



NORC

at the UNIVERSITY OF CHICAGO

2009 ANNUAL REPORT

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NORC
at the UNIVERSITY OF CHICAGO

2009 ANNUAL REPORT

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FROM THE PRESIDENT



John H. Thompson
President

The past twelve months have been some of the most rewarding and productive in NORC's history. Our studies have been cited by policymakers and opinion leaders at the highest levels on issues that are important to the nation and the world; and financially 2009 finished in a strong revenue position, possibly the best of our 68 years. We owe our continuing success, as always, to the outstanding quality of our staff.

We added a number of new Senior Fellows to the already impressive group of thought leaders who bring their expertise to bear on topics of the day. Several of our new Fellows have maintained longtime distinguished affiliations that have resulted in outstanding research, and we have recognized this by establishing them as Senior Fellows. Several others have recently decided to join NORC as a result of our continuing efforts to attract high-quality staff. We are proud to welcome to this distinguished group:

Kathleen Cagney who specializes in researching the effects of neighborhood, race, and ethnic differences on health outcomes.

Cheryl Austein Casnoff who is an expert on children's health, Health IT, insurance coverage, and a broad range of public health issues.

A. Rupa Datta who has conducted extensive research in the field of child care and child development, including the National Longitudinal Survey of Youth.

Larry Hedges who is known for his work on statistical methods for meta-analysis in the social, medical, and biological sciences.

Jay Himmelstein who has dedicated his career to public sector health and human services research including Health IT policy, Medicaid / SCHIP Policy, and Disability & Employment Policy.

D. Carroll Joynes who is an expert on cultural infrastructure research in the United States as well as minority participation in the arts.

Becky Smerdon who is a nationally recognized expert on high school reform research.

Linda Waite who is a pioneer in research on marriage and cohabitation as well as the lives of working couples with children.

In another important development, after Missy Koppelman accepted her current role as Executive Vice President for Operations and Information Technology, NORC was fortunate to be able to bring Michael Davern on board to lead the Public Health Research Department. Davern is a leading thinker on the use of population health data for research and evaluation; he is also an expert on survey data quality, survey methods, and effective methods of data dissemination. His vision is to improve population health by providing policymakers with better information that will help them to make more informed decisions.

This year also saw NORC create a new research department—Security, Energy, and the Environment—headed by Douglas Himmerger, who joined NORC in late 2009. He was a partner at Booz Allen Hamilton with an impressive record of developing work with the federal government in a variety of relevant areas, including Homeland Security and Homeland Defense. Doug decided to join NORC to focus his research efforts on areas of importance to our mission of conducting high-quality work in the public interest. Doug has already established some new linkages with the University of Chicago and we are very pleased to welcome him as well.

In April, Bronwyn Nichols Lodato was promoted to lead the Education and Child Development Department, in which she had served previously as the Associate Department Director. Our technology group also gained an important resource in Josh Seeger, who joined NORC as Vice President of Technology, reporting to NORC's Chief Information Officer.

NORC's conduct of high-quality social science research in 2009 further demonstrated the value our work adds to the understanding of today's central policy issues. NORC research was sought after and used by policymakers, government officials, and news outlets to inform their thinking and to give substance to their decisions on such critical areas as health care reform, health information technology, pandemic flu, the recent economic downturn, a long-running dispute regarding the distribution of American Indian trust funds, the evaluation of education "growth models" that track the progress of students as they move from grade to grade, preparatory work for the upcoming Decennial Census, and several new studies funded by the National Endowment for the Arts on cultural participation. These and other projects, which are highlighted in the following pages, represent only a

FROM THE CHAIRMAN



Edward O. Laumann
Chairman

fraction of the exciting and relevant work being done every day by NORC researchers.

In order to accomplish our growing portfolio of research, NORC hired an unprecedented number of new staff including nearly 200 full- and part-time professionals, bringing our staffing to slightly over 600—a 36 percent increase over 2009. We have also hired over 1,200 intermittent telephone and field staff, reflecting a doubling of our workload for 2010. We are pleased that we have been able to attract top talent across a wide spectrum of research disciplines, subject matter expertise, and technical knowledge.

We continue to collaborate with the University of Chicago on studies, projects, and events. One that stands out as a hugely successful collaborative effort, in addition to bringing a wealth of new knowledge to those who study aging, is the National Social Life, Health, and Aging Project (NSHAP). The project was successful not only in securing funds for additional data collection; it was successful also in disseminating results from the first wave of the study to thousands of scientists and scholars in a number of journals and publications. Of particular interest, in November 2009, the *Journals of Gerontology* devoted an entire supplemental issue to articles based on data from the NSHAP study. The special issue provides critical materials for the use of scholars from many disciplines who want to work with the dataset. And, in December, the *New York Times* used data from that journal to craft an Op-Ed page chart giving the general public a glimpse of life as an older American.

In addition to changes in our staff, we have had significant change on our Board of Trustees. Phil DePoy, Bob Michael, and Steve Stigler each left after having contributed many years of service to NORC. We recognize their outstanding service and wish them well on future endeavors.

New trustees have stepped in, enthusiastic to contribute and offer their expertise to help guide NORC to continued success. We welcome:

Kerwin Charles, *Harris School of Public Policy Studies, University of Chicago*, whose research focuses on a range of subjects in the area of applied microeconomics.

Judith Feder, *Georgetown Public Policy Institute, Georgetown University*, one of the nation's leaders in health policy, with particular focus on improving the U.S. health insurance system.

Mary Lou Gorno, *Hudson Highland Group, Inc.*, an accomplished professional with extensive experience in brand building, marketing, and finance.

Diane Lauderdale, *Department of Health Studies, University of Chicago*, an expert in the epidemiology of aging and how life course trajectories influence health at older ages.

Kenneth Prewitt, *Columbia University*, an eminent social science researcher and former Director of the U.S. Bureau of the Census and NORC.

Mario L. Small, *Department of Sociology, University of Chicago*, a specialist on urban sociology, urban poverty, and inequality and culture.

We also must observe that 2010 is shaping up to be one of our busiest years ever. We welcome the challenge and look forward to continuing to strengthen our role as a provider of rigorous and unbiased information for the public good.

A handwritten signature in black ink, appearing to read "John H. Thompson".

John H. Thompson
President

A handwritten signature in black ink, appearing to read "Edward O. Laumann".

Edward O. Laumann
Chairman

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John H. Thompson

Chief Executive Officer
Strategic Projects and Communication



John H. Thompson

James E. Dunne

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James E. Dunne

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Daniel S. Gaylin

Michele Koppelman

Executive Vice President for Operations and Information Technology
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Michele Koppelman

Kirk M. Wolter

Senior Fellow and Executive Vice President for Survey Research
Center for Excellence in Survey Research
Statistics and Methodology Department



Kirk M. Wolter

NORC, known since its founding in 1941 as the National Opinion Research Center, pursues objective research that serves the public interest. NORC has offices on the University of Chicago campus in Chicago's downtown Loop, and in Bethesda, MD, and also has a field staff that operates nationwide. NORC's clients include government agencies, educational institutions, foundations, other nonprofit organizations, and private corporations. Our projects are local, regional, national, and international in scope.

NORC creates value for its clients by developing effective, innovative solutions that combine state-of-the-art technology with high-quality social science research in the public interest. Our researchers conduct rigorous scientific research that creates knowledge, which in turn enables societies to improve.

NORC remains a leader in the development of survey and other data collection methodologies, applying new and time-tested strategies to the problems facing our world and using advanced statistical and other analytical techniques to interpret social science data.

Our project work is interdisciplinary, with strong staff cooperation across substantive and operational areas and collaboration with the University of Chicago's world-renowned faculty. And NORC is an equal opportunity employer, committed to the personal and professional development of everyone on our staff.

NORC Senior Fellows



Dan A. Black
*Measurement error
Human capital
Urban labor markets*



Norman Bradburn
*Survey methods
Happiness (affect balance
scale)
Humanities indicators*



Kathleen A. Cagney
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Health care reform and health
care policy strategy*



D. Carroll Joynes
*Minority participation in
cultural institutions
Cultural infrastructure in the
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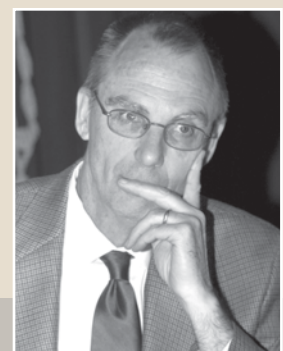
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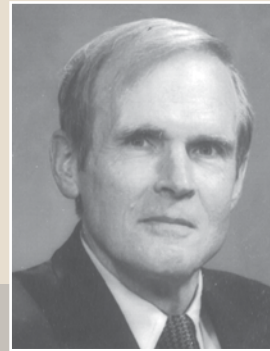
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Educational policies and
practices*



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variable modeling
Data confidentiality and
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Bioterrorism preparedness and
response
Health technology assessment
and reimbursement*



Linda J. Waite

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Health
Links between biology,
psychology, and the social world
Working families*



Kirk M. Wolter

*Design, conduct, and
analysis of sample surveys
Economic statistics
Demographic statistics
Health statistics
Education statistics*

FOCUS AREAS



CHILDREN AND CHILD DEVELOPMENT

National Children's Study (NCS)

The NCS is the largest and most comprehensive long-term study of the effects of environmental influences on children's health and development ever done in the United States. The study defines "environment" broadly, taking a number of natural and man-made environmental, biological, genetic, and psychosocial factors into account. Sponsored by the National Institute of Child Health and Human Development (NICHD), the NCS will track the health status of 100,000 children from before birth through age 21, with the overall goal of improving children's health and well being. The NCS will provide health researchers and practitioners with powerful resources for understanding the etiology of childhood illness and the possibilities for developing interventions to prevent them.

