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Committee on National Statistics

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National Research Council

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PANEL ON PRIVACY AND CONFIDENTIALITY AS FACTORS IN SURVEY RESPONSE

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Preface

Privacy and confidentiality have been receiving increasing attention from the public and from the executive and legislative branches of government. Newspapers, popular literature, and scholarly treatises have taken note of the growing concentration of individual data records and the increasing ability of computer and communication technologies to facilitate linkage, retrieval, and dissemination of personal information.

Some of this public concern has been reflected in governmental action. Enactment of the Privacy Act of 1974 (P.L. 93-579) and other federal and state laws, promulgation of regulations, and adoption of administrative guidelines have evidenced the attention of legislators and government executives given to what they see as the need to assure the public that its rights of privacy are protected in the acquisition and maintenance of data records. At the same time, government officials recognize that timely and relevant information in statistical form is needed for decision making in both the public and the private sector.

Producers and users of survey data have been focusing on perceived increasing difficulties in conducting surveys and censuses of individuals and households. Although many reasons have been suggested for the reported increasing difficulties—changes in living and working conditions, oversurveying, disillusionment about the validity of survey results, fear of crime, the employment of survey approaches as a disguise for sales ventures—public concern about privacy and confidentiality has received prominent mention as a contributory cause.

In 1973, under a grant from the National Science Foundation, the Ameri-

can Statistical Association brought together a group of social scientists and survey methodologists to explore the problem and to try to determine whether it constituted a threat to the continued use of surveys as a basic tool of social science research. The conference reached the general conclusions that survey research was in some difficulty, that the difficulty was increasing, and that intensive investigations of the problems should be undertaken. In Lester Frankel's presidential address to the American Statistical Association in 1975, he discussed the problems of maintaining satisfactory response levels in surveys and gave attention to the public's fears of invasion of privacy and violation of confidentiality of records as a factor. Survey researchers who collect data recognize the conflict between the public's wish to know about the state of our society and the public's desire to protect its privacy and are concerned that the conflict may be escalating.

The U.S. Bureau of the Census has an especially great interest in these matters: it has the largest responsibility of any government agency for collecting information from the people of the United States and processing it into statistical reports, and it is engaged in intensive planning for the 1980 decennial census. If the Bureau can secure and maintain the public's trust, needed information gathering can be done with minimum abrasion and cost, and statistics of quality and utility can be produced.

The Committee on National Statistics of the National Research Council recognized these concerns of the public, social researchers, and data collectors as a subject that lacked adequate illumination. In response to an invitation from the Census Bureau, it proposed an exploratory study, and the Bureau agreed to provide the funding for it. The Committee established a multidisciplinary group, the Panel on Privacy and Confidentiality as Factors in Survey Response, to conduct the study.

The Census Bureau asked the Panel to devise and test, on a pilot scale, experimental methods for obtaining information on how people in the United States currently feel and behave in their roles as respondents, or intended respondents, in household censuses and surveys. The Census Bureau's interest in such methods was related both to its preparations for taking the 1980 census and to issues posed by survey practitioners and users generally. It was also related to a general interest in the people, who are the primary source of the data and who are ultimately affected by the statistics developed from those data: people's concerns about their privacy and about the confidentiality of information gathered about them clearly warrant such interest.

There appeared to be little empirical knowledge about the views of the public on the issue of confidentiality and about how those views affected their behavior as census or survey respondents. The belief that there was a paucity of comprehensive quantitative information on the subject was

confirmed in the early phases of the study. The study had the special feature that it undertook, with the cooperation of the sponsor, an original data collection effort, using techniques that had not been tested operationally on the subject.

Since the use of the techniques produced pertinent data as well as a test of methodology, it is hoped that this report will not only facilitate further research in the exploration and appraisal of techniques but will also be a useful addition to knowledge in the field.

We acknowledge with gratitude the assistance received from the many individuals and organizations who cooperated in the study. The Bureau of the Census was not only the sponsor of the project, but, following general specifications of the Panel, joined with the Survey Research Center of the University of Michigan in field collection and processing of data for pilot surveys that were major elements of the study. Many members of the Bureau staff played essential roles in the undertaking. Vincent P. Barabba, director of the Bureau from August 1973 to September 1976, initiated the request for the study and gave it strong support. Robert L. Hagan, deputy director and acting director, and Manuel D. Plotkin, who became director in May 1977, gave it continued support. A. L. Finkner, associate director for statistical standards and methodology until June 1977, participated in developing the concept and plan of the study and served as the Bureau's technical representative, with responsibility for monitoring the progress of the project and directing the Bureau's input to it. His colleague and successor, Harold Nisselson, assisted in and continued the exercise of this responsibility.

A special word of appreciation goes to members of the staff of the Bureau's statistical research division, which performed many operational tasks at the request of the Panel. Anthony G. Turner was the chief contact between the Bureau and the Panel staff, participated importantly in all of the Bureau's activities in connection with the project, and indefatigably maintained a flow of information to the Panel staff on those activities and their outcomes. He was personally responsible for much of the Census Bureau's work on sample design for the response behavior survey and on the survey validation experiments. Charles D. Cowan was a major contact on a number of phases of the program, made significant contributions to the planning and conduct of the attitude survey, and was responsible for the programming and production of the computer tabulations of the results of the attitude and response behavior surveys. Sarah A. Doherty was primarily responsible for writing the field procedural instructions and for supervising the clerical processing of the survey returns. Naomi D. Rothwell made major contributions to the planning and conduct of the small-group discussions and the questionnaire content of the attitude survey. Jeffrey Moore

participated in the planning of the small-group discussions and the follow-up of the attitude survey. Many others in the Census Bureau were involved, as part of their regular duties, in sample design, questionnaire design, field operations, data processing, and other functions necessary to the Bureau's input to the study.

The Survey Research Center of the Institute for Social Research, University of Michigan, was a partner of the Census Bureau in the conduct of the pilot attitude survey and of the small-group discussions. It participated in the questionnaire design for the attitude survey and was primarily responsible for the sample design, field manuals, and editing and coding for that survey. A special debt of gratitude is acknowledged to John C. Scott, head of the Center's field office, Irene Hess, head of the sampling section, and their associates for their contributions to the study.

Many survey experts responded generously to our canvass, providing information, much of it unpublished, about their survey operations and research: a list of these is given in Chapter 5. Particular acknowledgment is made of the assistance of Ingrid C. Kildegaard and her colleagues in the Advertising Research Foundation.

The Committee on National Statistics provided a most appropriate locus for the Panel's work, and members of the Committee gave encouragement and advice. Its chairman when the Panel's work began, William H. Kruskal, played an important role in outlining what were to become the key elements of the project and gave close and continuing attention to it throughout. Margaret E. Martin, then executive director of the Committee, was primarily responsible for the initial organization of the undertaking, and provided unremitting support and assistance. Maurice E. B. Owens, of the Committee staff, made contributions to the assembly and evaluation of materials for Chapter 5. Jessica A. Kaplan, of the Committee staff, assisted in the analysis for Chapter 4 and in the compilation of the bibliography. On the staff of the Assembly of Behavioral and Social Sciences, Charles Turner contributed to the analysis for Chapter 4, and Eugenia Grohman was responsible for editorial review.

Above all, the Panel expresses its profound appreciation to the project staff. Edwin D. Goldfield, study director, had overall responsibility throughout the study and made major contributions to every phase. He provided the working materials for the Panel, organized its meetings, and was chiefly responsible for drafting the preliminary and interim reports as well as this report. Walt R. Simmons assisted in formulating the research plan and took prime responsibility for its mathematical statistical aspects. He developed drafts of some of the introductory material, of Chapter 3, of much of Chapter 5, and of the Mathematical Notes. Barbara W. Booker was secretary for most of the study's duration, assisted in the administrative and

bibliographic work, and was responsible for the meticulous typing of the report drafts. Gloria A. Wise was secretary during the first several months of the study, and Veronica Martin assisted in the typing.

Finally, I wish to express my thanks to my fellow Panel members for their willingness to contribute their time and their specialized knowledge to the planning, structuring, and analysis of the undertaking and for the thoroughly harmonious way in which they worked together.

WILLIAM H. SHAW, *Chairman*
Panel on Privacy and Confidentiality
as Factors in Survey Response

1 Introduction and Summary

BACKGROUND

The Panel on Privacy and Confidentiality as Factors in Survey Response undertook an exploratory research study on the effects that conditions of privacy and confidentiality, and people's perceptions of them, have upon the ability of government statistical agencies to collect full and accurate information from individuals and households.

There is a large body of opinion on the impact of privacy and confidentiality on surveys. These opinions have been based almost exclusively on isolated observations, folklore, and unsupported judgments. The Panel's study was a trial of more systematic techniques for securing empirical evidence on the topic. The intention was to evaluate possible methods of assembling empirical evidence on the topic and to test several of the more promising techniques for operational feasibility.

In the context of the study, "privacy" refers to the right of an individual to keep information about herself or himself from others, and "confidentiality" refers to the safeguarding, by a recipient, of information about another individual.

Early project plans envisaged a three-phase effort. The first phase would consist of investigation and selection of possible techniques and instruments for obtaining evidence on the topic; the second phase would be the design and trial of those techniques and instruments. A report would cover those two phases. If the evaluation of that experience warranted it, a third phase would be undertaken: it would include larger-scale

studies, perhaps in the form of nationwide probability surveys, to yield quantitative evidence; they would be conducted in time to be useful in planning the 1980 census.

Events led to modification of the original three-phase plan. Administrative factors caused delays in initiating the project and in the early aspects of the investigation, jeopardizing the timing of the possible third phase with respect to 1980 census planning. At the same time, the preliminary work was encouraging: very small-scale testing of survey approaches suggested that such techniques could be used. The general methodologies under consideration were not new; it seemed likely that they could be adapted to the problem at hand and that in more substantial field trials the procedures would be operationally feasible. It was therefore decided to merge the objectives of the originally planned second and third phases and go into a modified phase three, on a scale somewhat smaller than originally anticipated, on a nationwide sample basis. It was expected that this would both provide a further testing of procedures and yield useful data for analysis, within the limits of sample size imposed by available resources and within the time restrictions set by the imminence of the 1980 census.

Part of this report includes the results of phase-one activities, including a survey of current experiences of survey practitioners (Chapter 5), an extensive bibliography (Appendix D), and information from small-group discussions, used as sources of attitudinal data (Chapter 4). The major portion of this report presents the results of the modified phase-three effort: two exploratory nationwide sample surveys—one an attitude survey (Chapter 2), the other a behavior survey (Chapter 3).

The Panel emphasizes that the primary objective of the study was to explore and evaluate the operational feasibility of the chosen techniques for securing empirical evidence on the public's attitudes and behaviors with respect to assurances of confidentiality. Any substantive conclusions that might be drawn from the surveys would be an added benefit. This perspective should be kept in mind although the report gives more space to the tentative substantive findings than to evaluation of the methods. The balance in the report reflects three circumstances: (1) the methodologies proved to be generally feasible; (2) time restraints foreclosed more detailed evaluation of certain aspects of the procedures; and (3) the surveys yielded a good deal of information deemed worthy of analysis and presentation, although of limited detail. The Panel recommends similar surveys, with larger samples, in order to evaluate the methods further and, more importantly, to secure greater precision and detail of substantive findings. Many apparent findings in this report are not definitive, since they rest on rather

small samples and are the result of a single trial. Later trials with larger samples should provide data for separate sectors of the population—for example, urban versus rural, or high- versus low-income areas—and thus suggest publicity and collection strategies tailored to various population groups.

The Panel did not undertake to make legal or ethical determinations, but rather to observe, or try out methods of observing, the public's attitudes and behavior with respect to aspects of privacy and confidentiality in censuses and surveys. It was also beyond the scope of the study to investigate specific allegations—such as dissatisfaction with survey techniques or with use of particular data collected in surveys—voiced by respondents in the attitude survey or by participants in small-group discussions. Some of the matters discussed in the literature and reported in Chapter 5 of this report (e.g., use of invisible identifiers in purportedly confidential surveys or sales campaigns masquerading as surveys) indicate that some of these concerns are valid, and they ought to be considered seriously by survey practitioners.

The two nationwide surveys, of attitude and of behavior, are treated separately in Chapters 2 and 3. In each chapter, the methodology is described first and is followed by an analysis of results. (Supporting material appears in the appendixes.) Chapter 2 reports on a survey of recalled past experience as survey respondents (or nonrespondents) and of attitudes about surveys; this survey was conducted jointly by the Census Bureau and the Michigan Survey Research Center. While it is recognized that attitude surveys may not be reliable predictors of behavior—citizens who say they favor a particular candidate may vote for another candidate or not vote at all; householders who say they are fed up with surveys and will not respond to any more impertinent questions about income or plumbing facilities may nevertheless fill out the census questionnaires when they receive them in the mail—the Panel believed that an attitude survey might have value in identifying areas of concern or nonconcern and areas of knowledge or ignorance and might indicate differences among population groups. The second survey was of a different nature. It was a controlled, randomized experiment in measuring response behavior—in particular, differential response behavior of people confronted with promises of confidentiality differing in duration of protection. The legal conditions under which the Census Bureau operates cause it to be especially interested in this aspect, although other data-collecting and data-holding organizations can also be expected to be interested.

The Census law (Title 13, U.S. Code) requires the Census Bureau to keep confidential, even from other federal agencies, the individually indentifiable information it collects. Standard Census Bureau questionnaires, whether for

a decennial census or a monthly sample survey, carry statements guaranteeing confidentiality. The guarantee presumably contributes to the relatively high response rates obtained by the Census Bureau. There is, however, an ambiguous dimension to the assurance of confidentiality and that is its duration: the Census law does not specifically state whether the confidential status of the individual data is to endure forever or for some limited period of time. A law pertaining to the National Archives of the United States prescribes a general policy of opening government records after appropriate periods of time. Under an agreement pursuant to that law, the 1900 census records, in the custody of the National Archives and Records Service, have been opened to researchers, and it is the intention of the Archives to open each succeeding set of census records for research use as it reaches 72 years of age. There is much advocacy by researchers for still earlier access to individual census records—e.g., after 50 years, or even 10 years. Bills have been introduced in the Congress specifying one period of confidentiality or another.

The Census Bureau, which had been accustomed to promising confidentiality without an end date, is concerned about whether it can expect willing cooperation in the 1980 census if its confidentiality promise for that census is equivocal or if it specifies only a limited period of confidentiality. The response behavior survey, as well as some of the questions in the attitude survey, were intended to explore methods of getting information relevant to that question.

As a part of phase one of the study, semistructured discussions about privacy and confidentiality were held with selected small groups. The Panel thought that interplay within a group might bring out and develop ideas and feelings more strongly than could be done by individual questionnaires and other means. A number of such small-group discussions were held, conducted by the Survey Research Center and by the Census Bureau. They provided interesting material in themselves and were useful in planning the questionnaire for the attitude survey. The small-group discussions are described in Chapter 4.

Another part of the study was a review of relevant literature and a canvass of selected survey research organizations. The organizations were asked to provide information on such matters as trends in refusal rates, changes in level or nature of collection effort needed to sustain quality, problems reported by interviewers, and studies, if any, of respondents' attitudes about surveys or about privacy. The prior impression of a general lack of quantitative data of this type was confirmed, but a considerable amount of information, some of it nonquantitative, was obtained. This information is presented in Chapter 5. A bibliography of published materials comprises Appendix D to the report.

FINDINGS AND CONCLUSIONS

This section presents a summary of information obtained from the attitude survey, the response behavior survey, the small-group discussions, and the canvass of survey research organizations and literature that were conducted as components of this study. Descriptions and evaluations of the methodology and considerably more detailed substantive results are presented in Chapters 2–5 and the appendixes.

The attitude survey, the response behavior survey, and the small-group discussions were exploratory and small-scale; a major purpose of the study was to determine whether the techniques held promise. With the qualifications set forth in Chapters 2, 3, and 4, and implied in the Panel's recommendations, the techniques did prove to be operationally feasible and capable of producing information relative to the impact of assurances of confidentiality on reporting in censuses and surveys. Despite their modest size, the exploratory efforts have provided a number of findings. Larger-scale undertakings of the same types at some future time, as recommended in this report, would yield more detailed and more definitive findings.

REPORTS OF SURVEY PRACTITIONERS

The majority of survey organizations reported increasing difficulties in conducting surveys in recent years. Response rates have declined or have been maintained only by increased effort and higher unit costs. Declines in response rates are likely to have a direct, adverse effect on the quality of survey results; in addition, they may be accompanied by declines in the accuracy of reporting by those who do respond.

High response rates, e.g., 95 percent, are typically associated with surveys that have had detailed and extensive planning, controlled energetic collection, and relatively long operational experience, such as those conducted by major federal statistical agencies. Even these have required increased effort and cost to maintain, or nearly maintain, their response rates. For other surveys, the response rates, if properly calculated, are usually found to be considerably lower and to have been declining.

A number of reasons were cited for the reported increasing difficulties in securing response. Among them were changing life-styles that make access to designated respondents increasingly difficult; the proliferation of surveylike activities (e.g., sales solicitations posing as surveys); skepticism about the purpose, validity, or usefulness of surveys; and inadequacy of surveying techniques to deal with current conditions. The relative importance of invasion of privacy and doubts about the confidential handling of

data as causes of nonresponse has not been clearly established, but these elements were often mentioned as factors in both degree and accuracy of response.

Both our survey of the literature and responses from survey practitioners revealed some promising techniques that have been developed to increase response rate and quality, including techniques to give respondents greater assurance of privacy and confidentiality. They offer opportunities to improve survey results in particular types of applications.

ATTITUDE SURVEY

Respondents' Survey Experience

The first section of the attitude survey included questions about respondents' experience, during the preceding 4–5 years, as objects of survey contacts and as participants or nonparticipants in those surveys. Their reported experience does not suggest that most of them had been frequently accosted by survey takers, either by personal visit, mail, or telephone: 44 percent of the attitude survey respondents reported that they recalled no prior survey contacts of any type, and 16 percent reported one contact; a small number, 2 percent, reported more than 20 contacts.

Many of those who reported survey contacts said that they had not responded to them. Thus, in all, 54 percent said they had not participated in any surveys during the 4- to 5-year period, either because of no contacts or because of failure to respond to contacts, and 18 percent reported having made only one response. The average number of reported contacts was 3.3 per person, and the average number of reported responses was 1.8, a response rate of 55 percent.

In terms of response rates, personal-interview surveys were most successful, with a recalled response rate of 74 percent compared with 55 percent for mail and 46 percent for telephone surveys. The less expensive mail and telephone approaches were, however, more frequently used. Mail surveys, averaging 1.8 recalled contacts per attitude-survey respondent, accounted for more than half of the total of 3.3 contacts. Only 19 percent of the respondents recalled one or more contacts by personal visit during the 4- to 5-year period.

When asked why they had failed to respond to a recalled prior survey contact, respondents in the attitude survey gave a variety of answers; most of them appear to reflect inconvenience or lack of interest ("too busy," "oversight," "topic uninteresting"), but a number may also reflect privacy and confidentiality concerns ("topic objectionable," "distrust"). Mail questionnaires, while not subject to complaints of "incon-

venient time" of call, were vulnerable to oversight or procrastination. Apathy, in one manifestation or another, seemed to be the major type of reason cited for nonresponse. It appears to be overcome by the intervention of the human element—to some degree in telephone surveys and to a greater degree in personal-visit surveys. For telephone inquiries, however, objection to the survey method and distrust of the unseen interviewer were frequently cited as reasons for nonresponse. This was not the case for personal-visit surveys.

When respondents who had participated in a survey were asked about kinds of questions disliked, they most frequently mentioned questions on income. This is an instance in which the survey data tend to confirm a commonly held belief. While other questions may be intrinsically more objectionable, they may not have been mentioned as frequently because they were not often included in surveys.

Respondents' Perceptions and Opinions

Many respondents in the attitude survey expressed negative feelings about the value and accuracy of surveys, their interest to respondents, the acceptability of question content, the confidentiality of survey records, and the integrity of survey takers. About one-half of the respondents unequivocally felt that surveys serve a good purpose, while one-fifth categorized surveys as a waste of time and money. Less than half felt that survey results were right almost always or most of the time. When those who felt otherwise were asked why, they gave a variety of reasons, many speaking of methodological or operational deficiencies and others expressing the belief that survey results were affected by deliberate dishonesty of sponsors, researchers, or respondents.

When asked their perception of how many people could be expected to report accurately on finances, only 3 percent said "almost everyone," and 41 percent said "hardly anyone." A majority felt that a promise of confidentiality would make a difference in the accuracy of reporting on finances, but few of those believed that such a promise would induce almost everyone to report accurately. On this point, the questions were phrased in terms of how the respondent thought others would react to a situation, rather than asking respondents directly how they would react. This course was taken because many opinion surveyors believe it results in more realistic data when a truthful answer to an inquiry may entail some embarrassment or impairment of self-image if the answer applies directly to the respondent.

When asked to discriminate among types of organizations in their ability to get accurate information, about half registered no choice. Among those

who thought that there was a difference, the national government was named most often as the most likely to get accurate information. Private companies, as a group, were rated lower than government or universities. On tlie related question of which type of organization could be trusted most to keep survey responses confidential, the majority of respondents did not perceive any great difference. Among those that did, the national government was most often cited as trustworthy, and private companies again received the poorest rating.

As to type of survey approach preferred, a predominant preference was expressed for personal interview, with mail surveys rated second and telephone surveys last among the three modes. It should be noted, however, that because the attitude survey itself was conducted by personal interview, the views of its respondents may be biased in favor of that approach. The chief reasons cited by respondents for preferring face-to-face interviews were the more personal aspect and the availability of the interviewer to help the respondent answer the questions. Other reasons cited were more trust, the belief that the approach was a more effective way to gather information, and the belief that the greater effort and expense demonstrated the importance of the survey.

There was evidence of a substantial lack of knowledge by the public about which organizations collect information on various subjects of major public concern. One of the topics asked about was unemployment. Statistics on unemployment, especially the monthly estimates of the national unemployment rate, are given considerable media coverage These are based on field canvassing by the Census Bureau, and the resultant statistics are analyzed and released by the Bureau of Labor Statistics; both are agencies of the national government. When asked to identify the type of organization that gathers information on unemployment rates in the United States, 47 percent of the respondents (55 percent of those who said they had heard about the subject lately) chose national government from a card listing the major types of organizations, and 2 percent named the Census Bureau when asked to name a specific organization.

Another topic was the decennial census of population. It might be expected that nearly every adult knows that the national government conducts a count of all the people every 10 years and that a large proportion of them can identify the Census Bureau as the agency that takes the census. Yet, even when the percentages are calculated on the base of those who said they had heard about the subject lately, nearly one-fourth failed to recognize the decennial census as a national government undertaking and nearly one-half failed to identify the Census Bureau as the census taker.

Respondents also lacked knowledge about the Census Bureau and the decennial census in other respects. In answer to the question, "When the

government takes a census of the United States population every ten years, are all households required by law to answer the questions?", one-half of the respondents stated, correctly, that compliance was required, one-fourth stated that it was not, and one-fourth stated that they did not know.

A series of questions about the confidential status of individually identifiable census records yielded results that indicate that few people believe that the records are truly confidential. Federal law makes it a crime to disclose the records to anyone outside the Census Bureau, even other federal agencies. The responses suggest that the law is not widely known or its protective force is not widely believed in. Asked if they knew whether the Census Bureau's individually identifiable records were open or not open to the public, 35 percent believed that they were not open, 18 percent believed that they were open, and 46 percent did not know whether they were. Those who said that they were not open to the public or did not know were then asked if they knew whether the records were available to other government agencies. Most did not know; of those who had a definite view, most said that government agencies did have access to the records. A further question was asked of those who said the records were not open to government agencies or did not know: "Do you feel that other government agencies *could* obtain individual records from the Bureau of the Census if they *really tried?*" Most said "yes." The result of the three questions was that only 5 percent of the respondents said that they felt that individually identifiable Census Bureau records were truly confidential, with 14 percent not having an opinion and the great majority believing they were not.

Although few respondents believed that the census records are currently really confidential, most of them said that they should be. About half said they should be kept confidential forever, i.e., as long as they exist, and most of the rest felt they should be kept confidential for some period of time. Only about 7 percent said the records should be made available to outside researchers immediately.

SMALL-GROUP DISCUSSIONS

Participants in the small-group discussions voiced opinions that were generally consistent with those of the respondents in the attitude survey. They expressed doubts about the value of surveys and suspicions about ostensible survey takers. They were cynical about assurances of confidentiality. They considered certain subjects private and not suitable as survey inquiries; questions about income or other financial matters were commonly mentioned as examples. Nevertheless, they indicated a willingness to participate in surveys, especially personal-visit surveys, if approached in a convincing and reassuring manner.

RESPONSE BEHAVIOR SURVEY

In the response behavior survey, a questionnaire containing questions typically included in population and housing censuses was administered by personal interview, using Census Bureau interviewers, to a national sample of households. The sample was divided into five subsamples: for each, the questionnaire and interview procedure were the same except for the promise of confidentiality included in the introductory statement. The variations of the statement were as follows:

A. assurance of confidentiality in perpetuity;
B. assurance of confidentiality for 75 years;
C. assurance of confidentiality for 25 years;
D. no mention of confidentiality; and
E. statement that replies may be given to other agencies and to the public.

The five statements were considered to be in decreasing order of confidentiality assurance.

Overall response in the survey was high, more than 91 percent. The experiment did not identify promise of confidentiality or lack of it as a major factor in determining response or nonresponse, but did reveal that there are apparently some people for whom confidentiality is a response factor.

Some nonresponse was registered before the interviewer had an opportunity to read the introductory statement to an intended respondent. This amounted to about 6 percent; somewhat less than half of these nonresponses were refusals to be interviewed, and somewhat more than half were noninterviews for other reasons. Among those sample persons who were reached and to whom the introductory statement, with its variable confidentiality treatment, was read, the refusal rate varied monotonically with the degree of confidentiality, ranging from 1.8 percent for the strongest assurance to 2.8 percent for the statement of no confidentiality. These refusals were in addition to those that occurred before the confidentiality statement was read; some of the prior refusals may have reflected in part a general concern about privacy or confidentiality. The total noninterview rate, including refusals before and after the statement as well as noninterviews for reasons other than refusal, ranged from 7.2 percent for the subsample designated for the strongest confidentiality assurance to 10.0 percent for the subsample designated for denial of confidentiality. While many of these noninterviews could not have been associated with the impact of the confidentiality statement upon a prospective respondent (in cases where the statement was not read), there may have been some influence of the confidentiality condition

upon the effort or attitude of the interviewer in seeking to obtain an interview. Tests of significance support the conclusion that the refusal rate tended to increase with decreasing assurance of confidentiality.

In addition to complete nonresponse to a survey, there may be nonresponse for specific items in an otherwise completed questionnaire. Item nonresponse for most items in the response behavior experimental survey was too small to detect any differentials among treatments. For the sensitive item of income, however, a differential pattern was apparent: item nonresponse on income ranged from 6.7 percent for those in treatment A to 9.2 percent for those in treatment E. There is some evidence that among those who did answer the income questions, there was more underreporting of amount of income for those in treatment E than for those in the other treatments.

RECOMMENDATIONS

RESEARCH METHODS

1. Since the pilot attitude survey has proved useful as a source of data for analysis, the survey data and documentation should be retained for further exploitation by the conducting organizations and should be made available to other researchers, with proper protection against disclosure of individually identifiable responses. (Chapter 2)

2. The Panel was asked to examine the experience gained in the conduct of an exploratory attitude survey on confidentiality and related aspects of surveys, to determine whether the technique was a promising research approach and to recommend whether or not further surveying should be done. As was noted above, the Panel found the experiment to be successful and, with a moderate increase in sample size over the original plan, to be a source of data that could be subjected to useful, although limited, analysis. There remains the question of whether another survey should be recommended. The Panel can recommend only that the Census Bureau, or any other concerned organization, weigh the potential benefits in more detailed and precise measurements that would result from a larger or more specialized survey against the costs to the survey taker and to survey respondents and determine whether additional data collection is worthwhile.

A larger survey would allow more detailed analysis, including the determination of differences in attitudes and perceptions among various population groups. Such a survey should include, if feasible, a sampling of the population not in private households. The oversampling of some types of

areas or population segments, e.g., big-city, small-town, racial, or ethnic groups, to provide sufficient cases for comparative analysis, should be considered. Further study of the pilot survey results by type of area and other classifications can provide some indications of where oversampling would be desirable.

It would not be necessary to divide the fieldwork between a governmental agency (e.g., the Bureau of the Census) and a nongovernmental organization, although such a division was valuable in the pilot study in validating the results and in identifying items for which there is a variation of response associated with a difference in the collecting organization.

In a new survey, some additional precategorization of responses (e.g., providing a box for recording "more than 20" as a response to a question on number of survey contacts) might be incorporated, based on the experience of the test survey. In particular, groupings for such quantitative items as level of education, number of survey contacts, duration of confidentiality, and some of the open-ended attitudinal questions would simplify data collection and processing.

A new attitude survey might profitably be taken shortly after the 1980 census. It could be designed to provide measures, useful for planning later censuses, of the effect of features of the 1980 census, especially those having to do with public cooperation. This test survey was taken 6 years after the most recent decennial census, and perceptions of the Census Bureau and the census had no doubt faded. (Chapter 2)

3. Further behavioral surveys should be undertaken after the 1980 census, with choice of topics being influenced by experience in that census. A controlled experiment such as the response behavior survey, which seeks to compare respondent behavior under two or more conditions of confidentiality, has value not only for exploring the effect of confidentiality on nonresponse, but also for investigating other factors. Alternative procedures for obtaining good information from respondents might be evaluated: for example, emphasizing personal benefit to the respondent rather than government need, or comparing a rigidly controlled with a more conversational approach by interviewers. If the actual differences in behavior are small, the samples must be large in order to detect, and certainly to quantify usefully, those differences. The element of respondent understanding of the meaning of the treatment conditions is fundamental, so there should be intensive study of methods to promote and measure that understanding. (Chapter 3)

4. Since there is some evidence that many persons have a prior image of what the Census Bureau stands for and will do, regardless of what an interviewer or a form may state, serious consideration should be given to

having further behavioral surveys administered in whole or in part by an organization other than the Census Bureau. (Chapter 3)

5. More generally, if another survey on response behavior to census-type inquiries were undertaken, it would be desirable to simulate more nearly the collection methods of the decennial census, namely, substantial use of mail questionnaires, augmented by personal interview and telephone follow-up. Interviewers recruited for such a survey should have little or no prior survey experience, like those typically employed in a census. More resources should be devoted to assessing training of the interviewers for the survey and the impact of the interviewers on response. (Chapter 3)

6. Future behavioral studies on topics similar to the subject of this study should consider the advantages of a nationwide probability design. The country is so diverse that the risk of getting misleading evidence from localized investigations is great. (Chapter 3)

7. Since nonresponse is a principal object of interest in a response behavior study, allocation of resources should be made to a subsidiary operation for securing some information about nonrespondents even though they cannot be convinced to reply to the main questionnaire. This task requires skill and adherence to high ethical standards, for the privacy of the nonrespondent must not be encroached on. Analysis in the present response behavior study was hampered by lack of information on nonrespondents. (Chapter 3)

8. Validation or evaluation of evidence from a survey of the response behavior type is difficult and expensive; in a subsequent survey it would be desirable to devote more energy and resources to assessing the quality of derived information, using techniques both internal and external to the survey itself. (Chapter 3) (See Appendix A for a discussion of problems in the survey validation experiments.)

9. One of the validation experiments ancillary to the pilot attitude survey was the administration of the attitude survey questionnaire to groups of persons known to have been included in other surveys, to test the validity of the reporting of prior survey experience in the attitude survey. The Panel recommends that the processing be completed and analysis be made of this potentially useful investigation. (Appendix A)

10. If new attitude or response behavior surveys are conducted, the validations that were included in connection with the pilot surveys should

be repeated, on a large enough scale to support definitive analysis. In addition, validation tests that were proposed but not done in the present study should be considered: these include conducting portions of the surveys by different approaches (personal interview, mail, telephone); having trained observers present in a subsample of the interviews; ascertaining the interviewers' beliefs regarding privacy and confidentiality issues to see if these affect the results they obtain; matching survey returns with administrative records such as tax returns and Social Security records; and conducting a response behavior survey, or a portion of it, by an organization other than the Bureau of the Census. (Appendix A)

11. Consideration should be given to planning and conducting more small-group discussions. More such discussions would provide additional information about the concerns and attitudes of interviewees and interviewers. While such discussions are not substitutes for probability surveys, they are useful in planning, supplementing, and interpreting the results of formal surveys. The 1980 census might be a possible focal point for comments and reactions. Meetings should be held in a number of different geographic areas with various combinations of people, both heterogeneous and homogeneous groups. (Chapter 4)

CENSUS AND SURVEY PROCEDURES

12. The Bureau of the Census should search for more active and effective ways to acquaint the public with its programs and their value and to brief respondents on the purpose and importance of each census or survey. (Chapters 2, 4, 5)

13. The Bureau of the Census should seek to establish a clear definition of the confidentiality status of the identifiable records it collects. (Chapter 2)

14. The Bureau of the Census should undertake more vigorous efforts to acquaint the public with the warranty of confidentiality, its legal backing, and the record of the Bureau in maintaining confidentiality. It should seek further to develop its reputation as distinct from that of government, or survey taking, in general. (Chapters 2, 5)

15. Although personal-visit surveys are more expensive than mail or telephone surveys, the higher esteem and responsiveness the public expresses for the personal-visit approach suggest that it be given more weight in selecting survey techniques. The Panel recognizes, however, that cost and

other considerations may make personal visits not the best choice for the decennial census. (Chapters 2, 4)

16. Although income is an important item in population and housing censuses and in many surveys, the antipathy to the question expressed by the public argues for continued efforts to be made to minimize the adverse effect of direct income questions. Suggested devices to accomplish this include the use of proxy measures of economic status instead of income, subsampling, the formulation of income questions in broad instead of detailed and exact terms, and special confidentiality protection procedures. (Chapters 2, 4, 5)

17. All interviewers should undergo a thorough training program to equip them with the necessary skills, knowledge, and poise to conduct a smooth and successful interview. Special training in how to make a good impression on would-be respondents is useful for both face-to-face and telephone interviewers. (Chapters 4, 5)

18. All survey personnel, and especially interviewers, should be thoroughly trained in and completely familiar with the purposes and procedures of the project with which they are associated. Interviewers should be able to communicate effectively with would-be respondents. (Chapter 5)

19. Survey budgeting should provide for activities deemed necessary to secure an adequate level of response. (Chapter 5)

2 Attitude Survey

METHODOLOGY

NATURE AND PURPOSE OF THE SURVEY

An exploratory survey of attitudes was included in the plan for this study from its first formulation. The purpose was to develop and evaluate methodology that might then be recommended for larger-scale use to obtain empirical evidence on attitudes about privacy and confidentiality.

Initial plans called for the Committee on National Statistics to provide specifications for the attitude survey. Following those specifications, the Census Bureau would conduct the data collection part of the project including the selection of any nongovernmental contractors, financing, and administering the collection of data and preparing tabulations; the actual data collection might be divided between two teams—one team to be regular Census employees, the other a qualified nongovernmental statistical organization.

After the Panel's first meeting, a preliminary report was transmitted to the Census Bureau outlining suggestions for the exploratory studies, including the attitude survey. Following are excerpts from that report:

> The survey instrument would be a structured mail questionnaire with follow-up by mail and final follow-up by personal visit. Response would be voluntary, and confidentiality would be promised. Depending on resources available for the exploratory phase, the survey could be conducted by the Census Bureau, or,

preferably, in part by the Bureau and in parallel part by a nongovernment organization. . . .

The survey would address itself to the same general topics contemplated for the small-group discussions. . . . The universe sampled would be that in the scope of the Current Population Survey, essentially the adult population excluding members of the armed forces and institutional inmates. . . . Because the questions are on attitudes and opinions, they should be answered by one person in each household. . . .

The questionnaire should be simple, limited to a few priority topics, and comprising questions that can be answered by checking a box or making a simple entry. It should be capable of being read and filled out in less than 30 minutes. In addition to the substantive topic questions, it should include a number of relevant basic characteristics of the respondent. . . . These, as well as type of geographic area, would form a basis for cross-classification tabulations that might reveal differences in attitudes and perceptions among different population groups. . . .

The report included also a listing of recommended questions to comprise the survey content.

In the deliberations that followed the transmittal of the report, it was decided to make two important changes in the plan. One was to convert the survey approach to personal interview. The personal-interview approach made it more feasible to include questions that were not limited to "yes-no" or check-box response and thus to go into more depth where it seemed desirable. It also made it possible to obtain evaluations from the interviewers of how the respondent reacted to the interview and to obtain evaluations from the respondents of the interview and the interviewer.

The other important change was to choose the areas to comprise a nationwide probability sample, instead of only several purposefully selected test areas. It would thus be possible, if the test were successful, to tabulate statistics from which inferences could be drawn about the total household population of the United States, although detailed analysis would be limited by the relatively small size of the sample. This change was adopted in order to gain experience with operational features of a multiple-location test and with the hope that it would result in preliminary substantive findings. This change was also made because it was recognized that a later larger survey could not be completed in time to be fully useful in planning the 1980 decennial census.

The Bureau of the Census negotiated an agreement with the Survey Research Center (SRC) of the Institute for Social Research, University of Michigan, to participate in a joint research undertaking in connection with the attitude survey. From this point on, much of the design work was done by the SRC staff, with active participation by staff of the Census Bureau and of the Panel.

SAMPLE DESIGN

A key feature of the sample design was the division of the fieldwork approximately equally between interviewers from SRC and from the Census Bureau. The division allowed testing to see whether an interviewer's affiliation had any effect on response to questions about the government or possibly on other responses. The design also permitted internal reliability checks between independently managed half samples.

The sample was split into two interpenetrating parts. These parts, in each area, were then randomly assigned to SRC and the Census Bureau. The sample for the study was drawn by SRC because the Census Bureau is prohibited by law from giving names or addresses from its own sources to any outside agency.

A sample of housing units in the coterminous United States, exclusive of those on military installations, was drawn at the rate of about 1 in 44,000; it was located in 43 of the 74 primary areas of SRC's national sample. The 43 areas included, first, SRC's 12 self-representing areas (the largest Standard Metropolitan Statistical Areas). Second, from the remaining 62 areas, SRC had already created two subsamples of 31 primary areas each, either of which could be used for small national household samples; one of these two subsamples was chosen at random for this study. All primary areas were entire counties, or, in the case of Standard Metropolitan Statistical Areas, the area as officially defined in April 1970.

The decision to use only half of SRC's 62 smaller primary areas was made because of the small sample size in terms of number of households. Had all the areas been used, there would have been only about 6 interviews per organization in most of the areas. Since the Census Bureau did not have an interviewing staff located in all of SRC's primary areas, there would have been a very high travel cost per interview.

A probability sample of segments, each with an expected size of 8–16 housing units, was chosen within the primary areas. These segments were listed by the SRC interviewers, and an average of 8 housing units per segment designated for interviewing. In certain large apartment buildings and in most rural areas, the clusters were compact "take-all" segments; the remaining segments were "take-part" segments with several addresses between sample housing units. Every second selected listing from a random start was assigned to subsample A, and every other one was assigned to subsample B. This procedure yielded approximately 860 listings per subsample. A random assignment of the two subsamples was then made to the Census Bureau and to SRC.

After the Census Bureau received the listings and segment sketches, it randomly eliminated approximately 10 percent of its sample. By this proce-

dure, SRC, which was to do the coding after the completion of the fieldwork, was prevented from knowing for certain the addresses at which Census Bureau interviews were conducted. SRC employees coded all the completed questionnaires, both those collected by SRC and those collected by the Census Bureau. Identifying information was removed from all questionnaires. (It would have been illegal, under the Census law, for the Census Bureau to turn over to SRC any questionnaires that could be individually identified, even though the original listing had been from the SRC frame.)

At the outset of each household visit, all persons 18 years old and over in the household were listed, and randomized selection tables were used to make a probability selection of one respondent.

QUESTIONNAIRE DESIGN

The list of suggested questions on major topics, together with the transcripts of small-group discussions (see Chapter 4), served as the basis for the construction of the initial version of the questionnaire. This early version tested two approaches to the measurement of respondents' general attitudes concerning privacy and confidentiality. These general approaches, which were subsequently discarded for a more specific approach, were as follows:

1. Simple direct questions that asked the respondent to consider privacy or confidentiality as isolated values.
2. Questions involving joint conditions that asked respondents to consider the trade-offs between privacy or confidentiality and other values, such as interest in the interview or perceived benefits from the research.

The pretest results supported the findings from the small-group discussions that privacy and confidentiality are relative values. High degrees of sensitivity and concern were reported when these concepts were viewed in isolation, but in more realistic trade-off situations other considerations sometimes took precedence. Many considerations could explain why respondents reveal certain facts to survey interviewers that they hide from close friends and behave quite the opposite with regard to other facts.

Although it appeared that joint considerations were revealing, it was also found that, unfortunately, the process of judging trade-offs was too complicated for some respondents to handle. Therefore the approach was changed from a general to a more specific level of attitude measurement, and the questionnaire was completely restructured before the second pretest. The focus was placed first on the respondent's direct experience with surveys. After this setting was established, a second section asked questions about perceptions and attitudes. A third section provided information on the

demographic characteristics of the respondent. The survey instrument itself was used also as a standard treatment for all respondents in the survey, and reactions to the interview experience were gathered by a self-administered form at the end of the interview. This approach was pretested and, with modification and refinement, used for the national pilot survey. (See Appendix C for survey forms.)

COLLECTION AND TABULATION

Regular staff interviewers were used by both the Census Bureau and SRC. These interviewers can be characterized as mature and experienced in survey taking. They were primarily women with more than a high school education. Except that many of the Census Bureau interviewers were chosen because they were free to travel outside their home territory, they were typical of those working for the two organizations.

All specific interviewer preparation for the survey was done by written instruction. A single study manual was developed by SRC and used by both organizations. The manual and forms were printed in Ann Arbor, with the only differences being the organization identifications on the covers, the instructions for where to mail completed forms, and special instructions to Census Bureau interviewers on how to handle sampling problems such as additional units found at the time of interviewing. This procedure allowed unlisted units to be assigned to the proper organization without breaching confidentiality.

The start of interviewing was delayed by the time required for official forms clearance and final preparations. This caused conflicts for SRC with its scheduled pre-election field studies. The Census Bureau completed its interviewing before election day (November 2, 1976), but about 12 percent of SRC's interviews were conducted after that date. There is no indication that the later returns differ materially from the earlier ones. The two organizations maintained close communication during the interviewing period to coordinate efforts and assure standardization of procedures. Aside from the extended interviewing period needed by SRC, the fieldwork was conducted according to the original plans, and no other field modifications were needed.

One slight deviation from normal procedures was that no advance letters were sent to sample housing units. This was done to avoid the possibility that responses might be affected if neighbors found that one was to be visited by an SRC interviewer and the other by a Census Bureau interviewer. A statement on authorization, the voluntary nature of the survey, and the confidentiality of replies was read by the interviewer to the respondent at

the beginning of the interview, and a copy of the statement was given to the respondent.

Several supplementary field undertakings were conducted in connection with the attitude survey, to attempt to obtain information from nonrespondents and to test the validity of attitude survey returns by comparing with prior or subsequent survey data for the same respondents. These activities are described in Appendix A.

All editing and coding of the field forms were performed by SRC to assure processing comparability. The code books were constructed by SRC in consultation with the Census Bureau. When the assignment of a code to a response was not clear, or a response was put into a catchall "other" category, the coder made out a card, and the final coding decision was made by the SRC study staff. The cards were periodically reviewed by Census Bureau staff as a check on mutual agreement on code categories.

Most of the tables discussed in the second part of this chapter are based on data collected by personal interview using the basic questionnaire, entitled "Attitudes about Surveys," and on data provided by the "Interview Reaction Form" filled out by the respondent after the interview. Each respondent was asked to report his or her own personal experience, knowledge, and attitudes about surveys and related topics.

The sample of selected persons is a probability sample of all adult persons in households in the United States.

Some of the tabulated results of the survey were produced in both unweighted and weighted form (see the discussion of Tables 4–7), and some only in unweighted form. In the unweighted form, each respondent is counted as one; the numbers thus show the sample size. In the weighted form, the return for each respondent was multiplied by the number of adults in the household from which the respondent was drawn. Weights varied from 1 to 5, with an average of 1.9; there were very few weights of 4 or 5. As is noted below in the discussion of Tables 4–7, the weighting, according to the first-round tabulation, had very little effect on the distributions of reported survey experience, knowledge, or attitudes.

The first-round tabulation provided basic distributions of each of the subjects covered in the attitude survey. This tabulation was made in both unweighted and weighted form. After it was reviewed by the Panel and staff, suggestions were made for some cross-classifications of subjects, and a second-round tabulation was made. Because first-round tabulations showed few differences between weighted and unweighted distributions, second-round tabulation was done only for unweighted data. In the tables summarized from the first-round tabulation, the absolute numbers are usually shown unweighted, in order to indicate actual sample size; percentage

distributions are usually based on the weighted figures. In the tables summarized from the second-round tabulation, which are interspersed with the first-round tables, both absolute and percentage figures are necessarily presented in unweighted form, but the first-round experience indicates that the distributions would be approximately the same in either form. Differences between first-round and second-round tabulations seldom exceeded a single percentage point. All figures in the tables are labeled as unweighted or weighted.

In the processing of the survey data, there was no imputation, allocation, or substitution for missing, incomplete, or inconsistent returns. The results are shown as they were directly compiled from the questionnaires. "Not available" (NA) rates were generally low (see Table 79). NA in a table denotes entries on the questionnaire that should have been made according to the question pattern but were not, or, in a few cases, entries that were uncodable. Missing entries resulted from refusal to answer the question, an inability on the part of the respondent to supply the answer on a question of fact, e.g., family income, or inadvertence on the part of the interviewer. On questions of recall of survey experience, perceptions, or opinions, "don't remember" or "don't know" as a response was coded and tabulated separately from NA and was treated, when appropriate, as a separate response category.

Usually, NA's are included in totals shown in each table and in the base upon which percentages are calculated, in the interest of consistency in presentation. They are usually too small in number to affect the derived figures, but in any case are generally shown separately in the absolute figures so that derived figures can be recalculated on a different base if desired.

All statements in the text of this chapter based directly on analysis of the tables were subjected to tests of significance (see Appendix B). Differences cited between one category and another are significant at a 0.05 significance level.

In all the record keeping and tabulation of the attitude survey, the operational and the survey result data were compiled separately for the half of the sample covered by the interviewers of the Survey Research Center and the half of the sample covered by the interviewers of the Census Bureau, in order to show similarities and differences in the results obtained by a nongovernmental and by a governmental collecting agency. This was an important feature of the exploratory survey. In general, the results were very similar. Some differences appeared where they might be expected, in responses having to do specifically with identification of the collecting organization or in some cases with perceptions of it. In such cases, the tables include separate columns, labeled "SRC" and "Census," for the separately collected data. Where the table shows only the combined results, it means

that the tabulation from which the table was summarized showed essentially the same distribution for each organization.

