

Contract for the 2012 SHARE survey

- Annex 1 - Specifications and Deliverables

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The annex details the steps of the work to be performed by SURVEY AGENCY during the main data collection of SHARE, which is based on all respondents who participated in the 2004, 2006, 2008, and/or 2010 SHARE studies, plus a probability refresher sample of sufficient size to achieve <6000; FOR COUNTRY TEAMS: ADAPT TO AVAILABLE NATIONAL FUNDING> interviews with selected sample units and eligible spouses.

1. Survey Content

The Survey of Health, Ageing and Retirement in Europe (SHARE) is a multidisciplinary and cross-national database of micro data of individuals aged 50 and over. Investigating the relationships between health, economic position and social participation as people age is one of the most important research questions facing the policy community.

SHARE has previously collected four waves of longitudinal data, where most of the questions provided information about the circumstances of respondents' lives at the time of the interview in 2004, 2006, 2008 and/or 2010. Similar to all other waves, SHARE's fifth wave collects health variables (e.g. self-reported health, physical and cognitive functioning, use of health care facilities), psychological variables (e.g. well-being, life satisfaction, control beliefs), economic variables (e.g. work activity, income, retirement behaviour, wealth and consumption), social support variables, (e.g. family and social network, family support, intergenerational transfers of money and time).

As in previous waves the questionnaire includes mainly closed questions as well as physical and mental health tests. The data will be available free of charge to the research community.

2. Definitions¹

- “**Current wave**”: the upcoming or on-going SHARE wave of main data collection specified in this document.
- “**Last wave**”: the SHARE wave of main data collection immediately preceding the upcoming or on-going wave of main data collection specified in this document.
- “**Any previous wave**”: any SHARE wave of main data collection before the “last wave” (see above)
- **Age-eligibility**: Anyone who was 50 or older in the year that he/she was first sampled is *age-eligible*.
- **Original Sample Member**:
 - From wave 1 baseline sample: All age-eligible respondents and their spouses/partners living in the household at the time of sampling.

¹ Response rate definitions of this legal document pertain to AAPOR Standard Response Rate RR6 and are only used for calculation of actual payments. Reference: The American Association for Public Opinion Research. 2011. *Standard Definitions: Final Dispositions of Case Codes and Outcome Rates for Surveys. 7th edition*. AAPOR. URL (Oct. 25, 2011): http://www.aapor.org/AM/Template.cfm?Section=Standard_Definitions2&Template=/CM/ContentDisplay.cfm&ContentID=3156

- From refresher samples: Primary age-eligible respondents and their spouses/partners living in the household at the time of sampling
- **Current partner:** A current partner is a person living as a partner in the same household of an age-eligible original sample member.
- **Longitudinal gross subsamples**
 - Subsample A: all respondents who participated in the last SHARE wave (wave 4).
 - Subsample B: all respondents who participated in any previous SHARE wave, but not in the last SHARE wave (wave 4), and live in a household where at least one household member participated in the last wave (wave 4).
 - Subsample C: all respondents who participated in any previous SHARE wave, but not in the last SHARE wave (wave 4), and do *not* live in a household where at least one household member participated in the last SHARE wave (wave 4).
 - Subsample D: all nonresponding spouses/partners and new spouses/partners who have not participated in any previous SHARE wave so far.
- **Net sample:** all individuals of the respective gross sample for whom a complete interview has been conducted.
- **Retention rate (longitudinal sample):** number of individuals with completed interview divided by number of individuals in respective longitudinal gross sample.
- **Target retention rate (longitudinal sample):** retention rate necessary for scientific credibility of study, at least 90%.
- **Reference retention rate (longitudinal sample):** retention rate used as anchor in payment calculation: 80%.
- **Minimum retention rate (longitudinal sample):** retention rate below which contract is in violation: 80%.
- **Household response rate (refresher sample):** number of households with at least one completed interview divided by number of households in refresher gross sample.
- **Individual response rate (refresher sample):** number of individuals with completed interview divided by number of individuals in refresher gross sample.
- **Target response rate (refresher sample):** household response rate necessary for scientific credibility of study: 70%.
- **Reference response rate (refresher sample):** household response rate used as anchor in payment calculation: 70%.
- **Minimum response rate (refresher sample):** household response rate below which contract is in violation: 50%.

