National Center for American Indian and Alaska Native Mental Health Research

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I. THE NATIONAL CENTER FOR AMERICAN INDIAN AND ALASKA NATIVE MENTAL HEALTH RESEARCH (NCAIANMHR) AND ITS PROGRAM OF RESEARCH

A. OVERVIEW

The National Center for American Indian and Alaska Native Mental Health Research (NCAIANMHR) is a federally funded research center dedicated to improving the mental health and wellbeing of American Indians. The NCAIANMHR has worked with various Northern Plains tribe and Southwest communities on a number of projects for more than six years. We do this by joining American Indian communities in various projects whose goals are to increase our ability to recognize and assess mental health and illness, as well as to determine if mental health services available are adequate and are being utilized.

We have gathered a group of mental health professionals who are pursuing an integrated program to accomplish these goals. Many of our staff are American Indian. In addition to our research activities, we are committed to training Indian mental health researchers and to employing tribal members who can serve as resources to the local communities. The NCAIANMHR has four field research offices in several tribal communities.

The NCAIANMHR is one of three minority research and development centers funded by the National Institute of Mental Health. The NCAIANMHR is the only research center concerned with the mental health status of American Indians and Alaska Natives. The NCAIANMHR has five specific aims:

1. to promote excellence in mental health research and research training appropriate for American Indians and Alaska Natives;

2. to assist others in planning and implementing mental health research with American Indians and Alaska Natives;

3. to share information that will help others conduct mental health research with American Indians and Alaska Natives;

4. to conduct research about serious psychological problems and/or major mental disorders related to stressful life transitions commonly experienced by American Indians and Alaska Natives -- with special attention to problems of diagnosing; and

5. to provide research training opportunities for students and others.

This project is only one component of the NCAIANMHR's efforts. Furthermore, the NCAIANMHR is one of three parts of the American Indian and Alaska Native Programs (AIANP) in the Department of Psychiatry at the University of Colorado Health Sciences Center.
II. RESEARCH IN AMERICAN INDIAN COMMUNITIES

After years of collaborating with Indian communities in a variety of endeavors, the NCAIANMHR staff have learned what is important within these communities with regard to research. The first subsection, written by a Southwest researcher, outlines some of these important issues. Next, the NCAIANMHR confidentiality policy is discussed, followed by a brief description of the tribal approval process in each of the participating communities. We end this section with a summary of the potential benefits of this research for the communities involved.

A. GUIDELINES FOR RESEARCH IN INDIAN COMMUNITIES
[based on a paper by Alberta A. Arviso, Ph.D.]

For many years, the tribes and communities of American Indians and Alaska Natives have been the subject of research in the disciplines of anthropology, sociology, psychology, and medicine. It is important for researchers to remember that there are 512 federally recognized Indian tribes. Each tribe has its own language, culture, history, government, and values. Researchers should learn about the diversity among Indian groups and not generalize from one or two tribes. Learning about the tribe under study prevents stereotyping and the formation of inaccurate assumptions.

Numerous cultural and socioeconomic dimensions distinguish Indian tribes from the rest of society. Lifestyle preferences, language usage, tribal beliefs and values vary considerably among Indian tribes. These dimensions become important research issues for researchers as they design their projects. Researchers should develop culturally relevant methods for collecting information and obtaining consent for participation in the research. Researchers can gain valuable information by meeting with community advisory groups to get advice and insight for conducting research in specific communities.

It is important to do research that is going to produce results that are useful to the community. Ideally, when research is completed, the results can be used to plan services that will help the community in the years ahead. Research can be extremely helpful in strengthening existing tribal health and mental health programs. Research can also identify the kinds of services that are needed in the Indian community. The results of the research should be presented to the community in a form that the community can use. The tribe should also help decide how the results will be presented outside of the community, such as in the media and scientific publications.

While it may take a long time to get a research proposal approved by all of the involved authorities and agencies, researchers must obtain not only formal approval of all research projects from tribal authorities, but also obtain support of other involved authorities and agencies, and the support of the community.
Support for the research project from the Indian community can be strengthened by having tribal representation on research committees and by establishing a research office in the Indian community. The local research offices should be staffed by local tribal members who can facilitate a good relationship with the Indian community during the research.

**B. THE CONFIDENTIALITY POLICY OF THE NCAIANMHR**

When conducting research and other activities in American Indian communities, confidentiality is of primary concern for all NCAIANMHR staff. The NCAIANMHR has established a number of policies to ensure that the confidentiality of established lists obtained from tribes (and elsewhere) is respected and that the identities of both tribal groups and individual respondents in research studies are not revealed. The following subsections outline these policies.

1. **Data management**
   Once the questionnaires and interviews are completed, all identifying information (that is, names, addresses, location) is removed, and each interview is provided with an identification number. Only the Project Director and the data management staff have access to the names and addresses of those interviewed; these lists are kept in locked files. Typically, the raw data (without the names attached) are entered into computer by contract services external to the NCAIANMHR. In the case of this project, however, the raw data will be downloaded directly from the Interviewers’ laptops.

2. **Interviewers**
   Local community members are hired to be Interviewers for many projects. The Interviewers are trained in appropriate interviewing techniques. An important aspect of this training is the maintenance of the confidentiality of all material obtained during an interview. In addition, a signed statement by the Interviewers stating their intent to keep collected information in confidence is required before hiring. **ANY BREACHES OF CONFIDENTIALITY (EXCEPT AS PROVIDED IN THE SECTION ON SAFETY CONCERNS AND REFERRAL PROCEDURES) ARE GROUNDS FOR IMMEDIATE DISMISSAL.**

   At all times we want to avoid having respondents feel that their privacy has been violated. There are two major issues to keep in mind when talking to people: 1) the names we have came from the BIA tribal rolls and are protected, and 2) as part of the informed consent process, we promise that any and all information a person gives us must be held in strictest confidence. Having these two sets of issues makes discussion of confidentiality complicated.

   The BIA tribal rolls are protected, confidential information. Before the tribes agreed to release these to us we had to agree release of that information would be used only by UCHSC employees and only used in service of the project. Some people might not want others to know that they are tribal members, or what their real birth date is, or their enrollment number. Therefore, we have to be very careful with this information.
Leaving a list of names, addresses, birth dates, and so on, with someone who is not a UCHSC employee is a violation of this promise to the tribes. This instance is clear—by leaving a confidential list in a public place. Most scenarios are not as clear, though. We’ve decided that it’s OK to ask “key informants” about where a person might be and ask the age to make sure it’s the same person. But notice here, you do not give all the information (e.g., U number), nor do you say that the information you have is from the rolls. In another case like when talking with a Chapter coordinator, you might share more information than you would with someone in the community. A Chapter coordinator or other tribal official may need more information (like the census number) to help you locate a respondent. You must use good judgment here—if in doubt, talk with your DCC first.

In another example, your mother might be one of your key informants. She sees one of the folks you are looking for at the store and tells him/her that you are looking for them for a health study by the University of Colorado. This could be a potential breach of confidentiality. We’d prefer that she simply let you know later that she saw the person. If your mother did talk to the person in question, let your DCC know so if a question comes up, she will be familiar with the situation. In some senses, the less you say the better when you are trying to locate people. At the same time, I know some folks are worried when a stranger is coming around trying to find someone—in those instances we suggest showing the letter of tribal approval.

The confidential nature of interview itself is a promise we have made directly to the respondent. No information the respondent gives you should be disclosed to anyone who is not an employee, but more specifically, who is not your supervisor or a clinical support person. You shouldn’t even comment on whether an individual took part in the interview or not. There are some gray areas here as well.

A few folks have asked if they can have a friend ride along when locating. In this case the two areas of confidentiality come into play. It’s hard to have someone along for the ride without him or her knowing who you are looking for and; when you find a specific person; whether or not he or she agrees to participate, so this practice is strongly discouraged. It might be helpful to look at it from the respondent’s point of view: a stranger has my name and wants me to do a personal interview. She or he says that they’ll keep everything I say confidential but has someone waiting in the truck for the interview to end. I feel uncomfortable having that person around—should I offer him or her something to drink, a warm place to sit, are they going to talk about me afterwards?

Finally, over the months you will encounter all sorts of different situations in which the confidential nature of the information on the ICF’s and the confidential nature of the interview will be tested in ways we can’t even imagine. Try to keep the principles in mind: we promised the tribe to keep the roll information confidential and we promised the respondents to keep all their answers confidential. Make the best decisions you can, and let your DCC know of the difficult decisions you face.
3. Reported analyses of data
Research results are reported in several formats. Quarterly reports are required by funding agencies and Tribal Councils. Final reports are required by the funding agency. Articles for journals are prepared to share the results to improve scientific investigation and service provision. In addition, reports to Congress or other legislative bodies might be required for some studies. In all cases, unless otherwise agreed upon, the NCAIANMHR and its personnel will not publicly identify the tribes or the individual respondents. A tribe may be described as a “Northern Plains” or “Southwest” community.

However, in light of specific requests by the appropriate tribal authorities, the NCAIANMHR makes every effort to use the collected information to provide tribes with relevant data for their planning and service needs. These requests should be forwarded to Dr. Jan Beals, Associate Director of Research of the NCAIANMHR.

C. TRIBAL APPROVAL PROCESS
Here we provided details of the tribal approval process for each tribe. This information was communicated by interviewers to potential respondents.

D. POTENTIAL BENEFITS OF THE PROJECT TO THE TRIBES
1. Providing full-time employment. A Field Office Director, Data Collection Coordinator and Interviewers have been hired for each field office. It is anticipated that these staff will work full-time for up to 15 months.

2. Generating state-of-the-art information on the health status, functioning, patterns of service utilization, and resulting program needs of tribal members. Similar information from the AIVVP, presented to Senator Daschle’s (D-SD) office staff by American Indian veterans, provided that office with the information needed to successfully devote new monies to fund six to eight new Readjustment Counseling Service positions.

3. Increasing local awareness of health services available through tribal, IHS, BIA, county, and state agencies. One of the significant outcomes of the AIVVP was the linkage of veterans in need of services with existing programs of which they were unaware. The same may be expected in this instance, as well.

4. Augmenting the AIVVP. While the AIVVP was restricted to Vietnam theater veterans, the AI-SUPERPFP project will include information about veterans of other wars (World War 2, Korean War, Desert Storm) as well as about peace-time veterans.

5. Establishing a reference point by which to assess the adequacy of the 2000
Census. Much has been made in recent years about the inability of the US Census Bureau to describe minority populations adequately. In particular, it is thought that the Census does not count everyone it should; since many Federal monies are dependent on these census counts, an undercount can mean decreased funds for some of the people who need these funds the most. The AI-SUPERPFP project design, and interview will permit various tribal agencies (for example, Enrollment office, Veterans Affairs) to examine critically; the appropriateness of the 2000 Census in terms of the generalizability of its resulting samples, and certain kinds of information (for example, household characteristics, occupation, education, and income).
III. THE AI-SUPERPFP PROJECT

In this section, we first provide an overview of the AI-SUPERPFP project, including the specific aims of the research project. We then turn to a description of the four substudies that make up this project. Finally, we present the data collection timelines.

A. PROJECT OVERVIEW

The AI-SUPERPFP project will undertake a community-wide study of mental health, alcohol, and substance abuse problems and related services in several Indian communities. The NCAIANMHR has completed a number of projects in partnership with various Indian Nations to understand the mental health needs of the Indian people better. Perhaps most important of these was the AIVVP—a collaborative effort with the Southwest and several Northern Plains tribes. Results from the personal interviews with approximately 600 Vietnam veterans who lived on or near the four reservations in the project are receiving increasing attention at both the local and national levels. For example, the Department of Veterans Administration (DVA) has committed to placing Readjustment Counseling Services personnel on reservations to serve veterans better and to reimburse Indian medicine men for performing different ceremonials on behalf of these veterans.

For years, tribes, the Indian Health Service (IHS), and others seeking to obtain more program support have had to rely upon the personal stories of individuals and their families as the justification for these requests. Faced with decreasing resources and ever louder cries for help from numerous segments of society, funding authorities now require "hard" evidence of need. This project will strengthen Indian and Native peoples' case for additional service dollars by providing such evidence, thereby conveying even more powerfully the depth of their struggle with mental health, alcohol, and drug problems.

Altogether, we seek to interview 1,500 tribal members on the Southwest tribe and 1,500 tribal members across the Northern Plains tribe 1 and Northern Plains tribe 2 about their experiences with respect to mental health, alcohol, and drug problems as well as related services. We will interview respondents who are between the ages of 15 and 54 and who are currently living on or within 20 miles of each reservation. The interviews will be conducted by "lay" Interviewers (that is, people without clinical training) who have been recruited from the local communities.

The AI-SUPERPFP project has five specific aims.

Specific Aim 1: To determine the prevalence (frequency) of mental health, alcohol, and substance abuse problems, as defined by the American Psychiatric Association’s Diagnostic and Statistical Manual (DSM), of the individual signs and symptoms thereof and of culture-specific syndromes and symptoms among the American Indian people using culturally sensitive questionnaires.
The diagnostic procedures used in a previous study and employed in the AIVVP will be used to determine the prevalence rates of mental health, alcohol, and substance abuse problems, as defined by the DSM. Prior work from the AIVVP, the extensive literature about Native concepts of health and illness, and the focus groups will provide the basis for measures of culture-specific syndromes and symptoms. The resulting information will be analyzed to estimate their frequency of occurrence and nature as well as extent of relationship (or not) to mental health, alcohol, and substance abuse problems as defined by the DSM.

**Specific Aim 2:** To obtain utilization rates for mental health, alcohol, and substance abuse services and to understand the relationships among background characteristics and service use.

Service utilization will be calculated from the information, including lifetime utilization for patients diagnosed with particular problems, inpatient versus outpatient care, use of traditional healing, and use of drug therapies. Then we will examine how the nature and extent of service use may differ among demographic groups (age and gender). We will investigate barriers to service utilization, reasons for terminating care, and preferred types of care settings through the information obtained through the general interview, interviews of key community members, and ethnographic interviews.

**Specific Aim 3:** To examine the interrelationships among the predisposing factors, stress, mediators, and mental health, alcohol, and substance abuse problems.

We will use a wide range of statistical methods to describe how each of the risk and protective factors that are suggested by the community and by the scientific consultants is related to the rates of mental health, alcohol, and substance abuse problems.

**Specific Aim 4:** To compare prevalence (frequency) rates with those from similar information obtained in prior national studies.

Comparative analyses will be conducted for the full samples of national data sets such as the National Comorbidity Survey--a national study conducted in the early 1990s--and also for important subgroupings, such as other minority groups or those living in the same region of the country. Comparative analyses of prevalence rates will tell us--for the first time--whether American Indian people, as represented in this sample, suffer higher or lower rates of each type of problem. We will look to see whether any differences that do emerge might be related to demographic factors or other risk and protective factors.
Specific Aim 5: To obtain ethnographic information necessary to culturally contextualize the results.

We will be able to examine how individuals, families, traditional healers, medical practitioners, and others learn the meanings of mental illness and its treatment in each of the participating communities in several ways: 1) feedback collected from focus group participants on the various standardized questionnaires; 2) accounts of local definitions of illness described by key community members; 3) case descriptions that emerge from illness narratives of respondents and their families; and 4) detailed observations of mental illness in community and familial settings.

B. SUBSTUDIES

1. Adult Substudy
The Adult Substudy refers to the portion of the AI-SUPERPFP project in which approximately 3,000 Northern Plains and Southwest tribal members between the ages of 15 and 54 will answer the full questionnaire. Sampling for the Adult Substudy will be from the Tribal Rolls. Our goal will be to interview 175-200 men and women from Northern Plains tribe (Northern Plains tribe 1 and Northern Plains tribe 2 combined) from each of four age groups (15-24, 25-34, 35-44 and 45-54 years of age). In other words, for Northern Plains tribe we will complete 1,500 interviews; this will be combined with 1,500 for Southwest, for a total of 4,400 interviews. The Adult Substudy is designed for comparison to a national study that was recently completed: the National Comorbidity Survey. By using the same age and gender groupings as this larger effort, we can place the American Indian information in a national context.

The persons selected for this interview will be paid $40 for their time. The interview will take approximately four hours and take place at a location convenient to the respondent.

This is by far the largest of the substudies. It is directed by Jan Beals and Spero Manson, assisted by Suzell Klein (Denver Coordinator), Denise Middlebrook (Northern Plains tribe Field Site Coordinator), and Paula Espinoza (Southwest Field Site Coordinator).
2. Clinical Substudy
The goal of the Clinical Substudy is to examine the validity of the diagnostic interview in the Adult Substudy. One of the primary measures in the Adult Substudy --the Composite International Diagnostic Interview (CIDI)--has been used internationally and is designed to be used by lay (that is, non-clinician) Interviewers. It received extensive review in the AIVVP and has had minor modifications since then. However, another way of gathering psychiatric diagnostic information is with a less structured interview administered by trained mental health clinicians.

A subsample (approximately 10%, or 300 total) of those completing the CIDI will be asked to come to the Field Office for an interview by a clinician. The interview used in this case, called the Structured Clinical Interview for DSM-III-R, takes less than two hours to complete.

Persons selected for the Clinical Substudy will be paid $40 for their time, as well as mileage to the Field Office.

The Clinical Substudy is directed by Denise Dillard.

3. Ethnographic Substudy
The Ethnographic Substudy builds upon both the Adult and Clinical Substudies. In the Ethnographic Substudy, trained medical anthropologists (Terry O’Nell in Northern Plains tribe and Paul Spicer in Southwest) will interview selected respondents who have participated in both the Adult and Clinical Substudies. Their goal will be to find out how people talk about and experience what psychiatrists call mental health problems.

C. DATA COLLECTION TIMELINES

Data collection for the Northern Plains tribe Adult Substudy began in June 1997 and may continue through June 1999. Approximately 200 interviews will be conducted each month during this time. Data collection for the Southwest Adult Substudy began in October 1997 and will be completed in December 1999. The number of Southwest interviews conducted each month will be 160.

The start date of the Clinical Substudy is somewhat dependent upon the data that are gathered in the Adult Substudy. It is estimated that the Clinical Substudy will begin in February 1998 and continue through August 1999 for the Northern Plains tribe sites. As with the Adult Substudy, data collection for the Southwest Clinical Sub study will lag by three to four months.

The Ethnographic Sub study has multiple parts and is on-going. In one part of this Sub study, though, the anthropologists will speak with some of the respondents of the Adult and Clinical Sub studies in order to ask more in-depth questions about how they and their families deal with health and mental health issues.
IV. OVERVIEW OF THE AI-SUPERPFP PROJECT QUESTIONNAIRE

This section provides an overview of the questionnaire that will be used in the interview and how it was developed. First, we present some background on psychiatric epidemiology and services research. We then talk about the review process that we used to refine the questionnaire. We close this section with an overview of the content of the questionnaire that will be used in the interview.

A. PSYCHIATRIC EPIDEMIOLOGY AND SERVICES RESEARCH

This project is modeled after a number of similar projects conducted in the United States over the past 20 years. More recently, similar projects have been, and are being, conducted around the world.

In the late 1970s and early 1980s, the Epidemiologic Catchment Area (ECA) studies were conducted by researchers in five sites around the country: areas around New Haven CT, Baltimore, MD, Raleigh/Durham, NC, St. Louis, MO, and Los Angeles, CA. This large effort, conducted with funds from the National Institute of Mental Health (NIMH), has had enormous impact on public policy over the past 20 years. For the first time, researchers and policy makers were able to speak with some confidence about the rates of common psychiatric and mental illnesses such as depression and substance use. Perhaps the most important result from this effort was the realization that the vast majority of people with these types of problems do not get the services they need. If they seek services at all, they are most likely to approach their family doctors rather than a person trained in the treatment of mental health problems.

While very important, the ECA studies had some problems. First, they could not be considered a "national" study, since the respondents mostly came from the East and almost exclusively lived in urban areas. Additionally, the Diagnostic and Statistical Manual (DSM) of the American Psychiatric Association has continued to refine the criteria for common mental disorders; the ECA studies used what is now an outdated version of the DSM.

In the early 1990s, Ronald Kessler of the University of Michigan completed another study, using a more up-to-date questionnaire with a sample that truly represented the nation. This effort was named the National Comorbidity Survey, or NCS. We designed the AI-SUPERPFP project to follow this national effort and we can use the NCS information to speak about the experiences of Northern Plains tribe and Southwest peoples compared to other Americans.

More recently, similar psychiatric epidemiologic efforts have taken place in other countries, including Mexico, Chile, Great Britain, the Netherlands, Australia, and Taiwan. The World Health Organization is sponsoring an annual meeting of researchers involved in epidemiologic and services research--the International
Consortium of Psychiatric Epidemiology--of which the NCAIANMHR is a charter member. With these researchers, we will be able to put the AI-SUPERPFP project information in an international as well as national context.

The AI-SUPERPFP project is the first effort of its kind. While Blacks and Hispanics are typically included in national efforts, inclusion of Native populations is often quite difficult. For one thing, many Native people live in relative isolation in rural reservations, and those who live in urban areas are often spread throughout the metropolitan area as a consequence of relocation programs. Also, American Indians comprise only .8% of the US population. At the same time, however, many cultures are represented in this relatively small proportion of the population. In order to have valid statistical conclusions, projects such as the AI-SUPERPFP project must collect information from several thousand people. As a result of these factors, the NCAIANMHR has chosen to conduct most of its large data collection projects with two of the three largest reservation-based tribes in the country (Southwest and Northern Plains tribe). In later efforts, we would like to expand the scope of this project to include urban Northern Plains tribe and Southwest, as well as to work with other tribes. In the meantime, though, at least we can speak to some degree about the cultural diversity in the Native population.

In summary, the AI-SUPERPFP project is the first project of its kind with Indian populations; if done well, it could have a large impact on public policy for Southwest and Northern Plains tribe peoples as well as other American Indian populations. The AI-SUPERPFP project is following in a tradition of earlier efforts both nationally and internationally, so it is important that we be able to compare the information collected in this project with these other efforts.

B. THE REVIEW PROCESS

The AI-SUPERPFP project questionnaire has gone through an extensive process of reviews to ensure that it contains appropriate subject matter, is understandable, is scientifically sound, and can be compared to other projects such as the National Comorbidity Survey. The review process incorporated feedback both from focus groups from the communities and from researchers on the Scientific Advisory Committee.

1. Focus groups
Before we started interviewing for this project, we wanted to make sure that the questions made sense to people in the community. To help us in this task, we called together groups of people to help us review the questionnaire. We called these groups “focus groups”. In the focus group meetings, participants reviewed some of the questions in the questionnaire. For each question, we wanted to know whether it was understandable as it stands, whether the question might be reworded to make more sense, or whether another question could be added to capture the experiences of people in this community.
With the help of field staff, we recruited local residents into four groups at each of the two sites, for a total of eight focus groups. At each site, we gathered a group of community members, service providers, youth workers, and tribal elders. Each group contributed a unique perspective to our understanding, of the cultural validity of the questionnaires for adaptation. Focus groups met in three-hour sessions from three to five times over a three-month period. Each focus group was facilitated by the NCAIANMHR ethnographers at the two sites selected for the project: Terry O’Nell facilitated the Northern Plains tribe site; Paul Spicer facilitated the Southwest site.

In the focus groups, we found that a number of the questionnaire items were culturally invalid. For example, we learned that a question that asked about “feeling as if you were going mad” would probably be understood as a question about anger instead of a question about one’s sanity. Similarly, focus group participants taught us that asking whether an American Indian respondent has ever abused (as opposed to used) peyote, a powerful Indian medicine, must be approached with care and respect, and not simply included in a list of questions about other types of drugs. In the focus group review, we also discovered important signs and symptoms of distress and poor judgment in these communities that did not appear in the original questionnaire. For example, “feeling lonely” was thought by focus group participants at both sites to be a more potent expression of depressed affect than the mainstream idioms of “feeling down, blue, or low.” Based on the focus group findings, the two ethnographers made suggestions about which questions should be deleted, changed, or supplemented.

Much of the interview, including the mental health diagnostic section, had been included in the AIVVP, which was conducted recently in the communities participating in the AI-SUPERPFP project. Veterans’ active participation in the earlier project’s focus groups has been especially valuable for identifying important issues for the AI-SUPERPFP project.

2. The Scientific Advisory Committee
A Scientific Advisory Committee (SAC) has also reviewed the questionnaire. The SAC is made up of people from around the country who specialize in measuring service utilization, mental health issues, stress, and symptoms of distress as they are expressed in different cultures. In 1996, the SAC met once as a large group in Denver and participated in monthly teleconferences over the course of the year. They reviewed the subject matter covered in the questionnaire. They suggested many important additions to ensure both that the questionnaire represented the “state of the art” and that it was comparable with projects in other parts of the world. They brought perspectives from national projects, Canadian studies, reviews of service utilization in Puerto Rico and among Mexican-Americans in California, and activities in other locations. The Indian Health Service participated in this process, raising issues pertaining to the variety of special services used on reservations and by contract outside of the reservation. The questionnaire was also reviewed for the special interests and needs of adolescents and elders. A physician specializing in children's physical and mental health, and a nurse specializing in the concerns of elders, were an
important part of this process.

All of the questions about mental health were reviewed by clinicians who have worked extensively with individuals from the two communities involved in the project. Clinicians and ethnographers also developed a list of symptoms of distress that came from experiences of people in the project communities, rather than standardized questionnaires based on the ideas of other communities.

Staff from the Denver office have carefully reviewed the questionnaire from many professional perspectives: **ethnographic, clinical, epidemiological, field, cross-cultural, and cross-national** perspectives are some of them. A Decisions Group from the NCAIANMHR reviewed all of the recommendations for change and prepared the interview for pilot-testing. Pilot interviews have been conducted with people from the participating communities, to ensure that the questions are appropriate and understandable.

**C. THE CONTENT OF THE QUESTIONNAIRE USED IN THE INTERVIEW**

This project is the first of its kind and has given us the opportunity to measure a broad scope of concepts. Our greatest effort has gone into measuring mental health and service utilization, but we have included the measurement of other concepts as well. Below is a brief overview of the eight major sections of the questionnaire used in the interview.

