European Social Survey
European Research Infrastructure Consortium

Round 10 Survey Specification for ESS ERIC Member, Observer and Guest Countries

v1
6 June 2019

This Specification has been developed by the European Social Survey European Research Infrastructure Consortium (ESS ERIC) Director, in collaboration with the Core Scientific Team (CST).

It outlines the national requirements for each ESS ERIC Member (or Observer or Guest) participating in the tenth round of the ESS, in accordance with Article 5.c.i in the ESS ERIC Statutes (or the procedure for Guest countries), and drawing on experience from the previous rounds of the ESS.

1. Introduction

The European Social Survey (ESS) is a biennial cross-national survey run by the ESS European Research Infrastructure Consortium (ESS ERIC).

> The ESS ERIC Headquarters are located at City, University of London, UK where the Director is located. The ESS ERIC has a Core Scientific Team (CST) that comprises Headquarters and other institutions in Europe.
>
> The institutions in the CST are listed on the ESS website:
> www.europeansocialsurvey.org/about/structure_and_governance.html
>
> **Headquarters and the six CST institutions will henceforward be referred to as the CST.**

According to the Statutes of ESS ERIC[1], its principal object and tasks are to establish and operate a research infrastructure with the following main objectives:

a) assembling, interpreting and disseminating via the European Social Survey or otherwise rigorous data on Europe's social condition, including the shifting attitudes, values, perceptions and behaviour patterns among citizens in different countries;
b) providing free and timely access to its accumulated data to professional users and members of the public;
c) furthering the advancement of methods of quantitative social measurements and analysis in Europe and beyond.

The present document, called the Specification for short, outlines the tasks and responsibilities of the ESS ERIC Members, Observers and Guests regarding the implementation of the tenth round of the European Social Survey (ESS Round 10).

The ESS ERIC subscribes to the Declaration on Ethics of the International Statistical Institute (ISI)[2] to which the Survey Agencies that conduct the data collection will be asked to adhere, in addition to any co-existing national obligations that they may have. ESS ERIC undertakes to ensure that ESS Round 10 is conducted in a manner that is fully compliant with the General Data Protection Regulation (EU 2016/679) and with all national laws. As the Data Controller for ESS Round 10, ESS ERIC requires that all Members, Observers and Guests comply fully with the GDPR as data processors.

2. Changes over time

2.1 *Major changes compared to Round 9*

There are three major changes, two of which were already announced in the Specification for Round 9. Also, as in the most recent version of the Specification for Round 9, media coding is no longer included as a requirement.

Digital contact forms

First, as of Round 10 all Contact Form data needs to be collected in a digital format. This can be implemented using any tool or system the Survey Agency chooses. It

[1] www.europeansocialsurvey.org/docs/about/ERIC-ESS-OJ-30-November-2013.pdf
[2] www.isi-web.org/index.php/activities/professional-ethics/isi-declaration

must, however, be possible to transmit up to date information on the progress of both productive and unproductive cases still in the field to the ESS's central Fieldwork Management System (see section 9.4.3) on a weekly basis.

Interim data file and 6-week minimum fieldwork length

Second, the minimum length of the fieldwork has been extended from four to six weeks and it is a requirement that a minimum of one interim data file has to be provided to the NC for quality checking during fieldwork. The CST will provide the syntax to be run on the interim data file. Ideally, this data file should also be provided to the ESS Archive during fieldwork, using the same secure transfer procedures as for the main data files, for quality control by the CST. Both of these steps are to facilitate the identification and, if necessary, correction of undesirable interviewer behaviour.

Back-checks

Third, a new, more detailed back-check procedure will be rolled out in ESS Round 10 (see section 9.6.4) in addition to those that may be routinely conducted by the Survey Agency. The back-check procedure has been changed in that back-checks are now only required to be conducted on interviews and ineligibles, but in a timely manner and checking several aspects. **As part of the quality checks, information regarding the back-checks and their outcomes should be collected and recorded at case level and variables added to the Contact Form data set.**

2.1.1 Potential major changes compared to Round 9: Central CAPI

ESS ERIC is seeking funding through the EU's H2020 programme to develop a central CAPI programme for Round 10. This would help to reduce the burden on individual countries, minimise the risk of country-specific routing or other errors, assist with quality monitoring during fieldwork and reduce central data processing costs. If the bid for funding is successful, the central CAPI programme will be made available to selected countries on a voluntary basis as part of an integrated suite of tools including the Fieldwork Management System (FMS) App for collecting Contact Form data and the Translation Management Tool (TMT). Further information will be provided in autumn 2019 once the outcome of the funding bid is known.

It is not currently anticipated that ESS ERIC will fund the use of the FMS App or TMT separately from a central CAPI programme. However, CentERdata have the resources to support countries in the use of these tools if national funding is available. Countries wishing to use either of these tools should flag their interest with their Country Contact in the first instance.

2.2 Minor changes compared to Round 9

ESS is increasing its efforts to address the issue of possible interviewer effects on data quality. As a result, two minor changes will be introduced to the Specification.

Additional Contact Form indicator

The introduction of a new indicator in the contact forms (see section 9.4.2) to indicate whether or not the person answering the door (and/or aiding the interviewer to determine the right person to interview in case of a selection within household or address) is the same person selected to be interviewed. This will help to monitor whether respondent selection is being implemented correctly.

Interviewer briefing checklist

An interviewer briefing checklist will be provided by the CST to the NC to ensure that interviewers are being briefed effectively with respect to the ESS's expected quality standards. The NC (or an independent observer) is required to attend at least one (and ideally each) interviewer briefing, complete this checklist regarding the briefing, and send it back to their assigned Country Contact.

Fieldwork period

The fieldwork period will be amended from 1st September 2020 - 31st December 2020 to 1st September 2020 - 31st January 2021. This is in recognition of the extra efforts that many countries now need to put in in the field to meet response targets. Fieldwork is expected to last for a minimum of 6 weeks and a maximum of 5 months.

2.3 Changes in Round 11

There are already a small number of changes foreseen for the future.

Time stamps

Given our aim to always improve on the data quality, the introduction of time stamps for interview quality control purposes is being considered. Time stamps can help to identify undesirable interviewer behaviour such as speeding through the interview or skipping questions. For ESS Round 10 we want to urge countries to seriously consider the feasibility of introducing time stamps in the interview process by adding them to the CAPI programme for each displayed screen.

Strategic review

The Director has ordered a strategic review of the ESS to take place in 2019-2020. The results of this review may result in changes being made in ESS Round 11 at the earliest and potentially larger changes in future rounds.

3. Key information on the survey

The European Social Survey (ESS) is an academically driven cross-national survey, founded in 2001. Since 2013, the ESS has been legally established as a European Research Infrastructure Consortium (ERIC). The Director of the ESS ERIC is Professor Rory Fitzgerald and the ESS ERIC Headquarters (HQ) are at City, University of London. The Core Scientific Team (CST, section 1) comprises HQ and six other institutions.

Survey data is collected biennially (every second year). The survey aims for optimal comparability, standardised approaches across countries and requires detailed documentation. Key characteristics of the survey are:

- Rigorous probability sampling procedures (section 8) and high target response rates (section 9.4.1) ensuring that the target population is adequately represented.
- Innovative and extensive questionnaire design and translation procedures followed by thorough assessment, aiming for optimal comparability across countries (section 7).
- Standardised fieldwork approaches with a high emphasis on training and briefing of interviewers, and extensive monitoring of fieldwork progress, thus ensuring optimal comparability across countries (sections 5.4 and 9).

- Face-to-face computer assisted survey administration ensuring that (almost) everybody can participate, and allowing a broad country coverage.
- Detailed documentation of survey processes, fieldwork, and outcomes, disseminated freely via the ESS ERIC website.
- Provision of support to NCs through expert teams and Country Contacts.
- Adherence to international quality and ethical procedures.
- Rigorous processing of data and metadata, and adherence to national and European data protection regulations, including the General Data Protection Regulation (GDPR).
- Free and equal access to data and metadata for non-commercial use.
- Provision of top-line summary booklets of the data to encourage non-academic interest in the findings.

The ESS ERIC Director will assign each country a 'Country Contact' (CC) to support National Coordinators through the monitoring of progress of each step of the survey life cycle and the provision of assistance (where necessary). Country Contacts have a global view of each country's achievements and challenges, and can identify areas where comparability across rounds and between countries might be failing. They also facilitate round-to-round improvements in each country.

4. Information for the General Assembly

Members, Observers and Guests of ESS ERIC have to ensure that the national costs for Round 10 can be fully met. This is an obligation for all groups of participating countries. In particular, Members, Observers and Guests should note the following:

The tasks of the National Coordinator (sections 7, 8, 9, 10 and 11):

- Communicating with the CST and attending biannual NC Forum meetings.
- Selecting and liaising with the Survey Agency.
- Completing a Data Management Plan and signing a Data Processor Agreement with the ESS ERIC.
- Ensuring data protection, anonymity and confidentiality and full compliance with the General Data Protection Regulation (GDPR).
- Participating in questionnaire development, translation and pre-testing.
- Discussing available sampling frames and sampling procedures with the Sampling and Weighting Expert Panel (SWEP).
- Providing a sampling frame.
- Preparing and monitoring fieldwork in collaboration with the CST.
- Overseeing interviewer briefings using the interviewer briefing checklist provided by the CST.
- Depositing data and other deliverables to the ESS Archive, and communicating with the ESS Archive.
- Adhering to national and institutional ethical procedures.
- Disseminating ESS findings and methodological outcomes.

The tasks of the Survey Agency (sections 5.4, 9, 10 and 11):

- Conducting the national pre-test.
- Programming the questionnaire and preparing other survey materials (e.g. showcards).
- Attending a Field Directors' Meeting.
- Briefing and training interviewers.
- Preparing for, planning, and monitoring fieldwork, including the back-check procedure and making a weekly upload to the ESS's central Fieldwork Management System (FMS).

- Conducting fieldwork resulting in a sufficient (effective) sample size and an agreed upon response rate.
- Delivering an interim data file.
- Preparing deliverables (see section 10.1).

For some sections there is overlap between the responsibilities of the NC and the Survey Agency. Both parties should conduct their activities within the timeframe outlined in this document.

In the next sections Members, Observers and Guests of ESS ERIC will be referred to as ESS ERIC Members, given that Observers and Guests have exactly the same obligations as Members with regard to fieldwork and data delivery.

ESS ERIC Members are encouraged to speak to the ESS ERIC Director and/or their Country Contact to reflect on experiences from the previous round and consider whether the resources provided were sufficient to meet the ESS Specification. Ideally, these conversations should take place prior to the invitation to tender.

5. National Coordinators and Survey Agencies tasks and activities

5.1 Introduction

According to the Statutes of the ESS ERIC (art. 13.6), each Member shall appoint and finance a National Coordinator (NC). The selection process of the National Coordinator will vary between countries according to local circumstances, conventions and requirements. The CST can advise on or assist in the selection process if required but must be consulted with sufficient time to ensure that the appointments comply with the ESS ERIC timetable.

The National Coordinator will:

- be a person of standing within the social science community of their country,
- be familiar at first hand with survey methodology and procedures,
- be knowledgeable about past national or sub-national studies of a similar nature,
- be fluent in spoken and written English,
- be willing to oversee the work of the survey organisation including the progress of fieldwork,
- have experience of cross-national research,
- be accepting of the ESS Specification,
- act as a data processor in full compliance with the General Data Protection Regulation.

Although most of the work will have to be done after March 2020, the NC should be appointed in time for them to make a general planning of the survey, (to help) to select the Survey Agency, and to comment on the question module design process between November 2019 and March 2020. The NC should not have any other key role within the ESS ERIC organisational structure.

In many countries there will be a National Coordinating team. As the NC is ultimately responsible for overseeing and coordinating the activities, we will simply refer to ‘NC’ in the following text. The NC team should together provide sufficient expertise covering all relevant areas of the survey life cycle to ensure a smooth ESS survey process.

The NC MUST ensure that national data (including summary outcomes and overviews) is not published or reported in any way before the release of the harmonised data file comprising their national data (sections 10.3 and 11.3).

5.2 NC workload and time budget

The workload of the NC will vary over the period of the survey. From previous rounds, it is clear that the bulk of the work is likely to take place during four periods for Round 10:

1) preparation of fieldwork and country questionnaires including translation (March – August 2020),
2) start of fieldwork and fieldwork monitoring (September 2020 – January 2021),
3) data preparation and processing (January – October 2021),
4) dissemination of results (November 2021 onwards).

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

It is anticipated that an NC will need to spend about 6 months full-time equivalent on their tasks in one round (over 24 months), if they were involved in previous rounds. New NCs will require considerably more time; countries that participate for the first time – or after missing one or more rounds – will need approximately 10 months full-time equivalent to perform their tasks.

5.3 NC activities

A detailed overview of NC activities before, during and after fieldwork is given in the next sections. The key roles of the NC are to coordinate activities of the ESS ERIC at a national level and ensure national compliance with the ESS Specification for that round. In addition, they are expected to contribute to strategic discussions about the ESS methodology and detailed discussions on ESS questionnaire design. The list of activities below is not intended to be exhaustive but provides a summary of the main tasks and responsibilities of the NC when preparing and overseeing implementation of the ESS in each country.

