

September 2004

Accumulation of Wealth and Social Capital Among Low-Income Renters (AWSC-R)

Year 1 Final Report

Prepared for

The University of North Carolina Chapel Hill
The Center for Community Capitalism within the
Frank Hawkins Kenan Institute of Private Enterprise
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*RTI International is a trade name of Research Triangle Institute.

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1. Introduction

The Accumulation of Wealth and Social Capital among Low-Income Renters (AWSC-R) is a longitudinal panel study that follows renters for five years. The study sample is designed to be a control group for the Community Advantage Panel Survey (CAPS), an ongoing study of the accumulation of wealth and social capital among low- to moderate-income new homeowners. The purpose of AWSC-R is to assess how being a renter affects families socially and economically and determine how renters differ from homeowners who live in the same areas. To this end, the Center for Community Capitalism at the University of North Carolina at Chapel Hill (UNC-CCC) contracted with RTI International to conduct the data collection for AWSC-R.

This report details the design, instrumentation, tracing plan, data collection methods, case management system, and project management, for the baseline telephone survey conducted in Year 1 of the AWSC-R study.

1.1 Sample Design

To allow time for the geographic matching required for the AWSC-R sampling frame construction to be completed, the study began in July 2003 when RTI contacted Genesys Sampling Systems, a well-known and respected supplier of telephone samples, to obtain frequency counts of available renters in relation to the matching homeowners. In October 2003, RTI obtained a sample from Genesys of likely low-income renters in the top 30 Metropolitan Statistical Areas (MSAs) and prepared and released 2,030 cases in October. Additional cases were released until data collection ended in April 2004.

1.2 Instrumentation

During July 2003, RTI finalized the development of the screener/eligibility module, the Household Core module, and the Renters Core module. Cognitive testing of the Renters Core module was also completed. All other modules were carried over from CAPS, which was conducted by UNC, and did not require cognitive testing. Testing for the English-language computer-assisted telephone interview (CATI) instrument began in September and in October for the Spanish- language CATI instrument.

1.3 Tracing

RTI will submit a draft Tracing Plan in early-September 2004 and the Final Tracing Plan on September 30, 2004. RTI began mailing lead letters and informational brochures in October 2003 and incentives to sampled renters in November 2003. By April 2004, all lead letters and brochures were mailed to all selected addresses. Incentives and thank you letters were mailed to all respondents by July 2004.

1.4 Data Collection

Data collection materials were finalized in September 2003. During October 2003, UNC-CCC and RTI Internal Review Board (IRB) approvals were obtained. RTI trained the interviewers and began data collection at the end of October 2003. Data collection concluded on April 30, 2004, with a total of 1,651 completed interviews.

1.5 Case Management/Reporting System

The CATI Case Management System (CMS) is the technological infrastructure that connects the various components of the CATI system, including the questionnaire, utility screens, databases, call scheduler, report modules, links to outside systems, and other system components. The automated RTI call scheduler was used to assign cases to interviewers in a predefined priority order. It was also programmed to keep track of all the callbacks to potential sample members. After the interviewer selected the call result that best described the outcome of the call, CMS assigned an appropriate event code that described what happened on a particular call to the roster line. Additionally, electronic problem sheets were completed by RTI interviewers throughout the course of data collection.

1.6 Project Management

Project staff from UNC-CCC and RTI attended a kickoff meeting on April 21, 2003. This was the first of many in-person and telephone meetings between UNC-CCC and RTI. RTI understood that clear lines of authority and communication were critical to ensure rapid response, efficient operation, maintenance of high-quality standards, and an overall successful project.

This report is organized around these various project tasks and components, which will be explained in detail in the corresponding sections of this report.

2. Sample Design

UNC-CCC selected a panel of low- and moderate-income homeowners throughout the United States. UNC-CCC is conducting a series of interviews with the homeowner panel over a span of six years. Under a contract between UNC-CCC and RTI, RTI was to select and develop a matching panel of renters that would result in 1,000 completed interviews after 5 years.

2.1 Sample Assumptions

Based on the following assumptions, RTI determined that 1,551 potential renters would need to complete the baseline survey so that 1,000 would complete at least four out of five Follow-Up (F/U) interviews and complete both in-home interviews:

- 841 (= 54.2% of 1,551) will complete the combined first F/U and first in-home interview, complete the second F/U, complete the third F/U, complete the fourth F/U and the second in-home interview.
- 91 (= 5.9% of 1,551) will complete the combined first F/U and first in-home interview, complete the second F/U, refuse the third F/U, complete the combined fourth F/U and second in-home interview.
- 68 (= 4.4% of 1,551) will complete the combined first F/U and first in-home interview, refuse the second F/U, complete the third F/U, complete the combined fourth F/U and second in-home interview.

2.2 Sample Selection

The goal of sample selection was to recruit renters that had annual incomes less than a threshold and lived in a geographic proximity to the homeowners. The income threshold was based on

- the Area Median Income (AMI) for the homeowner's MSA, and
- the percent minority population in the homeowner's Census tract.

The income threshold was equal to 80 percent of the AMI if the percent minority population was less than 30 percent or equal to 115 percent of the AMI if the percent minority population was 30 percent or greater.

In addition, the goal was to recruit renters within the same Census block group in which the homeowner lived. Initially, RTI anticipated that CCC would provide RTI with a database containing all owner-panel members in early September 2003. The complete owner database

would have been used to create potential renter panel members. Instead, the owner database was released in three installments, which made sampling and data collection less efficient. The first installment of 1,378 homeowners was sent to RTI on September 4, 2003. While this file contained homeowners from all 50 MSAs, only 1,015 homeowners from the top 30 MSAs were an initial match.

In the initial proposal, RTI anticipated an 80 percent screening response rate, an 85.5 percent eligibility rate, and a 62.5 percent baseline interview response rate. Based on these rates, RTI estimated that 3,630 potential renters would be needed to result in 1,551 completed baseline interviews. The sampling frame was confined to listed households (to reduce data collection costs) on a database created and maintained by Genesys. Listed households are listings compiled by keying the name, address, and telephone number from residential telephone directories. Listed households with complete street addresses can be geo-coded to Census geography (state, county, tract and block group). In addition to geo-codes, Genesys appends ancillary variables (to the listed households), such as estimated income and likelihood that household is a renter.

