



February 22, 2019

MEMORANDUM

To: Robert Siviniski, OMB
From: Sarah Grady, NCES
Through: Kashka Kubzdela, NCES
RE: National Household Education Survey 2019 (NHES:2019) Observation Instrument Change Request (OMB# 1850-0768 v.18)

The National Household Education Survey (NHES) is a data collection program of the National Center for Education Statistics (NCES) designed to provide descriptive data on the education activities of the U.S. population, with an emphasis on topics that are appropriate for household surveys rather than institutional surveys. Such topics have covered a wide range of issues, including early childhood care and education, children's readiness for school, parents' perceptions of school safety and discipline, before- and after-school activities of school-age children, participation in adult and career education, parents' involvement in their children's education, school choice, homeschooling, and civic involvement. NHES:2019 will use mail and web data collection modes and will field two surveys: The Early Childhood Program Participation survey (ECP) and the Parent and Family Involvement in Education survey (PFI).

The request to conduct the NHES:2019 full scale data collection, from December 2018 through September 2019, in conjunction with an In-Person Study of Nonresponding Households designed to provide insight about nonresponse that can help plan future survey administrations, was approved in September 2018 with the latest update approved in November 2018 (OMB# 1850-0768 v.14-17). This request is to make a revision to the observation instrument that will be completed by NHES study staff as part of the enhanced address observation protocol of the In-Person Study of Nonresponding Households.

These changes do not affect the estimated response burden or the total cost to the federal government for NHES:2019.

The observation instrument is provided on pages 60-62 of Appendix 4 and includes minor revisions from what has been approved, which we made as a result of additional expert review, as well as further development of the observations analysis plan. To facilitate OMB's review of this change request, the revisions made are reflected in red font below. Minor editorial and formatting edits are not individually listed but are reflected in red text in the excerpt from Appendix 4 below.

General revisions made to the instrument include:

- changing all instances of the "Unsure" response option to "Could not determine";
- adding additional places to record descriptive information for specific answer options (e.g., why they choose "Other" or "Could not determine") and to explain observers' response option decision; and
- reordering items to improve the flow of the instrument.

Item-specific revisions include:

- Introduction: We removed the definition of Block Face and the associated picture, given that neither is referred to in the remainder of the instrument.
- General Information: We added two ID variables for recording an observer ID, a case ID, and additional instructions for taking photographs of the sample unit.
- Q1(formally no number): We added a “no” response options for observers to report more specifically why an address wasn’t observed or why only a partial observation could be conducted.
- Q2 (NEW):
 - We added a write-in item for observers to explain why they were not able to observe the sample unit.
 - We also altered the skip pattern after Q2 (based on responses to Q1) to allow for capture of a subset of the information when a full observation was not possible.
- Q3 (formerly Q1):
 - We revised the language in the stem to include “or the building within which the sample unit resides” to mirror the definition included in the introduction.
 - We removed the response option “Housing unit over commercial storefront” because we thought this would be rare in the field and may be confused with a low-rise apartment building that has commercial space on the ground floor.
 - We added “please describe” text boxes for observers to provide descriptive information about why they selected the “Other” or “Could not determine” response options.
 - We added a new skip pattern after Q3 to skip all non-residential sample units out of nonapplicable items.
- Q4 (formerly Q2):
 - We changed, “household” to “sample unit” to mirror the definition included in the introduction.
 - We added response option “Temporarily vacant address” to capture addresses that are currently for sale or rent and could eventually be occupied.
 - We removed the response option “Not a housing unit” as only housing units will receive this item.
 - We added a text box for observers to provide descriptive information about why they chose a specific occupancy status.
 - We added a new skip pattern after Q4 to exclude permanently vacant addresses from

nonapplicable items.

- Q5 (formerly Q4):
 - We changed “household” to “sample unit” to mirror the definition included in the introduction.
 - We adjusted the language for the response option “No mailbox in view” category to include mail slots.
 - We added a “More than one way” response option to capture information about addresses that receive their mail multiple ways.
 - We added a “please describe” text box for observers to provide descriptive information about why they selected the “More than one way”, “Other”, or “Could not determine” response options.
 - We added a new skip pattern after Q5 (based on responses to Q1 and Q4) to allow observers who can observe the exterior of a multi-unit building but not the sample unit within it and temporarily vacant addresses to skip out of nonapplicable items.
- Q6 (formerly Q3):
 - We adjusted the age range from “children 15 or under” to “children 18 or under” to capture a larger age range of children that is more in line with the target population for the NHES.
 - We removed the individual text boxes from the individual “Yes” and “Could not determine” response options and added a single “please describe” item to capture descriptive information about the observers’ decision in one place, regardless of answer choice.
- Q7 (formerly Q6):
 - We changed “household” to “sample unit” to mirror the definition included in the introduction.
 - We added a subitem to capture if there is any indication that the sample unit may use a language other than English.
- Q8 (formerly Q5):
 - We adjusted the question stem to better align with the response options.
 - We added a “please describe” text box.
- Q9 (formerly Q7): We added text to clarify that observers should also describe the neighborhood.

