

Converting the National Household Education Survey from RDD/CATI to ABS/Mail

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Survey Redesign Seminar

Presented July 17, 2012

This discussion is intended to promote the exchange of ideas among researchers and policy makers. The views expressed during discussion are part of ongoing research and analysis and do not necessarily reflect the position of the U.S. Department of Education.



NHES Overview

- Conducted approximately every 2 years since 1991
- RDD/CATI survey, representative of U.S. noninstitutionalized civilian population
 - Nationally representative samples of children from birth through grade 12 and adults.
- Last conducted as RDD/CATI in 2007
- Covers many topics that can not be measured through institution-based studies:
 - Homeschooling, adult education, after-school activities, school readiness, child care and more

State of the NHES in 2007

- Conducted a bias study in 2007 that indicated little evidence of bias and some potential coverage issues in our RDD design
- Response rate on Adult Education survey was going to be too low to publish

NHES screener response rate over time

Year of survey	Completed Screeners	Response rate	Nonresponse type (percentage distribution)		
			Refusals	Maximum calls	Other
1991	60,322	81	84	7	9
1993	63,844	82	68	15	18
1995	45,465	73	84	9	7
1996	55,838	70	83	10	7
1999	55,929	74	76	17	7
2001	48,385	68	74	18	8
2003	32,049	62	76	16	8
2005	58,140	64	77	15	8
2007	54,034	53	86	10	4

Motivation for NHES redesign

- Improve response rates
- Improve coverage
- Contain cost

NHES redesign

- Contracted for redesign in 2008
- 2009 feasibility test
 - Would two phase mail survey work?
- 2011 large scale field test
 - Develop a packaged design that could be used in production

2009 feasibility test

- Could two phase study be conducted by mail?
- Three independent samples:
 - Nationally representative sample: 10,200 cases
 - Linguistically isolated sample: 800 cases
 - Households with children: 800 cases
- Data collection September – mid-December 2009

2009 Results

- Found approach could boost response rates and improve coverage
- Raised a number of questions about best way to implement design
 - Best screener questionnaire?
 - Telephone non response follow up?
 - How to increase response in Spanish-speaking populations?
 - Incentives?

Conducted large scale field test in 2011

- 60,000 household ABS study
 - Random national sample
 - Spanish-language targeted sample (Linguistically Isolated, Hispanic Surname)
- Up to 3 screener mailings, screener phone nonresponse follow-up
- Up to 3 topical mailings
- 12 experiments
- Conducted January to early June 2011

2011 Field test key research areas

- Incentives
 - Various cash levels and timing, magnet
- Spanish language materials
- Mailing strategies
 - Advance letter, Fedex vs. Priority mail, Priority mail vs. first class, different envelope designs
- Screener form type, content and design

Value of multiple mailings (2011)

	End of 1 st mailing	End of 2 nd mailing	End of 3 rd mailing
Response Rate	40.9	53.5	66.7
% of HH with kids	28.7	30.2	31.2

Response rate and percent of HH with kids increased with each mailing

Impact of Nonresponse Follow Up by Phone on Screener Completion (2009)

Assigned Follow up mode	Vendor phone available	1 st follow up completion rate	2 nd follow up completion rate
Mail	No	42.8	27.1
Mail	Yes	49.3	34.6
Phone (includes late mail completes)	Yes	34.4	21.8
Phone (completed by phone)	Yes	18.0	12.4

- Most phone assigned cases were completed by mail prior to a phone call in the first follow up.
- Mail/FedEx outperformed phone at the first and second nonresponse follow up stages amongst cases with a vendor-provided phone number.

