STATE OF NORTH DAKOTA

DEPARTMENT OF HEALTH
Administrative Support Section
600 East Boulevard Avenue – Dept. 301
Bismarck, ND   58505-0200

Request For Proposal (RFP)

RFP Title: North Dakota Adult Tobacco Survey

RFP Number: 301-457-09-01
Date of Issue: September 15, 2008

Purpose of RFP: The North Dakota Department of Health, Division of Tobacco Prevention and Control is requesting proposals for conducting the Adult Tobacco Survey in North Dakota. The successful bidder will administer the Adult Tobacco Survey in North Dakota for the State's Tobacco Prevention and Control Program.

Offerors are not required to return this form.

Procurement Officer:
Karen Haas
Administrative Support Section - Accounting
North Dakota Department of Health
600 East Boulevard Avenue – Dept 301
Bismarck, ND   58505-0200
Phone: 701.328.3325
Fax: 701.328.4727
E-Mail: khaas@nd.gov

TABLE OF CONTENTS

B. Project Activities and Deliverables for Data Collection Vendor
C. Disposition Codes, Calling Rules, and Response Rate
D. Data Layout for ATS Sample Records
E. Data Layout for File of Completes and Incompletes/Final Copy of 2008 North Dakota Adult Tobacco Survey
F. Data Layout for File of Call Attempts
G. Data Layout for Verbatim File
H. Data Layout for Interviewer File

SECTION ONE
INTRODUCTION AND INSTRUCTIONS

1.01 Purpose of the RFP

The North Dakota Department of Health, Division of Tobacco Prevention and Control, hereafter known as the purchasing agency, is soliciting proposals for conducting the Adult Tobacco Survey (ATS) in North Dakota. The successful offeror will conduct the ATS in North Dakota and submit the results to the State's Division of Tobacco Prevention and Control.

1.02 Contact Person, Telephone, Fax, E-mail

PROCUREMENT OFFICER:	Karen Haas
PHONE:	701.328.3325
FAX:	701.328.4727
TTY Users call:	7-1-1
E-MAIL:	khaas@nd.gov

The procurement officer is the point of contact for this RFP. All vendor communications regarding this RFP must be directed to the procurement officer. Unauthorized contact regarding the RFP with other State employees of the purchasing agency may result in the vendor being disqualified, and the vendor may also be suspended or disbarred from the state bidders list.

1.03 RFP Schedule

This schedule of events represents the State's best estimate of the schedule that will be followed for this RFP. If a component of this schedule, such as the deadline for receipt of proposals, is delayed, the rest of the schedule will be shifted by the same number of days.
The approximate RFP schedule is as follows:

- RFP Issued: September 15, 2008
- Deadline for receipt of questions and objections related to the RFP: September 22, 2008
- RFP Due Date: October 8, 2008
- Proposal Evaluation Committee evaluation completed by approximately: October 17, 2008
- State issues Notice of Intent to Award a Contract approximately**:** October 20, 2008
- State issues contract approximately: October 27, 2008
- Contract start: November 3, 2008

1.04 Return Mailing Address and Deadline for Receipt of Proposals.

Offerors must submit five unbound, unstapled copies and one electronic copy on disk or CD in a sealed envelope or package.

Envelopes or packages containing proposals must be clearly addressed as described below to ensure proper delivery and to avoid being opened by the State before the deadline for receipt. Envelopes or packages must be addressed as follows:

Proposals must be received by the purchasing agency at the location specified no later than **5:00P.M., CENTRAL** Time on October 8, 2008. Proposals will not be publicly read at the opening.

Proposals may not be delivered orally, by facsimile transmission, by other telecommunication or electronic means.

Offerors assume the risk of the method of dispatch chosen. The State of North Dakota ("State") assumes no responsibility for delays caused by any delivery service. Postmarking by the due date will not substitute for actual proposal receipt by the State. An offeror's failure to submit its proposal prior to the deadline will cause the proposal to be rejected. Late proposals or amendments will not be opened or accepted for evaluation.

1.05 Assistance to Offerors with a Disability

Offerors with a disability that need an accommodation should contact the procurement officer prior to the deadline for receipt of proposals so that reasonable accommodation can be made.

1.06 Deadline for Receipt of Questions and Objections

Offerors must carefully review this solicitation, the contract, and all attachments for defects, questionable, or objectionable material. All questions must be in writing and directed to the purchasing agency, addressed to the procurement officer, and cite the subject RFP number. The procurement officer must receive these written requests by the deadline specified in the RFP Schedule of Events to allow issuance of any necessary amendments.

This will also help prevent the opening of a defective solicitation and exposure of offeror's proposals upon which an award could not be made. Protests based on the content of the solicitation will be disallowed if these faults have not been brought to the attention of the procurement officer, in writing, before the time indicated in the Schedule of Events.

If the question may be answered by directing the questioner to a specific section of the RFP, then the procurement officer may answer the question over the telephone. Other questions may be more complex and may require a written amendment to the RFP. The procurement officer will make this determination. Oral communications are considered unofficial and non-binding on the State. The offeror must confirm telephone conversations in writing.

1.07 APPROVED VENDOR REQUIREMENT WAIVED

APPROVED VENDOR REQUIREMENT WAIVED

Proposals will be accepted from vendors that are not currently approved vendors on the State's bidders list. The successful offeror will not be required to register as an approved vendor; however, the vendor will be required to complete a vendor application to receive payment and provide a W-9, if a 1099 reportable service is being provided.

For information about vendor registration, visit the State Procurement Office Vendor Registry website at: http://www.nd.gov/spo/vendor/registry/ or call 701-328-2773.

The Procurement Vendor Database, registration instructions and forms are available on-line at: http://www.nd.gov/spo/vendor/registry/. Contact the Vendor Registry Office at 701-328-2773 or infospo@nd.gov for assistance.

1.08 Pre-proposal Conference

No pre-proposal conference will be held for this RFP. Offerors are advised to carefully review the RFP and all attachments and submit all questions to the procurement officer by the deadline indicated for submission of questions in the schedule of events.

1.09 Amendments to the RFP

If an amendment to this RFP is issued, it will be provided to all offerors that were mailed a copy of the RFP and to those that have requested a copy of the RFP from the procurement officer.

1.10 News Releases

News releases related to this RFP will not be made without prior approval of the procurement officer or project manager designated by the purchasing agency.

SECTION TWO
BACKGROUND INFORMATION

2.01 Background Information

State[1] tobacco control efforts started in California in 1989 as a result of the passage in the previous year of Proposition 99, which raised the state excise tax and earmarked 20% of the new revenue for tobacco control programs. In 1991, the National Cancer Institute and the American Cancer Society, through American Stop Smoking Intervention Study for Cancer Prevention (ASSIST) grants, funded 17 States to start tobacco control programs focused on cancer prevention. In 1993, the Office on Smoking and Health (OSH) started funding tobacco control programs in the remaining 34 States. By 1996, every State had instituted a tobacco control program. These programs included efforts to reduce tobacco use, to point out the dangers of exposure to second-hand smoke, and to encourage health professionals to identify smokers and advise them to stop smoking. Many of these programs also included the use of media to make the public more aware of the dangers of tobacco use and the available assistance for quitting.

At the same time that tobacco control programs expanded, there was a nation-wide movement in public health toward the establishment of specific and measurable public health objectives. An important part of this effort was the creation of 2000 and 2010 objectives.[2] For example, *Healthy People 2010* specifies 21 tobacco control objectives regarding tobacco use, cessation and treatment, exposure to secondhand smoke, and social and environmental changes. Many of these objectives have several more specific objectives. In addition, OSH has developed a process to help States adopt more specific measurable objectives for individual public health programs.[3]

The confluence of these trends resulted in a focus on the evaluation of public health programs in general and tobacco control programs in particular. Once a program has measurable goals, then a next step is to measure progress towards those goals.

More recently, because of state budget crises, tobacco control programs have contracted or faced the prospect of contraction. The necessity or threat of contraction makes it even more important to evaluate the impact of specific programs. Evaluation data can help both to justify the continued existence of effective programs and to identify less effective programs that could more readily be cut. The most appropriate research design for program evaluation is a sample survey of the target population. Only a survey (or a census) can provide accurate estimates of population values.

The Behavioral Risk Factor Surveillance System (BRFSS) survey can provide state-level data on adult tobacco use. The BRFSS survey contains required questions to determine cigarette smoking prevalence and optional questions on cigarette smoking initiation and cessation, exposure to second-hand smoke, and use of other tobacco products. But, because it contains questions about many other topics besides smoking, it cannot include enough tobacco-related questions to provide detailed information on the full range of tobacco control topics, such as program effectiveness or public knowledge, attitudes, and behavior with respect to tobacco use.

OSH and the National Cancer Institute co-sponsored an Adult Tobacco Supplement to the Current Population Survey in 1999 and 2002. But the supplement is fielded only every three years on a schedule determined by the Census Bureau and the Bureau of Labor Statistics and there is no capability of including questions that would address programs and issues specific to individual states. Individual states, most

---

[1] In this section , "State" refers to the fifty states and the District of Columbia. In other contexts, "State" may also include territories and other jurisdictions of the United States.
[2] U.S. Department of Health and Human Services. *Healthy People 2010:* 2nd ed. *With Understanding and Improving Health and Objectives for Improving Health.* 2 vols. Washington, DC: U.S. Government Printing Office; 2000. Available from: URL: www.health.gov/healthypeople
[3] MacDonald G, Starr G, Schooley M, Yee SL, Klimowski K, Turner K. Introduction to Program Evaluation for Comprehensive Tobacco Control Programs. Atlanta (GA): Centers for Disease Control and Prevention; 2001.

notably California, have developed and fielded their own surveys. Mississippi has developed a comprehensive tobacco survey, the Social Climate survey, which other States have adopted. The surveys, however, differ significantly in content and methodology so that comparability among them is lacking.

Comparable data allow a state to compare their findings with findings from similar states. Such comparisons make it easier for States to identify topics or issues on which they need to focus more attention and topics or issues on which they stand relatively well. One aspect of comparability is the use of questions identical to those used in other states. Another aspect is the use of identical methodological procedures, for example, the rules that specify how often and when telephone numbers should be called under varying circumstances.

Finally, adherence to survey designs and methodological practices that produce highly credible data provide a solid scientific foundation for tobacco control policies. Data produced on behalf of government entities are appropriately subject to close public scrutiny, especially from opponents of policies that might be supported by such data. Sound survey designs and methodological practices attempt to minimize sampling and non-sampling survey error within reasonable cost constraints.

In short, there is a need for comprehensive and detailed state-based adult tobacco surveys that are responsive to the needs of individual states and produce high-quality data that are comparable among states. To meet this need, the OSH has developed recommended questions and methodological guidelines for state adult tobacco surveys. These questions and guidelines increase data comparability and data quality. At the same time, States can add questions that are specific to their own concerns and programs and can field the survey at times of their own choosing. These abilities provide the flexibility needed to address programs and issues specific to individual states.

2.02 Budget

All proposals meeting submission requirements will be considered. At this time a budget has not yet been determined as the Division of Tobacco Prevention and Control is reviewing each proposal that is submitted. The anticipated budget period is November 1, 2008 through June 30, 2009.

SECTION THREE
SCOPE OF WORK

3.01 Scope of Work

Overview

The purpose of this request for proposal (RFP) is to solicit applications to conduct telephone interviews and collect data for the 2008 North Dakota Adult Tobacco Survey (ATS), a survey that tracks adult tobacco use behavior, knowledge, and attitudes. The study sample and CATI-programmed questionnaire (using WinCATI) will be provided by the North Dakota Tobacco Prevention and Control Program (TPCP). The overall intent of this RFP is to advance the use of scientific and innovative sampling and research methodologies in fulfillment of the surveillance and planning needs of tobacco prevention efforts among adult North Dakotans and as part of a comprehensive evaluation effort of the North Dakota TPCP. This study will supplement the TPCP's existing adult tobacco surveillance activities which currently consist of the annually conducted Behavioral Risk Factor Surveillance System (BRFSS) and its tobacco-specific modules.

Please see the following Appendices in Section 9 of this RFP for more detailed information concerning the scope of work and include cost estimates for 1,200, 1,500 and 1,800 completed surveys in your proposal.

A. Requested Information and Evaluation Criteria in Request for Proposal
B. Project Activities and Deliverables for Data Collection Vendor
C. Disposition Codes, Calling Rules, and Response Rate
D. Data Layout for ATS Sample Records
E. Data Layout for File of Completes and Incompletes/Final Copy of 2008 North Dakota Adult Tobacco Survey
F. Data Layout for File of Call Attempts
G. Data Layout for Verbatim File
H. Data Layout for Interviewer File

Contractor-Furnished Property

The contractor will provide the facilities and equipment needed to complete the survey.

The contractor will describe the call center facilities and equipment, including the number of calling stations, the telephone system, and the computer equipment and software available for the survey.

Contractor must have the capability to use WinCATI.

3.02 Location of Work

State will not provide workspace for the contractor.

3.03 Prior Experience

The contractor must have experience conducting surveys similar to the State's adult tobacco survey.

The contractor must describe experience conducting stratified random-digit dialed telephone surveys with calling rules and sample management requirements similar to the survey in the request for proposal (RFP). The vendor should list similar completed or current (especially, government) surveys, providing a brief description of the sampling frame and design, calling rules, sample management requirements, the field period, the response rate and how it was calculated, and the number of completes.

3.04 Federal Requirements

At the time specified by the deadline for submission of proposals, the offeror must have and keep current any professional licenses and permits required by federal, state, and local laws for performance of this contract. Offerors that do not possess required licenses at the time proposals are due will be determined non-responsive.

3.05 Deliverables

The State requires the following deliverables:

- Final work plan including a specific timeline for the delivery of all data collection tasks within five days of the effective date of the contract.
- Weekly progress reports containing descriptions of any problems encountered, response rate, and completes by geographic strata, sex, age, and race. Also, once data collection has begun, this report will include a frequency table of the current interim or final disposition codes for all records (using the disposition codes specified in Appendix C). These reports should provide a discussion of monthly survey efficiency with recommendations and plans for improvement.
- Monthly submission of completed interview data in a clean, edited dataset within two weeks of the end of the month.
- Monthly invoice for services performed including itemization of personnel and other costs.
- Within one month of the end of data collection, the vendor will provide to the State Health Department a written final report on data collection. At a minimum, the report will include the same information contained in the weekly progress reports and a frequency table of final disposition codes for all records with a calculation of the final response rate. The response rate shall be defined as the number of records receiving disposition codes 110 and 120 divided by the number of records receiving disposition codes 110 through 355 and 371.

SECTION FOUR
GENERAL CONTRACT INFORMATION

4.01 Contract Term, Extension and Renewal Options

The State intends to enter into a contract period with an effective date beginning November 1, 2008 and ending June 30, 2009.

4.02 Type of Contract

This is a firm fixed price contract.

4.03 Standard Contract Provisions

The successful offeror will be required to sign and submit the contract attached to this RFP (Attachment 8.01A). The contractor must comply with the contract provisions set out in this attachment. Any objections to the contract provisions must be set out in the offeror's proposal. No alteration of these provisions will be permitted without prior written approval from the purchasing agency.

Offerors are instructed to contact the procurement officer in writing by the deadline set for questions with any concerns regarding the contract provisions.

4.04 Proposal as a Part of the Contract

Part or all of this RFP and the successful proposal may be incorporated into the contract.

4.05 Additional Terms and Conditions

The State reserves the right to add, delete, or modify terms and conditions during contract negotiations. These terms and conditions will be within the scope of the RFP and will not affect the proposal evaluations.

4.06 Supplemental Terms and Conditions

Proposals including supplemental terms and conditions may be accepted, but supplemental conditions that conflict with those contained in this RFP or that diminish the State's right's under any contract resulting from the RFP will be considered null and void. The State is not responsible for identifying conflicting supplemental terms and conditions before issuing a contract award. After award of contract:

(a) if conflict arises between a supplemental term or condition included in the proposal and a term or condition of the RFP, the term or condition of the RFP will prevail; and

(b) if the State's rights would be diminished as a result of application of a supplemental term or condition included in the proposal, the supplemental term or condition will be considered null and void.

4.07 Contract Approval

This RFP does not, by itself, obligate the State. The State's obligation will commence when the purchasing agency approves the contract. Upon written notice to the contractor, the State may set a different starting date for the contract. The State will not be responsible for any work done by the contractor, even work done in good faith, if it occurs prior to the contract start date set by the State.

4.08 Contract Changes - Unanticipated Amendments

During the course of this contract, the contractor may be required to perform additional work. That work will be within the general scope of the initial contract. When additional work is required, the project manager designated by the State will provide the contractor a written description of the additional work and request the contractor to submit a firm time schedule for accomplishing the additional work and a firm price for the additional work. Cost and pricing data must be provided to justify the cost of amendments.

The contractor will not commence additional work until the project director has secured any required State approvals necessary for the amendment and issued a written contract amendment, approved by the purchasing agency.

4.09 Indemnification and Insurance Requirements

Offerors must review the indemnification and insurance requirements contained in the Contract Form, Attachment 8.01A. The indemnification and insurance requirements will be incorporated into the final contract.

Objections to any of the provisions of the Indemnification and Insurance Requirements must be made in writing to the attention of the procurement officer by the time and date set for receipt of questions. No alteration of these provisions will be permitted without prior written approval from the purchasing agency in consultation with the North Dakota Risk Management Division.

Upon receipt of the Notice to Award, the successful offeror must obtain the required insurance coverage and provide the procurement officer with proof of coverage prior to contract approval. The coverage must be satisfactory to the purchasing agency, in consultation with the North Dakota Risk Management Division. An offeror's failure to provide evidence of insurance coverage is a material breach and grounds for withdrawal of the award or termination of the contract.

4.10 Taxes and Taxpayer Identification

The contractor must provide a valid Vendor Tax Identification Number as a provision of the contract.

The State is not responsible for and will not pay local, state, or federal taxes. The State sales tax exemption number is E-2001, and certificates will be furnished upon request by the purchasing agency.

A contractor performing any contract, including service contracts, for the United States Government, State of North Dakota, counties, cities, school districts, park board or any other political subdivisions within North Dakota is not exempt from payment of sales or use tax on material and supplies used or consumed in carrying out contracts. In these cases, the contractor is required to file returns and pay sales and use tax just as required for contracts with private parties. Contact the North Dakota Tax Department at 701-328-3470 or visit its website at www.nd.gov/tax for more information.

A contractor performing any contract, including a service contract, within North Dakota is also subject to the corporation income tax, individual income tax, and withholding tax reporting requirements, whether the contract is performed by a corporation, partnership, or other business entity, or as an employee of the contractor. In the case of employees performing the services in the state, the contractor is required to withhold state income tax from the employees' compensation and remit to the state as required by law. Contact the North Dakota Tax Department at 701-328-3125 or visit its web site for more information.

4.11 Proposed Payment Procedures

The State will make payments based on a negotiated payment schedule. Invoices must be submitted on a monthly basis with progress reports due monthly. No payment will be made until the project director has approved the invoice.

The State will not make any advanced payments before performance by the contractor under this contract.

4.12 Contract Funding

Approval or continuation of a contract resulting from this solicitation is contingent upon continuing appropriation. The contract may be terminated by the State or modified by agreement of both parties in the event funding from federal, state, or other sources is not obtained and continued at sufficient levels.

4.13 Payment Terms

No payment will be made until the purchasing agency approves the contract.

Payment for services received under contracts will normally be made within 30 calendar days after receipt and acceptance by the purchasing agency or after receipt of a correct invoice, whichever is later. Payment inquiries must be directed to the purchasing agency.

Prompt Payment Discount Terms offered by the contractor may be taken by the purchasing agency if payment is made within the specified terms.

4.14 Contract Personnel

The project manager designated by the purchasing agency must approve any change of the contractor's project team members named in the proposal, in advance and in writing. Personnel changes that are not approved by the State may be grounds for the State to terminate the contract.

4.15 Right to Inspect Place of Business

At reasonable times, the State may inspect those areas of the contractor's place of business that are related to the performance of a contract. If the State makes an inspection, the contractor must provide reasonable assistance.

