

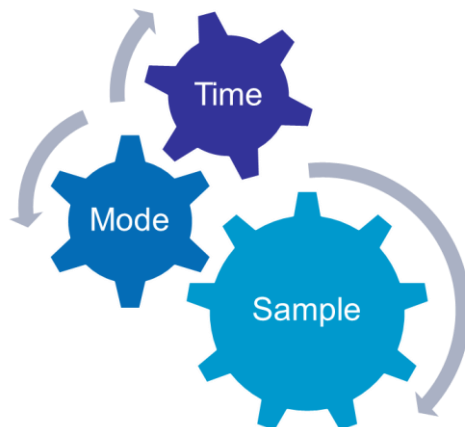


RESPONDENT RECRUITMENT

PHONE-BASED RESEARCH
METHODS & BEST PRACTICES

SPECIAL EDITION: FCC & TCPA

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PHONE BASED DATA COLLECTION RESPONDENT RECRUITMENT METHODS

IDEA IN ACTION

Unlike other data collection strategies, phone based respondent targeting can reach all demographic segments and enable responses to be quickly collected from representative samples.

Survox® advanced respondent targeting gathers data from only those you wish to hear from, speeding insights to decision makers.

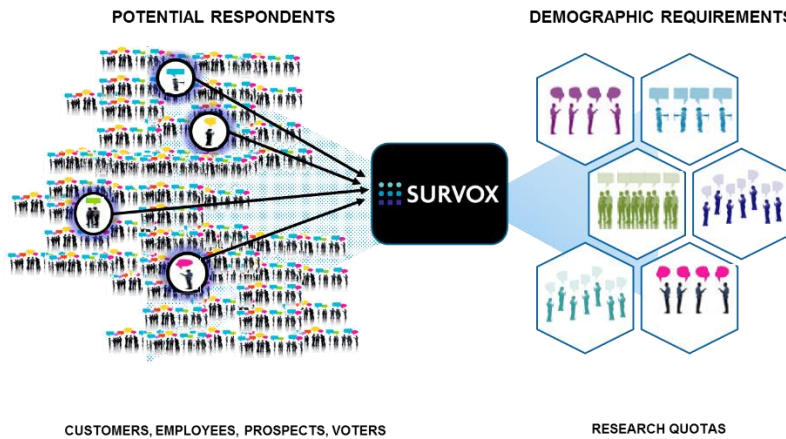
Privacy concerns, especially related to cell phone users, have caused the US and other governments to introduce consumer protection regulations that inform research strategies, respondent recruitment methods and dialing techniques.

Survox solutions offer several options for designing data collection strategies and workflows to address regulatory compliance requirements as well as operational productivity goals.



RESPONDENT TARGETING WITHIN A REGULATORY ENVIRONMENT

- **Survox Solutions:** Optimized workflows execute against study rules and resource constraints (interviewers, sample, & time) to deliver targeted respondents to meet research quota requirements.
- **Sample Management:** Study setup tools enable specialized handling based on analysis of sample for Do Not Call (DNC) list exclusion, phone type, time zone, and other attributes.
- **Dialer Management:** Advanced analytics drive the right phone numbers to be dialed to meet quota.



Further information is available at the [Survox Solution Center](http://www.survox.com/solution-center)

BEST PRACTICES: DIALING STRATEGIES AND TECHNOLOGY

Phone-based research happens....

Key applications:

- Political Polling – RDD sample used to reach respondents in a particular geographic region.
- Public policy – address-based research for regional policy making.
- New Product Testing – purchased lists of potential consumers.



Phone is critical for reaching demographic groups such as seniors, rural, and lower socio-economic citizens/consumers. Privacy and respondent preferences must be honored while still maintaining the high standards of quality market research.

So, how to engineer your phone research processes and methodologies to achieve the research goals AND stay compliant with federal and state regulatory mandates?

This paper outlines how the Survox Solutions enable research data collection organizations to architect their study methodologies, sample preparation, and call center practices to address these operational goals.

