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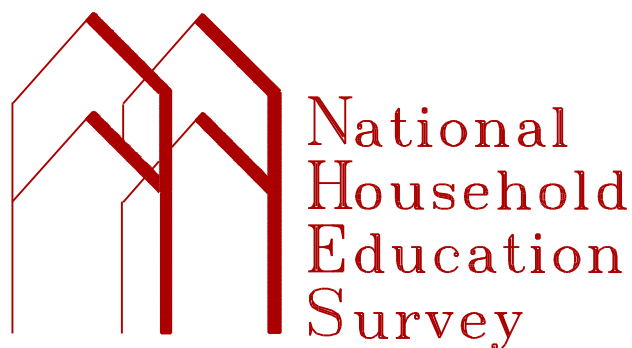
**Technical Report**

**July 1997**

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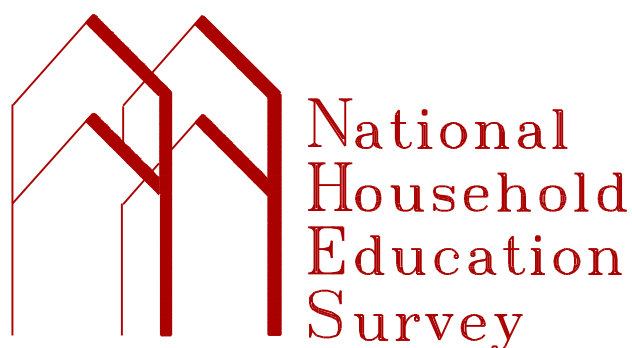
**National Household Education Survey**

**An Overview of Response  
Rates in the National  
Household Education Survey:  
1991, 1993, 1995, and 1996**



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## Introduction

High response rates are critical to the success of surveys because the potential for nonresponse bias increases as the response rate decreases. The most effective way to avoid serious nonresponse bias is to achieve high response rates. Some have argued that response rates have been declining for many years (Kessler et al. 1995), but the evidence for this assertion is not very persuasive (Shettle et al. 1994). Rather than dealing with the more general question of response rates over time for different surveys, this report concentrates on the rates in one particular survey program. Response rates in the National Household Education Survey (NHES) have varied from one survey administration to the next, particularly at the household screening level. The 1995 and 1996 surveys had much lower household screening response rates than the 1991 and 1993 surveys.

The purpose of this report is to present descriptive information on response rates for the four NHES administrations in the context of the populations of interest and the survey procedures used for each cycle. Some of the reasons for changes in response rates among the surveys are presented, including results from a 1995 experiment in household screening.<sup>1</sup> Following an overview of the NHES, response rates at the screening level are addressed, followed by a discussion of response rates to the interviews conducted with or about persons sampled within households (extended interviews).

This report provides summary information pertaining to the four NHES cycles completed to date. More extensive information on each cycle of the NHES is available in NCES technical reports and working papers. See the section, "For More Information," at the end of this report for a list of pertinent documents.

## Overview

The National Household Education Survey (NHES) is a data collection system of the National Center for Education Statistics (NCES), which has as its legislative mission the collection and publication of data on the condition of education in the Nation. The NHES is specifically designed to support this mission by providing information on those educational issues that are best addressed by contacting households rather than schools or other educational institutions. The NHES provides descriptive data on the educational activities of the U.S. population and offers policymakers, researchers, and educators a variety of statistics on the condition of education in the United States.

The NHES is a telephone survey of the noninstitutionalized civilian population of the U.S. Households are selected for the survey using random digit dialing (RDD) methods, and data are collected using computer-assisted telephone interviewing (CATI) procedures. From 45,000 to 64,000 households are screened for each administration, and individuals within households who meet predetermined criteria are sampled for more detailed or extended interviews. The data are weighted to permit estimates of the entire population. The NHES survey for a given year typically consists of a set of screening questions (Screener), which collects household composition and demographic data, and extended interviews on two substantive components addressing education-related topics. In order to assess data item reliability and inform future NHES surveys, each administration also includes a subsample of respondents for a reinterview.

The primary purpose of the NHES is to conduct repeated measurements of the same phenomena at different points in time. Throughout its

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<sup>1</sup> A full report on the experiment is available in Brick, Collins, and Chandler (forthcoming).

history, the NHES has collected data in ways that permit estimates to be tracked across time. This includes repeating topical components on a rotating basis in order to provide comparative data across survey years. In addition, each administration of the NHES has benefited from experiences with previous cycles, resulting in enhancements to the survey procedures and content. Thus, while the survey affords the opportunity for tracking phenomena across time, it is also dynamic in addressing new issues and including conceptual and methodological refinements.

A new design feature of the NHES program implemented in the NHES:96 is the collection of demographic and educational information on members of all screened households, rather than just those households potentially eligible for a topical component. In addition, this expanded screening feature included a brief set of questions on an issue of interest to education program administrators or policymakers, public library use. The total Screener sample size was sufficient to produce state estimates of household characteristics for the NHES:96.

The NHES has been conducted in 1991, 1993, 1995, and 1996. Topics addressed by the NHES:91 were early childhood education and adult education. The NHES:93 collected information about school readiness and school safety and discipline. The 1991 components were repeated for the NHES:95, addressing early childhood program participation and adult education. Both components underwent substantial redesign to incorporate new issues and develop new measurement approaches. In the NHES:96, the topical components were parent/family involvement in education and civic involvement. The NHES:96 expanded screening feature included a set of questions on public library use.

In addition to its topical components, the NHES system has also included a number of methodological investigations which provide information that can be used to improve this and other survey programs in the future. These investigations have resulted in technical reports

and working papers covering diverse topics such as telephone undercoverage bias, proxy reporting, and sampling methods. This series of technical reports and working papers provides valuable information on ways of improving the NHES. Some pertinent reports and working papers are listed in the "For More Information" section at the end of the report.

## **Definition of Response and Completion Rates**

Before examining the NHES response rates, it is useful to define what is meant by response rates. In general, the response rate is the ratio of the number of units with completed interviews (the units could be telephone numbers, households, or persons) to the number of units sampled and eligible to complete the interview. In some cases, these rates are easily defined and implemented, while in other cases the numerators or denominators of the ratio must be estimated.

When a survey includes multiple stages of sampling, the "response rate" is the percentage of possible interviews completed, taking into account all survey stages (e.g., screeners and extended interviews). The "completion rate" is used to measure the ability to complete interviews for a specific stage or component of the survey. For example, in the NHES, household members are identified and sampled for extended interviews for the topical components in two stages: Screener interviews are conducted to enumerate and sample household members, and then interviews are conducted for the sampled members using extended questionnaires. The completion rate for the first stage is the percentage of sampled and eligible households with completed Screeners. The failure to complete the first stage Screener means that it is not possible to enumerate and interview any members of the household. The completion rate for the second stage is the percentage of sampled and eligible persons with completed interviews. The response rate is the product of the first- and second-stage completion rates. As the discussion points out, the Screener response rate is critical in the NHES because it is a component in all the response rates.

## Screening Response in the NHES

When response to a household Screener is considered, the completion rate and the response rate are the same, because this is the first stage of the survey and its response rate is not the product of multiple completion rates. As shown in table 1, the screener response rate in the NHES ranged from 69.9 to 82.1 over the 1991 through 1996

surveys. A substantial difference is seen between the 1991 and 1993 Screener response rates of 81.0 and 82.1 percent, respectively, and the 1995 and 1996 rates of 73.3 and 69.9 percent, respectively. This difference of about 8 to 12 percent in Screener response between the first two and next two NHES collections is of great concern. In the next sections, the screening approaches used for the NHES administrations are described to help illuminate these differences.

Table 1.—Number of completed Screeners and weighted completion rates in the NHES, by survey year

| Survey year | Number of completed interviews | Weighted completion rate |
|-------------|--------------------------------|--------------------------|
| NHES:91     | 60,322                         | 81.0                     |
| NHES:93     | 63,844                         | 82.1                     |
| NHES:95     | 45,465                         | 73.3                     |
| NHES:96     | 55,838                         | 69.9                     |

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

## Screening Approaches in the NHES

The screening approach for an RDD telephone survey encompasses a set of activities to inform the household member that the household was sampled for a survey and obtain their cooperation and accurate responses. The specific information requested in the screening interview depends on the survey itself. For each NHES cycle, the approach was customized to the needs of the particular data collection effort. As a result, each screening was somewhat different. In the NHES:91, NHES:93, and NHES:95, the screening approach was based on the needs of the topical components. In the NHES:96, the screening approach was largely based on the desire to utilize the NHES to collect information on the educational status and demographic characteristics of all persons in all sampled households.

Despite differences in the approaches used, the NHES Screeners shared common elements across the years. Interviewers gave their full names immediately upon contact, and the sponsorship of the study by the U.S. Department of Education was stated in the first sentence of the introduction. In all years except the NHES:96, the household was told the Screener would take “about 5 minutes” or “5 minutes or less” during the introduction. In the NHES:96, the time estimate was provided later and varied depending on the characteristics of the household. Most households (about 95 percent) were given an estimate of “5 to 7 minutes.” All NHES screeners included some questions about household membership, referred to as enumeration (rostering). In general, enumeration involves the collection of the first name, age, and sex of each person; some additional



characteristics may be collected as needed for sampling persons within households. The type of questions varied from survey to survey in the NHES. In some years, only households with children were enumerated while in others all household members were enumerated. In one year, only household members who were potentially eligible to be sampled for extended interviews were enumerated. Thus, the percentage of households that were enumerated and the number of persons enumerated within households depended on the survey requirements.

The remainder of this section presents the approaches used in each cycle; the screening approaches are also summarized in table 2. Copies of the NHES Screener interviews appear in the appendix.

### **NHES:91 Screening**

The two topical components in the NHES:91 were Early Childhood Education (ECE) and Adult Education (AE). The population of interest for the ECE component included all children age 3 to age 8 and 9-year-olds who had not yet completed second grade. At the time of the NHES:91, this population was found in less than one in five households, and therefore every household in the sample was asked if children of this age lived in the household. The population of interest in the AE component included civilian adults age 16 or older who were not enrolled in elementary or secondary school. Virtually all households contain one or more members of this population. The sample size requirements for the AE component could be met by sampling adults in only about one in three households sampled for the NHES:91.

The screening approach used in the NHES:91 was based on the above requirements, using what is called partial and split enumeration. Partial enumeration refers to an approach in which only members of the population of interest are included in the enumeration; all household members are not enumerated unless all members fall into that population. Split enumeration is an approach in which the populations of interest, in this case children and adults, are enumerated

separately at different stages of the Screener. It is a particularly useful approach when a population is found in only a subset of households (e.g., children), or when one or both populations are sampled in only a subset of households (e.g., adults in the NHES:91).

When a household was contacted in the NHES:91, the Screener respondent was asked if any children age 2 to 9 normally lived in the household<sup>2</sup>. If so, these children were enumerated (partial enumeration) and information on their school enrollment and grade was collected. This stage of the Screener was done in all households. If the household was also subsampled for AE screening, then adults age 16 and older were enumerated and information was collected on their current enrollment in school and participation in adult education activities after the child enumeration was completed (split enumeration). About 30 percent of households (18,463 out of 60,314 screened households) were screened for the AE component. At the end of the Screener, household characteristics such as whether they owned their home were collected.

### **NHES:93 Screening**

The topical components in the NHES:93 were School Readiness (SR) and School Safety and Discipline (SS&D). The population of interest for the SR component included children age 3 through 7 plus children age 8 or 9 who had not finished second grade. The population of interest for the SS&D component included children and youth in grades 3 through 12. At the time of the survey, about one in three households included one or more children in this population. In a survey such as this, where the target population is found in only a subset of households, a preliminary question can be used to eliminate those households without any eligible members prior to enumerating household members; this is called a screen-out approach.

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<sup>2</sup> Respondents were asked about children age 2 to 9 to allow for some error in reporting of ages and because 9-year-olds in second grade or below were of interest. Based on the findings of the NHES:91, this “bracketing” of ages was not continued in subsequent NHES cycles.

Table 2.—Screening approaches in the NHES, by survey year

| NHES:91                                                                                                                                                                                                                                                                                                                                                                   | NHES:93                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | NHES:95                                                                                                                                                                                                                                                                                                                                                                                           | NHES:96                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>* Sponsorship by U.S. Department of Education; time estimate of 5 minutes</li> <li>* Confirmed telephone number</li> <li>* Asked to speak to hh member at least 16 years old</li> <li>* Asked if telephone number for home or business use</li> <li>* Asked for children age 2-9</li> <li>* Enumerated children age 2-9</li> </ul> | <ul style="list-style-type: none"> <li>* Sponsorship by U.S. Department of Education</li> <li>* Asked if telephone number for home or business use</li> <li>* Further introduction; time estimate of 5 minutes</li> <li>* Asked to speak to hh member at least age 18 (if none, asked for hh member age 16 or older)</li> <li>* Asked if any hh members age 18 or younger and then if any in 12th grade or below</li> <li>* If children in hh, enumerated all hh members and verified entries</li> <li>* Asked enrollment in school and grade/equiv for each child over age 2</li> </ul> | <ul style="list-style-type: none"> <li>* Sponsorship by U.S. Department of Education; time estimate of 5 minutes</li> <li>* Asked to speak to hh member at least age 18</li> <li>* Asked if telephone number for home or business use</li> <li>* Enumerated all hh members and verified entries</li> <li>* Asked enrollment in school and grade/equiv for persons age 3-10 &amp; 16-19</li> </ul> | <ul style="list-style-type: none"> <li>* Sponsorship by U.S. Department of Education</li> <li>* Asked to speak to hh member at least age 18</li> <li>* Asked if telephone number for home or business use</li> <li>* Further introduction</li> <li>* Asked if any hh members under age 21</li> <li>* Gave time estimates : 10-15mins for random adult sample and 5-7mins for all others</li> <li>* Library questions for random adult sample or if no persons under age 21</li> <li>* Enumerated all hh members and verified entries</li> <li>* Asked enrollment in school and grade/equiv for all hh members over age 2</li> </ul> |

Table 2.—Screening approaches in the NHES, by survey year--Continued

| NHES:91                                                                                                                                                                                                                                                                                                                                                                                                                                | NHES:93                                                                                        | NHES:95                                                                                                                                                                                                                                                                        | NHES:96                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>* Identified parent R for each sampled child</li> <li>* Introduction to adult education (30% ofhhs)</li> <li>* Asked age, race, Hispanic origin for 1st adult (respondent)</li> <li>* Enumerated all adults</li> <li>* Asked adult education participation items for all adults</li> <li>* Collected contact data for sampled out-ofhh adults</li> <li>* Collectedhh characteristics</li> </ul> | <ul style="list-style-type: none"> <li>* Identified parent R for each sampled child</li> </ul> | <ul style="list-style-type: none"> <li>* Asked education and AE participation for adults age 16 or older not in elementary or secondary school</li> <li>* Identified parent R for each sampled child</li> <li>* Collected contact data for sampled out-of hh adults</li> </ul> | <ul style="list-style-type: none"> <li>* Asked demographics for alhh members</li> <li>* Library questions for households with members under 21, but none sampled for interviews</li> <li>* Identified parent R for each sampled child</li> <li>* Collected contact data for sampled out-of hh adults</li> <li>* Collectedhh characteristics (if no persons sampled for interviews)</li> </ul> |

NOTES: hh = household; R = respondent

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES), various years.

