PISA-D Strand C Interviewer Procedures Manual

Produced by Westat

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CHAPTER 1 – INTRODUCTION AND OVERVIEW

As an interviewer for the Strand C of the Programme for the International Student Assessment for Development (PISA-D), it is important that you have a thorough understanding of this survey's purpose and design. This section of the manual provides background information that will help you understand how your responsibilities relate to the survey's design.

1.1 What is PISA-D Strand C?

Since its launch in 1997, The Programme for the International Student Assessment (PISA) has become a leading reference on the quality of education systems worldwide. Every three years, PISA assesses the knowledge and competencies of 15-year-olds in three subjects: reading, mathematics and science. To date, about 70 countries have taken part in PISA, comparing results and learning from one another in PISA's collaborative global network.

Responding to member countries' demands for regular and reliable data on the knowledge and skills of their students and the performance of their education systems, the OECD began work on PISA in the mid-1990s. PISA was officially launched in 1997, with the first survey taking place in 2000; thereafter the surveys were conducted every three years. Future surveys are planned for 2018 and beyond.

The Programme for the International Student Assessment for Development (PISA-D) aims to increase developing countries' use of PISA-D assessments for monitoring students' progress. PISA-D has two components: Strand A/B and Strand C. Strand A/B assesses 14-16 year old students in schools (Grade 7 and above). Strand C aims to measure reading and mathematics skills in 14-16 year olds who are out of school OR in school and below grade 7.

PISA-D Strand C is a collaboration between the governments of participating countries, an international consortium of organisations and the Organisation for Economic Co-operation and Development (OECD). In [COUNTRY], PISA-D Strand C is being conducted by [NATIONAL CENTRE NAME].

For more details about PISA-D, refer to the OECD website at [http://www.oecd.org/pisa/aboutpisa/pisafordevelopment.htm.](http://www.oecd.org/pisa/aboutpisa/pisafordevelopment.htm)

1.2 What Does PISA-D Strand C Measure?

PISA-D Strand C assesses the knowledge and competencies of 14-16 year-olds in reading and mathematics. It examines not only how well 14-16 year olds reproduce knowledge, but also whether they can apply knowledge in diverse practical settings. It also measures their strategies for and attitudes towards learning.

1.3 How Will PISA-D Strand C Findings be Used?

PISA-D is a powerful tool for policy making. By participating, countries receive a comprehensive assessment of the quality and equity of their education systems. This helps them to benchmark their progress over time, set national goals and measure progress towards those goals, and chart paths to better their education systems. Countries also see where they stand in comparison to their regional and global peers – an opportunity for mutual learning and inspiration.

An important element of the value of PISA-D Strand C is its international nature. The Strand C Youth Interview and Exercise are designed so that they can be used across the many different cultures, nationalities, and languages of participating countries. All Strand C countries must follow common standards and procedures when conducting the survey. This will allow PISA-D Strand C findings to be compared between the participating countries.

1.4 Study Timetable

The Field Trial for PISA-D Strand C will be conducted in early 2017 and the Main Survey is scheduled to be conducted in 2018.

1.5 Organisations Conducting the [COUNTRY NAME] PISA-D Strand C

[DESCRIBE THE MAJOR ORGANISATIONS COLLABORATING ON PISA-D IN YOUR COUNTRY AND THEIR ROLES/FUNCTIONS.]

1.6 Field Trial Objectives

The objectives of the Strand C field trial are to:

- Determine the appropriateness of the Youth Interview and assessment items to be included in the Main Survey; and
- Determine the effectiveness of sampling, training, and survey operations procedures and materials for the Main Survey.

1.7 Field Organisation for the Field Trial

There are two levels of field organisation for the PISA-D Strand C survey— National Centre staff and field staff.

- **National Centre staff –** Project staff from the National Centre/survey institute are responsible for overseeing the fieldwork.
- **Field staff –** The field staff consists of [BRIEFLY DESCRIBE COUNTRY FIELD MANAGEMENT STRUCTURE].

Fieldwork activities will be coordinated by National Centre staff, who will work closely with the field supervisors to meet the production goals for the Field Trial and ensure high standards of quality control. During the Field Trial, you will be primarily responsible for locating respondents and administering the survey instruments following the specified study procedures.

1.8 Sample Design for the PISA-D Strand C Field Trial

The sample design for the Strand C Field Trial includes 14-16 year olds who are out of school OR in school and below grade 7. During the Field Trial, certain aspects of the sample selection procedures for the Main Survey will be tested, such as within-household selection of persons and the recruitment of eligible youth through referrals. [DESCRIBE SELECTION PROCEDURE BRIEFLY].

Most countries will interview and assess 1,200 individuals for the Field Trial. In this country, we will be interviewing [NUMBER] individuals. Assessing the required number of respondents and following standardised field procedures will be critical to the success of the Field Trial.

1.9 Training/Data Collection Schedule

The schedule for the Strand C **Field Trial** is as follows:

Activity	Date
Interviewer training	December 2016 - January 2017
Begin interviews	January 2017
Complete data collection	May 2017

1.10 Strand C Main Survey

The target population will be the same as for the Field Trial (see Section 1.8). However, the sample size will be larger, with most countries assessing 2,700 youth age 14-16 who are out of school as well as those in school below grade 7. Data collection for the Main Survey will take place in 2018. The survey instruments used in the Main Survey will be revised versions of the ones used during the Field Trial, and the overall survey procedures will be similar.

1.11 Field Trial Components

The Strand C survey includes a Screener, Youth Interview (YI), a self-administered Exercise and an Interviewer Observations component. An additional questionnaire will be provided to the household, to be completed by the person most knowledgeable about the sampled or referred youth (PMK questionnaire). You will use a tablet to administer each of the survey components except the PMK questionnaire. Respondents will spend approximately 90 minutes participating in the Strand C survey. In addition, you will record a few observations related to the dwelling unit (DU) characteristics, the interview and Exercise setting, and your interaction with the respondent during the Exercise; together, these questions make up the Interviewer Observations component of the survey.

A brief description of each of the survey components follows.

- **The Screener** is the instrument that collects the information required to determine the eligibility of the household members to participate in the study and to sample one or more respondents to complete the YI and the Exercise. The Screener is available in [LIST COUNTRY LANGUAGE(S)].

- **The Youth Interview** is an interview you will administer to sampled or referred youth using the tablet. The interview takes approximately 35 minutes and includes questions about education, school experiences, employment, language background, and parent information. The Youth Interview is available in [LIST COUNTRY LANGUAGE(S)].
- **The Exercise** component of the survey assesses mathematics and reading. The Exercise will include a combination of tasks from both these areas. The Exercise is available only in [LIST COUNTRY'S LANGUAGE(S)]. This set of questions is self-administered and takes about 50 minutes to complete. You will need to monitor the administration of the Exercise.
- The **Interviewer Observations component** is a two-part question series. You will record answers to 7 questions about the external dwelling unit characteristics of each household before you make contact with the household. After the Youth interview and Exercise have been completed and you have left the respondent's home, you will answer 4 questions related to the setting of the interview and administration of the Exercise.
- The **PMK Questionnaire** is to be completed by the parent or guardian (Person Most Knowledgeable) of the sampled or referred youth. This is a paper questionnaire that collects information related to the education and occupation of the parent or guardian as well as the childhood, education and school experiences of the sampled or referred youth.

More details will be provided about each of these survey components and the interview in the chapters that follow.

1.12 Overview of Your Responsibilities

During in-person training, you will become familiar with the procedures and specifications to follow while contacting and interviewing respondents. An overview of your responsibilities as a PISA–D Strand C interviewer is summarised below.

1. **Become familiar with materials and procedures.** Through home study and attendance at the in-person training session, you will become thoroughly familiar with the survey.
2. **Maintain and organise materials.** Check all survey materials as you receive them. Organise these materials as you prepare for each interview. Be prepared to discuss your supply of materials with your supervisor weekly.
3. **Locate address and respondent.** Using maps and/or other materials provided, you will locate the address of the sampled household or referred youth.
4. **Dwelling Unit (DU) Observation:** Answer the questions on the external DU characteristics listed on the inside cover of the Household/Referral Case Folder.
5. **Administer Screener.** At each sampled household, you will introduce the survey and conduct a screening interview with a household member at least 18 years old to determine if the household has eligible members. (Youth are eligible to participate in Strand C if they are age 14-16 and out of school OR age 14-16, and in school below grade 7). <COUNTRY DECISION: If no household member is 18 years old or older, it is acceptable to conduct the Screener with a household member aged 14 years or older.>

6. **Contact sampled or referred youth to conduct interview.** You will do what is necessary to contact the youth selected to participate.
7. **Administer Youth Interview.** Administer the YI to the respondent using the tablet.
8. **Administer the Exercise.** Set up the tablet so that the respondent can work independently on the Exercise. Monitor the respondent's progress through the Exercise.
9. [FOR COUNTRIES PROVIDING INCENTIVES] **Give incentive to respondent.** At the completion of the Exercise, you will give the respondent the incentive and obtain a signed receipt if needed.
10. **Collect the PMK questionnaire.** Provide this questionnaire to the person most knowledgeable about the sampled or referred youth (typically the parent or guardian). Before you leave the respondent's home, collect the completed questionnaire – if you are asked to provide assistance with completing this questionnaire, you may do so.
11. **Complete the Interviewer Observations.** Answer this series of questions as soon as possible after completing an interview, but only after you have left the respondent's home. This will ensure that you remember details about the interview setting and administration of the Exercise that you need to record. At this time, you will also transfer the information about the DU characteristics, previously recorded on the Case Folder, into the tablet.
12. **Complete Non-Interview Report Form for nonrespondents.** For any survey component that has not been completed (Screener, YI, or Exercise), you will document reasons for non-completion using this form.
13. **Document progress/data collection.** You will record the results of your visits/contact attempts on the Record of Contacts, located on the back of the Case Folder.
14. **Transmit data.** You will synchronize your tablet to the National Centre/Survey Institute to receive any updates as well as electronically transmit data on all cases on a regular basis.
15. **Submit work to** National Centre/Survey Institute**.** You will submit all completed cases and the related documents to the National Centre/Survey Institute on an agreed upon schedule using a secure method.
16. **Report to supervisor.** You will report to your supervisor on a regular basis.
17. **Check project email (if applicable).** At least once per day, you should read and answer project email. [COUNTRIES PLEASE INCLUDE DETAILS]

1.13 Ethics of Survey Research

All countries, organisations, and individuals working on PISA-D Strand C must adhere to recognised ethical research practices. At the core of ethics in data collection is the understanding that researchers have responsibilities to study participants, to the public, to their clients, and to you, the interviewer.

1. Researchers have a **responsibility to study participants** to inform them about the basic elements of participation, to maintain data confidentiality, and to avoid using practices or methods that may harm, humiliate, or seriously mislead participants. Participants must agree or consent to take part in the study prior to participating, and their agreement or consent to participate must be informed. "Informed participants" are those knowledgeable about the basic elements of study participation including:

- Sponsor, purpose, and duration of research;

- Explanation of how the respondent was selected for the study;
- Interview procedures to be followed by the respondent;
- Voluntary nature of participation;
- Expected risks and benefits;
- Maintenance of confidentiality;
- Right to withdraw from the study at any time without penalty; and
- Contact information for study-related questions and concerns.

2. Researchers have a **responsibility to the public** to ensure that survey findings released or published are an accurate portrayal of survey data. This includes conducting mandatory checks on the accuracy of the information collected.