SPECIAL EDITION: FCC & TCPA

The FCC's TCPA regulations have identified certain dialing techniques as unacceptable and subject to litigation if used when calling a potential research participant on a cell-phone and that person has not given consent to be contacted. This paper describes only the spectrum of options enabled by Survox technology. Each researcher is advised to seek legal counsel to determine how best to re-architect processes for compliance.

Survox enables three primary modes of dialing and supports workflows that execute one or more of these recruitment methods by targeting which contact records are to be dialed by each method.

The most fundamental is **Manual** dialing. Survox identifies what number should be dialed and the interviewer simply dials the number on their phone when the survey is ready. No dialer is involved.

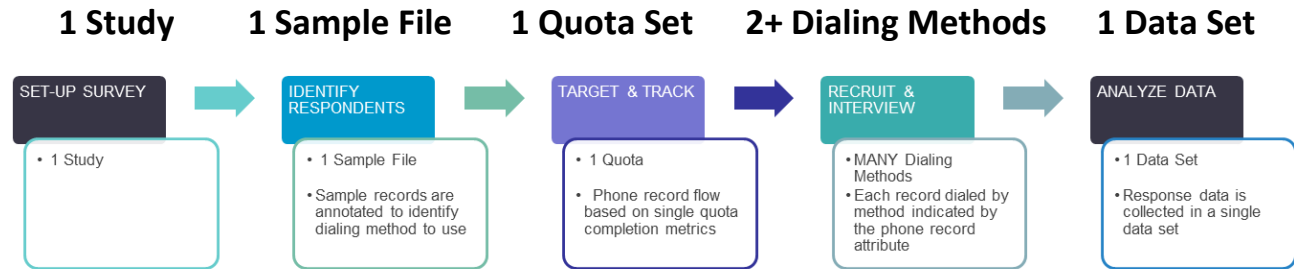
Targeted dialing is when a dialer places the call for the interviewer. Here the interviewer must trigger the dialer to dial. The study rules dictate how the interviewer triggers the action: simply press a “click-to-call” button or have to re-key the number into the system to direct the dial. Efficiency here comes from faster dialing and quicker call statusing (disconnects, no answers, etc.)

Predictive dialing is what many think of when considering an automated dialer. With this option, the dialer is calling ahead to find a respondent available to connect to the interviewer. Survox dialer management must predict at what time the next interviewer will finish their current survey and be ready for a new, connected respondent and manage the rate of connection attempts to ensure that an interviewer will be available when the potential respondent is found.

STUDY WORKFLOWS

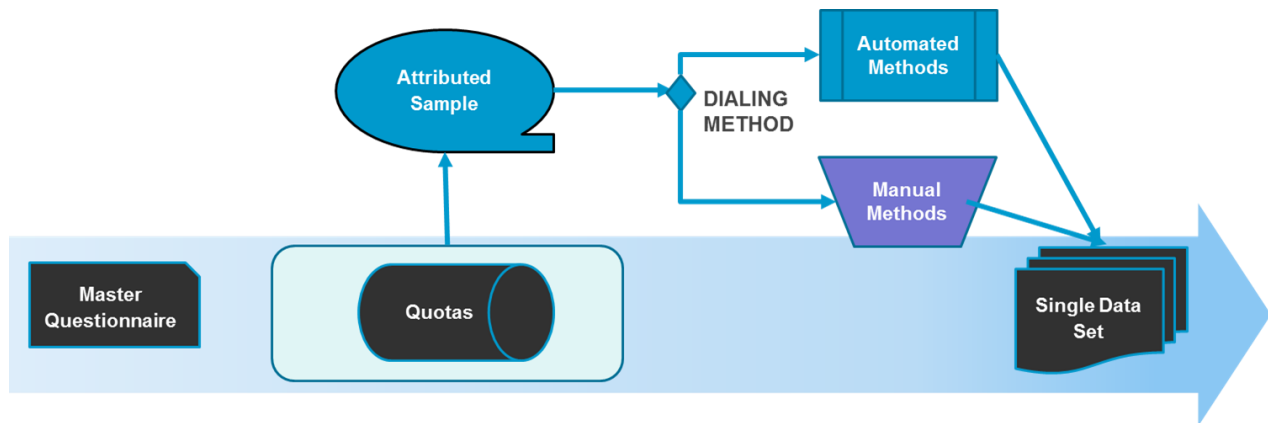
DIFFERENTIALLY DIALED STUDY

Studies can be setup with a single sample file that can drive multiple dialing methods. Each contact record is read for special attributes that will be applied against dialing rules to determine how that record will be presented to the interviewer – connected call or call-to-be-dialed. If the call is to be dialed by the interviewer, several methods may be used. [See Dialing Options.](#)



