

**SUCCESSFUL AGING POLL 2016  
WEST HEALTH INSTITUTE**

**AMERISPEAK FIELD REPORT**

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## STUDY INTRODUCTION

NORC conducted the Successful Aging Poll on behalf of the West Health Institute using NORC's AmeriSpeak® Panel for the sample source. The main focus of the research was to target and survey the portion of the adult U.S. population age 30 to 89 regarding issues on successful aging to better understand the changing perceptions of people as they age from their thirties to forties, fifties to sixties, and seventies to eighties.

This study was offered in English and Spanish on both the phone and web.

This AmeriSpeak Field Report supplements the information provided in the *NORC Card*, which provides an in-depth profile of sample quality metrics for the study, the data collection field period, interview sample size, response rate statistics, the design effect, and sampling margins of error, among other statistics. Please refer to the NORC Card for information useful for compliance with the AAPOR Transparency Initiative, in addition to information provided in this AmeriSpeak Field Report.

For more detailed information on the AmeriSpeak panel recruitment and management methodology, please see the Appendix ("Technical Notes on AmeriSpeak Methodology") attached to this AmeriSpeak Field Report.

## STUDY-SPECIFIC DETAILS

### Sampling

A general population sample of U.S. adults age 30 to 89 was selected from NORC's AmeriSpeak Panel for this study.

The sample for a specific study is selected from the AmeriSpeak Panel using sampling strata based on age, race/ethnicity, education, and gender (48 strata in total). The size of the selected sample per sampling stratum is determined by the population distribution for each stratum. In addition, sample selection takes into account expected differential survey completion rates by demographic groups so that the set of panel members with a completed interview for a study is a representative sample of the target population. If panel household has one more than one active adult panel member, only one adult in the household is eligible for selection (random within-household sampling). Panelists selected for an AmeriSpeak study earlier in the business week are not eligible for sample selection until the following business week.

For technical information about the AmeriSpeak Panel, including recruitment process and panel management policies, please see the Appendix.

### Field

A small sample of [English-speaking / English- and Spanish-speaking] AmeriSpeak web-mode panelists were invited on August 19<sup>th</sup> for a pretest. In total, NORC collected 52 pretest interviews. The initial data from the pretest was reviewed by NORC and a delivered to the West Health Institute.

Minimal text changes were made before fielding the Main survey to collect the target 3,000 interviews.

Please see NORC Card for field period, sample sizes, and the AAPOR response rate documentation.

### Gaining Cooperation of AmeriSpeak Panelists for the Study

To encourage study cooperation, NORC sent email reminders to sampled web-mode panelists on the following dates:

- Tuesday, September 27<sup>th</sup>

- Monday, October 3<sup>rd</sup>
- Friday, October 7<sup>th</sup>
- Wednesday, October 12<sup>th</sup>
- Tuesday, October 18<sup>th</sup>
- Thursday, October 20<sup>th</sup>

To administer the phone-survey, NORC dialed the sampled phone-mode panelists throughout the field period. In addition, starting on Monday, October 17<sup>th</sup>, AmeriSpeak web-mode panelists for whom AmeriSpeak had a phone number were also called to encourage response. These web panelists were allowed to complete the survey via phone if convenient.

Panelists were offered the cash equivalent of \$3 for completing the survey.

### Data processing

NORC prepared a fully labeled data file of respondent survey data and demographic data for the West Health Institute.

### Statistical Weighting

Statistical weights for the eligible respondents were calculated using panel base weights to start. Panel base sampling weights for all sampled housing units are computed as the inverse of probability of selection from the NORC National Frame (the sampling frame that is used to sample housing units for AmeriSpeak) or address-based sample. The sample design and recruitment protocol for the AmeriSpeak Panel involves subsampling of initial non-respondent housing units. These subsampled non-respondent housing units are selected for an in-person follow-up. The subsample of housing units that are selected for the nonresponse follow-up (NRFU) have their panel base sampling weights inflated by the inverse of the subsampling rate. The base sampling weights are further adjusted to account for unknown eligibility and nonresponse among eligible housing units. The household-level nonresponse adjusted weights are then post-stratified to external counts for number of households obtained from the Current Population Survey. Then, these household-level post-stratified weights are assigned to each eligible adult in every recruited household. Furthermore, a person-level nonresponse adjustment accounts for nonresponding adults within a recruited household.

