



## **European Social Survey, Round 7**

### ***Specification for ESS ERIC Member and Observer countries***

***April 2013***

These are the intended specifications for ESS ERIC. It is hoped that ESS ERIC will be formed in June or July 2013, following a final decision by the European Commission (EC). These specifications have been provided prior to these dates in order to facilitate advance planning. However, until the ESS ERIC is legally constituted by the EC, the ESS Core Scientific Team cannot guarantee that ESS Round 7 will proceed.

**Contents**

- 1. Introduction ..... 4**
- 1.1. Aims, coordination and funding ..... 4**
- 1.2. National level appointments – information for funders ..... 5**
- 1.3. Data transfer ..... 6**
- 1.4. Ethical issues, data protection and access ..... 6**
- 1.5. Data protection ..... 6**
- 1.6. Access..... 6**
- 2. Specification for National Coordinator (NC) ..... 7**
- 2.1. NC workload and time budget ..... 7**
- 2.2. NC Activities ..... 7**
- 3. Specification for survey organisation ..... 10**
- 3.1. Requirements and overview task..... 10**
- 3.2. Raw data and agreement on processing of indirectly identifiable data ..... 10**
- 4. Time table ESS activities and background documents..... 11**
- 4.1. Overview of actions required before, during and after fieldwork..... 11**
- 4.2. Key documents..... 17**
- 5. Preparing the questionnaire ..... 18**
- 5.1. The ESS questionnaire..... 18**
- 5.1.1. The source questionnaire..... 18**
- 5.1.2. The supplementary questionnaire ..... 18**
- 5.1.3. Adding country-specific questions..... 19**
- 5.2. Questionnaire translation, verification, SQP coding and pretesting..... 19**
- 5.2.1. Translation & verification requirements ..... 19**
- 5.2.2. Survey Quality Predictor (SQP) coding..... 20**
- 5.2.3. Pretesting translated questionnaire(s) at national level..... 20**
- 5.2.4. Sign-off translation procedures..... 20**

|        |   |    |
|--------|---|----|
| 5.2.5. | Translation documentation .....                                   | 20 |
| 6.     | Sampling.....   | 21 |
| 6.1.   | Population coverage .....   | 21 |
| 6.2.   | The sample .....  | 21 |
| 6.2.1. | Sampling principles.....  | 21 |
| 6.2.2. | Effective sample size.....  | 22 |
| 6.2.3. | Documentation of sampling procedures.....                         | 22 |
| 7.     | Fieldwork .....   | 23 |
| 7.1.   | Fieldwork period .....  | 23 |
| 7.2.   | Respondent recruitment .....                                      | 23 |
| 7.3.   | Response rates: targets, calculation and contact forms.....       | 23 |
| 7.3.1. | Target response rates .....                                       | 23 |
| 7.3.2. | Response rate calculation and documentation .....                 | 24 |
| 7.3.3. | Contact forms .....   | 24 |
| 7.4.   | Interviewer workload and briefing.....                            | 25 |
| 7.5.   | Response rate enhancement .....                                   | 26 |
| 7.6.   | Monitoring, progress reports and quality control back-checks..... | 26 |
| 8.     | Media claims coding.....  | 27 |
| 9.     | After fieldwork: Data preparation .....                           | 28 |
| 9.1.   | Deliverables.....   | 28 |
| 9.2.   | Coding .....  | 28 |
| 9.3.   | Processing and dissemination.....                                 | 29 |
| 10.    | Quality, comparability and compliance .....                       | 30 |
|        | Appendix .....  | 31 |

## 1. Introduction

This specification has been developed by the European Social Survey European Research Infrastructure Consortium (ESS ERIC) Director, in collaboration with the Core Scientific Team (CST). It draws on experience from ESS Rounds 1-6, which were conducted prior to the establishment of the ESS ERIC.

The specification outlines the standards and requirements for data collection and delivery that must be adhered to by each ESS ERIC Member (or Observer) participating in the seventh round of the European Social Survey (ESS). This is in accordance with Article 5.c.i in the ESS ERIC Statutes.

It is provided for ESS ERIC Members (or Observers) to facilitate the selection of National Coordinators (NCs) and survey organisations, which will be responsible for the conduct of each national survey.

This document summarises the major tasks involved in conducting ESS Round 7 and refers to other key ESS documents throughout. The Round 6 versions of these can be found in the zipped file 'ESS Manual' that will be distributed with the Specification and can be found at the ESS website ([www.europeansocialsurvey.org](http://www.europeansocialsurvey.org)). Most of these documents will be similar for Round 7 but will be subject to changes and updates.

### 1.1. *Aims, coordination and funding*

In 2013, the European Social Survey (ESS), a biennial cross-national survey, became a European Research Infrastructure Consortium (ERIC). The ESS ERIC is hosted by the UK with its headquarters (HQ) at City University London. The main aims of ESS ERIC are:

- to chart stability and change in social structure, conditions and attitudes in Europe and to interpret how Europe's social, political and moral fabric is changing,
- to achieve and spread higher standards of rigour in cross-national research in the social sciences, including for example, sampling, data collection, reduction of bias and the reliability of questions
- to introduce soundly-based indicators of national progress, based on citizens' perceptions and judgements of key aspects of their societies,
- to undertake and facilitate the training of European social researchers in comparative quantitative measurement and analysis,
- to improve the visibility and outreach of data on social change among academics, policy makers and the wider public.

Under the ESS ERIC governance structure, the General Assembly (GA)<sup>1</sup> shall have full decision making powers regarding the operations and management of the ESS ERIC. The General Assembly is assisted in this role by a Scientific Advisory Board, the Methods Advisory Board and a Finance Committee. In addition, the GA will work with ESS ERIC Director, Rory Fitzgerald, who is based at ESS headquarters (HQ), City University London. The ESS ERIC Director is supported by the Core Scientific Team (CST) and the National Coordinators Forum (or NC Forum).

The CST includes leading social scientists from six organisations: GESIS Mannheim (Germany), NSD Bergen (Norway), SCP The Hague (Netherlands), University of Leuven (Belgium), Universitat Pompeu Fabra (Spain), and University of Ljubljana (Slovenia). Meetings of the CST are chaired by the ESS ERIC Director.

The Host institution and the six CST institutions will henceforward be referred to as the 'HQ-CST'.

---

<sup>1</sup> The GA consists of representatives from each Member and Observer countries.

Members (and Observers) of the ESS ERIC contribute to the central costs of the ESS ERIC as well as the costs of both the national survey and the National Coordinator (NC). In accordance with the ESS ERIC statutes, ESS Round 7 data collection can only be conducted by Members or Observers of the ESS ERIC. A country must be a Member (or an Observer) of the ESS ERIC by 1 June 2014 in order to participate in ESS Round 7. It is an obligation of membership that Members and Observers conduct ESS Round 7.

### **1.2. National level appointments – information for funders**

Each ESS ERIC Member or Observer must appoint (or cause to be appointed) a National Coordinator (NC) and a survey agency. These appointments may or may not be located in a single institution. Either way, the appointees must be able to work successfully as a coherent team. The costs for national coordination and national fieldwork do not constitute a formal part of the ESS ERIC budget and are paid directly by the Member or Observer.

The National Coordinator and survey agency should ideally be appointed to work on both ESS Round 7 and Round 8. This will ensure continuity at the national level over two consecutive rounds of the ESS (which is in accordance with article 14.6 of the ESS ERIC statutes). If there is a change of NCs the most recently appointed NC should act as a national point of information for previous rounds.

The selection process of the National Coordinator and Survey Agency will vary between countries according to local circumstances and conventions. The CST can advise on or assist in the selection process if required but must be consulted in sufficient time to ensure that the appointments comply with the ESS timetable.

The National Coordinator will:

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

The appointments of a National Coordinator and survey agency may be made simultaneously or consecutively. The NC is expected to play a major role in selecting, contracting, briefing and liaising with a survey agency (although he or she may be located at the survey agency). Some of the tasks outlined below may contractually be transferred to the survey agency, but the responsibility for their delivery and for liaison with the HQ-CST must reside with the NC.

