European Social Survey Fieldwork Management System (FMS)

User manual for ESS fieldwork organisations and National Coordinators

V1.0: June 2018

This manual is intended for use with the version of the FMS released in June 2018 for ESS R9 pre-testing fieldwork
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Introduction

What is the FMS?

A key challenge facing social surveys, especially those operating cross-nationally, is to monitor and manage fieldwork effectively. Researchers on the European Social Survey (ESS) have been working with developers from CentERdata to develop a new electronic fieldwork management system (FMS) for use on the ESS. The FMS aims to provide all ESS stakeholders with access to standardised, timely and accurate information with which to monitor fieldwork progress consistently across countries throughout the fieldwork period.

The FMS consists of three linked components:

A mobile app:

- CASE CTRL will be installed on mobile devices owned by the survey agency. It will provide an electronic version of the ESS Contact Form and be used by interviewers in the field to manage their caseloads and complete contact records on the doorstep.

A locally installed web-based Case Management System (SAMPLE CTRL):

SAMPLE CTRL will be accessible to the survey agency which has primary responsibility for managing and monitoring fieldwork in a given country. It will send and receive information to/from the app in the field and be used by the survey agency to allocate cases to interviewers and monitor fieldwork progress of individual sample units and/or interviewers.

A centralised web-based Case Management System (SURVEY CTRL):

- A key feature of the FMS is that it allows data collected via CASE CTRL to be accessible to and shared by ESS stakeholders. Selected information stored within SAMPLE CTRL will be synced daily to a central database hosted by CentERdata in the Netherlands. SURVEY CTRL is accessible to the National Coordinator responsible for overseeing the implementation of the ESS in a country, and members of the ESS Fieldwork Team who oversee the implementation of the survey overall. They will be able to see summary reports of fieldwork progress at an aggregate level as well as some limited information at case level.

SURVEY CTRL is for monitoring purposes only. Stakeholders with access to the SURVEY CTRL will not be able to input data to the system or use SAMPLE CTRL to manage fieldwork in the way that the survey agency can using the SAMPLE CTRL. Direct personal identifiers will not be synced to SURVEY CTRL; the data accessible outside of the survey agency will be pseudonymised.

Agency users will be able to view records for fieldwork in their own country only.
This user guide
The majority of the user guide is aimed at the fieldwork organisation responsible for installing and using SAMPLE CTRL. Section 1.5 outlines how NCs can access SURVEY CTRL to monitor fieldwork and which sections of the user guide are most relevant to them.

The following supporting documents are provided as annexes to this user guide:

- Annex 1: Sample CTRL security guidelines
- Annex 2: CASE CTRL user manual for interviewers (provided as a separate document)
- Annex 3: Understanding SAMPLE CTRL summary reports
- Annex 4: TMT user manual (not included here)

In addition to this user guide, you may also find it helpful to refer to the templates provided for importing sample and interviewer records into SAMPLE CTRL.

1. Getting started

Survey agencies will use SAMPLE CTRL to manage ESS fieldwork, allocate cases to interviewers and receive back contact information from interviewers using CASE CTRL in the field. SAMPLE CTRL will also be used to monitor fieldwork progress. Selected information will be synced from SAMPLE CTRL to SURVEY CTRL on a daily basis using secure https protocols. This shared information can be used as the basis for discussions about fieldwork progress with the National Coordinator and the ESS Fieldwork Team.

Prior to undertaking set up, the FMS should have been translated into the relevant local languages using the Translation Management Tool. Separate instructions on how to do this are provided in the TMT user manual (Annex 4).

* For users accessing the demo version, all set up activities have already been completed *
   Simply enter the login credentials provided to access the tool

1.1. SAMPLE CTRL setup

SAMPLE CTRL is a web-based tool. You will need to be able to install SAMPLE CTRL on a locally hosted secure private server and set up routines to enable the local server to synchronize on a daily basis with a central database hosted by CentERdata. More information on the technical and security requirements for installing SAMPLE CTRL are given in Annex 1.