2.2.1 Matching Strategy

The survey objective was to recruit low- and medium-income renters in the same “neighborhood” as the homeowners in the CCC panel. In consultation with CCC, “neighborhood” was defined as being located in the same Census block group. To increase the likelihood of interviewers reaching matching renters, the listed sample from Genesys incorporated the following conditions:

- estimated household income less than \$50,000,
- owner/renter likelihood codes of 0, 1, 2, or 3. (Owner/Renter likelihood codes range from 0 to 9 with 0 for a known renter and 9 for a known owner. As the code increased [from 0 to 1, 1 to 2, ... , 8 to 9], the likelihood that a household was a renter decreased while the likelihood that a household was a owner increased.), and
- located in the same Census block group as the owner.

Initially, RTI released two potential renter panel members for each homeowner. In the sample record released to Telephone and Internet Operations (TIO), the name, address, telephone number, estimated income, Census geography (state, county, tract, and block group codes), minority percent, income threshold, and ID for the linked owner were included. In the first few weeks of data collection, RTI encountered a lower than expected incidence of renter households and a lower response rate than expected. Therefore, the number of potential renter panel

members per owner was increased from 2 to 4 to 10 to 12 and limited the owner/renter likelihood codes to only 0 and 1.

On October 22, 2003, UNC-CCC released the second installment of owners, which RTI included in the dataset for recruiting renter panel members.

For many homeowners, Genesys either had no potential renters or had fewer than 10 potential renters in the same block group. RTI obtained permission from UNC-CCC to expand the geographic neighborhood to the Census tract level. For owners with fewer than 10 potential renters in the owner's block group, RTI ordered a sufficient listed sample to release potential renters from the owner's Census tract.

After several weeks of data collection, RTI determined that some homeowners did not have a sufficient number of potential renters to result in a renter interview. To provide more potential renters, RTI suggested that the neighborhood be expanded to a four-mile radius around the homeowner. With UNC-CCC approval, RTI ordered additional potential renters within a four-mile radius around homeowners with an insufficient number of potential renters.

2.2.2 Distribution by Metropolitan Statistical Area

Table 2-1 presents the top 31 MSAs where matched homeowners were located. In addition, this table indicates the total number of completed AWSC-R interviews in each MSA and the total number of homeowners matched to a renter as well as those homeowners that have no matching renter. There are 31 MSAs instead of only 30 due to an error when adding additional homeowners in February 2004. The North Carolina MSA in Greenville, which had not been worked before was added in error. But due to the geographic proximity to the Rocky Mount, North Carolina, MSAs the decision was made to keep Greenville in the sample.

2.3 Reassignment of Renters to Owners

After data collection was completed, many homeowners were linked to multiple (2 or more) renter panel members, whereas other owners were not linked to any rental panel members. RTI considered whether any multiple rental panel members linked to single owners could be reassigned to other homeowners with no rental panel members. Using the latitude and longitude, straight line were calculated distances between homeowners with no renter panel members and all other renter panel members within the same county. Renter panel members were reassigned to homeowners (not linked to any renter panel members) that were within a four-mile radius.

Table 2-1. Top Metropolitan Statistical Areas with Matched Homeowners

Metropolitan Statistical Area	Total		
	Renters Completed	Homeowners Matched	Homeowners Not Matched
Albuquerque, NM	21	18	11
Atlanta, GA	43	29	16
Bloomington-Normal, IL	7	6	7
Charlotte-Gastonia-Rock Hill, NC-SC	133	93	19
Chicago-Gary-Kenosha, IL-IN-WI	69	39	16
Columbia, SC	23	17	9
Dallas-Fort Worth, TX	23	17	16
Dayton-Springfield, OH	13	10	5
Detroit-Ann Arbor-Flint, MI	27	16	6
Enid, OK	28	26	6
Fayetteville-Springdale-Rogers, AR	63	48	27
Greensboro-Winston-Salem-High Point, NC	102	72	19
Greenville, NC	20	17	2
Greenville-Spartanburg-Anderson, SC	32	22	14
Hickory-Morganton-Lenoir, NC	38	25	15
Houston-Galveston-Brazoria, TX	29	19	10
Las Vegas, NV-AZ	23	18	2
Lima, OH	14	12	12
Los Angeles-Riverside-Orange County, CA	40	24	1
Miami-Fort Lauderdale, FL	17	11	8
Minneapolis-St. Paul, MN-WI	33	23	10
Oklahoma City, OK	150	111	21
Phoenix-Mesa, AZ	65	42	7
Raleigh-Durham-Chapel Hill, NC	201	137	26
Rocky Mount, NC	39	25	5
Toledo, OH	69	44	11
Tucson, AZ	43	25	2
Tulsa, OK	190	133	64
Washington-Baltimore, DC-MD-VA-WV	81	53	25
West Palm Beach-Boca Raton, FL	10	8	8
Youngstown-Warren, OH	5	3	8
Total	1651	1143	408

3. Instrumentation

Drafting, testing, and revising the AWSC-R was a collaborative effort that utilized the substantive expertise of UNC-CCC staff and the methodological/technical expertise of RTI staff. This collaboration informed the instrumentation process, which was iterative, incremental, and relied on successive modifications of survey questions and computer specifications. The various process steps and their approximate completion times are described below.

3.1 Questionnaire Development

In early May 2003, RTI's Instrumentation Task Leader was asked to begin work on the Year 1 Renters instrument by drafting a Screening/Eligibility module. The questions in this module will determine which potential respondents are eligible to participate in the survey and which ones are not eligible. Eligibility criteria were to be based on householder age, annual income, and renter status. At the same time, RTI requested the Social Capital and Parenting modules that were already in use in the Homeowners' survey (and managed by UNC's Survey Research Unit [SRU]) and drafts of the Renters and Core modules (which were being written by UNC-CCC). By the end of May, having received the Core module, RTI made minor revisions to improve interviewer readability and respondent comprehension, and returned the Screener/Eligibility module along with the revised Core module for UNC-CCC review.

In these early communications, it was understood that although the Screener, Renters, and Core modules would need Spanish translation by RTI language methodologists, the Spanish versions of Social Capital and Parenting modules already in use by UNC's SRU would simply be reformatted by RTI for the programmers.

In early June, RTI received the first draft of the Renter module from UNC-CCC, which was finalized by early July after the Instrumentation Task Leader, a survey methodologist, conducted eight cognitive interviews with the Renters Module (cognitive interviews are described below). UNC-CCC made minor changes to the various modules in mid-July, in part based on RTI's recommendations from the cognitive interview report. On July 22, 2003, RTI programmers were given finalized computer specifications for programming the telephone survey.

