

**ICARIS-2 Public Use Data Set**

**Appendix A - Response rate computation and related documents**

### Rate Computations

Classifications		ICARIS-2	
		Counts	Totals
I	Interviewed	9684	
<b>Total Eligible Interviewed</b>			<b>9684</b>
P	Partially complete	320	
R	Refusal/break-off	2212	
NC	Non-contact	2138	
O	Other	370	
<b>Total Eligible Non-interview</b>			<b>5040</b>
NE	Not Eligible Dialed	24566	
NE	Not Eligible Pre-Screen	42383	
<b>Total Not Eligible</b>			<b>66949</b>
UH	Unknown Residence	17521	
UO	Unknown Other	14282	
<b>Total Unknown Eligibility<sup>Y</sup></b>			<b>31803</b>
<b>Total Numbers Purchased</b>			<b>113476</b>

<sup>Y</sup> Includes 17808 records not fully worked.

Computations	ICARIS-2	Wtd <sup>1</sup>
* P <sub>e</sub> <sup>#</sup> Proportion eligible	0.18028	0.18397
* RR3 <sup>&amp;</sup> AAPOR response Rate, unadjusted	47.34%	47.90%
COOP3 <sup>§</sup> AAPOR Cooperation Rate	79.27%	78.95%

\* No adjustment for records not fully worked.

<sup>1</sup> Weighted by the inverse of the telephone number selection probability.

### Formulas<sup>x</sup>:

$$^{\#} P_e = \frac{\text{Eligible Interviewed} + \text{Eligible Non-Interviewed}}{\text{Eligible Interviewed} + \text{Eligible Non-Interviewed} + \text{Not Eligible}}$$

$$^{\&} RR3 = \frac{I}{(I + P) + (R + NC + O) + Pe(UH + UO)}$$

$$^{\$} COOP3 = \frac{I}{(I + P + R)}$$

<sup>x</sup> Reference: American Association for Public Opinion Research, 2004.  
Standard Definitions: Final Dispositions of Case Codes and Outcome Rates for Surveys.  
3rd edition. Lenexa, Kansas. AAPOR.

**Disposition Classification Table**

AAPOR Final Disposition Classifications		ICARIS-2	
		Disps	Counts
<b><i>Interviewed</i></b>			
I	Interviewed	40	9684
<b><i>Total Interviewed</i></b>		<b><i>9684</i></b>	
<b><i>Eligible Non-Interview</i></b>			
P	Partially complete	41	320
R	Selected R refusal/break-off	30	2212
NC	Selected R never available, fully worked	31a	1292
NC	Selected R never available, <i>not fully worked</i>	31b	846
O	R physically/mentally unable to interview	32	370
<b><i>Total Eligible Non-Interview</i></b>		<b><i>5040</i></b>	
<b><i>Unknown Eligibility at HH level</i></b>			
UH	Refused screener pre-HH identification	20	1877
UH	No HH determination, fully worked	22	1372
UH	No HH determination, <i>not fully worked</i>	24	14272
<b><i>Total Unknown Eligible at HH level</i></b>		<b><i>17521</i></b>	
<b><i>Unknown Eligibility at Respondent level</i></b>			
UO	Refused screener at known HH	21	7371
UO	Unable to identify R at enumerated HH	33	1529
UO	No enumeration at known HH, fully worked	23	2245
UO	No enumeration at known HH, <i>not fully worked</i>	25	3137
<b><i>Total Unknown Eligible at Respondent level</i></b>		<b><i>14282</i></b>	
<b><i>Not Eligible</i></b>			
NE	No adult living in residence	11	129
NE	HH-level language problem	10	707
NE	Fax/Data Line	03	3685
NE	Nonworking/disconnected/changed	01	12168
NE	Cell phone/pager/blocked/other phone problem	02	1967
NE	Business/government office	04	5553
NE	Institution/group residence	05	357
<b><i>Total Not Eligible</i></b>		<b><i>24566</i></b>	
<b><i>Total Dialed by Contractor<sup>z</sup></i></b>		<b><i>71093</i></b>	
<b><i>Pre-screened Not Eligible</i></b>			
NE	Business/non-working	01p,05p	42383
<b><i>Total Pre-screened Not Eligible</i></b>		<b><i>42383</i></b>	
<b><i>Total Purchased</i></b>		<b><i>113476</i></b>	

<sup>z</sup> ICARIS-2: Includes 17808 numbers that did not receive the full compliment of calls. No adjustment was made to the response rate for numbers not fully worked.

