

METHODOLOGY REPORT

National Education and Attainment Survey (NEAS)

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PRESENTED BY:
NORC at the University of
Chicago

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Study Background and Purpose

In December 2016, Lumina Foundation issued a grant to NORC at the University of Chicago to further assess the education attainment levels of adults in the United States. This study – the National Education and Attainment Survey (NEAS) – was fielded in 2017. NORC and Lumina Foundation first partnered in 2015 to conduct the National Education and Employment Study¹ (NEES), which was a national study of adults in the United States. The goal of that study was to determine the percentage of adults who hold high quality certificates, licenses, or certifications. The 2017 NEAS was a larger effort that furthered the capture of information on education attainment, providing Lumina with timely data regarding the count of post-secondary degrees, certificates, licenses, certifications, and apprenticeship rates. Through a short 15-minute multi-mode survey, the NEAS sample were asked about their education credentials and work history. The results of this effort were used to inform Lumina’s objectives for its Goal 2025 initiative². Lumina—through Goal 2025—is committed to improving the nation’s postsecondary education system by increasing the proportion of Americans that hold a degree, certificate, or other high-quality postsecondary credential to 60 percent by the year 2025. By ensuring access to higher-education opportunities after high school, more individuals will ultimately achieve a greater earning capacity, which in turn leads to better quality of life, stronger economies, and thriving communities, as well as a stronger nation overall.

Between June and November 2017, the NEAS asked a nationally representative sample of adults between the ages of 18 and 64 (see *Sample Design*, Chapter 2) a series of questions in the following topic areas:

- Education (highest level, field of study, etc.)
- Certifications and licenses (acquisition, type, preparation, etc.)
- Certificates (acquisition, type, preparation, etc.)
- Apprenticeships (completion status, type of apprenticeships, etc.)
- Employment (jobs, full-/part-time status, job title, salary, etc.)
- Background (marital status, race/ethnicity, etc.).

The NEAS was administered in both web and hard-copy (Paper and Pencil Interview, or PAPI) modes and an incentive was offered for participation. Lumina’s Program Officer for this study was Dr. Amia Foston, and NORC’s Project Director was Cynthia Simko.

¹ NEES results, reports and products can be found here: <http://www.norc.org/Research/Projects/Pages/national-education-and-employment-study.aspx>

² The Lumina Foundation. *Goal 2025*. Additional information can be found here: https://www.luminafoundation.org/goal_2025

Sample Design

The following describes the sampling approach that was designed and implemented in support of the NEAS.

Sample Frame

The target population for the NEAS included non-institutionalized adults 18 to 64 years of age in the United States. To represent this population, NORC constructed a sampling frame from the United States Postal Service (USPS) computerized delivery sequence file (CDS) which contains all U.S. households that received mail delivery from USPS during April of 2017. NORC geocoded the CDS so that each household address could be linked to a census tract to support sample stratification. Prior to sample selection, all business addresses were removed as well as P.O. Boxes not flagged as the “only way to get mail.”

In addition to national estimation, NEAS was designed to support reliable estimation by age, gender, region, and race/ ethnicity. Since the CDS is a list of households instead of individuals, NORC only stratified the sample by region and race/ethnicity. The four regions of interest were Northeast, South, Midwest, and West as defined by the U.S. Census Bureau. The racial and ethnic groups of interest were American Indian/Alaska Native, Asian, African American, Hispanic, and Other. An initial sample of 28,000 households was drawn, with a goal of 6,000 completed surveys.

Since selected households typically have many members, the selected household member was determined to be the person in the household between the ages of 18-64 with the most recent birthday.

Sample Selection

Table 1 presents the breakout of the original selected sample:

Table 1. NEAS Sample Breakout

Stratum	Northeast	South	West	Midwest	Total
American Indian/Alaska Native	1,750	1,750	770	1,800	6,070
Asian, Native Hawaiian or Other Pacific Islander	2,100	2,770	1,640	3,860	10,370
African-American	1,545	1,050	3,050	1,230	6,875
Hispanic	830	920	280	985	3,015
Other	420	400	450	400	1,670
Total	6,645	6,890	6,190	8,275	28,000

Supplemental Sample

In order to meet the targeted goal of 6,000 completes, a supplemental sample was selected. The supplemental sample had the same stratification as the original sample. The distribution of the supplemental sample of 100,200 cases is presented in Table 2.

Table 2. NEAS Supplemental Sample Breakout

Stratum	Northeast	South	West	Midwest	Total
American Indian/Alaska Native	5,000	4,000	9,000	6,000	24,000
Asian, Native Hawaiian or Other Pacific Islander	8,000	6,000	7,700	6,400	28,100
African-American	3,700	2,000	7,000	2,000	14,700
Hispanic	16,000	7,400	6,000	4,000	33,400
Other	0	0	0	0	0
Total	32,700	19,400	29,700	18,400	100,200

Data Collection

The following section provides an overview of the activities NORC carried out to prepare for and implement the NEAS data collection.

Data Collection Goals and Results

The overall goal of completed surveys for NEAS was 6,000. The total goal for each region was 1,350 for a final goal of 5,400 surveys with a specified target. The remaining 600 completes did not have a specified population target in mind. The final goals were to have 1,200 completes for each race/ethnicity except American Indian or Alaska Native which only had a goal of 600. The final count of completed NEAS surveys was 6,345. See Table 3 for the goals established for each region by race/ethnicity and gender and actual completes.

Table 3. Goals vs. Actuals: Completed Surveys Race/Ethnicity and Gender

Complete Characteristics		Goal	Actual
All Regions	American Indian or Alaska Native	Female	334
		Male	127
	Asian, Native Hawaiian or Other Pacific Islander	Female	447
		Male	525
	Black or African American	Female	652
		Male	225
	Hispanic	Female	820
		Male	406
	White or Some Other Race*	Female	1738
		Male	1070

*One additional respondent who does not identify as male or female reported a race of “White or Some Other Race”

Data Collection Schedule

Table 4 presents the schedule of key project activities. Preparatory activities for the NEAS began in January of 2017, and data collection officially launched on June 6, 2017. NORC released sample in three batches during data collection. June 6, 2017 marks the date NORC mailed to the first 3,000 households (soft launch). The full launch (batch 2) occurred June 27, 2017, and consisted of 25,000 households. Marking the start of batch 3, or supplemental sample, NORC mailed advance letters to an additional 100,200 sampled households on September 20, 2017. After an extended data collection period, NORC implemented post-data collection activities between October 18, 2017 and November 6, 2017. These tasks included final data cleaning, coding, final case status assignment, and sampling weight development. On November 6, 2017, the final data file was delivered to Lumina.

Table 4. NEAS Schedule of Key Activities

Key Activities	Date
Preparation for data collection	January 2017
Data collection began	June 6, 2017
Data collection ended	October 17, 2017
Data cleaning and sampling weights	October 18– November 6, 2017
Final data delivery	November 6, 2017

Preparation Activities

Prior to the start of data collection, NORC obtained NORC Internal Review Board (IRB) approval to field the survey and prepared and tested various project materials. Detailed below are the specific steps NORC took to facilitate an efficient data collection period.

Institutional Review Board (IRB)

To ensure that NORC adheres to the appropriate standards for collecting data and conducting human subjects research, projects are required to complete and submit an application to the NORC IRB prior to the start of data collection. After careful review of the NEAS application and research activities, NORC’s IRB certified the NEAS research as “Exempt” under Category 2, Protocol Number: 17.02.13, dated February 23, 2017.

Questionnaire Development and Preparation

The final NEAS questionnaire consisted of items from NEES survey, the Current Population Survey³ (CPS), and the Survey of Earned Doctorates⁴ (SED). The NEES questionnaire was the starting point for the NEAS questionnaire and was comprised of questions from the Adult Training and Education Survey⁵ (ATES), the CPS, and the American Community Survey⁶ (ACS). This draft, along with additional proposed items, was discussed at an Expert Panel which took place in March of 2017. Following that Panel, NORC conducted qualitative work, administering 25 cognitive interviews which informed the final survey. The following sections discuss the Expert Panel and cognitive interviews.

