INTERVIEWER INSTRUCTIONS

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I. THE SCREENING AND CALL REPORT FORM

The Screening and Call Report Form for this study is a four‑page form with screening questions on three sides and the Call Report Form on the other. The form will come in four colors: gray for all originally assigned old sample cases, with pink for reassigned old sample cases; buff for all originally assigned new sample disability cases, with green for reassigned new sample cases.

You are required to complete a Screening and Call Report Form for each respondent either assigned or reassigned to you.

A. THE SCREENING FORM

Your first field task will be to place one of the respondent labels in your assignment in the box marked LABEL in the upper left hand corner of the Screening Form. This form will then be used to ensure you are interviewing a respondent or to select an appropriate proxy for the respondent (see pages 7‑ 10 for an example of the screening and call report form). Since the names of the people in your assignment have either already been interviewed or have been provided by the Social Security Administration from lists of beneficiaries, we expect that there will be very few cases when a respondent or the surviving spouse will not "pass" the screening questions. It is always possible for mistakes to be made, however, so you must begin by asking questions 1 through 12 on the Screening Form.

Q.1 This refers specifically to the respondent designated on the label. If R is available and capable of providing the interview, always administer the questionnaire to designated R. Otherwise, continue with Q.2.

Q.2 This question allows us to determine the situations in which R is not available and the appropriate action.

a) If R is not at home or temporarily away, determine when R will return and subsequently conduct interview with R.

b) If R is away for the duration of the study, record R's current address on call report form and complete the questionnaire at that new address if within 25 miles of your home. Otherwise, contact your coordinator for further instructions.

c) If R has been placed in a nursing home or is too ill to be interviewed, or there is a language barrier, use a spouse or relative as a proxy for the respondent. See discussion of code 2 of the call report form for a listing of eligible proxies.

d) If R is deceased, go to Q.3.

e) Finally, if R is unavailable for some other reason and you believe you will be unlikely to complete an interview with this respondent, record the reason on the "Other Specify" line and return form to ISR for evaluation.

Q.3 If R is deceased, ask to speak to his widow/her widower. If surviving spouse is available, skip to Q.5. Otherwise, go to Q.4 to determine appropriate action.

Q.4This question allows us to determine what action to take when R's surviving spouse is not available.

a) If R was never married and has no surviving spouse,circle code "1" and terminate screening.

b) If the surviving spouse is not at home or temporarily away, determine when the spouse will return and subsequently conduct the interview with that surviving spouse. Use the "Surviving Spouse Questionnaire."

c) For a surviving spouse who is away for the duration of study, record the current location. If within 25 miles of your home, complete questionnaire at the new address. Otherwise, contact your coordinator for further instructions.

d) If the surviving spouse has been placed in a nursing home or some other kind of institution, attempt to conduct the interview in the institution; no proxies will be accepted for a surviving spouse.

e) If the surviving spouse is too ill to be interviewed or there is a language barrier, circle code "8" or "9" and terminate the screening.

f) If R's spouse is also deceased, circle code "10" and terminate the screening.

g) If a spouse is unavailable for some other reason, attempt the interview later if at all possible and within the 25 miles of your home. Otherwise, circle code "77," record circumstance and, again, contact your coordinator for further instructions.

Note: all surviving spouses are eligible to be interviewed with the "Surviving Spouse Questionnaire"‑‑even in the case of separation or divorce.

Q.5 Find out if, in fact, the surviving spouse was married to R in all or any part of 1982.

Q.6 Record the full name; include maiden name where appropriate.

Q.7 Record the surviving spouse's Social Security number.

Q.8Record the date of birth of the surviving spouse.

Q.9 Record the date of birth of the deceased R.

Q.10 Record the month and year the surviving spouse married the designated R.

Q.11 In Q.11, record the month and year the designated R died. If before 1982, probe to make sure that the designated R actually died on that date, and that you are talking to the spouse of the designated respondent on the label. If so, return the form to ISR.

Q.12 Determine if the surviving spouse has remarried following the designated R's death.

BE SURE TO ASK THE RESPONDENT FOR HER/HIS TELEPHONE NUMBER (upper right corner of Screening Form). Almost everyone has access to a phone, so you should be

able to get a number for nearly every case.

B. THE CALL REPORT FORM

Each time you contact a respondent, record the time, date, how contacted (Telephone or Personal) and result of that contact in the Result of Call chart in the upper half of the Call Report Form (see page 10). Although space has been provided for 10 calls, you are responsible for contacting each respondent until you have obtained a final disposition with that person. If necessary, those additional calls can be recorded in any available space on the form or on an extra sheet of paper which should be stapled to the form. Include respondent's name and case number at the top of this extra sheet of paper.

Use the codes listed below to describe the results of each call:

Code 1 ‑You conducted and completed an interview with either the designated R or a surviving spouse. As noted, when discussing the screening form, if the designated R has died, then you should attempt to administer the "Surviving Spouse Questionnaire" to the deceased R's spouse. In both cases, place the completed Screening and Call Report Form between the first two pages of the appropriate questionnaire, and return the interview in your next mailing.

Code 2 ‑ You conducted and completed the interview with a proxy for the respondent. Describe the respondent's limitation and the reason for the proxy interview. Place the completed Screening and Call Report Form between the first two pages of the questionnaire, and return the interview in the next mailing. Note: the designated respondent is the subject of the interview not the proxy. The interview is always about the designated R and his/her spouse (if currently married).

If the designated beneficiary is capable of providing the interview and has not been institutionalized, then no proxy respondents will be allowed. If R is at home, but physically or mentally incapable of providing the interview, or if R has been institutionalized, then a proxy will be

allowed. In order of preference, the following list defines the four types of proxy respondents who will be allowed to provide information:

(1) Spouse

(2) Child over the age of eighteen who is living with the respondent; if more than one child fits this definition, the interview should be attempted with the oldest child.

(3) Any other person over the age of eighteen who is living in the household and who has known the R for two years or more. If more than one person fits this definition, choose the one who has known R the longest.

(4) If no one in R's household meets any of the three criteria above, then someone outside R's household may be the proxy. This person would preferably be a sibling or a child over the age of eighteen. If no relative is available, the proxy could also be a friend or, if R is institutionalized, an employee of the institution who is capable of supplying at least the health, income and asset information. However even if the respondent has been placed, for example, in a nursing home or some other institution, he/she may still be well enough to complete the interview. Before trying to find a proxy who is an employee of an institution, first see if you can complete the interview with the respondent himself or herself.

If, as you attempt to obtain the employment history since December 1982, it becomes clear that the proxy respondent can provide little or no information, then you should ask if any other person can give the needed employment, health, income and asset information. If another person is a better proxy and fits one of the four categories described above, then attempt to complete the interview with that person.

Code 3 ‑ The respondent or a surviving spouse was home, but was not available to be interviewed then. Record the date and time you are to return to complete the interview. Keep the form until the interview has been completed.

Code 4 ‑ The respondent or the surviving spouse was not home, but someone else in the household was. Find out when R or the surviving spouse is expected and record that information so that you can return then. Keep the form until you complete the interview.

Code 5 ‑ If no one is home, keep the form and call back at a different time of day when you are more likely to find someone at home.

Code 6 ‑ If the designated R or the surviving spouse refused to answer the questions on the Screening Form, use this code. Write a brief description of the circumstances surrounding the refusal, and your suggestions for overcoming it. Return this form in your next mailing.

Code 7 ‑ If the designated R or the surviving spouse answers the screening questions and then refuses to complete the interview, use this code. Again, describe the reason for refusal and your suggestions for overcoming it. Return this form in your next mailing.

Code 8 ‑ If a proxy is indicated but refuses to give the interview, use this code. Describe R's health or language limitation and return the form in your next mailing.

Code 9 ‑ Use this code if there is no proxy available and the respondent has a health limitation and is incapable of providing the interview. This code should also be used if the surviving spouse is too ill to be interviewed. As noted, there will be no proxies for the surviving spouse. Describe the type of health limitation, and return the form in your next mailing.

Code 10 ‑ Use this code if the respondent or the surviving spouse cannot speak English well enough to complete the interview and there is no proxy for R. (Try to identify and record the language spoken.) This code is also to be used if R or the surviving spouse has a speech or hearing impairment that will not allow you to get through the interview and there is no proxy for the designated R. Describe the type of barrier, and return the form in your next mailing. Again note: if the surviving spouse cannot speak English or is speech or hearing impaired, no proxies are to be accepted. Proxies are accepted only for currently living R's.

Code 11 ‑ If the person named on the label is deceased and had never been married, record the name of the person who provided this information, his/her present address and his/her relationship to the respondent (e.g., neighbor, mail carrier). Return the form in your next mailing.

Code 12 ‑ The deceased R's spouse is also deceased. Follow the instructions for code "11."

Code 13 ‑If the respondent or the surviving spouse will not be home before the deadline date for the study, use this code. Be sure to record the date R, or the surviving spouse is expected home, and his or her temporary address and phone number. Return this form in your next mailing.

Code 14 ‑ If the person on the label or the surviving spouse no longer lives at the address printed on the label, use this code. Obtain the respondent's current address, and make the address correction on the label. Determine whether you are allowed to follow R or the surviving spouse to the new address (Does he/she live within a 25‑mile radius of your home?). Either contact R or the surviving spouse at the new address, or contact your coordinator for further instructions, if R or the surviving spouse now lives outside 25‑miles of your home.

Code 15 ‑ Use this code when a neighborhood contact is made (e.g., mail carrier, neighbor, or corner store). Write in the name and address of the contact and any information that she/he supplied.

Code 16 ‑ Use this code only when you must make more than one neighbor contact to locate the respondent (e.g., mail carrier, corner store).

Code 17 ‑ Use this code only when no other code is appropriate. Describe the circumstances fully, and return the form in your next mailing if it is a final result.

Final results are those for which you are to return the Screening and Call Report Form to ISR. These include codes 1, 2, 6, 7, 8, 9, 10, 11, 12, 13, and 17. Code 14 can also be a final result if the new address for R is outside of a 25‑mile radius of your home.

Codes 2, 3, 4, 6, 7, 8, 10, 11, 12, 13, 15, and 17 require additional information in the Description Column.

NOTE: At the very bottom of the Call Report Form is the indicator that lets you know whether a pink or green Screening Form is reassigned, or a reassigned refusal. Although this legend appears on the gray, buff, pink and green forms, it will only be checked on the pink and green forms for reassigned work.

INSTITUTE FOR SURVEY RESEARCH

TEMPLE UNIVERSITY

‑Of The Commonwealth System Of Higher Education‑

1601 NORTH BROAD STREET

PHILADELPHIA, PENNSYLVANIA 19122

WINTER/SPRING 1990‑1991 STUDY#31‑1591‑151

NEW BENEFICIARY FOLLOW‑UP SCREENING FORM

LABEL:

CASE#: DIS CODE #:KEY DATE:

NAME: PHONE #:

ADDRESS:

l.. May I talk with (NAME ON LABEL)?

(ADMINISTER MAIN QUESTIONNAIRE TO NAME ON LABEL) Yes 1

No 2

2.Why is (he/she) not available?

(DETERMINE WHEN R WILL RETURN) Not at home 01

AND SUBSEQUENTLY ADMINISTER MAIN Temporarily away 02

QUESTIONNAIRE TO DESIGNATED R)

(DETERMINE R'S LOCATION R away for duration of study 03 AND COMPLETE INTERVIEW)

(USE SPOUSE OR OTHER Nursing home 04

RELATIVE AS PROXY RESPONDENT Other medical care facility 05

FOR MAIN QUESTIONNAIRE) Prison or correctional institution 06

Physically or mentally unable to be interviewed 07

Language barrier 08

(ASK Q. 3) Deceased (SPECIFY DATE): 09

(MONTH) (DAY) (YEAR)

(IF UNABLE TO COMPLETE QUESTIONNAIRE

WITH DESIGNATED R, RETURN CALL REPORT Other (SPECIFY): 77

FORM TO ISR)

3. May I speak to (his/her) (widow/widower)?

(SKIP TO Q. 5 AND ASK REMAINING QUESTIONS OF DECEASED R'S SPOUSE) Yes 1

No 2

4. Why is (he/she) not available?

(THANK INFORMANT FOR INFORMATION

AND TERMINATE SCREENING) R never married 01

(DETERMINE WHEN SPOUSE WILL

RETURN AND SUBSEQUENTLY COMPLETE Not at home 02

SCREENING FORM AND SPOUSE Temporarily away 03

QUESTIONNAIRE WITH DECEASED R'S

SPOUSE)

(DETERMINE SPOUSE'S CURRENT

ADDRESS AND SUBSEQUENTLY

COMPLETE SCREENING FORM AND Away for duration of study 04

SURVIVING SPOUSE QUESTIONNAIRE

WITH DECEASED R'S SPOUSE)

(IMPOSSIBLE, COMPLETE Nursing home 05

SCREENING FORM AND SPOUSE

QUESTIONNAIRE WITH DECEASED R'S Other medical care facility 06

SPOUSE IN OTHER LOCATION;

PROXY NOT ACCEPTED) Prison or correctional institution 07

(THANK INFORMANT FOR INFORMATION

AND TERMINATE SCREENING) Physically or mentally unable to be

interviewed 08 Language barrier 09

(THANK INFORMANT FOR INFORMATION

AND TERMINATE SCREENING) Deceased 10

(IF POSSIBLE, COMPLETE SCREENING FORM Other (SPECIFY): 77

AND SURVIVING SPOUSE QUESTIONNAIRE

WITH DECEASED R'S SPOUSE IN OTHER

LOCATION; PROXY NOT ACCEPTED)

5. Were you married to (NAME OF ORIGINAL RESPONDENT) in 1982? Yes 1

No 2

W e are doing a study on Social Security beneficiaries in past years and would like

to ask some questions about (NAME OF ORIGINAL RESPONDENT). But, first, I would

like to get some information about you.

6. What is your full name (including your maiden name)?

(FIRST NAME) (MIDDLE NAME) (LAST NAME) (MAIDEN NAME)

7. What is your Social Security number? (IF HE/SHE DOES NOT REMEMBER, ASK

PERSON TO LOOK UP NUMBER. PHONE BACK, IF NECESSARY.)

8. In what month, day, and year were you born?

(MONTH) (DAY) (YEAR)

9. What was the month, day, and year of (NAME OF ORIGINAL RESPONDENT)'s birth?

(MONTH) (DAY) (YEAR)

10. In what month and year were you married to (NAME OF ORIGINAL RESPONDENT)?

(MONTH) (YEAR)

11. In what month and year were you widowed from (NAME OF ORIGINAL RESPONDENT)?

(MONTH) (YEAR)

(IF BEFORE 1982, PROBE TO ESTABLISH THAT DESIGNATED R DIED ON THAT DATE.

IF DESIGNATED R DIED BEFORE 1982, TERMINATE SCREENING AND RETURN FORM TO ISR.)

12. Did you remarry?

Yes 1

No 2

NOW CONTINUE WITH SURVIVING SPOUSE QUESTIONNAIRE.

INSTITUTE FOR SURVEY RESEARCH NEW BENEFICIARY FOLLOW-UP CALL REPORT FORM #31‑1591‑151

INTERVIEWER' S NAME: ID#

COORDINATOR' S NAME

REASSIGNED INTERVIEWER' S NAME:

CALL# RESULT TIME DATE RESULT CODE DESCRIPTION

1 per

tel

2 per

tel

3 per

tel

4 per

tel

5 per

tel

6 per

tel

7 per

tel

8 per

tel

9 per

tel

10 per

tel

RESULT CODES

\* DESCRIBE ABOVE

l.Completed interview with R or Deceased R's Spouse

\*2.Completed interview with proxy for a currently living R (DESCRIBE R' S LIMITATION AND REASON FOR PROXY INTERVIEW)

\*3. Appointment made with R or deceased R's spouse or proxy (RECORD DATE AND TIME)

\*4.R or Deceased R's Spouse Not home (RECORD DATE AND TIME EXPECTED)

5.No one home.

\*6.Refused screening information.

\*7.Refused interview by designated R or Deceased R's Spouse.

\*8.Refused interview by proxy for designated R.

\*9.Currently living R too ill to be interviewed and no proxy available or deceased R's spouse too ill to be interviewed.

\*10.Language barrier with designated R and no proxy available, or language barrier with deceased R's spouse.

\*11.R deceased--R never married.

\*12.Deceased R's Spouse also deceased.

\*13.R or Deceased R's Spouse away for duration of study (RECORD DATE EXPECTED AND CURRENT LOCATION)

14. R or Deceased R's Spouse doesn't live at this address. (CORRECT ADDRESS ON LABEL. CONTACT IF WITHIN 25 MILES.)

\*15.Neighbor contact.

16.Tracing (RECORD ALL CONTACTS ON TRACING FORM)

\*17.Other

Office will check here if form is: Reassigned or Reassigned Refusal

Date Reassigned:

II. THE NEW BENEFICIARY FOLLOW‑UP SURVEY QUESTIONNAIRE

The purpose of this manual is twofold. It documents the proper way in which to administer the NBF Questionnaire (thus supplementing the instructions in the questionnaire itself) and it provides question‑specific explanations and definitions that you may need to apply during the interview. While they may be rare, it is important that situations and responses that do not readily fit into the framework of the questionnaire be handled the same way by all interviewers. Situations that arise that are not covered in this manual should be brought to the attention of your Coordinator, so that a decision can be made and documented to preserve consistency. Keep in mind, however, that the two most important safeguards of consistency are using the questionnaire exactly as it is intended to be used and asking the questions exactly as they are written.

OVERVIEW

The questionnaire is divided into sections, each dealing with a specific subject area or, in the case of the spouse section, the respondent's spouse. The primary respondent is the beneficiary named on the label. Unless explicitly noted by a phrase such as "your spouse," up to the spouse section, the questionnaire's primary focus is on the respondent himself/herself, that is, the person whose name appears on the label. Sections that explore recent employment history, disability experiences, health and marital changes and economic effects have as main their focus the primary respondent. In the spouse section, however, certain questions asked of the primary respondent or beneficiary are also asked of or about his or her spouse. Subsequent sections dealing with income, pensions, assets and debt focus jointly on both the beneficiary and spouse. The remaining section‑‑subjective income‑‑is asked only of the beneficiary, though QQ.507 and 508 also have as their subject the related persons in R's household.

Before beginning the specific discussion of each section, there is a general issue of consistency within the interview that should be touched upon. Each interview is a true story, of sorts, about the respondent. As such, we might naturally expect it to be logical and consistent. In practice, however, we have found that this may not be the case. Poor recall, asking questions out of context or asking about things that simply are not important to the

respondent can lead to inconsistent answers.

If, during the course of the interview, a situation occurs in which you discover an inconsistency, it is your responsibility to probe that situation. For example: (1) during the household listing, the respondent mentions she has a daughter who no longer lives there‑‑later, when you ask children's income, the respondent mentions income from this child; (2) at the end of the interview, the respondent mentions his current job, but earlier, when you asked about jobs, he told you that he wasn't currently working.

In either of these instances, it is necessary for you to try to resolve the discrepancy. The best technique for doing so is to take responsibility for the "error" yourself. Say something like, "Let's see, I might have misunderstood, but earlier, when we talked about jobs, I thought you said you weren't working now. Do you mind if we go back to those questions and correct them?" If you are unable to resolve an inconsistency, explain the situation in a note.

USE OF PROXIES

In the previous sections devoted to the screening form, conditions under which a proxy can be used to collect information about R have been enumerated. If a proxy is used to collect the information about the primary respondent, then it will be necessary to change the person to whom the questions refers. In many cases, the proxy is likely to be a spouse. When a spouse serves as the proxy, you should substitute "your husband" or "your wife" for the "you"in those questions that apply exclusively to the designated respondent. Similarly, if a child or other relative or a friend is a proxy, then you could substitute R's name‑‑"Mrs. "‑‑for the "you" that is the subject of the questions. You should, in all cases, keep in mind that the questionnaire is about the designated respondent, and, in some sections, her/his spouse. The proxy is only the subject of certain questions when the proxy is a spouse. If

the proxy is someone other than a spouse, then none of the questions collect information about that non‑spousal proxy.

General Note: In most instances (there are only three exceptions), grids which contain multiple questions are handled in a very specific way. You first ask the question ( the "stem") which ascertains whether or not any of the individual items apply. Once you have ascertained this for all the items that make up the stem, you then ask the follow‑up questions about these individual items that were found to apply. For example, the grid on page 6 is handled in this manner. You first ask 19a.‑i., and then, for each year R worked, you ask the follow‑up questions, QQ. 20‑22.

Similarly, on page 41, you first ask all parts of Q.143a.‑ f. and then ask QQ.144‑147 for all the rehabilitation services R received. The only three exceptions are QQ. 161‑ 162. QQ. 184‑185. and QQ. 258‑259. Here you ask the two questions together, the second immediately after the first for each "yes" to the stem. For example, in QQ.161‑162, a "yes" to an item in Q.161 is immediately followed by Q.162. Similarly, a"yes" to an individual item in Q.184 is immediately followed by Q.185. And a "yes" to Q.258 should be immediately followed by Q.259, which asks for the amount personally paid. These are the only three exceptions to the general rule for handling grids with multiple questions.

QUESTION‑BY‑QUESTION SPECIFICATIONS

The Questionnaire Cover Page

Interviewers are responsible for recording the following items on two cover pages of all completed questionnaires and all questionnaires which were started but, for some reason, were terminated before completion. A completed set of cover pages is reproduced on subsequent pages for reference.

On cover page one:

1. Affix the second copy of the label on cover page one.

2.Name of Respondent: If the respondent's current full name differs from the name as it appears on the label, make all changes to the Respondent's name on this line.

If the interview is administered to a proxy respondent, also record both the primary respondent's and the proxy's full names, and indicate which name belongs to each by recording "R:" before the respondent's name and "PROXY:" before the proxy's name.

3. Address: If the current address of the respondent or proxy differs from that on the label, record the respondent's new full address.

4.Interviewer Name and ID Number: Print your own name and Institute for Survey Research identification number. If, for some reason, the interview was started by one interviewer and completed by another, the name and ID number of the interviewer who completed the questionnaire should appear.

5.Do not record anything in the boxes for the new case number. This is for office use only.

On cover page two:

1.Original Case Number: Transfer this number from the label on cover page one. It is extremely important that the case number be recorded accurately and completely; a transcription error could cause the questionnaire data to be associated with the wrong person. Note: The new case number is for office use only; do not record anything in these boxes.

2. R/Proxy for R: Circle code "1" if the interview is administered to the primary respondent her/himself; circle code "2" if it is administered to a proxy respondent. See the Field Manual, Chapter I.B. (The Screening and Call Report Form), for a discussion of proxy respondents.

3. Disability/Retirement: These codes identify the subsample type. Circle the code for disability, if the label has both a DIS code and a Key Date. Otherwise, circle the code for retirement.

4.Time began: Record the exact time at which the administration of the questionnaire (not the administration of the Screening Form)begins. Be sure to circle "1" (for A.M.) or "2" (for P.M.), as appropriate. Noon is 12:00 P.M. If, for some reason, the interview is discontinued during administration and is later restarted, the times and dates of discontinuation and restart should be recorded next to the question where the breakoff occurred.

5. Time ended: Be certain to record the time the interview ended from page 154.

6.Date: Enter the date on which the interview achieved completion or, in the case of a termination prior to completion, the date on which the last question was administered to the respondent.

7.Interviewer ID Number: Be sure to also record your ISR identification number on cover page two.

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INSTITUTE FOR SURVEY RESEARCH OMB NO. 0960‑0478

TEMPLE UNIVERSITY EXP. 12/31/92

‑ Of The Commonwealth System Of Higher Education ‑

1601 NORTH BROAD STREET

PHILADELPHIA, PENNSYLVANIA 19122

WINTER/SPRING 1990‑1991 STUDY #31‑1591‑151

NEW BENEFICIARY FOLLOW‑UP

MAIN QUESTIONNAIRE

COVER PAGE 1

RESPONDENT LABEL NEW CASE #

Please make corrections to name and address below:

NAME OF RESPONDENT:

ADDRESS:

(STREET) (APT.)

(CITY) (STATE) (ZIP)

INTRODUCTION: "How do you do. I'm and I'm working on a survey for the Social Security Administration. You may have received a letter telling you about this study and telling you that I would call upon you. Here is a copy of that letter. "The Privacy Act of 1974 requires that you be fully informed of the conditions under which you are asked to take part in this survey, and the uses that will be made of your answers to the questions. This statement (GIVE TO RESPONDENT) contains the required information. You may want to take a minute to look at it now before we go ahead."

INTERVIEWER'S NAME: ID#:

INSTITUTE FOR SURVEY RESEARCH OMB NO. 0960‑0478

TEMPLE UNIVERSITY EXP. 12/31/92

‑ Of The Commonwealth System Of Higher Education ‑

1601 NORTH BROAD STREET

PHILADELPHIA, PENNSYLVANIA 19122

WINTER/SPRING 1990‑1991 STUDY #31‑1591‑151

NEW BENEFICIARY FOLLOW‑UP

MAIN QUESTIONNAIRE

COVER PAGE 2

ORIGINAL CASE # NEW CASE #

R 1 Disability 1

Proxy for R 2 Retirement 2

TIME BEGAN: A.M. 1

(HOUR) (MIN.) P.M. 2

TIME ENDED: A.M. 1

(HOUR) (MIN.) P.M. 2

DATE: 19

(MONTH) (DAY) (YEAR)

INTERVIEWER ID:

Questions 1‑7: Household Composition

General:The first section of the New Beneficiary Follow‑up Survey Questionnaire is designed to collect some basic demographic information about the respondent and her/his household. It serves to: (1) determine the respondent's current marital status and (2) list the names of all current members of the respondent's household and establish their relationships to the respondent, along with their sexes and ages. It is very important to obtain a complete enumeration of each household that you contact.