1. **Background**
   These questions ask about personal information such as marital status, income, ethnic identity, and military service. These questions include traditional contributions to the household, “social capital” or resources from other people that can be drawn upon in times of need, and community ideas about social and economic conditions. Additional questions assess family structure by asking about the people who share a home with the respondent as well as asking about his or her children. Finally, this section is used to assess educational and occupational histories. Many of the questions in this section come from the US census questionnaire so that the differences and similarities of reservation life can be described.
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This information was removed to protect community confidentiality.
2. Family history
Questions in this section are concerned with both childhood and current topics. For instance, some questions ask about the people who were parents to the respondent as well as about the relationship she or he had with those parents while growing up; other questions ask about Reservation life and the respondent’s current living situation. Still other questions ask about the religious and spiritual background of respondents, the emotional environment of the childhood home, adults who served as support and/or role models, and type and frequency of languages spoken in the respondent’s childhood home. The primary goal of these questions is to describe family values, problems within the family during childhood, and positive influences while growing up.

3. General health
Health screening, history of tobacco use, history of chronic health conditions, medication use, current physical condition, and screening questions for psychiatric disorders are included in this section on general health. The purpose of these questions is to develop a comprehensive health history profile. This profile, along with information collected in the next section on Service Utilization, will play a key role in determining the types of care people seek in the target communities.

4. Service utilization
This part of the questionnaire asks about whether people have gone for care for physical, emotional, or drug and alcohol problems. It is organized by service organization such as IHS, the VA, other biomedical health care providers, and traditional healers. Respondents are asked if they have ever used these services and if they have used them in the past 12 months. Respondents are also asked to identify any barriers that may have kept them from seeking services from a particular type of provider, as well as to indicate problems they have experienced when they did seek care. In addition, respondents are asked to evaluate their most recent experiences with a service provider and to speak about the quality of care as well as how well the services resolved the problems that brought them to care. Finally, respondents are asked if they have wanted to use services but were unable to for some reason; if so, questions explore what kept them from being able to use the services they felt they needed. At the conclusion of this section, respondents are given the opportunity to indicate what other health services that are not currently available are needed in their communities.

5. Mental health: The Composite International Diagnostic Interview (CIDI)
This section begins with a standard questionnaire for common mental health problems, including problems with panic, general anxiety, depression, post-traumatic stress disorder (PTSD), and adjustment problems in childhood and adult life. Within each of these sections are questions on how much people have been bothered by these emotional problems, and whether they have talked to anyone about them. Questions within this section also examine the history of drug and alcohol use, and any problems this use may have caused.
6. Stress, trauma, and PTSD
This part of the questionnaire asks about different types of stresses people have experienced throughout their lives. These stresses range from common stresses and strains (such as separation from parents, failing school, or pressures at work) to traumatic events, (such as being in a war, being raped, or being physical abused by someone close to the respondent). Respondents who have experienced stressful events will be asked additional questions to determine if those events qualify as traumatic events according to DSM criteria. For those events that do qualify, respondents will be asked follow-up questions to determine if they have experienced PTSD.

7. Social relations
In this section, people are asked about their personal relationships. They are asked if the people close to them care about them, if they are a source of support in times of need or can be counted on for help. They are also asked about strengths or weaknesses in these close relationships, if they feel isolated, and if appropriate, what relationship they have with their children. These questions are designed to assess the extent to which social relationships are available as a resource during times of need.

8. Symptoms and well-being
In this final section, respondents are asked a set of symptoms that people from the community have sometimes expressed as being bothersome. Respondents are asked how much they are bothered by these common symptoms of distress, how much they have interfered with everyday life and whether they have discussed these problems or symptoms with anyone. Respondents are also asked to talk about thoughts and/or experiences with suicide and what they had done about them. Additionally, respondents are asked to express attitudes about mental health care and what they have done or would do if faced with a personal or emotional problem. The final set of questions is concerned with spirituality and religious practices as aspects of well-being. Respondents are asked how important these beliefs and practices are to them personally as well as how important it is that their family members participate in these beliefs and practices. The well-being section was included as a way to end the questionnaire on a, hopefully, positive note.
V. SAMPLING FOR THE AI-SUPERPFP PROJECT

In order to get reliable results from information that is collected, studies must choose a group of respondents who represent everyone in the community. The process by which you decide who should be interviewed is called “sampling”; the group of people chosen is called “the sample.” If a research project had limitless money and time, the staff could interview everyone in the community; however, research resources are always limited. Thus, sampling is selecting a part of a population or community to participate in a study, so research staff do not need to interview the entire community. By choosing a representative sample, we can make conclusions about the entire population.

Two things are important when choosing a sample. First, the sample must have a large number of people to provide good estimates of the outcome or disease that you are studying. For example, suppose you wanted to find out how many high school graduates in your community go to college. If you interviewed only five people—all of whom just happened to have decided not to go to college—you would conclude that none of the community’s high school graduates had gone to college. By sampling more graduates and getting a variety of people, you would get a better estimate of how many actually went to college. When you select enough people in your sample, the estimates you calculate (for instance, the occurrence of disease or level of education) are considered to be stable—that is, even if you selected more people in your sample, the estimates would not change. Second, the people selected should be representative of the entire community. This means we wouldn’t want to interview only young people, or only sick people, or only those who have a college education. Doing this would bias the results and make it difficult to relate the findings to the entire community; therefore, you wouldn’t be able to generalize to the whole community. To choose a sufficiently large and representative sample, the quickest way is to assign a number to each member and have a computer choose numbers at random. When this method is used, bias (for example, choosing only those people who work full-time) can be generally ruled out, since all members of the population had an equal chance of being chosen randomly.

The design of this project demands that we begin with a defined set of people from which we can randomly sample. To achieve this, we worked with Tribal Councils to obtain computerized copies of their Tribal Rolls. (With the highest regard for confidentiality, access to the names was limited to the Project Director and the person responsible for the sampling.) Since this is a study of American Indians, we have defined an Indian as someone who is enrolled by the tribe, thereby establishing the definition determined by the tribes with which we are working. Then, we used gender and birthdate to develop groups from which to sample. This ensures that we have adequate numbers of people in each age and gender category to draw appropriate conclusions when the data are analyzed.

We created four age groups: those 15 to 24 years of age, those 25 to 34, those 35 to 44, those 45 to 54. Within each of these age categories, gender was further used to subdivide the groups. Then, each person in each of the 12 groups is assigned a random number. The computer will pick approximately 275 numbers (each number
representing one person) from each group. A list of those selected will be given to the Interviewers, whose job it is to find people and ask them to participate in an interview.

Many people have asked why we can’t simply interview those people who volunteer and not bother those people who don’t volunteer—this seems like the most polite way to do research. The reasons we cannot use this method are those we noted above. Using only volunteers may introduce bias: those who volunteer are likely to be different from those who don’t volunteer. For example, volunteers may be less likely to be employed and, therefore, have more free time to participate and perhaps be in greater need of the money that the respondents receive. As a result, their life circumstances wouldn’t be representative of all people in the community. For these reasons, we follow the sampling methods described above.
VI. INTERVIEWING: PURPOSE AND RATIONALE

Interviewing in the format that you will learn during the Interviewer training is a strange task for most people. In the type of research that we are conducting, the task is to ask questions that have been written to learn about certain aspects of their lives and how they think about mental health. The questions are not asked in a common conversational format and can seem awkward; at times, they may even appear to be rude. We have been able to alter some of the questions to adapt them to the local community. However, many have not been changed; this is to ensure that our procedures follow the standards of the scientific community. Without that assurance, other researchers, Congress, or other officials who may read the reports produced from this study, might not trust our results. So, the interviewing process may seem uncomfortable, but we have valid reasons for the procedures we follow.

This section corresponds with the Interview Process flowchart on the next page. The interview process encompasses three components: 1) locating and recruiting the respondent and scheduling the interview, 2) conducting the interview, and 3) quality control procedures. In this section, we first present a brief overview of these components. We then present details for each in Section B.

A. OVERVIEW OF THE INTERVIEW PROCESS

Component 1: Location
Component 1 consists of four Phases: 1) information gathering and contact, 2) determining eligibility, 3) recruitment, and 4) scheduling the interview. The Interviewer will be responsible for each of these Phases.

Component 2: Conducting the interview
Component 2 begins with the Interviewer’s obtaining signed consent and continues through the completion of the interview. In addition, some paperwork needs to be completed with each interview. The paperwork and the completed interview should be brought to each weekly supervisory meeting.

Component 3: Quality control procedures
In Component 3, the Field Office Director (FOD) will be responsible for verifying 1 in every 10 completed interviews for each Interviewer to determine if the interview was conducted properly. The Data Managers will also review completed interviews. If there are errors, the FOD will tell the Data Collection Coordinator (DCC), who will discuss with the Interviewer any problems and overall performance in the weekly meetings.
Insert Interview Process Flowchart here

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B. SPECIFIC PROCEDURES BY COMPONENT

Component 1: Location
Location is the process of finding persons in our sample to determine if they are eligible for interviewing. The Location component for the AI-SUPERPFP project is quite complicated, but these procedures are necessary to satisfy the design of the project. Since this is a project with American Indians living on or near the reservation, we must ensure that the respondents are Indian and live either on the reservation or within 20 miles of the reservation (or in selected border towns). We will assume that the potential respondents are Indian because their names appeared on rolls of the tribes participating in the research. The Location process then attempts to determine whether the person selected is living on or near the reservation and willing to take part in the project.

a. Overview
As mentioned in the overview of the Interview process, the Location component has four Phases: 1) gathering information and contacting the potential respondent; 2) determining eligibility; 3) recruiting the potential respondent; and 4) scheduling the interview. The "Component One: Location and Recruitment" flowchart can be found on the previous page.

Using information from the Tribal Enrollment Records, a list of potential respondents has been generated in the form of a computer data file called the Master Database, and a corresponding form for keeping track of the location process for each potential respondent has been printed. Throughout the project, additional names will be selected depending on the number of potential respondents who actually are eligible and the number who agree to participate. We will select additional names by dividing each of the age and gender groups into random subgroups called “replicates”. At the beginning of data collection, Interviewers will be given the names of people in several replicates; later on, names from a single replicate at a time will be identified. When additional names are selected, the names will be added to the Master Database and forms for each new person will be printed.

The form for keeping track of the location process is called the Interviewer Contact Form (ICF). Each Interviewer will be assigned a group of these ICFs and the Interviewer will be responsible for locating each of the people named on the forms. In addition to the ICFs, the Master Database in the Field Office will have information entered into it each time there is closure on a name (for example, the person is not eligible, the interview is complete, or the ICF is given to another Interviewer for location). It is very important that the ICF be kept up-to-date with information that assists in determining where the potential respondent might be found, and the status of the respondent (for example, interviewed, refused, etc.). In addition, it is very important that the Master Database be kept up-to-date so that the progress of the project can be monitored and the need to select additional names can be determined.

b. Phase 1: Information gathering and contact.
When attempting to contact the potential respondent, several guidelines are required so
that we can have confidence in the information gathered, and we can be assured that the information is "correct to the best of our ability."

(1) The first step in the location process is for the DCC and other Field Office staff to sort through the ICFs and separate them by area. It is probably best if Interviewers work in areas where they are most familiar with the community and are close to their home, to limit the amount of driving they will have to do. The DCC will give each Interviewer a stack of ICFs that the Interviewer will be responsible for locating.

(2) The Interviewer will then fill out each ICF with the Interviewer ID (a number that will be assigned to each Interviewer so that s/he gets credit for the work accomplished), the date that location began, and the area (district or agency). This form will document all of the steps taken while trying to locate an individual. Each time a phone call is made or a person is contacted in an attempt to locate a person, it should be written on this form. Please record whether the person is still living and, if so, any important details regarding the person's whereabouts.

(3) Each Interviewer will receive an Interviewer Progress Log (generated from the Master Database by the DCC) listing all potential respondents assigned to him/her. It will also be used by the Interviewer to keep track of completed cases, those given to other Interviewers, etc.

(4) Next, the Interviewers should review each name in their assignments to determine if they know the whereabouts of each person. Careful notes should be made if they believe they know someone's whereabouts on or near the reservation, if they think the person is deceased, or if they think the person has moved away from the reservation. The ICFs should be sorted into a group of those the Interviewer knows and a group of those who are unknown.

(5) A group meeting will then be scheduled to go through the names of potential respondents whose whereabouts are not known by the Interviewer to whom the name was assigned. At this point, the DCC may determine that it makes sense (based on knowledge or location) to assign that ICF to another Interviewer. This exchange should be noted on the ICF and Interviewer Progress Logs, and updated in the Master Database. In some cases, the group may determine that an individual is no longer living within 20 miles of the reservation. In order to determine this, the eligibility guidelines listed in Phase 2 (Determining eligibility--to be discussed later) must be followed. The ICF should then be filled out to indicate this, the Master Database updated, and the Interviewer Progress Log updated.

(6) After the group meeting, Interviewers may continue to gather information by talking to "key informants" (people who may know a lot of people in the community) to see if they know the whereabouts of the potential respondents. These key informant contact procedures are a quick way to get the location process started and may help the Interviewer to determine if someone is ineligible. That is, the key informants may say that a person
has moved more than 20 miles from the reservation or that the person is deceased.

(7) If a key informant provides information that would indicate that a potential respondent is ineligible, information must be gathered from at least two other key informants to confirm this information, and two of the three must agree that the person is ineligible. The majority of the time, you will not be able to determine if someone is ineligible simply by talking to community members, but these key informants may be able to help you to contact the person. In most cases, you will have to use more extensive location procedures than talking to key informants. These procedures for attempting to contact the respondents directly are outlined below.

(7) It is important for the Interviewer to be aware of the need to try to contact, determine eligibility, and interview those potential respondents with the lowest replicate number first. The replicate number will be printed on the ICF and will be a number from 1 to 24. Initially, Interviewers will receive names from replicates 1 through 4; after that, names from new replicates will be sent one replicate at a time. The Interviewer should first concentrate her/his efforts on all those with a replicate number of 1. Once those cases are resolved, s/he should proceed to those with a 2, and so on. This does not mean that an Interviewer cannot begin work on the higher-numbered replicates, but a replicate must be completed (all interviewed or determined to be ineligible or refused) before additional ICFs can be assigned to the Interviewers.

(8) There are a variety of ways to make contact.
(a) **Phone contact.** Use phone books, directory assistance, and networking to obtain a phone number. Make phone contact attempts at different times of the day and on different days of the week so as to maximize the possibility that you will catch the respondent at home. Document all attempts on the ICF. ICFs WITH INSUFFICIENT DETAIL WILL NOT BE PAID TO INTERVIEWERS. SEE ITEM (2) IN THIS SECTION.

(b) **Mail contact.** In some cases, we may have a good address that would help in contacting a potential respondent. A postcard can be sent asking the potential respondent to contact the office. In most cases, however, the address will not be current or will not be a usable mailing address.

(c) **Personal contact.** If no phone information is available, or contact has not been made after six calls, turn to the following steps.

⇒ Try using any workplace information available from other resources.
⇒ Go to the residence to make personal contact.
⇒ Try talking to other “key informants.”
⇒ Each file will contain the last known address from the enrollment records. In most cases, this will be a very old address; however, someone at the old address may know where this individual is living.
Continue to use your own resources until someone is located who knows this person's whereabouts.

(d) Contact seems impossible. Discuss all of your efforts and all aspects of the situation with the DCC. The Interviewers will have weekly staff meetings with the DCC to discuss alternatives for location. After some period of time, the DCC may decide to assign the person to be located to another Interviewer who works in a different area on the reservation. This should be indicated on the ICF, on the Interviewer Progress Log, and in the Master Database. UPON AGREEMENT WITH THE DENVER STAFF, a person could also be determined to be impossible to find, with no further attempt to locate her/him.

In this case the ICF would be “closed out.” A “closed out” ICF basically means that the ICF is given an outcome code, entered in the master data base, and sent back to Denver. See form #22 in the appendix for a list of all outcome codes.

Project staff have developed some guidelines for assisting in determining when to close out an ICF. Good participation rates are important in order for the study to be viewed as scientifically sound. On the other hand, we don’t want interviewers and locators spending too much time on any particular person. It really is a balancing act. In some projects there is a list of names and everyone on the list is eligible-those who are non-Indian or ineligible for other reasons have already been excluded. For such projects, the participation rate is simply those who do a survey out of the number of people on the list. In this case, it makes sense to work on each ICF until the end of the data collection period, because the total number of people needed for a good participation rate is known.

For the AI-SUPERPFP Project, the sampling and calculation of participation rates is more complex. We start with a list of names that appear on the BIA tribal enrollment records. We don’t know if everyone is eligible or not, because we aren’t sure if each one is still living on or near the reservation-one of the eligibility criteria. So you have the difficult task of trying to find them. While we would like to find every person on the list, this idea has to be balanced with the notion of not spending too much time on finding any single individual so that we have enough time to get the number of interviews that we need. At this point, we don’t know how many people we will have to find in order to get 2000 interviews. We have to close out replicates completely so that we can estimate how many people have to be located to get one interview. This needs to be done to predict how long the study will take, how much money it will cost, etc..

In the end, we will calculate the participation rates by going through a few steps. First we will calculate how many we were able to locate-we would like to see this number up around 80% or so, but if we can’t find that many, that’s ok-locators can only do so much. Next we’ll see how many of those we located are ineligible. Our final participation rate will be the number who were interviewed out of the number that were eligible. This is the most important number.

Field staff has to make some decisions about who is a "cannot locate" and who requires
more locating. In an effort to get replicates closed out, some people will simply have to be declared a "cannot locate." This should not be seen as a negative thing—it does count as part of the quota for closing out ICFs. Closing out these ICFs gives the locators the opportunity to work on other ICFs and potentially get an interview. It is definitely a judgment call. The Denver Field Coordinator works with the DCC to make some concrete decisions about when a locator/interviewer has done enough work and it is time to close the ICF. This must be done so that energy can be spent elsewhere. In addition, pay will work out more favorably if locator/interviewers don’t spend all their time on the most difficult cases. The following guidelines should be followed:

- Non-hourly interviewers should spend a minimum of 2 hours locating a respondent, not including travel time, before returning it to their DCC for reassignment to an hourly/salaried interviewer.

- Non-hourly interviewers should make a minimum of 3 contacts per respondent.

- If a non-hourly interviewer is not able to contact a known respondent after 3 attempts, the interviewer can return the ICF to their DCC to pass off to an hourly interviewer.

- Non-hourly interviewers should record credit for their location/contact efforts on their paylogs and DCC should verify when they return the ICF to the DCC to be passed to the hourly interviewer.

Once contact is made by the hourly interviewer, the hourly interviewer should:

- Schedule the respondent for an interview in coordination with their DCC. If possible, the interview should be conducted by the non-hourly interviewer who first handled the ICF.

- Hourly interviewers should record credit for their location/contact/scheduling efforts on the ICF and their paylogs.

If an interviewer finds that a respondent lives in an area overseen by another field office (e.g., a Northern Plains tribe 2 interviewer finds that someone lives in Northern Plains tribe 1, or a SWW interviewer finds that someone lives in the SWE area), the interviewer turns that ICF into their DCC who then forwards it on to the appropriate party (a locator in the first case, the other field office in the second). The first interviewer should note on their paylog that the ICF was transferred to another interviewer/field office. When the ICF is closed out (that is, the person is declared as a “cannot locate”, or is located and either interviewed or refuses), the first interviewer will be paid $20.00 for the transferred ICF.

(e) Contact is made. When contact is made, you move into Phase 2 (Determining eligibility).

Even though a progression of steps for the Location process is specified above, this process is really very fluid. An Interviewer will get new assignments throughout the project, and some potential respondents will be more difficult to locate than others and
will take longer to resolve. For example, an Interviewer may complete a scheduled interview in the morning, spend the afternoon talking to “key informants” about other potential respondents, and then drive out to someone’s home to try to recruit him/her into the project.

c. Phase 2: Determining eligibility

(1) Contact. Eligibility can be determined either indirectly or directly. An indirect determination occurs when a close relative or three key informants agree that the person is either deceased or is no longer living within 20 miles of the reservation. A direct determination is accomplished through contact with the potential respondent.

- **Indirect contact.** In the cases where indirect information determines the person’s eligibility, the Interviewer must be absolutely sure that the people giving this information are sure about the person’s identity. Please pay close attention to the birthdate, since people often have the same name, but different birthdates—for example, a father and son. As mentioned earlier, in the Sampling section, interviewing people other than those selected may bias the results.

- **Direct contact.** The second way to determine eligibility is by direct contact. You will be given a list of questions that must be answered to determine if the person you are talking with is the correct potential respondent. You will need to confirm that s/he is an enrolled member of the tribe and that s/he currently lives on or near the reservation (within 20 miles).

Interviewers should begin talking with the potential respondent by introducing themselves and giving a brief description of the NCAIANMHR and the project. Interviewers should use the guidelines presented in Phase 3 (Recruitment) when approaching a potential respondent.

(2) Eligibility questionnaire. Whether the information is gathered directly from the potential respondent or indirectly from a respondent’s relative, close friend, or three key informants, the Interviewer will fill out an Eligibility Questionnaire, which specifies what makes this person eligible or ineligible. The following list outlines the criteria for eligibility.

- The person must currently be living on the reservation or within 20 miles of the border of the reservation

- Belonging to the specific tribes participating in this project is one of the qualifications for participation. The original source of the names is the Tribal Rolls; therefore, we are assuming that all of the names on the list are enrolled with the tribe. Whenever someone is thought to belong to another tribe, please bring it to the attention of the DCC.

- A person is considered to be currently living on or near the reservation if her/his
primary residence (the residence s/he considers to be “home”) is on or near the reservation. If a person considers his/her primary residence to be on or near the reservation, but s/he is living somewhere else (such as away at school), s/he may be interviewed if, s/he plans to return to the reservation within 30 days; and will be staying there for at least 30 days. This means that those who are simply visiting, but live elsewhere--such as those in active military--will not be interviewed.

- Only those who are 15 through 54 years of age on June 1, 1997 (when the project begins) for the Northern Plains tribe will be interviewed in the Adult Sub study. This means they must have been born after June 1, 1942 and before June 2, 1982. For Southwest, eligible respondents must be born after October 1st, 1942 and before October 2nd, 1982.

- There are a number of other reasons why a person would not be able to participate in the project: 1) obviously, if the person is deceased, participation is not possible; 2) the person may be too ill to participate; and 3) the person may be incapable of participating because he/she is mentally retarded, has emotional problems, has a brain injury, or other circumstances that render her/him unable to understand the questions and give valid answers. In Component 2 (Conducting the Interview), more details will be given about how to handle these situations.

- Persons who are institutionalized are not eligible for interview--this means anyone in a prison or jail, nursing home, or active in the military.

It is worth repeating the fact that special attention must be paid to people’s birthdates. In many cases, the birthdate is the only item that will distinguish two people with the same name, and the Interviewer must only interview those people who are selected. Sometimes the birthdate on the ICF will be close to the birthdate given by the potential respondent. If it is not exactly the same, ask the person for anything with her/his enrollment number on it. If the number matches the enrollment number on the ICF, this person can be interviewed if s/he is eligible according to the other criteria listed above. If it does not match, the person being contacted may not be the correct person, and the Location process may need to begin again. However, this should be discussed with the DCC, and in many cases, the DCC will contact the Denver Data Manager by e-mail to confirm the person’s identity. If there is any doubt about the person’s enrollment number, or s/he does not have any verification of her/his enrollment number, the DCC should e-mail the Data Manager in Denver.

For Northern Plains tribe 1, enrollment numbers will not be listed on the ICFs. In this case, if the birthdate on the ICF is only one or two characters off, the Interviewer may determine that this is the correct person and that there are some errors in the tribal enrollment records. For example, if the person says her/his birthday is 1/2/45, but the ICF has one of the following birthdates--

2/2/45
--the Interviewer may assume that this is the correct person. The correct birthdate should be noted in the appropriate place on the ICF. If there is any uncertainty about whether a person is an exact match, let the DCC know and s/he will e-mail the Data Manager in Denver; she can check the tribal enrollment records to see if other people with the same name were not selected.

Gender may sometimes be incorrect on the ICF. (In some cases, gender was determined based on the first name; many names, such as Chris or Pat, make it difficult to be accurate.) Because of this, it will be very important to note in the appropriate place on the ICF that gender was not correct.

The DCC must sign off on every ICF and verify that the final outcome is correct. The same procedure is used when someone is considered ineligible as well.

d. Phase 3: Recruitment
One of the most important goals in research is to obtain a substantial number of respondents and to have a low refusal rate. Recruitment is a very important aspect of obtaining respondents. The Interviewer’s manner and professionalism can easily persuade an individual either to participate or to refuse. This subsection proposes some guidelines for contacting potential respondents and helping them to understand why it is important that they take part in this research. Confidentiality is also emphasized and is of primary concern when working on any research project.

It is important to note that the Interviewer must obtain the permission of a parent or legal guardian for any potential respondent who is not yet 18 years of age. Interviewers will first have to “recruit” the parent/guardian--convincing that person to let her/his child participate. Once this is accomplished, the Interviewer will next need to recruit the under-age respondent. If a person was not yet 18 on June 1, 1997 for Northern Plains tribe or October 1, 1997 for Southwest, it will be indicated on the ICF label. **PLEASE NOTE:** As time passes, some who were not 18 as of these dates may actually turn 18. Check carefully any potential respondents who are designated as under 18--you might be able to avoid the extra step of obtaining parent/legal guardian consent if the person has turned 18 as of these dates.

(1) Introducing yourself effectively. Introducing yourself and persuading the respondent to take part in the interview is probably among the most important and difficult parts of being an Interviewer. In the crucial first minutes of the initial contact, you must convince the respondent of four things: 1) you are a trained Interviewer, 2) you are from a legitimate and reputable organization, 3) you are engaged in an important and worthwhile project, and 4) the respondent's participation is vital to the success of the research. You and your words must convey your credibility. You should be serious, pleasant, and self-
Here’s an example: “I’m Angela XXXXX. I work in Northern Plains tribe 1 for the University of Colorado Health Sciences Center. We are involved in a number of research projects that deal with important issues concerning the mental health and service needs of Indian people. Right now, we are conducting a project on the reservation where we want to ask people questions about how they and their families are doing these days. We are especially interested in health and mental health, and what health services people here use. Anything you tell us will remain private. I would like to figure out if you are eligible to take part in this project. To do this, I need to ask you a few questions.”