Screener Treatment	Wave 1	Wave 2	Wave 3	Screener Overall
Prenotice letter	improved response 1.243 (p < .0001)			
\$5.00	improved response 1.309 (p < .0001)	improved response 1.107 (p = .0049)		improved response 1.230 (p < .0001)
Magnet				
Requested name		decreased response 0.918 (p = .0197)		
Requested phone		decreased response 0.849 (p = .0083)		decreased response 0.840 (p < .0001)
Screenout	improved response 1.047 (p=.044)		improved response 1.303 (p < .0001)* *as 2nd/3rd mailing	
FedEx	N/A	N/A	improved response 1.363 (p < .0001)	N/A

2011 'Best' and 'Worst' final response rate

	Screener	Topical	Overall
2011 best overall*	74.0	79.3	58.7
2011 worst overall*	64.5	70.8	45.7
2009 field test*	61.8	72.3	44.7
2007 PFI	52.8	74.1	39.1
2005 ECPP	64.2	84.4	54.2

*unweighted, based on multiple treatment groups

Non response bias analysis from 2011 field test

- Some concern that mail mode would underrepresent very low income population
 - Did not see evidence of this (mainly because we used parent's highest educational level as raking dimension)
- No evidence unit non response bias on the characteristics selected for evaluation
- Item non response rates were low (below 10% for most items) mitigating potential item non response bias

Major changes from RDD/CATI to mail

- CATI/RDD fielded multiple modules in HH
 - Now we only ask about one person
 - This impacts our sample size
- CATI/RDD had complex skips and fills
 - We have simplified the items and ask less detail
 - e.g., collect fewer care arrangements
 - Created different questionnaire versions
- Mail data collection period will likely be similar to CATI but topical fielded later

2012 Screener design

- Advance letter
- Initial mailing: screener with \$5 incentive, first class, cover letter
- Spanish/English forms to LI and Hispanic surname households, expanding with each mailing
- Reminder postcard after 1 week
- 2nd questionnaire mailing after 3 weeks
- FedEx to all non responding HH at second non response follow up, reminder phone call, after 6 weeks
- 3rd non response mailing (4th mailing), after 9 weeks
- TQA interview

2012 Design continued

- Returned screeners are clerically reviewed to determine if children reported
- Questionnaires with children are scanned
- Data is transmitted weekly
- Within household sampling is performed and a topical input file is created
- File is reviewed to check names
- Topical questionnaires are labeled and mailed in groups

2012 Topical design

- Initial mailing first class, distinctive envelope, \$5 cash incentive
- Reminder postcard after 1 week
- 2nd mailing, first class, distinctive envelope, after 3
- 3rd mailing, FedEx, reminder phone call, after 6 weeks
- 4th mailing, first class distinctive envelope, after 9 weeks

2012 Experiments

Screener

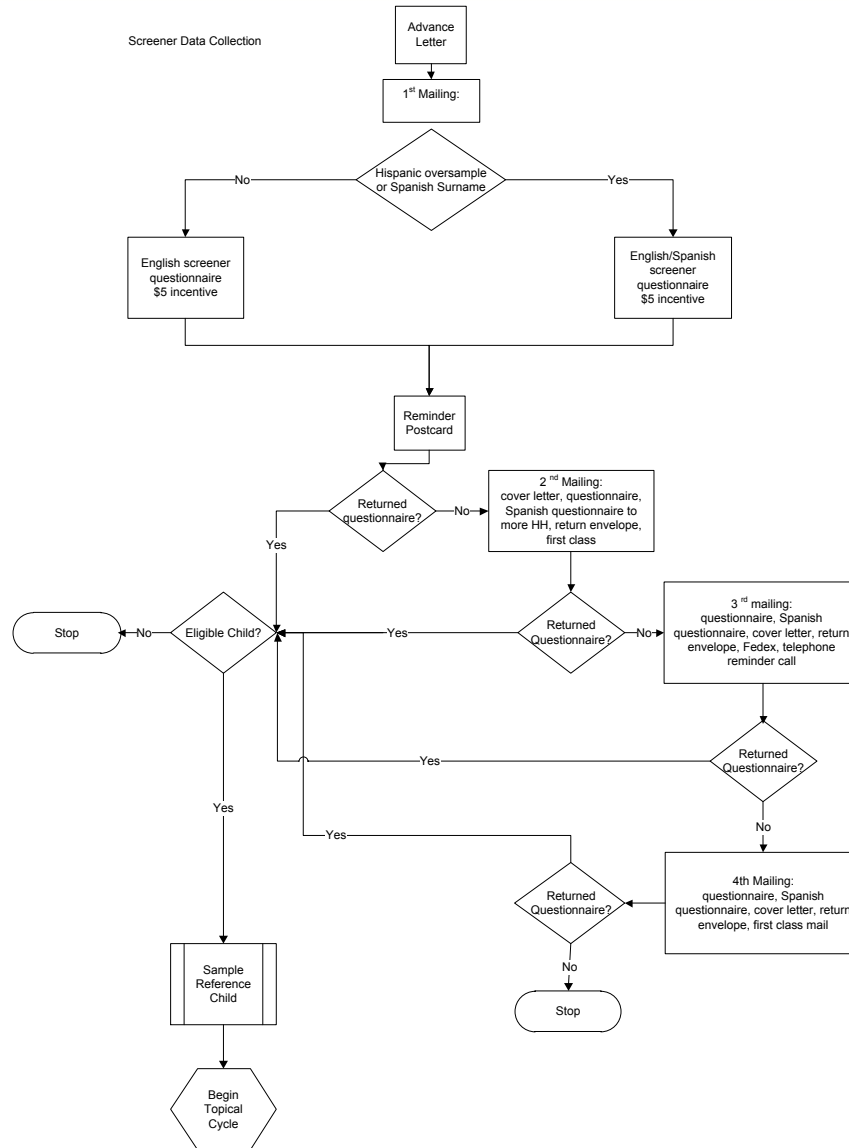
- Census vs. NCES/ED branding
- No name screener

