

Chapter V

DATA COLLECTION

Part 1

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European Social Survey, Round 2

Specification for participating countries

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Specification overview

This specification documents the requirements for each country participating in the second round fieldwork of the European Social Survey. The specification provides detailed information and frequent links to the ESS website for further documents – www.europeansocialsurvey.org.

In summary, participation in the ESS Round 2 fieldwork involves:

- ◆ The appointment of a **National Co-ordinator** to oversee the project and co-ordinate between the various groups involved, spending between 30% and 50% of their time between September 2003 and June 2005 (see Section 3);
- ◆ 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 4);
- ◆ Conducting the fieldwork, adhering to exacting methodological standards, including the following:

Sampling (see 5.1 to 5.5 and 5.8)

- ◆ 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)
- ◆ Target minimum response rate of 70% and a target maximum non-contact rate of 3%

Translation (see 5.11)

- ◆ Translated questionnaires to be produced for any minority language groups constituting 5% or more of the population
- ◆ Translation process to include review and adjudication stages, according to specified protocols
- ◆ Every stage of translation to be documented for future reference

Event monitoring (see Section 3)

- ◆ National Co-ordinators to document major political, social and economic events before and during fieldwork that are likely to have a substantial bearing on their country’s response patterns, according to specified protocols

Fieldwork (see 5.6, 5.8, 5.12)

- ◆ Fieldwork period of at least one month between September and December 2004
- ◆ Hour-long interviews carried out face-to-face, plus a short supplementary questionnaire
- ◆ At least 4 calls on different days and at different times to be made to locate potential respondents
- ◆ 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
- ◆ The use of detailed contact forms to monitor the fieldwork process, including the outcome of each call at each address
- ◆ Limited interviewer workloads
- ◆ Specified quality control checks

Data preparation (see 5.13 and 5.14)

- ◆ Occupation, industry and education coding to international standards
- ◆ Data deposit with full technical report to a central Archive by end January 2005.

1 Introduction

- 1.1 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 Co-ordinating Team (CCT)**. The team is led by Professor Roger Jowell (National Centre for Social Research, London UK), and includes Professor Jaak Billiet (University of Leuven Belgium), Bjørn Henrichsen (Director NSD, Bergen Norway), Professor Peter Mohler (ZUMA, Mannheim Germany), Professor Willem Saris (University of Amsterdam Netherlands), and Ineke Stoop (SCP, The Hague Netherlands).
- 1.2 The multinational design and co-ordination of the project are financed by the European Commission, with supplementary funds from the European Science Foundation (ESF). The costs of both the national survey and the National Co-ordinator within each participating country are borne by each country. Funding for the first two rounds of the ESS is secured from the Commission and the ESF, with an application for Round 3 funding currently in progress.
- 1.3 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 and consisting of one representative each from participating national funding agency, one from the ESF and two from the Commission. The CCT also has at its disposal roving panels of expert advisers on sampling and translation issues. A small multinational Methods Group advises on other methodological issues, while two to four question module design teams will be selected by a competitive process to help design the variable elements of the questionnaire for Round 2. For further details of the CCT and the other groups involved in the ESS, refer to the web site - www.europeansocialsurvey.org.
- 1.4 The first round of the ESS is drawing to a successful completion. 23 countries participated in Round 1, and it is expected that a similar profile of countries will continue into Round 2. For the most part Round 1 fieldwork is complete and countries are now depositing their data with the Archive for public release in the middle of 2003.
- 1.5 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 will be freely available to the social and policy communities throughout Europe and beyond. As the ESS biennial time series builds survey upon survey, it will provide a unique long-term account of change and development in the social fabric of modern Europe. In addition, it will help to activate research networks across Europe and the participation of young researchers in the substance and methodology of rigorous comparative research.

- 1.6 These specifications are provided for the national funding agencies in participating countries to aid **the selection of National Co-ordinators** (section 3) and **Survey Organisations** (section 4), who will both be responsible to the CCT for the conduct of each national survey to common specifications and standards. Since the specification of the survey itself will, of course, play a major role in all the selection processes, it is also included here (section 5). Throughout the specification, we refer to other documents which give more detail about the procedures to be followed, and can be found on the ESS web site. Direct links are provided where appropriate.

