

***MANUAL OF OUTCOMES IN THE COLLECTION OF INFORMATION  
FOR THE CALCULATION OF RESPONSE RATES***



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## Presentation

EUSTAT has always monitored the lack of response in household surveys. However it was necessary to establish standards or common criteria in its measurement to allow the appropriate comparisons to be made between different statistics operations and, similarly, for the same operation over a series of time,

Recently, EUSTAT has published a methodology handbook, [Standardisation and Systemisation of Response Rate Calculation](#) (EUSTAT 2007) based on the European methodology published for this purpose by the Institute for Social & Economic Research, of the University of Essex (United Kingdom). This document gives a detailed account of the calculations necessary to obtain the different response rates.

Gradually, various EUSTAT statistics operations have begun to calculate –and recalculate in the majority of cases- their response rates in accordance with the aforementioned methodology. To do so, the outcomes included in their respective roadmaps were adapted to those laid out in the manual for calculating rates.

In this adaptation process to the new calculation method, therefore, the task of standardising the outcomes that the diverse operations of EUSTAT use for their own particular purposes remained pending.

This manual sets out, therefore, to standardise the different final situations that can be assigned to all sampling units once the task of information gathering has been completed. Logically, the ISER categorisation proposal has been adopted.

Nevertheless, adaptation work was necessary based on case studies that EUSTAT's experience in data collection has accumulated over the years.

Elsewhere, given the increasingly generalised use of mixed methods of data collection, we have taken the occasion to extend the manual of outcomes to telephone interviews and not only personal interviews as contemplated by the ISER methodology.

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## Introduction

All surveys based on the use of sampling instead of the whole population are subject to sampling errors. A sampling error is the difference between the value of the parameter in the population and the value estimated via the sample.

All surveys, whether they are based or not on the use of samples, such as for example censuses, are subject to **non-sampling error**. Biemer and Lyberg (2003) identify five components of non-sampling error:

- 1.- specification errors, when the concepts used to define the phenomenon that we wish to measure are not correctly formulated;
- 2.- coverage or frame errors originated by omissions, duplications or inaccurate specifications of the units upon which the sampling is carried out;
- 3.- non-response or failure to obtain response in any of the elements of the sample;
- 4.- measurement errors, produced in the transformation of the objectives of the survey in questions useable to obtain answers, collect them, record them and process them, and
- 5.- processing errors, consisting of editing, coding, data input and programming errors.

A variable number of households of those initially called to respond finally do not do so because of the refusal to collaborate from the individual selected to inform, because of the impossibility of making contact during the stipulated times, because of prolonged absence, because of physical or mental inability to do so, or for any other reason. Similarly, some of the dwellings numbered in the sampling frame are not inhabited in the period of reference, have changed their use, have disappeared or, simply have been impossible to locate.

These situations in relation to the dwellings, families or individuals of which it is comprised are crucial in the final quality of the estimation derived from the sample. This manual sets out to provide the tools necessary to establish and quantify the frame or coverage errors derived from non-response.

## Frame errors

The frame of a population is the set of units (people, families, etc.) for which some type of enumeration can be made prior to the selection of the sample of the survey. The function of the sampling frame is to provide a means of choosing the members of the target population that should be interviewed in the survey.

The sampling frame has important implications for the cost and the quality of any survey. In household surveys, faulty sampling frames are a common source of non-sampling error, especially the lack of coverage of important sub-groups of the population. Coverage errors refer to the discrepancy between the statistics calculated on the population frame and those that would result from calculating them on the target population of the study.

In a statistical sense, the sampling frame should capture the target population of the study at a specific moment. Beyond that, a perfect frame is complete, accurate and updated. The extent to which there is failure to achieve one of these properties accounts for surveys that are biased in various directions, but frequently in underestimation of the target population (Groves R.M. 1989). The importance of the lack of coverage depends on the characteristics of the units

omitted. The frame population should therefore be made up of an updated and exhaustive collection of the sampling units, without overlapping, with well-defined limits and easily identifiable, without duplications, without omissions, without foreign or empty units.

The lack of coverage impedes co-operation in a number of sampling units given that particular individuals cannot be selected in the sample, but it is not considered as a total lack of response, but that it is calculated within other non-sampling errors present in social research (Groves R.M. 1989).

During the work of the field interviewer a series of situations inevitable appear that affect the households and impede that the measurement instrument provided, the questionnaire, is applied. The most usual are the impossibility of identifying, on land, the address that appears on their list of dwellings, the dwellings used for purposes other than as a residence and a varied spectrum of minor situations under the heading of other outcomes among which stand out derelict dwellings, those undergoing work and communal establishments.

## Non-response

Two types of non-response are classified: total non-response and partial non-response. The first is produced when an interview cannot be conducted with the selected person. The second is when the interview is conducted but it lacks information for one or various questions on the questionnaire (Sánchez Carrión J.J., 2000).

The most common form of partial non-response is withdrawal or refusal to continue before completing the interview.

This manual deals with total non-response. Total non-response derives from the inability to measure all the variables of interest from all the sample units; it is inevitable in probabilistic sampling-based surveys despite the economic and human resources investment both in the design phase and during the data collection. The causes of total non-response are various and can be broken down into: impossibility of contacting a respondent or the selected respondent, inability of responding on the part of the subject and the refusal to offer their collaboration.

## Response rates

Many offices are currently carrying out studies on non-response, usually reflected in reports to evaluate the quality of their statistics (at a national level, for example, the report on Non-Response in the 2004 Survey on Living Conditions, or the Evaluation of the Lack of Response in the Survey on Health and Sexual Habits, both by the INE, or the Evaluation report on the quality of the PRA by Eustat).

Other offices have set mechanisms into motion for the treatment of non-response. The Netherlands, for example, has centred its efforts on the reduction of non-response rates, while the Swedish and Finnish offices propose to carry out the best estimations possible based on data collected from those who respond to the survey and the relevant auxiliary information available on the population and its elements, whether respondents or not.

There is, therefore, a general awareness that the lack of response is a problem that statistical offices must face up to. Unfortunately, however, the same consensus does not exist on how to measure the lack of response. With response rates considered to be the most important indicator in the quality of household surveys, comparisons between surveys, years and organisations are widely hampered by the definitions of what to count as non-response and by the means of calculating the rates.

Response and non-response rates are frequently used to evaluate surveys, although there are different calculation methods in existence that make comparisons between them highly risky.

The production of this manual has followed the recommendations on definition, categorisation and rate calculation made by the Institute for Social and Economic Research (ISER). There are other organisations that similarly promote standardisation in the use of definitions and rate calculation, such as the Council of American Survey Research Organizations (CASRO), or the better-known American Association for Public Opinion Research (AAPOR).

Although the differences between the various institutions mentioned, both in terms of concept and means of calculation are minimal. The methodology proposed by ISER was chosen for better suiting the nature of the frames and sampling methods used in European household surveys (Lynn et al 2001).

Those households substituted in the field were excluded from the calculations given that, strictly, substitution is a form of imputation and, therefore, treatment of non-response (Vehovar V. 1999).

## The roadmap

The roadmap is the most vital tool. The roadmap, traditionally on paper, is today a computer application which collects information concerning the data collection process itself. It is, in short a questionnaire – aside from the actual questionnaire of the operation, but closely linked to it - which, by means of various questions, sets out to objectify the rules that should be applying by survey takers in the localisation, contact and attempt at interviewing each sample unit or census objective and where outcomes that might occur in this process are recorded.