3. Eligibility & Sampling

3.1. Longitudinal sample

- Eligibility of any longitudinal respondent to be re-interviewed is conditional on national privacy and data protection laws. If a longitudinal respondent refused in any previous wave, she or he will only be approached again if national privacy and data protection laws allow to do so.
- All original sample members who were interviewed in any previous wave will be interviewed again.
- If an original sample member has deceased in the meantime, an end-of-life interview will be conducted, with a household member or a family member living outside the household, as long as the end-of-life interview has not already been conducted in a previous wave. In exceptional cases the end-of-life interview can be conducted with a truly knowledgeable person other than a family member. For family members outside the household, who do not live in the same community as the deceased respondent, the end-of-life interview can be conducted via telephone.
- People will *not* be interviewed if they have been age-*ineligible* in the year they were sampled *and are not the current partner* of an age-eligible original sample member anymore. If they have deceased in the meantime, no end-of-life interview will be conducted.
- Current partners of *age-eligible* original sample members will be interviewed regardless of age. If they have not been interviewed before *and* they have deceased in the meantime, no end-of-life interview will be conducted.
- Eligible respondents who moved within the country will be traced and re-interviewed.
- Eligible respondents who moved into a nursing home, hospital or other old-age institution will be traced and re-interviewed.
- Respondents who are incarcerated or reside outside of the country during the entire survey fieldwork period are defined as ineligible.

3.2 Refresher sample

The target population for the baseline sample consists of *all persons born 1962 or earlier* having their regular domicile in private households in <COUNTRY>, together with their partners/spouses, independent of age (“interview eligibles”). The target population is based on residents, not citizens.

The refresher sample is required to be a *full probability sample*. Quota sampling and the substitution of a sample unit of any kind are not permitted.

Within the household one age-eligible member *plus* his/her partner/spouse will be interviewed. The procedures for choosing the designated respondent are as follows:

- In case of a sample frame of individuals (e.g., based on registry records), the designated respondent plus his/her spouse (independent of age) will be interviewed. No other person in the household will be interviewed, even if age-eligible. For such sampling frames, residents of nursing and foster homes should be included in the sampling design and must be interviewed.
- In case of a sample frame of households (e.g., based on dwelling records or phone numbers), one individual out of all age-eligible respondents will be randomly selected by the SHARE Sample Management System. Only the randomly selected respondent plus his/her spouse (independent of age) will be interviewed. No other person in the household will be interviewed, even if age-eligible. For such sampling frames, residents of nursing and foster homes will not be interviewed.

In the following, the designated age-eligible respondents and their partners/spouses will be referred to as “interview-eligible persons”. “Interview-*ineligible* persons” include those who:

- are deceased or incarcerated during the entire survey period;
- are hospitalised;
- are out of the country during the entire survey period; or
- are unable to speak <LANGUAGE>.

3.3 Sampling process

3.3.1 Longitudinal sample

Before fieldwork, SURVEY AGENCY will provide SHARE Coordination their list of longitudinal respondents/households from the address file (Deliverable SA01, see Annex Table 1 for SURVEY AGENCY deliverables). In addition, SURVEY AGENCY will provide a list of all deceased respondent together with the source of information (e.g. from registers, panel care) (Deliverable SA02). After fieldwork SURVEY AGENCY will provide an updated list of deceased respondents (Deliverable SA03).

SHARE Coordination will combine these lists with other data from previous waves and provide SURVEY AGENCY a longitudinal sample check file and guidelines for checks (Deliverable SHARE01, see Annex Table 2 for SHARE Coordination deliverables).

SURVEY AGENCY will check the longitudinal sample file in close cooperation with SHARE Coordination according to the guidelines. Checking includes e.g. matching of households/respondents to address files, respondents that moved or deceased. SURVEY AGENCY will provide a checked longitudinal sample file (Deliverable SA04).

SHARE Coordination will then compile a final preload file and provide it via the SD (Deliverable SHARE02).

