



TO: HCHS/SOL Steering Committee and Project Managers
 CC: Subcommittee Chairs, Reading Center Investigators
 FROM: Marston Youngblood, HCHS Coordinating Center
 DATE: November 14, 2013
 RE: HCHS/SOL Management Report for October 2013

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Attached is the HCHS/SOL Management Report produced for October 2013. We cut-off data used in this report on October 31st to give us a snapshot of the AFU progress for that full month. In this phase of HCHS/SOL we will routinely create datasets at the end of a month and report on those results within two weeks. Note that the prior management report was subsumed in the OSMB 2013 report.

1. Annual Follow-up- The trend in response rates over time for the first through third years of annual follow-up are summarized below from both the current and previous study reports (tables 1.3, 1.4 and 1.5 series).

HCHS/SOL Follow-up Interview Response Rates over Time

AFU Year	Dec. 2012	Jan. 2013	Feb. 2013	Mar. 2013	Apr. 2013	May 2013	June 2013	July 2013	Aug. 2013	Sept. 2013	Oct 2013
First	87.7	87.6	87.6	87.5	closed	----	----	----	----	----	----
Second	86.2	86.3	86.3	86.2	86.2	86.3	86.3	86.3	86.5	86.6	86.8
Third	85.4	85.5	85.3	83.6	83.4	83.2	83.0	83.1	83.2	83.5	83.7
Fourth	80.4	80.1	80.9	80.6	79.7	79.4	79.1	78.4	78.3	78.8	78.9

The series of tables to look at subgroup differences follow-up rates by gender, place of birth, baseline employment status, and age are now included in this section as series a-d for each year of follow-up. In response to the request by the steering committee to look at response rates by years in the U.S. we added a new series of tables (1.4e, 1.5e, 1.6e) to profile response success as a function of time. The U.S. born participants continue to have the lowest response rates for completed interviews in this comparison.

2. Hospitalizations and Self-reported Outcomes- Table 2.1 reports on hospitalizations and emergency department visits from 50,934 AFU interviews over five AFU contact years. Of the participants with any AFU contact, approximately 17 % of the cohort reported having at least one hospitalization and/or emergency department visit. The primary complaint cited for the 10,153 admissions were for other non-cardio-pulmonary reasons. Tables 2.1a-d divides the preliminary reports of 4,459 events into calendar years by field center for monitoring the accrual of reported events from 2008-09 (452) 2010 (933), 2011 (1493), 2012 (1263) and 2013(611).

3. Event Processing and Classification- Tables 3.1 and 3.2 present the last stage of endpoints case material acquisition by the field centers as they find and collate and forward admission records to the coordinating center. Note, the layout of these two tables has been reorganized based on feedback from the Quality Control committee to highlight suspected events with work pending in the field vs. ones closed to further action. Out of 10,153 reported hospitalization and/or emergency department visits, 4,752 met the criteria for further investigation. Field work has started on 4,520 (95%) of those suspect events with 4,307 (91%) closed to further investigation which includes 2956 cases with materials sent to the coordinating center for abstraction and review. A remaining 213 (4%) have further work in progress with pending dispositions at the time of this report. Event years are still open for 2011-12 because AFU interviews are still being completed for members of the cohort who were examined as recently as June 30, 2011.

4. Ancillary Studies Three multi-site ancillary studies (Sueno, Echo-SOL, and SOL-Youth) are actively recruiting cohort participants. Two studies (Sociocultural, SOLNAS) have completed enrollment (see table 4.1). Over half of the cohort (57%) has been screened for at least one study with 71% of those contacted agreeing to participate in one or more studies. The average burden experienced by participants in one study (table 4.2, n=4473) was 3.1 hours, and those participating in two studies (n=1,672) has been 5.1 hours. Participating in three studies raised the average to 7.3 hours for those 453 participants.

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**Table 1.1b Presence of a Phone Number for the Participant and their Various Contacts by Center
From Year 2 Annual Follow-up Contact Information Form**

Phone Numbers	Bronx (N=3964)		Miami (N=4024)		San Diego (N=3985)		Overall (N=11973)	
	N	%	N	%	N	%	N	%
Participant primary	3870	97.6	4003	99.5	3908	98.1	11781	98.4
Participant secondary	2159	54.5	995	24.7	2167	54.4	5321	44.4
Participant with any phone number	3907	98.6	4010	99.7	3970	99.6	11887	99.3
First contact	3557	89.7	3924	97.5	3744	94.0	11225	93.8
Second contact	1599	40.3	3102	77.1	3499	87.8	8200	68.5
Third contact	247	6.2	1270	31.6	1732	43.5	3249	27.1
At least one alternate contact phone number	3627	91.5	3953	98.2	3893	97.7	11473	95.8
Participants with no phone number for Follow-up	46	1.2	5	0.1	2	0.1	53	0.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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**Table 1.1c Presence of a Phone Number for the Participant and their Various Contacts by Center
From Year 3 Annual Follow-up Contact Information Form**

Phone Numbers	Bronx (N=2508)		Miami (N=2700)		San Diego (N=2823)		Overall (N=8031)	
	N	%	N	%	N	%	N	%
Participant primary	2443	97.4	2678	99.2	2782	98.6	7903	98.4
Participant secondary	1385	55.2	757	28.0	1508	53.4	3650	45.5
Participant with any phone number	2475	98.7	2682	99.3	2815	99.7	7972	99.3
Local Contact 1	2261	90.2	2619	97.0	2608	92.4	7488	93.2
Local Contact 2	1023	40.8	2211	81.9	2376	84.2	5610	69.9
Local Contact 3	197	7.9	1077	39.9	952	33.7	2226	27.7
At least one alternate contact phone number	2314	92.3	2656	98.4	2740	97.1	7710	96.0
Participants with no phone number for Follow-up	30	1.2	8	0.3	3	0.1	41	0.5

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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**Table 1.1d Presence of a Phone Number for the Participant and their Various Contacts by Center
From Year 4 Annual Follow-up Contact Information Form**

Phone Numbers	Bronx (N=1210)		Miami (N=1216)		San Diego (N=1539)		Overall (N=3965)	
	N	%	N	%	N	%	N	%
Participant primary	1167	96.5	1205	99.1	1508	98.0	3880	97.9
Participant secondary	655	54.1	419	34.5	769	50.0	1843	46.5
Participant with any phone number	1185	97.9	1206	99.2	1535	99.7	3926	99.0
Local Contact 1	1091	90.2	1188	97.7	1395	90.6	3674	92.7
Local Contact 2	443	36.6	1008	82.9	1282	83.3	2733	68.9
Local Contact 3	70	5.8	548	45.1	335	21.8	953	24.0
At least one alternate contact phone number	1116	92.2	1196	98.4	1485	96.5	3797	95.8
Participants with no phone number for Follow-up	23	1.9	5	0.4	3	0.2	31	0.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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**Table 1.1e Presence of a Phone Number for the Participant and their Various Contacts by Center
From Year 5 Annual Follow-up Contact Information Form**

Phone Numbers	Bronx (N=273)		Miami (N=244)		San Diego (N=283)		Overall (N=800)	
	N	%	N	%	N	%	N	%
Participant primary	266	97.4	241	98.8	277	97.9	784	98.0
Participant secondary	157	57.5	92	37.7	150	53.0	399	49.9
Participant with any phone number	268	98.2	242	99.2	281	99.3	791	98.9
Local Contact 1	247	90.5	236	96.7	263	92.9	746	93.3
Local Contact 2	124	45.4	191	78.3	240	84.8	555	69.4
Local Contact 3	18	6.6	93	38.1	68	24.0	179	22.4
At least one alternate contact phone number	253	92.7	238	97.5	276	97.5	767	95.9
Participants with no phone number for Follow-up	5	1.8	1	0.4	2	0.7	8	1.0

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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Table 1.2b Reported Vital Status for Participants after Second Annual Follow-up Interview by Field Center
All study participants who are eligible for Annual Follow-up Contact Year 2

Reported Vital Status of Follow-up	Bronx (N=4102)		Chicago (N=4124)		Miami (N=4062)		San Diego (N=4074)		Overall (N=16362)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	4102	100.0	4124	100.0	4062	100.0	4074	100.0	16362	100.0
Participants with AFU Information Present¹	4043	98.6	4074	98.8	4050	99.7	3994	98.0	16161	98.8
Contacted and Alive	3281	81.2	3644	89.5	3675	90.7	3548	88.8	14148	87.5
Contacted and Refused Interview	24	0.6	27	0.7	33	0.8	23	0.6	107	0.7
Not Contacted, Reported Alive	419	10.4	237	5.8	127	3.1	314	7.9	1097	6.8
Not Contacted, Reported Deceased	24	0.6	13	0.3	18	0.4	8	0.2	63	0.4
Unknown Vital Status	295	7.3	153	3.8	197	4.9	101	2.5	746	4.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Present = If General Health section of AFU present with a valid value for question GHEA1 (does not depend on AFT submission).

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Table 1.2c Reported Vital Status for Participants after Third Annual Follow-up Interview by Field Center
All study participants who are eligible for Annual Follow-up Contact Year 3

Reported Vital Status of Follow-up	Bronx (N=4078)		Chicago (N=4110)		Miami (N=4044)		San Diego (N=4066)		Overall (N=16298)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	3206	78.6	3103	75.5	3122	77.2	3281	80.7	12712	78.0
Participants with AFU Information Present¹	2909	90.7	2825	91.0	2854	91.4	2988	91.1	11576	91.1
Contacted and Alive	2300	79.1	2497	88.4	2524	88.4	2546	85.2	9867	85.2
Contacted and Refused Interview	16	0.6	26	0.9	10	0.4	17	0.6	69	0.6
Not Contacted, Reported Alive	300	10.3	159	5.6	141	4.9	312	10.4	912	7.9
Not Contacted, Reported Deceased	12	0.4	8	0.3	18	0.6	8	0.3	46	0.4
Unknown Vital Status	281	9.7	135	4.8	161	5.6	105	3.5	682	5.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Present = If General Health section of AFU present with a valid value for question GHEB1 (does not depend on AFT submission).

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Table 1.2d Reported Vital Status for Participants after Fourth Annual Follow-up Interview by Field Center
All study participants who are eligible for Annual Follow-up Contact Year 4

Reported Vital Status of Follow-up	Bronx (N=4065)		Chicago (N=4102)		Miami (N=4026)		San Diego (N=4058)		Overall (N=16251)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	1546	38.0	1884	45.9	1442	35.8	1967	48.5	6839	42.1
Participants with AFU Information Present¹	1359	87.9	1542	81.9	1262	87.5	1636	83.2	5799	84.8
Contacted and Alive	1015	74.7	1345	87.2	1140	90.3	1406	85.9	4906	84.6
Contacted and Refused Interview	6	0.4	26	1.7	13	1.0	7	0.4	52	0.9
Not Contacted, Reported Alive	149	11.0	69	4.5	52	4.1	153	9.4	423	7.3
Not Contacted, Reported Deceased	5	0.4	2	0.1	8	0.6	8	0.5	23	0.4
Unknown Vital Status	184	13.5	100	6.5	49	3.9	62	3.8	395	6.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Present = If General Health section of AFU present with a valid value for question GHEB1 (does not depend on AFT submission).

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Table 1.2e Reported Vital Status for Participants after Fifth Annual Follow-up Interview by Field Center

All study participants who are eligible for Annual Follow-up Contact Year 5

Reported Vital Status of Follow-up	Bronx (N=4059)		Chicago (N=4100)		Miami (N=4018)		San Diego (N=4050)		Overall (N=16227)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	352	8.7	285	7.0	322	8.0	400	9.9	1359	8.4
Participants with AFU Information Present¹	276	78.4	210	73.7	235	73.0	274	68.5	995	73.2
Contacted and Alive	226	81.9	195	92.9	208	88.5	265	96.7	894	89.9
Contacted and Refused Interview	1	0.4	0	0.0	3	1.3	1	0.4	5	0.5
Not Contacted, Reported Alive	24	8.7	5	2.4	9	3.8	4	1.5	42	4.2
Not Contacted, Reported Deceased	1	0.4	1	0.5	3	1.3	3	1.1	8	0.8
Unknown Vital Status	24	8.7	9	4.3	12	5.1	1	0.4	46	4.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Present = If General Health section of AFU present with a valid value for question GHEB1 (does not depend on AFT submission).

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Table 1.4 Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years)

Reported Follow-up Status at End of Contact Year 2	Bronx (N=4102)		Chicago (N=4124)		Miami (N=4062)		San Diego (N=4074)		Overall (N=16362)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	3852		3852		3812		3867		15383	
Missing AFU forms¹	40	1.0	17	0.4	0	0.0	46	1.2	103	0.7
Unknown Vital Status	288	7.5	153	4.0	197	5.2	101	2.6	739	4.8
Deceased	24	0.6	11	0.3	17	0.5	7	0.2	59	0.4
Contacted and Refused Interview	23	0.6	26	0.7	32	0.8	23	0.6	104	0.7
Contacted Other Respondent, Reported Alive	403	10.5	237	6.2	127	3.3	314	8.1	1081	7.0
Contacted and Interviewed	3074	79.8	3408	88.5	3439	90.2	3376	87.3	13297	86.4
Complete AFU Interview⁴	2952	76.6	3391	88.0	3421	89.7	3317	85.8	13081	85.0
Partial AFU Interview²	122	3.2	17	0.4	18	0.5	59	1.5	216	1.4
Core AFU Interview³	105	86.1	14	82.4	12	66.7	41	69.5	172	79.6
Contact rate for follow-up⁵	3524	91.5	3682	95.6	3615	94.8	3720	96.2	14541	94.5
Response rate for follow-up⁶	3074	80.3	3408	88.7	3439	90.6	3376	87.5	13297	86.8
Eligible for next year follow-up⁷	3805	98.8	3815	99.0	3763	98.7	3837	99.2	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.4a Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years) by gender

Reported Follow-up Status at End of Contact Year 2	Female (N=9808)		Male (N=6554)		Overall (N=16362)	
	N	%	N	%	N	%
Expected Number of Annual Interviews	9195		6188		15383	
Missing AFU forms¹	60	0.7	43	0.7	103	0.7
Unknown Vital Status	391	4.3	348	5.6	739	4.8
Deceased	37	0.4	22	0.4	59	0.4
Contacted and Refused Interview	63	0.7	41	0.7	104	0.7
Contacted Other Respondent, Reported Alive	571	6.2	510	8.2	1081	7.0
Contacted and Interviewed	8073	87.8	5224	84.4	13297	86.4
Complete AFU Interview⁴	7960	86.6	5121	82.8	13081	85.0
Partial AFU Interview²	113	1.2	103	1.7	216	1.4
Core AFU Interview³	91	80.5	81	78.6	172	79.6
Contact rate for follow-up⁵	8744	95.1	5797	93.7	14541	94.5
Response rate for follow-up⁶	8073	88.2	5224	84.7	13297	86.8
Eligible for next year follow-up⁷	9095	98.9	6125	99.0	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.4b Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years) by Place of Birth