2 National level appointments

- 2.1 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 Co-ordinator and a Survey Organisation. These appointments may or may not be located in a single institution.
- 2.2 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 below.
- 2.3 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.
- 2.4 The National Co-ordinator 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.
- 2.5 The selection of the National Co-ordinator by each national funding agency is ideally to be made in time for work to start at national level at the beginning of September 2003, but at any rate no later than the end of November 2003. Although their work will not begin in earnest until early in 2004, National Co-ordinators should be appointed in time for them to be able to comment and contribute during the questionnaire design process. The selection of the survey organisation should be made by January 2004.

3 *Specification for National Co-ordinator*

3.1 In countries that did not participate in Round 1 or where National Co-ordinators and/or survey organisations did not work on Round 1, we expect that National Co-ordinators will need to commit more time to the ESS than in other countries. So, for the 21 months from September 2003 to June 2005:

- ◆ countries who did not participate in Round 1 should allow for approximately 50% commitment from the National Co-ordinator (10 months full-time equivalent);
- ◆ countries who participated in Round 1, but are appointing a different National Co-ordinator and/or survey organisation should allow for approximately 30% commitment from the National Co-ordinator (7 months full-time equivalent);
- ◆ countries who participated in Round 1 and are appointing the same National Co-ordinator and survey organisation can usually expect to reduce the commitment to approximately 25% (5½ months full-time equivalent).

The workload of the National Co-ordinator will vary over the period of the survey. From Round 1, it is clear that the bulk of the work takes place during the translation and fieldwork preparation periods (May to September 2004 for Round 2).

3.2 The National Co-ordinator 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

NB The National Co-ordinator 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).

3.3 His or her role will be to:

- ◆ 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
- ◆ meet with and advise ESS question module design teams on question construction
- ◆ co-ordinate translation from English source (pilot and main) questionnaires
- ◆ co-ordinate and interpret national pre-tests according to a common specification
- ◆ conduct or attend the fieldwork briefings
- ◆ monitor fieldwork and data preparation operations, ensuring contract compliance and optimum response
- ◆ 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 in case these are not centrally available

- ◆ submit to the CCT monthly reports on major events that may influence national fieldwork progress or that may be closely related to topics in the questionnaire, according to pre-specified guidelines (for more information on the collection of 'event data' see Event Reporting Guidelines Round 2:

http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=44&Itemid=80)

starting in August 2004 and continuing until the fieldwork has ended

- ◆ liaise as necessary with ESS data archive (NSD Norway) about data deposit
- ◆ attend plenary meetings with other National Co-ordinators (for which travel and subsistence costs can be claimed back)
- ◆ prepare a full technical report (to a pre-specified format and standard) containing details of national sampling, fieldwork, response rates, etc. (see National Technical Summary document
http://essdata.nsd.uib.no/passord/servicepack_technicalreport.cfm)
- ◆ advise on post-stratification of national data and any weighting required
- ◆ set up and operate appropriate financial accounting systems

3.4 In countries where the National Co-ordinator works within a separate organisation from the survey institution fielding the survey, some of the tasks 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 National Co-ordinator.

4 Specification for Survey Organisation

4.1 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 section 5 below. 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.

4.2 A copy of the draft contract or proposal (in English) should be forwarded to the CCT before signing is undertaken. The Specification of the Survey (Section 5 below) should form part of the contract or proposal. In cases where the contract for the first round also spans the second or more rounds, the revised specifications for the relevant round should be agreed and signed off by the survey organisation. A copy of the final contract (in English) should be forwarded to the CCT as soon as it has been agreed by all partners.

5 *Specification for the Survey*

5.1 *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 language¹. 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 if at all possible be remedied.

5.2 *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 5.12). Where a sample frame of individuals is not available, 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. See also Sampling Strategy Round 2

(http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=53&Itemid=80).

5.3 *Effective sample size*

The **minimum 'effective achieved sample size' should be 1,500**, after discounting for design effects (see Appendix 1), 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 on the effective sample size. The sampling panel will help to calculate the actual gross achieved sample size required in order to achieve an effective sample size of 1,500 interviews.

¹ Please note that questionnaires are to be 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 (see 5.12). 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 National Co-ordinators 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.

5.4 *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, duplication 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.

The final sample design will 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.

5.5 *Target response rates*

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 non-eligibility, non-contacts and refusals (see section 5.8). Model 'contact forms' will be produced by the CCT, for translation and use by national teams. Countries may use their own contact forms if they wish, ensuring that these collect data on all of the variables specified by the CCT. Example contact forms can be seen at http://www.europeansocialsurvey.org/index.php?option=com_content&task=view&id=121&Itemid=159

The proportion of non-contacts should not exceed 3 per cent of all sampled units, and the **minimum target response rate** - after discounting ineligibles (and other 'deadwood', as defined by the CCT - see section 5.7) - **should be 70%**. As seen in Round 1, this figure is likely to be exceeded in certain countries. Countries that participated in Round 1 and achieved lower response rates will nevertheless be expected to aim for the same 70% target in Round 2. Survey organisations should thus cost their surveys with this response rate in mind and consider what steps may be required to achieve it.