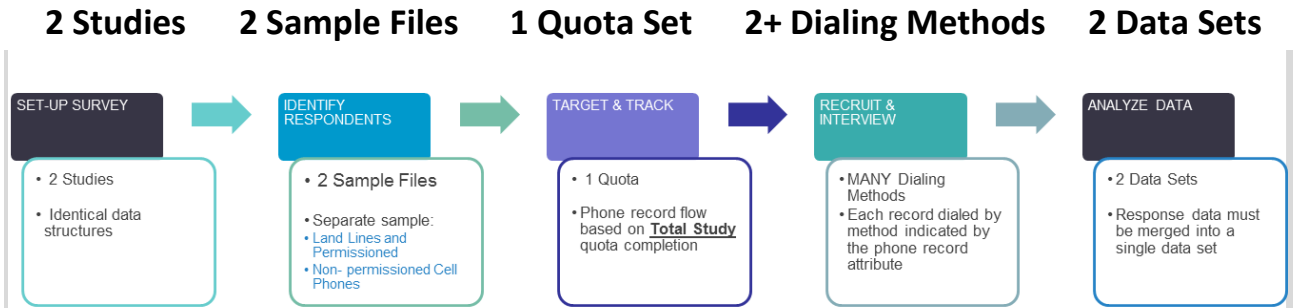
HOW TO:

- You can now flag sample for **Targeted** dialing within a sample (fon) file by adding the T attribute in column 21 of your sample file. In this way, **Targeted** numbers will be called in a **Power/Preview** mode while non-marked numbers may be dialed **Predictively**.
- You can programmatically control the call flow for Targeted numbers.
- Additionally, you might assign certain interviewers to focus on the Targeted numbers by using a Special Interviewer Type.



