The Office of Research Integrity (ORI) of the U.S. Department of Health and Human Services has the responsibility of overseeing and directing Public Health Service (PHS) research integrity activities. As part of that mission, they work with research integrity officers on university campuses to investigate allegations of research misconduct. Findings by ORI that a scientist has engaged in scientific misconduct can lead to debarment from eligibility to receive Federal funds for grants and contracts. The June 2002 newsletter of the ORI printed the following: “Can fabrication or falsification of data by lowerrlevel staff who conduct surveys or interviews or administer questionnaires with human subjects constitute scientific misconduct? The answer is ‘yes.’”

To launch a dialogue with the survey profession, ORI together with the University of Michigan held a summit on interviewer falsification in April 2003. This summit produced the statement on best practices printed below.

After the Ann Arbor Summit on Interviewer Falsification, the Executive Council of the American Association for Public Opinion Research and the Executive Committee of the American Statistical Association, Survey Research Methods Section, endorsed the statement of best practices.

In late 2003, ORI presented findings of scientific misconduct against three survey interviewers (Sheila Blackwell, Khalilah Creek, and Lajuane Woodard); their cases are described on the ORI Web page: http://ori.dhhs.gov/html/misconduct/casesummaries.asp.

On April 30, 2004, the research integrity officers of the university members of the Committee on Institutional Cooperation (University of Chicago, University of Illinois, Indiana University, University of Iowa, University of Michigan, Michigan State University, University of Minnesota, Northwestern University, Ohio State University, Pennsylvania State University, Purdue University, University of Wisconsin) met in Chicago to discuss practical implementation of the ORI decision with ORI staff. The group is working on methods that define thresholds of severity of falsification and definitions of staff roles on a survey that might dictate the level of administrative actions taken by the campus research integrity officer and the ORI. That group’s work is aimed at offering practical guidance to the survey profession on what procedures to follow when falsification by interviewers is suspected.

Bob Groves
University of Michigan and
Joint Program in Survey Methodology

Interviewer Falsification in Survey Research:
Current Best Methods for Prevention, Detection, and Repair of Its Effects

1. PREFACE

Survey researchers have an obligation to truth in data collection and in reporting of survey results. Throughout the design, data collection, and processing protocol of the survey, they must be committed to protecting the integrity of research data. To be effective, the commitment must extend beyond the principal researcher to all survey staff, including interviewers.

If interview data do not reflect the answers or characteristics of the respondent but rather are the invention of the interviewer, data integrity is directly affected. Hence, the survey researcher must work to prevent and detect falsification of research data by survey interviewers. When falsification is detected, the survey researcher must attempt to repair the damage.

In much of survey research, data collectors or interviewers are part-time, temporary employees with
limited tenure in the organization. They generally do not participate in the design of the sampling protocols and the questionnaire, nor do many have prior training in scientific research ethics. Nevertheless, it is vital to data integrity that interviewers strictly adhere to protocols and avoid falsification in any form.

Survey organizations can prevent or reduce interviewer falsification by providing a supportive environment for interviewers, designing studies appropriately, maintaining conspicuous deterrents, proactively seeking to detect any instances of falsification, and responding firmly and speedily to interviewer misconduct. Together, these actions create an environment of organizational integrity that will keep interviewer falsification rare and minimize its potential harm to data.

2. WHAT IS INTERVIEWER FALSIFICATION?

"Interviewer falsification" means the intentional departure from the designed interviewer guidelines or instructions, unreported by the interviewer, which could result in the contamination of data. "Intentional" means that the interviewer is aware that the action deviates from the guidelines and instructions. Falsification includes:

a. Fabricating all or part of an interview—the recording of data that are not provided by a designated survey respondent and reporting them as answers of that respondent;
b. Deliberately misreporting disposition codes and falsifying process data (e.g., the recording of a refusal case as ineligible for the sample; reporting a fictitious contact attempt);
c. Deliberately miscoding the answer to a question in order to avoid follow-up questions;
d. Deliberately interviewing a nonsampled person in order to reduce effort required to complete an interview; or
e. Otherwise intentionally misrepresenting the data collection process to the survey management.

Thus, there is a continuum of severity of falsification. Some incidents of falsification can seriously damage the statistical conclusions of the survey. Others lead to more minor damage.

This statement of current best methods focuses on minimizing falsification of survey data. However, it does not address acts of falsification by survey staff other than interviewers (e.g., project leaders, sampling statisticians, interviewer supervisors, coders, data processors). It omits other types of interviewer falsification that affect the employer-employee relationship (e.g., misreporting hours worked). Similarly, falsification of data does not include the common and unintentional errors of measurement that arise in the question-answer situation or mistakes by the interviewer in recording answers due, for example, to failure to understand or remember the protocol. It requires the interviewer to know that the data being recorded are false at the time they are recorded or to become aware of this after the fact and not acknowledge the errors. Thus, determining that falsification has taken place involves some judgment about the intention of the interviewer.

Prevalence of Falsification. Interviewer falsification has long been recognized in survey research, both in the published literature and in the professional practices that have been developed over the years to prevent and detect it. Certain characteristics of interviewers, characteristics of respondents or sampled units, and features of the interview task affect the likelihood that falsification will occur. The various processes, practices, and incentives all play roles in making falsification more or less likely.

The survey profession has developed highly effective means for the prevention, deterrence, detection, and correction of falsification in its various forms. These tools are standard practice for most large survey projects, especially those that are federally funded and conducted by established survey organizations. This statement of current best methods reflects the accumulated experience and prevailing practices of organizations that have developed effective methods to enhance interview quality.

The various control practices are actively followed in most survey organizations, so the prevalence of falsification is quite low. The literature suggests that where appropriate methods are used, interview falsification is rare, involving only a small percentage of interviewers and a substantially smaller percentage of interviews. Still, most survey organizations acknowledge that they have experienced falsification on one or more studies they have undertaken over the years.

Acts of falsification by one or a handful of interviewers—while always a serious breach of the norm of data integrity—rarely threaten the overall study objectives or alter findings in any significant or meaningful way. Because of the way interviewer assignments are made, falsification of an interview or sample contact does not contaminate data collected by the vast majority of interviewers who faithfully follow the protocol. There have been occasions when falsification in a survey is substantial and widespread, but these situations are highly unlikely in studies that follow the methods described in this document. Whenever falsification is detected, survey researchers have an obligation to attempt to repair the integrity of the data.