3.3.2 Refresher/baseline sample:

SHARE Coordination provides detailed sampling guidelines to the country team leader (CTL) and assigns a sampling expert to each country. The sampling frame and design will be discussed with and signed-off by the assigned sampling experts. Proper sampling of refresher samples will be demonstrated to SHARE Coordination by SURVEY AGENCY providing a sampling sign-off form (Deliverable SA05) that is a completed version of the Deliverable SHARE03 (see Annex Table 2). The task of the sampling expert is to monitor and then signed-off the sampling design of the assigned countries. In order to sign-off the sampling design, the sampling expert will inquire with the CTL and SURVEY AGENCY. CTL and SURVEY AGENCY will provide all information required by the sampling expert. The SURVEY AGENCY will provide the CTL, the sampling expert and SHARE Coordination with a sampling design data file (Deliverable SA06). SURVEY AGENCY shall make sure that a refresher sample is ready at least 4 weeks before the start of fieldwork. This lead time is necessary for SHARE to prepare the technical implementation of the sample into the SHARE Coordination-provided Sample Distributor (SD) software (Deliverable SHARE04). SURVEY AGENCY will provide the CTL, the sampling expert and SHARE Coordination with a gross sample data file with data on each sampled unit available from the sampling frame (Deliverable SA07), to be compiled in close collaboration with the assigned sampling expert.

4. Survey Design

The SHARE survey uses a *computer assisted personal interview* (CAPI) and an electronic contact protocol, the sample management system (SMS). During the interview, show cards will be used alongside CAPI. The interview also contains health measurements, so-called biomarkers. After the CAPI interview, respondents will receive a drop-off (“self-completion”) questionnaire. Adding country-specific questions to the generic items is permissible but all country-specific items must be approved by SHARE Coordination.

SHARE Coordination provides the following deliverables to conduct the interview:

- a questionnaire (CAPI) and sample management system (SMS) as one integrated executable software in English language (Deliverable SHARE05).
- a set of show cards to be copied or printed for the interviewers by SURVEY AGENCY (Deliverable SHARE06).
- materials for the physical measurement (grip strength measurement, peak flow devices & mouthpieces without special packaging, Deliverable SHARE07).
- a generic drop-off questionnaire in English language (Deliverable SHARE08).

Using the SHARE Coordination-provided CAPI, SMS show cards, physical measurement tools and drop-off is mandatory. No changes to the CAPI, SMS or show cards by the survey institutes are permitted.

5. Training

5.1 Train-the-Trainer sessions (TTT)

A train-the-trainer (TTT) programme (see below) will be centrally conducted by SHARE. SHARE Coordination will train representatives of SURVEY AGENCY on how to train the interviewers. Suitable material will be supplied by SHARE in English (Deliverable SHARE09). SURVEY AGENCY shall participate with at least one representative at each applicable TTT session. TTT training sessions will be conducted in English. Representatives of the SHARE country team will attend the TTT sessions. The TTTs will take place in Munich (Germany) on 16./17. February (pilot), 24./25. May (pretest) and 4./5. October 2012 (main data collection). The trainings will start after lunch on the first day and finish at about 15.30 on the last day. This should enable SURVEY AGENCY to arrive on the first and depart on the last day.

In addition, there will a one-day training session for IT staff of SURVEY AGENCY. SURVEY AGENCY shall attend the IT staff training with at least one person. The IT staff training will be conducted in English and will train SURVEY AGENCY in how to use the agency (server) part of the sample management system. The IT staff training will be held in Munich (Germany) in April 2012 (exact date tbd).

5.2 National Training Sessions (NTS)

SURVEY AGENCY shall confirm that all interviewers employed to work on the project have received general interviewer training, covering the following topics: ethical guidelines for interviewing human subjects, rules for asking questions and recording answers in an unbiased manner, proper procedures for locating and contacting respondents, and conducting conversion attempts for reluctant respondents. In addition, SURVEY AGENCY shall conduct SHARE-specific in-person training sessions (National Training Sessions) of interviewers in the national language(s) for the pilot, pre-test and main data collection after TTT sessions and immediately before each fieldwork period. SURVEY AGENCY shall make sure that all interviewers have extensive CAPI experience and have received in-person general interview training from SURVEY AGENCY prior to attending study specific training. This experience includes techniques for approaching a household, addressing respondent concerns, probing, recording responses, etc. Coverage of these topics will be demonstrated by submitting all presentation slides to SHARE Coordination in national languages (Deliverable SA08). For training interviewers, SURVEY AGENCY shall use translated materials provided by SHARE Coordination per Deliverable SHARE09. Only materials approved by SHARE-Coordination will be used in the interviewer training sessions. Representatives of SHARE country teams will get access to interviewer trainings if requested.

After the end of main data collection, SURVEY AGENCY shall hold a debriefing meeting with interviewers, in which the interviewers report on their experiences during the fieldwork. Results of these debriefing meeting will be submitted to SHARE Coordination through the Survey Agency Feedback Form (Deliverable SA09), which is the completed version of Deliverable SHARE10.