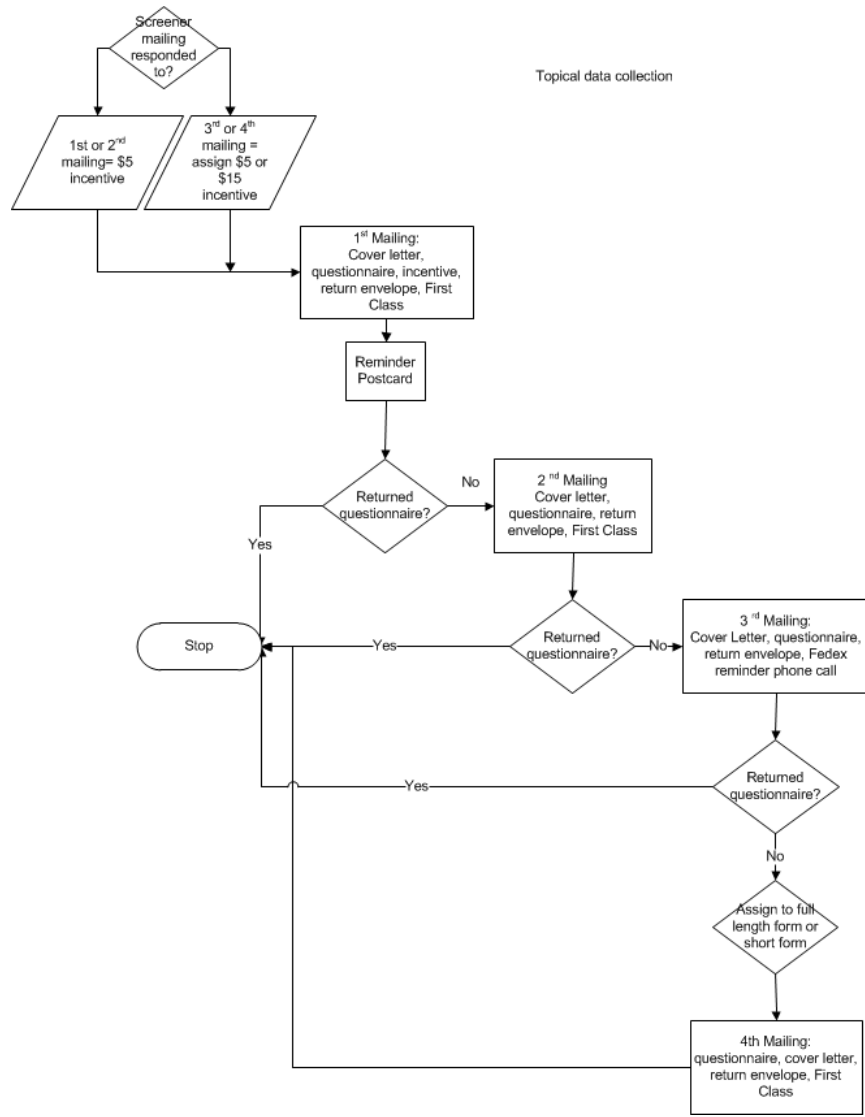
Topical

- \$15 incentive at topical level for late screener responders
- A topical 'short form' against fourth mailing of a full form

Thank You

Additional materials





Commonly Asked Questions

Q: How did you get my address?

A: Your address was randomly selected from among all of the home addresses in the nation. It was selected using scientific sampling methods to represent other households in the U.S.

Q: Why don't you ask more questions about education in this questionnaire?

A: The purpose of this questionnaire is to find out if anyone in your household is eligible for the next stage of the survey. If so, we will send a second questionnaire that will ask about educational experiences of a member of your household.

Q: If there are no children or anyone currently in school in my household, should I respond?

A: Yes, you should respond to this survey. Once you return the questionnaire, the study will be able to see if anyone in your household is eligible for the next and final survey. If no one is eligible, you will not receive another survey.

Q: Why should I take part in this study? Do I have to do this?

A: This survey is the only way that the Department of Education can learn about children's care, early learning activities, and schooling from your perspective. You represent thousands of other households like yours, and you cannot be replaced. Your answers and opinions are very important to the success of this study. You may choose not to answer any or all questions in this survey. In order for the survey to be representative, it is important that you complete and return this questionnaire. Those who do not return the survey will not be represented in key statistics used by policymakers and researchers.

Q: How will the information I provide be used? Will my privacy be protected?

A: Your responses will be combined with those of others to produce statistical summaries and reports. Your individual data will not be reported. Your answers may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (Section 9573, 20 U.S. Code).

Q: How much time will it take?

A: On average, it should take 3 minutes for you to respond, including the time for reviewing instructions and completing and reviewing the collection of information.

Q: Who is sponsoring the study? Is this study conducted by the Federal Government?