In 2008-2009, listing and initial recruitment for the NCS occurred in seven Vanguard Centers. NORC conducted these tasks, and a varying range of other data collection activities, for the University of Wisconsin (UW) and Children's Hospital of Philadelphia Vanguard Centers. In 2010, NORC will focus on continuous recruitment for these sites. NORC will also assist UW in conducting data collector trainings and intensive home visits to collect interview data and biologic and environmental specimens, in addition to playing an important role in testing additional

recruitment strategies for NICHD in the following centers: Children's Hospital of Philadelphia; Greater Chicago National Children's Study Center (Northwestern University with University of Illinois at Chicago and University of Chicago); University of California, Irvine; University of Minnesota; University of Mississippi; University of Pittsburgh; Maine Medical Center; and University of Iowa.

Design Phase: National Study of Child Care Supply and Demand

This study, sponsored by the Office of Planning, Research, and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services, constructed a design for what would be the first national study of child care supply and demand in 20 years. The Design Phase, conducted by NORC partnering with the Chapin Hall Center for Children at the University of Chicago and Child Trends, as well as other individual academic researchers, is now complete. The design calls for three interrelated sample surveys: a demand survey of parents of young and school-age children, a supply survey of (formal) center-based and regulated home-based providers of early and school-age care, and a supply survey of providers of informal home-based care to young and school-age children.

The Design Phase work recommended a sampling approach that would include all 50 states and the District of Columbia, with 17,500 household interviews, interviews with 12,500 formal providers, and over 4,000 informal home-based provider interviews. The demand survey will include any non-parental care to children under age 13 other than regular K-12 schooling. The supply survey will emphasize inclusion of publicly funded programs such as Head Start, Pre-K, and 21st Century Community Learning Centers; privately funded programs such as community-based pre-schools, for-profit day cares, and school and community-based after-school programs; and Family Child Care, as well as all informal home-based care, including care provided by family, friends, and neighbors.

Federal subsidies for child care include direct subsidies to low-income families, programs for low-income and all families such as Head Start or state pre-kindergarten programs, and benefits through income tax deductions and credits. Federal child care policy is also deeply concerned with the quality of child care experienced by American children and how that quality can be assured and improved. Both of these policy areas are informed by Design Phase products and by eventual implementation of the proposed design.



CRIMINAL JUSTICE

2008 Census of State and Local Law Enforcement Agencies (CSLLEA)

The 2008 CSLLEA is part of the Law Enforcement Management and Administrative Statistics (LEMAS) program. CSLLEA is sponsored by the Bureau of Justice Statistics (BJS), a component agency of the Office of Justice Programs (OJP) of the U.S. Department of Justice. With LEMAS, it is part of a program that uses a recurring survey to gather information on law enforcement personnel, expenditures and pay, operations, community policing, equipment, computers and information systems, and policies and procedures.

CSLLEA is a census of approximately 20,000 U.S. law enforcement agencies conducted every four years. It provides a complete accounting of the nation's law enforcement agencies by collecting data on agency functions, facilities, personnel, and budget. Thus, it provides a broad picture of the current state of U.S. law enforcement and uncovers existing and emerging trends as well as serving as the sampling frame for the smaller LEMAS surveys.

NORC has been conducting this CSLLEA since 2004. The 2008 census used a multi-mode data collection approach: a mail survey with an option to complete via web or by telephone. Non-responders were prompted through a series of mail contacts and follow-up calls, with email and fax reminders as necessary to maximize the agency response rate, which reached greater than 99 percent.

RESEARCH PROGRAMS GROUP

SUBSTANCE ABUSE, MENTAL HEALTH, AND CRIMINAL JUSTICE SYSTEMS DEPARTMENT

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Senior Vice President and Director

Natalie Suter
Associate Director

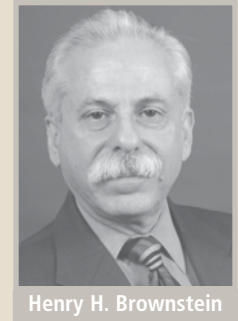
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Diane Frost Wiscarson
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State University of New York at Albany

National Former Prisoner Survey (NFPS)

The NFPS is one of several studies undertaken by BJS pursuant to the Prison Rape Elimination Act of 2003. Designed to provide national estimates of sexual violence within prisons, NORC developed the NFPS data collection instrument and technology, completed interviews, delivered data, and is currently participating in data analysis.

Because of the sensitive nature of sexual victimization, the interview was undertaken using touch-screen audio-assisted technology (TACASI). Field interviews were undertaken in over 250 parole offices across the country, which collected background and criminal history information in CAPI format before turning the computers over to the former prisoners, who privately answered questions related to victimization by both inmates and staff. Over 17,500 interviews were completed nationally.

NORC is currently working with BJS to develop tables for BJS's upcoming report to Congress. In addition, a panel at NORC is reviewing the NFPS file to develop a data disclosure plan that will ensure individual confidentiality for future release of the data to the Inter-University Consortium for Political and Social Research (ICPSR) enclave. NORC staff are also working to provide a report for BJS on the contacting and locating of former prisoners and analytical support regarding facility risk factors.

The National Crime Victimization Survey Redesign (NCVS): Examination of a Twelve-Month Reference Period In 1973, BJS introduced the NCVS, formerly NCS, which collects data twice a year, with a six-month reference period, from a nationally representative sample, to 1) obtain information about incidents of crime and victimization involving victims 12 years of age and older and their households, and 2) uncover trends. In 1993, the NCVS underwent a methodological redesign focusing on questionnaire improvements. Currently, each household completes the interview seven times over three and a half years. Although the initial interview is generally conducted in person, subsequent interviews may be completed by telephone. NORC will provide a comprehensive research plan to study the feasibility of incorporating a 12-month reference period into the NCVS, one of four priority areas for methodological research on potential improvements to the NCVS.

The research plan includes a literature review, which will inform development of memory aids. These will then be cognitively tested and refined, prior to a field test using both modes. In 2010, NORC will begin cognitive interviews with up to 100 respondents. It will then administer 450 interviews via the web and 2,550 cases via CATI, to extensively test each memory aid and assess mode effects and respondent burden. Finally, NORC will develop a plan for transitioning the NCVS to a 12-month reference period.



EDUCATION

Gates Millennium Scholars Tracking and Longitudinal Study (GMS), and the Washington State Achiever Scholars Study (WSA)

GMS. In September of 1999, the Bill and Melinda Gates Foundation launched the GMS program—to provide \$1 billion over 16 years for scholarships and leadership opportunities for 20,000 high-achieving minority students from low-income families to attend their chosen undergraduate and graduate institutions. NORC was selected to conduct the GMS survey, which contributes to basic research on the postsecondary education experience—addressing such topics as high school preparation, difference in experience by gender, transition to college, educational attainment, civic and other non-academic experiences, and other influences on the students' life trajectory. The study also supports an evaluation of the GMS program itself. For the longitudinal study, NORC has conducted baseline year and follow-up web-based surveys with four of the first five cohorts of scholarship recipients and a comparison group of non-recipients.

WSA. This scholarship program is part of an initiative by the Gates Foundation to fund and support 16 high schools in Washington State as they redesign their schools to increase academic achievement for all their students. Every year for the 2001-2010 decade, 500 Achiever Scholars are selected from these schools. To be selected, students must excel in high school, demonstrate financial need, and qualify for state need grant assistance. NORC is conducting baseline and follow-up surveys with the WSA scholars.

To support both the GMS and the WSA research, NORC has designed and implemented sophisticated information management systems. One facet is a research database

that takes into consideration multiple relationships among response, case management, and locating data. Another is a NESSTAR data repository (an application that aims to streamline the process of finding, accessing, and analyzing statistical information), which allows the Gates Foundation's selected researchers to analyze survey data both from NORC's work and from publicly available datasets on other studies.

The Survey of Earned Doctorates (SED)

NORC has conducted the SED for the National Science Foundation (NSF) since 1997. In addition to the NSF, the SED is sponsored by the National Institutes of Health (NIH), the U.S. Department of Education, the National Endowment for the Humanities, the U.S. Department of Agriculture (USDA), and the National Aeronautics and Space Administration (NASA). NORC collects SED data for the full population of doctorate recipients from U.S. institutions each academic year (about 50,000 graduates annually). NORC then adds these data to the Doctorate Records File, an archive of all doctorate recipients back to 1920. NORC produces detailed statistical reports each year, as well as a narrative summary highlighting main trends, and fills numerous requests for custom tabulations.