All interviewers working with the FMS will need to be issued with an Android mobile device (tablet, smartphone or other device) on which CASE CTRL can be installed. The device should be owned by the agency; interviewers’ own devices must not be used. As part of entering into the data processor agreement with ESS ERIC, agencies are required to guarantee that devices are set up to handle personal data securely in line with the requirements of the General Data Protection Regulation (GDPR). Hardware and software encryption should be in place. Agencies should also make use of a Mobile Device Management System (MDMS) to keep track of devices and to ensure that CASE CTRL and all data stored locally is deleted from the devices at the end of each round of fieldwork. Devices should be set up to auto-lock after a certain period of time.
Once your local server has been set up, please provide the URL to CentERdata, who will then generate a server package and provide further technical instructions. After the package is extracted on your server you are required to do the set up via the provided url.

To install SAMPLE CTRL, first, open Chrome or Firefox and enter the URL for the server on which the SAMPLE CTRL is hosted into your web browser.

A new page will load with an “install” button.

Once you have clicked install, please fill in the setup details to create an account.
You will then be prompted to log in using the username and password you just created.

Enter your username and password and click “Login”

Once logged in, you should see the following page:

The left “Setup” menu includes fields for:

- **Name**: Specify the name of your organisation
- **Country**: Specify the country fieldwork is being conducted in
- **Language**: Specify the language you would like SAMPLE CTRL to be displayed in
- **Contact**: Select “ESS” from the dropdown menu
- **Type**: Specify the sample type (e.g. address, individual, household)
- **Username**: Create the username you would like to use to login to SAMPLE CTRL (additional users can be created later)
- **Email**: include your email address
- **Password**: Create a password for logging in to this user account. As a minimum passwords should contain at least eight characters including characters from at least two of the following four groups: a-z, A-Z, 0-9, other printable ASCII characters.
Upon first log in, a warning message will appear that reads "No questionnaires set for (log a visit, main interview etc, fieldwork can't be conducted yet. Go to questionnaires and round to perform the setup!)." This message prompts you to complete the next steps required for setup.
1.2 Fieldwork setup
Setup links can be found under “Fieldwork setup” in the navigation menu. To access the navigation menu at any time click on in the top left corner of the screen.

The “Fieldwork setup” menu includes links to:

- **Questionnaires**: Specify the questionnaires used in this round of the ESS
- **Sample**: Specify sample details
- **Round**: Specify which round of the ESS the fieldwork is being conducted for
- **Countries**: Change language settings (not needed during the ESS Round 9 pilot)
- **List users**: Create accounts for other agency users
- **Sync settings**: Specify the URL which allows SAMPLE CTRL to sync with the SURVEY CTRL

1.2.1 Sample setup
First, click on “Sample” from the Fieldwork setup menu. This will bring up a page allowing you to edit the sample details.
Fieldwork projections
SAMPLE CTRL allows fieldwork performance in the current round to be monitored against i) projections for the target number of interviews to be completed in each round ii) actual performance in the last round.

Before the start of mainstage fieldwork, projections need to be signed off with your contact from ESS Fieldwork Team at least 14 days before the start of fieldwork. The ESS Fieldwork Team will provide information on the number of interviews achieved on each week of fieldwork from the previous ESS rounds (if relevant) to help NCs set or assess targets for this round. Written instructions regarding the fieldwork projections will be sent to each NC well in advance of the start of fieldwork.

Once the projection figures have been signed off, they can be entered into SAMPLE CTRL by the fieldwork organisation. Figures should be entered for the cumulative number of completed interviews per week of fieldwork.

** For the pre-testing phase it is not necessary to provide projections **
You will then receive the following message confirming the sample has been saved:

```
The sample has been saved.  
```

1.2.2 Questionnaire setup
Now specify the questionnaires to be used during fieldwork. This refers to the questionnaires that will be programmed into CSE CTRL, that is, the information that interviewers will be required to fill in on the doorstep.

In the fieldwork setup menu, select “Questionnaires”
The next page will display a list of the available questionnaires on the right, and a section to allocate the questionnaires to SAMPLE CTRL set up on the left.

The questionnaires to load into SAMPLE CTRL will vary depending on the type of sample and country set up being used.