A: The National Center for Education Statistics, within the Department of Education, is authorized to conduct this study (Section 9543, 20 U.S. Code). This study has been approved by the Office of Management and Budget, the office that reviews all federally sponsored surveys. The approval number assigned to this study is 1850-0768. You may send any comments about this survey, including its length, to the Federal Government. Write to: Andrew Zukerberg, National Center for Education Statistics, U.S. Department of Education, 1990 K Street NW, Room 9036, Washington, DC 20006-5650. You may send email to NHES@census.gov. If you have any questions about the study, contact us toll-free at 1-888-840-8353.

U.S. Department of Education
National Center for Education Statistics



National Household Education Survey



The National Center for Education Statistics is authorized to conduct this survey under Section 9543, 20 U.S. Code. Your participation is voluntary. Your answers may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (Section 9573, 20 U.S. Code). The information you provide will be combined with information from other participants to produce statistical summaries and reports.

NHES-11BE(INFO)
(03/19/2012)

National Household Education Survey

U.S. Dep
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Start Here

The Department of Education is studying households with youth or children age 20 or younger. Each household is different, and we need your response so we can send you a survey that is right for your household.

- ▶ Return this form even if there are no youth or children in this household after marking the correct box in item 1.
- ▶ This survey should be filled out by an adult household member living at this address.
- ▶ Please use a blue or black pen if available.

1. Are there any youth or children age 20 or younger living in this household?

Do not include those living in college housing.

- Yes
- No → **GO TO box A at the bottom.**

2. How many youth or children age 20 or younger live in this household?

number age 20 or younger

- ▶ Continue answering questions 3 through 7 for each youth or child living in this household.

A: If you marked in question 1 that no one in your household is age 20 or younger, please stop here and return this survey to us in the enclosed envelope. It is important that we receive a response from every household selected for this study. Thank you for your time.