During August, communications about the Renters Survey focused on UNC-CCC's recommended ranges for numeric values (e.g., monthly rent, maximum reported age of household members, etc.) and what would constitute "soft errors" (needing only a pop-up script

for interviewer verification), versus “hard” errors (prohibiting accidental entry of unreasonably small or large values).

In September, RTI’s Instrumentation and Data Collection staff tested the English-language CATI instrument. Testers confirmed the functionality of programming specifications for question wording, skips, logics, data ranges, and error messages (programming and testing are described in greater detail below). The testers checked the functionality of the “front end” questions in which telephone interviewers confirm the number that was dialed, ask to speak with an adult in the household, determine a better time to call back, or leave a voice mail message if so instructed by the program. UNC-CCC staff also performed testing and reported no problems.

3.2 Cognitive Testing

The contract with UNC-CCC specified that the draft Renters Survey would be subjected to cognitive testing by an RTI survey methodologist to identify possible problems with comprehension or sensitivity. Participants for cognitive interviews were recruited by placing an advertisement in a Durham, North Carolina, newspaper. The advertisement described a one-on-one survey about renting that paid \$30 cash, and asked interested persons to call a recruitment line at RTI to learn more. Callers were screened in order to select low-income respondents who varied according to age, race, educational attainment, and gender.

Eight individual interviews were conducted between June 30 and July 2. Of these eight, three interviewees were under age 35, four were male, and six were African-American. Three had graduated from high school, two had some college education, and three had completed college. The methodologist who conducted the interviews read survey questions aloud, asked for an answer, and administered spontaneous, concurrent probes to solicit feedback about the perceived meaning of questions.

Cognitive testing indicated few difficulties or concerns about the Renters Survey. Two interviewees asked what “the next few years” meant, since an unspecified number of years would have implications for respondents’ expectations about future homeownership. Others suggested that asking about respondents’ expectations about facing possible lender discrimination would sound less abrupt if it followed a question about the occurrence of lender discrimination in general.

3.3 Spanish Translation

Translation of the Screener, Renters, and Core modules into Spanish took place during October and November 2003. It involved primary translation by one bilingual language methodologist, independent review by another, and resolution of any differences by mutual collaboration. The primary translator was responsible for testing the entire Spanish-language instrument, and did so by confirming the functionality of the specifications that she herself had translated. The Spanish-language instrument was finalized by December 2003.

3.4 Programming and System Development

3.4.1 Blaise Instrument Development and Testing

After the questionnaire was approved by UNC-CCC, a survey methodologist wrote the specifications for a computer program to implement the questionnaire as a CATI. Then the actual instrument for the AWSC-R study was programmed using Blaise computer language. RTI uses Blaise as the platform for both telephone and personal interviews. Blaise has a number of attractive features including its ability to allow interviewers to resume a partially completed interview at a later time. Blaise will remove inappropriate responses that occur when the wrong path in the questionnaire is followed and the interviewer has to back up to the gate question. Blaise will produce a clean consistent data set by cleaning out the inappropriate responses. Blaise is able to recast data descriptions into SAS using the Blaise Cameleon tools. It has a batch system that efficiently imports, exports, and recodes data, allowing RTI to provide clients with up-to-date reports.

3.4.1.1 Testing the Instrument

The development and maintenance of accurate programming specifications is perhaps the most critical element of the CAI development process. For AWSC-R, as with other CATI surveys, RTI's Instrumentation Task Leader prepared programming specifications to guide both the programming and testing operations for the CATI instrument. Once these were developed, the specifications were used by programmers, instrumentation team members, and other testers throughout the development process to gauge the accuracy of the interview program on an item-by-item basis.

RTI used a variety of tools to test the functionality of the AWSC-R interview programs, including specifications and mock interview scenarios and scripts. Working with these tools, the programmers and testers conducted a thorough test of each interview program to verify item-by-item that the program conformed to the questionnaire specifications. Testing involved a check of

each allowable response for a particular question, and the resulting path, before moving on to the next item. As part of this test, the question-and-answer choice wording, consistency and range checks, and other features of each question were verified. Detected errors were documented and provided to the programmers. After the errors were corrected, the test was repeated.

3.4.2 The CATI Case Management System

The CATI Case Management System (CATI-CMS) software suite is used for managing the case work and introductory contacts for telephone surveys. The salient features of the CATI-CMS are

- an SQL-Server database to support the systems,
- an environment for project-specific screen development and skip logic scripting,
- a run-time environment for development within the toolkit,
- stand-alone run-time entity for testing, training, and production,
- template or prototype RDD and list sample projects,
- utility programs for preloading cases, import/export to RTI's Tracing Operations Unit (TOPS),
- communication utilities for use with Web, Blaise, or CASES instruments, and
- call scheduler.

The CATI-CMS interviewing system is a fully integrated case management system based on a robust set of call-scheduling algorithms to allocate pending cases to interviewers in a priority order, based on the case status and call history to date. This ensures that cases are routinely and equally worked throughout the data collection period. The case management system assures that the status of each case is tracked from initial loading into the system through final disposition.

RTI's CATI call scheduler has two major components: (1) the scheduler program and (2) the case delivery program. The scheduler program runs periodically and sorts the pending cases into different bins or queues. For cases that do not have appointments, the scheduler uses a variety of techniques to scatter calls across days of the week and times of the day to maximize the chances of making contact in an efficient way, including the following:

- Counters are used to track the number of calls at different times of the day and week.

- If a call does not make human contact, the next call is not scheduled for at least four hours.
- For studies that had a limit on the number of calls per case, the last two calls for a case will be attempted in time slots that have not been attempted.

The AWSC-R study allowed up to 30 calls per case. Calls were made during standard telephone interviewing hours (adjusted for time zone and daylight savings time): Monday–Friday 9:00 a.m. to 9:00 p.m.; Saturday 10:00 a.m. to 6:00 p.m.; Sunday 1:30 p.m. to 9:00 p.m.. Six time slots were defined:

1. 9:00 a.m. to 5:00 p.m. Monday–Friday
2. 5:00 p.m. to 7:00 p.m. Monday–Friday
3. 7:00 p.m. to 9:00 p.m. Monday–Friday
4. 10:00 a.m. to 6:00 p.m. Saturday
5. 1:30 p.m. to 5:00 p.m. Sunday
6. 5:00 p.m. to 9:00 p.m. Sunday

The AWSC-R study applied the CATI-CMS environment by programming a sequence of questions designed to screen the respondents and find the most knowledgeable respondent. Cases in the random sample were coded out as ineligible for a variety of reasons, such as incorrect address, respondent was not a renter, respondent did not pay the rent, or respondent age not appropriate. All calls made by the interviewers to attempt to contact the correct respondent were assigned an event code that indicates what happened on the specific call and were also assigned a case status (case ineligible, pending, refused, etc.) through the CATI-CMS system.