SURVEY AGENCY shall also deliver a report on national training sessions (Deliverable SA10) by submitting the completed form of Deliverable SHARE11. Should additional interviewers be trained during the fieldwork period, SURVEY AGENCY shall submit an additional report 4 weeks after the end of fieldwork, summarizing all additional training efforts.

6. Interviewers

For the longitudinal sample, SURVEY AGENCY shall make sure that as many interviewers as possible who worked on previous SHARE waves will also work on the current SHARE wave .

Only those interviewers who received training shall work on this project. Interviewer CAPI experience, training attendance and further details on interviewers will be demonstrated to SHARE Coordination by SURVEY AGENCY submitting the interviewer roster (Deliverable SA11, based on Deliverable SHARE12) which must contain data on all trained interviewers independent of their actual activity for SHARE. This means that the roster must contain interviewers who dropped out before conducting any interviews. Should additional interviewers be trained during the fieldwork period, SURVEY AGENCY shall submit an updated interviewer roster 4 weeks after the end of fieldwork.

Interviewers are responsible for

- locating and contacting sample persons.
- ascertaining cooperation from sample persons.
- making appointments for interviews.
- maintaining detailed records of each contact and contact attempt at *each gross sample member* using the electronic Sample Management System (SMS).
- identifying spouses who will be asked to provide an interview; conducting CAPI interviews with interview-eligible persons.

SURVEY AGENCY shall make sure that:

- No interviewer conducts more than 50 interviews in either panel or refresher/baseline samples to prevent interviewer effect; this will be assessed at the end of fieldwork by SHARE based on SMS data and published in the Compliance Profiles. Exceptions to this rule need written approval by SHARE Coordination.
- Interviewers are closely monitored for timeliness, data quality and falsifications. Each interviewer is assigned a unique identification number, which she or he will use when working with the sample management system or the CAPI. This will be assessed by SHARE using SMS data at the end of fieldwork and published in the SHARE Compliance Profiles.

SURVEY AGENCY and SHARE Coordination shall agree upon an interviewer payment scheme that includes an incentive scheme taking into account interviewer specific response rates, data quality and reliability. The interviewer incentive scheme is the responsibility of SURVEY AGENCY.

7. Data Collection Specifications

Data collection will be closely interconnected with the central data management service at SHARE Coordination. If requested by SHARE Coordination, SURVEY AGENCY shall deliver updated projections also throughout the fieldwork period. The fieldwork shall start no later than 15 October 2012 and will last a maximum of 8 months. Should fieldwork be incomplete by a deadline agreed upon by SHARE and SURVEY AGENCY, SHARE reserves the right to charge additional fees (see model contract).

For the longitudinal sample, SURVEY AGENCY is responsible for tracking individuals who moved, including individuals in institutions. SURVEY AGENCY and SHARE country team leader (CTL) shall agree upon required minimum tracking procedures. Upon completion of the main survey, all new addresses, e.g. from split households, together with the keys become the sole property of SHARE.

SURVEY AGENCY is responsible for providing basic information on deceased respondents who participated in any previous SHARE wave through conducting end-of-life interviews. Moreover, SURVEY AGENCY is responsible for confirming the death of a respondent who participated in any previous SHARE wave from official or other available sources (e.g. death register) and to provide information on month and year of death. SURVEY AGENCY and CTL agree upon death ascertaining procedures and SURVEY AGENCY will deliver a file listing all deceased respondents (Deliverables SA02 & SA03).

During the fieldwork SURVEY AGENCY shall deliver the following data:

Delivery of data will comprise files containing *interview data*, an ASCII file containing the *keystroke* and *timestamp files*, and data from the Sample Management System (SMS). These files as well as data from the SMS will be delivered to SHARE Coordination (via upload to the Centerdata servers) through the export function of the Sample Distributor software fortnightly on dates given by SHARE Coordination (Deliverable SA12).

SURVEY AGENCY is responsible for making sure that interview data from interviewers is delivered to them at least twice per week. Failure of SURVEY AGENCY to collect interviews from interviewers on a twice-per-week basis may result in inaccurate assessment of fieldwork status and is sole responsibility of SURVEY AGENCY.

