5. UNIT RESPONSE

This chapter describes the unit response rates for the NHES:2001. It includes the rates for the Screener and for each of the three extended interviews, the ECPP interview, the ASPA interview, and the AELL interview.

Definition of Unit Response Rates

A unit response rate is the ratio of the number of units with completed interviews (for example, the units could be telephone numbers, households, or persons) to the number of units sampled and eligible for the interview. In some cases, these rates are easily defined and computed, while in other cases the numerators or denominators of the ratio must be estimated.

For reporting the results from the NHES:2001, the overall unit response rate\textsuperscript{26} indicates the percentage of possible interviews that were completed taking all survey stages into account, while the unit response rate\textsuperscript{27} measures the percentage of interviews that were completed for a specific stage of the survey. For example, household members were identified for interviews in a two-stage process. Screener interviews were conducted to enumerate and sample household members, and then questionnaires were administered for the sampled members. If the responding household member failed to complete the first-stage Screener, no members could be sampled for other interviews. Under this design, the unit response rate for the second stage (ECPP, ASPA, or AELL interviews) is the percentage of sampled persons who completed these interviews. The overall unit response rate is the product of the first- and second-stage unit response rates; i.e., the Screener unit response rate multiplied by the extended interview unit response rate.

Unit response rates can be either unweighted or weighted. The unweighted rate, computed using the raw number of cases, provides a useful description of the success of the operational aspects of the survey. The weighted rate, computed by summing the weights (usually the reciprocals of the probability of selecting the units) for both the numerator and denominator, gives a better description of the success of the survey with respect to the sampled population since the weights allow for inference of the sample data (including response status) to the population. Both rates are usually similar unless the probabilities of selection and the unit response rates in the categories with different selection probabilities

\textsuperscript{26} In previous NHES publications, this was referred to as simply the response rate.
\textsuperscript{27} In previous NHES publications, this was referred to as the completion rate.
vary considerably. All of the unit response rates discussed in this chapter are weighted unless noted specifically in the text, since the main purpose of this chapter is to describe the success of the survey with respect to the survey population.

**Screener Unit Response Rates**

The first panel of table 5-1 shows the disposition of the 179,211 telephone numbers that were in the final sample for the NHES:2001. The three major categories of response status are those identified as numbers for residential households, those identified as nonresidential numbers (primarily nonworking and business telephone numbers), and those numbers that, despite numerous attempts, could not be identified as residential or nonresidential.

<table>
<thead>
<tr>
<th>Screener response category</th>
<th>Number</th>
<th>Percentage of all numbers</th>
<th>Percentage of residential numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>179,211</td>
<td>100.0</td>
<td></td>
</tr>
<tr>
<td>Identified as residential</td>
<td></td>
<td></td>
<td>100.0</td>
</tr>
<tr>
<td>Responded</td>
<td>48,385</td>
<td>27.0</td>
<td>72.5</td>
</tr>
<tr>
<td>Did not respond</td>
<td>18,309</td>
<td>10.2</td>
<td>27.5</td>
</tr>
<tr>
<td>Identified as nonresidential</td>
<td>95,147</td>
<td>53.1†</td>
<td></td>
</tr>
<tr>
<td>Unknown residential status</td>
<td>17,370</td>
<td>9.7†</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Estimated screener unit response rates¹</th>
<th>Weighted rate (percent)¹</th>
<th>Unweighted rate (percent)¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survival analysis unit response rate</td>
<td>69.2</td>
<td>67.6</td>
</tr>
<tr>
<td>Business office method unit response rate</td>
<td>67.5</td>
<td>65.6</td>
</tr>
<tr>
<td>CASRO unit response rate</td>
<td>67.0</td>
<td>65.5</td>
</tr>
<tr>
<td>Conservative unit response rate</td>
<td>60.5</td>
<td>57.6</td>
</tr>
<tr>
<td>Liberal unit response rate</td>
<td>73.2</td>
<td>72.6</td>
</tr>
</tbody>
</table>

† Not applicable.

¹ All of the unit response rates use the weighted number of responding households (for weighted rates) or the unweighted number of responding households (for unweighted rates) as the numerator. The denominators vary but are all estimated totals. For the survival analysis method unit response rate, the proportion of unknown residential status numbers included in the denominator was estimated using survival analysis methods that incorporate information about the cases (including listed status, interviewers’ coding of answering machine call results, and the number of call attempts the telephone number received). For the estimated unit response rate using the business office method, the proportion of unknown residential status numbers included in the denominator was based upon the proportion identified in checks with telephone business offices. For the CASRO (Council of American Survey Research Organizations) unit response rate, the proportion of unknown residential status numbers included in the denominator was based upon the residency rate for the numbers with known residential status. For the conservative unit response rate, all of the unknown residential status numbers were included. For the liberal unit response rate, none of the unknown residential status numbers was included.

About 37 percent of the telephone numbers were identified as residential through contact with the households. This percentage is lower than that reported for previous NHES studies. Assuming that 27.9 percent of the telephone numbers with unresolved residential status were residential (discussed below), the total estimated percentage of numbers that were residential is 46 percent.

The percentage of telephone numbers with unknown residential status was about 10 percent—higher than the 8 percent found in the NHES:1999, the 6 percent found in the NHES:1995 and the NHES:1996, and the 3 to 5 percent found in previous NHES studies. Virtually all of the unknown residential status numbers were called 14 times or more as in previous NHES studies (see chapter 4 for more details on this issue), with the exception of no answer cases, which were subsampled for refielding. As a result, the percentage in this category is not the result of fewer calls to the numbers than in previous NHES studies. In the NHES:2001, 10,325 of the telephone numbers with unknown residential status were no answer numbers that were not refielded after seven calls, instead a subsample of one-third of the no answer numbers was refielded. Even if all no answer cases had been refielded, the percentage of telephone numbers with unknown residential status would have been about 8 percent. Piekarski, Kaplan, and Prestegaard (1999) describe changes in the telephone system that are related to the increase in the proportion of telephone numbers with unresolved residency status, including factors related to the competition for local exchange service in the market. They note that while the number of telephone households increased only 11 percent from 1988 to 1998, the number of telephone numbers that could be dialed in a telephone survey increased by 80 percent. Even accounting for the increase in the number of households with more than one telephone number and the increased demand for business telephone numbers, many of these newly created numbers are not assigned to any user.

The lower panel of table 5-1 shows five estimated unit response rates for the Screener based upon different assumptions about the telephone numbers with unknown residential status. Each of these rates is described below, along with the rationale for its use. Each of these approaches uses the same numerator, the number of households (weighted or unweighted, for the weighted and unweighted rates, respectively) that completed the Screener. Variability in the estimates arises because it is not possible to identify precisely the residential status for each telephone number. The difference among the rates is in the allocation of the numbers in the unknown residential status category that is used in the calculation of

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28 In the NHES:1999, about 43 percent of all sampled telephone numbers were identified as residential.
29 This estimated residency rate is a weighted estimate.
30 See chapter 4 for further information about the refielding of cases.
31 The number of telephone numbers that could be dialed is the number of prefixes (area code and first three digits of the telephone number) that are assigned for POTS (plain old telephone service) multiplied by 10,000.
the denominator of the unit response rate. The numbers estimated to be residential according to each method are shown in table 5-2.

The survival approach uses information about cases for which no answer was obtained in the estimation of their residency rate. Specifically, the listed status, interviewers’ codings of answering machine call attempts, and the total number of call attempts are used in the estimation of the residency rate based on survival analysis methods. Estimates based on the survival method suggest that 27.9 percent of telephone numbers with unresolved residency status in the NHES:2001 are residential. Therefore, the denominator of the unit response rate based on the survival method is all the telephone numbers that were known to be residences plus 27.9 percent of the numbers with an unresolved residential status. The estimated Screener unit response rate based on the survival method is 69 percent. If the raw count of telephone numbers was not weighted, the Screener unit response rate using the survival method would have been 68 percent. Because the survival method uses more information about the telephone numbers and their call histories, it is a more accurate approach for estimating unit response rates in RDD surveys. See Brick, Montaquila, and Scheuren (2002) for further details about the survival method.

The business office method derives its name from the technique used to estimate the denominator of the rate. A random sample of 350 telephone numbers with unresolved residency status were selected in the NHES:1995 and the numbers were classified by local telephone companies. The telephone companies were asked to first classify the numbers as working or not working. The companies were asked to further identify working numbers as residential or business numbers. As a result of this process, it was estimated that 40.5 percent of the numbers were residential. This percentage is nearly identical to the result from a study conducted at the end of the NHES:1991. Therefore, the denominator of the unit response rate based on the business office method is all the telephone numbers that were known to be residences plus 40.5 percent of the numbers with an unresolved residential status. The estimated Screener unit response rate using the business office method is 68 percent. Some research suggests that the business office approach may be inaccurate due to the reporting practices of the phone companies (Shapiro et al. 1995).

The other three unit response rates shown in table 5-1 were computed by allocating different proportions of the numbers with unknown residency status into the residential category. The CASRO (Council of American Survey Research Organizations) rate is computed by allocating the numbers with unknown residential status in the same proportion observed in the numbers with known residential status, which, in the NHES:2001, was 44.2 percent (table 5-2). Evidence from the business office method described above suggests that the residency rate for numbers with unknown residential status is lower
than implied by the CASRO rate calculation. Therefore, the CASRO rate is not recommended for unit response rate calculations for the NHES. The CASRO rate is 67 percent.

Table 5-2. Number and percentage of telephone numbers with unknown residential status assumed to be residential under each of the methods of estimating unit response rates: NHES:2001

<table>
<thead>
<tr>
<th>Method of estimating unit response rates</th>
<th>Number</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total phone numbers with unknown residential status</td>
<td>17,370</td>
<td>100.0</td>
</tr>
<tr>
<td>Total assumed to be residential using survival method</td>
<td>4,846</td>
<td>27.9</td>
</tr>
<tr>
<td>Total assumed to be residential using business office method</td>
<td>7,035</td>
<td>40.5</td>
</tr>
<tr>
<td>Total assumed to be residential using CASRO method</td>
<td>7,681</td>
<td>44.2</td>
</tr>
<tr>
<td>Total assumed to be residential using conservative method</td>
<td>17,370</td>
<td>100.0</td>
</tr>
<tr>
<td>Total assumed to be residential using liberal method</td>
<td>0</td>
<td>0.0</td>
</tr>
</tbody>
</table>


The conservative and liberal unit response rates define the lower and upper bounds of the unit response rate. The conservative unit response rate is computed assuming that all of the numbers with unknown residential status are actually residential numbers. The conservative unit response rate is 61 percent. The liberal rate is computed assuming that all of the numbers with unknown residential status are actually nonresidential. The liberal unit response rate is 73 percent. As noted above, the variability in the estimates arises because it is not possible to identify precisely the residential status for each telephone number. For the remainder of the report, a Screener unit response rate of 69 percent, based on the survival method, will be cited.

The overall NHES:2001 Screener unit response rate of 69 percent is lower than the 74 percent Screener unit response rate attained in the NHES:1999 and nearly the same as the 70 percent attained in the NHES:1996. In the NHES:1999, adults were enumerated during the screening interview only in a subsample of the households. This approach was similar to that used in the NHES:1991 and in the NHES:1995. By comparison, full household enumeration was used in the NHES:1996. A methodological study involving a screener experiment (Brick, Collins, and Chandler 1997) demonstrated that the “screen-out” approach is expected to result in significantly higher unit response rates compared with enumerating adults in all households. Although subsampling for adult enumeration was used in the NHES:2001, the proportion of households not designated for adult enumeration was much lower than in the NHES:1999, so the benefits of the screen-out approach that were observed in the previous methodological study were not obtained in the NHES:2001 because few households were screened out.
Table 5-3 provides a further breakdown of the responding and nonresponding residential telephone numbers. The responding numbers are classified by whether or not any other interviews were scheduled for the household, and the nonresponding numbers are classified by the reason for nonresponse. About 74 percent of all the nonresponse in the Screener was due to an adult household member refusing to answer the screening items. The next largest category is the 18 percent classified as maximum calls, which includes those households that never completed the Screener after numerous calls. (These cases could have received up to 29 calls; 84 percent received between 14 and 29 calls.) While these households did not explicitly refuse to participate, potential respondents were not available to complete the screening items despite many attempts to reach them. Language problems accounted for 6 percent of nonresponse. The language problem cases are discussed in more detail below.

Table 5-3. Number and percentage of known residential telephone numbers, by Screener unit response status: NHES:2001

<table>
<thead>
<tr>
<th>Screener response category</th>
<th>Number</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Responding residential phone numbers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Households with no extended interviews scheduled</td>
<td>48,385</td>
<td>100.0</td>
</tr>
<tr>
<td>Households with at least one extended interview scheduled</td>
<td>22,903</td>
<td>47.3</td>
</tr>
<tr>
<td>Households with at least one extended interview scheduled</td>
<td>25,482</td>
<td>52.7</td>
</tr>
<tr>
<td><strong>Not responding residential phone numbers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Refusals</td>
<td>18,309</td>
<td>100.0</td>
</tr>
<tr>
<td>Maximum calls</td>
<td>13,526</td>
<td>73.9</td>
</tr>
<tr>
<td>Language problems</td>
<td>3,298</td>
<td>18.0</td>
</tr>
<tr>
<td>Other problems</td>
<td>1,141</td>
<td>6.2</td>
</tr>
<tr>
<td>Other problems</td>
<td>344</td>
<td>1.9</td>
</tr>
</tbody>
</table>

NOTE: “Other problems” include household members being unavailable in field period and household members being too sick to respond.

Spanish Language Cases

As discussed in chapter 4, language problem cases were divided into Spanish language cases, other non-English language cases, and other language problems (e.g., hearing and/or speech disabilities). The NHES:2001 interviews were conducted in Spanish by bilingual interviewers and the unit response rate for households identified as Spanish language is similar to that for the survey as a whole.

Records for all completed interviews contain a variable indicating whether the interview was conducted in English or Spanish; a total of 1,861 completed extended interviews were conducted in Spanish. In the NHES:2001, 3,089 Screener cases were designated as Spanish language cases by
interviewers and, among these, 2,103 were completed (see table 4-5). The unweighted unit response rate for these cases was 68 percent, approximately the same as the unit response rate for the study overall. Most of these Screeners (93 percent) were completed in Spanish.

**Distribution of Household Members Sampled for Extended Interviews**

Table 5-4 shows the number of screened households in which household members were sampled for extended interviews. In the NHES:2001 sample, 7 percent of households had only an ECPP interview scheduled; 13 percent had only an ASPA interview scheduled; 22 percent had only an AELL interview scheduled; 4 percent had both ECPP and ASPA interviews scheduled; 4 percent had both ECPP and AELL interviews scheduled; 3 percent had both ASPA and AELL interviews scheduled; less than 1 percent had ECPP, ASPA, and AELL interviews scheduled; and 47 percent had no extended interview scheduled.

**Table 5-4. Number and percentage of households responding to the Screener, by type of extended interviews scheduled: NHES:2001**

<table>
<thead>
<tr>
<th>Type of interview scheduled</th>
<th>Number of households</th>
<th>Percent of households</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total.................................................................</td>
<td>48,385</td>
<td>100.0</td>
</tr>
<tr>
<td>ECPP interview only................................................</td>
<td>3,475</td>
<td>7.2</td>
</tr>
<tr>
<td>ASPA interview only..............................................</td>
<td>6,045</td>
<td>12.5</td>
</tr>
<tr>
<td>AELL interview only.............................................</td>
<td>10,740</td>
<td>22.2</td>
</tr>
<tr>
<td>ECPP and ASPA interviews...............................</td>
<td>1,894</td>
<td>3.9</td>
</tr>
<tr>
<td>ECPP and AELL interviews.................................</td>
<td>1,729</td>
<td>3.6</td>
</tr>
<tr>
<td>ASPA and AELL interviews.................................</td>
<td>1,373</td>
<td>2.8</td>
</tr>
<tr>
<td>ECPP, ASPA, and AELL interviews......................</td>
<td>226</td>
<td>0.5</td>
</tr>
<tr>
<td>No extended interview.........................................</td>
<td>22,903</td>
<td>47.3</td>
</tr>
</tbody>
</table>


**Profile of Screener Unit Response Rates**

In most RDD surveys, it is difficult to obtain and examine the characteristics of households that do not respond to the screening interview. Consequently, the ability to examine nonresponse bias at this stage of the survey is limited. In this section unit response rates are given by characteristics of the
telephone number, by characteristics of the geographic area of the households (the ZIP code that has the most households associated with telephone numbers in the exchange) based on the 1990 Census, and by whether an answering machine message was left during the study.

Table 5-5 gives the distribution of the telephone numbers and the estimated unit response rate by the characteristics of the areas. For example, unit response rates were lowest in the Northeast and highest in the Midwest. Households that had a phone number listed as residential had a higher unit response rate than those that were not listed, and households with mailable addresses that were sent an advance mailing responded more often than those that were not sent an advance mailing (either because no mailing address was available for the telephone number or because they were in a sample release wave that was not sent advance mailings, as discussed in chapter 4).

This univariate profile of Screener unit response rates by the characteristics of the areas is difficult to interpret because there are so many characteristics to consider. In addition, some of the characteristics are correlated, and the univariate profile does not explore these relationships. Consequently, a multivariate analysis was performed to examine the interrelationship of the characteristics and the unit response rates.

The goal of the multivariate analysis was to determine if groups of households had extremely different unit response rates. Nonresponse bias in the estimates may appear when the characteristics of the respondents and nonrespondents are different. By identifying groups with different unit response rates, the characteristics of the respondents and nonrespondents can be used as an indicator of the potential for nonresponse bias and thus using these characteristics to form cells for nonresponse adjustment may reduce nonresponse bias (Little 1986). The characteristics of the telephone numbers and of the geographic areas corresponding to the telephone numbers sampled were used to identify groups with different unit response rates. The variables included in the analysis were characteristics of the telephone numbers and their geographic areas that were available and thought to be correlated with the unit response rate.