The Survey of Doctorate Recipients (SDR)

NORC conducted the 1997, 2003, 2006, and 2008 SDR rounds for the National Science Foundation (NSF) with additional sponsorship from the National Institutes of Health (NIH). One of three surveys of individuals in the NSF's program to track the U.S.-trained science and engineering workforce, the SDR follows the employment history and research productivity of science, engineering, and health doctorate holders through their careers. Each survey cycle includes the previous round's panel and a new sample, creating a combined sample of about 40,000. The NSF has consistently supported NORC's methodological experiments and feasibility studies to improve the SDR. In 2003, NORC worked with the NSF on a data collection effort including 600 doctorate holders who are non-U.S. citizens and who leave the country after earning their degrees. This separate sample, named the International SDR (ISDR), has been further developed and included in the SDR since then. NORC is currently performing an evaluation of the SDR and ISDR survey designs to fully integrate the ISDR with the SDR, with the goal of making the ISDR a new formal NSF-sponsored dataset available to researchers in the 2012 survey cycle.

Growth Model Pilot Program Under No Child Left Behind (GMPP)

The GMPP is an ambitious effort to improve how student achievement data are analyzed and used to assess the effectiveness of schools and school systems. NORC's

EDUCATION AND CHILD DEVELOPMENT DEPARTMENT

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Associated Scientists

Yasuyo Abe
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Wellesley College and NBER
Martha Zaslow
Child Trends

evaluation of GMPP has built on the experiences and outcomes of the pilot group of nine states approved to measure students' annual academic progress using a growth model rather than the current models to chart ways to scale up the successes while reducing the difficulties. The objectives are twofold: 1) to describe and summarize the implementation plans and actual utilization of the growth models used in participating GMPP states, and 2) to assess the strengths and weaknesses of using these growth models as replacements or supplements to status and other accountability models for measuring student learning outcomes and school Adequate Yearly Progress.

At the heart of the growth model is the perspective that gains over time are realized by individual students and that measures of progress at grade, school, and state levels should be built on that basis. Growth models produce measures of change for each student that can be evaluated against a standard of "adequate growth." Individual gains can then be aggregated to grade and school levels and, as such, should provide better indicators of organizational performance at those levels, as well as better indicators of

the individual student's progress for teachers, parents, and the students themselves.



ENERGY

Residential Energy Consumption Survey (RECS) RECS, an Energy Information Administration (EIA) project, is the only comprehensive source of national-level data on energy-related information for U.S. households. It is a congressionally mandated, recurring survey to collect data on energy consumption in the residential sector. These official government statistics are used by policymakers at the federal, state, and local levels. RECS also provides critical data for the EIA's National Energy Modeling System (NEMS), which helps guide government planning for the country's future energy needs.

RECS is a large-scale area probability, repeated cross-section study of occupied U.S. housing units that gathers data from sampled housing units and structures on energy uses and equipment, consumption behaviors, and structural characteristics that affect present and long-term energy use. The 2005 RECS sample size was about 7,500. In response to a demand for accurate estimates at a state level, the 2009 RECS sample size has been greatly increased to 23,500.

Each RECS is followed by a separately competed Energy Supplier Survey (RECS-ESS). For the 2005 RECS-ESS, NORC contacted the energy suppliers for the interviewed RECS housing units to collect 16 months (2005 calendar year plus two collar months) of actual consumption and expenditure data across five fuel types. The RECS-ESS identified 813 unique energy suppliers to the RECS respondents. NORC successfully collected consumption and expenditure data from all but four of the suppliers and provided at least partial data for all housing units.

The Commercial Buildings Energy Consumption Survey (CBECS)

The CBECS, also an EIA project, collects data on energy use by commercial buildings—including malls, office buildings, and retail service sites. These are a critical but little explored group of energy consumers. It is the only federal survey that provides energy consumption and building characteristics for this high-demand segment of the U.S. building stock. The CBECS, like the RECS, is conducted in two parts: a building interview and, if the building manager is unable to provide consumption information, a second collection from the energy supplier.

Because of the broad range of buildings that are commercial, the CBECS building survey requires a complex sample design that combines an area probability approach with five specialized lists of specific building types to form the frame. NORC performed pre-data collection enumeration of selected frame members that are known to represent campuses of buildings, and has recently completed field-based data collection.

SECURITY, ENERGY, AND THE ENVIRONMENT DEPARTMENT



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NORC created the Security, Energy, and the Environment Department (SEE) because these areas are of growing policy interest and urgent concern, and are increasingly linked in public perception and debate. Since key issues in any of the three areas are becoming woven into the fabric of the other two, SEE will support them in a seamless fashion. Our potential clients have demanding missions and difficult and intersecting challenges. SEE will partner with them to serve the public interest.

SEE builds on existing energy and environmental efforts within NORC. Ongoing energy and environmental projects are expected to remain in the departments where they are now being conducted (e.g., EIA work will continue to be supported in the Health Care Research Department). SEE will support, cooperate, and collaborate with these other departments to grow NORC's existing business, while at the same time acting as a catalyst for new efforts both within SEE and in other NORC departments. As we expect to support our clients across their organizational boundaries, we will similarly operate across NORC's own internal boundaries.

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HEALTH

Technical Assistance to Support Implementation of Healthy People 2020

NORC is providing support to the U.S. Department of Health and Human Services (HHS) Office of Disease Prevention and Health Promotion (ODPHP) in developing the next decade's national health objectives—Healthy People 2020. This work is intended to foster nationwide engagement in, awareness, understanding, and acceptance of the Healthy People 2020 objectives. Key activities include:

- Analytic and logistical support for the Secretary's Advisory Committee on Health Promotion and Disease Prevention Objectives for 2020 and the Federal Interagency Workgroup (FIW).
- Guidance and support for education and outreach efforts to generate participation in the Healthy People objective-setting process.
- Facilitating and analyzing public input from stakeholders throughout the country at regional meetings and through the public comment website.

The Secretary's Advisory Committee comprises 13 nationally recognized experts in public health. These individuals provide recommendations to the Secretary of HHS for the form and content of Healthy People 2020. The Federal Interagency Workgroup coordinates development and implementation of Healthy People 2020. Its members include representatives from numerous HHS offices and agencies, as well as non-HHS federal departments such as the U.S. Department of Agriculture, the U.S. Department of Housing and Urban Development, and the Environmental Protection Agency.

Rural Health Outreach Tracking and Evaluation

The primary intent of this project is to conduct targeted evaluation activities to strengthen the Federal Office of Rural Health Policy's support of rural communities. Through this contract, NORC, in partnership with the University of Minnesota Rural Health Research Center, will monitor and evaluate the effectiveness of programs under the Outreach Authority of Section 330A of the Public Health Services Act, ultimately making recommendations for improving the program and ensuring that rural health resources are most effectively utilized at the community level.

Created in 1991 under the authority of section 301 of the Public Health Service (PHS) Act, the 330A Outreach Authority programs have provided grants supporting over 900 consortia projects to expand access, coordinate resources, and improve the quality of health care services for rural communities. These grants serve as demonstration activities, providing seed money with the intent that the programs developed would continue after federal funding ends.

The goal of NORC's current contract is to conduct evaluation activities both within and across the five 330A Outreach programs currently operating. Each project year, five new evaluation projects will be proposed, from which three to four will be selected for implementation. Products will include white papers, short evaluation assessments, an online toolkit, and other reports focused on lessons learned.

The National Immunization Survey (NIS)

Since 1994, the Centers for Disease Control and Prevention's National Center for Immunizations and Respiratory Diseases (CDC/NCIRD) has sponsored NIS to provide continuous data on vaccination "up-to-date" rates among U.S. children. The NIS collects data via telephone from 26,000 households with children ages 19-35 months by fielding a random-digit dial (RDD) sample of about six million telephone lines, which makes the NIS one of the largest telephone surveys in the nation. NORC further requests permission to contact the child(ren)'s medical providers to obtain the immunization history documented in provider records, and conducts a Provider Record Check, sending a mail questionnaire to providers requesting the immunization history of the child(ren).

Since CDC's contract to NORC in 2004, the scope of the NIS has expanded dramatically. In 2008, a Parental Concerns Module was introduced to evaluate why parents might opt against vaccinating their children. Also in 2008, NORC launched the first, full-scale NIS-Teen Survey, which uses the same NIS sampling frame to collect data



on vaccinations for children ages 13-17 years. In 2009, NORC fielded the National H1N1 Flu Survey (NHFS) to help CDC monitor dissemination and uptake of seasonal and H1N1 flu vaccines, as well as to gauge the intent of individuals to get vaccinated.

Finally, NORC is on the forefront with the NIS in regard to critical challenges faced by RDD surveys as people move away from maintaining landline telephones in favor of cell telephones. NORC has worked closely with CDC to test design alternatives for the NIS, including methods for conducting interviews via cell telephones, using an address-based sample, researching the quality of state-maintained immunization registries, and evaluating the degree to which the current NIS might suffer from bias and coverage error.

Development of the Office of Minority Health's Performance Improvement and Management System (PIMS) NORC will develop and implement a web-based system for collecting, reporting, and disseminating performance- and results-oriented information relative to the Office of Minority Health's (OMH) mission. PIMS will be an integrated, one-stop, web-based tool and resource to help OMH and other stakeholders improve their strategic focus, use evidence-based performance measures and practices in program planning and evaluation, and improve evaluation activities. NORC will develop and integrate PIMS's four main components:

- A publicly accessible performance and evaluation portal.
- A web-based information management system designed to collect activity- and performance-oriented data on all OMH-funded programs and initiatives. Data will be used by OMH to complete Government Performance and Results Act reports and other reports mandated by OMB and Congress.

