

Bohlender, Anne; Rathje, Martin; Glemser, Axel

Research Report

SOEP-Core - 2018: Report of survey methodology and fieldwork

SOEP Survey Papers, No. 824

Provided in Cooperation with:

German Institute for Economic Research (DIW Berlin)

Suggested Citation: Bohlender, Anne; Rathje, Martin; Glemser, Axel (2020) : SOEP-Core - 2018: Report of survey methodology and fieldwork, SOEP Survey Papers, No. 824, Deutsches Institut für Wirtschaftsforschung (DIW), Berlin

This Version is available at:

<https://hdl.handle.net/10419/214745>

Standard-Nutzungsbedingungen:

Die Dokumente auf EconStor dürfen zu eigenen wissenschaftlichen Zwecken und zum Privatgebrauch gespeichert und kopiert werden.

Sie dürfen die Dokumente nicht für öffentliche oder kommerzielle Zwecke vervielfältigen, öffentlich ausstellen, öffentlich zugänglich machen, vertreiben oder anderweitig nutzen.

Sofern die Verfasser die Dokumente unter Open-Content-Lizenzen (insbesondere CC-Lizenzen) zur Verfügung gestellt haben sollten, gelten abweichend von diesen Nutzungsbedingungen die in der dort genannten Lizenz gewährten Nutzungsrechte.

Terms of use:

Documents in EconStor may be saved and copied for your personal and scholarly purposes.

You are not to copy documents for public or commercial purposes, to exhibit the documents publicly, to make them publicly available on the internet, or to distribute or otherwise use the documents in public.

If the documents have been made available under an Open Content Licence (especially Creative Commons Licences), you may exercise further usage rights as specified in the indicated licence.



<https://creativecommons.org/licenses/by-sa/4.0/>

SOEP Survey Papers

Series B - Survey Reports (Methodenberichte)

SOEP – The German Socio-Economic Panel at DIW Berlin

2020

SOEP-Core – 2018: Report of Survey Methodology and Fieldwork

Anne Bohlender, Martin Rathje, Axel Glemser

Running since 1984, the German Socio-Economic Panel (SOEP) is a wide-ranging representative longitudinal study of private households, located at the German Institute for Economic Research, DIW Berlin.

The aim of the SOEP Survey Papers Series is to thoroughly document the survey's data collection and data processing.

The SOEP Survey Papers is comprised of the following series:

Series A – Survey Instruments (Erhebungsinstrumente)
Series B – Survey Reports (Methodenberichte)
Series C – Data Documentation (Datendokumentationen)
Series D – Variable Descriptions and Coding
Series E – SOEPmonitors
Series F – SOEP Newsletters
Series G – General Issues and Teaching Materials

The SOEP Survey Papers are available at <http://www.diw.de/soepsurveyspapers>

Editors:

Dr. Jan Goebel, DIW Berlin
Prof. Dr. Stefan Liebig, DIW Berlin and Freie Universität Berlin
Dr. David Richter, DIW Berlin
Prof. Dr. Carsten Schröder, DIW Berlin and Freie Universität Berlin
Prof. Dr. Jürgen Schupp, DIW Berlin and Freie Universität Berlin
Dr. Sabine Zinn, DIW Berlin

Please cite this paper as follows:

Anne Bohlender, Martin Rathje, Axel Glemser. 2020. SOEP-Core – 2018: Report of Survey Methodology and Fieldwork. SOEP Survey Papers 824: Series B. Berlin: DIW/SOEP.



This work is licensed under a Creative Commons Attribution-ShareAlike 4.0 International License.

© 2020 by SOEP

ISSN: 2193-5580 (online)

DIW Berlin
German Socio-Economic Panel (SOEP)
Mohrenstr. 58
10117 Berlin, Germany

Contact: soeppapers@diw.de

SOEP-Core – 2018: Report of Survey Methodology and Fieldwork

Anne Bohlender, Martin Rathje, Axel Glemser

Kantar

Public Division Deutschland

Landsberger Str. 284

80687 München

Contents

Introduction	5
Overview of the SOEP-Core subsamples	6
1 Samples A-N	8
1.1 Introduction	8
1.2 Development samples A-N	9
1.3 Structure of the gross sample	11
1.4 Questionnaires and fieldwork material	15
1.4.1 Questionnaires	15
1.4.2 Fieldwork material	18
1.5 Conducting the survey	22
1.5.1 Survey mode	22
1.5.2 Fieldwork timing	25
1.5.3 Translations	26
1.5.4 Panel maintenance and incentives	26
1.5.5 Movers and tracing	27
1.5.6 Interviewer characteristics, training & monitoring	28
1.6 Fieldwork results	31
1.6.1 Participation on household level	31
1.6.2 Participation on individual level	37
1.6.3 Participation by types of questionnaires	39
1.6.4 Interview length per questionnaire	43
1.6.5 Consent to record linkage	44
1.7 Data preparation	45
1.8 Delivered data	47
2 Samples M1/2	48
2.1 Introduction	48
2.2 Development samples M1/2	49

2.3	Structure of the gross sample	50
2.4	Questionnaires and fieldwork material	53
2.4.1	Questionnaires	53
2.4.2	Fieldwork material	54
2.5	Conducting the survey	56
2.5.1	Survey mode	56
2.5.2	Fieldwork timing	57
2.5.3	Translations	57
2.5.4	Panel maintenance and incentives	58
2.5.5	Movers and tracing	59
2.5.6	Interviewer characteristics, training & monitoring	60
2.6	Fieldwork results	63
2.6.1	Participation on household level	63
2.6.2	Participation on individual level	67
2.6.3	Participation by types of questionnaires	69
2.6.4	Interview length per questionnaire	72
2.6.5	Consent to record linkage	73
2.7	Data preparation	73
2.8	Delivered data	74
3	Samples M3-5	75
3.1	Introduction	75
3.2	Development samples M3-5	76
3.3	Structure of the gross sample	77
3.4	Questionnaires and fieldwork material	81
3.4.1	Questionnaires	81
3.4.2	Fieldwork material	82
3.5	Conducting the survey	85
3.5.1	Survey mode	85
3.5.2	Fieldwork timing	85
3.5.3	Translations	86
3.5.4	Panel maintenance and incentives	88
3.5.5	Movers and tracing	89
3.5.6	Interviewer characteristics, training & monitoring	90
3.6	Fieldwork results	93

3.6.1	Participation on household level	93
3.6.2	Participation on individual level	97
3.6.3	Participation by types of questionnaires	99
3.6.4	Interview length per questionnaire	100
3.6.5	Consent to record linkage	101
3.6.6	Participation of subgroup module “MORE”	102
3.7	Data preparation	103
3.8	Delivered data	103
4	Sample O	104
4.1	Introduction	104
4.2	Background sample O	105
4.3	Structure of the gross sample	106
4.4	Questionnaires and fieldwork material	108
4.4.1	Questionnaires	108
4.4.2	Fieldwork material	108
4.5	Conducting the survey	109
4.5.1	Survey mode	109
4.5.2	Fieldwork timing	109
4.5.3	Translations	110
4.5.4	Panel maintenance and incentives	110
4.5.5	Movers and tracing	110
4.5.6	Interviewer characteristics, training & monitoring	111
4.6	Fieldwork results	113
4.6.1	Participation on household level	113
4.6.2	Participation on individual level	114
4.6.3	Participation by types of questionnaires	115
4.6.4	Interview length per questionnaire	115
4.7	Data preparation	116
4.8	Delivered data	116

Introduction

The Socio-Economic Panel (SOEP) has been conducted since 1984 as a panel survey to observe the living situation of private households in Germany. In the 2018 survey year, Kantar (formerly TNS Infratest Sozialforschung) conducted the 35th wave of the SOEP. The SOEP, based at the German Institute for Economic Research (DIW Berlin), is the longest-running and largest multidisciplinary survey in Germany. Data are collected annually on various topics such as living situation, income, employment, education, health, personality traits and attitudes. The SOEP department at the DIW has overall scientific responsibility for the project, which includes distributing the data to researchers worldwide for use in their own studies.

The SOEP can be divided into three main (types of) surveys, only the first of which is addressed in this report:

1. **SOEP-Core** is the centerpiece of the Socio-Economic Panel study launched in 1984. The data provide information on every member of every household taking part in the survey. Respondents include Germans, foreign nationals residing in Germany, recent immigrants, and a new sample of refugees added from 2016 onwards.
2. The longitudinal SOEP Innovation Sample (**SOEP-IS**) was created in 2012 as a special sample for testing highly innovative research projects that involve too great a risk of non-response to be included in the long-term SOEP study. Proposals approved for inclusion in SOEP-IS to date include economic behavioral experiments, implicit association tests (IAT), and complex procedures for measuring time use (day reconstruction method, DRM). Researchers at universities and research institutes worldwide are encouraged to submit innovative proposals to SOEP-IS.
3. There are several studies that have incorporated questions from the SOEP questionnaire to validate their results on a representative sample of the German population ("SOEP as Reference Data"). These SOEP-Related Studies (**SOEP-RS**) are designed and implemented in close cooperation with the SOEP team and structured similarly to the SOEP. Another type of SOEP-Related Studies provides participants from SOEP-Core with additional questionnaires or interviews their employers or daycare providers via related sampling. Some examples of SOEP-Related Studies include BASE-II (Berlin Aging Study II), FiD (Families in Germany), PIAAC-L (Programme for International Assessment of Adult Competencies-Longitudinal), SOEP-ECEC Quality (Early Childhood Education and Care Quality in the SOEP), SOEP-LEE (SOEP Employer-Employee Survey), BIP (Bonn Intervention Panel), and BRISE (Bremen Initiative to Foster Early Childhood Development).

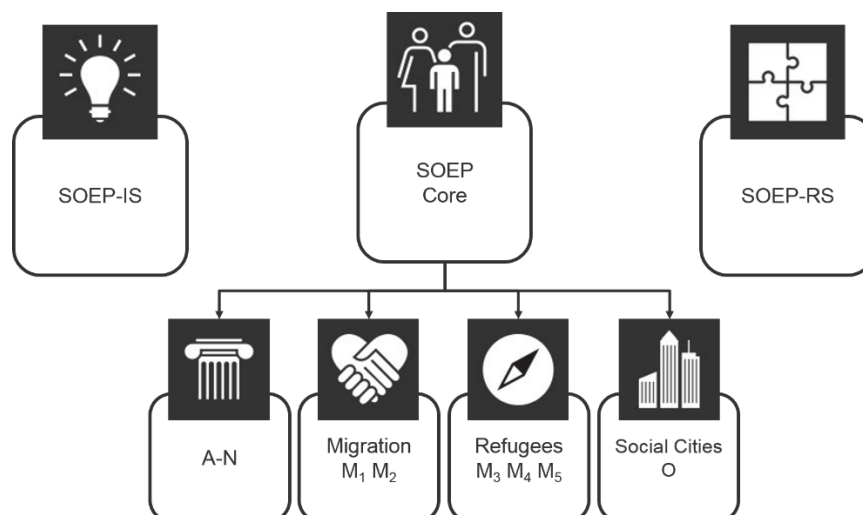
Since the first wave in 1984, Kantar in Munich has been responsible for the implementation of the survey – in particular, the development of the survey instruments, fieldwork, panel maintenance, data checking and processing. The tasks of Kantar also include methodological documentation and reporting. The present report refers to the survey conducted in 2018 in SOEP-Core, which includes the longitudinal samples A-N (**Part 1**), the migration and refugee samples M1/2 and M3-5 (**Parts 2 and 3**) as well as the most recent boost sample O that was established in 2018 (**Part 4**).

Overview of the SOEP-Core subsamples

The different SOEP-Core subsamples constitute the centerpiece of the Socio-Economic Panel study. In 2018, it consisted of four different compositions of samples that will be addressed in separate parts in this Wave Report (**Figure 0.1**).

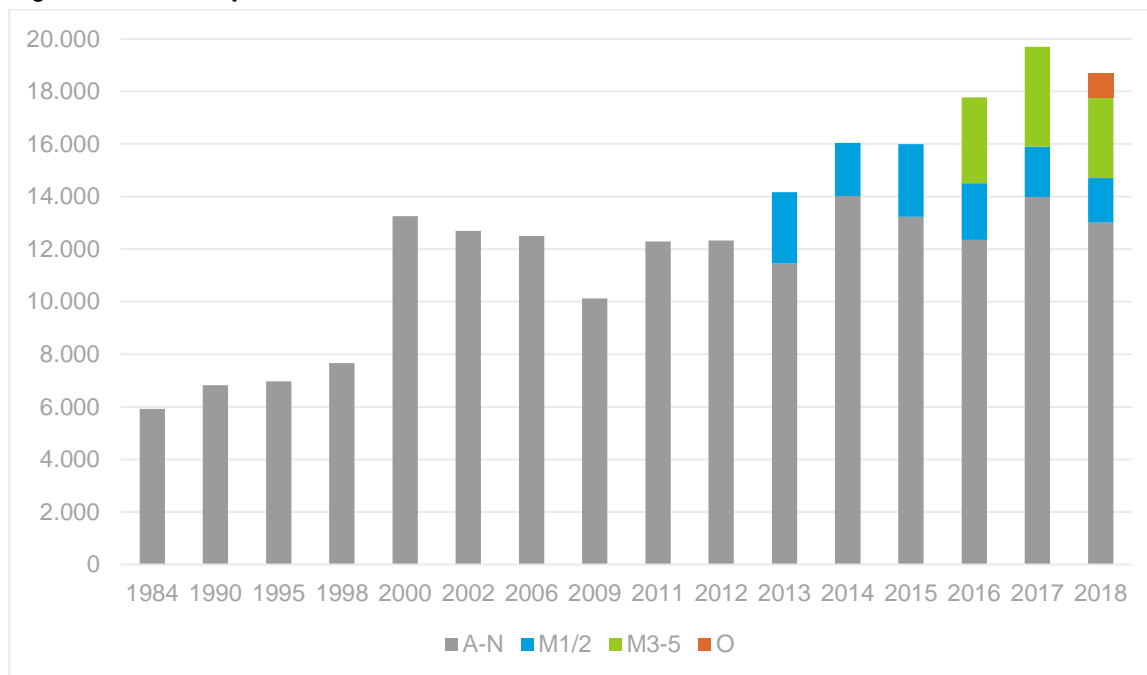
1. Within SOEP-Core, **samples A-N** form the heart of the SOEP. They contain the oldest samples, beginning with SOEP founding sample A from 1984 and the highest number of participating households (13,015 in 2018). Fieldwork traditionally starts at the beginning of February, and its questionnaires serve as a master for the other SOEP-Core subsamples.
2. The **SOEP migration survey** with its samples M1 and M2 was established in 2013 and is designed to improve the representation of migrants living in Germany. Fieldwork started in April, using the questionnaires from samples A-N, supplemented by translated questionnaires for five different languages.
3. In order to map recent migration and integration dynamics, **SOEP refugee samples** M3 to M5 were installed beginning in the year 2016. In 2018, fieldwork began in September with a questionnaire that was tailored to issues of recent refugees while containing many questions from the SOEP samples A-N as well.
4. **Sample O – the social cities sample**, is the newest addition to SOEP-Core in 2018. It consists of households in city districts with a special funding program called "Soziale Stadt" (Social City).

Figure 0.1: Overview of SOEP-Core subsamples



Starting with the first 5,924 participating households in 1984, SOEP-Core grew to 18,682 households in 2018. Over the years, more and more samples were added – sometimes samples of all households in Germany, sometimes special populations such as migrants or households with high incomes. In the last couple of years, boosts of the overall sample mainly originated from the migration samples (**Figure 0.2**).

Figure 0.2: Development of SOEP-Core since 1984 – number of households



The four different groups of samples displayed in **Figure 0.2** will be addressed in four different parts of this report. In the first chapter, fieldwork in the samples A-N in 2018 will be described in detail, followed by two parts that deal with migration samples M1/2 and M3-5. The last chapter addresses sample O, the newest addition to SOEP-Core in 2018.

1 Samples A-N

1.1 Introduction

Table 1.1 gives a short overview of the main characteristics of the 2018 wave for the samples A-N. 13,015 households from samples A-N participated between February and August. This results in a response rate of 85.3 percent. The response rate of households that participated in the previous wave was 90.5 percent. In all households, 21,667 adults and 1,229 youths gave interviews. For an additional 1,958 children of various age groups, data are available from interviews with a parent. 15 different questionnaires were fielded in up to five different modes. Partial unit non-response (PUNR¹) was at 25.3 percent, a higher rate than in the previous wave (21.0 percent). However, this increase was mostly driven by the integration of sample N that had a relatively high PUNR from the start.

Table 1.1: **Summary fieldwork A-N**

Fieldwork period	February – August
Mode (main questionnaires)	CAPI, PAPI, SELF, MAIL, CAWI
Gross sample (hh)	15,535
Net sample (hh)	13,015
Response rate (hh)	Overall: 85.3 Prev. wave respondents: 90.5 Prev. wave dropouts: 33.2 New households: 49.0
Number of questionnaires	Adults: 7 Youths: 3 Children: 5
Net sample (individuals)	Adults: 21,667 Youths: 1,229 Children: 1,958
Questionnaire length (median, in minutes)	Household: 15 Adult ¹ : 40
Partial unit non-response ²	25.3

¹ Without first-time respondents

² Share of households (number of household members > 1) with at least one missing individual questionnaire.

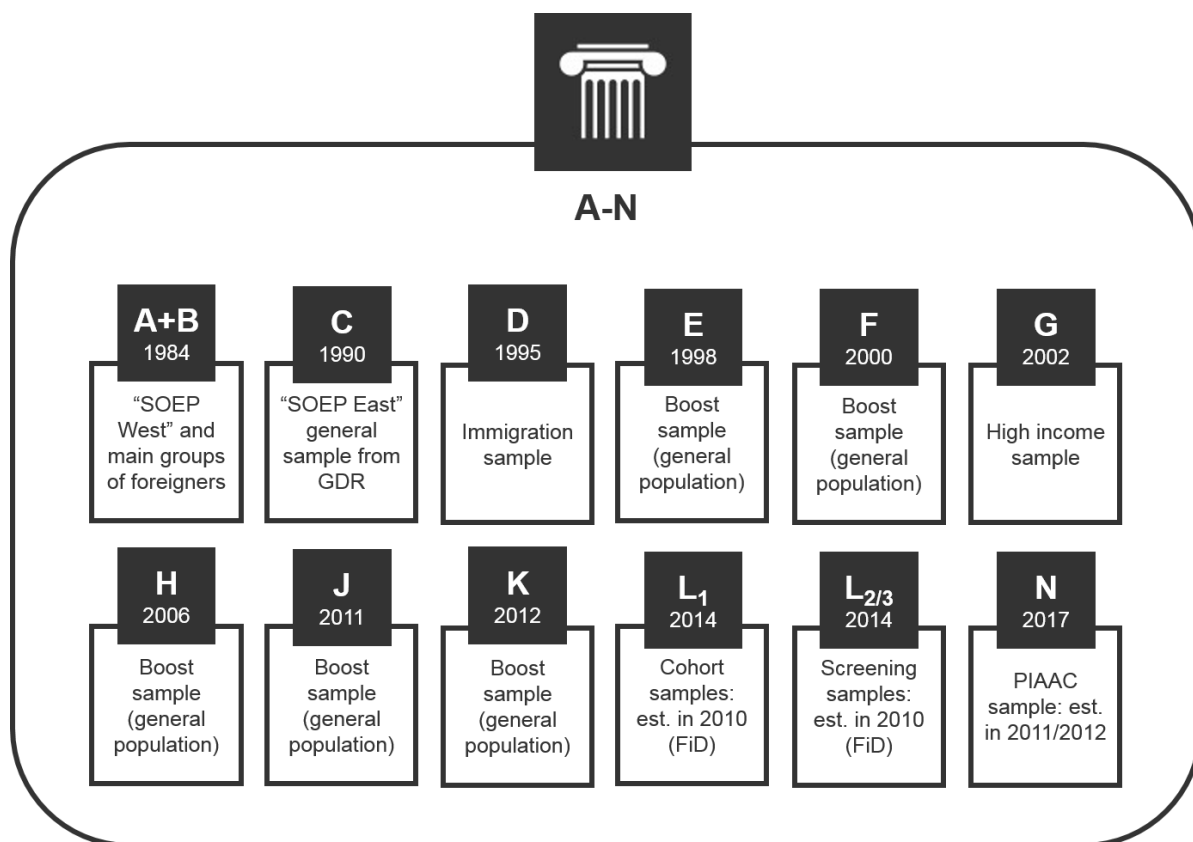
¹ PUNR: share of households (number of household members > 1) with at least one missing individual questionnaire.

One of the most significant changes in 2018 was the first-time introduction of record linkage in samples A-N. Before, only respondents from samples M1/2 and more recently M3-5 were asked for their consent to link their interview data to public records. So far, about half of the participants in samples A-N were willing to give this consent. Moreover, respondents from the former German Democratic Republic (GDR) received a one-time additional questionnaire about their life in the GDR. 2,315 interviews were obtained, resulting in a response rate of 79.3 percent. In terms of content, three short new sets of questions were integrated into the adult questionnaire: The Narcissistic Admiration and Rivalry Questionnaire Short Scale (NARQ-S), three questions about timekeeping at the job and the hourly salary as well as eight items on family-life and childcare from a gender and LGBT perspective.

1.2 Development samples A-N

Samples A-N contain the oldest SOEP samples A and B from 1984 and many other samples that were integrated into the study over the years. Some of them were designed to represent the general population while others were meant to improve sample sizes for special groups such as migrants, households with high income or families (**Figure 1.1**).

Figure 1.1: Overview of samples A-N



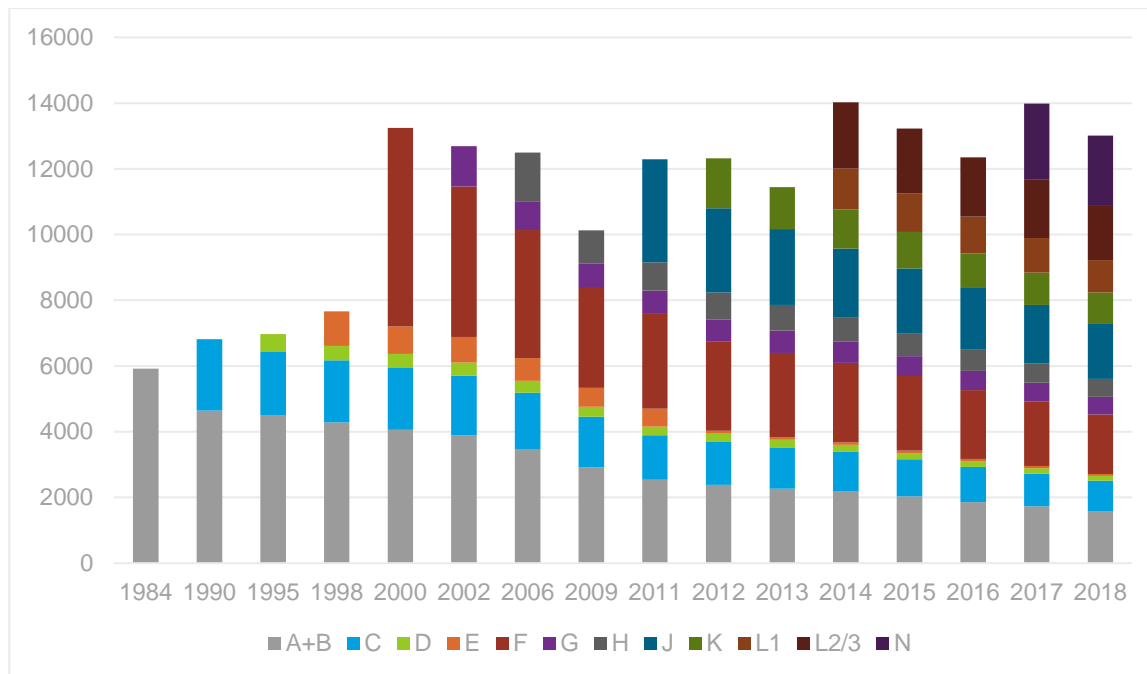
Households and individuals with the longest history of (continuous) panel participation took part for the 35th time in 2018 (samples A and B). Another eleven samples were added to SOEP samples A and B since 1984²:

- **Sample A “Residents in the Federal Republic of Germany” (1984)** is one of the two initial samples of the SOEP and covers 4,528 private households with a household head who does not belong to one of the main foreigner groups of “guest workers” (i.e. Turkish, Greek, Yugoslavian, Spanish or Italian households).
- **Sample B “Foreigners in the Federal Republic of Germany” (1984)** is one of the two initial samples of the SOEP and covers 1,393 private households with a Turkish, Greek, Yugoslavian, Spanish or Italian household head.
- **Sample C “German residents in the German Democratic Republic (GDR)” (1990)** covers persons in 2,179 private households in which the household head was a citizen of the GDR.
- **Sample D “Immigrants” (1994/95)** covers 531 private households in which at least one household member had moved from abroad to West Germany after 1984. It mainly consists of ethnic Germans migrating from Eastern Europe to Germany. This sample includes two subsamples which were drawn independently in 1994 (D1) and in 1995 (D2).
- **Sample E “Refreshment I” (1998)** added another 1,056 households to the SOEP. It is the first sample that was designed to be representative for all private households in both East and West Germany and the first of several regular refreshment samples drawn to increase the overall size of the SOEP, compensate for panel attrition and cover population changes, e.g. due to migration.
- **Sample F “Refreshment II” (2000)** covers 6,043 households and substantially increases the sample size of the SOEP. Households with at least one adult who does not have German citizenship were oversampled in Sample F.
- **Sample G “High income” (2002)** covers 1,224 households with a monthly income of at least 3,835 euros which – due to the lack of an adequate sampling frame – were identified using a telephone screening procedure. From Wave 2 in 2003 onwards, only households with a net monthly income of at least 4,500 euros were interviewed further.
- **Sample H “Refreshment III” (2006)** served as a general population refresher covering 1,506 private households in Germany.
- **Sample L1 “Cohort sample” (2010³)** covers 2,074 private households in Germany, in which at least one household member is a child born between January 2007 and March 2010. Again, migrants identified by an “onomastic procedure” are oversampled.
- **Samples L2/3 “Family types I/II” (2010³)** covers 3,424 private households in Germany that meet at least one of the following criteria regarding their household composition: single parents, low-income families and large families with three or more children. Since the eligible subpopulation is relatively small and an adequate sampling frame is lacking, a preceding telephone screening procedure identified eligible households.
- **Sample J “Refreshment IV” (2011)** is another general population refresher covering 3,136 households. A disproportional sampling design was implemented in order to increase the number of migrant households in the SOEP.
- **Sample K “Refreshment V” (2012)** is the last general population refresher so far, totaling 1,526 households.
- **Sample N “PIACC sample” (2017)** integrated 2,314 households of former participants of the Programme for the International Assessment of Adult Competencies (PIAAC).