Interviewer-assisted data collection typically occurs in two environments—centralized telephone facilities and through face-to-face contact of sample members in the field. Differences in these two environments affect the ability to prevent and detect interviewer falsification. For instance, falsification can occur in both settings, but implementing procedures that prevent and detect falsification are more readily accomplished in centralized telephone facilities where behavior can be observed and monitoring of interviewers is routine, feasible, and less costly. Most practitioners believe that falsification is more rare in surveys that are conducted exclusively in
centralized telephone facilities than in those conducted by dispersed field staff. As will be described below, the recommended detection and deterrence measures differ between these data collection modes.

Obviously, interviewer falsification is nonexistent in self-administered surveys that are sent directly to respondents, either on paper or electronically, and directly returned. However, falsification is possible when interviewers are tasked with distribution and collection of self-administered instruments in the field.

3. WHAT ARE EFFECTIVE WAYS OF PREVENTING FALSIFICATION?

Data integrity is a product of organizational integrity. As with all quality assurance processes, the assurance of data integrity in survey research has many components. In interview studies, these include

a. Articulation of values, goals, and rules by research managers and supervisory personnel;
b. Selection and training of interviewers;
c. The manner in which interviewers are compensated, supervised, evaluated, and rewarded;
d. Overall project design and budget;
e. The design and execution of programs of deterrence and detection, including the use of advanced technologies;
f. Appropriate use and analysis of process data and data from actual interviews to detect anomalies; and
g. Appropriate actions in response to suspected and proven instances of falsification.

Effective control of falsification is not the result of any single method but of the combined aspects of the study-specific environment in which interviewers conduct their work.

Researchers often require interviewers to obtain very high response rates from reluctant populations, to use complicated and long questionnaires, to take auxiliary measurements, and to accomplish these tasks efficiently. Indeed, many of these decisions are made to maximize the quality of the survey results. Unfortunately, they have the undesirable consequence of increasing interviewer stress and thus the risk of falsification.

Examples of organizational factors that may affect the prevalence of interviewer falsification include the following:

a. Hiring and training practices that ignore falsification threats,
b. Inadequate supervision,
c. Lack of concern about interviewer motivation,
d. Poor quality control,
e. Inadequate compensation,
f. Piece-rate compensation as the primary pay structures,
g. Excessive workload, and
h. Off-site isolation of interviewers from the parent organization.

Family pressures, financial problems, and health issues also can affect job performance. Such stresses can contribute to the risk of interviewer falsification. Attentive supervisors may note these circumstances and can take steps to minimize falsification risks.

Preventing Interviewer Falsification. Researchers can promote conditions that prevent interviewer falsification by creating an organizational environment that encourages honesty, discourages falsification, enhances morale, and values data quality.

To reduce the risk of falsification, organizations should consider several procedures. They should inform clients about the problems of burdensome survey instruments. They should include information about the prohibition of falsification in recruiting, hiring, training, and supervising interviewers. When hiring interviewers, reference checks are recommended, and criminal background checks may be advisable. Organizations should require all newly-hired interviewers to sign a pledge of ethical behavior and should describe the consequences of falsification. The pledge should describe the importance of data integrity and the consequences to interviewers of falsifying data.

Organizations should acknowledge that production quotas, some pay structures, and the use of production incentives may increase the probability of falsification. These protocols are necessary and desirable in some situations, but the falsification detection procedures should reflect the increased risk inherent in these situations.

A primary way organizations can prevent falsification is through observation and verification. Organizations must inform interviewers that their work will be monitored and/or verified, as this awareness can serve as an effective deterrent to falsification.

4. WHAT ARE EFFECTIVE WAYS OF DETECTING FALSIFICATION?

Fabricated interviews are generally easier to detect than falsification of individual data elements. Since detecting the latter requires more extensive verification, there is an inherent tension between controlling costs of verification efforts and increasing the probability of detection.

Procedures for detecting interviewer falsification include observation of the data collection process,
recontacting respondents, and ongoing review of administrative, process, and interview data. These methods typically are implemented by a supervisor, an independent interviewer, and/or another more highly trained and experienced staff member. All staff involved in these activities should have an unquestioned commitment to the identification of falsification.

**Observational Methods.** “Observation” means that another staff member sees or hears interactions between interviewers and respondents. Common observational methods include silent monitoring (e.g., audio, visual, screen capture) in centralized phone facilities and audio taping or digital audio recording in field surveys. Where monitoring is used, interviewers must know that they will be monitored but should not know when they will be monitored. In centralized facilities, unobtrusive monitoring is usually a key part of routine quality control, mostly focusing on observing compliance with interviewing guidelines. In these facilities, monitoring alone is generally sufficient for detection and deterrence of falsification.

**Recontact Methods.** Recontact methods to detect falsification generally are used in field surveys. Common modes of recontacting respondents include mail, telephone, and face-to-face. Once an interview has been completed, the recontact efforts should commence as soon as possible. There are consistent differences among the three methods on cost and recontact response rates. Face-to-face is the most expensive mode, yet it generally achieves the highest response rates; mail is least expensive and generally achieves the lowest response rates. Whereas face-to-face recontact is preferable, a mixed-mode approach that includes a face-to-face component is often more cost-effective. For cases where recontact by phone is not possible, face-to-face verification is recommended over mail methods.

**Data Analysis Methods.** Data analysis for the purpose of detecting falsification includes identification of outliers on interview length, disposition coding, daily or weekly production, and key questionnaire items. Data analytic methods permit the organization to target interviewers and respondents. Common observational methods include silent monitoring (e.g., audio, visual, screen capture) in centralized phone facilities and audio taping or digital audio recording in field surveys. Where monitoring is used, interviewers must know that they will be monitored but should not know when they will be monitored. In centralized facilities, unobtrusive monitoring is usually a key part of routine quality control, mostly focusing on observing compliance with interviewing guidelines. In these facilities, monitoring alone is generally sufficient for detection and deterrence of falsification.

