

2008 Sobriety Follow-Up

Final Report

April 21, 2008

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Introduction and Background

Baldwin Research Institute, Inc., (BRI) contracted with Clearwater Research, Inc., (Clearwater) to conduct a follow-up survey of a random sample of Jude Thaddeus Program graduates. Clearwater provided sample design, questionnaire consultation, data collection, and analysis.

Methods

Clearwater conducted a computer-assisted telephone interview (CATI) survey of a random sample of 223 participants in the Jude Thaddeus Program and one corroborating friend or family member for each participant. Data were collected between the dates of February 18 and April 2, 2008. We provided BRI with assistance to adapt the questionnaire for CATI administration, a pretest of the programmed CATI questionnaire, data collection, data set preparation, and analysis. At the end of the project, we delivered a cleaned data set, a report documenting the survey design and implementation, frequency tables of the survey responses with statistical analysis, and other deliverables required by the Request For Proposal (RFP).

Survey Instrument

Clearwater collaborated with BRI to adapt the existing interview protocol for use with our CATI system. The questionnaire was very short, essentially asking one question about the sobriety status of the program participant. We provided our standard review of the questionnaire to assess possible issues with question wording, item order, and the flow of the survey from start to finish. Our bid assumed that the average interview length would not exceed one to two minutes per respondent, would not include any open-ended items, and would be conducted in English only.

We tested the questionnaire programming thoroughly to ensure accuracy in data collection. Clearwater data collection and research staff also closely monitored the interviewers during the fielding period to identify any issues that eluded detection during the testing. The final questionnaire is presented in Appendix A.

The average interview length was approximately seven minutes per record. This includes all of the time spent by an interviewer getting the question answered by both the Guest and the Corroborator. This was less than our original estimate of ten minutes per record.

Sampling

Clearwater consulted with BRI regarding the specific information needed for fielding. Baldwin and Clearwater mutually agreed to have Clearwater use Microsoft Access to randomly choose names from a list provided to Clearwater by BRI. After the names were selected, Clearwater accessed BRI's in-house database containing contact information for each participant in the Jude Thaddeus Program to gather specific information that was copied manually into a spreadsheet. The contact information was loaded into our CATI system and the interviewers began to contact designated individuals and complete interviews.

Out of a total of 956 records called, 232¹ resulted in completed interviews with both parties, giving an overall response rate of 26.17%. Clearwater interviewers “chased” members of the sample who were not reachable at the household or telephone number provided by BRI when someone we contacted could provide us with an updated telephone number.

Data Collection

For the Sobriety Follow-up project, Clearwater adhered to the instructions in the Sobriety Survey Protocol provided by BRI with the RFP. Data collection was originally scheduled for February 18 – March 17 2008, but was extended through April 2, 2008. Clearwater collected data using our 135-station computer-aided telephone interview (CATI) system. Interviewers were able to see and record responses to questions on a computer screen. The software managed the telephone calling, controlled distribution of sample, consolidated data, and tracked interviewer activity and productivity. Interviewers were thoroughly briefed prior to data collection and rehearsed the questionnaire before conducting actual interviews.

After the first week of calling, interviewers were briefed a second time, immediately following changes in the programming to make the survey flow better. Monitoring staff listened to a sampling of interviews throughout the fielding period to maintain data quality. Hard copies of monitoring reports are included with the final deliverables.

Clearwater used computer-aided dialing, *but not predictive dialing*. Predictive dialing has the potential to annoy respondents by introducing a delay in connections after respondents answer the telephone. This delay leads to higher hang-up and refusal rates and a correspondingly lower response rate for the survey.

