

SHARE Compliance Profiles – Wave 8

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Executive Summary

- As a result of the fast spreading of the COVID-19 epidemic across Europe, all the face-to-face interviewing (Wave 8 CAPI) was suspended by March 2020 and a special SHARE Corona survey (SCS) was developed asking about the COVID-19 situation and its effect on the lives of the SHARE respondents via telephone interviews.
- All countries participating in SHARE Wave 8 submitted the required input documentation and deliverables with an exception of Greece where one file is missing.
- Data collection of Wave 8 CAPI and SCS was achieved with a largely synchronous schedule across participating countries. There is one notable exception for Wave 8 CAPI: Portugal had issues with securing funding that did not allow them to start fieldwork for Wave 8 CAPI. For the SCS, Austria shows a substantial delay (one month and more) between obtaining their sample software and delivering the first interview due to country specific administrative reasons. The region of Girona was not able to participate in the SCS at all due to funding issues.
- Attendance of survey agency trainers at the TTTs was satisfactory.
- All survey agencies submitted documentation about some kind of back-checks to validate the properness of conducted interviews, although the completeness of the reports and the timely submission of documentation on request could be improved in some countries.

1. Introduction

The Survey of Health, Ageing and Retirement in Europe (SHARE) is an ex-ante harmonized, longitudinal and multidisciplinary survey infrastructure aimed at filling the gap of much-needed comparative data on population ageing across Europe. Ex-ante harmonization means that not only the questionnaire design (electronically realized as CAPI instrument) but also fieldwork procedures (most of them realized electronically in form of the Case Control) are standardized across countries. This approach fundamentally differs from the Eurostat approach (e.g., in EU-SILC) where survey execution is a national matter. The ex-ante harmonization approach was chosen by SHARE for scientific reasons as it minimizes those artifacts in cross-national comparisons that are created by country-specific survey design.

While national operations in all participating countries are coordinated by university-based groups of researchers, the actual interviewing is - in most countries - subcontracted to for-profit survey organizations which have the expertise, staff and logistics available to conduct large-scale operations like SHARE with high quantities of face-to-face interviews. It is a major challenge to ensure proper implementation of ex-ante harmonization within such a decentralized environment. To this effect, SHARE employs three instruments: the SHARE Model Contract provides the legal framework for standards and quality control; the SHARE Survey Specifications (“Appendix 1” of the Model Contract) define the quality standards of the survey; and the SHARE Compliance Profiles report adherence to those standards ex post. This legal and scientific framework is to be adopted by all participating countries without modifications: all for-profit contractors are mandated to comply with the SHARE-specific quality standards laid out in Appendix 1 which are legally framed as an annex to the SHARE Model Contract (survey specifications can be obtained per email request to info@share-project.org).

The SHARE Compliance Profiles consist of a set of quality control indicators and KPIs based on Appendix 1. All participating countries are evaluated on these indicators uniformly, although the environments for conducting the survey differ among European countries. The combination of ex-ante specifications and ex-post Compliance Profiles levels the playing field for all participating countries and allows for a fair comparison of national survey quality. An ex-ante harmonized endeavor like SHARE cannot afford to set country-specific standards on what qualifies as good performance.

The SHARE data collection for Wave 8 started off in October/November 2019 in most of the 28 participating countries with a CAPI instrument similar to previous waves, collecting information on respondents’ health, economic situation and social participation. However, as a result of the fast spreading of the COVID-19 epidemic across Europe, all the face-to-face interviewing was suspended by March 2020. In total, about 60% of the total number of planned interviews had been conducted until the suspension. In order to be able to continue with Wave 8 in due time and in a scientifically harmonized way in every SHARE country, SHARE-ERIC and survey agencies have jointly decided to switch to CATI (telephone) interviewing for the panel households. The SHARE Corona survey (SCS) that was developed is a short interview specifically about the COVID-19 situation and its effect on the lives of the SHARE respondents. All indicators in the following paragraphs will be shown for the two phases of Wave 8 (Wave 8 CAPI and SCS). We usually also report survey agencies’ compliance with our target retention and response rates and the average number of contact attempts for households without interview in the Compliance Profiles. This time though, due to the fact that the interruption of the fieldwork for Wave 8 was enforced by the Corona crisis, we will not evaluate the compliance with these indicators. The preliminary response and retention rates will be published in the methodology volume for Wave 8 and the final outcomes in the technical paper “Survey participation in the Survey of Health, Ageing and Retirement in Europe (SHARE), Wave 1-8”.

