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ESS Round 9 Fieldwork Management System (FMS)

Data upload portal

V2.0: August 2018

Changes from Version 1:

- Addition of an FMS checklist of key information

- The name of one variable in the upload file has been amended from "intnum" to "interviewerid"

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Introduction

This document provides a guide to monitoring fieldwork in ESS Round 9 using the Fieldwork Management System (FMS) data upload portal. The FMS aims to provide all ESS stakeholders with access to standardised, timely and accurate information with which to monitor fieldwork progress consistently across countries throughout the fieldwork period.¹

As set out in the ESS Round 9 Specification it is expected that all countries will provide weekly case-level data files using a pre-defined standard template. This will facilitate more timely and detailed monitoring that will allow for a more harmonised monitoring of fieldwork across the different ESS countries and, if necessary, adaptations of the fieldwork design and strategies.

Outcomes of all contact attempts and contacts to addresses, households and individuals in the sample will be defined and recorded on the ESS Contact Form. The weekly case-level data files will rely on information from the Contact Form. Therefore, it will be important that fieldwork organisations brief interviewers to collect contact data for each contact attempt made in line with the requirements of the ESS Contact Form in a timely manner. Ideally this information should be collected electronically so that it can be transferred back to the fieldwork organisation (and uploaded to the FMS data upload portal) on a weekly basis. These data can then be used for fieldwork progress monitoring and to generate summary progress reports to which different stakeholders will have access to.

A key feature of the FMS data upload portal is that monitoring uploaded information into the portal and stored within the central database is accessible to and shared by ESS stakeholders: this includes not only the fieldwork organisation carrying out ESS fieldwork but also the National Coordinator (NC) responsible for overseeing the implementation of the ESS in a country, and the ESS Fieldwork Team who oversee the (preparations of) fieldwork across all countries participating in the ESS on behalf of the Core Scientific Team (CST). The FMS will provide all stakeholders with access to regular, standardised reports on progress throughout the fieldwork period. This should allow for more efficient communication between stakeholders, more effective fieldwork monitoring and more timely interventions, which is anticipated to reduce overall burden on ESS stakeholders with respect to monitoring fieldwork.

Fieldwork organisations and NCs will only be able to view data uploaded for their country. The ESS Fieldwork Team can see data uploaded for all participating countries.

The rest of these guidelines contain:

- A checklist for before and during fieldwork
- Information on how to use the FMS data upload portal.
- Details of what data needs to be uploaded to the portal on a weekly basis and how this should be done. See Appendix 1 for a list of fields to be uploaded.

¹ The FMS was developed for ESS by CentERdata, Tilburg University under the EC-funded DASISH (GA 283646) and SERISS (GA 654221) projects and using funding from the ESS ERIC.

- Details of the monitoring information which can be viewed in the FMS based on the uploaded data. See Appendix 2 for a list of the summary indicators available and their definition.

For guidance on how to use this information to monitor and manage ESS fieldwork effectively see *ESS9 Guidelines on Fieldwork Progress Reporting* available on the ESS9 intranet (from 28th August 2018).

Note 1: Primary responsibility for managing ESS fieldwork rests with the organisation selected to conduct fieldwork in a country and the NC will oversee the work of the organisation, including the progress of fieldwork. The FMS is not a substitute for the local knowledge and expertise of experienced survey managers or fieldwork supervisors. For effective fieldwork monitoring, the data in the FMS should be supplemented by regular communication within the fieldwork organisation and between the fieldwork organisation, NC and ESS Fieldwork Team.

Note 2: FMS terminology

Sample CTRL – web interface where NCs/Fieldwork agency can enter sample information, make weekly uploads and view summary progress reports.

Survey CTRL – web interface where CST Fieldwork Team can view weekly updates and summary progress reports.

Case CTRL – a.k.a. 'FMS app', interviewer instrument to collect contact form information. Not relevant if using the upload portal.

FMS Checklist

Before the start of fieldwork please make sure you have:

- Successfully made a test upload to the portal. In addition to uploading the test file provided by ESS HQ, please try producing and uploading a file using your own “test” data. The test log in credentials can be shared with the fieldwork agency to facilitate this.
- Contacted the ESS Fieldwork Team to notify them of the successful test upload. They will then arrange for the fieldwork agency and the NC team to be issued with log in credentials to the “live” portal (Which is available at a separate url).
- Agreed with your fieldwork monitor what day of the week you will upload data to the portal.
- Completed the information required for sample set up (see Section 1.3 of this guide).

During fieldwork please make sure you:

- Make a weekly upload to the portal on the agreed day of the week.
- Ensure that the information uploaded is as up to date and complete as possible.
- Contact the ESS Fieldwork Team if you experience any problems with the FMS upload or will be delayed in making an upload for any reason.
- Proactively monitor fieldwork using the information in the portal plus any other information at your disposal.
- Remain in regular contact regarding any issues or problems encountered during fieldwork. The ESS Fieldwork Team will follow up on each weekly upload with the NC via email to acknowledge the latest report and (where necessary) discuss further.

1. Getting started

1.1. FMS data upload portal - Login instructions

The FMS data upload portal is a web-based tool located on a secure cloud-based server hosted and maintained by CentERdata in the Netherlands. To access the tool all users require is a reliable internet connection and an up-to-date browser using HTML5 protocols.

The URL and login credentials will be issued to the fieldwork organisation and NC team by Iggy van der Wielen, development manager at CentERdata.

Login

Provide the username and password that you have received from your country/team leader.

Username

Password

Login [Forgot your password?](#)

Once you have received the login details, enter your username and password and click "Login"

Note: Login credentials for the "live" FMS portal will be issued once a test upload has been completed successfully. Please inform the ESS Fieldwork Team once this has been done. One set of shared credentials will be issued per organisation,

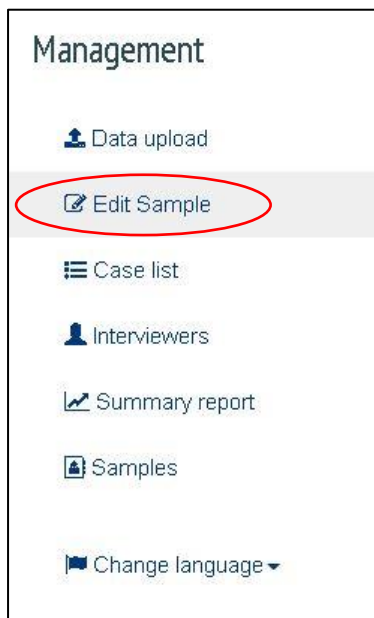
It is assumed that the fieldwork organisation in each country will take responsibility for uploading the data to the portal each week and that NCs' access to the portal will be "read only". If the upload responsibility is delegated to a member of the NC team (or if the NC's organisation is also responsible for conducting fieldwork) please inform the ESS Fieldwork Team. They will then ensure that the NC team is issued a login with upload rights.

1.2. FMS data upload portal - Sync settings

The data uploaded into the data upload portal will be set to be processed at the following intervals by CentERdata: 09:00, 10:00, 13:00, 15:00 and 22:00 hours (CET). This means that information uploaded to the portal will not be visible in the case list immediately after uploading.

1.3. Sample setup

Once logged in, you will first need to specify the sample details for the fieldwork by selecting “Edit sample” from the navigation menu.



