EXAMPLES OF QUALITATIVE RESEARCH METHODOLOGY REPORTING THAT ARE CONSISTENT WITH AAPOR TRANSPARENCY INITIATIVE STANDARDS

Transparency Initiative Coordination Committee
American Association for Public Opinion Research
March 1, 2016
INTRODUCTION

Participation in AAPOR’s Transparency Initiative involves willingness to disclose the items listed below in any reports of qualitative research results that are publicly released, or to make them publicly available, preferably on the organization’s web site, immediately upon release of that report. These items correspond to Section III.B of AAPOR’s Code of Professional Ethics and Practices, which was revised in November 2015. This document provides several annotated examples of qualitative methodology reporting that includes the relevant disclosure items from AAPOR’s Code:

The Code specifically states that: “Qualitative research includes focus groups, in-depth interviews, case studies, narrative research, and ethnography, among other approaches. This research generally involves descriptive, unstructured data. We will include the following items in any report of qualitative research or make them available immediately upon release of that report:

1. Who sponsored the research and who conducted it. If different from the sponsor, the original sources of funding will also be disclosed.
2. A definition of the population under study and its geographic location.
3. The instrumentation used (e.g., questionnaires, discussion guides), a description of the data collection strategies employed (e.g., focus groups, semi-structured interviews), and the language(s) used.
4. A description of any relevant stimuli, such as visual or sensory exhibits or show cards.
5. Dates of data collection.
6. The physical location of all data collection activities (e.g., subject home, office/workplace, clinic, focus group facility, street corner).
7. A description of subject eligibility (e.g., age or gender requirements) and the procedures employed to screen and recruit research subjects.
8. The number of research subjects, by data collection strategy.
9. Methods of interviewer and/or coder training, supervision, and monitoring, if interviewers or coders were used.
10. Duration of research participation (e.g., length of interviews, focus group sessions).
11. Any compensation/incentives provided to research subjects.
12. Information regarding whether or not data collection included audio or video recordings.
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Example 1

University XYZ Dining Services
Focus Group

Methodological Report

Prepared by
Project Coordinator

Month, YEAR
INTRODUCTION

The Research Organization (RO) at the University XYZ conducted four focus groups [3] for John Doe, Associate Vice Chancellor for Student Affairs [1] on Campus Dining Services. The focus groups occurred between April 14 and April 21, 2011 [5]. The goal was to inform the leadership of the food service provider, Gourmet Cafeteria Catering, and the leadership of Campus Dining Services in what areas the expectations of students are being met and to identify areas that need improvement. The focus groups were audio-recorded [12] and all participants received a $25 gift card to the university bookstore [11]. The Institutional Review Board (IRB) (protocol # 20110269-59934-1-1) determined that this activity did not meet the definition of human subject research.

SCREENING

Student Affairs provided RO with an electronic file of all students who subscribe to the meal plan [2]. The file included student names, university ID numbers, and e-mail addresses, along with some information on each student’s meal plan usage. RO used this file to contact students via e-mail and used Surveygizmo, an on-line data collection instrument, to screen and schedule students for the focus groups. The meal plan subscribers were sent an e-mail invitation (e-vite) containing a URL they were asked to click to access and complete the short screening questionnaire [7]. The text of the e-mail messages is included as Appendix A and the questionnaire is included as Appendix B [3].

Students were asked some screening questions to make sure they are 18+ years of age, that they currently attend University XYZ, and that they use the meal plan [7]. These questions were followed by a question on how frequently they use the meal plan. Participants were scheduled into focus groups based on their meal plan usage. RO had their usage data, but it was decided that students should be allowed to self-select into a usage group through the screening questionnaire. Infrequent users were defined as those who eat less than one meal per day using the meal plan. Moderate users were students who eat between one and two meals per day and frequent users were those who eat two or more meals per day using the meal plan. Eligible students were offered a time and date for participation in a focus group based on their usage. If they indicated that they were available, they received a confirmation e-mail that included directions to the RO [6]. The text of the confirmation e-mail is included as Appendix C. Students also received reminder calls the day before the focus group.
FOCUS GROUP LOGISTICS AND OUTCOME

The focus group schedule is listed in Table 1. We provided refreshments and $25 gift card incentives for each participant. We achieved a 43.6% show rate, with 17 total participants across the four groups (an average of 4.25 per group). Table 2 shows the number of participants for each of the groups.

Table 1. Focus Group Schedule [10]

<table>
<thead>
<tr>
<th>GROUP</th>
<th>DAY</th>
<th>TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group 1 – Moderate Users</td>
<td>Thursday, April 14, 2011</td>
<td>11am – 1pm</td>
</tr>
<tr>
<td>Group 2 – Infrequent Users</td>
<td>Wednesday, April 20, 2011*</td>
<td>5:30pm – 7:30pm</td>
</tr>
<tr>
<td>Group 3 – Frequent Users</td>
<td>Thursday, April 21, 2011</td>
<td>11am – 1pm</td>
</tr>
<tr>
<td>Group 4 – Moderate Users</td>
<td>Thursday, April 21, 2011</td>
<td>3pm – 5pm</td>
</tr>
</tbody>
</table>

*This group was originally scheduled for April 14, 2011 from 3pm to 5pm, but not enough students were able to come at this time, so it was rescheduled for the following Wednesday evening.

Table 2. Focus Group Participants [8]

<table>
<thead>
<tr>
<th>GROUP</th>
<th>PARTICIPANTS SCHEDULED</th>
<th>PARTICIPANTS ATTENDED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group 1 – Moderate Users</td>
<td>7</td>
<td>3</td>
</tr>
<tr>
<td>Group 2 – Infrequent Users</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>Group 3 – Frequent Users</td>
<td>12</td>
<td>6</td>
</tr>
<tr>
<td>Group 4 – Moderate Users</td>
<td>12</td>
<td>3</td>
</tr>
</tbody>
</table>
Appendix A. Survey invitation materials

Survey E-vite

SUBJECT: Share your opinions about food, receive a $25 gift card!
What do you think about food on campus? Is there enough cheese on your pizza? Are the seating areas clean? Is your coffee hot enough? Does the dining staff make you feel at home?

As a University XYZ meal plan holder, we’d like to invite you to tell us what you think about the meal plan, food variety, and dining services on campus, by participating in a University XYZ Dining Services focus group. The discussion will last no more than two hours. Refreshments will be served and, in appreciation for your time at the focus group, ALL PARTICIPANTS WILL RECEIVE A $25 GIFT CARD!

If you are interested in participating, please click on the link below and take a couple of minutes to answer a few questions. If you are eligible and available, we will call or e-mail you to confirm your participation. If you do not hear back from us, that means that all available slots have been filled.

[SECURE SURVEY LINK]

Thank you in advance for your interest in participating!

University XYZ Dining Services
Office of the Vice Chancellor for Student Affairs
Appendix B. Survey invitation materials

Questionnaire

University XYZ Dining Services Focus Group

Welcome!

Thank you for your interest in participating in a focus group about your experience using University XYZ Dining Services. We need current students who subscribe to the meal plan to help us evaluate it. We'd like the focus group participants to share their perceptions and explain what they like about the meal plan and also tell us what expectations are not currently being met. All of this feedback will help us improve the meal plan offerings for University XYZ students.

