



**HEALTH AND
RETIREMENT STUDY
1998
QUESTIONNAIRE**

HRS 1998 — TABLE OF CONTENTS

Final Version 2 — 4/20/2001

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PREFACE: EXPLANATION OF HRS 1998 QUESTIONNAIRE

I. INTRODUCTION

This Questionnaire (in what is called Box-and-Arrow format) for the 1998 HRS data collection is meant to lay out the study questions in their logical sequence, closely following the form interviews 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). 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, and/or (3) the status or responses of this or another R in the household during an interview from a previous wave of the study.

Information about the selection of Rs may be found in the Codebook Introduction, as well as definitions of the different types of R and a list of which types of R were responsible for answering questions in different Sections of the Questionnaire.

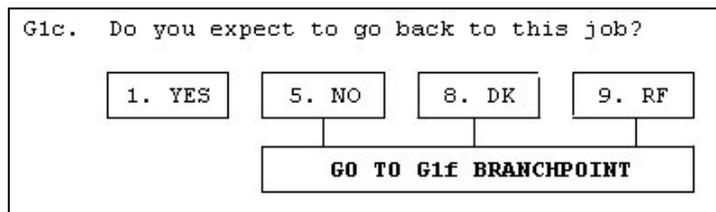
Examples used in the preface, while representing what will be seen in the questionnaire, may not come from the current data collection.

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 format, jump instructions are boxed



below the answer options with a line connecting them (see example at right). If a response is given that is not connected to 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.

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 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. Branchpoint instructions are to be applied in sequence as they are shown.

```
B5c BRANCHPOINT: IF {R HAS NOT SEEN A DOCTOR ABOUT THE CANCER SINCE LAST IW
cr DK cr RF (B5a=5,8,9)} and R IS NOT RECEIVING TREATMENT
FOR CANCER (B5b=5) and R REPORTED IN LAST IW THAT HAD
CANCER. GO TO B6

IN OTHER CASES WHERE {(R IS NOT RECEIVING TREATMENT FOR
CANCER cr DK cr RF (B5b=5,8,9)) and R REPORTED IN LAST IW
THAT HAD CANCER}. GO TO B5d

IF {R IS NOT RECEIVING TREATMENT FOR CANCER cr DK cr RF
(B5b=5,8,9)} and {NEW INTERVIEW R cr (REINTERVIEW R AND R
DID NOT REPORT IN LAST IW THAT HAD CANCER)}. GO TO B5f
```

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. When "AND" and "OR" are capitalized, the same source has provided the information. For example, City and State are actually contained together in one variable; thus, the "AND" connecting them would always be capitalized. Married Or Partnered is another phrase that would always be capitalized, since the information is in one variable. Where there is one statement or condition that applies to more than one other statement or condition, the latter are shown together within curly brackets { }, in the same way that parentheses are used in algebraic formulae. Generally the conditions are written out and will sometimes include a reference to the question label and response code where the information for the condition is obtained (e.g., (B5B={5 or 8 or 9})).

C. LOOPS

Loops are series of questions that are repeated a number of times, depending on, e.g., the number of pension plans or number of names on a list. The questions are asked for each particular item or name until all instances or a maximum number 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 to the beginning of the sequence and also includes the loop sequence.

```
***BEGINNING OF LOOP. QUESTIONS G69-G74d WILL BE REPEATED FOR EACH PENSION
PLAN***
```

```
END OF LOOP: IF THERE ARE MORE PENSION PLANS GIVEN, REPEAT Q'S G69-G74d FOR
EACH PENSION PLAN.
```

D. GRIDS

Grids provide another way for the interviewer to enter repeated types of information. SURVEYCRAFT 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. 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 a few rows shown for this information, but SURVEYCRAFT 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).

RELATIONSHIP TO RESPONDENT	FIRST NAME	CONTACT STATUS	CURRENT MARITAL STATUS	PAST MARITAL STATUS
[ROWS PROVIDED BY SURVEYCRAFT AS NECESSARY]				

E. LISTS

Lists contain information retrieved by SURVEYCRAFT 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. In the example shown, at D39 Surveycraft 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 SURVEYCRAFT 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 available on a list, such as "ALL MY CHILDREN" or "NOT ON LIST". Extra lines show that the interviewer may select a response of Don't Know (DK) or Refuse (RF). For some lists the interviewer does not make a selection but refers to the list when asking one or more questions about each name or activity listed.

