

# From completed interview to validated case in one-day flat: NORC's validation system for field projects

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# NORC Field Validation System

- Moved from a combined automated and paper based manual operation to a fully automated, system driven process
- Manual process was somewhat inefficient & time consuming
  - If falsification occurs, it needs to be caught as soon as possible
  - Development of requirements document for needed system changes

# Old CM-Validation System

- Component of standard Case Management (CM) system
- Randomly selected completed cases
  - Based on defined percentage
- Allowed manual selection of specific cases
- Kept track of validation dispositions
  - Updated manually
- Standard validation report
  - Potential problems not easily identified

# Old Field Validation Process

- Intensive manual effort
  - Hardcopy quex
  - Paper ROC
  - Hardcopy case management
- CMS selected the cases and kept track of dispositions
- Everything else was handled outside of the system

# New CM-Validation System

- Utilizes existing technology
  - Case spawning
  - Quex programming
    - Preloads
    - Programming logic
  - Quex & production data
    - Near real-time synchronization
    - Easily accessible

# New CM-Validation System Overview

- Interviewer dials-in with completed case
- Validation case is automatically created
- System checks algorithm for interviewer
  - Does case need to be selected for validation?
- Validation case automatically assigned to Validator
- Validator logs in, has new pending case
- Validator works assignment
  - First contact within 24 Hours

# System Features – Validation Quex

- Electronic quex created on the fly
  - Preloads from quex & CMS
- Automatic consistency checks between validation interview and preloaded data
- Automatic assignment of validation disposition based on results
  - Does case pass, fail, or need investigation?

# System Features – Reporting/Data

- Data updated daily & easily accessible
  - Access validation data just like main study data
    - Validation quex data (i.e. quex responses)
    - Validator production data (i.e. case attempts)
- Customize disps based on project needs
- Create customized reports
- New Validation Production Report updated daily
  - Available to Field Managers and Central Office

# System Features - Flexibility

- Validate all or percentage of cases in a given timeframe
- Limit number of attempts in a time period
  - I.e., disposition “Needs Investigation” if 5 attempts over 2 weeks do not yield contact with respondent
  - Set max calls
- Field or Contact Center validation
  - Ability to move case into the field for in-person validation

## System Features - Efficiency

- Case disps are updated on each contact attempt by validator
  - Create Record of Call entries
  - Set appointments
- Flag Spanish interviews for Spanish speaking validators
- Cases can be worked by “Validator Team”
- Option to automatically select all of an Interviewer’s caseload
- View FI Record of Call Entries

## New System Feature – Decentralized CATI (D-CATI)

- Validation system recently integrated with NORC's D-CATI system
  - Allows for remote users to access validation cases
    - Field Manager team working cases from home office
  - D-CATI includes basic case distribution and call scheduling capabilities
    - General time zone and evening rules
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# Overall Benefits

- Increased accuracy
  - Quex discrepancy ambiguity eliminated
- Efficiency greatly increased
  - Shortened case life cycle
- Determine problems early
- Reduced supervisor time

# Validation Supervisor View

Field Interviewers		All Validation Cases								
FI ID	FI Name	Total # of Assigned Cases	# of Pending Cases	# of Completed Cases	# of OOS Cases	# of NIR Cases	Admin Unit	FI Phone		
000262		46	0	42	2	2	002	562-691	▲	
000524		0	0	0	0	0	002	661-398	≡	
000555		8	0	6	2	0	008	631-256		
000636		0	0	0	0	0	006	989-539		
000753		64	0	13	51	0	006	231-894		
000799		0	0	0	0	0	003	619-563		
000870		41	0	35	4	2	006	773-284		
001027		0	0	0	0	0	002	626-579		
001028		3	0	3	0	0	002	626-960	▼	

Sort...

Find...

Columns...

Zoom In

Zoom Out

Select

Print...