The analysis was done using a categorical search algorithm called Chi-Square Automatic Interaction Detection (CHAID). This algorithm is very similar to the continuous search algorithms LISREL and AID (Automatic Interaction Detector), which have been used for a number of years, but it is designed especially to handle categorical data like those available for the NHES:2001. CHAID first identifies the characteristic of the data that is the best predictor of response. Then, within the levels of
Table 5-5. Number of telephone numbers dialed in the Screener, by response status, weighted unit response rate, and characteristic of the geographic area based on the telephone exchange: NHES:2001

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Total</th>
<th>Residential, responded</th>
<th>Residential, did not respond</th>
<th>Non-residential</th>
<th>Unknown residential status</th>
<th>Estimated unit response rate (percent)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>179,211</td>
<td>48,385</td>
<td>18,309</td>
<td>95,147</td>
<td>17,370</td>
<td>69.2</td>
</tr>
<tr>
<td><strong>Census region</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Northeast</td>
<td>31,846</td>
<td>8,815</td>
<td>4,019</td>
<td>15,265</td>
<td>3,747</td>
<td>65.2</td>
</tr>
<tr>
<td>South</td>
<td>68,256</td>
<td>18,515</td>
<td>6,861</td>
<td>36,591</td>
<td>6,289</td>
<td>69.4</td>
</tr>
<tr>
<td>Midwest</td>
<td>37,554</td>
<td>9,905</td>
<td>3,127</td>
<td>21,392</td>
<td>3,130</td>
<td>73.1</td>
</tr>
<tr>
<td>West</td>
<td>41,555</td>
<td>11,150</td>
<td>4,302</td>
<td>21,899</td>
<td>4,204</td>
<td>68.4</td>
</tr>
<tr>
<td><strong>Listed status</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not listed</td>
<td>119,858</td>
<td>21,133</td>
<td>9,260</td>
<td>75,204</td>
<td>14,261</td>
<td>61.9</td>
</tr>
<tr>
<td>Listed residential</td>
<td>50,952</td>
<td>27,252</td>
<td>9,049</td>
<td>11,542</td>
<td>3,109</td>
<td>73.9</td>
</tr>
<tr>
<td>Listed business</td>
<td>8,401</td>
<td>0</td>
<td>0</td>
<td>8,401</td>
<td>0</td>
<td>†</td>
</tr>
<tr>
<td><strong>Mailable status</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mailable address, mailed to</td>
<td>41,848</td>
<td>23,609</td>
<td>7,594</td>
<td>7,494</td>
<td>3,151</td>
<td>74.7</td>
</tr>
<tr>
<td>Mailable address, not mailed to</td>
<td>31,575</td>
<td>16,083</td>
<td>6,270</td>
<td>6,497</td>
<td>2,725</td>
<td>70.4</td>
</tr>
<tr>
<td>No mailable address</td>
<td>105,788</td>
<td>8,693</td>
<td>4,445</td>
<td>81,156</td>
<td>11,494</td>
<td>54.6</td>
</tr>
<tr>
<td><strong>Answering machine message indicator</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Message left</td>
<td>42,122</td>
<td>22,271</td>
<td>10,985</td>
<td>6,360</td>
<td>2,506</td>
<td>66.6</td>
</tr>
<tr>
<td>No message left</td>
<td>137,089</td>
<td>26,114</td>
<td>7,324</td>
<td>88,787</td>
<td>14,864</td>
<td>71.5</td>
</tr>
<tr>
<td><strong>Percent White</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 20 percent</td>
<td>10,553</td>
<td>2,641</td>
<td>1,366</td>
<td>5,621</td>
<td>925</td>
<td>62.3</td>
</tr>
<tr>
<td>20 to 49 percent</td>
<td>28,067</td>
<td>6,794</td>
<td>3,165</td>
<td>15,171</td>
<td>2,937</td>
<td>63.4</td>
</tr>
<tr>
<td>50 to 79 percent</td>
<td>60,603</td>
<td>15,993</td>
<td>6,266</td>
<td>32,192</td>
<td>6,152</td>
<td>67.4</td>
</tr>
<tr>
<td>80 to 89 percent</td>
<td>23,100</td>
<td>6,458</td>
<td>2,308</td>
<td>11,944</td>
<td>2,390</td>
<td>68.9</td>
</tr>
<tr>
<td>90 percent or more</td>
<td>56,888</td>
<td>16,499</td>
<td>5,204</td>
<td>30,219</td>
<td>4,966</td>
<td>72.3</td>
</tr>
<tr>
<td><strong>Median home value</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1st decile</td>
<td>18,003</td>
<td>4,321</td>
<td>1,291</td>
<td>11,261</td>
<td>1,130</td>
<td>74.8</td>
</tr>
<tr>
<td>2nd decile</td>
<td>17,890</td>
<td>4,951</td>
<td>1,506</td>
<td>10,192</td>
<td>1,241</td>
<td>74.2</td>
</tr>
<tr>
<td>3rd decile</td>
<td>17,761</td>
<td>5,112</td>
<td>1,633</td>
<td>9,548</td>
<td>1,468</td>
<td>73.0</td>
</tr>
<tr>
<td>4th decile</td>
<td>17,760</td>
<td>5,096</td>
<td>1,764</td>
<td>9,426</td>
<td>1,474</td>
<td>71.9</td>
</tr>
<tr>
<td>5th decile</td>
<td>17,741</td>
<td>5,201</td>
<td>1,806</td>
<td>9,124</td>
<td>1,610</td>
<td>71.2</td>
</tr>
<tr>
<td>6th decile</td>
<td>17,807</td>
<td>5,189</td>
<td>1,844</td>
<td>8,953</td>
<td>1,821</td>
<td>70.1</td>
</tr>
<tr>
<td>7th decile</td>
<td>17,915</td>
<td>4,937</td>
<td>1,913</td>
<td>9,141</td>
<td>1,924</td>
<td>68.5</td>
</tr>
<tr>
<td>8th decile</td>
<td>18,009</td>
<td>4,831</td>
<td>2,144</td>
<td>9,032</td>
<td>2,002</td>
<td>65.4</td>
</tr>
<tr>
<td>9th decile</td>
<td>18,103</td>
<td>4,723</td>
<td>2,356</td>
<td>8,855</td>
<td>2,169</td>
<td>62.7</td>
</tr>
<tr>
<td>10th decile</td>
<td>18,222</td>
<td>4,024</td>
<td>2,052</td>
<td>9,615</td>
<td>2,531</td>
<td>60.4</td>
</tr>
<tr>
<td><strong>Percent renters</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 50 percent</td>
<td>128,965</td>
<td>37,208</td>
<td>13,086</td>
<td>66,927</td>
<td>11,744</td>
<td>70.7</td>
</tr>
<tr>
<td>50 to 59 percent</td>
<td>21,641</td>
<td>5,308</td>
<td>2,208</td>
<td>11,873</td>
<td>2,252</td>
<td>66.2</td>
</tr>
<tr>
<td>60 to 69 percent</td>
<td>11,523</td>
<td>2,491</td>
<td>1,135</td>
<td>6,705</td>
<td>1,192</td>
<td>63.8</td>
</tr>
<tr>
<td>70 to 89 percent</td>
<td>14,602</td>
<td>2,926</td>
<td>1,611</td>
<td>8,267</td>
<td>1,798</td>
<td>58.0</td>
</tr>
<tr>
<td>90 percent or more</td>
<td>2,480</td>
<td>452</td>
<td>269</td>
<td>1,375</td>
<td>384</td>
<td>54.7</td>
</tr>
<tr>
<td><strong>Percent owners</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 50 percent</td>
<td>28,452</td>
<td>5,832</td>
<td>2,998</td>
<td>16,265</td>
<td>3,357</td>
<td>60.1</td>
</tr>
<tr>
<td>50 to 69 percent</td>
<td>60,145</td>
<td>16,221</td>
<td>6,322</td>
<td>31,606</td>
<td>5,996</td>
<td>68.0</td>
</tr>
<tr>
<td>70 to 79 percent</td>
<td>49,131</td>
<td>14,414</td>
<td>5,015</td>
<td>25,198</td>
<td>4,504</td>
<td>71.1</td>
</tr>
<tr>
<td>80 percent or more</td>
<td>41,483</td>
<td>11,918</td>
<td>3,974</td>
<td>22,078</td>
<td>3,513</td>
<td>71.5</td>
</tr>
<tr>
<td><strong>Percent age 65 and older</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less than 20 percent</td>
<td>123,720</td>
<td>33,841</td>
<td>12,789</td>
<td>65,105</td>
<td>11,985</td>
<td>69.3</td>
</tr>
<tr>
<td>20 percent or more</td>
<td>55,491</td>
<td>14,544</td>
<td>5,520</td>
<td>30,042</td>
<td>5,385</td>
<td>68.8</td>
</tr>
</tbody>
</table>

† Not applicable.

1 The estimated unit response rate is the survival method unit response rate, i.e., the number of completed interviews divided by the sum of the number of completed interviews, nonresponses, and 27.9 percent of the unresolved telephone numbers, weighted by the probability of selection.

that characteristic, CHAID identifies the next most likely response predictor(s), etc., until a tree is formed with all potential response predictors. The final result is a division of the entire data set into cells by attempting to determine sequentially the cells that have the greatest discrimination with respect to the unit response rates. In other words, it attempts to divide the data set into groups so that the unit response rate within cells is as constant as possible, and the unit response rate between cells is as different as possible. This automatic procedure was done by specifying that the minimum number of households in any group had to be greater than or equal to 100 and the split of the variables into subgroups had to be statistically significant using a chi-square test at the 95 percent significance level.

Since many of the variables in the CHAID model, such as median home value, have multiple response categories, the program must take this into account. The CHAID software does this in two ways. First, it allows the data set to be split into more than one subgroup at a time. For example, Census region categories are split differently within different median home value categories. Second, the procedure follows a relatively complex procedure to check all binary splits of the data and equalize the chance of selecting variables irrespective of the number of response categories that variable may have.

An example may help to explain the methods used in CHAID. All of the characteristics in the model are tested, and the one with the response categories having the largest discrimination with respect to the unit response rates is identified.\textsuperscript{32} Table 7-2 (in chapter 7) contains the summary of this analysis as it relates directly to weighting the data. In this example, the mailable status of the telephone number was the variable chosen as most associated with response propensity and four response categories for this variable were retained. Note, for example, that within mailable status categories the data were tested again; among cases for which a mailable address was obtained (whether or not the mailing was returned), the indicator of whether an answering machine message was left was then used to split the data. Among cases for which a mailable address was not obtained, median home value was then used to split the data. The process continued until the final 31 cells shown in the table were formed. Although the variables median income, minority status, metropolitan status, percent age 65 and older, percent with income of $75,000 or more, percent Black, percent Hispanic, and percent college graduates were considered in the CHAID analysis, they were not selected as discriminators of response propensity in this multivariate analysis, given the other characteristics.

\textsuperscript{32}Variables identified in previous analyses as being associated with response propensity were selected from among the variables available for both responding and nonresponding units. In an RDD survey, little information is available for nonresponding units, limiting the selection of characteristics for the CHAID analysis. Information associated with key characteristics of interest, such as participation in early childhood programs, activities, or adult education, and correlates of these such as maternal employment or educational attainment, are not available for nonrespondents and therefore cannot be used for nonresponse adjustment purposes.
In a study conducted using data from the 1997 National Survey of America’s Families, Groves and Wissoker (1999) found that there is a slight tendency for households with higher socioeconomic status to require more effort to complete an interview. As described above and depicted in chapter 7, some characteristics of the geographic area associated with socioeconomic status, including median home value and percent homeowners, were used in forming cells for Screener nonresponse adjustment.

The range of unit response rates among the 31 cells suggested that the key characteristics identified by CHAID should be used in creating weighting adjustments. The results indicated that the nonresponse bias may be reduced by using these categories for weighting adjustments. As a result, these 31 cells were used in the adjustment for Screener nonresponse, as discussed in chapter 7. Clearly, some nonresponse bias exists, but these results suggest that the weighting adjusts for some of the important characteristics associated with the nonresponse bias.

Extended Interview Unit Response Rates

During the screening interview, all children were enumerated in households with eligible children; adults were enumerated in only a subsample of households. After the enumeration, children or adults within the household were selected for the ECPP-NHES:2001, ASPA-NHES:2001, and/or AELL-NHES:2001 surveys. The person who was identified as the most knowledgeable about the sampled child’s care and education (nearly always a parent and most often the child’s mother) became the respondent for the ECPP or ASPA interview. The AELL interview was conducted with the sampled adult.

The numbers of children enumerated and sampled, and those with completed interviews for each survey in the NHES:2001, are given in table 5-6. Of the enumerated 27,661 children eligible for sampling for ECPP or ASPA interviews, a sample of 7,973 children was selected for the ECPP interview, and a sample of 11,135 children was selected for the ASPA interview. About 0.8 percent of the sampled children were either enumerated in error or not actually in the age and grade range for the survey as reported by the ECPP or ASPA interview respondent. These children were classified as ineligible. For the ECPP survey, complete interviews were obtained for 6,749 of the sampled children for an estimated 87 percent unit response rate and an estimated overall unit response rate of 60 percent. The primary source of unit nonresponse for the ECPP interview was the inability to make contact with the parent/guardian respondent (49.2 percent of nonresponse). Other reasons for ECPP interview nonresponse were refusal of the parent/guardian to respond (43.8 percent of nonresponse), language
problems (1.9 percent of nonresponse), and other miscellaneous reasons such as the parent/guardian being unavailable for an interview during the field period (5.1 percent of nonresponse).

For the ASPA survey, complete interviews were obtained for 9,583 of the sampled children for an estimated 86 percent unit response rate and an estimated overall unit response rate of 60 percent. The primary source of unit nonresponse for the ASPA interview was the inability to make contact with the parent/guardian (48.1 percent of nonresponse). Other reasons for ASPA interview nonresponse were refusal of the parent/guardian to respond (45.2 percent of nonresponse), language problems (2.1 percent of nonresponse), and other miscellaneous reasons such as the parent/guardian being unavailable for an interview during the field period (4.5 percent of nonresponse).

Table 5-6 also gives the numbers of adults enumerated and sampled and the final status of the AELL interview. Adults were enumerated in only a subsample of households. Of the 59,393 enumerated adults, 13,858 were sampled for AELL interviews. Almost all of those sampled were eligible for the interview; those classified as ineligible were either in the military or currently enrolled in high school. A total of 10,873 adults completed the AELL interview, for an estimated unit response rate of 77 percent and an estimated overall unit response rate of 53 percent. For the AELL interview, the bulk of the nonresponse was due to refusal of the sampled adult to respond (50.4 percent of nonresponse). Other reasons for AELL interview nonresponse were inability to make contact with the sampled adult (36.1 percent of nonresponse), language problems with the sampled adult (3.8 percent of nonresponse), and other miscellaneous reasons such as the sampled adult being unable to respond due to illness (9.6 percent of nonresponse).

The unit response rates for the NHES:2001 surveys are lower than those attained in earlier NHES surveys. In past surveys, unit response rates for surveys of parents of sampled children have generally been 89 to 90 percent (although the ECE-NHES:1991 achieved an unusually high rate of 95 percent). Among adults sampled for AE surveys, unit response rates have generally been 80 to 85 percent. The lower rates observed in the NHES:2001 are a reflection of the increasing difficulty in obtaining cooperation in RDD surveys, which is believed to be due in part to the prevalence of call screening devices (Brock Roth, Montaquila, and Brick 2001).

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33 Inability to make contact with the parent or guardian means that, despite repeated attempts, it was not possible to reach the parent/guardian respondent. The parent/guardian being unavailable during the field period means that either the parent/guardian himself/herself or another member of the household stated that the person identified as the respondent would not be available for an interview prior to the end of the data collection period.
Table 5-6. Number of enumerated children and adults, completed interviews, and weighted unit response and overall unit response rates, by type of extended interview: NHES:2001

<table>
<thead>
<tr>
<th>Type of interview</th>
<th>Number</th>
<th>Estimated unit response rate (percent)</th>
<th>Estimated overall unit response rate (percent)¹</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ECPP interview</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enumerated</td>
<td>9,184</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled for ECPP</td>
<td>7,973</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled for ECPP and eligible for ECPP</td>
<td>7,828</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Did not respond</td>
<td>1,098</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ECPP, completed as ECPP</td>
<td>6,730</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ASPA, completed as ECPP</td>
<td>19</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ECPP, completed as ASPA</td>
<td>25</td>
<td>86.6</td>
<td>59.9</td>
</tr>
<tr>
<td><strong>ASPA interview</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enumerated</td>
<td>18,477</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled for ASPA</td>
<td>11,135</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled for ASPA and eligible for ASPA</td>
<td>11,075</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Did not respond</td>
<td>1,517</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ASPA, completed as ASPA</td>
<td>9,558</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ECPP, completed as ASPA</td>
<td>25</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled as ASPA, completed as ECPP</td>
<td>19</td>
<td>86.4</td>
<td>59.7</td>
</tr>
<tr>
<td><strong>AELL interview</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enumerated</td>
<td>59,393</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Sampled</td>
<td>13,858</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Eligible</td>
<td>13,833</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Did not respond</td>
<td>2,960</td>
<td>†</td>
<td>†</td>
</tr>
<tr>
<td>Completed</td>
<td>10,873</td>
<td>77.2</td>
<td>53.4</td>
</tr>
</tbody>
</table>

† Not applicable.

¹ The estimated overall unit response rate is computed by multiplying the Screener unit response rate of 69.2 percent by the appropriate extended interview unit response rate. Due to rounding, the product of the reported Screener unit response rate and the reported extended interview unit response rate may not match the estimated overall unit response rate given.

Profile of Extended Interview Unit Response Rates

The unit response rates for the extended interviews can be examined by variables available for both respondents and nonrespondents. The variables examined here were considered because they have been associated with extended interview unit response rates in previous NHES surveys. The variables shown for the ECPP interview are Census region (based on the telephone number) and enrollment status of the sampled child, which was collected during the Screener. Table 5-7 shows the number of sampled children by response status and unit response rate for each of these variables. The unit response rates are quite consistent across all enrollment status categories and across Census regions, with the exception of a higher unit response rate in the Midwest region.\(^{34}\)

### Table 5-7. Number of sampled ECPP interviews, by response status and weighted unit response rates: NHES:2001

<table>
<thead>
<tr>
<th>ECPP interviews</th>
<th>Total</th>
<th>Responded</th>
<th>Did not respond</th>
<th>Ineligible</th>
<th>Estimated unit response rate (percent)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>7,973</td>
<td>6,755</td>
<td>1,098</td>
<td>120</td>
<td>86.6</td>
</tr>
<tr>
<td>Census region</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Northeast</td>
<td>1,391</td>
<td>1,155</td>
<td>216</td>
<td>20</td>
<td>84.9</td>
</tr>
<tr>
<td>South</td>
<td>2,929</td>
<td>2,487</td>
<td>399</td>
<td>43</td>
<td>86.1</td>
</tr>
<tr>
<td>Midwest</td>
<td>1,636</td>
<td>1,430</td>
<td>183</td>
<td>23</td>
<td>89.1</td>
</tr>
<tr>
<td>West</td>
<td>2,017</td>
<td>1,683</td>
<td>300</td>
<td>34</td>
<td>86.0</td>
</tr>
<tr>
<td>Enrollment status of child (Screener)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not enrolled</td>
<td>5,750</td>
<td>4,845</td>
<td>787</td>
<td>118</td>
<td>86.6</td>
</tr>
<tr>
<td>Nursery/Preschool</td>
<td>2,220</td>
<td>1,910</td>
<td>310</td>
<td>0</td>
<td>86.6</td>
</tr>
<tr>
<td>Unknown</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>


For the ASPA interview, three variables about each sampled child were used for examining the response profile: Census region, grade of the child, and type of school (i.e., regular school vs. homeschool). Census region was obtained based on the telephone number, and grade and type of school were obtained in the Screener. The distribution of cases for these variables and the estimated unit response rate are shown in table 5-8. There is little variation in the unit response rates for region or for

\(^{34}\)As noted in the discussion of Screener-level nonresponse adjustment, little information is available on nonresponding households in an RDD survey. For the extended-level nonresponse adjustment, some information about sampled household members (for example, enrollment status) was available from the completed Screener and was included in the nonresponse adjustments.
students whose grade is known. The conditional unit response rates by type of school are more variable, with a higher rate for homeschoolers.

Table 5-8. Number of sampled ASPA interviews, by response status and weighted unit response rates: NHES:2001

<table>
<thead>
<tr>
<th>ASPA interviews</th>
<th>Total</th>
<th>Responded</th>
<th>Did not respond</th>
<th>Ineligible</th>
<th>Estimated unit response rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total ..........................................................</td>
<td>11,135</td>
<td>9,577</td>
<td>1,517</td>
<td>41</td>
<td>86.4</td>
</tr>
<tr>
<td>Census region</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Northeast</td>
<td>2,062</td>
<td>1,764</td>
<td>293</td>
<td>5</td>
<td>86.2</td>
</tr>
<tr>
<td>South</td>
<td>4,186</td>
<td>3,578</td>
<td>593</td>
<td>15</td>
<td>85.7</td>
</tr>
<tr>
<td>Midwest</td>
<td>2,212</td>
<td>1,971</td>
<td>235</td>
<td>6</td>
<td>89.4</td>
</tr>
<tr>
<td>West</td>
<td>2,675</td>
<td>2,264</td>
<td>396</td>
<td>15</td>
<td>84.3</td>
</tr>
<tr>
<td>Grade of child (Screener)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kindergarten</td>
<td>894</td>
<td>762</td>
<td>131</td>
<td>1</td>
<td>84.9</td>
</tr>
<tr>
<td>1st grade</td>
<td>936</td>
<td>810</td>
<td>126</td>
<td>0</td>
<td>86.9</td>
</tr>
<tr>
<td>2nd grade</td>
<td>872</td>
<td>768</td>
<td>102</td>
<td>2</td>
<td>88.2</td>
</tr>
<tr>
<td>3rd grade</td>
<td>918</td>
<td>771</td>
<td>144</td>
<td>3</td>
<td>85.7</td>
</tr>
<tr>
<td>4th grade</td>
<td>1,008</td>
<td>878</td>
<td>125</td>
<td>5</td>
<td>85.9</td>
</tr>
<tr>
<td>5th grade</td>
<td>1,041</td>
<td>898</td>
<td>141</td>
<td>2</td>
<td>87.2</td>
</tr>
<tr>
<td>6th grade</td>
<td>1,827</td>
<td>1,558</td>
<td>267</td>
<td>2</td>
<td>85.5</td>
</tr>
<tr>
<td>7th grade</td>
<td>1,846</td>
<td>1,614</td>
<td>228</td>
<td>4</td>
<td>88.3</td>
</tr>
<tr>
<td>8th grade</td>
<td>1,750</td>
<td>1,493</td>
<td>242</td>
<td>15</td>
<td>85.2</td>
</tr>
<tr>
<td>Other1</td>
<td>5</td>
<td>4</td>
<td>1</td>
<td>0</td>
<td>75.9</td>
</tr>
<tr>
<td>Unknown</td>
<td>38</td>
<td>21</td>
<td>10</td>
<td>7</td>
<td>67.3</td>
</tr>
</tbody>
</table>

School (Screener)

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Responded</th>
<th>Did not respond</th>
<th>Ineligible</th>
<th>Estimated unit response rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular school</td>
<td>10,866</td>
<td>9,348</td>
<td>1,480</td>
<td>38</td>
<td>86.3</td>
</tr>
<tr>
<td>Homeschool</td>
<td>221</td>
<td>197</td>
<td>23</td>
<td>1</td>
<td>91.2</td>
</tr>
<tr>
<td>Unknown</td>
<td>48</td>
<td>32</td>
<td>14</td>
<td>2</td>
<td>67.3</td>
</tr>
</tbody>
</table>

1 “Other” included ungraded and special education.