The appointment of the NC by each national funding agency should ideally be made in time for work to start at the national level on **30 September 2013**. Although their work will not begin in earnest until March 2014, NCs should be appointed in time for them to comment on the question module design process between September 2013 and March 2014.

The appointment of the survey agency should ideally be made by **1 April 2014**.

The NC should **not** have any other key role within the ESS-ERIC organisational structure.

### **1.3. Data transfer**

The data, metadata and paradata resulting from the data collected for the ESS in participating countries shall be transferred to the official ESS Archive at NSD. All rights connected to the transferred material are subject to the provisions of the ESS ERIC statutes and related Standing Orders as decided by the General Assembly.

### **1.4. Ethical issues, data protection and access**

The ESS ERIC subscribes to the Declaration on Ethics of the International Statistical Institute (ISI, [www.isi-web.org/component/content/article/43-about/about/150-ethics-intro](http://www.isi-web.org/component/content/article/43-about/about/150-ethics-intro)), to which all national teams will be asked to adhere (in addition to any co-existing national obligations that they may have).

### **1.5. Data protection**

#### *Anonymised data*

In accordance with data protection regulations in participating countries, only anonymised data will be made publicly available to users. Before depositing data to the ESS Archive at NSD, each national team is responsible for checking their data with confidentiality requirements 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/](http://ec.europa.eu/justice_home/fsj/privacy/)).

#### *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 at 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 from the ESS 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 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 (see section 3.2).

### **1.6. Access**

The ESS ERIC allows free access to all data of the European Social Survey for scientific research, policy making and any other non-commercial use. There are no privileged access rights by any person to the ESS data except what is necessary for its processing and preparation for public use.

## **2. Specification for National Coordinator (NC)**

The National Coordinator's (NC) role is to oversee the implementation of the ESS in their country, coordinate between the different groups involved and promote the use of ESS data to potential analysts.

In many cases, NC activities will be performed by a member of the national team. As the NC is ultimately responsible for overseeing and coordinating these activities we will simply refer to 'NC' in the following text.

### ***2.1. NC workload and time budget***

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 2014 for Round 7) with substantial additional time required for monitoring fieldwork (September 2014-January 2015) and the data preparation and processing period (February 2015-October 2015 for Round 7).

The number of person-months required by an NC will depend on national conditions, e.g. the number of languages to be fielded, tasks delegated to the survey agency, and the experience of the survey agency with random sampling, face-to-face interviewing, and fieldwork monitoring. It will also depend on the individuals' previous experience in conducting the ESS.

It is anticipated that an NC will need to spend about 6 months full-time equivalent on their tasks in one round, if they were involved in previous rounds. New NCs will require considerably more time; countries that participate for the first time – or after missing one or more rounds – will need approximately 10 months full-time equivalent to perform their tasks.

### ***2.2. NC Activities***

The key roles of the NC are to coordinate activities of the ESS ERIC at a national level and assure national compliance with the specifications outlined in this document. In addition they are expected to contribute to discussions about the ESS methodology and questionnaire design. The list of activities below is not intended to be exhaustive but provides a summary of the main tasks and responsibilities of the NC when preparing and overseeing implementation of the ESS in each country. An overview of NC activities before, during and after fieldwork is given in Figures 1-5. Further details can be found in Sections 5-9 of this document.

#### ***Communication***

The ESS NC will:

- serve as the link between the national ESS ERIC Member, the national survey agency and the HQ-CST,
- be the primary point of contact with the HQ-CST on all aspects of the ESS in their country for both the current round for which they are appointed and for previous rounds in which their country participated,
- attend meetings with ESS ERIC NC Forum twice per year (Members should fund their NCs to attend the NC Forum twice per year).

### **Implementation**

The ESS NC will ultimately be responsible for ensuring the implementation of the rigorous, standardised set of procedures and methods according to the pre-specified design and timetable outlined in sections 5-9 of this document. Their key tasks will include (but are not limited to):

#### *Question design*

- meet with and advise 'ESS question module design teams' on question content and construction and provide detailed comments on two or more drafts of the question modules
- liaise with the HQ-CST on socio-demographic and other question consultation processes as required (e.g. on measures of partnership status, education, religion and income)

#### *Fieldwork preparation*

- complete an online Fieldwork Questionnaire (FWQ) and discuss matters arising with the Fieldwork Questionnaire Team; ensuring sign-off **before** fieldwork starts,
- send fieldwork projections to the HQ-CST one month before fieldwork is planned to start,
- plan and conduct or attend face-to-face fieldwork briefings for interviewers

#### *Translation*

- translate the English source questionnaires according to the ESS TRAPD procedures,
- complete verification and SQP coding **before** fieldwork starts,
- co-ordinate and interpret national pretests to check translations, CAPI programming and routing (CAPI and PAPI).

#### *Sampling*

- discuss with and advise their assigned ESS sample panel expert 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 by the ESS sampling panel **before** fieldwork starts,
- deposit the Sample Design Data File (SDDF) to the ESS Archive at NSD (so that the design weights can be produced and the national data can be included in the combined data set).

#### *Fieldwork*

- monitor fieldwork to ensure contract compliance and optimum response; provide assigned contact point on the HQ-CST with (a minimum of) fortnightly updates,
- ensure interviewers collect data about all contact attempts during fieldwork and provide the HQ-CST with complete contact form data,
- code media claims for 10 weeks starting one week before the start of fieldwork, and provide the HQ-CST with the pre-specified media claims data.

#### *Data preparation & deposit*

- monitor data preparation activities,
- provide the HQ-CST with **all** electronic deliverables (including data and documentation) as specified in the ESS Data Protocol,
- provide the name and e-mail address of a contact person at the fieldwork organisation to the HQ-CST. This person will only be included in correspondence directly related to deliverables and processing of data and documentation,
- liaise as necessary with the ESS Archive at NSD about data deposit and data processing queries, including advising on post-stratification of national data and any weighting required,
- act as the first national point of contact for queries relating to earlier waves of ESS data collection.

**Dissemination**

The ESS NC will be responsible for promoting the use of ESS data within their country and reporting to the HQ-CST on these activities. National and international dissemination activities will contribute to the ESS ERIC's ultimate goal to make the ESS (and its data) as widely used among academics, policy makers and other relevant communities as possible.

**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 9.3 and Section 10).**

### **3. Specification for survey organisation**

#### **3.1. Requirements and overview task**

The survey agency 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 specifications outlined in this document. They will also need to be made aware that for they may have to change or adapt some of their routine procedures and methods for the ESS 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 (provided by the HQ-CST) must be completed by the NC. The fieldwork questionnaire is meant to serve as an aid for NCs/survey agencies to enable them to adhere to the ESS Specifications. The Fieldwork Questionnaire must be discussed with the HQ-CST and signed off by them before fieldwork can start.

The survey agency will conduct ESS fieldwork according to the specifications. In addition to data collection this will also include the following activities:

- 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 – including measures to enhance response rates (e.g. incentives),
- Preparing and sending advance material (advance letters, brochures),
- Sampling implementation (samples of individuals, households or addresses),
- Monitoring interviewers and fieldwork progress, and providing reports (at least fortnightly) to NC,
- Cleaning and editing data files,
- Coding and classifying data,
- (Helping) prepare data files and documents.

These activities will have to be conducted in collaboration with the NC (or may be taken over by the NC).

#### **3.2. Raw data and agreement on processing of indirectly identifiable data**

In recognition of the large amount of resources put into the collection of the ESS data, it is required that the participating countries deposit raw, unedited data and verbatim recorded answers to the official ESS Archive at NSD. This is to ensure that copies of the un-edited raw files are saved for possible future use and checks.

Since raw data may be considered as indirectly identifiable, the survey agency and NSD must set up a bilateral agreement on processing of such data. NSD will distribute the agreement to the NCs prior to the deposit of data (see Section 1.5).

If national laws and regulations should prohibit the deposit of raw data to the ESS Archive, the survey agency must commit to safely store and maintain the raw data for a minimum of 10 years. The ESS Archive must be notified before any destruction of ESS data.

