A Guide to the Analysis of UI Recipients' Unemployment Spells Using a Supplemented CWBH Data Set

Unemployment Insurance
Occasional Paper 83—2

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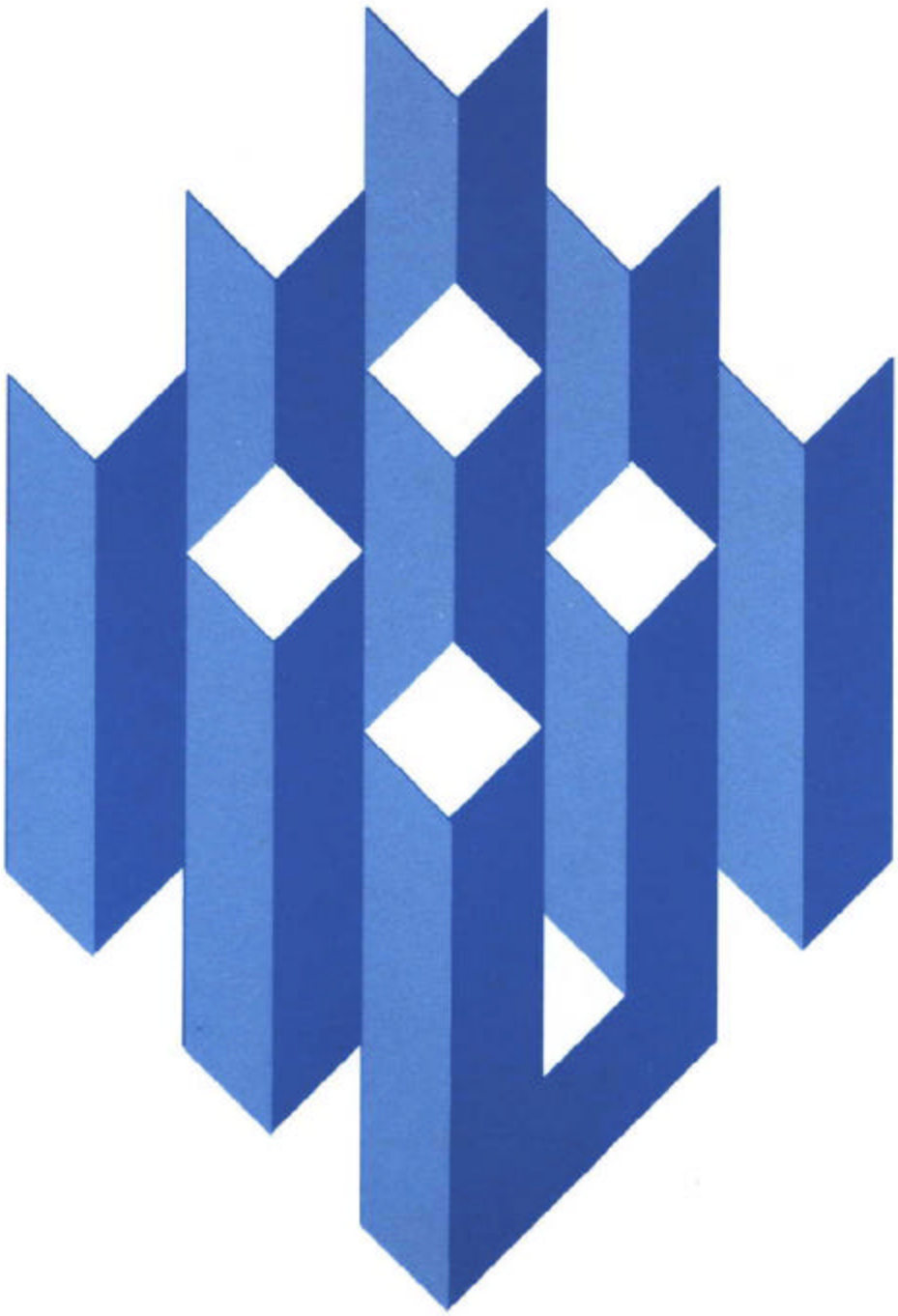
Unemployment and Training Administration



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U.S. Department of Labor
Raymond J. Donovan, Secretary

Employment and Training Administration
Albert Angrisani, Assistant Secretary for
Employment and Training

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I: INTRODUCTION

The Continuous Wage and Benefit History (CWBH) data base provides states and other users with a longitudinal data base on a sample of Unemployment Insurance (UI) claimants. This data base contains detailed information on UI claims and benefit receipt collected from UI records and on background demographic and economic variables collected from an interview administered at the time of each initial claim. While the CWBH data base by itself has many potential analytic uses of interest to UI policymakers, program administrators, and researchers, some research questions require additional data to be collected and used for analysis purposes. Such additional data collection was done for a study of unemployment spells of UI recipients, and the results of that study are contained in the study final report.[1/] For that study the CWBH data base was supplemented through an interview administered at the end of a recipient's benefit year to provide data unavailable from the CWBH system on the full length of completed spells of unemployment and on the value of post layoff weekly wages.[2/] In addition, data on the use of the Employment Service (ES) were collected in the interview and from the ESARS data system These data were then used to address the following set of questions:

[1/] Walter Corson and Walter Nicholson, "An Analysis of UI Recipients' Unemployment Spells," Mathematica Policy Research, Princeton, NJ, February 1982.

[2/] The CWBH sample used for the study came from Missouri and Pennsylvania.

- What are the determinants of the length of individuals' unemployment spells and how can that length be predicted?
- How does receipt of services provided by the Employment Service affect the length of unemployment spells and subsequent employment outcomes?
- What determines which individuals have unemployment spells long enough to exhaust their unemployment insurance entitlement?
- Among individuals who exhaust their benefits, what factors explain their post-exhaustion labor market experience?

Since answers to these and similar questions will be of continued interest to state and national UI policymakers and administrators, this report has been prepared to provide a guide for replication of this study of unemployment spells by state CWBH users. Furthermore, since future studies may address somewhat different questions, suggestions are made on how the data collection strategy could be modified to examine additional or alternative policy questions.

This guide is divided into the following four sections. Chapter II discusses development of the study design including identifying questions to be addressed, data sources, sample sizes and choice of interviewing method.[1/] Chapter III then provides a guide to fielding the supplementary interview by either telephone or mail. Manual quality control procedures are also discussed. Then, Chapter IV discusses the creation of an analysis

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[1/] A comparison of the costs and benefits of using telephone and mail interviewing strategies was discussed in detail in the study final report. See Walter Corson and Walter Nicholson, "An Analysis of UI Recipients' Unemployment Spells," Mathematica Policy Research, Princeton, NJ, February 1982.

II. STUDY DESIGN

This section discusses design issues that must be answered before a study can begin. Although this discussion is couched in terms of the study of unemployment spells of UI recipients, the discussion is applicable to other potential studies as well. The discussion is divided into three major parts: (1) Questions to be Addressed, (2) Sample Design, and (3) Data Sources.

A. QUESTIONS TO BE ADDRESSED

The first step in developing a study design is naturally to decide what questions are to be addressed by the study. A detailed answer to this question is necessary to define what items are needed for the study and to help define an appropriate sample design and sample size. For the study of unemployment spells described here, the principle questions were outlined in the previous chapter. These questions indicated that we were interested in examining individuals' unemployment and subsequent employment experiences and the determinants of these labor market experiences. The general model used for this analysis was one in which various measures of unemployment and employment experience were explained as a function of individuals' demographic characteristics, background economic characteristics, and unemployment insurance and Employment Service parameters.

To make this general set of questions more specific it was decided that the principle outcome measures of interest were the following set of variables.[1/]

- Length of initial unemployment spell in weeks.
- Total weeks of unemployment in the benefit year.
- Total weeks of employment in the benefit year.
- Total weeks of unemployment insurance benefits collected in the initial spell of unemployment.
- Total weeks of unemployment insurance collected in the benefit year.
- Whether or not the recipient was reemployed within the benefit year.
- Whether or not the recipient exhausted UI benefits.[2/]
- Length of post-exhaustion unemployment spell.
- Post-unemployment weekly and hourly wages.
- Post-unemployment hours worked.
- Post-unemployment industry and occupation.
- Whether or not the recipient worked for the same employer after the spell of unemployment as he or she did before the spell of unemployment.

In defining these variables, two general decisions were necessary. First, it was necessary to decide what time period should be used to define the variables. For this decision it was decided to use the time from the

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[1/] Not all of these variables were explicitly used in the final analysis since a number of them are quite similar.

[2/] Since EB went into effect during our observation period in both states used for the study, this variable was redefined to be exhaustion of regular UI and, separately, exhaustion of EB.

initial layoff, that made the individual eligible for UI, to the end of the benefit year as the period over which to define employment and unemployment measures.[1/] This time period then permitted us to measure the length of the completed unemployment spell (our principle outcome measure of interest) for most individuals,[2/] and it was not so long that individuals would have great difficulty remembering what had occurred when answering the interview.

The second necessary decision concerned which post-unemployment job we should examine. For this it was decided to focus on the first job obtained, since for most individuals there would be only one post-unemployment job within the benefit year.

The next step in defining the questions of interest was to determine what variables were expected to influence the various labor market outcomes. These variables were divided into three categories: (1) demographic, (2) economic, and (3) program characteristics. In addition, since one aim of the project was to determine how well CWBH data alone could be used to predict the length of unemployment spells, it was desirable to use a basic set that could be constructed directly from the CWBH data system. The principal variables and their expected effects on three of the outcome measures are shown in Table II.1.[3/]

[1/] For most individuals this period was the UI benefit year. Individuals who did not apply for benefits as soon as they were laid-off had longer time periods.

[2/] Few unemployment spells last longer than one year. In our study 5 percent of the sample were still unemployed at the time of the interview.

[3/] Since most of the outcome variables are similar, the three used in the table provide a cross-section of the expected effects.

TABLE II.1

EXPECTED EFFECTS OF EXPLANATORY VARIABLES ON SELECTED LABOR MARKET OUTCOME MEASURES

Variable	Length of Initial Unemployment Spell	Exhaustion of UI Benefits	Post-Unemployment Weekly Wages
Demographic Characteristics			
Female	+	+	-
Age	+	+	-
Black	+	+	-
Years of Education	-	-	+
Spouse Works	+	+	n.e.
Number in Household	-	-	n.e.
Economic Characteristics			
Pre-UI Weekly Wage	-	-	+
Recall Expected	-	-	+
Industry	a/	a/	a/
Labor Market Strength	b/	b/	b/
Program Characteristics			
UI Wage-Replacement Ratio c/	+	+	+
UI Potential Duration	+	+	+
Use of Employment Service d/	-	-	+

n.e. = no expectation.

a/ Industry effects were represented by a series of dummy variables. The expected effects varied by industry.

b/ Labor market strength was represented in this study by a series of variables indicating when the individual was laid-off and the state in which the individual lived. Other variables such as local labor market unemployment rates could also be used. Higher unemployment rates would be expected to lead to longer unemployment spells, higher exhaustion rates and lower post-unemployment wages.

c/ The wage-replacement ratio is defined as the weekly UI benefit divided by weekly pre-UI wages. Since UI benefits are non-taxable for most individuals, weekly wages net of taxes should be used for this measure if an estimate of taxes can be made. This was done for the current study as described in the section on variable construction.

d/ A series of variables were used to describe the use of the Employment Service. These variables described whether or not the individual went to the ES and what services they received.

B. SAMPLE DESIGN

Once the basic research questions have been defined it is necessary to develop a sample design and determine the source of data for the analysis. These steps are intertwined, and for purposes of exposition, we will discuss the sample design question first.

The initial step in developing a sample design is to determine who should be in the sample frame. For this study there were four decisions that had to be made. First, it was necessary to decide whether the sample frame should include all UI claimants or only those who became recipients. The latter group was chosen since the research questions focused primarily on this group and on individuals who exhausted UI benefits. For other studies, however, individuals who filed a claim but did not collect benefits might well be of interest, and they could easily be added to the sample frame. The second decision concerned whether the sample should be spread over individuals who began collecting benefits throughout a year or whether it should be drawn from a smaller time period. Use of an entire year would permit an analysis of seasonality effects, but a smaller time frame was chosen since it was decided that the interview should be conducted in as short a time frame as possible for budgetary reasons. Thus, we were not able to examine seasonality effects and the possible interaction of season on other determinants of unemployment spell length. The third sample frame decision concerned which states should be included in the sample. This decision will be unimportant for further studies if they are single state studies, but if more than one state is used a decision concerning which states will have to be made, although only limited sample design objectives can be achieved if the sample contains

a small number of states. For our study we chose Pennsylvania and Missouri because each had CWBH data for a relatively large number of recipients and because each state contains a number of diverse labor markets. The fourth decision that we made was to restrict the sample to individuals who had completed the initial CWBH interview (i.e., the one given by the states at the time of initial claim). This was done so that we would insure that each individual who completed our interview would have the data on demographic and other characteristics that were needed for analysis.

The next and final step in the sample design process was to decide how large a sample was needed to address the questions of interest to the study. Furthermore, it was necessary to decide if these questions could be addressed more fully with a simple random sample or stratified random sample. To answer these sample design questions it was first necessary to decide what outcomes were of particular interest, what subgroups of the population were of special interest for the analysis, what kind of comparisons we wanted to make, and finally, how precisely we wanted to make the comparisons among groups. Answers to these additional questions were needed to simplify the sample design decision and make it tractable. Regarding the first question we decided that the principal outcome measure of interest was the length of the initial unemployment spell and that we would focus on this measure for our sample design examination. Furthermore, this variable had an additional advantage because it was expected to have a large variance relative to its mean. Thus, basing sample size decisions on this variable alone provided a conservative estimate of the power of the sample to detect differences among subgroups for other outcome measures. We also decided that for most questions we

wanted to examine either the entire sample or UI exhaustees. We assumed this latter group would make up about 25 percent of a random sample (they actually made up about 20 percent).[1/] Despite this special interest in exhaustees, we decided not to stratify the sample into exhaustees and non-exhaustees as a way of increasing the proportion of exhaustees in the sample. It was decided that the exhaustee sample sizes would be sufficient for our purposes without this stratification and furthermore that it would be difficult to implement since CWBH data for the benefit year were not complete at the date of sample selection. Thus, we used a simple random sample of UI recipients as the sample frame. Finally, we decided that for our sample size decision we would examine our ability to detect differences that compared subgroups of 25 percent of the sample with the remaining 75 percent and 50 percent of the sample with the other 50 percent. And most of the comparisons we examined in our analysis did fall into this range. For example, one comparison we made was between individuals expecting recall and those not expecting recall, and this comparison divided the sample approximately 75 to 25 percent.

Once we made the above decisions we prepared several tables showing what size differences in unemployment durations could be detected for the above comparisons for alternative sample sizes and for 70 and 90 percent power levels. A 70 (90) percent power level means that the sample has a 70 (90) percent chance of indicating that there is a difference between two subgroups when a <u>true</u> difference exists. Futhermore, we assumed that all

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[1/] For single state studies one might want to examine the research questions on a state-wide basis alone or also on a sub-state level. If sub-state estimates were desired a larger sample would be required.

of our hypothesis tests would be one-tailed tests at the .05 level of significance. Finally we assumed, based on prior work, that the initial unemployment spell would have a standard deviation of 10 weeks which turned out to be an accurate guess. Although we did, in our study design, assume that about 15 percent of the variance in unemployment would be explained by our models a more conservative assumption is that none is explained and this assumption is used for the calculations presented below.[1/]

Using the above assumptions the size of a true difference of means that can be detected at 70 or 90 percent power can be calculated using the following formula.

$$d = a\sqrt{\frac{V^2}{n_2} + \frac{V^2}{n_2}}$$

where

d = difference in means that can be detected.

a = a constant. This is the number of standard deviations of the estimate of the difference in means which must fall between the two estimates of means to make the difference significant. For a one-tailed test at the .05 significant level "a" equals 2.169 for 70 percent power and 2.927 for 90 percent power.

V^2 = variance of variable of interest.

n_1, n_2 = sample sizes of the two groups used in the comparison.

For the assumptions listed above "d" is shown for three sample sizes (1000, 1500 and 2000) in Table II.2, for comparisons over the entire

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[1/] Actual regression models used in the study explained about 5 to 10 percent of the variance.

TABLE II.2

TRUE DIFFERENCE OF MEAN UNEMPLOYMENT DURATION
THAT CAN BE DETECTED FOR ALTERNATIVE SAMPLE SIZES
(Weeks Duration)

Sample Size and Comparison	70 Percent Power	90 Percent Power
Sample Size = 2000 Comparison		
50-50[a]	.97	1.31
75-25[b]	1.12	1.51
Sample Size = 1500 Comparison		
50-50	1.12	1.51
75-25	1.29	1.75
Sample Size = 1000 Comparison		
50-50	1.37	1.85
75-25	1.58	2.14

[a] Comparison of one-half of the sample to the other half.

[b] Comparison of three-fourths of the sample to the remaining fourth.

sample. These numbers show for example that if we compare one-half of the sample to the other half we will have a 70 percent chance of detecting a true difference of .97 in weeks of unemployment duration if the sample size was 2000. If it was 1500 instead, we could detect a true difference of 1.37 weeks with 70 percent power. For analyses done with exhaustees alone the numbers in the table would need to be multiplied by two, if exhaustees made up one-fourth of the sample.[1/] Thus, for the example discussed above, we could only detect a true difference of 1.94 weeks with a sample size of 2000.

Once numbers such as those shown in Table II.2 are computed, it is necessary to decide what level of precision is needed for the analysis and can be achieved within the budget. For example, the analyst would ask if detecting differences between groups of 1.37 to 1.58 weeks in the initial unemployment spell with 70 percent power is sufficient for the planned analysis. If the answer is yes, a sample size of 1000 could be used for the analysis. If more precision were needed, a larger sample would be required.

Deciding what degree of precision is necessary for the analysis is, of course, difficult since one often does not have a very clear idea of what size differences among groups are important for policy or research purposes. One approach to this problem is to attempt to calculate how large a difference in outcomes is needed to yield a favorable cost-benefit

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[1/] For exhaustees, n_1 and n_2 would equal one-fourth their value for the entire sample, and the value under the square root sign would be four times the value for the entire sample. The value for "d" would then be twice what it was for the full sample.

comparison for the policy being examined. For example, if we were evaluating a government job training program that cost, for example, $4000 for each participant, we would determine how large the effect of the program on post-program wages (i.e. the program's benefit) would have to be to yield a positive benefit-cost comparison. Then we would select the sample size needed to detect this difference in wages. For the study being examined here, a similar calculation could have been done using the services of the Employment Service as the policy being examined. The cost of these services could then have been compared to their principal benefit (i.e., reduced weeks of unemployment[1/]) and a decision made about the desired sample size. We did not follow this approach, however, and instead followed the simpler approach of basing our sample size decisions on evidence from prior studies of unemployment durations. These studies provided evidence on the likely size of differences in unemployment durations among subgroups, and we chose a sample size that would detect these expected differences.

Once it is determined how large a sample is needed for the analysis, it is necessary to estimate how large the initial sample should be to yield this final sample. In making this calculation, it is necessary to consider that not only are potential sample points lost through nonresponse to the survey instrument (if one is used) but also that some sample points are lost because of missing data on completed interviews. That is, some key items may be missing from completed interviews and these

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[1/] Each week reduction in unemployment could be valued using, for example, average weekly wages as reported by the Current Population Survey.

sample points cannot be used for the analysis. For our study, 68 percent of the initial sample responded to the telephone survey and an additional 19 percent had one or more key data items missing for an overall "response" rate of 49 percent. Thus, if it was decided that 1000 interviews were needed for analysis, one would need to complete approximately 1400 interviews to insure a sufficient sample for analysis purposes.

The procedures described above for determining the appropriate sample design and sample size for a study are relatively simple, and they do not formally take account of several factors which one might want to consider in designing future studies. For example, multiple analysis objectives, the cost of data collection,[1/] and a scheme for weighting the policy importance of the analysis objectives could all be formally incorporated in the analysis.[2/] For the purposes of this study, however, it was felt that a complex sample design was not needed, and that it would be quite difficult to implement a design that, for example, had sampling rates that differed by population subgroup. A straightforward, simple design such as the one described here will also probably be best for most state purposes. That is, one should decide who should be in the sample, how large the sample should be, and then select a random sample that has the desired characteristics and the desired size.

1/ If costs are the same for all sampled individuals, as they were for this study, cost does not affect sample allocation only the overall sample size.

2/ For a more detailed description of sample design issues see William Cochran, Sampling Techniques, Third Edition, John Wiley and Sons, Inc., New York, 1977.

C. DATA SOURCES

The final step in designing a study is to determine the source of data for the analysis. For studies that use individuals as the unit of analysis, program records and interviews will generally provide the necessary data. In designing the study described here we first listed all the basic data items we would need, as described above in Table II.1, then we determined that the CWBH data system would provide most of the background information on the sampled individuals (e.g., age, sex, race, education, UI weekly benefit amount, usual weekly wage), and it would also provide information on UI activity during the benefit year (e.g., weeks collected, exhaustion of benefits). It was then decided to collect other variables not available from CWBH through a supplementary interview administered at the end of the benefit year and through the Employment Service's data system, ESARS.

The ESARS data system contains two types of records on each individual who uses the ES during each federal fiscal year (October - September). These two records are the applicant master record and the master services record. The first of these records contains information on the characteristics of the individual and his or her case. These data were not needed for our study since most potentially useful variables were already available from the CWBH system (e.g., sex, race, etc.). Furthermore, since these data were available only for the subset of individuals who had ESARS records, we could not make general use of these background data in any event. The master services record, on the other hand, was useful for the study since it is a description of a transaction involving the ES and the individual. A separate record exists for each transaction

describing what the transaction is and when it took place as well as some other information. These records were used by us to construct several data items describing the ES activity of the individual and the timing of that activity. In particular, we created variables indicating if any ESARS records existed during the benefit year,[1] if job referrals occurred, if counseling and testing occurred, and if placement occurred. The date of the first of each of these transactions was also entered in our data file since we expected the timing of services to be important in understanding the impact of the ES on individual's labor market outcomes.