The image shows the "Edit Sample" form. It has a title "Edit Sample" and a section "Sample Details". The fields are: "Fieldwork" (dropdown menu with "ESS Round 9 Pilot" selected), "Country" (dropdown menu with "ZAMBIA" selected), "Type" (dropdown menu with "individual" selected), "Fieldwork type" (dropdown menu with "Upload" selected), "Gross sample" (text input field with "1500" entered), "Startdate" (three dropdown menus for month, day, and year, with "April", "6", and "2018" selected respectively). Red arrows point from the "Complete all fields" box to each of these fields.

- Complete all fields
- **Fieldwork:** Specify the fieldwork e.g. ESS Round 9.
 - **Country:** Specify the country the fieldwork is being conducted in.
 - **Type:** Specify the sample type (e.g. individual, household, address).
 - **Fieldwork type:** This refers to the FMS system being used. Please select “Upload”.
 - **Gross sample:** Specify the gross sample size as signed off with your sampling expert.
 - **Start date:** Specify the fieldwork start date by completing the month, date and year fields.

The FMS allows fieldwork performance in the current round to be compared against i) fieldwork projections (as signed off with the ESS Fieldwork Team) ii) actual performance in the last round. Underneath the sample details, please enter figures for **the cumulative number of completed interviews per week of fieldwork**.

If relevant figures for the previous round are not available (i.e. if you did not participate in ESS Round 8) please leave this section blank. However, please do provide fieldwork projections.

Projections need to be signed off with the ESS Fieldwork Team member assigned to the country **before the start of fieldwork**. The ESS Fieldwork Team member will provide information on the number of interviews achieved on each week of fieldwork in the previous ESS round to help NCs set or assess targets for this round—please see the document ‘ESS R8 Fieldwork Figures and R9 Projections’, which will be accessible from the ESS9 intranet (<http://www.europeansocialsurvey.org/intranet/nc/>) from July 2018 onwards. Written instructions regarding the fieldwork projections will be sent to each NC well in advance of the start of fieldwork.

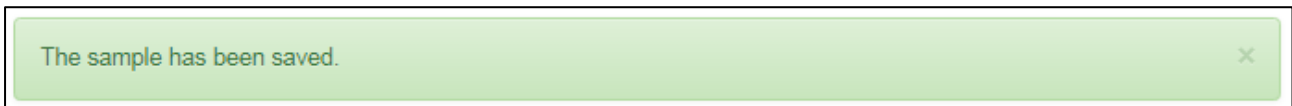
week	N
1	25
2	50
3	80

week	N
1	35
2	53
3	83

Save Cancel

Enter the week numbers and corresponding number of **cumulative** completed interviews.
Then click “**save**”.

You will then receive the following message confirming the sample has been saved.

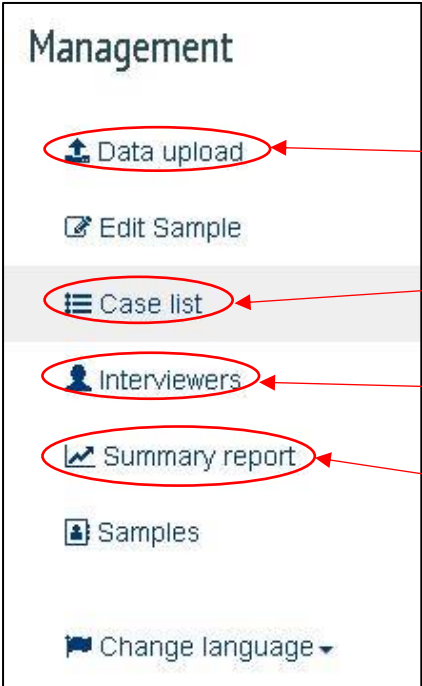


Note: Please ensure that sample information and fieldwork projections/figures are entered before the start of fieldwork. This information serves as a benchmark for monitoring.

Please keep the information up to date and make any necessary edits if there are changes, for example, to start dates or projections.

1.4. Navigating within the FMS data upload portal

A lot of information is accessible to the fieldwork organisation from within the FMS.



The left hand navigation menu includes links to:

- **Data upload:** Upload weekly case-level datasets.
- **Case list:** Summary information about each case (ESS sample unit) uploaded into the FMS.
- **Interviewers:** Details of all the interviewers assigned to work on ESS.
- **Summary report:** An aggregate level summary of the current state of fieldwork including number of completed interviews, refusals etc.

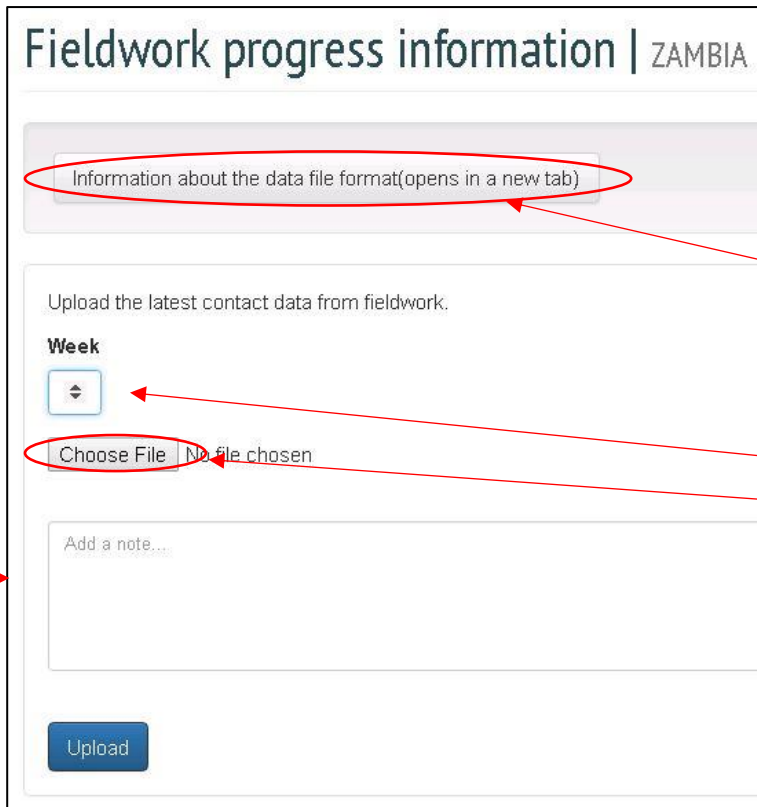
The screenshot shows a 'Management' sidebar with the following items: 'Data upload' (circled in red), 'Edit Sample', 'Case list' (circled in red), 'Interviewers' (circled in red), 'Summary report' (circled in red), 'Samples', and 'Change language'.

Note: The ESS Fieldwork Team only have access to Case List, Summary Report and Samples (which allows them to see the information about the sample, e.g. fieldwork projections, entered by the fieldwork organisation).

2. Uploading data to the FMS

The data upload section allows you to upload contact records collected using an in-house system and share them with other ESS stakeholders (the NC team and the ESS Fieldwork Team). Uploads should be made weekly.

Select “Data upload” from the left-hand navigation menu to upload contact records.