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**FI Details**

Phone:

FI:

Address:

City:

State:  Zip:

Total Cases:

Complete:

Pending:

NIR:

OOS:

# Validator View

Validation Pending		Validated	Failed Validation	Validation NIR	Not Selected	Selected for Validation		
Case ID	Quex ID	Quex Disposition Date	Validation Disp	Validation Date	Description	First Name	Last Name	Date of Birth
12474200	VALID	03/19/2006...	60	04/11/2006...	Complete ...		UNKNOWN	
12474900	VALID	03/26/2006...	60	04/11/2006...	Complete ...		UNKNOWN	

Sort...

Find...

Columns...

Zoom In

Zoom Out

Select

Print...

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**Facesheet** | Interview | **Validation Status** | All Recalls

**Summary Information**

Case ID: \_\_\_\_\_ FM: \_\_\_\_\_

Respondent Name: \_\_\_\_\_ Status \_\_\_\_\_ FI: \_\_\_\_\_

CO Disp: \_\_\_\_\_ Updated On: \_\_\_\_\_ Quex Group: \_\_\_\_\_

Field Disp: \_\_\_\_\_ Updated On: \_\_\_\_\_ Sample Type: \_\_\_\_\_

Address/Phone: \_\_\_\_\_

Home Phone: \_\_\_\_\_

Work Phone: \_\_\_\_\_

Cell Phone: \_\_\_\_\_

Print...

Cancel

# Sample Introduction Screen

Blaise Data Entry - d:\t6264\VALD2005\VALD2005

Forms Answer Help

R NAME: 2  
R PHONE NUMBER: 2222222222  
(AFTER CONFIRMING THAT YOU ARE SPEAKING WITH THE RESPONDENT)

Hello, my name is [YOUR NAME] and I am calling from NORC, the National Opinion Research Center at the University of Chicago.

I am calling about the interview with System, Test User that you recently completed for the Residential Energy Consumption Survey. The study is sponsored by the U.S. Department of Energy. We want to make sure that the process went smoothly and that you did not have any questions or concerns. This will take no more than 5 minutes.

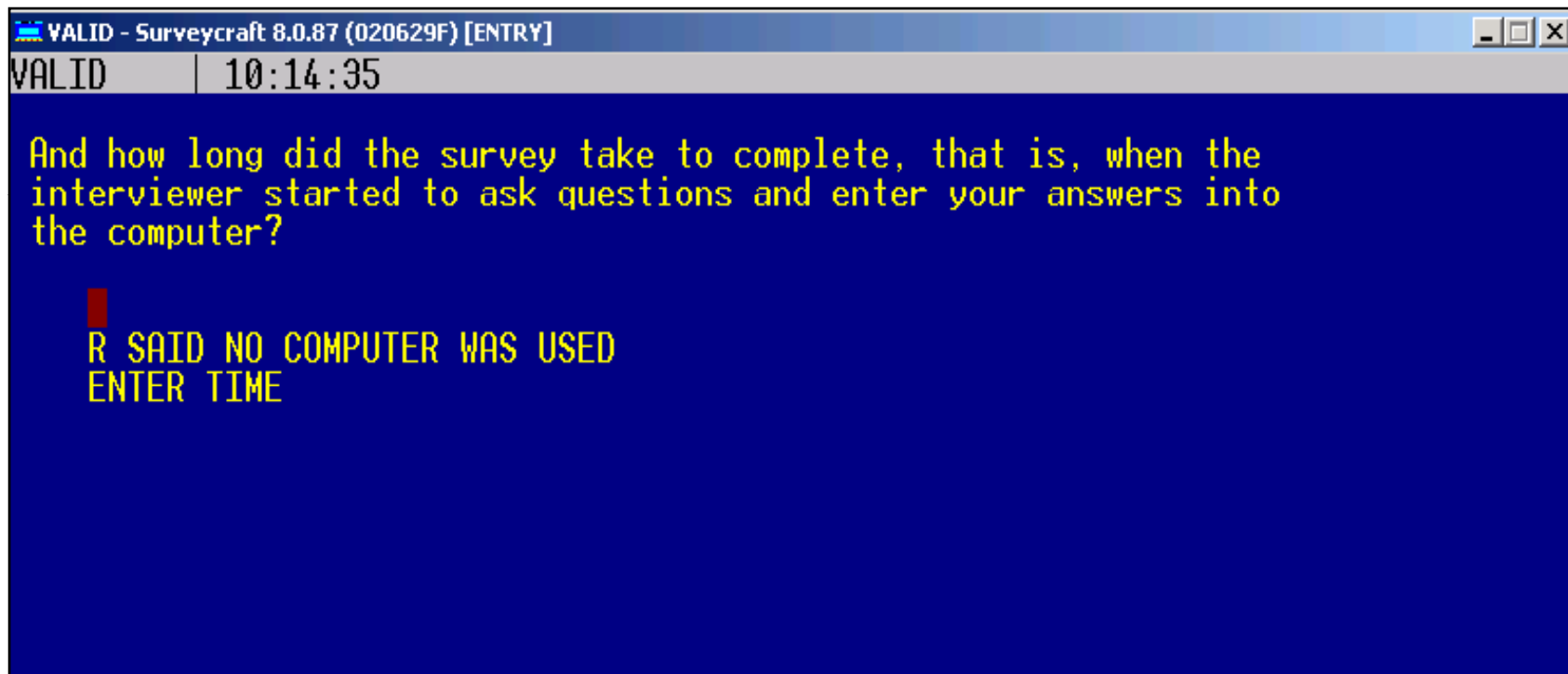
Do you remember completing an interview with System, Test User?