The remainder of the data we needed were collected through an interview administered at the end of the benefit year. Two different interviews were used that collected the same information by different methods, telephone and mail, so that we could compare the two different methods of data collection.[2] A discussion of that comparison is contained in the study final report, Chapter III, and the conclusions are summarized below to enable subsequent users to determine which method is better suited to their needs. Before proceeding with that discussion, however, we will describe the content of the interview using the telephone interview as an example. (Copies of the telephone and mail interviews are contained in Appendix A of this report).

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[1] We used the FY80 ESARS data base since it had the greatest overlap with the sample's benefit years. The benefit years all began between October 1979 and March 1980. Depending on the timing of the study two years' worth of ESARS data might have to be used.

[2] Two separate mail interviews were actually used for the study, a detailed and an abbreviated version. However, the detailed version, which duplicated the telephone interview, was as good or better than the shorter version and only the longer version is discussed in this report.

The primary purpose of this interview was to collect data on labor market activity during the year subsequent to the initial UI claim and, in particular, to enable us to measure the length of the initial unemployment spell. However, some other data were also collected as will be described.

The interview began (Q1-Q6) with a description of the pre-UI job. These data were also collected through the CWBH system, but they were repeated here to provide an introduction to the survey that firmly established the time period of interest and to provide a comparison to the CWBH data. This and other comparisons proved helpful in assessing the quality of data collected in the interview.[1/]

The interview then (Q7-Q27) collected data on job search activities for the time period between the end of the pre-UI job and the start of the next job (or interview date). These data, together with the start date of the next job, permitted us to determine how long the not-working period was and how long the unemployment period was.[2/] If the respondents said that they looked for work when the pre-UI job ended (Q7), we asked them how long they looked (Q8) and that answer provided a measure of the length of

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[1/] This interview asked for information on the longest or primary job held in the 12 months prior to UI and the CWBH questionnaire asked about the last job. However, for most individuals these jobs were the same.

[2/] To determine the length of the unemployment period we adapted the definitions used by the U.S. Bureau of Labor Statistics (BLS) as described in the text. It should be noted, however, that the BLS definition as used on the Current Population Survey relates to the 4 week period prior to the interview, while the definition used here relates to an entire period of not working. Thus, the definitions are not identical but are as close as is possible.

the initial unemployment spell.[1] If the unemployment spell was shorter than the entire not-working period, we assumed that the remainder of the period was spent by the individual out of the labor force (i.e., not working and not looking for work). For individuals who did not look for work when the pre-UI job ended, we asked why they did not look (Q23). If they answered that they were waiting for a new job to start or were on temporary layoff, we counted them as unemployed for the entire not-working period.[2] If another reason for not looking for work was given, we counted the individual as out of the labor force for the whole period.

The other questions in this section on the first not-working period concerned the nature of job search activity and UI collection. Two general job search questions were asked initially (Q9 and Q10), and then questions on use of the ES were asked. These questions duplicated the information that we collected through the ESARS system on service receipt. They could thus be modified in the future to reduce the number of questions, although the interviewing time saved would be small. Two other modifications to this set might also be considered. First, the entire set of questions was skipped for individuals who said they did not look for work, yet some of these individuals had ESARS records. In the future, the ES questions

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[1] If they stopped looking because they had obtained a job or expected to get their old job back (Q22) within four weeks of the end of the not-working spell, we counted the entire not-working spell as a period of unemployment.

[2] The CWBH system also provides a measure of recall expectation which we used for our analytic work since it was collected at the time of layoff, not one year later as in this interview.

should probably be asked of all individuals. And second, questions 13 to 15 on the motivation for use of the ES and the timing of assistance were intended to help us sort out the true effect of the ES on unemployment spells by enabling us to focus on the ES effect for individuals who went to find a job and went at the time they first became unemployed. Unfortunately, these questions did not help us isolate the effect of the ES, and an alternative set of questions that addressed the same issues might be developed and tried in future research studies.

After the questions on the ES there were several questions on UI receipt (Q24-Q27) during the first spell of unemployment. These questions are also provided by the CWBH data system and could be dropped from future studies. They were useful in this study, however, for comparison to the CWBH data and, for one state, as a supplement to the CWBH data system. For that state no data on the length of UI collection were available from CWBH at the time of our analysis. The question on reason for end of receipt did not provide a good measure of exhaustion, and it should be dropped. Exhaustion can be measured better by comparing weeks of UI received to potential duration or through direct use of the CWBH data.[1/]

The final set of questions (Q28 to Q43) in the interview asked about jobs held after the initial period of not working and any periods of not working between these jobs. Three possible jobs were covered and if the individual had more than three jobs the interviewers were instructed to

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[1/] The CWBH data, if available, permit one to consider partial payments, which were ignored by the interview. Exhaustion can be defined using the CWBH data by comparing the entitlement to benefits paid or by determining that a final payment has been made when a final payment date is reported.

ask about the first two jobs and the last job. Few individuals had more than three jobs. The questions on jobs repeat those asked of the pre-UI job to permit a comparison. In addition, the respondent was asked if it was the same job as the one held before layoff because this was considered an important outcome. Finally, data on job search between jobs permitted us to construct variables that described the individual's labor force status throughout the benefit year, as well as during the initial spell. The data on UI receipt also permitted us to describe the UI history although, as for the initial spell, CWBH data could be used directly, if available.

The interview described above supplemented the CWBH data set by providing data on the labor force activity of UI recipients during their benefit year. It could be used in future studies to collect the same or similar data, and it could easily be adapted to address other questions of interest to UI policy makers. For example, questions on how respondents adjusted their consumption behavior could be added, possibly in place of the section on use of the ES, to examine benefit adequacy issues.[1/] One could examine how benefit adequacy is related to unemployment duration.

One final issue concerning the supplementary interview is whether it should be administered by telephone or by mail. Our study used both methods and compared the results. These results are presented in detail in Chapter III of the final report and the findings are summarized here to provide future users with the results.

[1/] A complete analysis of this topic would require considerable expansion of the interview, but some aspects of this topic could probably be examined with a small number of questions.

Our analysis found that:

- Non-response was significantly higher on the mail than the telephone interviews, the difference in response rates being 23 percentage points.
- This non-response difference resulted because of both a higher level of non-response on the mail than the telephone interview for the survey and because of missing data. Some constructed data items were missing from the mail interview for as much as 40 percent of the completion sample.
- Although non-response bias was small, overall, it was larger on the mail than the telephone interview because of the overall difference in response rates. Determinants of non-response did not differ between the two interview methods.
- Data quality on the two interview types was generally similar although there was some evidence that it was slightly worse on the mail interviews. There was probably more measurement error in the data for those interviews.

To choose the interview method for future studies of this nature one further piece of evidence is needed, since neither method is overwhelmingly superior. This last piece of information relates to the relative cost of the two methods. Data on actual direct interviewing costs from our study are reported in Table II.3. These data are reported in terms of interview attempts, and they show that each telephone attempt used 32.08 minutes of labor and cost $5.50 and each mail interview attempt used 2.99 minutes of labor and cost $2.83. These data are, of course, dependent on the way interviewing was conducted for this study and they may not be

appropriate for other studies. However, the relative difference between the methods should be reasonably accurate.[1/]

To use these numbers to compare interviewing methods, adjustments are necessary to take account of the fact that these costs are expressed in terms of attempts rather than useable interviews and to take account of overhead costs. The first adjustment can be made using data on response rates,[2/] while the overhead adjustment will be dependent on institutional factors peculiar to each state or research organization. A rough estimate of overhead costs, however, is that full time staff overhead is 100 percent, part time staff 50 percent, and materials and supplies zero percent. Using these numbers and the response rates we can compute that telephone costs are $14.96 per useable interview and comparable mail costs are $13.69. Thus, because the mail response rate is roughly half the telephone response rate, the cost advantage of the mail interviews is quite small. Costs for the mail interview are approximately ten percent less than the telephone interview for comparable, useable sample sizes. While different overhead rates will change the cost estimates, the relative costs will be similar. For example, if there were no overhead costs, the telephone interview would be 3 percent more expensive than the mail interview per useable interview.

[1/] Two problems occur for the mail interview that balance each other out. These are: (1) there was no supervisory time for the mail interviews since so small a number were done that the supervisor could handle all the work directly and (2) printing costs were high for the mail interviews because a special layout was used. For a larger scale survey supervisory costs would increase but printing costs decrease.

[2/] The response rate (counting interviews with key missing data items as non-respondents) was 49 percent for the telephone interview and 26 percent for the mail interview.

TABLE II.3

SUMMARY OF DIRECT INTERVIEWING TIME AND COSTS
PER ATTEMPT BY TYPE OF INTERVIEW

	Telephone		Mail	
	Minutes	Cost	Minutes	Cost
Personnel Costs				
Full Time Staff				
Survey Manager	3.61	$0.73	1.47	$0.30
Other Professional	.28	0.03	1.30	0.16
Secretary	.75	0.07	0.11	0.01
Total	4.64	0.83	2.88	0.47
Part Time Staff				
Interviewing Supervisor	2.00	0.17	--	--
Interviewers	19.36	1.36	--	--
Clerical Support	6.08	0.47	0.11	0.51
Total	27.44	2.00	0.11	0.51
Materials and Supplies				
Telephone	--	2.22	--	--
Postage	--	0.11	--	0.68
Printing and Reproduction	--	0.12	--	1.17
Other	--	0.22	--	--
Total	--	2.67	--	1.85
Total of Direct Interviewing Time and Costs	32.08	$5.50	2.99	$2.83

The above summary suggests that the telephone interview data are better than the mail interview data, but that the difference is not overwhelming. This is because the major difference between the two interview methods is that the response rate is lower on the mail than the telephone interview, and the evidence (see the study final report) suggests that non-response is not a serious problem for the analysis. On the other hand, costs are slightly less for the mail interview than the telephone interview. These conclusions suggest that the choice of method will depend on whether the additional accuracy and higher response of the telephone interview is needed by researchers and policy makers. For example, increased accuracy might be needed if the principle use is forecasting, but it may be less important if one only wished to examine the determinants of labor market activity. If the mail interview is chosen, follow-up interview telephone procedures might be used to fill in missing data, clean up data problems and inconsistencies, and thus improve the response rate. This activity would add labor costs, but because of the improved response rate, costs per useable interview might decrease. Further experience with alternative interview settings and mixed mail/telephone interviewing methods will provide additional evidence concerning the appropriate interviewing method for future studies.

III. FIELDING PROCEDURES

This chapter provides a guide for fielding the supplementary interview, by both telephone and mail.[1/] As in the preceding chapter, although the procedures under discussion are those which were used in fielding the study of unemployment spells of UI recipients, they are also applicable to other studies. The chapter first discusses the telephone method, including hiring and training of interviewers, preparation of survey materials, use of advance letters, interviewing schedules, record keeping, and quality control. Next, mail survey procedures are discussed, including mailing schedules, survey materials, package preparation, and handling and editing of returned questionnaires. For both interviewing methods, the procedures emphasize maximizing response rates and data quality, while keeping costs to a minimum.

A. TELEPHONE SURVEY

1. Hiring and Training of Personnel

The number of personnel needed to perform the tasks for a survey of this kind will depend upon the volume of work needed to be done in any given amount of time. For the survey under discussion 2032 telephone and 1007 mail interviews were completed over a four and a half month period. During the peak month 751 telephone and 203 mail interviews were completed. All of the survey tasks for this project were performed under the direction of a survey manager who reported to the principal investiga-

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[1/] The choice of interviewing method is discussed in Chapter II.

tor. One daytime assistant handled all daytime telephone interviewing and clerical work associated with both the mail and telephone survey, as well as editing and data cleaning of questionnaires. An evening phone supervisor edited telephone questionnaires as well as supervising interviewers, which included monitoring their performance through the use of a call director.[1/] The number of phone interviewers needed at any one shift varied from one to seven, depending upon the volume of work at the time. We found that, on the average, one interview was completed for about every half hour of interviewer time; this figure would vary with the length of the questionnaire and the characteristics of the sample.

a. Recruitment and hiring of interviewers. It is wise to recruit and train several more interviewers than one expects to have working on any given day, since few interviewers will want to work every available interviewing shift each week. Since most of the interviewing for a survey of this sort occurs during evenings and weekends when people are most likely to be at home, the work hours are likely to attract homemakers with young children for whom babysitting is a problem during the daytime, college students, and people with daytime jobs who want to supplement their income on a part-time basis. Three criteria are important in screening prospective telephone interviewers:

- The ability to read questions fluently.

1/ A call director permits the supervisor to listen to interviews as they are being conducted to determine if the interviewers are following the proper procedure.

- Voice quality. Applicants should have not only a pleasing, understandable voice over the phone, but also a voice which is not overly harsh or loud to the extent that it might interfere with other interviews being done in a centralized facility.

- The ability to answer respondents' questions during the interview.

b. Interviewer training. The purpose of interviewer training is to insure that interviews are administered in a comparable manner, so that the data collected will be as complete, accurate, and free of bias as possible.

Interviewers should be trained both on general interviewing techniques and the specific instructions necessary for administering the questionnaire being used. The time spent in training on general techniques, including recording conventions, probing, and avoidance of bias, will depend on the amount of experience of the individual interviewers; for new interviewers, at least a half day is advisable. Another half day can be spent on the administration of the specific questionnaire although very experienced interviewers, which we used for this study, should require less time. Most of the training on administration of the questionnaire consisted of actual practice in doing the interview, both in a round table situation (trainees taking turns asking questions of the trainer) and by doing one-on-one "mock" interviews, with trainees interviewing each other or the trainer. The "respondent" in these cases used a prepared script that included typical respondent questions as well as answers to the questions. The questionnaires completed in these mock interviews were carefully checked by the trainer and trainees informed of any problems encountered.

The interviewer training manual which we used for this survey is attached (see Appendix B). The major topics which are included in the manual and which were covered in the interview training session are:

- Purposes and objectives of the study. Background of the study. Objectives and data needed.
- Basic principles of interviewing. How to contact respondents and establish rapport. Maintaining a relationship with respondents that fosters cooperation and willingness to provide accurate information. Adherence to the survey questionnaire as written. Sources of interviewing bias and how to avoid them. Minimizing "don't know" and "refusal" responses. Ending the interview. MPR utilizes videotapes on the role of the interviewer and the avoidance of bias.
- Questionnaire format and recording techniques.
- Confidentiality.
- Administrative procedures. Interviewing tasks and time schedules. Use of contact sheets. Quality control procedures.
- Question-by-question review. Includes purposes of questions, definitions, and specific recording procedures.

2. Advance Letters

An advance letter, sent to all potential respondents, prepares them for the call by the interviewer and helps to gain their cooperation by assuring respondents of the legitimacy of the study. All potential respondents to the telephone survey were sent letters explaining the study and advising them of the interviewer's impending call (see Exhibit III.1). These were mailed out each month, a few days before telephoning for that month began.

The words "ADDRESS CORRECTION REQUESTED" were printed on the advance letter envelopes. The post office then sent us updated addresses

Mathematica Policy Research, Inc.

EXHIBIT III.1

ADVANCE LETTER

P.O. Box 2393
Princeton
New Jersey 08540
609-799-2600

1/21/81

Dear Sir/Madam:

The United States Department of Labor has asked us to conduct a study to find out more about what happens to people who have filed for unemployment insurance benefits. We will be calling you within the next few weeks to ask for your help in completing this study.

The study is being conducted under Section 906 of the Social Security Act which directs the Secretary of Labor to establish a program of research to evaluate the Federal-State unemployment compensation system.

Your name has been randomly selected from a list of people who filed claims for unemployment benefits in your state about a year ago. Under the Privacy Act of 1974, the information you give us is voluntary, and will not affect any of your past or future rights to benefits in any way. All of the information you give us will be confidential and will not be identified with your name. The information will be used only for research and the study report will be in statistical form only.

The interview will take about 15 or 20 minutes, and will be done by telephone at your convenience. If by chance we should happen to call at an inconvenient time, please tell the interviewer and he or she will be glad to call back later.

The results of this study will be used to help improve the unemployment insurance program in the future. For the study to include a wide range of views and experiences, it is very important that each person selected actually be interviewed.

Thank you very much for your assistance.

Sincerely,

Lois Blanchard

Lois Blanchard
Project Manager

LB/ge

(at 25 each) on all respondents who had moved within the last year and left forwarding addresses with the post office. These were received for 4 percent of letters mailed (3 percent in Pennsylvania, 5 percent in Missouri). The post office forwarded the letters on to the new addresses. As a result of the address corrections, phone numbers were found and interviews obtained from a number of respondents who had moved.

The advance letter could be omitted for surveys in which respondents from a previous survey are being recontacted; however, in most cases, we feel that the increase in response rates justifies the added cost of sending an advance letter to telephone respondents.

3. Preparation of Survey Materials - Contact Sheet Labels and Logs

Before beginning the survey, it will be necessary to prepare the sample lists so that the sample can be released and results tracked in the most efficient manner. This section discusses the preparation of labeled contact sheets and master logs which are used for this purpose.

For the telephone survey as well as the mail survey, the sample was organized so that potential respondents were contacted during the month which fell one year from the beginning of their benefit year. For each state, the names of all sample members whose benefit year began in a particular month were randomized and then assigned a sequential ID number. Randomization by month was necessary since we had a target number of completed interviews for each month. The number of sample members released for interviewing each month was dependent on each month's response rate.

a. Master logs. The master log is a listing of all potential respondents to the survey, with space for recording the date of assignment

to an interviewer, the final status and the interviewer responsible for the final status. Exhibit III.2 shows a page from the master log used for this telephone survey. As assignments were made to interviewers, the date of each assignment was marked in the master log. After each shift, the final statuses were recorded in the log.

b. Labeled contact sheets. Two sets of labels were produced for the telephone survey, both with respondents listed in the same sequential order as on the master log. The first was an address label used for the advance letter mailing. The second, which contained name, address, phone number, date of benefit year, and sequential interview ID number, was used on the interview contact sheet. The contact sheet, one for each respondent, contained a record of attempts to contact each respondent, with space for recording the date, time and outcome of each attempt. Exhibit III.3 shows the contact sheet which we used for the survey.

The number of contact sheets to be released each month was determined in the following manner: at the beginning of the survey a 75 percent response rate was assumed; the number of sample points released was the monthly completion goal divided by .75. After the first two or three weeks, the number was revised using a number somewhat higher than the actual response rate for each state. Weekly adjustments continued to be made until the target was reached. Each time the number to be released was adjusted, a line was drawn in the master log beyond which no further assignments were permitted. This limit helped us achieve a high response rate by forcing the interviewers to make call backs instead of adding new potential respondents.

STATE: MISSOURI
MONTH: JANUARY

SEQ_ID	LATE AS.	NAME	DATE OF FINAL STATUS COMP 01	RF 02	NI 03	NC 04	DEAD 05	OTHER 06		
32601-901-0										
32601-902-9										
32601-903-8										
32601-904-7										
32601-905-6										
32601-906-5										
32601-907-4										
32601-908-3										
32601-909-2										
32601-910-4										
32601-911-3										
32601-912-2										
32601-913-1										
32601-914-0										
32601-915-9										

UNEMPLOYMENT SPELLS CONTACT SHEET

LABEL

UPDATED PHONE NUMBER

Record of Attempts

	Interviewer	Date	Time	Status	Notes
1.			1AM 2PM		
2.			1AM 2PM		
3.			1AM 2PM		
4.			1AM 2PM		
5.			1AM 2PM		
6.			1AM 2PM		
7.			1AM 2PM		
8.			1AM 2PM		
9.			1AM 2PM		

STATUS
1 Complete
2 Refused
3 Could not locate

5 Other - deaf, non-English speaking, institutionalized, etc.
6 Deceased
QC Only:
4 No Contact

NA - No Answer
B - Busy
CB - Callback
NW - Non Working Number

Survey Log _____
QC _____
Coding _____

During the survey, contact sheets in progress were kept sorted by the supervisor so that appointments for callbacks were kept, and respondents were tried at various times of the day and week.

4. Interviewing Schedules

It is important to schedule telephone interviewing during the times of the day when potential respondents are most likely to be at home. For this survey this meant calling during evening and weekend hours. Calls were made weekday evenings from 5 PM to 9 PM, EST, Saturdays between 10 AM and 6 PM, and Sundays between 1 PM and 9 PM, respondents' local time. One interviewer was available during the day for callbacks, and all chronic not-at-homes were tried at various times of the day and various days of the week before being retired after a minimum of nine attempts.

5. Survey Record Keeping

Detailed records must be kept, both of each call made to individual respondents and of the results of the survey as a whole, to provide a record of survey activities, to identify productivity problems with budget implications, and to insure the highest response rate possible. The records kept for this survey included the following:

a. Contact sheets. As mentioned above, a contact sheet was kept for each respondent that recorded the interviewer, date, time, and outcome of each attempted interview. This sheet was used to control the interviewing process for each respondent and as the input to reports on how the survey was progressing (see below). The outcome of each attempt was coded to indicate either that an interview should continue to be attempted

(no answer, call-back, busy) or that a final status had been achieved and the contact sheet should be retired (complete, refusal, could not locate, other). The "could not locate" code was only assigned after at least nine attempts and the "other" code was used for special cases (e.g., potential interviewee in jail or dead).

b. Interviewer daily tally sheets. At the end of each day, interviewers were required to fill out a line on the Interviewer Daily Tally Sheet (Exhibit III.4), recording the number of completes, refusals, not located, and "other" final statuses for that day, as well as the number of hours worked. At the end of each week, the items were totaled for the week. This provided the supervisor with a productivity record, by interviewer, which could be used to identify interviewers who were having problems with low productivity and high refusal rates, so that corrective action could be taken.

c. Daily productivity chart. This chart recorded the number of each final status both on a daily and cumulative basis. It was posted in the interviewing room and updated by the supervisor.

d. Bimonthly progress reports. Twice each month the survey manager sent progress reports to the principal investigator detailing the numbers of each final status for each month, as well as cumulative totals. These numbers were obtained by making counts of each final status in the master log. A bimonthly report was considered sufficient for this survey; however, weekly or monthly reports might be preferable for other surveys.

e. Files. Contact sheets not yet assigned to interviewers were kept in sequential ID# order. Contact sheets which reached a final status

Interviewer Daily Tally Sheet

Interviewer ID# _____ Name _____

Date	# Assigned	1 Complete	2 Rf	3 NL	5,6 Other F.S.	Tried, No F.S.	Not Tried		Hours Worked

other than complete were filed by final status number, and by date within type of final status.