The focus groups will be held on campus at the University XYZ Research Organization. Refreshments will be served and all participants will receive a $25 gift card to the University XYZ Bookstore.

Please answer the questions on the following pages. At the end, we will ask you to tell us your availability for a specific date and time as well as your contact information. We will follow up by phone or e-mail to confirm your participation. If you do not hear back from us, all available slots for the focus groups have been filled.

Thank you for your interest!

Instructions

A few quick notes about the survey...

- There may be a variety of questions on each page. When you have completed a page, please click "Next" to save your answers and move to the next screen.
- If you would like to return to a previous screen, please click "Back" to go back. If you change any of your previous answers on a screen, please remember to click "Next" before proceeding to the next screen.
- At the end, please remember to click "Submit" to send us your completed questionnaire.
1.) Are you 18 years of age or older?
   
   ☐ Yes
   ☐ No <ineligible; skipped to end screen reading “Thank you for your interest! Unfortunately, you are not eligible to participate in the focus groups.”>

2.) Are you currently a student at University XYZ?
   
   ☐ Yes
   ☐ No <ineligible; skipped to end screen reading “Thank you for your interest! Unfortunately, you are not eligible to participate in the focus groups.”>

3.) Do you subscribe to the dining plan?
   
   ☐ Yes
   ☐ No <ineligible; skipped to end screen reading “Thank you for your interest! Unfortunately, you are not eligible to participate in the focus groups.”>

4.) How many meals per day do you eat using the meal plan?
   
   ☐ Less than 1 meal per day
   ☐ Between 1 and 2 meals per day
   ☐ 2 or more meals per day

   If “Less than 1 meal per day” is selected then go to #5.
   If “Between 1 and 2 meals per day” is selected then go to #6.
   If “2 or more meals per day” is selected, then go to #7.
5.) Please select the date and time if you are available to participate in a focus group.

- Thursday, April 14, 2011 - 3pm-5pm
- I am not available on this day at this time. <ineligible; skipped to end screen reading “Thank you for your interest. If we add additional dates and times, we will contact you to see if you are able to participate.”>

6.) Please select the date and time you are available to participate in a focus group.

- Thursday, April 14, 2011 - 11am-1pm
- Thursday, April 21, 2011 - 3pm-5pm
- I am not available on this day at this time. <ineligible; skipped to end screen reading “Thank you for your interest. If we add additional dates and times, we will contact you to see if you are able to participate.”>

7.) Please select the date and time if you are available to participate in a focus group.

- Thursday, April 21, 2011 - 11am-1pm
- I am not available on this day at this time. <ineligible; skipped to end screen reading “Thank you for your interest. If we add additional dates and times, we will contact you to see if you are able to participate.”>

8.) Please provide your contact information below.

- Name: _________________________
- Daytime Telephone: _________________________
- E-mail: _________________________

<PAGE BREAK>

Thank you for your interest. We will follow up by phone or e-mail to confirm your participation in the focus group. If you do not hear from us, that means all available slots have been filled.
Appendix C. Confirmation E-mail

I am writing to confirm your participation in a focus group about University XYZ’s Dining Services on DATE AND TIME. The discussion is scheduled to last no more than 2 hours. We will be serving refreshments and you will receive a $25 gift card for your participation. Attached you will find directions to the University XYZ Research Organization. We are located on the first floor of 1 Main Street. Please plan to arrive 15 minutes early to check in.

If you are unable to come to the focus group, please let me know at least 24 hours in advance so that I can fill your spot. Also, if you have questions about the focus group, feel free to contact me by phone or e-mail. My contact information is below.

We really appreciate your willingness to participate and we look forward to seeing you on DATE!
Appendix D. Focus group discussion guide

Dining Services Focus Group
Moderator’s Guide
4/11/12, 4/12/12 and 4/17/12

Key objectives:
1) Identify student expectations for University XYZ Dining Services and Meal Plans.
2) Examine student expectations and assessment of quality of:
   a. Food
   b. Customer Service
   c. Menu Choices
   d. Food stations
   e. Meal Plans (i.e., days of the week, hours of operation, convenience)

INTRODUCTIONS
Thank you for coming. My name is Jane and I’ll be the moderator for today’s focus group. I’d like to start by explaining a little bit about what we’d like to do today. We are here today to discuss your experiences as users of University XYZ’s Dining Services. You were selected because you have a meal plan with the campus dining services and as a user of the dining services, you can provide good insight about what it’s like to use University XYZ’s dining services. We want to specifically tap into your experiences, or experiences you have heard about from people you know, around the quality of the food, the customer service at the dining halls and your overall satisfaction with the dining services. Your input will help guide future decisions about University XYZ’s dining services.

We’re here to learn from you.

We are very interested in your candid uncensored opinions. There are no right or wrong answers, only your opinions. The goal of this session is to try to identify ways to make University XYZ’s dining services the very best they can be.

Up front, I want to make a full disclosure of the set-up in this room. We use a one-way mirror so the University XYZ Dining Services administrative team can observe and learn from what goes on in the group without interfering with the discussion. We also make an audio recording of the group because we cannot possibly remember everything that is said. We will use the tape to refresh our memories of what was said.

The ground rules of today’s discussion are simple: just speak freely and don’t wait to be called on. Please address all your comments to everyone, not just to the person sitting next to you. This will ensure that only one person speaks at a time. If several people talk at the same time, we will not be able to hear the comments when we listen to the tape recordings.

There will be times that I’ll ask for a show of hands, for example, how many of you do a certain thing. If that happens, please raise your hand and keep it raised so I can count the yeses and nos. That way I can mention the numbers for the audio tape recording.

Everything that is said in the group is confidential in that there will be no reference in any written document as to who said what.
So sit back, enjoy and participate.

Opening Question:
1) Let’s go around the table and briefly introduce ourselves. Tell us your first name, which of the dining halls you typically use and how often you typically eat at the dining halls.

Introductory Question:
2) When you hear the words “University XYZ Dining Halls,” what comes to mind?

3) Think back to when you first started using University XYZ’s Dining Services Halls. What were your first impressions?

4) What do you expect from University XYZ’s dining services?

5) Let’s talk now about customer service at the dining halls. What have you noticed about the customer service at the dining halls?

6) What types of things does the staff at the dining halls do particularly well?

7) Think back to any interactions you have had with dining service staff. Have there ever been any interactions or things they have done that have made you feel like a valued and appreciated customer? What kinds of things?

8) Have there ever been any interactions with dining staff that have been particularly frustrating for you? What happened?

9) Have you ever had problems or has someone you know had problems with customer service at the dining hall?

10) What types of things do you wish were part of the customer service you receive there, but are not currently part of the service?

11) What do you believe is most important to providing premier customer service at the dining halls?

12) Now let’s talk about the quality of the food. If you were telling a friend or family member about the quality of the food at the dining halls, what would you say?

13) Thinking only about the quality of the food, what would you give high marks to? Low marks?

14) Now let’s take a look at the chart with the meal categories. For each of these, tell me what foods you would like to take away, add or stay at the dining halls. Think for a moment about breakfast, lunch and dinner.