In administering this section, you:

◼Record the respondent's name and sex;

◼Ask for and code the respondent's current marital status;

◼Ask Q.lA to establish if spouse is absent;

◼Record the name of the respondent's spouse, if any;

◼Ask a series of questions to determine and record the names of all other persons currently living in the household;

◼ Establish the relationships (or associations, if not related) to the respondent of each of the listed persons; and finally,

◼Record the sex and age of each household member.

Q.1 Note the interviewer instruction above the question: before asking Q.1, you must transfer the respondent's full name from the label on the Cover Page 1 to the first (the "01") line in the first column of the grid. The respondent's name must go on the first line because she/he will serve as the reference person for all other relationships in the household. Note the order for recording name: first name, middle initial, last name. If the respondent's current name differs from the name as it appears on the label, record both the current and prior names on line "01." Then circle the code for sex in column two from observation: code "1" = male; code "2" = female.

After the name and sex have been recorded, ask the marital status question in one whole sentence, reading straight through all five answer categories. Stress "currently." Circle the code appropriate for the response.

Definitions:

A) "married": For the purposes of this study, this category applies to both persons who are legally married and those who live together as a couple in a common‑law situation. For this reason, we want to accept a response of "married" even though it

may not be legally accurate. See the specifications for QQ.2 and 5, below, for a further discussion of this situation and its effects on question administration.

B)"widow/widower": Again, note that the question asks for the respondent's current marital status. A widow who has remarried since her former husband's death is currently married.

C)"separated": Includes all married persons who report themselves separated for reasons of marital discord, even though they may not have obtained a legal separation.

D) "divorced": Includes not only legally divorced respondents but also those whose ex‑spouses died after the divorce.

E) "never married": Includes persons who consider themselves never married as well as those whose only marriage(s) has been annulled.

Q.lAIf respondent reports that she/he is currently married ask whether her/his spouse usually lives in respondent's housing unit.

Q.2With this question you ask for and record the first names, middle initials, and last names of all "current" household members who are related to the respondent. Note: The question has a rider requesting the spouse's name first if the respondent claims to be currently "married" (Q.1) and the spouse is currently living in R's household. Where the spouse is currently living with R, the spouse's name would be listed on the second ("02") line in the first column of the grid.

Definitions:

A) "Living here": We want to list the current names of: 1) all persons whom the respondent considers to be living in the household on the day of the interview; 2) all persons who are absent but who usually live there and who have sleeping quarters reserved for them to which they can return at any time; 3) spouses of all respondents who claim to be "married" in Q.1, and the spouse usually lives in R's household ("Yes" in Q.lA).

Listing household members: Anyone whom the respondent considers to be a current household member must be listed on the household enumeration table. Occasionally, a respondent may be unsure as to whether or not to include someone (a transient, student, someone working away from home, etc.). In these cases, list persons only if: a) the household is their usual residence with sleeping quarters reserved for them to which they can return at any time, and b) they will spend at least one night in the household by December 31, 1991. If the respondent is unsure whether or not an individual will have returned at least once before the end of 1991, do not list that person. This

convention holds for every person: those away on jobs, vacationers, students, those incarcerated and institutionalized, etc.

B) "Related": For the purposes of this study, a person can be related to the respondent by blood, marriage, or adoption. Moreover, as mentioned above, we must consider persons who live together as a couple in a common‑law situation to be espoused, whether or not it is legally accurate. Foster children, god children, and unrelated children for whom the respondent is not legally responsible should not be considered to be relatives.

Always remember to circle code "1" (relatives added to list) or code "O" (no relatives) before proceeding to Q.3.

Q.3With this question you ask for and record the names of current household members who are not related to the respondent. Don't forget to circle code "1" or "O," as appropriate.

Q.4Count the number of names you have recorded, and read the sum as part of the question. Show R this list as you read this question. These probes are included in the enumeration series because respondents occasionally omit people who fit into these categories when answering the first two questions. Enter any additional names that surface at this point on the next available lines of the grid. Keep asking "anyone else living here?" until the answer is "no." Circle the appropriate code "1" or "O" indicating whether other persons were added to the list at this time.

When in doubt about listing a non‑spouse, always apply the rule for "listing other household members" (see specifications for Q.2).

Though there are twelve spaces on the household enumeration table, your listing should not be limited to twelve people. If there are more than twelve persons in a household, use a second questionnaire, lines "02" through "12," to list the overflow (do not use line "01" because of the precoded relationship and deleted age category). If more than twenty‑three persons, use a third questionnaire, etc., until the names of all current household members are listed.

QQ.5‑7Note that QQ.5‑7 are designed to be asked in a complete series for each listed person before they are asked for the next person. In recording the answers to these questions, then, you will be moving across, rather than down, the grid. This is a standard questioning and recording convention that usually occurs in grids throughout the questionnaire.

Note the leading skip instruction: if the respondent lives alone ("O's" circled in QQ.2, 3 and 4), proceed directly to Q.8 without asking QQ. 5‑7.

Q.5 With this question you ask for and record the relationships of all listed household members to the respondent. Read each listed person's name as part of the question. For reasons detailed below, it is critical that relationships and associations are recorded verbatim and in detail.

Definition:

"relationship": For the purposes of this survey, we want the respondent to define other household members' relationships and associations to her/him according to her/his own perception. Record all relationships exactly as given. Do not write in the "coders only" boxes. In most cases, the relationships will be straightforward and traditional (i.e., husband, daughter, nephew, sister‑in‑law, friend, roomer, cook, groundskeeper, etc.).

As mentioned above, we also want to consider respondents who live together with another person in a common‑law type situation to be espoused and to record their spouses' relationship as "husband" or "wife," whether or not they are legally married, or legally joined in a common‑law marriage. When a respondent is unsure as to the correct term for a partner's relationship, ask "Do you consider yourself common‑law married? If the answer is "yes," record "husband/wife," if "no," record "friend."

Homosexual marriages: If a respondent claims that she/he is married to or cohabiting with a member of the same sex, record that answer exactly as given without challenge. When you come to the spouse section (QQ.285‑338) and the questions about marital status (QQ.238‑284), you should continue to accept and record the answers. Simply enter a marginal note explaining the situation.

You may occasionally encounter children or younger household members without natural, adoptive or foster parents in the household. If this situation occurs, you should ask for and record a relationship or association that links the children to the respondent through the person who has primary responsibility for them, as "Respondent's nieces's dependent," "Respondent's sister's dependent," "Respondent's friend's dependent, etc.

Q.6 Ask this question whenever a listed person's sex is not glaringly obvious from her/his name or has not been established in prior conversation. Again, read the name of the person when reading the question. Circle "1" (male) or "2" (female) for each listed person.

Q.7For the purposes of this question, age means age at the last birthday: the age of someone who will be 65 years old tomorrow is 64 today. Enter "00" for the age of newborn children less than a year old.

After completing the household enumeration table, count the number of household members who are related to respondent and record the sum in the boxes marked "# OF PERSONS RELATED TO RESPONDENT" at the upper left‑hand corner of the page. Be sure to right‑justify the figure.

An example of a completed household enumeration table appears on the following pages.

HOUSEHOLD COMPOSITION

(RECORD R'S NAME ON LINE 01 AND CIRCLE CODE FOR SEX IN COLUMN 2)

1. Are you currently:

married 1

(SKIP a widow/widower 2

to separated 3

Q.2) divorced, or were you 4

never married 5

la. (IF MARRIED, ASK): Does your spouse usually live here?

yes 1

no 2

2. What are the names of everyone living here who is related to you?

[IF CURRENTLY MARRIED: Please start with your (husband/wife).] (RECORD ON LINES 02‑12 AND CIRCLE CODE)

RELATIVES ADDED TO LIST 1 NO RELATIVES 0

3. What are the names of any other persons not related to you in this household?

(RECORD ON LINES 02‑12 AND CIRCLE CODE)

OTHER PERSONS ADDED TO LIST 1 NO OTHER PERSONS 0

4. Let's see. I have people listed here. Have I missed any babies or small children? Any lodgers, boarders, or friends who usually live here? Anyone else who is away temporarily traveling, at school, or temporarily in a hospital? Anyone else living here? (RECORD ON LINES 02‑12 AND CIRCLE CODE)

OTHER PERSONS ADDED TO LIST 1 NO OTHER PERSONS 0

(IF R LIVES ALONE, SKIP TO Q. 8)

(ASK QQ. 5‑7 FOR ALL OTHER HOUSEHOLD MEMBERS, ONE PERSON AT A TIME.)

(INTERVIEWER PROBE. IF R DEFINES A HH MEMBER AS A MATE OR PARTNER BUT NOT AS A HUSBAND OR WIFE, USE THE FOLLOWING PROBE:

Do you consider yourself to be common‑law married? IF YES, RELATIONSHIP IS THEN TO BE RECORDED AS HUSBAND/WIFE.)

5. What is (NAME)'s relationship to you? (RECORD IN COLUMN 1) .

6. (ASK IF NOT OBVIOUS): Is (NAME) male or female? (CIRCLE CODE IN COLUMN 2)

7. How old was (NAME) on (his/her) last birthday? (RECORD IN COLUMN 3)

(INTERVIEWER INSTRUCTION: ENTER TOTAL NUMBER OF PERSONS RELATED

TO R ON LINE AT TOP OF PAGE 2.)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # of persons related to R | Column 1  Q.5 |  | Column 2  Q.6 | | Column 3  Q.7 |
|  | Relationship by blood,  marriage, or  adoption |  | Sex | | Age |
| First Name M.I. Last Name |  | Coders Only | M | F |  |
| 01 | Respondent | 01 | 1 | 2 |  |
| 02 |  |  | 1 | 2 |  |
| 03 |  |  | 1 | 2 |  |
| 04 |  |  | 1 | 2 |  |
| 05 |  |  | 1 | 2 |  |
| 06 |  |  | 1 | 2 |  |
| 07 |  |  | 1 | 2 |  |
| 08 |  |  | 1 | 2 |  |
| 09 |  |  | 1 | 2 |  |
| 10 |  |  | 1 | 2 |  |
| 11 |  |  | 1 | 2 |  |
| 12 |  |  | 1 | 2 |  |

(INTERVIEWER: BE SURE YOU HAVE ENTERED THE TOTAL NUMBER OF

PERSONS RELATED TO R ON LINE AT TOP OF THIS PAGE)

Questions 8‑17: Family Contact

General: This series of questions is comprised of two subsets‑‑QQ.8‑12 and QQ.13‑17. The first set concerns R's and his/her spouse's parents; the second set focuses on their children.

Q.8Here determine the total number of living parents both R and his/her spouse have currently. Note: The phrase "and your spouse"or "or your spouse." or some equivalent reference to the spouse/husband/wife, frequently appears in parentheses throughout this questionnaire. Always read this phrase if R is currently married. The question should include or apply to both R and the spouse.

Q.9 Then, in Q.9, determine whose parents are currently living. If more than four, take the four with whom R and his/her spouse have the most contact.

Q.10For each living parent, obtain his/her age on his/her last birthday. Note: If more than one living parent, you should explicitly refer to that parent in the first part of Q.10‑‑"your mother" "your spouse's father," etc.

Q.11Here the focus is on the time it would take the parent to travel to R's residence using the most likely means of travel. If the parent rarely travels to R's residence, then R should determine travel time based on the means of travel most likely taken were he/she to travel to R's residence. Do not read the last two options ‑‑ parent unable to travel, or lives here. If the parent is very unlikely to travel to R's residence because he/she is too ill, then circle the code 6 and use the unable to travel option.

Q.12This question refers to how often R and/or his/her spouse is usually in contact with the parent. If only erratic contact, probe for how often this is most likely to occur.

QQ.13‑17This sequence parallels QQ.8‑12, but asks about R's and his/her spouse's children. If R and his/her spouse jointly have more than three children, ask R to focus on the three children with whom they have the most contact. If, however, R and his/her spouse have never seen any of their children or see all children about equally, then focus R's attention on the three oldest children.

Questions 18‑22: Work History

General: This section of the questionnaire is designed to explore the respondent's work history since December 1982.

To administer this series of questions, you:

◼Determine whether or not the respondent has worked for pay since December 1982.

◼If R has not worked since December 1982, determine reasons for not working and likelihood of working.

◼Establish which years R worked between 1983 and 1991.

◼Determine for each year worked, the total weeks worked in that year, the usual number of hours worked per week, and whether R worked as an employee, was self‑employed or a mixture of both.

Q.18 Stress "for pay." Note that both full‑ and part‑time work are included. Skip to Q.19 following a "yes" response.

Definitions:

"Work" includes working for pay or profit. Examples of activities considered to be working include:

‑ work for cash wages or salary, at piece rates, on commission,or for tips.

‑ work for profit or fees in a person~s own business or profession or farm.

‑ work without pay which actually contributes to the operation of a farm or business run by a member of the same household who is related by blood, marriage, or adoption.

‑ work at an illegal activity, such as stealing cars, selling drugs, etc., if volunteered.

Some activities that should NOT be considered to be "work" are:

‑ unpaid work that does not contribute to the operation of a family farm or business (home housework, cutting the lawn, painting the house).

‑ unpaid work for an unrelated member of the household.

‑ unpaid work for a relative not in the household.

‑ volunteer work.

‑ managing own investments.

QQ.18A‑Here we are asking R the main reason he/she has not worked since

18CDecember 1982, and under what conditions, if any, he/she might return to work.

Note: In Q.18A, you are instructed to hand R card 1, read the lead‑in to Q.18A and then read Q. 18A itself. R is to obtain the main reason appropriate to him/her from among those reasons listed on this card. If it becomes apparent that R cannot utilize the card (R's vision is poor, R has difficulty reading, etc.), then you should read all the possible reasons (including "some other reason") and ask R to choose the main reason. If "some other reason" is cited, circle code "7" and obtain that "other reason." When you have finished asking this question, ask R to return the cards. If it is quite apparent that R will not be able to use the "show cards," then read the responses for all subsequent questions that use these cards.

In Q.18B, read all conditions a through f. If "yes" to part f, obtain that specific condition under which R might return to work. If "no" to all parts (a‑f) .of Q.18B, then skip to checkpoint C on page 19. Otherwise, ask Q.18C‑‑the smallest wage or salary which would induce R to return to work. Be certain to obtain a complete answer‑‑the wage as well as the time period appropriate to that wage. If the wage includes both dollars and cents, record both in their appropriate boxes. Right justify the dollar amount in the dollar boxes, and fill in the leading zeros in the remaining dollar boxes. If no "cents" are offered, zero‑fill boxes for cents. See Q.46 for a fuller description of how to record both the wage and the time period appropriate to that wage. After recording the smallest wage, skip to checkpoint C on page 19.

Q.19If a respondent has worked since December 1982, we need to obtain the years worked from 1983 until the date of interview. This question's mechanics allows you to determine whether or not a particular respondent did, in fact, work for pay during any year in the 1983‑1991 time period. Subsequently, in Q.23, we find out if R is currently working. Be certain to ask all parts of Q.19 before going on to QQ.20‑22.

QQ.20‑22This series is essentially a loop, and should be repeated sequentially until you have collected and recorded the requested information about the respondent's work history for any year in which respondent worked between 1983 and 1991.

In Q.20, obtain the number of weeks R worked in that year. The usual number of hours worked per week should be recorded in Q.21. Whether R worked as an employee, or was self‑employed and/or both during that year should be entered in Q.22. For example, R may

have worked for relatively short time periods at multiple jobs during a particular year. R may have worked for others as well as for herself/himself. Then, in Q.20, obtain the total number of weeks R worked for pay in that year; in Q.21, find out the usual number of hours worked per week; and, in Q.22, circle code "3" since R worked both as an employee and was also self‑employed.

Questions 23-68A: Current or Last Job

General:In this section, we ask a series of questions about either the last or current job held by all R's who worked between December 1982 and now. This section enables us to update the employment information collected in the earlier interview. Note that the following Q by Q instructions are in the present tense, but the job may be a past job.

Q. 23Note the skip instruction about Q. 23. If R has not worked in the current calendar year (either 1990 or 1991, depending on the date of interview), circle code "2" in Q. 23 and then skip to Q. 26 and ask about the last job R held. If R did work in the current calendar year, ask Q. 23 to determine if R is working now. If working now, ask Q. 23 and the remainder of the questions in this section (QQ, 24-48) in the present tense about the main job at which R is currently working. Otherwise, ask the questions (QQ, 26-48) in this section using the past tense.

QQ. 24-24AHere you are to ask why R is currently working. Hand R Card 2 and then ask Q. 24. Circle a code "1" ("yes") for all reasons offered. Again, if R has any difficulty reading or using the card, read all options a-m. If R refuses to answer, or has no response, (both are unlikely events), skip to Q. 25. If R is now working for more than one reason, read Q. 24A to find the most important reason. Then continue with Q. 25.

Q. 25This is one of the few hypothetical questions in the questionnaire.

Q. 26Determine month and year R started his current or last job. Note the skip--if before 1980, skip to Q. 28.

Q. 27This question is similar to Q. 24 except that the focus is on the reasons R had for taking the particular job R has currently or last had. The logic and skips are the same as Q. 24.

QQ. 28-28AClearly and specifically, describe the kind of business or industry in Q. 28. Do not record the employer's name as an answer to Q. 28; rather, employer name is to be recorded in Q. 28A. It is important that in Q. 28 you obtain a description of what occurs at the location where the respondent works/worked, as the activities of many companies vary with location (for example: Ford Motor Company may make cars at one plant, but at another may specialize only in truck axles). Record the response verbatim, and probe for detail. The industry described should be the employer's current industry (the scope of industries sometimes changes over time) or, for jobs that have ended (the last job), the employer's industry at the time the respondent left. Inadequate and/or incomplete industry description are traditionally one of the major sources of

respondent recontacts. It is much easier to get an adequate description the first time than to have to return for further information.

Record a clear and exact description of the industry, indicating both a general and specific function for the employer; for example: copper mine, fountain pen manufacturer, wholesale grocery, retail bookstore, road construction, shoe repair service. The words "mine," "manufacture,"" wholesale,"" retail," "construction," and "repair service" show the general function. The words "copper," "fountain pen," "grocery," "bookstore," "road," and "shoe" further identify the industry by giving the Product. The word "company" is of little use to us. For example, if a respondent reports that she/he works for a "metal furniture company," probe with "What do they make or do?" A metal furniture company could manufacture the furniture or they could sell it. If it sells furniture, is it sold to other stores (wholesale) or to

individuals (retail)?

Special Problems:

A) Government agencies: Be certain to probe for and record department, agency, and branch of government for all government jobs. If the business or main activity of a government employer is not clear, ask in which part of the organization the person works and then record that activity. For example, for City Department of Public Works, a correct entry might be one of the following: "street repair," "garbage collection,"' "sewage disposal," or "water supply." For a State Liquor Control Board, the correct entry might be "licensing of liquor sales" or "liquor retailer."

B) Business in own home: A home‑based business is usually an indication of self‑employment; probe for the same level of detail you would get if R were an employee.

C) Persons who do not work at one specific location: Some people's work is done"'on the spot" rather than in a specific store factory, or office. In these cases, describe the employer's business or industry. Among those who normally work at different locations at different times are census interviewers, building painters, and refrigeration mechanics. Their industry entries might be: Department of Commerce‑‑U.S. Census Bureau, commercial building painting contractor, and refrigeration repair service.

Example:

A local retail chain is doing remodeling of several stores, one at a time. It has a contract with a building contractor to furnish a small crew each day for the several months needed to do the work. Even though these people report to a retail store each day, they work for the building contractor.

D) Domestic and other private household workers: When the name of an individual is given as the employer, find out whether the person works at a place of business or in a private home. The proper industry entry for a domestic worker employed in the home of another person is "private home." For a person cleaning a doctor's office which is in the doctor's own home, the proper entry is "doctor's office." This also applies to other professionals such as dentists or lawyers.

The following are examples of inadequate and adequate responses to Q.28.

Inadequate Adequate

Agency Collection agency, advertising

agency, real estate agency,employment agency, travel agency, insurance agency.

Auto or automobile parts Auto clutch manufacturing, wholesale auto

auto or automobile accessories,automobile tire manufacturing,

components retail sales and installation of mufflers, battery factory, etc.

Bakery Bakery plant (makes and sells to wholesalers,

retail stores, restaurants, or home delivery),

wholesale baker (buys from manufacturers and

sells to grocers, restaurants, hotels, etc.), retail bakery (sells only on premises to private

individuals but may bake its own goods on premises).

Coal Company Coal mine, retail coal yards, wholesale coal.

DairyDairy farm, dairy depot, dairybar, wholesale dairy products, retail dairy products, dairy products

manufacturing.

Engineering CompanyCivil engineering consultants, general contracting,wholesale heating equipment, construction machinery factory.

Foundry Iron foundry, brass foundry,

aluminum foundry, foundry and machine shop.

Laundry a. Own home laundry business

(for a person doing laundry

for pay in own home).

b. Laundering for private family (for a person

working in the home of a private family).

c. Commercial laundry (for a person working in a steam laundry, hand laundry, Chinese laundry, French laundry, or similar establishment.)

d. Self‑service laundromat (for a person working in an establishment where the customer brings own laundry and pays a fee to use the washing machine or other equipment).

Lumber Company Sawmill, retail lumber yard, planing mill, logging camp, wholesale lumber.

MineCoal mine, gold mine, bauxite mine, tin mine, copper mine, lead mine, marble quarry, sand

and gravel pit.

Office Dentist's office, physician's office, public

stenographer's office.

Oil Company Oil drilling, petroleum refinery, retail gasoline

Oil Industry station, petroleum pipeline, wholesale oil Oil Plant distributor, retail fuel oil.

Public Utility Electric light and power utility, gas utility,

telephone company, water supply utility.

If the company provides more than one

service, specify the service, such as gas

and electric utility, electric and water utility.

Railroad Shop Railroad car factory, diesel railroad repair shop,

locomotive manufacturing plant.

Repair Shop Shoe repair shop, television repair shop,

radio repair shop, blacksmith shop, welding

shop, auto repair shop, machine repair shop.

Tailor Shop Dry cleaning shop (provides valet service),

custom tailor shop (makes clothes to

customer's order), men's retail clothing store.

Transportation Company Motor trucking, moving and storage, water

transportation, air transportation, commercial

airline, taxicab service, subway, elevated railway,

railroad, petroleum pipeline, car loading service.

Well Driller Oil drilling, oil well, salt well, water well.

Q.29 The answer to this question must be left to the respondent's own perception of her/his business, so do not attempt to define these terms. If the answer is "don't know", record "DK" in the open space and continue on to the next question.

QQ.30‑31Essentially, Q.30 asks for job title and Q.31 asks for job duties. Proceed by asking Q.30 as worded, recording the respondent's answer and then asking Q.31. If, after both answers have been recorded, the combination of the two entries does not give an adequate description of the respondent's occupation, continue to ask additional probing questions until the total combined information adequately describes the job. The job described should be the one held currently or, for jobs that have ended (the last job description), the last position held. As noted in regard to industry descriptions in the specifications for Q.28, inadequate occupation descriptions have been a major source of respondent recontacts in the past. Probe for a complete description.

If, as you are listing the respondent's job title or most important activities or duties, it appears that the respondent performs more than one activity, ask the respondent which activity

is the most important and draw a circle around that activity. If the respondent is unable to select the most important activity, ask for the one in which the most time is spent and circle that activity.

The following are examples of inadequate and adequate responses to Q.30:

Inadequate Adequate

Caretaker or CustodianJanitor, guard, building superintendent, gardener, groundskeeper, sexton, property clerk, locker attendant.

Fireman Locomotive fireman, city fireman (city fire

department), fire fighter, stationary fireman,

fire boss.

Foreman Specify the craft or activity involved, as carpenter

foreman, truck driver foreman.

Heavy Equipment OperatorSpecify the type of equipment,such as : clam‑shovel operator, derrick operator,

monorail crane operator, dragline operator, Euclid

operator, etc.

Helper Baker's helper, carpenter's helper,

janitor's helper, etc.

Maintenance Man Groundskeeper, janitor, carpenter, electrician.

Nurse, Nursing Registered nurse, nursemaid, practical nurse, nurse's aide, student or professional nurse.

Salesman Advertising salesman,insurance salesman, bond salesman, canvasser, driver, salesman (routeman), fruit peddler, newsboy.

TruckerLong‑distance truck driver, trucking contractor, truck loader, delivery‑truck driver.

Unusual Occupations:

You may encounter occupations which sound strange to you. Accept such entries if the respondent is sure the title is correct. For example, "sand hog" is the title for a certain worker engaged in the construction of underwater tunnels, and "printer's devil" is

sometimes used for an apprentice printer. Where these or any other unusual occupation titles are recorded, add a few words of description if the combined entries do not clarify the response.