For the AELL interview, four variables were considered in examining the response profile: Census region (based on the telephone number), sex (from the Screener), adult education participation status as reported by the Screener respondent (who may or may not have been the sampled adult), and an indicator of whether the sampled adult was the Screener respondent. The results are given in table 5-9. There was some variation in unit response rates across regions; specifically, the unit response rate in the Midwest was higher than in the other regions. The unit response rate for females was higher than that for
males, and the unit response rate for adults reported by the Screener respondent to be adult education participants was higher than the unit response rate for those reported to be nonparticipants. Sampled adults who were the Screener respondents completed the AELL interview at higher rates than those who were not the Screener respondents.

Table 5-9. Number of sampled AELL interviews, by response status and weighted unit response rates: AELL-NHES:2001

<table>
<thead>
<tr>
<th>AELL interviews</th>
<th>Total</th>
<th>Responded</th>
<th>Did not respond</th>
<th>Ineligible</th>
<th>Estimated unit response rate (percent)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total.............</td>
<td>13,858</td>
<td>10,873</td>
<td>2,960</td>
<td>25</td>
<td>77.2</td>
</tr>
<tr>
<td>Census region</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Northeast........</td>
<td>2,476</td>
<td>1,900</td>
<td>570</td>
<td>6</td>
<td>74.5</td>
</tr>
<tr>
<td>South.............</td>
<td>5,210</td>
<td>4,064</td>
<td>1,137</td>
<td>9</td>
<td>76.1</td>
</tr>
<tr>
<td>Midwest...........</td>
<td>2,892</td>
<td>2,356</td>
<td>534</td>
<td>2</td>
<td>81.0</td>
</tr>
<tr>
<td>West..............</td>
<td>3,280</td>
<td>2,553</td>
<td>719</td>
<td>8</td>
<td>77.2</td>
</tr>
<tr>
<td>Sex (Screener)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Female............</td>
<td>7,690</td>
<td>6,224</td>
<td>1,458</td>
<td>8</td>
<td>80.1</td>
</tr>
<tr>
<td>Male..............</td>
<td>6,168</td>
<td>4,649</td>
<td>1,502</td>
<td>17</td>
<td>73.9</td>
</tr>
<tr>
<td>Adult education participation status (Screener)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Participant.......</td>
<td>6,615</td>
<td>5,348</td>
<td>1,251</td>
<td>16</td>
<td>79.6</td>
</tr>
<tr>
<td>Nonparticipant...</td>
<td>7,243</td>
<td>5,525</td>
<td>1,709</td>
<td>9</td>
<td>75.7</td>
</tr>
<tr>
<td>Screener respondent</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sampled adult.....</td>
<td>8,525</td>
<td>7,369</td>
<td>1,151</td>
<td>5</td>
<td>87.2</td>
</tr>
<tr>
<td>Person other than sampled adult</td>
<td>5,333</td>
<td>3,504</td>
<td>1,809</td>
<td>20</td>
<td>66.0</td>
</tr>
</tbody>
</table>


Nonresponse Bias

The estimates from the NHES:2001 are subject to potential bias because of nonresponse to the Screener and the extended interview components. Generally speaking, the best approach to minimizing nonresponse bias is to plan and implement data collection procedures aimed at achieving high unit response rates. For the NHES:2001, such procedures included extensive training of the interviewers, advance mailings to the respondents, effective call scheduling strategies, and, where necessary, refusal conversion methods that included recontacting households by both telephone and mail if mailable.
addresses could be obtained (see chapter 4). However, because some nonresponse occurs even with the best strategies, weighting adjustments are necessary to minimize potential nonresponse bias.

The term bias has a specific technical definition in this context. Bias is the expected difference between the estimate from the survey and the actual population value. For example, if all households were included in the survey (i.e., if a census was conducted rather than a sample survey), the difference between the estimate from the survey and the actual population value (which includes the responses of persons who did not respond to the survey) is the bias due to nonresponse. Since the NHES is based on a sample, the bias is defined as the expected or average value of this difference over all possible samples.

Nonresponse bias, the bias due to the failure of some persons or households in the sample to respond to the survey, can be substantial when two conditions hold. First, the differences between the characteristics of respondents and nonrespondents must be relatively large. For example, consider estimating the percentage of adults who participated in an adult education activity in the past year. If the participation rate is nearly identical for both respondents and nonrespondents, then the nonresponse bias of the estimate will be negligible.

Second, the nonresponse rate must be relatively high. If the nonresponse rate is very low relative to the magnitude of the estimates, then the nonresponse bias in the estimates will be small, even if the differences in the participation rates or other characteristics between respondents and nonrespondents are relatively large. For example, if the nonresponse rate is only 2 percent, then estimates of totals that compose 20 or 30 percent of the population will not be greatly affected by nonresponse, even if the differences in these characteristics between respondents and nonrespondents are relatively large. It is important to realize that this condition requires the nonresponse rate to be large relative to the size of the estimates. If the estimate is for a small domain or subgroup, then even a relatively low rate of nonresponse can result in important biases if the differences between respondents and nonrespondents are large.

The bias of an estimate can be expressed mathematically to show the relationships between the bias and the two factors discussed above. The bias is given by

\[ \text{Bias}(\hat{y}_r) = p_n \{ E(\hat{y}_r - \hat{y}_n) \}, \]
where $\hat{y}_r$ is the estimated characteristic based on the respondents only, $p_n$ is the nonresponse rate, $\hat{y}_n$ is the estimated characteristic based on the nonrespondents only, and $E$ is the expectation operator for averaging over all possible samples (Cochran 1977).

A nonresponse bias analysis was undertaken to examine nonresponse and the potential bias associated with nonresponse in the NHES:1999 (Nolin et al. 2000). This study involved an examination of unit response rates as a whole and for various subgroups, an analysis to determine characteristics that are associated with Screener nonresponse, an examination of the potential usefulness of household-level data from an external source in reducing nonresponse bias, and a comparison of estimates based on adjusted and unadjusted weights. A nonresponse bias analysis was not done for NHES:2001, but such an analysis would likely result in the same conclusion of no bias as in NHES:1999 because the differences in unit response rates by interviewee characteristics are similar and because the NHES:2001 and NHES:1999 survey administrations are very similar in terms of their target populations, contact procedures, and salience. Thus, the results of the NHES:1999 nonresponse bias study can be used to assess the potential for nonresponse bias in the NHES:2001.

The analysis of nonresponse bias showed no evidence of bias in estimates from the NHES:1999 Parent, Youth, and Adult Education surveys. The statistical adjustments used in weighting may have corrected at least partially for biases that might have existed due to differential nonresponse. Of course, nonresponse bias may still be present in other variables that were not studied. In the NHES:2001, the largest component of nonresponse was nonresponse to the Screener. With the use of a CHAID analysis to create the nonresponse adjustment cells that were used to adjust for Screener nonresponse, there is evidence from the NHES:1999 nonresponse bias analysis study to suggest that there is little nonresponse bias attributable to Screener nonresponse.
6. ITEM RESPONSE AND IMPUTATION

Introduction

In the NHES:2001, as in most surveys, the responses to some data items are not obtained for all interviews. There are numerous reasons for item nonresponse. Some respondents do not know the answer for the item or do not wish to respond for other reasons. Some item nonresponse arises when an interview is interrupted and not continued later, leaving items at the end of the interview blank. Item nonresponse may also be encountered because responses provided by the respondent are not internally consistent, and this inconsistency is not discovered until after the interview is completed. In such cases, one of the items that were not internally consistent was set to missing.

For most of the data items collected in the NHES:2001, the item response rate was very high. The median item response rate for items from the ECPP interview was 99 percent; for the ASPA interview data, 98 percent; and for the AELL interview, 99 percent. Despite the high item response rate, numeric and categorical data items with missing data on the file were imputed. (In general, character string variables, such as countries of origin, languages, or “other/specify” responses were not imputed.\textsuperscript{35}) The imputations were done for two reasons. First, complete responses were needed for the variables used in developing the sampling weights. Second, users compute estimates employing a variety of methods and having complete responses aids in conducting analysis.

Methodology

The methodology used for imputation in the NHES:2001 was very similar to that used in previous NHES survey administrations. The imputation procedures were developed based on the procedures for imputing items in the NHES:1995 surveys, the NHES:1996 surveys, and the NHES:1999 surveys.

A hot-deck procedure was used to impute missing responses (Kalton and Kasprzyk 1986). In this approach, the entire file was sorted into cells defined by characteristics of households or respondents that are likely to be associated with differences in response propensities. These

\textsuperscript{35}The exceptions were some character string variables in the AELL interview (e.g., major field of study, industry) that were coded into new variables (e.g., major field of study codes, industry codes). In cases where the original string variable was missing, the string variable was imputed and then coded into the new variable. The restricted data files contain the imputed character strings and the public files contain the coded variables based upon these imputed strings.
characteristics, or boundary variables, were used to group respondents into those most likely to have the same response or the same response propensity for the data item to be imputed. Two types of boundary variables were used. “Hard” boundary variables were considered to be so important that the donor and the recipient were required to match exactly. For other sort variables, called “soft” boundary variables, the values did not have to match exactly. In effect, the hard boundary variables were matching variables and the soft boundary variables were used to order the cases within the matching variables. The variables used as sort variables in the imputation of items in the NHES:1995, the NHES:1996, and the NHES:1999 were considered in order to arrive at a final set of standard imputation sort variables for each of the NHES:2001 surveys.

The WESDECK software was used to implement the hot-deck imputation procedure. WESDECK is a proprietary SAS macro developed by Westat to form hot-deck cells, impute using the hot-deck method, and generate output to verify the imputation.

The standard set of sort order variables\(^{36}\) for the household-level items collected in the ECPP, ASPA, and AELL surveys consisted of:

- CENREG—the Census region in which the household was located;
- HINCOME and HINCMRNG—household income category (broad and specific, respectively);
- KIDINHH—a variable derived specifically for imputation from the age (AGE) of household members indicating whether or not children under age 18 resided in the household; and
- HOWNHOME—whether the home was rented versus owned or other arrangement.

The standard sort order variables for the person-level items on the ECPP and ASPA interview files were:

- MAINRSLT—the final completion code for the interview;
- ALLGRADR—a variable derived specifically for imputation that indicates the grade/grade equivalent of the sampled child;
- SEX—sex of the sampled child;
- PARGRADS—a variable derived specifically for imputation that indicates the highest education level attained by either parent in the household as less than high school diploma, high school diploma but no bachelor’s degree, or college graduate. This variable was derived from MOMGRADE, MOMDIPL, DADGRADE, and DADDIPL; and

\(^{36}\) Some sort order variables were created specifically for imputation and do not appear on the data files.
Item Response and Imputation

- HHPARNS—a variable derived specifically for imputation from HHMOM and HHDAD indicating whether there were two parents in the household or not.

The standard sort order variables for the person-level items from the AELL interview file were:

- PARTIC—a variable derived for specifically for imputation that indicates whether the adult participated in any adult education activities (including full-time credential) in the last year;
- EDUC—a variable derived specifically for imputation that indicates whether or not the adult has at least a high school diploma or the equivalent;
- AGECAT—a variable derived specifically for imputation from AGE for the respondent with the categories 18 through 29 years, 30 through 49 years, and 50 or older;
- ARACETH—a variable derived specifically for imputation that classifies the respondent as Black, non-Hispanic; Hispanic; or other; and
- HINCMRNG—the household income range.

For items that were sometimes skipped, a “trigger” variable was included as one of the hard boundary variables. The trigger variable ensured that the skip pattern in the questionnaire was maintained. The trigger variable could be either a single variable or a set of conditions that determine whether the respondent is eligible for the particular question, i.e., whether the variable in question should be answered or skipped. In some cases, an item was originally coded –1 (inapplicable) because of nonresponse to a component of the trigger, but the item became applicable as a result of the imputed value for the trigger component. In such cases, the item was recoded from –1 to –9 and imputed. If, on the other hand, the trigger indicated that the item should have been skipped, the variable was set equal to –1 (if it was not already equal to –1) in the program that prepared the data for imputation prior to imputation of that variable.  

All of the observations were sorted into cells defined by the responses to the sort variables, and then divided into two classes within the cell depending on whether or not the item was missing. For an observation with a missing value, a value from a randomly selected donor (observation in the same cell but with the item completed) was used to replace the missing value. This method is called a hot-deck procedure because actual values are imputed from donors selected from the current data set. After the imputation was completed, edit programs were run to ensure the imputed responses did not violate skip patterns.  

In order to maintain the correct skip patterns during imputation, variables were imputed in “rounds.” That is, before a set of variables could be imputed, the trigger variables for that set had to be imputed. Thus, the process of recoding and imputing described here was done in a sequential manner.
patterns or edit rules. If any violations occurred, the program was adjusted and imputation was rerun, or if only a few cases were affected, they were manually imputed.

Items in repeating segments\(^{38}\) (i.e., arrangement-level items such as NCCOST1-NCCOST3 on the ECPP and ASPA data files and course-level items such as WRCURR1-WRCURR4 on the AELL data file) were imputed without regard to the segment number. That is, all segments were combined prior to imputation. In the absence of a compelling reason to distinguish among segments, this approach allowed for a larger donor pool to be used.

After values had been imputed for all observations with missing values, the distribution of the item prior to imputation, (i.e., the respondents’ distribution) was compared to the post-imputation distributions of the imputed values alone and of the imputed values together with the observed values. There were 37 items in the ECPP file with response rates of less than 90 percent, 89 such items in the ASPA file, and 56 such items in the AELL file. The comparisons revealed similar item distributions pre- and post-imputation. This comparison is an important step in assessing the potential impact of item nonresponse bias and ensuring that the imputation procedure reduces this bias, particularly for items with relatively low response rates (less than 90 percent).

For each data item for which any values were imputed, an imputation flag variable was created. If the response for the item was not imputed, the imputation flag was set equal to 0. If the response was imputed, the flag was set to 1, 2, 3, or 4. The value of the imputation flag indicates the specific procedure used to impute the missing value. The imputation flag was typically set to 1 if the missing value was imputed using the standard hot-deck approach. In some cases, variables had to be recoded to be consistent with the skip patterns of the questionnaire prior to being imputed using the standard hot-deck approach; for these cases, the imputation flag was set to 2. For items that were imputed manually, the flag was set to 3. The imputation flag was set to 4 for cases in which the original response had been “don’t know.” The flag value of 4 was set so that users can consider “don’t know” responses to items separately from other nonresponse if they wish. This convention was especially useful for the political knowledge items in the NHES:1996 and NHES:1999 surveys. However, it may provide some analytic utility in the analysis of variables in the items concerning where the sampled child spends time after school (SCAHOMI, SCAHOMO, SCARELA, SCAFHRND, SCANEIG, SCAPUBL, SCACENT, SCAOUT, SCASCHL, SCAPLOTH) and what the child spends most after-school hours doing (SCAEDUC, SCACOMP, SCAREAD, SCAART, SCACHOR, SCAOUTPL, SCAINPLA, SCAPHON,

\(^{38}\) A “segment” is a section of the interview.
SCAEAT, SCATV, SCATALK, SCAOTH) in the ASPA interview. (This list of variables is provided for illustrative purposes only and is not all-inclusive.)

The imputation flags were created to enable users to identify imputed values. Users can employ the imputation flag to delete the imputed values, use alternative imputation procedures, or account for the imputation in computation of the reliability of the estimates produced from the data set. For example, some users might wish to analyze the data with the missing values rather than the imputed values. If there is no imputation flag corresponding to the variable, no values for that variable were imputed. If the imputation flag corresponding to the variable is equal to 1, 2, 3, or 4, the user can replace the imputed response with a missing value to accomplish this goal. This method could also be used to replace the imputed value with a value imputed by some user-defined imputation approach.

Imputation can affect the precision of survey estimates, especially when large numbers of cases are imputed for a given measure (this is generally not the case in the NHES surveys). If the user wishes to account for the fact that some of the data were imputed when computing sampling errors for the estimates, the missing values could be imputed using multiple imputation methods (Rubin 1987) or imputed so that the Rao and Shao (1992) variance procedures could be used.

Manual Imputation

For some items, the missing values were imputed manually rather than using the hot-deck procedure. In the NHES:2001, hand imputation was done (1) to impute certain person-level demographic characteristics; (2) to impute whether a child is homeschooled, whether the child attends regular school for some classes, and the number of hours the child attends regular school; (3) to correct for a small number of inconsistent imputed values; and (4) to impute for a few cases when no donors with matching sort variable values could be found. Tables 6-1, 6-2, and 6-3 show the variables from the ECPP, ASPA, and AELL surveys, respectively, for which manual imputation was conducted and the percent of values manually imputed.

Some person-level characteristics from the Screener and from the Demographic Characteristics section of the ECPP and ASPA interviews and the Initial Background and Remaining Background sections of the AELL interview were imputed manually because these variables typically involve complex relationships and/or constraints that would have required extensive programming in order to impute using a hot-deck procedure. The same is true of the items indicating whether a child is homeschooled, whether the child attends regular school for some classes, and the number of hours the
child attends regular school. Furthermore, the reasonableness of imputed values for person-level characteristics can often be assessed by examining the values of these variables for other members of the household. For example, while there is an increasing incidence of mixed-race households, the race of household members tends to be the same in most cases. Education is also correlated among adults within households. The use of the manual imputation approach in this situation permits the review of the characteristics of household members when imputing the missing values on the person-level variables.

For hand imputation of the person-level demographic items and of the homeschooling items, three sort variables were used. State was used as the first sort variable; that is, whenever possible, all values were imputed from within-state donors. Because there is some geographic clustering of subpopulations within states, the three-digit ZIP code of the household was used as the second sort variable. Third, cases were sorted by the person identification number. Because all household members share the first eight digits of their identification numbers, this resulted in all household members being grouped together.

Manual imputation was also used to correct for inconsistent values following post-imputation data editing. Following imputation, edit programs were run to ensure that the imputed responses did not violate edit rules. When violations or inconsistencies were detected, manual imputation was used in some cases to reimpute for a very small number of cases. The distribution of the item was used to arrive at the new values; typically, a modal value was imputed. In some cases, the overall mode was imputed, and in other cases, a modal value for a subgroup was imputed.

The final use of manual imputation was to impute for a few cases when no donors with matching hard boundary variable values could be found. For these cases, when relaxing the hard boundary variable requirements still did not produce a donor, manual imputation was done. The distribution of the item was used to assign imputed values; typically, a modal value was imputed. In some cases, the overall mode was imputed, and in other cases, a modal value for a subgroup was imputed. The following is a description of the specifications used to manually impute specific items.