Survey Expert Panel

In March of 2017, an expert panel that included Lumina, expert reviewers and NORC (see Table 5 for list of attendees) met in Washington D.C. to discuss the draft questionnaire developed by NORC. NORC welcomed direction from the experts on the content and structure on each of the drafted survey sections. Using the feedback garnered from the Expert Panel Meeting, NORC produced a final survey. Many follow-up questions on certifications/licenses, certificates, and work experiences were determined not to be needed and were dropped from the instrument. Further, apprenticeships were the only work experiences included in the survey.

³ The Current Population Survey (CPS) is the primary source of labor force statistics for the population of the United States. Additional information can be found here: <https://www.census.gov/programs-surveys/cps.html>

⁴ The Survey of Earned Doctorates is an annual census of research doctorates received for accredited US institutions. Additional information can be found here: <https://www.nsf.gov/statistics/srvydoctorates/>

⁵ United States Census Bureau, U.S. Department of Commerce, Economics and Statistics Administration, *Credentials for Work Survey Part of the 2014 National Household Education Survey* “TABLE B. FIELD OF CERTIFICATION OF LICENSE CODES FOR QUESTION 5b, p.7”. (NHES-2B) (Washington DC, 2014).

⁶ The ACS is an ongoing survey conducted by the U.S. Census Bureau that gathers information on ancestry, educational attainment, income, language proficiency, migration, disability, employment and housing characteristics. <https://www.census.gov/programs-surveys/acs/>

Table 5. Expert Panel Meeting Attendees

Attendee	Title	Affiliation
Dr. Courtney Brown	Vice President of Strategic Impact	Lumina
Dr. Amia Foston	Strategic Impact and Research Officer	Lumina
Karen Grigorian	Vice President and Acting Director, Education and Child Development	NORC
Dr. Lisa Lee	Senior Research Methodologist	NORC
Cynthia Simko	Project Director	NORC
Dr. Dan Black	Deputy Dean and Professor; Senior Fellow	Harris School of Public Policy (University of Chicago); NORC
Constance Citro	Director	Committee on National Statistics, The National Academies of Sciences, Engineering, and Medicine
Dr. Stephen Cohen	Senior Fellow	NORC; Center for Survey Excellence in Research (CESR)
Dr. Daniel Kasprzyk	Senior Fellow; Vice President and Director	NORC; Center for Excellence in Survey Research (CESR)
Dr. Jeff Strohl	Director of Research	Georgetown University Center on Education and the Workforce

Cognitive Interviews

Feedback from the Expert Panel discussion was incorporated into a working questionnaire that was used for cognitive interviews. These interviews focused on respondents’ cognitive processing of the survey items, with the goal of identifying revisions needed to improve item functionality.

NORC conducted two rounds of cognitive interviews with a total of 25 respondents in California, Maryland/Washington D.C., and Illinois. Recruitment for both round one and two of cognitive interviews began during the first week of March 2017. The recruitment plan focused on attracting respondents from diverse backgrounds with a variety of the credentials of interest to adequately test each section of the survey instrument (see Table 6 for respondent characteristics). Potential respondents were recruited through two sources: online flyer placements and NORC staff members’ personal contacts.

Table 6. Cognitive Interview Respondent Characteristics

Age	Gender		Hispanic Origin	Race		Education Level			Credentials		
	Male	Female	Hispanic	African American	Caucasian/ Other Race	HS/GED	Some College	College Degree	Certificate	Certification / License	Apprenticeship
18-24	1	1	2	0	2	0	2	0	0	2	0
25-54	11	10	5	8	13	6	8	7	12	15	5
55-64	1	1	0	0	2	0	2	0	1	1	0

The finalized questionnaire contained 51 questions and was also translated into Spanish. The English version of the survey can be found in Appendix A. A Spanish version of the survey can be provided upon request.

The final survey was formatted into a PAPI and programmed into a web survey in both English and Spanish. All versions and modes of the survey were reviewed and the web version was tested thoroughly prior to the launch of data collection. As part of the testing, NORC reviewed item text, response options, range limits and skip patterns to ensure that the instrument functioned as intended.

Incentives

To encourage response to the NEAS and to accelerate the rate of completes, pre- and post- incentives were offered. All sampled households received a \$1 bill in the advance letter and upon completion of the survey, respondents received an additional \$10 cash incentive. NORC also conducted an “Early Bird” experiment to determine if offering a higher incentive would yield a greater number of early completes. Respondents in the experiment group were offered a \$20 cash post-incentive (\$10 more than the control) if they completed the survey within the first 2 weeks of data collection. See *Mailing Experiments* for details and results.

Mailing Materials Development

NEAS staff developed a set of project-specific materials to introduce the survey, prompt potential respondents to participate, and thank participants for their time. These materials included three different advance letters (see Appendix B) for each of the following types of sample: initial, supplemental, and Early Bird experiment (see Mailing Experiments for details). Other project materials included, Frequently Asked Questions (FAQ) Fact Sheets, non-response prompting postcards (See Appendix C), break-off

emails (emails to respondents who only partially completed the survey), and “thank you” incentive letters (See Appendix D). The materials contained information regarding the value of the study, the roles of Lumina and NORC, and communicated the importance of the sample member’s participation in the survey.

For the supplemental sample the advance letter was updated, simplified, and replaced “Current Resident” with “[CITY] Resident” to further personalize the letters and increase respondent engagement..

The Early Bird Experiment advance letter was the same as the initial advance letter with the exception of an added instruction to complete by July 12th to receive \$20.

Data Collection Administration

Table 7 lists the schedule of key activities conducted throughout the 20-week data collection field period for the NEAS. NORC mailed advance letters that included a pre-paid incentive of \$1 cash, with an offering of an additional \$10 (or \$20 for the Early Bird experiment group - see *Mailing Experiments* section of this report) in cash upon completion by an age-eligible household member with the most recent birthday (See *Incentives* section of this report). In addition to the initial advance notifications, the schedule shows that NORC administered a series of non-response prompts (Based on the Dillman Tailored Design Method – TDM) via mail and email in order to maximize survey participation.

Table 7. NEAS Data Collection Schedule

Week	Date	Activity
1	June 6, 2017	Advance Letter Batch #1
1	June 6, 2017	Web Survey Launched
3	June 21, 2017	Postcard Prompt #1
4	June 27, 2017	Advance Letter Batch #2
5	July 7, 2017	Postcard Prompt #2
6	July 10, 2017	Targeted Prompting Letter
9	August 2, 2017	PAPI questionnaire #1
12	August 21, 2017	PAPI questionnaire #2
15	September 14, 2017	Postcard Prompt #3
16	September 20, 2017	Advance Letter Batch #3
18	October 2, 2017	Postcard Prompt #4
20	October 17, 2017	Data Collection Ends

Data Collection Monitoring and Reports

Throughout data collection NORC utilized its Case Management System to monitor daily returns by batch, mode, age, race/ethnicity, and region. This allowed the team to identify lower performing groups, which ultimately informed the composition of the supplemental sample. Weekly production reports were also used to show trends and assess the impact of prompting and paper-survey mailings.