Please Don’t Go! Please Take Away! Please Add!

Breakfast
15) Now let’s think about all the food stations and their menus. Sandwich, vegan, salad bar, cereal bar? Anything else? Is there anything you would really like to see on the menus that are not currently available?

16) Now let’s think about the meal plans. If you were telling a friend who is coming to school at University XYZ about participation in the meal plans, what would you say? Which meal plan would you tell your friend is the best to choose? Why?

17) Tell me what you like about the meal plan choices that are offered. Hours? Days of the week? Late night? Days of the week that work best for late night?

18) What is the best thing about your Meal Plan?

19) What is the worst thing?

20) Are there dining halls you go to more often than others for reasons other than their proximity/convenience?

21) Assuming the Dining Halls could talk, what would they say about themselves?

22) What would it take for the Dining Halls to get a gold star?

23) If you were in charge, what changes would you make? Let’s go around and have each of you comment on this.

24) Do you have any comments on things we haven’t discussed?

We’re about done, but I’m going to see if any of the dining hall services administrators who have been listening to us have any further questions they’d like me to ask you.

RETURN TO ROOM AND ASK ANY ADDITIONAL QUESTIONS.
Endnotes of Checklist Items for Example 1

1. Who sponsored the research and who conducted it. If different from the sponsor, the original sources of funding will also be disclosed.
2. A definition of the population under study and its geographic location.
3. The instrumentation used (e.g., questionnaires, discussion guides), a description of the data collection strategies employed (e.g., focus groups, semi-structured interviews), and the language(s) used.
4. A description of any relevant stimuli, such as visual or sensory exhibits or show cards. – not applicable in this example
5. Dates of data collection.
6. The physical location of all data collection activities (e.g., subject home, office/workplace, clinic, focus group facility, street corner).
7. A description of subject eligibility (e.g., age or gender requirements) and the procedures employed to screen and recruit research subjects.
8. The number of research subjects, by data collection strategy.
9. Methods of interviewer and/or coder training, supervision, and monitoring, if interviewers or coders were used. – not applicable in this example
10. Duration of research participation (e.g., length of interviews, focus group sessions).
11. Any compensation/incentives provided to research subjects.
12. Information regarding whether or not data collection included audio or video recordings.
EXAMPLE 2

RECYCLING FOCUS GROUP

Summary Report
February 2012
Study Background and Methods

One of the City of Westminster’s Strategic Plan Goals is a “Beautiful and Environmentally Sensitive City.” This was established, in part, in response to the 2008 Citizen Survey results regarding recycling as well as continual concerns from the community at large about recycling. One of the objectives of this goal is to offer “a convenient recycling program for residents and businesses with a high level of participation.”

To reach this objective, over the last year, the City has conducted a multi-phase trash and recycling service needs assessment. Part of this assessment included a focus group with residents who were invested in helping the City figure out the best way to accomplish this objective.

The City contracted with National Research Center, Inc. (NRC) to conduct the focus group with concerned residents. The purpose of the discussion group was to explore options identified by the Environmental Advisory Board’s community recycling study subcommittee and how the group felt about those options.

Script and Survey Design

In conjunction with Westminster staff, NRC developed a focus group script with questions that enabled a deeper understanding of residents’ opinions about recycling and the role the City. The script also focused on participants’ current perspectives about commercial recycling, drop-off centers, organic waste collection, education and potential funding options.

Additional, City staff and NRC prepared a post-discussion survey for participants. The script and survey can be found in Appendix B: Focus Group Script and Survey.

Participant Recruitment

The focus group was comprised of adult Westminster residents (age 18 and older) who had volunteered, in response to a public announcement during a community Town Hall meeting, to participate in a focus group concerned with recycling. In total, 16 residents were invited to participate and 11 attended.
Data Collection

The focus group was held at a City facility for which no fee was required [6]. The discussion was guided by Thomas Miller, Ph.D., president of NRC, and was digitally audio-recorded by the City and transcribed for analysis purposes by NRC [12].

The focus group was held for approximately 90 minutes on January 12, 2012 [5, 10]. Participants were not offered any compensation for attending the focus group [11].

Data Analysis

Comments from the focus group participants were analyzed qualitatively. The NRC analyst first listened to and read through all responses to identify key statements and general themes and organized excerpts of each discussion so that recurrent themes could be coded and further analyzed.

Study Limitations

As with all focus groups, the small sample size and purposeful selection of participants limit the generalization of these results. They do, however, suggest what other residents might say, despite not being intended to be broadly representative. These focus groups lend insight into the opinions of the residents with whom we spoke about their vision for recycling in Westminster.

Using the Summary Report

Themes from the focus groups are summarized in the following pages. Direct quotes from focus group participants are included to highlight perspectives. These quotes are indented and italicized. Any of the facilitator’s comments and questions are capitalized. Words added to enhance reader understanding appear in square brackets.

Each quote under a given topic is from a specific individual, unless otherwise specified. Sometimes larger portions of the conversation are excerpted to give the full flavor of the discussion, in which case each participant is numbered to suggest the sequence of comments in the conversation.
Appendix A: Post Focus Group Survey Results

The following tables show the number and percent of respondents for each question on the survey, including “don’t know” responses.

<table>
<thead>
<tr>
<th>Question 1</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>How well do the current recycling programs in Westminster meet your recycling needs?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Very well</td>
<td>4</td>
<td>36%</td>
</tr>
<tr>
<td>Well</td>
<td>4</td>
<td>36%</td>
</tr>
<tr>
<td>Poorly</td>
<td>1</td>
<td>9%</td>
</tr>
<tr>
<td>Very poorly</td>
<td>2</td>
<td>18%</td>
</tr>
<tr>
<td>Don't know</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 2</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you participate in a residential recycling program?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>7</td>
<td>64%</td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>36%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 3</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paying haulers $3 a month for recycling services is...</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Too much</td>
<td>4</td>
<td>36%</td>
</tr>
<tr>
<td>About right</td>
<td>6</td>
<td>55%</td>
</tr>
<tr>
<td>Too little</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Don't know</td>
<td>1</td>
<td>9%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 4</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Which of the following options would you prefer?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transport recycling to a drop-off location</td>
<td>1</td>
<td>9%</td>
</tr>
<tr>
<td>Curbside pickup at your residence</td>
<td>10</td>
<td>91%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>
### Question 5

<table>
<thead>
<tr>
<th>How important is recycling to you?</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Essential</td>
<td>5</td>
<td>45%</td>
</tr>
<tr>
<td>Very important</td>
<td>2</td>
<td>18%</td>
</tr>
<tr>
<td>Somewhat important</td>
<td>4</td>
<td>36%</td>
</tr>
<tr>
<td>Not at all important</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>

### Question 6

<table>
<thead>
<tr>
<th>To what extent do you agree or disagree that the City should have a recycling goal?</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>7</td>
<td>64%</td>
</tr>
<tr>
<td>Agree</td>
<td>1</td>
<td>9%</td>
</tr>
<tr>
<td>Disagree</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>3</td>
<td>27%</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>100%</td>
</tr>
</tbody>
</table>

### Question 7

<table>
<thead>
<tr>
<th>If you agree that the City should have a recycling goal, what do you think that goal should be? (Please select only one response.)</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Divert a certain percentage of waste from reaching the landfill</td>
<td>6</td>
<td>86%</td>
</tr>
<tr>
<td>A commitment to recycle is enough</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Other (please specify)</td>
<td>1</td>
<td>14%</td>
</tr>
<tr>
<td>Total</td>
<td>7</td>
<td>100%</td>
</tr>
</tbody>
</table>

*Asked only of those who strongly agreed or agreed with question 6*
Verbatim Responses to Open-ended Survey Questions

The following are verbatim responses to open-ended questions on the survey. Because these responses were written by survey participants, they are presented here in verbatim form, including any typographical, grammar or other mistakes. Within each question the responses are in alphabetical order.

