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## Tools to support “real time” fieldwork monitoring on the European Social Survey

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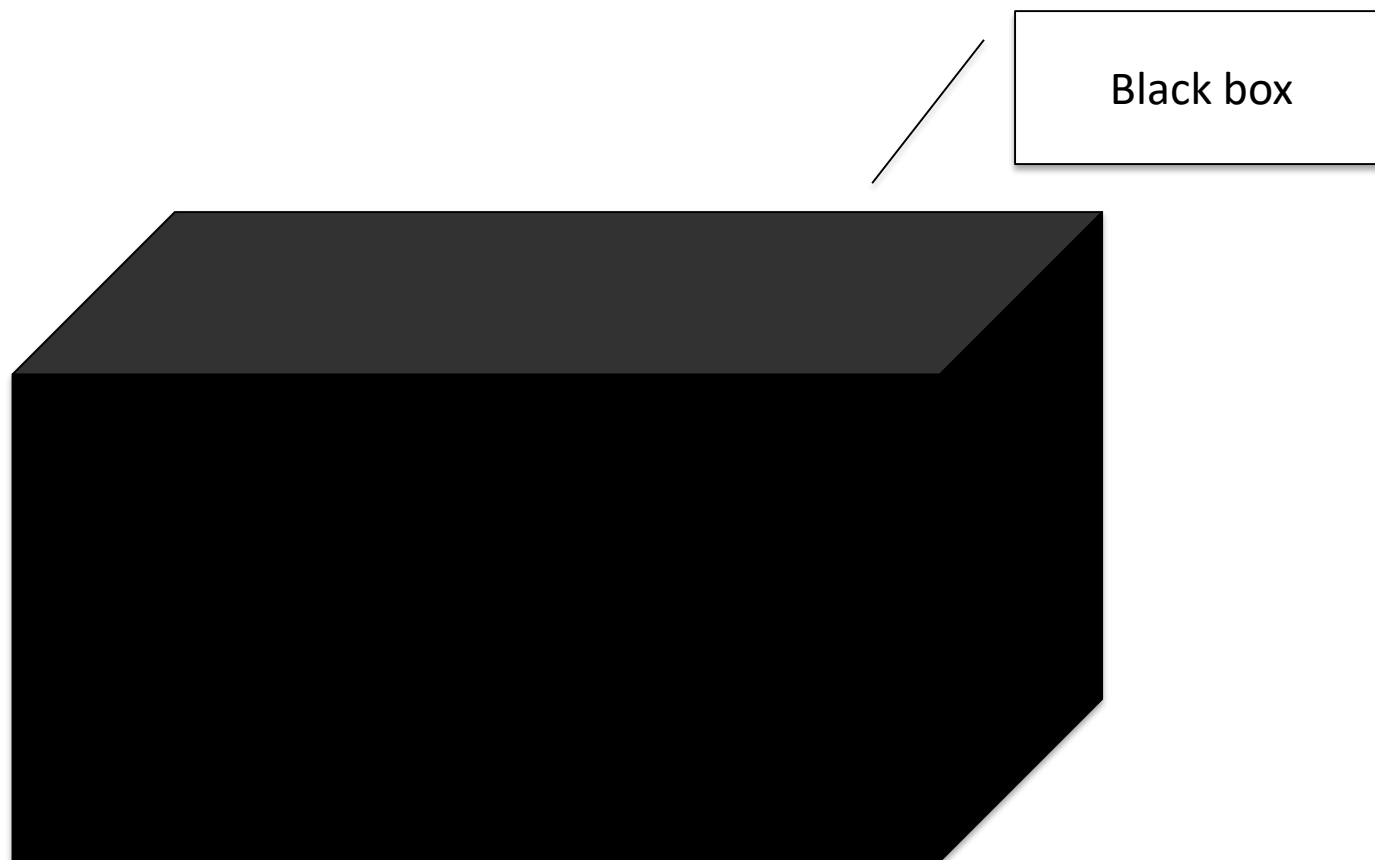
This project has received funding from the *European Union's Horizon 2020 research and innovation programme* under grant agreement No 654221.