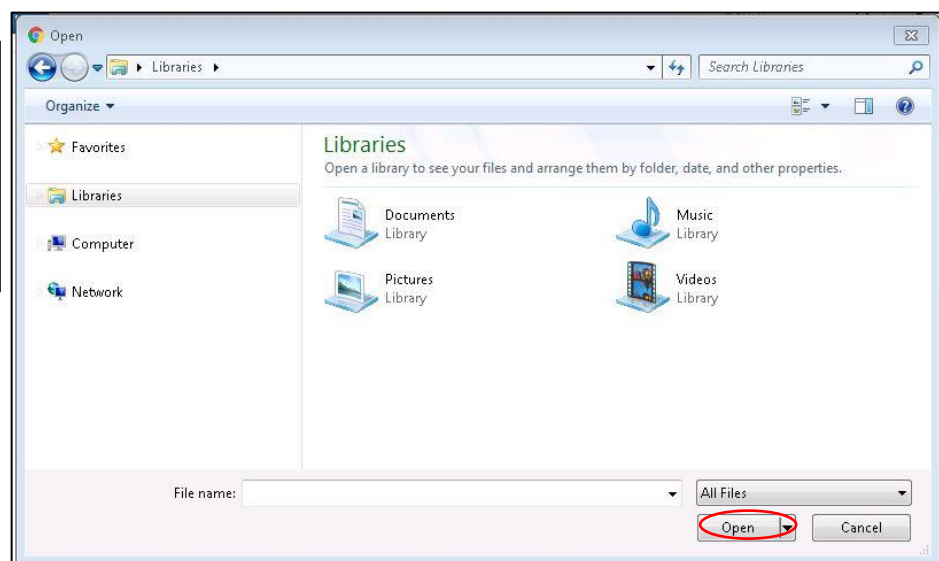


Clicking “**Information about the data file format**” opens a guidance document (.pdf) from within the data upload portal.

To upload a new data file, enter the fieldwork week number in the “**Week**” box and click “**Choose file**”.

A pop-up box will then appear, where you can select your chosen file, and click “**open**”

You can also add a note about the selected file, by typing your entry into the “**Add a note...**” box.



Once you have selected the correct file to upload and added a note click “**Upload**”.

You will then receive a message confirming the file has been uploaded. You will also see the details of the uploaded file in the table at the bottom of the screen.

Fieldwork progress information | ZAMBIA

Information about the data file format(opens in a new tab)

Upload the latest contact data from fieldwork.

Week

Choose File ZMuploadfile_wk1.txt

Add a note...

Upload

Name	Week	Status	Created
ZMuploadfile_wk1.txt	1	Processed	06-04-2018 14:56

The file name and associated note will be displayed under the "Name" heading.

Once uploaded, the file status will show as "to be processed". The data files will be processed at the intervals specified in the sync settings (see section 1.2). After which, the status will change to "Processed".

The date the file was uploaded is also shown in the overview.

Once the file has been processed, you will see that the cases have been uploaded and are visible via the case list screen.

Case list

1505 Case list

23 Complete

7 Appointment

1500 Gross sample

1399 Not contacted

12 refusal

Search (by case ID or region)

Search:

Search Names:

Filter on interviewer:

Filter on outcome code:

Limit:

Search Reset search

Case ID	Interviewer ID	Batch	Region	Last outcome	Contact attempts	Date last contact	Appointment date	Unavailable until	Response
1	401	1	South west England	#1: Completed interview	1	05-09-2017 00:00			Not applicable
2	401	1	South west England	#0: Appointment	1	06-09-2017 00:00			Not applicable
3	401	1	South west England	#0: No contact at all	1	07-09-2017 00:00			Not applicable
4	401	1	South west England						Not applicable

2.1. Format and content of upload file

Data should be uploaded as a tab delimited .txt file.

The data file should include one row for each case in the gross sample, regardless of whether or not each case is currently active in the field or has been issued to an interviewer yet.

The data file should always include the most up-to-date information on each case. For individual cases this information may or may not have changed since the previous week.

The file should include information on the (cumulative) total number of contact attempts made since the start of fieldwork rather than just since the last upload.

Other information e.g. date, mode, outcome should refer to the last contact attempt for which information is available only. The upload file should provide a summary of the current status of each case, not the full contact history.

Please ensure that:

- The .txt file includes all of the fields listed in Appendix 1 and in the order listed. The only exception are the fields for age and gender of sample unit which are optional.
- The file uses the field headings given in Appendix 1.
- Data are entered in each field using the format specified (yyyy-mm-dd).
- There are no extra rows or fields in the uploaded datasets.
- The field idno is completed for each case in the data file.

For ESS Round 9 it is not possible to include additional, country-specific fields in the upload file. This may be considered in future rounds. If there is additional information available that you think could be useful to share with the NC please a) upload the standard file b) add any additional fields to the standard upload files and share the extended file with the NC for discussion.

Fields may be left blank if information is not yet available (for example if no contact attempts have yet been made). However, note that:

- If casestatus > 1, a valid value must be entered for dateissue, interviewerid, nattempts, nfattempts and ntelattempts.

If a case has been issued into the field (and is currently either active or complete) then the case record must include the date of issue, the id of the allocated interviewer and the number of contact attempts made (this may be 0).

- If nattempts > 0, a valid value must be entered for resultb, dateresult and mode.

If the record indicates that one or more contact attempts has been made, the record must also include the mode and outcome of the last contact attempt.

- If resultb = 3, 4, 5 or 8, a value must be entered for outnic.

If the record indicates that contact was made but no interview was achieved then the outcome of that contact (e.g. refusal, appointment, respondent deceased) must also be recorded.

Please also note that dateresult must be later than dateissue.

If data are uploaded in the wrong format or with data missing you will receive a warning and the file will be rejected. You should go back and check the file before attempting to upload a corrected file. To help you to identify any errors in the rejected file, a list of any problem cases will be shown on the screen with “incorrect” cells shown in red.

Warning! the file has errors please check the error table ✕

Fieldwork progress information | ZAMBIA

Error table

line:	idno	psu	batch	region	casestatus	dateissue	interviewerid	nattempts	nfattempts	ntelattempts	resulb	outnic	dateresult	mode	sex	age
0	400001	101	1	South west England	2	2017-09-04	401	1	1	0	1	missing	2017-09-05	missing	Male	18-24
10	400011	101	1	South west England	2	2017-09-04	403	1	1	0	6	missing	missing	1	Male	18-25

If you attempt to upload a file where the number of cases does not match the gross sample or to upload an identical file to one already uploaded, you will receive a warning message and be asked if you want to use or discard the uploaded file. Note that it is expected that each uploaded file will contain a record for each case in the gross sample, that there will be one upload per week and that each weekly file will be unique.

Warning! This file is identical to a file that has already been uploaded and a file has already been uploaded for this week. Do you want to continue? ✕

Use the uploaded file

Discard the uploaded file

Once a file has been uploaded successfully you will receive a message confirming the file has been uploaded. You will also see the details of the uploaded file in the table at the bottom of the screen

Fieldwork progress information | GERMANY

Information about the data file format(opens in a new tab)

Upload the latest contact data from fieldwork.

Week

No file selected.

Add a note...

Name	Week	Status	Created	Modified
DEuploadfile_wk1.txt Note: Test of week 1 upload	1	To be processed	04-10-2017 15:49	04-10-2017 15:49

The file name and associated note will be displayed under the "Name" heading

The file status will show as "to be processed". The data files will be processed at the intervals specified in the sync settings (see section 1.2). After which, the status will change to "Processed"

The date the file was uploaded is also shown in the table

Name	Week	Status	Created
DEuploadfile_wk1.txt Note: Test of week 1 upload	1	Processed	04-10-2017 15:49

An example of an upload file in the correct format is available upon request from ess@city.ac.uk.

Note: To ensure that each case uploaded to the portal (from each country) has a unique identification within the portal, "idno" and "interviewerid" should start with a unique 2 digit country code e.g. AL=10, AT=11. This code will be issued to you along with your login credentials for the portal.

