Refuse or Withdraw**

This study is completely VOLUNTARY. You are not giving up any legal claims or rights for being a part of this study. If you agree to participate, you are free to quit at any time. You may refuse to answer any question. You can choose to only do the survey and not to have an HIV test *[or any additional tests offered]*. You can also choose not to recruit others.

**K. Agreement**

Do you have any questions?

***Interviewer: Answer the participant's questions before proceeding to the next question.***

You have read or had read to you the explanation of this study, you have been given a copy of this form, the opportunity to discuss any questions that you might have and the right to refuse participation. I am going to ask for your consent to participate in this study.

*(Consent will be documented by the interviewer in the handheld computer as follows:)*

Do you agree to take part in the survey?

- Yes
- No

Do you agree to HIV counseling and testing?

- Yes
- No

Do you agree to having other lab tests (if offered)?

- Yes
- No

Do you agree to storing a blood sample for future testing (if offered)?

- Yes
- No

***If survey declined:***

**We're interested in knowing why people do not want to do this study. Would you mind telling me which of the following best describes the reason you do not want to do this study?**

- You don't have time.....  1
- You don't want to talk about these topics.....  2
- Some other reason, or .....  3
- You'd rather not say why.....  9

## Appendix G

## Model Consent Talking Points

*English Version; Grade Reading Level by Flesch-Kincaid Method: 7.7*

### **All participants will be provided a copy of the full consent form**

1. This is a research study conducted by *[name of local agency/organization]* to collect information on HIV in your community. We will use this information to plan better HIV prevention and treatment programs for people in your community.
2. Taking part in this project is your decision. Your choice will not affect your right to health care or other services. We will send information from this study to the CDC, but we will not send any information that could identify you.
3. If you agree to participate, you will do a survey with me. I'll ask you questions about your sex practices, drug use, and other health topics. You can refuse to answer any questions. You can stop the survey at any time without penalty. The survey will take about 40 minutes.
4. I'll offer you an HIV test. This will involve *[drawing a small amount of blood using a needle/swabbing your mouth for oral fluid]*. Your results will be ready within *[1hour/1 week]*. *[Explain how participant will receive results of any non-rapid (standard or confirmatory) tests]*. *[If asking to store blood]:* If you agree, we'll store any blood left over for future studies. *[If conducting hepatitis testing]:* If you agree to HIV testing, we will also offer you free hepatitis B and C tests. This will involve drawing an additional small amount of blood.
5. I may give you the option to invite up to 5 people to participate in the study.
6. There are minimal risks from being in this study. Some survey questions may make you feel uncomfortable and knowing your HIV test status may be upsetting, but I am here to discuss any concerns you have.
7. You may benefit from this study by learning about HIV/AIDS and other STIs and how to prevent them. You will also learn your HIV status *[or results of any additional tests offered]* and we will refer you for any specialized treatment you may need.
8. If you take the survey we'll pay you *[insert survey incentive amount]*. If you take the HIV test, we'll pay you an additional *[insert HIV test incentive amount]*. *[If you take part in other tests offered, you will get (insert incentives for additional tests offered if applicable)]*. After the survey, I may ask you to invite a small number of people you

know to participate in this study. If you agree, you may receive *[insert recruitment incentive amount]* for each person you refer. *[Insert any additional incentives offered]*.

9. If you decide not to participate, there will be no penalty to you.
10. If you have any questions about this study, you can contact these people [**refer participant to contact information on full consent form**].
11. Everything you tell us will be kept private—it will only be available to people working on this study—and the entire process is anonymous. I will not ask your name.
12. Do you agree to take the survey?
13. Do you agree to the HIV test?
14. *[if applicable]* Do you agree to have your blood stored?
15. *[if applicable]* Do you agree to the Hepatitis test?