Reported Follow-up Status at End of Contact Year 2	Foreign Born (N=13437)		US Born (N=2852)		Missing (N=73)		Overall (N=16362)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	12643		2671		69		15383	
Missing AFU forms ¹	67	0.5	24	0.9	12	17.4	103	0.7
Unknown Vital Status	561	4.4	156	5.8	22	31.9	739	4.8
Deceased	46	0.4	12	0.5	1	1.5	59	0.4
Contacted and Refused Interview	92	0.7	11	0.4	1	1.5	104	0.7
Contacted Other Respondent, Reported Alive	771	6.1	301	11.3	9	13.0	1081	7.0
Contacted and Interviewed	11106	87.8	2167	81.1	24	34.8	13297	86.4
Complete AFU Interview ⁴	10963	86.7	2094	78.4	24	34.8	13081	85.0
Partial AFU Interview ²	143	1.1	73	2.7	0	0.0	216	1.4
Core AFU Interview ³	110	76.9	62	84.9	0	0.0	172	79.6
Contact rate for follow-up⁵	12015	95.0	2491	93.3	35	50.7	14541	94.5
Response rate for follow-up⁶	11106	88.2	2167	81.5	24	35.3	13297	86.8
Eligible for next year follow-up⁷	12505	98.9	2648	99.1	67	97.1	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.4c Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years) by Employment Status

Reported Follow-up Status at End of Contact Year 2	Not Employed (N=7917)		Employed (N=8140)		Missing (N=305)		Overall (N=16362)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	7416		7667		300		15383	
Missing AFU forms ¹	39	0.5	42	0.6	22	7.3	103	0.7
Unknown Vital Status	322	4.3	348	4.5	69	23.0	739	4.8
Deceased	46	0.6	13	0.2	0	0.0	59	0.4
Contacted and Refused Interview	46	0.6	54	0.7	4	1.3	104	0.7
Contacted Other Respondent, Reported Alive	518	7.0	523	6.8	40	13.3	1081	7.0
Contacted and Interviewed	6445	86.9	6687	87.2	165	55.0	13297	86.4
Complete AFU Interview ⁴	6337	85.5	6589	85.9	155	51.7	13081	85.0
Partial AFU Interview ²	108	1.5	98	1.3	10	3.3	216	1.4
Core AFU Interview ³	86	79.6	77	78.6	9	90.0	172	79.6
Contact rate for follow-up⁵	7055	95.1	7277	94.9	209	69.7	14541	94.5
Response rate for follow-up⁶	6445	87.5	6687	87.4	165	55.0	13297	86.8
Eligible for next year follow-up⁷	7324	98.8	7600	99.1	296	98.7	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.4d Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years) by Age Group

Reported Follow-up Status at End of Contact Year 2	18-24 (N=1659)		25-44 (N=5026)		>=45 (N=9677)		Overall (N=16362)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	1574		4722		9087		15383	
Missing AFU forms¹	16	1.0	30	0.6	57	0.6	103	0.7
Unknown Vital Status	122	7.8	303	6.4	314	3.5	739	4.8
Deceased	1	0.1	5	0.1	53	0.6	59	0.4
Contacted and Refused Interview	6	0.4	27	0.6	71	0.8	104	0.7
Contacted Other Respondent, Reported Alive	210	13.3	412	8.7	459	5.1	1081	7.0
Contacted and Interviewed	1219	77.5	3945	83.6	8133	89.5	13297	86.4
Complete AFU Interview⁴	1178	74.8	3880	82.2	8023	88.3	13081	85.0
Partial AFU Interview²	41	2.6	65	1.4	110	1.2	216	1.4
Core AFU Interview³	37	90.2	49	75.4	86	78.2	172	79.6
Contact rate for follow-up⁵	1436	91.2	4389	93.0	8716	95.9	14541	94.5
Response rate for follow-up⁶	1219	77.5	3945	83.6	8133	90.0	13297	86.8
Eligible for next year follow-up⁷	1567	99.6	4690	99.3	8963	98.6	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.4e Second Annual Follow-up Response for Participants past the Year 2 Contact Window (Baseline visit + 2.5 years) by Years Lived in US

Reported Follow-up Status at End of Contact Year 2	US Born (N=2852)		20 + (N=6025)		11-19 (N=2932)		6-10 (N=2183)		0-5 (N=2249)		overall (N=16362)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	2671		5659		2756		2065		2118		15383	
Missing AFU forms ¹	24	0.9	47	0.8	9	0.3	8	0.4	2	0.1	103	0.7
Unknown Vital Status	156	5.8	188	3.3	131	4.8	109	5.3	131	6.2	739	4.8
Deceased	12	0.5	32	0.6	6	0.2	6	0.3	2	0.1	59	0.4
Contacted and Refused Interview	11	0.4	54	1.0	18	0.7	16	0.8	3	0.1	104	0.7
Contacted Other Respondent, Reported Alive	301	11.3	309	5.5	183	6.6	123	6.0	151	7.1	1081	7.0
Contacted and Interviewed	2167	81.1	5029	88.9	2409	87.4	1803	87.3	1829	86.4	13297	86.4
Complete AFU Interview ⁴	2094	78.4	4967	87.8	2372	86.1	1785	86.4	1803	85.1	13081	85.0
Partial AFU Interview ²	73	2.7	62	1.1	37	1.3	18	0.9	26	1.2	216	1.4
Core AFU Interview ³	62	84.9	49	79.0	25	67.6	15	83.3	21	80.8	172	79.6
Contact rate for follow-up⁵	2491	93.3	5424	95.9	2616	94.9	1948	94.3	1985	93.7	14541	94.5
Response rate for follow-up⁶	2167	81.5	5029	89.4	2409	87.6	1803	87.6	1829	86.4	13297	86.8
Eligible for next year follow-up⁷	2648	99.1	5573	98.5	2732	99.1	2043	98.9	2113	99.8	15220	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEA1,GHEA2,HOEA3).

(4) AFU form content completed (GHEA,HOEA,OPEA,MEEB,EVEA).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 2.

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Table 1.5 Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years)

Reported Follow-up Status at End of Contact Year 3	Bronx (N=4078)		Chicago (N=4110)		Miami (N=4044)		San Diego (N=4066)		Overall (N=16298)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	2247		2405		2115		2462		9229	
Missing AFU forms ¹	54	2.4	13	0.5	14	0.7	58	2.4	139	1.5
Unknown Vital Status	215	9.6	135	5.6	161	7.6	105	4.3	616	6.7
Deceased	10	0.5	5	0.2	15	0.7	7	0.3	37	0.4
Contacted and Refused Interview	14	0.6	26	1.1	10	0.5	15	0.6	65	0.7
Contacted Other Respondent, Reported Alive	262	11.7	154	6.4	114	5.4	152	6.2	682	7.4
Contacted and Interviewed Participant/Designated Respondent	1692	75.3	2072	86.2	1801	85.2	2125	86.3	7690	83.3
Complete AFU Interview ⁴	1670	74.3	2069	86.0	1748	82.7	1974	80.2	7461	80.8
Partial AFU Interview ²	22	1.3	3	0.1	53	2.9	151	7.1	229	3.0
Core AFU Interview ³	11	50.0	1	33.3	19	35.9	39	25.8	70	30.6
Contact rate for follow-up⁵	1978	88.0	2257	93.9	1940	91.7	2299	93.4	8474	91.8
Response rate for follow-up⁶	1692	75.6	2072	86.3	1801	85.8	2125	86.6	7690	83.7
Eligible for next year follow-up⁷	2223	98.9	2374	98.7	2090	98.8	2440	99.1	9127	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1, GHEB2, HOEA3 for participants and GHEA1 and HOEA3 only for designated respondents).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5a Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by gender

Reported Follow-up Status at End of Contact Year 3	Female (N=9770)		Male (N=6528)		Overall (N=16298)	
	N	%	N	%	N	%
Expected Number of Annual Interviews	5505		3724		9229	
Missing AFU forms¹	79	1.4	60	1.6	139	1.5
Unknown Vital Status	318	5.8	298	8.0	616	6.7
Deceased	9	0.2	28	0.8	37	0.4
Contacted and Refused Interview	37	0.7	28	0.8	65	0.7
Contacted Other Respondent, Reported Alive	368	6.7	314	8.4	682	7.4
Contacted and Interviewed	4694	85.3	2996	80.5	7690	83.3
Complete AFU Interview⁴	4557	82.8	2904	78.0	7461	80.8
Partial AFU Interview²	137	2.9	92	3.1	229	3.0
Core AFU Interview³	34	24.8	36	39.1	70	30.6
Contact rate for follow-up⁵	5108	92.8	3366	90.4	8474	91.8
Response rate for follow-up⁶	4694	85.4	2996	81.1	7690	83.7
Eligible for next year follow-up⁷	5459	99.2	3668	98.5	9127	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5b Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Place of Birth

Reported Follow-up Status at End of Contact Year 3	Foreign Born (N=13387)		US Born (N=2839)		Missing (N=72)		Overall (N=16298)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	7579		1605		45		9229	
Missing AFU forms¹	107	1.4	21	1.3	11	24.4	139	1.5
Unknown Vital Status	471	6.2	129	8.0	16	35.6	616	6.7
Deceased	33	0.4	4	0.3	0	0.0	37	0.4
Contacted and Refused Interview	50	0.7	15	0.9	0	0.0	65	0.7
Contacted Other Respondent, Reported Alive	502	6.6	178	11.1	2	4.4	682	7.4
Contacted and Interviewed	6416	84.7	1258	78.4	16	35.6	7690	83.3
Complete AFU Interview⁴	6240	82.3	1207	75.2	14	31.1	7461	80.8
Partial AFU Interview²	176	2.7	51	4.1	2	12.5	229	3.0
Core AFU Interview³	59	33.5	11	21.6	0	0.0	70	30.6
Contact rate for follow-up⁵	7001	92.4	1455	90.7	18	40.0	8474	91.8
Response rate for follow-up⁶	6416	85.0	1258	78.6	16	35.6	7690	83.7
Eligible for next year follow-up⁷	7496	98.9	1586	98.8	45	100.0	9127	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5c Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Employment Status

Reported Follow-up Status at End of Contact Year 3	Not Employed (N=7868)		Employed (N=8125)		Missing (N=305)		Overall (N=16298)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	4333		4685		211		9229	
Missing AFU forms ¹	66	1.5	46	1.0	27	12.8	139	1.5
Unknown Vital Status	268	6.2	314	6.7	34	16.1	616	6.7
Deceased	25	0.6	12	0.3	0	0.0	37	0.4
Contacted and Refused Interview	26	0.6	37	0.8	2	1.0	65	0.7
Contacted Other Respondent, Reported Alive	330	7.6	332	7.1	20	9.5	682	7.4
Contacted and Interviewed	3618	83.5	3944	84.2	128	60.7	7690	83.3
Complete AFU Interview ⁴	3504	80.9	3834	81.8	123	58.3	7461	80.8
Partial AFU Interview ²	114	3.2	110	2.8	5	3.9	229	3.0
Core AFU Interview ³	41	36.0	28	25.5	1	20.0	70	30.6
Contact rate for follow-up⁵	3999	92.3	4325	92.3	150	71.1	8474	91.8
Response rate for follow-up⁶	3618	84.0	3944	84.4	128	60.7	7690	83.7
Eligible for next year follow-up⁷	4282	98.8	4636	99.0	209	99.1	9127	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5d Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Age Group

Reported Follow-up Status at End of Contact Year 3	18-24 (N=1658)		25-44 (N=5020)		≥45 (N=9620)		Overall (N=16298)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	967		2856		5406		9229	
Missing AFU forms¹	18	1.9	33	1.2	88	1.6	139	1.5
Unknown Vital Status	111	11.5	248	8.7	257	4.8	616	6.7
Deceased	0	0.0	5	0.2	32	0.6	37	0.4
Contacted and Refused Interview	10	1.0	12	0.4	43	0.8	65	0.7
Contacted Other Respondent, Reported Alive	124	12.8	265	9.3	293	5.4	682	7.4
Contacted and Interviewed	704	72.8	2293	80.3	4693	86.8	7690	83.3
Complete AFU Interview⁴	669	69.2	2223	77.8	4569	84.5	7461	80.8
Partial AFU Interview²	35	5.0	70	3.1	124	2.6	229	3.0
Core AFU Interview³	11	31.4	20	28.6	39	31.5	70	30.6
Contact rate for follow-up⁵	838	86.7	2575	90.2	5061	93.6	8474	91.8
Response rate for follow-up⁶	704	72.8	2293	80.4	4693	87.3	7690	83.7
Eligible for next year follow-up⁷	957	99.0	2839	99.4	5331	98.6	9127	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5e Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Years Lived in US

Reported Follow-up Status at End of Contact Year 3	US Born (N=2839)		20 + (N=5992)		11-19 (N=2925)		6-10 (N=2176)		0-5 (N=2246)		overall (N=16298)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	1531		3193		1610		1141		1186		8733	
Missing AFU forms ¹	18	1.2	51	1.6	13	0.8	13	1.1	7	0.6	112	1.3
Unknown Vital Status	126	8.2	137	4.3	97	6.0	101	8.9	122	10.3	600	6.9
Deceased	4	0.3	20	0.6	5	0.3	3	0.3	4	0.3	36	0.4
Contacted and Refused Interview	15	1.0	23	0.7	13	0.8	8	0.7	3	0.3	64	0.7
Contacted Other Respondent, Reported Alive	171	11.2	197	6.2	120	7.5	83	7.3	77	6.5	653	7.5
Contacted and Interviewed	1197	78.2	2765	86.6	1362	84.6	933	81.8	973	82.0	7268	83.2
Complete AFU Interview ⁴	1147	74.9	2690	84.3	1332	82.7	902	79.1	945	79.7	7051	80.7
Partial AFU Interview ²	50	4.2	75	2.7	30	2.2	31	3.3	28	2.9	217	3.0
Core AFU Interview ³	11	22.0	23	30.7	11	36.7	10	32.3	6	21.4	61	28.1
Contact rate for follow-up⁵	1387	90.6	3005	94.1	1500	93.2	1027	90.0	1057	89.1	8021	91.9
Response rate for follow-up⁶	1197	78.4	2765	87.1	1362	84.9	933	82.0	973	82.3	7268	83.6
Eligible for next year follow-up⁷	1512	98.8	3150	98.7	1592	98.9	1130	99.0	1179	99.4	8633	98.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5f Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Years Lived in US for Age Group 18-24