#### 4. Time table ESS activities and background documents

##### 4.1. Overview of actions required before, during and after fieldwork

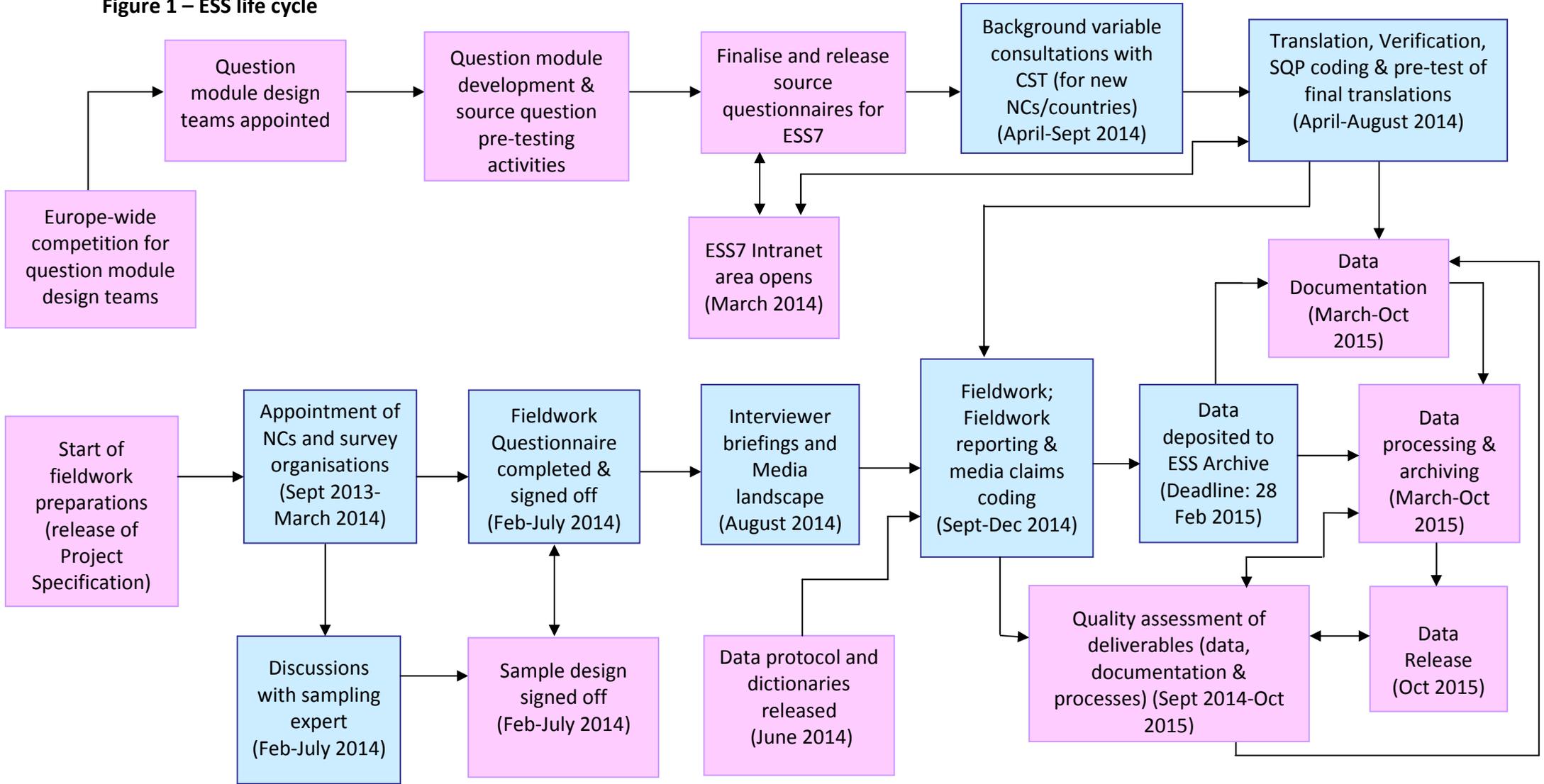
**Table 1: ESS7 Project Timetable (April 2013-October 2015) <sup>a)</sup>**

|                           |  |
|---------------------------|--|
| April 2013                | Round 7 Specification for participating countries issued   |
| June–July 2013            | Round 7 pre-testing of questions for items from rotating modules in the source questionnaire – including omnibus testing and cognitive interviewing  |
| September 2013-March 2014 | Appointment of NCs and Survey Organisations  |
| November 2013             | Advance Translation (in two volunteer countries) (mainly rotating modules)<br>Pilot Fieldwork (in two countries) (mainly rotating modules)   |
| February 2014             | NCs start completing and discussing the Fieldwork Questionnaire<br>Penultimate source questionnaire sent to NCs for comment;<br>NCs asked to highlight possible translation problems       |
| February-July 2014        | Sample design plans discussed between NCs and assigned sample panel member & signed off by sampling panel<br>Fieldwork questionnaire completed by NCs and signed off by ESS Fieldwork Team |
| March 2014                | ESS7 Intranet area opens for NCs   |
| April 2014-September 2014 | Background variables – consultations with the HQ-CST start (as necessary)  |
| April 2014– August 2014   | Translation, Verification, SQP Coding and country specific pre-tests (to assess translated questionnaires in each country)   |
| July 2014                 | Fieldwork projections to be sent to the HQ-CST   |
| August 2014               | Interviewer Briefings<br>NCs to forward Media Landscape to the HQ-CST  |
| September 2014            | National Technical Summary (NTS) made available  |
| September 2014            | ESS Round 7 Fieldwork starts   |
| September-December 2014   | Collect media claims<br>Monitor fieldwork, send fortnightly reports to the HQ-CST  |
| 31December 2014           | ESS Round 7 Fieldwork ends   |
| 28 February 2015          | Data delivery to the archive   |
| March – October 2015      | Data processing and Archiving <sup>b)</sup><br>Preparation of Sample design data file (SDDF)   |
| October 2015              | 1st data release expected  |

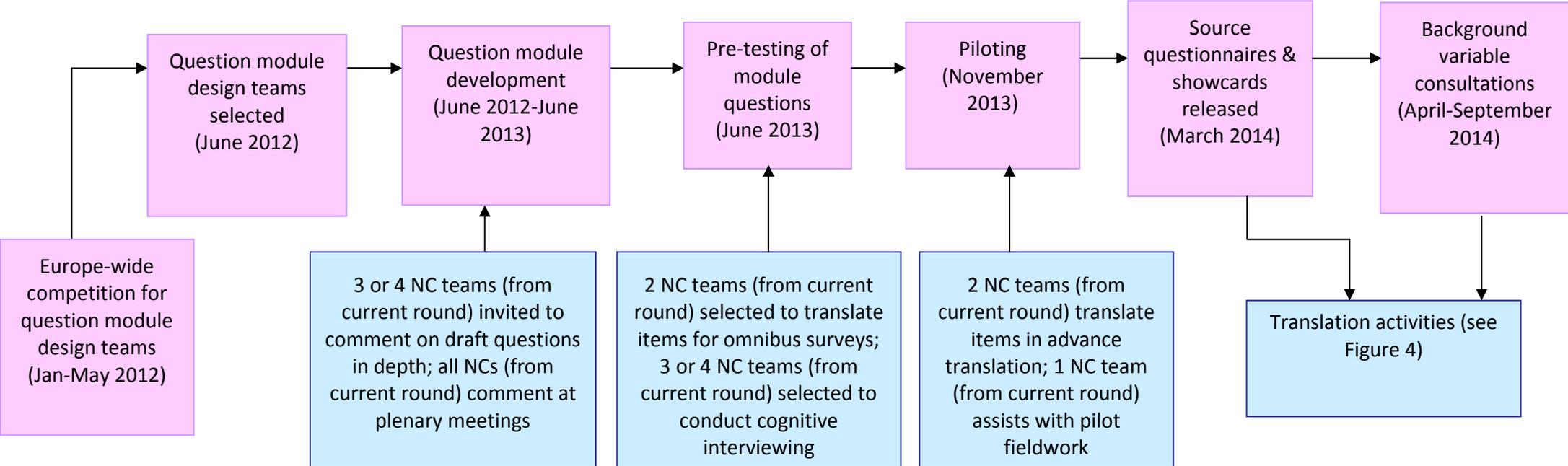
- a) Note that the timing for translation, translation verification, SQP coding, country pre-testing of translations, interviewer briefing, fieldwork, etc. will vary depending on individual country timetables.
- b) The ESS Archive at NSD will check and merge the national datasets into a combined multi-nation dataset that will be released publicly as soon as it is signed off by the HQ-CST. This initial release may, however, have to exclude any national dataset that arrives after the deadline of 28 February 2015, or for which the data and/or technical documentation is late or incomplete. A final release will be made once all countries that have met the requirements in Section 10 have submitted data and documentation.