**Age and year of birth.** In the ECPP and ASPA interviews, year of birth (CDOBYY) had to have been given by the respondent in order for the interview to be conducted; thus, AGE2000 was available for every child with a completed ECPP or ASPA interview. Relationship to the child sampled for an ECPP or ASPA interview was used as a hard boundary variable in the imputation of age for adults in the households in which there was a completed ECPP or ASPA interview. When the age of a parent was missing and the age of the other parent was available, the other parent was used as the donor. When there was only one parent in the household and his or her age was missing, age was imputed from the
Item Response and Imputation

previous single-adult household with a child the same age as the oldest child in the missing-variable household (within the same state, and within the same three-digit ZIP code, if possible).

When the value of age for an adult was missing and there was no ECPP or ASPA interview in the household, the age of the missing person was imputed as the median age of the adult household members. When the adult for whom the age was missing was the only adult in the household, the age of the adult in the previous single-adult household within the same state and within the same three-digit ZIP code was used.

For adults sampled for an AELL interview with missing year of birth (ADOBYY), year of birth was updated based on reported age or imputed after imputing age, such that the year of birth was consistent with age. Month of birth (ADOBMM and CDOBMM) was imputed from the nearest eligible donor who was born in the same year or within 5 years, within the three-digit ZIP code and state.

Sex. Sex (SEX and SEXn) was imputed in two ways. First, deductive imputation was used when the information in the household suggested an appropriate answer. For example, if there were two household members and one reported that he or she was married, and one was male and the other was missing on sex, the latter person was imputed as female. For cases in which an appropriate answer could not be deduced, the value of sex was imputed as either male or female with equal probability.

Race (including “other” race) and Hispanic origin. Race and Hispanic origin (CRACE, CHISPAN, ARACE, and AHISPANI) were imputed in different ways, depending on the information available about the household members. First, when race and Hispanic origin were available for other household members, this information was used to impute race and Hispanic origin for the person for whom the data were missing. The household member enumerated immediately before the person with the missing value was used as the donor. (If the person with the missing value was enumerated first, then the next person in the household was used as the donor.) When race and/or Hispanic origin were not available for any household members, the first enumerated household member in the previous within-state, within three-digit ZIP code household was used as the donor.

Country of birth and first language. The country of birth and first language variables (CBORNUS, CSPEAK, MOMBORN, MOMLANG, MOMSPEAK, DADBORN, DADLANG, DADSPEAK, ABORNUS, IBLANG, and IBSPEAK) were imputed using the same procedure as described above for race and Hispanic origin.
**Marital status.** In the imputation of marital status (AMARSTAT, ALIVWITH, MOMSTAT, MOMLIVW, MOMPART, DADSTAT, DADLIVW, and DADPART), the number of adults in the household (classified as “one adult” or “more than one adult”) was used as a hard boundary.

**Active duty status and household residency.** In order to avoid imputing a sampled adult to be ineligible for the AELL interview, active duty military status (XACTVDUT) was imputed to “not currently serving on active duty in the U.S. Armed Forces” and household residency (LIVENOW) was imputed to “adult is living here (in this household).”

**Homeschooling.** The homeschooling variable HOMESCHL was imputed for persons age 5 through age 15 who did not have a grade or grade equivalent. For persons under age 5, the value of the homeschooling question was set to −1. (This is an update, not an imputation. Updates are discussed further below.) For persons ages 5 and above who were missing HOMESCHL, the value of the homeschooling question HOMESCHL was imputed to “no.” It was expected that this would have a negligible effect on the distribution of HOMESCHL. Furthermore, there were numerous opportunities throughout the instrument for the respondent to indicate that questions were not applicable if the child was solely homeschooled (e.g., questions on school characteristics). Thus, imputing HOMESCHL to “no” seems reasonable. Other homeschool variables, such as whether the child receives all schooling at home (HOMEALL) and the number of hours per week the child goes to school for instruction (HOMSCHR), were imputed using the WESDECK procedure.

**Grade in school/highest grade completed/high school diploma.** In the ECPP and ASPA interviews, if the respondent refused to provide or could not provide GRADE, the interviewer asked for a more knowledgeable respondent; thus, GRADE was never missing for a sampled child. Grade equivalent (GRADEEQ) and highest grade completed for parents or adults (MOMGRADE, DADGRADE, IBGRADE) were imputed using age as an additional sort variable. When the person with the missing value was age 25 or younger, the donor was of the same age, unless there was no donor of the same age available; in this case, the donor was within 1 year of age in either direction. When the person was over age 25 and was married, the educational attainment of the spouse was used; otherwise, the donor was the person closest in age to the recipient within the state and ZIP code whose possession of a high school diploma or not was the same as the person with the missing variable, if available. When grade in school did not need to be imputed but a following item was missing (e.g., MOMDIPL), the donor was the person with the same grade or educational attainment who was closest in age within state and three-digit ZIP code.
**Same school.** The variable that indicates whether two children in the family attend the same school, SSAME, was used for convenience to avoid administering some school items twice to the parent respondent for two children who attend the same school. It was created to trigger a skip in order to reduce respondent burden; however, it was not intended to be used for analytic purposes. It was imputed to “no” because if the value of SSAME was missing, the items in question would have been administered the second time in the interview.

**Relationship.** When a household member’s relationship to the sampled child was missing, the variable RELATNn was imputed manually. The age, gender, and relationship of all household members to the subject child, as well as the mother’s (or female guardian’s) and father’s (or male guardian’s) marital status and related variables were examined to determine the likely relationship of the person missing on that variable.

**Updates and Imputations**

Some of the values that changed during the manual imputation process were actually updates. This occurred when a value was missing on one data file but was available from another source in the database. For example, when an adult had a missing value on the variable IBDIPL (high school diploma), the database was checked to see if that person was the mother or father of a sampled child and, if so, the value of MOMDIPL or DADDIPL (as appropriate) was used to update IBDIPL. Conversely, when IBDIPL was available for the mother or father but MOMDIPL or DADDIPL had missing values, the value of IBDIPL was used to update MOMDIPL or DADDIPL. Very few values were updated in this way. This process is not considered imputation because the response is obtained from the household, and these updates are not reflected in the imputation flags.

If the response could not be obtained from either interview in the household, one variable (e.g., IBDIPL) was imputed, and the imputed value was then copied into the other variable (e.g., MOMDIPL). Likewise, the value of the imputation flag for the first variable was copied into the value of the imputation flag for the second variable because the process involved some imputation, not just updating.
Item Response Rates

For most of the data items collected in the NHES:2001, the item response rates were very high. However, for certain subgroups, the item response rates for some items varied considerably. It is recommended that analysts examine the item response rates for the items in their analyses for the subgroups under consideration.

The tables in this chapter show the item response rates for items on the public data files. The number of cases for which each item was attempted and the percentage of cases for which a valid response was obtained are shown, as well as the percent of imputed cases that were manually imputed. Tables 6-1, 6-2, and 6-3 show the item response rates for items on the ECPP, ASPA, and AELL files, respectively. For the ECPP, ASPA, and AELL surveys, the median item response rates were 99.29 percent, 98.35 percent, and 99.34 percent, respectively.

As shown in table 6-1, most items on the ECPP public use data file have item response rates over 90 percent. Among items with response rates of less than 90 percent are those pertaining to the offering of flexible benefits accounts for child care expenses (MOMAUCUSE, DADACCT, and DADACUSE); income items (HINCOME and HINCMEXT); items that apply to only a small number of cases, such that a very small number of nonresponding cases has a substantial effect on the item response rate (NCWKMO2, NCDAYWK2, NCCOST3, NCUNIT3, NCCSTTHH3, NCCOST2, NCUNIT2, RCWKMO1, CPDAYWK1, CPHRWK1, AGE9, PCENDYY2, RCWKMO2, NCWKMO1, NCDAYWK1, NCCSTHN2, CPWKMO1, PCHDCOS3, NCCSTHN3, CPBELIE3, and CPDENTAA3); and followup questions about arrangements reported late in the interview (MOMADAYS, MOMBHOUS, MOMBWEEK, MOMBDAYS, MOMAHRS, MOMBHRS). Household income items traditionally generate high nonresponse because many people are sensitive about providing information about their household income, and prefer to respond with a general income range.

Items with response rates of less than 90 percent on the ASPA public file (table 6-2) include the same classes of items having response rates of less than 90 percent on the ECPP file (listed above), as well as items pertaining only to homeschoolers (HSPAPLCU, HSACTVSU, HSACTVS, HSSTPLC, HSPAPLC, HSSTPLCU, HSSTWEBU, HSMATLAS, HSSTWEB, HSMATLSU, HSCURRU, HSPAWEB, HSATTND, HSCURR, and HSPAWEBU). For the ASPA survey, there is one other set of variables worth noting. During the preparation of the data file, an unintended skip in the ASPA questionnaire was detected for a set of parental care items (PABHOME, PAAHOME, PAAHMIN, PAAHMOUT, PAAHMOOUT).

39 All item response rates reported here are unweighted.
PAARELA, PAAFRND, PAANEIG, PAAPUBL, PAACENT, PAAOUT, PAASCHL, PAAPLOTH, PAAEDUC, PAACOMP, PAAREAD, PAAART, PAAECHOR, PAAOUTPL, PAAINPLA, PAAPHON, PAAEAT, PAATV, PAATALK, PAAACTIV, and PAAOTHER). Consequently, the item PABHOME was not asked about children with no before-school arrangements if they also had before- or after-school activities that were used to cover hours when parents needed adult supervision for them (ASCOVER = 1). This question should have been asked for all children who had no arrangements before school, regardless of the status of their before- or after-school activities. All remaining items in the list above were skipped if children had no after-school arrangements and had before- or after-school activities that were used to cover hours when adult supervision was needed.

Items with response rates of less than 90 percent on the AELL public file (table 6-3) include income and earnings items (HINCMRNG, HINCM50K, EARNAMT, EARNUNT, HINCOME, and HINCMEXT); items that apply to only a small number of cases (e.g., items pertaining to the second and third credential program and the second vocational program); and items pertaining to hours of instruction (BSHRYR, APCLSHR, CRCLSHR1, VOCRDHR1). As noted previously, income and earnings items traditionally generate high nonresponse because many people are sensitive about providing information about their income and earnings. For items that are asked only of a small subgroup of respondents, a small number of missing values could result in a low item response rate. The relatively high nonresponse to items pertaining to hours of instruction is likely the result of respondents’ inability to recall the hours spent in instruction.
## Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEX1</td>
<td>O/HH MEM - #1’S SEX</td>
<td>5,244</td>
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<td>SEX2</td>
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<td>2,642</td>
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<td>SEX4</td>
<td>O/HH MEM - #4’S SEX</td>
<td>472</td>
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<td>SEX5</td>
<td>O/HH MEM - #5’S SEX</td>
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<td>SEX6</td>
<td>O/HH MEM - #6’S SEX</td>
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<td>RELATN6</td>
<td>O/HH MEM - #6’S RELATION TO CHILD</td>
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<td>SEX7</td>
<td>O/HH MEM - #7’S SEX</td>
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<tr>
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<td>O/HH MEM - #7’S RELATION TO CHILD</td>
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<tr>
<td>AGE8</td>
<td>O/HH MEM - #8’S AGE</td>
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<td>O/HH MEM - #8’S SEX</td>
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<td>O/HH MEM - #10’S RELATION TO CHILD</td>
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<tr>
<td>AGE11</td>
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<td>CBORNUS</td>
<td>PA5-CHILD’S BIRTH COUNTRY</td>
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<td>ENROLL</td>
<td>PB1-CHILD ENROLLED/ATTENDING SCHOOL</td>
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<tr>
<td>HOMESCHL</td>
<td>PB2-CHILD BEING SCHOoled AT HOME</td>
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<td>HOMEALL</td>
<td>PB4-FULL OR PARTIAL HOMESCHOOL</td>
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<tr>
<td>HOMSCHR</td>
<td>PB5-HRS/WK HOMESCHOOLED CHILD IN SCHOOL</td>
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<tr>
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<td>PB6-GRADE/YR CHILD IS ATTENDING</td>
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<tr>
<td>GRADEEQ</td>
<td>PB7-GRADE EQUIV/HOMESCHOOL SP ED/UNGRD</td>
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<td>ED5-RELATIVE WHO CARES FOR CHILD-4</td>
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<td>RCAGE4</td>
<td>ED50V-AGE OF RELATIVE CAREGIVER-4</td>
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<td>RPLACE4</td>
<td>ED6-LOCATION OF RELATIVE CARE-4</td>
<td>8</td>
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<tr>
<td>RCINNH2</td>
<td>ED7-REL CARE PROVIDER LIVES IN HH-2</td>
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<td>RCINNH4</td>
<td>ED7-REL CARE PROVIDER LIVES IN HH-4</td>
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<tr>
<td>RCHOMM4</td>
<td>ED8-MINUTES TO GO TO RELATIVE’S HOME-4</td>
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<td>RCWEEK3</td>
<td>ED9-REL CARE REG SCHED ONCE/WEEK-3</td>
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<td>ED10-REL CARE REG SCHED ONCE/MONTH-3</td>
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<td>ED13-# OF WKS/MO RECEIVES REL CARE-3</td>
<td>13</td>
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<td>0.00</td>
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<tr>
<td>RCWKMO4</td>
<td>ED13-# OF WKS/MO RECEIVES REL CARE-4</td>
<td>2</td>
<td>100.00</td>
<td>0.00</td>
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<tr>
<td>RCDAYWK3</td>
<td>ED14-# OF DAYS/WK RECEIVES REL CARE-3</td>
<td>13</td>
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<tr>
<td>RCDAYWK4</td>
<td>ED14-# OF DAYS/WK RECEIVES REL CARE-4</td>
<td>2</td>
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<td>0.00</td>
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<tr>
<td>RCHRWK3</td>
<td>ED15-# OF HRS/WK RECEIVES REL CARE-3</td>
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<tr>
<td>RCHRWK4</td>
<td>ED15-# OF HRS/WK RECEIVES REL CARE-4</td>
<td>2</td>
<td>100.00</td>
<td>0.00</td>
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<tr>
<td>RCKIDS3</td>
<td>ED17-NUM OF CHILDREN CARED FOR BY REL-3</td>
<td>48</td>
<td>100.00</td>
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</tbody>
</table>

See notes at end of table.
### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<tbody>
<tr>
<td>RCKIDS4</td>
<td>ED17-NUM OF CHILDREN CARED FOR BY REL-4 ..................</td>
<td>5</td>
<td>100.00</td>
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<tr>
<td>RCADLTS2</td>
<td>ED18-NUM OF ADULTS GIVING REL CARE-2 ....................</td>
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<tr>
<td>RCADLTS4</td>
<td>ED18-NUM OF ADULTS GIVING REL CARE-4 ....................</td>
<td>5</td>
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<tr>
<td>RCSTRTM3</td>
<td>ED19-AGE REL CARE BEGAN/MONTHS-3 .........................</td>
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<tr>
<td>RCSTRTM4</td>
<td>ED19-AGE REL CARE BEGAN/MONTHS-4 .........................</td>
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<td>0.00</td>
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<tr>
<td>RCSTRTY3</td>
<td>ED19-AGE REL CARE BEGAN/YEARS-3 .........................</td>
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<td>RCSTRTY4</td>
<td>ED19-AGE REL CARE BEGAN/YEARS-4 .........................</td>
<td>5</td>
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<td>RCSPKAE2</td>
<td>ED20-LANGUAGE SPOKEN MOST BY REL-2 ......................</td>
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</tr>
<tr>
<td>RCSPKAE3</td>
<td>ED20-LANGUAGE SPOKEN MOST BY REL-3 ......................</td>
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<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>RCSPKAE4</td>
<td>ED20-LANGUAGE SPOKEN MOST BY REL-4 ......................</td>
<td>5</td>
<td>100.00</td>
<td>0.00</td>
</tr>
<tr>
<td>RCBELIE3</td>
<td>ED21-REL SIMILAR REARING BELIEFS-3 ......................</td>
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<tr>
<td>RCBELIE4</td>
<td>ED21-REL SIMILAR REARING BELIEFS-4 ......................</td>
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<td>0.00</td>
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<tr>
<td>RCSICK3</td>
<td>ED22-REL RULES ABT CARE WHEN CHLD SICK-3 ...............</td>
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<td>ED22-REL RULES ABT CARE WHEN CHLD SICK-4 ...............</td>
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<td>RKCANCE4</td>
<td>ED23-NUMBER OF DAYS REL CANCELS-4 .......................</td>
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<td>ED24-ANY FEE FOR REL CARE-2 ...............................</td>
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<td>ED24-ANY FEE FOR REL CARE-3 ...............................</td>
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<td>ED24-ANY FEE FOR REL CARE-4 ...............................</td>
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<td>RCREL2</td>
<td>ED25A-REL HELPS PAY FOR REL CARE-2 ......................</td>
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<td>ED25C-EMPL HELPS PAY FOR REL CARE-2 .....................</td>
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<td>RCOOTHER2</td>
<td>ED25D-OTHER HELPS PAY FOR REL CARE-2 ....................</td>
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<td>ED26-AMT HH PAYS FOR REL CARE-3 .........................</td>
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<td>ED26-UNIT OF TIME/REL CARE COST-3 .......................</td>
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<td>RCCSTHH3</td>
<td>ED27-AMOUNT FOR CHILD ONLY OR OTHERS-3 ..................</td>
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<td>ED270V-# OF CHILDREN AMOUNT IS FOR-3 ....................</td>
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<td>EE1-RECEIVES CARE FROM A NONRELATIVE ....................</td>
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<td>EE5-LOCATION OF NONRELATIVE CARE-2 ......................</td>
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<td>EE8-NONREL CARE REG SCHED ONCE/WEEK-2 ...................</td>
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<td>EE9-NONREL CARE REG SCHED ONCE/MONTH-3 ..................</td>
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<td>EE10-# DAYS/WK RECEIVES NONREL CARE-2 ...................</td>
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Table 6-1.  Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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See notes at end of table.
Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Percent manually imputed</th>
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See notes at end of table.
Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Variable name</th>
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<td>RCDAYS1</td>
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<td>NCSPEAK1</td>
<td>EE22-CARE PROVIDER OVER 18 YRS OLD-1.............. 1,103</td>
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<td>NCSPEAK1</td>
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See notes at end of table.
Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<tr>
<th>Variable name</th>
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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>DAD WAS BORN IN</td>
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<td>MARITAL STATUS</td>
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<td>LANGUAGE SPOKEN BY DAD</td>
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<td>MOMLOOK PU13-MOM</td>
<td>LOOKING FOR WORK PAST 4 WEEKS</td>
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<td>HGOVCUR PW15-FAMILY</td>
<td>CUR RECVS MONEY FOR CH CARE</td>
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<td>PLIKE EI1K-CHILD</td>
<td>LIKES THE CAREGIVER</td>
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<td>DAYS/WK ATTENDS PROGRAM-1</td>
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<td>PROVIDER SPEAKS MOST W/CHILD-1</td>
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<td>CPPARWR1 EG25-VOLUNTEER</td>
<td>CHILD'S PGM LST MNTH-1</td>
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<td>PPSSECUR EI1A-CHILD</td>
<td>FEELS SAFE AND SECURE IN CARE</td>
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<td>NCOTHER1 EE20-LEARNED</td>
<td>FROM PLACE OF EMPLOYMENT-1</td>
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<td>RCBELIE1 ED21-REL</td>
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### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Percent manually imputed</th>
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<td>NCREFER1</td>
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<td>O/HI MEM - #2'S AGE</td>
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<td>PA30V-CHILD IS HIISP/MIXED RACE</td>
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<td>EI4-CHILD'S SAFETY/SECURITY</td>
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<td>NCWELF1</td>
<td>EE29B-WELFARE HELPS PAY NONREL CARE-1</td>
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<td>PPENGLO</td>
<td>EI5E-CAREGIVER WHO SPEAKS ENGLISH</td>
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<td>PPHELPEE</td>
<td>EI10-CAREGIVER IS HAPPY TO SEE CHILD</td>
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<td>PPBELIEF</td>
<td>EISG-SHARE CHILDCREARING BELIEFS</td>
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See notes at end of table.
### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<tbody>
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<td>DADBIDAD</td>
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<td>PU7-HIGHEST GRADE/YR MOM COMPLETED</td>
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<td>PV17-CHILD CARE AFFECTED DAD’S JOB CHOICE</td>
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See notes at end of table.
### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Variable name</th>
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<th>Percent manually imputed</th>
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See notes at end of table.
Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
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See notes at end of table.
Table 6-1.  Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<th>Variable name</th>
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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See notes at end of table.
### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