Interviewers attempted each record a minimum of three times or until a final disposition (e.g., completed interview, refusal) was reached. All definite appointments were attempted regardless of the attempt number. Some records were attempted up to 14 times with an average of 5.37 attempts per Guest/Corroborator pair to locate the correct individuals and make contact with them. To maximize the likelihood of reaching the sampled person, interviewers called each telephone number at a variety of times, including weekdays, weekday evenings, and weekends. Each attempt represents a different calling time, but could include dialing several different phone numbers. Detailed descriptions of each attempt can be found in the attached “Attempt File.” (See Appendix F for a description of the layout.)

Our interviewers are trained in techniques of refusal avoidance that are effective in maximizing response rates. We developed an interviewer manual for the Sobriety Follow-up study that provided the interviewer with information about the study to be used while relating with respondents to keep them on the phone. Answers to frequently asked questions and guidelines for dealing with certain situations were available during the interviews on hotkeys listed in the interviewer manual. The interviewer manual is presented in Appendix B.

¹ A completed interview is defined as an interview with both the Guest and Corroborator, with a “yes” or “no” answer from each. Interviews in which the Guest and/or Corroborator either couldn’t be interviewed or refused to answer are not counted as completes.

Data Preparation

During data collection, interviewers documented any errors they encountered on data change forms. At the conclusion of data collection, these errors were corrected in preparing the data set for analysis. The data were converted and formatted for review in SPSS (a statistical analysis software package) and Microsoft Access.

Clearwater pays close attention to comprehensive and routine data inspections, data cleaning, and data set preparation. The completed survey data set was cleaned and prepared in an electronic file format in SPSS and Excel. Any data changes were documented on data change forms which are included with the final deliverables. For table production and statistical analysis, variable and value labels were added to the cleaned SPSS data set.

Calling on the sample was considered complete at the point all records had reached their maximum attempts or a final disposition had been assigned. After we exported the data from the CATI system, it was cleaned and compiled it into a labeled SPSS datafile.

Clearwater calculated the final disposition for each sample record. The CATI call history tables recorded the interim or final disposition entered by the interviewer for each call attempt. Database programming referenced both the CATI call history tables and the data sets to determine the correct final disposition.

Call Outcomes

Each call attempt was given an interim disposition depending on the outcome of the call. At the end of the field period, each record was assigned a final disposition for the study based on the history of interim dispositions and data collected for that case. Because there were multiple phone numbers on each record, the interim dispositions only captured the results of the last phone number attempted, so additional notes were made. These notes are available in the attached Attempt File.

Table 1 shows the calculated final dispositions. Detailed descriptions of each disposition can be found in the interviewer manual in Appendix B, Table 2. The final dispositions shown represent the overall outcome of a Guest/Corroborator pair. Some individual refusals may be hidden within the partial complete counts.

Table 1: Final Dispositions

Code	Description	Count
22	Final Refusal	29
35	Guest Deceased	28
36	Complete	232
41	No numbers left to dial	498
42	Partial - Guest Only	55
99	Insufficient contact information	114
	Total	956

Response Rates

We calculated response rates based on a break down of four final disposition categories, summarized in Table 2. The response rate is summarized in Table 3. The overall response rate was 42.26%. Table 3 also estimates the invalid numbers from the total number of sample. The methodologies behind each response rate are described below.

For this project, each attempt required the interviewer to dial every available number. Due to this decision, which drastically increased the efficiency of the data collection process, several records do not have specific disposition codes. In order to calculate an accurate response rate, it was necessary to estimate the proportion of invalid records within the “Unknown” category. This was done by randomly selecting 52 records from this category and manually assigning them a disposition based on interviewer notes. This proportion is labeled E in the calculations below. Accurate descriptions of each call attempt can be found in the Attempt Log file.