Reported Follow-up Status at End of Contact Year 3	US Born (N=892)		20 + (N=51)		11-19 (N=199)		6-10 (N=181)		0-5 (N=324)		overall (N=1658)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	494		39		121		101		206		967	
Missing AFU forms¹	11	2.2	0	0.0	2	1.7	2	2.0	2	1.0	18	1.9
Unknown Vital Status	54	10.9	3	7.7	6	5.0	12	11.9	35	17.0	111	11.5
Deceased	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Contacted and Refused Interview	5	1.0	2	5.1	2	1.7	0	0.0	1	0.5	10	1.0
Contacted Other Respondent, Reported Alive	67	13.6	5	12.8	14	11.6	12	11.9	25	12.1	124	12.8
Contacted and Interviewed	357	72.3	29	74.4	97	80.2	75	74.3	143	69.4	704	72.8
Complete AFU Interview⁴	336	68.0	24	61.5	93	76.9	74	73.3	140	68.0	669	69.2
Partial AFU Interview²	21	5.9	5	17.2	4	4.1	1	1.3	3	2.1	35	5.0
Core AFU Interview³	5	23.8	5	100.0	1	25.0	0	0.0	0	0.0	11	31.4
Contact rate for follow-up⁵	429	86.8	36	92.3	113	93.4	87	86.1	169	82.0	838	86.7
Response rate for follow-up⁶	357	72.3	29	74.4	97	80.2	75	74.3	143	69.4	704	72.8
Eligible for next year follow-up⁷	489	99.0	37	94.9	119	98.4	101	100.0	205	99.5	957	99.0

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5g Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Years Lived in US for Age Group 25-44

Reported Follow-up Status at End of Contact Year 3	US Born (N=1043)		20 + (N=884)		11-19 (N=1172)		6-10 (N=1002)		0-5 (N=884)		overall (N=5020)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	589		502		673		568		506		2856	
Missing AFU forms¹	6	1.0	10	2.0	6	0.9	6	1.1	4	0.8	33	1.2
Unknown Vital Status	44	7.5	37	7.4	46	6.8	59	10.4	54	10.7	248	8.7
Deceased	1	0.2	1	0.2	0	0.0	0	0.0	3	0.6	5	0.2
Contacted and Refused Interview	7	1.2	1	0.2	2	0.3	2	0.4	0	0.0	12	0.4
Contacted Other Respondent, Reported Alive	78	13.2	43	8.6	63	9.4	47	8.3	34	6.7	265	9.3
Contacted and Interviewed	453	76.9	410	81.7	556	82.6	454	79.9	411	81.2	2293	80.3
Complete AFU Interview⁴	431	73.2	399	79.5	547	81.3	439	77.3	398	78.7	2223	77.8
Partial AFU Interview²	22	4.9	11	2.7	9	1.6	15	3.3	13	3.2	70	3.1
Core AFU Interview³	4	18.2	4	36.4	3	33.3	5	33.3	4	30.8	20	28.6
Contact rate for follow-up⁵	539	91.5	455	90.6	621	92.3	503	88.6	448	88.5	2575	90.2
Response rate for follow-up⁶	453	77.0	410	81.8	556	82.6	454	79.9	411	81.7	2293	80.4
Eligible for next year follow-up⁷	581	98.6	500	99.6	671	99.7	566	99.7	503	99.4	2839	99.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.5h Third Annual Follow-up Response for Participants past the Year 3 Contact Window (Baseline visit + 3.5 years) by Years Lived in US for Age Group 45+

Reported Follow-up Status at End of Contact Year 3	US Born (N=904)		20 + (N=5057)		11-19 (N=1554)		6-10 (N=993)		0-5 (N=1038)		overall (N=9620)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	522		2846		899		537		551		5406	
Missing AFU forms ¹	4	0.8	51	1.8	8	0.9	8	1.5	7	1.3	88	1.6
Unknown Vital Status	31	5.9	103	3.6	48	5.3	32	6.0	35	6.4	257	4.8
Deceased	3	0.6	20	0.7	5	0.6	3	0.6	1	0.2	32	0.6
Contacted and Refused Interview	3	0.6	21	0.7	9	1.0	6	1.1	2	0.4	43	0.8
Contacted Other Respondent, Reported Alive	33	6.3	159	5.6	48	5.3	28	5.2	21	3.8	293	5.4
Contacted and Interviewed	448	85.8	2492	87.6	781	86.9	460	85.7	485	88.0	4693	86.8
Complete AFU Interview ⁴	440	84.3	2426	85.2	764	85.0	444	82.7	470	85.3	4569	84.5
Partial AFU Interview ²	8	1.8	66	2.7	17	2.2	16	3.5	15	3.1	124	2.6
Core AFU Interview ³	2	25.0	20	30.3	7	41.2	6	37.5	4	26.7	39	31.5
Contact rate for follow-up ⁵	487	93.3	2692	94.6	843	93.8	497	92.6	509	92.4	5061	93.6
Response rate for follow-up ⁶	448	86.3	2492	88.2	781	87.4	460	86.1	485	88.2	4693	87.3
Eligible for next year follow-up ⁷	516	98.9	2805	98.6	885	98.4	528	98.3	548	99.5	5331	98.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 3.

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Table 1.6 Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years)

Reported Follow-up Status at End of Contact Year 4	Bronx (N=4065)		Chicago (N=4102)		Miami (N=4026)		San Diego (N=4058)		Overall (N=16251)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	903		962		618		1086		3569	
Missing AFU forms ¹	53	5.9	14	1.5	0	0.0	42	3.9	109	3.1
Unknown Vital Status	103	11.4	98	10.2	48	7.8	62	5.7	311	8.7
Deceased	4	0.4	1	0.1	6	1.0	4	0.4	15	0.4
Contacted and Refused Interview	3	0.3	13	1.4	10	1.6	6	0.6	32	0.9
Contacted Other Respondent, Reported Alive	111	12.3	67	7.0	33	5.3	88	8.1	299	8.4
Contacted and Interviewed Participant/Designated Respondent	629	69.7	769	79.9	521	84.3	884	81.4	2803	78.5
Complete AFU Interview ⁴	615	68.1	768	79.8	512	82.9	826	76.1	2721	76.2
Partial AFU Interview ²	14	2.2	1	0.1	9	1.7	58	6.6	82	2.9
Core AFU Interview ³	2	14.3	1	100.0	5	55.6	47	81.0	55	67.1
Contact rate for follow-up⁵	747	82.7	850	88.4	570	92.2	982	90.4	3149	88.2
Response rate for follow-up⁶	629	70.0	769	80.0	521	85.1	884	81.7	2803	78.9
Eligible for next year follow-up⁷	896	99.2	948	98.5	602	97.4	1076	99.1	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1, GHEB2, HOEA3 for participants and GHEA1 and HOEA3 only for designated respondents).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed, Denominator: expected number of Interviews from Cohort not Deceased.

(7) number of AFU interviews for year 4.

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Table 1.6a Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by gender

Reported Follow-up Status at End of Contact Year 4	Female (N=9758)		Male (N=6493)		Overall (N=16251)	
	N	%	N	%	N	%
Expected Number of Annual Interviews	2173		1396		3569	
Missing AFU forms¹	56	2.6	53	3.8	109	3.1
Unknown Vital Status	164	7.6	147	10.5	311	8.7
Deceased	6	0.3	9	0.6	15	0.4
Contacted and Refused Interview	16	0.7	16	1.2	32	0.9
Contacted Other Respondent, Reported Alive	182	8.4	117	8.4	299	8.4
Contacted and Interviewed	1749	80.5	1054	75.5	2803	78.5
Complete AFU Interview⁴	1700	78.2	1021	73.1	2721	76.2
Partial AFU Interview²	49	2.8	33	3.1	82	2.9
Core AFU Interview³	27	55.1	28	84.9	55	67.1
Contact rate for follow-up⁵	1953	89.9	1196	85.7	3149	88.2
Response rate for follow-up⁶	1749	80.7	1054	76.0	2803	78.9
Eligible for next year follow-up⁷	2151	99.0	1371	98.2	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6b Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Place of Birth

Reported Follow-up Status at End of Contact Year 4	Foreign Born (N=13346)		US Born (N=2833)		Missing (N=72)		Overall (N=16251)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	2887		657		25		3569	
Missing AFU forms ¹	80	2.8	25	3.8	4	16.0	109	3.1
Unknown Vital Status	244	8.5	61	9.3	6	24.0	311	8.7
Deceased	12	0.4	3	0.5	0	0.0	15	0.4
Contacted and Refused Interview	28	1.0	4	0.6	0	0.0	32	0.9
Contacted Other Respondent, Reported Alive	223	7.7	76	11.6	0	0.0	299	8.4
Contacted and Interviewed	2300	79.7	488	74.3	15	60.0	2803	78.5
Complete AFU Interview ⁴	2246	77.8	461	70.2	14	56.0	2721	76.2
Partial AFU Interview ²	54	2.4	27	5.5	1	6.7	82	2.9
Core AFU Interview ³	33	61.1	21	77.8	1	100.0	55	67.1
Contact rate for follow-up⁵	2563	88.8	571	86.9	15	60.0	3149	88.2
Response rate for follow-up⁶	2300	80.0	488	74.6	15	60.0	2803	78.9
Eligible for next year follow-up⁷	2847	98.6	650	98.9	25	100.0	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6c Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Employment Status

Reported Follow-up Status at End of Contact Year 4	Not Employed (N=7838)		Employed (N=8108)		Missing (N=305)		Overall (N=16251)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	1588		1914		67		3569	
Missing AFU forms ¹	50	3.2	47	2.5	12	17.9	109	3.1
Unknown Vital Status	133	8.4	165	8.6	13	19.4	311	8.7
Deceased	13	0.8	2	0.1	0	0.0	15	0.4
Contacted and Refused Interview	9	0.6	22	1.2	1	1.5	32	0.9
Contacted Other Respondent, Reported Alive	142	8.9	149	7.8	8	11.9	299	8.4
Contacted and Interviewed	1241	78.2	1529	79.9	33	49.3	2803	78.5
Complete AFU Interview ⁴	1209	76.1	1481	77.4	31	46.3	2721	76.2
Partial AFU Interview ²	32	2.6	48	3.1	2	6.1	82	2.9
Core AFU Interview ³	20	62.5	34	70.8	1	50.0	55	67.1
Contact rate for follow-up⁵	1405	88.5	1702	88.9	42	62.7	3149	88.2
Response rate for follow-up⁶	1241	78.8	1529	80.0	33	49.3	2803	78.9
Eligible for next year follow-up⁷	1566	98.6	1890	98.8	66	98.5	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6d Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Age Group

Reported Follow-up Status at End of Contact Year 4	18-24 (N=1658)		25-44 (N=5013)		≥45 (N=9580)		Overall (N=16251)	
	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	336		1026		2207		3569	
Missing AFU forms¹	12	3.6	29	2.8	68	3.1	109	3.1
Unknown Vital Status	40	11.9	121	11.8	150	6.8	311	8.7
Deceased	0	0.0	2	0.2	13	0.6	15	0.4
Contacted and Refused Interview	5	1.5	8	0.8	19	0.9	32	0.9
Contacted Other Respondent, Reported Alive	51	15.2	108	10.5	140	6.3	299	8.4
Contacted and Interviewed	228	67.9	758	73.9	1817	82.3	2803	78.5
Complete AFU Interview⁴	211	62.8	728	71.0	1782	80.7	2721	76.2
Partial AFU Interview²	17	7.5	30	4.0	35	1.9	82	2.9
Core AFU Interview³	12	70.6	24	80.0	19	54.3	55	67.1
Contact rate for follow-up⁵	284	84.5	876	85.4	1989	90.1	3149	88.2
Response rate for follow-up⁶	228	67.9	758	74.0	1817	82.8	2803	78.9
Eligible for next year follow-up⁷	331	98.5	1016	99.0	2175	98.6	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6e Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Years Lived in US

Reported Follow-up Status at End of Contact Year 4	US Born (N=2833)		20 + (N=5966)		11-19 (N=2919)		6-10 (N=2173)		0-5 (N=2240)		overall (N=16251)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	657		1420		645		398		415		3569	
Missing AFU forms ¹	25	3.8	48	3.4	15	2.3	9	2.3	8	1.9	109	3.1
Unknown Vital Status	61	9.3	92	6.5	55	8.5	43	10.8	52	12.5	311	8.7
Deceased	3	0.5	8	0.6	4	0.6	0	0.0	0	0.0	15	0.4
Contacted and Refused Interview	4	0.6	12	0.9	9	1.4	5	1.3	2	0.5	32	0.9
Contacted Other Respondent, Reported Alive	76	11.6	119	8.4	41	6.4	25	6.3	37	8.9	299	8.4
Contacted and Interviewed	488	74.3	1141	80.4	521	80.8	316	79.4	316	76.1	2803	78.5
Complete AFU Interview ⁴	461	70.2	1112	78.3	513	79.5	309	77.6	306	73.7	2721	76.2
Partial AFU Interview ²	27	5.5	29	2.5	8	1.5	7	2.2	10	3.2	82	2.9
Core AFU Interview ³	21	77.8	13	44.8	7	87.5	6	85.7	7	70.0	55	67.1
Contact rate for follow-up⁵	571	86.9	1280	90.1	575	89.2	346	86.9	355	85.5	3149	88.2
Response rate for follow-up⁶	488	74.6	1141	80.8	521	81.3	316	79.4	316	76.1	2803	78.9
Eligible for next year follow-up⁷	650	98.9	1400	98.6	632	98.0	393	98.7	413	99.5	3522	98.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6f Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Years Lived in US for Age Group 18-24

Reported Follow-up Status at End of Contact Year 4	US Born (N=892)		20 + (N=51)		11-19 (N=199)		6-10 (N=181)		0-5 (N=324)		overall (N=1658)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	171		14		47		30		70		336	
Missing AFU forms ¹	6	3.5	2	14.3	1	2.1	1	3.3	2	2.9	12	3.6
Unknown Vital Status	17	9.9	0	0.0	5	10.6	5	16.7	12	17.1	40	11.9
Deceased	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Contacted and Refused Interview	0	0.0	0	0.0	4	8.5	1	3.3	0	0.0	5	1.5
Contacted Other Respondent, Reported Alive	33	19.3	1	7.1	3	6.4	2	6.7	11	15.7	51	15.2
Contacted and Interviewed	115	67.3	11	78.6	34	72.3	21	70.0	45	64.3	228	67.9
Complete AFU Interview ⁴	106	62.0	10	71.4	31	66.0	21	70.0	42	60.0	211	62.8
Partial AFU Interview ²	9	7.8	1	9.1	3	8.8	0	0.0	3	6.7	17	7.5
Core AFU Interview ³	7	77.8	1	100.0	2	66.7	0	0.0	1	33.3	12	70.6
Contact rate for follow-up⁵	148	86.6	12	85.7	41	87.2	24	80.0	56	80.0	284	84.5
Response rate for follow-up⁶	115	67.3	11	78.6	34	72.3	21	70.0	45	64.3	228	67.9
Eligible for next year follow-up⁷	171	100.0	14	100.0	43	91.5	29	96.7	70	100.0	331	98.5

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6g Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Years Lived in US for Age Group 25-44

