# PISA-D Strand C Field Trial Survey Operations Quality Control and Management Manual

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# CHAPTER 1 – INTRODUCTION

An important aspect of the Programme for International Student Assessment for Development (PISA-D) is that participating countries must comply with the set of standards established in the Technical Standards document. This will help ensure that the sources of survey variability are minimised and that the data collected and reported in PISA-D are reliable and valid.

The PISA-D Strand C Field Trial Survey Operations Quality Control and Management manual provides PISA-D Strand C survey managers information about the survey operations quality control measures that the Consortium requires all countries to follow and includes additional management and respondent outreach materials aimed at maximising response rates.

Chapter 2 provides examples of management reports that are useful in monitoring data collection.

Chapter 3 details the fieldwork quality control measures to be used during the Field Trial and provides instructions for completing Fieldwork Quality Control Forms.

Chapter 4 provides instructions on the use of the Consortium Survey Operations Quality Control Monitoring Forms that the data collection agency and/or the National Project Managers are to complete prior to, during, and after the Field Trial data collection. It also includes instructions for completing and submitting the Field Trial quality control monitoring reports to the Consortium via SharePoint.

Chapter 5 discusses the bi-monthly survey operations quality control monitoring calls including scheduling, agenda and follow-up activities.

Chapter 6 addresses communication tools available to countries to remain in contact with the Consortium.

Finally, Chapter 7 discusses materials that managerial staff can use to encourage respondent cooperation including a press release and endorsement letters.

# CHAPTER 2 – FIELD MANAGEMENT SYSTEM REPORTS

## 2.1  Overview

Informative and timely field management reports are critical to the success of any data collection effort. Management reports should be available to a variety of management staff and the level of detail contained in the reports should vary depending on the user. For instance, home office staff may have access to data for all areas and regions, while supervisors and field managers may only need access to the areas and regions they directly supervise. The following sections describe survey management reports that have been implemented in the Case Management System.  They should provide the minimum data needed to manage a survey like PISA-D Strand C.

## 2.2  Using Management Reports

Management reports can be used for a variety of purposes, including daily production monitoring and guiding the weekly interviewer/supervisor conference calls. Ideally, the reports should include the latest data, as provided by interviewing staff during daily data transmittal and weekly mailings of hardcopy materials. Each report has been developed and designed for a different purpose and use data from slightly different sources or display the results in different ways.

## 2.3  Management Reports Examples

The following sections provide details on management reports developed for the Strand C Field Trial.

### 2.3.1  Production Report

The Production Report allows the user to quickly determine the status of data collection production as well as the number and proportion of cases that have been completed. The report should provide study production results on a daily basis for the Screener (if applicable), YI, and Exercise. The report shows results at different hierarchical geographical levels, such as primary sampling unit (PSU), region, and overall. Extended and condensed versions of the report are available, with the extended version providing more detail such as one row of data for each area within the selected region or PSU, and the condensed version showing totals for all areas within a region or PSU (i.e. results collapsed into one row per region or PSU).  Separate reports for the probability sample and the referral cases are available. Technical specifications for each are available in Appendix A.

### 2.3.2 Interviewer Report

The Interviewer Report displays detailed production results at the interviewer level for each instrument in Strand C. This report allows supervisors to analyse the number of cases in the various pending and final disposition code categories. Examining this information by interviewer provides the supervisor with information that will be extremely helpful during the weekly supervisor/interviewer conference calls. Supervisors will be able to determine exactly how many cases were completed during the reporting period, as well as how much work has been done with pending cases. This report can also be useful in comparing production across interviewers. Separate reports for the probability sample and the referral cases are available. Technical specifications for each are available in Appendix B.

### 2.3.3 Response Rate Report

Attaining high response rates in the probability sample is very important. Therefore, close monitoring of response rates is essential throughout the study. Response rates should be calculated for the entire sample, but can also be calculated by demographic characteristics such as region, in-school/out-of-school, age and gender. Response rates should be monitored separately for the Screener (if applicable), YI, and Exercise. Technical specifications for the report are available in Appendix C.

### 2.3.4 Disposition Code Report

This report shows counts of cases by disposition code for the Screener, YI, Core assessment and Main assessment for the probability sample and non-probability sample separately. The disposition codes include both pending and final ones. Also note the Screener report is applicable for probability sample only, and the Core Assessment report is applicable for the main survey only.  This report will be helpful in completing the Data Collection Form described in Chapter 4 of this manual.

# CHAPTER 3 - FIELDWORK QUALITY CONTROL

## 3.1   Overview

Quality control is an integral component of the overall success of PISA-D Strand C. Various measures have been developed to ensure that the data collected in Strand C is of the highest quality.

This chapter explains the fieldwork quality control procedures for the Strand C Field Trial. An introduction to the fieldwork quality control forms developed by the Consortium is provided along with instructions for their use.

## 3.2   Validation

Validation (back-checks) is an extremely important component of fieldwork quality control. Supervisors should routinely conduct validations to verify that an interview was conducted or attempted as reported by the interviewer. Strand C countries should validate at least **10 percent** of each interviewer's finalised work to ensure that the case was handled according to study procedures. This includes completes and those finalised with any other disposition codes, such as vacant or refusal. **Cases for validation should be randomly selected.**

Validation must begin within the first two weeks of the data collection period so that any identified problems can be addressed immediately. Validation should preferably be conducted by supervisory staff over the telephone or in person. If unable to complete the validation via telephone (e.g., the dwelling unit is vacant or no telephone number is available), supervisors can assign the validation to an experienced, specially trained interviewer to conduct the validation in person. As supervisors conduct validations they will learn that many respondents have imperfect memories of the interview content and length. Nevertheless, by the end of the validation call, the supervisor will usually have enough information to determine the validity of the interview.

### 3.2.1 Validation Forms

Separate supervisor and interviewer validation forms have been developed by the Consortium. The next sections describe the two types of validation form in detail.

### 3.2.2 Supervisor Validation Form

Prior to conducting the validation, the supervisor must prepare the validation form with specific information from the original interview to be verified during the validation. The responses from the YI regarding the respondent's date of birth and total number of brothers and sisters should be entered into the form (see items B6 and B7).

At the top of the first page of the **Supervisor Validation Form** (PD1_(1606)_OPS_Strand C FT Supervisor Validation Form_1), the supervisor will record basic administrative information about the interview, including:

- Case ID of the case being validated;

- Name of interviewer who finalised the case;

- Interviewer ID;

- Address of the case;

- Telephone number of the case;

- Respondent name; and

- Disposition code for the YI and Exercise.

The next section of the first page is a contact log for the supervisor to record all contact attempts at completing the validation. The information that should be documented here for each validation attempt includes:

- Day;

- Date;

- Time;

- Name of person who conducted validation attempt;

- Type of validation (described below);

- Result of validation attempt (described below); and

- Comments.

Below the contact log is a section labelled Validation Status. Two columns of codes appear in this section. The column on the left, "Type," indicates whether the case was originally selected as part of the standard validation procedure, was a substitute for pre-selection, or was selected for additional validation. Additional validation cases would be selected under circumstances of known or suspected falsification. Staff assigning validations should indicate what type of validation it is by writing the appropriate validation type in the "Type" column. The column on the right, "Result," includes the codes that should be used in the "Result" column in the contact log above. Once the validation interview is finalised, the validator should write the appropriate status code in the "Result" column. Any validation cases finalised as "potential problem" or "validated unacceptably" must be fully documented in the Documentation of Validation Problem Situations section of the validation form.

**Section A** applies to screener cases only.  It is used for cases for which a Screener was completed but no eligible person was found.  In this section, the household address is confirmed, and respondents are asked very general questions about their contact with the interviewer.

**Section B** applies to both screener and non-screener cases.  It is used to validate cases in which at least the YI was completed. Once the validator verifies that the respondent remembers the interview and lived at the case address, a few YI questions are re-asked. These questions are those with responses that should not change (or are less likely to change), such as birth date and total number of brothers and sisters. The respondent's answers should then be compared to what was collected on the YI, which should be displayed on the validation form. Any difference in the responses is a cause for concern and should be documented in the Documentation of Validation Problem Situations section at the end of the form.

The remaining items in this section verify the interviewer's performance, such as the amount of time spent at the respondent's home, whether the interviewer used a tablet computer, how polite the interviewer was, and whether the interviewer provided assistance during the Exercise administration.

**Section C** applies to both screener and non-screener cases.  It should be completed if the validator found evidence of possible interviewer falsification or if the telephone number associated with the case does not match the household or respondent address. The validator should provide as much detail as possible in this section.

Based on the results of the call, the validator should then determine the overall result of the validation effort and assign one of the specified result codes.