3. Researchers have a **responsibility to clients** to conduct work as agreed upon in their contracts and to maintain confidentiality on all proprietary information.

4. Researchers have a **responsibility to you, the interviewers**. Researchers cannot ask you to engage in any activity during the performance of your job as an interviewer that does not follow the general principles specified above with regard to the public, the study sponsor (client), and study participants.

1.14 Confidentiality

The ability to maintain confidentiality is one of the main reasons why survey organisations have been successful in collecting information. Survey participants must be assured that information provided in confidence will not be used outside of the stated purposes of the study and that they cannot be uniquely identified through any study information distributed for public and/or private use. It is your duty to keep the promise of confidentiality. <u>Never</u> divulge names, share facts about, or reveal the opinions of anyone you interview.

You and all other staff working on this study must sign a PISA-D Confidentiality Agreement (Exhibit 1-1). This pledge states that you agree not to disclose information that you have obtained while working on the project, and that you agree to abide by this assurance of confidentiality.

As a member of your country's PISA-D Strand C survey team, you may also be asked to sign other country-specific confidentiality forms.

Your pledge of confidentiality applies whether the information you are given is in direct response to a questionnaire item or is volunteered in the form of comments or conversation during the interview. Confidentiality also extends to information acquired through observation during the interview, such as the condition of the respondent's home or interactions between family members. Information collected or observed during an interview can be shared only with the research team whose members are under the same ethical or moral obligation to the people interviewed.

You should not conduct an interview with someone you know or whose family you know. Anyone who has a personal connection of any sort to you may be more reluctant to participate or may give you inaccurate or incomplete information if they agree to participate. Therefore, if you find that your assignment includes anyone with whom you have a personal connection, you should notify your supervisor.

Exhibit 1-1. PISA-D Confidentiality Agreement

[COUNTRIES PLEASE INSERT]

Another measure to ensure confidentiality is to protect study data from unauthorised access. During every step of data collection, from study design to data release, data must be protected. Your role in protecting the data is to keep your tablet secure at all times, to store hardcopy records and materials with identifying information in a secure place, and to keep your tablet user ID and password confidential. Your tablet and other study materials should never be left in unlocked cars or anywhere that others (including family members or friends) might see them. **You are on the front line of the data collection process; data confidentiality and security begins with you.**

By strictly adhering to these procedures, you will help ensure that the data is collected in compliance with PISA-D standards and your country's laws and regulations.

1.15 Purpose of the Manual

The purpose of this manual is to provide you with project information that will help you in your work as a field interviewer. The manual covers all aspects of the PISA-D Strand C Field Trial including study-specific protocol and procedures, detailed information on content and use of the Strand C instruments, and Strand C field procedures. Please note that all countries participating in PISA-D Strand C will be following these standardised procedures.

CHAPTER 2 – PREPARING FOR THE FIELD

This chapter provides you with a description of all the materials you will be using in your job as an interviewer. It also provides you with a checklist of materials you should have with you when you go into the field to complete your assigned cases.

2.1 Overview of Your Materials

At the beginning of the study you will receive all the materials you need to begin working. These include:

1. Assignment-specific materials;
2. Outreach materials;
3. Materials used during the interview; and
4. Bulk supplies.

The sections below briefly describe these materials. Other chapters in this manual will discuss these items in more detail.

2.1.1 Assignment-Specific Materials

Assignment specific materials include items used to contact respondents and items used in the interview.

A brief description of the materials used to contact households or respondents follows.

- **Case Folder.** This folder contains study information you will need to conduct the interview with a selected respondent (see Chapter 3). It is also used to hold and organise paper forms associated with the household or respondent.
- **Introductory letter and informational leaflets or flyers.** The introductory letter introduces the survey and requests the participation of the respondent or household. The leaflet or flyer provides a more detailed description of the study and information to encourage respondent participation. You should carry a supply of introductory letters and leaflets/ flyers with you in the field. These materials are available in [COUNTRY LANGUAGE(S)].
- **Endorsement letter.** [IF APPLICABLE] This letter is used to legitimise the study to the respondent by showing that important organisations (or individuals) are supporting this study.
- **Community Authority Letter.** This letter is used to legitimise the study or your work as a PISA-D interviewer for local authorities or gatekeepers in the areas where you will be working. It describes the study in a brief and general way and is signed by [INSERT NAME OF NPM OR OFFICIAL AT COUNTRY SPONSORING AGENCY].
- **Study identification badge.** You will receive a study photo identification badge that you must wear when working in the field.

- **Maps.** [COUNTRY SHOULD SPECIFY WHETHER THESE ARE PROVIDED AND IF THEY ARE CASE-SPECIFIC OR GENERIC.]

A brief description of the materials and supplies used during the interview follows.

- **Tablet and accessories.** All the instruments required to conduct the interview are loaded on the tablet. You will also use the tablet for transmitting data. You will receive this tablet at interviewer training.
- **Show Cards.** You will receive two sets of Show Cards to assist the respondent in selecting appropriate responses during the Youth Interview. Both sets are identical and include cards in [COUNTRY LANGUAGE(S)]; an extra set is provided as a spare.
  [FOR COUNTRIES WITH INCENTIVES] **Incentive items.** You will receive [INSERT NUMBER] incentive items to provide to respondents who participate in the study.
- **Person Most Knowledgeable (PMK) Questionnaire.** These paper questionnaires will be completed by the parent or guardian of the sampled/referred youth.
- **Non-Interview Report Form (NIRF).** This form will be used to document contact attempts that do not result in a completed Screener, YI, and/or Exercise.
- **Audio recorder, batteries, [and cassette tapes, if applicable].** You will use these items to record two pre-designated interviews (interview#3 and #10).
- **Note paper and pencils.** You will give each respondent a few blank pages of note paper to do calculations or annotations while completing the Exercise.

Exhibit 2-1 shows a list of the items that are needed for your fieldwork.

2.1.2 Bulk Supply Materials

In addition to the assignment-specific items, you will also receive bulk supplies. You will be provided with a sufficient supply of most items for the entire field period.

You will need to keep track of these materials and, when necessary, request additional supplies from your supervisor during your weekly conference call or in person meeting.

When you receive supplies, always check the contents against the Packing List shown in Exhibit 2-2. If you are missing items or have a shortage, contact your supervisor.

Exhibit 2-1. Checklist of Materials to Bring to the Field

Checklist of Materials to Bring to the Field

- ❑ Study Identification Badge
- ❑ Introductory Letters (Spares)
- ❑ Informational leaflets/flyers
- ❑ [IF APPLICABLE] Endorsement Letters
- ❑ Maps for assignment areas where you will be working
- ❑ Community Authority Letters
- ❑ Household Case Folders for assigned cases
- ❑ Blank Referral Case Folders
- ❑ PMK Questionnaires
- ❑ Non-Interview Report Form (NIRF)
- ❑ Tablet and accessories
- ❑ USB flash drive
- ❑ 2 sets of Show Card booklets
- ❑ Note pads
- ❑ A supply of sharpened pencils
- ❑ Audio Recorder
- ❑ [IF APPLICABLE] Blank Cassette Tapes
- ❑ Batteries for Audio Recorder
- ❑ [FOR COUNTRIES WITH INCENTIVES] Incentive items
- ❑ Interviewer Procedures Manual
- ❑ Maps for your assignment area

Exhibit 2-2. Packing List

PACKING LIST

Name of Item	**Total**
Introductory Letters	30
Informational leaflets/flyers	30
Community Authority Letters	20
[FOR COUNTRIES WITH ENDORSEMENT LETTERS] Endorsement Letters	5
[FOR COUNTRIES WITH INCENTIVES] Incentive items	30
Non-Interview Report Forms	20
PMK questionnaires	20
Show Cards	2
Pencils	20
Note pads	3
Audio Recorder	1
[IF APPLICABLE] Blank Cassette Tapes	3
Batteries for Audio Recorder	4
[ADD OTHER COUNTRY-SPECIFIC SUPPLIES BELOW]	

2.2 Organising Your Fieldwork

It is important that you plan your work in a way that allows you to spend large blocks of time in the field. The most efficient method is to plan your work so that contacting and interviewing time is maximised and travel time is kept to a minimum.

A good approach is to mark the location of each sampled household or respondent (if location known) in the area on a local map. Plan a travel route that enables you to visit the most households or respondents with the least amount of travel. As you do this, keep in mind any appointments you have made. If you have appointments, organise your cases so that you can contact as many households or respondents as possible between appointments.

2.3 Checklist of Materials to Bring to the Field

Each day before you go into the field you should check your supplies. If you don't, you could waste valuable time returning to your residence. Worse yet, you may discover that you are missing survey materials while you are in the respondent's home. Exhibit 2-1 is a list of the materials you should always bring with you to the field. [COUNTRIES WILL NEED TO EDIT THE LIST TO MEET THEIR NEEDS].

If travelling by car, all items containing respondent data should be locked in the trunk of the car or kept out of sight. Always make sure your car is locked when you leave the vehicle to conduct fieldwork. All survey materials must be secured at all times. You will be held accountable for your study materials, including the tablet and accessories, Case Folders and completed questionnaires.

CHAPTER 3 – CASE FOLDER

A Case Folder will be available for every case in your assignment. This folder contains study information you will need to conduct the interview with a sampled household and the eligible youth. There are two types of Case Folders that you will use in your fieldwork.

- A Household Case Folder for sampled households
- A Referral Case Folder for youth who have been referred for participation

In general, both types of Case Folders will contain the same information.

The Case Folder has the following sections:

- Assignment Label with Case ID and Address;
- Study Introduction;
- Language spoken (in the household) and Interpreter information;
- Sampled Youth information;
- PMK questionnaire information;
- Referral Information;
- Observation Questions – External Dwelling Unit Characteristics;
- Record of Contacts; and
- Disposition Codes.

This chapter details each of these sections and describes the procedures and specifications you should follow while completing each section.

3.1 Case Folder Front Cover

The front cover of the Case Folder (Exhibit 3-1) includes the following:

- **Assignment Label.** Each Case Folder you receive will have an assignment label on the front cover. This label has the following information:
  Address. This is the address of the sampled household or the address of the youth who has been referred as a participant. If an address correction is to be made to this label, please indicate this by checking the Address Correction Box.
  Household Case Folders for sampled households will be pre-labelled with the Address and Case ID.
  Referral Case Folders will be updated with referral information; you will add the address of the referred youth and the unique Case ID generated for the referral case by the tablet.
  Case Identification (Case ID). A unique nine-digit case ID is assigned to the sampled households as well as the referred youth cases. The case ID structure is described in detail in Section 3.4.
- **Introduction.** The study introduction is printed on the Case Folder for convenient access when you make initial contact at the door.

Exhibit 3-1. Case Folder Front Cover

The study introduction varies slightly depending on whether you are contacting a sampled household or referred youth. Be sure to use the appropriate Case Folder.

- **Language and Interpreter information box.** Record information about the language(s) spoken in the household and by the sampled/referred youth. If an interpreter is used for the administration of the Screener or the Youth Interview, you should record the details of the interpreter's contact information here.
- **Sampled/Referred youth information.** After the Screener is administered, if eligible youth have been identified, use the Household Case Folder to record their name(s) and telephone number as well as their student enrolment status (out of school OR in school below Grade 7). In cases where a referral has been obtained, use a blank Referral Case Folder to record information about the referred youth (name, telephone number, student enrolment status – out of school OR in school – below Grade 7) in the Referred Youth information section of the Referral Case Folder.
- **PMK Questionnaire.** Record details related to the PMK questionnaire, including the name of the person completing the questionnaire and whether you provided them with assistance. Check the appropriate box if you were able to collect the completed questionnaire.