Reported Follow-up Status at End of Contact Year 4	US Born (N=1041)		20 + (N=883)		11-19 (N=1171)		6-10 (N=1002)		0-5 (N=881)		overall (N=5013)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	247		176		242		183		171		1026	
Missing AFU forms¹	11	4.5	6	3.4	6	2.5	4	2.2	2	1.2	29	2.8
Unknown Vital Status	27	10.9	21	11.9	23	9.5	24	13.1	22	12.9	121	11.8
Deceased	1	0.4	0	0.0	1	0.4	0	0.0	0	0.0	2	0.2
Contacted and Refused Interview	1	0.4	0	0.0	2	0.8	3	1.6	2	1.2	8	0.8
Contacted Other Respondent, Reported Alive	27	10.9	20	11.4	28	11.6	16	8.7	17	9.9	108	10.5
Contacted and Interviewed	180	72.9	129	73.3	182	75.2	136	74.3	128	74.9	758	73.9
Complete AFU Interview⁴	166	67.2	122	69.3	179	74.0	133	72.7	125	73.1	728	71.0
Partial AFU Interview²	14	7.8	7	5.4	3	1.7	3	2.2	3	2.3	30	4.0
Core AFU Interview³	12	85.7	4	57.1	3	100.0	2	66.7	3	100.0	24	80.0
Contact rate for follow-up⁵	209	84.6	149	84.7	213	88.0	155	84.7	147	86.0	876	85.4
Response rate for follow-up⁶	180	73.2	129	73.3	182	75.5	136	74.3	128	74.9	758	74.0
Eligible for next year follow-up⁷	245	99.2	176	100.0	239	98.8	180	98.4	169	98.8	1016	99.0

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.6h Fourth Annual Follow-up Response for Participants past the Year 4 Contact Window (Baseline visit + 4.5 years) by Years Lived in US for Age Group 45+

Reported Follow-up Status at End of Contact Year 4	US Born (N=900)		20 + (N=5032)		11-19 (N=1549)		6-10 (N=990)		0-5 (N=1035)		overall (N=9580)	
	N	%	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	239		1230		356		185		174		2207	
Missing AFU forms¹	8	3.4	40	3.3	8	2.3	4	2.2	4	2.3	68	3.1
Unknown Vital Status	17	7.1	71	5.8	27	7.6	14	7.6	18	10.3	150	6.8
Deceased	2	0.8	8	0.7	3	0.8	0	0.0	0	0.0	13	0.6
Contacted and Refused Interview	3	1.3	12	1.0	3	0.8	1	0.5	0	0.0	19	0.9
Contacted Other Respondent, Reported Alive	16	6.7	98	8.0	10	2.8	7	3.8	9	5.2	140	6.3
Contacted and Interviewed	193	80.8	1001	81.4	305	85.7	159	86.0	143	82.2	1817	82.3
Complete AFU Interview⁴	189	79.1	980	79.7	303	85.1	155	83.8	139	79.9	1782	80.7
Partial AFU Interview²	4	2.1	21	2.1	2	0.7	4	2.5	4	2.8	35	1.9
Core AFU Interview³	2	50.0	8	38.1	2	100.0	4	100.0	3	75.0	19	54.3
Contact rate for follow-up⁵	214	89.5	1119	91.0	321	90.2	167	90.3	152	87.4	1989	90.1
Response rate for follow-up⁶	193	81.4	1001	81.9	305	86.4	159	86.0	143	82.2	1817	82.8
Eligible for next year follow-up⁷	234	97.9	1210	98.4	350	98.3	184	99.5	174	100.0	2175	98.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) AFU Missing: no forms present in database with data reported.

(2) Respondents with vital status but missing general health or hospitalization questions.

(3) Respondents with vital status and hospitalization information (GHEB1,GHEB2,HOEA3).

(4) AFU form content completed (GHEB,HOEA,OPEA,MEEC,EVEB).

(5) Numerator: Number of expected AFU interviews minus Missing or Unknown status, Denominator: expected number of AFU Interviews.

(6) Numerator: Number contacted and interviewed directly, Denominator: expected number of Interviews from Cohort not Deceased.

(7) Numerator: Number not deceased or refused, Denominator: expected number of AFU interviews for year 4.

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Table 1.7b Expected and Attempted Number of Second Annual Follow-up Interviews by Field Center

All study participants who are eligible for Annual Follow-up Contact Year 2

Status of Follow-Up	<u>Bronx</u> (N=4102)		<u>Chicago</u> (N=4124)		<u>Miami</u> (N=4062)		<u>San Diego</u> (N=4074)		<u>Overall</u> (N=16362)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	4102	100.0	4124	100.0	4062	100.0	4074	100.0	16362	100.0
Attempted Number of Interviews¹	4070	99.2	4116	99.8	4061	100.0	4031	98.9	16278	99.5
Pending	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Tracing	30	0.7	30	0.7	13	0.3	10	0.3	83	0.5
Alive/not contacted - attempt in same year	40	1.0	52	1.3	9	0.2	32	0.8	133	0.8
Alive/not contacted - contact not possible this year	384	9.4	233	5.7	124	3.1	312	7.7	1053	6.5
Refusals²	26	0.6	28	0.7	33	0.8	23	0.6	110	0.7
Deceased²	24	0.6	13	0.3	18	0.4	8	0.2	63	0.4
Unknown²	282	6.9	151	3.7	197	4.9	101	2.5	731	4.5
Partial Interview/reschedule²	13	0.3	9	0.2	4	0.1	6	0.2	32	0.2
Completed Interviews - Participant²	3253	79.9	3565	86.6	3643	89.7	3483	86.4	13944	85.7
Completed Interviews - Informant²	18	0.4	35	0.9	20	0.5	56	1.4	129	0.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) Based on number of Annual Follow-Up Tracking Forms submitted.

(2) AFT coding requires and Annual Follow-UP (GHEA part of AFU) form to be entered.

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Table 1.7c Expected and Attempted Number of Third Annual Follow-up Interviews by Field Center

All study participants who are eligible for Annual Follow-up Contact Year 3

Status of Follow-Up	Bronx (N=4078)		Chicago (N=4110)		Miami (N=4044)		San Diego (N=4066)		Overall (N=16298)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	3206	78.6	3103	75.5	3122	77.2	3281	80.7	12712	78.0
Attempted Number of Interviews¹	3081	96.1	2877	92.7	3085	98.8	3166	96.5	12209	96.0
Pending	0	0.0	0	0.0	1	0.0	0	0.0	1	0.0
Tracing	159	5.2	46	1.6	209	6.8	74	2.3	488	4.0
Alive/not contacted - attempt in same year	118	3.8	32	1.1	81	2.6	111	3.5	342	2.8
Alive/not contacted - contact not possible this year	252	8.2	155	5.4	116	3.8	263	8.3	786	6.4
Refusals²	17	0.6	25	0.9	11	0.4	16	0.5	69	0.6
Deceased²	12	0.4	8	0.3	18	0.6	8	0.3	46	0.4
Unknown²	207	6.7	137	4.8	158	5.1	105	3.3	607	5.0
Partial Interview/reschedule²	60	2.0	1	0.0	31	1.0	4	0.1	96	0.8
Completed Interviews - Participant²	2244	72.8	2469	85.8	2438	79.0	2532	80.0	9683	79.3
Completed Interviews - Informant²	12	0.4	4	0.1	22	0.7	53	1.7	91	0.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) Based on number of Annual Follow-Up Tracking Forms submitted.

(2) AFT coding requires and Annual Follow-UP (GHEA part of AFU) form to be entered.

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Table 1.7d Expected and Attempted Number of Fourth Annual Follow-up Interviews by Field Center

All study participants who are eligible for Annual Follow-up Contact Year 4

Status of Follow-Up	Bronx (N=4065)		Chicago (N=4102)		Miami (N=4026)		San Diego (N=4058)		Overall (N=16251)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	1546	38.0	1884	45.9	1442	35.8	1967	48.5	6839	42.1
Attempted Number of Interviews¹	1444	93.4	1645	87.3	1401	97.2	1876	95.4	6366	93.1
Pending	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Tracing	150	10.4	77	4.7	93	6.6	100	5.3	420	6.6
Alive/not contacted - attempt in same year	74	5.1	40	2.4	101	7.2	148	7.9	363	5.7
Alive/not contacted - contact not possible this year	104	7.2	65	4.0	36	2.6	96	5.1	301	4.7
Refusals²	6	0.4	26	1.6	13	0.9	7	0.4	52	0.8
Deceased²	6	0.4	2	0.1	8	0.6	8	0.4	24	0.4
Unknown²	92	6.4	97	5.9	49	3.5	63	3.4	301	4.7
Partial Interview/reschedule²	28	1.9	0	0.0	7	0.5	1	0.1	36	0.6
Completed Interviews - Participant²	975	67.5	1337	81.3	1076	76.8	1394	74.3	4782	75.1
Completed Interviews - Informant²	9	0.6	1	0.1	18	1.3	59	3.1	87	1.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) Based on number of Annual Follow-Up Tracking Forms submitted.

(2) AFT coding requires and Annual Follow-UP (GHEA part of AFU) form to be entered.

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Table 1.7e Expected and Attempted Number of Fifth Annual Follow-up Interviews by Field Center

All study participants who are eligible for Annual Follow-up Contact Year 5

Status of Follow-Up	Bronx (N=4059)		Chicago (N=4100)		Miami (N=4018)		San Diego (N=4050)		Overall (N=16227)	
	N	%	N	%	N	%	N	%	N	%
Expected Number of Annual Interviews	440	10.8	376	9.2	357	8.9	484	12.0	1657	10.2
Attempted Number of Interviews¹	362	82.3	245	65.2	352	98.6	418	86.4	1377	83.1
Pending	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Tracing	61	16.9	21	8.6	67	19.0	74	17.7	223	16.2
Alive/not contacted - attempt in same year	55	15.2	4	1.6	33	9.4	61	14.6	153	11.1
Alive/not contacted - contact not possible this year	0	0.0	5	2.0	7	2.0	0	0.0	12	0.9
Refusals²	2	0.6	0	0.0	7	2.0	1	0.2	10	0.7
Deceased²	1	0.3	1	0.4	3	0.9	3	0.7	8	0.6
Unknown²	2	0.6	9	3.7	12	3.4	1	0.2	24	1.7
Partial Interview/reschedule²	15	4.1	0	0.0	0	0.0	2	0.5	17	1.2
Completed Interviews - Participant²	225	62.2	205	83.7	222	63.1	272	65.1	924	67.1
Completed Interviews - Informant²	1	0.3	0	0.0	1	0.3	4	1.0	6	0.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

(1) Based on number of Annual Follow-Up Tracking Forms submitted.

(2) AFT coding requires and Annual Follow-UP (GHEA part of AFU) form to be entered.

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Table 1.7f Mode of Interview (Phone or In-person) for Completed AFU interviews by AFU Year

Interviewer Location	AFU Year 3 (N=9870) ¹				AFU Year 4 (N=4905) ¹				AFU Year 5 (N=947) ¹				Overall (N=15722) ¹			
	Phone		In-person		Phone		In-person		Phone		In-person		Phone		In-person	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Number of Completed Using AFTB²	2468		34		2239		54		928		17		5635		105	
Participant's Home	14	0.6	28	1.1	14	0.6	51	2.2	5	0.5	17	1.8	33	0.6	96	1.7
Clinic	2454	98.1	6	0.2	2225	97.0	3	0.1	923	97.7	0	0.0	5602	97.6	9	0.2

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

¹ Number of interviews completed using Annual follow up tracking form (AFTA) version A or B.

² Completed using AFTA version B, where interview mode and interviewer location were added. Excludes AFT version B records missing AFTB0C or AFTB0D.

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Table 1.8b Number of Second Annual Follow-Up Interviews by Center

Only study participants who are past the Annual Follow-up Contact Year 2 window (baseline visit + 2.5 years)

Interview Component	<u>Bronx</u>			<u>Chicago</u>			<u>Miami</u>			<u>San Diego</u>			<u>Overall</u>		
	<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>	
	N	N	%	N	N	%	N	N	%	N	N	%	N	N	%
Expected Number of Annual Interviews	3852			3852			3812			3867			15383		
Annual Follow-Up															
GHE - General Health¹	3852	3812	99.0	3852	3835	99.6	3812	3812	100.0	3867	3821	98.8	15383	15280	99.3
HOE - Hospitalization/Emergency Dept. Events²	3086	3063	99.3	3412	3406	99.8	3444	3439	99.9	3383	3369	99.6	13325	13277	99.6
OPE - Out Patient Conditions²	3074	3052	99.3	3408	3406	99.9	3439	3429	99.7	3376	3356	99.4	13297	13243	99.6
EVE - Self-Reported Events²	3074	3055	99.4	3408	3403	99.9	3439	3428	99.7	3376	3329	98.6	13297	13215	99.4
MEE - Medications²	3074	2962	96.4	3408	3399	99.7	3439	3423	99.5	3376	3344	99.1	13297	13128	98.7
CIE - Contact Information³	3788	3768	99.5	3824	3822	99.9	3795	3793	99.9	3814	3813	100.0	15221	15196	99.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Expected number of interviews is based on the number of participants within the window for annual follow-up contacts.

(1) To be completed for all participants where an AFU is expected, and is observed if General Health section of AFU present with a valid value for question GHEA1.

(2) Expected only if participant was contacted and alive (GHEA1=1). Denominator is number of AFU interviews.

(3) Expected only if participant was NOT reported as deceased (GHEA1=1,2,3,9). Denominator is number of AFU interviews.

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Table 1.8c Number of Third Annual Follow-Up Interviews by Center
Only study participants past the Annual Follow-up Year 3 window (baseline visit + 3.5 years)

Interview Component	<u>Bronx</u>			<u>Chicago</u>			<u>Miami</u>			<u>San Diego</u>			<u>Overall</u>		
	<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>	
	N	N	%	N	N	%	N	N	%	N	N	%	N	N	%
Expected Number of Annual Interviews	2247			2405			2115			2462			9229		
Annual Follow-Up															
GHE - General Health¹	2247	2193	97.6	2405	2392	99.5	2115	2101	99.3	2462	2404	97.6	9229	9090	98.5
HOE - Hospitalization/Emergency Dept. Events²	1692	1682	99.4	2072	2071	100.0	1801	1774	98.5	2125	2006	94.4	7690	7533	98.0
OPE - Out Patient Conditions²	1692	1680	99.3	2072	2071	100.0	1801	1760	97.7	2125	1991	93.7	7690	7502	97.6
EVE - Self-Reported Events²	1692	1684	99.5	2072	2069	99.9	1801	1756	97.5	2125	1983	93.3	7690	7492	97.4
MEE - Medications²	1692	1679	99.2	2072	2071	100.0	1801	1755	97.4	2125	1993	93.8	7690	7498	97.5
CBE - place of Birth²	1692	1679	99.2	2072	2069	99.9	1801	1749	97.1	2125	1964	92.4	7690	7461	97.0
CIE - Contact Information³	2183	2052	94.0	2387	0	0.0	2086	2052	98.4	2397	2366	98.7	9053	6470	71.5

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Expected number of interviews is based on the number of participants within the window for annual follow-up contacts.

(1) To be completed for all participants where an AFU is expected, and is observed if General Health section of AFU present with a valid value for question GHEA1.

(2) Expected only if participant was contacted and alive (GHEB1=1) or if Designated respondent contacted, reported alive (GHEB1=3). Denominator is number of expected interviews.

(3) Expected only if participant was NOT reported as deceased (GHEB1=1,2,3,9). Denominator is number of expected interviews.

