Appendix M

Telephone Interviewer Monitoring Procedures

Procedures

The PRAMS Coordinator or other appropriate staff person, such as the supervisor of a survey research laboratory, should regularly monitor the telephone interviewers to ensure that proper procedures are followed. The monitor should determine whether the interviewer is appropriately consenting women, administering the interviews, protecting the mother's confidentiality, and keeping data collection forms and CATI stations secure. Interviewers should receive regular feedback on their performance, and if problems are identified, remedial action should be taken immediately.

Most projects have multiple interviewers conducting PRAMS interviews. Each interviewer should be monitored, and monitoring should be done for a variety of calls. This includes not only actual interviews, but also interactions with mothers that do not result in interviews (mother is busy, mother refuses, etc.) and interactions with other household members. Interviewers should be monitored at least 10% of the time that they are placing telephone calls. A PRAMS Individual Monitoring Form can be found on page M-5 in this appendix and should be used when monitoring calls. A monitor should listen in on telephone calls and be able to hear both the interviewer and the respondent.

The PRAMS Summary Monitoring Report should be completed for each batch and submitted to CDC with the batch files. This report should summarize the results of the monitoring efforts over the course of the batch. The PRAMS Summary Monitoring Report can be found on page M-7 in this appendix.

In addition to monitoring phone calls using the Individual Monitoring Form, the monitor should periodically check to ensure that interviewers keep data forms with identifying information, completed copies of the paper interviews and CATI stations secure. This usually means that forms should be locked in a file cabinet and all CATI systems should be exited at the end of their shift.

Monitoring Approaches with Web-CATI

With interviewers using the Web-CATI system, monitoring of telephone interviewers requires the monitor to be able to listen to both the interviewer and respondent as well as to see the computer screen as the interviewer records the mother's responses. To accomplish both requirements, states should have both screen capture and voice capture capabilities. There are many commercially

available screen capture products. Although one screen capture product has been recommended for use on PRAMS, states may choose to use a different product. (See **Chapter 6, Section 1.b.iii**, for screen capture software recommendations).

There are several voice capture options depending upon the interviewer setup in each state.

1. For states where the interviewers are onsite and in the same location as the PRAMS staff, states may be able to make use of 3-way calling on their existing phone system to listen in on the interviewer and respondent. Similarly, phone contractors may be able to use features on their phone system to have an onsite supervisor monitor their calls. This is the easiest method but there is no way to do it without the interviewers being aware that they are being monitored.
2. Many phone systems have voice capture capabilities. States may inquire with their own phone system provider to see about the cost and feasibility of activating this service. These systems may allow a call to be monitored without the interviewer's knowledge.
3. If neither of the first two options is possible, or if the interviewer and monitor are in different locations, the Web-CATI system has a built-in monitoring feature. It requires specific recording equipment which will be plugged into the handset of a standard phone and then plug into the PC. Because of the size of the resulting audio files, this feature records only portions of the interview rather than the entire interview. The monitor would then listen to the recorded interview at some later point.

Protocol Development Task

Provide the name and position of the person responsible for monitoring interviews. If your state does Spanish telephone interviews, provide the name and position of the person responsible for monitoring those interviews.

Also describe the procedures your state will use to monitor interviews and state which screen capture software and voice capture procedures/software are being used, if any.

Legal Implications of Monitoring

Most states are able to monitor an interview as it is being administered; however, states may also record interviews for later review if the interview cannot be monitored while the survey is being administered. Recording interviews is not a requirement; however, some states may find it helpful especially if the interviews

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are being conducted off-site. The law in most states dictates that if a call is being recorded, at least one party (one-party consent) has to be informed of the recording and they must consent to the call being recorded. Other states require that both parties (two-party consent) be notified of the recording and provide consent. Most PRAMS states are one-party consenting states, but a few are two-party consenting states. (See http://www.callcorder.com/phone-recording-law-america.htm to determine whether your state is a one-party or two-party state.) CDC's IRB does not require the states to add a statement to their phone script to inform the mother's that the interview may be recorded; however, the state may require such a statement. States should determine whether their state is a one-party or two-party consenting state and check with their local IRB to determine if a statement is required.

Protocol Development Task

Please indicate here if you are a one-party or two party state and whether or not your local IRB will require the addition of the suggested text.