## Appendix H

## Model Hepatitis Testing Log

Hepatitis B:

SURID	Specimen collected for hepatitis testing?	Lab ID# (if different from HIV test ID)	Hep B Core total AB (anti-HBc)	Hep B surface antibody (anti-HBs)	HBsAb Titer	Hep B Surface AG (HBsAg)	Hepatitis B Result Interpretation	Received Hep B test result?	Comments

Hepatitis C:

SURID	Specimen collected for hepatitis testing?	Lab ID# (if different from HIV test ID)	Hep C Ab EIA Type	Hep C Ab EIA result	Hep C Ab Signal-to-Cutoff Ratio (SCO)	Hepatitis C confirm test type	Hepatitis C confirm test result (if PCR)	Hepatitis C confirm test result (if RIBA)	Hepatitis C Result Interpretation	Received Hep C test result?	Comments

Note: Shaded columns are redundant in each log. Logs can be combined into a single row with only 1 column each for **SURID**, **Specimen collected for hepatitis testing**, **Lab ID#**, and **Comments** fields.

## Appendix I

## Model HIV Phone Result Protocol

**Note:** This protocol was used by Los Angeles County staff for Project 1 (IRB#3901).

**Goal:** To provide telephone HIV results and posttest counseling to eligible clients in a confidential, sensitive, and safe manner while meeting mandated requirements for counseling HIV-positive persons.

### I. Eligibility criteria

- A. During pre-test sessions, all clients will be offered the option of receiving test results either by a phone call, or by an in-person appointment. The option is to be offered to the client in a neutral tone, with no attempt made to influence the client's decision about which option to choose.
- B. Clients must agree to meet in person with one of the study counselors or a health care provider within 48 hours after a positive or indeterminate result is given.
- C. Clients must have the UTC code, lab slip number, and a unique "password" available when the call is made to get results.
- D. Clients should identify at least one person in their support system that they could talk to if the test is positive or indeterminate.

### II. Procedure

- A. Clients who meet the eligibility criteria for phone results will be asked if they want to receive results over the phone. The Phone Result phone number is \_\_\_\_\_.
  1. Clients may choose to return in person for their results.
  2. Counselors may deny phone results to eligible clients if their mental status, i.e., anxiety, depression, or the need for structured posttest counseling indicates a need to return in person for results.
  3. Consult [**Supervisor's name**] if you have questions about eligibility for phone results.
- B. Study counselors
  1. Clients will be asked to identify one support person and a unique "password" (such as their mother's birthdate or the last 4 digits of a social security number).
  2. Clients will be given a phone result card with the phone result line number, the client's UTC code, lab slip number, and specific times to *call for results*. **Inform the client that she/he must remember her/his password**—without it, he will have to return to the testing site to get results.
  3. Calls for phone results will be taken on Mondays, Wednesdays, and Fridays, between the hours of 10:00 AM - 12:00 PM and 2:00 PM - 4:00 PM. Voice mail will be activated during other times.
  4. Clients must provide the UTC code, lab slip number, and password ***before HIV test results and posttest counseling will be given by phone***. Clients without this information need to return for results in person. Clients who call the phone result

number outside of scheduled hours will be transferred to the phone result voice mail or be asked to call back during phone result hours.