Finally, panel weights are raked to external population totals associated with age, sex, education, race/ethnicity, housing tenure, telephone status, and Census Division. The external population totals are obtained from the Current Population Survey.

Study-specific base sampling weights are derived using a combination of the final panel weight and the probability of selection associated with the sampled panel member. Since not all sampled panel members respond to the survey interview, an adjustment is needed to account for and adjust for survey non-respondents. This adjustment decreases potential nonresponse bias associated with sampled panel members who did not complete the survey interview for the study. Thus, the survey nonresponse adjusted weights for the study are adjusted via a raking ratio method to the general population 30 to 89 years old of totals associated with the following socio-demographic characteristics: age, sex, education, race/ethnicity, and Census Division.

At the final stage of weighting, any extreme weights were trimmed based on a criterion of minimizing the mean squared error associated with key survey estimates, and then, weights re-raked to the same population totals.

### Deliverables

The following files were created for the West Health Institute as part of the study deliverables:

- Survey interview data file in SPSS formats
- Topline frequencies in Word document format
- Codebook in Excel format
- Final programming questionnaire in Word document
- Field report documenting study procedures
- NORC Card

## APPENDIX

### TECHNICAL NOTES ON AMERISPEAK METHODOLOGY

Updated July 15, 2016

#### Overview.

Funded and operated by NORC at the University of Chicago, AmeriSpeak® is a probability-based panel designed to be representative of the US household population. Randomly selected US households are sampled with a known, non-zero probability of selection from the NORC National Frame, and then contacted by US mail, telephone interviewers, overnight express mailers, and field interviewers (face to face). AmeriSpeak panelists participate in NORC studies or studies conducted by NORC on behalf of NORC's clients.

In 2016, the AmeriSpeak Panel is expanding to 20,000 households, with a large oversample of young African-American, Hispanic, and Asian adults (age 18 to 30). AmeriSpeak will expand further in 2017 – to 30,000 households.

#### Sample Frame

In order to provide a nationally representative sample, AmeriSpeak leverages the NORC National Sample Frame, constructed by NORC to cover over 97 percent of U.S. households. The 2010 National Frame used a two-stage probability sample design to select a representative sample of households in the United States. The first stage—the sampling unit—is a National Frame Area (NFA), which is either an entire metropolitan area (made up of one or more counties) or a county (some counties were combined so that each NFA contains a population of at least 10,000). The largest NFAs with a population of at least 1,543,728 (0.5 percent of the 2010 Census U.S. population) were selected with certainty; these areas have a high-population density, and are dominated by tracts with street-style addresses. These areas contain 56 percent of the population within 8 percent of the geographic area of the United States. The remaining areas were stratified into areas where street-style addresses predominate, and the remaining areas, which are less likely to have street-style addresses. The latter stratum (“rural” areas) comprises 81 percent of the geographic area, but only 14 percent of the population.

Within the selected NFAs, the second stage sampling unit is a segment, defined either in terms of Census tracts or block groups, containing at least 300 housing units according to the 2010 Census. A stratified probability sample of 1,514 segments was selected with probability proportional to size. For most of the 1,514 segments, the USPS DSF provided over 90 percent coverage of the segment in terms of city-style addresses that are geocodeable. For the 123 segments where the DSF provided insufficient coverage, we enhanced the DSF address list with in-person listing. The National Sample Frame contains almost 3 million households, including over 80,000 rural households added through the in-person listing.

#### Sample Selection for Panel Recruitment

The 2015 and 2016 AmeriSpeak Panel sample consists of nationally representative housing units drawn from the 2010 NORC National Sample Frame. The 2010 NORC National Sample Frame is stratified based on segment (Census tract or Census block group) characteristics such as age and race/ethnicity composition of the segment, and then, a stratified simple random sample of housing units is selected. Specifically, based on Census tract-level data, segments were classified as having a higher concentration of 18-24 year old adults or not, and a higher concentration of Hispanics, non-Hispanic African Americans, and other. Based on these strata definitions, 6 strata (2 based on age times 3 based on race/ethnicity) were used to oversample housing units in segments higher in young adults and/or Hispanics and non-Hispanic African-Americans. This is referred to as the initial sample or first stage of panel recruitment.