<table>
<thead>
<tr>
<th>Questionnaire</th>
<th>FMS Key</th>
<th>COUNTRY</th>
</tr>
</thead>
<tbody>
<tr>
<td>ESS_NBHQ:</td>
<td>Neighbourhood questions</td>
<td>All</td>
</tr>
<tr>
<td>ESS_HH:</td>
<td>Household/ address selection</td>
<td>If Address/HHold sample</td>
</tr>
<tr>
<td>ESS_LOG:</td>
<td>Log a visit</td>
<td>All</td>
</tr>
<tr>
<td>ESS_Survey</td>
<td>ESS survey interview</td>
<td>SE/NO</td>
</tr>
</tbody>
</table>

On the Questionnaires page, select “Actions” and “New”
To install each of the questionnaires, complete the following steps:

1. Open the questionnaire link in a new tab. Right click on the link and select “open link in new tab”.

This will bring up a text page and the URL for the questionnaire.

Now that you have copied the URL for the first questionnaire, go back to the “Add Questionnaire” page in SAMPLE CTRL.

2. Select the URL excluding the last part which says “&mob=1&lang=en” as these refer to mobile and language settings which are not needed for SAMPLE CTRL. Then right click and select “copy”

3. Paste the URL in the “Url” box and select the relevant questionnaire from the dropdown box labelled “FMMS key”. Then click “save”

You will then receive the following message to confirm the questionnaire has been saved
Repeat steps 1-3 for the remaining questionnaires.

1.2.3 Sync setup
Next, you need to specify the central server location to which SAMPLE CTRL will sync. Whilst setting up the local server (see Section 1.1) you should set the sync frequency between the local and central server. You will also need a “sync” username and password; please contact CentERdata to provide this.

Enter the following URL into the Url box: https://www01.centerdata.nl/ccms/users/login/token

You will then see the following “token is saved” message confirming the sync settings have been saved.
1.2.6 Setting the language
To set or change the language of the SAMPLE CTRL interface, click the “Change language” dropdown from the left-hand navigation menu, and select the required language.

Only languages into which the FMS has been translated will be visible.
1.2.5 Adding new user accounts
You can also use the “Fieldwork setup” menu, to add new user accounts for other people requiring access to SAMPLE CTRL within your agency.

Click on the “list users” link

To add a new user, click “Actions” and “Add user”

Then complete all fields in the “Add User” page and click “save”
Remember that, as a minimum, passwords should contain at least eight characters including characters from at least two of the following four groups: a-z, A-Z, 0-9, other printable ASCII characters.

1.3. Importing data into SAMPLE CTRL
Now you have completed the fieldwork setup, you are ready to import the list of sampled cases and the list of interviewers allocated to work on these cases.

File templates have been provided to ensure that data is imported in the right format. The two template files you have been provided with are as follows:

- Importing interviewer records into SAMPLE CTRL
- Importing sample records into SAMPLE CTRL
Files must be imported as a tab delimited .txt file. The order of the fields and the field headings used should match the specification provided.

Interviewer records should be imported first.

1. Select **Interviewers** from the left hand menu

2. Click on **Actions** and select **Import interviewers** from the dropdown menu

3. Browse for the required file and click **upload**

SAMPLE CTRL will then notify you that the file has **imported successfully**.
If data is not imported using the correct template, an error message will appear and the file will fail to upload.

Next, import the case (sample) records in exactly the same way, starting from the main case list screen.

Data can be uploaded in batches. Useful, for example, if fieldwork is staggered. To upload additional interviewers or case records simply repeat the steps for data import and upload a new file containing the additional records only. These records will be added to those already present within SAMPLE CTRL.

1.4. CASE CTRL installation

Once the interviewers and case list have been imported into SAMPLE CTRL, CASE CTRL can now be installed on the mobile devices for interviewers.
2. Navigating within SAMPLE CTRL

A lot of information is accessible to the survey agency from within SAMPLE CTRL.