5. If a test result is **positive or indeterminate**, study counselors will speak with the client on the phone, assure that the client is not immediately suicidal, and arrange a time within the next 48 hours to: 1) meet in person with the client or; 2) arrange for an appointment with follow-up HIV care and treatment. The meeting can be at the project's mobile clinic van, at health care provider's office, or at a place the client chooses. At that time risk reduction counseling, emotional support, partner notification, and referral to the community referrals will be made.
  6. Clients with **positive or indeterminate** test results will be contacted by phone if they have not received their result in 7 days after their initial phone result was scheduled (provided that they left a phone number during the pre-test counseling session for this purpose).
  7. Study counselors will not leave test results on the client's answering machines or voice mail.
  8. Clients' UTC code, lab slip number, and password will be written in the phone appointment book and kept in a locked cabinet.
- C. Paperwork
1. Pre-test
    - a) Document client eligibility criteria, password, and additional instructions in testing chart.
    - b) Complete information on Phone Result Card.
    - c) Assure that UTC, lab slip number, and password are written in the phone appointment book.
  2. Posttest
    - a) Check "phone" in the "appointment type" section of the regular testing log book.
    - b) Enter date that test result is given in both the phone appointment book and regular testing log book.
    - c) Document posttest counseling. In a client with a positive or indeterminate result, the plan for social support, information about suicide intent, and follow-up meeting date and time must be written in the chart notes and phone appointment book.
    - d) Handling an upset, tearful, angry client or a client threatening suicide.
      - (1) Client threatening suicide.
        - (a) **Be calm, take slow deep breaths, keep client engaged in conversation.**
        - (b) Get help---supervisor or another counselor.
        - (c) If client is alone and has means and intention for suicide, ask someone to call the Cedars-Sinai Psychological Trauma Center @ 310-423-3506. This team will go to the location of the suicidal client and provide services. Stay on the phone with the client until help arrives.
      - (2) Upset, tearful, or angry client.
        - (a) **Be calm, take slow deep breaths, listen, validate feelings.**

- (b) Use active listening.
- (c) Ask if there is a friend you can call to come be with client.
- (d) Stay with client on phone until the client doing better. Problem solve what to do now. Make arrangements to meet with the client the next day.
- (e) Refer to therapist or support group.

D. Other

1. Any calls for phone results during non-disclosure times should be transferred to the phone result voice mail or asked to call back during the voice mail times.
2. Voice mail message
  - a) Hello, you have reached 213-351-8173. Staff is available from 10:00 AM to 12:00 noon, and 2:00 PM and 4:00 PM on Mondays, Wednesdays, and Fridays to give results. If you have a question or want a result, please call back during these times. If you reach a busy signal during these times you may leave a message or call back in several minutes.

E. Evaluation

1. The Phone Results Protocol will continue for three months before an assessment of its effectiveness is conducted.
2. Data examined will be the number of clients who returned for their results and the number of HIV positives, comparing to three months prior to initiation of Phone Results Protocol.
3. Ask clients what they think of phone results and was this service helpful.
4. Keep a log or problems and difficult situations encountered. Report any adverse events to the supervisor immediately.
5. Conduct a weekly debriefing session of phone results; develop strategies to deal with problems.

**Log for Rapid HIV Testing:**

Survey ID	Lab ID	Rapid Test Method *	Self-reported HIV+ during interview? (Y/N)	Rapid Test Result*	Returned Rapid Test Result (Y/N)	For preliminary HIV+: Collected Confirmatory Specimen (Y/N)	For preliminary HIV+: Type of Confirmatory Specimen	For preliminary HIV+ if did not self-report HIV+ during interview: Self-reported HIV+ during counseling session? (Y/N)	Comments**

\* Project sites performing a multiple rapid test algorithm should modify the log accordingly.

\*\* If unable to collect a confirmatory specimen, provide reason in comments section.

**Log for Laboratory-based HIV Testing:**

Survey ID	Lab ID	Collected Lab Specimen (Y/N)	Specimen Type	Self-reported HIV+ during interview? (Y/N)	Test Type*	Test Result*	Final Test Result Returned (Y/N)	Comments**

\*The log will contain a column for each type of test (EIA, Western Blot, NAAT, etc) performed

\*\* If unable to collect a confirmatory specimen, provide reason in comments section.