In the NHES:93 Screener, the household respondent was asked if any household members were age 18 or younger. If not, the respondent was asked if any household members were in 12th grade or below. If no household members met one of these criteria, the Screener was ended and the household was classified as ineligible for the NHES:93. In those households with members meeting one of these criteria, all members of the household were enumerated. Information on the enrollment status and grade of each person age 3 through 20 was collected and children and youth were sampled for the SR and SS&D components.

Household characteristics were not collected at the screening stage in the NHES:93 or subsequent years. Instead, household characteristics were collected at the end of the first extended interview in the household.

#### **NHES:95 Screening**

In the NHES:95, the NHES:91 topics were repeated, with some changes -- the two components were Early Childhood Program Participation (ECPP) and Adult Education (AE). The target population for the ECPP component was expanded to include children under age 3; thus, the population of interest was children from birth through 3rd grade, with a maximum age of 10. All households were screened for eligible children. The population of interest for the AE component was unchanged from the NHES:91 and included civilian adults age 16 and older not in elementary or secondary school. However, the sample design for this component changed because estimates of adults without high school diplomas were of special interest. As a result, all households had to be screened for AE in order to obtain a large enough sample for this special subgroup. Thus, full enumeration of all members of all sampled households was a feature of the NHES:95 Screener.

The NHES:95 also included a test of an Expanded Screener in a subsample of the households. The purpose of this test was to assess the feasibility of using the NHES to collect information on the educational and demographic characteristics of all persons in all

sampled households. In addition, the Expanded Screener included a brief set of questions that any adult household member could answer -- in this case, household members' use of public library services. The Expanded Screener test involved the completion of 1,478 Screeners. The response rate for these Expanded Screeners was virtually identical to that for the NHES:95 basic Screener.

#### **NHES:96 Screening**

The Expanded Screener was fully implemented in the NHES:96. To accommodate these requirements, the screening approach included the full enumeration of all sampled households, the collection of demographic and educational data on all household members, a brief set of questions on public library use, and items on household characteristics. The placement of the items in the Screener varied according to the household membership and the portion of the sample to which the household was assigned (described further below).

The NHES:96 topical components were Parent/Family Involvement in Education (PFI) and Civic Involvement (CI). Two populations were of interest in the NHES:96 -- children age 3 through 12th grade and adults age 18 and older. The great majority of the sample (95 percent) was allocated to the sampling of children and youth; 5 percent of the sample was allocated to the sampling of adults. The library questions were administered prior to enumerating the household if the household was in the adult portion of the sample or if the household was in the portion of the sample allocated to sampling children and youth but had no household members under age 21. In households allocated to parent/youth sampling in which there were members age 20 or younger, the library questions were asked after enumeration if no one in the household was sampled and in the first extended interview if someone was sampled. However, if any household member was sampled for an extended interview, the household characteristics were not collected in the Screener, but were collected in the first extended interview in the household.

With this general background on the screening approaches used in the NHES, attention can now be focused on strategies to maximize response and the sources of nonresponse for the Screener.

## Strategies to Maximize Response

Most surveys include data collection activities designed to maximize response rates. The NHES program included such widely used procedures as multiple contact attempts, refusal conversion, and interviewing in a language other than English. Specifically, up to seven attempts were made to contact a household before assigning a case to maximum call, no answer, or answering machine status, and these attempts were staggered over a period of at least 2 weeks. The call attempts included daytime, evening, and weekend calls. Refusals that were not designated as hostile (profane or abusive) were held for a period of time, typically about 2 weeks, and an interviewer then attempted refusal conversion. Finally, NHES interviews were conducted in Spanish as well as English. In addition to these widely used procedures, the NHES has included additional strategies to increase response, and these have varied somewhat over the life of the project (table 3).

**Additional Refusal Conversion Attempts.** In each NHES collection, an additional refusal conversion attempt was made for at least of subset of cases that had refused a second time. This additional refusal conversion is not done in most RDD surveys. In the NHES:91 and NHES:93, additional conversion attempts were made for cases that had been coded by the interviewer<sup>3</sup> as mild or firm on the first refusal and mild or firm on the second refusal, but not firm on both; cases ever coded as hostile were excluded from conversion efforts. In the NHES:95 and the NHES:96, the additional refusal conversion attempt was made for all cases that were never coded as hostile.

**Additional Nonresponse Attempts.** Nonresponse cases other than refusals were also

refielded for additional attempts to complete an interview. These included cases that had met the criteria described above for maximum call status, no answer status, or answering machine only status. In the NHES:91 and NHES:93, maximum call and answering machine cases (those telephone numbers where an answering machine was reached but a person never answered) were refielded. No answer and language problem results were added to the refielding effort in the NHES:95. Language problem cases were not included in this effort in the NHES:96 because of the very low yield from this activity observed in the NHES:95. The great majority of nonresponse cases in the NHES (other than refusals) had at least 14 attempts made to complete an interview.

**Answering Machine Messages.** Beginning with the NHES:95, a message was left on an answering machine the first time an answering machine was encountered for a Screener case. This brief message identified the purpose of the call and sponsorship of the study and left a toll-free number for respondents to call if they wished to make an appointment or get more information about the study. The system did not display the answering machine message again for a given case once an interviewer coded that a message was left successfully. However, during the last month of data collection in the NHES:95 and NHES:96, an “answering machine day” was designated once each week, and messages were left for all answering machine results on those days only.

**Respondent Information Letter.** In each survey year, a respondent information letter was sent by NCES upon request from a respondent. This letter, signed by the NCES Project Officer, provided an overview of the survey and its purpose and encouraged the respondent’s participation. Requests for such letters were provided to NCES on a flow basis throughout the data collection period. While no specific records were maintained on the numbers of letters sent each year, staff observed a marked increase in that activity in the NHES:95 and NHES:96 compared to previous years.

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<sup>3</sup> Interviewers coded each refusal as mild, firm, or hostile. All cases coded as hostile were reviewed by a telephone center supervisor.

Table 3.—Special data collection activities in the NHES that varied across time, by survey year

| Special data collection activities <sup>1</sup> | Survey year |      |      |      |
|-------------------------------------------------|-------------|------|------|------|
|                                                 | 1991        | 1993 | 1995 | 1996 |
| Additional refusal conversion attempts          |             |      |      |      |
| All but firm/firm and hostile <sup>2</sup>      | ✓           | ✓    |      |      |
| All but hostile <sup>2</sup>                    |             |      | ✓    | ✓    |
| Additional nonresponse attempts                 |             |      |      |      |
| Maximum call and answering machine results      | ✓           | ✓    | ✓    | ✓    |
| No answer results                               |             |      | ✓    | ✓    |
| Language problem results                        |             |      | ✓    |      |
| Message left on answering machines <sup>3</sup> |             |      | ✓    | ✓    |
| Respondent information letter upon request      | ✓           | ✓    | ✓    | ✓    |
| Nonresponse conversion letter                   |             |      | ✓    |      |
| Advance letter                                  |             |      |      | ✓    |

<sup>1</sup>These are procedures undertaken in addition to the standard procedures used in most federal surveys conducted by Westat. Standard procedures included at least 16 hours of interviewer training, refusal conversion training, English and Spanish interviewing, a minimum seven call protocol with daytime, evening, and weekend calls, and attempting to convert refusals by calling again after waiting about 13 days.

<sup>2</sup>Each refusal was classified by the interviewer as mild, firm, or hostile. After a conversion attempt, they could be either mild/mild, mild/firm, firm/mild, or firm/firm, etc. Any case classified as hostile on either call was excluded from further conversion activities.

<sup>3</sup>A message was left the first time an answering machine result was obtained at the Screener level. In addition, during the last month of data collection, an “answering machine day” was established each week, and messages were left on answering machines on these days only.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

**Nonresponse Conversion Letter.** When it became apparent that the Screener cooperation rate in the NHES:95 was below that of previous NHES collections, the decision was made to use a nonrespondent conversion letter to try to increase response. While there is a long history of using letters to respondents in list-sample studies, the use of such letters in RDD surveys has been limited, and the likely effects of sending

such a letter were unknown. The telephone numbers of refusal, maximum call, and answering machine cases were sent to a commercial vendor for the purpose of obtaining addresses where possible. A letter encouraging participation in the study was sent to each household for which a “mailable” address was obtained from the vendor. A toll-free number

was provided for respondents to call for an appointment or to get additional information.

**Advance Letter.** In the NHES:96, an advance letter was mailed prior to any data collection to all households for which a mailable address could be obtained. This letter described the purpose of the study and requested the household's participation. Again, a toll-free number was provided for requesting appointments or obtaining more information. The use of the advance letter was based on the results of a screening experiment conducted during the field test of the NHES:96. This experiment is described in a later section.

It is not possible to measure exactly how each of the screening approaches or strategies described above affected Screener response rates in the NHES. However, these factors are important to bear in mind in the following sections discussing sources of nonresponse, Screener administration time, and other factors related to response.

### Sources of Screener Nonresponse

Screener nonresponse in the NHES comes from several general sources. The greatest source of nonresponse is the refusal of households to participate in the study or to complete the Screener (table 4). Other sources, each far less

common than refusals, are failure to complete the Screener with households that have been contacted despite many attempts to do so (called *maximum call* cases); inability to complete the Screener because no adult household member speaks either English or Spanish or because of a hearing or speech problem (called *language problem* cases); and other nonresponse, which includes households in which residents are ill or incapacitated, away from home for an extended period, or have other problems hindering response.

While table 4 gives the category for each type of nonresponse among contacted households, the Screener response rate is also affected by the subset of telephone numbers that are never answered despite numerous telephone calls. Since these numbers are never answered by a household member, it is not possible to determine whether or not the numbers are residential. The percentage of these "no answer" telephone numbers varied from 3.4 to 5.9 percent in the four NHES surveys. Studies of these numbers indicate that about 40 percent of them are residential, and this percentage has been used to estimate the total response rate for the NHES surveys.

Table 4.—Types of nonresponse in the NHES and percent of total nonresponse accounted for by each type, by survey year

| Nonresponse category | NHES:91 |         | NHES:93 |         | NHES:95 |         | NHES:96 |         |
|----------------------|---------|---------|---------|---------|---------|---------|---------|---------|
|                      | Number  | Percent | Number  | Percent | Number  | Percent | Number  | Percent |
| Total                | 11,801  | 100     | 12,249  | 100     | 14,248  | 100     | 20,420  | 100     |
| Refusals/breakoffs   | 9,884   | 84      | 8,297   | 68      | 11,932  | 84      | 16,864  | 83      |
| Maximum calls        | 802     | 7       | 1,790   | 15      | 1,277   | 9       | 2,037   | 10      |
| Language problems    | 510     | 4       | 832     | 7       | 736     | 5       | 1,163   | 6       |
| Other nonresponse    | 605     | 5       | 1,330   | 11      | 303     | 2       | 356     | 2       |

Note: Because of rounding, percents may not add to 100.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

Refusals are the largest source of Screener nonresponse, accounting for 68 to 84 percent of all nonresponse. Substantially less nonresponse results from maximum calls, language problems, and other nonresponse. The pattern for the NHES:93 varies somewhat from other years. The lower rate of refusals in the NHES:93 and the generally higher response rate meant that less refielding of other nonresponse cases was needed prior to ending data collection with an acceptable screening response rate. Developing strategies to avoid refusals or convert refusals into responses has been a focus of substantial effort in the NHES. The location in the interview at which Screener refusals occur is a potentially useful source of information in that effort. In the next section, this topic is explored.

### Point of Refusal in the Screener

Table 5 shows the screening stage at which final refusals<sup>4</sup> occurred in the NHES:91, NHES:95,

and NHES:96 (this information is not available for the NHES:93). The questionnaire sections are listed in the order in which they occur in the Screener, with the exception of the library questions, which had variable placement. The Screeners for each NHES survey are provided in the appendix.

From 68 percent to 85 percent of the final refusals occurred at the introduction. This figure varied somewhat by survey year, with the percentage in 1991 being lower than in 1995 and 1996. This may reflect the fact that since many households were “screened out” in the NHES:91, interviewers may have been successful at keeping respondents on the telephone somewhat longer by telling them that they only had a few questions, even though the households eventually refused.

Table 5.—Location of final refusals in NHES Screeners, and percent of refusals, by survey year

| Questionnaire section | NHES:91 |         | NHES:95 |         | NHES:96 |         |
|-----------------------|---------|---------|---------|---------|---------|---------|
|                       | Number  | Percent | Number  | Percent | Number  | Percent |
| Total refusals        | 9,884   | 100     | 11,932  | 100     | 16,864  | 100     |
| Introduction          | 6,719   | 68      | 9,515   | 80      | 14,271  | 85      |
| Before matrix         | 1,525   | 15      | 576     | 5       | 1,513   | 9       |
| Enumeration matrix    | 1,139   | 12      | 938     | 8       | 475     | 3       |
| After enumeration     | 501     | 5       | 40      | <1      | 99      | <1      |
| Library questions*    | --      | --      | --      | --      | 502     | 3       |

\*Library item placement varied; this figures includes 46 breakoffs before enumeration and 34 after enumeration..

NOTE: The location of refusals is not available for the NHES:93 Screener. The numbers of cases breaking off at each Screener stage may not sum to the total number of refusals and the percents may not add to 100 because the breakoff screen is not available for all cases. The Screener breakoff location represents the final refusal for the household.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

<sup>4</sup> Refusal conversion efforts may result in more than one refusal being received. No cases had more than three refusals.



An additional 5 to 15 percent of refusals occurred before the enumeration matrix, in questions that were designed to determine whether the sampled telephone number was a home number, whether the person on the telephone was an adult household member, and whether any members of the population of interest resided in the household (if applicable). In the NHES:96, the questions on public library use were also asked before the enumeration in 60 percent of the households. About 3 percent of the NHES:96 Screener refusals occurred in the library series, and the great majority of these breakoffs (468 out of 502) occurred when the library items were placed prior to the matrix.

The NHES:96 affords the opportunity to look at the locations of initial and final refusals for those cases that received more than one refusal during data collection.<sup>5</sup> Table 6 shows that the majority of both initial and final refusals occurred at the introduction to the Screener; 70 percent of initial refusals (11,706 of 16,811) and 85 percent of final refusals (14,237 of 16,811) occurred at the

introduction. About 61 percent of all cases with two or more refusals (10,233 of 16,811) received both their initial and final refusals at the introduction. Experience monitoring NHES interviews has shown that in many of these cases the respondent hangs up without saying anything during the introduction. It is unclear whether many of these households are even aware of the purpose of the call.

Most refusal cases that proceeded further than the introduction prior to receiving their initial refusals did not get past the introduction when receiving their final refusals. In other words, the subsequent refusals generally occurred earlier than the initial refusals. For example, of the 2,299 cases that received their initial refusals in questions preceding the matrix, 1,811 (79 percent) received their final refusals at the introduction. Similarly, of the 1,281 cases in which the Screener respondent got as far as the enumeration matrix prior to giving the first refusal, 987 (77 percent) gave their final refusals at the Screener introduction.

Table 6.—Location of initial and final Screener refusals in the 1996 National Household Education Survey

| Initial refusal    | Final refusal |              |        |             |       |         |
|--------------------|---------------|--------------|--------|-------------|-------|---------|
|                    | Total         | Introduction | Before | Enumeration | After | Library |
| Total              | 16,811        | 14,237       | 1,493  | 475         | 105   | 501     |
| Introduction       | 11,706        | 10,233       | 910    | 240         | 51    | 272     |
| Before matrix      | 2,299         | 1,811        | 329    | 81          | 17    | 61      |
| Enumeration matrix | 1,281         | 987          | 146    | 109         | 6     | 33      |
| After matrix       | 319           | 255          | 25     | 15          | 16    | 8       |
| Library questions  | 1,206         | 951          | 83     | 30          | 15    | 127     |

NOTE: Includes cases with at least two refusals; total final refusal cases were 16,864.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES) spring 1996

<sup>5</sup> The 53 cases that are initial refusals and did not receive a second refusal are those that were coded by interviewers as hostile and not called for refusal conversion, those for which refusal conversion attempts resulted on other outcomes such as maximum calls or language problems, and those that received their first refusals during the last few days of data collection when there was insufficient time to attempt a refusal conversion. A very small number of cases called NCES or Westat after receiving the advance letter and indicated that they did not wish to be called and would not complete the survey.