Section 2 describes the data input for this evaluation. Section 3 lists the survey agencies involved from Wave 1 to Wave 8. Section 4 reports the results in form of the various indicators.

2. Input

To assess indicators and compare them to standards, various sources of input were required. For indicators related to interviewer training, interviewer retention and interviewer quality control, we requested documentation in (partly) standardized forms and templates from contracting survey organizations and/or scientific country teams, such as interviewer rosters, sampling design forms, training slides, and interviewer quality back-checks. We applied an “Intent-To-Treat” approach to missing documentation: if a country failed at delivering requested input material, this was equated with failing

on the indicator assessed through that missing documentation. Table 1 below shows that SHARE received all deliverables from all countries. Table 2 shows all deliverables received for the SHARE Corona Survey (SCS).

Table 1. Input of wave 8 CAPI Compliance Profiles

	Refreshment sample sign-off forms	Gross sample file of pretest	Gross sample file of field rehearsal	Gross sample file of main data collection
Austria (AT)	●	●	●	●
Belgium (BE-FR)	●	●	●	●
Belgium (BE-NL)	●	●	●	●
Bulgaria (BG)	n.a.	●	●	n.a.
Switzerland (CH)	●	●	●	●
Cyprus (CY)	n.a.	●	●	n.a.
Czech Republic (CZ)	●	●	●	●
Germany (DE)	●	●	●	●
Denmark (DK)	●	●	●	●
Estonia (EE)	●	●	●	●
Spain Girona (EG)	n.a.	●	●	n.a.
Spain (ES)	●	●	●	●
Finland (FI)	●	●	●	●
France (FR)	●	●	●	●
Greece (GR)	n.a.	n.a.	n.a.	n.a.
Croatia (HR)	●	●	●	●
Hungary (HU)	●	●	●	●
Israel (IL)	●	●	●	●
Italy (IT)	n.a.	●	●	n.a.
Lithuania (LT)	n.a.	n.a.	n.a.	n.a.
Luxembourg (LU)	●	●	●	n.a.
Latvia (LV)	●	●	●	●
Malta (MT)	n.a.	●	●	n.a.
Netherlands (NL)	n.a.	●	●	n.a.
Poland (PL)	●	●	●	●
Portugal (PT)	●	●	●	●
Romania (RO)	n.a.	●	●	n.a.
Sweden (SE)	●	●	●	●
Slovenia (SI)	●	●	●	●
Slovakia (SK)	n.a.	●	●	n.a.

Table 1. Input of wave 8 CAPI Compliance Profiles (continued)

	National interviewer training dates	National interviewer training observation protocol	Interviewer roster	Advance letters	National interviewer training slides	Survey Agency Feedback Form (SAFF)
Austria (AT)	●	●	●	●	●	●
Belgium (BE-FR)	●	●	●	●	●	●
Belgium (BE-NL)	●	●	●	●	●	●
Bulgaria (BG)	●	●	●	●	●	●
Switzerland (CH)	●	●	●	●	●	●
Cyprus (CY)	●	●	●	●	●	●
Czech Republic (CZ)	●	●	●	●	●	●
Germany (DE)	●	●	●	●	●	●
Denmark (DK)	●	●	●	●	●	●
Estonia (EE)	●	●	●	●	●	●
Spain-Girona (EG)	●	●	●	●	●	●
Spain (ES)	●	●	●	●	●	●
Finland (FI)	●	●	●	●	●	●
France (FR)	●	●	●	●	●	●
Greece (GR)	●	●	●	●	●	●
Croatia (HR)	●	●	●	●	●	●
Hungary (HU)	●	●	●	●	●	●
Israel (IL)	●	●	●	●	●	●
Italy (IT)	●	●	●	●	●	●
Lithuania (LT)	●	●	●	●	●	●
Luxembourg (LU)	●	●	●	●	●	●
Latvia (LV)	●	●	●	●	●	●
Malta (MT)	●	●	●	●	●	●
Netherlands (NL)	●	●	●	●	●	●
Polen (PL)	●	●	●	●	●	●
Portugal (PT)	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Romania (RO)	●	●	●	●	●	●
Sweden (SE)	●	●	●	●	●	●
Slovenia (SI)	●	●	●	●	●	●
Slovakia (SK)	●	●	●	●	●	●