- A searchable repository of "promising," "best," "model," and "evidence-based" practices to guide planning, intervention effectiveness, and continuous improvement on minority health and health disparities issues.
- Systematic delivery of training and technical assistance to OMH grantees via NORC's Evaluation Technical Assistance Center (ETAC). Trainings focus on both use of the information management system, as well as designing, planning, and implementing grantees' evaluations. Technical assistance (TA) will include a mix of delivery methods including: one-on-one, group, and peer-to-peer TA through a series of phone and web conferences and on-site assistance.

Racial and Ethnic Approaches to Community Health Across the US Risk Factor Survey (REACH US)

REACH US is a national, multilevel program that serves as the cornerstone of CDC's efforts to eliminate racial and ethnic disparities in health. Through REACH US, CDC supports grantee partners that establish community-based programs and culturally appropriate interventions to eliminate health disparities among African Americans, American Indians, Hispanics, Asian Americans, and Pacific Islanders.

The CDC's National Center for Chronic Disease Prevention and Health Promotion sponsors REACH US to monitor the progress and achievements of 28 community-based intervention programs. NORC conducts annual interviews in seven languages with a random sample of 900 adults in each community, to collect information about their health, chronic diseases, diet, exercise, access to preventive services, and other health behaviors. The survey is accomplished by fielding an innovative multi-mode address based sampling (ABS) data collection methodology that combines telephone, mail, and in-person interviewing.

REACH US is the first large-scale national project to implement a multi-mode ABS design, which has allowed NORC to position itself at the forefront of advancements in and developments with this methodology. NORC continues to evaluate and improve ABS processes such as matching telephone numbers to addresses, increasing response to mailed questionnaires, and combining multiple data collection modes in the most efficient and effective manner.

The National Social Life, Health, and Aging Project (NSHAP)

Of the many factors influencing the health and aging of older adults, one of the least understood is the role of social support and relationships. NSHAP is a longitudinal population-based study of health and social factors aiming to

understand the well-being of older, community-dwelling Americans by examining the interactions among physical health, illness, medication use, cognitive function, emotional health, sensory function, health behaviors, and social connectedness. NSHAP provides health providers, policymakers, and individuals with information on and insights into these factors, particularly social and intimate relationships.

In 2005 and 2006, NORC conducted 3,005 Wave I interviews with a nationally representative sample of adults ages 57-85. NSHAP data collection consists of three components: an in-person questionnaire, biomeasure collection in the home, and a supplemental self-administered questionnaire to be completed and mailed back after the interview.



Questionnaire topics include: demographic characteristics, social networks, social and cultural activity, physical and mental health (including cognition), well-being, illness, medications and alternative therapies, history of sexual and intimate partnerships, and patient-physician communication.

Among the many biomeasures collected in Wave I were smell, saliva, taste, respondent-administered vaginal swabs, blood pressure, and blood spots. The biomeasures included in NSHAP were specifically designed to be implemented by non-medically trained interviewers.

In 2010 and 2011, NORC will conduct Wave II and return to Wave I respondents after five years for a follow-up interview. Wave II will include many of the Wave I biomeasures but also some new measures. In addition, Wave II will include an interview with a co-resident romantic partner of the returning Wave I respondents. This second wave is essential to understanding how social and biological characteristics change.

The National Resource Center (NRC) for Health Information Technology

NORC led a partnership effort to develop the NRC for AHRQ's health information technology (health IT) planning, implementation, and value grantees. The NRC leverages best practices in knowledge management, e-learning, and online collaboration to provide a "virtual community" in which grantees and other stakeholders can learn from one another and access current thinking on health IT. In addition, the NRC offers technical assistance on health IT support and implementation, business and operational considerations, health IT-related clinical care and quality, research design and management, and best practices. The NRC also supports evaluation activities related to health IT.

Under the NRC, NORC has:

- Provided technical assistance to AHRQ health IT grantees,
- Led development of online tools and resources to assist the health IT community
- Created white papers and lessons learned papers on challenges and barriers encountered by AHRQ-funded health IT projects
- Developed a public website to serve as the main dissemination vehicle for AHRQ health IT project findings
- Conducted topic-specific evaluation studies.

NORC's NRC partners include the Foundation for eHealth Initiative, Indiana University/Regenstrief Institute, Burness Communications, Vanderbilt University, the Center for IT Leadership at Partners Healthcare, and other industry thought leaders.

Expert Meeting On CHIP Evaluation II

The legislation re-authorizing the Children's Health Insurance Program (CHIP) in 2009 mandated that HHS conduct an evaluation of CHIP program design in ten states and its effectiveness. This evaluation, a follow-up of an evaluation completed in 2005, will provide vital information to guide CHIP implementation and policy. The prior evaluation used cases studies, interviews, and surveys with CHIP administrators and families of enrolled children, disenrolled children, and children who are eligible but not enrolled. It is anticipated that the subsequent evaluation will follow a similar format, with some measures adapted to capture information about the program's evolution over time and the impact of recent changes in federal CHIP policies. To provide guidance on this upcoming evaluation, the Office of the Assistant Secretary for Planning and Evaluation (ASPE) at HHS contracted with NORC to conduct a one-day expert panel meeting.

NORC convened an expert study panel of 25 individuals known for their knowledge of CHIP and provided background documents before the meeting. NORC's meeting presentation reviewed the previous evaluation, described recent developments in CHIP policy, and provided discussion questions to guide panel deliberations. To facilitate discussion, two NORC senior staff members were teamed with four expert moderators. NORC will synthesize highlights of the panel's discussions in a report, filling in relevant gaps that were not addressed in the panel's meeting.

Examining First Dollar Vaccine Coverage

The National Vaccine Advisory Committee (NVAC) convened a Vaccine Financing Working Group (VFWG) in 2006 to examine the state of financing for recommended vaccines for children and adolescents, to define financial barriers to vaccine distribution, and to make recommendations to overcome them.

This project focuses on the VFWG's recommendation to urge voluntary coverage by health insurance plans of all costs associated with recommended vaccines for children and adolescents. In developing a framework for a cost estimate, NORC identified key issues that potentially affect a patient's demand for (and therefore the cost of providing) a vaccine. Examples include: underinsurance within health insurance categories; patient demand by vaccine-type, which is affected by patient age; and the fact that some plans cover the vaccine but not its administration.

First, NORC will develop prevalence estimates of vaccination practices across vaccine type, insurance type, and age group using the NIS (see page 15). This, which will provide a broad understanding of take-up by vaccine and insurance type, will be followed by development of rough cost calculations based on CDC dose prices for both the public and private sectors.

Second, NORC will develop cost estimates, by vaccine type and age, for all beneficiaries in the very large MarketScan database. This is representative of health care seeking behaviors for employees of large employers, thus allowing modeling based on benefit design for a number of types of health insurance products. Employers are not identified, but information is included on which people are in a particular plan, its cost sharing provisions, and the characteristics of enrollees.



HOUSING, NEIGHBORHOOD, AND COMMUNITY

Making Connections Survey

For more than half a century, the Annie E. Casey Foundation has worked to build better futures for disadvantaged children and their families. The Making Connections initiative is a collaboration of local organizations and residents to strengthen families and improve neighborhoods.

Between August 2002 and April 2004, ten Making Connections neighborhoods participated in the baseline data collection. NORC interviewers completed approximately 800 in-person interviews in the five Cohort I sites: Denver, Des Moines, Indianapolis, San Antonio, and White Center (Seattle). For each Cohort II site, which included Hartford, Milwaukee, Oakland, Providence, and Louisville, NORC interviewers completed approximately 700 in-person interviews. NORC's Telephone Survey and Support Operations Department also completed approximately 700 random-digit dial (RDD) city-wide control sample interviews in each of these ten sites. Baseline data were used to evaluate important factors such as neighborhood conditions, services used by residents, family economics, and the health and education of neighborhood children.

NORC returned to all ten neighborhood sites between 2005 and 2007 to complete a second interview with the same families. In 2008, NORC began a third wave of data collection; we have completed interviews in Des Moines, Indianapolis, Denver, San Antonio, and White Center; we are collecting data in Providence in the first and second quarter of 2010; and we plan to be collecting data in Louisville in early 2011.

The survey produces data on a broad range of topics including employment, income, assets, civic participation, social networks, human and financial services, neighborhood characteristics, and child well-being. The survey also collects a rich body of data on the composition and demographic characteristics of Making Connections households.

The Making Connections cross-site survey has two characteristics of particular value to social policy research. It:

- Covers an exceptionally broad set of topics. The survey was designed in this way to allow analysts to examine interconnections among a wide variety of conditions, characteristics, and outcomes.
- Is simultaneously longitudinal (tracking a sample of families with children over time, including “mover” families who left their baseline address) and cross-sectional (providing a snapshot of neighborhood conditions at each wave, based on current residents including newcomer families that moved in post-baseline).

Making Connections data are now available to researchers approved by the Annie E. Casey Foundation, through NORC’s data enclave (see page 26).

The Making Connections Survey is the collaborative effort of many organizations: the Annie E. Casey Foundation, NORC, the Urban Institute, Local Management Entities, and independent research advisors.