### 3.2.3  Interviewer Validation Form

In some cases, it is not possible for the supervisor to complete a validation because the dwelling unit was vacant or out of scope, there is no telephone number for the household/ respondent or the supervisor was unable to reach the household or respondent via telephone after several attempts. In these situations, the validation should be assigned to an experienced interviewer who will visit the address. (Please note that the interviewer conducting the validation should not be the same interviewer who was originally assigned the case and completed the initial contact attempts.) The form to be used by the interviewer very closely resembles the Supervisor

Validation Form. The elements of the **Interviewer Validation Form** (PD1_(1606)_OPS_Strand C FT Interviewer Validation Form_1) that differ are described in detail below.

**Section A** of the form, No Contact with Household, documents the original reason for no contact such as vacancy, dwelling unit problem, or contact problem. This should be coded based on the original case disposition code. If the dwelling unit was originally vacant, the first thing the interviewer should do when he or she visits the address is determine if it is still vacant. If the address is still vacant, the validation is complete. However, if the address is no longer vacant, the interviewer should ask to speak to a household member to determine if that household was living at the address at the time of the original contact. If the persons currently residing there were not living at the address at the time of the original contact, the validation is complete. However, if the persons were living there, and the case was erroneously coded vacant, the interviewer should note that on the validation form and contact their supervisor.

If the original reason for no contact was a dwelling unit problem other than vacancy, the validation interviewer is asked to assess the dwelling unit problem. If the address qualifies as a dwelling unit, the interviewer should document this on the validation form and contact their supervisor. If the address does not qualify as a dwelling unit, the validation is complete.

The remainder of the Interviewer Validation Form is similar to the Supervisor Validation Form.


## 3.3    Review of Audio Recording of Interviews

Interviewers will be required to record two interviews shortly after the start of data collection. Interviewers are instructed to record their third and tenth interviews; however, if the respondent does not agree to be recorded, the next interview should be recorded instead. Permission for the recording must be requested before the audio recorder is activated and again after the recording started [COUNTRIES SHOULD ADAPT THIS PROCEDURE IF PARENTAL CONSENT IS REQUIRED BY LAW]. The audio recording should include administration of the YI and the Exercise.

These recorded interviews will be reviewed by supervisory staff to ensure that interviewers are administering the Strand C instruments according to specific study procedures taught at in-person training. Once the recorded interviews have been reviewed, performance feedback is provided to the interviewer. If the review of the interviews leads to the conclusion that additional training is required, supervisors will follow-up with the interviewers.

An **Audio Recorded Interview Evaluation Form** (PD1_(1606)_OPS_Strand C FT Audio Recorded Interview Evaluation Form_1) has been developed by the Consortium to facilitate the evaluation of recorded interviews. This form is discussed in detail below.

The first section of the form requires the evaluator to record basic administrative information about the recorded interview, including:

- Interviewer name;

- Interviewer ID;

- Supervisor name;

- Case ID of the recorded interview;

- Date on which the interview was conducted; and

- Date on which the evaluation was conducted.

The next section of the form includes additional general information about the quality of the recording. The evaluator should circle the appropriate response to indicate whether the following is true:

- The case ID was read aloud by the interviewer;

- The interviewer stated that he or she was recording;

- The respondent's verbal consent to be recorded was audible [COUNTRIES SHOULD ADAPT THIS PROCEDURE IF PARENTAL CONSENT IS REQUIRED BY LAW]; and

- The full interview administration was recorded and audible. If not, the problem should be described.

If all of the above conditions are met, the evaluator should indicate that the recording is of acceptable quality and continue with the evaluation. If not, the evaluator should discuss with the interviewer and request that another interview be recorded.

The evaluator should listen to the entire YI and Exercise to determine the following:

- Whether the questions were read as worded;

- Whether probing was conducted in a non-leading way;

- Whether the interviewer effectively maintained the flow;

- The interviewer's level of professionalism when interacting with the respondent;

- The way the interviewer handled any respondent refusal to answer a question;

- Whether the interviewer correctly used an interpreter, if applicable.

- Whether the interviewer provided adequate guidance to respondent during tutorial, and

- Whether the interviewer responded adequately to respondent questions or concerns.

The above items should be given a rating of between 1 and 5, with 1 indicating poor performance and 5 indicating excellent performance. For each item, there is also a not applicable (N/A) option. Once all eight items are evaluated, the reviewer must add the assigned

points. This means adding the values of the circled scores, including 3 points for any N/A response. The total score determines whether the interviewer must be retrained:

- a score of 17 and below for the YI requires the retraining of the interviewer on YI administration.

- a score of 5 and below for the Exercise requires the retraining of the interviewer on Exercise administration.

Any item assigned a score of less than 3 will require re-training of the interviewer even if the total score for the section is equal to or higher than 18 for the YI and 6 for the Exercise.

Following the evaluation of the recorded interview, the evaluator must complete the Record of Feedback to Interviewer section. If additional training is required, the evaluator should indicate the specific topics that need to be addressed, such as interview skills, professionalism, respondent rapport, and interaction during Exercise. There is also space to record additional comments, as well as the date the evaluation was discussed with the interviewer. Regardless of the outcome of the recorded interview, the results of the evaluation should be discussed with the interviewer. This discussion should take place during the scheduled weekly supervisor/interviewer conference call, as soon as possible after the interview has been evaluated.

## 3.4   Observation

Observing interviewers conducting their job in the field is a very effective way of monitoring their performance and adherence to survey procedures. Observation can be used as a substitute for recording interviews. Ideally, all interviewers should be observed very early in the field period so that they can improve their performance if needed before they complete the majority of their cases. Observation also provides the observer with a better understanding of the interviewers' tasks by experiencing first-hand the administration of the Strand C instruments and seeing how the study procedures work in the field.

Observers may accompany an interviewer when visiting a household or respondent for the first time or when returning for a scheduled appointment. Several guidelines must be followed when conducting an interview observation.

The interviewer should:

- Introduce the observer by name and obtain verbal permission from the respondent to conduct the interview in the presence of the observer [COUNTRIES SHOULD ADAPT THIS PROCEDURE IF PARENTAL CONSENT IS REQUIRED BY LAW]; and

- Explain that the observer is there to evaluate the survey procedures.

The observer should:

- Be thoroughly familiar with the Strand C instruments, materials and procedures to be able to evaluate the interviewers' performance and provide feedback;

- Be as unobtrusive as possible;

- Sit far enough away from the interviewer and the respondent so as not to distract, but close enough to hear and observe the interaction;

- Refrain from making corrections or comments while in the household unless the interviewer asks for assistance. If assistance is requested, the observer should provide clarification in a clear, concise, non-threatening way;

- Meet with the interviewer as soon as possible after the completion of the interview to provide feedback; and

- Complete the Observation Form for every observation conducted.

## 3.4.1 Observation Form

The outcome of the observed interview should be documented using the Strand C Field Trial **Observation Form** (PD1_(1606)_OPS_Strand C FT Observation Form_1), as developed by the Consortium.

The first section of the form requires the observer to record basic administrative information about the interview, including:

- Interviewer name;

- Interviewer ID;

- Observer name;

- Case ID of the observed interview;

- Date on which the interview was observed;

- Start and end time of the observed interview; and

- Overall indication of whether the observation was acceptable or if interviewer retraining is required.

**Section A** assesses the interviewer's skills at making the initial contact with the respondent/household and his or her adeptness with the study materials and equipment. In Question A-1, interviewers are rated on their skills in explaining the study, securing respondent or household cooperation, using the introductory materials effectively, and overall professional appearance and demeanour. Question A-2 documents whether the interviewer had all materials available and the ease with which the tablet computer was set up.

The above items should be given a rating of between 1 and 5, with 1 indicating poor performance and 5 indicating excellent performance. For each item, there is also a not applicable (N/A) option. Once all six items are evaluated, the reviewer must add the assigned points. This means adding the values of the circled scores, including 3 points for any N/A response. Enter the total score for Section A in the appropriate field. The total score determines whether the interviewer must be retrained; a score of 20 and below requires the retraining of the interviewer. Please note that if any one item received a score below 3, the interviewer should be retrained on the one area of concern, even if the total score is 21 or higher.

In some cases, the interviewer will have already made initial contact with the respondent/ household and the observed interview will begin at the Screener (for screener cases) or the Youth Interview (for non-screener cases). In this case, the observer should skip Section A and move directly to Section B or C.

**Section B** assesses the interviewer's skills in administering the Screener. Interviewers are evaluated on the following criteria:

- Correctly identifying the eligible screener respondents;

- Completing the household enumeration correctly;

- Reading questions as worded;

- Probing;

- Navigating the Screener;

- Using the correct Show Card;

- Following hidden DU procedure, and;

- Correct use of interpreter.

This section is graded as described above. A score of 23 and below requires retraining of the interviewer. If any one item received a score below 3, the interviewer should be retrained on the area(s) of concern. The reviewer should make any necessary comments and enter the total score for Section B in the appropriate field.