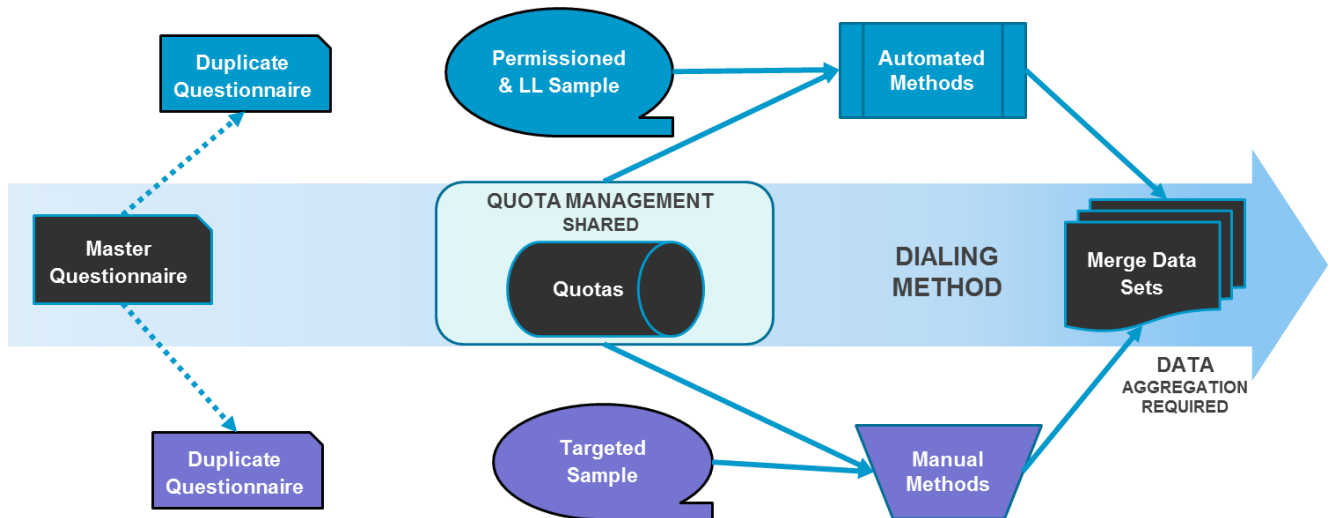
DUAL WORK STREAM STUDY

Parallel workflows can be set up to recruit respondents to studies using different types of dialing methods. Each workflow operates independently while managing sample flow and respondent quota attainment by sharing a single quota file. The Sample Management system determines *which* records to use for respondent recruitment within *each* of the workflows in such a way as to **optimize overall study completion**.



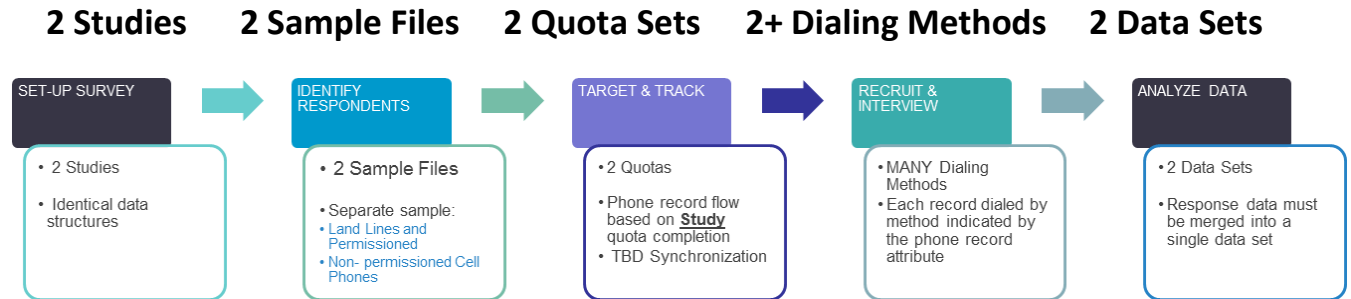
HOW TO:

- For greater segregation and control, subset your sample and set up a study for each dialing method.
- Use the same questionnaire (QPX), to ensure matching data structures across the studies for easy aggregation and reporting.
- Monitor quota attainment closely to meet quota requirements. Setting up monitoring processes and technology will better enable you to direct the data collection operations.
- To manage quotas, this design lends itself to the use of Master Quotas.
 - As responses are collected, the Master Quota functions allow multiple studies to share and update quotas in real-time to help prevent overages.
 - This design requires that both studies are run under the same Survox environment.



