European Social Survey, Round 6

Specification for participating countries

This document was written for the European Social Survey (ESS). The principal authors were Dr. Ineke Stoop and Henk Fernee. The Central Coordinating Team of the ESS requests that you use the following form of words to cite this document:


June 2011
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**Specification overview**

This specification documents the requirements for each country participating in the sixth round fieldwork of the European Social Survey (ESS). The specification provides detailed information and refers to the ESS website for further documents www.europeansocialsurvey.org (see also section 4.3). National Coordinators should note that many of these documents will be revised and updated prior to Round 6 and they should check the ESS website regularly for the latest versions.

In summary, participation in ESS Round 6 fieldwork involves:

- **The appointment of a National Coordinator** to oversee the project, co-ordinate between the various groups involved, and promote the use of ESS data spending between 30% and 50% of their time between September 2011 and October 2013 (see Section 2.1);

- **The appointment of a survey organisation** capable of, and with a track record in, conducting national probability-based surveys to the most rigorous standards by means of face-to-face interviewing (see section 3);

- **Preparing the questionnaire** including translation and testing the questionnaire.

- **Translation** (see section 5.3)
  - Translated questionnaires to be produced for any minority language groups constituting 5% or more of the population
  - Translation process to include review, adjudication, verification and SQP coding stages, according to specified protocols (translation verification by an external agency prior to fieldwork commencing)
  - Every stage of translation to be documented for future reference

- **Drawing a sample** by adhering to exacting methodological standards including the following (see section 6):
  - Full coverage of the residential population
  - Use of strict random methods at all stages
  - No substitution at any stage
  - Minimum ‘effective’ sample size of 1,500 (or 800 where population is under 2m) (i.e. to obtain an effective sample size of 1,500, the actual number of interviews will be greater than this in most countries) (see appendix II)

- **Conducting the fieldwork** (see Section 7 Fieldwork) by adhering to exacting methodological standards including:
  - Fieldwork period of at least one month between September and December 2012
  - Approximately hour-long interviews when conducted in British English carried out face-to-face, including a short supplementary questionnaire
  - At least 4 calls, on different days of the week and times of day, including at least 1 at the weekend and 1 in the evening to locate potential respondents
  - Target minimum response rate of 70% and a target maximum non-contact rate of 3% (see section 7.3)
  - Employing ways of enhancing response rates such as the use of incentives, reissuing refusals and non-contacts, and so forth
  - All interviewers to be trained for the survey in face-to-face briefing sessions including training on the collection of observable data (see Appendix 3 Interviewer training).
  - The use of detailed contact forms to monitor the fieldwork process, including the outcome of each call at each address and the collection of observable data
  - Limited interviewer workloads

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1 The costs of the verification will be met by the CCT who will commission an external verification agency to carry out this work.
2 Countries should note that interview length in different languages may vary and budget accordingly.
• Specified quality control checks

• **Data preparation** (see section 8)
  • The Archive intranet at [http://essdata.nsd.uib.no](http://essdata.nsd.uib.no) provides specifications for all electronic deliverables to the Archive.
  • The ESS Data Protocol for Round 6 will be available from the Archive intranet at [http://essdata.nsd.uib.no](http://essdata.nsd.uib.no).
  • Coding of verbatim recorded items (occupation, industry, country and language) to international standard classifications available from [http://essdata.nsd.uib.no](http://essdata.nsd.uib.no)
  • Bridging of country specific variables to ESS standards for religion, education and possibly other background variables. Details available from [http://essdata.nsd.uib.no](http://essdata.nsd.uib.no).
  • Checking of data: The National Coordinators are responsible for the validity of the national data.
  • Anonymised data: The National Coordinators must confirm in their National Technical Summary form that data that will be made publicly available from the ESS Data website has been anonymised in accordance with national or EU regulations.
  • Deposit of data and documentation to the Archive by February 2013, in accordance with the specifications given in the Data Protocol.

• **Coding media claims**
National Coordinators to code claims by national newspapers/ Lexis-Nexis database that relate directly to topics covered in the ESS questionnaire. Claims will only be categorised and ‘scored’ in terms of the strength and direction of their predicted effect on response (see also section 4.3 for guidelines on ESS website).

If you have any questions or remarks about the R6 Project Specification, please contact Ineke Stoop or Henk Fernee:

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1. Introduction

1.1. Aims

The principal long term aim of the project is to chart and explain the interaction between Europe’s changing institutions, its political and economic structures, and the attitudes, beliefs and behaviour patterns of its diverse populations. But an equally important shorter-term aim is to develop and demonstrate an approach to the conduct of rigorous quantitative multinational social surveys in Europe that matches that of the best national surveys in Europe and the USA. The data and other outputs of the ESS are freely available to the research and policy communities throughout Europe and beyond via www.europeansocialsurvey.org. Now that the ESS biennial time-series has built survey upon survey, it is starting to provide a unique long-term account of change and development in the social fabric of modern Europe. One indicator of the success of ESS is that more than 30 countries have participated in previous rounds, and most of these are expected to participate in Round 6 (see appendix I). A second indicator is the positive review of the ESS from an ESF review panel chaired by Professor Bob Groves (available on the ESS website). Perhaps most important is the clear evidence that ESS data is being used. Looking first at figures from the ESS data website, there are now over 39,000 registered data users, the majority of whom have downloaded the dataset for further analysis and study. Many others (including journalists, think tanks and politicians) have conducted tabulations on-line. And the usage is by no means confined to Europe. For instance, there are now over 2200 registered users in the USA.

Encouragingly, ESS registered data users seem to have been far from idle. The bibliography of substantive outputs already contains 496 substantive publications by authors from many different countries, including 290 journal articles and over 20 books. These journal articles naturally cover several languages, but the large majority are in English, including several prominent English-medium international journals.

The ESS team is also working on the development of a set of attitudinal social indicators that can be considered alongside existing economic and behavioural indicators. The ESS has also activated research networks across Europe and encourages the participation of young researchers in the substance and methodology of rigorous comparative research.

1.2. Coordination

The European Social Survey is an academically led and methodologically rigorous biennial study of changing social attitudes and values within Europe. The coordination of the project is the responsibility of the Central Coordinating Team (CCT). The team is led by Professor Roger Jowell (City University, London UK), and includes leading social scientist from the following organisations: University of Leuven Belgium, NSD Bergen Norway, GESIS, Mannheim Germany, Universitat Pompeu Fabra (UPF) Spain, SCP The Hague Netherlands and University of Ljubljana Slovenia (see www.europeansocialsurvey.org, Organisational structure, Central Coordinating Team).

1.3. Funding

Funding for central coordination for the first sixth rounds of the project has mainly been provided by the European Commission (EC). Supplementary funds are being provided by UK Economic and Social research Council. The European Science Foundation (ESF) covers the costs of scientific liaison. The costs of both the national survey and the National Coordinator (NC) within each participating country are borne by each country.

1.4. Support

The CCT is supported by a number of advisory and consultative groups, principal among which is the Scientific Advisory Board under the chairmanship of Professor Max Kaase. The Scientific Advisory Board consists of one representative from each participating national funding agency, one from the ESF and one from the European Commission. A small multinational Methods Group advises on other methodological issues, while two question module design teams have been selected by a competitive

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Registered data users are logged by CCT colleagues at NSD Norway, the official ESS data archive. Full summaries of users classified by type and country are also available, and an online bibliography is now also up and running.

Funding for central coordination for the fifth round (year 1) was provided by research councils and/or research ministries in the UK, Germany, Sweden, Switzerland, the Netherlands, Finland, Norway and Austria.
process to help design the variable elements of the questionnaire for Round 6. For further details of the CCT and the other groups involved in the ESS refer to the ESS website (www.europeansocialsurvey.org, Organisational Structure).

1.5. Specifications and other supporting documents
These specifications are provided for the national funding agencies in participating countries to aid the selection of National Coordinators (NCs) (section 2) and survey organisations (section 3), who will be responsible to the CCT for the conduct of each national survey to common specifications and standards. Since the specification for the survey itself will, of course, play a major role in all the selection processes, it is also included here (sections 5, 6, 7 and 8). Throughout the specification we refer to other documents which give more detail about the procedures to be followed (these can be found on the ESS websites). Direct links are provided where appropriate but in most cases a specific section of the website is referred to. A summary of useful documents is given in section 4.3.

1.6. National level appointments
In order to carry out the ESS to a comparable standard within each participating country, each national funding agency is to appoint (or cause to be appointed) a National Coordinator and a survey organisation. These appointments may or may not be located in a single institution.