Resident Relocation Survey

Over a period of 15 years, the Chicago Housing Authority (CHA) is replacing or rehabilitating substandard public housing developments as part of the city of Chicago’s Plan for Transformation. During the Transformation, the CHA is assisting displaced leaseholders in finding housing in the private market or in other public housing units, building new mixed-income developments, and facilitating relocation into the new mixed-income communities. The Resident Relocation Survey reports on the relocation experiences of current and former leaseholders of the CHA. Since 2002, and with funding from the John D. and Catherine T. MacArthur Foundation, NORC has followed and conducted in-person interviews with a sample of the Phase II and Phase III cohorts of leaseholders.

SURVEY COHORT GROUPS

Phase II Baseline - In 2002, NORC conducted a baseline survey of the entire population of Phase II leaseholders, who began the relocation process that year.

Phase II First Follow-Up - Approximately nine months later, in 2003, a follow-up survey was conducted with a random sample of 400 Phase II leaseholders.

Phase III Baseline - Phase III leaseholders began the relocation process in 2003. A systematic random sample of 400 of the Phase III population was drawn and these leaseholders were interviewed in 2003, when they were beginning relocation.

Phase III First Follow-Up - In 2004, about a year after relocation began, the Phase III leaseholders were reinterviewed.

Phase II and Phase III Second Follow-Up - Phase II and Phase III leaseholders were interviewed again in 2006, the second follow-up survey for these cohorts. The samples of leaseholders selected for the Phase II first follow-up (n=400) and for the Phase III baseline (n=400) constituted the sample of 800 leaseholders eligible to be interviewed for the second follow-up. Interviews were completed with 320 of the 400 sampled Phase II leaseholders and 346 of the 400 sampled Phase III leaseholders. The overall response rate was 86 percent.

Phase II and Phase III Third Follow-Up - Phase II and Phase III leaseholders were interviewed again in 2009, the fourth round of interviews for these cohorts. The samples of leaseholders selected for the Phase II first follow-up and for the Phase III baseline were eligible to be interviewed for the fourth wave; additional sample was added to replace deceased leaseholders. Interviews were completed with 691 leaseholders; the overall response rate was 90 percent.



INTERNATIONAL WORK

The Bank of Spain’s Survey of Household Finances Designed to fill a significant gap in Spain’s disaggregated data on household wealth, debt, and assets, the Bank of Spain’s Survey of Household Finances recently completed its third round. This Spanish national survey is modeled in part on the U.S. Federal Reserve Board’s Survey of Consumer Finances, which NORC has conducted since 1992 (see page 21). NORC has participated in the Bank of Spain’s survey since

its second round and was selected to implement the third round in 2008. The survey, Encuesta Financiera de las Familias (EFF), collects data from 7,000 households every three years. It includes sections on income, debt, assets, employment, and consumption, as well as demographics and other topics. Using laptops equipped with NORC's proprietary case management software, CMField, Spanish interviewers were in the field from November 2008 to June 2009. The project presented exciting challenges for NORC's technical staff, as the interview and case management systems were programmed entirely in Spanish, and data transmission was wireless. In addition, system incompatibilities among NORC, the Bank of Spain, and NORC's subcontractor in Spain required quick and creative solutions for sharing data and materials across platforms and versions.

As the only household-level data on income, assets, debt, and consumption in Spain, the survey is widely used for research at the national level and for international comparisons. The EFF also serves as a model for the European Central Bank's household finance survey initiative. Select countries within the zone will begin rolling out their first round of data collection in 2009-2010.

Design and Implementation of Impact Evaluations for the Millennium Challenge Corporation (MCC) NORC is one of several organizations selected by the MCC to carry out independent impact evaluations of its programs around the world. NORC is currently conducting impact evaluations of three MCC programs.

Republic of Georgia. NORC and its subcontractor, Urban Institute, are designing and conducting impact evaluations for two components of the Georgia MCC program: 1) a Road Rehabilitation activity, and 2) the Agribusiness Development Activity (ADA). For the transport sector project, NORC is using statistical and econometric analyses to estimate "before" and "after" economic changes at the household and community level due to the highway upgrade. The ADA evaluation uses random assignment of grantee applicants to treatment and control groups, with treatment groups receiving technical assistance and other support.

Benin. NORC is designing and implementing impact evaluations of two components of the Benin MCC program: land tenure reform and expanded access to financial services. For the land project, NORC is using an experimental design that randomly assigns villages qualifying for assistance to treatment and control groups. Outcomes will be monitored using an existing national household survey and a special purpose survey of the village when it enters the program and at the end of the evaluation. For the financial ser-

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vices project, the evaluation will look at efficiency gains by micro-finance institutions that were chosen through a competitive grant process and are implementing electronic transaction systems and biometric readers in their branches. These improvements are designed to increase participation by small agricultural producers and small businesses in the financial system by making financial services more accessible and transactions less time-consuming.

Lesotho. NORC and its subcontractor, Instituto Nacional de Salud Pública (INSP) of Mexico, have designed and are implementing an impact evaluation of four activities under the Lesotho MCA program—two in the health sector and two in the water sector. The health sector projects include



renovation efforts for health clinics and hospital outpatient departments that distribute anti-retroviral therapy (OP-ART). The water sector projects include rehabilitation of urban/peri-urban water networks and setting up new water systems, ventilated improved pit latrines, and a hygiene awareness program in some rural areas of Lesotho. NORC's evaluation aims to detect causal effects through experimental design for the health centers rehabilitation and rural water activities. For the outpatient departments and urban/peri-urban rehabilitations where randomization is not possible, quasi-experimental approaches are being used.



LABOR AND EMPLOYMENT

The Survey of Consumer Finances (SCF) The Board of Governors of the Federal Reserve (FRB) sponsors the SCF to collect information about the assets, liabilities, employment, and demographic characteristics of U.S. families. The survey is widely regarded as the most comprehensive source of national data on household finances, which provide the basis for a variety of economic policy decisions across government and also inform a range of independent research and journalism.

The SCF is methodologically innovative in the way it combines a nationally representative area probability sample with a list sample. The list sample is developed from statistical records derived from tax returns provided through agreement with the Statistics of Income Division (SOI) of the IRS and includes an oversample of wealthy

households. The SCF is also distinguished by the detail it gathers on a wide array of objective and subjective measures—from holdings in complex investments to receipt of government aid, and from expectations about the economy to attitudes toward personal saving. The unique sample frame and highly detailed instrument give the SCF major advantages over data collected by other household finance surveys.

Since 1992, NORC has conducted the SCF as a triennial cross-sectional survey. In 2009, the FRB asked NORC to perform a special re-interview of respondents from the 2007 round to better understand the broader effects of the recent recession on consumers. Given the relevance of these data to the ongoing public debate about economic policy, the 2009 SCF Panel results will likely receive unprecedented attention from policymakers, researchers, journalists, and financial institutions.

The National Longitudinal Surveys of Youth (NLSY) The NLSY was started by the U.S. Department of Labor (USDOL) in the mid-1960s, with surveys of four separate groups: “older men” ages 45-59, “mature women” ages 30-44, and young men and young women ages 14-24. Interviewing of the men ended by 1990 and the women by 2003.

In 1979, USDOL initiated an updated survey to replenish the youngest cohort. These respondents constitute the “NLSY79” sample, with over-samples of blacks, Hispanics, and economically disadvantaged whites interviewed annually until 1994 and biennially since. The biological children of the NLSY79 women were interviewed and assessed for cognitive and socio-emotional development beginning in 1986, and this “Child of the NLSY” has now become a separate dataset. NORC's partnership with the Center for Human Resource Research at The Ohio State University began with our winning proposal for this work and continues to date.

In 1997, another full survey was begun, with a sample born between 1980 and 1984. This group, known as the “NLSY97,” is currently interviewed annually. In 2009, the 12th wave was completed with over 83 percent of the initial year's respondents still participating in the hour-long survey. The NLSY is one of the most successful large data resources anywhere in the social sciences, and is the basis for much of the accumulated knowledge base on which social policy is formulated.



POPULATION STUDIES

The General Social Survey (GSS)

The GSS has been monitoring social change and studying the growing complexity of American society since 1972. NORC's longest running project, it is the largest funded by the NSF's Sociology Program. Except for data from the decennial census, the GSS is the most frequently analyzed data source in the social sciences. It is a major teaching tool in colleges and universities and the basis for thousands of analytic studies. GSS data are also used in numerous newspaper, magazine, and journal articles, and by legislators and other policymakers. Since the early 1980s, the GSS has been part of the International Social Survey Program (ISSP), which now covers 45 countries and is still expanding. The 4,800 people targeted for the 2010 GSS will be part of nearly 50,000 people around the world being asked the same items.

Beginning in 2008, the GSS implemented a combined Panel and Area Probability (AP) Sample. We will use a combined sample again in GSS 2010, our 28th survey in the series. For the Panel component, we will interview respondents who completed the 2006 GSS as well as respondents who completed the 2008 GSS. The 2010 GSS will also include a new AP sample. There will be 1,536 GSS 2006 Panel cases and 2,023 GSS 2008 Panel cases. The AP sample will include 4,100 cases, with a target of 2,000 completions.

The 2010 Census Integrated Communications Program Evaluation

Census 2000 was the first decennial census to use a paid advertising campaign. NORC's evaluation of it suggested that it succeeded in reversing a long-term decline in mail response rates and may also

have improved cooperation with census enumerators. The 2010 Census Integrated Communications Campaign (2010 Census ICC) builds on the 2000 program with an approach that integrates mass media advertising, targeted media outreach to specific populations, national and local partnerships, grassroots marketing, school-based programs, and special events. The Census Bureau has contracted with NORC to assess the impact of the entire campaign and its separate parts. The evaluation will allow stakeholders to determine if the significant investment was justified by such outcomes as reduced non-response follow-up burden, reduced differential undercount, and increased cooperation with enumerators.