² Source for sample sizes and descriptions until the year 2012: Martin Kroh, Simon Kühne, Rainer Siegers, Veronika Belcheva. 2018. SOEP-Core – Documentation of Sample Sizes and Panel Attrition (1984 until 2016). SOEP Survey Papers 480: Series C. Berlin: DIW/SOEP.

³ Samples L1-3 were part of the SOEP-related study “Familien in Deutschland” (FiD) that was established in 2010. After the project ended, the remaining families were integrated into the SOEP (2014).

Figure 1.2: Development of samples A-N since 1984 (number of households)



Between 1984 and 2018, the SOEP has been extended multiple times by different subsamples, leading to a diverse sampling structure (**Figure 1.2**). Of 5,921 households which comprised the first SOEP subsamples A and B in 1984, 1,581 households remained in the survey in 2018⁴. The total number of households participating in the survey as part of samples A-N has more than doubled since 1984, reaching a net sample of 13,015 households in 2018.

1.3 Structure of the gross sample

The result from the previous year's wave forms the basis for the gross sample of the following year (**Table 1.2**). All respondents (i.e. with and without refusal for the next wave) as well as temporary dropouts are transferred into the next wave. Reasons for a temporary dropout can be e.g. sickness or lack of time. Households that will not be willing or able to take part any more are coded as final dropouts and will not receive an invitation for the next year's survey wave. The same applies to households which dropped out temporarily in two consecutive waves ("two-year rule"). In 2017, 13,982 households were coded as respondents and 1,030 as temporary dropouts. Thus, 15,012 households from 2017 form the base sample for the survey wave in 2018.

Accordingly, the administered gross sample in 2018 (**Table 1.3**) can be divided into different types of households. Apart from respondents and temporary dropouts of the previous wave, there is a certain number of new households every year which are added to the gross sample. These households are split off from existing households within the survey, e.g. when young adults decide to leave the parental home to form their own household. The administered gross sample in 2018 includes a total of 15,535 households. 90 percent of

⁴ Including split-off households.

those households also participated in the previous wave, while 6.7 percent had dropped out temporarily. 3.3 percent of the gross sample are new households. The proportions vary only slightly between the different groups of subsamples.

Table 1.2: Final gross sample 2017 by sample

Household level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	16,427	100.0	6,982	100.0	3,145	100.0	1,213	100.0	2,280	100.0	2,807	100.0
Participating households without refusal for next wave	13,885	84.5	6,013	86.1	2,753	87.5	1,053	86.8	1,767	77.5	2,299	81.9
Participating households with refusal for next wave	97	0.6	68	1.0	10	0.3	2	0.2	2	0.1	15	0.5
Temporary dropouts	1,030	6.3	326	4.7	161	5.1	69	5.7	248	10.9	226	8.1
Final dropouts	1,169	7.1	488	7.0	182	5.8	63	5.2	169	7.4	267	9.5
2-year rule	246	1.5	87	1.2	39	1.2	26	2.1	94	4.1	0	0.0

Table 1.3: Administered gross sample 2018 by sample

Household level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	15,535	100.0	6,568	100.0	3,010	100.0	1,155	100.0	2,154	100.0	2,648	100.0
Participating households in previous wave	13,982	90.0	6,081	92.6	2,763	91.8	1,055	91.3	1,769	82.1	2,314	87.4
Temp. dropout in previous wave ²	1,034	6.7	329	5.0	161	5.3	69	6.0	248	11.5	227	8.6
New households (Split-off hh) ¹	519	3.3	158	2.4	86	2.9	31	2.7	137	6.4	107	4.0

¹ The gross sample consists of more cases than anticipated at the end of the previous wave because four households that did not participate in 2017 re-entered the panel.

Key household characteristics of the different samples are presented in **Table 1.4** and **Table 1.5**. In most samples, the majority of households consists of one or two household members. Samples L1 and L2/3 form an exception here because they originated from the “Families in Germany (FiD)” study that samples different kinds of family types. Further, **Table 1.4** includes an overview of the sample distribution in terms of the different states. In **Table 1.5**, two indicators to classify the household’s living environment are presented. The community type (BIK) indicator separates different municipality sizes by the number of inhabitants, distinguishing between center and periphery of city regions. The second community size indicator classifies municipality size into seven categories.

Table 1.4: Household characteristics by samples I

Household level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	15,012	100.0	6407	100.0	2,924	100.0	1,124	100.0	2,017	100.0	2,540	100.0
HH size												
1	4,157	27.7	2,072	32.3	981	33.5	35	3.1	298	14.8	771	30.4
2	5,400	36.0	2,712	42.3	1,227	42.0	68	6.0	530	26.3	863	34.0
3	2,094	13.9	801	12.5	342	11.7	199	17.7	341	16.9	411	16.2
4	2,078	13.8	627	9.8	243	8.3	502	44.7	334	16.6	372	14.6
5+	1,283	8.5	195	3.0	131	4.5	320	28.5	514	25.5	123	4.8
State												
Schleswig-Holstein	560	3.7	172	2.7	126	4.3	57	5.1	107	5.3	98	3.9
Hamburg	263	1.8	113	1.8	52	1.8	13	1.2	32	1.6	53	2.1
Lower Saxony	1,484	9.9	569	8.9	312	10.7	96	8.5	210	10.4	297	11.7
Bremen	117	0.8	42	0.7	15	0.5	11	1.0	20	1.0	29	1.1
North Rhine-Westphalia	2,942	19.6	1,237	19.3	552	18.9	236	21.0	404	20.0	513	20.2
Hesse	1,000	6.7	423	6.6	196	6.7	71	6.3	141	7.0	169	6.7
Rhineland Palatinate	688	4.6	325	5.1	138	4.7	66	5.9	64	3.2	95	3.7
Saarland	1,627	10.8	701	10.9	288	9.8	157	14.0	220	10.9	261	10.3
Baden-Wuerttemberg	2,361	15.7	929	14.5	504	17.2	186	16.5	327	16.2	415	16.3
Bavaria	137	0.9	63	1.0	33	1.1	4	0.4	14	0.7	23	0.9
Berlin	640	4.3	308	4.8	137	4.7	35	3.1	73	3.6	87	3.4
Brandenburg	625	4.2	303	4.7	107	3.7	28	2.5	90	4.5	97	3.8
Mecklenburg Western Pomerania	384	2.6	178	2.8	70	2.4	28	2.5	53	2.6	55	2.2
Saxony	1,012	6.7	490	7.6	176	6.0	65	5.8	111	5.5	170	6.7
Saxony-Anhalt	571	3.8	265	4.1	106	3.6	42	3.7	73	3.6	85	3.3
Thuringia	601	4.0	289	4.5	112	3.8	29	2.6	78	3.9	93	3.7

¹ Status as reported at the end of wave 2017. New households and households that re-joined the panel in 2018 but were not part of fieldwork in 2017 are thus missing.

Table 1.5: Household characteristics by samples II

Household level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	15,012	100.0	6,407	100.0	2,924	100.0	1,124	100.0	2,017	100.0	2,540	100.0
BIK type²												
0	3,807	25.4	1,729	27.0	715	24.5	297	26.4	454	22.5	612	24.1
1	1,396	9.3	645	10.1	247	8.4	79	7.0	159	7.9	266	10.5
2	2,268	15.1	985	15.4	465	15.9	139	12.4	325	16.1	354	13.9
3	2,220	14.8	884	13.8	399	13.6	212	18.9	327	16.2	398	15.7
4	328	2.2	158	2.5	54	1.8	32	2.8	41	2.0	43	1.7
5	1,132	7.5	465	7.3	200	6.8	67	6.0	164	8.1	236	9.3
6	1,746	11.6	716	11.2	350	12.0	151	13.4	248	12.3	281	11.1
7	1,363	9.1	538	8.4	302	10.3	90	8.0	197	9.8	236	9.3
8	487	3.2	171	2.7	136	4.7	33	2.9	67	3.3	80	3.1
9	265	1.8	116	1.8	56	1.9	24	2.1	35	1.7	34	1.3
Community size³												
1	860	5.7	391	6.1	149	5.1	56	5.0	119	5.9	145	5.7
2	1,418	9.4	541	8.4	297	10.2	125	11.1	190	9.4	265	10.4
3	4,090	27.2	1,722	26.9	786	26.9	342	30.4	557	27.6	683	26.9
4	2,681	17.9	1,141	17.8	518	17.7	182	16.2	364	18.0	476	18.7
5	1,397	9.3	552	8.6	271	9.3	112	10.0	226	11.2	236	9.3
6	2,147	14.3	983	15.3	417	14.3	109	9.7	287	14.2	351	13.8
7	2,419	16.1	1,077	16.8	486	16.6	198	17.6	274	13.6	384	15.1

¹ Status as reported at the end of wave 2017. New households and households that re-joined the panel in 2018 but were not part of fieldwork in 2017 are thus missing.

² BIK type: 0 (more than 500,000 inhabitants/center) 1 (more than 500,000 inh./periphery), 2 (100,000 to 499,999 inh./center)

3 (100,000 to 499,999 inh./periphery), 4 (50,000 to 99,999 inh./center), 5 (50,000 to 99,999 inh./periphery), 6 (20,000 to 49,999 inh.), 7 (5,000 to 19,999 inh.), 8 (2,000 to 4,999 inh.), 9 (fewer than 2,000 inh.).

³ Community size: 1 (fewer than 2,000 inhabitants), 2 (2,000 to 5,000 inh.), 3 (5,000 to 20,000 inh.), 4 (20,000 to 50,000 inh.), 5 (50,000 to 100,000 inh.), 6 (100,000 to 500,000 inh.), 7 (more than 500,000 inh.).

1.4 Questionnaires and fieldwork material

1.4.1 Questionnaires

In 2018, a total of 16 questionnaires and instruments were used for the SOEP survey in samples A-N (**Table 1.6**). All questionnaires, especially the questionnaire for households and the individual questionnaire, are modified and extended on an annual basis. Slight adjustments of the item order or question text usually serve the purpose of methodological advancement. Other modifications are needed in order to comply with societal and political modernization processes to continuously enable adequate measurement. Additionally, several special modules are integrated into the questionnaires following a fixed rotation over multiple years. The following section briefly describes all questionnaires.

Table 1.6: **Questionnaires and modes**

	A-L1, N	L2/3
	CAPI/PAPI	CAPI/CAWI
Household questionnaire	✓	✓
Individual questionnaire	✓	✓
Life-history questionnaire	✓	✓
Youth questionnaire: age 16 or 17	✓	✓
Cognitive competency tests ¹	✓	-
Youth questionnaire: age 13 or 14	✓	✓
Youth questionnaire: age 11 or 12	✓	✓
Mother and child questionnaire: age 9 or 10	✓	✓
Questionnaire for parents: age 7 or 8	✓	✓
Mother and child questionnaire: age 5 or 6	✓	✓
Mother and child questionnaire: age 2 or 3	✓	✓
Mother and child questionnaire: newborn	✓	✓
Questionnaire "Gap"	✓	✓
Questionnaire "Deceased person"	✓	✓
Questionnaire "Grip strength"	✓	-
Questionnaire "Living in the former GDR" ²	✓	-

¹ Only in PAPI mode. ² Only in PAPI mode, not in sample N.

Household questionnaire

The household questionnaire needs to be completed by only one individual per household, most suitably by the one with best knowledge about the respective matter. It includes questions about:

- Housing and related expenditures
- Household income, social benefits, rental income and investment returns
- Potential loan burden and opportunity to accumulate assets
- Care-dependent household members, their degree of need and caregivers
- Children living in the household, their schools and care facilities

In the household questionnaire 2018, one entirely new follow-up question about savings and one new replication module about what floor of the building a household's residence is on were added. The questions about expenditures on food were asked for the 10th time, while the high income/low income, which is included only about every 10 years, was asked for the 4th time. Finally, in the children's activities module, respondents were asked to state which activities their children pursue.

Individual questionnaire

The individual questionnaire is answered by all adult household members (2018: participants born in 2000 or earlier). Usually, more changes and modifications are applied to this questionnaire from year to year than to any of the others. Certain questions and topics are included, following fixed rotations of 2 to 10 years. New items can be developed or old items reintegrated. The instrument includes questions about:

- Current life situation
- Important changes during the last year
- Current job
- Health and illness
- Attitudes and opinions
- Family situation

In 2018, new questions on an array of different topics were added:

- Changes in employment
- Working hours and hourly wages
- Gender attitudes
- Further education
- Share of migrants in the circle of friends
- Narcissism

The rotating modules that were included in 2018 were:

- Integration indicators
- Healthy diet
- Attitudes toward refugees
- Health SF-12
- Trust
- Patience and impulsiveness
- Minimum wage
- Division of household budget between partners
- Donations

- Last election

Also, several questions which were asked before but not in a fixed replication cycle were included in the 2018 individual questionnaire:

- Personal feelings and confidence in the future
- Habits regarding money and banking
- Possible changes in employment
- Private, employer-funded and statutory pension

Additional questionnaires

Apart from the household and individual questionnaires, 14 additional questionnaires were used in 2018. These questionnaires were not answered by all individuals or households in the sample but by particular groups of persons:

- The **life-history questionnaire** is completed by all new respondents joining a panel household (born 2000 or earlier). It mainly collects biographical background information and is applied only once per person.
- The **youth questionnaire age 16 or 17** is answered by household members of the respective age (2018: born in 2001). It replaces the individual questionnaire as well as the life-history questionnaire and focuses on biographical information. It is surveyed once per person.
- In addition to the youth questionnaire: age 16 or 17, the **cognitive competency test** is used after the questionnaire in order to measure the adolescent's level of development. The test entails three exercises with fixed time limits for each one. It is surveyed on paper and only in interviewer-assisted modes since interviewer presence is a necessary prerequisite.
- In 2016, the **youth questionnaire age 13 or 14** was included for the first time to survey household members born in 2004. It closes a gap between the first questioning of young panel members at the age of 11 or 12 and their regular participation in the survey at the age of 19.
- With the **youth questionnaire age 11 or 12** for household members born in 2006, which was integrated for the first time in 2014, the entry age for young panel members was considerably reduced. The instrument focuses on topics such as school, leisure, health, self-perception as well as friendship and family life.
- For households with children, five more instruments were used in 2018. Mothers of newborn children (born in 2018 or 2017 after the previous survey wave) were asked to complete the **mother and child questionnaire newborn**. Mothers of 2- or 3-year-old children (2018: born in 2015) were asked to answer a respective **mother and child questionnaire 2 or 3**. Similar instruments were available for three more age groups as shown in **Table 1.6**. For children born in 2010, not only the mother but both parents were asked to complete the **questionnaire for parents age 7 or 8**.
- Individuals who temporarily dropped out in the previous wave were asked to complete the **questionnaire "gap"** which is a very short version of the last wave's individual questionnaire. It aims to minimize gaps in longitudinal data on panel members.
- The **questionnaire "deceased person"** is addressed to individuals who lost one of their family members in the year of the survey or the previous year.

Apart from these 'standard' additional questionnaires which are applied in every wave, two 'special' questionnaires were used in 2018.

- The **questionnaire "grip strength"** is used for individuals whose grip strength is measured with a special device. It serves as an objective indicator of a person's health and was first applied in 2006. Grip strength is measured every two years.
- Household members who lived in the territory of the former GDR before 1990 and were born in 1972 or earlier were asked to answer the **questionnaire "living in the former GDR."**

The primary interviewing method in samples A-N is face-to-face with computer-assisted personal interviewing (CAPI) or paper-and-pencil interviewing (PAPI), while a small number of households is interviewed via self-administered mail questionnaires (MAIL). For sample L2/3, a multi-mode design using computer-assisted web interviews (CAWI) as well as regular face-to-face interviewing (CAPI) is applied. As depicted in **Table 1.6**, questionnaires that require an interviewer's presence, such as the cognitive competency test and the questionnaire "grip strength," are excluded for this subsample as well as the questionnaire "living in the former GDR."

1.4.2 Fieldwork material

In addition to the questionnaires, a whole range of fieldwork materials, such as letters, leaflets or documents for the interviewers, are designed, printed and sent to households and interviewers. **Table 1.7** provides an overview of the different material types that are prepared in samples A-N for the different survey modes.

Advance letter

About two weeks before the start of the fieldwork period, the households that are to take part in CAPI or PAPI mode receive an advance letter in which the interviewer's visit is announced. In samples A-H, which generally do not receive a cash incentive,⁵ an announcement letter is not sent to the household head but to every individual household member who took part in the study in the previous wave. This letter encloses a 5-euro lottery ticket as an unconditional incentive.

For households in the MAIL mode, there is a two-way approach. In households that usually agree to a phone call prior to the actual fieldwork period to update the information about the household structure, all respondents from the previous wave receive the 5-euro lottery ticket as an unconditional incentive.⁵ After the phone call, these households will receive another envelope with all the questionnaires they are to fill out in the current wave. Households that have opted out of the phone call but remain in the study will receive their questionnaires right away.

Households in CAWI mode receive an advance letter with the login information for all household members that are to fill in a questionnaire online.

Thank-you letter

Some time after participating in the study, each household in modes CAPI, PAPI and MAIL receives a thank-you letter with a postage stamp enclosed as a small gift. Respondents from samples A-H (CAPI, PAPI and

⁵ A small number of households in sample A-H (CAPI, PAPI, MAIL) receives a cash incentive because they used to be part of an incentive experiment (see chapter 1.5.4).

MAIL mode) that had not received the 5-euro lottery ticket as an unconditional incentive before the start of fieldwork – either because they were new to the panel or because they had not taken part in the previous wave – receive an additional, individual thank-you letter with the 5-euro lottery ticket.

Thank-you letters for CAWI respondents also include their incentive in the form of a voucher. The participants can choose at the end of the questionnaire whether they prefer to receive this voucher via e-mail or letter.

Table 1.7: Overview of fieldwork material

	CAPI	PAPI	MAIL	CAWI
Advance letter	<ul style="list-style-type: none"> • A-H (lottery ticket/cash) • J-K, L1, N (cash) • L2-3 (cash) 	<ul style="list-style-type: none"> • A-H (lottery ticket/cash) 	<ul style="list-style-type: none"> • With short phone interview (lottery ticket/check) • Without short phone interview (lottery ticket/check) 	With login information
Thank-you letter	Thank-you letter	Thank-you letter	Thank-you letter	Thank-you letter including incentive <ul style="list-style-type: none"> • Mail • E-mail
Reminder letter	-	-	<ul style="list-style-type: none"> • Reminder 1 • Reminder 2 • Reminder 3 	Reminder 1 (non-response on hh level) Reminder 2 (partial unit non-response)
Special letters during field time	-	-	<ul style="list-style-type: none"> • New households • New person in hh • Mode switchers 	New households New person in hh Mode switchers
Leaflet	<ul style="list-style-type: none"> • Lottery ticket • Cash 	<ul style="list-style-type: none"> • Lottery ticket • Cash 	<ul style="list-style-type: none"> • No cash • Check 	CAWI
Declaration on data protection	<ul style="list-style-type: none"> • A-H, J-K, L1, N • L2-3 	A-H	A-H	L2-3
Consent to record linkage form	• DRV ¹	DRV ¹	--	--
Address form and household grid ²	Electronic form (Mein Kantar)	Paper form	Paper form	Electronic form (database mask for phone interviewers)
Showcards	• Same for all samples	--	--	--
Project instruction book	<ul style="list-style-type: none"> • A-H, J-K, L1, N • L2-3 	A-H	Short instruction manual for phone interviewers updating the hh grid	Handout for phone interviewers updating the hh grid
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card • HH information card • PUNR Flyer 	<ul style="list-style-type: none"> • Project description • Contact card • HH information card • PUNR Flyer 	--	--
Material for grip strength measurement	<ul style="list-style-type: none"> • Grip strength measurement device • Manual 	<ul style="list-style-type: none"> • Grip strength measurement device • Manual 	--	--

¹ Deutsche Rentenversicherung: Link to German state pension data.

² Including the so-called "B3 Form" that is used for processing address changes.

Reminder letter

In the MAIL and CAWI modes, letters are not only sent out at the beginning and end of the fieldwork period but also in between to remind households to take part in the study. Households in the MAIL mode receive up to three reminders. In CAWI mode, two reminders are sent out – one to address non-response on the household level and another one to address missing individual questionnaires.

Special letters during field time

In MAIL and CAWI mode, there is also a need to send out other, more specialized letters, depending on the situation of the household. If a new household or person is identified during field time, e.g. because a child moved out or a new person joined the household, this new household or person receives paper questionnaires or login information for the online questionnaires. Another occasion for special letters during field time are mode switches from CAPI/PAPI to MAIL/CAWI.

Leaflet

Every household receives an eight-page leaflet with SOEP reports and published results. In CAPI and PAPI modes, the leaflet is handed over by the interviewer, while it is sent via mail in the MAIL and CAWI modes. There are four slightly different versions, differing by incentive types: cash/lottery ticket (A-N without L2/3) and cash/voucher (L2/3).

Declaration on data protection

Every household gets access to a two-page declaration on data protection detailing the organizations that are responsible for processing all respondent data along with a description of data handling and data recipients. The sheet is handed out by the interviewers in CAPI and PAPI modes and sent via e-mail in the MAIL and CAWI modes. There are two versions of the declaration on data protection because the list of suppliers differs slightly between samples A-N without L2/3 and L2/3.

Consent to record linkage form

To all respondents born in 2000 or later, a consent to record linkage form was presented that allows an individual linkage between the respondent's data and their account data from the German Pension Insurance (Deutsche Rentenversicherung, DRV). Members of the CAPI sample could sign either on the touch screen of the interviewer's laptop or on paper. Members of the PAPI sample received a personalized consent form on paper. The households participating in MAIL mode and samples L2/3 did not receive this form.

Address form and household grid

The address form provides an overview of the household composition as it was last known to Kantar. The interviewers must document when and with whom the survey was conducted or why a sample member did not participate in the current year. They are also asked to note every single contact attempt made.

Moreover, the interviewers are asked to carefully document any moves of households and household members or changes in the household composition. An additional form had to be completed for every person that has left the household since the last survey because all of these persons remain potential respondents and are tracked even if the new address is unknown.

Interviewers do this electronically in the "Mein Kantar" software for CAPI and in paper form for PAPI. For the households in the MAIL mode that receive a phone call prior to the start of fieldwork, the woman who calls them fills out a paper form. For the participants in MAIL mode who do not receive a phone call, information about the household composition is extracted from the questionnaires by members of the SOEP team at

Kantar. In CAWI mode, the team that calls households from a telephone studio enters contact data, reasons for a refusal to participate and household information into a database screen.

Showcards

Showcards are used by CAPI interviewers during the interview to show respondents longer item lists or scales.

Project instruction book

In addition to a shorter project description, interviewers in CAPI and PAPI mode receive a highly detailed instruction manual that is about 75 pages long. This manual contains information on special features of the current wave, specific processing instructions and questionnaires as well as background information on the project. There are two different versions of this manual – one for samples A-N without L2/3 and another one for L2/3. The phone interviewers in MAIL and CAWI mode who call to update household information receive a short instruction manual (MAIL) or a handout of the slides shown during interviewer training (CAWI).

Other interviewer material

In addition, the interviewers get contact cards for households that could not be reached at home and household information cards with information on individual numbers, names, years of birth, types of questionnaires, incentives, survey modes and notes. They also receive a few flyers on the subject of “Partial Unit Non-Response” that can be used to explain why it is so important for the survey that every adult household member takes part in the SOEP.

Material for grip strength measurement

For the grip strength measurement, which is conducted only in a certain group of households in CAPI and PAPI mode, some interviewers were provided with a grip strength measurement device together with a user manual on how to instruct and administer the grip test.

1.5 Conducting the survey

1.5.1 Survey mode

Since the SOEP was launched in 1984, face-to-face interviewing has been the primary method of data collection. Up to 2000, all face-to-face interviews were conducted using paper-and-pencil interviews (**PAPI**). Since then, SOEP interviewers have gradually started using laptops to conduct interviews in **CAPI** (computer-assisted personal interviewing). Since sample J in 2011, CAPI has been used exclusively to interview the respondents from refresher samples. However, PAPI is still used to collect data from the respondents in samples A–H if they prefer, or if their interviewer does not have a laptop.

Another method of interviewing is used in multi-person households from samples A–H. Individuals who were unable to provide an interview while the interviewer was present are offered the option of completing a paper questionnaire on their own as a means of reducing partial unit non-response (PUNR). The option of interviewing more than one person simultaneously with the help of paper questionnaires can be useful for reducing the overall length of interviewer visits to households with many members, thereby increasing participation. This method is a mixture of face-to-face interviewing and self-administered interviewing (**SELF**). Although this option is actually an exception, the longer a sample exists, the more frequently it is used to ensure low PUNR in larger households.

Another type of fieldwork processing used exclusively in core samples A–H is known as “central administration of fieldwork” (**MAIL**) in which respondents complete their questionnaires at home and return them by mail. This was first used as a refusal conversion process in the second wave of the SOEP in 1985 and is focused on households that did not agree to any further visits from an interviewer or could not be convinced by interviewers to participate for other reasons. As part of this process, households are contacted by telephone and asked to keep participating in the study. If this is successful, basic household information is collected or updated, and the questionnaires are sent by mail. Thus, in these households, questionnaires are fully self-administered. This mode shift often leads to a conversion of soft refusals, in turn improving the stability of long-term samples A–H.

The last addition to the SOEP in terms of survey modes is computer-assisted web interviewing (**CAWI**); this was introduced when samples L2/3 were integrated into the SOEP in 2014. The samples switched from an exclusively interviewer-assisted mode to a CATI/CAWI hybrid approach, followed by CAPI. The aim in every wave is, on the one hand, to recruit as many households as possible for participation by internet, and on the other hand, to maintain a high panel stability rate. The gross sample is thus divided into various subgroups depending on the mode of participation in previous years. Households that participated online at least once since 2014 were processed online first in 2018. This includes households that participated in CAPI in 2017 but did not explicitly refuse to do the interviews online. A CAPI interviewer was immediately sent to households that rejected the CAWI mode in previous waves. Households that did not answer the CAWI questionnaires during the first three months of CAWI fieldwork were sent a CAPI interviewer as well. In order to reduce both potential qualitative disadvantages and negative response-rate effects of using CAWI instead of CAPI, CATI interviewers contacted each household in the CAWI population to encourage online participation. They also made a list of all household members to ensure that the right set of CAWI questionnaires would be provided.

The following tables display the interviewing modes applied for each respective questionnaire while separating different groups of samples. **Table 1.8** shows that 66.6 percent of all individual interviews in 2018 were conducted via CAPI. Apart from that, paper-and-pencil interviews (PAPI) are still conducted with a small number of people, especially from the older samples A-H (3.5 percent). Some participants prefer to answer the questionnaires on their own – either with or without the interviewer present (SELF, 14.0 percent). 10.0 percent of all individual questionnaires in 2018 were sent to the panel members via mail, completed and then returned (MAIL). Finally, 5.1 percent of all individual interviews in 2018 were conducted via web interviewing (CAWI). This mode is used exclusively for respondents in sample L2/3. Within this sample, 39.5 percent of all individual questionnaires in 2018 were completed in CAWI mode.