The selection process will, of course, vary between countries according to local circumstances and conventions. The CCT may be called upon either to advise on or assist in the selection process. In any event the CCT is to be consulted in sufficient time to ensure that the appointments comply as closely as possible with the specifications outlined later in this document.

The two appointments at national level may be made simultaneously or consecutively. Either way, the national funding agency and others involved should bear in mind the paramount need for its selected appointees to work successfully as a coherent team.

The NC will be the principal contact with the CCT on all aspects of the ESS in each country. He or she will also be responsible to the CCT for ensuring the implementation of a rigorous, standardised set of procedures and methods to a pre-specified design and timetable.

The selection of the NC by each national funding agency is ideally to be made in time for work to start at national level at the beginning of September 2011, but at any rate no later than the start of November 2011. Although their work will not begin in earnest until early in 2012, NCs should be appointed in time for them to be able to comment during the questionnaire design process between September 2011 and March 2012. The selection of the survey organisation should be made by April 2012.

1.7. Ethical issues and copyright
The study subscribes to the Declaration on Ethics of the International Statistical Institute (ISI, www.cbs.nl/isie/ethics.htm), to which all national teams will be asked to adhere (in addition to any current code obligations they may have).

No national data (or interpretations of such data) must be released or published until the data has been officially released by the ESS data archive at NSD Norway. Thereafter, the data will be available without restriction as a resource for research and policy making in all participating countries and beyond to quarry at will.
2. Specification for National Coordinator (NC)

2.1. NC workload and time span

In countries that did not participate in Round 5 or where NCs and/or survey organisations did not work on Round 5, we expect that NCs will need to commit more time to the ESS than in other countries.

So, from September 2011 to October 2013:
- countries who did not participate in Round 5 should allow for approximately 50% commitment from the NC (10 months full-time equivalent);
- countries who participated in Round 5, but are appointing a different NC and/or survey organisation should allow for approximately 30% commitment from the NC (7 months full-time equivalent);
- countries who participated in Round 5 and are appointing the same NC and survey organisation can usually expect to reduce the commitment to approximately 25% (5½ months full-time equivalent).

The workload of the NC will vary over the period of the survey. From previous rounds, it is clear that the bulk of the work takes place during the translation and fieldwork preparation periods (March – September 2012 for Round 6) with additional time required for the data preparation and processing period (February 2013-October 2013 for Round 6).

2.2. NC Activities

Liaise, communicate, meet and advise

The NC will
- serve as the link between the national survey operation and the CCT
- meet with and advise ‘ESS sample panel experts’ on appropriate local procedures to comply with ESS sampling requirements, including maximising effective sample size and ensuring that the sampling design is formally signed off prior to the start of fieldwork
- meet with and advise ‘ESS question module design teams’ on question construction and provide detailed comments on two or more drafts of the questionnaire (see also section 5.1)
- liaise with the CCT on best implementation strategies to meet ESS requirements for data collection
- liaise with the CCT on best implementation strategies to meet ESS requirements for education measurement
- liaise as necessary with the ESS data archive (NSD Norway) about data deposit and data processing queries
- provide the name and e-mail address of a responsible contact person at the fieldwork organisation to the ESS data archive (NSD). This contact person will only be included in correspondence directly related to deliverables and processing of data and documentation
- liaise with the ‘ESS translation team’ while preparing and executing the translation of the ESS survey instruments into the national language versions and during the translation verification process
- attend plenary meetings with other NCs
- promote the use of ESS data, in line with our ultimate goal to make the ESS as widely used among academics, policy makers and other relevant communities as possible.

Coordinate, monitor, support, provide and react

The NC will
- complete the fieldwork questionnaire and discuss matters arising with the CCT (fieldwork should not start before the fieldwork questionnaire has been signed off)
- submit the contract agreed with the fieldwork agency to the CCT
- co-ordinate translation from the English source questionnaires, including verification and SQP coding
- co-ordinate and interpret national pre-tests
- liaise with their assigned sample expert when producing a sample design (fieldwork should not start before the sampling design has been signed off)
• plan and either conduct or attend the fieldwork briefings for interviewers
• one month prior to fieldwork commencing agree projections for fieldwork with the fieldwork contact point of the CCT
• monitor fieldwork and data preparation operations, ensuring contract compliance and optimum response and providing the CCT with fortnightly updates
• provide the CCT with pre-specified coded media claims taken from newspapers during fieldwork
• provide the CCT with all the electronic deliverables as specified in the Data Protocol
• provide the CCT with the sample design data file (note this is a requirement in order to produce the design weights and be included in the combined data set)
• authorise code book, data documentation and fieldwork documentation
• provide the CCT with population data necessary for coverage and response assessment and weighting
• provide the CCT with pre-specified country-specific context variables if these are not centrally available
• provide the CCT with contact form data
• prepare a full technical report (to a pre-specified format and standard) containing details of national sampling, fieldwork, response rates, etc.
• advise on post-stratification of national data and any weighting required
• provide the CCT with household income range frequency tables for the source of the income range categories in the main questionnaire along with full details about the source used

2.3. **NC Requirements**

The NCs have a major role in the project and will act as a liaison between the national funder, the national fieldwork organisation, and the different stakeholders in the CCT (sampling experts, translation team, fieldwork contact points, data archive, etc.). He or she will be:

- a person of standing within the social science community of his/her country
- familiar at first hand with survey methodology and procedures
- knowledgeable about past national or sub-national studies of a similar nature and, ideally, with experience of cross-national research
- fluent in spoken and written English

In addition:

- The NC should **not** have any other key role within the ESS organisational structure (e.g. should not also represent their country as a member of the Scientific Advisory Board).
- In countries where the NC works within a separate organisation from the survey institution fielding the survey, some of the tasks listed above may contractually be transferred to the survey organisation, but the responsibility for their delivery and for liaison with the CCT must continue to reside with the NC.
- The NC should ensure that national data is not published or reported in any way before the release of the harmonised data file comprising these national data (see Section 1.7).
3. Specification for survey organisation

The survey organisation appointed in each country must be capable of, and have a track record in, conducting national probability-based surveys to the highest standards of rigour by means of face-to-face interviewing. All contenders will have to submit proposals and budgets according to the specification of the survey in Sections 4, 5, 6, 7 and 8. They will also need to be made aware that for this survey they may have to change or adapt some of their routine procedures and methods in order to ensure cross-national comparability and equivalence.

Before the fieldwork contract has been signed or the fieldwork proposal has been agreed upon a fieldwork questionnaire – to be provided by the CCT – detailing data collection procedures will have to be completed by the NC, discussed with the CCT and then signed off by the CCT. This fieldwork questionnaire is used by the CCT to check whether the NC fieldwork plans adhere to the fieldwork specifications. A copy of the final contract with the fieldwork organisation, referring to the survey specifications, must be forwarded to the CCT as soon as it has been agreed upon by all partners.

The fieldwork questionnaire is meant to serve as an aid for NCs to enable them to adhere to the ESS Specifications and to help when dealing with (subcontracted) survey organisations. In addition, it aims to support the ESS Fieldwork Team when monitoring national fieldwork plans and flag up possible problems early on. The overall aim is to optimise results and prevent deviations from the ESS Specifications and therefore ensure comparability and equivalence cross-nationally.

The survey organisation will conduct the fieldwork according to the specifications. Besides the actual data collection this comprises the activities mentioned below. These activities will usually have to be conducted in close cooperation with the NC and may in a number of cases be taken over by the NC.