Table 2: Response Rate Formula Categories

Symbol	Description	Disp. Codes	Count
I	Completed Interviews	36	232
P	Partial Complete - Guest Only	42	55
IN	Invalid	99 and 23	114
U	Unknown	41	498
O	Other	22 and 35	57
TS	Total Sampled	All	956

Table 3: Response and Invalid Rates

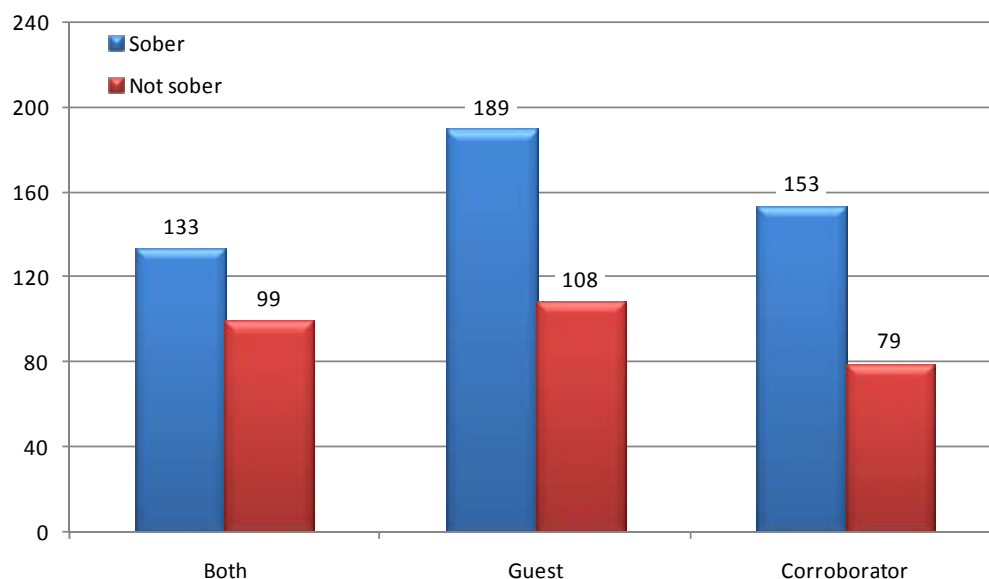
Symbol	Description	Formula	Rate
RR1	Response Rate 1	$RR1=(I+P)/(TS)$	30.02%
RR2	Response Rate 2	$RR2=(I+P)/(TS-IN-(E*U))$	42.26%
INV	Invalid Rate	$(IN+(U*E))/TS$	28.95%

These response rate calculations are based on rate calculators developed by the American Association of Public Opinion Researchers (AAPOR). Response Rate 1 is simply the number of interviews divided by the number of total records. Response Rate 2 attempts to give a more accurate picture of the level of participation by controlling for call attempts which could not have reached a respondent.

Discussion

When both the Guest and the Corroborator were reached, 133 agreed the Guest was sober and in 99 instances at least one said they were not. Based on just the Guests' response, 189 Guests said they were sober, while 108 said they were not. According to the Corroborators' responses, 153 Guests were sober and 79 were not. Counts of all Guest and Corroborator responses are shown in Figure 1.

Figure 1: Sober vs. Not sober



Percentages and confidence intervals are recorded below in Table 3. Considering both Guest and Corroborator answers, the true percentage of all Guests who are sober is 95% likely to lie in the range of 51.0% to 63.7%. The observed percentage of Guests who were still sober according to both was 57.3. More than six out of ten Guests (63.6%) indicated they are currently sober. Based upon their answers alone, the true percentage of all Guests who are sober is 95% likely to lie in the range of 58.2% to 69.1%, as shown in Table 3. Considering only the responses from Corroborators, 65.9% of Guests are currently sober. The true percentage of Guests who are actually sober according to the Corroborator is 95% likely to lie in the range of 61.7% to 73.7%.

Table 3: Confidence Intervals

Guest Status	N	Percent	95% Confidence Interval
Both Respondents			
Sober according to both	133	57.3	51.0 – 63.7
Not sober according to at least one	99	42.7	36.3 – 49.0
Guests			
Sober according to Guest	189	63.6	58.2 – 69.1
Not sober according to Guest	108	36.4	30.9 – 41.8
Corroborator			
Sober according to Corroborator	153	65.9	61.7 – 73.7
Not sober according to Corroborator	79	34.1	26.3 – 38.3

Recommendations

In light of the experience gained through this initial wave of data collection, the following areas should be evaluated as possible changes for the next wave.