**Selection Procedures.** Observation and verification procedures should apply to all interviewers and continue throughout the entire data collection period. Typically, 5-15% of the interviews are monitored and/or recontacted. Identifying cases for verification should include a combination of both random selection (using probability sampling) and targeted selection. The random portion of the observation/verification sample should be designed to provide estimates of the prevalence of falsification. The targeted portion is focused on detection (e.g., identifying suspicious cases and investigating whether falsification occurred). To identify unusual and suspicious outcomes, survey researchers can review process and administrative data, as well as data from completed interviews. In many cases, new interviewers are given more attention. Similarly, more attention often is given during the start-up and again during the concluding phases of the survey field period.

Longitudinal surveys, where the same unit is interviewed repeatedly over time, may require special recontact designs in consideration of respondent burden.

**Recontact Questionnaires.** At a minimum, detection systems should make a determination of whether an interview actually took place. Once that is established, a small set of factual questions can be re-asked or confirmed, such as

- a. Household composition and/or other eligibility requirements;
- b. Mode of data collection;
- c. Length of interview;
- d. Payment of incentive, if any;
- e. Use of computer during data collection;
- f. Key topics discussed; and
- g. Key items, especially those that govern large skips in the interview.

5. **WHAT ARE EFFECTIVE ACTIONS TO TAKE WHEN THERE IS EVIDENCE OF FALSIFICATION?**

**Personnel Actions.** If falsification is suspected, survey researchers should conduct an investigation by reviewing other work of the interviewer in question. To protect the integrity of the data in instances where some evidence of falsification is obtained, the researcher should remove the interviewer in question from all data collection activities until the issue is resolved. If a preponderance of evidence indicates any falsification, the researcher should initiate personnel actions according to the organization’s policies. Researchers should know and follow the relevant personnel and research integrity policies and practices that apply to their organization. For serious or continuing falsification, the profession’s standard is dismissal without the possibility of rehire.

**Repair.** Survey organizations should not deliver data that are known to be falsified. When an interviewer is found to have falsified data, the researchers should remove all contaminated data and attempt to replace them with valid data where practical. Replacement is not always possible; for example, falsified data from a pre-election voter study cannot be replaced post-election.

6. **WHAT ARE APPROPRIATE PROCEDURES FOR DOCUMENTING AND DISCLOSING RESULTS OF FALSIFICATION DETECTION EFFORTS?**

As with all study procedures, researchers have an obligation to document and disclose the results of efforts aimed at preventing and detecting falsification. The researcher makes this information available as an important component of understanding the quality and accuracy of a survey. This typically would appear as part...
of the technical documentation. At a minimum, the documentation would include
a. The sample design and selection method for the monitoring and verification protocol—this would include the sampling rate and number of sample units for probability samples;
b. To the extent feasible, description of non-probability selection methods—the researcher can legitimately withhold from disclosure certain features of targeting procedures. For example, releasing the criteria on which targeting procedures are based could significantly weaken the effectiveness of the detection program;
c. The methods of detection employed—this would include the mode, procedure used (e.g., monitoring or recontact), and timing of the detection effort;
d. Summarized falsification detection results, including
   i. response rate, if appropriate. For example, if mail is used as part of a falsification detection program, the mail-back rate should be documented.
   ii. number of cases found to be falsified. This would include separate results for falsification of entire interviews and of selected questionnaire items.
   iii. documentation of the levels and methods of repair.
   iv. statistics on personnel actions (e.g., number and percent of interviewers dismissed because of falsification evidence).

The report should provide estimates of the falsification rate from the probability sampling components of falsification detection programs. For situations where non-probability methods (e.g., targeting) also are employed, discussions of falsification rates must distinguish between these sources of information.

By disclosing information about interviewer falsification and falsification control measures, survey organizations underscore their continuing commitment to data quality and research integrity.

NOTE: The Publications section of this issue of Survey Research (p. 15) contains a bibliography of articles discussing interviewer falsification.

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**CURRENT RESEARCH**

Further information on the studies described in this section should be obtained from the organizations conducting the studies at the addresses given at the beginning of each organization’s listing. Neither Survey Research nor the Survey Research Laboratory can provide this information. Study summaries are accepted by Survey Research with the understanding that additional information can be released to others.

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**ARIZONA**

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Statewide Public Opinion Research. This statewide RDD CATI survey of 1,308 registered voters was conducted in November and December 2003 for the Arizona Indian Gaming Association, an organization of 17 Arizona tribes. It was the first in a series of surveys that will examine statewide issues. Topics included the performance of elected officials, the Piestewa Peak renaming, the Arizona Democratic presidential primary, gaming behavior, and Indian gaming issues. **Director:** Fred Solop.

City of Flagstaff Bond Election Survey. This RDD CATI survey of 401 likely voters in Flagstaff was conducted in October 2003. Respondents were asked about their willingness to support 15 possible city bond projects to appear on a May 2004 ballot. **Director:** Fred Solop.

City of Flagstaff Citizen Survey. This fourth annual RDD CATI survey of 400 Flagstaff residents was conducted in December 2003. Respondents were asked...
about quality of life in Flagstaff, their satisfaction with municipal services, and transportation issues in the city. **Director:** Fred Solop.

**Community Foods Focus Groups.** Four focus groups were conducted in October 2003, with producers, consumers, and vendors of sustainable foods (n=44) on behalf of the Northern Arizona Univ. Center for Sustainable Environments. Participants discussed the challenges of producing, marketing, selling, and buying locally grown organic foods. **Director:** Fred Solop.

**ILLINOIS**

**National Opinion Research Center (NORC) University of Chicago**
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**National Survey of Health and Work Productivity.** NORC conducted this survey on behalf of the Health Institute, Tufts-New England Medical Center (NEMC), with a grant from Pharmacia Corp. Results will enable researchers to provide norms for leading health-related work productivity indicators, based on interviews completed by mail or phone in 2002–2003. The sample was based on all respondents to the 2002 General Social Survey who were employed at the time of the GSS interview or had worked in 2001 or 2002 (about 2,056). Multitiered respondent cash incentives were offered. Comparative analyses of mail vs. phone costs were done. **Principal Investigator:** Debra Lerner (NEMC), **NORC Project Director:** Robert Bailey.