‑ Contractor versus skillworker: A "contractor" is engaged principally in obtaining building or other contracts and supervising the work. Classify a skilled worker who works with his own tools as a carpenter, plasterer, plumber, electrician and the like, even though he hires others to work for him.

‑ Housekeeper (paid) versus housemaid: A "paid housekeeper" employed in a private home for wages has the full responsibility for the management of the household. A housemaid (general housework), hired girl, or kitchen maid does not.

- Interior decorator versus painter or paperhanger: An "interior decorator" designs the decoration plans of the interior of homes, hotels, offices, etc., and supervises the placement of

the furniture and other decorations. A house painter or paperhanger only does painting or hangs paper.

The answer in Q.30 should tell clearly and specifically the kind of work performed by the person, including the job title. The answer in Q.31 should tell you exactly what the person's most important activities or duties are. (This answer should always include a verb.) The response to Q.30 together with the response to Q.31 should provide the information needed to make the person's occupation description complete and codeable.

The following are examples of inadequate and adequate responses to Q.31.

Inadequate Adequate

Repair Cars (body work) Fix dents, replace fenders, repair auto bodies.

Repair Cars (mechanics) Do tune‑ups, change oil, repair flat tires.

Teach School Teach music in a junior high school.

Work in a Warehouse Operate forklift, load trucks, check shipping orders.

QQ.32‑34 For the job in QQ.28‑31, Q.32 seeks to determine the availability of health insurance provided by the employer. If health insurance coverage was available from this job, Q.33 seeks to find out if R elected to be covered. If R was not covered, then, in Q.34, you should find out why R did not choose to be covered by such employer‑provided health insurance.

Q.35 With this question, we want to record the average number of hours worked per week including overtime hours. The answer should represent only those hours worked for pay, so, in calculating hours worked, you should include time spent on duty on the job, but exclude unpaid lunch periods or other unpaid time off. Most employees working for wages or salary have a specified number of hours they are required to work; these respondents should have little difficulty with the question. However, some persons, such as those in the military or those who work on a round‑the‑clock or on‑call basis don't have a "regular" number of hours to work. In such cases, you should accept the respondent's understanding of the situation and record whatever she/he considers a best estimate.

For respondents who do the same type of work for various persons and work different numbers of hours for each, record the average number of hours they work overall during a week. If, after probing, the respondent absolutely cannot give an average number of hours worked per week, ask for and record the number of hours she/he worked during the most recent week, and note "most recent week" in the margin.

Recording hours: Record the number of hours worked as accurately as possible. In asking hours worked, you may get the answer, "I don't know; 40, I guess." You might arrive at a more accurate entry by checking the hours worked each day with the respondent. Do not probe the respondent on every answer, but when the reply seems inaccurate or insufficient, tactfully obtain more specific information.

Recording fractions of hours: Use whole numbers, counting 30 minutes or more as a whole hour. If a respondent reports working something other than a whole number of hours, round to the nearest whole number as follows:

‑ if 1/2 or more, round up to the nearest whole number;

‑ if less than 1/2, round down to the nearest whole number.

Example: If a respondent works 37.5 hours a week, you would record 38.

If a respondent works 37.25 hours a week, you would record 37.

Q.36 Stress "usually" and probe for the average. Note that any paid absence must be included. If the respondent has worked the job for several years and is unable to give the average number of weeks, ask for and record the number of weeks worked during the year between the date of interview and the date one year prior to the date of interview and note "most recent 12 months" in the margin. If the respondent has worked on a current job for a period of less than one year, ask for and record the number of weeks she/he expects to work during her/his first year at the job. Probe for an estimate or, if necessary, accept a guess.

Periods of time for which the respondent received no compensation should be excluded when calculating the answer to this question (i.e., strikes, unpaid layoffs, unpaid vacations, etc.). Round fractions of weeks up or down to whole weeks, if necessary.

QQ.37‑ Here we are seeking to determine whether R worked the number of hours on this

38job that he/she would have preferred. If R preferred to work more hours than he/she in fact worked, ask Q.38 to determine the reasons that limited the number of hours worked.

Q.39Most respondents will be able to answer this question immediately and without difficulty. Some, however, may be confused about their status, and may require some gentle prodding before answering. Self‑employed people work for profit or fee in their own unincorporated businesses, farms, shops, etc. Superintendents, managers, foremen, or other executives hired to manage a business or farm, salespeople who work for commission only, officers of corporations and people who form corporations all work as employees and are not self‑employed. The following examples may assist you when probing reluctant respondents for choice:

‑ Child‑care Providers: Persons who provide child‑care facilities in their own homes and who consider themselves to be working for profit are self‑employed.

‑ Clergymen: Ministers, priests, rabbis, etc. who are associated with a particular congregation are employees. Those who are not attached to a particular congregation or religious organization and who conduct services in various places for a fee are self‑employed.

‑ Corporation Officers: These persons are not to be considered self‑employed, even though they may own part or all of the stock of an incorporated company.

- Domestic work in other person's homes: Maids, valets, laundresses, cooks, or cleaning persons working in other persons' homes are working for private employers and so are not self‑employed.

-Farmers: Farmers who own their own or part of an unincorporated family farm are self‑employed. Those who hire out to other farmers as laborers or farm managers for pay, however, are employees.

-Military: All military personnel are employees.

- Nurses: Persons who work for wages in hospitals or other medical facilities or for nursing services are employees. Those who work in patients' homes, but not through another organization, however, are self‑employed.

-Partnerships: People who own and operate an unincorporated business in partnership with one or more others are self‑employed. Self‑employment is not limited to ownership by one person.

-Professionals (Accountants. Architects. Dentists. Doctors. Lawyers. etc.): Professionals who own and operate their own practices are self‑employed, providing that the practices are not incorporated. Those who work on a salary basis for other organizations and those who work in incorporated groups, however, are employees.

-Sales or Merchandise Employees: Persons who own an unincorporated sales franchise and are responsible for their own merchandise and personnel (such as "retail or wholesale sales") are self‑employed. Persons who do sales work for someone else (such as sales representatives) are employees.

- Waitresses/Waiters: People who work in this capacity should be considered employees as they are in the employ of a private business, even though they may receive most or all of their income from tips.

- Work on an odd‑job or casual basis: A respondent who works on odd‑job or casual basis is an employee for a private company, business, or individual. For example, do not report a babysitter employed in other people's households as self‑ employed.

If the response to this question is "employee," skip directly to Q.45 after coding the answer.

Q.40 If R thinks of himself/herself as self‑employed, this question

seeks to determine whether or not R pays himself/herself a salary from this business. If yes, skip to Q.41 and record this salary. If no salary drawn from this business, skip to Q.42 to employ an alternative method for calculating the rate of pay.

Q.41This question is designed to collect information on self‑employed respondents' salary income from the business. Salary income is the amount she/he receives before taxes and other deductions. As this question is directed to self‑employed respondents who own their businesses, you should always probe to confirm that the amount given is the "salary" or "draw," and is not business income. If at all possible, have respondent check her/his records. This will help to ensure accuracy and minimize confusion. See the comments for Q.46 which more thoroughly explore how to record salary income for those persons who defined themselves as employees in Q.39. After recording R's response, then skip to Q.43.

Q.42This question is an alternative way to record business income for those R's who did not pay themselves a salary. Here record the adjusted gross income, or the amount drawn in any average year before any taxes and deductions but after payouts for business expenses such as stock, supplies, etc. Note that it is possible to indicate a net loss in such a question for self‑employed respondents. Occasionally, self‑employed respondents claim that their payouts for expenses, stock, supplies, etc. exceeded their adjusted gross income. In these cases, we want to establish the loss within the last year of the job or, if a current job of less than a year's duration, the loss since the beginning of the job. If such a loss is volunteered, proceed as follows:

‑ If a current job that has lasted for a year or more, probe for the amount of the loss incurred between the date of interview and the date twelve months prior to the date of interview; if a current job that started less than a year before the date of interview, probe for loss between the job's start date and the date of interview; if a last job, probe for the amount of loss incurred between the end of the job and the date one year prior to the end of the job;

‑ Record the amount of loss in the "DOLLARS" and "CENTS" coding boxes.

‑ Then write "Loss" to the left of the amount box to indicate that the amount recorded is the loss per year or, if a current job of less than a year's duration, the amount of loss since start date; it is important that the amount reflect the loss within the prescribed time period. If you obtain a loss amount that is not per year/since start date, record the amount in the boxes and note the time period over which the loss was incurred in the margin.

Q.43Do not attempt to define "incorporated" to the respondent, If the answer is "don't know," simply write "DK" and proceed to the next question. Note the skip for a "yes" response: it forces respondents who are not truly self‑employed into the section for "employees" for more appropriate questions.

Q.44 Stress "now contributing" and "yourself;" we are not interested in Keogh accounts that are currently paying out or are for the benefit of another person. Do not attempt to define "Keogh retirement account" to respondents; they will generally know if they have one. If the response is "don't know," simply record "DK" in the open space. After recording the answer proceed directly to the checkpoint B, page 16.

Q.45 Here we seek to determine the type of organization for whom R worked. Definitions of the codes follow:

Code 1 is for persons who work for many universities and colleges, as well as those who work for churches, union, settlement houses and other private non‑profit organizations such as the Red Cross, American Cancer Society, etc.

Code 2 includes persons who work for a private company, business or individual for salary, wages, commissions, tips or piece rate; this applies regardless of their occupation or position within the company.

Code 3 is for persons who work in any branch of the federal government with the exception of the uniformed armed forces and National Guard (see code 6). It includes persons who were elected to paid federal offices, civilian employees of the armed forces and National Guard, Post Office employees, employees of the Tennessee Valley Authority, and employees of post exchanges (PXs).

Code 4 pertains to employees of state governments, including paid state officials, state police, and employees of state universities and colleges.

Code 5 is for employees of cities, towns, counties and other local governments. Included here are employees of city‑owned bus lines and electric power companies, water and sewer services, etc. Employees of public elementary and secondary schools work for local governments. Since State Boards of Education often control the subject content of schools, some school employees think that they are state employees. However, unless they work for a special school, such as for the handicapped, or at experimental elementary schools of a state university, they are in almost all cases local government employees.

Code 6 is for persons on active duty in the armed forces and those on semi‑active or inactive duty in the National Guard or military reserve (if volunteered as jobs).

Code 7 is for any job that the respondent insists does not fit the description of codes 1‑6. Whenever code 7 is circled, it must be accompanied by a note clearly explaining the work situation.

Additional Examples:

‑ Corporation employees: Code 2, private company. Exceptions are employees of government corporations (such as the Commodity Credit Corporation) who are federal civilian employees (code 3).

‑ Domestic workers: Code 2‑‑maids, cooks, groundskeepers, etc. work for a private individual.

‑ Comsat. Conrail. Amtrak Employees: Code 2‑‑these are private companies.

‑ Public utility employees: Although public utilities (such as transportation, communication, electric light and power, gas, water, garbage collection, and sewage disposal facilities) are subject to government regulations, they are owned by either government or private organizations. Distinguish between government‑operated ‑ code 3, 4, or 5 and privately‑owned organizations ‑ code 2, in coding for public utility employees.

‑ Sales: Persons who do sales work for someone else or who perform as sales representatives are employees of a private company ‑ code 2.

‑ Work for different employees on an odd‑job. on‑call. sporadic or casual basis: Respondents who work for different employers, such as those who do odd jobs, babysitters, those who are on‑call for one or several companies and construction workers who are sporadically sent to various contractors by their unions are all employees of a private company/individual ‑ code 2.

Q.46 This is a two‑part (and, in the case of daily payment, below, a three‑part) question. Be very careful to record answers to all parts; an amount without a time period or a time period without an amount is worthless for analysis and will result in your going back to the respondent for the missing information.

Amount: The amount to be recorded in the first part of this question is the average pay per the pay period coded in the second part. If cents are included in R's answer, be certain to write them in the cents boxes. If no cents are included, zero‑fill these two boxes.

In calculating average pay, include all forms of cash remuneration: wages, salary, overtime pay, bonuses, tips and commissions. Exclude any "in kind" remuneration, that is, goods

or services given in exchange for labor. If the respondent receives cash and in‑kind payments, record the amount of the cash payment only. Be sure that the respondent is aware of the question's qualification.

We want the total amount the person earns, before any deductions are taken out for taxes, social security contributions, and other things. That is, we want total payment, not "take home" pay or the amount of the paycheck after deductions. If the respondent knows only her/his net earnings and cannot even estimate gross earnings, record the net earnings figure and note clearly that it is a net amount in the margin.

Stress "average." It is possible for a respondent's rate of pay to have fluctuated from week to week or to increase or decrease over different periods of time on the same job. If this is the case, try to get the respondent to estimate the average figure. If she/he cannot do the averaging, you may have to do it yourself, but be sure to do the calculations in the margin and have them confirmed by the respondent. If you absolutely cannot get a rate that is an average of all pay periods for the current job, ask for her/his current pay per pay period and make a note in the margin that the amount is a current rate.

Time Period: Always check to confirm that you have circled the code for the correct time period. You may occasionally encounter respondents who are paid on a schedule that does not appear here (such as bi‑weekly). In these cases, you will have to calculate an amount that fits the codes. When calculating time periods, always remember that one month = 4.3 weeks.

Example: A respondent received $400 every other week:

1) $400 2 weeks = $200/week, or

2) $400 2 weeks = $200/week x 4.3 weeks = $860/month.

Note the probe instruction and space for an extra entry in the "day" coding category. Some people are paid at the end of each day worked. In such cases, you must probe for the average number of days worked per week; an amount of pay per day is useless unless the average number of days worked per week is also known. If the number of days worked per week varies from week to week, you may have to probe extensively to arrive at an average. Some people work intermittently (i.e., three days a week for two months, then five days a week for three months, etc.), so there may be some lengthy calculations involved to establish an average. If the respondent is reluctant to do the calculations, you may do them in the margin, but be sure to have the final answer confirmed by the respondent before recording it. Keep in mind that since the answer to Q.46 must not include any week for which the respondent was not compensated, weeks in which the respondent did not work must be excluded from calculations performed to establish the average number of days per week.

To facilitate accurate recording in the home office, whenever code "6", Other," is circled, it must be accompanied by a thorough explanation of the situation.

See the next page for examples.

Q.47Stress "provided by your employer or union." Privately held plans and plans with which the respondent is/was affiliated outside of her/his job should be excluded from consideration for this answer. Note that Social Security and Railroad Retirement must also be excluded. A respondent should be considered to be included in a company's or union's plan if benefit credits are accruing for him/her, even if she/he has not contributed any money to the plan and/or is not yet fully vested.

Definitions:

A) Pension and Retirement Plan: Pension and retirement plans vary widely from company to company (or union). In general, during an employee's term of covered service, money is placed into a fund that the employee (and, in some cases and under some circumstances, the employee's dependents and/or heirs) usually become eligible to receive upon retirement, termination, or disability. Contributions to the fund may be made by the employer/union alone, the employee alone, or both. Plans vary widely in rules concerning the length of time an employee must work before she/he becomes wholly or partially vested. The payout may come as a lump sum or a series of payments, or both, depending on the plan and/or the employee's circumstances.

B) Profit Sharing Plan: In general, these are plans in which a company places a portion of its profits, at specified or unspecified intervals, into a fund upon which vested employees may draw either upon or before retirement, depending on the plan. The growth rate of the fund may be fixed or speculative or both. The amount of the company's contribution depends on its profits, and it is usually a percentage of the employee's wage, though it may be a fixed rate. An employee may or may not add her/his own monies to the fund, depending on the plan.

C) Railroad Retirement: Railroad Retirement is similar to, and closely coordinated with, the Social Security program. It provides benefits based on a worker's long‑term employment in the railroad industry. Railroad Retirement checks are printed on U.S. Treasury checks, as are payments from Social Security.

You should be aware that respondents may be somewhat confused about their plans, and either lump them all together under one heading or be unaware of exactly what kind of plan they are covered by. Their confusion, however, should not interfere with the proper administration of the questionnaire and accurate data

46. Before any taxes and deductions, how much (do/did) you (he/she) earn from this employer (when you left this job /when he/she last worked)?

(CIRCLE CODE FOR TIME PERIOD AND RECORD AMOUNT IN APPROPRIATE BOXES)

45. 10

(DOLLARS) (CENTS)PER Year 1

Month 2

Week 3

Day 4

(PROBE FOR DAYS WORKED PER WEEK): 3

Hour 5

Other (SPECIFY):6

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

46. Before any taxes and deductions, how much (do/did) you (he/she) earn from this employer (when you left this job /when he/she last worked)?

(CIRCLE CODE FOR TIME PERIOD AND RECORD AMOUNT IN APPROPRIATE BOXES)

225. 50

(DOLLARS) (CENTS)PER Year 1

Month 2

Week 3

Day 4

(PROBE FOR DAYS WORKED PER WEEK): 3

Hour 5

Other (SPECIFY):6

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

46. Before any taxes and deductions, how much (do/did) you (he/she) earn from this employer (when you left this job /when he/she last worked)?

(CIRCLE CODE FOR TIME PERIOD AND RECORD AMOUNT IN APPROPRIATE BOXES)

2. 15

(DOLLARS) (CENTS)PER Year 1

Month 2

Week 3

Day 4

(PROBE FOR DAYS WORKED PER WEEK): 3

Hour 5

Other (SPECIFY):6

collection. The terms are general enough so that if a respondent recognizes any of them, she/he will be taken through the correct skip logic and administered the applicable questions.

Note the skips for "no" and "don't know" responses.

Q.48It is common for employees to be covered by more than one plan. Stress "by more than one." Again, Social Security and Railroad Retirement must be excluded from consideration for this answer. Note the instruction for the "yes" versus the "no" and "don't know" responses; they determine whether or not the lead instruction will be read before Q.49 is asked.

Q.49Again, note the lead instruction; if the respondent reports coverage by more than one plan, we want her/him to focus on the basic plan, that is, the one which is most lucrative. If the answer to Q.48 is "yes," read the lead sentence in order to establish what is intended when you ask about "this" (namely, the basic) plan through the next series of questions. If a respondent is covered by only one plan (a "no" in Q.48), the questions are obvious and the lead‑in sentence becomes inappropriate.

Remember that when the respondent is covered by more than one plan (see Q.48), "this plan" always refers to the basic plan. We want to avoid responses that refer to any supplementary or minor plans. Note the skip for a "yes" response.

Check‑If R is currently working, then you ask Q.50. If, however, R is

point Anot currently working, you should skip to Q.52.

Q.50If R is covered by a pension or retirement plan on his current job, but is not now receiving any payments from this plan (Q.47 and Q.49), Q.5O asks whether or not she/he would receive payments were she/he to leave this job now. If "yes," ask Q.51; if "no" or "don't know," skip to Q.53.

Q.51This establishes, for those respondents who are included in a plan (see Q.47) and who are not now receiving benefits (see Q.49), the earliest point at which they could start drawing from the plan, were they to choose to do so.

This is the first of a number of questions scattered throughout the interview which are designed to accept either a date or an age, but not both. This form of question always asks the month and year of an event first. If the respondent cannot remember or doesn't know the month and year, the questions then probe for the best estimate of her/his age at the time of the event. Either entry is acceptable. Note that, after the answer has been recorded, you should proceed directly to checkpoint C.

Q.52This question is addressed to respondents who are not currently working. Recall that in Q.47 you had determined that these

persons were included in a pension or retirement plan from their last job and, in Q.49, that these persons are not currently receiving payments from these pension plans. The response to Q. 52 will then allow us to know whether or not these R's ever received a lump sum payment for the total money which they had in these retirement plans, after they left their jobs. Note: if a "yes" is reported, you are to skip to Q.55.

Q.53The answer to this question lets us know if those respondents who are/were covered by a plan, but who have not received benefits expect to receive benefits in the future. Stress "expect;" whether or not they will actually receive benefits is of no consequence here. Note the skip instructions for "no" and "don't know responses.

Q.54Keep in mind that this question asks the respondent when she/he will first be eligible, and not when she/he expects to begin receiving payments. See the specification for Q.51 for a discussion of this type of question format.

If the respondent claims that benefits could be received immediately, and you circle code "95,'' you must still probe to determine the date/age at which she/he was initially eligible to receive them.

Check‑ This checkpoint allows us to route currently working R's around

point B questions only appropriate to R's who are not working.

Q.55For R's who are not currently working, this question seeks to determine how likely they would be to take a job were they to be offered one by an employer in their local geographical area. If these R's offer "no" to all parts of Q.55, then skip to Q55B.

Q.55A For R's who indicate some likelihood of taking a job if offered, determine the smallest acceptable wage or salary. See Q.46 for the appropriate recording conventions.

Q.55BRecord month and year R left the last job. If R does not remember the month, record "DK" in the month boxes. But be certain to obtain a year.

QQ.56- Read all reasons a‑t, including the probes for any other reasons in parts s and t.

57Note the skip before part n. If more than one reason, ask Q.57 to determine the most important reason.

QQ.58‑ If "yes" to health problems in Q.56‑r, ask whether or not R might have been

59able to do a similar job but for fewer hours a day or fewer days in a week. Similarly in Q.59, ask whether R might have been able to do some other kind of job.

Q.60 Circle code "1" ("yes"), for all persons who persuaded R to leave his last job. If any ambiguity, probe by reading the relevant phrase,"your doctor, your employer, or did you make the decision?"

Q.61Ask all parts 5(a‑h) of Q.61 to find out why R's health problems forced him to leave his last job.

QQ.62‑ These two questions seek to determine whether R lost any employer‑

63 provided health insurance when she/he left her/his last job and whether she/he had any coverage from any other sources when she/he left this job. Note: Medicare is explicitly excluded.

QQ.64‑ This set of questions probes the effects of R's stopping work on other family

68 members.

Q.64 is the filter for this set. If no other family members, skip to checkpoint C.

Q.65 seeks to find out if the work patterns of other family members changed when R stopped working. If any person's pattern changed, circle code "1" in Q.66 for all persons whose work pattern changed and in Q.67 probe for the kind of change that occurred.

Then, in Q.68, determine how R's family income was affected when she/he stopped working.

Q.68A The last question in this sequence asks if R looked for any other job after leaving her/his last job.

Check‑ Here we seek to determine whether or not you should proceed to

points the disability section. First, you determine in Checkpoint C whether R

C and D was a disabled sample beneficiary‑‑had the designation "DIS" in the center of the screening form label and one of three DIS codes‑‑9, 10 or 16. If no such information is on the label, you skip to Q.159 and page 46.

If, however, R was a disability beneficiary, then you go to checkpoint D. Checkpoint D asks whether or not you have already completed QQ.69 to 141 before you might have skipped back to ask the last job questions (see discussion of checkpoints J, K and L for the circumstances governing a skip back to QQ.26‑68A). If you had never skipped back from page 40 to page 7, then you would continue with Q.69 and ask the questions in the disability module. If you had skipped back from page 40 to page 7, then you would ask the remaining disability questions beginning with Q.142.

Note: before you ask Q.69, you must copy the key date from the label on the screening form to the space provided in Q.69.

Questions 69‑158: The Disability Module

General:After obtaining information on the current/last job, if any, a special module gathers information on other post‑entitlement work for individuals who were first paid disability benefits in 1980‑1981. These questions, although appearing similar in nature to questions already asked, are directed toward the earliest post‑entitlement work endeavors. In fact, if the current/last job is the only post‑entitlement job, questions which would duplicate those questions are skipped.

The goal of the disability/work module of the NBF is to gather detailed, accurate, and reliable information from which to explore avenues for return to work and the factors which influence the decision to attempt a return to the labor market and those factors which determine the success of a work attempt. Among the major areas of focus in determining who returns to work are:

Program work incentives

Vocational Rehabilitation and other services

Health changes

Economic necessity

Labor market incentives

Module The disability/work module is designed to assemble ten years of

Structure longitudinal data within the framework of this cross‑sectional survey. This is accomplished by gathering retrospective data using an event history approach.Because it is very difficult to gather accurate retrospective data over a long period of time based on dates, the current structure is dependent mainly on the sequencing of events (i.e., did vocational rehabilitation services precede a work attempt, and thereby contribute to its success?). Using memorable events (such as the first job after becoming disabled) as the basis for gathering data should improve the reliability of the data over that which would be obtained by asking for specific dates, yet not limit the examination of a complex process to the usual "single snapshot in time" offered by the typical cross‑sectional survey. Dates are gathered mainly to determine the relative period of time which lapses between events. If the respondent is unable to provide exact dates (month and year), the interviewer is encouraged to have the respondent give an approximate date because the relative timing of events is as important as, or more important than, the actual elapsed time period.

The disability/work module focuses on three major events:

Entitlement to benefits;

First post‑disability work attempt; and

Current/last job (gathered earlier).