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Table 1.8d Number of Fourth Annual Follow-Up Interviews by Center
Only study participants past the Annual Follow-up Year 4 window (baseline visit + 4.5 years)

Interview Component	<u>Bronx</u>			<u>Chicago</u>			<u>Miami</u>			<u>San Diego</u>			<u>Overall</u>		
	<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>	
	N	N	%	N	N	%	N	N	%	N	N	%	N	N	%
Expected Number of Annual Interviews	903			962			618			1086			3569		
Annual Follow-Up															
GHE - General Health¹	903	850	94.1	962	948	98.5	618	618	100.0	1086	1044	96.1	3569	3460	96.9
HOE - Hospitalization/Emergency Dept. Events²	629	620	98.6	769	769	100.0	521	517	99.2	884	874	98.9	2803	2780	99.2
OPE - Out Patient Conditions²	629	621	98.7	769	769	100.0	521	514	98.7	884	837	94.7	2803	2741	97.8
EVE - Self-Reported Events²	629	620	98.6	769	769	100.0	521	512	98.3	884	826	93.4	2803	2727	97.3
MEE - Medications²	629	619	98.4	769	768	99.9	521	513	98.5	884	835	94.5	2803	2735	97.6
CIE - Contact Information³	846	754	89.1	947	0	0.0	612	589	96.2	1040	1026	98.7	3445	2369	68.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Expected number of interviews is based on the number of participants within the window for annual follow-up contacts.

(1) To be completed for all participants where an AFU is expected, and is observed if General Health section of AFU present with a valid value for question GHEA1.

(2) Expected only if participant was contacted and alive (GHEB1=1) or if Designated respondent contacted, reported alive (GHEB1=3). Denominator is number of expected interviews.

(3) Expected only if participant was NOT reported as deceased (GHEB1=1,2,3,9). Denominator is number of expected interviews.

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Table 1.8e Number of Fifth Annual Follow-Up Interviews by Center
Only study participants past the Annual Follow-up Year 5 window (baseline visit + 4.5 years)

Interview Component	<u>Bronx</u>			<u>Chicago</u>			<u>Miami</u>			<u>San Diego</u>			<u>Overall</u>		
	<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>		<u>Expected</u>	<u>Completed</u>	
	N	N	%	N	N	%	N	N	%	N	N	%	N	N	%
Expected Number of Annual Interviews	9			14			34			7			64		
Annual Follow-Up															
GHE - General Health¹	9	9	100.0	14	12	85.7	34	34	100.0	7	7	100.0	64	62	96.9
HOE - Hospitalization/Emergency Dept. Events²	8	8	100.0	8	8	100.0	25	24	96.0	6	6	100.0	47	46	97.9
OPE - Out Patient Conditions²	8	8	100.0	8	8	100.0	25	25	100.0	6	6	100.0	47	47	100.0
EVE - Self-Reported Events²	8	8	100.0	8	8	100.0	25	25	100.0	6	6	100.0	47	47	100.0
MEE - Medications²	8	8	100.0	8	8	100.0	25	25	100.0	6	6	100.0	47	47	100.0
CIE - Contact Information³	9	5	55.6	12	0	0.0	34	31	91.2	7	7	100.0	62	43	69.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Expected number of interviews is based on the number of participants within the window for annual follow-up contacts.

(1) To be completed for all participants where an AFU is expected, and is observed if General Health section of AFU present with a valid value for question GHEA1.

(2) Expected only if participant was contacted and alive (GHEB1=1) or if Designated respondent contacted, reported alive (GHEB1=3). Denominator is number of expected interviews.

(3) Expected only if participant was NOT reported as deceased (GHEB1=1,2,3,9). Denominator is number of expected interviews.

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Table 2.1 Hospitalization and Emergency Department Visits* by Center

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Participant-AFU Interviews	12707		12756		12497		12974		50934	
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	951	100.0	660	100.0	552	100.0	563	100.0	2726	100.0
Number of Participants with multiple Hospital/Emergency Dept. Admissions	180	18.9	120	18.2	87	15.8	80	14.2	467	17.1
Total Hospital/Emergency Dept. Admissions	3286		2434		2319		2115		10154	
Emergency Department	1929		1431		1103		1189		5652	
Myocardial infarction, heart attack	6	0.3	3	0.2	1	0.1	11	0.9	21	0.4
Angina, chest pain	90	4.7	63	4.4	47	4.3	26	2.2	226	4.0
Heart failure	4	0.2	1	0.1	8	0.7	5	0.4	18	0.3
Stroke or TIA	7	0.4	1	0.1	6	0.5	13	1.1	27	0.5
Peripheral vascular disease	4	0.2	1	0.1	5	0.5	2	0.2	12	0.2
Venous thrombosis or pulmonary embolism	3	0.2	1	0.1	2	0.2	0	0.0	6	0.1
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	18	0.9	8	0.6	12	1.1	4	0.3	42	0.7
Asthma	149	7.7	35	2.5	38	3.5	13	1.1	235	4.2
Other	1642	85.1	1318	92.1	982	89.0	1113	93.6	5055	89.4
Hospitalizations	495		419		439		646		1999	
Myocardial infarction, heart attack	2	0.4	1	0.2	9	2.1	9	1.4	21	1.1
Angina, chest pain	15	3.0	12	2.9	14	3.2	10	1.6	51	2.6
Heart failure	3	0.6	0	0.0	9	2.1	11	1.7	23	1.2
Stroke or TIA	7	1.4	1	0.2	7	1.6	9	1.4	24	1.2
Peripheral vascular disease	5	1.0	3	0.7	6	1.4	3	0.5	17	0.9
Venous thrombosis or pulmonary embolism	2	0.4	1	0.2	1	0.2	2	0.3	6	0.3
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	1	0.2	2	0.5	2	0.5	0	0.0	5	0.3
Asthma	20	4.0	2	0.5	3	0.7	4	0.6	29	1.5
Other	439	88.7	397	94.8	387	88.2	598	92.6	1821	91.1

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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HCHS/SOL Management Report, October 2013
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Table 2.1 Hospitalization and Emergency Department Visits* by Center

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	858		543		768		275		2444	
Myocardial infarction, heart attack	26	3.0	10	1.8	21	2.7	7	2.6	64	2.6
Angina, chest pain	57	6.6	36	6.6	77	10.0	14	5.1	184	7.5
Heart failure	15	1.8	7	1.3	17	2.2	2	0.7	41	1.7
Stroke or TIA	17	2.0	16	3.0	35	4.6	7	2.6	75	3.1
Peripheral vascular disease	2	0.2	1	0.2	11	1.4	3	1.1	17	0.7
Venous thrombosis or pulmonary embolism	6	0.7	3	0.6	1	0.1	0	0.0	10	0.4
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	18	2.1	10	1.8	7	0.9	1	0.4	36	1.5
Asthma	44	5.1	11	2.0	16	2.1	2	0.7	73	3.0
Other	672	78.3	449	82.7	583	75.9	236	85.8	1940	79.4
Unknown/Missing	4		41		9		5		59	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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HCHS/SOL Management Report, October 2013
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Table 2.1a Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2008 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	27		12		16		20		75	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	12	44.4	1	8.3	5	31.3	5	25.0	23	30.7
Total Hospital/Emergency Dept. Admissions	37		14		32		26		109	
Emergency Department	23		9		13		15		60	
Myocardial infarction, heart attack	1	4.4	0	0.0	0	0.0	0	0.0	1	1.7
Angina, chest pain	2	8.7	0	0.0	3	23.1	1	6.7	6	10.0
Heart failure	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Stroke or TIA	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Peripheral vascular disease	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Asthma	1	4.4	2	22.2	0	0.0	0	0.0	3	5.0
Other	19	82.6	7	77.8	10	76.9	14	93.3	50	83.3
Hospitalizations	7		1		5		6		19	
Myocardial infarction, heart attack	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Angina, chest pain	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Heart failure	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Stroke or TIA	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Peripheral vascular disease	0	0.0	0	0.0	0	0.0	1	16.7	1	5.3
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Asthma	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Other	7	100.0	1	100.0	5	100.0	5	83.3	18	94.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1a Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2008 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	7		4		14		5		30	
Myocardial infarction, heart attack	1	14.3	0	0.0	2	14.3	0	0.0	3	10.0
Angina, chest pain	0	0.0	0	0.0	1	7.1	0	0.0	1	3.3
Heart failure	0	0.0	0	0.0	1	7.1	0	0.0	1	3.3
Stroke or TIA	1	14.3	0	0.0	1	7.1	0	0.0	2	6.7
Peripheral vascular disease	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Asthma	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Other	5	71.4	4	100.0	9	64.3	5	100.0	23	76.7
Unknown/Missing	0		0		0		0		0	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

HCHS/SOL Management Report, October 2013
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Table 2.1b Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2009 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	212		135		125		158		630	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	50	23.6	26	19.3	23	18.4	38	24.1	137	21.8
Total Hospital/Emergency Dept. Admissions	277		180		191		211		859	
Emergency Department	147		94		81		109		431	
Myocardial infarction, heart attack	0	0.0	1	1.1	0	0.0	0	0.0	1	0.2
Angina, chest pain	6	4.1	3	3.2	7	8.6	4	3.7	20	4.6
Heart failure	1	0.7	0	0.0	0	0.0	0	0.0	1	0.2
Stroke or TIA	0	0.0	1	1.1	2	2.5	0	0.0	3	0.7
Peripheral vascular disease	0	0.0	0	0.0	2	2.5	1	0.9	3	0.7
Venous thrombosis or pulmonary embolism	1	0.7	0	0.0	0	0.0	0	0.0	1	0.2
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	1	0.7	1	1.1	0	0.0	0	0.0	2	0.5
Asthma	8	5.4	6	6.4	3	3.7	0	0.0	17	3.9
Other	130	88.4	82	87.2	67	82.7	104	95.4	383	88.9
Hospitalizations	44		30		47		62		183	
Myocardial infarction, heart attack	0	0.0	0	0.0	0	0.0	1	1.6	1	0.6
Angina, chest pain	1	2.3	2	6.7	1	2.1	2	3.2	6	3.3
Heart failure	0	0.0	0	0.0	0	0.0	1	1.6	1	0.6
Stroke or TIA	3	6.8	0	0.0	1	2.1	1	1.6	5	2.7
Peripheral vascular disease	1	2.3	0	0.0	0	0.0	0	0.0	1	0.6
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Asthma	2	4.6	0	0.0	2	4.3	0	0.0	4	2.2
Other	37	84.1	28	93.3	43	91.5	57	91.9	165	90.2