3.2 Inside Front Cover

The inside front cover of the Case Folder (Exhibit 3-2) has two sections that you must complete:

- **Contact Information for Referrals.** Record information for up to two referrals from each sampled household, including their names, address, telephone number and student enrollment status (out of school OR in school – below Grade 7). In this section, you will need to indicate when you receive authorization from the <National Centre/Survey Institute> to work on a referral case. For households that you visit on the basis of referrals, you will not need to collect any further referral information. In fact, the Referral Case Folder does not have this section available.
- **Observation Questions – External DU characteristics.** You will need to answer the seven questions listed in the folder on the external dwelling unit characteristics. Record your observations to these questions prior to approaching the dwelling unit and making contact with the household. Once the survey has been completed and you have left the DU, you will transfer the information about the DU characteristics into the tablet.

3.3 Back Cover and Inside Back Cover

- The back cover of the Case Folder (Exhibit 3-3) will allow you to record your contact attempts with the household or respondent. Record the contact attempt number, your interviewer ID, date, day of week, and time of day for each attempted contact with a household or respondent using the fields provided. You will also need to record the type of contact and document the result of the contact attempt for each of the interview components. There is a field provided where you can comment and record any additional relevant details of the results of the contact attempt. Additional space to record contacts is provided on the inside of the back cover (Exhibit 3-4); this should only be used when the back cover has been completely filled.

Exhibit 3-2. Case Folder Inside Front Cover

Exhibit 3-3. Case Folder Back Cover

Exhibit 3-4. Case Folder Inside Back Cover

- **Disposition Codes.** These are the codes to be used on the Record of Contacts section to document the outcome of each contact attempt for the various components of the interview (Screener, YI, and Exercise). The disposition codes are described in detail in Chapter 8.

3.4 Case ID

Every case will have a unique case ID consisting of up to nine digits. You must add the case ID to every document that is associated with a case. This includes, for example, the Person Most Knowledgeable about the youth (PMK) questionnaire, Non-Interview Report Form (NIRF), Referral Case Folder, etc.

The 9-digit Case ID for cases in the probability sample is structured as follows:

- the first three digits correspond to the Primary Sampling Unit (PSU) ID. The PSU is a geographical area.
- the next three digits correspond to the DU (Dwelling Unit) ID
- the last three digits correspond to the Person ID

For cases generated from referrals obtained from sampled households, the Case ID structure is slightly different:

- the first three digits correspond to the PSU ID
- the next three digits correspond to the unique Tablet ID from which the case has been generated
- the last three digits correspond to the Person ID.

[COUNTRIES DESCRIBE CASE ID STRUCTURE FOR YOUR COUNTRY IF USING SCHOOL REFERRALS.]

CHAPTER 4 – LOCATING DWELLING UNITS

In this chapter, countries should document the procedures to be used by interviewers to (a) locate households in the sample and (b) locate referred youth. Countries will later develop training materials for the in-person interviewer training based on the content of this chapter.

An outline of suggested topics to include in this chapter is listed below.

- Overview of Listing Addresses for Sample Selection
- Definition of a Dwelling or Housing Unit
- Examples of Dwelling or Housing Units
- Examples of Structures That Are Not Dwelling or Housing Units
- Description of Materials
  - Maps
  - Forms
- Locating the Dwelling or Housing Unit (sampled household or referred youth)
- Problems You Might Encounter While Attempting to Locate Dwelling or Housing Unit (sampled household or referred youth)

CHAPTER 5 – ENROLLING SAMPLED RESPONDENTS

There are two ways of enrolling a respondent for the Youth Interview and Exercise: (1) use a screener to enumerate and select eligible Strand C respondents from sampled households and (2) use referrals obtained from sampled households to select and enrol eligible respondents.

5.1 Overview

A large proportion of the interviews completed in your country will come from sampled dwelling units. You will receive a Case Folder for each of the dwelling units in your assignment, and a list of the cases will appear on your tablet. You will use the street address of the dwelling unit as it appears on the front of the Household Case Folder to locate the dwelling unit. If the dwelling unit has no street address, use the <listing map and the listing sheets> to determine location.

At each sampled household in your assignment, you will conduct a brief screening interview using the tablet to identify eligible youth to participate in the study. As we are interested in 14-16 year olds that are out of school OR in school and below grade 7, you may be screening a large number of households where no one is eligible to participate. However, you might also screen households where more than one youth are eligible to participate if they meet the selection criteria. This chapter details the screening procedures you will use.

5.2 Screener Overview

The Screener instrument collects the information required to determine eligibility of the household members to participate in the study. In addition, you will collect demographic and contact information for any youth who are selected to participate.

- The instrument instructs you to:

    1. List the first name of all persons living in the DU or visitors who stayed there the night before;
    2. Identify the head of the household;
    3. Record each person's gender;
    4. Record each person's age;
    5. Record birth date and school enrollment status for each household member who is 14-16 years old.
    6. If no one is sampled in the household, ask the Screener respondent for referrals of up to two 14-16 year olds in the neighbourhood that are out of school OR in school and below Grade 7.

- The screening instrument will apply the selection criteria and identify the name (s) of the eligible youth who can participate in the survey and complete the Youth Interview (YI) and the Exercise.

5.3 Rules for Enumerating Household Members

5.3.1 Persons Who Qualify as Household Members

The following individuals should be listed in the household roster:

- Persons who usually live in the sampled household and who are:
  - Living at home at the time of your contact; or
  - Temporarily absent at the time of your contact (e.g., on vacation, business, or a short term hospitalization).
- Students who temporarily live away from the sampled household in dormitories while attending school, who are scheduled to return to the household at the end of the term, and who use the sampled household as their permanent address.
- Domestic or other employees who usually live (and sleep) at the selected address.
- Boarders or roomers who usually live (and sleep) in the quarters.
- Persons temporarily visiting with the household who spent the previous night (prior to the screening interview) sleeping at the dwelling unit, even if they usually sleep somewhere else.

5.3.2 Persons Who Do Not Qualify as Household Members

The following individuals should **not** be counted as household members:

- <u>Former</u> household members who are currently in a correctional institution, or who now reside in nursing homes, convents, etc. or persons working abroad.
- Persons who take their meals with the household but usually lodge or sleep elsewhere.
- Domestic employees or other persons employed in the household who may live in an adjacent, but separate household.

5.4 Screener Introduction

As mentioned in Chapter 3, the front cover of the Case Folder contains information you will need to begin work on each sampled household in your assignment:

- A label showing the address or location at which you are to conduct the Screener,
- An address verification question, to make sure you are at the correct address,
- The introduction you will use when speaking to an eligible Screener respondent. Be sure to show your ID badge and have a copy of the introductory letter to hand to the Screener respondent.

An eligible Screener respondent is a household member who is 18 years old or older. Do <u>not</u> conduct the Screener with a household member who is less than 18 years old. Do not record information about household members in the enumeration grid based on information collected from a neighbour or other non-household member.

Make sure that your tablet's battery is fully charged every time you head out into the field so you have enough battery power to complete several Screeners without needing to recharge the tablet.

5.4.1 Accessing a Case

Once you have turned on your tablet and logged on, you can access the Case Management System (CMS). This system allows you to search the cases that have been assigned to you and select the appropriate one for interviewing.

After completing the Screener, proceed with the Youth Interview and the Exercise if the sampled youth is available. If you are unable to continue with the interview, determine the best time to return and record this information in the Record of Contacts section of the Case Folder and on the Contacts section of the CMS.

5.5 Hidden DUs

Before the area sample was selected, listers recorded address information for every dwelling unit (DU) in each of the enumeration areas. However, it is possible that some DUs were missed during the listing procedure. This can happen for a variety of reasons as explained below:

- What appeared upon observation to be one DU is entirely different when you get inside the structure, e.g. a single-family home that has been subdivided into two or more apartments;
- The DU is difficult to find or is "hidden" within the listed structure; or
- The lister made an error.

Since it is important that every household has a chance of being selected, it is necessary to include every DU in the sample. Therefore, the Screener instructs you to ask the Screener respondent if there are any DUs attached to theirs that may have been missed. Information about Hidden DU collected during the Field Trial will be used in the design of the Main Survey.

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The Hidden DU question has been included in the Screener instrument so that you can collect this information at every household.

Question: We want to be sure that every household in this area has been given a chance to participate in this important survey. Are there any other living quarters attached to yours that we may have missed?

If the Screener respondent answers "yes" or "don't know" then the Hidden DU procedure must be completed. If the Screener respondent answers "no" then there is no need to complete the Hidden DU procedure. The Screener instrument will guide you through these questions and based on the answer you record, will provide the necessary follow up questions which are listed below.

DO THE DUS THAT ARE MENTIONED APPEAR ON THE LISTING SHEET?

YES [GO TO END]

NO

DO THE DUS MEET THE DEFINITION OF DU? (PERSONS LIVE/EAT SEPARATELY AND HAVE ENTRANCES(S) DIRECTLY FROM OUTSIDE OR THROUGH A COMMON HALL.

YES

NO [GO TO END]

PLEASE ENTER THE NUMBER OF DUS THAT HAVE BEEN MISSED __________

CHAPTER 6 – REFERRAL CASES

This chapter details the procedures for handling referral cases.

6.1 Overview

Referral cases will contribute significantly to the Strand C sample during the Field Trial and the Main Survey. You will collect information from respondents for referrals, that is, other youth in their neighborhood that are age 14-16 who are out of school OR in school and below grade 7.

You will also record the referral information on the Household Case Folder. You will then report the newly found referral case to the <National Centre/Survey Institute> to get authorization to contact the referred youth. Once you locate the referred youth, you will administer the Youth Interview and the Exercise.

6.2 Referral Cases

Youth eligible for referral include youth age 14-16 who are out of school and/or in school below grade 7. You will ask for referrals at one of three points in the interview as prompted by the system:

- For youth who completed the interview- at the end of the Exercise
- For youth who are found ineligible during the Youth Interview.
- In households with no eligible youth- at the end of the Screener.

Each household in the sample will be asked for up to two referrals. Screener respondents and sampled youth will be asked to provide referrals. If you get only one referral from the first youth you interview, you will ask the second youth as well. You will not ask the Screener respondent for referrals if the sampled youth do not provide any referral information. You will also not ask referrals to referred youth.

When a respondent gives you a referral, you will record on the tablet information about the referral including the youth's name, address, city, jurisdiction and phone number. You will also record this information on the Household Case Folder Referral Information Box, indicating whether the referred youth is out of school OR in school and below grade 7, and whether you have been authorized by the National Center to work the referral case.

For each referral, you will be required to enter on the tablet the youth's name, address (or directions) and city at a minimum. Please enter as much information as you can gather from the respondent so it's easier to locate the referred youth.

6.2.1 Preparing to Contact the Referral

Once you have obtained names, addresses and telephone numbers of referrals, you will follow the steps below:

- The CMS will create a new case for each referral you entered. The CMS will assign each referral a Case ID number and will activate all survey components for the referral case: the YI, Exercise, Interview Observations and the Household Observation questions related to the external DU characteristics. When created, each referral case will have a status of **Temp**. The Temp status indicates that the case is in temporary status until the <National Centre/Survey Institute> authorizes you to work the case. There will be a button labeled “Activate” that you will tap to access the case once you get authorization.