The module begins with establishment, by interviewer and respondent, of the event of first being paid benefits which is intended to put the interview questions in perspective, i.e., to give the respondent a point of reference for the work information which is to be gathered. Limitations in survey interview time and potential respondent recollection problems led to the decision to focus on what are believed to be the most critical jobs: the first post‑payment job and the current/last job (for which information was gathered earlier in the survey). The first job is important in that it provides information about what caused the individual to return to work and how he/she went about it. The current/last job will, if currently employed, provide insight into what is perhaps the most successful job attempt or, if not currently employed, what caused the individual to leave the labor force. Limited information was solicited with respect to several intervening jobs in order to obtain some idea of the consistency of employment. Even with the limited information requested on the first and subsequent jobs, the respondent may indicate that the questions are redundant. The interviewer should remind the respondent that the questions are seeking information about different jobs and are probably not redundant. The interviewer may indicate that SSA is pleased that some individuals, like him/herself were able to work and is trying to obtain information which will help SSA assist others in their attempts to return to work.

Questions 69‑141: First Post-Entitlement Job

General:These questions are designed to gather detailed information about the first work attempt after the first payment of disability benefits during the period under question (mid‑1980 to mid‑1981). For all respondents in the new sample and all but a small number in the original NBS sample, this will be the initial entitlement and hence the first job after becoming disabled.

QQ.69‑71These questions are asked only to establish the proper period of disability and to establish in the respondent's mind the precise time period and employment of interest. If the proper time frame cannot be established, the data on post‑disability work will be suspect.

Q.69 contains the key date which is the date of the appropriate entitlement to SS benefits from SSA's administrative records. This question is designed to establish the proper timeframe in R's mind. If the interviewer cannot establish this date as the beginning of a period of disability benefits, further questions are asked to establish this period. There may be more than one period of disability benefits and the interviewer should probe to establish the beginning of the proper period of disability benefits, which should be in 1980 or 1981. Q.70 and Q.71 establish R's recollection of the beginning of the period of disability if R does not agree with the key date. If R claims to never have received disability benefits, the questions in the disability module are not asked. Otherwise, the interviewer should establish the date of the beginning of disability benefits closest to the key date.

Check‑ If payment for a period of disability benefits cannot be established within a

point E reasonable period of time relative to SSA's administrative date of eligibility (key date), it will be unclear whether R has focused on the correct event. Fifteen months was chosen as a rough guideline for proximity of the date to the event. The interviewer should use discretion in deciding R's recollection of the beginning of the period of disability benefits if there is more than fifteen months' time between the response in Q.71 (either before or after) and the key date. If there is still doubt with respect to the beginning of the period of disability benefits, instructions call for the disability module to be skipped.

Q.72 This question and later questions are designed to obtain information about medical benefits available to the beneficiary from his/her pre‑disability employer or other sources at key points in time, such as when he/she began receiving benefits, began looking for work, stopped working, etc.

Q.72 establishes coverage by a health insurance plan at the time R began receiving disability benefits for the 1980‑81 period of disability.

Overview These questions seek to obtain information with respect to when the beneficiary of QQ.73‑ begins to look for work, how he/she goes about looking for work, the type of

90jobs he/she looks for, job offers received, offers declined, etc. Literature on job search indicates that there are two major issues in the search: depth (i.e., the amount of search) and breadth (i.e., the spectrum of Jobs considered). These questions attempt to obtain measures of both these concepts.

Q.73This question establishes work status at the time R began receiving disability benefits for the 1980‑81 period of disability. Most of the disabled will not have been working at the time they began receiving benefits, so it is very important to skip to Checkpoint F if R was not working when benefits began.

Q.74This question establishes the job start date if R was working at the time R began receiving disability benefits for the 1980‑81 period of disability. This date must be before the key date (or the date of benefits established by R). If job start date is after established start of benefits, the interviewer should probe to be sure R was working at the time R began to receive benefits and to establish the proper start date of the job R held at the time R began receiving disability benefits for the 1980‑81 period of disability. If start date is not known, interviewer should encourage R to estimate the start date.

Q.75Here we seek to determine whether or not the job R held at the time R began to receive benefits is the same job as the current or last job which was the subject of QQ.26‑68. Proper skip patterns are established to avoid obtaining duplicate information or to avoid obtaining information about post‑benefit job search if there was none. Note: If R indicates that the first post‑entitlement job was the same job with the same employer as the current or last job, but there was an extended spell of unemployment or additional jobs in between, the interviewer should treat the two episodes as separate jobs. If, however, R joined the two episodes in answering earlier questions on the current or last job as a single job (e.g., the start and stop dates covered the entire period and R did not report discontinuity in employment) and R did not have any other jobs, the interviewer should proceed as if the current or last job was the only job (i.e., do not collect duplicate information).

Check‑ Checkpoint F is placed to avoid redundant questions about work for

point Fthose who reported working earlier in the interview. The earlier employment questions pertain to the period beginning in January 1983.

Thus, there is a possibility that early post‑entitlement work by the disabled may be missed for the period 1980‑1982; hence, Q.76 is asked of those not reporting work after 1982.

Q.76 Q.76 establishes work activity at any time after R began to receive benefits in the period of 1980‑1981, but is asked only of individuals who showed no work activity after 1982.

Q.77This question determines whether or not an individual who did not work had looked for work at any point after receiving benefits for the period beginning in 1980‑1981. If R never looked for work, all questions on work and job search are skipped. The interviewer will obtain information only on vocational rehabilitation and work incentives in the disability module.

Q.78This question establishes the date R began to look for work. R may volunteer to the interviewer that, although R worked, R did not look for work because a job was offered, R started a business, etc. In this case, job search questions are to be skipped. If R does not remember exact date of beginning of job search, interviewer should have R estimate the date.

Q.79Whether or not R was receiving disability benefits at the time R began to look for work is the focus of this question. It is asked in order to maintain an event history, even if R's date recollection does not coincide with administrative records.

Q.80Q.80 determines the elapsed period of time R was without benefits (benefits were terminated) before R began to look for work.

Q.81This question establishes health insurance coverage, other than Medicare coverage, at the point that R began to look for work for the first time after R began to receive disability benefits.

QQ.82‑83These two questions seek to determine what the individual did to find a job, and which methods were successful. Interviewer should hand R card 5, read Q.82, which asks which methods were employed, and, if a particular method was employed, ask in Q.83 whether that particular method led to a job offer.

Q.84Q.84 determines whether the individual was seeking the same type of job (job functions, requirements, title, etc.) as R's main job prior to receiving benefits. If R is not sure of what R's main job was, interviewer should specify that the "main job" is the job of longest duration.

Q.85This question determines whether R had a particular kind of job in mind (other than same kind as his/her main, pre‑disability job) or whether R simply wanted to return to work regardless of what kind of job R was offered. If R is uncertain what "kind of work"

refers to, interviewer should indicate kind means occupation, job title, or particular job functions, e.g., accountant, machinist, etc.

Q.86Q.86 establishes whether R was looking for part‑time or full‑time work. If R gives hours of work sought, hours under 35 per week should be considered part‑time.

Q.87Q.87 establishes the number of employers contacted (not necessarily visited) while looking for a job. Applying for different jobs with the same employer (firm, corporation, etc.) should be counted as a single contact. If R is unsure of the number of employers contacted, interviewer should have R estimate the number.

Q.88Q.88 establishes the number of job offers R received which R declined to take. Multiple job offers from the same employer should each be counted. If R does not recall the number of offers, interviewer should have R estimate number of offers.

Q.89This question is a series of alternatives as to why R did not accept the job offers which were declined, followed by Q.90, which determines the most important reason for not accepting the offers. Interviewer should read each choice, recording R's response. If R chose more than one reason, the interviewer should ask Q.90 and record which was the most important reason.

Check‑Checkpoint G establishes whether or not R worked at some time

point Gafter beginning to receive disability benefits. If R did work after receiving disability benefits‑‑a "yes" to either Q.18 or Q.73 or Q.76‑‑then continue with Q.91. If R did not work after receiving disability benefits, then skip to Q.142. Note: To continue with Q.91, it is sufficient that there be a "yes" response to just one of the reference questions‑‑Q.18 or Q.73 or Q.76.

Overview These questions obtain information as to when the first job

of QQ.91‑ attempt began and why the beneficiary took the job. Questions

96about benefit status and the length of time without benefits provide insight into the type of work attempt (e.g., work despite impairment or medical recovery) and the disincentives associated with the receipt of cash and Medicare benefits.

Q.91This question establishes the starting date for employment at the first job after R began receiving disability benefits in the 1980‑ 81 period. If R is uncertain as to exact date of return to work, interviewer should have R estimate the date.

Q.92For Q.92, see explanation for Q.75 (establishes skip for persons whose first and current/last job is the same to avoid redundant job questions).

Q.93Establishes whether R was receiving benefits at the time R began to work at R's first job after receiving disability benefits for the period beginning in 1980‑81.

Q.94Q.94 establishes the amount of time R had not been receiving disability benefits when R began R's first job after receiving disability benefits for the period beginning in 1980‑1981. If R is unsure of the time period, the interviewer should have R estimate.

Q.95Q.95 determines the reasons that R decided to return to R's first job after beginning to receive disability benefits for the period 1980‑1981. R should be provided with Card 6 and asked the reasons for returning to work and, if more than one reason is given, interviewer should ask Q.96 to determine which reason was most important. If R appears to have trouble with the card, interviewer should read the choices.

Overview Questions about job characteristics are intended to describe the

of QQ.97‑ first job R took after beginning to receive disability benefits: job title

116and tasks, hour and weeks of work, earnings, type of employer, etc. Questions obtain information with respect to the availability of employer based health insurance coverage and whether the beneficiary enrolls in the plan. A series of questions compares this first job to the main pre‑disability job to determine whether the individual returns to the same job as he/she had prior to receiving benefits, and how earnings, hours of work and other first job characteristics compare to the pre‑ disability job. If R indicates that R held one or more inconsequential jobs after the onset of disability, but prior to beginning of disability benefits, R should be instructed to make comparisons to what R considers to be the main pre‑disability job. The interviewer should note the presence of other jobs on the questionnaire.

Q.97See instructions for Q.28. This question, as well as QQ.97A‑116 which follow, apply to the first job R had after beginning to receive disability benefits for the period of disability beginning in 1980‑81.

Q.97ASee instructions for Q.28A.

Q.98See instructions for Q.29.

Q.99See instructions for Q.30.

Q.100See instructions for Q.31.

Q.101See instructions for Q.35.

Q.102See instructions for Q.36.

Q.103See instructions for Q.37.

Q.104See instructions for Q.39.

Q.105 See instructions for Q.43.

Q.106See instructions for Q.40.

Q.107See instructions for Q.45.

Q.108See instructions for Q.46. This question establishes R's salary on this first job R had after beginning to receive disability benefits. Like Q.41, Q.108 is asked if R is an employee or is self‑employed and R indicated in Q.106 that R paid himself a salary. Note: For all answering this question, skip to Q.110.

Q.109See instructions for Q.42.

Q.110This question establishes whether R returned to the employer R worked for immediately prior to beginning to receive benefits.

Q.111Here we establish whether or not R returned to the same kind of job that R had prior to beginning to receive disability benefits. The interviewer should explain that this job need not be with the same employer as the pre‑disability job, just that R does the same kind of work (job tasks) on the new job. It is understood that if R returned to the same kind of job, that some tasks may have changed or be different for any number of reasons, including to accommodate R's handicap. The interviewer should establish whether the job tasks, taken as a whole, are comparable to the job tasks performed prior to receiving benefits and, hence, the same job.

Q.112This question determines whether the job R received from his prior employer involved tasks which were more or less physically demanding than the tasks associated with R's earlier job. This question is intended to evaluate the physical demands of the job tasks and not R's ability to perform the tasks after becoming disabled, as compared to before being disabled. If R requests clarification on this question, the interviewer should ask whether the tasks associated with the new job would be more or less physically demanding for any individual, irrespective of any disability.

Q.113The focus of this question is whether R believes that the new job had more responsibilities than the old job. Responsibilities could relate not only to the number of tasks, but also to the complexity of the tasks. The goal of the question is to establish whether R's employer gave R a higher level job than the job R had before receiving disability benefits.

Q.114This question determines whether R worked fewer hours on this first job after beginning to receive disability benefits than R was accustomed to working before becoming disabled. This question asks about hours before R considered himself/herself disabled to allow R to indicate hours before R began to limit hours of work due to worsening health. For example, R worked full time (40 hrs./wk.) until R's disability became limiting, two months before R stopped working, at which time R had been working only 20 hrs./wk. In this case, R should make the comparison between the hours on the new job and the 40 hrs./wk. R had been working before health limited R's hours.

Q.115Here we determine whether R's rate of pay was higher or lower on this first job after beginning to receive disability payments than on the prior job. Rate of pay in this question is intended to measure R's wage rate on an hourly basis. The interviewer should make this clear to R. (Differences in weekly hours of work were determined in Q.114.) If, however, R indicates that he had performed some inconsequential jobs after becoming disabled, but before receiving benefits, R should base this answer on R's main job prior to receiving benefits.

Q.116This question establishes whether the first job R held after beginning to receive disability benefits in 1980‑81 offered a pension. For specific instructions as to what constitutes a pension, see instructions for Q.47.

Check‑Checkpoint H checks to determine whether R is self‑employed, as

point Honly accommodations provided by an employer are of interest.

Overview This section on employer accommodations contains a grid of

of QQ.117‑ questions which gathers information about the types of

121accommodations made by the employer when hiring the respondent to his/her first job after beginning to receive disability benefits whether the various accommodations assisted the worker in the performance of his/her job, and which was the most helpful. The interviewer is to provide R with card 7, and assist R if necessary. If R questions whether an item constitutes an accommodation, the interviewer should explain to R that an accommodation is something special which is provided due to R's handicap and is not available to unimpaired individuals. Accommodations may, however, be available to other employees if they are also impaired.

QQ.117‑119 These three questions compose the employer accommodation grid. Hand R Card 7 and read Q.117. If R indicates one or more accommodations were made, ask Q.118 about each accommodation. If R indicates more than one accommodation helped him/her on the job, ask Q.119 to determine which accommodation helped the most; otherwise, skip to Q.120.

Q.120Q.120 determines whether R received regular medical treatments while working. These treatments could have been received at a location different from the worksite, as well as include treatments at the worksite which required employer participation (e.g., the assistance of a nurse or coworker) or an alternation in the work environment itself (e.g., the presence of related devices such as IV stands, oxygen mask, etc.). Self‑administered medication, such as taking prescription drugs orally, does not constitute treatment.

Q.121Q.121 determines whether the treatments were required for R to be able to work. If R indicates that the treatments were necessary to enable R to work, but could have been taken during nonwork hours at home or in a medical setting, the answer to Q.121 should be "no."

Overview This section is the continuation of health insurance questions,

of Q.122‑ involving access to health coverage on the first job after R began

124to receive disability benefits for the period of disability beginning in 1980‑81.

Check‑ Checkpoint I establishes whether the first job R held after beginning

point Ito receive disability benefits was the same job as the current/last job for which information was previously obtained. The skip pattern avoids asking duplicate questions.

Q.122Q.122 establishes the availability of health insurance on the first job R had after beginning to receive disability benefits for the period beginning in 1980‑81. Availability simply means that the employer offered a group plan for which R was eligible, regardless of whether R chose to enroll. An available plan may have been free or may have required an employee contribution for personal coverage or for family coverage.

Q.123Q.123 establishes whether R chose to enroll in the employer's plan. If R enrolled self only and elected not to cover R's family, the answer to Q.123 should be"yes."

Q.124Q.124 determines why R elected not to accept the employer's coverage which was available. If R cites reasons other than those listed, the interviewer should note those reasons in items f and g.

Overview These questions provide basic job termination information (such as

of QQ.125‑ when work was stopped, why and whether R's health played any

135 significant role) with respect to the first job R had after R began to receive disability benefits. The section also gathers information about the loss of health coverage associated with the termination of employment.

Q.125 See instructions for Q.55B. This question, as well as QQ. 126‑

133 which follow, apply to the first job R had after beginning to receive disability benefits for the period of disability beginning in 1980‑81.

Q.126See instructions for Q.56.

Q.127See instructions for Q.57.

Q.128See instructions for Q.58.

Q.129See instructions for Q.59.

Q.130See instructions for Q.60.

Q.131See instructions for Q.61.

Q.132See instructions for Q.62. Note: loss of coverage applies to the loss of a longterm source of health insurance coverage, whether R was required to pay any part of, or the whole, premium. Temporary provision of health insurance by the employer after termination should not be interpreted as maintaining coverage.

Q.133 See instructions for Q.63.

Q.134This question establishes whether or not R held another job after R ceased working at the first job after beginning to receive disability benefits. If R indicates that R held a second job simultaneously with the first job after beginning to receive disability benefits, enter "yes," note this on the questionnaire and skip to Q.136.

Q.135Q.135 establishes whether R ever looked for work after leaving the first job held after R began to receive benefits for the period of disability beginning 1980‑81. Those asked this question have been established not to have worked additional jobs and are skipped out of the multiple job section.

Overview In order to further characterize the post‑entitlement job history, this section

of QQ.136‑ gathers minimum information about, at the most, four jobs (i.e., jobs two

140through five) which occurred between the first post‑entitlement job and current or last job. Questions are asked about duration (start and stop dates), return to a previous employer, and the employer's name.

Q.136Q.136 determines the number of jobs R had after R left the first job after beginning to receive disability benefits. If R had many jobs or cannot remember, R should give an approximate number. R should count the current/last job, discussed earlier in the interview, in this number.

QQ.137‑140These four questions make up a grid of information about jobs two through five. The interviewer should ask QQ.137‑140 for each job,

up to the fifth job or the number of jobs given in Q.136, whichever is less. If R cannot remember exact dates for each job, R should give approximate dates. If R did the same job tasks for more than one employer at the same time (e.g., cleaning person, lawn maintenance, etc.), these should be considered a single job.

Check‑ Checkpoints J through L and Q.141 are included to determine

point J‑L, whether R's current/last job was established earlier in the survey

Q.141and reported. The current/last job was not reported in QQ.26 through 71 if there were multiple jobs after receiving disability benefits and the last job ended before 1983. It is imperative that information on the current/last job be available for disabled individuals, so it is necessary to return to the earlier portion of the survey. This skip‑back will happen in only rare instances, and, again, only if there were multiple jobs after R began to receive disability benefits and all jobs ended prior to Jan. 1, 1983. After skipping back to the questions on the current/last job (QQ.26‑68A), the interviewer should return to the point of departure and continue the interview at Q.142, in the vocational rehabilitation section.

Questions 142‑147: Vocational Rehabilitation

General: This section employs a grid structure to gather information on the receipt of various types of rehabilitation services, the type of provider, and when they were received. The rehabilitation questions are phrased to learn the relationship of the services to the first, and subsequent, work attempts. The interviewer is to cycle through QQ.143‑147 for each category of service (beginning with category a and ending with f).

Q.142This question determines whether R received any rehabilitation services after 1980. If no services were received, the entire section is skipped. If R appears unsure of what may constitute vocational rehabilitation services, the interviewer should indicate that any service or training which is provided to improve R's ability to deal with R's impairment, to help R acquire new job skills, to regain the ability to work, or to assist R to find a job suitable to R in light of R's disability may be considered vocational rehabilitation services. The interviewer may also prompt R with examples by reading categories a through e under Q.143.

Q.143This question establishes rough categories of rehabilitation services. If the interviewer and respondent are unable to determine which category a service falls under, note the service in category f ("Other"). Sometimes, one rehabilitation provider may provide services from more than one category, e.g., a case manager may provide job counseling and job placement while facilitating access to training. Each of the three categories should be counted; however, R should attempt to identify separately the services not provided directly by the case manager. (In this case, it is likely that the training came from a different service provider.)

Q.144This question determines who provided the rehabilitation service to the respondent. If possible, it is important to differentiate the source of the service from the source of the referral for the service. For example, if R remarks that a private agency suggested that he/she go to a state agency for service and R is actually provided training in a state facility, the provider is a State agency, not the private agency which referred R. In the event that R had more than one provider of services due to multiple episodes of rehabilitation services or other reasons, the interviewer should circle all provider types that apply.

Q.145Here we establish whether R obtained the rehabilitation service prior to starting her/his first job after beginning to receive disability benefits for the period of disability beginning 1980‑ 81. If R had not started working at the first job prior to receiving the stated rehabilitation service, circle code "1." If R indicates that rehabilitation service was received after the beginning of R's first job or if R had no jobs after beginning to

receive benefits, circle code "2." If R was working at the time R began to receive disability benefits, circle code "3." In the event that the rehabilitation service was part of (integral to) R's first job (e.g., on‑the‑job training), circle code "1" (service before R started working). If R received services more than once, determine whether the first services were prior to beginning the first job and mark answer accordingly.

Q.146Here we try to establish the year R first began to receive the rehabilitation service. If R can not recall, ask R for best recollection.

Q.147This question requires R to assess the impact of rehabilitation services on R's ability to return to work or continue working. This is a hypothetical question and is asked even if R has not attempted to work or has not looked for work. The impact of vocational rehabilitation is to be judged solely on the impact on the ability to do labor market work, not on R's ability to do household work, ability to get around, or other benefits of rehabilitation services.

Questions 148‑158: Work Incentives. Education and Race

General:This section of the survey instrument is intended to obtain information about beneficiaries' knowledge of work incentive provisions and to determine the extent to which these provisions influence work behavior. The questions also intend to determine where beneficiaries obtain their information about the work incentive provisions. Questions are asked about knowledge of work incentives at different points in time (i.e., at time R began to look for work, at the time R started working, month and year R learned of provision) to obtain information about the impact of work incentives on not only the first work attempt, but later job attempts. QQ.149‑150 are asked only of those working when they began to receive disability benefits. QQ.151‑152D are asked if R began to work after beginning to receive disability benefits or if R did not work.

Q.148This question establishes whether R is aware of any work incentive provisions at the present time. If R is unaware, QQ.149‑153 are skipped. If R is uncertain as to what work incentives are, the interviewer may prompt R by reading categories a through c listed in Q.149.

Check‑Checkpoint M determines whether R was already working when R began

point Mto receive disability benefits. If R was already working, the work incentive questions are asked in QQ.149‑150; otherwise, R is skipped to Q.151 and certain additional information is sought in QQ.152A‑152D.

QQ.149‑ These questions compose a question grid to establish which of the

150Bwork incentives were familiar to R, when R became aware of them and whether that particular provision had an impact on R's work behavior. These question are asked only of those already working when disability benefits began. The interviewer should ask Q.149a‑d before following up "yes" response with Q.150A and Q.150B. If R is uncertain of exact dates, interviewer should have R give approximate date.

QQ.151‑ These questions compose a question grid to establish which of the

152Dwork incentives were familiar to R, when R became aware of them (both with a date and event history), and whether that particular provision had an impact on work behavior. This grid approximates the earlier grid, but applies to all respondents except those already working when disability benefits began. Interviewer should ask all parts of Q.151 before following up the "yes" responses with QQ.152A‑152D. If R did not work, or did not look for work, the answer to QQ.152A and 152B should be coded as a "3." If R is uncertain of exact dates, interviewer should have R give approximate date.

Q.153 Here we focus on the source from which R learned of the work incentive provisions. If R learned of provisions from more than one source,each source should be identified.

QQ.154‑155Q.154 establishes R's level of education and Q.155 determines whether any of that education was received after 1980. Only formal education should be counted in the years of schooling. If R participated in vocational training outside the educational system (e.g. private trade school), this should not be counted as years of school.

Q.156This question determines R's level of education prior to receiving disability benefits for the period of disability beginning in 1980‑81. This question is asked only if R answered "yes" to Q.155.

Check‑ Checkpoint N establishes whether R is a member of the disability

point N sample which had not been interviewed in 1982.

Q.157‑158These question establish R's race if R was not interviewed in 1982.

To complete Q.157, hand card 9 to the respondent and read the question and the first four answer categories aloud. Let the respondent choose the category which she/he feels is the best description.

If the respondent answers with a race or other group not listed on the card, ask which of the listed races best describes her/his race. If the respondent then repeats the original answer, write the answer in "Other" and record your observations of her/his race in the margin. If the response is "human being," the question's intent was misunderstood: probe for a more codeable answer.

Any "Other" entry must be specified in detail.

We are especially interested in identifying Hispanics in Q.158. A person's race (Q.157) does not define their origin or background. Hispanic can include white Hispanic, black Hispanic, or any members of any other racial group who are Hispanic as well.

Questions 159‑220: Health and Functional Status

General: This section of the questionnaire examines the state of the respondent's health through a series of questions about conditions and/or illnesses, doctor visits and the impact of health upon the ability to perform normal and work functions. Traditionally, respondents have shown a tendency to digress during the administration of questions concerning health; many people enjoy discussing and complaining about their maladies. For this reason, you will have to take particular care to keep the interview moving along during this section. Please note that this section only focuses on the respondent. A parallel series of questions will be later asked about the spouse in the spouse section of the questionnaire.

To administer the health section, you:

◼ Read two questions which ask R to make a global assessment of her/his health;

◼ Read a catalogue of conditions to determine which affect the respondent;

◼ Determine the kinds of health insurance coverage R may have;

◼ Ask whether R has been a resident in a long‑term care facility since December 1982 and, if so, the duration of stay, the type of facility and the sources of coverage for any costs engendered.

◼ Determine whether or not the respondent has been bedridden at any time during the year prior to the interview, and when she/he last consulted a physician;

◼ Establish whether or not the respondent has any infirmities which limit her/his ability to get around or work and, if so, how serious the limitations are;

◼ Establish the extent to which the respondent has difficulty performing various activities and, if so, whether help is required, whether the required help is received and, if help is received, who helps.