6. Quality Control (QC)

The purpose of the quality control editing process is to identify errors in the questionnaire and to correct them in a timely fashion, so that the data are of the highest quality possible. QC editing can be done manually or by computer. In this section we discuss the manual procedures we used to prepare the questionnaires for data processing and to identify interviewer errors quickly so that interviewers could be given feedback on the quality of their work. This QC editing of the questionnaire involved four general activities:

- Retracing the skip logic of the interview, to verify that the interviewer asked all appropriate questions, that responses were recorded correctly, and that certain items were consistent.
- Identifying problems in the questionnaire and verifying that they were correctly resolved.
- Identifying problems that had not been anticipated so that a policy decision could be made by the research staff.
- Coding the items in the questionnaire relating to industry and occupation.

These procedures could be varied depending upon the research objectives of the study and the degree to which the data processing system is used for quality control. The computer QC that we did is described in the next chapter. The manual procedures we used for this study are as follows:

a. General procedures. QC editors were trained to be familiar with all instructions contained in the interviewer training manual.

Moreover, special attention was paid to the section on recording conventions to insure that the data were consistent. QCers used a red pen when writing in the questionnaires, to distinguish their changes from those made by interviewers.

b. Callback questions. Certain questions were designated by the researchers as "callback questions." If for some reason the interviewer did not record the answer to the questions or the answers were unclear, the respondent was called back for clarification. For this study, the callback questions on the telephone survey were:

Q4	
Q6	
Q7	
Q8	
Q24	
Q25	
Q26	
Q30	Job #1 only
Q31	Job #1 only
Q36	Job #1 only

c. Skip logic. The skip logic of the questionnaire was followed to determine if all questions that were supposed to be asked were either answered or marked as missing and that only those questions were answered. If a question was answered which should not have been, the answer was crossed out. If a question should have been answered but was not, the interviewer was notified. If it was a callback question, the respondent was recontacted; if not, the question was marked "MS" for "missing" unless the interviewer was able to remember that an answer had been given.

"DK" (don't know) and "RF" (refused) were also valid nonresponse codes. The code "NA" (not applicable) was used only if the code was

printed in the questionnaire, or if there had been a specific policy decision allowing the code to be used. Otherwise, if an interviewer used the code "NA," the QCer determined how the question should have been coded.

d. Inconsistencies. QCers checked for inconsistent answers within the questionnaire. The following are examples of consistency checks we made:

- Respondent ID# on the questionnaire should match the respondent ID# on the contact sheet.
- Q3 - date must be before the BYB date.
- Q6 - date must be after the date in Q3.
- If Q19=1, there should be an indication that the respondent got a job through the State Job Service in Q34.
- Dates in Q29 should be consistent with those in Q30.

e. Backcoding. Answers recorded in "OTHER" categories have much less analysis value than specified answers. These responses were checked to determine if any responses recorded in "OTHER" could, in fact, be coded as belonging to one of the pre-recorded categories.

f. Problems requiring policy decisions. From time to time, questions arose during questionnaire editing which had been unanticipated and which could not be resolved by existing documents (manuals or previous policy decisions). These often came up when an interviewer explained a situation in marginal notes, but neither the interviewer nor QCer was sure how the answer should be coded. These problems were referred to the supervisor who in turn contacted the research staff for resolution, if

necessary. When a decision was issued, it was recorded by listing the question number, problem, resolution, resolver, and date resolved. These decisions were placed in a notebook by question number for future reference. Interviewers were informed of any policy decision which was relevant to them.

The following are examples of some of the QC policy decisions which were made during this survey. The interviewer training manual in Appendix B was amended to incorporate the policy decisions made during the survey.

- Q10 "Call old employer" = g.
  "Send resumes" = g.
  "Went through yellow pages" = i.
  "Out of town sources" = g.
  "Checked with VA" = i.
  "Another state employment office" = i.

- Q23 If R says reason for not looking for work was "working part-time," code in "other." If R says reason was he/she expected to get old job back full-time, circle that code.

- Q29 a) Pick up information for job that was on a part-time basis. Get dates of part-time employment.
  b) Pick up job when R went to work full-time.

g. <u>QC problem sheets.</u> QC problem sheets were used to record problems identified during the editing process for communication with interviewers (see Exhibit III.5). At the beginning of the survey, interviewers were informed of all errors, whether or not they were corrected directly by the QC editor. As the survey progressed, QCers made obvious corrections without writing up each error on the problem sheet. The problem sheet contained the question number and a statement of the problem. Problem sheets were then attached to the front of questionnaires

EXHIBIT III.5 Q.C. PROBLEM SHEET

ID# _____ Int'r _____ QC'er _____

Date ____/____/____

Q #	STATEMENT OF PROBLEM	INTERVIEWER COMMENTS CHECK (✓) WHEN CORRECTION IS MADE

and returned to the interviewers for resolution. The interviewer was expected to correct the problem and to initial the sheet indicating that the correction had been made. If any explanation was necessary, it was also written on the problem sheet. If a callback to the respondent was made to resolve the problem, this was also indicated on the problem sheet. Finally, the problem sheets were returned to the QCer who checked that the problem had been resolved.

h. Industry-occupation coding. The following questions required 2-digit codes:

Industry		Occupation	
Q.1		Q.2	
Q.32	job #1	Q.33	job #1
	job #2		job #2
	job #3		job #3

These codes can be found in the Standard Industrial Classification Manual (1972) and the Standard Occupational Classification Manual (1972): (U.S. Department of Commerce, Office of Federal Statistical Policy and Standards).

B. MAIL SURVEY

1. Schedule of Mailings

The first mailing for each month was made on or near the first of the month, and included the entire sample of potential respondents with Benefit Year End dates during that month. One week after the first mailing, reminder/thank you postcards were sent to the entire sample. Three weeks after the first mailing, a second mailing of the questionnaire plus a follow-up letter was sent to each person from whom a questionnaire

had not yet been received. Table III.1 shows the number of questionnaires sent at each mailing (all months combined). Overall, a 44 percent response rate was achieved two weeks after the first mailing, necessitating a second mailing to 56 percent of the sample. The response rate to the second mailing was 25 percent. The overall response rate was 58 percent although, as we report in the study final report, many of the returned interviews had missing data making them unusable for the analysis.

2. Materials for the Mail Survey

Greater care must be taken in producing the questionnaires for a mail survey as compared to a telephone survey, since the attractiveness and clarity of format of the questionnaires can have a large impact on the response rates to the survey. Questionnaires were printed in small booklet form, with pages 6 1/8" x 9 1/8", using reduced print. The cover page contained the cover letter explaining the study. Cover letters for the second mailing were reproduced on company letterhead (see Exhibit III.6). Mailing envelopes were 7" x 10" and were printed with return address. Return envelopes were postage-paid and had printed addresses.

As in the telephone survey, the names of all sample members whose benefit year began in a particular month were randomized and then assigned a sequential ID number. The following computer output was used for the mail survey:

- Mailing labels, three for each potential respondent, including sequential ID number printed above the name and address.
- Questionnaire ID labels, containing BYB date and sequential ID number, for identifying returned questionnaires.

TABLE III.1

MAIL RESPONSE RATES BY MAILING AND STATE

	Missouri	Pennsylvania	Total
Percent of First Mailing Returned	43.6%	44.5%	44.1%
Percent Requiring a Second Mailing	56.4	55.5	55.9
Total	100.0	100.0	100.0
Percent of Second Mailing Returned[a/]	22.1	28.5	25.2
Total Percent Returned	56.1	60.4	58.2
Sample Size	892	840	1,732

[a/] Base for this calculation is number sent on second mailing.

Mathematica Policy Research, Inc.

EXHIBIT III.6

REMINDER LETTER

P.O. Box 2393
Princeton
New Jersey 08540
609-799-2600

February 17, 1981

Dear Sir/Madam:

A few weeks ago we sent you a questionnaire for the study we are doing for the United States Department of Labor to find out the experiences of people who have filed for unemployment insurance benefits. To date, we have not yet received your completed questionnaire.

As we indicated in the earlier letter, it is very important for the accuracy of this study that you fill out the enclosed questionnaire.

In case you have misplaced or somehow did not receive the first questionnaire we sent you, we are enclosing a duplicate copy as well as a postpaid envelope for your convenience. We hope you will take a few minutes to fill out the questionnaire and return it to us so we can complete this important study.

Sincerely,

Lois Blanchard

Lois Blanchard
Project Manager

LB:cm
Encl.

- Master logs by state for recording the date each questionnaire was sent and returned (see Exhibit III.7).

3. Packet Preparation

In preparing the questionnaires for mailing, the following steps were taken:

- The address label was placed on the mailing envelope.
- The small ID label was placed on the back of the questionnaire. Special care was taken to make sure the ID number on the address label matched the ID number on the questionnaire for each package.
- The BYB date was entered by hand in Question 1 of the questionnaire. This was copied from the questionnaire ID label. A label could be used instead.
- The postage-paid return envelope was placed with the questionnaire in the mailing envelope.
- Date sent was recorded in the master log for each ID number.

For second mailings, all of the above steps were repeated, except that a follow-up letter was included in the package as mentioned above.

4. Handling of Returned Questionnaires

As completed questionnaires were received, the date of return was marked in the master log and the questionnaires were edited and coded in preparation for data entry. For any questionnaire received before the second packet mailing, the remaining mailing label was crossed out so that it would not be used for another mailing.

Every two weeks, counts of returns were made from the master log, and reported to the principal investigator.

EXHIBIT III.7

LONG MAIL SURVEY

PENNSYLVANIA JANUARY

ID NAME ADDRESS DATE	FIRST MAIL DATE SENT	DATE REC.	STATUS C	O	P	NEW ADDRESS	REMAIL DATE SENT	DATE REC.	STAT C	O
23901-008-7 NORTH EAST PA 16428 01/13/80	1/26	3/3	01				2/17			
23901-009-6 CATASAUQUA PA 18032 01/06/80		2/5	01							
23901-010-8 BURGETTSTOWN PA 15021 01/06/80		2/3	01							
23901-011-7 PARRYVILLE PA 18244 01/13/80							2/17			
23901-012-6 HOLLIDAYSBURG PA 16648 01/27/80										
23901-013-5 W CHESTER PA 19380 01/06/80		2/3	01							
23901-014-4 DILLSBURG PA 17019 01/06/80		2/3	01							

ID RANGE	STATE	MONTH	PAGE
239010087-239010144	PENNSYLVANIA	JANUARY	2

5. Editing of Mail Questionnaires

Editing of mail questionnaires presented special difficulties, since respondents were not recontacted to resolve problems involving missing or ambiguous data. Editing was done to minimize data entry problems (for example, crossing out answers to questions which were not within the skip pattern) and to code the industry and occupation questions. Answers were sometimes changed when marginal notes by respondents made clear the way a question should be answered; however, when correction of inconsistencies would have involved guesswork on the part of the editor, respondents' answers were left unchanged. Future studies could expand these QC efforts by attempting to recontact respondents by telephone.

IV. ANALYSIS FILE CREATION

The two previous chapters described how we designed our study of unemployment spells of UI recipients, and how we conducted the interviews and prepared the interview data for data entry. The next step in the analysis process was to create a computer file for use in the analysis. This step was composed of two major tasks. First, we entered the interview data onto a computer file and performed a number of additional data quality checks. And second, we merged the interview data with CWBH and ESARS data and created a number of constructed variables for use in the analysis. This latter process was intertwined with the actual data analysis since the analysis often suggested that additional variables be constructed. However, for ease of exposition we will discuss data construction and analysis methods separately.

This discussion of the analysis file creation tasks describes how our particular study of unemployment spells was performed. Future studies might appropriately use different procedures, since the procedures are heavily dependent on institutional factors, the capabilities of the computer facility being used, and, of course, the preferences of the researchers conducting a study. We now turn to a discussion of the two analysis file creation tasks.

A. DATA ENTRY AND COMPUTER QUALITY CONTROL

1. Data Entry and Data Entry Quality Control

The interview data were entered onto a computer file for this study using a key-edit system that can be programmed to perform data quality

checks at the time of data entry.[1/] Programming this system to perform various editing checks is, however, a relatively time consuming prooess so only straightforward checks were used for this project. More complex checks for consistency were done on the main computer system where more flexible programming languages could be used. These consistency checks are discussed in the next section. At data entry three data quality checks were performed.

a. Skip logic checks. The data entry program followed the skip logic of the interviews so that entries were made only in the data fields appropriate for each interview. Questions that were supposed to be skipped were automatically given a special code (in our case these items were coded -2). Questions that were supposed to be answered but that did not have either an answer or a don't know, refused, or missing notation were flagged and referred by the data entry operators to the QC supervisor for resolution.[2/]

b. Range checks. The second data entry quality control check was to subject selected variables to a range check. If the answer entered in the system fell outside the range, it was flagged and referred to QC for resolution unless, of course, it occurred because of a keying mistake. The range checks we used are reported in Table IV.1. Unfortunately, these

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[1/] This system is a Consolidated Computer, Key-Edit Model 2500 data entry system.

[2/] The don't know, refused, and missing answers were coded with -5's. Separate codes could be used if one was interested in distinguishing among these response categories.

TABLE IV.1

DATA ENTRY RANGE CHECKS

Question Number (Telephone Interview)			Permissable Range
3	year		year must be before 1980
4	per week		0-1,200
	per month		0-5,000
	per year		5,000-60,000
6	year		year must be before 1979 or 1980
8			0-52
17			0-10
18			0-10
25[a/]			0-52
26[a/]			0-260
30	Job 1		year must be 1979-1981
36	Job 1	per week	0-1,200
		per month	0-5,000
		per year	5,000-60,000

[a/] These ranges for UI weeks collected and weekly benefit amounts were large because some respondents were receiving TRA benefits as well as regular UI and EB.

checks generally cannot be very precise since acceptable values for many variables can fall in a wide range. If the range for the check is made too narrow, data entry is slowed too much, and if the range is too wide, some mistakes will be missed.

c. Verification. A final data quality check used was that all interview data were entered into the system a second time to detect any keying mistakes. If the data being entered the second time did not match the data in the system, the operator was flagged and he or she resolved the problem.

2. Other Quality Control Activities

As mentioned above, additional data quality checking was done once the interview data were entered in the computer. These checks required relatively complex computer programs which is why they were done at this point in the process. However, waiting until the data are entered in the computer means that one generally cannot call back respondents to resolve problems, since too much time will have elapsed since the interview. Fortunately, relatively few problems were uncovered at this stage since we had used a careful manual quality control process during the interviewing stage. Moreover, many of the problems uncovered by the computer checking were resolvable without reference to the respondent.

The quality control checks done at this point were of two types. First, consistency checks involving the dates of jobs were performed. All cases in which the dates of the pre-UI job and any post-UI jobs overlapped or in which end dates of jobs or not working periods came before beginning dates were flagged and the ID and questionable dates were printed out.

Then, the hard copy interview data were examined to determine if a data entry mistake had been made, if an obvious error had been made, or if the dates were in fact correct (jobs could overlap when the respondent had a second part-time job). One error which occurred in a number of cases arose because many of the layoffs occurred in December or January. A common mistake was for the interviewer (or the respondent in the case of the mail interviews) to have coded the wrong year. For example, in one case which was quite typical, the individual was laid-off in December 1979 and became reemployed in January 1980, but the year of the layoff was coded as 1980. In this case it looked as if the layoff was almost a year after the post-layoff job began. Other overlaps occurred when only the month and year were given for one event and the month, day and year for another. When the day was missing we arbitrarily used the 15th of the month, and this sometimes created an overlap.

The second type of computer editing checks we did involved the constructed variables described in the next section. When we constructed variables, we produced frequency tables and examined the results. When unusual values for the variable appeared (e.g., a negative value for the length of the initial unemployment spell) or if the variable did not make sense when compared with another variable (e.g., weeks unemployed was considerably less than weeks of UI collected), we examined the computer record for the case to determine if we had either specified the variable incorrectly or programmed it incorrectly. If this was not the case, we then examined the hard copy interview to determine if we could resolve the problems in the underlying data.

If a problem appeared to be relatively widespread, we printed out a selected set of variables on all cases with the problem. For example, in one case we printed out the full interview record for cases in which our weeks unemployed variable was greater than the weeks from the layoff to the interview date. A representative case is shown in Exhibit IV.1. In this case the weeks unemployed variable (WU), which is shown at the bottom of the case record, equalled 61.9 when the the total weeks from layoff to interview equalled 52.6 (see circled variable). Furthermore, our estimate of weeks employed (WE) was zero and weeks out of the labor force (WOLF) negative (-9.3). When we examined the interview data we discovered that we had made a programming error in the subroutine that computed weeks between two Julian dates. In this example, the end of job one was in 1979 and the beginning of job two was in 1980 (see circled variables), and we incorrectly computed this difference as 52.1 weeks (see W12) when it was actually 8.9 weeks. This mistake affected the weeks employed, weeks unemployed, and weeks out of the labor force variables. Thus, in this case, the error was in the programming and not in the underlying data.

The types of checks described above occurred throughout the analysis phase of the project as we constructed variables and used them in the analysis. Whenever the data looked peculiar we examined the data further to determine if we could discover a mistake. Then we corrected the mistake.

B. ANALYSIS FILE COMPOSITION AND CONSTRUCTED VARIABLES

1. Analysis File Composition

Two main analysis files were created for this project. The first, and most important one, contained data on all respondents who had completed

EXHIBIT IV.1

CONSTRUCTED VARIABLE DATA CLEANING
AN EXAMPLE

3.	56.	364022.	357.	3.	26.	122385.	9340.	1203.	542.
2.	1.	356.	3.	26.	122385.	542.	2.	1.	17.
81.	4.	6.	79.	1.	325.	50.	12.	1.	79.
1.	10.	20.	1.	2.	1.	1.	1.	2.	1.
2.	2.	1.	-2.	-2.	-2.	-2.	-2.	-2.	-2.
2.	-2.	1.	-2.	-2.	-2.	-2.	-2.	-2.	-2.
1.	0.	-2.	1.	2.	2.	2.	2.	2.	2.
2.	1.	1.	0.	0.	0.	0.	0.	0.	0.
0.	0.	0.	-2.	-2.	-2.	-2.	-2.	-2.	-2.
-2.	-2.	-2.	-2.	1.	16.	85.	1.	-2.	12.
6.	79.	12.	15.	79.	1.	-2.	-2.	-2.	25.
1.	180.	1.	-4.	1.	52.	1.	1.	2.	15.
80.	2.	28.	80.	1.	-2.	-2.	-2.	30.	1.
195.	1.	-4.	1.	2.	1.	1.	5.	1.	80.
12.	3.	80.	1.	-2.	-2.	-2.	42.	1.	270.
3.	-2.	-2.	0.	-2.	605.	2.	-2.	-2.	-2.
-2.	-2.	-2.							
80338	79096	79335	79340	79349	80046	80059	80122	80338	
23.0	325.0	180.0	195.0	270.0	7.9	52.6	1.3	1.9	30.9

IUS	0.7RES	1.0		
W12	52.1W23	9.0W3I	0.0	
WE	0.0PWE	-2.0		
TU12	52.1TU23	9.0TU3I	0.0	
WU	61.9WOLF	-9.3		
PWU	1.2PWOLF	-0.2		
WUI	70.1EX	0.0		
D	0.0GWRR	0.3		

a telephone or mail interview. These interview data were matched with the CWBH combined record types 2 and 3 data and with a number of variables on ES activity that were constructed directly from ESARS data. This data tape was used directly for the analysis although future users of such a tape might find it preferable to extract only those variables and cases which will be used. In our case we felt that an extract file was not needed on cost grounds, and that it was worthwhile to have all the data easily accessible for potential research uses.

The second tape we created was used for the analysis of non-response. This analysis file had data on all respondents whom we attempted to interview whether or not they completed an interview. The data available consisted of a code indicating response status, and the CWBH data which were available for these individuals.

2. Constructed Variables

For the completion file we created a relatively large number of variables that converted the raw interview, CWBH, and ESARS data into variables directly suitable for our analyses. The process of doing this was to decide which variables we wanted, write specifications for those variables, do the computer programming, test the programs as described above, and then add the variables to our analysis file. It was desirable to have these variables on the file since we used many of them frequently, and we did not then have to recreate them every time we wanted to use them.

a. General Issues. Before describing the variables we created for this study, three general points should be mentioned. First, in specifying how to construct the variables it is important to determine how any missing

values should be handled. In general, two choices are available. One can decide to code the constructed variables as missing if any variable needed for their construction is missing. We did this for all the variables we constructed for this study. Alternatively some variables can be deemed unimportant enough for the construction that they can be ignored if they are missing. For example, if one were constructing household income by adding up income from a large number of sources that were asked about separately, we would probably assume that the household had no welfare income even if the question on this income source had been skipped incorrectly by the interviewer. This would, however, not be done for a major income source such as earnings.

A second related point is that many questions are skipped in an interview because they are not applicable to the respondent.[1/] Again, care must be taken to remember to specify how these skips should be handled.

And third, we converted all dates of events (i.e., start and end dates of jobs and the interview date) from a month, day, year designation to the Julian calendar.[2/] This conversion is quite useful for data construction since the time between dates can be easily computed.

b. Unemployment spells constructed variables. For the study of unemployment spells we constructed 74 variables for use in the analysis and added these variables to our analysis tape. This process occurred throughout the project's analysis phase and a brief description of each set

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[1/] Such variables were given a -2 code in our study.