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**Fieldwork** facilitates the collection of information about the population under study

- Should fieldwork be a black box to you?
  - Quality of data collected determined during fieldwork
- managing fieldwork effectively can be a challenge
- a fieldwork management tool can support you in this task
  - Particularly for large-scale surveys





## ESS Fieldwork monitoring

- Decentralised
  - National teams responsible for monitoring
  - Updates provided in different formats
  - Difficult to get consistent picture across countries
- Lack of real-time information
  - Interviewers complete Contact Form (CF) for each sample unit
  - Some countries rely on paper CF
  - Overview of fieldwork available after fieldwork





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ESS DOCUMENT DATE 28/05/2018  
ESS9 Individual Named Samples

## ESS Round 9 Contact Form – Individual named samples

### 1. Sample unit label: Personal

### Respondent ID

### Respondent's name

### 2. Interviewer on case (fill out at least one row)

Attempt number	Interviewer number
1 →	
→	
→	
→	

### 3. Respondent's telephone number

0 Number is:  
0 Respondent refuses to give number  
0 Respondent does not have a telephone

### 4. Other telephone number (optional):

### 5. Record of all contact attempts (fill out one row per attempt)

Date dd/mm	Day of the week: 1 (Monday) - 7 (Sunday)	Time 24 hr clock	Mode	RESULT of the contact attempt
				1 = personal visit 2 = telephone 3 = personal visit, but only intercom 4 = info through survey organisation 5 = other 6 = No contact at all 7 = Invalid address 8 = Other information about sample unit
1	/	:		
2	/	:		
3	/	:		
4	/	:		
5	/	:		
6	/	:		
7	/	:		
8	/	:		
9	/	:		
10	/	:		

### Next steps based on result of contact attempt

Result = 1, 2 or 6 → Go to section N1  
Result = 3, 4, 5 or 8 → Go to 6 (outcome)  
Result = 7 → Go to 12 (invalid)



ESS DOCUMENT DATE 28/05/2018  
ESS9 Individual Named Samples

### 6. Outcome of contact attempt (choose one per contact attempt)

	Attempt 1	Attempt 2	Attempt 3	Attempt 4
1. An appointment was made GO TO → N1	0 1	0 1	0 1	0 1
2. Refusal of target respondent → 7	0 2	0 2	0 2	0 2
3. Refusal by proxy (family, acquaintance) → 7	0 3	0 3	0 3	0 3
4. Someone refused, not sure if target respondent → 7	0 4	0 4	0 4	0 4
5. Respondent is unavailable/not at home until → N1	0 5	0 5	0 5	0 5
6. Mentally/physically unable/ill/sick (short term and therefore could revisit during the fieldwork period) → N1	0 6	0 6	0 6	0 6
7. Mentally/physically unable/ill/sick (long term and would be unable to complete interview during the fieldwork period) → N1	0 7	0 7	0 7	0 7
8. Respondent is deceased → END	0 8	0 8	0 8	0 8
9. Respondent moved abroad → END	0 9	0 9	0 9	0 9
10. Respondent moved, unsure whether abroad → END	0 10	0 10	0 10	0 10
11. Respondent moved within country → 13	0 11	0 11	0 11	0 11
12. Language barrier → 6b	0 12	0 12	0 12	0 12
13. Other: → N1	0 13	0 13	0 13	0 13

### 6b In case of language barrier: What is the language of the respondent?

→ N1

### Questions to answer ONLY IF outcome of contact attempt (Q6) was 2, 3 or 4 (refusal)

#### 7. At which contact attempt did the refusal occur?

(Check the contact attempt on p. 1, start in the left column)