Communication

The CST Country Contacts (CCs, see section 3) will oversee and monitor the progress of each step of the survey life cycle and support NCs as necessary. NCs will liaise directly with the different CST work packages, but also with CCs on cross-cutting issues. CCs should be copied into all correspondence between the NC and CST work packages.

The NC will:

- serve as the link between the national ESS ERIC Member, the national Survey Agency, and the CST,
- be the primary point of contact with the CST/CC on all aspects of the ESS in their country for the current round for which they are appointed as well as for previous rounds in which their country participated,
- attend meetings of the ESS ERIC NC Forum (expected to take place in November 2019, April 2020, November 2020, and April 2021),
- possibly represent the NC Forum in other committees (e.g. CST, GA).

Implementation

The NC will ultimately be responsible for ensuring the implementation of the rigorous, standardised set of procedures and methods according to the pre-specified design and timetable outlined throughout this document. Certain tasks will be carried out by the NC, independent of the Survey Agency, whilst others can be carried out in cooperation with the Survey Agency. NCs' key tasks will include (but are not limited to):

Main questionnaire design (section 7.1)

- meet with and advise the ESS Question Module Design Teams (QDTs) on question content and construction and provide detailed comments on two or more drafts of the question modules,
- liaise with the CST on question adaptation and consultation processes as required (e.g. on measures of partnership status, education, religion, income and ancestry).

Production of country questionnaires (section 7.2)

- translate the English source questionnaires according to the ESS procedures,
- follow translation assessment steps:
  1) team review and adjudication,
  2) external assessment (verification),
  3) consideration of the harmonisation of formal characteristics of the questions, using SQP coding within a functional equivalence framework, and
  4) co-ordination and interpretation of national pre-tests to check the country questionnaire, CAPI programming and routing **before fieldwork** starts,
- discuss possible changes to existing translations, queries about new translations and possible adaptations with the ESS translation team,
- after formal sign-off of the translations, provide the CST with the final Translation and Verification Follow-Up Form (T)VFF, including information on follow-ups and documentation,
- deposit the final questionnaire(s) and showcards to the ESS Round 10 NC Intranet before fieldwork starts.

Sampling (section 8)

- discuss with and advise their assigned expert from the ESS SWEP on appropriate local procedures to comply with ESS sampling requirements, including maximising the effective sample size and ensuring that the sampling design is formally signed off by the ESS sampling panel **before fieldwork starts**,
- secure the best available sampling frame,
- deposit the Sample Design Data File (SDDF) to the ESS Archive at NSD so that the design weights can be produced and the national data can be included in the combined data file,
- provide national population estimates for demographic variables so that the post-stratification weights can be produced, and liaise with the CST when issues arise preparing those.

Selecting a Survey Agency

Unless the fieldwork will be conducted by the NC's organisation (or that organisation wishes to bid to conduct fieldwork), the NC team, as national survey experts, should be involved in selecting the Survey Agency.

It is recognised that, in many instances, countries will want to begin tendering for a Survey Agency as soon as possible. NCs are encouraged to have a discussion with their Country Contact (and any other relevant experts) prior to the invitation to tender to reflect on lessons learned from Round 9. This conversation should be held as early as possible, particularly bearing in mind that some areas for improvement may have budget implications.

During the tendering process (and subsequently) NCs should ensure that agencies are made aware that they may have to change or adapt some of their routine procedures and methods for the ESS in order to ensure cross-national comparability and equivalence.

To ensure that agencies deliver in terms of fieldwork effort, we recommend that contracts are structured so that payment is contingent on fieldwork inputs being fully realised (for example delivering at least the minimum ESS requirements in terms of contact attempts).

It is possible to tender the fieldwork for more than one round at a time. However, this should be done in such a way that reappointment for a second or subsequent round is contingent on a good performance in the initial round.

Fieldwork preparation (sections 5.4 and 9)

- Explain and discuss ESS procedures and their rationale with the Survey Agency (including the completion and use of the Contact Forms).
- Complete an online Fieldwork Questionnaire (FWQ) and discuss matters arising with the Fieldwork Team; ensuring sign-off at least **two weeks before fieldwork** starts.
- Send fieldwork projections to the Fieldwork Team at least **two weeks before fieldwork** is planned to start.
- Play a key role in the design and the delivery of face-to-face fieldwork briefings for interviewers, focusing on respondent recruitment, conduct of the interview and recording of contact attempts.

Fieldwork monitoring (section 9.6)

- Monitor fieldwork to ensure contract compliance and optimum response.
- Ensure all contact attempts during fieldwork are recorded in a pre-specified manner.
- Ensure that the Fieldwork Team receives at least **weekly** updates of fieldwork progress on **case level data** using the Fieldwork Management System in the format specified by the CST.
- Analyse an interim data file using syntax provided by the CST, for the purpose of interviewer quality monitoring.

Data preparation & deposit (section 10)

- Monitor data preparation activities.
- Check the data files as specified in the ESS Data Protocol, preparation for public use and quality control analysis aimed at improving ESS data collection in future rounds. Use of the national data for analytical purposes is not allowed until the first official release.
- Liaise as necessary with the SWEP about the calculation of post-stratification weights.
- Provide the CST with all electronic deliverables (including data and documentation) as specified in the ESS Data Protocol, and listed in section 10.1.
- Provide the name and email address of a contact person at the Survey

Agency to the CC and NSD. This person will only be included in correspondence directly related to deliverables and processing of data and documentation.
- Liaise as necessary with the ESS Archive about data deposit and data processing queries, including advising on post-stratification of national data and any weighting required.
- Act as the first national point of contact for queries relating to earlier waves of ESS data collection regardless of whether they were the NC at that time.

Data protection and ethics (section 11)

- Complete a Data Management Plan and sign a data processing agreement in their capacity as a Data Processor with the ESS ERIC Director (Data Controller).
- Ensure compliance by the NC team and by the Survey Agency with the General Data Protection Regulation, including documentation of all data breaches and that relevant parties are informed of any breaches.
- Ensure that institutional ethical approval for the ESS is obtained where required.

Dissemination

The NC will be responsible for promoting the use of ESS data within their country and reporting to the CST on these activities. National and international dissemination activities will contribute to the ESS ERIC's ultimate goal to make the ESS (and its data) as widely used among academics, policy makers and other relevant communities as possible. Dissemination activities can be related to national websites, national launch events, booklets, national top-line reports[3], etc. The ESS ERIC Media and Communications Officer at HQ can assist NCs with those tasks.

5.4 Requirements for the Survey Agency

The Survey Agency appointed in each country must be capable of, and have a track record in, conducting national probability-based surveys to the highest standards of rigour by means of CAPI face-to-face interviewing. All contenders will have to submit proposals and budgets according to the specification outlined in the next sections of this document.

The key tasks of the Survey Agency are preparing, conducting and monitoring of fieldwork as described in section 9, and processing data and preparing deliverables as described in sections 10.1 and 10.2. In some instances, the fieldwork agency may also be involved in sample design (section 8).

The Survey Agency will be asked to confirm adherence to the Declaration on Ethics of the International Statistical Institute, in addition to any co-existing national obligations that they may have (see footnote 2). **The Survey Agency must also undertake to adhere to the General Data Protection Regulation (GDPR) and national laws. Provision for this must be included in the contract with the Survey Agency and NC.**

Communication

The Survey Agency will have to discuss fieldwork procedures, progress and outcomes with the NC in every phase.

[3] www.europeansocialsurvey.org/findings/topline.html

Before the start of fieldwork, a Fieldwork Questionnaire (provided by the CST) must be completed by the NC. The Fieldwork Questionnaire is meant to aid NCs/Survey Agencies adhere to the present ESS Specification. The Fieldwork Questionnaire must be discussed with the CST and be signed off by them at least 2 weeks before the start of fieldwork. ***In many cases, input from the Survey Agency will be required.***

Survey Agencies will have to closely monitor fieldwork progress to allow the NC to provide at least weekly information to the CST on fieldwork progress (see also section 9.6.2), alert these when something untoward happens, help them prepare deliverables and provide information requested by the ESS Archive at NSD.

Survey Agencies must also follow all instructions given by the Data Controller (ESS ERIC Director) and report any data breaches to ESS ERIC HQ and to the National Coordinator at once.

Field directors from Survey Agencies are expected to attend one Field Directors' Meeting in spring 2020. This is usually held in The Hague, Netherlands.

Deposit of raw data to the ESS Archive

In recognition of the large amount of resources put into the collection of the ESS data, it is required that the participating countries deposit raw, unedited data and verbatim recorded answers to the official ESS Archive at NSD, Norway. This is to ensure that copies of the un-edited raw files are saved for possible future use and checks. The raw data and sample design data will not be released to the public from the ESS website, but will be stored in a safe environment in accordance with the Data Processing Agreement between the ESS ERIC and the ESS Archive (NSD).

If national laws and regulations in countries outside the EU/EEA should prohibit the permanent deposit of raw data to the ESS Archive, the Survey Agency must commit to safely store and maintain the raw data for a minimum of 10 years. The ESS ERIC Data Protection Officer must be notified before any destruction of ESS data, with an identified person at ESS ERIC HQ in copy to this correspondence.

5.5 Summary of Survey Agency tasks

The Survey Agency will conduct ESS fieldwork according to the present Specification. The ESS fieldwork collection phase will last at least six weeks and at most five months within a five-month period between 1st September 2020 and 31st January 2021[4] (see timetable in section 6).

Tasks of the Survey Agency include, but are not limited to, the following activities:

- programming the questionnaires – including an electronic Contact Form – and designing (and, where necessary, printing) other fieldwork materials (for example showcards),
- testing routing and completeness of questionnaires,
- pre-testing the translated questionnaire(s),
- training, briefing, and overseeing interviewers,
- preparing, translating and sending advance materials (advance letters, ESS brochure),
- sampling implementation (samples of individuals, households or addresses),
- developing and implementing measures to enhance response rates (e.g. incentives),

[4] Deviations from either the length or the time window of fieldwork must be discussed and agreed upon in advance with the CST.

- data collection: conducting interviews, completing Contact Forms and interviewer questionnaires,
- NCs (in collaboration with the Survey Agency) are required to have their fieldwork plans discussed and approved by the ESS Fieldwork Team at least two weeks prior to the start of fieldwork using the online Fieldwork Questionnaire,
- monitoring interviewers’ and fieldwork progress, and providing case level fieldwork progress information to the CST (via the FMS),
- providing the NC with at least one interim data file during fieldwork after one third of the target number of interviews has been achieved,
- reporting to/consulting with the NC and, if necessary, with the CST any measures or interventions not previously planned that are implemented during fieldwork,
- following up and clarifying situations where possible poor interviewer behaviour might have occurred,
- carrying out the ESS back-checks procedure (see section 9.6.4),
- cleaning and editing data files,
- coding and classifying data,
- (helping) prepare data files and documents.

6. Timetable of ESS activities and overview of key documents

6.1 Overview of actions required before, during and after fieldwork

Table 1: ESS Round 10 Project Timetable (June 2019-October 2021)

Month/Date	*Action*	*Section*
June '19	ESS ERIC Round 10 Specification issued to General Assembly (Members, Observers and Guests), NCs and Survey Agencies	
June-Sep '19	ESS Round 10 pre-testing of questions for items from rotating modules in the main questionnaire – including quantitative testing (organised by ESS ERIC HQ) and cognitive interviewing (in a small number of selected countries)	7
Nov '19-March '20	Appointment of NCs and Survey Agencies. Signing Data Processing Agreements including Data Management Plans	5, 11
Sep-Dec '19	Advance Translation (a small number of selected countries) (rotating modules), Pilot Fieldwork (2 countries) (rotating modules)	7
Feb '20	Penultimate draft main questionnaire sent to NCs for comments; NCs asked to highlight possible translation problems	7
Feb-June '20	Sample design plans discussed between NCs and assigned sample panel member & signed off by the Sampling and Weighting Expert Panel (SWEP)	8
March '20	Link to Fieldwork Questionnaire (FWQ) sent to NCs	9
March-July '20	FWQ completed by NCs and signed off by ESS Fieldwork Team	9
31 March '20	ESS Round 10 NC Intranet area opens for NCs ESS Round 10 Source Questionnaires distributed	7
April-Aug '20	Question adaptation and consultations with CST	7
April-Aug '20	Translation, Team review and adjudication, External assessment (Verification), Harmonisation of formal characteristics of the questions using SQP coding, and national pre-tests[5]	7
June '20	ESS Round 10 2020 Data Protocol and dictionaries distributed	9
July '20	Fieldwork projections to be sent to the Fieldwork Team	9
August '20	Interviewer Briefings	9, 11
Sep '20	National Technical Summary (NTS) made available	10
	ESS Round 10 Fieldwork starts	
Sep '20- Jan '21	Monitor fieldwork: Make weekly fieldwork progress information available to the Fieldwork Team	9
31 Jan '21	ESS Round 10 Fieldwork ends	9
28 Feb '21	Data delivery to the ESS Archive	10, 11
March-Oct '21	Data processing and Archiving[6] Preparation of Sample design data file (SDDF)	8, 10
Oct '21	1st data release expected	

The flow diagrams below illustrate the ESS life cycle; the different tasks and primary responsibilities of the CST are indicated by pink boxes and those of NCs are indicated by blue boxes.