▶ Start with the youngest youth or child who is age 20 or younger.

Youth / Child 1

3. What is his or her first name, initials, or nickname?
First names will be used only to ask you questions about the education of a specific child.

First name/initials/nickname

4. How old is this child in years? Mark for babies less than 1 year old

 age in years

5. What is this child's sex? Male Female

6. Is this child currently in Public or private school, or preschool, Homeschool instead of school for some or all classes, or Not in school?

 Public or private school, or preschool, Homeschool instead of school for some or all classes, or Not in school?

↳ **GO TO youth/child 2.**

7. What is this child's current grade or equivalent?

- Preschool Kindergarten write grade 1 through 12 College or vocational school None of these

Youth / Child 2

First name/initials/nickname

Mark for babies less than 1 year old

 age in years

Male Female

Public or private school, or preschool, Homeschool instead of school for some or all classes, or Not in school?

↳ **GO TO youth/child 3.**

- Preschool Kindergarten write grade 1 through 12 College or vocational school None of these

Youth / Child 3

First name/initials/nickname

Mark for babies less than 1 year old

 age in years

Male Female

Public or private school, or preschool, Homeschool instead of school for some or all classes, or Not in school?

↳ **GO TO youth/child 4.**

- Preschool Kindergarten write grade 1 through 12 College or vocational school None of these

Youth / Child 4

First name/initials/nickname

Mark for babies less than 1 year old

 age in years

Male Female

Public or private school, or preschool, Homeschool instead of school for some or all classes, or Not in school?

↳ **GO TO youth/child 5.**

- Preschool Kindergarten write grade 1 through 12 College or vocational school None of these

▶ Please verify you have listed the 5 youngest youth or children living in this household in columns 1 through 5 above.

▶ Thank you. Please return this form in the postage-paid envelope provided.

U.S. Census Bureau
ATTN: DCB 60-A (7198)
1201 E. 10th Street
Jeffersonville, IN 47132-0001

Toll-free number for questions: 1-888-840-8353

Número de OMB 1850-0768 Aprobado hasta 11/30/2014

Departamento de Educación de los Estados Unidos
Centro Nacional para Estadísticas de la Educación



Encuesta Nacional en Hogares sobre Educación



La Sección 9543, 20 del Código de los Estados Unidos autoriza al Centro Nacional para Estadísticas de la Educación a llevar a cabo esta encuesta. Sus respuestas son voluntarias y se usarán solamente con fines estadísticos y no se darán a conocer, ni se usarán, de manera identificable para ningún otro fin, excepto cuando la ley lo estipule (Ley de Reforma de Ciencias de la Educación 2002 (Education Sciences Reform Act of 2002 (ESRA 2002) Sección 9573, 20 del Código de los Estados Unidos).

NHES-11BE(SP)(INFO)
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Preguntas frecuentes