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	

III. FILLS AND ALTERNATIVE FORMS OF QUESTIONS

The Box-and-Arrow Questionnaire presents the full array, available within Surveycraft, of alternative forms of question text or fills, and all optional or clarifying questions that Rs could be asked. During each interview itself, Surveycraft usually shows only the one version of the question that is appropriate for the particular R being interviewed. In the Box-and-Arrow Questionnaire alternative text can be identified by (a) a series of condition/question pairs (see III.A., below), or (b) by parentheses () within or surrounding a question (see III.B., below), or (c) by square brackets [] around words or phrases within a question (see III.B., below).

Question text always appears in lowercase letters in the Box and Arrow Questionnaire. Any item shown in uppercase letters is not read to the R, expect for a "DEFINITION" if it is needed (see V.B., below) and word-substitution fills (see III.B., below).

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 will present each alternative form separately as a condition and question pair, or as amalgamated into one question with the alternatives shown in parentheses (if the difference between question forms is self-explanatory). 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, or to questions in a prior wave. 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.

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?

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 read to an R only if or only in the form that is appropriate. In the Box-and-Arrow Questionnaire all words or phrases that are alternatives to each other are shown divided by slashes. Generally when one of the alternatives shown is **required**, then the full range of alternatives is surrounded by square brackets []. When a word or phrase is optional, or when one of the choices is to omit the fill, then it/they is/are shown in parentheses (). During the interview Surveycraft usually substitutes only the word or phrase appropriate for that R, though in certain cases the fill may be made at the interviewer's discretion. Single and multiple option fills sometimes are combined, as in this common example: "(and your [husband/wife/partner])". If the R has no spouse/partner the entire phrase in parentheses "(and your [husband/wife/partner])" is excluded — i.e., the alternative to the phrase is no fill at all. However, if the R does have a spouse/partner, then the phrase is included and one choice of "[husband/wife/partner]" must be inserted.

D12. Consider all the costs associated with the education beyond high school that *CHILDn NAME (RELATIONSHIP TO A)* received. Did you (or your [husband/wife/partner]) pay none, some or most of those costs?

1. NONE	2. SOME	3. MOST OR ALL	8. DK	9. RF
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Some questions show a fill that only describes a word that is to be inserted, but that is not the word itself, e.g., the name of a month or of a child. Surveycraft retrieves the specific word from a response given earlier in the interview or from preloaded information from a previous interview. In the Box-and-Arrow Questionnaire the term describing the substitution appears in the question in italicized capitals. For example, "*CHILDn NAME*" would be used in looped questions and indicates that the *n*th name on the list of children collected at CS40 and D0b is to be inserted into the question text (see D12, above). The word "CHILD" or "CHILD-N-LAW" or "STEP-CHILD" would appear in parentheses after the child's name as a substitute for "(*RELATIONSHIP TO R*)". (Descriptions of some common substitutions appear in Section VII, below.)

IV. RESPONSES, INTERVIEWER INSTRUCTIONS, DEFINITIONS AND NOTES

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

A. 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

A4c. While you were growing up, before age 16, did financial difficulties ever cause you or your family to move to a different place?

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

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.

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 SURVEYCRAFT accepts only one choice of response.

Q92. (Could you tell me a little more about this plan?) Is it a thrift or savings plan, a 401K, a 403B, a Supplemental Retirement Account, a profit-sharing plan, a stock purchase plan, a money purchase plan, or what?

01. THRIFT OR SAVINGS	02. 401K	03. 403B	04. SUPPLEMENTAL RETIREMENT ACCOUNT	05. PROFIT SHARING
06. STOCK PURCHASE, ESOP	07. MONEY PURCHASE	99. OTHER (SPECIFY)	98. DK	99. RF

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

- B. **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

G74. How much money is in your account at present?

AMOUNT

DK	RF
----	----

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).

- C. **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 vi). Usually DKs and RFs have numerical codes of 8 and 9, respectively, or ending in 8 and 9, such as 98 and 99, 998 and 999, etc. When DK or RF is uncoded, with no assigned numerical codes (see A1, above), the interviewer enters them as Alt D or Alt R (as missing values).

