

Indicators of Diet Quality, Nutrition, and Health for Americans by Program Participation Status, 2011–2016: NSLP Report



Appendix A. Data and Methods



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Appendix A. Data and Methods

All estimates in this report are based on National Health and Nutrition Examination Survey (NHANES) data analyzed alone or in conjunction with various Food Patterns Equivalent Database (FPED) equivalents data sources. This appendix provides details on the data, estimation procedures for the nutrition outcomes, and statistical methods.

A. Data Sources

1. NHANES Data

NHANES is designed to assess the health and nutritional status of children and adults in the United States. The Centers for Disease Control and Prevention (CDC) National Center for Health Statistics (NCHS) conducts the survey, which collects both interviews and physical examination data from a nationally representative sample of the U.S. population. NHANES has been conducted on a periodic basis since 1971 and has been a continuous annual survey since 1999, with public datafiles released every 2 years. Each 2-year survey cycle collects data on approximately 10,000 individuals. NCHS recommends combining two or more 2-year survey cycles of the continuous NHANES to increase sample size and produce estimates with greater statistical reliability. All the estimates in this report are based on three 2-year cycles of NHANES data (2011–2012, 2013–2014, and 2015–2016).

NHANES includes a household interview conducted in respondents' homes and a physical examination conducted in mobile examination centers (MECs). Additional interviews are conducted at the time of the MEC exam, including a 24-hour dietary recall interview (i.e., the day 1 dietary recall). A second dietary recall interview is conducted by telephone 3 to 10 days after the MEC exam (i.e., the day 2 dietary recall). The study team used data from the following NHANES datafiles:

- ▶ Body Measures (BMX)
- ▶ Demographics Variables and Sample Weights (DEMO)
- ▶ Dietary Interview: Individual Foods–Day 1 (DR1IFF)
- ▶ Dietary Interview: Individual Foods–Day 2 (DR2IFF)
- ▶ Dietary Interview: Total Nutrient Intakes–Day 1 (DR1TOT)
- ▶ Dietary Interview: Total Nutrient Intakes–Day 2 (DR2TOT)
- ▶ Food Security (FSQ)
- ▶ Income (INQ)
- ▶ Reproductive Health (RHQ)

All the analyses in this report are based on NHANES respondents with complete day 1 dietary recall data. To compute all dietary measures, the study team used day 1 dietary recall data. To estimate usual nutrient intakes, the team used day 2 dietary recall data in conjunction with day 1 dietary recall data to control for within-person day-to-day variance in nutrient intakes.

2. Food Patterns Equivalents Data

The study team used FPED (formerly MyPyramid equivalents data) to obtain food patterns data for each food reported in the NHANES 2011–2016 data. Specifically, FPED provided data (U.S. Department of Agriculture [USDA], Agricultural Research Service [ARS], 2019) on the corresponding amount of food patterns components for 100 grams of over 30 foods (Bowman et al., 2008, 2013). The food patterns components are defined as the number of cup equivalents of fruit, vegetables, and dairy; ounce equivalents of grains and protein foods; and teaspoon equivalents of added sugars. The study team linked each unique food reported in the NHANES 2011–2016 Individual Foods Files to the appropriate food patterns data source and computed the amounts of each food patterns component consumed based on the amount of food consumed by each individual.

B. Analysis Sample

The sample for most analyses included school children aged 5–18 (based on demographic data item RIDAGEEX) who met the following criteria:

- ▶ Had complete day 1 dietary recall data(?) (based on dietary recall item DR1DRSTZ)
- ▶ Attend a school that serves lunch (based on dietary behavior questionnaire items DBQ360 and DBQ370)
- ▶ Had day 1 dietary recall on a Monday to Friday (based on dietary recall item DR1DAY)
- ▶ Did not consume all lunch foods at home (based on dietary recall item DR1_040Z)

Pregnant or breastfeeding women aged 12–18 could not be identified in the NHANES 2011–2016 public use data. As a result, women of these ages were assumed to be neither pregnant nor breastfeeding.

C. Subgroups for Tabulation

The study team calculated descriptive estimates for the total U.S. population and for subgroups defined by program participation and income, and by age group and gender.