- P: ¿Cómo obtiene la dirección de mi casa?**
R: Su dirección fue seleccionada al azar de entre todos los domicilios en el país. Fue seleccionada usando un método científico de muestreo para representar a otros hogares en los Estados Unidos.
- P: ¿Por qué en este cuestionario no hace más preguntas sobre educación?**
R: El propósito de este cuestionario es determinar si alguna persona en su hogar es elegible para la próxima etapa de la encuesta. Si eso es el caso (si es así), enviaremos un segundo cuestionario que habrá preguntas sobre las experiencias educativas de algún miembro de su hogar.
- P: Si en este momento en este hogar no hay niños ni nadie que estudie en la escuela, ¿debo responder?**
R: Sí, debe responder esta encuesta. Una vez devuelva el cuestionario, los encargados del estudio podrán determinar si alguien en su hogar es elegible para la próxima y última etapa. Si nadie es elegible no recibirá otro cuestionario.
- P: ¿Por qué debo participar de este estudio? ¿Tengo la obligación de hacerlo?**
R: A través de este cuestionario es como único el Departamento de Educación puede aprender sobre el cuidado de niños, actividades tempranas de aprendizaje y la educación desde la perspectiva de usted. Usted representa a miles de hogares como el suyo, y por eso usted no puede ser reemplazado. Sus respuestas y opiniones son muy importantes para el éxito de este estudio. Puede decidir no responder algunas o todas las preguntas en esta encuesta. Para que la encuesta sea representativa, es importante que responda este cuestionario y lo devuelva. Las personas que no devuelvan la encuesta no estarán representadas en estadísticas clave que utilizan los legisladores e investigadores.
- P: ¿Cómo se usará la información que yo proporciono? ¿Se protegerá mi privacidad?**
R: Sus respuestas se combinarán con las de otros participantes para producir resúmenes e informes estadísticos. No se darán a conocer sus datos individuales. Sus respuestas se podrán usar con propósitos estadísticos solamente y no se podrán dar a conocer ni usar de modo que se pudieran identificar con "usted", para ningún otro propósito, salvo como lo exige la ley (Código de los Estados Unidos).
- P: ¿Cuánto tiempo me tomará?**
R: En promedio, le pedirá tomar unos 3 minutos, incluidos el tiempo que le tome leer las instrucciones y llenar y revisar la información.
- P: ¿Quién patrocina este estudio? ¿Lleva a cabo este estudio el gobierno federal?**
R: El Centro Nacional para Estadísticas de la Educación, dentro del Departamento de Educación, está autorizado para llevar a cabo este estudio (Sección 9543, 20 del Código de los Estados Unidos). Este estudio fue aprobado por la Oficina de Administración y Presupuesto, la oficina que controla todas las encuestas patrocinadas federalmente. El número de aprobación para este estudio es 1850-0768. Puede enviar cualquier comentario sobre esta encuesta, incluyendo sobre el tiempo que toma, al Gobierno Federal. Escriba a Andrew Zuberberg, National Center for Education Statistics, U.S. Department of Education, 1900 K Street NW, Room 9006, Washington, DC 20008-9950. Puede enviar un correo electrónico a NHES@oensus.gov. Si tiene alguna pregunta acerca del estudio, comuníquese llamando gratis al 1-888-840-8393.

Spanish screener

Encuesta Nacional en Hogares sobre Educación

Departamento de Educación de los Estados Unidos
Centro Nacional para Estadísticas de la Educación

Número de OMB 1850-0768 Aprobado hasta 11/30/2014

Empiece aquí

El Departamento de Educación está realizando los hogares en que hay niños o jóvenes menores de 21 años de edad. Cada hogar es diferente, y necesitamos sus respuestas para poder analizar el cuestionario que se envía para su hogar.

► Decida este formulario porque no hay niños ni jóvenes en este hogar después de mirar la casilla correcta en la pregunta 1.

► Un adulto que sea parte del hogar y que vive en este domicilio debe ser quien responda esta encuesta.

► Por favor, de ser posible, use una pluma o un bolígrafo de tinta negra o azul.

1. Hay algún niño o joven menor de 21 años viviendo en este hogar?
No incluya a aquellos que viven en la universidad.

Sí No **PASE AL PASO A** al final de la página.

2. Cuántos niños o jóvenes menores de 21 años de edad viven en este hogar?
Indique el grado de cada niño o joven.

Ninguno Preescolar Kindergarten 1er grado 2do grado 3er grado 4to grado 5to grado 6to grado 7to grado 8to grado 9to grado 10to grado 11to grado 12to grado

3. ¿Cuál es el primer idioma hablado en su hogar?
Indique el idioma que más se habla en su hogar.

Inglés Español Otro idioma

4. ¿Qué edad, en años, tiene el niño o niña?
Indique la edad en años.

5. ¿De qué sexo es este niño o niña?
Indique el sexo.

6. Actualmente, ¿cómo es el hogar?
Indique si el hogar es público o privado o es una casa adosada.

7. ¿Algunos niños o jóvenes menores de 21 años de edad en este hogar están en la escuela?
Indique si los niños o jóvenes están en la escuela.

8. Actualmente, ¿en qué grado o nivel de escuela está el niño o niña?
Indique el grado o nivel de escuela.

9. ¿Algunos niños o jóvenes menores de 21 años de edad en este hogar están en la escuela?
Indique si los niños o jóvenes están en la escuela.