[5] Note that the timing for translation, translation verification, SQP coding, country pre-testing of translations, interviewer briefing, fieldwork, etc. will vary depending on individual country timetables.

[6] The ESS Archive at NSD will check and merge the national data files into a combined multi-nation data file that will be released publicly as soon as it is signed off by the CST. This initial release may, however, have to exclude any national data file that arrives after the deadline of 28 February 2021, or for which the data and/or technical documentation is late or incomplete. A final release will be made after all countries that have met the requirements in section 10 have submitted data and documentation.

Figure 1. ESS life cycle

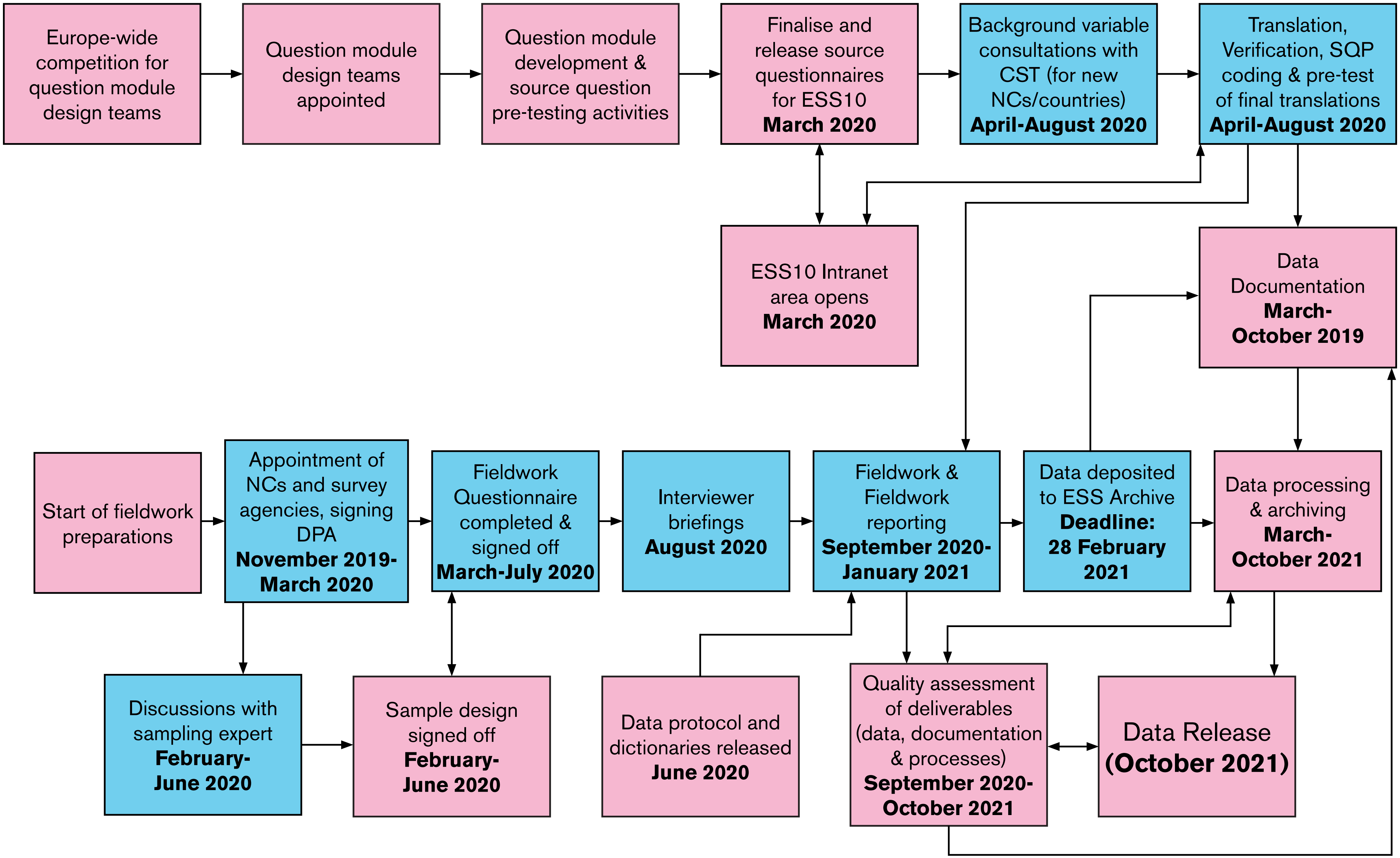


Figure 2. Source questionnaire Development and Pre-testing

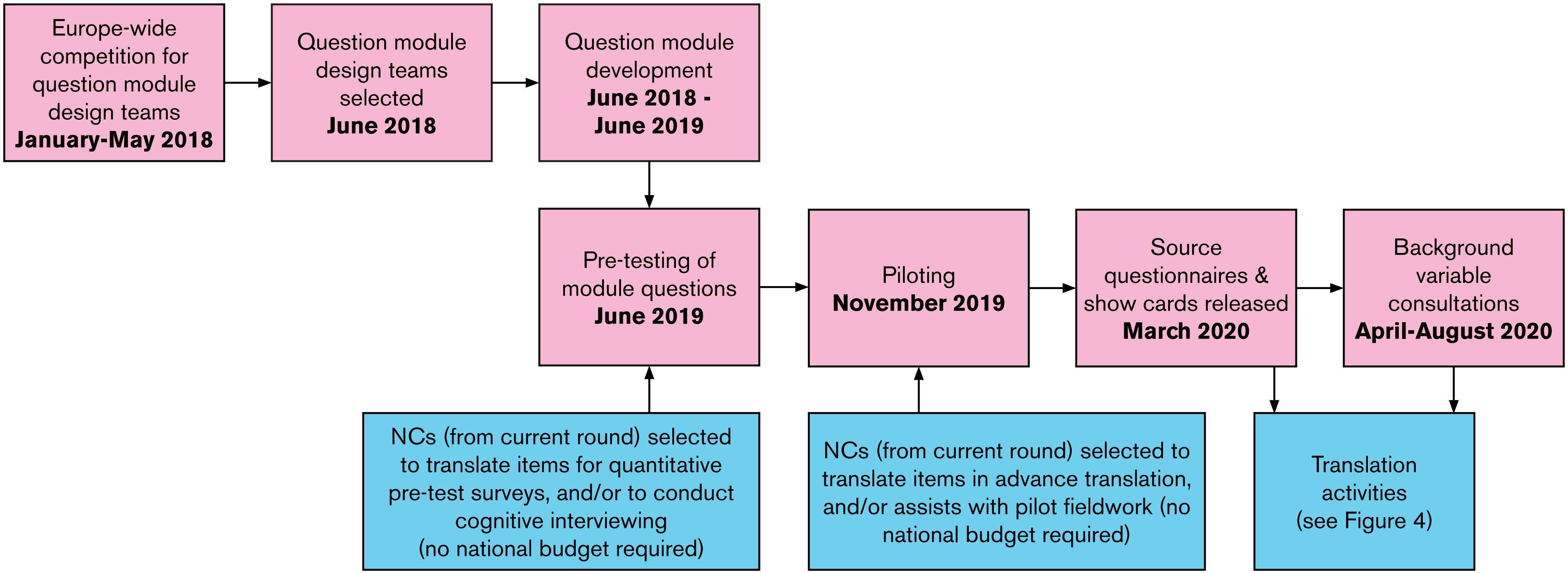


Figure 3. Sampling and Fieldwork

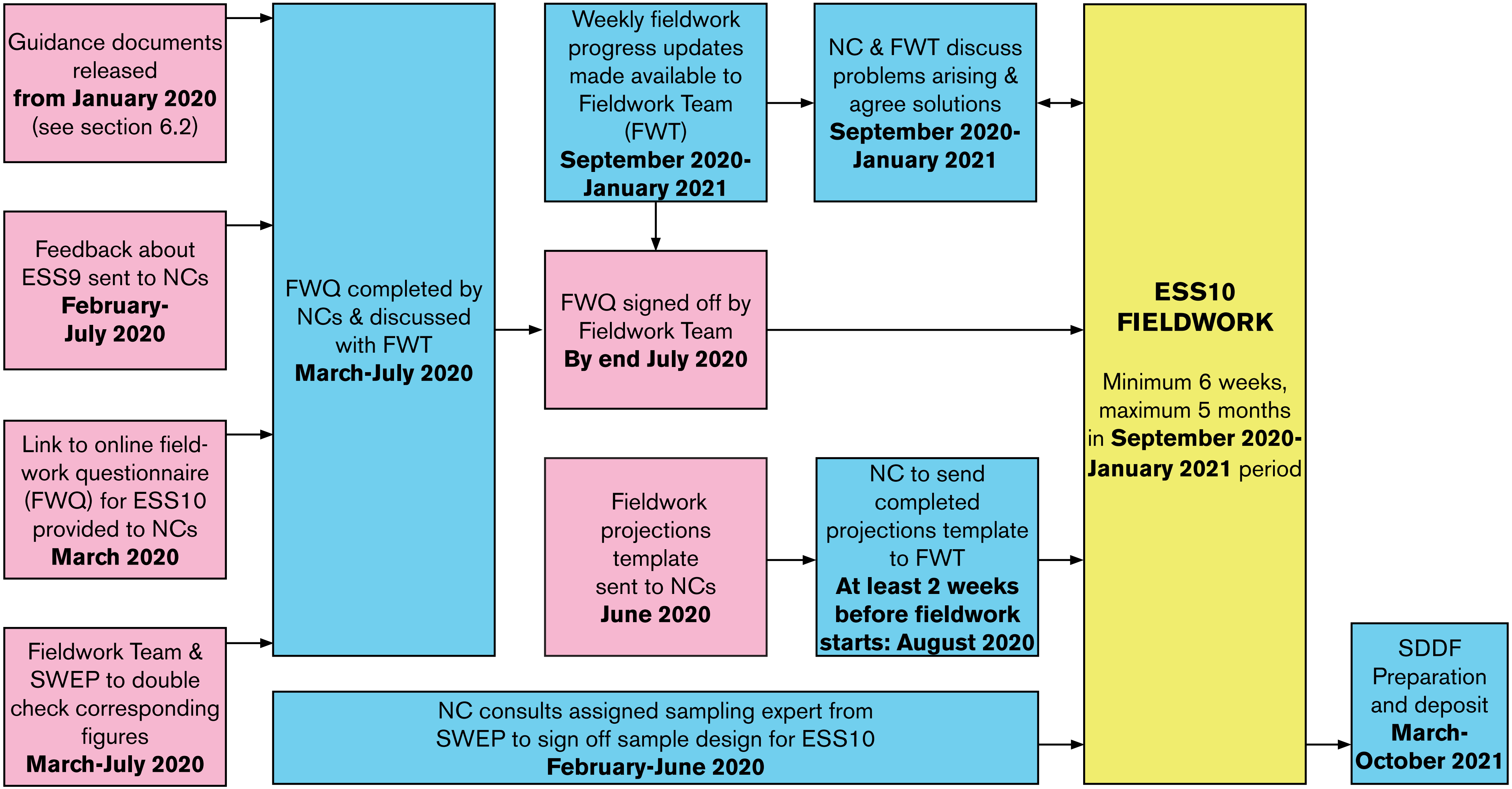


Figure 4 - Producing Country Questionnaires: Translation, External Assessment, Harmonisation of formal characteristics of the questions and Pre-testing