The left hand navigation menu includes links to:

- **Case list**: Summary information about each case (ESS sample unit) uploaded into SAMPLE CTRL
- **Interviewers**: Details of all the interviewers assigned to work on ESS
- **Summary report**: An aggregate level summary of the current state of fieldwork including number of completed interviews, refusals etc.
2.1 Case List
The main landing page, reached on log in and accessible at all times by selecting “Case list” from the left hand menu, provides an overview of the status of all ESS cases.

Coloured boxes at the top of the screen provide details of:
- Number of issued cases (i.e. cases for which a sample record has been uploaded to SAMPLE CTRL)
- Number of complete interviews
- Number of appointments made
- Number of refusals
- Number of issued cases with no contact attempts yet
- The gross sample size

A table at the bottom of the screen lists all cases and provides information on
- The interviewer working the case
- The region in which the case is located
- The last outcome recorded for the case
- Number of contact attempts made for the case
- Date of last contact
- Date of any appointments set up
- Date until when cases are “unavailable”
- Whether there has been a refusal at any contact attempt

Cases are colour-coded depending on the current status in line with the summary boxes at the top of the screen (invalid = grey)

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1) It is possible to search for a particular case e.g. by case ID. Clicking “Reset search” will then take you back to the full list of cases
2) It is possible to filter the list of cases based on interviewer or current status (outcome code)
3) It is possible to order the list of cases based on any column e.g. Interviewer ID
2.2 Case screen
The fieldwork organisation can access further details about each issued case by clicking on 'Case ID' in the list of cases displayed on the main screen. This detailed case information is not visible to NCs.

Information available for each case includes:

- Contact details for the respondent.
- Information about the selected respondent. In the first instance this information will only be available for countries using individual named samples where this information is uploaded as part of the sample file. For address/household samples, the name of the selected respondent will appear after the interviewer has performed respondent selection and synced this information from the app.
- The Interviewer ID of the interviewer currently assigned to the case.
- The number of contact attempts made.
The detailed case screen also includes:

- Details of all contact attempts made for the case to date.

- Notes made by the interviewer about the case. Fieldwork organisation personnel can also add notes (see section 3.1).

- A list of any interviewers previously assigned to the case.

Return to the main overview screen at any time by selecting “Case list” from the left hand navigation menu.

2.3 Interviewer screen
The fieldwork organisation can also monitor the fieldwork progress of individual interviewers. This information is not visible to NCs.
To access records for individual interviewers:

Select **Interviewers** from the left hand menu

The list of ESS interviewers whose records were imported into SAMPLE CTRL will be visible.

Use the **Search** function to locate a specific interviewer.

You can also click on an individual **Interviewer ID** on the main “Case list” page to access interviewer level records.
The interviewer record contains three key pieces of monitoring information:

1. The date the interviewer last synced data collected in the field to SAMPLE CTRL
   This gives an indication of how up to date the information contained within SAMPLE CTRL is, and a potential indicator of whether the interviewer is currently active on their ESS assignment

2. An at-a-glance summary of the status of cases currently allocated to the interviewer

3. A list of all the cases currently allocated to the interviewer
3. Managing fieldwork using SAMPLE CTRL
You can perform a number of tasks within SAMPLE CTRL to assist you in managing fieldwork. These tasks include importing and editing data, allocating and reallocating cases to interviewers and syncing data with CASE CTRL.

3.1 Importing data into SAMPLE CTRL
For instructions on how to import data into SAMPLE CTRL, see section 1.3 of this manual.

**Note: Data can be uploaded in batches.** Useful, for example, if fieldwork is staggered. To upload additional interviewers or case records simply repeat the steps for data import and upload a new file containing the additional records only. These records will be added to those already present within the CCMS.

3.2 Editing data in SAMPLE CTRL
Certain data can be added or edited within CASE CTRL. The most important uses of this functionality are described below.

Editing tasks are performed from within individual case records.

3.2.1 Adding/editing contact attempts
It is possible for fieldwork organisation personnel to log a contact attempt directly within SAMPLE CTRL. Any contacts logged via SAMPLE CTRL will be recorded as Mode= “Info through agency”. This function should therefore only be used to record office refusals or similar outcomes. Any contact attempt made by an interviewer should be logged using CASE CTRL.

