PREFACE: EXPLANATION OF AHEAD WAVE 1 QUESTIONNAIRE

I.   INTRODUCTION

The Questionnaire (in what is called Box-and-Arrow format) for AHEAD Wave 1 (1993) is the document that lays out the study questions in their logical sequence, closely following the form interviewers used while conducting the interviews. It is based upon the Program Specifications (Specs), computer instructions used to electronically produce the Surveycraft instrument for CATI (Computer Assisted Telephone Interviewing). Surveycraft electronically produced a rough version of the Questionnaire with question text, responses and jumps shown in simple, sequential lines. Then individuals formatted the text in Word documents appropriate for the Box-and-Arrow Questionnaire. This version was carefully checked against the Specs and further edited to ensure that the Questionnaire accurately represents the programming instructions. The result is a document that reflects as closely as possible the interview that the interviewers and Respondents (Rs) experienced, while showing the skip logic in a graphical fashion.

The Questionnaire is intended to show all possible questions that could have been asked and the entire choice of possible responses to each question. Not all Respondents were asked all questions. The questions each particular R was asked depended on certain CONDITIONS: (1) the type of R (e.g., Married *vs.* Unmarried R, Financial *vs.* Non-Financial R), categorized from responses the R gave during the Coversheet questions, and/or (2) responses the R gave to particular questions during the interview itself.

Information about the selection of Rs may be found in the Introduction to the Codebook, Field Notes and Procedures, pages 5 & 6. Definitions of the different types of R are on page 10 in Orientation to Data in the Codebook. A list of which types of R were responsible for answering questions in different Sections of the Questionnaire is in Data Structure on pages 11 & 12.

II. FLOW OF THE QUESTIONNAIRE

Questions are identified by "Short Labels" composed of the name of the Section and the number of the question, generally presented in sequence (e.g., A1, A2, A2a, A2b). During the interview questions are asked in the sequence presented in the Questionnaire except where particular questions are jumped or where loops take the interview back to the beginning of a specified series.

A. JUMPS

Certain questions or sets of questions are not asked of particular Rs when instructions to jump or skip over those questions are given. The condition for a jump depends upon the response that the R gives to a particular question. In this Questionnaire, if the R gives a response that is positioned immediately above a **GO TO** instruction, the R goes to the question number indicated. Lines connect adjacent responses having the same **GO TO** instruction, which is centered below them. If a response is given that is not above a **GO TO** instruction, the next question immediately below is asked. In the electronic application the jump occurs automatically and the Interviewer sees only the question jumped to, but not intervening questions.

A2.	Were you born in the United States?		
1.YES	5.NO		8.DK
			9.RF
	GO TO A2b		GO TO A3

B. BRANCHPOINTS

Branchpoints are jumps associated with conditions that depend, at least in part, upon responses given to questions asked earlier in the interview, prior to the question immediately preceding the branchpoint. Conditions for branchpoint jumps begin with an IF statement and end with a GO TO instruction with the name/label of the question to which the R should jump if the condition(s) is/are met. Unlike simple jumps that require only one condition (a particular response to the most recent question), branchpoints sometimes involve several conditions. Branchpoints are to be read in sequence as they occur after the preceding question, unless a prior GO TO instruction jumps the R over the preceding question(s) and directly to that branchpoint. When the R is jumped to a branchpoint it is identified with reference to the label of the question immediately following the branchpoint.

> J24-1. Will you receive money from that as long as you live?
>
> | 5.NO | | 1.YES |
> |---|---|---|
> | | | 8.DK |
> | | | 9.RF |
>
> **GO TO BRANCHPOINT BEFORE J25–1**
>
> J24a-1. How many more years will you receive it?
>
> NUMBER OF YEARS: _____ | DK |
> | RF |
>
> | BRANCHPOINT: | IF R DIVORCED/SEPARATED *or* WIDOWED *or* NEVER MARRIED, GO TO J26-1 |
> |---|---|
>
> J25-1. If you were to die, would that continue to be paid to your (husband/wife/partner)?

