Appendix Z

Telephone Interviewing Procedures with Human Subjects Implications

The PRAMS telephone interviewing procedures require contact with participants or access to identifiable information about participants. As such, the PRAMS Model Protocol and Telephone Interviewer Manual include procedures for protecting human participants in PRAMS. For example, when making telephone call attempts, leaving answering machine messages, practicing refusal conversion, encountering sensitive situations, and implementing procedures to handle emergency situations, interviewers must remember to adhere to the protocol and interviewing guidelines to:

1. Obtain informed consent and fully inform the participants about the study
2. Protect the participants' confidentiality by not revealing the nature of the survey to other household members
3. Administer the survey correctly
4. Respect the participants' right to withdraw from the research without penalty of any kind

Below, place the manual development task boxes from the Telephone Interviewer Manual for the following procedures:

1. Leaving answering machine messages
2. Practicing refusal conversion
3. Handling sensitive situations
4. Implementing procedures to handle emergency situations

A. Answering Machine Messages

Protocol Development Task

Specify here and in **Section 7.1 (Initiating Contact)** of your Telephone Interviewer Manual, which callback option your state will use for leaving answering machine messages.
Your state's answering machine message will include the standardized opening statement below, followed by one of the two callback options that best suits your state's situation.

"I'm calling for <SAMPLED MOTHER>. This is <INTERVIEWER'S NAME> from the <STATE> PRAMS Project (or the <STATE> Department of Health). Recently, we mailed you a health survey and we haven't heard from you yet.

1. Please call me back between <YOUR OFFICE HOURS> at our toll-free telephone number, <YOUR 1-800 NUMBER>. If I don't hear from you, I'll call you again within the next few days. Thank you. Good-bye."

2. I'll call you again within the next few days. Thank you. Good-bye."

Because research shows that the chances of obtaining a successfully completed questionnaire improve when a message is left on an answering machine with the first encounter, states will leave a message on the first encounter with an answering machine and must then decide what will be done in the case of subsequent answering machine encounters. Specify with what frequency messages will be left (e.g., once/week, every third call).

Specify whether your state will request a callback regardless of whether or not the mother lives at that address. If so, specify when the request will be left (e.g., second encounter with answering machine, third encounter, etc.).

"I'm calling for <SAMPLED MOTHER>. This is <INTERVIEWER'S NAME> from the <STATE> PRAMS Project (or the <STATE> Department of Health. Recently, we mailed you a health survey and we haven't heard from you yet.

1. If this is not the correct number for <SAMPLED MOTHER> please call me back at our toll-free telephone number, <YOUR 1-800 NUMBER> so that I can remove you from our calling list.

B. Refusal Conversion Policy

Protocol Development Task

Describe your state's policy on refusal conversions here and in **Section 7.1 (Initiating Contact)** of your Telephone Interviewer Manual. As much as possible, describe the process for differentiating between "hard" and "soft" refusals.

If your state does utilize refusal conversion for soft refusals, describe the procedures here. Identify the interviewer who is responsible for refusal conversion, and describe this person's training and experience in conducting telephone interviews. If your state would like to refer a woman with multiple soft refusals (e.g., women who repeatedly state they are busy or they will mail in the survey) for refusal conversion, state the criteria for referral and describe this procedure.

Specify any groups of women for whom refusal conversion is not attempted (i.e., women whose infants have died, minors, other sensitive populations). Also describe the introductory script the interviewer uses when attempting refusal conversion, the number of attempts made to reach the woman, and how the state will respond to women who become angry when they are called back after the first refusal.

C. Protocol for Handling Sensitive Situations

Protocol Development Task

If your state has procedures for contacting and interviewing women who are deaf, hard of hearing, speech disabled, or incarcerated, describe them here and in **Section 6.6 (Sensitive Situations)** of the Telephone Interviewer Manual.

D. Protocol for Handling an Emergency Situation

Protocol Development Task

Describe your state's protocol for handling an emergency situation during an interview and put it here and in **Appendix E (Plans for Handling Emergency Situations During an Interview, of the Telephone Interviewer Manual)**.

Include appropriate phone numbers to call in an emergency.