[2/] Dates are denoted in Julian terms with a five digit number. The first two digits represent the year and the last three the day, where the days of the year are numbered consecutively.

of variables is provided here as a guide to future researchers. More detailed discussions of the most important variables are also included.

The first set of variables we constructed were variables that we expected to use as building blocks for the construction of other variables. These variables were the Julian calendar dates, earnings on each job in weekly terms (the questions in the interview permitted the respondent to provide monthly and annual earnings data) and several timing variables. These latter variables were months from start date of pre-UI job to last day worked, weeks from layoff (Q6) to interview date, weeks on each post-layoff job and weeks from end date of pre-UI job to job 1 (or to interview date if no job 1 existed).

The next set of variables took the length of time from layoff to first job and from layoff to the interview and divided these time periods into periods of employment, unemployment, and out-of-labor force. These variables provided the principle outcome variables for the study. The most important of these variables was the length of the initial unemployment spell which was described in detail in Chapter II of this report. A related variable we also constructed was the reason for the end of the initial unemployment spell. Three categories were used: employed, out-of-labor force, and still looking. This variable was useful for splitting the analysis sample into those with completed spells and those without a completed spell. The other variables in this set divided the entire period from layoff to interview by labor market status. Weeks employed was easily calculated by summing the weeks worked on each job, while checking for overlapping jobs. The remaining not working periods between jobs were then divided into unemployed and out-of-labor force periods using the questions

on job search and recall. We counted all weeks spent looking for work or awaiting recall as unemployed weeks and the remaining weeks as out-of-labor force.

The next set of variables concerned UI receipt. These variables included total weeks collected (the sum of weeks reported in Q25 and Q40 (1)-(3), dummy variables for UI exhaustion and disqualification constructed from Q27, the gross wage replacement ratio (the weekly UI benefit/weekly wages on the pre-UI job) and the net wage replacement ratio (the gross wage replacement ratio redefined using wages net of taxes). For this latter variable we used an average tax rate that increased with the level of household income for federal income taxes , that took account of social security taxes, and that took account of state income taxes.[1/] The average federal income tax rate by income was taken from Internal Revenue Service, 1977 Statistics of Income, Individual Income Tax Returns, Publication 79 (5-80). Further exhaustion dummy variables were constructed later in the project when it was decided that the interview question on exhaustion (Q27) was not reliable. These additional exhaustion variables were constructed by comparing potential duration for regular UI and for regular UI and EB to total weeks of UI benefits collected. For Missouri, another set was computed using CWBH data on final tier 1 and tier 2 payments. These CWBH data were unavailable for Pennsylvania.

[1/] A flat state income tax rate was used for all income levels (2.2 percent for Pennsylvania and 4.0 percent for Missouri) although Missouri does have a graduated tax rate system. The 4.0 percent rate represents an average rate. Pennsylvania has a flat rate income tax system. A description of state tax systems can be found in State Tax Handbook, annual issues, Commerce Clearing House, Inc., Chicago, Illinois.

The next set of constructed variables were ones that recoded CWBH and interview data so that they could be used directly as independent variables in our regression models. In most cases this meant that dummy variables (variables that take the value 1 if one situation occurs--for example, expecting recall--and 0 otherwise) were created. The variables created at this point included demographic variables (sex, race, age), background economic variables (a spouse work indicator, recall expectation) and variables describing use of the Employment Service (dummy variables indicating that the respondent went to the ES, that he or she went with the aim of finding a job, and that he or she was referred to a job). These latter variables used the interview data on the ES. ESARS records were obtained at a later date and used to construct an alternative set of descriptive ES variables.

In addition to these independent variables we also constructed a dummy variable that delineated the cases for which we had complete data for all the dependent and independent variables used in our basic regression runs. This variable was then used to select cases with complete data for our analysis. This made selection of the same sample for all tabulations and regression work an easy task.

As our analysis progressed, several other sets of variables were added to the computer file. First, the data on the pre-layoff and post-layoff job weekly earnings were converted to 1979 dollars using the CPI. Second, the number of weeks of post-regular UI and post-EB unemployment for exhaustees were defined using total weeks unemployed in the benefit year minus UI potential duration for regular UI and regular UI plus EB as a measure of these variables. And finally, we used ESARS data to define

variables such as the number of job referrals and number of placements and the timing of these activities. The transaction codes on the ESARS records defined these activities.

V. DATA ANALYSIS

The previous chapters of this report described how we designed our study of unemployment spells, how we collected data for the study, and how we prepared an analysis file. We now turn to the final step in the study process and describe how we performed the analysis. Since the study report describes in detail the analysis results,[1] this chapter has been kept brief. We have focused on the analysis process and the decisions that we made as opposed to a discussion of the results. Thus, a full understanding of our analysis can be gained only from a reading of the study report in conjunction with this chapter. Furthermore, we have not tried to provide a detailed description of the statistical and econometric techniques we used, but rather we have tried to explain why we adopted the methods we chose. Descriptions of these analytic techniques can be found in any basic statistics and econometrics textbook, and it is expected that the reader will refer to them if necessary.[2]

This discussion of our analysis is divided into two sections: (1) a discussion of the analysis of unemployment spell length and its determinants and (2) a discussion of the non-response analysis.

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[1] See Walter Corson and Walter Nicholson, "An Analysis of UI Recipients' Unemployment Spells," Mathematica Policy Research, Princeton, NJ, February 1982.

[2] For example, see Ralph Beals, Statistics for Economists, An Introduction, Rand McNally College Publishing Company, Chicago, 1972; Eric Hanushek and John Jackson, Statistical Methods for Social Scientists, Academic Press, New York, 1977; J. Johnston, Econometric Methods, 2nd Edition, McGraw-Hill Book Company, New York, 1972; and G.S. Maddala, Econometrics, McGraw-Hill Book Company, New York, 1977.

A. ANALYSIS OF UNEMPLOYMENT SPELL LENGTH

In the second chapter of this manual we indicated that the basic model we expected to use for the analysis was one in which dependent variables describing a set of labor market outcomes (e.g., the initial unemployment spell length) would be explained by a set of independent variables describing the individuals' demographic, economic, and UI and ES program characteristics. This model was then used for much of our analysis. We also reported a number of purely descriptive results (e.g., initial unemployment spell durations) that we thought would be of interest and potential use to policymakers. This analysis was divided into four sections: (1) a description of the basic outcome variables on unemployment durations and subsequent wages, (2) an analysis of the determinants of unemployment duration and other labor market outcomes, (3) an examination of the extent and determinants of use of the ES, and (4) an analysis of the effect of the ES on labor market outcomes. Since these analyses are described quite extensively in the report, we have chosen here to discuss three analytic issues that we had to consider to perform the analysis presented in our final report.

1. Choice of Analytic Technique

Our primary analytic aim was to examine the unemployment and subsequent employment experiences of UI recipients and to determine how these experiences differed by population subgroup and how the UI and ES programs affected labor market outcomes. One approach to this analysis would be to perform a series of difference of means tests for each potential determinant of labor market outcomes. For example, one could

divide the sample into males and females and calculate the mean unemployment duration for each of these groups. One could then use a t-test to examine whether the difference in mean duration was statistically significant. This would be done by computing the value:

$$t = \frac{\mu_1 - \mu_2}{\sqrt{\frac{\sigma_1^2}{n_1} + \frac{\sigma_2^2}{n_2}}}$$

where

μ_i = mean duration for group i

σ_i^2 = variance of duration for group i

n_i = sample size for group i

Then the value of "t" would be compared to the appropriate critical value of the t-distribution.[1/] For example, if we were testing the hypothesis that males had shorter unemployment durations than females, we would use the value 1.65 to test this hypothesis at the 95 percent level of confidence. If t was greater than 1.65 and male durations were in fact shorter than female unemployment durations, we would reject the hypothesis that there was no difference in unemployment duration between males and females. If we had no expectation about the sign of the difference of means, we would use a critical value of 1.96 for a 95 percent level of confidence. This would be a two-tailed as opposed to a one-tailed test.

[1/] Tables of these values are found in the back of most basic statistics texts.

This analytic approach could, however, be misleading if other important determinants of duration were correlated with, in this case, sex. For example, if individuals expecting recall had shorter durations than those not expecting recall and males were more likely than females to expect recall, comparison of mean durations for males and females would overstate the effect of being male on unemployment duration. Similarly, the separate effect of recall expectation would be overstated if the duration of those expecting recall was compared to those not expecting recall. For this reason we chose to use the multiple regression technique for most of our analysis since this technique permits one to estimate the separate effect of each independent variable while holding the effects of the other variables constant. The statistical significance of each independent variable is examined with a t-test as in the two-by-two comparisons.[1/]

In using this analytic technique there are, of course, a number of potential statistical problems that the researcher must be careful to avoid. These potential problems are discussed in any standard econometrics textbook,[2/] and it is beyond the scope of this manual to enumerate and discuss them. However, two particular extensions of the simplest multiple regression model (i.e., a single, linear equation estimated by ordinary least squares) were employed for this study and deserve mention. First, several of the outcome variables used for this study were binary variables

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[1/] Computer software statistical packages such as SPSS and SAS provide the capability to do regression analysis.

[2/] See the references listed in the introduction to this chapter.

that took the value 1 if one event occurred and 0 if it didn't. Variables such as UI exhaustion and use of the Employment Service fell in this category. For such dependent variables the assumptions concerning the error term of the equation used to justify the use of ordinary least squares to estimate the model are inappropriate. Moreover, a linear functional form is also incorrect since a model with a binary variable should be bounded by the zero to one range.[1/] A linear model can produce predictions outside this range, (e.g., one might estimate that for some groups the likelihood of using the ES exceeds 100 percent). Thus, other estimation techniques such as probit and logit have been developed to handle these problems, and we used the probit technique in our analysis.[2/] The widespread use of these techniques in economics is of recent origin, and hence most general statistical packages do not have the capability to estimate probit or logit models. In this case, ordinary least-squares estimation can be used, and the results will generally be similar if the mean of the dependent variable falls within the .3 to .7 range. If it is less than .3 or greater than .7, the results may be misleading.

The second statistical issue arose in conjunction with our attempts to model the effect of the Employment Service (ES) on unemployment duration and subsequent wages. In this case, the problem we faced was that the decision to use the ES appeared to be determined in part by unemployment

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[1/] For a discussion of these problems see Eric Hanushek and John Jackson, Statistical Methods for Social Scientists, Academic Press, New York, 1977, Chapter 7.

[2/] In each case the functional form is bounded by 0 and 1 and the coefficients are estimated iteratively through a maximum likelihood procedure.

duration. That is, when a spell of unemployment lengthened, individuals chose to go to the ES for help, but they would not have done so if they had become reemployed quickly. Thus, when we simply entered a binary variable indicating use of the ES in the unemployment duration equation, we found that the ES coefficient was positive rather than negative as hypothesized. This problem is known as the simultaneity problem in the econometrics literature since, in this case, the length of the unemployment spell and use of the ES are determined simultaneously. To address this problem a variety of econometric techniques were tried as we describe in the final report. Unfortunately, none of them proved capable of disentangling the ES effect. This appeared to be the case because the variables which were important explanatory variables in the ES equation were also important in the unemployment duration equation, and we could not "identify" either equation. Discussions of the identification problem and simultaneous equation estimation techniques can be found in all basic econometrics textbooks.

2. Choice of Explanatory Variables

The second analytic issue we faced was to determine which variables we should include in our unemployment duration model. We also had to decide what form to use for variables such as age that could be treated as a continuous variable or a series of dummy variables for different, in this case, age categories. In our initial design we listed a number of possible explanatory variables and during the analysis our task was to define these variables precisely and decide which ones should be used.

This task was quite straightforward since our prior work and that of other researchers provided guidance. Furthermore, we restricted

ourselves to using variables available from the CWBH data set to test if these data could be used successfully to predict unemployment duration among the insured unemployed. Three types of variables deserve mention. First, some of the variables we used described the demographic characteristics of the population such as the sex and race dummy variables, age, and education. Furthermore, these variables are typically used in most labor market studies, and they are generally found to be statistically significant. The only choice here was whether, for example, to use age and education as continuous variables or a series of dummy variables.[1/] These decisions were made by modeling these variables both ways and comparing the results to see which method made the most sense. The continuous version was chosen if the dummy variable approach indicated that the pattern of effects was roughly linear (e.g., if duration increased with increasing age). If instead there were non-linearities (e.g., duration was high for the younger and older age categories), the dummy variable approach was used to reflect these non-linearities. Alternatively, we could use, for example, age and age squared to reflect the pattern.

Second, some variables were included to control for systematic differences in the outcomes that were probably related to labor market strength. In our study these variables were a state dummy variable and dummies for whether the layoff occurred before or after January, 1980.[2/]

[1/] One should remember that one category must be omitted from the regression since otherwise the set of regressors will not be linearly independent. The coefficients for the included categories are interpreted as indicating the difference between these categories and the omitted category.

[2/] January 1980 layoffs were the omitted category.

Since these variables will be inappropriate for future studies, other variables will have to be constructed and used. Dummy variables for regions within a state might be important as well as variables describing the timing of layoffs. The researcher needs to try several possible variables and choose the ones that are significant and make sense.

And third, variables describing the UI and ES treatments received by the UI recipient were used to examine the effect of these programs. We used the wage replacement ratio (UI weekly benefit divided by pre-UI wage) and potential duration to describe the effect of the UI system on individuals' job search behavior as has been done in other studies.[1/] [2/] And, for the Employment Service we used several dummy variables that indicated that the individuals went to the ES, that they received a job referral, that they received counseling and testing, and that they received a job placement. We also tried to distinguish between individuals who went to the ES to seek a job and those who went to fulfill a work requirement by asking a question about motivation on the interview. This variable was tried as a dummy variable in the analysis but it did not have a significant coefficient.

Once we chose variables that we expected were important indicators of unemployment duration we entered them in regression models and tested if

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[1/] Potential duration could, of course, not be used in studies restricted to uniform duration states. It would be indistinguishable from the constant term in the regression.

[2/] For a summary of studies of UI labor market effects see D. Hamermesh, Jobless Pay and the Economy, John Hopkins University Press, Baltimore, 1977 and W. Nicholson and R. Moffitt, "The Effect of Unemployment Insurance on Unemployment: The Case of Federal Supplemental Benefits," Review of Economics and Statistics , February, 1982, pp. 1-11.

they were significant. This was done to arrive at a basic set of independent variables to be used in all subsequent modeling efforts. In choosing this basic set of independent variables, variables such as the wage-replacement ratio were included whether they proved significant or not, because testing the importance of these variables was an important goal of the study. Other, more peripheral variables such as the ones concerning the timing of layoffs were only included if significant, since their sole purpose was explanatory. That is, there was no independent interest in testing these variables. Thus, no definite rule was established for determining which variables to include in the model, and future researchers will need to exercise judgement in the choice of independent variables.

3. Choice of an Analysis Sample

The final analytic issue we addressed in the study was to decide what sample should be used for our principle analysis and whether we should divide the sample into subgroups for analysis purposes. Several restrictions on the sample were possible. First, we restricted our analysis to sample points for which we had complete data for all major data items instead of imputing values to missing observations. We felt that this was not necessary since the sample was large enough for analysis purposes and since our non-response analysis suggested that the missing sample points were not biasing our results. This choice is clearly the easiest one to implement and should be followed for most analyses.

Second, we had to decide whether to exclude from the analysis individuals who had not completed their initial unemployment spell by the

interview date. We also had to make the same decision for individuals who had dropped out of the labor force and had not become reemployed. We decided in both cases to use these restrictions for our principle analysis, although using an outcome variable to truncate a sample may bias the results. To check this possibility we performed the analysis with the larger sample as well, and the results were similar. Regarding the first restriction relatively few individuals in the sample had not completed their unemployment spell by the interview date, and thus, this restriction on the analysis sample was a minor one. Our rationale for the second restriction was that the behavior of individuals who dropped out of the labor force was different from that of individuals who continued to search for a job, and they should be treated separately. An alternative procedure, which we did not use, would have been to use a more complicated model that explicitly examined the labor force participation choice.[1/] We felt that such models were not needed to address the principal questions in which we were interested.

Third, we also considered dividing the final analysis sample into several separate subsamples (e.g., by recall expectation and by sex). This procedure would be used if one thought that the behavior of, say, men differed so substantially from that of women that the coefficients of the other explanatory variables would differ for the two groups. Straightforward statistical procedures are available for testing whether a sample

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[1/] For example, see James J. Heckman and Thomas E. McCurdy, "New Methods for Estimating Labor Supply Functions: A Survey," in Ronald G. Ehrenberg, editor, Research in Labor Economics, A Research Annual, Vol. 4, JAI Press, Inc., Greenwich, Connecticut, 1981.

should be divided or whether it should be pooled and differences between, say, men and women modeled solely with a dummy variable.[1/] In our case we did divide the sample several ways, but most results are presented with the combined sample.

B. NON-RESPONSE ANALYSIS

The analysis of non-response presented in our final report was quite extensive since one principal purpose of the study was to examine the effect of non-response and data quality on the analytic results and to compare the findings for the telephone and mail interview methods. This examination included (1) an investigation of the amount of non-response attributable to both interview and item non-response, (2) an investigation of the determinants of non-response, (3) a section on the effects of non-response on the interpretation of the analytic results, (4) an investigation of data quality, and (5) an investigation of interview methods that compared the costs and benefits of each method. For subsequent studies only one interview would probably be used, and thus, the analysis of the effect of interview method would be unnecessary. Furthermore, the data quality examination might also be dropped since this analysis was principally composed of a comparison of interview and CWBH data. Overlapping data might not be collected in future studies. However, the remaining analyses should probably be done on future studies since they

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[1/] For a discussion of these tests see J. Johnston, Econometric Methods, 2nd Edition, McGraw-Hill Book Company, New York, 1972, pp. 192-207.

each contribute to an understanding of the generalizability and validity of the results.

The first step in this analysis is to tabulate the results of the survey to determine how large the non-response problem is. This tabulation should consider both non-response to the entire interview (i.e., the proportion of respondents who refuse to be interviewed or cannot be located) and non-response that arises because key data items are missing. Individual data items may be missing because respondents refuse to answer certain questions (e.g., income), or because the question is accidentally missed. For our study we decided that all dependent and independent variables used in our principle regressions were "key" variables, and we decided that any case in which one or more of these variables was unavailable should be considered as a case of non-response. This was a rather stringent definition since 19 percent of all cases in the telephone sample were categorized as non-respondents because of this criterion. A further 32 percent were non-respondents to the entire interview. This non-response rate was sufficiently large that non-response could have been a significant problem for the study, and thus its effect was examined further. If, instead, the non-response rate had been small (e.g., under 10 percent), one could have concluded that non-response was quite likely to be unimportant and further analysis could have been ignored.

Further non-response analysis was done by first comparing the characteristics of responders and non-responders to determine if there were any significant differences. This was done since the more significant differences there are between responders and non-responders the more likely are study results to be unrepresentative of the population at large. For

this study this analysis could be done for a relatively large number of background demographic and economic variables since CWBH data were available for all potential respondents. For most studies, little data on non-responders are available, and hence, relatively little analysis can be performed. Responders and non-responders were compared in our study by estimating the size of the coefficients in a model that had a binary dependent variable that equalled 1 for responders and 0 otherwise and a number of demographic and economic variables as independent variables. As in our unemployment spells analysis we used a model that took account of multiple factors affecting the dependent variable (i.e., response) rather than doing a series of comparisons that examined each independent variable singly. This was done so that we could estimate the effect of each independent variable while holding the effect of other variables constant. This model was estimated using the probit technique rather than the linear least squares regression since the probit technique takes explicit account of the binary nature of the dependent variable. Furthermore, the functional form that is used for probit produces estimates for the dependent variable that lie within the 0-1 range as is appropriate for a variable that is interpreted as a probability. For example, we could use our model to estimate the probability that a particular population subgroup responded to the interview. If a linear model had been used, such an estimate could lie outside the 0-1 range.

Although the analysis of the determinants of non-response discussed above provides an indication of how serious a problem non-response may be, it cannot by itself completely tell us how important non-response is since we do not observe the outcome variables of interest for the nonresponders.

To examine this problem in more detail we compared our findings concerning the determinants of non-response with those concerning the determinants of unemployment spell lengths to see if variables important for the one analysis were also important for the other. That is, we examined our results to determine if groups that were under- or over-represented in the sample had significantly longer or shorter unemployment spell lengths than the population in general. Since this situation occurred for some groups, we determined that estimates of unemployment spell lengths made with our analysis sample might be biased. We then used our coefficient estimates to determine how large this bias might be and concluded that it was small for most analysis purposes.

This analysis is presented in our final report in Table III.5. The calculations reported in that table were done separately for each variable that was significant in both the non-response and unemployment spell duration analysis using the following method to calculate how the estimate of unemployment spell length would change if non-response had been eliminated. For example, for recall expectation we calculated mean duration for the group expecting recall and the group not expecting recall by using the duration equation coefficient for recall, the overall mean duration for the sample, and the proportions of the two groups found in the sample. This was done by recognizing that mean duration for the sample was a weighted average of the mean for those expecting recall and those not expecting recall, and the mean duration for each of these groups differed by the coefficient of expect recall. Setting up an equation for this weighted average permitted us to solve for the mean duration of each of the two groups. Then we adjusted the proportions of the two groups to take

account of non-response using our response rate equation coefficient estimates. Finally, we reweighted the duration estimates for the two groups to arrive at an overall population estimate and compared this estimate to the sample estimate of duration to assess the importance of non-response.