4.16 Inspection & Modification - Reimbursement for Unacceptable Deliverables

The contractor is responsible for the completion of all work set out in the contract. All work is subject to inspection, evaluation, and approval by the project manager designated by the State. The State may employ all reasonable means to ensure that the work is progressing and being performed in compliance with the contract. Should the project manager determine that corrections or modifications are necessary in order to accomplish its intent; the project manager may direct the contractor to make changes. The contractor will not unreasonably withhold changes.

Substantial failure of the contractor to perform the contract may cause the State to terminate the contract. In this event, the State may require the contractor to reimburse monies paid (based on the identified portion of unacceptable work received) and may seek associated damages.

4.17 Termination for Default

If the project manager designated by the purchasing agency determines that the contractor has refused to perform the work or has failed to perform the work with diligence as to ensure its timely and accurate completion, the State may, by providing written notice to the contractor, terminate the contractor's right to proceed with part or all or the remaining work.

This clause does not restrict the State's right to termination under the contract provisions of the Service Contract, (Attachment 8.01A).

4.18 Open Records Laws – Confidentiality

Any records that are obtained or generated by the contractor under this contract are subject to North Dakota open records law regarding public records and handling of confidential information.

4.19 Independent Entity

The contractor is an independent entity under this contract and is not a State employee for any purpose. The contractor retains sole and absolute discretion in the manner and means of carrying out the contractor's activities and responsibilities under the contract, except to the extent specified in the contract.

4.20 Work Product, Equipment, and Material

All records and draft materials will be maintained in the contractor's office. All final documents will be maintained at the purchasing agency. All work product, equipment or materials created or purchased under this contract belong to the State and must be delivered to the State at the State's request upon termination of this contract, unless otherwise agreed upon in writing by the purchasing agency. The outcome of this study will be used at the discretion of the state and information will be disseminated as needed.

4.21 Assignment

Contractor may not assign or otherwise transfer or delegate any right or duty without the State's express written consent. However, the contractor may enter into subcontracts provided that the subcontract acknowledges the binding nature of this contract and incorporates this contract, including any attachments.

4.22 Disputes – Applicable Law and Venue

Any dispute arising out of this agreement will be resolved under the laws of the State of North Dakota.

SECTION FIVE
EVALUATION CRITERIA AND CONTRACTOR SELECTION

THE TOTAL NUMBER OF POINTS USED TO SCORE THIS CONTRACT IS 100

5.01 Understanding of the Project

Five Percent (5%) of the total possible evaluation points will be assigned to this criterion.

Proposals will be evaluated against the questions set out below:

[a] Has the offeror demonstrated a thorough understanding of the purpose and scope of the project?

[b] Has the offeror identified pertinent issues and potential problems related to the project?

[c] Has the offeror demonstrated an understanding of the deliverables the State expects it to provide?

[d] Has the offeror demonstrated an understanding of the State's time schedule and can meet it?

[e] Is the proposal submitted responsive to all material requirements in the RFP?

5.02 Methodology Used for the Project

Twenty Percent (20%) of the total possible evaluation points will be assigned to this criterion.

Proposals will be evaluated against the questions set out below:

[a] Does the methodology depict a logical approach to fulfilling the requirements of the RFP?

[b] Does the methodology match and achieve the objectives set out in the proposal?

[c] Does the methodology interface with the time schedule in the proposal?

[d] Does the methodology have provisions for quality assurance?

5.03 Management Plan for the Project

Ten Percent (10%) of the total possible evaluation points will be assigned to this criterion.

Proposals will be evaluated against the questions set out below:

[a] How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?

[b] How well is accountability completely and clearly defined?

[c] Is the organization of the project team clear?

[d] How well does the management plan illustrate the line of authority and communication?

[e] To what extent does the offeror already have the hardware, software, equipment, and

licenses necessary to perform the contract?

[f] Does it appear that the offeror can meet the schedule set out in the RFP?

[g] Has the contractor gone beyond the minimum tasks necessary to meet the objectives of the RFP?

[h] Is the proposal practical, feasible, and within budget?

[i] How will you ensure quality communication with Department of Health staff?

5.04 Experience and Qualifications

Twenty Percent (20%) of the total possible points will be assigned to this criterion.

No points will be awarded for meeting the minimum amount of experience or qualifications. Points will be awarded for experience and qualifications that exceed the stated minimums. Proposals will be evaluated against the questions set out below:

Questions regarding the personnel.

[a] Do the individuals assigned to the project have experience on similar projects?

[b] Are resumes complete and do they demonstrate backgrounds that would be desirable for individuals engaged in the work the RFP requires?

[c] How extensive is the applicable education and experience of the personnel designated to work on the project?

Questions regarding the firm.

[d] Has the firm demonstrated experience in completing similar projects on time and within budget?

[e] How successful is the general history of the firm regarding timely and successful completion of projects?

[f] If a subcontractor will perform work on the project, how well does it measure up to the evaluation used for the offeror?

5.05 References

Five Percent (5%) of the total possible points will be assigned to this criterion.

Although references are assigned 5% of the total point value, references which are not all minimally satisfactory, reflecting good quality work, will result in exclusion of the proposal from further consideration. References which exceed the minimum will result in additional points being awarded.

[a] What was the overall impression of references – satisfactory (good), high, or exceptional?

[b] Has the firm provided letters of reference from previous clients?

5.06 Contract Cost

Forty Percent (40%) of the total possible evaluation points will be assigned to cost.
Any prompt payment discounts terms proposed by the offeror will not be considered in evaluating cost. The cost amount used for evaluation may be affected by the application of North Dakota preference laws (N.D.C.C. § 44-08-01). The lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be evaluated according to the method set forth in the Proposal Evaluation form attached to this RFP.

SECTION SIX
PROPOSAL FORMAT AND CONTENT

6.01 Proposal Format and Content

The State discourages overly lengthy and costly proposals; however, in order for the State to evaluate proposals fairly and completely, offerors must follow the format set out in this RFP and provide all information requested.

6.02 Introduction

Proposals must include the complete name and address of offeror's firm and the name, mailing address, and telephone number of the person the State should contact regarding the proposal. The Department of Health requires that the offeror and any agency that the offeror may contract with for this project, as a matter of internal policy, promote a tobacco-free environment.

Proposals must be signed by a company officer empowered to bind the company. An offeror's failure to include these items in the proposals may cause the proposal to be determined to be non-responsive and the proposal may be rejected.

6.03 Understanding of the Project

Offerors must provide comprehensive narrative statements that illustrate their understanding of the requirements of the project, deliverables, project schedule, and contract terms and conditions. Offerors must also identify any pertinent issues and potential problems related to the project.

6.04 Methodology Used for the Project

Offerors must provide comprehensive narrative statements that set out the methodology it intends to employ. Offerors must illustrate how the methodology will serve to accomplish the work and provide the deliverables described in the scope of work within the State's project schedule.

6.05 Management Plan for the Project

Offerors must provide comprehensive narrative statements that set out the management plan it intends to follow and illustrate how the plan will serve to accomplish the work and furnish the deliverables described in the scope of work within the State's project schedule. Offerors must provide a narrative or organizational chart that describes the organization of the project team. The organizational chart must illustrate the lines of authority, designate the individual responsible and accountable for the completion of each component and deliverable of the RFP, and indicate where the work will be performed. It must also include the main tool the agency uses for communicating (i.e., email, phone, etc.).

6.06 Experience and Qualifications

Offerors must describe the experience of their firm in completing similar projects (please refer to the Vendor Experience section of Appendix A for more details). Additionally, offerors must provide information specific to the personnel assigned to accomplish the work called for in this RFP. Offerors must provide a narrative description of the organization of the project team and resumes of project team leaders. Also, a personnel roster must be submitted that identifies each person who will actually work on the contract and provides the following information about each person listed:

(a) title;

(b) description of the type of work the individual will perform; and

(c) the number of estimated hours for each individual named above.

If an offeror intends to use subcontractors, the offeror must identify in the proposal the names of the subcontractors and the portions of the work the subcontractors will perform.

6.07 References

Offerors must provide two reference names and phone numbers for similar projects the offeror's firm has completed. The State reserves the right to contact any references provided by the offeror. Offerors are invited to provide letters of reference from previous clients.

6.08 Cost Proposal

Cost proposals must include an itemized list of all direct and indirect costs associated with the performance of the contract, including total number of hours at various hourly rates, direct expenses, payroll, supplies, markup, overhead assigned to each person working on the project, percentage of each person's time devoted to the project, and profit. Cost proposals must indicate how the agency will handle incremental costs (travel time, mailing costs, billable hours, etc.) of the account.

All costs associated with the contract must be stated in U.S. currency. Any commodities being imported must be identified, and the price must include any applicable customs, brokerage agency fees, and duties.

Offerors should describe any discounts terms for prompt payment. Discounts for prompt payment will not be considered in evaluating cost.

Offerors must complete cost proposal attached to this RFP (Attachment 8.01B) or prepare a cost proposal following the same format, and include a detailed worksheet to indicate how costs were determined along with a justification of these costs. In addition, the offeror must project the value of matched advertising, separate from the general budget.

6.09 Required Enclosures

Resumes of key staff
Organizational chart
References
Detailed budget

SECTION SEVEN
STANDARD PROPOSAL INFORMATION

7.01 Authorized Signature

An individual authorized to bind the offeror to the provisions of the RFP must sign all proposals.

7.02 State Not Responsible for Preparation Costs

The State will not pay any cost associated with the preparation, submittal, presentation, or evaluation of any proposal.

7.03 Conflict of Interest

Offerors must disclose any instances where the firm or any individuals working on the contract has a possible conflict of interest and, if so, the nature of that conflict (e.g. employed by the State of North Dakota).

Proposals must confirm that the offeror will comply with all provisions in this RFP. The proposal must disclose any instances where the firm or any individuals working on the contract has a possible conflict of interest and, if so, the nature of that conflict (e.g. employed by the State of North Dakota). The Department recognizes that the applicants may have clients with a reputation, products or services that are perceived by some to be in conflict with the purpose, goals and objectives of the Division of Tobacco Prevention and Control. Examples of these clients include tobacco and tobacco-owned companies.

Any relationship by the individual/agency and their parent companies or subsidiaries with any affiliates or subsidiaries of a tobacco company must be disclosed as part of the submission of this request. The proposal shall assure that the credibility and integrity of the Department are protected at all times so that the Department goals are not compromised or diminished.

Offerors that do not have any clients that pose a potential conflict of interest at the time the contract funds are awarded need to be aware that is such clients are subsequently accepted, the Department shall be notified within 30 days and provided the information required above regarding how potential conflicts of interest will be mitigated.

The State reserves the right to cancel the award if any interest disclosed from any source could either give the appearance of a conflict or cause speculation as to the objectivity of the offeror's proposal. The State's determination regarding any questions of conflict of interest is final.

7.04 Offeror's Certification

By signature on the proposal, an offeror certifies that it complies with:

a) the laws of the State of North Dakota;
b) North Dakota Administrative Code;
c) all applicable local, state, and federal laws, code, and regulations;
d) the applicable portion of the Federal Civil Rights Act of 1964;
e) the Equal Employment Opportunity Act and the regulations issued by the federal government;
f) the Americans with Disabilities Act of 1990 and the regulations issued by the federal government;
g) all terms, conditions, and requirements set forth in this RFP;
h) a condition that the proposal submitted was independently arrived at, without collusion;
i) a condition that the offer will remain open and valid for the period indicated in this

solicitation; and

j) a condition that the firm and any individuals working on the contract do not have a possible conflict of interest (e.g. employed by the State of North Dakota).

If any offeror fails to comply with the provisions stated in this paragraph, the State reserves the right to reject the proposal, terminate the contract, or consider the contractor in default.

7.05 Offer Held firm

Proposals must remain open and valid for at least 90 DAYS from the deadline specified for submission of proposals. In the event award is not made within 90 DAYS, the State will send a written request to all offerors deemed susceptible for award asking offerors to hold their price firm for a longer specified period of time.

7.06 Amendments to Proposals and Withdrawals of Proposals

Offerors may amend or withdraw proposals prior to the deadline set for receipt of proposals. No amendments will be accepted after the deadline unless they are in response to the State's request. After the deadline, offerors may make a written request to withdraw proposals and provide evidence that a substantial mistake has been made. The procurement officer may permit withdrawal of the proposal upon verifying that a substantial mistake has been made, and the State may retain the offeror's bid bond or other bid type of bid security, if one was required.

7.07 Alternate Proposals

Offerors may submit only one proposal for evaluation. Alternate proposals (proposals that offer something different than what is requested) will be rejected.

7.08 Subcontractors

Subcontractors may be used to perform work under this contract. If an offeror intends to use subcontractors, the offeror must identify in the proposal the names of the subcontractors and the portions of the work the subcontractors will perform.

If a proposal with subcontractors is selected, the offeror must provide the following information concerning each prospective subcontractor within FIVE WORKING DAYS from the date of the State's request:

(a) complete name of subcontractor;
(b) complete address of the subcontractor;
(c) type of work the subcontractor will be performing;
(d) percentage of work the subcontractor will be providing;
(e) evidence, as set out in the relevant section of this RFP, that the subcontractor is registered and, if applicable, holds a valid North Dakota business license; and
(f) a written statement, signed by each proposed subcontractor, that clearly verifies that the subcontractor is committed to render the services required by the contract.

7.09 Joint Ventures

Joint ventures will not be allowed.

7.10 Disclosure of Proposal Contents and Compliance with North Dakota Open Records Laws

All proposals and other material submitted become the property of the State and may be returned only at the State's option. All proposals and related information, including detailed cost information, are exempt records and will be held in confidence until an award is made, in accordance with N.D.C.C. § 54-44.4-10(2).

Offerors may make a written request that trade secrets and other proprietary data contained in proposals be held confidential. Material considered confidential by the offeror must be clearly identified, and the offeror must include a brief statement that sets out the reasons for confidentiality. See the North Dakota Office of the Attorney General website for additional information http://www.ag.nd.gov/OpenRecords/ORM.htm.

After award, proposals will be subject to the North Dakota open records law. Records are closed or confidential only if specifically stated in law. If a request for public information is received, the procurement officer, in consultation with the Office of the Attorney General, will determine whether the information is an exception to the North Dakota open records law, and the information will be processed appropriately.

7.11 Evaluation of Proposals

All proposals will be reviewed to determine if they are responsive to the requirements of this solicitation. An evaluation committee of at least three individuals will evaluate responsive proposals. The evaluation will be based solely on the evaluation factors set forth in this RFP. The evaluation will consider information obtained subsequent to any discussions with offerors determined to be reasonable for award and any demonstrations, oral presentations, or site inspections, if required in this RFP.

7.12 Right of Rejection

The State reserves the right to reject any proposals, in whole or in part. Proposals received from debarred or suspended vendors will be rejected. The procurement officer may reject any proposal that is not responsive to all of the material and substantial terms, conditions, and performance requirements of the RFP.

Offerors may not qualify the proposal nor restrict the rights of the State. If an offeror does so, the procurement officer may determine the proposal to be a non-responsive counter-offer and the proposal may be rejected.

The procurement officer may waive minor informalities that:

- do not affect responsiveness;
- are merely a matter of form or format;
- do not change the relative standing or otherwise prejudice other offers;
- do not change the meaning or scope of the RFP;
- are insignificant, negligible, or immaterial in nature;
- do not reflect a material change in the work; or
- do not constitute a substantial reservation against a requirement or provision,

The State reserves the right to reject any proposal determined to be not responsive, and to reject the proposal of an offeror determined to be not responsible. The State also reserves the right to refrain from making an award if it determines it to be in its best interest.

7.13 Clarification of Offers

In order to determine if a proposal is reasonably susceptible for award, communications by the procurement officer or the proposal evaluation committee are permitted with an offeror to clarify uncertainties or eliminate confusion concerning the contents of a proposal and determine responsiveness to the RFP requirements. Clarifications may not result in a material or substantive change to the proposal. The initial evaluation may be adjusted because of a clarification under this section.

After receipt of proposals, if there is a need for any substantial clarification or material change in the RFP, an amendment will be issued. The amendment will incorporate the clarification or change, and a new date and time established for new or amended proposals. Evaluations may be adjusted as a result of receiving new or amended proposals.

7.14 Discussions and Best and Final Offers

The State may conduct discussions or request best and final offers with offerors that have submitted proposals determined to be reasonably susceptible for award. The State is not obligated to do so, therefore, vendors should submit their best terms (cost and technical). The purpose of these discussions is to ensure full understanding of the RFP and the offeror's proposal. Discussions will be limited to specific sections of the RFP or proposal identified by the procurement officer. Discussions, if held, will be after the initial evaluation of proposals by the proposal evaluation committee. If modifications to the proposal are made as a result of these discussions, the modifications must be put in writing.

Offerors with a disability needing accommodation should contact the procurement officer prior to the date set for discussions so that reasonable accommodation can be made.

7.15 Preference Laws

The preference given to a resident North Dakota offeror will be equal to the preference given or required by the state of the nonresident bidder. A "resident" North Dakota bidder, offeror, seller, or contractor is one that has maintained a bona fide place of business within this State for at least one year prior to the date on which a contract was awarded. For a listing of state preference laws, visit the following website: http://www.oregon.gov/DAS/SSD/SPO/reciprocal_detail.shtml or contact the North Dakota State Procurement Office at 701-328-2683.

7.16 Contract Negotiation

After final evaluation, the procurement officer may negotiate with the offeror of the highest-ranked proposal. Negotiations, if held, will be within the scope of the request for proposals and limited to those items that would not have an effect on the ranking of proposals. If the highest-ranked offeror fails to provide necessary information for negotiations in a timely manner, or fails to negotiate in good faith, the State may terminate negotiations and negotiate with the offeror of the next highest-ranked proposal.

If contract negotiations are commenced, they will be held at:

North Dakota Department of Health
Administrative Support, State Capital
Room 210
600 East Boulevard Ave. – Dept. 301
Bismarck, ND

If contract negotiations are held, the offeror will be responsible for all cost including its travel and per diem expenses.

7.17 Failure to Negotiate

If the selected offeror:

- fails to provide the information required to begin negotiations in a timely manner;
- fails to negotiate in good faith;
- indicates it cannot perform the contract within the budgeted funds available for the project; or
- if the offeror and the State, after a good faith effort, cannot come to terms,

The State may terminate negotiations with the offeror initially selected and commence negotiations with the next highest ranked offeror.

7.18 Notice of Intent to Award - Offeror Notification of Selection

After the completion of contract negotiation the procurement officer will issue a written Notice of Intent to Award and send copies to all offerors. The Notice of Intent Award will set out the names and addresses of all offerors and identify the proposal selected for award. The scores and placement of other offerors will not be part of the Notice of Intent to Award.

The successful offeror named in the Notice of Intent to Award is advised not to begin work, purchase materials, or enter into subcontracts relating to the project until both the successful offeror and the State sign the contract.

7.19 Protest and Appeal

North Dakota law provides that an interested party may protest a solicitation. If an interested party wishes to protest the content of this RFP, the protest must be received, in writing, by the procurement officer at least seven calendar days before the deadline for receipt of proposals.

An interested party may protest the award or proposed award of a contract. If an offeror wishes to protest the award of a contract or proposed award of a contract, the protest must be received, in writing, by the procurement officer within seven calendar days after the date the Notice of Intent to Award was issued.

SECTION EIGHT
ATTACHMENTS

8.01
Attachments

A Contract Template
B. Cost Proposal Format
C. Proposal Evaluation Form
D. Notice of Intent to Award Sample

Contract No.	**CFDA No.**	North Dakota Department of Health 600 East Boulevard Ave-Dept. 301 Bismarck, ND 58505-0200 **Type: Purchase of Service Agreement (SFN53772)**
Contract Period From:	Through:	

This contract is not effective and expenditures related to this contract should not be incurred until all parties have signed this document.