(2) Talking about participating in the project. At this point, it may be necessary to explain more about the questionnaire, including the length of the interview, topics covered, types of questions, etc. If the respondent asks a question you cannot answer, either volunteer to find out the answer or refer the respondent to the DCC.

⇒ Interviewer’s professionalism. To be a successful Interviewer, you should be prepared to answer, in a calm, professional manner, any questions the respondent might ask. In order to do this, you must learn as much about the project as you can and write out your explanations in your own words. This serves to focus your thoughts and to reinforce your confidence. You should have several different explanations and approaches ready to adjust your introduction to suit the person to whom you are talking. Approach each person whom you first contact as if s/he were friendly and interested. You should assume that if s/he isn’t, it is simply because s/he is not yet informed about why you are calling. Listen carefully to what is said, the tone of voice, and any background noises, and then respond accordingly. Some respondents will be quite willing to be interviewed with only a brief explanation of purpose; for others, you will need to go into some detail. It is best to begin with a brief explanation and save your more detailed explanation to use as needed. Don’t overwhelm people with more information than they want or need. Talk with them, not at them. If they believe you are really interested in what they have to say, they are more likely to participate. (See #5 later in this subsection for additional information on Persuasion techniques.)

Your state of mind is often reflected in your respondent’s reaction. If your approach is uncertain or uneasy, this feeling will be communicated to the respondent, who will react accordingly. If you have a pleasant, positive, and well informed approach, this again will be reflected in the respondent’s attitude. Your effectiveness and satisfaction with the job will be increased by the knowledge that research is legitimate and important. Knowing exactly what you are doing and how to do it will increase your credibility with everyone you speak with during this process.

The person who answers the door or phone may or may not be the person you need to interview. You should try to develop a cooperative relationship with the
person answering the door or phone, thereby obtaining the information you need to schedule the respondent. Also, the first person you speak with may help to persuade the respondent to do the interview.

⇒ **Understanding a refusal to participate.** If a respondent does not wish to participate in the project, it is important to understand why. Sometimes you can ease the respondent’s concerns about participating by answering questions about the project. Each respondent who has been selected to be in this project has important information for us--so, it is important to get as many of the selected respondents to participate as possible. Each selected respondent we lose from the project lessens the value of the project results.

⇒ **Asking the right questions.** Try not to ask a question of a respondent that can yield an undesired response, such as a “No” to a direct request to participate. Questions that permit an undesired response can lead or even push a respondent into refusing to be interviewed. Many Interviewers find this difficult to do. We have all been raised from childhood to ask permission politely. Once you become aware that you can set yourself up for refusals, you will find it easier to replace your questions with statements. For example, instead of asking "May I talk with you now?" or "Is it a convenient time to talk now?", try saying, "I was hoping now would be a convenient time for you" or "You told me that now would be a convenient time for you." When making an appointment, don't ask, "When would be a good time?" Begin by suggesting alternate days and times. If you have established a rapport with your respondent, s/he may prefer to arrange a time to do the interview. Try very hard to get the respondent to set a specific day and time. The more specific the appointment, the more likely it will be that the respondent will remember it and be there.

If the respondent postpones the appointment, s/he has an additional opportunity to refuse or avoid you. Of course, if you really have called at a bad time and the respondent cannot talk to you, make an appointment to call back at a more convenient time. Your consideration of the situation can mean a lot to a respondent.

Whatever the reason for not wishing to participate, Interviewers should be persistent, yet respectful, in their efforts to persuade the potential respondents to participate. Listed below are some of the problems, and possible solutions, that may come up when talking to a respondent about participating.

⇒ **The respondent does not want the Interviewer to come to his/her home.** The interview does not have to be held in the respondent’s home. It can be held in any location that is quiet, private, and safe for both the Interviewer and the respondent--for example, a study room in a library, a CAP building, a chapter house, etc.

⇒ **The respondent doesn't think s/he has time.** The interview can be scheduled for any time that is convenient for the respondent: during the day or evening,
weekday or weekend. If a particular week is inconvenient, it can be scheduled for another week. If the respondent’s schedule is not compatible with yours, inform the DCC so that another Interviewer can be scheduled to interview the respondent.

⇒ The respondent thinks the questions are too personal. Let the respondent know that it is important to get an accurate picture of respondents in their community, and although the questions are personal, the answers will remain in strict confidence. (See #3, Confidentiality, below.)

⇒ The selected respondent is difficult to contact or schedule. If the selected respondent is difficult to contact or schedule, talk to the DCC.

(3) Confidentiality. “Confidentiality” means that information is not shared outside the setting where it was obtained; it is kept secret and private. Several types of confidentiality are important for this project.

⇒ Employee confidentiality means that any personal information that Interviewers, DCCs, FODs, and other participants in the training share about themselves during the training and afterwards will not be shared outside the training group and the NCAIANMHR staff.

⇒ Respondent confidentiality means that we will not reveal the names of the respondents who participated in the project. When we share the results of the project with others, no individual's responses will be identified. For the AI-SUPERPFP project staff (Denver and Field), this means that we will not discuss or reveal names of respondents we interview to anyone except to other NCAIANMHR staff. It also means that we will not discuss any information that we learn during the course of any interview with anyone except for other NCAIANMHR staff--and then, only when it is absolutely necessary.

⇒ Community confidentiality means that we safeguard the identity of the specific communities and tribes when talking or writing about the results in public places. When referencing the communities, for example, project staff will say, "a Northern Plains Indian community" or "a Southwest tribe."

⇒ Interview confidentiality means that the interview materials that we will be using are not to be shared with anyone except project staff. It should be noted that other than the Interviewer, project staff will not be able to connect the name of the respondent with the answers to the interview questions. Names will be removed and a number will be used to identify the information. It is important to let respondents in the project know what the project is about and the nature of the questions we will be asking. (See #4, below, on Rights of Research Participants.) However, we will not show interview materials to people outside of the project, in part because the sites are explicitly identified in the materials. Any requests for copies of the interview materials should be sent to Jan Beals.
at the NCAIANMHR. These interview materials are tools for research that are only to be used by people who have been trained to administer them. In addition, always keep the disks in a safe, locked place.

⇒ *Legal confidentiality.* As with all of the NCAIANMHR research projects, a Certificate of Confidentiality has been obtained from the federal government that protects the information that has been collected from being subpoenaed in a court of law.

⇒ *Exceptions to confidentiality* occur when someone may be dangerous to him/herself or others. In addition, if a respondent reports that she or he is abusing a child, or is under age 18 and being abused him/herself, we are required to report that to child protective services.

**ALWAYS CONSULT YOUR SUPERVISOR BEFORE BREAKING CONFIDENTIALITY.** If you need to get a respondent some assistance—such as, for example, if you believe the respondent may be suicidal—do not reveal to anyone that s/he is a research participant. (See *Safety Concerns and Reporting Procedures* for a more in-depth explanation.)

(4) Rights of research respondents. Even though we want as many of the selected people to participate as possible, you need to keep certain ethical guidelines in mind. All research conducted by the NCAIANMHR follows strict ethical guidelines to protect the rights of the research participants. The following guidelines must be followed by all Interviewers to ensure that respondents are not harmed by their participation in this project.

⇒ *Respondents have the right to refuse to participate in the project.*

⇒ *Respondents have the right to withdraw from the project at any time.*

⇒ *Respondents must be informed about the general purpose of the project.*

⇒ *Respondents must be informed about what they will be asked to do if they agree to participate in this project.* This project asks respondents to answer a variety of questions about emotional and physical health as well as about the services they have received in the past.

⇒ *Respondents must be informed of the potential risks associated with participation in the project.* These risks may include psychological discomfort related to discussion of topics that may be painful. Also, participating in the project may involve some inconvenience by requiring several hours of their time.

⇒ *Respondents must be informed of potential benefits associated with participation in the project.* The respondents will not benefit directly from participation in the project. However, they will be paid for their time. If a
respondent chooses to withdraw from the interview after it has begun, s/he will be paid a portion of the full amount.

⇒ **Respondents must be informed about confidentiality.** Again, some exceptions are discussed in the section entitled **Safety Concerns and Reporting Procedures**, as well as on the **Participant Consent Form**.

⇒ **Respondents must be informed about whom they can call if they have any questions about the project.** This information is included on the **Participant Consent Form**.

⇒ **Respondents must sign a Participant Consent Form to indicate that they have been informed of their rights as research respondents.**

(5) **Persuasion techniques.** Persuasion techniques are important in order to avoid unnecessary refusals. Here are some approaches that have been useful in other projects. (See also #1, **Introducing yourself effectively**, earlier in this subsection.)

⇒ **Be confident.** Take pride in your work and your association with the NCAIANMHR. Be professional and friendly.

⇒ **Have a very smooth introduction; do not pause or hesitate.**
  ⇒ KNOW all about the project you are working on and be ready to answer all questions.
  ⇒ START SIMPLY. The person you are speaking with will ask for more information if needed.
  ⇒ SLOW DOWN--and use words in your explanations that are easily understood.

⇒ **Listen carefully.** You cannot respond to people’s reactions to you if you don’t listen carefully to the inflections in their voices and the feedback they give you while you are answering their questions.

⇒ **Do not ask questions that can be answered with a “yes” or “no”:** for example, "Can we go ahead? Is now a good time for you?" They’ll let you know if it's not. Instead, say something such as "I am so happy I caught you at home. I've been looking forward to meeting you."

⇒ **Always explain all about yourself and the project to anyone in the household.** Don’t wait until you are speaking with the potential respondent. Others may help convince the potential respondent that the interview is important.

⇒ **When making appointments, give the respondent or the informant choices.** Again, do not ask “yes” or “no” questions, such as "Are mornings better?" Instead you could ask, "Do you have more time in the evening or on weekends?"
⇒ Be so well prepared that there is nothing the respondent can say that will surprise you. You must offer a solution to any excuse or concern.

⇒ Try not to push a refusal. If someone is unsure about participating, don’t push so hard that s/he ends up refusing. Try to leave yourself an opening to return and talk with him/her at a later time.

⇒ Increase your knowledge of the questionnaire in order to build your self-confidence.

⇒ Anticipate common respondent comments and questions, and write out explanations in your own words.

e. Phase 4: Scheduling the interview
Once the eligibility and willingness of a respondent have been determined, the Interviewer will try to schedule an interview at a time that is compatible for both the respondent and the Interviewer. Information about eligibility, date, time, place, and directions to the interview location should all be documented on the ICF.

(1) Scheduling the interview. The Interviewer will figure out where the interview can take place--in the home, the office, or some other place agreeable to both people. When scheduling the interview, explain the importance of having a private space for the interview, as well as the need for a flat surface to work on. Again, this information should be relayed to the DCC--the DCC must always know where any given interview is taking place, to protect the safety of the Interviewer. Directions to the person’s home should be recorded on the ICF regardless of where the interview is to take place. This will enable project staff to contact the respondent for verification or during the Clinical Sub study.

(2) Problems in scheduling the interview. Two of the most common problems in scheduling occur when a respondent initially refuses to participate and when a respondent is difficult to contact.

⇒ The selected respondent initially refuses to participate. Whenever a selected respondent refuses to participate, the Interviewer should be persistent, although pleasant. The Interviewer should stress the importance of the project and the respondent’s contribution. However, always try to leave the "door open" for future attempts to contact.

⇒ The selected respondent is difficult to contact. The Interviewer will confirm the date before going to the location of the interview. If the respondent does not show for an appointment, the Interviewer should make three attempts by phone, if the respondent has a phone, but only one contact by letter. If these attempts fail, the Interviewer should contact the DCC.
(3) Checklist of information for the DCC. Once an interview has been scheduled and, recorded on ICF, you should give the following information to the DCC.

(a) RID.SITE (respondent’s ID number and site)
(b) respondent’s enrollment number or U number (if available)
(c) name of respondent
(d) date of birth
(e) Interviewer ID
(f) date of scheduled interview
(g) time of scheduled interview
(h) place of scheduled interview
(i) directions to scheduled interview (if necessary)

The DCC will complete the necessary information on the Master Scheduling Calendar. The DCC will keep track of the scheduled interviews for all Interviewers in the Master Scheduling Calendar. Here, s/he will keep track of all of the Interviewers’ scheduled interviews by date, time, and location; however, each Interviewer is responsible for keeping her/his personal interviewing schedule in her/his appointment calendar.

(4) Confirming the interview. Once the interview has been scheduled, the Interviewer needs to confirm the date, location, and time of the interview the day before or the day of the interview. If the respondent has a phone, the Interviewer should call him/her to confirm the interview and, if necessary, verify the address and directions to the house. If the interview is going to be conducted in the Field Office, make sure the respondent has directions to get there.

(5) Respondent does not show up. Respondents often have busy lives and fail to make an appointed interview; or they may not have a phone and have no way of calling in to cancel if an emergency comes up. Not showing up may be a polite way of refusing the interview. We know these circumstances are frustrating for the interviewers but we ask that you wait for up to an hour at the agreed upon meeting place. After an hour, the Interviewer should call the DCC to notify her of the “no show.” At some later date, the interviewer should attempt to reschedule the interview. If a respondent does not show up for three interviews, the ICF should be closed out as a ”no show” and the Interviewer will be paid $30.00 for her/his time.
This information was removed to protect community confidentiality.
Component 2: Conducting the interview

Component 2 covers all aspects of the interview itself, from preparing for the interview through completion of the interview and all necessary paperwork.

a. Preparing for the interview

All Interviewers working on this project will be required to complete the following steps before conducting any interviews in the field.

(1) Review this Training Manual.

(2) Complete practice interviews during the training. The last practice interview must be conducted in accordance with the standards presented during the training before an Interviewer can proceed with data collection. The DCC will determine when Interviewers are ready to begin data collection. Due to the complexity of this questionnaire, the DCC might ask that additional practice interviews be conducted and reviewed before any given Interviewer may begin the actual interviews.

b. Using your laptop computer

Using a laptop computer to conduct an interview such as this can make the interviewing task easier and help to protect confidentiality. However, successful use of the laptop demands that you follow certain procedures very carefully so that the computer works as it should. If the computer fails during an interview, ALL THE DATA MAY BE LOST and the Interviewer and respondent may be faced with rescheduling the interview and starting over again. Because of this, the following steps are very important.

(1) Things needed for the computer for each interview

- 3 battery packs (1 will be in the laptop and 2 extras will be in the pocket of the laptop case)
- the power cord to plug in the laptop (this will be in the pocket of the laptop case, as well)
- extra disks (at least five for each interview)

(2) The basics of using the laptop

⇒ How to plug the laptop in. A power cord is located in the pocket of the laptop case. You plug the cord into the back of the laptop toward the left side of the computer. The place that it is plugged into has the sign of the wave above it (a sideways ‘S’). The other end will be plugged into the surge protector. The surge protector should be plugged into an outlet.

⇒ Opening the laptop. There is a button for the latch on the front, in the middle of the laptop, near the top. Push it in and pull the lid up.
⇒ Turning the laptop on. After the laptop is opened, the “On” button should be pushed in to start the laptop. It is located on the left side of the computer—it is the button closest to the front of the laptop. The first screen you will see after the computer finishes booting up, is called the Windows 95 Desktop. The Desktop will have a number of icons on the left side (such as “My Computer,” “Recycle Bin,” and “My Briefcase”).

⇒ Using the mouse. There is a green button between keys “G” and “H” on the keyboard; this is the mouse control and will move the arrow around the screen.

⇒ “Clicking” the mouse. There are two buttons at the bottom of the keyboard located directly below the space bar; however, the top button (the larger one) will be used the most. If the Interviewer is supposed to “click” on something, use the green mouse control on the keyboard to move the arrow to that area—the area will usually be highlighted—then push the top mouse button. Moving the arrow to the appropriate place and pushing the mouse button is referred to as “clicking on it”. If the Interviewer is supposed to double-click on something, move the arrow to the area that s/he needs to click on, then quickly hit the top mouse button twice. Double-clicking is usually used to start a program or software.

⇒ How to start an interview. Open the laptop and turn it on. After it has finished booting, double click on the SECTION 1 icon on the desktop.

The first thing you will be prompted to do is enter the Interviewer ID, followed by the respondent id, then site. You will continue to be prompted to fill in a few items (gender, date, time...) before you begin reading out loud any questions or information. After section 1 is completed, you will be back at the desktop. You will then click on the SECTION 2 icon to start section 2. Again, when section 2 is completed, you will go back to the desktop where you will double click on the SECTION 3 icon to start section 3. After section 3 is completed, the interview is finished!!!

NOTE: Sometimes you will need to hit ENTER to move to the next question; sometimes, you will just automatically go to the next question. If you are not automatically sent to the next question, try hitting ENTER.

When practicing, you may want to enter the answers for a few of the questions in the interview. After filling in a few of the items, press CTRL-END (the Ctrl key and the End key at the same time) to get out of the interview. You will then be in the MS-DOS window. (You’ll see printing such as “C:\quest >” in this window.) Click on MS-DOS, the colorful icon in the upper left corner of the window, and then click on CLOSE. You should now be on the Desktop; you are now ready to go on to “How to save data.”
How to save data. After answering the last question in the interview, you will automatically exit the interview program and be on the Desktop again (the screen you get when you turn on the computer). At this point, the Interviewer will need to copy and move the data files to two floppy disks. One disk should be given to the DCC; the other will be placed in the packet of interview materials to be sent to Denver. The disks should be labeled with Interviewer ID, respondent ID, and the date of Interview before starting the interview.

- To copy the data to a disk, click on START, then highlight PROGRAMS (it may take a second for the list of programs to appear), and click on WINDOWS EXPLORER (located at the bottom of the list of programs). Make sure to have a labeled floppy disk in the disk drive. The WINDOWS EXPLORER screen should be split in half. One side will show “All Folders” or directories, and the other will show the “Contents of ‘(C:)’ ”, which is the permanent disk drive (also called the “hard drive”) inside the laptop.

- If you do not have the “Contents of ‘(C:)’ ” on the right side, go to the left side of the screen (All Folders), locate and double-click on (C:) (approximately the 4th line under All Folders). That will list all the subdirectories on the hard drive (C:).

- Double-click on QUEST under “Contents of ‘(C:)’ ” on the right side of the screen. You will then see a display of all the files and folders (subdirectories) in the QUEST directory.

- Check to make sure you can see the “3 1/2 Floppy (A:)” on the left side of the screen (3rd line down). You do NOT need to move your cursor there or highlight it at this point; this will be the location to which files will be copied.

- To indicate which files you want copied, you need to highlight all of the files that end with .dat and all the files that end with .idx. (There will be 6 files total--you should not copy the files that end with .qst.)

Move the arrow to the right side of the screen and highlight selected files by holding down the CTRL key, using the green mouse control to move the arrow to the appropriate file name, and clicking the top mouse button--click the top mouse button once for each file you want highlighted while continuing to hold down the CTRL key. After all the files you want to be copies are highlighted, you can release the CTRL key and the top mouse button. The files should remain highlighted.

- On the right side of the screen, move the arrow to one of the
highlighted files and press the bottom mouse button (the smaller of the two mouse buttons); then drag (using the green mouse control without releasing the bottom mouse button) the files to the left side toward the “3 1/2 Floppy (A:)” (approximately the 3rd line) until the “3 1/2 Floppy (A:)” is highlighted on the left side.

- Release the bottom mouse button and click on COPY HERE. This will copy the highlighted files to the floppy disk. You will hear the sound of the floppy disk spinning as the files are copied.

- The Interviewer will need to repeat this process for the second floppy disk. The only difference while doing this procedure the second time will be that instead of clicking on COPY HERE after dragging the files to (A:), you will click on MOVE HERE. This will move the files off of the laptop and put them on the floppy disk. You must move these files so that another interview can be done.

- After having saved the files to the floppy disks, the Interviewer needs to “write protect” these disks so they can’t be written over accidentally. To do this, turn the floppy disk over so that the metal edge is at the bottom and push the tab up in the upper left corner. This will expose a hole in the plastic casing of the disk; the computer will now not permit anything else to be written or removed from this disk.

- Before you shut down the computer, you should exit from WINDOWS EXPLORER by clicking on FILE (upper left corner) and clicking on CLOSE.

⇒ Turning the computer off. Although the “On” switch will also turn the computer off, using that switch is NOT the appropriate way to turn the machine off. The computer must be SHUT DOWN. To shut down the computer, click on START; then SHUT DOWN; and press Y. Once the screen goes black, you may close the lid, unplug the computer, and place it in the carrying case. Store the laptop in the carrying case whenever it is not in use or charging batteries. This will protect the machine from dirt and any jarring that may occur.

(3) Important tips to remember

⇒ Conserve batteries. Plug in the computer whenever possible. Also remember that the batteries that we are using don’t hold their charge indefinitely. Batteries slowly discharge their power, even when not in use. It’s important that you know that you have recently charged batteries (charged within the last couple of days) if you know you are going to be doing an interview strictly by batteries.
⇒ Replacing a battery. Make sure you have shut down the computer properly.
(Click on START; click on SHUT DOWN; click on YES or press Y.) While the laptop is shut down, turn it over so that the labels on the bottom are readable—that is, right side up—then gently lay it on its top.

On the upper right edge (when the computer is upside down), there is a release button for the cover of the battery. While holding that button down, slide the battery cover to the right slightly and then pull the cover off by lifting it. With the battery cover off, gently push the tab on the right side that is holding the battery in place to the right and pull the battery up and out.

Place a recharged battery in the computer, exactly reversing the steps you followed to take out the battery. (The label on the battery will be face down and on the right side of the battery; the metal contacts on the battery will connect with the copper contacts inside the battery compartment.) When you are replacing the battery cover, remember that you will need to start it just slightly to the right of the left edge of the opening. Once you’ve seated the cover, push it to the left until you hear a click.

Turn the laptop back over, open it, and turn it back on. When you turn the machine back on, you will be prompted to set the battery charge to 100%. Simply click “OK” and continue as usual.

⇒ Recharging the batteries. To recharge a battery, it must be in the laptop, with the laptop shut down and turned off, but plugged in. A light on the top of the laptop in the middle towards the back looks like a battery—it will turn red if the battery is not fully charged and will turn green when the battery is fully charged. It takes between two and three hours to fully charge a battery, so be sure to allow enough time to get all three batteries charged.

⇒ Battery is losing power. When the Interviewer is doing an interview using the batteries, s/he will get a message on the screen when the battery is running low (after approximately 1 1/2 to 2 hours). If you don’t get out of the interview right away (you will have 2-3 minutes to exit properly), the laptop will shut down on its own and you will lose all of the data for that interview.

• As soon as that message appears, hit CTRL and END at the same time (referred to as “CTRL-END”).

• After exiting the interview, click on START, then click on SHUT DOWN, and press Y (for Yes). Then follow the procedures described under “Replacing a battery”.

• To restart the interview after having to exit in the middle of the
interview, double click on the RESTART SECTION # icon (the # is the number of the section you exited). You will then be back in the questionnaire where you left off. When restarting an interview in this manner, the Interviewer will not be automatically moved from section to section. Instead, once the respondent has completed the Section that s/he was placed in using RESTART, the Interviewer will be placed back at the Win95 Desktop.

- After you have returned to Section 1 and completed it, and you are back at the Desktop, you will have double click on the SECTION 2 icon to start up Section 2. When the respondent has finished with Section 2, and you are again at the Desktop, double click on the SECTION 3 icon.

- If you were returned to Section 2 and have finished it, double click on the SECTION 3 icon. The next time you are at the Desktop, you will have finished the interview and will be ready to copy and move the data to disks.

⇒ Accidentally turning off the computer. Be VERY CAREFUL around the “On” button while you are administering an interview. If you accidentally turn the laptop off without getting out of the interview properly and shutting down the machine, you will LOSE ALL THE DATA for that interview. If this happens you have to recapture the data or, will have to start over from the beginning.

(4) Things not to do to the laptop or disks

⇒ DON’T spill anything on them.
⇒ DON’T leave them in a very hot or very cold vehicle.
⇒ DON’T bang them against anything.

(5) Problems that may arise during the interview

⇒ You can’t get the interview started.

- Double click on the SECTION 1 icon on the Desktop.
  OR
- Click on START, highlight PROGRAMS, then click on WINDOWS EXPLORER. On the left side of the screen, double-click on C:, then on the right side, double-click on QUEST and double-click on SECTION1.QST.

You may need to close WINDOWS EXPLORER after you are exited from the survey.

⇒ The computer won’t turn on
• If possible, plug the computer into an electrical outlet.
• Check that the power cord is fully plugged into the laptop.
• Check that the surge protector is plugged in and in the ON position.
• Check that the battery is seated properly.
• Try plugging the computer into a different outlet.
• If the interview is being conducted with the computer solely powered by battery, try taking the battery out and inserting a different one.

⇒ A respondent needs to leave in the middle of the interview.

If at all possible, ask the respondent to complete a Section. Whether s/he does complete a Section or not, though, the Interviewer will need to do the following.

• Press CTRL-END to get out of the interview. (See earlier note under “Battery is losing power”.)

• Make a note of the date and time that the interview was interrupted.

• You will need to save the files created thus far in the interview and move them to a new subdirectory. This will allow you to do other interviews before going back to finish out the interview that was interrupted.

Creating a subdirectory to store the files:
Go into WINDOWS EXPLORER (click on START; highlight PROGRAMS; click on WINDOWS EXPLORER). If “Contents of ‘(C:);” is on the right, then double-click on QUEST. Otherwise, click on (C:) on the left to bring up the “Contents of ‘(C:);” on the right before double-clicking on QUEST.

The right side of the screen should now show the files and folders (subdirectories) under QUEST. Click on FILE (upper left corner), then on NEW, then on FOLDER. You will see the new folder (with the name “New Folder” on the bottom of the right side--it is highlighted with blue). At this point, you should type in the respondent’s ID number and hit ENTER; this will change the name of the folder to the respondent’s ID number. This will be where the files should be moved to for storage until the interview can be completed.