One further non-response issue remained after this analysis. That is, whether non-response might bias any of the coefficient estimates in our model of unemployment duration. As indicated in the main report this could occur if responders differed from non-responders in a systematic but unobserved way that was correlated with the outcomes of interest or if response was a function of the outcomes of interest. We examined this issue in our report (see Chapter III for a full description) using a method developed by Heckman that corrects for possible sample selection bias. Implementation of this method requires special computer software that will probably be unavailable for most state users, and thus, this type of analysis is beyond the scope of this manual.[1/] Moreover, our ability to do this analysis for our project depended to a large degree on the fact that we had done both mail and telephone interviews. The type of interview assigned to the potential respondents was an important determinant of the likelihood of response, and it helped us distinguish between the response[2/]

[1/] A full description can be found in James Heckman, "The Common Structure of Statistical Models of Truncation, Sample Selection and Limited Dependent Variables and a Simple Estimator for Such Models," Annals of Economic and Social Measurement, vol. 5, no. 4, fall 1976, pp. 475-492 and in Burt Barnow, Glen Cain, and Arthur Goldberger, "Issues in the Analysis of Selectivity Bias," In Evaluation Studies Review Annual, edited by E.W. Stromsdorfer and G. Farkas, vol. 5, Beverly Hills, CA., Sage Publications, 1980. This latter publication contains a very clear introduction by the editors to analytic problems of this nature.

[2/] This is called the identification problem in the econometrics literature.

and unemployment duration models. If the response model cannot be estimated successfully, this technique for examining non-response bias cannot be effectively implemented. Thus, it may not be appropriate for future researchers to address this particular non-response issue directly. However, one should always be concerned that biases of this nature are possible even if they cannot be investigated. The best way to avoid the problem in this case is to minimize the potential problem by achieving as high a response rate to the interview as possible.

APPENDIX A

INTERVIEWS

Dear Sir/Madam:

The United States Department of Labor has asked us to conduct a study to find out more about what happens to people who have filed for unemployment insurance benefits. The study is being conducted under Section 906 of the Social Security Act which directs the Secretary of Labor to establish a continuing and comprehensive program of research to evaluate the Federal-State unemployment compensation system.

Your name has been randomly selected from a list of people who filed claims for unemployment benefits in your state about a year ago. It is very important for the accuracy of this study that you fill out the enclosed questionnaire.

Under the Privacy Act of 1974, the information you give us is voluntary, and will not affect any of your past or future rights to benefits in any way. All of the information you give us will be confidential and will not be identified with your name. The information will be used only for research and the study report will be in statistical form only.

The identification number on the questionnaire is used in order to check your name off the mailing list when your questionnaire is returned.

The results of this study will be used to help improve the unemployment insurance program in the future. When you have completed the questionnaire, please use this self-addressed envelope to return it. No postage is necessary.

Thank you very much for your assistance.

Sincerely,

Legal Citation: Section 906
Social Security Act
(42 U.S.C. 1106)

OMB #44-S-80012
MPRI #355

UNEMPLOYMENT INSURANCE STUDY

1. According to unemployment insurance records, you established a claim for benefits on _____ .

   THE FOLLOWING QUESTIONS ARE ABOUT THE JOB YOU HAD JUST BEFORE THE ABOVE DATE.

2. When did you start working at that job? (job before claim)

   _____/_____/_____
   MONTH DAY YEAR

3. What type of company did you work for?--what did they make or do?

   _____

   _____

4. What was your job title? _____

   What were your main duties and activities: _____

   _____

   _____

5. How many hours did you usually work per week? (Include overtime and paid lunchtime as hours worked.)

   _____HOURS/WEEK

6. How much were your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions, and overtime.

   $_____PER WEEK

7. What was the last day you worked on this job before you applied for unemployment insurance benefits a year ago?

   _____/_____/_____
   MONTH DAY YEAR

8. How many weeks did you collect unemployment benefits after the end of this job? If you have collected benefits more than once during this year, count only the first time you collected benefits after the end of this job.

_____ WEEKS

IF YOU DID NOT COLLECT ANY BENEFITS, ENTER "0" ON LINE AND GO TO QUESTION 11.

9. How much did you collect per week in unemployment benefits?

$_____ PER WEEK

10. Why did you stop collecting benefits?

Circle one number

1 Re-employed
2 Benefits exhausted
3 Stopped voluntarily
4 Disqualified
5 Other reason (please describe) _____
6 Did not stop--still collecting

11. Did you look for work after this job ended a year ago?

1 Yes → GO TO QUESTION 13, ON THE NEXT PAGE

2 No

12. Why not?

Circle as many as apply

1 New job to start
2 Expected to get old job back
3 No job available in my line of work
4 Not enough skills, schooling, or experience
5 Family responsibilities
6 Went to school
7 Ill health
8 Discrimination due to age, sex, or race
9 Retired
10 Other reason _____

12a. IF YOU DID NOT LOOK FOR WORK AFTER THIS JOB ENDED, PLEASE GO TO QUESTION 28 ON PAGE 5.

13. **The questions on the next three pages are about your job search activities after the end of the job described on page 1.**

How many weeks were you actively looking and available for work after your job ended?

_____ **WEEKS**

14. **On the average, how many hours each week would you say you spent looking for work during this time?**

_____ **HOURS PER WEEK SPENT LOOKING FOR WORK**

15. **Which of the following did you use to help you find a job?**

Circle as many as apply

1 **State Employment Service or State Job Service**

2 **Private employment agency**

3 **Friends or relatives**

4 **Looked in newspapers**

5 **Placed ads**

6 **Answered ads**

7 **Applied directly with possible employers**

8 **Union hall**

9 **Other (please describe)** _____

16. **Did you go to the State Employment Service or Job Service?**

1 **Yes** → **GO TO QUESTION 18 ON THE NEXT PAGE**

2 **No**

17. **Why didn't you go?**

Circle as many as apply

1 **Didn't think it would help me get a job**

2 **Had a job, or awaiting recall to job**

3 **Too far away**

4 **It doesn't help union members**

5 **Didn't think of it**

6 **Wages of jobs offered were too low**

7 **Other (Please describe)** _____

17a. **IF YOU DID NOT GO TO THE STATE EMPLOYMENT SERVICE OR JOB SERVICE, PLEASE GO TO QUESTION 27, ON PAGE 5.**

18. What is the main reason you went to the State Employment Service or Job Service?

1 I wanted help in finding a job

2 I was required to go in order to receive unemployment benefits

19. When did you go to the State Employment Service or State Job Service?

1 When I first started looking for work → GO TO QUESTION 21

2 Only after trying other ways of finding a job

20. Why didn't you go when you first started looking?

Circle as many as apply

1 Didn't think it would help

2 Awaiting recall to job

3 Too far away

4 Didn't think it would help union members

5 Didn't think of going

6 Wages of jobs offered were too low

7 Other (please describe) _____

21. When you went to the State Employment Service or Job Service, were you referred to any employers?

1 Yes

2 No → GO TO QUESTION 26 ON PAGE 5

22. How many employers were you referred to? _____

23. Did you get any job offers as a result of referrals from the State Employment Service or Job Service?

1 Yes

2 No → GO TO QUESTION 26 ON PAGE 5

24. How many? _____

25. Did you accept any of these offers?

1 Yes

2 No

26. When you went to the State Employment Service or Job Service, which of the following did they do?

Circle as many as apply

1 Helped me fill out job applications and contact employers

2 Gave me information about jobs in other areas or towns

3 Referred me to other agencies which might help me find a job

4 Taught me how to apply for jobs

5 Gave me information to help me decide on a career or occupation

6 Tested me to see what jobs I am qualified or suited for

7 Gave me information about job training programs

8 Got me into a job training program

9 None of the above

27. Please circle the number next to any of the reasons which might explain why you stopped looking for work during the time after the end of the job described on page 1:

Circle as many as apply

1 Re-employed or new job to start

2 Expected to get old job back

3 Couldn't find a job

4 Not enough skills, schooling, or experience

5 Family responsibilities

6 Went to school

7 Ill health

8 Discrimination due to sex, age, or race

9 Retired

10 Other reason (please describe) _____

_____

11 Have not stopped--still looking

28. Have you had any job since the date you entered in Question 7?

1 Yes

2 No → GO TO QUESTION 36 ON PAGE 7

The following questions are about the first job you had after the job which ended on the date in Question 7.

29. When did this job start?

_____/_____/_____
MONTH DAY YEAR

30. What type of company is this? What do they make or do?

_____

_____

31. What was/is your job title? _____

What were your main duties and activities? _____

_____

32. Is this the same employer as the one you had on the job just before you filed for unemployment benefits a year ago?

1 Yes

2 No

33. How many hours did/do you usually work per week? (Include overtime and paid lunchtime as hours worked.)

_____ HOURS/WEEK

34. How much were your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions, and overtime.

$_____ PER WEEK

35a. Are you still working on this job?

1 Yes → GO TO QUESTION 36 ON THE NEXT PAGE

2 No

35b. When did this job end?

_____/_____/_____
MONTH DAY YEAR

The following questions refer to the times when you were working or not working during the past year.

36. During the past year, how many weeks did you do any work for pay?

_____WEEKS

37. How many weeks were you out of work and actively looking and available for work during the past year?

_____WEEKS

38. Starting with the date you entered in Question 7, how many times have you been out of work during the past year?

_____TIMES

39. When you were out of work this past year, what was the average period of time you were out of work--how many weeks? (IF YOU WERE OUT OF WORK ONLY ONCE, ENTER THE NUMBER OF WEEKS HERE AND THEN GO TO QUESTION 42.)

_____WEEKS

40. During the past year, what was the shortest period of time that you were out of work?

_____WEEKS

41. What was the longest period of time that you were out of work this past year?

_____WEEKS

42. PLEASE ENTER TODAY'S DATE _____/_____/_____
MONTH DAY YEAR

THANK YOU VERY MUCH FOR YOUR PARTICIPATION. PLEASE USE THE ENCLOSED POSTAGE-PAID ENVELOPE TO RETURN THIS QUESTIONNAIRE TO:

Lois Blanchard
MATHEMATICA POLICY RESEARCH
P.O. Box 2393
Princeton, New Jersey 08540

Dear Sir/Madam:

The United States Department of Labor has asked us to conduct a study to find out more about what happens to people who have filed for unemployment insurance benefits. The study is being conducted under Section 906 of the Social Security Act which directs the Secretary of Labor to establish a continuing and comprehensive program of research to evaluate the Federal-State unemployment compensation system.

Your name has been randomly selected from a list of people who filed claims for unemployment benefits in your state about a year ago. It is very important for the accuracy of this study that you fill out the enclosed questionnaire.

Under the Privacy Act of 1974, the information you give us is voluntary, and will not affect any of your past or future rights to benefits in any way. All of the information you give us will be confidential and will not be identified with your name. The information will be used only for research and the study report will be in statistical form only.

The identification number on the questionnaire is used in order to check your name off the mailing list when your questionnaire is returned.

The results of this study will be used to help improve the unemployment insurance program in the future. When you have completed the questionnaire, please use this self-addressed envelope to return it. No postage is necessary.

Thank you very much for your assistance.

Sincerely,

Legal Citation: Section 906
Social Security Act
(42 U.S.C. 1106)
OMB #44-S-80012
MPRI #354

UNEMPLOYMENT INSURANCE STUDY

1. According to unemployment insurance records, you established a claim for benefits on _____.

   THE FOLLOWING QUESTIONS ARE ABOUT THE JOB YOU HAD JUST BEFORE THE ABOVE DATE.

2. What type of company did you work for? What did they make or do?

   _____

   _____

3. What was your job title: _____

   What were your main duties and activities:

   _____

   _____

4. When did you start working on this job? (If you worked there more than once, give the date you first started before applying for unemployment benefits a year ago.)

   _____/_____/_____
   MONTH DAY YEAR

5. How many hours did you usually work per week? (Include overtime and paid lunchtime as hours worked.)

   _____ HOURS/WEEK

6. How much were your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions, and overtime as earnings.

   _____ PER WEEK

7. What was the last day you worked on this job before you applied for unemployment insurance benefits a year ago?

   _____/_____/_____
   MONTH DAY YEAR

8. Did you look for work after this job ended a year ago?

1 Yes → GO TO QUESTION 10

2 No

9. Why not?

Circle as many as apply

1 New job to start

2 Expected to get old job back

3 No job available in my line of work

4 Not enough skills, schooling, or experience

5 Family responsibilities

6 Went to school

7 Ill health

8 Discrimination due to age, sex, or race

9 Retired

10 Other reason

9a. IF YOU DID NOT LOOK FOR WORK AFTER THIS JOB ENDED, GO TO QUESTION 24, PAGE 6.

10. THE QUESTIONS ON THE NEXT FEW PAGES ASK ABOUT HOW YOU LOOKED FOR JOBS AFTER THE END OF THE JOB DESCRIBED ON PAGE 1.

How many weeks were you actively looking and available for work after your job ended?

_____ WEEKS

11. On the average, how many hours each week would you say you spent looking for work during this time?

_____ HOURS PER WEEK SPENT LOOKING FOR WORK

12. Which of the following did you use to help you find a job?

Circle as many as apply

1 State Employment Service or State Job Service

2 Private employment agency

3 Friends or relatives

4 Looked in newspapers

5 Placed ads

6 Answered ads

7 Applied directly with possible employers

8 Union hall

9 Other (please describe)_____

_____

13. Did you go to the State Employment Service or State Job Service?

1 Yes → GO TO QUESTION 15

2 No

14. Why didn't you go?

Circle as many as apply

1 Didn't think it would help me get a job

2 Had a job, or awaiting recall to job

3 Too far away

4 It doesn't help union members

5 Didn't think of it

6 Wages of jobs offered were too low

7 Other (please describe)_____

14a. IF YOU DID NOT GO TO THE STATE EMPLOYMENT SERVICE OR JOB SERVICE, GO TO QUESTION 23 ON PAGE 5.

15. What is the main reason you went to the State Employment Service or State Job Service?

1 I wanted help in finding a job

2 I was required to go in order to receive unemployment benefits

16. When did you go to the State Employment Service or State Job Service?

1 When I first started looking for work → GO TO QUESTION 18

2 Only after trying other ways of finding a job

17. Why didn't you go when you first started looking?

Circle as many as apply

1 Didn't think it would help

2 Awaiting recall to job

3 Too far away

4 Didn't think it would help union members

5 Didn't think of going

6 Wages of jobs offered were too low

7 Other (please describe) _____

_____

18. When you went to the State Employment Service or State Job Service, were you referred to any employers?

1 Yes

2 No → GO TO QUESTION 22 ON NEXT PAGE

18a. How many employers were you referred to? _____

19. Did you get any job offers as a result of referrals from the State Employment Service or State Job Service?

1 Yes

2 No → GO TO QUESTION 22 ON NEXT PAGE

20. How many? _____

21. Did you accept any of these offers?

1 Yes

2 No

22. When you went to the State Employment Service or State Job Service, which of the following did they do?

Circle as many as apply

1 Helped me fill out job applications and contact employers

2 Gave me information about jobs in other areas or towns

3 Referred me to other agencies which might help me find a job

4 Taught me how to apply for jobs

5 Gave me information to help me decide on a career or occupation

6 Tested me to see what jobs I am qualified or suited for

7 Gave me information about job training programs

8 Got me into a job training program

9 None of the above

23. Please circle the number next to any of the reasons which might explain why you <u>stopped</u> looking for work during the time after the end of the job described on page 1:

Circle as many as apply

1 Re-employed or new job to start

2 Expected to get old job back

3 Couldn't find a job

4 Not enough skills, schooling, or experience

5 Family responsibilities

6 Went to school

7 Ill health

8 Discrimination due to sex, age, or race

9 Retired

10 Other reason (please describe) _____

_____

11 Have not stopped-still looking

24. How many weeks did you collect unemployment benefits after the end of the job described on page 1?

_____ WEEKS

IF YOU DID NOT COLLECT ANY BENEFITS, ENTER "0" ON LINE AND GO TO QUESTION 27 BELOW.

25. How much did you collect per week in unemployment benefits?

$ _____

26. Why did you stop collecting benefits?

1 Re-employed → GO TO QUESTION 28

2 Benefits exhausted

3 Stopped voluntarily

Circle one number

4 Disqualified

5 Other reason (please describe) _____

_____

6 Did not stop--still collecting

27. Were you employed again after the date you entered in Question 7?

1 Yes

2 No → GO TO QUESTION 69, PAGE 13

28. ANSWER THE NEXT QUESTIONS FOR THE FIRST TIME YOU WERE EMPLOYED AFTER FILING FOR UNEMPLOYMENT BENEFITS A YEAR AGO.

When did you start working at this job?

_____/_____/_____
MONTH DAY YEAR

29. Is this the same employer as the one you had on the job just before you filed for unemployment benefits a year ago?

1 Yes → GO TO QUESTION 32

2 No

30. What type of company was this? What did they make or do?

_____

_____

31. What was/is your job title? _____

What were your main duties and activities?

_____

_____

32. How did you find this job?

1 Recalled by former employer

2 Private employment agency

3 State Employment Service or State Job Service

Circle one number

4 Friends or relatives

5 Want ads

6 Union halls

7 Applied directly with employer

8 Other (please describe) _____

_____

33. How much were/are your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions and overtime.

$ _____ PER WEEK

34. How many hours did you usually work per week? Include overtime and paid lunchtime as hours worked.

_____ HOURS/WEEK

35. Are you still working on this job?

1 Yes → GO TO QUESTION 69, PAGE 13

2 No

36. When did this job end? _____/_____/_____
MONTH DAY YEAR

37. Did you look for work at all after this job ended?

1 Yes

2 No → GO TO QUESTION 39

38. How many weeks were you actively looking and available for work after this job ended?

_____ WEEKS

39. How many weeks did you collect Unemployment Insurance benefits during this period?

_____ WEEKS

IF YOU DID NOT COLLECT BENEFITS DURING THIS PERIOD, ENTER "0" ON LINE AND GO TO QUESTION 41.

40. Why did you stop collecting benefits this time?

1 Re-employed → GO TO QUESTION 42 ON NEXT PAGE

2 Benefits exhausted

Circle one number

3 Stopped voluntarily

4 Disqualified

5 Other reason (please describe) _____

_____

6 Have not stopped--still collecting

41. Were you employed again after the date you entered in Question 36?

1 Yes → GO TO QUESTION 42 ON NEXT PAGE

2 No → GO TO QUESTION 69, PAGE 13

42. ANSWER THESE QUESTIONS FOR THE SECOND TIME YOU WERE EMPLOYED AFTER FILING FOR UNEMPLOYMENT BENEFITS A YEAR AGO.

When did you start working at this job?

_____/_____/_____
MONTH DAY YEAR

43. Is this the same employer as the one you had on the job just before you filed for unemployment benefits a year ago?

1 Yes → GO TO QUESTION 46

2 No

44. What type of company was this? What did they make or do?

_____

_____

45. What was/is your job title? _____

What were your main duties and activities?

_____

_____

46. How did you find this job?

Circle one number

1 Recalled by former employer

2 Private employment agency

3 State Employment Service or State Job Service

4 Friends or relatives

5 Want ads

6 Union halls

7 Applied directly with employer

8 Other (please describe) _____

_____

47. How much were/are your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions, and overtime.

$ _____ PER WEEK

48. How many hours did you usually work per week? Include overtime and paid lunchtime as hours worked.

_____ HOURS/WEEK

49. Are you still working on this job?

1 Yes → GO TO QUESTION 69, ON PAGE 13

2 No

50. When did this job end? _____/_____/_____
MONTH DAY YEAR

51. Did you look for work at all after this job ended?

1 Yes

2 No → GO TO QUESTION 53

52. How many weeks were you actively looking and available for work after this job ended?

_____ WEEKS

53. How many weeks did you collect Unemployment Insurance benefits during this period?

_____ WEEKS

IF YOU DID NOT COLLECT ANY BENEFITS, ENTER "0" ON LINE AND GO TO QUESTION 55.

54. Why did you stop collecting benefits this time?

1 Re-employed → GO TO QUESTION 56 ON NEXT PAGE

2 Benefits exhausted

3 Stopped voluntarily

Circle one number

4 Disqualified

5 Other reason (please describe) _____

_____

6 Have not stopped--still collecting

55. Were you employed again after the date you entered in Question 50?

1 Yes

2 No → GO TO QUESTION 69, PAGE 13

56. ANSWER THE NEXT QUESTIONS FOR YOUR MOST RECENT JOB.

When did you start working at your most recent job?

_____/_____/_____
MONTH DAY YEAR

57. Is this the same employer as the one you had on the job just before you filed for unemployment benefits a year ago?

1 Yes → GO TO QUESTION 60

2 No

58. What type of company is this? What do they make or do?

_____

_____

59. What was/is your job title? _____

What were your main duties and activities?

_____

_____

60. How did you find this job?

Circle one number

1 Recalled by former employer

2 Private employment agency

3 State Employment Service or State Job Service

4 Friends or relatives

5 Want ads

6 Union halls

7 Applied directly with employer

8 Other (please describe) _____

_____

61. How much were/are your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions, and overtime.

$ _____ PER WEEK

62. How many hours did you usually work per week? Include overtime and paid lunchtime as hours worked.

_____ HOURS/WEEK

63. Are you still working on this job?

1 Yes → GO TO QUESTION 69 ON NEXT PAGE

2 No

64. When did this job end? _____/_____/_____
MONTH DAY YEAR

65. Did you look for work at all after this job ended?

1 Yes

2 No → GO TO QUESTION 67

66. How many weeks were you actively looking and available for work after this job ended?

_____ WEEKS

67. How many weeks did you collect Unemployment Insurance benefits during this period?

_____ WEEKS

IF YOU DID NOT COLLECT ANY BENEFITS, ENTER "0" ON LINE AND GO TO QUESTION 69.

68. Why did you stop collecting benefits this time?

Circle one number

1 Re-employed

2 Benefits exhausted

3 Stopped voluntarily

4 Disqualified

5 Other reason (please describe) _____

_____

6 Have not stopped--still collecting

69. Please enter today's date: _____/_____/_____
MONTH DAY YEAR

THANK YOU VERY MUCH FOR YOUR PARTICIPATION.
PLEASE USE THE ENCLOSED POSTAGE-PAID
ENVELOPE TO RETURN YOUR QUESTIONNAIRE TO:

LOIS BLANCHARD
MATHEMATICA POLICY RESEARCH
P.O. BOX 2393
PRINCETON, NEW JERSEY 08540

OMB # 44-S-80012 [__[__[__[__[__]-[__[__[__]-[__]

MPRI # - 356 RESPONDENT ID#

UNEMPLOYMENT SPELLS
TELEPHONE QUESTIONNAIRE

Time Began

AM...1

[__[__]:[__[__] PM...2

Hello, may I please speak to _____?