- From your stack of blank Referral Case Folders, you will prepare a Referral Case Folder for each referred youth. You will write in the case ID number generated by the CMS, and the name and address of the referred youth. Mark whether the youth is out of school OR in school and below grade 7.

- Use the referral information to locate where the referred youth lives. You will complete the Interviewer Observation questions for the dwelling unit before making contact.

6.2.2 Contacting the Referral

The introduction you will use when contacting a household where a referred youth resides is printed on the front of the Referral Case Folder. Be sure to show your ID badge and have a copy of the study materials for the person who answers the door. Be ready to explain that you need to speak with the referred youth, and to provide as much study information as requested by the youth’s parents or relatives about the reason for your visit.

Note that you will **not** complete a Screener for referral cases. If the referred youth is available at the time of your visit, proceed with the Youth Interview and the Exercise. Refer to Chapter 9 for steps in administering the Youth Interview and the Exercise. Make sure that your tablet’s battery is fully charged every time you head out into the field so you have enough battery power to complete all survey components (YI and Exercise) without plugging in the tablet.

If the youth is not available at the initial visit, determine the best time for you to return to the household to complete the interview. Write this information on the Record of Contacts on the back of the Case Folder.

CHAPTER 7 – GAINING COOPERATION

This chapter describes the techniques, strategies, and information that you need to make contact with respondents and address their concerns effectively. You will also find information on how to deal with language problems, contacting rules, and instructions for using disposition codes to document the outcome of each contact attempt.

7.1 Using the Introduction and the Advance Materials

How you present yourself at the door will usually determine how successful you will be at completing the interview. Since this initial contact is your first opportunity to describe the survey and convince respondents to participate, it is very important that you become familiar with the study introduction and deliver it in a positive and friendly manner.

The introduction you will use is displayed on the front cover of the Case Folder. Note that the introduction you will use when visiting addresses of referred youth will vary slightly from the standard introduction for sampled households. Make sure you always use the appropriate Case Folder (Sampled Household versus Referral) during your fieldwork.

The introduction for all sampled households is shown below:

INTRODUCTION:

> **Hello, my name is [NAME] and I am working on PISA-D, a study for [COUNTRY SPONSORING ORGANISATION] (SHOW ID CARD) about [COUNTRY]'S youth. Is this [ADDRESS VERIFICATION]?**

[MAKE CORRECTIONS TO ADDRESS LABEL IF NECESSARY. IF AT CORRECT ADDRESS, CONTINUE WITH INTRODUCTION. IF NOT AT CORRECT ADDRESS, THANK RESPONDENT AND LEAVE.]

Here is a letter explaining the study and the purpose for my visit. Before we begin, I want to assure you that all the information you give me will be kept confidential as required by law, and also that your answers will be combined with answers from other households to make totals and averages, in which no person or family will be identified.

I need to determine if any members of your household are eligible to participate. To do this I'll need to ask a few questions about the people who live here.

For all referral cases, you should use the following introduction shown below when making contact with these households:

INTRODUCTION:

> **Hello, my name is [NAME] and I am working on PISA-D, a study for [COUNTRY SPONSORING ORGANISATION]** [SHOW ID CARD] **about [COUNTRY]'S youth. Is this**

[ADDRESS VERIFICATION]? [MAKE CORRECTIONS TO ADDRESS LABEL IF NECESSARY. IF AT CORRECT ADDRESS, CONTINUE WITH INTRODUCTION. IF NOT AT CORRECT ADDRESS, THANK RESPONDENT AND LEAVE.]

Here is a letter explaining the study and the purpose for my visit. We are interviewing youth age 14-16 in your neighbourhood. Your household was identified as having a youth who could participate in this important study. [HAND COPY OF LETTER]
I want to assure you that all the information you give me will be kept confidential as required by law. All the answers provided will be combined with data from other households to make totals and averages, in which no person will be individually identified.
Does [YOUTH NAME] live here? Is [YOUTH NAME] available?

[PROCEED WITH YOUTH INTERVIEW IF REFERRED YOUTH IS AVAILABLE] Notice that the introduction clearly states who you are, what you are doing, and why you are there. Remember to have your study identification badge visible while reading the introduction.

Be prepared to give the respondent a copy of the introductory letter (Exhibit 7-1). The introductory letter will help to establish study legitimacy as well as reassure the respondent of your identity and the purpose for your visit. The letter is also a useful tool when talking to respondents about the importance of participation.

7.2 Frequently Asked Questions about PISA-D

Although the study introduction and introductory letter will serve to answer most of the questions from respondents, there will be times when you need to address questions about the survey before you start the interview. Listen to the respondent's questions and concerns, and answer by only providing the requested information needed to remove doubts about the survey. Do not volunteer extra information because this may be misunderstood or potentially confusing to the respondent.

It is extremely important that you become thoroughly familiar with the purpose and all of the procedures of this survey so that you can answer questions convincingly and accurately. Whenever possible, use the introductory materials to help make your points.

If you do not know the answer to a question, admit that you do not know. Attempt to continue with the interview, but offer to obtain the answer. You might also suggest that the respondent call the study telephone number for more information [IF AVAILABLE].

Exhibit 7-2 lists some of the questions frequently asked about this survey with suggested answers.=

Exhibit 7-1a/b. Introductory Letter

Exhibit 7-2. Answers to Frequently Asked Questions

WHAT IS THIS SURVEY ABOUT? — *The [GOVERNMENT ENTITY] is committed to increasing the education and skills of [COUNTRY's] youth. This will help provide a clear picture of the challenges we face for helping youth acquire the education and skills they need to succeed.*

WHOM DO YOU WORK FOR?—*I am a representative of* [INSERT SURVEY INSTITUTE OR COUNTRY AGENCY.] IF RESPONDENT STILL NOT CONVINCED: *If you would like, I can give you a study telephone number you can contact for more information.* [INSERT STUDY TELEPHONE NUMBER.]

HOW DID YOU SELECT ME?—*You were identified as a youth eligible to participate in this study. /Your household was identified as having a youth who could participate in this study*.

WHY DON'T YOU ASK SOMEONE ELSE?— *It is very important to get information from as many youth like you as possible – this will help us get a more reliable picture of the education and skills of [COUNTRY's] youth.*

HOW LONG WILL THIS TAKE?—*The interview will take about two hours.*

WHAT ARE YOU GOING TO ASK ME?—*The interview has a series of questions about education, employment, your experiences when you attend(ed) school, and then there are some exercises that you will complete on the tablet.*

DO I HAVE TO ANSWER THE QUESTIONS?—*Your participation is voluntary. However, since you have been chosen to represent many others like you, it is very important that you participate. You can refuse to answer any question at any time during the interview.*

HOW DO I KNOW THE INFORMATION IS CONFIDENTIAL?—*We are required by law not to reveal your answers to anyone other than persons directly involved in this study. Everyone working on the study has signed a confidentiality agreement pledging to keep all information provided by respondents confidential. Furthermore, no information that would permit the identification of an individual will be released or published. As soon as the survey is completed, all information that links data to respondents is removed.*

HOW WILL THE RESULTS BE USED?—*This survey will provide valuable information to educators, policy makers and educational researchers on the current skills and experiences of [COUNTRY'S] youth. This information, in turn, will be used to develop programmes to improve the skills of [COUNTRY]'s youth.*

7.3 Addressing Respondent Concerns

Gaining respondent co-operation is one of the most important functions of your job. Beginning with your first contact, be prepared to immediately and effectively answer questions about the study. Have a clear picture of the survey's objectives, know the survey materials thoroughly, and be ready to answer questions and concerns without hesitation. The diagram below illustrates the process for **effectively addressing respondent concerns**.

Prepare for respondent interaction by knowing all about PISA-D Strand C

⇩

Use active listening to keep the conversation going

⇩

Identify the most important concern

⇩

Select a response to the main concern

⇩

Quickly address the concern

⇩

Begin the interview or suggest a few possible appointment times when you can return to conduct the interview.

7.3.1 Know PISA-D Strand C

To address respondent concerns competently and confidently, become familiar with and learn all the aspects of the survey. Prepare yourself by doing the following:

- Become familiar with the Youth Interview (YI), Exercise, and other survey procedures. Some respondents may be interested in the survey content. Get to know the question topics and survey items so that you can provide the respondent with answers tailored to an appropriate level of detail. Some respondents may ask questions about survey procedures. Be ready to give accurate responses to questions about the average length of the interview, how data are handled, or if there is an incentive for participation.

- Learn the Answers to Frequently Asked Questions (Section 7.2). People have different concerns about survey requests including why the survey is conducted, confidentiality, and how the data will be used. The Strand C Frequently Asked Questions document (Exhibit 7.2) offers answers to these and other questions. Learning these is important for answering the respondent confidently and with authority.

- Visit the PISA-D website at www.oecd.org/pisafordevelopment. Become familiar with the information provided on the website(s). Knowing more about PISA-D Strand C will add credibility to your interaction with respondents.

Simply memorising and repeating the phrases from the survey materials to address respondent concerns will probably not work. To address concerns, practise your responses so you can tailor your answers effectively to each situation. Remember that if you do not know the answer to a question posed by the respondent, explain that you will obtain the answer and get back to the respondent.

7.3.2 Use Active Listening

Active listening is the key to understanding a respondent's concerns. To listen actively, you must pay close attention to the words, the tone, and the body language of the respondent as he or she raises concerns or asks questions about the survey. Active listening will give you the information you need to provide a response that directly addresses the respondent's questions or concerns without providing unnecessary information. You will be required to answer questions or address concerns raised by either an adult household respondent who answers the door or alleviate the concerns of a reluctant youth who is selected to participate.

One technique of active listening is to listen to the respondent's tone and respond accordingly. For example, if the respondent sounds impatient or hurried, make sure your request is brief and to the point. If it appears that you are making contact with the household at a time that is inconvenient, be flexible and offer to return at a more convenient time.

Another technique of active listening is to rephrase the respondent's statements in your own words so that the respondent knows you understand him or her. Using your own words to rephrase what the respondent said will help foster rapport and reassure the respondent that you can relate to his or her point of view.

Using active listening skills means that you should:

- Listen and avoid interrupting the respondent;
- Listen to everything the respondent says before diagnosing his or her primary concern;
- Listen as an ally;
- Avoid being defensive; and
- Look for body language that might help you understand how the respondent feels.

7.3.3 Identify and Respond to Respondent Concerns

Most respondents who ask questions will participate in the survey. Many who say that they are too busy just mean that they are too busy at the time. Some respondents who make negative statements about the study will eventually agree to participate. A respondent asking questions or explaining why they don't want to participate is usually willing to participate if you are ready to respond to their individual concerns. Remember, a respondent's concern, hesitation, or even reluctance can be a good sign!

Each respondent contact is an individual, one-on-one negotiation of time and effort. There is no single phrase guaranteed to convince every respondent to participate in a research survey.

There are ten common reasons why a respondent might be reluctant to participate:

- "Why me?";
- Concerns about the purpose of the survey;
- Concerns about the government;
- Privacy concerns;
- Confidentiality concerns;

- Security concerns;
- Voluntary aspects of participation;
- Time and burden concerns;
- Lack of interest;
- No incentive provided to participate.

We will examine each concern separately.

"Why me?"