Title of Project/Program:	**Health Dept. Grant Code:**
Contractor Name and Address: Contact Name: Telephone:	**North Dakota Department of Health Program Director:** Telephone:

Financial Information	**Dept of Health Cost Share**	**Contractor Cost Share**	**Total Project/Program Costs**
Amount of Financial Assistance	$0	$0	$0
Previous Funds Awarded	$0	$0	$0
Total Funds Awarded to Date	$0	$0	$0

Scope of Service:

Reporting Requirements:

Special Conditions:

This contract is subject to the terms and conditions incorporated either directly or by reference in the following:
(**1) Requirements for Contracts issued by ND Dept. of Health as signed by Contractor for the period July 1, 2007 to June 30, 2009 [Accounting Use Only ☐ Requirements Received] (2) applicable Federal and State regulations.**

Evidence of Contractor's Acceptance		**Evidence of Departmental Acceptance**	
Signature	Date	Signature	Date
Typed Name and Title of Authorized Representative		**Typed Name and Title of Authorized Representative** Arvy Smith, Deputy State Health Officer	
Signature	Date	Signature	Date
Typed Name and Title of Authorized Representative		**Typed Name and Title of Authorized Representative**	

Contractor: All attachments if referenced in the scope of service must be returned with the signed contract. If you did not receive attachments as indicated in the scope of service, please contact the Program Director identified above.

CONTRACT REQUIREMENTS FORM FOR ALL AGREEMENTS BETWEEN NORTH DAKOTA DEPARTMENT OF HEALTH (STATE) AND ____ (CONTRACTOR) FOR NOTICE OF GRANT AWARD AND PURCHASE OF SERVICE AGREEMENTS.

1. EVALUATION

State shall, throughout the effective dates on the contract, conduct an ongoing evaluation of Contractor's performance in carrying out the Scope of Service in the contract. Compliance with Contract Requirements will also be monitored. Such evaluation may include periodic site visits by State representatives to review progress made by Contractor in accomplishing stated goals and objectives.

2. MERGER AND MODIFICATION

This contract constitutes the entire agreement between the parties. There are no understandings, agreements, or representations, oral or written, not specified within this contract. This contract may not be modified, supplemented or amended, in any manner, except by written agreement signed by both parties.

3. ASSIGNMENT AND SUBCONTRACTS

Contractor may not assign or otherwise transfer or delegate any right or duty without State's express written consent. Contractor may enter into subcontracts provided that written approval from the State has been obtained and that any subcontract acknowledges the binding nature of this contract and incorporates this contract, including any attachments. Contractor is solely responsible for the performance of any subcontractor. Contractor has no authority to contract for or incur obligations on behalf of State.

4. INDEMNITY

The State and Contractor each agrees to assume its own liability for any claims of any nature including all costs, expenses and attorneys' fees which may in any manner result from or arise out of this agreement.

5. INDEPENDENT ENTITY

Contractor is an independent entity under this contract and is not a State employee for any purpose, including the application of the Social Security Act, the Fair Labor Standards Act, the Federal Insurance Contribution Act, the North Dakota Unemployment Compensation Law and the North Dakota Workers' Compensation Act. Contractor retains sole and absolute discretion in the manner and means of carrying out Contractor's activities and responsibilities under this contract, except to the extent specified in this contract.

6. INSURANCE

Private Entity:
Contractor shall secure and keep in force during the term of this agreement, and Contractor shall require all subcontractors, prior to commencement of agreement between Contractor and subcontractor, from insurance companies, government self-insurance pools or government self-retention funds, authorized to do business in North Dakota, the following insurance coverages:

1) Commercial general liability, including premises or operations, contractual, and products or completed operations coverages, with minimum liability limits of $500,000 per occurrence.
2) Automobile liability, including owned (if any), hired, and non-owned automobiles,

with minimum liability limits of $500,000 per occurrence.

3) Workers compensation coverage meeting all statutory requirements.

The insurance coverages listed above must meet the following additional requirements:

1) Any deductible or self insured retention amount or other similar obligation under the policies is the sole responsibility of Contractor. The amount of any deductible or self retention is subject to approval by the State.
2) This insurance may be in policy or policies of insurance, primary and excess, including the so-called umbrella or catastrophe form and must be placed with insurers rated “A-” or better by A.M. Best Company, Inc., provided any excess policy follows form for coverage. Less than an “A-” rating must be approved by State. The policies shall be in form and terms approved by State.
3) The insurance required in this agreement, through a policy or endorsement shall include a provision that the policy and endorsements may not be cancelled or modified without thirty (30) days’ prior written notice to the undersigned State representative.
4) The Contractor shall furnish a certificate of insurance to the undersigned State representative prior to commencement of this agreement.
5) Failure to provide insurance as required in this agreement is a material breach of contract entitling State to terminate this agreement immediately.

7. WORK PRODUCT, EQUIPMENT AND MATERIALS

All work product, equipment or materials created or purchased under this contract belong to State and must be delivered to State at State’s request upon termination of this contract. Contractor agrees that all materials prepared under this contract are "works for hire" within the meaning of the copyright laws of the United States and assigns to State all rights and interests Contractor may have in the materials it prepares under this contract, including any right to derivative use of the material. Contractor shall execute all necessary documents to enable State to protect its rights under this section.

8. STATE AUDIT

All records, regardless of physical form, and the accounting practices and procedures of Contractor relevant to this contract are subject to examination by the North Dakota State Auditor or the Auditor’s designee. Contractor will maintain all such records for at least three years following completion of this contract.

9. TERMINATION OF CONTRACT

a. **Termination without cause.** This contract may be terminated by mutual consent of both parties, or by either party upon 30-days written notice.

b. **Termination for lack of funding or authority.** State may terminate this contract effective upon delivery of written notice to Contractor, or on any later date stated in the notice, under any of the following conditions:

(1) If funding from federal, state, or other sources is not obtained and continued at levels sufficient to allow for purchase of the services or supplies in the indicated quantities or term. The contract may be modified by agreement of the parties in writing to accommodate a reduction in funds.

(2) If federal or State laws or rules are modified or interpreted in a way that the services are no longer allowable or appropriate for purchase under this contract or are no longer eligible for the funding proposed for payments authorized by this contract.

(3) If any license, permit or certificate required by law or rule, or by the terms of this contract, is for any reason denied, revoked, suspended or not renewed.

Termination of this contract under this subsection is without prejudice to any obligations or liabilities of either party already accrued prior to termination.

c. **Termination for cause.** State by written notice of default to Contractor may terminate the whole or any part of this contract:

(1) If Contractor fails to provide services required by this contract within the time specified or any extension agreed to by State; or

(2) If Contractor fails to perform any of the other provisions of this contract, or so fails to pursue the work as to endanger performance of this contract in accordance with its terms.

(3) The rights and remedies of State provided in the above clause related to defaults by Contractor are not exclusive and are in addition to any other rights and remedies provided by law or under this contract.

10. SPECIAL CONDITIONS

Contractor shall meet all other applicable special conditions as specified in the contract.

11. APPLICABLE LAW AND VENUE

This contract is governed by and construed in accordance with the laws of the State of North Dakota. Any action to enforce this contract must be brought in the District Court of Burleigh County, North Dakota.

12. SEVERABILITY

If any term of this contract is declared by a court having jurisdiction to be illegal or unenforceable, the validity of the remaining terms must not be affected, and, if possible, the rights and obligations of the parties are to be construed and enforced as if the contract did not contain that term.

13. NOTICE

All notices or other communications required under this contract must be given by registered or certified mail and are complete on the date mailed when addressed to the parties at the following addresses:

______________________________		North Dakota Department of Health
______________________________		Attn: Karen Haas, Division of Accounting
______________________________	or	600 East Boulevard Ave-Dept 301
______________________________		Bismarck, ND 58505-0200

Notice provided under this provision does not meet the notice requirements at N.D.C.C. § 32-12.2-04.

14. CONFIDENTIALITY AND OPEN RECORD LAWS

Contractor agrees not to use or disclose any information it receives from State under this contract that State has previously identified as confidential or exempt from mandatory public disclosure except as necessary to carry out the purposes of this contract, or as authorized by state or federal laws, or as authorized in advance by State. State agrees not to disclose any information it receives from Contractor that Contractor has previously identified as confidential and that State determines in its sole discretion is protected from mandatory public disclosure under a specific exception to the North Dakota open records law, N.D.C.C. § 44-04-18. Any protected health information subject to N.D.C.C. ch. 23-01.3 or personal health information subject to federal HIPAA regulations may only be released as authorized by those laws. The duty of State and Contractor to maintain confidentiality of information under this section continues beyond the term of this contract, or any extensions or renewals of it.

Contractor understands that, except for information that is confidential under state or federal law or otherwise exempt from the North Dakota open records law, State must disclose to the public upon request any records it receives from Contractor. Contractor further understands that any records that are obtained or generated by Contractor under this contract, except for records that are confidential or exempt may, under certain circumstances, be open to the public upon request under the North Dakota open records law. Contractor agrees to contact State immediately upon receiving a request for information under the open records law and to comply with State's instructions on how to respond to the request.

15. <u>FORCE MAJEURE</u>

Contractor will not be held responsible for delay or default caused by fire, riot, acts of God or war if the event is beyond Contractor's reasonable control and Contractor gives notice to State immediately upon occurrence of the event causing the delay or default or that is reasonably expected to cause a delay or default.

16. <u>RENEWAL</u>

This contract does not automatically renew.

17. <u>SPOLIATION – NOTICE OF POTENTIAL CLAIMS</u>

Contractor agrees to promptly notify State of all potential claims that arise or result from this contract. Contractor shall also take all reasonable steps to preserve all physical evidence and information that may be relevant to the circumstances surrounding a potential claim, while maintaining public safety, and grants to State the opportunity to review and inspect the evidence, including the scene of an accident.

18. <u>ATTORNEY FEES</u>

In the event a lawsuit is instituted by State to obtain performance due of any kind under this contract, and State is the prevailing party, Contractor shall, except when prohibited by N.D.C.C. § 28-26-04, pay State's reasonable attorney fees and costs in connection with the lawsuit.

19. <u>ALTERNATIVE DISPUTE RESOLUTION – JURY TRIAL</u>

State does not agree to any form of binding arbitration, mediation, or other forms of mandatory alternative dispute resolution. The parties have the right to enforce their rights and remedies in judicial proceedings. State does not waive any right to a jury trial.

20. <u>NONDISCRIMINATION AND COMPLIANCE WITH LAWS</u>

Contractor agrees to comply with all applicable laws, rules, regulations and policies, including those relating to nondiscrimination, accessibility and civil rights. Contractor agrees to timely file all required reports, make required payroll deductions, and timely pay all taxes and premiums owed, including sales and use taxes and unemployment compensation and workers' compensation premiums. Contractor shall have and keep current at all times during the term of this contract all licenses and permits required by law.

21. <u>PAYMENT</u>

State will not make any advance payments before performance by Contractor under this contract.

22. LIMITATIONS ON APPROPRIATIONS AND SPENDING AUTHORITY

Continuation of this Contract beyond June 30 of any odd-numbered year is contingent on continued legislative appropriation of funds for the purposes of this Contract. If those appropriations are not forthcoming, State will notify Contractor as soon as possible and the Contract will terminate on June 30 of that year. State will neither be penalized nor incur any liability because of termination of the Contract as provided above.

23. TAXPAYER ID

Contractor's federal employer ID number or social security number is____________ ______________.

24. EFFECTIVENESS OF CONTRACT

Contracts are not effective until fully executed by all parties.

25. AUDIT

The Contractor agrees that if the Contractor received more than $500,000 either directly or indirectly from all federal sources, and is subject to the provisions of the Single Audit Act Amendments of 1996 (P.L.104-156), the Contractor will submit a copy of the A133 audit upon its completion to the State. Organizations receiving less than $500,000 must have records available for review upon request of the State or Federal agency.

26. CASH MANAGEMENT/ALLOWABLE COSTS/APPLICABLE REGULATIONS

The Contractor shall maintain accounting and project records that are sufficient to prepare required reports, track funds to level of expenditure, provide internal control by progress, provide budget control, assure allowable costs per the applicable Grant circulars (http://www.whitehouse.gov/omb/circulars) and the Codification of Governmentwide Grants Requirements (Common Rule) as found in the applicable Code of Federal Regulations: http://www.access.gpo.gov/nara/cfr/cfr-table-search.html :

State and Local Governments:
Circular A-87 Cost Principles for State/Local Government
Circular A-102 Administrative Requirements
Grants Management Common Rule:
- Dept. of Agriculture 7 CFR 3016
- Environmental Protection Agency 40 CFR 31
- Dept. of Health & Human Services 45 CFR 92
- Dept. of Justice 28 CFR 66
- Dept. of Transportation 49 CFR 18

Educational Institutions:
Circular A-21 Cost Principles for Educational Institutions
Circular A-110 Administrative Requirements
Codified Common Rule:
- Dept. of Agriculture 7 CFR 3019
- Environmental Protection Agency 40 CFR 30
- Dept. of Health & Human Services 45 CFR 74
- Dept. of Justice 28 CFR 70
- Dept. of Transportation 49 CFR 19

Non Profit Organizations:

Circular A-122 Cost Principles for Non Profit Organizations
Circular A-110 Administrative Requirements
Codified Common Rule:
Dept. of Agriculture 7 CFR 3017
Environmental Protection Agency 40 CFR 32
Dept. of Health & Human Services 45 CFR 76
Dept. of Justice 28 CFR 67
Dept. of Transportation 49 CFR 29

The Contractor's accounting and project records will also provide source documentation, and assure proper cash management. Such records shall be made available to the State and the federal government for inspection and audit during the contract term and for three years after the date of final payment, unless any litigation, claim, or audit is started before the expiration of three years, then the records shall be retained until such action is satisfied.

27. CIVIL RIGHTS

The Contractor shall comply with Title VI of the Civil Rights Act of 1964, Executive Order 11246 and Executive Order 11375. In accordance with the aforementioned act, no person shall, on the grounds of race, color, national origin, age, disability, sex, or religion be excluded from participation in or be subjected to discrimination in any program or activity funded, in whole or in part, by federal funds.

28. DEBARMENT/SUSPENSION

The Contractor is advised that the signature on this form certifies that the company or any person associated therewith is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three years; and has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction on any matter involving fraud or official misconduct within the past three years.

29. PRO-CHILDREN ACT OF 1994

The Contractor agrees to comply with Public Law 103-227, Part C which states smoking should be prohibited in any indoor facility owned, leased, or contracted for and used for the routine or regular provision of health care, day care, or early childhood development services to children under the age of 18 where federally funded children's services are provided.

30. DRUG FREE

The Contractor certifies in accordance with C.F.R. 45 Part 76 that it will provide a drug-free workplace, or in case of an individual, certify that his or her conduct of grant activity will be drug-free.

31. SMOKE FREE

The Contractor will provide a smoke-free workplace and promote the nonuse of tobacco products in areas including office space, conference or meeting rooms, corridors, stairways, lobbies, rest rooms, cafeterias and other public space.

32. ENERGY AND ENVIRONMENTAL CONSERVATION

Contractor must give preference, to the extent and economically feasible, to products and services that conserve natural resources and protect the environment and are energy efficient. (40CFR 30.44(a)).

33. RESOURCE CONSERVATION AND RECOVERY ACT

Section 6002 of the Resource Conservation and Recovery Act requires preference be given in procurement programs to the purchase of specific products containing recycled materials pursuant to the Environmental Protection Agency guidelines (40CFR Parts 247-253).

34. SEAT BELT USAGE

Executive Order 13043 of April 16, 1997 requires each Federal agency to encourage contractors and subcontractors to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

35. EQUIPMENT

The Contractor agrees that equipment purchased with federal funds and having an acquisition cost of $5,000 or more per unit is the property of the State of North Dakota. Such equipment shall remain on loan to the Contractor until such time of its replacement, transfer or disposal pursuant to the direction of the State.

36. POLITICAL ACTIVITY

The Contractor will comply with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or part with federal funds.

37. RESTRICTIONS FOR LOBBYING

This award is subject to restrictions on the use of federal funds for lobbying of federal or state legislative bodies. Under the provisions of 31 U.S.C. Section 1352, recipients are prohibited from using appropriated federal funds for lobbying Congress or any federal agency in connection with the award of a particular contract, grant, cooperative agreement, or loan. This includes grants/cooperative agreements that, in whole or in part, involve conferences for which federal funds cannot be used directly or indirectly to encourage participants to lobby or to instruct participants on how to lobby.

Public Law No.104-208, Section 503 expressly prohibits the use of appropriated funds for indirect or “grass roots” lobbying efforts that are designed to support or defeat legislation pending before state legislatures. No part of any appropriation contained in this Act shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat legislation pending before the Congress, except in presentation to the Congress or any State legislative body itself.

38. RELIGIOUS ACTIVITY

The Contractor will comply with the applicable provisions of 45 C.F.R. Parts 74, 87, 92 and 96 regarding equal treatment for faith-based organizations.

I hereby certify that our agency has agreed upon the above conditions applicable to funding received through all contracts issued by the State and will ensure all program managers are aware of and will comply with the requirements. I also certify that the person(s) responsible for authorizing, expending or accounting for grant funds will be provided access to the circulars and grant requirements as specified in Section 26 above.

CONTRACTOR

BY:________________________________

TITLE:______________________________

DATE:______________________________

For questions regarding Contract Requirements contact:

Karen Haas
North Dakota Department of Health
Division of Accounting
701.328.3325
khaas@nd.gov

Attachment 8.01B

COST PROPOSAL FORMAT

Direct Costs
- **Total Number of hours at various hourly rates**
- **Direct Expenses**

Indirect Costs
- **Supplies**
- **Overhead**
- **Profit**

PROPOSAL EVALUATION FORM

All proposals will be reviewed for responsiveness and then evaluated using the criteria set out herein.

INSTRUCTIONS FOR EVALUATORS
Each evaluation criterion has been assigned a specific number of points. The questions under each evaluated area help you measure the quality of the offeror's response. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

RATING SCALE FOR ASSESSING VENDOR RESPONSES
This rating scale is intended to establish guidelines within that range to ensure members of the RFP evaluation committee perform their evaluation with consistency. You may assign any value for a given criteria from 0 to the maximum number of points. A zero value typically constitutes no response or an inability of the vendor to meet the criterion. In contrast, the maximum value should constitute a high standard of meeting the criterion. If a specific criterion would only yield a yes or no response (e.g., offeror can submit an electronic report in required format by noon Friday), the evaluator should award either the maximum points or a zero.

For Example: "Experience and Qualifications" is an evaluation criteria receiving a weighting of 20% of the total possible points. Using a 100 Point Scale, a maximum of 20 points can be awarded. The rating scale would be:

Rating Scale (***20 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1-5	Fair. Limited applicability
6-10	Good. Some applicability
11-15	Very Good. Substantial applicability
16-20	Excellent. Total applicability

COST PROPOSAL
If offerors were required to place cost proposals in a separate sealed envelope, do not open the cost proposal until the technical proposals have been evaluated.

Not all members of the evaluation need to evaluate the cost proposal. The cost proposals may be evaluated by selected members of the evaluation committee, reviewed by group, and recorded on the evaluation summary sheets.

Any prompt payment discounts terms offered by the vendor are not taken into consideration in evaluating cost. However, the cost proposals of nonresident offerors may be adjusted by the application of preference laws, if applicable. Contact the State Procurement Office at 701-328-2683 for assistance in applying preference laws.

EVALUATION CRITERIA AND SCORING

Person or Firm Name ____

Name of Proposal Evaluation (PEC) Member ____________________________

Date of Review ____

RFP Title/Number ____

THE TOTAL NUMBER OF POINTS USED TO SCORE THIS CONTRACT IS 100

7.01
Understanding of the Project

Weight ***5 Percent***. Maximum Point Value for this Section
100 Points x ***5 Percent = 5 Points***

Rating Scale (***5 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1	Fair. Limited applicability
2	Good. Some applicability
3	Very Good. Substantial applicability
4-5	Excellent. Total applicability

Proposals will be evaluated against the questions set out below. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

[a] Has the offeror demonstrated a thorough understanding of the purpose and scope of the project?

EVALUATOR'S NOTES ____

____

[b] Has the offeror identified pertinent issues and potential problems related to the project?

EVALUATOR'S NOTES ____

____

[c] Has the offeror demonstrated an understanding of the deliverables the State expects it to provide?

EVALUATOR'S NOTES ____

[d] Has the offeror demonstrated an understanding of the State's time schedule and can meet it?

EVALUATOR'S NOTES ____

[e] Is the proposal submitted responsive to all material requirements in the RFP?