- Designing and printing or programming the questionnaires (including contact forms)
- Test routing and completeness of questionnaires
- Pretesting the translated questionnaire(s)
- Interviewer training and briefing (see appendix III)
- Preparing and sending advance material (advance letters, brochures)
- Advice on enhancing response rates (e.g. incentives)
- Sampling implementation (samples of individuals, households or addresses)
- Data collection (face-to-face interviews)
- Monitor interviewers and fieldwork, and provide fortnightly reports to NC
- Clean and edit data files
- Code and classify
- (Help) prepare data files and documents

In addition to the total estimated field costs of the survey, the survey organisation should provide an estimate of pure fieldwork costs i.e. interviewer pay plus interviewer reimbursement for travel, subsistence etc. This information is a necessary requirement for assessing cost-efficiency and quality across countries.
4. **Round 6 Timetable, overview of actions and important background information**

4.1. **Timetable round 6**

**(March 2011—September 2013)**

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 2011—June 2011</td>
<td>Round 6 pre-testing – including omnibus testing and cognitive interviewing</td>
</tr>
<tr>
<td>May 2011</td>
<td>Round 6 Specification for participating countries issued</td>
</tr>
<tr>
<td>September-November 2011</td>
<td>Advance Translation (in two volunteer countries)</td>
</tr>
<tr>
<td></td>
<td>Pilot Fieldwork (in two countries)</td>
</tr>
<tr>
<td>November 2011</td>
<td>NCs start discussions with assigned sampling expert</td>
</tr>
<tr>
<td>January 2012</td>
<td>NCs start completing and discussion of Fieldwork Questionnaire</td>
</tr>
<tr>
<td>Mid January 2012</td>
<td>Penultimate questionnaire sent to NCs for comment</td>
</tr>
<tr>
<td></td>
<td>NCs asked to highlight possible translation problems</td>
</tr>
<tr>
<td>Late January 2012</td>
<td>NC Meeting</td>
</tr>
<tr>
<td>March 2012</td>
<td>Source Questionnaire and Source fieldwork documents issued</td>
</tr>
<tr>
<td>April-May 2012</td>
<td>Education variable - consultation with NSD</td>
</tr>
<tr>
<td>April 2012 – August 2012</td>
<td>Translation</td>
</tr>
<tr>
<td>May-August 2012</td>
<td>Translation Verification</td>
</tr>
<tr>
<td>May-August 2012</td>
<td>SQP Coding</td>
</tr>
<tr>
<td>June 2012</td>
<td>Data Protocol and dictionaries made available</td>
</tr>
<tr>
<td>June - August 2012</td>
<td>Country specific pre-tests (to assess translated questionnaires in each country)</td>
</tr>
<tr>
<td>September 2012</td>
<td>ESS Round 6 Fieldwork starts</td>
</tr>
<tr>
<td>31st December 2012</td>
<td>ESS Round 6 Fieldwork ends</td>
</tr>
<tr>
<td>End of February 2013</td>
<td>Data delivery to the archive</td>
</tr>
<tr>
<td>February – September 2013</td>
<td>Data processing and Archiving</td>
</tr>
<tr>
<td>October 2013</td>
<td>1st data release expected</td>
</tr>
</tbody>
</table>

a) Note that the timing for translation, translation verification, SQP coding and pre-testing will vary depending on the individual country timetables.

b) The ESS Archive (NSD) will check and merge the national datasets into a combined multi-nation dataset that will be released publicly and to all national data repositories as soon as it is signed off by the CCT. This initial release may, however, have to exclude any national dataset that arrives after the deadline of February 2013, or for which the data and/or technical documentation is late or incomplete. A final release will be made once all countries have submitted data and documentation.
4.2. **Overview of NC actions required before, during and after fieldwork**

### 4.2.1.  Before fieldwork

1. Request supplementary questionnaires from City – specifying mode and method for randomisation.
2. Consult City regarding the inclusion of country-specific questions in the questionnaire (if applicable).
3. Translate source questionnaire and supplementary questionnaires. Carry out reconciliation meeting with other countries if needed.
   
   Liaise with NSD regarding the sign off process for the religion, income and education variables.
4. Prepare the national fieldwork specifications for the survey agency in close coordination with the CCT. This means that the fieldwork questionnaire should be completed, discussed with the CCT and signed off before the start of fieldwork. A weblink providing access to the fieldwork questionnaire will be provided by the CCT.
5. Contact sampling expert; discuss sampling plan and get it signed off before starting fieldwork.
6. Submit final translation for verification. After receiving the verifier’s comments, amend questionnaire if needed depending on the results of verification.
7. Conduct pre-test of translated version of questionnaire (after translation verification and SQP) (see section 5.3).
8. Request contact forms from City after consulting sampling expert about which form is appropriate.
9. Agree projections for fieldwork with the CCT one month prior to fieldwork commencing. At a minimum this must include the number of completed interviews expected per fortnight.
10. Provide a copy of the contract with the fieldwork agency to the CCT

### 4.2.2.  During fieldwork

1. Monitor fieldwork, and provide fortnightly reports to the CCT fieldwork contact point
2. Report any deviations/problems of fieldwork, changing sample frame or duration of fieldwork to CCT
3. Track media claims (for guidelines see section 4.3)

### 4.2.3.  After fieldwork

Submit complete list of electronic deliverables to the ESS Archive at NSD (see section 8)

**Remember the two key websites to refer to:**

1. ESS intranet area at [www.europeansocialsurvey.org](http://www.europeansocialsurvey.org) Key documents can be found in the 'Current Round Documentation’ section. Access to the intranet will be provided to the NC once participation in round 6 has been confirmed.
2. ESS Archive Intranet area for NCs [http://essdata.nsd.uib.no/](http://essdata.nsd.uib.no/). NSD will provide log in details.

4.3. Overview of links to important background documents

The tables below provide information on where to find key documents mentioned in this document. Note that Round 6 versions of these documents will be made available at a later date.

All documents listed below are available from the ESS website ([www.europeansocialsurvey.org](http://www.europeansocialsurvey.org))

<table>
<thead>
<tr>
<th>Document</th>
<th>Location on the website</th>
</tr>
</thead>
<tbody>
<tr>
<td>Round 5 Questionnaire and showcards</td>
<td>Downloads, The Questionnaire, Main questionnaire, Round 5</td>
</tr>
<tr>
<td>Round 5 Supplementary Questionnaire</td>
<td>Downloads, The Questionnaire, Supplementary questionnaire, Round 5 (note that only the self-completion version of the supplementary questionnaire is available online)</td>
</tr>
<tr>
<td>Round 5 Translation guidelines and Translation Quality Checklist</td>
<td>Project Information, Project Specification, Translation strategies</td>
</tr>
<tr>
<td>Round 5 TVFF Vademecum</td>
<td>Project Information, Project Specification, Translation strategies</td>
</tr>
<tr>
<td>Round 5 Example Contact form; Round 5 contact form instructions, algorithm for computing outcome codes and R5 Guidelines for Collecting observable data</td>
<td>ESS Fieldwork, Fieldwork Documentation, Contact Forms</td>
</tr>
<tr>
<td>Round 5 Fieldwork progress reporting</td>
<td>ESS Fieldwork, Fieldwork Documentation, Progress checks</td>
</tr>
<tr>
<td>Round 5 Guidelines for enhancing response rates</td>
<td>ESS Fieldwork, Fieldwork Documentation, Response Rates</td>
</tr>
<tr>
<td>Guidelines for media claims</td>
<td>This document will be made available in time for Round 6</td>
</tr>
<tr>
<td>Guidelines for interviewer training</td>
<td>This document will be made available in time for Round 6</td>
</tr>
<tr>
<td>Guidelines for SQP coding</td>
<td>This document will be made available in time for Round 6</td>
</tr>
<tr>
<td>Round 5 Sampling Guidelines</td>
<td>Project Information, Project Specification, Sampling strategy</td>
</tr>
</tbody>
</table>

The ESS Data Protocol is available from the ESS Archive intranet at [http://essdata.nsd.uib.no/](http://essdata.nsd.uib.no/)
5. Preparing the questionnaire

5.1. Questionnaire design – content

The core questionnaire items cover both socio-demographic and substantive themes. The content of the core remains largely constant at each round although it may be reduced for Round 6 in order to reduce the overall interview length. It includes both independent and dependent variables; the latter designed to measure shifts over time in what are considered to be key components of Europe’s social fabric. These core questions have been designed in collaboration with a group of experts in different fields. The link to the final version of the R6 source questionnaire and show cards can be found at http://www.europeansocialsurvey.org/index.php?option=com_content&view=article&id=63&Itemid=3. In ESS Round 6 there are 2 rotating modules of 40 items each, one on ‘Personal & Social Well-being’ (a repeat module from ESS Round 3) and one on ‘Understanding and evaluating democracy’. These topics were successful in an academic competition and have been selected by the ESS Scientific Advisory Board in collaboration with the CCT. An overview of core topics and rotating modules is given in Table 1 below:

Table 1: ESS Questionnaire topics

<table>
<thead>
<tr>
<th>Core topics</th>
<th>Rotating modules</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public trust in government, politicians and other major institutions</td>
<td>Round 1</td>
</tr>
<tr>
<td>Political interest and participation</td>
<td>Citizenship, involvement and democracy</td>
</tr>
<tr>
<td>Socio-political orientations</td>
<td>Immigration</td>
</tr>
<tr>
<td>Issues of governance and efficacy at the national and international level</td>
<td>Round 2</td>
</tr>
<tr>
<td>Underlying moral, political and social values</td>
<td>Family, Work &amp; Well-Being</td>
</tr>
<tr>
<td>Social inclusion and exclusion</td>
<td>Opinions on Health &amp; Care Seeking</td>
</tr>
<tr>
<td>Perceived threat from terrorism</td>
<td>Economic Morality in Europe: Market Society &amp; Citizenship</td>
</tr>
<tr>
<td>Fear of crime</td>
<td>Round 3</td>
</tr>
<tr>
<td>National, ethnic and religious allegiances</td>
<td>Personal &amp; Social Well-being: Creating indicators for a flourishing Europe</td>
</tr>
<tr>
<td>Well-being, health and security</td>
<td>The Timing of Life: The organisation of the life course in Europe</td>
</tr>
<tr>
<td>Demographic composition – age, sex, marital status, etc</td>
<td>Round 4</td>
</tr>
<tr>
<td>Education and occupational background</td>
<td>Experiences and Expressions of Ageism</td>
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<tr>
<td>Financial circumstances</td>
<td>Welfare attitudes in a changing Europe</td>
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<tr>
<td>Household circumstances</td>
<td>Round 5</td>
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<td></td>
<td>Family, Work &amp; Well-Being (see Round 2)</td>
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<td></td>
<td>Trust in Criminal Justice</td>
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<td>Round 6</td>
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<td></td>
<td>Personal &amp; Social Well-being (see Round 3)</td>
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<tr>
<td></td>
<td>Understanding and evaluating democracy</td>
</tr>
</tbody>
</table>

5.2. Questionnaire design – process

The CCT will make all efforts to prepare a source questionnaire where the main interview takes around 45-50 minutes and the supplementary questionnaire around 10 minutes (the supplementary questionnaire can either be administered as a self completion drop off or a continuation of the main questionnaire). Where the supplementary questionnaire is administered by the interviewer the total interview length in British English should not exceed 60 minutes.

These estimates do not include the time taken to answer any national questions which countries may choose to add, the interviewer questions, general administration or the contact procedures.
ESS National Coordinators should estimate how long the questionnaire will take to administer in their country’s languages noting that these may differ from the time taken to ask the questionnaire in British English. Where possible these should be based on experience from previous rounds of the ESS. The final Round 6 questionnaire is expected to be available in March 2012. A questionnaire design template, which documents the development of the rotating modules, has been made available on the intranet section of the ESS website. All NCs should follow the development process via the intranet and are expected to comment in detail on two drafts of the proposed modules and to provide other advice and guidance when requested. The design templates from round 6 can be found on the ESS website (www.europeansocialsurvey.org, The Questionnaire, Rotating Modules). A smaller group of NCs will be asked to provide additional comments earlier in the question design process.

As in previous rounds, the ESS 6 questionnaire will include two components:

a) The interview questionnaire
The interview questionnaire consists of both ‘core’ and ‘rotating’ modules. The core modules remain fairly constant from round to round and are both substantive and socio-demographic in nature. The rotating modules differ from round to round and are inspired and drafted by competitively-selected, multinational questionnaire design teams. Both the core and rotating modules are administered to all respondents. The interviews will be conducted in respondents’ homes. The questionnaire will be administered face-to-face either in a paper-and-pencil form or by computer-assisted interviewing – the latter if there is adequate experience of it in a particular country since the quality is often higher.

b) The supplementary questionnaire
The purpose of the supplementary questionnaire is twofold. Firstly, it contains 21 questions on human values which are asked of all respondents. The second part contains repeat measures from the main interview questionnaire that are asked here in a slightly modified form. Repetition is necessary in order to determine measurement errors and the reliability of the items. In order to allow sufficient questions to be tested in this way without overburdening respondents, the sample will be split into three groups, each group getting a different set of 12 questions.

To be able to assess measurement errors and the reliability of items it is necessary that the supplementary questionnaire is administered in either one of the following ways:

1. as an extension of the main interview questionnaire
   OR
2. as a self-completion questionnaire

A combination of the two methods above may NOT be used.

If the supplementary questionnaire is to be administered as a self-completion questionnaire, the CCT strongly advises that it is completed whilst the interviewer waits. If this is not possible the respondent should be advised to complete the supplementary questionnaire within one week of completing the main questionnaire. These procedures will help to increase measurement reliability since the responses given to attitude questions can vary relative to the context that they are measured in. The interviewer should not assist the respondent to fill in the questionnaire in any way. A target response rate of 90% of those who completed the main interview must be aimed at.

c) Adding country-specific questions
Any nation may add items to the questionnaire for national rather than multinational use. But any additional country-specific questions may be inserted only after the ESS questions in sequence, whether in the interview or in the supplementary questionnaire. If the supplementary questionnaire is administered as an extension of the interview questionnaire, country-specific questions must be added after the supplementary questionnaire. The number and duration of any extra questions must be discussed in advance with the CCT to ensure that the extra time of interview does not compromise overall response rates.

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5 In a small number of cases, where requested by the respondent, the interview may be conducted at a respondent’s work or elsewhere outside the home.
5.3. **Questionnaire translation, verification and pre-testing**

Detailed descriptions of the translation procedures and requirements referred to here are available on the ESS website (ESS website – see 4.3) and in the ESS Translation Guidelines. Updated procedures will be developed for Round 6 prior to the start of the translation process. For countries which participated in earlier rounds, a substantial part of the translation work will already have been carried out (core questionnaire, contact forms, fieldwork documents etc). Only the rotating modules of the questionnaire, plus any amendments to the core questionnaire, will remain to be translated. Countries which have participated in previous rounds of the ESS should note that changes in their translations of items in the core questionnaire should **not** be implemented without approval from the CCT. Details of any changes must also be recorded in the translation documentation.

**Languages to be translated:**

- Translations are required for each language used as a first language by 5 per cent or more of the population.
- Each country translates its own version(s) of the source questionnaire.
- Countries sharing languages (France/Switzerland/Belgium, for example) will prepare their own draft version and will then consult each other about appropriate translation and possible harmonisation of question wording.
- In the end, however, each nation will be responsible for ensuring the functional equivalence of its own translation(s).

**Procedures to be followed:**

The following procedures must be followed regarding translation:

- NCs are required to find suitable individuals to fulfil the three key roles in the approach: **translators**, **reviewer**, and **adjudicator**.
- Translators are to translate out of English into their strongest language. (In most cases this is a person’s ‘first’ language.)
- Two translators are required per translated draft questionnaire.
- Countries should budget for two independent draft translations, although countries sharing languages can use a ‘split’ translation approach, which reduces costs. Details on split translations can be found in the ESS Round 5 Translation Guidelines which will be updated prior to Round 6 (see section 4.3).
- As in Round 5, all translated language versions will be subject to linguistic quality checking by an external service provider. The procedure is described in the ESS Round 5 Translation Guidelines.
- Countries will be asked to document their translation, verification, assessment, SQP procedures and to provide this and their final translated questionnaires as well as, if applicable, the final versions of the TVFF (Translation and Verification Follow-Up Form) to the CCT. It would be prudent to budget for the same translation and documentation procedures as those implemented in Round 5; the cost for verification will be paid by the CCT.
- Countries will be asked to formally sign off on their translations prior to fieldwork commencing. Details can be found in the ESS Round 5 Translation Quality Checklist (see section 4.3) which will be updated for Round 6.

**Suitable personnel for the translation procedure:**

- Translators should be skilled practitioners who have received training on translating questionnaires and who have been briefed about the specific ESS requirements.

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6 Please note that questionnaires should be made available in all languages spoken as a first language by 5 per cent or more of the population and interviewers must be available to administer them. For speakers of certain minority languages (spoken by fewer than 5 per cent of the population), however, it may be possible to adapt the questionnaire produced by another participating country. If NCs wish to offer translated questionnaires to these smaller minority language groups, they should refer to the CCT for advice. Countries are not, however, required to interview language minorities under the 5% cut-off and must never allow interviewers to perform their own ‘oral’ translations for this purpose.