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1b Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2009 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	86		53		63		38		240	
Myocardial infarction, heart attack	0	0.0	1	1.9	2	3.2	2	5.3	5	2.1
Angina, chest pain	9	10.5	3	5.7	5	7.9	4	10.5	21	8.8
Heart failure	1	1.2	2	3.8	2	3.2	0	0.0	5	2.1
Stroke or TIA	2	2.3	2	3.8	8	12.7	0	0.0	12	5.0
Peripheral vascular disease	1	1.2	0	0.0	2	3.2	0	0.0	3	1.3
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	1	1.2	1	1.9	0	0.0	0	0.0	2	0.8
Asthma	4	4.7	2	3.8	2	3.2	0	0.0	8	3.3
Other	68	79.1	42	79.3	42	66.7	31	81.6	183	76.3
Unknown/Missing	0		3		0		2		5	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1c Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2010 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	442		392		300		288		1422	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	76	17.2	68	17.4	45	15.0	43	14.9	232	16.3
Total Hospital/Emergency Dept. Admissions	581		569		402		361		1913	
Emergency Department	315		286		198		201		1000	
Myocardial infarction, heart attack	1	0.3	0	0.0	0	0.0	3	1.5	4	0.4
Angina, chest pain	14	4.4	12	4.2	3	1.5	6	3.0	35	3.5
Heart failure	1	0.3	0	0.0	1	0.5	0	0.0	2	0.2
Stroke or TIA	1	0.3	0	0.0	0	0.0	0	0.0	1	0.1
Peripheral vascular disease	0	0.0	0	0.0	1	0.5	0	0.0	1	0.1
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	1	0.5	0	0.0	1	0.1
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	4	1.3	0	0.0	2	1.0	0	0.0	6	0.6
Asthma	21	6.7	6	2.1	13	6.6	3	1.5	43	4.3
Other	273	86.7	268	93.7	177	89.4	187	93.0	905	90.5
Hospitalizations	80		127		48		115		370	
Myocardial infarction, heart attack	1	1.3	0	0.0	2	4.2	2	1.7	5	1.4
Angina, chest pain	2	2.5	6	4.7	1	2.1	4	3.5	13	3.5
Heart failure	1	1.3	0	0.0	0	0.0	0	0.0	1	0.3
Stroke or TIA	0	0.0	0	0.0	0	0.0	1	0.9	1	0.3
Peripheral vascular disease	1	1.3	1	0.8	0	0.0	0	0.0	2	0.5
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	1	1.3	0	0.0	0	0.0	0	0.0	1	0.3
Asthma	3	3.8	1	0.8	0	0.0	1	0.9	5	1.4
Other	71	88.8	119	93.7	45	93.8	107	93.0	342	92.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1c Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2010 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	186		146		154		44		530	
Myocardial infarction, heart attack	5	2.7	0	0.0	2	1.3	0	0.0	7	1.3
Angina, chest pain	13	7.0	12	8.2	7	4.6	3	6.8	35	6.6
Heart failure	3	1.6	3	2.1	3	2.0	1	2.3	10	1.9
Stroke or TIA	2	1.1	3	2.1	7	4.6	0	0.0	12	2.3
Peripheral vascular disease	1	0.5	0	0.0	2	1.3	2	4.6	5	0.9
Venous thrombosis or pulmonary embolism	0	0.0	2	1.4	0	0.0	0	0.0	2	0.4
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	5	3.4	3	2.0	0	0.0	8	1.5
Asthma	11	5.9	5	3.4	3	2.0	0	0.0	19	3.6
Other	151	81.2	116	79.5	127	82.5	38	86.4	432	81.5
Unknown/Missing	0		10		2		1		13	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1d Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2011 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	742		562		488		501		2293	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	109	14.7	108	19.2	97	19.9	46	9.2	360	15.7
Total Hospital/Emergency Dept. Admissions	951		799		686		621		3057	
Emergency Department	543		452		327		329		1651	
Myocardial infarction, heart attack	1	0.2	0	0.0	0	0.0	1	0.3	2	0.1
Angina, chest pain	21	3.9	22	4.9	17	5.2	8	2.4	68	4.1
Heart failure	1	0.2	1	0.2	3	0.9	1	0.3	6	0.4
Stroke or TIA	3	0.6	0	0.0	1	0.3	5	1.5	9	0.6
Peripheral vascular disease	3	0.6	0	0.0	1	0.3	1	0.3	5	0.3
Venous thrombosis or pulmonary embolism	2	0.4	0	0.0	1	0.3	0	0.0	3	0.2
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	6	1.1	3	0.7	2	0.6	3	0.9	14	0.9
Asthma	57	10.5	5	1.1	6	1.8	4	1.2	72	4.4
Other	449	82.7	421	93.1	295	90.2	306	93.0	1471	89.1
Hospitalizations	165		134		137		219		655	
Myocardial infarction, heart attack	0	0.0	0	0.0	4	2.9	2	0.9	6	0.9
Angina, chest pain	5	3.0	0	0.0	4	2.9	4	1.8	13	2.0
Heart failure	1	0.6	0	0.0	4	2.9	3	1.4	8	1.2
Stroke or TIA	2	1.2	0	0.0	2	1.5	6	2.7	10	1.5
Peripheral vascular disease	1	0.6	1	0.8	2	1.5	2	0.9	6	0.9
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	1	0.7	0	0.0	1	0.2
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	2	1.5	0	0.0	0	0.0	2	0.3
Asthma	7	4.2	1	0.8	1	0.7	0	0.0	9	1.4
Other	149	90.3	130	97.0	119	86.9	202	92.2	600	91.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1d Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2011 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	242		195		220		71		728	
Myocardial infarction, heart attack	12	5.0	4	2.1	7	3.2	4	5.6	27	3.7
Angina, chest pain	16	6.6	12	6.2	23	10.5	2	2.8	53	7.3
Heart failure	4	1.7	1	0.5	4	1.8	0	0.0	9	1.2
Stroke or TIA	2	0.8	4	2.1	8	3.6	1	1.4	15	2.1
Peripheral vascular disease	0	0.0	1	0.5	4	1.8	1	1.4	6	0.8
Venous thrombosis or pulmonary embolism	3	1.2	1	0.5	1	0.5	0	0.0	5	0.7
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	4	1.7	3	1.5	1	0.5	0	0.0	8	1.1
Asthma	12	5.0	3	1.5	2	0.9	1	1.4	18	2.5
Other	189	78.1	166	85.1	170	77.3	62	87.3	587	80.6
Unknown/Missing	1		18		2		2		23	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1e Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2012 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	693		395		480		479		2047	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	76	11.0	78	19.8	69	14.4	42	8.8	265	13.0
Total Hospital/Emergency Dept. Admissions	915		592		672		590		2769	
Emergency Department	568		384		322		350		1624	
Myocardial infarction, heart attack	2	0.4	2	0.5	1	0.3	5	1.4	10	0.6
Angina, chest pain	28	4.9	18	4.7	14	4.4	4	1.1	64	3.9
Heart failure	1	0.2	0	0.0	4	1.2	4	1.1	9	0.6
Stroke or TIA	1	0.2	0	0.0	3	0.9	6	1.7	10	0.6
Peripheral vascular disease	0	0.0	0	0.0	1	0.3	0	0.0	1	0.1
Venous thrombosis or pulmonary embolism	0	0.0	1	0.3	0	0.0	0	0.0	1	0.1
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	6	1.1	4	1.0	6	1.9	1	0.3	17	1.1
Asthma	35	6.2	12	3.1	15	4.7	4	1.1	66	4.1
Other	490	86.3	347	90.4	278	86.3	326	93.1	1441	88.7
Hospitalizations	132		101		130		177		540	
Myocardial infarction, heart attack	1	0.8	1	1.0	1	0.8	3	1.7	6	1.1
Angina, chest pain	6	4.6	4	4.0	6	4.6	0	0.0	16	3.0
Heart failure	0	0.0	0	0.0	3	2.3	5	2.8	8	1.5
Stroke or TIA	0	0.0	0	0.0	4	3.1	1	0.6	5	0.9
Peripheral vascular disease	1	0.8	1	1.0	3	2.3	0	0.0	5	0.9
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	1	0.6	1	0.2
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	1	0.8	0	0.0	1	0.2
Asthma	6	4.6	0	0.0	0	0.0	2	1.1	8	1.5
Other	118	89.4	95	94.1	111	85.4	165	93.2	489	90.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1e Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2012 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	212		102		216		63		593	
Myocardial infarction, heart attack	5	2.4	3	2.9	5	2.3	1	1.6	14	2.4
Angina, chest pain	11	5.2	7	6.9	28	13.0	1	1.6	47	7.9
Heart failure	3	1.4	1	1.0	6	2.8	0	0.0	10	1.7
Stroke or TIA	6	2.8	4	3.9	9	4.2	3	4.8	22	3.7
Peripheral vascular disease	0	0.0	0	0.0	3	1.4	0	0.0	3	0.5
Venous thrombosis or pulmonary embolism	3	1.4	0	0.0	0	0.0	0	0.0	3	0.5
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	9	4.3	1	1.0	2	0.9	1	1.6	13	2.2
Asthma	9	4.3	1	1.0	8	3.7	1	1.6	19	3.2
Other	166	78.3	85	83.3	155	71.8	55	87.3	461	77.7
Unknown/Missing	3		5		4		0		12	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1f Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2013 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with a Hospital/Emergency Dept. Admissions (at least one)	448		213		274		247		1182	
Number of Participants with multiple Hospital/Emergency Dept. Admissions	49	10.9	30	14.1	30	11.0	29	11.7	138	11.7
Total Hospital/Emergency Dept. Admissions	525		279		336		306		1446	
Emergency Department	333		205		162		185		885	
Myocardial infarction, heart attack	1	0.3	0	0.0	0	0.0	2	1.1	3	0.3
Angina, chest pain	19	5.7	8	3.9	3	1.9	3	1.6	33	3.7
Heart failure	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Stroke or TIA	2	0.6	0	0.0	0	0.0	2	1.1	4	0.5
Peripheral vascular disease	1	0.3	1	0.5	0	0.0	0	0.0	2	0.2
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	1	0.3	0	0.0	2	1.2	0	0.0	3	0.3
Asthma	27	8.1	3	1.5	1	0.6	2	1.1	33	3.7
Other	281	84.4	193	94.2	155	95.7	176	95.1	805	91.0
Hospitalizations	67		26		72		67		232	
Myocardial infarction, heart attack	0	0.0	0	0.0	2	2.8	1	1.5	3	1.3
Angina, chest pain	1	1.5	0	0.0	2	2.8	0	0.0	3	1.3
Heart failure	1	1.5	0	0.0	2	2.8	2	3.0	5	2.2
Stroke or TIA	2	3.0	1	3.9	0	0.0	0	0.0	3	1.3
Peripheral vascular disease	1	1.5	0	0.0	1	1.4	0	0.0	2	0.9
Venous thrombosis or pulmonary embolism	2	3.0	1	3.9	0	0.0	1	1.5	4	1.7
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	0	0.0	0	0.0	1	1.4	0	0.0	1	0.4
Asthma	2	3.0	0	0.0	0	0.0	1	1.5	3	1.3
Other	57	85.1	24	92.3	64	88.9	62	92.5	207	89.2

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.1f Hospitalization and Emergency Department Visits* by Event Year and Center for Event Year of 2013 Only

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Both Emergency Dept. and Hospitalizations (at once)	125		43		101		54		323	
Myocardial infarction, heart attack	3	2.4	2	4.7	3	3.0	0	0.0	8	2.5
Angina, chest pain	8	6.4	2	4.7	13	12.9	4	7.4	27	8.4
Heart failure	4	3.2	0	0.0	1	1.0	1	1.9	6	1.9
Stroke or TIA	4	3.2	3	7.0	2	2.0	3	5.6	12	3.7
Peripheral vascular disease	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Venous thrombosis or pulmonary embolism	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Chronic Obstructive Pulmonary Disease, emphysema, or chronic bronchitis	4	3.2	0	0.0	1	1.0	0	0.0	5	1.6
Asthma	8	6.4	0	0.0	1	1.0	0	0.0	9	2.8
Other	93	74.4	36	83.7	80	79.2	45	83.3	254	78.6
Unknown/Missing	0		5		1		0		6	

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

*Participants may have more than one hospital/Emergency Dept. visit.

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Table 2.2 Out-patient Self-Reported Conditions by Center
Self-reported conditions regardless of whether hospitalization or Emergency Dept. visit reported¹

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Participant-AFU Interviews	12707		12756		12497		12974		50934	
AFU:OPE - Out-patient Conditions Form	11655	91.7	12563	98.5	12385	99.1	12932	99.7	49535	97.3
COPD,etc. - Out-patient self-report	277	2.4	218	1.7	199	1.6	144	1.1	838	1.7
Diagnostic tests for COPD,etc.²	236	85.2	156	71.6	151	75.9	108	75.0	651	77.7
Exacerbation/Worsening of COPD,etc.	80	28.9	53	24.3	55	27.6	22	15.3	210	25.1
Change in Medication	72	90.0	38	71.7	29	52.7	11	50.0	150	71.4
Asthma - Out-patient self-report	741	6.4	297	2.4	181	1.5	370	2.9	1589	3.2
Diagnostic tests for Asthma^{2,3}	575	77.6	210	70.7	97	53.6	202	54.6	1084	68.2
Exacerbation/Worsening of Asthma	300	40.5	59	19.9	44	24.3	44	11.9	447	28.1
Change in Medication	274	91.3	47	79.7	25	56.8	28	63.6	374	83.7

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

1. Participants may have more than one hospital/Emergency Dept. visit for COPD or Asthma.

2. Diagnostic Tests: Breathing/pulmonary test, chest x-ray, or chest CT scan.

3. Bronx has missing diagnosis test indicators for two participants.

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Table 2.2a Outpatient Self-Reported Conditions by Center
Non-Pulmonary or Unreported Hospitalizations/Emergency Dept. Visits Only¹

Preliminary Reports	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Participant-AFU Interviews	12707		12756		12497		12974		50934	
AFU:OPE - Out Patient Conditions Form	10084	96.2	10898	100.0	11377	99.3	11178	100.0	43537	98.9
COPD,etc. - Outpatient self-report	221	2.2	183	1.7	180	1.6	130	1.2	714	1.6
Diagnostic tests for COPD,etc.²	185	83.7	129	70.5	135	75.0	100	76.9	549	76.9
Exacerbation/Worsening of COPD,etc.	60	27.2	39	21.3	49	27.2	21	16.2	169	23.7
Change in Medication	54	90.0	26	66.7	25	51.0	11	52.4	116	68.6
Asthma - Outpatient self-report	634	6.3	264	2.4	163	1.4	339	3.0	1400	3.2
Diagnostic tests for Asthma^{2,3}	489	77.1	185	70.1	83	50.9	180	53.1	937	66.9
Exacerbation/Worsening of Asthma	242	38.2	48	18.2	38	23.3	38	11.2	366	26.1
Change in Medication	222	91.7	38	79.2	21	55.3	23	60.5	304	83.1

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

1. Participants may have no reported hospital/Emergency Dept. visits or more than one hospital/Emergency Dept. visit, limited to only those visits without heart failure, COPD, or asthma (HOEA4a=2,6, or 7).

2. Diagnostic Tests: Breathing/pulmonary test, chest x-ray, or chest CT scan.

3. Bronx has missing diagnosis test indicators for two participants.

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Table 2.6 Out-patient Self-Report of Outpatient Cardio-pulmonary Events During Second Year of Annual Follow-up by Center

Outpatient Events - Cardio-pulmonary	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with AFU Present	4037		4081		4051		3995		16164	
AFU:EVEA - Out-patient Conditions Form	3917	97.0	4066	99.6	4044	99.8	3992	99.9	16019	99.1
Since the Last HCHS/SOL Visit told by MD										
Atrial fibrillation	47	1.2	68	1.7	7	0.2	20	0.5	142	0.9
Heart failure	63	1.6	59	1.5	26	0.6	41	1.0	189	1.2
Blood clot in leg or lung requiring blood thinner	76	1.9	109	2.7	16	0.4	37	0.9	238	1.5
Since the Last HCHS/SOL Viist										
Swelling in feet or ankles at end of day	786	20.1	716	17.6	651	16.1	519	13.0	2672	16.7
Waking up at night with difficulty breathing	549	14.0	358	8.8	434	10.7	265	6.6	1606	10.0
Shortness of breath when hurrying or walking uphill	1317	33.6	884	21.7	825	20.4	773	19.4	3799	23.7
Stop for breath walking at own pace on level pavement	645	16.5	304	7.5	344	8.5	300	7.5	1593	9.9
Difficulty breathing when not active	290	7.4	129	3.2	220	5.4	177	4.4	816	5.1
Cough on most days or nights of week last 3 mo.	307	7.8	157	3.9	173	4.3	130	3.3	767	4.8
Phlegm from chest most days or night of week last 3 mo.	304	7.8	192	4.7	149	3.7	162	4.1	807	5.0
Wheezing or whistling in chest since last visit	472	12.1	355	8.7	236	5.8	288	7.2	1351	8.4

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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Table 2.7 Out-patient Self Report of Sleep Related Events During Second Year of Annual Follow-up by Center

Outpatient Events - Sleep related	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with AFU Present	4037		4081		4051		3995		16164	
AFU:EVEA - Out-patient Conditions Form	3917	97.0	4066	99.6	4044	99.8	3992	99.9	16019	99.1
Frequency of snoring now										
Never	676	17.3	362	8.9	690	17.1	414	10.4	2142	13.4
Rarely	264	6.7	448	11.0	220	5.4	616	15.4	1548	9.7
Sometimes	937	23.9	919	22.6	923	22.8	1025	25.7	3804	23.8
Always or almonst always	745	19.0	869	21.4	957	23.7	807	20.2	3378	21.1
Do not know	636	16.2	1039	25.6	868	21.5	635	15.9	3178	19.8
Since last visit MD told had sleep apnea	167	4.3	102	2.5	72	1.8	150	3.8	491	3.1
Treated for sleep apnea										
Surgery	9	5.4	11	10.8	2	2.8	8	5.3	30	6.1
Use of dental appliance	13	7.8	7	6.9	5	6.9	16	10.7	41	8.4
Use of oxygen during sleep	33	19.8	12	11.8	10	13.9	20	13.3	75	15.3
Use pressure machine	70	41.9	40	39.2	25	34.7	57	38.0	192	39.1

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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Table 2.8 Out-patient Self-Report of Hearing Related Events During Second Year of Annual Follow-up by Center

Outpatient Events - Hearing related	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Number of Participants with AFU Present	4037		4081		4051		3995		16164	
AFU:EVEA - Out-patient Conditions Form	3917	97.0	4066	99.6	4044	99.8	3992	99.9	16019	99.1
Current hearing (w/o use of an aide)										
Excellent	1118	28.5	1080	26.6	1147	28.4	909	22.8	4254	26.6
Good	1499	38.3	1902	46.8	1898	46.9	1978	49.6	7277	45.4
A little trouble hearing	443	11.3	462	11.4	433	10.7	405	10.2	1743	10.9
Moderate trouble hearing	145	3.7	135	3.3	132	3.3	167	4.2	579	3.6
A lot of hearing trouble	46	1.2	40	1.0	44	1.1	32	0.8	162	1.0
Deaf	4	0.1	11	0.3	3	0.1	2	0.1	20	0.1
Refused, do not know	4	0.1	10	0.3	1	0.0	3	0.1	18	0.1
Sine last visit told needed hearing aid	77	2.0	85	2.1	57	1.4	75	1.9	294	1.8
Acquired hearing aid	42	1.1	17	0.4	22	0.5	26	0.7	107	0.7
Use hearing aid always or sometimes	34	0.9	11	0.3	16	0.4	21	0.5	82	0.5
When exposed to loud noise at work wear ear protection										
None of the time	3126	79.8	2998	73.7	3356	83.0	3033	76.0	12513	78.1
Occasionally	16	0.4	63	1.6	89	2.2	90	2.3	258	1.6
25% of the time	37	0.9	78	1.9	160	4.0	87	2.2	362	2.3
50% of the time	23	0.6	88	2.2	32	0.8	47	1.2	190	1.2
75% of the time	12	0.3	55	1.4	8	0.2	66	1.7	141	0.9
100% of the time	12	0.3	55	1.4	8	0.2	66	1.7	141	0.9