QQ.159‑160 These two questions allow the respondent to make a global assessment of her/his health. Whereas Q.159 asks R to make an overall assessment, Q.160 asks R to compare her/his health status to other persons about her/his age.

QQ.161‑162Read each category as a separate question, pausing after each to obtain and code the response. Be sure to circle "1" (yes) or "2" (no) for each of the categories. a‑n. Do not attempt to define the various conditions listed; let the respondent answer in terms of her/his own perceptions.

Note the important qualifier: "at the present time." If necessary, emphasize that we are concerned with current conditions only. If a respondent once had a condition which has since been cured, code "no" for that condition.

After each "1"‑‑yes‑‑to a current condition, immediately follow up with Q.162. Note: this manner of asking questions is somewhat different from the usual way of asking such questions, where all parts of the stem are queried before asking the follow‑up question(s). Here, the follow‑up question (Q.162) is asked immediately after receiving a "yes" response to the stem (Q.161).

Note: "Pneumoconiosis" is pronounced n(y)u'‑mo‑ko'‑ne‑o'‑sis.

Q.163Self‑explanatory. Note that this question imposes no time limit ("have you ever").

Q.164This question refers to present time only; stress "now." If a respondent once had such a problem but is no longer suffering from it, code "no" and skip to Q.166.

Q.165This question is a follow‑up to Q.164; it focuses on limitations to R's usual, daily living activities.

Q.166Another global assessment of health, here the focus is on memory.

Q.167After reading the introduction to this question, ask Q.167 to determine whether or not R is now covered by Medicare. Stress "covered;" whether or not the respondent has used the plan is of no consequence here. Receipt of Medicare benefits usually is established by eligibility for social security benefits. Be sure the respondent does not confuse Medicare with Medicaid.

Definitions:

Medicare (Medical Care): Refers to a federal government program of medical care for the aged and disabled.

Medical Assistance (Medicaid): This is a blanket term which refers to a program of medical aid designed for those unable to afford regular medical service which is financed jointly by the state and federal governments. In California, it is generally known as MediCal. When interviewing, read "Medicaid or Medical Assistance" in all states except California; read "MediCal or California Medicaid" in California.

Q.168Here the focus is on Medicaid coverage.

QQ.168A‑ If ''no" to current Medicaid coverage, determine in Q.168a whether

168B R has ever applied for Medicaid and, if R has, whether or not she/he has ever been denied Medicaid coverage.

Q.169These are all health plans available to military and ex‑military personnel and their dependents.

Q.170 Stress "other; note the exclusions. Private‑, union‑ and employment‑related plans, HMO and Blue Cross and Blue Shield should be considered for this answer. If no other health insurance, skip to the introduction before Q.175. Otherwise, ask QQ.171‑173 to find out about the range and sources of this other coverage.

Q.170AAsk each option, a‑g, to find the range of services covered by any insurance noted in Q.170 above.

Q.171Then, in Q.171, find out the source of this other health insurance coverage. Read all options, a‑d.

Q.172If the insurance coverage in Q.170 is through a job (Q.171), find out in Q.172 whether it is from R's current or previous job or, if married, from R's spouse's current or previous job, or from some other person's job.

Q.173And, finally, in Q.173, find out who is the primary beneficiary of this health insurance coverage‑‑R, some other family member (including R's spouse) or both R and another family member.

Q.174Here we are inquiring whether or not B has any health insurance that pays a)only for certain illnesses such a cancer or stroke, b) pays R directly (R himself/herself directly receives a check) when he/she is hospitalized, and c)covers either some or all of his/her potential long‑term care or nursing home services.

Q.175Q.175 and its follow‑up questions, QQ.176‑183, inquire about any long‑term or nursing home care R may have received since December 1982.

Q.176Choose the time period most convenient to R.

Q.177Here the focus is on the number of stays of 30 days or more.

Q.178 If more than one period where R was a patient in a long‑term care or nursing home facility, ask Q.178 and the remaining questions in this sequence (QQ.179‑183) about the longest stay. If, in fact, R had only been a resident of such a facility one time, then the "only" stay would be the "longest" stay.

QQ.179‑180 Determine the duration of the longest or only stay and the year that stay ended. If R is currently a resident of such a facility and this has been the longest or only stay, then circle code "95".

Q.181The focus of this question is on whether or not R or his/her spouse was personally responsible for at least $1000 in charges

(i.e., there was no insurance coverage for the first $1,000 in charges).

Q.182However, in Q.182 the focus is on whether or not any of this care was paid by some third party other than R and/or his spouse. If any third party coverage (including friends or relatives), ask Q.183; otherwise skip to Q.184.

Q.183Using card 10, ask R who paid some or all of these bills. Circle code "1" for all that apply.

QQ.184‑185Ask about each item "a" through "i". As in Q.161, immediately follow each "yes" in Q.184 with Q.185. Note: This question refers to services used only by the respondent himself/herself. Do not include any services used only by R's spouse.

Q.186 "Medical doctor" refers to licensed physicians, surgeons, and osteopaths. Do not include dentists, chiropractors, Christian Scientist practitioners, faith healers, dental hygienists, etc. Also, ignore visits to a physician's office for the sole purpose of medication pickups. "Saw or talked to" means encountered in a professional doctor‑patient capacity, not casually. Note that there are no time limits imposed by this question, and that it specifically includes visits by a doctor while in a medical institution.

Note: Be sure to record the number on the line corresponding to the time period offered by R.

Q.187The time frame shifts to the "past 12 months." Note the stipulations for the answer: in bed, either at home, in a hospital as a patient, or both. Accept an estimate if a precise answer cannot be obtained. If "none," skip to Q.189.

Q.188 Here the time frame shifts to the last 14 days, or two weeks.

QQ.189‑190Determine R's ability to get around with respect to the amount of time R must stay in bed or in a wheelchair.

If R is bed bound‑‑Q.189 is "all or most of the time"‑‑skip to the introduction before Q.207. QQ.191‑206 only make sense if R has, at least, some mobility.

QQ.191‑192These two questions focus on whether or not R's health limits his/her ability to go outside by himself/herself and use public transportation by himself/herself . If R needs any help from others in order to perform these activities, then the answer is "yes," R's ability is limited.

Definition:

A) "Outside" includes anything outside the confines of the

building in which R lives.

B) "Public transportation" does not include taxicabs or private cars.

Q.193The focus is on usually; code only the most usual way R goes places that are too far to walk.

QQ.194‑198Here we determine R's ability to drive. If R usually drives (Q.194 is self, code "1"), find out how many miles R has driven in the past 12 months. If someone else usually drives, find out if R currently has a valid driver's license and, if R has a current license, also determine the approximate number of miles driven in the past twelve months. If someone else usually drives and R does not have a current, valid driver's license, then skip to Q.197 and determine whether R ever had a license. If R once had a license, then read all parts of Q.198 (a‑f) to determine the reasons(s) R stopped driving.

Q.199This question focuses on any health condition (physical or mental) which now limits R's ability to do work (kind or amount) around the house. Work for pay should be excluded for consideration here. "Work around the house" is to be respondent‑defined, referring to her/his mental picture of housework. Note the stress on now; we want to establish whether R has a current limitation.

This question is similar in mechanics and intent to Q.200 below. See the specifications for Q.200, second and third paragraphs, for a discussion of limitations and the intent of "kind or amount of work."

Q.200Here, the focus shifts to R's capacity to work for pay whether R is currently working or not. We want to establish the respondent's perception of her/his current condition: stress "now." This question is intended to determine whether or not the respondent's present health situation restricts her/his capacity to work for pay. Work around the house must be excluded from consideration for this answer. Within those parameters, "work" is respondent‑defined; it should refer to any kind of activity for which the respondent is accustomed to receive some form of monetary payment.

The fact that the respondent may not be working or may have no desire to work either now or in the future is of no consequence here; only her/his capacity is sought. For this survey, a work limitation is to be respondent‑defined; code "yes" if the respondent considers herself/himself to be limited, no matter what the cause.

By "kind or amount or work," we mean the type of work the person would usually perform. For example, if the person was formerly an iron worker but can no longer do such work because of a back

injury, he would be limited in the "kind" of work he can do. "Amount" of work can have several meanings. For example, if a secretary can work only a few hours a day because of eye trouble, she is limited in the amount of work that she can do. "Amount" can also refer to the actual quantity of work produced. For example, if a craftsman can still work his usual eight‑hour day but cannot produce as much as formerly because of an injury, he is limited in the amount (quantity) of work he can do.

If no such limitation on kind or amount of work, skip to the introduction before Q.206.

Check‑Use this checkpoint to avoid asking R if a health condition

point 0,keeps her/him from working at all when you have already uncovered in Q.23 that R is currently working.

Q.201Consider any kind of work for this question's answer as long as it is work for pay. Let the respondent answer according to her/his own feelings about the severity of the condition(s). Note the skip for a "yes" response.

Q.202We are not interested in whether the respondent actually does the same kind of work, but whether she/he has the physical and mental capacity to do that kind of work.

Stress "before." Any code "3s" ("Others") must be described in detail. Note the category for code "4." This category is applicable only to those respondents who have never worked and those whose limiting injury or condition was incurred before their first job.

Q.203 Stress "able." This question refers to the respondent's ability to do the same amount of work as before her/his limitation, not to the amount of work she/he is now actually doing. If the respondent is able to work only part time at his regular job or activity, circle code "1" (yes). Full time work is defined as 35 or more hours per week.

Q.204"Regular work" refers to the length of the work; it means permanent, steady work, as opposed to occasional or irregular work. It does not refer to the number of hours worked.

Q.205Record both month and year. If R does not remember, probe for at least the year the health condition began.

Q.206First read the introductory sentence. Then, hand card 11 to the respondent and read the opening question to establish the answer categories. Then check Q.190 to determine if the respondent must spend most or all of her/his time in a wheelchair. If the answer to Q.190 is "1" (yes), skip directly to item i after reading the opening question. Items a‑h are totally inappropriate for nonambulatory respondents.

Read each item as a separate question, pausing after each to obtain and record the response. You must circle an answer code for each applicable question. You may occasionally have to restate the answer categories (no difficulty, some difficulty, etc.) in order to keep the respondent on track. Give the respondent enough time to answer to the best of her/his ability.

Note the instructions and skips at the end of categories f and g. The f‑h series questions the respondent's ability to lift increasingly heavy weights. If a respondent is unable to lift 10 pounds, then it can be assumed that she/he cannot lift heavier weights. A code "4" on item f or g, then, sends you directly to item i.

Q.207Read the introductory sentence and then hand R card 11. This, and two subsequent, similar questions‑‑QQ.213 and 215, refer to the difficulty R might have performing some task or activities, not whether or not R actually does the task or performs these activities.

While, in Q.207, most R's are likely to actually perform most or all of these activities, (albeit, with some or much difficulty) in the two subsequent, similar sets of questions, this may not be the case. The respondent may not do something not because he/she is unable, but simply because he/she does not perform these activities. But the principle is the same. How much difficulty would R have doing the tasks were he/she to actually attempt to perform them?

Note the skip in item b; if wheelchair bound from Q.190, circle code ''4" and skip to item c.

Q.208Ask this question to ascertain whether or not R requires some device to help perform one or most of the above activities.

Q.209If R has any difficulty (codes "2," "3," or "4") performing any of these activities in Q.207, ask this question to determine whether R needs help from other persons in order to actually do this activity. If he/she requires assistance to do any of these activities, then ask Q.210. Otherwise skip to Q.213.

Q.210If R generally receives the help required to perform those activities requiring assistance, ask QQ.211‑212B. If the help required is generally not received, skip to Q.213 and ask about the next set of activities.

Q.211Here we determine who helps R. Circle code "1" for all types of persons who help R. Note the differentiation in items d, e, and f, g, between a household member and a non‑household member.

Q.212AOf all the persons who help R, this question seeks to determine who helps the most‑‑most frequently.

Q.212BIf relative mentioned in Q.211 (items d and e), ask Q.212B to determine which relatives help. Circle code "1" for all the types of relatives who help R perform one or more of the activities requiring assistance in Q.207.

Q.213See general comments for Q.207. Stress that the subject is the ability to perform, not actually performing the activity. Even if R does not actually do the activity, how much difficulty would he/she have were she/he to actually try to do the activity? For example, the R may not currently be taking any medicines. Were he/she to take medicines, how much difficulty would she/he have?

Q.214ASee Q.209.

Q.214BSee Q.210.

Q.214CSee Q.211.

Q.214DSee Q.212A.

Q.214ESee Q.212B.

Q.215Note the skip before Q.215. Stress that the subject is the ability to perform, not actually performing the activity. If R is bed bound all or most of the time, skip to Q.221. The next set of questions is inapplicable to persons who are bed bound. Otherwise see the general comments for QQ.207 and 213.

Q.216See Q.209.

Q.217 See Q.210.

Q.218See Q.211.

Q.219See Q.212A.

Q.220See Q.212B.

Questions 221‑237: Housing

Q.221This question, and the series immediately following, are intended for respondents who do not currently own or are not currently buying their homes. "Renting" implies the act of paying another for the use of the dwelling. Arrangements wherein respondents are supplied a place in which to live with a relative, friend, etc., without paying, are not to be considered "renting." If any rent is paid, however, code "yes." Note the skip for a "no" response.

Q.222This type of housing, where available, is generally made accessible to low‑income, elderly and/or disabled persons. Any answer that is recorded in this question's "Other" category must be specified in detail.

Q.223Self‑explanatory. Circle code "1" (yes) if any of the rent is subsidized, no matter how minute the amount.

Q.224Various levels of government sometimes make special payments or allowances to families that are faced with a cold‑weather emergency to help cover for the cost of fuel. These payments are usually made through a welfare agency, and can go either to the family or directly to a fuel oil company. Code "yes" for either type of payment. Consider cash payments only; in‑kind offerings (such as space heaters, etc.) must be disregarded here.

Note that the dates during which a payment could be made and receive consideration here are specified: "November 1, 1989 through March 31, 1990." Any such payments received outside of this time period should be ignored.

QQ.225‑226Q.225 seeks to determine whether or not the address you have listed on the cover sheet (and, presumably, the address where you are interviewing R) is the place where R usually lives or the place R considers to be his/her primary residence. If R considers some other address to be the usual residence, record either the state or foreign country (if non‑U.S.) on the appropriate line in Q.226.

QQ.227‑229Q.227 seeks to determine if R spends 30 consecutive days or more at an address other than her/his primary or usual address. If yes, find out, in Q.228, the location where R spends the most time when not living at the primary or usual residence. Then, in Q.229, find out how many weeks are spent at this other location. If R spends thirty days or more in various locations and will not provide an answer to Q.228, code 888 in Q.228 and skip to Q.230.

Q.230This question will establish the number of times R has moved his/her primary residence since the first interview, which was held around December 1982. If one or more moves since December 1982, you will ask QQ.231‑237 about these moves (or, if more than five moves, about the first four moves and the last move).

If R has not moved his primary residence since December 1982, then you will skip to checkpoint P on page 72.

QQ.231‑237When asking this set of questions, you will ask all relevant questions in this sequence about each move, one move at a time. When you have finished asking QQ.231‑237 about the first move, then you will go back to Q.231 and begin asking the relevant questions in this sequence about the second move, etc. In Q.231, you establish the year of the move; the year must be between (and/or include) 1983 and the year of the current interview. If the move was not within or among the fifty U.S. states, then circle code "4" in Q.232 and write in the name of the place to which R moved. If it is established in Q.233 that the move was decided by someone else (code "2" has been circled), ask Q.234. If the move was either decided by R (code "1") or a mutual decision with someone else (code "3"l), skip to Q.235.

Q.234 seeks to determine the parties who made the decision to move if it was not either R's decision or a more or less mutual decision reached with someone else. Ask all parts of Q.234 to uncover the parties who decided that R should move. If a government agency was among the parties who made this decision, skip Q.235 and ask Q.236. If, however, R was evicted, or asked to leave, either continue with the next move or go on to checkpoint P.

In either instance, Q.235 is inappropriate if either a government agency made the decision or R had been evicted.

In Q.235, circle code "1" for all reasons provided. Note that the reasons begin on page 69 and continue on the next page. If reasons are offered that are not on Card 13, circle code "1" for part m and write in these reasons on the space provided.

Q.236 should be asked unless you determined from Q.234 that R was renting and the landlord had evicted R or asked R to leave. If, in asking this question, you determine R did not own that residence, circle code "3". Then either go back to Q.231 to ask about the next move or, if all moves exhausted, go on to checkpoint P. If R did sell residence, ask Q. 237 to determine what R did with the money he/she received.

Questions 238‑284: Marital Changes and Economics Effects

General:This series of questions explores (1) the respondent's marital history since December 1982 and (2) if widowed since December 1982, expenses connected with R's spouse's death.

Check‑ This checkpoints directs you to the appropriate series of questions based upon

point PR's current marital status. Note: The pattern of asking questions in this section may not be intuitively obvious; it is essential that you pay careful attention to the skip instructions. Be sure to pay close attention to the skip instructions in checkpoint P.

Q.238Record the month and year R married his/her current spouse. If R was married before December 1982, skip to checkpoint Q, page 84. If married after November 1982, skip to Q.244.

Q.239Record the month and year R became a widow/widower. If R was widowed before December 1982, skip to the income section on page 102. If R was widowed after November 1982, continue with Q.240.

Q.240 Record the month and year R married his/her deceased spouse. If R married the deceased spouse before December 1982, continue with Q.241. If, however, R married the deceased spouse after November 1982, skip to Q.244 and obtain additional identifying information about that spouse.

Q.241For R's who had married their deceased spouse prior to December 1982, and whose spouse had died between December 1982 and now, record that spouse's full name (including middle name and maiden name, where appropriate) in Q.241 and then skip to Q.257 to obtain information about expenses connected with that spouse's death.

Q.242This question is only asked when R's current marital status is "divorced." Record the month and year R's divorce was granted. If the divorce occurred before December 1982, skip to the income section on page 102. If the divorce was granted after November 1982, then continue with Q.243.

Q.243 Record month and year R married that spouse. If before December 1982, skip to the top of page 83 and read introduction. If after November 1982, continue with Q.244.

Q.244 Record that spouse's full name, including the maiden name, if appropriate.

QQ.245‑246 For this spouse, record the month, day, and year of birth and his/her social security number. This question is critical. Record the spouse's Social Security number with care. If the respondent does not know the number, politely ask her/him to look

it up while you are there. If this proves inconvenient during the interview, make an appointment to call back at a later time, after she/he has had the opportunity to obtain it.

Q.247This question probes whether or not R had been married additional times between December 1982 and his/her marriage to the most recent spouse. If the answer is "no," carefully follow the skip instructions. If "yes," be certain to continue with Q.248. The skips only apply to the "no" response.

Q.248 Record the month and year that previous marriage ended. For R's who also had a previous marriage after November 1982, continue with Q.249. Otherwise, carefully follow the skip instructions below Q.248.

QQ.249‑250Record the date of marriage to that spouse. If after November 1982, skip to Q.252 and find out about additional marriages. If before December 1982, obtain that spouse's full name in Q.250.

Q.251In Q.251, record how that marriage ended. If that spouse died, skip to Q.257 and ask about the expenses connected with that spouse's death. If divorced, skip to the introduction before Q.281 and ask about any effects that divorce had on his/her financial situation. If annulled, continue with Q.252.

Q.252Here ask if R was married in December 1982. If "yes," continue with Q.253. If "no," skip to instruction before Q.255.

Q.253See instruction for Q.244.

Q.254See instruction for Q.251.

Q.255If not currently widowed, ask if R had ever been widowed since December 1982. If "yes" obtain that spouse's full name in Q.256 and continue the expense questions with Q.257. If "no," skip to checkpoint Q.

Q.256See instruction for Q.244.

Q.257Here we ask R's permission to ask questions about expenses connected with the spouse's death. If R does not wish to offer any information, skip to checkpoint Q.

Q.258‑259These questions focus on payments of $l,000 or more which were made by R and not covered by insurance or any other third party. Note: These expenses were incurred by the deceased. For each ''yes" in Q.258A‑F, ask Q.259 immediately to find out how much these unreimbursed expenses were. This is the third and last instance, where the grid is "asked across." rather than down and then across.

Q.260Again, the focus is on unreimbursed expenses.

QQ.261‑262 Here we determine whether or not any other unreimbursed expenses were incurred, including, but not limited to, inheritance taxes, legal fees, debts, etc.

Record the amount of any other expenses in Q.262. Zero‑fill any unfilled boxes.

Note the instruction below Q.262. If R had no unreimbursed expense, skip to Q.267. Otherwise, ask Q.263.

QQ.263‑264 Record R's best estimate of the total of all unreimbursed expenses associated with this spouse's death. Then, in Q.264, record whether or not any of the sources in this list were used to cover these expenses.

QQ.265‑266 The focus of this question is on the extent to which R might still personally owe for some of the expenses. If R still owes for all or even some of these expenses, ask Q.266 to determine how much is owed. if "no," or "don't know," skip to Q.267.

QQ.267‑272 These questions probe the types of estate property or monetary assets left to R and other organizations or persons. First, we ask about other organizations or persons. Q.267 asks whether or not R's spouse had a legally binding will. If R's spouse had such a will, then Q.268 asks whether R's spouse left either money or property (valued at $1,000 or more) to any persons or organization other than R. If such property or other assets were left to other persons or organizations then, in Q.269, you ask for the kinds of property or assets left to these organizations or persons, and, in Q.270, you ask R to provide you with the total value of all such bequests to others besides himself/herself. Finally, in Q.271, you ask whether R received anything from the estate and, if so, in Q.272, what proportion of the estate was received by R (all, at least half, less than half).

QQ.273‑274 Here the focus is on the payment of living expenses right after the spouse's death. If R had to borrow against or sell his/her property or assets in order to pay for ordinary living expense, then, in Q.274, you should probe for the types of assets R had to use or sell.

Q.278In Q.278, the focus is on changes in the sources of income formerly received by the deceased spouse alone. That is, did the amount of income from those sources attributed to the deceased spouse decrease, stop, or was there no change? If the deceased spouse had received no income from a source at the time of his/her death, be certain to circle code "6" or "never got."

Q.279Here the focus is on how the spouse's death has affected income received by R himself/herself. Changes in income formerly received by the deceased spouse alone should not be included here. Again, circle code "6" for all sources not received by R prior to spouse's death. Income formerly received only be the deceased spouse should not be included here.

Q.280A "yes" response indicates that R lost benefits or the level of the coverage decreased.

Q.281Here the focus is on sources of monetary income received by the respondent, regardless of whether or not they were attributable to either R or the divorced spouse.

Q.282 See Q.280.

QQ.283‑284Here the effect of any property settlement is explored. If any of R's assets decreased as a result of the property settlement then, in Q.284, probe what proportion of those assets were lost.

If R never had that asset, circle code "3" or "none."

Check‑If currently married, go to the spouse section (QQ.285ff). If

point Qnot currently married, skip to the introduction before Q.339.

Questions 285‑338: The Spouse Section

General: This entire section is to be administered in all households where the primary respondent is married or living together with another person in a common‑law type arrangement, that is, whenever code "1"‑‑married " is circled in Q.l. If the respondent is not married (codes "2" through "5" in Q.l), the entire section is skipped over. Whenever this section is appropriate. it should. if. at all possible. be administered directly to the respondent's spouse, even if someone else has served as a proxy for the primary respondent. The spouse has, obviously, the most complete and accurate knowledge about her/his own affairs. Should the spouse be unavailable, ask the primary respondent to act as a proxy for her/his spouse and administer the entire section to the respondent but about the spouse. If the primary respondent's portion of the questionnaire has been administered to a proxy respondent, ask that person to proxy for the spouse, too, if necessary. When administering the spouse section to a proxy respondent, be prepared to probe for and accept a higher percentage of estimates and guesses than you would when administering the questions directly to the person for whom they are intended.

Due to the sampling procedures, it is possible, though unlikely, for you to be assigned two primary respondents who live in the same household. If they are not married to each other, simply administer both interviews in the normal fashion. If, however, they are married to each other, proceed as follows:

◼ If both respondents are present, ask which is most knowledgeable about their financial affairs, and interview that person first. Administer QQ.1‑284 and QQ.349‑509 to the first primary respondent. Skip the spouse section (QQ.285‑338) entirely. Then administer QQ.1‑284 (not QQ.285‑338) only to the other primary respondent (the spouse). Record each's name and case number on the other's Screening Form, along with a note describing the situation. Coders in the home office will transfer the relevant data between the instruments.

◼ If only one primary respondent is present (the other being at work, out, etc.), administer the entire interview, including the spouse section by proxy, to that respondent and make an appointment to come back and speak to the second primary respondent. When you return, administer only QQ.1‑284 to the spouse. Again, record both names and the case numbers on each Screening Form along with a note describing the situation. Coders in the home office will transfer relevant data between the questionnaires.

Most of the questions which appear in the spouse section are in the work history and health sequences of the primary respondent's section. The intent of those questions which appear in both sections is identical. The wording of spouse section

questions, however, has been slightly altered to allow the questions to be administered either directly or to a proxy respondent.