FINDINGS

SURVEY RESPONSE

The refusal rate showed one of the relatively few major differences in results between that part of the survey conducted by interviewers of the Survey Research Center and that part conducted by interviewers of the Census Bureau: the SRC interviewers had a refusal rate of 13 percent contrasted to about 6 percent for the Census Bureau interviewers (Table 1). These represent complete refusal by the designated respondent to answer any of the survey questions, not merely a refusal to answer a particular question. With respect to other noninterviews, the two organizations had similar experiences: about 9 percent, representing an inability to find anyone at home at the sample household despite repeated calls or an inability to reach the designated respondent in the household (Table 1). Thus the overall noninterview rate was 22 percent for SRC and about 15 percent for the Census Bureau.

SRC nonresponse rates were particularly higher than Census Bureau rates in the largest metropolitan areas, and they were also especially high in terms of refusals encountered before the designated respondent was selected. Another particular difference was that SRC interviewers had higher nonresponse rates among persons 65 years old and over (Table 5 and discussed below). The difference in response rates did not reflect a difference in effort: SRC interviewers remained in the field longer (Table 2), and they averaged more calls per household than the Census Bureau interviewers (Table 3).

The difference is presumably another instance of the usual experience of government statistical agencies in obtaining higher response rates than nongovernment survey takers. Even for the Census Bureau portion, however, the noninterview rate and especially the refusal component were higher than the Census Bureau customarily experiences for its regular household surveys, such as the monthly Current Population Survey. The higher rates may be attributable to such factors as the nonrepetitive nature of this survey, the different content, the lack of advance publicity, and perhaps, especially, the requirement that a specified person in the household, rather than any conveniently reachable responsible person, be interviewed. In addition, many of the Census Bureau interviewers were not working in their home territories.

The overall interview rate of 81½ percent, 78 percent for the SRC portion

and about 85 percent for the Census Bureau portion, compares favorably with general experience for attitude and opinion surveys (see Chapter 5).

Although it was originally to be done earlier, most of the fieldwork was done during the peak of the 1976 presidential election campaign (Table 2). It is not known what special influence the election campaign and its attendant emphasis on polling and on government may have had on the cooperativeness of respondents or on their expressed views. Because the sampling plan called for the interviewee to be one specifically selected individual in each household, it was often necessary to make a number of callbacks to reach and interview the designated person. The fieldwork was continued as long as possible in order to minimize nonresponse.

Some of the demographic characteristics of the households and their adult members, and the comparisons of their distributions before and after weighting, are shown in Tables 4–7. The distribution of the 1,187 interviewed persons according to the size of the household, in terms of persons 18 years old and over, is shown in Table 4. In the weighted tabulations, the return for a person representing a household with two adults was multiplied by two, the return for a person representing a household with three adults was multiplied by three, etc. The unweighted survey data are, in effect, a sampling of households; the weighted data are, in effect, a sampling of all adults in households. The weighted figures are the more appropriate ones for describing characteristics of persons and responses to questions on personal experiences and personal views if these differ from those of the household as a whole. In fact, however, in the latter types of tabulated data, the unweighted and weighted distributions tended to be very similar: the majority of households had two adult persons, and thus the majority of respondents had a uniform weight of two; most of the rest had a weight of one.

As was expected, the distributions of respondents by age, sex, and household relationship were affected to some degree by weighting, these characteristics being ones that vary considerably with size of household. The unweighted figures display, for example, an underrepresentation of young adults (e.g., children of the household head) and wives, the persons usually found in households with two or more adults, and an overrepresentation of female heads of households, the persons most often in households with only the one adult.

The age distributions tabulated separately for the SRC and Census Bureau portions of the survey show that the Census Bureau interviewers reached a higher proportion of respondents 65 years old and over. SRC interviewers, having somewhat more difficulty in obtaining cooperation from respondents, experienced particular difficulty, relatively, with designated interviewees in the oldest age group, and much of the SRC-Census difference in

refusal rates was concentrated in that age bracket. For the total sample, however, the weighted age distribution compares closely with Census Bureau estimates for the household population for 1976. Close accord with 1976 Census Bureau estimates was also found for all other comparable distributions from the attitude survey sample, including household size, sex, relationship, race or ethnic group, education, and family income.

Interviewers' observations, made at the conclusion of each interview, are shown in Tables 8–11. They do not indicate major problems in communication or rapport, although in about one-fourth of the cases some difficulties were observed in respondents' general understanding of the questions (rated "fair" or "poor" by the interviewers, Table 9). A similar proportion of the respondents was rated as somewhat or very suspicious (Table 10).

The SRC and Census Bureau interviewers rated their experience somewhat differently, with the SRC interviewers rating more interviews in the modal group in Tables 9 and 11. This may reflect a difference in rating proclivity and prior interviewing background more than in actual experience in this survey. SRC interviewers are more accustomed to attitude surveys; Census Bureau interviewers are usually involved in surveys in which only factual questions are asked.

REPORTED PRIOR SURVEY EXPERIENCE

This section and the following one and Tables 12–78 are based on replies by respondents to the questions in sections A and B of the basic survey questionnaire, relating to prior survey experience and to knowledge and attitudes about surveys and related topics.

According to remembered and reported experience, there is no evidence that the majority of the American public has been frequently accosted by survey takers (Table 12). Of the survey respondents, 44 recalled no survey contacts of any type—personal visit, mail, or telephone, whether responded to or not—during the 4–5 years preceding this survey, and 16 percent recalled only one contact. These figures could be understatements of actual contacts because of memory decay or because of respondents' restrictive concepts of "survey." On the other hand, respondents may recall contacts that were not bona fide surveys, e.g., sales solicitations by telephone. A small number, 2 percent, reported more than 20 contacts.

Mail surveys, averaging 1.76 recalled contacts per respondent, accounted for more than half of the total of 3.26 contacts per respondent (Table 13). Telephone contacts were less frequent, averaging 1.13 recalled contacts, and the more expensive personal-visit contacts were considerably less frequent, averaging 0.40 recalled contacts. Only 19 percent of the people recalled one or more contacts by personal visit during the 4- to 5-year period.

Survey Participation Patterns

Not all survey contacts resulted in response: 54 percent of the respondents in the present survey reported that they had answered no surveys during the recall period of 4–5 years; 18 percent reported having made only one response; and 1 percent reported having participated in more than 20 surveys (Table 14). For the average number of reported contacts of 3.26 per person, the average number of reported responses was 1.80, a response rate of 55 percent.

Response rates varied by type of survey approach. A clear preference was indicated for the personal-interview approach, which had a recalled response rate of 74 percent, compared with 55 percent for mail and 46 percent for telephone approaches (Table 15). A later question in the interview, asking specifically about type of approach preferred, yielded results showing the same ranking (Table 32).

People seemed to become increasingly selective as the number of survey contacts increased. Of those who reported only one survey contact, 81 percent reported responding to it (Table 16). Of those who reported two or three contacts, 54 percent responded to both or all three. Of those reporting four or more contacts, only 27 percent responded to all of them. A good part of the difference in these response rates, however, could be explained as simply the product of compound probabilities. If the response rate for any one contact is 81 percent and if the events are independent, the rate for responding to both of two contacts would be 81 percent times 81 percent, or about 66 percent. The rate for responding to all of three contacts would be about 53 percent; the rate for responding to all of four contacts would be about 43 percent; and the rate for responding to all of more than four contacts would be correspondingly less in successive multiples of 81 percent.

Thus the actual pattern shown in Table 16 may, in good part, be a display of what would result if each member of the public had a predisposed and more or less constant probability of responding to a survey, or at least to a given type of survey. If that probability is more than zero and less than 100 percent, then the more contacts, the greater the likelihood that the person will fall in the "some but not all" participation category rather than the "none" or "all" categories. A more realistic hypothesis, perhaps, is that a person may have a basic level of receptivity to survey contacts, which may differ from other persons' levels, and that each person's receptivity is not constant but varies according to number of prior contacts and other factors.

Survey participation by type of survey is shown in Table 17. Participation patterns by sex of the respondent are shown in Tables 18 and 19. The survey contacts reported as having occurred during the recall period may have

been directed to the household or family, to any reachable person in the unit, or to a specific individual. They are reported by the person who considered himself or herself as an intended respondent on his or her own behalf or on behalf of the household. A higher proportion of females than of males reported receiving one or more survey contacts, and a higher proportion of females reported participating in one or more surveys. Males were more likely to be the respondent to mail questionnaires; females were more likely to be the respondent to telephone calls and personal visits. These figures may be associated with a greater likelihood of a female household member being at home when an interviewer calls.

There was less participation in surveys by blacks and by persons of Spanish origin (Hispanics) than by non-Hispanic whites, reflecting fewer survey contacts rather than lower response to contacts received (Tables 20 and 21). Particularly noticeable is less participation by Hispanics and blacks in mail surveys: the rates of participation in mail surveys only, or in mail and other types, were 26 percent for non-Hispanic whites, 13 percent for Hispanics, and 8 percent for blacks (Table 20). Data on survey contacts and participation by race or ethnic group are shown in Table 21.

The number of survey contacts and participation increase steeply with increasing education (Table 22). A similar relation is seen in participation patterns by family income (Table 23). Persons of higher education or income may be more likely to be on mailing lists, e.g., magazine subscription lists, or otherwise to be targets for surveys. As education or income increases, higher proportions of recipients of one or more survey contacts fall into the "participated in some but not all" category and lower proportions into the "participated in none" or "participated in all" groups. There may be an implication of increasing selectivity with higher education or income in these figures, but, as was noted above, the increasing number of contacts tends to enlarge the probability of recipients' falling into the "participated in some but not all" category even in the absence of differential selectivity.

Most Recent Survey Experience

The questions on most recent survey contact or participation were asked separately for each type of survey approach: mail, telephone, or personal visit. Since the questions referred only to the most recent experience, for which recollection could be assumed to be clearest, the figures (Tables 24–31) should not be taken as measures of frequencies or rates for all survey contacts or participations.

The pattern of participation and nonparticipation for most recent experience is consistent with other tables in implying a preference for personal-visit surveys over other types of approach; personal-visit surveys show

generally a higher proportion of participations for every type of survey-taking organization (Table 24). Participation rates, as derived from this table, were higher for government and university survey takers than for private companies and others, although even for the latter two groups participation rates were relatively high when the survey approach was by personal visit. According to respondents' recollection, private companies were responsible for more contacts than any other major type of survey-taking organization.

Nearly all of the surveys participated in were understood by the respondents to be voluntary (Table 25). Of the small number for which response was understood to be required by law, all were identified (according to tabulated data not presented in this report) as being taken by a government agency.

Telephone surveys not only elicited lower rates of participation, they were also held in lower regard. Even when the comparison is limited to surveys responded to, telephone surveys rated lower in respondent regard than mail or personal-visit surveys (Tables 26 and 27). Telephone surveys were given lower proportions of ratings of "very interesting" or "somewhat interesting" and lower proportions of ratings of time "very well spent" or "somewhat well spent." Mail surveys participated in had high ratings. Presumably mail questionnaires that looked uninteresting or burdensome were not responded to; telephone and personal-visit inquiries cannot be so readily appraised in advance.

The first question relating to privacy asked respondents whether the most recent survey they participated in included questions the survey taker "had no business asking about" (Table 28). Even though the answer related only to surveys participated in and excluded surveys in which response was refused, 27 percent of the telephone respondents, 26 percent of the face-to-face respondents, and 14 percent of the mail respondents said "yes." Again, the more favorable rating for mail surveys may reflect the greater opportunity to review the content of a mail questionnaire before deciding whether to become a respondent. Whether a question is objectionable may vary according to the type of survey approach; some questions may be more objectionable in one mode than in another. Conversely, preference ratings by type of survey approach may be affected by differences in topics typically covered in different types of surveys (see discussion of Table 30).

For the most recent survey, of each type, that was *not* responded to, respondents were asked the reasons for nonparticipation. The widely scattered answers have been grouped under two main headings according to whether they seemed primarily to reflect inconvenience or lack of interest (the specific reasons may overlap) or whether they seemed primarily to constitute an outright objection to the approach or content of the survey.

Privacy and confidentiality concerns, which might be embodied in reasons such as "topic objectionable," "distrust of interviewer," and "distrust of sponsor," are included in the latter group. Most of the stated reasons fell in the first group, especially for mail surveys (Table 29). Mail questionnaires, while not subject to complaints of inconvenient time of call, are vulnerable to oversight or procrastination. Apathy, in one manifestation or another, seems to be the major nonresponse factor. It appears to be overcome by the intervention of the human element, to some degree in telephone surveys and to a greater degree in personal-visit surveys. For telephone surveys, however, objection to the survey method and distrust of the unseen interviewer were frequently cited as reasons for nonresponse. This was not the case for personal-visit surveys.

Responses to a question on the major topic or topics of the most recent survey contact showed differences for different survey approaches (Table 30). Requests for personal or family information were, according to respondents' recall, more frequently included in personal-visit surveys than in mail or telephone surveys, and seemed to be relatively likely to be responded to in personal-visit surveys. Views about products or politics were more often solicited by mail or telephone.

When respondents were asked to name specific types of questions that were disliked in the most recent survey, of each type, participated in, there were not a great many mentioned, but the most frequent was questions on income (Table 31). Other questions may be intrinsically more objectionable, but may not have been mentioned as frequently because they were not often included in surveys. Among the personal or family questions asked in this survey, family income had the highest nonresponse rate, even though it was asked only in terms of broad intervals (Table 79).

ATTITUDES AND PERCEPTIONS

As shown in Tables 32–34, respondents expressed preference for personal-interview types of surveys. These data complement earlier tables showing higher recalled response rates to personal-interview surveys. There is some relationship of previous participation to preferred survey method, in addition to a fairly general preference for personal interviews (Table 33). Because the present survey was itself conducted by personal interview and these tables present the views of those who responded in the present survey, the figures may be biased upward in favor of that approach.

Those who stated a preference for each type of survey approach were asked to give their reasons; Table 34 summarizes the reasons given for preferring face-to-face interviews, the choice of the majority. The chief reasons were the more personal aspect and the availability of the interviewer

to help the respondent answer the questions. Other reasons were more trust, the belief that the approach was a more effective way to gather information, and the belief that the greater effort and expense of such a survey demonstrated the importance of the survey.

Respondents showed a substantial lack of knowledge about which organizations collect information on various subjects of major public concern (Tables 35–39). Even though the identification questions were asked of people who said they had heard about the subject lately, many were not cognizant of even the type of collecting organization, and relatively few were able to name a specific organization. (In the tables, tallies of mentions of specific organizations are included only for the two that were responsible for the data collection of the present survey; these specific identifications were numerically very small—in some cases appropriately so—for most of the subjects.) Statistics on unemployment are given considerable media coverage, especially the monthly estimates of the national unemployment rate. These are based on field canvassing by the Census Bureau, and the resulting statistics are analyzed and released by the Bureau of Labor Statistics of the U.S. Department of Labor; both are agencies of the national government. Yet only 47 percent of the respondents (55 percent of those who said they had heard about the subject lately) chose national government from a card listing the major types of organizations (Table 35), and 2 percent of all respondents (also 2 percent when calculated on the slightly smaller base of those who said they had heard about the subject lately) named the Census Bureau when asked to name a specific organization that collects information on unemployment (Table 35).

Many respondents also failed to select the national government as the type of collecting organization that conducts a count of all the people every 10 years, and a larger number failed to name the Census Bureau as the specific agency that takes the census (Table 37). The recognition percentages shown in Table 37 may be somewhat misleading, however. In each of Tables 35–39, the percentages are calculated on the basis of the total number of respondents, including those who answered "no" to the sifter question "Have you heard about this lately?" and were not asked the identification questions. For most topics of active current interest, such as unemployment, it may be assumed that those who said they had not heard about the subject lately would be unlikely to be informed about the collection of information on it. But the decennial census was not a very active subject at the time of the survey: 42 percent said they had not heard about the subject lately, and many of those might have been able to answer the recognition questions correctly had they been asked. Of those who said they had heard about the subject lately, 77 percent selected national government as the type of collecting organization and 53 percent named the Census

Bureau. Even on this basis, however, nearly one-fourth did not recognize the census as a national government undertaking and nearly half did not identify the Census Bureau. When the responses are divided between those obtained by SRC interviewers and those obtained by Census Bureau interviewers, the Census Bureau recognition percentages are slightly lower for the SRC interviewees and slightly higher for the Census Bureau interviewees.

General Attitudes About Surveys

When asked about the value of surveys, only about half of the respondents had a definitely positive view, saying that they felt that surveys serve a good purpose; one-fifth had a definitely negative view (Table 40). The responses shown in Table 41, on trust in the correctness of survey results, are generally compatible with those in Table 40, but it would appear that some respondents felt that surveys are a waste of time and money even when their results are right. It may be that being right about an unimportant topic, or being right but leading to no action, is believed to be a waste of time or money.

The figures in these two tables, and some of the other survey results, show that those responding to SRC interviewers were somewhat more affirmative in their attitudes about surveys than those responding to Census Bureau interviewers. It should be remembered, however, that there was a higher rate of total refusal in the SRC portion of the sample than in the Census Bureau portion. Had it been possible to include the refusers, with their presumably negative views, it seems likely that the results of the two halves of the sample with respect to professed attitudes about surveys would have been more nearly equal. By the same token, the overall results would have shown a somewhat more negative tone.

When those who said that surveys can be trusted only some of the time or hardly ever (51 percent of all respondents) were asked to explain why they felt so, they gave a variety of reasons: a large number spoke of methodological or operational deficiencies, including response biases; some expressed the belief that survey results were affected by deliberate dishonesty of sponsors, researchers, or respondents (Table 42).

About half of the respondents said that they thought that there was little or no difference among types of organizations in their ability to get accurate information. Among those who thought that there was a difference, the national government was named most often as the most likely to get accurate information (Table 43). On the other hand, a small number of people cited it as least likely to get accurate information: 8 percent of all respondents (Table 44). (Some of these people may have been thinking of data collection activities such as income tax reporting and not necessarily about statistical surveys.) Private

companies, as a group, were rated lower than government or universities.

Evidence from the small-group discussions and other studies, as well as the general experience of SRC and the Census Bureau, had indicated that questions about finances tended to have poorer response rates than any other type of question usually included in household surveys. The subject was therefore selected for a series of questions about peoples' perceptions of accuracy of reporting and how it might be influenced by promises of confidentiality. The results are summarized in Tables 45–48.

Respondents expressed strong beliefs that accurate reporting on finances is hard to obtain (Table 45). Concerns about privacy and confidentiality may underlie this belief, and perhaps also beliefs that self-interest is involved in misreporting and that income and other financial details are difficult to report accurately even when the respondent is willing. The responses in Table 46 confirm that a concern about confidentiality is involved in the opinion expressed in the preceding table: a majority stated that they thought that a promise of confidentiality would make a difference in the accuracy of reporting on finances. Nevertheless, few believed that a promise of confidentiality would result in universal accuracy of financial reporting (Table 47). Respondents apparently feel that a promise of confidentiality would be a help but not a panacea.

Respondents had been asked how they thought others would react to an assurance of confidential handling of reported income because many opinion surveyors believe such a course results in more realistic data than if answers applied directly to the respondent, when a truthful answer to an inquiry may entail some embarrassment or impairment of self-image. Caution is in order in drawing conclusions from answers to indirect or projective questions of this type. The respondent cannot in general know with certainty how another person will behave. It is reasonable to assume that respondents give the best answers they can to the specific question asked, namely, "How do you think people would react . . . ?" The proper interpretation is to view the evidence simply as a tabulation of the results of this process and thus as an expression of respondents' collective opinions as to how "other people" would respond to inquiries regarding financial matters. In the current instance the resulting data are consistent with other findings of the survey, which identified income as one of the most sensitive topics of inquiry and which revealed considerable distrust of government in use of acquired information.

Those who stated that a promise of confidentiality would make no difference in the accuracy of financial reporting (about one-third of the respondents) were asked why they felt so. Their responses reflect a conviction that financial information is private under any circumstances and skepticism about promises of confidentiality (Table 48).

Attitudes About Confidentiality

At this point in the interview, the survey probed into the matter of trust in confidential treatment of survey responses; these data are presented in Tables 49–65. To provide some relevant background to the expressions of perceptions and attitudes on the subject of confidentiality, the survey included two questions of a more general nature on trust in government: "How much of the time do you think you can trust the government in Washington to do what is right—just about always, most of the time, or only some of the time?" "Would you say the government is pretty much run by a few big interests looking out for themselves or that it is run for the benefit of all the people?" (The responses to these questions are presented in Tables 54 and 55, discussed below, and are also used to cross-classify other responses in Tables 67, 68, 69, 73, 77, and 78). These responses are not intended as a comprehensive measure of trust in government, but rather as a context in which to examine the subject of attitudes about surveys. Although the wording of the two questions was not limited to trust in government only with respect to surveys, responses may have been conditioned by the other questions about the collecting and keeping of survey information. Also, the questions may have led respondents by suggesting categories of response.

The majority of respondents did not perceive any great difference among types of organizations in their trustworthiness to keep survey responses confidential (Table 49). Among those that did, national government agencies were mentioned most often as the most trusted type of organization (Table 50). On the other hand, national government was mentioned by some as the least trusted (Table 52). These two tables are consistent in showing the poorest ratings for private companies. This pattern of response is quite similar to that shown in Tables 43 and 44 on the subject of which type of organization is perceived as most likely or least likely to get accurate information. It may be reasonable to presume that respondents believe that the degree of trust in organizations influences the degree of candor in responding to them; thus a trusted organization will be given more accurate information. Reasons given for trust or distrust regarding confidentiality, by types of organizations, emphasized primarily beliefs about the organizations' record-keeping rules and practices and secondarily general feelings of trust or distrust (Tables 51 and 53).

The wording of the question on how much the government can be trusted to do what is right may have implied that a middle response would be "most of the time," as opposed to "just about always" or "only some of the time"; however, about half of the respondents chose "only some of the time," and a few gave answers of "rarely" or "never," al-

though the question did not offer those terms as response categories (Table 54). On the question of in whose interest the government is run, the preponderant choice was "a few big interests" rather than "for the benefit of all the people" (Table 55).

The next set of questions focused on reported beliefs or opinions about the confidentiality of identifiable individual survey records kept by the Census Bureau; the responses to these questions are presented in Tables 56–73. A common problem in asking questions about belief in the confidentiality of data is that some respondents may not clearly understand that the reference is to records that carry individual identification such as name and address and may think that the questions relate to records in the form of statistical totals. Every effort was made in framing the questions to keep the distinction clear. The first question was as follows: "Individual survey records identified by names and addresses are kept in the files of the United States Bureau of the Census. These records contain information on such things as occupation, income, race and age. Do you happen to know whether these records are public so that anyone who might want to see them can, or are they *not* open to the public?" The correct answer is that they are not open. Federal law (Title 13 U.S.C.) makes it a crime to disclose such records to anyone outside the Census Bureau; they are not available even to other federal agencies.

The responses to the question, however, suggest that the law is not widely known, or its protective force is not widely believed in: only 35 percent said that they knew that Census Bureau individually identifiable records were not open to the public, 18 percent said that they were open, and 46 percent did not know whether or not they were (Table 56). Those who said that the records were not open to the public or that they did not know were then asked: "Do you know whether the individually identifiable census records are available to other government agencies or not?" Most did not know; of those who had a definite view, most said that government agencies did have access to the records (Table 57). A further question was asked of those who said the records were not open to government agencies or did not know: "Do you feel that other government agencies *could* obtain individual records from the Bureau of the Census if they *really tried*?" Most said "yes" (Table 58). The conclusion of the three questions was that only 5 percent of all respondents said that they believed that individually identifiable Census Bureau records were really confidential, 14 percent did not have an opinion, and the great majority said that either the public or other government agencies could obtain the records.

That part of the sample interviewed by SRC field staff expressed less confidence in the inviolability of Census Bureau individual records than that part interviewed by Census Bureau field staff. Only 2 percent said that

they believed the records would always be unavailable to other government agencies, and 11 percent had no opinion. The corresponding figures for those reporting their views to Census Bureau interviewers were 8 percent and 16 percent.

Respondents' reported beliefs in the confidentiality of Census Bureau records were cross-classified by sex (Tables 59 and 60), age (Tables 61 and 62), race or ethnic group (Tables 63 and 64) and education (Tables 65 and 66). There were no great differences by sex: a somewhat higher proportion of men believed definitely that the records are open to the public and a somewhat higher proportion of women said that they did not know, but the proportions believing definitely in confidentiality at one level or another (not open to the public or not available to government agencies even if they really tried) are about the same.

By age, there is some indication of divergent trends according to which level of confidentiality is asked about. The responses shown in Table 61 suggest that younger people may have a slightly firmer belief that the Census Bureau records are not open to the public than do older people. On the other hand, the statistics in Table 62 suggest that persons in the oldest age group may be marginally less willing than younger persons to expect violations of the confidentiality law within the government.

The survey responses do not provide any support for a supposition that blacks have less trust than whites in governmental record security; if anything, the indication is that blacks more strongly believe in the confidentiality of Census Bureau records. The association, if there is one, may be with other characteristics rather than with race, but the sample was too small to support cross-classification of race, by education and other possibly explanatory characteristics, by attitude. The sample of persons of Hispanic origin was too small to permit any comparison of their views with those of other groups.

The survey also failed to reveal any clear-cut relationships between education and expressed beliefs on whether individual census survey records are open to the public or to government agencies. Here again the sample was too small to permit cross-tabulation of belief by education with other characteristics or attitudes held constant.

The responses did display some showings of consistency of attitudes. There is a clear pattern of less general trust in government associated with less belief in the confidentiality of Census Bureau records (Table 67). There is also an indication, although the association is less marked, that those who believe the government is run in behalf of a few big interests rather than for the benefit of all are somewhat less inclined to believe in the confidentiality of the records (Table 68). There is a clear relationship between trust in the correctness of survey results and trust in government (Table 69).

Respondents were asked their opinions on the length of time Census Bureau individually identifiable records should be kept confidential before being made available to researchers outside the Census Bureau. Although, as noted above, very few respondents believed that the records are currently really confidential, most people said that they felt that they should be. About half said they should be kept confidential forever, i.e., as long as they exist (Table 70), and most of the rest said they should be kept confidential for some interval of time (Table 71). Only about 7 percent of the total number of respondents said the records should be made available to outside researchers immediately.

College graduates were somewhat more inclined than others to have the Census Bureau individual records opened for research after a time: about 58 percent compared with about 48 percent of non–college graduates (Table 72). College graduates may be more research minded than those with a lower level of formal education. It should be noted that this question concerned opening the records for research, not for other uses such as investigation or law enforcement. Those with differing opinions about for whom the government is run did not appear to differ with respect to their division on the question of opening Census Bureau records (Table 73).

Another inquiry on perception of the Census Bureau was: "When the government takes a census of the United States population every ten years, are all households required by law to answer the questions?" The correct answer is "yes"; one-half of all respondents said "yes," one-fourth said "no," and one-fourth said that they did not know (Table 74). The responses did not show any statistically significant pattern of variations in knowledge of the mandatory nature of the census among selected groupings of respondents by characteristics or beliefs in trust in government (Tables 75–78).

ITEM NONRESPONSE IN THE SURVEY

Section C of the basic questionnaire for the attitude survey comprised items on the demographic characteristics of the respondents. It was used primarily to cross-classify responses to questions on survey experience, knowledge, and attitudes (in sections A and B) and to provide a validation of the sample by comparing the distribution of the sample with estimates of the national population for a comparable date. Table 79 shows nonresponse rates for most of the key items. These figures may have some relationship to the sensitivity of the questions, as well as to the difficulty of the questions. As was noted in the discussion of Table 31, income shows the highest nonresponse rates, although the question was asked only in terms of broad intervals displayed on a card.

For most of the questions, SRC interviewers had lower NA rates than

Census Bureau interviewers. This was usually the case also for the recall and opinion questions in sections A and B. At least a partial explanation for the difference may lie in the higher rate of complete refusals experienced by the SRC interviewers (see Table 1). By losing more of the refusers at the beginning, the SRC interviewers may have then obtained somewhat fuller responses from those they did interview. In addition, the SRC interviewers may have been less prone to make mechanical errors in entering responses to questions in sections A and B because of their greater experience with questions of those types.

RESPONDENTS' REACTIONS TO THE SURVEY

At the conclusion of the interview, respondents were asked to fill out an interview reaction form; after it was completed, it was sealed in an envelope and was not seen by the interviewer. Tables 80–97 are based on those forms.

The data show a consistently higher NA rate for respondents to Census Bureau interviewers than for respondents to SRC interviewers, because Census Bureau interviewers failed to get the forms filled out in 33 cases and SRC interviewers in only 13 cases. The difference was due mainly to one Census Bureau interviewer who consistently neglected to ask respondents to fill out the forms. Since the tabulations used the total number of respondents in the survey as the base, the missing forms counted as NA for each question. For each question, there were some additional NA's representing failure by respondents to enter an answer to that question. If the percent distributions are recalculated with all NA's excluded, the responses show generally similar reactions to interviewers for the two organizations and to the survey itself.

In general, the majority of respondents did not report adverse reactions to the interviewers or to the content of the interview. The responses in Tables 86 and 90, particularly the latter, are consistent with previously noted evidence of an antipathy to inquiries about income.

Respondents indicated a better recall and identification of the survey-taking organization for SRC than for the Census Bureau (Tables 91 and 92). A slightly higher proportion of SRC respondents than Census Bureau respondents recalled correctly that the interviewer stated that the survey was completely voluntary (Table 93). The difference may be because some people believe that all surveys by government agencies are mandatory.

On the issue of the confidentiality of the survey (Table 94), both the responses "secret; none of results made public" and "results made public without identification"—chosen by 58 percent of respondents—may be taken as essentially correct recall of the promise of confidentiality. (That promise included the assurance that "no information that would tell how

you personally answered will ever be released.") Some of the Census Bureau respondents selected the response "under public law available only to authorized government agencies": recognition of the Census Bureau as a part of the government and a general impression that Census Bureau records are made available to other government agencies (see Tables 57 and 58) may have influenced respondents' recollection of what the interviewer said about confidentiality.

On factors listed as possibly influencing the respondent's willingness to be interviewed (Table 95), the modal group for four of the six factors was "made no difference." In the other two cases—interviewer's appearance and manner, and sense of good citizenship and community service—the dominant influence was positive. In all cases, positive effects outweighed negative. Appeal to good citizenship seemed to be more of a motivating factor for those interviewed by the Census Bureau, a government agency, than for those interviewed by SRC; the interviewer's appearance and manner seemed to carry a little more weight for the SRC than for the Census Bureau interviewees.

Although reaction to the survey (as reflected in the entire set of reaction tables) was mostly favorable, Table 96 shows that a substantial proportion of the respondents expressed less than great enthusiasm for participating in "an interview like this" again. Perhaps some of them interpreted the question as referring to a survey entirely duplicative in content. Table 97 represents a tally of responses to the final question on the interview reaction form inviting respondents to write in additional comments. Most respondents did not choose to do so; of those who did, most entered favorable comments.

CONCLUSIONS

The pilot attitude survey was successful in demonstrating that a survey with its auspices, methodology, and content can be conducted with good results. Response rates were satisfactory; the patterns exhibited in the survey results were plausible, internally consistent, and compatible with evidence from other sources; the responses to Survey Research Center interviewers and to Census Bureau interviewers were similar except in a few predictable instances; interviewers' appraisal of respondents' understanding, interest, and cooperation was favorable; respondents' appraisal of the survey was generally affirmative (Tables 1, 8–11, and 80–97). A comparison of the sample population with corresponding Census Bureau estimates of the household population of the United States in 1976 showed good concordance in the distributions by sex, age, race or ethnic group, household size, relationship, education, and income.

A survey of this type can be conducted successfully by a competent, reputable survey-taking organization whether governmental or nongovernmental. The pilot survey was completed with no major unresolved operational difficulties. The overall response rate for households was 81.5 percent, which is considered acceptable. Most of the results are plausible, although some would not have been predicted. Consistency in findings from the two halves of the survey is encouraging. For the portion conducted by the Survey Research Center and the portion conducted by the Census Bureau, responses were generally similar, with some specific but not very large differences.

Although the major purpose of the pilot survey was to serve as a small-scale test, the design of the test in the form of a national probability sample and the successful response outcome made it possible to make some useful analyses of the survey results.

There is no evidence in the survey results that the majority of respondents had been overburdened with survey contacts in the preceding 4 or 5 years: 44 percent reported no survey contacts, and 16 percent reported only one contact (Tables 12–23).

A substantial proportion of respondents expressed negative feelings about the value and accuracy of surveys, how interesting they are to respondents, the confidentiality of survey records, and the integrity of survey takers (Tables 26, 27, 40–42, 45, 47, 48, and 69).

People are not well informed generally about organizations that collect information on matters of major national concern (Tables 35–39). There is considerable concern about privacy and confidentiality in survey taking and survey record keeping (Tables 28–31, 45–53, 70–73, 89, and 90).

This study confirms a commonly held belief that income is a survey topic particularly objectionable to many respondents (Tables 31, 45–48, 79, 86, and 90).

About two-thirds of the survey respondents believe that a credible promise of confidentiality would help to get better reporting on income, but would not lead to fully accurate reporting (Tables 46 and 47).

Respondents reported that, in the last few years, they received and participated in more survey contacts by mail than by other approaches. Telephone approaches were second in frequency and personal visits third (Tables 13, 15, 17, 18, 20, and 33). People decide whether to respond to a survey contact according to type of approach, type of organization, survey content, and other aspects of the survey; personal characteristics also affect those decisions (Tables 14, 16–24, 29, 30, 32–34, 46, 49–53, 79, and 95). A major category of reasons for survey nonresponse is apathy—lack of interest or motivation sufficient to overcome the effort, inconvenience, and possible risk involved in survey participation (Table 29).

Among different types of survey contact, the public prefers and responds in higher proportions to personal interview; mail is ranked second, and telephone contact is least preferred (Tables 15, 26, 29, and 32–34). It should be noted, however, that these preferences were expressed by respondents in a survey that was itself a personal-interview survey.

Among different types of survey organizations, there is more public trust in, and responsiveness to, government agencies and universities than to private companies (Tables 24, 43, 44, and 50–53).

At the time of the survey, respondents did not exhibit a high level of trust in government: a minority of respondents reported a belief that the government can be trusted to do what is right all or most of the time, and a minority believed that the government is run for the benefit of all the people (Tables 54–55).

The public is not well informed about the functions of the Census Bureau or about the provisions of the decennial census legislation regarding confidentiality and the fact that it is mandatory (Tables 35, 37, 39, 56–68, and 74–78).

People do not believe that the individually identifiable records of the Census Bureau are really confidential; only 5 percent of respondents believed that census records could not be obtained by other government agencies (Tables 56–68). Most people believe that the individually identifiable records of the Census Bureau should be confidential: about half believe that they should be confidential forever, and most of the rest believe that they should be made available for research only after an interval of time (Tables 70–73).

RECOMMENDATIONS BASED ON THE ATTITUDE SURVEY*

1. Since the pilot survey has proved useful as a source of data for analysis, the survey data and documentation should be retained for further exploitation by the conducting organizations and should be made available to other researchers, with proper protection against disclosure of individually identifiable responses.

2. The Panel was asked to examine the experience gained in the conduct of an exploratory attitude survey on confidentiality and related aspects of surveys, to determine whether the technique was a promising research approach and to recommend whether or not further surveying should be done. As noted above, the Panel found the experiment to be successful and, with a moderate increase in sample size over the original plan, to be a source

*Numbering of recommendations is that of Chapter 1.

of data that could be subjected to useful, although limited, analysis. There remains the question of whether another survey should be recommended. The Panel can recommend only that the Census Bureau, or any other concerned organization, weigh the potential benefits in more detailed and precise measurements that would result from a larger or more specialized survey against the costs to the survey taker and to survey respondents and determine whether additional data collection is worthwhile.

A larger survey would allow more detailed analysis, including the determination of differences in attitudes and perceptions among various population groups. Such a survey should include, if feasible, a sampling of the population not in private households. The oversampling of some types of areas or population segments, e.g., big-city, small-town, racial, or ethnic groups, to provide sufficient cases for comparative analysis, should be considered. Further study of the pilot survey results by type of area and other classifications can provide some indications of where oversampling would be desirable.

It would not be necessary to divide the fieldwork between a governmental agency (e.g., the Bureau of the Census) and a nongovernmental organization, although such a division was valuable in the pilot study in validating the results and in identifying items for which there was a variation of response associated with a difference in the collecting organization.

In a new survey, some additional precategorization of responses (e.g., providing a box for recording "more than 20" as a response to a question on number of survey contacts) might be incorporated, based on the experience of the test survey. In particular, groupings for such quantitative items as level of education, number of survey contacts, duration of confidentiality, and some of the open-ended attitudinal questions would simplify data collection and processing.

A new survey might profitably be taken shortly after the 1980 census. It could be designed to provide measures, useful for planning later censuses, of the effect of features of the 1980 census, especially those having to do with public cooperation. This test survey was taken 6 years after the most recent decennial census, and perceptions of the Census Bureau and the census had no doubt faded.

12. The Bureau of the Census should search for more active and effective ways to acquaint the public with its programs and their value and to brief respondents on the purpose and importance of each census or survey.

13. The Bureau of the Census should seek to establish a clear definition of the confidentiality status of the identifiable records it collects.

14. The Bureau of the Census should undertake more vigorous efforts to acquaint the public with the warranty of confidentiality, its legal backing,

and the record of the Bureau in maintaining confidentiality. It should seek further to develop its reputation as distinct from that of government, or survey taking, in general.

15. Although personal-visit surveys are more expensive than mail or telephone surveys, the higher esteem and responsiveness the public expresses for the personal-visit approach suggest that it be given more weight in selecting survey techniques. The Panel recognizes, however, that cost and other considerations may make personal visits not the best choice for the decennial census.

16. Although income is an important item in population and housing censuses and in many surveys, antipathy to the question expressed by the public argues for continued efforts to be made to minimize the adverse effect that the topic has upon public cooperation.

ATTITUDE SURVEY TABLES

TABLE 1 Interview and Noninterview Rates

	Unweighted Number			Unweighted Percent		
	Total	SRC	Census	Total	SRC	Census
Households assigned and in scope	1,456	754	702	100.0	100.0	100.0
Interviewed	1,187	588	599	81.5	78.0	85.3
Not interviewed						
Refusals	139	98	41	9.5	13.0	5.8
Other*	130	68	62	8.9	9.0	8.8

* Housing unit occupied but no one found at home despite repeated calls, or designated respondent could not be reached.

TABLE 2 Month of Interview

	Unweighted Number		
	Total	SRC	Census
Total	1,187	588	599
September 1976	125	53	72
October	988	462	526
November	72	71	1
December	1	1	
NA	1	1	

TABLE 3 Number of Calls Made to Obtain Interview

	Unweighted Number of Households		
	Total	SRC	Census
Total	1,187	588	599
1	363	169	194
2	318	157	161
3	192	85	107
4	117	64	53
5	68	37	31
6	42	22	20
7	22	15	7
8	15	11	4
9	7	5	2
10	6	2	4
11	4	2	2
12	1	1	—
16	1	1	—
17	1	—	1
21	1	1	—
NA	29	16	13
Average number	2.7	2.9	2.6

TABLE 4 Number of Eligible Respondents (Persons 18 and over) in Household

	Unweighted Number	Weighted Number		
		Total	SRC	Census
Total	1,187	2,257	1,136	1,121
1	317	317	148	169
2	718	1,436	718	718
3	113	339	177	162
4	30	120	68	52
5	9	45	25	20
Average weight (average number of persons 18 and over per household)		1.90	1.93	1.87

TABLE 5 Age of Respondent

	Unweighted		Weighted Percent		
	Number	Percent	Total	SRC	Census
Total	1,187	100	100	100	100
18-20	39	3	5	4	5
21-24	109	9	10	11	9
25-44	468	40	40	41	38
45-64	348	29	31	33	29
65-93	214	19	15	12	18
NA	9	1	1	–	1

TABLE 6 Sex and Household Relationship of Respondent

	Unweighted		Weighted Percent		
	Number	Percent	Total	SRC	Census
Total	1,187	100	100	100	100
Male head	497	42	42	44	40
Female head	241	20	12	12	13
Wife of head	366	31	35	33	37
Other male relative	33	3	5	4	5
Other female relative	35	3	5	5	5
Male nonrelative	8	1	1	1	–
Female nonrelative	7	1	1	1	–

TABLE 7 Race or Ethnic Group of Respondent (by Interviewer Observation)

	Unweighted		Weighted Percent		
	Number	Percent	Total	SRC	Census
Total	1,187	100.0	100.0	100.0	100.0
White excluding Hispanic	1,006	84.8	84.9	84.9	84.9
Hispanic (Chicano, Puerto Rican, Mexican, Spanish-American)	38	3.2	3.5	3.7	3.3
Black	130	11.0	10.2	9.8	10.7
American Indian	2	0.2	0.2	–	0.4
Oriental	10	0.8	1.0	1.6	0.4
NA	1	0.1	0.1	–	0.3

TABLE 8 Language Problem in Interview (by Interviewer Observation)

	Weighted Percent		
	Total	SRC	Census
Total	100	100	100
Yes, major	1	1	1
Yes, minor	4	3	4
No	95	96	94
NA	1	—	1

TABLE 9 Respondents' General Understanding of Questions (by Interviewer Observation)

	Weighted Percent		
	Total	SRC	Census
Total	100	100	100
Excellent	33	30	37
Good	43	51	35
Fair	18	14	21
Poor	6	5	7
NA	1	1	1

TABLE 10 Respondent Suspicion of Study Before Interview (by Interviewer Observation)

	Weighted Percent		
	Total	SRC	Census
Total	100	100	100
Not at all suspicious	74	74	74
Somewhat suspicious	21	21	20
Very suspicious	5	5	6

TABLE 11 Respondent Interest in Interview (by Interviewer Observation)

	Weighted Percent		
	Total	SRC	Census
Total	100	100	100
Very high	12	8	16
Above average	29	29	29
Average	43	49	37
Below average	12	10	13
Very low	3	3	4

TABLE 12 Number of Reported Survey Contacts (All Types) in Last 4 or 5 Years

	Unweighted Number	Unweighted Percent
Total	1,187	100
None	526	44
1	186	16
2	103	9
3	87	7
4	45	4
5	39	3
6-10	84	7
11-20	55	5
21 or more	27	2
Don't know, NA	35	3
Average number*	3.26	

* Base includes "none," excludes "don't know" and NA.

TABLE 13 Number of Reported Survey Contacts in Last 4 or 5 Years, by Type of Survey

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	1,187	1,187	1,187
None	809	818	960
1	101	130	143
2	70	75	45
3	48	54	15
4	20	19	3
5	28	24	9
6 or more	98	58	10
Don't know	8	9	1
NA	5	—	1
Average number*	1.76	1.13	0.40

* Base includes "none," excludes "don't know" and NA.

TABLE 14 Number of Surveys (All Types) Participated in During Last 4 or 5 Years

	Unweighted Number	Unweighted Percent
Total	1,187	100
None	641	54
1	218	18
2	115	10
3	58	5
4	39	3
5	28	2
6-10	46	4
11-20	16	1
21 or more	13	1
Don't know, NA	13	1
Average number*	1.80	
Participation rate (as percent of contacts)	55	

* Base includes "none," excludes "don't know" and NA.

TABLE 15 Number of Surveys Participated in During Last 4 or 5 Years, by Type of Survey

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	1,187	1,187	1,187
None	913	926	987
1	122	129	139
2	60	53	35
3	25	29	9
4 or more	62	47	15
Don't know	1	–	1
NA	4	3	1
Average number*	0.98	0.52	0.30
Participation rate (as percent of contacts)	55	46	74

* Base includes "none," excludes "don't know" and NA.

TABLE 16 Survey Contacts (All Types) and Participation During Last 4 or 5 Years

	Participation, Unweighted Number				
	Total	None	Some But Not All	All	NA
Total	1,187	625	205	319	38
No contacts	526	526	–	–	–
1 contact	186	35	–	151	–
2 or 3 contacts	190	34	53	102	1
4 or more contacts	250	30	152	66	2
NA	35	–	–	–	35

TABLE 17 Survey Participation During Last 4 or 5 Years, by Type of Survey

	Unweighted Number	Unweighted Percent
Total	1,187	100
No participation	642	54
Only in mail surveys	144	12
Only in telephone surveys	137	12
Only in personal-interview surveys	103	9
Mail and telephone	65	6
Mail and personal	38	3
Telephone and personal	31	3
Mail, telephone, and personal	26	2
NA	1	–

TABLE 18 Survey Participation During Last 4 or 5 Years, by Sex of Respondent

	Unweighted Number*		Unweighted Percent	
	Male	Female	Male	Female
Total	538	649	100	100
No participation	314	328	58	51
Only in mail surveys	81	63	15	10
Only in telephone surveys	54	83	10	13
Only in personal-interview surveys	36	67	7	10
Mail and telephone	19	46	4	7
Mail and personal	17	21	3	3
Telephone and personal	6	25	1	4
Mail, telephone, and personal	11	15	2	2
NA	–	1	–	–

* Use of unweighted figures has some distorting effect on relative total numbers of males and females; weighted figures are more nearly equal (see Table 6). However, this should have little effect on the distribution for each sex.

TABLE 19 Survey Contacts (All Types) and Participation During Last 4 or 5 Years, by Sex of Respondent

	Unweighted Number*		Unweighted Percent	
	Male	Female	Male	Female
Total	538	649	100	100
No contacts	263	263	49	41
1 contact				
Did not participate	16	19	3	3
Participated	55	96	10	15
2 or 3 contacts				
Did not participate	11	23	2	4
Participated in some but not all	28	25	5	4
Participated in all	43	59	8	9
4 or more contacts				
Did not participate	16	14	3	2
Participated in some but not all	65	87	12	13
Participated in all	23	43	4	7
NA	18	20	3	3
1 or more contacts	257	366	100	100
Participated in none	43	56	17	15
Participated in some but not all	93	112	36	31
Participated in all	121	198	47	54

* Use of unweighted figures has some distorting effect on relative total numbers of males and females; weighted figures are more nearly equal (see Table 6). However, this should have little effect on the distribution for each sex.