Moving the files to the new subdirectory:
On the left side of the screen, double-click on the QUEST
folder; you should then see the folder that is named with this respondent’s ID number also on the left side of the screen.

On the right side of the screen, highlight all the files that end with .dat and all the files that end with .idx by holding down the CTRL key, using the green mouse control to move to each file and clicking on each of them with the top mouse button; after highlighting them, release the CTRL key.

On the right side of the screen, make sure the arrow is on one of the highlighted files. Hold the bottom mouse button down and drag (while the bottom button is held down and you are moving the green mouse control) the files to the left side until the respondent ID folder is highlighted on the left side. Release the bottom mouse button and click on MOVE HERE. You will now be able to start another interview before this one is completed.

On the left side, click on the respondent ID folder. You will then see the files that were moved to that folder on the right side of the screen.

You may now close the WINDOWS EXPLORER by selecting FILE and CLOSE; then SHUT DOWN the machine in the usual manner.

• When you can re-schedule the remainder of the interview, you will have to copy the .dat and .idx files back from C:\QUEST[respondent ID] folder to C:\QUEST using WINDOWS EXPLORER. After copying the files, exit from WINDOWS EXPLORER by selecting FILE and CLOSE.

• You will begin the rest of the interview by double clicking on the RESTART SECTION # icon on the Desktop (the # will be the section number you exited out of). You can then follow the procedures listed previously under “Battery is losing power” to get into the remaining Sections.

IF YOU HAVE ANY PROBLEMS WITH YOUR MACHINE WHILE CONDUCTING AN INTERVIEW, PAGE SHELLY SENNER OR RHONDA DICK AT 1-303-266-1271. ONE OF THEM WILL CALL YOU TO ASSIST YOU WITH ANY COMPUTER PROBLEMS.

c. Equipment/materials checklist

CHECK YOUR MATERIALS!! The basic equipment needed for the completion of the
Interview consists of the following.

(1) laptop computer (5 disks, surge protector, 3 battery packs)
(2) ID badge
(3) extension cord and power cord
(4) an audiotape recorder (cassettes, extra batteries for tape recorder)
(5) check to be written for respondent payment
(6) QxQs
(7) Respondent Booklet
(8) Respondent Cards
(9) Reference Card
(10) Emergency Procedures Card
(11) Resource List
(12) Sample Questions Card
(13) Interviewer’s Appointment Book
(14) Forms:
   a) 2 consent forms
   b) Interviewer Progress Log
   c) Interview Completion Checklist
   d) Interviewer Contact Form
   e) Eligibility Questionnaire
   f) Future Contact Form

d. Task list
Complete the following tasks before going to the interview.

(1) Assemble (and review) everything required for the interview.

(2) Put respondent ID, site ID, Interviewer ID, and date on all forms, audiotapes, and 2 disks.

(3) Place a new audiotape into the tape recorder.

(4) Make sure you have at least 5 number of disks.

(5) If the household has a phone, call the respondent to confirm the date and time of the interview, and the address and directions (if necessary).

(6) Allow yourself plenty of time to get to the interview, including time if you get lost trying to find the respondent’s home. Try not to be late, but if for some reason you believe that you are going to be more than 10 minutes late, always call the respondent, when
possible, to apologize and inform her/him of your tardiness.

(7) Complete notes on the Interviewer Progress Log and the Interviewer Contact Form. The Interviewer Progress Log will be generated by the DCC and will note the following information: Interviewer ID, respondent ID, site ID, and the date the interview was assigned. When the interview is completed, the Interviewer should also note the check number on the Interviewer Progress Log once payment is given to the respondent. The DCC will generate a new version of the Interviewer Progress Log as needed. In addition, on the Interviewer Contact Form, the Interviewer will write down the following information: Interviewer ID, date of interview, time of interview, location and directions, and whether the interview had to be rescheduled. Fill out the final outcome code; this code will be verified by the DCC. The final outcome codes include whether or not the interview was completed or if there was a final refusal. In addition, the Interviewer will keep track of the date the interview was completed and the date for follow-up, if necessary.

e. Initial tasks on reaching the household
   (1) Take a few minutes to talk with the respondent and to answer any last-minute questions, but try to get settled down as quickly as possible.

   (2) Obtain privacy for the interview. In all research projects, it is important to conduct the interview alone with the respondent whenever possible. In this project, due to the sensitive nature of the questions, this is even more important. This is not always easy to accomplish, though. If someone else is present while you are conducting the interview, ask if there is somewhere else the interview could be conducted so that it could be done in private. When making the appointment for an interview in the respondent's home, you might also try to find a time when the respondent is most likely to be by him/herself.

f. Procedures for completing the Participant Consent Form - Begin audio-taping

   (1) Participant Consent Forms. A Participant Consent Form must be signed before the Interviewer conducts the interview. To make sure that the respondent reads and understands the consent form, we are asking interviewers to read consent forms out loud to respondents. Respondents must be informed of their rights as research respondents. These rights are explained on the consent form. (The respondent and the Interviewer must sign and date two copies of the consent form: the respondent signs on the line that starts with “Signed:”; the Interviewer, on the line that starts with “Witnessed:”) One copy of the consent form is for the respondent to keep;
the other is for the office and is handed in with the interview materials. AN INTERVIEW CANNOT BE CONDUCTED UNTIL THE CONSENT FORM IS SIGNED!

(2) Parent or Guardian Consent. Some of the respondents will be under 18. In this case, a Parent or Legal Guardian Consent Form should be signed by a parent or legal guardian before the interview can be conducted. One of the NCAIANMHR staff must witness the parent or guardian signing the consent form; otherwise, there is a risk that the interview will be invalidated. AN INTERVIEW CANNOT BE CONDUCTED WITH A PARTICIPANT WHO IS UNDER 18 UNTIL THE PARENT OR LEGAL GUARDIAN CONSENT FORM IS SIGNED! If an interview with someone under 18 is conducted without guardian consent, the Interviewer will not be paid for the interview and the data will be destroyed. Once parent/legal guardian consent is obtained in writing, the Interviewer must also have the respondent read and sign an assent form.

(3) Audio Recording Consent. The Respondent must also give consent to be audiotaped during the interview. Interviewers are asked to audiotape all interviews for quality control purposes. If the respondent has any hesitation about being tape-recorded, the Interviewer should reassure her or him that the tape will be used only by the supervisor to verify that the Interviewer is correctly following the administration instructions of the interview and will be kept confidential. If the respondent is willing to have the interview tape-recorded, have him/her sign and date the line in the consent form below the statement about recording the interview. Otherwise, check the refusal line on the consent form. If the respondent refuses, turn off tape recorder at this point.

(4) Consent for Access to Medical Records. At the end of the interview, there is a final consent form to present to the respondent. In a later phase of the AI-SUPERPFP project, we will compare what people report in the way of service use with their IHS records. This will allow us to let the communities and IHS know how accurate those records are.

g. Recording the interview

Turn the audio recorder on as soon as you begin talking with the respondent. As you explain the project and finish reading the consent forms, you will ask the respondent for consent to audiotape the interview. If the respondent refuses to give her/his permission to record the interview, turn the recorder off immediately. If the respondent consents to audio-taping, the recorder should remain on for the entire interview, although it may be turned off during breaks. (Note: place recorder between you and respondent) These tapes will be turned over to your DCC and will be used to verify that the questions are asked exactly as written and to monitor tone, tempo and other Interviewer behaviors. (See Tape Analysis Checklist.) At the beginning of data collection, every interview will be audio-edited; afterwards, an average of 1 out of every 10 interviews will be reviewed.
While conducting the interview, allow for breaks, particularly if the respondent becomes upset during the interview. Be prepared to suggest a break even if it is not requested. Usually a break of five minutes will be sufficient, although sometimes you may have to allow more time. If possible, try not to allow extended breaks, since these can really lengthen the interview. IF YOU DO TAKE A BREAK, DO NOT TURN THE COMPUTER OFF DURING THAT TIME.

h. Problems in conducting the interview
Interviewers may run into problems with conducting an interview, either immediately prior to the start of the interview, or once the interview has begun. Below are some possible problems, along with their solutions. If at any time you are unsure about how to deal with a problem that has arisen, contact the DCC for the proper procedure.

(1) The respondent has a physical or mental impairment. This project does not automatically exclude respondents with mental or physical impairments. However, if the disability is determined to be too severe to obtain any, or only limited, information from the respondent, contact the DCC.

(2) The respondent wants to look at the interview questions before the interview. The Interviewer should give the respondent a copy of the Sample Questions Card that lists questions from the interview and should inform the respondent that s/he is free to refuse to answer any question or to quit the interview at any time.

(3) The respondent objects, in advance, to certain types of questions being asked. You should explain why these questions are important; but, if the refusal is adamant, these questions should be entered as "don’t know/refused" and skipped over during the interview.

(4) A situation arises that interrupts the interview before it is finished. The respondent may be very tired or not feeling well or may simply want to stop the interview before the end. It is always better to take a break, even an extended break (1 hour or more) and then finish the interview in the same session than to reschedule for another day. If the interview must be rescheduled, the Interviewer must make every attempt to do so within 24 hours. Interviewers should call the DCC for further assistance whenever they are uncertain about how to proceed.

(5) It is impossible to obtain privacy in a separate room when conducting the interview in the home. It is very important to conduct the interview in a private setting. If other people such as family members can hear the interview, it may affect the way the respondent answers the questions. If this is a one-time situation, the Interviewer should suggest the possibility of rescheduling (although not at the risk of losing the interview). If the situation cannot change, the Interviewer should attempt to create as much privacy as possible--for
example, sitting in a far corner of the room, interviewing in a low voice, pointing to sensitive questions if necessary. NOTE: When selecting a place for the interview, the Interviewer should try to find a location where the tape recorder and the computer can be plugged in, to avoid reliance on the batteries. However, if the choice is between privacy and an electrical outlet, privacy should have first consideration.

(6) You have discussed the respondent’s concerns about participating, and s/he still refuses to participate. Try to leave an opening for the respondent to be recontacted in the future to see if s/he has reconsidered.

(7) The respondent is intoxicated (high or drunk). (See Safety Concerns.)

(8) The setting seems dangerous in any way. (See Safety Concerns.)

(9) The respondent seems dangerous in any way. (See Safety Concerns.)

i. General interviewing skills and techniques

Interviewing is very different from the ways you usually talk to others. In the AI-SUPERPFP project interview, you will be asking questions that you may never have asked people before in ways that may be new to you. Because interviewing is so different from everyday life, it may seem a little uncomfortable or awkward at first for both the Interviewer and the respondent. Yet, before research studies can be completed successfully and before the investigators can be confident that the information collected is accurate, certain procedures and rules must be followed. The following rules are designed to help make the process a little easier while still making sure that we collect accurate information.

(1) Rapport. Rapport is the relationship that the Interviewer and respondent will create so that there is trust and a willingness to share the personal information in these questions. This can usually be done by being friendly and taking a more leisurely approach to the parts of interview that allow for this, such as the Background portion. A short visit with the respondent before the Interviewer begins the questions may also help in establishing rapport.

(2) Know the questionnaire. You should become very familiar with the questionnaire that will be used so that you are confident when administering it to the respondent. Knowing the questionnaire well will enable you to move smoothly from one question to another and cut down the time needed for the interview.

(3) Interviewer role. As the Interviewer, you take on a role as a person who will ask important questions when you begin to interact with the respondent. You need to convey to respondents that these interviews are valuable. You must present yourself in a way that indicates that you are trustworthy, that you can be counted on to keep a secret, and that you will not make judgments about the person.
(4) Confidentiality. Confidentiality is a crucial part of information gathering. If people feel that the information given will be told to others at a later date, their responses may not be totally accurate. On the other hand, you must state to respondents that if they tell you that they may hurt themselves or others, you must tell someone.

(5) Interviews are standardized. That is, the interviews are given in the same way to every respondent. Certain procedures must be followed to ensure that the information is valid or true without any outside influence. The basic principle is that the interviews are all conducted in a similar fashion—that they are standardized. Questions are read as they are printed without any changes; Interviewers must take care that they do not introduce other factors that should not be part of the project. Below are guidelines that help prevent such "error."

j. Interviewing conventions
In order to ensure that all Interviewers conduct the interview in similar manners, we ask that you use the following conventions for asking questions, clarifying respondents’ questions, and probing for answers that may be incomplete.

(1) Asking questions
⇒ Read questions exactly as they are worded in the questionnaire.
⇒ Make a choice of wording, from those within parentheses, based on what you have learned about the respondent (marked on the Reference Card) and from other questions.
⇒ Read the entire question before accepting the respondent’s answer.
⇒ Each respondent must be asked every appropriate question.
⇒ Always read the next question in the sequence if there is no arrow or instruction.
⇒ Do not skip a question just because the answer was given earlier.
⇒ Avoid direct reference to past responses.
⇒ Emphasize underlined words to enhance meaning.
⇒ Use a pleasant tone of voice that conveys assurance, interest, and a professional manner.
⇒ Read at a pace that can be understood easily.
⇒ Record the answers correctly

(2) Clarification
⇒ If you have any doubt that the respondent has heard the entire question, repeat all of it.
⇒ Upon request, the Interviewer should repeat the reference or the bolded items in the question for the respondent.
⇒ When you are asked to repeat one response option, you must repeat all the response options given in the question.
Only give definitions specifically allowed in the Question-by-Question Specifications (QxQs) or written in *italics* in the questionnaire.

If no definition has been given in the questionnaire or Question-by-Question Specifications, the proper response to a respondent's request for clarification is "Whatever it means to you."

Text written in all CAPS, such as the response set or Interviewer Check Points, should not be read to the respondent. This information is for Interviewers only.

(3) Probing for answers
- **Repeat the question.** Repeat the entire question if the respondent's reply indicates that s/he did not understand it, or if s/he needs more time to think about his/her response. If the respondent has clearly eliminated a response option, you do not have to include it in the repetition.
- "*What do you mean?*" or "*Could you tell me what you mean by that?*" Use this phrase when you do not understand the respondent's reply.
- "*Would you tell me more about your thinking on that?*" or "*Would you tell me what you have in mind?*" Use this probe when you do not understand the respondent's reply or when the respondent gives an incomplete answer.
- "*What do you think?*" or "*What do you expect?*" Use this phrase to probe an initial "I don't know" response. Also, use this phrase to probe an "I hope so" response.
- "*Which would be closer?*" or "*Which would be closer to the way you feel?*" This phrase is used when the respondent has narrowed the choices to two or a range between the two.
- "*Are there any other reasons why you feel that way?*" This probe is used once for open-ended questions that ask why. This phrase is also used when the QxQs specifically indicate that you must probe for additional mentions. Finally, this phrase is used when the question uses the plural form, and you must ask for additional reasons because the respondent has given only one.

*k. Interviewer behavior*

With this type of interview, at times you may want to say or do something that is comforting. Remember that you are *not* a mental health clinician, and your main objective is to complete the questionnaire. For the purposes of this project, a “lay”
Interviewer is a person with no, or less than professional-level, clinical training and experience, and whose interviewing role does not involve clinical probing or intervention. You are not a therapist and must behave accordingly. Your demeanor toward the respondents should be friendly, polite, and empathic, while at the same time maintaining a professional distance. The following are some suggested guidelines for appropriate Interviewer behavior.

(1) **Avoid excessive socializing.** You should not allow the interview to become an occasion for socializing. You should chat with the respondents for a few moments on arriving and leaving and answer all their questions about the project. However, avoid getting involved in lengthy conversation before, during, or after the interview.

(2) **Maintain a neutral and accepting attitude.** You must not react with surprise or disapproval to anything the respondent tells you in the interview. Sometimes respondents will report behavior that you may find disturbing. It is very important not to show your reaction if you feel this way; otherwise, you may not only upset the respondent, but potentially discourage him/her from being honest in answering the questions. Your attitude should be matter-of-fact and accepting. If certain questions in the interview make you uncomfortable, give them extra practice, until you feel at ease reading them. If you are relaxed, it will help the respondents to relax.

(3) **Be responsive to the respondent.** If the respondent tells you about a sad event, or becomes upset during the interview, you should not ignore his/her feelings. Be responsive and sympathetic and allow him/her to talk a little about the event before continuing. If the situation seems to be leading to a lengthy discussion, you may suggest that the discussion be continued after the interview is completed. If a respondent becomes very upset during the interview, suggest a break; do not wait for the respondent to ask.

Without being rude, try to avoid getting into personal discussions about yourself. You may have to answer a few questions to be polite, but be as general and noncommittal as possible and change the subject as soon as you can.

(4) **Treat the respondents with respect.** You should try to answer all questions as completely as you can. You may also encounter respondents who are hostile or defensive. Please try to maintain a neutral manner as much as possible in these situations.

(5) **Avoid giving clinical opinions.** Because the project is concerned with mental health, respondents may ask your opinion about problems. You should not give your opinion about any aspect of a respondent’s mental or emotional well-being. You should explain that you are not a trained therapist, and you are not in a position to give an opinion. If the respondent is very concerned, you may suggest that s/he may want to talk to someone, and make a referral for him/her. (See **When and How to Make a Referral**.)

(6) **Respond to a respondent’s concerns.** Respondents may become concerned
when they say "yes" to a number of symptom questions. They may ask, "Does that mean there is something wrong with me?" In general, it's best to be noncommittal in your response, since something may indeed be wrong and you don't want to give false reassurance. You can say, "Saying 'yes' doesn't always mean there's something wrong; a lot of people say 'yes' to these questions." If the respondent seems really worried, suggest s/he talk it over with a family member or a counselor. You may also want to make a referral. (See When and How to Make a Referral.)

(7) Critical clinical issues to keep in mind. You may discover something truly threatening to the respondent during the course of the interview, such as possible suicidal behavior or ideation, or evidence of possible child abuse. Refer to the section on Safety Concerns and Reporting Procedures for the proper procedure.

I. Ending the interview and paying the respondent
At the end of the interview, you will ask the respondent for some future contact information: his or her address and phone number, as well as the names and addresses of two other people who will always know where s/he is. This information will be written on the Future Contact Form (as you can probably tell by now, we have a form for everything). Reassure the respondent that this information will be kept separately from all other information, and that one of its major purposes is for the project staff to be able to send each respondent a letter at the end of the project describing the results.

Thank the respondent for his/her time. Hand each the Resource List with the names of people they might want to contact if s/he wants to talk to anyone about issues raised in the interview.

If you are concerned about the respondent’s well-being and think someone should follow-up with him/her in the next couple of days, make a note in your Appointment Book to do so. Also note the need for follow-up on the ICF.

Fill out the respondent’s name on one of the project checks. Note the respondent’s ID, site ID, check number, date, and other information on the Interview Completion Checklist.

m. Check sign-out procedures
IMPORTANT During your weekly supervision meeting, the DCC will provide you with checks for paying respondents when they complete an interview. At each weekly meeting, the DCC will also record the date and dollar amounts of the checks you have already written to respondents on her/his Check Sign-Out Log and then give this information to the FOD to be recorded on the Check Register. You are responsible for all checks signed out to you. If you are unable to document all checks signed out to you, or produce the blank checks, you will not be issued any additional respondent compensation checks and your pay will be docked $40 for each check.

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you are unable to document.

In addition to being issued checks by the DCC, you will also receive a prepaid phone card for making business-related calls when you are away from the Field Office. You will sign out a phone card from the DCC and keep track of the calls you make using it on the Prepaid Phone Card Log. (See the reverse side of the Prepaid Phone Card Log for detailed instructions.)
This information was removed to protect community confidentiality.
**Component 3: Quality assurance**

Quality assurance includes three sets of activities: 1) interview verification, 2) audio reviews, and 3) weekly supervision meetings.

**Phase 1: Interview verification**

Verification will take place through the duration of questionnaire data collection. The FOD will verify 10% (1 out of every 10) of the interviews conducted by each Interviewer. Lists of respondents to be contacted for verification will be generated by the DCC in conjunction with the Denver office.

Verification of the Interviewer's work is done through phone calls and personal visits to the respondents. The purpose of contacting the respondents is to obtain their personal evaluation of the Interviewer's work and to check whether the designated person was actually interviewed.

The Interview Verification Form will be used to record information obtained during verification. This form will contain certain information obtained by the Interviewer during his/her interview, including the final interview outcome code, and the name, telephone number, and address of the respondent. The FOD will telephone these households to verify that the Interviewer did the interview in a polite and professional manner. (Attempts should be logged on the Interview Verification Form each time the FOD tries to contact the respondent to conduct interview verification.) If a telephone is not available, the verification interview should be conducted in person. If that is not possible, verification by mail may be appropriate.

**Phase 2: Audio reviews**

DCC and FOD need to monitor the quality of interviews and catch interviewing problems early. This review allows the DCC and FOD to alert an Interviewer to an interviewing problem (for example, not enough probing, or misunderstood or skipped instructions) or to a more general problem (for example, an error in the questionnaire, misleading format, or an unclear checkpoint or instruction).

For each Interviewer, the first two audiotapes--and 1 in every 10 interviews thereafter--will be selected for this purpose. The DCC or FOD will listen to the audiotape of the entire interview, while checking whether the answers given by the respondent correspond to those recorded in the questionnaire, and complete the Tape Analysis Checklist. The review of audiotapes also helps to identify difficulties in the manner in which the interview is conducted--for instance, speed, tone of voice, and handling of questions asked by the respondent. Some additional audiotapes will also be analyzed when unusual situations are detected by the DCC or FOD. Some examples of these are interviews that take too little time or too much time, or protocols with an unusual number of "I don't know" answers.

The tapes are checked on a number of points.
(1) Correct information entered into the questionnaire. Common errors, including the following:
   a) the Interviewer miscoded an answer,
   b) the Interviewer coded an age of onset that was not what the respondent reported,
   c) the Interviewer failed to correctly record a respondent's words in an open-ended question.
(2) Questions asked just as written in the interview protocol.
(3) Appropriate tone of voice.
(4) Appropriate speed or tempo at which the interview is conducted.
(5) Quality of the environment under which the interview was conducted (for example, interruptions, noises), and perceived rapport between Interviewer and respondent.

Notations of the findings and evaluation of the audiotapes are made in the **Tape Analysis Checklist** by the DCC/FOD. When an audiotape is reviewed and the DCC/FOD discovers that the Interviewer has skipped over questions that should have been asked, the DCC/FOD should enter all errors in the **Tape Analysis Checklist**. This form is then used to provide feedback to the Interviewers. Feedback to the Interviewers on the tape review will be given verbally in the weekly supervisory meetings. After the audio review is completed, the interview data will be shipped to the Data Manager at the Denver office.

**Before Interviewers can begin conducting interviews, they will be expected to be able to interview according to the standards that are taught during the training.** These standards must continue to be met throughout the data collection. If an Interviewer is not meeting these standards, he/she may be asked to stop interviewing and conduct practice interviews to demonstrate his/her ability. During this re-training period, the Interviewer will not be able to collect data (and get paid for interviews) until he/she can conduct the interview correctly. If an Interviewer consistently is unable to meet these standards, he or she will be terminated from the project.

**Phase 3: Weekly supervision meetings**

**At the weekly supervision meetings, all materials provided for the interviewing phase will be collected and carefully reviewed by the DCC.** The weekly meetings are also used to discuss the difficulties the Interviewers may be encountering during the course of the interviewing and in the handling of the interview process, completion rates, feedback concerning the evaluation of the Interviewer's audiotapes, and problems found in previous work. The DCC will discuss these issues and give his/her recommendations for handling the situation. When patterns of mistakes or difficulties common to several Interviewers are identified during supervision, corrective instructions will be distributed to all Interviewers during a group meeting scheduled by the DCC to
make sure that they are getting the same message. Throughout the period when interviews are being conducted, monthly group meetings with the clinicians, the Field Office staff, and the Interviewers will be scheduled to discuss the on-going process, to explore problems that come up and alternatives to deal with them, and to provide support for interviewing with such difficult material.

Interviewers will be expected to attend these meetings unless they are conducting interviews that could not be done at any other time. If this situation occurs, the Interviewer should notify the DCC as soon as possible and set up another day to meet together.

a. **Preparation for your supervisory meeting**
   The Interviewer must review all of her/his interviews for completeness and accuracy before meeting with the DCC. All forms should be filled out completely. The Interviewer should also have the Interview Completion Checklist done for each interview.

b. **Consent form review**
   Consent forms are reviewed for completeness and returned to the Interviewer for corrections if any information is missing. If consent forms are free of errors, the documents will be shipped to Denver with the other interview materials in the interview packet.

c. **Interview review**
   The DCC should review the Interviewer Contact Form. Updated information from these forms is transferred to the DCC’s Master Database. The Master Scheduling Calendar, performance, and other problems will also be discussed and resolved.

The DCC will also review the Interview Completion Checklist that has been completed for every interview. The Interviewer and DCC should compare a newly generated Interviewer Progress Log with the Interviewer’s copy and resolve and differences.
VII. SAFETY CONCERNS AND REPORTING PROCEDURES

This section provides safety guidelines and reporting procedures. We do not expect that you will encounter many, if any, dangerous or emergency situations or many situations which necessitate a report to the authorities. However, you should be aware of how to respond appropriately to these situations involving danger to yourself or others. As you know, this project asks respondents about some very personal (and possibly disturbing) experiences they might have had. The kinds of questions asked in the interview may provide you with information that should be reported either to the University or the Department of Social Services. Other information you gather may indicate that some sort of emergency intervention needs to happen in order to ensure the immediate safety of the respondent, the community, and/or yourself. This section first discusses safety and then moves to the different types of reporting that must be carried out under certain circumstances. We then conclude by discussing when and how to make a referral.

First, however, you should be aware that we have a Clinical Team for the SUPERPFP project. The team’s members are: Denise Dillard, Ph.D., Candace Fleming, Ph.D., Joan Piasecki, Ph.D., and Douglas Novins, M.D. Denise Dillard is the Clinical Sub-study Director as well as the Southwest Clinical Coordinator and will be responsible for providing clinical consultation for the Northern Plains tribe and Southwest interviewers. Clinical consultation will be provided during bi-monthly or monthly conference calls/meetings, and a clinician will also be available between meetings on an emergency basis via pager. Denise Dillard will be primarily responsible for responding on an emergent basis but there are several other clinicians in Denver who may carry the pager.