Prompting Efforts

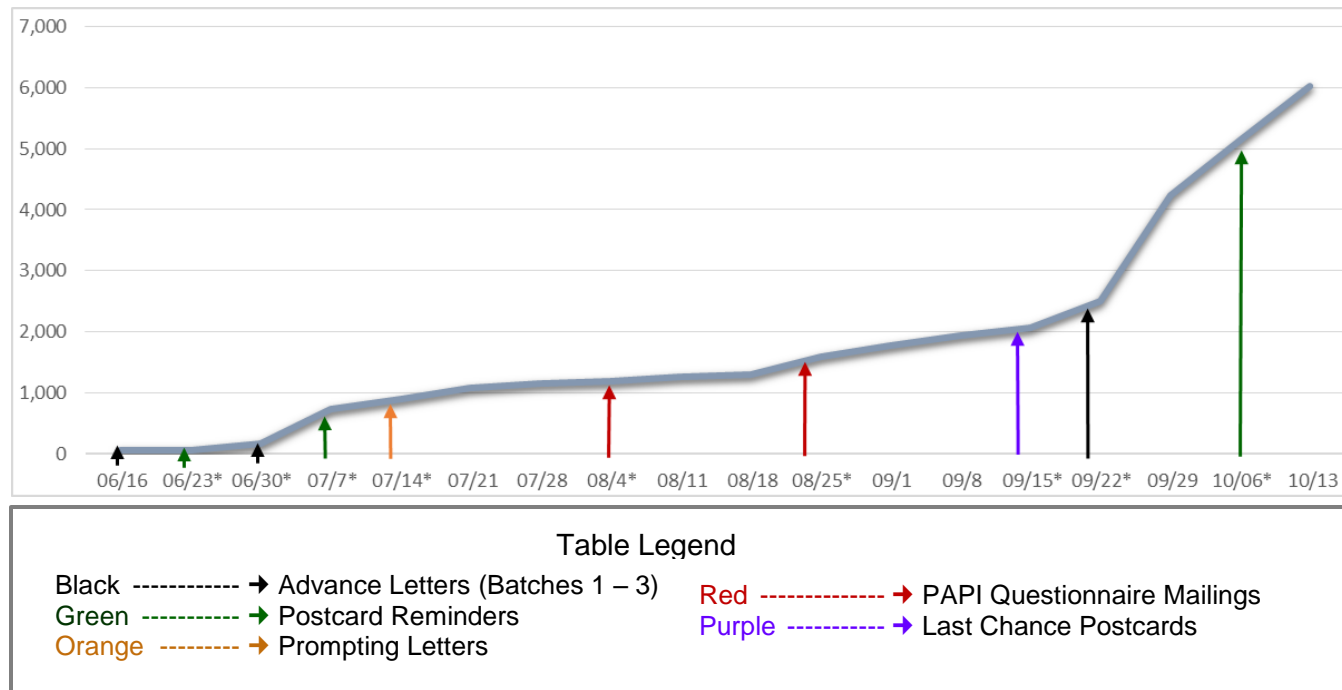
Postcard Prompts

Two weeks after each advance letter mailing, NORC mailed prompting postcards to encourage households who had not yet completed the survey to do so. The postcards were abbreviated versions of the advance letters and contained each respondent's unique survey login information. NORC also mailed final reminder postcards to households two weeks prior to the projected end data collection in a final effort to encourage participation.

Letter Prompts

Daily survey completions naturally waned in the days after the spikes resulting from postcard promptings. To address the reduction in returns, NORC strategically sent prompting letters one week after sending prompting postcards. The prompting letters were nearly identical to advance letters, but did not contain the \$1 pre-incentive. NORC sent letter prompts in addition to postcard prompts in order to diversify the respondent contact mode as much as possible. As Table 8 shows, sending prompting postcards and letters lead to increases in the number of survey completions in the following days.

Table 8. Respondent Promptings and Completion Yield



Break-off Emails

In some cases, respondents began the survey, but stopped before completing the survey. These cases are referred to as “break-offs.” NORC sent emails to these respondents who began the survey and provided a valid email address. Initial break-off emails went out July 7, 2017 and again every two weeks until the final break-off emails were sent October 11, 2017. The emails urged respondents to complete the web survey to receive the \$10 incentive and provided the respondent’s pin and password information. Table 9 details all of the break-off email dates and quantities.

Table 9. Break-off Emails

Break-off Email	Email Sent	Quantity
Email 1	7/5/2017	18
Email 2	7/12/2017	20
Email 3	7/20/2017	31
Email 4	7/26/2017	6
Email 5	8/2/2017	6
Email 6	8/9/2017	4
Email 7	8/17/2017	0
Email 8	9/20/2017	6
Email 9	9/27/2017	96
Email 10 – Final	10/11/2017	205

Project Website, Email Inbox, Toll-Free Number

In an effort to provide accessible information to potential participants and researchers interested in the study, NORC created a project website hosted on the main NORC site⁷. The website included general background information about NEAS, its sponsor—Lumina Foundation—and NORC. Contact information for the project and Project Director was also included.

NORC hosted a toll-free number and a project email inbox to allow NEAS sample members to communicate their questions, concerns, and feedback about the study. NORC research staff monitored incoming email and telephone calls. Table 10 shows the number of calls and emails received and their distribution.

Table 10. Incoming Calls and Emails to Project

Reason for Contact	Phone Contacts	Email Contact	Total
Complete Survey	73	49	122
Report Issues	60	19	79
Eligibility	279	12	291
PAPI Request	85	3	88
Incentive Questions	21	2	23
General Questions	251	142	393
Refusal	1	7	8
Other	246	16	262
Total	1,016	250	1,266

Data Security and Confidentiality

Throughout the NEAS data collection, NORC maintained its long-standing adherence to protecting respondent confidentiality and instituted stringent data security controls. To ensure confidentiality of data during the NEAS effort, each respondent was assigned a unique ID number, with no identifying name or address information connected to it. The web-based instrument was launched from NORC’s secure web server, with all appropriate firewall protection enforced. Completed surveys were encrypted and transmitted over a secured data line to where they were stored on NORC’s secured servers.

⁷ <http://www.norc.org/Research/Projects/Pages/national-education-and-attainment-survey.aspx>

Mailing Experiments

NORC designed two experiments to test respondent participation and reduce respondent burden on the NEAS. Experiment #1, or the “Early Bird” Experiment, sought to determine how incentive amounts and envelope design influence respondent participation. Experiment #2, or the “Mode Preference” Experiment, provided potential respondents the opportunity to request a paper copy of the survey or PAPI. The next few sections describe each of the experiments in more detail.

Experiment #1: Early Bird Incentive and Envelope

When reaching out to households for a self-administered survey, there are at least four points in which a sampled household can decide not to participate:

1. they may decide not to open their mail,
2. they may open it but the request may not look legitimate so they dismiss it,
3. the request may be too difficult or seem confusing, or
4. they may feel that the survey is not worth their time (e.g., too long or not interesting).

All of these challenges must be overcome to result in a response. To date, much of the multimode literature focuses on methods to influence the outcome of one of these decisions (e.g., Smyth et al. 2010). However, in most cases one change is not enough to significantly alter the response rate (e.g., Messer and Dillman 2011). NORC drew on information gained from these singularly focused experiments to design multifaceted experiments that address multiple decision points:

1. the decision to open mail,
2. the decision the survey is legitimate, and
3. the decision that the survey is worthy of their request.

To test three of these decision points, NORC included an envelope design (open mail) + incentive experiment (legitimacy and worthiness) in ways the extant literature supports. NORC hypothesized a potential interaction effect between envelope design and the use of incentives that would further enhance response rates compared to an incentive in a traditional envelope. As such, NORC used an envelope stating “DATED MATERIALS ENCLOSED” printed on the envelope crossed with an incentive experiment.

Regarding the incentives, the inclusion of prepaid incentives has repeatedly been demonstrated to increase decisions to participate (Dillman et al. 2008; Foster et al.2010). NORC has also found that the use of “early bird” incentives (offering an initial prepaid incentive with the promise of additional money if the respondent participates within a specific time frame) significantly increases response rates and timeliness of responses (LeClere et al. 2012b). The combined effectiveness of prepaid and “early bird” incentives and envelope designs had yet to be tested. Of particular interest was the potential multiplicative effect that an effective envelope could have had the effectiveness of the early bird incentive. NORC hypothesized that a higher post incentive would lend additional legitimacy to the pre-incentive.

To test the hypotheses, NORC randomly selected 3,000 households to be included in the “Early Bird” experiment, which offered households \$20 instead of \$10 if the eligible sample member completed the survey by a specified date. Each of the four experimental groups included approximately 750 cases.

Table 11. Early Bird Experiment Details

Experiment Treatments	Control Group		Group 1		Group 2		Group 3	
	n=756		n=752		n=744		n=748	
\$1 Prepaid incentive	X		X		X		X	
\$20 Early Bird Post Incentive					X		X	
\$10 Post incentive	X		X		X		X	
“Dated Materials Enclosed” Envelope			X		X			
Standard envelope	X						X	
Completes*	27	4%	27	4%	39	5%	40	5%

*Final completes column notes quantity completed and percentage completed from respective experiment group as of July 12, 2017.

Table 11 above outlines the experimental treatments and the response rates. As one can see, the early bird groups (2 and 3) did achieve a higher response rate than the alternatives. In addition, looking at the effect of the envelope when comparing the Control Group to Group 1 and Group 2 to Group 3, it shows no effect achieved by including “Dated Materials Enclosed” on the envelope and no multiplicative effect when combined with the incentive structure. In addition, the treatments had no significant effect on the timing of response; that is, the early bird incentive did not encourage early response at significant levels.