TABLE 20 Survey Participation During Last 4 or 5 Years, by Race or Ethnic Group of Respondent
[Excludes 2 American Indian, 10 Oriental, 1 NA]

	Unweighted Number			Unweighted Percent		
	White Excluding Hispanic	Hispanic	Black	White Excluding Hispanic	Hispanic	Black
Total	1,006	38	130	100	100	100
No participation	520	26	90	52	68	69
Only in mail surveys	132	5	6	13	13	5
Only in telephone surveys	114	4	15	11	11	12
Only in personal interview surveys	86	2	14	9	5	11
Mail and telephone	62	—	2	6	—	2
Mail and personal	37	—	1	4	—	1
Telephone and personal	29	1	1	3	3	1
Mail, telephone, and personal	26	—	—	3	—	—
NA	—	—	1	—	—	1

TABLE 21 Survey Contacts (All Types) and Participation During Last 4 or 5 Years, by Race or Ethnic Group of Respondent

[Excludes 2 American Indian, 10 Oriental, 1 NA]

	Unweighted Number			Unweighted Percent		
	White Excluding Hispanic	Hispanic	Black	White Excluding Hispanic	Hispanic	Black
Total	1,006	38	130	100	100	100
No contacts	416	25	80	41	66	62
1 contact						
Did not participate	30	—	5	3	—	4
Participated	124	3	21	12	8	16
2 or 3 contacts						
Did not participate	28	1	4	3	3	3
Participated in some but not all	46	—	6	5	—	5
Participated in all	92	4	4	9	11	3
4 or more contacts						
Did not participate	30	—	—	3	—	—
Participated in some but not all	143	1	7	14	3	5
Participated in all	63	2	1	6	5	1
NA	34	2	2	3	5	2
1 or more contacts	556	11	48	100	100	100
Participated in none	88	1	9	16	9	19
Participated in some but not all	189	1	13	34	9	27
Participated in all	279	9	26	50	82	54

TABLE 22 Survey Contacts (All Types) and Participation During Last 4 or 5 Years, by Education of Respondent
[Excludes 10 Respondents with Education Not Reported]

	Unweighted Number			Unweighted Percent		
	Less Than High School Diploma	High School Diploma, No College Degree	College Degree	Less Than High School Diploma	High School Diploma, No College Degree	College Degree
Total	354	632	191	100	100	100
No contacts	221	263	35	62	42	18
1 contact						
Did not participate	11	20	3	3	3	2
Participated	37	91	22	10	14	12
2 or 3 contacts						
Did not participate	5	17	12	1	3	6
Participated in some but not all	7	34	12	2	5	6
Participated in all	24	55	23	7	9	12
4 or more contacts						
Did not participate	7	17	5	2	3	3
Participated in some but not all	21	78	53	6	12	28
Participated in all	9	37	20	3	6	10
NA	12	20	6	3	3	3
1 or more contacts	121	349	150	100	100	100
Participated in none	23	54	20	19	15	13
Participated in some but not all	28	112	65	23	32	43
Participated in all	70	183	65	58	52	43

TABLE 23 Survey Contacts (All Types) and Participation During Last 4 or 5 Years, by Family Income of Respondent
[Excludes 177 Respondents with Family Income Not Reported]

	Unweighted Number				Unweighted Percent			
	Under $5,000	$5,000-14,999	$15,000-24,999	$25,000 and Over	Under $5,000	$5,000-14,999	$15,000-24,999	$25,000 and Over
Total	209	407	269	125	100	100	100	100
No contacts	143	180	87	28	68	44	32	22
1 contact								
Did not participate	8	13	8	—	4	3	3	—
Participated	25	60	35	15	12	15	13	12
2 or 3 contacts								
Did not participate	2	10	13	2	1	2	5	2
Participated in some but not all	—	25	17	7	—	6	6	6
Participated in all	14	33	26	15	7	8	10	12
4 or more contacts								
Did not participate	—	15	5	5	—	4	2	4
Participated in some but not all	8	41	45	36	4	10	17	29
Participated in all	7	15	26	12	3	4	10	10
NA	2	15	7	5	1	4	3	4
1 or more contacts	64	212	175	92	100	100	100	100
Participated in none	10	38	26	7	16	18	15	8
Participated in some but not all	8	66	62	43	13	31	35	47
Participated in all	46	108	87	42	72	51	50	46

TABLE 24 Taker of Survey

[Most Recent Survey, of Each Type, Participated in and Not Participated in]

	Unweighted Number					
	Mail		Telephone		Personal Visit	
	Participated	Did Not	Participated	Did Not	Participated	Did Not
Total	274	218	260	154	199	47
National government	72	36	9	–	26	3
State or local government	38	25	17	7	49	9
University	17	8	12	4	24	5
Private company	115	82	150	82	50	12
Other	15	19	14	7	16	4
Don't remember	16	36	56	51	32	13
NA	1	12	2	3	2	1

TABLE 25 Perceived Voluntary or Mandatory Nature of Survey

[Most Recent Survey, of Each Type, Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	274	260	199
Voluntary	257	247	166
Required by law	7	1	10
Don't know	9	11	22
NA	1	1	1

TABLE 26 Interest in Survey

[Most Recent Survey, of Each Type, Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	274	260	199
Very interesting	74	30	42
Somewhat interesting	116	62	61
Not very interesting	38	77	50
Not at all interesting	40	81	36
Don't remember	3	7	8
NA	3	3	2

TABLE 27 Respondent View of Whether Interview Time Was Well Spent

[Most Recent Survey, of Each Type, Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	274	260	199
Very well spent	107	54	63
Somewhat well spent	103	88	81
Not very well spent	53	105	48
Don't remember	6	5	4
NA	5	8	3

TABLE 28 Presence of Questions That Respondent Felt Survey Taker Had No Business Asking About
[Most Recent Survey, of Each Type, Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	274	260	199
Yes	39	71	51
No	229	181	137
Don't remember	5	6	10
NA	1	2	1

TABLE 29 Reasons for Nonparticipation If Contacted in a Survey
[Most Recent Survey, of Each Type, Not Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Total	218	154	47
Lack of interest, or inconvenience			
Topic uninteresting	37	14	3
Topic inappropriate	6	6	1
General lack of interest, didn't want to bother	62	23	11
Oversight	31	—	—
Too busy	21	23	9
Inconvenient time	—	12	—
Not available to respond	3	1	2
Someone else responded	2	1	1
Will get to it	3	—	—
Objection to approach or content			
Topic objectionable	14	11	7
Questions poor	6	1	—
Distrust in research	2	3	2
Object to method	1	23	1
Dislike of interviewer	—	—	2
Distrust of interviewer	—	26	—
Distrust in sponsor	5	—	1
Object to purpose	8	1	3
Other	2	4	1
Don't know	3	—	1
NA	12	5	2
Summary			
Lack of interest, or inconvenience	165	80	27
Objection to approach or content	36	65	16

TABLE 30 Topic of Survey

[If Known; Multiple Topics Reported for Some Surveys. Most Recent Survey, of Each Type, Participated in and Not Participated in]

	Unweighted Number					
	Mail		Telephone		Personal Visit	
	Participated	Did Not	Participated	Did Not	Participated	Did Not
Total topics reported	328	213	286	131	249	36
Ideas about a product	94	65	122	65	41	9
Political views	80	68	54	15	33	8
Other opinions	42	28	35	18	40	8
Personal or family data	64	26	42	19	106	10
How spent time or money	30	18	26	11	20	1
Other	18	8	7	3	9	—

TABLE 31 Kinds of Questions Disliked

[If Any; Multiple Mentions for Some Surveys. Most Recent Survey, of Each Type, Participated in]

	Unweighted Number		
	Mail	Telephone	Personal Visit
Income	18	31	22
Other financial	7	8	8
Religion	—	—	—
Politics	3	8	3
Sex life, family planning	—	—	1
Job	4	2	2
Demographic characteristics	6	8	6
Other personal	3	9	4
Other family	1	1	4
Other, including use of product or service	9	14	6
Don't remember	2	3	2
NA	4	3	2

TABLE 32 Preferred Survey Method

	Unweighted Number	Weighted Percent
Total	1,187	100
Mail	356	30
Telephone	78	7
Face to face	604	51
Other, two or three choices, no choice	135	11
NA	14	1

TABLE 33 Preferred Survey Method, by Survey Participation During Last 4 or 5 Years

	Preferred Survey Method, Unweighted Number					
Survey Participation	Total	Mail	Tele-phone	Face to Face	Other, Two or Three Choices, No Choice	NA
Total	1,187	356	78	604	135	14
No participation	642	166	34	355	81	6
Only in mail surveys	144	61	3	63	14	3
Only in telephone surveys	137	35	25	62	11	4
Only in personal interview surveys	103	26	7	57	13	—
Mail and telephone	65	30	3	25	6	1
Mail and personal	38	17	1	17	3	—
Telephone and personal	31	10	3	15	3	—
Mail, telephone, and personal	26	11	2	9	4	—
NA	1	—	—	1	—	—

TABLE 34 Reasons for Preferring Face-to-Face Interviews

[For Those Who Expressed Preference for Face-to-Face Interviews; Includes Some Multiple Mentions]

	Unweighted Number
Total mentions	616
Faster, more convenient	21
Easier	14
More efficient for research	32
Can answer better with help from interviewer	199
More personal	217
More trust	95
Shows importance of survey	29
Other	9

TABLE 35 Perception of Who Collects Information on Unemployment

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Had not heard about subject lately	204	16	15	18
Had heard about subject lately	983	84	85	82
Respondent identification of collecting organization*				
National government	544	47	48	46
Census Bureau	(19)	(2)	(1)	(2)
State or local government	426	36	40	32
University	73	6	8	4
Michigan, SRC	(3)	(—)	(—)	(—)
Private company	91	8	10	6
Other	50	5	6	3

* Asked of those who reported they had heard about subject lately; includes some multiple mentions.

TABLE 36 Perception of Who Conducts Political Polls

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Had not heard about subject lately	207	16	15	18
Had heard about subject lately	980	84	85	82
Respondent identification of collecting organization*				
National government	163	14	13	15
Census Bureau	(—)	(—)	(—)	(—)
State or local government	150	12	12	13
University	63	5	8	3
Michigan, SRC	(—)	(—)	(—)	(—)
Private company	453	39	41	38
Other	126	11	13	9

* Asked of those who reported they had heard about subject lately; includes some multiple mentions.

TABLE 37 Perception of Who Conducts Counts of All the People Every 10 Years

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Had not heard about subject lately	502	42	41	42
Had heard about subject lately	685	58	59	58
Respondent identification of collecting organization*				
National government	527	45	46	44
Census Bureau	(366)	(31)	(29)	(33)
State or local government	88	8	9	7
University	9	1	1	1
Michigan, SRC	(—)	(—)	(—)	(—)
Private company	14	1	1	1
Other	8	1	1	1

* Asked of those who reported they had heard about subject lately; includes some multiple mentions.

TABLE 38 Perception of Who Collects Information About Attitudes About the Economy

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Had not heard about subject lately	319	26	26	25
Had heard about subject lately	868	74	74	75
Respondent identification of collecting organization*				
National government	278	24	24	24
Census Bureau	(5)	(—)	(—)	(1)
State or local government	161	14	15	13
University	102	9	11	7
Michigan, SRC	(7)	(1)	(1)	(—)
Private company	258	22	23	21
Other	86	7	7	8

* Asked of those who reported they had heard about subject lately; includes some multiple mentions.

TABLE 39 Perception of Who Collects Information About Number of People Who Need Different Types of Health Care

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Had not heard about subject lately	519	43	42	44
Had heard about subject lately	668	57	58	56
Respondent identification of collecting organization*				
National government	308	27	28	26
Census Bureau	(3)	(—)	(—)	(—)
State or local government	220	19	19	19
University	47	4	4	3
Michigan, SRC	(1)	(—)	(—)	(—)
Private company	71	6	6	6
Other	40	3	3	3

* Asked of those who reported they had heard about subject lately; includes some multiple mentions.

TABLE 40 Perceived Values of Surveys

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Serve good purpose	576	49	52	46
Depends	271	23	24	22
Waste of time and money	230	20	16	23
Don't know	107	8	8	9
NA	3	–	–	–

TABLE 41 Trust in Survey Results

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Right almost always	61	5	4	5
Right most of the time	407	36	36	35
Right only some of the time	514	44	46	42
Right hardly ever	84	7	5	8
Don't know	117	8	7	10
NA	4	–	1	–

TABLE 42 Reasons Surveys Can Be Trusted Only Some of the Time or Hardly Ever

[For Those Who Reported Surveys Can Be Trusted Only Some of the Time or Hardly Ever; Includes Some Multiple Mentions]

	Unweighted Number
Total mentions	693
Technical limitations (survey methods, sampling, question formulation, analytic methods)	151
Implementation problems (inadequate samples, poor execution)	118
Deliberate bias (dishonest answers, bias of researchers or sponsors)	145
General bias (refusals, imprecise answers, etc.)	155
Results of different surveys disagree	13
Surveys don't do any good	18
Don't like how results are used	5
Other	20
Don't know	41
NA	27

TABLE 43 Perception of Which Type of Organization Is Most Likely to Get Accurate Information

		Weighted Percent		
	Unweighted Number	Total	SRC	Census
Total	1,187	100	100	100
National government	242	21	18	23
State or local government	92	7	6	9
Government	34	3	2	4
University	131	12	14	9
Private company	65	5	4	7
Other	45	4	5	3
Not much difference; don't know	578	48	51	45

TABLE 44 Perception of Which Type of Organization Is Least Likely to Get Accurate Information

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
National government	96	8	8	8
State or local government	36	3	4	3
Government	13	1	2	1
University	59	6	2	8
Private company	351	30	29	30
Other	12	1	1	1
Not much difference; don't know	620	51	53	49

TABLE 45 Perception of How Many People Would Report Accurately on Finances

	Unweighted Number	Weighted Percent
Total	1,187	100
Almost everyone	31	3
Most	166	15
Only some	449	37
Hardly anyone	483	41
Don't know	55	4
NA	3	–

TABLE 46 Perception of Whether Promise of Confidentiality Would Make Difference in Accurate Reporting on Finances

	Unweighted Number	Weighted Percent
Total	1,187	100
Big difference	369	31
Some difference	369	32
No difference	383	32
Don't know	65	5
NA	1	–

TABLE 47 Perception of How Many People Would Report Accurately on Finances If Promised Confidentiality
[For Those Who Reported Difference]

	Unweighted Number
Total	738
Almost everyone	82
Most	221
Only some	322
Hardly anyone	94
Don't know	15
NA	4

TABLE 48 Reasons for No Difference in Reporting on Finances If Promised Confidentiality
[For Those Who Reported No Difference]

	Unweighted Number
Total	383
Don't trust surveys	16
Don't believe promise	87
Impossible to maintain confidentiality	14
Don't trust interviewer	5
Information private under any circumstances	121
Won't change behavior because of assurances	108
Other	4
Don't know	26

TABLE 49 Belief That Some Types of Organizations Can Be Trusted More Than Others to Keep Survey Responses Confidential

	Unweighted Number	Weighted Percent
Total	1,187	100
Some can be trusted more	445	39
Not much difference	655	55
Don't know	85	6
NA	2	—

TABLE 50 Type of Organization Trusted Most to Keep Survey Responses Confidential

[For Those Who Reported Some Can Be Trusted More; Includes Some Multiple Mentions]

	Unweighted Number
Total mentions	529
National government	220
State and local government	90
University	139
Private company	76
Other	1
Don't know	2
NA	1

TABLE 51 Reason for Trust in Most Trusted Type of Organization

[For Those Who Reported Some Can Be Trusted More; Includes 47 Second Reasons]

	Unweighted Number
Total mentions	492
General trust in type of organization	151
More secure; restriction on giving out information; no reason to give out information; ethical	192
Good use of results; care about people	36
Other	20
Relative: trust more than other types	55
Don't know	17
NA	21

TABLE 52 Type of Organization Trusted Least to Keep Survey Responses Confidential

[For Those Who Reported Some Can Be Trusted More; Includes Some Multiple Mentions]

	Unweighted Number
Total mentions	491
National government	79
State and local government	66
University	45
Private company	261
Other	3
Don't know	27
NA	10

TABLE 53 Reason for Distrust in Least Trusted Type of Organization

[For Those Who Reported Some Can Be Trusted More; Includes 35 Second Reasons]

	Unweighted Number
Total mentions	480
General distrust in type of organization	106
Not secure; no restriction on giving out information; have reasons to give out information; less ethical	267
Don't care about people	13
Other	12
Relative: trust less than other types	9
Don't know	29
NA	44

TABLE 54 Amount of Time Government in Washington Can Be Trusted to Do What Is Right

	Unweighted Number	Weighted Percent
Total	1,187	100
Always	75	6
Most of the time	368	32
Only some of the time	637	54
Rarely, never	44	4
Don't know	53	4
NA	10	1

TABLE 55 Opinion on for Whom Government Is Run

	Unweighted Number	Weighted Percent
Total	1,187	100
For few big interests	706	60
For benefit of all	336	28
Don't know, no choice	130	11
NA	15	1

TABLE 56 Belief on Whether Census Individual Survey Records Are Open to Public

		Weighted Percent		
	Unweighted Number	Total	SRC	Census
Total	1,187	100	100	100
Open	214	18	21	15
Not open	414	35	30	40
Don't know	552	46	49	44
NA	7	1	1	1

TABLE 57 Belief on Whether Individually Identifiable Census Records Are Available to Other Government Agencies

		Weighted Percent		
	Unweighted Number	Total	SRC	Census
Total	1,187	100	100	100
Inappropriate*	214	18	21	15
Open to other agencies	250	22	26	17
Not open	113	9	7	12
Don't know	606	51	46	56
NA	4	1	—	1

* Question not asked of those who replied to previous question that they believed census records are open to public.

TABLE 58 Belief That Other Government Agencies Could Obtain Census Records If They Really Tried

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Inappropriate*	464	40	47	32
Yes	483	41	39	43
No	65	5	2	8
Don't know	166	14	11	16
NA	9	1	1	1

* Question not asked of those who replied to previous questions that they believed census records are open to public or to government agencies.

TABLE 59 Belief on Whether Census Individual Survey Records Are Open to Public, by Sex of Respondent

	Unweighted Number*	
	Male	Female
Total	538	649
Open	115	99
Not open	190	224
Don't know	230	322
NA	3	4
Percent believing not open to public	35	35

* Use of unweighted figures has some distorting effect on relative total numbers of males and females; weighted figures are more nearly equal (see Table 6). However, this should have little effect on the distribution for each sex.

TABLE 60 Belief That Other Government Agencies Could Obtain Census Records If They Really Tried, by Sex of Respondent

	Unweighted Number*	
	Male	Female
Total	538	649
Inappropriate†	227	237
Yes	218	265
No	28	37
Don't know	62	104
NA	3	6
Percent believing other government agencies could not obtain census records	5	6

* Use of unweighted figures has some distorting effect on relative total numbers of males and females; weighted figures are more nearly equal (see Table 6). However, this should have little effect on the distribution for each sex.
† Question not asked of those who replied to previous questions that they believed census records are open to public or to government agencies.

TABLE 61 Belief on Whether Census Individual Survey Records Are Open to Public, by Age of Respondent
[Excludes 9 Respondents with Age Not Reported]

	Unweighted Number*			
	18-24	25-44	45-64	65-93
Total	148	468	348	214
Open	18	87	71	36
Not open	59	165	117	70
Don't know	71	214	157	106
NA	—	2	3	2
Percent believing not open to public	40	35	34	33

* Use of unweighted figures has some distorting effect on relative total numbers in each age group (see Table 5). However, this should have little effect on the distributions for each age group.

TABLE 62 Belief That Other Government Agencies Could Obtain Census Records If They Really Tried, by Age of Respondent
[Excludes 9 Respondents with Age Not Reported]

	Unweighted Number*			
	18-24	25-44	45-64	65-93
Total	148	468	348	214
Inappropriate†	46	193	150	69
Yes	75	196	136	74
No	9	20	17	19
Don't know	18	56	42	49
NA	–	3	3	3
Percent believing other government agencies could not obtain census records	6	4	5	9

* Use of unweighted figures has some distorting effect on relative total numbers in each age group (see Table 5). However, this should have little effect on the distributions for each age group.
† Question not asked of those who replied to previous questions that they believed census records are open to public or to government agencies.

TABLE 63 Belief on Whether Census Individual Survey Records Are Open to Public, by Race or Ethnic Group of Respondent
[Excludes 2 American Indian, 10 Oriental, 1 NA]

	Unweighted Number		
	White Excluding Hispanic	Hispanic	Black
Total	1,006	38	130
Open	189	6	18
Not open	340	10	59
Don't know	472	22	51
NA	5	–	2
Percent believing not open to public	34	26	45

TABLE 64 Belief That Other Government Agencies Could Obtain Census Records If They Really Tried, by Race or Ethnic Group of Respondent

[Excludes 2 American Indian, 10 Oriental, 1 NA]

	Unweighted Number		
	White Excluding Hispanic	Hispanic	Black
Total	1,006	38	130
Inappropriate*	409	12	37
Yes	400	17	63
No	54	3	8
Don't know	136	6	20
NA	7	—	2
Percent believing other government agencies could not obtain census records	5	8	6

* Question not asked of those who replied to previous questions that they believed census records are open to public or to government agencies.

TABLE 65 Belief on Whether Census Individual Survey Records Are Open to Public, by Education of Respondent

[Excludes 10 Respondents with Education Not Reported]

	Unweighted Number		
	Less Than High School Diploma	High School Diploma, No College Degree	College Degree
Total	354	632	191
Open	56	110	47
Not open	120	225	68
Don't know	176	294	76
NA	2	3	—
Percent believing not open to public	34	36	36

TABLE 66 Belief That Other Government Agencies Could Obtain Census Records If They Really Tried, by Education of Respondent
[Excludes 10 Respondents with Education Not Reported]

	Unweighted Number		
	Less Than High School Diploma	High School Diploma, No College Degree	College Degree
Total	354	632	191
Inappropriate*	103	256	102
Yes	144	263	73
No	23	39	3
Don't know	80	71	13
NA	4	3	—
Percent believing other government agencies could not obtain census records	7	6	2

* Question not asked of those who replied to previous questions that they believed census records are open to public or to government agencies.

TABLE 67 Belief on Whether Census Individual Survey Records Are Open to Public, by Trust in Government (Amount of Time Government Can Be Trusted to Do What Is Right)

	Trust in Government, Unweighted Number					
Census Records	Always	Most of the Time	Only Some of the Time	Rarely, Never	Don't Know	NA
Total	75	368	637	44	53	10
Open	11	58	121	14	8	2
Not open	38	139	213	12	10	2
Don't know	25	170	302	18	33	4
NA	1	1	1	—	2	2
Percent believing not open to public	51	38	33	27	19	

TABLE 68 Belief on Whether Census Individual Survey Records Are Open to Public, by Opinion on for Whom Government Is Run

	For Whom Government Is Run, Unweighted Number			
Census Records	For Few Big Interests	For Benefit of All	Don't Know, No Choice	NA
Total	706	336	130	15
Open	135	51	25	3
Not open	250	131	31	2
Don't know	318	153	72	9
NA	3	1	2	1
Percent believing not open to public	35	39	24	

TABLE 69 Trust in Government (Amount of Time Government in Washington Can Be Trusted to Do What Is Right), by Trust in Survey Results

	Trust in Survey Results, Unweighted Number					
Trust in Government	Right Almost Always	Right Most of the Time	Right Only Some of the Time	Right Hardly Ever	Don't Know	NA
Total	61	407	514	84	117	4
Always	9	33	19	6	7	1
Most of the time	20	159	152	15	21	1
Only some of the time	32	195	303	45	60	2
Rarely, never	—	5	18	16	5	—
Don't know	—	12	19	1	21	—
NA	—	3	3	1	3	—
Percent trusting government always or most of the time	48	47	33	25	24	

TABLE 70 Length of Time Census Records Should Be Kept Confidential

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Forever	552	46	44	49
Open for research after a time	584	49	53	46
Don't know	34	3	3	3
NA	17	2	1	2

TABLE 71 Number of Years Census Records Should Be Kept Confidential Before Opened to Outside Researchers

[Asked of Those Who Replied to Previous Question That They Believed Records Should Be Opened After a Time]

	Unweighted Number	
	Minimum	Maximum
Total	584	584
0 years	87	76
1, 2, 3, 4 years	70	65
5, 6, 7, 8 years	113	100
10 years	97	104
15 years	8	11
20 years	34	31
25 years	16	20
30, 35, 40, 45 years	13	11
50 years	27	29
65 years or more	17	21
Lifetime of person	22	20
Nonnumeric response, don't know, or NA	80	96

TABLE 72 Length of Time Census Records Should Be Kept Confidential, by Education of Respondent

[Excludes 10 Respondents with Education Not Reported]

	Unweighted Number		
	Less Than High School Diploma	High School Diploma, No College Degree	College Degree
Total	354	632	191
Forever	159	314	75
Open for research after a time	168	302	111
Don't know	22	10	2
NA	5	6	3
Percent believing records should be kept confidential forever	45	50	39

TABLE 73 Length of Time Census Records Should Be Kept Confidential, by Opinion on for Whom Government Is Run

	For Whom Government Is Run, Unweighted Number			
Length of Time Confidential	For Few Big Interests	For Benefit of All	Don't Know, No Choice	NA
Total	706	336	130	15
Forever	335	150	60	7
Open for research after a time	344	176	58	6
Don't know	18	8	7	1
NA	9	2	5	1
Percent believing records should be kept confidential forever	47	45	46	

TABLE 74 Belief on Whether Decennial Census Is Mandatory

	Unweighted Number	Weighted Percent
Total	1,187	100
Yes	583	50
No	306	25
Don't know	289	24
NA	9	1

TABLE 75 Belief on Whether Decennial Census Is Mandatory, by Race or Ethnic Group of Respondent

[Excludes 2 American Indian, 10 Oriental, 1 NA]

	Unweighted Number		
	White Excluding Hispanic	Hispanic	Black
Total	1,006	38	130
Yes	508	17	54
No	256	9	38
Don't know	234	12	37
NA	8	—	1
Percent believing census mandatory	50	45	42

TABLE 76 Belief on Whether Decennial Census Is Mandatory, by Education of Respondent

[Excludes 10 Respondents with Education Not Reported]

	Unweighted Number		
	Less Than High School Diploma	High School Diploma, No College Degree	College Degree
Total	354	632	191
Yes	184	294	101
No	72	184	49
Don't know	98	149	41
NA	–	5	–
Percent believing census mandatory	52	47	53

TABLE 77 Belief on Whether Decennial Census Is Mandatory, by Trust in Government (Amount of Time Government Can Be Trusted to Do What Is Right)

	Trust in Government, Unweighted Number					
Census Mandatory	Always	Most of the Time	Only Some of the Time	Rarely, Never	Don't Know	NA
Total	75	368	637	44	53	10
Yes	47	181	304	21	25	5
No	12	105	171	9	7	2
Don't know	16	80	158	13	20	2
NA	–	2	4	1	1	1
Percent believing census mandatory	63	49	48	48	47	

TABLE 78 Belief on Whether Decennial Census Is Mandatory, by Opinion on for Whom Government Is Run

	For Whom Government Is Run, Unweighted Number			
Census Mandatory	For Few Big Interests	For Benefit of All	Don't Know, No Choice	NA
Total	706	336	130	15
Yes	344	177	56	6
No	196	81	27	2
Don't know	162	77	45	5
NA	4	1	2	2
Percent believing census mandatory	49	53	43	

TABLE 79 Nonresponse Rates for Personal or Family Description Items

["Don't Know" Response or No Response Recorded (NA) as Percent of Number of Respondents]

	Total		SRC		Census	
	Don't Know	NA	Don't Know	NA	Don't Know	NA
Year of birth	–	1.4	–	1.0	–	1.8
Month of birth	–	1.4	–	0.9	–	2.0
Marital status	–	0.4	–	0.0	–	0.8
Highest grade of school completed	–	0.8	–	0.5	–	1.0
Highest level of education obtained	–	0.8	–	0.9	–	0.8
Employment status	–	0.4	–	0.5	–	0.3
Occupation*	–	0.4	–	0.4	–	0.4
Hours worked per week*	0.4	1.6	0.6	0.8	0.3	2.4
Class of worker*	–	0.5	–	0.2	–	0.8
Type of employer*	–	1.6	–	1.8	–	1.5
Family income (card category)	3.1	11.8	3.2	10.4	3.0	13.2
Tenure of home	–	2.0	–	1.2	–	2.8
Number of telephones	–	0.7	–	0.5	–	0.8
Whether telephone(s) listed	0.2	1.1	0.2	1.2	0.2	1.0
Ethnic origin	3.8	1.9	4.4	1.4	3.2	2.5

* Rate computed on base of number of respondents to whom question applied, e.g., those who reported themselves as employed.

TABLE 80 How Well Did the Interviewer Conduct the Interview?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Not at all well	4	–	–	–
Not very well	9	1	1	1
Fairly well	100	9	9	8
Very well	1,019	86	88	84
NA	55	5	2	7

TABLE 81 How Well Did the Interviewer Explain the Purpose of the Interview?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Not at all well	5	–	–	–
Not very well	19	2	1	2
Fairly well	242	21	22	20
Very well	863	73	74	71
NA	58	5	3	7

TABLE 82 How Interesting Did You Feel This Interview Was?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Very interesting	374	31	33	29
Fairly interesting	584	50	53	48
Not very interesting	133	11	10	13
Not at all interesting	42	4	3	5
NA	54	5	2	6

TABLE 83 How Did You Feel About the Length of Your Interview?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Much too long	28	2	1	4
Too long	102	9	8	10
About right	985	82	86	78
Too short	12	1	2	1
Much too short	10	1	1	1
NA	50	4	2	6

TABLE 84 Do You Feel You Were Able to Express Your Opinions Fully on the Topics?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Yes	998	84	85	83
No	128	11	11	10
Don't know	1	–	–	–
NA	60	5	3	7

TABLE 85 Were There Any Questions That You Did Not Understand the Reason For?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Yes	142	11	11	11
No	948	80	83	78
Don't know	3	–	–	–
NA	94	8	6	11

TABLE 86 Which Questions Did You Not Understand the Reason For? (Types of Questions Mentioned More Than 3 Times)

	Unweighted Number
Trust in surveys; confidential information; census records	8
Income; financial	19
Telephone	13
Politics; government	10
All; most; many	20

TABLE 87 Were There Any Questions That You Thought Were Too Difficult?

		Weighted Percent		
	Unweighted Number	Total	SRC	Census
Total	1,187	100	100	100
Yes	113	9	8	10
No	966	82	85	79
Don't know	1	—	—	—
NA	107	9	7	10

TABLE 88 Which Questions Did You Think Were Too Difficult? (Types of Questions Mentioned More Than 3 Times)

	Unweighted Number
Section A: Surveys	9
Identification of who asks about unemployment, candidates, counts of population, economy, health care	15
Trust in surveys; confidential information; census records	12
Politics; government	12
All; most; many	9

TABLE 89 Were There Any Questions You Felt Uncomfortable About Answering Because the Information Is Personal?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Yes	181	16	16	15
No	905	76	77	75
Don't know	1	–	–	–
NA	100	8	7	10

TABLE 90 Which Questions Did You Feel Uncomfortable About Answering? (Types of Questions Mentioned More Than 3 Times)

	Unweighted Number
Family	4
Age	12
Income; financial	135
All; most; many	3

TABLE 91 Whom Did the Interviewer Say She Worked For?

	Weighted Percent	
	SRC	Census
Total	100	100
National government	1	52
State or local government	1	6
University	73	1
Private research organization	3	2
Someone else	–	1
Don't remember	16	27
NA	6	12

TABLE 92 Respondent Recollection of Specific Organization Interviewer Said She Worked For

	Weighted Percent	
	SRC	Census
Total	100	100
Don't remember or NA in response to previous question on type of organization	22	38
Census Bureau; Current Population Survey	–	30
Department of Commerce	–	2
University of Michigan; SRC; ISR	47	1
Michigan State University	1	–
All other (wrong) specific answers	2	1
Don't know specifically	3	3
NA	24	26

TABLE 93 What Information Did the Interviewer Give You About Whether the Interview Was Voluntary or Not?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Required under public law	15	1	1	2
Could choose whether to be interviewed, but if so had to answer all questions	55	5	4	5
Completely voluntary	891	76	80	72
Interviewer didn't say	36	3	3	4
Don't remember	89	7	5	8
NA	101	8	6	10

TABLE 94 What Did the Interviewer Say About Who Could Find Out How You Answered?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Secret; none of results made public	413	35	33	38
Results made public without identification	266	23	28	17
Interview would be public record	12	1	1	1
Under public law available only to authorized government agencies	52	4	2	7
Interviewer didn't say	104	9	10	8
Don't remember	234	19	19	20
NA	106	9	8	10

TABLE 95 How Much Did the Following Have to Do with Your Willingness to Be Interviewed?

	Weighted Percent											
	Sponsorship		Interviewers' Appearance and Manner		Who Could Find Out		What Survey Was About		Curiosity About Being Interviewed		Good Citizenship	
	SRC	Census	SRC	Census	SRC	Census	SRC	Census	SRC	Census	SRC	Census
Total	100	100	100	100	100	100	100	100	100	100	100	100
Made me much more willing	20	21	42	41	22	23	21	23	15	17	28	34
Made me somewhat more willing	25	22	30	22	18	20	27	28	23	21	34	33
Made no difference	47	43	22	27	49	44	43	39	54	52	33	24
Made me somewhat less willing	1	2	1	1	2	1	2	1	–	1	–	1
Made me much less willing	–	1	–	–	1	1	1	–	1	–	1	–
Don't know	–	–	–	–	1	–	–	–	–	–	–	–
NA	7	11	6	10	8	11	6	9	6	8	5	8

TABLE 96 How Much Would You Like to Do an Interview Like This Again?

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Very much	231	20	21	19
Somewhat	520	45	46	44
Not very much	359	29	29	29
Don't know	1	—	—	—
NA	76	6	4	8

TABLE 97 Comments on Interview

	Unweighted Number	Weighted Percent		
		Total	SRC	Census
Total	1,187	100	100	100
Mostly positive	150	12	14	10
Mixed	60	5	5	6
Mostly negative	55	5	3	6
None	920	78	78	78
NA	2	—	—	—

3 Response Behavior Survey

METHODOLOGY

NATURE AND PURPOSE OF THE SURVEY

The primary objective of the response behavior survey was to design and test a technique for assessing response behavior to census-type inquiries under alternative degrees of assurance of confidentiality. The general approach was to draw a national sample of households, divide that sample into five randomly drawn subsamples, and administer, through personal interview, the same questionnaire to each household, except that those in each of the five subsamples would receive a different statement about confidentiality. The response behavior of persons in the subsamples would then be compared. Thus the concept was that of a controlled, randomized experiment, with the alternative statements on confidentiality being the treatments. Response behavior is described largely in terms of response and refusal rates. This restrictive assessment, which does not evaluate quality of response and says little about the impact of factors other than the confidentiality treatments on respondent behavior, was dictated by the limited scale of the experiment.

The initial emphasis was on the feasibility of the testing procedure, rather than on definitive substantive findings with respect to the impact of the confidentiality assurance. The design concept was not new—the question was whether it could be carried out faithfully in the field for the matter under study. The sampling followed a nationwide probability design in

order to reduce the risk of bias from a more subjectively selected set of households. Despite the emphasis on operational feasibility and evaluation of methodology, and despite the small sample size—500 households allocated to each treatment—certain substantive findings did emerge. The survey results were plausible and indicative of patterns of response behavior associated with assurance of confidentiality.

SAMPLE DESIGN

Following general specifications of the Panel, the Census Bureau drew the sample. The primary sampling units (PSU's) were either Standard Metropolitan Statistical Areas (SMSA's) or counties or small clusters of counties defined in the same way as the PSU's in the Bureau's Current Population Survey. For the present study these PSU's were classified into 20 strata on the basis of geography, population size and density, and other socioeconomic factors. Three of the strata, the New York, Los Angeles, and Chicago SMSA's, consisted of a single PSU each, and these three PSU's were included in the sample with certainty. Each of the other 17 strata contained approximately 10,000,000 persons. One PSU was selected from each of the 17 with probability proportionate to its 1970 population. The total sample consists of 14 SMSA's and 6 non-SMSA PSU's.

If more resources had been available, it would have been desirable to sample differentially sectors of the population, such as blacks, persons of Hispanic origin, or foreign-speaking areas, in order to detect possibly varying behavior among such sectors. For testing purposes, a procedure was introduced that provided for an oversampling of areas with relatively high proportions of black population. Under this procedure, the 1970 census enumeration districts (ED's) in each sample PSU were stratified into two substrata: I, those with less than 20 percent black households; and II, those with 20 percent or more black households. The second-stage sampling rate in substratum II was double that in substratum I.

Within each PSU and substratum, clusters of approximately 20 households were identified. There were a total of 488 such clusters. Field procedures provided for a random sample of five eligible households within each of the 488 clusters and a random assignment of one of the five treatments to each of the five households.

The selection of sample households and assignment of one of the five treatments to each of the sample households were controlled by a procedure that ensured probability selection and randomized allocation of treatments among sample households.

The Census Bureau central office provided each interviewer with an initial description of a sample supersegment described either in terms of addresses or geographic boundaries. Detailed instructions guided the interviewer in preparing an updated listing of the in-scope housing units in the supersegment, and gave a preassigned random number to each such unit on the updated list. The process was expected to yield approximately 20 in-scope units for each supersegment, but could produce a smaller or larger number in a particular instance as a consequence of recent construction or other effects on unit residency. Further instructions led to an automatic selection of five units from among the in-scope units of the supersegment. These five units formed the final sample segment, which had now been selected with known probability. Another instruction established a unique one-to-one randomized correspondence between each of the five units in the final segment and a specified one of the five treatments. The interviewer had no latitude in determining which treatment was given to which unit.

Within the sample unit, the eligible principal respondent was a person who was 18 years or older and who appeared capable of supplying the necessary information. In some households, for some questions, more than one person contributed to the interview.

QUESTIONNAIRE DESIGN

As was noted above, all sample households were asked the same questions, the only difference in procedure being the treatment-specific statement on confidentiality. In addition to household identifying data, the questionnaire contained material that was intermediate between a decennial census short form and a long form, with questions on number of persons in the household, sex, age, marital status, race (by observation), national origin, education, labor force status, industry, occupation, income, and a block of questions concerning the housing unit. (See Appendix C for survey forms.)

The five treatment statements, one of which was read by the interviewer at the beginning of each interview, appear verbatim in Appendix C. Briefly, the five treatments were as follows:

A. assurance of confidentiality in perpetuity;
B. assurance of confidentiality for 75 years;
C. assurance of confidentiality for 25 years;
D. no mention of confidentiality; and
E. statement that replies may be given to other agencies and to the public.

The reasons for treatments A, D, and E are obvious. Treatment B was chosen because 72 years has been proposed by archivists as a reasonable period of protection, and it extends through the prospective lifetime of nearly all respondents. Treatment C reflects an intermediate course, and could be interpreted as protection during the period in which release might be most dangerous to the respondent. The Panel judged that the sequence A, B, C, D, E represents monotonically decreasing degrees of confidentiality assurance.

COLLECTION AND TABULATION

The final sample consisted of 2,440 cases, 488 in each of the five treatments. For each treatment, 92 of the 488 came from the high-black substratum II and 396 from substratum I. Within each substratum the combined probability of selection from all stages of sampling was a constant. Since individual cases in substratum I were selected with one-half the probability of those in substratum II, data for the weighted sums [$92 + 2(396) = 884$ weighted sample cases] are estimates that differ only by a constant multiplier from estimates for the total population. The analysis in this chapter is either in terms of unweighted numbers—which refer to observations on the 488 cases per treatment—or in terms of weighted numbers—which refer to 884 weighted cases per treatment. Grand totals for all treatments are 2,440 unweighted and 4,420 weighted cases.

The survey was administered by 106 Census Bureau interviewers. With trivial exceptions, each interviewer was assigned the task of interviewing whole clusters of five neighboring households, using all five treatments, one to each of the five households. This scheme was intended to reduce the effects of household location and interviewer variability across treatments.

The overall nonresponse rate prior to reading the confidentiality treatment statement was 6.4 percent using weighted data and 6.8 percent using unweighted data.

At the close of the interview, a letter was handed to and left with the respondent. These letters varied slightly, depending on the treatment for that household, but in every case assured the respondent that—regardless of what the interviewer had said—the replies would be kept confidential by the Census Bureau.

Completed questionnaires were edited and transcribed to magnetic tape centrally by Census Bureau staff. Basic tabulations of data were agreed upon by the Panel and Census Bureau staff and prepared by the latter. The Panel and its staff carried out the analysis.

FINDINGS

QUALIFICATIONS AND LIMITATIONS

It is appropriate to note several qualifications about and limitations of the data. First, the experiment was on a small scale, so any apparent findings are subject to large relative sampling errors. This should be kept in mind throughout the discussion in this chapter. The point is especially notable because the focus of the study was nonresponse, and overall nonresponse was low so that differential nonresponse among treatments (as well as other aspects of the study) is not easily evaluated. This is particularly true when one tries to compare, across treatments, behavior for members of cells that are defined by two or more dimensions of classification. For example, there are only 92 cases per treatment in the high-black substratum and only two or fewer refusals per treatment after hearing the treatment statement. And even for the total of 488 cases in a treatment, cross-classification into as few as a dozen cells leaves the data thin for analysis of differential response behavior.

An objective of the study, beyond an assessment of methodology, was to discover if assurance of confidentiality has an impact on response rate. If, for example, treatment E resulted in a higher nonresponse rate than treatment A, the difference *may* be ascribed to the treatments; but it is conceivable, especially in small samples, that the difference is the consequence of other, uncontrolled factors. In particular, we are concerned about how well respondents understood the conditions set forth in the treatment statement and how clearly they kept those conditions in mind during the interview. (This point is discussed further below.)

Although opinion is divided, there is some thought that the Census Bureau and "the census" carry an image in the public mind—enhanced by publicity with respect to decennial censuses and by the use of Census Bureau interviewers in this survey—that might have led respondents in this survey to presume confidentiality of the data collected. This presumption may, for some respondents, have overridden what the interviewer said in the treatment statement. (This point is also treated further later in this chapter.)

It would be desirable to evaluate differential behavior by treatment with respect not only to whether the sample person responded, but also with respect to the quality or accuracy of response. Considerable thought was given to this matter during the planning stages of the project. Some data on this issue are found at several places in the report (especially in Appendix A), but quality of response is largely unevaluated. More powerful tech-

niques for evaluation, requiring additional fieldwork or expensive matching of records, were passed over because their cost would have considerably exceeded available budget. It is particularly regrettable that the project did not yield a convincing evaluation of quality of income reporting under the different treatments, since income is considered a sensitive topic, and it could be hypothesized that the accuracy of reported income would vary with assurance of confidentiality. (This point is also discussed later in the chapter.)

As noted earlier, some of the data presented in this chapter come from weighted and some from unweighted tabulations. Most percentage distributions for which both were available were essentially similar. Since time and resources were limited, it was felt unnecessary to prepare and analyze all runs of the data in both weighted and unweighted form.

NONINTERVIEW, REFUSAL, AND COMPLETION RATES BY TREATMENT

Summary weighted data for each treatment are displayed in Table 1. Several different indices of success or failure in securing response can be constructed. These are defined and discussed separately.

Key Refusal Rate

Perhaps the central finding from the experiment is the "key refusal rate" for each treatment: the key refusal rate is the number of refusals to participate in the survey after hearing the initial treatment statement, expressed as a percentage of the number of persons who had been contacted and to whom the interviewer had read the statement.

The key refusal rate, one possible direct measure of the impact of the confidentiality treatment statement on nonresponse, ranged from 1.80 percent for treatment A to 2.81 percent for treatment E. Since the samples were small, the estimated standard errors of these key refusal rates are relatively large, averaging 0.8 of a percentage point. The standard error of the difference between key refusal rates for any two treatments is approximately 1.1 percentage points. Thus the observed key refusal rate difference for any two treatments cannot in itself be described as statistically significant at usual significance levels. Even for the extreme treatments A and E, one-standard-error confidence intervals for estimated key refusal rates would overlap. Additional analyses of the results, however, show additional findings.

One striking observation is that the key refusal rate increases monotonically with decreasing degree of assurance of confidentiality. Formal tests of the statistical significance of this pattern depend upon the assumptions made. A number of models were considered; probably the most nearly

appropriate is a simple nonparametric test. With this model, one tests the degree of concordance of the observed rank order and the hypothesized order, symbolized by the chosen sequence A, B, C, D, E. Measured by either the Spearman rank correlation coefficient or by Kendall's tau the concordance is statistically significant at the 0.01 level of significance.

Many parametric tests of significance might be made, but they all depend upon subjective weighting assumptions concerning the observations and thus have differing power under different alternatives. For example, one procedure is to test whether there is a linear trend in refusal rates with decreasing assurance of confidentiality. For this purpose, scale values must be assigned to the treatments. One might choose, as reasonable values, 3 for treatment A, 2 for B, 1 for C, 0 for D, and -1 for E. The procedure simply involves testing the null hypothesis that the regression coefficient, b, of p_i on X_i is equal to zero, where p_i and X_i are the proportion refused and the assigned scale value, respectively, for the ith treatment group. The regression coefficient and its standard error can be calculated in accordance with the Snedecor-Cochran* procedure, except that weighted values are used to account for the double probability of selection of sample cases in substratum II. By this procedure, the computed regression coefficient and its standard error were -0.00279 and 0.00165, respectively. The corresponding z-statistic is 1.69. Consequently, the hypothesis that the observed data could have arisen from an underlying flat linear relationship between key refusal rates and scaled degree of confidentiality assurance is accepted at the 0.05 level of significance and rejected at the 0.10 level. Different choices of scale values might yield somewhat different measures.

We conclude that there is evidence from the experiment that the key refusal rate increases with decreasing assurance of confidentiality. With the sample sizes of the study, however, the magnitude of this tendency cannot be closely estimated.

In Table 1 and in the above analysis, the data are weighted to adjust for the differential sampling in high-black enumeration districts. In Table 2 the key refusal rates are shown for both weighted and unweighted data; the patterns by treatment were quite similar.

Since the unweighted rates are almost uniformly slightly lower than the weighted rates, it appears that the key refusal rate was somewhat higher in segments with lower percentages of black population—contrary to what might have been predicted. Caution is in order on this point, however, since the high-black sample was very small (92 households per treatment). Furthermore, the overall completion rate for

*Snedecor, G. W., and W. G. Cochran, *Statistical Methods*, 6th Edition, Ames, Iowa: Iowa University Press, 1967, pp. 246–247.

TABLE 1 Response Behavior by Confidentiality Treatment: Summary Weighted Data[a]

	All Cases	Confidentiality Treatment[b]				
		A	B	C	D	E
Total sample	4,420	884	884	884	884	884
Refusal before treatment[c]	123	29	26	21	28	19
Other nonresponse before treatment[d]	159	20	22	40	31	46
Key base[e]	4,138	835	836	823	825	819
Refusal after treatment[f]	95	15	16	19	22	23
Key refusal rate,[g] percent	2.30	1.80	1.91	2.31	2.67	2.81
Net response[h]	4,043	820	820	804	803	796
Overall completion rate,[i] percent	91.5	92.8	92.8	91.0	90.8	90.0

[a] Weighted cases (number of households in oversampled segments plus two times number of households in other segments).

[b] Treatments: A, confidentiality forever; B, confidentiality for 75 years; C, confidentiality for 25 years; D, no mention of confidentiality; and E, will not be kept confidential.

[c] Persons in the sample who refused to be interviewed prior to hearing the treatment statement.

[d] Sample household not contacted or not occupied by any person who would be enumerated in a decennial census.

[e] Total sample line 1 minus lines 2 and 3.

[f] Persons in the sample who refused to be interviewed after hearing the treatment statement.

[g] Line 5 divided by line 4.

[h] Line 1 minus lines 2, 3, and 5.

[i] Line 7 divided by line 1.