**Question 7: If you agree that the City should have a recycling goal, what do you think that goal should be? Responses to “Other (please specify)”**.

- Private business (ie trash companies) should be involved.
- Plus 100% participation, expand options to more drop-off locations, expanded business use, city programs for composting, tree recycle
- Participation %
- Maximize recyclable waste, balance cost.

**Question 8: Do you have any additional comments?**

- Education- very important!
- Please put recycling bins in Westminster parks and rec centers.
- Citys role should be to promote and educate only should not be in the trash business.
- Drop-off centers should be advertised more.
- Additional drop-off locations would be ideal. IDEAL: If every citizen could walk 15 minutes or less with recycling within their neighborhood.
- This month I went to curbside recycle for more convenience. I pay $5/mo., who is doing it for $3.
Appendix B: Focus Group Script and Survey

The following pages contain the script used for the focus group as well as the survey participants completed after the focus group.
Moderator Discussion Guide

Welcome and Ground Rules (5 minutes – this can be paraphrased)

Hello. Thank you all for coming and participating in this discussion. My name is ________ and I work for an independent research group called National Research Center.

You were invited to join this discussion because you expressed an interest in being a part of the Community Recycling Study input process. The City’s Environmental Advisory Board’s (EAB) Community Recycling Study Subcommittee wants to know what you think of their DRAFT recommendations.

How many of you have participated in a focus group before? In case you have not been in a focus group before, a focus group is a structured discussion where we’ll ask you a series of questions to encourage sharing of ideas and opinions. We really want you to express yourself openly and honestly. There are no right or wrong answers. We just want to know what you think.

Because we are taping, I may need to remind you occasionally to speak up or talk one at a time so that we can hear you clearly when we review the session’s audio tapes we are going to tape record this session to ensure our report accurately reflects your comments. However, because this is a public organization, we cannot shield this information if it were to be requested. In our report your name will not be linked with specific responses. However, all of the audio will be placed on the City’s website for review by the public like all of the research work completed by the EAB’s Subcommittee.

I am your guide, but I want the conversation to be among all of you. Each time I ask a question, we don’t need to go around the table to let everyone respond in turn. But every so often I may check in and make sure that we get a chance to hear from different people because it is important that we understand different perspectives. There are only ________ of you, so each one of your perspectives is important to hear. If you would like to add to an idea, or if you have an idea that is different from other people’s ideas, that’s the time to jump into the conversation. Bear in mind, we’re not looking for consensus here; we’re looking to hear a variety of opinions and experiences.

Eat as you wish, please know that you may leave the room to use a restroom, but we will not bring you up to speed upon your return.

Introductions (5 minutes)

1. Let’s begin by pronouncing your name for the group, stating how long you have lived in Westminster and whether or not you currently recycle at home?
Commercial Recycling (15 minutes)

As some of you may know, the City of Westminster currently requires all licensed trash haulers to offer recycling services to residential customers. Residents have the choice of whether to participate in these programs or not, and those who do recycle are charged about $3 a month or $0.10 per day, on average.

The 14 City-licensed haulers, however, are currently not required to offer recycling services to business customers, which includes both commercial businesses and Home Owners Associations (HOAs). Since the majority of Westminster residents live in HOAs, they may not have the choice to participate in curbside recycling programs.

2. If the City were to require haulers to offer recycling to HOAs, multi-family housing units and businesses, what are some of the pros and cons?

   a. Probe about monetary cost (~$3/month--$0.10 per day), costs and benefits to environment, costs and benefits to businesses.

Drop-Off Centers (15 minutes)

The City of Westminster currently manages four recycling drop-off locations. At these locations, residents can drop off materials for recycling without separating them. Examples of waste that can be recycled at these centers include: paper products, aluminum, steel and tin cans, certain plastics (labeled 1-7), and glass bottles. However, plastic bags and trash cannot be recycled at the drop-offs.

3. Who has used one or more of these recycling locations? (Show of hands)

4. Even if you have not used these locations, what, if anything do you know about them?
   a. Probe for:
      i. Location
      ii. Hours
      iii. Capacity to accept recyclables
      iv. Charges for recycling
      v. How well the city runs the drop-off centers
      vi. How well the city publicizes the services offered at the drop-off centers

5. Even if you have not used these locations, what changes or improvements do you think should occur at these facilities?

   a. Probe for:
      i. Should these locations be staffed?
      ii. Knowing that there is no funding, how should these be staffed?
iii. Should there be hours of operation for these locations?

iv. Should these locations be fenced?

v. Should there be changes to the locations like:
   - Doubling the number of locations from 4 to 8
   - Consolidating them from 4 to 2
   - Closing the locations altogether
   - Expanding materials accepted e.g. yard waste and tree limbs

vi. Improved signage at the locations about what items can be recycled

vii. The drop-off location on 88th is frequently utilized by residents living in other communities. Should cost sharing with neighboring communities be investigated?

viii. Should these locations be privatized – run by a trash collector?

ix. Do you think that improved recycling services at your curb, like more diversity in things collected or increased frequency, would impact your use of the community drop-off locations

6. If the drop-off locations were fenced and closed off during non-operating hours, do you think illegal dumping would be increased in the City?

**Organic Waste Collection (15 minutes)**

The City of Westminster currently provides limb chipping services to residents at a single location. Residents can recycle their tree limbs on the last Saturday of the month, March through October, from 8 a.m. to noon. Limbs can be any length, but must be less than 8 inches in diameter. Shrubs are allowed if the root ball has been removed. In addition, free mulch is available on the last Saturday of the month while the supply lasts.

7. With regard to tree limb and yard waste collection, what, if anything do you know about that kind of collection?
   
   a. Probe for:
      
      i. Where and when collection can occur
      ii. Cost
      iii. Type of material collected

8. With regard to tree limb and yard waste collection, what changes would you like to see, and what would be convenient for you?
   
   a. Probe for:
      
      i. Increase the # of days or times the tree limb location is open
ii. Offer yard waste (grass, leaves, brush) recycling drop-off locations or require haulers to offer it curbside?
iii. Offer organic waste composting drop-off locations or require haulers to offer it curbside?

**Education (15 minutes)**

According to a 2008 survey of Westminster residents, 72% of respondents reported not using curbside recycling--32% because their hauler did not provide it, 29% because of cost and 24% because they did not know they could recycle at the curb. Currently, the City of Westminster does little to educate the public about recycling choices because curbside recycling is a contracted, not a city, service.