Table 1.8: Interviewing modes by sub-samples – individual questionnaire

Individual level	Interviewer-Based			Centrally Administered			
	CAPI	PAPI	SELF	MAIL	CAWI	Total	
A-H	Abs.	3,183	757	2,978	2,171	0	9,089
	In %	35.0	8.3	32.8	23.9	0.0	100.0
J, K, L1, N	Abs.	9,347	1	46	0	0	9,394
	In %	99.5	0.0	0.5	0.0	0.0	100.0
L2/3	Abs.	1,907	0	0	0	1,277	3,184
	In %	59.9	0.0	0.0	0.0	40.1	100.0
Total	Abs.	14,437	758	3,024	2,171	1,277	21,667
	In %	66.6	3.5	14.0	10.0	5.9	100.0

The older samples A-H are characterized by considerable variation regarding the different modes (**Table 1.8**). CAPI as the primary interviewing mode is only used for roughly a third of all individual interviews in this group of samples. SELF and MAIL interviews are almost as common in these samples. By contrast, for the newer samples J, K, L1 and N, CAPI is used for 99.5 percent of all individual questionnaires.

Table 1.9: Interviewing modes by sub-samples – household questionnaire

Individual level	Interviewer-Based			Centrally Administered		Total	
	CAPI	PAPI	SELF	MAIL	CAWI	Total	
A-H	Abs.	2,106	544	1,545	1,384	0	5,579
	In %	37.7	9.8	27.7	24.8	0.0	100.0
J, K, L1, N	Abs.	5,707	1	23	0	0	5,731
	In %	99.6	0.0	0.4	0.0	0.0	100.0
L2/3	Abs.	1,014	0	0	0	662	1,676
	In %	60.5	0.0	0.0	0.0	39.5	100.0
Total	Abs.	8,827	545	1,568	1,384	662	12,986
	In %	68.0	4.2	12.1	10.7	5.1	100.0

Regarding the household questionnaires (**Table 1.9**), the distribution over the different modes is comparable to the one presented. For the youth questionnaires (**Table 1.10**) and the child questionnaires (**Table 1.11**), the share of the different modes is also relatively similar, at least in the total sample.

Table 1.10: Interviewing modes by sub-samples – youth questionnaires

Individual level	Interviewer-Based			Centrally Administered		Total	
	CAPI	PAPI	SELF	MAIL	CAWI		
A-H	Abs.	58	19	96	80	0	253
	In %	22.9	7.5	37.9	31.6	0.0	100.0
J, K, L1, N	Abs.	383	3	70	1	0	457
	In %	83.8	0.7	15.3	0.2	0.0	100.0
L2/3	Abs.	295	0	12	0	212	519
	In %	56.8	0.0	2.3	0.0	40.8	100.0
Total	Abs.	736	22	178	81	212	1,229
	In %	59.9	1.8	14.5	6.6	17.2	100.0

Table 1.11: Interviewing modes by sub-samples – child questionnaires

Individual level	Interviewer-Based				Centrally Administered		
		CAPI	PAPI	SELF	MAIL	CAWI	Total
A-H	Abs.	123	18	179	138	0	458
	In %	26.9	3.9	39.1	30.1	0.0	100.0
J, K, L1, N	Abs.	1,082	11	141	3	0	1,237
	In %	87.5	0.9	11.4	0.2	0.0	100.0
L2/3	Abs.	164	1	2	2	94	263
	In %	62.4	0.4	0.8	0.8	35.7	100.0
Total	Abs.	1,369	30	322	143	94	1,958
	In %	69.9	1.5	16.4	7.3	4.8	100.0

1.5.2 Fieldwork timing

For samples A-H, J-K, L1 and N, data collection covered a period of roughly seven months. Fieldwork started at the end of January, while the last interviews were conducted in early September. Within the first three full months, 78.2 percent of all net interviews for these samples were completed, as indicated by the figures in **Table 1.12**. For sample L2/3, data collection started in July and was finalized in December. Within the first three months, 86.0 percent of all interviews were completed in this sample. For all samples, the last months of fieldwork are dedicated to contacting difficult-to-reach households and respondents, which includes:

- Households requiring tracing of new addresses
- New households
- Respondents who are difficult to reach due to work-related absence, a stay in a foreign country or an ongoing illness
- Respondents who refuse their participation due to lack of time

The extensive follow-up processing during the final months of the fieldwork period is substantial in the effort to minimize panel mortality and maintain high levels of panel stability in all samples.

Table 1.12: **Monthly fieldwork progress by sub-samples**

Household Level	A-H, J-K, L1, N				L2/3			
	Gross Sample		Net Sample		Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
January ¹	186	1.4	49	0.4	-	-	-	-
February	3,608	27.0	3,315	29.2	-	-	-	-
March	3,497	26.1	3,246	28.6	-	-	-	-
April	2,525	18.9	2,269	20.0	-	-	-	-
May	1,839	13.7	1,487	13.1	-	-	-	-
June	1,084	8.1	746	6.6	-	-	-	-
July	405	3.0	189	1.7	629	29.2	573	34.2
August	227	1.7	33	0.3	747	34.7	651	38.8
September	10	0.1	5	0.0	287	13.3	218	13.0
October	-	-	-	-	237	11.0	150	8.9
November	-	-	-	-	178	8.3	75	4.5
December	-	-	-	-	76	3.5	9	0.5

¹ Including households that refused to take part in the survey prior to the start of fieldwork.

1.5.3 Translations

Interviewers receive translated paper questionnaires that can be used as an aid when conducting the interview via CAPI or PAPI mode. The questionnaire for households as well as the individual questionnaire are available in three foreign languages: English, Russian and Turkish (**Table 1.13**).

Table 1.13: Translated paper questionnaires

	English	Russian	Turkish
Household questionnaire	✓	✓	✓
Individual questionnaire	✓	✓	✓
Life-history questionnaire	-	-	-
Youth questionnaires	-	-	-
Mother and child questionnaires/ questionnaire for parents	-	-	-
Additional questionnaires ¹	-	-	-

¹ Gap, Deceased person, Grip strength, Living in the former GDR.

1.5.4 Panel maintenance and incentives

Before fieldwork began, all households from samples A-N received a letter announcing the beginning of the new wave. For almost all households in samples A-H, the letter included a lottery ticket as an unconditional incentive for every adult who participated in the last wave. Due to an experiment that was conducted a few years ago, a group of approx. 600 households in samples A-H receives a cash incentive instead (**Table 1.14**). Participants in the newer samples J, K and L1 receive cash incentives as well. The individual questionnaire is rewarded with 10 euros, while the shorter household questionnaire is rewarded with 5 euros.

Participants in sample L2/3 earn 5 euros for every questionnaire, including the youth and child questionnaire. Additionally, a household receives a bonus payment of 10 euros if all individual questionnaires have been completed. Participants who completed the survey in CAWI mode received their incentive as vouchers by mail or e-mail depending on personal preference. For CAPI participants, the interviewer paid the incentive in cash.

Table 1.14: Incentives samples A-N

	A-H	J, K, L1, N	L2/3
Incentives for adults	Lottery ticket: 5,951 hh Cash ¹ : 617 hh	HH: 5 euros Adult: 10 euros	HH: 5 euros Adult: 5 euros Bonus payment: 10 euros
Incentives for youth and child questionnaire	Youth quest.: age 16 or 17: Power bank Youth quest.: age 13 or 14: CAPI/PAPI: Small clock; MAIL: Map of Germany + Post-its Youth quest.: age 11 or 12: Small puzzle Child quest.: No incentive		All youth quest.: 5 euros All child quest.: 5 euros

¹ As part of an incentive experiment: same cash incentives as in samples J-N; participants in MAIL mode received a check.

In addition to the individual incentives, interviewers bring a small gift to all households which is presented upon arrival. This year's gift was a branded tea towel. Furthermore, parents of newborns receive a small photo album via mail. Neither of these gifts are given to households in samples L2/3.

1.5.5 Movers and tracing

Table 1.15 provides figures for the number of households requiring address inquiry including movers as well as new households. For this year's survey wave, 1,602 households (10.3 percent) were subject to address inquiry. 1,425 of these households were successfully traced, which amounts to a success rate of 89.0 percent. The most important source of information about addresses were the interviewers (43.3 percent), followed by the local registration offices (29.8 percent) that provide information about residents' current addresses if there is a scientific interest behind the inquiry. Another significant source is the postal service that movers sometimes notify of their new address (17.0 percent). Sometimes, participants themselves let us know about a move. But this source amounts to only 9.9 percent of address information about movers and new households.

Table 1.15: **Movers and sources of new addresses of administered sample 2018**

Household Level	Total		A-H, J-K, L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	15,535	100.0	13,381	100.0	2,154	100.0
Movers and new households	1,602	10.3	1,290	9.6	312	14.5
Success tracing						
Tracing successful	1,425	89.0	1,163	90.2	262	84.0
Tracing not successful	177	11.0	127	9.8	50	16.0
Source						
Interviewer	694	43.3	601	46.6	93	29.8
Postal service	272	17.0	237	18.4	35	11.2
Local registration offices	477	29.8	345	26.7	132	42.3
Participant	159	9.9	107	8.3	52	16.7

1.5.6 Interviewer characteristics, training & monitoring

For samples A-N, a total of 513 interviewers were active in 2018 (**Table 1.16**). Among those interviewers, gender is distributed relatively evenly with a slightly higher presence of male interviewers. Interviewer age is relatively high, with 71.0 percent of all interviewers being between 60 and 79 years old. This not only holds true for the older samples A-H but also for the more recently established samples. Most interviewers processed between 20 and 99 households this year, but there are also 106 interviewers who were responsible for fewer than five households.

Table 1.16: Interviewer characteristics

Interviewer Level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	513	100.0	426	100.0	282	100.0	185	100.0	250	100.0	239	100.0
Gender												
Male	287	55.9	237	55.6	161	57.1	108	58.4	144	57.6	135	56.5
Female	226	44.1	189	44.4	121	42.9	77	41.6	106	42.4	104	43.5
Age												
21-39 years	8	1.6	5	1.2	4	1.4	3	1.6	4	1.6	5	2.1
40-59 years	104	20.3	84	19.7	54	19.1	45	24.3	49	19.6	60	25.1
60-79 years	364	71.0	300	70.4	210	74.5	127	68.6	186	74.4	165	69.0
80+ years	37	7.2	37	8.7	14	5.0	10	5.4	11	4.4	9	3.8
Number of households (gross)												
Fewer than 5	106	20.6	160	37.6	93	33.0	95	51.4	138	54.8	65	27.2
5 – 19	180	35.0	200	46.9	150	53.2	84	45.4	106	42.1	139	58.2
20 – 99	216	41.9	66	15.5	39	13.8	6	3.2	8	3.2	35	14.6
More than 99	13	2.5	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0

Table 1.17 gives an overview of interviewer experience, both with Kantar overall and with the SOEP specifically. Interviewers with ten and more years of experience were particularly present in the older samples A-H while interviewers with less experience (0-9 years) were more frequent in the more recently added samples L2/3 and N. 37 Interviewers conducting interviews for the SOEP (almost) since the beginning of the study.

Table 1.17: Interviewer experience

Interviewer Level	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	513	100.0	426	100.0	282	100.0	185	100.0	250	100.0	239	100.0
Experience with Kantar												
0-4 years	65	12.7	40	9.4	30	10.6	18	9.7	34	13.6	32	13.4
5-9 years	112	21.8	80	18.8	80	28.4	43	23.2	65	26.0	64	26.8
10-19 years	158	30.8	136	31.9	104	36.9	86	46.5	98	39.2	91	38.1
20-29 years	97	18.9	91	21.4	39	13.8	21	11.4	30	12.0	28	11.7
30-39 years	55	10.7	54	12.7	21	7.4	12	6.5	16	6.4	17	7.1
More than 40 years	26	5.1	25	5.9	8	2.8	5	2.7	7	2.8	7	2.9
Experience with SOEP												
0-4 years	104	21.4	64	16.1	53	19.0	32	17.4	55	22.1	48	20.2
5-9 years	176	36.3	137	34.4	138	49.5	83	45.1	113	45.4	113	47.5
10-19 years	130	26.8	126	31.7	62	22.2	52	28.3	57	22.9	54	22.7
20-29 years	38	7.8	36	9.0	15	5.4	10	5.4	15	6.0	14	5.9
30-34 years	37	7.6	35	8.8	11	3.9	7	3.8	9	3.6	9	3.8

For the interviewer training in January 2018, the so-called “contact interviewer training format” was used again. In a central, one-day event, members of the SOEP team at Kantar, the field organization and representatives from the DIW trained contact interviewers who then in turn trained the interviewers in the regions for which they are responsible.

Contents of the training were:

- Scope, timing and procedure of the various SOEP studies in 2018
- Importance of high response rates and low partial unit non-response for the SOEP surveys
- Special features of the 2018 survey year:
 - Record linkage Deutsche Rentenversicherung (link to German state pension data)
 - Additional questionnaire “Living in the former GDR”
 - New sample O (“Social Cities”)

Kantar places high priority on interviewer monitoring and has put an ISO-certificated process in place that is audited regularly. Kantar adheres to the German Business Association of Market and Social Research Institutes (Arbeitskreis Deutscher Markt- und Sozialforschungsinstitute e.V., ADM) standards for internal regulation and monitoring of all systems and procedures. This means that a minimum of 10 percent of Kantar’s annual interviews are checked, and every interviewer is monitored at least once a year.

In 2018, we expanded these existing quality-control measures for interviewer monitoring in the SOEP projects. The basic interviewer monitoring concept was expanded to a project-based control system for all SOEP

samples: A number of participating households is contacted shortly after the interview by letter or phone asking them to confirm their participation in a regularly conducted interview. In case of inconsistencies and/or irregularities, we attempt to gain clarification through direct contact with respondents, primarily by telephone.

Table 1.18 shows details for the re-contacting process in samples A-N. In existing panel samples, the aim is to re-contact at least 10 percent of households for every interviewer in every SOEP project. However, the average share of re-contacted households in A-N was significantly higher, at 24.9 percent in 2018. There are several reasons for this. First, for interviewers who are responsible for only a few households, more than 10 percent of their households were re-contacted to generate a sufficient response. Second, for interviewers with low response rates from re-contacted households, the number of re-contacted households was sometimes increased. In terms of survey mode, a short paper questionnaire was followed up by phone for interviewers with a response rate significantly below 30 percent.

Overall, we re-contacted 2,475 households in samples A-N and received feedback from 1,481 households. This results in a response rate of 70.0 percent overall. Using the results from the re-contacting process, we identified one interviewer who had not adhered to our standards in conducting interviews in the 2018 fieldwork period. The households were then interviewed by another interviewer, and the respondents stated that they had been interviewed correctly in the previous waves up until 2017.

Table 1.18: **Interviewer monitoring**

	Abs.	In %	In %
By households			
Households in net sample ¹	9,955	100.0	-
Re-contacted households	2,475	24.9	100.0
Households with feedback	1,681	16.9	70.0
By interviewers			
Interviewers in net sample ¹	482	100.0	-
Interviewers with re-contacted households	479	99.4	-
Interviewers with non-standard behavior	1	0.2	-

¹ Interviewer based, A-N without L2/3.

In 2019, we will be further intensifying our interviewer monitoring processes by also using paradata and interview data in all SOEP samples starting soon after fieldwork begins. Results from these data checks will be shared regularly with the SOEP team at DIW Berlin to discuss what steps to take with interviewers who show irregularities and to develop indicators. We are currently working on offering respondents an option to answer the short questionnaire online as part of the re-contacting process.

1.6 Fieldwork results

1.6.1 Participation on household level

Table 1.19 displays participation and reasons for dropping out for three different types of households. Of 15,535 households in samples A-N, 13,015 households took part in the survey in 2018 (83.8 percent).

Table 1.19: **Participation by type of household (with AAPOR codes)**

	Total		Respondents in previous wave		Dropouts in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	15,535	100.0	13,982	100.0	1,034	100.0	519	100.0
Interview (1.0)	13,015	83.8	12,429	88.9	333	32.2	253	48.7
Complete (1.1)	10,731	69.1	10,288	73.6	222	21.5	221	42.6
Partial (1.2)	2,284	14.7	2,141	15.3	111	10.7	32	6.2
Non-Interview (2.0)	2,520	16.2	1,553	11.1	710	67.8	266	51.3
Temporary dropout	869	5.6	737	5.3	26	2.5	106	20.4
Non-contact (2.20)	206	1.3	175	1.3	1	0.1	30	5.8
Temporary refusal (2.11)	560	3.6	489	3.5	14	1.4	57	11.0
Temporarily physically or mentally unable/incompetent (2.321)	57	0.4	57	0.4	0	0.0	0	0.0
Household could not be traced (temporary) (3.18; 2.4)	35	0.2	14	0.1	3	0.3	18	3.5
Other temp. (2.52)	11	0.1	2	0.0	8	0.8	1	0.2
Final Dropout	1,651	10.6	816	5.8	675	65.3	160	30.8
Permanent refusal (2.111)	1,017	6.5	591	4.2	344	33.3	82	15.8
Permanently physically or mentally unable/incompetent (2.322)	111	0.7	91	0.7	17	1.6	3	0.6
Deceased (2.31)	75	0.5	67	0.5	8	0.8	0	0.0
Moved abroad (4.2)	6	0.0	5	0.0	1	0.1	0	0.0
Household dissolved (4.2)	33	0.2	28	0.2	5	0.5	0	0.0
Household untraceable (4.4)	113	0.7	33	0.2	24	2.3	56	10.8
Dropped out temporarily in two consecutive waves	296	1.9	1	0.0	276	26.7	19	3.7

From all households that participated in the previous year, 88.9 percent were successfully recruited again in this year's wave. Additionally, 333 households which had dropped out during the previous year were reintegrated into the survey (32.2 percent). Of all new households, 48.7 percent were successfully converted into participating households (n=253). 2,520 households (16.2 percent of the gross sample) did not take part in the current wave. Roughly a third of these households dropped out temporarily and will be contacted again next year. The remaining dropouts are permanent, so respective households will not be contacted again. The main reason for final dropouts by far is permanent refusal, while reasons such as sickness or unsuccessful tracing do not account for many dropouts.

Table 1.20: **Participation by sample (with AAPOR codes)**

	Total		A-H		J-K		L1		L2/3		N	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	15,535	100.0	6,568	100.0	3,010	100.0	1,155	100.0	2,154	100.0	2,648	100.0
Interview (1.0)	13,015	83.8	5,608	85.4	2,626	87.2	991	85.8	1,676	77.8	2,114	79.8
Complete (1.1)	10,731	69.1	4,756	72.4	2,247	74.7	865	74.9	1,357	63.0	1,506	56.9
Partial (1.2)	2,284	14.7	852	13.0	379	12.6	126	10.9	319	14.8	608	23.0
Non-Interview (2.0)	2,520	16.2	960	14.6	384	12.8	164	14.2	478	22.2	534	20.2
Temporary dropout	869	5.6	306	4.7	114	3.8	61	5.3	234	10.9	154	5.8
Non-contact (2.20)	206	1.3	27	0.4	31	1.0	17	1.5	76	3.5	55	2.1
Temporary refusal (2.11)	560	3.6	242	3.7	56	1.9	37	3.2	136	6.3	89	3.4
Temporarily physically or mentally unable/incompetent (2.321)	57	0.4	23	0.4	21	0.7	3	0.3	4	0.2	6	0.2
Household could not be traced (temporary) (3.18; 2.4)	35	0.2	9	0.1	4	0.1	4	0.3	14	0.6	4	0.2
Other temp. (2.52)	11	0.1	5	0.1	2	0.1	0	0.0	4	0.2	0	0.0
Final Dropout	1,651	10.6	654	10.0	270	9.0	103	8.9	244	11.3	380	14.4
Permanent refusal (2.111)	1,017	6.5	452	6.9	134	4.5	69	6.0	127	5.9	235	8.9
Permanently physically or mentally unable/incompetent (2.322)	111	0.7	66	1.0	38	1.3	0	0.0	0	0.0	7	0.3
Deceased (2.31)	75	0.5	49	0.7	21	0.7	1	0.1	1	0.0	3	0.1
Moved abroad (4.2)	6	0.0	3	0.0	0	0.0	0	0.0	2	0.1	1	0.0
Household dissolved (4.2)	33	0.2	17	0.3	6	0.2	3	0.3	7	0.3	0	0.0
Household untraceable (4.4)	113	0.7	31	0.5	21	0.7	9	0.8	27	1.3	25	0.9
Dropped out temporarily in two consecutive waves	296	1.9	36	0.5	50	1.7	21	1.8	80	3.7	109	4.1

Table 1.20 displays fieldwork results on the household level for different samples and sample groups. The participation rate was slightly higher for the samples A-H, J-K and L1 than for CAWI/CAPI samples L2/3 and for the newest sample N.

Table 1.21: Participation by type of fieldwork 2017 (with AAPOR codes)¹

	Total		Interviewer-based		MAIL ²		CAWI ³	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	15,535	100.0	13,010	100.0	1,656	100.0	869	100.0
Interview (1.0)	13,015	83.8	10,964	84.3	1,361	82.2	690	79.4
Complete (1.1)	10,731	69.1	9,129	70.2	1,071	64.7	531	61.1
Partial (1.2)	2,284	14.7	1,835	14.1	290	17.5	159	18.3
Non-Interview (2.0)	2,520	16.2	2,046	15.7	295	17.8	179	20.6
Temporary dropout	869	5.6	629	4.8	121	7.3	119	13.7
Non-contact (2.20)	206	1.3	182	1.4	0	0.0	24	2.8
Temporary refusal (2.11)	560	3.6	357	2.7	117	7.1	86	9.9
Temporarily physically or mentally unable/incompetent (2.321)	57	0.4	55	0.4	0	0.0	2	0.2
Household could not be traced (temporary) (3.18; 2.4)	35	0.2	29	0.2	2	0.1	4	0.5
Other temp. (2.52)	11	0.1	6	0.0	2	0.1	3	0.3
Final Dropout	1,651	10.6	1,417	10.9	174	10.5	60	6.9
Permanent refusal (2.111)	1,017	6.5	850	6.5	132	8.0	35	4.0
Permanently physically or mentally unable/incompetent (2.322)	111	0.7	100	0.8	11	0.7	0	0.0
Deceased (2.31)	75	0.5	69	0.5	6	0.4	0	0.0
Moved abroad (4.2)	6	0.0	3	0.0	2	0.1	1	0.1
Household dissolved (4.2)	33	0.2	21	0.2	8	0.5	4	0.5
Household untraceable (4.4)	113	0.7	104	0.8	5	0.3	4	0.5
Dropped out temporarily in two consecutive waves	296	1.9	270	2.1	10	0.6	16	1.8

¹ By mode in which the household participated in 2017; For new households, mode in which the old households participated in 2017.

² All households in the MAIL mode used to be dropouts in the interviewer-based mode and were willing to continue participation via mail.

³ Households with start mode CAWI automatically switch to interviewer-based mode if they fail to participate online. Households from sample L2/3 with start mode interviewer can also switch to CAWI if they express interest in participating online.

Table 1.21 presents the level of participation for the different types of fieldwork. Since the mode can be switched during the wave if the household does not take part in the initial mode, it is important to note that the table relies on the final mode in which the household participated in the previous wave. So, a household that is interviewed in CAWI mode first in 2018 might have participated in the interviewer-based mode if it failed to fill out the online questionnaires. This was the case for 11.9 percent of the households that started in CAWI mode (**Table 1.22**).

With 84.3 percent, the highest level of participation is reached in the interviewer-based mode, followed by the MAIL mode that achieved 82.2 percent. CAWI mode as used in sample L2/3 produced slightly lower levels of participation. In 2018, 79.4 percent of households took part in the study, either via CAWI or via interviewer-based mode. With 13.7 percent, the CAWI mode shows a higher tendency towards temporary dropouts compared to other types of fieldwork. The percentage of final dropouts in turn is lower for web interviews.

Table 1.22: **Type of fieldwork 2018 by type of fieldwork 2017¹**

2018	2017							
	Total		Interviewer-based		MAIL		CAWI	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Interview	13,015	100.0	10,964	100.0	1,361	100.0	690	100.0
Interviewer-based	10,969	84.3	10,881	99.2	6	0.4	82	11.9
MAIL	1,384	10.6	29	0.3	1,355	99.6	0	0.0
CAWI	662	5.1	54	0.5	0	0.0	608	88.1

¹ By mode in which the household participated in 2017; For new households, mode in which the old households participated in in 2017.

The overall response rate as well as the respective response rates for three different types of households are displayed in **Table 1.23**. To calculate the response rate, the total number of participating households is divided by the gross sample minus households which were impossible to survey in the present year. This includes households which moved abroad and households that cannot be surveyed due to sickness or because the last household member died. The overall response rate for this year's survey amounts to 85.3 percent. For households that participated in the previous wave, a response rate of 90.5 percent was reached. Response rates for the other two types of households, dropouts in the previous wave and new households, are generally lower. These amounted to 33.2 percent and 49.0 percent, respectively, in 2018.

Table 1.23: **Response rate by type of household (in percent)**

	Total	Respondents in previous wave	Dropouts in previous wave	New households
Response rate ¹	85.3	90.5	33.2	49.0

¹ RR= all households with at least one hh interview and one individual interview/(households in gross sample – households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate, or dissolved households where the last member moved into another SOEP household).

Response rates for different samples and sample groups are presented in **Table 1.24**. Sample groups A-H, J-K as well as sample L1 all score response rates over 85 percent. With 78.3 percent for L2/3 and 80.3 percent for N, response rates are slightly lower for these samples. These results mirror the general tendency of older samples and interviewer-administered samples to gain higher response rates.