The flow diagrams below illustrate the ESS life cycle and the different tasks and primary responsibilities of the HQ-CST (indicated by pink boxes) and NCs and their teams (indicated by blue boxes).

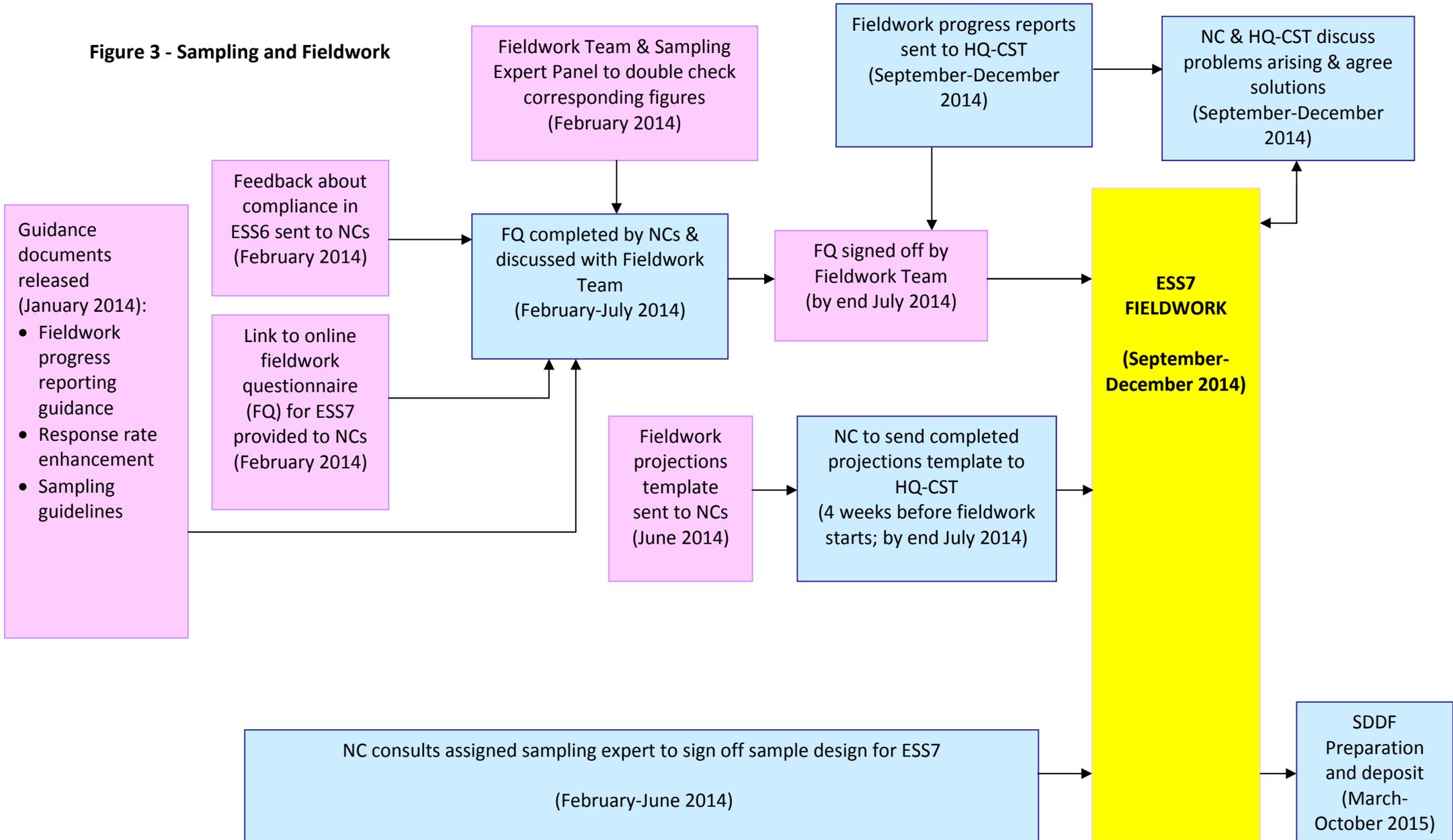
**Figure 1 – ESS life cycle**



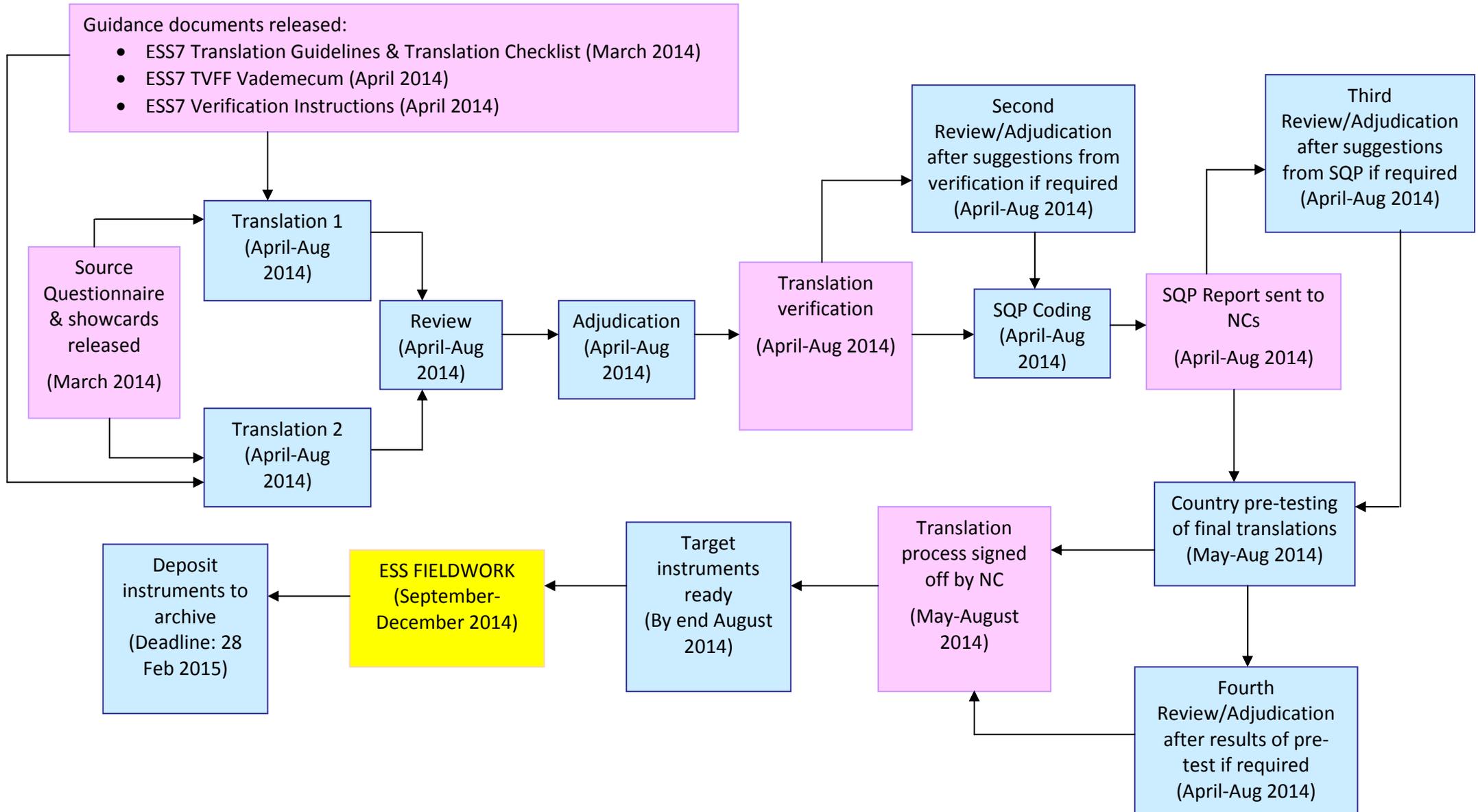
**Figure 2 - Questionnaire Development and Pre-testing**