9. Should residents be educated about the recycling services? How effective do you think education would be at increasing recycling? Who do you think would be most effective in educating about recycling -- the city, private trash haulers, others?

   a. Probe for:
      i. Should a joint effort be put together with neighboring communities to educate residents on recycling?
      ii. Where or to whom should the education be focused?

   a. OPTIONAL IF TIME ALLOWS: What do you think about the City developing partnerships with organizations such as HOA’s and schools to help educate residents about what materials are recyclable, how to recycle and recycling services?

**Funding/Payment: (15 minutes)**

10. We have discussed the drop-off locations, yard waste composting, and expanded education. To provide these services, would you be willing to pay a monthly fee?

   a. Probe for:
      i. What would make you willing to pay for non-curbside recycling?
      ii. What amount would you be willing to pay for non-curbside recycling services per month? (nothing, $0.25, $0.50, $1, $2, $3? PER MONTH)
      iii. Do you think neighboring cities should be contacted to share cost of the drop-off locations? For example, the site on 88th Avenue is frequently utilized by residents of neighboring communities.
      iv. Do you think the program should be privatized?
11. What other funding methods should the City investigate in order to pay for expanded recycling services like those we have discussed tonight?

**Conclusion (5 minutes)**

12. What would make you recycle more?

That concludes our discussion. I’ve enjoyed talking with all of you. Thank you again for your time. The City of Westminster will be using the results of this and other focus groups to help craft the Environmental Advisory Board’s recommendation to City Council on how to improve recycling in the community.

**Before you leave, please take a moment in the next room to answer a few additional questions about your recycling preferences and opinions about recycling. I will collect them when you’re finished.**
Endnotes of Checklist Items for Example 2

1. Who sponsored the research and who conducted it. If different from the sponsor, the original sources of funding will also be disclosed.
2. A definition of the population under study and its geographic location.
3. The instrumentation used (e.g., questionnaires, discussion guides), a description of the data collection strategies employed (e.g., focus groups, semi-structured interviews), and the language(s) used.
4. A description of any relevant stimuli, such as visual or sensory exhibits or show cards. **not applicable in this example**
5. Dates of data collection.
6. The physical location of all data collection activities (e.g., subject home, office/workplace, clinic, focus group facility, street corner).
7. A description of subject eligibility (e.g., age or gender requirements) and the procedures employed to screen and recruit research subjects.
8. The number of research subjects, by data collection strategy.
9. Methods of interviewer and/or coder training, supervision, and monitoring, if interviewers or coders were used.
10. Duration of research participation (e.g., length of interviews, focus group sessions).
11. Any compensation/incentives provided to research subjects.
12. Information regarding whether or not data collection included audio or video recordings.
I. Introduction

ABCD is a multi-faceted community investment that aims to improve the health, wellbeing, and development of children, ages 5 and under, while supporting the needs of their parents. ABCD and this program evaluation is funded by XYZ[1]—a child advocacy organization. PROGRAM A works to affect change in three ways—Family Strengthening, Community Capacity Building, and Systems Changes—and thus includes multiple, interwoven strategies designed to strengthen both the capacity of families to raise children and the capacity of communities and broader systems to support families with young children.

To effect these changes, ABCD initially launched PROGRAM A in a downtown “pilot” community it refers to as Metro LA. In this neighborhood, it has contracted with a variety of community-based organizations and service providers to implement the following core strategies:

- **Home visiting:** This family-level activity brings nurses, college-educated Parent Coaches, and paraprofessionals to visit families in the home prenatally, at birth, and postpartum to provide breastfeeding support, guidance on infant health and development, and referrals to needed resources and services.

- **Community Mobilization and Place-Based Strategies:** This community-level activity empowers a community-based “lead entity,” supported by Community Based Action Research methods, to mobilize community members and facilitate identification of needs in their neighborhoods, and then to initiate strategies and services to address those needs.

- **Systems Change Activities:** Investments at the system level promote the development of family-friendly services, policies, and systems at the community and county levels.

   During 2012, ABCD’s Commissioners questioned whether and how PROGRAM A’s expenditure of funds were optimally supporting the investment’s goals. In response, ABCD staff revisited the initiative’s logic model and developed recommendations that would narrow the focus of PROGRAM A. However, at the time of our visit, no changes had been made to the logic model, and the PROGRAM A investment still aims to achieve the following four outcomes for children:
• Born healthy;
• Maintain a healthy weight;
• Protected from abuse and neglect; and
• Ready to learn upon enrollment in kindergarten.

Despite questions surrounding its logic model, PROGRAM A experienced renewed and robust support during the past year, particularly from the new ABCD Commission Chair and the organization’s new Executive Director. The investment is now fully in expansion mode and is in the process of being rolled out in an additional 13 communities across Los Angeles County. ABCD’s intent is to use lessons from implementation of PROGRAM A in Metro LA to inform and improve implementation of PROGRAM A in the 13 additional communities.

The pilot Metro LA community—the focus of this evaluation—encompasses parts of four different downtown Los Angeles neighborhoods—Pico Union, Koreatown, the Byzantine Latino Quarter, and South L.A (Figure 1) [2]. Over the past four years, this area has remained mostly unchanged; however, during 2012, Koreatown and areas around the University of Southern California (USC) experienced some gentrification and development, according to key informants interviewed for this case study [3].

**Figure 1: Map of Metro Pilot Community**

This report was developed as part of the PROGRAM A Pilot Community Evaluation under a six-year contract between ABC and the Research Institute [1]. The evaluation was launched in 2009 to document and assess the implementation and impacts of the program. The Institute...
and its partner—the University of California, Los Angeles—are conducting a broad range of evaluation activities over the life of the contract, including a longitudinal household survey of parents, focus groups with families, community members, and partners in Metro LA, and analysis of community indicators from the WIC data mining project. In addition, the evaluation includes annual case studies of implementation of PROGRAM A in Metro LA. This report summarizes the findings from our fourth site visit to Los Angeles and builds on the lessons presented in the first three case studies.

**II. Methods**

To gather information for this fourth case study of PROGRAM A implementation in Metro LA, researchers from the Research Institute conducted a three-day site visit to Los Angeles in April 2013 [5]. While on site, researchers held one- to two-hour interviews [10] with 15 key informants at the central office [6, 8] and attended a meeting of the Executive Committee of Metro’s Community Guidance Body (CGB) to observe the proceedings and provide a brief presentation on the evaluation’s findings from the last three years. As was the case with previous site visits, our key informants included ABCD staff and leadership, as well as staff and managers from each of the PROGRAM A partner contractors, including EFG, HIJK, and LMNOP [2].

All interviews with key informants were conducted by Research Institute evaluation staff using structured protocols tailored to each key informant category. (A list of informants by category is included in Appendix A [2]; the interview protocols are provided in Appendices B & C [3]). Before starting all interviews, key informants were told that their participation was voluntary (no compensation or incentives was provided [11]), that they did not have to answer any questions they were not comfortable answering, that the discussion would not be recorded [12], and that they would not be quoted without their permission; all informants consented to these ground rules before interviews began. We employed a careful and rigorous process of informant selection to ensure that all opinions of key stakeholders were considered [7].