1. Program Participation and Income

NSLP participation was measured at the individual level based on consumption of NSLP-reimbursable foods. The team defined NSLP participants as respondents who reported consuming at least three NSLP-reimbursable lunch foods from the school cafeteria using the NHANES variable DR1_040Z to indicate the source of food. Due to changes in NSLP policy, reimbursable milk was defined differently for the 2011–2012 NHANES sample as opposed to the 2013–2014 and 2015–2016 NHANES samples. Among 2011–2012 NHANES respondents, flavored and unflavored milk were counted as reimbursable regardless of fat content. For 2013–2016 NHANES respondents, reimbursable milk was restricted to flavored skim milk and unflavored milk that was skim or one percent fat. To classify program participants and nonparticipants as income eligible or higher income, the team used household size and monthly income relative to the Federal Poverty Guidelines, using the NHANES family poverty income ratio variable INDFMMP. Income-eligible participants and nonparticipants were defined as individuals with annual income less than or equal to 185 percent of the relevant Federal Poverty Guidelines, whereas higher

income participants and nonparticipants were defined as individuals with annual income greater than 185 percent of the relevant Federal Poverty Guidelines, with no income cap.

2. Age Groups

The study team tabulated descriptive analysis results for three age groups of children: aged 5–8, 9–13, and 14–18. Ages were calculated based on age at the time of the MEC exam when the first dietary recall was collected rather than age at the time of the household interview.

D. Methods for Estimating Nutrition Outcome Measures

The study team used several outcome measures to examine the diet quality of NSLP participants and nonparticipants. This section describes the methods used to construct each measure.

1. Usual Nutrient Intakes

To assess the prevalence of adequate nutrient intakes among NSLP participants and nonparticipants, the study team estimated usual nutrient intakes of vitamins, minerals, macronutrients, and other dietary components using day 1 and day 2 dietary recall data. The team then compared usual nutrient intake distributions with the DRIs and selected recommendations of the 2015–2020 DGA.

Dietary reference intakes

The dietary reference intakes (DRIs), established by the National Academies of Science, Engineering, and Medicine (NASEM), formerly IOM, Food and Nutrition Board provide guidelines on intake amounts appropriate for a given individual based on age, gender, and life stage (IOM, 1997, 1998, 2000, 2001, 2005, 2006; 2011 NASEM, 2019). The DRIs are the most up-to-date scientific standards for determining whether diets provide enough nutrients to meet requirements without being excessive. Four different DRI standards were used to assess the usual nutrient intakes of NSLP participants and nonparticipants:

- ▶ Estimated average requirement (EAR)
- ▶ Adequate intake (AI)
- ▶ Chronic disease risk reduction (CDRR)
- ▶ Acceptable macronutrient distribution range (AMDR)

DRI values for each nutrient included in the analysis are shown in tables A.1 through A.3 for each age and gender group. When enough information is available about the distribution of nutrient requirements in the population, the DRIs define an EAR. The EAR is the average daily nutrient intake level estimated to meet the requirement of half of the healthy individuals in a life stage and gender group. The EAR is used to assess the prevalence of inadequate intakes using the NASEM, formerly IOM, recommended “EAR cut-point method” (IOM, 2006, pp. 43–44). The EAR cut-point method was used to analyze all nutrients for which EARs have been established. The EAR cut-point method assumes nutrient requirements are symmetrically distributed.

When information on the distribution of requirements is insufficient to establish an EAR, the DRIs define an AI level. The AI is the level of intake assumed to be adequate based on observed or experimentally determined estimates of intake by apparently healthy people. AIs cannot be used to determine the proportion of a population with inadequate intakes. Instead, assessment focuses on comparison of mean usual intakes to an AI level. Populations with a mean usual intake equal to or greater than the population-specific AI can be assumed to have high levels of nutrient adequacy. However, when mean usual intakes fall below the AI, no firm conclusions can be drawn about the prevalence of adequate usual intakes.

The CDRR is the intake above which intake reduction is expected to reduce chronic disease risk within an apparently healthy population. The CDRR replaced the tolerable upper intake level for sodium in 2019 (NASEM, 2019).