When more than one condition is associated with a GO TO instruction, they may be connected by "*or*" statements, where the jump will be made even if only one of the conditions is met. Alternatively, conditions connected by "*and*" statements mean that **all** stated conditions are required for the jump to be made. When "*and*" or "*or*" are italicized they separate different responses. Dividers of "AND" or "OR" (occasionally "NOR") capitalized in regular font show that two or more items are part of the same response (e.g., see below, "BOTH R AND SPOUSE" are encompassed by the response coded 1 at J1).

> | BRANCHPOINT: | IF R RENTS BOTH MOBILE HOME AND SITE (F10=4), GO TO F38 |
> |---|---|
> | | IF R {NEITHER OWNS NOR RENTS THE MOBILE HOME AND/OR SITE} *or* DK *or* RF (F10=7,8,9), GO TO F41 |
> | | IF R LIVES IN MOBILE HOME *and* {OWNS MOBILE HOME *or* SITE *or* BOTH} {(F1=3) & (F10=1,2,3)}, GO TO F26 |

Generally the conditions are presented in descriptive statements and sometimes they also include a reference to the question label and response code where the information for the condition is obtained (e.g., {(F1=3) & (F10=1,2,3)}, above). Within the parentheses for such question-response indicators, commas separating responses indicate "*or*" statements, while "&" substitutes for "*and*" statements. The independent jumps presented at a branchpoint can be alternatives to each other (e.g., see Branchpoint above), or they can be completely unrelated.

> | BRANCHPOINT: | IF {(BOTH R AND SPOUSE) *or* ONLY R} RECEIVE SOCIAL SECURITY (J1=1,2), GO TO J6 |
> |---|---|
> | | IF R WAS BORN BEFORE 1923, GO TO J6 |

C. LOOPS

Loops are a series of questions that are repeated a number of times, depending on, e.g., the number names in a grid or on a list. The questions are asked for each particular name or item on the list until all instances are covered. The beginning and end of loops are clearly marked. The beginning-of-loop instruction indicates the questions to be included in the loop. The end-of-loop instruction mentions the conditions for looping back and the location of the loop beginning.

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***BEGINNING OF LOOPED QUESTIONS; D6-D19 WILL BE REPEATED FOR EACH HOUSEHOLD
MEMBER THAT R MENTIONED AT D5 GRID***

BRANCHPOINT:        IF R IS MARRIED, SPOUSE ABSENT or DIVORCED/SEPARATED or
                    WIDOWED or NEVER MARRIED (A11=2,4,5,6), GO TO D7

D6.     What is NAMEn's relation to your (husband/wife/partner)?

        RELATIONSHIP:       1.CHILD
                            2.STEPCHILD/PARTNER'S CHILD
                            3.GRANDCHILD
                            4.SIBLING
                            5.PARENT
                            6.IN-LAW/OTHER RELATIVE
                            7.NOT RELATED
                            8.DK
                            9.RF

                            *
                            *
                            *
                            *

D19.    (Is there anyone else living with you?)
        (Any others besides: NAMEn and SPNAMEn)

        [IWER: PRESS "1" IF YOU ALREADY KNOW THAT THERE ARE MORE HOUSEHOLD
        MEMBERS PER D5 GRID]

        1.YES
        5.NO
        8.DK
        9.RF

***END OF LOOP FOR D6-D19; IF THERE ARE MORE HOUSEHOLD MEMBERS, LOOP BACK
TO D6 FOR NEXT PERSON ON D5 GRID. IF NOT, or DK or RF, CONTINUE ON TO D20***
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D. GRIDS

Grids provide another way for the interviewer to enter repeated types of information. CATI presents tables that are empty except for column headings. The interviewer asks the R a series of questions shown above the grid and fills in the cells with names and characteristics of household members, for example, as the R answers the questions about each person. The interviewer repeats the series of questions until the R has no more names to add to the grid. These are, in effect, loops, but are not designated as such in the Questionnaire (see "Loops". II.C, previous page), since all questions are presented together immediately above the table. The question text is in parentheses, indicating that the interviewer may omit a question if the R already provided the information without prompting. In the Questionnaire there are only two rows shown for this information, but CATI displays more rows on the grid to accommodate the names that the R mentions. Extra lines show that the interviewer may select a response of Don't Know (DK) or Refuse (RF).