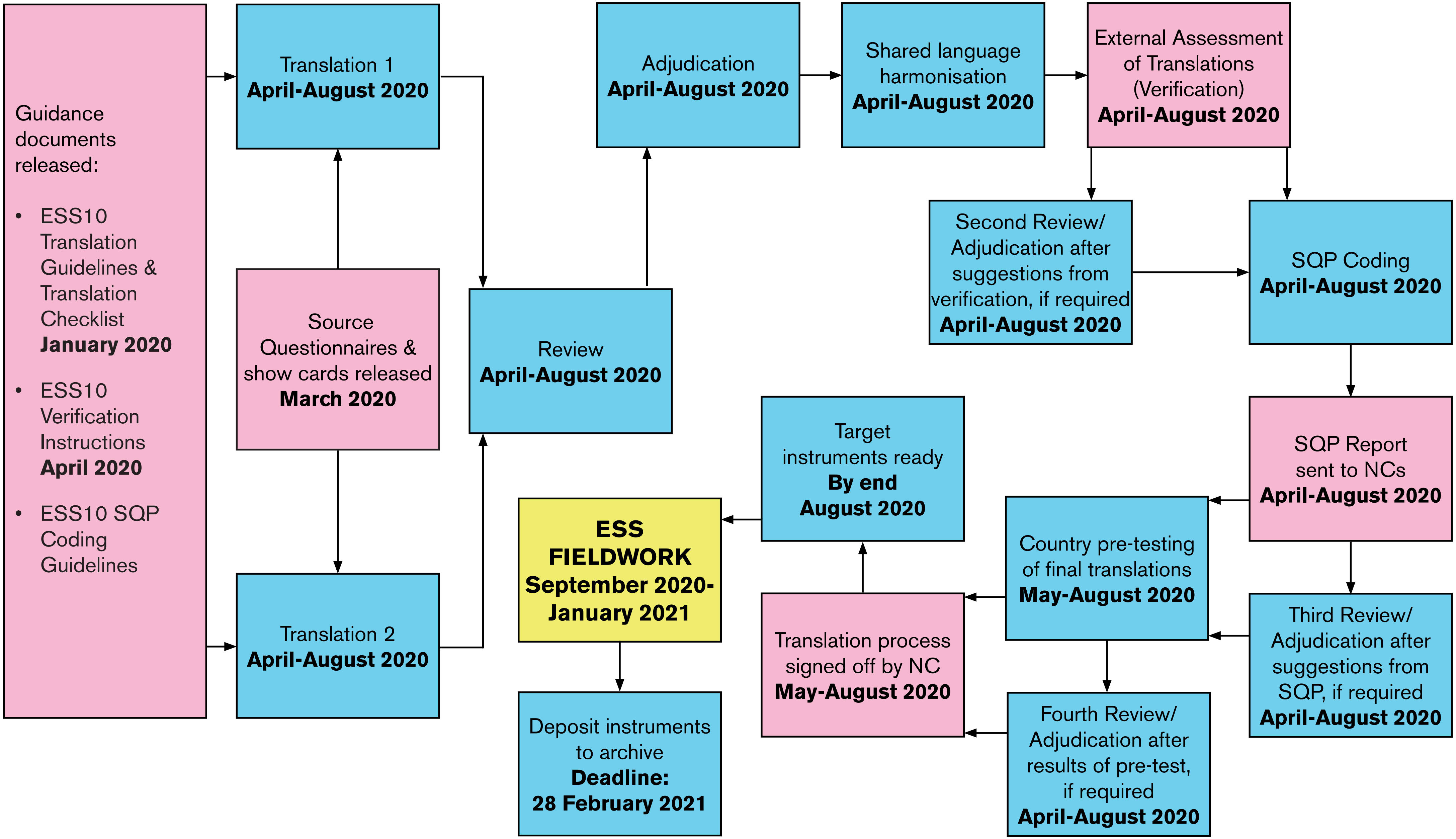
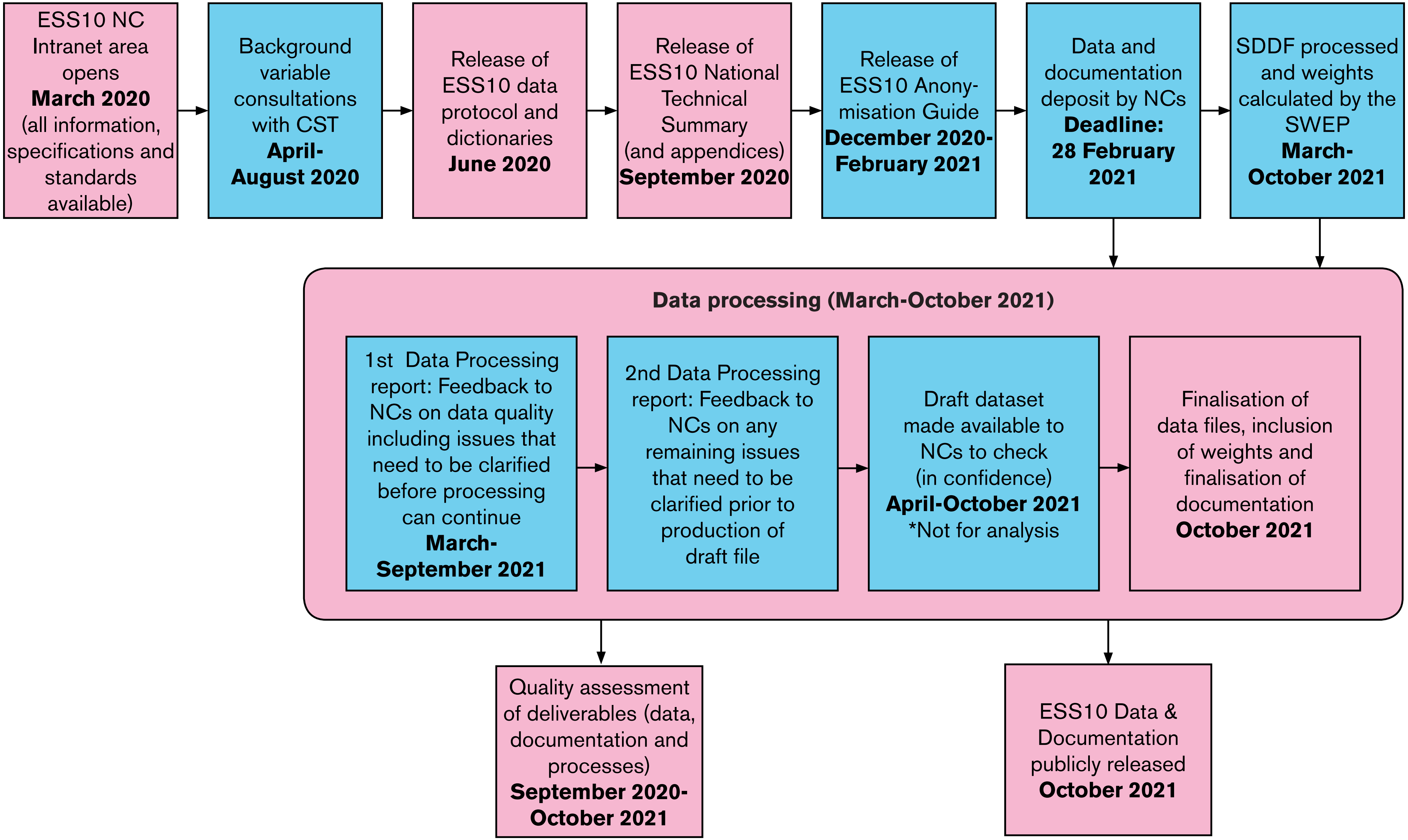


Figure 5. Data Preparation, Processing and Archiving



6.2 Key documents

All Round 9 versions of the documents listed below are included in the zipped file ('ESS Manual') that accompanies the Specification[7]. The Round 10 versions will be made available on the dates specified below. The username and password for the ESS Round 10 NC Intranet will be provided to all NCs when it opens in March 2020.

Table 2: Key documents

Document name	*Section*	*Round 10 Publication date (2020)*	*Source*[8]
Data Processing Agreement	11	31 Oct 2019	By email, then ESS10NC-intra
Sampling Guidelines	8	January	By email, then ESS10NC-intra
Translation Guidelines Translation Quality Checklist	7	January	ESS10NC-intra
Fieldwork Questionnaire (FWQ)	9	March	Link to online FWQ will be sent to NCs by email
Source Questionnaire and showcards	7	March (end)	ESS10NC-intra
Information Brochure to respondents	11	April	ESS10NC-intra
SQP Coding Guidelines and SQP User Manual	7	April	ESS10NC-intra
(Translation and) Verification Follow-up Form (T)VFF Verification Instructions	7	April	ESS10NC-intra
Example Contact Form	9	April	Available on request from HQ (different versions depending on the sample design)
Guidelines on fieldwork monitoring using FMS and syntax for interview quality monitoring	9	May	ESS10NC-intra
NC Manual (including Interviewer Briefings)	9	May	ESS10NC-intra
Interviewer Briefing Checklist	9	May	ESS10NC-intra
Fieldwork Projections Template	9	June	ESS10NC-intra
ESS Data Protocol and dictionaries	9	June	ESS10NC-intra
National Technical Summary & appendices	10	September	ESS10NC-intra
Anonymisation Guide	11	December	ESS10NC-intra

[7] See www.europeansocialsurvey.org/methodology/ess_methodology/survey_specifications.html
[8] Almost all documents will be available via the ESS Round 10 NC Intranet (ESS10NC-intra, for short). Some are available on request, or will be sent by email.

7. Preparing the questionnaires

7.1 The ESS source questionnaire

The ESS source questionnaire is the original British English questionnaire that needs to be translated into the target languages in the participating countries. It consists of two parts:

- Main questionnaire (core module and rotating modules, as well as the MTMM test questions),
- Interviewer questionnaire (to be completed by the interviewer after each interview).

An Overview of the ESS Main Questionnaire Design Process

The ESS questionnaire is the responsibility of the CST. Rotating modules are developed in conjunction with the Question Module Design Teams (QDTs).

NCs are expected to
- meet with and advise QDTs on question content and development, providing detailed comments on two or more drafts of the question modules,
- liaise with the CST on question consultation processes as required (e.g. on measures of partnership status, education, religion, income and ancestry).

NCs are also responsible for
- production and assessment of the national (translated) questionnaire according to the procedures outlined by the CST, including:
    - translation of the English source questionnaires,
    - team review and adjudication,
    - shared language harmonisation, if applicable (with or without CST involvement, depending on the language),
    - external assessment (verification – note: costs covered by the CST) and harmonisation of formal characteristics of the questions using SQP coding (note: NCs need to complete the SQP coding process),
    - coordination and interpretation of national pre-tests, CAPI programming and routing.

All these procedures are to be completed and signed off by the CST before fieldwork starts.

Country-specific questions
NCs may add country-specific questions to the questionnaire, but only after discussion and sign-off by HQ (see section 7.1.5 below). By signing off the country-specific questions, ESS ERIC undertakes to define the scope and purpose of the items to ensure it can act as Data Controller for those items.

The ESS main questionnaire is administered to all respondents using face-to-face computer-assisted interviewing (CAPI).

The total interviewing time in British English will take an average of 55-60 minutes (excluding optional country-specific questions, the interviewer questions, and general administration of the contact procedures). Please note that interview lengths in other languages may vary and will sometimes take significantly longer than in British English. **Funders should ensure that a reasonably reliable prediction of interview length is made based upon earlier rounds of ESS or, if participating for the first time, based upon involvement in other cross-national projects.**

7.1.1 The main source questionnaire

The ESS main questionnaire contains a 'core' module, which largely remains the same each round[9]. The core questionnaire is being reviewed ahead of Round 10 and some changes are expected – including the possible introduction of a short self-completion element for a few sensitive items – but the number of changes will be kept to a minimum.

In each round, there are also two short 'rotating' modules, which are developed by competitively-selected, multinational Question Module Design Teams (QDTs) in collaboration with the CST. In Round 10, these modules focus on:

- Digital Social Contacts in Work and Family Life (*new*)
- Europeans' Understandings and Evaluations of Democracy (*repeat module with at least 20 items also fielded in the Round 6 module*)

The final Round 10 main questionnaire and showcards will be available to NCs at the end of March 2020.

7.1.2 The test questions (MTMM experiments)

To evaluate the measurement quality of selected items, the questionnaire contains so-called "test questions". The first set of items appears about half way through the questionnaire and a repetition of those items is fielded at the very end of the questionnaire. The repeat measures are based on the first set of test questions but are asked in a slightly modified form to facilitate quality assessment. Repetition is necessary in order to determine measurement errors and the reliability of the items. In order to allow model estimation without overburdening respondents, the sample is split into subgroups, each group getting a different set of test questions.

7.1.3 The interviewer source questionnaire

Interviewers are asked to code information about how each interview went for the respondent and whether or not anyone else was present during the interview. This would normally be completed by the interviewer after the end of the interview but before packing up and thanking the respondent. Alternatively, it may be completed once the interviewer has left the household but soon enough that the interviewer can remember all of the relevant details.

Note that interviewers need to be informed that this data will be handled and stored in the same way as for respondent data. Interviewers should be informed that the Survey Agency would be able to identify the answers they give to these questions. Note that interviewer identifiers deposited to the ESS Archive should not be the same as in previous rounds or as in other surveys[10].

7.1.4 Showcards

Showcards should reflect the translation used in the source questionnaire. Occasionally there is additional text on the showcards, which should be translated according to ESS procedures. The visual appearance of the showcards should also reflect that of the source showcards and should not be altered.

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[9] See www.europeansocialsurvey.org/methodology/ess_methodology/source_questionnaire/

[10] If the identifier contains characteristics of the interviewer, for instance a reference to a geographical area, it should be replaced before deposit. For anonymity reasons, please ensure that these identifiers are not the same as in previous ESS rounds or as in other surveys of the Survey Agency.

7.1.5 Adding country-specific questions

Country-specific questions must be inserted after the ESS questionnaire. NCs must consult with HQ before each round if adding country-specific questions. The CST will then decide whether to approve the inclusion of the items. Once this approval is given, ESS ERIC will then be the Data Controller for those items. ESS ERIC reserves the right to refuse a request if the length or topic are considered detrimental to cross-national quality or to the reputation of the survey.