To further unpack the results, NORC examined the effects of these treatments on likelihood to complete the entire survey, break-off before the survey concluded, or time out of the survey by being away for an

extended period of time. There were no significant differences in the treatments. The reasoning could be that once motivated to start, regardless of treatment, the end result (incentive or not) matters little.

Finally, NORC examined demographics. Women were significantly more likely to respond than men across treatments ($p < .05$) and were significantly more likely to respond when dated material was printed on the envelope. Age and race had no effects however, full-time employment had a positive effect on recruitment across treatments.

Experiment #2: Mode Preference Postcard

To ease respondent burden with conducting the survey online (no internet, do not trust internet, do not know how to use computer, etc.), NORC conducted a second experiment with Batch 2 respondents to collect information on the mode by which they preferred to complete the survey. As part of the Full Launch Advance Letter Mailing, NORC selected a group of 3,000 cases to take part in a mode preference experiment. 1,504 of the 3,000 received a postage-paid postcard, which they could return indicating they preferred to receive a paper copy of the survey. The other 1,496 households in the experiment were part of the control group and received no postcard.

None of the respondents in the experiment group returned a mode preference postcard; however, one household resident called to request PAPI after receiving the mailing.

Data Cleaning, Coding, and Delivery

Shortly after data collection ended, a final restricted use weighted data file was prepared and delivered on November 6, 2017. This file also included documentation such as a codebook and a data-cleaning memorandum describing the data preparation procedures.

Data Cleaning

Data cleaning for NEAS involved three major steps. Data were first harmonized between instruments (web and PAPI), de-duplicated and combined, and finally edited for consistency and logic.

Data from the PAPI instrument and the web instrument were reconciled by removing all data-storage inconsistencies introduced by the computer assisted data entry (CADE) process required for PAPI surveys. This eliminated the possibility of data loss in the combination process.

Second, the PAPI and web surveys were de-duplicated and combined. A very small subset of respondents provided duplicate PAPI and web surveys. For this group of respondents, the surveys were reviewed for consistency and one completed version was selected using the following criteria:

- If the surveys were completed by the same eligible person...
 - the most complete survey was selected
 - and the surveys were identical, the first survey received is selected.
- If the surveys were completed by different people...
 - the eligible survey was selected
 - and they were both eligible, the most complete survey was selected
 - and they were both eligible and identical completeness, the first survey received is selected.

Ultimately, a final de-duplicated list of completed PAPI and web surveys was generated. PAPI and web data were then combined, and only completed cases were retained. A small number of cases (19 total) that completed the survey through Q47 (age) were also included.

Finally, the data were edited for consistency and survey logic. This was done using line-item edits, global edits, and survey logic edits.

The following section details coding and data delivery activities.

Coding

The NEAS survey had ten survey items that captured open-ended responses. These responses required review and, for some items, the previously developed code frame from the NEES survey was applied. There were four survey items that included an “Other, Specify” (open-ended) option and six items that were entirely open-ended. Table 12 summarizes each of the questions and the code frames used.

Table 12. Summarizes the question number and where applicable, type of coding conducted.

Question #	Question Text	Coding Summary
Q4	Which <u>one</u> of the following best describes the field of study for the <u>highest</u> level of school you have completed?	Coding applied to items where “Other, Specify” was selected. Utilized existing code frame within the survey question.
Q7b	Please provide the field of study that best describes this degree or certificate?	Entirely open-ended. The Q4 code frame applied.
Q11	What is the name of your most important certification or license?	Entirely open-ended. Code frame developed based on sources enumerated below.
Q12	What kind of work is your most important certification or license for?	Entirely open-ended. Census Bureau Industry ⁸ coding applied.
Q15	Did you prepare for getting your most important certification or license by...(Mark Yes or No for each) a) taking classes from a college, technical school, or trade school? No/Yes b) taking classes or training from your employer, a training company, association, union, or private instructor? No/Yes c) studying on your own using textbooks or online resources? No/Yes	Coding applied to items where “Other, Specify” was selected. Utilized existing code frame within the survey question
Q19	What was the field of study for your <u>last</u> post-secondary certificate?	Coding applied to items where “Other, Specify” was selected. Utilized existing code frame within the survey question
Q28	What type of work was your apprenticeship for?	“Other, Specify” was selected. No coding applied.
Q40	What kind of business or industry did you work for?	Entirely open-ended. Census Bureau Industry coding applied.
Q41	What kind of work did you do, that is, what was your occupation?	Entirely open-ended. No coding applied.
Q42	What were your usual activities or duties at this job?	Entirely open-ended. No coding applied.

The following sections detail the coding steps applied to each of the eight open-ended responses. The steps were determined by taking into consideration the individual item’s coding needs and applying the overall best approach.

⁸ United States Census Bureau. *Census 2012 Industry Code List*. Retrieved from <http://www.census.gov/people/io/methodology/>.

Questions with Existing Code Frames (Q4, Q15, & Q19)

Survey items Q4, Q15, and Q19 had existing code frames (i.e. response options) within the survey question. When a respondent did not choose one of the response options listed, they often selected “Other, Specify” and provided a text response. These text responses were reviewed, and an attempt was made to back-code the responses into the existing code frame. Where that was not possible, either a new code was created to account for responses or the response was coded as “Other.” After the initial review and coding, a second review (Quality Control check) took place to ensure consistency in application of the code frame.

Questions that Used Other Types of Code Frames (Q7b, & Q11)

Q7b was a completely open-ended question that used the Q4 code frame for coding.

Q11 was a completely open-ended question that used the code frame developed for Q7 in NEES. This codeframe was developed using a two-stage coding approach, applying the National Survey of College Graduates⁹ (NSCG) codes at Stage 1, followed by a combination of NSCG and ATES Pilot Study¹⁰ groupings for Stage 2. These groupings resulted in a final code frame. The NSCG and ATES Pilot frame were provided by the National Center for Education Statistics (NCES) to assist the coding process for certificates as needed. (NCES administers the National Household Education Survey¹¹ [NHES] and the ATES survey).

Code Frame for Q12 and Q40 – Industry Coding

NORC applied a two-stage process for Q12 and Q40. Both questions used the Census 2012 Industry code frame¹². In stage 1, NORC coded the open-ended responses based on the Q8 and Q48 coded responses from the NEES. In stage 2, NORC reviewed the remaining responses and coded them in the industry codes based that best fit. To ensure appropriate code frame application, a Quality Control process was conducted by NORC that reviewed all coded responses for consistency.

⁹ United States Census Bureau, U.S. Department of Commerce, Economics and Statistics Administration. 2015 National Survey of College Graduates (NSCG) Certification Coding. (Washington DC, 2015)

¹⁰ National Center for Education Statistics, U.S. Department of Education. The Adult Training and Education Survey (ATES) Pilot Study - Technical Report. (Washington DC, 2013)

¹¹ United States Census Bureau, U.S. Department of Commerce, Economics and Statistics Administration, Credentials for Work Survey Part of the 2014 National Household Education Survey. (NHES-2B) (Washington DC, 2014)

¹² United States Census Bureau. *Census 2012 Industry Code List*. Retrieved from <http://www.census.gov/people/io/methodology/>.

Code Frame for Q28, Q41, and Q42

Q28, Q41, and Q42 were delivered without coding due to the question content.

Final File Preparation

Once all of the final review and coding was completed, NORC ran final checks on the data to ensure that the frequency distributions for each variable matched what was expected. NORC reviewed all final files to ensure that the variables to be delivered were in the correct code frame, were the correct variable type, and had the correct variable and value labels.

A total of 6,345 cases were defined as complete, including 19 which were considered partial completes with data up to Question 47 (How old are you?).

The final delivery also included weights that took into account the demographic and education characteristics of the NEAS participants.

Final Results

The table below presents the final results of the data collection effort for the National Education and Attainment Survey during the field period from June 6, 2017, through October 17, 2017. Note that the table represents unweighted data.