The DRIs also define AMDRs for intakes of macronutrients (total fat, carbohydrate, and protein) and key fatty acids (linoleic acid and linolenic acid). The AMDRs reflect a range of usual nutrient intakes associated with reduced risk of chronic disease while providing adequate intakes of other essential nutrients (IOM, 2005a). AMDRs are expressed as percentage of total calorie intake because their requirements are not independent of each other or of the total calorie requirement of the individual (IOM, 2006). A key feature of AMDRs is that they specify ranges of intake. Intakes that fall outside these ranges (i.e., exceed the upper bound or fall below the lower bound) may increase risk of chronic disease.

The 2015–2020 DGA also include quantitative recommendations for saturated fat and added sugar that encourage reduced intakes. The DGA recommendations appear in table A.4.

Estimating usual nutrient intakes

The DRIs, which are used to assess the prevalence of inadequate and excessive nutrient intakes, are intended to be applied to measures of usual intakes or long-term averages of daily intakes. Therefore, information about the distribution of usual nutrient intakes is needed for assessing diets of population groups. Because individuals' nutrient intakes vary day to day, single 24-hour dietary recalls may lead to biased estimates of the distribution of usual intakes (National Institutes of Health [NIH], National Cancer Institute [NCI], n.d.b.). A second 24-hour dietary recall, for at least a subset of the population, facilitates estimation of usual intakes (Dodd et al., 2006; Tooze et al., 2006).

Table A.1. Estimated Average Requirement by Age and Gender Groups

Age (Years) and Gender Group	Vitamin A (mcg RAE)	Vitamin C (mg)	Vitamin D (mcg)	Vitamin B6 (mg)	Vitamin B12 (mcg)	Vitamin E (mcg)	Folate (mcg DFE)	Niacin (mg)	Selenium (mcg)	Copper (mg)	Riboflavin (mg)	Thiamin (mg)	Calcium (mg)	Iron (mg)	Magnesium (mg)	Zinc (mg)	Carbohydrate (g)	Protein (g/kg body weight)
Children																		
5–8	275	22	10	0.5	1.0	6	160	6	23	0.34	0.5	0.5	800	4.1	110	4.0	100	0.76
Males																		
9–13	445	39	10	0.8	1.5	9	250	9	35	0.54	0.8	0.7	1100	5.9	200	7.0	100	0.76
14–18	630	63	10	1.1	2.0	12	330	12	45	0.69	1.1	1.0	1100	7.7	340	8.5	100	0.73
Females																		
9–13	420	39	10	0.8	1.5	9	250	9	35	0.54	0.8	0.7	1100	5.7	200	7.0	100	0.76
14–18	485	56	10	1.0	2.0	12	330	12	45	0.69	0.9	0.9	1100	7.9	300	7.3	100	0.71

Note: mcg = micrograms; RAE = retinol activity equivalents; mg = milligrams; DFE = dietary folate equivalents; g = grams; kg = kilograms

Table A.2. Adequate Intake Level and Chronic Disease Risk Reduction Level by Age and Gender Group

Age (Years) and Gender Group	Potassium AI (mg)	Sodium AI (mg)	Sodium CDRR (mg)	Fiber AI (g)	Linoleic Acid AI (g)	Linolenic Acid AI (g)	Choline AI (mg)
Children							
4–8	2,300	1,000	1,500	25	10	0.9	250
Males							
9–13	2,500	1,200	1,800	31	12	1.2	375
14–18	3,000	1,500	2,300	38	16	1.6	550
Females							
9–13	2,300	1,500	1,800	26	10	1.0	375
14–18	2,300	1,500	2,300	26	11	1.1	400

Note: AI = adequate intake; CDRR = chronic disease risk reduction; mg = milligrams; g = grams

Table A.3. Acceptable Macronutrient Distribution Range by Age Group

Age Group (Years)	Total Fat	Linoleic Acid	Linolenic Acid	Carbohydrate	Protein
Percentage of Total Calories					
4–18	25–35	5–10	0.6–1.2	45–65	10–30

Table A.4. 2015–2020 DGA by Age Group

Age Group (Years)	Saturated Fat (Percentage of Total Calories)	Added Sugars (Percentage of Total Calories)
2–20	< 10	< 10

The study team used the National Cancer Institute (NCI) method to estimate the usual intake distributions, mean intakes, and percentage of school children above, below, or within the standards established in the DRIs or recommended in the 2015–2020 DGA. The NCI method involves the use of two SAS macros available on NCI’s website. The first macro Mixtran fits the regression model (Parsons et al., 2009). The second macro Distrib uses the parameters estimated by the Mixtran macro to estimate the usual intake statistics through simulation. The Distrib macro also provides the estimated percentage of the population whose intake falls below a given value (e.g., a DRI value, DGA recommendation). To estimate standard errors for the estimated percentiles and percentages, the study team used the balanced repeated replication method.