When thinking about adding country-specific questions, please bear in mind and avoid

- adding too many questions so that the questionnaire becomes too long,
- adding questions that clash with content of the questionnaire, are sensitive or are intruding.

Country-specific questions must be treated in exactly the same way with regard to data collection and processing as the main questionnaire.

7.2 Producing country questionnaires

Producing country questionnaires that are comparable (functionally equivalent) to the source questionnaire is of great importance. A key to achieving this is to carry out careful translation and adaptation procedures. The ESS translation procedures have been developed to optimise comparability across languages, to minimise the probability of errors, and to maximise the chances that concepts in the source questionnaire will be the same in every language after translation.

Languages and Target Population
The ESS target population includes all residents in each country, regardless of whether they can speak the main language(s) comfortably. Therefore, to ensure that the populations of the participating countries are optimally covered given constrained budgets, translations are required for each language used as first language by 5% or more of the population.

NCs may wish to consider producing ESS questionnaires in languages used as a first language by less than 5% of the population in order to be inclusive, increase representativeness and boost response rates. Note that all language versions must be produced according to the ESS committee approach for translation (see the guidance documents). Implementation issues must be discussed with the CST fieldwork and translation teams.

The translation protocol requires the following steps, based on the TRAPD process:

- questionnaire translation using a committee or team approach ('TRA' in TRAPD), including shared language harmonisation if applicable;
- external translation assessment by linguistic experts of all translated language versions; for Round 10, this will be carried out in the form of 'translation verification' by the external service provider cApStAn (www.capstan.be) and the costs of this part are met by the CST;
- shared language harmonisation, if applicable (with or without CST involvement, depending on the language);
- harmonisation of formal characteristics of the questions using SQP coding to compare formal characteristics of the translated questions with those in the source language;
- national pre-testing ('P' within the TRAPD scheme).
- sign-off on translations and documentation of the translation process ('D' in TRAPD).

All stages in the translation protocol MUST be completed before the start of fieldwork.

> **Guidance Documents for Translation Procedures**
> Detailed descriptions of the translation procedures and requirements, harmonisation across shared languages, verification, and the choice of suitable personnel referred to in section 7.2 are available in the ESS Round 10 Translation Guidelines.
>
> Other steps to be followed are outlined in the following documents:
> - ESS Round 10 Translation Quality Check List
> - ESS Round 10 Verification Instructions
> - ESS Round 10 (Translation and) Verification Follow-up Form (T)VFF)
> - ESS Round 10 SQP Coding Guidelines
> - ESS Round 10 SQP Codebook
> - ESS Round 10 Guidance on making changes to existing translations
> - Guidance for translation in languages spoken by less than 5%
>
> In addition, please also consult the following document:
> - ESS Round 10 Translation Queries and Answers (available in summer 2020 only).

7.2.1 Translation procedures (TRA in TRAPD)

Each country translates the source questionnaire into those languages spoken by 5% or more of the population. NCs are required to find suitable individuals to fulfil the three key roles in the approach: translators, reviewer, and adjudicator.

> **Consistency Across Rounds**
> One of the aims of the ESS ERIC is to chart changes in attitudes over time. This will be difficult if question texts change over time. For this reason, changes to question wording should be avoided if possible. Countries that have participated in previous rounds of the ESS should note that **changes to their translations of questions in the core module of the ESS questionnaire and of repeated questions from repeat rotating modules MUST NOT be implemented without approval from the ESS translation team at GESIS and ESS ERIC HQ.**
>
> One advantage of pursuing consistency is that, for countries that participated in earlier rounds, a substantial part of the translation work will already have been carried out.

If applicable, countries should engage in shared language harmonisation (e.g. for French in Belgium, France, and Switzerland). Each country will prepare their own draft version and will then consult each other about appropriate translation and possible harmonisation of question wording. However, each country is responsible for ensuring the functional equivalence of its own translation(s). The different options recommended for this 'shared language harmonisation' step are outlined in the ESS Round 10 Translation Guidelines.

7.2.2 Expert evaluations

All translated language versions are subject to two expert evaluation procedures: a linguistic, pragmatic and semantic quality assessment (verification) by the external service provider cApStAn, and harmonisation of formal characteristics of the questions to detect inconsistencies as compared to the source questionnaire and eliminate these where possible (via SQP). In the case of some shared languages, CST involvement in the harmonisation will be a substitute for external verification by cApStAn.

NCs should set aside approximately **6-8** weeks for the entire translation verification process, including discussions resulting from verification interventions. Translation verification is described in more detail in the ESS Translation Guidelines and in the Verification Instructions.

NCs are required to participate in an evaluation of 'formal differences' between their national language versions and the source version for a sample of items. Using the coding system implemented in the Survey Quality Predictor (SQP) platform, NCs will assign codes to describe the item characteristics. CST members will have completed coding of these items in the source version, and will compare the resulting codes to those submitted by the NC in each participating country. The CST will then send a report to the NC providing information and suggestions for harmonisation that are meant to help improve the comparability across all ESS country versions in Round 10 and in the future.

SQP coding by the NC may take **2-4** days in total.

Harmonisation of formal characteristics of the questions using SQP
The objective of this process is to prevent unnecessary deviations between the source questionnaire and the country versions by comparing a number of formal characteristics of the items. SQP coding is also meant to improve language versions by making NCs more aware of the choices that are made in translation, and the impact these choices can have on comparability, validity, and reliability of the questions.

7.2.3 National Pre-testing (P in TRAPD)

All translated questionnaires must be pre-tested following the completion of external assessment (verification) and SQP coding. The key aims of the pre-test are to check the layout of CAPI programming and routing, and to check whether questions and answer scales are clear, complete and correct. The pre-test is not an opportunity to amend the source questionnaire but it may lead to changes to the translations, which should be discussed with the ESS translation team.

Pre-testing Techniques
In the pre-test, time stamps could be added in the questionnaire, making it possible to analyse the duration of question blocks and identify problem areas.

In addition to the regular pre-test, countries are strongly encouraged to tape record interviews, conduct respondent and/or interviewer debriefs and use cognitive interviews during the pre-test. This will provide additional information on the understandability of the translated questions and their equivalence to the source questionnaire.

As part of the TRAPD scheme, pre-tests have an important function for testing whether translations are correctly and easily understood by the target populations. This step should be set up and analysed systematically, given its importance for the translation process.

All countries MUST cost for 30 interviews in a standard field test with interviewer debrief. Countries choosing to use the ESS central CAPI programme (if available) would need to allow for additional cases.

The pre-test is to be conducted by the **Survey Agency** that will conduct the fieldwork. A quota-controlled, demographically-balanced sample of at least 30 people should be used.

7.2.4 Translation sign-off and documentation (D in TRAPD)

After completion of all translation steps, external assessment (verification), harmonisation of formal characteristics of questions using SQP, and pre-testing, NCs are asked to submit their translations for sign-off and to document the process of producing the country questionnaire(s).

Depending on the platform that the national teams use for their translations, this will consist in a finalised (T)VFF or in updating the TMT, if available. Documentation should include:

- follow-up on the verification results,
- follow-up on SQP coding results,
- follow-up on shared languages reconciliation, if applicable,
- follow-up on pre-testing results, if applicable,
- any changes made to existing translations, and
- documentation of the role and qualifications of the different people involved in the translation, review and adjudication process: translator 1, translator 2, reviewer, adjudicator, and any other people involved, if applicable.

This documentation should be sent to the ESS translation team at GESIS: ess_translate@gesis.org. To make documentation available to data users, analysts and other researchers who wish to learn about the ESS procedures, the final (T)VFF / a final export from TMT, if available, will be uploaded to the ESS Round 10 NC Intranet and may later be shared on the ESS website.

After formal sign-off of the translations, NCs are asked to provide the CST with the final translated questionnaires and showcards via the ESS Round 10 NC Intranet before fieldwork starts. This will later be published on the ESS website.

8. Sampling

High quality probability sampling is part of the foundation of high quality survey data. A separate document provides detailed **Sampling Guidelines** which each country must follow. This will be made available in January 2020 via email and later via the NC Intranet. Key aspects of those Guidelines are summarised here.

8.1 Sampling principles and procedures

Every country will be assigned a contact person from the ESS Sampling and Weighting Expert Panel (SWEP). The NC, the sampling expert, and possibly a representative of the Survey Agency will develop the optimum sampling design for each participating country. The design must be signed off by the SWEP before the sample can be selected.

Scientific sampling procedures will ensure that every member of the population under study has a known probability greater than zero to be part of the survey. The sample is to be selected by strict random probability methods at every stage. The relative selection probabilities of every sample member must be known and recorded. **Quota sampling is not permitted at any stage, nor is substitution of non-responding households or individuals (whether 'refusals', 'non-contacts', 'not able' or 'ineligibles').**

The ESS will be representative of all persons aged 15 and over (no upper age limit) resident within private households in each country, regardless of their nationality, citizenship or language. Potential under-coverage of certain areas, because of sampling frame deficiencies or for any other reason, must be discussed with the SWEP contact person prior to deciding on the final sampling method, so that the problem can be remedied if at all possible.

Oversampling
Oversampling of geographic areas or population subgroups within countries, e.g. Northern Ireland or Eastern Germany, is allowed. Appropriate weighting procedures will adjust for unequal inclusion probabilities.

The SWEP strongly recommends using stratified sampling – at least of primary sampling units (PSUs). This is expected to increase the effective sample size.

Sampling frames
Where a sampling frame of individuals is not available, or lacks sufficient coverage, countries may use a sampling frame of households or of addresses. In these cases, procedures for selecting a household from a multi-household address (where appropriate), and an individual within a household, will be specified and agreed in advance with the SWEP, in accordance with the Guidelines.

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

8.2 Effective sample size

The minimum 'effective achieved sample size' (n_{eff}) must be 1,500, or 800 in countries with ESS populations (aged 15+) of less than 2 million after discounting for design effects. With the help of the SWEP, each country should determine the appropriate size of its initial issued sample by taking into account the realistic predicted impact of clustering, variation in inclusion probabilities (if applicable), eligibility rates (where appropriate), and response rate. The SWEP will assist in the calculation of the gross sample size required in order to achieve an effective sample size of 1,500 (800) interviews. Note that in some cases (e.g. complex multi-stage sampling design) the required number of completed interviews may be considerably larger than the required effective sample size. The gross sample size issued to field must be the one agreed on and signed off by the SWEP.

Where a country fails to meet the effective sample size requirement in the most recent round of fieldwork, efforts must be made to meet this in the next round and the cost implications should be considered by the funder.

8.3 Documentation of sampling procedures

The precise sampling procedures to be employed in each country, and their implications for representativeness, must be documented in full in the **Sample Design Summary** and submitted in advance of fieldwork to the SWEP for 'signing off'.

A sample design data file (SDDF) must be produced by each country and delivered to the CST. It must contain all information about the sample design for each unit in the gross sample, such as inclusion probabilities at each stage and indicators of cluster, stratum and domain. A full and detailed specification of the SDDF is provided in the ESS Data Protocol. Failure to deliver the sample design data file (SDDF) will be considered an irreparable compromise to quality (see section 12).

Sampling information required

The following details will be required before the SWEP can 'sign off' a country's sample design:

- a description of the target population and of any systematic exclusions due to frame imperfections;
- a description of the sampling frame and of the units it comprises at all stages of the design (including information on units that might be used either to stratify the sample or to vary probabilities of selection for certain subgroups, and estimates of any likely under-coverage, over-coverage and ineligibles);
- for those using multi-stage samples: a description of how the units at each stage will be selected to result in a random sample of individuals, plus the inclusion probabilities of units at each stage of selection;
- details of whether and how the sample is to be clustered geographically, and how the initial clusters are to be selected;
- full details of any stratification to be employed;
- the calculations on which the predicted effective sample size has been based;
- realistic and reliable predictions of design effects (due to clustering and due to unequal inclusion probabilities), response rates, the rate of ineligibles and the required number of interviews as well as the required number of elements to draw the initial sample (gross).

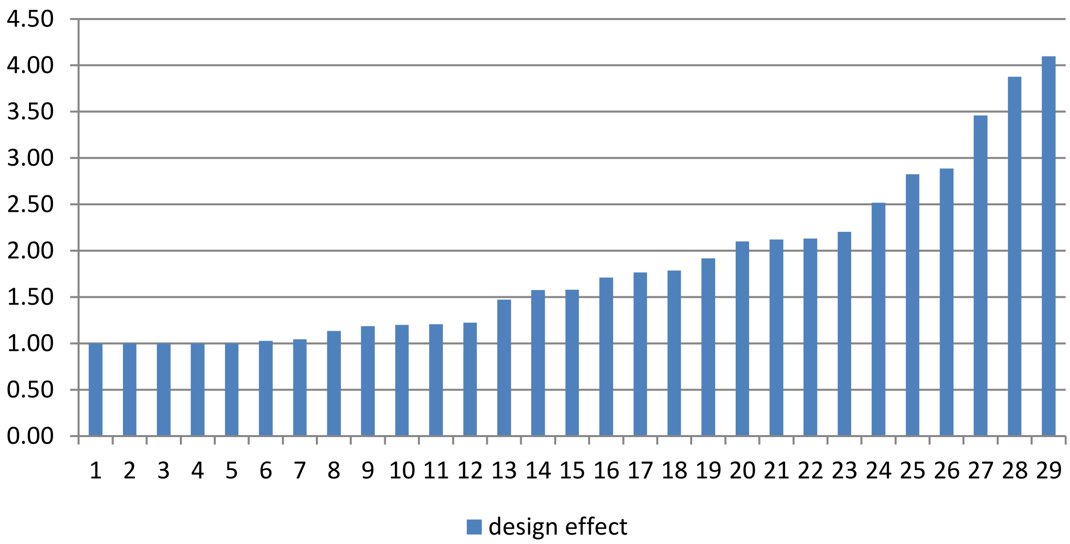
The final sample design will also be fully documented by each NC. This documentation will be translated into one or more variables within the national data file to indicate the relative selection probabilities of cases and to enable appropriate weighting strategies. See section 11 for information about data protection assured by the ESS Archive at NSD.