Table 13. Final Unweighted Results NEAS

Group	Goal	Sample Type	Sample Size	Complete Out of Scope (ineligible)	Partial** Complete	PAPI Completes	Web Completes	Total*** Completes	Total by Group
American Indian or Alaska Native	600	Batch 1	651	4	0	13	5	18	461
		Batch 2	5,419	18	0	89	58	147	
		Batch 3	24,000	24	0	1	295	296	
Asian, Native Hawaiian, or Other Pacific Islander	1,200	Batch 1	1,109	2	0	9	21	30	981
		Batch 2	9,261	19	1	55	250	305	
		Batch 3	28,100	22	3	0	646	646	
Black or African American	1,200	Batch 1	737	5	0	16	19	35	877
		Batch 2	6,138	34	0	139	189	328	
		Batch 3	14,700	40	2	6	508	514	
Hispanic	1,200	Batch 1	324	2	0	3	18	21	1,226
		Batch 2	2,691	13	0	82	164	246	
		Batch 3	33,400	29	6	3	956	959	
White or Other Race*	1,200	Batch 1	179	26	0	46	74	120	2,800
		Batch 2	1,491	209	3	361	662	1,023	
		Batch 3	0	156	4	4	1,653	1,657	
Total by Batch	5,400	Batch 1	3,000	39	0	87	137	224	6,345
		Batch 2	25,000	293	4	726	1,323	2,049	
		Batch 3	100,200	271	15	14	4,058	4,072	
Combined Total	5,400	All	128,200	603*	19	827	5,518	6,345	

* Total for "White or Other Race" includes cases that did not report a race and those that reported multiple races

** A partial complete includes cases that answered up to Q47 – "Age" which is asked before "Race/Ethnicity"

***Total Completes (n=6,345) includes 19 partial completes

Appendix A. Questionnaire



NATIONAL EDUCATION AND ATTAINMENT SURVEY (NEAS)

2017

Barcode with SUID



Dear Respondent,

Thank you for participating in the National Education and Attainment Survey (NEAS). This survey will be used to gain more knowledge about adults' work-related education, training, and credentials after high school.

Your participation in this survey is completely voluntary and you may choose to skip any question you do not wish to answer, or stop the survey at any time.

What is the purpose of this survey?

The purpose of this study is to learn more about education, training, and employment of adults between the ages of 18 and 64 in the United States.

Who is conducting this survey?

The study is being conducted by NORC at the University of Chicago on behalf of the Lumina Foundation. The study is funded by the Lumina Foundation.

Why should you participate in this survey?

Your participation ensures a sample that is nationally representative. That is to say, sampling methods NORC applied ensure that other people in the U.S. similar to you are represented in the survey results. When selected participants respond to the survey, the summary results are more accurate.

Will your responses be kept confidential?

NORC never releases any identifying information of individuals or organizations that participate in our studies. Your individual responses are kept confidential and seen only by the NEAS study team. Data and reports will be reported in summary form only and individual names will not be included in any summary reports.

For more information about this survey you can contact the research team at NEAS@norc.org or call the survey's toll-free number at 1-888-248-6171.

Please write your answers directly on the questionnaire by marking the appropriate box or by writing your answer in the space given.

Thank you for your help with this very important effort!

CONTACT INFORMATION

Thank you again for taking part in this very important study. Before we begin, please provide your name and contact information so that we can ensure you receive your **Thank You** gift after completing the survey:

First Name: _____ Last Name: _____

Mailing Address: _____ Address 2: _____

City, State, ZIP: _____

Telephone: _____ Email Address: _____

How many members of your household, including yourself, are between 18 and 64 years of age?

Total household members between 18 and 64 years of age

Section A. Education

1. People can get a High School diploma in a variety of ways, such as graduating from High School or by getting a GED or other equivalent. Do you have a High School diploma?

- 1 No → **SKIP TO Q5**
- 2 Yes, graduated from High School
- 3 Yes, GED or other equivalent

2. Have you earned any college credit or completed a college degree?

- 1 No → **SKIP TO Q5**
- 2 Yes, some college, but less than one year of college credit → **SKIP TO Q4**
- 3 Yes, one or more years of college credit, no degree → **SKIP TO Q4**
- 4 Yes, completed a degree

3. Which of the following degrees have you completed?

Mark ONE box for EACH DEGREE below.

Degree	No	Yes
a. Associate's degree <i>(for example, AA, AS)</i>	<input type="checkbox"/>	<input type="checkbox"/>
b. Bachelor's degree <i>(for example, BA, BS)</i>	<input type="checkbox"/>	<input type="checkbox"/>
c. Master's degree <i>(for example, MA, MS, MEng, MEd, MSW, MBA)</i>	<input type="checkbox"/>	<input type="checkbox"/>
d. Professional degree <i>(for example, MD, DDS, DVM, LLB, JD)</i>	<input type="checkbox"/>	<input type="checkbox"/>
e. Doctorate degree <i>(for example, PhD, EdD)</i>	<input type="checkbox"/>	<input type="checkbox"/>

4. Which one of the following best describes the field of study for the highest level of school you have completed?

Mark ONE only. If there was more than one, please choose the one you consider most important.

- 1 General studies, no major, or undeclared major
- 2 Accounting, finance, insurance, or real estate
- 3 Administrative support
- 4 Agriculture
- 5 Audio, broadcasting, multimedia, or graphic technologies
- 6 Business management, administration, or marketing
- 7 Communications or journalism
- 8 Computer science or information technology
- 9 Construction, repair, manufacturing, or transportation
- 10 Cosmetology
- 11 Education
- 12 Engineering or architecture
- 13 English language or literature
- 14 Fine arts or music
- 15 Healthcare
- 16 Law enforcement, security, or firefighting
- 17 Law or legal studies
- 18 Liberal arts
- 19 Psychology
- 20 Religious vocations or theology
- 21 Science or mathematics
- 22 Social or human services or public administration
- 23 Social sciences, political science, economics, or history
- 24 Other – Specify

5. Are you currently enrolled or taking courses at a college, university, technical or trade school, or other school?

- 1 No → **SKIP TO Q8**
- 2 Yes, as a part-time student
- 3 Yes, as a full-time student

6. Do you plan on completing a degree or certificate program?

- 1 No → **SKIP TO Q8**
- 2 Yes

7a. What degree or certificate program do you plan to complete?

Mark ONE only.

- 1 Certificate
- 2 Associate's degree (*for example, AA, AS*)
- 3 Bachelor's degree (*for example, BA, BS*)
- 4 Master's degree (*for example, MA, MS, MEng, MEd, MSW, MBA*)
- 5 Professional degree (*for example, MD, DDS, DVM, LLB, JD*)
- 6 Doctorate degree (*for example, PhD, EdD*)

7b. Please provide the field of study that best describes this degree or certificate.

8. Have you taken any classes to learn English as a second language, sometimes called ESL or ESOL classes?

- 1 No
- 2 Yes

Section B. Certifications and Licenses

9. A professional certification or license shows you are qualified to perform a specific job.

Do you have a currently active professional certification or a state or industry license?

Examples include Licensed Electrician, Licensed Realtor, Certified Medical Assistant, Certified Teacher, Licensed Cosmetologist, or an IT certification.

Do not include business licenses, such as a liquor license or vending license.

- 1 No → SKIP TO Q18
2 Yes

10. How many currently active certifications and licenses do you have?

If you had to get a certification in order to get a license, count each certification and license separately.

Number of certifications and licenses

11. The next few questions ask about the certification or license that you consider most important to your work. What is the name of your most important certification or license?

12. What kind of work is your most important certification or license for?

13. Is your most important certification or license required by a federal, state, or local government agency (such as a state board) in order to do that kind of work?

- 1 No
2 Yes
3 Don't know

14. Can your most important certification or license be revoked or suspended for any reason?

- 1 No
- 2 Yes
- 3 Don't know

15. Did you prepare for getting your most important certification or license by...

Mark ONE box for EACH ITEM below.

