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Round 4 ESS Translation Strategies and Procedures

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1. The ESS Specifications on Translation

"*The questionnaire will be collectively designed in 'British English'. At the end of the design stage, it will be signed off by the CCT. Each country will then translate its own version of the questionnaire. In countries in which any minority language is used as a first language by 5 per cent or more of the population, the questionnaire must be translated into that language too. Consultations about appropriate translation and adaptations of question wording will take place between countries who share the same language, but in the end each nation will be responsible for ensuring the functional equivalence of its own translation(s). The CCT, in conjunction with an expert panel, will provide detailed guidance on all translation procedures and assessment methods, none of which need necessarily involve professional translators. The translated questionnaires will then 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. The costs of translation, assessment and pre-testing should be included in the Survey Organisation's budget, and the process will be overseen by the National Co-ordinator."*

The ESS design is sequential, that is, a source questionnaire is developed and finalised before translation begins and is based on an Ask-the-Same-Question (ASQ) model. This model allows for the most extensive forms of analysis, but makes it both essential that the source questionnaire 'gets the questions right' and that the translations maintain the intended measurement properties (Harkness, van de Vijver and Johnson, 2003).

An ESS expert panel drawn from relevant survey and translation fields (see Appendix 3) was set up to confer on the best and most viable approach first for translation in the multinational ESS context and second for assessment of the quality of the translations. Taking the quality expected for the ESS project into account, members of the panel identified a set of procedures based on strategies and methods which have proved to be effective in other contexts and which, in the ESS context, can accommodate a number of special requirements.

The special requirements for ESS translation and assessment include that:

a) countries will field in all languages spoken as first language by five percent or more of the population.
b) the core questionnaire is designed for regular replication.
c) two further modules on different topics accompany the core module each round.
d) there is an additional module which includes both substantial and methodological questions (either self-completion or a continuation of the face-to-face interview).
e) attitude, behaviour, and (reported) factual questions are involved.
f) the translation recommendations include innovative practical guidelines for each of the principal phases of translation and assessment.
g) countries that 'share' languages can (and should) consult with one another. They thus require guidelines on sharing procedures.
h) the replicative character of the study and the 'sharing' of languages make documentation of the translation process and outcomes essential.

2. Translation and Assessment Framework and Rationale

Survey translation and survey translation problems are among the most frequently discussed topics in comparative survey research. Nonetheless, it is appropriate question *development* rather than question *translation* that is the real key to comparative measurement. Questions properly developed for the comparative context give us the chance to measure what we intend to measure and to ask respondents what we intend to ask. At the same time, poorly translated questions (or response categories, instructions, showcards, or explanations) can rob us of that chance – they can mean that respondents are not, in fact, asked what they should be asked.

The ESS translation and translation assessment work package has detailed a structured approach for the project which calls on participating countries to expend effort and funds. (Costs for translation were explicitly included in ESS specifications.) Seen against the costs and effort involved in developing and implementing a study such as the ESS, translation costs are low. On the other hand, the cost of inappropriate versions or mistakes in questionnaire translations can be very high.

The ESS framework sets out to take the best of available procedures, as proven through our own extensive experience and research and as documented in the literature. The aim is to combine these into an approach which figures among the most effective and best-tested available.

2.1 Five procedures for translation and assessment: TRAPD

TRAPD is an acronym for **T**ranslation, **R**eview, **A**djudication, **P**re-testing and **D**ocumentation, the five interrelated procedures which form the framework for ESS translation and assessment (Harkness, 2003). These cover the basic procedures involved in producing a final translated version of a questionnaire:

Translation **R**eview **A**djudication (deciding on a version)	⟷	**P**retesting **D**ocumentation

A committee-based approach using TRAPD has been chosen for the ESS as a deliberate strategy to:

a) counteract the subjective nature of translation and text-based translation assessment procedures.
b) provide participating countries with a combined approach which is qualitatively better than others (such as the much-cited ‘back translation’ approach) but is not more expensive or more complicated.
c) include documentation steps which make adjudication decisions easier, provide information needed for secondary analysis and can be used to inform versions for later fieldings.
d) allow considered but parsimonious production of translations which share a language with another country.

All or some of these procedures may need to be repeated at different stages. For example, pre-testing and debriefing sessions with fielding staff and respondents will lead to revisions; these then call for further testing of the revised translations.

<u>The committee approach and the roles involved</u>

The systematic integration of the TRAPD procedures and a team approach reflect cutting edge developments in survey questionnaire translation and assessment practice (cf. the dedicated session on translation at the AAPOR 2002 conference). At the same time, comparative researchers will be familiar with many of the principles and procedures employed. There is, for example, nothing new or surprising neither about the need to assess translations, nor (at least in some survey fields) about the need to document translations. Several decades of literature on survey translation, moreover, attest the need to pre-test questionnaires extensively.[2]

Team approaches to survey translation and assessment have been found to provide the richest output in terms of a) options to choose from for translation and b) a balanced critique of versions (Guillemin et al. 1993; Acquadro et al. 1996; McKay et al. 1996; Harkness and Schoua-Glusberg 1998). The team should bring together the mix of skills and disciplinary expertise needed to decide on optimal versions. Collectively, members of this team must supply knowledge of the study, of questionnaire design, of fielding processes (Van de Vijver, Hambleton 1996; Johnson et al. 1997). The team is also required to have the cultural and linguistic knowledge needed to translate appropriately in the required varieties of the target language (e.g., Acquadro et al. 1996; McKay et al. 1996).