Number of interviews and effective sample size

The effective sample size is a function of the number of interviews, a correction for household size (for samples of households and addresses), a correction for other possible differences in selection probabilities, and a correction for intra-class correlation within Primary Sampling Units (PSUs). Information from ESS Round 6 (see graph below) shows that in a number of countries the design effect is 1. This means that 1,500 interviews result in an effective sample size of 1,500. In other countries the design effect is close to 4. This means that 1,500 interviews result in an effective sample size of 375, or – alternatively – that 6,000 persons have to be interviewed to achieve an effective sample size of 1,500.

There are four ways to minimise the design effect:
- if possible, move to an individual sampling frame;
- increase the number of PSUs, and thus decrease the number of units within a PSU;
- deploy different interviewers within the same PSU;
- improve interviewer training and briefing to decrease interviewer effects.

See the Sampling Guidelines on the ESS Round 10 NC Intranet.



9. Specification for fieldwork

Fieldwork responsibilities

The NC is responsible for the national implementation of fieldwork, the monitoring of fieldwork and the deliverables. The Survey Agency will conduct fieldwork according to the specification in this section, and according to the national elaboration and details of the Fieldwork Questionnaire. The Survey Agency will also have to provide information on the progress of fieldwork, to make monitoring by the NC and the CST possible, and play a supporting role in the preparation of deliverables (section 10).

The tasks of the Survey Agency will have to be clearly specified in each country. In some cases, there can be a division of labour between NC and Survey Agency. In all cases, close communication with the NC is required.

9.1 Preparing the questionnaire

The ESS questionnaire has been prepared by the CST in cooperation with Question Module Design Teams (QDT) and the NCs. A key task of the Survey Agency is to programme the CAPI questionnaire and an electronic Contact Form, and prepare all other fieldwork documents (advance letters, showcards, etc.).

We strongly encourage countries to include time stamps for each displayed screen in their CAPI programme. Time stamps are a valuable way of monitoring interview quality, helping to detect undesirable behaviour such as speeding.

Before fieldwork starts, translated questionnaires must be pre-tested (see also section 7). The key aims of the pre-test are to check the CAPI programming and routing, and to check whether questions and answer scales are clear, complete and correct. **The pre-test is not an opportunity to amend the source questionnaire.** A quota-controlled, demographically-balanced sample of at least 30 people should be used.

9.2 Interviewer briefing and workload

In each country, a sufficient number of interviewers should be engaged to conduct the ESS interviews. Ideally, all ESS interviewers conduct multiple interviews to make briefing cost effective. However, even well-trained interviewers can influence the quality of the collected data, and research has shown that higher workloads are positively related to larger interviewer effects. Therefore, the workload per interviewer will be limited to a maximum of 48 sample units (i.e. respondents and non-respondents) throughout fieldwork. Any proposed deviation in this area must be agreed with the CST in advance.

All interviewers working on the ESS are expected to have experience with face-to-face CAPI interviews among random samples. They are also expected to have been trained in conducting such interviews, i.e. they must have received instructions about effective doorstep interaction and standardised interviewing and they must have a sound grasp of both positive and negative effects of interviewer behaviour on data quality. If interviewers have not received such training prior to being hired for ESS work, the Survey Agency should ensure that a general interviewer training session takes place before the briefing session. Training should cover all relevant areas, such as standardised interviewing and doorstep interaction techniques, and coding contact attempts.

Briefing is different from training in that it is project-specific, i.e. it describes the ESS project, the ESS questionnaire, and ESS rules. **All** interviewers must be personally briefed by the NC or Survey Agency upon being hired for ESS Round 10 and before carrying out their assignment. Their briefing must cover in detail how to code observation data, how to follow contact procedures and complete the Contact Forms, and how to follow respondent selection procedures (if applicable). Furthermore, it should include the ESS back-check procedure (see section 9.6.4). The CST will provide materials that serve as the basis for this briefing. It will also provide a practice interview, which must be administered in full during the briefing, so that interviewers can practice asking questions from the survey.

ESS interviewer training and briefing

ESS interviewers must be trained (task-specific) and briefed (project-specific).

The CST will provide a series of pre-structured slides and related materials to be used as the basis for briefing sessions. Each key part of the briefing will be outlined with the explicit expectation that NC team will then adapt it to their local circumstances. The materials include, among other documents:

- guidelines on completing ESS Contact Forms (see section 9.4),
- guidelines on collecting observable data (see section 9.4),
- scripted ESS practice interview,
- guidelines on training as well as briefing,
- guidelines on data protection, data handling and compliance with the General Data Protection Regulation (GDPR).

NCs are expected to deposit the slides that are used during the interviewer briefings in their country at the ESS Archive when they deposit their data. NCs also fill out a short questionnaire about interviewer selection and briefing. The CST will provide a checklist for coding the issues covered during the briefing. NCs or an NC team member should attend at least one briefing session and code the session using the checklist. Ideally, where there is more than one briefing, the NC should aim to attend all of them.

9.3 Respondent recruitment

The first contact with potential respondents, following a possible advance letter and the ESS brochure (see e.g. section 11.4), will be face-to-face. Only once contact with a household has been established, or after four unsuccessful personal visits, interviewers may make (or change) appointments by telephone.

The one exception to this is for countries with sample frames of named individuals with telephone numbers. Here the first contact may be made by telephone, in order to make appointments to visit the respondent. However, the country has to provide acceptable evidence to the CST that the response rate will not be damaged. Interviewers should be trained to avoid receiving a refusal over the telephone wherever possible and to leave the way open for a follow up face-to-face contact attempt. In the event of non-contact by phone, the same number of in person visits is still required (4 before non-contact can be assigned as the final outcome code). Sampled individuals without a listed phone number must be contacted face-to-face. At least one in person visit to each sample unit is always required in order to collect information on the dwelling and neighbourhood (e.g. even in the event of a telephone hard refusal).

Survey research has shown that the effect of survey modes on the measurement can be large (Villar, A. & Fitzgerald, R. (2017) 'Using mixed modes in survey data research: Results from Six Experiments' In Breen, M. (ed) Values and Identities in Europe. Evidence from the European Social Survey. Routledge. London). Substantial differences can be expected between administration of a questionnaire by telephone and in a face-to-face situation. For that reason, **interviews may not, under any circumstances, be conducted over the telephone or by self-completion methods whether on paper or online, unless clearly specified in the source questionnaire.**

Interviews may only be conducted with the sampled individuals: substitution (replacing a 'difficult' target person with a target person easier to interview) or proxy interviews (someone else answers on behalf of the target person) are not allowed. When no list of named individuals, households or addresses is available for sampling, it should be ensured that the enumerator, i.e. the person who lists the households in the field, is not the same person as the interviewer. Enumeration should take place before the start of fieldwork.

Interviewers should be thoroughly briefed on selection methods and be informed that the correct selection is vital to ensuring that the sample is representative of the target population (see section 9.2).

Evidence from the ESS suggests that when interviewers have to select the target person from amongst all of those living in the household the final sample is less likely to accurately reflect the target population, compared to where a named sample of individuals is used. For example, more women tend to be selected than men, whereas this should be equal. Interviewers must therefore be thoroughly briefed on careful selection and methods should be put in place to carefully monitor the selections made.

9.4 Response rates: targets, calculation and contact forms

9.4.1 Target response rates

The proportion of non-contacts should not exceed 3% of all eligible sample units.

In addition, the ESS has always aimed for a minimum target response rate – after discounting ineligibles (as defined by the CST – see 'Calculation of ESS response rates' below) – of 70%. However, we acknowledge that, based on previous experiences in the ESS, reaching this 70% target response rate is unlikely in many countries. At a minimum, all countries are expected to plan and budget fieldwork in order to reach a response rate higher than in the previous round.

Countries participating in the ESS for the first time should provide response rates from comparable surveys carried out recently. This should be accompanied by a detailed overview as to how the reference surveys are comparable in methodology and design, as well as a strategy as to how they will achieve comparable or higher response rates.

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

Calculation of ESS response rates, and final disposition codes

The ESS response rate is calculated as shown below:

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

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

For samples of individuals:
- Respondent deceased,
- Respondent emigrated/left the country long term (for more than 6 months),
- Respondent resides in an institution.

For samples of households or addresses:
- Address not occupied at all/demolished premises,
- Address not yet built/under construction,
- Non-residential address (e.g. used solely for business / industrial purposes or as an institutional address, e.g. a prison, a nursing residence, or a boarding school),
- Address occupied, but no resident household (e.g. weekend or second homes),
- Address occupied by resident household, but no eligible respondent (no one aged 15+).

The ESS response rate to be reported will be calculated according to a pre-specified standard format, which will include at least the following mutually exclusive categories:

A. Total issued addresses (or other sample units)
B. Units not eligible, and why (as defined above)
C. Total eligible sample (A-B)
D. % no contact (after 4+ contact attempts, or if fewer contact attempts made, why)
E. % personal refusal, and why (pre-specified categories)
F. % too ill or incapacitated
G. % household (or proxy) refusal, and why (pre-specified categories)
H. % achieved complete interview
I. Total per cent response rate (H/C)

What constitutes a complete interview?
In the interviewer manual, the CST specifies the minimum criteria for designating a productive case as a complete interview (the question number that has to be reached in the questionnaire).

9.4.2 Contact Forms

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

The purpose of the Contact Form is to document all stages of interviewers' attempts to make contact with every selected sample unit, to identify non-response units, to assist in improving response rates through re-approaching non-contacts and converting initial refusers and to facilitate the detection of potential non-response bias. Given the nature of the contact procedures during ESS fieldwork, it is recommended that interviewers are remunerated additionally (or separately) for completing the Contact Form.

Interviewers are asked to record the following information in the CF:

- interviewer identifier,
- date, time, mode and outcome of all contact attempts and contacts,
- household and respondent selection procedure (non-individual sampling frame countries),
- interviewer's judgment of future cooperation of initial refusers,
- demographic information of the initial refusers,
- information on dwelling and neighbourhood,
- *for samples of households or addresses*, an indicator of whether the person that helped with the selection of the target respondent is the same as the person being selected for the interview,
- *for samples of individuals,* an indicator of whether the person who opened the door is the same as the person being selected for the interview.

The CST provide model CFs, which must be requested from ESS ERIC HQ, for translation and use by national teams. It is preferable that these model CFs are used by all countries. If this is not possible, country-specific Contact Forms may be used, but countries must show how they will 'bridge' their CF data into the ESS CF Data Protocol. This process will need to be agreed with the CST prior to fieldwork even if this has been approved in an earlier round. CFs should be programmed and added to the CAPI programme or completed by some other means of digital collection. Whichever method is used, it must be possible to transmit up to date information on the progress of both productive **and** unproductive cases still in the field to the ESS's central Fieldwork Management System on a weekly basis (see section 9.4.3).

In addition, the Survey Agency should provide information on the interviewers' age group and gender. This information should be delivered as administrative variables in the Main data file to be deposited to the ESS Archive at NSD.

Detailed guidance on interviewer tasks and the completion of Contact Forms can be found in the NC Manual, which also includes a dummy interview and the interviewer manual (the latter incorporates the former project instructions and guidelines on completing contact forms and collecting observable data).

9.4.3. Fieldwork Management System (FMS)

The ESS successfully developed and implemented a Fieldwork Management System (FMS) in ESS Round 9. The FMS is a data upload portal which countries are required to use during fieldwork to weekly provide the CST with (a subset of) the contact form data at case level using a pre-specified file template. The data upload portal provides a way for the CST and NCs to have access to timely and detailed monitoring data to ensure that fieldwork standards are being observed in all countries and to assist countries in the event of problems occurring during fieldwork. Documentation and assistance on the use of the FMS upload portal will be provided to NCs and Survey Agencies by the CST. There may be some minor changes to the precise specification of the FMS upload template and summary reporting features for Round 10 based on feedback received following Round 9 fieldwork. The final specification will be available by May 2020.