#### 8. What are the reasons mentioned for the refusal? (code all that apply)

1 It is bad timing (otherwise engaged, sick children, visitors, ...)	<input type="checkbox"/> 1	<input type="checkbox"/> 1	<input type="checkbox"/> 1
2 I am not interested	<input type="checkbox"/> 2	<input type="checkbox"/> 2	<input type="checkbox"/> 2
3 I don't know enough about this topic, too difficult for me	<input type="checkbox"/> 3	<input type="checkbox"/> 3	<input type="checkbox"/> 3
4 This is a waste of time	<input type="checkbox"/> 4	<input type="checkbox"/> 4	<input type="checkbox"/> 4
5 This is a waste of money	<input type="checkbox"/> 5	<input type="checkbox"/> 5	<input type="checkbox"/> 5
6 The survey interferes with my privacy / I give no personal information	<input type="checkbox"/> 6	<input type="checkbox"/> 6	<input type="checkbox"/> 6
7 I never do surveys	<input type="checkbox"/> 7	<input type="checkbox"/> 7	<input type="checkbox"/> 7
8 I have already co-operated in surveys too often	<input type="checkbox"/> 8	<input type="checkbox"/> 8	<input type="checkbox"/> 8
9 I do not trust surveys	<input type="checkbox"/> 9	<input type="checkbox"/> 9	<input type="checkbox"/> 9
10 I have had bad experiences before with surveys	<input type="checkbox"/> 10	<input type="checkbox"/> 10	<input type="checkbox"/> 10
11 I don't like the subject	<input type="checkbox"/> 11	<input type="checkbox"/> 11	<input type="checkbox"/> 11
12 My partner/family/household members do not give approval	<input type="checkbox"/> 12	<input type="checkbox"/> 12	<input type="checkbox"/> 12
13 I do not admit strangers to my house, I am afraid to let them in	<input type="checkbox"/> 13	<input type="checkbox"/> 13	<input type="checkbox"/> 13
14 Other:.....	<input type="checkbox"/> 14	<input type="checkbox"/> 14	<input type="checkbox"/> 14

#### 9. How likely do you think future co-operation from the target respondent is? (choose only one)

1 Target respondent will DEFINITELY NOT co-operate in the future	<input type="radio"/> 1	<input type="radio"/> 1	<input type="radio"/> 1
2 Target respondent will PROBABLY NOT co-operate in the future	<input type="radio"/> 2	<input type="radio"/> 2	<input type="radio"/> 2
3 Target respondent may PERHAPS co-operate in the future	<input type="radio"/> 3	<input type="radio"/> 3	<input type="radio"/> 3
4 Target respondent WILL co-operate in the future	<input type="radio"/> 4	<input type="radio"/> 4	<input type="radio"/> 4
5 No contact with target respondent	<input type="radio"/> 5	<input type="radio"/> 5	<input type="radio"/> 5
8 Don't know	<input type="radio"/> 8	<input type="radio"/> 8	<input type="radio"/> 8

#### 10. How old do you think the person who made the refusal is?

1 Under 20	<input type="radio"/> 1	<input type="radio"/> 1	<input type="radio"/> 1
2 20 up to 39	<input type="radio"/> 2	<input type="radio"/> 2	<input type="radio"/> 2
3 40 up to 59	<input type="radio"/> 3	<input type="radio"/> 3	<input type="radio"/> 3
4 60 or over	<input type="radio"/> 4	<input type="radio"/> 4	<input type="radio"/> 4
8 Don't know	<input type="radio"/> 8	<input type="radio"/> 8	<input type="radio"/> 8

#### 11. What is the gender of the person who made the refusal?

1 Male	<input type="radio"/> 1	<input type="radio"/> 1	<input type="radio"/> 1
2 Female	<input type="radio"/> 2	<input type="radio"/> 2	<input type="radio"/> 2
8 Don't know	<input type="radio"/> 8	<input type="radio"/> 8	<input type="radio"/> 8

→ Go to N1



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## Fieldwork Management System (FMS)

Collaboration with



- 2012-2014



- 2015-2019



- 2017-2019



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## What is FMS?

### 1. Mobile “app” (Case CTRL)

- Replace (paper) contact forms and enable data collection at the doorstep
- Designed for mobile devices – can be used on laptops

### 2. Case management system (Survey CTRL and Sample CTRL)

- to manage the transfer of information between interviewers and agency;
- enable access to up-to-date contact data by national teams and central team;
- produce standardised fieldwork progress reports