**Section C** assesses the interviewer's skills in administering the Youth Interview. Interviewers are judged on the following criteria:

- Transitioning to/introducing the YI;

- Reading items as worded;

- Non-leading probing;

- Navigating the CAPI (Computer-Assisted Personal Interviewing) system;

- Use of Show Card booklet; and

- Interpreter use (if applicable).

This section is graded as described above.  A score of 17 and below requires retraining of the interviewer. If any one item received a score below 3, the interviewer should be retrained on the area(s) of concern. The reviewer should make any necessary comments and enter the total score for Section C in the appropriate field.

Please note that if the respondent refused to complete the Youth Interview or did not complete the component for any other reason, the observer should skip Section C and go directly to Section G. If the YI is only partially completed, the observer should complete Section C and then proceed directly to Section G.

**Section D** is used to evaluate the interviewer's administration of the Exercise. Although the Exercise is completely self-administered by the respondent, the interviewer must facilitate its completion by providing the required materials, establishing the proper setting, encouraging the respondent to attempt all items, etc. The following evaluation criteria should be used:

- Transition to the Exercise;

- Establishment of a proper setting for the Exercise;

- Maintenance of non-active role (not offering assistance or providing answers), while still encouraging participation; and

- Ability to put respondent at ease.

This section is graded as described above.  A score of 11 and below requires the retraining of the interviewer. If any one item received a score below 3, the interviewer should be retrained in the area(s) of concern. The reviewer should make any necessary comments and enter the total score for Section D in the appropriate field.

Please note that if the respondent refused to complete the Exercise or did not complete it for any other reason, the observer should skip Section E and go directly to Section G. If the Exercise is only partially completed, the observer should complete Section E to the extent possible and then proceed directly to Section G.

 **[FOR COUNTRIES WITH AN INCENTIVE]Section E** consists of one item – whether the interviewer followed the correct procedure in providing the incentive to the respondent. If the respondent refused to complete the interview or no incentive is offered by the country, select N/A. A score of 2 or below requires the retraining of the interviewer in proper incentive procedures. The reviewer should make any necessary comments and enter the total score for Section E in the appropriate field.

**Section F** refers to the interviewer's ability to maintain interview flow and pace, interact with the respondent, and navigate the instrument. The interviewer is assessed on the following criteria:

- Handling of respondent questions at initial contact and throughout the interview;

- Maintaining the flow of the Youth Interview;

- Maintaining the pace of the Exercise;

- Ability to launch CAPI instruments;

- Ability to launch and navigate through the instrument; and

- Ability to correct errors.

This section is graded as described previously. A score of 17 and below requires the retraining of the interviewer. If any one item received a score below 3, the interviewer should be retrained on the area(s) of concern. The reviewer should make any necessary comments and enter the total score for Section F in the appropriate field.

**Section G** focuses on the form that should be completed by the interviewer if any component of the interview was refused or otherwise not completed by the respondent. The interviewers should be scored on:

- Ability to exit the interview graciously upon refusal/inability to complete;

- Promptness in completing Non-Interview Report Form; and

- Thorough completion of the Non-Interview Report Form

This section is graded as described previously. A score of 8 or below requires the retraining of the interviewer. If any one item received a score below 3, the interviewer should be retrained on the area(s) of concern. The reviewer should make any necessary comments and enter the total score for Section G in the appropriate field.

If the respondent completed the interview and the interviewer had no reason to complete the Non-Interview Report Form, this section should be skipped.

Ideally, the observer should plan to meet privately with the interviewer and provide feedback on his or her performance as soon after the completion of the interview as possible. A mentoring approach often works best to help the interviewer to further develop his or her skills. In **Section H** of the Observation Form, the observer should indicate whether there was an opportunity to provide any feedback to the interviewer and make any comments as needed.

Finally, the observer should provide an indication of the difficulty of the interview, on a scale of 1 to 5, with 1 meaning easy and 5 meaning difficult. The observer should take several factors into consideration when assigning this score, including the respondent's willingness to participate, respondent disabilities or difficulties, etc. These factors are important to consider as they may have played a part in the interviewer's performance.

## 3.5    Other Fieldwork Quality Control Procedures

All Case Folders should be returned to the home office once a case has been finalised. Home office staff should review the Case Folders to ensure that they have been completed as required.

The Record of Contacts should be reviewed to ensure that it was adequately filled out by the interviewer, with all contact attempts documented appropriately. If the case was completed, the final complete code for each component should be documented on the Case Folder.

# CHAPTER 4 – SURVEY OPERATIONS QUALITY CONTROL MONITORING FORMS

## 4.1 Overview

During the survey planning and data collection stages, countries will be required to complete Survey Operations Quality Control Monitoring Forms to report on the procedures that will be followed to ensure high data quality.

## 4.2 Data Collection Form

The **Data Collection Form** (PD1_(1606)_OPS_Strand C FT DataCollection Form_1) was designed to determine if countries are adhering to the technical standards during the Field Trial data collection.

The form asks about survey operations activities carried out by countries during the two months prior to the beginning of data collection, the four months of data collection, and the month immediately after. The form includes questions about the preparation phase of data collection and covers topics such as:

- Field staffing and management;

- Plans for contacting households/respondents;

- Household/Respondent outreach materials;

- Ways of dealing with nonresponse;

- Field management system;

- Field quality control measures; and

- Plans to train staff on ethics and confidentiality.

Additional questions focus on the progress of data collection and cover topics such as:

- Household/Respondent outreach efforts;

- Ways of dealing with nonresponse;

- Reasons for refusals;

- Production;

- Field staff management;

- Field quality control measures; and

- Any ethics or confidentiality issues identified.

Instructions are provided on the form to indicate which questions are relevant depending on the data collection timeline.

The form to be used is in PDF format and can be filled out electronically. Countries will use the Strand C SharePoint site to download a blank copy of the form and upload the completed form **at least three days prior to the quality control monitoring calls**. The Consortium will review the completed form and use its content to guide the discussion during the bi-monthly conference call with each country.

Countries will be required to ensure that the information provided with each submission of the form is current. If any change occurred relative to any of the information previously reported, such changes should be reflected on the form. To make this process easier, countries are strongly advised to reuse and update the form most recently submitted and review each piece of information before submission.

## 4.3   Interviewer Training Form

In-person training is designed to maximise trainees' involvement and participation in the training and to provide ample opportunity for supervisory staff to observe and evaluate trainee performance. All interviewer training sessions must be fully scripted to ensure consistency of presentation across training rooms, which is particularly important when a large number of interviewers are being trained in separate sessions across the country. Scripted materials also ensure that all training points are adequately covered, eliminating the need for training staff to speak extemporaneously. To maintain trainee interest and attention, the training sessions use a mixture of presentation techniques such as demonstrations, lectures, interactive interviews, role-plays, and exercises.

The interviewer training package developed by the Consortium should be used by participating countries to train their Strand C interviewers. As countries develop additional training materials to meet their specific needs, they should follow the training approach and format employed by the Consortium. Adaptations to Consortium-developed training materials are expected so that countries can train on country-specific situations.

The PISA-D Strand C Field Trial **Interviewer Training Form** (PD1_(1606)_OPS_Strand C FT Interviewer Training Form_1) was designed to understand each country's interviewer training sessions and ascertain adherence to the training standards. The form includes questions about:

- The number of trainers and trainees;

- The experience profile of trainees;

- Training materials used; and

- Topics covered at training.

Participating countries will complete a form for each interviewer training session. Countries will submit the form to the Consortium **within a month** after each interviewer training. Countries will use the PISA-D SharePoint site to download a blank copy of the form and submit the completed form(s). The form to be used is in PDF format and can be filled out on screen.

## 4.4   Interviewer Debriefing Form

Countries must implement an interviewer debriefing form following the Field Trial data collection to ensure that interviewer feedback is obtained. The PISA-D Strand C Field Trial **Interviewer Debriefing Form** (PD1_(1606)_OPS_Strand C FT Interviewer Debriefing Form_1) has been designed to collect feedback about the Field Trial from interviewers in all Strand C countries.

The form should be translated into the country language(s). All Strand C interviewers should be given a paper copy of the form to complete, although completing the form is not mandatory. The form includes questions about:

- Training;

- The administration of the Youth Interview;

- The administration of the Exercise;

- The interview in general; and

- The Interviewer Help Line (if applicable).

Since interviewers are expected to provide feedback on each section of the YI separately, it is strongly encouraged that countries provide a document featuring screenshots for all the questions in the country's YI to be used as a reference for interviewers in the field. Otherwise, interviewers might find it difficult to recall and report problems with particular questions.

In addition to administering the debriefing questionnaire to interviewers, countries should conduct a debriefing session in person or via telephone with interviewers using the Interviewer Debriefing Form to guide the discussion. If it is not possible to debrief all interviewers, a subset of them (e.g., most experienced interviewers) should participate in the debriefing session.