9.5 Response rate enhancement

The ESS aims for high response rates (target 70%) and low non-contact rates (maximum 3%) in all participating countries. To pursue this, interviewers have to make at least four personal visits to each sample unit before it is abandoned as non-productive

- on different days of the week and times of day,
- of which at least one must be at the weekend and one in the evening,
- spread over at least two different weeks (14 days).

Similarly, to allow difficult-to-contact people to be located, the fieldwork period should not be less than 6 weeks.

All potential Survey Agencies must suggest a range of techniques that they believe would enhance the final response rate. Such techniques could include advance letters, toll-free telephone numbers for potential respondents to contact, links to national ESS websites, extra training of interviewers in response-maximisation techniques and doorstep interactions, implementing refusal avoidance and conversion techniques, re-issuing of refusals and non-contacts, and many others not listed here.

Refusal conversion, i.e. obtaining the cooperation of initially reluctant sample persons, should not be confused with the quality back-checks specified in section 9.6.4.

In pursuing high response rates, one should be mindful of the need to maximise response amongst all groups of the population and to bring response rates to a consistent level among subgroups. Based on experiences from previous rounds, groups can be identified that are harder to reach or less willing to participate, e.g. apartment dwellers, inner-city residents, men, younger respondents[11]. In designing the survey, special efforts should be made to include these groups, e.g. by making more (evening) calls, through interviewer bonuses or respondent incentives.

The CST has previously provided guidance on possible response enhancement strategies such as incentives, whilst recognising that the effectiveness of different approaches may well vary between different countries, with different norms, cultural settings, geography, and so forth. Response enhancement techniques employed should be discussed as part of the Fieldwork Questionnaire and documented in the National Technical Summary form[12].

9.6 Fieldwork monitoring and quality assessment

9.6.1 Fieldwork projections

Fieldwork projections are forecasts of weekly productivity/response rates based on experience from previous rounds, the design of the present fieldwork, discussions with the Survey Agency and interviewer staffing. Where a country participates for the first time, they will naturally be more of an estimate. NCs are expected to submit fieldwork projections at least two weeks prior to the start of fieldwork to the CST.

9.6.2 Monitoring and progress reports

Survey Agencies should closely monitor the progress of fieldwork. In Round 10, this will involve using the FMS (see section 9.4.3). The Survey Agency will need to:

- provide weekly fieldwork progress information at case level (based on the information collected using the CF) and upload this to the FMS using a pre-specified template;

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[11] See, for example, www.europeansocialsurvey.org/methodology/ess_methodology/data_quality.html

[12] See, for example, www.europeansocialsurvey.org/methodology/methodological_research/minimising_nonresponse_bias.html

- ensure regular communication between Survey Agency and NC regarding the progress of and issues arising from fieldwork.

Primary responsibility for realising and monitoring fieldwork rests with the Survey Agency. The FMS is intended to supplement rather than replace regular communication about fieldwork progress – and any corrective measures to be taken – between the Survey Agency and the NC.

The ESS Fieldwork Guidelines (issued in May 2020) provide recommendations for how to monitor fieldwork progress effectively using the FMS.

9.6.3 Interim data files

After approximately one third of the planned interviews have been completed, the Survey Agency is required to provide an interim data file to the NC for initial checking of interview quality. The NC will be provided with syntax by the CST and asked to use the syntax to flag potential problematic interviews and/or interviewers and discuss the results with the CST. This information should be used in discussion with the Survey Agency with respect to ongoing quality control procedures. Note that the interim data file should contain a numeric interviewer identifier to enable the Survey Agency to identify any interviewers flagged.

Survey Agencies should also collect information on the average length of interview for each interviewer and investigate interviewers who are outliers in case this indicates quality problems. We also strongly advise the addition of more time stamps into the questionnaire, e.g. per CAPI screen.

9.6.4 Quality control back-checks

Quality control back-checks are a standard tool to monitor the performance of interviewers. Survey Agencies should make quality control back-checks to <u>respondents</u> and <u>ineligibles</u>. In the case of respondents, they involve a short interview (whether by telephone or in person) including:

- checks on the respondent selection (if applicable),
- checks on whether an interview was indeed conducted,
- checks if showcards were used,
- checks that a laptop was used (if applicable),
- the approximate length of the interview, and
- optionally, some of the ESS questions where change would be unlikely (e.g. age, job title) could be repeated.

We require that back-checks are mentioned <u>during the ESS interviewer briefing</u>. It needs to be mentioned when and how interviews will be selected for back-checks and how this selection will be conducted, on which aspects they will be back-checked, and what the (possible) consequences are in case of detection of irregularities. Furthermore, during fieldwork the NC should be informed by the Survey Agency about the detection of any irregularities due to back checks on respondents and ineligibles, and discuss this with their Country Contact.

Quality control back-checks of respondents and ineligibles should be conducted across all interviewer assignments (i.e. at least one for each interviewer). The back-checks on respondents and ineligibles have to be conducted **<u>within two weeks</u>** of a productive interview OR **<u>within two weeks</u>** of the time it was decided to stop working on the case. The number of respondents to be back-checked per interviewer should increase with the number of respondents the interviewer achieves. We suggest this should be done in the following manner: a minimum of one respondent per interviewer should be randomly selected for back-check from all respondents interviewed by an interviewer within a two-week period. That would mean a minimum of one respondent back-checked for each interviewer every two weeks the interviewer is active during the fieldwork.

Ideally, an (other) interviewer or supervisor should be sent to check these cases in person. Checks should not be done by the original interviewer. 'Respondent died' cases should not be checked.

When selecting interviewers for additional back-checks we put forward the following recommendations:

- Selecting interviewers with a high proportion of refusals and non-contacts for further follow-up. Those interviewers could qualify for increased back-checks on respondents and/or ineligibles.
- Selecting interviewers with a low proportion of reported available phone numbers from respondents.
- Selecting interviewers with very high success rate and/or a high number of interviews completed on the same day(s).
- Back-checking cases with a very short interlude of time between the end of one interview and the start of the next conducted by the same interviewer.
- Back-checking respondents with an extremely long or extremely short interview duration. We also encourage NCs to conduct analysis of these interviews in order to identify possible problematic cases.
- If an interviewer is suspected of falsifying data, then all of their remaining cases should be back-checked.

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

	Interviews	Ineligibles
% to be achieved	10%	10%
In person	YES	YES
By phone	YES	YES
By mail (only in exceptional circumstances)[13]	NO	YES

An alternative for ineligibles is to send postal mail to these persons, households or addresses. Households or named individuals can then be asked to return a pre-paid card requesting that they confirm whether they had contact with an interviewer. This can also be used to check interviewer claims that 'addresses do not exist' and 'address derelict' if a system exists reporting that mail was undelivered. However, the response rate amongst these cases is likely to be extremely low and postal methods should only be used in exceptional circumstances.

In instances where NCs and/or Survey Agencies become aware of falsified interviews, the CST must be informed and the cases removed from the main data file submitted to the ESS Archive. If a large number of cases have been affected, the NC should discuss remedial action with their Country Contact.

Back-checks should not be confused with re-assigning non-contacts and refusals to interviewers in order to increase the response rates. Back-checks are a quality control instrument.

[13] The selection of respondents to back-check should not be contingent on an email address being available but – once identified – cases could be followed up by email in the first instance (as with phone). In case of no answer to the back-check via email, we require to use a 'traditional' mode (in person/by phone) for a follow up attempt.

With respect to the documentation of the back-checked cases, information such as the following should be collected and recorded as part of the CF data file:

- whether the case was selected for back-checks,
- how the case was selected for back-checks (see procedures and recommendations above),
- whether the case was back-checked,
- which mode was used for the back-check (table 3),
- when the case was back-checked (date),
- what the result of the back-check was (confirm or not),
- who conducted the back-check (interviewer or someone else),
- which aspects were back-checked (see top of this section).

Further guidance on the precise variables will be available in the ESS Round 10 Data Protocol (see section 10).

10. After fieldwork: Data preparation

10.1 Deliverables

The ESS Data Protocol provides the complete list of deliverables to be deposited to the ESS Archive at NSD. All details on how to present the deliverables as well as the procedures to be applied in the production of the national ESS data and metadata are described in this protocol. All NCs should adhere to the specification provided in the ESS Data Protocol and dictionaries. The ESS Data Protocol for Round 10 will be made available from the ESS Round 10 NC Intranet in June 2020.

All electronic deliverables are to be uploaded to the ESS Round 10 NC Intranet by the end of February 2021. Prior to deposit of data, each NC is responsible for checking and assure anonymity of their data files a, b and c (see section 11.6).

If the content and quality of the electronic deliverables do not adhere to the specification in the Data Protocol and the standards available from the ESS Round 10 NC Intranet, the Archive reserves the right to ask for new deliverables.

ESS deliverables
Data files:
a) Data from Main questionnaire, including test and country-specific questions
b) Data from Interviewer questionnaire
c) Contact Form (CF) data*
d) Sample design data file (SDDF)
e) Raw data
f) Parents' occupation (POCC)**
g) Verbatim recorded answers
h) Verbatim recorded Ancestry

Documents:
a) National Technical Summary (NTS) with appendices (education, income, political parties, marital and relationship status and ancestry)
b) Population statistics
c) Main questionnaire (all language versions)
d) Interviewer questionnaire
e) Contact Form (or code used for collection programme)
f) Showcards
g) Interviewer and fieldwork instructions
h) Interviewer briefing and training material
i) NC's responses to a short questionnaire about the interviewer training and briefing
j) Advance letters, brochures and other written information to the respondents
k) Final (T)VFF
l) CAPI programs

* Including back-check variables (see section 9.6.4).
** The deliverable may be withdrawn depending on the outcome of the ESS core questionnaire review.

10.2 Coding

The following socio-demographic items will be recorded verbatim and subsequently coded by the Survey Agency according to international standard classifications. These items include:

- Occupation: four-digit ISCO code for respondent and partner,
- Industry: two-digit NACE code for respondent,
- Country: two-character ISO 3166-1 code for respondent's citizenship and country of birth, mother's country of birth and father's country of birth,
- Language: three-character ISO 639-2 code for first and second language spoken at home, and language of interview.

Further items in the questionnaire require country-specific variables to be bridged into the following standards:

- Education: country-specific question(s) to be bridged into a detailed ISCED coding frame for respondent, partner, father and mother,
- Religion: country-specific questions on current or past religious belonging to be bridged into ESS coding frame.

For Ancestry of respondent, the verbatim recorded answers in the "Other" category must be coded into the ESS coding frame for ancestry. The coding of Ancestry should be included in the costings.

NCs are also expected to liaise with the Sampling and Weighting Expert Panel concerning the calculation of post-stratification weights.

Further details regarding standards and bridging will be available in the ESS Data Protocol and from the ESS Round 10 NC Intranet. To ensure optimal comparability, the standards that are provided on the ESS Round 10 NC Intranet must be used and care should be taken.

10.3 Processing and dissemination

Throughout the ESS Archive's processing of the national files, the NCs have full access to all programmes, files and listed output from the ESS Round 10 NC Intranet. NCs must take great care to protect their log in details, as the data must be considered disclosive before it is signed off by the NC. It is important that NCs are available for consultation during the Archive's data processing period.

The processing is organised in two main steps, each leading up to standardised reports. The reports contain a summary of the programmes, files and output produced during the processing as well as queries that the Archive will need feedback on to produce the national files that will later be integrated into the international data file for Round 10.

When the Archive has completed the processing of the national data file, a draft file will be provided for NCs to approve of the processing carried out by the Archive. All NCs are responsible for the validity of their national data. All national files will be subject to further quality checks by the CST and the QDTs when a draft international file is available.
A complete deposit of all deliverables is a prerequisite for a country to be included in the integrated released file.

No national data (or interpretations of such data) can be released, published or reported in any way until the data has been officially released by the ESS Archive at NSD. Thereafter, the data will be available without restriction for non-commercial use, scientific research, knowledge and policy making in all participating countries and beyond to quarry at will. In respect of use of the ESS ERIC's intellectual property for commercial purposes, this shall be handled on a case-by-case basis.

11. Data protection

In order to ensure compliance with the General Data Protection Regulation (GDPR) and national law, the following is required by the NCs and by the Survey Agencies[14].

11.1 Data processing agreement

The NCs and the Survey Agencies are data processors in the ESS, meaning that they are processing personal data on behalf of and under instructions of ESS ERIC as the Data Controller. The Data Processing Agreement also covers the legal requirements in the event of a breach (see section 11.3). Before any handling of personal data takes place, NCs must have signed a data processing agreement with the ESS ERIC. The template for this agreement can be found at the ESS NC Intranet.

Where members of an NC team are based in different institutions, the authorised contact at each institution must sign the agreement or one of the NCs has to take responsibility for all members of the team. Where NCs have commissioned a Survey Agency directly, they have responsibility to ensure that a sub-processing agreement binds the agency to the terms of the Data Processing Agreement. Where the national

[14] The following is abridged; the requirements are detailed in full in the Data Processing Agreement.

funder commissions the Survey Agency, ESS ERIC will ask them to sign the DPA directly with the ERIC. In cases in which the national funding body commissions the Survey Agency directly, ESS ERIC will enter into a data processing agreement with the funding body.