7 In ESS 6, the use of the TVFF for translation verification will not be mandatory any more.
• Reviewers need to have very good translation skills and should be familiar with questionnaire design principles, as well as the study design and topic. One reviewing person with linguistic expertise, experience in translating, and survey knowledge is sufficient. If one person cannot be found with these skills, two could cover the different aspects.
• The minimum number of people involved in a review (without adjudicator) is therefore 3. Some countries prefer to use more.
• The adjudicator is responsible for the final decisions about which translation options to adopt, preferably in co-operation with reviewer and translators, but at least after discussion with a reviewer. Adjudicators must understand the research subject, know about survey design, and be proficient in the languages involved. In the ESS, the adjudicator may often be the NC or someone of senior standing who works closely with the NC. In some cases, the role of reviewer and adjudicator may be undertaken by the same person.

Translation verification
In addition to the TRAPD method, translation verification was introduced in ESS5 as an additional – external – translation quality check before finalising the questionnaire translations. The purpose is to improve the overall ESS translation process. As it has proven to be helpful for many national teams in ESS5, this exercise will be repeated in the 6th round. The verification process is explained in the ESS Round 5 Translation Guidelines and will be further detailed in the ESS Round 6 Translation Guidelines.

If you have any queries about translation or translation verification, please contact the ESS translation team at GESIS (ess_translate@gesis.org).

SQP coding

SQP coding has the purpose of closely examining the correspondence between formal characteristics of a sample of question translations and the original. A main goal of this activity is to make those responsible for each country's translation efforts more aware of the different choices that may affect comparability across countries.

The process for SQP in Round 6 is as follows:

1. The final main questionnaire after any amendments made in translation verification, the supplementary questionnaire and the final showcards should all be sent to the SQP Team at the Research and Expertise Centre for Survey Methodology (RECSM) via recsm@upf.edu. It is also sufficient to send the TVFF -Translation Verification Follow-up Form) however it should include final amendments to the questionnaire.

2. The team at UPF will enter the translation into the SQP coding system. Once ready, the NC team will be provided with a username and password, as well as a document with instructions on how to use the coding system. The UPF team will also send a first round of comments and suggestions if deviations in the translated versions were found when preparing the forms for coding.

3. The NC or close collaborator provides codes for the questions using the SQP system and informs UPF once this process has been completed.

4. UPF then compares the codes given with codes made for the English source version. A report is prepared which includes possible suggestions for improvements that can bring the form of the questions closer to the original.

5. The NC responds, reporting any corrections made to the final version of the translation or reporting the reasons for keeping a deviation (if applicable).

Steps 4 and 5 may be repeated if an amendment is necessary, after which a final report is made.

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The TRAPD method is the method used in the ESS for ESS translation and assessment. TRAPD is an acronym for Translation. Review, Adjudication, Pre-testing and Documentation.
Estimated time of process completion:

- Coding: 5 hours – 8 hours (NC)
- Commenting on suggestions by RECSM: 1 hour (NC)
- Correcting the questionnaire: 1 hour (NC)
- Time to be spend is min 5 max 10 hours of NC

If you have any queries about SQP coding please contact Diana Zavala diana.zavala@upf.edu or Willem Saris willem.saris@upf.edu.

**Pretesting translated questionnaire(s)**

Translation takes place in all countries once the ESS source questionnaire has been finalised. Although there are opportunities to amend the source questionnaire after this time these are very limited and can rarely be made after the July immediately preceding fieldwork.

The key aim of the pre-test therefore is to examine whether the translated questionnaire is equivalent to the source rather than being an opportunity to amend the source itself. Therefore the translated questionnaires (i.e. the final national versions after translation verification and SQP Coding) must be pre-tested in each participating country. A quota-controlled, demographically-balanced sample of around 50 people should be used. The aims of pretesting are at a minimum to check routing and comprehension. Please do the pre-test after translation verification.

Where possible and if resources allow the pre-tests should be used as an opportunity to check for linguistic equivalence between the translated version of the questionnaire and the source. Countries may like to consider tape recording interviews, conducting respondent and / or interviewer debriefs and using cognitive interviewing.
6. Sampling

6.1. Population coverage
The survey will be representative of all persons aged 15 and over (no upper age limit) resident within private households in each country, regardless of their nationality, citizenship or language. Potential under-coverage of certain groups, say because of language problems or sampling frame deficiencies, or for any other reason, must be discussed with the sampling panel prior to deciding on the final sampling method, so that the problem can be remedied if at all possible.

6.2. The sample
The sample is to be selected by strict random probability methods at every stage and respondents are to be interviewed face-to-face (see section 7 for details on fieldwork). Where a sample frame of individuals is not available, or lacks sufficient coverage, countries may use a sample frame of households or of addresses. In these cases, procedures for selecting a household from a multi-household address (where appropriate), and an individual within a household, will be specified and agreed in advance with the sampling panel. In any event, the relative selection probabilities of every sample member must be known and recorded, as should any remaining systematic non-coverage problems. Quota sampling is not permitted at any stage, nor is substitution of non-responding households or individuals (whether 'refusals' or 'non-contacts'). Over-sampling of certain subgroups must be discussed and agreed in advance with the sampling panel.

Effective sample size

The minimum 'effective achieved sample size' should be 1,500, after discounting for design effects (see appendix II), or 800 in countries with populations of less than 2 million. Thus, with the help of the sampling panel, each country should determine the appropriate size of its initial issued sample by taking into account the realistic estimated impact of clustering, eligibility rates (where appropriate), over-sampling and response rate. The sampling panel will help to calculate the gross sample size required in order to achieve an effective sample size of 1,500 interviews. Note that in some cases this might require a large gross sample and needs to be considered when setting the budget for the survey. The gross sample agreed should then be reflected without change in the number of cases issued to the field.

Documentation of sampling procedures

The precise sampling procedures to be employed in each country, and their implications for representativeness, must be documented in full and submitted in advance to the expert panel for 'signing off' and subsequently to the CCT for reference. This precaution is to ensure that all countries within the ESS have defensible (and equivalent) national probability samples of their resident (aged 15 and over) populations. The following details will be required before the sampling panel can 'sign off' a country's sample design:

- a description of the sampling frame and of the units it comprises (including information on units that might be used either to stratify the sample or to vary probabilities of selection for certain subgroups, and estimates of any likely under-coverage, over-coverage and ineligibles)
- for those using multi-stage samples, a description of how the units at each stage will be selected to result in a random sample of individuals, plus the inclusion probabilities of units at each stage of selection
- details of whether and how the survey is to be clustered geographically, and how the initial clusters are to be selected
- full details of any stratification to be employed
- the calculations on which the predicted effective sample size has been based.

A sample design data file needs to be produced by each country and delivered to the CCT. It must contain all information about the sample design, such as inclusion probabilities of each stage, information on clustering and stratification. A full and detailed specification about this is provided by
the sampling panel. **It will not be possible to include the national data in the integrated data file without the provision of the sample design data.**

The final sample design will also be fully documented by each national team in the national technical report of the survey. This documentation will be translated into one or more variables within the national data file to indicate the relative selection probabilities of cases and to enable appropriate weighting strategies to be calculated. See sections 8.3 and 8.4 for information about data protection assured by the ESS data archive.
7. Fieldwork

7.1. General description fieldwork

Fieldwork will take place in between September and December 2012. Before this the questionnaire should be pre-tested (see section 5.3). Interviewers will have to conduct a face-to-face interview with randomly selected persons (see Section 6.2). The main interview takes approximately 45-50 minutes (in British English) (see Section 5.2). In addition, a short supplementary questionnaire (10 minutes) will have to be completed. The target minimum response rate is 70%, the target maximum non-contact rate is 3% and the minimum 'effective achieved sample size' should be 1,500 (except in small countries) (see appendix 2). At least four contact attempts (on different times of the day and days of the week) should be made to previously noncontacted target person. Efforts to convert as many as possible initially reluctant target persons are recommended. All interviewers should receive face-to-face briefing and training for the survey (see Appendix 3 Interviewer training). No interviewer should be assigned more than 48 sample units (gross).

7.2. Fieldwork period

The main fieldwork period will last for at least one month within a four-month period between 1st September and 31st December 2012 (see timetable in section 4). Only in exceptional circumstances within a particular country would deviations from this timetable be allowed and only following prior agreement with the CCT.

7.3. Response rates: targets and calculation

7.3.1. Target response rates

The proportion of non-contacts should not exceed 3 per cent of all sample units, and the minimum target response rate - after discounting ineligibles (and other ‘deadwood’, as defined by the CCT - see section 7.3.2) - should be 70%. As in previous rounds, this figure is likely to be exceeded in certain countries. Countries that participated in Round 5 and achieved lower response rates will still be expected to aim for the same 70% target in Round 6. Survey organisations should thus cost their surveys with this response rate in mind and consider what steps may be required to achieve it. Outcomes of all approaches to addresses, households and individuals in the sample will be defined and recorded according to a pre-specified set of categories that distinguish ineligibility, non-contacts, refusals, other contact (but no interview) and interview.