2.2. Frequency of uploads

A new data file should be uploaded each week during fieldwork. Only one upload per week should be made. The first upload should be made after seven days of fieldwork have elapsed and should cover the first 1-7 days of fieldwork, the second upload should cover days 1-14 and so on. Ideally, files should be uploaded on the same day each week, with this day agreed with the NC and ESS Fieldwork Team.

Note: Uploads can be made on any day of the week. To ensure that the information contained in the upload is as current as possible please encourage interviewers, field managers etc. to return information to the survey agency on at least a weekly basis and ideally the day before/same day as the upload is made.

2.3. Use of notes

There is a notes box available on the upload page. Please add a note to accompany each upload file. This should:

- a. confirm the dates covered by the upload file;
- b. confirm that fieldwork is progressing as expected/on schedule OR provide a brief summary of why fieldwork is behind schedule and any background information which might be useful to explain why this is the case;
- c. provide details of any remedial actions taken to address any problems with fieldwork.

The notes box is for information only. Any communication with the NC or the ESS Fieldwork Team will need to take place via email.

Note: If you encounter any difficulties with uploading a file to the FMS please contact your assigned ESS Fieldwork Team member in the first instance.

3. Monitoring fieldwork using the FMS data upload portal

3.1. Case list

The main landing page, reached on login and accessible at all times by selecting “Case list” from the left hand menu, provides an overview of the status of all cases that have been processed.

Coloured boxes at the top of the screen provide details of:

- Number of issued cases (i.e. cases for which a sample record has been uploaded to the portal)
- Number of complete interviews
- Number of appointments
- Number of refusals
- Number of issued cases with no contact attempts yet
- The gross sample size

The screenshot shows the 'Case list' interface. At the top, there are five summary boxes: '1505 Case list' (black), '23 Complete' (green), '7 Appointment' (cyan), '1500 Gross sample' (grey), '1399 Not contacted' (blue), and '12 refusal' (orange). Below these are search and filter options. A search bar is labeled '1)'. Filter options for 'Filter on interviewer' and 'Filter on outcome code' are labeled '2)'. A 'Reset search' button is labeled '3)'. At the bottom, a table lists cases with columns: Case ID, Interviewer ID, Batch, Region, Last outcome, Contact attempts, Date last contact, Appointment date, Unavailable until, and Refusal.

Case ID	Interviewer ID	Batch	Region	Last outcome	Contact attempts	Date last contact	Appointment date	Unavailable until	Refusal
1	401	1	South west England	#1: Completed interview	1	05-09-2017 00:00			Not applicable
2	401	1	South west England	#9: Appointment	1	06-09-2017 00:00			Not applicable
3	401	1	South west England	#6: No contact at all	1	07-09-2017 00:00			Not applicable
4	401	1	South west England	#7: Address is not valid (unoccupied, demolished, institutional)	1	05-09-2017 00:00			Not applicable

A table at the bottom of the screen lists all cases and provides information on

- The interviewer working the case
- The region in which the case is located
- The last outcome recorded for the case
- Number of visits made to the case
- Date of last contact with the case
- Date of any appointments set up
- Date until when cases are “unavailable”

Cases are colour-coded depending on the current status in line with the summary boxes at the top of the screen (invalid = grey)

Please ignore the refusal column (not set up for countries using the portal).

- 1) It is possible to **search** for a particular case e.g. by case ID. Clicking “Reset search” will then take you back to the full list of cases.
- 2) It is possible to **filter** the list of cases based on interviewer or current status (outcome code).
- 3) It is possible to **order** the list of cases based on any column e.g. Interviewer ID.

3.2. Case screen

You can access further details about each issued case by clicking on 'Case ID' in the list of cases displayed on the main screen.

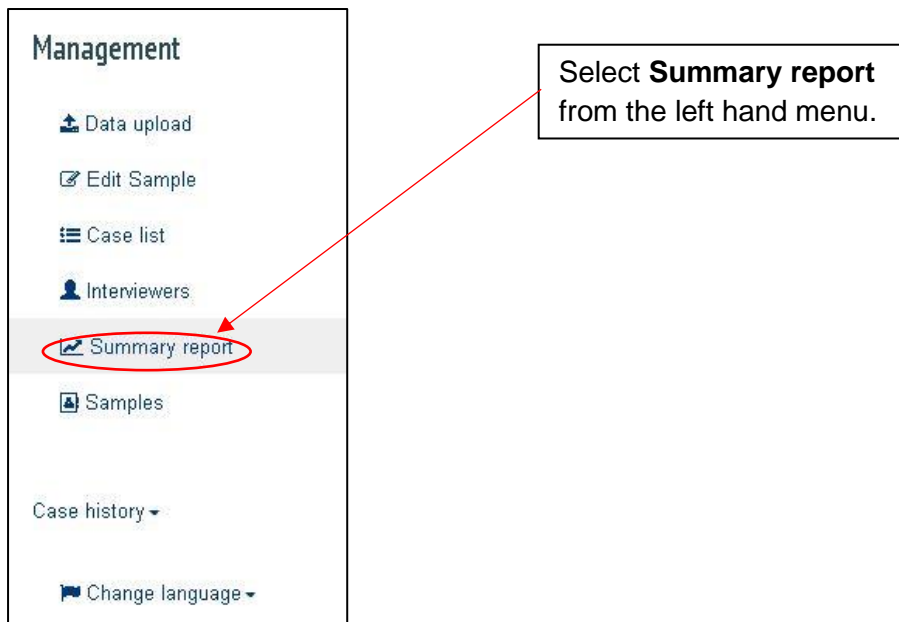
The screenshot shows a user interface for managing cases. On the left, there is a filter section with a dropdown for 'Filter on outcome code' (set to 'Select outcome code'), a 'Limit' input set to '20', and 'Search' and 'Reset search' buttons. Below this is a table of cases with columns 'Case ID', 'Interviewer ID', 'Batch', and 'Region'. The first row (Case ID 1) is highlighted in green and circled in red. A red arrow points from this row to the right-hand side of the image, which shows the 'Case 1' detail screen. This screen displays various fields: 'Phone', 'Email', 'Region' (South west England), 'Address', 'Last outcome' (Completed interview), 'Times contacted' (1), 'Interviewer ID' (401), 'Firstname', 'Date of birth' (0000-00-00), 'Age group' (18-24), and 'Gender' (Male).

Case ID	Interviewer ID	Batch	Region
1	401	1	South we
2	401	1	South we
3	401	1	South we
4	401	1	South we
5	401	1	South we
400001	401	1	South we
400002	401	1	South we
400003	401	1	South we
400004	401	1	South we
400005	401	1	South we
400006	402	1	South we
400007	402	1	South we
400008	402	1	South we
400009	402	1	South we
400010	402	1	South we

Information available for each case will depend on the information included in the data upload file. This may include information about gender and age group as well as the latest outcome code recorded.

3.3. Summary report

The FMS automatically generates summary progress reports, available to all FMS users, which provide a way to ensure that fieldwork is being monitored in a standardised way by different ESS stakeholders and across countries.



Three summary tables are provided; “summary indicators”, “detailed outcomes codes” and “breakdown”. Each of these tables can be expanded or collapsed by clicking on the table’s heading. By default, the “summary indicators” and “breakdown” table are expanded, with the “detailed outcome codes” table collapsed.