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<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>474</td>
<td>92.19</td>
<td>5.41</td>
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<tr>
<td>FAMTCUSD</td>
<td>PV24-HH USED CHILD CARE TAX CREDIT 2000</td>
<td>2,715</td>
<td>92.15</td>
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<tr>
<td>NCHRWK1</td>
<td>EE14-# OF HRS/WK RECEIVES NONREL CARE-1</td>
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<tr>
<td>AGE7</td>
<td>O/HH MEM - #7'S AGE</td>
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<td>DADUSAGE</td>
<td>PV50V-AGE WHEN DAD MOVED TO US</td>
<td>1,129</td>
<td>91.32</td>
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<tr>
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<td>PU20-MOM'S EMPL HAS CARE ACCOUNT</td>
<td>3,980</td>
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</table>

See notes at end of table.
Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>NCCSTHN1</td>
<td>EE31OV-# OF CHILDREN AMOUNT IS FOR-1</td>
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<td>PCSTRTM2</td>
<td>EH10-MONTH PREVIOUS ARRANGEMENT BEGAN-2</td>
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<td>PCENDMM2</td>
<td>EH10-MONTH PREVIOUS ARRANGEMENT ENDED-2</td>
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<td>PCREASN2</td>
<td>EH11-REASON PREVIOUS ARRANGEMENT ENDED-2</td>
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<td>PW12-YEAR STOPPED RECEIVING WELFARE</td>
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<td>MOMAHOUS</td>
<td>PU27-OTHER PARENT LIVES IN HH</td>
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<td>90.60</td>
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<td>DADGRAD1</td>
<td>PV6-ACTUAL GRADE 0-8 DAD COMPLETED</td>
<td>255</td>
<td>90.59</td>
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<td>MOMAWEEEK</td>
<td>PU29-ARRNG REG SCHED ONCE/WEEK</td>
<td>210</td>
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<td>EG31OV-# OF CHILDREN AMOUNT IS FOR-1</td>
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<td>CPKIDS2</td>
<td>EG17-# OF CHILDREN IN GROUP-2</td>
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<td>EE31-AMOUNT FOR CHILD ONLY OR OTHERS-2</td>
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<td>NCCSTHH1</td>
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<td>667</td>
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<td>PPCCHOIC</td>
<td>E16-GOOD CHOICES OF DAYCARE WHERE LIVE</td>
<td>5,345</td>
<td>89.84</td>
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<td>MOMADAYS</td>
<td>PU30-# DAYS EACH WK IN OTHER ARRNG</td>
<td>189</td>
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<td>MOMBHOUS</td>
<td>PU34-SEC ARRNG PARENT LIVES IN HH</td>
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<td>NCDAYWK2</td>
<td>EE13-# DAYS/WK RECEIVES NONREL CARE-2</td>
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<td>HINCOME</td>
<td>PW18-TOTAL HH INCOME RANGE</td>
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<td>MOMBWEEK</td>
<td>PU36-SEC ARRNG REG SCHED ONCE/WEEK</td>
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<td>PU37-# DAYS EACH WK IN SEC ARRNG</td>
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<td>EE30-UNIT OF TIME/NONREL CARE COST-3</td>
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<td>PCHDCOS1</td>
<td>EH15-REASON FOR HEAD START COST-1</td>
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<td>RCWKMO1</td>
<td>ED13-# OF WKS/MO RECEIVES REL CARE-1</td>
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<td>CPDAYWK1</td>
<td>EG14-# OF DAYS/WK IN PROGRAM-1</td>
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<td>EG15-# OF HRS/WEEK IN PROGRAM-1</td>
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<td>PU38-# HRS EACH WEEK IN SEC ARRNG</td>
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<td>PU31-# HRS EACH WK IN OTHER ARRNG</td>
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<td>PW12-MONTH STOPPED RECEIVING WELFARE</td>
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<td>83.91</td>
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<tr>
<td>DADACCT</td>
<td>PV19-DAD’S EMPL HAS CARE ACCOUNT</td>
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<td>AGE9</td>
<td>O/HH MEM - #9’S AGE</td>
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<td>DADACUSE</td>
<td>PV20-DAD USES EMPL CARE ACCOUNT</td>
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<td>PCENDYY2</td>
<td>EH10-YEAR PREVIOUS ARRANGEMENT ENDED-2</td>
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<td>ED13-# OF WKS/MO RECEIVES REL CARE-2</td>
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<tr>
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<td>EE13-# DAYS/WK RECEIVES NONREL CARE-1</td>
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<tr>
<td>CPWKMO1</td>
<td>EG13-# OF WKS/MO IN PROGRAM-1</td>
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<td>ED11-# OF DAYS/WK RECEIVES REL CARE-4</td>
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<td>PCHDCOS3</td>
<td>EH15-REASON FOR HEAD START COST-3</td>
<td>3</td>
<td>66.67</td>
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</table>

See notes at end of table.
### Table 6-1. Item response rates for items on the public use data file: ECPP-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
</tr>
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<tbody>
<tr>
<td>NCAGEYR</td>
<td>EE3-AGE 1ST RECEIVED NONREL CARE/YRS</td>
<td>1,874</td>
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<tr>
<td>HINCMEXT</td>
<td>PW18OV-EXACT HH INC TO NEAREST $1000</td>
<td>1,443</td>
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<tr>
<td>NCCSTHN3</td>
<td>EE31OV-# OF CHILDREN AMOUNT IS FOR-3</td>
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<tr>
<td>CPBELIE3</td>
<td>EG23-PROVIDER SIMILAR REARING BELIEF-3</td>
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<tr>
<td>CPDENTA3</td>
<td>EG26C-PGM PROVIDES DENTAL EXAMINATIONS-3</td>
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### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001

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<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>PARENT RESPONDENT’S SEX</td>
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<td>O/HH MEM - #6’S RELATION TO CHILD</td>
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<tr>
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<td>O/HH MEM - #7’S SEX</td>
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<td>O/HH MEM - #7’S RELATION TO CHILD</td>
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<td>O/HH MEM - #8’S SEX</td>
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<td>SEX9</td>
<td>O/HH MEM - #9’S SEX</td>
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<td>O/HH MEM - #11’S AGE</td>
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<td>ENROLL</td>
<td>PB1-CHILD ENROLLED/ATTENDING SCHOOL</td>
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<td>SC1-HOMESCHOOL/BETTER EDUCATION AT HOME</td>
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<td>HSOBJET</td>
<td>SC1-HOMESCHOOL/OBJECT TO WHAT SCH TEACHES</td>
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<td>SC1-HOMESCHOOL/OTHER REASONS-SPECIFY</td>
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<td>SF4-LOCATION OF RELATIVE CARE-3</td>
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<td>RCPLACE4</td>
<td>SF4-LOCATION OF RELATIVE CARE-4</td>
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<td>SF5-REL CARE PROVIDER LIVES IN HH-3</td>
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<td>SF5-REL CARE PROVIDER LIVES IN HH-4</td>
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</table>

See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>RCHOMM4</td>
<td>SF6-MINUTES TO GO TO RELATIVE’S HOME-4 ..............</td>
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Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001— Continued

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See note at end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<tr>
<th>Variable name</th>
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<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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</table>

See note at end of table.
Table 6-2.  Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at end of table.
Table 6-2.  Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at the end of the table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Variable name</th>
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<th>Number eligible</th>
<th>Item response rate (percent)</th>
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See note at end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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See note at end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Variable name</th>
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See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Variable name</th>
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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at end of table.
## Item Response and Imputation

### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<tr>
<th>Variable name</th>
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<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See note at end of table.
Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Variable name</th>
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See note at the end of table.
### Table 6-2. Item response rates for items on the public use data file: ASPA-NHES:2001—Continued

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<th>Percent manually imputed</th>
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Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001

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See notes at end of table.
### Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See notes at end of table.
### Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See notes at end of table.
Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<th>Percent manually imputed</th>
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See notes at end of table.
Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<tr>
<th>Variable name</th>
<th>Description</th>
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<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See notes at end of table.
Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
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<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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See notes at the end of the table.
### Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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See notes at end of table.
Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<th>Item response rate (percent)</th>
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See notes at end of table.
### Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

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<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<td>AA1-ACTUAL GRADE 0-8 COMPLETED</td>
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</table>

See notes at end of table.
Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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</tbody>
</table>

See notes at end of table.
### Table 6-3. Item response rates for items on the public use data file: AELL-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
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<tr>
<td>BSFMLIT</td>
<td>AC9-ABE/GED WAS PART OF FAM LITERACY</td>
<td>197</td>
<td>91.88</td>
<td>0.00</td>
</tr>
<tr>
<td>HSTOPYY</td>
<td>AL12-YEAR STOPPED RECEV WELFARE</td>
<td>136</td>
<td>91.18</td>
<td>0.00</td>
</tr>
<tr>
<td>VOCOMPY2</td>
<td>AE10-VOCA COMPLETION YEAR-2</td>
<td>11</td>
<td>90.91</td>
<td>0.00</td>
</tr>
<tr>
<td>VOENRUN2</td>
<td>AE16-UNIT ENROLLED IN PGRM-2</td>
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<td>0.00</td>
</tr>
<tr>
<td>VOINWWW2</td>
<td>AE20D-INSTR BY INTERNET/WWW-2</td>
<td>11</td>
<td>90.91</td>
<td>0.00</td>
</tr>
<tr>
<td>CRSRTY2</td>
<td>AD11-CRED START YEAR-2</td>
<td>120</td>
<td>90.83</td>
<td>18.18</td>
</tr>
<tr>
<td>CRINTY2</td>
<td>AD22A-INSTR BY TV/VIDEO/RADIO-2</td>
<td>116</td>
<td>90.52</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCOM2</td>
<td>AD22B-INSTR BY COMPUTER-2</td>
<td>116</td>
<td>90.52</td>
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<tr>
<td>CRINCON2</td>
<td>AD22C-INSTR BY COMPUTER CONFERENCING-2</td>
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<tr>
<td>CRINWWW2</td>
<td>AD22D-INSTR BY INTERNET/WWW-2</td>
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<tr>
<td>CREXAMY2</td>
<td>AD8-TOOK EXAM TO GET CERT/LICENSE-2</td>
<td>31</td>
<td>90.32</td>
<td>0.00</td>
</tr>
<tr>
<td>CRCCOMP2</td>
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<td>1,188</td>
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<td>CRCSRNU2</td>
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<td>APCCOMPMM</td>
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<td>CRCCOMP2</td>
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<td>BSHRYR</td>
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<td>197</td>
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</tr>
<tr>
<td>CRPTFT2</td>
<td>AD17-ENROLLED PART-TIME/FULL-TIME/BOTH-2</td>
<td>120</td>
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<td>0.00</td>
</tr>
<tr>
<td>CRMATLS2</td>
<td>AD25B-PERSONAL EXPENSE FOR BOOKS/MTLS-2</td>
<td>120</td>
<td>88.33</td>
<td>0.00</td>
</tr>
<tr>
<td>CRREAS3</td>
<td>AD6-PRGM FOR WORK OR PERSONAL REASONS-3</td>
<td>8</td>
<td>87.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRCERT3</td>
<td>AD7-GET/KEEP CERTIFICATE/LICENSE-3</td>
<td>8</td>
<td>87.50</td>
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</tr>
<tr>
<td>CRSTRTM3</td>
<td>AD11-CRED START MONTH-3</td>
<td>8</td>
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<tr>
<td>CRCCOMPY2</td>
<td>AD12-CRED COMPLETION YEAR-2</td>
<td>120</td>
<td>87.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRTUITO2</td>
<td>AD25A-PERSONAL EXPENSE FOR TUITION/FEE-2</td>
<td>120</td>
<td>87.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRTECHP2</td>
<td>AD24-PERCENT INSTR USED TECHNOLOGY-2</td>
<td>78</td>
<td>87.18</td>
<td>0.00</td>
</tr>
<tr>
<td>APCCOMPY2</td>
<td>AF5-APPR PGRM COMPLETION YEAR</td>
<td>146</td>
<td>86.99</td>
<td>36.84</td>
</tr>
<tr>
<td>HINCMRNG</td>
<td>AL17-TOTAL HH INCOME RANGE</td>
<td>10,873</td>
<td>85.55</td>
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</tr>
<tr>
<td>APCLS8HR</td>
<td>AF6-TOTAL CLASSROOM INST HRS</td>
<td>163</td>
<td>84.05</td>
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</tr>
<tr>
<td>CRTECHN2</td>
<td>AD23-NUM OF COURSES USED TECHNOLOGY-2</td>
<td>78</td>
<td>83.33</td>
<td>7.69</td>
</tr>
<tr>
<td>HINCM50K</td>
<td>AL17OV-HH INCOME BELOW/ABOVE $50K</td>
<td>7,801</td>
<td>82.55</td>
<td>0.00</td>
</tr>
<tr>
<td>CRENNU2</td>
<td>AD18-HOW LONG ENROLLED IN PGRM-2</td>
<td>120</td>
<td>82.50</td>
<td>0.00</td>
</tr>
</tbody>
</table>

See notes at end of table.
Table 6-3.  Item response rates for items on the public use data file: AELL-NHES:2001—Continued

<table>
<thead>
<tr>
<th>Variable name</th>
<th>Description</th>
<th>Number eligible</th>
<th>Item response rate (percent)</th>
<th>Percent manually imputed</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRENRUN2</td>
<td>AD18-UNIT ENROLLED IN PGRM-2</td>
<td>120</td>
<td>82.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRCRDHR2</td>
<td>AD20-TOTAL CREDIT HRS ENROLLED-2</td>
<td>120</td>
<td>82.50</td>
<td>0.00</td>
</tr>
<tr>
<td>VOCOMPM2</td>
<td>AE10-VOCA COMPLETION MONTH-2</td>
<td>11</td>
<td>81.82</td>
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<tr>
<td>VOSTRTV2</td>
<td>AE9-VOCA START YEAR-2</td>
<td>11</td>
<td>81.82</td>
<td>100.00</td>
</tr>
<tr>
<td>EARNAMT</td>
<td>AK21-AMOUNT OF EARNINGS</td>
<td>7,879</td>
<td>81.67</td>
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</tr>
<tr>
<td>HSTOPM1</td>
<td>AL12-MONTH STOPPED RECV WELFARE</td>
<td>136</td>
<td>81.62</td>
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<tr>
<td>EARNUNT</td>
<td>AK21-UNIT OF EARNINGS</td>
<td>7,879</td>
<td>81.57</td>
<td>0.55</td>
</tr>
<tr>
<td>HINCOME</td>
<td>AL170V-TOTAL HH INCOME RANGE 2</td>
<td>10,873</td>
<td>78.26</td>
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<tr>
<td>CRCLSHR1</td>
<td>AD21-TOTAL CLASSROOM HRS-1</td>
<td>26</td>
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<tr>
<td>VOCDHR1</td>
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<tr>
<td>CRINCOY3</td>
<td>AD12-CRED COMPLETION MONTH-3</td>
<td>8</td>
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<tr>
<td>CRINCOY3</td>
<td>AD12-CRED COMPLETION YEAR-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCOY3</td>
<td>AD17-ENROLLED PART-TIME/FULL-TIME/BOTH-3</td>
<td>8</td>
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<td>0.00</td>
</tr>
<tr>
<td>CRNRUO3</td>
<td>AD19-NUMBER OF COURSES TOOK IN PGRM-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINESP3</td>
<td>AD22A-INSTR BY TV/VIDEO/RADIO-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCBK3</td>
<td>AD22B-INSTR BY COMPUTER-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCBK3</td>
<td>AD22C-INSTR BY COMPUTER CONFERENCING-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCBK3</td>
<td>AD22D-INSTR BY INTERNET/WWW-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRTUITO3</td>
<td>AD25A-PERSONAL EXPENSE FOR TUITION/FEE-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRMATLS3</td>
<td>AD25B-PERSONAL EXPENSE FOR BOOKS/MTLS-3</td>
<td>8</td>
<td>75.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRINCNIK2</td>
<td>AD26-TUITION/FEES INCLUDE BOOKS/MTLS-2</td>
<td>11</td>
<td>72.73</td>
<td>0.00</td>
</tr>
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<td>VOCDHR2</td>
<td>AE18-TOTAL CREDIT HRS ENROLLED-2</td>
<td>11</td>
<td>72.73</td>
<td>0.00</td>
</tr>
<tr>
<td>CRPROVE3</td>
<td>AD14-INSTRUCTION PROVIDER WAS EMPLOYER-3</td>
<td>7</td>
<td>71.43</td>
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</tr>
<tr>
<td>CRWORK3</td>
<td>AD27-WORK WHILE TAKING PGRM-3</td>
<td>7</td>
<td>71.43</td>
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<tr>
<td>CRELMPRE3</td>
<td>AD28-EMPLOYER REQUIRED TO TAKE PGRM-3</td>
<td>7</td>
<td>71.43</td>
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<tr>
<td>CREMPSU3</td>
<td>AD29-EMPLOYER SUGGESTED TO TAKE PGRM-3</td>
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<td>71.43</td>
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<tr>
<td>CRWRKPL3</td>
<td>AD30-TOOK PGRM AT WORKPLACE-3</td>
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<td>71.43</td>
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<tr>
<td>CRWRKH3</td>
<td>AD31-TOOK PGRM DURING WORK HRS-3</td>
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</tr>
<tr>
<td>CREMPAI3</td>
<td>AD32-BEING PAID WHILE TAKING PGRM-3</td>
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<td>71.43</td>
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<tr>
<td>CREMPTU3</td>
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</tr>
<tr>
<td>CREMPMA3</td>
<td>AD33B-EMPLOYER PAID BOOKS/MTLS-3</td>
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<td>0.00</td>
</tr>
<tr>
<td>CRENRUN3</td>
<td>AD18-UNIT ENROLLED IN PGRM-3</td>
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<td>62.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRNRCRD3</td>
<td>AD20-TOTAL CREDIT HRS ENROLLED-3</td>
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<td>62.50</td>
<td>0.00</td>
</tr>
<tr>
<td>CRSTRTY3</td>
<td>AD11-CRED START YEAR-3</td>
<td>8</td>
<td>62.50</td>
<td>33.33</td>
</tr>
<tr>
<td>CRTECHN3</td>
<td>AD23-NUM OF COURSES USED TECHNOLOGY-3</td>
<td>5</td>
<td>60.00</td>
<td>0.00</td>
</tr>
<tr>
<td>CRTECHP3</td>
<td>AD24-PERCENT INSTR USED TECHNOLOGY-3</td>
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<td>60.00</td>
<td>0.00</td>
</tr>
<tr>
<td>HINCMECT</td>
<td>AL170V2-EXCT HH INC NRST $1000</td>
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<td>56.75</td>
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<td>AD26-TUITION/FEES INCLUDE BOOKS/MTLS-3</td>
<td>2</td>
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</table>

Item Response and Imputation

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7. WEIGHTING AND VARIANCE ESTIMATION

Weighting Methodology

The objective of the NHES:2001 is to make inferences about the entire civilian, noninstitutionalized population for the domains of interest. Weighting is necessary to account for differential probabilities of selection and to reduce potential bias due to nonresponse and differential coverage of subpopulations. Although weighting adjustments are aimed at reducing bias, these adjustments typically introduce variation in the weights, which increases the variances of survey estimates. Care was taken in the development and implementation of the weighting methodology to balance the bias reductions against the potential increases in variance.

The target populations for the NHES:2001 surveys are the U.S. civilian, noninstitutional population age 6 or younger and not yet enrolled in kindergarten (ECPP-NHES:2001), age 15 or younger enrolled in kindergarten through 8th grade (ASPA-NHES:2001), and age 16 or older and not enrolled in 12th grade or below (AELL-NHES:2001). Although only telephone households were sampled, the estimates were adjusted to totals of persons living in both telephone and nontelevision households derived from the Current Population Survey (CPS) to achieve this goal. Totals of the number of persons adjusted to account for undercoverage are available from the 1990 decennial census. Beginning in 1994, the CPS weights were adjusted to these totals. Any additional undercoverage in the census of special subpopulations, such as the homeless, remains in the totals obtained from the CPS.