Model contact forms will be produced by the CCT, for translation and use by national teams. It is the preference of the CCT that these model contact forms are used by all countries. However, if this is not possible, country-specific contact forms can be used but countries must show how they will ‘bridge’ their contact form data into the ESS contact form data protocol. This process will need to be agreed with the CCT prior to fieldwork. Examples of the model contact forms from Round 5 can be found on the ESS website (see Section 4.3). Round 6 model contact forms will be available from April 2012 and distributed by City University. Any deviation from the model contact forms (country specific items) requires consultations with KULeuven (Hideko.Matsuo@soc.kuleuven.be).

7.3.2. Response rate calculation and documentation

The target for the ‘ESS’ response rate is 70%. It is calculated as shown below:
Response rate = \[
\frac{\text{number of achieved interviews}}{\text{number of individuals/households/addresses selected, MINUS ineligibles}}
\]

For the calculation of this response rate ineligibles comprise:

**For samples of individuals**
- Respondent deceased
- Address not occupied by respondent (unoccupied/demolished / not yet built)
- Respondent emigrated/left the country long term
- Respondent resides in an institution

**For samples of households or addresses**
- Address not occupied at all/demolished premises
- Address not yet built/under construction
- Non-residential address (e.g. used solely for business / industrial purposes or as an institutional address e.g. factory, office or school)
- Address occupied, but no resident household (e.g. weekend homes)
- Address occupied by resident household, but no eligible respondent (no one aged 15+)

Reporting of the ESS response rate will be carried out, calculated and keyed according to a pre-specified standard format, which will include at least the following mutually-exclusive categories:

A. Total issued addresses (or other sample units)
B. % not eligible, and why
C. Total eligible sample (A-B)
D. % no contact (after 4+ visits, or if fewer visits made, why)
E. % personal refusal, and why (pre-specified categories)
F. % too ill or incapacitated
G. % household (or proxy) refusal, and why (pre-specified categories)
H. % achieved interview (partial & complete)
I. Total percent response rate (H/C)

Syntax in SAS to derive case outcomes from the call outcomes of the contact forms is available on request (please note that it is not available in SPSS format). A full list of all codes used to calculate response rates and how to code them is available from the ESS website (see Section 2). This document will be updated prior to Round 6.

In addition to the ESS response rate, NCs might find it useful to work with a ‘Field Response Rate’ during fieldwork, which would reflect the efficiency of fieldwork. For the field response rate the following extra categories can be excluded from the denominator:

- Address not traceable/not reachable
- Respondent away throughout the fieldwork period
- Respondent moved to unknown destination
- Respondent too ill/incapacitated/mentally or physically unable to participate throughout the fieldwork period
- Respondent cannot be interviewed in national survey language(s)
- Respondent/household part member of a research opt-out register (in some ESS countries citizens can register to have their details listed so that research agencies are barred from contacting them to take part in surveys).

For additional information, note that outcome rates based on contact files take the following features:

- Only completed interviews are counted as ‘interview’ response;
- Priority coding is given when refusal took place earlier;

\[^{a}\text{As defined above.}\]
• Non-contacts are cases with absolutely no contact with the sample unit at any attempt;
• Since Round 4, distinctions are made between
  • code 51 = "Respondent moved out of country";
  • code 52 = "Respondent moved to unknown destination";
  • code 53 = "Respondent has moved, still in country".
Only code 51 is considered ineligible in this case.

7.3.3. Contact forms: field data, respondent dwellings and interviewers

In addition to the recording of case outcomes, call-level field outcomes for each visit at each address or other primary unit (including for cases which are ultimately unproductive) will be documented and keyed from a standardised set of similar summary codes for each call. It will be suggested to remunerate interviewers additionally (or even separately) for completing the contact form.

Interviewers will also be asked to record for each sample unit a number of observable area, dwelling and household characteristics for each case in the issued sample:
• intercom at the house
• type of dwelling
• physical state of dwelling
• presence of litter
• presence of vandalism

The CCT will provide detailed guidance regarding this observable data in Round 6, which should be included in the interviewer training in each country. This will require National Coordinators to produce tailored nationally specific instructions including photos. More information on how to report on these issues will be provided along with the contact forms.

It will also be necessary to include some information as administrative variables filled in by the fieldwork agency about the interviewers who were responsible for attempting to contact and interview each issued sample unit. This should be included in the data set that is deposited to the ESS Data Archive.

7.4. Interviewer workload and briefing

Interviewers' assignment sizes (workload) should not exceed 24 issued sample units (i.e. 24 named individuals, households or addresses) and no interviewer should carry out more than two assignments. An assignment is the actual number (not the average) of sample units issued to each interviewer assuming that this is more or less equal in most cases. Each interviewer should not work on more than 48 issued sample units and any proposed deviation in this area must be discussed with the CCT in advance. This restriction reflects evidence that interviewers have an effect on how respondents answer the questionnaire and aims to reduce this as far as possible.

All interviewers must be personally briefed by the NC or members of the research team from the survey organisation before carrying out an assignment, drawing on detailed interviewer instructions prepared by the CCT (see also appendix III). Briefings should cover (in detail) respondent selection procedures (if applicable) and registration of the calling process using the model contact forms including the coding of observation data. Sections of the questionnaire that require special attention should be pointed out and explained carefully to interviewers. The CCT will provide a short guidance note outlining how the ESS questionnaire should be administered that should be included in all briefings. Ideally a practice or dummy interview will be conducted. This involves interviewers taking it in turn to ask the questions whilst members of the research team act as the respondent. It is important that those sections of the present specification that are particularly relevant for the interviewers (for instance the need to keep detailed call records, no substitution, the number of calls, recruitment mode) are emphasised during the briefing.
7.5. **Data collection**

Interviewers will administer the questionnaire face-to-face to the sampled individuals. **Interviews may not, under any circumstances, be conducted over the telephone.** Interviews may only be conducted with the sampled individuals: substitution (replacing a respondent) or proxy (someone answers on behalf of the respondent) interviews are not allowed. Interviewers try to establish contact with all sample units (target noncontact rate 3% (and also try to persuade all contacted sample units (target response rate 70%) to participate in the survey. Data collection also comprises the completion of contact forms (see section 7.3.3).

7.6. **Respondent recruitment**

The first contact with potential respondents, following a possible advance letter, will be face-to-face. Once in contact with a household, interviewers may make (or change) appointments by telephone.

The one exception to this is where the country’s sample is one of named individuals with telephone numbers. Here the first contact may be made by telephone, in order to make appointments to visit the respondent. However, the country has to provide acceptable evidence that the response rate will not be damaged. Sampled individuals without a listed phone number should be contacted face-to-face. Where those with telephone numbers cannot be contacted by phone the same number of in person visits is still required. **Interviews may not, under any circumstances, be conducted over the telephone.**

7.7. **Response rate enhancement**

Various specific steps designed to enhance response rates must also be allowed for. They include at least four personal visits\(^{10}\) by interviewers to each sample unit before it is abandoned as non-productive, on different days of the week and times of day, of which at least 1 must be at the weekend and 1 in the evening. These visits should be spread over at least two different weeks. Similarly, to allow difficult-to-contact people to be located, the fieldwork period should not be less than 30 days (see sections 7.2 and 4). All potential survey organisations must be invited to suggest a range of techniques that they believe would enhance the final response rate. Such techniques may include advance letters, toll-free telephone numbers for potential respondents to contact, extra training of interviewers in response-maximisation techniques and doorstep interactions, implementing refusal avoidance and conversion techniques, re-issuing of refusals and non-contacts, and many others not listed here.

Refusal conversion, i.e. obtaining the cooperation of initially reluctant sample persons, should not be confused with the quality back-checks specified in section 7.8. However, there is often some overlap because a back-check may result in a successful interview with a previously non-contacted or temporarily refusing sample person. Many countries choose to combine their reissuing and quality back-check procedures.

The CCT has provided guidance on possible response enhancement strategies such as incentives which can be found on the ESS website (see Section 2. Whilst recognising that the effectiveness of different approaches may well vary between different countries, with different norms, cultural settings, geography, and so forth. This guidance from the CCT will be updated prior to the start of Round 6. Response enhancement techniques employed should be documented in the national technical reports.