Select the required outcome from the drop down menu and click save.

The outcome will appear in the list above, without details of contact mode or interviewer.
It is also possible for the fieldwork organisation to delete previously entered contact attempts if, for example, the interviewer notifies you that they coded the wrong outcome code. This function should be used with caution. If a contact attempt is deleted, you should ensure that the interviewer logs a new, accurate, contact attempt to replace it and that they ensure that the contact attempt is logged with the correct date and time (rather than the current date and time which is the default within CASE CTRL).

3.2.2 Add a note
Fieldwork organisation personnel can add notes for any case. These notes will also be visible to the interviewer within CASE CTRL.

3.3 (Re)allocating cases to interviewers
The fieldwork organisation will use SAMPLE CTRL to allocate cases to interviewers. This can be done in two different ways. Through the case import file or manually from within SAMPLE CTRL.

The easiest way to allocate cases to interviewers is to complete the “interviewer ID” column in the case import file before uploading it. SAMPLE CTRL then automatically allocates the case to the listed interviewer at the start of fieldwork.
It is also possible to allocate a case to an interviewer manually within SAMPLE CTRL. This approach can be used to reallocate cases to a different interviewer during fieldwork, for example during the reissue phase.

Go to the individual case record for the case you wish to (re)allocate (see section 2.2)

Click on “Actions” and select “Assign interviewer” from the dropdown menu
The message “The interviewer has been assigned” will appear on the case screen.

Interviewers can request that a case be reassigned to another interviewer via CASE CTRL. An alert for this case will then be visible within SAMPLE CTRL.

If an interviewer requests to be unassigned from a case, you will receive an alert at the top right of the CMS upon logging in or when the page refreshes. Clicking on the alert will take you to the case page that the interviewer has requested to be reassigned from. The alert will only disappear once the case has been reassigned.
3.4 Syncing with CASE CTRL
SAMPLE CTRL transmits data to and from CASE CTRL used by ESS interviewers in the field. This data transfer (syncing) occurs via secure https protocols.

SAMPLE CTRL syncs with CASE CTRL automatically; no additional action is required on the part of the survey agency. Any new data entered in SAMPLE CTRL will be picked up by the interviewer the next time they log in to the app whilst connected to the internet.

Similarly, whenever the interviewer syncs the app (whilst connected to the internet), any new data entered into CASE CTRL since the last sync will automatically show up within SAMPLE CTRL.
4. Monitoring fieldwork using SAMPLE CTRL

**UNLESS OTHERWISE STATED, ALL OF THE MONITORING FUNCTIONS DESCRIBED BELOW ARE ALSO AVAILABLE TO THE NC VIA SURVEY CTRL**

SAMPLE CTRL provides three main ways to monitor progress during fieldwork: through the SAMPLE CTRL main screen which gives an ‘at-a-glance’ overview of the current status of fieldwork, through automated summary reports giving the latest response rate and breakdown of response codes, and a data export function to facilitate more in-depth analyses.

4.1 SAMPLE CTRL main screen

As described in Section 2.1 of this guide, the main landing page of SAMPLE CTRL, accessible on login and by selecting “Case list” from the left hand menu, provides information on the current status of all ESS sample units (cases) in the field.

This main screen can be used to:

- See at-a-glance how many cases are active in the field, the number of completed interviews, the number of refusals and the number of cases with no contact attempts made yet;
- Check on the status of a particular case, including the number of contact attempts it has received and the date and time of the last contact attempt;
- Use the filter function to look at a) all cases allocated to a specific interviewer b) all cases with a particular outcome code, for example refusals.
4.2 Summary progress reports
SAMPLE CTRL automatically generates summary progress reports, available to all FMS users, which provide a way to ensure that fieldwork is being monitored in a standardised way by different ESS stakeholders and across countries.

Three summary tables are provided; “summary indicators”, “detailed outcomes codes” and “breakdown”. Each of these tables can be expanded or collapsed by clicking on the table’s heading. By default, the summary indicators and breakdown table are expanded, with the detailed outcome codes table is collapsed.