## Final Disposition Codes for ICARIS-2

### Disposition Codes:

- 01 = Non-working telephone number/Disconnected/Number changed
- 02 = Cell phone/pager/blocked/other phone problem
- 03 = Fax/Computer line
- 04 = Business/other non-residential establishment only
- 05 = Institutional/Group residence
  
- 10 = No one in household speaks English or Spanish
- 11 = No one in household aged 18 or older
  
- 20 = Refused screening prior to household identification
- 21 = Refused screening at known household
- 22 = No household determination, fully worked
- 23 = No household enumeration at known household, fully worked
- 24 = Study ended before household determination
- 25 = Study ended before household enumeration at known household
  
- 30 = Selected respondent refused to start or complete interview (break-offs without data)
- 31 = Selected respondent never available (maybe fully worked or study may have ended)
- 32 = Selected respondent had problem (alcohol, mental capability, deceased)
- 33 = Unable to identify respondent at enumerated household<sup>1</sup>
  
- 40 = Completed interview
- 41 = Partially completed interview

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<sup>1</sup> Completed screener questions SC1 – SC3 (i.e., known residence, N of men, N of women) but broke off before a respondent was selected.

**Crosswalk between ICARIS-2 and AAPOR Disposition Codes**

<b>ICARIS-2 Classification</b>	<b>AAPOR</b>	<b>ICARIS-2<sup>#</sup></b>
<i><b>1.00 Interviews</b></i>		
<b>I – Interviewed</b>	1.1 Completed Interview	40 Completed Interview <sup>4</sup>
<b>P – Partial Interview</b>	1.2 Partial Interview	41 Partially Completed Interview <sup>5</sup>
<i><b>2.10 Refusals and Break-offs</b></i>		
<b>R – Refusal</b>	2.11 Contact made with HH. Responsible HH member declined interview.	
<b>R – Re*fusal</b>	2.111 Contact made with HH. Known respondent refused interview.	30 Selected adult respondent refused to start or complete interview.
<i><b>2.20 Non-contacts</b></i>		
<b>NC – Non-contact</b>	2.21 Number confirmed as eligible HH. “R” never available.	31a,b Selected respondent never available, fully worked and not fully worked.
<i><b>2.30 Other</b></i>		
<b>O – Other</b>	2.32 <sup>3</sup> Respondent physical and/or mental inability.	32 Other problem with selected respondent – Physically or mentally incapable.
<i><b>3.10 Unknown if residential HH, Non-Interview</b></i>		
<b>UH – Unknown if HH</b>	3.10 Unknown if residential HH	20 Refused screening prior to HH identification.
<b>UH – Unknown if HH</b>	3.12 Always busy	22,24 No Household determination – fully worked, not fully worked.
<b>UH – Unknown if HH</b>	3.13 No Answer	22,24 No Household determination – fully worked, not fully worked..
<b>UH – Unknown if HH</b>	3.14 Telephone answering machine does not conclusively indicate residential HH	22,24 No Household determination – fully worked, not fully worked.
<b>UH – Unknown if HH</b>	3.15 Call screening, call blocking, other barriers to getting through to a number.	--- <sup>6</sup>

Crosswalk between ICARIS-2 and AAPOR Disposition Codes, continued.