In what Schoua-Glusberg (1992) calls the *committee approach* a good part of the work, apart from first translations, is done actually working in a group or team. The translators translate the work assigned and meet with a reviewer-cum-adjudicator (explained below) to discuss the draft versions and arrive at a final version.

The ESS procedures follow a team approach in which translators and people with survey knowledge work together to produce the translated versions. In the ESS team model, three different sets of people (or actually roles) are involved in producing the final version of a translated questionnaire: *translators, reviewer, and adjudicator*.

- Translators should be skilled practitioners who have received training on translating questionnaires. The ESS calls for two translators per questionnaire. Translators are to translate *out* of English *into* their strongest language. (In most cases this is a person's 'first' language.)
- Reviewer*s* 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.

Team Application of TRAPD

There are two main ways to organise the translation work in a team translation model. Either the translators each produce a version (parallel translation) or the source text is divided up among the translators (split translation). We describe each of these below (for more discussion see Harkness and Schoua-Glusberg, (1998). Schoua-Glusberg (1992) seems to be the first to have suggested split translations).

Parallel translations: Several translators make independent parallel translations of the same questionnaire. At a reconciliation meeting, translators and a translation reviewer go through the entire questionnaire

[2] The translation work package does not deal with pre-test strategies for each participating country, but these are well described in the literature; see, for example, Harkness, Pennell and Schoua-Glusberg (2004); Hambleton et al (eds.) (2005); Harkness and Schoua-Glusberg(1998) and further references there.

discussing versions and agreeing on a final review version. The adjudicator may attend the review process or be a reviewer. Otherwise the version produced through discussion moves on to adjudication.

Parallel translation is the recommended procedure in the ESS. However, the split approach described next is offered as an option to those countries participating in the ESS that 'share' a language or languages with other participants, since these countries will have the benefit of input from other countries' translations. Details of sharing, the requirements, rationale, and steps involved are outlined on pages 5, 6, and 7.

Split translations: Countries sharing languages may opt for split translations. Information on this can be found under section 2.3.

Care needs to be taken to ensure that consistency is maintained across the translation. This is true for any translation, whether produced in parallel fashion, using a split approach, or even when a translation is produced by just one translator. However, the modified 'split' committee approach may require particular care. For example, it is conceivable that two translators translate the same expression and come up with suitable but different translations. Because they are not problematic, they might then not be discussed during review. Consistency checks can ensure that one translator's translation of, say, "What is your occupation?" as something like "What work do you do?" can be harmonised with another translator's rendering as something more like "What job do you have?"

Review and adjudication

Committee approaches sometimes merge review and adjudication wholly or in part, depending on the expertise of the team and practical considerations such as time schedules and locations. However, some countries participating in the ESS are producing questionnaires in several languages. Thus the person officially responsible for 'signing off' a certain translated version is in some cases not personally proficient in that particular language. In such cases, he/she may wish to consult in depth with a senior reviewer before deciding on which version to adopt. In this situation, two committee rounds could be useful, one to review, and one to decide whether the reviewed version will be accepted (adjudication). If two rounds *are* used, the adjudication round needs to include documentation from the review round in order to benefit fully from insights already gained. (Please refer to diagrams in appendices 1A and 1B)

Why a team and not just a translator?

Using one translator may appear to be cheaper and faster than using several translators and would also seem to eliminate the need to co-ordinate teamwork. However, relying on one person to provide a questionnaire translation is problematic, in particular if no team-based assessment is undertaken. A translator working alone and simply 'handing over' the finished assignment has no opportunity to discuss and develop alternatives. Regional variance, idiosyncratic interpretations, and inevitable translator blind spots are better handled if several translators are involved and an exchange of versions and views is part of the review process. In addition, survey translations often call for words people say rather than words people write. Group discussion (including input from survey fielding people) is likely to highlight such problems. Team-based approaches include the translators in the *review* process. Thus the cost of using two translators to *translate* is offset by their participation in assessment. Since they are familiar with translation problems in the texts, the review is more effective.

2.2 Countries 'Sharing' Languages as of March 2006

A number of ESS countries produce questionnaires in the same language, i.e., 'share' languages. Other languages, such as Turkish, may be added to the list below in Round Three

English	Great Britain, Ireland, Luxembourg
Dutch/Flemish	Belgium and the Netherlands
French	Belgium, France, Luxembourg, Switzerland
German	Austria, Germany, Luxembourg, Switzerland
Greek	Greece and Cyprus
Hungarian	Hungary and Slovakia
Italian	Italy and Switzerland
Portuguese	Portugal and Luxembourg
Russian	Ukraine, Estonia, Israel, Russia
Swedish	Sweden and Finland

The ESS does <u>not</u> follow a deliberate policy of harmonisation. (That would be a deliberate policy to insist countries or ethnic groups sharing a language use the same wordings *throughout*.) However, it makes very good sense to have countries sharing languages consult with one another. Britain and Ireland may also wish to consult on country-specific differences.