Case studies represent a qualitative research method that can provide valuable and nuanced insights, based on expert input, into the implementation of a particular product, process, or program. By their nature, however, case studies are limited by their reliance on information gathered from a relatively small number of individuals. Findings thus cannot be presumed to be representative of, or generalizable to, the entire set of stakeholders and individuals involved with a program like PROGRAM A in Metro LA.

**III. Findings: Implementation of PROGRAM A - Year 4**

Unnecessary for this example
# Appendix A: Key Informants Interviewed in Year 4

<table>
<thead>
<tr>
<th>Informant Type</th>
<th>Name</th>
<th>Organization</th>
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<tbody>
<tr>
<td>ABCD Administrator/Project Officer</td>
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Appendix B:

PROGRAM A Contractor/Provider Interview Protocol [3]
PROGRAM A Contractor/Provider Interview Protocol
Evaluation of Program A Pilot Community

Key Informant Name:  
Title:  
Agency:  
Phone:  
Fax:  
email:  

Thanks very much for agreeing to meet with us. We are from the Research Institute and we have been funded by ABC to conduct an evaluation of the PROGRAM A initiative in the Metro LA pilot community.

The evaluation design comprises both quantitative and qualitative activities; we are here as part of the case study component of the project. This is the fourth year of the evaluation and we are visiting Los Angeles to gather information about the ongoing implementation of PROGRAM A. We are conducting interviews with a broad range of “key informants”—including program administrators and PROGRAM A contractors and community partners—and will be conducting site visits annually to explore how well PROGRAM A is meeting the needs of children and families in the Pilot Community. Based on the findings from this site visit, we will write and publish a case study report.

We have a series of questions that we would like to ask you over the next hour or so. You are not required to answer any question you do not feel comfortable answering. You will not be personally identified in any reports that we produce, nor will any comments you make be attributed to you without permission. Also, we are not recording these interviews. [12]

We may wish to include your name in a list of individuals who were interviewed for the report as thanks and acknowledgement for your participation. However, we will only include your name with prior consent from you.

Do you have any other questions about our project before we proceed?

Thanks again.
A. Background

We would like to begin with a few background questions.

1. Please describe your position, roles and responsibilities in this organization?
   - How long have you been in this position/with this organization?
   - Has your position or your role with regard to PROGRAM A activities changed since last we spoke?

B. Pilot Community Characteristics

Now we would like to ask you some questions about the Pilot Community. We learned a lot about the Metro LA pilot community over the last three years, including:

- Substantial racial diversity, though largely Latino
- Four distinct neighborhoods (Pico Union, Koreatown, South LA and the Byzantine Latino Quarter)
- Densely populated
- Significant unmet need regarding mental health resources
- High rates of poverty, crime, domestic violence, asthma, obesity
- Insufficient affordable housing, green space, or access to fresh foods

1. Can you tell us whether any of these characteristics have changed over the last year? To your knowledge:
   - Have there been any shifts in demographics?
   - Have any new resources or providers entered the community?
   - Have any new challenges presented themselves to residents?
   - Has the community undergone any physical/built environment changes?
   - Anything else we should know about?

2. Can you point to any changes in the community that you believe have resulted from the launch of Program A in Metro LA? Please describe.
   - What would you like to see in the Pilot Community in terms of programs and services?
C. PROGRAM A Contractor/Provider: Implementation

Next we would like to spend some time discussing implementation of the PROGRAM A activities you have been involved with.

1. When we last met with you, we learned that your organization’s role in Program A involves:

- Welcome Baby Home Visiting
- Community Mobilization/Lead Entity
- Community Based Action Research

We also spoke at length with you about your Year 3 activities and the progress that you had made. In short, you told us:

- **MCHA:**
  - Served the 2000th client, expecting to reach 3000 this year
  - Continued to employ 2.5 full time nurses and 15 parent coaches, but were hoping to hire additional staff
  - Increased outreach efforts by hiring a second outreach specialist to put more focus on prenatal recruitment
  - Requested additional home visits at 6-and 12-months that were not approved by ABC
  - Explored new funding sources (Medi-Cal Administrative Activities)
  - Worked on adjusting DCAR system

- **PLN:**
  - Experienced more turnover in PLN leadership
  - Developed a community needs assessment for Metro LA
  - Discussed PLN’s role as fiscal agent changing to bring Metro LA in line with 13 other communities
  - Created four task forces through the CGB, including Parent, CBAR, Communications, and Training and Technical Assistance
  - Gave more control to CGB to implement community plan
  - Funded second round of collaborative partner grants

- **SSG:**
  - Chose IDEPSCA to take lead on CBAR project that would evaluate adequacy of child care centers in the community

Does that summary sound about right, or is there anything you would add?
2. Let’s now turn to your activities during this past year. Since we last spoke with you:

- Can you describe in detail what activities you’ve been involved with over the last year?
- In particular,
  
  o **MCHA:**
    
    - Were you able to increase and improve your prenatal outreach efforts?
    - Have you hired any new nursing staff to increase capacity?
    - What steps have you taken to improve the drop-off rates at 72 hours?
    - Were you able to find any new sources of funding?
    - What progress has been made on the Data Collection and Reporting (DCAR) system?

  o **PLN:**
    
    - What progress was made by the CGB on developing and implementing the community plan?
    - Have you taken any steps to make the CGB taskforces sustainable?
    - Tell us about how the second round of Collaborative Partner Grants went. Are there any plans to offer a third round of grants in the future?

- Did you find yourself needing to change plans along the way, or needing to make “mid-course corrections”? If so, can you provide a few examples?

3. How receptive have community members in the Pilot Community been to the services or activities you offer?

- Do they understand what PROGRAM A is trying to accomplish?
- Do they seem open and accepting of help?
- Have you observed any reluctance to use the services or activities you are offering? Why do you think this might be the case?

4. Over the past year, have you had any experiences with other PROGRAM A partners (ABCD, EFG, HIJK, LMNOP, etc.)? Please describe those experiences and relationships.

- Previously, many contractors felt like the various components of PROGRAM A were “siloed” or operating apart from one another. Do you think that is still the case?
- If yes, why do you think that lack of integration persists?
- If no, how are the efforts of the various partners more integrated than before?
- Do you have any thoughts on how integration among the partners and their work can be improved?

5. Let’s consider and discuss your progress over the past year.

- What would you say have been your major achievements this past year?
• What’s gone particularly well, in terms of your implementation efforts this past year? What factors played into or facilitated this “success”?
• What have been the most challenging aspects of your work this past year? What, if anything, has gotten in the way of your progress?
• How have you tried to overcome these challenges? Have you been successful?
• Have your work and interactions with ABC changed over the last year? If so, how? What impact has that had on your work?

6. Do you have any reports and/or data that you can share with us on the number of families and/or children you have assisted or been involved with?

D. Lessons Learned

We would like to conclude by asking you a series of questions regarding “lessons learned” related to the broader PROGRAM A investment.

1. Overall, how would you describe the ongoing implementation of Program A in Metro LA as a whole?
   • Has it been going well, or have there been some problems?
   • Have you seen a change in the pace or success or implementation over the past year?
   • What factors have facilitated implementation?
   • What factors are inhibiting implementation?