You may have a respondent who wants to know why or how they have been selected to be a participant in the study or asks you to find someone else to participate. To address this:

- Explain the study sampling briefly. For example: "[COUNTRIES INSERT BRIEF AND NON-TECHNICAL DESCRIPTION OF SAMPLING PROCEDURES.]";
- Say something like this: "Without your participation, information about youth living in [COUNTRY NAME] may not be accurate/will not be complete. We need the valuable information that you can give us in order to obtain a good picture of the education and skills of youth like yourself."
- In sampled households you can say: "We randomly select [HOUSEHOLDS/ RESPONDENTS] throughout the country. In order to keep the research scientific, we cannot replace you. You represent many individuals like yourself. If you don't participate, these youth won't be represented."
  In referral households you can say: "We want to interview all youth that have been referred to us. You represent many individuals like yourself. If you don't participate, we will not gain a complete picture of the education and skills of youth in [COUNTRY NAME]."

Concerns About the Purpose of the Survey

People tend to fear things they don't understand. By understanding the purpose of the survey and how the data will be used, you can alleviate the respondent's fears. Remember that:

- It is important to immediately identify yourself as affiliated to an international research study sponsored by the national government and the OECD; and
- You should be able to communicate the purpose of the survey to the respondent in a clear, confident manner.

Concerns About the Government

Some respondents may express concerns about government interference in their lives or have hostility toward government studies. To address this:

- Reiterate the purpose of the survey and the use of the information;
- Stress the international nature of the study and OECD affiliation with the study;

- Make use of the national endorsement letters [IF APPLICABLE]; and
- Tell the respondent that his or her experiences and views may get overlooked if he or she decides not to participate in the study.

Privacy Concerns

A respondent may be reluctant to disclose personal information in a research study because of concerns that the information will not be kept private. He or she may feel uncomfortable discussing personal information in front of others in the household who can hear their answers. Respondents may also feel uncomfortable talking about personal information with you or may be embarrassed to proceed with the study requirement of completing the Exercise. To address this:

- Assure the respondent that everyone's answers are equally respected and important to the survey;
- Explain that the promise of confidentiality extends to protecting the respondent's information from family and friends of the respondent;
- Work with the respondent to find a private location in which to conduct the interview.
- Remind the respondent that they don't have to provide a response to any question which they prefer not to answer; and
- Maintain your confidence and professionalism when collecting data for sensitive questions. If the respondent senses that you are comfortable asking these questions, they will generally be comfortable answering them.

Confidentiality Concerns

Although there are several causes for respondents' concerns about confidentiality, there are measures you can take to reassure respondents.

Doubts about the legitimacy of the survey. The respondent might be suspicious about the legitimacy of the survey, for instance, thinking the survey is a fraud or that you are trying to sell him or her something. To address this:

- Always wear your study identification badge;
- Provide a copy of the introductory letter and informational leaflet/flyer;
- Encourage the respondent to call the study telephone number [IF AVAILABLE]; and
- Offer to return after the respondent has verified the legitimacy of the survey.

Doubts that their personal data will be protected. This is a major concern for some respondents nowadays because of data security breaches in the news and identity theft. To address this:

- Be sure you understand the PISA-D confidentiality and data security safeguards and are prepared to explain them to the respondent;
- Reassure the respondent that the data are held in strict confidence;
- Explain that all survey staff, including you, have signed a pledge of confidentiality;

- State that the results of the survey will be published in summary form only, so that no individual or household can be identified; and
- If the respondent is concerned about answering any particular question, tell them they do not have to answer that question.

Resentment that you are intruding in their household. Some respondents might be intimidated by the thought of a stranger entering their home and interacting with them and their family members, especially their children. To address this:

- Offer an alternative location to conduct the survey such as a library, community centre or other quiet and private space if the respondent is reluctant to invite you into his/her home.

Potential repercussions of participation in the survey. Some respondents might be concerned that providing information could hurt their participation in government programmes. Also, some respondents might be concerned that their refusal to participate will cause them trouble in the future. To address this concern, reassure the respondent that:

- He or she and their families will not be affected personally by the decision to participate or not participate;
- Their participation will be completely confidential, and all answers and information provided will never be associated with their names;
- Their responses will not result in any follow-up by government agencies or programmes.

Security Concerns

Some household respondents may have a general fear of strangers or unfamiliar situations. For those who live in a high crime area, live alone, or are alone at the time of contact, the concern may be even greater. This is especially true with older persons, the disabled, and those who are home with small children.

Respondents do have legitimate reasons to be cautious. News stories and commercials on television tell us about people who use false credentials for purposes of fraud, theft, or more serious crimes. Respondents may express fear by ignoring you, or by being extremely reluctant or hostile. Be considerate and patient with these individuals.

To address these concerns:

- Remember to always show your study ID badge and other appropriate survey documents;
- Tell them the study has been approved and is funded by the [GOVERNMENT SPONSORING AGENCY];
- Provide them with a study telephone number [IF AVAILABLE].

You want respondents to trust you, to know that you are not a threat to them, and to understand that you are conducting legitimate research.

Furthermore, it's permissible to suggest that a respondent who is uncomfortable being interviewed alone could have someone else present or nearby during the interview (unless it's another selected respondent in the household) to ease his or her fears and to make him/her feel safe and more comfortable. However, you should make sure that this person does not help the respondent during the administration of the Exercise. As stated previously, you can offer to conduct the interview outside the home (e.g., at a community centre or at a library) if it will help the respondent feel more comfortable.

Voluntary Aspects of Participation

Some respondents may express reluctance to participate when you tell them that survey participation is voluntary. To address this:

- Reiterate the purpose of the survey and the beneficial use of the information;
- In sampled households, stress that she or he has been scientifically selected and cannot be replaced; in referral households, try to emphasize the value of the information that the referred youth will provide;
- Highlight the international nature of the study and OECD affiliation with the study;
- Make use of the national endorsement letters [IF APPLICABLE]; and
- Tell the respondent that their experiences and views may get overlooked if they decide not to participate in the study.

Time and Burden Concerns

There are two separate concerns respondents may express about taking time to participate: timing and burden. Timing concerns are about *when* they are being asked to participate. You may be contacting them at a genuinely bad time. Burden concerns are about the *cost in effort* to participate. The burden for respondents on this survey is about two hours. This may seem like a lot of time for some respondents.

To address **timing** concerns with a respondent:

- Empathise and demonstrate your willingness to be flexible by saying, for example, "We understand you have a busy schedule but we can find a time that works best for you. When would that be?";
- Make every effort to schedule an appointment for a more convenient time;
- Offer a range of times when you can return to complete the interview;
- Emphasise the flexibility of your schedule – mornings, evenings, weekends;
- Get them to think about <u>when</u> they could do the interview rather than reasons for not doing the interview;
- Remember that timing is critical to gaining cooperation. If you perceive that the timing is bad for the respondent it is best to leave and come back at a better time. Do not insist to the point that the respondent gets upset.

If the respondent is concerned about how much time and effort (burden) the survey will take:

- Convince the respondent that you will get through the interview as efficiently as you can;
- Indicate that the interview will be a pleasant and interesting experience, and that other 14-16 year olds enjoy participating in the survey.

Lack of Interest

This issue can take several forms but most often you will hear the dreaded “I’m just not interested” statement. Often that statement may mean “I’m not interested now.” To address this:

- Use your active listening skills to keep the respondent talking to learn more about his or her specific concern(s) so you can respond accordingly;
- You may be able to keep the conversation going by expressing a genuine interest in the potential respondent;
- Be sincere;
- Try to establish a connection with the respondent; and
- Be prepared to tell the respondent why PISA-D Strand C is unique and important in order to address the respondent’s perception that the survey is not important.

Lack of Incentive

Some respondents may be reluctant to participate because no incentive is being offered:

- Suggest that this survey is an opportunity to be counted;
- Appeal to their nationalistic pride by mentioning other countries that are participating;
- Try to establish a connection with the respondent so they are less likely to refuse you;
- Emphasize the uniqueness of PISA-D Strand C and the possibilities to impact education policies for the future.

7.4 Problems Completing the Interview

You may encounter some situations that prevent or make it difficult for you to contact respondents and complete the interview. The following section describes how you should handle these situations.

7.4.1 Refusals

For any survey, there are always some respondents who will refuse to cooperate. However, if you appear professional and confident in your role as an interviewer, the probability of receiving a refusal from the respondent will be greatly reduced.

If your best efforts fail to persuade the respondent to participate, leave graciously. Remember to always maintain your professional manner, no matter what the respondent says or does. You should leave the household in good standing, so that a future contact attempt either by you or another interviewer can still be made. Sometimes a person does not refuse outright but keeps putting you off by asking you to come back again and again, or makes appointments and does not keep them. If this happens, discuss the situation with your supervisor.

It is very important that we obtain accurate information about why people may not want to participate in this survey. Do they think it is a waste of time? Do they want more information about this survey before agreeing to participate? Your entries in the Non-Interview Report Form (detailed in Chapter 8) will help us to learn more about this, as well as provide insight for conversion attempts. Your supervisor will review this information and decide what future action is appropriate in order to complete this interview.

Strategies to convert refusals include providing respondents with refusal letters, examples of which are shown in Exhibits 7-3a, 7-3b and 7-3c.

7.4.2 Language Problems

In situations where there are no [COUNTRY LANGUAGE(S)]-speaking interviewer in your area, try to arrange for a bilingual household member, neighbour, or household friend to assist you by reading the YI in [COUNTRY LANGUAGE(S)] to the respondent. If, despite your best efforts, you cannot arrange for an interpreter, complete a Non-Interview Report Form and discuss the case with your supervisor.

Interpreters can be used only for the Screener and the Youth Interview (see Section 9.3). The Exercise can only be administered in [COUNTRY LANGUAGE(S)]. Using an interpreter during the Exercise is not permitted.

Exhibit 7-3a/b/c. Non response Letters

7.4.3 Dealing With Local Authorities and Gatekeepers

If you need to legitimise the study or your work as a PISA-D Strand C interviewer for local authorities or gatekeepers in the areas you are working, use the Community Authority Letter (Exhibit 7-4). This letter describes the study in a brief and general way and is signed by [INSERT NAME OF NPM OR OFFICIAL AT COUNTRY SPONSORING AGENCY]. The letter underscores your legitimacy as a PISA-D Strand C interviewer and also the legitimacy of the study. It provides reassurance to the respondent that you are not selling a product or asking for money, and that you are a trained, professional interviewer working on a government-sponsored national education study. A study telephone number is provided for those respondents who want more information about the study. The letter is available in [INSERT COUNTRY LANGUAGE(S)].

The letter can be provided on an as-needed basis to apartment managers, police departments or other professionals you may encounter in the community. You may also give this letter to gatekeepers such as doormen or security staff at apartment buildings or community entrances if it will improve your chances of getting access to a respondent.

7.5 Contacting Rules

You are required to make your contact attempts in person. After your first contact with the household respondent, you may use the telephone to make or confirm an appointment to conduct the interview. Of course, the administration of the Screener, YI, and Exercise must be conducted in person.

Developing an effective strategy for visiting respondents is a fundamental aspect of good interviewing. It is imperative that you use your time as efficiently as possible. If you do not contact a respondent on your first attempt, make your next visit at another time of day and/or day of the week. For example, if you consistently visit a household on weekday mornings, and no one is available during that time, you are missing your best opportunity for finding most respondents at home: evenings and weekends. Conversely, if you are unable to contact the household or respondent after several attempts during the evenings, try weekends or earlier in the day.

Experience indicates that, on average, the most productive times for finding residents at home are at the end of the workday and on weekends. Of course, this will vary by area.