It was relatively uncommon for a refusal to occur after the enumeration matrix. As mentioned earlier, the great majority of breakoffs in the library series occurred when these items were asked prior to enumeration. Excluding the library questions from consideration, only 16 cases out of 16,811 received both their initial and final refusals after the enumeration matrix, and only 105 of the final refusals (less than 1 percent) occurred after the matrix.

### **Screener Administration Time**

A topic of considerable interest in the survey literature is the relationship between the length of the interview and the response rate. This issue is of interest in the NHES because the length of the NHES Screeners varied considerably over the years (table 7). In the NHES:91 and the NHES:93, each of which used some type of screen-out approach,<sup>6</sup> the average administration time was quite short for those households with no extended interviews (1 to 2 minutes) and somewhat longer for those households in which persons were sampled for extended interviews (4 to 6 minutes). In the NHES:91, the household characteristics were collected at the Screener level for households in which persons were

sampled, resulting in a longer administration time than in the NHES:93. In the NHES:95, all households were fully enumerated. As a result, the difference in the Screener administration time for households with and without extended interviews (2.9 minutes and 3.3 minutes) is not very large.

In the NHES:96, all households were fully enumerated, and information on the educational and demographic characteristics of household members was collected in the Screener. In addition, a brief set household characteristics and questions on public library use by household members were collected in the Screener if no child was sampled as the subject of a parent interview. If any household member was sampled for an extended interview, household characteristics and questions on public library use were collected during the first extended interview in the household. The average administration time for the NHES:96 Screener ranged from 6.3 minutes for households with extended interviews to 7.7 for households with no extended interviews. This difference is largely due to the collection of library items and household characteristics at the Screener level in households with no extended interviews.

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<sup>6</sup> A screen-out approach, as discussed earlier, is one in which a preliminary question is used to eliminate households that have no eligible members prior to enumerating the household members.

Table 7.—Number of completed Screeners\* and mean Screener administration time, by survey year and type of extended interviews in the household

| Survey year and type                  | Number of completed Screeners* | Mean administration time in minutes |
|---------------------------------------|--------------------------------|-------------------------------------|
| <b>NHES:91</b>                        |                                |                                     |
| Total                                 | 60,322                         | 3.2                                 |
| Household with no extended interviews | 31,219                         | 1.0                                 |
| Households with extended interviews   | 29,103                         | 5.7                                 |
| <b>NHES:93</b>                        |                                |                                     |
| Total                                 | 63,844                         | 2.5                                 |
| Household with no extended interviews | 44,426                         | 1.8                                 |
| Households with extended interviews   | 19,418                         | 4.0                                 |
| <b>NHES:95</b>                        |                                |                                     |
| Total                                 | 43,987                         | 3.2                                 |
| Household with no extended interviews | 13,254                         | 2.9                                 |
| Households with extended interviews   | 30,733                         | 3.3                                 |
| <b>NHES:96</b>                        |                                |                                     |
| Total                                 | 55,838                         | 7.1                                 |
| Household with no extended interviews | 33,901                         | 7.7                                 |
| Households with extended interviews   | 21,937                         | 6.3                                 |

\*Number of completed Screeners is the number for which timing data were available. For the NHES:95, the Expanded Screener sample is excluded.

NOTE: In the NHES:91, household characteristics were collected in the Screener if a household member was sampled for an extended interview. In the NHES:96, more information was collected in the Screener for households in which only members were sampled for extended interviews.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

Given that the NHES:95 and the NHES:96 both included full enumeration of all households, the question arises as to whether the greater length of the NHES:96 Screener contributed to the difference of 3.4 percent in the response rates between these two years (73.3 versus 69.9). Some information on this can be gleaned from the test of the Expanded Screener (the form used in the NHES:96) during the NHES:95 data collection. In this test, 1,478 Expanded Screeners were conducted to assess the feasibility of this approach. The response rates for the basic NHES:95 Screener and the Expanded Screener were virtually identical, and very few

Expanded Screener cases broke off after completing the enumeration matrix (9 out of 1,363 nonresponse cases). This indicates that the greater length of the Expanded Screener alone probably does not account for the lower response rate. An external factor that may have been related to the difference between the 1995 and 1996 Screener completion rates was the second of two highly publicized federal government shut-downs that occurred during the first few weeks of the NHES:96 data collection period, possibly resulting in negative attitudes toward the government.

## NHES:96 Screening Experiment

It is not possible to assess the impact on Screener response of the approaches to screening and strategies for maximizing response rates for the NHES:91 through NHES:96 by merely comparing the response rates across years. The survey topics for each year, the elapsed time between data collections, and other variable factors make any conclusions from such comparisons tentative at best. Nor does the extant survey literature provide the answer. Most of the relevant literature focuses on differences between an enumeration approach, often called a Kish approach (Kish 1949), a last-birthday approach in which the person with the most recent birthday is selected (Lavrakas et al. 1993), or an alternating selection of the oldest or youngest male or female (Troidah and Carter 1964). Some additional research on surveys using enumeration focus on whether names should be collected (Bercini and Massey 1979) or placement of the enumeration within the survey (Waksberg 1978). Therefore, an experiment was conducted during the field test of the NHES:96 (in the summer of 1995) to assess the effect of the screening approach while holding the survey content and timing constant. This experiment is a very valuable source of information on factors related to response rates.

The screening experiment involved splitting the sample into four subsamples. One split-half condition involved the use of a preliminary screen-out question versus full enumeration of all households (no screen-out), and one split-half condition involved the mailing of an advance letter versus no letter. The two split-half designs were “crossed” to form four equal quarter-samples. The screen-out condition employed a preliminary question about household membership. Those households with no members age 20 or younger were eliminated as ineligible prior to enumeration of the household members; in households with members age 20 or younger, all household members were

enumerated. In the no screen-out condition, all members of all sampled households were enumerated. The screen-out and no screen-out samples were assigned to different interviewing centers in order to prevent interviewer effects resulting from contamination. The design and full results of the experiment are described in Brick, Collins, and Chandler (forthcoming).

As shown in table 8, the initial cooperation rate<sup>7</sup> for the Screener was higher for the screen-out condition, whether or not an advance letter was sent. The initial cooperation rates were 74.4 percent under the screen-out condition and 62.8 percent under the no screen-out condition. Under the no screen-out condition, the initial cooperation rate was higher when an advance letter was sent (65.8 percent versus 59.6 percent). No effect of mailing an advance letter on initial cooperation rates was observed for the screen-out condition (74.7 versus 74.1 percent). The only significant difference in the refusal conversion rate<sup>8</sup> was observed between the screen-out/no letter condition (38.1 percent) and the no screen-out/no letter condition (25.5 percent).

Because this experiment did not involve all the usual NHES calling procedures (such as those described in table 3), a measure of the expected Screener response rate under typical NHES procedures was developed. This is called the predicted response rate. Table 9 shows the predicted response rate under various experimental conditions. The predicted response rate is the initial cooperation rate for the Screener multiplied by 1 minus the Screener refusal conversion rate. Let  $i$  be the initial cooperation rate for the Screener and let  $r$  be the refusal conversion rate for the Screener, then the predicted response rate is  $100\{i+(1-r)\}$  percent.

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<sup>7</sup> The initial cooperation rate is the number of interviews completed prior to refusal conversion attempts (C) divided by the number of interviews completed plus initially refused (C+R).

<sup>8</sup> The refusal conversion rate is based on cases that were initially refused, and is the ratio of completed cases, or converted refusals (C<sub>2</sub>) divided by the completed cases plus the cases receiving another refusal (G+R<sub>2</sub>).

The predicted response rates are higher for the screen-out condition (82.7 to 84.0 percent) than the no screen-out condition (69.9 to 75.5 percent), regardless of whether an advance mailing is used. Under a no screen-out design, the predicted rate for a design that includes an advance mailing is higher when an advance mailing is included in the design.

As noted above, most initial and final refusals to the Screener occur prior to the enumeration matrix. Therefore, the lower response rate cannot

be attributed to respondent reaction to the enumeration matrix. Most nonrespondents never even reach the matrix. Given this, the effect of a full-enumeration design on the response rate may seem paradoxical. However, the paradox only pertains if the respondent alone is deemed responsible for differences in response rates. In fact, both respondents and interviewers play important roles in the response rates. The interaction between the respondent and interviewer is a very important factor in obtaining cooperation in a survey.

Table 8.—Number completed and cooperation rates for Screening experiment, by screen-out question and advance letter

| Experimental condition      | Screener <sup>2</sup> |       |            | Screener refusal conversion |       |            |
|-----------------------------|-----------------------|-------|------------|-----------------------------|-------|------------|
|                             | Completed             | Rate  | t-test     | Completed                   | Rate  | t-test     |
| (a) Screen-out/letter       | 802                   | 74.7% |            | 67                          | 31.8% |            |
| (b) Screen-out/no letter    | 769                   | 74.1  |            | 83                          | 38.1  |            |
| (c) No screen-out/letter    | 671                   | 65.8  |            | 71                          | 28.4  |            |
| (d) No screen-out/no letter | 572                   | 59.6  |            | 67                          | 25.5  |            |
| Difference (a)-(b)          |                       | 0.6   | 0.3        |                             | -6.3  | -1.4       |
| Difference (a)-(c)          |                       | 8.8   | <b>4.4</b> |                             | 3.4   | 0.8        |
| Difference (a)-(d)          |                       | 15.0  | <b>7.3</b> |                             | 6.3   | 1.5        |
| Difference (b)-(d)          |                       | 14.4  | <b>6.9</b> |                             | 12.6  | <b>3.0</b> |
| Difference (c)-(d)          |                       | 6.2   | <b>2.9</b> |                             | 2.9   | 0.7        |
| (e) Screen-out              |                       | 74.4  |            |                             | 35.0  |            |
| (f) No screen-out           |                       | 62.8  |            |                             | 26.9  |            |
| Difference (e)-(f)          |                       | 11.5  | <b>8.0</b> |                             | 8.1   | <b>2.7</b> |
| (g) Letter                  |                       | 70.4  |            |                             | 29.9  |            |
| (h) No letter               |                       | 67.2  |            |                             | 31.2  |            |
| Difference (g)-(h)          |                       | 3.2   | 2.2        |                             | -1.3  | -0.4       |

<sup>1</sup>A screen-out question is an item that identifies households without any eligible members and is used to eliminate ineligible households from the study prior to the enumeration matrix.

<sup>2</sup>Reflects initial cooperation, prior to refusal conversion efforts.

NOTE: t-values equal to or greater than 2.7, shown in bold, are significant at the 95 percent confidence level.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES), field test of the 1996 survey.

Table 9.—Predicted response rates in Screener experiment, by screen-out question\* and advance letter

| Experimental condition  | Number of telephone number | Initial cooperation rate | Refusal conversion rate | Predicted response rate |
|-------------------------|----------------------------|--------------------------|-------------------------|-------------------------|
| Screen-out/letter       | 2,326                      | 74.7%                    | 31.8%                   | 82.7%                   |
| Screen-out/no letter    | 2,325                      | 74.1                     | 38.1                    | 84.0                    |
| No screen-out/letter    | 2,325                      | 65.8                     | 28.4                    | 75.5                    |
| No screen-out/no letter | 2,325                      | 59.6                     | 25.5                    | 69.9                    |
| Screen-out              | 4,651                      | 74.4                     | 35.0                    | 83.3                    |
| No screen-out           | 4,650                      | 62.8                     | 26.9                    | 72.8                    |
| Letter                  | 4,651                      | 70.4                     | 29.9                    | 79.2                    |
| No letter               | 4,650                      | 67.2                     | 31.2                    | 77.4                    |

\*A screen-out question is an item that identifies households without any eligible members and is used to eliminate ineligible households from the study prior to the enumeration matrix.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES), field test of the 1996 survey.

The interviewer-respondent interaction is heavily influenced by the interviewer’s perception of the task. Bercini and Massey (1979) observed interviewer effects in a study on the placement of a household roster. While at least half of the refusals occurred at the introduction, asking for names in the enumeration was associated with lower response. Bercini and Massey concluded that collecting the names of household members led to a decrease in response “due to a direct negative effect on interviewer performance.” More recently, some investigation of interviewer behavior has been done in relation to in-person household interviewing. Kessler et al. (1995) emphasized the importance of “understanding the attitudes and expectations of both the interviewer and the potential respondent...” They observe that successful interviewers “work with a number of heuristics about human nature, including norms of helping and basic compliance principles” (p. 194).

If the interviewer perceives obtaining cooperation as difficult, which may be the case with a no screen-out, full-enumeration design, the

interaction with the respondent may be adversely affected. The interviewer may not approach the respondent in a positive way and therefore may fail to establish a rapport that promotes cooperation. The interviewer’s reaction may be related to the perceived size of the task (e.g., instrument length and the proportion of households in which lengthy interviews or multiple interviews must be done) or to the perceived invasiveness of a full-enumeration design. The results of the experiment are very consistent with the hypothesis that the interviewer-respondent interaction may be a very important factor in determining the level of response in an RDD survey.

### **NHES Extended Interview Completion and Response Rates**

Each NHES data collection included two topical components in which interviews were conducted with or about persons sampled within households (called extended interviews). The completion and response rates for the extended interviews are also important determinants of the quality of

NHES data. As with the Screener, some variability has been observed in extended interview response across survey years. The extended interview completion rates are generally higher than Screener response rates in the NHES, particularly the rates for interviews conducted with parents of sampled children. Table 10 gives the completion and response rates for extended interviews in the NHES:91 through the NHES:96.

As discussed earlier, the extended interview response rate in the NHES is the product of the completion rates for multiple stages of data collection. For most extended interviews, there are two stages: the Screener and the extended interview. For interviews with youth conducted in the NHES:93 and the NHES:96, there are three stages: the Screener, the parent interview, and the youth interview, since the study design required that parents complete their interviews and give permission for the youth to be interviewed prior to conducting the youth interview.

Interviews with parents of sampled children and youth have uniformly high completion rates of 89 to 95 percent. Included in this group are the NHES:91 Early Childhood Education (ECE) interview, the NHES:93 School Readiness (SR) interview, the NHES:93 School Safety and Discipline (SS&D) parent interview, the NHES:95 Early Childhood Program Participation (ECP) interview, and the NHES:96 Parent/Family Involvement in Education and Civic Involvement (PFI/CI) interview. The completion rates for these components vary somewhat across survey years, and this minor variation may be associated with the length of the interview (which is estimated for the respondent in the introduction to the extended interview), with differences in the population of children, or with survey procedures for a particular year such as the number of interviews per household or the request to interview youth. The response rates for the interviews with parents vary more than completion rates because they are the product of the Screener completion rate and the extended

interview completion rate. As a result, the net response rates for parent interviews in the NHES:95 and NHES:96 are lower than in the NHES:91 and NHES:93, reflecting the lower Screener completion rates in those years.