Suggested text
(Introduction, part 2 of the phone script): If you choose to do the survey, our conversation may be recorded for quality assurance, but your answers will be kept private to the extent allowed by law and will be used only for research.

Note: If you are required by your state IRB to add this statement to your phone script ***it is mandatory*** *that you submit this addition to the CDC IRB before implementing such change.*

A Special Case: Telephone Contractors

Several states contract with outside agencies for telephone follow-up. The contractors should have procedures in place for monitoring telephone calls. The state should verify that the contractor's procedures are at least as stringent as those set forth here. If they are not, the state should request that the contractor use the PRAMS procedures and forms to monitor the PRAMS interviews. If the existing procedures are sufficiently stringent, those procedures will suffice for PRAMS purposes. However, the contractor should provide the state with a summary report similar to the PRAMS Summary Monitoring Report at the close of each batch. It may be helpful to include this activity in the written contract.

Regardless of the specific procedures used by the contracting agency for monitoring interviewers, the state Project Coordinator should periodically (at least quarterly) visit the agency's office to monitor a portion of the interviews him/herself.

Some survey research laboratories are designed so that the interviewers do not know when they are being monitored. This setup is preferable, as it gives a more accurate picture of an interviewer's typical behavior.

Protocol Development Task

For States Using Contractors for Telephone Interviews

If your state contracts with an outside agency to conduct telephone interviews, state whether the agency is using the PRAMS procedures and forms or whether it is using its existing procedures and forms for monitoring interviewers.

If the agency is using its existing procedures, describe those here. Also place a copy of the agency's monitoring forms (those used to monitor each call and those used to summarize the monitoring activities for the batch) here.

State the frequency with which the Project Coordinator will visit the agency's office to monitor interviews.

PRAMS Individual Monitoring Form
(To Be Completed For Each Call Monitored – Do Not Send to CDC)

Batch Number: _____ Name of Monitor: _____
Date: _____ Name of Interviewer: _____

Part 1: Interaction With Household (HH) Member Other Than Mother

	Yes	No	Not Applicable
1. Did interviewer follow proper procedures when HH member answered phone? If no, explain here:	Y	N	NA
2. Did interviewer respond appropriately to questions from the HH member (i.e., was mother's confidentiality protected? If no, explain here:	Y	N	NA

Part 2: Interaction With Mother – Introductory Script

3. Did interviewer read entire script exactly as it's written before beginning interview? If no, explain here:	Y	N	NA
4. Did interviewer explicitly ask for mother's permission to conduct interview? If no, explain here:	Y	N	NA
5. Did interviewer respond appropriately to any questions the mother asked? If no, explain here:	Y	N	NA

PRAMS Individual Monitoring Form
(To Be Completed For Each Call Monitored – Do Not Send to CDC)

Part 3: Interaction With Mother – Interview

	Yes	No	Not Applicable
6. Did interviewer read questions as written? If no, explain here and specify the question numbers:	Y	N	NA
7. Did interviewer read questions at proper pace? If no, explain here:	Y	N	NA
8. Did interviewer read probes as written and as necessary? If no, explain here and specify the question numbers:	Y	N	NA
9. Did interviewer follow skip instructions? If no, explain here and specify the question numbers:	Y	N	NA
10. Did interviewer code responses correctly? If no, explain here and specify question numbers:	Y	N	NA
11. Did interviewer record women's additional comments correctly (i.e.,"back page" and other miscellaneous comments)? If no, explain here:	Y	N	NA
12. Did interviewer keep respondent on track? If no, explain here:	Y	N	NA
13. Did interviewer thank the mother for participating in the interview? If no, explain here:	Y	N	NA

PRAMS Summary Monitoring Report
(To Be Completed At the Close of Each Batch and Submitted to CDC)

State: _____ Batch Number: _____

Table 1. Summary Information

Item	Number
Total Number of *Interviewers* Monitored	
Total Number of *Calls* Monitored*	
Total Number of *Calls* With Problems Identified	
Total Number of *Interviews* Monitored	
Total Number of *Interviews* With Problems Identified	
Total Number of Interviews Completed For Batch	

*Total number of calls monitored includes all calls, not just those resulting in interviews. There should be one "Individual Monitoring Form" for each telephone call that was monitored.

Table 2. Problems Identified During Monitoring

Question Number*	Number of Times Problem Occurred	Description of Problem and Action Taken

*From Individual Monitoring Form