Table 2. Input of wave 8 SHARE Corona Survey Compliance Profiles

	National interviewer training dates	National interviewer training observation protocol	Interviewer roster	Advance letters	National interviewer training slides	Interviewer debriefing	Survey Agency Feedback Form (SAFF)
Austria (AT)	●	●	●	●	●	n.a.	●
Belgium (BE-FR)	●	●	●	●	●	●	●
Belgium (BE-NL)	●	●	●	●	●	●	●
Bulgaria (BG)	●	●	●	●	●	●	●
Switzerland (CH)	●	●	●	●	●	●	●
Cyprus (CY)	●	●	●	●	●	●	●
Czech Republic (CZ)	●	●	●	●	●	●	●
Germany (DE)	●	●	●	●	●	●	●
Denmark (DK)	●	●	●	●	●	●	●
Estonia (EE)	●	●	●	●	●	●	●
Spain-Girona (EG)	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Spain (ES)	●	●	●	●	●	●	●
Finland (FI)	●	●	●	●	●	●	●
France (FR)	●	●	●	●	●	●	●
Greece (GR)	●	●	●	●	●	●	●
Croatia (HR)	●	●	●	●	●	●	●
Hungary (HU)	●	●	●	●	●	●	●
Israel (IL)	●	●	●	●	●	●	●
Italy (IT)	●	●	●	●	●	●	●
Lithuania (LT)	●	●	●	●	●	n.a.	●
Luxembourg (LU)	●	●	●	●	●	●	●
Latvia (LV)	●	●	●	●	●	●	●
Malta (MT)	●	●	●	●	●	●	●
Netherlands (NL)	●	●	●	●	●	●	●
Polen (PL)	●	●	●	●	●	●	●
Portugal (PT)	●	●	●	●	●	●	●
Romania (RO)	●	●	●	●	●	●	●
Sweden (SE)	●	●	●	●	●	●	●
Slovenia (SI)	●	●	●	●	●	●	●
Slovakia (SK)	●	●	●	●	●	●	●

3. SHARE Survey Agencies

The organizations in Table 3 below conducted the fieldwork in each wave. There has been high stability of contracted survey agencies over time in most countries.

Table 2. Survey agencies from Wave 1 to 8 of countries participating in Wave 8

	Wave 1	Wave 2	Wave 3	Wave 4	Wave 5	Wave 6	Wave 7	Wave 8 /SCS
AT	IMAS	IMAS	IFES	IFES	IFES	IFES	IFES	IFES
BE-FR	PSBH, Liège Univ.	PSBH, Liège Univ.	PSBH, Liège Univ.	PSBH, Liège Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.
BE-NL	PSBH Antwerp Univ.	PSBH Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.	CELLO - Antwerp Univ.
BG	-	-	-	-	-	-	GfK Bulgaria	GfK Bulgaria
CH	MIS Trend	LINK	LINK	LINK	LINK	LINK	LINK	LINK
CY	-	-	-	-	-	-	RAI Consultants	RAI Consultants
CZ	-	SC&C	SC&C	SC&C	SC&C	SC&C	SC&C	SC&C
DE	infas GmbH	infas GmbH	infas GmbH	infas GmbH	TNS Infratest	TNS Infratest	TNS Infratest	Kantar Public
DK	SFI-Survey	SFI-Survey	SFI-Survey	SFI-Survey	SFI-Survey	SFI-Survey	DST Survey	DST Survey
EE	-	-	-	Statistics Estonia	GfK	Statistics Estonia	Statistics Estonia	Statistics Estonia
EG	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	Ipsos Iberia
ES	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	TNS Demoscopia	Kantar TNS
FI	-	-	-	-	-	-	Taloustutkimus	Taloustutkimus
FR	INSEE	INSEE	INSEE	INSEE (panel)/ GfK-ISL (refresh.)	GfK-ISL	TNS-SOFRES	TNS-SOFRES	TNS-SOFRES
GR	Kapa Research	Kapa Research	Kapa Research	-	-	Kapa Research	Kapa Research	Kapa Research
HR	-	-	-	-	-	GfK	GfK	IPSOS d.o.o.
HU	-	-	-	TÁRKI Social Research Institute	-	-	TÁRKI Social Research Institute	TÁRKI Social Research Institute
IL	Cohen Institute, Tel Aviv Univ.	Cohen Institute, Tel Aviv Univ.	-	-	Cohen Institute, Tel Aviv Univ.	Cohen Institute, Tel Aviv Univ.	Cohen Institute, Tel Aviv Univ.	Cohen Institute, Tel Aviv Univ.
IT	DOXA S.p.A.	DOXA S.p.A.	DOXA S.p.A.	DOXA S.p.A.	IPSOS	IPSOS	IPSOS	IPSOS
MT	-	-	-	-	-	-	Grant Thornton Services	Grant Thornton Services
NL	-	-	-	-	-	-	-	I&O Research
LU	-	-	-	-	CEPS	CEPS/INST EAD	CEPS/INST EAD	CEPS/INST EAD
LT	-	-	-	-	-	-	TNS	TNS