TABLE 2 Comparison of Weighted and Unweighted Key Refusal Rates by Treatment

Treatment	Key Refusal Rate, Percent	
	Weighted	Unweighted
All treatments	2.30	2.16
A	1.80	1.53
B	1.91	1.97
C	2.31	2.21
D	2.67	2.42
E	2.81	2.68

the high-black substratum was 87.6 percent, compared with 91.9 percent for the other substratum.

The cluster design, in which one of each of the five treatments was given by the same interviewer to a randomly selected one of the neighboring households in the five-household cluster, was chosen in an effort to reduce the possible effect of household location and interviewer variability on the refusal rate by treatment. As noted in Appendix B, the intracluster correlation of refusals by treatment proved to be trivial. Of the 488 clusters, 46 produced one or more refusals after the treatment statement was read: 43 clusters had only one refusal and 3 clusters had two refusals each.

Another method of analyzing the results focuses on the evidence from individual clusters. Under a null hypothesis, refusal in a given cluster should have been equally likely for either one or both of the two high-assurance treatments, A and B, or one or both of the two no-assurance treatments, D and E. There were 38 clusters in which one of these two groups did yield a refusal. (There were no clusters in which both groups produced a refusal.) In 16 of these clusters, the refusal was for treatment A or B, and in 22 the refusal was for D or E (one of these clusters had refusals for both D and E). The probability, under the null hypothesis, that the high-assurance count would be 16 or less and the no-assurance count 22 or more in 38 trials is 0.209. Here again there is evidence of higher refusal with the lack of an assurance of confidentiality, although the difference is statistically significant at only a 21-percent level. The test has less power than the tests described earlier because it does not use all of the data. In particular, it does not introduce the five-point monotonic feature of the Spearman and Kendall tests. The tests do, however, tend to reinforce one another.

Other Noninterview and Completion Rates

Discussion up to this point has focused on the key refusal rate as an indicator of the effect of confidentiality assurance on nonresponse. The key refusal rate for all treatments combined, based on the weighted data, was only 2.30 percent. In three of the five treatments, the sample person had been promised some degree of confidentiality. Perhaps some who had been given assurance did not believe the promise. It is also possible that some of the others who refused before hearing the statement did so because of their concern that any query was an invasion of privacy and potentially harmful to respondents. In addition, interviewers failed to contact a respondent in 3.6 percent of the sample households. In Table 3, the same basic data used in Table 1 are rearranged to show a different view of overall response.

Column (1) of Table 3 is a weighted count of all sample persons who were not contacted or who refused to participate prior to hearing the confidentiality statement. The associated noninterview rates in column (2) show a tendency to increase with decreasing assurance of confidentiality. Since these sample persons had no specific knowledge of what the interviewer would say about confidentiality, one can only speculate on possible causes of this tendency. As noted, some of these persons may have refused to be interviewed because they considered any survey to be an invasion of their privacy, but other reasons are likely to have contributed to hesitancy to respond. It is possible, although contrary to instructions and training, that some interviewers tried less vigorously to contact a household or complete an interview in a household that they knew would not be given a strong assurance of confidentiality than to contact a household that was to be given such assurance.

The overall completion rate in the experiment was high; noninterview from all causes was 10 percent or less for each treatment group. While the data show a decreasing overall completion rate with decreasing assurance of confidentiality, the differential between strongest assurance and denial of confidentiality is only 2.8 percentage points. This is a small differential in relative terms, although if applied to the total population of the United States, it would involve more than six million people. Even when one focuses on difference in key refusal rates between the strongest assurance and a denial of confidentiality, the survey evidence (subject to sampling error and other qualifications noted) implies differential response behavior with respect to confidentiality issues of possibly two million people in the total population. In analysis of data from the field trials the percentages of nonresponse are the relevant statistics. But the Census Bureau must certify absolute numbers of persons for legislative apportionment, revenue sharing, and other purposes. If there is differential nonresponse among areas, those

TABLE 3 Noninterview Rates Prior to Administration of Treatment Statement, and Overall Noninterview and Completion Rates, by Treatment

Treatment	Noninterview Prior to Treatment		Overall Noninterview		Total Sample	Overall Completion	
	Number[a] (1)	Percent (2)	Number[b] (3)	Percent (4)	(5)	Number[c] (6)	Percent (7)
Total	282	6.4	377	8.5	4,420	4,043	91.5
A	49	5.5	64	7.2	884	820	92.8
B	48	5.4	64	7.2	884	820	92.8
C	61	6.9	80	9.0	884	804	91.0
D	59	6.7	81	9.2	884	803	90.8
E	65	7.4	88	10.0	884	796	90.0

[a] Sum of lines 2 and 3 of Table 1.

[b] Sum of lines 2, 3, and 5 of Table 1.

[c] Line 7 of Table 1.

differentials can have an important impact on particular areas. The note of the numbers six million and two million is not meant to imply any definite quantification of the effect of misgivings about confidentiality upon the census count, but simply to indicate that, in the context of the census and its official uses, what may seem like relatively small percentage differences may have substantial impact.

A test similar to the one discussed above (comparing refusals in A and B households with those in D and E households) used the PSU rather than the individual cluster as the unit of analysis and widened the comparison to the total number of nonresponses for households assigned high-assurance treatments A and B in comparison with the total number of nonresponses for no-assurance treatments D and E for each PSU. In any PSU the number of sample households was the same for each of the two groups. There was a difference in numbers of nonresponse in 15 of the 20 PSU's: in 10 of the 15, the number of nonresponses for treatments A and B was smaller than the number for D and E; in 5 of the 15, the reverse was true. A differential as large as or larger than 10 to 5 in 15 trials has a probability under the null hypothesis of 0.151.

Whether one looks at the key refusal rate or the overall completion rate, the experimental survey results provide evidence of some relationship between response rates and degree of assurance of confidentiality. The size of this survey sample did not permit close measurement of the magnitude of that relationship or of its variation among different sectors of the population. It is for this reason that the Panel recommends that a similar survey on a larger scale be undertaken.

RESPONDENT RECALL AND UNDERSTANDING OF TREATMENTS

Refusal Rates Conditional on Understanding

So far, the discussion has suggested that the key refusal rate and possibly the overall completion rate are indicators of the impact of confidentiality assurance on nonresponse. A more penetrating indicator might be the probability of response conditional on the sample person's understanding of the treatment statement: that is, the rate of response, given that the person listened to the reading of the confidentiality treatment statement and understood fully its meaning. Unfortunately, we do not know these conditional probabilities.

The survey does provide, in a series of five questions asked at the close of the interview, respondents' recall of what was said at the beginning of the interview concerning confidentiality. The five questions were as follows: (a) Do you happen to remember the statement I read at the beginning of

this interview? (b) Did you happen to note whether confidentiality was promised by the Census Bureau? (c) Was it promised? (d) Was there a time limit? (e) What was the limit?

Analysis of the Recall Questions

Table 4, arranged in five parts, presents the responses to the recall questions. The table shows the weighted distribution of all persons in the sample for each treatment for each of the questions. For example, in part a, 80 percent of those who received treatment B said they did remember the statement read at the beginning and 11 percent said they did not; for 2 percent, the response was ambiguous, and 7 percent were not asked the question because the person was a prior nonrespondent. In subsequent parts of the table, declining percentages of the total sample were asked the indicated questions, since queries were directed only to those who had answered "yes" to the immediately preceding question. Thus for treatment B in part e, 67 percent of the sample were asked "What was the time limit?," and 62 percent of the total sample, or 93 percent of those asked, replied "75 years."

While recall was considerably less than perfect, it was quite good for most respondents receiving treatments A, B, or C. For treatments A, B, and C —in which some degree of confidentiality was promised—about 94 percent of those who were asked recalled correctly whether confidentiality was mentioned (part b). For the same treatments, almost all who were asked remembered correctly that confidentiality was promised (part c). For treatment A—confidentiality forever—93 percent of those asked replied correctly that no time limit was given (part d). Similarly, for treatments B and C, nearly 90 percent of those asked recalled that a time limit had been stated (part d). For treatments B and C—in which limits of 75 and 25 years were specified in the treatment statement—93 percent of those who remembered that a time limit had been mentioned recalled without any prompting the exact length of the interval (part e).

Contrastingly, for treatments D and E—in which confidentiality was not promised—either inattention, misunderstanding, or the prior mind-set of respondents resulted in a much lower level of accurate recall of the confidentiality conditions. Of those asked, 32 percent of treatment E respondents said they did not know whether confidentiality had been promised; in fact it had been expressly stated that the data might be made public (part b). In addition, of those in treatment E who said they had remembered remarks about confidentiality, 44 percent said incorrectly it had been promised (part c). For treatment D—in which confidentiality had not been mentioned by the interviewer—26 percent of the entire sample and 63 percent of those

TABLE 4 Responses to Recall Questions (Answers to Question 38 at End of Interview)

Part a. "Do you happen to remember the statement I read at the beginning of this interview?" (weighted n = 884 for each treatment)

Treatment	Not Asked	Yes	No	Don't Know or Other
A	7	82	10	1
B	7	80	11	2
C	9	79	11	1
D	9	75	15	1
E	11	74	15	—

Part b. "Did you happen to note whether confidentiality was promised by the Census Bureau?" (asked of "yes" to above)

Treatment	Not Asked	Yes	No	Don't Know or Other
A	18	77	5	—
B	19	76	4	1
C	20	76	3	1
D	24	40	35	1
E	26	50	24	—

Part c. "Was it promised?" (asked of "yes" to above)

Treatment	Not Asked	Yes	No	Don't Know or Other
A	23	76	1	—
B	22	75	1	2
C	23	75	1	1
D	59	26	14	1
E	50	22	27	1

Part d. "Was there a time limit given?" (asked of "yes" to above)

Treatment	Not Asked	Yes	No	Don't Know or Other
A	24	3	71	2
B	23	69	6	2
C	24	67	7	2
D	73	2	23	2
E	77	2	20	1

TABLE 4 (*Continued*)

Part e. "What was the limit?" (asked of "yes" to above)

Treatment	Not Asked	Less Than 25	25 Years	75 Years	Don't Know and Other
A	98	–	–	–	2
B	33	1	–	62	4
C	34	3	62	–	1
D	98	1	–	–	1
E	99	–	–	–	1

Values are percents of totals for each treatment.

who were asked the direct question said that confidentiality had been promised (part c).

It thus appears that in those treatments in which confidentiality was promised, a substantial majority of respondents had a fairly good understanding of the conditions of the survey. But many of the respondents receiving the other two treatments, in which confidentiality was not promised, indicated a belief or assumption that replies were confidential.

Several precautions should be mentioned when one tries to equate accurate recall, as discussed in this analysis, with understanding. First, it must be remembered that the data are for respondents and do not tell anything directly about those who were not contacted or who refused to participate. Second, despite care that was taken in wording the treatment statements, any respondent may have lacked a full understanding of just what "confidential" means. A respondent may not distinguish adequately between protection of individually identifiable data and release of aggregated statistical information. Also, there is some lack of comparability among treatments with respect to determination of accurate recall. A treatment A respondent had to answer four questions correctly in order to be counted as fully accurate; respondents in treatments B and C had to answer five questions; and respondents in treatments D and E needed to answer only three questions correctly to be so counted.

One other factor is more speculative. It is possible that some respondents, and especially those given treatments D or E, misunderstood the question in part b of the recall question: in answering "no," they might have meant they did not notice whether confidentiality was promised, or they might have meant to declare that it was not promised.

Despite these qualifications, it seems clear that the great majority of respondents in the groups that were given assurance of confidentiality re-

called accurately the conditions of the treatment, while substantial proportions of respondents in the groups that had not been promised confidentiality "recalled" or assumed that their replies would be confidential. Thus it is suspected that if the key refusal rates could have been calculated conditional on full understanding of the treatment conditions, the differentials among rates for the groups would have been greater than was found.

TREATMENT SAMPLES BY DEMOGRAPHIC CHARACTERISTICS

In any experiment there always is the possibility that apparent findings may have been influenced by factors that were not controlled. This risk cannot be entirely avoided, but it can be lessened if the persons in each of two or more groups being compared have similar distributions with respect to demographic characteristics. Table 5 shows the weighted percents of persons for each of the five treatment samples by five demographic characteristics.

On these characteristics, the five treatment samples are well balanced. The data offer little evidence that any of the five treatment samples is markedly peculiar or that differences with respect to these factors could explain the observed nonresponse patterns.

VARIATION IN NONINTERVIEW RATE BY INTERVIEWER

Data in the experiment were collected by 106 interviewers. With some exceptions, assignments were made and completed so that the total assignment of each interviewer had equal numbers of each treatment group distributed evenly among a set of geographic clusters. Thus any interviewer impact on intergroup comparisons was decidedly constrained.

TABLE 5 Demographic Characteristics of the Five Treatment Samples

	Percent of Sample Persons Reporting Indicated Characteristic				
Treatment	Female	White	12 Years of Schooling	Worked Last Week	Self-Employed Professional, Technical or Managerial
A	58	82	32	42	21
B	58	81	32	47	20
C	53	79	31	48	26
D	53	78	33	46	24
E	53	80	32	38	25

TABLE 6 Distribution, by Total Refusal Rate, of Interviewers with 30 or More Households

Refusal Rate, percent	Number of Interviewers
All interviewers	45
0.0 exactly	17
0.1-1.9	—
2.0-3.9	11
4.0-5.9	4
6.0-7.9	7
8.0-15.9	5
23.3	1

A total of 45 interviewers completed assignments of 30 or more households (6 or more clusters). Others, in areas where households were thinly dispersed and travel time was greater, had smaller assignments. In addition, some smaller completion totals resulted from a few interviewers' inability to complete their assignments; the remaining households were assigned to other interviewers. The total noninterview rate, as well as the refusal rate portion of it, was higher for interviewers with smaller workloads than for those with larger workloads: a 7-percent total noninterview rate for workloads of 30 or more households compared with a 12-percent rate for workloads of fewer than 30. Within both groups there were similar patterns of increasing nonresponse with decreasing assurance of confidentiality.

The higher noninterview rate for interviewers with smaller numbers of households might reflect, at least in part, either greater difficulties in areas typified by smaller assignments or greater difficulties of interviewers whose initial assignments comprised 30 or more households but who completed only a portion of the assignment.

Even among the interviewers who completed large workloads, there was considerable variation in overall noninterview and refusal rates. Table 6 shows the refusal rate (including both prestatement and poststatement refusals) for interviewers who completed assignments of 30 or more households.

The average refusal rate for the 45 interviewers with substantial workloads was 4.1 percent, although nearly two-fifths had no refusals, either before or after reading the confidentiality statement.

If the interviewers were equally adept and if their assignments had been made randomly over the entire country and for an average refusal rate of about 4 percent and an average assignment of about 38 households, about 9 rather than 17 of the 45 interviewers might have been expected to have

no refusals. The actual result suggests that some interviewers were more skillful than others in securing response. It could also suggest that refusals were caused in part by a geographic variation of refusal-prone sample persons, although there was no discernible concentration of refusals within the individual clusters of five neighboring households each. The interviewer with the 23-percent refusal rate had been assigned 6 clusters in New York City. She had refusals in 4 of the 6 clusters, scattered among 4 of the 5 confidentiality treatments.

ITEM NONRESPONSE BY TREATMENT

When the survey failed to secure any report for a designated sample household, either because of refusal before or after the treatment statement or for any other reason, the case is classified as "unit nonresponse," and sometimes as simply "nonresponse." As in most surveys, in addition to unit nonresponse, there may be "item nonresponse"—missing data for a particular item on the questionnaire of a person who did respond for most items. Item nonresponse may arise out of refusal, respondent inability to provide an adequate reply, or inappropriate action by the interviewer. For most items in this survey, our interest is in refusal. (The other instances of missing data were so rare that they may be disregarded.)

Response to Personal Items

One hypothesis is that there might be little differential item refusal across treatments for nonsensitive demographic items, but somewhat greater differential for a possibly more sensitive item such as income. Comparative data for a presumptively less sensitive item, education, and for total income are presented in Table 7, for each treatment group.

Data in Table 7 relate to the principal respondent in each household, a person 18 years or over. Education was requested in terms of highest grade or year of school ever attended. Income was recorded by the interviewer as the sum of figures reported by the respondent in response to immediately preceding questions on amounts received from any of 15 possible sources of income and then confirmed by the respondent.

The data give support to the hypothesis. Item refusal on education is trivial, and there is no evidence of differential impact by treatment. Contrastingly, item refusal on income, while not great, is distinctly more than trivial and appears to increase with decreasing assurance of confidentiality. It may be that concern over reporting income begins to increase if the period of protection is as short as 25 years (treatment C).

Tabulation and review of item refusal rates for 60 cells of all 12 personal items of information* (other than income) for each of the five treatment groups showed only two instances in which the item refusal rate was as large as one percent of the total sample. The median item refusal rates for the 12 items are shown by treatment in Table 8.

The data tend to support the view that confidentiality assurances had little if any impact on most of these items. There is perhaps a trace of confidentiality concern reflected in the two largest item refusal rates among the 60 cells, both of which were found for treatment E. One is a rate of 1.0 percent for origin or descent, for which the combined rate for treatments A, B, and C was 0.3 percent. The other instance is a rate of 1.6 percent for the item "For whom did you work?" In this latter case, using as the base those who worked last week rather than the total sample—which is of course more appropriate for this item—the item refusal rate is 4.5 percent. The corresponding rate for treatments A, B, and C combined is 1.4 percent.

Response to Household Items

The refusal rates for information on household items were also analyzed. Interviewers were instructed to try to secure a telephone number if the household had a telephone (this was largely for the purpose of call-back should later editing indicate a need). It might be hypothesized that respondents would be more hesitant to release their telephone number when confidentiality was not promised, but the data, shown in Table 9, fail to support that hypothesis.

Table 10 shows item refusal rates for other principal household items. For the majority of household items, the refusal rate is low. There is little evidence that refusal increased with decreasing assurance of confidentiality for these items.

Item Refusals and "Don't Know" Responses

The analysis in this section is an attempt to discover elements of consistency for each sample person with respect to response behavior. The analysis is based on a three-step procedure:

1. Each sample person is given a score equal to the number of questions that he or she refused to answer.

*The 12 items are relationship to head of household, sex, age, marital status, whether married more than once, education, origin or descent, whether handicapped, whether worked last week, whether looking for work, time absent from work last week, and name of employer if employed.

TABLE 7 Item Refusals on Education and Income

Treatment	Total Weighted Sample	Noninterview[a]	Interview[b]	Item Refusal			
				Number		Percent[c]	
				Education	Income	Education	Income
A	884	62	822	4	55	0.5	6.7
B	884	67	817	0	58	—	7.1
C	884	79	805	2	69	0.2	8.6
D	884	77	807	5	68	0.6	8.4
E	884	88	796	5	73	0.6	9.2

[a] Including unit refusals.

[b] Including NA, "don't know," and blank.

[c] On base of number interviewed.

TABLE 8 Median Refusal Rates for Personal Items (Except Income) by Treatment

Treatment	Median Refusal Rate, percent of total sample
A	0.5
B	0.2
C	0.1
D	0.5
E	0.5

TABLE 9 Failure Rate in Securing Telephone Number, by Treatment

Treatment	Number Secured	Number Not Secured[a]	Failure Rate, percent
A	713	41	5.4
B	683	37	5.1
C	700	31	4.2
D	709	34	4.6
E	690	30	4.2

[a] For households believed to possess a telephone.

TABLE 10 Item Refusal Rates for Principal Household Items, by Treatment

Item	Question Number	Item Refusal Rate for Treatment, percent[a]				
		A	B	C	D	E
Plumbing	31	[b]	0.4	[b]	0.6	0.5
Owned, rental, other	32	[b]	0.9	[b]	0.6	0.3
Any commercial use	33	[b]	1.4	0.2	1.4	0.4
Property value for owners	34	2.5	2.4	4.1	2.5	1.2
Rental amount for renters	36	1.4	3.6	3.1	5.6	4.1

[a] Calculated as the percentage of refusals among persons asked the question.

[b] Less than 0.05 percent.

TABLE 11 Item Refusals for Five Categories of Response to Initial Recall Question

Category of Response to Recall Question	Mean Score of Item Refusals Over Entire Questionnaire	Number of Persons in Category	Approximate Standard Error of Mean Score
All sample cases	0.807	4,420	0.08
Not asked recall question	0.709	380	0.44
Remembered statement	0.696	3,447	0.07
Did not remember	0.921	551	0.19
Don't know	2.281	31	1.17
Refused to answer	28.107	11	9.86

2. All sample persons are classified into one of five categories determined by answers to the question at the close of the interview, "Do you remember that I read a statement at the beginning of the interview?"
3. The mean score is calculated for each of the five categories.

The data resulting from this analysis appear in Table 11. Not surprisingly, the data suggest that persons who responded unsatisfactorily to the initial recall question had the larger numbers of refusals to earlier questions and could generally be characterized as people who were less willing to cooperate, less committed to the interview.

Similar evidence is presented in Table 12, which is constructed in the same manner as Table 11 except that in step 1 the score is the total number of "don't knows" rather than total number of item refusals, and the categories of step 2 relate to the second recall question, "Did . . . you note whether confidentiality was promised . . . ?" As might be expected, it is people in the "don't know" category that have the highest score of previous "don't knows" and that tend to be less able or less willing to supply precise answers.

AMOUNT OF INCOME REPORTED

The item refusal rate varied little among treatments except for the sensitive item of income, which did show a tendency to increase with decreasing assurance of confidentiality. This finding would be enriched if a competent evaluation of the quality of the reported income figure were made for those who did respond for each treatment, particularly to know whether accuracy

TABLE 12 "Don't Knows" for Five Categories of Response to Second Recall Question

Category of Response to Recall Question	Mean Score of "Don't Knows" Over Entire Questionnaire	Number of Persons in Category	Approximate Standard Error of Mean Score
All sample cases	0.0755	4,420	0.04
Not asked recall question	0.634	1,558	0.05
Answered "yes"	0.677	2,425	0.04
Answered "no"	0.775	390	0.12
Don't know	11.035	36	1.76
Refused to answer	0.478	11	0.36

of income reporting was affected by differences in assurance of confidentiality. The data do not definitively answer this question.

Collection, editing, and analysis of income data are always difficult, and no special effort was made in this survey to focus on the income item. Without additional resources, there was almost no way to check the validity of response for an individual person or household.

For the principal respondent (an adult 18 years or over), the income figure was secured by asking a series of 15 leading probes, each identifying possible sources of income, e.g., "How much did you earn in 1975 in wages, salary, commissions, or tips from all jobs?" The interviewer added the reported numbers and posted the total after asking the respondent for confirmation. The principal respondent was usually a proxy respondent for each other member of the household 14 years or older, with respect to whom a corresponding procedure was followed. The household income is the sum of income reported for all persons in the household. The data were deliberately not edited, except for central office correction of a few minor errors in addition. The resulting data are shown in Table 13. This table and Table 14 are based on unweighted reports of households responding to the income question. Because mean income can be peculiarly affected by a few very large incomes, the mean incomes by treatment were also calculated excluding all persons who reported incomes of $50,000 or more. These latter values, displayed in the last column of Table 13, do not change the picture.

Any conclusion concerning the possible impact of confidentiality assurance on accuracy of reported income that might be drawn from these data would be highly speculative. The validity of individual reports is uncertain;

TABLE 13 Mean Income Reported per Household, by Treatment

Treatment	Number of Households Responding to Income Question	Mean Reported Income per Household	Mean Income per Household Excluding all Persons with Income of $50,000 or More
A	387	$13,244	$12,395
B	367	13,897	12,197
C	363	13,084	12,514
D	362	13,536	12,868
E	367	12,311	11,954

reporting for all persons in the household was usually by a single principal respondent, who often was not the chief earner in the household; and editing of reported figures was minimal. Differences in summary data by treatment are affected also by such factors as variation in size of household and proportion of persons in a household who had any income. These considerations and time restraints have resulted in there being no intensive study of the distribution of households by amount of reported income.

With these important qualifications, however, one feature of the data is prominent and possibly related to assurance of confidentiality. This feature is an apparent contrast between reported mean income for treatment E, in which there was the positive statement that data were not confidential, and the higher mean values for other treatments. At the same time, there is no

TABLE 14 Mean and Median Reported Income per Person, by Treatment (Excluding all Persons with Reported Income of $50,000 or More)

Treatment	Mean Income per Person	Median Income per Person
A	$5,580	$3,000
B	5,560	3,000
C	5,570	3,390
D	5,670	3,600
E	5,360	2,510

discernible pattern of variation in mean amount of income reported among the four treatments A, B, C, and D.

Table 14 shows the reported income data based on persons, rather than households, for each of the treatment categories (excluding those with $50,000 or more income). For these distributions, rough approximations indicate that the sampling standard error of the estimated mean income per person for a treatment is about $130. The underlying uncertainty of the reported data is likely a greater hazard than the sampling error, making it risky to draw any conclusions from Table 14. As for Table 13, however, the data invite the speculation that there may have been greater underreporting of income for treatment E, in which information was stated not to be confidential, than for the other treatments.

Another survey, or more intensive study of the data collected in this survey, might well give more attention to the income item. All phases of the process could be reviewed: structure of the inquiry, collection and editing procedure, and deeper analysis of the evidence. An auxiliary investigation might attempt a matching with social security records or tax returns, although that would entail complex procedures and further issues of confidentiality.

RESPONDENT BELIEF IN TREATMENT STATEMENT

Following the interview, the interviewers appended notes to the individual questionnaires, recording certain events and respondent remarks that occurred during the interview. Central office editors coded respondents on the basis of these notes into one of three classes: 0, nothing was said by respondent with respect to the statement on confidentiality; 1, respondent said confidentiality had been promised, but respondent did not believe it; 2, respondent said confidentiality had not been promised, but respondent nevertheless believed data would be kept confidential.

Only 38 of the cases were coded 1 or 2: 13 of these were coded 1, and 25 were coded 2. If a mean score is defined as the average per person sum of "don't know" replies and refusals to all questions, then code 1 persons had a mean score of 1.824, code 2 persons had a mean score of 1.066, and the difference in mean scores is 0.758.

The estimated sampling standard error of this difference is 0.572. The number of cases is very small, and the observed difference in mean scores is not significant, except at a 0.20 level. Yet the direction of difference corresponds with a hypothesis that those who believed confidentiality was really assured despite the interviewer's failure to say so had avoided somewhat fewer questions than did those who believed replies would not be confidential despite the interviewer's assurance of confidentiality.

CONCLUSIONS

The primary objective of the survey was to design and try a method for assessing response behavior to census-type inquiries under alternative assurances of confidentiality. The method was that of a controlled experiment: the treatments were different statements concerning confidentiality, and the outcomes were response behavior of persons given the different treatments.

The design had five alternative and ordered treatments: A, confidentiality assurance in perpetuity; B, assurance for 75 years; C, assurance for 25 years; D, no mention of confidentiality; and E, respondent told replies were not confidential.

Initial emphasis was on the feasibility and practicality of the testing procedure, rather than on quantifying the effects of confidentiality assurance. The experiment proved to be procedurally feasible and practical, so that, despite its relatively small scale, the results were plausible and indicative of patterns of response behavior associated with assurance of confidentiality.

Overall response to the census-type questions across all treatments was high: more than 91 percent. The experiment did not identify promise of confidentiality as the major cause for nonresponse. It did reveal that there are apparently some people for whom concern about lack of confidentiality contributes to nonresponse.

A monotonic increase in refusal rate associated with treatments was found as the degree of assurance of confidentiality decreased, ranging from 1.8 percent for the strongest assurance to 2.8 percent for denial of confidentiality. A similar pattern was observed for total noninterview rates from all causes, ranging from 7.2 percent for the group with the strongest assurance to 10.0 percent for the group with no assurance. These differential rates are small in terms of percentage points, but even small relative differences can be important when they affect the absolute numbers of persons reported by the Census Bureau for a population of more than 200 million.

Response rates apparently related to degree of confidentiality assurance were undoubtedly affected by the extent to which the sample person understood the full meaning of the confidentiality assurance—or lack of it—that was given. The survey was not adapted to measurement of respondent understanding or its impact on response rates, but the matter was explored. Insofar as there are data on this point, it appears that introduction of the element of understanding would likely sharpen the differential response between strong assurance of confidentiality and no assurance.

The confidentiality treatment statement was read by the interviewer to the sample person at the beginning of the interview. At the close of the interview, a series of five questions was asked to discover how accurately the person recalled the treatment statement. Accuracy of recall can be

considered a rough proxy for understanding. As expected, recall was less than perfect, but overall recall was good for most respondents.

For treatments A, B, and C—in which confidentiality was specifically mentioned—94 percent of sample persons who were queried recalled that fact. For treatments B and C—in which a time limit on confidentiality, 75 and 25 years respectively, was specified—93 percent of those who remembered that a limit had been mentioned recalled without any guidance the exact length of the interval. For treatments D and E, however—in which confidentiality had not been promised—a much lower level of recall of the confidentiality conditions was found. Substantial percentages of respondents in both these groups incorrectly "recalled" that confidentiality had been promised.

In addition to complete nonresponse to a survey there may be nonresponse or lack of completion for some specific items in the questionnaire. In the present experiment, item nonresponse for most items was small and did not show any substantial differences among treatments, except for the sensitive item of income. Item nonresponse on income ranged from 6.7 percent for those receiving treatment A, generally increasing with decreasing assurance of confidentiality, up to 9.2 percent for those receiving treatment E. There is some evidence, though not definitive, that there was underreporting of amount of income for those receiving treatment E as compared with the other treatments.

Although the design provided for oversampling of areas with high proportions of black residents in 1970, the small total sample and the low frequency of refusals prevented useful comparative analysis of response patterns for low- and high-black areas.

RECOMMENDATIONS BASED ON THE RESPONSE BEHAVIOR SURVEY*

3. Further behavioral surveys should be undertaken after the 1980 census, with choice of topics being influenced by experience in that census. A controlled experiment such as the response behavior survey, which seeks to compare respondent behavior under two or more conditions of confidentiality, has value not only for exploring the effect of confidentiality on nonresponse, but also for investigating other factors. Alternative procedures for obtaining good information might be evaluated: for example, emphasizing personal benefit to the respondent rather than government need, or comparing a rigidly controlled with a more conversational approach by interviewers. If the actual differences in behavior are small, the samples must be large in order to detect, and certainly to quantify usefully, these differences. The

*Numbering of recommendations is that of Chapter 1.

element of respondent understanding of the meaning of the treatment conditions is fundamental, so there should be intensive study of methods to promote and measure that understanding.

4. Since there is some evidence that many persons have a prior image of what the Census Bureau stands for and will do, regardless of what an interviewer or a form may state, serious consideration should be given to having further behavioral studies administered in whole or in part by an organization other than the Census Bureau.

5. More generally, if another survey on response behavior to census-type inquiries were undertaken, it would be desirable to simulate more nearly the collection methods of the decennial census, namely, substantial use of mail questionnaires, augmented by personal interview and telephone follow-up. Interviewers recruited for such a survey should have little or no prior survey experience, like those typically employed in a census. More resources should be devoted to assessing the training of the interviewers for the survey and of the impact of the interviewers on response.

6. Future behavioral studies on topics similar to the subject of this study should consider the advantages of a nationwide probability design. The country is so diverse that the risk of getting misleading evidence from localized investigations is great.

7. Since nonresponse is a principal object of interest in a response behavior study, allocation of resources should be made to a subsidiary operation for securing some information about nonrespondents even though they cannot be convinced to reply to the main questionnaire. This task requires skill and adherence to high ethical standards, for the privacy of the nonrespondent must not be encroached on.

8. Validation or evaluation of evidence from a survey of the response behavior type is difficult and expensive; in a subsequent survey it would be desirable to devote more energy and resources to assessing the quality of derived information, using techniques both internal and external to the survey itself. (See Appendix A for a discussion of problems in the survey validation experiments.)

COMMENT BY PANEL MEMBER WILLIAM O. AYDELOTTE

The report is a fair statement of our discussions and conclusions, and I subscribe to it. I think, however, that two additional points should be made, and I wish to take advantage of the opportunity kindly offered to me by the chairman of the Panel to present them here.

The Panel found, as a result of the systematic tests in the response

behavior survey described in this chapter, that the relation of nonresponse to promises of confidentiality is limited. The "key refusal rate" varied from 1.80 percent for those with treatment A (confidentiality forever) to 2.81 percent for those with treatment E (will not be kept confidential), a total difference of about 1 percentage point. Such a difference would be regarded as insignificant for many research purposes. An argument could be made that in a census it might matter more, since 1 percent of the population of the entire United States would be over two million people.

What needs to be said in reply, is first, that, for most research purposes and for some, although not all, official uses, the problem of bias is more important than the problem of coverage. No survey is likely to cover every member of the whole population studied; the essential thing is that the information gathered be, so far as possible, free from distortion. Hence the slight changes in the key refusal rate described in our report would be damaging only if it could be shown that a weaker assurance of confidentiality would impart a bias to the findings. In the materials collected by the Panel there was no evidence to show that this would be the case.

Second, the lengthy debate over making census records available to investigators does not involve the extreme alternatives envisaged in our five treatments. There has been little demand for the immediate opening of such records. The discussion has been, rather, over what time span should be set: say 75, or 50, or 25 years. The differences in nonresponse rates in our findings that need to be considered for practical purposes are, then, even smaller. For example, the difference between those with treatment A (confidentiality forever) and those with treatment B (confidentiality for 75 years) was from 1.80 percent to 1.91 percent, only about 0.1 of a percentage point. The overall completion rates for these two treatments were identical. The difference between those with treatment B (confidentiality for 75 years) and those with treatment C (confidentiality for 25 years) was from 1.91 percent to 2.31 percent, only 0.4 of a percentage point.

Our conclusions, as we have insisted throughout the report, are based on a limited investigation, and it is not permissible to extrapolate far from them. Yet, since there is little systematically collected evidence on the relation of nonresponse to promises of confidentiality, these findings, limited though they are, may well be the best information yet available on this subject. Their upshot, as I read them, suggests that concern over the issue of confidentiality may have been exaggerated, and they tell against the claim that a promise of perpetual confidentiality or of long delayed access to identifiable data is essential to obtaining information.

4 Small-Group Discussions

METHODOLOGY

NATURE AND PURPOSE

Many survey takers believe that people's opinions about being interviewed have been changing in recent years, with lower response rates as a consequence. Little is known, however, about such attitudes and concerns at the grassroots level, and it is difficult to design research approaches to the subject. Early in the development of this project, the chairman of the Committee on National Statistics suggested that "studies of small groups of people from the general public . . . might illuminate the problem of confidentiality." He saw the goal of these small-group discussions as the "exploration of the disclosure fears people really have." It was thought that small-group discussions could provide some depth and background about the attitudes and concerns of the public about survey taking. In addition to groups chosen from the general population, the Panel proposed that discussion groups be formed of interviewers employed by the Census Bureau and by the Survey Research Center (SRC) of the University of Michigan. Firsthand interviewing experiences could be elicited and used to complement observations of the other groups.

In the discussion process, sharper views would be gained of people's opinions, beliefs, desires, and concerns; the participants might introduce perceptions of which the group moderators had not previously been aware. Interaction in a group setting would bring out and clarify these ideas and

feelings more clearly than could be done by other means. The sentiments expressed would also be valuable in planning the pilot surveys.

The preliminary operational plans for the small-group discussions suggested that the group meetings be held in several parts of the country, including at least one in an inner-city area, at least one in a surburban area, and at least one in a rural area; that there be coverage of minority racial or ethnic groups; that group size range from 6 to 12 individuals, with 8 or 9 as the optimum number; and that the participants not be group or community spokespersons or leaders, but rather typical male and female household respondents. The discussion moderator would be either a Census Bureau or SRC employee, a member of the Committee on National Statistics or its staff, or a Panel member.

An open question was whether each group should be selected to be as homogeneous as possible, e.g., all homemakers, or as diverse as possible within the geographic area. Since only several group discussions were contemplated at this trial stage, some heterogeneity within each group seemed desirable. The desire to get the views of minority population groups might be accomplished by choice of areas. The subjects for discussion would include privacy and confidentiality, relations with the government, and attitudes and knowledge about censuses and surveys. A discussion outline that could be used by the group moderator was included with the preliminary Panel report (and is included at the end of this chapter). Every effort would be made to assure the group members that the purpose was not to attribute remarks to identified individuals, but rather to get expressions of public opinion in order to serve the public better.

The Panel recognized that the initial results of these discussions could not be considered definitive findings. It would be difficult and hazardous to generalize from them; any one group would be only a very small sample of the national population and one that was not probabilistically selected. In addition, differences in personal interactions might affect the course of a discussion. One or two vociferous participants might dominate the group, or members might be too easily influenced by the suasions of the discussion moderator. Nonetheless, some useful implications might appear.

In addition to groups drawn from the general public, the Panel suggested that discussions be arranged for currently employed interviewers. The focus would be the interviewers' reporting of the discerned attitudes and behavior of respondents relating to privacy and confidentiality and how they affected the interviewers' work. Of particular interest was whether and how conditions of interviews might be changing. The findings from all of the small-group discussions would be suggestive and could be useful in designing the attitude survey questionnaire, in adding depth to the survey findings, and in guiding further investigations.

CONDUCT OF THE DISCUSSIONS

Not all of the preliminary plans for the small-group discussions were carried out in the four meetings, which were held in early 1976. The types of individuals chosen were determined by discussions between the Survey Research Center and the Census Bureau, which decided that the selected individuals should represent, as closely as possible, special features of interest to the two organizations. Using this criterion, four groups were identified: members of a politically interested women's organization; senior citizens; members of a church congregation; and blacks.

The meeting with members from a politically interested women's organization was the first small-group discussion held; it served as a test of format and procedure for the subsequent meetings. Members of this organization were decided upon because it was thought that they would be well informed and politically aware. Contact for these participants was made by the Census Bureau through two of the organization's officials, who arranged for the meeting. The discussion took place in Baltimore and was moderated by a Census Bureau employee.

The three other small-group discussions were held in Michigan, in the Detroit area for the senior citizens and the church group, and in Pontiac for the blacks. These meetings were moderated by SRC employees.

Obtaining survey cooperation from people 65 years or older living in large cities has presented a particular difficulty for SRC. Through the contacts of its Detroit-area supervisor, a senior citizens' club was located. A club official chose members to form the discussion group.

The Panel's preliminary plans had proposed a rural group meeting, but both SRC and the Census Bureau agreed that canvassing rural residents usually presented few difficulties. They decided instead on a suburban church group, to discover the appreciation and understanding of survey research by people holding fairly traditional values. The church group, located through the contacts of the SRC Detroit super visor, consisted of members of a fairly fundamentalist Protestant denomination.

One of the Census Bureau's concerns is underenumeration of the black population, particularly male adults under 65 years of age. With the assistance of an SRC interviewer, a black who had ties with an activist community organization, a group of blacks was assembled. A member of the community organization recruited discussants, with emphasis on young adult participants. Nine persons participated in the small-group discussion, five women and four men: two of the women were in their late teens or twenties, two were in their thirties, and the fifth was in her fifties;

three of the men were in their twenties and the fourth in his early thirties.

At all four of these small-group discussions with representatives from the general public, refreshments were provided, and either the organization with which the discussants were associated or the discussants themselves were remunerated. In addition to these four sessions with public participants, there were two small-group discussions with people active in survey taking, one of SRC headquarters staff members and the other of SRC interviewers; both of these were held in Ann Arbor, Michigan.

For all six sessions, permission was received from the discussants to tape-record the discussions, and the resulting transcripts were used to prepare this chapter. Two additional meetings provided material for this chapter: they were debriefings of Census Bureau interviewers who had done the canvassing for the response behavior survey, held in September 1976. Thus the Panel had information from eight small-group discussions.

FINDINGS

VIEWS ON CONFIDENTIALITY

One of the most striking features of these discussions was the nearly unanimous opinion of the participants that anything they said as respondents in surveys would not be kept confidential. In many instances, discussants indicated that this belief was in their minds when they spoke with survey takers. Indeed, many seemed to believe that Washington knew all about them anyway, Washington being perceived as an omniscient, monolithic entity composed of all government agencies. Thus there seemed to be little point in conjecturing about the confidentiality of their survey responses. Some Detroit residents said:

> It is like he says, they [Washington] know all about us.

> You better know it; they know all about you.

> No matter where you turn around, the government knows what you are doing. If I am not mistaken, the government knows you are here today. They know what you are doing every minute.

No distinction was made between information gathered and stored by the Census Bureau and that gathered by the Central Intelligence Agency, the Internal Revenue Service, or any other government agency. Nor was there any recognition of legal sanctions as inhibitions against the interchange of information. In the words of one Detroit respondent:

They know all about us anyway. I just filed my income tax.

Concerning legal restrictions on disclosure of census data, others stated:

Yes, they are prohibited. But that doesn't mean anything.

There are exceptions and ways of getting around the law.

This is just like the CIA and Watergate.

In regard to the possibility of the Census Bureau's sharing its information, other Detroit participants said:

It was proven on TV that Nixon had tax records.

If I was president, I could find out about you. Because he has done it before.

This view was shared by the Pontiac discussants. The moderator asked:

Do you think that other branches of the government can get information on individuals from the census? For instance, could tax people check on what you told an interviewer on the census about your income? Do you know if that is prohibited by law or not? On the census, if you say that you have three dependents and then you say four on the income tax, can the income tax people check with the census?

Two participants responded:

If they want to. Both . . . are part of the government, and some people who do surveys, they sell the surveys if it's not kept for that particular company. . . . Anybody could come along and they could sell it to them, and it is your own personal information.

They got it and they can give it to someone else.

An exchange between the moderator and a member of the women's civic group in Baltimore summed up the consensus of that group. The moderator asked:

I get the sense that none of you really believe that even on census forms the data is confidential. Is it that you aren't really sure about it or that you really don't believe it is true?

The woman answered:

Somebody that really wants it can get it. That's just like signing your tax form. It's confidential and nobody can look at it. Yet there are a lot of people who saw my income tax form.

Many of the small-group participants did not distinguish between providing personal information for research and providing information for administrative needs, perhaps because the same types of personal data may be requested for both purposes. In the first case, the information would be used for statistical purposes in aggregated form and would not involve disclosure of individually identifiable data. In the second case, the information would be used for administrative purposes, such as taxation, health services, pensions, or schooling, and would involve actions affecting the individual. The distinction between these two uses of personal information did not appear to be clear to discussion participants.

The discussions with the Census Bureau and SRC interviewers and the SRC headquarters staff illustrated somewhat different perceptions of the confidentiality issue. The Census Bureau interviewers cited the assurance of census confidentiality as being important in obtaining the cooperation of respondents. This assurance is, in fact, based on federal law and is stated at the beginning of an interview. But skepticism was apparent in the SRC meetings. Some of the SRC employees expressed doubts about the Census Bureau's confidentiality guarantee:

I really assume that U.S. census information is accessible to anyone who knows how to get it.

Confidentiality is a sieve. Sure, getting census information is against the law, but a lot of other things that we have learned about recently are also against the law.

(Debriefing of census enumerators after the 1970 census indicated that some temporary employees also had doubts about the complete impregnability of census records.)

In conducting its own surveys, the Survey Research Center has rules governing access to its survey information. But the confidentiality of the surveys it conducts is not protected by federal law. SRC's informed-consent statement, which is read to all survey participants, currently states that respondents' replies are confidential "except as required by law." Thus for many of the SRC interviewers the present situation seemed ambiguous, and one commented that "nobody has really pinned down the law." Although they were inclined to believe in the confidentiality of their surveys, several of the SRC interviewers had problems in fully convincing themselves. One said:

Since revelations that information which we thought was confidential has proved not to be [apparently a reference to the language of the informed-consent statement], I am no longer so confident that I can assure respondents that their information is entirely confidential.

One SRC staff person questioned the practice of not destroying survey cover sheets that identify respondents, which are retained to facilitate follow-up surveys. A second raised a series of complicated issues about whether some of their government-sponsored surveys created what might be considered "federal data files." According to this person, the U.S. Office of Management and Budget had "used this excuse in the past and will use it in the future to go back and do further investigations if they want to." The lack of clear legal precedents and the imagined possibility of sponsor access prevented some SRC interviewers from being certain about SRC's confidentiality guarantee.

VIEWS ON PARTICIPATION IN SURVEYS

Given that the discussants in the general public groups showed a considerable amount of skepticism about the confidentiality of their survey responses, why are many people willing to cooperate? Several factors influence survey participation and sometimes combine to outweigh respondents' skeptical feelings. Participants indicated a willingness to cooperate with survey takers under certain circumstances, especially stressing their interest in knowing about the survey—who was doing it and paying for it, why it was important, and what was going to be done with the information. An exchange in one of the Detroit groups focused on this point. The moderator asked:

Is it important for you to know who is doing [the survey], who is paying for it, and what they are going to do with the information?

The answers were:

Yes, that is very important.

Especially knowing what they are going to do with it.

Another participant remarked:

I'll tell them anything they want to know, [but] they've got to have a reason for asking.

To these discussants, the critical aspect was whether or not tangibly beneficial results would accrue from the survey; if desired results might be forthcoming, they would be more willing to participate. Another Detroit respondent summarized this sentiment:

If I could feel the importance [of the survey], then I would sacrifice my time—if I could see that something was being accomplished.

The promise of benefits derived from survey cooperation influenced participation, particularly if those benefits related to real-life interests of the individuals. For example, the senior citizens emphasized cutting taxes and raising Social Security benefits; the church members mentioned the possible beneficial effects of surveys on their children. A Pontiac participant reiterated this view:

If it is going to benefit you, then you are more willing to answer whatever questions, then you would do it and feel good about talking.

Another participant summarized:

I think surveys would interest more people if [they are] going to be beneficial in their community, or for their neighborhood, or say to their people. . . . I have compassion for Oakland County; I'd really stop and listen to them [survey takers from the county]. . . . I would give them a little of my time, but if it's a national survey, I feel like Pontiac, Michigan, will be the last drop in the bucket, so they [people] tend to shy away unless it's going to be beneficial to something dear to you.

Survey takers appeared to be cognizant of this view. As one SRC interviewer noted:

If we could just take one study and say, "as a result of such-and-such a study, street lights were installed" . . . [it would make a big difference in securing the cooperation of respondents].

Discussants in all of the small groups affirmed that tangible survey results were a positive influence on survey participation.

While the hope of tangible results tended to offset many of the negative feelings that respondents had about survey cooperation, some discussants still expressed concern about the validity or worthiness of most surveys. To them, surveys were not seen as useful undertakings. A Pontiac resident said:

The surveys that they are doing . . . are not doing anybody any good.

And a Detroit participant forcefully stated his opinion of survey interviews:

I don't like interviews. I don't think they accomplish too much. What do they accomplish? To me, they take up time. Most interviews are a waste of time and energy.

Besides these doubts about the usefulness of surveys, respondents worried that the survey approach would be used as a cover for a sales pitch or a planned burglary. One Detroit resident claimed that legitimate interviewers were now shunned, affected by the "high pressure trickery and deceit" of

salespeople, and other discussants voiced fear about the purpose of a stranger who showed up unexpectedly at their front door.