The full sample weight to be used for analysis of the ECPP file is FEWT. For the ASPA file, the full sample weight is FSWT. For the AELL file, the full sample weight is FAWT. The weighting procedures are described briefly below.

Household-Level Weights

The primary purpose of the Screener in the NHES:2001 was to provide information required to assess the eligibility of household members for an extended interview. Household-level information that is of analytic interest was also collected during the extended interview. Since no data intended for analyses were collected at the household level only, household-level weights were calculated solely for use as a basis for computing person-level weights for the analysis of the extended interview data.
The household-level weight was the product of five factors:

1. the weight associated with the differential sampling of telephone numbers based on the minority stratum of the exchange and the listed status of the telephone number ($A_j$);

2. an adjustment to account for the subsampling of no answer cases ($B_j$);

3. an adjustment for Screener nonresponse ($C_j$);

4. an adjustment for the number of telephone numbers in a household ($D_j$); and

5. a poststratification adjustment to compensate for the fact that only telephone households were eligible for the NHES:2001 surveys ($E_j$).

The procedures for computing the household-level weights are given below.

1. The RDD sampling method used for the NHES:2001 is a list-assisted method described by Brick et al. (1995). This basic method was also used in the NHES:1995, the NHES:1996, and the NHES:1999. For NHES:2001, a two-phase approach was used. In the first phase, a single-stage sample of telephone numbers was sampled from strata defined by minority status of the exchange. Telephone numbers in high-minority exchanges were sampled at a rate almost twice that of those in low-minority exchanges. In particular, in the high-minority stratum, 101,170 telephone numbers were selected from the 818,262 eligible 100-banks; in the low-minority stratum, 105,012 telephone numbers were selected from the 1,640,319 eligible 100-banks. In the second phase, telephone numbers selected in the first phase were matched against White and yellow pages directory listings and subsampled differentially within each minority stratum based on listed status (i.e., whether the number is listed in the White Pages). Table 7-1 gives the numbers of telephone numbers selected at each phase of selection and the weighting factors associated with the sampling at each phase. The telephone number level base weight, $A_j$, is the product of the two weighting factors given in table 7-1.

### Table 7-1. Weighting factors for the sampling of telephone numbers: NHES:2001

<table>
<thead>
<tr>
<th>Minority stratum</th>
<th>Phase 1 sample</th>
<th>Phase 2 sample</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of telephone numbers in frame</td>
<td>Number of telephone numbers sampled</td>
</tr>
<tr>
<td>High minority</td>
<td>81,826,200</td>
<td>101,170</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low minority</td>
<td>164,031,900</td>
<td>105,012</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. During data collection, no answer cases (those at which neither a person nor a machine had been reached) were subsampled for refielding; only a one-third subsample of such cases was refielded. (See chapter 5 for further details on refielding.) The second weighting factor adjusts for the subsampling of no answer cases. No answer cases that were selected to be refielded were given a weighting factor $B_j = 3$. The no answer cases that were subsampled out were given a weighting factor $B_j = 0$. For each sampled telephone number $j$, the unadjusted weight, $UHW_j$, can be written as $UHW_j = A_j \cdot B_j$.

3. The third weighting factor adjusts for households that did not respond to the NHES:2001 Screener. Each sampled telephone number was classified as either a respondent ($R$), a nonrespondent ($NR$), or an ineligible case ($I$). The base weights of the nonrespondent cases were distributed to the base weights of the respondent cases within a nonresponse adjustment cell. A CHAID analysis (described in chapter 5) was used to identify characteristics most associated with Screener nonresponse. The characteristics considered included all the characteristics used for Screener nonresponse adjustment for the NHES:1995 and the NHES:1999. (The household weights were not adjusted for Screener nonresponse in the NHES:1996.) These characteristics, which were primarily geographic characteristics, were used to form the cells for nonresponse adjustment of the household weights. Table 7-2 contains the cells used for Screener nonresponse adjustment in the NHES:2001, along with the estimated Screener unit response rate for each cell. The nonresponse adjustment factor, $C_{j(c)}$, applied to each respondent $j$ in adjustment cell $c$ is

$$C_{j(c)} = \frac{\sum_{h \in R \cup NR} UHW_h}{\sum_{h \in R_c} UHW_h}.$$  

4. A weighting factor of unity was assigned to households reporting one telephone number in the household. An adjustment factor of $1/2$ was assigned to households with more than one residential telephone number. Technically, if the other telephone number(s) of households with multiple residential telephone numbers is in the zero-listed stratum, the household should get a weight adjustment of 1. However, looking up the other numbers to determine their listed status is impractical, and the percent of such numbers in the zero-listed stratum is small. Let

$$D_j = \frac{1}{2} \quad \text{if household } j \text{ has more than one telephone number, and}$$

$$D_j = 1 \quad \text{if household } j \text{ has one telephone number.}$$

40 The residency status of telephone numbers that finalized with Screener dispositions of no answer or no answer-answering machine was unresolved. Based on the survival method of response rate estimation (described in chapter 6), 27.9 percent of these cases were assumed to be residential; thus, for these cases, 27.9 percent of the weight was retained and these cases were treated as nonrespondents.

41 As noted in the discussion in chapter 5, little information is available about nonresponding units in an RDD survey. Measures are selected from among the limited items that are available for both respondents and nonrespondents.

42 The weight could be modified by a factor equal to the reciprocal of the number of residential telephone numbers in the household, but the adjustment by a factor of one-half is thought to be somewhat better. Massey and Botman (1988) comment on this adjustment.
If a household was sampled twice through two different telephone numbers, only one of the telephone numbers was kept in the sample. The telephone number that was not kept was assigned a Screener result code indicating that it is a duplicate. The interview that was kept has $D_j$ set equal to unity, to reflect that it was sampled twice.

Thus, the nonresponse adjusted household weight, adjusted for multiple residential telephone numbers in the household, is

$$UHW_j' = A_j \cdot B_j \cdot C_{j(e)} \cdot D_j$$

5. The final step in computing the household weight was to adjust $UHW_j'$ to known national control totals in order to account for household-level undercoverage due to sampling only telephone households. Poststratification was used to accomplish this task. Poststratification ensures that survey weights sum to known population totals. The characteristics used in poststratification were Census region and presence of children under 18 years of age. Table 7-3 presents the control totals used for poststratifying the household-level weights. The variables used in poststratification were chosen to address differences in coverage rates with respect to region in which the household is located and presence of children in the household. The control totals for poststratification were obtained from the March 2000 Current Population Survey (CPS).

The final household-level weight for household $j$, $HHW_j$, is given by

$$HHW_j = UHW_j' \cdot E_{j(d)},$$

where $E_{j(d)}$ is the poststratification adjustment factor described above for adjustment cell $d$, where household $j$ has the attributes corresponding to poststratification cell $d$.

**Person-Level Weights for the ECPP, ASPA, and AELL Interviews**

As described in chapter 3, a sampling algorithm was used to limit the number of persons sampled in each household while maintaining the sampling rates required to attain the target sample sizes. The sampling was based on information collected in the Screener interview from the adult household member who responded to the Screener. For the ECPP and ASPA interviews, the eligibility of the sampled child was later verified or updated when the parent/guardian most knowledgeable about the child responded to the ECPP or ASPA interview. For the AELL interview, an eligible adult was defined to be a person 16 years of age or older who was not enrolled in 12th grade or below and not on active duty in the U.S. Armed Forces. Because sampling eligibility was defined in terms of the data collected in the Screener, the weighting procedures were developed with possible misclassification taken into account so that the estimates would not incur bias due to misclassification.

---

41 There was one such household identified in the NHES:2001 sample.
Table 7-2. Screener nonresponse adjustment cells: NHES:2001

<table>
<thead>
<tr>
<th>Cell</th>
<th>Mailable status</th>
<th>Answering machine message indicator</th>
<th>Percent White</th>
<th>Median home value</th>
<th>Listed status</th>
<th>Percent renters</th>
<th>Percent owners</th>
<th>Census region</th>
<th>Estimated unit response rate (percent)</th>
</tr>
</thead>
<tbody>
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<td>†</td>
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</tr>
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<td>†</td>
<td>†</td>
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</tr>
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<td>72</td>
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<td>†</td>
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<td>†</td>
<td>†</td>
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</tr>
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<td>1</td>
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</tr>
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<td>†</td>
<td>†</td>
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</tr>
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<td>1</td>
<td>1</td>
<td>9</td>
<td>2,3,4,5,6</td>
<td>†</td>
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<td>†</td>
<td>†</td>
<td>72</td>
</tr>
<tr>
<td>12..........1</td>
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<td>9</td>
<td>7,8,9</td>
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<td>†</td>
<td>†</td>
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</tr>
<tr>
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<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
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<td>†</td>
<td>65</td>
</tr>
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<td>17..........1</td>
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<td>†</td>
<td>0</td>
<td>2</td>
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<td>†</td>
<td>†</td>
<td>77</td>
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<tr>
<td>18..........1</td>
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<td>†</td>
<td>†</td>
<td>†</td>
<td>74</td>
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<td>5,6,7</td>
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<td>†</td>
<td>†</td>
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<td>†</td>
<td>56</td>
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<td>†</td>
<td>50</td>
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<td>2</td>
<td>†</td>
<td>†</td>
<td>8,9</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>41</td>
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<td>25..........1</td>
<td>3</td>
<td>1</td>
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<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>0,1,2,3,4,5,6</td>
</tr>
<tr>
<td>26..........1</td>
<td>3</td>
<td>1</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>7,8,9</td>
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<tr>
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<td>†</td>
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<td>†</td>
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<td>3</td>
<td>2</td>
<td>†</td>
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<td>29..........1</td>
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<td>2</td>
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<td>†</td>
<td>†</td>
<td>0,1,2,3</td>
</tr>
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<td>30..........1</td>
<td>3</td>
<td>2</td>
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<td>†</td>
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<td>†</td>
<td>4,5,6,7,8,9</td>
</tr>
<tr>
<td>31..........1</td>
<td>9</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
<td>†</td>
</tr>
</tbody>
</table>

† Not applicable.

1 The estimated unit response rate is the number of completed interviews divided by the sum of the number of completed interviews, nonresponses, and 27.9 percent of the unresolved telephone numbers, weighted by the probability of selection.

Category codes: Mailable Status: 1 = address obtained; 2 = address not obtained; 3 = address obtained but mailing was returned; 9 = address obtained but not mailable (key fields missing).

Answering Machine Message Status: 1 = at least one answering machine message left; 2 = no messages left.

Median Home Value: 0 = below the 10th percentile in sample, 1 = 10th to 19th percentile in sample, 2 = 20th to 29th percentile in sample, 3 = 30th to 39th percentile in sample, 4 = 40th to 49th percentile in sample, 5 = 50th to 59th percentile in sample, 6 = 60th to 69th percentile in sample, 7 = 70th to 79th percentile in sample, 8 = 80th to 89th percentile in sample, 9 = 90th percentile or higher.

Listed Status: 1 = listed residential; 2 = not listed.

Census Region: 1 = Northeast, 2 = Midwest, 3 = South, 4 = West.

Percent White, Percent Renters, Percent Owners: 0 = less than 10 percent, 1 = 10 to 19 percent, 2 = 20 to 29 percent, 3 = 30 to 39 percent, 4 = 40 to 49 percent, 5 = 50 to 59 percent, 6 = 60 to 69 percent, 7 = 70 to 79 percent, 8 = 80 to 89 percent, 9 = 90 percent or more.

Table 7-3. Control totals for poststratifying the NHES:2001 household-level weights: CPS:2001

<table>
<thead>
<tr>
<th>Census region</th>
<th>Children under 18 in household</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td></td>
<td>104,781,947</td>
</tr>
<tr>
<td>Northeast</td>
<td></td>
<td>13,123,145</td>
</tr>
<tr>
<td>Northeast</td>
<td>No</td>
<td>6,969,672</td>
</tr>
<tr>
<td>South</td>
<td>Yes</td>
<td>23,970,552</td>
</tr>
<tr>
<td>South</td>
<td>No</td>
<td>13,343,144</td>
</tr>
<tr>
<td>Midwest</td>
<td>Yes</td>
<td>15,639,333</td>
</tr>
<tr>
<td>Midwest</td>
<td>No</td>
<td>8,900,832</td>
</tr>
<tr>
<td>West</td>
<td>Yes</td>
<td>14,013,486</td>
</tr>
<tr>
<td>West</td>
<td>No</td>
<td>8,821,783</td>
</tr>
</tbody>
</table>


The household-level weight was used as the base weight for each of the person-level (ECPP, ASPA, and AELL interview) weights. The person-level weight for sampled person \( k \) in household \( j \), \( PW_{jk} \), is the product of the household weight and four weight adjustment factors:

1. the weight associated with sampling the person’s domain in the given household \( (A_{jk}) \);
2. the weight associated with sampling the person from among all eligible persons in the given domain in the household \( (B_{jk}) \);
3. the weight associated with extended interview (ECPP, ASPA, or AELL) nonresponse \( (C_k) \); and
4. the adjustment associated with raking the person-level weights to Census Bureau estimates of the number of persons in the target population \( (D_k) \).

The procedures for computing the person-level weight adjustments are described below.

1. The first step in developing the person-level weights was to account for the probability of sampling the person’s domain in the given household. Table 7-4 gives the weighting factors, \( A_{jk} \), used to adjust for the probability of sampling each child domain for the ECPP and ASPA surveys. For example, if there was one preschooler, one elementary school child (enrolled in kindergarten through 5th grade), and one middle school child (enrolled in 6th through 8th grade), then the preschooler and the middle school child were sampled with certainty, and the elementary school child was sampled with probability 0.5; the domain sampling adjustment factors for the preschooler and the middle school child were 1, and the factor for the elementary school child (if sampled) was 2.
Table 7-4. Weighting factors to account for domain sampling for children: NHES:2001

<table>
<thead>
<tr>
<th>Household composition (number of children)</th>
<th>Weight adjustment factor to account for domain sampling</th>
</tr>
</thead>
<tbody>
<tr>
<td>Middle schoolers</td>
<td>Elementary schoolers</td>
</tr>
<tr>
<td>-------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>0</td>
<td>1 or more</td>
</tr>
<tr>
<td>0</td>
<td>1 or more</td>
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<tr>
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<td>1 or more</td>
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<td>1 or more</td>
</tr>
<tr>
<td>1 or more</td>
<td>1 or more</td>
</tr>
</tbody>
</table>

† Indicates that factor is not applicable because there are no children in the domain in the household.

1 In households with exactly one elementary schooler and no other children, the child was selected with probability 0.7. In households with two or more elementary schoolers and no other children, one child was selected with probability 1.


Table 7-5 gives the weighting factors, $A_{1jk}$, used to account for the probability of sampling the adult domains for the AELL survey, based on the household composition. For example, if there were no eligible children in the household and there were two eligible adults—one adult with less than a high school diploma and one adult with a high school diploma or higher—then the adult with less than a high school diploma was sampled with probability 0.5625 and the adult with a high school diploma or higher was sampled with probability 0.1875. In such an example, if the adult with less than a high school diploma was sampled, then the weighting factor $A_{1jk}$ for that adult was 1.7778, which is the reciprocal of the probability of sampling the adult domain. If the adult with a high school diploma or higher was sampled, then the weighting factor $A_{1jk}$ was 5.3333.

As described above, based on the educational attainment of the adults in the household, an adult was sampled. Adults were then subsampled to attain desired sampling rates for domains defined by adult education participation status by educational attainment. For adults retained in the sample after this subsampling, a weighting factor, $A_{2jk}$, was assigned to account for this subsampling, as follows:

$$A_{2jk} = \begin{cases} 
1.0000 & \text{if the sampled adult is a participant with less than a high school diploma} \\
3.4771 & \text{if the sampled adult is a non-participant with less than a high school diploma} \\
1.1881 & \text{if the sampled adult is a participant with a high school diploma or higher} \\
1.7687 & \text{if the sampled adult is a non-participant with a high school diploma or higher}
\end{cases}$$
Table 7-5. Weighting factors to account for domain sampling for adults: NHES:2001

<table>
<thead>
<tr>
<th>Household composition</th>
<th>Weighting factor associated with domain sampling</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of adults in household, by educational attainment</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>0 .........................</td>
<td>0</td>
</tr>
<tr>
<td>0 .........................</td>
<td>1 or more</td>
</tr>
<tr>
<td>0 .........................</td>
<td>1 or more</td>
</tr>
<tr>
<td>1 or more................</td>
<td>0</td>
</tr>
<tr>
<td>1 or more................</td>
<td>1 or more</td>
</tr>
<tr>
<td>1 or more................</td>
<td>1 or more</td>
</tr>
</tbody>
</table>

† Indicates that factor is not applicable because there are no children in the domain in the household.


2. The second adjustment accounted for the probability of sampling person \( k \) from among all eligible persons in the given domain in household \( j \). For the ECPP and ASPA interviews, the adjustment is

\[ B_{jk} = N_{jk}, \]

where \( N_{jk} \) is the number of children in household \( j \) in the same sampling domain as child \( k \).

For the AELL interview, the adjustment in general is the same as that used for the ECPP and ASPA interviews; i.e., \( B_{jk} = N_{jk} \), where \( N_{jk} \) is the number of adults in household \( j \) in the same educational attainment sampling domain as adult \( k \). There is, however, one exception. In households with more than one adult with less than a high school diploma and no adults with a high school diploma or higher, it was possible to sample two adults. In such households, the weighting factor for this subsampling was

\[ B_{jk} = \frac{N_{jk}}{2}. \]

For each sampled person \( k \), the unadjusted person-level weight, \( UPW_{jk} \), can be written as the product of the household-level weight and the adjustments for within-household sampling. That is, for sampled child \( k \), the unadjusted person-level weight is

\[ UPW_{jk} = HHW_j \cdot A_{jk} \cdot B_{jk}. \]

For sampled adult \( k \), the unadjusted person-level weight is

\[ UPW_{jk} = HHW_j \cdot A_{jk} \cdot A_{2jk} \cdot B_{jk}. \]
3. The next step was to adjust for persons (most knowledgeable parents/guardians in the case of the ECPP and ASPA interviews, and the sampled adults themselves in the case of the AELL interview) who did not respond to the extended interview. Each extended interview case was classified as either a respondent (R) or a nonrespondent (NR), depending on whether or not the extended interview was completed for the sampled person. The unadjusted person-level weights (UPW) of the nonrespondents were distributed to the unadjusted person-level weights of the respondents within a nonresponse adjustment cell. For the ECPP and ASPA Interviews, the nonresponse adjustment cells were created using age/grade combinations: children age 0, children age 1, children age 2, unenrolled children ages 3 through 6, preschoolers (those enrolled in preschools, nursery schools, or other center-based programs), kindergartners, and children enrolled in each single grade for grade 1 through grade 8; enrolled children with no grade equivalent were included in the cell containing the modal grade for their age; that is, they were assigned to the grade in which most children their age are enrolled. (See tables 7-6 and 7-7 for lists of ECPP and ASPA nonresponse adjustment cells.)

### Table 7-6. Interview nonresponse adjustment cells: ECPP-NHES:2001

<table>
<thead>
<tr>
<th>Explanatory variables: Age or grade/equivalent from Screener</th>
<th>Number of respondents in cell</th>
<th>Unit response rate (percent)¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age 0 ...............................................................................................................</td>
<td>899</td>
<td>84.4</td>
</tr>
<tr>
<td>Age 1 ...............................................................................................................</td>
<td>1,150</td>
<td>85.6</td>
</tr>
<tr>
<td>Age 2 ...............................................................................................................</td>
<td>1,304</td>
<td>88.8</td>
</tr>
<tr>
<td>Unenrolled (ages 3 through 5) ...............................................................</td>
<td>1,494</td>
<td>86.8</td>
</tr>
<tr>
<td>Nursery school/prekindergarten .........................................................</td>
<td>1,910</td>
<td>86.6</td>
</tr>
</tbody>
</table>

¹ The unit response rate is the number of completed interviews divided by the sum of the number of completed interviews and nonresponses, weighted by the unadjusted person-level weight.