EVALUATOR'S NOTES ____

EVALUATOR'S POINT TOTAL FOR 7.01 ______________

7.02
Methodology Used for the Project

Weight ***20 Percent***. Maximum Point Value for this Section
100 Points x ***20 Percent = 20 Points***

Rating Scale (***20 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1-5	Fair. Limited applicability
6-10	Good. Some applicability
11-15	Very Good. Substantial applicability
16-20	Excellent. Total applicability

Proposals will be evaluated against the questions set out below. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

[a] Does the methodology depict a logical approach to fulfilling the requirements of the RFP?

EVALUATOR'S NOTES ____

[b] Does the methodology match and achieve the objectives set out in the proposal?

EVALUATOR'S NOTES ____

[c] Does the methodology interface with the time schedule in the proposal?

EVALUATOR'S NOTES ____

[d] Does the methodology have provisions for quality assurance?

EVALUATOR'S NOTES ____

____

EVALUATOR'S POINT TOTAL FOR 7.02 ______________

7.03
Management Plan for the Project

Weight ***10 Percent***. Maximum Point Value for this Section
100 Points x ***10 Percent = 10 Points***

Rating Scale (***10 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1-2	Fair. Limited applicability
3-4	Good. Some applicability
5-7	Very Good. Substantial applicability
8-10	Excellent. Total applicability

Proposals will be evaluated against the questions set out below. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

[a] How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?

EVALUATOR'S NOTES ____

____

[b] How well is accountability completely and clearly defined?

EVALUATOR'S NOTES ____

____

[c] Is the organization of the project team clear?

EVALUATOR'S NOTES ____

____

[d] How well does the management plan illustrate the lines of authority and communication?

EVALUATOR'S NOTES ____

____

[e] To what extent does the offeror already have the hardware, software, equipment, and licenses necessary to perform the contract?

EVALUATOR'S NOTES ____

____

[f] Does it appear that offeror can meet the schedule set out in the RFP?

EVALUATOR'S NOTES ____

____

[g] Has the contractor gone beyond the minimum tasks necessary to meet the objectives of the RFP?

EVALUATOR'S NOTES ____

____

[h] Is the proposal practical, feasible, and within budget?

EVALUATOR'S NOTES ____

____

[i] How will you ensure quality communication with Department of Health staff?

EVALUATOR'S NOTES

____ _

____

EVALUATOR'S POINT TOTAL FOR 7.03 ____________________

7.04
Experience and Qualifications

Weight 20 ***Percent***. Maximum Point Value for this Section
100 Points x ***20 Percent = 20 Points***

Rating Scale (***20 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1-5	Fair. Limited applicability
6-10	Good. Some applicability
11-15	Very Good. Substantial applicability
16-20	Excellent. Total applicability

Proposals will be evaluated against the questions set out below. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

Questions regarding the personnel.

[a] Do the individuals assigned to the project have experience on similar projects?

EVALUATOR'S NOTES ____

[b] Are resumes complete and do they demonstrate backgrounds that would be desirable for individuals engaged in the work the RFP requires?

EVALUATOR'S NOTES ____

[c] How extensive is the applicable education and experience of the personnel designated to work on the project?

EVALUATOR'S NOTES ____

Questions regarding the firm.

[d] Has the firm demonstrated experience in completing similar projects on time and within budget?

EVALUATOR'S NOTES ____

[e] How successful is the general history of the firm regarding timely and successful completion of projects?

EVALUATOR'S NOTES ____

[f] If a subcontractor will perform work on the project, how well does it measure up to the evaluation used for the offeror?

EVALUATOR'S NOTES ____

EVALUATOR'S POINT TOTAL FOR 7.04 ______________

7.05
References

Weight ***5 Percent***. Maximum Point Value for this Section
100 Points x ***5 Percent = 5 Points***

Rating Scale (***5 POINT*** Maximum)	
Point Value	Explanation
0	None. Not addressed or response of no value
1	Fair. Limited applicability
2	Good. Some applicability
3	Very Good. Substantial applicability
4-5	Excellent. Total applicability

Proposals will be evaluated against the questions set out below. Do not assign points to individual questions; instead, award a total score for each evaluation criterion.

[a] If references were required, did the references provide information to verify the satisfactory performance of the vendor?

EVALUATOR'S NOTES ____

____

[b] Has the firm provided letters of reference from previous clients?

EVALUATOR'S NOTES ____

____

EVALUATOR'S POINT TOTAL FOR 7.05 ____________

7.06
Contract Cost

Weight ***40 Percent***. Maximum Point Value for this Section
100 Points x ***40 Percent = 40 Points***

Applying Preference Laws

Any prompt payment discounts terms proposed by the offeror will not be considered in evaluating cost. The cost amount used for evaluation may be affected by the application of North Dakota preference laws (N.D.C.C. § 44-08-01). The preference given to a resident offeror will be equal to the preference given or required by the state of the nonresident offeror (i.e. reciprocal preference).

When evaluating cost proposals from nonresident (out-of-state) offerors, determine whether the offeror's state of residence has a preference law for vendors resident in that state. The cost proposal of the nonresident offeror will be increased by the same percentage of preference given to vendors resident in that state.

For example, if the state law of the nonresident offeror requires a 5% preference for vendors resident in that state, the procurement officer will increase that offeror's cost proposal by 5% before evaluation.

See http://www.state.nd.us/csd/spo/resources.html for a list of States Preference Laws or contact the North Dakota State Procurement Office at 701-328-2683.

Converting Cost to Points

After applying any reciprocal preference, the lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be determined as follows:

Price of Lowest Cost Proposal
Price of Proposal Being Rated X Total Points for Cost Available = Awarded Points

COST PROPOSAL EVALUATION

EVALUATOR'S POINT TOTAL FOR 7.06 ____________

NOTES:

Request for Proposal
Evaluation Summary

Name of RFP:		
RFP Number		
Vendor Being Evaluated:		
Evaluator Name:		
Date:		
Technical Evaluation *(Maximum **60 Points**)*	Maximum Points by Category	Score
1. Understanding of the Project	***5***	
2. Methodology Used for the Project:	***20***	
3. Management Plan for the Project:	***10***	
4. Experience and Qualifications:	***20***	
5. References	***5***	
Cost Evaluation (Maximum ***40 Points***) 1. Make adjustments for reciprocal preference, if necessary. See list of States Preference Laws: 2. Calculated points awarded for price. <u>Price of Lowest Cost Proposal</u> Price of Proposal Being Rated X **40 points** = Awarded Points		
5. Cost	***40***	
Total		

Request for Proposal
Evaluation Totals

Name of RFP:						
Name of Offeror:						
Date:						
Technical Evaluation Criteria	***60 POINTS*** Maximum	Evaluator	Evaluator	Evaluator	Evaluator	Evaluator
1. Understanding of the Project	***5***					
2. Methodology Used for the Project:	***20***					
3. Management Plan for the Project:	***10***					
4. Experience and Qualifications:	***20***					
5. References	***5***					
Evaluator Totals						
Grand Total		Note: Sum of all individual scores.				
Technical Proposal Score		Note: Total of individual points divided by the number of evaluators (***60 POINT MAXIMUM***).				
Cost Proposal Score		Note: (***40 POINT MAXIMUM***)				
TOTAL						

Request for Proposal
Summary of Evaluation Committee Totals

Name of RFP:						
Date:						
Technical Evaluation Criteria	***60 POINTS*** Maximum	Vendor 1	Vendor 2	Vendor 3	Vendor 4	Vendor 5
1. Understanding of the Project	***5***					
2. Methodology Used for the Project:	***20***					
3. Management Plan for the Project:	***10***					
4. Experience and Qualifications:	***20***					
1. References	***5***					
Technical Proposal Score						
Cost Proposal Score						
Grand Total						

SECTION NINE
APPENDICES

9.01 Appendices

- A. Requested Information and Evaluation Criteria in Request for Proposal
- B. Project Activities and Deliverables for Data Collection Vendor
- C. Disposition Codes, Calling Rules, and Response Rate
- D. Data Layout for ATS Sample Records
- E. Data Layout for File of Completes and Incompletes/Final Copy of 2008 North Dakota Adult Tobacco Survey
- F. Data Layout for File of Call Attempts
- G. Data Layout for Verbatim File
- H. Data Layout for Interviewer File

Appendix A. Requested Information and Evaluation Criteria in Request for Proposal

<u>Vendor Experience</u>

The vendor should have experience conducting surveys similar to the State's adult tobacco survey.

The vendor should describe experience conducting stratified random-digit dialed telephone surveys with calling rules and sample management requirements similar to the survey in the request for proposal (RFP). The vendor should list similar completed or current (especially, government) surveys, providing a brief description of the sampling frame and design, calling rules, sample management requirements, the field period, the response rate and how it was calculated, and the number of completes.

<u>Facilities and Equipment</u>

The vendor should have the facilities and equipment needed to complete the survey.

The vendor should describe the call center facilities and equipment, including the number of calling stations, the telephone system, and the computer equipment and software available for the survey.

<u>Capability to use WinCATI Questionnaire Programming Software</u>

The North Dakota Adult Tobacco Survey will be programmed using WinCATI. Thus, prospective applicants must have the capability to use WinCATI. The WinCATI questionnaire programming software is able to implement the various types of questions in the questionnaire. It is also able to randomly select a respondent from a household roster by age and gender, has the capability to select respondents with unequal probabilities, is able to reject out-of-range values, and can ask for verification of improbable values.

The WinCATI questionnaire programming software has the capacity to do the following and these capabilities may or may not be necessary in administration of the ND ATS:

a) types of close-ended questions, including randomization of response category order
b) open-ended questions
c) skip patterns
d) randomization of question order within groups of questions
e) random respondent selection from household roster by age and gender and other characteristics
f) automatic assignment of interim and final disposition codes based on interviewer-supplied information
g) reject out-of-range values
h) ask for verification of improbable values

i) selection of respondents with unequal probabilities

Quality Control and Testing of CATI Questionnaire Before Pretest

Most problems in the CATI questionnaire should be detected before the full-scale pretest.

The vendor should describe a process for quality control and testing of the CATI questionnaire before the full-scale pretest.

Interviewer Recruitment and Retainment

The vendor should have a systematic recruitment process with defined characteristics that they are looking for in interviewers. According to Lavrakas (1993),[4]

> The best place to advertise for high-caliber interviewers is on or near college and university campuses…[Applicants] should initially be interviewed over the telephone [and rated on] confidence, pleasantness, clarity, speed, volume, intelligence, and maturity.

The interviewers should be a mix of genders and ages. An interviewer pool of predominantly undergraduate students should be avoided. A lower turnover rate is generally better than a higher turnover rate.

The vendor should describe their recruitment process for interviewers (including criteria for selection), the labor pool(s) from which they are drawn, for example, general labor pool of a community, undergraduate or graduate social work students, and the number of interviewers they currently have from each labor pool. They should also describe the gender, age, education, and other demographic characteristics of the interviewers who are likely to be used to conduct the State Adult Tobacco Survey. They should provide a table describing the number of interviewers hired and fired or laid off from the individual call centers to be used for the survey by month for the year preceding submission of the RFP. The vendor should submit a bar graph showing the total experience of currently employed interviewers **likely to be used in the survey** by calling center. The graph(s) should show interviewer experience by number and percentage in quarterly intervals up to one year (3, 4-6, 7-9, 10-12 months) and annual intervals thereafter. The vendor should state the State's minimum wage and pay rates for new interviewers by experience level. [If interviews are to be conducted in Spanish or other foreign languages: The vendor should specify the number of available foreign language interviewers and their interviewing and foreign language experience and training.]

Interviewer Training and Experience

Interviewers should receive a minimum of twelve hours general training. This training should include specifications of how an interviewer should relate to respondents, how to give nondirective probing and feedback to a respondent, how to avoid refusals, and should provide opportunities for role-playing. At least 90% of the interviewers expected to be used on this project should have three months or more of interviewing experience. The vendor should provide interviewers a training program lasting a total of six or more hours on ATS questionnaire and procedures in general and individual State ATS surveys. Refusal conversions should be attempted only by designated (and, for the most part, specially trained) refusal conversion interviewers.

The vendor should provide an outline of their general training program for interviewers and copies of the training materials. The outline should include an agenda that identifies the format of the sessions (lecture, interactive, role-playing, etc.), the topics to be covered, a schedule, and the materials provided to the interviewers. The vendor should certify that at least 90% of the interviewers expected to be used on this project will have three months or more of interviewing experience. They should also certify that they will provide a training program lasting 6 or more hours on ATS questionnaire and procedures in general and individual State ATS surveys. Finally, the vendor should identify designated refusal conversion interviewers and briefly note their training and refusal conversion rates.

---

[4] Lavrakas, Paul J. 1993. *Telephone survey methods: Sampling, selection, and supervision.* Newbury Park, CA: Sage, p. 149

Interviewer Monitoring

The vendor should perform regular, simultaneously visual and audio, unobtrusive electronic monitoring of interviewers. The vendor should maintain a minimum ratio of one hour of on-line quality assurance monitoring for each ten hours of interviewing. Each interviewer should be monitored weekly. The capability for offsite monitoring by State Health Department staff would be a plus.

The vendor should describe its capabilities, in terms of equipment, software, and staff, for performing the following activities: (1) Performing regular, simultaneously visual and audio, unobtrusive electronic monitoring of interviewers. (2) Maintaining a minimum ratio of one hour of on-line quality assurance monitoring for each ten hours of interviewing. (3) Monitoring each interviewer weekly. (4) Providing the capability for offsite monitoring by State Health Department staff, including procedures and limitations. A copy of the interviewer rating form(s) used in monitoring should be submitted with the vendor's proposal.

Interviewer Supervision

The vendor should maintain a supervisor to interviewer ratio of at least 1:10 at all times.

The vendor should describe its capability for maintaining a supervisor to interviewer ratio of at least 1:10 at all times.

Survey Supervisor Training and Experience

The tasks of survey supervisors are to "ensure the integrity of sampling and the quality of the data that are gathered." Survey supervisors should be intelligent, able to work hard in a highly structured environment, and appreciate "the role of quality sampling and quality interviewing" in the task of reducing total survey error. Persons with graduate training in the social sciences often possess these qualities.[5] In general, survey supervisors should have worked as interviewers for at least one year, preferably more.

The vendor should describe their recruitment process for survey supervisors, provide copies of the resumes of the survey supervisors, and summarize their training and experience.

Management Plan

A management plan specifies how the various resources (people, software, and equipment) will be used to complete the tasks and deliverables in the statement of work (Appendix B). It should demonstrate that the vendor has adequate resources to complete the tasks and deliverables and that the resources are organized to facilitate their completion.

The vendor should provide a plan for managing the resources needed to complete the tasks and deliverables in the statement of work. The plan should include a description of the project organization, including person-hours and percentage of time for each key individual. The specific functions of each person should be described and related to their qualifications. As part of the management plan, the vendor should include a timeline showing all tasks and deliverables specified in the RFP.

Management Staff

Research Director/Survey Operations Manager

The research director has overall responsibility for data collection. He or she ensures that a CATI questionnaire is written, that the appropriate number of survey supervisors and interviewers are scheduled, that they have received appropriate training, and that the other resources needed to collect the data as planned are available. The research director should have substantial experience with the practical aspects of data collection.

The vendor should provide a copy of the resume of the research director and summarize his or her training and experience.

[5] Lavrakas, ibid., p. 154

Project Manager

The project manager has overall responsibility for the survey. He or she is the main contact with the client. S/he is responsible for helping the client finalize a questionnaire and the study design, resolving problems in data collection, and preparing interim and final reports. The project manager should have a good understanding of the entire survey research process.

The vendor should provide a copy of the resume of the project manager and summarize his or her training and experience.

Survey Pretest

The vendor should be asked conduct a pretest of the questionnaire and data collection procedures on at least 50 respondents. The purposes of the pretest are to verify questionnaire content, skip patterns, value verification, consistency of answers across questions, the efficacy of interviewer and supervisor training, and sample management procedures. To the extent practicable, it should be a “dress rehearsal” of the final survey procedures. The vendor will be supplied with a sample file of **listed** telephone numbers with which to conduct the pretest.

The vendor should present a detailed plan for a survey pretest.

WinCATI Software Sample Management Capacity

The WinCATI software package is able to release sample records according to the calling rules specified in Appendix C. In particular, the software is able to schedule up to, but no more than, 3 call attempts per calling occasion, with at least 3 call attempts (out of 15) in each type of calling occasion (weekday, weeknight, weekend).

Staffing and Completion Schedule

The staffing and completion schedule should indicate that the bulk of the staffing and completed interviews will occur in the first half of each interviewing period.[6] Generally, an interviewing period should last about one to one-and-one-half months. Approximately 50% of the target number of interviews should be completed in the first quarter of an interviewing period and approximately 75% in the first half. Front-loading the calling effort in this way ensures enough time to call each number up to 15 times and to wait a week or more after a refusal before attempting a refusal conversion. An interviewing period should never last less than a month. If, for some reason, an interviewing period is scheduled to last much longer than one-and-one-half months, the targets of 50% over the first quarter and 75% over the first half of the interviewing period may be relaxed. The most important consideration is to be able to wait a week or more after a refusal before attempting a refusal conversion. Over the course of an entire interviewing period, a reasonable completion rate per interviewer is one complete for every time period equal to about three times the time needed to complete an interview. For example, if it takes an average of 20 minutes to complete an interview, then an interviewer should complete an interview about every 60 minutes. The mean time to complete should be shorter earlier in the interviewing period and increase toward the end of the interviewing period. Time to complete can be used as a guide to determine if the proposed shift staffing levels are reasonable in relation to target numbers of completes. Assume, for example, a monthly interviewing period, a target number of completes of 300, and a 20 minute average time to complete. The total number of interviewing hours needed would be approximately 300 (300x20x3/60). The vendor should schedule about 135 interviewer hours the first week, about 75 the second week, about 50 the third week, and about 40 the fourth week, at the appropriate days of the week and times of day. A staffing and completion schedule that indicated many fewer interviewer hours than this could indicate

[6] An “interviewing period” is the time that it takes to complete one set of sample records. Some States may plan to release all sample records at the beginning of the field period. In this case, the interviewing period is the same as the field period. Other States may plan for a several month field period with monthly sample releases. In this case, the amount of time that each monthly sample is in the field is a separate interviewing period. Thus, “interviewing periods” can overlap. For example, a survey organization could receive sample records monthly, release each set at the beginning of each month, and keep each set in the field for six weeks.

that the survey organization would not be able to fully follow the callback rules for the survey.

The vendor will receive monthly sample files in the form specified in Appendix D. The length of the survey field period is dependent upon the agreed number of completed surveys. It will begin on October 1, 2008 and could last as long as February 28, 2009 but will most likely be over by the end of 2008. A good general rule of thumb is to target about 1,200 interviews a month-to-six-weeks interviewing period. Thus, the vendor should expect to receive multiple monthly sample files, each of which should be completed in about a month to six weeks. The time that it takes to complete one set of sample records is an interviewing period. The vendor should present a staffing schedule showing shift by shift (weekdays, weeknights, and weekend days) the estimated number of interviewers and supervisors they plan to employ and the estimated number of completes they expect to attain.

Data Processing and File Creation

The vendor should have the data processing capability to create and process the files of completes and incompletes, call attempts, and verbatim text for open-ended responses as specified in Appendices E, F, and G respectively.

The vendor should describe the processes they will use to create the files of completes and incompletes, call attempts, and verbatim text for open-ended responses specified in Appendices E, F, and G. Included in the overall description should be a detailed description of how the vendor will map their internal interim and final disposition codes to the disposition codes specified in the file of completes and incompletes and the call attempt file.

Confidentiality and Data Security

The data should be stored in a secure location on a secure server and require a password for access. Data should be backed up daily and be easily recoverable.

The vendor should identify the procedures that will be taken to maintain confidentiality of the data, including who will have access to the data, how the data will be protected, and how the data will be destroyed. The vendor should explicitly agree to notify the State's authorized representative, immediately and in writing, in the event there is reason to suspect a breach of confidentiality. The data should be destroyed one year after final delivery to the State Health Department. The vendor should describe back-up procedures and other measures they will take to ensure that corrupt or missing data files (including all CATI files) can be recovered. The vendor should describe the most recent test of their data security procedures, including when it was conducted and the results.

Appendix B. Project Activities and Deliverables for Data Collection Vendor

Weekly Progress Reports

Starting with the initiation of the contract, the vendor will provide weekly written reports on current tasks. The reports will describe progress during the week and contain descriptions of any problems encountered. Once data collection has begun, the reports will include a frequency table of the current interim or final disposition codes for all records (using the disposition codes specified in Appendix C) and a description of any problems encountered during the week.