Feedback from interviewers about these topics will be helpful for the design of future cycles of Strand C, therefore, interviewers should be encouraged to complete the form and participate in the debriefing session. **Countries should submit a report summarising their debriefing findings to the Consortium using the debriefing form as a template.** Each country should summarise interviewer feedback for each question on the form, adding the summary under each question.

## 4.5   Instructions for Downloading, Completing, and Submitting the QC Monitoring Forms

This section provides detailed instructions on how to work with the QC Monitoring Forms and should be followed as closely as possible.

### 4.5.1  Downloading Forms from the PISA-D SharePoint Site

- Go to https://etsorg1.sharepoint.com/sites/ext/PISA-D/STRANDC%20Document%20Libraries/Forms/AllItems.aspx?RootFolder=%2Fsites%2Fext%2FPISA%2DD%2FSTRANDC%20Document%20Libraries%2FSTRD%2DC%20Field%20Trial%20Resources&FolderCTID=0x01200084D328B5D533D447B63BA12CF12BE4F3&View=%7B97F43ED3%2D0E67%2D4139%2DA641%2D92B21116E3F7%7D

- Log in using your username and password.

- Go to **Survey Operations → FT Quality Control** folder to look for the appropriate form you need to complete.

- The document will open in Adobe Acrobat Reader, a free programme that can be downloaded at http://get.adobe.com/reader/.

- Save the document on your computer.

### 4.5.2  Instructions for Completing the Forms

The Data Collection and Interviewer Training Forms are PDF files that must be filled out electronically. You can enter and edit information in the forms using Adobe Acrobat Reader. (This set of instructions does not apply to the Interviewer Debriefing Form, which is a MS Word file.)

General instructions for completing the forms are as follows:

- Please read all questions and instructions carefully.

- To prevent losing work, you should regularly save the PDF file. To save the file, click on the "File" menu and select "Save" or simply press CTRL+S on the keyboard.

- It is important that the filename incorporates the name of your country, the title of the form, as well as the date the form was filled out. The filename should follow the structure "COUNTRYNAME_FORMTITLE_DD-MM-YYYY". An example that meets these requirements is "Zedland_DataCollection_12-09-2016".

- You may either use the mouse or the "tab" key to navigate through the form.

- The forms are designed so that you can only type in the blue text boxes. The text boxes have a fixed amount of space.

- Single response questions will allow you to select only one answer while multiple response questions allow for as many answers as is necessary.

- Only questions that say "SELECT ALL THAT APPLY" or "SELECT UP TO THREE" after the question text allow for multiple responses.

- To check a box, simply click on it with the mouse. You can also use the tab key to navigate to the box and press the space bar to check the box. Performing either of these actions on a box that has already been checked will uncheck the box.

- On multiple response questions, you are given the option to enter an "Other" answer.

- Some answer boxes will only allow you to enter numbers. An example of these boxes is a question that asks how many interviewers have been hired. Questions that ask for a percentage will allow you to enter a decimal point and additional digits. Up to two decimal places are allowed.

- Please enter all dates in the (DD/MM/YYYY) format.

- There are questions which ask you to enter a specific number or range of numbers. Please enter only one or the other. If you enter a range, please make sure to enter both the lower and upper numbers of the range.

- Do not use the "comment" function in Adobe Acrobat to add details. Additional space to do so is provided on the last page of the forms. If your comments refer to a specific question, please write the question number.

- Please answer all applicable questions on each form.

- If you have any questions about the forms, please contact PISA-D Strand C at Westat [PISAD-StrandC@westat.com] for assistance. **Please do not submit your country's quality control forms via email.** Using SharePoint will help ensure error-free record-keeping.

### 4.5.3  Submitting Completed QC Monitoring Forms

To upload your completed Strand C Data Collection Form, Interviewer Training Form(s), or Interviewer Debriefing Report, follow these instructions:

- Go to: https://etsorg1.sharepoint.com/sites/ext/PISA-D/STRANDC%20Document%20Libraries/Forms/AllItems.aspx

- Hover the cursor over your country's name at the top of the page.

- Click on 'Strand-C_CountryCode' in the menu that unfolds.

- Click on 'FT Survey Operations_StrdC-CountryCode' on the left side of the screen.

- Click on the appropriate folder (Data Collection Forms or Interviewer Training Forms) depending on what document you are submitting.

- Click on 'Upload' to add your saved file.

- Click on 'Browse' to navigate to the file you have saved on your computer and select it to attach the file. Click on 'OK'.

- You should now see your new form uploaded. Each country will only have access to their files.

If you need to delete a previously uploaded file:

- Put the cursor over the name of the file you want to delete.

- Right-click on the file name. Select 'Delete' on the menu.

- Click 'OK' in the confirmation box that appears.

- The file should no longer appear on the Survey Operations Submissions page.

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# CHAPTER 5 – QUALITY CONTROL MONITORING CALLS

## 5.1   Overview

Countries must participate in quality control monitoring conference calls with the Consortium before, during and after the Field Trial data collection period. The purpose of the calls is to: (1) review the content of the Survey Operations Quality Control Forms submitted by countries; (2) give countries the opportunity to ask questions in real time; and (3) discuss any survey operations issues that may have arisen in each country.

Conference call participants should include the country's National Project Manager and key English-speaking staff from the National Center and/or data collection agency. Additional participants may vary somewhat from call to call as conference call participants should include staff who can best address the activities and issues at hand.

The quality control monitoring calls will start approximately **two months before** the beginning of data collection and end after data cleaning activities have been completed. Form submission and calls will follow the general schedule outline in Table 5-1. **A detailed schedule with both form submission dates and monitoring call dates and times for each country will be provided in November 2016.** Countries will be given a specific time slot for their call. The conference calls will be hosted by Westat, which is based in the United States.

Conference calls will follow a specific agenda and will be documented using the Quality Control Meeting Minutes Report, which will summarise the items discussed, the decisions made, and any pending action items.

To prepare for the calls, countries should complete the Data Collection Form and submit it to the Consortium via SharePoint **at least three days prior to the scheduled conference call**. Countries should also note any questions or issues that are not covered in the forms as the call will provide an opportunity to discuss these in real time with the Consortium.

**Table 5-1.** **Field Trial Survey Operations Quality Control Monitoring Schedule**

| | Data Collection Form | | Interviewer Training Form | Interviewer Debriefing Form |
|---|---|---|---|---|
| | **Form Submission** | **Monitoring Call** | | |
| **Prior beginning of data collection** | | | | |
| 7-8 weeks prior to beginning of data collection | **required** | **required** | n/a | n/a |
| 5-6 weeks prior to beginning of data collection | **required** | **required** | n/a | n/a |
| 3-4 weeks prior to beginning of data collection | **required** | **required** | n/a | n/a |
| 1-2 weeks prior to beginning of data collection | **required** | **required** | n/a | n/a |
| **During data collection** | | | | |
| Within 4 weeks of training session | n/a | n/a | **required** | n/a |
| Week 1-2 of data collection | **required** | **required** | n/a | n/a |
| Week 3-4 of data collection | **required** | **required** | n/a | n/a |
| Week 5-6 of data collection | **required** | **required** | n/a | n/a |
| Week 7-8 of data collection | **required** | **required** | n/a | n/a |
| Week 9-10 of data collection | **required** | **required** | n/a | n/a |
| Week 11-12 of data collection | **required** | **required** | n/a | n/a |
| Week 13-14 of data collection | **required** | **required** | n/a | n/a |
| Week 15-16 of data collection | **required** | **required** | n/a | n/a |
| **After the end of data collection** | | | | |
| Within 4 weeks of completion of data collection | **required** | **required** | n/a | n/a |
| Within 2 weeks of completion of data cleaning | **required** | if necessary | n/a | n/a |
| Within 8 weeks of end of data collection | n/a | n/a | n/a | **required** |

## 5.2    Quality Control Monitoring Call Agenda

An example of an agenda for the quality control monitoring conference calls with countries includes the following topics:

- Feedback on completion and submission of form;

- Review of data collection issues including:

    o    Field management;

    o    Production and response rate; and

    o    Quality control of fieldwork;

- Open discussion of issues not covered in forms; and

- Update on action items from previous conference call.

## 5.3    Action Items

Action items will be agreed upon by call participants at the end of each call and will be discussed at the next conference call or by email.

## 5.4    Quality Control Meeting Minutes Report

The Quality Control Meeting Minutes Report will summarise the topics discussed during the conference call and list any action items. The report will be posted to SharePoint. Comments regarding the minutes reports should be addressed directly PISA-D Strand C at Westat [PISAD-StrandC@westat.com].

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# CHAPTER 6 - ADDITIONAL COMMUNICATION WITH THE CONSORTIUM

## 6.1   Overview

In addition to the bi-monthly conference calls, countries are encouraged to communicate with the Consortium when issues or questions arise and to keep up to date with new PISA-D Strand C Field Trial documentation provided by the Consortium. The principal means of communication with the Consortium are via the PISA-D SharePoint site and email.