You must make at least <u>four</u> contact attempts to complete the interview. For most cases, you will find this to be more than adequate if you schedule your work efficiently. If during a contact attempt you are unable to reach the sampled youth, ask the household member for a time when the youth is likely to be home and then schedule your next visit accordingly. However, if you are unable to complete an interview within the first four visits to a respondent's home, complete a Non-Interview Report Form (see Chapter 8) and discuss the case with your supervisor.

<u>All</u> contacts made with the respondent (in person or by telephone [IF ALLOWED BY COUNTRY])—successful or unsuccessful visits) should be recorded on the Record of Contacts printed on the Case Folder. Chapter 8 describes how to use the Record of Contacts.

Exhibit 7-4. Community Authority Letter

CHAPTER 8 – DOCUMENTING YOUR CONTACTS

In this chapter, we describe how you will use a series of disposition codes to document your attempts to complete the Screener, Youth Interview and Exercise.

8.1 Recording Contact Attempts

You will record all the contacts you made (at a household) to screen and/or interview a respondent in the Record of Contacts, on the Case Folder (see Exhibits 3-3 and 3-4). This includes all attempts made in person or by telephone, including contacts with household members as well as others such as neighbours. The Record of Contacts on the back of the Case Folder has room to document four contact attempts. There is additional room to record further contacts on the continuation page, located inside the back cover of the folder.

For each attempt you make, record the following information:

- The attempt number;
- Your interviewer ID;
- The date, day of week, and time of day;
- The type of contact (in-person or by telephone);
- The interim or final disposition you obtained for the Screener (sampled households only);
- The interim or final disposition for the YI and Exercise for each sampled or referred youth in the household; and
- Any comments about the contact, such as the time and date of the appointment or call-back, or names of the residents.

8.1.1 Overview of Disposition Codes

For this survey, you will assign individual disposition codes to the Screener, YI, and Exercise.

There are two types of disposition codes that will be used for the study:

- **Interim codes** are assigned when your contact does not result in a final outcome for the case. This code summarises the status of the case until you achieve a final result and can change several times before the case is finalised, and;
- **Final codes** are assigned when a component of the survey has been completed, or when the household or respondent cannot participate for any reason. After a final code is assigned, no more contact will be made with the household.

The definitions of the interim and final codes you will use are given below.

8.1.2 Interim Codes

All interim codes can be used for the Screener, YI and Exercise.

CODE	DEFINITION
AP	You have obtained a firm appointment to return to the household at a specific time. Record the appointment details in the comments section.
CB	You have made contact and obtained some idea of when to return to the household but you have not established a definite appointment. For example, a household member who is less than 18 years old asks you to return when the parents are home in the evening. Record the general call-back information in the comments section.
NH	No one is at home at the time of contact.
RB	A respondent refused to participate or broke off the interview before it was completed.
IL	The respondent is unable to complete the Screener, YI, and/or the Exercise because of an illness or disability.
OT	Any other situation that requires follow-up, such as a language difficulty, a household or respondent you cannot locate, or access to a locked building.

8.1.3 Final Screener Disposition Codes

Screener disposition codes are available and should be assigned for each sampled household. The Screener will not be administered to Referral cases. You must consult with your supervisor when a Screener disposition code other than “10-Complete – 1 or more youth selected,” or “60-Complete, No eligible sample youth” needs to be assigned. You must also document any screener dispositions other than the complete codes on the Non-Interview Report Form.

CODE	DEFINITION
10	<u>Complete – one or more youth selected:</u> Use this code when you have completed the Screener and there are eligible youth in the household.
20	<u>Partial Complete/break-off:</u> The Screener respondent broke off the contact before the Screener was completed. This means that the Screener respondent may have begun to answer the Screener and refused to continue.
30	<u>Refusal by household member:</u> A member of the household has refused to participate in the survey.
31	<u>Refusal by gatekeeper:</u> Another person has refused to allow the household to participate in the survey.
32	<u>Maximum number of calls:</u> You were unable to complete the Screener after making four attempts, on different days and at different times.

CODE	DEFINITION
33	Temporarily absent/unavailable for field period: The household was unavailable for the duration of the field period. Usually this information is obtained by a neighbour or other source.
34	Unable to locate dwelling unit: The DU does not exist or cannot be found.
35	Other (unspecified), such as sickness or unusual circumstances: The Screener respondent is unable to complete the Screener because of sickness, or other unusual circumstances.
40	Language barrier: You were unable to complete the Screener with the Screener respondent because s/he speaks a language other than [COUNTRY LANGUAGE] and: • [IF APPLICABLE] The area was not staffed with a [MAIN SECONDARY LANGUAGE] bilingual interviewer; • There was no family member or neighbour available to assist with administering the Screener questions in the Screener respondent's primary language; or
50	Learning/mental disability: The Screener respondent is unable to complete the Screener because of a learning disability or because of a mental or emotional condition, such as depression, etc., or because of an intellectual disability such as Down's Syndrome, etc., as reported by the Screener respondent or someone speaking on their behalf.
52	Hearing impairment: The Screener respondent was unable to complete the Screener because of a hearing impairment (he/she could not hear the Screener questions).
54	Speech impairment: The respondent is unable to complete the Screener because he or she is unable to communicate orally.
56	Other disability: The respondent is unable to complete the Screener because of any other disability that does not fall into the already listed categories.
60	Complete: No eligible sample youth.
61	Dwelling unit under construction
62	Vacant dwelling unit: No one currently lives at the address e.g. holiday or temporary residence only.
63	Address not a dwelling unit: The address does not meet the definition of a dwelling unit (e.g., non-residential units such as businesses, government offices, and other organisations and residential units such as institutions – prisons or sanitariums – and military barracks).
70	Duplication – already interviewed: To be used if the dwelling unit is included twice in the sample.

CODE	DEFINITION
80	Technical problem: To be used if the Screener could not be completed due to an issue with the tablet.
81	Lost data: To be used if the tablet was lost or stolen before the data was backed up.

8.1.4 Final Youth Interview and Exercise Disposition Codes

Final disposition codes for the Youth interview and Exercise should be assigned to each respondent when the status of the instrument is considered final.

You must consult with your supervisor when a disposition code other than “10-Complete” needs to be assigned, and this must be documented in the Non-Interview Report Form, which is described in Section 8.2.

CODE	DEFINITION
10	Complete: Use this code when the Youth Interview has been completed.
20	Partial complete/break-off: e.g., a paused interview that cannot be completed.
30	Refusal by sample/referred youth: e.g., a refusal by the youth to participate due to time constraints or lack of interest.
31	Refusal by other person: Another person in the household, for example – a parent, has refused to allow the sample/referred youth to participate in the survey.
32	Maximum number of calls: e.g. respondent not successfully contacted after 4 visits to the DU on different days/different times.
33	Temporarily absent/unavailable for field period: The respondent was unavailable for the duration of the field period e.g. is travelling and will not return during the field period.
34	Unable to locate referred youth: The referred youth could not be located for the administration of the YI, use this as a code for the **Youth Interview**.
35	Other (unspecified), such as sickness or unusual circumstances: The respondent is unable to complete the YI and or Exercise because of sickness, being under the effects of drugs or alcohol, moved within the country, falsification, or other unusual circumstances.
40	Language barrier: The respondent was unable to complete the Youth Interview or Exercise because he or she speaks a language other than [COUNTRY LANGUAGE(S)].

CODE	DEFINITION
50	Learning/mental disability: The respondent is unable to complete either the Youth Interview or the Exercise because of a learning disability or because of a mental or emotional condition, such as anxiety or depression, etc.
51	Reading and Writing difficulty: This code is only used for the **Exercise** when the respondent is unable to read or write and thus is unable to complete the Exercise.
52	Hearing impairment: The respondent is unable to complete the section because of a hearing impairment (cannot hear Youth Interview questions or Exercise instructions).
53	Blindness/visual impairment: The respondent is unable to complete the **Exercise** because of a visual impairment.
54	Speech impairment: The respondent is unable to complete the **Youth Interview** because he or she is not able to communicate orally.
55	Physical disability: The respondent is unable to complete the Youth interview or Exercise because of a physical disability.
56	Other disability: The respondent is unable to complete the Youth Interview or the Exercise because of any other disability that does not fall into the already listed categories.
60	Complete – ineligible: Youth is ineligible due to age or school enrolment status. This code would be assigned only for the **Youth Interview**.
64	Death: The respondent died.
65	Moved outside the country: The respondent is unavailable to participate because he/she moved outside the country.
66	Institutionalized: The respondent is institutionalized in a prison, mental health hospital, or addiction rehabilitation centre.
70	Duplication: The respondent has already been interviewed. This code would be assigned only for the **Youth Interview**.
80	Technical problem: To be used if the Youth Interview or Exercise could not be completed due to an issue with the tablet.
81	Lost data: To be used if the tablet was lost or stolen before the data was backed up.
82	Inability to use the tablet: e.g. respondent is unable to complete the **Exercise** due to a lack of technical skills needed to use the tablet.

8.1.5 Assigning Disposition Codes

A final disposition code must be assigned to every component of the study that was at least attempted or partially completed by the respondent. For instance, if a respondent completes the YI and refuses to continue on to the Exercise, enter the final code of “10” (Complete) for the YI and enter the interim code of “RB” (Initial refusal) for the Exercise. If after several attempts, the respondent still refuses to complete the Exercise, enter the final code of “30” (Refusal – Respondent) for the Exercise.

You should only assign disposition codes for respondents who are physically or mentally incapable of completing the YI and Exercise if the respondent reports a specific disability that prevents him or her from attempting the Youth interview or Exercise. You should never assign one of these codes based only on your observations.

Be cautious when assigning the partial complete/break-off (20) disposition code. This code should only be assigned when at least one question has been answered and the respondent is physically or mentally able to participate but refuses to complete the interview. For example, if the respondent begins the YI but refuses to continue because of a prior commitment then assign the disposition code of partial complete/break-off and complete a Non-Interview Report Form. However, if the respondent refuses to continue because a hearing problem prevents him or her from hearing the questions, assign the disposition code of “52” for hearing impairment and describe the situation in the Non-Interview Report Form.

8.2 Non-Interview Report Form (NIRF)

Whenever you are unable to complete the Screener, YI, or Exercise, you **must** complete a Non-Interview Report Form (Exhibit 8-1). These forms are used to document the reason why you were unable to complete the interview.

It is critical that you completely fill out the NIRF whenever you have a final disposition other than “10-Complete” or “60-Complete” for the Screener, YI, and Exercise.

At the top of the NIRF, record the case ID in the ‘CASE ID’ box. Fill in your name, and the date. Unless you are the second interviewer to work on the case, do not fill out the fields labeled “Second Interviewer Name” or date.

The NIRF serves two very important purposes. First, supervisors will use the NIRFs to determine if, and how, to reassign the case for conversion. Specifically, for those respondents who refuse, your supervisor needs to know why they refused in order to determine the best approach for convincing them to participate. In addition, the interviewer who receives the case for conversion will need to know specific information about the case before making subsequent contacts.

The second purpose of this form is to allow analysts to understand the reasons why some respondents did not participate. For example, it is especially important to know if there were literacy reasons, technical problems using the tablet, or physical or mental limitations that might have prevented some respondents from beginning or continuing with the interview. The information you provide on the NIRF will be processed with other data collected during the interview and analysed carefully.

Exhibit 8-1. Non-Interview Report Form

CHAPTER 9 – THE INTERVIEW PROCESS

This section of the manual focuses on the procedures for administering the Youth Interview (YI) and the Exercise. This section also provides directions for completing the Interviewer Observations.