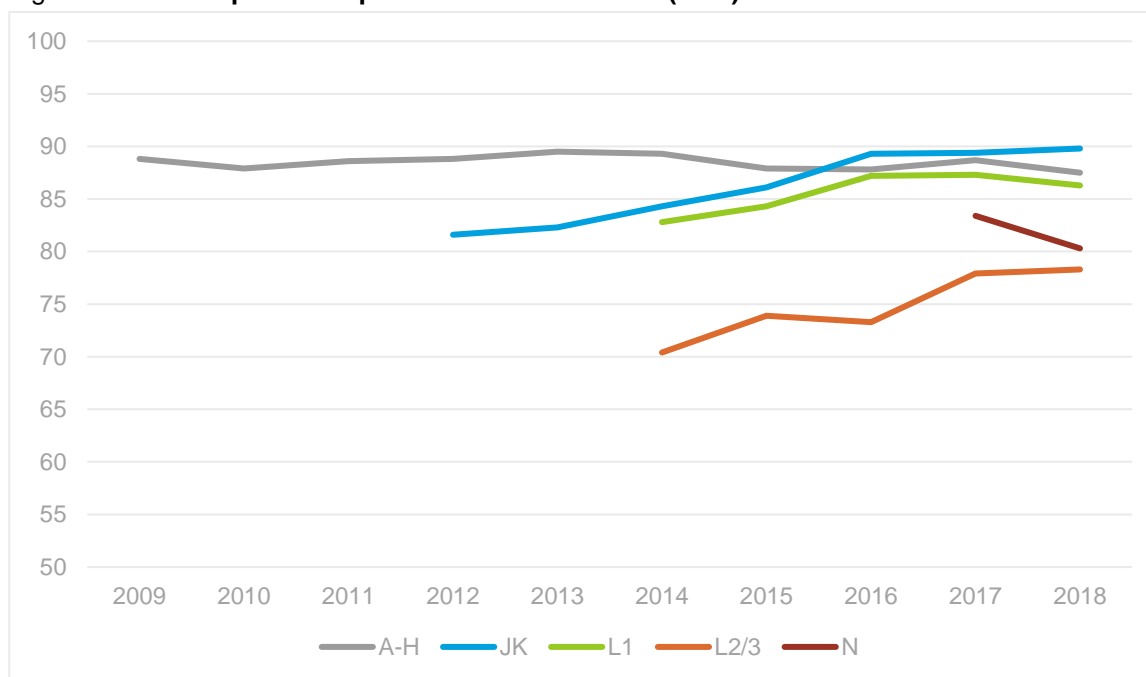
Table 1.24: Response rate by sample (in percent)

	Total	A-H	J-K	L1	L2/3	N
Response rate ¹	85.3	87.5	89.8	86.3	78.3	80.3

¹ RR= all households with at least one hh interview and one individual interview/(households in gross sample – households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

As depicted in **Figure 1.3**, the response rates for samples A-H have been fairly stable between 2009 and 2018. After a continuous rise in response rates since their inclusion, samples J and K have been exceeding the response levels of the older samples since 2016. The response rates for L1 followed a similar path on a slightly lower level. Meanwhile, L2/3 started out on a much lower level than L1 in 2014 and increased by almost 20 percentage points in the following years. With 80.3 percent for sample N in 2018, the response rate decreased compared to the prior year (83.4 percent) in which the sample was integrated. This somewhat surprising finding for a second wave is due to the fact that temporary dropouts from the previous wave were contacted again in 2018. Usually, households that fail to participate in the first wave are not included in the gross sample of the following wave.

Figure 1.3: Development response rates¹ since 2009 (in %)

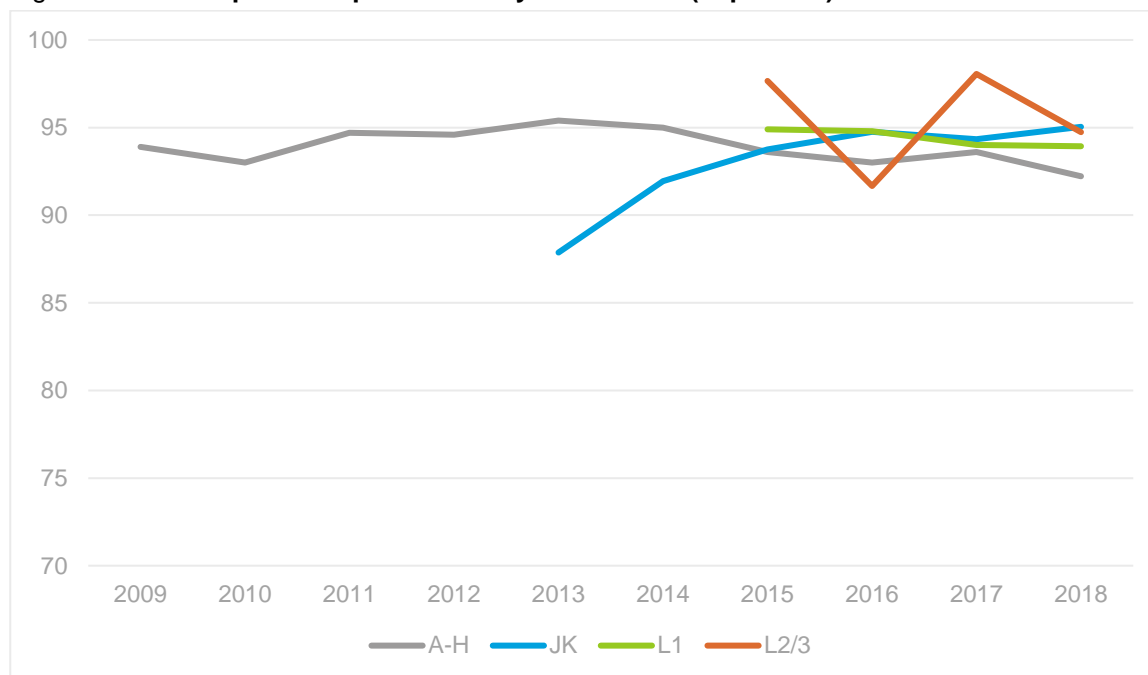


¹ RR= all households with at least one hh interview and one individual interview/(households in gross sample – households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

From a long-term perspective, panel stability can serve as an interesting indicator when monitoring and predicting a longitudinal sample's development in terms of overall size. Panel stability is calculated as the number of households participating in the current year compared to the number from the previous year. It reflects the net total effects of panel mortality on the one hand and panel growth (through new/split-off households or households that "re-joined" the panel) on the other hand.

In order to meaningfully assess panel stability rates over the years, the various subsamples should be processed for at least five consecutive waves. After this time period, the panel stability rates of samples are usually consolidated and therefore comparable. **Figure 1.4** shows that panel stability for sample groups A-H and J-K as well as for sample L1 has been relatively solid between 2008 and 2018. The level of stability slightly fluctuated between 2011 and 2013 for sample group A-H but never dropped below 90 percent. Panel stability for sample J-K shows a slight upward trend starting at 92 percent in 2014 and surpassing 95 percent in 2018. Panel stability for sample L2/3 shows a slight upward trend starting at 92 percent in 2014 and surpassing 95 percent in 2018.

Figure 1.4: Development of panel stability¹ since 2009 (in percent)



¹ Number of participating households divided by previous wave's net sample.

1.6.2 Participation on individual level

As presented in **Table 1.25**, 22,129 individuals from the core sample took part in the survey in 2018, which equals 75.3 percent of the gross sample. Respectively, 24.7 percent of all possible respondents in the gross sample did not participate this year. 17.2 percent of those individuals dropped out of the survey permanently and will not be approached by the interviewer again, while 7.5 percent will be asked to participate again in next year's survey wave. Regarding all respondents from the previous wave, 87 percent took part in the present year. From 4,929 temporary dropouts in 2017, 1,135 individuals were successfully reintegrated in 2018. Additionally, 175 new panel members were recruited from existing or newly established households. Also, 557 young adults reached the age required to fully participate in the survey with the youth questionnaire for 16- to 17-year-olds. 71.6 percent of them did so.

Table 1.25: **Participation by panel status (with AAPOR codes)**

	Total		Respondents in previous wave		Dropouts in previous wave		New panel members ¹		Youths ²	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample ³	29,371	100.0	23,472	100.0	4,929	100.0	413	100.0	557	100.0
Interview (1.0)	22,129	75.3	20,420	87.0	1,135	23.0	175	42.4	399	71.6
Non-interview (2.0)	7,242	24.7	3,052	13.0	3,794	77.0	238	57.6	158	28.4
Temporary dropout	2,191	7.5	1,608	6.9	253	5.1	172	41.6	158	28.4
Non-contact (2.20)	108	0.4	67	0.3	28	0.6	13	3.1	0	0.0
Temporary refusal (2.112)	1,713	5.8	1,416	6.0	175	3.6	122	29.5	0	0.0
Temp. physically or mentally unable (2.321)	26	0.1	20	0.1	4	0.1	2	0.5	0	0.0
Person could not be traced (temporary) (3.18; 2.4)	41	0.1	36	0.2	5	0.1	0	0.0	0	0.0
Other temp. (2.52)	303	1.0	69	0.3	41	0.8	35	8.5	158	28.4
Final Dropout	5,051	17.2	1,444	6.2	3,541	71.8	66	16.0	0	0.0
Permanent refusal (2.111)	4,713	16.0	1,187	5.1	3,464	70.3	62	15.0	0	0.0
Perm. physically or mentally unable (2.322)	21	0.1	11	0.0	6	0.1	4	1.0	0	0.0
Deceased (2.31)	170	0.6	154	0.7	16	0.3	0	0.0	0	0.0
Moved abroad (4.2)	23	0.1	18	0.1	5	0.1	0	0.0	0	0.0
Person untraceable (4.4)	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Other final ¹	124	0.4	74	0.3	50	1.0	0	0.0	0	0.0

¹ New household members who have never been part of the panel (adult or youth (age 16/17)). ² Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17). ³ All household members intended to participate with the adult or youth questionnaire in the current wave, not restricted to members of participating households.

The following **Table 1.26** includes the response rates for the different types of respondents. In total, an individual response rate of 76.0 percent was accomplished. For respondents in the previous wave, the response rate was 87.8 percent.

Table 1.26: Response rate by panel status (in percent)

	Total	Respondents in previous wave	Dropouts in previous wave	New panel members ²	Youths ³
Response rate ¹	76.0	87.8	23.2	43.0	71.6

¹ RR= all participants (year of birth <2002) / (individuals gross sample (year of birth <2002) – (persons who are deceased, moved abroad or are temporarily or permanently unable to participate), not restricted to members of participating households.

² New household members who have never been part of the panel (adult or youth (age 16/17)).

³ Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17).

Along with response rates, the rate of partial unit non-response (PUNR) serves as a critical indicator to measure the success of the fieldwork process in a household survey. Of 13,015 households that took part in the survey in 2018, 10,731 were not missing any interviews from adults or 16- to 17-year-old youths (**Table 1.19**). In the SOEP, we measure PUNR only for households with more than one household member. These rates are displayed in **Tables 1.27** and **1.28**.

In 2018, PUNR was 25.3 percent in samples A–N with notable differences between the samples. L1 shows the best measures with 14.8 percent, while PUNR in sample N is at 39.9 percent. In part, these differences might be due to the different heritage of these two samples. Sample L1 was introduced to the households as a family study, stressing the importance of both parents' participating in the survey. Meanwhile, the source of households in sample N is the study PIACC (Programme for the International Assessment of Adult Competencies) which focused on individuals only in the first wave.

Table 1.27: Partial unit non-response by sample (PUNR, in percent)

	Total	A-H	J-K	L1	L2/3	N
PUNR ¹	25.3	23.0	22.9	14.8	25.4	39.3

¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

Table 1.28: Partial unit non-response¹ by type of fieldwork 2018 (PUNR, in percent)

	Total	Interviewer-based	MAIL ²	CAWI ³
PUNR ¹	25.3	24.3	31.4	29.8

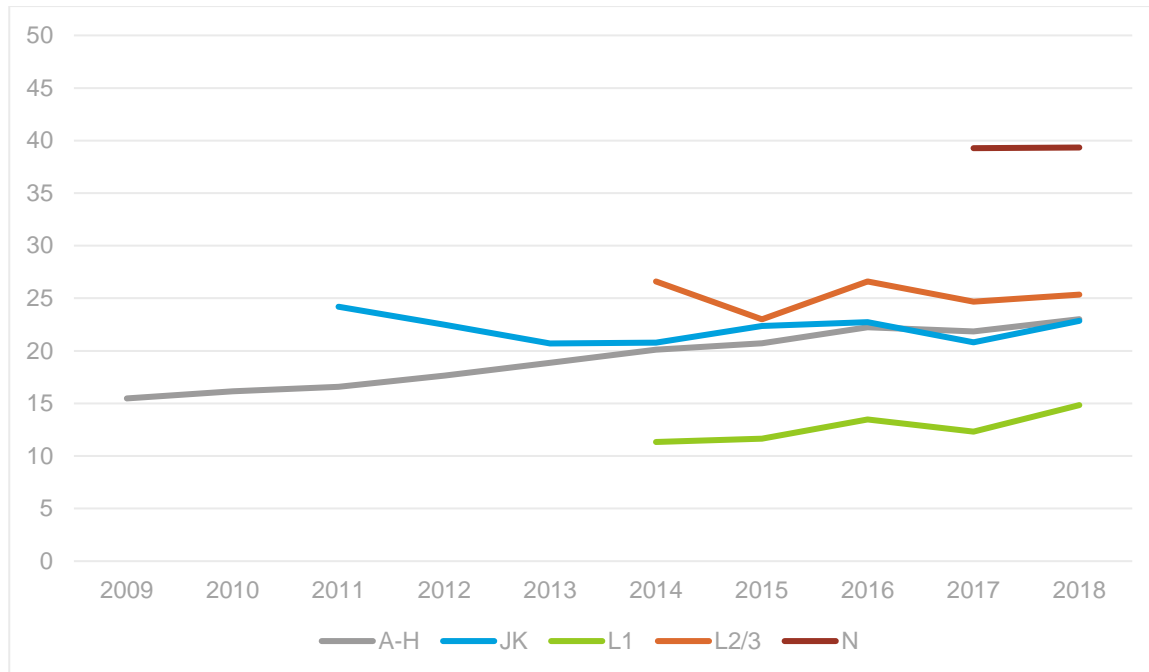
¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

² All households in the MAIL mode used to be dropouts in the interviewer-based mode but were willing to continue participation via mail.

³ Households with start mode CAWI automatically switch to interviewer-based mode if they fail to participate online. Households from sample L2/3 with start mode interviewer can also switch to CAWI, if they express interest in participating online.

The results in **Table 1.28** show that there are also differences in PUNR for the modes. Interviewers seem to be slightly more successful in generating complete households, with a PUNR of 24.3 percent compared to MAIL or CAWI, with rates around 30 percent.

Figure 1.5: Development partial unit non-response¹ since 2009 (PUNR, in percent)



¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

Looking at the last ten years, there is a slight upward trend visible concerning PUNR for some of the samples (**Figure 1.5**). This trend affects mainly the oldest samples A-H as well as sample L1, albeit at a generally much lower level of partial unit non-response.

1.6.3 Participation by types of questionnaires

The numbers of completed questionnaires for each sample or sample group respectively are presented in **Table 1.29**. Most individual questionnaires were completed in sample group A-H, followed by J-K and N. The highest number of life-history questionnaires was answered in the most recent addition to the SOEP, sample N. In sample L2/3, high numbers of youth questionnaires were realized because of the specific age structure and high number of children in these samples. L1 stands out with a high number of questionnaires for mothers and children because it consists of families with at least one child born in the years 2007 to 2010.

Table 1.29: Number of interviews by sample and questionnaire

	Total	A-H	J-K	L1	L2/3	N
Household questionnaire	13,015	5,608	2,626	991	1,676	2,114
Individual questionnaire	21,730	9,152	4,209	1,825	3,184	3,360
Life-history questionnaire	358	59	51	11	66	171
Youth questionnaire: age 16 or 17	402	86	47	36	188	45
Cognitive competency tests	182	59	45	37	-	41
Youth questionnaire: age 13 or 14	441	93	46	86	185	31
Youth questionnaire: age 11 or 12	392	76	39	89	146	42
Mother and child questionnaire: age 9 or 10	612	102	50	267	124	69
Questionnaire for parents: age 7 or 8 ¹	857	113	63	516	73	92
Questionnaire for parents: age 7 or 8 ²	509	72	38	298	47	54
Mother and child questionnaire: age 5 or 6	291	86	51	82	29	43
Mother and child questionnaire: age 2 or 3	256	78	45	49	31	53
Mother and child questionnaire: newborn	220	71	36	30	32	51
Questionnaire "Gap"	447	151	84	55	157	-
Questionnaire "Deceased person"	369	140	84	31	37	77
Questionnaire "Grip strength"	8,105	3,112	2,387	972	-	1,634
Questionnaire "Living in the former GDR"	2,315	1,672	584	59	-	-

¹ Total number of questionnaires filled out by either mother or father.

² Number of children for which at least one questionnaire was filled out.

Table 1.30 shows again that CAPI is the interviewing mode applied for the majority of interviews. In 2018, 66.6 percent of all individual questionnaires were completed via CAPI. Apart from CAPI, self-interviewing is the most widespread mode for individual interviews, with 3,024 cases in 2018. This is different for youth questionnaires, where CAWI is the second most applied interviewing mode. The questionnaire "Living in the former GDR" was submitted exclusively via self-interviewing.

Table 1.30: Number of interviews by mode and questionnaire

		Interviewer-Based			Centrally Administered		Total ¹
		CAPI	PAPI	SELF	MAIL	CAWI	
Household questionnaire	abs.	8,827	545	1,568	1,384	662	12,986
	In %	68.0	4.2	12.1	10.7	5.1	100.0
Individual questionnaire	abs.	14,437	758	3,024	2,171	1,277	21,667
	In %	66.6	3.5	14.0	10.0	5.9	100.0
Life-history questionnaire	abs.	280	13	30	13	21	357
	In %	78.4	3.6	8.4	3.6	5.9	100.0
Youth questionnaire: age 16 or 17	abs.	237	7	51	27	80	402
	In %	59.0	1.7	12.7	6.7	19.9	100.0
Cognitive competency tests	abs.	-	-	182	-	-	182
	In %	-	-	100.0	-	-	100.0
Youth questionnaire: age 13 or 14	abs.	252	4	72	28	80	436
	In %	57.8	0.9	16.5	6.4	18.3	100.0
Youth questionnaire: age 11 or 12	abs.	247	11	55	26	52	391
	In %	63.2	2.8	14.1	6.6	13.3	100.0
Mother and child questionnaire: age 9 or 10	abs.	422	9	104	26	51	612
	In %	69.0	1.5	17.0	4.2	8.3	100.0
Questionnaire for parents: age 7 or 8 ²	abs.	574	21	191	41	26	853
	In %	67.3	2.5	22.4	4.8	3.0	100.0
Mother and child questionnaire: age 5 or 6	abs.	189	6	26	26	10	257
	In %	73.5	2.3	10.1	10.1	3.9	100.0
Mother and child questionnaire: age 2 or 3	abs.	163	1	30	22	11	227
	In %	71.8	0.4	13.2	9.7	4.8	100.0
Mother and child questionnaire: newborn	abs.	136	1	28	23	6	194
	In %	70.1	0.5	14.4	11.9	3.1	100.0
Questionnaire "Gap"	abs.	267	19	86	0	74	446
	In %	59.9	4.3	19.3	0.0	16.6	100.0
Questionnaire "Deceased person"	abs.	295	0	0	11	12	318
	In %	92.7	0.0	0.0	3.6	3.8	100.0
Questionnaire "Grip strength"	abs.	Not recorded					
	In %						
Questionnaire "Living in the former GDR"	abs.	-	-	2,226	-	-	2,226
	In %	-	-	100.0	-	-	100.0

¹ For missing interviews, in comparison with the previous table, no information for mode was available.

² Total number of questionnaires filled out by either mother or father.

Response rates for the different questionnaires are reported in **Table 1.31**. These rates are calculated only for members of households that participated in the survey in the current wave. For the youth questionnaires, response rates are around 90 percent or slightly lower (age 16 and 17). For mother and child questionnaires, response rates well over 90 percent are usual with exception for the “Mother and child questionnaire: newborn”.

Table 1.31: **Response rates by questionnaire**

	Gross sample ¹	Number of interviews	Response Rate
Individual questionnaire	24,307	21,671	89.2
Life-history questionnaire	384	356	92.7
Youth questionnaire: age 16 or 17	475	402	84.6
Cognitive competency tests	187	180	96.3
Youth questionnaire: age 13 or 14	490	436	89.0
Youth questionnaire: age 11 or 12	429	389	90.7
Mother and child questionnaire: age 9 or 10	631	612	97.0
Questionnaire for parents: age 7 or 8 ²	533	509	95.5
Mother and child questionnaire: age 5 or 6	299	291	97.3
Mother and child questionnaire: age 2 or 3	273	256	93.8
Mother and child questionnaire: newborn	254	216	85.0
Questionnaire “Gap”	505	447	88.5
Questionnaire “Deceased person”	193	84	43.5
Questionnaire “Grip strength” ³	-	8,105	-
Questionnaire “Living in the former GDR”	2,919	2,315	79.3

¹ Gross sample = target population in participating households (one household questionnaire and at least one individual questionnaire available), without household members who are deceased or have moved abroad.

² Number of children for which at least one questionnaire was filled out.

³ For questionnaire “Grip strength,” the gross sample was not recorded.

1.6.4 Interview length per questionnaire

Figures for the median interview length for each questionnaire and the different interviewing modes respectively are presented in **Table 1.32**. The median interview length for the household questionnaire amounts to 15 minutes in total. The individual questionnaire took 40 minutes to complete, with 90 percent of the interviews lasting between 20 and 60 minutes.

Table 1.32: **Median interview length (minutes) by questionnaire and mode¹**

	Total		CAPI	PAPI	SELF	CAWI
	Median	Percentiles (5%, 95%)	Median	Median	Median	Median
Household questionnaire	15	(10, 35)	15	20	20	20
Individual questionnaire	40	(20, 60)	40	40	40	30
Life-history questionnaire	20	(10, 43)	18	20	25	45
Youth questionnaire: age 16 or 17	30	(15, 50)	30	40	32	30
Cognitive competency tests	Not recorded					
Youth questionnaire: age 13 or 14	25	(15, 40)	25	25	27	20
Youth questionnaire: age 11 or 12	25	(15, 45)	25	30	30	25
Mother and child questionnaire: age 9 or 10	15	(8, 30)	15	15	15	15
Questionnaire for parents: age 7 or 8	10	(5, 20)	10	17	14	10
Mother and child questionnaire: age 5 or 6	Not recorded					
Mother and child questionnaire: age 2 or 3	Not recorded					
Mother and child questionnaire: newborn	Not recorded					
Questionnaire "Gap"	2	(1, 10)	1	5	5	1
Questionnaire "Deceased person"	Not recorded					
Questionnaire "Grip strength"	Not recorded					
Questionnaire "Living in the former GDR"	15	(10, 35)	-	-	15	-

¹ For MAIL mode, interview length is not recorded.

1.6.5 Consent to record linkage

Table 1.33 presents figures regarding the respondents' consent to linking their survey data to their account data from the German Pension Insurance (Deutsche Rentenversicherung, DRV). 49.7 percent of respondents who were chosen for record linkage gave their consent. The numbers are slightly lower for the older samples A-H and moderately higher for the recently added sample N. The majority of respondents gave their consent electronically.

Table 1.33: **Consent to record linkage**

	Total	A-H	J-K	L1	N
Gross sample ¹	16,378	6,983	4,210	1,825	3,360
Consent	8,141	2,738	2,321	961	2,121
Consent rate (in %)	49.7	39.2	55.1	52.7	63.1
Consent on paper	1,816	1,219	300	120	177
Consent in CAPI	6,325	1,519	2,021	841	1,944
Consent in CAPI (in %)	77.7	55.5	87.1	87.5	91.7

¹ Participating respondents in 2018, born in 2000 or later, in CAPI and PAPI mode.

1.7 Data preparation

In a large-scale panel study such as the SOEP, data processing and data preparation are fundamentally important processes of quality management. During the entire process, we must ensure that we generate and provide optimal data quality that is consistent over the years: Only thus can the necessary longitudinal consistency be generated which is required by the SOEP users that conduct panel analyses. Data processing and data preparation are elements of complex and multistage work processes. Moreover, the procedures and techniques of the data checking and data cleaning are constantly being further developed: partly through learning processes that are “content-related”, partly through optimizations that occur as a result of IT innovations. However, over the years, the main features remain unchanged and have been presented in more detail in the field report 2011 by Kantar⁶. The DIW receives the (net) data in two forms, the adjusted and unadjusted data sets. If required, data inferences can thus be identified and traced any time on a case-by-case basis.

The major elements of data processing and data preparation in the SOEP are data collection, data checking, data cleaning and data enrichment:

- **Data collection** includes all activities of the production process that serve to provide the collected data for further processing and preparation of the data.
- **Data checking** is the most important element of quality management, because the checking criteria defined here specify to what extent and at which points checks are carried out, and consequently, to what extent the collected raw data is edited.
- **Data cleaning** includes all direct inferences into the collected data at the individual case level, which are usually corrections of data errors in order to generate cross-sectional and panel consistency.
- In the **data enrichment** process, new information (both at the individual and the aggregated level) is generated and added to the data set as an additional variable. This means e.g. encoding open answers or adding spatial indicators.

The various elements of the data processing procedures cannot be strictly separated. They are rather interdependent and continuous processes. For instance, certain checking steps are already integrated into the data collection, and a large part of the data cleaning is conducted as part of the data checking. In addition to regarding the individual elements, it is useful to outline the process stages that emerge during data processing.

Preparatory activities:

- Creating or revising the data-entry screens and check programs
- Programming the data entry screens (scan programs)
- Testing the programs

Collection of data and address protocols; first preliminary checks:

- Scanning the paper questionnaires (including digital archiving of the scanned questionnaires)
- Converting all data collected with multimode into a uniform data format for data checking and delivery
- Collecting the address protocols (entry into the panel file)
- 1st checks on completeness of the households (correct quantity/type of completed questionnaires)
- First content checks (e.g. invalid multiple answers)
- Subsequent collection of certain information/missing questionnaires

⁶ SOEP Methodenbericht 2011, Huber et al.

Gross related basic checking:

- Checks on completeness and consistency of the various data sets per household (household data, individual data, additional questionnaire)
- Comparing the gross information (panel file) with questionnaire and address protocol information (identity, marital status, household composition, address)
- Clarifying inconsistencies/irregularities with the target households

Net related checking:

- Automatic checking of the single questionnaires according to certain processing rules and automatic setting of codes or completion/cleaning of the data
- Key checking elements: filtering, invalid multiple responses, total checks, value range, implausible answers
- Manual case-by-case checks for unclear cases
- Panel checks (checking the updated activities calendar, checking status information and status changes)
- Editing the interviewers' notes and respondents' comments (e.g. omitting names and addresses)

Data enrichment/coding:

- Coding open plaintext answers on the job title and the industry as well as the educational level obtained based on the most recent classification schemes
- Adding regional indicators (postcode, official municipality key, etc.)
- Adding Microm data (including geocoded addresses, GPS codes)
- Geocoding of places of birth inside and outside Germany

Final checking:

- Checking the entire prepared data stock (household questionnaire, individual questionnaire, additional questionnaire, gross data sets) for completeness and possible irregularities (including the correction of program and checking errors)

Data delivery:

- Transfer of pre-checked intermediate data after half of the field time
- Transfer of the code book (description of the variables and documentation of the coding rules)
- Transfer of the final integrated and standardized gross and net data files (anonymized) in checked and unchecked form

It should be mentioned here that the individual process steps are not conducted in a fixed order, but mostly simultaneously, interdependently and in several loops. In order to be able to deliver the checked, cleansed and enriched data promptly, the major part of the described work steps is organized "on a weekly basis" (according to "field weeks"). This means that the collected data are not gathered and processed at once at the end of the survey phase, but continuously right from the beginning of fieldwork. This means that almost all process steps are conducted on an ongoing basis.