- Many interviewers felt that we should not need Corroborator verification if someone who knows the Guest but is not a Corroborator tells us the Guest is deceased or otherwise unavailable.
- Some Guests who said they were not sober indicated they were very depressed about their relapse. Could Baldwin or St. Jude's provide us with a help line or some other resource to give to these individuals?
- Some individuals in the St. Jude's program have addictive and/or abusive behaviors that do not involve drugs or alcohol (for example, gambling, pornography, etc.) It might be prudent to change the wording of the definition of sobriety to include non-drug addictions.
- The interviewers indicated many family members were unwilling to let us speak to the Guest or Corroborator because we could not tell them any more than "it's a personal matter." A generic script similar to the answering machine message would be very useful.
- The interviewers also said mentioning Baldwin Research and New York *before* mentioning Clearwater Research could be useful in avoiding quick hang-ups.
- Many Guests to whom we were never able to speak with were actually back in rehabilitation again. That information was tracked in the attempt messages, but may be something that should be tracked more quantitatively using a specific disposition or answer choice.
- Even if we do capture some of their comments, some respondents still have more to say than we can capture. It could be useful to have someone at BRI or St. Jude's to refer them to for more discussion.

Appendices

A: Questionnaire

Sobriety Follow-up Survey Questionnaire

DIALG

DIAL GUEST

INTERVIEWER:

YOU MUST ANSWER THIS QUESTION FOR EACH NUMBER YOU DIAL

7. CHASE NUMBERS

9. ADD NUMBER

NEWG

IF DIALG=9

ENTER NEW NUMBER

CHASEG

IF DIALG=7

DIAL CHASE GUEST NUMBERS

We are also trying to contact [GUEST NAME],
but the phone number we have seems to be incorrect.
Do you have a more recent phone number for [GUEST NAME]?

INTERVIEWER: IF THEY ARE RELUCTANT TO GIVE YOU ANY INFORMATION, TELL
THEM:

"I understand your position. Please ask [GUEST NAME] to contact Baldwin Research at 1-888-
424-2626 to have their information updated."

CHASENG

IFCHASEG >0<6

THANK YOU
ENTER A NOTE FOR THIS NUMBER

Yes
No

INTROG

May I please speak to [*GUEST NAME*]?

Yes
No

NOTEG**INTROG=2**

Thank you.

ENTER A NOTE FOR THIS NUMBER

INTERVIEWER:
YOU MUST ANSWER THIS QUESTION
DO NOT DISPOSITION ON THIS SCREEN

Yes
No

QGUEST**INTROG=1**

Hello, this is [*YOUR NAME*] with Clearwater Research. We've been hired by Baldwin Research Institute and the St Jude Retreat Houses, formerly known as the Haganan Guesthouse, to conduct a survey to measure their success rate. Your response is completely confidential and will remain anonymous.

Have you been sober, not using any illicit drugs or alcohol, for at least the last 30 days?

INTERVIEWER, READ IF NECESSARY:

For the purposes of this study, "not sober" means drinking alcohol in any amount, using illicit or legal drugs recreationally, using any mind-altering substance in any fashion other than for which it was intended (i.e. sniffing glue), and ingesting, snorting, or injecting any medications other than as prescribed by a doctor for medical reasons. The use of coffee and tobacco products is not considered "using substances." To be counted as sober, substances shall not have been ingested within the past 30 days.

1. YES
2. NO

9. REFUSED

[GO TO THANK]
[GO TO THANK]
[GO TO QDNC]

QDNC

IFQGUEST=9

Do you want to be permanently excluded from all future surveys?