TO REACH A CLINICAL TEAM MEMBER VIA PAGER IN AN EMERGENCY, CALL 1(303) 266-1351.

DIRECTIONS ON HOW TO USE THE PAGER: After you dial the pager number, you will hear a message and a tone. After the tone, enter the area code and number you are calling from using the numbers on the phone and hang up. Remember it can take several minutes for the page to go through and the clinician might also have to find a phone to return the page. If your page has not been returned within 5 minutes, however, page again.

IF YOU HAVE TRIED THE PAGER TWICE AND STILL HAVEN’T HEARD BACK FROM A CLINICIAN,

CALL ONE OF THE CLINICIANS AT HOME IF IT IS IN THE EVENING

(303) 838-0801 DENISE DILLARD
(303) 722-5847 CANDACE FLEMING
DURING 8 TO 5 P.M. MONDAY THROUGH FRIDAY, CALL

DENISE DILLARD AT (303) 315-9547,
CANDACE FLEMING AT (303) 315-9265,
OR ASK THE INDIVIDUAL ANSWERING THE PHONE AT EITHER
(303) 315-9131 OR (303) 315-9099
TO FIND A CLINICIAN FOR HELP.

NOTE: All of these numbers are provided on the Emergency Procedures card which you should carry with you at all times.

In the hopefully very rare event that the pager doesn’t work and you are unable to reach a clinician in a potential emergency situation, use the Resource List to find the number for the closest I.H.S. clinic and call them for help.

Denise Dillard also available between meetings to discuss clinical issues which, are not emergencies but are pressing enough that they can’t wait until the next meeting. Denise Dillard can be reached by calling (303) 315-9244 in Denver.

A. SAFETY

The following discussion explains procedures and practices to insure both the interviewers and respondent’s safety.

- Be sure that the DCC is aware of your interviewing schedule (especially if changes occur), the location of the interview, and the respondent’s address and phone number. You should be reporting your interview schedule on a daily basis to the DCC. If you are conducting an interview in the evening when the field office is closed, you could also let one of your fellow interviewers know where you are conducting the interview as well as when you expect to begin and end the interview. In this manner, someone will always know where you are and when to expect you to return.

- When interviewing a respondent, especially in a respondent’s home, you might want to identify an escape route or other means to get help before you start the interview. For example, taking note of where a phone is might save valuable time in case of an emergency. You also might want to sit close to the door or be aware of other ways to get out of the house if you need to. Once again, we rarely expect your safety to be in danger but we would rather have you be cautious than sorry.

- Respondents who are intoxicated with drugs or alcohol should not be interviewed and the interview should be rescheduled. The behavior of an intoxicated person
can be unpredictable and potentially dangerous. Intoxicated persons will also be unable in their altered state to give informed consent and will likely have difficulty concentrating on the interview (thus maybe giving inaccurate information). Signs of intoxication with alcohol or sedatives include slurred speech, difficulty staying awake, difficulty walking, or poor concentration. Stimulants such as cocaine may cause persons to have trouble sitting still, to have difficulties concentrating, and irritability. If you find that a person is intoxicated, tell him/her that you need to reschedule the interview for a later date. You can give a reason for rescheduling such as s/he is too sleepy or having trouble concentrating or even say that you are having trouble with your computer. If s/he volunteers that s/he has recently used alcohol or drugs, you can respectfully explain that s/he needs to be sober in order to complete the interview.

**POLICY ON LOCATING/INTERVIEWING INTOXICATED OR “HIGH” RESPONDENTS** If an interviewer makes three attempts to contact and/or interview a respondent who is intoxicated or “high”, this respondent should be coded as ineligible (“7”) with a sub-code of physically unable (“24”). Ideally, the interviewer should try to contact the respondent on different days or at different times of the month. In this way, the interviewer might be able to interview respondents who are “binge” drinkers or users (e.g., “stoned” every weekend, drunk the first week of every month) but who are sober a lot of the time and able to complete the interview when sober. If you have questions about this policy, please contact your D.C.C. who can then contact the Denver staff as needed.

• If a respondent becomes threatening in any way (verbally, physically, or sexually), remove yourself from the situation and discuss rescheduling with the DCC. **Never interview a respondent who is handling a weapon.** Your safety is more important than, a completed interview and never remain in a situation where you feel you might be in danger.

**B. REPORTING**

There are three types of situations that must be reported to the Clinical Team:

1) adverse reactions
2) reportable events
3) emergencies

We are asking interviewers to report these events not only because of mandatory reporting laws but, more importantly, because of our concern about the welfare of respondents. The different reporting categories are described below. We have also developed a summary table to help capture the distinctions between the three types of reporting and the actions that should be taken with each. This table is presented at the end of this chapter. The interviewer should document all reportable events on the Incident Report Form and forward that form to the Clinical Team via fax. If you will not be near a fax machine for several days, call Denise Dillard or Joe Gone with the
information. The Clinical Team is responsible for making all decisions regarding what events should be reported to authorities and will make the actual reports.

1. Adverse reactions
The term “adverse reaction” is used to describe serious, negative reactions to the interview itself. All research with human subjects is reviewed and monitored by Institutional Review Boards, or IRB’s. Prior to starting a research project, the IRB must rule that the project does not place the participant at significant and unreasonable risk. In other words, the IRB must rule the project is not likely to cause adverse reactions. Typically the research NCAIANMHR does is considered non-risky, especially when one considers the invasive techniques used in medical research (e.g., drawing blood). All the same, the IRB wants a record of any adverse reactions to the interview. Here we are talking about extreme reactions like a suicide attempt or violence that is directly related to the interview. In these cases, an Incident Report Form should be completed documenting the adverse reaction and the Incident Report Form forwarded to the Clinical Team in Denver.

Interviewers are unlikely to encounter any extreme reactions which would qualify for the IRB’s definition of an “adverse reaction.” However, most interviewers will encounter some milder reactions to the interview such as crying, anger, or even refusal to complete the interview. While these reactions might not be of concern to the IRB, they can be upsetting to both the respondent and interviewer. If you notice a respondent is becoming angry, upset, or withdrawn as the interview proceeds, take a break. Get the respondent a glass of water, let him or her have a cigarette if that’s appropriate. The respondent might also try to calm down by telling you about what is upsetting them. As an interviewer in this situation, you must walk a fine line. You should be supportive by listening but resist the temptation to take on more of a counselor role by asking the respondent to tell more or by giving suggestions. If a person has been sexually abused, for example, she or he needs to tell the story to someone who can be there on an on-going basis over a long period of time and someone with clinical training who knows how to best help people who’ve been abused. This is not something you can be for a respondent. Your contact with the respondent will only be for several hours and your job is also one of an interviewer rather than a counselor. However, a respondent might want to tell you his/her story because s/he feels that you are trustworthy and a good listener. In that situation, it is important to be respectful and listen but not encourage the person to tell you more. If the person does not calm down in response to your listening or after taking a break and becomes increasingly upset, stop the interview and discuss rescheduling with the respondent and the DCC. If you feel the respondent is so upset that they might need help right now and that it might be an emergency situation, page the Clinical Team. If it’s not an emergency but you are concerned about the person, you could follow-up with the respondent after a couple of days to check back in with him/her. In this conversation, you might want to discuss the resource list with the respondent using the referral procedures explained later in this section. Remember, you are not a clinician but can steer people towards appropriate
sources of help. Ultimately, however, it is the individual’s responsibility to seek that help.

2. Reportable events (child abuse, Elder abuse, and in Northern Plains tribe 1, spousal abuse)

Tribal statutes for all tribes involved in this project as well as the applicable state laws require that child abuse be reported to Social Services. Tribal statutes for all tribes involved in this project further mandate that elder abuse be reported to the authorities. In addition, one of the NP tribes mandates reports of spousal abuse and the NP tribe mandates that pregnant women drinking alcohol or using illicit substances be reported. The reporting of abuse in the context of a research project within an Indian community is an issue of great concern and complexity for us. Often, researchers have avoided asking questions about abuse because of the risk of offending respondents and the community in which they are working. Although NCAIANMHR understands the discomfort interviewers likely feel when reports need to be made, we must report child abuse and other types of abuse for several reasons.

- It is the law (both state and tribal) that we do so.
- We have moral and ethical obligations to children and others in the communities in which we work. Individuals who are being abused frequently need the help of authorities to force the abuse to stop. We believe that continuing to be silent about child abuse and other types of abuse only encourages them to continue. If the abuse continues, people could be seriously hurt or even killed.

A. Definitions

Before discussing the specific procedures for reporting abuse, here is a description of what types of situations might meet the definition of child abuse. First, however, it is important to clarify that child abuse, by definition, can only happen to someone under 18 years of age. The only types of abuse involving adults (those over 18) which might need to be reported involve elder abuse on all reservations, spousal abuse in Northern Plains tribe 1, and drinking or illicit drug use by pregnant women on Northern Plains tribe 2.

Examples of child abuse

- If a child reports they have been spanked or hit hard enough that they had bruises, broken bones, or had to stay home from school, this child is likely the victim of child abuse.
- If a child under the age of 11 or 12 has been left alone without supervision, this child might be a victim of child neglect, one form of child abuse. An unsupervised child is more vulnerable to accidents and hurting or even killing themselves or others. For example, a child might accidentally set fire to the
house or accidently shoot someone with the family gun. A child might also be neglected if s/he reports not having enough to eat or adequate shelter.

- If a child reports sexual experience with a relative or an authority figure, child abuse was very likely involved.
- On Northern Plains tribe 1 and Southwest, it is considered child abuse (statutory rape) if a child (under age 18) is having sex with an adult (18 or older) if the age difference is 4 years or greater. The definition on Northern Plains tribe 2 of statutory rape is different. Statutory rape on Northern Plains tribe 2 is defined as anyone under the age of 15 having sex with someone over the age of 15.
- On Northern Plains tribe 2, a woman drinking alcohol or using illicit substances (street drugs) while pregnant is also considered to be potentially committing child abuse. Her drinking or drug-use might cause irrevocable harm to her unborn child or even cause the unborn child to die. Depending on the term of the pregnancy, even one drink can harm an unborn child.

**Elder abuse** is also something which must be reported on all three reservations.

To give an example, a 60 year old respondent who is hit by their caretaker (whether it is a family member or non-family member) is the victim of elder abuse as is an elder who is not given enough food by their caretaker. An “elder” is defined as someone who is 55 years or older in the tribal codes. As the aim of SUPERPFP is to study adults between the ages of 15 and 54, you might not ever encounter a respondent who is 55 or older. However, a respondent might have been 54 when they were selected for the study but have turned 55 before the interview. And, if this respondent indicates they are being abused, a report needs to be made to the authorities.

**Spousal abuse**, as mentioned above, must be reported in Northern Plains tribe 1. Spousal abuse is defined as physical harm, injury or assault, or the infliction of fear of physical harm, injury, or assault by a spouse or partner. Thus, a respondent who has been punched or kicked by his/her spouse or partner is likely the victim of spousal abuse.

In summary, the following paragraphs delineate the reportable events on each of the three research sites.

In summary, the following paragraphs delineate the reportable events on each of the three research sites.

On Site 1:

- current or past physical or sexual abuse or neglect of a respondent who is currently under 18 years of age
- statutory rape – a minor whose sexual partner is 4 or more years older than she/he
• elder abuse – physical, sexual, emotional, or financial abuse or neglect of an individual who is 55 years or older

• spousal violence- defined as “physical, harm, bodily injury, assault, or the infliction of fear of imminent physical harm, bodily injury or assault” by “a person with whom the victim is currently living or who has lived with the victim in the past, regardless of whether they are/were married, or a person with whom the victim has a child in common regardless of whether they have been married or have lived together at any time.”

On site 2:

• current or past physical or sexual abuse or neglect of a respondent who is currently under 18 years of age

• statutory rape – sexual contact between a minor who is currently under the age of 15 and anyone age 15 or older

• elder abuse – physical, sexual, emotional, or financial abuse or neglect of an individual who is 55 years or older

• excessive consumption of alcohol or other controlled substance by a pregnant woman

On site 3:

• current or past physical or sexual abuse or neglect of a respondent who is currently under 18 years of age

• statutory rape – a minor whose sexual partner is 4 or more years older than she/he

• elder abuse – physical, sexual, emotional, or financial abuse or neglect of an individual who is 55 years or older

In terms of how you might encounter information about child, elder, or spousal abuse, the following is a list of questions from the computerized interview which might give you information that abuse is happening:

**Neglect**
How often do you have... enough food to eat? ... enough health care?...enough clothes?...a decent place to live?

**Physical abuse**
Did anyone in your family or household ever spank or hit you hard enough that you had to stay in bed, stay away from school, or see a doctor?

Were you ever physically abused or hurt by your caregiver? When this happened, had someone....kicked, bit or hit you with a fist?...hit or tried to hit you with an object?...beat you up?...choked you?...burned you?...threatened you with a knife or gun?...used a knife or fired a gun?
Sexual abuse
Were you ever raped, or did you ever have sex when you didn’t want to because someone forced you in some way or threatened to harm you if you didn’t?

Spousal abuse
Were you ever physically abused or hurt by a spouse or a boyfriend/girlfriend?

In addition to obtaining information from these questions, the respondent might also spontaneously report additional information such as who abused them. A woman might additionally reveal she is pregnant and then you learn in the substance use sections that she is drinking or using drugs. While interviewing or locating, you might also witness something that qualifies as child abuse, elder abuse, or spousal abuse. For example, you might observe a parent slap a child or touch a child in a sexually inappropriate manner. Or you might observe an adult slap an elder. You might also encounter children left alone without supervision who are too young to properly care for themselves or observe that a woman is pregnant and know she is drinking by her responses to the interview. Whether you obtain information during location or during the interview, all potential child abuse, elder abuse, and spousal abuse on Northern Plains tribe 1 you observe or learn of while on the job must be reported to Denver. As explained above, it is the law that various types of abuse be reported. It is also the ethical thing to do in order to protect individuals such as children and elders who cannot protect themselves.

B. Procedures
These situations might be an emergency if the respondent (either a child abuse victim, elder abuse victim, or a spousal abuse victim on Northern Plains tribe 1) reveals that they are in imminent danger. Imminent danger means that they are in danger of being very seriously hurt or even killed by their abuser RIGHT NOW or as soon as you leave the interview. In this situation, PAGE THE CLINICAL TEAM. If the respondent does not have a phone, try to arrange with a family member or someone else who is not the abuser to keep the child, elder, or spousal abuse victim safe until you return. Go to the nearest phone and PAGE THE CLINICAL TEAM.

Most of the time, however, this type of situation is not an emergency but a report to the proper authorities might need to be made. If the respondent is under 18 and reports they have been abused physically or sexually sometime during their childhood, fill out an Incident Report Form. Document what you know from the interview, what else the respondent has told you, and/or what you have observed and fax it to Denver. You should also fill out an Incident Report Form for elder abuse victims on all three reservations, spousal abuse victims on Northern Plains tribe 1, and on pregnant women who are drinking or using drugs on Northern Plains tribe 2. During location or
interviewing, if you encounter a child under 11 or 12 left alone without supervision, you also need to document when and where you encountered this child and the name and age of the child if possible.

Once the Incident Report Form is received, the Clinical Team will decide on a case-by-case basis whether there are sufficient indications of child abuse, elder abuse, or spousal abuse to necessitate a report. We take reporting very seriously and do not make this decision frivolously. As clinicians, we have an ethical obligation to report abuse and to try to get help to those being abused but also have a professional obligation to preserve confidentiality except in the direst of circumstances. Your name will not be associated in any way with the report if one is made and it might also help you to remember that respondents who agree to complete the interview are clearly told certain situations must be reported. In other words, the respondent is told in the Consent Form that child abuse and other situations must be reported and the respondent or the parent can then decline participation in the study. The respondent can also make the choice to not reveal the abuse during the interview if they then participate. It might also help you to know that Social Services will gather their own information about what is happening in the home rather than relying solely on what we have told them. Social Services also usually tries to keep families together and tries to get help for both the victim and the abuser.

One last note on abuse reporting: when a respondent or respondent’s parent/caregiver wants to know whether something will be reported, tell them “I don’t know because Denver makes those decisions” and encourage the person to telephone Denise Dillard in Denver toll-free (1-800-820-9299).

3. EMERGENCIES
We have established procedures that will help interviewers know where to call in case of an emergency. Emergencies involve situations were you, the respondent, or someone else is in imminent danger of being harmed. We do not expect the following situations to happen very often, if at all.

Medical emergencies
A medical emergency occurs when a respondent needs immediate medical attention. For example, a respondent might have a heart attack or a seizure. In these types of emergencies, call the police or an ambulance. Use your emergency procedures card to find the number for the nearest hospital or dial 911.

Emergencies involving child abuse, elder abuse, or spousal abuse
As detailed above, you should page the Clinical Team if you believe a child, elder, or spouse abuse victim is in imminent danger of being very seriously hurt or even killed.

Emergencies involving respondents who are suicidal
In this situation, the respondent might endorse CIDI questions such as questions in the
depression section which ask whether the respondent has ever thought about hurting themselves. A list of other questions from the computerized interview that might give you information about suicide is presented below.

Have you ever seriously thought about committing suicide?
How often have you seriously thought about it in the last 12 months?
Have you made a plan for committing suicide in the last 12 months?
Have you attempted suicide in the last 12 months?

In addition to information from these questions, you might also know from other portions of the interview that the person is currently depressed or has a history of depression. You might also know about some recent events in the person’s life which have been very difficult (e.g., a divorce, a death in the family).

This situation might be an emergency if the respondent reports they have thought about killing themselves recently, such as within the past few weeks. You likely do not know whether they are currently having thoughts or if they have had thoughts recently because the interview only asks about the last year specifically. Thus, you will have to ask.

If you are concerned about someone given what they have been talking about in the interview (e.g., respondent says they are extremely depressed, hopeless, and wonder whether life is worth living) and they have endorsed some of the questions about suicide listed above, ask if they are suicidal now. ASK WHETHER THEY HAVE THOUGHT ABOUT SUICIDE TODAY OR IN THE PAST FEW WEEKS. ALSO ASK IF THEY HAVE A CURRENT PLAN AS TO HOW THEY WOULD KILL THEMSELVES. IF THEY INDICATE THEY HAVE THOUGHTS TODAY OR IN THE PAST FEW WEEKS AND/OR A PLAN, PAGE THE CLINICAL TEAM.

When and if you page the Clinical Team, any other information you can offer us might help. For example, it would help us to know that a respondent appears to be very depressed and made a suicide attempt two weeks ago. We will talk with the respondent over the phone to determine how serious the situation is and help get the person the care they need to prevent them from hurting themselves if it is an emergency. If the respondent clearly says they have not thought about suicide today or in the past few weeks and the respondent also denies a current plan, the situation is not an emergency but you should make sure the respondent receives a copy of the resource list. IF YOU HAVE ANY DOUBTS ABOUT WHETHER THE RESPONDENT IS SUICIDAL, ALWAYS PAGE THE CLINICAL TEAM. It is better to be safe than sorry. Once the situation is over, document what happened in an Incident Report Form and fax it to Denver.

**Emergencies involving respondents who are homicidal**
In this situation, the respondent might endorse the following CIDI question:
Here is a list of problem people may have. How much have any of these problems bothered or upset you during the past month including today? Having violent thoughts like wanting to beat, injure, or harm someone?

The respondent might go on to elaborate, telling you who they want to hurt. You might also know from other parts of the interview that the respondent has a history of being violent towards others.

As with the respondent who might be suicidal, this type of situation might be an emergency if the respondent has current thoughts (today or in the past few weeks) of hurting or killing others. In this situation, you should also ask the respondent whether he or she is having those thoughts today or in the past few weeks UNLESS the respondent clearly says these thoughts were part of his/her distant past. IF THE RESPONDENT SAYS THEY ARE HAVING THOUGHTS TODAY OR IN THE PAST FEW WEEKS, PAGE THE CLINICAL TEAM. We will ask other questions to determine whether others are in danger and get the person the help they need. If you are fearful for your safety, leave the house and page the Clinical Team from a safe location. Once the situation is over, document what happened in an Incident Report Form.

C. WHEN AND HOW TO MAKE A REFERRAL

At the end of the interview, ALL respondents should be given the local Resource List. It is the respondent’s decision whether or not to seek help unless a report needs to be made in the case of child abuse, elder abuse, spousal abuse, or other emergencies.

Some interviewers feel comfortable asking the respondent whether or not they want to talk with someone about their problems. Other interviewers, however, might want to use the standard way of introducing the Resource List as delineated at the bottom of the Future Contact Form. This standard introduction reads as follows: “Here is also a list of people you can contact if you need to talk to someone about some of the things we talked about today. Although they won’t have any specific information on you, they will be able to talk with you about things in general that concern you.”
<table>
<thead>
<tr>
<th>Description of reaction, event, or emergency:</th>
<th>Adverse Reaction</th>
<th>Reportable Event</th>
<th>Emergency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child abuse or elder abuse in any location, including neglect.</td>
<td>Extreme distress in reaction to the interview.</td>
<td>Spousal abuse in Northern Plains tribe 1.</td>
<td>Imminent risk of respondent being hurt or of respondent harming self or others such as in cases of:</td>
</tr>
<tr>
<td>Drinking or drug use by a pregnant woman on Northern Plains tribe 2.</td>
<td></td>
<td></td>
<td>• Imminent child abuse</td>
</tr>
<tr>
<td>Spousal abuse in Northern Plains tribe 1.</td>
<td></td>
<td></td>
<td>• Imminent elder abuse</td>
</tr>
<tr>
<td>Reporting in Northern Plains tribe 2 that a pregnant woman is drinking alcohol or using drugs.</td>
<td></td>
<td></td>
<td>• Imminent spousal abuse</td>
</tr>
<tr>
<td>• Suicide attempt after interview.</td>
<td></td>
<td></td>
<td>• Suicide</td>
</tr>
<tr>
<td>• Respondent shows up at office threatening violence after the interview.</td>
<td>Reports that child (&lt;18 years) is experiencing the following types of abuse:</td>
<td></td>
<td>• Homicide</td>
</tr>
<tr>
<td></td>
<td>• Physical</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Sexual</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Neglect</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Statutory rape</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reporting in Northern Plains tribe 1 that a respondent is experiencing spousal abuse.</td>
<td>Reports that an elder (&gt;55 years) is experiencing physical, emotional, or sexual abuse or neglect.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reporting in Northern Plains tribe 2 that a pregnant woman is drinking alcohol or using drugs.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Respondent might be hurt or killed by abuser right after you leave or even during the interview.</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>• Respondent has means, intent, and plan to commit suicide immediately or in near future.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Respondent is having thoughts of hurting or killing others and intends to do so.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Examples of what this IS NOT:</td>
<td>Adverse Reaction</td>
<td>Reportable Event</td>
<td>Emergency</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>------------------</td>
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</tr>
<tr>
<td>Crying</td>
<td>Brothers and sisters pushing and shoving each other in a playful manner.</td>
<td>Respondent who felt suicidal six months ago.</td>
<td></td>
</tr>
<tr>
<td>Need to talk</td>
<td>Sexual relationship between 17- and 18-year olds.</td>
<td>Respondent who says “I feel like I’m going to lose control” and who does not specifically mention homicidal thoughts.</td>
<td></td>
</tr>
<tr>
<td>Need to stop interview</td>
<td>Cussing and yelling between a respondent and a spouse.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Getting drunk after interview</td>
<td>An elder who is being fed enough food who is really thin because of health problems.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How you might find this information out:</th>
<th>Can have an extreme reaction in interview but more likely to hear about it later</th>
<th>In the context of the interview questions, most likely in the trauma section</th>
<th>In the context of the interview. Respondents are asked direct questions about suicide and homicide in the CIDI. Respondents might also offer information spontaneously.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>In the context of the interview. Respondents are asked direct questions about suicide and homicide in the CIDI. Respondents might also offer information spontaneously.</td>
<td>While completing the interview or locating a respondent, you might observe abuse.</td>
<td></td>
</tr>
<tr>
<td>Procedures for Interviewers:</td>
<td>Complete Incident Report Form and forward to Denver.</td>
<td>Complete Incident Report Form and forward to Denver unless you are concerned child, elder, or spouse is in imminent danger. If in imminent danger, page the Clinical Team.</td>
<td>Ask the respondent if they are feeling suicidal or homicidal today or in the past few weeks. If yes, page the clinical team. If no, offer resource list. Complete an Incident Report Form once the situation is resolved.</td>
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<tr>
<td>-------------------------------</td>
<td>----------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Potential Actions by Denver staff:</th>
<th>Adverse Reaction</th>
<th>Reportable Event</th>
<th>Emergency</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Denver decides there is not sufficient evidence to make a report to the IRB. A report to the IRB is made. The report might result in some sort of action but might not.</td>
<td>If paged, the clinician will ask the respondent additional questions and obtain any help needed. The Clinical Team will review the Incident Report Form and decide there isn’t enough information to make a report. The Clinical Team decides to make a report and notifies the appropriate agency. Reports will be made anonymously whenever possible. If not possible, the Clinical Team member will be identified as the one making the report.</td>
<td>The clinician answering the page will ask the respondent additional questions and obtain any help needed to prevent the respondent from being hurt or hurting others.</td>
</tr>
</tbody>
</table>
D. STRESS MANAGEMENT FOR INTERVIEWERS

We will provide support meetings for all the staff. These support meetings will be a time when the staff can talk about issues they have about their own emotional strains and will be coordinated by the DCC and, when h/she is on site, a project clinician. In addition, here are some suggested ways to help the Interviewers manage stress.

1. Take care of your emotional self.
Get support for yourself by talking with someone. The support meetings will offer this, but if you need to talk right away, names on the Resource List are available, or you are welcome to call the NCAIANMHR to ask for someone here. Call someone or talk with someone after a particularly troublesome contact.