SHARE Coordination will convert interview data sent by SURVEY AGENCY into SPSS & STATA format and will make these converted data accessible for SURVEY AGENCY for their own monitoring purposes (Deliverable SHARE13).

During field work of the main test SHARE will send out Fieldwork Monitoring Reports every other week to inform all survey agencies and country teams about the current state of fieldwork

and suggest solutions to problems with fieldwork progress or data quality (Deliverable SHARE14).

End of Study Procedures: SURVEY AGENCY shall work closely with SHARE Coordination to determine the best approach for closing the study and obtaining the response rate goal. SHARE Coordination must approve all such strategies. At the end of fieldwork, SURVEY AGENCY shall deliver a database with entered drop-off data (Deliverable SA13) by submitting drop-off data entered into a SHARE-Coordination-provided country-specific template with instructions (Deliverable SHARE15)

Technical Requirements:

The laptops and PCs used must accommodate the executable survey instrument code in a Windows™ 7, Windows™ Vista or Windows™ XP environment. No Linux or Macintosh can be supported. Laptops and PCs need a 32-bit or 64-bit operating system, 2 GB RAM, 1 GB free disk space (15 GB for the server) and a screen resolution of 1024x768 pixels. A broadband internet connection for data transfers is mandatory for each interviewer laptop. Proper synchronization is only possible if interviewer laptops can communicate directly with agency server via a functioning Internet connection. SURVEY AGENCY shall be responsible for supplying the computers.

8. Pilot & Pretest Specifications

(1) Pilot: The full questionnaire will be piloted to check for question routing, wording and translation issues based on a convenience sample of about 30 individuals. The pilots take place from 27 Feb. 2012 to 16 March 2012 and test the survey instrument. Two representatives of SURVEY AGENCY shall attend the pilot TTT in Munich on 16/17 Feb. 2012. All necessary deliverables (SHARE draft CAPI) to perform the pilot will be made available by SHARE Coordination in advance. SURVEY agency shall deliver a) a data base containing pilot interview data and b) a written report on findings and experiences of the pilot no later than 23 March 2012.

(2) Pre-test: The questionnaire will be pre-tested to check for question routing, wording and translation issues and SMS functionality with the goal of providing further input for questionnaire development. To test the panel version of wave 5 questionnaire, this pre-test should be based on all pretest panel respondents of the last wave or any previous SHARE wave. To test the refresher version of the wave 5 questionnaire, a random sample of eligible respondents will be drawn by SURVEY AGENCY large enough to yield 100 completed interviews. A draft drop-off questionnaire will be part of the pretest data collection. The pretest will take place from 4. June 2012 to 29 June 2012. Two representatives of SURVEY AGENCY shall attend the pretest TTT in Munich on 24/25 May 2012. The pretest should be conducted in such a manner that all procedures and resulting data will closely resemble the main data collection.

All necessary deliverables (SHARE revised draft CAPI & SMS, drop-off questionnaires) to perform the pretest will be made available by SHARE Coordination in advance. SURVEY

AGENCY shall deliver a data base containing a) pretest interview data, b) a written report on findings and experiences of the pretest and c) a data base containing drop-off data no later than 6 July 2012.

9. Payment Scheme

The schemes according to which payment for fieldwork costs is calculated are different for the longitudinal and the refresher samples (see Tables 1 and 2 in the main contract). The payment schemes are designed to reward high retention and response rates. They take into account the additional effort of SURVEY AGENCY for difficult cases, such as tracking respondents who moved since the last interview and conducting end-of-life interviews for respondents who died since the last interview. The payment schemes serve to compensate SURVEY AGENCY for extra costs that arise for difficult respondent cases.

SURVEY AGENCY and country team leader decide together how payments in excess of 100% of the estimated unit costs will be allocated (e.g. interviewer incentive, respondent incentive, end-of-life interview informant, agency).

End-of-life interviews with respondents from subsamples A and B will be counted as full interviews in the calculation of the retention rate. Interviews with respondents in longitudinal subsample C and D do not count towards the calculation of the retention rate, but will be paid based on, or as a multiple of, the average price according to the retention rate achieved in longitudinal subsamples A and B.

