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Month Day, Year

PI Name
PI Department
PI University
Street Address
City, State ZIP

REF: Project Name
SRO #XX-XXXX

Dear PI Name:

Thank you for your interest in having Survey Research Operations¹ (SRO) partner with you to complete data collection for your "Project Name". Enclosed please find our revised formal budget and scope of work. These documents describe the budget and scope of work that will be carried out by SRO.

Basic Assumptions:

The design of the XX study includes X waves of data collection. For the first wave (years 1 and 2), interviews will be completed with XX and XX in the household in four metropolitan areas (City). Assuming approximately # percent of households with eligible X, we estimate interviewing a total of # households – # from local housing authority lists and # from random screening in selected neighborhoods located in census blocks with X. Eligibility includes having a X for that city, and also having X living in the home. Once a household has been determined as eligible, interviewers will complete interviews with X. Each interview will take approximately X hours. Included in the total household interview time is collection of anthropometric measures (height, weight, waist and hip measures, blood pressure monitoring), a self-administered X, and a self-administered X using a smartphone. We have estimated interviewer effort and sample size to complete these # interviews at an approximate weighted screening cooperation rate of #, and a Wave 1 interview cooperation rate of #.

¹ SRO is a unit of the Survey Research Center (SRC) at the Institute for Social Research (ISR).

Follow-up interviews will be completed XXX. For each wave, the same basic protocol will be followed. We have estimated the interviewer effort we believe is necessary to complete interviews in approximately # households in Wave 2 (for a weighted # location and cooperation rate), and approximately # households in Wave 3 (for a weighted # location and cooperation rate).

All of our estimated location and cooperation rates are based on our experience with recent similar studies, and assume the use of intensive interviewer effort and some type of two-phase sample design. Two-phase designs are increasingly attractive to survey researchers because they offer a way to control the costs at the end of a data collection period while addressing concerns about nonresponse rates and errors. In face-to-face surveys, at the end of the data collection period, large costs are incurred for travel to sample segments to visit only one or two sample units, usually those extremely difficult to contact in prior visits or repeatedly displaying some reluctance to grant the survey request. By restricting these expensive visits to a sample of the nonrespondents at the end of the study, a more cost-effective method limits costs while addressing the need to increase response rates.

The cases sampled into the second phase that are successfully interviewed are assigned new selection weights (reflecting the fact that they must “represent” the nonselected nonrespondents). This additional weight component generally increases the variance of the estimates, but is expected to reduce the nonresponse bias by the capture of data from the first phase nonrespondents.

The exact sampling plan – including a two-phase design – will be determined once we actually begin the study and are able to observe the performance of the sample. All response rates used in these estimates are weighted response rates, and the calculations of the rates will be fully documented for each wave of data collection.

SRO’s involvement in this project includes sample design, questionnaire programming and testing, interviewer recruitment and training, data collection, and data delivery.

This budget assumes an overall SRO involvement period of # months commencing in Month Year with the data collection taking place during three X-month waves, beginning Month Year, Month Year, and Month Year. The total cost for this work is estimated at \$# (\$# direct, \$# indirect), budgeted at the University-approved federal off-campus indirect recovery rate of # percent.

The assumptions used in creating the budget for the SRO activities are as follows:

Management:

- A senior project advisor will provide consultation to the survey director to assure consistent application of SRO policies and standards.
- A survey director will be assigned to the project to provide oversight, to coordinate all data collection activities, and to communicate with the research team.
- A project manager will be assigned to assist the survey director with all aspects of the project.
- A budget specialist will be assigned to the project to monitor costs and report the fiscal status of the project.

Sampling:

- The Principal Investigator will provide SRO with the sample from the housing authority list (“voucher sample”). This sample will be provided in an electronic format with separate, sortable fields for respondent name, street address, city, state, zip code, and number of children, residents, and telephone number, if available.
- A senior research associate will define the non-voucher sample, order the sample file from an external vendor, and examine and clean the sample list as compared to the voucher sample lists received from the Principal Investigator. It is expected that we will purchase a total of # address lines, which includes a 25% reserve sample.
- SRO’s sampling staff will provide final sample preload files for the interviewers, and will monitor the performance of the sample throughout the data collection waves.
- Sampling staff will define and administer potential responsive design approaches (two-phase sampling) and potential experiments, including maintaining a reserve sample.
- During Waves 2 and 3, sampling staff will monitor respondent tracking activities.
- Sampling staff will provide non-response weights and final sample documentation.
- A senior statistician is assigned to provide consultation to the Principal Investigator and senior research associate.

Questionnaire Development:

- The Principal Investigator will provide SRO with questionnaire content for both the adult and child interviews for each wave of data collection.
- It is expected that each interview will average # hours in length, and that there will be some overlapping content between the adult and child questionnaires, and also from wave to wave.
- A project manager will generate questionnaire (CAI) specifications and will review those with the research staff.
- One pretest of 30 households will be conducted prior to Wave 1 data collection, to test all protocols and the questionnaire applications. We have assumed this pretest will occur in the Detroit area. The results of the pretest will be used to finalize protocols and questionnaires.

Computer Assisted Interviewing (CAI) Programming:

- A programmer analyst will be assigned to develop the CAI questionnaire applications using Blaise software, based on the specifications.
- SRO staff will complete thorough testing of the applications, and will provide them to the research staff for final testing and approval.
- We have assumed overlapping content between waves, but also additional programming hours associated with each wave for revisions and development of new content.