Usual intake of calories

Usual intake of calories was computed using the NCI Mixtran and Distrib SAS macros. The Mixtran macro transforms the data and fits the model used for calculating the estimates. The Distrib macro uses the parameters estimated by the Mixtran macro to calculate the mean and distribution of the variable of interest based on the model established for the population being examined.

2. Body Mass Index-for-Age

Weight status is defined using body mass index (BMI)-for-age, a measure of the relationship between height and weight. BMI is a widely accepted index for classifying the weight status of individuals as underweight, healthy weight, overweight, or obese. NHANES collects body measurement data during the MEC exam, including body weight and height. These data are available in the NHANES Body Measures Files. For children, CDC recommends using BMI to screen for overweight and obesity beginning at age 2 (CDC, 2018). Because children grow at different rates at different times, children’s weight status is determined by using BMI-for-age percentiles that account for a child’s age and gender. The team used the SAS program provided on CDC’s website to estimate BMI-for-age percentiles for children (CDC, 2019). The team classified children’s weight status based on comparison of BMI-for-age percentiles with the CDC standards. Table 3.2 in chapter 3 shows reference values for BMI.

3. Calories From Saturated Fats and Added Sugars

To assess the consumption of calories from saturated fats and added sugars, the study team estimated the percentage contribution of each to total calorie intakes. Estimates were based on a single day of intake. To construct this measure, the team obtained data on total calories from the NHANES Individual Foods Files and Total Nutrients Files and obtained data on saturated fats and added sugars from the Food Patterns equivalents data sources described previously. The results display the calories consumed from saturated fat and added sugar as a proportion of total calories among school children by participation/eligibility status and age group

4. Food Choices Defined Using the Supermarket Aisle Approach

To examine the food choices of NSLP participants and nonparticipants, the study team categorized all foods reported in day 1 dietary recalls according to the food groups and subgroups defined in the supermarket aisle approach used by Cole and Fox (2008a). This approach categorizes foods into major food groups and subgroups based on supermarket groupings. The study team made slight modifications to the food groups defined by Cole and Fox (2008a) to reflect the types of foods reported in NHANES 2011–2016. Grains were classified as whole grains if at least 50 percent of the total grains were whole grains (using data the Food Patterns equivalents data sources). Vegetables that were not categorized separately by type were assigned to the “other raw” or “other cooked” vegetable groups. Changes to food groups from the reports by Condon et al. released in 2015 (Condon, Drilea, Lichenstein, et al., 2015b) follow:

- ▶ “Other cooked” and “other raw” vegetables were no longer differentiated based on high versus low nutrients.
- ▶ Soy milk was removed from the dairy group and instead included in the newly created plant-based beverages group.
- ▶ Soups were no longer differentiated as meat soups, grain soups, or vegetable soups but instead categorized as soups/stews.

The study team estimated the percentage of school children consuming 1 or more foods (in any amount) from the 11 major supermarket aisle food groups on the day covered in the dietary recall. For each supermarket aisle subgroup, the percentage of school children consuming one or more foods from the subgroup among those who consumed any foods in the corresponding major group was estimated. For example, the percentage of school children consuming each grain subgroup is conditional on consuming any grains. This approach facilitates comparison of food choices among NSLP participants and nonparticipants while controlling for different overall levels of consumption at the major food group level. All the supermarket aisle food groups and subgroups reflect foods consumed as discrete items, with mixed dishes as its own category.