5.6 *Response rate enhancement*

Various specific steps designed to enhance response rates should also be allowed for. They include **at least four personal visits²** by interviewers to each sampling unit before it is abandoned as non-productive, including at least one visit in the evening and at least one at the weekend. 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 5.12 and 5.14). 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 'soft' refusals and 'indecisive' non-contacts, and many others. The CCT has also provided guidance on possible response enhancement strategies (see 'Enhancing Response Rates Round 2' accessible here:

http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=91&Itemid=80) 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 reports.

5.7 *Response rate calculation and documentation*

Two response rates will be calculated: the 'ESS' response rate, and the 'field' response rate. The target for the 'ESS' response rate is 70%. Both are calculated as shown below, but the definition of what counts as 'ineligible' varies between the two.

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

For the 'ESS' response rate **ineligibles** comprise:

For samples of *individuals*

- ◆ Respondent deceased
- ◆ Unoccupied/demolished premises
- ◆ Respondent emigrated/left the country long term
- ◆ Respondent resides in an institution

For samples of *households or addresses*

- ◆ Unoccupied/demolished premises
- ◆ Premises not yet built/under construction
- ◆ Non-residential address (e.g. solely business, school, office, factory, institution, etc.)
- ◆ Address occupied, but no resident household (e.g. weekend homes)
- ◆ Address occupied by resident household, but no eligible respondent (no one aged 15 +)

² See 5.12 for exceptions

For the 'Field' response rate the following **extra categories will be excluded** from the denominator:

- ◆ Address untraceable/unreachable
- ◆ Respondent away throughout the fieldwork period
- ◆ Respondent ill throughout the fieldwork period
- ◆ Respondent cannot be interviewed in national survey language(s)

Reporting of both 'ESS' and 'field' response outcomes 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 why³
- 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)
 - G) % too ill or incapacitated
 - H) % household (or proxy) refusal, and why (pre-specified categories)
 - I) % achieved interview (partial & complete)
- J) Total percent response rate (I/C)

5.8 *Field outcomes*

In addition to the recording of case outcomes, field outcomes for **each visit at each address** or other primary unit (including for cases which are ultimately unproductive) will be documented and ultimately keyed from a standardised set of similar summary codes for each call. Standard contact forms designed by the CCT should be adapted as appropriate and used in all countries (see http://www.europeansocialsurvey.org/index.php?option=com_content&task=view&id=121&Itemid=159). It would be prudent to allow when budgeting for the level of detail included in the round 1 contact forms. In practice, however, the CCT may reduce the detail of the contact forms in future.

Budgets should allow for the translation of the contact forms and keying of the contact data collected. 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. This will include:

- ◆ type of neighbourhood (urbanicity)
- ◆ type of dwelling
- ◆ observable security measures
- ◆ physical state of dwellings in the area
- ◆ physical state of the sampled dwelling compared to those around it
- ◆ presence of litter and vandalism

³ as defined above for 'ESS' and 'field' response rates

5.9 Questionnaire design - process

There will be two questionnaires: a) a face-to-face interview questionnaire of around 60 minutes average duration; and b) a short supplementary questionnaire (self-completion or face-to-face). See 'Round 2 Final Questionnaire' accessible here: http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=32&Itemid=80).

a) The interview questionnaire

Around one half of the interview questionnaire will comprise 'core' items (both socio-demographic and substantive in nature) and the other half will comprise 'rotating' items (which vary from round to round) - in three separate modules, each to be inspired and drafted by competitively-selected, multinational questionnaire design teams. The interviews will be conducted in respondents' homes⁴. 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.

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 in this round, each group getting a different set of 12 questions.

The supplementary questionnaire may be 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, it may either be filled in while the interviewer waits, left behind for subsequent collection by the interviewer or returned by post. In any case, the interviewer should not assist the respondent to fill in the questionnaire in any way.

Regardless of how the supplementary questionnaire is administered, a target response rate of 90% of those who completed the main interview must be aimed at. Procedures such as Dillman's Total Design Method should be deployed if necessary in order to achieve this target.

⁴ 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.