## 6.2   PISA-D SharePoint Site

Consortium documentation can be found on the PISA-D SharePoint site [https://etsorg1.sharepoint.com/sites/ext/PISA-D/SitePages/Home.aspx]. It is the countries' responsibility to visit the site to download any materials that the Consortium has sent notifications about. All training materials will be posted on SharePoint, as well as examples of study forms and outreach materials. SharePoint is also the site where countries will upload completed reports, so it's important that project staff have access to the site. To obtain access, please contact Lisa Hemat at ETS [LHemat@ets.org].

Survey Operations documents and downloads can be found at https://etsorg1.sharepoint.com/sites/ext/PISA-D/STRANDC%20Document%20Libraries/Forms/AllItems.aspx?RootFolder=%2Fsites%2Fext%2FPISA%2DD%2FSTRANDC%20Document%20Libraries%2FSTRD%2DC%20Field%20Trial%20Resources%2FSurvey%20Operations&FolderCTID=0x01200084D328B5D533D447B63BA12CF12BE4F3&View=%7B97F43ED3%2D0E67%2D4139%2DA641%2D92B21116E3F7%7D. Notifications of new documents being available will be sent by the Consortium to all participating countries.

## 6.3   Email

Email is the preferred method for communicating with the Consortium on sampling and survey operations matters. Email addresses for the appropriate contacts are posted in SharePoint at https://etsorg1.sharepoint.com/sites/ext/PISA-D/Lists/PISAD%20Contacts/People%20and%20Groups%20View.aspx.

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# CHAPTER 7 – MANAGEMENT TOOLS FOR ENCOURAGING RESPONDENT COOPERATION

## 7.1  Overview

This chapter focuses on materials that field directors and supervisors can use to encourage respondent participation.

### 7.1.1  Press Release

Additional forms of survey promotion should be considered by countries, including outreach directed toward the general public. Activities may include newspaper articles or television and radio advertising, with references to the study telephone number.  Interviewers can use copies of newspaper articles as tools for gaining respondent cooperation when introducing the study at the door. These articles can also be provided to reluctant respondents to add legitimacy to the study.

An example of a study press release is provided (PD1_(1606)_OPS_Strand C FT Press Release_1).  Its purpose is to provide information to national or regional press about the study implementation. It should be tailored to reflect the country's procedures.

### 7.1.2  Endorsement Letters

Countries should consider the use of endorsement letters from well-respected organisations with supportive statements that will help to convince respondents to participate. Endorsement letters can be presented upon initial contact or during nonresponse conversion efforts. Letters can be obtained from:

- officials at the education ministry (PD1_(1606)_OPS_Strand C FT Endorsement Letter - Ministry of Education_1),

- other organisations, such as youth organisations (PD1_(1606)_OPS_Strand C FT Endorsement Letter - Youth Organisation_1).

It is best that interviewers have access to general as well as more specific endorsements so that they can tailor their use to address individual respondent concerns.

# APPENDIX A - PRODUCTION REPORT SPECIFICATIONS

**Report 1    PRODUCTION REPORT PROBABILITY SAMPLE**

This report shows production results on an ad hoc basis for the Screener, YI, Core assessment and Main assessment for the probability-based sample. The report shows the total row for each PSU, region, major design strata (i.e., areas with high/low concentration of youth, variable name: STRAT_PSUMAJ), age (YI, core and Assessment), gender (YI, core and Assessment), school attendance (YI, core and Assessment), Assessment language (Core and Assessment only) and overall total.

The report has three sections:
> Screener
> YI
> Core
> Assessment

The report will not display data on the Interview Observation Module.

**SCREENER SECTION**

The screener section displays data in the following columns. The report shows the total row for each PSU, region, STRAT_PSUMAJ, and overall total.

**SCREENER**

| DUs in Sample | DUs Added | Total DUs | DUs Assigned | Vacant, Not DU, Under Construc. | SCR Closed Out | Closed Out Rate (%) | SCR Complete with SPs | SCR Complete without SPs | Resp Rate (%) | DUs that gave referrals | Referred Youth |
|---|---|---|---|---|---|---|---|---|---|---|---|
| A | B | C | D | E | F | G | H | I | J | K | L |

**DUs in Sample**        Number of DUs released.

**DUs Added**        Number of DUs added. (DUs added through Hidden DU procedure.)

**Total DUs**        Total DUs. (Sum of columns A and B.)

**DUs Assigned**        DUs which have ever been assigned to an interviewer.

**Vacant, Not DU,**        The number of screeners closed out as vacant, not a DU
**Under Construc.**        or under construction (61, 62, or 63).

**SCR Closed Out**        Screeners with final disposition code of 10, 20, 30-35, 40, 50, 52, 54, 56, 60-63, 70, 80, and 81.

**Closed Out Rate**    Closed Out Rate. Screeners closed out / DUs assigned (Column F / Column D).

**SCR Complete with SPs**   Screeners with final disposition code of complete (10).

**SCR Complete without SPs**   Screeners with final disposition code of complete (60, 80).

**Resp Rate**    Completed Screeners (10, 60, 80)/{Total DUs minus known ineligibles (61, 62, 63, 70) minus unknown eligible (32, 34) * Known ineligibles (61, 62, 63, 70) / All dwelling units with known eligibility status (10, 20, 30, 31, 33, 35, 40, 50, 52, 54, 56, 60, 61, 62, 63, 70, 80, 81)}

**DUs that gave referrals**   Number of households that gave referrals
**Referred Youth**       Number of youths that have been referred to

**YI SECTION**

The YI section displays data in the following columns. There is one row for each PSU, age, gender, school attendance/grade (determined by Questions 9 and 11 of Screener) region and STRAT_PSUMAJ.

| YI | | | | | |
|---|---|---|---|---|---|
| # SPs | Closed Out Cases | Closed Out Rate (%) | Completed Cases With Data | Completed Cases Without Data | Resp Rate (%) |
| M | N | O | P | Q | R |

**# SPs**        The number of Sampled Persons. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

**Closed Out Cases**    YIs with final disposition code of 10, 20, 30-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81.

**Closed Out Rate**    Closed out YI cases / # SPs (YI Cases) (Column N / Column M).

**Completed Cases With Data**  YIs with final disposition code of complete (10).

**Completed Cases Without Data**       YIs with final disposition code of 80, or YI with (disposition code of 40 or 50) and (age and gender collected by interviewer)[1].

**Resp Rate**     Response Rate. Completed YI cases / {# SPs (YI Cases) minus YIs with a final disposition code of 52, 53, 55, 56, 60, 64-66,70}. {(Column P + Column Q) / (Column M – disposition code of 52, 53, 55, 56, 60, 64, 65, 66, 70)}

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[1] If a Screener is conducted before the YI, then age and gender should have been collected in Screener. If no Screener is conducted before the YI, then need to check if age and gender are collected in the Non-Interview Review Form (Q4 & Q5).

**CORE ASSESSMENT SECTION**

The Core section displays data in the following columns. There is one row for each PSU, age, gender, whether a youth attends school (determined by Question Y004C of Youth interview questionnaire) and if attending school the grade a youth is in ((determined by Question Y005A) , core language, region and STRAT_PSUMAJ.

| | | **Core** | | | |
|---|---|---|---|---|---|
| # SPs | Closed Out Cases | Closed Out Rate (%) | Comp Cases With Data | Comp Cases Without Data | Resp Rate (%) |
| T | U | V | W | X | Y |

**# SPs**            The number of SPs. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

*Core Assessment*

**Closed Out Cases** Core cases with final disposition code. Core disposition code in (10, 11, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82, NA[2]).

**Closed Out Rate**  Closed Out Rate. Closed out Core cases / # SPs (Core Cases) (Column U / Column T).

**Completed Cases With Data** Core cases with final disposition code of complete (10, 11).

**Completed Cases Without Data**      Core cases with final disposition code of (40, 50, 51, 80).
**Resp Rate**        Cores with a final code of 10, 11, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* (*YI* disposition code of 10) minus those with a core disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

**Main ASSESSMENT SECTION**

The Main Assessment section displays data in the following columns. There is one row for each PSU, age, gender, whether a youth attends school (determined by Question Y004C of Youth interview questionnaire) and if attending school the grade a youth is in ((determined by Question Y005A), assessment language, region and STRAT_PSUMAJ.

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[2] NA refers to YIs that were closed out but did not complete, i.e., SPs with YI disposition code of 20, 30-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81.

| | | Assessment | | | |
|---|---|---|---|---|---|
| # SPs | Closed Out Cases | Closed Out Rate (%) | Comp Cases with data | Comp Cases without data | Resp Rate (%) |
| Z | AA | AB | AC | AD | AE |

**# SPs**  The number of SPs. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

*Main Assessment*

**Closed Out Cases** Assessment cases with final disposition code. Assessment disposition code in (10, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82, NA[3]).