1. Yes  
 2. No

Q1 Q1

Old 1/6 Modified by rules Dirty Navigate RECS\_Validation

# Confirming Interview Length



VALID - Surveycraft 8.0.87 (020629F) [ENTRY]  
VALID | 10:14:35

And how long did the survey take to complete, that is, when the interviewer started to ask questions and enter your answers into the computer?

R SAID NO COMPUTER WAS USED  
ENTER TIME

# Confirming Interview Response

Blaise Data Entry - d:\t6264\VALD2005\VALD2005

Forms Answer Help

?

!

And, now I would just like to confirm some information from the interview.

How many bedrooms do you have in your home? Please include in your count bedrooms in finished attics or finished basements.

INTERVIEWER: IF R IS IN STUDIO, CODE AS 0.

Enter a numeric value between 0 and 9

Q7a Q7a

Q7b Q7b

Q8 Q8  Yes

Q8a Q8a

Q9\_ Q9\_

Q9\_5\_ Q9\_5\_

Q9\_5a\_ Q9\_5a\_  One

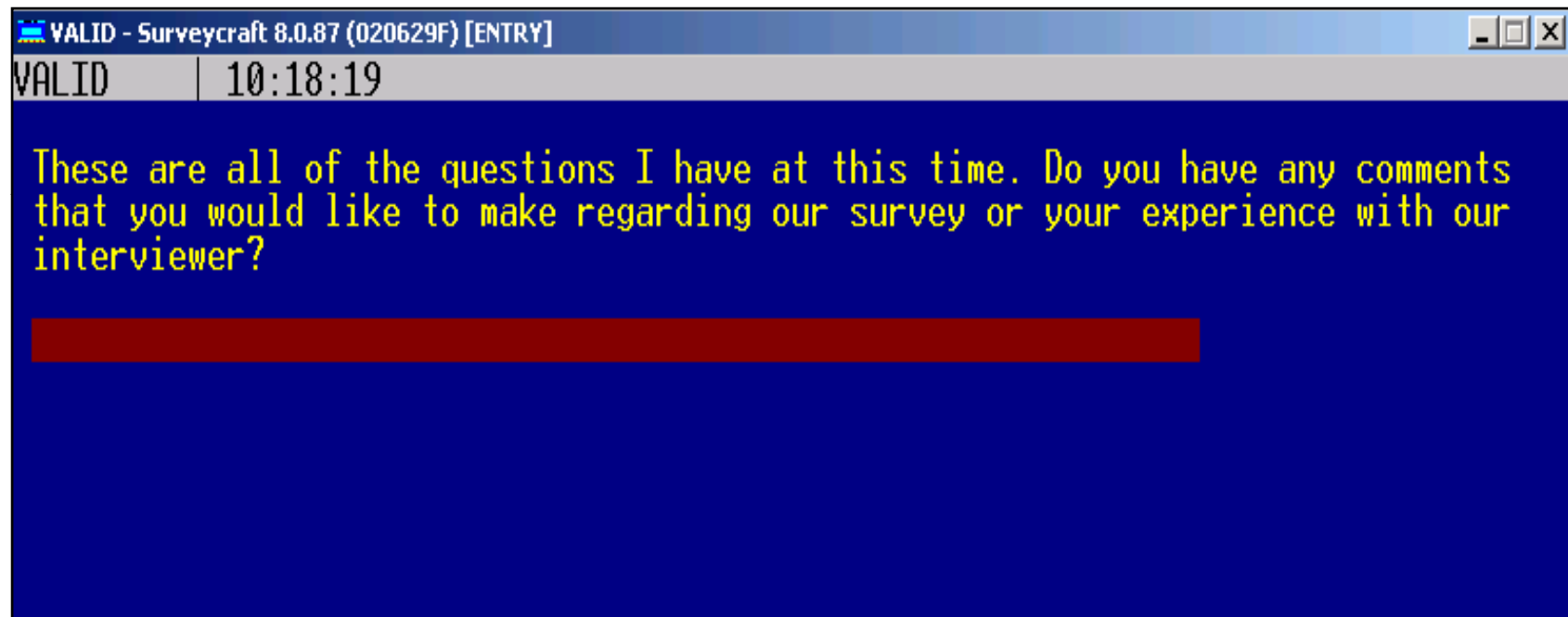
Q10 Q10

End1 End1

Correct Match

Old 3/6 Modified Dirty Navigate RECS\_Validation

# Respondent Comments




## What Happens Next?

- System checks quex flags and determines correct disp based on validation quex responses
- Disp automatically assigned
- Validation Production Report updated