Each country sharing a language with another is asked to produce and discuss its own draft version and then consult with other countries fielding in this language. Consultation may provide a fresh perspective on questions a given country may have 'struggled' with. In addition, it provides the opportunity for country A to benefit from a neater or better translation made by country B but also suitable for country A. Thirdly, and importantly, *unnecessary* differences in wording can be avoided. Comparing versions may sometimes lead both country A and country B to modify what they have and arrive at a better (perhaps) common version.

It is also possible that countries decide they need *different* versions. In all cases, the emphasis must be on 'better' versions, not on 'word level sameness' for the sake of 'word level sameness'. In each case countries will be asked to document changes made as a result of consultation as well as any differences across sharing countries which it is necessary to keep. The translation work package will provide a template to help them do this.

2.3. Sharing languages and using a split translation model in the ESS

Splitting a questionnaire between translators can save time and effort, particularly if a questionnaire is long (Schoua-Glusberg 1992). At least two translators plus a reviewer and adjudicator (or reviewer-cum-adjudicator) are needed. The translation is divided up between translators in the alternating fashion used to deal cards in card games. The questionnaire should *not*, for example, be divided into a first half and a second half, nor divided by thematic module. By giving each translator material from the same sections, possible translator bias is avoided and translator input is maximised evenly across the material. Each translator translates his/her own section.

At a reconciliation meeting, translators and the translation reviewer go through the questionnaire question by question discussing versions and agreeing on a common version. The adjudicator may attend the review process or already be involved as a reviewer. Alternatively, the reviewed version moves on to adjudication.

Care is needed to ensure that consistency is maintained across the translation. This is true for any translation. However, 'split' questionnaires may require particular care. Steps should be taken to ensure that material or terms which re-occur across the questionnaires are translated consistently. At the same time, it is important to remember that although English uses one and the same expression in different contexts, other languages may need to choose different terms for different contexts. (One example is the term *government.*)

Specific steps for sharing and comparing questionnaire translations

a) Each country uses 2 translators. Each translator translates either the full questionnaires or, if using the “split approach”, one half of the questionnaires, following procedures on how to divide the translation between translators outlined above;
b) Each country does a *preliminary review* and revision of these translations (= first reviewed version);
c) Countries then deposit their translations with the translation work package. This should be done before receiving translations from other countries;
d) Countries then exchange translations with the other country or countries sharing a given language;
e) Countries review their own translation in the light of the translation(s) from their partners and decide points that require discussion. These points could be entered in the template which is exchanged and perhaps merged before the discussion begins. This should reduce the time and effort involved in the next step;
f) Countries consult together on the final version for each country. They “harmonise” and remove differences across countries as they decide is appropriate and take a common note (one document) of any differences retained. The work package provides a template for recording this.
g) Demographic questions which are country-specific anyway do not need commentary.
h) The group that comes together to discuss harmonisation will usually consist of one representative from each country. This person should be proficient on the language to be harmonised and understand questionnaires. As just indicated, time will be saved if the points are already listed before the discussion, perhaps in the template provided by the work package. Depending on the number of points to be discussed, an in-person meeting or a telephone conference call could be arranged.
i) Countries deposit their final versions with the work package along with one set of documentation on the co-operation process (differences kept, and, if it is not too much work, changes made).

An important point in this procedure is, obviously, that countries have finished their own versions and their first review in enough time to deposit their version with the work package, then exchange versions with other countries, review and decide on a version, then finally consult with the other countries to optimise the final version across countries. However, the crucial factor may be more a matter of good and timely communication between countries sharing languages. The translation work package (contact Janet Harkness harkness@zuma-mannheim.de) will be glad to assist wherever possible.

3. Selecting, Training and Briefing Translators

Your individual needs determine whether you require translators, translators and reviewers, or also perhaps an adjudicator.

If a national co-ordinator is not to be the adjudicator for a given translation, a person of senior standing with the appropriate qualities is required. (For obvious reasons we do not discuss how to find such people.)

In looking for translators, you may also find someone suitable to act as reviewer. The reviewer’s language skills and understanding of translation issues should be at least as good as those of the translators.

Finding Translators

The first step is to find likely people, the next is to select from among them. The appropriate places to look are official channels (translation associations and the like); places of instruction, e.g., translating colleges; your own network channels; the ESS translation work package network channel; possibly also for people within your institution and through other institutions likely to use translators. The quality expected of ESS translations may mean extra effort is needed on your part to find and brief translators but the outcome should reward your effort.

If working with a translation bureau it is important to ensure you to have direct contact with the translators, that you can work with the same translators if possible over rounds (if that is what you wish) and that other requirements for your translation effort can be met. Using translation bureaux will in some cases not be a viable option, since, for example, translators may work long distance and will be unable to attend review meetings. They may also not be allowed by their employers to interact directly with ESS members as ‘clients’ or, indeed, with each other. It is not common for translation bureaux to accommodate the selection procedures outlined below and they may be more expensive than individual translators are. Many fielding agencies may not be able to provide you with translators to fit the ESS model either.

It is useful to have a number of applicants or possible translators. Even if some ESS members feel they have suitable people already, we suggest these people be ‘put to the test’ along with new recruits. In this way, for example, it is easier to decide who might be better suited as reviewer and who as translator or which of two translators is stronger for the task at hand.