WHEN CORRECT RESPONDENT ANSWERS, SAY: My name is _____ and I'm calling from Mathematica Policy Research in Princeton, New Jersey. We are conducting a study for the U.S. Department of Labor to find out more about the experiences of people who have collected unemployment insurance benefits.

Recently a letter was sent to you explaining a little about the study. Did you receive it?

YES . . (CONTINUE INTRO). 1

NO 2

I'm sorry yours didn't reach you. It was a brief letter we sent so people would know we would be calling them. (CONTINUE INTRO)

We are calling a group of people who established claims for unemployment benefits just about one year ago. Under the Privacy Act of 1974, the information you furnish is voluntary, and your willingness to answer will not affect any of your past or future rights to benefits in any way. All of the information you give us will be confidential and will not be identified with your name. The information will be used only for research and the study report will be in statistical form only.

The interview takes about 15 or 20 minutes. Let's begin.

According to Unemployment Insurance records, you established a claim for unemployment benefits on (BENEFIT YEAR BEGIN DATE). I'd like to ask about the job you had just before you filed for unemployment benefits at that time.

PROBE: The job you had that made you eligible to collect unemployment insurance benefits.

IF DON'T KNOW: Then tell me about the longest job you had in the 12 months before you filed your claim a year ago.

1. What kind of company did you work for? What did they make or do?

_____

_____ [___[___]

2. What did you do there--what was your job?

_____

_____ [___[___]

3. When did you start working for that employer? If you worked there more than than once, tell me the first time you started before you applied for unemployment insurance a year ago.

INTERVIEWER: DATE MUST BE BEFORE DATE OF BENEFIT YEAR.

___/___/___
MONTH DAY YEAR

4. How much were your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions and overtime.

1 $[___[___],[___[___[___] PER WEEK

2 $[___[___],[___[___[___] PER MONTH

3 $[___[___],[___[___[___] PER YEAR

IN KIND ONLY . . . . . NA

5. Counting overtime and paid lunchtime, how many hours per week did you usually work on that job?

[___[___] HOURS PER WEEK

6. When was the last day you worked on that job before you applied for unemployment insurance benefits a year ago?

___/___/___
MONTH DAY YEAR

7. I'd like to ask you about the period of time after that job ended. Did you look for work at that time?

YES 1

NO . . . . (GO TO Q.23). 2

8. How many weeks were you actively looking and available for work after your job ended on (DATE IN Q.6)?

[___[___] WEEKS

9. And about how many hours per week on the average would you say you spent looking for work?

[___[___] HOURS PER WEEK

10. I'm going to read a list of a number of things people sometimes do to try to find work, and I'd like you to tell me whether you did any of these things.

Did you. . .

		YES	NO	
a.	check with the (STATE EMPLOYMENT SERVICE/ STATE JOB SERVICE)?.	1	2	
b.	check with any private employment agency . . .	1	2	
c.	ask friends or relatives about job openings?	1	2	
d.	look at want ads?	1	2	→(GO TO F)
e.	answer any ads?	1	2	
f.	place any ads in newspapers or other publications?	1	2	
g.	apply directly with possible employers? . . .	1	2	
h.	check with your union, if you are a member?. .	1	2	
i.	do anything else to try to find a job?	1	2	

SPECIFY:_____

11. INTERVIEWER: DID R GO TO STATE EMPLOYMENT SERVICE OR JOB SERVICE? (SEE Q10A)

YES . . . . . .(GO TO Q.13). . . 1

NO 2

12. You said you did not go to the (STATE EMPLOYMENT SERVICE/STATE JOB SERVICE). Why didn't you go?

CIRCLE ALL THAT APPLY

DIDN'T THINK IT WOULD HELP ME GET A JOB.	1	
AWAITING RECALL.	1	
TOO FAR AWAY	1	→ (GO TO Q21)
WON'T HELP UNION MEMBERS	1	
DIDN'T THINK OF IT	1	
WAGES OF JOBS OFFERED TOO LOW.	1	
OTHER: (SPECIFY)	1	

13. You said you went to the (STATE EMPLOYMENT SERVICE/STATE JOB SERVICE). Were you required to go to the (EMPLOYMENT SERVICE/JOB SERVICE) in order to be eligible to receive unemployment insurance benefits?

YES 1

NO . . . . . .(GO TO Q.15) 2

14. Did you go to the (EMPLOYMENT SERVICE/JOB SERVICE) mainly to get help in finding a job, or did you go mainly because you had to go in order to receive unemployment insurance benefits?

HELP IN FINDING JOB 1

HAD TO GO TO GET UI 2

15. Did you go to the (STATE EMPLOYMENT SERVICE/STATE JOB SERVICE) when you first started looking for work at this time, or did you go only after you had tried other ways of finding a job?

FIRST STARTED . . . . (GO TO Q.17). . . . 1

AFTER OTHER TRIES 2

16. Why didn't you go when you first started looking?

CIRCLE ALL THAT APPLY

DIDN'T THINK IT WOULD HELP.	1
AWAITING RECALL	1
TOO FAR AWAY.	1
DIDN'T THINK WOULD HELP UNION MEMBERS	1
DIDN'T THINK OF GOING	1
WAGES OF JOBS OFFERED TOO LOW	1
OTHER: (SPECIFY)	1

_____

17. When you went to the (STATE EMPLOYMENT SERVICE/STATE JOB SERVICE), were you referred to any employers?

IF YES: How many employers were you referred to?

YES	[___[___]
NO . . . .(GO TO Q.20)	0

18. Did you get any job offers as a result of referrals by the (EMPLOYMENT SERVICE/JOB SERVICE)?

IF YES: How many job offers did you get?

YES	[___[___]
NO . . . .(GO TO Q.20)	0

19. Did you accept any of these offers?

YES	1
NO	2

20. When you went to the (STATE EMPLOYMENT SERVICE/STATE JOB SERVICE), did they. . .

	YES	NO
help you fill out job applications and contact employers?	1	2
give you information about jobs in other areas or towns?	1	2
refer you to other agencies which might help you find a job?	1	2
teach you how to apply for jobs?	1	2
give you information to help you decide on a career or occupation?	1	2
test you to see what jobs you are qualified or suited for?	1	2
give you any information about job training programs?	1	2
get you into any job training program?	1	2

21. Did you stop looking for work after this period or are you still looking?

STOPPED LOOKING 1

STILL LOOKING . . (GO TO Q 24). 2

22. OK, now I'd like to know why you <u>stopped</u> looking for a job during the time after your job ended on (DATE IN Q.6). Was it because you started working again or was there some other reason?

PROBE IF OTHER REASON: What was the reason?

CIRCLE ALL THAT APPLY

REEMPLOYED. 1

EXPECTED TO GET OLD JOB BACK. 1

<u>COULDN'T FIND</u> ANY WORK. 1

<u>LACKED NECESSARY SCHOOLING,</u> TRAINING, SKILLS OR EXPERIENCE. 1

EMPLOYER THINKS <u>TOO YOUNG</u> OR <u>TOO OLD</u> 1

OTHER <u>PERSONAL HANDICAP</u> IN FINDING JOB, INCLUDING RACIAL OR SEXUAL DISCRIMINATION 1 → GO TO Q.24

COULDN'T ARRANGE <u>CHILD CARE</u> 1

<u>FAMILY</u> RESPONSIBILITY 1

<u>IN SCHOOL</u> OR OTHER TRAINING 1

ILL <u>HEALTH,</u> PHYSICAL DISABILITY 1

OTHER--SPECIFY: 1

_____

23. Why didn't you look for work?

CIRCLE ALL THAY APPLY

NEW JOB TO START. 1

EXPECTED TO GET OLD JOB BACK 1

BELIEVED NO WORK AVAILABLE IN LINE OF WORK OR AREA . 1

LACKED NECESSARY SCHOOLING, TRAINING, SKILLS, EXPERIENCE. 1

TOO YOUNG, TOO OLD. 1

OTHER PERSONAL HANDICAP IN FINDING A JOB, INCLUDING RACIAL OR SEXUAL DISCRIMINATION. 1

COULDN'T ARRANGE CHILD CARE 1

OTHER FAMILY RESPONSIBILITY 1

IN SCHOOL OR OTHER TRAINING 1

ILL HEALTH, PHYSICAL DISABILITY 1

OTHER--SPECIFY: 1

_____

24. Did you collect unemployment benefits during this time, after your job ended on (DATE IN Q.6)?

YES 1

NO . . . . .(GO TO Q.28) 2

25. How many weeks did you collect unemployment benefits during this time?

[___[___] WEEKS

26. How much did you usually receive per week?

$ [___[___[___]/WEEK

27. Why did you stop collecting?

REEMPLOYED. . . (GO TO Q.29). 1

BENEFITS EXHAUSTED. 2

STOPPED VOLUNTARILY 3

DISQUALIFIED. 4

OTHER (SPECIFY) _____ 5

HAVE NOT STOPPED. 6

28. CODE WITHOUT ASKING IF KNOWN:

Have you done any work for pay since (DATE IN Q.6)?

YES 1

NO . . . .(GO TO END). 2

29. Who have you worked for since (DATE IN Q.6)? Tell me the names of all the companies, organizations and persons you've worked for, including any self-employed jobs you may have had since (DATE IN Q.6).
PROBE: Any others?

IF MORE THAN THREE, LIST THE FIRST TWO AND THE MOST RECENT.

FOR EACH EMPLOYER, ASK:

a. When did you start working for (NAME OF EMPLOYER)?
PROBE FOR BEGINNING, MIDDLE OR END OF MONTH IF R CANNOT GIVE EXACT DATES.

b. When did that job end?

c. Did you work on that job continuously from (START DATE) to (END DATE)?

IF NO: I need to find out the dates of <u>each</u> time you worked for (EMPLOYER). When was the first time you <u>stopped</u> working there after (START DATE)? -and when were the other times you worked for (EMPLOYER) during the last year?

RECORD DATES OF ANY UNPAID INTERRUPTIONS OF ONE WEEK OR MORE, AND TREAT THESE AS SEPARATE JOBS.

NUMBER	JOB	DATES EMPLOYED FROM	TO
____	_____	____/____/____	____/____/____
____	_____	____/____/____	____/____/____
____	_____	____/____/____	____/____/____
			NC

NUMBER JOBS ACCORDING TO START DATE FROM FIRST JOB AFTER DATE IN Q.6 TO MOST RECENT, AND ASK ABOUT JOBS IN THIS ORDER.

JOB #1 = FIRST JOB AFTER DATE IN Q.6.
JOB #2 = SECOND JOB AFTER DATE IN Q.6.
JOB #3 = THIRD JOB, OR MOST RECENT IF MORE THAN 3.

I'd like to ask some questions about (this job/each one of these jobs).

	JOB #1 (FIRST JOB AFTER DATE IN Q.6)	JOB #2 (SECOND JOB AFTER DATE IN Q.6)	JOB #3 (MOST RECENT JOB IF MORE THAN 3)
30. Okay, now let's talk about the job you had at (EMPLOYER), where you worked between (DATES OF PERIOD).	FROM ___/___/___ TO ___/___/___	FROM ___/___/___ TO ___/___/___	FROM ___/___/___ TO ___/___/___
31. CODE WITHOUT ASKING IF KNOWN: Is this the same employer as the one you had on the job which ended on (DATE IN Q.6)?	YES .(GO TO Q.35) . . 1 NO 2	YES .(GO TO Q.35) . . 1 NO 2	YES .(GO TO Q.35) . . 1 NO 2
32. What kind of company did you work for? What did they make or do?	______ ______ ______ [[ ]	______ ______ ______ [[ ]	______ ______ ______ [[ ]
33. What did you do there--what was your job?	______ ______ ______ [[ ]	______ ______ ______ [[ ]	______ ______ ______ [[ ]
34. How did you find this job? FOR JOB #2 OR 3, IF THIS IS SAME EMPLOYER AS JOB #1, CIRCLE 1 WITHOUT ASKING.	RECALL BY FORMER EMPLOYER. . . . . . . 1 PRIVATE EMPLOYMENT AGENCY . . . . 2 STATE EMPLOYMENT AGENCY/STATE JOB SERVICE . . . . 3 FRIENDS AND RELATIVES 4 WANT ADS . . . . . . 5 UNION HALLS . . . . . 6 DIRECTLY WITH EMPLOYER. . . . . . . 7 OTHER: SPECIFY . . 8 ______ NC	RECALL BY FORMER EMPLOYER. . . . . . . 1 PRIVATE EMPLOYMENT AGENCY . . . . 2 STATE EMPLOYMENT AGENCY/STATE JOB SERVICE . . . . 3 FRIENDS AND RELATIVES 4 WANT ADS . . . . . . 5 UNION HALLS . . . . . 6 DIRECTLY WITH EMPLOYER. . . . . . . 7 OTHER: SPECIFY . . 8 ______ NC	RECALL BY FORMER EMPLOYER. . . . . . . 1 PRIVATE EMPLOYMENT AGENCY . . . . 2 STATE EMPLOYMENT AGENCY/STATE JOB SERVICE . . . . 3 FRIENDS AND RELATIVES 4 WANT ADS . . . . . . 5 UNION HALLS . . . . . 6 DIRECTLY WITH EMPLOYER. . . . . . . 7 OTHER: SPECIFY . . 8 ______ NC
35. Counting overtime and paid lunchtime, how many hours per week did you usually work on that job?	[___[___] HOURS	[___[___] HOURS	[___[___] HOURS

	JOB #1	JOB #2	JOB #3
36. How much were your usual weekly earnings on this job, before taxes and other deductions? Include tips, commissions and overtime.	1 $[__[__],[__[__[__] PER WEEK 2 $[__[__],[__[__[__] PER MONTH 3 $[__[__],[__[__[__] PER YEAR IN-KIND ONLY . . . . NA	1 $[__[__],[__[__[__] PER WEEK 2 $[__[__],[__[__[__] PER MONTH 3 $[__[__],[__[__[__] PER YEAR IN-KIND ONLY . . . . NA	1 $[__[__],[__[__[__] PER WEEK 2 $[__[__],[__[__[__] PER MONTH 3 $[__[__],[__[__[__] PER YEAR IN-KIND ONLY . . . . NA
37. IF THIS IS CURRENT JOB, CODE 3 WITHOUT ASKING. Did you look for work at all after this job ended?	YES. . . . . 1 NO . .(GO TO Q.39) . 2 CURRENT JOB (GO TO Q.42) . 3	YES. . . . . 1 NO . .(GO TO Q.39) . 2 CURRENT JOB (GO TO Q.42). 3	YES. . . . . 1 NO . .(GO TO Q.39) . 2 CURRENT JOB (GO TO END). . 3
38. How many weeks were you actively looking <u>and</u> available for work after this job ended?	[__[__] WEEKS WHOLE PERIOD . . . . NA	[__[__] WEEKS WHOLE PERIOD . . . . NA	[__[__] WEEKS WHOLE PERIOD . . . . NA
39. Did you collect any unemployment benefits during this time?	YES. . . . . 1 NO . .(GO TO Q.42) 2	YES. . . . . 1 NO . .(GO TO Q.42) 2	YES. . . . . 1 NO . .(GO TO END) 2
40. How many weeks did you receive unemployment benefits during this time?	[__[__] WEEKS WHOLE PERIOD . . . . NA	[__[__] WEEKS WHOLE PERIOD . . . . NA	[__[__] WEEKS WHOLE PERIOD . . . . NA
41. Why did you stop collecting benefits this time?	REEMPLOYED . . . . . 1 EXHAUSTED BENEFITS . 2 DISQUALIFIED . . . . 3 STOPPED VOLUNTARILY. 4 OTHER (SPECIFY)______ 5 STILL COLLECTING . . 6	REEMPLOYED . . . . . 1 EXHAUSTED BENEFITS . 2 DISQUALIFIED . . . . 3 STOPPED VOLUNTARILY. 4 OTHER (SPECIFY)______ 5 STILL COLLECTING . . 6	REEMPLOYED . . . . . 1 EXHAUSTED BENEFITS . 2 DISQUALIFIED . . . . 3 STOPPED VOLUNTARILY. 4 OTHER (SPECIFY)______ 5 STILL COLLECTING . . 6
42. SEE Q.29. ARE THERE MORE JOBS TO BE ASKED ABOUT?	YES. .(GO TO Q30, JOB #2). . . . 1 NO. 2	YES. .(GO TO Q30, JOB #3). . . . 1 NO. 2	

43. This is the end of the interview. Thank you very much for your participation.

AM. . . 1

TIME ENDED: [___[___]:[___[___] PM. . . 2

APPENDIX B

INTERVIEW TRAINING MANUAL

UNEMPLOYMENT SPELLS STUDY

INTERVIEWER TRAINING MANUAL

Mathematica Policy Research

October 27, 1980

INTRODUCTION

A. MATHEMATICA POLICY RESEARCH

Mathematica Policy Research (MPR) is a nationwide policy research and evaluation company based in Princeton, New Jersey. Founded in 1968 to conduct the New Jersey Negative Income Tax Experiment, the company is known for its work on income maintenance, housing, health and manpower experiments; policy analysis in the welfare reform, health, education and training, unemployment insurance, transportation, and housing fields; and for national surveys on a wide range of critical policy issues. Its full-time staff of 500 includes economists, sociologists and political scientists, survey researchers, systems analysts, and programmers. Added to the full-time staff is an on-call interviewing and supervisory staff of 500 distributed throughout the United States.

B. USE OF THIS MANUAL

This manual is designed to provide each interviewer with a detailed guide to his or her responsibilities and of the procedures necessary for fulfilling them. It covers topics ranging from general survey issues and procedures, for example, confidentiality of data, principles of interviewing, filling out time sheets, to specific information about the administration of the survey instruments and the procedures necessary for tracking data efficiently. This manual is designed to provide the interviewer with a framework within which to operate. A certain amount of interviewer creativity, ingenuity and flexibility is essential.

The Unemployment Spells Survey

MPR is conducting this study for the U.S. Department of Labor in order to provide information not currently available to unemployment insurance policy makers about the lengths of unemployment spells of unemployment insurance claimants. The Unemployment Insurance Service collects information on wages and benefits on a continuous basis, and data from this study will help evaluate whether information on unemployment spells should be collected on an on-going basis to supplement the information already being collected on wages and benefits.

Some of the questions to be addressed by this study are the following:

- How can the length of individuals' unemployment spells be best predicted?
- How does receipt of services by the State Unemployment Service (Job Service) affect the length of unemployment spells and subsequent employment history of individuals?
- What determines which individuals have unemployment spells that are long enough to exhaust their entitlement to unemployment benefits?

The analysis of the data collected in this survey will be used to help answer such questions, and will aid in formulating future policy regarding unemployment insurance benefits.

The sample for this study will be taken from the records of unemployment insurance (UI) claimants approximately one year ago. Each month we will be interviewing people who filed claims during that month, one year ago. The sample has been taken from 2 states, Missouri and Pennsylvania; at the beginning of the survey we will be calling Missouri only.

Part of this study will be an evaluation of the best method to be used for collecting this information. In addition to this telephone survey, two mail questionnaires will be used, a long mail questionnaire which attempts

to collect all of the information asked for in the telephone interview, and a shorter mail questionnaire. We expect about 2,000 completed telephone interviews, and about 400 responses for each of the mail surveys.

Advance Letter

All potential respondents to the telephone survey will have been sent an advance letter explaining the study and warning them of your expected call; a copy of this letter is contained in this manual, and can be used by you to help explain the study if necessary.

If the respondent has not received the letter, you should attempt to do the interview anyway; do not offer to have the letter resent unless the respondent absolutely refuses to do the interview before he/she sees the letter.

TRAINING

The purpose of interviewer training is to be sure all those hired learn the interviewing techniques and other tasks in a telephone survey. MPR requires all interviewers to participate in training even if they have worked on prior MPR telephone surveys. We find that interviewers who have seen the video tapes and have been part of the discussion previously, can be especially helpful to new interviewers.

Training is designed to cover the following topics:

- Roles of the interviewer and respondent
- Use of non-directive probes and avoiding bias
- Interviewing techniques
- How to record responses
- A discussion of the purpose of the particular survey
- Description and illustration of each part or module of the questionnaire
- A question-by-question explanation specifying probes to use or other special features of the question
- Exercises (mock interviews, group completion of questions/modules) to familiarize interviews with question patterns and wordings
- The procedures to be followed during the survey
- Explanation of the use of contact sheets and any other supplementary forms
- Explanation of personnel forms, time sheets, interviewer productivity reports.

During the training sessions, you will have an opportunity to ask questions and discuss the topics covered. Don't feel bashful about expressing your view or asking for an explanation or for a trainer to repeat something you don't understand.

At the end of training you and your supervisor will agree on your schedule if you have not already done so. Before your first interviewing session it is a good idea to re-read this manual and review your notes from training. You might also wish to do a mock interview with a friend or relative before you begin.

TELEPHONE INTERVIEWING TECHNIQUES

A. TELEPHONE INTERVIEWING

Telephone interviewing has been proven to be an excellent method for collecting accurate information about a variety of topics, some quite detailed and complex. It is considerably less expensive than person-to-person interviewing and much more likely to result in a higher rate of completion than a mail survey. Interviews lasting up to an hour or more, on the telephone, have been completed successfully. The most important ingredient of the telephone interview is the interviewer and his or her ability to establish a rapport with the respondent and maintain a professional attitude toward the situation. The most important activity an interviewer performs is to be sure that all questions are asked of each respondent in the same way and under similar conditions. We will be emphasizing this in various parts of this manual and during training.

B. ROLE OF THE INTERVIEWER

You are MPR's primary contact with the respondent. You are responsible for obtaining accurate and consistent data over the phone. In order to do this, you must follow the prescribed procedures and understand the nature of the study.