To administer the spouse section, you:

◼ First complete checkpoint Q to ascertain whether or not the respondent is married. If the respondent is not married, skip over the entire section. If, however, the respondent is married, ask to speak to the spouse to administer the section. If the spouse is unavailable, ask the respondent to act as a proxy.

◼ Gather information about the spouse's employment since December 1982.

◼ Ask a series of questions about health and disabilities, and the ability to perform work and routine functions.

Check‑ To begin, you must complete checkpoint Q to determine if the

point Qrespondent is currently married (code "1") in Q.1. If so, read the first sentence asking to speak with her/his spouse. Choose "husband" or "wife," as appropriate. Always try to speak to the spouse. Stress the importance of administering the questions directly to the person for whom they are intended. Whenever possible, interview the spouse in private. If she/he is not available (at work, out, indisposed, etc.), ask Q.286 to determine why he/she is not available, obtain his/her Social Security number from R, and then ask the respondent to proxy for her/his spouse and, if the respondent agrees, write "proxy" at the top of the page and administer the entire section to the respondent about her/his spouse. If the respondent is not currently married (code "1" not circled in Q.1), check the "No" category in checkpoint Q and proceed to Q.339, skipping the entire section.

Whenever you are administering the section directly to the spouse, read the words in parentheses that speak to the second person ("you," "are you," "do you,"etc.). When administering the section to a respondent who is acting as her/his spouse's proxy, however, use the third‑person selections ("your spouse," "is your spouse," "does he/did she," etc.).

If either the spouse or the proxy respondent should refuse this section, write "refused" at the top of page 85, along with the name of the person who refused, and skip to Q.349.

Q.286Circle code "1" for all categories describing the reasons R is not available.

Q.287This is a critical question; the answer allows us to protect against double counting and overlap within the sample. Record the spouse's Social Security number with care. If you are

administering the spouse section to a proxy respondent who does not know the number, politely ask her/him to look it up while you are there. In addition to Social Security cards, tax documents (W‑2, W‑4, return statements), pay stubs, insurance and pension documents and Medicare/Medicaid cards generally display Social Security numbers. In some states, the number also appears on drivers' licenses. If, for some reason, this proves inconvenient during the interview, make an appointment to call back at a later time after the spouse has returned or the proxy has had the opportunity to obtain the number.

QQ.288‑338As mentioned above, nearly all of the questions which appear in the spouse section are also in the primary respondent's work history (QQ.19‑22) and health (QQ.159‑220) section. If you wish to check a specification for any question in the spouse section for parameters, explanations, definitions, etc., simply refer to the identical question in the primary respondent's section.

After completing the spouse section, thank the spouse for her/his cooperation (if not proxied) and ask to speak to the respondent again. The remainder of the questionnaire (Q.349 through the end) must be administered to the primary respondent.

The comparable questions in the spouse and primary respondent sections are these:

TOPIC SPOUSE PRIMARY RESPONDENT

Work History 288‑292 19‑22

Global Assessment of Health 293 & 294 159 & 160

Health Insurance 295‑302 167‑174

Long Term Care 303‑311 175‑183

Ability to Get Around 312‑316 187‑190, 199

Driver's License 318 195

Ability to Work 319‑324 200‑205

Ability to Perform Specified 325‑338 207‑220

Activities, Help Needed & Obtained

Special Note for Q.301: Option 1‑‑"Spouse's name"‑‑refers to the subject of this section‑‑the spouse. If you are interviewing R's spouse, and the health insurance is in his/her name, then you will circle code "1." If the insurance is, however, in the designated respondent's name‑‑the person's name on the label‑‑then you would circle code "2."

Questions 339‑367: Income

General: This section is designed to collect information about various sources and amounts of income received by the respondent and specified current family members during the three months immediately prior to the month of interview. QQ.339‑361 are divided into two mutually exclusive subsections, only one of which can be administered to any respondent. The 339‑348 subsection is appropriate for widowed, separated, divorced and unmarried respondents. The 349‑361 series is suitable only for married respondents because it presents questions about spouses' sources and amounts of income also. Following Q.361 is another subsection which contains a set of questions which explore possible sources of income received by children under the age of 18, if any are currently in the household. The questions concerned with children's income are constructed in a way which allows you to distinguish benefits that were combined with respondents' payments from those that were separate from respondents' payments.

Since this section includes questions about several different sources of income, each of which may have been received by more than one family member and some of which have similar names, you must be wary of double‑counting. If, at any time, you suspect that an amount has already been recorded somewhere else within the income section, take the time to clarify the benefit/payment names and to probe for double‑counting. The same amount recorded twice in this section may render income data misleading or worthless.

All of the questions in this section are about sources of cash or money income. If a respondent volunteers that she/he received some sort of "in‑kind" payment, it should not be counted as income. Examples of "in kind" payments that might be volunteered but should not be counted include goods and/or services that are provided to the respondent or her/his family at no cost (such as state‑sponsored free school lunches, free milk from WIC, welfare‑ paid child care and tuition waivers).

We are interested in the income received during the specified three‑month period by current family members, whether or not they lived with the respondent for the entire stipulated three months. If, for example, a respondent's step‑child received Social Security payments during all three months prior to the month of interview, but had moved in with the respondent only during the month before the month of interview, the amount should be recorded for all three months, even the two months when they were not living together.

Only income received by current family members should be recorded in this section. For this reason, income for persons whose names are not listed on the household enumeration table cannot logically appear here. Occasionally, a respondent may volunteer a source

and amount of income received by someone who was in the household during the three‑month period, but who left before the date of interview. Since any such person is not a current family member, her/his income must be ignored.

Record all amounts in the month during which the payment was received, regardless of whether it should have been received in another month. Disregard all payments received the month of interview. A payment that was received in the month of interview but for the prior month (i.e., was late) should not be recorded. In addition, ignore all payments which are late and expected, but have not actually been received. If, for example, a respondent reports regularly receiving a type of income and expects to receive it for the prior month but has not yet received it, record zeros.

In general, you should always credit a benefit or payment to the person for whom it was intended (a possible exception is AFDC and child support, below). In most cases this is straightforward; it is the person to whom the check was made payable. You may occasionally encounter situations in which one person, a "representative payee," received a benefit for another who is incapable of handling money. Both names are usually specified on the check: "To Mary Jones for Tom Jones." In these cases, credit the payment to the intended beneficiary (i.e., "Tom Jones"). In all other cases, or if a question should arise about who received a benefit, credit the benefit to the person to whom the check was payable. AFDC (Aid to Families with Dependent Children) and child support checks are generally made out to an adult (the parent), and should be credited to that adult even though most or all of the money was spent on the children.

Respondents may, at times, be unable to give exact figures. When this happens, probe for the respondent's best estimate. All months in which a benefit was missed or not received should be zero‑filled.

If at all possible, have the respondent check her/his financial records. This will not only help to ensure the accuracy of the data but will also minimize confusion, making your task easier. When we ask that R check his/her records, such as recent statements from a bank, we should emphasize to the respondent how important this is and that it will be confidential.

To administer the income section, you:

◼ Must be sure that you have correctly followed the skip pattern of prior questions and have proceeded to the appropriate sub‑ section;

◼ Ask a series of questions to determine if the respondent (and spouse, if applicable) received specified benefits within the three months prior to the month of interview;

◼ Record, for those benefits received, the amount received during each of the prior three months and, for spouse respondents, whether the payments were separate or combined.

◼ Determine, where appropriate, whether the payments were based on the respondent's own work record or the work record of a current or former spouse;

◼ Establish, where appropriate, whether the payments were for retirement or disability;

◼ In households where respondents live with children under the age of 18, ask and record answers for an abbreviated series of similar questions about the children's income, and establish whether this income, if received, is included in or separate from the respondents' (and spouses', if appropriate) income.

Q.339Read the skip instruction at the top of page 102 to see if the respondent is currently married. If so, skip to Q.349; if not, continue into the lead‑in sentence, which merely establishes the intent of the upcoming questions.

The actual question's opening phrase establishes the time frame for the remainder of this section. You may have to occasionally remind respondents to keep them focusing upon the stipulated period.

Definition:

"Last three months": For both asking questions and recording answers, the "last three months" means the three months immediately prior to the interview month. It does not include the month of interview. If, for example, you are conducting an interview on November 5th, "last month" = October;"2 months ago"= September and "3 months ago"= August. This rule is in effect even if the interview is taking place at the end of the month, for example, if the date of interview is November 30th, "last month"still = October, "2 months ago" still = September and "3 months ago" still = August. Be especially careful to record amounts in the correct "month" columns.

Read Q.339 as one single sentence, straight through the first answer category printed in the "SOURCE" column ("In any of the last three months, did you receive any income from Social Security?") Wait for the answer and circle the appropriate code in column 1. Then read Q.339 through the next "SOURCE" category (SSI). Continue in like fashion for each category, always coding the answer in column 1. After asking Q.339 down the grid for all

the "SOURCE" categories and coding whether or not each was received in column 1, ask QQ.340‑342 and, if applicable, QQ.343 and 344 across the grid for each source received (each code "1" in column 1). QQ.340‑344 are to be administered in a string; all must be asked for one source before being asked for the next.

Definitions:

A) Social Security: The Social Security program, administered by the federal government, makes payments to workers and/or members of workers' families if the worker has been employed for a minimum period in a "covered" position. Social Security benefits include Social Security Retirement benefits, Social Security Disability payments, and Social Security Survivor's benefits. Increasingly, Social Security Benefits are deposited directly into beneficiaries' banks, with no check involved in the payment. Count both check and direct deposit transfers.

B) Supplemental Security Income(SSI): These are funds distributed by a federally administered program, designed to assist persons with low incomes who are either permanently and totally disabled, blind, or aged over 65. (It is not the same as Social Security; some persons receive both.) Some states operate their own SSI programs, usually as a supplement to the federal program; state payments may be included in the check from the federal program or may be by separate check (colors vary from state to state). Consider payment from state and federal funds for this category.

C) Railroad Retirement: Also known as railroad pension. It provides benefits based on a worker's long‑term employment in the railroad industry.

D) Black lung benefits: These benefits are available to people who have contracted a disease of the lungs, also known as pneumoconiosis (item i, Q.161, the health conditions question), caused by habitual inhalation of coal dust while on a job. Though "black lung" payments are usually in the form of monthly checks, they are sometimes rather substantial lump‑sum payments or one lump‑sum payment combined with a series of monthly checks.

E) Veteran's Pension or Compensation from a service‑connected disability or death, or low income: These are benefits received by low‑income and elderly veterans. Veteran's survivor's benefits‑‑payments to the survivors of deceased veterans‑‑should also be recorded here. Do not include military retirement pensions here; they are explored in a later question.

F) State or local welfare including Aid to Families with Dependent Children (AFDC): There are two basic forms of welfare.

General assistance is the blanket term commonly used for welfare provided to low‑income or incapacitated individuals. The specific name for general assistance varies by state and/or locality. AFDC is the common term for assistance provided to low‑income families with dependent children in which one parent is either absent or incapacitated. In some states, two‑parent families with unemployed fathers are also covered under AFDC‑U but are subject to a more stringent eligibility test. Generally, two‑parent families with fathers working more than 100 hours a month are ineligible for aid regardless of need. States administer AFDC and set benefits and income eligibility levels.

In addition to regular welfare payments, special payments (allowances) are sometimes made to families faced with an emergency or to help cover the cost of fuel, child care, etc. These payments should be included here.

QQ.340, For each benefit received (each with a code "1" in column 1),

341, 342these three questions determine the amount received per month during each of three specified months. Read each question in turn and record the answer before proceeding to the next. The amounts of the payments explored in this grid are not always uniform from month to month, so be attuned to sudden changes. Round amounts to whole dollar figures, when necessary. Zero‑fill columns that represent months during which no actual payment was received.

Q.343Note the interviewer instruction above the question and the deleted answer categories. Q.343 is appropriate only for widowed respondents, and only in categories a, c, d, and e. You must check Q.1 for marital status when administering this question for those categories to determine if it is applicable.

"Survivor's benefits" is a term commonly used to describe payments which revert to a surviving spouse when a contributor to and/or beneficiary of a plan dies. Circle the code for "own work" or "survivor benefit," as appropriate.

Q.344Note the interviewer instructions and deleted answer categories. This question must be asked for categories a, b, c and e either if the respondent is not widowed (Q.343 was skipped), or if the respondent is widowed and there is a code "1" in Q.343 (payment based on own work) for the category under discussion. A code "2" in any particular category's Q.343 (survivor benefit) indicates that Q.344 is not appropriate for that category.

The terms are self‑explanatory: "retirement benefit" refers to payments initiated because of retirement; "disability benefits" refer to those which are usually, but not exclusively, initiated because of a job‑related injury or infirmity.

If more than one type of benefit has been received in any month

within the past three months (each "1" in column 1) you must return to Q.340 and ask QQ.340‑344 for each type received. Only when QQ.340‑344 have been asked and recorded for all types received can you proceed to Q.345.

Q.345This question is identical in mechanics and administration to Q.339. When asking this series you must guard against double‑ counting benefits, especially in the questions concerning pensions. Keep in mind that at this point any Social Security benefits, Supplemental Security Income, Railroad Retirement benefits and Veteran's Pension or Compensation benefits should have been recorded in QQ.339‑344. Do not accept those types of payments for the pension categories here (b‑f). If any of the sources mentioned above were not acknowledged during QQ.339‑344 but do surface here, you must go back and code their receipt and amounts in the proper categories. Always include in QQ.345‑348 pension benefits paid to the survivor(s) of the intended primary recipient of a pension.

Definition:

A) Earnings from a job or your own business: This question refers to all earnings (wages, salary, tips, commissions, bonuses, irregular payments, etc.) received from a job or business within the past three months, before taxes and other deductions. At this point in the interview you already know if the respondent has a job or is self‑employed and you already have an idea of his/her approximate current earnings. If the answers to this category are wildly inconsistent with current job earnings, you should probe until the discrepancies are resolved.

Self‑employed respondents present particular difficulties. First, you must probe for adjusted gross income, that is, income after expenses incurred for stock and supplies, but before taxes and other deductions. Second, the earnings recorded should be only the respondent's share; if a business or farm is owned jointly with others, you need to probe for the respondent's portion of the total. Third, you may occasionally encounter a respondent who volunteers a business loss. If a loss is declared in any of the three months, circle code "3" (LOSS) in Q.345, even if the total adjusted gross for the three month period was a profit. Later, when administering QQ.346‑348, place a check mark in the "LOSS" box in the column(s) for the month(s) in which a loss was incurred, and record the amount of loss. Remember that there may be a mixture of profits and losses over the three‑month period. A respondent may, for example, have shown a profit "last month," but have sustained losses the prior two months. For this reason, you must be very careful to check only the appropriate "LOSS" box(es).

B) State or local government employee pension: Consider and include only those funds dispensed to former state or local (not federal) employees by their pension, profit sharing and retirement plans, along with those plans' survivor provisions, if applicable.

C) Military career or reserve pension: Consider and include only benefits from uniformed military career pension and military survivor's benefits (e.g., funds made available to the widow and/or children of a deceased member of the armed services). It is possible to receive both a military career reserve pension and a veteran's pension/compensation (QQ.339‑344), but be wary of double‑counting.

D) Federal employee pension: This category applies only to payments received from the Civil Service Retirement Plan and other federal government retirement, pension, and profit sharing plans developed for the benefit of civilian employees of the federal government and their survivors.

E) Private employer or union pensions: Applies to pension, profit sharing, retirement and disability plans held through or by reason of employment with a private business or company or union, regardless of whether the payments are received directly from the employer/union or through an insurance company. Do not count individual retirement accounts (IRAs) or Keogh plans here; they are explored later in the interview. Again, benefits paid to the survivor(s) of the primary recipient should be included.

F) Any other pensions: This category should include payments from any other pensions not already provided in Q.345b‑e. Do not include Social Security. Be wary of double‑counting amounts already given. Be sure to specify the specific source on the line provided below the "yes" category.

G) Annuities or income from insurance: This category includes direct payments and/or interest payments from a fund which was set aside for the respondent's benefit, as well as payments to beneficiaries of life and disability insurance policies and private liability insurance settlements.

H) Worker's compensation: This is a form of compensation for injured workers which is administered by the state or federal employment service. Private liability settlements and private disability benefits are not worker's compensation; any such payments belong in category G. "Worker's compensation" is a relatively recent term, some respondents may still know it as "workman's compensation."

I) Unemployment compensation: This category includes benefits received from state unemployment funds as well as railroad unemployment benefits

It does include supplemental unemployment benefits (commonly known as SUB) paid out by a company or union.

J) Alimony or child support: Alimony is money received periodically from a former spouse following a divorce or separation. Child support is money received from a former spouse for the support of her/his child(ren) following a divorce or separation. In some cases, child support payments may be paid through a welfare agency or a court. These payments should be considered as child support and recorded here if the amount is known, not in the welfare questions. Do not include as child support money from relatives or friends other than the parent; any such payments should be recorded in category L or category M, as appropriate.

To be counted in this question, however, child support and alimony payments need not be court ordered or required as part of a legal separation or divorce. Nor does the person who receives the payment have to have been legally married to the person who makes the payment. If a couple were separated after living together unmarried, and one partner continued to contribute money to help support the other partner or any children of their relationship, this money should be counted here.

K) Estates, trust payments royalties: Estates and trusts are most often assets administered by a banking institution, the income from which is regularly paid out to a beneficiary. Royalties are monies received from the ongoing sale or licensing of a product or goods. Whenever royalties appear, you should always probe to confirm that they weren't also counted as earnings (category A).

L) Money from relatives or others in the household: Include only money given directly to the respondent by people who are living in the household on the date of interview (people listed on the household enumeration table). Any monies recorded here should not be counted again in QQ.432‑435. See the specifications for Q.432 for a discussion of this possibility. Contributions from someone who moved out of the household within the past three months belong in category M, even if they were received while the person still lived with the respondent.

M) Money from relatives or others not in the household: Include only money given directly to the respondent by persons who are not listed on the household enumeration table. See category L, above.

N) Food stamps: These are coupons which are provided directly to needy households to help in purchasing food at retail outlets. Benefits are federally funded, but state welfare agencies administer the program under federal rules. Monthly allotments of stamps are given directly to households without any cash transactions. Occasionally, you may have to probe for an estimate of the value of the stamps.

Some respondents may report receiving food directly. This constitutes an "in‑kind" transaction and should be ignored.

QQ.346, With the exception of the ability to code and record losses in QQ.346A‑348a,

347, 348 this set of questions is identical in mechanics and administration to QQ.340‑342.

Q.349This question and its leading introduction begin the second subsection (QQ.349‑361), which is designed for administration to married respondents. Widowed, separated, and divorced respondents and those who have never married must skip this subsection entirely. Ask Q.349 for each source before proceeding to Q.350. See the specifications for Q.339; with the exception of the additional phrase "or your spouse," this introduction and question are identical to Q.339.

Q.350Any (or all) of the sources listed can be received in separate, individual checks made out to the respondent, the spouse, or a check to each) or in combined checks (made out to both people). This question determines who received the benefit.

The answer to this question determines the applicability of Q.351 and, in many cases, the wording for QQ.352‑356.

Q.351Note the instruction: as this question determines whether a respondent and her/his spouse received a particular benefit in individual checks, or whether it was received in a combined check, it is appropriate only after a response of "both" (code "3") to Q.350. If only one person received the benefit (either code "1" or code "2" in Q. 350), skip this question and proceed directly to Q.352.

QQ.352, This series gathers the dollar amounts of the benefits received during each

353, 354 of the three months prior to the month of interview. Read each question in turn and record the answer before proceeding to the next.

These questions allow for several reading and recording variations. The variation appropriate for any particular benefit depends on the response to Q.350 and, when answered, Q.351. If the respondent alone received a particular benefit, as indicated by a code "1" in Q.350, read "you" and record the amount in the set of boxes designated by an "R"; if the spouse alone received the benefit, as indicated by a code "2" in Q.350, read "your spouse" and record the amount in the set of boxes

marked "S". If both received the benefit, as indicated by a code "3" in Q.350, read "both of you" and check Q.351 to determine the proper recording convention. Benefits received in a combined check ("yes" in Q.351) must be recorded in the set of boxes designated by "COMB"; those received in two individual checks ("no" in Q.351) must go in the boxes marked "R" and "S", with the appropriate payment entered in each set. Always leave inappropriate boxes blank.

If a benefit was not received during one or two of the three months, zero‑fill only the appropriate boxes. For example, if a payment was received in a combined check ("both" in Q.350 and "yes" in Q.351) for the last two months, but nothing was received in the third month, zero‑fill only the "COMB" set of coding boxes in month three, not the "R" and "S" boxes.

Keep in mind that just because a wording variation and recording convention is appropriate for one type of benefit, it is not necessarily so for another. The proper wording and recording variation for QQ.352‑354 must be determined anew for each benefit received. For example, the respondent alone may have received Social Security benefits, but both the respondent and her/his spouse may have received SSI in a combined check. In this instance, the respondent's Social Security benefits would be recorded in QQ.352‑354's "R" boxes and the combined SSI benefits recorded in QQ.352‑354's "COMB" boxes. All other boxes in those six questions should be left blank.

Q.355Read "your" if the benefit was either combined or received solely by the respondent; read "your spouse" if the spouse was the only recipient. Circle the answer codes adjacent to the appropriate payment headings for each particular benefit ("R," "S," both "R" and "S, " or "COMB"); leave inappropriate boxes blank. Benefits are sometimes based on a previous spouse's (divorced or deceased) work record. Code "2" ("SPOUSE") for these cases also. Categories b and f are inapplicable here.

Q.356Again, read "your" if the benefit was received in a combined payment. Circle codes by the appropriate code headings ("R," "S," both "R" and "S," "COMB") only.

Note the entry for "both retirement and disability" under the "combined" category. This is applicable when one member of a couple received benefits for retirement while the other received them for disability. The terms "retirement" and "disability" are discussed in the specifications for Q.344, second paragraph.

Q.357See the specifications for Q.345; with the exception of the additional phrase "or your spouse," this question is identical to Q.345.

Q.358This question is similar to Q.350 in that it dictates the wording choice and recording convention in QQ.359‑361 for any particular benefit.

Q.359, This series is similar to the QQ.352‑354 series in that it requires you to choose

360, between several wording variations and sets of coding boxes by consulting

361a previous question (Q.358). Proceed as follows: if the respondent alone received any particular type of payment (code "1" in Q.358), record the amount in the set of boxes designated "R"; if the respondent did not receive the payment but her/his spouse did (code "2," Q.358), record the amount in the"S" set of boxes. When both (code "3," Q.358) received money from a particular source in a combined check, record the amount in the set of boxes marked "COMB"; when both received money in separate checks, record the amount received by each in the "R" and "S" sets of boxes. If a payment is not received during one or two of the three months, zero‑fill only the appropriate boxes. Again, always leave inappropriate boxes blank. Check the "LOSS" box(es) in category a, where appropriate. Remember that just because wording and recording conventions are appropriate for one type of payment, they are not necessarily so for another; they must be redetermined for each type of payment received. See the specifications for QQ.352‑354, last two paragraphs, for examples pertaining to zero‑filling and recording. Examples of recording conventions for QQ.349‑361 appear on the following pages.

(IF R IS NOT CURRENTLY MARRIED, SKIP TO (CHECKPOINT S/CHECKPOINT R, PAGE 111. OTHERWISE, THANK SPOUSE AND BEGIN TO ASK R ABOUT INCOME)

INCOME ‑‑ CURRENTLY MARRIED

Social Security is concerned about the economic well‑being of beneficiaries and their survivors. Now we need to ask some questions about current income that you or your family may receive.