Interviews with youth were conducted for the NHES:93 SS&D component and for the NHES:96 CI component. These interviews have lower completion rates than the parent interviews, reflecting the NHES requirement that the parent interview be completed before the youth interview is attempted. Some parent interviews were not completed and some parents who completed their own interviews declined to allow an interview with their child. The youth completion rate was higher in the NHES:93 than in the NHES:96 (83.0 percent versus 76.4 percent), although the parent completion rates were similar.<sup>9</sup> A more explicit request for parent permission was included in the NHES:96, and it may have slightly depressed the youth completion rate. In addition, it is possible that both parents and youth found issues associated with school safety and discipline more salient than civic involvement, resulting in higher rates of parent permission and youth cooperation.

Three NHES components involved conducting interviews with adults about themselves. These were the Adult Education (AE) interviews of the NHES:91 and the NHES:95, and the Adult Civic Involvement (ACI) interview of the NHES:96. Completion rates for these interviews ranged from 80.0 to 84.7 percent; the net response rates vary more, reflecting differences in Screener response rates. The completion rates for adults are consistently, although not often substantially, lower than completion rates for parent interviews.

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<sup>9</sup> Youth completion rates can be correctly calculated in two ways: (1) the product of the screening cooperation rate, parent cooperation rate, and the cooperation for youth who had completed parent interviews; or (2) the product of the screener completion rate and the completion rate for all sampled youth not dependent on whether the parent interview is completed.

Table 10.—Number of completed interviews and weighted completion and response rates in the NHES, by survey year and component

| Interview type                                               | Number of completed interviews | Completion rate | Response rate |
|--------------------------------------------------------------|--------------------------------|-----------------|---------------|
| <b>NHES:91</b>                                               |                                |                 |               |
| Screeners                                                    | 60,322                         | 81.0            | 81.0          |
| Early Childhood Education                                    | 13,892                         | 94.5            | 76.5          |
| Adult Education                                              | 12,568                         | 84.7            | 68.6          |
| <b>NHES:93</b>                                               |                                |                 |               |
| Screeners                                                    | 63,844                         | 82.1            | 82.1          |
| School Readiness                                             | 10,888                         | 89.6            | 73.6          |
| School Safety & Discipline                                   |                                |                 |               |
| Parents of 3rd through 5th graders                           | 2,563                          | 89.4            | 73.4          |
| Parents of 6th through 12 graders                            | 10,117                         | 89.6            | 73.6          |
| 6th through 12 graders                                       | 6,504                          | 83.0            | 68.1          |
| <b>NHES:95</b>                                               |                                |                 |               |
| Screeners                                                    | 45,465                         | 73.3            | 73.3          |
| Early Childhood Program Participation                        | 14,064                         | 90.4            | 66.3          |
| Adult Education                                              | 19,722                         | 80.0            | 58.6          |
| <b>NHES:96</b>                                               |                                |                 |               |
| Screeners                                                    | 55,838                         | 69.9            | 69.9          |
| Parent/Family Involvement in Education and Civic Involvement | 20,792                         | 89.4            | 62.5          |
| Youth Civic Involvement                                      | 8,044                          | 76.4            | 53.4          |
| Adult Civic Involvement                                      | 2,250                          | 84.1            | 58.9          |

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

Some insight into a potential reason for the difference in completion rates between parents and other adult respondents can be seen in table 11. If the person selected to respond to the extended interview was the Screener respondent, then the person completed the extended interview at a relatively high rate irrespective of the content of the interview. For example, in the NHES:95, the extended interview completion rate for Screener respondents was 92 percent for parents in the ECPP component and 91 percent for adults in the AE component, that is, nearly identical rates. However, the percentage of the Screener

respondents who were sampled for (or were respondents for) extended interviews varies substantially for the components. Parent respondents for sampled children and youth were more likely to be Screener respondents than were sampled adults. For instance, in the NHES:95, parent respondents for 12,890 out of 15,591 sampled children (83 percent) were the Screener respondents for their households, compared to 12,916 of the 24,134 sampled adults (54 percent). Similar differences are observed for the NHES:96. It is worth noting in this context that



Table 11.—Extended interview respondent participation by Screener respondent status

| Component and respondent    | Total  |         | Participants |         |
|-----------------------------|--------|---------|--------------|---------|
|                             | Number | Percent | Number       | Percent |
| <b>NHES:95</b>              |        |         |              |         |
| ECPP parent respondent      | 15,591 | 100%    | 14,064       | 90%     |
| was Screener respondent     | 12,890 | 83      | 11,810       | 92      |
| was not Screener respondent | 2,701  | 17      | 2,254        | 84      |
| AE adult respondent         | 24,134 | 100     | 19,722       | 80      |
| was Screener respondent     | 12,916 | 54      | 11,777       | 91      |
| was not Screener respondent | 11,218 | 46      | 7,945        | 71      |
| <b>NHES:96</b>              |        |         |              |         |
| PFI/CI parent respondent    | 23,367 | 100     | 20,792       | 89      |
| was Screener respondent     | 19,605 | 84      | 17,828       | 91      |
| was not Screener respondent | 3,762  | 16      | 2,964        | 79      |
| CI adult respondent         | 2,590  | 100     | 2,250        | 84      |
| was Screener respondent     | 1,547  | 60      | 1,497        | 97      |
| was not Screener respondent | 1,043  | 40      | 753          | 72      |

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Household Education Survey (NHES).

the Screener respondent is asked to identify the parent or guardian who knows the most about the child’s care and education, whereas the sampled adult is the only eligible respondent for an adult interview.

There is an important operational difference behind the disparate completion rates for those who were and were not Screener respondents for their households. When the person selected to respond to an interview is the Screener respondent, he/she has already made a decision to cooperate with the study. In addition, as the Screener respondent, he/she is already on the telephone with the interviewer, and the extended interview can be conducted immediately in most cases. By contrast, if the sampled adult is not the Screener respondent, the dual tasks of contacting the person and securing his/her cooperation remain to be done. These results highlight the reason why some surveys use proxy respondents if proxies can provide reliable information about household members.

The differences in the completion rates for those who were the Screener respondents versus those who were not are substantially different for parents of sampled children and for sampled adults. In the NHES:95, there is a difference of about 8 percent for parents (92 versus 84 percent), and a striking difference of about 20 percent for sampled adults (91 versus 71 percent). Again, similar differences are observed for the NHES:96. It may be that parents, particularly parents of young children, are more likely to be at home in the evening and are easier to reach by telephone. Parents of sampled children may also find the interviews more salient than sampled adults. It is also possible that intra-household communication among adults in households with children is qualitatively different than in households without children, so that any communication between the Screener respondent and extended interview respondent about the impending interview is also qualitatively different.

The differential in extended interview completion rates by Screener respondent status raises the possibility of using this characteristic in nonresponse adjustment. The use of characteristics associated with response propensity reduces bias in the estimates (Brick and Kalton 1996). While further research is necessary before drawing any conclusions on this issue, it may be that future surveys could benefit from a nonresponse adjustment based on whether the intended respondent for the extended interview was the Screener respondent. Since the probability of responding appears to be related to being the Screener respondent, it is possible that using this knowledge could reduce any bias in the extended interview estimates due to nonresponse.

## Summary

High response rates are critical to the success of a survey because the potential for nonresponse bias increases as survey response decreases. Completion and response rates have varied over the course of the four cycles of the NHES, particularly at the screening level. Screener response rates in the NHES:91 and NHES:93 were about 8 to 13 percent higher than in the NHES:95 and the NHES:96.

Evidence from the NHES indicates that most Screener nonresponse results from refusal to complete the Screener, and that most nonresponse occurs at the introduction to the Screener. Very few respondents refuse to participate after completing the portion of the Screener in which household members are enumerated. Among cases that refuse more than once, the final refusal is even more likely to occur at the introduction than the initial refusal.

Despite this evidence concerning early refusals at the Screener level, the extent to which households are enumerated has been found to be associated with Screener response rates in the NHES. In the NHES, greater Screener length is associated with the extent of enumeration, but cannot be separately assessed. A reasonable hypothesis is that there is an interviewer effect that may be an important determinant of the rates. The way

interviewers perceive their job in terms of interview length and the intrusiveness of the interview may have an effect on the ways in which they interact with respondents and establish the rapport necessary to secure cooperation in the survey. The evidence from the experiment conducted for the NHES:96 supports this hypothesis.

NHES completion rates at the extended interview level tend to be high with the exception of Youth CI interviews in the NHES:96. Completion rates are particularly high and stable for parent respondents who are interviewed about sampled children. While salience may be a factor in this success, the evidence also indicates that it may be a function of the fact that parents are more likely to be Screener respondents for their households than randomly sampled adults. Since Screener respondents completed extended interviews at a high rate irrespective of the topic, the higher percentage completion rates are obtained, at least in part, because of this fact. By the time the Screener was completed and a child sampled as the subject for the interview, it was highly likely (83 to 84 percent) that the parent respondent is on the telephone and cooperating with the study. By contrast, the probability that a randomly selected adult is already on the telephone and cooperating was only 54 to 60 percent in the NHES:95 and NHES:96. For both parents and sampled adults, interviews were more likely to be completed if the target respondent was also the Screener respondent for his or her household.

The review of the response rates in the four NHES surveys reveals that there are a number of factors that must be considered if high response rates are to be obtained. The objectives of the survey, the approaches to screening households, the strategies for maximizing response rates, and the interactions between the interviewers and the respondents all play important roles. No single factor, such as length of the interview, can be used to predict response rates. All of these factors must be considered in assessing the impact of the survey design and procedures on response rates in RDD surveys.

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## **For More Information**

More detailed information on the NHES methodology is available in the following NCES Technical Reports and Working Papers.

### **Technical Reports**

*Overview of the National Household Education Surveys of 1991, 1993, 1995, and 1996* (NCES Publication No. 97-448).

*An Experiment in Random-digit-dial Screening* (NCES Publication No. 97-343).

### **Working Papers**

*Design, Data Collection, Monitoring, Interview Administration Time, and Data Editing in the 1993 National Household Education Survey* (NCES Working Paper No. 97-04)

*Unit and Item Response Rates, Weighting, and Imputation Procedures in the 1993 National Household Education Survey* (NCES Working Paper No. 97-05)

*Design, Data Collection, Interview Administration Time, and Data Editing in the 1995 National Household Education Survey* (NCES Working Paper No. 97-08)

*Unit and Item Response Rates, Weighting, and Imputation Procedures in the 1995 National Household Education Survey* (NCES Working Paper No. 97-06)

*Design, Data Collection, Interview Administration Time, and Data Editing in the 1996 National Household Education Survey* (forthcoming)

*Unit and Item Response Rates, Weighting, and Imputation Procedures in the 1996 National Household Education Survey* (forthcoming)

### **Questionnaire Working Papers**

*1991 National Household Education Survey (NHES:91) Questionnaires: Screener, Early Childhood Education, and Adult Education.* (NCES Working Paper 96-20)

*1993 National Household Education Survey (NHES:93) Questionnaires: Screener, School Readiness, and School Safety and Discipline* (NCES Working Paper 96-21)

*1995 National Household Education Survey (NHES:95) Questionnaires: Screener, Early Childhood Program Participation, and Adult Education* (NCES Working Paper 96-22)



## **Appendix**

### **NHES Screeners**



## NHES:91 Screener

Hello, this is (NAME). I'm calling on behalf of the U.S. Department of Education. We are conducting a study based on the President's goals for improving education for children and adults. These questions usually take about 5 minutes.

S1. Before we begin, I'd like to be sure that I've dialed correctly. Is this (TELEPHONE NUMBER)?

- YES..... 1 (CONTINUE)
- NO ..... 2 (GO TO S1A)
- GO TO RESULT CODE ..... 3

S1A. Thank you very much. It seems that the number has been dialed incorrectly. It is possible that your number may be called at a later time. [REDIAL]

S2. Is this phone number for ...

- Home use only ..... 1 (GO TO S3)
- Business and home use, or ..... 2 (GO TO S3)
- Business use only ..... 3 (STERM1)

STERM1. Thank you very much, but we are only interviewing private residences.

S3. Are you a member of this household at least 16 years old?

- YES..... 1 (GO TO S4)
- NO ..... 2 (GO TO S3A)

S3A. May I please speak with a household member who is 16 or older?

- AVAILABLE ..... 1 (GO TO S3D)
- NOT AVAILABLE..... 2 (SCHEDULE CALLBACK)
- THERE ARE NONE ..... 3 (GO TO S3B)

S3B. May I please speak with the male or female head of this household?

- PERSON ON PHONE ..... 1 (CONTINUE)
- OTHER PERSON, AVAILABLE ..... 2 (GO TO S3C)
- OTHER PERSON, NOT AVAILABLE ..... 3 (SCHEDULE CALLBACK)

S3C. [READ INTRO] Are you the male or female head-of-household?

- YES..... 1 (GO TO S4)
- NO ..... 2 (GO TO S3A)

S3D. [READ INTRO] Are you a household member at least 16 years old?

- YES..... 1 (GO TO S4)
- NO ..... 2 (GO TO S3A)

NOTE: Response categories shown in mixed cases (upper and lower) were read to the respondent by the interviewer. Those shown in all upper case were not read. Those shown in italics were added during data cleaning (additional codes were created from among the "specify" responses).

NOTE: Unless otherwise noted, responses of "refused" and "don't know" followed the skip pattern for "no."



## Early Childhood Education Screening Items

We'd first like to ask a few questions about your household.

S4. The Department of Education is very interested in the early educational experiences of children. Are there any children who live in your household who are between 2 and 9 years old?

YES..... 1 (CONTINUE)  
 NO ..... 2 (AINTRO)

S5. Please tell me the ages of the children in your household who are 2 to 9 years old.  
 [ENTER IN MATRIX : INCLUDE CHILDREN 2 TO 9 YEARS OF AGE ONLY .]

| AGE<br>[2-9] | Is this child<br>male or female?<br>[M-F] | Is this child<br>[READ RACES<br>BELOW] | Is (he/she) of<br>Hispanic origin?<br>[(Y=1/N=2)] | What is<br>(his/her)<br>first name? |
|--------------|-------------------------------------------|----------------------------------------|---------------------------------------------------|-------------------------------------|
|              | GENDER                                    | RACE                                   | HISPANIC                                          |                                     |

CODES FOR RACE : 1=White, 2=Black, 3=American Indian or Alaskan Native, 4=Asian or Pacific Islander, 91=Another race

**CREATE HHRACE VARIABLE FROM INFOR ON FIRST CHILD IF CHILD IS BLACK OR HISPANIC, THEN HHRACE = 1; ELSE HHRACE = 2**

**ASK S6 AND S7 FOR THE FIRST CHILD**

S6. Who is the parent or guardian in this household who knows the most about (CHILD'S) care and education?

NAME \_\_\_\_\_

S7. What is (NAME'S) relationship to (CHILD)?

PARNRELN

NATURAL OR ADOPTIVE MOTHER..... 1  
 STEPMOTHER/OTHER FEMALE GUARDIAN..... 2  
 NATURAL OR ADOPTIVE FATHER..... 3  
 STEPFATHER/OTHER MALE GUARDIAN ..... 4  
 GRANDPARENT..... 5  
 BROTHER/SISTER ..... 6  
 OTHER RELATIVE ..... 7  
 NONRELATIVE..... 8

**ASK S8, S8A, AND S9 FOR ADDITIONAL CHILD**

S8. Who is the parent or guardian in this household who knows the most about (CHILD's) care and education?

NAME \_\_\_\_\_

S9. What is (NAME's) relationship to (CHILD)?