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 should be discussed in advance with the CCT to ensure that the extra time of interview does not compromise overall response rates.

5.10 *Questionnaire design - content*

The core questionnaire items cover both socio-demographic and substantive themes. The content of the core will remain largely constant at each round. It includes both independent variables 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 and cover the following subjects:

- ◆ public trust in government, politicians and other major institutions
- ◆ political interest and participation
- ◆ socio-political orientations
- ◆ issues of governance and efficacy at the national and international level

- ◆ underlying moral, political and social values
- ◆ social inclusion and exclusion
- ◆ national, ethnic and religious allegiances
- ◆ well-being, health and security

- ◆ demographic composition - age, sex, marital status, etc
- ◆ education and occupational background
- ◆ financial circumstances
- ◆ household circumstances

In contrast, the content of the rotating parts of the questionnaire will be determined 'bottom-up' via a Europe-wide call for proposals from multinational teams of social scientists. The successful proposals will be those that (in terms of relevance and timeliness) are likely to make the greatest contribution to social science and policy in a European context. The quality of the proposals (and the teams) will be evaluated by the ESS Scientific Advisory Board in collaboration with the CCT. Up to four Question module Design Teams will then be selected for round 2, each charged with the lead role in designing one of the question modules. Round 2 QDTs will be appointed in July 2003.

5.11 *Questionnaire translation, assessment and pre-testing*

Detailed descriptions of procedures and requirements referred to here (including all terms in *italics*) are available on the ESS web site (see R2 Translation supplement accessible here:

http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=92&Itemid=80). For countries which participated in round 1, 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, etc. will remain to be translated.

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, for example) will prepare their own draft version before consulting together 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 –

- ◆ National Co-ordinators 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.
- ◆ Countries will be asked to document their translation/assessment procedures and provide files of this and their questionnaires to the CCT. It would be prudent to allow when budgeting for the same documentation procedures as those implemented in round 1. In practice, however, the requirements may be reduced for round 2.

Suitable personnel for the translation procedure:

- ◆ Translators should be skilled practitioners who have received training on translating questionnaires.
- ◆ Reviewers need to have at least as good translation skills as the translators but 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 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 a) understand the research subject, b) know about the survey design, and c) be proficient in the languages involved. In the ESS context, the adjudicator may often be the National Co-ordinator or someone of senior standing who works closely with the National Co-ordinator. In some cases, the role of reviewer and adjudicator may be undertaken by the same person.

Pre-testing:

The translated questionnaires will be pre-tested in each participating country in accordance with guidelines specified by the CCT on a quota-controlled, demographically-balanced sample of around 50 people. National Co-ordinators may also find it helpful to carry out focus groups or cognitive interviews in order to aid the translation process.

5.12 *Fieldwork*

The main fieldwork period will last for at least one month within a four-month period between 1 September and end December 2004 (see timetable in 5.14). Only in special circumstances within a particular country would deviations from this timetable be allowed (in agreement with the CCT).

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. (Sampled individuals without a listed phone number should be contacted face-to-face).

Interviews may not, under any circumstances, be conducted over the telephone.

Quality control back-checks (in person, by telephone or by post) must be carried out and documented in a pre-specified form on at least 5% of respondents, 10% of refusals and 10% of non-contacts.

Interviewers' assignment sizes (workload) should not exceed 24 issued sampling units (i.e. 24 named individuals, households or addresses) and no interviewer should carry out more than two assignments.

All interviewers will be personally briefed by the National Co-ordinator or members of the research team from the survey organisation before carrying out an assignment, drawing on detailed interviewer instructions prepared by the CCT. Briefings should cover in detail respondent selection procedures (if applicable) and registration of the calling process using the standard contact forms. Sections of the questionnaire that require special attention should be pointed out and explained carefully to interviewers.

Fieldwork progress must be closely monitored, including producing a fortnightly report on response (see 'Progress Reports Round 2', accessible here: http://www.europeansocialsurvey.org/index.php?option=com_docman&task=cat_view&gid=91&dir=ASC&order=name&limit=10&limitstart=10).