**Closed Out Rate** Closed Out Rate. Closed out Assessment cases / # SPs (Assessment Cases) (Column AA / Column Z).

**Completed Cases With Data** Assessment cases with final disposition code of complete (10).
**Completed Cases Without Data** Assessment cases with final disposition code of (40, 50, 51, 80).

Assessment
**Resp Rate (for *Field Trial*)** Assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* case (*YI* disposition code of 10) minus those with an assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

Assessment
**Resp Rate (for *Main Survey*)** Assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *core* assessment (*core* disposition code of 10) minus those with an assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

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[3] NA refers to YIs that were closed out but did not complete (i.e., YI disposition code of 20, 30-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81) or core cases that were closed out but did not complete or pass Core(i.e., Core disposition code in (11, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82)).

**Report 2    PRODUCTION REPORT NON-PROBABILITY SAMPLE**

This report shows production results on an ad hoc basis for the YI, Core and Assessment produced by the non-probability sample. The report shows only the total row for each age, gender, school attendance and grade(Core and Assessment only), Assessment language (Core and Assessment only), PSU, region, major design strata (i.e., areas with high/low concentration of youth, variable name: STRAT_PSUMAJ), and overall total.

The report has two sections:
> YI
> Core
> Assessment

The report will not display data on the Interview Observation Module.

**YI SECTION**

The YI section displays data in the following columns. There is one row for each PSU, age, gender, region and STRAT_PSUMAJ.

| YI | | | | | | YI in household link-tracing | | YI in school link-tracing | | YI school admin records | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| # SPs | Closed Out Cases | Closed Out Rate (%) | Completed Cases with data | Completed Cases without data | Completion Rate (%) | household link-tracing: referred youths | household link-tracing: youths for whom YI was attempted | School-source link-tracing: referred youths | School-source link-tracing: youths for whom YI was attempted | School admin records: youths selected | School admin records: youths for whom YI was attempted |
| A | B | C | D | E | F | G | H | I | J | K | L |

> **# SPs**               The number of Sampled/Referred Persons. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

> **Closed Out Cases**    YIs with final disposition code of 10, 20, 30-35, 40, 50, 52-56, 60, 64-66, 70, 80, 81.

**Closed Out Rate**    Closed out YI cases / # SPs (YI Cases) (Column B / Column A).

**Completed Cases With Data** YIs with final disposition code of complete (10)

**Completed Cases  Without Data**    YIs with final disposition code of  40, 50 or 80,

**Completion Rate**    Completed YI cases (with or without data) / {# SPs (YI Cases) minus YIs with a final disposition code of 52, 53, 55, 56, 60, 64-66,70}. {(Column D + column E) / (Column A – disposition code of 52, 53, 55, 56, 60, 64, 65, 66, 70)}

**household link-tracing: referred youths**    Number of youths that have been referred to in the household link-tracing (SourceType = LTHH).

**household link-tracing: youths for whom YI were attempted**    Number of youths for whom YI was attempted, i.e., cases with disposition code other than NW (not worked), in the household link-tracing.

**School-source link-tracing: referred youths**    Number of youths that have been referred to in the school-source link-tracing (SourceType = LTST).

**School-source link-tracing: youths for whom YI was attempted** Number of youths for whom YI was attempted, i.e., cases with disposition code other than NW (not worked), in the school-source link-tracing.

**School admin records: youths selected**    Number of youths that have been selected from school administrative records (SourceType = SCAD).

**School admin records: youths for whom YI was attempted**    Number of youths for whom YI was attempted, i.e., cases with disposition code other than NW (not worked), in the school admin record approach.

**CORE SECTION**

The Core section displays data in the following columns. As in the YI section, there is one row for each PSU, age, gender, whether a youth attends school (determined by Question Y004C of Youth interview questionnaire) and if attending school the grade a youth is in ((determined by Question Y005A), core language, region and STRAT_PSUMAJ.

| | | Core | | | |
|---|---|---|---|---|---|
| # SPs | Closed Out Cases | Closed Out Rate (%) | Comp Cases With Data | Comp Cases Without Data | Completion Rate (%) |
| M | N | O | P | Q | R |

**# SPs**    The number of SPs. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

*Core Assessment*

**Closed Out Cases** Core cases with final disposition code. Core disposition code in (10, 11, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82, NA[4]).

**Closed Out Rate** Closed Out Rate. Closed out Core cases / # SPs (Core Cases) (Column N / Column M).

**Completed Cases With Data** Core cases with final disposition code of complete (10, 11).

**Completed Cases Without Data** Core cases with final disposition code of complete (80), or Core cases with final disposition code of (40, 50, 51).

**Completion Rate** Cores with a final code of 10, 11, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* (*YI* disposition code of 10) minus those with a core disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

## MAIN ASSESSMENT SECTION

The Main Assessment section displays data in the following columns.  There is one row for each PSU, age, gender, whether a youth attends school (determined by Question Y004C of Youth interview questionnaire) and if attending school the grade a youth is in (determined by Question Y005A), assessment language, region and STRAT_PSUMAJ.

|  |  | Assessment |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # SPs | Closed Out Cases | Closed Out Rate (%) | Comp Cases With Data | Comp Cases Without Data | Completion Rate (%) |
| S | T | U | V | W | X |

**# SPs** The number of SPs. Since one YI case and one assessment case are created per SP, this is also the number of YI cases and the number of assessment cases.

*Assessment*

**Closed Out Cases** Assessment cases with final disposition code. Disposition code in (10, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82, NA[5]).

---

[4] NA refers to YIs that were closed out but did not have BQ data, i.e., BQ disposition code of 20, 30-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81.

[5] NA refers to YIs that were closed out but did not have BQ data (i.e., BQ disposition code of 20, 30-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81) or Core cases that were closed out but did not complete or pass Core (i.e., Core disposition code in (11, 20, 30, 31, 32, 33, 35, 40, 50-56, 64-66, 80-82)).

**Closed Out Rate**    Closed Out Rate. Closed out Assessment cases / # SPs (Assessment Cases) (Column T / Column S).

**Completed Cases With Data** Assessment cases with final disposition code of complete (10.

**Completed Cases Without Data**    Assessment cases with final disposition code of (40, 50, 51, 80).

Assessment
**Completion Rate (for *Field Trial)***    Assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed YI case (*YI* disposition code of 10) minus those with an assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

Assessment
**Completion Rate (for *Main Survey)***    Assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *core* assessment (*core* disposition code of 10) minus those with an assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

# APPENDIX B - INTERVIEWER REPORT SPECIFICATIONS

**Report 3    INTERVIEWER PRODUCTION REPORT - PROBABILITY SAMPLE**

These reports show production results for interviewers on an *ad hoc* basis for Screeners, YIs and assessments.

The reports can be filtered by:
- all study data
- area
- region
- PSU

The rows of the data for the total study/region/PSU reports will therefore depend on the report selected. The Summary Report will display data by region and PSU. The Summary Report Condensed displays only the PSU, region and total study total rows from the Summary Report. The Detail Report displays the data by interviewer.

There are three rows for each entry: Screener, YI and Assessment.

| | Pending | | | | | | | | | Final | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | DUs Asgd or SPs | Not Wrkd | Appt | Call Back | Not Home | Init.Rfsl | Ill./ Disa. | Other | Total Pend | Final Rfsl | Final Other | Comp this Week | Total Comp | Closed Out Rate (%) | Resp Rate (%) |
| SCR | | | | | | | | | | | | | | | |
| **YI** | | | | | | | | | | | | | | | |
| **Assessment** | | | | | | | | | | | | | | | |
| | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O |

**SCR ROW**            Data in this row applies to screener cases only

**DUs Asgd**  DUs which have ever been assigned to an interviewer.

**Pending**            Data in these columns have current interim screener dispositions as
indicated.

    **Not Wrkd**            Disposition = NW
    **Appt**                     Disposition = AP
    **Call Back**            Disposition = CB
    **Ill./Disa.**            Disposition = IL

        **NOT HOME**            DISPOSITION **=** NH
    **Init. Rfsl**            Disposition = RB
    **Other**                  Disposition = OT
    **Partial Comp.**      Disposition = PC

    **Total Pend**            Total of all screeners with a pending disposition. These are cases with
the previously listed interim dispositions. (Column B + column C +
column D + column E + column F + column G + column H)

**Final**                  Data in these columns have final screener dispositions as indicated.

    **Rfsl**                     Disposition = 30, 31

    **Final other**            Final Disposition Code of 20, 32-35, 40, 50, 52, 54, 56, 20, 61-63, 70,
80, 81.

    **Comp this week**      Screeners with disposition code of 10, 60 that were completed in the
current week.

    **Total Comp**            Total number of screeners completed with disposition code of 10, 60.

    **Closed Out Rate**      Completion Rate. Total of all screeners closed out / DUs assigned
[(column J + column K + column M) / column A].