1. YES -- [DISPOSITION = 40 (DNC)]
2. NO / DON'T KNOW -- [DISPOSITION = 22 (FINAL REFUSAL)]

THANK

Thank you for participating in the survey.

PRESS ANY KEY TO CONTINUE

DIALC

DIAL CORROBORATOR

7. CHASE NUMBERS
9. ADD NUMBER

NEWC

IFDIAL=9

ENTER NEW NUMBER

CHASEC

IF DIALC=7

Hello <GUEST>,
This is [YOUR NAME] with Clearwater Research. We've been hired by Baldwin research Institute and the Saint Jude Retreat Houses, formerly known as the Hagaman Guesthouse, to conduct a survey to measure their success rate.

We also need to contact a family member or friend who can answer our simple survey question. We have tried to contact the individual that you listed previously, but have been unable to. Is there someone else who we could contact?

CHASENC

IFCHASEC=>0<6

THANK YOU
ENTER A NOTE FOR THIS NUMBER

Yes
No

[ENTER NOTE]

INTROC

May I please speak to [CORROBORATOR NAME]?

Yes
No

NOTEC

IF INTROC=2

Thank you.

ENTER NOTE FOR THIS NUMBER

Yes
No

QCORR

INTROC=1

Hello, this is [YOUR NAME] with Clearwater Research. We've been hired by Baldwin Research Institute and the St Jude Retreat Houses, formerly known as the Hagaman Guesthouse, to conduct a survey to measure their success rate. Your response is completely confidential and will remain anonymous.

We wish to know if [GUEST'S NAME] has been sober, not using any illicit drugs or alcohol, for at least the last thirty days.

INTERVIEWER, READ IF NECESSARY:

For the purposes of this study, "not sober" means drinking alcohol in any amount, using illicit or legal drugs recreationally, using any mind-altering substance in any fashion other than for which it was intended (i.e. sniffing glue), and ingesting, snorting, or injecting any medications other than as prescribed by a doctor for medical reasons. The use of coffee and tobacco products is not considered "using substances." To be counted as sober, substances shall not have been ingested within the past 30 days.

1. YES
2. NO
7. DON'T KNOW **SKIP** → **DIAL C**
9. REFUSED **SKIP** → **DIAL C**

[CLOSING]
[CLOSING]
[CALL GUEST FOR NEW CORR]
[CALL GUEST FOR NEW CORR]

CLOSING

IFQCORR=1 OR 2

Thank you for participating in the survey.

PRESS ANY KEY TO CONTINUE

[WHEN BOTH PARTS COMPLETED, DISPOSITION = 36 (COMPLETE)]

NonQAL

INTERVIEWER

Please Alert Your Supervisor Immediately!!!!!!

The quotas set for this study are incorrect.

B: Sobriety Follow-Up Interviewer Manual

06-436 Sobriety Follow-Up Study

Interviewer Manual

Specifications

Table 1: Specification Sheet

SPEC SHEET FOR:	06 - 436 Sobriety Follow-up Study
General Introduction:	Clearwater will conduct a computer-assisted telephone interview (CATI) survey of a random sample of 200 participants in the Jude Thaddeus Program and one corroborating friend or family member for each participant.
Basic purpose of the study:	This study is to determine the success rate of abstinence from all illicit drugs and alcohol from randomly selected program graduates.
Interviewer Requirements:	Experienced interviewers with further Sobriety Follow-up training.
Attempts:	10 attempts each for Guest and Corroborator.
Number of Interviews:	Approximately 200 completes – each requiring answers from 2 separate respondents.
Calling Schedule:	Data collection <ul style="list-style-type: none">• February 18,2008- March 17, 2008• Callbacks will be within above dates only• Daytime, evening and weekend calls

SPEC SHEET FOR:	06 - 436 Sobriety Follow-up Study
Where are we calling?	Anywhere in the United States.
Interview Length:	Average interview length is 1-2 minutes per respondent.
Sample / Respondent Qualifications:	List sample provided by Baldwin Research Institute.
Refusal Conversion:	No refusal conversion.
Questions / Contact:	<p>Please contact your supervisor first with any questions.</p> <ul style="list-style-type: none"> • Chandrika Rao, (208) 376-3376, ext. 413
About the Questionnaire:	<ul style="list-style-type: none"> • To be offered in English only.