**Survey Research Laboratory (SRL) University of Illinois at Chicago**
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312-996-5300, fax: 312-996-3358 or
505 E. Green St., Suite 3
Champaign, IL 61820-5723
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**Hope VI Panel Study Tracking.** To track residents of Chicago’s Ida Wells public housing project who are being relocated from the development but may not qualify for replacement housing, SRL conducted face-to-face interviews with 569 residents and 300 squatters. **Principal Investigator:** Susan Popkin (The Urban Institute), **Project Coordinator:** Isabel Calhoun Farrar.

**Neighborhood Violence Evaluation: Youth, Wave 2.** From June 12, 2003, through January 14, 2004, SRL conducted face-to-face interviews with youth age 15–22 in five Chicago neighborhoods (Austin, Logan Square, Southwest Cluster, South Chicago, and the 11th District) about neighborhood and domestic violence. Youth were interviewed at specific agencies in each neighborhood, and SRL completed 251 interviews. In Wave 1, SRL interviewed 214 youth in those neighborhoods. **Principal Investigators:** Gary Slutkin and Elena Quintana (Chicago Project for Violence Prevention, Univ. of Illinois at Chicago), **Project Coordinator:** Liz Clary.

**Univ. of Illinois at Urbana-Champaign (UIUC) Sports Survey.** Conducted on behalf of the UIUC Div. of Intercollegiate Athletics (DIA), the purpose of this study was to evaluate the success of UIUC athletic programs and policies and help DIA plan for the future. SRL surveyed a random sample of 1,000 UIUC undergraduate students regarding their interests and involvement in UIUC sports, including intervarsity, club, and intramural sports. During September and October, SRL mailed questionnaires to students; those who did not return a completed questionnaire were contacted by phone during late October and November to complete an interview. Phone interviews were conducted with 472 students, and 269 returned completed questionnaires. **Project Coordinator:** Jill Ronco.

**Health Needs of Jewish Households.** For this face-to-face study, SRL interviewed Jewish adults in two geographic areas of Chicago about social and environmental health factors, such as nutrition and alcohol use, and the prevalence of a variety of conditions, such as asthma and diabetes. Interviews began August 1, 2003, and were completed January 4, 2004. For each household, there may have been two interviews conducted: the first with a randomly selected adult, while the second was conducted only if there were children age 12 or younger in the household. If so, SRL interviewed the adult in the household knowing the most about the health care of a randomly-selected child. Interviews were completed with 143 adults and 58 adult-child pairs. **Principal Investigator:** Dana Rhodes (Jewish Federation of Metropolitan Chicago), **Project Coordinator:** Ingrid Graf.

**Northeastern Univ. Financial Aid Survey.** The purpose of this mail study was to determine what percent of Hispanic undergraduate students who were enrolled at Northeastern in the fall of 1999 would be categorized as “low income” using Federal definition guidelines for that time period. Mailings were conducted in October and November, and SRL received 213 completed questionnaires. **Principal Investigator:** Susan Doyle (Northeastern Univ.), **Project Coordinator:** Jill Ronco.
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Pulaski County Study. Sponsored by the Pulaski Alliance for Community Education (PACE), this RDD study of households in Pulaski County, IN, measured familiarity with and interest in the educational programs offered by PACE. CSR completed 456 interviews with one adult from the household. Principal Investigator: Marcy Moss (Indiana Center for Evaluation), Project Manager: Joel Thomas.

Landowners Survey. The Center for the Study of Institutions, Population, and Environmental Change (CIPEC) sponsored this mail study to explore the factors that contributed to changes in forested land in Monroe County, IN. CSR received 385 completed questionnaires from Monroe County landowners. Principal Investigator: Tom Evans (CIPEC), Project Manager: Joel Thomas.

State Treatment Need Assessment Project. CSR completed 6,047 telephone interviews with adults 18 or older, randomly selected from households in 10 Indiana regions. Sponsored by the Indiana Family and Social Services Administration’s Div. of Mental Health and Addiction, the study assessed the use of alcohol, tobacco, and other drugs by people in Indiana to determine prevention and treatment need. Principal Investigator: Jim Wolf, Project Manager: Heather Terhune.

Time-Sharing Experiments for the Social Sciences. The purpose of this national RDD survey was to provide social science researchers interested in short experimental topics a cost-effective opportunity to gather data on a national level. Five instruments were used, each with its own sample, and 2,008 interviews were completed. NSF sponsored the study. Principal Investigators: Diana Mutz (Univ. of Pennsylvania) and Arthur Lupia (Univ. of Michigan), Project Manager: Heather Terhune.

Recreational Sports Programs and Services Survey. This Web survey of full-time faculty and staff at Indiana Univ.-Bloomington was designed to gauge their exercise habits and to determine their interest in various types of recreational sports programs and services that may not be offered on the Bloomington campus. CSR received 2,402 completed questionnaires. The Indiana Univ. Div. of Recreational Sports sponsored the study. Principal Investigator: Kathryn Bayless, Project Manager: Kathy Matthews.

Indiana Poll. The main purpose of this poll is to provide an accurate measurement of public opinion on issues of interest to the general public, policy makers, and social scientists. CSR completed 1,042 telephone interviews using 2 instruments, each with its own sample. Principal Investigators: Mohammed Torabi, William Yarber, and Peggy Hite (Indiana Univ.); Sue Errington (Planned Parenthood of Greater Southern Indiana); Rick Lindsey (Indiana Dept. of Workforce Development); Carol Brunty (Indiana Higher Education and Telecommunication System); Project Manager: Kathy Matthews.

Intellectual Property Study. The purpose of this study was to evaluate multiple aspects of Indiana Univ.’s Intellectual Property Policy. For respondents with e-mail addresses, CSR sent e-mails with instructions for either completing the questionnaire on the Web or requesting a paper copy. Respondents without e-mail addresses received paper questionnaires by mail. CSR received completed questionnaires from 806 Indiana Univ. tenure-track faculty members. Principal Investigator: Ann Gellis, Project Manager: Cheryl Burke.

IOWA

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Technology and Citizenship. In fall 2003, 478 CATI interviews were conducted with the general population in Pennsylvania, Iowa, and Colorado as part of an NSF study focusing on digital government. The primary goal was to identify how computers, particularly e-mail and the Internet, are being used to facilitate involvement in citizenship or political activities. Project Coordinator: Dianne Anderson, Project Manager: Jan Larson.