Various flags concerning the calls were set and maintained by the system. These flags include events such as whether the case was ever a refusal or was ever in Spanish. The informed consent is contained within the CATI-CMS system and the screener data is maintained there. Call counters are also maintained. This data can be extracted for all cases loaded to the system as part of the sample, whether the case was completed or not. The screener data for the completed cases has been merged with the completed data records.

3.4.3 Control System

A control system was developed in Microsoft Access 2002 to store preload/sample data associated with the Renters Study. The primary functions of the control system were to generate mail merge files for lead letter mail-out and keep track of cases that were released to CATI-CMS. In addition, the system featured predefined status/event codes that could be used throughout the data collection period.

UNC-CCC provided files containing the addresses of homeowners who had completed the CAPS interview. RTI sent these addresses to a subcontractor that identified the addresses of likely rental units in the same census tract or block group. The subcontractor also determined the name and phone number of someone residing at that address. This data was then combined with selected variables from the file provided by UNC-CCC to create the preload data file. This file included the name, address, and phone number of the potential renter. It also included the Federal Information Processing Services (FIPS) county code, the census tract ID, the block group ID, the estimated household income for that address, the threshold income to be eligible for the Renters Survey (which varied by MSA), and the percentage of residents in that tract that spoke Spanish. Each case was assigned a unique case ID.

Prior to data being loaded into the database, data files were checked for duplicates. Using a predefined specification, the data files were loaded into the database in several batches and released to CATI-CMS in waves. Each record was loaded with an initial status code of 101.

The control system also had reporting capabilities. Standard reports were generated by various subgroups, such as MSA and CATI-CMS versus control system events. The standard reporting functions were available to both survey staff and clients as requested. In addition to the standard reports, the system had capabilities for generating ad hoc reports, as needed, during the data collection and processing phases.

3.4.3.1 Lead Letter Mailing

The Control System generated files containing the names and addresses of potential renters for 14 waves. Project staff used these files to prepare the lead letters that were mailed to each address before any calls to that address were attempted. After the lead letters were mailed, the event codes for those cases were updated to indicate that the letters had been mailed

3.4.3.2 Release Cases to CATI-CMS

A few days after the lead letters had been mailed, the Control System generated text files for CATI-CMS and updated the status again to indicate that the cases had been released for calling.

3.4.3.3 Receive Cases from CATI-CMS

The control system imported finalized cases from CATI-CMS and updated their status and event codes. It then checked for any cases that had been reset from final to pending and produced a report so that these changes could be confirmed. The Control System also compared its frequencies of status codes with the CATI-CMS Summary Status Report and produced a report of any discrepancies.

3.4.3.4 Incentive Mailing

Cases with a completed interview received a thank-you letter and an incentive check. The Control System generated mail-merge files to produce the letters and mailing labels. It also kept track of cases that had received an incentive payment.

3.4.3.5 Address Update

If any thank-you letters with the incentive checks were returned as undeliverable or with new addresses, the control system had the ability to archive the old address information and update the address/name information for completed cases.

3.4.3.6 Carry Completed Cases Forward to Year 2

Cases with an event/status code of 161/95 (Completed CATI) and up-to-date address information will be exported to a new control system for follow-up in Year 2.

4. Tracing

This area of work is entitled tracing and consisted of three primary activities in Year 1: preparing a Tracing Plan for Years 2-5 of the AWSC-R, mailing lead letters and informational brochures to potential respondents, and sending thank-you letters and incentives to sampled renters. This section describes the latter two of these activities in detail since the development and finalization of the Tracing Plan is related to Years 2-5 of the AWSC-R.

4.1 Lead Letters, Thank-You Letters and Incentives

Prior to any sample being released, RTI generated and mailed lead letters on UNC-CCC letterhead and signed by Dr. Michael Stegman the studies principal investigator from UNC-CCC, to all sampled addresses. In addition to the letter, all mailings included an informational brochure about the study. Once an interview was completed, a thank-you letter was sent out on RTI letterhead with the incentive check for completing the interview.

4.1.1 Initial Mailings

Initially all the lead letters sent were addressed to “Resident” and contained a \$5 bill with the intention that an up-front cash incentive would encourage the respondent to participate in the survey. Even if a respondent screened out as ineligible, they would still feel that they were compensated for completing the screening section of the interview. On completion of the interview, a check for \$15 was mailed, along with the thank-you letter, for a total incentive of \$20 for participating. Lead letters sent from October through December 2003 contained the \$5 preincentive and had no name. Due to the large number of returned letters and poor cooperation rate, RTI proposed removing the \$5 incentive in the lead letter and instead sending a \$20 incentive on completion of the interview. In addition, the substantial increase in sampled addresses that were selected would have made it cost prohibitive to include the \$5 incentive in all lead letter mailings. RTI also proposed that instead of using “Resident,” the lead letter be addressed with the name received from the original Genesys sample file. UNC-CCC accepted these recommendations on December 21, 2003.

4.1.2 Subsequent Mailings

IRB approval was obtained on January 15, 2004, and all subsequent mailings no longer included the \$5 incentive and the lead letters were addressed to the name of the last known person at the mailing address. The lead letter was changed to reflect the lack of pre-

incentive and only mentioned the \$20 post-incentive that the respondent would receive after completing the interview.

Once the respondent completed the interview, their name was passed to RTI's CATI manager for processing. Every Wednesday, the name, address and amount of the incentive was sent to RTI's accounting department for processing. The checks were cut the next day (i.e., Thursday) and couriered to RTI's Fulfillment Department to be sent out. The checks along with the thank-you letters were prepared for mailing in a locked room with video monitoring. After a 100 percent quality check the sealed letters were brought to the RTI mailroom where they were stamped and then brought to the post office the same day.

All interviews that were completed in Spanish received the thank-you letter translated into Spanish. Due to the problems with Spanish interviewing (see section 5.3.4), the change was not made to the Spanish version of the thank-you letter until February 2004.