LV	-	-	-	-	-	-	Institute of Sociological Research	Institute of Sociological Research
PL		TNS-OBOP	TNS-OBOP	TNS-OBOP	TNS Polska	TNS Polska	TNS Polska	Kantar TNS SA
PT				GfK Metris	CECS, University of Minho	CECS, University of Minho	CECS, University of Minho	CECS, University of Minho
RO	-	-	-	-	-	-	GfK Romania	GfK Romania
SE	Intervjubola get IMRI	Intervjubola get IMRI	Intervjubola get IMRI	Intervjubola get IMRI	Intervjubola get IMRI	IPSOS Observer Sweden	IPSOS Observer Sweden	IPSOS Observer Sweden
SI	-	-	-	CJMMK	CJMMK	IPSOS	IPSOS	IPSOS
SK	-	-	-	-	-	-	GfK Slovakia	GO4insight & ACRC (agency consortium)

4. Indicators

4.1 Fieldwork Periods

A synchronized execution of fieldwork in all participating countries is a crucial requirement for an ex-ante harmonized survey like SHARE for at least three reasons. First, from a scientific point of view, synchronicity of interview dates allows cross-country comparisons of effects of seminal events. Second, limited resources at central coordination make simultaneous monitoring of fieldwork necessary. Likewise, the data processing after and during the data collection, which ultimately yields public data releases to the scientific community, relies on availability of all interview data at the same point in time. Data is never processed for countries individually, but always enter cross-country processing procedures at the same point in time. In other words, one country being late has negative externalities in terms of monetary and logistic terms for everybody else.

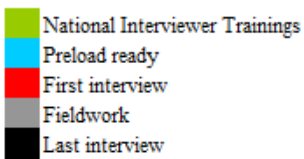
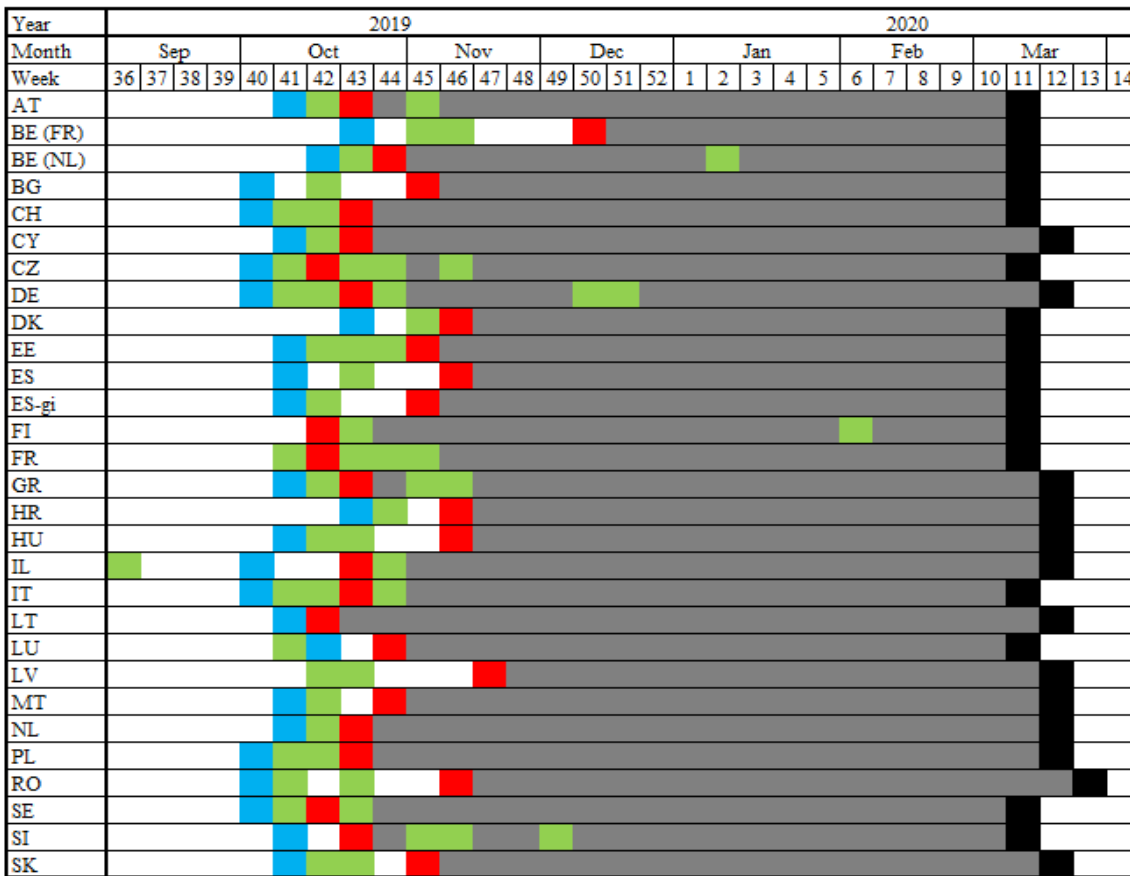