In general, a roadmap must be made up of three different blocks of data; the first details the situation of the sample unit in relation to the frame (result of localisation and eligibility), the second refers to the collaboration of the eligible sample unit in the survey (responds, non-contact, refusal), and the third block corresponds to useful notes for work management (appointments, observations etc.).

## Outcomes

As has been mentioned, during the field phase of a survey a series of situations or outcomes occur relative to obtaining the questionnaire from the selected sample unit.

Recording and treating them is vitally important both for the progress of the survey itself and for the correction of the frame from which the sample is extracted. According to the type of outcome, the survey frame will be updated and also, if necessary, the calculation of the estimators will be corrected. In other cases they may cause bias in the final estimations.

We will go on to present the EUSTAT manual of outcomes. This document owes a great deal to the Recommended Standard Final Outcome Categories and Standard Definitions of Response Rate for Social Surveys produced by the ISER, since it is basically no more than an adaptation of the outcomes in which it describes the characteristics of the fieldwork in our sphere of action.

The aforementioned ISER document covers outcomes regarding personal interviews, both of households and individuals. The growing use of mixed data collection methods in an attempt to avoid as much as possible the lack of response has meant that this present document includes, additionally, telephone interviews (in the same way for household interviews as for personal ones).

The categorisation of proposed final results is presented as a 3-level hierarchical schema (coded with one, two or three digits).

Some surveys may present characteristics that require the use of extra categories, in addition to the proposals shown here. In this case it should be possible to adjust these new categories within the proposed hierarchy without altering any of the already established codes.

For easier reference, the categories are numbered with 3-digit codes, each digit representing one level of the hierarchy. Although it is not essential that these particular numbers are used as codes on documents or in data sets, their use would greatly facilitate the process of obtaining the rates via a standard programme.

The problem of which is the best way of implementing this categorisation is a separate question and could be specific to a survey or operation. In any event, maintaining the definition of these categories is vital with a view to establishing comparisons between different surveys or between different periods of the same survey.

The categories presented here are final outcome categories. In other words, when a survey is complete, each sample unit should be assigned a code denoting one of these categories. For operational reasons, it may also be necessary to have some temporary outcome codes that reflect the current status of a survey.

## 2. Personal interviews

### 2.a. Household surveys

The following categories are applied to face-to-face interviews in the home. Household surveys are understood as surveys where the household is the sample unit. It includes surveys in which the data relative to the household could be obtained from any member of the household or from any member of the household fulfilling a certain criterion (being the head of the household, for example), as well as surveys where the data has to be collected for all of part of the members who fulfil a certain criterion (members of the household, all the adults in the household, all the working members of the household, selected at random).

Each survey is entrusted with defining the suitability of member of the household to reply to the survey.

### Eligible, interviewed

#### 1 Complete Interview

The distinction between a complete and partial interview should be defined and stated explicitly for each survey. The definition of the desired respondent and any other acceptable respondents should also be stated.

- 11 Complete interview by desired respondent(s).  
All interviews-questionnaires in the household are completed. In all cases, they are completed by the target person. To constitute completion, the end of the questionnaire must have been reached and all sections attempted. If the survey provides for it, some items may remain unanswered.
- 12 Complete interview: partly by desired respondent and partly by proxy.  
All interviews in the household are completed. Not in all cases are they completed by the target person. This includes situations where a single interview is partly-completed by the target person and partly by a proxy respondent, and situations where there are multiple interviews in the household and one or more is completed by the target person/s and one or more by a proxy respondent.
- 13 Complete interview by proxy  
All interviews in the household are completed. In no cases are they completed by the target person. This will rarely apply on surveys where an individual interview is sought with each household member (typically, where the proxy respondent is outside the household - e.g. someone answering on behalf of an elderly parent), but will more often apply on surveys where a single household interview is sought with a target respondent who has a particular position in the household (for example, the main earner).

#### 2 Partial Interview

The distinction between a partial interview and non-response should always be defined and

stated explicitly for each survey. As general guidance, it is suggested that key questions should be answered and/or at least half of the questionnaire. When less than half of this is complete see code 44.

**21** Partial interview by desired respondent.

**211** Partial household interview.  
The household interview is only partially completed by the target respondent.

**212** Household interview but non-contact with one or more elements.  
The household interview is completed by the target respondent, but at least one of the individual interviews has not been conducted due to a failure to contact the individual.

**213** Household interview but either refusal or incomplete interview by one or more members of the household.  
All members of the household contacted.  
The household interview is completed by the target respondent, but at least one of the individual interviews is missing due to a refusal by the individual. All individuals in the household are contacted. In the event of one individual interview being a refusal and another being a non-contact, category 212 applies, household interview but non-contact with one or more elements.

**214** Other partial interviews by desired respondents.  
The household interview is completed; none of the individual interviews are missing due to either non-contact or refusal, but not all individual interviews are complete. This includes situations where one or more of the individual interviews are only partially completed and situations where one or more of the individual interviews have not been carried out due to reasons other than refusal or non-contact (for example, ill health or incapacity)

**22** Partial interview: partly by desired respondent and partly by proxy.

**23** Partial interview by proxy

**231** Partial household interview by proxy.

**232** Household interview by proxy but non-contact with one or more elements.

**233** Household interview by proxy but refusal or incomplete interview by one or more elements.

**234** Other partial interview by proxy.

## Eligible, Not interviewed

### 3 Non-contact

**31** No contact with anyone at the address  
This code is to be used when the sampled address is known to be eligible, but the interviewer is unable to make contact with any resident. (If eligibility is uncertain, see categories 63 and 65.) This includes cases where the interviewer is unable to reach the sampled dwelling, for example if the sampled address is a dwelling in a multi-dwelling building and the interviewer is unable to enter the building. If any contact is made with a person believed to be a resident, e.g. through an entryphone or in a public area outside the building, see categories 42-43. It is recommended to document in each survey how many attempts to contact were made before the use of the code was allowed and also, for non-contacts, the distribution of number of contact attempts (see section 7).  
Normally this code covers non-contacts from those dwellings where there is certainty of eligibility but which, either because of the unsuitable time of the visit, or for some other reason, contact has not managed to be made with anyone in the dwelling.

**32** Contact made at the address, but not with any member of the sampled household

Address is understood as meaning postal address.

This code is only to be used for multi-dwelling/household addresses.

**33** Contact made at sampled dwelling/household, but not with any responsible resident.

This code applies both to single-dwelling addresses and to dwellings within multi-dwelling addresses. It is to be used in situations where, for example, contact is only made with a child, visitor, workman, au pair, etc. The survey definition of responsible resident should be explicitly documented.

#### **4 Refusal**

**41** Office refusal

A decision not to participate in the survey is communicated directly to either the survey organisation or the sponsoring organisation. Only refusals made before the initial interviewer contact should be coded as office refusals (otherwise, see category 43).

To be included under this code it should have previously been guaranteed that it was an eligible household.

Also it is to be underlined that the code applies only to refusals; if the reason for not participating is due to, for example, illness or language problems, see codes 51-54. The refusal could be either by a resident of the sampled household or by proxy – for example, the son/daughter of an elderly person(s) may insist that their parent(s) should not be contacted.

**42** Sampling unit information refused.

Contacted person(s) refuse(s) to give the information needed for the interviewer to correctly identify the household.

**421** Information refused about number of dwellings at address (in this case address should be understood as postal address, or in other words the postal details that include the number of the entrance hall or staircase, as relevant).