5.13 *Coding and editing*

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 specified classifications and standards. Further items in the questionnaire require country-specific variants, which are also post-coded subsequently to standard code frames. The relevant questions and corresponding code frames are:

- ◆ **respondent's and partner's occupation:** recorded verbatim and coded according to ISCO88.com
- ◆ **respondent's and partner's education:** coded according to modified version of ISCED-97
- ◆ **respondent's industry:** coded according to NACE Rev.1, 2-digit version
- ◆ **parents' occupations:** recorded verbatim and deposited as a separate text file
- ◆ **respondent's first (and, where appropriate, second) language:** coded according to ISO-639-2
- ◆ **country of origin:** coded according to ISO 3166-1
- ◆ **religion:** coded according to a common ESS code frame

Where country-specific variants are not post-coded to standard frames (e.g. voting behaviour), details of the country-specific item must be recorded in the National Technical Summary document. Further details of the classifications and standards used in the ESS can be found in the ESS Data web site <http://essdata.nsd.uib.no>.

The Survey Organisation will also implement a set of pre-specified range and logic checks, which may have already been implemented in those countries where computer-assisted interviewing is being employed. Only when a country's dataset has 'passed' these checks will it be signed off for central archiving and submitted to the NSD Archive. The national data-files will include a record for each selected sample case, indicating response outcome plus interviewer-recorded items and a geographical identifier. All information from the contact forms for both respondents and unsuccessful contacts (i.e. the total selected sample) will be submitted to the NSD Archive as a separate datafile alongside the interview data. They will then be followed soon by a detailed country-specific technical report containing a pre-specified collection of facts and figures relevant to future analysts of the data. Both the National Co-ordinator and the Survey Organisation should then be prepared to clarify or rectify problems subsequently identified by the Archive as it cleans and merges the country

data-files. Based on the coding and editing process in round 1, the CCT will provide further guidance to National Co-ordinators for round 2.

5.14 *Timetable*

Function	2003									2004									2005								
	Mar-May			Jun-Aug			Sept-Nov			Dec-Feb			Mar-May			Jun-Aug			Sept-Nov			Dec-Feb			Mar-May		
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26
Question module Design Team appointments	█	█	█	█																							
Pre-pilot questionnaire development				█	█	█	█	█	█																		
Sample design and selection							█	█	█	█	█	█	█	█													
National Coordinators and Field Agencies appointments							█	█	█	█																	
Field quantitative pilots										█	█																
Translation														█	█	█											
Collection of event data																	█	█	█	█	█						
Main fieldwork																			█	█	█	█					
Data coding/cleaning																				█	█	█	█				
Data deposit to Archive																					█	█	█				
Data checking/weighting																						█	█	█	█		
Data proving																							█	█	█	█	
Data release																									█	█	█
Technical reporting																									█	█	█

(Timetable continued)

The ESS Archive (NSD) will 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 end January 2005, or for which the technical documentation is late or incomplete. Further releases containing late deposits may be considered.

5.15 *Ethical guidelines*

The study subscribes to the Declaration on Ethics of the International Statistical Institute (ISI, <http://www.cbs.nl/isi/ethics.htm>), to which all national teams will be asked to adhere (in addition to any current code obligations they may have).

5.16 *Copyrights*

No national data (or interpretations of such data) must be released or published until the merged dataset is officially released by the ESS data archive at NSD Norway. Thereafter, the data will be available without restriction as a resource for the social science communities in all participating countries and beyond to quarry at will.

5.17 *Costs*

The Survey Organisation should break down the estimated costs of the survey into each of the following categories:

- ◆ research time/project management
- ◆ translation
- ◆ pre-test
- ◆ liaison with NC (if applicable)
- ◆ liaison with CCT where appropriate
- ◆ preparation of questionnaire and other field documents (layout, printing and/or programming)
- ◆ postage and telephone costs
- ◆ fieldwork (including travel, briefings, incentives - if any - and quality control)
- ◆ coding
- ◆ editing and cleaning data
- ◆ data deposit
- ◆ technical report
- ◆ other (specify)

March 2003

Appendix 1⁵

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):

$DEFF = \text{Actual sampling variance} / \text{Sampling variance with simple random samples of same size};$

$$DEFF = m/neff, \text{ so } neff = m/DEFF$$

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 $DEFF = DEFF_p \times DEFF_c$. We then also need to predict the survey response rate (and the proportion of ineligible 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

$$DEFF_p = \frac{m(\sum_i m_i w_i^2)}{(\sum_i m_i w_i)^2}$$

where there are m_i respondents in the i^{th} selection probability class, each receiving a weight of w_i , where
where α means 'proportional to'

$$w_i \propto \frac{N_i}{m_i}$$

⁵ The figures quoted in Appendix 1 may be subject to change after analysis of Round 1 data on design effects.