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D5.    HOUSEHOLD MEMBER ROSTER

D5a&b. (What is the (first/next) HH member's name?)
D5c. (Is NAME male or female?)
D5d. (What is (his/her) relationship to you?)
D5e. (Is (he/she) married and living with (his/her) spouse, living with a
      partner, or not currently married?)
D5f. (What is (his/her) spouse/partner's name?)

       [IWER: CONTINUE ASKING D5a-D5f UNTIL R SAYS THERE ARE NO MORE HOUSEHOLD
       MEMBERS. IF MORE THAN 10, WRITE OVERFLOW ON COVERSHEET]
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D5a. FIRST NAME	D5b. LAST NAME	D5c. SEX	D5d. RELATIONSHIP TO RESPONDENT	D5e. MARITAL STATUS	D5f. SPOUSE NAME
[ROWS PROVIDED BY CATI AS NECESSARY]					
DK					
RF					

E. LISTS

Lists contain information retrieved by CATI from grids or from the R's responses to previous questions. A list is displayed to the interviewer while s/he asks the R a question; s/he then selects from the list the one or more name(s) that answer the question. Follow-up questions may be asked about the individual(s) mentioned. For example, at D39 CATI presents a

ready-made list of the R and spouse's children that is drawn from the two grids for household members and non-resident children created at D5 and D20a. In the Questionnaire only one row is shown for names, but CATI will show as many rows as there are names. Each name on the list has its own code value. Sometimes options other than names are also

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D39.  Which child was that?

      [IWER: CHOOSE ALL NAMES FROM D5 AND D20 THAT APPLY]

      IF GRANDCHILD:
      (Which of your children is the parent of that grandchild?)

      ┌──────────────────────────────────────────────────────────────┐
      │ CHILD NAME(S)        [DISPLAYED BY CATI FROM PREVIOUS RESPONSES]│
      ├──────────────────────────────────────────────────────────────┤
      │ 02 TO 21. CHILD NAME(S)                                        │
      │    [ROWS PROVIDED BY CATI AS NECESSARY]                        │
      ├──────────────────────────────────────────────────────────────┤
      │ 22. DECEASED                                                   │
      ├──────────────────────────────────────────────────────────────┤
      │ 23. ALL MY CHILDREN                                           │
      ├──────────────────────────────────────────────────────────────┤
      │ DK                                                            │
      ├──────────────────────────────────────────────────────────────┤
      │ RF                                                            │
      └──────────────────────────────────────────────────────────────┘
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available on a list, such as "ALL MY CHILDREN" or "NOT ON LIST". In some instances the interviewer does not make a selection but refers to the list when asking one or more questions about each name listed.

III. FILLS AND ALTERNATIVE FORMS OF QUESTIONS

The text of each question in this Questionnaire presents the full array of possible forms of questions, alternative choices or fills within questions, and optional or clarifying questions that Rs could be asked at the discretion of the interviewer or if the R gives a particular response to the last question. During each interview itself, CATI usually presents only the one condition or fill that is appropriate for the particular R being interviewed. In this Questionnaire, alternatives or options that are available can be identified either by a series of condition/question pairs or by parentheses within or surrounding a question.

A. CONDITIONS THAT DETERMINE THE FORM OF THE QUESTION

Sometimes a question appears in different forms depending on which conditions the R meets, with all forms having the same question number. The

Questionnaire presents each alternative form separately as a condition and question pair. The conditions can refer to types of R, such as Financial *vs*. Non-Financial R, and/or they can refer to how the R responded to previous questions.