All figures are based on the last contact attempt recorded in CASE CTRL and synced with SAMPLE CTRL. By default, the summary reports reflect the latest information synced from CASE CTRL.
1. **Summary indicators** shows summary information such as gross sample, response rate and number of active interviewers. The first column is the number of cases, whilst the second column shows this number as a percentage of the gross/eligible sample or total number of interviewers.

2. **Detailed outcome codes** shows the full list of contact outcomes. Click the dropdown button to expand the table.

3. The **Breakdown table** allows you to breakdown cases by batch, region, gender, age group or interviewer ID. The default view is breakdown by batch.

To change the breakdown in the Breakdown table, select from the dropdown menu and click “search.”
The breakdown table will then be updated.

<table>
<thead>
<tr>
<th>By Interviewer ID</th>
<th>Cases uploaded to Sample CTRL</th>
<th>Contact attempted</th>
<th>Interview</th>
<th>Appointment</th>
<th>Non-contact</th>
<th>Refusal</th>
<th>Ineligible</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>30001</td>
<td>21</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>30002</td>
<td>20</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>30003</td>
<td>19</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>30004</td>
<td>18</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>30005</td>
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<td>30006</td>
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<td>Total</td>
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<td>6</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

Further information about the summary indicators reported in Sample CTRL - how they have been calculated and how they can be used to monitor and manage fieldwork - is given in Annex 3.

Summaries can be downloaded and saved offline, allowing you to track progress over the fieldwork period. We would recommend you to save summary reports on a weekly basis for future reference.

Summary reports can be exported and saved offline
Click “Export this overview to csv” on the relevant table

Summary reports can also be exported for the breakdown table, but are not shown in this screenshot
A pop-up will then appear, asking if you want to open or save the file.

By default, the file will be saved as a .csv file. To view the exported summary report in tabular form rather than as a tab separated (.csv) file, the file will need to be converted.

1. Open the downloaded .csv file” and export this as a .txt file, by clicking File> Export> Change File Type> Text (Tab delimited) (*.txt)> Save As

2. Then open a new Excel workbook and select “Data” from the Ribbon. Under the “Get external data section” select “From Text” and open the .txt file you converted in the previous step

3. A text import wizard will open. Select “Delimited” as the file type and click “Next”
Select “tab” and semi colon as the delimiters and click “Finish”

You can now save the resulting output in the current excel sheet or in a separate file.

As a default the summary reports will display the “current state” of fieldwork, that is, including all information synced to SAMPLE CTRL by interviewers. Note that interviewers should be encouraged to sync their devices at least once per day.

Summary reports can also be viewed for past fieldwork weeks using the “History” function.
Some summary statistics can also be viewed as graphs.

Select the relevant week from the dropdown under “History” and click "search" to display the information for that week. The tables will then be refreshed.

Click “Actions”, then “Show graphs”.

See Annex 3 [to follow] for more information on the graphs that are available.

4.3 Data export
At any point during fieldwork an interim case-level contact data file can be downloaded from SAMPLE CTRL and saved externally as a csv file.
The file will contain detailed contact records (mode, date and outcome of each contact attempt logged, interviewer observations, outcome of respondent selection etc.) for each case based on information a) from the original sample file and b) entered by interviewers in the field using CASE CTRL.

Once downloaded this case-level file can be used to conduct further analysis of ESS case records, for example to check that all cases have received the required number of contact attempts, spread over different days of the week and times of the day.
To export a data file:

From the main “Case list” page, click on **Actions** and select **Export cases** from the dropdown menu.

Click on **Export Cases** to access a csv file of all case records.

**Note:** The fields available for export file are tailored to the different user groups; no personal identifiers (for example, name or address details) are visible to users outside of the fieldwork organisation.
5. Communication between stakeholders

The FMS aims to provide all ESS stakeholders with access to standardised, accurate and timely data about the progress of ESS fieldwork. It is intended to facilitate more effective and efficient communication between the fieldwork organisation, the NC team and the ESS Fieldwork Team. It is not a substitute for the local knowledge and expertise of experienced survey managers or fieldwork supervisors.