9.1 Overview

After you have identified the respondent(s) you will administer the YI and the Exercise. (Refer to Chapter 5 and Chapter 6 of this manual for details on enrolling sampled respondents and referred youth.) You must be prepared to answer any general questions about the survey and, occasionally, to persuade a reluctant respondent to proceed. Stress the importance of learning about every respondent's skills, education history and school experiences, even if the respondent does not feel he or she has much to contribute to the survey. In sampled households, if a respondent suggests that you interview someone else in the household instead, explain that you need to conduct the interview with the selected respondent and that they cannot be replaced.

Some respondents will be interested to know how long the interview will take because of potential conflicts with other commitments or activities. The YI (35 minutes), and the Exercise (50 minutes) should be completed in one single session. Therefore, if the respondent cannot spare about two hours to complete the YI and the Exercise at that time, set up a definite appointment to return. If the respondent completes the YI but wants to reschedule for the administration of the Exercise, you may return to complete the assessment. However, please note that this should only happen very rarely. In most cases, you will administer the Youth Interview and the Exercise within the course of a single appointment.

9.1.1 Completing the PMK Questionnaire

The PMK Questionnaire collects information about the educational background and occupation of the parent or guardian and includes questions related to the education and childhood experiences of the sampled/referred youth. A separate PMK questionnaire will need to be completed for every selected respondent in sampled households as well as for the referred youth. This questionnaire should ideally be completed by the parent or guardian of the respondent (person most knowledgeable about the youth).

It is recommended that you hand the questionnaire to the PMK just before you are going to administer the YI and Exercise to the respondent. This will allow the parent or guardian sufficient time to complete this questionnaire while the Youth Interview is underway. If the PMK asks for your assistance in completing the interview, you can help provided this does not interfere with your primary task of conducting the interview with the respondent. As mentioned in Chapter 3, please record whether you provided any assistance in completing the PMK questionnaire on the front of the Household or Referral Case Folder. If the person who is ideally suited to completing the questionnaire is not available at the time you are conducting the YI and the Exercise, it is permitted to leave the PMK questionnaire with a household member. You will need to make arrangements to return to the household to pick up the completed questionnaire.

Collect the completed PMK questionnaire and follow [COUNTRIES TO INSERT PROCEDURES] instructions you have received to return the PMK questionnaire to the <National Centre/Survey Institute>.

9.2 Youth Interview (YI)

9.2.1 YI Topics

The Youth Interview collects information about the eligible youth. These questions are ordered as shown below and take approximately 35 minutes to administer. A brief summary of each series of questions follows:

- **General information** – includes questions that confirm eligibility of the sampled or referred youth to participate in the study. These questions are about the age and school enrollment status of the respondent.
- **School experiences –** addresses the respondent's time spent at school in various grades, reasons for absenteeism and likelihood of completing schooling.
- **Life satisfaction and general wellbeing –** includes questions about the respondent's health status at the time of the interview.
- **Language questions** – includes questions about the language spoken in the respondent's home and language of instruction.
- **Demographics** – includes questions about the respondent's migration background and respondent's parents' country of origin.
- **Food security and SES/Poverty –** includes questions about food sufficiency and the respondent's living conditions.
- **Parental background –** includes questions about the occupation and literacy background of the respondent's parents or guardian.
- **Household responsibilities and family support** – includes questions about respondent's responsibilities, household makeup and communication with parents or other household members.
- **Student engagement –** includes questions about respondent's mode of travel to school, safety while at school, and the school environment and hours worked.
- **Youth's engagement in reading –** includes a question about frequency of reading and writing.
- **Expectations for future –** includes a question about the respondent's future expectations (at age 30).

The tablet will display the interview questions in the order that they should be asked.

9.2.2 YI Translation Guidelines

The YI has been translated into [COUNTRY LANGUAGE(S)] for youth who feel more comfortable conversing in that language. You should do your best to determine the language in which the respondent is most comfortable, prior to starting the interview. The translated instrument may be administered by a bilingual interviewer if one is available in the area. If not, you can identify a family member or neighbour to assist you in administering the questionnaire by reading the translated YI questions from your tablet and translating the respondent's answers back to you. If the respondent speaks a language other than ones in which the YI translation is available, you can use an interpreter to translate the questions for the respondent and who can also translate the respondent's answers for you. If you cannot administer the YI due to a language problem, assign a disposition code of "40 - Language Barrier" to the YI.

9.3 Exercise

The PISA-D Strand C Exercise which measures reading and mathematics skills is self-administered with guidance from you. The Exercise will only be administered in [COUNTRY LANGUAGE(S)]; a translator or interpreter cannot be used during its administration.

You should set up the tablet in such a way that the respondent is comfortable using it to complete the questions. A short tutorial will allow the respondent to see the types of screen displays used in the Exercise. Your role during the administration of the Exercise is simply to monitor the respondent's progress. Your interaction with the respondent should be minimal.

9.3.1a Guidelines for Administering the Tutorial

The Exercise begins with a tutorial during which you may provide assistance. For the tutorial only, you should read the instructions on the screen with the respondent and assist as needed to ensure the respondent is able to navigate through the tutorial independently. This may involve showing the respondent how to perform some actions and ensuring that the respondent has an opportunity to repeat the actions until he or she can perform them independently. At the end of the tutorial, you should move aside so that the respondent can proceed to work on the Exercise at their own pace.

9.3.1b Guidelines for Administering the Exercise

Exercise administration requires an understanding of specific procedures on your part, as well as patience and tact. During the Exercise, you have a number of responsibilities, including:

- Creating the proper setting;
- Giving instructions to the respondent; and
- Monitoring the administration.

Throughout the Exercise component of the interview, you will need to be sensitive to the respondent's reactions and concerns. This is especially true for respondents who are uneasy about their reading skills or ability to use the tablet.

As you monitor the administration of the Exercise, sit close enough to the respondent so you can watch his or her progress on the screen, but not so close that he or she might feel as though you are trying to see their answers. Remain alert and pay attention to what the respondent is doing. Be ready to interact with the respondent if he or she has a question or concern. Do not engage in other non-study activities such as reading a book or using your cellular phone. You should focus all your attention to monitoring the administration of the Exercise.

9.3.2 The Exercise Setting

It is very important that you help establish the appropriate setting for the interview so that the respondent is comfortable and can focus on the interview and tasks. Interviews are typically conducted at the respondent's home but could also take place in other quiet spaces such as a library if, for instance, the respondent is not comfortable admitting you into their home. Ideally, the respondent should be seated at a table or at a chair where he or she has access to a surface on which to use the tablet. You should also be seated in such a way that you can easily interact with the respondent and watch his or her progress. It is important that the respondent is comfortable, away from distractions, and has a comfortable working space. It is best to plug your tablet into an electrical outlet to ensure that you don't run out of battery power during the interview administration.

Whenever possible, it is advisable to steer the respondent away from the television room or a room with other family members. If more than one respondent has been selected in one household, you must ensure that the other selected respondent(s) is not in the room while you are conducting the interview with the first respondent.

9.3.3 Need for Sensitivity When Administering the Exercise

It should be stressed that you must be extremely considerate and sensitive in everything you do and say during the Exercise. Unlike a routine household interview that collects facts and opinions, you will be asking respondents to do something in their home that they would not normally do – complete an assessment while being observed by a stranger. This has the potential to produce a certain amount of anxiety. You must do everything you can to alleviate or at least not add to their anxiety.

Remember that you are not to use the words "assessment" or "test." We do not want to give the respondent the impression that his or her personal performance is being evaluated.

If the respondent is spending too much time on a question, urge him or her to move to the next one. Although you need to keep an eye on the time and the respondent's progress, avoid looking at your watch repeatedly or keeping your eyes fixed on the Exercise as they progress through it. This may make the respondent uncomfortable.

9.3.4 Respondents Concerned About Their Reading Ability

Conducting the Exercise with someone who cannot read well can be a difficult experience for both you and the respondent. Individuals who read poorly may try to conceal this fact. For them, the Exercise may be threatening because they could expose this difficulty. These individuals may attempt the Exercise but remain extremely uncomfortable while taking it. Other individuals with reading difficulties will not try to conceal it, but simply refuse the Exercise on this basis.

For anyone showing concern about the adequacy of their ability to read, it is important that you convey that we are not trying to "test" them. Rather, the assessment they complete will contribute to an international picture of reading and math skills of 14-16 year-olds in their country and other countries around the world. You must convey to reluctant respondents that the questions in the Exercise differ in the level of difficulty and that they should attempt to complete as many as possible. Even if they are having trouble with one question, the next one might be easier. You can also stress that their answers will never be linked to them.

If this approach fails, you must accept the respondent's final decision. Never do anything that the respondent could perceive as pressure for him or her to begin or continue with the Exercise. On the other hand, you should <u>never</u> terminate the Exercise because <u>you</u> think the respondent cannot undertake or complete the Exercise.

9.3.5 Language Problems

The Exercise is only available in [COUNTRY LANGUAGE(S)]. Once the respondent begins the Exercise, you or a family member cannot translate any words for the respondent. However, it is the goal of PISA-D Strand C to assess as many sampled individuals as possible. All respondents who complete the YI <u>must</u> be given an opportunity to complete the Exercise, including people who may not speak [COUNTRY LANGUAGE(S)] well or at all and those whose primary reading language is something other than [COUNTRY LANGUAGE(S)]. If a selected respondent can understand basic instructions in [COUNTRY LANGUAGE(S)], he or she should be encouraged to begin the Exercise. If the respondent cannot understand basic instructions in [COUNTRY LANGUAGE(S)], or read [COUNTRY LANGUAGE(S)] at all, the case should be closed out with an Exercise result code of "40 – Language Barrier."

9.3.6 Handling Other Special Situations and Questions From Respondents

During the Exercise, a number of situations could arise that you must be prepared to handle. Here are some of the most likely situations you will encounter and suggestions for what you can say.

- **Respondent begins the Exercise but wants to quit.** Say something like "not everyone completes all of the questions." Encourage the respondent to go on to another question and to complete as many of the questions as he or she can.
- **Respondent asks you to explain a question or instruction.** You should not help the respondent with the Exercise. This means you should not interpret instructions or questions in the Exercise. Simply say: "I'm sorry, I can't help you with the Exercise. Please do the best you can."
- **Respondent cannot understand specific words in the Exercise.** You should not define words for the respondent or interpret content of the Exercise for the respondent.
- **Respondent is spending too much time on a task.** Each section within the Exercise contains several questions of varying difficulty. Some may take a minute while others will take five minutes. If you observe a respondent spending too much time on a particular question, suggest that he or she move on by saying something like:

  - "Some of the questions in this section can be fairly difficult. Not everyone completes all the questions. We would like everyone to attempt as many of the different questions as possible. Why don't you go on to the next question?"