WinCATI Script Capabilities

a. A vendor using Sawtooth Technologies' WinCATI will receive a CATI script containing the entire State questionnaire. The vendor is, however, responsible for testing and implementing the script so that it meets all of the specifications below.

b. The CATI script will follow the skip patterns designated in the final copy of the questionnaire received from the State Health Department.

c. The CATI script will determine respondent selection within a household. The respondent will be asked for the number of males and females age 18 years or older in the household and the CATI script will randomly select one respondent by age rank and gender, for example, the second oldest male. Respondents will be selected with equal probability unless otherwise specified by the State Health Department.

d. The CATI script will reject out-of-range values, ask for verification of valid but improbable values, and check for consistency of values across questions as specified in the data layout received from the State Health Department.

e. As described in Appendix C, the CATI script will assign all interim disposition codes and final disposition codes for records whose final disposition does not depend solely on the outcome of the last call attempt.

f. The vendor will provide a demonstration copy or electronic copies of the final CATI version of the questionnaire to the State Health Department to review and approve the script before pretesting begins. The final form of the CATI version of the questionnaire is at the sole discretion of the State Health Department.

Interviewer Training and Experience

The vendor will provide interviewers a training program lasting 6 or more hours on ATS questionnaire and procedures in general or on individual State ATS surveys. The training will include a thorough run through the questionnaire, hands-on practice with scripted role-playing exercises, and refusal avoidance methods. A copy of the survey-specific training materials will be sent to the State health department by the vendor.

At least 90% of the interviewers used on this project should have three months or more of interviewing experience and they should perform at least 90% of the interviewing. Refusals should be assigned to interviewers specially trained in refusal conversion. The vendor will provide the State health department with monthly reports indicating the percentage of interviewers with and without three months or more of experience at the start of each reporting period, the number of interviewer hours by interviewer experience, and the number of refusal conversions attempted by designated refusal conversion interviewers and other interviewers.

Interviewer Monitoring

The vendor will perform regular, simultaneously visual and audio, unobtrusive electronic monitoring of interviewers. The vendor will maintain a ratio of one hour of on-line quality assurance monitoring for each ten hours of interviewing. Each interviewer will be monitored weekly. A description and the results of such monitoring, including copies of the filled-out interviewer rating form(s), will be included in the weekly reports to the State Health Department.

Interviewer Supervision

The vendor will maintain a supervisor to interviewer ratio of at least 1:10. The vendor will certify in the weekly reports that at least a 1:10 supervisor to interviewer ratio was maintained at all times. If it was not maintained, an explanation of the reasons why it was not maintained will be provided.

Survey Pretest

The vendor will conduct a pretest of the questionnaire and data collection procedures on at least 50 respondents. All sample management and data collection procedures specified for the full-scale survey should be used during the pretest, with two exceptions. Sample records for the pretest may be drawn from a listed sampling frame from the same geographical area as the main survey. The maximum number of telephone calls for the pretest may be limited to six. The pretest should be used to test the entire sample management and data collection process.

The prestest will be used to verify questionnaire content, skip patterns, value verification, consistency of answers across questions, the efficacy of interviewer and supervisor training, and sample management procedures.

The vendor will correct any problems noted in the pretest and present the final version of the CATI script to the State Health Department for final approval. Data collection will not begin until the State Health Department has approved the final version of the CATI script.

Sample Data Files and Record Layout

Once a sample is drawn, commercial sample providers can examine their databases to identify business telephone numbers and can dial the remaining not-listed telephone numbers to identify non-working and additional business numbers. The sample provided through OSH will have been pre-screened for business and non-working numbers. Survey organizations need not call pre-screened telephone numbers although they may do so if desired. Pre-screening does not identify all business and non-working numbers and not all telephone numbers pre-screened as business or non-working will be business or non-working if they are called.

Each sample file received by the survey organization will contain all records selected into the sample, including those pre-screened as business or non-working. One of the goals of the procedures in this document is to ensure that all of the information needed to meet survey needs—in this case, the calculation of survey outcome rates (rates calculated from final disposition codes)—is in the data files that are sent to the OSH contractor. Pre-screened telephone numbers will be included in the frequency distribution of final disposition codes and in the outcome rates calculated from them.

Sample telephone numbers will be grouped in replicates of size 50. A replicate is a subset of a sample that in itself is a probability sample from a designated sampling frame or subframe. *Each replicate will contain telephone numbers from listed and not-listed numbers in a single state-defined stratum.*

For example, suppose that a state has identified three separate groups of counties for which it has set separate target numbers of completes. The sampling frame for the state is thus divided into six strata—listed and not-listed numbers for each group of counties. A single replicate will contain listed and not-listed numbers from only one geographic stratum. Grouping sample telephone numbers in replicates in this way allows the survey organization to release or withhold telephone numbers separately by geographic stratum, depending on the rate of progress towards an individual stratum's target number of completes.

Appendix D shows the data layout for each sample record. Besides the telephone number, the sample record contains a variety of information. This information documents the sample generation process, describes various characteristics of the sample, and is useful in sample management during data collection and processing and weighting after data collection. This appendix should be included in any RFP that a State puts out and communicated to any organization that provides data collection services without an RFP.

Sample Management

The vendor will receive monthly sample files in the form specified in Appendix D. The time that it takes to complete one set of sample records is an interviewing period.

For a given interviewing period, one or two sample files may be received, at the convenience of the vendor. OSH calculates an estimate of the number of telephone numbers required to achieve a target number of completes. In order to increase assurance that the number of sample records is sufficient, OSH adds additional sample records, usually 10%, to that number.

Sample records will be grouped in replicates of 50 records each. **All of the sample records in a replicate must be released at the same time, although not all replicates need be released at the beginning of the study. Once sample records are released, they must be called fully according to the calling rules specified in Appendix C, even if the target number of completes has been reached.**

The fields in columns 1 to 44 of the final data file of completes and incompletes (Appendix E) should be copied from columns 5 to 66 of the sample file (Appendix D). Not all fields in columns 5 to 66 of the sample file should appear on the final data file but all of the fields in columns 1 to 44 should come from columns 5 to 66 of the sample file. The fields that appear on both files are necessary for post-data collection processing, including weighting the data.

In case of uncertainty as to how to assign the disposition code for a call attempt, the vendor should contact the OSH staff member who is providing sample records, notifying the State Health Department that it is doing so.

Staffing and Completion Schedule

The vendor should prepare a monthly staffing schedule by the first of each month showing shift by shift (weekdays, weeknights, and weekend days) the estimated number of interviewers and supervisors they plan to employ and the estimated number of completes they expect to attain.

Interim and Final Data Files

Within one month of the end of each interviewing period, the vendor will provide to the State Health Department an ASCII data file with one record for every telephone number, complete and incomplete, that was used in the survey. This includes telephone numbers pre-screened out as business or non-working in replicates where the other telephone numbers were released for calling. The file will follow the layout specified in Appendix E.

Within one month of the end of each interviewing period, the vendor will provide to the State Health Department an ASCII call attempt file with one record for every call attempt. The file will follow the layout specified in Appendix F.

Within one month of the end of data collection, the vendor will provide to the State Health Department an ASCII verbatim file. The file will follow the layout specified in Appendix G.

Within one month of the end of data collection, the vendor will provide to the State Health Department an ASCII interviewer file, with one record for each interviewer id in the data and call attempt files. The file will follow the layout specified in Appendix H.

Any of the files referred to above may be transmitted in alternative formats—for example, SAS or Excel—upon agreement of the receiving parties. Survey organizations using alternative formats must use the variable names specified in the corresponding Appendix.

Final Report

Within one month of the end of data collection, the vendor will provide to the State Health Department a written final report on data collection. At a minimum, the report will include a frequency table of final disposition codes for all records and a calculation of the final response rate. The response rate shall be defined as the number of records receiving disposition codes 110 and 120 divided by the number of records receiving disposition codes 110 through 355 and 371.

Confidentiality and Data Security

The vendor will maintain confidentiality of personal identifiers and delete all personal identifiers after a period of time specified by the State Health Department. Procedures to protect data with personal identifiers should be explicitly stated in the proposal, including who will have access to the data, the proposed period of time that personal identifiers will be kept, how they will be protected, and how the identifying information will be destroyed. The vendor will back-up files daily such that a server malfunction would result in the loss of no more than one day’s worth of interviews.

Appendix C. Disposition Codes, Calling Rules, and Response Rate

I. Introduction

This appendix presents a minimum set of final and interim disposition codes for use with state ATS surveys and their corresponding calling rules. The codes are based on recommended final disposition codes from The American Association for Public Opinion Research (AAPOR). AAPOR's recommended final disposition codes are the latest and most successful effort to standardize final disposition codes and the outcome rates calculated from them. AAPOR's recommended codes were modified slightly to achieve four major goals: (1) to accurately calculate response and other outcome rates, (2) to identify where nonresponse takes place in order to best design strategies to improve response rates, (3) to help assess the quality of sample management, and (4) to facilitate sample management.

States may use more detailed interim and final disposition codes in the course of data collection as long as the interim disposition codes used are subsets of those listed below and the interim and final disposition codes sent to OSH are those listed below. States may also treat the calling rules as minimal standards and adopt more strenuous efforts to complete interviews.

Section II describes the process for assigning final disposition codes that require taking into account the outcomes from more than one attempt. Section III presents the definitions of and calling rules for final disposition codes. Section IV presents the definitions of and calling rules for interim disposition codes. Section V describes the rules for assigning particular final disposition codes from specific patterns of interim disposition codes. Finally, Section VI presents a formula for calculating response rates from the disposition codes.

II. The Process for Assigning Final Disposition Codes From Interim Disposition Codes

When telephone interviews were mostly conducted with paper and pencil and there were only a small number of final disposition codes, it was reasonable to expect the interviewer to be aware of the call attempt history of each piece of sample and to assign a final disposition accordingly. With the adoption of CATI packages and advances in their capabilities, a different model is now more appropriate. In the newer model, the CATI package is programmed to ask the interviewer a series of questions to determine what happened on the last attempt. If the outcome of the last attempt indicates that a final disposition code is appropriate, it is immediately assigned by the CATI package. If the outcome of the last attempt does not indicate that a final disposition code is appropriate, the CATI package then reviews all the interim disposition codes for that telephone number to determine if a final disposition code is appropriate. For example, if a respondent (non-irately) refuses to continue, the CATI package determines from interviewer responses to a series of questions that the last disposition is a refusal. It then looks to see if the refusal is a second refusal and, if so, at what point during the interview process the refusal was made. If the refusal is a second refusal, then the CATI package assigns the appropriate final disposition code and retires the number. This process is run after each attempt. **The assignment of final disposition codes should follow this process**.

There are at least three advantages to such a process: (1) The interviewer does not need to remember a large number of interim and final disposition codes to in order to assign disposition codes. (2) The interviewer responds to questions only about what happened on the last call attempt. Thus, the interviewer does not need to be aware of the call attempt history of a number to assign a final disposition code. (Of course, the interviewer may still need to be aware of the call attempt history of a number in order to try to complete an interview.) (3) Human errors in the assignment of final disposition codes based on interim disposition codes are eliminated (assuming correct programming). The disadvantages are that it requires more programming than the older approach and that not all CATI packages may be capable of implementing the newer approach..

The interim disposition codes are the minimal set implied by the final disposition codes and two additional codes—Null attempt and Requires supervisor attention—that are useful for operational purposes.

III. Definitions of Calling Occasions

Final disposition codes should be assigned to telephone numbers which have not already received a final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls. A weekday call is a call between the hours of midnight and 5 pm, Monday through Friday. A weeknight call is a call between the hours of 5 pm and midnight, Monday through Friday. A weekend call is a call between the hours of midnight Friday and midnight Sunday. Each day segment constitutes a separate calling occasion. In particular, the Saturday and Sunday of a weekend constitute two separate calling occasions.

IV. Final Disposition Codes

Interview

110 Complete
Definition: Selected respondent meets the criteria for a partial complete and has completed the interview through the last question.
Calling rules: Give final disposition upon completion of interview.

120 Partial Complete
Definition: Gender and three or more questions from among age, multiple race, Hispanic origin, marital status, education, employment status, and “Do you have more than one telephone number in your household?” have been answered with a response other than Don’t know/Not sure (7, 77, or 777) or Refused (9, 99, or 999).
Calling rules: Make a second attempt to fully complete the interview after first refusal or termination. Give final disposition if second attempt to fully complete the interview is unsuccessful. Give final disposition on the fifteenth or subsequent call attempt even if there is only one occurrence of a refusal or termination.
***Note*: A partial complete counts as a completed interview.**

Non-Interview, Household With Eligible Respondent

210 Termination within questionnaire
***Definition*: A hang-up or termination after the first question in the core has been asked and it or a subsequent question has received a response other than Don’t know/Not sure or Refused. The selected respondent has not answered enough questions for the interview to quality as a 120 Partial complete.**
Calling rules: Give final disposition after second refusal or termination or when a first-time refusal or termination will not be called a second time because of an irate respondent. Give final disposition on the fifteenth or subsequent call attempt even if there is only one occurrence of a refusal or termination.

220 Refusal after respondent selection
Definition: A hang-up or termination after respondent selection but before respondent has given a response other than Don't know/Not sure or Refused to one or more questions in the core. The refusals can come from any adult in the household and the initial refusal could have come before respondent selection. An automated message to not call the number again that is not in response specifically to that call attempt does not count as a refusal. Such an outcome should receive an answering machine or technological barrier interim code.
Calling rules: Give final disposition after second refusal or when a first-time refusal will not be called a second time because of an irate respondent. On the fifteenth or subsequent call attempt, give final disposition even if there is only one occurrence of a refusal.

230 Selected respondent never reached or was reached but did not begin interview during interviewing period
Definition: Selected respondent was never spoken to or was spoken to and asked to be called again later one or more times. Includes cases where the selected respondent was away from residence for part of the interviewing period.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

240 Selected respondent away from residence during the entire interviewing period
Definition: Selected respondent is expected to be away from residence during the entire interviewing period, for example, because of travel or a hospital stay.
Calling rules: Give final disposition when informed of absence.

250 Language problem after respondent selection
Definition: After respondent selection, the selected or another respondent does not speak English or another language for which an interviewer and translated questionnaire are available well enough to be interviewed.
Calling rules: Give final disposition (1) the first time a selected respondent is contacted or is described by someone else as not speaking English or another language for which an interviewer and translated questionnaire are available well enough to be interviewed or (2) the second time a respondent who does not speak English well enough to answer the screening questions is contacted and there is not a translated questionnaire and interviewer available for the respective language. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

260 Selected respondent physically or mentally unable to complete an interview during the entire interviewing period
Definition: After respondent selection, the selected or another respondent has a physical or mental condition that prevents the completion of an interview and that condition is expected to last through the entire interviewing period. This includes a temporary condition, such as bereavement, that will last beyond the interviewing period. (For conditions not expected to last through the entire interviewing period, schedule an appointment and keep trying.)
Calling rules: Give final disposition (1) the first time a selected respondent is contacted or is described by someone else as physically or mentally unable to complete an interview during the entire interviewing period or (2) the second time a respondent who is physically or mentally impaired is contacted. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

270 Hang up or termination after number of adults recorded but before respondent selection
Definition: Respondent hangs up or terminates call attempt after answering the number of adults question but before answering the number of men and number of women

questions. **This differs from 280 in that the respondent explicitly refuses.**
Calling rules: Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

280 Household contact after number of adults recorded but before respondent selection
Definition: Respondent answered the number of adults question and asked to be called again later one or more times but the number of men and number of women were never determined. On the surface, this is a postponement that was never re-started but may be an implicit refusal. **This differs from 270 in that the respondent never explicitly refuses.**
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

Non-Interview, Eligibility Undetermined

305 Household members away from residence during entire interviewing period
Definition: A house sitter, house cleaner, or other non-member of a household states that all of the household members will be away from the residence during the entire interviewing period.
Calling rules: Give final disposition when informed.

310 Hang-up or termination, housing unit, unknown if eligible respondent
Definition: A respondent hangs-up or terminates a call attempt before answering the number of adults question. This differs from 315 in that the respondent explicitly refuses.
Calling rules: Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

315 Household contact, eligibility undetermined
Definition: A respondent verified that the telephone number reaches a private residence and asked to be called again later one or more times but the number of adults in the household was never determined. On the surface, this is a postponement that was never re-started but may be an implicit refusal. This differs from 310 in that the respondent never explicitly refuses.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

320 Language problem before respondent selection
Definition: A respondent who does not speak English or another language for which an interviewer and translated questionnaire are available well enough to answer the screening questions answers the telephone twice before respondent selection. Give final disposition even if other respondents who do not present a language problem have answered the telephone.
Calling rules: Give final disposition after second contact with a respondent who does not speak English well enough to answer the screening questions and there is not a translated questionnaire and interviewer available for the respective language. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

325 Physical or mental impairment before respondent selection
Definition: A respondent whose physical or mental impairment prevents him or her from completing the screening questions answers the phone twice before respondent selection. Give final disposition even if other respondents without a physical or mental impairment have answered the telephone.
Calling rules: Give final disposition after second contact with a physically or mentally impaired respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

330 Hang-up or termination, unknown if private residence
Definition: A respondent hangs-up or terminates a call attempt before confirming that the telephone number rings to a private residence.
Calling rules: Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

332 Contact, unknown if private residence
Definition: A respondent did not verify that the telephone number reaches a private residence but asked to be called again later one or more times. On the surface, this is a postponement that was never re-started but may be an implicit refusal. This differs from 330 in that the respondent never explicitly refuses.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

335 Telephone answering device, message confirms private residential status
Definition: One or more call attempts reached an answering machine but no person was ever spoken to. The message confirms that the telephone number reaches a private residence by using the words, “home,” “house,” “family,” “residence” or a family name.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

340 Telecommunication technological barrier, message confirms private residential status
Definition: One or more call attempts reached a call blocking message, a message asking the caller to identify himself or herself, or other automated message, but no person was ever spoken to. A message confirms that the telephone number reaches a private residence by using the words, “home,” “house,” “family,” “residence” or a family name.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

345 Telephone answering device, not sure if private residence
Definition: One or more call attempts reached an answering machine but no person was ever spoken to. The message leaves open the possibility that the telephone number is reaching a private residence but it does not explicitly state so.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

350 Telecommunication technological barrier, not sure if private residence
Definition: One or more call attempts reached a call blocking message, a message asking the caller to identify himself or herself, or other automated response, but no person was ever spoken to. There is no message or a message leaves open the possibility that the telephone number is reaching a private residence but it does not explicitly state so.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

355 Telephone number has changed status from household or possible household to non-working during the interviewing period

Definition: On the second or subsequent call attempt, a telephone number is responding with a message indicating that the telephone number called is a non-working number or has been changed and there is at least one previous interim disposition of 505, 510, 515, 520, 525, 530, 535, or 540. (If a "number changed" recording is encountered the first time that a telephone number is called, that number should received a final disposition of 450 Non-working/disconnected number.)
Calling rules: Give final disposition when notified.

360 No answer
Definition: Among telephone numbers which no person or device ever answered, half or more of the call attempts resulted in a normal telephone ring that no one answered.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

365 Busy
Definition: Among telephone numbers which no person or device ever answered, more than half of the call attempts resulted in a normal busy signal.
Calling rules: Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least 10 minutes apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls. If possible, contact the telephone company repair service to verify the number is in service.

371 A listed number that was never called, although it should have been called.
Definition: A telephone number from a released replicate which was coded in the sample record as a number to be called was never called during the survey field period.
Calling rules: Give final disposition during post-data-collection processing.

372 A not-listed one plus block number that was never called, although it should have been called.
Definition: A telephone number from a released replicate which was coded in the sample record as a number to be called was never called during the survey field period.
Calling rules: Give final disposition during post-data-collection processing.

Not Eligible

405 Out-of-state
Definition: The telephone number rings out-of-state.

Calling rules: Give final disposition when informed. This code should take priority over other possible final disposition codes.

