



# HCHS/SOL V3-Enrollment Tracking (ETF)

QxQ

12/10/2020

## General Instructions

This tracking form was designed to help the field centers keep track of their V3 enrollment contact effort work in progress, including the V3 Phone Interview calls and in-person study visit. This form is **not a substitute for the ELE-Eligibility** form used for the in-person study visit and to document the exam visit response rate for all centers. Please make sure you code the ELE when a final participation decision is made by the participant. Also, for those participants that are **reported deceased as result of screening for V3, complete the GHE** for the appropriate year within the AFU window. If the current AFU window has closed, then enter a GHE for the *next* AFU year to begin to report this fatal event.

## When to complete the ETF

The ETF log should be completed for every phone call made to screen/recruit the participant for a V3 Phone Interview and/or In-Person study visit. **Completion of the ELE is required for study participation and final codes are required to match the ETF code accordingly.**

Given that V3 screening and recruitment strategy has changed significantly due to the COVID-19 pandemic interruption, the completion of this form has changed significantly compared to V2 ETF completion. In V3, completion of this form *is not directly related* to an AFU call and/or the ATF form, or ancillary study recruitment because of the increased number of AFU call contacts since March 2020 with cohort participants.

## QxQ Instructions

**Note:** In the paper form each line of information will represent a new occurrence of the form in CDART. If only one paper form is used for a specific ID, then line 1=occurrence 1, line 2=occurrence 2, etc. Instructions below are depicting the CDART screen for each paper form line (occurrence) and each CDART form occurrence has Q1 to Q1e.

### Phone call information for each CDART form occurrence (paper form line)

**Q1** Phone call **Date/Time column:**

Enter the date of the contact attempt.

Each line in the paper form will represent a new occurrence of the form in CDART. Paper form **Q1 to Q10**.

**Q1a** Phone call **Date/Time column:**

Enter the time of the contact attempt, use 24-hr format. Paper form **Q1a to 10a**.

**Q1b** **Staff ID column:**

Enter the staff ID that made the contact attempt. Paper form **Q1b to 10b**.

**Q1c** **Contact method column:**

Select from the list the method used to contact the participant. Paper form **Q1c to 10c**.

1=Phone, 2=Text/Email, 3=Home, 4= Letter

**Q1c1** **Type of Contact Column:**

Select if the contact is intended to screen/schedule/complete a Phone Interview or and In-person visit.

Paper form **Q1c1 to Q10c1**.

**Q1c2:** If the contact is for a Phone Interview, enter the Interview # (1, 2) of the contact. Refer to Manual 2, Appendix III Telephone Interview Administration of Visit 3 Examination Questionnaires, Table 8 for which questionnaires are designated for Interview 1 and Interview 2 at this time.

**Q1d** **Result Code column:**

Reference the table below for the best code to use. Paper form **Q1d to 10d**.

**\*\*All ETF final codes (2, 5, 6, 8, 9) require completion of the ELE form\*\***

### Result Codes Description Table

ETF Code	Description
0. Pending contact/ Tracing	No action taken. Not yet contacted any source or trying to find valid contact information for participant. Will continue to try to contact the participant until a final determination can be made.
1. Temporarily out of area	When the participant reports (or a source reports) they will be out of the area temporarily, use this code. Future calls should be made to invite the participant for V3 when they come back.
2. Screened, Eligible, Completed	Participant contacted, Screening done, and Visit completed. <b><u>Complete ELE</u></b> with all screening information.
3. Screened, Eligible, Scheduled	Participant contacted and Screening completed. Participant is eligible and Visit has been scheduled. <b><u>Complete ELE</u></b> with all screening information but keep ETF as a Result Code 3 until an in-person clinic visit has been completed.
4. Screened, Eligible, but Not Scheduled	Participant contacted and Screening completed. Participant is Eligible for HCHS V3, but Phone Interview or Clinic Exam <u>Not Scheduled</u> . Future calls needed to make V3 appointment schedule. No ELE required at this point. If too many contact attempts are coded this way, it might mean a soft refusal. Each FC will evaluate participant responses before coding them as a Refusal.
5. Screened, Not Eligible	At time of screening participant is found to be ineligible due to cognitive impairment or administrative ineligibility (which includes having moved more than 250 miles away). <b><u>Complete ELE</u></b> for participants that are alive and ineligible.
6. Contacted, Refused to participate	If participant refuses to participate at time of contact. This code would be used for a <b><u>definite NO. Complete ELE</u></b> to record Refusal.
7. Contacted (or reported alive), Screening not done	For some reason eligibility was not determined when the participant was contacted. Requires follow-up calls to determine eligibility. Or when participant is reported alive and attempts to contact continue. If too many contact attempts are coded this way, it might mean a soft refusal. Each FC will evaluate participant responses before coding them as a Refusal.
8. Reported Deceased	If participant is reported deceased at time of contact. <b><u>Complete GHE</u></b> for participants reported deceased in corresponding AFU year (No ELE necessary).
9. Unknown	When all options to contact participant have been exhausted, no contact has been made and there is no hope to find the participant for V3. <b><u>Complete ELE</u></b> if no more attempts will be made to find the participant.