7.8. **Monitoring, progress reports and quality control back-checks**

Interviewers will have to complete a contact form at every call for every sample unit (see section 7.4).

Progress of fieldwork must closely be monitored, including producing a fortnightly NC report on response for the CCT (see 4.3). NCs should, where possible, also monitor the average length of

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\(^{10}\) See Section 7.6 for one exception to this rule.
interview by interviewer and investigate interviewers who are outliers in case this indicates quality problems.

Quality control back-checks (in person or by telephone) must be carried out and documented in a pre-specified form on at least 10% of respondents and 5% of the sample units that did not provide an interview (including ineligibles). Back-checks should not be confused with refusal conversion although they may result in an interview. If the sample person appears to be willing to be interviewed after all, the interview must be conducted face-to-face.

Quality control back-checks of respondents involve a short interview with the respondent (whether by telephone or in person). This might include checks on whether an interview was indeed conducted, if showcards were used, that a laptop was used (if applicable), the approximate length of the interview and the type of questions that were asked. Questions should also be asked to determine that the Supplementary Questionnaire was administered.

Quality control back-checks of non-respondents (including ineligibles) should be conducted across all interviewer assignments. Ideally an interviewer or supervisor should be sent to check these cases in person. In many countries this work is included along with efforts to convert previously refusing and other non-response cases. ‘Respondent died’ cases should not be checked.

An alternative for non-respondents and ineligibles is to write to these persons, households or addresses. Households or named individuals can then be asked to return a pre-paid card requesting that they confirm if an interviewer attempted to make contact. This can also be used to check interviewer claims that ‘addresses do not exist’ and address ‘derelict’ if a system exists reporting that mail was undelivered. However, the response rate amongst these cases is likely to be extremely low and postal methods should only be used in exceptional circumstances.

Table 2: Permissible methods and proportions required for quality back-checks

<table>
<thead>
<tr>
<th>% to be achieved</th>
<th>Interviews</th>
<th>Refusals</th>
<th>Noncontacts</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10% of respondents</td>
<td>5% of refusals</td>
<td>5% of noncontacted sample units (including ineligibles)</td>
</tr>
<tr>
<td>In person</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>By phone</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>By mail (only in exceptional circumstances)</td>
<td>No</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
8. After fieldwork: Data preparation

8.1. Deliverables

The complete list of electronic deliverables to the ESS Archive at NSD is provided in the ESS Data Protocol\(^\text{11}\). The Data Protocol is available from the ESS Archive intranet at \(http://essdata.nsd.uib.no\). Field agencies should be informed, when bidding for a contract to conduct the ESS, of the detail required at the data deposit stage to ensure that adequate resources are available. The original (raw) data and verbatim recorded answers from the main and supplementary questionnaire, prior to any editing, are also required as a deliverable. This is to ensure that copies of the un-edited raw files are saved for possible future use and checks of the data under special agreement with specific data users (see also sections 8.3 and 8.4).

All electronic deliverables are to be uploaded to the Archive's server, via the Archive intranet by February 2013. In general the deliverables consist of data files, fieldwork documents, translation documents and a National Technical Summary providing important meta data from each participating country. Population statistics for coverage and response assessment, and household income range frequency tables for the source of the income range categories in the main questionnaire are also required deliverables.

The Data Protocol gives specifications for the coding of data, the production and delivery of data files and other electronic deliverables. It also defines what the NCs are required to deposit to the ESS Archive. If the content and quality of the electronic deliverables do not adhere to the specifications in the Data Protocol and the standards provided from the ESS Archive website, the archive reserves the right to ask for new deliverables.

8.2. Coding

Most items in the questionnaire are pre-coded. A few socio-demographic items will be recorded verbatim and subsequently coded by the survey organisation according to international standard classifications. These items include:

- Occupation: Four digit ISCO code for respondent and partner.
- Industry: Two digit NACE code for respondent.
- Country: Two character ISO 3166-1 code for respondent's citizenship and country of birth, mother's country of birth and father's country of birth.
- Language: Three character ISO 639-2 code for first and second language spoken at home, and language of interview.

Further items in the questionnaire require country specific variables to be bridged into the following standards:

- Education: Country specific question(s) to be bridged into a detailed ISCED-97 coding frame for respondent, partner, father and mother.
- Religion: Country specific questions on current or past religious belonging to be bridged into ESS coding frame.

Further details regarding standards and bridging will be available in the ESS Data Protocol. To ensure optimal comparability please use the standards that will be provided from the Archive Intranet at \(http://essdata.nsd.uib.no\). Further details of the classifications and standards are also available from the Archive Intranet.

Where country-specific variants are not post-coded to standard frames (e.g. voting behaviour; income) details of the country-specific item must be recorded in the National Technical Summary document. For income, countries are required to produce a country-specific question using ten income range categories. These should broadly correspond to the deciles of the actual household income range in the country and should be derived from the best available data source available.

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\(^{11}\) The ESS Data Protocol is updated for each round of the ESS when the questionnaire for that round is finalised.
NCs in cooperation with the survey organisations are responsible for checking and editing the data with respect to uniqueness and consistency of identification number(s), wild codes and data consistency. The final wild code (that is invalid codes not defined in the ESS data protocol) checking should be done after the Data Protocol variable names, labels and categories have been applied to the national data files.

The minimum requirement for data checking is that all data verification and editing depending on access to completed questionnaires or CAPI files must be completed prior to depositing the data to the ESS Archive.

NCs are asked to supply information about the cleaning procedures in the National Technical Summaries.

Following the deposit to the Archive the files are subject to further content and consistency checks. The files are processed by the Archive under the assumption that the national data files are in adherence with the specifications and definitions in the Data Protocol and that the adherence and the data quality stems from the raw data themselves, and not from automatic cleaning procedures prior to the data deposit.

Throughout the Archive's processing of the national files, the NCs have full access to all programmes, files and listed output from the Archive intranet. It is important that the NCs are available for consultation during the Archive's data processing period.

The processing is organised in two main steps, each leading up to standardised reports. The reports contain a summary of the programmes, files and output produced during the processing as well as queries that the Archive will need feedback on to produce the national files that will later be integrated into the international data file for Round 6.

When the Archive has completed the processing of the national data file, a draft file will be provided for NCs to approve of the processing carried out by the Archive. All NCs are responsible for the validity of their national data. All national files will be subject to further quality checks by the CCT and the QDTs when a draft international file is available.

A complete deposit of all deliverables is a prerequisite for a country to be included in the integrated released file.

8.3. Anonymised data

In accordance with data protection regulations in participating countries, only anonymised data will be made publicly available to users from the ESS Data website (http://ess.nsd.uib.no/). Before depositing data to the Archive, each national team is responsible for checking their data with confidentiality in mind. The national teams will be asked to confirm in their National Technical Summary that all data that will be made publicly available to users have been anonymised in accordance with national or EU regulations (see http://ec.europa.eu/justice_home/fsj/privacy/). The checking of anonymity has to be done under the premise that all data files will be merged. Some standard precautions to ensure anonymity are listed in the Data Protocol12.

8.4. Indirectly identifiable data

Specific files like the raw data or the sample design data can in combination with interview data contain indirectly identifiable information. The ESS Archive (NSD) is licensed by the Norwegian Data Inspectorate to store and process such data according to the Norwegian Personal Data Act and the 95/46/EC Data Protection Directive. Data that could possibly indirectly identify individuals will not be released to the public ESS Data website, but will be stored in accordance with NSD's licence subject to the Norwegian Personal Data Act and the 95/46/EC Data Protection Directive, i.e. in a safe environment not connected to any internal or external networks. Deposit of raw data, and in some

12 available from the ESS Archive intranet at http://essdata.nsd.uib.no/
cases sample design data, requires an agreement between the ESS Archive and the fieldwork organisation. The agreements are administered by the ESS Archive at NSD.
I. Appendix 1 National participation Round 1 to 5

<table>
<thead>
<tr>
<th>Country</th>
<th>R1 participant</th>
<th>R2 participant</th>
<th>R3 participant</th>
<th>R4 participant</th>
<th>R5 participant</th>
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<td><strong>25</strong></td>
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II. Appendix 2 Effective sample size

The effective sample size (neff) is the size of a simple random sample which would produce the same precision (standard errors) as the design actually used. Typically, neff is less than the actual number of achieved interviews, m, as certain aspects of survey design - for example, clustering or the use of differing selection probabilities - tend to reduce the precision of estimates. The reduction of precision is known as the design effect (DEFF):

\[ \text{DEFF} = \frac{\text{Actual sampling variance}}{\text{Sampling variance with simple random samples of same size}}; \]
\[ \text{DEFF} = \frac{m}{\text{neff}}, \text{ so } \text{neff} = \frac{m}{\text{DEFF}} \]

We therefore need to be able to predict the value of DEFF for a proposed sample design, in order to determine how many interviews should be achieved so as to produce a particular value of neff. We suggest that two components of DEFF should be taken into account at the design stage - the design effect arising from differing selection probabilities (DEFF\(_p\)) and the design effect arising from clustering (DEFF\(_c\)). Then \[ \text{DEFF} = \text{DEFF}_p \times \text{DEFF}_c \]. We then also need to predict the survey response rate (and the proportion of ineligibles on the sampling frame, if relevant) in order to determine the size of the initial sample (n) required in order to achieve approximately m interviews.