	No	Yes
a. taking classes from a college, technical school, or trade school?	<input type="checkbox"/>	<input type="checkbox"/>
b. taking classes or training from your employer, a training company, association, union, or private instructor?	<input type="checkbox"/>	<input type="checkbox"/>
c. studying on your own using textbooks or online resources?	<input type="checkbox"/>	<input type="checkbox"/>
d. Other (<i>Please specify</i>) <input style="width: 200px;" type="text"/>		

16. Is your most important certification or license for your current job or career?

- 1 Not applicable, not currently working
- 2 No
- 3 Yes

17. How useful has your most important certification or license been for each of the following?

a. Getting a job

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

b. Keeping a job

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

c. Keeping you marketable to employers or clients

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

d. Improving your work skills

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

Section C. Certificates

- 18. People sometimes earn certificates from an education or training program. These are different from certifications or licenses. Do not include certifications or licenses here.**

Have you ever earned any of the following 4 types of certificates?

- a. A certificate for completing a training program from an employer, employment agency, union, software or equipment manufacturer, or other training provider?**

- 1 No
2 Yes

- b. A certificate for completing a vocational program at a high school?**

- 1 No
2 Yes → **What is the name of the school that awarded this vocational certificate?**

Name of Institution:

Branch or City:

State or Province:

Country:

- c. A high school equivalency certificate, such as a GED?**

- 1 No
2 Yes

- d. A certificate—not a degree—for completing a program at a community or technical college, or other school beyond high school? These will be called “post-secondary certificates.” Do not include teaching certificates or college degrees.**

- 1 No → **SKIP TO Q27**
2 Yes → How many post-secondary certificates do you have?

19. We will refer to the certificates in question 18d as “post-secondary certificates.” What was the field of study for your last post-secondary certificate?

Mark ONE only.

- 1 Accounting, finance, insurance, or real estate
- 2 Administrative support
- 3 Agriculture
- 4 Audio, broadcasting, multimedia, or graphic technologies
- 5 Business management, administration, or marketing
- 6 Computer science or information technology
- 7 Construction trades
- 8 Cosmetology
- 9 Culinary arts
- 10 Education
- 11 Engineering technologies or drafting
- 12 Fine arts or music
- 13 Funeral service or mortuary science
- 14 Healthcare
- 15 Law enforcement, security, or firefighting
- 16 Law or legal studies
- 17 Liberal arts
- 18 Manufacturing or production (for example machinist, welder, boilermaker)
- 19 Mechanic or repair technologies
- 20 Transportation
- 21 Other — Specify:

20. Who gave you your last post-secondary certificate?

Name of Institution:

Branch or City:

State or Province:

Country:

21. About how many hours of instruction did you complete in order to earn your last post-secondary certificate?

- 1 960 hours (1 full-time school year) or more
- 2 480 hours (half a full-time school year) to 959 hours
- 3 160 to 479 hours
- 4 40 to 159 hours
- 5 Less than 40 hours

22. Which one of the following was required for enrolling in your last post-secondary certificate program?

Mark ONE only.

- 1 Being enrolled in or having completed an advanced degree program (Master's or higher)
- 2 Being enrolled in or having completed a Bachelor's degree program
- 3 Having completed high school or a high school equivalency (such as a GED)
- 4 None of the above

23. To earn your last post-secondary certificate did you have to complete a minimum number of credits or courses?

- 1 No
- 2 Yes

24. Was your last post-secondary certificate part of the training you took for a professional certification or license?

- 1 No
- 2 Yes

25. Is your current job related to your last post-secondary certificate?

- 1 Not applicable, not currently working
- 2 No
- 3 Yes, somewhat related
- 4 Yes, very related

26. How useful has your last post-secondary certificate been for each of the following?

a. Getting a job

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

b. Increasing your pay

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

c. Improving your work skills

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

Section D. Apprenticeships

27. An apprentice is a worker who receives both on-the-job training and related instruction to learn an occupation while being paid a training salary. Have you ever completed an apprenticeship?

- 1 No, and I am not in an apprenticeship now → **SKIP TO Q35**
- 2 No, but I am in an apprenticeship now → **SKIP TO Q35**
- 3 Yes, I have completed an apprenticeship

28. What type of work was your apprenticeship for?

- 1 Building or construction (carpenter, electrician, plumber, etc.)
- 2 Business and administrative support
- 3 Cosmetology
- 4 Production (tool maker, machinist, etc.)
- 5 Science, drafting, and computing
- 6 Other – Specify:

29. Do the following statements describe your apprenticeship?

Mark ONE box for EACH ITEM below.

	No	Yes
a. I was evaluated by a co-worker or supervisor	<input type="checkbox"/>	<input type="checkbox"/>
b. I got college credit	<input type="checkbox"/>	<input type="checkbox"/>
c. I received journeyman status at the end of an apprenticeship	<input type="checkbox"/>	<input type="checkbox"/>
d. I got a state or federal apprenticeship number	<input type="checkbox"/>	<input type="checkbox"/>
e. I received instruction (at a school, online, or from my employer) related to my apprenticeship	<input type="checkbox"/>	<input type="checkbox"/>

30. Did your apprenticeship help you earn a professional certification or license?

- 1 No
- 2 Yes

31. Did your apprenticeship lead to a certificate or degree?

- 1 No
- 2 Yes

32. Is your current job related to your apprenticeship?

- 1 Not applicable, not currently working
- 2 No
- 3 Yes, somewhat related
- 4 Yes, very related

33. In your current job, how often do you use the skills or knowledge that you learned during your apprenticeship?

- 1 Not applicable, not currently working
- 2 Never or almost never
- 3 Sometimes
- 4 All or most of the time

34. How useful was your apprenticeship for each of the following?

a. Getting a job

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

b. Increasing your pay

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

c. Improving your work skills

- 1 Not useful
- 2 Somewhat useful
- 3 Very useful
- 4 Too soon to tell

Section E. Employment

35. Last week, were you employed for pay at a job or a business?

If you were temporarily absent from a job or business (on vacation, temporarily ill, on maternity leave, etc.), answer "Yes".

- 1 No → **SKIP TO Q37**
 2 Yes

36. Last week, did you work full time (35 hours or more per week)?

- 1 No
 2 Yes

37. During the past 12 months (52 weeks), how many weeks did you work, including paid vacation, paid sick leave, and military service?

- 1 50 to 52 weeks
 2 48 to 49 weeks
 3 40 to 47 weeks
 4 27 to 39 weeks
 5 14 to 26 weeks
 6 1 to 13 weeks
 7 0 weeks → **SKIP TO Q44**

38. During the past 12 months, in the weeks you worked, how many hours did you usually work each WEEK?

usual hours worked each WEEK

39. Which category best fits your earnings from wages, salary, commissions, bonuses, or tips, from all jobs over the past 12 months?

Report amount before deductions for taxes, bonds, dues, or other items.

- 1 \$0 to \$10,000
 2 \$10,001 to \$20,000
 3 \$20,001 to \$30,000
 4 \$30,001 to \$40,000
 5 \$40,001 to \$50,000
 6 \$50,001 to \$60,000
 7 \$60,001 to \$75,000
 8 \$75,001 to \$150,000
 9 \$150,001 or more

- 40. The next few questions ask about your current or last job. If you had more than one job, describe the one at which you worked the most hours. What kind of business or industry did you work for?**

(For example: hospital, newspaper publishing, mail order house, auto engine manufacturing, bank)

- 41. What kind of work did you do, that is, what was your occupation?**

(For example: plumber, typist, farmer)

- 42. What were your usual activities or duties at this job?**

(For example: typing, keeping account books, filing, selling cars, operating printing press, laying brick.)

- 43. Did you have a license that was required by a federal, state, or local government agency to do this job?**

- 1 No
2 Yes

Section F. Background

44. Have you ever served on active duty in the U.S. Armed Forces, Reserves, or National Guard?

- 1 No, never served in the military
- 2 Yes, but only on active duty for training in the Reserve or National Guard
- 3 Yes, now on active duty
- 4 On active duty in the past but not now

45. Are you male or female?

- 1 Male
- 2 Female

46. What is your current marital status?

Mark ONE only.

- 1 Now married
- 2 Widowed
- 3 Divorced
- 4 Separated
- 5 Never married

47. How old are you?

years old

48. Are you of Hispanic, Latino, or Spanish origin?

- 1 No
- 2 Yes

49. What is your race?

Mark one or more.

- 1 White
- 2 Black or African American
- 3 American Indian or Alaska Native
- 4 Asian
- 5 Native Hawaiian or Other Pacific Islander
- 6 Other

50. Do you have Internet access at home on a computer or tablet?

- 1 No
- 2 Yes

51. What is your citizenship status?

- 1 U.S. citizen since birth
- 2 Naturalized U.S. citizen
- 3 Non-U.S. citizen

If Non-U.S. Citizen: Of which country are you a citizen?