**All FINAL CODES** in the **ETF** should **pair correctly** with final codes in the **ELE**. Use the reference table below for correct pairing of final codes in these forms.

ETF Codes	ELE Codes
3=Screened, Eligible, and Scheduled	5=Agrees to participate
5=Screened and Not eligible	4=Ineligible or 3=moved out of area
6=Contacted, Refused to participate	1=Refuses to participate
8=Reported Deceased	0=Deceased

9=Unknown

2=Unable to contact, status unknown

**Please Note:** Since there may be more than one interview conducted by phone (Interview 1 or Interview 2), there could also be more than one Final Code for the ETF over time. When Interview 1 is completed, enter the Final Code for Interview 1, and complete the ELE appropriately.

When/If a Phone Interview 2 effort commences, open a new occurrence of the ETF in CDART to track contact efforts as usual and designate the contact as for Interview 2. When Interview 2 has been successfully completed, again enter a Final Code for the ETF and update the ELE form at that time.

**Q1e to 24e** **Notes** column: In this column enter any 'Barrier to Participation' codes (table below). Only enter a 'Barrier to Participation code' in the final occurrence of the ETF. Enter only the code, use your best judgment to select the code that describes the primary barrier to participation. Whenever possible, try to **avoid** the use of the 'Other' code. If the barrier to participation is not clear, probe the participant to obtain clarity. Use the Notelog to add description text of the situation as needed. Paper form **Q1e to 10e**.

These codes will allow the CC to do concise code retrieval for analysis on barriers to participation.

### Barriers to Participation Codes Description Table

Code	Description	Details
<b>C</b>	Costs of Travel/lost wages	When monetary cost of travel is the main reason for no participation. This can be a result of lack of money to afford the cost of travel due to loss of wages or other reasons.
<b>F</b>	Family Commitments	They are not able to participate due to family commitments. For example child care, care for elderly family member, housework, etc.
<b>H</b>	Health limitations/concerns	Participant is too fragile, health wise, to come to V3. Can be too old or too sick and they do not have access to caregiver or family member that can bring them to the center. Could include MD appointments, pregnancy, emergencies
<b>I</b>	Incentive to participation	They have expressed that the incentive provided is not enough for them to come to V3. Could include any excuse that shows lack of interest in the study. "Don't call me I will call you", repeated 'call me back', weather, etc.
<b>M</b>	Moved out of area	Moved out of the study area. They presently live <b>100+</b> miles from the study center. Could include Unknown address, moved out of town.
<b>O</b>	Other/motivation	Other reason not specified in these options. Not motivated to continue to participate in V3. Use code and specify reason.
<b>PERM</b>	Permanently Institutionalized	Permanent resident of nursing home or other institution
<b>T</b>	Travel Time	The time cost for participants who live LESS THAN 100 miles from center. Could include any transportation related issues.
<b>TEMP</b>	Temporarily	Temporary resident of nursing home or other institution

Institutionalized		
<b>V</b>	Visit 3 interview time	Participant cannot find the time to come to V3 due to visit length. Participant cannot find a schedule that works for them. Not interested in doing procedures, blood draw, etc.
<b>W</b>	Work Commitments	Their job does not allow them to make time for the V3. Too busy, Lack of time

## Soft Refusals and Refusal at time of V3

### Data Entry information

Scenario	Questions to update	Description
<i>Soft Refusals Recurrent No Show</i>	ETF1d=3	<i>Recurrent No-Show</i> can be interpreted as a <i>Soft-Refusal</i> . Code CHK22=Refusal. Complete an <b>ETF</b> occurrence with Q1d=3 'Screened, Eligible, but V3 Not Scheduled'. Use appropriate code from the "Barriers to Participation" list described above.
<i>Refusal at time of V3 No Form/Procedure</i>	ETF1d=5	For participation refusal at V3, for participants that have not completed any procedures or questionnaires. Complete <b>ETF</b> as V3 Refusal.