Where several different translated questionnaires are to be produced, translation begins in each case from the English source questionnaire, not from a translated questionnaire (e.g. Catalan from English, not Catalan from Spanish). Thus in every case translators are needed who habitually work *from* English *into* another language (and into their ‘strongest’ language).

Selecting and Training Translators

The people most likely to be good questionnaire translators are people who are already good translators and who learn/are trained to become questionnaire translators. The procedures suggested for training include procedures which can be used to assess the suitability of applicants. Training materials can readily be developed from available questionnaire translations; old questionnaires can be used for training and practice.

Someone with appropriate language skills and survey know-how should be in charge of selection and training procedures. The procedures outlined below can be used to select and train. Training and briefing can be on a one-to-one basis or in a group.

Inform translators at the application stage about the way the work will be organised and make the team discussion component clear. It is not uncommon that translators might be a little wary at first about the idea of discussing/critiquing versions. Take the time to explain that teamwork benefits the end product and that people involved in such teams actually enjoy sharing responsibility and can learn from one another.

Applicants and translators being trained can be asked to identify problems in question formulations in English or the target language, to provide translations, to comment on translations already available (old, prepared questionnaires), to correct translations, to compare their versions with other versions, to make questions more suitable for a specified target population, to explain what questions are actually asking, and so forth.

These tasks will raise some issues that relate to the source language and source text and others that relate more to translation. In this way you should gain a sense of their English proficiency and their skill in translation. You will also gain some impression of their ability to work with the specific materials as well as their 'ear' for suitable language for different modes and target audiences. By asking them to translate items and then engaging with them in comparison and discussion of their version against one already available, you can gain a general sense of their ability, an indication of how well they can operate impromptu, and a good first impression of how they react when their translations are discussed – as will happen in the review process. Their flexibility in impromptu generation of versions (alongside the quality of these versions) is a good indicator of likely suitability. Ideally, team members should both show initiative and be able recognise and follow good suggestions made by others. Good translators, aware of the constraints, tend to recognise good translation solutions when they see them. The ESS training will include familiarisation with the annotated questionnaire and with the documentation required for the translation–review process.

Given the scarcity of training opportunities for survey translation, not many translators will have been trained to translate questionnaires adequately. Thus, in many cases, proven translating skills will be more important than survey translation experience. Translators who have had experience in translating questionnaires but were never actually trained to handle this kind of text may, indeed, prove difficult to (re-)train. At all events translators with experience in translating survey questions should also be interviewed and assessed carefully.

Briefing Translators: Task Specifications and Support Materials

Equipping translators properly for the task helps them perform better. Translators need to understand the function of target and source text to see the best possible translation options. What they produce as a translation depends not only on their ability and training but on the quality of the material they are asked to translate and on the task specifications they receive.

If not given job specifications, translators mentally decide their own, since they cannot translate in a vacuum. Task specifications must thus indicate the intended audience, level of literacy and tone of text (e.g., official or more casual tone), the function of the text (e.g., a questionnaire for fielding or a gloss to describe the contents of a questionnaire), and the degree of freedom permitted in translation. Translators need to be informed of how close or free the translation is required to be. Since the ESS follows an Ask the Same Question model, translators are not expected to adapt content. If at any point functionally equivalent but adapted components do seem to be necessary, these must be discussed with the ESS translation work package and, ultimately, the London Co-ordinator's office. They should be encouraged to produce questions that do not sound like translations and to use vocabulary that can be understood by less well-educated respondents as well as the better educated.

Translators informed about the measurement components of questions and trained to be sensitive to design requirements as well as target audience requirements are in an optimal position to produce good versions. They are also more likely to be able to point out when a requirement cannot be met and to recognise problems (Hulin 1987; Hambleton 1993; Borg 1998). It is thus strongly recommended that translators are given support materials, example texts, and the information relevant for their part in producing instruments. The format of the ESS annotated questionnaire and the documentation required are likely to be new to many translators and this should be covered in the briefing session.

You should identify and explain each of the various components in the questionnaires (e.g., question introductions, bridging texts, questions proper, instructions, filters, answer categories and open write-ins, and interviewer (standardised) explanations, where applicable). Clarify with them which segments of the text are for interviewers and which for respondents and indicate the mode intended for different materials. Countries using computer-assisted applications should explain fills and provide, as appropriate, the hidden CAPI instructions to be translated.

Any translated components (e.g., instructions, answer scales, replicated questions) used in earlier ESS rounds that are to be repeated in an upcoming round should be clearly marked in what is given to the translators. Giving translators the entire document lets them see the context for which the material to be translated is intended. This is a better idea than deleting bits you do not require to have translated. If appropriate, translators can also harmonise new translations with existing translations, that is, keep new translations consistent with existing translations covering related material.

Training and Testing Materials

The procedures suggested for training are also procedures which can be used to assess the suitability of applicants. Training and informational materials can readily be developed from available questionnaire translations. Old questionnaires can be used for training and briefing and assessment.