Figure 1. Fieldwork periods in SHARE Wave 8 CAPI

Figure 1 shows that almost all countries of Wave 8 were able to put the originally planned schedule into action. The fieldwork start of Wave 8 happened largely synchronously across countries between the end of October and the beginning of November 2019. In some countries, additional interviewer trainings were necessary (green squares). In some countries the first interviews took place immediately after the NTS (same week) which is why in those cases only red squares are shown. Notable exceptions were the French part of Belgium and Latvia, which show substantial delays between national interviewer trainings and delivering the first interview. The suspension of fieldwork due to the outbreak of Corona happened between weeks 11 and 13 of 2020 across all countries. Since Portugal had issues with securing funding on time (similar to Wave 7), there was no chance to join the regular fieldwork of Wave 8 in spring 2020 anymore.

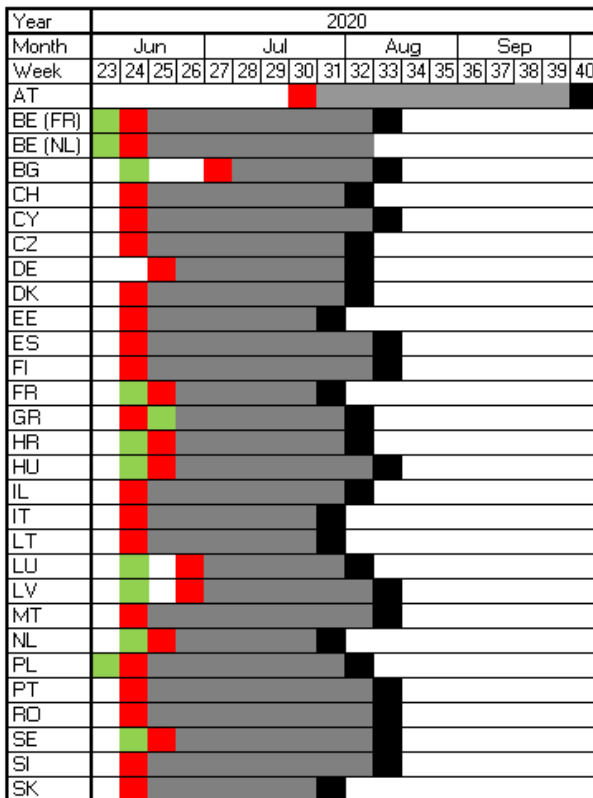


Figure 2. Fieldwork periods in SHARE Corona Survey

As mentioned above, the fieldwork of Wave 8 was continued in the form of a shorter telephone survey with questions tailored to the current situation of SHARE respondents. The Train-the-Trainer sessions (TTT) carried out as a webinar by SHARE Central took part at the end of May 2020, followed by virtual national training sessions (NTS) at the beginning of June 2020. In most countries, the first CATIs were conducted in the second week of June (see Figure 2). With the exception of Austria, all participating countries managed to complete the SCS within up to two months by mid-August 2020. Austria’s delay was due to country-specific administrative reasons. Due to issues with securing funding, the region of Girona was not able to take part in the SCS.