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E4.  IF BOTH R AND SPOUSE HAD HOSPITAL STAYS (E1=2):
     Are there expenses over $500 from your and your (husband's/wife's/
     partner's) hospital stays that will not be covered by Medicare or other
     insurance, or by Medicaid?

     IF ONLY SPOUSE HAD HOSPITAL STAY (E1=3):
     Are there expenses over $500 from your (husband's/wife's/partner's)
     hospital stays that will not be covered by Medicare or other insurance,
     or by Medicaid?

     IF ONLY R HAD HOSPITAL STAY or DK or RF (E1=1,8,9):
     Are there expenses over $500 from your hospital stays that will not be
     covered by Medicare or other insurance, or by Medicaid?
```

In some cases the question is divided into separate phrases or sentences. One phrase or sentence of the question is associated only with a particular condition (or alternative phrases with different conditions), while the remainder of the question is shown separately and is asked of all Rs.

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E26.  Not counting costs covered by insurance, about how much did you (and
      your (husband/wife/partner)) end up paying for any part of hospital and
      doctor bills and any other medical or dental expenses in the last 12
      months, since MONTH of (1992/1993)?

      IF {R and/or SPOUSE} HAD NURSING HOME STAY (E5=1,2,3):
      Do not include the expenses you already told me about for nursing home
      stays.

      [IWER: DO NOT PROBE DK/RF]
```

B. FILLS

Fills are portions of sentences that are to be included in a question only if or only in the form that is appropriate. In some questions words or brief phrases are presented as alternatives, only one of which is to be inserted within a question. During the interview CATI substitutes the word appropriate for that R. Other types of fills offer a single option and CATI (or sometimes the interviewer) determines whether or not to include that fill in the sentence. Single and multiple option fills sometimes are combined, as in this common example: "(and your (husband/wife/partner))". "(and your…)" and contents would be asked of Rs that have a spouse or

> D12c. (Would you say the move was made mainly to help NAMEn out, to help you (and your (husband/wife/partner)) out, or because it would be helpful to (both/all) of you?

partner, but not of those without one, while "(husband/wife/partner)" gives the choice of relationship if the phrase is to be included.

Some questions require the substitution of a word that is only described by the fill, but that is not the word itself, e.g. the name of a month or of a child. CATI retrieves the specific word from a response given earlier in the interview. In the Questionnaire the term describing the substitution appears in the question in capitals. For example, "NAMEn" indicates that the nth name on the list of household members collected at D5 is to be inserted (see D12c, above). (Note that common abbreviations are located in Section V, below.) In E26 (at III.A, previous page) the current month is substituted for "MONTH" to indicate to the R the exact 12-month period s/he should be considering.

IV. RESPONSES, INTERVIEWER INSTRUCTIONS, DEFINITIONS AND NOTES

A. RESPONSES

Responses to questions are of two types depending on whether they are closed questions or open-ended questions.

1. **Closed Questions:** Closed questions are those requiring a particular response from limited choices. In some cases the choices are implicit (e.g., "YES" or "NO"); in others the interviewer presents the choices to the R who then is required to select from among them. An exception is when the R volunteers a response that is acceptable but that is not explicitly offered as a choice; it is labeled "[VOL]" in the Questionnaire.

> B15. Do you usually wear glasses or contact lenses?
>
>   1.YES
>   5.NO
>   8.DK
>   9.RF
>
> B15a. (With your glasses,) Is your eyesight excellent, very good, good, fair, or poor?
>
>   1.EXCELLENT
>   2.VERY GOOD
>   3.GOOD
>   4.FAIR
>   5.POOR
>   6.[VOL] LEGALLY BLIND
>   8.DK
>   9.RF

Another exception is when the interviewer offers "OTHER" as a choice. When R chooses "OTHER" the interviewer asks the R to "SPECIFY" or say what that is and the response is entered in plain text. For most questions CATI accepts only one choice of response. However, occasionally the R could choose more than one response; multiple-response questions can be identified by an "interviewer instruction" such as [IWER: SELECT ALL THAT APPLY] (see Interviewer Instructions, IV.B, next page). Generally,

> B13a. Which joint was that?
>
>   [IWER: SELECT ALL THAT APPLY]
>
>   1.HIP(S)
>   2.KNEE(S)
>   7.OTHER (SPECIFY) _____
>   8.DK
>   9.RF

responses to closed questions are "Coded", having a numerical code that can substitute for the text. In the Specs, in CATI and for data analysis this code was often used instead of the text of the response.