2. What would you say have been the greatest successes of PROGRAM A in Metro LA, thus far?

3. What would you say have been the key shortcomings of PROGRAM A in Metro LA, thus far?

4. What is your impression of the impact the program is having on children and families, at this early stage of implementation? Is any particular component of the program making this impact?

5. What is your impression of the impact the project is having on the community? Which components of PROGRAM A are having this impact?

6. What is your impression of the impact it is having on broader policies and systems for children and families, generally? Is any particular component having significant impact in this area?

7. Do you think the goals of the ABC Commission are being met through the Program A investment? How so?

8. Do you feel like the services or activities you are developing/implementing are the “right” ones for families and the community?
   • If not, why not?
   • What is missing?
9. Looking back, would you do anything differently? What?

10. Looking forward, what would you like to see happen to improve Program A services and outcomes for children/families in Metro LA?

11. What lessons have been learned in Metro LA that you think could be helpful in the 13 new Program A communities?
   
   - What do you think should be replicated in subsequent PROGRAM A communities?
   - What do you think could be done differently?

Thanks so much for your time!
Appendix C:

Administrator/Project Officer Interview Protocol [3]

Administrator/Project Officer Interview Protocol
Evaluation of Program A Pilot Community

Key Informant Name:
Title:
Agency:

Phone:
Fax:
email:

Thank you very much for agreeing to meet with us. We are from the Research Institute and we have been funded by ABC to conduct an evaluation of the PROGRAM A initiative in the Metro LA pilot community.

The evaluation design comprises both quantitative and qualitative activities; we are here as part of the case study component of the project. This is the fourth year of the evaluation and we are visiting Los Angeles to gather information about the ongoing implementation of PROGRAM A. We will conduct interviews with a broad range of “key informants”—including program administrators and PROGRAM A contractors and community partners. We are conducting site visits annually to explore how well PROGRAM A is meeting the needs of children and families in the Pilot Community. Based on the findings from this site visit, we will write and publish a case study report.

We have a series of questions that we would like to ask you over the next hour or so. You are not required to answer any question you do not feel comfortable answering. You will not be personally identified in any reports that we produce, nor will any comments you make be attributed to you without permission. Also, we are not recording these interviews. [12]

We may wish to include your name in a list of individuals who were interviewed for the report as thanks and acknowledgement for your participation. However, we will only include your name with prior consent from you.

Do you have any other questions about our project before we proceed?
Thanks again.
A. Background

We would like to begin with a few background questions.

1. Please describe your position at ABC? What component of Program A do you oversee? Has your role changed since last year (or since initial implementation of Program A in Metro LA)?

B. PROGRAM A History

1. During the first year of our evaluation, we learned about how the PROGRAM A initiative took shape and the impetus for ABC’s movement toward place-based investments. Last year, we learned that PROGRAM A’s “system-level” activities had been de-emphasized and contractors (like ZTT, Parents Anonymous, and PAC-LAC) did not have their contracts renewed. More recently, we’ve heard that “community level” activities have also come under scrutiny, as focus on the more tangible home visiting component of PROGRAM A gained prominence.

Against that backdrop, can you provide us with a general overview of how things have been going since we last spoke?

- What have been the investment’s most notable advances?
- Have there been any particular challenges or setbacks?

2. What is the latest news with regard to ABC’s plan to roll out Program A in 13 other communities?

- What is the current status of this plan?
- What communities have made progress?
- In what ways are these communities similar to, or different from, Metro LA?
- How do their strategies differ from those of Metro LA?

C. Pilot Community Characteristics

Now we would like to ask you some questions about the Pilot Community. During our first three years of case studies, we learned a lot about the characteristics of the Metro LA pilot community, including:

- Substantial racial diversity, though largely Latino
- Four distinct neighborhoods (Pico Union, Koreatown, South LA and the Byzantine Latino Quarter)
- Densely populated
- Significant unmet need regarding mental health resources
- High rates of poverty, crime, domestic violence, asthma, obesity
- Insufficient affordable housing, green space, or access to fresh foods
3. Can you tell us whether any of these characteristics have changed over the last year? To your knowledge:

- Have there been any shifts in demographics?
- Have any new resources or providers entered the community?
- Have any new challenges presented themselves to residents?
- Has the community undergone any physical/built environment changes?
- Anything else we should know about?

4. Have there been any changes in the community that you believe have resulted from the launch of Program A in Metro LA? Please describe.

- What would you like to see in the Pilot Community in terms of programs and services?

**D. ABC Administration/Project Officer: Implementation**

Next we’d like to talk about the ongoing implementation of PROGRAM A activities.

1. A moment ago, you told us that you were involved with the PROGRAM A component called:

- *Welcome Baby Home Visiting*
- *Community Mobilization/Lead Entity*
- *Community Based Action Research*
- *Marketing/Branding of the PROGRAM A Message*

a. Can you briefly recap for us the goal of this PROGRAM A component?

b. Has the goal of this component changed or evolved since the inception of PROGRAM A? Over the past year?

-----------------------------

**Interviewer notes:** We know that the organization(s) that received the contract for this PROGRAM A component is/are:

- *California Hospital Medical Center and MCHA (Welcome Baby Home Visiting)*
- *PLN (Community Mobilization)*
- *SSG (CBAR)*
- *Fenton Communications*
We also learned that their primary responsibilities involve:

- **California Hospital Medical Center and MCHA**: Managing the home visiting program, including the recruitment and implementation of Welcome Baby!

- **Para Los Niños**: Facilitating community mobilization and change in Metro LA, and providing support for community strategies planning and implementation.

- **SSG**: Assisting Para Los Niños with the Community Based Action Research (CBAR) efforts

- **Fenton Communications**: Marketing and public relations support and materials for Program A in Metro LA and county wide, and managing the overall communications strategy

And that during Years 1, 2, and 3 of PROGRAM A in Metro LA, they had made the following progress:

- **ABCD**:
  - Provided nurse and parent coach visits to over 2000 clients
  - Recommended and implemented changes to the Welcome Baby! protocol
  - Improved outreach efforts by hiring two outreach specialists to help increase their prenatal recruitment efforts
  - Explored new funding options
  - Worked on the Data Collection and Reporting (DCAR) system

- **EFG**
  - Established the Community Guidance Body comprised of parents, residents and community leaders in Metro LA
  - Developed a community needs assessment in Metro LA
  - Discussed PLN’s role as fiscal agent changing to be more in line with 13 Best Start communities
  - Supported CGB in development of four task forces
  - Oversaw the grant process for two years of mini-grants supporting community improvement strategies

- **HIJK**
  - Assisted CGB in planning and implementing CBAR project
  - IDEPSCA took the lead on the CBAR project to evaluate adequacy of child care centers in the community

- **LMNOP**
  - Developed a communications work plan with CGB communications taskforce and ABCD emphasizing the need for capacity building around communications
  - Produced collateral material for ABCD and Welcome Baby!
• Does all that sound right to you? Have we left any contractor, or any activity, out of that summary?

2. Okay, let’s now turn to this past year (since our last site visit in April 2012). Tell us about what this contractor has been up to during the last year?