SPEC SHEET FOR:	06 - 436 Sobriety Follow-up Study
<p>Special Instructions:</p>	<ul style="list-style-type: none"> • Manual Dial Study • It is permissible to ask a third party for contact information regarding a phone number for the Guest. However, this must be done while maintaining confidentiality, as we are not authorized to offer details about the nature of our inquiry to a third party. Therefore, please do not state to any third party that the call relates to whether the Guest has maintained sobriety or not. • For every Guest who refuses to do the survey the follow-up question will be asked: “Do you want to be permanently excluded from all future surveys?” • There must be 4 unsuccessful attempts to reach the Guest before you can attempt to call the Corroborator or a relative. • Every call must have a note, no exceptions. • In the event that we do not have a phone number for the Guest, the Corroborator may be contacted to try to obtain a valid number. • All notes must include either GST (Guest) or CRB (Corroborator) to describe whom we were trying to reach on that attempt. • We can leave one answering machine message at each phone number for the Guest and the Corroborator(s). Interviewers will be responsible for keeping track. (This does not include a message left for the Corroborator while trying to find a valid number for the Guest.) • If the number we have for the Corroborator is no longer valid, please get back in touch with Guest to get a new phone # or new Corroborator entirely and note this number in the message box. • Remember that the attempt messages will be the only way to know what’s going on, as we have different phone numbers and people being called for this study. Please leave good messages so it will help interviewers who come after you. • In the message box, please refer to the various phone numbers as GST#1, CRB#3, etc., as appropriate.

Dispositions

Clearwater Standard Dispositions

DISPOSITION	DESCRIPTION	EXAMPLES
03	Answering machine, left message	Leave 1 message per phone number, set callback 2 days out.
11	Callback	The person asks you to callback another time or to callback to speak to the correct respondent.
20	Supervisor Attention	Already did survey or other problem requiring supervisor attention.
22	Final Refusal Selected Respondent	These will not be called back. Use for verbal refusals from selected respondent after attempting refusal avoidance.
35	Guest deceased	Guest has passed away.
40	Record still valid to call	Use for no answer, busy, answering machine after messages are left, refusal by non-selected respondent OR disconnect, fax, tech barrier on one number, but there are still other valid numbers to try.
41	No more valid numbers to call	All numbers have resulted in final dispositions

HOTKEYS:

- F-1 - Help
- F-2 - Phone #, Record #, and Intro Script
- F-4 - Contact Information and Results
- Ctrl-A - Answering Machine Message
- Ctrl-F - Frequently Asked Questions

Reminders for Interviewers

Answering machine messages: You may leave **one** answering machine message for the Guest and **one** for the Corroborator. Note accordingly in message box. After leaving a message, code as 03; when no message is left, code as 40.

Message box messages: Please remember to specify “**GST**” for Guest or “**CRB**” for Corroborator in each message. The first call cannot be assumed to be made to the Guest (for example, they may not have a phone number, so we may speak with the Corroborator first). Leave a message in the message box on **every** attempt, stating whom you spoke to, what number you called, and the outcome of that call.

Refusal avoidance: Ask them to do the survey only once. You may use polite, respectful refusal avoidance, but do not aggressively attempt to convince them or debate with them. Usually if someone refuses, they will most likely not change their mind, so to prolong the conversation would be futile.