(ASK QQ. 350‑356 FOR ANY SOURCES ANSWERED YES TO Q. 349a‑f. THEN CONTINUE WITH Q. 357.)

|  |  |  |  |
| --- | --- | --- | --- |
| 349. In any of the last 3 months, did you or your spouse receive any income from (SOURCE):  SOURCE | 350. Was it you, your spouse, or both of you who received income from (SOURCE): | 351. (If BOTH, Ask): Did both of you receive income from (SOURCE) in a combined check so that the two of you received only one check? | 352. How much did (you/your spouse/both of you) receive from (SOURCE) last month? |
| a. Social Security? (PROBE, IF NO: Social Security payments generally come on the third of the month.) Yes 1 No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R.  S.  Comb.0148 |
| b. Supplemental Security Income or SSI--that generally comes on the first of the month? Yes 1  No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R.  S  Comb. |
| c. railroad retirement?  Yes 1  No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R.  S. 00250  Comb. |
| d. black lung benefits?  Yes 1  No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R.  S.  Comb. |
| e. veteran's pension or compensation from a service-connected disability or death, or low income?  Yes 1  No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R..00210  S.  Comb. |
| f. state or local welfare, including Aid to Families with Dependent Children or AFDC? Yes 1  No 2 | R 1  Spouse 2  Both 3 | Yes 1  No 2 | R  S.  Comb. |

|  |  |  |  |
| --- | --- | --- | --- |
| 353. How much did (you/ your spouse/both of you) receive from (SOURCE) the month before that, that is, two months ago? SOURCE | 354. How much did (you/ your spouse/both of you) receive from (SOURCE)  the month before that, that  is, three months ago? | 355. Is (your/your spouse's) payment from (SOURCE) based on your own employment record  or on the employment record of your spouse? | 356. Is (your/your spouse's) payment from (SOURCE) a retirement or a disability benefit? |
| R  S  COMB 01458 | R  S  COMB 01458 | R: R 1  SPOUSE 2  S: R 1  SPOUSE 2  COMB: R 1 SPOUSE 2 BOTH 3 | R: RETIREMENT 1  DISABILITY 2  S: RETIREMENT 1 DISABILITY 2  COMB: RETIREMENT 1 DISABILITY 2  BOTH RET & DIS 3 |
| R  S  COMB | R  S  COMB | (NOT APPLICABLE. GO TO Q. 356.) | R: RETIREMENT 1  DISABILITY 2  S: RETIREMENT 1 DISABILITY 2  COMB: RETIREMENT 1 DISABILITY 2  BOTH RET & DIS 3 |
| R  S 00250  COMB | R  S 00250  COMB | R: R 1  SPOUSE 2  S: R 1  SPOUSE 2  COMB: R 1 SPOUSE 2 BOTH 3 | R: RETIREMENT 1  DISABILITY 2  S: RETIREMENT 1 DISABILITY 2  COMB: RETIREMENT 1 DISABILITY 2  BOTH RET & DIS 3 |
| R  S  COMB | R  S  COMB | R: R 1  SPOUSE 2  S: R 1  SPOUSE 2  COMB: R 1 SPOUSE 2 BOTH 3 | (NOT APPLICABLE, GO TO Q. 350,  NEXT SOURCE) |
| R 00210  S  COMB | R 00210  S  COMB | R: R 1  SPOUSE 2  S: R 1  SPOUSE 2  COMB: R 1 SPOUSE 2 BOTH 3 | R: RETIREMENT 1  DISABILITY 2  S: RETIREMENT 1 DISABILITY 2  COMB: RETIREMENT 1 DISABILITY 2  BOTH RET & DIS 3 |
| R  S  COMB | R  S  COMB | (NOT APPLICABLE. CONTINUE WITH Q. 357.) |  |

(ASK QQ. 358‑361 FOR ANY SOURCES ANSWERED "YES" TO Q. 357. THEN CONTINUE WITH

CHECKPOINT R,PAGE11/CHECKPOINT T)

|  |  |  |
| --- | --- | --- |
| 357. In any of the last three months,  did you or your spouse receive any  income from (SOURCE): | 358. Was it you, your spouse,  or both of you who received  income from (SOURCE): | 359. Before taxes and deductions,  how much did (you/your spouse/  both of you) receive last month from  (SOURCE): |
| a. earnings from a job or your  own business or farm, including tips,  commissions, overtime, bonuses?  YES 1  NO 2  LOSS 3 | R 1  SPOUSE 2  BOTH 3 | LOSS: R: 00450  LOSS: S: LOSS: COMB.CHECK: |
| b. state or local government  employee pension?  YES 1  NO 2 | R 1  SPOUSE 2  BOTH 3 | R:00000  S:00750  COMB.CHECK: |
| c. military career or reserve pension?  YES 1  NO 2 | R1  SPOUSE 2  BOTH 3 | R:  S;  COMB. CHECK: |
| d. federal employee pension?  YES 1  NO 2 | R1  SPOUSE 2  BOTH 3 | R:  S;  COMB. CHECK: |
| e. private employer or union pensions, including retirement, disability or urvivors payments? Do not include Social Security.  YES 1  NO 2  BOTH 3 | R1  SPOUSE 2  BOTH 3 | R:  S; 00032  COMB. CHECK: |
| f. any other pensions? Do not include Social Security.  YES 1  (SPECIFY): Canadian government  NO 2 | R1  SPOUSE 2  BOTH 3 | R:  S;  COMB. CHECK: 01750 |

(CONTINUE WITH Q. 357g‑n ON PAGE 109)

360. How much did (you/your spouse/ 361. How much did (you/your spouse/

both of you) receive the month both of you) receive the month

before that, that is, two before that, that is, three

months ago, from (SOURCE): months ago, from (SOURCE):

LOSS: R:00750 LOSS: R: 01250

LOSS: S: LOSS: S:

LOSS: COMB.CHECK: LOSS: COMB.CHECK:

R:00832 R:00832

SPOUSE:00750 SPOUSE:00750

COMB.CHECK: COMB.CHECK:

R: R:

SPOUSE: SPOUSE:

COMB.CHECK: COMB.CHECK:

R: R:

SPOUSE: SPOUSE:

COMB.CHECK: COMB.CHECK:

R: R:

SPOUSE:00000 SPOUSE: 00852

COMB.CHECK: COMB.CHECK:

R: R:

SPOUSE: SPOUSE:

COMB.CHECK:01750 COMB.CHECK: 01750

(CONTINUE WITH QQ. 358‑361 FOR ANY SOURCES ANSWERED "YES" ON PAGE 109)

Check‑ This checkpoint allows you to determine whether you will ask Q.362

point Rand, perhaps, the follow‑up questions, QQ.363‑367. If R's household includes any children under the age of eighteen, then you will ask Q.362. Otherwise, you will skip the children's income section and skip to the other pension income sequence.

Definition:

Respondent's "child" under the age of 18: For the intent of this section, a "child" is a current household member who is under the age of eighteen (household enumeration table, Q.7) and is a child for whom the respondent is financially responsible. Any child may qualify whether the child is related to R or not, as long as R considers herself/himself to be financially responsible for that child.

Q.362As noted in the definition above, you will only ask follow‑up questions, QQ.364‑367, if R is financially responsible for any children under the age of 18 who are currently living in R's household. If R does not consider herself/himself financially responsible for these children, then you will also skip to the other pension income sequence.

Q.363If the question is applicable it is read just as was Q.339. First, move down the grid, asking Q.363 for each source listed. Code the responses in column 1. Then, if "yes" to any source of income for any child, ask QQ.364‑367 across the grid, recording answers in the columns adjacent to the source received. See the specifications for Q.339 for a discussion of question mechanics and definitions of benefit sources. Note the addition of category e: "Earnings from work."

Q.364The answer to this question allows us to distinguish between recipients and, as a result, to guard against double‑counting amounts. Payments for the benefit of minors are often included in checks made out to their parents or guardians. This question allows us to determine if a check made payable to the respondent is for or includes benefits for the child (ren). It is not applicable for category e.

Note that this question allows several wording choices. It should be read according to the source of income. Circle the appropriate code for each benefit received.

A child's benefit cannot, obviously, have been "included" in the respondent's check if the respondent did not receive the same benefit. Always check answers of "included" in Q.364 against Q.339/Q.349 to confirm that the respondent claimed the same benefit during the period. Probe any inconsistencies until they are resolved.

Q.365, 366 Note the lead instruction: these three questions are appropriate only

367for those benefits with code "2" (separate) in Q.364. If a benefit was included in the respondent's check (Q.364, code "1"), skip QQ.365‑367 entirely and proceed to the next source or to Q.368, as appropriate.

If more than one child received a benefit during all or any months in the three‑month period, record the total amount of all childrens' benefits. Remember to zero‑fill the boxes representing months in which no benefit was received. These questions are identical in mechanics and administration to QQ.340‑342. Repeat QQ.364‑367 for all benefits received before proceeding to Q.368.

On the following two pages are found an example of the recording convention for Checkpoint R and QQ.362‑367.

CHECKPOINT R:

ARE THERE ANY CHILDREN IN THE HOUSEHOLD UNDER THE AGE OF 18 [Q. 7, PAGE 2]?

YES 1 (CONTINUE WITH INTRODUCTION BEFORE Q. 362)

NO 2 (SKIP TO INTRODUCTION BEFORE Q. 368, PAGE 113)

CHILDREN'S INCOME

I would like to ask you about the income of any children under the age of 18, who are living in your household.

362. Are you financially responsible for any of these children? Yes 1

(SKIP TO INTRODUCTION ABOVE Q. 368, PAGE 113) No 2

(FIRST ASK Q. 363a‑f. THEN ASK QQ. 364‑367 FOR ANY SOURCES ANSWERED "YES" TO Q. 363a‑f.)

|  |  |  |
| --- | --- | --- |
| 363. Do any of these children who are under the age of 18 and for whom you are financially responsible,receive any income from (SOURCE): | 364. Are these children's payments from (SOURCE) included in your check or do they receive separate checks? | 365. (IF SEPARATE CHECKS, ASK): How much did these children receive last month from (SOURCE): |
| SOURCE | | |
| a. Social Security‑‑that  generally comes on the  third of the month.  YES 1  NO 2 | INCLUDED 1 ‑> GO TO NEXT SOURCE  SEPARATE 2 | 00255 |
| b. railroad retirement?  YES 1  NO 2 | INCLUDED 1 ‑) GO TO NEXT SOURCE    SEPARATE 2 |  |
| c. black lung benefits?  YES 1  NO 2 | INCLUDED 1 ‑> GO TO NEXT  SOURCE    SEPARATE 2 |  |
| d. veteran's pension or  compensation from a  service‑connected disability  or death, or low income?  YES 1  NO 2 | INCLUDED 1 ‑) GO TO NEXT SOURCE  SEPARATE 2 |  |
| e. earnings from work?  YES 1  NO 2 | (NOT APPLICABLE GO TO Q. 365.) | 00083 |
| f. anything else?  YES 1  NO 2 | INCLUDED 1 SKIP TO‑> INTRODUCTION PAGE 113  SEPARATE 2 |  |

366. How much did these children 367. How much did these children

receive the month before that, that receive the month before that,

that is, two months ago, from is, three months ago, from (SOURCE):

(SOURCE):

a. 00255 00255

b.

c.

c.

e. 00083 00083

f.

Questions 368‑374: Other Pension Income

General: This sequence of questions is a follow‑up to the pension questions in the income section‑‑Q.345b‑f/Q.357b‑f. The earlier sequence asked about payments actually received in the last three months. This sequence asks about any regular pension benefits that, while they may not have been received in the last three months, are received in some regular, periodic fashion‑‑say one a year, every six months. In recording any pension income in this section, be certain that it has not already been recorded in the income section.

QQ.368‑370 If no other pension income reported, skip to the instruction at the top of the next page so that you will next use the proper checkpoint‑‑either S or T.

If R reports any additional, periodic pension payments, then ask Q.369 and/or Q.370 to uncover whether these payments are from a private employer or union, or from some governmental body. If a government pension, then ask Q.370 to determine the source or type of government pension. The other category (code "4") in Q.370 is a residual category whose code will be circled if R is unable to classify his/her pension as coming from one of the first three sources.

Q.371Record both the month and year when R first began to receive this pension. If R has difficulty remembering, then probe until at least a best estimate is made for the year. In this situation record "DK" in the boxes for the month.

Q.372 The frequency should generally be less frequently than quarterly (because a more frequent payment should have been reported in the income section)‑‑unless for some reason a payment was simply missed during the prior three months.

Q.373See instructions for 371.

Q.374Round to the nearest dollar; zero‑fill the unused blocks to the left of amount recorded.

Checkpoint S and T/Questions 375‑391: Follow‑up Questions on Pension Income

General: The purpose of this section is to gather additional information about some of the "pensions" that the respondent may have reported in the earlier section on income, Q.345 or Q.357.

The respondent may be receiving these pension benefits based on his/her own employment record, or on the employment record of someone else (for example, a widow who is receiving a survivor's benefit based on her late husband's pension).

In either case, the questions are concerned with pensions from four sources: based on employment in state or local government; based on a career in the military or reserves; based on civilian employment with the federal government; or based on employment in the private sector (with pension coverage provided by the employer or a union).

In addition, there is a possible fifth source: pensions that do not fit into one of the four categories above. (An example would be pensions based on employment with a foreign government.) This fifth category does not include Social Security, railroad retirement, or veteran's benefits (which are different from pensions based on a career in military service.)

All five of these sources were defined earlier, in instructions for the income section.

Assuming the income section has been completed accurately, your initial task here is simple: checking back to determine if the respondent (or spouse) reported pension income from any of the five sources described above‑‑and recording this information in Checkpoint S (for non‑married respondents) or Checkpoint T (for currently married respondents). For each source of pension income, you then determine the number of discrete pensions being received (for example, 1 military pension, 2 private pensions), and then ask a series of follow‑up questions about each separate pension.

Setting In order to get accurate information in the rest of this section

it up:(QQ.377‑391), it is essential that you "set it up" accurately. Three sets of items are variously used, depending on the respondent's marital status: (1) Checkpoint S, Q.375, and Checkpoint U; (2) Checkpoint T, Q.376, and Checkpoint V; and (3) Interviewer Instructions (a) and (b) at the top of page 116 of the questionnaire.

Check‑ These three items apply to non‑married respondents. The items

point S. enable you to determine and record: which, if any, of the five

and Q.375. sources of pension income are being received; how many

and Check‑ separate pensions are being received from each source; and the

point U: total number of separate pensions being received.

You then "set up" each of the separate pensions by following Interviewer Instruction "a" at the top of the next page, and proceed with QQ.377‑391 for each pension. (As noted, if there are more than 6 separate pensions, you should probe to identify the 6 largest, and then set up those 6.)

Check‑ These three items apply to currently married respondents.

point T Otherwise, they serve the same purpose and follow the same

Q.376, and pattern as the three items described above.

Check‑

point V

The only difference (compared to the non‑married) is that the respondent and/or the spouse should be identified as the recipient(s) in Checkpoint T, in Q.376, and for each pension which is set up at the top of the next page (Interviewer Instruction, part b).

Note also for married respondents: When possible, the person who is actually receiving the pension should be asked the questions about it.

Q.377This first question in the follow‑up series is important in establishing the frame of reference‑‑that is, in making sure that you and the recipient are referring to the same pension. If the recipient does not have more than one pension from a given source, the referent should be simple: for example, "Regarding this private pension...." If she/he has more than one pension from a given source, however, you need to clarify further: for example, "Regarding this first private pension...."

In addition, an accurate response to this question will be important in helping us identify this pension as one that was, or was not reported in the prior survey‑‑a step that will be necessary for the comparative analysis of pensions over time.

Note also: Throughout this section, two options are given for referring to the recipient of each pension. The first applies when you are interviewing the recipient himself (for example, "What kind of benefits are you receiving?); the second applies when you are interviewing the recipient's husband or wife as a proxy (for example, "What kinds of benefits is your spouse receiving?"). If another proxy is used, the referent for the recipient should be modified accordingly.

QQ.378‑379These two questions cover potential survivor benefits, and are only asked of married recipients.

Note the potential confusion in the referent. If you are interviewing the recipient (as we prefer), the sequence over the two questions would be: you, your spouse, you; if you are interviewing the husband or wife of the recipient, the sequence over the two questions would be: your spouse, you, your spouse.

Q.380One of the goals of this series of questions is to compare pensions reported in this survey with those reported in the earlier survey‑‑to determine, for example, the extent to which pension benefits are being adjusted for inflation. An accurate response to Q.380 will be important in helping us identify this pension as one that was or was not reported in the earlier survey.

If recipient has difficulty giving a month and year, probe at least for the year.

QQ.381‑384The first question in this group determines if the payment amount from this pension has ever been increased. When the answer is "yes," the three follow‑up questions determine the number of increases, their schedule, and the reasons for the benefit increases. Note: If only one increase in Q. 382, circle code "01" and skip to Q. 388.

QQ.385‑388 These questions are similar to the four preceding, except that the concern is with decreases in benefit amounts. Note: If only one decrease in Q.386, circle code "01" and skip to Q.388.

Q.389Depending on the responses to the preceding questions (about benefit increases and decreases), the answer to Q.389 may seem obvious, but the question should be asked nonetheless. If the response seems inconsistent with preceding responses, probe for clarification.

Q.390If the response to Q.389 is "higher," you will, of course, ask about the "increased" benefit here; similarly, if "lower" in Q.389, "decreased" here.

If recipient cannot give the dollar amount of the increase/decrease, she/he may be able to estimate a percentage change in the amount. Either answer is acceptable, though the dollar amount is preferred.

Q.391Be careful with the referent (your/your spouse). We are not asking about potential survivor's benefits here, but whether the pension is for a fixed number of years/payments or will continue throughout the recipient's lifetime.

Interviewer Typically, the recipient is more knowledgeable about his pension

Check than a proxy. Your response to this check item will enable us to

Item 1evaluate the probable validity of the information given for each pension.

Questions 392‑400: Terminated Pensions

General: In order to determine changes in pension income between the two surveys, we also need to gather information on any pensions that may have been lost or terminated since the earlier survey (around December 1982). That is the purpose of this section.

The "set up" for this section is similar to, but less complex than, the preceding section. Further, space is provided here for questions about only two terminated pensions. Once the terminated pension(s), if any, have been identified, a series of follow‑up questions is asked about each.

Q.392The basic screening question for this section. The types of pensions referred to in "regular pension income" are the same as the five sources (or types) that were defined in the preceding section.

QQ.393‑394These questions determine the total number of pensions terminated since December 1982 which were previously received by the respondent or (if married) by the spouse.

Interviewer As noted, if more than two terminated pensions are reported in

InstructionQQ.393‑394, you should probe to identify the two that provided the largest benefits, and then "set up" this section for those two by identifying the terminated recipient. QQ.395‑400 should then be asked about each terminated pension.

Note: Whenever possible, the person who had actually received the pension should be asked the questions about it. If R is not currently married, it is not necessary to identify the recipient of the terminated pension(s).

QQ.395‑396Here you will determine the source of the terminated pension‑‑ whether it was from a private employer or a union, or, whether it was from a governmental body. If from a private employer or union, then skip to Q.397. But if from some governmental body, ask Q.396 to determine the specific source of this government pension.

Q.397This question probes the type of benefit received‑‑whether it was a retirement, disability or a survivor benefit.

Q.398Record both the year the benefit began and the year in which it stopped. The year stopped must be after December 1982. If not, go back to Q.392 to again determine whether there were any pension payments that were stopped between December 1982 and the present.

Q.399If pension was stopped for more than one reason, circle the code pertaining to the main reason the pension was terminated.

Q.400Record both amount and time period. Use the time period most convenient to R.

Interviewer See earlier instruction for check item 1.

Check

Item 2

Questions 401‑407: Lump Sum Payment from Pension Plans

General: Some pension or retirement plans give participants the option of taking their benefits in a single lump sum payment when they leave their job or at retirement, rather than receiving the benefits in the form of a regular annuity payment. Lump sum payments are also sometimes made in settlements of disability or survivor claims.

Since these lump sum payments may be for large amounts, they can have a significant impact on a respondent's economic status. The questions in this section are intended to identify such payments received since the earlier survey, and to better understand how they are used to meet respondents' needs.

The "set up" for this section is similar to the preceding section (the one on terminated pensions), except that space has been provided here for as many as three lump sum payments. Using a similar format as in the preceding two sections, a series of follow‑up questions (QQ.404‑407) is asked about each lump sum payment identified, up to a maximum of three.

QQ.401‑403As in QQ.392‑394, these questions first determine if, in fact, R (or her/his spouse) received any lump‑sum or one‑time cash payments from a pension or retirement plan since December 1982. If either R and/or her/his current spouse have received any lump sum payments since December 1982, then in Q.402 we record the number of such payments R received and, if currently married, the number her/his spouse received in Q.403.

InterviewerIf R is currently married, probe to identify the recipient of each of the lump

Instruction sum payments before beginning the sequence QQ.404‑ 407. It is necessary to probe for the three largest lump sum payments only if the number of payments received by the respondent and/or the spouse together sum to more than three payments. Then probe for the three largest, the recipient of each payment, and use the introduction before Q.404. Be sure that, when you actually read Q.404, you include the reference to the correct person as indicated at the top of each column.

You will also need to use the introduction immediately before Q.404, if either a respondent and/or a spouse had more than one lump sum payment. The introduction will help you take the largest payment for that person and then the next largest. Otherwise, if single lump sum payments were received by either R and/or spouse, you should go directly to Q.404 and first take the lump sum payment received by R and then, if necessary, the lump sum payment received by the spouse.

Q.404Record the year the payment was received. The year must have been after December 1982. If not, go back to Q.401 to again determine whether any such lump sum payments had been received after December 1982.

Q.404ADetermine the type of benefit‑‑retirement, disability or survivor.

Q.404BThis question attempts to determine whether or not the lump sum payment could have been included in regular pension payments or had to be received in the form of a lump sum.

Q.405Record the total amount of the payment here.

QQ.406‑407Q.406 seeks to determine whether the lump sum payment was put into an IRA, or some other type of pension or retirement plan. If so, then either ask about the next largest lump sum payment (QQ.404) or, if no more payments, skip to Q.408. If the answer to Q.406 was no, then ask Q.407 to determine how the money was used. Ask all options "a" through "1."

Interviewer See interview check item "1."

Check

Item 3

Questions 408‑455: Assets

General:This section catalogues the assets and, to a much lesser extent, the liabilities currently held by the respondent and, if married, her/his spouse. For the purposes of this survey, "assets" is broadly defined, referring to not only the current worth of tangible possessions and accessible monies, but also to the income realized from those possessions and the value of unliquidated holdings such as accumulated equity, individual retirement accounts, insurance policies, etc.

In answering this section, respondents may have difficulty determining exact amounts. Always probe for an estimate or even a guess before recording "don't know." Before beginning the introduction, encourage R to look at his/her records. These would include bank statements, mutual fund statements, tax records, etc.

To administer this section, you:

◼ Ask a series of questions about funds currently held in various types of accounts and the interest realized from the applicable accounts during the prior month, if any;

◼ Ask a series of questions concerning bond and money market fund holdings and determine the current value of same;

◼ Explore IRA, Keogh and life insurance holdings;

◼ Determine the assets and degree of liability connected with the respondent's (and spouse's) dwelling unit and/or any other owned or mortgaged private and/or business properties, and whether or not the respondent realizes income from any such properties;

◼ Determine the equity which has been accumulated to date in such properties, if any;

◼ Catalogue various other holdings and income, such as vehicles, loan repayments and any income that was previously unspecified.

Q.408Read the lead sentences to establish the intent of subsequent questions. Choose "in retirement" for respondents who are not designated as members of the disability subsample on the label; choose "while you are disabled" if the respondent is a member of the disability subsample.

We want to determine whether or not the respondent owns one of the specified accounts in her/his name, to which only the respondent and immediate family members make/made contributions.

If any such account is held because an employer makes/made contributions to the accounts, code "no;" that information belongs in Q.47.

Definitions:

A) Individual Retirement Account (IRA): This is a blanket term for a variety of retirement plans organized and operated by banks, brokerage firms, money houses, etc., to which individuals contribute periodically for investment and from which they can draw after reaching a certain age. IRAs are accessible to everyone.

B) Keogh Account: These are retirement plans which are similar in organization, administration and goals to IRAs, but which are open to self‑employed persons only.

If the answer to Q.408 is "yes," circle code "1" in column 1 and proceed through QQ.409‑410 for further exploration. If, however, the answer is "no," circle code "2" in column 1 and skip to Q.411 and ask the same question about the respondent's spouse, if any.

Q.409"Total value" refers to the entire amount of accumulated contributions plus interest since the account was started minus the amount that has been drawn out, if any, as of the "end of last month." Accept an estimate or probe for a guess, if necessary. Record the answer in column 2.

Q.410Note the specified time span: "the last three months," that is, the entire period covered by the three months prior to the month of interview. Substitute the name of the month three months prior to the month of interview for "MONTH;" substitute the name of the month immediately prior to the month of interview for "REFERENCE MONTH." The interview month is not included. See the specifications for Q.339 for a discussion of administering questions utilizing the three‑month span.

The amount recorded here will be combined with the amounts recorded in other questions concerning the three‑month period, so always probe this response to confirm that it represents only the money withdrawn during the prior three months. If it does not, keep probing until you have the amount for the stipulated three months only. Record the answer in column 3. Zero‑fill the boxes in column 3, if no money withdrawn in the last three months.

Q.411Check Q.1 to determine if the respondent is currently married. If so, ask the question; if not, proceed directly to Q.414. See the specifications for Q.408.

Q.412See the specifications for Q.409.

Q.413See the specifications for Q.410.

Q.414This grid is to be administered as were the income grids, moving down the entire source column and coding "yes" or "no" for each before continuing to Q.415. Read the question as a single sentence through the first answer category ("checking accounts?"), code the answer, and then read it for the next. Include "or your spouse" if the respondent is currently married (code "1," Q.1). Circle an answer code for each category in column 1.

Note that the question asks about accounts and certificates held as of the end of the month prior to the month of interview. If an account was active in the middle of the prior month but was closed before the end of the month, the answer must be "no."

Definitions:

A) Checking accounts: These are bank or savings and loan accounts against which checks may be drawn against credit balances.

B) Money Market accounts: In general, these accounts represent mutual purchases of short‑term credit instruments, the funds being distributed to small businesses and individuals for working capital. These accounts are most often administered by commercial banks and finance companies. They also occur in families of stock mutual funds.

C) Savings accounts: Bank or savings and loan accounts on which interest is usually paid and from which withdrawals can be made usually only by presentation of a passbook or by written authorization on a prescribed form.

D) Credit union accounts: These accounts are shares of a cooperative association that makes loans to its members at low interest rates. They usually pay dividends at specified intervals.