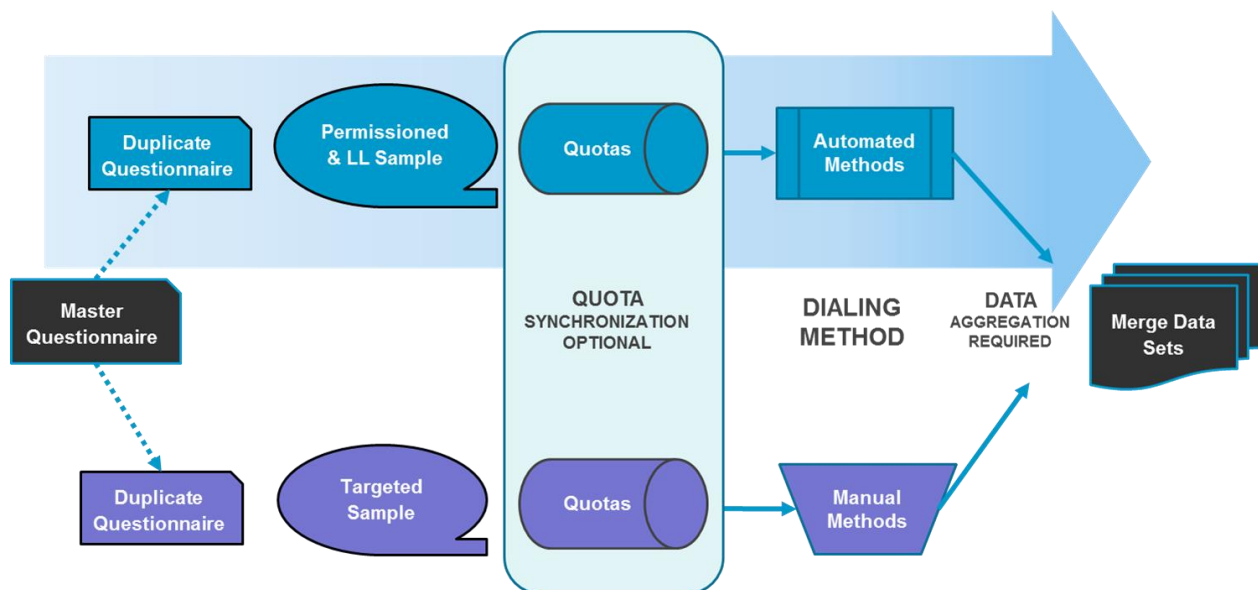
PARALLEL STUDIES & WORK STREAMS

Parallel workflows that are physically and/or functionally separated may be set up to further ensure segregation of data and dialing methods. Here there is duplication at each stage and synchronization is performed as an independent activity.



HOW TO:

- Subset the sample and run on separate environments (software and hardware).
 - Disadvantage: Master Quotas **cannot** be used across environments so you will need to subset or otherwise manage your quotas and the likelihood of overages is increased.
 - Advantage: Physical and logical separation would afford you the ability to fully segregate sample to systems that are configured in wholly different fashions.
- Dialer configuration
 - The primary system setup may include telco and dialer services along with configurations such as the dialing functions and dialer controls in the Survox survey and parmfile set ups.
 - The other system may be configured to not have these options to preclude autodialing.
- Interviewer stations may be equipped with analog phones to be used for manual dialing numbers.



DIALER MANAGEMENT TECHNICAL APPLICATION NOTES

MULTIPLE MODES OF DIALING

Survox enables three primary modes of dialing [Predictive, Manual, and Targeted] with a variety of options among those modes. Privacy and compliance controls are further extended with features that now allow sample to be marked for Targeted dialing so that non-marked sample may be dialed predictively and marked sample will be dialed in targeted mode in the same study dynamically. See [Call Control](#) section.

TARGETED

Targeted dialing is an outbound call process in which each phone number is sent to a particular interviewer station (Survent session) before it is dialed. This allows you to take full advantage of Survent’s logic functions to determine whether to dial the number. There are two modes to Targeted dialing: Power and Preview.

POWER

In power mode the dialing of the number is controlled by the individual Survent process and the interviewer waits while the number is dialed. The interviewer may or may not hear the actual call progress as it depends on the brand of the dialer being used. Once a call result is returned from the dialer, the interview can commence if it is a connect; otherwise the Survent process can look at the call result and decide what to do next. Typically if the call is returned as a non-connect, such as busy or no answer, it will immediately try to dial another number. This is dialing at a 1-to-1 ratio, which is 1 number per waiting interviewer.

PREVIEW

In preview mode the interviewer is in full control of the call and hears the entire call progress including any ringing, busy, tri-tones or other audio information passed from the carrier. The interviewer must initiate the dial by coming to a point in the questionnaire that sends the number to be dialed. The interviewer is required to status all calls in this mode.

Activity →	INITIATE	DIAL	ATTEND	DISPOSITION
PREDICTIVE	Dialer	Dialer	Dialer	Dialer
TARGETED DIALING				
POWER	Human	Dialer	Dialer	Dialer
PREVIEW	Human	Dialer	Human	Human
MANUAL	Human	Human	Human	Human

TABLE IDENTIFIES THE “ACTOR” WHO PERFORMS EACH STEP IN THE PROCESS.

DISPOSITIONING

The Survox Dialer allows the interviewer to be able to hear the call in progress and then decide what to do with the call. In Preview and Manual mode, the interviewer registers the disposition of the call.