In the second stage of panel recruitment, initially sampled but nonresponding housing units are subsampled for a nonresponse follow-up (NRFU). At this stage, consumer vendor data are matched to housing units, and housing units that are flagged (based on consumer vendor data) as having a young adult or minority (Hispanic and non-Hispanic African American) are oversampled for the nonresponse follow-up. Overall, approximately one in five initially nonresponding housing units are subsampled for NRFU. However, as mentioned previously, selection of housing units for NRFU is a stratified simple random sample based on consumer vendor data. Due to NRFU, these initially nonresponding housing units have a much higher selection probability compared to the housing units that were recruited during the first stage of panel recruitment. Note that a small fraction of initially nonresponding housing units are not eligible for NRFU due to these housing units being classified as “hard refusals” or having an appointment for a call back from NORC.

In summary, there are two reasons why the sampling design for AmeriSpeak Panel recruitment deviates from EPSEM sampling: (a) oversampling of housing units in segments with a higher concentration of young adults and minorities results in the sample selection probabilities being higher for housing units in these segments; and (b) the nonresponse follow-up effort results in initially nonresponding housing units having a much higher selection probability. Furthermore, oversampling associated with NRFU results in higher selection probabilities for initially nonresponding housing units that are flagged (based on consumer vendor data) as having a young adult or minority.

### **AmeriSpeak Panel Recruitment Procedures.**

Recruitment is a two-stage process: initial recruitment using less expensive methods and then non-response follow-up using personal interviewers. For the initial recruitment, sample units are invited to join AmeriSpeak online by visiting the panel website AmeriSpeak.org or by telephone (in-bound/outbound supported). English and Spanish language are supported for both online and telephone recruitment. Study invitations are communicated via an over-sized pre-notification postcard, a USPS recruitment package in a 9”x12” envelope (containing a cover letter, a summary of the privacy policy, FAQs, and a study brochure), two follow-up post cards, and also follow-up by NORC’s telephone research center for matched sample units.

The second-stage non-response follow-up targets a stratified random sub-sample of the non-responders from the initial recruitment. Stratification is based on consumer vendor data and stratification variables from the initial recruitment stage in order to increase sample representation of young adults, non-Hispanic African Americans, and Hispanics. Units sampled for the non-response follow-up are sent by Federal Express a new recruitment package with an enhanced incentive offer. NORC field interviewers then make personal, face-to-face visits to the respondents’ homes to encourage participation. NORC field interviewers administer the recruitment survey in-person using CAPI or else encourage the respondents to register at AmeriSpeak.org or call the toll-free AmeriSpeak telephone number to register.

### **Recruiting Non-Internet and “Net Averse” Households.**

Under certain conditions, AmeriSpeak gives respondents a choice regarding their preferred mode for future participation in AmeriSpeak surveys. For the 2014-2015 recruitment, 76% of the recruited panelists elected to receive online AmeriSpeak surveys while 24% of the recruited adults stated a preference for the telephone mode. For the 2016 recruitment, respondents provided an option of online or telephone modes include: persons without internet access, persons whose only internet access is via a smartphone, and persons with internet access but unwilling to share an email address. A recruited household can consist of both web-mode and phone-mode panelists.

### **Impact of Non-Response Follow-up.**

The non-response follow-up improves the representativeness of the AmeriSpeak sample with respect to certain demographic segments, including but not limited to rural and/or lower income households, cell-phone only households, persons age 18 to 34, African Americans, Hispanics, and persons without a high school degree or have only a high school degree (no college). Compared to panelists recruited in the initial

stage, panelists recruited via the non-response follow-up campaign are more politically conservative, are less knowledgeable about science, report less interest in current events and topics in the news (such as climate change), and are less likely to read a print newspaper.