1.8 Delivered data

Gross Data

Gross data Household
Gross data Individuals
Interviewer data
SOEP Individuals Sample A-H
SOEP Individuals Sample J-K
SOEP Individuals Sample L1
SOEP Individuals A-N
Qualitative Special Surveys 2013-2018

Hbru_2018.sav
Pbru_2018.sav
Intband_2018.sav
P01_16_2018.xlsx
P20_21_2018.xlsx
P63_66_2018.xlsx
P_2018.sav
Quali_2018.sav

Net Data

Net data Household checked
Net data Household unchecked
Net data Individuals checked
Net data Individuals unchecked
Net data Life history checked
Net data Life history unchecked
Net data Youth (age 16 or 17) checked
Net data Youth (age 16 or 17) unchecked
Net data Cognitive competency test
Net data Youth (age 13 or 14)
Net data Youth (age 11 or 12)
Net data Mother and child E (age 9 or 10)
Net data Questionnaire for parents (age 7 or 8)
Net data Mother and child C (age 5 or 6)
Net data Mother and child B (age 2 or 3)
Net data Mother and child A (newborn)
„Gap“ data from 2017
Net data “Deceased person”
Information on deceased persons from non-SOEP participants
Net data "Living in the former GDR"
Net data "Grip strength"
Net data Follow-up survey of single life-history questions
Information on 7 and more children

H18_A-N.sav
H18_A-N_u.sav
P18_A-N.sav
P18_A-N_u.sav
L18_A-N.sav
L18_A-N_u.sav
J18_A-N.sav
J18_A-N_u.sav
DJ18_A-N.sav
FJ18_A-N.sav
S18_A-N.sav
ME18_A-N.sav
EL18_A-N.sav
MC18_A-N.sav
MB18_A-N.sav
MA18_A-N.sav
LUE17_18_A-N.sav
VP18_A-N.sav
VP18_A-N_Pnr99.sav
DDR18_A-N.sav
GK18_A-N.sav
BIO18_A-N_Nacherhebung
7bis10Kind_2018_A-N.sav

Other Data

Professions, sectors, final coding

University coding

Berufe_B Branchen_Ausb_2018 _A-N.sav
Hochschul-Abschl_2018 _A-N.sav

Please note:

Kantar uses the acronyms **M1** and **M2** for the samples in the **IAB-SOEP Migration Sample**, which was the result of a partnership between the SOEP and the Institute for Employment Research (IAB) in Nuremberg. These samples were created in 2013 (M1) and 2015 (M2) and consist mainly of EU migrants who had recently arrived in Germany.

Kantar uses the acronyms **M3**, **M4**, and **M5** for the samples in the **IAB-BAMF-SOEP Survey of Refugees**, which is the result of cooperation between the Federal Office of Migration and Refugees (BAMF), IAB, and SOEP since 2016 to create a large, representative survey of refugees.

2 Samples M1/2

2.1 Introduction

Table 2.1 summarizes the main characteristics of the 2018 wave in samples M1/2. 1,690 households took part in the study between April and August. This results in a response rate of 74.1 percent, which is a notable increase compared to the wave in of 2017 (70.2 percent) that is mostly due to better results in sample M2. Participation of households that were respondents in the previous wave was at 83.5 percent. In all households, 2,962 adults and 206 youths gave interviews. For an additional 439 children of various age groups, data are available from interviews with a parent. 13 different questionnaires were fielded in up to three different modes. Partial unit non-response (PUNR⁷) was at 33.6 percent, a slightly higher score than in the previous wave (28.5 percent).

Table 2.1: **Summary fieldwork**

Fieldwork period	April - August
Mode (main questionnaires)	CAPI, PAPI, SELF
Gross sample (hh)	2,321
Net sample (hh)	1,690
Response rate (hh)	Overall: 74.1 Previous wave respondents: 83.5 Previous wave dropouts: 27.4 New households: 37.8
Number of questionnaires	Adults: 5 Youths: 3 Children: 5
Net sample (individuals)	Adults: 2,962 Youths: 206 Children: 439
Questionnaire length (median, in minutes)	Household: 15 Adult ¹ : 35
Partial unit non response ²	33.6

¹ Without first-time respondents.

² Share of households (number of household members > 1) with at least one missing individual questionnaire.

⁷ PUNR: share of households (number of household members > 1) with at least one missing individual questionnaire.

2.2 Development samples M1/2

The two subsamples that constitute the SOEP Migration Survey, which was designed to improve the representation of migrants living in Germany, are samples M1 and M2. Established in 2013, 2,723 households with at least one person with a migration background were interviewed to enhance the analytic potential for integration research and migration dynamics. A second migration sample (Sample M2) of 1,096 households was added in 2015.

Figure 2.1: Overview of migration samples

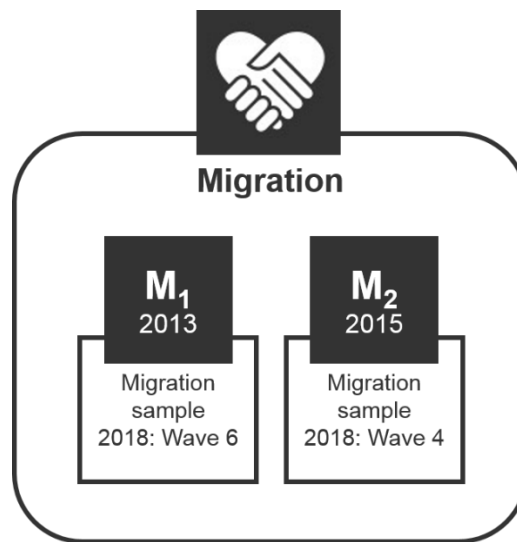
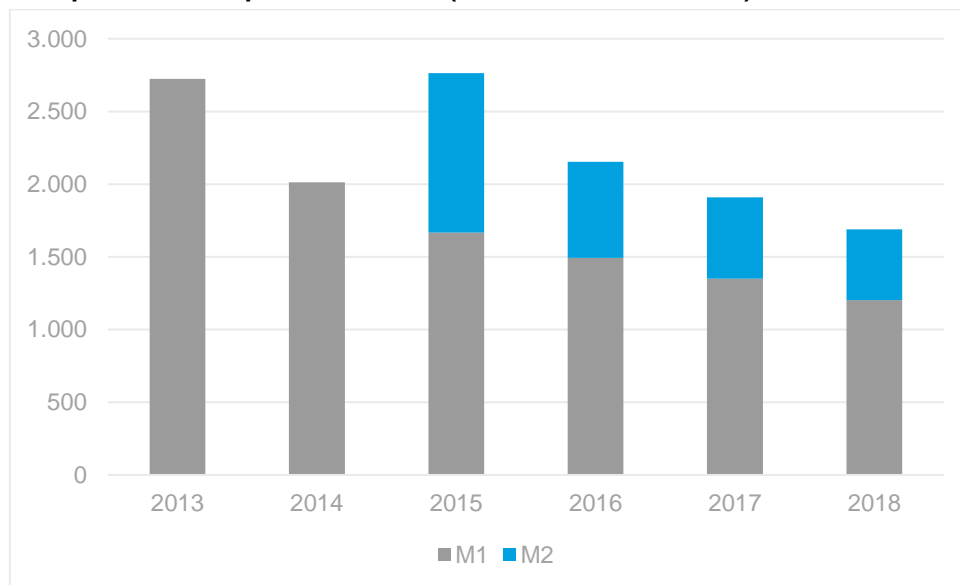


Figure 2.2: Development of samples since 2013 (number of households)



2.3 Structure of the gross sample

As presented in **Table 2.2**, 2,760 households were part of the gross sample of M1/2 in 2017. 68.9 percent of these households successfully participated without refusal for the next survey of 2018. 851 households (30.9 percent) did not participate in the survey in 2017. 328 households only dropped out temporarily and were part of this year's gross sample. 250 of the dropouts were final, and another 276 households were excluded for dropping out temporarily in two consecutive waves. Comparing the two samples M1 and M2 reveals that dropout rates were higher in the more recent sample M2.

Table 2.2: **Final gross sample 2017 by type of household**

Household level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	2,760	100.0	1,808	100.0	952	100.0
Participating households without refusal for next wave	1,903	68.9	1,346	74.4	557	58.5
Participating households with refusal for next wave	6	0.2	4	0.2	2	0.2
Temporary dropouts	328	11.9	197	10.9	131	13.8
Final dropouts	250	9.1	142	7.9	108	11.3
2-year rule	273	9.9	119	6.6	154	16.2

Table 2.3: **Administered gross sample 2018 by type of household**

Household level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	2,321	100.0	1,616	100.0	705	100.0
Participating households in previous wave	1,909	82.2	1,350	83.5	559	79.3
Temp. dropout in previous wave	329	14.2	198	12.3	131	18.6
New households (Split-off hhs)	83	3.6	68	4.2	15	2.1

¹ The gross sample consists of more cases than anticipated at the end of the previous wave, because one household that did not participate in 2017 re-entered the panel.

Table 2.3 presents total and sample-related figures for the administered gross sample in 2018 distinguished by three different types of households. A total of 2,321 households was processed in the two samples M1 and M2. 82.2 percent of these households already participated in the previous wave. 14.2 percent dropped out

temporarily in 2017, while 3.6 percent are new households that emerge because panel members move out of existing panel households.

Table 2.4: Household characteristics by sub-samples I

Household Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	2,237	100.0	1,547	100.0	690	100.0
HH size						
1	383	17.1	255	16.5	128	18.6
2	557	24.9	386	25.0	171	24.8
3	520	23.2	351	22.7	169	24.5
4	482	21.5	346	22.4	136	19.7
5+	295	13.2	209	13.5	86	12.5
State						
Schleswig-Holstein	55	2.5	45	2.9	10	1.4
Hamburg	66	3.0	50	3.2	16	2.3
Lower Saxony	198	8.9	133	8.6	65	9.4
Bremen	23	1.0	17	1.1	6	0.9
North Rhine-Westphalia	583	26.1	427	27.6	156	22.6
Hesse	183	8.2	117	7.6	66	9.6
Rhineland Palatinate	142	6.3	96	6.2	46	6.7
Saarland	311	13.9	218	14.1	93	13.5
Baden-Wuerttemberg	400	17.9	248	16.0	152	22.0
Bavaria	25	1.1	23	1.5	2	0.3
Berlin	84	3.8	52	3.4	32	4.6
Brandenburg	41	1.8	32	2.1	9	1.3
Mecklenburg Western Pomerania	11	0.5	9	0.6	2	0.3
Saxony	37	1.7	32	2.1	5	0.7
Saxony-Anhalt	31	1.4	28	1.8	3	0.4
Thuringia	47	2.1	20	1.3	27	3.9

¹ Status as reported at the end of wave 2017. So new households and households that rejoined the panel in 2018 but were not part of fieldwork 2017 are missing.

Figures for basic household characteristics are presented in **Table 2.4** and **Table 2.5**. About half of the households in samples M1 and M2 consist of two or three household members. However, households with a higher number of members are not uncommon. A higher share of households in samples M1/2 is located in the center of larger cities (BIK-type = 0 or 2) compared to samples A-N.

Table 2.5: Household characteristics by sub-samples (II)

Household Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	2,237	100.0	1,547	100.0	690	100.0
BIK type²						
0	782	35.0	513	33.2	269	39.0
1	204	9.1	144	9.3	60	8.7
2	448	20.0	311	20.1	137	19.9
3	201	9.0	157	10.1	44	6.4
4	26	1.2	17	1.1	9	1.3
5	167	7.5	135	8.7	32	4.6
6	234	10.5	151	9.8	83	12.0
7	146	6.5	99	6.4	47	6.8
8	13	0.6	8	0.5	5	0.7
9	16	0.7	12	0.8	4	0.6
Community size³						
1	41	1.8	28	1.8	13	1.9
2	86	3.8	50	3.2	36	5.2
3	491	21.9	349	22.6	142	20.6
4	459	20.5	302	19.5	157	22.8
5	194	8.7	142	9.2	52	7.5
6	413	18.5	312	20.2	101	14.6
7	553	24.7	364	23.5	189	27.4

¹ Status as reported at the end of wave 2017. So new households and households that rejoined the panel in 2018 but were not part of fieldwork 2017 are missing.

² BIK-type: 0 (more than 500,000 inhabitants/center) 1 (more than 500,000 inh./periphery), 2 (100,000 to 499,999 inh./center)

3 (100,000 to 499,999 inh./periphery), 4 (50,000 to 99,999 inh./center), 5 (50,000 to 99,999 inh./periphery), 6 (20,000 to 49,999 inh.), 7 (5,000 to 19,999 inh.), 8 (2,000 to 4,999 inh.), 9 (fewer than 2,000 inh.)

³ Community size: 1 (fewer than 2000 inhabitants), 2 (2,000 to 5,000 inh.), 3 (5,000 to 20,000 inh.), 4 (20,000 to 50,000 inh.), 5 (50,000 to 100,000 inh.), 6 (100,000 to 500,000 inh.), 7 (more than 500,000 inh.).

2.4 Questionnaires and fieldwork material

2.4.1 Questionnaires

Table 2.6 displays which questionnaires were available in which modes for samples M1 and M2. For the main questionnaires, household and individual, only interviews in CAPI mode are permitted. But most supplementary questionnaires were also offered in PAPI mode. Only the cognitive competency test for 16- and 17-year-olds is provided solely as a paper questionnaire.

Table 2.6: **Questionnaires and modes**

	CAPI	PAPI
Household questionnaire	✓	-
Individual questionnaire	✓	-
Individual + life-history questionnaire	✓	-
Youth questionnaire: age 16 or 17	✓	✓
Cognitive competency test	-	✓
Youth questionnaire: age 13 or 14	✓	✓
Youth questionnaire: age 11 or 12	✓	✓
Mother and child questionnaire: age 9 or 10	✓	✓
Questionnaire for parents: age 7 or 8	✓	✓
Mother and child questionnaire: age 5 or 6	✓	✓
Mother and child questionnaire: age 2 or 3	✓	✓
Mother and child questionnaire: newborn	✓	✓
Questionnaire "Gap"	✓	-
Questionnaire "Deceased person"	✓	-

For data collection in the SOEP migration samples in 2018, almost all of the questionnaires from SOEP-Core were used. However, a specific biographical questionnaire covering the migration history and other additional questions about migration and integration was used for adult household members who were participating in the study for the first time.

2.4.2 Fieldwork material

In addition to the questionnaires, a whole range of fieldwork materials, such as letters, leaflets or documents for the interviewers, are designed, printed and sent to households and interviewers. **Table 2.7** provides an overview of the different material types that are prepared in samples M1/2. Because the mode is restricted to CAPI in these samples, the number of different versions of materials is notably smaller than in samples A-H. But many materials are provided in six different languages (German, English, Russian, Turkish, Romanian and Polish).

Advance letter

About two weeks before the start of the fieldwork period, the households receive an advance letter in which the interviewer's visit is announced.

Thank-you letter

Some time after participating in the study, each household receives a thank-you letter with a postage stamp enclosed as a small gift.

Leaflet

Every household in samples M1/2 receives an eight-page leaflet with SOEP reports and published results. The leaflet is handed over by the interviewer.

Declaration on data protection

Every household gets access to a two-page declaration on data protection detailing the organizations responsible for processing all respondent data along with a description of data handling and data recipients. The sheet is also handed out by the interviewers.

Consent to record linkage form

To all respondents born in 2000 or later and who have not been asked for their consent in one of the previous waves, a consent to record linkage form was presented that allows an individual linkage between the respondent's data and employment history data available at the Institute for Employment Research (Institut für Arbeitsmarkt und Berufsforschung, IAB Nuremberg)

Address form and household grid

The address form provides an overview of the household composition as it was last known to Kantar. The interviewers must document when and with whom the survey was conducted or why a sample member did not participate in the current year. They are also asked to note every single contact attempt made. For samples M1/2, interviewers do this electronically in the "Mein Kantar" software.

Moreover, the interviewers are asked to carefully document any moves of households and household members or changes in household composition. An additional form had to be completed for every person that has left the household since the last survey because all of these remain potential respondents and are tracked even if the new address is unknown.

Showcards

Showcards are used by interviewers during the CAPI interview to show respondents longer item lists or scales.

Table 2.7: **Fieldwork material**

	CAPI
Advance letter	<ul style="list-style-type: none"> • In 6 languages (German, English, Russian, Turkish, Romanian and Polish)
Thank-you letter	<ul style="list-style-type: none"> • In German language
Leaflet	<ul style="list-style-type: none"> • In 6 languages
Declaration on data protection	<ul style="list-style-type: none"> • In 6 languages
Consent to record linkage form ¹	<ul style="list-style-type: none"> • In German language
Address form and household grid ²	<ul style="list-style-type: none"> • Electronic form (Mein Kantar)
Showcards	<ul style="list-style-type: none"> • In German language
Project instruction book	<ul style="list-style-type: none"> • Version for M1-2
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card • HH information card • PUNR flyer (in 6 languages)

¹ Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg): Link to employment history data.

² Including the so-called "B3 Form" used to process address changes.

Project instruction book

In addition to a shorter project description, interviewers in samples M1/2 also receive a much more detailed instruction manual that is about 60 pages long. This manual contains information on special features of the current wave, specific processing instructions and questionnaires as well as background information on the project.

Other interviewer material

In addition, the interviewers receive contact cards for households that could not be reached at home and household information cards with information on individual numbers, names, years of birth, types of questionnaires, incentives, survey modes, and notes. They also receive a few flyers on the subject of "Partial Unit Non-Response" that can be used to explain why it is so important for the survey that every adult household member takes part in the SOEP.

2.5 Conducting the survey

2.5.1 Survey mode

The mode for the main questionnaires in samples M1/2 (household, individual) are restricted to CAPI, which results in a 100% share of CAPI interviews for these interviews. Meanwhile, PAPI versions of the youth and child questionnaires exist and can be used.

An overview of the different interviewing modes used for the youth questionnaires is provided in **Table 2.8**. With 74.5 percent over both samples, the majority of interviews was conducted in CAPI mode. Another 24.0 percent of all interviews were submitted via self-interviewing.

Table 2.8: Interviewing modes by sub-samples – youth questionnaires

Individual level		Interviewer-Based			Total
		CAPI	PAPI	SELF	
M1	Abs.	118	2	37	157
	In %	75.2	1.3	23.6	100.0
M2	Abs.	34	1	12	47
	In %	72.3	2.1	25.5	100.0
Total	Abs.	152	3	49	204
	In %	74.5	1.5	24.0	100.0

As shown in **Table 2.9**, with 93.6 percent, the proportion of interviews conducted in CAPI mode is even higher for the child questionnaires. Self-interviewing was done only in 4.7 percent of all cases and PAPI only in seven of all cases in total.

Table 2.9: Interviewing modes by sub-samples – child questionnaires

Individual level		Interviewer-Based			Total
		CAPI	PAPI	SELF	
M1	Abs.	248	5	16	269
	In %	92.2	1.9	5.9	100.0
M2	Abs.	132	2	3	137
	In %	96.4	1.5	2.2	100.0
Total	Abs.	380	7	19	406
	In %	93.6	1.7	4.7	100.0

2.5.2 Fieldwork timing

The fieldwork started in April and ended in September. **Table 2.10** shows figures for the fieldwork progress referring to the gross sample as well as the net sample. The most productive months were April, May and June. The following months were mainly used to convert soft refusals and access difficult-to-reach households.

Table 2.10: **Monthly fieldwork progress**

Household level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
April ¹	426	18.4	341	20.2
May	780	33.6	663	39.2
June	547	23.6	435	25.7
July	287	12.4	138	8.2
August	192	8.3	79	4.7
September	89	3.8	34	2.0

¹ Including households that refused to take part in the survey prior to start of fieldwork.

2.5.3 Translations

Table 2.11 provides an overview of the availability of questionnaires in different languages. In 2018, the household questionnaire as well as the individual and life-history questionnaires were available in five alternative languages other than German, namely English, Russian, Turkish, Romanian and Polish.

Table 2.11: **Translated paper questionnaires**

	English	Russian	Turkish	Romanian	Polish
Household questionnaire	✓	✓	✓	✓	✓
Individual questionnaire	✓	✓	✓	✓	✓
Individual + life-history questionnaire	✓	✓	✓	✓	✓
Youth questionnaires ¹	-	-	-	-	-
Mother and child questionnaires/ questionnaire for parents	-	-	-	-	-
Additional questionnaires ²	-	-	-	-	-

¹ Including cognitive competency test.

² Gap, Deceased person.

The following **Table 2.12** contains information about language problems and the usage of translated questionnaires in samples M1 and M2. Of all conducted interviews, 16.6 percent required assistance with language problems. For those interviews, translated paper questionnaires were used in most cases. Also, assistance by a German-speaking person in the same household was relatively frequent.

Table 2.12: Language problems and usage of translated paper questionnaires

	Total	In % Net Sample
Net sample (individual questionnaire) ¹	2,962	100.0
No language problems occurred/no need for assistance with language problems	2,468	83.3
Assistance with language problems needed	493	16.6
Of that number:		
German-speaking person in the same household	201	6.8
German-speaking person from outside the household	49	1.7
Professional interpreter	5	0.2
Translated paper questionnaire	238	8.0
Of that number:		
English	35	1.2
Russian	82	2.8
Turkish	33	1.1
Romanian	36	1.2
Polish	52	1.8

¹ Including all individual questionnaires even if the household in which they are conducted is classified as a non-participating household.

2.5.4 Panel maintenance and incentives

The incentives for respondents in samples M1/2 are very similar to those in the newer samples J, K and L1 within samples A-N. Adult participants receive cash incentives from the interviewers after they complete their interview. The individual questionnaire is rewarded with 10 euros, while the shorter household questionnaire is rewarded with 5 euros. Children in the households that participate in one of the youth questionnaires are presented with a small gift such as a power bank to charge their phone or a small puzzle (**Table 2.13**).

In addition to the individual incentives, interviewers bring a small gift to all households which is presented upon arrival. This year's gift was a branded tea towel. Furthermore, parents of newborns receive a small photo album via mail.

Table 2.13: Incentives

M1/2	
Incentives for adults	HH: 5 euros Adult: 10 euros
Incentives for youth and child questionnaire	Youth questionnaire: age 11 or 12: Small puzzle Youth questionnaire: age 16 or 17: Power bank Youth questionnaire: age 13 or 14: Small clock Child questionnaire: No incentive

2.5.5 Movers and tracing

Figures on movers and sources of new addresses are given in **Table 2.14**. Of 2,321 households in the gross sample in 2018, 15.6 percent were movers or new households. The tracing of those households was successful in 92.0 percent of all cases. The most important sources of information about addresses were the interviewers (40.7 percent), followed by the local registration offices (39.1 percent) that provide information about residents' current addresses if there is a scientific interest behind the inquiry. Another significant source is the postal service that movers sometimes notify of their new address (19.1 percent).

Table 2.14: Movers and sources of new addresses of administered sample 2018

Household level	Total	
	Abs.	In %
Gross sample	2.321	100.0
Movers and new households	361	15.6
Tracing success		
Tracing successful	332	92.0
Tracing not successful	29	8.0
Source		
Interviewer	147	40.7
Postal service	69	19.1
Local registration offices	141	39.1
Participant	4	1.1

2.5.6 Interviewer characteristics, training & monitoring

Information on some interviewer characteristics is collected in **Table 2.15**. In total, 197 interviewers were involved in samples M1 and M2 in 2018. At 62.4 percent, the share of male interviewers is moderately higher than for female ones. The majority of interviewers are between 60 and 79 years old and are responsible for fewer than 20 households in samples M1/2.

Table 2.15: Interviewer characteristics

Interviewer level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Number of interviewers	197	100.0	172	100.0	133	100.0
Gender						
Male	123	62.4	108	62.8	86	64.7
Female	74	37.6	64	37.2	47	35.3
Age						
21-39 years	7	3.6	7	4.1	5	3.8
40-59	47	23.9	43	25.0	33	24.8
60-79	136	69.0	116	67.4	88	66.2
80+	7	3.6	6	3.5	7	5.3
Number of households						
Fewer than 5 (gross)	57	28.9	60	34.9	72	54.1
5 – 19	107	54.3	93	54.1	58	43.6
20 – 99	33	16.8	19	11.0	3	2.3
More than 99	0	0.0	0	0.0	0	0.0

Interviewer experience in samples M1/2 is comparable to the newer samples within samples A-N. Many fall into the category of 5-9 years of experience with the SOEP while having a bit more experience with working with Kantar in general (**Table 2.16**).

Interviewer training for samples M1/2 usually takes part together with the training for samples A-N at the beginning of the year. This was also the case in 2018 (see **Section 1.5.6**).

Table 2.16: Interviewer experience

Interviewer level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	197	100.0	172	100.0	133	100.0
Experience with Kantar						
0-4 years of experience with Kantar	30	15.2	28	16.3	20	15.0
5-9 years	64	32.5	56	32.6	43	32.3
10-19 years	73	37.1	64	37.2	50	37.6
20-29 years	18	9.1	16	9.3	10	7.5
30-39 years	8	4.1	4	2.3	6	4.5
More than 40 years	4	2.0	4	2.3	4	3.0
Experience with SOEP						
0-4 years	44	22.3	38	22.1	31	23.3
5-9 years	98	49.7	90	52.3	61	45.9
10-19 years	43	21.8	35	20.3	32	24.1
20-29 years	8	4.1	6	3.5	5	3.8
30-34 years	4	2.0	3	1.7	4	3.0

Table 2.17: Interviewer monitoring

	Total		
	Abs.	In %	In %
By households			
Households in net sample ¹	1.690	100.0	-
Re-contacted households	611	36.2	100.0
Households with feedback	341	20.2	55.8
By interviewers			
Interviewers in net sample	187	100.0	-
Interviewers with re-contacted households ¹	176	94.1	-
Interviewers with non-standard behavior	0	0.0	-

¹ Only interviewers with few net cases are missing from the re-contacts.

Kantar places high priority on interviewer monitoring and has put an ISO-certificated process in place that is audited regularly. Kantar adheres to the German Business Association of Market and Social Research Institutes (Arbeitskreis Deutscher Markt- und Sozialforschungsinstitute e.V., ADM) standards for internal regulation and monitoring of all systems and procedures. This means that a minimum of 10 percent of Kantar's annual interviews are checked, and every interviewer is monitored at least once a year.

In 2018, we expanded these existing quality-control measures for interviewer monitoring in the SOEP projects. The basic interviewer monitoring concept was expanded to a project-based control system for all SOEP samples: A number of participating households is contacted shortly after the interview by letter or phone asking them to confirm their participation in a regularly conducted interview. In case of inconsistencies and/or irregularities, we attempted to gain clarification through direct contact with respondents, primarily by telephone.