4.2 Interviewer Training & Quality Control

4.2.1 Attendance at the Train-The-Trainer (TTT) sessions

SHARE uses a multiplier approach to conduct study-specific training. A centralized Train-The-Trainer (TTT) event is held before every pretest phase, the field rehearsal and the main survey with the goal of teaching head trainers of each country who then multiply this knowledge in their home country by training the actual field interviewers. Attendance of at least one (better two) representatives of the contracted survey organization is crucial to ensure proper relaying of training content at the national level. While it is understood that funding restrictions on the national level may restrict travel budgets to one person attending, two persons are preferable because this permits specialization according to survey domains and subsequent professionalization. The table below shows the number of survey agency staff attending each TTT. We consider attendance of two agency representative as sufficient, one person attendance as necessary and absence of agency staff from the TTT as posing a serious problem.

Table 4. Survey agency attendance at Wave 8 and SHARE Corona Survey TTTs

	Pretest TTT	Field rehearsal TTT	Main TTT	SHARE Corona Survey (online)
AT	3	3	3	2
BE-FR	2	1	1	1
BE-NL	1	2	2	2
BG	3	2	1	2
CH	2	1	1	2
CY	3	2	2	2
CZ	2	1	1	1
DE	3	2	2	3
DK	4	3	3	2
EE	3	2	2	1
EG	1	2	2	n.a.
ES	3	1	2	2
FI	2	2	3	2
FR	3	3	3	1
GR	2	2	2	1
HR	3	2	3	2
HU	2	1	1	1
IL	1	1	0*	1
IT	2	2	3	4
LT	2	2	2	2
LU	4	2	3	1
LV	4	3	2	1
MT	3	2	2	1
NL	3	2	2	2
PL	3	2	2	2
PT	3	1	2	4
RO	3	2	2	2
SE	4	2	3	2
SI	3	2	2	2
SK	3	2	2	2

*separate TTT with IL for Main

4.2.2 Back-Checking Conducted Interviews

SHARE mandates at least 20 percent of all interviewed households are being followed up on to verify that an interview has taken place and that it was done properly. The goal is to make interviewers aware before the start of fieldwork that there will be a good chance their work will be inspected for falsifications and professional standards and to find falsifications early on during fieldwork to enable timely re-interviews. In Wave 8 we introduced a procedure for back checks, in which the interviews to be verified were randomly selected by SHARE Central. The identifying information of the selected interviews was relayed to the respective survey agencies every fortnight (or after data synchronization). We asked for a standardized documentation of the back checks within a template provided by the coordinating team. In addition to these “random back checks”, the coordinating SHARE team checked the interview data with a number of indicators for suspicious interviews (e.g. unrealistic interview duration). If an interview reached a threshold of indicators the interview was deemed

suspicious and needed to be checked by the Survey Agency. The results of these “focused back checks” should also be documented in a report and provided on request.

Survey agencies were free to apply their own organization’s procedure to verify conducted interviews (i.e. if responding households were contacted by mail or telephone, etc.). Table 5 gives an overview of the delivery of back checks documentation.

Table 5. Completed back-checks relayed to SHARE Central

	Random back checks report CAPI (weeks 42-12)	Random back checks report CATI (weeks 26-34)	Focused back checks report
AT	●	●	●
BE-FR	●	●	n.a.
BE-NL	●	●	●
BG**	●	●	●
CH	●	●	●
CY**/**	●	●	●
CZ**	●	●	●
DE	n.a.	n.a.	●
DK	●	●	n.a.
EE**/**	●	●	●
EG	●	n.a.	●
ES	●	●	●
FI	●	●	n.a.
FR	●	●	n.a.
GR	●	●	●
HR	●	●	●
HU**	●	●	●
IL	●	●	●
IT	●	●	●
LT	●	●	●
LU	●	●	●
LV*	●	●	●
MT	●	●	●
NL	n.a.	n.a.	●
PL	●	●	●
PT	n.a.	●	n.a.
RO	●	●	●
SE	●	●	●
SI	●	●	●
SK	●	●	●

●=all reports delivered

●=up to 3 reports pending

●=more than 3 reports not delivered

* missing random back-check files CAPI include the last two weeks of main fieldwork, week 10/ week 12, possible interference of pandemic measures.

** missing focused back-check files CAPI week 10, possible interference of pandemic measures.