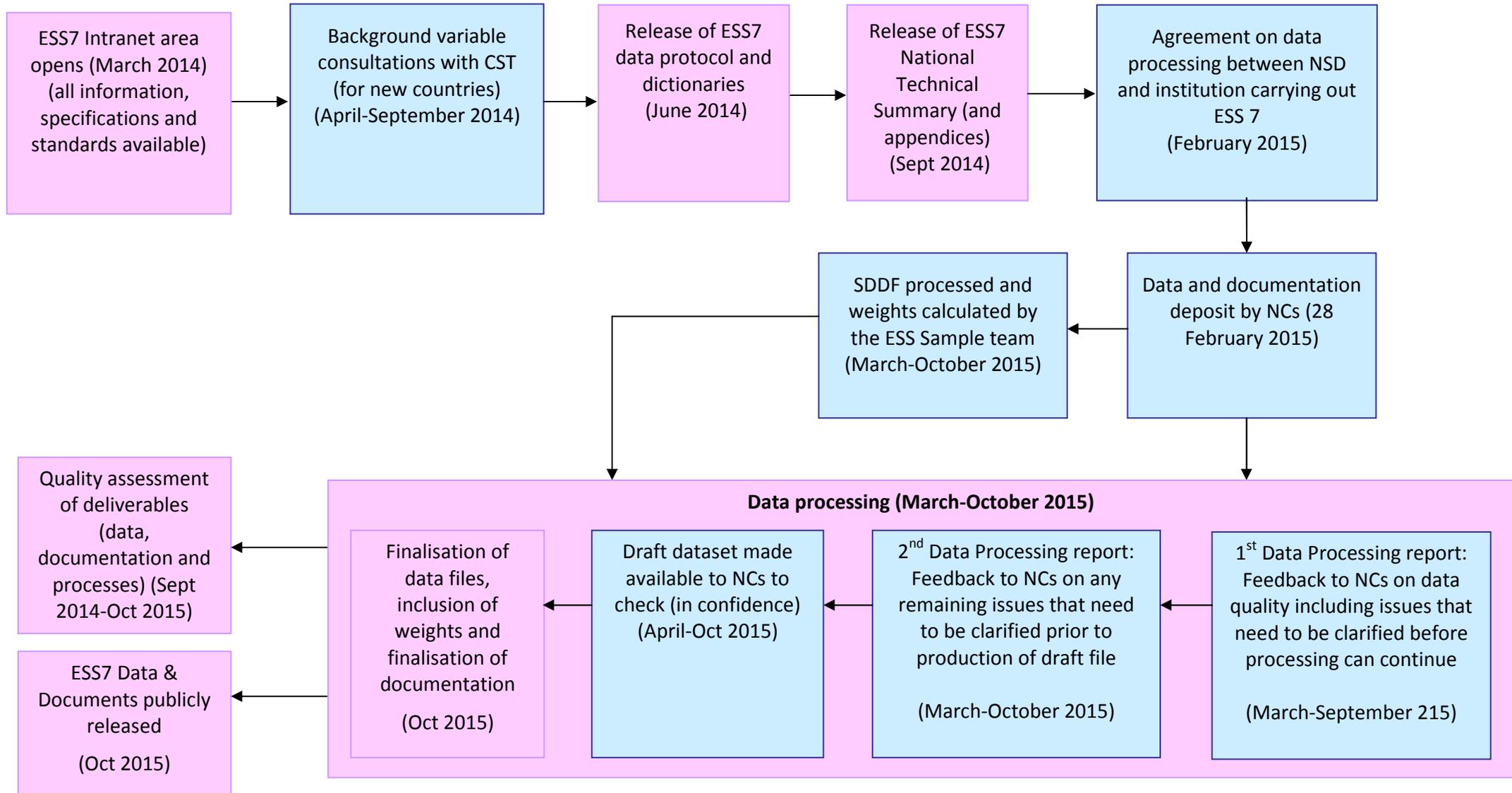
**Figure 3 - Sampling and Fieldwork**



**Figure 4 - Translation, Verification and SQP Coding**



**Figure 5 - Data Preparation, Processing and Archiving**



## 4.2. Key documents

All Round 6 versions of the documents listed below are included in the zipped file ('ESS Manual') that accompanies this Specification. The Round 7 versions will be made available on the dates specified below. The username and password for the intranet will be provided to all NCs when the intranet opens in March 2014.

**Table 2: Key documents**

| Document name   | Relevant section of this document | R7 Publication date (2014) | Where available from  |
|---|-----------------------------------|----------------------------|---|
| Sampling Guidelines   | 6.2                               | January                    | By email then on ESS7 intranet  |
| Fieldwork progress reporting guidance   | 7.6                               | January                    | By email then on ESS7 intranet  |
| Guidelines for enhancing response rates and minimising nonresponse bias   | 7.5                               | January                    | By email then on ESS7 intranet  |
| Fieldwork questionnaire (FWQ)   | 7                                 | February                   | Online – the link will be sent to NCs by email  |
| Source Questionnaire and showcards  | 5.1.1                             | March                      | ESS7 Intranet   |
| Translation guidelines<br>Translation Quality Checklist   | 5.2                               | March                      | ESS7 Intranet   |
| Project Instructions (CAPI and PAPI)  | 7.3, 7.4                          | April                      | ESS7 Intranet   |
| Supplementary Questionnaire and showcards   | 5.1.2                             | April                      | Available on request from the HQ-CST  |
| SQP Guidelines and SQP Codebook   | 5.2.2                             | April                      | ESS7 Intranet   |
| (Translation and) Verification Follow-up Form (T)VFF, (T)VFF Vademecum<br>Verification Instructions   | 5.2.1                             | April                      | ESS7 Intranet   |
| Example Contact form  | 7.3.3                             | April                      | Available on request from the HQ-CST (there are different versions depending on the sample design employed) |
| Explanations and instructions for completing ESS contact forms<br>Guidelines for Collecting observable data   | 7.3.3                             | April                      | ESS7 Intranet   |
| Media Claims Guidelines<br>Media Claims Training Package  | 8                                 | May                        | ESS7 Intranet   |
| ESS Interviewer Briefings - Notes on standardised interviews<br>Best Practice and ESS Scenarios on conducting standardised interviews<br>ESS Practice Interview - for interviewer briefings | 7.4                               | May                        | ESS7 Intranet   |
| Fieldwork Projections Template  | 7.6                               | June                       | ESS7 intranet   |
| ESS Data Protocol and dictionaries  | 9.1                               | June                       | ESS7 Intranet   |
| National Technical Summary & appendices   | 9.1                               | September                  | ESS7 Intranet   |

## 5. Preparing the questionnaire

### 5.1. The ESS questionnaire

The ESS questionnaire consists of four parts:

- source questionnaire (core questionnaire and rotating modules),
- supplementary questionnaire,
- interviewer questions (to be completed by the interviewer after the interview),
- optional: country-specific questions.

The optional country-specific questions are published in country-specific files only.

The ESS questionnaire is administered to all respondents using face-to-face interviewing either by paper-and-pencil (PAPI) or by computer-assisted (CAPI) interviewing – the latter if there is adequate experience of it in a particular country since the quality is often higher. **In Round 7 a short part of the main ESS questionnaire (up to 15 items) may need to be administered by self completion methods due to the sensitive nature of the questions. Survey agencies should allow for this in their costings.** The interviews will be conducted in respondents' homes<sup>2</sup>. The supplementary questionnaire should ideally be a part of the face-to-face interview but may be a self-completion questionnaire (see Section 5.1.2).

The HQ-CST will make all efforts to prepare a source questionnaire where the main interview takes around 50 minutes and the supplementary questionnaire around 10 minutes to administer. Where the supplementary questionnaire is administered by the interviewer the total interview length in British English is not expected to exceed 60 minutes. These estimates do not include the time taken to answer any national questions that countries may choose to add, the interviewer questions, general administration or the contact procedures.

NCs should estimate how long the questionnaire will take to administer in their country's languages noting that this 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.