2. Take care of your physical self.
Get enough rest, exercise, and eat properly. Your tendency may be to try to contact and interview everyone at once. Instead, pace yourself.

3. Take care of your intellectual self.
Make attempts to think about what your goals are. This should balance your emotional self, so one is not controlling you more than the other. In addition, weekly Supervisory meetings will be conducted by the DCC to go over all material generated by contacts for the week. This is a time to bring up difficult issues and have the DCC help you "trouble shoot" about a particular difficult contact or situation.

3. Take care of your spiritual self.
Seek spiritual help according to your beliefs.
DATA COLLECTION FOR NCAIANMHR research projects depends heavily on a staff of Indian lay interviewers who locate and interview fellow tribal members. The process of inviting oneself to learn about the private life of a person from one's own reservation is an awkward process in many instances because of the many interconnections that exist within the reservations communities. Interviewing is also awkward because most Indian communities have a strongly- and widely held belief of respecting the privacy of others. The sensitive questions of a project's interview further complicate this situation. According to some tribal teachings, some of the questions are about topics that persons who follow the teachings are not supposed to discuss directly; therefore, the job expectations ask the lay interviewers who believe in this way to break a taboo.

The responses that are shared often contain heart-rending stories about past and current difficulties that the respondent or family/friends have experienced. Many respondents describe incidents in ways such that the listener (lay interviewer) can get a very vivid picture of what went on during the event. The responses may also contain explanations about why the difficulties have occurred. Explanations can vary greatly in their type and can involve the action of self, other people, and/or spiritual forces. Examples of the many different kinds of explanations for the difficulties include: “I misunderstood something about a situation.” “I made a bad choice or decision.” “I was in the wrong place.” “I had bad luck.” “Someone wished bad luck on me.” And, “I am being punished by a spiritual power for a wrong-doing.”

There are many natural responses to hearing the difficult stories of respondents: sadness, hopelessness, fear, revulsion, indifference, etc. Some lay interviewers may believe that they have ‘brushed’ against the pain or grief of another person. Others believe that they (the lay interviewers) actually ‘carry’ the negative energy of the distressed respondent. Still others believe, in some instances, they have come in contact with evil or negative spiritual forces. Some interviewers may believe that their families can also be impacted negatively because of the distressing interviews. There is no right or wrong way to react or believe. No lay interviewer should be judged negatively because of the reaction he or she had to listening to respondents.

Just as there are many different kinds of responses, there are many different kinds of ways to cope or heal these negative experiences so that the interviewer and his/her family can return to a place of balance and peace. One way NCAIAHMHR has
accepted **responsibility for helping the lay interviewers** deal with their unsettling interview experiences was to arrange for someone with whom the interviewers can talk about their ideas and feelings. Some of NCAIANMHR’s projects have established “**Clinical Procedures Meetings.**” This is a regularly scheduled time when an experienced counselor (a clinician) is available to discuss any reactions to the interviews the lay interviewers might have. Discussions about breaking confidentiality and maintaining interviewer safety are also part of this meeting. This group consultation and discussion about reactions is done in person and over the phone. Denise Dillard and Joe Gone facilitate the Clinical Procedures Meetings.

**Face-to face and telephone consultation** is also provided. The interviewers can meet privately with a clinician when he/she is in town, and/or can call a clinician over the phone and speak privately to a clinician. Denise Dillard and Joe Gone are the primary clinicians designated to be available for consultation. Other Denver-based clinicians who are available by phone are Candace Fleming, Doug Novins, and Joan Piasecki.

### Table 1: Mechanisms for Support in SUPERPFP

<table>
<thead>
<tr>
<th>Meeting Takes Place</th>
<th>Interviewers and Clinician Can Meet as a Group?</th>
<th>Interviewer and Clinician Can Meet Privately?</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Person?</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Meeting Takes Place</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Over the Phone?</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

In addition to the clinical procedures meetings and consultation, interviewers and field office staff may use the **staff meeting** to share the many ways individuals take care of themselves. The self-care is often in one or more of the domains of life: physical, emotional, thinking, social, and spiritual. Support and healing can take place over a **shared meal** as the field staff experienced during a holiday pot-luck dinner.

Other forms of support may involve **additional training** or **ceremonies.** These are all ways to resolve the unsettling feelings and the NCAIANMHR is prepared to support them as much as is feasible.

It needs to be stressed that each lay interview has his or her own unique belief system about how to take care of him/herself in the domains of life mentioned above. In the arena of spirituality, Indian communities are very diverse. For instance, any one Indian community or area of the reservation may have three groups of individuals who practice three versions of Indian spiritual tradition, several groups who practice a form of Christianity (Catholicism, Protestantism, Mormanism), people who practice the Native American Church, and people who consider themselves to be atheists or agnostics. Although suggestions can be offered for participating in a practice, no one (lay
interviewers or field office staff) should be made to feel obligated to pursue any spiritual practice or self-care strategy that he/she is not completely comfortable with.
II. How to make the various forms of support a reality

Three mechanisms are in place for support to the interviewers. The first is the establishment of the Clinical Procedures Meetings that take place on a regular basis. The second is consultation with a clinician. The third mechanism is available in the situation where a lay interviewer chooses to participate in a ceremony arranged independent of work that he/she believes will help with the resolution of the unsettled feelings and ideas. In that case, NCAIANMHR allows for medical and family leave to be utilized. Each interviewer should check with his/her supervisor to determine what leave hours have accrued and are available to be used in this way.

As is too often the case, our dilemma is how the NCAIANMHR can pay for expenses related to the kinds of support other than the Clinical Procedures Meetings, consultation with a Denver-based clinician, and medical leave. UCHSC has very strict rules on the use of funds for purposes other than those proposed within a grant. It has even stricter rules about advancing money. Although it took a long time to advance our dilemma up the chain of command to the highest level, we were successful in getting support from Alan Bowser, the Controller of the University of Colorado Health Sciences Center. Mr. Bowser is the highest administrator within Finance Administration. He oversees the financial operations of the five schools that make up the UCHSC campus: The School of Dentistry, The School of Medicine, The School of Nursing, The School of Pharmacy, and The Graduate School. The School of Medicine is the largest school and is made up of twenty-three (23) departments. The Department of Psychiatry is one of the twenty-three departments. Mr. Bowser has an understanding of the kinds of support we are asking the university to process and he has agreed to make large concessions in university policy to make them a reality. The biggest concession is to allow payment to consultants prior to the services being performed and without the consultant’s signature.

We are now able to earmark a small fund to be used to pay an honorarium or other appropriate gesture of honor to consultants who will be available to one or more lay interviewers for one or more meetings. Examples of consultation that would qualify are: 1) a medicine person (man or woman) is asked to be “on call” to meet with one or more interviewers to discuss a particular topic or dilemma whenever a situation comes up; 2) a medicine person is asked to come to regular meetings to present information and discuss issues; 3) a pastoral counselor from an organized church is asked to meet with one or more interviewers to discuss an issue raised by the interview; 4) an individual experienced in leading a talking circle is asked to come one time or several times in a row; and 5) an expert within the community or from the outside is asked to speak about a topic such as team-building and stress management.
The following four charts explain the steps to take in getting consultants paid or acknowledged in the appropriate manner.

### Chart 1

**PAYING FOR CONSULTANTS WHO DO NOT SUBMIT INVOICES  
(Medicine Persons, Healers, Teacher of Cultural Beliefs and Ways, etc.)**

<table>
<thead>
<tr>
<th>Guidelines</th>
<th>Mechanism</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Several different consultants may be brought in during the course of a year, but the same consultant may not be utilized more than 3 times in a year.</td>
<td>1. Consultant Voucher</td>
<td>1. Project staff complete a <strong>Consultant Voucher</strong> that contains the consultant’s name, home address, and social security number. This form does not need the consultant’s signature. The voucher contains the amount requested for honorarium.</td>
</tr>
<tr>
<td>2. Each consultant may not be paid more than $150 per event.</td>
<td></td>
<td>2. Project staff write a <strong>memo</strong> that accompanies the consultant voucher that states a) the services to be provided by the consultant, b) how often payment is anticipated to this individual, and c) the dollar amount of each anticipated payment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. The voucher and the memo are submitted to UCHSC system 15 working days in advance of the event.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. UCHSC finance office writes a check to the consultant that is given to project staff.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. Project staff gives the check to the consultant on the day of the event.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. Upon receiving the check, the consultant signs a copy of the consultant voucher.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7. Project staff submit the signed form to UCHSC system within one week.</td>
</tr>
</tbody>
</table>
Chart 2
PAYING FOR CONSULTANTS WHO DO NOT SUBMIT INVOICES AND WHO DO NOT ACCEPT HONORARIUM
(Medicine Persons, Healers, Teacher of Cultural Beliefs and Ways, etc.)

<table>
<thead>
<tr>
<th>Guidelines</th>
<th>Mechanism</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Staff who purchase an item which is to be given to the consultant as the appropriate way to acknowledge his/her services can get reimbursed AFTER the purchase of the item as per usual UCHSC procedure.</td>
<td>1. Official Function</td>
<td>1. Project staff write a memo to the Executive Committee three weeks in advance of the event that states a) the services to be provided by the consultant, b) how often a gift is anticipated to this individual, and c) the dollar amount of each anticipated gift.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Project staff purchase the item with personal funds.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Project staff submit all receipts for items purchased with a completed Function Information Form and Expense Voucher to UCHSC system.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. UCHSC finance office processes the paperwork and writes a check or checks to the individual(s) who spent the money for the item(s).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. The check(s) will be mailed to the individuals 2-3 weeks after submission.</td>
</tr>
</tbody>
</table>
Chart 3
PAYING FOR PRIVATE CONSULTANTS WHO DO SUBMIT INVOICES
(These are persons who speak or teach as an individual consultant)

<table>
<thead>
<tr>
<th>Guidelines</th>
<th>Mechanism</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Several different consultants may be brought in during the course of a year, but the same consultant may not be utilized more than 3 times in a year.</td>
<td>1. Consultant Voucher</td>
<td>1. Within one week after the event, a <strong>Consultant Voucher</strong> and a memo that states a) the services to be provided by the consultant, b) how often payment is anticipated to this individual, and c) the dollar amount of each anticipated payment are submitted to UCHSC system. The consultant voucher contains the consultant's name, home address, social security number, the consultant's signature, and the amount requested for honorarium.</td>
</tr>
<tr>
<td>2. Each consultant may not be paid more than $150 per event.</td>
<td></td>
<td>2. UCHSC finance office writes a check to the consultant which is given to project staff.</td>
</tr>
<tr>
<td>3. Presentations can be on a variety of topics such as “Native Views of Wellness,” “Stress Management,” and “Team-Building.”</td>
<td></td>
<td>3. Project staff mails the check to the consultant.</td>
</tr>
</tbody>
</table>
Chart 4
PAYING FOR CONSULTANTS WHO DO SUBMIT INVOICES
AND REPRESENT A COMPANY OR FIRM

<table>
<thead>
<tr>
<th>Guidelines</th>
<th>Mechanism</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Examples of companies or firms that have trainers or seminar presenters are: Fred Pryor, and White Bison, Inc. (Native-owned firm).</td>
<td>1. Invoice</td>
<td>1. Within a week after the event, project staff complete an <strong>Expense Voucher</strong> that contains the firm’s name, address, and Federal Tax ID number. The document contains the amount requested for payment.</td>
</tr>
<tr>
<td>2. Individuals who represent companies or firms can deliver training or presentations on a variety of topics such as “Native Views of Wellness,” “Stress Management,” and “Identifying Resiliency.” The firm chooses the individual trainer.</td>
<td></td>
<td>2. UCHSC finance office writes a check to the firm that is given to project staff.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Project staff mails the check to the firm.</td>
</tr>
</tbody>
</table>
The fund also allows for the payment of **food and meal supplies** (plates, cups, plasticware, napkins, etc.) for a formal (or informal) get-together, such as a holiday meal. Chart 5 outlines the process for paying for this.

**Chart 5**

**PAYING FOR FOOD AND MEAL SUPPLIES**

<table>
<thead>
<tr>
<th>Guidelines</th>
<th>Mechanism</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. There is no way to get funds in advance of the event.</td>
<td>1. Official Functions</td>
<td>1. Project staff write a <strong>memo</strong> to the Executive Committee three weeks in advance of the event.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Project staff purchase the supplies with personal funds.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Project staff submit <strong>all receipts</strong> for items purchased with a completed <strong>Function Information Form and Expense Voucher</strong> to UCHSC system.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. UCHSC finance office processes the paperwork and writes a check or checks to the individual(s) who spent the money for the food and supplies.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. The check(s) will be mailed to the individuals 2-3 weeks after the event.</td>
</tr>
</tbody>
</table>
III. How Much Is the Fund and Who Decides How To Spend the Fund?

The 12-month allocation for each field office follows:

<table>
<thead>
<tr>
<th>Field Office</th>
<th>Choices Project Staff</th>
<th>Cornerstones 1-2 Project Staff</th>
<th>Superpfp Project Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN PLAINS TRIBE 1</td>
<td>$250</td>
<td>$250</td>
<td>$500</td>
</tr>
<tr>
<td>NORTHERN PLAINS TRIBE 2</td>
<td></td>
<td></td>
<td>$500</td>
</tr>
<tr>
<td>SWW</td>
<td>$250</td>
<td></td>
<td>$500</td>
</tr>
<tr>
<td>SWE</td>
<td>$250</td>
<td></td>
<td>$500</td>
</tr>
</tbody>
</table>

These funds can be pooled across projects and/or across offices. For instance, the Choices, Cornerstones 1-2, and Superpfp staff in Northern Plains tribe 1 can pool their funds and plan on using a total of $1,000. OR, the Superpfp staff in Northern Plains tribe 1, and Northern Plains tribe 2 can pool their funds for a total of $1,000 which leaves the Choices staff in Northern Plains tribe 1 their allotment of $250 to use alone or pool with the $250 set aside for the Cornerstones 1-2 staff from Northern Plains tribe 1.

The year will start **July 01, 1998** and end **June 30, 1999**.

The process for each of the field offices will be the same. All of the interviewers and field office staff will meet as a group to discuss if they want to develop one or more forms of support in addition to the clinical procedures meetings and leave options provided. The fund can support one additional support activity during the year, or it can support 2-3 events within the year. The events do not need to be the same kind of event. You can “mix and match” activities as long as expenses do not exceed the allocated amount or the pooled amount.

A **plan** covering the year, **July 01, 1998 to June 30, 1999**, that describes any additional forms of support needs to be submitted by each field office to the Executive Committee in the Denver office by **June 01, 1998**. A field office may want to have a committee develop the plan after the initial meeting of the entire field staff. There are many ways to utilize the allocated money and there will be many different ideas at each field office. This policy urges respect of all belief systems.

The plan should contain the following information:

- a) description of each additional form of support;
- b) staff who will be participants;
- c) identification of consultant to be used and consultant costs, if any;
- d) food and related costs, if any;
- e) hourly compensation for staff, if any; and
- f) compensation for travel expenses, if any.

The form and budget worksheet that follow may be useful. The plan consists of a completed form and worksheet **for each activity** plus a cover letter which identifies the field office and
project(s) which is submitting the plan.
Directions: Complete this page and attached budget worksheet for each activity selected.

1. Describe the activity proposed:

2. Who is likely to participate in this activity?
   a) Estimated number of Staff who will participate = _____
      Estimated hours to be compensated, if any = _____
      @ $____/hr
      Estimated travel expenses to be compensated, if any = _____
   b) Estimated number of Others who will participate = _____

3. Who is likely to be the consultant, if any?
   Name or role of consultant:
   __________________________________________________________

   Services to be provided:
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

   Length of consultation (hours or days):
   ____________________________
Payment or other acknowledgement:

____________________________________

4. Food and Supplies, if any:
**BUDGET WORKSHEET FOR EACH ACTIVITY**

<table>
<thead>
<tr>
<th>Type of Expense</th>
<th>(A)</th>
<th>(B)</th>
<th>(A) + (B)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(A)</td>
<td>(B)</td>
<td>(A) + (B)</td>
</tr>
<tr>
<td>Consultant Honoraria or other Acknowledgement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meal Supplies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Hourly Compensation for Staff:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>_____ Staff @ $ _____/hr</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>_____ Staff @ $ _____/hr</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Travel Expenses for Staff:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>_____ Total Miles x $.20/mile</td>
<td></td>
<td></td>
<td>***</td>
</tr>
</tbody>
</table>

**TOTALS:** ***

***If more than one activity is to be supported from the fund, the totals in this box for all activities need to be equal to or less than the allocated amount. For example, an office is allocated $300. The box totals marked with *** for Activity 1 = $100, Activity 2 = $150, and Activity 3 = $ 50 for a grand total of $300.
VIII. ADMINISTRATIVE POLICIES AND PROCEDURES FOR FLEX-PRAs

In this section, we provide some general information about administrative issues surrounding your employment at the University of Colorado Health Sciences Center. We also discuss procedures for getting paid and explain how vacation, sick leave, and paid holidays are calculated. The section closes with a discussion of issues surrounding the Interviewer’s responsibilities for the laptop computers.

A. GENERAL INFORMATION

You have been provided with a copy of the American Indian and Alaska Native Programs’ (AIANP) Policy and Procedures Manual. The information provided in this section of the AI-SUPERPFP project Training Manual is intended to be a supplement to the AIANP Policy and Procedures Manual, and will provide you with more detailed information about how those policies and procedures apply specifically to flex-PRAs.

“Flex-PRA” is a term we use to describe Professional Research Assistants (PRAs) who are paid at an hourly rate, rather than a fixed salary. All PRAs are considered research faculty in the Department of Psychiatry, University of Colorado Health Sciences Center, and are required to sign a formal letter of offer. You have probably already signed your letter of offer. This is a brief explanation of the language contained in that letter.

Rate of Pay. As stated in your letter, this is a full-time position, at an hourly rate of $10. PRAs are not eligible for overtime pay, so this means you may earn up to $400 per week before taxes. Your hours will be submitted on a monthly basis to the University’s Payroll Department. Payroll will compute your total monthly pay based on the stated hourly rate. For new PRAs, the number of hours reported to the system is based on the number of completed interviews, the number of closed out ineligible, cannot locate, no show, and refusal ICFs, as well as any office hours accrued during the previous month. The amount paid for each is given in the table below:

<table>
<thead>
<tr>
<th>ICF Outcome Code</th>
<th>Outcome Code Description</th>
<th>Interviewer Compensation and ICF Outcome Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Complete Interview</td>
<td>$50 Interviewer completed interview with eligible respondent.</td>
</tr>
<tr>
<td>2</td>
<td>Incomplete Interview</td>
<td>$50 Interview is stopped before completing interview either by a) respondent request to STOP the interview; b) respondent unable to answer questions (see interviewer handout when to administer the Supplemental Survey); c) medical/safety emergency (see emergency procedures).</td>
</tr>
<tr>
<td>3</td>
<td>Refusal</td>
<td>$20 Eligible respondent refuses (declines) to be interviewed. NOTE: before an interviewer may claim a refusal on her/his paylog, a Refusal Verification must be conducted by the</td>
</tr>
</tbody>
</table>
DCC/FOD. There is a mandatory 2 week waiting period between the respondent’s refusal date and verification time.

<table>
<thead>
<tr>
<th>4</th>
<th>Canceled (will not reschedule)</th>
<th>$20 Eligible respondent schedules and cancels an interview 3 times.</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>No Show</td>
<td>$30 Eligible respondent schedules an interview and fails to show up for appointment 3 times. Interviewer must wait up to 1 hour at the agreed upon meeting place each time before claiming no show compensation.</td>
</tr>
<tr>
<td>7</td>
<td>Ineligible</td>
<td>$20 Respondent is found to be ineligible for interview: e.g., respondent resides outside of the 20-mile boundary; the respondent is deceased, physically unable, mentally unable, or doesn’t speak English. If information is from key informants, <strong>three</strong> key informants must verify respondent is ineligible. <em>Exception:</em> only one key informant may be necessary if that key informant is a knowledgeable next of kin or a census office official—Check with your DCC.</td>
</tr>
<tr>
<td>13</td>
<td>Cannot Locate</td>
<td>$20 Three contacts have been attempted with at least 3 different key informants AND at least two hours has been spent attempting to find respondent with no knowledge of respondent’s whereabouts. The cannot locate ICF must be verified by an hourly Locator/Interviewer &amp; compensation is not given until the ICF reaches Denver.</td>
</tr>
</tbody>
</table>

**NOT CODED**

| 13 | Transfer of ICF              | $20 A respondent is found to live in a location covered by another interviewer or field office. The first interviewer must provide specific physical address (location of home) and a complete telephone number (if applicable) belonging to the respondent. Transfers are not given an outcome code. The DCC will fill out the transfer form. If a transfer takes place between interviewers at the same field office it is tracked through the database, which the DCC maintains. Transfers are recorded on an interviewers paylog. |

**NOT CODED**

| 13 | Supplemental Survey          | $50 A respondent who is scheduled for an interview is found to be unable to understand or answer the questions in the original survey due to cognitive difficulties. **NOTE:** If the respondent does not speak or understand English then s/he should be coded as ineligible. |

As an Interviewer, you will be submitting an **Interviewer Pay Log** each month, listing the number of interviews you have completed and turned in at a rate of $50 per interview. You will also be paid at the hourly rate of $10 for your attendance at weekly staff meetings, and your participation in supervision meetings with the Data Collection Coordinator. Since the Payroll Department must compute your pay based on an hourly rate, we will take the total dollar amount earned each month (completed interviews + staff meetings/office hours) and divide it by the stated hourly rate to determine the number of hours to be submitted to Payroll.
Here’s an example of how that will work:

- 20 completed interviews x $50 = $1,000
- 2 refusals x $20 = 40
- 7 ineligibles x $20 = 140
- 5 one-hour staff meetings x $10 = 50

Total Dollar Amount Earned $1,230

$1,230 divided by $10 = 123

A total of 123 hours would be submitted to Payroll.

It's important to remember that you are not eligible for overtime. Therefore, you cannot earn more than $400 per week (the equivalent of 40 hours per week). Depending on the number of working days in each month, the total possible full-time pay varies from month to month. As a reminder, we have recorded on your Pay Calendar the total possible full-time pay each month. The Pay Calendar also specifies important dates for faxing pay paperwork and shipping interview materials to Denver.

Criteria for moving to and maintaining an hourly pay schedule:

1). Once an interviewer has been employed by the University of Colorado for at least 60 days s/he is eligible to move to an hourly pay schedule. These 2 months may include time accrued from previous projects. In order to qualify for the hourly pay rate an interviewer must additionally meet the following criteria:

- Interviewers must close out an average of 18 ICFs per month (all completion codes).
- Of the 18 ICFs, Interviewers must have completed an average of 8 interviews per month.

2) After 1 year employment with the University of Colorado, an interviewer will be promoted to an hourly pay schedule.

To maintain the hourly pay schedule, an interviewer must maintain the criteria for moving to hourly pay as described above. If interviewer’s productivity drops below the above criteria, the interviewer will be given a written notice advising her/him that they have 30 days to return to criteria productivity level. After 30 days the interviewer may be permanently returned to unit pay if criteria productivity level is not achieved. Additionally, interviewers must continue to meet basic job responsibilities as outlined below:

- Interviewers must attend all required meetings such as, staff meetings, individual weekly supervision meetings, and clinical support meetings.
- Interviewers must be on time for required meetings.
- Interviewers must communicate daily with DCC or FOD.
- Interviewers' paperwork and data must be consistently accurate.

- Audio edits must reveal that interviewers are following established protocol, such as:
  1) Reading questions as written.
  2) Not leading respondent or biasing answers.
  3) Not rushing through the survey.
  4) Accurate in their data entry.

Acceptance by the interviewer of this system means the following:
- The hourly interviewer will be paid $10 per hour plus mileage and cannot exceed 40 hours per week. Weekend work, vacation, sick leave, and holidays will be included in the 40 hour maximum. Accrual of vacation and sick leave will be pro-rated based on actual hours worked.

- Hourly Interviewers will not be paid separately for Cannot Locates, Ineligibles, No Shows, Transfers, or for Completed Interviews.

- Office hours cannot exceed 5 hours per week. The expectation is that the remaining hours are spent locating, scheduling, and interviewing respondents.

DCCs will be responsible for task assignment for hourly employees and will review interviewer’s performance in individual supervisory meetings. As an hourly interviewer, you will be submitting an **Hourly Interviewer Pay Log** each month, listing the respondents identification number that you have attempted to locate, located, and/or interviewed, and the number of hours you have worked each day. You will also be paid at the hourly rate of $10 for your attendance at weekly staff meetings, and your participation in supervision meetings with the Data Collection Coordinator.

**Hourly FAQ's:**

When does the clock start for location work?

The specific example here is that we have an hourly staff member that lives in a community 20-30 miles from the field office and often she is asked to locate in communities which might be more than a 100 miles away and when should she start counting hours.

As you’ve all heard, there is a University policy that commuting miles are not reimbursable nor is the time spent commuting paid time. This gets harder to think about for location tasks that are paid on an hourly basis. What we’ve done in the past is to consider any time and mileage spent going to the office as commuting and all other time as paid time and reimbursable mileage.

*What are guidelines around lunches and breaks?*
There is no set University policy in this regard for faculty. The understanding, though, is that everyone puts in at least as much time as they are paid for. With salaried staff, the understanding is that if folks work from 8 until 5, they can take an hour lunch—leaving 8 hours of work-time. Short breaks can be taken. We operate on an honor system—we trust that folks will put in the hours they claim. In fact, for those of us on academic tracks, the expectation is that we'll work at least 55 hours per week; while getting paid for 40. We have not, and will not, put this expectation on PRAs but will continue to assume folks are putting in the time they claim.

**MILEAGE REIMBURSEMENT**

*Mileage.* Mileage is paid separately for your actual miles traveled while locating, scheduling, and interviewing respondents. Instructions and mileage logs are included in the Forms Directory. Mileage from your home to the field office, or commuting mileage, is not reimbursable (except if your home is more than 100 miles roundtrip from the field office). In those cases that require the Interviewer travel more than 100 miles round-trip, we will pay the standard UCHSC mileage rate of 20 cents a mile for anything over 100 miles.