English materials:
Put together a collection of:

- Ambiguous English questions
- English questions with challenges for your language
- English questions with cultural rather than language problems for your context
  (These can come from any field. The work package can suggest some that might work. We would be delighted to collect any you have to make them available for others.)
- A symmetrical English scale that is not easy to match in your language
- A skewed or difficult English scale

Materials in your language:
Put together a collection of:

- Some well-translated questions and their English counterparts
- Some badly translated questions and their English counterparts.
- Ambiguous questions
- Questions that are culturally inappropriate or end up biased in translation

If you are lucky enough NOT to know of any bad or ambiguous translations, you can alter translations to make them bad. Remember not to make them so bad that spotting the problems becomes too easy.

Check your Choice

Even once translators have been appointed, decisions sometimes need to be reversed. The first 10 percent of the first assignment should be delivered for monitoring *as soon as it is completed*. It is unlikely that *serious deficiencies* can be remedied by pointing out or discussing problems. If the translation quality is not already reasonable, it is probably better to start again with a new translator. Reviewing output early also allows you to tell translators about aspects you wish them to treat differently.

Remember that an individual translation is only the first step in a team approach. You can expect to have many of the draft translations improved in the review discussion. This is why the team also needs to consist of good team players. Someone who does not function well in the team context weakens the outcome of the review session(s).

4. Documentation of Translation Process and Outcome

Translation and review decisions need to be documented in the ESS for four main reasons. *First*, those reviewing and adjudicating need notes on options discarded or problems noted in order to decide better on the 'final' choices. *Second*, the ESS is an ongoing biennial survey. Documentation of problems helps inform later versions of the study. In addition, if changes are made over time, records need to be available of the chain of changes (or their absence) across translations. *Third*, secondary analysts can benefit from records of unavoidable differences or adaptations and from notes on mistakes found after a questionnaire was fielded. *Fourth*, countries sharing languages need to indicate, for example, where they do differ in formulation. New members joining in the future that share languages with countries already involved will also benefit from this documentation.

In social science survey projects, documentation of translation decisions and difficulties is, to date, rare. Experience gained from collecting information on translation procedures used in the International Social Survey Programme (ISSP; Harkness, Langfeldt, and Scholz 2001) indicates that records should be kept while the work is being done. At a later stage, problems and decisions have been forgotten. (For more information on documentation see Appendix 2.)

5. Using the Annotations

Questionnaires lead a double life: they often look quite simple but in fact are rather complex. They consist of (hopefully) simple questions and response options and are, at the same time, crafted tools of measurement.

This is one reason why, in some well-known studies, standard questions such as "How many people, including children, live in this household?" are accompanied by definitions of what counts as a 'household' and what counts as 'live in' or being a member of the household, and what does not. This information helps interviewers inform respondents not about what the household composition question means *on a literal level* but about what (and who) respondents should consider and count in providing an answer.

Annotations on source questionnaires for translators serve somewhat similar purposes. They are not intended as crutches for translators to explain what English words of phrases mean *in ordinary terms*. Thus we would not expect to have to gloss that *be white* (from an immigration item from Round 1) refers to racial characteristics and not to individual colour of skin.

Instead, the goal is to provide information which allows ESS translators and their supervisors to focus on what is meant in survey measurement terms in order to do a better job. In some cultures, to stay with the example for interviewers above, 'household' might be automatically associated with 'home' and hence 'family'. If the annotation notes point out that the focus is on a dwelling unit (however variously defined via 'shared cooking pot' or 'shared finances', etc.) the intended and necessary focus becomes clear to the translator. At the same time, a number of ESS questions use idiomatic expressions. We have added notes to help clarify the intended sense where we felt this was necessary.

From Round 3 on, participating countries are explicitly invited to point out in advance where they would like clarification notes. They are also encouraged to contact the work package with any questions or problems they may have. If unable to answer you directly, we can, for example, pass on your queries to those responsible for designing the questions.

6. Deliverables for Translation

Preferably using a template provided by the work package, NCs are required to:

- inform the work package about all languages that the survey will be fielded in
- provide information on the translation team;
- provide information on the translation time schedule;
- send files of draft and final translations including showcard translations;
- provide documentation of national translation discussions, including any remaining difficulties;
- provide documentation of any discussions with countries sharing a language;
- name the files in the manner requested by the translation work package. File names will be distributed again before translation work begins.
    - Draft versions:
        i. language_country_main questionnaire_draft and draft number_translator's initials_round number
        ii. language_country_supplementary questionnaire_draft and draft number_translator's initials_round number
        iii. language_country_showcards_draft and draft number_translator's initials_round number
    - Final versions
        i. language_country_main questionnaire_final _round number
        ii. language_country_supplementary questionnaire_final _round number
        iii. language_country_showcards_final _round number
    - Documentation
        i. National doc_language_country_round number[3]
        ii. Sharing doc_language_country_round number

[3] We leave it open to countries whether they have one documentation file or a separate one for each questionnaire – main and supplementary. Similarly, countries sharing can deliver one file with all the comments on their discussion or deliver a file on the main questionnaire and one on the supplementary, whichever is easiest.