410 Household, no eligible respondent
Definition: For surveys with no household level screening: No one 18 years of age or older uses the telephone. To be assigned when no one in the household is 18 years of age or older or the telephone number is used by a teen under the age of 18 and the parents do not use that phone. For surveys with household level screening, can also mean: Otherwise eligible respondent was screened out.
Calling rules: Give final disposition when informed.

420 Not a private residence
Definition: The person answering the phone or an answering machine identifies the telephone number as a business, an institution (government office, educational facility, dormitory, nursing home, hospital, prison), a group home (fraternity or sorority, half-way house, shelter), a timeshare or vacation home at which no one is living for 30 days or more at the time of contact, Efax service, a pager, a cellular phone, or a dedicated fax/data/modem line that s/he answered to identify as such.
***Calling rules*: Give final disposition when informed.**

430 Dedicated fax/data/modem line with no human contact
Definition: A telephone number used only as a fax, data, or modem line.
Calling rules: Give final disposition only after (a) at least 2 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 6 call attempts with at least one interim disposition code of 560 Fax/modem/data and all other disposition codes are 550 No answer, 555 Busy, 565 Fast busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

435 Cellular Telephone
Definition: The telephone number rings to a cell phone.
Callback Rules: Give final disposition when informed. This code should be assigned upon notification by the respondent that the conversation is taking place on a cellular or mobile phone. This disposition will take priority over other possible final disposition codes.

440 Fast busy
Definition: A telephone number with at least one disposition of 565 Fast busy and all other dispositions are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)
Calling rules: Give final disposition only after (a) at least 2 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 6 call attempts with at least one interim disposition code of 565 Fast busy and all other disposition codes are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

450 Non-working/disconnected number
Definition: Usually recognized by a tritone, a recording indicating that the telephone number is non-working, a number that consistently rings to an incorrect number, or a number that cannot be verified by a respondent. If a 450 is assigned on a second or subsequent attempt, the CATI system or a post-data collection program should check to see if there is at least one previous interim disposition of 505, 510, 515, 520, 525, 530, 535, or 540. If there is, then the record should receive a final disposition of 355

Telephone number has changed status from household or possible household to non-working during the interviewing period. If the current status of the telephone number is in doubt, give an interim disposition of 570 Possible non-working number or call operator or repair service. After at least 15 call attempts, assign if all dispositions are 545 Phone number temporarily out of service, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)
Calling rules: Give final disposition when the above criteria are met. If 15 call attempts are required, give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

IV. Interim Disposition Codes

505 Refusal: hang-up or termination
Definition: Respondent hangs up or refuses to continue the interview at any time during the call attempt from immediately after pick-up to any time before answering the last survey question.
Calling rules: Give interim disposition when this situation occurs. Schedule callback for as long as practical up to two weeks after initial refusal.

510 Appointment
Definition: Respondent asks for a callback at some other time or a child answers the phone and does not get an adult to speak to the interviewer.
Calling rules: Schedule a callback for an appropriate time.

515 Language problem
Definition: A respondent other than one known to be the selected respondent does not speak English or another language for which an interviewer and translated questionnaire are available well enough to respond appropriately.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one day.

520 Physical or mental impairment
Definition: A respondent other than one known to be the selected respondent cannot respond appropriately because of a mental or physical impairment.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one day.

525 Answering machine, message confirms residential status
Definition: An answering machine gives a message confirming that the telephone number rings to a private residence by using the words, “home,” “house,” “family,” “residence” or a family name in the message.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

530 Technological barrier other than answering machine, message confirms residential status
Definition: A device other than an answering machine gives a message confirming that the telephone number rings to a private residence by using the words, “home,” “house,” “family,” “residence” or a family name in the message.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

535 Answering machine, not sure if private residence
Definition: An answering machine gives a message that leaves open the possibility that the telephone number is reaching a private residence.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

540 Technological barrier other than answering machine, not sure if private residence
Definition: A device other than an answering machine gives a message that leaves open the possibility that the telephone number is reaching a private residence.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

545 Phone number temporarily out of service
Definition: A recorded message states that the telephone number is temporarily out of service
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one day.

550 No answer
Definition: A normal telephone ring that no one answers.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

555 Busy
Definition: A normal busy signal.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least ten minutes.

560 Fax/data/modem
Definition: An electronic screeching sound.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

565 Fast busy
Definition: A faster than normal busy signal.
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

570 Possible non-working number
Definition: A noise or other response that may indicate a non-working number.
Calling rules: Phone telephone company immediately or give interim disposition when this situation occurs and call back after an interval of at least one hour.

575 Circuit busy
Definition: A recorded message states that “All circuits are busy.”
Calling rules: Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

580 Null attempt
Definition: The number came up on an interviewer’s screen but is not attempted.
Calling rules: Give interim disposition when this situation occurs. The supervisor should delete the call attempt information on a null attempt before the telephone number is attempted again. Do not count as one of the up to fifteen attempts. Call back as appropriate.

585 Requires supervisor attention

Definition: An interviewer encounters an unusual situation that requires intervention by a supervisor.

Calling rules: Give interim disposition when this situation occurs. The supervisor should replace the 585 interim disposition code with an appropriate interim or final disposition code before the telephone number is attempted again. Call back as appropriate.

V. Assignment of Final Disposition Based on Interim Dispositions

In the process described earlier, after each call attempt where the interviewer has assigned an interim disposition code, the CATI package reviews all the interim disposition codes that the telephone number has received and, if appropriate, assigns a final disposition code to that telephone number. The table below shows the appropriate final disposition that should be assigned in such cases. States or their survey organizations should contact The Office on Smoking and Health about cases not covered by the table below.

States should ensure that every record whose last disposition in its call attempt history is an interim disposition is assigned a final disposition according to the following rules. **The rules below are hierarchical. The first rule should be applied first to all records with a last, interim disposition code, then the second rule to the remaining records, etc.**

A final disposition code of 450 Non-working/disconnected number may need to be converted to a final code of 355 Telephone number has changed status from household or possible household to non-working during the interviewing period. State survey organizations should configure their CATI systems to make the change or they should make the change during their post-data collection processing.

When an interviewer assigns a final disposition code of 450 Non-working/disconnected number on a second or subsequent call attempt, the previous disposition codes should be reviewed. If at least one previous code is 505, 510, 515, 520, 525, 530, 535, or 540, then the final disposition code should be changed to 355 Telephone number has changed status from household or possible household to non-working during the interviewing period. This situation is included in the table below even though it involves changing a final (as opposed to interim) disposition code.

If There Is/Are	**Assign Indicated Final Disposition Code If**
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 120 Partial complete
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 210 Termination within questionnaire
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 220 Refusal after respondent selection
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 270 Hang up or termination after number of adults taken but before respondent selection
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 310 Hang-up or termination, housing unit, unknown if eligible respondent
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 330 Hang-up or termination, unknown if private residence

At least one disposition of 510 Appointment	The questions answered meet the definition and calling rules for a 230 Selected respondent never contacted or was reached but did not begin interview during interviewing period
At least one disposition of 510 Appointment	The questions answered meet the definition and calling rules for a 280 Household contact after number of adults taken but before respondent selection
At least one disposition of 510 Appointment	The questions answered meet the definition and calling rules for a 315 Household contact, eligibility undetermined
At least one disposition of 510 Appointment	The questions answered meet the definition and calling rules for a 332 Contact, unknown if private residence
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 515 Language problem	(No further conditions. Assign final disposition of 320 Language problem before respondent selection.)
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 520 Physical or mental impairment	(No further conditions. Assign final disposition of 325 Physical or mental impairment before respondent selection.)
At least one disposition of 525 Answering machine, message confirms residential status	The call history meets the definition and calling rules for a 335 Telephone answering device, message confirms residential status
At least one disposition of 530 Technological barrier other than answering machine, message confirms residential status	The call history meets the definition and calling rules for a 340 Telecommunication technological barrier
At least one disposition of 535 Answering machine, not sure if private residence	The call history meets the definition and calling rules for a 345 Telephone answering device, not sure if private residence
At least one disposition of 540 Technological barrier other than answering machine, not sure if private residence	The call history meets the definition and calling rules for a 350 Telecommunication technological barrier, not sure if private residence
A last disposition of 450 Non-working/disconnected number and at least one previous disposition of 505, 510, 515, 520, 525, 530, 535, or 540 (See the two paragraphs preceding this table.)	The call history meets the definition and calling rules for a 355 Telephone number has changed status from possible household to non-working during the interviewing period
At least one disposition of 560 Fax/data/modem and all other dispositions, not counting 580 Null attempt or 585 Requires supervisor attention, are 550 No answer, 555 Busy, 565 Fast busy, 570 Possible non-working number, or 575 Circuit busy	The call history meets the definition and calling rules for a 430 Dedicated fax/data/modem line
At least one disposition of 565 Fast busy and all other dispositions, not counting 580 Null attempt or 585 Requires supervisor attention, are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy.	The call history meets the definition and calling rules for a 440 Fast busy
At least one disposition of 550 No answer	The call history meets the definition and calling rules for a 360 No answer
At least one disposition of 555 Busy	The call history meets the definition and calling rules for a 365 Busy
At least fifteen call attempts with all dispositions, not counting 580 Null attempt or	The call history meets the definition and calling rules for a 450 Non-working/disconnected

585 Requires supervisor attention, 545 Phone number temporarily out of service, 570 Possible non-working number, or 575 Circuit busy	number

VI. Calculation of Response Rates

The recommended State ATS disposition codes follow the organization of the AAPOR recommended disposition codes. Four major types of disposition codes are identified: complete or partially complete interviews (110 and 120 in the recommended ATS numeric scheme), eligible records with which no interview was conducted (210 to 280), records whose eligibility was not determined (305 to 372), and ineligible records (405 to 450).

A response rate is an outcome rate defined as the number of completes divided by the number of eligible units in the sample. RDD telephone surveys contain significant numbers of records whose eligibility is, strictly speaking, undetermined. Thus, calculated response rates from telephone surveys are always estimates of the “true” response rate and the calculated response rate depends significantly on how many of the records with undetermined eligibility are deemed households.

One of the goals in defining disposition codes was to differentiate between records that have a large probability of ringing to eligible households and records that have a small probability of ringing to eligible households. Among the recommended State ATS disposition codes, codes 305 to 355 and 371 are considered to be assigned to records with large probabilities of ringing to eligible households; codes 360, 365, and 372 are considered to be assigned to records with small probabilities of ringing to eligible households. Thus, the recommended formula for calculating a response rate is

$$\frac{110+120}{110+120+210+220+230+240+250+260+270+280+305+310+315+320+325+330+332+335+340+345+350+355+371}$$

This formula corresponds to AAPOR’s RR4 (Response Rate Four), with all of the records assigned disposition codes 305 to 355 and 371 considered households and all of the records assigned disposition codes 360, 365, and 372 considered non-households.

It is likely that some of the records assigned disposition codes 305 to 355 and 371 are not households and that some of the records assigned disposition codes 360, 365, and 372 are households. There is, however, no easy way to accurately estimate percentages of households for each disposition code. In addition, accurate estimates of the numbers of households assigned to each disposition codes are unlikely to make an appreciable difference on the calculated response rate.

Appendix D. Data Layout for ATS Sample Records

Field Name	Size	Position	Format/Values/Explanation
Phone Number	22	1-22	9,1-*NNN*-*NNN*-*NNNN*v20*NN*1
Area Code (areacodes)	3	5-7	*NNN*=Area Code
Prefix (prefixs)	3	9-11	*NNN*=Prefix
Geographic or Racial/Ethnic Stratum (geostrs)	2	23-24	States with no geographic or racial/ethnic strata=01 in each record. Others according to provided information.
Density Stratum (denstrs)	1	25	1=Listed number 2=Not listed one-plus block 9=Not applicable (Territories and jurisdictions).
Sequence Number (seqno)	10	26-35	A unique 10-digit number for a state for a year with year in the first four digits. For example: 2005000001.
Number of Records Selected from Stratum (nrecsel)	6	36-41	Number of telephone numbers (eligible sampling units) selected from stratum.
Number of Records in Stratum (nrecstrs)	9	42-50	Number of telephone numbers in the stratum from which sample was selected.
Precalling [Genesys-ID Plus] Status (precalls)	1	51	1=To be called 3=Non-working number 4=Cell phone, identified by dialer 5=Business phone 6=Cell phone, identified by interviewer
Sample Month (smonths)	2	52-53	1-12=The month for which the sample was drawn
Replicate Number (repno)	5	52-56	The first two digits, 01-12, represent months, the last three digits a sequential number starting with 001 each month.
Replicate Depth (repdepth)	2	57-58	01-50=A sequential number in each replicate.
State FIPS Code (statefipss)	2	59-60	*NN*=FIPS code of assigned state.
FIPS Code of Assigned County (asgcntys)	3	61-63	*NNN*=FIPS code of assigned county. Blank=Territories and jurisdictions.
County FIPS Code of Listed Number (listcntys)	3	64-66	For listed numbers, FIPS code of the county in which number is located. For not listed numbers=999 Blank=Territories and jurisdictions.
Number of Listed Household Numbers in Prefix in Assigned County (nohhcty)	4	67-70	Number of listed household numbers in prefix that are in assigned county. Blank=Territories and jurisdictions.
NXX Type (nxxtype)	2	71-72	As found in Telcordia data: 00,50,51,52,54.
Block Size (blcksize)	3	73-75	000-100=Number of listed households in hundred block Blank=Territories and jurisdictions.
Number of Listed Households in Prefix (lsthhpre)	5	76-80	From Master matrix. As described on page 21 of "Methodology." Blank=Territories and jurisdictions.
Estimated Total Households in Prefix (tothhpre)	5	81-85	From Master matrix. As described on page 21 of "Methodology." Blank=Territories and jurisdictions.
Metropolitan Statistical Area Code (msacode)	5	86-90	99999=Not in an MSA. Blank=Territories and jurisdictions.
Metropolitan Status Code (mscode)	1	91	1=In the center city of an MSA 2=Outside the center city of an MSA but inside

			the county containing the center city 3=Inside a suburban county of the MSA 4=In an MSA that has no center city 5=Not in an MSA Blank=Territories and jurisdictions.
Central Office Location (centoff)	30	92-121	(Character)
V&H Coordinate (vnhcoord)	10	122-131	(Character)
Date Sample Generated (datesmp)	10	132-141	*mm/dd/yyyy*
Pre-screening Process Used (prescren)	1	142	1=ID, 2=ID Plus.
Date Sample Pre-screened (datescrn)	10	143-152	*mm/dd/yyyy*
Release Date of Active Prefix Database (phnrldat)	10	153-162	*mm/dd/yyyy*
Release Date of Listed Phone Number Database (lstrldat)	10	163-172	*mm/dd/yyyy* Blank=Territories and jurisdictions.
CLEC Number (clec)	1	173	1=Yes 2=No Blank=Territories and jurisdictions.
On DMA (Direct Marketing Association) List (ncldma)	1	174	1=Yes 2=No Blank=Territories and jurisdictions.
On State Telemarketing List (nclstate)	1	175	1=Yes 2=No Blank=Territories and jurisdictions.
Primary or Secondary Phone (prisecph)	1	176	1=Yes 2=No Blank=Territories and jurisdictions.
Listed in Telephone Directory (dirlst)	1	177	1=Yes 2=No Blank=Territories and jurisdictions.
Secondary Screening Flags (secflags)	1	178	0=Residential/Undetermined 1=Fax/Modem 2=Incomplete Call 3=Privacy Manager 4 = Cellular – PRO-T-S 6 = Cellular – Interviewer 9=Non-Working/Business
Indication of Address Matching (addmatch)	1	179	1=Matched 2=Not matched
Path variable used to help identify which questionnaire is used when there are dual questionnaires. (path)	1	180	0 = Default Genesys value

Note: Files will be sorted by stratum, replicate, and depth. The order of numbers within a replicate will be randomized before assignment of depth numbers. All numeric fields are right aligned and padded with leading zeros. All character fields are left aligned with trailing blanks.

Appendix E. Data Layout for File of Completes and Incompletes/Final Copy of 2008 North Dakota Adult Tobacco Survey

Question or Field Name and Variable Name (In Parentheses)	Starting Column	Size	Format/Values/Explanation (Variables are numeric unless "Character" is indicated.)
Frequently used variable naming conventions: Beginning of name: hcw=Health care worker; qmed=Quit medication; shs=Second hand smoke; slt=Smokeless tobacco; smok=Smoke; y=Young adult Middle of name: ge=Greater than or equal to; gt=Greater than; le=Less than or equal to; lt=Less than End of name: opn=Opinion question; clc=Calculated variable Any part of name: no, nos=Number, number			
State FIPS Code (statefips) (Columns 59-60 in sample file)	1	2	NN=State FIPS Code
Geographic or Racial/Ethnic Stratum (geostr) (Columns 23-24 in sample file)	3	2	States with no geographic or racial/ethnic strata=1 on each record
Density Stratum (denstr) (Column 25 in sample file)	5	1	1=Listed number 2=Not a listed number
Number of Records in Stratum (nrecstr) (Columns 42-50 in sample file)	6	9	Number of telephone numbers in the stratum from which sample was selected.
Assigned County FIPS Code (asgcnty) (Columns 61-63 in sample file)	15	3	NNN=FIPS code of assigned county (To preserve confidentiality, blank in ASCII public use file and deleted from SAS public use file.)
County FIPS Code of Listed Number (listcnty) (Columns 64-66 in sample file)	18	3	NNN=FIPS code of the county in which number is located (listed numbers only) 999=Not listed number Blank=Territory or jurisdiction (To preserve confidentiality, blank in ASCII public use file and deleted from SAS public use file.)
Precall Status (precall) (Column 51 in sample file)	21	1	1=To be called 3=Non-working number 4=Cell phone, identified by dialer 5=Business phone 6=Cell phone, identified by interviewer
Area Code (areacode) (Columns 5-7 in sample file)	22	3	NNN=Area code (To preserve confidentiality, blank in ASCII public use file and deleted from SAS public use file.)
Prefix (prefix) (Columns 9-11 in sample file)	25	3	NNN=Prefix (To preserve confidentiality, blank in ASCII public use file and deleted from SAS public use file.)
Sequence Number (seqno) (Columns 26-35 in sample file)	28	10	A unique 10-digit number for a survey with year in the first four digits.
Replicate Number (repno) (Columns 52-56 in sample file)	38	5	The first two digits, 01-12, represent months, the last three digits a sequential number starting with 001 each month.
Replicate Depth (repdepth)	43	2	A sequential number from 1-50 in each replicate.

(Columns 57-58 in sample file)			
Final Disposition Code (dispcode)	45	3	110-450
Date of Final Disposition (dispdatec) (dispdaten)	48	8	Mmddyyyy. (Month and day padded with leading zeros in ASCII file. Day should equal 00 for records with no attempts. Character and numeric variables.)
Month of Final Disposition (dispmonth)	48	2	01-12 (Pad month with leading zeros.)
Day of Final Disposition (dispday)	50	2	01-31 (Pad day with leading zeros.)
Year of Final Disposition (dispyear)	52	4	20NN
Interviewer ID (intvid)	56	3	Unique three character or digit code for each interviewer. There should be a one-to-one mapping between interviewers and interviewer id's.
Number of Attempts (noattmpts)	59	2	1-99 (99=99+)
Questionnaire Version (qstver)	61	1	1-9
Reserved for future use	62	6	Leave blank

NORTH DAKOTA ADULT TOBACCO SURVEY

HELLO, I'm calling for the (health department). My name is (name). We're gathering information on the health of (state) residents. Your phone number has been chosen randomly, and I'd like to ask some questions about health and tobacco.

Answer S1a for all records where a person answers the phone on at least one attempt. (Records for which S1a is not missing should define all respondents for the screening questions. If S1a is missing for a record, all subsequent variables should be missing for that record.)