### **AmeriSpeak Panel Recruitment Response Rate and Other Sample Metrics.**

Between October 2014 and August 2015, 7,752 households were recruited to the AmeriSpeak Panel. The AAPOR RR3 (response rate) for the panel recruitment during this time frame is 36.6% (weighted to take into account selection probabilities).<sup>1</sup> The estimated cumulative AAPOR RR3 for client surveys is 13% to 20% (varying according to study parameters and taking into account all sources of non-response including panel recruitment, panel household attrition, and survey participation).<sup>2</sup>

Key statistics with respect to the 2014-2015 recruited households are as follows: 48% recruited via the non-response follow-up recruitment using overnight Federal Express mailers and face-to-face methodology (with NORC field staff visiting households); 24% indicated a preference for the telephone mode of data collection for participating in AmeriSpeak studies; 22% of the recruited households are non-Internet; 71% are cell-phone only or cell-phone mostly; 18% are African-American and 13% Hispanic; and 34% have household income below \$30,000 (compared to ACS benchmark of 29%).

### **Mixed-Mode Data Collection.**

Panelists may participate in 2 to 3 AmeriSpeak Panel studies per month via online (computer, tablet, or smartphones) or by CATI phone. CATI phone mode respondents represent a population currently under-represented in web panels that exclude non-internet households or “net averse” persons. NORC’s telephone interviewers administer the phone mode of survey questionnaires using a data collection system supporting both the CATI phone and web modes of data collection, providing an integrated sample management and data collection platform. For panelists using smartphones for web-mode AmeriSpeak surveys, the NORC survey system renders an optimized presentation of the survey questions for these mobile users. For general population client studies, approximately 20% of the completed interviews are completed by the telephone mode.

### **2014 Pilot Study.**

The AmeriSpeak Pilot Study was conducted in October-November 2014 in a test of study procedures. In total, 406 households were recruited. For the reported results below, the analysis is restricted to the 352 recruited households where the two-stage recruitment design was implemented. The AAPOR RR3 weighted response rate was 26%. Fifty percent of the initially recruited household registered and completed the introductory survey by CATI phone (half by web). Consistent with expectations, the households recruited by the non-response follow-up (by overnight mailers and field interviewers) provided enhanced representation of typically hard-to-contact and recruit populations. Compared to the panelists recruited during the initial stage, the panelists recruited by the non-response follow-up had higher percentages of non-white racial groups (34% v. 28%), persons with only a high school degree or less (28% v. 19%), younger adults age 18-34 (31% v. 22%), household income less than \$35,000 (27% v. 25%), cell-phone only (40% v. 27%), home renters (32% v. 26%), those not reading a newspaper regularly (55% v. 47%), and those who did not get news online yesterday (45% v. 35%), among other results.

### **Panel Management Policies**

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<sup>1</sup> The response rate calculation incorporates the selection probabilities of the samples for the initial recruitment and non-response follow-up stages, as calculated by the US Bureau of the Census for the American Community Survey.

<sup>2</sup> A properly calculated AAPOR response rate for panel-based research takes into account all sources of non-response at each stage of the panel recruitment, management, and survey administration process. A common misapplication of the term “response rate” in online panel surveys is represent the survey-specific cooperation rate as the “survey response rate.”

NORC maintains strict rules to limit respondent burden and reduce the risk of panel fatigue. On average, AmeriSpeak panel members typically participate in AmeriSpeak web-based or phone-based studies two to three times a month.

Because the risk of panel attrition increases with the fielding of poorly constructed survey questionnaires, the AmeriSpeak team works with NORC clients to create surveys that provide an appropriate user experience for AmeriSpeak panelists. AmeriSpeak will not field surveys that in our professional opinion will result in a poor user experience for our panelists and in panel attrition.

### **ABOUT NORC AT THE UNIVERSITY OF CHICAGO**

As one of the world's foremost independent research institutions, NORC at the University of Chicago delivers objective data and meaningful analysis to help decision-makers and leading organizations make informed choices and identify new opportunities. Since 1941, NORC has applied sophisticated methods and tools, innovative and cost-effective solutions, and the highest standards of scientific integrity and quality to conduct and advance research on critical issues. Today, NORC expands on this tradition by partnering with government, business, and nonprofit clients to create deep insight across a broad range of topics and to disseminate useful knowledge throughout society.

Headquartered in downtown Chicago, NORC works in over 40 countries around the world, with additional offices on the University of Chicago campus, the DC metro area, Atlanta, Boston, and San Francisco.