Statistician Survey. A Web survey was conducted in 2003 for the American Statistical Association’s Statistics Partnership of Academe, Industry & Government (SPAIG) Committee. Statisticians employed in business, government, and nonprofit organizations were surveyed regarding salaries and educational requirements for positions in statistics at their organizations. Project Coordinator: Dianne Anderson, Project Manager: Allison Tyler.

Odor Mitigation and Shelterbelts. This study, funded by the U.S. Dept. of Agriculture, focused on natural methods of odor management in pork production. In fall 2003, 350 RDD CATI interviews were conducted with pork consumers in Iowa, North Carolina, and Washington. Questions addressed hog odor concerns, acceptability of various forms of odor management, and willingness to pay higher prices to support odor control. In early 2004, CATI interviews were conducted with a list
sample of 550 pork producers in the same states. Questions focused on their manure and odor management, the use of shelterbelt plantings of trees/shrubs to reduce odor, and marketing techniques designed to reimburse producers for odor management costs. **Project Coordinator:** Dianne Anderson, **Project Manager:** Jan Larson.

**MASSACHUSETTS**

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Medical Errors 3. This is the last of 3 surveys conducted under an AHRQ grant to the Div. of Public Health in Massachusetts. This self-administered survey of key hospital staff is designed to evaluate the success of 2 “best practices” models for reducing medical errors in hospitals. All Massachusetts hospitals were encouraged to participate in an effort to improve medication reconciliation upon hospital admission and discharge. They also were encouraged to participate in an effort to improve the reporting of critical test results from the labs and x-ray rooms back through the physicians to the patients. The survey, covering all nonparticipating hospitals as well as participating hospitals, is designed to assess both the motivations for participation and the progress made using the “best practices” models. Approximately 200 interviews of CEOs and key staff are anticipated. **Study Director:** Brian Clarridge.

IRB Member Study. With funding from NIH, this mail study with telephone follow-up looks at the backgrounds of members of medical school IRBs for their connections with industrial sponsors of research. The questions probe respondents’ understanding of potential conflicts of interest and their understanding of their IRB’s policies concerning conflicts of interest. The positive aspects of having connections with industry on their ability to properly evaluate the ethics of proposed research also are examined. A random sample of 2,300 IRB members across the 100 most heavily NIH-funded medical schools and the 15 most heavily NIH-funded hospitals is currently being drawn. The anonymous survey will use a separate mail-back confirmation card to track response. **Study Director:** Brian Clarridge.

Health Care Purchaser Study. Funded by AHRQ, this telephone study involves corporate human resource leaders who are responsible for negotiating health benefits contracts for their firms and will assess the degree to which respondents follow the principles of Value-Based Purchasing. Questions are designed to elicit responses on measures of health care quality, as well as on funding mechanisms and formulas used when purchasing health services. The 25 largest employers in each of the 40 U.S. cities with the greatest HMO penetration will be sampled. CSR expects between 600 and 700 completed interviews. **Study Director:** Brian Clarridge.

MassHealth 2004 Member Survey. This is a survey sponsored by the Massachusetts Dept. of Public Health to learn about the health care experiences of adult and child Medicaid members of the 5 health plans with which the state has contracts. This statewide, dual-mode (mail followed by phone) survey (n~3,000) uses CAHPS® instrumentation. **Study Director:** Patricia Gallagher, **Project Manager:** Vickie Stringfellow.

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Health Care Practitioner Attitudes About Cranberry Product Consumption. Approximately 340 health care professionals were interviewed in fall 2003 about their awareness of the health benefits of cranberries and where they get their information. They were queried about their likelihood of recommending cranberry products, their trusted information sources on food products, and their need for particular types of informa-
tion or particular forms of information (e.g., recipes, reports, scientific journals). This project was sponsored by the Cape Cod Cranberry Growers Association through the Massachusetts Dept. of Food and Agriculture. **Project Director:** Nora Ganim Barnes, **Survey Staff:** Ava Lescault, Sean Fahey, and Emily McNamara.

**Marketing Opportunities for Cape Cod Clam Producers.** Approximately 300 telephone interviews will be completed on behalf of the SouthEastern Massachusetts Aquaculture Center (SEMAC). Topics will include purchasing and serving practices of restaurants in Massachusetts and Rhode Island to determine the opportunities for Cape Cod clam producers. **Project Director:** Nora Ganim Barnes, **Survey Staff:** Ava Lescault, Sean Fahey, and Emily McNamara.

**MINNESOTA**

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armso001@umn.edu; http://www.cura.umn.edu/programs/mcsr.html

**2003 Minnesota State Survey.** This was the 20th annual omnibus survey of Minnesota adults. From September–November 2003, interviews were completed with 804 adults. The RDD CATI survey was sponsored by government agencies and the Univ. of Minnesota and addressed quality of life, volunteerism, education, employment, health, advance health care directive, traffic safety, and assault weapons. **Project Manager:** Pam Jones, **Study Director:** Rossana Armson.

**Osseo Magnet School Parent Survey.** This project, conducted from May–July 2003, was a CATI survey sponsored by the Osseo School District. A total of 720 interviews (413 district-wide and 307 with minority oversamples) were completed with parents who had a child attending a school in the Osseo (MN) School District during the 2002–2003 school year. The goal was to determine the feasibility of establishing a magnet school or program in the district. **Project Managers:** Marc Wagoner and Pam Jones, **Study Director:** Rossana Armson.

**Osseo Magnet School Teacher Survey.** Done in conjunction with the Osseo Magnet School Parent Survey, the main purpose of this mail study was to determine the level of teacher support and interest in various magnet program alternatives. Questionnaires were sent to school principals who distributed them to teachers as part of the checkout process at the end of the school year. Surveys were completed and returned by 211 teachers. **Project Manager:** Marc Wagoner, **Study Director:** Rossana Armson.

**NEW YORK**

**Social Indicators Survey Center (SISC)**
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**New York Social Indicators Survey (NYSIS).** SISC will complete approximately 2,000 CATI interviews of New York City (NYC) residents (adults and children) in its fourth wave of the NYSIS. Since 1997, the SISC inter-

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Number 1, 2004
views a representative sample of NYC families every 2 years to collect data on their perceptions of life in the city and indicators of their quality of life. Topics include overall satisfaction with NYC and its services, resident health and behaviors, financial and social assets, economic and social well-being, and institutional supports. The study also asks several questions regarding the effects of the World Trade Center attacks on 9/11/01. In the past, the survey has been conducted entirely over the phone. In 2004, the RDD interviews will be supplemented with approximately 400 in-person interviews. Data will be publicly available. Project Directors: Irwin Garfinkel and Julien Teitler, Project Manager: Susan Kenney.