**422** Information refused that would allow identification of desired respondent(s) within the dwelling.

**43** Refusal at introduction / before interview

Refusal that is given to the interviewer before the interview has commenced

**431** Refusal by desired respondent

**432** Refusal by proxy

**44** Refusal during the interview

Respondent refuses to continue the interview, and insufficient data has been collected for the interview to count as a useable partial interview (see categories 21-23).

If the respondent completes all or part of the interview but subsequently refuses permission for the data to be used, see categories 561 - 562.

**45** Broken appointment, no re-contact

Contacted person(s) is/are willing to be interviewed later at an agreed time, but interviewer is unable subsequently to re-contact them.

#### **5 Other non-response**

**51** Ill at home

Code to be used for sampled persons who are temporarily ill, for example who might have been able to complete the interview at a different time. If expected to be permanently ill, see code 53. Intoxicated persons to be included here.

**52** In hospital

**53** Physically or mentally unable/incompetent.

See also category 51. Code linked to permanent or stable conditions.

**54** Language

**541** Language of the interviewee

No one is able to speak in the language or language that the survey uses and no-one is available to act as interpreter.

**542** Language of the interviewer  
 The interviewer is not competent in one of the official languages and the survey is not re-assigned.

**55** Lost interview  
 Full or partial interview achieved but file/questionnaire corrupted/lost/not transmitted

**56** Other non-response

**561** Full interview achieved but respondent data is deleted.  
**562** Partial interview achieved but respondent data is deleted.  
**563** Other non-response.  
 Relevant details should be given.

**57** Prolonged absence

**571** Prolonged absence  
 The concept of prolonged absence should be previously defined for each survey. As a basic definition a relation should be made with the length of the survey period, either for the sample unit in question, or for the field phase.  
 It is recommendable to distinguish it from 31, non-contact, in which the cause is different from uninterrupted absence during a pre-determined period of time.

**572** Holidays  
 A prolonged absence whose cause is a holiday.

**58** Office non-response  
 Category applied to dwellings excluded from the survey in a phase prior to going into the field. This is the case of dwellings excluded once the sample is extracted for having collaborated in another operation.

## Eligibility unknown

### 6 Eligibility unknown, not interviewed

These codes are needed in order to be able to take explicit account of the uncertainty that often surrounds the eligibility of a sampled address. For example, it is sometimes difficult to be certain whether an address at which no contact has been made is occupied or vacant. In the past, interviewers have been forced to make an assumption. This leaves researchers no means of taking the uncertainty into account when assessing survey outcomes or estimating response rates.

**61** Not attempted

**611** Not issued to an interviewer  
 For example, no interviewer was available in the area and/or within the time available, or not issued because the area was deemed unsafe.

**612** Issued but not achieved  
 Included under this code should be where the interview had been carried out incorrectly (at another address), but that it was too late to reassign it.

**62** Inaccessible  
 Includes remote areas temporarily inaccessible due to weather or other causes.

**63** Unable to locate address  
 Sample addresses for which the description of the sampled unit is errant or inadequate to allow an interviewer to find the address.

**64** Unknown whether address contains residential housing

**641** Information refused about whether address is residential  
**642** Unknown whether address is residential due to non-contact.

**65** Residential address - unknown if eligible household  
 The interviewer knows that the address is residential but the existence of residents eligible for the survey is unknown. This includes cases where the interviewer is unsure whether any household is resident.

**651** Information refused about whether there are eligible residents  
**652** Unknown whether there are eligible resident(s) due to non-contact

**66** Screening not completed

Failure to complete screening (research, monitoring). Surveys involving a major screening operation are likely either to use a number of sub-categories of this code or to record outcomes separately for the screen and main stages of the fieldwork.

**661** Refusal to complete screening

**662** Screening not completed due to non- contact

**67** Other unknown eligibility.

Relevant details should be recorded.

## Not eligible

### 7 Not eligible

**71** Not eligible, under construction

**72** Demolished /derelict

**73** Vacant /empty

Residential address known not to contain any resident household on the date of the contact attempt.

**74** Non-residential address

Address occupied solely by a business, school, administration office, other organisation, etc., with no resident persons.

**75** Address occupied, but no resident household

Address is residential and occupied, but is not the main residence of any of the persons staying there (see standard definitions of residency). Is connected with holiday or seasonal residences.

**76** Communal establishment or institution

**77** Resident household(s), but not eligible for the survey.

Address is residential and occupied by a private household(s), but does not contain any household eligible for the survey. Note the distinction from code 73. This code will only be used when the survey has an eligibility criterion that renders some households ineligible – e.g. that the household must contain person(s) within a certain age range.

**78** Address out of sampling frame

Address is not properly part of the sample. The code is used for example in situations where addresses that were listed in the sampling frame

a) turn out to be outside the relevant geographical area or b) other misclassification of the frame

**79** Other ineligible

This heading includes duplicates. Details should be recorded.

## 2.b. Individual surveys

These categories apply to face-to-face interviews with individual persons. By surveys of individuals, we mean surveys where the individual is the sampling unit. This includes surveys where households are sampled initially, followed by random selection of one individual, as well as surveys where named individuals are sampled from some other frame.

The categories proposed for surveys of individuals adopt the same principles adopted for surveys of households and this section should be read in conjunction with that corresponding to households.

In this sense, the differences from the categories proposed for household surveys are minor. There are some differences in the categories for full and partial interviews (major categories 1 and 2) and there are additional categories for failure to make contact with selected person (34) and for the situation where the individual has moved and the interviewer is unable to attempt contact at new address (68). There are, however, also some categories where the definition is either more restrictive or, conversely, broader than for household surveys. There are also many categories that would not apply to the case of surveys of named individuals, for example categories 42, 64-66 and 71-77.

### Eligible, interviewed

#### 1 Complete Interview

The distinction between a complete and partial interview should be defined and stated explicitly for each survey. The same is true of the definition of the desirable respondent and of any other acceptable respondent.

- 11** Complete interview by selected person  
To constitute completion, the end of the questionnaire must have been reached and all sections attempted. Some item non-response may, of course, remain.
- 12** Complete interview: partly by selected person and partly by proxy  
The interview is partly-completed by the selected person and partly by a proxy respondent.
- 13** Complete interview by proxy  
The interview is completed by someone other than the selected person, on their behalf.

#### 2 Partial Interview

The distinction between a partial interview and non-response should always be defined and stated explicitly for each survey. As general guidance, it is suggested that key questions should be answered and/or half of the relevant questionnaire. If less than this is completed, then see code 44. (See also categories 55 -66).

- 21** Partial interview by selected person
- 22** Partial interview: partly by selected person and partly by proxy
- 23** Partial interview by proxy

### Eligible, Not interviewed

#### 3 Non-contact

**31 No contact with anyone at the address**

This code is to be used when the sampled address is known to be eligible, but the interviewer is unable to make contact with any resident. (If eligibility is uncertain, see categories 63 and 65.) This includes cases where the interviewer is unable to reach the sampled dwelling, for example if the sampled address is a dwelling in a multi-dwelling building and the interviewer is unable to enter the building. If any contact is made with a person believed to be a resident, e.g. through an entryphone or in a public area outside the building, see categories 42-43. It is recommended to document in each survey how many times interviewers were advised to attempt contact before the use of the code was allowed and also, for non-contacts, the distribution of number of contact attempts (see section 7).

This code usually covers non-contacts with those dwellings where there is certainty of eligibility but which, either because of the unsuitable time of the visit, or for some other reason, contact has not managed to be made with anyone in the dwelling.