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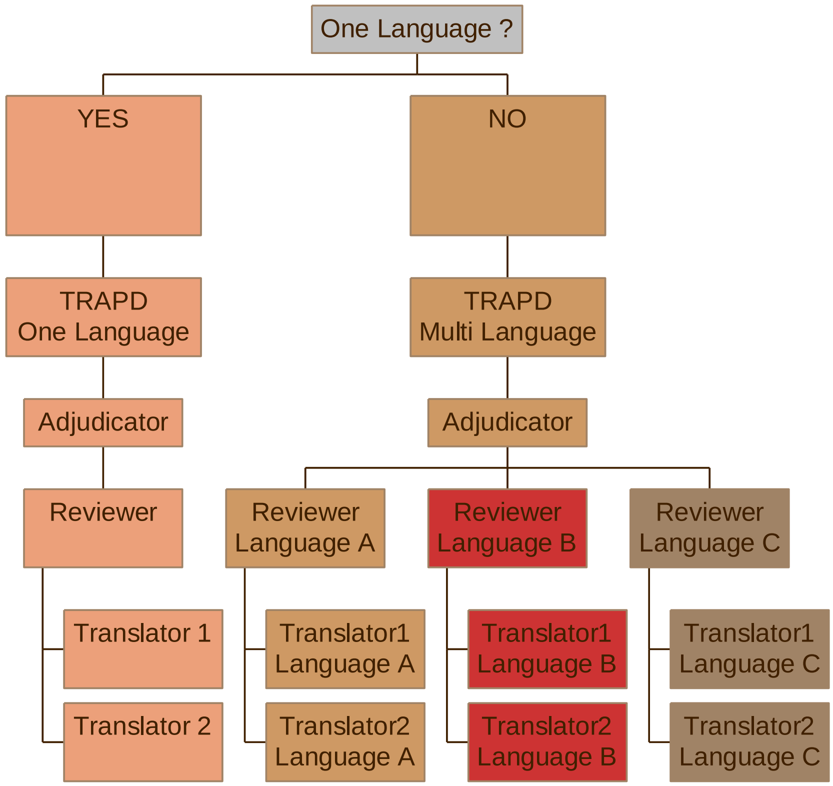
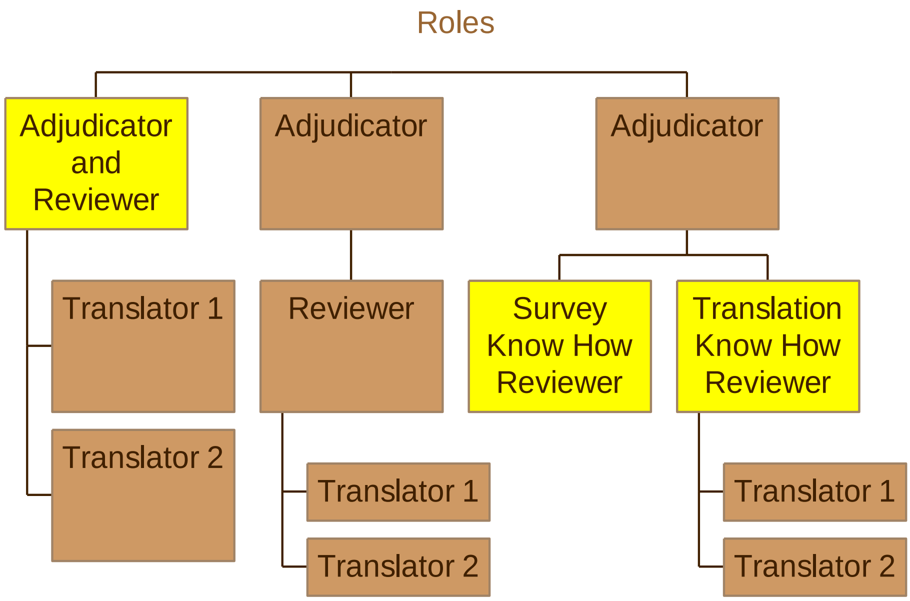
Warnecke R, Johnson TP, Chavez N, Sudman S, O`Rourke D, Lacey L, Horm J, 1997. Improving Question Wording in Surveys of Culturally Diverse Populations. *Annals of Epidemiology*, **7**, 334-342.

Appendix 1 A

Organisation of Translation for One Language or Several Languages



Appendix 1 B


Roles
Adjudicator and Reviewer
Translator 1
Translator 2
Adjudicator
Reviewer
Translator 1
Translator 2
Adjudicator
Survey Know How Reviewer
Translation Know How Reviewer
Translator 1
Translator 2

Appendix 2

Full description of documentation in relation to translated questionnaires currently available, written by three members of the ESS Translation Expert Panel.

From: Harkness, J.; Pennell, B.-E., Schoua-Glusberg, A. (in press): *Survey Questionnaire Translation and Assessment*. In: Presser, Stanley, Rothgeb, Jennifer, Couper, Michael, Lessler, Judith, Martin, Elizabeth, and Singer, Eleanor (Eds.): Questionnaire Development Evaluation and Testing Methods, Wiley Series in Survey Methodology. New Jersey: John Wiley & Sons Inc.

Survey documentation as related to translation

In a multiple language context, documentation is as critical to the translation process as it is to the final product. Several different stages and types of documentation are required, including documents for translator instructions, documents to ensure consistency across translations/translators, and documents that record the translation decision-making process. If the source questionnaire is still under development while translations are proceeding, documents are needed to track changes. Further documents are needed if the survey is computerized in order to integrate translations into the computer code. The final translation also needs to be documented for end-users. We discuss each of these forms of documentation below.