Because of abuses of survey approaches, the importance of proper interviewer identification and the best method of initial contact with respondents were subjects of much discussion in each group. Some participants suggested that there be, prior to personal contact for the interview, an introductory phone call or letter to let the person know that an interviewer would be visiting. But even with that advance notice, one Detroit discussant expressed suspicious feelings:

> In our society today, how many people want to open their door in order to have that person [enter], regardless of that badge and picture on your coat. It doesn't mean a thing when you open the door because that can be . . . somebody else's name. . . . You've never seen that person but over the telephone or by mail, so it can be another person with that name.

It was clear, from the discussions, that the interviewer was an essential factor in securing respondents' cooperation. An interviewer needed to present and conduct himself or herself well and to allay respondents' hesitancies and suspicions by dressing nicely, speaking in a pleasant manner, and being knowledgeable and even enthusiastic about the survey. The first impression that the interviewer makes on the participant strongly influences the future course of the interview. This point was recognized by the SRC interviewers. They saw the initial contact at the door as being crucial to the success of the entire interview. Rapport established at the door facilitated candor during the interview.

The interviewers also recognized that their own distaste or enthusiasm for their particular survey could affect their respondents in a subtle, almost subconscious manner. If they disliked the project, they agreed that they were probably not as persuasive at the door as when they had positive feelings about it. If they were excited about the undertaking, they thought that their enthusiasm was contagious. One interviewer stated:

> I loved the child study and I know I projected my enthusiasm to my respondents and they loved it too. And my response rate was great.

Respondents generally preferred personal-interview to telephone or mail surveys. Some of the Detroit discussants expressed their negative feelings about telephone and mail surveys:

> I can't stand the phone.

> No survey over the phone, that's out completely as far as I am concerned. You don't know who you are talking to.

I probably wouldn't fill out those written tests.

Facing the interviewer was a more reassuring experience than talking with a disembodied voice over the telephone or responding to an impersonal letter requesting information. Discussants considered interviewers more honest in person: "You can look them in the eye," stated one Detroit resident. In addition, the interviewer's presence facilitated getting explanations to any confusing survey items and provided an opportunity for the respondent to elaborate on any of his or her responses.

Discussants emphasized that they relied on their own judgment to determine which questions they would or would not answer. An exchange in a Detroit group illustrated this:

You are relying on yourself to protect [your privacy], if you let them know something?

Yes. If I don't want her to know, I am not going to tell her about it.

At issue here was the concept of privacy, those topics that discussants felt were nobody's business but their own. They said that they decided for themselves which questions to answer, and even special assurances of absolute confidentiality would not change their opinion. One of the Pontiac residents expressed this view directly to the moderator:

I don't think I would believe that [confidentiality guarantee] if you said it.

In determining their criteria about what questions they would answer, the discussants indicated that they regarded different subjects of inquiry as having quite different degrees of sensitivity. Income, or more generally, financial affairs, was commonly mentioned as a delicate topic. A Detroit participant stated:

. . . If someone asked me how much money do you make a year, I don't feel that's anybody's business. There are different personal questions that they ask in relation to that nature that I . . . lie [about] because I don't feel that that is any of their business.

Others were more flexible about what they would reveal and noted that their incomes were, to some degree, a matter of public record (e.g., the newspapers published salary scales and fringe benefits for auto workers when contracts were renegotiated). Some participants seemed willing to respond if they did not have to provide precise dollar figures. A Detroit resident said:

I don't mind if they put it in different levels—$18–22 thousand, $22–26 thousand, etc. Give me a bracket but don't ask me to check income tax stubs.

A few discussants were very negative about disclosure of financial assets. In response to a question about subjects considered personal, one Detroit participant voiced this concern:

> How much money you [have] in the bank [and] what you own—I think that it is nobody's business but my own how many stocks I have, how many bonds I have or stuff like that.

This concern was particularly acute among senior citizens, whose financial worth is often used in government decisions about medical benefits or subsidized housing.

There were several other sensitive topics; sexual behavior was one of them. Although discussants said they were willing to volunteer opinions about public issues such as premarital sex or abortion, they indicated that they would be reluctant to answer when the questions came too close to home. For example, the number of children that they planned to have was considered private. Other areas frequently mentioned as personal included marital discord and inquiries about neighbors.

COMPARISON OF VIEWS WITH ATTITUDE SURVEY RESULTS

The small-group discussions were, by their very nature, selective and impressionistic. A comparison with results from the more structured approach of the attitude survey, however, illustrated the extent to which the group discussants verbalized many of the same concerns as the survey respondents. In particular, attitude survey respondents, like the group discussants, expressed strong doubts about the confidentiality of individual data collected in surveys or in the decennial census.

Of the factors that affect willingness to cooperate in an actual survey interview, attitude survey respondents gave most weight to the influences of interviewers' appearance and manner and to a sense of good citizenship. They also indicated a decided preference for face-to-face, rather than telephone or mail, interviews. The importance of the interviewer and the favorable impression of personal interviews had been stressed in the small-group meetings. The good citizenship concern appeared to parallel the discussants' desire for concrete benefits to them, their neighborhood, or locality from survey participation; a sense of good citizenship was briefly mentioned in the women's civic group meeting, but the majority of participants from the other small groups did not view this as a motivating factor.

Questions about income or other financial matters were the most often disliked inquiries, according to the survey respondents. Sex life and family planning questions did not merit the special concern among survey inter-

viewees that they had with the small-group discussants. The concern of the group discussants may simply show that these individuals were more sensitive than other people to these questions or the apparent lack of concern on the part of the survey respondents may indicate that such questions were infrequently asked in the surveys with which these respondents were familiar. In general, it appears that the responses in the more formal attitude survey were in agreement with the attitudes and opinions expressed in the informal group meetings.

CONCLUSIONS

The small-group discussions technique appeared to work well. The small-group discussions both illuminated the public's reactions to and impressions of surveys and presented the interviewers' experiences. Although eight groups—four with members of particular segments of the general population, three with interviewers, and one with staff of a survey research institute—cannot be considered adequate to capture the diversity of the American population, when opinions from the small-group discussants were compared with responses from the attitude survey participants, the two sources complemented each other well. Group meetings are a promising technique for future research.

Discussants displayed considerable cynicism about assurances of confidentiality for survey responses. This cynicism affected their perceptions of the Census Bureau: they neither distinguished the Census Bureau from other federal information gathering and storing agencies nor recognized that the Census Bureau follows legal requirements that prevent sharing of census responses.

Discussants seemed to be generally willing to cooperate in worthwhile survey research despite their skepticism about the confidentiality guarantee. They could even see instances where they would be not only willing to participate but eager to do so, as when concrete benefits would accrue from their participation.

On the other hand, discussants doubted the value of most surveys. Their negative opinions of surveys included skepticism about the surveys' usefulness, anxieties about possible harm from an ostensible survey interviewer, and suspicions that the survey might be a cover for the sale of commercial products.

Discussants said they looked to an interviewer to quell their concerns about participation by presenting himself or herself well and providing cogent information about the survey. They preferred the personal-visit approach rather than mail or telephone survey.

There are certain topics that the discussion participants said they considered private and would not answer questions about, or would not answer honestly. Different subjects were viewed as having different degrees of sensitivity; income was commonly mentioned as a sensitive topic.

RECOMMENDATIONS BASED ON THE SMALL-GROUP DISCUSSIONS*

11. Consideration should be given to planning and conducting more small-group discussions. More such discussions would provide additional information about the concerns and attitudes of interviewees and interviewers. While such discussions are not substitutes for probability surveys, they are useful in planning, supplementing, and interpreting the results of formal surveys. The 1980 census might be a possible focal point for comments and reactions. Meetings should be held in a number of different geographic areas, with various combinations of people, both heterogeneous and homogeneous groups.

12. The Bureau of the Census should search for more active and effective ways to acquaint the public with its programs and their value and to brief respondents on the purpose and importance of each census or survey.

15. Although personal-visit surveys are more expensive than mail or telephone surveys, the higher esteem and responsiveness the public expresses for the personal-visit approach suggest that it be given more weight in selecting survey techniques. The Panel recognizes, however, that cost and other considerations may make personal visits not the best choice for the decennial census.

16. Although income is an important item in population and housing censuses and in many surveys, the antipathy to the question expressed by the public argues for continued efforts to be made to minimize the adverse effect of direct income questions.

17. All interviewers should undergo a thorough training program to equip them with the necessary skills, knowledge, and poise to conduct a smooth and successful interview. Special training in how to make a good impression on would-be respondents is useful for both face-to-face and telephone interviewers.

*Numbering of recommendations is that of Chapter 1.

SUGGESTED TOPICS FOR GROUP DISCUSSIONS

Trust in Government

Different parts of federal government
State government
Local government
Comparison with nongovernmental organizations

Trends in Privacy and Confidentiality

Satisfaction or dissatisfaction with current conditions

Recognition of Census Bureau

Functions
Usefulness
Organizational location
Compulsory or voluntary nature of its censuses and surveys
Legal guarantees of confidentiality
Access to census records
Attitude on Census Bureau trustworthiness; change in attitude compared with past period
Circumstances that might induce noncooperation in Census Bureau inquiries

Surveys and Questionnaires in General

Purposes, uses, value
Trends in level of activity
Personal experience
Subjects that are appropriate or inappropriate to cover in surveys
Benefits and risks in responding to surveys

5 Canvass of Survey Research Experience

CANVASS PROCEDURE

NATURE AND PURPOSE

The Panel undertook a search for and review of already-acquired experience, both to obtain information that might be useful in designing the exploratory surveys to be undertaken and to supplement project findings with external evidence. It was suspected that highly relevant hard data were quite limited and could not be easily acquired. There was no intention to make an exhaustive literature search or to undertake a major comprehensive survey of experience in the United States. But it did seem in order to make an effort to become acquainted with existing materials and evidence related to the project.

Two methods of acquiring information were employed. The principal effort was a request for relevant information from selected survey practitioners. An invitation to contribute to the project's effort to assemble empirical evidence on survey experience and problems, with special emphasis on nonresponse, privacy, and confidentiality, was sent to 37 data-collecting organizations, both government and private agencies, including several of the leading polling organizations. Addressees (a specific person in each agency) were asked to report relevant materials, whether published or unpublished, from within their own organizations and to suggest references to other work. Replies were received from 33 individuals at 28 organizations. These replies were augmented by supple-

mentary communications from about a dozen other sources. The staff of the Advertising Research Foundation in New York was especially helpful in providing access to materials on marketing research surveys in the Foundation library. (A list of contributors appears at the end of this chapter.)

The second effort was a review of books, journals, and other published materials and of a number of activities and studies, all concerned in some degree with issues of nonresponse, privacy, or confidentiality. The latter included the Ad Hoc Committee on Privacy and Confidentiality of the American Statistical Association (1975–1976); the Commission on Federal Paperwork (1975–1977); the Confidentiality of Social Science Research Sources and Data Project at Syracuse University (1974–1977); the project to develop a computerized bibliography on Privacy and Confidentiality Issues in Statistics, managed by Tore Dalenius; the Project on Privacy and Access to Government Microdata at the University of Western Ontario (1974–1977); the Privacy Protection Study Commission (1975–1977); the Advisory Committee on Automated Data Systems of the Department of Health, Education, and Welfare (report issued 1973); the Committee on Federal Agency Evaluation Research of the National Research Council (report published by the National Academy of Sciences in 1975), the Conference on Surveys of Human Populations of the American Statistical Association (report issued 1974); and the President's Commission on Federal Statistics (report issued 1971).

Three general observations about the material in this chapter are in order. The first is to re-emphasize that this part of the project was limited in scope. The starting assumption was that hard quantitative data directly relevant to project objectives were rare, and the search tended to confirm that; however, it was possible to locate an extensive volume of opinions and evidence marginally related to nonresponse. This report analyzes in detail only a fraction of such material, that having the most substance and the most relevance to the project.

The second observation is that a wide spectrum of views and interpretation of evidence was found on some of the issues. This is a field in which there are not many definitively established propositions.

A third point, important to a balanced assessment of the material in this chapter, is the relationship of nonresponse to the broader concept of data quality. Quality of a survey finding depends on many factors, including relevance of the statistics to issues of interest, accuracy of respondent replies, precision of the measuring instrument, classification structures, completion rates, sampling error, and analytic methods. The risk of bias in survey results is increased as the nonresponse rate in-

creases. Most of this chapter focuses on nonresponse and adopts the position that efforts to minimize nonresponse are desirable. But this does not mean that a 10-percent nonresponse rate is always better than a 15-percent nonresponse rate. The ultimate objective is overall high quality of survey results. In some situations it may be better to impute answers for a modest amount of nonresponse on the basis of answers from those who do respond rather than force possibly inaccurate replies from unwilling respondents through insistence that they give some kind of answer.

A fourth point is that some of the nonresponse rates that were provided may be misleading as a result of questionable calculation methods; comparisons should be made with caution.

DEFINITIONAL CONSIDERATIONS

Level of response or nonresponse requires definition. A first question is how closely the designed coverage of a census or sample corresponds to the target universe of interest. A second question is how closely the actual inclusions in the survey or census correspond to the designed coverage. In most discussion of nonresponse, the focus is restricted to the second question, and unfortunately, even in this restricted domain, practices are far from uniform. A proper definition of the nonresponse rate is the number of reporting units for which a measurement is not obtained, expressed as a percentage of the number of units eligible for inclusion in the designed survey. For example, in a household interview survey, the numerator includes refusals, persons not at home when the housing unit was visited, and households that should have been included but were not because the housing units were never visited. The denominator includes all those households in the numerator, plus the responding households.

In reports of nonresponse rates, the above definition is often used; however, there are many deviations from it. Among the most undesirable is the use of the ratio of refusals to the sum of responses and refusals. Using this ratio disregards all those reporting units that should have been contacted, but that for one reason or another were not.

Nonresponse is an operational concept that is clear only for censuses or probability samples. The manner of selecting designated units for enumeration or measurement and the degree to which those units are in fact enumerated or measured are separate constructs. A census, a probability sample, and a nonprobability sample are all methods of selecting units for inclusion, and all three may experience nonresponse from some units solicited for inclusion. But as commonly practiced, only the first two specify uniquely

those units designated for inclusion. Typically, the nonprobability survey contacts an undefined or ill-defined set of units and thus has no clear-cut base on which to calculate a nonresponse rate. This is critically important in comparing surveys, especially over time. Prior to 1950, very few social or economic surveys were based on probability samples, and even in the 1970's probability surveys are in the minority. Some analysts argue that a principal reason for current concern over unsatisfactory response rates arises from the increasing use of probability techniques, with proper calculation of nonresponse rates; previously, less controlled survey procedures had been used, and nonresponse was undercounted, if it was recognized at all.

Certain practices often followed in survey work hamper analysis of response rates, even in projects that claim to be probability surveys. In multistage surveys, the first and intermediate stages may be rigorous probability procedures, but the final stage is a process that picks a randomly chosen "starting housing unit" and specifies that, for example, the first 10 housing units beyond that point for which response can be secured are the sample housing units.

One controversial device is substitution. Substitution for initially designated units can be performed in a variety of ways, some quite sophisticated. One scheme, vigorously defended by some theoreticians, starts with a preferred final sample unit and, say, three "alternates," all drawn randomly. If the preferred unit cannot be secured, the first alternate is tried, then the second alternate, followed by the third. The case is called a nonresponse only if none of the four can be realized. For example, one major survey employing substitution methods had this experience (values are percent of designed sample):

Preferred unit responded	73.7
First alternate unit responded	8.1
Second alternate unit responded	2.9
Third alternate unit responded	1.2
No response for the area	14.1
TOTAL	100.0

The survey was reported to have an 86-percent completion rate.

Some statisticians argue that if respondent data are weighted inversely to the proportion of time home in order to account for households not contacted (Politz and Simmons, 1949, 1950), then only refusals need be counted as nonrespondents.

Clearly, one must use care in evaluating a reported nonresponse rate or in comparing one reported rate with another.

FINDINGS

RESPONSE LEVELS IN FEDERAL STATISTICAL AGENCY SURVEYS

Among the highest standards are those maintained by principal federal statistical agencies in their major continuing surveys. These surveys are characterized by detailed and extensive planning, controlled energetic collection, and relatively long operational experience. The Current Population Survey, a joint undertaking of the Census Bureau and the Bureau of Labor Statistics, has an overall household nonresponse rate of about 4 percent and a refusal rate of about 2.2 percent. The Health Interview Survey of the Census Bureau and the National Center for Health Statistics has an overall household nonresponse rate of about 3 percent and a refusal rate of about 1.5 percent. The Law Enforcement Assistance Administration–Census Bureau Crime Victimization Survey has an overall household nonresponse rate of 4 percent and a refusal rate of 1.5 percent. The National Center for Health Statistics holds its nonresponse rate for hospital establishment surveys at less than 10 percent. The most recent national survey figure was 7.4 percent. Many other continuing surveys of the federal statistical agencies keep response levels in the range of 85–95 percent.

Table 1 shows total nonresponse rate and refusal rates for two major federal continuing household interview surveys over the past 8 years, during which procedures were essentially similar. These are voluntary surveys.

TABLE 1 Nonresponse Rates for Two Federally Conducted Continuing Household Surveys, 1968-1976

	Current Population Survey		Health Interview Survey	
Year	Total Nonresponse Percentage	Refusal Percentage	Total Nonresponse Percentage	Refusal Percentage
1968	4.6	1.8	4.7	1.2
1969	4.6	1.8	4.7	1.3
1970	4.0	1.6	4.2	1.1
1971	3.7	1.6	3.6	1.1
1972	4.0	1.8	3.9	1.4
1973	4.3	1.9	3.6	1.5
1974	4.1	2.0	3.2	1.5
1975	4.1	2.2	3.1	1.6
1976	4.5	2.5	3.8	2.1

Even in the most recent years, the two surveys maintained or improved their overall response rates (except in 1976), along with a small increase in refusal rate. The continued high response rates have required constant attention and increasing costs. While not typical of all federal surveys, these two illustrate what is possible when sufficient resources are allotted to the task.

These same federal agencies often have somewhat more difficulty with single-time surveys, but still keep response at rather high levels. When the Law Enforcement Assistance Administration–Census Bureau Crime Victimization Surveys were carried out on a one-time basis in single cities, the overall nonresponse rates sometimes ran as high as 8–10 percent, compared with the continuing national survey rate of 4 percent. In the more difficult one-time Consumer Expenditure Household Surveys, for which respondents were required to keep a diary, the Census Bureau experienced about a 15-percent nonresponse rate. In the most recent (1973) of a series of separate, sample surveys of nursing homes, the National Center for Health Statistics had a 3-percent nonresponse rate.

For other surveys by federal agencies, response rates vary widely, depending on many factors. Available evidence does not justify the statement of any "typical" rate or even of a narrow common range. In its February 1976 revision of Circular A-40, "Clearance of Public Reporting and Recordkeeping Under the Federal Reports Act," the U.S. Office of Management and Budget [1976] included this provision:

> It is expected that data collections for statistical purposes will have a response rate of 75%. Proposed data collections having an expected response rate of less than 75% require a special justification. Statistical data collection activities having a response rate of under 50% should be terminated. Proposed statistical data collection activities having an expected response rate of less than 50% will be disapproved.

RESPONSE LEVELS IN NONFEDERAL SURVEYS

nonfederal surveys the range of response rates experienced is even greater. On the basis of replies to the Panel's request, which probably reflect more favorable experience than is present in the total universe of surveys, it appears that the response rate is more often below 75 percent than above. This estimate is based largely on material provided by correspondents, although the conclusion is not contradicted by evidence from the literature review. Table 2 displays a selection of response rates for 33 nonfederal surveys as reported by organizations that provided data to the Panel. Only very brief descriptions of the listed items appear for three reasons: a degree of protection is given to certain respondents to the Panel; in some cases the

TABLE 2 Nonresponse Rates as Reported for Various Surveys

	Brief Description	Type of Survey[a]	Response Percentage[b]
1	Survey of vocational rehabilitation clients	I	13
2	Follow-up of vocational rehabilitation clients' consent requests	M	23
3	How people spend time, and opinions about work	T	22[c]
4	How people spend time, and opinions about work	I	49
5	Survey of sportsmen (1976)—2 follow-ups	M	50
6	TV watching—requires diary	M	52-58
7	Advertising survey (1965)	I	59
8	Several readership surveys (1955-1963)	I	50-73
9	Series of magazine readership surveys	I	54-72
10	Public opinion survey—4 callbacks	I	60
11	Several private research surveys	I	60-65
12	Studies in central cities	I	62-65
13	Survey of sportsmen (1974)—2 follow-ups	I	65
14	5 telephone surveys: radio listening—final interviews divided by number of household telephone numbers	T	64-75
15	Mail inquiry to school officials, asking reactions to an earlier survey	M	67
16	Metro-area studies	I	65-75
17	Impact of community on quality of life	I	69
18	Opinion survey of farmers who had been nonrespondents to earlier surveys	I	70
19	Variety of urban surveys	I	70
20	"Studies in recent months"	I	low 70's
21	Survey with 6 callbacks	I	70+
22	Readership survey (1962)	I	72
23	Marketing survey (1963)	I	74
24	Survey in group of communities on qualify of life	I	75
25	10 surveys on varied social topics	I	74-90
26	A major national probability survey of 15,000 men and women, with very expensive field procedures	I	77[d]
27	Intensive effort magazine readership survey	I	80
28	Opinion survey of farmers who had been respondents to earlier surveys	I	82
29	Second opinion survey of farmers who had been nonrespondents to earlier surveys	I	84
30	Assessment of education programs—students	I	83-85
31	Use of drugs by college students—elaborate procedures and assurances of confidentiality	M-I	83-92
32	Variety of rural surveys	I	90
33	Assessment of education programs—schools	I	93-95

Footnotes to Table 2

[a] M = mail; I = face-to-face interview (includes respondent filling out questionnaire); and T = telephone.

[b] The rate is as reported by the correspondent. Not all rates have a common definition. An effort has been made to use the definition proposed in the text above, but some figures are not consistent with that definition.

[c] Ratio of completed interviews to numbers "potentially eligible."

[d] The 77-percent response rate was achieved only after a six-part solicitation effort that included a letter of introduction; gifts to respondents; incentives to interviewers and supervisors for high recovery; up to 6 evening callbacks; long distance telephone calls and expensive field travel; and bilingual interviewers for Spanish-speaking areas.

supplier of information submitted only a cryptic description to the Panel; and the intention is to give an impression of what level of response practitioners ascribe to their surveys, without encouraging readers to believe that any particular response rate is typical for a specified type of survey.

TRENDS IN NONRESPONSE RATES

It is even more difficult to speak with assurance on trends in nonresponse rates than on prevailing levels of nonresponse. First, solicitation and collection techniques are quite varied, and their response consequences frequently are not comparable over time. As the use of true probability methods becomes more widespread and analysis of completion rates is subjected to closer scrutiny, this becomes even truer. Second, response rates are functions not only of techniques, but of subject matter of the survey, unit costs reflecting resources allocated to collection effort, and other factors. Finally, partly for the first two reasons and partly perhaps because of a hesitancy to emphasize failures, some survey managers are reticent about displaying data that they fear might be used to their competitive disadvantage.

As might be expected, those who replied to the Panel's invitation to comment on trends reported varied experiences and were not unanimous in their interpretation of nonresponse trends. A majority reported either that current response rates were lower than they were 5, 10, or 20 years ago or that it now costs more to secure the same level of response. Several organizations said they were maintaining about the same levels of response as in earlier years, but probably only because their collection skills had improved. A few claimed higher response levels in recent surveys, also as a the consequence of improved techniques. There was little evidence re-

ported that either the Privacy Act of 1974 or the Freedom of Information Act had affected response rates, but some expressed concern that these acts might have a future impact.

The following bits of evidence—based mostly on opinion or small numbers of observations—are illustrative of the views of the majority of respondents to the Panel and of a few contrasting experiences.

The "Report on the ASA Conference on Surveys of Human Populations" (American Statistical Association, 1974) stated:

> . . . spokesmen for a number of private survey organizations . . . all report that their completion rates on general population samples now average approximately 60 to 65 percent . . . in contrast to a completion figure of 80 to 85 percent . . . in the decade of the sixties.

One commercial survey organization said that a few years ago it regarded 80 percent as the standard for response rates; today, "they tend not to reach this level." Another commercial organization found that for two large-scale, roughly comparable mail surveys, the completion rate changed from 65 percent in 1974 to 50 percent in 1976.

A university communication said: "On the whole our response rates have been holding up, but there is a feeling that it takes more effort to get it there than it did before." From the same university, another communication compared response rates in three groups of surveys, all similar in character but dealing with different topics:

Group	Average Completion Percentage
4 surveys in 1962–1964	81.1
3 surveys in 1966–1969	78.5
3 surveys in 1970–1975	77.6

Another research organization discussed the difficulties of securing response and summarized:

> We have not experienced any indication of an upward trend in refusal rates when we review our total survey effort. We have, however, found that it has become more difficult to maintain the total response rate at levels attainable in past years. . . . In 1973 [we] informally contacted a number of survey organizations to inquire about their recent experience in response rates. Almost without exception, the indication was that a lower total response rate was being achieved with some increase in the refusal rate.

One university researcher, who appears to secure higher response levels than some others, stated, "As with other survey units . . . our response rates

have declined over the last several years, and I don't know what to do about it. . . . [The worst problem] is in the inner cities." But another researcher, a university survey organization leader, reported:

> . . . We have not found much evidence of increased refusals or difficulty of obtaining information. Unlike other survey organizations, I believe . . . the response rates we are obtaining currently are at least as high, and possibly higher than, five or ten years ago.

Several students of survey methods have pointed out that in the 1930's, when sample surveys were relatively new and infrequent in the United States, people wanted to take part because participation was a special distinction. But more recently, because of the proliferation of surveys, sales campaigns masquerading as surveys, concerns about how data will be used, and other reasons, the public is reluctant rather than pleased to cooperate.

Robert Reinhold, in an article entitled "Polling Encounters Public Resistance" in the *New York Times* (October 25, 1976), reviewed some of the problems encountered in securing respondent cooperation and concluded: "Nearly all survey takers report their tasks have become more difficult and costly than ever before."

Since 1968, the Department of the Army has regularly surveyed former enlisted personnel with a reserve obligation, about 12 months after separation from active duty. In September 1975 a Privacy Act statement was developed and included with survey materials. The statement indicated that response was voluntary, that data would be used only for research and statistical purposes, and that there were no negative consequences for declining to provide the requested information. Data for the period from January 1974 to March 1976 show a distinct increase in nonresponse rate after the introduction of the Privacy Act statement. Lower response rates appeared in all education and race categories of enlistees, by 10–25 percentage points. For example, for blacks with less than high school education, the response rate dropped from about 33 percent to about 21 percent; for whites with college degrees, it dropped from an average of about 71 percent to about 46 percent.

Evidence suggesting that concern over trends in nonresponse rates is not unique to the United States comes from Sweden. Nonresponse rates for the Swedish household-interview labor force survey are shown in Table 3 for the first 6 months of each of the years from 1970 to 1976. Similar nonresponse trends (at somewhat higher levels) appear in Swedish experience with political surveys and with surveys of buying intentions.

The *Journal of the Market Research Society* (Market Research Society, 1976) reported the conclusions of the Research and Development Commit-

TABLE 3 Nonresponse Rates for Swedish Household Survey on Labor Force, 1970-1976

First 6 Months of Year	Percentage		
	Total	Refusals	Not Found and Other Reasons
1970	1.4	1.0	0.4
1971	2.8	2.2	0.7
1972	3.4	2.7	0.6
1973	3.4	2.6	0.8
1974	3.9	2.6	1.4
1975	5.6	3.6	2.0
1976	7.4	4.1	3.3

tee of the British Market Research Society. The Committee stated: "There is some evidence . . . of an increasing reluctance on the part of the general public to agree to cooperate in marketing research surveys." Although organizations may now have to make a more extensive effort than before to find people at home, the Committee saw "no conclusive evidence of any increase in failure to contact pre-specified individuals in random sample surveys." The Committee's report concluded that "the serious problems are more potential than actual."

Benus and Ackerman (1971) wrote a paper on nonresponse problems and trends experienced by the Survey Research Center of the University of Michigan. For the SRC series of Consumer Behavior Studies, they reported a downward trend in response rates between 1955 and 1970 from about 87 percent for both large and small areas to about 72 percent for the larger metropolitan areas and to about 81 percent in the smaller areas. They attributed part of the decline to changes in field procedures. John Scott of SRC has continued the study of nonresponse in SRC quarterly economic surveys: he noted a further decrease of several percentage points between 1970 and 1976, more substantial for larger than smaller cities. A principal new cause, he said, is a tightening in the rule for determining who is an acceptable household respondent.

Table 1 above shows a small increase in refusal rate but no increase in overall nonresponse rate for the Census Bureau's monthly Current Population Survey over the years 1968–1976. This relatively favorable picture has not held for some individual items of information over a longer period—notably for income. Mitsuo Ono (1972) has reported the following figures

on nonresponse or inadequate response (in percent) for the family income item, based on questions asked annually in the Current Population Survey:

1948	7.5
1958	11.2
1968	17.2
1969	19.0
1970	14.3
1971	14.6

REASONS FOR NONRESPONSE

Reasons for nonresponse can be discussed in a variety of contexts. One perspective is the mode of inquiry: mail, face-to-face interview, or telephone. Each mode introduces different factors that influence willingness to respond. Other perspectives include the subject matter under investigation; the sponsor or conductor of the survey; the intended respondent (e.g., a business establishment, a self-responding person, a proxy or third-party provider of information); whether the survey is continuing or one-time; whether the measurement is a physical one, a transcription of records, a statement of fact, or an expression of opinion; and the capacity of the intended respondent to reply, expressed in terms of knowledge, recall, or demand on time and effort.

Another perspective is psychological or social psychological in character, e.g., issues of motivation, apathy, patriotism, conformity, fear, trust, resentment, suspicion, or privacy. Still another perspective is that of economics: while a 100-percent response rate may not be attainable in some surveys at any price, it will generally be true that over a considerable range the response rate will increase with increases in unit expenditure allocated to the solicitation effort.

No attempt is made in this chapter to single out any perspective or to assign weights to the factors. One or more of those who replied to the Panel's invitation for comment mentioned each of the perspectives. The following section presents a digest of selected comments on reasons for nonresponse, obtained from direct communications to the Panel and from the literature search, along with some empirical data.

Apathy and Lack of Belief in Value of Surveys

There is a considerable amount of opinion and numerous indications that many people who are asked to respond to inquiries react apathetically. They know little about data collection agencies or organizations or about what those agencies intend to do with the data collected. They simply prefer not

to be bothered with what they consider a pointless or unprofitable demand on their time. Some people doubt that the information requested would be useful for any purpose, and that if it were, it would be helpful to them. Reflections of both attitudes appear in the material in this section.

Evidence of suspicion and negative attitudes toward surveys is present in results of an interview survey, "A Study of Farm Operator Attitudes Towards Requests for Information in Surveys," conducted in 1973 for the Department of Agriculture by the Statistical Laboratory of Iowa State University. About 200 farm operators who had cooperated (C) in previous surveys and another 200 who had not (NC) were interviewed. Among many findings, these have special relevance to the present review:

1. About 80 percent of the responses for both group C and group NC were coded negative or undecided rather than positive with respect to general attitude toward the government.
2. With respect to general attitude toward surveys, 68 percent of those responding in the C group and 92 percent of those responding in the NC group were classified negative or undecided (but see 4 and 6 below).
3. 26 percent thought farm surveys were of no benefit to farmers; 25 percent thought farm surveys hurt farmers; 12 percent thought farm surveys were not accurate; and 14 percent thought information requested was their "own business."
4. 47 percent thought published statistics were helpful.
5. Given the opportunity to agree, disagree, or be recorded as undecided concerning the statement, "Farmers are asked to answer too many farm surveys," 71 percent of respondents agreed.
6. 36 percent agreed that "forecasts of prices and marketing help farmers plan."
7. 33 percent disagreed with the statement, "Information individual farmers give in the USDA farm surveys is kept confidential."
8. In response to the statement, "The estimating of crop averages, yields and livestock numbers should be done by private companies rather than by USDA," 18 percent agreed, 46 percent disagreed, and 36 percent were undecided.

The Census Bureau conducted a follow-up interview survey of 400 respondents (R) and 400 nonrespondents (NR) to the 1974 Census of Agriculture. The first stage of follow-up of both groups was by telephone; a second stage used personal visits to the NR group. The overall response rate after both stages of follow-up in the survey was 89 percent for the R group and 92 percent for the NR group. There were several findings particularly relevant to this project:

1. In answer to a question on whether the respondent thought the census was required by law (which it was) or voluntary, the responses were as follows:

	R Group	NR Group
Required	51 percent	39 percent
Voluntary	36	33
Don't know, NA	13	28

2. About 37 percent of the R group thought the individual census data were "kept by Census"; 25 percent thought the data were "given to other governmental agencies"; 17 percent thought the data were "given to non-governmental organizations"; and 21 percent did not have an opinion.

3. On the question, "Thinking about the Census of Agriculture in general, do you think it mostly helps farmers or mostly hurts them?", the answers were (in percent) as follows:

	R Group	NR Group
Helps	40	26
Hurts	26	28
Neither	27	25
Don't know, NA	8	21

4. When asked their opinions on how information given by farmers is used, the responses were (in percent) as follows:

	R Group	NR Group
For statistics	63	44
In other ways	24	28
Don't know	13	28

Several investigators have explored the question of whether surveys have become so prevalent as to be thought of as a bore rather than a novelty. As noted earlier, 30–40 years ago polls and surveys were new and unusual, and people considered it something of an honor to be asked to participate. Today the novelty is diminished.

Privacy, Confidentiality, and Distrust

Privacy and confidentiality as factors in refusing to respond are closely related to distrust. Legitimate statistical surveys may be damaged by a wide variety of sales campaigns or other activities that pose as surveys. With justification, some people are loath to participate in a survey because they expect that the consequence will be a sales pitch or some other activity that they are not interested in or hostile toward. This factor was stressed by a

number of those who responded to the Panel's letter. The material in this section illustrates this aspect, emphasizing respondent distrust and implying concern over invasion of privacy or anonymity.

The charge implicit in the expression "lies, damn lies, and statistics," credited by some to Benjamin Disraeli, by some to Mark Twain, and by others to an earlier source, is endorsed by many. The words convey a distrust of statistics and the motivation of compilers and suggest the likelihood of inaccurate replies by those asked to respond to inquiries. Michael Wheeler (1976) chose the phrase as the title for his book. He argues that opinion polls and commercial marketing surveys are not well designed; that data collection fails to match the designs, especially with respect to concordance between proper random selection and actual respondents; that inquiries are badly constructed or even deliberately constructed to elicit a preferred response; and that analysis of findings is not scientific, often incorrect, and frequently intentionally biased. Wheeler says he has studied the methods of many of the leading opinion polling organizations and found most of the sources of survey hazards—sample size and design, response rates, imputation, estimating methods, questionnaire construction, choice of items to be measured, timing of inquiry, and analytic interpretation of findings. It may well be that the book reflects the opinions of a large segment of the public; in that sense, it is a partial explanation of the difficulty in securing a high level of quality response in surveys.

Seymour Lipset (1976) offers a somewhat lower-key analysis. He emphasizes that the choice of questions asked, the specific phrasing of the questions, the current climate surrounding related issues, and the mechanics of collection and reduction of data are all critical to a survey's conclusions. One consequence is that often two apparently contradictory conclusions can be drawn from two separate surveys on the same subject. It is a reasonable speculation that many potential respondents decide that all (or most) surveys are not very meaningful and hence decline to participate.

People may also be concerned, when asked to respond to a mail questionnaire that is said to be confidential and that appears on its surface to be an anonymous instrument, that the replies are not in fact anonymous. This matter received public attention in a number of articles in November 1975 in *The National Observer, The Wall Street Journal, The New York Times,* and other newspapers, which reported on the use of "invisible ink" identifiers. It was established that some data-collecting organizations do use such identifiers. At least one organization defended the practice, arguing that it distinguishes between "confidentiality" (not disclosing individually identifiable data) and "anonymity" and claiming that the operational economies of foregoing true anonymity of individual reports justify the use of invisible identifiers, provided confidentiality is protected. The newspaper articles

quoted several sources as saying that the use of surreptitious identification is quite common in marketing surveys.

Walker Research's study (1975) of 300 household heads offers these data: 43 percent considered some questions asked in surveys too personal; 36 percent said the term "poll or research survey" is used to disguise a sales pitch; 29 percent thought surveys are an invasion of privacy; 19 percent thought answering questionnaires is a waste of time.

Intensive interviews with 15 from among 40 nonrespondents to earlier surveys on political and sociological topics were conducted under the direction of Frederick Wiseman of Northeastern University (24 of the 40 refused to participate in the follow-up, and one who agreed failed to do so). The 15 were arranged into one focus group of seven persons and a second focus group of eight persons. (This is a procedure similar to the small-group discussions treated in Chapter 4 of this report.) Wiseman identified three principal concerns:

> The first concern, invasion of privacy, was extremely important. . . . Particular resentment was expressed about being asked questions concerning an individual's income, education, and religion.
>
> When respondents are told that they have been selected for a survey, the first thought that comes to the minds of most is a fake survey that will turn into a sales solicitation.

The third most prevalent concern was that the data might be "put in the computer," perhaps incorrectly, and used against the individual in the future.

The sales effort masquerading as a survey is not the only form of misrepresentation. Lester Frankel (1976), in his presidential address to the American Statistical Association, noted, in addition to the sales factor, such things as the following: the potential respondent is told the interview "will take only a few minutes of your time" when in fact it takes 35–40 minutes or even longer; the respondent is told of one purpose for the survey, but results are used for other purposes; and the respondent is told that the information he or she supplies will be held anonymous, but the respondent discovers later that this was not so. Instances of misrepresentation are publicized and create distrust that a survey is not what it is presented to be and people are therefore disinclined to participate.

Ostensible reasons for nonresponse may not specifically refer to privacy or confidentiality; however, these concerns may be involved when the stated reason is "too busy" or "not interested." The majority of survey practitioners believe that assurances of confidentiality are helpful in securing response

and augmenting quality of reply. At least several federal statistical agencies are convinced that assurances of confidentiality are essential to good response and assume that the guarantees are generally believed. This position underlies the reply of one federal agency to the Panel:

> [We cannot] identify a measurable drop in overall response rate because of confidentiality questions. In most of the particular cases where respondents were reluctant to participate, the reasons were not doubts about our agency's confidentiality practices but dissatisfaction with government activities in general.

In one study of a group of university students, the investigators concluded with respect to invasion of privacy:

> Apparently one does not invade a person's privacy by asking him a question which it would be socially desirable to endorse [Walsh *et al.*, 1966], but one does invade his privacy when one asks him a question that it would be socially undesirable to endorse—even though endorsement is explicitly not under consideration.

For decades, psychologists have been concerned about confidentiality in their data collection and testing activities. Perhaps they speak more commonly of anonymity than of confidentiality. A respondent is anonymous when the questionnaire he or she completes cannot be linked to him or her because it lacks information that can be used for individual identification. Several published papers (Benson, 1941; Elinson and Haines, 1950; Hamel and Reif, 1952; Rosen, 1960; Pearlin, 1961; Hartnett and Seligsohn, 1967; King, 1970; Goodstadt and Gruson, 1975) speak to this issue.

A variety of techniques for exploring the utility of anonymity in securing valid data have been tried. Some projects seem to indicate that assurance of anonymity improves response rates and probably quality of reply. Others show little impact of such assurance. The majority of the articles cited above conclude that privacy or anonymity and confidentiality often do have some effect on completion rates and response validity, particularly in dealing with topics that are sensitive or of a personal nature.

Robert F. Boruch made available to the Panel staff a draft version of an article, "Is a Promise of Confidentiality Necessary? Sufficient?" In it Boruch has identified a number of instances in social research in which disruptive consequences do occur from failing to make a promise of confidentiality to respondents and has noted that they are most likely to occur in what may be called controversial research. Furthermore, the problems tend to be more serious if government agencies are involved.

In an article entitled, "Public Reaction to Public Opinion Surveying," Hartmann *et al.* (1968) reported that for a national sample of household heads who had been previously interviewed, 20 percent said they had been asked questions that they thought were offensive or that they did not care to answer. The 20 percent comprised 13 percent who had refused to answer,

5 percent who said they had answered even though it was distasteful, and 2 percent who could not remember whether they had answered the offensive questions. In the same study, respondents reporting participation in surveys were asked the additional question, "Have you considered any part of these interviews to be an invasion of your privacy?": 18 percent said yes, and 62 percent of these persons cited questions on income as an example.

In discussing confidentiality or anonymity, one occasionally encounters the contrasting concept of personalization. Generally speaking, personalization is an explicit effort to approach each potential respondent as a particular individual (e.g., by name), rather than as an arbitrarily or randomly chosen anonymous person. Arguments advocating such a procedure focus on the favorable consequences that might result from a respondent's being pleased with personalized selection. There is evidence from research on both sides of this argument.

Eleanor Singer of Columbia University has been principal investigator for the National Opinion Research Center under a National Science Foundation grant in a study designed to explore the impact of several factors on nonresponse rates and the quality of response. The interview study followed a national probability design of some 1,600 persons who were asked a variety of both nonsensitive and highly sensitive questions. Impact was analyzed for two introductory explanations (general and rather detailed); three consent conditions (respondent signature required before asking questions, signature required after asking questions, and no signature requested); and three confidentiality assurances (complete assurance of anonymity, limited assurance, and no mention of confidentiality). With respect to confidentiality the report (Singer, 1978) concludes:

> . . . though it was impossible to discern any effect of confidentiality on overall response rate to the interview, assuring respondents of absolute confidentiality had a small but consistent effect on willingness to answer individual questions. Nonresponse rates for sensitive questions were consistently and sometimes significantly lower when people were told that their replies would be held in confidence. . . . there is at least the suggestion that a promise of confidentiality enhances the quality of response to the most sensitive items.

The study also offered evidence that of the factors studied, only the request for signature affected overall response rate and for a number of reasons is an unnecessary burden in securing informed consent. Furthermore, since the more detailed and informative introduction affected neither overall response rate nor responses to individual questions, the study concluded that there appears to be no reason to withhold such information from respondents. The report emphasizes that findings are conditional on a number of factors, including choice of questions for particular classes of respondents, ambiguity with respect to the essence of in-

formed consent, and environmental factors not under control in the study.

The National Central Bureau of Statistics (SCB) of Sweden (1977) has been concerned over increasing nonresponse in both interview surveys and other inquiries. In an effort to gain better understanding of the causes of this trend, the SCB incorporated a special series of questions in its April 1976 household Omnibus Survey. The queries included demographic and socioeconomic descriptors; respondent knowledge of and previous contact with SCB; whether the person, if contacted in a previous survey, had refused to respond, had responded hesitantly, or had responded quite willingly; reasons for hesitancy or nonresponse; opinions on invasion of privacy; opinions on use of computers; understanding of governing law and practice of SCB with respect to confidentiality; and opinions on who should have access to personal data of what kinds. The design was a national probability survey of 1,262 persons; it had an overall nonresponse rate of 22 percent, of which 17 percentage points were refusals. The report of the survey (National Central Bureau of Statistics of Sweden, 1977) contains a variety of findings and conclusions, several of special interest in this present context:

1. A total of 41 percent of respondents said they were hesitant about being interviewed. Many thought that the questions would be hard to answer and were uncertain about how the particulars would be used.
2. Of 10 listed national problems, protection of privacy was rated third most important, outranked only by reducing unemployment and checking price rises.
3. Only 3 percent of respondents stated that they knew that "confidential" data had been passed to unauthorized persons, but 23 percent believed it might happen.

Technical and Operational Survey Practices

There are technical and operational practices that contribute to an apparent decline in response rates. For example, it may be that recently reported high levels of nonresponse are in part simply the product of better accounting. As noted earlier, more widespread use of probability sampling has resulted in adoption of higher standards for stating exactly who should be included in a survey and allowing less latitude in accepting substitute or alternative respondents, thereby increasing the calculated proportion of originally designated sample cases that are nonrespondents.

Frequent mention was made by those who answered the Panel's request of the difficulties of contacting the designated respondent. This is not only the problem of "not at home" persons, but also includes situations in which a fence, a locked entrance way, or a doorman or guard prevents access to

the would-be respondent. Such situations are common in current living arrangements. In telephone surveys the problems of identifying uniquely the eligible telephone numbers are substantial.

For a given budget there is a trade-off between nonresponse rate and sample size. If the sample size is too large, insufficient resources are available for dealing with the individual response situation.

Those who wrote to the Panel often were reticent about admitting inadequate communication between collector and respondent, but several attributed their success to effective communication, especially between a skillful, well-trained interviewer and the respondent.

TECHNIQUES FOR IMPROVING RESPONSE

Most of the suggestions received for improvement of response rates and accuracy of response reflect opinion and experience rather than the results of specific, formal, controlled testing of alternatives. Few of the ideas are unique to a particular observer. Some of the better practices that were recommended either with special vigor or frequency by practitioners are discussed in this section.

The Planning and Operation of Data Collection

Perhaps the single most prominent theme is that the importance of high levels of response must be recognized, that energetic efforts of various kinds can improve response, and that planning, budgeting, and operational procedures must provide for those efforts. The most appropriate action varies with the purpose of a survey, mode of data collection, subject matter, respondent burden, survey sponsor, and many other factors. But there was considerable consensus that high priority should go to establishing an effective level of communication between the collector and the would-be respondent. Despite many discouraging experiences, there seems to be an optimistic undercurrent of opinion that if there is an adequately defensible purpose for a survey being conducted, then forthright presentation to the designated respondent, accompanied by considerate procedures, is likely to result in acceptable response.

Sponsors and managers should make sure that they know precisely why they are collecting the data and how they intend to use results. They need to ensure that the undertaking has legitimate authorization and, in many situations, the support or endorsement of relevant bodies. They should try to foresee the more prominent hazards to successful solicitation and to devise procedures for mitigating those hazards. All survey personnel, and especially interviewers, should be thoroughly trained and indoctrinated not

only in the purposes and procedures of the project, but also in how to communicate effectively with would-be respondents.

Full and accurate response depends in part upon effective communication between the collector and those who are asked to supply the information. How to achieve effective communication is not so obvious. From a series of investigations at Michigan's Survey Research Center, directed largely by Charles F. Cannell, there is evidence (Cannell *et al.,* 1977) that joint use of three practices in interviewing will contribute to respondent understanding and willingness to provide valid answers, especially in those instances in which there is no initial total refusal to participate:

1. Instructions. In addition to the usual introductory explanations, the interviewer should emphasize more precisely just what the respondent is being asked to do so that the respondent recognizes the importance of his or her role and is motivated to do a good job in that role. Specifics will vary with the inquiry.
2. Feedback. As the interview proceeds, the interviewer should interject brief comments that promote cooperation through low-keyed compliments when the respondent is replying well and gentle additional probes when the reply is less satisfactory.
3. Commitment. It is desirable for the respondent to make a positive personal commitment to doing a good job as a respondent. One device for accomplishing this is to use, early in the interview, a written statement that the respondent signs. By signing the statement, the respondent agrees to the importance of supplying valid answers and affirms that he or she will try to do so. This form is also signed by the interviewer to attest to the confidentiality of replies. It is then retained by the respondent.