**32 Contact made at the address, but not with any member of the sampled dwelling**  
Address is understood to mean postal address.

This code is only to be used for multi-dwelling addresses.

**33 Contact made at sampled dwelling, but not with any responsible resident**  
This code applies both to single-dwelling addresses and to selected dwellings within multi-dwelling addresses. It is to be used in situations where, for example, contact is only made with a child, visitor, workman, au pair, etc. The survey definition of responsible resident should be explicitly documented.

**34 Contact made with responsible member of sampled dwelling, but not with the selected person**

**4 Refusal**

**41 Office refusal**

A decision not to participate in the survey is communicated directly to either the survey organisation or the sponsoring organisation. Only refusals made before the initial interviewer contact should be coded as office refusals (otherwise, see category 43).

To be added under this code it should have been previously guaranteed that it is an eligible household.

Also it is to be underlined that the code applies only to refusals; if the reason for not participating is due to, for example, illness or language problems, see codes 51-54. The refusal could be by the sampled person or by proxy – for example, the son/daughter of an elderly person(s) may insist that their parent(s) should not be contacted.

If an opt-out procedure is used, it may be desirable to separately identify households who opt out and those that refuse at a later stage (by using sub-categories).

**42 Sampling unit (individual) information refused.**

Contacted person(s) refuse(s) to give the information needed for the interviewer to identify the respondent.

**421** Information refused about number of dwellings/households at address (in this case address should be understood as postal address, or in other words the postal details that include the number of the entrance hall or staircase, as relevant).

**422** Information refused about persons within household.

**43 Refusal at introduction / before interview**

Refusal that is given to the interviewer before the interview has commenced

**431 Refusal by selected person**

**432 Refusal by proxy**

**44 Refusal during the interview**

Respondent refuses to continue the interview, and insufficient data has been collected for the interview to count as a useable partial interview (see categories 21-23).

If the respondent completes all or part of the interview but subsequently refuses permission for the data to be used, see categories 561 - 562.

**45** Broken appointment, no re-contact  
Contacted person(s) is/are willing to be interviewed later at an agreed time, but interviewer is unable subsequently to re-contact them.

## 5 Other non-response

**51** Ill at home  
Code to be used for sampled persons who are temporarily ill, i.e. who might have been able to complete the interview at a different time. If expected to be permanently ill, see code 53. Intoxicated persons to be included here.

**52** In hospital

**53** Physically or mentally unable/incompetent  
This relates to relatively permanent or stable conditions (see code 51)

**54** Language  
**541** No one is able to speak in the language or language that the survey uses and no-one is available to act as interpreter.  
**542** Language of the interviewer  
The interviewer is not competent in one of the official languages and the survey is not re-assigned.

**55** Lost interview  
Full or partial interview achieved but file/questionnaire corrupted/lost/not transmitted

**56** Other non-response  
**561** Full interview achieved but respondent data is deleted.  
**562** Partial interview achieved but respondent data is deleted.  
**563** Other non-response  
Give details.

**57** Prolonged absence  
**571** Prolonged absence  
The concept of prolonged absence should be previously defined for each survey. As a basic definition a relation should be made with the length of the survey period, either for the sample unit in question, or for the field phase.  
It is recommendable to distinguish it from 31, non-contact, in which the cause is different from uninterrupted absence during a pre-determined period of time.  
**572** Holidays  
A prolonged absence whose cause is a holiday.

**58** Office non-response  
Category applied to dwellings excluded from the survey in a phase prior to going into the field. This is the case of dwellings excluded once the sample is extracted for having collaborated in another operation

## Eligibility unknown

### 6 Eligibility unknown, not interviewed

These codes are needed in order to be able to take explicit account of the uncertainty that often surrounds the eligibility of a sampled address. For example, it is sometimes difficult to be certain whether an address at which no contact has been made is occupied or vacant. In the past, interviewers have been forced to make an assumption. This leaves researchers and others no means of taking the uncertainty into account when assessing survey outcomes or estimating response rates.

**61** Not attempted  
**611** Not issued to an interviewer  
For example, no interviewer was available in the area and/or within the time available, or not issued because the area was deemed unsafe.  
**612** Issued but not achieved  
Included here should be cases where the interview was carried out incorrectly,

but this was discovered too late for re-issuing to be possible.

**62** Inaccessible  
Include remote areas temporarily inaccessible due to weather or other causes.

**63** Unable to locate address  
Sample addresses for which the description of the sampled unit is errant or inadequate to allow an interviewer to find the address.

**64** Unknown whether address contains residential housing.

**641** Information refused about whether address is residential

**642** Unknown whether address is residential due to non-contact.

**65** Residential address - unknown if eligible person(s)  
The interviewer knows that the address is residential but the existence of resident(s) eligible for the survey is unknown. This includes cases where the interviewer is unsure whether any household is resident.

**651** Information refused about whether there are eligible resident(s).

**652** Unknown whether there are eligible resident(s) due to non-contact

**66** Screening not completed  
Failure to complete screening. Surveys involving a major screening operation are likely either to use a number of sub-categories of this code or to record outcomes separately for the main stages of the fieldwork.

**661** Refusal to complete screening

**662** Screening not completed due to non-contact

**67** Other unknown eligibility  
Relevant details should be recorded.

**68** Change of residence, unable to make contact at new address  
Only applies to samples of pre-selected persons.

**681** Change of residence - current address could not be ascertained

**682** Change of residence - current address ascertained but could not be attempted.  
For example, if new address is abroad or otherwise out of the areas in which interviewers are available.

## Not eligible

### 7 Not eligible

Codes 71 to 77 only apply to surveys involving a sample of addresses and subsequent selection of an individual at each address. For surveys involving samples of named persons, categories 78 and 79 are the only permitted categories of ineligibles.

**71** Not eligible, under construction

**72** Demolished /derelict

**73** Vacant /empty  
Residential address known not to contain any resident household on the date of the contact attempt.

**74** Non-residential address  
Address occupied solely by a business, school, government office, other organisation, etc., with no resident persons.

**75** Address occupied, but no resident(s)  
Address is residential and occupied, but is not the main residence of any of the persons staying there (see standard definitions of residency). Connected with holiday or seasonal residences. It should be remembered that seasonal or holiday residences that are not occupied at the time of the contact attempt, belong to category 73.

**76** Institutions or Communal establishments  
Address is residential and occupied, but does not contain any private household(s), e.g. institutions and barracks (see standard definitions of institutions).

**77** Resident household(s), but no person eligible for the survey.  
Address is residential and occupied by a private household(s), but does not contain

any person(s) eligible for the survey. Note the distinction from code 73. This code will only be used when the survey has an eligibility criterion that renders some persons ineligible – e.g. a restricted age range or a requirement for persons to be in paid employment.

**78 Out of sampling frame**

The address/person is not properly part of the sample. The code is used for example in situations where addresses/persons listed in the sampling frame a) are outside the relevant geographical area or b) other misclassification of the frame.

**79 Other ineligible**

This heading includes duplicates. Details should be recorded.

### 3. Telephone interviews

#### 3.a. Household surveys

The following categories are applied to telephone interviews of households. Household surveys are understood as surveys where the household is the sample unit. It includes surveys in which the data relative to the household could be obtained from any member of the household or from any member of the household fulfilling a certain criterion (being the head of the household, for example), as well as surveys where the data has to be collected for all of part of the members who fulfil a certain criterion (members of the household, all the adults in the household, all the working members of the household, selected at random).