Data Management Plan

As part of the DPA, NCs must also submit a Data Management Plan (DMP) for approval by the Director of ESS ERIC. The DMP shall outline how data is handled during collection and processing (and afterwards), provide information on the measures in place to ensure the rights of the data subjects, and the relevant security arrangements like encryption, on-going reviews of security measures, facilities for restoring availability and access, regular security testing and achieved certifications regarding data security. A template for the DMP is attached as appendix 1 to the Data Processing Agreement template.

11.2 Data Protection Officer

Each data processor must provide the ESS ERIC Data Protection Officer, with ESS ERIC HQ in copy, with details of its Data Protection Officer (in cases where they are appointed). The Data Protection Officer (DPO) of ESS ERIC is Øyvind Straume. He can be reached by email: dpo.esseric@europeansocialsurvey.org.

11.3 Data breaches

Survey Agencies and NCs must immediately report incidents and breaches to ESS ERIC's Data Protection Officer: dpo.esseric@europeansocialsurvey.org. Personal data breaches can include (among others): access by an unauthorised third party; deliberate or accidental action (or inaction) by a controller or processor; sending personal data to an incorrect recipient; computing devices containing personal data being lost or stolen; alteration of personal data without permission; and loss of availability of personal data.

11.4 Information to respondents

All target respondents must be given the ESS brochure containing a harmonised data protection statement. Countries should not change the information given in the brochure template other than translating and adapting the text in square brackets, as the information is mandatory.

In countries using an advance letter, every sample unit must be sent a brochure before the interviewer attempts contact, in the same envelope as the advance letter. In countries not using an advance letter, or using address, household and area-based samples, selected respondents must be given this brochure by the interviewer before the interview starts. All interviewers should carry spare copies of the brochure with them when in the field.

11.5 Data subject rights

Survey Agencies and NCs must respond to any requests from data subjects concerning their rights to access, modify or have personal data deleted[15]. Furthermore, a description of received requests and how they were dealt with must be sent to ESS ERIC's Data Protection Officer: dpo.esseric@europeansocialsurvey.org.

[15] The Data Processing Agreement covers the legal requirements in the event of a breach.

11.6 Disclosure risk

In accordance with the information provided to ESS respondents, we will make every effort so that only anonymised data will be made publicly available to users. Before depositing data to the ESS Archive at NSD, each national team is responsible for checking their data for disclosure risk. This applies to the freely distributed data files (Main questionnaire, Interviewer questionnaire and Contact form). NCs will be asked to confirm in their National Technical Summary that all data that will be made publicly available to users has been checked and anonymised. The ESS Round 10 Data Protocol describes a set of minimum requirements that all countries must follow to reduce disclosure risk. In addition, the ESS Round 10 Anonymisation Guide provides guidance on how to assess disclosure risk and on recommended anonymisation techniques to ensure anonymity.

11.7 Secure data transfer

To ensure a secure transfer, all deliverables must be uploaded by using the "Deposit data" option from the ESS Round 10 NC Intranet. An extra precaution is made for the sample design data file, raw data, parent's occupation, verbatim recorded answers and verbatim recorded ancestry. These files must be deposited on weekdays only, before 2 pm CET.

11.8 Deletion of contact information

Once a country's data has been published by the Archive, the Survey Agency is required to delete the key that links the serial number to the name and address of the respondent. Survey Agencies will be required to confirm in writing to the Data Controller they have done this within 10 days of the data being published.

11.9 Deletion of indirectly identifiable data

Furthermore, once a country's data has been published, NCs/Survey Agencies are also required to delete all other data that could possibly identify individuals, such as the raw data and the sample design data.
Deletion of these data files presupposes that they have been confirmed as deposited to the ESS Archive.

11.10 Access

According to art. 23 of the Statutes, the ESS ERIC shall where practicable seek to own the intellectual property rights in its work. It shall grant a royalty free non-exclusive license over its intellectual property rights to any person for non-commercial purposes.

The ESS ERIC shall allow free access to all anonymised data of the European Social Survey by the scientific community. There shall be no privileged access rights by any person to such data except during its processing and preparation for public use.

11.11 Country-specific questions

In cases in which NCs add country-specific questions to the ESS questionnaire, such questions will not imply that they assume the responsibilities of Data Controllers. **The ESS ERIC Director, the Data Controller, has final approval of whether these questions can be fielded on the ESS. The data shall be treated in the same way as the ESS data, including deletion arrangements once the main ESS data have been deposited.**

11.12 Joint Data Controllers

If data is to be used/retained for other purposes than performing ESS, a joint controller agreement must be made. Joint controllers must have a transparent arrangement that sets out their agreed roles and responsibilities for complying with the GDPR. Any specific purposes and planned used of the data must be described. The main points of this arrangement should be made available to individuals. Individuals must remain able to exercise their rights (i.e. deletion or access).

11.13 Ethics

New questions for each round will be submitted to the ESS Research Ethics Committee prior to the finalisation of the source questionnaire. NCs and Survey Agencies must ensure compliance with relevant institutional ethics approval procedures.

The ESS ERIC subscribes to the Declaration on Ethics of the International Statistical Institute (ISI)[16], to which the Survey Agencies that conduct the data collection will be asked to adhere.

12. Quality, comparability and compliance

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

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

The first group of compliance issues are particularly central. Therefore, all Member, Observer and Guest countries are asked to ensure that they:

- sign and submit to HQ for countersignature a DPA including a data management plan,
- field the complete ESS Round 10 questionnaire,
- deliver a Sample Design Data File (SDDF) which allows the calculation of inclusion probabilities,
- make a complete delivery of ESS Round 10 data (including the Contact Form data) and documentation to the ESS Archive at NSD within 12 months after the official deadline (February 2021) for submitting deliverables to the archive (i.e. by February 2022).

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

The second group of compliance issues relate to the quality assurance procedures imposed by the CST. In particular, a country has to finalise the following **before fieldwork starts**:

- the translation, verification and SQP procedures for the ESS Round 10 questionnaire,

[16] www.isi-web.org/index.php/activities/professional-ethics/isi-declaration

- the questionnaire consultations,
- the sign-off procedure for the sampling design,
- the sign-off procedure of the Fieldwork Questionnaire (FWQ).

During fieldwork, weekly information on fieldwork progress has to be provided in a standardised format using the FMS upload portal.

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

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

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

Appendix 1. Glossary and abbreviations

Term	*Abbr.*	*Explanation*
Country Contact	CC	CST member, assigned by the Director, who oversees the entire national survey life cycle for that country.
Computer Assisted Personal Interviewing	CAPI	Data obtained from the interview is directly entered into a computer programme instead of first using paper forms.
Contact Form	CF	Form on which interviewer records outcomes of all contact attempts and contacts, whether by telephone or in personal visits, to addresses, households and individuals, for all sample units (respondents and non-respondents) according to a pre-specified set of categories that distinguish ineligibility, interview, non-contact, refusal, other contact (but no interview) and other types of non-response.
Core Scientific Team	CST	Team comprising HQ and six other institutions in charge of managing and coordinating the survey. A committee of the Director.
Country questionnaire		The source questionnaire translated in the national languages in which the ESS is fielded in every participating country.
Data Management Plan	DMP	Document outlining how research data is handled during collection and processing (and afterwards), including relevant security arrangements.
Data Processing Agreement	DPA	The handling of personal data by a data processor on behalf of a Data Controller must be secured by a data processing agreement. It must meet certain minimum requirements, as set forth by Article 28 of the GDPR.
Data Protection Officer	DPO	The primary role of the DPO is to ensure that her organisation processes the personal data of its staff, customers, providers or any other individuals (also referred to as data subjects) in compliance with the applicable data protection rules.
Data protocol		Guide to the production of the ESS data files and documentation. It contains detailed descriptions of the required deliverables and also includes a complete list of variable definitions.
ESS Archive		ESS ERIC Data Archive at NSD – Norwegian Centre for Research Data.
European Research Infrastructure Consortium	ERIC	The principal task of the ERIC is to establish and operate the ESS research infrastructure on a non-economic basis.
European Social Survey	ESS	European Social Survey.
Field Directors' Meeting	FDM	Meeting of Field Directors and CST members aimed at discussing ESS requirements and national experiences.
Fieldwork Management System	FMS	Two versions: Mobile application that allows interviewers to collect CF data on the doorstep and transfer it in real time back to a central database accessible to the Survey Agency, NCs and the CST
Fieldwork projections		Forecasts of weekly production/response rates based on experience from previous rounds and current interviewer staffing. To be delivered 2 weeks before the start of fieldwork at the latest.
Fieldwork Team	FWT	Team comprising CST members from HQ, GESIS and SCP involved in discussing with NCs the fieldwork plan of each country as laid down in the Fieldwork Questionnaire, signing off the FWQ, and monitoring fieldwork planning and fieldwork progress.
Fieldwork Questionnaire	FWQ	Questionnaire developed by the Fieldwork Team of the CST to monitor fieldwork plans. It is an instrument to help decide upon, discuss and document major fieldwork decisions and parameters (timing of fieldwork, number of interviewers, etc.).
General Assembly	GA	The body representing all the Members of the ESS ERIC.
General Data Protection Regulation	GDPR	The GDPR (Regulation (EU) 2016/679) is a regulation by which the European Parliament, the European Council and the European Commission intend to strengthen and unify data protection for individuals within the European Union (EU). It came into force in May 2018.
Headquarters	HQ	Headquarters of the ESS ERIC, home of the Director.

International Standard Classification of Education	ISCED	Standard Classification developed by UNESCO to facilitate comparisons of education statistics and indicators across countries on the basis of uniform and internationally agreed definitions
International Standard Classification of Occupations	ISCO	International Standard Classification of Occupations is a tool for organizing jobs into a clearly defined set of groups according to the tasks and duties undertaken in the job. The ILO is responsible for ISCO.
International Standard for Country Codes	ISO	ISO 3166 is the International Standard for country codes and codes for their subdivisions.
Multitrait Multimethod	MTMM	MTMM test questions to assess construct validity.
National Coordinator	NC	NCs coordinate the activities of the ESS ERIC at a national level and assure its compliance with the Specification. In many countries there will be a National Coordinating team. NCs and their teams are jointly called 'NCs'.
National Coordinators' Forum	NC Forum	The NC Forum comprises the National Coordinators of each Member, the Director and Deputy Directors. They assist the Director.
Norwegian Centre for Research Data	NSD	The ESS Archive.
National Technical Summary	NTS	Overview of the metadata of the survey for each country and each round of the ESS. The NCs have a central role in the production of such documentation.
Primary Sampling Unit	PSU	Sampling units that are selected in the first (primary) stage of a multi-stage sample ultimately aimed at selecting individual elements.
Question Module Design Team	QDT	External team selected by the SAB from applications received following an international competition, assisting the Director in developing a Question Module.
Sample design data file	SDDF	File to be produced by each country and delivered to the CST, containing complete information about the sample design, such as inclusion probabilities at each stage, information on clustering and stratification.
Sampling and Weighting Expert Panel	SWEP	Team of sampling and weighting experts advising NCs on the optimal sampling design. The SWEP must sign off the sampling design well before fieldwork starts. The SWEP also provides design and post-stratification weights.
Statistical Classification of Economic Activities in the European Community	NACE	The Nomenclature of Economic Activities is the European statistical classification of economic activities. NACE groups organizations according to their business activities.
Survey Agency		The Survey Agency appointed to conduct the ESS Round 10 fieldwork in a participating country.
Survey Quality Predictor	SQP	SQP coding aims at preventing unnecessary deviations between the source questionnaire and the country versions by comparing a number of formal characteristics of the items. SQP coding is meant to improve language versions by making NCs more aware of the choices that are made in translation, and the impact these choices can have on comparability, validity, and reliability of the question.
Translation Expert Panel	TEP	The ESS Translation Expert Panel consists of questionnaire translation experts, some of these being members of the CST, others external experts. The function of the TEP is to advise the ESS translation team in questionnaire translation matters on an ongoing basis.
Translation Guidelines	TG	Detailed descriptions of the translation procedures and requirements, shared languages and verification, and the choice of suitable personnel.
Translation Management Tool	TMT	A customised web interface for managing the translations which also provides a digital repository of the process (originally developed for the SHARE survey and now adapted for use by the by ESS as well).

Translation, Review, Adjudication, Pre-testing and Documentation	TRAPD	The translation protocol requires the following steps: (1) Questionnaire translation using a committee or team approach (**TRA**PD), including shared language harmonisation if applicable; (2) External linguistic expert check of all translated language versions in the form of 'translation verification' by the external service provider cApStAn; Comparing formal characteristics of the translated questions with those in the source language (SQP coding); (3) National pre-testing (TRA**P**D); (4) Sign-off on translations and documentation of the translation process (TRAP**D**).
(Translation and) Verification Follow-Up Form	(T)VFF	National document including, if possible, the entire translation history of one language version. This includes the translation/review/ adjudication and, if applicable, shared language harmonisation steps (TRA); these steps will only be included in the (T)VFF if the national team used the (T)VFF also for their full translation.