HOW TO: PREDICTIVE & TARGETING

- **Predictive_mode:** which can be set to True/False.
- **Targeted_mode:** can be set to preview/power.

Predictive_mode: No Targeted_mode: Power	The dialing of the number is controlled by Survent. Interviewer does NOT hear call progress, but status return from dialer is sent to Survent along with voice if there is a connect.
Predictive_mode: No Targeted_mode: Preview	The dialing of the number is controlled by Survent. Interviewer does hear call progress, but no status code is returned from the dialer to Survent. Interviewer must assign call status.
Predictive_mode: Yes Targeted_mode: Power	"Normal" numbers are controlled by the study server and are dialed predictively. Survent only gets the number after the call has been connected to a respondent. For the "special" numbers where the dialing is controlled by Survent (cell phones, get specific), the interviewer does NOT hear call progress, but a status code IS returned from the dialer to Survent. This is how the previous version handled preview mode.
Predictive_mode: Yes Targeted_mode: Preview	"Normal" numbers are controlled by the study server and are dialed predictively. Survent only gets the number after the call has been connected to a respondent. For the "special" numbers where the dialing is controlled by Survent (cell phones, get specific), the interviewer does hear call progress, but no status code is returned from the dialer to Survent. Interviewer must assign call status.

CALL CONTROL BEST PRACTICES

The four most common practices for initiating the dialing of Targeted Numbers are listed below.

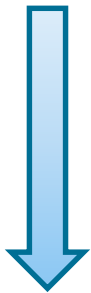
- NONE = no interviewer interaction, automatically dialed
- CLICK (default) = interviewer has single click-to-dial
- KEYPAD = interviewer dials on physical phone using the new HandDial function.
NOTE: Phone number masking (see below) is not allowed with this option
- KEYBOARD = interviewer dials on computer keyboard

RESPONDENT CONFIDENTIALITY:

You may optionally **MASK** the phone number that is typically displayed on the screen, so the interviewer does not see the respondent's telephone number. This may be a default approach or used only for studies needing to comply with various privacy and security requirements.

If Masking is enabled, the interviewer will get a random number that must be entered correctly to continue. The interviewer never sees the actual phone number.

One way to think about these options is in order from most automated to least:



1. Predictive
2. Power Targeted
3. Targeted 1-Click
4. Targeted Keyboard
5. Targeted KeyPad HandDial
6. Manual

HOW TO:

Survox Services work with customers to develop the workflows and practices that fit their business needs.

Call centers can standardize their processes using these techniques combined with some custom engineered work flows. [Survox Services](#) are available to assist.

HAND DIALING

Hand Dialing is a feature that enables a number to be dialed by a human being pushing the keys on a physical telephone set as opposed to entering them on the computer keyboard. Using this option, the interviewer is presented with a telephone number on the computer screen and instructed to dial the number on a separate, physical phone. After dialing the number, the interviewer will hear the targeted phone ringing and then will be given total control of the call, whether it is answered or not.

Implementing this in Survent is very straightforward. When doing **targeted** dialing, not “predictive dialing”, the interviewer is always presented with a phone number to consider. The number can be dialed or it can be returned to the phone number database for later use.

If the number is to be dialed now, it can be dialed by the computer by using a “PHONE, DIALNUMBER” statement that will tell the computer to dial the phone and connect the call immediately to the interviewer’s phone set.

If the user wishes to have the interviewer physically dial the number, instead of using “PHONE, DIALNUMBER” use “PHONE, HANDDIAL”. In this case, the number is presented on the screen and no further action is taken by the computer until the interviewer pushes the keys on the phone to dial the number displayed.

If the number dialed by the interviewer does not match the number displayed on the screen, no dialing will be done and a status code of “891” will be returned so the interviewer can be given another chance.

For more information on how to implement the Hand Dial option please refer to the Survox [Dialer documentation](#).