## Appendix K

## Assurance of Confidentiality for HIV/AIDS Surveillance Data

### ASSURANCE OF CONFIDENTIALITY FOR SURVEILLANCE OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) AND INFECTION WITH HUMAN IMMUNODEFICIENCY VIRUS (HIV) AND SURVEILLANCE-RELATED DATA (INCLUDING SURVEILLANCE INFORMATION, CASE INVESTIGATIONS AND SUPPLEMENTAL SURVEILLANCE PROJECTS, RESEARCH ACTIVITIES, AND EVALUATIONS)

The national surveillance program for HIV/AIDS is being coordinated by the Surveillance Branch of the Division of HIV/AIDS Prevention - Surveillance and Epidemiology (DHAP - SE), the National Center for HIV/STD/TB Prevention, a component of the Centers for Disease Control and Prevention (CDC), an agency of the United States Department of Health and Human Services. The surveillance information requested by CDC consists of reports of persons with suspected or confirmed AIDS or HIV infection, including children born to mothers infected with HIV, and reports of persons enrolled in studies designed to evaluate the surveillance program. The information collected by CDC is abstracted from laboratory, clinical, and other medical or public health records of suspected or confirmed HIV/AIDS cases; and from surveys that interview persons in recognized HIV risk groups or known to have a diagnosis of HIV/AIDS.

Surveillance data collection is conducted by State and Territorial health departments which forward information to CDC after deleting patient and physician names and other identifying or locating information. Records maintained by CDC are identified by computer-generated codes, patient date of birth, and a state/city assigned patient identification number. The data are used for statistical summaries and research by CDC scientists and cooperating state and local health officials to understand and control the spread of HIV/AIDS. In rare instances, expert CDC staff, at the invitation of state or local health departments, may participate in research or case investigations of unusual transmission circumstances or cases of potential threat to the public health. In these instances, CDC staff may collect and maintain information that could directly identify individuals.

Information collected by CDC under Section 306 of the Public Health Service Act (42 U.S.C. 242k) as part of the HIV/AIDS surveillance system that would permit direct or indirect identification of any individual or institution on whom a record is maintained, and any identifiable information collected during the course of an investigation on either persons supplying the information or persons described in it, is collected with a guarantee that it will be held in confidence, will be used only for the purposes stated in this Assurance, and will not otherwise be disclosed or released without the consent of the

individual or institution in accordance with Section 308 (d) of the Public Health Service Act (42 U.S.C. 242m(d)). This protection lasts forever, even after death.

Information that could be used to identify any individual or institution on whom a record is maintained by CDC will be kept confidential. Full names, addresses, social security numbers, and telephone numbers will not be reported to this national HIV/AIDS surveillance system. Medical, personal, and lifestyle information about the individual, and a computer-generated patient code will be collected.

Surveillance information reported to CDC will be used without identifiers primarily for statistical and analytic summaries and for evaluations of the surveillance program in which no individual or institution on whom a record is maintained can be identified, and secondarily, for special research investigations of the characteristics of populations suspected or confirmed to be at increased risk for infection with HIV and of the natural history and epidemiology of HIV/AIDS. When necessary for confirming surveillance information or in the interest of public health and disease prevention, CDC may confirm information contained in case reports or may notify other medical personnel or health officials of such information; in each instance, only the minimum information necessary will be disclosed.

No CDC HIV/AIDS surveillance or research information that could be used to identify any individual or institution on whom a record is maintained, either directly or indirectly, will be made available to anyone for non-public health purposes. In particular, such information will not be disclosed to the public; to family members; to parties involved in civil, criminal, or administrative litigation, or for commercial purposes; to agencies of the federal, state, or local government. Data will only be released to the public, to other components of CDC, or to agencies of the federal, state, or local government for public health purposes in accordance with the policies for data release established by the Council of State and Territorial Epidemiologists.

Information in this surveillance system will be kept confidential. Only authorized employees of DHAP - SE in the Surveillance Branch and Statistics and Data Management Branch, their contractors, guest researchers, fellows, visiting scientists, research interns and graduate students who participate in activities jointly approved by CDC and the sponsoring academic institution, and the like, will have access to the information. Authorized individuals are required to handle the information in accordance with procedures outlined in the Confidentiality Security Statement for Surveillance of Acquired Immunodeficiency Syndrome (AIDS) and Infection with Human Immunodeficiency Virus (HIV) and Surveillance-Related Data (Including Surveillance Information, Case Investigations and Supplemental Surveillance Projects, Research Activities, and Evaluations).