PARNRELN

- NATURAL OR ADOPTIVE MOTHER..... 1
- STEPMOTHER/OTHER FEMALE GUARDIAN.....2
- NATURAL OR ADOPTIVE FATHER.....3
- STEPFATHER/OTHER MALE GUARDIAN .....4
- GRANDPARENT.....5
- BROTHER/SISTER .....6
- OTHER RELATIVE .....7
- NONRELATIVE.....8

S8A. [ASK IF NOT OBVIOUS] Is this the same parent or guardian who knows about (PREVIOUS CHILD/CHILDREN's) care and education?

- YES..... 1 (GO TO S9)
- NO .....2 (GO TO S8)

**GO TO S8 FOR NEXT CHILD OR IF HH IS SAMPLED, GO TO AINTRO AFTER LAST CHILD; IF HH IS NOT SAMPLED GO TO ADDPERS1**

## Adult Education Screening Items

AINTRO. We are also interested in knowing about the educational activities of people 16 years old and older.

**IF S4 = 1, GO TO S10A, ELSE ASK A10AA**

S10AA. First, are there any people who normally live in your household who are under the age of 70?

YES..... 1  
NO ..... 2

S10A. What is your age?

AGE

S10B. Are you . . .

White ..... 1  
Black ..... 2  
American Indian or Alaskan Native, or ..... 3  
Asian or Pacific Islander? ..... 4  
OTHER (SPECIFY)..... 91

S10C. Are you of Hispanic origin?

YES..... 1  
NO ..... 2

**IF RESPONDENT IS BLACK OR HISPANIC, HHRACE = 1; ELSE HHRACE = 2**  
**IF HOUSEHOLD IS SAMPLED FOR ADULT EDUCATION COMPONENT, ASK S10D AND COPY INFORMATION ON RESPONDENT INTO THE MATRIX**  
**IF HOUSEHOLD IS NOT SAMPLED FOR ADULT EDUCATION AND HAS CHILDREN, GO TO S17**  
**IF HOUSEHOLD IS NOT SAMPLED AND HAS NO CHILDREN, GO TO STERM2**

S10D. What is your first name?

NAME \_\_\_\_\_

S10E. [IF NOT KNOWN] Are you . . . .

Male, or ..... 1  
Female ..... 2

S11. Please tell me the ages of the (other) people in your household who are 16 or older, including anyone who is living in student housing.

| AGE<br>[16-110] | Is this adult<br>male or female?<br>[M-F] | Is this adult<br>[READ RACES<br>BELOW] | Is (he/she) of<br>Hispanic origin?<br>[(Y=1/N=2)] | What is<br>(his/her)<br>first name? |
|-----------------|-------------------------------------------|----------------------------------------|---------------------------------------------------|-------------------------------------|
|                 |                                           |                                        |                                                   |                                     |

CODES FOR RACE: 1=White, 2=Black, 3=American Indian or Alaskan Native, 4=Asian or Pacific Islander, 91=Another race

**ASK S12INTRO THROUGH S14 FOR EACH ADULT**

Now I am going to ask you some questions about ((NAME/AGE/SEX'S)/YOUR) participation in three kinds of educational activities over the past year: full-time school, part-time school, and all other kinds of adult education.

S12INTRO. First, (has (NAME)/have you) been enrolled as a full-time student in any kind of school, training program, or other educational program in the past 12 months, that is since (INTERVIEW MONTH), 1990?

YES.....1  
NO .....2

**IF S12=1 THEN ASK S12A, OTHERWISE SKIP TO S13**

S12A. In which of the following types of full-time educational programs (was (NAME/AGE/SEX)/were you) enrolled?  
(VERIFY: PAST 12 MONTHS ONLY)

- |                                                                                                 | YES | NO |
|-------------------------------------------------------------------------------------------------|-----|----|
| a. An elementary school, junior high school, or high school program? .....                      | 1   | 2  |
| b. A program leading to an associate's degree? ....                                             | 1   | 2  |
| c. A program leading to a bachelor's or more advanced degree? .....                             | 1   | 2  |
| d. A vocational or occupational training program after completing or leaving high school? ..... | 1   | 2  |
| e. An adult literacy or basic skills program? .....                                             | 1   | 2  |
| f. An English as a Second Language (ESL) program? .....                                         | 1   | 2  |
| g. Some other program? .....                                                                    | 1   | 2  |
| (SPECIFY) _____                                                                                 |     |    |

**IF S12A-CATEGORY A=1 THEN ASK S12B, OTHERWISE SKIP TO S13**

S12B. (Is (NAME/AGE/SEX)/Are you) currently enrolled as a full-time student in an elementary school, junior high school, or high school program?

YES..... 1  
NO ..... 2

**IF S12B=1 THEN DISCONTINUE SERIES**

S13. [In addition to (his/her/your) full-time studies] (Has (NAME/AGE/SEX)/Have you) been enrolled as a part-time student at a college or university in an associate's, bachelor's, or graduate degree program, in the past 12 months?

YES..... 1  
NO ..... 2

S14. Now I'm going to read you a short list of other kinds of adult education. [Not counting (full-time school) (or) (part-time courses taken for credit toward a degree)] Please tell me whether ((NAME/AGE/SEX) has/you have) been involved in any of these in the past 12 months.

|                                                                                                                                  | YES | NO |
|----------------------------------------------------------------------------------------------------------------------------------|-----|----|
| a. Continuing education courses or noncredit courses?                                                                            | 1   | 2  |
| b. Courses by mail, television, radio or newspaper?                                                                              | 1   | 2  |
| c. Private instruction or tutoring?                                                                                              | 1   | 2  |
| d. Educational or training activities given by an employer, labor organization, neighborhood center, church, or community group? | 1   | 2  |
| e. Instruction in basic skills such as math, or reading and writing English?                                                     | 1   | 2  |
| f. Instruction in English as a Second Language?                                                                                  | 1   | 2  |
| g. Or, any other organized educational activities?<br>Please describe: _____                                                     | 1   | 2  |

ADDPERS1. Now I'd like to verify what I have recorded. I have listed (NUMBER) 2-9 year olds. Is this information correct?

YES..... 1  
NO ..... 2

**IF HH WAS NOT SAMPLED, GO TO S17**

ADDPERS2. I have listed (NUMBER) adults. Is this information correct?

YES..... 1  
NO ..... 2

**IF HOUSEHOLD HAS SAMPLED ADULTS, ASK S15 AND S16 FOR ALL ADULTS WHO ARE NOT THE SCREENER RESPONDENT**

S15. Is (NAME) living there, in student housing, or somewhere else?

HERE ..... 1 (GO TO S17)  
STUDENT HOUSING [That is, school sponsored housing such as a dormitory. Please include all housing sponsored, owned, or leased by the school.] ..... 2 (GO TO S16)  
OTHER PRIVATE HOME OR APARTMENT ..... 3 (INELIGIBLE)  
INSTITUTION OR GROUP QUARTERS - INCLUDES JAIL/DETENTION CENTER, MEDICAL FACILITY, REHABILITATION CENTER, MENTAL HEALTH FACILITY, MILITARY BARRACKS, GROUP FOSTER CARE ..... 4 (INELIGIBLE)

S16. Would you please give me (his/her) last name and telephone number so that we can call (him/her) to talk about (his/her) educational experiences?

LAST NAME \_\_\_\_\_

PHONE \_\_\_\_\_

## Household Characteristics

Now I have a few questions about your household.

S17. What is the total number of people living in your household, including all children and adults?

NUMPERS                      NUMBER.....

S18. In what county do you live?

COUNTY \_\_\_\_\_

S19. What kind of home do you live in? Is it . . .

HOMETYPE                      A single family house or townhouse ..... 1  
                                          An apartment, or ..... 2  
                                          Some other type of home ..... 3

S20. Do you . . .

OWNHOME                      Own your home ..... 1  
                                          Rent your home, or ..... 2  
                                          Have some other arrangement ..... 3

S21. In addition to (NUMBER CALLED), do you have other phone numbers in your household?

YES..... 1      (GO TO S21A)  
 NO ..... 2      (GO TO S22)

S21A. How many of these other phone numbers are used at least in part for home use?

NUMBER.....

S22. In studies like this, households are sometimes grouped according to income. Can you tell me which group best describes an estimate of the total income of all persons in your household over the past year. Please include income from all sources, such as salaries or other earnings, interest, retirement, and so on for all household members. Is your household income . . .

\$25,000 or less, or ..... 1      (READ SET 1)  
 more than \$25,000 ..... 2      (READ SET 2)

S22A (Was it/Which of the following ranges includes your household income?)

[SET 1]

INCOMRNG                      \$5,000 or less ..... 1  
                                          \$5,001 to \$10,000 ..... 2  
                                          \$10,001 to \$15,000 ..... 3  
                                          \$15,001 to \$20,000 ..... 4  
                                          \$20,001 to \$25,000 ..... 5

[SET 2]

|                            |    |
|----------------------------|----|
| \$25,001 to \$30,000 ..... | 6  |
| \$30,001 to \$40,000 ..... | 7  |
| \$40,001 to \$50,000 ..... | 8  |
| \$50,001 to \$75,000 ..... | 9  |
| over \$75,000.....         | 10 |

**IF EXTENDED INTERVIEWS ARE TO BE DONE  
INTERVIEWER IDENTIFIES RESPONDENT ON "SID" SCREEN;  
GO TO HHSELECT<sup>1</sup> TO SELECT AVAILABLE RESPONDENT FOR INTERVIEW**

**IF HH HAS NO CHILDREN AND WAS NOT SAMPLED FOR ADULT ED OR IF HH HAS NO CHILDREN AND WAS SAMPLED FOR  
ADULT ED BUT NO EXTENDED<sub>S</sub>, READ STERM2.**

STERM2. Those are all the questions I have about your household. Thank you very much for your assistance.

---

<sup>1</sup>HHSELECT is a CATI screen used to identify interviews to be completed in a given household and the respondent for each interview.





## NHES:93 Screener

S1. Hello, this is (INTERVIEWER) and I'm calling for the U.S. Department of Education. Is this phone number for...

- Home use, ..... 1 (CONTINUE)
- Home and business use, or ..... 2 (CONTINUE)
- Business use only? ..... 3 (GO TO THANK 1)
- NONWORKING , DISCONNECTED OR CHANGED ..... 4
- GO TO RESULT CODES ..... 5 (INITIAL REFUSAL)
- RETRY AUTODIALER .....R

S2. We are conducting a voluntary and confidential study based on the President's and Governors' goals for improving education. These questions usually take about 5 minutes.

Are you a member of this household and at least 18?

- YES..... 1 (GO TO S5A)
- NO ..... 2 (GO TO S3)
- GO TO RESULT ..... 3 (GO TO RESULT , INITIAL REFUSAL )

[HOUSEHOLD (HH) MEMBERS INCLUDE PEOPLE WHO THINK OF THIS HH AS THEIR PRIMARY PLACE OF RESIDENCE . IT INCLUDES PERSONS WHO USUALLY STAY IN THE HH BUT ARE TEMPORARILY AWAY ON BUSINESS , VACATION, IN A HOSPITAL , OR LIVING AT SCHOOL IN A DORM , FRATERNITY OR SORORITY .]

S3. May I please speak with a household member who is at least 18?

- AVAILABLE ..... 1 (GO TO S4)
- NOT AVAILABLE ..... 2 (GO TO RESULT ; CALLBACK APPT )
- NO ONE IN HH AT LEAST 18 ..... 3 (GO TO S5A)
- GO TO RESULT ..... 4 (INITIAL REFUSAL )

S4. Hello, this is (INTERVIEWER) and I'm calling for the U.S. Department of Education. We are conducting a voluntary and confidential study based on the President's and Governors' goals for improving education. These questions usually take about 5 minutes.

Are you a member of this household and at least 18 years old?

- YES..... 1
- NO ..... 2
- GO TO RESULT ..... 3

S5A. The Department of Education is very interested in people's educational experiences. Are any of the people who normally live in your household 18 or **younger**?

- YES..... 1 (GO TO S6)
- NO ..... 2 (GO TO S5B)
- GO TO RESULT ..... 3 (INITIAL REFUSAL)

S5B. Are there any people who live in your household who are enrolled in 12th grade or below?

- YES..... 1 (GO TO S6)
- NO ..... 2 (GO TO BOX)
- GO TO RESULT ..... 3 (INITIAL REFUSAL)

***If S5A = no and S5B = no, go to THANK2.***

S6. Starting with yourself, please tell me the ages and first names of all people who normally live in your household.

| How old is (he/she)?          | What is (his/her) first name? | Is this person male or female? [M-F]  | Screener respondent |
|-------------------------------|-------------------------------|---------------------------------------|---------------------|
| <b>AGE1-AGE9<br/>ERESPAGE</b> |                               | <b>SEX<br/>SEX1-SEX9<br/>ERESPSEX</b> |                     |

S6OVERF1. [VERIFY THE NUMBER OF HOUSEHOLD MEMBERS ]

- NUMBER OF HOUSEHOLD MEMBERS IN MATRIX CORRECT ..... 1
- RETURN TO MATRIX ..... 2
- GO TO RESULT ..... 3

S6VERF2. Have we missed anyone else who usually lives here but is temporarily away on business or vacation, or living in school housing, such as a dorm?

- NUMBER OF HOUSEHOLD MEMBERS IN MATRIX CORRECT ..... 1 (GO TO BOX)
- RETURN TO MATRIX ..... 2 (RETURN TO MATRIX )
- GO TO RESULT ..... 3 (GO TO RESULT)

***If the only household members enumerated above are age 0 to 2 or age 22 and older, go to THANK3.***

***Ask S7-S10 for each person age 3 to age 21.***

S7. [Are you/Is (CHILD)] attending or enrolled in school?

- YES..... 1 (GO TO S9)
- NO..... 2 (GO TO BOX BEFORE S8)

***If S7 = no and age => 8, child is ineligible.***

***Ask S8 if child is age 5, 6, or 7. If age = 3 or 4, go to next child or if none, go to sampling point.***

S8. Is (CHILD) having home schooling or tutoring, or going to an alternative educational program?

- YES..... 1 (GO TO S10)
- NO..... 2 (GO TO NEXT CHILD)

S9. What grade or year of school is [(CHILD)/are you] attending?

[PROBE FOR T OR P: Is that before or after kindergarten?]

- NURSERY/PRESCHOOL/PREKINDERGARTEN .....N (GO TO NEXT CHILD)
- TRANSITIONAL KINDERGARTEN (BEFORE K)..... T (GO TO NEXT CHILD)
- KINDERGARTEN .....K (GO TO NEXT CHILD)
- PREFIRST GRADE (AFTER K).....P (GO TO NEXT CHILD)
- FIRST GRADE ..... 1 (GO TO NEXT CHILD)
- SECOND GRADE ..... 2 (GO TO NEXT CHILD)
- THIRD GRADE ..... 3 (GO TO NEXT CHILD)
- FOURTH GRADE ..... 4 (GO TO NEXT CHILD)
- FIFTH GRADE ..... 5 (GO TO NEXT CHILD)
- SIXTH GRADE ..... 6 (GO TO NEXT CHILD)
- SEVENTH GRADE ..... 7 (GO TO NEXT CHILD)
- EIGHTH GRADE ..... 8 (GO TO NEXT CHILD)
- NINTH GRADE /FRESHMAN..... 9 (GO TO NEXT CHILD)
- TENTH GRADE /SOPHOMORE ..... 10 (GO TO NEXT CHILD)
- ELEVENTH GRADE /JUNIOR..... 11 (GO TO NEXT CHILD)
- TWELFTH GRADE /SENIOR..... 12 (GO TO NEXT CHILD)
- UNGRADED ELEMENTARY /SECONDARY ..... 13 (GO TO S10)
- SPECIAL EDUCATION ..... 14 (GO TO S10)
- VOCATIONAL /TECHNICAL AFTER HS ..... 15 (INELIGIBLE, GO TO NEXT CHILD)
- COLLEGE ..... 16 (INELIGIBLE, GO TO NEXT CHILD)

CHILD

[IF T: In this interview, we will be referring to that as "kindergarten."