If you can do location on the way to the field office, or on the way back, the first 100 miles may also be reimbursable. However, please note this carefully on your mileage log and review it with your DCC so she knows the circumstances. There have been a few instances where folks shared rides into the field office and both asked for mileage—that's not OK; from the University's standpoint, mileage paid a car at a time.

Mileage will be calculated at 20 cents per mile. A check will be issued 7-10 days after submission to the University travel office and accounts payable. If an interviewer travels 1,000 miles to locate recruit and/or interview respondents, then s/he will be paid $200.00 for those miles. If s/he travels 3,000, then s/he will be paid $600.00 for those miles. This reimbursement is in addition to pay indicated in the above example.

*Length of Employment.* Your letter of offer states that “this is an indeterminate appointment with no specified end date”. While an indeterminate appointment is not made for a specified period of time, its continuance each year is dependent upon available funding for this project and satisfactory performance.

*Employment-at-Will.* The term “employment-at-will” is referred to in the third paragraph of your letter. This means that your employment with the University of Colorado may be terminated by you or the University at any time during this project.

- Employees who leave University employment will be paid for any substantial work done on ICFs when they turn in their final work to the DCC, even if the ICFs are not closed out. Payment for these cases will be done on a form called an “Exiting Employee Transfer Form” in conjunction
with a paylog. When an exiting employee turns in her/his ICFs, the DCC will use this new form to record all substantial locating work done on those ICFs before reassigning them to another interviewer or locator. Substantial locating work is defined as the interviewer having spent a minimum of two hours attempting to locate a respondent. Location efforts must be documented on the back of the ICF. The “Exiting Employee Transfer Form”, along with a completed paylog for that employee, will be filled out listing work done on ICFs. The “Exiting Employee Transfer Form” and Paylog will be included in the next paylog/data shipment. This will help assure that all outstanding payments are made to interviewers before they are closed out of the employment system.

**Interviewer Performance Infractions and Consequences.**

Interviewers should not be late for interview appointments. It is inconsiderate to the respondent.

- The first time an Interviewer is late for an appointment, the interview will be given to another Interviewer. The late Interviewer will also receive a written warning.

- The second time the Interviewer is late for an appointment, s/he will receive another written warning (Paula Espinoza, Denise Middlebrook and Jan Beals will be notified) and will also be required to meet with their supervisor.

- The third time the Interviewer is late for an appointment, s/he will be suspended from interviewing for one week.

Interviewers should **never** miss an interview appointment. It makes the respondent feel uncomfortable and probably unimportant. It is also very difficult to reschedule these respondents.

- If an Interviewer cannot make an appointment, s/he must notify the office staff 24 hours before the appointment. If notification is made in less than 24 hours, it will be counted as a missed appointment. NO EXCEPTIONS.

- The first time an Interviewer misses an appointment without 24 hours’ notice, s/he will be suspended from interviewing for one week. S/he will need to meet with his/her supervisor and will receive a written warning.

- The second time an Interviewer misses an appointment without 24 hours’ notice, it is grounds for dismissal.
• Interviewers are permitted three prior notification cancellations. After three, s/he will be required to meet with his/her supervisor and may be suspended from interviewing.

B. PAY PROCEDURES AND DIRECT DEPOSIT

All University employees are paid on a monthly basis. Your Pay Logs are turned in to the AI-SUPERPFP project DCC, who will check them for accuracy and fax them to Denver staff. After your Pay Log is approved, the administrative staff in Denver will convert your total pay to hours worked (following the formula described above) and report your hours to the Payroll Department. This conversion is necessary because the Payroll Department must compute your pay based on an hourly rate.

Your check will be issued on the last working day of each month. Paylogs reporting your hours for the previous month will be due in the Denver office towards the end of the month.

For new PRAs, the number of hours reported to the system is based on the number of completed interviews, the number of closed out ineligible, cannot locate and refusal ICFs, as well as any office hours accrued during the previous month. (With the need to get the hours into the UCHSC payroll so early in the month, the first paychecks you receive from the University take a while to reach you and are small.)

You may choose to have your pay deposited directly (wired) to your bank account, if you have one. In general, this is the best option, since direct deposit allows you to have same-day access to your pay. If you do not choose direct deposit, the Payroll Department will mail your paycheck to your home address. Due to postal delays, this could delay receipt of your pay by anywhere from several days to a week.

C. VACATION, SICK LEAVE, AND PAID HOLIDAYS

Full-time staff are eligible to receive 22 days of paid vacation per year, earned or “accrued” at the rate of 14.67 hours per month. Employees working part-time earn vacation on a pro-rated basis—that is, the number of hours of vacation you earn is adjusted for the number of hours you work each month. After you have submitted your Pay Log each month, and your total pay has been converted to hours, the administrative staff in Denver will calculate your accrued vacation. We base these calculations on the percentage of full-time work accomplished during any given month. This percentage is called the Full-Time Equivalent, or FTE, and will vary from month to month, depending upon how many hours you work, and the number of working days in each month. The example below shows that an employee who worked 117 hours out of a possible 168 hours is considered to be .70 FTE because they worked 70% of the possible hours for the month.
Example:
June, 1997  Total possible full-time hours for this month = 168
Employee “A” works a total of 117 hours in June.

# of hours worked divided by # of possible full-time hours = % FTE:
117 divided by 168 = .70 FTE (70%)

% FTE x full-time accrual rate = number of hours of paid vacation earned:
.70 x 14.67 = 10.27 hours of paid vacation earned by Employee “A”

Any vacation remaining as of June 30 each year may be carried forward to the next year. An employee can accumulate no more than a maximum of 44 days; days carried over that would result in an accumulation of more than 44 days will be lost. When an employee resigns after 12 months of continuous employment, any accrued vacation will be paid to the employee.

Full-time staff are eligible to receive 15 days of paid sick leave per year, accrued at the rate of 10 hours per month. Employees working part-time earn sick leave on a prorated basis, calculated in the same manner as above. Accrued sick leave is forfeited upon termination of employment.

Example:
% FTE x full-time accrual rate = number of hours of paid sick leave earned:
.70 x 10 = 7 hours of paid sick leave earned by Employee “A”.

An FTE of .90 or greater is considered full-time. Each month, you will receive a report of vacation and sick leave accrued and taken.

The University recognizes 10 paid holidays each year: New Year’s Day, Martin Luther King, Jr.’s birthday, Presidents’ Day, Memorial Day, Independence Day, Labor Day, two days at Thanksgiving, and two days at Christmas. If you choose to observe recognized tribal holidays, you may substitute a tribal holiday for one of the holidays listed above. However, no more than a total of 10 paid holidays per year will be granted. Employees working part-time will receive prorated holiday pay, based on the average number of hours worked per day during the month in which the holiday falls.

Example:
117 hours worked divided by 21 working days = average of 5.60 hours/day
Employee “A” would receive 5.60 hours of holiday pay.

D. INCLEMENT WEATHER POLICY

CLOSURE OF SWW AND SWE FIELD OFFICES
Since there are no official inclement weather policies in this area, if the National Weather Service advises against travel or if roads are closed, UCHSC employees should not report to work.

**LATE ARRIVAL**
Due to inclement weather, employees are occasionally detained and report late to work. When this occurs it is at the discretion of the Field Office Director as to how to report the absence on the time sheet. If an employee is late due to the weather, a maximum of 2 hours administrative leave may be given, floating holiday leave if eligible, or record as vacation time taken.

**EARLY DEPARTURE**
When severe weather conditions are reported, employees may be given administrative leave and released early at the discretion of the FOD. No compensatory time will be granted those employees who are retained to maintain and continue services, or for those who are on annual or sick leave. Consideration should be given to alternate this type of administrative leave with all employees as much as possible. *Early release time not authorized by the FOD must be charged to annual leave or floating holiday.*

**CLOSURE OF THE NORTHERN PLAINS TRIBE 1 AND NORTHERN PLAINS TRIBE 2 FIELD OFFICES**
When it is publicly announced by local county and/or federal government that employees are not to report to work, UCHSC employees should not report to work. Without such a public announcement, employees should report to work. *Leave not in keeping with local county and/or federal closures must be charged to annual leave or floating holiday.*

**LATE ARRIVAL**
Due to inclement weather, employees are occasionally detained and report late to work. When this occurs it is at the discretion of the Field Office Director as to how to report the absence on the time sheet. If an employee is late due to the weather, a maximum of 2 hours administrative leave may be given, floating holiday leave if eligible, or record as vacation time taken.

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**E. RESPONSIBILITIES FOR THE LAPTOP COMPUTERS**
1. **Responsibility**

Using the **Equipment Sign-out Form**, each Interviewer will sign out a Toshiba laptop computer for the purpose of conducting the interviews.

To help keep track of updated .qst files and computers in the field office, **equipment sign out forms must be filled out for every computer in the field office (interviewers’ and staff)**. This will occur each time a .qst file is updated. At the bottom of the form is an additional section to be filled out with the DCC verifying that each .qst file on a given computer is the most current version.

**Instructions for filling out Equipment Sign Out Form:**

1. Fill in name of person responsible for possession of computer.
2. Fill in Laptop Serial #.
3. Fill in UCHSC TAG #.
4. Fill in NCAIANMHR #. This is the number written in Magic Marker on the bottom of the computer.
5. Fill in the Tape Recorder Serial # (For interviewers only)
6. Read the agreement.
7. The person responsible for possession of the computer signs and dates the form.
8. For those computers with the survey instrument: the DCC verifies with the signer that the most current versions of the three .qst files are downloaded on the computer (if .qst files are not the most recent then the DCC should immediately update appropriate files).
9. DCC enters date that the .qst files are either verified or updated.
10. DCC initials the .qst for each section reflecting that the dates of file are correct.
11. Make 2 copies of the form: one copy for the FO and one copy for signer. Send original to Denver—attention Shelly Senner.

These computers are the property of the University of Colorado Health Sciences Center and must be returned at the completion of the project or upon termination of employment. Interviewers are responsible for the computers they have signed out and will be held responsible for theft or damage to the machine. The University, in turn, holds the NCAIANMHR responsible for this equipment and we must provide auditors, at any time they ask for it, evidence that the computers are being used for their intended purposes.

The following precautions regarding care of your laptop must be followed.

- Keep the computer away from extreme temperatures (hot or cold).
- Keep the computer out of dusty conditions.
- Carry the computer with you. Do not leave it lying around in public places.
- When you are not using the computer, store it in its carrying case to protect it from dust and jarring.
- Do not leave the computer in your car; the temperature may be too
• extreme and/or it may get stolen.
  • Report any problems with the computer immediately to your supervisor.

2. Insurance
The NCAIANMHR maintains property insurance on the laptops. Below is a partial list of the terms of coverage.

Coverage: Items covered include personal computers
Deductible: $250 per occurrence.
Valuation: Replacement cost (actual cost to repair or replace).

Losses resulting from any of the following situations are explicitly not covered by insurance:

• an original defect in the property
• program errors
• mechanical breakdown, electrical failure
• corrosion, rust
• wear and tear
• gradual deterioration
• climate changes
• insects or vermin
• watercraft or property in a watercraft while on the water
• war
• dishonest acts of the insured

In other words, we have bought insurance for the laptop computers. However, when one is stolen, the University will conduct an investigation concerning its loss. Even when the insurance covers the machine and it is replaced, we may hold you responsible for the deductible if we judge that you left it somewhere that it was easy to steal. Loss of a machine due to gross negligence is grounds for termination.

If you need to file a claim, follow these procedures.

• Notify your supervisor as soon as possible. Include the time and place (or event) and names of any witnesses. Supervisors will pass this information on to Denver staff as soon as possible; Denver staff will then inform University Property.
• Notify police if the loss is due to theft or burglary (a break-in).
• Do everything possible to protect the property from further damage.
• Prepare an inventory of the damaged or stolen items.
• In case of damage, make the damaged property available to the University’s insurance adjusters; in case of a loss, provide a copy of the police report.
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FORMS AND POLICIES

1. CONFIDENTIALITY FORM
The National Center for American Indian and Alaska Native Mental Health Research’s (NCAIANMHR) Policy on Confidentiality Form is to be read and signed by all employees. The Policy states that all employees will protect respondents’ identities and the respondents are assured that all information they provide will be held in confidence. The only exception to this will be in situations where a person indicates that he or she will harm himself/herself, others, or is sexually or physically abusing a child. Any breach to this confidentiality agreement is grounds for immediate dismissal.

2. POLICY ON CONFIDENTIALITY
In addition to the NCAIANMHR’s Policy on Confidentiality, employees are also under obligation to adhere to the University’s confidentiality policy. Breach of this agreement will be regarded as willful misconduct and may also be grounds for immediate dismissal.

3. PAY AND SHIPPING CALENDAR
The pay and shipping calendar is provided to all Field Staff and their supervisors as a means of coordinating the exchange of important and essential materials between Denver and Field Offices. Key dates are marked on the calendar to prevent deadlines from being missed.

4. LONG-DISTANCE PHONE POLICY
The long-distance phone policy is provided so that all employees will know the appropriate use of this resource. The policy states that all long-distance business calls are to be documented on the telephone log provided. In addition, employees are not allowed to make long-distance calls except when on travel; these calls are restricted to five minutes for each travel day. This policy is mandatory and violators will be expected to pay for unauthorized calls.

5. PRE-PAID PHONE CARDS
Pre-paid phone cards are available for use when staff need to be away from the office. These cards are checked out from the Field Office, along with a log sheet. Employees are expected to fill out the log for each call made. Instructions are provided on the back side of the log.

6. FIELD STAFF ROAD TRAVEL FLOW CHART
This chart is provided to give employees a quick reference for travel policy and procedures. The travel policy is set by the University and must be adhered to in order for employees to be eligible for reimbursement of travel expenses. If in doubt about a travel expense, call the Denver Field Coordinator BEFORE you travel to avoid problems.
7. **NCAIANMHR MILEAGE LOG**
   All employees who travel must adhere to the travel policy. The policy is summarized on one side of this form. The other side of this form is used to record miles traveled. A payment code is required for all approved travel. The code for the AI-SUPERPFP project is SUPERPFP (seventh down in the CODES scale provided at the bottom left-hand corner of the NCAIANMHR Mileage Log).

8. **TRAVEL APPROVAL FORM**
   All AI-SUPERPFP project staff must receive prior approval to travel overnight for locating or interviewing. Employees must use the Travel Approval Form in order to be reimbursed for any travel expenses incurred. This form is also used for Interviewers to request approval to make any location trip over 100 miles round-trip. A completed Travel Approval Form needs the employee’s name, trip destination information, travel dates, and the purpose of the trip. This form will also document whether or not the trip has been approved and must be signed by the DCC.

9. **PARTICIPANT COMPENSATION CHART**
   This flowchart shows the process of tracking the checks used to compensate respondents.

10. **COMMUNICATIONS MEMO**
    As the number of projects in the field grows it becomes increasingly important to maintain good communication within and between offices, both in Denver and the Field. This memo outlines current flow of communication.

11. **LIABILITY INSURANCE MEMO & FORM**
    University policy requires that all employees have auto liability insurance if they drive their private vehicles on University-related business. This memo outlines the requirement. The appropriate form is attached.

12. **ALCOHOL AND DRUG POLICY**
    University and NCAIANMHR alcohol and drug use policy is outlined here.

13. **DCC RESPONSIBILITIES**
    This Responsibilities sheet is a brief list of the DCC’s duties. The duties are subject to change, based on further experience in the project.

14. **CHECK SIGN-OUT LOG**
    The Check Sign-Out log is used by the DCC to record the checks that are assigned to specific Interviewers. Interviewers are responsible for these checks and must be able to account for all of them before they are allowed to sign out additional checks. These checks are ONLY to be used to pay a respondent for participating in an interview. **Your pay will be docked $40.00 for each check you are unable to document.** Completed logs will be forwarded to the Denver office, where the administrative staff will monitor the account.
15. **WEEKLY REPORT FORM**
This is a computer-generated form and is used by the DCC to summarize all the work in progress. This work is then reported to the Denver Coordinator. Every week, the completed form is faxed to Denver. The four columns are used to tally efforts made by Interviewers and the DCC during the week.

16. **TRANSFER FORM**
This is a form to be used when transferring an ICF to another field office (e.g. from Northern Plains tribe 1 to Northern Plains tribe 2 or from SWE to SWW) and vice versa when a respondent is located and identified as residing to the nearest field office.

17. **EXITING TRANSFER FORM**
This form is used to track all the ICF’s an interviewer has at the time of his/her departure (termination, resignation) from the project. The interviewer will be compensated for closing out and location efforts for the ICF’s that get transferred and reassigned to another interviewer.

18. **FOD RESPONSIBILITIES**
This Responsibilities sheet is a brief list of the FOD’s duties. The duties are subject to change, based on further experience in the project.

19. **CHECK REGISTER**
The Check Register is used to keep track of all checks used. The FOD will be responsible for maintaining and balancing the check register. The Check Register will be turned in to the DCC during the weekly meeting. This form is reviewed by DCC, forwarded to the FOD, and then faxed to Denver at the end of every month.

20. **AUDIO SHIPMENT FORM**
This form is used to ship all audio tapes that are selected for edit picks and edited from each field site to the Denver office.

21. **SHIPPING LOG**
Shipping of data to Denver is the responsibility of the FOD. These shipments, via Federal Express, will be documented on the Shipping Log. This form was developed because, on rare occasions, shipments have been lost or mistakenly given to the staff of another project. The Log allows both the Field Offices and the Denver office to have a record of what was sent and when it was sent and helps to eliminate confusion over who should have received a particular shipment. Please make a copy for your files in the Field Office.

22. **PAYROLL SUMMARY LOG**
This form is used and included when the DCC prepares paylogs to be sent to Denver for processing. This identifies which interviewers have completed paylogs for the pay period.
23. INTERVIEW VERIFICATION FORM
This form will be filled out by the FOD or DCC. A 10% sample of respondents will be called and recruited for this brief follow-up questionnaire. The selected respondents should be called for a follow-up within one week after their interviews. This questionnaire will check on how they are doing and if anything upset them during the interview. If so, an Incident Report will be completed. In addition, this interview will find out if the respondents have any feedback for Interviewers (for example, they read the questions too fast, too slow, etc.). It is also standard research practice to verify that interviews that were completed outside the Field Office were actually completed.

24. REFUSAL VERIFICATION FORM
This form is filled out by the FOD or DCC. All respondents who refuse to participate will be called and interviewed with this brief questionnaire. The respondents should be called or contacted within in two weeks after the refusal. This questionnaire will determine if the respondent understood the purpose of the project and to see if s/he had reconsidered and would now be willing to participate. If the respondent is now willing to participate, the FOD or DCC will arrange for an interviewer to call or stop by and schedule an appointment. Refusal verification forms are sent to Denver with the ICF’s in the data shipments.

25. TAPE ANALYSIS CHECKLIST
This form is used by the DCC/FOD to review tapes from a completed interview. The form looks very complicated but it is actually not. It should be filled out as follows:
- the RID.SITE (not name)
- the site number (eg. 1=PR)
- the Interviewer’s name and ID
- the DCC’s or FOD’s name
- the date of the interview
- the date that it was edited

The Tape Analysis Checklist is the place to document some general comments such as the following.

- Were the questions asked as written?
- Was the tone of voice used appropriate?
- Were the speed and tempo of the interview appropriate?
- Were there any distractions or interruptions?

26. PERSONNEL FORM
The purpose of this form is to provide DCCs and FODs with a means of documenting interviewer infractions regarding missed meetings, tardiness for interviews, and missed interviews, with and without 24 hour notice.

27. NCAIANMHR FIELD OFFICE SUPPLIES POLICY
The policy is to provide clarity and control of the purchase of office supplies for field offices and identify which project’s budget is charged. The form covers both BASIC SUPPLIES and SPECIAL SUPPLIES. The FOD controls the purchase of office
supplies for field sites and identifies which project’s budget is charged.

28. INTERVIEWER RESPONSIBILITIES
This responsibilities sheet is a brief list of the Interviewer’s duties. Although most duties are set, some may be subject to change, based on further experience in the project.

29. INTERVIEWER CONTACT FORM (ICF)
The Interviewer Contact Form (ICF) contains all of the information about contacts with a respondent. The Denver AI-SUPERPFP project staff applies individual labels to each blank ICF. Each label includes the following information: respondent ID number and site, respondent name, date of birth, address, phone number, replicate number and whether the respondent is under 18 years old or is 18 or over. Each Interviewer is assigned a group of ICFs; his/her job is to find the respondents or, if unsuccessful, at least to document all efforts to locate them on the ICF.

a) Beginning at the top left, the FINAL OUTCOME CODES list outcomes from 1 to 7 and 13. Once all activity around a particular respondent has been completed, write the outcome in the FINAL OUTCOME box directly below the list with an explanation for those which are ineligible or incomplete.

b) In the top center of the form are six places to fill in Interviewer ID numbers. We have provided more than one because we expect that it may take several Interviewers from several areas to find some people. When an interviewer is assigned an ICF, the date started should be filled in along with the IID.

c) The label containing all relevant information about a particular person will be placed in the far right corner.

d) There are three boxes for appointments to be listed. We include three boxes because we expect that some respondents will cancel and reschedule their appointment.

 e) Below the appointment boxes, we have provided space for documenting current directions to the Respondent’s home, and their current address, if different from the ICF label. The top line offers a reminder to always verify Date of Birth (DOB) and to fill in gender.

f) The reverse side of this form is for the Interviewer to document all contacts and relevant comments regarding their efforts to locate the respondent.

All of this information is very important and all documentation should be legible and clear. Keep in mind that the Denver staff, who are reading these forms, may not
understand your short hand or know the areas to which you are referring. Clear documentation will save you and others time and energy.

30. **MILEAGE LOG FOR LOCATION, SCHEDULING AND INTERVIEWING**
The purpose of this form is to document reimbursable mileage accrued while locating, scheduling appointments and/or interviewing respondents as long as these activities DO NOT take place in the Field Office. The reverse side of the form provides information about the form and its appropriate use. Please read carefully so there is no misunderstanding about what mileage is allowable and what is not.

   A. At the top of the form is a place for respondent ID number, site number, Interviewer ID, and eligibility status. EVERY PACKET MUST BE VERIFIED BEFORE IT CAN BE CONSIDERED COMPLETE!

   B. The Interviewer should make a ✔ by each item once it has been verified that each piece is present and completed correctly.

   C. The DCC will verify and initial each Interview Completion Checklist.

31. **ELIGIBILITY QUESTIONNAIRE**
This questionnaire to be completed by all Interviewers for each person assigned to them for recruitment into the project. Eligible persons who agree to participate will be interviewed. Information on ineligible persons will be provided on this form, as well. Completed forms will be reviewed by the DCC and forwarded to Denver.

32. **INTERVIEW PROGRESS LOG**
This form is computer-generated by the DCC and used by Interviewers to keep track of their current assignments. It is reviewed for approval and updated weekly by the DCC. This form is a good way for Interviewers to keep track of the work they have been assigned. It is also useful for the DCC and Interviewers to review work progress during weekly supervision meetings.

Pertinent information on this forms includes the following: the date a person is assigned for recruitment; Interviewer ID number; respondent ID number and site of study; check number assigned to a respondent; replicate number from which the information came; outcome code of efforts to locate an interview, and any comments the Interviewer may have concerning a particular person.
33. **ADULT PARTICIPANT CONSENT FORM**
All participants must read and sign this consent form before they begin answering the survey. Interviewers will give the respondent a copy of the Consent and retain one copy to be mailed to Denver in the completed interview packet. This form is for all participants 18 years or older.

34. **PARENT/LEGAL GUARDIAN CONSENT FORM**
This consent form must be signed by a parent or legal guardian of any minor participant, (under the age of 18). No one under the age of 18 can take part in this project without this signed consent form. Interviewers will provide two copies of the form: one for the parent/legal guardian, and one for inclusion with the completed interview packet to be mailed to Denver.

35. **YOUTH PARTICIPANT ASSENT FORM**
In addition to a signed consent from a parent/legal guardian, all minor participants are also required to read and sign an assent form. As with other consents, Interviewers must provide two copies of this form: one to be given to the youth participant, and the other one to be returned to Denver in the completed interview packet.

36. **ADULT MEDICAL RECORDS CONSENT**
This follow-up consent will be used at the end of the interview. Its purpose is to request access to the respondent’s medical records to assess the agreement between those records and the respondent’s reports. Participation in this phase of the project is voluntary and is subject to respondent approval. No compensation will be provided for those who choose to allow their medical records to be reviewed. We will not be getting the medical records of minors.

37. **AUTHORIZATION FOR RELEASE OF INFORMATION**
This form is an attachment to the Medical Release Consent described above (#19). This form describes the information to be released and the purpose for the disclosure. This form must be signed in addition to the Medical Records Consent. Again, this does not apply to minors.

38. **FUTURE CONTACT FORM**
At the end of the interview, the interviewer will complete the Future Contact Form. This form asks the respondent to provide the names, addresses and telephone numbers of two people who do not live with them but who will know how to get in touch with them in the future. This information can be used in the event the respondent has moved when a future contact is made.

39. **INTERVIEWER COMPUTER PROBLEM FORM**
This form should be used to document problems encountered with the computer. Should an interviewer discover a problem s/he should write down the question number from the upper left-hand corner of the screen and describe the problem in
detail. At the end of the interview this form should be forwarded to Denver for review and, when necessary, correction to the Ci3 program.

40. INCIDENT REPORT
The Incident Report will be completed by the DCC (or, at times, the FOD), in conjunction with the Interviewer, in the event that a respondent experiences an adverse event as the result of the interview, has a medical emergency during the interview, or reveals information that is potentially reportable. When made aware of the event, the DCC will complete the Report and forward it as soon as possible to the Denver-based Field Site Coordinator assigned to the local Field Office. If any action is necessary, the Field Site Coordinator will advise the appropriate person in the Field Office.

41. SWE - EMERGENCY PROCEDURE CARD
This card is provided as a quick reference for Interviewers to use in emergency situations. All Interviewers should know the emergency procedures and be prepared to follow them, should the need arise. This card provides information for Southwest Interviewers.