FREQUENTLY ASKED QUESTIONS

(Available from anywhere in the study via Control-F)

1. Answering machine message

“This is [YOUR NAME] from Clearwater Research conducting an important survey for Baldwin Research Institute in New York that will take less than 1 minute of your time. Please contact me at 1-800-727-5016 at your earliest convenience and reference your record number of 436xxxx. Thank you. We hope to hear back from you.”

2. Guest is deceased

“We are deeply sorry for your loss, and on behalf of Baldwin Research Institute, extend our condolences. We apologize for disturbing you, and we will update our information on the database and will not contact you in the future. Thank you for your time.”

3. What does “not sober” mean for the purposes of the study?

“For the purposes of this study, ‘not sober’ means drinking alcohol in any amount, using illicit or legal drugs recreationally, using any mind-altering substance in any fashion other than for which it was intended (i.e. sniffing glue), and ingesting, snorting, or injecting any medications other than as prescribed by a doctor for medical reasons. The use of coffee and tobacco products is not considered ‘using substances.’ To be counted as sober, substances shall not have been ingested within the past 30 days from the time of the call.” Go by how what they fits the above description rather than their yes or no. For example: “Yes, I have been sober. I’ve been off hard drugs for a year now! I did have a beer on my birthday last week, but that’s all.” - would be coded as “not sober.”

4. If a Guest or relative/friend begins talking about anything beyond answering the simple question as to their current sobriety status, please kindly remind them:

“I am with Clearwater Research; an outside organization hired to conduct this survey, and am otherwise not affiliated with Baldwin Research. If you have any questions or concerns regarding [yourself / your loved one or the program, please call **1-888-424-2626** to reach a Baldwin Research employee who can help you.”

5. If the family member/friend listed is unavailable for any reason and someone not listed asks you for information beyond who is calling:

“I am sorry, but it is a personal matter. When would be a better time to call, or is there another number at which I could reach _____?”

(Do not ask questions of or answer questions for anyone who is not listed.)

6. If the Guest themselves or a relative or friend of the Guest seems alarmed, shocked, or offended that they have been called, please inform them:

Guest: “You previously gave permission to be contacted for this survey.”

Corroborator/Family: “Permission to contact you has been granted by the program graduate.”

Both: “We conform to confidentiality codes and will not share your information with anyone other than Baldwin Research. Furthermore, all findings remain anonymous. If you do not wish to respond to this survey or any in the future, you may inform us of that now and we will accommodate your wishes.”

7. If they ask about the survey results:

“The results of the survey will be published in the form of anonymous statistics on the website, www.soberforever.net in the future.”

C: Sample File Layout

Field	Example	Description
SEQNO	436020003	Unique ID
PHONE	5183695460	Phone number
GUESTID	3	Guest ID number
GUEST	John Doe	Guest Name
GPHONE	5183695460, 5183819773,	Guest Phone Number
GNOTE	CELL, EVE,	Guest Notes
CORR	Jane Doe	Corroborator Name
CPHONE	5183779591,5183460882,	Corroborator Phone Number
CNOTE	DAY,EVE,	Corroborator Notes
NOTE	Phone numbers not current. No further info available.	Notes
COMPDATE	20010426	Completion Date

D: Data File Layout

Field	Response Codes	Description
Respondent Number	N/A	Unique identifier.
Disposition	36 = Complete 42 = Partial complete, Guest	Disposition code
Still sober according to Guest?	1 = Yes 2= No	Guest question.
Still sober according to Corroborator?	1 = Yes 2= No	Corroborator question
Still sober according to both?	1 = Yes 2= No	Combined Guest/Corroborator response

E: Attempt File Layout

Field	Example	Description
Record Number	123	Unique Identifier.
Guest Name	Jane Doe	Guest name.
Attempt Number	5	Numer of attempts we have made total.
Disposition	36	A 36 indicates both the Guest and Corroborator have completed the interview. For a complete list of dispostions, please refer to appendix B.
Attempt Message	Reached CBR at 555-123-4567	Message indicating the important