• Can you describe their Year 4 responsibilities/scope of work, and what goals were set for the organization?
• Can you describe the activities they’ve been engaged in, and the progress they’ve made during this past year?
• Have any particular challenges been encountered that held up their progress?
• In what ways have they been successful in meeting their goals? What do you believe influenced that success?
• Have there been any changes to plans? Have you made any mid-course corrections? If so, what were they?

3. Are activities of this contractor coordinated with some of the other PROGRAM A contractors and partner organizations? With which contractors?

• How successful have these coordination activities been?
• Has their work been delayed at all, because of delays experienced by other contractors?
• Or have their own delays affected the progress of other contractors?

4. Are the activities of this contractor influencing how PROGRAM A is being planned or implemented in any of the other 13 PROGRAM A communities?

• Is the contractor working directly with any other communities?
• Is the contractor consulting with other contractors in those communities?
• What kind of influence is the contractor having on how PROGRAM A is taking shape elsewhere in Los Angeles County?

5. Overall, how has Year 4 implementation gone for the PROGRAM A component that you oversee?

• Is implementation on schedule? Have there been any delays?
• What were some factors facilitating or inhibiting advancement of this activity?

E. Lessons Learned

We would like to conclude by asking you a series of questions regarding “lessons learned” related to the broader PROGRAM A investment.

1. Overall, how would you describe the ongoing implementation of Best Start in Metro LA as a whole?
a. Has it been going well, or have there been some problems?
b. What factors have facilitated implementation?
c. What factors are inhibiting implementation?

2. What would you say have been the greatest successes of Best Start in *Metro LA*, thus far?

3. What would you say have been the key shortcomings or “failures” of Best Start in *Metro LA*, to date?

4. Overall, what is your impression of the impact the project is having on *children and families* in the community?

5. What is your impression of the impact it is having on the *community* itself?

6. What is your impression of the impact it is having on *broader policies and systems* for children and families, generally?

7. Do you think the goals of the ABC Commission are being met through the Program A investment? Why? Why not?

8. Do you feel like the strategies or activities the project partners are developing/implementing are the “right” ones for families and the community?

9. If not, why not? What is missing?

10. Looking back, would you do anything differently? What?

11. Looking forward, what would you like to see happen to improve Program A strategies or activities and outcomes for children/families in the Pilot Community?

12. What specific lessons have been learned in *Metro LA* that you think could be most helpful in the 13 new Program A communities?
Endnotes of Checklist Items for Example 3

1. Who sponsored the research and who conducted it. If different from the sponsor, the original sources of funding will also be disclosed.
2. A definition of the population under study and its geographic location.
3. The instrumentation used (e.g., questionnaires, discussion guides), a description of the data collection strategies employed (e.g., focus groups, semi-structured interviews), and the language(s) used.
4. A description of any relevant stimuli, such as visual or sensory exhibits or show cards. - not applicable in this example
5. Dates of data collection.
6. The physical location of all data collection activities (e.g., subject home, office/workplace, clinic, focus group facility, street corner).
7. A description of subject eligibility (e.g., age or gender requirements) and the procedures employed to screen and recruit research subjects.
8. The number of research subjects, by data collection strategy.
9. Methods of interviewer and/or coder training, supervision, and monitoring, if interviewers or coders were used. – not applicable in this example
10. Duration of research participation (e.g., length of interviews, focus group sessions).
11. Any compensation/incentives provided to research subjects.
12. Information regarding whether or not data collection included audio or video recordings.
EXAMPLE 4

Key Informant Interviews with CPHHD Principal Investigators

During April-May 2015 [5], key informant interviews were conducted with each of the Principal Investigators of the eleven [8] NIH-funded Centers for Population Health and Health Disparities (CPHHD) in the United States [7]. This work was conducted as part of the NIH-supported evaluation of the CPHHD program, which contracted with XXXXXX to conduct these interviews [1,2]. The interviews were conducted by telephone [6] and averaged 65 minutes in length [10]. Respondents were not compensated for the interviews [11]. The semi-structured interview guide used for these interviews is presented on the following pages [3]. All interviews were conducted in English and were digitally recorded for later analysis [12].

2015 Interview Guide for CPHHD Principal Investigators

INTRODUCTION

Thanks, again, for agreeing to participate in this interview.

Before we start, I just want to restate our goals for this interview. We are hoping to learn about your experiences and insights as Principal Investigator for one of the Centers for Population Health and Health Disparities: what you feel have been the Center’s accomplishments up until now, as well as your thoughts about the future.

This interview should take less than an hour.

As mentioned in the statement we sent you by email, we would like to record all interviews, so they can be transcribed. The transcripts will be anonymized, and only (HERE, FILL IN THE CORRECT PERSONS, E.G. “only the head of this analysis team and I”) will have access to the recordings and transcripts.

Is it alright with you if I record the conversation?

Do you have any questions before we begin?

(Begin recording)

CENTER HISTORY AND GOALS
1. How have your Center’s goals evolved since your initial grant application?

2. Upon reflection, what would you say your Center’s main accomplishments have been?

3. In completing your main accomplishments, what kinds of challenges did you experience and how did you address them?

**SCIENTIFIC DEVELOPMENTS**
I’d now like to ask you about scientific developments at your Center.

4. First, do you feel any important methodological innovations have come out of your Center?

5. How about the development or generation of new hypotheses that relate to our understanding of the pathways (and interactions) by which social and physical environmental determinants influence physiological processes?

6. Also, have any new interventions emerged or resulted from your Center’s activities?

**EDUCATIONAL AND MENTORING ACTIVITIES**

7. Have there been any educational or mentoring activities that you feel were particularly successful?

**COLLABORATIONS**
I’d also like to ask you about collaborations your Center may have had with others.

8. Within the community, which collaborations have been most successful, and why?

9. Are there one or more collaborations that have been less successful, and why?

10. Has your Center been involved in any cross-Center collaborations? If yes, please describe your experience?

**LOOKING AHEAD**

11. How do you expect your Center to evolve over the next several years?

**LOOKING BACK**

12. In retrospect, what would you have done differently over the past 5 years in terms of your Center if you had the opportunity to do it all over again?

Thank you very much for your time.
Endnotes of Checklist Items for Example 4

1. Who sponsored the research and who conducted it. If different from the sponsor, the original sources of funding will also be disclosed.
2. A definition of the population under study and its geographic location.
3. The instrumentation used (e.g., questionnaires, discussion guides), a description of the data collection strategies employed (e.g., focus groups, semi-structured interviews), and the language(s) used.
4. A description of any relevant stimuli, such as visual or sensory exhibits or show cards. - not applicable in this example
5. Dates of data collection.
6. The physical location of all data collection activities (e.g., subject home, office/workplace, clinic, focus group facility, street corner).
7. A description of subject eligibility (e.g., age or gender requirements) and the procedures employed to screen and recruit research subjects.
8. The number of research subjects, by data collection strategy.
9. Methods of interviewer and/or coder training, supervision, and monitoring, if interviewers or coders were used. – not applicable in this example
10. Duration of research participation (e.g., length of interviews, focus group sessions).
11. Any compensation/incentives provided to research subjects.
12. Information regarding whether or not data collection included audio or video recordings.