**Design Effects due to Differing Selection Probabilities**

In some countries which have accessible population registers, it will be possible to select an equal-probability sample from the survey population. In other countries, it will be necessary to select the sample in stages, with the penultimate stage being residential addresses. In this case, each person’s selection probability will depend on their household size. Another reason why differing selection probabilities might be used is if important minority groups were to be over-sampled.

If differing selection probabilities are to be used - for whatever reason - the associated design effect should be predicted. This can be done very simply, using the following formula

\[ \text{DEFF}_p = \frac{m(\sum m_i w_i^2)}{(\sum m_i w_i)^2} \]

where there are \( m_i \) respondents in the \( i^{th} \) selection probability class, each receiving a weight of \( w_i \), where \( \alpha \) means ‘proportional to’

(This formula assumes that the population variance of survey variables will not vary over selection probability classes - a reasonable assumption in most situations.)

\[ w_i \alpha = \frac{N_i}{m_i} \]

**Design Effects Due to Clustering**

It is anticipated that in most countries it will be efficient to select a multi-stage, clustered, sample. In such situations there will also be a design effect due to clustering:

\[ \text{DEFF}_c = 1 + (b-1) \rho \]

where \( b \) is the mean number of respondents per cluster and \( \rho \) is the intra-cluster correlation (or “rate of homogeneity”) - a measure of the extent to which persons within a clustering unit are more homogeneous than persons within the population as a whole (see Kish, 1994, Survey Sampling, pp. 161-164 (New York: Wiley and Sons, Inc.)). This design effect can be estimated, at least crudely, from knowledge of other surveys and/or the nature of the clustering units.

In practice, all elements of the overall design effect, including that due to differing selection probabilities and that due to clustering, will take different values for different survey estimates. For sample design purposes, an average value should be used.
Example: How to determine the size of issued sample

We have prescribed neff > 1500.
To determine m, we must first estimate $DEFF = DEFF_p \times DEFF_c$

1. Suppose the proposed clustering units are administrative areas of around 5,000 households on average and that based on data from other surveys, we expect that for these areas, $\rho$ will take values of around 0.02 for many variables. Then, if we are proposing a design with a mean of 15 interviews per cluster:
$$DEFF_c = 1 + (15 - 1) \times 0.02 = 1.28.$$ 

[Note: ‘If there is no available empirical evidence at all upon which to base an estimate of $\rho$, then we suggest that a value of 0.02 should be used.’]

2. Suppose that the only available sampling frame is a list of addresses and that these must be selected with equal probabilities. The proposed design is then randomly to select one person to interview at each address. This is the only aspect of the proposed design that involves differing selection probabilities. Then, we can use population statistics on the distribution of household size (adjusted if necessary to allow for multiple households at some addresses) to estimate the number of respondents in each selection probability class, thus:

<table>
<thead>
<tr>
<th>No. of persons aged 15+ at address $i$</th>
<th>Proportion of addresses in population $H_i / H$</th>
<th>No. of achieved interviews $m_i$</th>
<th>Relative weight $w_i$</th>
<th>$m_i w_i$</th>
<th>$m_i w_i^2$</th>
</tr>
</thead>
<tbody>
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<td>1</td>
<td>0.35</td>
<td>0.35m</td>
<td>1</td>
<td>0.35m</td>
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</tr>
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<td>0.02m</td>
<td>5</td>
<td>0.10m</td>
<td>0.50m</td>
</tr>
</tbody>
</table>

The population distribution of household size appears in the first two columns. From this, we can predict that the sample distribution will be as shown in the third column. We can thus predict $DEFF_p$:

$$DEFF_p = m \times \frac{4.69m/(1.95m)^2}{1.23} = \frac{4.69}{1.95^2} = 1.23$$

3. Thus, we predict $DEFF = 1.28 \times 1.23 = 1.57$. Consequently, to achieve $neff > 1,500$ with this design, we would need $m > 1,500 \times 1.57 = 2,355$.

4. The final stage is to calculate the sample size to select initially in order to be likely to achieve around 2,355 interviews. Suppose we anticipate a response rate of 80% and that 5% of the sampling frame units will be ineligible (e.g. addresses which do not contain a resident household), then:

$$n = \frac{m}{0.80} / 0.95 = 3,098$$

So we would select a sample of at least 3,100 addresses.
III. Appendix 3 Interviewer training

In survey methodology it is generally accepted that the interviewer’s task in face to face interviews is comprehensive and complex. Interviewers are the link between the researcher and the respondent. They implement the contact procedure, persuade the respondents to participate, clarify the respondent’s role during the interview and collect information about the respondent. To obtain high quality datasets in a comparative survey like ESS, it is important that all interviewers perform their task in a standardized way. During the fourth round of ESS about 3600 interviewers were used to interview 56750 respondents in 29 countries. With such a large number of interviewers working in different countries it is not self-evident that all interviewers stick to the key principle of standardized interviewing. Results of an analysis of differences in interview length between interviewers in round 4 shows that in all countries, interviewers explain a considerable proportion of the variability in interview length (more than 25%). Interview length can be considered as a process indicator of interviewer performance and the significant differences between interviewers in interview duration strongly suggest that the implementation of the key principle of standardized interviewing is not always realized in a sufficient way. Differences in interviewer performance are a serious threat to data quality. To reduce differences in interviewer performance and to optimize interviewer behaviour an interviewer training is considered as an essential part of the preparation of the fieldwork activities. “Train interviewers carefully on interviewing techniques and the subject matter of the survey” is one of the best practices for surveys described by AAPOR (http://www.aapor.org/Best_Practices1.htm) and is also an important guideline in ESS.

Content of the interviewer training

Survey researchers agree in general about the content of an interviewer training. Interviewers must gain insight in the essential characteristics of a face-to-face interview (e.g. similarity and difference of an interview with a conversation, awareness of the complexity of the interviewer-respondent interaction) and have a sound grasp of both positive and negative effects of interviewer behaviour on data quality (e.g. positive: interviewers can give direct support to the task performance of the respondent; negative: interviewers can have an impact on the respondent’s answers).

To reduce systematic and variable interviewer related error interviewers must perform their task according to some basic task rules (e.g. reading questions as worded in the questionnaire, asking every question that applies to the respondent, using prompt cards, recording answers accurately, ...). During the training there is also special attention for interviewing techniques related to the manner in which the interviewer must deal with the respondent in order for the respondent to carry out his task well (e.g. giving general and specific instructions, using positive and negative feedback, clarifying questions, probing for more and adequate information ...). A thorough discussion of effective interviewer reaction behaviour to inadequate respondent behaviour is another essential part of the training (Loosveldt, 2008).

An interviewer training is more than a theoretical presentation. Practice is at least as important. By means of discussions of tape and/or video recordings of various interview situations, role-playing with other trainees and conducting “mock” interviews that are monitored and reviewed one can master by practice the content of the training. We advise to record a few interviews on tape and to thoroughly evaluate these interviews.

An interviewer training is different from a briefing in which specific instructions for a particular survey research project are presented (description of the project, discussion of the questionnaire and practical arrangements). A briefing is project oriented, training on the other hand is task oriented.
It is clear that extensive training for new inexperienced interviewers is a necessary condition to become an ESS interviewer. However additional and adapted training is also advisable for more experienced interviewers. Such training is coaching as part of the monitoring and quality control. An evaluation of interviews done in previous projects (interviewer specific response rates, mean interview length, item non response, ...), exchange of relevant experiences, special treatment of specific problems are the ingredients of such an additional training.

Example

One can find an illustration of an on-line interviewer training on the website of the Behavioral Risk Factors Surveillance Surveys: http://www.cdc.gov/brfss/training/interviewer

References