### Table 7-7. Interview nonresponse adjustment cells: ASPA-NHES:2001

<table>
<thead>
<tr>
<th>Explanatory variables: Age or grade/equivalent from Screener</th>
<th>Number of respondents in cell</th>
<th>Unit response rate (percent)¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kindergarten/transitional kindergarten/pre-1st grade ..........</td>
<td>762</td>
<td>84.9</td>
</tr>
<tr>
<td>1st grade or equivalent .........................................................</td>
<td>811</td>
<td>86.9</td>
</tr>
<tr>
<td>2nd grade or equivalent ............................................................</td>
<td>770</td>
<td>88.3</td>
</tr>
<tr>
<td>3rd grade or equivalent ............................................................</td>
<td>773</td>
<td>85.3</td>
</tr>
<tr>
<td>4th grade or equivalent ............................................................</td>
<td>880</td>
<td>85.9</td>
</tr>
<tr>
<td>5th grade or equivalent ............................................................</td>
<td>901</td>
<td>87.1</td>
</tr>
<tr>
<td>6th grade or equivalent ............................................................</td>
<td>1,560</td>
<td>85.4</td>
</tr>
<tr>
<td>7th grade or equivalent ............................................................</td>
<td>1,617</td>
<td>88.2</td>
</tr>
<tr>
<td>8th grade or equivalent ............................................................</td>
<td>1,501</td>
<td>85.2</td>
</tr>
</tbody>
</table>

¹ The unit response rate is the number of completed interviews divided by the sum of the number of completed interviews and nonresponses, weighted by the unadjusted person-level weight.

For the AELL interview, four variables were used to create the nonresponse adjustment cells. The first was the sex of the adult, the second was the adult education participation status of the adult (as reported by the Screener respondent), the third was an indicator of whether the sampled adult was the Screener respondent, and the fourth was the Census region. These variables were used because they are available for all sampled adults (both respondents and nonrespondents) and are associated with AELL interview response propensity. (See table 7-8 for a list of the AELL interview nonresponse adjustment cells.) The nonresponse adjustment factor, \( C_{k(c)} \), applied to each respondent \( k \) in adjustment cell \( c \) is

\[
C_{k(c)} = \frac{\sum_{h \in R_c \cap NR_c} UPW_h}{\sum_{h \in R_c} UPW_h}.
\]

Thus, for each sampled person \( k \), the nonresponse-adjusted person-level weight, \( NPW_{jk} \), can be written as

\[
NPW_{jk} = UPW_{jk} \cdot C_{k(c)}.
\]

Extreme weights may occasionally result when households or persons are sampled at very different rates. Additionally, the procedures used for nonresponse adjustment, poststratification, and raking may contribute to extreme weights. A few unexpectedly large sampling weights can seriously inflate the variance of the survey estimates. Thus, for a very small number of records, weight trimming procedures may be used to reduce the impact of such large weights on the estimates produced from the sample. Weight trimming refers to the process of artificially adjusting a few extreme weights (those that are unusually large relative to other weights for members of the same subgroup) to reduce their impact on the weighted estimates.\(^{44}\)

The variability in the nonresponse adjusted person-level weights was examined by population subgroups to determine whether trimming would be desired. For the ECPP and ASPA interview weights, the variability was not sufficient to justify trimming. For the AELL interview weights, the amount of variability in the weights was greater than desired due to the earlier stages of weighting. To reduce the variability in the final weights, the weights were trimmed prior to raking. The means of the nonresponse-adjusted AELL interview weights for adults sampled as participants and those sampled as nonparticipants were 13,564 and 20,938, respectively. In all, 10 weights were trimmed: for 2 persons sampled as adult education participants with nonresponse adjusted AELL weights in excess of 100,000; and for 8 persons sampled as adult education nonparticipants with nonresponse-adjusted AELL weights in excess of 150,000. The trimmed nonresponse-AELL interview weight is denoted \( NA^* \).

\(^{44}\)In some trimming procedures, the excess weight that is trimmed from cases with large weights is redistributed to the remaining cases. This redistribution step is not done in NHES because very few weights are trimmed and the excess is implicitly redistributed during the raking step.
Table 7-8. Interview nonresponse adjustment cells: AELL-NHES:2001

<table>
<thead>
<tr>
<th>Explanatory variables:</th>
<th>Number of respondents in cell</th>
<th>Unit response rate (percent)¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screener respondent/Northeast/adult education participant/female</td>
<td>404</td>
<td>90.9</td>
</tr>
<tr>
<td>Screener respondent/Northeast/adult education participant/male</td>
<td>228</td>
<td>88.3</td>
</tr>
<tr>
<td>Screener respondent/Northeast/adult education nonparticipant/female</td>
<td>417</td>
<td>85.9</td>
</tr>
<tr>
<td>Screener respondent/Northeast/adult education nonparticipant/male</td>
<td>270</td>
<td>81.0</td>
</tr>
<tr>
<td>Screener respondent/Midwest/adult education participant/female</td>
<td>469</td>
<td>92.3</td>
</tr>
<tr>
<td>Screener respondent/Midwest/adult education participant/male</td>
<td>255</td>
<td>90.2</td>
</tr>
<tr>
<td>Screener respondent/Midwest/adult education nonparticipant/female</td>
<td>537</td>
<td>87.4</td>
</tr>
<tr>
<td>Screener respondent/Midwest/adult education nonparticipant/male</td>
<td>305</td>
<td>86.0</td>
</tr>
<tr>
<td>Screener respondent/South/adult education participant/female</td>
<td>531</td>
<td>86.6</td>
</tr>
<tr>
<td>Screener respondent/South/adult education participant/male</td>
<td>344</td>
<td>87.5</td>
</tr>
<tr>
<td>Screener respondent/South/adult education nonparticipant/female</td>
<td>855</td>
<td>89.4</td>
</tr>
<tr>
<td>Screener respondent/South/adult education nonparticipant/male</td>
<td>434</td>
<td>87.8</td>
</tr>
<tr>
<td>Screener respondent/West/adult education participant/female</td>
<td>506</td>
<td>86.0</td>
</tr>
<tr>
<td>Screener respondent/West/adult education nonparticipant/female</td>
<td>302</td>
<td>88.8</td>
</tr>
<tr>
<td>Screener respondent/West/adult education nonparticipant/male</td>
<td>344</td>
<td>87.5</td>
</tr>
<tr>
<td>Not Screener respondent/Northeast/adult education participant/female</td>
<td>141</td>
<td>65.6</td>
</tr>
<tr>
<td>Not Screener respondent/Northeast/adult education participant/male</td>
<td>173</td>
<td>63.1</td>
</tr>
<tr>
<td>Not Screener respondent/Northeast/adult education nonparticipant/female</td>
<td>128</td>
<td>66.4</td>
</tr>
<tr>
<td>Not Screener respondent/Northeast/adult education nonparticipant/male</td>
<td>139</td>
<td>53.8</td>
</tr>
<tr>
<td>Not Screener respondent/Midwest/adult education participant/female</td>
<td>318</td>
<td>75.1</td>
</tr>
<tr>
<td>Not Screener respondent/Midwest/adult education participant/male</td>
<td>231</td>
<td>67.8</td>
</tr>
<tr>
<td>Not Screener respondent/Midwest/adult education nonparticipant/female</td>
<td>236</td>
<td>70.7</td>
</tr>
<tr>
<td>Not Screener respondent/Midwest/adult education nonparticipant/male</td>
<td>277</td>
<td>64.5</td>
</tr>
<tr>
<td>Not Screener respondent/South/adult education participant/female</td>
<td>191</td>
<td>77.6</td>
</tr>
<tr>
<td>Not Screener respondent/South/adult education nonparticipant/male</td>
<td>358</td>
<td>59.6</td>
</tr>
<tr>
<td>Not Screener respondent/West/adult education participant/female</td>
<td>211</td>
<td>72.4</td>
</tr>
<tr>
<td>Not Screener respondent/West/adult education participant/male</td>
<td>245</td>
<td>67.9</td>
</tr>
<tr>
<td>Not Screener respondent/West/adult education nonparticipant/female</td>
<td>155</td>
<td>65.0</td>
</tr>
<tr>
<td>Not Screener respondent/West/adult education nonparticipant/male</td>
<td>228</td>
<td>63.3</td>
</tr>
</tbody>
</table>

¹ The unit response rate is the number of completed interviews divided by the sum of the number of completed interviews and nonresponses, weighted by the unadjusted person-level weight.

4. The final stage of person-level weighting involved raking the nonresponse-adjusted person-level weights, \( NPW \) and \( NAW' \), to national control totals. Raking was proposed by Deming and Stephan (1940) as a way to ensure consistency between complete counts and sample data from the 1940 U.S. Census of population. The raking procedure typically improves the reliability of survey estimates, and also corrects for the bias due to households or persons not covered by the survey, e.g., households without telephones and households with unlisted telephone numbers belonging to zero-listed telephone banks. The raking procedure is carried out in a sequence of adjustments: first, the base weights are adjusted to one marginal distribution (or dimension) and then the second marginal distribution, and so on. One sequence of adjustments to the marginal distributions is known as a cycle or iteration. The procedure is repeated until convergence of weighted totals is achieved. (See Deming and Stephan 1940 for further details on raking and the convergence process.)

This additional raking adjustment, following the household-level poststratification adjustment, is required because the extended interviews involve new eligibility criteria and a new level of sampling. That is, although the household-level poststratification adjustment aligned the weighted totals of the household weights with the household level control totals, the raking of the person-level weights is required in order to align the person-level weights with the person-level control totals and adjust for differential coverage rates at the person level.

The raking procedure for the ECPP and ASPA interview weights involved raking the nonresponse-adjusted person-level weights to national totals obtained using the percentage distributions from the October 1999 CPS and the total number of children from the March 2000 CPS. The October 1999 CPS contains variables not available on the March 2000 CPS, but the totals in the latter are more current. In the procedure used in the NHES:2001, the control total for a raking cell is the proportion in that cell from the October 1999 CPS multiplied by the estimate of the total number of children from the March 2000 CPS. The three raking dimensions used for the ECPP and ASPA interview weights were a cross between race/ethnicity of the child (Black, non-Hispanic/Hispanic/other) and household income categories ($10,000 or less/$10,001–$25,000/$25,001 or more), a cross of Census region (Northeast/South/Midwest/West) and urbanicity (urban/rural), and a cross of home tenure (rent/own or other) and age or grade of child (with those enrolled in school but having no grade equivalent assigned to the modal grade for their age). These raking dimensions were used because they include important analysis variables (e.g., grade) and characteristics that have been shown to be associated with telephone coverage (e.g., race/ethnicity). Table 7-9 and 7-10 show the control totals used for raking the ECPP and ASPA interview weights.

<table>
<thead>
<tr>
<th>Characteristics used in raking</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td>20,281,225</td>
</tr>
<tr>
<td><strong>Race/ethnicity of child by household income</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Black, non-Hispanic</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less</td>
<td>903,941</td>
</tr>
<tr>
<td>$10,001-$25,000</td>
<td>786,749</td>
</tr>
<tr>
<td>$25,001 or more</td>
<td>1,299,255</td>
</tr>
<tr>
<td><strong>Hispanic</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less</td>
<td>585,259</td>
</tr>
<tr>
<td>$10,001-$25,000</td>
<td>1,361,729</td>
</tr>
<tr>
<td>$25,001 or more</td>
<td>1,747,611</td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less</td>
<td>789,577</td>
</tr>
<tr>
<td>$10,001-$25,000</td>
<td>1,999,918</td>
</tr>
<tr>
<td>$25,001 or more</td>
<td>10,807,186</td>
</tr>
<tr>
<td><strong>Census region(^1) by urbanicity</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Northeast</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>2,932,856</td>
</tr>
<tr>
<td>Rural</td>
<td>783,761</td>
</tr>
<tr>
<td><strong>South</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>4,674,758</td>
</tr>
<tr>
<td>Rural</td>
<td>2,135,003</td>
</tr>
<tr>
<td><strong>Midwest</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>3,488,476</td>
</tr>
<tr>
<td>Rural</td>
<td>1,378,273</td>
</tr>
<tr>
<td><strong>West</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>4,216,150</td>
</tr>
<tr>
<td>Rural</td>
<td>671,948</td>
</tr>
<tr>
<td><strong>Home tenure by age/grade of child</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Rent</strong></td>
<td></td>
</tr>
<tr>
<td>Age 0</td>
<td>1,515,009</td>
</tr>
<tr>
<td>Age 1</td>
<td>1,484,801</td>
</tr>
<tr>
<td>Age 2</td>
<td>1,582,170</td>
</tr>
<tr>
<td>Age 3–6, not enrolled</td>
<td>1,692,269</td>
</tr>
<tr>
<td>Nursery/Preschool/Head Start</td>
<td>1,417,237</td>
</tr>
<tr>
<td><strong>Own or other</strong></td>
<td></td>
</tr>
<tr>
<td>Age 0</td>
<td>2,352,826</td>
</tr>
<tr>
<td>Age 1</td>
<td>2,417,177</td>
</tr>
<tr>
<td>Age 2</td>
<td>2,348,363</td>
</tr>
<tr>
<td>Age 3–6, not enrolled</td>
<td>2,302,434</td>
</tr>
<tr>
<td>Nursery/Preschool/Head Start</td>
<td>3,168,939</td>
</tr>
</tbody>
</table>

\(^1\) The following states and the District of Columbia are in each Census region: Northeast: CT, MA, ME, NH, NJ, NY, PA, RI, VT; South: AL, AR, DC, DE, FL, GA, KY, LA, MD, MS, NC, OK, SC, TN, TX, VA, WV; Midwest: IA, IL, IN, KS, MI, MN, MO, ND, NE, OH, SD, WI; West: AK, AZ, CA, CO, HI, ID, MT, NV, NM, OR, UT, WA, WY.

### Table 7-10. Control totals for raking the ASPA-NHES:2001 person-level weights: CPS:1999 and CPS:2000

<table>
<thead>
<tr>
<th>Characteristics used in raking</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total ..................................................</td>
<td>36,679,001</td>
</tr>
</tbody>
</table>

#### Race/ethnicity of child by household income

<table>
<thead>
<tr>
<th>Race/ethnicity of child by household income</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Black, non-Hispanic</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less ..................................</td>
<td>1,254,638</td>
</tr>
<tr>
<td>$10,001-$25,000 ..................................</td>
<td>1,922,579</td>
</tr>
<tr>
<td>$25,001 or more ..................................</td>
<td>2,685,666</td>
</tr>
<tr>
<td><strong>Hispanic</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less ..................................</td>
<td>791,211</td>
</tr>
<tr>
<td>$10,001-$25,000 ..................................</td>
<td>2,094,365</td>
</tr>
<tr>
<td>$25,001 or more ..................................</td>
<td>2,857,845</td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td></td>
</tr>
<tr>
<td>$10,000 or less ..................................</td>
<td>1,189,588</td>
</tr>
<tr>
<td>$10,001-$25,000 ..................................</td>
<td>3,518,165</td>
</tr>
<tr>
<td>$25,001 or more ..................................</td>
<td>20,364,944</td>
</tr>
</tbody>
</table>

#### Census region and urbanicity

<table>
<thead>
<tr>
<th>Census region and urbanicity</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Northeast</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>5,304,128</td>
</tr>
<tr>
<td>Rural</td>
<td>1,417,447</td>
</tr>
<tr>
<td><strong>South</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>8,454,393</td>
</tr>
<tr>
<td>Rural</td>
<td>3,861,196</td>
</tr>
<tr>
<td><strong>Midwest</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>6,308,980</td>
</tr>
<tr>
<td>Rural</td>
<td>2,492,634</td>
</tr>
<tr>
<td><strong>West</strong></td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td>7,624,991</td>
</tr>
<tr>
<td>Rural</td>
<td>1,215,232</td>
</tr>
</tbody>
</table>

#### Home tenure by age/grade of child

<table>
<thead>
<tr>
<th>Home tenure by age/grade of child</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rent</strong></td>
<td></td>
</tr>
<tr>
<td>Transitional kindergarten/Kindergarten/Pre-1st grade</td>
<td>1,390,202</td>
</tr>
<tr>
<td>1st grade</td>
<td>1,431,051</td>
</tr>
<tr>
<td>2nd grade</td>
<td>1,327,395</td>
</tr>
<tr>
<td>3rd grade</td>
<td>1,344,591</td>
</tr>
<tr>
<td>4th grade</td>
<td>1,314,613</td>
</tr>
<tr>
<td>5th grade</td>
<td>1,306,471</td>
</tr>
<tr>
<td>6th grade</td>
<td>1,217,448</td>
</tr>
<tr>
<td>7th grade</td>
<td>1,117,932</td>
</tr>
<tr>
<td>8th grade</td>
<td>1,102,602</td>
</tr>
</tbody>
</table>

See notes at end of table.

<table>
<thead>
<tr>
<th>Characteristics used in raking</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Own or other</td>
<td></td>
</tr>
<tr>
<td>Transitional kindergarten/Kindergarten/Pre-1st grade</td>
<td>2,440,869</td>
</tr>
<tr>
<td>1st grade</td>
<td>2,902,274</td>
</tr>
<tr>
<td>2nd grade</td>
<td>2,606,563</td>
</tr>
<tr>
<td>3rd grade</td>
<td>2,998,054</td>
</tr>
<tr>
<td>4th grade</td>
<td>2,899,098</td>
</tr>
<tr>
<td>5th grade</td>
<td>2,848,472</td>
</tr>
<tr>
<td>6th grade</td>
<td>2,804,840</td>
</tr>
<tr>
<td>7th grade</td>
<td>2,767,142</td>
</tr>
<tr>
<td>8th grade</td>
<td>2,859,384</td>
</tr>
</tbody>
</table>

1 The following states and the District of Columbia are in each Census region: Northeast: CT, MA, ME, NH, NJ, NY, PA, RI, VT; South: AL, AR, DC, DE, FL, GA, KY, LA, MD, MS, NC, OK, SC, TN, TX, VA, WV; Midwest: IA, IL, IN, KS, MI, MN, MO, ND, NE, OH, SD, WI; West: AK, AZ, CA, CO, HI, ID, MT, NV, NM, OR, UT, WA, WY.


Once the procedures described above were completed, estimates were produced for the surveys. As a standard practice in the NHES, estimates are compared to other sources to assess the credibility of the NHES weights. One such comparison is a comparison of the age distribution from NHES to the CPS. When this comparison was done, a discrepancy was found in estimates of the number of 5-year-olds. The estimate of 3,525,163 from the NHES was considerably lower than the estimate of 4,037,191 from the CPS. Concerns about the discrepancy between the NHES:2001 and CPS estimates of the total number of 5-year-olds resulted in a detailed investigation into the reasons for this and an evaluation of alternative sets of raking dimensions. The first step in this investigation was to review the implementation of the weighting methodology. Although checks had been conducted at each stage of weighting, the procedures were reviewed again to ensure that they had been correctly computed and applied. No problems were found in the computation or application of the weighting adjustments.

The raking procedure was determined to be the probable step that led to the discrepancy since the previous weights, the nonresponse-adjusted person-level weights, did not exhibit the problem. Thus, an evaluation was undertaken in which three alternative sets of raking dimensions were considered (see exhibit 7-1). In each case, the first two dimensions (race/ethnicity by household income, and Census region by urbanicity) remained the same. In Alternative 1, the home tenure by age/grade dimension was replaced with two dimensions: single year of age (alone), and home tenure by grade. In Alternative 2, the home tenure by age/grade dimension was replaced with a single dimension: home tenure by single year of age.

In Alternative 3, the home tenure by age/grade dimension was replaced by the single dimension of home tenure crossed with grade by age category. For each grade, two age categories were created: (1) at or below modal age for the grade and (2) above modal age for the grade. Prior to classifying children into raking cells for this dimension, the age of the child was recalculated as of September 30, to match the reference age used in computing the control totals from the CPS.
Four separate but potentially related concerns addressed in this evaluation were:

- Differences in estimates of the number of kindergartners;
- Large number of iterations required for convergence of the raking algorithm;
- Inconsistent ages (CPS age is as of September 30, while the NHES age is as of December 31); and
- The effect of the interaction between age and grade in the raking procedure.