For this purpose, NORC will conduct hybrid (cross-sectional/longitudinal) surveys with address-based probability samples of U.S. households, oversampling minority populations and other target segments. The survey will be fielded three times, to assess 1) baseline awareness, 2) awareness during the campaign's height, and 3) post-mailout effects on cooperation and response rates. A key feature is NORC's Paid Advertising Heavy-Up Experiment

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(PAHUE). Pairs of Designated Market Areas (DMAs) have been matched on a range of indicators. One-half of each pair will be randomly assigned to receive a 50 percent “heavy-up” of paid advertising. NORC will survey a sample in each DMA in Waves 1 and 3. Experimental variation greatly improves the potential for assessing the contribution of campaign components to the outcomes of interest.



SOCIETY AND CULTURE

Arts Learning and Participation

The National Endowment for the Arts’ Surveys of Public Participation in the Arts (SPPAs) document a longitudinal record of declining attendance at performing and visual arts events and institutions from 1982 to 2008. The surveys track attendance at live performances, museums and galleries, participation through broadcast and recorded media, personal engagement in art making itself, and Internet participation, as well as demographic, economic, leisure interests, and educational data, including education in the arts. The data provide indicators of the demand for creative products and the engagement of Americans in the creation of art themselves. As such they are a vital indicator of the health of the arts in the country, and a rich source of information on trends critical to the future of the arts for policymakers in local, state, and federal agencies, philanthropy, the arts, education, the creative sectors of the economy, and tourism.

An analysis of SPPA data from 1992 showed that arts education was the most powerful predictor of adult arts participation. NORC’s study will determine if that finding is consistent in the SPPAs from 1982, 2002, and 2008 as well. It will also determine the relationship of arts education to other factors that influence arts participation including SES, educational attainment, race, and gender.

Many studies suggest that arts education itself may have also declined in the years since the first SPPA in 1982, but there does not appear to be much hard data to support this hypothesis. NORC will probe the data to determine if it can shed light on whether Americans are receiving more or less arts education than they have in the past, and how arts education is distributed across the American population. Given the high correlation of arts education to adult participation, NORC’s findings may have significant importance to strategic efforts to increase adult arts participation. They may also have significance to those concerned with the availability of arts education on an equitable basis in our schools.

Race, Ethnicity, and Arts Participation

The central mission of the National Endowment for the Arts (NEA) is to support excellence in the arts, both new and established, and to bring the arts to all Americans. In order to assess the NEA’s success at bringing the arts to all Americans, data on arts participation for all sectors of the population must be collected and analyzed. This is the context for the proposed monograph, *Race, Ethnicity, and Arts Participation*. Measurement of arts participation by race and ethnicity is of paramount importance to the NEA’s mission. The SPPA series is the single most important periodic study overseen by the NEA. The most recent version was conducted in 2008. Comparable national surveys of the adult population regarding their participation in the arts were conducted for the NEA in 1982, 1985, 1992, and 2002 by the Census Bureau, and in 1997 by Westat. NORC will provide a monograph structured to maximize the comparability with past NEA publications on the topic, while still giving full treatment to the items that are new in the 2008 SPPA. The monograph will provide descriptive data on trends in arts participation by race and ethnicity, and the results of a series of logistic regressions that seek to determine the degree to which membership in a particular racial/ethnic group predicts participation in arts activities. The report will also describe trends in arts creation by race and ethnicity, changes in arts participation over the last quarter century in the context of the relative increase in non-White Americans, arts participation by English-speaking status within and across each racial/ethnic group, and the demographic factors that predict arts participation for each racial/ethnic group.

SURVEY RESEARCH GROUP

NORC uses internal resources to award R&D funding support, through this center, to staff members throughout the organization who are focused on particularly complex survey-related issues. Three research projects funded during 2009 illustrate the range of center-funded research projects:

- *Developing Designs for Use in Address-Based Sampling (ABS)*. Use of ABS is rapidly increasing because of the inherent limitations of random-digit dialing (RDD) in reaching cell-only households and the high cost of area-based sampling. Since ABS does not necessarily have phone numbers, more flexible systems are required to both reach respondents and collect data. This project seeks to develop the survey methodology and systems necessary to drive a true ABS design, which must incorporate multiple interviewing modes.
- *Enhancing the Integration of Geographic Information Systems (GIS) and Global Positioning Systems (GPS) Technology into NORC Field Work*. NORC has made significant strides in integrating GIS and related technological devices into its surveys through use of the USPS-based frame. This project evaluates these efforts in order to improve the management of field work, enable better navigation to sampled addresses, capture more detailed information about field costs, and refine methods to improve quality.
- *Applying Visual Diagnostics to Complex Survey Data*. Recent advances in tools for data visualization have changed the way statisticians analyze data but have not been effectively incorporated into the analysis of complex survey data, in part because many visualization techniques are not designed to incorporate survey weights or multi-stage clustered designs. This project uses inverse sampling to transform data selected from a complex design into data that can be considered a simple random sample, thereby reducing data visualization to a problem that has already been solved.

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STATISTICS, DATA, AND METHODOLOGY

Historical Accounting of Individual Indian Money Accounts

In 2006, the Department of the Interior (DOI) Office of Historical Trust Accounting (OHTA) retained NORC and other contractors to provide historical accounting services related to the management of income DOI has held in trust for individual Indians since 1887. As part of a 1996 class action lawsuit over royalties owed to American Indians (Cobell vs. Salazar), the U.S. District Court has required DOI to account for all Individual Indian Monies (IIM), whenever deposited. The OHTA was established to develop a comprehensive plan for this accounting. Although initially DOI was asked by the Federal District Court to reconcile every transaction going back to 1887, ultimately a decision was made to examine only accounts open on or after October 25, 1994, and covering transactions from 1938 on. In addition to this narrowing of scope, NORC was allowed to use sampling to verify IIM account accuracy and completeness.



Most of NORC's work has involved the design and analysis of these samples. To date, NORC has provided over 110 reports on various aspects of its statistical support. Among its larger efforts, NORC designed and selected a sample of thousands of transactions for the period 1985-2000 for reconciliation. NORC has testified on several occasions before Judge James Robertson of the U.S. District Court for the District of Columbia. In December 2009, DOI announced a negotiated settlement of the case, which will become final when formally endorsed by the court.

OHTA provides similar services for Indian monies managed and accounted for at the tribal level. NORC is currently

working on tests of the completeness of transactional data by drawing samples from a frame of leases, contracts, permits, and other documents, and testing whether revenue generated was credited to the tribal account.

The NORC Data Enclave While public use data can be disseminated in a variety of ways, more limited options exist for sensitive microdata that have not been fully de-identified for public use. Some data producers have sufficient economies of scale to develop advanced in-house solutions to serve the needs of external researchers; but most lack the resources to archive, curate, and disseminate the datasets they collect. NORC and the National Institute of Standards and Technology (NIST) Technology Innovation Program (TIP) responded to this need by creating a data enclave, which is a secure remote access facility that combines elements from computing and the social sciences to create an environment whereby researchers can conduct secure, high-quality research remotely.

NORC's data enclave offers an e-collaborative environment within which researchers may share knowledge (code, scripts, macros) about the data and hence provide information to fellow researchers and data producers. The research environment, or collaboratory space, features discussion forums, wikis, blogs, and instant messaging (IM) that facilitate knowledge creation and infrastructure building around each available dataset. Currently, there are five data producers in the enclave—three federal agencies (NIST, U.S. Department of Agriculture, and NSF) and two private, non-profit foundations (the Ewing Marion Kauffman Foundation and the Annie E. Casey Foundation). Approximately 100 approved users conduct research in the enclave on issues ranging from business innovation and entrepreneurship to community-based, children, youth, and family issues; agricultural economics; educational trends and policy; and energy consumption.

SUBSTANCE ABUSE AND MENTAL HEALTH

The Dynamics of Methamphetamine Markets

This research is a three-stage study of methamphetamine markets: 1) a survey of law enforcement agency respondents, followed by 2) semi-structured telephone interviews with narcotics police in a subsample of cities or counties, culminating in 3) comprehensive process studies of local retail meth markets in a smaller subsample of cities or counties. The purpose is to better understand the relation-



ship between the organization and operation of local meth markets and the health, safety, and economic livelihood of people in the surrounding community.

Stage 1 is completed and analyses are under way. A cluster analysis was conducted to identify respondents for stage 2, which is nearly completed. These interviews are conducted using a Webex connection and Google maps, allowing respondents to interactively communicate with interviewers to locate, describe, and expound on local drug markets. Stage 3 will begin early in 2010.

Preliminary findings show some similarity in how local retail meth markets are organized and operate. For example, meth is mostly sold through personal relationships with buyers and sellers likely knowing one another; their trade tends to involve cash, though rarely credit; and technology is important, with cell phones and text messaging common means of communication. Market organization/operation and related outcomes vary, which appears explained at least partly by the source of the meth production. For example, according to local police, markets characterized primarily by imported meth have fewer problems than markets characterized by both imports and local production.