In addition, each interviewer is our representative on the phone--whatever impression you leave with the respondents and others is the impression they will retain of Mathematica Policy Research. You should conduct yourself in the most professional manner at all times.

Professionalism on the telephone requires that you establish a relationship whereby the respondent knows that your role is to ask the questions and record the answers without influencing the respondent or reacting in any way to the answer you hear. The best way to do this is by being neutral when asking questions, but warm to the respondent's point of view. Another role of the interviewer is not letting the interview get off the track. This is usually easier than it sounds as most respondents will allow you to control the situation. It is essential that you understand the importance of your role as interviewer. Be pleasant and responsive without influencing the respondent; be enthusiastic and positive about the study.

The following parts of this section discuss and give examples of how you, as an interviewer, must interact with respondents. We will illustrate specific ways you should conduct the interview so you will not affect the respondent's answer (which is called biasing or leading), how to encourage a respondent to answer a question more completely or specifically (probing), how to avoid recording errors and finally some specific things to keep in mind while interviewing.

C. BIAS

Of all the sources of error in interviewing, interviewer bias (any influence that changes a result from what it would have been without that influence) is the most difficult to control. Even after successful training and field experience, the day-to-day demands of interviewing

often tempt even experienced interviewers to neglect once-mastered, fundamental skills such as maintaining objectivity, dedication to accuracy and thoroughness in probing.

By ignoring these skills, four common interviewing errors can result where bias is introduced:

- Expressing opinions or attitudes
- Rewording questions
- Suggesting answers
- Committing errors in probing

1. Expressing Opinions or Attitudes. During a telephone interview you must "step out of yourself" and into the role of an interviewer. The interviewer must never be concerned with whether he or she agrees or disagrees with the respondent. The interviewer must treat the respondent as a person who is neither good nor bad, likeable or disagreeable. Your opinions and attitudes must be kept entirely to yourself. Respondents can and do pick up on verbal and non-verbal cues such as tone of voice, unexplained silences, or sighs of disapproval, etc. during the interview. Therefore, throughout the interview you must stay as neutral as possible.

2. Rewording Questions. There are a number of reasons interviewers might want to reword questions, but regardless of the reason, rewording almost always causes bias in response. Rewording the question to fit the interviewer's own perception of what the respondent is capable of understanding is usually done to spare the interviewees embarrassment;

it usually means either "talking down" or "talking up" to a respondent. Never assume a respondent will not understand a question. An interviewer's choice of substitute words will always change the meaning of a question. Therefore, read all questions exactly as worded on the questionnaire.

3. Suggesting Answers. Another kind of response bias can occur when respondents do not give a complete answer or the kind of answers implied by the question. Sometimes respondents are unsure of an answer or can't remember, or don't want to take the time to think about an answer. Interviewers sometimes respond to these problems by suggesting answers. Doing this is one of the most serious kinds of bias an interviewer can cause. To avoid this kind of bias, the interviewer should reread the questions and probe so the respondent will give an answer that applies to the questions. Do not, under any circumstances, suggest an answer to a respondent; probe instead.

4. Errors in Probing. Probing is used to motivate or induce the respondent to enlarge upon what was said, to clarify what was said, or to explain the reason behind what was said. Probing is one of the most important and frequently needed interviewing techniques. However, a common source of bias is poor probing. Motivating the respondent to answer questions must be done in a way that does not influence or affect the true answer. Probing, then, must be done without introducing bias. The following section focuses on when to use various types of probes and how to avoid probing errors.

D. PROBING

Now, let's turn to some of the probing techniques you will need to use when you are interviewing. From time to time you will find respondents who do not answer the question you have asked or who will give you an answer that is too general. As defined in the previous section, prompting the respondent for a more relevant or specific answer is called probing. However, when you probe you must not 'lead' the respondent or indicate in any way that you expect a particular answer. Avoiding biasing of the respondent's answer is called non-directive probing. There are seven basic kinds of non-directive probing you will need to use while conducting telephone interviews:

- Pausing
- Rereading the question
- Asking for more information
- Stressing that a general answer is needed
- Stressing that the respondent's judgment or opinion is appropriate
- Zeroing-in
- Repeating the response

1. Pausing. One of the most effective probes is a pause-simply waiting expectantly. The pause informs the respondent that he or she has not answered the question satisfactorily and that you are waiting for an appropriate response.

Respondents will frequently offer additional information if an interviewer just waits. Something telephone interviewers have to get used to is silence; they must allow respondents time to think. Don't be afraid to use a pause--sometimes it can work more effectively than anything you might say.

2. Rereading the Question. There are basically three situations in which it is necessary to reread the question. The first of these situations occurs when the respondent has missed the controlling words or phrases and has responded improperly to the question. Here, it is necessary to reread, emphasizing those words or phrases in the question so that the respondent can hear the controlling words of the question and respond appropriately.

Another case when it is effective to reread the questions is when respondents stray away from the subject or give answers that are not relevant to the question. The simplest way of bringing them back to the question is to reread the entire question, again emphasizing the important words.

Finally, it is effective to reread the question when the respondent asks you to explain or interpret the question. This may take the form of the respondent's asking, "What did you say?" or "What do you mean?" Remember, do not change the wording of the question even if the respondent asks for a clarification; reread the question instead.

3. Asking for more information. There are times when the answer to a question is too general or vague. In such cases simply asking for more information usually solves the problem. Examples of phrases you might

use to get more information are: "Can you tell me something more about that?" or "I need some details on that."

4. Stressing Generality. Some questions use controlling words such as "in general" or "usually." In addition, respondents sometimes feel that none of the fixed-alternative responses fit their general or usual situation, or that they would choose one answer under certain conditions, but another under different conditions. When these situations come up, the interviewer should probe to help the respondent generalize or make an overall judgment. Key phases such as: "well then, in most cases...," or "generally speaking" should be used to motivate the respondent to think in general or overall terms. This process attempts to get the respondent to disregard the exceptions or the extremes, and to limit his or her frame or reference to most cases.

5. Stressing Subjectivity. Many questions are intended to determine a respondent's opinion or intuitive feeling about something. They do not ask for facts but rather for the respondent's perception or judgment. Although these questions require subjective responses, sometimes respondents do not realize it. Good probes in these cases include: "Well, what do you think?" or "In your opinion, what do you think...?" or "How do you feel?"

6. Zeroing-In. Respondents sometimes have difficulty remembering dates or periods of time or dollar amounts. Interviewers can help respondents remember by asking if they can associate an event with a certain kind of weather, a holiday, whether children were in school, or an important event happening to them at the time or where the amount might

be written down. This kind of non-directive probe helps respondents sort out events and periods of time so that they can "zero-in" on an exact time by recalling events through association. An example of a useful non-directive zeroing-in probe is: "Can you remember what season it was, or anything that happened near that time?"

Another type of probe is to ask the respondent if he/she has written that information down anywhere--on a tax return, or on a bank statement or loan application? When you use these probes be sure to repeat the question so the respondent answers the question and does not simply tell you what was on a form or statement. In most cases, an estimate will be acceptable if no more exact figure is available.

7. Repeating the Response. Sometimes respondents will give answers that just do not make sense or seem likely. For example, an interviewer might ask, "How much do you make per week before taxes and other deductions?" If the respondent answered with "$20," you should not act skeptical or surprised. The response could be legitimate and your surprise could be embarrassing. Instead you should repeat the response as in the following:

INTERVIEWER: Okay, you made twenty dollars per week on that job.

RESPONDENT: No, not twenty a week. I made twenty a day.

As you become an experienced interviewer, you can quickly find the type of probe best suited to a response problem. When a response has several problems, you will have to combine probes that are controlled and non-directive.

Your supervisors are there to help suggest probes. They can help you handle a difficult situation as well as confirm that what you did was right. Other interviewers are likely to have the same problem so that you may be able to help everyone when you make a suggestion about a probe to use.

E. RECORDING ERRORS

In addition to avoiding bias and using correct probes, you must be conscientious in recording the respondent's answer correctly. Recording errors can occur for the following reasons:

- The interviewer may fail to "hear" a respondent's answer when it runs counter to the interviewer's attitudes or is contrary to what he or she expects the respondent to say. Learn to listen carefully and to be alert to words or phrases like "not," "except," "well," "sometimes," "almost always, but..." Respondents often start by saying one thing and then end up by saying another.

- Sometimes interviewers may sound out or modify or attempt to improve upon a response by summarizing it. The actual response is lost when this happens. If a response is too long to write down or you didn't understand all that was said, repeat exactly what you remember the respondent's saying; if you can't remember, ask the respondent to repeat the answer.

- Errors in recording are sometimes just simple mistakes. To eliminate these errors, repeat the respondent's answer as you record it. This is especially useful as a telephone technique as there is only verbal contact between interviewer and respondent. Repeating the answer not only allows the respondent to correct the response if it is wrong, but can keep up the tempo of the interview.

F. SPECIFIC POINTS TO REMEMBER

Finally, there are some specific points that are helpful to remember before, during and immediately following a telephone interview:

First, take a few minutes at the beginning of your shift to organize your work and to set up any tallies you are requested to keep, then make your first call.

Second, since there is no face-to-face contact with the respondent, it is necessary to speak slowly and clearly. This will assure you that there is good communication, and therefore understanding between you and the respondent.

Third, remember there are other interviewers in the telephone center beside yourself--speak loudly enough for the respondent to hear you, but not so loudly that you disturb others. Sometimes you may have to ask the respondent to speak more clearly or loudly.

Fourth, the most important rule is to read the questions as they appear. Do not change the wording or order of any question. Do not leave out questions that should be asked.

Fifth, there will be pauses while you write down what the respondent says. One way to fill those silences is to explain that you are pausing briefly to write down his/her responses. You may repeat the answer as you write or you might utter an occasional "ummm" as you write.

Sixth, if you come across a situation you do not know how to handle while you are on the phone with a respondent, ask the respondent to wait a minute while you ask your supervisor. It is better to do this than to say you will call back or to go ahead and risk having to call back the respondent anyway.

Seventh, often situations come up during interviewing which are not covered in this manual. Supervisors post notices or distribute memos describing what to do when these unexpected things happen. Pay attention to these additions or changes in instructions; they can save making call-backs.

Eight, it is especially important that you go over the interview immediately after you hang up to be sure all responses are complete and legible. It will help no one to complete an interview that is illegible.

Ninth, leave time at the end of your shift to complete any record keeping (time sheets, adding up tallies, or other clerical tasks).

Tenth, telephone interviewing is scheduled to make maximum use of the telephones installed. Therefore, it is important for interviewers to be on time for their shifts and stay for the entire shift. Sometimes, schedules can be changed, but always discuss this with your supervisor a week or so beforehand. If you cannot keep the schedule you have worked out with your supervisor, please call so we can find a substitute for you.

Interviewers should understand that their work on this project is temporary, lasting only as long as there are interviews to be done and their performance meets the high quality standards which are expected. We expect this survey to last through March. Supervisors will be keeping track of interviewer productivity (number of completes and other final statuses per hour worked) as well as the quality of interviewer work as determined by errors found during the editing process.

MPR'S QUESTIONNAIRE FORMAT

MPR has a very specific questionnaire format for telephone interviews.

1. CAPITAL and lower case letters:

   Sentences and phrases written in lower case should be read to the respondent. SENTENCES, PHRASES, OR WORDS IN CAPITAL LETTERS ARE INSTRUCTIONS OR ANSWER CATEGORIES FOR THE INTERVIEWER'S USE ONLY, AND ARE NOT TO BE READ ALOUD.

   Capitals can also indicate the substitution of a more relevant word. For example, a question may ask, "At any time during 1976 or 1977, did you (or people you live with) receive (SOURCE)?" For this you would substitute a phrase for "SOURCE", for example, "alimony or child support."

2. Parentheses:

   These indicate a choice of wording in which you would read the more relevant word or phrase. Take for example, "I want to ask some questions about (that program/the program you spent the most time in). The first phrase is read for respondents who reported previously that they had been in only one program; the second phrase would be read for respondents who were in more than one. Again you will know which phrase to use from the information collected earlier in the interview.

3. Skips:

   Because we are interviewing respondents with different characteristics, some questions are relevant to one respondent but not relevant to another respondent--that is, some questions are relevant to only a subset of the sample. Therefore, throughout the interview you will find interviewer instructions (IN CAPITAL LETTERS) which will guide you to the appropriate question. If there are no skip instructions, proceed to the next question.

MPR skip instructions are usually printed in two locations within the questionnaire.

a. Skip instructions can be located within the answer category:

YES. 1

NO . . . *GO TO Q.48*. 0

If the respondent answered "NO", you would circle code number "0" and go to Q.48. If the respondent said "YES" you would circle "1" and read the next question in the questionnaire.

b. A skip instruction can also appear as an interviewer instruction which is assigned its own question number:

5.10 INTERVIEWER: DOES R HAVE CURRENT JOB? (SEE Q.2.00)

YES 1

NO . . *GO TO Q.6.00* . . 0

In this type of instruction the interviewer has to check information from one or more previous questions to find where to go next.

4. Answer Categories:

The majority of responses will be entered into the questionnaire by either circling a number code:

YES . . . . . (1)

NO 2

or filling in boxes:

0	6	HOURS

In a few places in the interview it may be necessary that you write in a word. This only appears when the respondent's answer does not fit any of the precoded answers and there is a space provided for an "OTHER" (SPECIFY)

5. Right-justifying Numbers:

In all cases where a number is to be entered in boxes, enter only one digit per box. You should always "right-justify" an answer entered in boxes. That is, if the number is a single digit, enter it in the right-hand box, and enter "0" in the left box(es).

EXAMPLES:

9.08 Now thinking back to 1976, how much was your total family income from all sources, including all members of your immediate family living in your household?

$ 0 1 5 , 0 0 0

If the answer to this question were $15,000, then the correct way to enter the response would be as above.

If the answer were entered as

INCORRECT $ 1 5 0 , 0 0

Then the coder would enter $150,000 on the data entry machine.

6. Corrections:

a. If you circle the wrong response or if the respondent changes his/her mind, make the correction and mark through the entire incorrect answer:

YES 1

NO 2

After you have done this, the respondent or you may determine that the first answer is the correct answer. In such a case, cross through the correction and write in which is correct and initial:

YES 1

NO . . . . . 2 (1) is correct J.B.

RECORDING THE RESPONSES

All answers are to be recorded in the questionnaire using a blue ball point pen.

Many interviewer errors occur when recording responses. Take your time. Be careful and always take a moment to recheck your work. If necessary, do not hesitate to ask a respondent to repeat an answer. This will help you to get an accurate answer and will also let the respondent know that you are interested in recording his/her answer completely and accurately.

If you have probed to the fullest and the answer still seems unclear, note all your comments in the margin and discuss it later with your supervisor for resolution. For questions that require you to write in answers rather than circling precoded response categories, record these answers in the respondent's own words. Do not paraphrase or summarize in one word.

If the respondent gives you an answer which requires some mathematical calculations, try to work it out at that time, if possible, and check the answer with the respondent. If this is not possible, calculate it when you edit the interview.

"Don't Know" responses should always be probed by letting the respondent know that we need his/her opinion, that there are no right or wrong answers, or, if applicable, that a best guess or estimate would be alright. If an estimate is given, write an "est." by the answer, e.g.,

Est. [4][2] HOURS

If a respondent really doesn't know, and cannot give an estimate put a DK next to the provided answer space.

or YES 1

NO 0

DK

If a respondent refuses to answer a specific question and your probing cannot elicit a response, enter an "RF" next to the provided answer space. [ ][ ] , [ ][ ][ ]

RF

QUALITY CONTROL

"Quality Control" includes all of the steps which are taken to insure that the data which are recorded during the interview are of the highest quality possible. During this survey, quality control will take three main forms:

1. Direct observation of interviewers by supervisors during the interviews.

2. Monitoring of interviews - Supervisors will have "call directors' which enable them to listen in on interviews in progress. The purpose of monitoring is twofold:

   a). It serves as a verification that the interview has indeed taken place. (This is standard procedure for all MPR surveys - for non-monitored surveys, it involves calling back a percentage of the respondents and re-asking some of the questions in the interview).

   b). It serves as a training device, enabling the supervisor to spot incorrect interviewing techniques so that they can be corrected.

   While the supervisor is monitoring, he/she will be making notes in a questionnaire booklet, as well as recording answers. After the interview, the supervisor will check the answers in his/her booklet with you and review the results of his/her observations with you.

3. Editing (QC) - The first person to edit your questionnaire will be you yourself, as soon as you have finished an interview. There is also a standard editing process which takes place after you turn in your completed questionnaires.

QCers will check to make sure all answers have been recorded properly and all skips correctly made. A quality control problem sheet will be filled out for all errors and ambiguities and returned to the interviewer.

If you receive one of your completed questionnaires back from QC, correct the problems if you can, or ask your supervisor for assistance.

Q.C. PROBLEM SHEET

ID# 12345-678-9 Int'r Mary QC'er: Anne

Date 10/26/80

Q #	STATEMENT OF PROBLEM	INTERVIEWER COMMENTS CHECK (✓) WHEN CORRECTION IS MADE
24	No skips to Q. 28. You have answered 25-27. Which is correct?	
33	Job description is not specific enough to code. Please get more detailed information	

RESPONSIBILITIES OF PROJECT STAFF: CONFIDENTIALITY

One of the most important duties of project staff (and all MPR employees) is to protect the confidentiality of data gathered during surveys. The responsibility starts with interviewers, but project directors, principal investigators and senior company officials are just as involved. We at MPR, like most others in the research community feel strongly about the right to confidentiality of those who participate in our studies.

MPR has a legal and moral obligation to assure respondents that both the names and any information gathered about individuals will be kept in the strictest confidence, will be used only for the purposes of this study, and will never be released in a form where individuals could be identified. MPR is a national leader in the development of protections for confidentiality. MPR has its own Institutional Review Board which assures that appropriate protections are taken in each of our studies. In addition, we are under strict contractual obligations to the Department of Labor to provide such protections.

The principles guiding our confidentiality procedures and the elements of the system implementing those principles are described below. Knowledge about the confidentiality safeguards we employ should help you to alleviate participants' concerns about privacy.

1. Restrict Access to the Data. Data on individuals are not made available to anyone outside the immediate research project. Within the research effort, access to all data is limited to those who must

have it; safeguards exist that protect these restrictions. In particular, the identifying information is limited to those whose administrative role demands it and only for the period of time they need it.

2. Raw Data. (Original information as recorded, for example, by interviewers.) Information is kept in its most vulnerable form (raw data) for the shortest amount of time possible.

3. Key Elements of the System of Protection

   a. Separation of identifying information from the questionnaire immediately after editing.

   b. Rapid movement of all completed questionnaires to Data Processing with a minimum of delay.

   c. Physical safeguards to protect data and prevent unauthorized access to the data files.

   d. Rapid conversion of data to machine form (for example, computer tape) and entry into the research data base where confidentiality can be securely protected.

   e. Limited access to research records and other individual information by all employees.

   f. A confidentiality pledge signed by all employees to emphasize the importance of confidentiality and to affirm that you accept your legal responsibility to protect confidentiality.

By following these guidelines we can all be sure that no confidential information is improperly used.

Assignments and Work Procedures

Each shift, you will be assigned a number of contact sheets containing the names of respondents you are to attempt to interview. At each desk or "carrel," there are bins marked with the same statuses as on your contact sheet. As you make attempts, you should place the result of each attempt (contact sheet plus questionnaire if done) in the appropriate bin. When you complete an interview, the contact sheet should be attached to the first page of the questionnaire in the upper left hand corner with a staple.

At the end of each shift, you should:

1) Fill out your time sheet (see example on page ___).

2) Fill out the Interviewer Daily Tally Sheet (see example on page ___).

At the end of each week you should:

1) Hand in your time sheet.

2) Total all entries on your tally sheet for the week.

Interviewers should not sign themselves out more contact sheets without permission of the supervisor. The number of contact sheets to be attempted each month is dependent upon the response rate, and will be determined by the survey manager; we do not expect to be attempting to contact every respondent for whom a label has been produced.

Interviewer Hours

Most interviewing will be done 6-10 week nights, Saturdays between 10 and 6, and Sundays between 2 and 10. In addition, a QCer will be available to handle daytime callbacks. Your individual schedule will be worked out with your supervisor.

If you ever work a full day, remember that MPR does not pay for lunch breaks; if you worked 9-5 with an hour out for lunch, this would be 7 hours on your time sheet. If you do work all day, you must take at least a half hour unpaid break; you can't put together unused break times and call it lunch. Also, do not work more than 8 hours in one day; our budget does not include overtime for interviewers.

Interviewers get a 10 minute break during each 4 hour shift and a 15 minute break during each 5 hour shift.

MPRI: 356

357

UNEMPLOYMENT SPELLS CONTACT SHEET

816-776-6710 ← phone number
[redacted] name of respondent
RFD 1 [redacted] address
[redacted] MO [redacted]
ID#: 32610-001-1 10/29/79 BYB date

- 1 = sequential log number
- 0 = month of BYB
- 26 = Missouri, 39 = Pa.
- 1 = short mail, 2 = long mail, 3 = telephone survey

UPDATED PHONE NUMBER

[ ][ ][ ]-[ ][ ][ ][ ]-[ ][ ][ ][ ]

[ ][ ][ ]-[ ][ ][ ][ ]-[ ][ ][ ][ ]

Record of Attempts

	Interviewer	Date	Time	Status	Notes
1.	Lois 6533	10/28	6:30 1AM (2PM)	NA	
2.	6533	10/29	8:15 1AM (2PM)	CB	10/30 After 9AM E.T.
3.	Joey 1393	10-30	8:02 1AM (2PM)	01	
4.			1AM 2PM		
5.			1AM 2PM		
6.			1AM 2PM		
7.			1AM 2PM		
8.			1AM 2PM		
9.			1AM 2PM		

STATUS
1 Complete
2 Refused
3 Could not locate
5 Other - deaf, non-English speaking, institutionalized, etc.
6 Deceased
QC Only:
4 No Contact

NA - No Answer
B - Busy
CB - Callback
NW - Non Working Number

Survey Log _____
QC _____
Coding _____

Contact Sheets

You will fill out one contact sheet for each respondent which you try to contact, whether or not it results in a completed interview. The contact sheet contains a label with the ID number, name, address and telephone number of the potential respondent, as well as the date his/her claim was established (BYB, or Benefit Year Begin Date). It also contains a record of all attempts you make to reach the respondent.