FUTURE FOLLOW UP

Thank you very much for participating in this survey. As part of ongoing research on education and training, you may be contacted in the future to participate in related or follow-up studies. Please note that if you choose to participate in future studies, you will be compensated. However, you always have the right to refuse.

For future contact purposes, please include your email and phone number below. If you do not want to be contacted, please select the appropriate response below.

Email:

Phone number:

Please do not contact me to participate in related or follow up studies

If you have any additional comments about the survey please enter them in the box below.

I have no additional comments

My additional comments are below:

Thank you for your responses!

**Thank you for completing the
National Education and Attainment Survey!**

**PLEASE RETURN this survey in the
pre-paid envelope you received with your copy of the survey.**

NORC
Attn: NEAS
55 E. Monroe Ave.
19th Floor
Chicago, IL 60603

You can expect to receive your thank you gift in the next 3 to 4 weeks. If you have questions about this survey or need assistance, please contact NORC by...

- Calling toll free at 1-888-248-6171, or
- Sending an email to NEAS@norc.org.

If you have questions about your rights as a study participant, you may call the NORC Institutional Review Board Administrator, toll free, at 1-866-309-0542.

Appendix B. Advance Letter - Initial



[Bar Code]
Current Resident
[ADDRESS 1]
[ADDRESS 2]
[CITY], [STATE] [ZIP]

[DATE]

Dear Respondent,

We are writing to request your participation in a very important national study on education and employment. NORC at the University of Chicago (NORC), on behalf of the Lumina Foundation, is administering the **National Education and Attainment Survey (NEAS)**. The purpose of this study is to gain more knowledge about adults' work-related education, training, and credentials after high school.

Results from the study will be used by researchers to understand and improve education and training for all adults in the United States. Your household has been randomly selected to participate in this important national study.

Of the people who currently live in your household who are 18 to 64 years of age, please have the adult who had the most recent birthday complete this survey online.

This survey will only take 10 – 15 minutes to complete. Your participation is voluntary, but to thank you for your time and effort, we have included \$1 in cash, and will provide an additional \$10 in cash upon completion of the survey. You can start the survey by going to the website below and entering your unique pin and password.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] PASSWORD: [PASSWORD]

All responses you share with NORC will be kept confidential.

If you have any questions about the study, you can call our study toll-free line at **1-888-248-6171** or email us at **NEAS@norc.org**. Please refer to the enclosed **Fact Sheet** for more information about the study and your role as a study participant. For additional information you can visit **www.norc.org/neas**.

Thank you in advance for your cooperation in this very important study!

Sincerely,

A handwritten signature in cursive script that reads "Cynthia M. Simko".

Cynthia Simko
NORC Project Director, National Education and Attainment Survey (NEAS)
Senior Research Director, Education and Child Development Department
NORC at the University of Chicago **www.norc.org**

[SUID]



Residente Actual

[ADDRESS 1]

[ADDRESS 2]

[CITY], [STATE] [ZIP]

[DATE]

Estimado Participante,

Le escribimos para solicitar su participación en un estudio nacional muy importante relacionado con la educación y el empleo. NORC de la Universidad de Chicago, a nombre de la Fundación Lumina, está aplicando **La Encuesta Nacional de la Educación y los Logros, (con las siglas en Inglés: NEAS)**. El propósito del dicho estudio es obtener mayor conocimiento sobre como la educación está relacionada con el trabajo de los adultos, el entrenamiento y las credenciales que se obtiene después de la secundaria.

Los resultados de este estudio serán utilizados por los investigadores para comprender y mejorar la educación y el entrenamiento de los adultos en los Estados Unidos. Su hogar ha sido seleccionado al azar para participar en este estudio importante.

Solicitamos que la persona que tenga entre 18 y 64 años, que viva actualmente en el hogar y que haya cumplido años recientemente, sea quien realice la encuesta en línea.

Solamente le tomará de 10 a 15 minutos completar ésta encuesta. Su participación es voluntaria, pero a manera de agradecimiento por su tiempo y esfuerzo, hemos incluido \$1 en efectivo y le entregaremos \$10 en efectivo una vez que haya terminado la encuesta. Puede iniciar la encuesta a través del enlace de la página del Internet que está abajo, ingresando su número único de acceso y su contraseña.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] CONTRASEÑA: [PASSWORD]

Todas las respuestas que usted proporcione a NORC se mantendrán confidenciales.

Si usted tiene alguna pregunta sobre el estudio, puede llamar a nuestra línea telefónica gratuita al número **1-888-248-6171** o enviamos un correo electrónico a **NEAS@norc.org**. Por favor revise la **Hoja de Datos** adicionales adjunta a ésta carta para mayor información sobre el estudio y sobre su rol como participante. Para mayor información puede visitar la página: **www.norc.org/neas**.

¡Gracias de antemano por su cooperación en este estudio importante!

Atentamente,

A handwritten signature in cursive script that reads "Cynthia M. Simko".

Cynthia Simko

Directora del Proyecto en NORC, la Encuesta Nacional de la Educación y los Logros (NEAS)
Director Mayor de Investigación y del Departamento de Educación y Desarrollo Infantil
NORC de la Universidad de Chicago **www.norc.org**

[SUID]

Appendix B. Advance Letter – Supplemental



[NORC BARCODE]
[ADDRESS 1]
[ADDRESS 2]
[CITY], [STATE] [ZIP][ZIP4]

[DATE]


Hello!

Please take 10 minutes to complete the National Education and Attainment Survey (NEAS)!

We have included \$1 to thank you for your time. Upon completion of the survey by an age-eligible person in your household, **we will send an additional \$10 cash.**

Your household has been randomly selected for this important national study, and we need to select one adult in your home to complete the survey. **Please have the household member between the ages of 18-64 that most recently had a birthday complete the survey.**

Complete the survey whichever way is most convenient.

 **Online** - Enter the secure website address into the browser of your computer, smartphone, or mobile device, and then enter the PIN and Password.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] PASSWORD: [PASSWORD]

NORC at the University of Chicago (NORC) is administering the survey on behalf of the Lumina Foundation. The purpose of this study is to gain more knowledge about adults' work-related education, training, and credentials after high school. *Even if you haven't had any additional school or training, please participate.*

The enclosed **Fact Sheet** has more information about the study and how to participate. If you have other questions about the study, or prefer to complete a paper copy of the survey, call our study's toll-free line at **1-888-248-6171**, email us at NEAS@norc.org, or visit www.norc.org/neas.

Thank you in advance for your cooperation in this very important study!

Sincerely,

A handwritten signature in cursive script that reads 'Cynthia M. Simko'.

Cynthia Simko, Project Director
NORC at the University of Chicago www.norc.org

[SUID]



[FECHA]


¡Hola!

¡Por favor regálenos 10 minutos de su tiempo para completar la Encuesta Nacional de la Educación y los Logros (con las siglas en Inglés NEAS)!

Hemos incluido \$1 para agradecerle por su tiempo. Pero al finalizar la encuesta por una persona del rango de edad elegible en su hogar, **le enviaremos \$10 más en efectivo.**

Su hogar ha sido seleccionado al azar para este importante estudio y necesitamos que sea un adulto quien complete esta encuesta. **Por favor permita que sea una persona entre 18 y 64 años, que haya cumplido años recientemente quien complete la encuesta.**

¡Escoja la forma que más se le facilite para completar la encuesta!

 **En línea** – Ingrese la dirección web que verá a continuación en cualquier buscador de Internet, ya sea en su computadora, teléfono celular, o cualquier otro aparato electrónico, e después ingrese el número PIN y contraseña que se encuentra aquí abajo.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] CONTRASEÑA: [PASSWORD]

NORC por parte de la Universidad de Chicago (NORC) está llevando a cabo esta encuesta a nombre de la Fundación Lumina. El propósito de dicho estudio es obtener mayor conocimiento sobre el trabajo, educación y entrenamiento de los adultos y cualquier credencial recibida después de la preparatoria.

Incluso si no ha tenido estudios o entrenamiento adicionales, ¡por favor participe!