Each survey is entrusted with defining the suitability of member of the household to reply to the survey.

#### Eligible, interviewed

##### 1 Complete Interview

The distinction between a complete and partial interview should be defined and stated explicitly for each survey. The definition of the desired respondent and any other acceptable respondents should also be stated.

- 11 Complete interview by desired respondent(s).  
All interviews-questionnaires in the household are completed. In all cases, they are completed by the target person. To constitute completion, the end of the questionnaire must have been reached and all sections attempted. If the survey provides for it, some items may remain unanswered.
- 12 Complete interview: partly by desired respondent and partly by proxy.  
All interviews in the household are completed. Not in all cases are they completed by the target person. This includes situations where a single interview is partly-completed by the target person and partly by a proxy respondent, and situations where there are multiple interviews in the household and one or more is completed by the target person/s and one or more by a proxy respondent.
- 13 Complete interview by proxy  
All interviews in the household are completed. In no cases are they completed by the target person. This will rarely apply on surveys where an individual interview is sought with each household member (typically, where the proxy respondent is outside the household - e.g. someone answering on behalf of an elderly parent), but will more often apply on surveys where a single household interview is sought with a target respondent who has a particular position in the household (for example, the main earner).

##### 2 Partial Interview

The distinction between a partial interview and non-response should always be defined and stated explicitly for each survey. As general guidance, it is suggested that key questions should be answered and/or at least half of the questionnaire. When less than half of this is complete see code 44.

- 21** Partial interview by desired respondent.
  - 211** Partial household interview.

The household interview is only partially completed by the target respondent.
  - 212** Household interview but non-contact with one or more elements.

The household interview is completed by the target respondent, but at least one of the individual interviews has not been conducted due to a failure to contact the individual.
  - 213** Household interview but either refusal or incomplete interview by one or more members of the household.
    - All members of the household contacted.
    - The household interview is completed by the target respondent, but at least one of the individual interviews is missing due to a refusal by the individual. All individuals in the household are contacted. In the event of one individual interview being a refusal and another being a non-contact, category 212 applies, household interview but non-contact with one or more elements.
  - 214** Other partial interviews by desired respondents.

The household interview is completed; none of the individual interviews are missing due to either non-contact or refusal, but not all individual interviews are complete. This includes situations where one or more of the individual interviews are only partially completed and situations where one or more of the individual interviews have not been carried out due to reasons other than refusal or non-contact (for example, ill health or incapacity)
- 22** Partial interview: partly by desired respondent and partly by proxy.
- 23** Partial interview by proxy
  - 231** Partial household interview by proxy.
  - 232** Household interview by proxy but non-contact with one or more elements.
  - 233** Household interview by proxy but refusal or incomplete interview by one or more elements.
  - 234** Other partial interview by proxy.

## Eligible, Not interviewed

### 3 Non-contact

- 31** No contact with anyone at the address

This code is to be used when the sampled address is known to be eligible, but the interviewer is unable to make contact with any resident. (If eligibility is uncertain, see categories 63 and 65.)

Normally this code covers non-contacts from those dwellings where there is certainty of eligibility but which, either because of the unsuitable time of the visit, or for some other reason, contact has not managed to be made with anyone in the dwelling.

It is recommended to document in each survey how many attempts to contact were made before the use of the code was allowed and also, for non-contacts, the distribution of number of contact attempts (see section 7).
- 33** Contact made at the address, but not with any member of the sampled household

Address is understood as meaning postal address.

This code is only to be used for multi-dwelling/household addresses.

**33** Contact made at sampled dwelling/household, but not with any responsible resident.

It is to be used in situations where, for example, contact is only made with a child, visitor, workman, au pair, etc. The survey definition of responsible resident should be explicitly documented.

#### 4 Refusal

##### 42 Office refusal

A decision not to participate in the survey is communicated directly to either the survey organisation or the sponsoring organisation. Only refusals made before the initial interviewer contact should be coded as office refusals (otherwise, see category 43).

To be included under this code it should have previously been guaranteed that it was an eligible household.

Also it is to be underlined that the code applies only to refusals; if the reason for not participating is due to, for example, illness or language problems, see codes 51-54. The refusal could be either by a resident of the sampled household or by proxy – for example, the son/daughter of an elderly person(s) may insist that their parent(s) should not be contacted.

##### 42 Sampling unit information refused.

Contacted person(s) refuse(s) to give the information needed for the interviewer to correctly identify the household.

422 Information refused that would allow identification of desired respondent(s) within the dwelling.

##### 43 Refusal at introduction / before interview

Refusal that is given to the interviewer before the interview has commenced

431 Refusal by desired respondent

432 Refusal by proxy

##### 44 Refusal during the interview

Respondent refuses to continue the interview, and insufficient data has been collected for the interview to count as a useable partial interview (see categories 21-23).

If the respondent completes all or part of the interview but subsequently refuses permission for the data to be used, see categories 561 - 562.

##### 45 Broken appointment, no re-contact

Contacted person(s) is/are willing to be interviewed later at an agreed time, but interviewer is unable subsequently to re-contact them.

#### 5 Other non-response

##### 51 Ill at home

Code to be used for sampled persons who are temporarily ill, for example who might have been able to complete the interview at a different time. If expected to be permanently ill, see code 53. Intoxicated persons to be included here.

##### 52 In hospital

##### 53 Physically or mentally unable/incompetent.

See also category 51. Code linked to permanent or stable conditions.

##### 54 Language

##### 541 Language of the interviewee

No one is able to speak in the language or language that the survey uses and no-one is available to act as interpreter.

##### 542 Language of the interviewer

The interviewer is not competent in one of the official languages and the survey is not re-assigned.

##### 55 Lost interview

Full or partial interview achieved but file/questionnaire corrupted/lost/not transmitted

##### 56 Other non-response

561 Full interview achieved but respondent data is deleted.

562 Partial interview achieved but respondent data is deleted.

563 Other non-response.

Relevant details should be given.

**58** Prolonged absence

**571** Prolonged absence

The concept of prolonged absence should be previously defined for each survey. As a basic definition a relation should be made with the length of the survey period, either for the sample unit in question, or for the field phase.

It is recommendable to distinguish it from 31, non-contact, in which the cause is different from uninterrupted absence during a pre-determined period of time.

**573** Holidays

A prolonged absence whose cause is a holiday.

**58** Office non-response

Category applied to dwellings excluded from the survey in a phase prior to going into the field. This is the case of dwellings excluded once the sample is extracted for having collaborated in another operation.

## Eligibility unknown

### 6 Eligibility unknown, not interviewed

These codes are needed in order to be able to take explicit account of the uncertainty that often surrounds the eligibility of a sampled address. For example, it is sometimes difficult to be certain whether an address at which no contact has been made is occupied or vacant. In the past, interviewers have been forced to make an assumption. This leaves researchers no means of taking the uncertainty into account when assessing survey outcomes or estimating response rates.

**61** Not attempted

**611** Not issued to an interviewer

For example, no interviewer was available in the area and/or within the time available.

**612** Issued but not achieved

Included under this code should be where the interview had been carried out incorrectly (at another address), but that it was too late to reassign it.

**64** Unknown whether address contains residential housing

**641** Information refused about whether address is residential

**65** Residential address - unknown if eligible household

The interviewer knows that the address is residential but the existence of residents eligible for the survey is unknown. This includes cases where the interviewer is unsure whether any household is resident.