IF P: In this interview, we will be referring to that as "prefirst grade."]

S10. What grade would [(CHILD)/you] be attending if (he/she/you) were in a school with regular grades?  
 [PROBE FOR T OR P: Is that before or after kindergarten?]

- NURSERY/PRESCHOOL/PREKINDERGARTEN .....N
- TRANSITIONAL KINDERGARTEN (BEFORE K).....T
- KINDERGARTEN .....K
- PREFIRST GRADE (AFTER K).....P
- FIRST GRADE ..... 1
- SECOND GRADE .....2
- THIRD GRADE .....3
- FOURTH GRADE .....4
- FIFTH GRADE .....5
- SIXTH GRADE .....6
- SEVENTH GRADE .....7
- EIGHTH GRADE .....8
- NINTH GRADE /FRESHMAN.....9
- TENTH GRADE /SOPHOMORE ..... 10
- ELEVENTH GRADE /JUNIOR..... 11
- TWELFTH GRADE /SENIOR..... 12
- UNGRADED/NO EQUIVALENT ..... 13

[IF T: In this interview, we will be referring to that as "kindergarten."

IF P: In this interview, we will be referring to that as "prefirst grade."]

***Go to next child; if none, go to sampling point.***

***Sampling Point:  
 Select children for School Readiness and  
 School Safety and Discipline components.  
 If no one is selected, go to THANK4.***

***Ask S11 and S12 for each sampled child if only 1  
 household member => 16, auto code S11.***

S11. Who is the parent or guardian in this household who knows the most about (CHILD'S) (care and) education? [DISPLAY HOUSEHOLD MEMBERS 16 AND OLDER. IF THERE IS NO PARENT /GUARDIAN IN THE HOUSEHOLD, ENTER THE PERSON NUMBER OF YOUTH RESPONDENT .]

PERSON NUMBER .....

[IF RESPONDENT SAYS BOTH PARENTS KNOW : The computer has selected (CHILD'S) mother for the interview. What is her name?]

***If person number at S11 = person number of sampled youth, auto code S12 SELF and go to box after S13.***

S12. What is (NAME'S) relationship to (CHILD)?

**ERESRELN**

- MOTHER (BIRTH/ADOPTIVE/STEP/FOSTER) ..... 1
- FATHER (BIRTH/ADOPTIVE/STEP/FOSTER) ..... 2
- BROTHER/SISTER ..... 3
- GRANDPARENT ..... 4
- OTHER RELATIVE ..... 5
- NONRELATIVE ..... 6
- SELF ..... 7

(NOT SHOWN ON SCREEN )

***If S12 = 1 or 2, ask S13. Else, go to next child; if none, go to sampling point.***

S13. (Are you/Is that) (CHILD'S) ...

**EPARTYPE**

**MOMTYPE**

**DADTYPE**

- Birth (mother/father) ..... 1
- Adoptive (mother/father)..... 2
- Step (mother/father), or ..... 3
- Foster (mother/father) ..... 4

**GO TO HHSELECT  
SCREEN TO  
SELECT INTERVIEW**

THANK1. Thank you, but we are only interviewing in private residences.

THANK2. Thank you, but we are only interviewing in households with members 18 or younger or enrolled in 12th grade or below.

THANK3. Thank you, but we are only asking about children and youth in certain age or grade ranges.

THANK4. Thank you, but no one in your household has been selected for this study.



## NHES:95 Basic Screener

S1. Hello, my name is (INTERVIEWER) and I'm calling for the U.S. Department of Education. We are conducting a voluntary and confidential study about the educational experiences of both adults and children. These first questions usually take about 5 minutes. Are you a member of this household and at least 18 years old?

YES .....1 (GO TO S5)  
 NO .....2 (GO TO S2)  
 BUSINESS.....3 (GO TO S5)  
 GO TO RESULT .....GT  
 RETRY AUTODIALER.....RT

S2. May I please speak with a household member who is at least 18 years old?

AVAILABLE.....1 (GO TO S1)  
 NOT AVAILABLE .....2 (GO TO RESULT, CALLBACK APPT.)  
 THERE ARE NONE.....3 (GO TO S3)  
 GO TO RESULT .....GT

S3. May I please speak with the male or female head of this household?

PERSON ON PHONE .....1 (GO TO S5)  
 OTHER PERSON, AVAILABLE.....2 (GO TO S4)  
 OTHER PERSON, NOT AVAILABLE .....3 (GO TO RESULT, CALLBACK APPT.)  
 GO TO RESULT .....GT

S4. Hello, this is (INTERVIEWER) and I'm calling for the U.S. Department of Education. We are conducting a voluntary and confidential study about the educational experiences of both adults and children. This study will help the Department of Education plan educational programs in the U.S. These first questions usually take about 5 minutes. Are you a head of this household?

YES .....1 (GO TO S5)  
 NO .....2 (GO TO S3)  
 GO TO RESULT .....GT

S5. I would like to confirm that this number is for home use rather than only used for business. (Is this a home phone?)

HOME USE .....1 (CONTINUE)  
 HOME AND BUSINESS USE.....2 (CONTINUE)  
 BUSINESS USE ONLY .....3 (GO TO THANK1)  
 GO TO RESULT .....GT



S6. Starting with yourself, please tell me just the first names and ages of all people who normally live in your household. What is your first name, please?

[HOUSEHOLD MEMBERS INCLUDE PEOPLE WHO THINK OF THIS HOUSEHOLD AS THEIR PRIMARY PLACE OF RESIDENCE. IT INCLUDES PERSONS WHO USUALLY STAY IN THE HOUSEHOLD BUT ARE TEMPORARILY AWAY ON BUSINESS, VACATION, IN A HOSPITAL, OR LIVING AT SCHOOL IN A DORMITORY, FRATERNITY, OR SORORITY.]

|                                                              |                                                      |                                        |                     |
|--------------------------------------------------------------|------------------------------------------------------|----------------------------------------|---------------------|
| What is [your first name/the first name of the next person?] | How old [are you/is (he/she)]?                       | Is this person male or female?         | SCREENER RESPONDENT |
|                                                              | <b>MOMAGE<br/>DADAGE<br/>AGE1-AGE13<br/>ERESPAGE</b> | <b>SEX<br/>SEX1-SEX13<br/>ERESPSEX</b> |                     |

S6VERF1. [VERIFY THE NUMBER OF HOUSEHOLD MEMBERS LISTED ON THE MATRIX.]  
Have we missed anyone else who usually lives here who is temporarily away from home or living in a dorm at school, or any babies or small children?

- MATRIX CORRECT..... 1
- RETURN TO MATRIX ..... 2
- GO TO RESULT ..... 3

*Ask S7-S10 for each person age 3-10 and age 16-19. If none, go to 2nd box after S10.*

S7. Is (PERSON) attending (school/nursery school, kindergarten, or school)?

- YES ..... 1 (GO TO BOX)
- NO ..... 2 (GO TO BOX)

*Ask S8 for each person age 5-10. Else, if person is age 3 or 4 or age 16-19 and enrolled in school, go to S9. Else, if not enrolled in school, go to first box after S10.*

S8. (READ FIRST TIME: Some parents decide to educate their children at home rather than sending them to school.) Is (CHILD) being schooled at home?

- YES ..... 1 (GO TO S10)
- NO ..... 2 (GO TO BOX)

*If person is enrolled in school, ask S9. Else go to 1st box after S10.*

S9. What grade or year is (PERSON) attending?  
 [PROBE FOR T OR P: Is that before or after kindergarten?]

|                                              |    |                       |
|----------------------------------------------|----|-----------------------|
| NURSERY/PRESCHOOL/PREKINDERGARTEN/HEAD START | N  | (GO TO BOX AFTER S10) |
| TRANSITIONAL KINDERGARTEN (BEFORE K)         | T  | (GO TO BOX AFTER S10) |
| KINDERGARTEN                                 | K  | (GO TO BOX AFTER S10) |
| PREFIRST GRADE (AFTER K)                     | P  | (GO TO BOX AFTER S10) |
| FIRST GRADE                                  | 1  | (GO TO BOX AFTER S10) |
| SECOND GRADE                                 | 2  | (GO TO BOX AFTER S10) |
| THIRD GRADE                                  | 3  | (GO TO BOX AFTER S10) |
| FOURTH GRADE                                 | 4  | (GO TO BOX AFTER S10) |
| FIFTH GRADE                                  | 5  | (GO TO BOX AFTER S10) |
| SIXTH GRADE                                  | 6  | (GO TO BOX AFTER S10) |
| SEVENTH GRADE                                | 7  | (GO TO BOX AFTER S10) |
| EIGHTH GRADE                                 | 8  | (GO TO BOX AFTER S10) |
| NINTH GRADE/FRESHMAN IN HIGH SCHOOL          | 9  | (GO TO BOX AFTER S10) |
| TENTH GRADE/SOPHOMORE IN HIGH SCHOOL         | 10 | (GO TO BOX AFTER S10) |
| ELEVENTH GRADE/JUNIOR IN HIGH SCHOOL         | 11 | (GO TO BOX AFTER S10) |
| TWELFTH GRADE/SENIOR IN HIGH SCHOOL          | 12 | (GO TO BOX AFTER S10) |
| UNGRADED ELEMENTARY/SECONDARY                | U  | (GO TO S10)           |
| SPECIAL EDUCATION                            | S  | (GO TO S10)           |
| VOCATIONAL/TECHNICAL AFTER HIGH SCHOOL       | 15 | (GO TO BOX AFTER S10) |
| COLLEGE (UNDERGRADUATE)                      | 16 | (GO TO BOX AFTER S10) |
| GRADUATE, PROFESSIONAL SCHOOL                | 17 | (GO TO BOX AFTER S10) |

[IF T: In this interview, we will be referring to that as "kindergarten."  
 IF P: In this interview, we will be referring to that as "prefirst grade."]

S10. What grade would (PERSON) be in if (he/she) were (attending school/attending a school with regular grades)?  
 [PROBE FOR T OR P: Is that before or after kindergarten?]

|                                              |    |
|----------------------------------------------|----|
| NURSERY/PRESCHOOL/PREKINDERGARTEN/HEAD START | N  |
| TRANSITIONAL KINDERGARTEN (BEFORE K)         | T  |
| KINDERGARTEN                                 | K  |
| PREFIRST GRADE (AFTER K)                     | P  |
| FIRST GRADE                                  | 1  |
| SECOND GRADE                                 | 2  |
| THIRD GRADE                                  | 3  |
| FOURTH GRADE                                 | 4  |
| FIFTH GRADE                                  | 5  |
| SIXTH GRADE                                  | 6  |
| SEVENTH GRADE                                | 7  |
| EIGHTH GRADE                                 | 8  |
| NINTH GRADE/FRESHMAN IN HIGH SCHOOL          | 9  |
| TENTH GRADE/SOPHOMORE IN HIGH SCHOOL         | 10 |
| ELEVENTH GRADE/JUNIOR IN HIGH SCHOOL         | 11 |
| TWELFTH GRADE/SENIOR IN HIGH SCHOOL          | 12 |
| UNGRADED/NO EQUIVALENT                       | U  |
| VOCATIONAL/TECHNICAL AFTER HIGH SCHOOL       | 15 |
| COLLEGE (UNDERGRADUATE)                      | 16 |
| GRADUATE, PROFESSIONAL SCHOOL                | 17 |

[IF T: In this interview, we will be referring to that as "kindergarten."  
 IF P: In this interview, we will be referring to that as "prefirst grade."]

*Ask S7-S10 for next person age 3-10 or 16-19.*

*After last person, go to next box.*

*For splice sample, go to the sampling point.  
Else, ask S11 and S12 for each person age 16 and older who  
is not currently enrolled in grade 12 or below ungraded  
elementary or secondary, or special education.*

S11. Now I have a few questions about [you/you and the other adult(s) in your household].  
[Do you/Does (ADULT)] have a high school diploma or its equivalent, such as a GED?

YES ..... 1  
NO..... 2

S12. During the past 12 months [did you/did (ADULT)] take classes, programs, courses,  
workshops, or seminars of any kind for any reason?

YES ..... 1  
NO..... 2

*After last adult, go to next box.*

*Sampling Point:  
Select children and adults for extended interviews.  
If any children are selected, go to next box.  
If adults only are selected, go to box after S14.  
If no one is selected, go to THANK2.*

*Ask S13 and S14 for each sampled child.  
If there is only 1 household member 12 years old or older,  
autocode S13 to this adult.*

S13. We would like to ask some questions about (CHILD'S) (care and) education. [IF SCREENER  
RESPONDENT IS OBVIOUSLY CHILD'S MOTHER, INSTEAD OF READING QUESTION, VERIFY  
RELATIONSHIP AND ENTER HER PERSON NUMBER.] Who is the parent or guardian in this  
household who knows the most about (CHILD'S) (care and) education?  
[DISPLAY HOUSEHOLD MEMBERS 12 AND OLDER.]

PERSON NUMBER ..... □□

S14. What is [your/(CAREGIVER'S) relationship to (CHILD)?

**ERESRELN** MOTHER (BIRTH/ADOPTIVE/STEP/FOSTER) ..... 1  
FATHER (BIRTH/ADOPTIVE/STEP/FOSTER) ..... 2  
BROTHER/SISTER ..... 3  
GRANDPARENT..... 4  
OTHER RELATIVE ..... 5  
NONRELATIVE ..... 6

*Ask S15 for sampled adults other than the Screener respondent who are enrolled in college, graduate school, or vocational/technical school after high school and are age 16 to 19, or are age 20 to 25. For other sampled adults, go to S17.*

S15. Is (ADULT) living there, in student housing, or somewhere else?

- HERE ..... 1 (GO TO S17)
- STUDENT HOUSING [This includes all housing owned, sponsored, or leased by the school such as a dormitory or fraternity or sorority house.] ..... 2 (GO TO S16)
- OTHER PRIVATE HOME OR APARTMENT ..... 3 (INELIGIBLE)
- INSTITUTION OR GROUP QUARTERS [THIS INCLUDES A JAIL OR DETENTION CENTER, MEDICAL FACILITY, REHABILITATION CENTER, MENTAL HEALTH FACILITY, MILITARY BARRACKS, OR GROUP FOSTER CARE.]..... 4 (INELIGIBLE)

S16. Would you please give me (his/her) last name and telephone number so that we can call (him/her) to talk about (his/her) educational experiences?

LAST NAME \_\_\_\_\_  
 PHONE \_\_\_\_\_

S17. [Are you/Is (ADULT)] currently serving on active duty in the U.S. Armed Forces? [DO NOT INCLUDE RESERVES OR NATIONAL GUARD.]

- YES ..... 1 (INELIGIBLE)
- NO..... 2 (GO TO BOX)

*Go to HHSELECT screen to select interview*

THANK1. Thank you, but we are only interviewing in private residences.

THANK2. Thank you, but no one in your household has been selected for this study.



## **NHES:96 Screener/Household & Library Interview**

S1. Hello, this is (INTERVIEWER) and I'm calling about a research study sponsored by the United States Department of Education. Are you a member of this household and at least 18 years old?