La **hoja de datos adicionales** adjunta a esta carta contiene mayor información sobre este estudio y como participar. Si tiene alguna pregunta relacionada con el estudio o si prefiere contestar la encuesta a mano, por favor comuníquese al número gratuito **1-888-248-6171**, envíenos un correo a **NEAS@norc.org**, o visite nuestra página **www.norc.org/neas**.

¡Gracias de antemano por su valiosa colaboración en este estudio tan importante!

Sinceramente,

A handwritten signature in cursive script that reads "Cynthia M. Simko".

Cynthia Simko, Directora Del Proyecto
NORC at the University of Chicago **www.norc.org**

[SUID]

Appendix B. Advance Letter – Early Bird Experiment



[Bar Code]
Current Resident
[ADDRESS 1]
[ADDRESS 2]
[CITY], [STATE] [ZIP CODE]

[DATE]

Dear Respondent,

We are writing to request your participation in a very important national study on education and employment. NORC at the University of Chicago (NORC), on behalf of the Lumina Foundation, is administering the **National Education and Attainment Survey (NEAS)**. The purpose of this study is to gain more knowledge about adults' work-related education, training, and credentials after high school.

Results from the study will be used by researchers to understand and improve education and training for all adults in the United States. Your household has been randomly selected to participate in this important national study.

Of the people who currently live in your household who are 18 to 64 years of age, please have the adult who had the most recent birthday complete this study online.

This survey will only take 10 – 15 minutes to complete. Your participation in is voluntary, but to thank you for your time and effort, we have included \$1 in cash, and if you complete the survey **on or before July 12, you will be given an additional \$20 in cash**, in appreciation of your time. You can start the survey by going to the website below and entering your unique pin and password.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] PASSWORD: [PASSWORD]

All responses you share with NORC will be kept confidential.

If you have any questions about the study, you can call our study toll-free line at **1-888-248-6171** or email us at **NEAS@norc.org**. Please refer to the enclosed **Fact Sheet** for more information about the study and your role as a study participant. For additional information you can visit **www.norc.org/neas**.

Thank you in advance for your cooperation in this very important study!

Sincerely,

A handwritten signature in cursive script that reads "Cynthia M. Simko".

Cynthia Simko
NORC Project Director, National Education and Attainment Survey (NEAS)
Senior Research Director, Education and Child Development Department
NORC at the University of Chicago **www.norc.org**

[SUID]



Residente Actual
[ADDRESS 1]
[ADDRESS 2]
[CITY], [STATE] [ZIP]

[DATE]

Estimado Participante,

Le escribimos para solicitar su participación en un estudio nacional muy importante relacionado con la educación y el empleo. NORC de la Universidad de Chicago, a nombre de la Fundación Lumina, está aplicando **La Encuesta Nacional de la Educación y los Logros, (con las siglas en Inglés: NEAS)**. El propósito del dicho estudio es obtener mayor conocimiento sobre como la educación está relacionada con el trabajo de los adultos, el entrenamiento y las credenciales que se obtiene después de la secundaria.

Los resultados de este estudio serán utilizados por los investigadores para comprender y mejorar la educación y el entrenamiento de los adultos en los Estados Unidos. Su hogar ha sido seleccionado al azar para participar en este estudio importante.

Solicitamos que la persona que tenga entre 18 y 64 años, que viva actualmente en el hogar y que haya cumplido años recientemente, sea quien realice la encuesta en línea.

Solamente le tomará de 10 a 15 minutos completar ésta encuesta. Su participación es voluntaria, pero a manera de agradecimiento por su tiempo y esfuerzo, hemos incluido \$1 en efectivo. **Pero si completa toda la encuesta antes del 12 de Julio, usted recibirá \$20 en efectivo** en agradecimiento por su colaboración. Puede iniciar la encuesta a través del enlace de la página del Internet que está abajo, ingresando su número único de acceso y su contraseña.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] CONTRASEÑA: [PASSWORD]

Todas las respuestas que usted proporcione a NORC se mantendrán confidenciales.

Si usted tiene alguna pregunta sobre el estudio, puede llamar a nuestra línea telefónica gratuita al número **1-888-248-6171** o enviarnos un correo electrónico a **NEAS@norc.org**. Por favor revise la **Hoja de Datos** adicionales adjunta a ésta carta para mayor información sobre el estudio y sobre su rol como participante. Para mayor información puede visitar la página: **www.norc.org/neas**

¡Gracias de antemano por su cooperación en este estudio importante!

Atentamente,

Cynthia Simko
Directora del Proyecto en NORC, la Encuesta Nacional de la Educación y los Logros (NEAS)
Director Mayor de Investigación y del Departamento de Educación y Desarrollo Infantil
NORC de la Universidad de Chicago **www.norc.org**

[SUID]

Appendix C. Prompting Postcard - Reminder

The National Education and Attainment Survey (NEAS)

A letter inviting you to participate in the NEAS survey was recently sent to you. If you have already completed the survey, thank you for your participation. If not, please call our toll-free line at **1-888-248-6171** or email us at [**NEAS@norc.org**](mailto:NEAS@norc.org).

*Recientemente, le enviamos una carta invitándole a participar en la encuesta NEAS. Si usted ya ha completado la encuesta, gracias por su participación. Si aún no lo ha hecho, por favor llame a nuestra línea telefónica gratuita al **1-888-248-6171** o envíenos un correo a [**NEAS@norc.org**](mailto:NEAS@norc.org).*



You can start the survey by going to the website below and entering your unique pin and password.

Puede iniciar la encuesta a través del enlace de la página del Internet que está abajo, ingresando su número único de acceso y su contraseña.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] PASSWORD: [PASSWORD]

Thank you for your cooperation in this very important study!
¡Gracias por su cooperación en este importante estudio!

Cynthia Simko
NORC Project Director, National Education and Attainment Survey (NEAS)
Senior Research Director, Education and Child Development Department
NORC at the University of Chicago [**www.norc.org**](http://www.norc.org)

Appendix C. Prompting Postcard – Final Reminder

The National Education and Attainment Survey

Final Reminder

Our records indicate that you have not yet completed the NEAS survey. We are writing to ask you to complete this important survey on education. This postcard is a final reminder.

Recordatorio Final

Nuestros registros indican que usted aún no ha completado la encuesta NEAS. Le estamos escribiendo para pedirle que complete esta importante encuesta relacionada con la educación. Esta tarjeta es un recordatorio final.

Thank you for your cooperation in this very important study!

¡Gracias por su cooperación en este importante estudio!



You can start the survey by going to the website below and entering your unique pin and password.

Puede iniciar la encuesta a través del enlace de la página del Internet que está abajo, ingresando su número único de acceso y su contraseña.

<https://websurvey.norc.org/NEAS2017>

PIN: [PIN] Password: [PASSWORD]

Please call 1-888-248-6171 or email NEAS@norc.org for more information.

Por favor llame al 1-888-248-6171 o envíenos un correo a NEAS@norc.org para más información.

Cynthia Simko

NORC Project Director, National Education and Attainment Survey

Senior Research Director, Education and Child Development Department

NORC at the University of Chicago www.norc.org

Appendix D: Thank You Letter



[NORC BARCODE]
[FIRST NAME] [LAST NAME]
[STREET ADDRESS 1]
[STREET ADDRESS 2]
[CITY], [STATE] [ZIP CODE]

[DATE]

Dear [FNAME] [LNAME],

On behalf of the Lumina Foundation, NORC at the University of Chicago (NORC) would like to thank you for taking part in the National Education and Attainment Survey (NEAS). Your participation was crucial in gaining more knowledge about adults' work-related education, training, and credentials after high school.

To thank you for your time and effort in completing the survey, we have enclosed [RFEE] in cash.

As a reminder, NORC maintains strict confidentiality standards and the results from this study will be reported in summary form only.

If you have any questions about the study, you can call our study toll-free line at **1-888-248-6171** or email us at NEAS@norc.org.

Thank you again for your cooperation in this very important study!

Sincerely,

A handwritten signature in cursive script that reads "Cynthia M. Simko".

Cynthia Simko
NORC Project Director, National Education and Attainment Survey
Senior Research Director, Education and Child Development Department
NORC at the University of Chicago www.norc.org

[SUID]