**651** Information refused about whether there are eligible residents

**652** Unknown whether there are eligible resident(s) due to non-contact

**66** Screening not completed

Failure to complete screening (research, monitoring). Surveys involving a major screening operation are likely either to use a number of sub-categories of this code or to record outcomes separately for the screen and main stages of the fieldwork.

**661** Refusal to complete screening

**662** Screening not completed due to non-contact

**67** Other unknown eligibility.

Relevant details should be recorded.

**671** No answer

The line is not engaged, the tone is correct but no-one answers.

**672** Answerphone

From the recorded message it cannot be deduced that this is the sampled address.

**673** Engaged

Contact is not made because line is always engaged

**674** Number changed

Telephone operator message states that the subscriber has changed number (without specifying new one).

**675** Number does not exist

Operator message

**676** Fax

**677** Others

Includes temporary technical problems that impede that the household is contacted during the fieldwork period.

## Not eligible

### 7 Not eligible

**71** Not eligible, under construction

**72** Demolished /derelict

**73** Vacant /empty

Residential address known not to contain any resident household on the date of the contact attempt.

**74** Non-residential address

Address occupied solely by a business, school, administration office, other organisation, etc., with no resident persons.

**75** Address occupied, but no resident household

Address is residential and occupied, but is not the main residence of any of the persons staying there (see standard definitions of residency). Is connected with holiday or seasonal residences.

**76** Communal establishment or institution

**77** Resident household(s), but not eligible for the survey.

Address is residential and occupied by a private household(s), but does not contain any household eligible for the survey. Note the distinction from code 73. This code will only be used when the survey has an eligibility criterion that renders some households ineligible – e.g. that the household must contain person(s) within a certain age range.

**78** Address out of sampling frame

Address is not properly part of the sample. The code is used for example in situations where addresses that were listed in the sampling frame

a) turn out to be outside the relevant geographical area or b) other misclassification of the frame

**79** Other ineligible

This heading includes duplicates. Details should be recorded.

### 3.b. Individual surveys

These categories apply to telephone interviews with individual persons. By surveys of individuals, we mean surveys where the individual is the sampling unit. This includes surveys where households are sampled initially, followed by random selection of one individual, as well as surveys where named individuals are sampled from some other frame.

The categories proposed for surveys of individuals adopt the same principles adopted for surveys of households and this section should be read in conjunction with that corresponding to households.

In this sense, the differences from the categories proposed for household surveys are minor. There are some differences in the categories for full and partial interviews (major categories 1 and 2) and there are additional categories for failure to make contact with selected person (34) and for the situation where the individual has moved and the interviewer is unable to attempt contact at new address (68). There are, however, also some categories where the definition is either more restrictive or, conversely, broader than for household surveys. There are also many categories that would not apply to the case of surveys of named individuals, for example categories 42, 64-66 and 71-77.

## Eligible, interviewed

### 1 Complete Interview

The distinction between a complete and partial interview should be defined and stated explicitly for each survey. The same is true of the definition of the desirable respondent and of any other acceptable respondent.

- 11** Complete interview by selected person  
To constitute completion, the end of the questionnaire must have been reached and all sections attempted. Some item non-response may, of course, remain.
- 12** Complete interview: partly by selected person and partly by proxy  
The interview is partly-completed by the selected person and partly by a proxy respondent.
- 13** Complete interview by proxy  
The interview is completed by someone other than the selected person, on their behalf.

### 2 Partial Interview

The distinction between a partial interview and non-response should always be defined and stated explicitly for each survey. As general guidance, it is suggested that key questions should be answered and/or half of the relevant questionnaire. If less than this is completed, then see code 44. (See also categories 55 -66).

- 21** Partial interview by selected person
- 22** Partial interview: partly by selected person and partly by proxy
- 23** Partial interview by proxy

## Eligible, Not interviewed

### 3 Non-contact

**31** No contact with anyone at the address  
 This code is to be used when the sampled address is known to be eligible, but the interviewer is unable to make contact with any resident. (If eligibility is uncertain, see categories 63 and 65.) This includes cases where the interviewer is unable to reach the sampled dwelling, for example if the sampled address is a dwelling in a multi-dwelling building and the interviewer is unable to enter the building. If any contact is made with a person believed to be a resident, e.g. through an entryphone or in a public area outside the building, see categories 42-43.  
 This code usually covers non-contacts with those dwellings where there is certainty of eligibility but which, either because of the unsuitable time of the visit, or for some other reason, contact has not managed to be made with anyone in the dwelling.  
 It is recommended to document in each survey how many times interviewers were advised to attempt contact before the use of the code was allowed and also, for non-contacts, the distribution of number of contact attempts (see section 7).

**32** Contact made at the address, but not with any member of the sampled dwelling  
 This code is only to be used for multi-dwelling addresses.

**33** Contact made at sampled dwelling, but not with any responsible resident  
 This code applies both to single-dwelling addresses and to selected dwellings within multi-dwelling addresses. It is to be used in situations where, for example, contact is only made with a child, visitor, workman, au pair, etc. The survey definition of responsible resident should be explicitly documented.

**34** Contact made with responsible member of sampled dwelling, but not with the selected person

#### 4 Refusal

**41** Office refusal  
 A decision not to participate in the survey is communicated directly to either the survey organisation or the sponsoring organisation. Only refusals made before the initial interviewer contact should be coded as office refusals (otherwise, see category 43).  
 To be added under this code it should have been previously guaranteed that it is an eligible household.  
 Also it is to be underlined that the code applies only to refusals; if the reason for not participating is due to, for example, illness or language problems, see codes 51-54. The refusal could be by the sampled person or by proxy – for example, the son/daughter of an elderly person(s) may insist that their parent(s) should not be contacted.

**42** Sampling unit (individual) information refused.  
 Contacted person(s) refuse(s) to give the information needed for the interviewer to identify the respondent.

**421** Information refused about number of dwellings/households at address  
  **422** Information refused about persons within household.

**43** Refusal at introduction / before interview  
 Refusal that is given to the interviewer before the interview has commenced

**431** Refusal by selected person  
  **432** Refusal by proxy

**44** Refusal during the interview  
 Respondent refuses to continue the interview, and insufficient data has been collected for the interview to count as a useable partial interview (see categories 21-23).  
 If the respondent completes all or part of the interview but subsequently refuses permission for the data to be used, see categories 561 - 562.

**45** Broken appointment, no re-contact  
 Contacted person(s) is/are willing to be interviewed later at an agreed time, but interviewer is unable subsequently to re-contact them.

#### 5 Other non-response

**51**     Ill at home  
 Code to be used for sampled persons who are temporarily ill, i.e. who might have been able to complete the interview at a different time. If expected to be permanently ill, see code 53. Intoxicated persons to be included here.

**52**     In hospital

**53**     Physically or mentally unable/incompetent  
 This relates to relatively permanent or stable conditions (see code 51)

**54**     Language  
**541**    No one is able to speak in the language or language that the survey uses and no-one is available to act as interpreter.

**542**    Language of the interviewer  
 The interviewer is not competent in one of the official languages and the survey is not re-assigned.

**55**     Lost interview  
 Full or partial interview achieved but file/questionnaire corrupted/lost/not transmitted

**56**     Other non-response  
**561**    Full interview achieved but respondent data is deleted.  
**562**    Partial interview achieved but respondent data is deleted.  
**563**    Other non-response  
 Give details.

**57**     Prolonged absence  
**571**    Prolonged absence  
 The concept of prolonged absence should be previously defined for each survey. As a basic definition a relation should be made with the length of the survey period, either for the sample unit in question, or for the field phase.  
 It is recommendable to distinguish it from 31, non-contact, in which the cause is different from uninterrupted absence during a pre-determined period of time.