Valid Interviews:

On occasion, a respondent may express reluctance to continue an interview. If a respondent is unable to finish the questionnaire at that time, interviewers shall make an appointment to return to the household at another time convenient for the respondent to complete the interview. An interview is also considered as invalid if at least one of the following conditions is met:

- An interview from the 2012 SHARE wave that cannot be properly matched with the corresponding interview conducted by the same respondent in previous SHARE waves. A dataset is considered as properly matched if all cases are matched correctly by at least sample identification numbers, gender, and year of birth.
- SHARE or SURVEY AGENCY finds indications of interviewer falsifications, which cannot be satisfactorily clarified.

10. Respondent Contact Procedures

9.1 Advance letters

SURVEY AGENCY will mail a SHARE Coordination-approved letter to all eligible gross-sample members to notify them of the study. The letter will introduce the purpose of the study, the rights of respondents, what will be requested from them during the interview, and the data confidentiality responsibilities of the researchers and the survey agency. The letters will be tailored to the sample persons depending on whether they stem from the longitudinal or the refresher sample.

9.2 Mode and timing of contact attempts

Initial contact with the selected sample person will be made in-person or by telephone. In-person and telephone contacts shall be made at varying times of day and days of the week over the entire field period to maximise potential contact with the household and/or respondent. Before a household can be considered a non-contact, a minimum of **eight** contact attempts according to the following call schedule is required.

| Timing of contact attempts | Minimum number of contact attempts |
|-----------------------------------|---|
| Weekday daytime | 2 |
| Weekday evening | 2 |
| Weekend | 2 |

Non-contacted sample persons shall be re-attempts throughout the survey period. The contact attempts shall be spread over at least 2 months. All specifications on contacting households will be assessed with SHARE SMS data after end of fieldwork and published through the SHARE Compliance Profiles.

9.3 Record of calls

For each telephone or in-person contact or contact attempt with the sample member or members of their household, or other informants such as neighbours, interviewers shall record the date of the call or visit, time of the call or visit, result code, which describes the call or visit outcome, contact type (telephone versus in-person), and interviewer comments about the call or visit if necessary. This information shall be entered into the electronic sample management system (SMS). Interviewer comments should be sufficiently detailed so that someone other than the interviewer can understand the sequence and nature of calls and visit to a sample respondent. A set of standard result codes will be provided for classifying the outcome of each case. All quality control will be based on data provided to SHARE through the SMS. Records on contact attempts or successful contacts kept outside of the SHARE SMS will not be considered for assessment of fieldwork quality indicators.

9.4 Conversion of reluctant respondents

SURVEY AGENCY shall attempt to convert every initially non-cooperative sample member. Interviewers must maintain detailed call records in the SMS, which clearly indicate the nature of

the respondent's reasons for being reluctant to participate. These contact protocols will be the basis for determining whether the reluctance can be regarded as a final refusal or whether a reluctance conversion attempt will be made. All cases, which express reluctance to participate, must receive a reluctance conversion attempt if it is not considered a final refusal. Where appropriate, initially reluctant sample members may be offered an incentive for their participation.

9.5 Respondent contact information and stable addresses

Interviewers shall ask each respondent for a confirmation of their *full contact information*. In addition, interviewers shall ask for *stable addresses*, i.e. the name, address and telephone numbers of two persons, who can give information about the respondent's whereabouts in case he/she moves between SHARE waves. If a proxy respondent is involved in the interview SURVEY AGENCY shall require interviewers to provide full contact information of the proxy as well. SURVEY AGENCY shall keep respondent contact information separate from the survey data in electronic format at no additional cost to the study for a period of 5 years. The re-contact record for each respondent will also include its unique sample identification number.

9.6 Panel care

SURVEY AGENCY takes appropriate measures to maintain contact with and ensure future cooperation with respondents (panel care). At a minimum these measures include:

- the mailing of a “thank you” letter to all respondents after their participation.
- the mailing of a first results brochure along with a pre-stamped postcard, which allows respondents to announce changes in their contact details (e.g. in case of moving).
- the mailing of a season's greetings card in 2012 and 2013.
- the mailing of birthday cards in 2012 and 2013.
- address checking of post-office returns.

Documentation of panel care will be reported to SHARE through Survey Agency Feedback Form (Deliverable SA9).

11. Quality Control Procedures

10.1 Verification

SURVEY AGENCY shall certify that a minimum of 20 percent of each interviewer's completed interviews are verified by supervisory personnel. Verification involves calling the respondent by telephone and re-asking factual questions from various parts of the interview. SURVEY AGENCY shall provide documentation about their back-checking efforts by submitting the Back-Check tracking sheet (Deliverable SA14) provided through Deliverable SHARE16. SURVEY AGENCY shall accept *quality control back-checks*, e.g. contacting interviewed households by SHARE to ensure that the interview actually took place, acceptance of visits or feedback meetings by the SHARE country team leader (CTL)/co-ordinator.