**NORTH CAROLINA**

Social and Statistical Sciences Research Triangle Institute (RTI)
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National Children's Study (NCS) Focus Groups. RTI conducted 32 focus groups nationwide to study the recruitment and retention of pregnant women into the NCS, planned (if funded) for 2005. Participants included pregnant women, parents, health care providers, and community leaders. The groups discussed issues specific to various racial/ethnic minorities, pregnant teens, pregnant couples, couples trying to conceive, and collection of biologic and environmental samples. Work Assignment Leader: Linda Dimitropoulos, Program Director: Jerry Rench.

National Study of Faculty and Students (NSoFaS:04). Sponsored by the U.S. Dept. of Education’s National Center for Education Statistics, NSoFaS:04 collects data from nationally representative samples of postsecondary students (n=120,000) and faculty and instructional staff (n=30,000). The study provides vital policy information on how students finance education after high school and who faculty are and what they do. A self-administered Web survey with Web-CATI follow-up design is used to collect information. Project Director: John Riccobono.

National Survey on Drug Use and Health (NSDUH). RTI International will conduct this study from 2005–2009 for the Substance Abuse and Mental Health Services Administration. The NSDUH collects data on substance use and mental health in the general U.S. population. Approximately 70,000 in-person interviews will be completed annually for the NSDUH using CAPI and ACASI methods. Project Director: Tom Virag.

Family-Based Detection as a Strategy for Early Diagnosis of Hemochromatosis. A series of 8 focus groups, 8 triads, and 32 individual interviews will be completed with patients, their biological siblings, and health care providers. The patients will be identified in Boston and Chicago. The purpose is to understand supporting factors and barriers to family-based detection as a strategy for early diagnosis of individuals at high risk of developing hemochromatosis. Project Director: Diane Wagener.

**OREGON**

Oregon Survey Research Laboratory (OSRL)
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Oregon Economic Community Development Dept. (OECDD) City Surveys. From May through June 2003, OSRL conducted RDD CATI interviews with residents of Carlton (n=232), Vernonia School District 47J (n=320), Vernonoria (n=280), Cottage Grove (n=362) and Vale (n=251) to determine these communities’ eligibility for OECDD funds. Questions addressed interest in new community services, the number of household members, and household income level. Project Directors: Juyeon Son and Derek Darves.

Oregon Dept. of Transportation (ODOT) On-Line Survey. In June 2003, OSRL implemented an anonymous on-line random sample pilot survey with visitors to ODOT’s TripCheck.com Web site over a 9-day period. ODOT sent survey invitations to 2,942 Web site visitors, and 340 completed the survey instrument. Topics included frequency of visits; overall usefulness; features used; the quality of information for weather reports, road conditions/construction, and public transportation; and preferred information displays for road construction/maintenance, truckers, and commercial services. Project Director: Perren Smith.

Caregivers: Peacehealth Medical Group’s Center for Senior Health Study. In wave 3 of this 4-year longitudinal study, OSRL conducted 87 interviews (list) with caregivers of senior citizens participating in an associated patient survey. Questions asked about the kind of care respondents provide and their feelings of burden and satisfaction in caregiving. Project Director: Vikas Gumbhir.

Fire Survey. In October 2003, OSRL completed 417 RDD CATI interviews with registered voters in Springfield, OR. The City of Springfield sponsored this survey to find out voters’ positions on a proposed merger that would create a large fire district for the city and outlying areas.
Respondents also were asked how convincing arguments were for and against the proposed annexation. Springfield used the results to help plan for fire and life safety services. Project Director: Tony Silvaggio.

Social Indicators Survey. From mid-September through mid-December 2003, OSRL completed 1,915 RDD CATI interviews with residents in Oregon, Washington, Idaho, Montana, North Dakota, South Dakota, Iowa, and Minnesota for the Northwest Area Foundation. The results will be used to help decide how best to help communities reduce poverty. Questions addressed respondent opinion of and participation in community, neighborhood, local government, and community-based activities. Project Director: Vikas Gumbhir.

PENNSYLVANIA

Institute for Survey Research (ISR)
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Twin-Family Study of Health Behaviors: Supplemental Sample. This national study of male twins from the Vietnam Era Twin Registry, their biological children age 12–26, and the mothers of those children is sponsored by NIAAA and the Palo Alto Institute for Research and Education. Its purpose is to examine the separate and interacting contributions of genetic and environmental influences involved in the transmission of alcoholism from parents to offspring. Approximately 200 CATI interviews will be conducted. Offspring will be re-interviewed 2 years after the initial interview. Principal Investigators: Theodore Jacob (V.A. Medical Center, Menlo Park, CA) and William True (St. Louis Univ.), Study Director: Ellin Spector.

Center for Employment Training (CET) Evaluation Study Wave 2. This CATI/CAPI study is sponsored by the Manpower Development Research Corp. and funded by the U.S. Dept. of Labor. It evaluates the effectiveness of CET programs in 12 sites in achieving the goal of increased labor market participation. ISR is tracing and attempting to conduct re-interviews with 1,115 respondents 4½ years after they applied to one of the CET training programs. Wave 1 interviews were conducted with 88% of the sample. Cases that were not interviewed in Wave 1 are included in the Wave 2 sample of 546 control cases and 569 program cases. The last cases from this rolling enrollment study were released this March, with data collection scheduled to end in September. Interviews are conducted in the respondents’ preferred language—English or Spanish. Study Director: Ellin Spector.

National Longitudinal Survey of Freshmen Wave 5. This Andrew W. Mellon-supported study investigates the diverse pathways by which whites, African Americans, Latinos, and Asian Americans enter higher education. It documents the different characteristics that students bring to campus and traces the influence of these differences on later academic performance. From February–November 2003, Wave 5 CATI interviews were attempted with 3,830 of the 3,924 Wave 1 respondents who were originally interviewed in fall 1999. Interviews were completed with 3,098 of the Wave 5 sample; 2,725 of those respondents had participated in all 4 previous waves. Principal Investigators: Douglas Massey and Camille Charles (Univ. of Pennsylvania), Study Director: Ellin Spector.