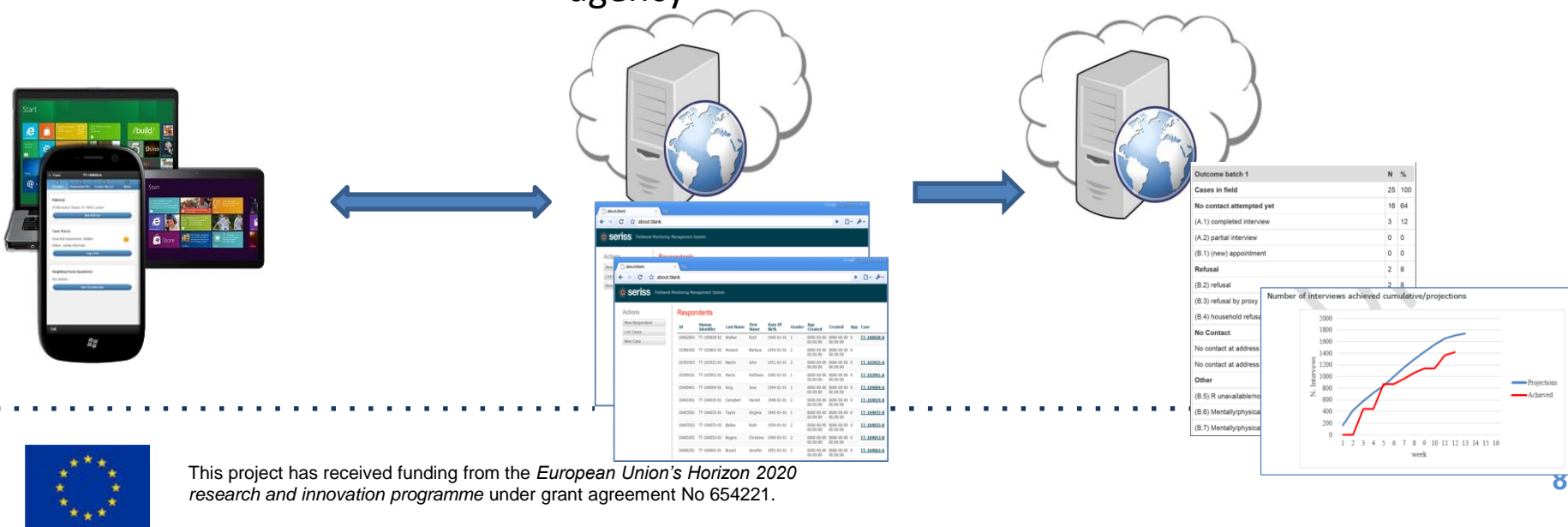
Interviewers use  
**mobile app** to  
complete CF  
electronically

Data transmitted  
to/from a **local Case  
Management System**  
(Sample CTRL)

- Web-based
- Hosted on a secure server
- Accessible to survey agency

(Deidentified) data shared  
via a **central Case  
Management System**  
(Survey CTRL)

- Web-based
- Accessible to national teams and central team





## FMS app

Please enter search string.

**100001**  
Outcome: Complete interview  
Last contact: Monday, 25/09/2017 11:04  
 psu: 101  
15 Fitzgerald Avenue LONDON LANCS BT13 9ZZ

**100051**  
Outcome: Partial interview  
Last contact: Monday, 25/09/2017 10:53  
 psu: 101  
15 Fitzgerald Avenue LONDON LANCS BT13 9ZZ (Right)

**100101**  
Outcome: Not contacted yet  
Last contact:  
 psu: 102  
15 Fitzgerald Avenue LONDON LANCS BT13 9ZZ

Case 101551

Result of the visit: result\_visist

☐ 1 Completed interview

☐ 2 Partial interview

☐ 3 Contact with someone, don't know if target respondent

☐ 4 Contact with target respondent, but NO interview

☐ 5 Contact with somebody other than target respondent

☐ 6 No contact at all

☐ 7 Address is not valid (unoccupied, demolished, institutional)

☐ 8 Other information about sample unit

Back

Next

Back to case






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## FMS app

Case 101551



Reason for refusal: refusal\_reason

INTERVIEWER: Code all that apply

☐ Bad timing (e.g. sick, children, ...) otherwise engaged (e.g. visit)

☐ Not interested

☐ Don't know enough/anything about subject, too difficult for me

☐ Waste of time

☐ Waste of money

☐ Interferes with my privacy/I give no personal information

☐ Never do surveys

☐ Co-operated too often

☐ Do not trust surveys

☐ Previous bad experience

☐ Don't like subject

☐ Partner/family/Hhold don't give approval

☐ Do not admit strangers to my house/afraid to let them in

☐ Other


< Back

Next >

Back to case



Case 100001



History of contact outcomes

Monday, 25/09/2017 11:04 (Personal)

Complete interview

Wednesday, 6/09/2017 12:17 (Info through agency)

Address is not valid (unoccupied, demolished, institutional)

