

Table of Contents

Introduction and Highlights	1
Chapter 1: Nonresponse Trends in U.S. Field Studies	5
Chapter 2: Factors Influencing Response Rates—Literature Review	7
Conceptual Framework	7
Evidence	7
The First Stage of Response: Making Contact	8
Environment	8
Interviewer	8
Household/Respondent	9
Design Features	9
The Second Stage of Response: Gaining Cooperation	9
Environment	9
Interviewer	10
Household/Respondent	11
Design Features	11
Chapter 3: Nonresponse in the NHSDA	19
Major Design Changes to the NHSDA: 1994 to 1998	19
1994 NHSDA	19
1995 NHSDA	20
1996 NHSDA	20
1997 NHSDA	20
1998 NHSDA	21
Trends in Weighted Screening and Interview Response Rates: 1994 to 1998	21
Refusals Versus Noncontacts: 1994 to 1998	21
Reasons for Refusals: 1994 to 1998	22
Major Design Changes to the NHSDA: 1999	22
National Screening and Interview Overall Response Rates: 1999	23
Efforts Taken to Improve Response Rates: 1999	24
Quarter 1	24
Quarter 2	25
Quarter 3	26
Quarter 4	26
Review of Field Interview Recruitment: 1999	27
Regional Patterns of Nonresponse—State-Level Screening and Interview Response Rates: 1999	27
Unweighted Final Status Code Outcomes at National and State Levels by Quarter: 1999	29
Refusals Versus Noncontacts: 1999	29
Reasons for Refusals: 1999	30
Effect of Computerized Screening: 1999	32
Background	32
Evaluation	33

Table of Contents (continued)

Chapter 4: Detailed Analysis of 1999 Response Rates	77
Environmental Influences on Screening and Interviewing	77
Interviewer Influences on Screening and Interviewing	78
Pay Rate	79
Respondent Influences on Interview Response Rates	79
Logistic Regression Models	79
Background	79
Chi-Squared Automatic Interaction Detection (CHAID)	80
Stepwise Logistic Regression Models	81
Screening Results	82
Interview Results	83
Mode Effects: CAI versus PAPI	84
Conclusions	85
Chapter 5: Comparison of 1998 to 1999 Nonresponse Patterns	159
Background	159
Experience Measures	159
Field Interviewer and Respondent Demographic Controls	159
Impact on Response Rates	160
Conclusions	160
Chapter 6: Use of Incentives to Increase Response Rates in the NHSDA	163
Interviewer Incentives	163
Respondent Incentives	163
References	165

Appendices

Appendix A	1999 Unweighted Response Rate Graphs
Appendix B	Descriptive Tables of Environmental Influences on CAI Response Rates by State
Appendix C	Descriptive Tables of Interviewer Influences on CAI Response Rates by State
Appendix D	Descriptive Tables of Household/Respondent Influences on CAI Screening Response Rates by State
Appendix E	Descriptive Tables of Environmental Influences, Auxiliary Data

Table of Contents (continued)

Figures

Figure 2.1	Nonresponse Model Proposed by Groves and Couper (1998)	13
------------	--	----

Maps

Map 3.1	1999 NHSDA CAI Screening Rates, Quarters 1-4	62
Map 3.2	1999 NHSDA CAI Screening Rates, Quarter 1	63
Map 3.3	1999 NHSDA CAI Screening Rates, Quarter 2	64
Map 3.4	1999 NHSDA CAI Screening Rates, Quarter 3	65
Map 3.5	1999 NHSDA CAI Screening Rates, Quarter 4	66
Map 3.6	1999 NHSDA CAI Interview Rates, Quarters 1-4	67
Map 3.7	1999 NHSDA CAI Interview Rates, Quarter 1	68
Map 3.8	1999 NHSDA CAI Interview Rates, Quarter 2	69
Map 3.9	1999 NHSDA CAI Interview Rates, Quarter 3	70
Map 3.10	1999 NHSDA CAI Interview Rates, Quarter 4	71
Map 3.11	1999 NHSDA CAI Screening Refusal Rate, Quarters 1-4	72
Map 3.12	1999 NHSDA CAI Screening Noncontact Rate, Quarters 1-4	73
Map 3.13	1999 NHSDA CAI Interview Refusal Rate, Quarters 1-4	74
Map 3.14	1999 NHSDA CAI Interview Noncontact Rate, Quarters 1-4	75