10.2 Quality back-checks

Furthermore, SHARE will conduct *data quality control checks*, e.g. statistical and data cleaning process checks. SHARE may inspect verification and other quality control materials without prior notice throughout the data collection and data processing period. Any interviewer credibly suspected of interview falsification will have 100 percent of his or her work verified. Upon demand of SHARE, SURVEY AGENCY shall exclude any interviewers failing to pass SHARE quality controls from the entire survey. In all such cases these interviews will be re-conducted at no cost to SHARE.

All deliverables, requirements and measures specified in this document are considered *material duty*.

SHARE will notify the respective actor to submit deliverables before assessment of compliance with standards outlined above is conducted. Failure to provide deliverables specified in Annex Table 1 is considered failure to comply with the standards assessed through the deliverable. SHARE shall make findings of Compliance Profiles available to all SHARE country teams and the SHARE Survey Management Board.

Annex Table 1. Deliverables of SURVEY AGENCY – SHARE Wave 5

| Nr. | Deliverable | Based on SHARE Coordination deliverable | Due date |
|------------|---|--|---|
| SA01 | List of longitudinal respondents/households from agency address file | na | Tbd |
| SA02 | List of all deceased respondent together with the source of information (e.g. from registers, panel care) | na | Tbd |
| SA03 | Updated list of deceased respondents | na | 8 weeks after end of fieldwork |
| SA04 | Checked longitudinal sample file | SHARE01 | tbd |
| SA05 | Sampling sign-Off Form | SHARE03 | 15 Oct. 2012 |
| SA06 | Sampling design data file | na | Tbd |
| SA07 | Gross sample file | na | 15 Oct. 2012 |
| SA08 | Presentation slides of national training sessions | na | 4 weeks after start of main data collection, 4 weeks after end of main test |
| SA09 | Completed survey agency feedback form | SHARE10 | 31 Dec. 2013 |
| SA10 | Completed national training session report form | SHARE11 | 8 weeks after beginning of field work, 4 weeks after end of fieldwork |
| SA11 | Completed interviewer roster (Appended File Package 3) | SHARE12 | 8 weeks after beginning of field work, 4 weeks after end of fieldwork |
| SA12 | CAPI-, SMS-, keystroke data generated during interview process | na | Fortnightly during main data collection |
| SA13 | Drop-off data file with entered drop-off data | SHARE14 | 01 Nov. 2013 |
| SA14 | Completed back-check tracking sheet | SHARE16 | 6 months after end of main data collection |

Annex Table 2. Deliverables of SHARE Coordination - SHARE Wave 5

| Nr. | Deliverable | Due date |
|------------|--|---|
| SHARE01 | Longitudinal sample check file and guidelines for checks | tbd |
| SHARE02 | Sample Distributor (SD) software with preloaded panel sample | 15 Oct. 2012 |
| SHARE03 | Template of Sampling Sign-off Form | 01 Jan. 2012 |
| SHARE04 | Sample Distributor (SD) software with refresher sample | 15 Oct. 2012 |
| SHARE05 | SHARE CAPI & SMS executable program in English | 09 Sept. 2012 |
| SHARE06 | Show cards with response options in English | 09 Sept. 2012 |
| SHARE07 | Dynamometers, peak flow devices, mouthpieces without special packaging | tbd |
| SHARE08 | Drop-off questionnaire (generic items mandatory, country-specific additions possible) in English | 01 Oct. 2012 |
| SHARE09 | Interviewer training materials in English (SMS & SD manuals, Interviewer manuals etc.) | 01 Oct. 2012 |
| SHARE10 | Survey agency feedback form | 15 Oct. 2012 |
| SHARE11 | National training session report form | 15 Oct. 2012 |
| SHARE12 | Interviewer roster template | 15 Oct. 2012 |
| SHARE13 | Interview data in SPSS/STATA format | Fortnightly during main data collection |
| SHARE14 | Fieldwork monitoring reports | Fortnightly during main data collection |
| SHARE15 | Drop-off data entry template & instructions | 01 Jan. 2013 |
| SHARE16 | Template of back-check tracking sheet | 01 Jan. 2013 |