Summary report

Actions ▾

Select previous reports

History

Week 5 (11-05) ▾

Breakdown

Batch ▾

Search

Summary indicators ▾ Export to excel

Gross sample	1500	100 %
Cases uploaded to Sample CTRL	1505	100 %
Contact attempted	106	7 %
Ineligible	12	1 %
Response rate	23	2 %
Non-contact	23	2 %
Cooperation rate	32	73 %
N of interviewers active in selected week	0	0 %
N of interviewers achieving an interview in selected week	0	0 %

Detailed outcome codes ▾ Export to excel

Breakdown ▾

By Batch	Cases uploaded to Sample CTRL	Contact attempted	Interview	Appointment	Non-contact	Refusal	Ineligible
1	754	106	32	7	23	12	
2	751	0	0	0	0	0	

1. **Summary indicators** shows summary information such as gross sample, response rate and number of interviewers active.

The first column is the number of cases, whilst the second column shows this number as a percentage of the gross/eligible sample or total number of interviewers (depends on indicator).

2. **Detailed outcome codes** shows the full list of contact outcomes. Click the dropdown button to expand the table.

3. The **Breakdown** table allows you to breakdown the contact attempts by batch, region, gender, age group or interviewer ID. The default view is breakdown by batch.

Actions ▾

Select previous reports

History

Week 5 (11-05) ▾

Breakdown

Batch ▾

- Batch
- Region
- Gender
- Age group
- Interviewer ID**
- Case Status

4. To change the breakdown in the **Breakdown** table, select from the dropdown menu and click **search**.

The breakdown table will then be updated.

Breakdown Export this overview to csv

By Interviewer ID	Cases uploaded to Sample CTRL	Contact attempted	Interview	Appointment	Non-contact	Refusal	Ineligible	Other
30001	21	8	3	0	2	2	0	1
30002	28	2	2	0	0	0	0	0
30003	18	1	1	0	0	0	0	0
30004	18	0	0	0	0	0	0	0
30005	23	0	0	0	0	0	0	0
30006	2	0	0	0	0	0	0	0
Total	110	11	6	0	2	2	0	1

Further information about the summary indicators reported - how they have been calculated and how they can be used to monitor and manage fieldwork - is given in Appendix 2.

Summaries can be downloaded and saved offline, allowing you to track progress over the fieldwork period.

Summary report

Actions

Select previous reports

History: Week 5 (11-05)

Breakdown: Batch

Search

Summary indicators

Indicator	Value	Percentage
Gross sample	1500	100 %
Cases uploaded to Sample CTRL	1505	100 %
Contact attempted	106	7 %
Ineligible	12	1 %
Response rate	23	2 %
Non-contact	23	2 %
Cooperation rate	32	73 %
N of interviewers active in selected week	0	0 %
N of interviewers achieving an interview in selected week	0	0 %

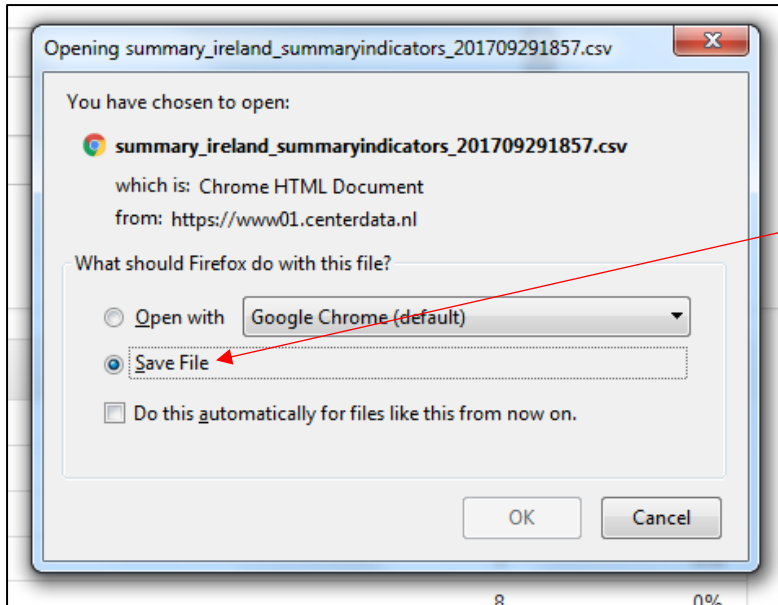
Detailed outcome codes

Breakdown

By Batch	Cases uploaded to Sample CTRL	Contact attempted	Interview	Appointment	Non-contact	Refusal	Ineligible	Other
1	754	106	32	7	23	12	12	20
2	751	0	0	0	0	0	0	0

Summary reports can be exported and saved offline. Click "Export this overview to csv" on the relevant table

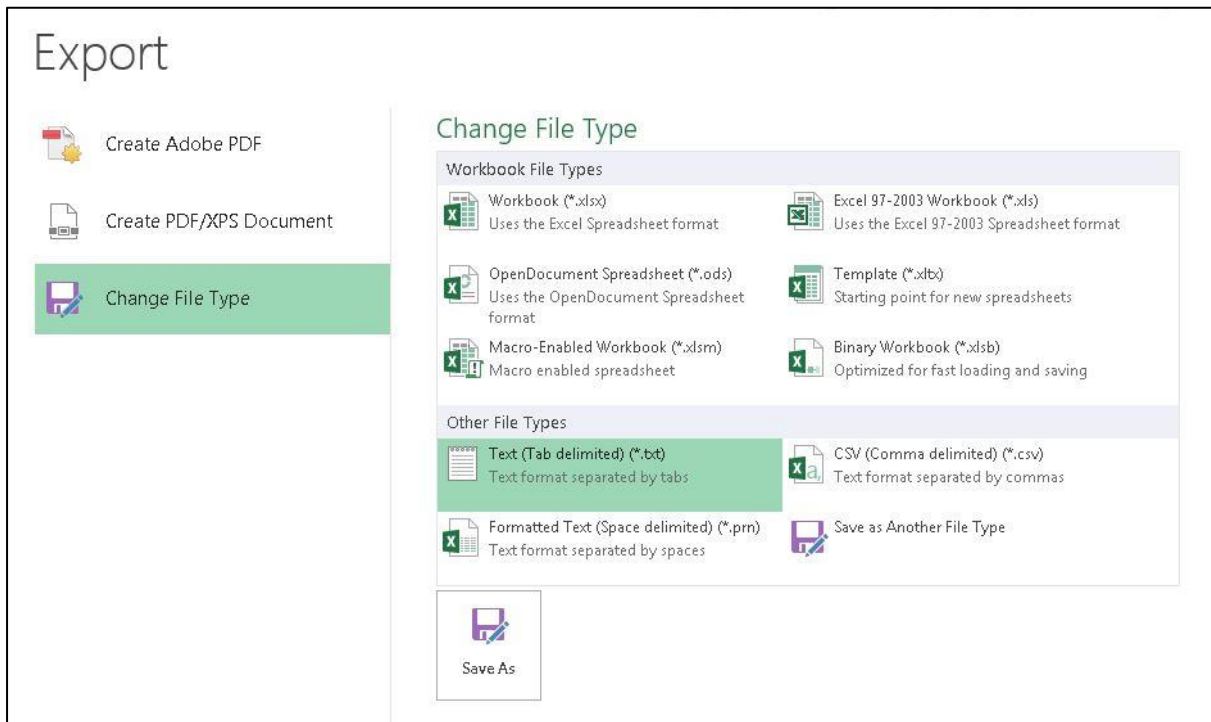
A pop-up will then appear, asking if you want to open or save the file.