OPERATIONS AND INFORMATION TECHNOLOGY GROUP

NORC gathers survey data in many different ways, including in-person, telephone, mail, Internet, audio-self-administered, or by mixed modes. Our survey data collection capabilities include a large, highly experienced national field staff; a state-of-the-art telephone center based on Voice over Internet Protocol (VoIP); a unique hybrid calling system that combines predictive dialing technology with rigorous survey methodology; use of new technologies, such as PDAs, portable scanners, GPS devices, and touch-screens; environmental and biological sample collection using trained interviewers or specialized professionals as appropriate; proven capability to access diverse and hard-to-reach communities; interviewing in a variety of modes in dozens of languages, notably Arabic, Chinese, Hmong, French, Haitian Creole, Khmer, Korean, Spanish, Russian, and Vietnamese; NORCSuite 3, designed to address distributed and multi-mode data collection projects, also accommodates many questionnaire authoring tools such as Blaise, SPSS, Fusion, and MRInterview; and superior interviewer training tailored to meet unique client needs.

In addition to survey data, NORC is expert in the following data collection techniques: case studies, cognitive interviews, Contingent Valuation methods, focus groups, key informant and stakeholder interviews, records collection and record sampling, qualitative data collection, site visits and other observational approaches, and use of vignettes.

NORC makes an ongoing corporate investment in continuous improvement initiatives in our data collection operations, which has resulted in steady gains in productivity. All data collection efforts are supported by state-of-the-art quality assurance methods and procedures. Protecting the confidentiality of respondents is of paramount importance to us, and we treat all data with the highest professional standards for security and confidentiality.

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NORC offers a full range of information technology, data collection, and analytic capabilities delivered in an integrated manner. NORC's IT staff includes software developers, database and systems analysts, network engineers, business analysts, technical architects, and computer security experts. IT provides programming and operational support to all research projects, including designing, implementing, and supporting applications for data collection and analysis, high-speed scanning for data capture, preparation of complex data files and code books, data access tools (data enclave), and knowledge management and collaboration systems. Our customizable, web-based NORCSuite 3 is designed to address distributed and multi-mode data collection projects that can integrate with a variety of databases and data collection tools. A dedicated Project Management Office, including PMI certified project managers, coordinates the complicated array of tasks required to deliver IT support.

NORC also features robust network and computing infrastructure that have supported its successes as an organization and have demonstrated resilience in the face of NORC's largest and most complex high-technology projects. NORC's offices have teleconferencing, videoconferencing, and collaboration technologies in order to facilitate formal and informal communications. All NORC staff use high-performance, multimedia desktop PCs utiliz-

ing Microsoft products and installed with the latest data protection and encryption technology. Facilities are interconnected with high-speed telecommunications, which include a private high-speed WAN, secure remote access system, secure internet, a fully automated and distributed high-capacity call center, and data centers equipped with high-performance servers and large capacity storage units. NORC's infrastructure securely supports a large remote interviewing staff who work in a virtual environment with state-of-the-art technology at individual locations throughout the country and internationally. NORC IT remains vigilant in frequently upgrading and expanding equipment as more advanced technologies become available. Diligent attention to security controls allows NORC to meet the strict requirements of its wide spectrum of clients.

TELEPHONE SURVEY AND SUPPORT OPERATIONS DEPARTMENT

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Vice President,
Telephone Survey and
Support Operations

Directors
Patrick Cagney
Kate Hobson
Shirley Williams



Jennifer A. Kelly

The NORC telephone and data preparation facility is in Chicago's downtown Loop area, providing NORC with excellent flexibility and diversity for hiring interviewers, clerks, and supervisors. Activities at the facility include computer-assisted telephone (CATI) data collection, inbound call distribution and handling, respondent locating and screening, survey response coding, hard-copy document management from receipt control through archiving, data capture via scanning or computer-assisted data entry, and survey material mailings.

Our state-of-the-art telephony infrastructure is highly scalable, allowing NORC to operate multiple facilities as one centralized center and to rapidly expand into additional facilities to meet emerging client demands. Current capacity stands at more than 400 stations equipped for CATI data collection. NORC conducts large national, state-based and local studies and has seen significant efficiency gains in telephone interviewing that have resulted from development of the hybrid dialing technology. This innovation is a system that automatically dials numbers for a subset of the sample and delivers connected calls to interviewers, while

simultaneously allowing for pre-dial reviews of more challenging cases. At the same time, VoIP technology allows for complete decentralized calling, where interviewers in their homes are securely connected as a virtual call center, as well as voice recording for monitoring and improvement of interviewer quality.

FIELD OPERATIONS CENTER

Judith Nell Petty
Vice President and Director,
Field Operations

Kyle Fennell
Associate Director,
Field Operations



Judith Nell Petty

NORC's large nationwide field organization is managed by senior field staff, with extensive in-person data collection experience. Each region is headed by a regional manager responsible for recruiting and hiring staff, training, and developing interviewers and field managers within the region to their full potential. The capabilities of this skilled group include conducting longitudinal studies, collecting biomarkers and environmental samples, accessing diverse communities, conducting interviews in many languages, and using a broad variety of tools to collect data, including computer-assisted recorded interviewing (CARI). Perhaps more importantly, this group has special skills for gaining cooperation from a diverse group of respondents, whether using a list or area probability sample.

In-person interviewing is supported by NORCSuite 3, our state-of-the-art case management system that accommodates many questionnaire authoring tools including Blaise, SPSS, Fusion, and MRInterview. By capitalizing on modernized operations and undertaking major initiatives in training, recruitment, and management processes, NORC has realized steady gains in productivity. NORC's use of a national sampling frame that incorporates the USPS list of addresses allows the flexibility to refine national and local surveys to the needs of particular clients.



ACADEMIC RESEARCH CENTERS AND THE UNIVERSITY OF CHICAGO AFFILIATION

NORC's Academic Research Centers and its wider relationship with the University of Chicago are mutually beneficial in many ways. Joint appointments provide benefits to both university faculty and NORC staff. NORC provides university faculty with a collegial and supportive work environment, and on-the-job training for graduate students. The University's Division of the Social Sciences is particularly prominent in this connection.

Additional benefit is derived from teaming agreements and more informal collaborations between NORC and other institutions affiliated with the university. The most important of these for NORC's work are:

- Biological Sciences Division
- Center for Health and the Social Sciences
- Chapin Hall Center for Children
- Department of Sociology
- Division of the Social Sciences
- Irving B. Harris Graduate School of Public Policy Studies
- Journal of Labor Economics
- Pritzker School of Medicine
- School of Social Service Administration
- University of Chicago Medical Center

Center for Advancing Research and Communications in Science, Technology, Engineering, and Mathematics

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Senior Fellow and Co-Principal Investigator

Colm O'Muircheartaigh
Senior Fellow and Co-Principal Investigator

Kevin Brown
Associate Director and Senior Research Scientist



Barbara L. Schneider

This Center is a National Science Foundation (NSF) funded initiative that supports education researchers focusing on core scientific questions of Science Technology, Engineering, and Mathematics (STEM) learning as part of NSF's Research and Evaluation on Education in Science and Engineering (REESE) program.

The Center is committed to capitalizing on and sharing the insights, methods, and results that help build an arc of knowledge across STEM fields. Working closely with REESE projects and program staff and its own Board of Science Advisors, the Center supports the identification of promising interventions, promising scholars, new methods, and opportunities to capitalize on STEM research findings to improve education policy and practice. ARC investigators:

- Examine contextual factors influencing instruction and student achievement, interest, and persistence in STEM
- Provide technical assistance that strengthens methodological and analytical capability
- Work with REESE projects to establish criteria for synthesizing studies that take innovative approaches to STEM research
- Collaborate with REESE projects to identify core project and programmatic messages
- Synthesize REESE research findings and create and share products that summarize key findings for NSF staff and broader audiences
- Conduct research that advances the mission of the REESE program and informs the technical assistance services we provide to the REESE community

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Tom W. Smith
Linda J. Waite



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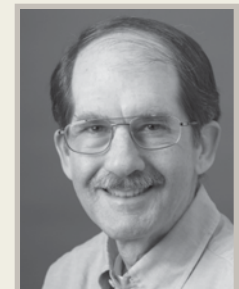
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Tom W. Smith

This Center focuses on the investigation of societal change in comparative perspective. The National Data Program for the Social Sciences (NDPSS) is its largest component. The NDPSS has conducted the General Social Survey (GSS) in the United States 27 times since 1972. The GSS tracks and develops models to explain societal change, studies socio-demographic subgroups through the pooling of cases across surveys, and improves survey research methodology through experiments and design innovations.

Since 1982, the NDPSS has had a cross-national component. Its main part has been the International Social Survey Program (ISSP) which was co-founded by NORC in 1984.

The ISSP has conducted annual surveys from 1985 to the present and now has 46 member countries. Other cross-national research includes the International Mental Health Stigma Study and studies of the terrorist attacks in the United States and Spain.

The CSPS also carries out considerable research on religion in general and religious change in particular. The work of Andrew Greeley on the sociology of religion includes research on evangelicals, images of God, trends in belief in life after death, and many other aspects. Tom W. Smith has done studies on the incidence and nature of spiritual transformations, the decline of Protestantism in the United States, and religious change around the world.