DNC & CELL PHONE MANAGEMENT

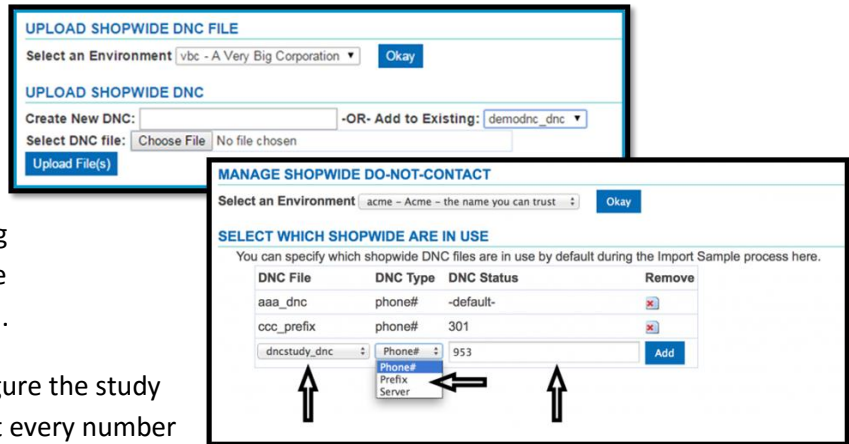
The Survox platform provides a variety of supporting functions and tools to help manage sample and call flow. The Do Not Call (DNC) feature is a key component of sample management and has been extended to not only be a repository for Do Not Call records but also to potentially handle lists such as the cell phone prefix list and national landline-to-wireless ported number list. These lists are available through different providers and globally managed by Neustar.

- The DNC system can accommodate standard lists of numbers including international numbers for lists such as your company’s No Call list or subscription lists like the Wireless Ported list.
- A secondary type of list is the prefix list to efficiently handle files like the North American cell phones which are issued in 1000 number blocks such that the Area Code + Exchange + First Digit of the Number identifies cell phones.
- You also have the flexibility to have server wide and/or job specific lists.

Multiple DNC lists can be used concurrently and with these and, depending on how you employ them, they can help you to scrub your sample, prevent calling numbers and manage targeting. The Survox Console in version 8.8+ has been enhanced to make using these files easier but all functions are available in 8.6+.

DNC Checking

- **Event Triggered:** DNC lists can be referenced when adding sample or at will via the sample management utilities (foneutil).
- **On-the-Fly:** You can also configure the study server to use these files so that every number is rechecked against the current list before it is dialed. This ensures you do not contact numbers that were just recently added to the list.



More detailed information on how to use these features can be found in our [online documentation](#).

SURVOX SERVICES

BEST PRACTICES

The Survox Services team has worked with clients to develop new approaches to address the changing business needs. Many of these will become standardized within our software such as new default QPX modules for call handling as well as DNC integration into the interviewing process.

REQUESTING ASSISTANCE

Please contact Survox Services for assistance with your process re-engineering efforts. We are available to consult, share the set ups as they exist, answer your questions and work with you for custom solutions that fit your unique business requirements. Submit a request at the [Survox Service Center](#).

OTHER RESOURCES: FCC & TCPA

OTHER RESOURCES: FCC & TCPA

[Statement by CASRO and MRA Regarding the FCC's June 18 TCPA Vote \(PDF\), June 19, 2015](#)

MRA

[Howard Fienberg wants to hear your TCPA stories. Membership required articles: **The QUIET Act Offers Harsher Penalties; Answering TCPA Questions;;Compliance Considerations for New TCPA Regulations**](#)

CASRO

[Send your TCPA stories and concerns to **Art Flanagan**; Members only articles: **TCPA Series: What It Means for MR Companies - Autodialers; ...- Consent Summary of FCC Ruling on the TCPA \(July 10, 2015\)**](#)

NOTE:

Always seek legal counsel before determining how best to re-architect processes to comply with these regulations.

About Survox, Inc.

Survox® multi-mode data collection solutions and services empower decision makers who use market research or public opinion polling surveys to gain fast, accurate insights from a precisely targeted set of respondents. We provide a unified platform for respondent targeting and multi-channel survey execution across a mix of modes – phone, online, and IVR – and vendor solutions that span multiple geographies and organizations.

We enable respondent recruitment based on advanced segmentation strategies. Our solution gives users real-time, operational control which helps researchers complete projects quickly and cost effectively.

More details are available from www.Survoxinc.com.

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