Table 2.17 shows details for the re-contacting process in samples M1/2. In existing panel samples, the aim is to re-contact at least 10 percent of households for every interviewer in every SOEP project. In M1/2, there is an additional requirement to re-contact at least 30 percent of households for every interviewer who is responsible for more than 1.5 percent of the households in the net samples. Hence, 36.2 percent of households in samples M1/2 were re-contacted. For these households whose interviewers had a response rate significantly below 30 percent, a short paper questionnaire was administered, which was then followed up by phone.

Overall, we re-contacted 611 households in samples M1/2 and received feedback from 341 households. This results in a response rate of 55.8 percent overall. We did not identify any interviewers who had not adhered to our standards in conducting interviews in the 2018 fieldwork period.

2.6 Fieldwork results

2.6.1 Participation on household level

Numbers of participation for three different types of households are provided in **Table 2.18**. Of 2,321 households in the gross sample, 1,690 households were successfully interviewed, which amounts to 72.8 percent.

Table 2.18: **Participation by type of household (with AAPOR codes)**

	Total		Respondents in previous wave		Dropouts in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	2,321	100.0	1,909	100.0	329	100.0	83	100.0
Interview (1.0)	1,690	72.8	1,572	82.3	87	26.4	31	37.3
Complete (1.1)	1,242	53.5	1,154	60.5	61	18.5	27	32.5
Partial (1.2)	448	19.3	418	21.9	26	7.9	4	4.8
Non-interview (2.0)	631	27.2	337	17.7	242	73.6	52	62.7
Temporary dropout	267	11.5	237	12.4	7	2.1	23	27.7
Non-contact (2.20)	72	3.1	64	3.4	2	0.6	6	7.2
Temporary refusal (2.11)	165	7.1	152	8.0	1	0.3	12	14.5
Temporarily physically or mentally unable/incompetent (2.321)	9	0.4	9	0.5	0	0.0	0	0.0
Household could not be traced (temporary) (3.18; 2.4)	11	0.5	6	0.3	0	0.0	5	6.0
Other temp. (2.52)	10	0.4	6	0.3	4	1.2	0	0.0
Final dropout	364	15.7	100	5.2	235	71.4	29	34.9
Permanent refusal (2.111)	138	5.9	75	3.9	56	17.0	7	8.4
Permanently physically or mentally unable/incompetent (2.322)	2	0.1	1	0.1	0	0.0	1	1.2
Deceased (2.31)	2	0.1	2	0.1	0	0.0	0	0.0
Moved abroad (4.2)	22	0.9	14	0.7	8	2.4	0	0.0
Household dissolved (4.2)	4	0.2	1	0.1	3	0.9	0	0.0
Household untraceable (4.4)	24	1.0	6	0.3	7	2.1	11	13.3
Dropped out temporarily in two consecutive waves	172	7.4	1	0.1	161	48.9	10	12.0

Of the remaining 631 households, 267 temporarily dropped out of the survey (11.5 percent of the gross sample). Many of these households stated that they were currently unwilling to participate, e.g. due to lack of time. 364 households dropped out of the survey permanently (15.7 percent of the gross sample). Nearly half of them were excluded from the survey for dropping out temporarily in two consecutive waves. Of all the households that temporarily dropped out in the previous wave, 26.4 percent participated again in 2018. Additionally, 37.3 percent of all newly built households were successfully integrated into the survey.

Table 2.19 presents numbers of participation for both samples M1 and M2. At 74.4 percent, the participation rate in 2018 on household level was slightly higher for the larger sample M1. Temporary dropouts and permanent ones both occurred more often in M2.

Table 2.19: **Participation by sample (with AAPOR codes)**

	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	2,321	100.0	1,616	100.0	705	100.0
Interview (1.0)	1,690	72.8	1,203	74.4	487	69.1
Complete (1.1)	1,242	53.5	876	54.2	366	51.9
Partial (1.2)	448	19.3	327	20.2	121	17.2
Non-interview (2.0)	631	27.2	413	25.6	218	30.9
Temporary dropout	267	11.5	177	11.0	90	12.8
Non-contact (2.20)	72	3.1	43	2.7	29	4.1
Temporary refusal (2.11)	165	7.1	114	7.1	51	7.2
Temporarily physically or mentally unable/incompetent (2.321)	9	0.4	7	0.4	2	0.3
Household could not be traced (temporary) (3.18; 2.4)	11	0.5	9	0.6	2	0.3
Other temp. (2.52)	10	0.4	4	0.2	6	0.9
Final dropout	364	15.7	236	14.6	128	18.2
Permanent refusal (2.111)	138	5.9	95	5.9	43	6.1
Permanently physically or mentally unable/incompetent (2.322)	2	0.1	1	0.1	1	0.1
Deceased (2.31)	2	0.1	2	0.1	0	0.0
Moved abroad (4.2)	22	0.9	6	0.4	16	2.3
Household dissolved (4.2)	4	0.2	3	0.2	1	0.1
Household untraceable (4.4)	24	1.0	17	1.1	7	1.0
Dropped out temporarily in two consecutive waves	172	7.4	112	6.9	60	8.5

Table 2.20 provides response rates for three different types of households. In total, a response rate of 74.1 was achieved on household level in 2018. For households which responded in the previous wave, the rate was higher at 83.5 percent. Dropouts in the previous wave and new households usually attain notably lower response rates.

Table 2.20: **Response rate by type of household (in %)**

	Total	Respondents in previous wave	Dropouts in previous wave	New households
Response rate ¹	74.1	83.5	27.4	37.8

¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

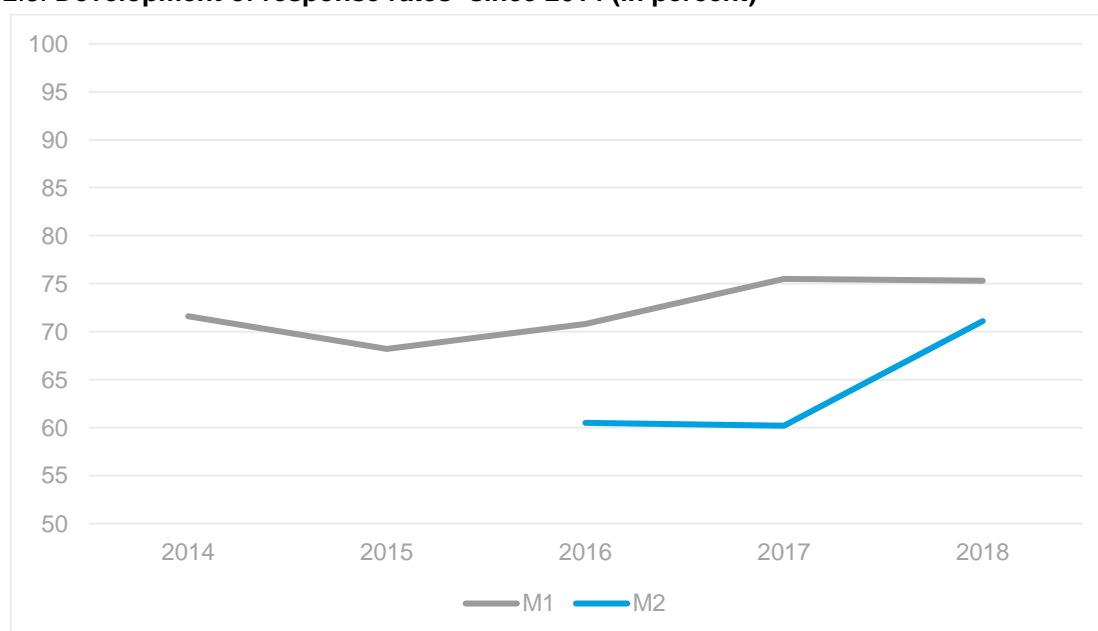
With regard to the two samples M1 and M2 (**Table 2.21**), a slightly higher response rate was achieved for the older sample M1.

Table 2.21: **Response rate by sample (in %)**

	Total	M1	M2
Response rate ¹	74.1	75.3	71.1

¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

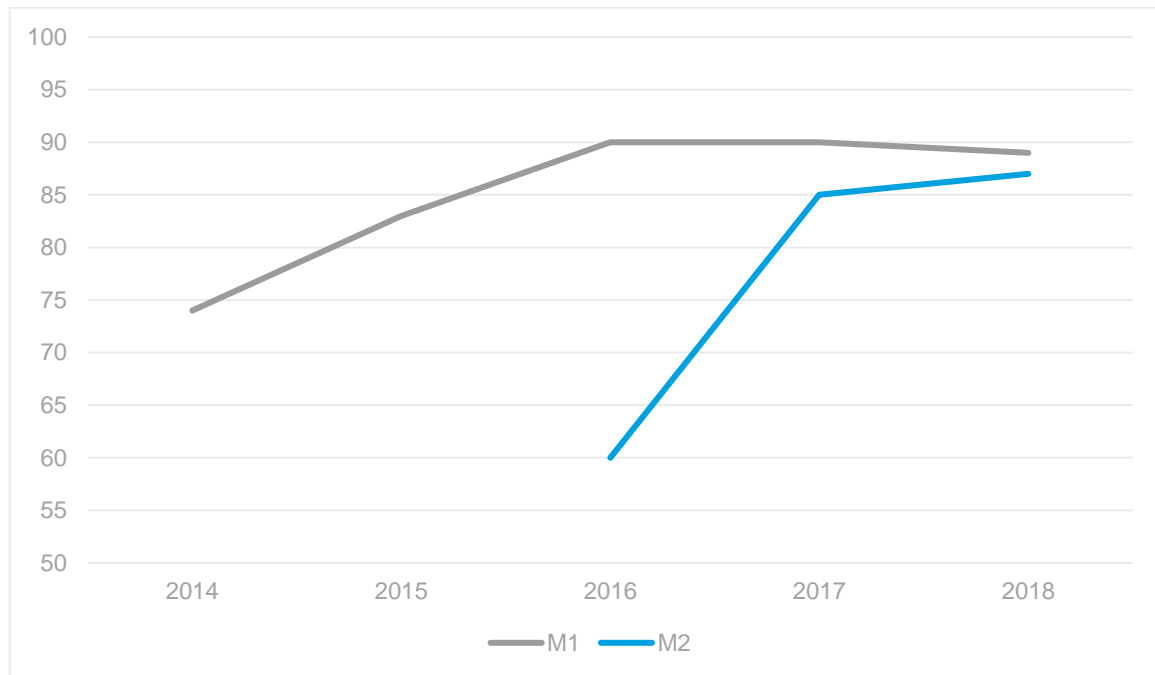
Figure 2.3: **Development of response rates¹ since 2014 (in percent)**



¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

As visualized in **Figure 2.3**, the response rate for sample M2 has been on a lower level than M1 since its inclusion. This year's result of a 71.1 percent response rate for M2 forms a substantial improvement compared to 2017 (60.1), while M1 remained fairly stable between this year and last year's survey.

Figure 2.4: Development of panel stability¹ since 2014 (in percent)



¹ Number of participating households divided by previous wave's net sample.

Figure 2.4 provides an overview of the development of panel stability for both samples. The panel stability for M1 has been increasing constantly between 2014 and 2016 to then level off at around 90 percent. M2's panel stability has been on the rise as well, setting a new record with 87 percent in 2018.

2.6.2 Participation on individual level

Figures for individual-level participation by four different kinds of panel states are presented in **Table 2.22**. Of 4,870 individuals in the gross sample, 62.0 percent were successfully interviewed. Another 13.5 percent dropped out temporarily while 24.5 percent do not want to take part in the survey at all and have expressed this wish either in the current or one of the previous waves. 1,283 individuals dropped out of the survey in 2017 and were invited one more time to this year's survey. 18.9 percent of them participated. 80 individuals joined existing panel households. 52.5 percent of them provided an interview. Another 99 individuals reached the required age to become a regular panel member this year. 58.6 percent of them participated.

Table 2.22: Participation by panel status (with AAPOR codes)

	Total		Respondents in previous wave		Dropouts in previous wave		New panel members ¹		Youths ²	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample ³	4,870	100.0	3,408	100.0	1,283	100.0	80	100.0	99	100.0
Interview (1.0)	3,020	62.0	2,677	78.6	243	18.9	42	52.5	58	58.6
Non-interview (2.0)	1,850	38.0	731	21.4	1,040	81.1	38	47.5	41	41.4
Temporary dropout	657	13.5	538	15.8	44	3.4	34	42.5	41	41.4
Non-contact (2.20)	27	0.6	21	0.6	4	0.3	2	2.5	0	0.0
Temporary refusal (2.112)	554	11.4	491	14.4	39	3.0	24	30.0	0	0.0
Temporarily physically or mentally unable/incompetent (2.321)	7	0.1	7	0.2	0	0.0	0	0.0	0	0.0
Person could not be traced (temporary) (3.18; 2.4)	14	0.3	13	0.4	1	0.1	0	0.0	0	0.0
Other temp. (2.52)	55	1.1	6	0.2	0	0.0	8	10.0	41	41.4
Final dropout	1,193	24.5	193	5.7	996	77.6	4	5.0	0	0.0
Permanent refusal (2.111)	1,109	22.8	143	4.2	964	75.1	2	2.5	0	0.0
Permanently physically or mentally unable/incompetent (2.322)	4	0.1	2	0.1	0	0.0	2	2.5	0	0.0
Deceased (2.31)	12	0.2	11	0.3	1	0.1	0	0.0	0	0.0
Moved abroad (4.2)	37	0.8	21	0.6	16	1.2	0	0.0	0	0.0
Person untraceable (4.4)	31	0.6	16	0.5	15	1.2	0	0.0	0	0.0

1 New household members who have never been part of the panel (adult or youth (age 16/17)).

2 Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17).

3 All household members intended to participate with the adult or youth questionnaire in the current wave, not restricted to members of participating households.

Participation numbers aggregate to a total response rate of 62.8 percent on the individual level (**Table 2.23**). The rate for previous-wave respondents is noticeably higher, while previous-wave dropouts, new panel members and youths produced lower response rates.

Table 2.23: Response rate¹ (in percent)

	Total	Respondents in previous wave	Dropouts in previous wave	New panel members ¹	Youths ²
Response rate ¹	62.8	79.5	19.2	53.8	58.6

¹ RR= all participants (year of birth <2002) / (individuals gross sample (year of birth <2002) – (persons who are deceased, have moved abroad or are temporarily or permanently unable to participate))

² Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17).

A major concern for all SOEP samples is the rates of partial unit non-response (PUNR). A household counts towards PUNR if at least one individual questionnaire is missing. Figures for the survey wave in 2018 are provided in **Table 2.24**. With 34.7 percent, the PUNR was slightly higher in M1 than in M2 with 31.0 percent.

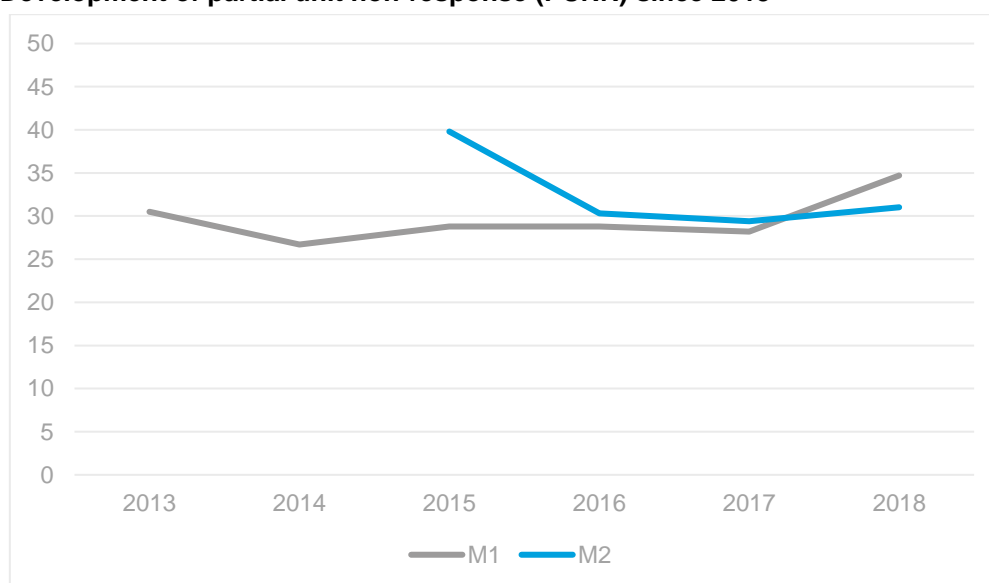
Table 2.24: Partial unit non-response¹ (in percent)

	Total	M1	M2
PUNR ¹	33.6	34.7	31.0

¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

Figure 2.5 visualizes how partial unit non-response rates have developed since 2013. Between 2015 and 2017, the rate was fairly constant and below 30 percent for M1. This year's survey experienced a moderate increase.

Figure 2.5: Development of partial unit non-response (PUNR) since 2013¹



¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

2.6.3 Participation by types of questionnaires

Table 2.25 presents figures on the frequency of each questionnaire. For samples M1 and M2 combined, 1,690 household and 2,907 individual interviews were conducted. Generally, figures are lower for the smaller sample M2. With regard to the youth and child questionnaires, numbers between 50 and 100 are attained. Two sets of numbers are provided for the questionnaire for parents: age 7 or 8. Contrary to the mother and child questionnaires, both parents were asked to answer this questionnaire. The first set of numbers equals the total amount of questionnaires completed while the second set counts only one questionnaire per child.

Table 2.25: **Number of interviews by sample and questionnaire**

	Total	M1	M2
Household questionnaire	1,690	1,203	487
Individual questionnaire	2,907	2,108	799
Individual + life-history questionnaire	55	38	17
Youth questionnaire: age 16 or 17	58	44	14
Cognitive competency tests	54	42	12
Youth questionnaire: age 13 or 14	68	49	19
Youth questionnaire: age 11 or 12	80	65	15
Mother and child questionnaire: age 9 or 10	70	57	13
Questionnaire for parents: age 7 or 8 ¹	171	133	38
Questionnaire for parents: age 7 or 8 ²	113	89	24
Mother and child questionnaire: age 5 or 6	95	57	38
Mother and child questionnaire: age 2 or 3	94	51	43
Mother and child questionnaire: newborn	67	36	31
Questionnaire "Gap"	166	99	67
Questionnaire "Deceased person"	44	38	6

¹ Total number of questionnaires filled out by either mother or father.

² Number of children for whom at least one questionnaire was filled out.

Numbers of completed questionnaires for each interviewing mode are provided in **Table 2.26**. The household questionnaire, individual questionnaire as well as the life-history questionnaire were exclusively carried out in CAPI mode, as this is the only mode allowed. Self-interviewing with a paper questionnaire provided by the interviewer is the only available mode for the cognitive competency test and was otherwise relevant especially for the youth questionnaires for ages 13 or 14 as well as 11 or 12.

Table 2.26: Number of interviews by mode and questionnaire

		Interviewer-Based			
		CAPI	PAPI	SELF	Total
Household questionnaire	abs.	1,690	0	0	1,690
	In %	100.0	0.0	0.0	100.0
Individual questionnaire	abs.	2,907	0	0	2,907
	In %	100.0	0.0	0.0	100.0
Individual + life-history questionnaire	abs.	55	0	0	55
	In %	100.0	0.0	0.0	100.0
Youth questionnaire: age 16 or 17	abs.	54	0	3	57
	In %	94.7	0.0	5.3	100.0
Cognitive competency tests	abs.	-	-	54	54
	In %	-	-	100.0	100.0
Youth questionnaire: age 13 or 14	abs.	49	1	17	67
	In %	73.1	1.5	25.4	100.0
Youth questionnaire: age 11 or 12	abs.	49	2	29	80
	In %	61.3	2.5	36.3	100.0
Mother and child questionnaire: age 9 or 10	abs.	60	3	6	69
	In %	87.0	4.3	8.7	100.0
Questionnaire for parents: age 7 or 8 ¹	abs.	145	6	19	170
	In %	85.3	3.5	11.2	100.0
Questionnaire for parents: age 7 or 8 ²	abs.	95	5	13	113
	In %	84.1	4.4	11.5	100.0
Mother and child questionnaire: age 5 or 6	abs.	78	0	0	78
	In %	100.0	0.0	0.0	100.0
Mother and child questionnaire: age 2 or 3	abs.	87	0	0	87
	In %	100.0	0.0	0.0	100.0
Mother and child questionnaire: newborn	abs.	60	0	0	60
	In %	100.0	0.0	0.0	100.0
Questionnaire "Gap"	abs.	166	0	0	166
	In %	100.0	0.0	0.0	100.0
Questionnaire "Deceased person"	abs.	44	0	0	44
	In %	100.0	0.0	0.0	100.0

¹ For missing interviews, in comparison with the previous table, no information for this mode was available.

² Total number of questionnaires filled out by either mother or father.

The response rate for each respective questionnaire is presented in **Table 2.27**. With 2,960 conducted interviews with adults in participating households, the response rate for the individual questionnaire amounts

to 84.8 percent. The response rate for the different youth questionnaires is slightly lower, while it is higher for almost all of the mother and child questionnaires.

Table 2.27: **Response rates by questionnaire**

	Gross sample ¹	Number of interviews	Response rate
Individual questionnaire ²	3,492	2,960	84.8
Youth questionnaire: age 16 or 17	72	58	80.6
Cognitive competency tests	58	51	87.9
Youth questionnaire: age 13 or 14	82	68	82.9
Youth questionnaire: age 11 or 12	98	80	81.6
Mother and child questionnaire: age 9 or 10	74	70	94.6
Questionnaire for parents: age 7 or 8	121	113	93.4
Mother and child questionnaire: age 5 or 6	96	95	99.0
Mother and child questionnaire: age 2 or 3	106	94	88.7
Mother and child questionnaire: newborn	77	66	85.7
Questionnaire "Gap"	167	166	99.4
Questionnaire "Deceased person"	12	8	66.7

¹ Gross sample= target population in participating households (one household questionnaire and at least one individual questionnaire available), without household members who are deceased or have moved abroad.

² Including interviews with first time respondents that included the life-history questionnaire.

2.6.4 Interview length per questionnaire

Figures on the median interview length for each questionnaire are included in **Table 2.28**. A median personal interview in the two samples took 35 minutes, while the household interview took 15 minutes. The youth questionnaires were a little shorter but also had a length of between 25 and 30 minutes.

Table 2.28: **Median interview length (minutes) by modes**

	Interviewer-based				
	Total		CAPI	PAPI	SELF
	Median	Percentiles (5%, 95%)	Median	Median	Median
Household questionnaire	15	(8, 30)	15	-	-
Individual questionnaire	35	(20, 60)	35	-	-
Individual + life-history questionnaire	40	(19, 90)	40	-	-
Youth questionnaire: age 16 or 17	30	(15, 60)	30	-	35
Cognitive competency tests	Not recorded				
Youth questionnaire: age 13 or 14	25	(15, 43)	20	-	30
Youth questionnaire: age 11 or 12	25	(12, 60)	20	-	30
Mother and child questionnaire: age 9 or 10	15	(8, 28)	15	-	23
Questionnaire for parents: age 7 or 8	10	(5, 20)	10	-	15
Mother and child questionnaire: age 5 or 6	Not recorded				
Mother and child questionnaire: age 2 or 3	Not recorded				
Mother and child questionnaire: newborn	Not recorded				
Questionnaire "Gap"	1	(1, 4)	1	-	-
Questionnaire "Deceased person"	Not recorded				

2.6.5 Consent to record linkage

In 2018, the target group designated for record linkage to employment-history data available at the Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg) consisted of 113 participants. They either joined the study for the first time as adults who moved into the households recently, as adults who had lived in the household before but participated in the study for the first time, or as youths that have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17). 57.5 percent of respondents gave their consent to record linkage (**Table 2.29**).

Table 2.29: **Consent to record linkage**

	Total	M1	M2
Gross sample ¹	113	82	31
Consent	65	50	15
Consent rate (in %)	57.5	61.0	48.4

¹ First-time participants in the survey.

2.7 Data preparation

Data preparation processes in samples M1/2 are in line with the processes that are described for samples A-N in **Section 1.7** of this report.

2.8 Delivered data

Gross Data

Gross data Household
Gross data Individuals
Interviewer data
SOEP Individuals Sample M1+M2

Hbru_2018_M1M2.sav
Pbru_2018_M1M2.sav
Intband_2018_M1M2.sav
P_2018_M1M2.sav

Net Data

Net data Household checked
Net data Household unchecked
Net data Individuals checked
Net data Individuals unchecked
Net data Individual + Life history checked
Net data Individual + Life history unchecked
Net data Youth (age 16 or 17) checked
Net data Youth (age 16 or 17) unchecked
Net data Cognitive competency test
Net data Youth (age 13 or 14)
Net data Youth (age 11 or 12)
Net data Mother and child E (age 9 or 10)
Net data Questionnaire for parents (age 7 or 8)
Net data Mother and child C (age 5 or 6)
Net data Mother and child B (age 2 or 3)
Net data Mother and child A (newborn)
„Gap“ data from 2017
Net data “Deceased person”
Consent to record linkage
Information on 7 and more children

H18_M1M2.sav
H18_M1M2_u.sav
P18_M1M2.sav
P18_M1M2_u.sav
PB18_M1M2.sav
PB18_M1M2_u.sav
J18_M1M2.sav
J18_M1M2_u.sav
DJ18_M1M2.sav
FJ18_M1M2.sav
S18_M1M2.sav
ME18_M1M2.sav
EL18_M1M2.sav
MC18_M1M2.sav
MB18_M1M2.sav
MA18_M1M2.sav
LUE17_18_M1M2.sav
VP18_M1M2.sav
EV18_M1M2_DIW.sav
7bis10Kind_2018_M1M2.sav

Other Data

Professions, sectors, final coding

University coding

Berufe_B Branchen_Ausb_
2018_M1M2.sav
Hochschul-Abschl_
2018_M1M2.sav

3 Samples M3-5

3.1 Introduction

Table 3.1 gives a short overview of the main characteristics of the 2018 wave. 3,042 households from samples M3-5 participated between September 2018 and February 2019. This results in a response rate of 64.7 percent. Participation of households that were respondents in the previous wave was at 69.5 percent. In all households, 4,376 adults and 370 youths gave interviews. For an additional 1,574 children of various age groups, data are available from interviews with a parent. 13 different questionnaires were fielded in CAPI mode. No other modes were used in M3-5 in 2018. Partial unit non-response (PUNR⁸) was at 56.9 percent.

Table 3.1: **Summary fieldwork**

Fieldwork period	September 2018 – February 2019
Mode (main questionnaires)	CAPI
Gross sample (hh)	4,772
Net sample (hh)	3,042
Response rate (hh)	Overall: 64.7 Prev. wave respondents: 69.5 Prev. wave dropouts: 44.1 New households: 43.4
Number of questionnaires	Adults: 5 Youths: 3 Children: 5
Net sample (individuals)	Adults: 4,376 Youths: 370 Children: 1,574
Questionnaire length (median, in minutes)	Household: 15 Adult ¹ : 50
Partial unit non-response (PUNR) ²	56.9

¹ Without first time respondents.