#### 5.1.1. The source questionnaire

The ESS source questionnaire contains a 'core' module, which largely remains the same each round. This includes questions on topics such as media use, political trust and participation, social values, fear of crime, national, ethnic and religious allegiances as well as demographic composition. There is space for up to 10 additional items in the core questionnaire that may or may not be used in round 7. In each round, there are also two short 'rotating' modules, which are developed by competitively-selected, multinational questionnaire design teams in collaboration with the HQ-CST. In round 7 these modules focus on health inequalities and attitudes towards immigration.

The source questionnaire is produced by the HQ-CST with input from cross-national question module design teams and NCs and informed by rigorous cross-national pretesting activities. The final Round 7 questionnaire and showcards will be available to NCs in March 2014.

#### 5.1.2. The supplementary questionnaire

The first part of the supplementary questionnaire 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

---

<sup>2</sup> 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.

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 **four** groups, each group getting a different set of 9 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 HQ-CST 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.

### *5.1.3. Adding country-specific questions*

Any nation may add items to the questionnaire for national rather than multinational use. These **must** be inserted **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 HQ-CST to ensure that the extra time of interview does not compromise overall response rates.

## **5.2. Questionnaire translation, verification, SQP coding and pretesting**

Detailed descriptions of the translation procedures and requirements referred to here are available in the ESS Translation Guidelines (ESS-TG). The translation process must include translation, review, adjudication, pretesting and documentation (TRAPD) procedures as well as translation verification, SQP Coding and, if applicable, shared language reconciliation.

For countries that participated in earlier rounds, a substantial part of the translation work will already have been carried out (core questionnaire and items from repeat rotating modules). Only the new rotating modules, the new items in repeat rotating modules and the repeat measures from the supplementary questionnaires will need to be translated. Countries that have participated in previous rounds of the ESS should note that **changes in their translations of items in the core questionnaire and of repeated items from repeat rotating modules must not be implemented without approval from the HQ-CST.**

### *5.2.1. Translation & verification requirements*

- **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 sharing French, for example) will prepare their own draft version and will then consult each other about appropriate translation and possible harmonisation of question wording. Each nation will be responsible for ensuring the

functional equivalence of its own translation(s). (For more detail on the ‘shared language’ procedures to be applied, see ESS-TG),

- NCs are required to find suitable individuals to fulfil the three key roles in the approach: translators, reviewer, and adjudicator. (For the choice of suitable personnel for the translation procedures, see ESS-TG),
- All translated language versions are subject to linguistic quality checking (verification) by an external service provider. NCs should set aside approximately 4 weeks for the entire verification process. (For more detail on the verification details, see ESS-TG, Round 7 Verification Instructions and Round 7 (Translation and Verification) Follow-up Form and Vademecum).

### *5.2.2. Survey Quality Predictor (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. For details on how to conduct SQP coding please consult the ESS Round 7 SQP Guidelines and ESS Round 7 SQP Codebook.

Procedures to be followed:

- Once amendments have been made to translations following verification, NCs are required to submit the supplementary questionnaire and showcards to the HQ-CST,
- NCs will code a pre-specified section of the translated questions using the SQP system; the HQ-CST will compare these to the English source questionnaire and highlight any differences. These will be discussed with the NC and amended by the NC as required,
- SQP Coding by the NC may take up to 10 hours in total (5-8 hours for coding, 1 for commenting on suggestions and 2 for making corrections).

### *5.2.3. Pretesting translated questionnaire(s) at national level*

All translated questionnaires must be pretested following the completion of verification and SQP Coding. The key aims of the pretest are to check the lay-out of paper questionnaires and CAPI programming and routing, and to check whether questions and answer scales are clear, complete and correct. The pretest is not an opportunity to amend the source questionnaire.

A quota-controlled, demographically-balanced sample of at least 30 people should be used.

Countries may like to consider tape recording interviews, conducting respondent and / or interviewer debriefs and using cognitive interviewing during the pretest.

### *5.2.4. Sign-off translation procedures*

After completion of all translation steps, including verification, SQP Coding and pre-testing, NCs are asked to formally sign off on their translations. Although there is no requirement to inform the HQ-CST, NCs should be confident that all steps outlined in the ESS Round 7 Translation Guidelines, the ESS Round 7 Translation Quality Check List, the ESS Round 7 Verification Instructions and the ESS Round 7 SQP Coding instructions were followed in full.

### *5.2.5. Translation documentation*

After formal sign-off of the translations, NCs are asked to provide the HQ-CST with the final (T)VFF including:

- follow-up on the verification results,
- follow-up on SQP Coding,

- follow-up on shared languages reconciliation, if applicable,
- any changes made to existing translations
- and documentation of the role and qualifications of the different people involved in the translation, review and adjudication process (translator 1, translator 2, reviewer, adjudicator, (and any other people involved, if applicable))

The final (T)VFF should be uploaded to the ESS Intranet as indicated in Section 9.1.

## 6. Sampling

The ESS Sampling Expert Panel (SEP) aims at providing the optimum sampling design for each participating country. They also try to enhance existing sampling design or to suggest improved new ones. For this, the responsible sampling expert needs the support of the NC to alter basic aspects of the sampling design, e.g. to help find alternative sampling frames, suggest a different stratification scheme, think of means to increase response rates, etc. Full details of the ESS Sampling requirements can be found in the Sampling Guidelines.

### 6.1. Population coverage

The ESS 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.

A household is defined as one person living alone or a group of people living at the same address (and have that address as their only or main residence) who either share at least one main meal a day or share the living accommodation (or both). People who are temporarily away (in hospital, on holiday) still belong to the household.

### 6.2. The sample

#### 6.2.1. Sampling principles

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 6.2.3 for details on fieldwork). Where a sampling frame of individuals is not available, or lacks sufficient coverage, countries may use a sampling 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.

If an area sample based on a random-route procedure is applied to a sample of addresses or dwellings, it must be ensured that a pre-listing of at least twice as many dwellings as needed for the gross sample is performed from which the required number of dwellings will need to be selected by the survey agency. The person who produces the pre-listing (the enumerator) **should under no circumstances be the same person as the interviewer**. Enumeration should take place before the start of fieldwork.

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', 'non-contacts' or 'ineligibles')**. Over-sampling of certain groups (e.g. sample units in low response areas) is not recommended (any efforts to do so **MUST** be discussed and agreed in

advance). The Sampling Expert Panel strongly recommends using stratification at least of primary sampling units (PSUs).

### *6.2.2. Effective sample size*

**The minimum ‘effective achieved sample size’ ( $n_{eff}$ ) must be 1,500**, or 800 in countries with ESS populations (aged 15+) of less than 2 million after discounting for design effects. With the help of the sampling expert panel (SEP), each country should determine the appropriate size of its initial issued sample by taking into account the realistic predicted impact of clustering, variation in inclusion probabilities (if applicable), eligibility rates (where appropriate), and response rate. The sampling expert panel will assist in the calculation of the gross sample size required in order to achieve an effective sample size of 1,500 (800) interviews. Note that in some cases (e.g. complex multi-stage sampling design, low expected response rate, etc) this might require a larger gross sample and this needs to be considered when setting the budget for the survey. After the SEP has agreed on and signed off a sampling design, the number of cases in the gross sample must be issued without amendment.

### *6.2.3. 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 of fieldwork to the expert panel for ‘signing off’. This form must subsequently be sent to the HQ-CST for future 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 target population and of any systematic exclusions due to frame imperfections
- a description of the sampling frame and of the units it comprises at all stages of the design (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 sample 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
- realistic and reliable predictions of design effects (due to clustering and due to unequal inclusion probabilities); response rates; the rate of ineligibles and the required number of interviews as well as the required number of elements to draw the initial sample (gross).

A sample design data file (SDDF) must be produced by each country and delivered to the HQ-CST. 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 of the SDDF is provided in the ESS Data Protocol. **Failure to deliver the sample design data file (SDDF) will be considered an irreparable compromise to quality (see section 10).**

The final sample design will also be fully documented by each NC. 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 section 1.4 for information about data protection assured by the ESS Archive at NSD.