- **Respondent wants to resume working on a question.** In general, respondents should be encouraged to complete the questions in the Exercise in the order in which they appear. Specific rules for returning to a question vary by section and will be provided to respondents.
- **Respondent wants to know if the Exercise will be graded like a test.** Tell the respondent that the Exercise will not be graded like a test and the respondent's name will not be associated with the answers.
- **Respondent asks if it is better to leave questions blank if uncertain about the answer.** Tell the respondent that each question should be answered to the best of the respondent's ability.
- **Respondent asks if results will be available.** Individual scores are not computed for the Exercise. The respondent's answer for a specific question will be combined with everybody else's answers and reported as a group.
- **Respondent wants to do something else (e.g., watch television) while doing the Exercise.** Urge the respondent to devote his or her attention to the Exercise by saying something like:
  - "It is really important that you concentrate while doing the Exercise. Is there another room we can use so that you can work undisturbed?"
- **Other family members want to help respondent.** It is natural for other family members to be curious about the Exercise. However, other family members should not discuss the Exercise with the respondent or help the respondent. If this occurs, say something like:
  - "Since (respondent) has been selected to do the Exercise, it is important that he or she completes it without any assistance. Otherwise, when the answers of all the participants across the country are put together, it could create a very misleading picture."
- **Respondent wants to quit Exercise and resume later.** It is important that the respondent understands that once the Exercise is started, it must be completed in one sitting. You cannot stop the Exercise and resume it at a later date. For this reason, it is important that you begin the YI and Exercise only when you are confident that the respondent will have sufficient time to complete it. If there is an impending conflict, it is better to set up an appointment and make a return visit.

It is permissible for the respondent to take short breaks (under five minutes) in between sections for visits to the bathroom or to attend to a pressing family matter. Longer breaks should be discouraged unless absolutely necessary. If a break was required, note this in the Interviewer Observations that are related to the interview.

9.4 Steps After the Exercise Administration

Here is a step-by-step description of how the interview will end following the Exercise administration.

1. **Collect materials.** Once the respondent has finished the Exercise, collect all study materials.
2. **Give incentive (if applicable).** Thank the respondent and provide the incentive [IF APPLICABLE]. Respondents who are unwilling, that is, refuse to try or to continue, should not receive the incentive. Remember to have the respondent sign a receipt if needed.
3. **PMK Questionnaire.** Collect the completed questionnaire from the parent or guardian. Remember to update your Case Folder with the name of the person who completed it and also note if you provided any assistance with this effort.
4. **Complete Interviewer Observations.** After you have left the respondent's home, enter the observations about the DU (previously recorded on the Case Folder) and answer the questions about the interview on the tablet.

9.4.1 Households With More Than One Respondent

In some households, more than one respondent could be selected. It is important that you know what to do when this situation arises. When you have more than one respondent, you will essentially perform the same procedures for each. However, more than one respondent in one household require some additional considerations.

If at all possible, conduct all interviews during the same visit. They can be done in any order, but not simultaneously. It is very important that you make sure that the other selected respondents are not present in the room when you administer the interview to a respondent. If you need to return at a later date to conduct the interview with another selected respondent, set up the appointment at the earliest available time and ask the respondents that already completed the Exercise not to discuss the Exercise with those that have not taken it.

9.5 Interviewer Observations

The Interviewer Observations is a two-part question series with the first part addressing questions related to the DU characteristics and the second part related to questions about the interview. You will complete the Interviewer Observations questions listed on the Case Folder before you make contact with the sampled household and then complete the second series of questions when the interview is completed and you have left the household.

The questions related to the DU characteristics gather information about the access to the DU and the structure. Examples of questions in this section include:

- What is the main road to the dwelling made of?
- Does the area surrounding the dwelling have street lights?
- What is the main material of the roof?

Answers recorded in the Case Folder must be transferred into the tablet after you have completed all survey components in the household and have left the home.

The second series of Interviewer Observations is designed to collect information about the interview setting, the respondent's behaviour, and any events that might have interrupted or distracted the respondent during the Exercise. The questions in this section are listed below:

-
- Besides the respondent, was anyone else present during the interview?
- Overall, how often did you feel that the respondent understood the questions in the interview?
- Did the respondent ask for any clarification on any questions while undertaking the interview?
- Where did the interview mainly take place?

After the Exercise, you will logout of the Case Management System.

You should complete these questions by logging into the system as soon as possible after leaving the respondent's home, in order to answer these questions related to the particulars of the interview setting and the administration of the Exercise accurately. . This is a required section and a case will not be considered complete until these questions have been answered.

CHAPTER 10 – QUALITY CONTROL OF LISTING

Countries with household samples will need to institute a quality control procedure for listing. In this chapter, countries need to document the procedures to be used by interviewers. Countries will develop training materials later for the in-person interviewer training based on the content of this chapter.

Listed below is an outline of suggested topics to include in this chapter.

Overview

Missed Structure Procedure

Step-by-Step Instructions

Examples

Steps to add found Dwelling Units in Missed Structures to sample

CHAPTER 11 – HANDLING CASE MATERIALS AFTER THE INTERVIEW

There are a number of steps that should be followed related to completed survey materials and forms before they are returned to the <National Centre/Survey Institute>. These are described in the following sections.

11.1 Editing Materials

Before submitting a completed case to the <National Centre/Survey Institute>, you should carefully review each case document. This review is called in-field editing and should take place soon after the completion of your work in a household and before reporting to your supervisor at your next conference.

Field editing includes two parts:

- An accounting of all required materials for the case; and
- An item-by-item proofreading of all the paper forms associated with each case.

11.1.1 Accounting for Case Materials

When processing completed cases, it is critical that the <National Centre/Survey Institute> has all of the materials that are associated with each case. You must review each case to verify that all required materials are included in the Case Folder, that all forms are properly labelled, and that the Record of Contacts on the back cover of the Case Folder has been properly and completely filled out with the appropriate disposition codes.

To eliminate the possibility of confusion about forms/materials associated with each case, you should always check to make sure that you have entered the case ID number on all case materials immediately after leaving the household. During your edit, make a final check to verify that the case ID has been recorded and is accurate.

11.1.2 Editing Paper Materials and Forms

During your edit, review each of the paper forms and materials associated with a case such as Case Folders, Non-Interview Report Forms, PMK questionnaires, etc. Corrections on any hard-copy materials should be made using the following guidelines:

1. Check instructions and delete extraneous information and note any omissions;
2. Make sure the case ID appears on every document associated with the case;
3. Enter missing information on study forms; and
4. Correct sloppy coding and illegible handwriting.

11.2 Survey Data Transmission and Back up

After you complete your interviews, you must transmit all study data collected to the <National Centre/Survey Institute>. This should be done once you return home at the end of each work day.

The Case Management System has a synchronization feature that allows you to transmit the data collected during fieldwork as well as receive any updates from the <National Centre/Survey Institute>

You will need to have internet connectivity in order to synchronize your system with the server that resides at the <National Centre/Survey Institute>. Use the Sync button in the Case Management System to upload your cases and to download any updates from the <National Centre/Survey Institute> to your tablet.

If you are in the field without access to the internet, you will need to routinely back up your data as a safeguard against data loss. In order to do this, insert the USB device provided by the <National Centre/Survey Institute> into the tablet and use the Back Up button in the Case Management System. You will be prompted to save the encrypted file to the device. Always keep your USB device in a safe place separate from your tablet.

11.3 Returning Materials to the <National Centre/Survey Institute>

The following steps must be completed before a case is considered to have been successfully returned.

Step 1: If an address correction was required, this should have been done after your initial contact with the household. If not, do so now.

Step 2: Prepare the case materials for returning to the <National Centre/Survey Institute>. Before including a Case Folder make sure a completed Non-Interview Report Form is included for any respondent who did not participate in a component of the interview (Screener, YI, and Exercise).

Step 3: Make sure you return all completed PMK questionnaires.

Once you have closed out all the cases in your area, return any maps to the <National Centre/Survey Institute>, with any additional finalised Case Folders and study materials not previously returned.

CHAPTER 12 – QUALITY CONTROL

Quality control is an ongoing process that begins at training and continues throughout the course of the study. Collecting and recording data accurately is a vital aspect of your role as an interviewer. It is your responsibility to ask questions as worded, probe unclear or incomplete answers, listen carefully to the respondent, record information accurately, and review all aspects of your work.

A variety of quality control techniques will be used during the field period to assure the quality of the study:

- Audio recording;
- In-person observation;
- <National Centre/Survey Institute> review of cases for errors and discrepancies; and
- Validation.

12.1 Audio Recording

For monitoring purposes in the PISA-D Strand C field test, you will record the **3rd** and the **10th** interviews that you complete, from the beginning of the YI to the end of the Exercise. You will send these recordings to your supervisor who will review them and offer feedback on your performance and, if necessary, provide suggestions on how to improve your interviewing technique.

When recording, you need to follow these procedures:

- Before leaving your home, check your audio recorder. If necessary, insert new batteries. [IF APPLICABLE: Check the tape by running it forward and in reverse to ensure that it is working properly.] Make a demo by speaking into the recorder. Check the quality of the recording [IF APPLICABLE: and if needed, replace the tape].
- Before beginning the interview, explain to the respondent that you would like permission to record the interview. [COUNTRIES ADD INSTRUCTION IF PARENT CONSENT IS ALSO REQUIRED]. If the respondent questions the reason for the recording, explain that it is part of the quality control procedures for the study and a way for you to demonstrate to your supervisor that you are completing your work according to specifications;
- After securing verbal permission, start the audio recorder. Allow 30 seconds before you begin. Record the following:

  – “This is (your name). Case ID number (#). Now (respondent’s first name), I am going to record our interview. Do I have your permission?”; and
  – Make sure that you record the respondent’s permission on the recording;

- Most interviewers and respondents forget that the recorder is running so it should not interfere with your interview. [IF APPLICABLE: You may have to record on both sides of a tape, so glance over at the tape as you proceed through the interview.]

- There are a few things you need to do in order to ensure a successful recording:
  - Eliminate as much extraneous noise as possible from the room. Politely ask the respondent to turn off the radio or television or any other appliance that makes noise by saying “May we turn off the television as I want to make sure I hear and understand your answers?” Most respondents will comply, and;
  - Do not inadvertently cover the recorder with study materials such as the Case Folder;
- Provide the recording of the taped interviews to your supervisor. [COUNTRIES PLEASE INSERT PROCEDURE TO RECEIVE RECORDINGS] [IF APPLICABLE: Label the tape with your name, the date, the case ID number, and “Interview #3” or “Interview #10”. The label should be on the tape, not the box holding the tape. Make sure the label does not cover the spindle holes.]

Experience has shown that most respondents do not object to being recorded. However, if the selected respondent objects, proceed with the interview without recording. Make a note on the Record of Contacts and discuss it with your supervisor.

12.2 In-person Observation

An observer may accompany you when visiting a household or respondent for the first time or when returning for a scheduled appointment. On these occasions, you should:

- Introduce the observer by name and obtain verbal permission from the respondent to conduct the interview in the presence of the observer; and
- Explain that the observer is there to evaluate the survey procedures.

12.3 <National Centre/Survey Institute> Review of Cases

As the <National Centre/Survey Institute> receives your materials from completed cases, your work will be reviewed. You will be notified by your supervisor if any problems are discovered with your work.

12.4 Validation

Validation is used to make sure that an interview was conducted with the selected household or respondent according to established survey procedures. Your supervisor will be responsible for following up on a percentage of your cases to verify your work.

All finalised cases returned by an interviewer are eligible for validation (this includes completed cases, ineligibles, vacancies, partial completes, refusals, etc.). This process serves as an additional check that the data collected are valid.

CHAPTER 13 – REPORTING AND ADMINISTRATIVE PROCEDURES

In this chapter countries will need to document the administrative procedures interviewers will follow. Countries will later develop training materials for the in-person interviewer training based on the content of this chapter.

Listed below is an outline of suggested topics to include in this chapter.

Record Keeping

Respondent Incentives

Providing Incentive to the Respondent

Incentive Record Keeping System

Reporting to Your Supervisor

Weekly Conferences with Your Supervisor

Preparing for the Conference

Returning Study Materials to the <National Centre/Survey Institute>

Time and Expense Reporting