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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Table 2.8 Out-patient Self-Report of Hearing Related Events During Second Year of Annual Follow-up by Center

Outpatient Events - Hearing related	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
When exposed to loud noise outside work wear ear protection										
None of the time	3170	80.9	3489	85.8	3566	88.2	3281	82.2	13506	84.3
Occasionally	12	0.3	38	0.9	6	0.2	68	1.7	124	0.8
25% of the time	29	0.7	43	1.1	24	0.6	58	1.5	154	1.0
50% of the time	14	0.4	22	0.5	18	0.5	26	0.7	80	0.5
75% of the time	6	0.2	13	0.3	3	0.1	18	0.5	40	0.3
100% of the time	6	0.2	13	0.3	3	0.1	18	0.5	40	0.3
Buzzing or ringing in ears	653	16.7	731	18.0	602	14.9	892	22.3	2878	18.0
 Ringing noise usually lasts over 5 minutes}	274	7.0	295	7.3	215	5.3	324	8.1	1108	6.9
 Ringing noise only follows loud sounds}	142	3.6	116	2.9	64	1.6	128	3.2	450	2.8

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

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Table 3.1 Last Reported Stage for Endpoints Investigation by Center

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	3286		2433		2319		2115		10153	
Total eligible events for investigation	1511		1001		1279		961		4752	
Total reported events w/tracking information	1503	99.5	986	98.5	1151	90.0	880	91.6	4520	95.1
Pending Event	103	6.8	80	8.0	8	0.6	22	2.3	213	4.5
Pending records request	1	0.1	0	0.0	5	0.4	0	0.0	6	0.1
Release of Information requested	7	0.5	0	0.0	0	0.0	0	0.0	7	0.1
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	95	6.3	26	2.6	1	0.1	22	2.3	144	3.0
Medical records received for event	0	0.0	16	1.6	0	0.0	0	0.0	16	0.3
Supplemental records requested	0	0.0	38	3.8	2	0.2	0	0.0	40	0.8
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	1400	92.7	906	90.5	1143	89.4	858	89.3	4307	90.6
Ineligible	396	26.2	214	21.4	306	23.9	242	25.2	1158	24.4
Records Not Available	45	3.0	30	3.0	9	0.7	109	11.3	193	4.1
Shipping Medical records to CC	959	63.5	662	66.1	828	64.7	507	52.8	2956	62.2
Verification forms with ICD-9 Codes²	948	98.9	628	94.9	780	94.2	475	93.7	2831	95.8
Verification forms Missing ICD-9 Codes²	11	1.1	34	5.1	48	5.8	32	6.3	125	4.2

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.2 Last Reported Stage for Endpoints Investigation by Event Year

Event Materials Status	2008-9		2010		2011		2012		2013		Overall	
	N	%	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	968		1913		3057		2769		1446		10153	
Total eligible events for investigation	452		933		1493		1263		611		4752	
Total reported events w/tracking information	451	99.8	929	99.6	1487	99.6	1205	95.4	448	73.3	4520	95.1
Pending Event	1	0.2	5	0.5	23	1.5	68	5.4	116	19.0	213	4.5
Pending records request	1	0.2	1	0.1	0	0.0	3	0.2	1	0.2	6	0.1
Release of Information requested	0	0.0	0	0.0	0	0.0	5	0.4	2	0.3	7	0.1
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	0	0.0	1	0.1	11	0.7	43	3.4	89	14.6	144	3.0
Medical records received for event	0	0.0	1	0.1	2	0.1	7	0.6	6	1.0	16	0.3
Supplemental records requested	0	0.0	2	0.2	10	0.7	10	0.8	18	2.9	40	0.8
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	450	99.6	924	99.0	1464	98.1	1137	90.0	332	54.3	4307	90.6
Ineligible	122	27.0	255	27.3	393	26.3	293	23.2	95	15.5	1158	24.4
Records Not Available	24	5.3	53	5.7	71	4.8	38	3.0	7	1.1	193	4.1
Shipping Medical records to CC	304	67.3	616	66.0	1000	67.0	806	63.8	230	37.6	2956	62.2
Verification forms with ICD-9 Codes²	293	96.4	592	96.1	958	95.8	766	95.0	222	96.5	2831	95.8
Verification forms Missing ICD-9 Codes²	11	3.6	24	3.9	42	4.2	40	5.0	8	3.5	125	4.2

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and/or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases include, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.3a Last Reported Stage for Endpoints Investigation by Center for Event Years 2008-2009

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	314		194		223		237		968	
Total eligible events for investigation	140		96		117		99		452	
Total reported events w/tracking information	140	100.0	96	100.0	117	100.0	98	99.0	451	99.8
Pending Event	0	0.0	0	0.0	1	0.9	0	0.0	1	0.2
Pending records request	0	0.0	0	0.0	1	0.9	0	0.0	1	0.2
Release of Information requested	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Medical records received for event	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Supplemental records requested	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	140	100.0	96	100.0	116	99.1	98	99.0	450	99.6
Ineligible	35	25.0	37	38.5	26	22.2	24	24.2	122	27.0
Records Not Available	6	4.3	4	4.2	2	1.7	12	12.1	24	5.3
Shipping Medical records to CC	99	70.7	55	57.3	88	75.2	62	62.6	304	67.3
Verification forms with ICD-9 Codes²	98	99.0	52	94.5	85	96.6	58	93.5	293	96.4
Verification forms Missing ICD-9 Codes²	1	1.0	3	5.5	3	3.4	4	6.5	11	3.6

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.3b Last Reported Stage for Endpoints Investigation by Center and Event Year 2010

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	581		569		402		361		1913	
Total eligible events for investigation	284		266		219		164		933	
Total reported events w/tracking information	284	100.0	265	99.6	218	99.5	162	98.8	929	99.6
Pending Event	0	0.0	4	1.5	1	0.5	0	0.0	5	0.5
Pending records request	0	0.0	0	0.0	1	0.5	0	0.0	1	0.1
Release of Information requested	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	0	0.0	1	0.4	0	0.0	0	0.0	1	0.1
Medical records received for event	0	0.0	1	0.4	0	0.0	0	0.0	1	0.1
Supplemental records requested	0	0.0	2	0.8	0	0.0	0	0.0	2	0.2
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	284	100.0	261	98.1	217	99.1	162	98.8	924	99.0
Ineligible	75	26.4	87	32.7	36	16.4	57	34.8	255	27.3
Records Not Available	17	6.0	15	5.6	1	0.5	20	12.2	53	5.7
Shipping Medical records to CC	192	67.6	159	59.8	180	82.2	85	51.8	616	66.0
Verification forms with ICD-9 Codes²	187	97.4	148	93.1	173	96.1	84	98.8	592	96.1
Verification forms Missing ICD-9 Codes²	5	2.6	11	6.9	7	3.9	1	1.2	24	3.9

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.3c Last Reported Stage for Endpoints Investigation by Center and Event Year 2011

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	951		799		686		621		3057	
Total eligible events for investigation	472		334		377		310		1493	
Total reported events w/tracking information	472	100.0	332	99.4	375	99.5	308	99.4	1487	99.6
Pending Event	3	0.6	18	5.4	2	0.5	0	0.0	23	1.5
Pending records request	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Release of Information requested	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	3	0.6	7	2.1	1	0.3	0	0.0	11	0.7
Medical records received for event	0	0.0	2	0.6	0	0.0	0	0.0	2	0.1
Supplemental records requested	0	0.0	9	2.7	1	0.3	0	0.0	10	0.7
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	469	99.4	314	94.0	373	98.9	308	99.4	1464	98.1
Ineligible	135	28.6	71	21.3	105	27.9	82	26.5	393	26.3
Records Not Available	12	2.5	9	2.7	2	0.5	48	15.5	71	4.8
Shipping Medical records to CC	322	68.2	234	70.1	266	70.6	178	57.4	1000	67.0
Verification forms with ICD-9 Codes²	321	99.7	221	94.4	249	93.6	167	93.8	958	95.8
Verification forms Missing ICD-9 Codes²	1	0.3	13	5.6	17	6.4	11	6.2	42	4.2

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.3d Last Reported Stage for Endpoints Investigation by Center and Event Year 2012

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	915		592		672		590		2769	
Total eligible events for investigation	394		227		383		259		1263	
Total reported events w/tracking information	393	99.7	225	99.1	345	90.1	242	93.4	1205	95.4
Pending Event	30	7.6	25	11.0	4	1.0	9	3.5	68	5.4
Pending records request	0	0.0	0	0.0	3	0.8	0	0.0	3	0.2
Release of Information requested	5	1.3	0	0.0	0	0.0	0	0.0	5	0.4
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	25	6.3	9	4.0	0	0.0	9	3.5	43	3.4
Medical records received for event	0	0.0	7	3.1	0	0.0	0	0.0	7	0.6
Supplemental records requested	0	0.0	9	4.0	1	0.3	0	0.0	10	0.8
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	363	92.1	200	88.1	341	89.0	233	90.0	1137	90.0
Ineligible	117	29.7	17	7.5	100	26.1	59	22.8	293	23.2
Records Not Available	8	2.0	2	0.9	4	1.0	24	9.3	38	3.0
Shipping Medical records to CC	238	60.4	181	79.7	237	61.9	150	57.9	806	63.8
Verification forms with ICD-9 Codes²	235	98.7	175	96.7	219	92.4	137	91.3	766	95.0
Verification forms Missing ICD-9 Codes²	3	1.3	6	3.3	18	7.6	13	8.7	40	5.0

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.3e Last Reported Stage for Endpoints Investigation by Center and Event Year 2013

Event Materials Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Hosp + ED visits on AFU¹	525		279		336		306		1446	
Total eligible events for investigation	221		78		183		129		611	
Total reported events w/tracking information	214	96.8	68	87.2	96	52.5	70	54.3	448	73.3
Pending Event	69	31.2	33	42.3	0	0.0	13	10.1	115	18.8
Pending records request	1	0.5	0	0.0	0	0.0	0	0.0	1	0.2
Release of Information requested	2	0.9	0	0.0	0	0.0	0	0.0	2	0.3
Release of Information obtained	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Event Record requested	67	30.3	9	11.5	0	0.0	13	10.1	89	14.6
Medical records received for event	0	0.0	6	7.7	0	0.0	0	0.0	6	1.0
Supplemental records requested	0	0.0	18	23.1	0	0.0	0	0.0	18	2.9
Verification of medical records	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Closed Event	144	65.2	35	44.9	96	52.5	57	44.2	332	54.3
Ineligible	34	15.4	2	2.6	39	21.3	20	15.5	95	15.5
Records Not Available	2	0.9	0	0.0	0	0.0	5	3.9	7	1.1
Shipping Medical records to CC	108	48.9	33	42.3	57	31.1	32	24.8	230	37.6
Verification forms with ICD-9 Codes²	107	99.1	32	97.0	54	94.7	29	90.6	222	96.5
Verification forms Missing ICD-9 Codes²	1	0.9	1	3.0	3	5.3	3	9.4	8	3.5

Based on analysis files created on November 1, 2013.

Source Files: ETRA forms and AFU interview.

¹For reported Hosp/ED visits with a non-missing event date. Participants may report more than one hospitalization or ED visit per AFU interview.

²Percents for presence of ICD-9 codes is calculated using number of eligible events shipped to CC.

Other Notes: *Percents are calculated using the number of eligible events from DMS.

*Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and or not being an event for investigation.

Pending events are at an intermediate stage of investigation. Ineligible cases included, AFU reported hospitalizations of ED visits which after investigation are determined to be ineligible for endpoint classification (e.g. outpatient visits, ED visit for non-qualifying condition).

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Table 3.4 Availability of Medical Records by Demographic Characteristics (For all Eligible Events for Investigation)

Baseline Characteristic	<u>Event Ineligible</u>		<u>Records Unavailable</u>		<u>Records Sent to CC</u>		<u>Records Status Pending</u>	
	N	%	N	%	N	%	N	%
	Age							
19-44	319	24.8	63	4.9	832	64.6	74	5.7
45-74	839	26.0	130	4.0	2124	65.7	139	4.3
Gender								
Male	371	25.8	57	4.0	949	66.0	61	4.2
Female	787	25.5	136	4.4	2007	65.1	152	4.9
Born in U.S.	197	23.5	22	2.6	563	67.1	57	6.8
Not Born in U.S.	955	26.1	171	4.7	2385	65.1	153	4.2
Lived in U.S. <10 Years	219	28.6	54	7.1	459	60.0	33	4.3
Lived in U.S. 10 or More Years	932	25.0	139	3.7	2487	66.6	176	4.7
Employed	441	29.0	67	4.4	955	62.7	59	3.9
Not Employed	690	23.9	124	4.3	1933	66.9	141	4.9
Hispanic Background								
Central/South Am.	171	26.3	14	2.2	446	68.5	20	3.1
Cuban	198	28.2	6	0.9	491	69.8	8	1.1
Dominican	123	29.5	13	3.1	250	60.0	31	7.4
Mexican	331	25.5	119	9.2	792	61.0	57	4.4
Puerto Rican	295	22.9	37	2.9	874	67.7	85	6.6
Other/Mixed	33	24.1	4	2.9	91	66.4	9	6.6

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Source files: ETRA forms and AFU interview.

Denominator is the number of eligible events from DMS.

Note: Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and/or not being an event for investigation. Pending events are at an intermediate stage of investigation.

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Table 3.4a Availability of Medical Records by Demographic Characteristics (For Event Years 2008 to 2010)

Baseline Characteristic	<u>Event Ineligible</u>		<u>Records Unavailable</u>		<u>Records Sent to CC</u>		<u>Records Status Pending</u>	
	N	%	N	%	N	%	N	%
	Age							
19-44	105	28.4	28	7.6	234	63.2	3	0.8
45-74	272	26.9	49	4.9	686	67.9	3	0.3
Gender								
Male	133	28.9	22	4.8	301	65.4	4	0.9
Female	244	26.5	55	6.0	619	67.3	2	0.2
Born in U.S.	58	24.9	7	3.0	167	71.7	1	0.4
Not Born in U.S.	316	27.7	70	6.1	751	65.8	5	0.4
Lived in U.S. <10 Years	69	32.4	25	11.7	118	55.4	1	0.5
Lived in U.S. 10 or More Years	305	26.3	52	4.5	799	68.8	5	0.4
Employed	154	31.4	26	5.3	308	62.7	3	0.6
Not Employed	216	25.1	50	5.8	593	68.8	3	0.3
Hispanic Background								
Central/South Am.	53	26.1	9	4.4	140	69.0	1	0.5
Cuban	40	19.6	1	0.5	160	78.4	3	1.5
Dominican	30	28.6	8	7.6	67	63.8	0	0.0
Mexican	134	32.6	40	9.7	235	57.2	2	0.5
Puerto Rican	106	25.7	19	4.6	287	69.7	0	0.0
Other/Mixed	10	27.0	0	0.0	27	73.0	0	0.0

Based on analysis files created on November 1, 2013.