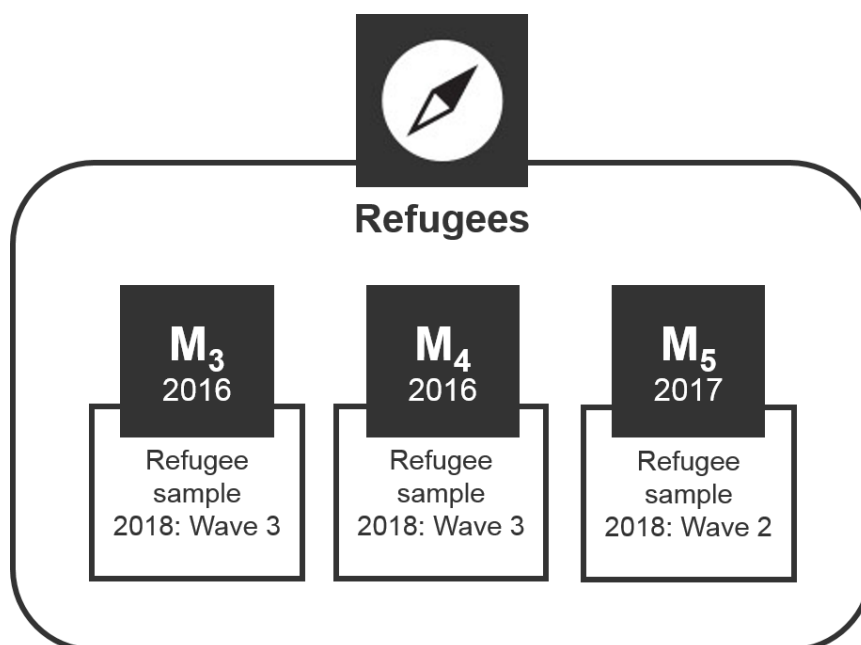
² Share of households (number of household members > 1) with at least one missing individual questionnaire.

⁸ PUNR: share of households (number of household members > 1) with at least one missing individual questionnaire.

3.2 Development samples M3-5

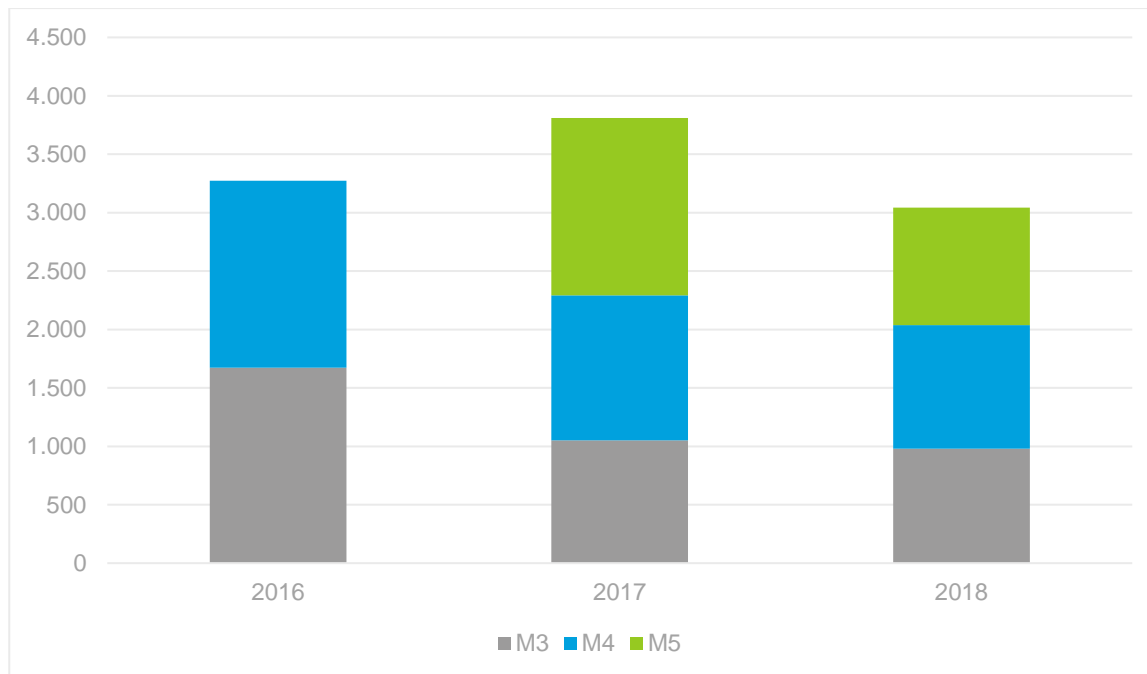
The refugee samples were integrated into SOEP-Core to represent the rising number of refugees who have arrived in Germany since 2013. To implement an innovative sampling procedure to map recent migration and integration dynamics, the SOEP partnered with the Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg) and the Research Centre of the Federal Office for Migration and Refugees (Forschungszentrum des Bundesamt für Migration und Flüchtlinge, BAMF-FZ) in 2016. M3 is the acronym for the first boost sample of 1,673 households of adult refugees who entered Germany from January 1, 2013 to January 31, 2016 and applied for asylum in Germany. M4 is the acronym for the second refugee boost sample with 1,601 households. It consists of two tranches. The first one is a household boost of the M3 sample. For the second tranche, underage children of refugee families were sampled, but only the adults in the respective households were invited to participate. M5 is the acronym for the third boost sample of 1,519 refugee households that was established in 2017. The population covers adult refugees who have applied for asylum in Germany since January 1, 2013 and are currently living in Germany. For all three samples, the Central Register of Foreign Nationals (Ausländerzentralregister, AZR) was utilized as a sampling frame.⁹ In 2018, the second wave of sample M5 and the third wave of samples M3 and M4 were fielded.

Figure 3.1: Overview of refugee samples



⁹ The sampling design of the refugee samples M3 and M4 is described in: SOEP Wave Report 2016; the sampling design for M5 in: SOEP Wave Report 2017.

Figure 3.2: Development of samples M3-5 since 2016 (number of households)



3.3 Structure of the gross sample

The final gross sample of the previous year serves as a starting point for the following year's survey wave. Of 6,697 households in samples M3-5 in 2017, 57.6 percent were coded as respondents without refusal for the next wave and are thus expected to participate in 2018 (**Table 3.2**). A total of 26.7 percent of all households in the samples dropped out permanently in 2017. Another 15.3 percent dropped out temporarily. Temporarily dropped out households of sample M3 and M4 are invited to participate again in the following year. As sample M5 was introduced in 2017, temporary dropouts from 2017 are excluded for following waves in this sample.

Table 3.2: Final gross sample 2017 by type of household

Household level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	6,697	100.0	1,853	100.0	1,860	100.0	2,984	100.0
Participating households without refusal for next wave	3,859	57.6	1,098	59.3	1,259	67.7	1,502	50.3
Participating households with refusal for next wave	25	0.4	4	0.2	4	0.2	17	0.6
Temporary dropouts	1,027	15.3	401	21.6	279	15.0	347	11.6
Final dropouts	1,786	26.7	350	18.9	318	17.1	1,118	37.5

Table 3.3: Administered gross sample 2018 by type of household

Household level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample¹	4,772	100.0	1,562	100.0	1,606	100.0	1,604	100.0
Participating households in previous wave	3,884	81.4	1,102	70.6	1,263	78.6	1,519	94.7
Temporary dropout in previous wave ²	680	14.2	401	25.7	279	17.4	0	0.0
New households (split-off hhs)	208	4.4	59	3.8	64	4.0	85	5.3

¹ The gross sample consists of more cases than anticipated at the end of the previous wave, because one household that did not participate in 2017 re-entered the panel.

Table 3.3 presents the gross sample of 2018 for three different types of household. Of 4,772 households in the gross sample, 81.4 percent were respondents in the previous wave. 680 households in M3 and M4 which dropped out temporarily in 2017 are invited to take part in 2018 again. Additionally, 208 new split-off households were identified and included in the samples.

Table 3.4: Household characteristics by sub-samples I

Household level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	4,564	100.0	1,503	100.0	1,542	100.0	1,519	100.0
HH size¹								
1	1,431	31.4	602	40.1	274	17.8	555	36.5
2	436	9.6	157	10.4	113	7.3	166	10.9
3	489	10.7	152	10.1	146	9.5	191	12.6
4	709	15.5	212	14.1	274	17.8	223	14.7
5+	1,499	32.8	380	25.3	735	47.7	384	25.3
State								
Schleswig-Holstein	217	4.8	70	4.7	97	6.3	50	3.3
Hamburg	122	2.7	62	4.1	28	1.8	32	2.1
Lower Saxony	487	10.7	135	9.0	141	9.1	211	13.9
Bremen	63	1.4	44	2.9	19	1.2	0	0.0
North Rhine-Westphalia	1,045	22.9	245	16.3	314	20.4	486	32.0
Hesse	428	9.4	121	8.1	110	7.1	197	13.0
Rhineland Palatinate	199	4.4	53	3.5	64	4.2	82	5.4
Saarland	506	11.1	152	10.1	215	13.9	139	9.2
Baden-Wuerttemberg	634	13.9	247	16.4	210	13.6	177	11.7
Bavaria	88	1.9	57	3.8	31	2.0	0	0.0
Berlin	193	4.2	99	6.6	63	4.1	31	2.0
Brandenburg	174	3.8	81	5.4	69	4.5	24	1.6
Mecklenburg Western Pomerania	68	1.5	22	1.5	34	2.2	12	0.8
Saxony	158	3.5	31	2.1	93	6.0	34	2.2
Saxony-Anhalt	75	1.6	25	1.7	40	2.6	10	0.7
Thuringia	107	2.3	59	3.9	14	0.9	34	2.2

¹ Status as of previous wave; new households are consequently missing (all hh members including children)

Key characteristics of the households in samples M3-5 are presented in **Table 3.4** and **Table 3.5**. Most frequently, households consist of only one household member. However, there is also a notable number of households over all three samples which consist of five or more household members (32.8 percent). Many are positioned in or around larger cities, but at 32.9 percent, the share is smaller than in samples M1/2 (44.1 percent) and similar to samples A-N (34.7 percent).

Table 3.5: Household characteristics by sub-samples II

Household level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	4,564	100.0	1,503	100.0	1,542	100.0	1,519	100.0
BIK type ¹								
0	1,127	24.7	405	26.9	336	21.8	386	25.4
1	373	8.2	48	3.2	172	11.2	153	10.1
2	1,017	22.3	380	25.3	336	21.8	301	19.8
3	616	13.5	183	12.2	215	13.9	218	14.4
4	112	2.5	19	1.3	54	3.5	39	2.6
5	374	8.2	180	12.0	98	6.4	96	6.3
6	515	11.3	169	11.2	175	11.3	171	11.3
7	322	7.1	88	5.9	118	7.7	116	7.6
8	72	1.6	16	1.1	26	1.7	30	2.0
9	36	0.8	15	1.0	12	0.8	9	0.6
Community size ³								
1	85	1.9	28	1.9	25	1.6	32	2.1
2	240	5.3	64	4.3	89	5.8	87	5.7
3	1,055	23.1	303	20.2	404	26.2	348	22.9
4	1,026	22.5	305	20.3	362	23.5	359	23.6
5	605	13.3	278	18.5	167	10.8	160	10.5
6	854	18.7	249	16.6	290	18.8	315	20.7
7	699	15.3	276	18.4	205	13.3	218	14.4

¹ Status as reported at the end of wave 2017. New households in 2018 are consequently missing.

² BIK-type: 0 (more than 500,000 inhabitants/ center) 1 (more than 500,000 inh./periphery), 2 (100,000 to 499,999 inh./center)

3 (100,000 to 499,999 inh /periphery), 4 (50,000 to 99,999 inh.(center), 5 (50,000 to 99,999 inh./periphery), 6 (20,000 to 49,999 inh.), 7 (5,000 to 19,999 inh.), 8 (2,000 to 4,999 inh.), 9 (fewer than 2,000 inh.)

³ Community size: 1 (fewer than 2000 inhabitants), 2 (2,000 to 5,000 inh.), 3 (5,000 to 20,000 inh.), 4 (20,000 to 50,000 inh.), 5 (50,000 to 100,000 inh.), 6 (100,000 to 500,000 inh.), 7 (more than 500,000 inh.).

3.4 Questionnaires and fieldwork material

3.4.1 Questionnaires

One special feature of samples M3-5 is the use of four different versions of individual questionnaires (see **Table 3.6**). For M3-5, a special SOEP individual questionnaire was developed that includes issues specific to refugees. All other members of the household who are not identified as refugees with the help of a short screener receive the same questionnaire as adult respondents from samples M1/2. A longer version of each respective questionnaire exists in order to record the life-history of each respondent who is interviewed for the first time. There are youth and child questionnaires for the same age groups as in the samples A-N and M1/2. All questionnaires are solely available in CAPI mode and provided in six different language versions (see **Section 3.5.3**).

Table 3.6: **Questionnaires and modes**

	CAPI
Household questionnaire	✓
Individual questionnaire for refugees	✓
Individual questionnaire + life-history questionnaire for refugees	✓
Individual questionnaire for non-refugees	✓
Individual questionnaire + life-history questionnaire for non-refugees	✓
Youth questionnaire: age 16 or 17 ¹	✓
Youth questionnaire: age 13 or 14 ¹	✓
Youth questionnaire: age 11 or 12 ¹	✓
Mother and child questionnaire: age 9 or 10	✓
Questionnaire for parents: age 7 or 8	✓
Mother and child questionnaire: age 5 or 6	✓
Mother and child questionnaire: age 2 or 3	✓
Mother and child questionnaire: newborn	✓

¹ Including cognitive competency test.

At the household level, in addition to the standard household questionnaire, a mother-child questionnaire was used, merging the questionnaires previously used for children of different age groups. Additionally, a questionnaire for teenagers was fielded with special questions for certain birth cohorts. In 2018, it included

knowledge questions and a picture puzzle. For adults, two different kinds of questionnaires were used. First-time respondents completed a questionnaire including additional biographical questions.

Two notable features of this year's questionnaire were the CAMCES (Computer-assisted measurement and coding of educational qualifications in surveys) module and the escape-route map. Both had already been used the year before in samples M3 and M4. This year, they were integrated into the questionnaires for second-wave participants in M5. The CAMCES module is based on a tool that was developed to accurately measure educational attainment using an international database of educational qualifications. Respondents enter their qualifications into a text box. A search algorithm then matches it with educational qualifications from the database, producing the most likely response. The procedure enables the correct coding of educational qualifications and degrees from a wide variety of countries. The escape-route map is a tool to reconstruct a refugee's route from their home country to their arrival in Germany. The tool is integrated into the CAPI questionnaire. A world map is presented to the respondents. By clicking on the screen, the respondents can select their home country and then mark all stops along their route. They are urged to not only select countries but mark all important cities and border crossing points as well.

As with every previous subsample of the migration population in the SOEP, questionnaire content is based on the SOEP-Core questionnaires. However, there are several deviations from the SOEP-Core standard to reflect the special characteristics of the target group, including several additional questions on migration and integration.

3.4.2 Fieldwork material

In addition to the questionnaires, a whole range of fieldwork materials such as letters, leaflets or documents for the interviewers are designed, printed and sent to households and interviewers. **Table 3.7** provides an overview of the different material types that are prepared in samples M3-5. Because the mode is restricted to CAPI in these samples, the number of different versions of materials is notably smaller than in samples A-H. But many materials are provided in seven different languages (German, English, English, Arabic, Farsi, Pashtu, Urdu and Kurmanji).

Advance letter

About two weeks before the start of the fieldwork period, the households receive an advance letter in which the interviewer's visit is announced. It is always sent in German language as well as in one second of the six other available languages in accordance with the language version chosen for the interview in 2017. The letter includes links to the SOEP website that provides additional information in the different languages.

Leaflet

Every household in samples M3-5 receives an eight-page leaflet with reports and published results specifically from the refugee sample. The leaflets in German and the second language are sent with the advance letter.

Declaration on data protection

Every household gets access to a two-page declaration on data protection detailing the organizations that are responsible for processing all respondent data along with a description of data handling and data recipients. The declaration on data protection in German and the second language is sent with the advance letter.

Consent to record linkage form

To all new respondents born in 2000 or later a consent to record linkage form was presented that allows an individual linkage between the respondent's data and employment history data available at the Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg). Respondents who have been asked in one of the previous waves but declined or did not understand the issue are asked for their consent a second time.

Table 3.7: **Fieldwork material**

	CAPI
Advance letter	<ul style="list-style-type: none"> • In 7 languages (German, English, Arabic, Farsi, Pashtu, Urdu, Kurmanji)
Leaflet	<ul style="list-style-type: none"> • In 7 languages
Declaration on data protection	<ul style="list-style-type: none"> • In 7 languages
Consent to record linkage form ¹	<ul style="list-style-type: none"> • In 7 languages
Address form and household grid ²	<ul style="list-style-type: none"> • Electronic form (Mein Kantar)
Project instruction book	<ul style="list-style-type: none"> • Version for M3-5
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card (in 7 languages) • HH information card
Additional interviewer material for M3-5 to use in the households	All in 7 languages: <ul style="list-style-type: none"> • How is a survey carried out? • FAQ • Aid to fill out the household grid • Postcard for movers
Additional interviewer material for M3-5 to use when dealing with shared accommodations	<ul style="list-style-type: none"> • Letter from the Federal Office for Migration and Refugees (BAMF) • Leaflet describing the survey

¹ Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg): Link to employment history data.

² Including the so-called "B3 form" used to process address changes.

Address form and household grid

The address form provides an overview of the household composition as it was last known to Kantar. The interviewers must document when and with whom the survey was conducted or why a sample member did not participate in the current year. They are also asked to note every single contact attempt made. For samples M3-5, interviewers do this in electronically in the "Mein Kantar" software.

Moreover, the interviewers are asked to carefully document any moves of households and household members or changes in the household composition. An additional form had to be completed for every person that has left the household since the last survey, because all of these remain potential respondents and are tracked even if the new address is unknown.

Project instruction book

In addition to a shorter project description, interviewers in samples M3-5 also receive a much more detailed instruction manual that is about 70 pages long. This manual contains information on special features of the current wave, specific processing instructions and questionnaires as well as background information on the project.

Other interviewer material

Moreover, the interviewers receive contact cards for households that could not be reached at home and household information cards with information on individual numbers, names, years of birth, types of questionnaires, incentives, survey modes, and notes.

Additional interviewer material to use in M3-5 households

Because the language barriers in households of samples M3-5 are often higher than in other samples, the interviewers receive a few additional laminated sheets in all seven languages to help explain how a survey is carried out to address frequently asked questions and to help fill out the household grid. For movers, the interviewers also leave a postcard with the households that asks them to send their new address to Kantar.

Additional interviewer material to use when dealing with shared accommodations

In samples M3-5, interviewers might have to deal with employees and security personnel at shared refugee accommodations participating households inhabit. This is why the Federal Office for Migration and Refugees (Bundesamt für Migration und Flüchtlinge, BAMF) sends the interviewers a letter and a leaflet describing the survey to be handed over to shared accommodations.

3.5 Conducting the survey

3.5.1 Survey mode

All questionnaires used in samples M3-5 are solely available in CAPI mode. Hence, no interviews in other modes such as SELF interviewing, which is possible for youth and child questionnaires in samples M1/2, exist in samples M3-5 in 2018.

3.5.2 Fieldwork timing

The fieldwork progress for each month is depicted in **Table 3.8**. Fieldwork started in September and lasted until the beginning of February. Excluding September and February, the overall productivity in each month was relatively stable with about 20 percent of the net samples being processed in each of these months. Originally, fieldwork was scheduled to end in December 2018, but it had to be extended for several reasons. Many first-wave addresses were no longer accurate for second-wave fieldwork and required further research. It was also more difficult to find times when respondents could meet with interviewers than in the first wave, and many appointments had to be rescheduled.

Table 3.8: **Monthly fieldwork progress**

Household level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
September ¹	517	10.8	326	10.7
October	881	18.5	649	21.3
November	982	20.6	722	23.7
December	901	18.9	574	18.9
January	1,222	25.6	650	21.4
February	269	5.6	121	4.0

¹ Including households that refused to take part in the survey prior to start of fieldwork.

3.5.3 Translations

Language problems during the interviewing process form a potential major challenge for surveys with populations that recently entered the country as refugees. Although some of the interviewers conducting in M3-5 speak Arabic, Farsi, or Pashtu, it is generally not feasible to match interviewers with special language skills with respondents in such a large, nationwide survey. As implemented successfully in the first wave of samples M3/4 in 2016, a bilingual CAPI program was used for all three refugee samples in 2018. Questions in German and a second language were shown on the screen side by side as shown in **Figure 3.3**. The language was selected at the beginning of the interview.

Figure 3.3: Screenshot bilingual CAPI program – language selection

SP1
Welche Sprachversion soll verwendet werden?
Which language combination should be used for the interview?
ما هو الزوج اللغوي الذي تريد استخدامه لإجراء الحوار؟
مايل هستيد كه مصاحبه به چه زبانی انجام بگيرد؟
کومه ژبه بايد د مرکي لپاره وکارول شي؟
انٹرویو کے لئے کون سی زبان کا امتزاج استعمال کیا جانا چاہئے؟
Kijan ziman bikar bê?
☐ 1. Deutsch / Englisch
1 German / English
☒ 2. Deutsch / Arabisch
2 آلمانی / عربی
☐ 3. Deutsch / Farsi
3 آلمانی / فارسی
☐ 4. Deutsch / Paschtu
4 جرمنی/پښتو
☐ 5. Deutsch / Urdu
5 جرمن / اردو
☐ 6. Deutsch / Kurmandschi
6 Almanî/Kurmançî

Table 3.9: Available language versions

	German / English	German / Arabic	German / Farsi	German / Pashtu	German / Urdu	German / Kurmanji
Household questionnaire	✓	✓	✓	✓	✓	✓
Individual questionnaire for refugees	✓	✓	✓	✓	✓	✓
Individual + life-history questionnaire for refugees	✓	✓	✓	✓	✓	✓
Youth questionnaires ¹	✓	✓	✓	✓	✓	✓
Mother and child quest./ quest. for parents	✓	✓	✓	✓	✓	✓

¹ Including cognitive competency test.

Table 3.10 presents the utilization of each language version for the individual questionnaires. A translated individual questionnaire was used for 4,344 interviews. With 76.2 percent, the German / Arabic version was used most frequently, followed by the German / Farsi version with 12.2 percent. The questionnaires in Pashtu, Farsi and Kurmanji were selected far less frequently, with between 30 and 54 times for the questionnaire for previous respondents and between two and seven times for the individual + life-history questionnaire.

Table 3.10: **Utilization of a certain language version – individual questionnaire for refugees¹**

	Total		Individual questionnaire		Individual questionnaire + life-history questionnaire	
	Abs.	In %	Abs.	In %	Abs.	In %
German / English	366	8.4	341	8.7	25	5.8
German / Arabic	3,310	76.2	2,957	75.6	353	81.5
German / Farsi	528	12.2	485	12.4	43	9.9
German / Pashtu	33	0.8	30	0.8	3	0.7
German / Urdu	56	1.3	54	1.4	2	0.5
German / Kurmanji	51	1.2	44	1.1	7	1.6
Total	4,344	100.0	3,911	100.0	433	100.0

¹ Individual questionnaire and individual questionnaire + life-history questionnaire for new respondents.

In addition to the questionnaires and the fieldwork materials that were available in the different languages, the interviewers could call a so-called “interpreter hotline” during the process of contacting the households. Then other interviewers that are fluent in either Arabic or Farsi helped the interviewer, e.g. to explain the study background, answer questions and set up an appointment for the interview. But this service could only be used to convince respondents to participate in the study. The interview itself needed to be conducted with the bilingual questionnaires.

For the 32 non-refugees who received the individual questionnaire from samples M1/2, translated paper versions in five different languages including English, Russian, Turkish, Romanian and Polish were available (**Table 3.11**). Assistance with language problems was needed in only five cases, which amounts to 15.6 percent (**Table 3.12**). Most of them were solved by consulting a German-speaking person from outside of the households. No interviewer reported using one of the translated paper questionnaires.

Table 3.11: **Translated paper questionnaires for the individual questionnaires for non-refugees**

	English	Russian	Turkish	Romanian	Polish
Individual questionnaire for non-refugees	✓	✓	✓	✓	✓
Individual + life-history questionnaire for non-refugees	✓	✓	✓	✓	✓

Table 3.12: Language problems and usage of translated paper questionnaires¹ for non-refugees

	Total	In % net sample
Net sample (individual questionnaire) ²	32	100.0
No language problems occurred/no need for assistance with language problems	27	84.4
Assistance with language problems needed	5	15.6
Of that number:		
German-speaking person in the same household	1	3.1
German-speaking person from outside the household	4	12.5
Professional interpreter	0	0
Translated paper questionnaire	0	0
Of that number:		
English	0	0
Russian	0	0
Turkish	0	0
Romanian	0	0
Polish	0	0

¹ Individual questionnaire and individual questionnaire + life-history questionnaire for non-refugees.

² Including all individual questionnaires even if the household in which they are conducted is classified as a non-participating household.

3.5.4 Panel maintenance and incentives

In the first waves of samples M3-5, the households did not receive any cash incentives or vouchers. This was due to an assumption that many households still lived in shared accommodations and might experience problems when presented with cash by the interviewers. At the beginning of fieldwork in 2018, interviewers were given a choice between handing over a notebook with a pen as a small gift or bringing a small gift of less than 5 euros in value to choose by him- or herself (e.g. sweets, small toys for children). After a couple of weeks of fieldwork, some interviewers reported that participants increasingly asked for cash incentives because some had heard that other surveys provide them. Consequently, interviewers could also offer 15 euros in cash to every participating household from October onwards.

3.5.5 Movers and tracing

Looking at the gross sample, 35.1 percent of all households in samples M3-5 were identified as movers or new households and therefore, their new address needed to be traced (see **Table 3.13**). It is not surprising that this share is much higher than in both samples A-N (10.3 percent) and samples M1/2 (15.1 percent). The tracing of these households was successful in 87.0 percent of all cases. Most new addresses were gained by inquiring local registration offices, which is a complex but important process in panel maintenance.

Table 3.13: **Movers and sources of new addresses of administered sample 2018**

Household level	Total	
	Abs.	In %
Gross sample	4,772	100.0
Movers and new households	1,675	35.1
Success tracing		
Tracing successful	1,457	87.0
Tracing not successful	218	13.0
Source		
Interviewer	464	27.7
Postal service	52	3.1
Local registration offices	983	58.7
Participant	73	4.4
Client	103	6.1

3.5.6 Interviewer characteristics, training & monitoring

Table 3.14 presents key characteristics for the interviewers working in the samples M3-5. A total of 55 interviewers were active over all three samples, and 70.9 percent of them were male. A high share of the interviewers is between 21 and 40 years old. Thus, the age structure is younger compared to the interviewing staff in the SOEP-Core samples. Most interviewers processed between 20 and 99 households.