**Resp Rate**

Screeners (10, 60, 80)/{Total DUs minus known ineligibles (61, 62, 63,
70) minus unknown eligible (32, 34) * Known ineligibles (61, 62, 63, 70) /
All dwelling units with known eligibility status (10, 20, 30, 31, 33, 35, 40,
50, 52, 54, 56, 60, 61, 62, 63, 70, 80, 81)}

**YI ROW**        Data in this row applies to YI cases only.

**SPs Asgd**        The number of SPs. Since one YI case is created per SP, this is also the number of YI cases.

**Pending**        Data in these columns have current interim YI dispositions as indicated.

    **Not Wrkd**        Disposition = NW
    **Appt**        Disposition = AP
    **Call Back**        Disposition = CB
    **Ill./Disa.**        Disposition = IL

    **NOT HOME**        DISPOSITION **=** NH
    **Init. Rfsl**        Disposition = RB
    **Other**        Disposition = OT
    **Partial Comp.**        Disposition = PC

    **Total Pend**        Total of all YIs with a pending disposition. These are cases with the previously listed interim dispositions. (Column B + column C + column D + column E + column F + column G + column H)

**Final**        Data in these columns have final YI dispositions as indicated.

    **Rfsl**        Disposition = 30, 31

    **Final Other**        Disposition in (20, 32-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81)

    **Comp this Week**        YIs with disposition = 10 that were completed in the current week.

    **Total Comp**        Total number of YIs completed with disposition = 10.

    **Closed Out Rate**        Total of all YIs closed out / number of SPs [(column J + column K + column M) / column A].

    **Resp Rate**        Response Rate. Total completed YIs / {number of SPs minus those with a YI disposition code of 52, 53, 55, 56, 60, 64-66,70}. {(Column M) / (Column A – disposition code of 52, 53, 55, 56, 60, 64, 65, 66, 70)}.

**ASSESSMENT ROW** **Data in this row applies to assessment (core or main assessment) cases only.**

**SPs Asgd** The number of SPs. Since one assessment case is created per SP, this is also the number of assessment cases.

**Pending** Data in these columns have current interim core or main assessment dispositions as indicated.

**Not Wrkd** Disposition = NW
**Appt** Disposition = AP
**Call Back** Disposition = CB
**Ill./Disa.** Disposition = IL

**NOT HOME** DISPOSITION = NH
**Init. Rfsl** Disposition = RB
**Other** Disposition = OT
**Partial Comp.** Disposition = PC

**Total Pend** Total of all assessment cases with a pending disposition. These are cases with the previously listed interim dispositions. (Column B + column C + column D + column E + column F + column G + column H)

**Final** Data in these columns have final assessment dispositions as indicated.

**Rfsl** Core or main assessment disposition in (30, 31)

**Final other** Core or main assessment disposition in (20, 32, 33, 35, 40, 50-56, 64-66, 80-82)

**Comp this week** Core assessment with disposition = 11, or Main Assessment cases with disposition = 10 that were completed in the current week.

**Total Comp** Total number of core assessment with disposition = 11, or main assessment cases completed with disposition = 10.

**Closed Out Rate** Total of all Core or main assessment closed out / number of SPs [(column J + column K + column M) / column A].

**Resp Rate (for *Field Trial*)** Main assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* case (*YI* disposition code of 10) minus those with a main assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

**Resp Rate (for Main Survey)** [Cores with a final code of 10, 11, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* (*YI* disposition code of 10) minus those with a core disposition code of 52, 53, 55, 56, 64, 65, 66, 82}] times [main assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *core* assessment (*core* disposition code of 10) minus those with a main assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}].

**Report 4   INTERVIEWER PRODUCTION REPORT – NON-PROBABILITY SAMPLE**

These reports show production results for interviewers on an *ad hoc* basis for YIs and assessments.

The reports can be filtered by:
- all study data
- area
- region
- PSU

The rows of the data for the total study/region/PSU reports will therefore depend on the report selected. The Summary Report will display data by region and PSU. The Summary Report Condensed displays only the PSU, region and total study total rows from the Summary Report. The Detail Report displays the data by interviewer.

There are two rows for each entry: YI and Assessment.

| | | Pending | | | | | | | | Final | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Not Wrkd | Appt | Call Back | Not Home | Init.Rfsl | Ill./ Disa. | Other | Total Pend | Final Rfsl | Final Other | Comp this Week | Total Comp | Closed Out Rate (%) | Comp Rate (%) |
| **YI** | | | | | | | | | | | | | | |
| **Assessment** | | | | | | | | | | | | | | |
| | B | C | D | E | F | G | H | I | J | K | L | M | N | O |

**YI ROW**

**DUs Asgd or SPs**  The number of SPs. Since one YI case is created per SP, this is also the number of YI cases.

**Pending**  Data in these columns have current interim YI dispositions as indicated.

  **Not Wrkd**  Disposition = NW
  **Appt**  Disposition = AP
  **Call Back**  Disposition = CB
  **Ill./Disa.**  Disposition = IL

  **NOT HOME**  DISPOSITION **=** NH
  **Init. Rfsl**  Disposition = RB
  **Other**  Disposition = OT
  **Partial Comp.**  Disposition = PC

  **Total Pend**  Total of all YIs with a pending disposition. These are cases with the previously listed interim dispositions. (Column B + column C + column D + column E + column F + column G + column H)

**Final**  Data in these columns have final YI dispositions as indicated.

  **Rfsl**  Disposition = 30, 31

  **Final Other**  Disposition in (20, 32-35, 40, 50, 52- 56, 60, 64-66, 70, 80, 81)

  **Comp this Week**  YIs with disposition = 10 that were completed in the current week.

  **Total Comp**  Total number of YIs completed with disposition = 10.

  **Closed Out Rate**  Total of all YIs closed out / number of SPs [(column J + column K + column M) / column A].

  **Comp Rate**  Completion Rate. Total completed YIs / number of SPs minus those with a YI disposition code of 52, 53, 55, 56, 60, 64-66, 70}. {(Column M) / (Column A – disposition code of 52, 53, 55, 56, 60, 64, 65, 66, 70)}.

| | |
|---|---|
| **ASSESSMENT ROW** | **Data in this row applies to assessment (core or main) cases only.** |

**SPs Asgd**  The number of SPs. Since one assessment case is created per SP, this is also the number of assessment cases.

**Pending**  Data in these columns have current interim core or main assessment dispositions as indicated.

**Not Wrkd**  Disposition = NW
**Appt**  Disposition = AP
**Call Back**  Disposition = CB
**Ill./Disa.**  Disposition = IL

**NOT HOME**  DISPOSITION **=** NH
**Init. Rfsl**  Disposition = RB
**Other**  Disposition = OT
**Partial Comp.**  Disposition = PC

**Total Pend**  Total of all assessment cases with a pending disposition. These are cases with the previously listed interim dispositions. (Column B + column C + column D + column E + column F + column G + column H)

**Final**  Data in these columns have final core or main assessment dispositions as indicated.

**Rfsl**  Core or Main disposition in (30, 31)

**Final other**  Core or Main disposition in (20, 32, 33, 35, 40, 50-56, 64-66, 80-82)

**Comp this week**  Core Assessment with disposition = 11, or Main Assessment cases with disposition = 10 that were completed in the current week.

**Total Comp**  Total number of Core Assessment with disposition = 11, or Main assessment cases completed with disposition = 10.

**Closed Out Rate**  Total of all assessment closed out / number of SPs [(column J + column K + column M) / column A].

**Comp Rate (for *Field Trial)***  Main assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* case (*YI* disposition code of 10) minus those with a main assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}.

**Comp Rate (for Main Survey)**  [Cores with a final code of 10, 11, 40, 50, 51,or 80 divided by {the number of SPs with a completed *YI* (*YI* disposition code of 10) minus those with a core disposition code of 52, 53, 55, 56, 64, 65, 66, 82}] times [main assessments with a final code of 10, 40, 50, 51,or 80 divided by {the number of SPs with a completed *core* assessment (*core* disposition code of 10) minus those with a main assessment disposition code of 52, 53, 55, 56, 64, 65, 66, 82}].

# APPENDIX C - RESPONSE RATE REPORT SPECIFICATIONS

## Report 5   RESPONSE RATE REPORT

The Response Rate Report is a management report for monitoring response rates and the number of completed cases.