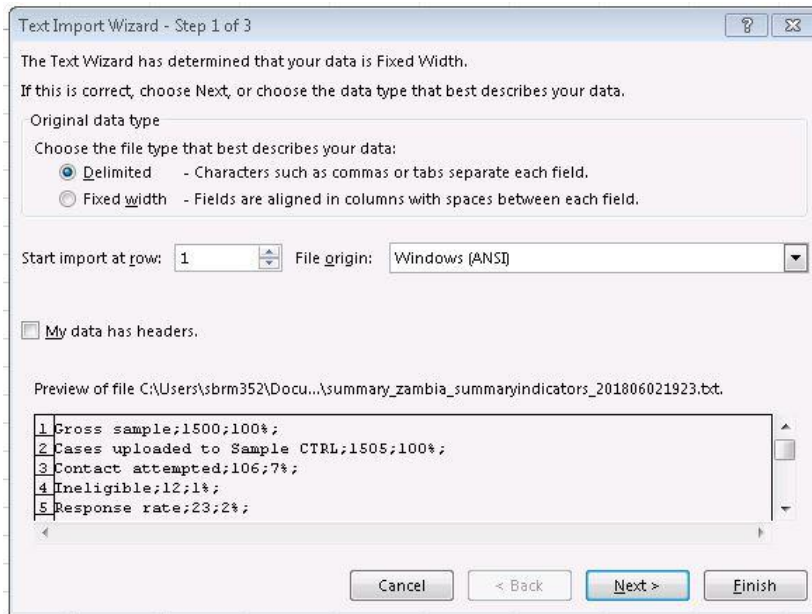
Select “save file” and click “OK”.

By default, the file will be saved as a .csv file. To view the exported summary report in tabular form rather than as a comma separated (.csv) file the file will need to be converted.

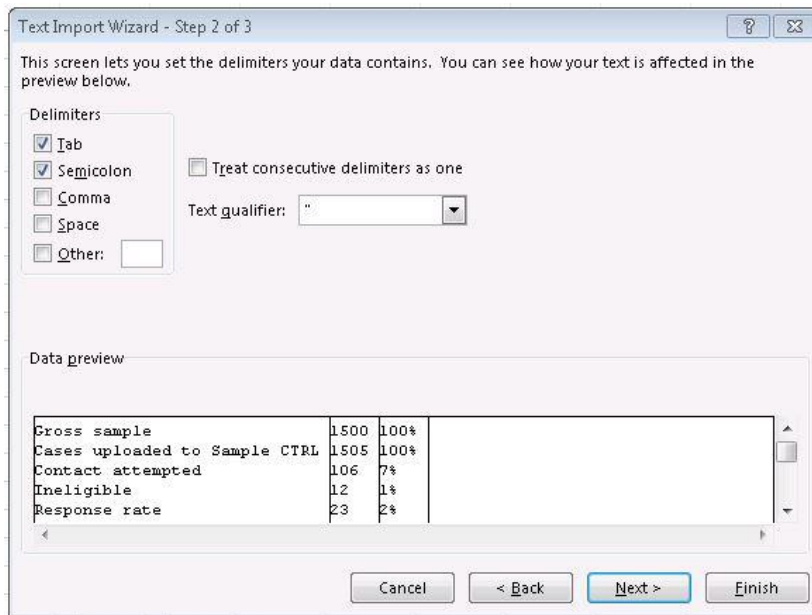
1. Open the downloaded .csv file and export this as a .txt file, by clicking File> Export> Change File Type> Text (Tab delimited) (*.txt)> Save As



2. Then open a new Excel workbook and select “Data” from the Ribbon. Under the “Get external data section” select “From Text” and open the .txt file you converted in the previous step.
3. A text import wizard will open. Select “Delimited” as the file type and click “Next”.



Select “tab” and “semicolon” as the delimiters and click “Finish”.

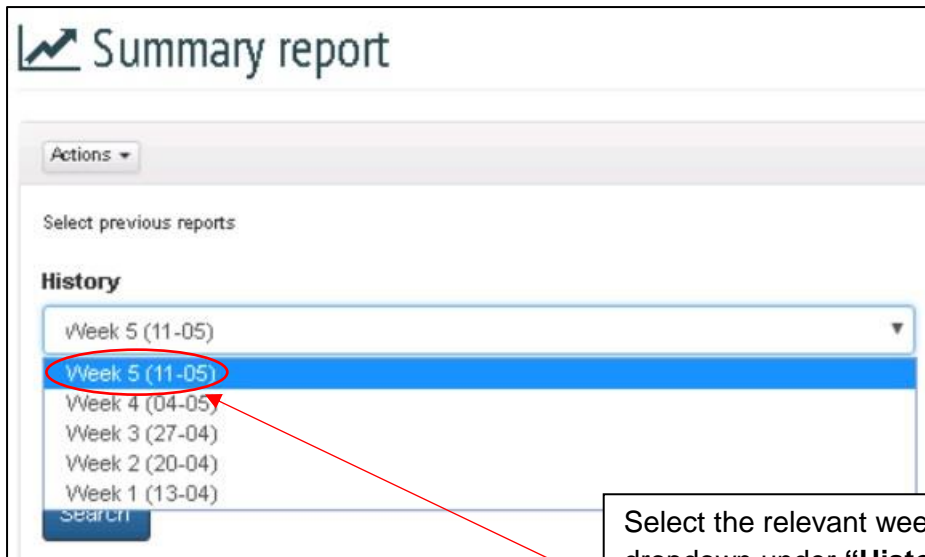


You can now save the resulting output in the current Excel workbook or in a separate file.

As a default, the summary reports will display the information provided in the latest file uploaded to the portal. However, summary reports can also be viewed for past fieldwork weeks using the “History” function.

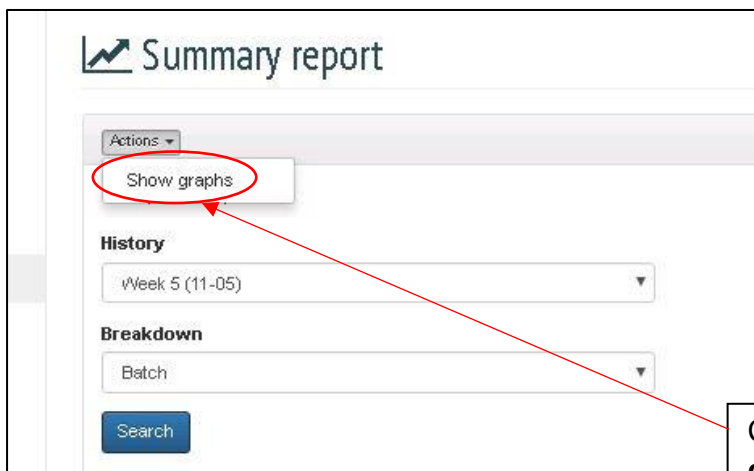
Note: The date shown next to each week will be 7 days from the fieldwork start date entered in the sample set up section (see Section 1.3), not the date on which the file was uploaded.

It is important that the fieldwork start date is entered correctly, and updated if necessary should fieldwork plans change after the initial set up has been completed.



Select the relevant week from the dropdown under “**History**” and click “search” to display the information for that week. The tables will then be refreshed.

Some summary statistics can also be viewed as graphs.



Click **Actions**, then **Show graphs**.