Tables

Table 2.1	Evidence on Factors Affecting Contact Rates	14
Table 2.2	Evidence on Factors Affecting Cooperation Rates	16
Table 3.1	Weighted Screening and Interview Response Rates: 1994 to 1998	34
Table 3.2	Final Disposition of NHSDA Cases: 1994 to 1998	35
Table 3.3	Reasons for Interview Refusals: 1994 to 1998	36
Table 3.4	Total Unweighted Response Rates: 1999	37
Table 3.5	Field Interviewer Recruitment and CAI Response Rates	38
Table 3.6	10 Best and Worst States for Completion Rates: 1999	39
Table 3.7	Final Disposition of Eligible Screenings: 1999	40
Table 3.8	Final Disposition of Eligible Interviews: 1999	42
Table 3.9	10 Best and Worst States for 3 Greatest Reasons for Screening Nonresponse: 1999	44
Table 3.10	10 Best and Worst States for 3 Greatest Sources of Interview Nonresponse: 1999	45
Table 3.11	Reasons for Screening and Interviewing Refusals: 1999	45
Table 3.12	Reasons for Screening Refusals by State: 1999	46
Table 3.13	Reasons for Interview Refusals by State: 1999	48
Table 3.14	Reasons for Screening Refusals for 10 Best and Worst Screening Refusal Rate States: 1999	50
Table 3.15	Reasons for Refusals for 10 Best and Worst Refusal Rate States: 1999	51
Table 3.16	States with Most Frequent Use of 3 Greatest Reasons for Refusal: 1999	52
Table 3.17	Refusal Reasons Recorded for Screenings Later Converted: 1999	52
Table 3.18	Refusal Reasons Recorded for Interviews Later Converted: 1999	53
Table 3.19	Screenings Assigned a Pending Refusal Code Ultimately Converted: 1999	54

Table of Contents (continued)

Table 3.20	Interviews Assigned a Pending Refusal Code Ultimately Converted: 1999	56
Table 3.21	Interviews Assigned a Pending Parental Refusal Code Ultimately Converted: 1999	58
Table 3.22	Distribution of Age by Gender for the Population and Selected Persons in 1998, Adjusted for Design Weights	60
Table 3.23	Distribution of Age by Gender for the Population and Selected Persons for CAI 1999, Adjusted for Design Weights	61
Table 3.24	Distribution of Age by Gender for the Population and Selected Persons for PAPI 1999, Adjusted for Design Weights	61
Table 4.1a	CAI Response Rates by Environmental Characteristics: Overall (Dwelling Unit)	86
Table 4.1b	CAI Response Rates by Environmental Characteristics: Overall (Person Level)	91
Table 4.2a	PAPI Response Rates by Environmental Characteristics: Overall (Dwelling Unit)	96
Table 4.2b	PAPI Response Rates by Environmental Characteristics: Overall (Person Level)	101
Table 4.3a	CAI Response Rates by Field Interviewer Characteristics: Total (Dwelling Unit)	106
Table 4.3b	CAI Response Rates by Field Interviewer Characteristics: Total (Person Level)	110
Table 4.4a	PAPI Response Rates by Field Interviewer Characteristics: Total (Dwelling Unit)	114
Table 4.4b	PAPI Response Rates by Field Interviewer Characteristics: Total (Person Level)	118
Table 4.5	Characteristics of 1999 Field Interviewers	122
Table 4.6a	1999 CAI Weighted Response Rates: Total U.S. Quarter 4	124
Table 4.6b	1999 CAI Weighted Response Rates: Total U.S. Quarter 4	125
Table 4.7	Household/Respondent Characteristics and CAI Response Rates: Total U.S.	126
Table 4.8	Household/Respondent Characteristics and PAPI Response Rates: Total U.S.	127
Table 4.9	All Variables Entered Into Stepwise Regression	128
Table 4.10	Screening Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Who Completed Survey Year	137
Table 4.11	Screening Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Terminated Prior to End of Survey Year	140
Table 4.12	Interview Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Who Completed Survey Year—CAI	142
Table 4.13	Interview Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Who Completed Survey Year—PAPI	146
Table 4.14	Log Odds and Confidence Intervals for 1999 NHSDA Field Interviewers Who Completed Survey Year—CAI vs. PAPI	148
Table 4.15	Interview Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Terminated Prior to End of Survey Year—CAI	152
Table 4.16	Interview Response Rates for 1999 NHSDA Stepwise Logistic Regression Field Interviewers Terminated Prior to End of Survey Year—PAPI	154
Table 4.17	Log Odds and Confidence Intervals for 1999 NHSDA Field Interviewers Terminated Prior to End of Survey Year—CAI vs. PAPI	156
Table 5.1	PAPI Weighted Response Rates for 1999 by Field Interviewer Experience	161
Table 5.2	Response Rates by Field Interviewer Experience Distribution	161
Table 5.3	Trend Effects for Interview Response Rate Under Alternative Models Weighted Linear Regression	161
Table 5.4	Trend Effects for Interview Response Rate Under Alternative Models Weighted Logistic Regression	162