**572**    Holidays  
 A prolonged absence whose cause is a holiday.

**58**     Office non-response  
 Category applied to dwellings excluded from the survey in a phase prior to going into the field. This is the case of dwellings excluded once the sample is extracted for having collaborated in another operation.

## Eligibility unknown

### 6       Eligibility unknown, not interviewed

These codes are needed in order to be able to take explicit account of the uncertainty that often surrounds the eligibility of a sampled address. For example, it is sometimes difficult to be certain whether an address at which no contact has been made is occupied or vacant. In the past, interviewers have been forced to make an assumption. This leaves researchers and others no means of taking the uncertainty into account when assessing survey outcomes or estimating response rates.

**61**     Not attempted  
**611**    Not issued to an interviewer  
 For example, no interviewer was available in the area and/or within the time available, or not issued because the area was deemed unsafe.

**612**    Issued but not achieved  
 Included here should be cases where the interview was carried out incorrectly (at another address), but this was discovered too late for re-issuing to be possible.

**64**     Unknown whether address contains residential housing.  
**641**    Information refused about whether address is residential

**65**     Residential address - unknown if eligible person(s)

The interviewer knows that the address is residential but the existence of resident(s) eligible for the survey is unknown. This includes cases where the interviewer is unsure whether any household is resident.

**651** Information refused about whether there are eligible resident(s).

**652** Unknown whether there are eligible resident(s) due to non-contact

**66** Screening not completed

Failure to complete screening. Surveys involving a major screening operation are likely either to use a number of sub-categories of this code or to record outcomes separately for the main stages of the fieldwork.

**661** Refusal to complete screening

**662** Screening not completed due to non-contact

**67** Other unknown eligibility

Relevant details should be recorded.

**671** No answer

The line is not engaged, the tone is correct but no-one answers.

**672** Answerphone

From the recorded message it cannot be deduced that this is the sampled address.

**673** Engaged

Contact is not made because line is always engaged

**674** Number changed

Telephone operator message stating that the subscriber has changed number (without specifying a new one).

**675** Number does not exist

Operator message

**676** Fax

**677** Others

Includes temporary technical problems that impede that the household is contacted during the fieldwork period.

**68** Change of residence, unable to make contact at new address

Only applies to samples of pre-selected persons.

**681** Change of residence - current address could not be ascertained

**682** Change of residence - current address ascertained but could not be attempted.

For example, if new address is abroad or otherwise out of the areas in which interviewers are available.

## Not eligible

### 7 Not eligible

Codes 71 to 77 only apply to surveys involving a sample of addresses and subsequent selection of an individual at each address. For surveys involving samples of named persons, categories 78 and 79 are the only permitted categories of ineligibles.

**71** Not eligible, under construction

**72** Demolished /derelict

**73** Vacant /empty

Residential address known not to contain any resident household on the date of the contact attempt.

**74** Non-residential address

Address occupied solely by a business, school, government office, other organisation, etc., with no resident persons.

**75** Address occupied, but no resident(s)

Address is residential and occupied, but is not the main residence of any of the persons staying there (see standard definitions of residency). Connected with holiday or seasonal residences.

**76** Institutions or Communal establishments

Address is residential and occupied, but does not contain any private household(s), e.g. institutions and barracks (see standard definitions of institutions).

**77** Resident household(s), but no person eligible for the survey.

Address is residential and occupied by a private household(s), but does not contain any person(s) eligible for the survey. Note the distinction from code 73. This code will only be used when the survey has an eligibility criterion that renders some persons ineligible – e.g. a restricted age range or a requirement for persons to be in paid employment.

**78** Out of sampling frame

The address/person is not properly part of the sample. The code is used for example in situations where addresses/persons listed in the sampling frame a) are outside the relevant geographical area or b) other misclassification of the frame.

**79** Other ineligible

This heading includes duplicates. Details should be recorded.

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## 4. Definitions

**Personal interview:** procedure whereby an interviewer directs a questionnaire to an interviewee within a limited period of time and in the presence of the interviewee.

**Telephone interview:** the interviewer directs a questionnaire in a period of time over the telephone.

**Household survey:** Data collection via a proxy or all or part of the members of a household in order to find out about the characteristics of a household, or all the individuals within it.

**Individual survey:** Regardless of the means of access, the selected person gives information on his or her characteristics and circumstances.

**Target population:** set of units for which the research for the survey wishes to draw conclusions using statistics. Target populations are finite in size, have time restrictions (timeframe) and are observable.

**Population frame:** group from the target population that has a probability of being selected in the sample.

**Survey population:** the target population upon whom certain realistic restrictive criteria are placed with the aim of obtaining information (e.g. exclusion of dangerous areas, exclusion of units already surveyed etc.).

**Sampling frame:** set of materials employed to identify a target population. In its simplest form it is a list of all the units of the target population. Often, the sampling frame is a set of units imperfectly linked to the target population. A sampling frame is perfect when this is a one-to-one relation between the elements of the frame and those of the population.

**Sample:** the group for which the measurements are obtained. On most occasions the sample will be only a small fraction of the sampling frame (and by extension, of the target population).

**Eligible:** set of elements of the sampling frame that are members of the population frame and of the target population.

**Ineligible:** set of elements of the sampling frame that have no members of the target population.

**Respondent:** those cases of the sample for whom the attempt at measuring has resulted satisfactorily.

**Non-contact:** failure to deliver the survey request due to lack of availability of the person(s) to be interviewed by a specific method.

**Refusal:** refusal to participate in the survey once contact has been established.

**Dwelling:** Dwelling is understood to mean a structurally separate and independent enclosure which, by the way in which it was constructed, reconstructed, altered or adapted, is intended to be inhabited by people or, even though it were not so, forms the usual place of residence of someone at the moment of the survey (it is necessary to define the moment of survey). As an exception, enclosures not considered to be dwellings are those that, despite being initially intended for human habitation, at the moment of the survey are totally used for other purposes (e.g. those that are being used exclusively as commercial premises).

There are two types of dwellings: communal dwellings (also known as communal establishments) and family dwellings. Within family dwellings in turn, there is a sub-type denominated accommodation.

**Communal dwelling, institutions or communal establishments:** Communal dwellings are considered to be those dwellings designed to be inhabited by a collective, which is to say by a group of people subject to an authority of communal regime not based on family ties or cohabitation.

The communal dwelling may occupy only part of a building or, more frequently, the whole of it. Includes both proper communal dwellings (convents, barracks, homes for the elderly, students' or workers' residences, hospitals, prisons, etc.) and also hotels, guesthouses and similar establishments.

When there are family dwellings (see the following definition) within communal dwellings, normally intended for the management, administrative or service personnel of the establishment, these are considered as separate family dwellings.

**Family dwelling:** A family dwelling is considered to be a dwelling intended to be inhabited by one or various persons, generally, although not necessarily, family relations and which do not constitute a collective as in the above definition.

**Usual place of residence:** a person is considered to have their usual place of residence in the dwelling where they spend the majority of their daily rest period, taking into account the last six months. People who form new households or are incorporated into existing households are considered members of this new residence; by the same token, people who leave their home to go and live in another place, are no longer considered as members of the original household. The aforementioned criterion of the "last six months" is substituted for the intention of residing in the new place of residence for a period of six months or more.