The study of the weighting procedures for the ECPP and ASPA surveys from the NHES:2001 was wide ranging and had several important findings. The weighting procedures in the NHES:2001 were executed correctly. The original weights converged to the specified control totals with a small number of iterations, and the variability of the weights was reasonable. The original weighting procedure resulted in estimates of the number of 5-year-olds that differed from the CPS estimate by about 15 percent (500,000 children). The distributions of age by grade for children as measured in the CPS and the NHES differ, and this is mainly due to the difference in the time that data are collected.

The Alternative 1 weights produced estimates that matched the CPS estimates by age and by grade, but exhibited greater variability than desired. In particular, the mean raked weight for children within a grade decreased as age increased. Another issue noted was the large number of iterations required for the raking procedure to converge. With Alternative 2, the raked NHES estimate of kindergarten enrollment was about 500,000 higher than the CPS estimate. In general, with the exception of estimates of enrollment by grade, the Alternative 3 weights produced estimates that differed more from the CPS estimates than those produced using the original weights. The additional research found that the CPS estimate of the number of kindergarten children is at the lower end of the range computed using several sources. No study of CPS procedures was undertaken, but the method of classifying a child as being enrolled in kindergarten may differ between the CPS and some of the other sources.

As a result of the findings of this study, it was decided that the original weights should be used for analysis of the ECPP-NHES:2001 and ASPA-NHES:2001 data. Each of the alternatives considered had shortcomings, and no alternative was clearly preferable to the original weights. Thus, only the weights computed using the original methodology appear on the data files.

Appendix K provides additional detail on the review of ECPP and ASPA weights.
Exhibit 7-1. Raking schemes used in the evaluation of child-level weights: NHES:2001

**Original**

Three raking dimensions:
- Race/ethnicity of the child by household income
- Census region by urbanicity
- Home tenure by age or grade of child (age 0; age 1; age 2; ages 3-6, not enrolled; nursery/preschool; kindergarten; single grade, for grades 1 through 8)

**Alternative 1**

Four raking dimensions:
- Race/ethnicity of the child by household income
- Census region by urbanicity
- Single year of age
- Home tenure by grade/enrollment of child (not enrolled; nursery/preschool; kindergarten; single grade, for grades 1 through 8)

**Alternative 2**

Three raking dimensions:
- Race/ethnicity of the child by household income
- Census region by urbanicity
- Home tenure by age of child (single year of age, for ages 0 through 15)

**Alternative 3**

Three raking dimensions:
- Race/ethnicity of the child by household income
- Census region by urbanicity
- Home tenure by grade/age classification of child. For each grade, two subclassifications were created: At or below modal age for the grade, and above modal age for the grade). Age was recalculate to age as of September 30, 2000, for comparability to the CPS.


---

In addition, a “deaged” version of Alternative 1 was considered, in which age was recalculated to age as of September 30, 2000, for comparability to the CPS. Results from this version were similar to those from Alternative 1.
For the AELL interview, the four dimensions for the raking cells were a cross of the
adult’s race/ethnicity (Black, non-Hispanic/Hispanic/other) and household income
($10,000 or less/$10,001-$25,000/$25,001 or more), a cross of age (16–29 years/30–49
years/50 years or more) and sex, a cross of Census region (Northeast/South/Midwest/
West) and urbanicity (urban/rural), and a cross of home tenure (rent/own or other) and
highest educational attainment (less than high school diploma/high school diploma or
equivalent/some college). These raking dimensions were used because they include
important analysis variables (e.g., educational attainment) and characteristics that have
been shown to be associated with telephone coverage (e.g., race/ethnicity).

The control totals for raking the AELL interview weights, shown in table 7-11, were
obtained from the March 2000 CPS. The raking iterations were continued until the
estimated totals were within 1 of all the control totals.

The final person-level weight for each sampled person $k$ is

$$PW_{jk} = NPW_{jk} \cdot D_{k(d)},$$

where $D_{k(d)}$ is the raking adjustment factor for raking cell $d$, where person $k$ has the
attributes corresponding to the levels of the dimensions of raking cell $d$. 
Table 7-11.  Control totals for raking the AELL-NHES:2001 person-level weights: CPS:2001

<table>
<thead>
<tr>
<th>Characteristics used in raking</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>198,802,843</td>
</tr>
</tbody>
</table>

### Race/ethnicity by household income

#### Black, non-Hispanic
- $10,000 or less: 3,613,624
- $10,001-$25,000: 5,979,160
- $25,001 or more: 12,593,627

#### Hispanic
- $10,000 or less: 2,577,983
- $10,001-$25,000: 6,595,603
- $25,001 or more: 12,363,290

#### Other
- $10,000 or less: 9,241,027
- $10,001-$25,000: 26,763,611
- $25,001 or more: 119,074,918

### Age by sex

#### 16–29 years
- Male: 20,715,422
- Female: 21,600,780

#### 30–49 years
- Male: 41,005,133
- Female: 42,618,407

#### 50 years or more
- Male: 33,234,159
- Female: 39,628,942

### Census region by urbanicity

#### Northeast
- Urban: 30,223,175
- Rural: 8,076,682

#### South
- Urban: 48,406,360
- Rural: 22,107,612

#### Midwest
- Urban: 32,690,941
- Rural: 12,915,964

#### West
- Urban: 38,281,068
- Rural: 6,101,041

See notes at end of table.
Table 7-11. Control totals for raking the AELL-NHES:2001 person-level weights: CPS:2001—Continued

<table>
<thead>
<tr>
<th>Characteristics used in raking</th>
<th>Control total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Home tenure by highest educational attainment</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Rent</strong></td>
<td></td>
</tr>
<tr>
<td>Less than high school diploma</td>
<td>12,578,690</td>
</tr>
<tr>
<td>High school diploma or equivalent</td>
<td>28,686,587</td>
</tr>
<tr>
<td>Some college</td>
<td>13,401,253</td>
</tr>
<tr>
<td><strong>Own or other</strong></td>
<td></td>
</tr>
<tr>
<td>Less than high school diploma</td>
<td>19,431,575</td>
</tr>
<tr>
<td>High school diploma or equivalent</td>
<td>76,837,457</td>
</tr>
<tr>
<td>Some college</td>
<td>47,867,281</td>
</tr>
</tbody>
</table>

1 The following states and the District of Columbia are in each Census region: Northeast: CT, MA, ME, NH, NJ, NY, PA, RI, VT; South: AL, AR, DC, DE, FL, GA, KY, LA, MD, MS, NC, OK, SC, TN, TX, VA, WV; Midwest: IA, IL, IN, KS, MI, MN, MO, ND, NE, OH, SD, WI; West: AK, AZ, CA, CO, HI, ID, MT, NV, NM, OR, UT, WA, WY.

Methods for Computing Sampling Errors

In surveys with complex sample designs, such as the NHES:2001, direct estimates of the sampling errors assuming a simple random sample will typically underestimate the variability in the estimates. The NHES:2001 sample design and estimation included procedures that deviate from the assumption of simple random sampling, such as oversampling in areas with higher concentrations of minorities, sampling persons within households with differential probabilities, and raking to control totals.

Replication Sampling Errors

One method for computing sampling errors to reflect these aspects of the sample design and estimation is the replication method. Replication involves splitting the entire sample into a set of groups or replicates based on the actual sample design of the survey. The survey estimates can then be computed for each of the replicates by creating replicate weights that mimic the actual sample design and estimation procedures used in the full sample. The variation in the estimates computed from the replicate weights can then be used to estimate the sampling errors of the estimates from the full sample.

A total of 80 replicates were defined for the NHES:2001 based on the sampling of telephone numbers. This number was chosen to provide reliable estimates of sampling errors with reasonable data processing costs. The specific replication procedure used for the NHES:2001 was a jackknife replication method (Wolter 1985). It involved dividing the sample into 80 random subsamples (replicates) for the computation of the replicate weights. The 80 replicates were formed based on the minority status and listed stratum, and the sampling order of the telephone numbers. In each replicate, a replicate weight was developed using the same weighting procedures that were used to develop the full sample weight.

The jackknife variance estimator has the form

$$\psi(\hat{\theta}) = \frac{G-1}{G} \sum_{k=1}^{G} (\hat{\theta}(k) - \hat{\theta})^2,$$

where $\theta$ is the population parameter of interest; $\hat{\theta}$ is the estimate of $\theta$ based on the full sample; $\hat{\theta}(k)$ is the estimate of $\theta$ based on the observations included in the $k$th replicate; and $G$ is the total number of replicates. (For the NHES:2001, $G = 80$.)
Replicate weights were created for each of the NHES:2001 surveys: the ECPP, the ASPA, and the AELL. In order to appropriately reflect the two-phase sampling of telephone numbers, the final replicate base weights were computed in two steps, using the approach described in Kim, Navarro, and Fuller (2000). The procedures for forming the replicate weights for each of these surveys are described below. For further details about the replication methodology used to reflect the two-phase sampling, refer to Kim, Navarro, and Fuller (2000).

1. The 206,182 sampled telephone numbers in the phase 1 sample were divided into the two minority strata used for the first phase of sampling. Within each of the two strata, the telephone numbers were sorted in the same order as that used in the selection of the phase 1 sample.

2. Eighty replicates were formed using all 206,182 telephone numbers. This was done by assigning the 1st, 81st, 161st, … telephone numbers in the list to replicate 1; the 2nd, 82nd, 162nd,… telephone numbers in the list to replicate 2; …; and the 80th, 160th, 240th,… telephone numbers in the list to replicate 80. Thus, there were 2,577 telephone numbers assigned to each of 58 replicates and 2,578 telephone numbers assigned to each of the remaining 22 replicates. Due to the subsampling used in the second phase of selection and to differences in residency and unit response rates among replicates, however, there is more variation in the number of units per replicate having positive final household weights.

3. The telephone numbers for residential households were then assigned 80 weight variables (REPL1 through REPL80) using the following procedures. The replicate phase 1 base weights were assigned to all 206,182 telephone numbers by multiplying the full-sample base weight by either zero or 80/79. This procedure is the standard jackknife method of dropping one unit (in this case, a group of residential households with the same replicate number) and weighting up the remaining units to account for the dropped unit. For example, to construct replicate 1 base weights, a replicate base weight of 0 is assigned to residential households from REPL1, and the base weights of all residential households in REPL2 through REPL80 are multiplied by a factor of 80/79. Next, the phase 2 sample (the 179,211 telephone numbers that were fielded) was assigned a final base weight by applying an adjustment for subsampling to the replicate phase 1 base weights within each of the phase 2 strata. Specifically, within each phase 2 stratum, the adjustment weights up the replicate base weights of phase 2 units to the total of the replicate base weights of the phase 1 units.

4. Using the exact same weighting procedures described earlier in this chapter for each of the sets of full sample weights, the other adjustments (i.e., sampling adjustments, nonresponse adjustments, and raking adjustments) were applied to every replicate phase 2 base weight for completed interviews. In other words, the weighting steps were applied 80 times.

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46 These steps do not include adjustments to take into account the effect of imputation on the variance of estimates. See chapter 6 for a discussion of this issue.
5. The difference in the methods used for the full sample and for the replicate weights was that the raking iterations were stopped when the replicate weights converged to within 10 of the control totals rather than 1, which was used in the full sample weighting.

These replicate weights are included in the ECPP file as FEWT1 through FEWT80. In the ASPA file, they are FSWT1 through FSWT80, and in the AELL file, they are FAWT1 through FAWT80. The replication procedure for the NHES:2001 surveys involves the calculation of 81 estimates, including an estimate using the full sample weight and estimates using each of the 80 replicate weights. The variation in the estimates computed from the replicate weights can then be used to estimate the sampling errors of the estimates from the full sample. The computation of the sampling errors using these replicate weights can be done easily using the Windows-based software package WesVar Complex Samples Software; the replication method should be specified as JK1. The current version of WesVar Complex Samples (version 4) is available from Westat. Information can be obtained at http://www.westat.com/wesvar. A previous version of WesVarPC (version 2.12) is available free of charge at that Web site or by sending an e-mail message to wesvar@westat.com. Please note that version 2.12 of WesVarPC is no longer being updated or revised.

Taylor Series Approximation

Another approach to the valid estimation of sampling errors for complex sample designs is to use a Taylor series approximation to compute sampling errors. To produce standard errors using a Taylor series program, such as SUDAAN (Shah et al. 1995), two variables are required to identify the stratum and the primary sampling unit (PSU). The stratum-level variable is the indicator of the variance estimation stratum from which the unit (telephone number or sampled person) was selected. The PSU is an arbitrary numeric identification number for the unit within the stratum. For the NHES:2001, the stratum variable signifies the minority stratum used in the first phase of sampling; the PSU variable was assigned sequentially based on the selection order of the telephone number within the minority stratum. Software packages that use Taylor series linearization for variance estimation, such as SUDAAN, do not currently have the capability to compute variance estimates that reflect the effect two-phase sampling has on the precision of the estimates.

The PSU and stratum variables appear on each of the extended interview files. On the ECPP file, the PSU and stratum variables are called EPSU and ESTRATUM; on the ASPA file, they are SPSU and SSTRATUM; and on the AELL file, they are APSU and ASTRATUM. These variables can be used in SUDAAN to produce standard errors by specifying that the design is a “with replacement” sample (DESIGN = WR) and that the sampling levels are given by the appropriate stratum and PSU variables.
For example, for estimates from the ASPA interview file, use SSTRATUM SPSU in the NEST statement. (Information on obtaining SUDAAN can be found at http://www.rti.org/sudaan.)

STATA, another software package that uses Taylor series methods, also uses the PSU and stratum variables to define the units needed for computation. (Information on obtaining STATA is available at http://www.stata.com.) To specify the stratum, PSU and weight variables in STATA use the svyset strata, svyset psu, and svyset pweight commands. For example, for estimates from the ASPA interview file, use the following commands to specify these design parameters:

```
svyset strata sstratum
svyset psu spsu
svyset pweight fswt
```

Data users should be aware that the use of different approaches or software packages in the calculation of standard errors may result in slightly different standard errors. Estimates of standard errors computed using the replication method and the Taylor series method are nearly always very similar, but not identical. For a discussion of this issue see Broene and Rust (2000).

**Approximate Sampling Errors**

Although calculating the sampling errors using the methods described above is recommended for many applications, simple approximations of the sampling errors may be valuable for some purposes. One such approximation is discussed below.

Most statistical software packages compute standard errors of the estimates based upon simple random sampling assumptions. The standard error from this type of statistical software can be adjusted for the complexity of the sample design to approximate the standard error of the estimate under the actual sample design used in the survey. For example, the variance of an estimated proportion in a simple random sample is the estimated proportion ($p$) times its complement ($l-p$) divided by the sample size ($n$). The standard error is the square root of this quantity. This estimate can be adjusted to more closely approximate the standard error for the estimates from the NHES:2001.

A simple approximation of the impact of the sample design on the standard errors of the estimates that has proved useful in previous NHES surveys and in many other surveys is to adjust the
simple random sample standard error estimate by the root design effect (DEFT). The DEFT is the ratio of
the standard error of the estimate computed using the replication method discussed above to the standard
error of the estimate under the assumptions of simple random sampling. An average DEFT is computed
by estimating the DEFT for a number of estimates and then averaging. A standard error for an estimate
can then be approximated by multiplying the simple random sample standard error estimate by the mean
DEFT.

In complex sample designs, like the NHES:2001, the DEFT is typically greater than 1 due to
the clustering of the sample and the differential weights attached to the observations. In the NHES:2001
both of these factors contributed to making the average DEFT greater than 1.

The average DEFT computed for estimates in the three interviews in the NHES:2001 ranged
from 1.2 to 1.4. For the ECPP file estimates, the average DEFT was 1.2 overall. For estimates by path of
child (infant or preschooler), the average DEFT was also 1.2. For estimates by race/ethnicity, the average
DEFT was 1.2 for Hispanics and for White, non-Hispanics and was 1.3 for Black, non-Hispanics.
Therefore, a DEFT of 1.2 is recommended to approximate the standard error of overall estimates in the
ECPP interview file. For estimates by race/ethnicity, a DEFT of 1.2 is also recommended, with the
exception of estimates of characteristics of Black, non-Hispanic children; for this subgroup, a DEFT of 1.3
is recommended.

The average DEFT for estimates from the ASPA file was 1.3. For estimates by path of
student (grades kindergarten through 8 or homeschoolers), the average DEFT was also 1.3. For estimates
by race/ethnicity, the average DEFT was 1.3 for Hispanics and for White, non-Hispanics and was 1.4 for
Black, non-Hispanics. Therefore, a DEFT of 1.3 is recommended to approximate the standard error of
overall estimates in the ASPA interview file. For estimates by race/ethnicity, a DEFT of 1.3 is also
recommended, with the exception of estimates of characteristics of Black, non-Hispanic children; for this
subgroup, a DEFT of 1.4 is recommended.

For estimates from the AELL file, the average DEFT is 1.3, and this did not vary for
estimates by race/ethnicity, adult education participation status, or educational attainment. Therefore, a
DEFT of 1.3 is recommended to approximate the standard error of estimates from the AELL interview
file.

As stated above, the average DEFT can be used to approximate the standard error for an
estimate. An example of how to do this on a percent estimate is as follows. If a weighted estimate of 46
percent is obtained for some characteristic in the AELL file (suppose that 46 percent of adults participated in adult education activities, excluding full-time credential programs), then an approximate standard error can be developed in a few steps. First, obtain the simple random sample standard error for the estimate using the weighted estimate in the numerator and the unweighted sample size in the denominator: the standard error for this 46 percent statistic would be 0.48 percent (the square root of \(\frac{46 \times 54}{10,873}\), where the weighted estimate \(p\) is 46 percent, 54 is 100 minus the estimated percent \(1-p\), and the unweighted sample size \(n\) is 10,873). The approximate standard error of the estimate from the NHES:2001 is this quantity (the simple random sample standard error) multiplied by the DEFT for the AELL file estimates of 1.3. In this example, the estimated standard error would be 0.62 percent (1.3 x 0.48 percent).

The approximate standard error for a mean can be developed using a related procedure. The three steps required to do so are demonstrated using an example from the ASPA file. First, the mean is estimated using the full sample weight and a standard statistical package like SAS or SPSS. Second, the simple random sample standard error is obtained through a similar, but unweighted, analysis. Third, the standard error from the unweighted analysis is multiplied by the mean DEFT for the ASPA file estimates of 1.3 to approximate the standard error of the estimate under the NHES:2001 design. For example, suppose the average total number of hours per week students in grades kindergarten through 8 spend in nonparental care arrangements or programs is 4.2 hours and the simple random sampling standard error (unweighted) is 0.08 hours. Then, the approximate standard error for the estimate would be 0.10 hours (0.08 hours x 1.3).

Users who wish to adjust the standard errors for estimates of parameters in regression models should follow a procedure similar to that discussed for means, above. Specifically, the estimates of the parameter in the model can be estimated using a weighted analysis in a standard statistical software package such as SAS or SPSS. A similar, but unweighted, analysis will provide the simple random sample standard errors for these parameter estimates. The standard errors can then be multiplied by the DEFT to arrive at the adjusted standard error for the NHES:2001 design. For example, if a given parameter in a model involving items from the ECPP file has a weighted estimate of 2.33 and a simple random sample standard error of 0.45, then the adjusted standard error would be 1.2 x 0.45 = 0.54.

Alternatively, the final weight can be adjusted to reflect the DEFT before the parameter estimates are calculated in a standard statistical software package such as SAS or SPSS. To do this, first sum the values of the final weights for the sample of interest. For instance, for an analysis of all infants and preschoolers, sum the final weights for all 6,749 cases on the ECPP file. Next, divide this sum by the
number of cases to generate an average final weight. (In the above example, the number of cases is 6,749). Multiply the average final weight by the square of the DEFT for the population of interest. (In the above example, the average final weight would be multiplied by the square of 1.2, or 1.44.) Divide the final weight by the adjusted average weight and save the quotient as a new final weight. (In the above example, the new final weight is equal to the final weight divided by the product of 1.44 and the average final weight.) Weight the analysis by this new final weight. The standard errors generated in the analysis will approximate the standard errors correctly adjusted for design effects.

Direct computation of the standard errors is always recommended. It is particularly important when the statistical significance of statements would be affected by small differences in the estimated standard errors.
Weighting and Variance Estimation

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