For more information on the graphs available within the FMS, see Appendix 2.

3.4. Data export

At any point during fieldwork a case-level data file can be downloaded from the FMS and saved externally as a .csv file. This will largely be an export of the same information uploaded into the FMS. However, the export files are produced to a standard template, which means that they can be combined by the ESS Fieldwork Team for ESS countries using the upload portal and ESS countries using Case CTRL (the FMS app).

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	case_id	case_batc	case_phor	case_phor	case_hou	case_resu	case_ema	case_psu	case_ntim	case_lastoutcome	case_case	case_ntim	case_ntim	case_lastc	case_regi	case_outr	case_refu	case_sam
2	400100	1			6	6		105	1	05/09/2017 00:00	2	1	0	1	South west England		0	
3	400099	1			7	7		105	1	07/09/2017 00:00	2	1	0	1	North west England		0	
4	400098	1			12	3		105	1	06/09/2017 00:00	2	1	0	1	North wes	4	0	
5	400097	1			7	7		105	2	05/09/2017 00:00	2	2	0	1	North west England		0	
6	400096	1			6	6		105	1	07/09/2017 00:00	2	1	0	1	North west England		0	
7	400095	1			9	4		105	1	06/09/2017 00:00	2	1	0	1	North wes	1	0	
8	400094	1			1	1		105	2	05/09/2017 00:00	2	2	0	1	North west England		0	
9	400093	1			21	5		105	1	07/09/2017 00:00	2	1	0	1	North wes	13	0	
10	400092	1			14	4		105	1	06/09/2017 00:00	2	1	0	1	North wes	6	0	
11	400091	1			15	3		105	1	05/09/2017 00:00	2	1	0	1	North wes	7	0	
12	400090	1			13	3		105	1	07/09/2017 00:00	2	1	0	1	North wes	5	0	
13	400089	1			1	1		105	2	06/09/2017 00:00	2	2	0	1	North west England		0	
14	400088	1			1	1		105	1	05/09/2017 00:00	2	1	0	1	North west England		0	
15	400087	1			1	1		105	1	07/09/2017 00:00	2	1	0	1	North west England		0	
16	400086	1			2	2		105	1	06/09/2017 00:00	2	1	0	1	North west England		0	
17	400085	1			6	6		105	1	05/09/2017 00:00	2	1	0	1	North west England		0	
18	400084	1			6	6		105	1	07/09/2017 00:00	2	1	0	1	North west England		0	
19	400083	1			17	3		105	1	06/09/2017 00:00	2	1	0	1	North wes	9	0	
20	400082	1			12	4		105	1	05/09/2017 00:00	2	1	0	1	North wes	4	0	
21	400081	1			11	4		105	1	07/09/2017 00:00	2	1	0	1	North wes	3	0	
22	400080	1			13	4		104	1	06/09/2017 00:00	2	1	0	1	Wales	5	0	
23	400079	1			9	3		104	1	05/09/2017 00:00	2	1	0	1	Wales	1	0	

To export a data file:

☰ Case list

1505
Case list

23
Complete

7
Appointment

1500
Gross sample

1399
Not contacted

12
refusal

Actions ▾

- Import/update cases
- Export cases

Search

Search Names

Filter on interviewer

From the main "Case list" page, click on **Actions** and select **Export cases** from the dropdown menu.



4. Communication between stakeholders

The FMS aims to provide all ESS stakeholders with access to standardised, accurate and timely data about the progress of ESS fieldwork. It is intended to facilitate more effective and efficient communication between the fieldwork organisation, the NC team and the ESS Fieldwork Team. It is not a substitute for the local knowledge and expertise of experienced survey managers or fieldwork supervisors.

As a fieldwork organisation you may have access to additional information about sample cases, interviewers, or local circumstances, not recorded directly in the FMS uploads, which may be useful for monitoring. You are encouraged to share this information with the NC team as appropriate.

There are also other aspects of fieldwork that it is useful to monitor which are not covered by the FMS. This includes

- Reissuing strategy;
- Back-checks;
- Interview duration and overall data quality.

You are encouraged to monitor these aspects of fieldwork using your own internal procedures. For further guidance on how to do this see *ESS9 Guidelines on Fieldwork Progress Reporting* available on the ESS9 intranet (from 28th August 2018).

The data in the FMS should serve as the basis for communication between field supervisors and interviewers, between the fieldwork organisation and the NC team and between the NC team and the ESS Fieldwork Team throughout fieldwork. The FMS is not itself a communication tool. The fieldwork organisation should expect to be in weekly contact with the NC team to discuss progress and any issues arising. Similarly, the NC team should have weekly contact with the ESS Fieldwork Team (via email) to discuss progress. Note that the ESS Fieldwork Team has direct access to the same summary reports as NCs.

5. Log out

Please remember to log out of the FMS if you are away from your screen. The session will expire after a certain period of time left unattended but it is good practice to log out manually. Click on your user name at the top right of the screen to log out.

6. Producing a Contact Form dataset

As part of the ESS Specification each country is required to produce a Contact Form dataset and deposit this with the ESS Data Archive at NSD alongside the main ESS data file and other files/documents at the end of fieldwork. The upload files contain only a subset of the information required for the full Contact Form dataset. For more information on how to prepare and deposit the Contact Form dataset please see the ESS Round 9 Data Protocol available via the ESS Round 9 NC intranet.

Appendix 1: Fields to include in data files uploaded to FMS portal

Table 1: Fields to include in data files uploaded to FMS portal

* denotes an optional field

Numeric fields in the file are denoted by the format Fn.0, i.e. they are of width n and with no decimal points.

String variables are denoted by the format 'An' i.e. they should have a character limit of n.

Variable	Definition	Source	Notes	Format
idno	Case identification number	Sample file	idno should be scrambled from agency records to avoid identification It should start with a unique 2 digit country code	Fn.9
psu	Primary Sampling Unit (PSU) identification	Sample file		Fn.0
batch	Number of fieldwork batch to which the case has been assigned	Sample file	If used, reserve samples should be treated as a "batch"	F2.0
region	Region This should correspond with the geographic or administrative regions commonly used to monitor fieldwork Please consider using the same NUTS regions as supplied with the main ESS dataset (variable =REGIONXX)	Sample file	If not relevant this can be set to = country i.e. specify one region for the entire sample	A20
casestatus	Case status in the	Agency		F1.0

Variable	Definition	Source	Notes	Format
	<p>field</p> <p>Not issued i.e. not issued into field yet</p> <p>Active i.e. further contact attempts will be made</p> <p>Closed i.e. a final outcome code has been assigned</p>			<p>1="Not issued"</p> <p>2="Active"</p> <p>3="Closed"</p>
dateissue	Date case was allocated to an interviewer and so entered the field for first time	Agency		yyyy-mm-dd
interviewerid	Identification number of interviewer who made the last contact attempt (or current interviewer if no contact attempt yet)	Agency	<p>interviewerid should be scrambled from agency records to avoid identification</p> <p>It should start with a unique 2 digit country code</p>	F6.0
nattempts	Total number of contact attempts (in any mode) made since start of fieldwork	Agency	This is the cumulative figure across whole fieldwork period, not just since last data upload	F2.0
nfattempts	Total number of F2F contact attempts since start of fieldwork	Agency	This is the cumulative figure across whole fieldwork period, not just since last data upload	F2.0
ntelattempts	Total number of telephone contact attempts since start of fieldwork	Agency	This is the cumulative figure across whole fieldwork period, not just since last data upload	F2.0