Back to case



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## Sample/Survey CTRL – (central) Case Management

### Case list

1505  
Case list

23  
Complete

7  
Appointment

1500  
Gross sample

1399  
Not contacted

12  
refusal

Actions


Search (by case ID or region)  
Search  
Search Names  
No  
Filter on interviewer  
Select interviewer  
Filter on outcome code  
Select outcome code  
Limit  
20  
Search Reset search

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





## Sample/Survey CTRL – (central) Case Management

 Summary report

Actions

Select previous report

History

Week 5 (11-05)

Breakdown

Batch

Search

Summary indicators

Export to excel or csv

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 or csv

Breakdown

Export to excel or csv

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





## Challenges

### Cross-national variation:

- sample frames, IT resources, in-house systems, survey culture, legal framework

### Agency resistance:

- Compatibility with agencies' in-house systems, loss of autonomy, perceived lack of trust, additional investments for one-off project

### Technological:

- Absence of IT support, availability of mobile devices, reluctance of interviewers to adopt new technology, app not linked to CAPI

### Data protection:

- Transfer of personal data to central server accessible by third party





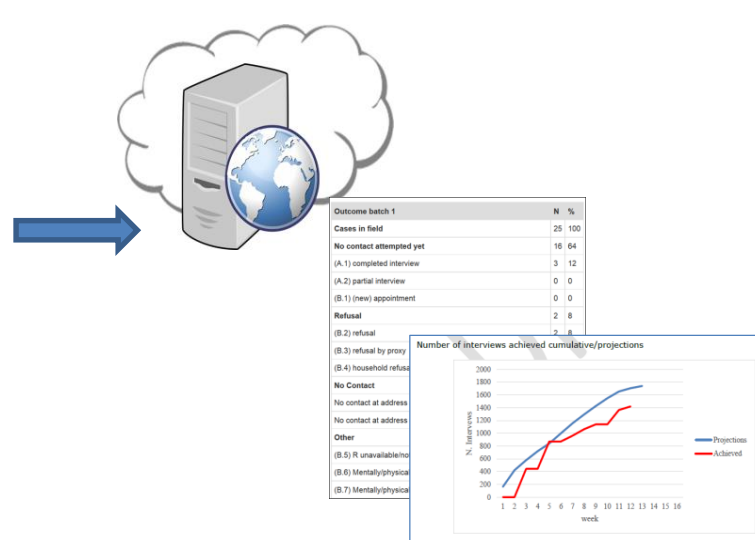
## FMS data upload portal

Interviewers complete CF using **agency in-house systems**

**Agency uploads case level data** to central Case Management System on a weekly basis using a pre-defined template

Uploaded data shared via the **central Case Management System (Survey CTRL)**

- Web-based
- Accessible to NCs and central team





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## 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

## Summary report

Active

Select report:

History

Week 5 (11-05)

Breakdown

Batch

Search

Summary indicators

Export to excel to csv

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%

Details on batch code

Export to excel to csv

Breakdown

Export to excel to csv

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

## Case list

1505

Case list

23

Complete

7

Appointment

1500

Gross sample

1399

Not contacted

12

Refusal

Active

Search (by case ID or region)

Search

Search Name

No

Filter on interviewer

Select interviewer

Filter on outcome code

Select outcome code

Limit

20

Search

Reset search

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	05-06-2017 00:00			Not applicable
2	401	1	South-west England	#9: Appointment	1	06-06-2017 00:00			Not applicable
3	501	1	South-west England	#6: No contact at all	1	07-06-2017 00:00			Not applicable
4	401	1	South-west England	#7: Address is not valid (overcrowded, demolished, institutional)	1	05-06-2017 00:00			Not applicable





## Challenges remain

- Compliance: Will countries upload data? Will data be in the right format and of sufficient quality?
- Key indicators: What can/should we monitor in “real time”?
- Communication: How will tool help (or hinder) communication between stakeholders?





## Next steps

### The adopters:

- ESS: roll out app and data upload portal
- Survey of Health, Ageing and Retirement in Europe (SHARE)
- Tool is not exclusive to cross-national surveys – can also be used for national surveys!





## More information?

- Check [www.seriss.eu](http://www.seriss.eu)
- WP 4: Interactive tools for cross-national surveys





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Thank you!

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