10. Actualmente, ¿en qué grado o nivel de escuela está el niño o niña?
Indique el grado o nivel de escuela.

11. ¿Algunos niños o jóvenes menores de 21 años de edad en este hogar están en la escuela?
Indique si los niños o jóvenes están en la escuela.

12. Actualmente, ¿en qué grado o nivel de escuela está el niño o niña?
Indique el grado o nivel de escuela.

► Por favor verifique que los datos en los cuadros 1 a 6 arriba, y los 8 (sexo o raza) estén completos que viven en este hogar.

► Muchas gracias. Por favor devuelva este formulario en el sobre pre-estampado que se incluye o envíelo por correo a:
U.S. Census Bureau
ATTN: NHES (SP) (INFO)
1201 E. 19th Street
Jeffersonville, IN 47133-0014

Número gratis para hacer preguntas: 1-888-840-8393

OMB No. 1850-0798; Approval Expires 11/30/2014

The National Household Education Survey

Our Children's Future: A Survey of Young Children's Care and Education



Thank you for helping us with this survey. Based on the information we received from your household in your last survey, we're asking you to complete this final step.

Sponsored by

U.S. Department of Education
National Center for Education Statistics



NHES-21AE(Info)
(03/19/2012)

24/21/2011



Instructions

- ◆ In response to the survey you answered earlier, we recorded that the child/youth listed below has not yet started kindergarten. If this child is attending public or private school or is homeschooled for kindergarten through 12th grade or equivalent, please call us at the toll-free number below so we can be sure you received the correct survey.
- ◆ These questions should be filled in by a parent or guardian who knows about:

Please answer all the survey questions thinking about this child or youth.

- ◆ To answer a question, simply mark the box that best represents your answer.
- ◆ Please use a black or blue pen, if available, to complete this survey.
- ◆ If this questionnaire has been sent to the wrong household or the child/youth listed above does not live here, please call to let us know.
- ◆ Our toll-free number is 1-888-840-8333.

We are authorized to collect this information by Section 9543, 20 U.S. Code. You do not have to provide the information requested. However, the information you provide will help the Department of Education's ongoing efforts to learn more about the educational experiences of children and families. There are no penalties should you choose not to participate in this study. Your answers may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (Section 9573, 20 U.S. Code). Your responses will be combined with those from other participants to produce summary statistics and reports.

This survey is estimated to take an average of 20 minutes, including time for reviewing instructions and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Andrew Zuckerberg, National Center for Education Statistics, U.S. Department of Education, 1990 K Street NW, Room 9036, Washington, DC 20006-5650. Do not return the completed form to this address.

NHES-21AE(Info)

Sampled child's information

1. Childhood Care and Programs

- ▶ Thank you for your help with the previous survey your household completed.
- ▶ Answer all the survey questions thinking about the child listed below:

Care Your Child Receives from Relatives

These questions ask about different types of child care this child may now receive on a regular basis from someone other than his/her parents or guardians.

1. Is this child now receiving care from a relative other than a parent or guardian on a regular basis, for example, from grandparents, brothers or sisters, or any other relatives?
 - No → GO TO question 17
 - Yes
2. Are any of these care arrangements regularly scheduled at least once a week?
 - No → GO TO question 17
 - Yes
3. These next questions are about the care that this child receives from the relative who provides the most care. How is that relative related to this child?

Mark ONE only.

 - Grandmother/Grandfather
 - Aunt/Uncle
 - Brother/Sister
 - Another relative

4. How old is the relative who provides the most care to this child?

age
5. Is this care provided in your home or another home?
 - Own home
 - Other home
 - Both
6. How many days each week does this child receive care from this relative?

days each week
7. How many hours each week does this child receive care from this relative?

hours each week
8. How old was this child in years and months when this particular regular care arrangement with this relative began?

years months
9. What language does this relative speak most when caring for this child?
 - English
 - Spanish
 - A language other than English or Spanish
 - English and Spanish equally
 - English and another language equally

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