The report displays data in the following columns. There is one row for each instrument.

| Instrument | Probability Sample | | Non-probability Sample | |
|---|---|---|---|---|
| | Number of Completed Cases | Response Rate | Number of Completed Cases | Completion Rate |
| Screener | | | Not applicable | Not applicable |
| YI | | | | |
| Core | | | | |
| Assessment | | | | |

### Screener

**Number of Completed Cases**   Screeners with final disposition code of complete. Disposition code in (10, 60, 80).

**Response Rate**   Completed Screeners (10, 60, 80)/{Total DUs minus known ineligibles (61-63, 70) minus unknown eligible (32, 34) * Known ineligibles (61-63, 70) / All dwelling units with known eligibility status (10, 20, 30, 31, 33, 35, 40, 50, 52, 54, 56, 60-63, 70, 80, 81)}

### YI

**Number of Completed Cases**   YIs with final disposition code of complete (10, 80), and YI with both (disposition code of 40 or 50) and (age and gender collected by interviewer[6]).

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[6] If a Screener is conducted before the YI, then age and gender should have been collected in Screener. If no Screener is conducted before the YI, then need to check if age and gender are collected in the Non-Interview Review Form (Q4 & Q5).

**Response Rate or Completion Rate**　Completed YIs　/ {#Sampled or Referred Persons minus YI (52, 53, 55, 56, 60, 64-66, 70}.)}

**Core**

**Number of Completed Cases**　　Cores with final disposition code 10, 11, 80 40, 50, and 51.

**Response Rate or Completion Rate**　Core (10, 11, 80, 40, 50, 51) / {Completed **YI** (YI disposition of 10) minus Core (52, 53, 55, 56, 64, 65, 66, 82)}

**Assessment (Field Trial only)**

**Number of Completed Cases**　　Assessments with final disposition code 10, 80 40, 50, and 51.

**Response Rate or Completion Rate**　Assessment (10, 80, 40, 50, 51) / {Completed YIs (YI code of 10) minus Assessment (52, 53, 55, 56, 64-66, 82)}

**Assessment (Main Survey only)**

**Number of Completed Cases**　　Assessments with final disposition code 10, 80 40, 50, and 51.

**Response Rate or Completion Rate**　Assessment (10, 80, 40, 50, 51) / {Completed **core** (core disposition of 10) minus Assessment (52, 53, 55, 56, 64, 65, 66, 82)}

# APPENDIX D – DISPOSITION CODE REPORT SPECIFICATIONS

**Report 6   DISPOSITION CODE REPORT**

The following four tables are the templates for this report.

Table 1. **Screener** disposition code – Applicable to Probability sample only

| Code | Description | Number of cases |
|------|-------------|-----------------|
| NW | Not Wrkd | |
| AP | Appt | |
| CB | Call Back | |
| IL | Ill./Disa. | |
| NH | Not Home | |
| RB | Init. Rfsl | |
| OT | Other | |
| 10 | Complete – 1 or more youth selected | |
| 20 | Partial complete7/break-off | |
| 30 | Refusal by household member | |
| 31 | Refusal by gatekeeper | |
| 32 | Maximum number of calls | |
| 33 | Temporarily absent/unavailable during field period | |
| 34 | Unable to locate dwelling unit | |
| 35 | Other (unspecified), such as sickness, falsification or unusual circumstances | |
| 40 | Language barrier | |
| 50 | Learning/mental disability | |
| 52 | Hearing impairment | |
| 54 | Speech impairment | |
| 56 | Other disability | |
| 60 | Complete – no eligible sample youth | |
| 61 | Dwelling unit under construction | |
| 62 | Vacant dwelling unit, e.g., holiday or temporary residence only | |
| 63 | Address not a dwelling unit, e.g., non-residential units such as businesses, government offices, and other organisations and residential units such as institutions (e.g. prisons or sanitariums) and military barracks | |
| 70 | Duplication – already interviewed | |
| 80 | Technical problem | |
| 81 | Lost data, e.g., tablet was lost or stolen before data was backed up | |
| | Total | |

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[7] A partial completed case is a case in which the participant started, but refused to complete, the screener.

## Table 2. **Youth interview** disposition code

| Code | Description | Number of cases | |
|------|-------------|-----------------|---|
| | | Probability Sample | Non-probability Sample |
| NW | Not Wrkd | | |
| AP | Appt | | |
| CB | Call Back | | |
| IL | Ill./Disa. | | |
| NH | Not Home | | |
| RB | Init. Rfsl | | |
| OT | Other | | |
| 10 | Complete | | |
| 20 | Partial complete/break-off, e.g., a paused interview that eventually cannot be completed | | |
| 30 | Refusal by sample/referred youth, e.g., refusal to participate due to time constraints or lack of interest | | |
| 31 | Refusal by other person, e.g., did not receive parental consent | | |
| 32 | Maximum number of calls, e.g., sample/referred youth not successfully contacted | | |
| 33 | Temporarily absent/unavailable during field period, e.g., travelling and will not be back during the field period | | |
| 34 | Unable to locate referred youth | | |
| 35 | Other (unspecified), e.g. sickness, under the effects of drugs or alcohol, moved within country, falsification or unusual circumstances | | |
| 40 | Language barrier | | |
| 50 | Learning/mental disability | | |
| 52 | Hearing impairment | | |
| 53 | Blindness/visual impairment | | |
| 54 | Speech impairment | | |
| 55 | Physical disability | | |
| 56 | Other disability | | |
| 60 | Complete – ineligible | | |
| 64 | Death | | |
| 65 | Moved outside the country | | |
| 66 | Institutionalised, e.g., in a prison, mental health hospital, or addiction rehabilitation centre | | |
| 70 | Duplication – already interviewed | | |
| 80 | Technical problem | | |
| 81 | Lost data, e.g., tablet was lost or stolen before data was backed up | | |
| | Total | | |

Table 3. **Core Assessment** disposition code– Applicable to main survey only

| Code | Description | Number of cases | |
|---|---|---|---|
| | | Probability Sample | Non-probability Sample |
| NW | Not Wrkd | | |
| AP | Appt | | |
| CB | Call Back | | |
| IL | Ill./Disa. | | |
| NH | Not Home | | |
| RB | Init. Rfsl | | |
| OT | Other | | |
| 10 | Complete – passed Core | | |
| 11 | Complete – failed Core | | |
| 20 | Partial complete/break-off, e.g., a paused interview that cannot be completed | | |
| 30 | Refusal by sample/referred youth, e.g., refusal to participate due to time constraints | | |
| 31 | Refusal by other person | | |
| 32 | Maximum number of calls; e.g., sample/referred youth not successfully contacted | | |
| 33 | Temporarily absent/unavailable during field period | | |
| 35 | Other (unspecified), e.g. sickness, under the effects of drugs or alcohol, falsification or unusual circumstances | | |
| 40 | Language barrier, e.g., does not speak the assessment language | | |
| 50 | Learning/mental disability | | |
| 51 | Reading and writing difficulty | | |
| 52 | Hearing impairment | | |
| 53 | Blindness/visual impairment | | |
| 54 | Speech impairment | | |
| 55 | Physical disability | | |
| 56 | Other disability | | |
| 64 | Death | | |
| 65 | Moved outside the country | | |
| 66 | Institutionalised, e.g., in a prison, mental health hospital, or addiction rehabilitation centre | | |
| 80 | Technical problem | | |
| 81 | Lost data, e.g., tablet was lost or stolen before data was backed up | | |
| 82 | Inability to use the tablet, e.g. sample/referred youth lacks the technical skills | | |
| | Total | | |

Table 4. **Main Assessment** disposition code

| Code | Description | Number of cases | |
|------|-------------|-------------------------|-------------------------|
| | | Probability Sample | Non-probability Sample |
| NW | Not Wrkd | | |
| AP | Appt | | |
| CB | Call Back | | |
| IL | Ill./Disa. | | |
| NH | Not Home | | |
| RB | Init. Rfsl | | |
| OT | Other | | |
| 10 | Complete | | |
| 20 | Partial complete/break-off, e.g., a paused interview that cannot be completed | | |
| 30 | Refusal by sample/referred youth, e.g., refusal to participate due to time constraints | | |
| 31 | Refusal by other person | | |
| 32 | Maximum number of calls; e.g., sample/referred youth not successfully contacted | | |
| 33 | Temporarily absent/unavailable during field period | | |
| 35 | Other (unspecified), such as sickness, under the effects of drugs or alcohol, falsification or unusual circumstances | | |
| 40 | Language barrier, e.g., do not speak the assessment language | | |
| 50 | Learning/mental disability | | |
| 51 | Reading and writing difficulty | | |
| 52 | Hearing impairment | | |
| 53 | Blindness/visual impairment | | |
| 54 | Speech impairment | | |
| 55 | Physical disability | | |
| 56 | Other disability | | |
| 64 | Death | | |
| 65 | Moved outside the country | | |
| 66 | Institutionalised, e.g., in a prison, mental health hospital, or addiction rehabilitation centre | | |
| 80 | Technical problem | | |
| 81 | Lost data, e.g., tablet was lost or stolen before data was backed up | | |
| 82 | Inability to use the tablet, e.g. sample/referred youth lacks the technical skills | | |
| | Total | | |