E) Certificates of deposit or other saving certificates: Certificates for money deposited in a commercial bank or a savings and loan association for a specified period of time (six, twelve months, etc.) and earning a specified return. They are not demand accounts.

Q.415By "total amount of money" we mean money that has been accumulated by the respondent (and spouse, if any) excluding funds that may be available on credit and/or by reason of using the accumulated funds for collateral. For example, if a respondent has contributed $1,000 to a credit union account, has earned $200 in dividends on that account over time, and is eligible to borrow $3,000 from that account, record only the accumulated amount of $1,200.

For each category coded "1" in column 1, record that total amount accumulated, including interest, as of the end of the month immediately prior to the interview month in column 2. Probe for an estimate or, if necessary, a guess.

Q.416This question serves to record the amount of interest monies earned by the specified account/certificates during the month immediately prior to the month of interview. Note that we want interest earned during the previous month only, and not the total amount of the interest accumulated from some prior time. Record the amount, no matter how small, in the column under "TOTAL INTEREST." Be aware that this is a two‑part answer column: after recording the figure for the previous month you must circle code "1" (MONTH). If no interest was earned by an account/certificate during the month in question, zero‑fill the "TOTAL INTEREST" column and circle code "1" ("MONTH").

If you cannot readily obtain the interest for the month prior to the interview month, proceed in accordance with the question's trailing instruction and ask for and record the amount for any known time period. When this occurs, you must be sure to circle the code for the period during which the amount recorded in "TOTAL INTEREST" was earned, or the answer will be worthless. Accurately describe the time period in "OTHER" if it is not yearly, semi‑ annually or quarterly (codes "2," "3," and "4"). Circle "8" in the "OTHER" column only if the respondent knows that interest was received (an amount is recorded in "TOTAL INTEREST"), but cannot even guess over what period it was accumulated. If the respondent absolutely does not know if any interest was earned by a particular account or if she/he knows that some was earned, but absolutely will not hazard a guess as to the amount, record "DK" in the "TOTAL INTEREST" boxes and proceed to ask the question for the next category or go to Q.417, as appropriate.

See the opposite page for an example of a completed assets grid.

Q.417This question is concerned only with currently held mutual fund investments, exclusive of those elicited by QQ.414‑416, category c. Note the skip for a response of "no."

Definition:

Mutual Funds: These are investment companies, a portion of which are bought by each of their shareholders. The companies then use the money accumulated by selling shares of their own stock to purchase shares of stocks in a diversified group of other companies, and/or purchase public or private bonds. See Q.422 for the definition of a bond and Q.425 for the definition of a stock.

Q.418Here we are asking R for a best estimate of the current market value of all

holdings in mutual funds (whether they be stock, bond

414. Not including any accounts you have already told me about, as of the end of last month, did you (or your spouse) have any money in: (CIRCLE CODE IN COLUMN 1)

(ASK QQ 415-416 FOR EACH "YES" TO Q.414a-e. THEN CONTINUE WITH Q. 417.)

415. What is your best estimate of the total amount of money in (name of account) at the end of last month? (RECORD IN COLUMN 2)

416. What was the dollar amount of the interest earned from the account last month? (IF R DOES NOT KNOW INTEREST FOR LAST MONTH, PROBE FOR MOST CONVENIENT TIME PERIOD AND RECORD BOTH TOTAL INTEREST AND TIME PERIOD IN COLUMN 3)

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Column 1 | | Column 2 | Column 3 | | | | | | |
|  | Q. 414 | | Q. 415 | Q. 416 | | | | | | |
|  | Yes | No | Total Amount | Total Interest | Mo. | Other | | | | Don't Know |
|  |  |  |  |  |  | Yr. | Hf. Yr. | Qt. Yr. | Other (Specify) |  |
| a. checking accounts that earn interest? | 1 | 2 | $1,230 | $55 | 1 | 2 | 3 | 4 | 5 | 8 |
| b. checking accounts that do not earn interest? | 1 | 2 |  |  | NOT APPLICABLE | | | | | |
| c. money market accounts, including accounts at money market mutual funds, banks, and other financial institutions? | 1 | 2 |  |  | 1 | 2 | 3 | 5 | 5 | 8 |
| d. any other accounts at banks, savings and loans, or credit unions, such as savings accounts, passbook accounts, share accounts, or Christmas club accounts? | 1 | 2 | $1,750 | $90 | 1 | 2 | 3 | 4 | 5 | 8 |
| e. certificates of deposit or other savings certificates? | 1 | 2 | $4,000 | $300 | 1 | 2 | 3 | 4 | 5 | 8 |

and/or combination funds). Remember that money market funds were included in Q.416C. Since the market value is subject to some fluctuation, we are asking R to make a best estimate of current value, what their holdings could have been sold for at the end of the month prior to the date of the interview.

Q.419Stress total interest or dividends earned. Let the respondent choose the period most familiar to him/her. If money has been invested in more than one such mutual fund, calculate a total. Be sure, however, to have R confirm this amount.

Note that, with the exception of "None" and "Don't Know," below, this is a two‑part answer category. The amount without the period or the period without the amount will render this answer worthless. Be sure to code both, and to specify in detail any period which is not either yearly, semi‑annually (half year), quarterly or monthly (codes "1," "2," "3" and "4") and is recorded in the "Other" (code "5") category. If the answer is "none" (no interest received) or "don't know," simply circle "000000" or "999998," respectively, without coding a time period and continue to the next question.

Q.420This question asks whether R (or R's spouse) has any U.S. government savings bonds.

Q.421Here R is to add together the face value of all such U.S. government savings bonds. "Face value" is the amount, or value, printed on the bond and receivable on the cashout date, even though the respondent may have purchased that bond for, say, one‑ half of its face value and its actual value may have been considerably less than that at the end of the month prior to the date of interview.

Q.422The focus of this question is on bond holdings other than U.S. government savings bonds. Read "or your spouse" if the respondent is currently married. Note the skip on a "no" response.

Definition:

Bond: Generally, a bond is a certificate of public or private indebtedness to the holder, the original loan and interest accrued thereon payable to the holder on a specified date. Unlike stocks, bonds mature to a previously fixed value, are not subject to fluctuations in the debtor's fortune and do not pay dividends. The interest accumulated on some bonds is not subject to taxation. Do not allow respondents to confuse bonds with stocks, money‑ market accounts, or mutual fund holdings (see Q.425, Q.414c and Q.417).

Q.423This question is applicable only after a "yes" in response to Q.422. For the purposes of this study, we want to know the "face value." "Face value" refers to the amount printed on the bond, that is, the amount receivable on the cashout date, even though the actual value may not have been that high at the end of the month prior to the month of interview. Stress "all."

Q.424 Stress "interest." Let the respondent choose the period most familiar to her/him. Though bond interest is generally unobtainable until maturity, it does accumulate at a previously specified rate. If more than one bond is held, you may have to calculate a total, but be sure to have the respondent confirm the amount before recording it in the answer category.

Q.425This question's focus is on "stock" owned by the respondent and spouse.

Definition:

Stock: Generally, a stock is a transferrable certificate which represents proof of ownership of a share of the proprietorship of a corporation. Unlike bonds, which are most often protected loans, a stock represents an actual purchase. As such, its worth is subject to fluctuations in the value or prospects of the business, corporation, etc. Stocks and shares may or may not pay profits as dividends, depending on the type of stock held and the fortunes of the company. Those that do pay dividends may not always do so regularly.

Q.426"Market value" is, essentially, the price at which both buyers and sellers are willing to do business. Generally, it is constantly changing and so is more difficult to determine than"face value" and, as a result, you may have to probe extensively for an answer to this question. We want the value of all stocks as of the end of the month immediately prior to the month of interview. Accept an estimate or guess, if necessary.

Q.427Stress" received;'' record only the amount that actually came to the respondent (and spouse, if any) before taxes. Accept an estimate or guess. Be prepared to calculate the sum, if necessary. See the specifications for Q.419, second paragraph, for recording conventions.

Q.428In certain instances, the dividends may not have actually come to the respondent (or spouse) but may have been automatically reinvested. Here we are asking R for the amount received in such dividends that were automatically reinvested during the last year or other time period most convenient to R.

Q.429Self‑explanatory. Watch the skip for a "no" response.

Q.430For the purposes of this survey, "residence" includes not only the actual dwelling, but also any land, outbuildings, etc., with which the dwelling is associated and which, taken together, constitute roughly the same parcel of property. It may be difficult for some

respondents to calculate this answer; assure them that an "estimate" is all that is necessary. Accept a guess if the respondent can't estimate.

Note that the "000s" for thousand is already preprinted in the questionnaire. Round the answer to the nearest thousand, if necessary, and record it in thousands, without the "000s." Circle the code for "no debts" if the property is owned free and clear of any debts, mortgages, encumbrances, etc.

Q.431This question is concerned with the current total market value of the property, not just the money that would accrue to the respondent after all debts, mortgages, etc., had been paid. Again, "residence" refers to the entire parcel (see specifications for Q.430).

Due to market fluctuations, length of ownership, changing interest rates, etc., this question may also prove difficult to answer. Probe for an estimate; accept a guess if you cannot elicit a more precise answer. Round the answer, if necessary; record it in thousands.

Q.432Note the time frame: "last three months" refers to the entire three months immediately prior to the month of interview; "MONTH" = the month three months prior to the month of interview, "REFERENCE MONTH" = the month immediately prior to the interview month. The interview month is not included. (See the specifications for Q.339.) If "no," skip to Q.436. For the intent of this question, "roomer" and "boarder" includes non‑relatives and relatives who paid the respondent for their living space and/or meals. All income from roomers and boarders should be considered here and the amount recorded in Q.433‑435, not Q.346L‑348L or QQ.359L‑361L ("Money from relatives or others in the household").

If, for example, a respondent's son paid the respondent for the use of a room during any of the prior three months, the answer should be "yes" and the amount recorded in the next three questions, not in QQ.346L‑348L or QQ.359L‑361L.

QQ.433, "Last month" refers to the month immediately prior to the month of interview; 434, 435"two months ago" refers to the month before "last month;" "three months ago" refers to the month before that. See the specifications for Q.339 in regard to the three‑month span.

These answers should reflect across income, that is, all income received for room and board before any expenses associated with the process of housing and/or feeding the lodgers. Do not include income expected for a particular month, but not yet actually received. Zero‑fill the answer category corresponding to any month in which no such income was received.

Q.436Again, note the qualifier: "as of the end of last month." Read the question as one entire sentence, straight through the first answer category ("rental housing...?"). Wait for the response and circle the appropriate code before proceeding to read the next category. Circle the code for "yes" or "no" adjacent to each of the four items. Include "or your spouse" if the respondent is currently married (Q.1).

Note that the respondent's own home, own business, and any farm property that she/he personally works ("own business") or rents to another for farming or ranching are specifically excluded from consideration in this question. Owned homes were discussed in QQ.429‑431; owned business and/or farms are explored in QQ.443 and 444 (below).

After all the categories have been asked and coded, check to see if any were answered "yes" (code "1")‑ If so, continue to Q.437; if not, skip to Q.443.

Q.437Read "this property" if only one item in Q.436 was coded "yes"; choose "these properties" if there is more than one "yes" response, Q.436. Include "or your spouse" if the respondent is currently married. Here we want to determine the amount for which the property could be sold if she/he had sold the holdings claimed in Q.436 at the end of the month prior to the interview month. The amount called for here would be sale price or market value. If the answer is "none," zero‑fill the answer blocks. This question may require extensive probing on your part and some imagination on the part of the respondent. Try for an estimate; accept a guess.

Q.438Stress mortgages, deed of trust and other debts when reading this question.

Q.439If yes to Q.438, what is the total indebtedness for all such properties noted in Q.436. The total indebtedness may exceed the gross or market value recorded in Q.437.

Q.440"These properties" are the properties claimed (coded "1") in Q.436. Note the time frame, the "past 12 months," i.e., back to the day one year prior to the date of interview.

All rental income from properties claimed in Q.436, from both relatives and non‑relatives, should be considered here and the amount recorded in Q.441, not QQ.346m‑348m or 359m‑361m ("Money from relatives or others not in the household"). Circle code "3" (Loss) if a loss is volunteered. Whenever this question is answered "yes," check QQ.346‑348m or QQ.359m‑361m to be sure there is no doublecounting.

Q.441We want to determine the gross income, that is, the income available to the

respondent (and spouse, if any) before expenses pertaining to maintenance, upkeep, mortgages, debt service, taxes, etc. have been deducted. If the response is a "cleared" or "net" amount, probe for the gross. Record an estimate or, if necessary, a guess for the entire year's receipts before expenses were deducted.

Q.442Here, however, net income is requested‑‑the amount cleared after expenses pertaining to maintenance, upkeep, mortgages, debt service, taxes, etc. were deducted. If a net loss is reported, check the loss box and then record the amount of loss in the amount boxes.

QQ.443,These two questions explore ownership of three types of assets that were

444specifically excluded from consideration in Q.436. Note that possession of even a "part interest" should be acknowledged.

Read Q.443, including "or your spouse" if appropriate, for each answer category. Wait for and code the response, then proceed to the next category. Circle code "1" (yes) or "2" (no) in column 1 for each category. Ask Q.444 for each category coded "1" in column 1. Note that Q.444 asks for an estimate of R's and R's spouse's share of the gross or market value in the month immediately prior to the month of interview. Record the amount in column 2.

Q.445See Q.438. While the focus is on different types of assets, the logic of the question is the same.

Q.446See Q.439.

Q.449This question has three stipulations: 1) money must have been actually received, not lost or merely owed; 2) it must have been received only within a period of exactly one year prior to the date of interview; 3) it must have been received by reason of the three indicated categories ("personal loans, mortgage notes, trust deeds") only. If all three stipulations are met, code "yes" and continue to Q.450. If not, code "no" and skip to Q.451.

Q.450Remember, the "last 12 months" is stipulated. Probe for the gross receipt, that is, amount received before taxes and other deductions. This answer may, on occasion, require extensive computation. Accept an estimate or, if necessary, a guess.

Q.451This question begins a series designed to isolate sources and amounts of income which are not specifically requested in other parts of the questionnaire. Note that only income accruing to the respondent (and spouse. if any) is stipulated. For this question, the time frame is again the three months prior to the month during which the interview is administered. Substitute the name of the month three months prior to the interview month for "MONTH." Read the name of the month prior to the interview month for "REFERENCE MONTH." Note the skip for a "no" response.

Q.452 This is, essentially, a catch‑all type of question, included here to pick up any sources which have provided income to the respondent and her/his spouse within the three‑month period prior to the month of interview, but which were not specifically requested or were missed by all other income and assets questions. Questions such as this traditionally cause respondents either to remember something that belongs in another answer category or to give an answer that was already recorded in another category. For these reasons, it is extremely important that you thoroughly probe any answers elicited here to establish that the "kind of income" shouldn't be recorded in another category or hasn't already been counted. If the"source"‑elicited here is, in fact, specified in another question, you will have to return to that question to record it properly; if it has already been included, you will have to ignore it here so as to avoid a double‑count Any "source(s)" that is/ are entered here must be thoroughly and clearly described.

Include any income from illegal activities (running numbers, illegal gambling, etc.) which is voluntarily disclosed by the respondent. Exclude income tax refunds and homestead tax rebates. If the respondent (or spouse, if any) reports receiving a loan (from whatever source) that she/he plans to repay within three years, disregard it. If, however, she/he does not plan to repay loan within a three‑year period, it should be considered a source of income and recorded.

QQ.453,Record gross amounts before taxes and other deductions, received

454,455from the source(s) recorded in Q.452 in each of the stipulated months. Do not include income expected for a particular month, but not actually received. Zero‑fill the answer category corresponding to any month in which no such income was received. See the specifications for Q.339 in regard to the three‑month time span.

Questions 456‑478: Combined Income, Insurance and Ownership of Motor Vehicles and Boats

General: These questions allow us to establish the total income received by the respondent and her/his spouse (if any) during the month immediately prior to the month during which the interview is administered. For the purposes of this survey, income recorded in these questions is subject to several important qualifications:

1) It must only have been received by R and his/her spouse (if any), not from any other current household members whose names are listed on the household enumeration table.

2) In order to be recorded, the income must have been received during the month prior to the interview month; do not record money that was received or is expected to be received during the interview month for labor, services, goods, etc. performed or sold during the prior month.

To administer this series of questions, you:

◼ Ask for and record the respondent's (and spouse's, if any) total income during the month prior to the month of interview.

Q.456Hand card 20 to the respondent and read the entire question, including "and your spouse" if the respondent is married (Q.1). Make sure that the respondent understands which month you are referring to. Stress "total amount." The items listed in the question are merely examples‑‑accept income from all sources, including, if volunteered, that which was illegally obtained, except homestead rebates, tax refunds, and any type of in‑kind payments. Let the respondent choose the letter adjacent to the amount that she/he feels is most accurate, and record that letter in the space provided. Probe for an estimate and, if necessary, accept even a guess. If respondent offers an amount and not a letter, record the amount in the amount boxes. If R cannot provide an amount for last month, probe for the amount in the last full calendar year (for nearly all interviews that year will be 1990) and record it in the check boxes at the bottom of the page.

QQ.457‑459This set of questions is similar to QQ.451‑452, except that here we asked whether or not income has been received irregularly or only at intervals longer than three months.

As in Q.452, the type of income is again probed. And, in Q.459, you should record the gross amount, before any taxes and other deductions, received in the last twelve months.

QQ.460‑461If R's income fell below a certain amount, R may have been eligible for Supplemental Security Income (or SSI). In Q.460, ask whether R himself/herself ever applied for SSI and, if no, in Q.461, ask why she/he never applied.

Check‑ The intent of this sequence is to determine whether the total household income

point W, (income received by R, the spouse‑‑if any‑‑and all relatives living in R's

Q.462household) was above or below a specified amount. The specified amount depends on the number of related persons (including R) living in R's household.

Checkpoint W allows you to determine the specified income amount to be used in Q.462. First determine the total number of related persons by adding "1" to the entry at the top of page 2. Then, the specified income amount is the amount opposite the number of related persons in R's household. Record this income amount in the income space of Q.462.

Q.462 asks whether the total income of all related household members was above or below the specified income amount. If R is married, be sure to include the phrase "and your spouse." If additional relatives are included in the table on page 2, also read: "and all of your relatives living here, or temporarily away."

Q.463Note that this question applies to all life insurance policies currently held by the respondent only; spouse's life insurance policies are subject to Q.468. Life insurance is insurance providing for payment of a stipulated sum to a designated beneficiary upon the death of the insured. The question includes examples of several types of life insurance to help the respondent remember.

Q.464Here the current total face value of all life insurance policies is requested, regardless of the type of policy.

Q.465This question is asked to determine whether these life insurance policies are term policies (no cash value) or whole life policies or a mixture of both term and whole life. Note: We do not explicitly refer to whole life policies, but rather to their definition: "the type which builds up a cash value and you can borrow on them." If a mixture of both term and whole life, circle both codes "1" and "2."!

Q.466This question asks whether R only has a prepaid plan to cover funeral expenses.

Q.467‑470If R is currently married, this sequence parallels Q.466, QQ.463‑ 465 and asks about insurance coverage for R's spouse. See Q.466, QQ.463‑465 for relevant explanations. If the respondent is unmarried, skip directly to Q.471.

Q.471Include only licensed four‑wheel cars, trucks and vans whether commercial or private. Exclude vehicles intended solely for recreational use, motorcycles and farm tractors. Note the skip for a "no" response.

Q.472 Self‑explanatory.

Q.473 Here we probe for the ownership of other vehicles, including motorcycles, boats or recreational vehicles.

Q.474If R (and/or spouse) own(s) any vehicles or boats, then ask for the total worth or market value of all such vehicles or boats. If no such vehicles or boats are owned, skip to Q.476.

Q.475Probe to find the current indebtedness for all vehicles and boats.

QQ.476‑478This sequence of questions seeks to determine whether R has any other assets not already covered in prior questions. If "yes" to Q.476, probe for the type of assets in Q.477. Make sure these assets were not already mentioned in prior questions. If, in fact, additional assets are uncovered here, then, in Q.478, obtain the best estimate of the equity R (and her/his spouse) has in these investments or financial assets.

Definition:

Equity: The equity accumulated in an asset is the money value of that asset or of an interest in that asset minus all claims or liens against it.

Questions 479‑484: Debt

QQ.479‑480 If R or his/her spouse has any credit cards (Q.479), determine the total balance still owed on all credit cards.

QQ.481‑482 Note the exclusions: credit cards, home equity loans or any other loans already talked about. After asking Q.481A‑D, ask Q.482 for any "yes."

QQ.483‑484 If R's monthly expenses are usually greater than the monthly income, ask Q.484 to find out the sources or methods used to pay his/her bills, including the option of not paying some or all of the bills (part f).

Questions 485‑503: Changes in Asset Levels

Q.485Compared to the amounts in December 1982, does R now have more savings and reserve funds, fewer savings and reserve funds or was there no change in savings and reserve funds. If R offers that he/she has no savings or reserve funds, circle code "4."

Q.486 Note: assets or wealth include savings and property, as well as any other instruments or type of wealth such as stock and bonds, businesses, etc.

Q.487The stress is on $1,000 or more at any one time.

Q.488Ask all parts of Q.488, if "yes" to Q.487.

QQ.489‑491The stress is on expenses of $l,000 or more that R or his/her spouse personally paid and not covered by any third party reimbursement. If "yes" to Q.489, find out in Q.490 what these unreimbursed expenses were for, and, in Q.491, what sources were used to pay for them.

Q.492The key here is either injury to R, or spouse, or a loss of $1.000 or more in either money and/or possessions.

Q.493Here the focus is on the number of times since December 1982 that there has been an unreimbursed loss of $1,000 or more in money and/or property.

Q.494The number of times R, or his/her spouse, had been injured since December 1982 should be obtained in Q.494.

Q.495Here the focus is on any additional unreimbursed losses of $1,000 or more.

Q.496If "yes" to Q.495, in Q.496 obtain the types of losses R had.

QQ.497‑498The stress is on the receipt of money or property worth $1.000 or more from any source such as an inheritance, insurance, a legal award, the lottery, etc. If no receipt of this magnitude, skip to Checkpoint X. Otherwise, ask Q.498 to find the source of this money or property.

Check‑If R and his/her spouse have no other persons 18 years or older living in

point Xtheir household, skip to Q.501. Otherwise, probe living arrangements in QQ.499 and 500.

Q.499Ask the reasons these other persons are living in R's household.

Q.500Here we focus on how much R and/or his/her spouse contribute toward just their own food and housing expenses.

QQ.501‑502 The emphasis should be placed on $1,000 or more in total between December 1982 and now. Altogether, between December 1982 and now have R or his/her spouse received $l,000 or more from persons not living in R's household. If "yes" to Q.501, probe in Q.502 for all the types of persons from whom this money was received between December 1982 and now.

Q.503The stress is on $1,000 or more from friends or relatives who do not live with R.

Questions 504‑508: Subjective Income

QQ.504‑506These questions probe R's feelings about life in general, and, more specifically, R's feelings about his/her family's standard of living (Q.505) and current financial situation (Q.506). Card 23 should be used for both QQ.504 and 505. While the questions ask R for expressions of his/her feelings, try to get R to reply in terms of the categories suggested in these questions. If R insists on some other type of response, write it in the margins. Include "family's" in Q.505 if R's household includes one or more persons related to R.

QQ.507‑508If necessary, allow R the time needed to think through or compute this amount. Note that Q.507 is a two part question‑‑amount and time period. Asking Q.508 is essential in order to establish whether the amount is before or after taxes. Include the words in parentheses ("family's," "and the family"), if R's household includes one or more persons related to R.

Q.509Obtain the telephone number and area code, in the event it is necessary to recontact the respondent for either the ten minute reliability phone reinterview and/or to obtain any missing information.

Interviewer Observations

General: The last pages of the questionnaire contain a set of observations which serve to give data users some idea about the respondent's dwelling unit and environment, along with her/his reaction to the interview. Most importantly, it documents exactly who responded to the questionnaire. This section should be completed as soon as possible after the interview, but not in the respondent's presence.

Q.1Self‑explanatory. Circle only one code. Any "Other" entry must be thoroughly and completely described.

Q.2Check the immediate vicinity of the respondent's dwelling unit (about 100 yards in each direction). Circle code "l" for as many as apply. Again, anything recorded in "Other" should be thoroughly and completely described.

Q.3This answer may involve some subjective judgement on your part. Code as accurately as possible.

Q.4Note that this observation asks specifically about concern over effect on benefits. Code "yes" if concern was either overtly or covertly expressed.

Q.5 Some of these observations may require your subjective judgement; do the best you can. Circle one code for each of the four items.

Q.6Indicate from whom you collected the data by coding this chart. Circle "1" (yes) or "2" (no) for each category. It is extremely important that this chart be accurately and totally completed; the information therein will help in determining the veracity of the data.

Q.7If obtained information for the designated respondent is from a person other than the designate R, circle codes "1" or "2" to indicate which reasons applied. If "yes" to "d", be sure to completely describe this/these other reason(s).

Q.8Please record anything that you feel may have indicated the data was compromised during the course of the interview. For example: reticence on the respondent's part; the presence of obvious family members who were not claimed on the household enumeration table; the appearance of wealth while the respondent claimed poverty, etc.