Center on Demography and Economics of Aging

Linda J. Waite

Director

Kathleen A. Cagney

Co-Director



This Center, now in its 16th year of funding from the National Institute on Aging (NIA), provides support to more than 30 researchers who conduct research in four key areas: social relationships, living arrangements, and family; the social context of aging; health care research; and biobehavioral pathways. The Center consists of an Administrative and Research Support Core, a Program Development Core, and an External Innovative Core on Biomarkers in Population-Based Aging Research. Together these three cores facilitate and support a large and extremely active program of research and training.

The Program Development Core consists of an active program of pilot projects and support for new faculty developments in aging. The External Innovative Core is a network that seeks to develop a new focus on biomarkers in population-based aging research, by providing a centralized resource for collecting, discussing, evaluating, and disseminating recent developments in the measurement and collection of biomarker and pharmaceutical data on population-based aging research.

Funded by the Behavioral and Social Research Program at NIA, the External Innovative Core hosts an annual workshop on issues pertinent to collection and analysis of biomeasures in integrated population-based health and

aging research. In the past two years, the workshop was funded through a cooperative agreement to supplement this annual activity. To accomplish integrated health and illness research in the population setting, areas of need include: developing methodology for analytic integration of biological and social data and methods for streamlining collection of data in the population setting, and working to remain up to date on rapid advances in clinical and laboratory science regarding the relation of key biomeasures to the behavioral, psychosocial, economic, and health-related variables of interest to population scientists.

Cultural Policy Center

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Norman Bradburn

Senior Fellow

D. Carroll Joynes

Senior Fellow



This is a nationally recognized interdisciplinary research Center dedicated to informing policies that affect the arts, humanities, and cultural heritage. It is a joint initiative of the Harris School of Public Policy Studies and NORC.

Since 1999, this Center has served as an incubator for new ways of understanding arts and culture, how they work, and how they are informed and affected by policies in the public, private, and nonprofit sectors. The Center draws its strength from collaborations with faculty and students throughout the University of Chicago and with researchers and cultural sector leaders across the globe.

It is committed to:

- Developing research that provides the basis for informed policy decisions affecting cultural institutions, activities, and markets
- Generating policy options for cultural administrators and policymakers
- Preparing students of public policy for careers in the cultural sector
- Developing future researchers and scholars in the field of cultural policy research
- Advancing public dialogue on policy and culture issues of the day

Joint Center for Education Research

Thomas B. Hoffer

Director

This Center draws upon resources and ideas from University of Chicago-based faculty and other researchers, and coordinates research activities with the University's Committee on Education. The Center continues to be an integral resource for NORC's Education and Child Development Department.

The Center works to support investigator-initiated research grants and collaborations with University of Chicago faculty who have similar interests in education evaluation research and analytic projects in the school policy realm. The Center also facilitates the creation of research opportunities with two university-based research organizations that have focused primarily on Chicago Public Schools:

- Consortium on Chicago School Research
- Center for Elementary Mathematics and Science Education (CEMSE)



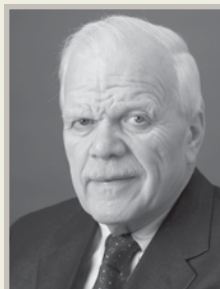
Thomas B. Hoffer

Ogburn-Stouffer Center for the Study of Social Organizations

Edward O. Laumann

Director

This Center undertakes sociological research on topics in population, education, and social structure. It also provides on-the-job training for University of Chicago graduate students in the Sociology Department. During its more than 20 years of research, the Center has been led by Edward Laumann. The *National Social Life, Health, and Aging Project (NSHAP)* draws heavily on Laumann's earlier research on the behaviors and social structures that influence transmission of HIV and other STDs.



Edward O. Laumann

Laumann's current research, also drawing on NSHAP data, appeared as "The Social Connectedness of Older Adults: A National Profile," in the *American Sociological Review*, 75(2):185-203. Relatively little is known about the social consequences of this trend, although Laumann's research does show that for heterosexual men and women, social networks contract as one ages.

Another topic of Center research combines social network, exchange, and gender perspectives to propose a causal account of erectile dysfunction in older men. They argue that the way in which heterosexual couples' social networks overlap has important implications for the male partner's sense of power and independence, and ultimately his ability to perform sexually with the female partner. The strength of social network associations rivals those involving biomedical factors in erectile dysfunction, including prostate trouble. This research, done in conjunction with Professor Benjamin Cornwell of Cornell University, draws on the analysis of data from the *National Social Life, Health, and Aging Project* (see page 16).

Population Research Center

Kathleen A. Cagney

Director

This Center is in its 30th year of partnership with the National Institute of Child Health and Human Development (NICHD). The center's charge is multifaceted—it helps faculty to conceptualize and perform novel research, it creates opportunities for collaboration, and it hosts workshops and meetings that allow for exploration and development of new ideas in real time. University of Chicago faculty collaborate with other center Associates, develop research programs and pursue support through NICHD, participate in the Demography Workshop, and train students in demographic methods. The Center's growth has come from researchers in economics, psychology, business, public policy, medicine, and social services administration. That diversification reflects both a broadening in all population centers and a consistent trend at Chicago. The Center has always worked at the margins of what was considered to be traditional demography, and as a result has helped expand the domain of the field.



Kathleen A. Cagney

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Georgetown University
Indiana University
Michigan State University
New York University
Northwestern University
Ohio State University
Center for Human Resource Research
Rice University
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University of Iowa
University of Louisville
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New York State Health Foundation
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American Bar Association
American Cancer Society
American Dental Association
American Medical Association
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Andrew Greeley Enterprises
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Arbor Research Collaborative for Health
Association of State and Territorial Health Officials
Berkeley Policy Associates
Center for Studying Health System Change
Child Trends, Inc.
Children's Hospital of Philadelphia
Cornhusker Place Substance Abuse Center
Council of Professional Associations on Federal Statistics
Development Innovations Group
Eastern Research Group
Erimax Incorporated
Health Affairs Journal
Health Research and Educational Trust
Health Services Advisory Group
IMS Health, Inc.
Innovations Incubator
Internet Corporation for Assigned Names and Numbers
L&M Policy Research
Maine Medical Center
Merck Sharp & Dohme Corp.
Metanexus Institute on Religion and Science
National Academy of Sciences
National Association of County and City Health Officials
National Bureau of Economic Research
National Development and Research Institutes
National Rural Health Association
Patriot Technologies, LLC
Police Executive Research Forum
Project HOPE
Public Health Accreditation Board
Results for Development Institute, Inc.
Rhode Island Providence Plantation

TKC Integration Systems
United Jewish Communities
Urban Institute
Western New York Public Health Alliance, Inc.

State and Local Government

Chicago Metropolitan Agency for Planning
Chicago Public Schools
Illinois Department of Employment Security
Illinois Department of Healthcare and Family Services
Illinois Department of Human Services
Mayor's Fund to Advance New York City
Providence Department of Art, Culture and Tourism
Rhode Island State Council on the Arts
Seattle Mayor's Office of Arts and Culture
St. Louis Integrated Health Network
Tacoma Arts Commission
Washington State Arts Commission

U.S. Government

Appalachian Regional Commission
Board of Governors of the Federal Reserve System
Medicare Payment Advisory Commission
Millennium Challenge Account-Honduras
Millennium Challenge Corporation
Millennium Development Authority-Ghana
National Aeronautics and Space Administration
National Endowment for the Arts
National Endowment for the Humanities
National Science Foundation
U.S. Department of Agriculture
Economic Research Service
U.S. Department of Commerce
Bureau of the Census
National Institute of Standards and Technology
U.S. Department of Defense
Office of the Assistant Secretary of Defense
U.S. Department of Education
Institute for Education Sciences
Office of Postsecondary Education
U.S. Department of Energy
Energy Information Administration
U.S. Department of Health & Human Services
Administration for Children and Families
US Family and Youth Services Bureau
Office of Policy Research and Evaluation
Agency for Healthcare Research and Quality
Centers for Disease Control and Prevention
National Center for Health Statistics
National Institute of Occupational Safety and Health
Centers for Medicare and Medicaid Services
Health Resources and Services Administration
Office of Rural Health Policy

National Institutes of Health
National Institute on Aging
National Institute of Child Health and Human Development
National Institute on Drug Abuse
Office of AIDS Research
Office of the Assistant Secretary for Planning and Evaluation
Office of Public Health and Science
Office of Disease Prevention and Health Promotion
Office of Minority Health
Office of Women's Health
Substance Abuse and Mental Health Services Administration
U.S. Department of Interior
Office of Historical Trust Accounting
U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics
National Institute of Justice
U.S. Department of Labor
Bureau of Labor Statistics
Equal Employment Opportunity Commission
Occupational Safety and Health Administration
U.S. Department of Veterans Affairs
Veterans Health Administration, Office of Rural Health

Non-U.S. Organizations

Agence du Partenariat pour le Progrès, Government of the Kingdom of Morocco
Banco de España
Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)
Deutsche Invest und Entwicklungsgesellschaft (DEG)
Development Innovations Group
Empirica Gesellschaft für Kommunikationen
European Bank for Reconstruction and Development (EBRD)
Global Development Network
International Development Research Centre of Canada
International Finance Corporation
International Housing Coalition
Open Society Institute Europe Foundation
Rwanda Ministry of Finance and Economic Planning
State of Qatar

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