4.2 Lead Letter Duplication and Remailings

In instances where a respondent did not receive a lead letter but wanted one, a new lead letter was generated and sent out again after confirming the respondent's mailing address. A more frequent problem, although still small in scale, was the number of returned thank-you letters with checks. In total, 61 incentive checks were returned because they were undeliverable. For each of these cases, RTI recontacted the respondent and confirmed their mailing address before sending out a new check. In most cases, the apartment number was missing and was the cause for the returned check.

5. Data Collection Methods

Data collection for AWSC-R consisted of three essential steps: contacting (carrying out the necessary steps to reach the household member), screening (identifying and selecting eligible sample members), and interviewing (persuading the sample member to cooperate and take part in the study). This section describes the results of the AWSC-R data collection effort, and evaluates the effectiveness of the data collection procedures used in contacting, screening and interviewing sample members.

5.1 Initial Telephone Interviewer Training

Training of telephone interviewers for AWSC-R took place in Greenville, North Carolina, on October 25 and 27, 2003. A total of 17 interviewers were trained. The training session lasted six hours. The trainers used a combination of lecture, role-play exercises, question-and-answer sessions, demonstration and practice interviews, and a discussion on how to avoid refusals. The demonstration and practice interviews were designed to focus on procedures involving particular situations that the interviewers were expected to encounter. At the end of training, all telephone interviewers were required to be certified for data collection by successfully completing a certification interview. This evaluation was conducted with interviewers in pairs and consisted of a full-length interview with project staff observing. In addition, interviewers were required to respond orally to the five most frequently asked questions.

In addition to the six-hour project training, all bilingual interviewers had to complete a two-hour training session with a language specialist. The bilingual training consisted of covering translation issues and completing practice interviews in Spanish. All bilingual interviewers who were trained during this initial session conducted English interviews until the Spanish instrument was ready for production. Spanish interviewing began December 3, 2003.

5.2 Sample Uploads

The sample was uploaded into the CATI system throughout data collection. The initial sample upload was on October 28, 2003, and contained 2,030 sample lines. This was 2 potential renters for the 1,015 homeowners received from UNC-CCC. The second upload of sample was on November 18, 2003, and contained 148 sample lines. On November 21, 2003, the third upload of 868 sample lines and on November 24, 2003, an additional 36 sample lines were completed for a total of 3,082 sample lines that were being worked. At this time, RTI decided to

not release any additional sample until some of the issues concerning data collection were resolved.

On January 20, 2004, RTI began adding new sample. On this date, 4,157 new sample lines were uploaded into CATI. The next upload occurred on January 26, 2004, with 1,858 new sample lines. On February 28, 2004, and March 2, 2004, 628 and 749 new sample lines were added, respectively. On March 9, 2004, 1,293 sample lines were released, and on March 17, 2004, another 768 sample lines were released. The final sample was added on March 31 and April 9, 2004, with 2,017 and 391 sample lines released, respectively, for a total of 15,943.

5.3 Screening and Interviewing

Data collection during the first year of production involved screening sampled telephone numbers, identifying and selecting eligible household members, and conducting the CATI interview with selected low- to moderate-income renters. For the purposes of this study, low- to moderate-income renting households were defined as households where

- the property owner did not reside in the unit;
- at least one (1) person in the household paid cash rent to the owner of the unit; and
- the household income was less than or equal to 80 percent of the area median income; or the household income was less than or equal to 115 percent of the area median income and
 - the participant was an ethnic minority, or
 - the household was located on a census tract that had 30 percent or greater ethnic minority population, or
 - the household was located in a low-income census tract.

In addition to these requirements, each respondent had to be at least 18 years of age. All household members who considered themselves to be full-time students were screened out as ineligible.

In February 2004, a new age requirement for eligible respondents was implemented. Between the months of October 2003 and February 2004, 20 percent of the interviews were conducted with individuals over age 65. This posed a problem considering the companion piece (i.e., the CAPS/Homeowners survey) only conducted 2 percent of their interviews with individuals over age 65. In February 2004, an additional screening question was added to the

interview. The age requirements set forth limited the sample to only individuals between the ages of 18 and 64. Anyone over age 65 was screened out of the interview as ineligible.

The CATI interview lasted approximately 30 minutes. During the interview, renters were asked basic questions about their household, their involvement in their neighborhood, and issues involving renting or buying a home. Data collection began on October 28, 2003, and ended on April 30, 2004. Once CATI production began, the summary status reports were made available for RTI project staff as well as CCC. Of the sampled 15,935 households, the study produced completed interviews with 1,651 respondents. The average number of hours per completed interview was 3.30. Of the 1,651 completed interviews, 192 interviews (11.6 percent) were conducted in Spanish.

5.4 Data Collection Problems and Resolutions

5.4.1 Issues with Sample

For the AWSC-R project, the goal was to complete 1,551 interviews with eligible renters who were matched geographically and demographically to a sample of homeowners provided by UNC-CCC. To achieve this goal, 3,046 sample cases were initially loaded into the CATI instrument. The renter's sample was matched to only 1,015 of the 1,551 homeowners RTI expected to receive. At the start of data collection, only two renters were released for each homeowner received so far.

Within the first few days of data collection, 475 numbers were coded as disconnected phone lines. Although these numbers were in line with most of the other Random Digit Dialing (RDD) studies conducted by RTI, these numbers were sent to Telematch. Telematch is a computerized residential telephone number service consisting of over 65 million listings, over 1 million not-yet-published numbers of new movers, and over 10 million businesses. Telematch uses a name, street address, and zip code as search criteria. Forty-five percent of the cases were returned with new telephone numbers. The results were incorporated into the information preloaded into the CATI database.

RTI's eligibility requirements for the study also became an issue during the beginning months of data collection. Most RDD studies conducted by RTI in the past have had less than a one percent ineligible rate. By the beginning of December 2003, 13 percent of the sample had been screened out as ineligible. RTI needed more sample in order to meet the targeted goal of 1,551 completed interviews by the end of data collection.

5.4.2 Initial Actions Taken

RTI held an internal meeting on November 25, 2003, to discuss possible strategies for improving the AWSC-R data collection effort. This meeting included six members of RTI's Call Center Operations group. These individuals work mainly in the area of telephone research and have considerable experience working on RDD studies. This meeting was intended to solicit recommendations on how to improve the AWSC-R data collection effort.

The first recommendation that emerged was to revise the introductory and refusal scripts in order to promote more cooperation among household members. The new introduction was scripted in a way that was more conversational for the interviewers. The introduction was revised so that interviewers pushed the incentive more during the opening moments of the call and they also informed households up front that RTI was not trying to sell them anything. The new introduction scripts went into production on December 19, 2003.