\*

YES ..... 1 (GO TO S4)  
 NO..... 2 (GO TO S2)  
 PROBABLE BUSINESS ..... 3 (GO TO S4)  
 GO TO RESULT ..... GT

S2. May I please speak with a household member who is at least 18 years old?

\*

AVAILABLE ..... 1 (GO TO S1)  
 NOT AVAILABLE ..... 2 (GO TO RESULT, CALLBACK

APPT.)

THERE ARE NONE ..... 3 (GO TO S3A)  
 GO TO RESULT ..... GT

S3A. May I please speak with the male or female head of this household?

\*

PERSON ON PHONE..... 1 (GO TO S4)  
 OTHER PERSON, AVAILABLE..... 2 (GO TO S3B)  
 OTHER PERSON, NOT AVAILABLE ..... 3 (GO TO RESULT,

CALLBACK APPT.)

GO TO RESULT ..... GT

S3B. Hello, this is (INTERVIEWER) and I'm calling about a research study sponsored by the United States Department of Education. Are you a head of this household?

\*

YES ..... 1 (GO TO S4)  
 NO..... 2 (GO TO S3A)  
 GO TO RESULT ..... GT

S4. Is this phone used for...

\*

Home use, ..... 1 (CONTINUE)  
 Home and business use, or..... 2 (CONTINUE)  
 Business use only? ..... 3 (GO TO THANK1)  
 GO TO RESULT ..... GT

*For Parent/Youth Interview, read SCR\_N\_20.  
 For Adult CI Interview, read PRE\_LIB.*

---

NOTE: Response categories shown in mixed cases (upper and lower) are read to the respondent by the interviewer. Those shown in all upper case are not read.

Variables designated by /R appear on the restricted file only.

Questions designated by \* do not appear on either the public or restricted data files. They were used for administrative, verification, or coding purposes only.

SCRN\_20. The U.S. Department of Education is conducting a voluntary and confidential study about the educational experiences of children and how they learn about their communities and government. We are also interested in how all households use public libraries. Are any of the people who normally live in your household age 20 or younger?

**SUNDR21** YES ..... 1 (READ STMT1)  
 NO..... 2 (READ STMT2)  
 GO TO RESULT ..... GT

STMT 1. These next questions are about the people in your household and usually take 5 to 7 minutes. (GO TO S6.)

STMT 2. Then I just have a few questions about libraries and about the people in your household. They usually take 5 to 7 minutes. (GO TO LINTRO.)

PRE\_LIB. The U.S. Department of Education is conducting a voluntary and confidential study about how people use public libraries and how they learn about their communities and government. These questions usually take 10 to 15 minutes. First, I'd like to ask about libraries. (GO TO LINTRO.)

PRE\_S6. Now I'd like to ask about the people in your household and their education and background.

S6. Starting with yourself, please tell me just the first names and ages of all the people who normally live in your household. What is your first name, please?

[HOUSEHOLD MEMBERS INCLUDE PEOPLE WHO THINK OF THIS HOUSEHOLD AS THEIR PRIMARY PLACE OF RESIDENCE. IT INCLUDES PERSONS WHO USUALLY STAY IN THE HOUSEHOLD BUT ARE TEMPORARILY AWAY ON BUSINESS, VACATION, IN A HOSPITAL, OR LIVING AT SCHOOL IN A DORM, FRATERNITY, OR SORORITY.]

| What is [your first name/the first name of the next person]? | How old [are you/ is (he/she)]?                          | Is this person male or female?     | SCREENER RESPONDENT |
|--------------------------------------------------------------|----------------------------------------------------------|------------------------------------|---------------------|
| *                                                            | <b>HHAGE1-<br/>HHAGE16<br/>AGE<br/>MOMAGE<br/>DADAGE</b> | <b>HHSEX1-<br/>HHSEX16<br/>SEX</b> | *                   |

S6VERF1. [VERIFY THE NUMBER OF HOUSEHOLD MEMBERS LISTED ON THE MATRIX.] Have we missed anyone else who usually lives here who is temporarily away from home or living in a dorm at school, or any babies or small children?

MATRIX CORRECT ..... 1  
 RETURN TO MATRIX ..... 2  
 GO TO RESULT ..... GT

*If AGE >= 3 (person age 3 or older), ask SX7. Else, go to box after SX7.*

SX7. [Are you/Is (PERSON)] attending (or enrolled in) (school/nursery school, kindergarten, or school)?

**SENROL1-** YES ..... 1  
**SENROL16** NO ..... 2

*If AGE >= 18 (person age 18 or older), autocode SX8 = 2 (not home schooled) and go to box after SX8. Else, if AGE = 5-17, ask SX8. Else, if SX7 = 1 (person is enrolled in school), go to SX9. Else, go to first box after SX12.*

SX8. (READ FIRST TIME: Some parents decide to educate their children at home rather than sending them to school.) Is (CHILD) being schooled at home?

**SHOMSC1-** YES ..... 1 (GO TO SX8A)  
**SHOMSC16** NO ..... 2 (GO TO BOX AFTER SX8A)

SX8A. So your child is being schooled at home instead of at school?

\* YES ..... 1 (GO TO SX10)  
 NO ..... 2 (RECODE SX8 = 2 AND GO TO BOX)

*If SX7 = 1 (person is enrolled in school), go to SX9. Else, go to first box after SX12.*



SX9. What grade or year of school [are you/is (PERSON)] attending?  
 [PROBE FOR T OR P: Is that before or after kindergarten?]

**SGRADE1-  
SGRADE16**

|                                                    |    |              |
|----------------------------------------------------|----|--------------|
| NURSERY/PRESCHOOL/PREKINDERGARTEN/HEAD START ..... | N  | (GO TO SX11) |
| TRANSITIONAL KINDERGARTEN (BEFORE K) .....         | T  | (GO TO SX11) |
| KINDERGARTEN.....                                  | K  | (GO TO SX11) |
| PREFIRST GRADE (AFTER K) .....                     | P  | (GO TO SX11) |
| FIRST GRADE .....                                  | 1  | (GO TO SX11) |
| SECOND GRADE .....                                 | 2  | (GO TO SX11) |
| THIRD GRADE.....                                   | 3  | (GO TO SX11) |
| FOURTH GRADE.....                                  | 4  | (GO TO SX11) |
| FIFTH GRADE .....                                  | 5  | (GO TO SX11) |
| SIXTH GRADE .....                                  | 6  | (GO TO SX11) |
| SEVENTH GRADE .....                                | 7  | (GO TO SX11) |
| EIGHTH GRADE.....                                  | 8  | (GO TO SX11) |
| NINTH GRADE/FRESHMAN IN HIGH SCHOOL.....           | 9  | (GO TO SX11) |
| TENTH GRADE/SOPHOMORE IN HIGH SCHOOL .....         | 10 | (GO TO SX11) |
| ELEVENTH GRADE/JUNIOR IN HIGH SCHOOL.....          | 11 | (GO TO SX11) |
| TWELFTH GRADE/SENIOR IN HIGH SCHOOL.....           | 12 | (GO TO SX11) |
| UNGRADED ELEMENTARY/SECONDARY .....                | U  | (GO TO SX10) |
| SPECIAL EDUCATION .....                            | S  | (GO TO SX10) |
| VOCATIONAL/TECHNICAL AFTER HIGH SCHOOL .....       | 15 | (GO TO SX9A) |
| COLLEGE (UNDERGRADUATE) .....                      | 16 | (GO TO SX9B) |
| GRADUATE, PROFESSIONAL SCHOOL.....                 | 17 | (GO TO SX9C) |

[IF T: In this interview, we will be referring to that as "kindergarten."  
 IF P: In this interview, we will be referring to that as "prefirst grade."]

SX9A. In terms of credits earned and requirements fulfilled, what year of vocational/technical school [are you/is (PERSON)] in now?

**VOCYR1-  
VOCYR16**

|                       |   |              |
|-----------------------|---|--------------|
| FIRST.....            | 1 | (GO TO SX11) |
| SECOND OR HIGHER..... | 2 | (GO TO SX11) |

SX9B. What is [your/(PERSON's)] class standing? That is, [are you/is (PERSON)] a freshman, sophomore, junior, or senior?

**COLLYR1-  
COLLYR16**

|                |   |              |
|----------------|---|--------------|
| FRESHMAN ..... | 1 | (GO TO SX11) |
| SOPHOMORE..... | 2 | (GO TO SX11) |
| JUNIOR .....   | 3 | (GO TO SX11) |
| SENIOR .....   | 4 | (GO TO SX11) |

SX9C. In terms of credits earned and requirements fulfilled, what year of graduate or professional school [are you/is (PERSON)] in now?

**GRADYR1-  
GRADYR16**

|                       |   |              |
|-----------------------|---|--------------|
| FIRST.....            | 1 | (GO TO SX11) |
| SECOND.....           | 2 | (GO TO SX11) |
| THIRD .....           | 3 | (GO TO SX11) |
| FOURTH OR HIGHER..... | 4 | (GO TO SX11) |

SX10. What grade would [you/(PERSON)] be in if [you/(he/she)] were (attending a school/attending a school with regular grades)?  
 [PROBE FOR T OR P: Is that before or after kindergarten?]

**SGRDEQ1-  
SGRDEQ16**

- NURSERY/PRESCHOOL/PREKINDERGARTEN/HEAD START ..... N
- TRANSITIONAL KINDERGARTEN (BEFORE K) ..... T
- KINDERGARTEN..... K
- PREFIRST GRADE (AFTER K) ..... P
- FIRST GRADE ..... 1
- SECOND GRADE ..... 2
- THIRD GRADE..... 3
- FOURTH GRADE..... 4
- FIFTH GRADE ..... 5
- SIXTH GRADE ..... 6
- SEVENTH GRADE ..... 7
- EIGHTH GRADE..... 8
- NINTH GRADE/FRESHMAN IN HIGH SCHOOL..... 9
- TENTH GRADE/SOPHOMORE IN HIGH SCHOOL ..... 10
- ELEVENTH GRADE/JUNIOR IN HIGH SCHOOL..... 11
- TWELFTH GRADE/SENIOR IN HIGH SCHOOL..... 12
- UNGRADED/NO EQUIVALENT.....U
- VOCATIONAL/TECHNICAL AFTER HIGH SCHOOL ..... 15
- COLLEGE (UNDERGRADUATE) ..... 16
- GRADUATE, PROFESSIONAL SCHOOL..... 17

[IF T: In this interview, we will be referring to that as "kindergarten."  
 IF P: In this interview, we will be referring to that as "prefirst grade."]

*If SX8 = 1 (in home school), go to first box after SX12.  
Else, ask SX11.*

SX11. [Do you/Does (PERSON)] go to a public or a private school?

**PUBSCH1-  
PUBSCH16**

- PUBLIC..... 1
- PRIVATE ..... 2

*If SX9 or SX10 = N, T, or K or SX7 = 1 and AGE<sup>3</sup>16 (person enrolled in nursery school or kindergarten or age 16 or older and currently enrolled in school), then ask SX12. Else, go to first box after SX12.*

SX12. [Are you/Is (PERSON)] now enrolled in school full time or part time?

**FULTIM1-  
FULTIM16**

- FULL TIME..... 1
- PART TIME ..... 2

*Ask SX7 to SX12 for next person enrolled in school.  
After last person, go to next box.*

*If AGE <sup>3</sup> 16 and SX7 and SX8 = 2 or SX9 or SX10 = 15, 16, or 17 (person age 16 and older who is not currently enrolled in grade/equivalent 12 or below, ungraded elementary or secondary, or special education), then ask SX13 to SX15. Else, go to first box after SX14.*

SX13. [Now I have a few questions about (you/you and the other adults(s) in your household).] What is the highest grade or year of school that [you/(ADULT)] completed?

- GRADE1-  
GRADE16  
GRADE1\_1-  
GRAD1\_16  
GRAD2\_1-  
GRAD2\_16**
- UP TO 8TH GRADE ..... 1 (ENTER ACTUAL GRADE, go to SX14)
  - 9TH TO 11TH GRADE..... 2 (ENTER ACTUAL GRADE, go to SX14)
  - 12TH GRADE BUT NO DIPLOMA ..... 3 (GO TO SX14)
  - HIGH SCHOOL DIPLOMA/EQUIVALENT..... 4 (GO TO SX15)
  - VOC/TECH PROGRAM AFTER HIGH SCHOOL BUT NO VOC/TECH DIPLOMA ..... 5 (GO TO SX14)
  - VOC/TECH DIPLOMA AFTER HIGH SCHOOL ..... 6 (GO TO SX14)
  - SOME COLLEGE BUT NO DEGREE ..... 7 (GO TO SX14)
  - ASSOCIATE'S DEGREE ..... 8 (GO TO BOX AFTER SX14)
  - BACHELOR'S DEGREE..... 9 (GO TO BOX AFTER SX14)
  - GRADUATE OR PROFESSIONAL SCHOOL BUT NO DEGREE ..... 10 (GO TO BOX AFTER SX14)
  - MASTER'S DEGREE (MA, MS) ..... 11 (GO TO BOX AFTER SX14)
  - DOCTORATE DEGREE (PHD, EDD) ..... 12 (GO TO BOX AFTER SX14)
  - PROFESSIONAL DEGREE AFTER BACHELOR'S DEGREE (MEDICINE/MD; DENTISTRY/DDS; LAW/JD/LLB; ETC.) ..... 13 (GO TO BOX AFTER SX14)

SX14. [Do you/Does (ADULT)] have a high school diploma or its equivalent, such as a GED?

- SDIPL1-  
SDIPL16**
- YES ..... 1
  - NO..... 2

*Ask SX13 to SX14 for next person age 16 and older who is not currently enrolled in grade 12 or below, ungraded elementary or secondary, or special education. After last person, go to next box.*

*If AGE <sup>3</sup>16 (person age 16 or older), then ask SX15. After last person, go to SX16.*

SX15. What is [your/(ADULT'S)] marital status? [VERIFY IF KNOWN.]

- MARITL1-  
MARITL16**
- MARRIED/REARRIED..... 1
  - SEPARATED..... 2
  - DIVORCED ..... 3
  - WIDOWED ..... 4
  - NEVER MARRIED..... 5

SX16. Not counting the Reserves or National Guard, (are you/is any member of your household) currently serving on active duty in the U.S. Armed Forces?

XHHA CTV

YES ..... 1 (GO TO BOX)
NO..... 2 (GO TO SX17)

If SX16 = 1 (on active duty) and respondent is the only adult in the household, autocode SX16OV to respondent's person number. Else, go to SX16OV.

SX16OV. (Who is that?) [DISPLAY HOUSEHOLD MEMBERS WITH AGE >= 16. CODE ALL THAT APPLY. IF RESPONDENT IS THE ONLY HOUSEHOLD MEMBER, CODE THE PERSON NUMBER OF THE RESPONDENT.]

ACTVDU1-
ACTVDU16

PERSON NUMBER ..... □□ (INELIGIBLE)

SX17. (Were you/Was everyone in your household) born in this country, that is, in one of the 50 States or the District of Columbia?

XHHBORN

YES ..... 1 (AUTOCODE SX19 = 1 AND GO TO SX18)
NO..... 2 (GO TO BOX AFTER SX18)

SX18. (Did you/Did every member of your household) learn English as (your/their) first language?