5. Average Amounts of Food Consumed From Supermarket Aisle Food Groups

The study team examined the mean amounts of food consumed by NSLP participants and nonparticipants on the day covered in the dietary recall from each of the major food groups and subgroups defined in the supermarket aisle approach. Amounts were estimated in both grams and food pattern units among the total population and among consumers of the major food groups only. To construct these measures, the Individual Foods Files, the Food Patterns equivalents data, and the major food groups and subgroups defined in the supermarket aisle approach were used. To estimate average amounts consumed in grams, gram amounts for foods reported consumed within each food group and subgroup were summed to create daily totals for each school child. To estimate amounts consumed in food pattern units, food patterns equivalents data were used to obtain cup and ounce equivalents data for foods in the milk and milk products, fruits, vegetables, meat and meat alternates, and grains groups and their associated subgroups. Food pattern units for each food group and subgroup were summed to create daily totals in cup or ounce equivalents for each school child. For foods reported as multiple components but counted as one item in the food choices analysis, the team summed the gram and food patterns units for all components reported, so foods were handled the same way in both analyses.

The study team then estimated the mean amounts of grams and food pattern units over the total population, which included all school children regardless of whether they had consumed a food group. To estimate the average amounts consumed among consumers only, the team included only those school children who reported consuming any item from the specific food group or subgroup. The estimates reflect average daily amounts of foods consumed on the day covered in the dietary recall. The results for the average amounts of foods consumed from supermarket aisle food groups should not be used to represent total food group intake or compared with USDA food patterns recommendations. Total food group intakes for each USDA food patterns group were not estimated for this study but were estimated by USDA's Agricultural Research Services using NHANES 2011–2011, 2013–2014, and 2015–2016 data. These intakes are available online in *What We Eat in America* summary tables at the following links:

- ▶ https://www.ars.usda.gov/ARSUserFiles/80400530/pdf/fped/Table_1_FPED_GEN_1112.pdf
- ▶ https://www.ars.usda.gov/ARSUserFiles/80400530/pdf/fped/Table_1_FPED_GEN_1314.pdf
- ▶ https://www.ars.usda.gov/ARSUserFiles/80400530/pdf/fped/Table_1_FPED_GEN_1516.pdf

6. Healthy Eating Index

To estimate mean HEI-2015 and HEI-2010 component and total scores, the study team used three SAS macros that allocate beans and peas to the protein/meat and beans and vegetable components and apply the HEI scoring algorithm (hei2010.beanspeas.allocation.macro.sas, hei2010.score.macro.v1.2.sas, and hei2015.score.macro.sas). These were developed by NCI (NIH NCI DCCPS, 2020a) and are available on NCI's website.

NCI's SAS programs and macros are designed to estimate mean HEI component and total scores and corresponding standard errors and confidence intervals using the day 1 dietary intake data from NHANES (NCI, 2020). The SAS code uses SAS survey procedures to account for the complex survey design and a Monte Carlo simulation step to compute standard errors. The SAS programs read in the variables needed from the NHANES Individual Foods Files and Total Nutrient Intakes Files and variables from the Food Patterns equivalents database. The study team adapted NCI's SAS code to calculate HEI scores for NHANES 2011–2016 and to import the food patterns data sources (described previously).

The SAS programs use the population ratio method and 1 day of dietary intake data to estimate mean component and total HEI scores. In this method, the ratio between the group's total intake of a food group or nutrient of interest and its total calorie intake is computed, rather than using means of individual scores or means of individual ratios. This convention is suggested largely because of two factors: (1) It reduces possible bias resulting from correlations between an individual's one-day food or nutrient to energy ratio and his or her calorie intake, and (2) there is usually less score truncation in the HEI scoring system for the group-level HEI measure than in the mean of the individual-level HEI scores (Freedman et al., 2008).

E. Statistical Methods

The study team produced all estimates for this report using SAS (version 9.4). Sample weights were used to account for sample design and nonresponse. Information about the NHANES design (strata and primary sampling units) was used for estimating variances and testing statistical significance. Therefore, the SAS procedures used included SURVEYREG and SURVEYMEANS.

The NHANES analytic guidelines recommend calculating standard errors using procedures that account for the complex sampling design effect to produce an asymptotically unbiased estimates of the variance. Following the NHANES guidelines, the team estimated standard errors using replicate weights that accounted for the complex survey design. Standard errors are included in appendix tables only.