Below is the observation instrument edited in red font to show the changes that were made from the instrument that was approved prior.

Appendix 4: B.3. – In-Person Study of NHES:2019 Nonresponding Households: Observation Instrument

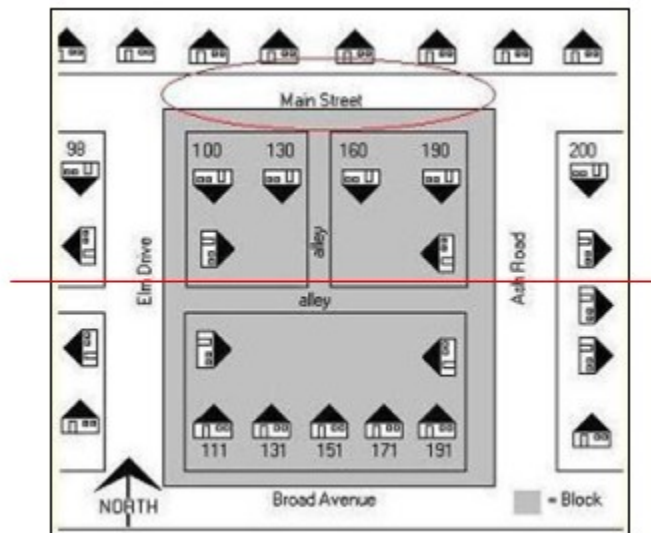
Please complete the observation protocol below. Record all observations as unobtrusively as possible. If necessary, you may explain the purpose of your observations if you are asked by any individual in the neighborhood, including anyone from the sampled household.

DEFINITIONS

What do we mean by the sample unit OR the building within which the sample unit resides? Here we are making a distinction between:

- a sample unit that we might call a single occupancy dwelling unit (a single residential structure that stands alone) and
- a multi-unit structure where the sample unit resides in a building that houses other units.

~~The **BLOCK FACE** is both sides of the street along one side of the block (the side in which the sample unit is located as indicated in the illustration below). The block face can be much more difficult to determine in rural areas. If the boundaries of a block face are not obvious, do the following: 1) Face the sample unit/building, 2) Look left and then right, and 3) Turn 180 degrees, look left and then right – that is the block face.~~



GENERAL INFORMATION

Date of observation: _____

Time of day: _____:_____ AM / PM

Observer ID: _____

Nonresponse Study Case ID: _____

[Take *at least one photo* two or three photos of the address you are going to observe. Photos should be taken from the front of the address, if possible. *Photos should include the entire structure, if possible. They should be taken in landscape but can be taken in portrait orientation when needed (e.g., for tall buildings).* Photos should only be taken from public spaces such as the street, and will not be taken while on someone's private property.]

OBSERVABILITY

1. Are you able to observe the sample unit?

- Yes ~~[CONTINUE TO QUESTION 1]~~
- No, cannot locate the address
- No, can observe the multi-unit building but cannot gain entry to observe the unit
- No, cannot gain sufficient access to observe the building

550 12th Street, S.W., Washington, DC 20202

Our mission is to ensure equal access to education and to promote educational excellence throughout the Nation.

- No, other reason

[IF Q1 = YES, SKIP TO QUESTION 3; OTHERWISE, CONTINUE.]

~~o~~ No, why not? _____

2. Please explain why you are not able to observe the sample unit.

END OBSERVATION[IF Q1 = NO, CANNOT LOCATE THE ADDRESS, OR NO, OTHER REASON, GO TO Q9; IF Q1 = NO, CANNOT GAIN SUFFICIENT ACCESS TO OBSERVE THE BUILDING, GO TO Q8; OTHERWISE, CONTINUE.]