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

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:

$$DEFF_c = 1 + (b-1) \rho$$

where b is the mean number of respondents per cluster and ρ 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, ρ 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 ρ , 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 to estimate the number of respondents in each selection probability class, thus:

No. of persons aged 18+ in household i	Proportion of households in population H_i/H	No. of achieved interviews m_i	Relative weight		
			w_i	$m_i w_i$	$m_i w_i^2$
1	0.35	0.35m	1	0.35m	0.35m
2	0.45	0.45m	2	0.90m	1.80m
3	0.12	0.12m	3	0.36m	1.08m
4	0.06	0.06m	4	0.24m	0.96m
5	0.02	0.02m	5	0.10m	0.50m
				1.95m	4.69m

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 $DEFF_p$:

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

3. Thus, we predict $DEFF = 1.28 \times 1.23 = 1.57$. Consequently, to achieve $n_{eff} > 1,500$ 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:

$$n = (m / 0.80) / 0.95 = 3,098$$

So we would select a sample of at least 3,100 addresses.

Appendix 2 – IMPORTANT: Changes for Round 2

This appendix highlights the changes that have been made to the previous round's Specification for Participating Countries for Round 2. This is intended as a guide to the major changes that have been made, but it is by no means exhaustive. The Specification should be read in its entirety by national teams to ensure that Round 2 is conducted according to these updated specifications.

The major changes from the Round 1 Specification are as follows:

1. National level appointments

(Section 2.5)

We have specified that National Co-ordinators should ideally be appointed earlier than they were during Round1, in order for them to engage fully in the process of designing the rotating modules of the questionnaire. They should ideally be appointed by September 2003.

2. Specification for the National Co-ordinator

(Section 3.1)

In Round1 we stipulated a 50% time commitment for all National Co-ordinators over an 18 month period. The time we suggest to be allocated for each National Co-ordinator in Round2 will vary by country, depending on whether the country was involved in Round1 and if so, whether the National Co-ordinator has remained the same, or a new appointment has been made. The time to be allocated in Round2 should be from 25% time to 50% time over 18 months. See section 3.1 for the details.

(Section 3.2)

We have specified for Round2 that the National Co-ordinator 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).

(Section 3.3)

Information on the requirements for the submission of monthly reports on **major events** during the fieldwork period is now incorporated for Round2.

3. Specification for the Survey Organisation

(Section 4.2)

In Round2, a copy of the draft contract between the survey organisation and the funding body (in English) should be forwarded to the CCT before signing, followed by a copy of the final contact once agreed.

4. Specification for the Survey

(Section 5.3 – effective sample size)

In Round1 countries were asked to achieve a minimum of 2000 interviews, with a 'minimum *effective* sample size' of 1500 (taking into account design effects). In Round2, we have removed the requirement for a minimum number of achieved interviews. Instead we merely stipulate the effective sample size, which remains 1500. The sampling panel will assist every country to calculate the gross sample size required in order to achieve an effective sample size of 1500.

(Section 5.4 – documentation of the sampling procedures)

We have specified in greater detail the details that each country will be required to provide to the sampling panel before its sample design can be 'signed off'.

(Section 5.7 – response rate calculation)

For Round2, the CCT has specified that two separate response rates should be calculated by national teams: an '**ESS** response rate' and a '**field** response rate', which have slightly different definitions of what counts as ineligible. These have been specified in detail. The target response rate of 70% is the 'ESS' response rate and remains at this level for Round2.

(Section 5.8 – field outcomes)

At this stage, survey organisations should budget for the same level of detail included in the Round 1 contact forms. In practice, however, the CCT may reduce the detail of the contact forms in future, after analysis of Round 1.

(Section 5.9 – the supplementary questionnaire)

For the administration of the Round2 supplementary questionnaire, the sample should be split into **3 groups** in every country, rather than into either 2 or 6 groups as in Round 1. The supplementary questionnaire may still be administered either as an extension of the face-to-face interview or as a self-completion supplement. However, a combination of these two methods may not be used. If the supplementary questionnaire is to be administered as a self-completion supplement, the interviewer should not assist the respondent to fill in the questionnaire in any way.

(Section 5.11 – translation)

Further detail has been included on the translation procedures to be followed. It should be noted that whilst it would be prudent to allow when budgeting for the degree of documentation of the translation procedures required in Round 1, in practice the CCT may reduce the requirements for Round 2 after analysis of Round 1.

(Section 5.12 - fieldwork)

The guidelines from Round1's Information Note 2 regarding first contacts with respondents have been incorporated into the Specification.

(Section 5.13 – coding and editing)

Further details of the classifications and standards to be used for coding variables such as occupation and education have been included.