Rewards to Respondents

As noted earlier, in general and within certain limits, quality and rate of response can be increased with increases in allocated resources per unit of inquiry. While justifiable expenditure is limited by the value of the survey product, bugeting should provide for such activities likely to be necessary to secure an adequate level of response.

Although opinion is mixed, the majority view appears to be that in many situations the offer of a recognizable award to a respondent will increase the response rate. The award may be psychic, such as gratification in receiving a certificate for having contributed to a worthy patriotic or scientific objective by participating in a survey. It may be in the form of a received service, such as being given special tabulations of survey results. It may be a direct personal benefit, such as receiving a free physical examination. But the

award most likely to be effective is a cash payment for participation.

Experience with incentive payments has varied, ranging from beneficial through no effect to detrimental (Ferber and Sudman, 1974; Cannell and Henson, 1974). There is some opinion that a survey that makes little demand on a respondent does not justify an incentive payment, but one that makes considerable demand on the respondent may well find an incentive payment to be cost-effective. Two examples of an incentive payment are relevant to this viewpoint.

In the first household surveys of the National Assessment of Educational Progress, the cooperation of young adults (ages 26–35) was very poor, with a participation rate of 45 percent. The respondent task consisted of completing packages of exercises administered in the home; each package required about 50 minutes. An experiment discovered that cooperation could be increased to about 83 percent by offering a $5 per package incentive payment for accepting one to four packages. In the experiment, the participants accepted an average of 3.9 packages. The incentive payment plan was adopted for later full-scale operations, which did obtain response rates above 80 percent for young adults (Chromy and Horvitz, 1975).

The Health Examination survey is carried out in cycles by the National Center for Health Statistics. A cycle consists of physical examinations of a national probability sample of persons in a given age range, conducted at 40–65 locations over the country. Cycles I through III, during the years 1960–1971, reached response rates of 87–95 percent. In cycle IV, which involved a much expanded examination of both children and adults and required up to a half-day for each examinee, experience in the first few locations indicated that the overall response rate would be below 70 percent. A controlled experiment was undertaken for persons aged 27–74, in which the experimental groups were offered a $10 incentive and the control group no payment. The control group had a 70 percent response; the experimental group 82 percent. The incentive payment was adopted for the rest of the locations, with the final overall response rate showing 68 percent for locations without remuneration and 77 percent for those with remuneration.

Randomized Response and Other Avoidance Techniques

Whether admitted openly or not by the solicitant, it is reasonable to suppose that when faced with a sensitive question, a person may be hesitant to respond because of embarrassment, belief that the question is an invasion of privacy, or fear that the reply may somehow be used to the respondent's disadvantage. If the person does reply, he or she may be tempted to distort the answer so that it in no way can be incriminating. Stanley Warner (1965) was the first to suggest an avoidance technique, which he called "random-

ized response," for securing answers to sensitive questions. The technique used a procedure in which the respondent is required to answer only "yes" or "no" to one of two questions; which question is answered is determined randomly and is known by the respondent but not by the interviewer. Yet at the end of the full survey, it is possible to estimate the proportion of persons surveyed who have answered "yes" to the sensitive question. Thus the desired information is secured, and protected. Neither the collector nor any third party can know whether an individual replied to the sensitive question or what the reply was.

A considerable literature is being developed on randomized response or randomized inquiry, with many variations and elaborations of the original technique. Successful field trials of these approaches have been reported by the University of North Carolina, the Research Triangle Institute, and the National Center for Health Statistics in dealing with abortion; by the Human Resources Research Organization in studying drug use; and by others (Horvitz *et al.*, 1968, 1975; Greenberg *et al.*, 1971; Brown and Harding, 1973). Several survey practitioners suggested the technique as a useful device for improving response in certain situations.

A number of other techniques can camouflage or even prevent the association of a specific datum with an identifiable individual. Some of these are concerned with the procedure for collecting the item and others with analytic processes, including particularly the merging of two or more data sets. To the extent that understanding of these avoidance techniques prevails, people may be less reluctant to respond to sensitive survey questions.

The procedures referred to include (1) deleting person-identifiers from the record that contains substantive data and locating the key to identification with a separate authority in a different location; (2) processing data in microaggregated form; (3) introducing random noise into reported data at an early stage of processing; (4) destroying common identifiers immediately following the merger of two data sets; (5) using truly anonymous responses, as when answers are placed in a "ballot box"; (6) collecting data in ranges, for example, asking for income only in broad classes rather than in more precise amounts, or obtaining data on a nonsensitive correlate (occupation) rather than on a sensitive item (income).

The report of the Committee on Federal Agency Evaluation Research, National Research Council (1975), described several of these methods. Robert Boruch has been an imaginative promoter of avoidance techniques. In a communication to the Panel, Robert H. Somers of the Institute for Research in Social Behavior in Berkeley described a project in which he, Dean I. Manheimer, and others (Manheimer *et al.*, 1972) succeeded in using a method to separate the identifying key from substantive data in a study of drug use and political orientation.

CONCLUSIONS

Overall, as expected, the Panel uncovered little hard evidence, based on empirical tests under controlled conditions, that an assurance of confidentiality improved response levels. But there was a good deal of evidence that would-be respondents feared that data would not be kept confidential and might be used to their disadvantage. The great majority of survey practitioners, and especially those in the major federal statistical agencies, believe that promises of confidentiality, faithfully adhered to, contribute to better response.

There are numerous opinions and a substantial amount of evidence concerning nonresponse rates and their causes, but little quantitative information from systematic studies under controlled conditions was uncovered. A major difficulty in analyzing nonresponse rates appears to be the lack of uniform definitions for this concept. Even for situations in which nonresponse rates were properly calculated, they may not be comparable from one survey to another.

For surveys that have detailed and extensive planning, controlled energetic collection, and relatively long operational experience—especially those conducted by major federal statistical agencies—nonresponse is usually kept at very low levels. For such surveys, the response rate is usually 95 percent or higher and the refusal rate is only 1 or 2 percent. For many other federally conducted surveys, the response rate is 85–95 percent. Response rates for commercial and other nonfederal surveys vary over almost the entire range from 0 to 100 percent. The median response rate for commercial and other nonfederal surveys is likely well below 75 percent. (Differences in response rates between federal and nonfederal surveys may reflect to some degree differences in subjects covered.)

With some exceptions, major federal statistical agencies have been able to maintain approximately the same level of response for their continuing surveys over periods during which comparable records are available, but with increasing unit costs of collection. While experience and interpretation are mixed, the prevailing evidence and view from most nonfederal survey organizations is that their response rates have shown a drop of 10–20 percentage points over the last two decades.

Many factors cause difficulties in securing response; no single factor offers a full explanation. The following were often mentioned in communications to the Panel: (a) a lack of conviction on the part of would-be respondents that survey information is important, valuable, or useful; (b) respondent doubt that the real purpose of a survey inquiry is the one stated by the interviewer; (c) the proliferation of surveylike activities; (d) the fact that too often the survey taker has applied insufficient care or resources to one or more aspects of the design or execution of the survey; (e) changing life-styles

and living arrangements, which make access to a designated respondent increasingly difficult; and (f) the observation that apparent declines in response rates may be partially the product of better accounting with respect to failure to reach predesignated sample persons, and the associated higher standards required by probability designs.

Respondent concerns over invasion of privacy and doubts about confidential handling of data are often cited as factors in both degree and accuracy of response. It appears that such concerns may be important to some parts of the population, although expressed infrequently by others. It is suspected by some analysts that privacy and confidentiality concerns may have more underlying than overtly expressed significance in many situations.

A number of promising techniques have been developed to increase response rate and quality, including techniques to give respondents greater assurance of privacy and confidentiality. They offer opportunities to improve survey results in particular types of applications.

RECOMMENDATIONS BASED ON CANVASS OF SURVEY RESEARCH EXPERIENCE*

12. The Bureau of the Census should search for more active and effective ways to acquaint the public with its programs and their value and to brief respondents on the purpose and importance of each census or survey.

14. The Bureau of the Census should undertake more vigorous efforts to acquaint the public with the warranty of confidentiality, its legal backing, and the record of the Bureau in maintaining confidentiality. It should seek further to develop its reputation as distinct from that of government, or survey taking in general.

16. Although income is an important item in population and housing censuses and in many surveys, the antipathy to the question expressed by the public argues for continued efforts to be made to minimize the adverse effect of direct income questions. Suggested devices to accomplish this include the use of proxy measures of economic status instead of income, subsampling, the formulation of income questions in broad instead of detailed and exact terms, and special confidentiality protection procedures.

*Numbering of recommendations is that of Chapter 1.

17. All interviewers should undergo a thorough training program to equip them with the necessary skills, knowledge, and poise to conduct a smooth and successful interview. Special training in how to make a good impression on would-be respondents is useful both for face-to-face and for telephone interviewers.

18. All survey personnel, and especially interviewers, should be thoroughly trained in and completely familiar with the purposes and procedures of the project with which they are associated. Interviewers should be able to communicate effectively with would-be respondents.

19. Survey budgeting should provide for activities deemed necessary to secure an adequate level of response.

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APPENDIX A

Survey Validation

From an early stage in the planning of the project, attention was paid to the desirability of including, in association with the two experimental surveys, some attempts to measure the validity of the data gathered in the surveys. Tests of validity can be made by comparing survey data with other data, internal or external, to determine if not accuracy, then at least consistency. Comparisons can be made within a survey, between surveys, or between a survey and other evidence. The comparison can be in fine detail, involving matching of individual data items, or in the aggregate, examining the degree of concordance of summarized statistics. After the plans for the attitude and response behavior surveys began to take shape, a list of suggested validation tests was presented to the Bureau of the Census. Many of them involved additional fieldwork or matching of one set of records against another. Nearly all were adjudged technically feasible, at least as experiments, but limitations of time and resources precluded some of them.

The validations that were performed are described in this appendix. Some were internal to each of the two test surveys or involved only comparison with available statistics to determine general conformity and compatibility; others involved special fieldwork. Those in the former group are discussed in the appropriate chapters of this report and are briefly described immediately below. Those in the latter group are described more fully in the rest of this appendix.

INTERNAL VALIDATIONS

1. A broad comparison of findings from the attitude survey, the response behavior survey, the small-group discussions, the canvass of survey research organizations, and the review of relevant literature revealed general agreement on public attitudes and response behavior and no striking contradictions.

2. Tabulations of the population included in the attitude survey and the response behavior survey, by sex, age, race, and other demographic characteristics were compared with published Census Bureau estimates for the total household population of the United States for 1976 and showed good concordance.

3. The split of the attitude survey sample into two interpenetrating halves, one surveyed by Survey Research Center interviewers and one by Census Bureau interviewers, provided an opportunity to compare results obtained by a nongovernmental collecting organization and by a governmental agency using the same sample design, procedures, and collecting instruments. Some differences in answers to questions involving perceptions of the collecting organization were expected and were found. For questions not expected to be so affected, answers were very similar.

4. Many of the questions in the basic questionnaire of the attitude survey had reference to the same, or related, underlying experiences, perceptions, or beliefs. When separate tallies of responses were compared, or cross-classification tabulations were made and examined, it was found that respondents were generally consistent in their replies.

5. One of the attitude survey supplementary field forms was an observation form to be filled out by the interviewer after each interview. It included questions about interview problems, respondent's understanding of the questions, suspicions of the survey, and interest in the interview. The interviewers' reports indicated that the interviews went well in the great majority of cases.

6. Another attitude survey supplementary field form was the interview reaction form to be filled out by the respondent after the interview. The great majority of respondents reported favorably on their understanding of the purpose of the survey and of the questions, length of the interview, opportunity to express their opinions, ease of answering the questions, and other aspects of the survey.

7. The basic questionnaire for the response behavior survey included a final block of questions on the respondent's recollection of the statement related to confidentiality that was read at the beginning of the interview. The questions were particularly pertinent to those who received one of the three alternatives that included a specific guarantee of confidentiality. Those

respondents exhibited a very good degree of recall, including, in the second and third options, recall of the precise number of years for which confidentiality had been promised. On the other hand, some of those who were given either of the two statements that did not guarantee confidentiality imputed such a guarantee in their recollection.

8. Noninterview rates for the two surveys were compared with those of other household surveys. They were somewhat higher than those for Census Bureau surveys, which had the advantages of being part of a continuing program, publicity, and advance notice. The attitude survey had the further handicap of requiring that a selected respondent be reached and interviewed. The noninterview rates, however, were low in comparison with those of most one-time surveys.

SPECIAL FIELD VALIDATIONS

Follow-up of Refusals in the Attitude Survey

It was felt that the analyses of reasons for not participating in surveys, as reported in the attitude survey, would be enhanced if opinions could be obtained from people who had refused to participate in the attitude survey. Accordingly, both the Survey Research Center and the Census Bureau attempted a follow-up study, by mail, of nonrespondents to the attitude survey.

The questionnaire used in the follow-up was similar to, but shorter than, the original attitude survey questionnaire, with questions added at the beginning on reasons for not having participated originally. The cover letter accompanying the questionnaire explained why the views of the selected individual were important, reiterated that the survey was voluntary, and offered anonymity (names were not recorded in the original canvass, and the follow-up letter stated that the recipient need not enter his or her name on the form).

The letter and questionnaire were sent to persons with a mailable address who had specifically refused to be interviewed; they were also sent to some noninterviewed individuals for whom the refusal status was more vague. The latter group included persons for whom no firm appointment could be made for an interview, even after repeated attempts. The follow-up was mailed to 93 respondents in the SRC half-sample and 61 in the Census Bureau half-sample. The mailing was sent in January 1977, about 3 months after the original interviewing. Only four returns were received from the SRC mailing and six from the Census Bureau mailing. Procedural factors that may have contributed to the low response included the delay in timing of the follow-up and the use of "Occupant" in the mailing address. The lag

was due in part to the necessity for official clearance of the new form. The follow-up questionnaire had a screening question to determine whether the recipient had moved into the housing unit since October 1976 and therefore was not an intended target for the follow-up. Such persons were asked to check the appropriate box and return the blank form. None of the 10 returns were from such persons.

As part of the original survey procedure, it was decided not to record the name of the person selected to be the respondent since it was felt that to do so might inhibit cooperation. Even had respondents' names been entered, names would not have been known for some of the nonrespondents. Thus it was necessary to send the follow-up mailing addressed only to "Occupant." The opening portion of the cover letter was an attempt to see that the questionnaire was directed to the appropriate person in the household. It is plausible to speculate that some recipients may have failed to open the letter, having seen "Occupant" as addressee and assuming it was junk mail.

There was only one mailing of the follow-up forms. Since the intended recipients had already indicated their unwillingness to participate in the original interview, it was felt that the single mail follow-up was as much as could be done. A few mailing pieces were returned by the postal service as undeliverable, and these were subsequently hand-delivered to the addresses by interviewers.

A statistical compilation of the 10 returns would not be very profitable. As a matter of interest, a content review of the responses is given below. Two of the returns consisted of only the second page of the questionnaire. A guess may be hazarded that the respondent may have removed the first page, which carried a form number and an approval number, in the belief that the numbers were a camouflaged individual identification. The first six returns described below are responses to the Census Bureau; the last four are responses to SRC.

1. *A white married male, born in 1915, with 2 years of college, permanently disabled, 1975 family income $20,000–$24,999, three-person household.*

He reported that he refused the earlier interview partly because of illness and partly because "I believe too much is known about average citizens already." He had not been approached during the past 4–5 years for any other survey, he felt strongly that other government agencies could obtain confidential census information if they really want to, he disagreed that surveys can be of great benefit, and he agreed they are an invasion of privacy. He strongly disagreed that surveys are the only way government has to collect certain kinds of information, and he agreed that most surveys are used for purposes other than what the interviewer says and that people do not usually answer truthfully. He disagreed that a promise of confidentiality

makes it easier for him to participate. He thought government in Washington can be trusted sometimes, that it is run by a few big interests, and that surveys are a waste of time and money and their results can hardly ever be trusted.

2. *A white married female, born in 1930, college graduate, housewife, 1975 family income $35,000+, six-person household.*

She reported that she had never been approached to participate in the original interview. She had been contacted and participated in a recent survey ("Census in Connecticut"). A promise of confidentiality had been extended, and she thought the promise was kept. She expressed strong agreement that other agencies could obtain confidential census information. She agreed that surveys can be greatly beneficial, that they are often the only way for government to collect certain data, and that a confidentiality promise makes it easier for her to participate. She neither agreed nor disagreed that surveys invade privacy, that they are used for purposes other than the ones stated, and that people do not usually answer survey questions truthfully. She felt government could be trusted most of the time and answered "don't know" to the remaining questions.

3. *A white married female, born in 1953, high school graduate, housewife, 1975 family income $10,000–$14,999, three-person household.*

She reported that she did not remember the earlier visit by the interviewer, but that her husband may have answered the door and "He has this thing about people going door to door. He thinks they want to sell stuff." She reported no previous recent survey contacts. She agreed that surveys can be greatly beneficial, that government often has no other means to collect certain data, and that a promise of confidentiality makes it easier for her to participate. She disagreed that other agencies could gain access to confidential census information. She had no opinion on the other scaled items. She felt government could be trusted some of the time, and she was noncommittal on the remaining questions.

4. *A white married male, born in 1926, high school graduate, employed, family income "NA," two-person household.*

He did not indicate whether he was approached for the original interview; he reported no other recent survey contacts. He strongly disagreed that other agencies can get confidential census information and that surveys are beneficial. He strongly agreed that surveys invade privacy, strongly disagreed that government has no other way to collect certain data, strongly agreed that surveys are used for other purposes than what interviewers claim, strongly disagreed that most people lie in surveys, and strongly agreed that confidentiality promises make it easier for him to participate. He thought government is run by a few big interests and that surveys are a waste of time and money and their results can hardly ever be trusted.

5. *A white divorced male, born in 1943, 1 year of college, employed, family income $15,000–$19,999, two-person household (first page of questionnaire missing).*

He strongly agreed that other agencies could get confidential census information, disagreed that surveys are beneficial, strongly agreed that surveys are used for other purposes than what the interviewer claims, agreed that respondents lie in surveys, and disagreed that a confidentiality promise makes it easier for him to participate. He felt government is run by a few big interests and that surveys are a waste of time and money and their results can hardly ever be trusted. He volunteered that "When the government takes steps to run and inquire into our daily lives it is the first step in loss of our personal freedom."

6. *A white single male, born in 1918, 3 years of high school, employed, 1975 income $5,000–$9,999, one-person household.*

No other information was filled out on the questionnaire.

7. *A white married female, born in 1925, college education, "retired professional" and housewife, income and number of persons in household "NA."*

She reported that she refused the earlier interview because she does "not believe in the validity or merit of 'surveys'—and I do object to the invasion of privacy involved in many surveys." She answered no other questions except to remark that she did not see how people can answer survey questions truthfully when they include queries on topics such as trusting the government and who runs the government.

8. *No personal information except the volunteered "Don't bother me, I was in the Army for 28 years . . . retired. . . . I had enough of that garbage while in service."*

He reported also that he did not participate in the original interview because the survey topic was "dumb," he desired privacy, and he was uneasy about letting strangers into the house. He had also refused one telephone survey within the past 4–5 years because it was "dumb." He strongly agreed that other government agencies could get confidential census data, that surveys invade personal privacy, and that they are used for purposes other than what the interviewer claims. He strongly disagreed that surveys are greatly beneficial, that people do not answer truthfully, that the government has no other way to collect certain data, and that a confidentiality promise makes it easier for him to participate. He felt that Washington government can be trusted some of the time, that government is run by a few big interests, and that surveys are a waste of time and money and can hardly ever be trusted.

9. *No personal information was given on this questionnaire.*

The respondent reported the first interview was refused because he had no time, the interviewer's attitude caused him to feel his privacy was invaded, and he feels uneasy about letting strangers into the house. There had been no previous survey contacts

in recent years. He felt strongly that other agencies could get confidential census data and that people do not usually answer survey questions truthfully. He agreed that surveys are often the only way the government can collect certain information and that a promise of confidentiality helps elicit his cooperation. He neither agreed nor disagreed that surveys invade privacy or that they are used for purposes other than what the interviewer says. He strongly disagreed that they are of great benefit. He felt government can be trusted some of the time, that it is run by a few big interests, that it "depends" whether surveys serve a good purpose, and that their results can be trusted some of the time.

10. *A white married male, born in 1919, high school graduate, employed, 1975 family income $10,000–$14,999, three-person household.*

He did not remember the earlier visit by the interviewer. He has been contacted for no other survey in recent years. He checked strong agreement for the items dealing with the ability of other agencies to get confidential census data, the invasion of privacy of surveys, the idea that surveys are used for purposes other than those mentioned by the interviewer, the lack of truthfulness with which people answer survey questions, and whether a promise of confidentiality makes it easier for him to participate. He expressed strong disagreement that surveys are greatly beneficial or that government often has no other way to collect certain data. He answered "don't know" to the remaining questions.

Experiment in Validating Reported Prior Survey Experience in Attitude Survey

In the attitude survey the questions in the first section of the basic questionnaire inquired about the respondent's survey contacts and participation during the preceding 4–5 years. It was decided to conduct an experiment in recall validation by administering the attitude survey questionnaire to a selected group of persons known to have had a survey contact during that period. The fieldwork and coding for this experimental study have been completed, but, unfortunately, from lack of time and resources, the analysis of the returns has not been completed. The Panel recommends that this work be done.

The Census Bureau selected a sample of 268 addresses of households that had been included once or twice in the National Crime Survey city sample. (That survey on criminal victimization was conducted by the Census Bureau under the sponsorship of the Law Enforcement Assistance Administration.) A considerable oversampling of units that had refused to be interviewed in the crime survey was included. The Survey Research Center selected 191 units from surveys it had conducted: its 1976 Omnibus Survey and an associated experiment in random-digit telephone dialing. These units also included a large oversampling of refusals in those surveys.

Interviewers attempted to conduct interviews with each of the selected units, using the attitude survey questionnaire. The experimental plan included analysis of the returns to see whether the known prior survey contact was accurately reported. (If the known instance was only one of a number of contacts, participations, or nonparticipations reported and was not the most recent one, there would be only limited information to match.)

Because of the small number of cases, subject to further reduction due to household mobility, and because the selection did not comprise a national probability sample, it was not expected that the survey would yield valid generalizations about recall accuracy but rather would constitute a procedural test.

The tables below provide some information about the cases. It should be noted that in quite a few cases the household occupying the designated housing unit at the time the attitude survey interviewer visited it was different, or partly different, from the household present at the time of the earlier survey. Matching and identification of households has not yet been completed.

Table 1 shows the outcome of the application of the attitude survey in March 1977 by the Census Bureau to cases included in the National Crime Survey in 1973–1975. The type of approach in both the crime survey and the recontact by the attitude survey was personal interview.

The SRC cases (Table 2) included 119 from its Omnibus Survey conducted by personal visit in April and May of 1976 and 72 from an experiment in

TABLE 1 Census Bureau Test

Interview Status in Subsequent Attitude Survey	Interview Status in National Crime Survey		
	Total	Interviewed	Refusals
Total	268	220	48
Out of scope (vacant, demolished, etc.)	19	15	4
Interviewed	205	176	29*
Not interviewed	44	29	15
Refusals	29	17	12
Other	15	12	3

* Of the 29 attitude survey interviews obtained at addresses where refusals had been recorded in the crime survey, 14 were with replacement households, i.e., households that had moved into the unit since the crime survey contact. Household identity has not yet been fully checked for other groups of households in this test.

random-digit telephone dialing conducted during the same time and using essentially the same questionnaire. As in the Census Bureau part of the test, different interviewers were generally used for the recontact and they were not told whether the earlier contact had resulted in a response or nonresponse. The attitude survey contacts were made in January and February of 1977. Personal visits were used for all nonrespondent cases from the Omnibus Survey and for a portion of the respondent cases; for the remainder, telephone calls were used. The telephone approach was used for all the cases selected from the random-digit dialing test survey (all these cases had originally been interviewed by telephone).

TABLE 2 Survey Research Center Test

Interview Status in Subsequent Attitude Survey	Omnibus Survey (Personal Visit)		Random-digit Dialing Survey (Telephone), Interviewed*
	Interviewed	Not interviewed	
TOTAL	53	66	72
Personal Visit			
TOTAL	32	66	
Out of scope (vacant, demolished, etc.)	—	6	
Interviewed	22	14	
Not interviewed	10	46	
Refusals	7	26	
Other	3	20	
Telephone			
TOTAL	21		72
Out of scope (telephone disconnected, etc.)	—		10
Interviewed	18		46
Not interviewed	3		16
Refusals	3		15†
Other	—		1

* Noninterviewed cases in the random-digit dialing experiment could not be identified adequately for resurvey purposes.

† In the original dialing experiment, respondents were told that they would not be recontacted in that survey. Although the attitude survey was a different survey, it was felt undesirable to pursue those who indicated reluctance to be interviewed again. The refusal rate for this group thus is higher than might have been obtained under usual survey circumstances.

Administration of Response Behavior Questionnaire to Sample of Attitude Survey Respondents

It is recognized that expressed attitudes may not be reliable predictors of behavior in a specific real situation. The response behavior survey was planned as a small-scale test of a device to measure behavior in a specific confidentiality situation, as contrasted with the attitude survey, which was planned as an experiment in eliciting broad indications of attitudes on a number of topics related to privacy and confidentiality. To experiment in studying the relationship between such expressed attitudes and behavior, albeit on a small scale, it was decided to follow up a sample of the respondents in the attitude survey and administer the five-treatment response behavior questionnaire to them. The cases were selected from those interviewed in the attitude survey (described in Chapter 2), but these cases are in addition to those covered in the basic sample survey of behavior response (described in Chapter 3). The data presented there are based on a sample drawn independently of the attitude survey sample.

For this validation experiment, 200 cases were systematically selected from the 599 interviews in the Census Bureau's half-sample of the attitude survey. (It would have been useful to conduct a similar validation experiment with cases drawn from the Survey Research Center half-sample of the attitude survey, but confidentiality restrictions precluded the disclosure of listings from one agency to the other, and it was not feasible to divide the experimental undertaking between the two organizations. The 200 cases selected for the validation study included only interviewed cases. It might have been experimentally useful to include units that had refused to participate in the attitude survey, but the number of such cases was too small to be used effectively. Even if all 41 refusals in the Census Bureau's half-sample of the attitude survey has been included, there would have been only 8 cases per treatment in the five-treatment follow-up.

Of the 200 selected attitude survey interviews, 40 each were designated for the five different confidentiality treatments of the response behavior survey questionnaire. Interviews for this experiment were conducted in February and March of 1977; the original attitude survey interviews were conducted around October 1976. Table 3 shows the result of the response behavior follow-up in terms of interviews and noninterviews.

After the response behavior survey questionnaires were completed, they were matched with earlier attitude survey questionnaires to see if the respondents were the same. In some cases there had been a change in housing unit occupants between the two surveys. Since the respondent's name had not been recorded on the attitude survey form, judgments had to be made

TABLE 3 Interview and Noninterview Counts for Response Behavior Follow-up of Attitude Survey Respondents

Response Behavior Survey Confidentiality Statement*	Cases Selected	Out of Scope (Vacant, Demolished, etc.)	Not Interviewed			
			Interviewed	Refused Before Statement Read	Refused After Statement Read	Other
TOTAL	200	10	174	7	5	4
A	40	—	35	3	1	1
B	40	—	36	3	—	1
C	40	3	35	1	1	—
D	40	4	35	—	—	1
E	40	3	33	—	3	1

* See Chapter 3.

in some instances as to whether there was a match. Of the total of 190 in-scope cases, 163 were matched, including 152 who were interviewed in the response behavior follow-up and 11 who refused to be interviewed.

Like the attitude and response behavior surveys themselves, this validation experiment was undertaken as a procedural test on a small scale. The sample, and particularly the number of refusals in the follow-up survey, was too small to support any definitive findings of association or lack of association between expressed attitudes and response patterns. To complete the procedural exercise, tabulations were made of the matched cases, cross-classifying response or refusal in the response behavior survey against experiences and opinions reported by those in the attitude survey. Among the attitude survey topics tabulated were prior survey contacts and participation, knowledge of survey organizations, trust in surveys, trust in government, perceived importance of confidentiality guarantee, and belief in confidentiality of census records.

Administration of Response Behavior Questionnaire to Sample of Respondents in a Census

The response behavior survey was designed to test whether and how response would vary under differently stated conditions of confidentiality. The possible variations in response might be manifested in different refusal rates, but they might also be manifested in differences in quality of response.

It could be hypothesized, for example, that some persons, given a non-reassuring statement about confidentiality, would nevertheless answer the survey questions, but would be less candid in their answers to sensitive questions than they would be if given a more reassuring statement.

Various suggestions were made for testing the validity of response, including adding some of the experimental households to later Census Bureau surveys, such as the Current Population Survey or the National Crime Survey, and comparing the results item by item. The regular survey responses would be considered as the standard because confidentiality is promised unequivocally in those programs. It was also suggested that validity could be checked for some items by comparing the responses in the experimental survey with administrative records such as tax returns and Social Security records.

It was decided to make a test examination of validity of response by administering response behavior survey questionnaires to a sample of households in an area in which the Census Bureau had conducted a recent census under the usual census strong guarantee of confidentiality. The area selected was the city of Taylor, Michigan, where a special census had been conducted in May 1976.

A systematic sample of 500 households from the Taylor census records was selected. These were then combined into 100 pseudosegments of five units each: five consecutive sample listings form a pseudosegment. The units within a segment were geographically close to one another because the listing from which they were drawn was in enumeration district order. The 100 segments were then assigned for interview in the same way as those of the national response behavior survey sample: that is, each of the five confidentiality treatments was randomly administered to one of the five units in each segment by personal interview. The interviewing was carried out in November 1976.

Table 4 shows the interview record for the 500 selected units. After the response behavior survey questionnaires were completed, they were matched with earlier special census questionnaires for those housing units to see if the occupants were the same. Table 5 shows the numbers of matched cases.

The matched cases were compared for each of the limited number of items recorded in the Taylor census, except race, which was recorded on the basis of interviewer observation in both the census and the survey. It should be kept in mind that Taylor, Michigan, is not a microcosm of the United States; it differs markedly from the national average in demographic characteristics, as Table 6, taken from 1970 census reports, demonstrates.

The experiment was conducted as a test of methodology, using the Taylor

TABLE 4 Interview and Noninterview Counts for Response Behavior Survey of Taylor Census Respondents

Response Beahvior Survey Confidentiality Statement*	Cases Selected	Out of Scope (Vacant, Demolished, etc.)	Inter-viewed	Not Interviewed		
				Refused Before Statement Read	Refused After Statement Read	Other
TOTAL	500	23	441	21	11	4
A	100	4	91	4	—	1
B	100	6	85	4	4	1
C	100	6	87	5	2	—
D	100	4	92	1	3	—
E	100	3	86	7	2	2

* See Chapter 3.

special census because it was the only one taken at an appropriate time that included questions on income as well as the basic demographic items typically included in special censuses. In addition to the choice of area, a further consideration affecting tests of this sort is the possibility of preconditioning of respondents. The special census was taken by Census Bureau interviewers, who gave all respondents a standard and unequivocal guarantee of confidentiality. Recollection by respondents of this guarantee may have carried over to the subsequent response behavior survey and exerted a

TABLE 5 Matched Cases in Response Behavior Follow-up of Taylor Census

Confidentiality Statement	Interviewed in Response Behavior Survey		
	Total	Same Household	Different Household
TOTAL	441	388	53
A	91	80	11
B	85	75	10
C	87	78	9
D	92	82	10
E	86	73	13

TABLE 6 Selected Demographic Measures for Taylor, Michigan, and for the United States: 1970

	Taylor	United States
Population	70,020	203,211,926
Percent white	99.5	87.5
Percent under 18 years old	43.6	34.3
Percent 65 years old or older	3.1	9.9
Percent married*		
Male	73.9	65.8
Female	72.7	61.3
Fertility ratio†	489	352
Persons per household	3.77	3.11
Percent of population in group quarters	0.3	2.9

* In age group 14 years old and over.
† Number of children under 5 years old per 1,000 women 15-49 years old.

damping effect on the variation in confidentiality statements that was a feature of that survey.

Some of the results of the comparison of matched cases are summarized in Tables 7–10. Differences in numbers or identity of persons counted in the census and in the subsequent response behavior survey may represent inconsistency in response or may represent actual changes in household composition that occurred between the two enumerations (see Table 7). Differences in total household income may represent inconsistency in response or may represent changes in household composition that occurred between the two enumerations (see Table 10).

TABLE 7 Comparison of Identity of Persons in Matched Interviewed Households in Taylor Census and Response Behavior Follow-up Survey

Confidentiality Statement	Matched Interviewed Households	All Persons Same	One or More Persons Different	Number of Identical Persons
TOTAL	388	308	80	1,231
A	80	67	13	257
B	75	56	19	237
C	78	55	23	239
D	82	69	13	251
E	73	61	12	247

TABLE 8 Comparison of Year of Birth for Identical Persons in Matched Interviewed Households in Taylor Census and Response Behavior Follow-up Survey

Confidentiality Statement	Identical Persons	Year of Birth			
		Same	Census More Recent	Survey More Recent	NA in Census or Survey
Total	1,231	1,089	76	46	20
A	257	231	13	11	2
B	237	202	18	13	4
C	239	205	20	7	7
D	251	226	12	6	7
E	247	225	13	9	—

TABLE 9 Comparison of Relationship to Household Head for Identical Persons in Matched Interviewed Households in Taylor Census and Response Behavior Follow-up Survey

Confidentiality Statement	Identical Persons	Relationship	
		Same	Different
Total	1,231	1,187	44
A	257	248	9
B	237	232	5
C	239	227	12
D	251	238	13
E	247	242	5

RECOMMENDATIONS BASED ON SURVEY VALIDATION EXPERIENCE*

9. One of the validation experiments ancillary to the pilot attitude survey was the administration of the attitude survey questionnaire to groups of persons known to have been included in other surveys, to test the validity of the reporting of prior survey experience in the attitude survey. The Panel

*Numbering of recommendations is that of Chapter 1.

TABLE 10 Comparison of 1975 Household Income for Matched Interviewed Households in Taylor Census and Response Behavior Follow-up Survey

Confidentiality Statement	Matched Interviewed Households	Household Income			
		Same	Census Higher	Survey Higher	NA in Census or Survey
Total	388	193	36	67	92
A	80	41	8	15	16
B	75	36	3	17	19
C	78	32	8	17	21
D	82	49	4	10	19
E	73	35	13	8	17

recommends that the processing be completed and analysis be made of this potentially useful investigation.

10. If new attitude or response behavior surveys are conducted, the validations that were included in connection with the pilot surveys should be repeated, on a large enough scale to support definitive analysis. In addition, validation tests that were proposed but not done in the present study should be considered: these include conducting portions of the surveys by different approaches (personal interview, mail, telephone); having trained observers present in a subsample of the interviews; ascertaining the interviewers' beliefs regarding privacy and confidentiality issues to see if these affect the results they obtain; matching survey returns with administrative records such as tax returns and Social Security records; and conducting a response behavior survey, or a portion of it, by an organization other than the Bureau of the Census.

APPENDIX B

Mathematical Notes

SAMPLING ERRORS IN THE ATTITUDE SURVEY

General

Most of the statistics from the attitude survey, presented in Chapter 2, are estimated proportions of the population, or proportions of a subuniverse within the total population. The proportions are usually expressed as percentages of the appropriate base. If the sampling had been simple random, the estimated variance of an estimated proportion P would be

$$S^2 = \frac{P\,(1 - P)}{n} \tag{1}$$

where n is the sample base and the effective sample size of the proportion; the estimated standard error of the proportion P would be S, the square root of S^2.

Computation of sampling error for survey designs that are not simple random—as in the attitude survey—is more complicated. Geographic clustering (introduced to save travel cost) tends to increase sampling variance, while stratification tends to decrease variance. Let $\hat{S}^2$ represent the estimated variance for items in the attitude survey. Then the ratio of $\hat{S}^2$ to S^2 is called the design effect (DE) of the survey. For most items in the attitude survey, the square root of the design effect is sufficiently close to unity that the magnitude of the standard error of an estimated percentage can be approximated by S; empirical justification for this is offered in Tables 2 and 3.

TABLE 1 Approximate Standard Errors of Estimated Percentages in the Attitude Survey for Selected Percentages, p, and Bases of the Percentages, n, Derived from Equation (1)

Estimated Percentage, p	Approximate Standard Error, Percentage Points					
	n = 100	n = 200	n = 400	n = 600	n = 800	n = 1,000
10 or 90	3.0	2.1	1.5	1.2	1.1	0.9
20 or 80	4.0	2.8	2.0	1.6	1.4	1.3
40 or 60	4.9	3.5	2.4	2.0	1.7	1.5
50	5.0	3.5	2.5	2.1	1.8	1.6

With appropriate shifting of the decimal point, the estimated standard error of a proportion can be expressed in percentage points, for convenience in assessing the precision of the estimated percentages in the tables of the attitude survey. An illustrative set of approximate standard errors is given for selected percentages and values of sample size n in Table 1.

As noted, the square root of the design effect in the attitude survey approached unity for most items. The Survey Research Center calculated values of $\hat{S}^2$, S^2, and *DE* for each of 73 items in the survey. The numerator of the estimated *DE* was calculated by standard procedures employed by the Survey Research Center in its surveys; for a description of the process see Kish *et al.* (1970). The denominator comes from equation (1). The distribution of the resulting values of the square root of the design effect is shown in Table 2.

It should be remembered that the estimated design effect for any item is itself subject to a sampling error and that an estimated *DE* that differs from unity may reflect either a true *DE* that is different from unity or only sampling error in the estimated *DE*. Conversely, an estimated *DE* of 1.0 may relate to an actual *DE* that is not precisely unity.

Special Features of Attitude Survey Standard Errors

The total attitude survey sample consisted of two approximately equivalent half-samples, one administered by the Census Bureau and the other by the Survey Research Center. The standard error guidelines presented in Table 1 above may be used for the total survey, or for either the Census Bureau part or the SRC part, with appropriate sample base n.

If p_c is an estimated percentage from the Census Bureau part and p_s is the comparable percentage from the SRC part, the standard error of an

observed difference, $d = p_c - p_s$, can be estimated, with only slight overstatement, by the formula,

$$\hat{S} = (\hat{S}_c^2 + \hat{S}_s^2)^{1/2}$$

where $\hat{S}_c^2$ is the estimated variance of p_c and $\hat{S}_s^2$ is the estimated variance of p_s, values of $\hat{S}_c$ and $\hat{S}_s$ being taken from Table 1, and $\hat{S}$ is expressed in percentage points. The slight overstatement arises from the likelihood of a low-order correlation between p_c and p_s, because the two halves of the survey queried households in the same general neighborhoods. For practical purposes, the standard errors of the Census Bureau part and of the SRC part on the same question may be considered equal.

In some of the questions, the respondent could choose between two or more options. For example, the respondent might indicate a preference for (1) mail inquiry, (2) telephone interview, or (3) face-to-face interview. Suppose the results for n respondents were as follows:

Method Preference	Proportion Preferring
Mail	P_1
Telephone	P_2
Face to face	P_3

One might wish to estimate the precision of the observed difference, e.g., $D_{13} = P_1 - P_3$. An acceptable approximation to the sampling variance of D_{13} is $\hat{S}_{13}^2 = (1/n)\,[P_1 + P_3 - (P_1 - P_3)^2]$. The estimated standard error

TABLE 2 Frequency Distribution of the Square Root of the Design Effect in the Attitude Survey for 73 Items on the Questionnaire

$(DE)^{1/4}$ Value*	Number of Items †
Less than 0.8	1
0.8	5
0.9	18
1.0	23
1.1	12
1.2	6
More than 1.2	8

* To the nearest one-tenth. The smallest and largest values were 0.6 and 1.9, respectively.

† The 73 items cover the full range of topics and of sizes of proportions estimated in the survey.

of D_{13} is the square root of $\hat{S}_{13}^2$. (Note that the P's are proportions, not percentages, in this formulation: for example, 25 percent is expressed as 0.25.)

Standard Errors for Selected Items

Table 3 offers illustrative, directly calculated standard errors for a selection of items from the survey. These calculations were made by the Survey Research Center. (For comparison, see the values in Table 1 and the discussion above.)

SAMPLING ERRORS IN THE RESPONSE BEHAVIOR SURVEY

General

Throughout the text of Chapter 3 on the response behavior survey, the sampling precisions of statistics that led to principal substantive conclusions are presented. In this appendix, the methods underlying the calculations of those estimated standard errors are outlined. Attention is called again to design effect, which is numerically different in the behavior survey from the value prevailing in the attitude survey. Knowledge of the design effect appropriate to the survey permits a reader to compute an approximate estimated standard error for any statistic that is a proportion (possible range, 0–1), using only elementary sampling theory, and thus provides a means of determining the magnitude of sampling precision for other statistics.

If P is the statistic of interest and n the number of sample cases in the base to which the proportion is related, the estimated variance of the statistic, $\hat{S}^2$, is simply

$$\hat{S}^2 = \frac{(DE)P(1 - P)}{n}.$$

The estimated standard error of P is the square root of $\hat{S}^2$.

Variances and Standard Errors of Key Refusal Rates

Using the full sample design, variance and standard errors were calculated for the key refusal rates for each of the treatments. Results are shown in Table 4, which also includes calculation of the estimated design effect for the survey.

The standard error of an estimated key refusal rate for a given treatment is approximately 0.8. Largely because refusal is a rare event, the correlation

between treatment estimates of refusal rates is trivial. (Of the 488 clusters of five households each, only three clusters had more than one refusal, and those three had only two refusals each.) Hence the estimated standard error of the difference in estimated refusal rates for any two treatments is the square root of the sum of variances of the rates for the two treatments; it averages 1.1.

The design effect appears stable at a value near 1.36. Consequently, this value is used in securing approximate standard errors for other statistics from the survey.

In method I, separate variances were computed for each of the two substrata (high-black and other) and added to secure total variance. Let X'_{ij} be the estimate of the X-characteristic for the ith substratum and the jth treatment. The estimator is

$$X'_{ij} = w_i \sum_{k}^{n_i} \frac{n_i m_{ik} X_{ijk}}{M_i},$$

in which

X_{ijk} is the unweighted value (always equal to 0 or 1) of the treatment j household in cluster k of the ith substratum

n_i is the number of sample clusters (groups of five households) in substratum i

m_{ik} is the number of eligible households in the kth cluster of substratum i

M_i is $\sum_{k}^{n_i} m_{ik}$

w_i is a weight to adjust for differential sampling in the substrata: $w_1 = 2$, $w_2 = 1$.

and its estimated variance (see Goldfield *et al.*, 1978) is

$$\text{Var } X'_{ij} = \frac{w_i^2 n_i^2}{M_i^2} \sum_{k}^{n_i} m_{ik}^2 (X_{ijk} - \bar{X}'_{ij})^2$$

in which

$$\bar{X}'_{ij} = \left(\sum_{k}^{n_i} X_{ijk} m_{ik} \right) / M_i .$$

TABLE 3 Standard Errors and Square Roots of Design Effect for Selected Items in the Attitude Survey*

Chapter 1 Table Number	Item	Estimated Percentage, p	Sample Base,† n	Estimated Standard Errors, Percentage Points			
				Total Sample	SRC Part	Census Bureau Part	$(DE)^{1/2}$
6	Respondent a male head of household	42	1,187	1.4	1.7	1.8	1.0
24	In most recent nonresponse to personal-visit survey, the national government was survey sponsor‡	9	33	5.0	7.2	6.0	1.0
29	Respondent did not participate in most recent mail survey because of distrust in research or sponsor	3	218	1.2	1.4	2.0	1.0
32	Respondents who prefer face-to-face method of data collection	51	1,187	1.6	2.3	2.3	1.1

42	Believe surveys can be trusted only some of the time or hardly ever because of deliberate bias	21	693	2.0	2.5	3.4	1.2
49	Believe some types of organizations can be trusted more than others to keep survey responses confidential	39	1,187	1.4	2.4	1.5	1.0
50	National government is type of organization trusted most to keep survey responses confidential	42	529	2.4	4.0	2.7	1.1
52	Private company is type of organization trusted least to keep survey responses confidential	53	491	2.4	3.8	3.1	1.0
56	Believe that census individual survey records are not open to public§	66	628	2.2	2.6	3.0	1.1

* The items were selected to display standard errors for wide ranges of values of p and of sizes of sample base.
† Number of persons given opportunity to be classified into the category.
‡ Base excludes "don't remember" and NA for this example.
§ Base excludes "don't know" and NA for this example.

TABLE 4 Estimated Sampling Precision of Refusal Rates

Treatment, i	Refusal Rate R_i, Percent	Sample Size, n_i	Variance of R_i		Design Effect Method I Divided by Method II	Estimated Standard Error of R_i, $\hat{S}_i$
			Method I*	Method II†		
A	1.80	469	0.518	0.377	1.37	0.72
B	1.91	470	0.533	0.398	1.34	0.73
C	2.31	465	0.656	0.485	1.35	0.81
D	2.67	468	0.757	0.555	1.36	0.87
E	2.82	465	0.810	0.589	1.38	0.90
Average design effect					1.36	

* Method I takes into account the full design of the response behavior survey.
† Method II calculates variance as though the survey had utilized simple random sampling with the same number of cases.

Notes:

1. For a given i and j there is only one value of X_{ijk} in each cluster.
2. The between-PSU component of variance is not taken into account by the estimator; thus all estimated variances are conditional upon the particular set of 20 PSU's used in this experiment.
3. The estimated variance for substratum 1 treatment j is added to the estimated variance for substratum 2 treatment j to obtain the total estimated variance for treatment j. Because the estimated variances are conditional on the selected 20 PSU's and X'_{1j} and X'_{2j} are independent within a PSU, there is no covariance term between X'_{1j} and X'_{2j}.

REFERENCES

Goldfield, Edwin D., Anthony G. Turner, Charles D. Cowan, and John C. Scott. 1978. "Privacy and Confidentiality as Factors in Survey Response." In *American Statistical Association Proceedings of the Social Statistics Section, 1977, Part I.* Washington, D.C.: American Statistical Association, pp. 219–299.

Kish, Leslie, Martin R. Frankel, and Neil Van Eck. 1970. *Sampling Error Program Package.* Ann Arbor: Survey Research Center, University of Michigan.

APPENDIX C

Survey Field Forms

ATTITUDE SURVEY

Cover Sheet (pp. 191–192) There were eight versions of the cover sheet, differing in selection table (see p. 192). The interviewer used the selection table to make a random selection of an adult respondent, after listing household members 18 years old and over in the preceding section of the cover sheet. The cover sheet also included an introductory statement to be read by the interviewer to the respondent at the beginning of the interview. A copy of the introductory statement was given to the respondent.

Noninterview Form (pp. 193–196) The noninterview form was filled out by the interviewer for all sample households for which an interview could not be obtained.

Interview Booklet (pp. 197–223) The 25-page booklet was the main interview form.

Respondent Booklet (pp. 224–226) The respondent booklet consisted of flash cards for the respondent to look at in answering certain questions.