Sample Control Systems:

- A programmer analyst is assigned to modify SRO’s existing electronic sample management system (“SurveyTrak”) which will be used by field interviewers to access their sample lines and transmit data to Ann Arbor.
- The sample control system will provide status reporting across the entire project, by sample area, and by interviewer – so that production can be closely monitored

throughout the study. Production and cost reports will be provided to the research staff weekly during production.

Training:

- We have estimated approximately #% new hires required for wave 1, #% new hires waves 2 and 3.
- Prior to each wave of data collection, an in-person interviewer training will be held in Ann Arbor. We expect to train approximately # interviewers for Wave 1, # interviewers for Wave 2, and # interviewers for Wave 3.
- All interviewers new to SRO will be required to complete a 2-day general interviewing techniques training. All interviewers on the project will complete a 6-day study-specific training, with the content jointly developed with the research team. At the end of training, each interviewer will be required to successfully complete a “certification” interview, where they must demonstrate their ability to correctly perform all elements of the protocol before they are approved for production interviewing.

Data Collection:

- Data collection will occur in three waves:
 - Wave 1: Month Year – Month Year; # households
 - Wave 2: Month Year – Month Year; # households
 - Wave 3: Month Year – Month Year; # households
- The budget assumes a level of effort that we believe is necessary to attain the stated number of interviews; we cannot guarantee a particular outcome.
- The Wave 1 data collection will consist of about # completed interviews (# households) in each of four metropolitan areas. In each city, approximately # household interviews will come from housing authority lists (provided by the research team) and # household interviews will come from randomly selected households screened for eligibility.
- Each eligible household will be administered at least # interviews: one X and one X. We expect that each interview will take an average of # hours to administer, all components inclusive.
- Inclusive of the questionnaire interview time, we expect to collect anthropometric measures from the respondents. These anthropometric measures will include height, weight, waist, hip, and blood pressure measures.
- Inclusive of the questionnaire time is explaining procedures and return process for a self-administered, scannable X.
 - Respondents will be provided with a pre-labeled, pre-paid USPS priority mail envelope to mail in completed diaries.
 - Interviewers will make one reminder call to each household to complete and return diaries.
- Inclusive of the questionnaire time is explaining and demonstrating the implementation of the noise meter via a smartphone.
 - SRO will purchase smartphones expected to cost up to \$#, as well as a X application (expected to cost approximately \$# per phone), and pay-as-you-go usage fees (expected to cost approximately \$# per household).
 - Interviewers will arrange to return the following day to pick up smartphones.

- The Wave 2 and Wave 3 data collections will be reinterviews with the Wave 1 households. We expect a # weighted location/cooperation rate for Wave 2, and a # weighted location/cooperation rate for Wave 3.
- The SRO budget includes respondent incentives, in the amount of \$# for the adult interviews, \$# for the child interviews, and \$# (at the household level) for time diaries. No additional incentive has been budgeted for the anthropometric measures, or the noise meter. We have included an extra 15% of the total respondent incentives in each wave to be used during the responsive design (end) phase of data collection.
- Interviews will be digitally recorded (both audio and video files that capture the computer screen) and used for quality control activities. Interviewers will receive regular feedback based on a review of the recorded interviews. SRO will also perform “verification” of the interviews by recontacting approximately 10% of each interviewer’s respondents to confirm the interview and re-ask key items from the questionnaire.

Post Collection Processing:

- The SRO budget includes coding of up to # open-ended items from each completed interview.
- We have not included any receipt of paper materials or data entry in the SRO budget.

Weighting and Estimating:

- The senior research associate will generate a final sampling report including weights for each wave of data collection.

Deliverables:

- SRO will provide regular progress and cost reports during the production periods.
- The final deliverables for this project will include a cleaned data file for each wave (submitted in SAS, SPSS, or Stata format), and documentation on the data collection procedures.
- SRO will also provide copies of all interviewer training materials.

Direct costs for the study reflect all salary and non-salary expenses for work on this project. Labor rates, recharge rates and ratios are estimated based on current salaries, effective September 1, 2011, assuming a 3% annual increase each September.

Whenever the work scope calls for unconventional, risky or innovative procedures, the client is notified of that. Such instances involve a larger range of variability in the precision of the estimate. This project has a moderate degree of uncertainty inherent in the design, due to the nature of the sample, the high assumed cooperation rates, and the length of the questionnaires.

While we do not anticipate the need to develop substantial improvements to the project design once the study is funded, any such improvements represent changes in the scope of work. The costs of such changes must be estimated, and if appropriate, the SRO budget will be revised (with the approval of the client).

SRO has monitoring systems to track project expenses over the course of the project so that overruns can be predicted with sufficient time to be avoided. This means that, whenever

necessary, the work scope can be reduced, supplemental funds can be secured, or cost efficiencies in survey procedures can be identified in a way which will bring the budget back in line with available funds.

We look forward to working with you on this project. If you need any other information, please do not hesitate to contact us.

Sincerely,



Technical Lead's Signature

Stephanie Chardoul
Director
SRO Proposal Development Group

Technical Lead's Signature Block

Attachments:
Budget spreadsheet
Budget justification text

CC: Rolfe Carlson, SRO Admin, file

SAMPLE