2. **Open-ended Questions**: Open-ended questions require responses that are continuous or fall into ranges, if numerical, or that are in plain text, e.g., dollar amounts, year of birth, or father's occupation. These usually are "Uncoded" responses, i.e. there are no numerical codes associated with specific values or text. The R is relatively unrestricted in the response given as long as it falls into acceptable or likely ranges (e.g., the number of years at a job can not exceed the R's current age). In some cases the response has underlying code values in CATI, such as for specific months (coded 01-12).

> A1. First, I have some questions about your background. In what month, day, and year were you born?
>
> _____ | DK
>   MONTH/DAY/YEAR | RF

3. **Don't Know and Refuse**: Allowable responses for **all** questions include Don't Know (DK) and Refuse (RF), although these are not read to the R (though, *rarely*, DK is a choice presented by the interviewer). If the R does not want to give one of the choices, the interviewer enters DK or RF depending on what the R says. However, the interviewer usually probes for a specific response before accepting a DK or RF, unless given specific instructions otherwise: "[IWER: DO NOT PROBE DK/RF]" (see E26, III.A, page iv). Usually DKs and RFs have numerical codes of 8 and 9, respectively, or ending in 8 and 9, such as 98 and 99 (see D39, II.E, page iv), 998 and 999, etc. When DK or RF are uncoded, with no assigned numerical codes (see A1, above), the interviewer enters them as Alt D or Alt R (as missing values).

B. INTERVIEWER INSTRUCTIONS

Interviewer instructions are presented when a particular question needs special instructions (e.g., see B13a, previous page). They are never read to the Respondent. They occur between the question text and the choice of response.

C. DEFINITIONS

Definitions are for interviewer information and occur between the question text and the choices of response. Definitions are not read to the R unless the R's response indicates that the question needs to be clarified.

> R12. Are any of these term insurance policies?
>
> DEFINITION: TERM INSURANCE POLICIES HAVE NO VALUE UNLESS THE PERSON DIES.

D. NOTES

Occasionally a question-response pair is followed by a "NOTE". It points out a possible problem with a particular question in the Specs or the Codebook, for example, with the logic of a jump or an inconsistency between the Specs and the data in the Codebook. The note briefly describes the problem, which is also treated in more detail in the Problems Section at the end of the Questionnaire. Such notes were not in the Specs nor in the original Questionnaire used for the interview. They were inserted *post hoc* to alert those using the data to closely examine the Codebook at specific questions to see if it shows what s/he thinks it should. In some cases the data have been "cleaned" (see Codebook Introduction, Data Cleaning, page 20) so that responses given by Rs that should not have been asked the question have already been eliminated.

V. ABBREVIATIONS

We have used several common abbreviations. A list and explanations follow:

R – Respondent
IW – Interview
IWER – Interviewer
DK – Don't Know: Respondent says does not know the answer
RF – Refuse: Respondent refuses to give an acceptable response
CATI – Computer Assisted Telephone Interviewing system
HH – Household
[*VOL*] - The Respondent **Volunteers** an acceptable response that was not among
    the choices presented to the R by the interviewer
ADLs - Activities of Daily Living
IADLs - Instrumental Activities of Daily Living
NAMEn – Interviewer or CATI inserts the name of the nth individual from an
    existing list
SPNAMEn – Interviewer or CATI inserts the name of the spouse of the nth
    individual from an existing list
CHILDn – Interviewer or CATI inserts the name of the nth child of R and/or
    spouse from an existing list
SPCHILDn – Interviewer or CATI inserts the name of the spouse of the nth
    child from an existing list