## **7. Fieldwork**

Preceding fieldwork and contracting, NCs must discuss fieldwork design and practical details with the Fieldwork team. To facilitate this they will receive feedback on the previous round and will be asked to complete an online Fieldwork Questionnaire (FWQ).

### **7.1. Fieldwork period**

The ESS fieldwork period will last **at least one month within a four-month** period between 1 September and 31 December 2014 (see timetable in Section 4). As of Round 7 every country will be expected to start fieldwork in September.

### **7.2. Respondent recruitment**

The first contact with potential respondents, following a possible advance letter and brochure, will be face-to-face. Once contact with a household has been established, or after four unsuccessful personal visits, 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. At least one in person visit to each sample unit is still required in order to collect information on the dwelling and neighbourhood (see Section 7.3.3). **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. As mentioned in section 6.2.1, when no list of named individuals or named households is available for sampling, it should be ensured that the enumerator, i.e. the person who selects the households in the field, is not the same person as the interviewer. Enumeration should take place before the start of fieldwork.

### **7.3. Response rates: targets, calculation and contact forms**

#### **7.3.1. Target response rates**

The proportion of non-contacts should not exceed 3% of all sample units, and the minimum target response rate - after discounting ineligible (as defined by the HQ-CST - see section 7.3.2) - should be 70%. All countries are expected to aim for the 70% response rate or – at least – plan for a higher response rate than in the previous round.

NCs will discuss with the Sampling Expert Panel which **national target response rate** will be used in designing the sample and preparing the fieldwork. This national target response rate will be based on response rates in previous rounds, and feedback from the FWQ team on past deviations in fieldwork, and may require increased efforts and improvements in the fieldwork design. Survey agencies should cost their surveys with this response rate in mind and consider what steps may be required to achieve it.

Outcomes of all contact attempts and contacts, whether by telephone or in personal visits, to addresses, households and individuals in the sample will be defined and recorded according to a pre-specified set of categories that distinguish ineligibility, interview, non-contact, refusal, other contact (but no interview) and other types of nonresponse.

### 7.3.2. Response rate calculation and documentation

The ESS response rate is calculated as shown below:

$$\text{Response rate} = \frac{\text{number of achieved complete interviews}}{\text{number of individuals, households, addresses selected MINUS ineligibles}}$$

For the calculation of this response rate **ineligibles** comprise:

#### *For samples of individuals*

- Respondent deceased
- Address not occupied by respondent (not occupied/demolished / not yet built/weekend or second homes)
- Respondent emigrated/left the country long term (for more than 6 months)
- 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 or second homes),
- Address occupied by resident household, but no eligible respondent (no one aged 15+).

Reporting of the ESS response rate will be calculated 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. Units not eligible, and why (as defined above)
- 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 complete interview
- I. Total per cent response rate (H/C)

A full list of all codes used to calculate response rates at different levels of detail, and how to code them, will be available in an annex to the ESS7 National Technical Summary.

### 7.3.3. Contact forms

The purpose of the contact form is to document all stages of interviewer's attempts to make contact with every selected sample unit, to identify non-response units, to assist in improving response rates through converting initial refusers and to facilitate the detection of potential non-response bias.

Given the nature of the contact procedures during ESS fieldwork, it is recommended that interviewers are remunerated additionally (or separately) for completing the contact form.

The HQ-CST provides model contact forms, for translation and use by national teams. It is preferable that these model contact forms are used by all countries. However, if this is not possible, country-specific contact forms may 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 HQ-CST prior to fieldwork.

Interviewers are asked to record the following information in the contact form:

- Interviewer number,
- Date, time and outcome of contact attempts and contacts,
- Household and respondent selection procedure (non-individual sampling frame countries),
- Interviewer's judgment of future cooperation of initial refusers,
- Demographic information of the initial refusers,
- Information on dwelling and neighbourhood.

In addition, the survey agency should provide information on the interviewer's age and gender, and, if possible, on the interviewer's years of experience. This information should be included in the interviewer data file to be deposited to the ESS Archive at NSD.

Detailed guidance on interviewer tasks and the completion on contact forms can be found in:

- Project instructions (PAPI/CAPI),
- Explanations and instructions for completing ESS contact forms and Guidelines for collecting observable data.

#### **7.4. Interviewer workload and briefing**

Interviewer should not carry out more than two assignments<sup>3</sup> and interviewers' assignment sizes (workload) should not exceed 24 issued sample units (i.e. 24 named individuals, households or addresses). Throughout the fieldwork period, each interviewer should not work on more than 48 issued sample units, and any proposed deviation in this area must be discussed with the HQ-CST in advance. This refers to the number of *issued sample units* rather than the number of realised (completed) interviews. This restriction reflects evidence that interviewers' workload can have an effect on how respondents answer the questionnaire and aims to reduce this as far as possible.

Interviewers are expected to have received training in and to have experience with face-to-face surveys among random samples. It should be noted that interviewer *training* is different from a *briefing* in which specific instructions for a particular survey research project, such as description of the project, questionnaire, rules, are presented. A briefing is project oriented and training is task oriented. Briefings should cover in detail respondent selection procedures, if applicable, and recording of the contact process using the model contact forms including the coding of interviewer observation data. Briefings should also enable interviewers to practise asking questions from the survey, facilitated by guidance provided by the HQ-CST.

All interviewers must be personally briefed by the NC or members of the research team from the survey agency before carrying out an assignment, drawing on detailed interviewer instructions prepared by the HQ-CST.

The ESS aims to achieve high level of consistency in interviewer practice by providing standardised interviewer briefing materials. The following documents should be used in interviewer briefings:

---

<sup>3</sup> 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.

- Round 7 Project Instructions for CAPI and PAPI countries,
- Explanations and instructions for completing ESS contact forms and Guidelines for collecting observable data,
- ESS Interviewer Briefings - Notes on standardised interviews,
- Best Practice and ESS Scenarios on conducting standardised interviews,
- ESS Practice Interview – for interviewer briefings.

### **7.5. Response rate enhancement**

The ESS aims for a response rate of 70% and a maximum noncontact rate of 3%. To pursue this interviewers have to make **at least four personal visits**<sup>4</sup> 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 one must be at the weekend and 1 in the evening
- 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**.

All potential survey agencies must be invited to suggest a range of techniques that they believe would enhance the final response rate. Such techniques may include advance letters and brochures, 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 7.6. 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.

In pursuing high response rates one should be mindful of the need to maximise response amongst all groups of the population and to bring response rates to a consistent level among subgroups. Measures to reduce nonresponse should therefore target groups who are disproportionately underrepresented as a result of design issues (e.g. apartment dwellers).

The HQ-CST has provided guidance on possible response enhancement strategies such as incentives (see Guidelines for enhancing response rates), whilst recognising that the effectiveness of different approaches may well vary between different countries, with different norms, cultural settings, geography, and so forth. Response enhancement techniques employed should be documented in the National Technical Summary form.

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

NCs should monitor the progress of fieldwork, including the response rates in different regions, among different subgroups (where possible), and by different interviewers. They should, also monitor the average length of interview for each interviewer and investigate interviewers who are outliers in case this indicates quality problems.

In addition, fieldwork monitoring includes the submission of fieldwork projections, at least one month prior to the start of fieldwork and the submission of a fortnightly report on fieldwork progress and response to the HQ-CST.

---

<sup>4</sup> See Section 7.2 for one exception to this rule.

Quality control back-checks are a standard tool to monitor the performance of interviewers. Quality control back-checks should be made to respondents, noncontacts, refusals and ineligible. In the case of respondents they involve a short interview (whether by telephone or in person) including:

- checks on whether an interview was indeed conducted,
- checks if showcards were used,
- checks that a laptop was used (if applicable),
- the approximate length of the interview,
- whether the Supplementary Questionnaire was administered by the interviewer or completed by the respondent,
- and optionally, some of the ESS questions could be repeated.

Quality control back-checks of nonrespondents and ineligible should be conducted across all interviewer assignments. Ideally an interviewer or supervisor should be sent to check these cases in person. ‘Respondent died’ cases should not be checked.

An alternative for nonrespondents and ineligible 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.

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.