Background documentation for translators: Questionnaires look simple but are carefully crafted tools of measurement. This is one reason why fairly short questions such as *How many people, including children, live in this household?* are often accompanied by definitions of what counts as a 'household' and what counts as 'live in' or being a member of the household. In similar fashion, translators making a French translation would benefit from knowing whether the household definition centres on shared cooking and/or financial arrangements or has more to do with shared rooms and accommodation. The choice between different French terms (such as 'ménage' and 'foyer') could lead to a different household composition count.

Annotations for translators in source questionnaires serve similar purposes to notes for interviewers. They are not intended to explain what words of phrases mean in ordinary terms but to provide information on what is meant in survey measurement terms. The ESS 2002 questionnaires carry modest annotations of this kind. Much of this information for translators could be produced as part of the design procedure and added to source questionnaires the way notes are provided for interviewers in a monolingual questionnaire in so-called question-by-question or QxQ specifications.

Translation process documents: In social science survey projects, documentation of translation decisions and difficulties is, to date, rare. One exception is the study documentation for the International Social Survey Programme (ISSP), which includes a short description of translation procedures and problems (e.g., Harkness, Langfeldt, Scholz and Klein, 2001). ISSP documentation is produced after the study has been completed. Experience with ISSP translation documentation indicates that records should be kept while the work is being done so that report writers do not need to rely on recollected accounts. With this in mind, translation protocol templates were developed for the ESS to facilitate *concurrent* translation documentation. Apart from the need to document for end-users, reviewers and adjudicators may need to consult such notes in order to decide on the 'final' or 'best' choices. This documentation process can initially be time-consuming, but will make the review and adjudication process more efficient.

Monolingual and multilingual diagnostic instruments of long-standing are frequently documented. For example, WHO's World Mental Health Initiative uses an expanded version of WHO's Composite International Diagnostic Interview (CIDI 2.1). The translated versions of the questionnaire are archived along with documentation of all the country-specific changes that occurred in the source document as a result of the translation process or other feedback. Harmonization decisions are also recorded across questionnaires for different versions of the same language.

Tracking changes: It is important for consistency to track reoccurring sections across an instrument. Tracking documents generally start by first listing all reoccurring phrases and words and their location in the questionnaire. As the translation proceeds, translation alternatives and then final translations are recorded. Once the final version is approved, it is a simple task to check that all instances of an item or section have been translated (or updated) consistently. Translator software tools can help automate this process.

In survey translation, the received wisdom has been to finish the source questionnaire before undertaking any translation activities in order to minimize version control and, presumably, costs (but see 'advance translation'; Harkness, 2003). However, following this advice limits how the translation process can inform or improve the source document. Increasingly, major cross-national surveys are building in formal translation-testing mechanisms. In order to do so, a mechanism is needed to track and flag changes to the source questionnaire. Widely available document-sharing software can be used for this. In the World Mental Health initiative, instrument development occurred over a four-year period. Each of the more than 27 participating countries fielded at different points in time over this period. Using a commercial Web-based product called 'e-room,' documents were created that tracked every change to the source questionnaire by date, time, and the individual making the change.

Documentation for computerized instruments: Translation documentation takes on another level of complexity if the instrument is computerized. Various approaches can be used to incorporate the translation, but ultimately it needs to be integrated with the computer code. When the integration step is undertaken, 'hidden' phrases may need to be updated and translated. These hidden items include 'fills' such as he/she/they, interviewer instructions, error messages, and the like. These are generally translated after code integration and pose a new set of issues with regard to consistency across the questionnaire. Anticipating this material while constructing the source instrument can facilitate the process considerably.

Documenting final versions: Documentation of problems helps inform later versions of a study. In addition, if changes are made over time, records need to be available of the series of changes (or their absence) across translations. Secondary analysts can benefit from records of unavoidable differences or adaptations and from notes on mistakes found after a questionnaire was fielded. Countries sharing languages and harmonizing need to indicate, for example, where they do differ in formulation. Moreover, countries joining a project at a later date that share languages with countries already involved can also benefit from this documentation.

Appendix 3 ESS Translation Expert Panel

Janet Harkness - Convenor
GESIS-ZUMA and University of Nebraska-Lincoln, USA

Janet A. Harkness is a cross-cultural survey methodologist with particular expertise in instrument design, adaptation, and implementation. She has a multi-disciplinary academic background and training – comparative medieval studies (M.A.); linguistics, cultural anthropology (Ph.D.); survey methods and cross-national survey research (ZUMA). At ZUMA, she was Director of the International Social Survey Programme for Germany from 1991-2005. She now holds the Donald and Shirley Chair in Survey Science at the University of Nebraska-Lincoln and retains her affiliation with ZUMA as a Senior Research Scientist. She is a member of the Central Co-ordinating Team of the European Social Survey and heads the Translation Work Package and Translation Expert Panel in the ESS. She has been involved in large-scale cross-national survey research for over 15 years, also acting as a senior researcher in cross-national methods research projects on comparative background variables, answer scales, translation assessment, and on modes across ISSP countries. Professor Harkness has also served as special advisor to a number of international surveys on translation procedures and was a member of the Expert Panel who helped develop best practice guidelines on translation for the US Bureau of the Census. She has published, presented, and taught on numerous aspects of cross-cultural survey research and communication. Her first degree (Edinburgh, MA Hons.) was in Comparative Medieval Studies. She received her doctorate in linguistics from Freiburg University, Germany, where she taught applied linguistics and translation theory and practice before coming to ZUMA.