A second recommendation involved project staff working closely with the Project Supervisor at the Call Center to create mandatory Frequently Asked Questions (FAQ) quizzes for interviewers to complete on a weekly basis. The purpose of the quizzes was to provide the interviewers with additional practice in addressing possible respondent concerns. This was also used as a tool for the Project Supervisor to evaluate each interviewer's progress on the project.

A meeting was also scheduled with project telephone monitors on the importance of providing immediate feedback to interviewers who encountered difficult call situations or refusals. Special emphasis was placed on screening and gaining cooperation from respondents. Project staff members also increased their number of monitoring hours for quality control purposes.

RTI project staff also evaluated the call attempts made on cases during the evening, weekend, and morning hours. If a high number of unsuccessful call attempts were made during a particular time of day, RTI adjusted the CATI scheduler accordingly.

A second meeting was held on December 10, 2003, with RTI statisticians and programmers to discuss and revise a sample selection and sample release plan based on the data gained from the initial sample release. It was decided that due to RTI's strict eligibility requirements, more sample had to be added and screened in order to obtain the desired number of completed interviews. It was also decided that this could be accomplished by revising how Genesys selects the addresses for the sample, and selecting and releasing up to 10 addresses for each homeowner being matched. In order to successfully complete this in some areas, RTI

expanded the geographic area from the Census Block Group to the Census Tract so that an adequate number of addresses would be selected. In addition, RTI decided to remove the \$5 up-front incentive from the lead letter and only pay respondents \$20 on completion of the CATI interview.

5.4.3 Issues with Interviewing Spanish-Language Cases

After the initial interviewer training at the end of October 2003, the Spanish version of the questionnaire was not ready for production. When the Spanish version of the questionnaire was ready for production in December 2003, RTI's Call Center had a backlog of approximately 130 Spanish-language cases. At the time, RTI only had one bilingual interviewer who could work these cases; but this was not seen to pose a problem because there would be more than sufficient sample for the interviewer to work. With the approaching holidays, work slowed and the number of pending Spanish-language cases remained unchanged into the beginning of January 2004. With the release of new sample in January, the number of pending Spanish-language cases rose to over 230 by the beginning of February. The reason for the rise in pending cases was the lack of production hours devoted to AWSC-R by RTI's bilingual interviewer. This situation was brought to the attention of RTI Call Center management and appropriate actions were taken to solve the problem.

The bilingual interviewer in RTI's Greenville, North Carolina, Call Center was split between four different surveys and was not giving the AWSC-R survey the production hours required to effectively work the Spanish-language cases. In February 19, 2004, two additional bilingual interviewers were trained in RTI's Raleigh, North Carolina, Call Center to work these cases. With the addition of more sample and trouble getting production hours, the decision was made on March 3, 2004, to add three additional bilingual interviewers to work the still increasing number of pending Spanish-language cases. These additional interviewers were trained on March 23, 2004, and March 29, 2004. Project staff worked very closely with RTI Call Center management to ensure that all Spanish-language cases would be worked thoroughly prior to the end of the data collection effort.

During the second half of March 2004, RTI communicated with UNC-CCC to determine the projected goal for completed Spanish-language interviews. UNC-CCC requested that 150 to 250 (10 percent – 17 percent) of the interviews completed be in Spanish so that it would be comparable to the CAP sample, which had 14.3 percent of the interviews completed in Spanish in the top 30 MSAs that AWSC-R was matching to. At the end of data collection, RTI completed 192 interviews (11.6 percent) in Spanish of the total 1,651 completed interviews.

5.5 Additional Training Sessions for English and Spanish Telephone Interviewers

Due to interviewer attrition, additional project trainings were conducted to ensure that RTI provided adequate coverage for incoming calls to the project-specific 800 number and that telephone CATI calls were made at appropriate times for the various time zones. Interviewers were recruited to work shifts that covered weekday, night, and weekend hours. New interviewers recruited to work on the project received general telephone interviewer training prior to attending a project-specific training session. General interviewer training covered interviewing techniques, obtaining cooperation, and maintaining respondent confidentiality.

On February 27, 2004, an additional training session was conducted in Greenville in order to staff the project with enough interviewers to handle the caseload. A total of 19 interviewers, monitors, and team leaders were trained during this additional session.

There were three additional bilingual trainings conducted in the months of February and March 2004 to cover the increasing number of Spanish-language cases. Due to the delay of the Spanish instrument, interviewer attrition became a problem. In order to ensure shift coverage, additional trainings were scheduled. The first bilingual training took place on February 19, 2004. Two bilingual interviewers were trained during this session. A second bilingual training took place on March 23, 2004, where two more bilingual interviewers were added to the project. The last bilingual interviewer training occurred on March 30, 2004. Only one more bilingual interviewer was trained during this session. All of the bilingual interviewers, with the exception of one interviewer, were based out of RTI's Raleigh Call Center.

5.6 Monitoring and Quality Circle Meetings

RTI project staff implemented quality control (QC) procedures during the telephone data collection period to ensure that data of the highest quality would be collected. The first QC measure was implemented during the interviewer training sessions. The trainers and telephone supervisor observed each interviewer's performance during the session and made sure that extra attention and help were given to those interviewers who had a problem with a procedure or question specification. Interviewers were not allowed to begin work on the project unless they had performed satisfactorily during the training. Also, to work on the AWSC-R project, each interviewer was certified by project staff. Certification included successfully completing the training session, correctly answering orally the five most frequently asked questions,

participation in paired mock interviews, and individual practice with the questionnaire and front-end procedures.

The second QC measure was implemented during the telephone data collection period and involved silent audio and visual monitoring of each interviewer's work. Telephone supervisors and other project staff used RTI's computerized silent audio and visual monitoring system to unobtrusively listen and view a sample of calls made by all telephone interviewers. Monitoring was conducted throughout data collection. An example of the success of this QC monitoring procedure involved the observation of an interviewer falsifying data in the questionnaire. The interviewer was released from their position immediately, and all six interviews completed by the interviewer during the course of the study were deleted from the data set. An experienced interviewer or team leader called back the six cases and readministered the questionnaire. Of these six cases, one was coded out as ineligible because the respondent was in an assisted-living facility, three were unable to be contacted again, and two completed the interview. These respondents were paid the \$20 incentive again on completing the interview. The incident was reported to both RTI's IRB and RTI's Scientific Integrity Board for review. No additional action was taken by either board.