As a fieldwork organisation you may have access to additional information about sample cases, interviewers, or local circumstances, not recorded directly in SAMPLE CTRL, which may be useful for monitoring. You are encouraged to share this information with the NC team as appropriate.

There are also other aspects of fieldwork that it is useful to monitor which are not covered by the FMS. This includes:

- Reissuing strategy
- Back checks
- Interview duration and data quality

You are encouraged to monitor these aspects of fieldwork using your own internal procedures. Further information on how to do this is provided in Annex 3 [to follow].

The data in SAMPLE CTRL should serve as the basis for communication between field supervisors and interviewers, between the fieldwork organisation and the NC team and between the NC team and the ESS Fieldwork Team throughout fieldwork. The FMS is not itself a communication tool. The fieldwork organisation should expect to be in weekly phone/email contact with the NC team to discuss progress and any issues arising. Similarly, the NC team should have weekly contact with the ESS Fieldwork Team (via email) to discuss progress. Note that the ESS Fieldwork Team has direct access to the same summary reports as NCs.

6. Log out

Please remember to log out of SAMPLE CTRL if you are away from your screen. The session will expire after a certain period of time left unattended but it is good practice to log out manually. Click on your user name at the top right of the screen to log out.
Security guidelines
Sample CTRL

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1 Security guidelines

In this document we define security guidelines for the Case CTRL (FMS app) and Sample CTRL system which should be followed when using the software during fieldwork. We divided the security guidelines into 3 components:

1. Webserver
2. Communication between client and server
3. Database server

1.1 Webserver

1. The web server software should be on a dedicated host. Only the necessary services (web, Administrator login) should be enabled all others should be disabled.
2. The webserver should only serve encrypted files via a secure way (https) with a valid certificate.
3. The web servers and web applications should not run with elevated privileges
4. Limit the ability of web server and web application user accounts to modify other programs, logs, or system configuration files by limiting account privileges. Separate Web server content and related subdirectories from operating system and application directories.
5. Web servers should be configured to prohibit access to files that may not be intended to be available for non-authenticated users. In particular, do not make arbitrary directories publicly available.
6. Keep discrete log files for each virtual web server if there are multiple virtual web servers hosted on a single server instance
7. Copy web service logs to a separate secure log server for retention.
8. Ensure mechanisms are in place to prevent log files from filling up the hard drive
9. Perform regular backups of Web content and occasional backups of operating system and application configurations.
10. Perform regular virus scans

1.2 Server client communication

1. Use the https webserver to communicate between the Case CTRL and SAMPLE CTRL
2. If possible use a VPN client to make the webserver only accessible via the virtual private network (in combination with firewall rules)

1.3 Database server

1. The database server should be on the same host as the webserver or on the same internal network. The database should not be accessible by other hosts then the webserver.
2. If the database server hosts multiple applications performance issues caused by other applications should not affect the Sample CTRL application
3. Database access is restricted to the application user and system administrator.
4. Databases should be backed up on a daily basis
   a. Storage of the backup files, should be offsite
   b. Encrypt the backups
5. Backup and recovery procedures are periodically tested.
6. Key management procedures for decrypting backups are documented, available to more than one person.
Annex 3: ESS Round 9 Summary reporting indicators in FMS

By default, figures reported in the FMS are based on the information provided in the latest weekly file uploaded to the portal or the latest information synced from Case CTRL (if using FMS app).

It is also possible to select reports of the situation in a previous fieldwork week.

The current status of the case is defined by the outcome of the last contact attempt recorded by the interviewer. There is no prioritisation of outcome codes allowed.