Interview Reaction Form (pp. 227–230) The 4-page interview reaction form was given to the respondent after the interview to be filled out and returned to the interviewer in a sealed envelope.

"By Observation" Form (pp. 231–232) This form was filled out by the interviewer after the interview.

Refusal Follow-up Letter and Form (pp. 233–237) Persons who had refused to be interviewed in the personal-visit attitude survey were sent a follow-up letter and form (see Appendix A).

RESPONSE BEHAVIOR SURVEY

Interview Booklet (pp. 239–243) There were five versions of the main interview form (which included a section for recording callbacks and noninterviews). The five versions differed only in form number, PCS-200A (included here) to PCS-200E, color of ink, and in the second paragraph of the statement on the first page, to be read by the interviewer to the respondent at the beginning of the interview:

PSC-200A. Your answers to this survey will be used only to form statistical totals and averages that will not identify you personally in any way. Your answers are confidential and will never, at any time, be given to any other agency or to the public.

PSC-200B. Your answers to this survey will be used to form statistical totals and averages that will not identify you personally in any way. Your answers will be kept confidential for 75 years; however, after that time they may be given to other agencies and to the public.

PCS-200C. Your answers to this survey will be used to form statistical totals and averages that will not identify you personally in any way. Your answers will be kept confidential for 25 years; however, after that time they may be given to other agencies and to the public.

PCS-200D. (No second paragraph, i.e., no statement about confidentiality.)

PCS-200E. Your answers will be used to form statistical totals and averages. Your individual answers may also be given to other agencies and to the public.

The interview booklet contained 38 numbered items and a final page for the interviewer's explanatory notes. The first page of the booklet included items 1–9, for administrative and control purposes, and for introduction to the interview, and the particular second paragraph statement assigned to the household. Items 10–26 applied to each individual person in the household. As used in the field, the form carried columns for up to eight household members. As reproduced here, columns for persons three to eight (pp. 4–9 of the form), which are identical to those for persons one and two, have been omitted in order to avoid unnecessary duplication. Page 12 (space for interviewer's notes) is also not reproduced. Items 27–37 relate to information for the sample household. The final item, 38, with five parts, repre-

sented an attempt to evaluate the accuracy of the primary respondent's recall of the introductory statement concerning confidentiality.

Letter to Respondent (p. 245) There were five versions of the letter, given by interviewer to respondent after the interview; the versions corresponded to the variation in the statement on confidentiality at the beginning of the interview. The one on page 245 was used for interviews in which interview booklet PCS-200D was used, with no initial statement on confidentiality.

For Office Use Only

Your Interview No.

COVER SHEET

Attitudes About Surveys--1976
P. 468151

NOTICE – Your report to the Census Bureau is confidential by law (Title 13, U.S. Code). It may be seen only by sworn Census employees and may be used only for statistical purposes.

UNITED STATES DEPARTMENT OF COMMERCE
Bureau of the Census
Washington, D.C. 20233

INTERVIEWER'S LABEL

1. Primary Area _____ 2. Sample Location _____

3. Segment No. _____ 4. Line No. _____

5. Address (or description) _____

_____

6. INTERVIEWER: ARE THERE ANY PREVIOUSLY UNLISTED HUs AT THIS LISTING SHEET ADDRESS?

[1. YES] [5. NO]

6a. How many? _____ (PREVIOUSLY UNLISTED)

MAKE OUT A COVER SHEET FOR EACH PREVIOUSLY UNLISTED HU AT THIS LISTING SHEET ADDRESS. USE A UNIQUE IDENTIFICATION FOR EACH SUCH HU. ADD NECESSARY IDENTIFICATION TO ITEM 5 ABOVE.

7. Call Record

Call Number	1	2	3	4	5	6	7	8
Date								
Day of Week								
Time of Day								
Result								
Interviewer's Initials								

8. Call Notes: _____

_____

_____

_____

EVERY SAMPLE LISTING MUST BE ACCOUNTED FOR BY RETURNING A COVER SHEET **and** AN INTERVIEW (WITH AN OBSERVATION SHEET) **or** A COVER SHEET AND A NONINTERVIEW FORM.

Attitude survey, cover sheet (see p. 187).

List all members of the household 18 years and older by their relationship to the Head. **2**

(a) Household members by relationship to Head	(b) Sex	(c) Age	(d) Person Number	(e) Enter "R" to Identify Respondent
A HEAD OF HOUSEHOLD				
B				
C				
D				
E				
F				
G				
H				
I				
J				

For (a) See pages 92-93 of the Interviewer's Manual (1976 edition)

For (d) Assign number "1" to the oldest male, number "2" to the next oldest male, and so on until all eligible males are numbered. Continue the number sequence, numbering eligible females from oldest to youngest; the oldest female gets the next number after the youngest male, etc.

For (e) Use the selection table on the right to determine the number of the person to be interviewed. In the first column of the selection table, circle the number of eligible persons--the highest number assigned in column (d). The corresponding number in the second column of the selection table denotes the person to be interviewed. In column (e) enter letter "R" to identify the respondent.

SELECTION TABLE B_1	
If the number of eligible persons is:	Interview the person numbered:
1	1
2	1
3	1
4	1
5	2
6 or more	2

INTERVIEWER: THE FOLLOWING INTRODUCTION MUST BE READ TO EACH RESPONDENT.

The U. S. Bureau of the Census, under the auspices of Title 13 of the U.S. code, is conducting this study on people's attitudes about surveys. The interview will give us a better understanding of how people feel about surveys and help us make them more worthwhile and interesting.

The answers you give will be added together with the answers of all the other people we talk with and used in a report presenting a cross-section of public thought and experience on this topic. No information that would tell how you personally answered will ever be released.

Of course, this interview is completely voluntary. If we should come to any question you don't want to answer, just let me know and we'll skip over it.

I think you'll find the questions interesting and you'll want to give them careful thought.

Attitude survey, cover sheet (see p. 187), continued.

NONINTERVIEW FORM FOR HOUSEHOLD SAMPLES

P. 468151

51. REF (R)
52. REF (O)
53. REF (U)
61. HOCAT (DR)
62. HOCAT (UR)
63. HIP (DR)
64. HIT (DR)
67. HIO (UR)
81. SLIP
83. VTS
71. HV
72. SV
91. HHR

DO NOT WRITE ABOVE THIS LINE

FOLLOW-UP INTERVIEWER'S LABEL	ORIGINAL INTERVIEWER'S LABEL

NR1. Total number of calls _____ NR2. Date of last call _____

NR3. Primary Area _____ NR3a. Segment No. _____ NR3b. Line No. _____

NR4. Address or description _____

NR5. Post Office _____ State _____ ZIP _____

NR6. OMITTED

NR7. Does this listing describe an HU in the sample segment identified in NR3?

1. YES, Seasonal
3. YES, Other
5. NO → GO TO NR20

NR8. This HU is located in a:

1. TRAILER IN A MOBILE HOME PARK
2. TRAILER IN OTHER LOCATION
3. BUILDING WITH NO OTHER HU'S
4. BUILDING WITH OTHER HU'S → NR8a. About how many units? _____
7. OTHER (DESCRIBE) _____

(IF NOT TRAILER)
NR8a. How many floors are in this building? _____

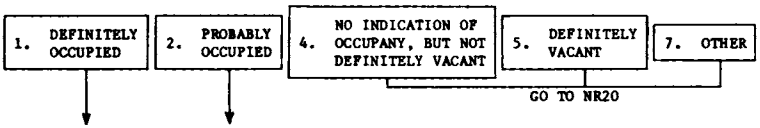
NR9. Is public access to this HU restricted in any way?

1. YES → NR9. DESCRIBE: _____
5. NO

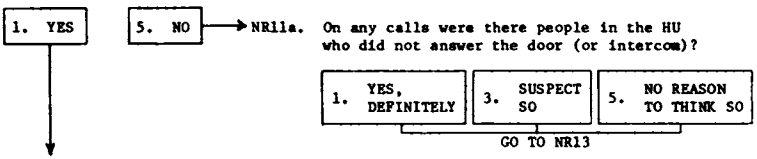
Attitude survey, noninterview form (see p. 187).

NR2

NR10. Is this HU occupied?

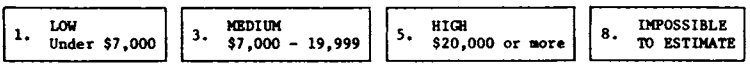


NR11. Were you ever able to talk with someone at this HU (need not be resident)?



NR12. OMITTED.

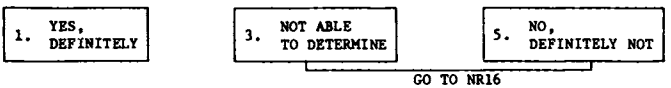
NR13. What is the estimated income of R's family? (NOTE: IF MULTIPLE FAMILIES AND R NOT DETERMINED, ESTIMATE FOR PRIMARY FAMILY.)



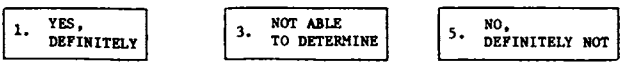
NR14. What is the race of the residents?

	DEFINITELY	PROBABLY
WHITE	1. ☐	3. ☐
BLACK	2. ☐	4. ☐
OTHER (DESCRIBE)_____	6. ☐	7. ☐

NR15. Is there a telephone in this HU?



NR15a. Is this telephone currently disconnected?



Attitude survey, noninterview form (see p. 187), continued.

NR16. What attempts were made to establish whether or not the HU has (a) working telephone(s)? (CHECK ALL THAT APPLY.)

- ☐ a. Saw or heard a telephone in the HU
- ☐ b. Inquired of or was told by someone at the HU
- ☐ c. Inquired of someone else (e.g., neighbor, doorman)
- ☐ d. Looked up name in phone book, or called directory assistance
- ☐ e. Used city directory or reverse listing
- ☐ f. Other (SPECIFY): _____

NR17. Enter all the information you have about the household composition.

(a) Household members by relationship to Head	(b) Sex	(c) Age	(d) Eligible Person Number	(e) Enter "R" to Identify Respondent

NR18. Selection table letter from cover sheet. ☐

NR19. Were you able to obtain complete listing box information on all persons to be listed above?

- ☐ 1. YES — GO TO NR20
- ☐ 3. NO, BUT R DETERMINED
- ☐ 5. NO, DON'T KNOW R. IF R UNDETERMINED GIVE YOUR BEST GUESS IN ITEMS NR18a-d

NR19a. Number(s) of eligible persons living in the HU.

(# MALES ____) + (# FEMALES ____) + # SEX NOT ASCERTAINED ____ = (TOTAL # ____)

NR19b. Is there a married couple in the HU? ☐ 1. YES ☐ 5. NO ☐ 8. DK

NR19c. Sex of household head? ☐ 1. MALE ☐ 2. FEMALE ☐ 8. DK

NR19d. Estimated age of household head? ☐ 1. UNDER 30 ☐ 2. 30-64 ☐ 3. 65 OR OLDER ☐ 8. DK

Attitude survey, noninterview form (see p. 187), continued.

NR4

NR20. Is reason for noninterview one of the following permanent conditions?

1. YES → NR20a. What is this condition?

5. NO → GO TO NR21

- ☐ 1. DECEASED AFTER LISTING
- ☐ 2. LANGUAGE (WHAT LANGUAGE?): _____
- ☐ 3. MENTAL OR PHYSICAL CONDITION (DESCRIBE): _____
- ☐ 4. MOVED OUT OF RANGE AFTER OCCUPANCY DETERMINED (If new address or phone number is known give it in .)

NR21. Describe in detail the reasons an interview was not taken.

**IF LISTING DESCRIBES SOMETHING OTHER THAN AN HU IN THIS SAMPLE SEGMENT indicate what you found.

**IF UNABLE TO GAIN ACCESS what attempts were made? (Try to obtain names, addresses and phone numbers of persons to contact re: gaining access.)

**IF YOU HAVE BEEN UNABLE TO DETERMINE WHETHER AN HU WAS OCCUPIED OR VACANT, describe the situation: state what inquiries and other attempts you have made to determine occupancy status.

**IF REFUSAL, indicate who refused and reasons (either given or suspected) and what efforts (including letters) were made at persuasion.

**IF "BUSY," "SICK," ETC. indicate whether you think this is simply an excuse or a genuine difficulty.

**IF R AWAY check page 93 in the Interviewer's Manual to be sure that (he/she) should be listed. If so, state when R will return, and if R could be interviewed elsewhere.

Attitude survey, noninterview form (see p. 187), continued.

July, 1976 P.468151

1. Interviewer's Name or Label	OMB # is: 41 - S76054 Expires: March, 1977 PCS - 100/468151

2. Primary Area: _____ 5. Length of Interview. _____ MINUTES

3. Your interview number: _____

4. Date: _____ 6. Time began: _____

ATTITUDES ABOUT SURVEYS

INTERVIEWER: READ INTRODUCTION
TO RESPONDENT FROM COVERSHEET

Attitude survey, interview booklet (see p. 187).

SECTION A

(CARD A) We would like to start by asking you to recall any time in the last ~~three~~ four or ~~four~~ five years when you were asked to respond to a survey. This card lists some of the things surveys ask about. Before we go on please look it over to help you remember all the times you were asked to be part of a survey. (PAUSE)

I will mention some different ways of taking surveys and for each one I'd like to know about how many different surveys contacted you and whether you took part or not in them.

A1. The first type is a mail survey. Has anyone taking a survey sent you a questionnaire in the mail in the last four or five years?

1. YES → A1a. About how many different questionnaires have you received in the last four or five years?
_____ NUMBER RECEIVED

A1b. And how many of these did you actually answer and return?
_____ NUMBER ANSWERED

5. NO → CHECK "0" GO TO A2

A
0
NP
BOTH
P

A2. During the last ~~three~~ four or ~~four~~ five years has anyone taking a survey called to ask you questions on the telephone?

1. YES → A2a. About how many different times were you called on the phone about a survey?
_____ NUMBER PHONE SURVEYS

A2b. How many of these telephone surveys did you take part in?
_____ NUMBER PARTICIPATED

5. NO → CHECK "0" GO TO A3

B
0
NP
BOTH
P

A3. Besides me, has anyone taking a survey come to your door to interview you in the last four or five years?

1. YES → A3a. About how many different times have interviewers come to your home for a survey?
_____ NUMBER HOUSEHOLD SURVEYS

A3b. About how many of these surveys have you taken part in?
_____ NUMBER PARTICIPATED

5. NO → CHECK "0" TURN TO P. 2, A4

C
0
NP
BOTH
P

Attitude survey, interview booklet (see p. 187), continued.

2 A4. INTERVIEWER: DID MAIL SURVEY CONTACT R? CHECKPOINT "**A**" IS MARKED:

1. NP
2. BOTH
3. P — TURN TO P. 3, A4d
0. O — TURN TO P. 5, A5

READ: The questions I'm going to ask now refer to the (last) questionnaire you didn't send back.

A4a. When I asked about mail questionnaires you received, there (was one/were some) you didn't send back. Why was that?

_____

_____

_____

A4b. (CARD A) What kinds of things did the (most recent) mail questionnaire you did not send back want to know about? You can just give me the letters on this card that describe the question. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF--OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ t. OTHER: PLEASE DESCRIBE: _____

DON'T REMEMBER

DON'T KNOW

A4c. Was this questionnaire from someone in the national government, the local government, a university, a private company, or what?

1. NATIONAL GOVERNMENT
2. STATE OR LOCAL GOVERNMENT
3. UNIVERSITY
4. PRIVATE COMPANY
7. OTHER (SPECIFY): _____
8. DON'T REMEMBER

INTERVIEWER: IF CHECKPOINT A4 WAS MARKED "NP," GO TO P. 5, A5. IF CHECKPOINT A4 WAS MARKED "BOTH" CONTINUE

READ: The next set of questions refers to the (last) survey you sent back.

Attitude survey, interview booklet (see p. 187), continued.

3

A4d. (CARD A) What kinds of things did the (most recent) mail questionnaire you answered want to know about? You can just give me the letters on this card that describe the questions. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF--OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ f. OTHER: PLEASE DESCRIBE _____

☐ DON'T REMEMBER

A4e. Was this questionnaire from someone in the national government, the local government, a university, a private company or what?

1. NATIONAL GOVERNMENT	2. STATE OR LOCAL GOVERNMENT	3. UNIVERSITY	4. PRIVATE COMPANY

7. OTHER (SPECIFY) _____ 8. DON'T REMEMBER

A4f. How interesting was this questionnaire--would you say very interesting, somewhat interesting, not very interesting or not at all interesting?

1. VERY INTERESTING	2. SOMEWHAT INTERESTING	3. NOT VERY INTERESTING	4. NOT AT ALL INTERESTING

8. DON'T REMEMBER

A4g. How easy were the questions to answer? Would you say that all of the questions were easy, most, only a few of them, or none of the questions were easy to answer?

1. ALL EASY	2. MOST EASY	3. ONLY A FEW EASY	4. NONE EASY	8. DON'T REMEMBER

Attitude survey, interview booklet (see p. 187), continued.

4

A4h. How well was the purpose of asking the questions explained? Would you say very well, fairly well, not very well, or not at all well?

1. VERY WELL	2. FAIRLY WELL	3. NOT VERY WELL	5. NOT AT ALL WELL	8. DON'T REMEMBER

A4i. Did you feel entirely free to choose whether or not to answer the questions, were you required by law to answer them, or are you unsure of this?

1. ENTIRELY FREE	2. REQUIRED BY LAW	8. UNSURE OR DON'T KNOW

A4j. Were there questions you felt they had no business asking about?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A4m	

A4k. What kinds of questions were these? _____

_____

_____

A4m. Did anything good or bad happen to you as a result of returning that questionnaire?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A4p	

A4n. What was that? (Do you consider that a good thing or a bad thing?)

_____

_____

_____

A4p. Did you feel that you were misled about anything having to do with this survey?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A4r	

A4q. How is that? _____

_____

A4r. Overall, did you feel that time and effort you put into answering the questions was very well spent, somewhat well spent, or not very well spent?

1. VERY WELL SPENT	2. SOMEWHAT WELL SPENT	3. NOT VERY WELL SPENT

Attitude survey, interview booklet (see p. 187), continued.

5

A5. INTERVIEWER: DID PHONE SURVEY CONTACT R? CHECKPOINT "**B**" IS MARKED:

1. NP → READ: The questions I'm going to ask now refers to the (last) phone interview you did not take part in.
2. BOTH → READ: The questions I'm going to ask now refers to the (last) phone interview you did not take part in.
3. P → TURN TO P. 6, A5d
0. O → TURN TO P. 9, A6

A5a. When I asked about being called by someone doing a survey over the phone you mentioned there (was one/were) time(s) when you didn't take part. Why was that?

_____

_____

_____

A5b. (CARD A) What kinds of things did the (most recent) interview you did not answer over the phone want to know about? You can just give me the letters on this card that describe the questions. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF--OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ t. OTHER: PLEASE DESCRIBE

_____

_____

_____

☐ DON'T REMEMBER

A5c. Was this survey being done by the national government, the local government, a university, a private company, or what?

1. NATIONAL GOVERNMENT
2. STATE OR LOCAL GOVERNMENT
3. UNIVERSITY
4. PRIVATE COMPANY
7. OTHER (SPECIFY) _____
8. DON'T REMEMBER

INTERVIEWER: IF CHECKPOINT A5 WAS MARKED "NP," GO TO P. 8, A5s. IF CHECKPOINT A5 WAS MARKED "BOTH" CONTINUE

READ: The next set of questions refers to the (last) survey you did answer.

Attitude survey, interview booklet (see p. 187), continued.

6

A5d. (CARD A) What kinds of things did the (most recent) interview you answered over the phone want to know about? You can just give me the letters on this card that describe the questions. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF--OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ f. OTHER: PLEASE DESCRIBE _____

☐ DON'T REMEMBER

A5e. Was this survey being done by the national government, the local government, a university, a private company, or what?

1. NATIONAL GOVERNMENT | 2. STATE OR LOCAL GOVERNMENT | 3. UNIVERSITY | 4. PRIVATE COMPANY

7. OTHER (SPECIFY) _____ | 8. DON'T REMEMBER

A5f. How interesting was this interview--would you say very interesting, somewhat interesting, not very interesting or not at all interesting?

1. VERY INTERESTING | 2. SOMEWHAT INTERESTING | 3. NOT VERY INTERESTING | 4. NOT AT ALL INTERESTING

8. DON'T REMEMBER

A5g. How easy were the questions to answer? Would you say that all of the questions were easy, most, only a few of them, or none of the questions were easy to answer?

1. ALL EASY | 2. MOST EASY | 3. ONLY A FEW EASY | 4. NONE EASY | 8. DON'T REMEMBER

Attitude survey, interview booklet (see p. 187), continued.

7

A5h. How well was the purpose of asking the questions explained? Would you say very well, fairly well, not very well, or not at all well?

1. VERY WELL	2. FAIRLY WELL	3. NOT VERY WELL	5. NOT AT ALL WELL	8. DON'T REMEMBER

A5i. Did you feel entirely free to choose whether or not to answer the questions, were you required by law to answer them, or are you unsure of this?

1. ENTIRELY FREE	2. REQUIRED BY LAW	8. UNSURE OR DON'T KNOW

A5j. Were there questions which you felt they had no business asking about?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A5m	

A5k. What kinds of questions were these? _____

_____

_____

A5m. Did anything good or bad happen to you as a result of being interviewed then?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A5p	

A5n. What was that? (Do you consider that a good thing or a bad thing?)

_____

_____

_____

A5p. Did you feel that you were misled about anything having to do with this survey?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A5r	

A5q. How is that? _____

_____

A5r. Overall, did you feel the time and effort you put into answering the questions was very well spent, somewhat well spent, or not very well spent?

1. VERY WELL SPENT	2. SOMEWHAT WELL SPENT	3. NOT VERY WELL SPENT

Attitude survey, interview booklet (see p. 187), continued.

A5s. Was there anything you particularly liked about the telephone interviewer?

1. YES

5. NO → GO TO A5u

A5t. What was that? _____

_____

_____

A5u. Was there anything you did not like about the telephone interviewer?

1. YES

5. NO TURN TO P. 9, A6

A5v. What was that? _____

_____

_____

Attitude survey, interview booklet (see p. 187), continued.

9

A6. INTERVIEWER: DID SURVEY INTERVIEWER CONTACT R? CHECKPOINT "C" IS MARKED:

1. NP → READ: The questions I'm going to ask now refer to the (last) interview you did not take part in.

2. BOTH

3. P — TURN TO P. 10, A6d

0. O — TURN TO P. 12, A7

A6a. When I asked about the interviewer who contacted you, you mentioned there (was one/were) time(s) when you didn't take part. Why was that?

_____

_____

_____

A6b. (CARD A) What kinds of things did the (most recent) interviewer who came here want to know about? You can just give me the letters on this card that describe the questions. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF—OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ f. OTHER: PLEASE DESCRIBE

_____

_____

_____

☐ DON'T REMEMBER

A6c. Was this survey being done by the national government, the local government, a university, a private company, or what?

1. NATIONAL GOVERNMENT | 2. STATE OR LOCAL GOVERNMENT | 3. UNIVERSITY | 4. PRIVATE COMPANY

7. OTHER (SPECIFY) _____ | 8. DON'T REMEMBER

INTERVIEWER: IF CHECKPOINT A6 WAS MARKED "NP," GO TO P.12, A6s. IF CHECKPOINT A6 WAS MARKED "BOTH" CONTINUE

READ: The next set of questions refers to the (last) survey you did answer.

Attitude survey, interview booklet (see p. 187), continued.

10

A6d. (CARD A) What kinds of things did the (most recent) interviewer who came here want to know about? You can just give me the letters on this card that describe the questions. (CHECK ALL MENTIONS.)

CARD A

- ☐ a. YOUR IDEAS ABOUT A PRODUCT, OR ADVERTISING
- ☐ b. YOUR POLITICAL VIEWS, IDEAS ABOUT ISSUES OR CANDIDATES
- ☐ c. YOUR OPINIONS ABOUT OTHER THINGS
- ☐ d. DESCRIPTIVE INFORMATION ABOUT YOURSELF--OR YOUR FAMILY--AGE, EDUCATION, WORK, INCOME
- ☐ e. OTHER THINGS YOU HAVE DONE OR THAT HAVE HAPPENED TO YOU--HOW YOU SPEND YOUR TIME OR MONEY
- ☐ f. OTHER: PLEASE DESCRIBE _____
- ☐ DON'T REMEMBER

A6e. Was this survey being done by the national government, the local government, a university, a private company, or what?

1. NATIONAL GOVERNMENT
2. STATE OR LOCAL GOVERNMENT
3. UNIVERSITY
4. PRIVATE COMPANY
7. OTHER (SPECIFY) _____
8. DON'T REMEMBER

A6f. How interesting was this interview--would you say very interesting, somewhat interesting, not very interesting or not at all interesting?

1. VERY INTERESTING
2. SOMEWHAT INTERESTING
3. NOT VERY INTERESTING
4. NOT AT ALL INTERESTING
8. DON'T REMEMBER

A6g. How easy were the questions to answer? Would you say that all of the questions were easy, most, only a few of them, or none of the questions were easy to answer?

1. ALL EASY
2. MOST EASY
3. ONLY A FEW EASY
4. NONE EASY
5. DON'T REMEMBER

Attitude survey, interview booklet (see p. 187), continued.

11

A6h. How well was the purpose of asking the questions explained? Would you say very well, fairly well, not very well, or not at all well?

1. VERY WELL	2. FAIRLY WELL	3. NOT VERY WELL	5. NOT AT ALL WELL	8. DON'T REMEMBER

A6i. Did you feel entirely free to choose whether or not to answer the questions, were you required by law to answer them, or are you unsure of this?

1. ENTIRELY FREE	2. REQUIRED BY LAW	8. UNSURE OR DON'T KNOW

A6j. Were there questions which you felt they had no business asking about?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A6m	

A6k. What kinds of questions were these? _____

_____

_____

A6m. Did anything good or bad happen to you as a result of being interviewed then?

1. YES	5. NO	8. DON'T KNOW
↓	GO TO A6p	

A6n. What was that? (Do you consider that a good thing or a bad thing?)

_____

_____

_____

A6p. Did you feel that you were misled about anything having to do with this survey?

1. YES	5. NO	8. DON'T KNOW
↓	TURN TO P. 12, A6r	

A6q. How is that? _____

_____

_____

Attitude survey, interview booklet (see p. 187), continued.

12

A6r. Overall, did you feel the time and effort you put into answering the questions was very well spent, somewhat well spent, or not very well spent?

1. VERY WELL SPENT	2. SOMEWHAT WELL SPENT	3. NOT VERY WELL SPENT

A6s. Was there anything you particularly liked about the interviewer?

1. YES	5. NO → GO TO A6u

A6t. What was that? _____

_____

_____

A6u. Was there anything you did not like about the interviewer?

1. YES	5. NO → GO TO A7

A6v. What was that? _____

_____

_____

A7. We have mentioned several ways to conduct surveys. We can mail questionnaires that people fill out and return, we can do interviews on the telephone, or we can conduct face-to-face interviews. If you had your choice, would you rather answer questions by a mail questionnaire, on the telephone, or face-to-face?

1. BY MAIL	3. ON THE TELEPHONE	5. FACE-TO-FACE	7. OTHER (SPECIFY) _____ _____	8. DON'T KNOW

A7a. Why is that? _____

_____

_____

Attitude survey, interview booklet (see p. 187), continued.

13

SECTION B

I am going to mention some different kinds of information that come from surveys. As I read each one I'd like to know whether or not you have happened to hear anything about it--either in the news, or in talking with friends.

CARD B

A. THE NATIONAL GOVERNMENT	D. A PRIVATE COMPANY
B. THE STATE OR LOCAL GOVERNMENT	E. SOMEONE ELSE (WHO) _____
C. A UNIVERSITY	
	8. DON'T KNOW

ASK B1 - B5 BEFORE ASKING "a" and "b" FOR EACH "YES"

		a. (CARD B) Do you happen to know which of the types of organizations on this card gather information about _____. Just give me the letters from the card. (RECORD ALL MENTIONS.)	b. Do you happen to know the name of (ORGANIZATION) agency that gathers this information.
B1. Let's start with information about unemployment rates for the United States. Have you heard about this lately?	1. YES / 5. NO		1. YES / 5. NO (SPECIFY) _____
B2. Polls showing how candidates for office are doing?	1. YES / 5. NO		1. YES / 5. NO (SPECIFY) _____
B3. Counts of all the people in the United States every 10 years?	1. YES / 5. NO		1. YES / 5. NO (SPECIFY) _____
B4. People's attitudes about how well the economy is doing and whether or not this is a good or bad time to buy consumer goods?	1. YES / 5. NO		1. YES / 5. NO (SPECIFY) _____
B5. Figures on the number of people who need different types of health care	1. YES / 5. NO		1. YES / 5. NO (SPECIFY) _____

GO BACK AND ASK a AND b FOR EACH YES IN B1-B5

Attitude survey, interview booklet (see p. 187), continued.

14

B6. In general do you feel that surveys usually serve a good purpose or do you feel they are usually a waste of time and money?

1. GOOD PURPOSE	3. DEPENDS	5. WASTE OF TIME AND MONEY	8. DON'T KNOW

B7. How often do you think you can trust the results of surveys, do you think they are almost always right, right most of the time, only some of the time, or hardly ever right?

1. ALMOST ALWAYS	2. MOST OF THE TIME	3. SOME OF THE TIME	4. HARDLY EVER	8. DON'T KNOW
TURN TO P. 15, B8				TURN TO P. 15, B8

B7a. Why do you feel surveys can be trusted (only some of the time/hardly ever)?

_____

_____

_____

_____

Attitude survey, interview booklet (see p. 187), continued.

B8. (CARD C) Here is a list of some different types of organizations which run surveys. Do you think that people are more likely to give accurate information to some of these organizations than to others, or isn't there much difference?

1. YES, SOME MORE ACCURATE	5. ISN'T MUCH DIFFERENCE	8. DON'T KNOW
↓	GO TO B9	GO TO B9

B8a. (CARD C) Which one do you think is most likely to get accurate information?

_____ NUMBER

CARD C

1. THE NATIONAL GOVERNMENT
2. STATE OR LOCAL GOVERNMENTS
3. UNIVERSITIES
4. PRIVATE COMPANIES

B8b. Why do you think (TYPE OF ORGANIZATION) is most likely to get accurate information?

_____

_____

_____

B8c. And which is least likely to get accurate information?

_____ NUMBER

B8c. Why do you think (TYPE OF ORGANIZATION) is least likely to get accurate information?

_____

_____

_____

B9. Some of the types of studies I mentioned earlier need to get accurate information about finances such as the amount of savings and investments people have. How accurately do you think people would try to report this kind of information to an interviewer? Would you say almost everyone would give such information fully and accurately, most people would, only some, or that hardly anyone would answer fully and accurately?

1. ALMOST EVERYONE	2. MOST	3. ONLY SOME	4. HARDLY ANYONE	8. DON'T KNOW

Attitude survey, interview booklet (see p. 187), continued.

18

B10. Often the survey organization will promise to treat all the answers confidentially, and never reveal how any person answered. How much difference do you think this makes in how fully and accurately people answer questions about their finances--a big difference, some difference, or no difference?

1. BIG DIFFERENCE | 3. SOME DIFFERENCE | 5. NO DIFFERENCE | 8. DON'T KNOW → GO TO B11

B10a. How many people do you think would answer questions about their finances fully and accurately if they were promised the answers would be confidential? Almost everyone, most people, only some, or hardly any?

1. ALMOST EVERYONE | 2. MOST | 3. ONLY SOME | 4. HARDLY ANYONE | 8. DON'T KNOW

B10b. Why do you feel it doesn't make much difference?

_____

_____

_____

_____

_____

_____

B11. (CARD C) Do you think some of the types of organizations on this list can be trusted more than others to keep survey answers confidential, or isn't there much difference?

CARD C

1. THE NATIONAL GOVERNMENT
2. STATE OR LOCAL GOVERNMENTS
3. UNIVERSITIES
4. PRIVATE COMPANIES

1. SOME CAN BE TRUSTED MORE | 2. ISN'T MUCH DIFFERENCE | 8. DON'T KNOW

TURN TO P. 17, B12

B11a. Which do you trust most to keep interview information confidential?

_____ NUMBER(S)

B11b. Why? _____

B11c. And which do you trust least to keep interview information confidential?

_____ NUMBER(S)

B11d. Why? _____

Attitude survey, interview booklet (see p. 187), continued.

B12. Now something a little different. How much of the time do you think you can trust the government in Washington to do what is right--just about always, most of the time, or only some of the time?

1. ALWAYS	3. MOST OF THE TIME	5. SOME OF THE TIME	8. DON'T KNOW

B13. Would you say the government is pretty much run by a few big interests looking out for themselves or that it is run for the benefit of all the people?

5. FEW BIG INTERESTS	1. FOR BENEFIT OF ALL	8. DON'T KNOW

B14. Individual survey records identified by names and addresses are kept in the files of the United States Bureau of Census. These records contain information on such things as occupation, income, race and age. Do you happen to know whether these records are public so that anyone who might want to see them can, or are they not open to the public?

KNOW TO BE

1. OPEN	5. NOT OPEN	8. DON'T KNOW

TURN TO P. 18, B15

B14a. Do you know whether individually identifiable census records are available to other government agencies or not?

KNOW TO BE

1. OPEN	5. NOT OPEN	8. DON'T KNOW

TURN TO P. 18, B15

B14b. Do you feel that other government agencies could obtain individual records from the Bureau of the Census if they really tried?

1. YES	5. NO	8. DON'T KNOW

Attitude survey, interview booklet (see p. 187), continued.

18

B15. Some people say that when the Census Bureau gathers information which identifies individuals, this information should be kept confidential for as long as the records exist. Other people point to the value of these records for medical, historical and genealogical research and say that after a reasonable time they should be opened to people outside the Census Bureau for research purposes -- which comes closer to the way you feel?

1. KEPT CONFIDENTIAL FOR AS LONG AS THE RECORD EXISTS	2. AFTER A TIME THEY SHOULD BE OPEN FOR RESEARCH PURPOSES
GO TO B16	↓

B15a. How long after they are gathered should it be before they are available for researchers outside the Census Bureau?

_____ YEARS

B16. When the government takes a census of the United States population every ten years, are all households required by law to answer the questions?

1. YES (INCLUDE REQUIRED TO ANSWER SOME QUESTIONS)	5. NO	8. DON'T KNOW

Attitude survey, interview booklet (see p. 187), continued.

SECTION C

Now we would like to ask a few questions about you and your family.

C1. Are there any children or young people under 18 years of age living here?

☐ YES ☐ NO CHILDREN UNDER 18 IN HU ——→ GO TO C2

C1a. Please tell me their ages and relationship to the head of the household.

C1b. (ASK IF UNCLEAR) Are any of these your children? (CHECK "✓" IN COLUMN D IF R's CHILDREN)

	(A) Relationship to HEAD of HU	(B) Sex	(C) Age	(D) "✓" Children of R
Persons Under 18 Years				

C2. What is the month and year of your birth? _____ MONTH _____ YEAR

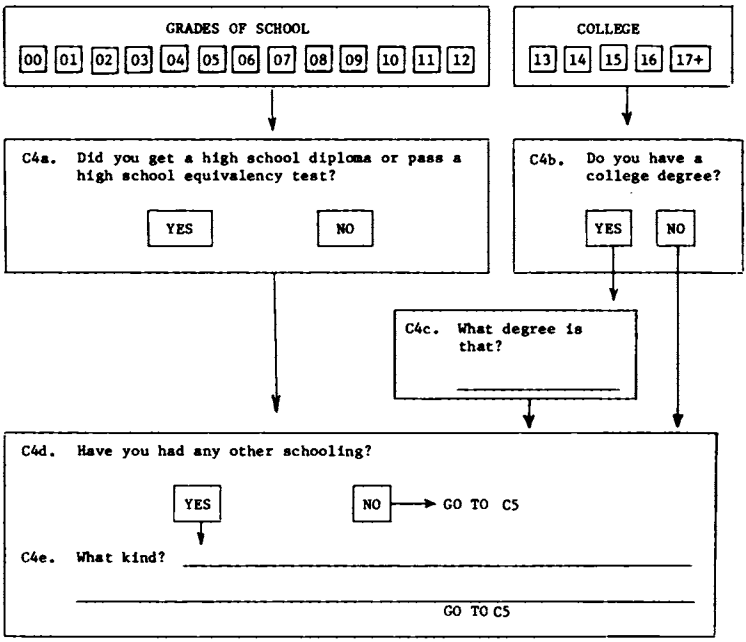
C3. Are you married, separated, divorced, widowed, or have you never been married?

1. MARRIED	2. SEPARATED	3. DIVORCED	4. WIDOWED	5. NEVER MARRIED

Attitude survey, interview booklet (see p. 187), continued.

20

C4. What is the highest grade of school or year of college you completed?



Attitude survey, interview booklet (see p. 187), continued.

22

TWO-PAGE RESPONDENT

C5. Are you presently employed, or are you unemployed, retired, (keeping house) or what?

1. WORKING NOW
2. TEMPORARILY LAID OFF; ON STRIKE; SICK LEAVE
3. LOOKING FOR WORK
4. UNEMPLOYED

C6. What is your main occupation? (What sort of work do you do?)

C6a. Tell me a little more about what you do.

C6b. What kind of (business/industry) is that in?

C6c. About how many hours do you work on your job in an average week?

_____HOURS A WEEK

C6d. Are you employed by someone else, are you self-employed or what?

1. SOMEONE ELSE
2. SELF-EMPLOYED → TURN TO P.24, C13

C6e. (CARD D) Which of the terms on this card best describes your employer? Just tell me the letter.

_____ LETTER

(IF R ANSWERED "A" OR "C" PUBLIC SCHOOL, PUBLIC HOSPITAL, ASK...)

C6f. Do you think of yourself as a government employee?

1. YES
5. NO
8. D.K.

C7. Have you ever done any work for pay?

YES
NO → TURN TO P. 24 , C13

C7a. Are you doing any work for pay at the present time?

YES → GO BACK TO C6 "WORKING NOW"
NO

C8. What sort of work did you do on your last regular job? (What was your occupation?)

C8a. Tell me a little more about what you did?

C8b. What kind of (business/industry) was that in?

C8c. Were you employed by someone else, were you self-employed, or what?

1. SOMEONE ELSE
2. SELF-EMPLOYED → TURN TO P.24, C13

C8d. (CARD D) Which of the terms on this card best describes your employer? Just tell me the letter?

_____LETTER

(IF R ANSWERED "A" OR "C" PUBLIC SCHOOL, PUBLIC HOSPITAL, ASK...)

C8e. Did you think of yourself as a government employee?

1. YES
5. NO
8. DK

Attitude survey, interview booklet (see p. 187), continued.

EMPLOYMENT SECTION **23**

5. RETIRED | 6. PERMANENTLY DISABLED | 7. STUDENT | 8. HOUSEWIFE | 0. OTHER

C9. Have you ever done any work for pay?

YES / NO → TURN TO P. 24, C13

C9a. Are you doing any work for pay at the present time?

YES → GO BACK TO C6 "WORKING NOW" / NO

C10. What kind of work did you do when you worked? (What was your occupation?)

_____

_____

C10a. Tell me a little more about what you did?

_____

_____

C10b. What kind of (business/industry) was that?

_____

C10c. Were you employed by someone else, were you self-employed or what?

1. SOMEONE ELSE / 2. SELF-EMPLOYED → TURN TO P. 24, C13

C10d. (CARD D) Which of the terms on this card best describes your employer? Just tell me the letter?

_____LETTER

(IF R ANSWERED "A" OR "C" PUBLIC SCHOOL, PUBLIC HOSPITAL, ASK...)

C10e. Did you think of yourself as a government employee?

1. YES | 5. NO | 8. DK

C11. Are you a full-time or a part-time student?

FULL-TIME / PART-TIME

C12. Are you doing any work for pay at the present time?

YES → GO BACK TO C6 "WORKING NOW" / NO

CARD D

A. Public school, college or university
B. Private school, college or university
C. Public hospital or clinic
D. Private hospital or clinic
E. Local government: city or town
F. County government
G. State government
H. Federal government
I. Private corporation, company or individual

Attitude survey, interview booklet (see p. 187), continued.

24

C13. (CARD E) In order to compare answers of people in different financial situations we need to know the family income of all the people we interview. Would you please tell me the letter on this card that indicates how much income you and your family received from all sources during the last year, 1975, before taxes and other deductions were made?

A. Under $5,000	(1)	E. $20,000 - $24,999	(5)
B. $5,000 - $9,999	(2)	F. $25,000 - $34,999	(6)
C. $10,000 - $14,999	(3)	G. $35,000 +	(7)
D. $15,000 - $19,999	(4)		

C14. Do you own this (home/apartment), pay rent, or what?

1. OWNS OR IS BUYING | 2. PAYS RENT | 3. NEITHER RENTS NOR OWNS

C14a. How is that? _____

_____

C15. How many telephones, counting extensions, do you have in your (house/apartment)?

00 (TURN TO P. 24, C16) | 01 (GO TO C15b) | 02 | 03 | 04 | 05 | MORE THAN 5, SPECIFY: _____

C15a. Do all the telephones have the same number?

1. YES | 5. NO

C15b. (Does/Do all) the number(s) appear in the current telephone book?

1. YES | 5. NO | 8. DON'T KNOW

Attitude survey, interview booklet (see p. 187), continued.

C16. (CARD F) Other than American what is your main origin or descent?

- ☐ A French
- ☐ B German
- ☐ C Irish
- ☐ D Italian
- ☐ E Polish
- ☐ F Russian
- ☐ G Swedish, Danish, Norwegian
- ☐ H English, Welsh, Scottish
- ☐ I Other European non-Spanish (Specify) _____
- ☐ J Mexican or Mexicano
- ☐ K Mexican-American
- ☐ L Chicano
- ☐ M Puerto Rican
- ☐ N Cuban
- ☐ O Central or South American (Spanish)
- ☐ P Other Spanish
- ☐ Q Black, Afro-American
- ☐ R American Indian
- ☐ S Asian (Japanese, Chinese, Filipino, etc.)
- ☐ T Pacific Islander (Polynesian, Hawaiian, etc.)
- ☐ U Other (Specify) _____

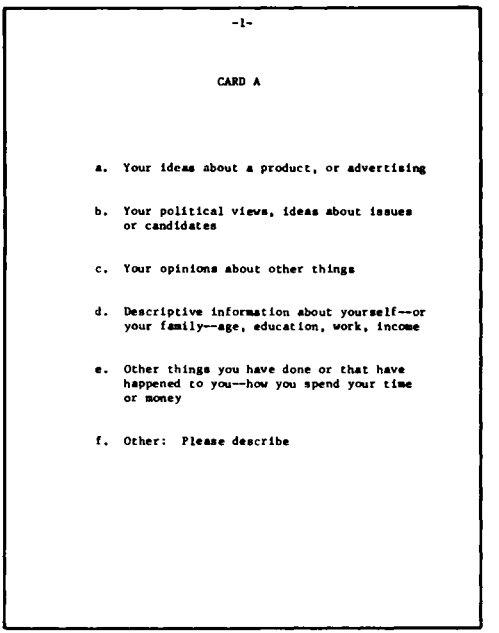
C17. Now I have some questions about the interview we have just gone through. So that you can answer without my knowing how you have answered, the questions are on this form (GIVE REACTION FORM TO R). When you are finished, just seal the form in this envelope and I will return it to the office unopened. While you are filling out the form I am not permitted to give you information, but if you have questions I'd be glad to answer them when you're through.

TIME R BEGAN INTERVIEW REACTION FORM: _____

TIME R FINISHED INTERVIEW REACTION FORM: _____

THUMBNAIL:

Attitude survey, interview booklet (see p. 187), continued.



-1-

CARD A

a. Your ideas about a product, or advertising

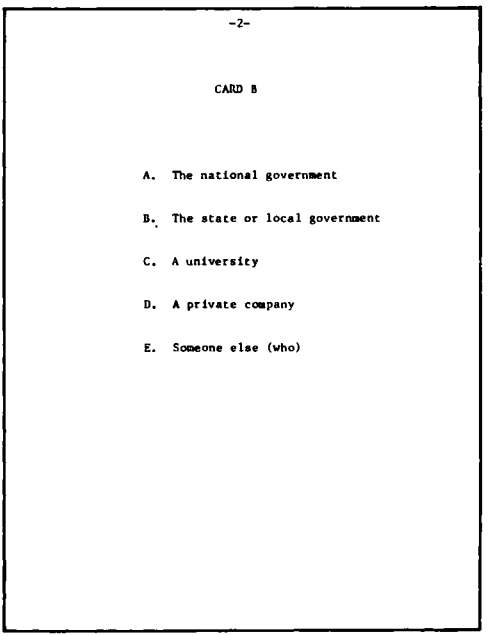
b. Your political views, ideas about issues or candidates

c. Your opinions about other things

d. Descriptive information about yourself--or your family--age, education, work, income

e. Other things you have done or that have happened to you--how you spend your time or money

f. Other: Please describe



-2-

CARD B

A. The national government

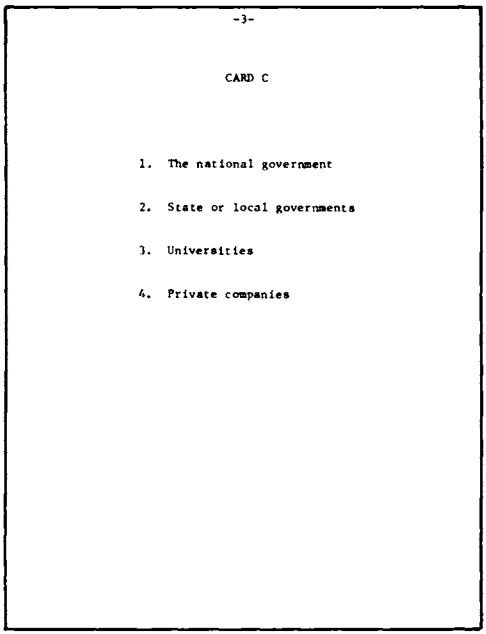
B. The state or local government

C. A university

D. A private company

E. Someone else (who)

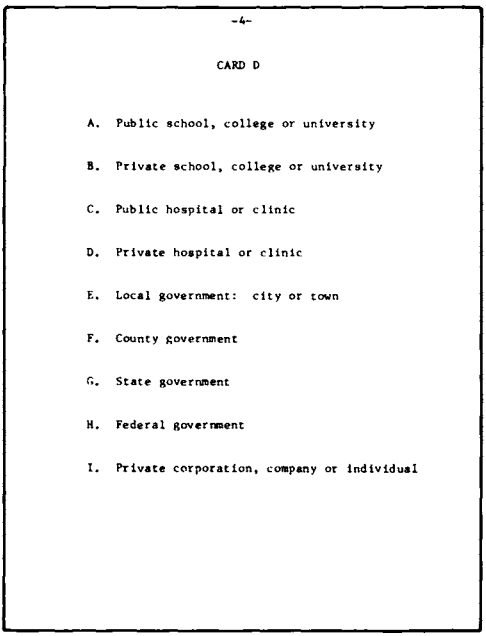
Attitude survey, respondent booklet (see p. 187).