Finally, RTI project staff actively monitored production levels and the distribution of cases across the event and status codes. Quality circle meetings were also held to discuss data collection issues. These sessions build rapport among interviewers and technical staff and assisted in refining the instrument. These meetings also provided ongoing refusal conversion training for the staff.

5.7 Refusal Conversion

Refusal conversion procedures were used to gain cooperation from individuals who refused to participate in the study. Each case coded as a refusal by the interviewer was carefully reviewed to ensure that all refusals were coded correctly. After the review process, the case was referred to refusal-conversion specialists who were selected from among those interviewers most skilled in obtaining cooperation and were given training in refusal-conversion techniques tailored to the study. The training emphasized how to gain cooperation, overcome objections, address the concerns of gatekeepers, and encourage participation. RTI refusal converters were able to convert 220 initial refusals into completed interviews (5.94 percent conversion rate). This conversion rate is in line with other RDD studies conducted by RTI, where from 5 percent to 10 percent of initial refusals were converted into completed interviews.

5.8 Pending Cases Put on Hold in Areas Where Quota Was Filled

At the beginning stages of data collection, only two renters were released for each homeowner. This number was increased to 10 renters for each homeowner that RTI was matching on for sample-building purposes. To successfully complete this in some areas, RTI expanded the geographic area from the Census Block Group to the Census Tract so that an adequate number of addresses could be selected.

All 10 addresses were released at one time. However, as renters were “matched” to homeowners, the extra addresses were removed from CATI so that the interview was not conducted with too many renters from a particular Census Block Group (or Census Tract as appropriate). In Census Block Groups (or Census Tracts as appropriate) where there was more than one homeowner, all additional addresses remained in CATI until the proper number of homeowners was “matched” and then the extra addresses were removed.

6. Case Management/Reporting System

CATI-CMS is the technological infrastructure that connects the various components of the CATI system, including the questionnaire, utility screens, data bases, call scheduler, report modules, links to outside systems, and other system components.

6.1 Call Scheduler

The RTI call scheduler is used to assign cases to interviewers in a predefined priority order. In addition to delivering appointments to interviewers at the appropriate time, the call scheduler also calculates the priority scores (the order in which cases need to be called based on preprogrammed rules), sort cases in nonappointment queues, and computes time-zone adjustments to ensure cases are not delivered outside the specified calling hours.

The RTI call scheduler consists of three programs: (1) the parameter file whose logic is implemented once per hour, (2) the case delivery program that carries out specifications of the parameter file and delivers cases to interviewers on demand, and (3) a special program that handles appointments due before the next implementation of the parameter file.

The parameter file specifies the allowable calling hours (in respondent time), allowable ranges to use, and instructions for sorting and delivering the cases within each scheduler queue.

Once every hour, the scheduler “shuffles” cases to update the pool and priority values of available cases. Specifically, the scheduler

- removes cases for which it is now past the end of the calling day,
- adds cases for which it has now become an acceptable hour to call, and
- calculates priority scores and sorts cases within queues.

A case will be assigned to whichever queue, is appropriate based on the roster line that has been selected for the next call. Three project-specific queues were set up to handle “difficult” cases, such as nonrespondents. These queues were only accessible to experienced interviewers and supervisors, and they were mapped to a separate menu option.

6.2 Callbacks

The automated scheduler allows interviewers to set three types of appointments. A *hard appointment* is one for which the interviewer has actually made an agreement with the sample member to call at a specific time. A *soft appointment* is one for which the interviewer obtained information that the sample member might be or usually is available at a particular time. A *random appointment* is one for which the interviewer had no specific information about a time to contact the sample member but was told to call back another time; or it is a callback set by the interviewer based on information recorded in the record of events for that case.

The automated scheduler is programmed to keep track of all the callbacks to potential sample members. An interviewer's responsibility is to accurately record the necessary information for prompt call returns. When interviewers log on or need a new case, the call scheduler automatically assigns the interviewer the next available case in the following order: hard appointments to callback, soft appointments to callback, missed appointments, records that were otherwise unresolved, and new cases. In this way, the scheduler keeps up with the sample to ensure that calls are returned efficiently and promptly.

6.3 Status Codes

At the end of each call or attempted call the computer automatically assigns an event code based on the interviewer's answers to previous questions. The interviewer then selects the call result that best describes the outcome of the call. CMS then assigns an appropriate event code, which is a code that describes what happened on a particular call to the roster line. At least one event code will be written to the record of events for each call made to the roster line or each time a change to the status code is made by a supervisor or by the CATI system.

There are also two other types of codes: line level status codes and summary status codes. Line level status codes summarize all activity to date on a particular roster line. The status code is updated automatically by the CATI system after each new event for the roster line. Summary status codes, on the other hand, summarize all activity for the entire case, taking into account the status codes of each individual roster line.

6.4 Problem Sheets

Throughout the course of data collection, interviewers completed electronic problem sheets as problems arose. Telephone & Internet Operations (TIO) team leaders were responsible

for sifting through the problem sheets and forwarding any unresolved questions to the appropriate person. Only problems that could not be resolved by reference to the training manual or by talking to a supervisor were reported electronically. On resolution, the problem was documented on the problem sheet and returned for follow-up and/or filing.

7. Project Management

During this project, RTI understood that effective project management and technical excellence were equally crucial to providing high-quality products that fulfilled contractual obligations within the established budget and schedule. To this end, RTI followed policies and procedures put in place to ensure that project performance was at the level expected by UNC-CCC. Continuous communications allowed UNC-CCC to provide feedback on RTI's technical accomplishments and make modifications to work plans and/or budgets as necessary.

A kickoff meeting was convened on April 21, 2003, where staff roles were defined, goals and objectives for the AWSC-R study were articulated by UNC-CCC, and project tasks were outlined. Pending deliverables and the project schedule were also reviewed. During Year 1 of the project, RTI submitted monthly progress reports to keep UNC-CCC apprised of the project's status. Additionally, RTI worked closely with UNC-CCC through weekly conference calls and onsite meetings as needed. These opportunities for communication were critical to facilitate resolution to project barriers. For example, data collection did not progress as planned; after one month, there were fewer than 200 completes. Specifically, data collection during November and December 2003 yielded a total of 232 interviews. Subsequently, RTI held internal meetings to review suggested changes and enhancements to current procedures. Proposed changes were documented and a teleconference was held with UNC-CCC to discuss them. Shortly thereafter, UNC-CCC approved these changes. After RTI implemented the joint RTI/UNC-CCC plan to correct data collection production rate problems, RTI staff completed 508 interviews during January and February 2004. Data collection ended on April 30, 2004, with 1,651 completed interviews.