**Summary indicators**

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<thead>
<tr>
<th>Indicator</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Gross sample</td>
<td>N= Number of cases in gross sample</td>
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<td>As agreed with sampling expert and signed off in Sample design summary and Fieldwork Questionnaire (FWQ)</td>
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<tr>
<td>Cases uploaded to Sample CTRL</td>
<td>N= Number of unique sample records currently uploaded to FMS upload portal % = (Cases uploaded/gross sample) * 100</td>
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<td>Contact attempted</td>
<td>N= Number of cases with at least 1 contact attempt (in any mode) since the start of fieldwork % = (N cases with at least 1 contact attempt/ Gross sample) * 100</td>
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<tr>
<td>Ineligible</td>
<td>N = Number of cases coded as ineligible at last contact attempt i.e. case coded as: 7 = Invalid at Q5 on ESS Contact Form QR 8, 9, 10 at Q6 on ESS Contact Form % = (N ineligible cases/gross sample) * 100</td>
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<td>Response rate</td>
<td>N = Number of completed interviews achieved i.e. case coded as: 1 = complete interview at Q5 on ESS Contact Form % = (N interviews achieved/(gross sample-ineligible)) * 100</td>
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<td>Non-contact rate</td>
<td>N= Number of cases where no contact achieved i.e. case coded as: 6 = No contact at all at Q5 on ESS Contact Form</td>
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<td>% = (N of cases with no contact/(Gross</td>
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<td>sample- ineligible))*100</td>
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<td>Cooperation rate</td>
<td>N = Number of interviews achieved</td>
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<td>1, 2 = complete or partial interview at Q5</td>
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<td>% = (N of interviews achieved/(N interviews</td>
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<td>achieved + refusals))*100</td>
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<td>N of interviewers active in selected week</td>
<td>N= Number of different interviewers making</td>
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<td>% = (N of active interviewers/All</td>
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Breakdown

It is possible to see the status of cases broken down by the following sub-groups:
- Batch
- Region
- Age group *(if relevant)*
- Gender *(if relevant)*
- Case status
- Interviewer

The following figures are provided for each sub-group:

<table>
<thead>
<tr>
<th>Column</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cases uploaded to Sample CTRL/FMS upload portal</td>
<td>Number of unique sample records currently uploaded to Sample CTRL</td>
</tr>
<tr>
<td>Contact attempted</td>
<td>Number of cases with at least 1 contact attempt (in any mode) since the start of fieldwork</td>
</tr>
<tr>
<td>Interview</td>
<td>Number of interviews achieved i.e. case coded as: 1, 2 = complete or partial interview at Q5 on ESS Contact Form</td>
</tr>
<tr>
<td><strong>Column</strong></td>
<td><strong>Definition</strong></td>
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</tr>
<tr>
<td>Appointment</td>
<td>Number of cases coded as 1 = Appointment at Q6 on ESS Contact Form</td>
</tr>
<tr>
<td>Non-Contact</td>
<td>Number of cases where no contact achieved i.e. case coded as: 6 = No contact at all at Q5 on ESS Contact Form</td>
</tr>
<tr>
<td>Refusal</td>
<td>Number of cases coded as 2, 3, 4 at Q6 on ESS Contact Form</td>
</tr>
<tr>
<td>Ineligible</td>
<td>Number of cases coded as ineligible at last contact attempt i.e. case coded as: 7 = Invalid at Q5 on ESS Contact Form OR 8, 9, 10 at Q6 on ESS Contact Form</td>
</tr>
<tr>
<td>Other</td>
<td>Number of cases coded as: 5, 6, 7, 11, 12, 13 at Q6 on ESS Contact Form</td>
</tr>
</tbody>
</table>

**Charts**

The figures shown in the charts are derived as follows and show the cumulative result for each week in the field.

<table>
<thead>
<tr>
<th><strong>Chart</strong></th>
<th><strong>Definition</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Cumulative) number of interviews</td>
<td>N = Number of interviews achieved i.e. case coded as: 1, 2 = complete or partial interview at Q5 on ESS Contact Form</td>
</tr>
</tbody>
</table>
|                                    | Figures are given for:  
|                                    | • Achieved in current round  
|                                    | • Projection for current round  
|                                    | • Achieved in previous round (if available)                                                                                                                                                              |
| Response rate                     | (Number of completed interviews achieved/(gross sample-ineligible cases)) * 100                                                                                                                              |
| Cooperation rate                  | (Number of complete + partial interviews achieved/(N interviews achieved + refusals))*100                                                                                                                     |
| Percentage of cases receiving at least 1 contact attempt since the start of fieldwork | (Number of cases receiving at least 1 contact attempt/gross sample)*100                                                                                                                                     |