STRUCTURE TYPE

43. Select the option that best describes the sample unit **or the building within which the sample unit resides**:

- Single occupancy dwelling unit (one household in a single residential structure that stands alone)
- Duplex (two-household structures attached together, but with separate entrances)
- Townhouse/~~R~~rowhouse (3 or more household structures attached together, but with separate entrances)
- Low-rise apartment or condominium buildings (1-3 floors)
- Mid-rise apartment or condominium buildings (4-6 floors)
- High-rise apartment or condominium buildings (7+ floors)
- Housing unit over a commercial storefront**
- Commercial business
- Vacant lot
- Other non-residential
- Other – please describe:

- ~~Unsure~~Could not determine – please describe:

[IF Q3 = COMMERCIAL BUSINESS, VACANT LOT, OR OTHER NON-RESIDENTIAL, SKIP TO Q9; OTHERWISE, CONTINUE.]

HOUSEHOLD RESIDENTIAL OCCUPANCY STATUS

24. Based on your observation, indicate whether the ~~household~~sample unit is an/a:

- Currently occupied address (e.g., car in the driveway, toys/chairs/yard tools outside the house, lights on inside the home)
- Seasonal address, no current occupants (e.g., resort area, ~~and~~ no evidence of current occupants)
- Temporarily vacant address (e.g., for sale/rent sign/lock box and no evidence of current occupants)**
- Permanently vacant address (e.g., windows/doors boarded up, condemned notice/unlivable conditions, currently under construction)
- Not a housing unit (e.g. commercial, vacant lot)**
- Other: _____
- ~~Unsure~~Could not determine

Please ~~Do~~ describe what aspects of the address made you decide on the specific occupancy status above.

[IF Q4 = PERMANENTLY VACANT ADDRESS, SKIP TO Q8; OTHERWISE, CONTINUE.]

MAIL ACCESS

45. Based on your observation, how does this sample unit receive mail?

- Mail slot
- Mailbox attached to their home
- Mailbox at the end of a driveway
- Mailbox across the street/at the end of the road
- Mailbox, slot, or room in the multi-unit building
- More than one way - please describe: _____
- No mailbox or slot in view
- Other – please describe: _____
- ~~Unsure~~ Could not determine – please describe: _____

[IF Q1= NO, CAN OBSERVE THE MULTI-UNIT BUILDING BUT CANNOT GAIN ENTRY TO OBSERVE THE UNIT OR IF Q4 = TEMPORARILY VACANT ADDRESS, SKIP TO Q8; OTHERWISE, CONTINUE.]

HOUSEHOLD MEMBER ELIGIBILITY FOR NHES TOPICALS

36. Based on your observation of the sample unit or building within which the sample unit resides, is there any indication that children 1518 or under (including babies) may live ~~in the sample unit~~ IN THE SAMPLE UNIT (e.g., visible toys, bikes, basketball hoop, sports equipment, car seats, strollers, chalk, outdoor swing/play set, bumper sticker or car window sticker, child finder sticker for firefighters, etc.)?

- Yes ~~What?~~ _____
- No
- ~~Unsure What?~~ Could not determine _____

Please describe what aspects of the address made you decide whether or not children live in the sample unit.

HOUSEHOLD ATTRIBUTES

67. Are there any unique attributes or decorations (e.g., flags, wreaths, bumper stickers, signs) on or around the ~~household~~ sample unit that indicate -- ~~highlight what is important to this household...~~ *If yes, write them down.*

Pride in education (e.g., honor roll bumper stickers, university/college flags or decor) Yes No
What? _____

Community involvement (e.g., political candidate signs, indicators of being involved with charities, kids sports/clubs, neighborhood associations) Yes No
What? _____

Patriotism (e.g., American flag, state flag) Yes No
What? _____

Privacy (e.g., security camera, no loitering sign, household alarm sign, locked gate?) Yes No
What? _____

A language other than English (e.g., signs or bumper stickers in another language)

Yes No

What language? _____

What indicators? _____

Anything else?

Yes No

What? _____

HOUSEHOLD INCOME

58. Relative to the general population and based on your observations, would you judge this sample unit's ~~to have a household income in any of the following to be...~~ Use visual cues of the conditions of the house/building; number, make, and age of cars at the residence; and knowledge of the neighborhood/environment.

- In the bottom third of the population
- In the middle third of the population
- In the top third of the population
- ~~Don't Know/Unsure~~ Could not determine

Please describe what aspects of the address made you decide on the specific household income level above.

79. Provide a general description of the unit **and the surrounding neighborhood**, commenting only on things that have not already been noted in the questions above (e.g., building entry requirements, condition of address/neighborhood, objects around the address, visible people, other building types in the neighborhood):