-3-

CARD C

1. The national government
2. State or local governments
3. Universities
4. Private companies

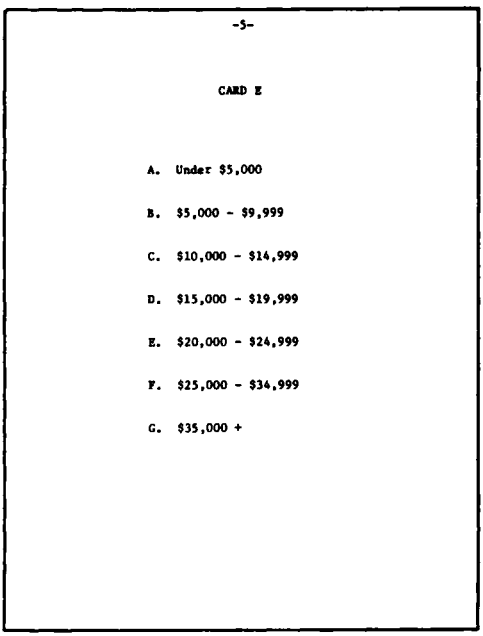


-4-

CARD D

A. Public school, college or university
B. Private school, college or university
C. Public hospital or clinic
D. Private hospital or clinic
E. Local government: city or town
F. County government
G. State government
H. Federal government
I. Private corporation, company or individual

Attitude survey, respondent booklet (see p. 187), continued.



-5-

CARD E

A. Under $5,000

B. $5,000 - $9,999

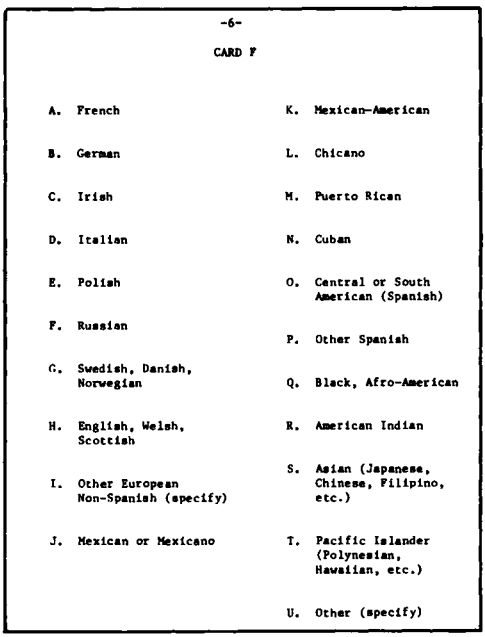
C. $10,000 - $14,999

D. $15,000 - $19,999

E. $20,000 - $24,999

F. $25,000 - $34,999

G. $35,000 +



-6-

CARD F

A. French

B. German

C. Irish

D. Italian

E. Polish

F. Russian

G. Swedish, Danish, Norwegian

H. English, Welsh, Scottish

I. Other European Non-Spanish (specify)

J. Mexican or Mexicano

K. Mexican-American

L. Chicano

M. Puerto Rican

N. Cuban

O. Central or South American (Spanish)

P. Other Spanish

Q. Black, Afro-American

R. American Indian

S. Asian (Japanese, Chinese, Filipino, etc.)

T. Pacific Islander (Polynesian, Hawaiian, etc.)

U. Other (specify)

Attitude survey, respondent booklet (see p. 187), continued.

Attitudes About Surveys
Fall, 1976

INTERVIEW REACTION FORM

Aside from the first question this form will not be used to evaluate the work of your interviewer. We are interested in your reaction to the interview and the information you were given about the study. If there are questions about things that are hard to remember please try to answer as best you can. The interviewer cannot answer questions until you are finished, but will be glad to answer then.

1. How well did the interviewer conduct the interview? (MARK ANSWER BELOW)
   - ____ 1. Not at all well
   - ____ 2. Not very well
   - ____ 3. Fairly well
   - ____ 4. Very well

2. How well did the interviewer explain the purpose of the interview?
   - ____ 1. Not at all well
   - ____ 2. Not very well
   - ____ 3. Fairly well
   - ____ 4. Very well

3. How interesting did you feel this interview was?
   - ____ 1. Very interesting
   - ____ 2. Fairly interesting
   - ____ 3. Not very interesting
   - ____ 4. Not at all interesting

4. How did you feel about the length of your interview?
   - ____ 1. Much too long
   - ____ 2. Too long
   - ____ 3. About right
   - ____ 4. Too short
   - ____ 5. Much too short

5. Do you feel you were able to express your opinions fully on the topics?
   - ____ 1. Yes
   - ____ 5. No

6. Were there any questions that you did not understand the reason for?
   - ____ 1. Yes → 6a. Which ones?_____
     _____
     _____
   - ____ 5. No

Attitude survey, interview reaction form (see p. 187).

7. Were there any questions that you thought were too difficult?

____ 1. Yes → 7a. Which ones? _____

_____

_____

____ 5. No

8. Were there any questions you felt uncomfortable about answering because the information is personal?

____ 1. Yes → 8a. Which ones? _____

_____

_____

____ 5. No

9. Did the interviewer say he/she worked for

____ 1. The national government (What branch?_____)

____ 2. State or local government (What branch?_____)

____ 3. A university (Which one?_____)

____ 4. A private research organization (Which one?_____

_____)

____ 7. Someone else (Who? _____)

____ 8. I don't remember.

10. What information did the interviewer give you about whether the interview was voluntary or not?

____ 1. Under the law, I was required to give the interview.

____ 2. I could choose whether to be interviewed or not, but if I decided to be interviewed I had to answer all the questions.

____ 3. The interview was completely voluntary and I did not have to answer any question I did not want to answer.

____ 4. The interviewer didn't mention anything.

____ 8. I don't remember.

Attitude survey, interview reaction form (see p. 187), continued.

11. What did the interviewer say about who could find out how you answered?

____ 1. That this study was secret and that none of the results would be made public.

____ 2. That the results would be made public without identifying how I personally answered.

____ 3. That the interview would be a matter of public record and that anyone who wanted to could find out how I answered.

____ 4. That under the law the information would be available only to authorized government agencies.

____ 5. The interviewer didn't mention this.

____ 8. I don't remember.

12. How much did the following have to do with your willingness to be interviewed?

a. The organization conducting the survey

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

b. The interviewer's appearance and manner

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

c. What the interviewer said about who could find out how I answered

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

Attitude survey, interview reaction form (see p. 187), continued.

d. What the interviewer said the survey was about

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

e. My curiosity to see what it was like to be interviewed

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

f. A sense of good citizenship and community service

____ 1. Made me much more willing
____ 2. Made me somewhat more willing
____ 3. Made no difference
____ 4. Made me somewhat less willing
____ 5. Made me much less willing

13. How much would you like to do an interview like this again--would you say

____ 1. Very much,
____ 3. Somewhat, or
____ 5. Not very much?

14. Are there any other comments about the interview that you would like to make?

_____

_____

_____

_____

THANK YOU - PLEASE PUT THIS FORM IN THE ENVELOPE
AND SEAL IT.

Attitude survey, interview reaction form (see p. 187), continued.

July, 1976 PCS-100/468151

1. Interviewer's Name or Label _____

2. Primary Area _____

3. Your Interview Number _____

4. Date _____

BY OBSERVATION

T1. RACIAL OR ETHNIC GROUP:

[2. BLACK] [3. CHICANO; PUERTO-RICAN; MEXICAN- OR SPANISH-AMERICAN] [4. AMERICAN INDIAN] [5. ORIENTAL]

[1. CAUCASIAN] [7. OTHER (SPECIFY): _____]

T2. WAS THERE A LANGUAGE PROBLEM THAT MADE IT DIFFICULT FOR YOU TO INTERVIEW THIS RESPONDENT?

[1. YES, MAJOR PROBLEM] [3. YES, MINOR PROBLEM] [5. NO, NO PROBLEM] GO TO T3

T2a. (EXPLAIN) _____

_____

T3. WERE THERE ANY OTHER PROBLEMS THAT MADE IT DIFFICULT FOR YOU TO INTERVIEW THIS RESPONDENT?

[1. YES, MAJOR PROBLEMS] [3. YES, MINOR PROBLEMS] [5. NO, NO PROBLEMS] GO TO T4

T3a. (EXPLAIN) _____

_____

T4. IN GENERAL, THE RESPONDENT'S UNDERSTANDING OF THE QUESTIONS WAS:

[1. EXCELLENT] [2. GOOD] [3. FAIR] [4. POOR]

T5. WAS R SUSPICIOUS ABOUT THE STUDY BEFORE THE INTERVIEW?

[1. NO, NOT AT ALL SUSPICIOUS] [3. YES, SOMEWHAT SUSPICIOUS] [5. YES, VERY SUSPICIOUS]

T6. OVERALL, HOW GREAT WAS R'S INTEREST IN THE INTERVIEW?

[1. VERY HIGH] [2. ABOVE AVERAGE] [3. AVERAGE] [4. BELOW AVERAGE] [5. VERY LOW]

Attitude survey, "by observation" form (see p. 188).

T7. OTHER PERSONS PRESENT AT INTERVIEW WERE: (CHECK MORE THAN ONE BOX IF APPROPRIATE.)

1. NONE	2. CHILDREN UNDER 6	3. OLDER CHILDREN	4. SPOUSE	5. OTHER RELATIVES	6. OTHER ADULTS

T8. THIS HU IS LOCATED IN A:

1. TRAILER IN A MOBILE HOME PARK
2. TRAILER IN OTHER LOCATION

} GO TO T10

3. BUILDING WITH NO OTHER HU'S
4. BUILDING WITH OTHER HU'S → T8a. HOW MANY HU'S ARE THERE IN TOTAL IN THE BUILDING?

_____ (NUMBER)

7. OTHER (DESCRIBE) _____

T9. HOW MANY FLOORS ARE THERE IN THE BUILDING?

_____ (NUMBER)

T10. COPY INFORMATION FOR ALL PERSONS 18 OR OLDER FROM COVER SHEET:

(a) List by Relationship to Head	(b) Sex	(c) Age	(d) Enter "R" to Identify Respondent

T11. TOTAL NUMBER OF CALLS MADE TO OBTAIN THE INTERVIEW:

_____ (NUMBER OF CALLS)

Attitude survey, "by observation" form (see p. 188), continued.

UNITED STATES DEPARTMENT OF COMMERCE
Bureau of the Census
Washington, D.C. 20233

OFFICE OF THE DIRECTOR

PLEASE NOTE: Last October, an interviewer was sent to your home to conduct an interview as part of a study of people's attitudes about surveys. Our records indicate that no interview took place at your home because the person we contacted refused to take part in the interview. This letter is intended for that member of your household--the one who chose not to participate in the original interview in October.

From the Director
Bureau of the Census

We seem to be at a stalemate. We have tried to obtain an interview at your home, and I hope we have acted in a professional and inoffensive manner in doing so. You have said "no thanks" to the interviewers we have sent to your door, because you either could not or did not wish to take part in our survey. This is your right, since participation is completely voluntary.

But this is a study of people's opinions about taking part in surveys, so it's very important that the views of people like yourself--who chose not to be interviewed--be represented in the results. I'm sure you'll agree that if we want to find out why some people don't want to be in surveys, the best answers come from those who have said they don't want to be in a survey.

There's another issue here, and that's your right to be heard. We assume that you have good reasons for not taking part in the interview. We also assume that your feelings are shared by others. Unfortunately, we don't know just what your reasons for refusing were.

Here is our attempt at a solution. You have stated your desire not to be interviewed, so we won't send interviewers to your home again. Instead, we are asking you to complete a short revised version of the original questionnaire. Participation in this mail survey, like the original interview, is completely voluntary. You need not put your name on the form, since we don't need to know exactly who you are. However, we would like to know why you feel as you do and a little about what you are like. I don't think you'll find any of the questions difficult, embarrassing, or otherwise improper, but if you do come across an item you object to, skip it. When you finish the form, place it in the return envelope (no postage is necessary), seal it, and drop it in a mailbox. Ten minutes is all it should take--maybe a little more if you want to say a lot--and I think we'll both benefit.

Sincerely,

Robert L. Hagan

ROBERT L. HAGAN
Acting Director
Bureau of the Census

Enclosure

Attitude survey, refusal follow-up letter (see p. 188).

OMB No. 41-S76054; Approval Expires March 1977 PCS-101

ATTITUDES ABOUT SURVEYS
FOLLOW-UP QUESTIONNAIRE

Most of the following questions only require that you write an "x" in one of the boxes provided, but there is often space for any additional information you care to add. There is also extra space at the end of the questionnaire for additional comments about any of the questions.

☐ If you did not live at this address in October, 1976, please mark this box and return the questionnaire in the envelope provided.

☐ If you do not remember the interviewer's visit, mark this box and go to question 3a.

1. Please describe briefly why you chose not to take part in the face-to-face interview for this study.

_____

_____

_____

2. Specifically, did you decide not to take part because of.....

a. the interviewer? ☐ No ☐ Yes (please explain)

_____

_____

b. the survey topic? ☐ No ☐ Yes (please explain)

_____

_____

c. the sponsor of the survey? ☐ No ☐ Yes (please explain)

_____

_____

d. your desire for privacy? ☐ No ☐ Yes (please explain)

_____

_____

e. your uncertainty that this was a legitimate survey? ☐ No ☐ Yes (please explain)

_____

_____

f. uneasiness about letting strangers in your home? ☐ No ☐ Yes (please explain)

_____

_____

g. the possibility that some of the questions would be too personal? ☐ No ☐ Yes (please explain)

_____

_____

h. the time when the interviewer called? ☐ No ☐ Yes (please explain)

_____

_____

This survey is authorized by title 13, United States Code; participation is voluntary, and there are no penalities for refusing to answer any question.

Attitude survey, refusal follow-up form (see p. 188).

3a. Have you been asked to take part in any other surveys during the past 4-5 years?

☐ Yes ☐ No (Skip to question 5 on page 3)

b. How many times have you been asked to take part in other surveys during the past 4-5 years?

_____Number

c. How many of these surveys did you take part in?

_____Number ☐ None

4. Please answer the following questions about the most recent survey (other than this one) in which you were asked to take part.

a. What was the main topic or purpose of the survey?

_____

b. What organization was the sponsor of the survey?

_____

c. Were you approached by - ☐ mail?

☐ telephone?

☐ personal interview?

d. Did you agree to take part in the survey?

☐ yes, answered all questions

☐ yes, answered some but not all questions

☐ no, did not take part

→ Why? _____

_____

e. Some survey organizations may tell you that your answers will be used by outside researchers while others promise that your answers will not be shown to any outside persons or agencies. Did this survey make the promise that your answers would not be shown to anyone outside the survey organization?

☐ Yes, this promise was made

☐ No such promise was made (Skip to question 5 on page 3)

☐ I do not remember (Skip to question 5 on page 3)

f. Did this promise have any effect on your decision whether or not to take part in the survey?

☐ No

☐ Yes (please explain)

g. Do you think that this promise was kept?

☐ Yes

☐ No

→ What makes you think that it was not kept?_____

_____

_____

Attitude survey, refusal follow-up form (see p. 188), continued.

5. For each of the following statements, circle the number from 1 to 5 which best represents your opinion about that statement.

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
a. Other Government agencies such as the FBI, CIA, or the Internal Revenue Service can obtain "confidential" Census Bureau information if they really want to.	1	2	3	4	5
b. Surveys can be of great benefit in gaining knowledge about political, social and economic issues.	1	2	3	4	5
c. Surveys and interviews are an invasion of personal privacy.	1	2	3	4	5
d. Surveys and interviews are often the only way the Government has to collect certain kinds of information.	1	2	3	4	5
e. Most surveys are used for some other purpose than what the interviewer says.	1	2	3	4	5
f. People don't usually answer survey questions truthfully.	1	2	3	4	5
g. A promise of confidentiality on a survey makes it easier for me to take part.	1	2	3	4	5

6. How much of the time do you think you can trust the Government in Washington to do what is right?

☐ Always ☐ Most of the time ☐ Some of the time ☐ Don't know

7. Would you say the Government is pretty much run by a few big interests looking out for themselves, or that it is run for the benefit of all the people?

☐ Few big interests ☐ For benefit of all ☐ Don't know

8. In general do you feel that surveys usually serve a good purpose or do you feel they are usually a waste of time and money?

☐ Good purpose ☐ Depends ☐ Waste of time and money ☐ Don't know

9. How often do you think you can trust the results of surveys?

☐ Almost always ☐ Most of the time

☐ Some of the time ☐ Hardly ever

☐ Don't know

Attitude survey, refusal follow-up form (see p. 188), continued.

Now we would like to ask you a few questions about yourself.

10. What is the year of your birth? Year_____

11. Sex ☐ Male ☐ Female

12. Race ☐ White ☐ Oriental
☐ Black or Negro ☐ Other (describe)_____

13. Are you - ☐ now married? ☐ separated?
☐ widowed? ☐ never married?
☐ divorced?

14. What is the highest grade of school or year of college you completed?

Grade of school_____ or Year of college_____

15. What is your present employment situation?

☐ Employed ☐ Unemployed
☐ Temporarily laid off; on strike or sick leave ☐ Permanently disabled
☐ Looking for work ☐ Housewife
☐ Retired ☐ Other (explain)_____
☐ Student

16. Approximately how much income did you and your family receive from all sources last year (1975), before taxes and other deductions?

☐ Under $5,000 ☐ $20,000 - $24,999
☐ $5,000 - $9,999 ☐ $25,000 - $34,999
☐ $10,000 - $14,999 ☐ $35,000 and over
☐ $15,000 - $19,999

17. How many people are there in your household including babies, small children, and unrelated people? ____ Number of persons

Please use the space below for any additional comments you care to make. If you have skipped any questions, please write a brief note explaining why you chose not to answer. (If you write comments about or additions to a specific question, be sure to indicate the question number in your remarks.)

_____

_____

_____

_____

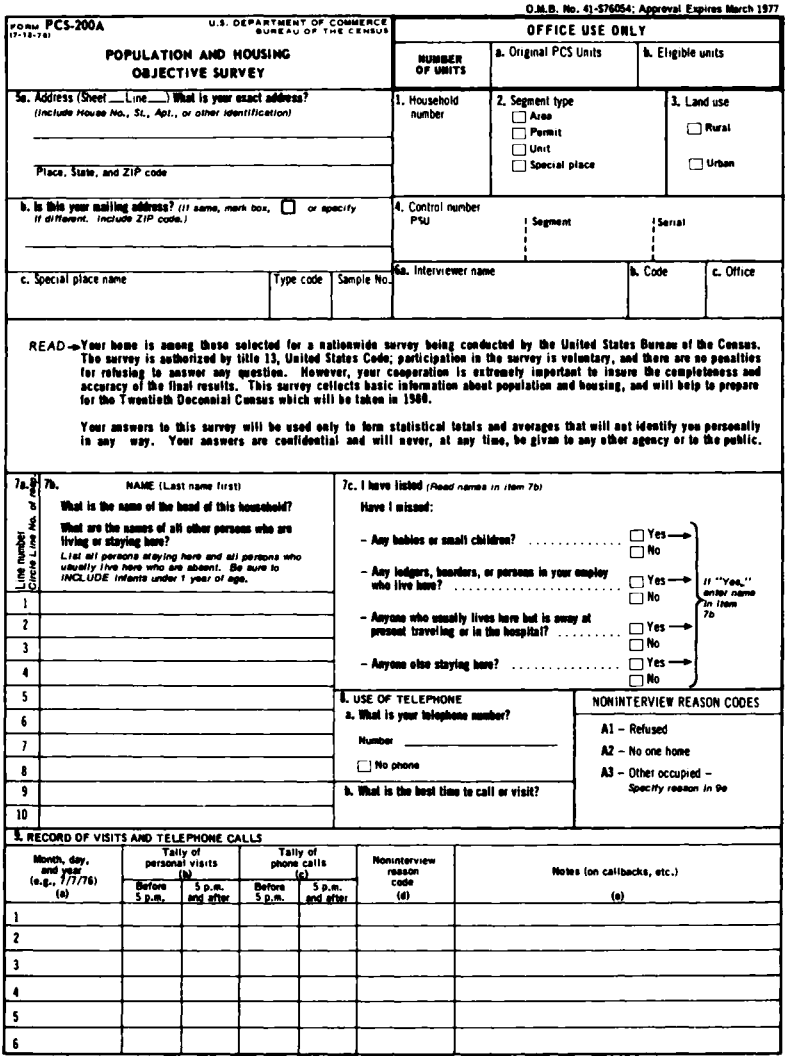
_____

_____

_____

_____

Attitude survey, refusal follow-up form (see p. 188), continued.



O.M.B. No. 41-S76054; Approval Expires March 1977

FORM PCS-200A (7-13-76) — U.S. DEPARTMENT OF COMMERCE, BUREAU OF THE CENSUS

POPULATION AND HOUSING OBJECTIVE SURVEY

OFFICE USE ONLY

NUMBER OF UNITS	a. Original PCS Units	b. Eligible units

5a. Address (Sheet ___ Line ___) What is your exact address? (Include House No., St., Apt., or other identification)

Place, State, and ZIP code

b. Is this your mailing address? (If same, mark box, ☐ or specify if different. Include ZIP code.)

1. Household number

2. Segment type ☐ Area ☐ Permit ☐ Unit ☐ Special place

3. Land use ☐ Rural ☐ Urban

4. Control number PSU | Segment | Serial

c. Special place name | Type code | Sample No.

6a. Interviewer name | b. Code | c. Office

READ→Your home is among those selected for a nationwide survey being conducted by the United States Bureau of the Census. The survey is authorized by title 13, United States Code; participation in the survey is voluntary, and there are no penalties for refusing to answer any question. However, your cooperation is extremely important to insure the completeness and accuracy of the final results. This survey collects basic information about population and housing, and will help to prepare for the Twentieth Decennial Census which will be taken in 1980.

Your answers to this survey will be used only to form statistical totals and averages that will not identify you personally in any way. Your answers are confidential and will never, at any time, be given to any other agency or to the public.

7a. Line number (Circle Line No. of Usual Res.)	7b. NAME (Last name first)
1	What is the name of the head of this household?
2	What are the names of all other persons who are living or staying here?
3	List all persons staying here and all persons who usually live here who are absent. Be sure to INCLUDE infants under 1 year of age.
4	
5	
6	
7	
8	
9	
10	

7c. I have listed (Read names in item 7b)

Have I missed:

- Any babies or small children? ..... ☐ Yes → ☐ No
- Any lodgers, boarders, or persons in your employ who live here? ..... ☐ Yes → ☐ No
- Anyone who usually lives here but is away at present traveling or in the hospital? ..... ☐ Yes → ☐ No
- Anyone else staying here? ..... ☐ Yes → ☐ No

If "Yes," enter name in item 7b

8. USE OF TELEPHONE

a. What is your telephone number?

Number _____

☐ No phone

b. What is the best time to call or visit?

NONINTERVIEW REASON CODES

A1 – Refused

A2 – No one home

A3 – Other occupied – Specify reason in 9e

9. RECORD OF VISITS AND TELEPHONE CALLS

	Month, day, and year (e.g., 1/7/76) (a)	Tally of personal visits (b) Before 5 p.m.	Tally of personal visits (b) 5 p.m. and after	Tally of phone calls (c) Before 5 p.m.	Tally of phone calls (c) 5 p.m. and after	Noninterview reason code (d)	Notes (on callbacks, etc.) (e)
1							
2							
3							
4							
5							
6							

Response behavior survey, interview booklet (see pp. 188–189).

THERE IS SPACE FOR 8 PERSONS. If you have listed more than 8 persons on page 1, use additional forms.	PERSON ① Last name / First name / Middle initial	PERSON ② Last name / First name / Middle initial
10. How is . . . related to the head of this household?	1 ☐ Head of household 2 ☐ Spouse of head 3 ☐ Son or daughter of head 4 ☐ Other relative of head – *Print exact relationship* ____ 5 ☐ Roomer, boarder 6 ☐ Partner, roommate 7 ☐ Paid employee	1 ☐ Head of household 2 ☐ Spouse of head 3 ☐ Son or daughter of head 4 ☐ Other relative of head – *Print exact relationship* ____ 5 ☐ Roomer, boarder 6 ☐ Partner, roommate 7 ☐ Paid employee
11. Sex	1 ☐ Male 2 ☐ Female	1 ☐ Male 2 ☐ Female
12. What is . . .'s date of birth and age last birthday?	Month / Day / Year / Age	Month / Day / Year / Age
13a. Is . . . now married, widowed, divorced, separated, or never married?	1 ☐ Now married, 2 ☐ Widowed } *Ask 13b* 3 ☐ Divorced, 4 ☐ Separated, 5 ☐ Never married } *Go to 14*	1 ☐ Now married, 2 ☐ Widowed } *Ask 13b* 3 ☐ Divorced, 4 ☐ Separated, 5 ☐ Never married } *Go to 14*
b. Has . . . been married more than once?	1 ☐ Yes – *Ask 13c* 2 ☐ No – *Go to 14*	1 ☐ Yes – *Ask 13c* 2 ☐ No – *Go to 14*
c. How did . . .'s previous marriage end (widowed or divorced)?	1 ☐ Widowed 2 ☐ Divorced	1 ☐ Widowed 2 ☐ Divorced
14. Race (by observation)	1 ☐ White 2 ☐ Black or Negro 3 ☐ Oriental 4 ☐ Other	1 ☐ White 2 ☐ Black or Negro 3 ☐ Oriental 4 ☐ Other
15. What is . . .'s origin or descent? *(Show flashcard)*	01 ☐ French 02 ☐ German 03 ☐ Irish 04 ☐ Italian 05 ☐ Polish 06 ☐ Russian 07 ☐ Swedish, Danish, Norwegian 08 ☐ English, Welsh, Scottish 09 ☐ Other European, non-Spanish 11 ☐ Mexican or Mexicano 12 ☐ Mexican-American 13 ☐ Chicano 14 ☐ Puerto Rican 15 ☐ Cuban 16 ☐ Central or South Amer. (Spanish) 17 ☐ Other Spanish 21 ☐ Black, Afro-American 31 ☐ American Indian 41 ☐ Asian (Japanese, Chinese, Filipino, etc.) 42 ☐ Pacific Islander (Polynesian, Hawaiian, etc.) 51 ☐ Other ____	01 ☐ French 02 ☐ German 03 ☐ Irish 04 ☐ Italian 05 ☐ Polish 06 ☐ Russian 07 ☐ Swedish, Danish, Norwegian 08 ☐ English, Welsh, Scottish 09 ☐ Other European, non-Spanish 11 ☐ Mexican or Mexicano 12 ☐ Mexican-American 13 ☐ Chicano 14 ☐ Puerto Rican 15 ☐ Cuban 16 ☐ Central or South Amer. (Spanish) 17 ☐ Other Spanish 21 ☐ Black, Afro-American 31 ☐ American Indian 41 ☐ Asian (Japanese, Chinese, Filipino, etc.) 42 ☐ Pacific Islander (Polynesian, Hawaiian, etc.) 51 ☐ Other ____
16. What is the highest grade (or year) of regular school . . . has ever attended?	☐ Never attended school ☐ Nursery school ☐ Kindergarten Elementary through high school (grade or year) 01 02 03 04 05 06 07 08 09 10 11 12 College (academic year) 01 02 03 04 05 06 07 08 or more	☐ Never attended school ☐ Nursery school ☐ Kindergarten Elementary through high school (grade or year) 01 02 03 04 05 06 07 08 09 10 11 12 College (academic year) 01 02 03 04 05 06 07 08 or more
17a. Does . . . have a physical, mental, or other health condition or handicap which prevents or limits any activities? (For example, the kind or amount of work that can be done, housework, schoolwork, using public transportation, etc.)	1 ☐ Yes 2 ☐ No – *Go to Check Item A*	1 ☐ Yes 2 ☐ No – *Go to Check Item A*
b. Has . . . had this condition for 6 months or more?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
If under 2 yrs. old, mark box and go to Check Item A	1 ☐ Under 2	1 ☐ Under 2
c. Does this condition prevent . . . from – **(1) Taking care of any of his or her own personal needs such as dressing or eating?**	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
If under 6 yrs. old, mark box and go to Check Item A	1 ☐ Under 6	1 ☐ Under 6
(2) Doing any regular schoolwork?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
(3) Using any public transportation (bus, train, etc.)?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No

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Response behavior survey, interview booklet (see pp. 188–189), continued.

17c. *If under 14 yrs. old, mark box and go to Check Item A*	1 ☐ Under 14	1 ☐ Under 14
(4) Working at a job or business?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
(5) Driving a car?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
(6) Doing housework?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
CHECK ITEM A Is . . .'s age (from Q12)?	1 ☐ 14 or older – *Continue with item 18* 2 ☐ Under 14 – *Go to next person*	1 ☐ 14 or older – *Continue with item 18* 2 ☐ Under 14 – *Go to next person*
18. EARNINGS IN 1975 –		
a. How much did . . . earn in 1975 in wages, salary, commissions, bonuses, or tips from all jobs?	$ _____ .00 *(Dollars only)* OR 00 ☐ None	$ _____ .00 *(Dollars only)* OR 00 ☐ None
b. How much did . . . earn in 1975 from own nonfarm business, professional practice, or partnership?	$ _____ .00 *(Dollars only)* OR 00 ☐ None	$ _____ .00 *(Dollars only)* OR 00 ☐ None
c. How much did . . . earn in 1975 from his or her own farm?	$ _____ .00 *(Dollars only)* OR 00 ☐ None	$ _____ .00 *(Dollars only)* OR 00 ☐ None
19. INCOME OTHER THAN EARNINGS IN 1975 – During 1975 did . . . receive any income from –	Yes / No / If YES – How much altogether?	Yes / No / If YES – How much altogether?
a. Interest? Dividends? Net rental income or royalties?	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*
b. Social Security or Railroad Retirement?	1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*	1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*
c. Supplemental Security Income from Federal or State government? Aid to Families with Dependent Children? Other public assistance?	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*
d. Unemployment Compensation? Veterans' payments? Government employee pensions? Private pensions or annuities? Any other sources of regularly received income?	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*	1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ 1 ☐ 2 ☐ $ _____ .00 *(Dollars only)*
20. What was . . .'s total income in 1975?	$ _____ .00 *(Dollars only)* OR 00 ☐ None	$ _____ .00 *(Dollars only)* OR 00 ☐ None
21. Did . . . work at any time last week?	1 ☐ Yes – *Go to 23* 2 ☐ No	1 ☐ Yes – *Go to 23* 2 ☐ No
22. Was . . . temporarily absent or on layoff from a job or business last week?	1 ☐ Yes, on layoff 2 ☐ Yes, on vacation, temporary illness, labor dispute, etc. 3 ☐ No	1 ☐ Yes, on layoff 2 ☐ Yes, on vacation, temporary illness, labor dispute, etc.) 3 ☐ No
23. Has . . . been looking for work during the past 4 weeks?	1 ☐ Yes 2 ☐ No	1 ☐ Yes 2 ☐ No
24. INDUSTRY – a. For whom did . . . work?	_____ 1 ☐ Never worked – *Go to next person*	_____ 1 ☐ Never worked – *Go to next person*
b. What kind of business or industry was this?	_____	_____
c. Is this mainly –	1 ☐ Manufacturing? 2 ☐ Wholesale trade? 3 ☐ Retail trade? 4 ☐ Other	1 ☐ Manufacturing? 2 ☐ Wholesale trade? 3 ☐ Retail trade? 4 ☐ Other
25. OCCUPATION – a. What kind of work was . . . doing?	_____	_____
b. What were . . .'s most important activities or duties?		
26. Was . . . a –	1 ☐ Employee of private company, business, or individual, for wages, salary, or commissions? 2 ☐ Federal government employee? 3 ☐ State government employee? 4 ☐ Local government employee (city, county, etc.)? Self-employed in own business, professional practice, or farm – 5 ☐ Own business not incorporated? 6 ☐ Own business incorporated? 7 ☐ Worked without pay in family business or farm?	1 ☐ Employee of private company, business, or individual, for wages, salary, or commissions? 2 ☐ Federal government employee? 3 ☐ State government employee? 4 ☐ Local government employee (city, county, etc.)? Self-employed in own business, professional practice, or farm – 5 ☐ Own business not incorporated? 6 ☐ Own business incorporated? 7 ☐ Worked without pay in family business or farm?

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Response behavior survey, interview booklet (see pp. 188–189), continued.

27. LIVING QUARTERS CLASSIFICATIONS –

(Mark one box)

HOUSING UNIT

01 ☐ House, apartment, flat
02 ☐ HU in nontransient hotel, motel, etc.
03 ☐ HU – permanent in transient hotel, motel, etc.
04 ☐ HU in rooming house
05 ☐ Mobile home or trailer
06 ☐ HU not specified above – *Describe* ➪

OTHER UNIT

11 ☐ Quarters not HU in rooming house or boarding house
12 ☐ Unit not permanent in transient hotel, motel, etc.
13 ☐ Vacant tent site or trailer site
14 ☐ Not specified above – *Describe* ➪

28. How many living quarters, occupied and vacant, are in this building?

01 ☐ One
02 ☐ 2 apartments or living quarters
03 ☐ 3 apartments or living quarters
04 ☐ 4 apartments or living quarters
05 ☐ 5 apartments or living quarters
06 ☐ 6 apartments or living quarters
07 ☐ 7 apartments or living quarters
08 ☐ 8 apartments or living quarters
09 ☐ 9 apartments or living quarters
10 ☐ 10 to 19 apartments or living quarters
11 ☐ 20 to 49 apartments or living quarters
12 ☐ 50 or more apartments or living quarters

29. Do you enter your living quarters –

1 ☐ **Directly from the outside or through a common or public hall?**
2 ☐ **Through someone else's living quarters?**

30. Which best describes your living quarters?

1 ☐ A mobile home or trailer
2 ☐ A one-family house detached from any other house
3 ☐ A one-family house attached to one or more houses
4 ☐ A building with 2 or more apartments or living quarters
5 ☐ Tent, boat, van, etc.

31. Do you have COMPLETE plumbing facilities in your living quarters; that is, hot and cold water, a flush toilet, and a bathtub or shower?

1 ☐ Yes, for this household only
2 ☐ Yes, but also used by another household
3 ☐ No, have some but not all plumbing facilities
4 ☐ No plumbing facilities in living quarters

32. Are your living quarters –

1 ☐ **Owned or being bought by you or by someone else in this household?**
2 ☐ **Rented for cash rent?**
3 ☐ **Occupied without payment of cash rent?**

CHECK ITEM B

☐ Owned or being bought (code 1, item 32)
- 2 ☐ Mobile home, trailer (code 1, item 30) → *ASK item 37*
- 3 ☐ One family house (code 2 or 3, item 30) → *ASK item 33*
- 4 ☐ Building with 2 or more apartments (code 4, item 30) → *ASK item 34*
- 5 ☐ Tent, boat, van, etc. (code 5, item 30) → *ASK item 37*

6 ☐ Rented (code 2, item 32) → *ASK item 35*

7 ☐ Occupied without payment of cash rent (code 3, item 32) → *ASK item 37*

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Response behavior survey, interview booklet (see pp. 188-189), continued.

33. Is any part of the property used as a commercial establishment or medical office?	1 ☐ Yes – *Go to Item 37* 2 ☐ No
34. What is the value of this property; that is, how much do you think this property (house and lot or condominium unit) would sell for if it were for sale? *(Show Flashcard)*	01 ☐ Less than $5,000 02 ☐ $5,000 to $7,499 03 ☐ $7,500 to $9,999 04 ☐ $10,000 to $12,499 05 ☐ $12,500 to $14,999 06 ☐ $15,000 to $17,499 07 ☐ $17,500 to $19,999 08 ☐ $20,000 to $22,499 09 ☐ $22,500 to $24,999 10 ☐ $25,000 to $27,499 11 ☐ $27,500 to $29,999 12 ☐ $30,000 to $34,999 13 ☐ $35,000 to $39,999 14 ☐ $40,000 to $44,999 15 ☐ $45,000 to $49,999 16 ☐ $50,000 to $74,999 17 ☐ $75,000 to $99,999 18 ☐ $100,000 or more *GO to Item 37*
35. Is the rent paid by the month?	1 ☐ Yes, paid by the month 2 ☐ No
36. What is the monthly rent?	01 ☐ Less than $40 02 ☐ $40 to $49 03 ☐ $50 to $59 04 ☐ $60 to $69 05 ☐ $70 to $79 06 ☐ $80 to $89 07 ☐ $90 to $99 08 ☐ $100 to $109 09 ☐ $110 to $119 10 ☐ $120 to $129 11 ☐ $130 to $139 12 ☐ $140 to $149 13 ☐ $150 to $159 14 ☐ $160 to $169 15 ☐ $170 to $179 16 ☐ $180 to $189 17 ☐ $190 to $199 18 ☐ $200 to $224 19 ☐ $225 to $249 20 ☐ $250 to $274 21 ☐ $275 to $299 22 ☐ $300 or more
37. What are the costs of utilities and fuels for your living quarters? a. Electricity	1 ☐ Average monthly cost is → $_____ .00 (*Average monthly cost*) 2 ☐ Included in rent or no charge 3 ☐ Electricity not used
b. Gas	1 ☐ Average monthly cost is → $_____ .00 (*Average monthly cost*) 2 ☐ Included in rent or no charge 3 ☐ Gas not used
c. Water	1 ☐ Yearly cost is → $_____ .00 (*Yearly cost*) 2 ☐ Included in rent or no charge
d. Oil, coal, kerosene, wood, etc.	1 ☐ Yearly cost is → $_____ .00 (*Yearly cost*) 2 ☐ Included in rent or no charge 3 ☐ These fuels not used
38. The Census Bureau requires me to read a statement at the beginning of every interview for this survey. a. Do you happen to remember the statement I read at the beginning of this interview?	1 ☐ Yes 2 ☐ No – *END INTERVIEW*
If "Yes," to a. – b. Did you happen to note whether confidentiality was promised by the Census Bureau?	1 ☐ Yes 2 ☐ No – *END INTERVIEW*
If "Yes," to b. – c. Was it promised?	1 ☐ Yes 2 ☐ No – *END INTERVIEW*
If "Yes," to c. – d. Was there a time limit?	1 ☐ Yes 2 ☐ No – *END INTERVIEW*
If "Yes," to d. – e. What was the limit?	_____ Years OR x ☐ Don't remember

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Response behavior survey, interview booklet (see pp. 188–189), continued.

PCS-2000(L)
(6-76)

UNITED STATES DEPARTMENT OF COMMERCE
Bureau of the Census
Washington, D.C. 20233

OFFICE OF THE DIRECTOR

Dear Friend:

The Bureau of the Census would like to thank you for participating in this survey. As our interviewer explained to you, this survey is being conducted in order to assist the Census Bureau in planning for the 1980 Decennial Census of Population and Housing. In preparation for the decennial census, as in any large-scale operation, there are many procedures which must be worked out in advance in order for us to conduct the census efficiently and with as small a burden as possible to American citizens.

One of the issues we are facing concerns how long people believe the census forms need to be kept confidential. By law (title 13, United States Code), the information gathered in the census is used by the Census Bureau for statistical purposes only. The individual census forms remain confidential forever, in accordance with this law. To learn how the public reacts when they are told that their census forms will not be kept completely confidential, the Bureau is conducting this survey. That is why you were not told initially that your answers in this survey would remain confidential. Let me assure you now that in accordance with present law, your answers will, in fact, be kept confidential and will never at any time be given to anyone outside the Census Bureau for any reason whatsoever.

Again, I would like to thank you for your cooperation and assure you that the information you gave our interviewer will be kept confidential forever.

Sincerely,

Vincent P. Barabba

VINCENT P. BARABBA
Director
Bureau of the Census

Response behavior survey, letter to respondent (see p. 189).

APPENDIX

D Bibliography

The entries included in this bibliography cover a wide range of material related to privacy and confidentiality and to surveys. It was not feasible, within available resources, to prepare annotations for the items or to classify them by topic. The chosen arrangement, alphabetic by author, is intended to be helpful to the reader who wishes to find the specific citation for a work of a particular author or organization or to the reader searching for knowledgeable sources.

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APPENDIX E Biographical Sketches of Panel Members and Staff

WILLIAM H. SHAW is an economic consultant. He was formerly assistant to the treasurer and director of investor relations at E. I. DuPont De Nemours and was assistant secretary for economic affairs of the U.S. Department of Commerce from 1966 to 1968. He has been an adviser to many government agencies and was a member of the President's Committee on Federal Statistics and of the National Research Council's Committee on National Statistics. He is a fellow and past president of the American Statistical Association and a fellow of the National Association of Business Economists. He received his B.A., M.A., and Ph.D. from Columbia University.

WILLIAM O. AYDELOTTE is Carver Professor of History and former chairman of the history department at the University of Iowa. He has also taught at Trinity College, Smith College, Princeton University, Harvard University, and the University of Leicester. He received an A.B. from Harvard and a Ph.D. from the University of Cambridge. He was a member of the board of directors of the Social Science Research Council, 1965–1970, and a fellow at the Center for Advanced Study in the Behavioral Sciences, 1976–1977. His current research includes the application of quantitative methods to British parliamentary history. He is a member of the National Academy of Sciences.

ROBERT F. BORUCH is director of the methodology and evaluation research division, a unit of the psychology department at Northwestern University. He received his B.E. from Stevens Institute of Technology and his Ph.D. from Iowa State University. He is a past president of the Council

for Applied Social Research, a member of American Psychological Association's committee on privacy, and a member of the National Research Council's Committee on Community Impact of the Concorde and has been consultant to UNESCO and the National Institute of Education. His publications are primarily in the areas of social experiments for planning and evaluation and research methodology.

CHARLES F. CANNELL is program director at the Institute for Social Research and professor of psychology in journalism at the University of Michigan. He received his Ph.D. from the Ohio State University. In 1946, he and colleagues from the division of program surveys of the U.S. Department of Agriculture founded the Survey Research Center on the Michigan campus. His concern with issues of quality and validity in survey data has led him to the investigation, development, and testing of new techniques for improving data quality. His broad survey research experience has made him a frequent consultant to the U.S. Public Health Service and the World Health Organization.

IVAN P. FELLEGI obtained his B.Sc. in Budapest and his M.Sc. and Ph.D. in mathematical statistics at Carleton University. He has been at Statistics Canada since 1957, where his current title is assistant chief statistician of Canada. He is responsible for survey methodology, field organization, computer systems development, and computing services. His papers have dealt with problems of sampling, measurement, response errors, evaluation of sources of survey errors, statistical confidentiality, editing and data correction, computing in survey processing, and statistical organization. He is a fellow of the American Statistical Association and vice president of the International Statistical Institute and of the International Association of Survey Statisticians.

DAVID FELLMAN received his B.A., M.A., and LL.D. from the University of Nebraska and his Ph.D. from Yale University. He has taught at the University of Nebraska and is currently Vilas Professor of Political Science at the University of Wisconsin. He has been president of the American Association of University Professors and the Midwest Association of Political Science, editor of the *Midwest Journal of Political Science,* and chairman of the committee on professional ethics and academic freedom of the American Political Science Association and of the committee on academic freedom and tenure of the American Association of University Professors. His most recent book is *The Defendant's Rights Today* (1976, University of Wisconsin Press).

IDA C. MERRIAM was formerly research director and assistant commissioner for research and statistics of the Social Security Administration, U.S. Department of Health, Education, and Welfare. She received a B.A. from Wellesley College and a Ph.D. in economics from the Brookings Gradu-

ate School of Economics and Government. She is a fellow of the American Statistical Association and is currently chairman of its committee on privacy and confidentiality. She has been an editorial adviser for several professional journals and has served as technical adviser and expert consultant on social security with the International Labor Organization and the United Nations.

PHILIP E. MEYER is director of news research for Knight-Ridder newspapers. He developed applications of social science research methods to the practice of journalism during a 15-year assignment to the newspaper group's Washington bureau. This work has led to a number of articles in both popular and professional journals as well as a guide for reporters, *Precision Journalism* (1973, Indiana University Press). He joined Knight-Ridder as a reporter for the *Miami Herald* in 1958 after doing graduate work and teaching in the political science department at the University of North Carolina.

CRUZ REYNOSO, associate justice, California Court of Appeal, received an A.B. from Pomona College and an LL.B. from the University of California at Berkeley. He has been a professor of law at the University of New Mexico and the director of California Rural Legal Assistance, Inc. His prior experience, in addition to several years in the private practice of law, includes: associate general counsel of the U.S. Equal Employment Opportunity Commission; deputy director of the California Fair Employment Practices Commission; legislative assistant to a state senator; and staff secretary to the governor of California.

JAMES P. SPRADLEY is professor of anthropology at Macalester College. He received his Ph.D. from the University of Washington. His major research is in the ethnography of American culture. He is the author or coauthor of several books in this field, including *The Cultural Experience: Ethnography in Complex Society* (1972, Science Research Associates). He has been the recipient of the Stirling Award in Culture and Personality and chairman of the committee on ethics of the American Anthropological Association.

HOWARD F. TAYLOR is associate professor of sociology at Princeton University. He received his B.A. from Hiram College and his M.A. and Ph.D. from Yale University. His specialties include small-groups analysis and experimental research methods. He is presently engaged in research in multiple regression models of cognitive and social consistency and in methodological evaluation of techniques of IQ heritability estimation. He has published a book, *Balance in Small Groups* (1970, Van Nostrand Reinhold), and numerous articles in small-groups analysis and social psychology, and he is presently completing a book on the pitfalls in procedures of IQ heritability estimation.

PRESTON N. WILLIAMS is Houghton Professor of Theology and Contemporary Change at the Harvard Divinity School. He has served as acting dean of the Harvard Divinity School and acting director of the W.E.B. Du Bois Institute for Afro-American Research. Previously, he was Martin L. King, Jr. Professor of Social Ethics at Boston University. He received his A.B. and M.A. degrees from Washington and Jefferson College, his B.D. from Johnson C. Smith University, his S.T.M. from Yale Divinity School, and his Ph.D. from Harvard University. He has written numerous articles in the field of social justice and race relations.

EDWIN D. GOLDFIELD was a senior staff officer of the Committee on National Statistics from 1975 to 1978 and is currently its executive director. He was formerly assistant director of the U.S. Bureau of the Census and also served as chief of the Bureau's international statistical programs center. He received an M.A. in statistics from Columbia University and did graduate work at American University. He has been staff director of the U.S. House of Representatives subcommittee on census and statistics and consultant to the Social Science Research Council. He has led or served as a member of U.S. delegations to international statistical conferences. He is a fellow of the American Statistical Association and was a member of its committee on privacy and confidentiality.

WALT R. SIMMONS is a statistical consultant. Formerly, he was assistant director of the National Center for Health Statistics of the U.S. Department of Health, Education, and Welfare and statistical and economic adviser at the U.S. Bureau of Labor Statistics, the War Manpower Commission, and the Social Security Board. He received an M.A. in mathematics from the University of Kansas and did graduate work in statistics at American University. He has taught mathematics and economics at the University of Kansas and statistics at American University and Stockholm University. Reflecting work as a theorist and practitioner, his published papers are principally in the field of large-scale surveys. He is a fellow of the American Statistical Association.