MEMORANDUM

*Date:*

**From:** (Principal Investigators)

**Subject:** Request of Waiver of Documentation of Informed Consent, Protocol (#)

**To:** Human Subjects Committee

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**We submit for your review a request to waive documentation of informed consent for protocol (#) entitled “National HIV Behavioral Surveillance among [insert current NHBS cycle].” We request a waiver of documentation of informed consent as provided in the second criterion (below) under Federal Regulations Title 46, Section 117, Documentation of Informed Consent, paragraph (c):**

*An IRB may waive the requirement for the investigator to obtain a signed informed consent for some or all subjects if it finds either:*

- (1) That the only record linking the subject and the research would be the consent document and the principal risk would be the potential harm resulting from a breach of confidentiality. Each subject would be asked whether the subject wants documentation linking the subject with the research, and the subject’s wishes will govern; or*
- (2) That the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.*

**Protocol (#) presents no more than minimal risk of harm to subjects. Participation involves the completion of an anonymous interviewer-administered risk behavior questionnaire and a voluntary HIV counseling and testing component.**

## Appendix M

## Required Elements of Informed Consent

The Code of Federal Regulations for the Protection of Human Subjects, Section §46.116, describes eight elements required in each consent process/document. Element number six is only required if the research is determined to be greater than minimal risk.

Element	45 CFR 46.116(a)
1.	A. a statement that the study involves research
	B. an explanation of the purposes of the research
	C. the expected duration of the subject's participation
	D. a description of the procedures to be followed
	E. identification of any procedures which are experimental
2.	a description of any reasonably foreseeable risks or discomforts to the subject
3.	a description of any benefits to the subject or to others which may reasonably be expected from the research
4.	a disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject
5.	a statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained
6.	A. an explanation as to whether any compensation is available if injury occurs
	B. an explanation as to whether any medical treatments are available if injury occurs, and, if so
	C. what they consist of or where further information may be obtained
7.	A. an explanation of whom to contact for answers to pertinent questions about the research
	B. an explanation of whom to contact for answers to pertinent questions about the research subjects' rights
	C. whom to contact in the event of a research-related injury to the subject
8.	A. a statement that participation is voluntary
	B. refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled
	C. the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled

## Appendix N

## Model Recruiter Training Talking Points

### Who to recruit

- Give the coupon to someone you know, such as a friend, relative or someone you associate with, and **not a stranger**.
- Give the coupon to someone who has not participated already.
- There are eligibility criteria for the project, but we can't tell you what they are. If you follow the advice, chances are that the person you recruit will be eligible.

### Coupons

- You will not be paid for someone who is not eligible.
- You will not get replacement coupons if the coupons are lost or the person recruited turns out to be ineligible.
- Everyone has to have a valid coupon to be in the study.

### Time

- People who are not capable of completing the interview won't be eligible.
- Tell the person you recruit to have the coupon with them when they make an appointment.
- Everyone who completes an interview will get *[survey incentive]*. Everyone who also takes an HIV test will get *[HIV test incentive]*.
- The whole process for the study takes about 1 hour.
- Coupons will expire and the study will end at some point.

### Rewards for recruiting

- You will get paid *[recruiter incentive]* for each person who you successfully recruit; the *[recruiter incentive]* is not guaranteed just because you give someone a coupon.
- You will not be paid for someone who does not do an interview. If they don't do the interview, they won't get paid and you won't get paid.
- Call the office to find out if you are due a reward.
- We can't tell you who came in with a coupon from you.
- We will only pay you—don't send someone else in to get paid.

### Recruiter questions

- We ask questions so that we can identify you again when you come to get your rewards.
- We link the number of the coupons we give you to the coupon you brought in, so we know who to pay.

Offer to answer any of the recruiter's questions. Thank them for helping with the project.