That which could be considered a "permanent" entry/exit movement in the home should be borne in mind. In other words, a person who moves into the home for an indefinite period of time or with the intention of residing there for a period of six months or more is considered as a member of that household although they still have not spent six months there and although in reality they have spent most of that time in another place of residence. In the same way, a person who has left their home to go to another place of residence with the intention of being away for six months or more is no longer considered a member of their former household.

If a person who is temporarily absent is currently in a private dwelling they will be considered to be a member of the present or previous household depending on the length of their absence. Exceptionally, certain categories of people who retain very close links with the household could be considered to be members of it regardless of the time that their absence lasts, provided that they are not considered to be members of another private household.

**Absence / presence:** Each survey will define, for its purposes, what is considered to be an absence. As a general reference, a person can be considered present if they stay overnight in a dwelling at least once during the survey period (the concept of the survey period should also be defined by the survey).

A person who usually resides in a dwelling is considered absent (temporarily) from it if they do not stay overnight at all during the period of collaboration.

An attempt should be made to obtain information from a neighbour, family member, etc. who can vouch for this prolonged absence.

The reasons for the absence could be:

Study: e.g. students who reside in a communal home or a student residence during the study period and depend economically on the household.

Seasonal work: e.g. the father of the family relocated temporarily for work reasons.

Other causes: e.g. holidays, people in prisons, homes for the elderly, etc.

**Vacant/empty dwelling:** Currently not occupied and therefore not liable to survey.

**Demolished/derelict dwelling:** The building exists, but is not habitable due to its condition or that the dwelling has existed but does not currently exist due to demolition.

## 5. Equivalents

As an example, below are the equivalents between outcomes corresponding to a Eustat roadmap (the PRA one) and the new proposal.

| Roadmap codes |                                  | ISER 3-digit coding |                                                                       |
|---------------|----------------------------------|---------------------|-----------------------------------------------------------------------|
| <b>00</b>     | Affirmative                      | <b>13</b>           | Survey complete                                                       |
| <b>01</b>     | Unable to locate                 | <b>63</b>           | Unknown eligibility. Unable to locate                                 |
| <b>02</b>     | Not liable to survey             | <b>76</b>           | Not eligible. Communal establishment/institution                      |
| <b>03</b>     | Disappeared                      | <b>7</b>            | Not eligible. Disappeared                                             |
| <b>04</b>     | Renovation                       | <b>7</b>            | Not eligible. Renovation                                              |
| <b>05</b>     | Derelict                         | <b>72</b>           | Not eligible. Derelict                                                |
| <b>06</b>     | Construction                     | <b>71</b>           | Not eligible. Construction                                            |
| <b>07</b>     | Inaccessible                     | <b>62</b>           | Unknown eligibility. Inaccessible                                     |
| <b>08</b>     | Seasonal dwelling                | <b>75</b>           | Not eligible. Seasonal dwelling                                       |
| <b>09</b>     | Other purposes                   | <b>74</b>           | Not eligible. Dwelling non-residential/used for other purposes        |
| <b>10</b>     | Uninhabited, empty               | <b>73</b>           | Not eligible. Uninhabited, empty                                      |
| <b>11</b>     | Refusal                          | <b>432</b>          | Refusal                                                               |
| <b>12</b>     | Holidays                         | <b>52</b>           | Other type of non-response. Holidays                                  |
| <b>13</b>     | Prolonged absence (other reason) | <b>31</b>           | Non-contact. Prolonged absence, no contact with anyone at the address |
| <b>14</b>     | Already surveyed                 | <b>563</b>          | Other non-response                                                    |
| <b>15</b>     | Recovered (and lost)             |                     |                                                                       |
| <b>19</b>     | Other outcomes                   | <b>563</b>          | Other non-response                                                    |

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## 6. Rate calculation

### ISER Notation used

Once the outcomes have been coded using ISER codes, the following standard definitions are applied that are used for the calculation of rates. The number in brackets refers to the categories defined above.

**I** = Complete interview (1)

**P** = Partial interview (2)

**NC** = Non-contact (3)

**R** = Refusal (4)

**O** = Other non-response (5)

**UC** = Unknown eligibility, contacted (641, 651, 661, proportion of 67). (Reference: Recommended Standard Final Outcome Categories and Standard Definitions of Response Rate for Social Surveys)

**UN** = Unknown eligibility, non-contact (61, 62, 63, 642, 652, 662, 68 and remainder of 67). (Reference: Recommended Standard Final Outcome Categories and Standard Definitions of Response Rate for Social Surveys)

**NE** = Not eligible (7)

**Ec** = Estimated proportion of contacted cases of unknown eligibility that are eligible

**En** = Estimated proportion of non-contacted cases of unknown eligibility that are eligible

**RR** = Response rate

**COOP** = Co-operation rate

**CON** = Contact rate

**REF** = Refusal rate

**ELIG** = Eligibility rate

## Definition of response rates

There follows a series of definitions of the different response rates:

**Response rate:** The response rate indicates the proportion of interviews carried out of all the eligible cases. It is calculated by dividing the sum of all the complete and partial interviews by the sum of all the complete and partial interviews plus the refusals, non-contacts, other non-responses and unknown eligibility.

Numerator= Interviews carried out

Denominator= Eligible households

$$RR_O = \frac{I + P}{(I + P) + (R + NC + O) + e_C UC + e_N UN}$$

In estimating  $e_N$ , which is to say the proportion of the cases contacted of unknown eligibility that are eligible, one must be guided by the best available objective information and one must not select a proportion in order to boost the response rate.

For some surveys it will be appropriate to assume that the proportion of eligibles amongst those cases where eligibility is uncertain is the same as that amongst cases where eligibility has been established. For other surveys, it will be appropriate to assume  $e=1$ . In the PRA  $e=1$  is taken, which would be the least favourable case.

**Co-operation rate:** The co-operation rate indicates the number of achieved interviews as a proportion of those cases contacted during the fieldwork period. It is calculated dividing the sum of all the complete and partial interviews by the sum of all the complete and partial interviews plus the refusals, other non-responses and contacted units of unknown eligibility.

Numerator= Interviews carried out

Denominator= Contacted households

$$COOP = \frac{I + P}{(I + P) + R + O + e_C(UC)}$$

**Contact rate:** The contact rate measures the proportion of all cases in which some household member was reached by the interviewer, even though they might then have refused or been unable to give further information. It is calculated by dividing the sum of all the complete and partial interviews, plus the refusals, other non-responses and contacted units of unknown eligibility by the sum of all the complete and partial interviews plus the refusals, other non-responses and units of unknown eligibility.

Numerator= Contacted households

Denominator= Eligible households

$$CON = \frac{(I + P) + R + O + e_C(UC)}{(I + P) + (R + NC + O) + e_C(UC) + e_N(UN)}$$

**Refusal rate:** The refusal rate indicates the proportion of all estimated eligible cases that refuse to answer. It is calculated by dividing the refusals by the sum of all the complete and partial interviews plus the refusals, non-contacts, other non-responses and units of unknown eligibility.

Numerator= Households that refuse to answer

Denominator= Eligible households

$$REF = \frac{R}{(I + P) + (R + NC + O) + e_C UC + e_N UN}$$

**Eligibility rate:** The eligibility rate is defined as the number of eligible cases among the total number of cases.

Numerator= Eligible households

Denominator= Total households (eligible + not eligible)

$$ELIG = \frac{(I + P) + (R + NC + O) + e_C UC + e_N UN}{(I + P) + (R + NC + O) + (UC + UN) + NE}$$

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