XHHLANG

YES ..... 1 (AUTOCODE SX20 = 1 AND GO TO 1ST BOX AFTER SX20)
NO..... 2 (GO TO BOX)

If SX17 = 2 (not every household member was born in the U.S.), then ask SX19 for each person in the household; also ask SX20 for each person where AGE >= 3 (age 3 or older). If SX17 = 1 (every household member was born in the U.S.), autocode SX19 = 1 (every household member was born in the U.S.). If SX18 = 2 (not every household member learned English as their first language), ask SX20 for each person where AGE >= 3 (age 3 or older). If SX18 = 1 (every household member learned English as their first language), autocode SX20 = 1 (every household member learned English as their first language), for each person where AGE >= 3 (age 3 or older).

SX19. In what country [were you/was (PERSON)] born?

BORNUS1-
BORNUS16

50 STATES OR THE DISTRICT OF COLUMBIA 1
U.S. TERRITORIES: PUERTO RICO, GUAM, AMERICAN SAMOA,
U.S. VIRGIN ISLANDS, MARIANA ISLANDS, OR
SOLOMON ISLANDS ..... 2

TERROS1/R

(SPECIFY).....
SOME OTHER COUNTRY..... 3
(SPECIFY).....

CONTOS2/R

SX20. What was the first language [you/(PERSON)] learned to speak?

**LANG1-** ENGLISH ..... 1  
**LANG16** SPANISH ..... 2  
 SPANISH AND ENGLISH EQUALLY..... 3  
 OTHER LANGUAGE .....91  
**LANGOSR** (SPECIFY)\_\_\_\_\_

*Ask SX21 and SX22 for each person. After last person, go to first box after SX22 (Sampling Point).*

SX21. [Are you/Is (PERSON)] ....  
 [IF R GIVES RACE AND ALSO SAYS HE/SHE IS OF HISPANIC ORIGIN, CODE RACE HERE.]

**RACE1-** White ..... 1 (GO TO SX22)  
**RACE16** Black ..... 2 (GO TO SX22)  
 American Indian or Alaskan Native ..... 3 (GO TO SX22)  
 Asian or Pacific Islander, or ..... 4 (GO TO SX22)  
 Some other race? ..... 5 (GO TO SX21A)

SX21A. [CODE RESPONSE IF SX21 = 5.]

**OTHRAC1-** HISPANIC/LATINO/MEXICAN/SPANISH/  
**OTHRAC16** PUERTO RICAN..... 1 (AUTOCODE SX22 = 1 AND  
 GO TO BOX AFTER SX22)  
 MORE THAN ONE RACE/BIRACIAL/MULTIRACIAL ..... 2  
 OTHER ..... 91  
**RACEOSR** (SPECIFY)\_\_\_\_\_

SX22. [Are you/Is (PERSON)] of Hispanic origin?

**HISPAN1-** YES ..... 1  
**HISPAN16** NO ..... 2

*Sampling Point:  
 Select children and adults for extended interviews.  
 If any children are selected, go to next box.  
 If adults only are selected, go to second box after SX24.  
 If no one is selected, go to LINTRO.*

*Ask SX23 and SX24 for each sampled child. If there is only one household member, other than the sampled child, who is at least 12 years older than that child, autocode SX23 to this adult. If the sampled child is the only or oldest person in the household, go to LINTRO.*

SX23. We would like to ask some questions about (your/(CHILD)'s) (care and) education.

\*

[IF SCREENER RESPONDENT IS OBVIOUSLY CHILD'S MOTHER, ASK: Are you (CHILD)'s mother? IF YES, ENTER HER PERSON NUMBER.]

[IF SCREENER RESPONDENT MIGHT NOT BE CHILD'S MOTHER, ASK: Who is the parent or guardian in this household who knows the most about (your/(CHILD)'s) (care and) education?]

[DISPLAY HOUSEHOLD MEMBERS 16 YEARS OLD AND OLDER.]

PERSON NUMBER ..... □□

*If person number at SX23 NE person number of sampled child, ask SX24 for each sampled child, and then go to HHSELECT screen to select interview. If person number at SX23 = person number of sampled child, display household members at least 12 years older than the sampled child and ask SX24 for each household member listed. The respondent for the parent interview will be selected in the following order of relationship: mother, father, grandmother, aunt, sister, grandfather, uncle, brother, cousin, other relative (but not husband/wife), or nonrelative (but not boyfriend/girlfriend). If no household member is so designated, the sampled child is ineligible; go to LINTRO. If a respondent for the parent interview is selected, go to HHSELECT screen to select interview.*

SX24. What is [your/(CAREGIVER'S)/(PERSON'S)] relationship to [(CHILD)/you]? [VERIFY IF KNOWN]

\*

- MOTHER (BIRTH/ADOPTIVE/STEP/FOSTER).....1
- FATHER (BIRTH/ADOPTIVE/STEP/FOSTER).....2
- BROTHERS, INCLUDING STEP,  
ADOPTED, AND FOSTER .....3
- SISTERS, INCLUDING STEP,  
ADOPTED, AND FOSTER .....4
- GRANDPARENT .....5
- AUNT .....6
- UNCLE .....7
- COUSIN.....8
- OTHER RELATIVE/GUARDIAN (BUT NOT HUSBAND/WIFE) .....9
- NONRELATIVE/GUARDIAN (BUT NOT BOYFRIEND/GIRLFRIEND).....10
- HUSBAND/WIFE/BOYFRIEND/GIRLFRIEND .....11

*If SX24 = 5 (grandparent) use that person's sex with SX24 to set RELATION and drive displays.  
If SX24 = 11 (husband/wife/boyfriend/girlfriend), code case ineligible and go to LINTRO.*

*If sampled adult is not the screener respondent and SX7 = 1 and SX9 = 15, 16, 17 (enrolled in college, graduate school or vocational/technical school after high school) for that person, ask SX25. Else, go to HHSELECT (Adult CI extended interview).*

SX25. Is (ADULT) living there, in student housing, or somewhere else?

- \*  
 HERE .....1 (GO TO  
 HHSELECT)
- STUDENT HOUSING [This includes all housing owned, sponsored, or leased by the school such as a dormitory or fraternity or sorority house.] .....2 (GO TO SX26)
- LINTRO) OTHER PRIVATE HOME OR APARTMENT .....3 (INELIGIBLE, GO TO
- LINTRO) INSTITUTION OR GROUP QUARTERS [THIS INCLUDES A JAIL OR DETENTION CENTER, MEDICAL FACILITY, REHABILITATION CENTER, MENTAL HEALTH FACILITY, MILITARY BARRACKS, OR GROUP FOSTER CARE.].....4 (INELIGIBLE, GO TO

SX26. Would you please give me (his/her) last name and telephone number so that we can call (him/her) to do a brief interview about activities related to civic involvement?

\* LAST NAME \_\_\_\_\_  
 \* PHONE \_\_\_\_\_

**1996 Topical Component: Household Public Library Usage**

LINTRO. (These next questions are about/We are interested in) public libraries. This does not include school or college libraries, or special research libraries.

L1. About how far would you say it is from your home to the closest public library? Would you say...

- LDISTANC** Less than 1 mile, .....1  
 1 or 2 miles, .....2  
 3 to 5 miles,.....3  
 6 to 10 miles, or.....4  
 More than 10 miles? .....5

L2. People use public libraries in a number of ways. In the past month, that is, since (MONTH) (DAY), has any member of your household used a public library in the following ways? How about...

|                |                                                                                                                        | YES | NO |
|----------------|------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>LVISIT1</b> | a. Going to a public library to borrow or drop off books or tapes? .....1                                              | 1   | 2  |
| <b>LVISIT2</b> | b. Going to a public library for any other purpose, such as a lecture or story hour, or to use their equipment? .....1 | 1   | 2  |
| <b>LCOMP</b>   | c. Using a home computer to link to a public library? .....1                                                           | 1   | 2  |
| <b>LPHONE</b>  | d. Calling the public library to renew books or for information <u>other than</u> library hours or directions? .....1  | 1   | 2  |
| <b>LMATLS</b>  | e. Having library materials mailed or delivered to your home? .....1                                                   | 1   | 2  |
| <b>LMOBILE</b> | f. Visiting a bookmobile? .....1                                                                                       | 1   | 2  |

*If L2a through L2f = 2 (no use of public libraries), ask L3.  
 Else, go to L4.*

L3. Has anyone in your household used a public library in any of those ways in the past year?

**LYRUSE**

YES ..... 1 (GO TO BOX AFTER L4PROBE)  
 NO ..... 2 (GO TO BOX AFTER L4PROBE)

L4. In the past month, that is since (MONTH) (DAY), has any member of your household used a public library (or bookmobile) for the following purposes? How about...

|                 |    |                                                                                                           | YES | NO |
|-----------------|----|-----------------------------------------------------------------------------------------------------------|-----|----|
| <b>LSCHOOL</b>  | a. | For a school or class assignment?.....                                                                    | 1   | 2  |
| <b>LKIDSACT</b> | b. | A program or activity designed for children age 6 to 12? .....                                            | 1   | 2  |
| <b>LKIDBOOK</b> | c. | An activity for children under 6, such as story hour<br>or other introduction to books and reading? ..... | 1   | 2  |
| <b>LRECR</b>    | d. | For enjoyment or hobbies, including to borrow<br>books or tapes or attend activities?.....                | 1   | 2  |
| <b>LJOBHELP</b> | e. | To get information to help find a job? .....                                                              | 1   | 2  |
| <b>LWORK</b>    | f. | For a work assignment or to keep up to date<br>at work? .....                                             | 1   | 2  |
| <b>LCONSUME</b> | g. | To get information for personal use, such as<br>consumer or health issues, investments, and so on? .....  | 1   | 2  |
| <b>LLRNREAD</b> | h. | To work with a tutor or take a class to learn<br>to read?.....                                            | 1   | 2  |

*If any L2a-f = 1 and all L4a-h = 2 (R reported any household use  
 of public libraries and answered no to all purposes of library  
 use), ask L4PROBE. Enter response at L4 and set L4FLAG =  
 1. Else, go to box after L4PROBE.*

L4PROBE. Earlier I recorded that someone in your household had used library or bookmobile services in the past month. What was the purpose for using the library or bookmobile?

**L4FLAG\***

[IF BORROWING BOOKS/TAPES, PROBE: Was that for school, for work, for enjoyment, or something else? What? RECORD SPECIFIC PURPOSE.]

- SCHOOL ASSIGNMENT .....1
- PROGRAM/ACTIVITY FOR CHILDREN AGE 6 TO 12 .....2
- ACTIVITY FOR CHILDREN UNDER 6 .....3
- ENJOYMENT OR HOBBIES .....4
- INFORMATION TO HELP FIND JOB .....5
- WORK ASSIGNMENT/KEEP UP TO DATE AT WORK .....6
- INFORMATION FOR PERSONAL USE/CONSUMER/HEALTH/INVESTMENTS .....7
- TAKE CLASS/USE TUTOR TO LEARN TO READ .....8
- OTHER .....91
- SPECIFY \_\_\_\_\_

\* L4Flag = 1 if L4PROBE = 1 to 8



|                                                                                                                                                     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>If library items are administered before matrix, go to PRE_S6. If library items are administered in the Parent Interview, go to SX27.</i></p> |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|

**Household Characteristics**

SX27. Now a few more questions about your household. Do you...

**HOWNHOM** Own your home, .....1  
 Rent your home, or .....2  
 Have some other arrangement? .....3

SX28. Besides (PHONE NUMBER), do you have other telephone numbers in your household?

**HOTHNUM** YES .....1 (GO TO SX29)  
 NO .....2 (GO TO SX30)  
 NOT MY NUMBER [RECORD NUMBER IN COMMENTS] .....3 (GO TO SX30)

SX29. How many of these additional telephone numbers are for home use?

**HNUMUSE** NUMBER.....

SX30. So that we can group households geographically, may I have your ZIP code?

**STFZIPR** ZIP CODE .....

SX31. Which of these best describes the community where you live? Is it...

**HCCOMMUN** A rural or farming community, .....1  
 A suburb of a city, .....2  
 A small city or town of fewer than  
 50,000 people, or .....3  
 A city of 50,000 people or more? .....4

|                                                                                                                                                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>If SX31 = 2 (suburb), go to SX31OV. Else, if SX31 = 4 (city of 50,000 people or more), go to SX31OV2. Else, go to box after SX31OV2.</i></p> |
|----------------------------------------------------------------------------------------------------------------------------------------------------|

SX31OV. Is it a suburb of...

**HCSUB** A city with over 500,000 people, ..... 1 (GO TO BOX AFTER SX31OV2)  
 A city with 100,000 to 500,000, or ..... 2 (GO TO BOX AFTER SX31OV2)  
 A city with 50,000 to 100,000? ..... 3 (GO TO BOX AFTER SX31OV2)

SX31OV2. Is it ...

**HCCITY** A city with over 500,000 people, .....1  
 A city with 100,000 to 500,000, or .....2  
 A city with 50,000 to 100,000? .....3

Ask SX32 if NUMKID20 (number of children age 20 or younger) >= 1. Else, go to SX33.

SX32. In the past 12 months, has your family received funds or services from any of the following programs? How about...

|                |                                                            | YES | NO |
|----------------|------------------------------------------------------------|-----|----|
| <b>HWIC</b>    | a. Women, Infants, and Children, or WIC? .....             | 1   | 2  |
| <b>HFOODST</b> | b. Food Stamps? .....                                      | 1   | 2  |
| <b>HAFDC</b>   | c. AFDC, or Aid to Families with Dependent Children? ..... | 1   | 2  |

SX33. In studies like this, households are sometimes grouped according to income. What was the total income of all persons in your household over the past year, including salaries or other earnings, interest, retirement, and so on for all household members?

Was it...

|                 |                            |   |              |
|-----------------|----------------------------|---|--------------|
| <b>HINCMRNG</b> | \$25,000 or less, or ..... | 1 | (READ SET 1) |
|                 | More than \$25,000? .....  | 2 | (READ SET 2) |

Was it...

|                |                                |    |  |
|----------------|--------------------------------|----|--|
| <b>HINCOME</b> | [SET 1]                        |    |  |
|                | \$5,000 or less .....          | 1  |  |
|                | \$5,001 to \$10,000 .....      | 2  |  |
|                | \$10,001 to \$15,000 .....     | 3  |  |
|                | \$15,001 to \$20,000, or ..... | 4  |  |
|                | \$20,001 to \$25,000? .....    | 5  |  |
|                | [SET 2]                        |    |  |
|                | \$25,001 to \$30,000 .....     | 6  |  |
|                | \$30,001 to \$35,000 .....     | 7  |  |
|                | \$35,001 to \$40,000 .....     | 8  |  |
|                | \$40,001 to \$50,000 .....     | 9  |  |
|                | \$50,001 to \$75,000, or ..... | 10 |  |
|                | Over \$75,000? .....           | 11 |  |

Ask SX330V if  
 (Number in HH = 2 and HINCOME <= 2) or  
 (Number in HH = 3 and HINCOME <= 3) or  
 (Number in HH = 4 and HINCOME <= 3) or  
 (Number in HH = 5 and HINCOME <= 4) or  
 (Number in HH = 6 and HINCOME <= 4) or  
 (Number in HH = 7 and HINCOME <= 5) or  
 (Number in HH = 8 and HINCOME <= 5) or  
 (Number in HH = 9 and HINCOME <= 6) or  
 (Number in HH = 10 and HINCOME <= 6) or  
 (Number in HH = 11 and HINCOME <= 7) or  
 (Number in HH = 12 and HINCOME <= 7).  
 Else, go to THANK2.

SX33OV.  
*HINCMEXT*

What was your total income last year, to the nearest thousand?

AMOUNT..... \$□□,□□□

THANK1.

Thank you, but we are only interviewing in private residences.

THANK2.

Those are all the questions I have about your household. Thank you for your time.