Variable	Definition	Source	Notes	Format
resultb	Result of last contact attempt	ESS Contact Form Q5	resultb and outnic will be used to assign an outcome code to each case This outcome code will be used to generate the summary reports	F1.0 1= "Completed interview" 2= "Partial Interview" 3 = "Contact with unidentified person" 4 = "Contact with target respondent but NO interview" 5 = "Contact with somebody other than target respondent" 6 = "No contact at all" 7 = "Invalid address" 8 = "Other information about sample unit"
outnic	Result of last contact in event of no interview (only if resultb = 3, 4, 5, 8)	ESS Contact Form Q6 (outnic in Contact Form dataset)		F2.0 1= "Appointment" 2= "Refusal of target respondent" 3= "Refusal by proxy" 4= "Refusal, not sure if target respondent" 5= "Respondent is unavailable/not at home until/....." 6= "Mentally/physically unable/ill/sick (short term and therefore could revisit during the fieldwork period)" 7= "Mentally/physically unable/ill/sick (long term and would be unable to complete interview during the fieldwork period)" 8= "Respondent is deceased" 9= "Respondent moved abroad" 10= "Respondent moved, unsure whether abroad"

Variable	Definition	Source	Notes	Format
				11= "Respondent moved within country" 12= "Language Barrier" 13= "Other"
dateresult	Date of last contact attempt	ESS Contact Form		yyyy-mm-dd
mode	Mode of last contact attempt	ESS Contact Form		F1.0 1= "Personal visit" 2 = "Telephone" 3 = "Personal visit but only intercom" 4 = "Info through survey organization" 5 = "Other"
age*	Age of sample unit (grouped)	Sample file		A8 e.g. 15-24 25-44 45-64 65+
sex*	Sex of sample unit	Sample file		A12 e.g. male female

Appendix 2: ESS Round 9 Summary reporting indicators in FMS

By default, figures reported in the FMS are based on the information provided in the latest weekly file uploaded to the portal or the latest information synced from Case CTRL (if using FMS app).

It is also possible to select reports of the situation in a previous fieldwork week.

The current status of the case is defined by the outcome of the last contact attempt recorded by the interviewer. There is no prioritisation of outcome codes allowed.

Summary indicators

Indicator	Definition
Gross sample	N= Number of cases in gross sample As agreed with sampling expert and signed off in Sample design summary and Fieldwork Questionnaire (FWQ)
Cases uploaded to Sample CTRL	N= Number of unique sample records currently uploaded to FMS upload portal % = (Cases uploaded/gross sample)*100
Contact attempted	N= Number of cases with at least 1 contact attempt (in any mode) since the start of fieldwork % = (N cases with at least 1 contact attempt/ Gross sample) * 100
Ineligible	N = Number of cases coded as ineligible at last contact attempt i.e. case coded as: 7 = Invalid at Q5 on ESS Contact Form <u>OR</u> 8, 9, 10 at Q6 on ESS Contact Form % = (N ineligible cases/gross sample) * 100
Response rate	N = Number of completed interviews achieved i.e. case coded as: 1 = complete interview at Q5 on ESS Contact Form %=(N interviews achieved/(gross sample- ineligible)) * 100
Non-contact rate	N= Number of cases where no contact achieved i.e. case coded as: 6 = No contact at all at Q5 on ESS Contact Form

Indicator	Definition
	% = (N of cases with no contact/(Gross sample-ineligible))*100
Cooperation rate	<p>N = Number of interviews achieved i.e. case coded as: 1, 2 = complete or partial interview at Q5 on ESS Contact Form</p> <p>% = (N of interviews achieved/(N interviews achieved + refusals))*100</p>
N of interviewers active in selected week	<p>N= Number of different interviewers making at least one contact attempt in seven day period</p> <p>% = (N of active interviewers/All interviewers assigned to ESS Round 9)*100</p>
N of interviewers achieving an interview in selected week	<p>N = Number of different interviewers achieving a complete or partial interview in seven day period</p> <p>% = (N of interviewers achieving an interview/All interviewers assigned to ESS Round 9)*100</p>

Detailed outcome codes

This table gives the current status of the case as defined by the outcome of the last contact attempt recorded by the interviewer. Outcome codes are the same as those given in the ESS Round 9 Contact Form at Q6.

Percentages are calculated as a proportion of the gross sample.

Detailed outcome codes ▾		Export this overview to csv
(A.1) Completed interview	17	19%
(A.2) Partial interview	0	0%
(B.1) Appointment	0	0%
Refusal	24	27%
(B.2) Refusal	21	23%
(B.3) Refusal by proxy	3	3%
(B.4) Household refusal (before selection)	0	0%
Non-contact	8	9%
No contact at address (< 4 contact attempts)	0	0%
No contact at address after 4+ contact attempts	8	9%
Other	8	9%
(B.5) Respondent unavailable/not at home	3	3%
(B.6) Mentally/physically unable/ill/sick (short term)	0	0%
(B.7) Mentally/physically unable/ill/sick (long term)	1	1%
(B.11) Respondent moved, still in country	0	0%
(B.12) Language barrier	1	1%
(B.13) Other	3	3%
Ineligible	3	3%
(A.7) Address is not valid (unoccupied, demolished, institutional)	0	0%
(B.8) Respondent deceased	0	0%
(B.9) Respondent moved out of country	1	1%
(B.10) Respondent moved to unknown destination	2	2%

Breakdown

It is possible to see the status of cases broken down by the following sub-groups:

- Batch
- Region
- Age group (*if relevant*)
- Gender (*if relevant*)
- Case status
- Interviewer

The following figures are provided for each sub-group:

Column	Definition
Cases uploaded to Sample CTRL/FMS upload portal	Number of unique sample records currently uploaded to Sample CTRL
Contact attempted	Number of cases with at least 1 contact attempt (in any mode) since the start of fieldwork
Interview	Number of interviews achieved i.e. case coded as: 1, 2 = complete or partial interview at Q5 on ESS Contact Form

Column	Definition
Appointment	Number of cases coded as 1 = Appointment at Q6 on ESS Contact Form
Non-Contact	Number of cases where no contact achieved i.e. case coded as: 6 = No contact at all at Q5 on ESS Contact Form
Refusal	Number of cases coded as 2, 3, 4 at Q6 on ESS Contact Form
Ineligible	Number of cases coded as ineligible at last contact attempt i.e. case coded as: 7 = Invalid at Q5 on ESS Contact Form <u>OR</u> 8, 9, 10 at Q6 on ESS Contact Form
Other	Number of cases coded as: 5, 6, 7, 11, 12, 13 at Q6 on ESS Contact Form

Charts

The figures shown in the charts are derived as follows and show the cumulative result for each week in the field.

Chart	Definition
(Cumulative) number of interviews	N = Number of interviews achieved i.e. case coded as: 1, 2 = complete or partial interview at Q5 on ESS Contact Form Figures are given for: <ul style="list-style-type: none"> • Achieved in current round • Projection for current round • Achieved in previous round (if available)
Response rate	$(\text{Number of completed interviews achieved} / (\text{gross sample} - \text{ineligible cases})) * 100$
Cooperation rate	$(\text{Number of complete} + \text{partial interviews achieved} / (\text{N interviews achieved} + \text{refusals})) * 100$
Percentage of cases receiving at least 1 contact attempt since the start of fieldwork	$(\text{Number of cases receiving at least 1 contact attempt} / \text{gross sample}) * 100$