# Validation Production Report

- Can be built according to project needs
- Common features
  - FI's average quex administration time v. project average
  - FI's no phone cases v. project average
  - Validation case counts
    - By category (Passed, Fail, Investigate)
  - Sorted by problem percentage
    - Problem interviewers listed first

# Validation Production Report

		<b>General Social Survey</b> <b>Validation Production Report</b>										<i>Operational Report</i>		
Today's Date: 11/22/2026 Project: 9999 You are logged in as:														
Project Cumulative														
Comp 2026		Avg Admin Time 43.5					No Phone 6.30%							
FI ID	FI NAME	FI REGION	CUMM COMPLETE CASES	AVG ADMIN TIME	VAL CASES SEL	% SEL FOR VAL	VAL OK	VAL PENDING	VAL INVESTIG ATE	VAL FAIL	VAL NO PHONE	VAL UNLOC	VAL MAX CALL	VAL PROBLEM PERCENT
023146	FI #1	1	60	34.2	6	10%	1	0	0	0	2	1	2	83%
065369	FI #2	6	40	90.9	4	10%	2	1	0	0	0	0	1	25%
052122	FI #3	9	15	89.9	2	13%	2	0	0	0	0	0	0	0%

# Interpreting Results & Further Discussion

- What is really a problem?
  - Respondent error
  - Interviewer error
  - Validator error
- What is the error norm?

# Acknowledgments

- NORC Software Engineers
  - John Leahy
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