1. Sampling Weights

The study team applied weights reflecting the sampling design of the NHANES to project sample statistics to population statistics. The study team constructed 6-year weights according to the NHANES analytic guidelines because all estimates are based on three cycles of NHANES data. NHANES provides several weights for use in analyzing each cycle of data, including full sample 2-year interview weights, full sample 2-year examination weights, day 1 dietary sample weights, and day 2 dietary sample weights. Because the team limited its analytic sample to NHANES respondents with complete and reliable day 1 dietary recall data, the team primarily used the day 1 dietary sample weights. Day 1 weights adjust for the nonresponse in the day 1 dietary recall and the differential allocation by day of the week for the dietary intake data collection. For the usual intakes analysis, which used both day 1 and day 2 dietary recall data, the team also used the day 2 dietary sample weights. This weight incorporates adjustments for the additional nonresponse in the day 2 dietary recall and for the proportion of weekend-weekday combinations of day 1 and day 2 recalls.

2. Age-Adjusted Statistics

The study team used age adjustment to produce descriptive estimates for all school children aged 5–18, 5–8, 9–13, and 14–18 and separately for boys and girls. For all outcomes except usual nutrient intakes, when adjusting estimates for all school children, the team used a single weight for everyone in an age group rather than separate weights for males and females. For usual nutrient intakes, age adjustment was applied separately for males and females, and then age adjustment weights were used to create the combined group estimates.

Age adjustment eliminates differences between comparison groups resulting solely from differences in the age distributions of the groups. The age-adjusted estimates are calculated as the weighted average of estimates computed for each DRI age group (or portion of DRI age group) using weights equal to the proportion of the 2010 U.S. population within each age group. Table A.5 shows the population distribution used for age adjustment. Two approaches were used for age adjustment.

Table A.5. 2010 Census Population for DRI Age Groups

Age Group (in Years)	Population	Percent
5–8	16,200,304	27.7
9–13	20,659,565	35.3
14–18	21,621,091	37.0

Note: DRI = Dietary Reference Intake

The study team used the first approach for the HEI-2015, HEI-2010, and usual nutrient intakes outcomes. In this approach, each DRI age-group mean score was calculated. The mean score for each comparison group was computed as the weighted average of the age group estimates for that group, using census proportions. The team used the same set of weights for each comparison group and used the following equation to calculate standard errors for HEI-2015, HEI-2010, and usual nutrient intakes:

$$\sqrt{\sum_{i=1}^J [(SE_{x_i})^2 \times (K_i)^2]}$$

In this equation, SE_{x_i} is the standard error for DRI age-group “i,” and K_i is the census proportion adjustment for that age group.

The second approach was used for the calories from saturated fats and added sugars, BMI, and food choices outcomes. In this approach, the outcome was first calculated for each individual. SAS procedures were used to calculate age-adjusted estimates and standard errors. Census proportion adjustments for each DRI age group were incorporated into PROC SURVEYMEANS and PROC SURVEYREG. Output from running PROC SURVEYREG provided separate estimates and standard errors for all school children, all NSLP participants, income-eligible participants, income-eligible nonparticipants, higher income participants, and higher income nonparticipants.

For the analysis, age adjustment was not applied to the average amounts of foods consumed. Insufficient sample sizes prevented the computation of reliable estimates for numerous components of this analysis. For many of the food subgroups included, specific age groups contained zero participants consuming food in that subgroup. When no one in an age or comparison group consumed a food, there was insufficient variation to use age-adjustment procedures.

3. Statistical Significance

For the analyses, the study team conducted *t*-tests to determine whether differences in outcomes between income-eligible participants and nonparticipants, and higher income participants and nonparticipants reached statistical significance. Because of the large number of *t*-tests conducted (comparing NSLP participants in each income category with nonparticipants, overall and by age group and gender), the team urges caution in interpreting results; a proportion of these tests would be expected to be significant just by chance. All tables indicate statistically significant differences at the .05, .01, and .001 levels. All tables throughout the report indicate statistically significant differences at the .05 level or better.

4. Indicators of Statistical Reliability

The study team tested all estimates for statistical reliability according to recommendations in the NHANES analytic guidelines on variance estimation. These guidelines recommend that estimates have a relative standard error of 30 percent or less rather than a minimum sample size. Because the design effect is highly variable for different variables within each 2-year cycle of the continuous NHANES, the analytic guidelines do not set a single minimum sample size for analysis (CDC NCHS, 2020c). Estimates in each table were flagged with a “u” if the coefficient of variation (ratio of the standard error to the mean expressed as a percent) was greater than 30 percent to indicate the estimate is statistically unreliable. Unreliable estimates are not discussed in this report.