Parents and Adult Offspring Study. Data collection for this NIH-funded study, which examined the dynamics of the parent-offspring tie, ended in January 2004. Through telephone screening of Philadelphia-area households, interviewers identified 22- to 49-year-old non-Hispanic Caucasian and African-American adults who lived within 50 miles of, but not with, 2 healthy parents. All 3—the offspring and both parents—had to agree to participate in the study, which included a CATI interview with each member of the triad and 2 subsequent in-person videotaped dyad interviews, 1 with the mother and the offspring and 1 with the father and the offspring. Screening also identified a group of similar offspring who lived farther than 50 miles from their healthy parents. Only offspring participated in that distant CATI interview. CATI interviews were completed with 852 proximate respondents and 162 distant offspring. Dyad interviews were completed with 158 offspring and both parents. Principal Investigator: Karen Fingerman (Purdue Univ.), Study Director: Ellin Spector.

Sectoral Impact Study (SIS). The SIS is being conducted for the Philadelphia-based Public/Private Ventures (P/PV). P/PV designed this study of 3 sectoral employment programs that seek to improve low-income workers’ access to good jobs, primarily by providing skills training and placement services. To test these programs’ effectiveness, P/PV is conducting this longitudinal impact study using a random assignment design. The sites will enroll approximately 1,900 people, of which half will be assigned to the treatment group and half to the control group. ISR is conducting the random assignment of the participants and completing baseline and 18-month follow-up interviews with them. Follow-up will begin in December 2004 and continue through June 2007. Principal Investigator: Wendy McClanahan (P/PV), Study Director: Louise Hanson.

Computer Science, Engineering, and Mathematics Scholarships (CSEMS) Program Evaluation. The National Science Foundation CSEMS program supports scholarships for academically talented, financially needy
students in computer science, computer technology, engineering, engineering technology, and mathematics. This 2-phase evaluation of the program consists of site visits with 9 colleges and universities conducted in 2003 and 2 mixed-mode customer satisfaction surveys that ISR currently is conducting in collaboration with Caliber Associates. Site visits included individual and group in-person interviews of and focus groups with administrators, faculty, and scholarship recipients. The customer satisfaction surveys are being conducted with a sample of 200 principal investigators currently administering a CSEMS project and a sample of 1,100 current CSEMS scholarship recipients. Both will be administered using a mixed-mode methodology that relies initially and primarily on a Web-based questionnaire with electronic and telephone reminders. Telephone interviews will be used to maximize response rates and will begin within 2 weeks of the posting of the Web questionnaires. Principal Investigator and Study Director: Jonel Pecknyo-Haley.

Hispanic American Baseline Alcohol Study (HABLAS). In this NIAAA-funded multi-site survey, ISR will use English and Spanish CAPI interviews with a probability sample of 6,000 respondents to collect data about drinking and alcohol-related problems among 4 Hispanic national groups: Puerto Rican Americans, Cuban Americans, Mexican Americans, and Central/South Americans. Principal Investigator: Raul Caetano (Univ. of Texas, Houston), Study Director: Heather Hammer.

WASHINGTON

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Washington State Needs Assessment Household Survey 2002–03 (WANAHS-II). This telephone survey of 6,600 Washington State residents concerning use and treatment for drugs and alcohol used the State Treatment Needs Assessment Program core questionnaire.

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and protocol with additional questions concerning tobacco use and gambling. The study was funded through the Washington State Dept. of Social and Health Services. **Principal Investigator:** John Tarnai, **Study Director:** Thom Allen.

**Legal Access in Washington State.** Sponsored by the Washington Supreme Court’s Task Force on Civil Justice, this survey provides a statistically valid assessment of the civil legal needs of low- and moderate-income residents. In addition to measuring perceptions and attitudes concerning access to legal assistance, the study provides a better understanding of the consequences of unequal justice upon the lives of Washington State residents. In 2002, SESRC conducted RDD CATI interviews with 1,887 Washington households, 810 of which were low- or moderate-income. **Principal Investigator:** John Tarnai.

**Tacoma Resident Survey.** This RDD survey was conducted in spring 2003 to determine whether alcohol product restrictions prohibiting the sale of certain high alcohol content beer and wine products, in conjunction with local community efforts to address chronic public inebriation (CPI), have helped to mitigate the negative effects of CPI in Tacoma, WA. Sponsored by the Washington State Liquor Control Board, the survey consisted of 206 Tacoma residents over age 18 providing information on the effectiveness of the AIA rules. **Principal Investigator:** John Tarnai.

**Sales Tax Simplification Survey.** This survey was conducted in fall 2003 to obtain information from Washington State businesses about the fiscal impacts of one part of the National Streamlined Sales and Use Tax agreement that determines how local government sales taxes are collected. The questionnaire was sent to 2,626 businesses in several targeted industries, and 1,265 were returned completed. SESRC sent 3 mailings to businesses in several targeted industries, and 1,265 were returned completed. SESRC sent 3 mailings to businesses in the state, followed by a telephone contact to nonrespondents. Respondents could complete either a paper or an Internet questionnaire. **Principal Investigator:** John Tarnai, **Study Director:** Kent Miller.

**WISCONSIN**

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**2004 Wisconsin Behavioral Risk Factor Surveillance Study.** This yearly telephone survey is being conducted for the Wisconsin Dept. of Health and Family Services. UWSC also conducted this survey in 2000–2003. Interviews will be conducted with approximately 4,000 households in 2004 to measure the health and health-related behaviors of Wisconsin residents. **Principal Investigator:** Anne Ziege, **Project Director:** Bob Cradock.

**2003–2005 Wisconsin Longitudinal Study: Graduates and Spouses.** UWSC currently is conducting the next data collection wave for this NSF-funded project. The sample consists of over 9,000 Wisconsin high school graduates from the class of 1957 and their spouses. Respondents are currently in their early 60s and are completing a telephone interview followed by an SAQ. The entire interview is being recorded digitally. **Principal Investigator:** Robert Hauser, **Project Director:** Matt Sloan.