Record of Attempts

You will fill out one line across, each time you attempt to contact a respondent (except in the case of no answer, in which you fill out only one line per shift). For each attempt you should fill out your name, the date, the time, and the result of the attempt, which we call the status.

Below is an explanation of the items to be filled out on the contact sheet:

INTERVIEWER:	Your name, and ID number. You only need write in your name once per sheet, but fill in your number for each attempt.
DATE:	Month, and day, eg. 1/23
TIME:	Use Eastern Time. Circle "1" or "2" for AM or PM.
STATUS:	Use one of the status codes explained below.
NOTES:	Use this space to record appointments, reasons for refusals, and any other relevant information.

STATUS CODES

The following are definitions of status codes to be used:

EXPLANATION OF STATUS CODES

01 COMPLETE: This means you have gone through the whole interview, asking all necessary questions. An interview would be considered complete even if the respondent refused to answer a few questions of the interview, so long as the questions were actually asked.

02 REFUSAL: Use this code if the respondent refused to be interviewed at all, or if the respondent refuses to continue the interview before you have reached the end. Note the reason for the refusal under "notes," and whether another try is advisable.

03 COULD NOT LOCATE: Use this only after you have called Directory Assistance and can get no further information for R's telephone number.

07 OTHER (SPECIFY): Use this code for cases which are so unique that they don't fit into any of the above categories. Explain the situation fully (use more space than the line allows if necessary). Example of "OTHER" categories would be where the respondent was deaf or did not speak English.

NA NO ANSWER: Let the phone ring 10 times before you hang up. Don't try again for another 2 hours, and don't try more than twice in one shift. Record "NA" only once per shift: if you try twice, put the second time under "notes" for that day.

CB CALLBACK: Use this code

1) When you have made an appointment for an interview
2) When you must call back later to try to get an appointment
3) When you have begun the interview and must call back later to complete it.

Please do not put "CB" as a status on your contact sheet without putting down when to call back. If you have asked and the respondent doesn't know when you should call back (which is unlikely), put down that R didn't know.

Also, please distinguish between CB's which are definite appointments to do the interview, and call backs to make an appointment to do the interview (eg. R wasn't in, may be in tomorrow morning).

B BUSY: Try once more right away. If still busy, wait awhile and then try again. If still busy, count this as only one attempt.

General Overview of Questionnaire

The questions to be asked in this interview cover the following general categories:

A) The job held just before the claimant filed for benefits.

B) Job search activities after that job ended, including a number of questions on use of the State Employment Service, also called the Job Service.

C) Collection of unemployment benefits during this first unemployment spell.

D) Jobs-R has had since filing for benefits, and any spells of unemployment between these jobs.

QUESTION BY QUESTION REVIEW

THIS SECTION SHOULD BE READ ALONG WITH AN OPEN COPY OF THE QUESTIONNAIRE.

INTRO TO Q 1.

In reading this question, insert the date on the contact sheet label for BENEFIT YEAR BEGIN DATE. This is the date (also referred to as the BYB date) when the respondent became eligible to receive unemployment benefits about one year ago; e.g., if the date were 11-15-79, you would read, "According to Unemployment Insurance records, you established a claim for unemployment benefits on November 15, 1979."
We want to ask the questions in the first section (Qs 1-6) about the job which the respondent had just before filing for benefits, which made him/her eligible for the benefits.
In rare cases, a respondent may have had a very short job lasting a few days in between the main job he/she lost and filing for benefits. The added probes are given to try to clarify any doubt as to which job we want to ask about; however, they should only be read if R expresses doubt about the last job he/she had before filing.

Q1 A complete description of R's industry and occupation, in this and the following question, is necessary in order that coders have enough information to accurately assign a code to this answer. The following material, taken from the CPS training manual for census interviewers, clarifies the level of detail necessary in answering this question.

Examples of industry responses which need special care in reporting

For some industries, the common titles are inadequate. The following list gives examples of inadequate and adequate entries:

Inadequate	Adequate
Agency	Collection agency, advertising agency, real estate agency, employment agency, travel agency, insurance agency
Aircraft parts Aircraft components	Airplane engine parts factory, propeller manufacturing, electronic instruments factory, wholesale aircraft parts, etc.

Auto or Automobile parts Auto or Automobile components	Auto clutch manufacturing, wholesale auto accessories, automobile tire manufacturing, retail sales and installation of mufflers, battery factory, etc.
Bakery	Bakery plant (makes and sells to wholesalers, retail stores, restaurants, or home delivery), wholesale bakery (buys from manufacturer and sells to grocers, restaurants, hotels, etc.), retail bakery (sells only on premises to private individuals but may bake its own goods on premises)
Box factory	Paper box factory, wooden box factory, metal box factory
City or City Government	City Street Repair Department, City Board of Health, City Board of Education
Club, private	Golf club, fraternal club, night club, residence club
Coal company	Coal mine, retail coal yard, wholesale coal
County or County Government	See "City" above
Credit company	Credit rating bureau, loan company, credit clothing company
Dairy	Dairy farm, dairy depot, dairy bar, wholesale dairy products, retail dairy products, dairy products manufacturing
Discount House Discount Store	Retail drug store, retail electrical appliances, retail general merchandise, retail clothing store, etc.
Electrical Components Mfg. Electrical Parts Mfg. Electronic Components Mfg. Electronic Parts Mfg.	Electronic tube factory, memory core manufacturing, transistor factory, mfg. tape readers, etc.
Engineering company	Civil engineering consultants, general contracting, wholesale heating equipment, construction machinery factory
Express company	Motor freight, railway express agency, railroad car rental (for Union Tank Car Co., etc.), armored car service

Factory, mill, or plant	Steel rolling mill, hardware factory, aircraft factory, flour mill, hoisery mill, commercial printing plant, cotton textiles mill
Foundry	Iron foundry, brass foundry, aluminum foundry
Freight Company	Motor freight, air freight, railway, water transportation, etc.
Fur company	Fur dressing plant, fur garment factory, retail fur store, wholesale fur, fur repair shop
Laundry	a. Own home laundry (for a person doing laundry for pay in her 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 laundry (for a person working in an establishment where the customer brings her 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
Manufacturer's Agent Manufacturer's Representative	Specify product being sold, such as jewelry manufacturer's representative, lumber manufacturer's agent, electric appliance manufacturer's representative, chemical manufacturer's agent, etc.
Mine	Coal mine, gold mine, bauxite mine, iron mine, copper mine, lead mine, marble quarry, sand and gravel pit
Nylon factory	Nylon chemical factory (where chemicals are made into fibers); nylon textile mill (where fibers are made into yarn or woven into cloth); women's nylon hosiery factory (where yarn is made into hosiery)
Office	Dentist's office, physician's office, public stenographer's office

Inadequate	Adequate
Oil company Oil industry Oil plant	Oil drilling, petroleum refinery, retail gasoline station, petroleum pipeline, wholesale oil distributor, retail fuel oil
Packing house	Meat packing plant, fruit cannery, fruit packing shed (wholesale packers and shippers)
Pipeline	Natural gas pipeline, gasoline pipeline, petroleum pipeline, pipeline construction
Plastic factory	Plastic materials factory (where plastic materials are made), plastic products plant (where articles are actually manufactured from plastic materials)
Public utility	Electric light and power utility, gas utility, telephone company, water supply utility. If the company provides more than one service, specify the services; such as gas and electric utility, electric and water utility.
Railroad car 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
Research	a. Permanent-press dresses (product of the company for which research is done, when the company or organization does research for its own use), Brandeis University (name of university at which research is done for its own use), St. Elizabeth's Hospital (name of hospital at which medical research is done for its own use)

Inadequate	Adequate
Research	b. Commercial research (if research is the main service which the company sells, and the research is done under contract to another company) c. National Geographic, Cancer Association, Brookings Institution (name of the nonprofit organization)
School	City elementary school, private kindergarten, private college, State university. Distinguish between public and private, including parochial, and identify the highest level of instruction provided, such as junior college, senior high school.
Tailor shop	Dry cleaning shop (provides valet service), custom tailor shop (makes clothes to customer's order), men's retail clothing store
Terminal	Bus terminal, railroad terminal, boat terminal, airport
Textile mill	Cotton cloth mill, woolen cloth mill, cotton yarn mill, nylon thread mill
Transportation company	Motor trucking, moving and storage, water transportation, air transportation, air line, taxicab service, subway, elevated railway, railroad, petroleum pipeline, car loading service.
Water company	Water supply, irrigation system, water filtration plant
Well	Oil drilling, oil well, salt well, water well

Q2 Here we want not just the person's job title, but also a description of duties. Below is a list of inadequate and adequate examples taken from the census training manual:

	Inadequate	Adequate
. Occupations for which special care is necessary	Accounting Accounting Work	Certified public accountant, accountant, accounting machine operator, tax auditor, accounts-payable clerk, etc.
	Adjuster	Brake adjuster, machine adjuster, merchandise complaint adjuster, insurance adjuster
	Agent	Freight agent, insurance agent, sales agent, advertising agent, purchasing agent
	Analyst Analyzer	Cement analyst, food analyst, budget analyst, computer-systems analyst, etc.
	Caretaker or custodian	Servant, janitor, guard, building superintendent, gardener, groundskeeper, sexton, property clerk, locker attendant
	Claim Examiner Claim Investigator Claims Adjuster Claims Analyst Claims Authorizer	Unemployment benefits claims taker, insurance adjuster, right-of-way claims agent, merchandise complaint adjuster, etc.
	Clerical work Clerk Clerical	Stock clerk, shipping clerk, sales clerk. A person who sells goods in a store is a <u>salesman</u> or <u>sales clerk</u>--do not report them merely as a clerk.
	Data processing	Computer programmer, data typist, key punch operator, computer operator, coding clerk, card tape converter operator
	Doctor	Physician, dentist, veterinarian, osteopath, chiropractor
	Engineer	Civil engineer, locomotive engineer, mechanical engineer, stationary engineer, aeronautical engineer
	Entertainer	Singer, dancer, acrobat, musician

Equipment operator	Road grader operator, bulldozer operator, trencher operator
Factory worker	Electric motor assembler, forge heater, turret lathe operator, weaver, loom fixer, knitter, stitcher, punch-press operator, spray painter, riveter
Fireman	Locomotive fireman, city fireman (city fire department), fire fighter, stationary fireman, fire boss
Foreman	Specify the craft or activity involved, as foreman carpenter, foreman truck driver.
Graphic Arts	Illustrator, commercial artist, poster artist, art lay-out man, etc.
Group Leader	Group leader on assembly line, harvest crew boss, clerical group leader, labor gang leader, recreation group leader, etc.
Heavy Equipment Operator	Specify 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.
IBM Clerk IBM Machine Operator IBM Operator	IBM card puncher, IBM tabulator, sorting machine operator, proof machine operator, etc.
Interior Decorator	Be sure the entries n differentiate between the interior decorator who plans and designs interiors for homes, hotels, etc., and those who are painting, paperhanging, etc.
Office clerk Office worker Office work	Typist, secretary, receptionist, comptometer operator, file clerk, bookkeeper, physician's attendant
Program Analyst	Computing-systems analyst, procedure analyst, vocational director, manufacturing liason planner, etc.
Program Specialist	Program scheduler, data-processing-systems supervisor, metal-flow coordinator, etc.
Programmer	Computer programmer, electronics data programmer, radio or TV program director, senior computer programmer, production planner, etc.

Inadequate	Adequate
Research Research and Development Research and Testing Research Assistant Research Associate Research Specialist Research Work	Specify field of research, as research physicist, research chemist, research mathematician, research biologist, etc. Also, if associate or assistant, research associate chemist, assistant research physicist, research associate geologist, etc.
Salesman	Advertising salesman, insurance salesman, bond salesman, canvasser, driver-salesman (routemen), fruit peddler, newsboy
Scientist	Specify field, for example, political scientist, physicist, sociologist, home economist, oceanographer, soil scientist, etc.
Specialist	If the word specialist is reported as part of a job title, be sure to include a brief description of the actual duties [illegible]. For example, for a "transportation specialist" the actual duties might be any one of the following: "Gives cost estimates of trips," "plans trips or tours," "conducts tours," schedules trains," or "does economic analysis of transportation industry."
Shipping department	What does the worker himself do? Shipping and receiving clerk, crater, order picker, typist, wraps parcels, etc.
Supervisor	Typing supervisor, chief bookkeeper, steward, kitchen supervisor, buyer, cutting and sewing forelady, sales instructor, route foreman
Systems Analyst Systems Specialist	Computing-systems analyst, contract coordinator-mfg., production planner, etc.
Teacher	Teachers should report the level of school they teach and the subject. Those below high school who teach many subjects may just report level. College teachers should report title. Following are some illustrations:

Level	Subject
Preschool	-
Kindergarten	-
Elementary	-
Elementary	Music
Junior High	English
High School	Physical Ed.
College	Mathematics (Professor)

Inadequate	Adequate
Technician	Medical laboratory technician, dental laboratory technician, X-ray technician
Tester	Cement tester, instrument tester, engine tester, battery tester
Trucker	Truck driver, trucking contractor, electric trucker, hand trucker

Q3 A common problem will be that R will not remember the day. Try to probe for beginning, middle or end of the month and note it in the margin. If R still doesn't know, code DK for "day."

eg.

11 / DK / 79
MONTH DAY YEAR

Q4 We ask for weekly earnings to allow R to answer in terms of month or year if that is easier; make sure to circle the code for week, month, or year. Be sure to fill in only one of the 3 possibilities. If R worked only for room and board, or something else that he/she can't put a monetary figure on, circle "NA" for "in kind only." If respondent gives a beginning and ending salary, use the salary he/she earned at the end of the job.

Q6 If R doesn't know the exact day, probe for beginning, middle or end of the month and note it in the margin.

Q7 Here we are asking about the period of time between the end of the job you just asked about, and the time respondent either got another job (or the same job again) or stopped looking for work. If the person took a vacation or had a period of illness first and then looked for a job, we would still want to know about it, even though he/she didn't start looking as soon as the job ended.

Q8 Count the number of weeks during which R was both available and actively looking, from the end of the job just described until he/she either was reemployed, or gave up looking.

Q10 Make sure to circle 1 or 2 after reading each way of looking for work.

Qs11-20

This section asks questions on the respondent's experiences with the State Employment Service or Job Service. Different states have different names for this, and you should say the correct name for it depending on what state you are calling. In Missouri it is called the Job Service.

Q11 Circle 1 for yes if "1" was circled for the first item in Q10.

Q12 Do not read the answer categories.
More than one answer is permissible for this question (note the "1"'s to be circled; these indicate you can circle all that apply).
Note the skip to Q21 for everyone who gets to this question.

Qs13,14 In some states people are required to go to the Employment Service in order to qualify for benefits. For these people, we want to find out whether the main reason they went was to meet this requirement, or to get help in their job search.

In Q14, if R answers "both," circle "i."

Qs17,18 If R says yes, ask how many. Then put this number in the boxes.

In Q17, if an employer or agent stood outside the Job Service office handing out applications, this would not be considered a referral. If respondent viewed lists of possible employers, make note of this, and code the answer as 99.

Q21 The period to which we are referring here is the time between the end of the pre-UI job (the one described on p.1) and the time when R either was reemployed, or stopped looking for a job. Either of these situations will define the end of the first unemployment spell we are studying. A person can be "still looking" even though he/she currently has a job.

Q22 Count "self employed" as "reemployed."
Count pregnancy as "physical disability."
Count retired as "other."

Q23 Code as many answers as are given. Do not read the categories.
Count "self employed" as "new job to start."
Count "pregnancy" as "physical disability."

Keep "other" entries to a minimum. Probing for clearly defined and complete responses will often aid you in classifying a vague answer correctly into one of the provided categories. Classify reasons in existing categories whenever possible. For example, classify an entry of "couldn't find anybody to care for the baby" as "CAN'T ARRANGE FOR CHILD CARE." Code entries of "Feels she needs refresher course in training" and "New machines and methods left her out" as "LACKS NECESSARY SCHOOLING, TRAINING, SKILLS OR EXPERIENCE." Classify a response of "Husband wouldn't let her" as "FAMILY RESPONSIBILITIES."

Examples of acceptable entries in the "Other" categories are "Transportation problem," "Vacationing," "out-of-town," "Moving," "Waiting for work permit," "Waiting for someone to take him to look--new in area," "He's too young, father wouldn't let him," "Work would cut pension."

Q26 If R tells you about TRA money, include this along with UI: do not count SUB (union benefits).

Q27 DISQUALIFIED: Be sure to distinguish between this option and "BENEFITS EXHAUSTED," which means R collected for as many weeks as was allowable under that claim. A person would be disqualified if, for example, his benefits were discontinued because he had not met the requirement of looking for a job.

If R says he/she stopped collecting because he/she started school, probe to find out whether R stopped voluntarily, or whether he/she was told he couldn't get benefits because of going to school (the latter case would be "disqualified").

Q28 You may know from R's comments on previous questions that R has worked since claiming benefits a year ago. If this is the case, circle "1" without asking the question. If you have any doubt, ask the question.

Q29 This question introduces the last section of the questionnaire, which gets information on the jobs R has had since the BYB date, and any spells of unemployment in between these jobs. We will be asking about up to 3 jobs: the first 2 jobs since the BYB date, and the 3rd job or the most recent job if the respondent has had more than 3 jobs.

Don't worry about spelling on this question; we get the name of the employers here only so that you have some way of referring to each particular employer when you get to the grid on the following page.

IMPORTANT: If a person worked more than once for any one employer, with a week or more of unpaid time in between, these times will be listed as separate jobs in Q29.

For example, suppose R says she worked for Sears from Dec. 15, 1979 to Feb. 1, 1980 and again from March 1, 1980 to June 1, 1980. She then worked for Woolworth's from June 10 to Aug. 5, and on September 1st started again at Sears where she still is. These jobs would be recorded as follows:

3	Sears	9/1/80	10/27/80
	Woolworth's	6/10/80	8/5/80
1	Sears	12/15/79	2/1/80
2	Sears	3/1/80	6/1/80

In this question, the jobs don't have to be written down in any particular order; you will be ordering them after the respondent has told you about all of them. As you see, the Woolworth's job was written down as R mentioned it, but it was not given a number because it was the 3rd of 4 jobs, and we are only going to ask about the first two and the most recent.

Q30 When you get to this question, you should copy the dates from question 29 across the top of the columns on the grid, making sure that the dates correspond to the same job numbers you assigned in Q29. You will then be asking Qs 31-42 down for each job before going back to Q30 for the next job, if any.

Q32,33 If in Job #2 or 3, R worked for the same company as mentioned in a previous column, you can put down, e.g., "same as job 1." Don't assume, however, that just because a person worked at the same place, that it was on the same job; she may have been an interviewer then, but a survey manager now.

Q34 Count "self employed" or "school referral" as "other." Count transfer to another division in the same company as "recall by former employer."

Q36 Circle the code for week, month, or year.

If R was self employed and says he/she broke even, probe to find out the amount taken from the business for living expenses.

Q38 If R was looking less than one week, code "i."

Interviewer Daily Tally Sheet

Interviewer ID# 1390 Name Carol Wolff

Date	# Assigned	1 Complete	2 Rf	3 NL	5,6 Other F.S.	Tried, No F.S.	Not Tried		Hours Worked
11/10	40	7	1	3	1	15	13		4
11/11	35	6	0	2	0	11	16		3 1/4
11/13	32	7	2	1	1	1	20		3 1/2
11/14	30	8	1	4	0	15	2		4
TOTALS 11/10-14		28	4	10	2	42			14 3/4

MATHEMATICA POLICY RESEARCH
SURVEY DIVISION

INTERVIEWER TIME SHEET

Project Title: UNEMPLOYMENT SPELLS
Interviewer's Name: [illegible]
Interviewer's #
Site Location:
Project No. 7312 Task No. 1.5

11 MONTH 14 DAY .19 90 YEAR

	DATE MO	DAY	TIME (TO NEAREST 1/2 HOUR) REG HRS.	OVERTIME	DOUBLETIME	SICK	VACATION	HOLIDAY	TOTAL HRS	MILES DRIVEN
MON	11	10	4						4	
TUE	11	11	3 1/4						3 1/4	
WED										
THUR	11	13	3 1/2						3 1/2	
FRI	11	14	4						4	
SAT										
SUN										
TOTAL			14 3/4						14 3/4	

EXPENSES DESCRIPTION	AMOUNT
EXPENSES	
Total Miles X $.185	
TOTAL EXPENSES	

The above is an accurate report of my time, expenses and completed work.

[illegible] (Interviewer's Signature) 11/14/90 (Date)

(Supervisor's Signature) (Date)

(Site Administrator's Signature) (Date)

Dear Sir/Madam:

The United States Department of Labor has asked us to conduct a study to find out more about what happens to people who have filed for unemployment insurance benefits. We will be calling you within the next few weeks to ask for your help in completing this study.

The study is being conducted under Section 906 of the Social Security Act which directs the Secretary of Labor to establish a program of research to evaluate the Federal-State unemployment compensation system.

Your name has been randomly selected from a list of people who filed claims for unemployment benefits in your state about a year ago. Under the Privacy Act of 1974, the information you give us is voluntary, and will not affect any of your past or future rights to benefits in any way. All of the information you give us will be confidential and will not be identified with your name. The information will be used only for research and the study report will be in statistical form only.

The interview will take about 15 or 20 minutes, and will be done by telephone at your convenience. If by chance we should happen to call at an inconvenient time, please tell the interviewer and he or she will be glad to call back later.

The results of this study will be used to help improve the unemployment insurance program in the future. For the study to include a wide range of views and experiences, it is very important that each person selected actually be interviewed.

Thank you very much for your assistance.

Sincerely,

LB/ge