S1a. Completed introduction? (intro1)	68	1	1=Yes → Skip to S2 2=No
Answer S1b if S1a [intro1]=2			
S1b. Number of sentences completed in introduction (0-3). (intro2)	69	1	0-3=Number of sentences completed → Assign disposition code 7=Don't know/Not sure
Ask S2 of all respondents			
S2. Is this (phone number)? (telnocorr)	70	1	1=Yes 2=No (Read: Thank you very much, but I seem to have dialed the wrong number. It's possible that your number may be called at a later time.) → Assign disposition code 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up)

Ask S3 if S1a [intro1]=1 and S2 [telnocorr]=1			
S3. Is this a private residence? (privres)	71	1	1=Yes 2=No (Read: Thank you very much, but we are only interviewing private residences.) → Assign disposition code 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up) → Assign disposition code
Ask S4 if S1a [intro1]=1, S2 [telnocorr]=1, and S3 [privres]=1			
S4. I need to randomly select one adult who lives in your household to be interviewed. How many members of your household, including yourself, are 18 years of age or older? (noadult)	72	2	1-76=Number of adults 18 years or older → If >1, skip to S9 77=Don't know/Not sure (Ask to speak to someone else) 99=Refused (Including hang-up) → Assign disposition code
Ask S5 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, and S4 [noadult]=1			
S5. Are you the adult? (areyouadult)	74	1	1=Yes (Read: Then you are the person I need to speak with.) 2=No → Skip to S7 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up) → Assign disposition code
Ask or answer S6 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=1, and S5 [areyouadult]=1			
Ask only if necessary: S6. Are you male or female? (areyoumf)	75	1	1=Male → Skip to S14 [CATI programmer: Enter 1 for S9 and 0 for S10] 2=Female → Skip to S14 [CATI programmer: Enter 0 for S9 and 1 for S10] 7=Don't know/Not sure → Assign disposition code 9=Refused (Including hang-up) → Assign disposition code
Ask S7 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=1, and S5 [areyouadult]=2			
S7. Is the adult a man or a woman? (isadultmw)	76	1	1=A man [CATI programmer: Enter 1 for S9 and 0 for S10] 2=A woman [CATI programmer: Enter 0 for S9 and 1 for S10] 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up) → Assign disposition code

Ask S8 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=1, S5 [areyouadult]=2, and S7 [isadultmw]=1,2			
S8. May I speak with [fill in him/her from previous question]? (speakadult)	77	1	1=Yes → Skip to S13 2=No (Try to schedule an appointment) 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up) → Assign disposition code
Ask S9 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, and S4 [noadult]=2-76			
S9. How many of these adults are men? (nomen)	78	2	00-76=Number of men 18 years or older 77=Don't know/Not sure (Ask to speak to someone else) 99=Refused (Including hang-up) → Assign disposition code (This variable should indicate the number of men in the household even if the household contains only 1 adult.)
Ask S10 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=2-76, and S9 [nomen]=0-76			
S10. How many are women? (nowomen)	80	2	00-76=Number of women 18 years or older 77=Don't know/Not sure (Ask to speak to someone else) 99=Refused (Including hang-up) → Assign disposition code (This variable should indicate the number of women in the household even if the household contains only 1 adult.)
Ask S11 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=2-76, S9 [nomen]=0-76, and S10 [nowomen]=0-76			
S11. The person in your household that I need to speak with is the (State age rank and gender of selected respondent). (If necessary: May I speak with [him/her]? (selresp)	82	3	[CATI Programmer: Enter code for selected respondent.] 101=Oldest male 102=Second oldest male 103=Third oldest male … 199=Ninety-ninth oldest male 201=Oldest female 202=Second oldest female 203=Third oldest female … 299=Ninety-ninth oldest female

Answer S12 if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, S4 [noadult]=2-76, S9 [nomen]=0-76, and S10 [nowomen]=0-76			
Do not read: S12. Is the selected respondent on the phone? (selrespphone)	85	1	1=Yes (Read: Then you are the person I need to speak with) → Skip to S14) 2=No 7=Don't know/Not sure (Ask to speak to someone else) 9=Refused (Including hang-up) → Assign disposition code
S13. HELLO, I'm calling for the (health department). My name is (name). We're gathering information on the health of (state) residents. Your phone number has been chosen randomly, and I'd like to ask some questions about health and tobacco.			
Answer S13a if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, and ((S4 [noadult]=1, S5 [areyouadult]=2, S7 [isadultmw]=12, and S8 [speakadult]=1) or (S4 [noadult]=2-76, S9 [nomen]=0-76, S10 [nowomen]=0-76, and S12 [selrespphone]=2))			
S13a. Completed introduction? (selrespintro1)	86	1	1=Yes → Skip to S14a 2=No
Answer S13b if S1a [intro1]=1, S2 [telnocorr]=1, S3 [privres]=1, ((S4 [noadult]=1, S5 [areyouadult]=2, S7 [isadultmw]=12, and S8 [speakadult]=1) or (S4 [noadult]=2-76, S9 [nomen]=0-76, S10 [nowomen]=0-76, and S12 [selrespphone]=2)), and S13a [selrespintro2]=2			
S13b. Number of sentences completed in introduction (0-3). (selrespintro2)	87	1	0-3=Number of sentences completed → Assign disposition code 7=Don't know/Not sure
S14. Confidentiality statement: I won't ask for your name, address, or other personal information that can identify you. You don't have to answer any question you don't want to, and you can end the interview at any time. The interview takes only about ___ minutes and any information you give me will be confidential. If you have any questions about this survey, I will provide a telephone number for you to call to get more information.			
Answer S14a if (S1a [intro1]=1, S2 [telnocorr]=1 and S3 [privres]=1) and (S4 [noadult]=1 and ((S5 [areyouadult]=1 and S6 [areyoumf]=1,2) or (S5 [areyouadult]=2, S7 [isadultmw]=1,2, S8 [speakadult]=1, and S13a [selrespintro2]=1)) or ((S4 [noadult]=2-76, S9 [nomen]=0-76, and S10 [nowomen]=0-76) and (S12 [selrespphone]=1 or (S12 [selrespphone]=2 and S13a [selrespintro2]=1))))			
S14a. Completed confidentiality statement? (confidential1)	88	1	1=Yes → Skip to Q1 2=No
Answer S14b if (S1a [intro1]=1, S2 [telnocorr]=1 and S3 [privres]=1), (S4 [noadult]=1 and ((S5 [areyouadult]=1 and S6 [areyoumf]=1,2) or (S5 [areyouadult]=2, S7 [isadultmw]=1,2, S8 [speakadult] =1, and S13a [selrespintro2]=1)) or ((S4 [noadult]=2-76, S9 [nomen]=0-76, and S10 [nowomen]=0-76) and (S12 [selrespphone]=1 or (S12 [selrespphone]=2 and S13a [selrespintro2]=1)))), and S14a [confidential1]=2			
S14b. Number of sentences completed in confidentiality statement (0-3). (confidential2)	89	1	0-3=Number of sentences completed → Assign disposition code 7=Don't know/Not sure
Reserved for future use	90	11	Leave blank

CORE QUESTIONS			
SECTION 1: GENERAL HEALTH			
Ask Q1 if S14a=1. (Records for which Q1 is not missing should define all respondents for the health and tobacco questions. If Q1 is missing for a record, all subsequent variables should be missing for that record.)			
Q1. Would you say that in general your health is: (genhealth)	101	1	1 = Excellent 2 = Very good 3 = Good 4 = Fair 5 = Poor 7 = Don't know/Not sure 9 = Refused
SECTION 2: TOBACCO USE			
Ask Q2 of all respondents			
Q2. Have you smoked at least 100 cigarettes in your entire life? (smok100)	102	1	1 = Yes 2 = No →Skip to Q14 7 = Don't know/Not sure →Skip to Q14 9 = Refused →Skip to Q14
Ask Q3 if Q2 [smok100]=1			
Q3. Do you now smoke cigarettes every day, some days, or not at all? (smoknow)	103	1	1 = Every day 2 = Some days →Skip to Q5 3 = Not at all →Skip to Q8 9 = Refused →Skip to Q14
Ask Q4 if Q2 [smok100]=1 and Q3 [smoknow]=1			
Q4. On the average, about how many cigarettes a day do you now smoke? (smokperday)	104	3	1-180=Number of cigarettes → Skip to Q7 666=Less than one cigarette a day → Skip to Q7 777=Don't know/Not sure → Skip to Q7 999=Refused → Skip to Q7
Ask Q5 if Q2 [smok100]=1 and Q3 [smoknow]=2			
Q5. During the past 30 days, on how many days did you smoke cigarettes? (smokdays30)	107	2	0-30=Number of Days [If Q5 =0 →Skip to Q7] 77=Don't know/Not sure → Skip to Q7 99=Refused → Skip to Q7
Ask Q6 if Q2 [smok100]=1, Q3 [smoknow]=2, and Q5=1-30			
Q6. On the average, on days when you smoked during the past 30 days, about how many cigarettes did you smoke a day? (smoksomeday)	109	3	1-180=Number of cigarettes 666=Less than one cigarette a day 777=Don't know/Not sure 999=Refused

Ask Q7 if Q2 [smok100]=1 and Q3 [smoknow]=1,2			
Q7. How soon after you wake up do you have your first cigarette? (smokwake)	112	1	1=Within 5 minutes → Skip to Q9 2=6-30 minutes → Skip to Q9 3=31-60 minutes → Skip to Q9 4=After 60 minutes → Skip to Q9 7=Don't know/Not sure → Skip to Q9 9=Refused → Skip to Q9
Ask Q8 if Q2 [smok100]=1 and Q3 [smoknow]=3			
Q8. About how long has it been since you last smoked cigarettes regularly? (smoklast)	113	2	1=Within the past month (≤ 1 month ago) 2=Within the past 3 months (>1 month but ≤ 3 months ago) 3=Within the past 6 months (>3 months but ≤ 6 months ago) 4=Within the past year (>6 months but ≤ 1 year ago) 5=Within the past 5 years (>1 year but ≤ 5 years ago) [If Q8 = 1 - 5: → Skip to Q10] 6=Within the past 10 years (>5 years but ≤ 10 years ago) 7=Over 10 years ago 77=Don't know/Not sure 99=Refused [If Q8 = 6 - 99: → Skip to Q14]
SECTION 3: CESSATION			
QUIT ATTEMPTS			
Ask Q9 if Q2 [smok100]=1 or Q3 [smoknow]=1,2			
Q9. During the past 12 months, have you stopped smoking for one day or longer because you were trying to quit smoking? (quitatt)	115	1	1=Yes 2=No → Skip to Q12 7=Don't know/Not sure → Skip to Q12 9=Refused → Skip to Q12
Methods Of Quitting			
Ask Q10 if (Q2 [smok100]=1, Q3 [smoknow]=1,2, and Q9=1) or (Q2 [smok100]=1, Q3 [smoknow]=3, and Q8 [smoklast]=1-5)			
Q10. [FORMER CIGARETTE SMOKERS:] When you quit smoking,… [CURRENT CIGARETTE SMOKERS:] The last time you tried to quit smoking,… did you use the nicotine patch, nicotine gum, or any other medication to help you quit? (quitmed)	116	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused

Ask Q11 if (Q2 [smok100]=1, Q3 [smoknow]=1,2, and Q9=1) or (Q2 [smok100]=1, Q3 [smoknow]=3, and Q8 [smoklast]=1-5)			
Q11. [FORMER CIGARETTE SMOKERS:]: When you quit smoking,… [CURRENT CIGARETTE SMOKERS:] The last time you tried to quit smoking,… did you use any other assistance such as classes or counseling? (quitasst)	117	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask Q12 (ND01) of all respondents			
Q12. Are you aware of the North Dakota Tobacco Quitline? (ndqlaware)	400	1	1=Yes 2=No → Skip to Q14 7=Don't know/Not sure 9=Refused
Ask Q13 (ND02) if Q11 [quitasst]=1			
Q13. Have you used the North Dakota Tobacco Quitline? (ndqluse)	401	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Physician and Health Professional Advice			
Ask Q14 of all respondents			
Q14. In the past 12 months, have you seen a doctor, nurse, or other health professional to get any kind of care for yourself? (hcwcare)	120	1	1=Yes 2=No → Skip to Q18 7=Don't know/Not sure → Skip to Q18 9=Refused → Skip to Q18
Ask Q15 if Q2 [smok100]=1, Q3 [smoknow]=1,2, and Q14 [hcwcare]=1			
Q15. During the past 12 months, did any doctor, nurse, or other health professional advise you to not smoke? (hcwadvise)	121	1	1=Yes → Skip to Q17 2=No 7=Don't know/Not sure → Skip to Q18 9=Refused → Skip to Q18
Ask Q16 if (Q2 [smok100]=2,7,9 or Q3 [smoknow]=3 or (Q2 [smok100]=1, Q3 [smoknow]=1,2, and Q15 [hcwadvise]=2)) and Q14 [hcwcare]=1			
Q16. During the past 12 months, did any doctor, nurse, or other health professional ask if you smoke? (hcwask)	122	1	1=Yes → Skip to Q18 2=No → Skip to Q 18 7=Don't know/Not sure → Skip to Q18 9=Refused → Skip to Q18
Ask Q17 if Q2 [smok100]=1, Q3 [smoknow]=1,2, Q14 [hcwcare], and Q15 [hcwadvise]=1			
Q17. In the past 12 months, when a doctor, nurse, or other health professional advised you to quit smoking, did they also do any of the following?			

Q17a. Prescribe or recommend a patch, nicotine gum, nasal spray, an inhaler, or pills such as Zyban? (hcwmed)	123	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q17b. Suggest that you set a specific date to stop smoking? (hcwsetdate)	124	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q17c. Suggest that you use a smoking cessation class, program, quit line or counseling? (hcwsugasst)	125	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q17d. Provide you with booklets, videos, or other materials to help you quit smoking on your own? (hcwmaterials)	126	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION 4: SECOND-HAND SMOKE			
Ask Q18 if S4 [noadult]=2-76			
Q18. Not including yourself, how many of the adults who live in your household smoke cigarettes, cigars or pipes? (othsmoker)	127	2	0-76=Number of adults 77=Don't know/Not sure 99=Refused
Ask Q19 of all respondents			
Q19. During the past 7 days, that is, since [DATEFILL], on how many days did anyone smoke cigarettes, cigars, or pipes anywhere inside your home? (smokhome7d)	129	2	0-7=Number of days 77=Don't know/Not sure 99=Refused
Ask Q20 of all respondents			
Q20. Which statement best describes the rules about smoking inside your home? Do not include decks, garages, or porches. (homerules)	131	1	1=Smoking is not allowed anywhere inside your home 2=Smoking is allowed in some places or at some times 3=Smoking is allowed anywhere inside the home 7=Don't know/Not sure 9=Refused
I am now going to ask you about some questions about workplace policies on smoking.			

Ask Q21 of all respondents			
Q21. My first question is about your employment status. I am going to read a list of alternatives to you. Please choose the first that applies. Are you currently… (employ)	132	2	1=A student and employed for wages part-time or full-time? 2=A student? → Skip to Q26 3=Employed for wages part-time or full-time? 4=Self-employed? 5=Out of work for more than 1 year? → Skip to Q26 6=Out of work for less than 1 year? → Skip to Q26 7=A homemaker? → Skip to Q26 8=Retired?, or → Skip to Q26 9=Unable to work? → Skip to Q26 77=Don't know → Skip to Q26 99=Refused → Skip to Q26
Ask Q22 if Q21 [employ]=1, 3, or 4			
Q22. While working at your job, are you indoors most of the time? (workindoors)	134	1	1=Yes 2=No → Skip to Q26 7=Don't know/Not sure → Skip to Q26 9=Refused → Skip to Q26
Ask Q23 if Q21 [employ]=1, 3, or 4			
Q23. As far as you know, in the past seven days, that is since [DATE FILL], has anyone smoked in your work area? (worksmok)	135	1	1=Yes 2=No → Skip to Q26 7=Don't know/Not sure → Skip to Q26 9=Refused → Skip to Q26
Ask Q24 if Q21 [employ]=1,3,4 and Q22 [workindoors]=1			
Q24. Which of the following best describes your place of work's official smoking policy for work areas? (workpol)	136	1	1=Not allowed in any work areas 2=Allowed in some work areas 3=Allowed in all work areas, or 4=No official policy 7=Don't know/Not sure 9=Refused
Ask Q25 if Q21 [employ]=1,3,4 and Q22 [workindoors]=1			
Q25. Which of the following best describes your place of work's official smoking policy for indoor public or common areas, such as lobbies, rest rooms, and lunchrooms? (workpolpub)	137	1	1=Not allowed in any public areas 2=Allowed in some public areas 3=Allowed in all public areas, or 4=No official policy 7=Don't know/Not sure 9=Refused

Ask Q26 of all respondents			
Q26. In indoor work areas, do you think smoking should be allowed in all areas, some areas or not at all? (workindopn)	138	1	1=Allowed in all areas 2=Allowed in some areas 3=Not allowed at all 7=Don't know/Not sure 9=Refused
Exposure In A Car			
Ask Q27 of all respondents			
Q27. In the past seven days, that is since [DATE FILL], have you been in a car with someone who was smoking? (carsmok7d)	139	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION 5: RISK PERCEPTION AND SOCIAL INFLUENCES			
Risk Perception			
I am going to read a statement. I want you to tell me whether you strongly agree, agree, disagree, or strongly disagree with this statement.			
Ask Q28 of all respondents			
Q28. If a person has smoked a pack of tobacco cigarettes a day for more than 20 years, there is little health benefit to quitting smoking. (benquitopn)	142	1	1=Strongly agree 2=Agree 3=Disagree 4=Strongly disagree 7=Don't know/Not sure 9=Refused
Now I am going to ask about smoke from other people's cigarettes.			
Ask Q29 of all respondents			
Q29. Do you think that breathing smoke from other people's cigarettes is… (shsharmopn)	143	1	1=Very harmful to one's health 2=Somewhat harmful to one's health 3=Not very harmful to one's health 4=Not harmful at all to one's health 7=Don't know/Not sure 9=Refused
Would you say that breathing smoke from other people's cigarettes causes… (The order in which Q30a – Q30e are asked is randomized for each respondent. The specific order in which these questions are asked to each respondent is recorded in columns 362 – 366.)			
Ask Q30a to Q30e of all respondents			
Q30a. Lung cancer in adults (shslungca)	144	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q30b. Heart disease in adults (shsheart)	145	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused

Q30c. Colon cancer in adults (shscolonca)	146	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q30d. Respiratory problems in children (shschild)	147	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Q30e. Sudden infant death syndrome (shssids)	148	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION 6: CLOSING DEMOGRAPHIC ITEMS			
Ask Q31 of all respondents			
Q31. What is your age? (age)	149	2	18-99=Age in years (99=99+) 7=Don't know/Not sure 9=Refused
Ask Q32 of all respondents			
Q32. How many children aged 17 or younger live in your household? (childle17)	151	2	0-15=Number of children (15=15+) 99=Refused
Ask Q33 of all respondents			
Q33. Are you Hispanic or Latino? (hispanic)	198	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask Q34 of all respondents			
Q34. Which one or more of the following would you say is your race? (racemulti)	199	6	1=White 2=Black or African American 3=Asian 4=Native Hawaiian or Other Pacific Islander 5=American Indian, Alaska Native, or 6=Other [specify:] ________________ 7=Don’t know/Not sure 9=Refused
Ask Q35 if Q34 [racemulti]<>1-5			
Q35. Which one of these groups would you say best represents your race? (racepref)	205	1	1=White 2=Black or African American 3=Asian 4=Native Hawaiian or Other Pacific Islander 5=American Indian, Alaska Native, or 6=Other [specify:] ________________ 7=Don’t know/Not sure 9=Refused

Ask Q36 of all respondents			
Q36. Are you… (marital)	206	1	1=Married 2=Divorced 3=Widowed 4=Separated 5=Never married, or 6=A member of an unmarried couple 9=Refused
Ask Q37 of all respondents			
Q37. What is the highest level of school you completed or the highest degree you received? (educa)	207	2	1=Never attended school or only attended kindergarten 2=Grades 1 through 8 (Elementary) 3=Grades 9 through 11 (Some high school) 4=Grade 12 (High school graduate) 5=GED 6=Some college, no degree 7=AA, Technical/Vocational 8=AA, Academic 9=BA,BS (College graduate) 10=Some graduate or professional school 11=Graduate or professional degree 77=Don't know 99=Refused
Ask Q38 of all respondents			
Q38. Is your annual household income from all sources… Less than $25,000? If No, ask (5); if Yes, ask (3) (3) Less than $20,000 If No, code 4; if Yes, ask (2) (2) Less than $15,000? If No, code 3; if Yes, ask (1) (1) Less than $10,000? If No, code 2; if Yes, code 1 (5) Less than $35,000? If No, ask (6); if Yes, code 5 (6) Less than $50,000? If No, ask (7); if Yes, code 6 (7) Less than $75,000? If No, code 8; if Yes, code 7 (income)	209	2	1=Less than $10,000 2=$10,000 to less than $15,000 3=$15,000 to less than $20,000 4=$20,000 to less than $25,000 5=$25,000 to less than $35,000 6=$35,000 to less than $50,000 7=$50,000 to less than $75,000 8=$75,000 or more 77=Don't know/Not sure 99=Refused
Ask Q39 of all respondents			
Q39. Indicate gender of respondent. (Ask only if necessary.) (gender)	211	1	1=Male 2=Female