**Middle Age Development in the U.S. (MIDUS) II.** UWSC is conducting the second data collection wave for this project. Sample consists of participants from MIDUS I, conducted as a nationwide RDD in 1995, plus oversamples of approximately 1,000 pairs of twins and the greater Boston area. Respondents are currently age 35–89 and number approximately 7,000. Respondents will complete a telephone interview, followed by an SAQ and a cognitive battery, which is a test of mental functioning and is being recorded digitally. NSF is providing funding. **Principal Investigator:** Carol Ryff, **Project Director:** Kelly Elver.

**Foster Care Study.** This is wave 2 of a 3-wave longitudinal study of foster children in Wisconsin, Illinois, and Iowa. Children are being interviewed over a 4-year period, at ages 17, 19, and 20. This CAPI survey includes some audio-CASI components. The sample size is 800. Funding comes from the Illinois Dept. of Children and Family Services and Wisconsin Dept. of Health and Family Services. **Principal Investigator:** Mark Courtney, **Project Director:** Kerryann DiLoreto.

**CANADA**

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**National Study of Work and Learning.** ISR currently is conducting a national CATI study of 10,000 Canadians to identify gaps in workplace training and education and to explore current issues and work- and learning-related trends. Interviews are being conducted in both official languages. This study is part of a larger project that will include face-to-face interviews and case studies. Funding comes from the Social Sciences and Humanities Research Council of Canada. **Principal Investigators:** David Livingstone (Univ. of Toronto and OISE), John
Myles (Univ. of Toronto), and Pierre Doray (Univ. de Québec à Montréal) in partnership with Larry Hubich (Saskatchewan Federation of Labour) and the Royal Bank of Canada; OISE Project Director: Doug Hart; ISR Project Director: David Northrup.

Tobacco-Related Practices of Canadian Primary Care Physicians. ISR recently surveyed 1,600 randomly selected members of the Canadian Paediatric Society and the College of Family Physicians of Canada by mail. The study examined the education, beliefs, and practices of Canadian pediatricians and family physicians regarding children’s exposure to secondhand smoke in homes. It will help Canadian primary care physicians advise parents on this issue and ultimately reduce secondhand smoke exposure among child patients and children of adult patients. Funding came from the Hospital for Sick Children Foundation. Project Director: Liza Mercier.

Youth Members of Political Parties in Canada. ISR conducted the first national study of youth political party members in an effort to improve our understanding of youth participation in and attitudes toward Canadian politics. The mail survey of about 4,000 youth members of the federal Liberal Party, federal New Democratic Party, and the Bloc Québécois was conducted during the winter of 2004. The Social Sciences and Humanities Research Council of Canada funded the study. Principal Investigators: Bill Cross (Mount Allison Univ.) and Lisa Young (Univ. of Calgary), ISR Project Director: Liza Mercier.

Ashley Bowers recently joined the Survey Research Center, Inst. for Social Research, Univ. of Michigan as a Research Associate. Kathy LaDronka has accepted a new position as a Senior Survey Manager/Production Manager.

NORC welcomes Senior Methodologist Cheoleon Lee; Linda Stork, Director, Telephone Center; Trevor Thompson, Operations Methodologist; Rosalyn Lee, Research Scientist; Kristina Quartana, Research Analyst; and Margrethe Montgomery, Survey Director.

RTI’s Survey Research Division welcomes Research Epidemiologist Suzanne Lea and Senior Research Survey Specialist Ellen Marks.

The Public Opinion Laboratory at Northern Illinois Univ. is pleased to announce the addition of Brian Brim as the Manager of the Telephone Survey Lab.

Joel Thomas has joined Indiana Univ. ’s Center for Survey Research as a project manager.

The Center for Survey Research (CSR) at the Univ. of Massachusetts Boston is looking for a Senior Research Fellow. We currently have an opening for a social science Ph.D. to join our group of 8 senior staff members to work as a collaborative, interdisciplinary team member. Special consideration will be given to applicants with particular interest in methodological aspects of survey research (e.g., sampling, question design and evaluation, Web-based surveys, computer-assisted data collection), and/or new analytic techniques (e.g., multilevel statistical analysis, analysis of longitudinal data, nonresponse bias). Applicant must have demonstrated analytic skills and an ability to develop funding for her/his own research interests. Considerable experience with large-scale probability sample survey projects is essential. Competitive calendar-year salary commensurate with experience. Equal Opportunity/Affirmative Action Employer. Application review will begin immediately and continue until the position is filled. Send vita to Director, Center for Survey Research, Univ. of Massachusetts Boston, 100 Morrissey Blvd., Boston, MA 02125.
NORC, a national organization for research affiliated with the Univ. of Chicago, is looking for statisticians, survey methodologists, statistical programmers, data managers, project directors, and social scientists with advanced training or experience in survey research or survey operations. New staff will be based in our Chicago or Washington, DC, offices. To find out more about NORC and to apply for employment, please visit our Web site: http://www.norc.org/careers. NORC is an affirmative action, equal opportunity employer that values diversity in the workforce.

Research Triangle Institute has a position opening for a **Senior Survey Director**, Terrorism Prevention/Health Security Program. As a senior research scientist you will be responsible for collection and analysis of large data sets, model-based analysis of data, forecasting and modeling events, and the overall direction of research studies in the area of counterterrorism and conflict. You will be required to implement the application of econometric modeling and the appropriate interpretation of results to include measurement, estimation, testing, forecasting, and policy analysis relevant to data pertaining to global terrorism and conflict. Additional responsibilities will include planning and market capture for contract research. Qualifications include 5 or more years background in international relations and conflict and/or terrorism research, experience working with large data sets (registries, surveys, and text data), model-based analysis of data, and data collection. Experience with econometrics and data collection is preferred. Ph.D. in political science, criminology, sociology, or related required. Submit resume on-line at http://www.rti.org. For more information, contact Sheila Knight, Research Triangle Institute, P.O. Box 12194, Research Triangle Park, NC 27709, sknight@rti.org.

### PUBLICATIONS

The following is a list of publications related to interviewer falsification. They are not available from Survey Research nor the Survey Research Laboratory.


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**Survey Research Staff**

Editors: Kris Hertenstein and Lisa Kelly-Wilson

**Publication Information**

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