**Table 3: Permissible methods and proportions required for quality back-checks**

|  | <b>Interviews</b> | <b>Refusals</b> | <b>Noncontacts and ineligible</b> |
|--|-------------------|-----------------|-----------------------------------|
| <b>% to be achieved</b>                            | 10%               | 5%              | 5%                                |
| <b>In person</b>                                   | YES               | YES             | YES                               |
| <b>By phone</b>                                    | YES               | YES             | YES                               |
| <b>By mail (only in exceptional circumstances)</b> | NO                | YES             | YES                               |

**8. Media claims coding**

During fieldwork NCs should collect information on events reported by national newspapers. For this purpose the ESS Media Claims reporting tool has been developed. The main goal of media claims reporting is to give an independent measure of the social, political, economic and cultural climate of a country.

During 10 weeks (starting one week before fieldwork) on weekdays, claims have to be identified in newspaper articles directly referring to topics included in the ESS core questionnaire. These claims have to be coded according to a pre-specified format and recorded in an SPSS data template.

Two documents have been developed by the HQ-CST for Media claims coding: Media Claims Guidelines, and Media Claims Training Package. These will be updated for Round 7.

## 9. **After fieldwork: Data preparation**

### 9.1. *Deliverables*

The ESS Data Protocol provides the complete list of deliverables to be deposited to the ESS Archive at NSD. All specifications of the deliverables as well as the procedures to be applied in the production of the national ESS data and metadata are described in this protocol. All NCs should adhere to the specifications provided in the ESS Data Protocol and dictionaries. The ESS Data Protocol for Round 7 will be made available from the ESS Intranet in June 2014.

The deliverables are:

#### **Data**

- Data from Main questionnaire
- Data from Supplementary questionnaires
- Data from Interviewer questionnaire
- Call record/contact form data
- Parents' occupation
- Sample design data file (SDDF)
- Raw data from main and supplementary questionnaires
- Media Claims file

#### **Documentation**

- Main questionnaire
- Supplementary questionnaire (all versions)
- Interviewer questionnaire
- Contact form
- Show cards (from the main and supplementary questionnaires)
- National Technical Summary (NTS) with appendices (education, income, political parties and marital and relationship status)
- Population statistics
- Interviewer and fieldwork instructions
- Interviewer briefing and training material
- Advance letters, brochures etc.
- Media landscape
- Final (T)VFFs

All electronic deliverables are to be uploaded to the ESS Intranet **by the end of February 2015**. Prior to deposit of data, each NC is responsible for checking their data with confidentiality in mind. Please see section 1.5.

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 Intranet, the archive reserves the right to ask for new deliverables.

### 9.2. *Coding*

The following socio-demographic items will be recorded verbatim and subsequently coded by the survey agency 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 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 and from the ESS Intranet. To ensure optimal comparability the standards that provided from the ESS Intranet must be used.

### **9.3. Processing and dissemination**

Throughout the ESS Archive's processing of the national files, the NCs have full access to all programmes, files and listed output from the ESS 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 7.

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 HQ-CST 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.

**No national data (or interpretations of such data) can be released, published or reported in any way until the data has been officially released by the ESS Archive at NSD. Thereafter, the data will be available without restriction for non-commercial use, scientific research, knowledge and policy making in all participating countries and beyond to quarry at will.**

## 10. Quality, comparability and compliance

The ESS is a cross-sectional time series survey that also aims to improve standards of social measurement. As such, it aims to achieve the highest methodological standards in all participating countries and users need to have confidence in the data collected and published by the ESS. This means that high quality standards pertain to the instruments, fieldwork and resulting data of the ESS; it means that serious efforts are made to produce **comparable** data both across countries and over time; and it also means that **compliance** with ESS rules, regulations and procedures needs to be achieved to promote quality and comparability.

There are four types of problems that can compromise the quality and comparability of ESS data and thus seriously limit the value for users.

The **first** group of compliance issues are particularly central. Therefore, all members and observer countries are asked to ensure that they:

- field the complete ESS Round 7 questionnaires,
- deliver a Sample Design Data File (SDDF) which allows the calculation of inclusion probabilities,
- make a complete delivery of ESS Round 7 data (including the contact form data) and documentation to the ESS Archive at NSD before 1 September 2016.

In the past, significant deviations from these requirements have led to exclusion of the data from the integrated data file and are likely to do so in future.

The **second** group of compliance issues relate to the quality assurance procedures imposed by the HQ-CST. This means in particular that a country has to have finalised the following before fieldwork starts:

- the translation, verification and SQP procedures for the ESS Round 7 questionnaire,
- the sign off procedure for the sampling design,
- the sign off procedure of the fieldwork questionnaire (FWQ);

The **third** set of compliance issues arise if quality control analyses performed by the HQ-CST (or other parties) reveal serious doubts as regards data quality. This may, for instance, include indications of very high design or interviewer effects, indications of very large nonresponse bias or very low measurement quality (reliability/validity) of the data (including large amounts of missing data). Respondent substitution and interviewer fraud are also serious threats to data quality.

The **fourth** area of compliance relates to data release. ESS data is a public good. NCs must ensure that no national data is released until the official data release via the ESS archive. This allows the data to be properly checked prior to release and ensures equal access to the data for all.

**In the event of a breach of any of these four key compliance considerations, the HQ-CST reserves the right not to include the country data in the integrated file. In these cases, the representative for that country in the ESS ERIC General Assembly will be informed of this decision.**

## Appendix

### Abbreviations

|        |   |
|--------|---|
| CAPI   | Computer Assisted Personal Interviewing                                     |
| ERIC   | European Research Infrastructure Consortium                                 |
| ESS    | European Social Survey  |
| ESS-TG | ESS Round 7 Translation Guidelines  |
| FWQ    | Fieldwork Questionnaire   |
| HQ-CST | Host institution and CST institutions                                       |
| ISCED  | International Standard Classification of Education                          |
| ISCO   | International Standard Classification of Occupations                        |
| ISO    | International Standard for country codes                                    |
| NACE   | Statistical Classification of Economic Activities in the European Community |
| NC     | National Coordinator  |
| NTS    | National Technical Summary  |
| PAPI   | Paper and Pencil Interviewing   |
| QDT    | Questionnaire Design Team   |
| SDDF   | Sample design data file   |
| SEP    | Sampling Expert Panel   |
| SQP    | Survey Quality Predictor  |
| TRAPD  | Translation, Review, Adjudication, Pretesting and Documentation             |
| (T)VFF | (Translation and) Verification Follow-Up Form                               |

### Research groups at host and CST institutions

|                         |   |
|-------------------------|---|
| CITY                    | <a href="http://www.city.ac.uk">www.city.ac.uk</a>  |
| GESIS                   | <a href="http://www.gesis.org/en/home/">www.gesis.org/en/home/</a>  |
| NSD                     | <a href="http://www.nsd.uib.no/nsd/english/index.html">www.nsd.uib.no/nsd/english/index.html</a>  |
| SCP                     | <a href="http://www.scp.nl/english/">www.scp.nl/english/</a>  |
| University of Leuven    | <a href="http://soc.kuleuven.be/web/home/6/35/eng">http://soc.kuleuven.be/web/home/6/35/eng</a>   |
| University of Ljubljana | <a href="http://old.fdv.uni-lj.si/English/Research/Research_c.asp?id=9">http://old.fdv.uni-lj.si/English/Research/Research_c.asp?id=9</a> |
| UPF                     | <a href="http://www.upf.edu/survey/">www.upf.edu/survey/</a>  |

### Specific email / website addresses

|                  |  |
|------------------|--|
| ESS Archive      | <a href="mailto:essdata@nsd.uib.no">essdata@nsd.uib.no</a>                                 |
| Fieldwork team   | <a href="mailto:fieldwork@europeansocialsurvey.org">fieldwork@europeansocialsurvey.org</a> |
| Headquarters     | <a href="mailto:ess@city.ac.uk">ess@city.ac.uk</a>   |
| Media claims     | <a href="mailto:ESSmediacclaims@scp.nl">ESSmediacclaims@scp.nl</a>                         |
| SQP              | <a href="http://www.upf.edu/survey/sqp2.0.html">www.upf.edu/survey/sqp2.0.html</a>         |
| Translation team | <a href="mailto:ess_translate@gesis.org">ess_translate@gesis.org</a>                       |