Required for weighting			
Q40. Do you have more than one telephone number in your household? Do not include cell phones or numbers that are only used by a computer or fax machine. (telnosgt1)	212	1	1. Yes 2. No → Skip to CLOSING 7. Don't know/Not sure → Skip to CLOSING 9. Refused → Skip to CLOSING
Ask Q41 if Q40 [telnosgt1]=1			
Q41. How many of these are residential numbers? (telnosres)	213	1	0-6=Number of residential telephone numbers (6=6 or more) 7=Don't know/Not Sure 9=Refused
SUPPLEMENTAL QUESTIONS			
SECTION A: DEMOGRAPHIC ITEMS			
Ask QA.1 of all respondents			
QA.1. What county do you live in? (countyfips)	214	3	NNN=County FIPS code 777=Don't know/Not Sure 999=Refused
Ask QA.2 of all respondents			
QA.2. Are you currently enrolled in a graduate or professional school, a 4 year college, a 2 year college, a technical or vocational school, or a GED program? (educatype)	217	2	1=Graduate or professional school 2=4 year college 3=2 year college 4=Technical or vocational school 5=GED program 6=Other 7=Not enrolled 77=Don't know 99=Refused
Ask QA.3 of all respondents			
QA.3. Do you have any kind of health care coverage, including health insurance, prepaid plans such as HMOs, or government plans such as Medicare? (healthplan)	219	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QA.4a if Q41 [gender]=1			

QA.4a. Do you think of yourself as… (sexprefm)	220	1	1=Heterosexual or straight (attracted to women) 2=Homosexual or gay (attracted to men) 3=Bisexual (attracted to men and women) 4=Something else 5=Not sure 7=Don't know/Not sure 9=Refused
Ask QA.4b if Q41 [gender]=2			
QA.4b. Do you think of yourself as . . . (sexpreff)	221	1	1=Heterosexual or straight (attracted to men) 2=Homosexual or lesbian (attracted to women) 3=Bisexual (attracted to men and women) 4=Something else 5=Not sure 7=Don't know/Not sure 9=Refused
The following questions are about health problems or impairments you may have.			
Ask QA.5 of all respondents			
QA.5. Are you limited in any way in any activities because of physical, mental, or emotional problems? (activlimit)	222	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QA.6 of all respondents			
QA.6. Do you now have any health problem that requires you to use special equipment, such as a cane, a wheelchair, a special bed, or a special telephone? Include occasional use or use in certain circumstances. (activequip)	223	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION B: TOBACCO USE			
In the last 12 months have you bought cigarettes…			
Ask QB.9a if Q2 [smok100]=1 and Q3 [smoknow]=1,2			
QB.9a. in a neighboring state? (buyothstate)	226	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QB.9b if Q2 [smok100]=1 and Q3 [smoknow]=1,2			
QB.9b. on an Indian reservation? (buyindres)	263	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QB.9c if Q2 [smok100]=1 and Q3 [smoknow]=1,2			

QB.9c. on the internet? (buynet)	264	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
OTHER TOBACCO PRODUCTS			
Smokeless Tobacco Use			
Ask QB.10a of all respondents			
QB.10a. Have you ever used or tried any smokeless tobacco products such as chewing tobacco or snuff? (sltever)	265	1	1=Yes 2=No → Skip to QB.11a 7=Don't know/Not sure → Skip to QB.11a 9=Refused
Ask QB.10b if QB.10a [sltever]=1,9			
QB.10b. Do you currently use chewing tobacco or snuff every day, some days, or not at all? (sltnow)	266	1	1=Every day 2=Some days 3=Not at all 7=Don't know/ Not sure 9=Refused
Cigar Use			
Ask QB.11a of all respondents			
QB.11a. Have you ever smoked a cigar, even one or two puffs? (cigarever)	267	1	1=Yes 2=No → Skip to QB.12a 7=Don't know/Not sure → Skip to QB.12a 9=Refused
Ask QB.11b if QB.11a [cigarever]=1,9			
QB.11b. Do you now smoke cigars every day, some days, or not at all? (cigarnow)	268	1	1=Every day 2=Some days 3=Not at all 7=Don't know/ Not sure 9=Refused
Pipe Use			
Ask QB.12a of all respondents			
QB.12a. Have you ever smoked tobacco in a pipe, even one or two puffs? (pipeever)	269	1	1=Yes 2=No → Skip to QB.13a 7=Don't know/Not sure → Skip to QB.13a 9=Refused
Ask QB.12b if QB.12a [pipeever]=1,9			
QB.12b. Do you now smoke a pipe every day, some days, or not at all? (pipenow)	270	1	1=Every day 2=Some days 3=Not at all 7=Don't know/ Not sure 9=Refused
Bidi Use			
Ask QB.13a of all respondents			

QB.13a. A bidi is a flavored cigarette from India. Have you ever smoked a bidi, even one or two puffs? (bidiever)	271	1	1=Yes 2=No → Skip to QB.14a 7=Don't know/Not sure → Skip to QB.14a 9=Refused
Ask QB.13b if QB.13a [bidiever]=1,9			
QB.13b. Do you now smoke bidis every day, some days, or not at all? (bidinow)	272	1	1=Every day 2=Some days 3=Not at all 7=Don't know/ Not sure 9=Refused
Kretek Use			
Ask QB.14a of all respondents			
QB.14a. Have you ever smoked kreteks or clove cigarettes, even one or two puffs? (kretekever)	273	1	1=Yes 2=No → Skip to QB.15a 7=Don't know/Not sure → Skip to QB.15a 9=Refused
Ask QB.14b if QB.14a [kretekever]=1,9			
QB.14b. Do you now smoke kreteks or clove cigarettes every day, some days, or not at all? (kreteknow)	274	1	1=Every day 2=Some days 3=Not at all 7=Don't know/ Not sure 9=Refused
New Tobacco Products			
Ask QB.15a of all respondents			
QB.15a. Tobacco companies have recently introduced new products that are not cigarettes but look like them. These don't burn tobacco, but just heat up, and are claimed to have fewer harmful chemicals. These have names like Accord or Eclipse. Have you ever heard of one of these products? (heatheard)	275	1	1=Yes 2=No → Skip to next section 7=Don't know/Not sure → Skip to next section 9=Refused → Skip to next section
Ask QB.15b if QB.15a [heatheard]=1			
QB.15b. Have you tried at least one of these products? (heattry)	276	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Intention to Smoke			
Ask QB.16. if Q33 [age]=18-29 and ((Q2 [smok100]=1 and Q3 [smoknow]=3) or Q2 [smok100]=2)			

QB.16. Do you think you will smoke a cigarette anytime during the next year? (futursmok)	286	1	1=Definitely yes 2=Probably yes 3=Probably not 4=Definitely not 7=Don't know/Not sure 9=Refused
OPTIONAL SECTION D: ENVIRONMENTAL TOBACCO SMOKE			
Workplace Smoking			
Ask QD.1 if Q21 [employ]=1,3,4			
QD.1. Do more than 50 people work for you/your employer? (Number employed in entire company, not local branch or office.) (empgt50)	311	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QD.4 of all respondents			
QD.4. In bars and cocktail lounges, do you think smoking should be allowed in all areas, some areas or not at all? (baropn)	314	1	1=Allowed in all areas 2=Allowed in some areas 3=Not allowed at all 7=Don't know/Not sure 9=Refused
Ask QD.6 of all respondents			
QD.6. In indoor sporting events and concerts, do you think that smoking should be allowed in all areas, some areas, or not allowed at all? (indeventopn)	316	1	1=Allowed in all areas 2=Allowed in some areas 3=Not allowed at all 7=Don't know/Not sure 9=Refused
Ask QD.13 of all respondents			
QD.13. In the past 12 months, have you ever asked a stranger not to smoke around you so you wouldn't have to breathe their smoke? (askstop12mo)	323	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION E: HEALTH AND SOCIAL INFLUENCES			
Ask QE.1 of all respondents			
QE.1. I'm going to read a list of medical conditions. After I read each one, I want you to tell me whether you believe smoking cigarettes is a cause of this condition.			
QE.1a. Heart attack (cigheart)	324	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.1b. Colon cancer (cigcolonca)	325	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused

QE.1c. Stroke (cigstroke)	326	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.1d. Low-birth weight (ciglbw)	327	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.1e. Lung cancer (ciglungca)	328	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.1f. Impotence (cigimpotent)	329	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Comorbidity			
Ask QE.2 of all respondents			
QE.2. I am going to read a list of medical conditions that many people have. After each one, please tell me if you have ever been told by a doctor or other health professional that you have that condition.			
QE.2a. Asthma, bronchitis, or emphysema (toldlung)	330	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.2b. Diabetes (tolddiab)	331	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
QE.2c. Heart disease (toldheart)	332	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Risk Perception			
I'm going to read you a series of statements. After I finish, please tell me whether you strongly agree, agree, disagree, or strongly disagree with the statement.			
Ask QE.3 of all respondents			
QE.3. Smoking is physically addictive. (rskaddictopn)	333	1	1=Strongly agree 2=Agree 3=Disagree 4=Strongly disagree 7=Don't know/Not sure 9=Refused

Ask QE.4 of all respondents			
QE.4. Smoking light cigarettes is safer than smoking regular cigarettes. (rskliteopn)	334	1	1=Strongly agree 2=Agree 3=Disagree 4=Strongly disagree 7=Don't know/Not sure 9=Refused
Ask QE.5 of all respondents			
QE.5. Smoking by a pregnant woman may harm the baby. (rskpregopn)	335	1	1=Strongly agree 2=Agree 3=Disagree 4=Strongly disagree 7=Don't know/Not sure 9=Refused
Social influences			
Ask QE.6 if Q33 [age]=18-29			
QE.6. How many of your friends use any tobacco products? Would you say: (friendsuse)	336	1	1=None 2=A few 3=Less than half 4=About half 5=Most or all 7=Don't know/Not sure 9=Refused
OPTIONAL SECTION F: POLICY ISSUES			
Youth issues			
Ask QF.1 of all respondents			
QF.1. How important is it that communities keep stores from selling tobacco products to teenagers? Would you say it is: (teensellopn)	341	1	1=Very important 2=Somewhat important 3=Not very important 4=Not important at all 7=Don't know/Not sure 9=Refused
Ask QF.2 of all respondents			
QF.2. (Replaces former QF.3) How strongly do you agree or disagree with the following statement: Tobacco use by adults should not be allowed on school grounds or at any school events. (schoolopn)	342	1	1=Strongly agree 2=Agree 3=Disagree 4=Strongly disagree 7=Don't know/Not sure 9=Refused
Ask QF.4 of all respondents			

QF.4. (Formerly QF.2) Over the past 12 months, did you ever buy or give someone under the age of 18 cigarettes, chewing tobacco, or any other tobacco products? (teengiveto)	344	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Sponsorship and Marketing			
Ask QF.5 of all respondents			
QF.5. Do you think tobacco companies should be allowed to include coupons in cigarette packs that can be used to obtain promotional items that may be appealing to teenagers, such as hats, tee shirts, jackets or caps? (couponopn)	345	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QF.6 of all respondents			
QF.6. Do you think sponsorship of sporting events or concerts by tobacco companies should be allowed? (sponsoropn)	346	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
Ask QF.7 of all respondents			
QF.7. Some tobacco companies make promotional items like clothing, hats, bags, or other things with their brand on it. Do you have a piece of clothing or other item that has a tobacco brand or logo on it? (ownlogoitem)	347	1	1=Yes 2=No 7=Don't know/Not sure 9=Refused
SECTION G: PARENTAL INVOLVEMENT			
Screening/Eligibility			
If no children ages 5-17 (Q34.a.), then, section ENDS here.			
Now, I want you to think of the child in your household who is nearest to the age of 10. [If children are equidistant in age (i.e., 9 and 11), select the "older"]			
Ask QG.1 if Q34a [childle17]=1-15			
QG.1. What is the age of the child nearest to age 10? (childnear10)	349	2	5-17=Age of child nearest to age 10 (If children are equidistant in age (e.g., 9 and 11), the older is selected.)
Ask QG.2 if Q34a [childle17]=1-15			
QG.2. Is that child a boy or a girl? (childgender)	351	1	1=Male 2=Female
Ask QG.3 if Q34a [childle17]=1-15			

QG.3. What is your relationship to that child? (childrel)	352	1	1=Father or stepfather 2=Mother or stepmother 3=Brother 4=Sister 5=Grandmother 6=Grandfather 7=Other relative 8=Unrelated to child
Parent-Child Communication			
During the last 6 months, how many times have you			
Ask QG.4 if Q34a [childle17]=1-15			
QG.4. Talked to your child about what he/she can or cannot do when it comes to tobacco? (childtalked)	353	1	1=Never 2=Once 3=Twice 4=Three or more times 7=Don't know/Not sure 9=Refused
Ask QG.5 if Q34a [childle17]=1-15			
QG.5. Told your child he/she cannot use tobacco? (childtoldnot)	354	1	1=Never 2=Once 3=Twice 4=Three or more times 7=Don't know/Not sure 9=Refused
Child's Smoking Status			
Ask QG.6 if Q34a [childle17]=1-15			
QG.6. Do you think your child smokes? (childsmok)	355	1	1=I am certain that my child does not smoke 2=I don't think that my child smokes 3=I don't know if my child smokes or not 4=I suspect that my child smokes 5=I am certain that my child smokes 9=Refused
Disapproval			
Ask QG.7 if Q34a [childle17]=1-15 and QG.1 [childnear10]=12-17			
QG.7. How much would you like it or dislike it if you found your child smoking cigarettes now? Would you… (childsmokopn)	356	1	1=Like it a lot 2=Like it some 3=Neither like it nor dislike it 4= Dislike it some 5=Dislike it a lot 7=Don't know/Not sure 9=Refused
Monitoring			

Ask QG.8 if if Q34a [childle17]=1-15 and QG.1 [childnear10]=12-17			
QG.8. Does your child have to be home by a certain time on school nights? (wkdaycurfew)	357	1	1=Yes 2=No 3=Never away from home on school nights 7=Don't know/Not sure 9=Refused
Ask QG.9 if Q34a [childle17]=1-15 and QG.1 [childnear10]=12-17			
QG.9. Does your child have to be home by a certain time on weekend nights? (wkendcurfew)	358	1	1=Yes 2=No 3=Never away from home on weekend nights 7=Don't know/Not sure 9=Refused
SECTION H: MEDIA EXPOSURE			
Media Exposure			
Ask QH.2 of all respondents			
QH.2. During the past 7 days, how many commercials have you seen on TV about NOT smoking cigarettes? (adstv)	359	1	0=None 1=One 2=Two or three 3=Four to six 4=Seven or more 7=Don't know/Not sure 9=Refused
Ask QH.3 of all respondents			
QH.3. During the past 7 days, how many commercials have you heard on the radio about NOT smoking cigarettes? (adsradio)	360	1	0=None 1=One 2=Two or three 3=Four to six 4=Seven or more 7=Don't know/Not sure 9=Refused
Ask QH.4 of all respondents			
QH.4. During the past 7 days, how many messages have you seen on billboards about NOT smoking cigarettes? (adsbboards)	361	1	0=None 1=One 2=Two or three 3=Four to six 4=Seven or more 7=Don't know/Not sure 9=Refused
QH.5-QH.10 deleted			
SECTION I: CLOSING			
I1. That's my last question. Everyone's answers will be combined to give us information about tobacco in this state. Thank you very much for your time and cooperation.			
Answer for all respondents			

Order in which Q32a was asked (q32aorder)	362	1	1-5
Answer for all respondents			
Order in which Q32b was asked (q32border)	363	1	1-5
Answer for all respondents			
Order in which Q32c was asked (q32corder)	364	1	1-5
Answer for all respondents			
Order in which Q32d was asked (q32dorder)	365	1	1-5
Answer for all respondents			
Order in which Q32e was asked (q32eorder)	366	1	1-5
Answer for all respondents			
Language in which interview was conducted (If more than one, indicate the predominantly used language) (language)	367	2	1=English 2=Spanish 3-99=Other (Must be specified in data layout sent to State and CDC)
Reserved for future use	369	31	
State-Added Tobacco Questions (stateque)	400	20 0	(Character, preserve leading and trailing blanks.) If needed, more than 200 columns may be used for state-added questions. If more are used, the vendor should contact the OSH staff member supplying sample records.
End-of-File Marker for Submitted Data File (eof1)	600	1	1

Appendix F. Data Layout for File of Call Attempts

Field Name	Starting Column	Size	Format/Values/Explanation
Sequence Number (seqno)	1	10	A unique 10-digit number for a state for a year with year in the first four digits.
Replicate Number (repno)	11	5	The first two digits, 01-12, represent months, the last three digits a sequential number starting with 001 each month.
Replicate Depth (repdepth)	16	2	A sequential number from 01-50 in each replicate.
Attempt Number (attnumber)	18	2	
Date of Attempt (attdate)	20	8	Mmddyyyy. (Month and day padded with leading zeros in ASCII file. Character and numeric variables.)
Starting Time of Attempt (starttime)	28	6	Hhmmss in 24-hour format.
Ending Time of Attempt (endtime)	34	6	Hhmmss in 24-hour format.
Interviewer ID (attintvid)	40	3	Unique three character or digit code for each interviewer. There should be a one-to-one mapping between interviewers and interviewer id's.
Disposition Code (attdispcode)	43	3	110-585
Comment (comment)	46	200	Any comments by interviewer regarding this attempt.
End of file Marker (eof)	246	1	1

Appendix G. Data Layout for Verbatim File

Field Name	Starting Column	Size	Format/Values/Explanation
Sequence Number (seqno)	1	10	A unique 10-digit number for a state for a year with year in the first four digits.
Replicate Number (repno)	11	5	The first two digits, 01-12, represent months, the last three digits a sequential number starting with 001 each month.
Replicate Depth (repdepth)	16	2	A sequential number from 01-50 in each replicate.
Starting Column Number in ASCII File (colno)	18	3	
Blank	21	9	
Verbatim (verbatim)	30	200	
End-of-File Marker (eof)	230	1	

Appendix H. Data Layout for Interviewer File

Field Name	Starting Column	Size	Format/Values/Explanation
Interviewer ID (intvid)	1	3	Unique three character or digit code for each interviewer. There should be a one-to-one mapping between interviewers and interviewer id's.
Human or dialer (intvtype)	4	1	1=Human 2=Dialer
Gender (intvgender)	5	1	1=Male 2=Female 9=Unknown or Not relevant
Hispanic origin (intvHisp)	6	1	1=Hispanic 2=Not Hispanic 9=Unknown or Not relevant
Race (intvrace)	7	6	1=White 2=Black or African American 3=Asian 4=Native Hawaiian or Other Pacific Islander 5=American Indian, Alaska Native 6=Other 9=Unknown or Not relevant (Indicate as many as apply)
Age at start of interviewing period (intvage)	13	2	10-99=Age 9=Unknown or Not relevant
Total interviewing experience at start of interviewing on project (intvtotexp)	15	3	101-199=Months of interviewing experience (first digit indicates month as the unit of measurement, last two digits the number of months) 201-299=Years of interviewing experience (first digit indicates year as the unit of measurement, last two digits the number of years) 999=Unknown or Not relevant
Interviewing experience with current organization at start of interviewing on project (intvorgexp)	18	3	101-199=Months of interviewing experience (first digit indicates month as the unit of measurement, last two digits the number of months) 201-299=Years of interviewing experience (first digit indicates year as the unit of measurement, last two digits the number of years) 999=Unknown or Not relevant
Specially designated refusal conversion interviewer? (intvrefuscon)	19	1	1=Yes 2=No 9=Unknown or Not relevant