Note: For participants who are eligible for Annual Follow-Up (FULL_AFU_ELIGIBLE=1).

Note: Source files: ETRA forms and AFU interview.

Denominator is the number of eligible events from DMS.

Note: Closed events have either had medical records shipped to the CC, or have been confirmed locally as having no existing records and/or not being an event for investigation. Pending events are at an intermediate stage of investigation.

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Table 3.5 Event Processing and Abstraction Status by Center

Event Abstraction Status	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Events with records at CC	958		661		828		507		2954	
Event records inventoried	921	96.1	579	87.6	795	96.0	473	93.3	2768	93.7
Inventoried pending processing ¹	295	32.0	168	29.0	238	29.9	146	30.9	847	30.6
Pending query resolution	236	25.6	206	35.6	226	28.4	198	41.9	866	31.3
Processing complete, not scanned	15	1.6	8	1.4	10	1.3	5	1.1	38	1.4
Abstraction eligibility pending	268	29.1	78	13.5	224	28.2	56	11.8	626	22.6
Abstraction eligibility determined	107	11.6	119	20.6	97	12.2	68	14.4	391	14.1
No abstraction required ²	56	52.3	76	63.9	52	53.6	50	73.5	234	59.9
MI eligible	23	21.5	15	12.6	24	24.7	9	13.2	71	18.2
Stroke eligible	7	6.5	7	5.9	10	10.3	2	2.9	26	6.7
HF eligible	6	5.6	6	5.0	11	11.3	4	5.9	27	6.9
Pulmonary eligible	25	23.4	23	19.3	13	13.4	8	11.8	69	17.7

Based on analysis files created on November 1, 2013.

Note: Participants are screened for more than one outcome per event reported date.

(1) Denominator is number of events with event records inventoried.

(2) Denominator is number of events with eligibility determined.

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Table 3.6 Event Processing and Abstraction Status by Year

Event Abstraction Status	<u>2008-9</u>		<u>2010</u>		<u>2011</u>		<u>2012</u>		<u>2013</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%	N	%
Events with records at CC	304		615		999		806		230		2954	
Event records inventoried	301	99.0	596	96.9	963	96.4	728	90.3	180	78.3	2768	93.7
Inventoried pending processing¹	5	1.7	26	4.4	537	55.8	265	36.4	14	7.8	847	30.6
Pending query resolution	6	2.0	173	29.0	210	21.8	332	45.6	145	80.6	866	31.3
Processing complete, not scanned	2	0.7	12	2.0	17	1.8	5	0.7	2	1.1	38	1.4
Abstraction eligibility pending	4	1.3	301	50.5	186	19.3	117	16.1	18	10.0	626	22.6
Abstraction eligibility determined	284	94.4	84	14.1	13	1.4	9	1.2	1	0.6	391	14.1
No abstraction required²	164	57.8	57	67.9	5	38.5	7	77.8	1	100.0	234	59.9
MI eligible	59	20.8	10	11.9	2	15.4	0	0.0	0	0.0	71	18.2
Stroke eligible	19	6.7	3	3.6	3	23.1	1	11.1	0	0.0	26	6.7
HF eligible	24	8.5	3	3.6	0	0.0	0	0.0	0	0.0	27	6.9
Pulmonary eligible	53	18.7	13	15.5	2	15.4	1	11.1	0	0.0	69	17.7

Based on analysis files created on November 1, 2013.

Note: Participants are screened for more than one outcome per event reported date.

(1) Denominator is number of events with event records inventoried.

(2) Denominator is number of events with eligibility determined.

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Table 3.7 Unvalidated New Onset Event Counts (Based on ICD9 Codes) by Center

ICD-9 Discharge Codes ¹	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Closed events with ICD-9 Codes	520		401		506		354		1781	
Asthma/COPD	42	8.1	21	5.2	22	4.4	5	1.4	90	5.1
Myocardial Infarction	12	2.3	9	2.2	9	1.8	4	1.1	34	1.9
Heart Failure	23	4.4	10	2.5	11	2.2	8	2.3	52	2.9
Stroke	12	2.3	12	3.0	14	2.8	9	2.5	47	2.6
Pregnancy Related Hosp	38	7.3	71	17.7	21	4.2	43	12.2	173	9.7
Other Reasons²	402	77.3	285	71.1	433	85.6	289	81.6	1409	79.1

¹ Any discharge code, not restricted to primary discharge code; participants may have multiple events or types of events - percentages will not sum to 100%

² Exclusive of any of the above conditions

Based on analysis files created on November 1, 2013.

Asthma/COPD: Pulmonary Codes 491, 492, 493, 496

Myocardial Infarction: MI Code 410

Heart Failure: HF Code 428

Stroke: Stroke Codes 430 to 434

Pregnancy: Pregnancy Complication Codes 641 to 679

Restricted to participants without a self-reported history of Asthma, COPD, Myocardial Infarction, heart failure, and stroke.

11NOV13, 17:59 -- HC081415 (nfulcher)

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Table 3.8 Unvalidated New Onset Event Counts (Based on ICD9 Codes) by Event Year

ICD-9 Discharge Codes ¹	<u>2008-9</u>		<u>2010</u>		<u>2011</u>		<u>2012</u>		<u>2013</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%	N	%
Closed events with ICD-9 Codes	173		382		602		485		139		1781	
Asthma/COPD	8	4.6	20	5.2	29	4.8	26	5.4	7	5.0	90	5.1
Myocardial Infarction	4	2.3	3	0.8	14	2.3	10	2.1	3	2.2	34	1.9
Heart Failure	8	4.6	5	1.3	14	2.3	16	3.3	9	6.5	52	2.9
Stroke	7	4.1	7	1.8	16	2.7	15	3.1	2	1.4	47	2.6
Pregnancy Related Hosp	9	5.2	34	8.9	63	10.5	56	11.6	11	7.9	173	9.7
Other Reasons²	140	80.9	315	82.5	474	78.7	370	76.3	110	79.1	1409	79.1

¹ Any discharge code, not restricted to primary discharge code; participants may have multiple events or types of events - percentages will not sum to 100%

² Exclusive of any of the above conditions

Based on analysis files created on November 1, 2013.

Asthma/COPD: Pulmonary Codes 491, 492, 493, 496

Myocardial Infarction: MI Code 410

Heart Failure: HF Code 428

Stroke: Stroke Codes 430 to 434

Pregnancy: Pregnancy Complication Codes 641 to 679

Restricted to participants without a self-reported history of Asthma, COPD, Myocardial Infarction, heart failure, and stroke.

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Table 3.9 Event Processing, Abstraction and Review Status by Event Type

Event Abstraction and Review Status	<u>MI</u>		<u>Stroke</u>		<u>HTF</u>		<u>Pulmonary</u>	
	N	%	N	%	N	%	N	%
All eligible cases ¹	72		26		27		69	
Abstraction pending	13	18.1	26	100.0	4	14.8	8	11.6
Abstraction complete, pending review	59	81.9	0	0.0	23	85.2	39	56.5
Assigned to review	0	0.0	0	0.0	0	0.0	0	0.0
Review complete	0	0.0	0	0.0	0	0.0	6	8.7
Assigned for adjudication	0	0.0	0	0.0	0	0.0	2	2.9
Classification complete	0	0.0	0	0.0	0	0.0	14	20.3

Based on analysis files created on November 1, 2013.

Source Files: EVTA,EEFA,PULA,PD1A-PD3A,HTFA, and MIFA

(1) Number of cases eligible for abstraction for MI,stroke,heart failure and pulmonary, respectively.

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Table 3.10 Event Processing, Abstraction and Review Status for Pulmonary Events by Event Year

Event Abstraction and Review Status	<u>2008-9</u>		<u>2010</u>		<u>2011</u>		<u>2012</u>		<u>2013</u>	
	N	%	N	%	N	%	N	%	N	%
All eligible cases¹	53		13		1		1		1	
Abstraction pending	2	3.8	3	23.1	1	100.0	1	100.0	1	100.0
Abstraction complete, pending review	30	56.6	9	69.2	0	0.0	0	0.0	0	0.0
Assigned to review	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Review complete	6	11.3	0	0.0	0	0.0	0	0.0	0	0.0
Assigned for adjudication	2	3.8	0	0.0	0	0.0	0	0.0	0	0.0
Classification complete	13	24.5	1	7.7	0	0.0	0	0.0	0	0.0

Based on analysis files created on November 1, 2013.

Source Files: EVTA,EEFA,PULA,PD1A-PD3A,HTFA, and MIFA

(1) Number of cases eligible for abstraction.

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Table 3.11 Reported Deaths and Abstraction of Death Certificates by Center

Status of death report	<u>Bronx</u>		<u>Chicago</u>		<u>Miami</u>		<u>San Diego</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%
Reported deaths - total¹	59		34		62		39		194	
Reported deaths - AFU	59	100.0	34	100.0	62	100.0	39	100.0	194	100.0
Reported deaths - other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Death certificate abstracted	4	6.8	11	32.4	37	59.7	12	30.8	64	33.0
DTH needs ICD-10 codes²	4	100.0	11	100.0	37	100.0	12	100.0	64	100.0
DTH complete and coded	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0

Based on analysis files created on November 1, 2013.

1 Number reported deceased on AFU (AFT or GHE) or reported deceased via other sources.

2 Death certificate abstraction form (DTH) missing ICD-10 codes for underlying cause of death or other causes of death. Percents used the denominator of number of death certificates abstracted.

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Table 3.12 Reported Deaths and Abstraction of Death Certificates by Year

Status of death report	<u>2008-9</u>		<u>2010</u>		<u>2011</u>		<u>2012</u>		<u>2013</u>		<u>Overall</u>	
	N	%	N	%	N	%	N	%	N	%	N	%
Reported deaths - total¹	14		28		51		55		28		194	
Reported deaths - AFU	14	100.0	28	100.0	51	100.0	55	100.0	28	100.0	194	100.0
Reported deaths - other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Death certificate abstracted	7	50.0	15	53.6	25	49.0	17	30.9	0	0.0	64	33.0
DTH needs ICD-10 codes²	7	100.0	15	100.0	25	100.0	17	100.0	0	0.0	64	100.0
DTH complete and coded	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0

Based on analysis files created on November 1, 2013.

1 Number reported deceased on AFU (AFT or GHE) or reported deceased via other sources.

2 Death certificate abstraction form (DTH) missing ICD-10 codes for underlying cause of death or other causes of death. Percents used the denominator of number of death certificates abstracted.

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Table 4.1 Ancillary Study Screening and Recruitment by Center

Ancillary Study Screening and Enrollment	Bronx (N=4118)		Chicago (N=4134)		Miami (N=4077)		San Diego (N=4086)		Overall (N=16415)	
	N	%	N	%	N	%	N	%	N	%
Participants screened for ancillary studies¹	2285	55.5	2474	59.8	2537	62.2	2020	49.4	9316	56.8
Sociocultural screened for participation	1781		2116		2192		1736		7825	
Refuses to participate²	256	14.4	118	5.6	267	12.2	230	13.2	871	11.1
Agrees to participate (goal=5,280)	1357	76.2	1329	62.8	1316	60.0	1351	77.8	5353	68.4
SUENO screened for participation	877		1075		1305		877		4134	
Refuses to participate	75	8.6	78	7.3	66	5.1	51	5.8	270	6.5
Agrees to participate (goal=2,000)	555	63.3	540	50.2	728	55.8	363	41.4	2186	52.9
SOLNAS screened for participation	380		371		273		322		1346	
Refuses to participate	93	24.5	104	28.0	65	23.8	79	24.5	341	25.3
Agrees to participate (goal=476)	164	43.2	140	37.7	166	60.8	134	41.6	604	44.9
ECHO SOL screened for participation	316		392		286		502		1496	
Refuses to participate	11	3.5	21	5.4	4	1.4	61	12.2	97	6.5
Agrees to participate (goal=1800)	269	85.1	271	69.1	264	92.3	333	66.3	1137	76.0
Overall Ancillary Study Enrollment										
Participant in one ancillary study	1213	53.1	1049	42.4	1170	46.1	1041	51.5	4473	48.0
Participant in two ancillary studies	360	15.8	416	16.8	458	18.1	438	21.7	1672	17.9
Participant in three studies	124	5.4	121	4.9	120	4.7	88	4.4	453	4.9
Participant in four studies	10	0.4	9	0.4	7	0.3	0	--	26	0.3

Based on ancillary study analysis files ANE created on September 20, 2011 (Sociocultural) and September 11, 2013 (SUENO) and file TSE created on April 11, 2013 (SOLNAS) and file ESE created on January 23, 2013 (ECHO SOL) and the main Participant Derived Variable file.

- Note: 1) Denominator for overall participants screened is number seen for baseline examination.
2) Denominator for refusal agreement is number screened for an ancillary study.
3) Counts report only those who explicitly refuse or agree for all screening forms submitted to coordinating center and do not adjust for ineligibles or missing data.

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Table 4.2 Ancillary Study Estimates of Participant Burden by Center

Ancillary Study Estimated Burden in Hours	<u>Bronx</u> (N=4118)			<u>Chicago</u> (N=4134)			<u>Miami</u> (N=4077)			<u>San Diego</u> (N=4086)			<u>Overall</u> (N=16415)		
	N	Mean	s.d.	N	Mean	s.d.	N	Mean	s.d.	N	Mean	s.d.	N	Mean	s.d.
Participants in one ancillary study	1213	3.0	1.87	1049	3.0	1.78	1170	2.8	1.94	1041	3.5	2.36	4473	3.1	2.01
Participants in two ancillary studies	360	5.2	3.39	416	5.2	3.23	458	5.2	3.13	438	4.7	2.82	1672	5.1	3.14
Participants in three studies	124	8.3	4.63	121	7.0	4.02	120	8.2	4.59	88	5.1	1.45	453	7.3	4.19
Participants in four studies	10	15.6	0.00	9	15.6	0.00	7	15.6	0.00	0	--	--	26	15.6	0.00

Based on ancillary study analysis files ANE created on September 20, 2011 (Sociocultural) and September 11, 2013 (SUENO) and file TSE created on April 11, 2013 (SOLNAS) and file ESE created on January 23, 2013 (ECHO SOL) and the main Participant Derived Variable file.

Note: 1) Denominator for overall participants screened is number seen for baseline examination.

2) Denominator for refusal agreement is number screened for an ancillary study.

3) Estimated average hours of burden per person is based upon the cumulative reported burden for individuals screened and agreeing to participate in those studies.