ICARIS-2 Classification	AAPOR	ICARIS-2 <sup>#</sup>
<b>3.20 Residential HH, Unknown if eligible respondent</b>		
<b>UO – Unknown Other</b>  <b>UO – Unknown Other</b>  <b>UO – Unknown Other</b>	3.20 <sup>1</sup> Known HH, failure/refused to complete the needed screener.	21 <sup>1</sup> ,23 <sup>1</sup> ,25 <sup>1</sup> Person answering phone confirms HH but refuses screening; or Answering device or information confirms HH but screener not completed – fully worked; or Study ended before HH enumeration at known HH (SC1 answered) but no information for SC2-SC5 – not fully worked.  33 Unable to identify/select respondent at enumerated HH.  02 <sup>6</sup> Blocked – message or tone indicates number cannot be reached.
<b>4.00 Not Eligible</b>		
<b>NE – Not Eligible</b>	4.20 Fax/data line	03 Fax (tone)/ Computer line (modem tone, 10+ call attempts across all three time slices with no result other than busy).
<b>4.30 Non-working/disconnected numbers, Not Eligible</b>		
<b>NE – Not Eligible</b>  <b>NE – Not Eligible</b>  <b>NE – Not Eligible</b>	4.31 New numbers not issued  4.32 Disconnected numbers previously assigned  4.33 Temporarily out of service	01 Nonworking/disconnected number  01 Telephone service provider message indicates number no longer in service.  01 or 02 Nonworking(rapid busy)/Non-connection with no service provider message; or Other Phone Problem(service provider message or recorded message indicates other problem).
<b>4.40 Special technological circumstances, Not Eligible</b>		
<b>NE – Not Eligible</b>  <b>NE – Not Eligible</b>  <b>NE – Not Eligible</b>	4.41 Changed number – location now reached by another number.  4.42 Cell/mobile phone  4.44 Pagers	02 Service provider message indicates number has been changed.  02 Person answering call or service provider message indicates cell phone.  02 Message or tone indicates paging service.

**Crosswalk between ICARIS-2 and AAPOR Disposition Codes, continued.**

ICARIS-2 Classification	AAPOR	ICARIS-2 <sup>#</sup>
<b>4.40 Special technological circumstances, Not Eligible (continued)</b>		
NE – Not Eligible		02 Service provider or recorded message indicates other problem.
<b>4.50 Non-residences, Not Eligible</b>		
NE – Not Eligible	4.51 Business/Government offices	04 Business/Other nonresidential establishment
NE – Not Eligible	4.52 Institutions (prison, sanitarium)	05 Institution/group residence
NE – Not Eligible	4.53 Group quarters (dorm, military barracks)	05 Institution/group residence
NE – Not Eligible		01P, 05P Pre-screened as non-working or business
<b>4.70 Housing Unit, No Eligible respondent</b>		
NE – Not Eligible	4.70 Usually residences with no one age 18+ years.	11 No one in HH age 18+ years
NE – Not Eligible	4.70 <sup>2</sup> No one in HH at time of contact can speak the language	10 <sup>2</sup> No one in HH speaks English or Spanish

<sup>#</sup> ICARIS-2 target population: Adults (18+ yrs) living in residential telephone households in the United States who are physically and mentally capable of participating in a telephone interview in either English or Spanish as of the status date (date of enumeration of adults in the household).

<sup>1</sup> Classify as ‘Unknown Other’ if the record is known to be a household but no other information regarding enumeration of adults is present.

<sup>2</sup> “Language cases can be counted as not eligible (4.70) if the survey is defined as only covering those who speak certain languages.” “Whenever language problems are treated as part of 4.70 instead of 2.33, this must be explicitly stated.” (Ref: AAPOR – *Standard Definitions* Final Dispositions of Case Codes and Outcome Rates for Surveys, 2004, page 13.)

<sup>3</sup> The reference to footnote 3 has been deleted (no footnote 3).

<sup>4</sup> ICARIS-2 Completed Interview: Completed Interview through the last question.

<sup>5</sup> ICARIS-2 Partially Completed Interview: Completed screener and at least module 1.

<sup>6</sup> ICARIS-2 Code 02: Unable to separate call blocking (UH) from other 02 (NE – Not Eligible) codes such as cell phones and pagers. Classify all 02 as NE.

We considered persons and households with language problems to be ineligible. We considered numbers pre-screened as business and non-working to be known ineligible for purposes of computing  $P_e$  (proportion eligible among those with known eligibility status). For ICARIS-2, we were not able to distinguish between call blocking (Unknown) and other dispositions such as cell phones/pagers and other selected telephone problems generally rendering a number ineligible. Therefore, for purposes of computing response rates for ICARIS-2, call blocking was considered Not Eligible. A known household was considered to have a known eligible respondent only if presence of an adult resident able to interview in English or Spanish could be definitively determined. Otherwise it was considered to be a household with respondents of unknown eligibility.