Beth-Ellen Pennell
University of Michigan, Ann Arbor

Beth-Ellen Pennell is the Director of Data Collection and Processing Services and Associate Director for Operations and Planning for the Division of Surveys and Technologies at the Survey Research Center, Institute for Social Research, University of Michigan. In these roles, Ms. Pennell oversees project development and planning, production sampling, data collection and processing, and data collection system development for the Division. Ms. Pennell is also a member of the Center´s Survey Methods Program and a frequent contributor to the Center´s training programs in survey methods. Ms. Pennell also serves as a special advisor to the World Health Organization and Harvard University on the World Mental Health 2000 Project (WMH2000).Ms. Pennell co-ordinates the developmental activities and oversees the implementation of the WMH200 project which involves the conduct of general population epidemiological studies in 25 developed and developing countries world-wide. In this role, she provides ongoing technical assistance on sample design, computer assisted application programming and testing, translation protocols, the development of study materials and training manuals, and quality assurance procedures and practices. Ms. Pennell is also the co-principal investigator for the WMH2000 study in the United States. Ms. Pennell has more than 25 years of experience in survey research co-operations and methods. She has been at the University of Michigan for the past 12 years. Ms. Pennell received her Master´s Degree in Applied Social Research at the University of Michigan in 1997.

Alisú Schoua-Glusberg
Research Support Services, Evanston, Illinois

Dr. Alisú Schoua-Glusberg is a Cultural/Linguistic Anthropologist who began her studies at the university of Buenos Aires and completed her first degree at Roosevelt University and her Ph.D. at Northwestern University, both in Chicago. She began her work in survey operations at the National Opinion Research Center at the University of Chicago in 1984, becoming Director of the Survey Operations Center at NORC and Translations' Co-ordinator for all of NORC's translated surveys. In the early 1990s she pioneered translation methodologies for surveys, including committee translations combined with assessments via focus groups, and the Modified Committee Approach (Schoua-Glusberg, 1992). She has also presented and trained extensively on survey translation. She was Research Associate at Harvard Medical School, working as Director of Survey Operations for the Project on Human Development in Chicago Neighborhoods, a large-scale longitudinal study of children and primary caregivers in the city of Chicago. She founded the consulting firm Research Support Services in 1996. This provides qualitative and quantitative research services to client organisations and specialises in work with Hispanic populations, working primarily on survey translations and qualitative data collection (cognitive interviews and focus groups to aid the questionnaire design process). She was commissioned by the US Census Bureau 2001/2002 to help draft best practices and guidelines on survey translations.

Paul Kussmaul

Paul Kussmaul, Ph.D. (Bristol), was Head of the General Translation Section and a Senior Lecturer at the Department of Applied Linguistics and Cultural Studies of the Johannes Gutenberg University in Mainz (Germany) until 2005 when he retired. He has trained translators and been publishing research on the translation process for over thirty years. For about a decade now he has collaborated on survey translation projects with ZUMA. He and Hans Hönig are major representatives of the functional approach to translation, first set out at length in their co-authored book Strategie der Übersetzung. Ein Lehr- und Arbeitsbuch (Narr (5thedition) 1999). Kussmaul applies models from different sub-disciplines of linguistics (speech act theory, semantics, descriptive stylistics) to translation. More recently he has focused on applying cognitive research methods to investigating the translation process. In Training the Translator (John Benjamins, 1995) he investigates how think-alouds during translation can be used to improve translation competence. Kreatives Übersetzen, (Stauffenburg, 2000) investigates creative translation from a cognitive point of view. He is co-editor of and multiple contributor to the first encyclopaedia of translation studies to appear in German (Handbuch Translation. Stauffenburg, 2000) and author of some 50 articles on translation and translation teaching. He has guest lectured in Argentina, Austria, China, the Czech Republic, Denmark, England, Finland, Greece, India, Indonesia, Jordan, Spain, Thailand and Turkey. Kussmaul was a founding board member (1992-1995) of the European Society for Translation Studies and is on the advisory board of the influential German series on translation *Studien zur Translation*. He has translated scholarly books and articles, poetry, and social science surveys.

Christine W. L. Wilson
Heriot Watt University

Christine W. L. Wilson is a lecturer in English and French in the School of Languages, Heriot-Watt University, Edinburgh, UK. Her special areas of research are translation, sign language interpreting and interpreting in public sectors.
She is responsible for the design and management of customised interpreting courses commissioned by private corporations and other organisations for their staff. She has provided training for the Scottish Police in "working with interpreters", worked with the Scottish Crown Office on training interpreters to work in court and on training procurators fiscal to work with interpreters. She is also researching quality issues related to communications in public service interpreted encounters (face-to-face and remote communication by video-conferencing link), investigating both cognitive and non-cognitive features of communication. A unique aspect of her work is related to interpreting and sign languages. She developed the British Sign Language/English interpreting programme at Heriot Watt which began in 1996 and initiated the Heriot-Watt summer programme of CPE interpreting courses.