8. Data Files and Documentation

Data files and documentation for AWSC-R consisted of four primary activities: interim data delivery (delivering preliminary datasets to UNC-CCC for review and comments), codebook work (preparing and delivering a preliminary and ultimately a final codebook for the AWSC-R dataset to UNC-CCC for review and comments), final data delivery (delivering the final renters' survey dataset including analysis weights, latitude, and longitude, as well as the data in the preliminary dataset from the instrument, the CATI-CMS, and the control system), and the user manual work (a manual that contains the full text of the interview instrument specifications and the name and description of the corresponding variables in the SAS dataset, a description of the calculations of derived variables, and a description of the calculation of the weights). This section provides a detailed description of all of the previously mentioned data file and documentation work in Year 1 of AWSC-R.

8.1 Interim Data Delivery

Preliminary datasets were delivered to UNC-CCC on June 10, 2004, for review and comments. These datasets included:

- Preload data for all cases in the sample. This was data on potential renters that RTI received from Genesys after giving them the homeowner addresses provided to RTI by UNC-CCC. In addition to a nearby address of a likely rental unit, Genesys provided RTI the name of someone living at that address, their phone number, and selected Census data at the tract level (e.g., the percentage of people who belonged to a racial minority, the percentage of people who spoke Spanish). This dataset contained 15,855 observations and 19 variables.
- Homeowner data for owners linked to cases in our sample. This was data that RTI received from UNC-CCC identifying the addresses of homeowners who completed an interview for the Owners Survey. RTI restricted the Renters Survey to 31 MSAs. These homeowners were in those MSAs; however, they may not be linked with a completed renter interview. This dataset contained 1,551 observations and 7 variables.
- Data from renters who completed an interview for the Renters Survey. This data included variables from the Control System and CATI-CMS, as well as variables from the interview. This dataset contained 1,651 observations and 582 variables.

8.2 Codebook

On June 29, 2004, RTI delivered a preliminary codebook for the renters' dataset to UNC-CCC for review and comments. This codebook showed the name of each variable and a brief description of the variable. For discrete variables (e.g., gender), the codebook showed the frequency of each response. For continuous variables (e.g., monthly rent), the codebook showed the mean and standard deviation of the responses. The codebook also showed the unweighted frequency of "Don't Know" and "Refused" responses for all variables.

Each variable was given a label (brief description) that will appear in listings generated by SAS procedures (e.g., proc contents and proc freq). Variables whose values are codes were linked with SAS formats to interpret the codes. For example, if the possible responses were

1. Male
2. Female

the SAS format will cause the "Male" and "Female" to be printed whenever the variable is referenced. Frequencies of categorical items are included in the codebook for the final dataset of completed AWSC-R interviews.

8.3 Final Data Delivery

The final data set of renters who completed an interview was delivered to UNC-CCC on August 6, 2004. This SAS data set contained 1,651 observations and 493 variables.

The final renters' survey dataset includes analysis weights, latitude, and longitude, as well as the data in the preliminary dataset from the instrument, the CATI-CMS, and the control system. A codebook for the final renters' dataset was also delivered.

8.3.1 Weights

The final dataset has been provided with the final weights to allow analysis of the response variables. The weights can be used to make inferences about low- and moderate-income renters in the "neighborhoods" of the homeowner panel. In calculating variances and conducting statistical comparisons, the stratification variable is the MSA and the primary sampling unit is the renter panel member. The sample design can be treated as stratified simple random sampling with replacement.

8.3.1.1 Description of the Calculation of Weights

The renter panel members were selected at different probabilities (across the owners) depending on the availability, eligibility, and cooperation of potential renters. To minimize unequal weighting effect (from extreme weights), weighting classes were formed. Each weighting class consists of either a single county or two or more adjacent counties. All weighting computation was performed independently within weighting classes. Analysis weights were computed in several stages:

- The sampling weight is computed as the ratio of the count of available potential renters and the count of released potential renters. The count of available potential renters was obtained from Genesys from listed households with renter/owner codes of 0 or 1 and estimated incomes of \$50,000 or less in the same Census tract as the owners.
- Using the status codes of the released potential renters, the potential renters can be classified as
 - cases with unknown household status (cannot be determined if case is a household, business, or other nonhousehold),
 - known business or other nonhousehold (such as pay phone),
 - known household but unknown eligibility status,
 - known ineligible household,
 - known eligible household but no completed interview, or
 - known eligible household with completed interview.
- Adjust sampling weight for unknown household status by the ratio of weight-sum for total number of cases and the weight-sum of cases with known household status
- Adjust weight of known households with known eligibility by ratio of weight-sum of known households and the weight-sum of households with known eligibility.
- Adjust households with completed interviews by the weight-sum of households with known eligibility and the weight-sum of households with completed interview.

8.4 User Manual

In addition to the codebook for the final dataset, RTI prepared

- a User Manual that contains the full text of the interview instrument specifications and the name of the corresponding variable in the SAS dataset,
- a description of the calculations of derived variables, and
- a description of the calculation of the weights.

9. Conclusion

This report covers Year 1 of a planned five-year AWSC-R data collection effort. The plan is to produce an annual Final Report for each of five years and a final cumulative Project Summary covering all five years of AWSC-R.

In summary, RTI's data collection efforts for Year 1 ended on April 30, 2004, with 1,651 completed interviews. This exceeded the proposed target of 1,551 complete interviews. The project's success in Year 1 can be attributed to changes and enhancements RTI made in conjunction with UNC-CCC to the original data collection procedures to overcome barriers as they were encountered. Some of the data collection barriers encountered included:

- not enough sample initially released because of strict eligibility criteria,
- finding a large percentage of the sample was nonworking numbers,
- missing apartment numbers, so that a large percentage of lead letters were returned as undeliverable,
- the introduction was too long and could not be read before respondents would hang-up on the interviewer,
- enrolling too many respondents who are aged 65 and older, and
- difficulty staffing and working Spanish-language cases.

Additionally, RTI kept in close communication with UNC-CCC and was responsive to their need to ensure that project tasks were executed in a timely and cost-effective manner.

Overall, the lessons learned and problems encountered and overcome in Year 1 of this project will build a solid foundation for future successful data collection efforts in Years 2–5.