V. INTERVIEWER INSTRUCTIONS, DEFINITIONS AND NOTES

A. INTERVIEWER INSTRUCTIONS

Interviewer instructions are presented when a particular question needs special instructions, and they are never read to the Respondent. They occur between the question text and the response choices in square brackets "[IWER: ...]".

B. DEFINITIONS

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

E20-1. Have you ever smoked cigarettes?

DEFINITION: BY SMOKING WE MEAN MORE THAN 100 CIGARETTES IN YOUR LIFETIME. DO NOT INCLUDE PIPES OR CIGARS

1. YES	5. NO	8. DK	9. RF
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GO TO B21

C. NOTES

Occasionally the Surveycraft specifications prescribed question text or a procedure that was not intended — for example, an illogical jump or, alternatively, a missed jump (see D43a Branchpoint), or an inconsistency between questions due to, perhaps, faulty programming instructions in the Surveycraft specifications. In such cases a "NOTE" is inserted into the Box and Arrow Questionnaire to point out a possible problem with a particular question, jump or procedure that occurred in the interview and that might not be according to expectations. Such notes are intended to alert those using the data to closely examine the Codebook at specific questions to see if it shows the results that s/he thinks it should. In some cases the data already have been "cleaned" (see Codebook Introduction, Data Cleaning) so that, for example with missed jumps, responses given by Rs that should not have been asked a particular question have already been eliminated.

D43. Are you (or your [late] [husband/wife/partner]) raising <i>NAME(S) OF RESIDENT NON-CHILD NON(S) UNDER 18 YEARS (RELATIONSHIP(S) TO R)</i>			
1. YES	5. NO	8. DK	9. RF
GO TO D44 BRANCHPOINT			
NOTE: THIS QUESTION WOULD NOT BE ASKED OF R _s WITH NO LIVING (CHILDREN OR THEIR SPOUSE/PARTNER _s) IN CONTACT, EVEN IF THEY HAD POSSIBLE UNDERAGE NON-CHILD NON _s . SUCH R _s WOULD HAVE JUMPED FROM D43 BRANCHPOINT TO D46 BRANCHPOINT, OVER THE AGE QUESTION AT D1. SO WE WOULD NOT KNOW THE AGES OF ANY NON-CHILD NON _s .			

A "NOTE" can also serve to provide information about Surveycraft or interviewer procedure, or about what was displayed on a screen during the interview. Notes do not come from the specs nor were they seen during the interview. They were inserted *post hoc* into the Box and Arrow Questionnaire to clarify or warn.

VI. COHORTS

This Wave, or data collection year, is the first in which the previously separate study, Asset and Health Dynamics Among the Oldest Old (AHEAD), was merged with the Health and Retirement (HRS) study. In addition, two new sampling strata, or cohorts, were added. Throughout the questionnaire, the various cohorts were skipped in and out of certain sequences. In order to present a better feel for the flow of the instrument, a brief description follows.

Asset and Health Dynamics Among the Oldest Old (AHEAD):

People born before 1924 and their spouses (regardless of age).

Health and Retirement Study (HRS)

People born between 1931 and 1941 and their spouses (regardless of age).

Children of the Depression Age (CODA)

People born between 1924 and 1930 and their spouses (regardless of age).

War Babies (WB)

People born between 1941 and 1947 and their spouses (regardless of age).

VII. 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 or was not implicit in the question

ADLs - Activities of Daily Living

IADLs - Instrumental Activities of Daily Living

NAME_n - Interviewer or SURVEYCRAFT inserts the name of the n^{th} individual from an existing list

SPNAME_n - Interviewer or SURVEYCRAFT inserts the name of the spouse of the n^{th} individual from an existing list

CHILD_n - Interviewer or SURVEYCRAFT inserts the name of the n^{th} child of R and/or spouse from an existing list

SPCHILD_n - Interviewer or SURVEYCRAFT inserts the name of the spouse of the n^{th} child from an existing list

HHM_n NAME - Interviewer or Surveycraft inserts the name of the n^{th} non-child household member from an existing list

SIBLING_n NAME - Interviewer or Surveycraft inserts the name of the n^{th} sibling from an existing list

SIBLING-IN-LAW_n NAME - Interviewer or Surveycraft inserts the name of the n^{th} sibling-in-law from an existing list