42. SWE - RESOURCE LIST
This Resource List is to be provided for each person who participates in this project. This particular list is for those who live on or near the Southwest tribe.

43. SWW - EMERGENCY PROCEDURE CARD
This card is provided as a quick reference for Interviewers to use in emergency situations. All Interviewers should know the emergency procedures and be prepared to follow them, should the need arise. This card provides information for Southwest Interviewers.

44. SWW - RESOURCE LIST
This Resource List is to be provided for each person who participates in this project. This particular list is for those who live on or near the Southwest tribe.

45. NORTHERN PLAINS TRIBE 1 - EMERGENCY PROCEDURE CARD
This card is provided as a quick reference for Interviewers to use in emergency situations. All Interviewers should know the emergency procedures and be prepared to follow them, should the need arise. This card provides information for Northern Plains tribe Interviewers.

46. NORTHERN PLAINS TRIBE 1 - RESOURCE LIST
This Resource List is to be provided for each person who participates in this project. This particular list is for those who live on or near the Northern Plains tribe 1 Reservation.
47. NORTHERN PLAINS TRIBE 2 - EMERGENCY PROCEDURE CARD
This card is provided as a quick reference for Interviewers to use in emergency situations. All Interviewers should know the emergency procedures and be prepared to follow them, should the need arise. This card provides information for Northern Plains tribe Interviewers.

48. NORTHERN PLAINS TRIBE 2 - RESOURCE LIST
This Resource List is to be provided for each person who participates in this project. This particular list is for those who live on or near the Northern Plains tribe 1 Reservation.

49. INTERVIEW COMPLETION CHECKLIST
This form is completed by the Interviewer and used by the DCC when reviewing a newly completed interview packet. The packets must be reviewed as soon as the interview is completed so that if a form is overlooked by the Interviewer (for instance, the Participant Consent Form), it can be corrected while the respondent is still present.

50. INTERVIEWER PAY LOG
This form may be used by the Interviewer to keep track of completed interviews. The form is updated every time an interview is completed—a completed interview includes all properly filled out paperwork. The completed form must be turned in to the DCC several days before the pay period cutoff in order to be processed in time for payment. On one side of the form, the Interviewer and DCC will record pertinent information regarding the time an Interviewer worked. At the top of the form an Interviewer should write in his/her name and the month that work is done. Below the name and date blanks are four columns that are used to record the date an interview is completed, the respondent ID from the label on the Interviewer Contact Form, the rate of pay for an interview, and the initials of the DCC to indicate approval of the information provided. Other time worked, as well as leave taken, should be recorded in the provided blanks. The reverse side of the Pay Log is used to calculate and document the distribution of pay by the Denver Administrative staff.

51. INTERVIEWER (HOURLY) PAYLOG
This form is used to keep track of time for locating and conducting the interviews; including waiting for respondent, rescheduling interviews and attending staff meetings. The interviewer will include the Subject ID for location, interview, or rescheduling. The completed form must be turned in to the DCC several days before the pay period cutoff in order to be processed in time for payment. On one side of the form, the Interviewer and DCC will record pertinent information regarding the time an Interviewer worked. At the top of the form an Interviewer should write in his/her name and the month that work is done. Below the name and date blanks are four columns that are used to record the date an interview is completed, the respondent ID from the label on the Interviewer Contact Form, the rate of pay for an
interview, and the initials of the DCC to indicate approval of the information provided. Other time worked, as well as leave taken, should be recorded in the blanks provided. The other side of the Pay Log is used to calculate and document the distribution of pay by the Denver Administrative staff.

52. **LOCATOR (HOURLY) PAYLOG**

This form is used by the Locators to keep track of how much time they work to locate respondents, schedule appointments, attend staff meetings, office hours and other duties as needed. The completed form must be turned in to the DCC several days before the pay period cutoff in order to be processed in time for payment. On one side of the form, the Interviewer and DCC will record pertinent information regarding the time an Interviewer worked. At the top of the form an Interviewer should write in his/her name and the month that work is done. Below the name and date blanks are four columns that are used to record the date an interview is completed, the respondent ID from the label on the Interviewer Contact Form, the rate of pay for an interview, and the initials of the DCC to indicate approval of the information provided. Other time worked, as well as leave taken, should be recorded in the blanks provided. The other side of the Pay Log is used to calculate and document the distribution of pay by the Denver Administrative staff.

53. **INTERVIEWER PAY LOG CHART**

This chart is provided to give employees a quick reference for procedures regarding payroll. The procedures must be adhered to in order for employees to be paid on time. Any questions or concerns should be addressed immediately to avoid delayed or erroneous payment.
As the number of projects in the field grows it becomes increasingly important to maintain good communication within and between offices, both in Denver and the Field. Shared resources, such as space, staff and equipment, make it vital that we all continue our work on improving and streamlining the lines of communication. Good communication can not only save time, it can prevent problems.

As a reminder, Data Collection Coordinators (DCCs) and Field Office Directors (FODs) work together with a Field Coordinator (FC) to accomplish the work of each project, with the DCCs having the primary responsibility for the day-to-day operation of these projects. It should be noted that the job descriptions for the DCCs and FODs overlap sometimes. When this is the case, the common tasks are the responsibility of the DCC with the FOD providing backup.

While the DCCs are primarily responsible for the day-to-day operation of one project, the FODs in the different sites have responsibilities to several projects at a time. For example, as of now, Lorette is responsible for Choices, SUPERPFP and the TeleHealth/TeleEducation Project; Tilda works on SUPERPFP, Corner 1&2, and Telehealth/TeleEducation; and Ann is responsible for SUPERPFP, TeleHealth/TeleEducation, and the Clinical Sub-study. In addition, FODs also serve as liaisons between Denver and the communities in which they work. Basically, it is up to the FODs to work where they are needed. We do not want to restrict an FOD’s available time for a project by how her salary is apportioned. It is important for FODs to keep all interested FODs, DCCs, and FCs informed about their workload. In the case of Northern Plains tribe 1, it is important for Angie and Nichole to keep each other informed about their projects, schedules, and workloads. Additionally, it is important for all FCs to communicate with each other about staffing needs for the projects they coordinate. All lines of communication are essential to further the work of each research project.

Written communication from and to the field can be classified as either Weekly Reports or Minutes of meetings and/or phone calls. It is essential to the communication flow for these documents to be completed and forwarded in a timely manner. With this in mind, the Field Coordinators have looked at the current communication structure and developed the following protocol to outline who is responsible for which communication piece and to whom these Reports and/or Minutes should be sent from the Field via e-mail or fax. If reports or minutes are faxed, please include all staff who should receive a copy on the cover sheet. The primary person listed on the cover sheet will take responsibility of copying and
distributing to the others listed. DCCs are responsible for printing and distributing information for interviewers and locators.

**FOD Responsibilities:**
FODs are responsible for communicating the following to the specified people. When one person’s name is underlined, that person should be contacted first. If that person is unavailable then the other people listed should be contacted.

Please note that some of the following have “and” to include more than one person in the original transmission of information.

1. Administrative issues (e.g. paylogs, mileage reimbursements, benefits, lease questions, fax/copier problems, etc.) – FCs, Project Directors, and Lori
   Minutes from the FOD weekly staff meeting – DCC, Interviewers, FCs and Project Directors
2. CI3 or SUPERPFP questionnaire - Shelly Senner and/or Suzell Klein (always notify the FC) CHOICES instrumentation implementation – Amy Dethlefsen
   CA12 measures - Louellyn
3. Computer and/or laptop problems – Shelly Senner, Rhonda Dick
4. Data shipments (SUPERPFP) - TBN (Suzell for now) or Suzell Klein (CHOICES, RANG) – Amy Dethlefsen
5. Personnel issues (e.g. hiring/termination issues, personnel problems, requests for medical leave, etc.) – FCs, Project Directors, and Lori
6. Quality Control issues should be referred to (SUPERPFP) – Suzell, (CHOICES, RANG) – Amy, (CA12) - Louellyn
7. Reports or minutes from all other relevant activities (such as interview results, questions, concerns or problems) - FCs and Project Directors
8. Supply or purchase requests – FC and Project Director (To make a purchase other than routine supplies, the FOD must write a memo requesting either the funds for the purchase or that the purchase be made in Denver. The memo should include all costs involved, justification for the purchase, and alternatives when available. The memo should go to the FC who will forward the request to the appropriate Project Director. The Project Director will notify Tina Mitchell if cost sharing across the various projects is necessary. The request will be forwarded to the Executive Committee when the Project Director and Principal Investigator are unable to make a decision independently.)
9. Tracking Database questions (SUPERPFP)--( Ellen and CC Suzell )
   (CHOICES)—Ellen and Amy (CA12) Louellyn
<table>
<thead>
<tr>
<th><strong>FOD Lines of Communication</strong></th>
<th><strong>Type of Communication</strong></th>
<th><strong>Primary Recipient(s)</strong></th>
<th><strong>Secondary Recipient(s)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>All projects</strong></td>
<td>Administrative issues –</td>
<td>The FC, Project Director, and Lori</td>
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<tr>
<td></td>
<td>(e.g., paylogs, mileage reimbursements, benefits, lease questions, fax/copier problems, etc.)</td>
<td></td>
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<tr>
<td>Computer and/or laptop problems</td>
<td>Shelly Senner</td>
<td>Rhonda Dick</td>
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<tr>
<td>Minutes from the FOD weekly staff meeting</td>
<td>DCC, Interviewers, FC and Project Director</td>
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<tr>
<td>Personnel issues (e.g. hiring/termination issues, personnel problems, requests for medical leave, leave reports, etc.)</td>
<td>The FC, Project Director, and Lori</td>
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<tr>
<td>Reports or minutes from all other relevant activities (such as activity report, interview results, questions, concerns or problems)</td>
<td>The FC and Project Director</td>
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<td>Sick time</td>
<td>“real person”</td>
<td>FC</td>
<td></td>
</tr>
<tr>
<td>Supply / purchase requests</td>
<td>FC and Project Director</td>
<td>T. Mitchell (cost sharing) Executive Committee</td>
<td></td>
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<td><strong>CA12</strong></td>
<td>Quality Control issues (CA12)</td>
<td>Louellyn</td>
<td>Diana</td>
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<tr>
<td></td>
<td>Questionnaire -- CA12 measures</td>
<td>Louellyn</td>
<td>Diana</td>
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<tr>
<td></td>
<td>Tracking Database questions (CA12)</td>
<td>Louellyn</td>
<td></td>
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<tr>
<td>Type of Communication</td>
<td>CHOICES, RANG</td>
<td>Secondary</td>
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<tr>
<td>Data shipments (CHOICES, RANG)</td>
<td>Amy Dethlefsen</td>
<td>Ellen</td>
<td></td>
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<tr>
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<td>Ellen</td>
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<tr>
<td>Questionnaire – CHOICES instrumentation implementation</td>
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<td>Ellen</td>
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<tr>
<td>Tracking Database questions (CHOICES)</td>
<td>Amy Dethlefsen</td>
<td>Ellen</td>
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<thead>
<tr>
<th>Type of Communication</th>
<th>SUPERPFP</th>
<th>Secondary</th>
</tr>
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<tbody>
<tr>
<td>Data shipments (SUPERPFP)</td>
<td>TBN (Suzell for now)</td>
<td>Suzell</td>
</tr>
<tr>
<td>Quality Control issues (SUPERPFP)</td>
<td>TBN (Suzell for now)</td>
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<tr>
<td>Questionnaire (SUPERPFP) or Ci3</td>
<td>Shelly Senner and/or Suzell Klein</td>
<td>The FC</td>
</tr>
<tr>
<td>Tracking Database questions (SUPERPFP)</td>
<td><strong>Ellen (until new person is hired)</strong></td>
<td>Suzell</td>
</tr>
</tbody>
</table>
**DCC Responsibilities**

DCCs are responsible for communicating the following to the specified people. When one person’s name is underlined, that person should be contacted first. If that person is unavailable then the other people listed should be contacted.

Please note that some of the following have “and” to include more than one person in the original transmission of information.

1. Administrative issues (e.g. paylogs, mileage reimbursements, benefits, lease questions, fax/copier problems, etc.) – FCs, FOD, and Lori
2. Ci3 or SUPERPFP questionnaire - Shelly Senner and/or Suzell Klein (always notify the FOD and FC of these problems) (CHOICES) – Amy Dethlefsen (CA12) - Louellyn
3. Computer and/or laptop problems – Shelly Senner, Rhonda Dick. Suzell Klein may also be able to assist in SUPERPFP related matters. Always include the FOD and FC in these communications.
4. Data shipments (SUPERPFP) – FOD, TBN (Suzell for now) or Suzell Klein (always notify the FC of any problems or concerns) (CHOICES) – Amy Dethlefsen (CA12) - Louellyn
5. FCC Minutes from Denver – all staff
6. Leave requests for both DCC and Interviewers – FOD and FC. (FOD will notify Lori Trullinger of actual time taken, after it has been taken.) In Northern Plains tribe 1, both Angie and Nichole will need to “sign off” on the office assistant’s leave
7. Minutes from DCC to DCC weekly phone call – FC and FOD
8. Minutes of staff meetings with interviewers – Interviewers, FC and FOD
9. Paylogs—FC. (In Northern Plains tribe 1, Nichole and Angie should both initial the paylog of the office assistant.)
10. Personnel Issues (e.g. hiring/termination issues, personnel problems, requests for medical leave, etc.) – FCs, FOD, and Lori
11. Policy Memos – all staff
12. Reports or minutes from all other relevant activities (such as interview results, questions, concerns or problems) – FCs, FOD, and Project Directors
13. Sick time—All staff except for interviewers need to contact a “real person” (rather than just an answering machine) to report that they will be out. (In the past, if someone left a message only on a field office machine and no one else was in the office, that message was never conveyed to the FC.) If a non-FC staff member receives such a message, he/she should let the FC know.
14. SUPERPFP POT Minutes from Denver – all staff
15. Supply purchase requests – FOD
16. Tracking Database questions (SUPERPFP and CHOICES)--FOD and (CA12) - Louellyn
17. Weekly Conference Call Minutes from FC – all staff
18. Weekly Progress Reports – FC, Interviewers, FOD, and Suzell Klein for SUPERPFP
19. Weekly Reports of individual meetings with interviewers – FC and FOD
20. Weekly schedule (calendar for SUPERPFP) - FOD and FC

**DCC Lines of Communication**

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Administrative issues – (e.g. paylogs, mileage reimbursements, benefits, lease questions, fax/copier problems, etc.)</td>
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<tr>
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<td><strong>Shelly Senner</strong></td>
<td>Rhonda Dick</td>
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<td>FCC Minutes from Denver</td>
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<tr>
<td>Minutes of staff meetings with interviewers</td>
<td>Interviewers, FOD and FC</td>
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</tr>
<tr>
<td>Paylogs</td>
<td>FC (In PR, Nichole and Angie both initial office assistant paylog)</td>
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<td>Supply purchase requests</td>
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<td>Weekly Reports of individual meetings with interviewers</td>
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<tr>
<td>Weekly Schedule</td>
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<td>CA12</td>
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<td>Quality Control issues (CA12)</td>
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<td>Diana</td>
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<td>Data shipments (CHOICES, RANG)</td>
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<tr>
<td>Tracking Database questions (CHOICES)</td>
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### DCC Lines of Communication Con’t

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<tr>
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<tbody>
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<td>FOD, TBN (Suzell for now)</td>
<td>Suzell, FC</td>
</tr>
<tr>
<td>Quality Control issues (SUPERPFP)</td>
<td>FOD, TBN (Suzell for now), FC</td>
<td>Suzell</td>
</tr>
<tr>
<td>Questionnaire (SUPERPFP) or Ci3</td>
<td>FOD, Shelly Senner and/or Suzell Klein</td>
<td>FC</td>
</tr>
<tr>
<td>SUPERPFP POT Minutes from Denver</td>
<td>all staff</td>
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</tr>
<tr>
<td>Tracking Database questions (SUPERPFP)</td>
<td>FOD, Ellen</td>
<td>Suzell</td>
</tr>
<tr>
<td>Weekly Progress Reports (SUPERPFP)</td>
<td>FC, Interviewers, FOD</td>
<td></td>
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</tbody>
</table>

Although direct communication may be the preferred mode, in most cases it is best to communicate via email. All FODs, DCCs, and FCs should respond to emails directed specifically to them within 24 hours, even if it is to say that they are “working on it” and they should respond to all points in the emails. All interested staff, such as the FOD, DCC, FCs, and Project Directors, should be cc’d for two main reasons: 1) to maintain open communication, and 2) to be able to “fill in” for the intended main recipient of the email, in case s/he is not available to answer the email or to be able to provide further information and/or clarification. When in doubt, cc anyone who should reasonably know about a given situation. An exception to this would be if the topic involves sensitive and confidential information. In that case, keep the email between you and your supervisor and your supervisor will decide who should be included in any further emails.
Auto Liability Insurance

University policy requires that all employees have auto liability insurance if they drive their private vehicles on University-related business. When a private vehicle is used on University business, the owner’s insurance is primary and the University’s insurance is excess. In other words, if an employee is involved in an accident while driving his/her vehicle on the job, the University’s auto liability insurance will provide coverage if the limits of the primary insurance maintained by the vehicle owner are exceeded. Although we realize that requiring auto liability insurance may be an economic hardship for some, we must comply with the law which makes this insurance mandatory. Therefore, effective immediately:

- All new employees will be informed at the time of interview and again at hiring that proof of insurance is a condition of employment.
- All current employees must provide proof of insurance by completing an Agreement Regarding Use of Private Vehicle form by January 31, 1998, which form will be kept on file in Denver.

Employees for whom driving is not required, as well as anyone who does not own a car, are exempt. Exemptions must be approved by the Executive Committee.
University of Colorado Health Sciences Center

Agreement Governing Use of Private Vehicle on Official University-Related Business

In consideration of the payment to me by the University of a reimbursement allowance for mileage, or shared expenses paid to me by passengers for the use of my private vehicle for official University-related business, I hereby agree to the following:

1. I shall drive my privately owned vehicle on official University-related business only with knowledge and written consent of my department or unit head. I currently hold a valid driver’s license.

2. I certify that the required minimum insurance coverage is currently in force, and will be maintained on the vehicle during the period of its use on official University-related business, to protect myself, anyone to whom I give permission to drive, and all passengers. I understand that the current mileage reimbursement rate includes a factor for a prorata share of the insurance premium.

3. I shall report all details of any accident incurred while operating my vehicle on University-related business to the approving authority indicated below within twenty-four hours of the accident. The appointing authority shall, in turn, send a copy of the report to UCHSC Risk Management, Box F437.

4. I understand that if my vehicle is involved in an accident or is otherwise damaged while being operated on University-related business, the University will not pay for any repairs to the vehicle. Further, I understand that I am required to maintain my vehicle in good repair and in safe operating condition at all times while on University-related business. I understand the necessity of driving in a responsible manner and in accordance with defensive driving precepts, with due regard for the safety and property of others.

5. My vehicle liability insurance policy, subject to the terms of said policy, need not be classified for commercial use for University-related business; however, in the event that use of my vehicle for University-related business becomes an issue with my insurance company, then it shall be my responsibility to resolve such matters.

6. I understand that it is my responsibility to maintain on file in my Department current insurance information as to carrier, policy number, and dates when the policy is in force. Further, I understand that travel reimbursement is contingent upon maintaining appropriate insurance coverage.

Date:____________________       Signature:_________________________________________

Print Name:_________________________________________________________________

Name of Insurance Company:___________________________________________________

Policy Number:_________________________    Date of Expiration:___________________
The National Center operates under both Federal and State of Colorado alcohol and drug policies. As part of our Federal funding we must demonstrate our commitment to maintaining a drug-free workplace. If we prove negligent in this regard, our funding may be revoked. We operate under similar guidelines with the State of Colorado mandates.

The state and federal drug and alcohol policies are as follows:

1. Use of illicit drugs, either in the workplace or during non-business hours, is prohibited.
2. Use of alcohol in the workplace is also prohibited. In fact, a special permit is required if alcohol is to be served at any function.
3. If alcohol or drug use is discovered during business hours, the supervisor must counsel the employee to receive treatment. If treatment is declined or the problem persists, the employee may be reprimanded, suspended, given a salary reduction, demoted or terminated.
4. If alcohol abuse while not at work is negatively influencing the employee's performance, the supervisor must counsel the employee to receive treatment. If treatment is declined or the problem persists, the employee may be reprimanded, suspended, given a salary reduction, demoted or terminated.
5. If any drug use while not at work is discovered, the supervisor must counsel the employee to receive treatment. If treatment is declined or the problem persists, the employee may be reprimanded, suspended, given a salary reduction, demoted or terminated.

These policies represent minimum requirements. Each program and institution is authorized to adopt more restrictive measures. Given the enormous negative impact that alcohol, in particular, has caused in many Indian and Native communities, the NCAIANMHR emphasizes the following.

1. The phrase "during business hours", in the context of the NCAIANMHR's mission, means whenever the employee is engaged in Center-related activities for which s/he is being compensated, regardless of the time of day.
2. The phrase "at work", in the context of the NCAIANMHR's mission, means wherever the employee is engaged in Center-related activities for which s/he is being compensated, regardless of the location.
3. The phrase "negatively influencing the employee's performance", in the context of the NCAIANMHR's mission, includes not only actual behavior, but extends to appearances (e.g., smell on breath or clothing) that may convey an undesirable image to the public.
4. Any occurrence of the above is the responsibility of all employees to report to his/her immediate supervisor, who, in turn, must document the incident as well as report it to his/her superiors for subsequent follow-up.

The NCAIANMHR is deeply concerned about the abuse of and/or dependence on alcohol and other substances. We suggest that all staff, as a general rule of thumb, refrain from drinking in situations in which they are likely to been seen as representing the NCAIANMHR. We are committed to helping those who wish help with an alcohol problem. Appropriate referrals will be provided to the employee and all reasonable steps taken to assist him/her in obtaining needed treatment.
NCAIANMHR FIELD OFFICE SUPPLIES POLICY

I. FIELD OFFICE PROCEDURES

A. BASIC SUPPLIES: regular office supplies that are used in general office duties and across multiple research projects.

1. The following list identifies “basic supplies” that could be kept on hand, if needed, for routine, general office business.

   - Pens
   - Scissors
   - Pencils
   - Staplers and staples
   - Erasers
   - Paper Clips
   - Note pads
   - “Post-It” Notes
   - Rubber Bands
   - Tape Dispenser and tape
   - Paper (photocopiers, printers, faxes)
   - Glue
   - File folders (for general office use)
   - Calendars
   - Photocopier toner
   - Printer Ribbons

2. Office supplies should only be requested from Denver if they cannot be found locally, or if the local price is unusually high.

3. After supplies are purchased, an itemized list of the supplies and the original receipt should be forwarded to the appropriate Denver staff person for review, indicating that these are “Basic Supplies”. If supplies are purchased from Canyon Office Supplies, however, only an itemized list of the supplies should be sent to the appropriate Denver staff person for review. Send this information to:

   - Northern Plains tribe 1 – Carlette Randall
   - SWW - Amy Dethlefsen
   - Northern Plains tribe 2 - Carlette Randall
   - SWE – Paula Espinoza
   - Other towns on reservation – Louellyn White

4. Items not on the above list above but that would be used across projects or for general office duties, should not be purchased until receiving approval from a Field Coordinator. Follow the same procedure above when purchasing these items.

B. SPECIAL SUPPLIES – Out-of-the-ordinary (non-basic) supplies needed for a specific purpose. Generally for a specific task of one research project and these receipts should go to the project’s field coordinator.

1. Special supplies are purchased for a specific research project or are for general office use but not on the list above (e.g. space heaters). Authorization must be received from the appropriate project field coordinator before purchasing such items. After purchase, an itemized list for these supplies is sent to the appropriate Denver staff person (see point I. A. 4.),
indicating they are “Special Supplies” and noting the research project to be charged.

2. Special supplies, as with basic supplies, should be purchased locally if possible and only requested from Denver if they cannot be found or the price is extraordinarily high.

3. If “Special Supplies” are being purchased in the same trip with the purchase of “General Supplies”, do not mix the items in one order. Separate the items with 2 orders. The same applies if one shopping trip is made for two projects and/or one shopping trip is made for two field offices. Please separate the items and have them rung up on different receipts.

C. SPENDING LIMITS – Each office has a budget of $50 a month available for basic shared supplies. Again, items that are project specific require prior approval.

II. DENVER STAFF PROCEDURES

A. SUPPLIES PURCHASED FROM A FIELD OFFICE VENDOR
   1. After receiving the itemized list of supplies and the original receipt, review to ensure the items are appropriate. If there are concerns, communicate these back to the field office, possibly asking them to return inappropriate items.
   2. Before submitting the receipt to Roslyn, copy the receipt for the field coordinators that work with that particular office for their approval.
   3. Pass the approved receipt to Roslyn with an “OK” and your initials. Be sure to note if the supplies are “project-specific” or “basic” and to note which project should be charged.

B. FIELD OFFICE REQUEST FOR SUPPLIES FROM DENVER
   1. If supplies are not available from field site vendors or the cost is prohibitive, field offices may request the items be purchased in Denver. Do not take supplies from Denver office supply closet. Instead, place an order with Jennifer W., indicating which field office will receive the supplies and whether they are Basic or Special supplies.
   2. Jennifer W. will place the order. If the order is for Special Supplies, charge the project requesting the supplies. If the Center account is charged, indicate whether it’s for Ctr, CA12 or CA3.

III. FISCAL PROCEDURES

A. INVOICES RECEIVED FROM FIELD VENDORS
   1. Upon receipt of an invoice from the field office vendors, Roslyn will reconcile with the paperwork received from Denver-based field representatives.
2. Basic Supplies for SWW, Northern Plains tribe 1, SWE and other towns on the reservation are “Shared Field Costs” and should be added to the shared field expense worksheet: fldsplit.xls Basic Supplies for Northern Plains tribe 2 are totally charged to Superpfp and not included in the fldsplit worksheet.

3. “Special Supplies” are charged to the requesting research project’s account. They are not included in the fldsplit worksheet.