Table 3.14: Interviewer characteristics

Interviewer level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	55	100.0	55	100.0	51	100.0	51	100.0
Gender								
Male	39	70.9	39	70.9	36	70.6	36	70.6
Female	16	29.1	16	29.1	15	29.4	15	29.4
Age								
21-39 years	24	43.6	24	43.6	22	43.1	24	47.1
40-59	20	36.4	20	36.4	19	37.3	18	35.3
60-79	11	20.0	11	20.0	10	19.6	9	17.6
Number of households								
Fewer than 5 (gross)	1	1.8	4	7.3	4	7.8	8	15.7
5 – 19	7	12.7	23	41.8	16	31.4	11	21.6
20 – 99	31	56.4	27	49.1	31	60.8	32	62.7
More than 99	16	29.1	1	1.8	0	0.0	0	0.0

Because fieldwork in samples M3-5 is carried out by a special group of interviewers, of whom many recruited to carry out refugee surveys are able to speak Arabic, the staff is not only notably different in age compared to the interviewers in samples A-N. They are also much less experienced as interviewers, as shown in **Table 3.15**. 70.9 percent have less than 5 years of experience working for Kantar compared to only 12.7 percent in samples A-N.

Table 3.15: Interviewer experience

Interviewer Level	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	55	100.0	55	100.0	51	100.0	51	100.0
Experience with Kantar								
0-4 years of experience with Kantar	39	70.9	39	70.9	37	72.5	38	74.5
5-9 years	11	20.0	11	20.0	10	19.6	9	17.6
10-19 years	5	9.1	5	9.1	4	7.8	4	7.8
Experience with SOEP								
0-4 years	45	81.8	45	81.8	42	82.4	43	84.3
5-9 years	7	12.7	7	12.7	7	13.7	6	11.8
10-19 years	3	5.5	3	5.5	2	3.9	2	3.9

All interviewers in samples M3-5 were trained face-to-face by members of the project team at Kantar a couple of days prior to the start of fieldwork. Topics of the one-day event held in August 2018 were:

- Welcome and overview of the survey
- General processing rules and special features of SOEP samples M3-5
- Field documents
- Overview of the questionnaires
- Using the sample management system “Mein Kantar”
- Using the CAPI survey software “Compass 32”
- Central organizational aspects of field organization
- Tutorial

After the end of fieldwork, a few of the interviewers, clients and members of the project team at Kantar met in February 2019 for a debriefing to discuss a range of topics:

- Quality assurance
 - Interviewer monitoring
 - Interviewer staff (small vs. larger staff)
 - Interviewer training (mode and content)
- Questionnaire
 - Content (comprehensibility etc.)
 - Interview length (need for shortening)
 - Translations (quality and number of translations)
- Response rates
 - Incentive (cash vs. other gifts)
 - Fieldwork material (documents for interviewers and target persons)

Kantar places high priority on interviewer monitoring and has put an ISO-certified process in place that is audited regularly. Kantar adheres to the German Business Association of Market and Social Research Institutes (Arbeitskreis Deutscher Markt- und Sozialforschungsinstitute e.V., ADM) standards for internal regulation and monitoring of all systems and procedures. This means that a minimum of 10 percent of Kantar's annual interviews are checked, and every interviewer is monitored at least once a year.

In 2018, we expanded these existing quality control measures for interviewer monitoring in the SOEP projects. The basic interviewer-monitoring concept was expanded to a project-based control system for all SOEP samples: A number of participating households is contacted shortly after the interview by letter or phone asking them to confirm their participation in a regularly conducted interview. In case of inconsistencies and/or irregularities, we attempted to gain clarification through direct contact with respondents, primarily by telephone.

Table 3.16 shows details for the re-contacting process in samples M3-5. Of 3,042 households in the net sample, 90.7 percent were re-contacted after the interviews had been conducted in order to assure data quality and identify non-standard behavior by interviewers. In terms of survey mode, phone interviews were the standard approach to ensure a relatively high response rate. Only households for which no telephone number was available received a short paper questionnaire.

Overall, we received feedback from 1,708 households. This results in a response rate of 61.9 percent overall. Using the results from the re-contacting process, we identified two interviewers who had not adhered to our standards in conducting interviews in the 2018 fieldwork period. The interviews from these two interviewers were deleted and the households were then interviewed by another interviewer, if possible.

Table 3.16: Interviewer monitoring

	Total		
	Abs.	In %	In %
By households			
Households in net sample	3,042	100.0	-
Re-contacted households	2,759	90.7	100.0
Households with feedback	1,708	56.1	61.9
By interviewers			
Interviewers in net sample	53	100.0	-
Interviewers with re-contacted households	52	98.1	-
Interviewers with non-standard behavior	2	3.8	-

In samples M3-5, we also took first steps in intensifying our interviewer monitoring processes by also using paradata and interview data starting soon after fieldwork began. Results from these data checks were vital in identifying one of the two interviewers with non-standard behavior.

3.6 Fieldwork results

3.6.1 Participation on household level

Table 3.17 provides a detailed overview on participation figures for three different types of households. In total, 3,042 of 4,772 households in the gross sample were interviewed.

Table 3.17: **Participation by type of household (with AAPOR codes)**

	Total		Respondents in previous wave		Dropouts in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	4,772	100.0	3,884	100.0	680	100.0	208	100.0
Interview (1.0)	3,042	63.7	2,658	68.4	295	43.4	89	42.8
Complete (1.1)	1,870	39.2	1,651	42.5	155	22.8	64	30.8
Partial (1.2)	1,172	24.6	1,007	25.9	140	20.6	25	12.0
Non-interview (2.0)	1,730	36.3	1,226	31.6	385	56.6	119	57.2
Temporary dropout	967	20.3	869	22.4	20	2.9	78	37.5
Non-contact (2.20)	321	6.7	296	7.6	0	0.0	25	12.0
Temporary refusal (2.11)	525	11.0	495	12.7	5	0.7	25	12.0
Temporarily physically or mentally unable (2.321)	13	0.3	12	0.3	0	0.0	1	0.5
Household could not be traced (temporary) (3.18; 2.4)	108	2.3	66	1.7	15	2.2	27	13.0
Final dropout	763	16.0	357	9.2	365	53.7	41	19.7
Permanent refusal (2.111)	249	5.2	198	5.1	49	7.2	2	1.0
Permanently physically or mentally unable (2.322)	7	0.1	4	0.1	1	0.1	2	1.0
Language problem (2.331)	4	0.1	3	0.1	1	0.1	0	0.0
Deceased (2.31)	1	0.0	0	0.0	1	0.1	0	0.0
Moved abroad (4.2)	50	1.0	41	1.1	9	1.3	0	0.0
Household dissolved (4.2)	0	0.0	0	0.0	0	0.0	0	0.0
Household untraceable (4.4)	190	4.0	95	2.4	58	8.5	37	17.8
Dropped out temporarily in two consecutive waves	239	5.0	0	0.0	239	35.1	0	0.0
Not worked, deleted after start of fieldwork (3.3) ¹	23	0.5	16	0.4	7	1.0	0	0.0

¹ After the start of fieldwork in 2018, two interviewers were identified who did not conduct their interviews in the first wave of the study in 2016 according to Kantar quality standards. The households that were affected in 2016 were excluded from the study 2018 as well, because no correct first wave information was available for them.

20.3 percent of the gross sample dropped out temporarily, with soft refusals (e.g. currently not willing, no time) as most frequent reasons. Another 16.0 percent of the gross sample dropped out of the survey permanently. Two temporary dropouts in consecutive waves are the most frequent reason here. With 68.4 percent, the interviewing rate for respondents who participated in the previous wave as well is slightly higher compared to the total rate. Of households that temporarily dropped out in 2017, 43.4 percent participated again in this year's wave. Also 89 new households were successfully interviewed, which amounts to a response rate of 42.8 percent.

Table 3.18: **Participation by sample (with AAPOR codes)**

	Total		M3		M4		M5	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	4,772	100.0	1,562	100.0	1,606	100.0	1,604	100.0
Interview (1.0)	3,042	63.7	979	62.7	1,058	65.9	1,005	62.7
Complete (1.1)	1,870	39.2	615	39.4	618	38.5	637	39.7
Partial (1.2)	1,172	24.6	364	23.3	440	27.4	368	22.9
Non-interview (2.0)	1,730	36.3	583	37.3	548	34.1	599	37.3
Temporary dropout	967	20.3	258	16.5	267	16.6	442	27.6
Non-contact (2.20)	321	6.7	79	5.1	77	4.8	165	10.3
Temporary refusal (2.11)	525	11.0	148	9.5	152	9.5	225	14.0
Temporarily physically or mentally unable (2.321)	13	0.3	5	0.3	5	0.3	3	0.2
Household could not be traced (temporary) (3.18; 2.4)	108	2.3	26	1.7	33	2.1	49	3.1
Final dropout	763	16.0	325	20.8	281	17.5	157	9.8
Permanent refusal (2.111)	249	5.2	76	4.9	99	6.2	74	4.6
Permanently physically or mentally unable (2.322)	7	0.1	1	0.1	1	0.1	5	0.3
Language problem (2.331)	4	0.1	2	0.1	2	0.1	0	0.0
Deceased (2.31)	1	.0	0	0.0	1	0.1	0	0.0
Moved abroad (4.2)	50	1.0	18	1.2	13	.8	19	1.2
Household dissolved (4.2)	0	0.0	0	0.0	0	0.0	0	0.0
Household untraceable (4.4)	190	4.0	70	4.5	61	3.8	59	3.7
Dropped out temporarily in two consecutive waves	239	5.0	141	9.0	98	6.1	0	0.0
Not worked, deleted after start of fieldwork (3.3) ¹	23	0.5	17	1.1	6	0.4	0	0.0

¹ After start of fieldwork 2018, two interviewers were identified who did not conduct their interviews according to Kantar quality standards in first wave of the study 2016. The households that were affected in 2016 were excluded from the study 2018 as well, because no correct first wave information was available for them.

Numbers of participation differentiated for the three samples M3-5 are presented in **Table 3.18**. The interviewing rates vary only slightly over all samples. Compared to the older samples, the recently introduced sample M5 shows a higher percentage of temporary dropouts and in turn lower permanent dropouts for the present wave.

Table 3.19 presents the overall response rate as well as response rates for the different types of households mentioned earlier. The overall response rate of all households in samples M3-5 amounts to 64.7 percent. It is slightly higher for households which also responded in last year's survey and lower, respectively at 44.1 percent, for households that dropped out previously. New households come in with a response rate of 43.4 percent. Response rates for all three samples M3-5 are provided in **Table 3.20**. M4 has the highest response rate with 66.7 percent. Still, there are no significant differences between the samples.

Table 3.19: **Response rate by type of household (in percent)**

	Total	Respondents in previous wave	Drop-outs in previous wave	New households
Response rate ¹	64.7	69.5	44.1	43.4

¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

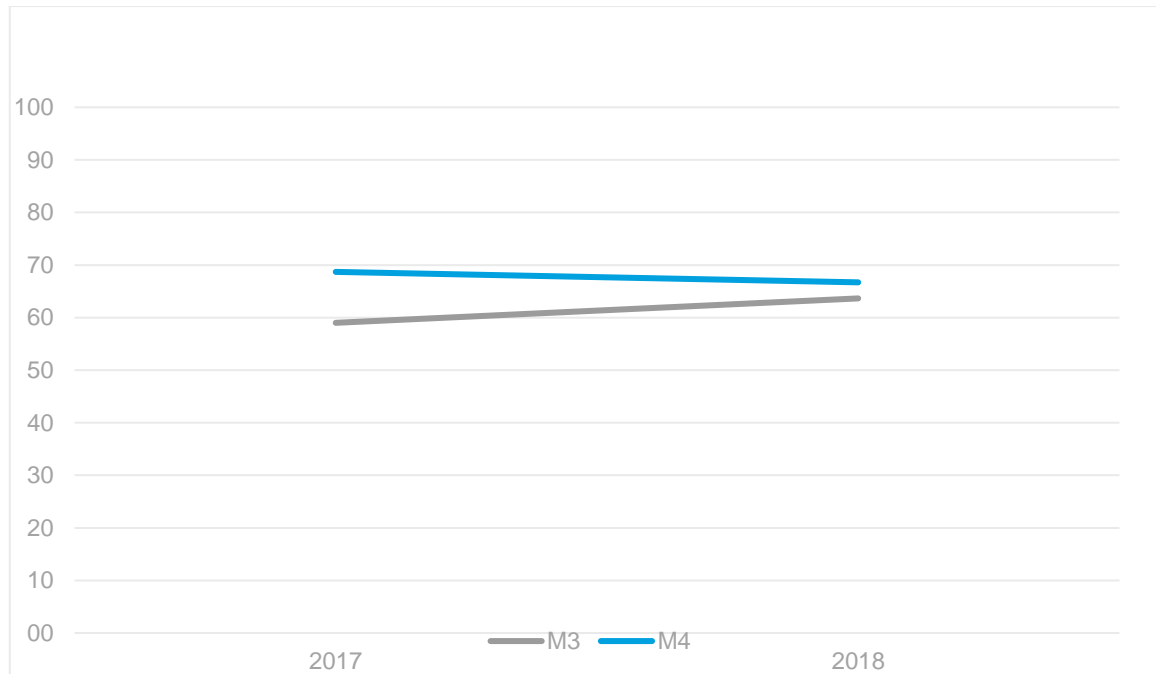
Table 3.20: **Response rate by sample (in percent)**

	Total	M3	M4	M5
Response rate ¹	64.7	63.7	66.7	63.7

¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household).

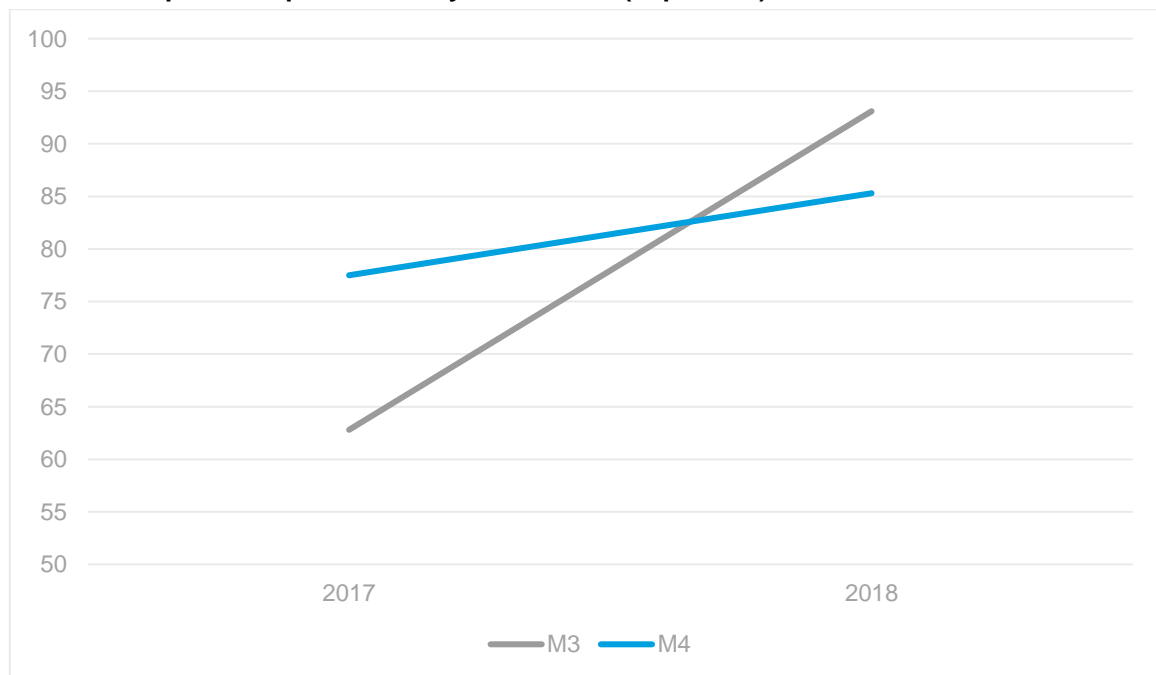
The development of response rates since 2017 for samples M3 and M4 is presented in **Figure 3.4**. While M3 shows a slight increase between 2017 and 2018, M4 decreases by approx. 2 percent. In terms of panel stability, both samples M3 and M4 increased substantially from 2017 to 2018 (**Figure 3.5**). While M3 scored 14.5 percent lower on stability than M4 in 2017, the sample reaches 93.0 percent in 2018, surpassing M4. M4 reaches 85.3 percent in 2018 with a 7.8 percent increase.

Figure 3.4: Development of response rates¹ since 2017 (in percent)



¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, moved abroad or is temporarily or permanently unable to participate or dissolved households where the last member moved into another SOEP household)

Figure 3.5: Development of panel stability¹ since 2017 (in percent)



¹ Number of participating households divided by previous wave's net sample.

3.6.2 Participation on individual level

Table 3.21 presents participation numbers by panel status on an individual level. Of 9,395 individuals in the gross sample, 47.6 percent were successfully interviewed, while 52.4 percent either dropped out temporarily or permanently. The participation rate is moderately higher regarding individuals who also participated in the previous wave (60.5 percent). Of all pre-wave dropouts, only 26.9 percent were willing to participate again in the present year. The rates are slightly higher for new panel members and youths.

Table 3.21: **Participation by panel status (with AAPOR codes)**

	Total		Respondents in previous wave		Dropouts in previous wave		New panel members ¹		Youths ²	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample ³	9,395	100	5,721	100	3,058	100	300	100	316	100
Interview (1.0)	4,471	47.6	3,461	60.5	824	26.9	91	30.3	95	30.1
Non-interview (2.0)	4,924	52.4	2,260	39.5	2,234	73.1	209	69.7	221	69.9
Temporary dropout	2,538	27.1	1,728	30.2	397	13.1	192	64.0	221	69.9
Non-contact (2.20)	44	0.5	27	0.5	11	0.4	6	2	0	0
Temporary refusal (2.112)	2,007	21.4	1,533	26.8	323	10.6	151	50.3	0	0
Temporarily physically or mentally unable/incompetent (2.321)	47	0.5	30	0.5	8	0.3	9	3	0	0
Language problem (2.331)	42	0.4	25	0.4	6	0.2	11	3.7	0	0
Person could not be traced (temporary) (3.18; 2.4)	146	1.6	101	1.8	45	1.5	0	0	0	0
Other temp. (2.52)	252	2.7	12	0.2	4	0.1	15	5	221	69.9
Final dropout	2,386	25.5	532	9.2	1,837	60.0	17	5.7	0	0
Permanent refusal (2.111)	1,973	21.0	306	5.3	1,660	54.3	7	2.3	0	0
Permanently physically or mentally unable/incompetent (2.322)	17	0.2	6	0.1	6	0.2	5	1.7	0	0
Deceased (2.31)	6	0.1	5	0.1	1	0	0	0	0	0
Moved abroad (4.2)	93	1.0	60	1.0	31	1	2	0.7	0	0
Person untraceable (4.4)	297	3.2	155	2.7	139	4.5	3	1	0	0

¹ New household members who have never been part of the panel (adult or youth (age 16/17)).

² Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17).

³ All household members intended to participate with the adult or youth questionnaire in the current wave, not restricted to members of participating households.

Response rates by panel status are provided in **Table 3.22**. In difference to participation rates as they are presented in the prior table, response rates are calculated excluding deceased individuals, individuals who have moved abroad or who are unable to participate.

Table 3.22: **Response rate (in percent)**

	Total	Respondents in previous wave	Dropouts in previous wave	New panel members ¹	Youths ²
Response rate ³	48.2	61.3	27.3	31.1	30.1

1 New household members who have never been part of the panel (adult or youth (age 16/17)).

2 Youths who have been part of the panel and take part as official respondents for the first time (with the youth questionnaire age 16/17).

3 RR= all participants (year of birth <2002) / (individuals gross sample (year of birth <2002) – (persons who are deceased, have moved abroad or are temporarily or permanently unable to participate)).

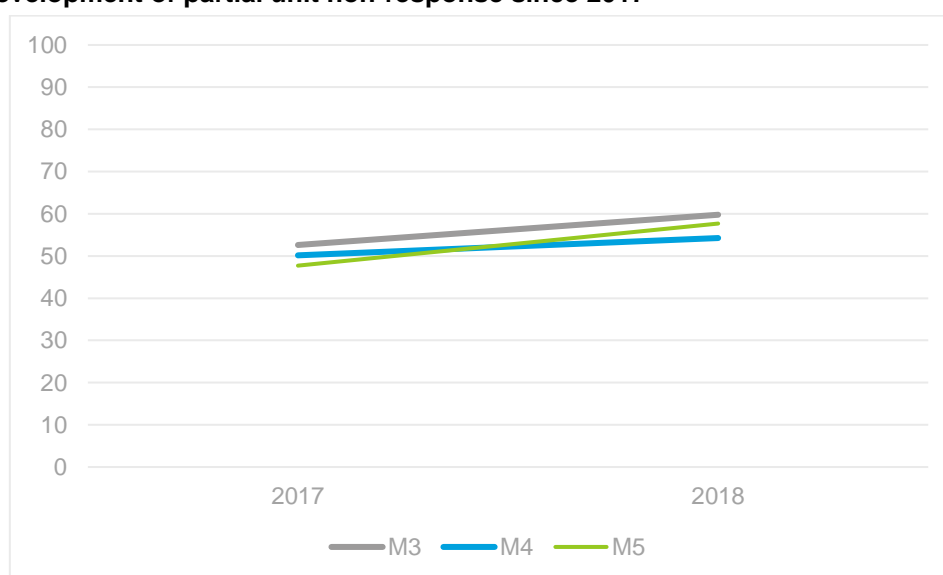
One major concern for all SOEP samples are the growing partial unit non-response (PUNR) rates, which are exceptionally high for the refugee samples, at a total of 56.9 percent in this year's wave (**Table 3.23**). According to our interviewers' reports, respondents are increasingly busy with activities such as job search, participation in language and integration courses, and appointments with various agencies and authorities. The increasing number of activities these individuals are involved in makes it difficult for interviewers to complete interviews with multiple adult household members. **Figure 3.6** visualizes how partial unit non-response rates increased between 2017 and 2018 for all three refugee samples.

Table 3.23: **Partial unit non-response (in percent)**

	Total	M3	M4	M5
PUNR ¹	56.9	59.8	54.3	57.7

¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

Figure 3.6: **Development of partial unit non-response since 2017¹**



¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

3.6.3 Participation by types of questionnaires

As presented in **Table 3.24**, all in all 3,042 household questionnaires and 4,376 individual questionnaires were completed. Four different versions of individual questionnaires are to be distinguished as mentioned earlier. The individual questionnaire for refugees was used most frequently over all three samples. Furthermore, information from interviews with 370 youths in three age groups between 11 and 17 years and with parents of 1574 children is available.

Table 3.24: Number of interviews by sample and questionnaire

	Total	M3	M4	M5
Household questionnaire	3,042	979	1,058	1,005
Individual questionnaire for refugees	3,911	1,222	1,450	1,239
Individual questionnaire + life-history questionnaire for refugees	433	138	112	183
Individual questionnaire for non-refugees	9	3	6	0
Individual questionnaire + life-history questionnaire for non-refugees	23	6	11	6
Youth questionnaire: age 16 or 17 ¹	95	27	42	26
Youth questionnaire: age 13 or 14 ¹	119	32	62	25
Youth questionnaire: age 11 or 12 ¹	156	45	78	33
Mother and child questionnaire: age 9 or 10	300	85	136	79
Questionnaire for parents: age 7 or 8 ²	324	90	147	87
Mother and child questionnaire: age 5 or 6	276	75	114	87
Mother and child questionnaire: age 2 or 3	295	91	129	75
Mother and child questionnaire: newborn	379	84	105	190

¹ Including cognitive competency test.

² In samples M3-5, the questionnaire for parents is only answered by one parent, not both as in the other samples.

Other than the response rates on the individual level that were shown in the previous section, response rates for each questionnaire are measured by looking at members of participating households only (**Table 3.25**). Combining all versions of the individual questionnaires, a response rate of 72.3 percent was obtained. Response rates for the youth questionnaires were 46.3 percent on average. All mother and child questionnaires generated a comparably high average response rate of 95.0 percent.

Table 3.25: **Response rates by questionnaire**

	Gross sample ¹	Number of interviews	Response rate
Individual questionnaire ²	6,019	4,351	72.3
Youth questionnaire: age 16 or 17 ³	218	95	43.6
Youth questionnaire: age 13 or 14 ³	266	117	44.0
Youth questionnaire: age 11 or 12 ³	308	155	50.3
Mother and child questionnaire: age 9 or 10	308	299	97.1
Questionnaire for parents: age 7 or 8	342	324	94.7
Mother and child questionnaire: age 5 or 6	296	276	93.2
Mother and child questionnaire: age 2 or 3	311	295	94.9
Mother and child questionnaire: newborn	399	379	95.0

¹ Gross sample= target population in participating households, without household members who are deceased or have moved abroad. For the child-related questionnaires, the reference value is the number of children in the respective age group living in participating households. Therefore, the response rate for these questionnaires indicates the number of children for whom a questionnaire has been completed by one parent (in most cases by the mother).

² Including interviews with first-time respondents. There are 25 additional individual questionnaires conducted in households that are coded as non-participating households, as there is no household questionnaire.

³ Including cognitive competency test.

3.6.4 Interview length per questionnaire

Table 3.26 lists the median interview lengths for each questionnaire. The mean interview length for refugees who had taken part in one of the previous waves was 50 minutes for the individual questionnaire. This meant that the interview was significantly longer than the interviews in other SOEP samples (e.g., 35 minutes in M1/2), adding further to issues with response rates and PUNR.

Table 3.26: **Median interview length (in minutes)**

	Median	Percentiles (5%, 95%)
Household questionnaire	15	(8, 34)
Individual questionnaire for refugees	50	(30, 90)
Individual questionnaire + life-history questionnaire for refugees	60	(32, 100)
Individual questionnaire for non-refugees	48	(30, 120)
Individual questionnaire + life-history questionnaire for non-refugees	60	(5, 129)
Youth questionnaire: age 16 or 17	49	(30, 94)
Other youth and child questionnaires	Not recorded	

3.6.5 Consent to record linkage

In all SOEP migration and refugee samples, it is an aim to link respondents' survey data with data from the Integrated Employment Biographies Sample (Stichprobe der Integrierten Erwerbsbiografien, IEBS) for as many participants as possible. So, all first-time refugee respondents in 2018 as well as participants who refused once before were asked to give their written consent to this record linkage. As presented in **Table 3.27**, 952 of 1,270 individuals (75.0) gave their consent.

Table 3.27: **Consent to record linkage**

	Total	M3	M4	M5
Gross sample ¹	1,270	400	436	434
Consent	952	321	322	309
Consent rate (in %)	75.0	80.3	73.9	71.2

¹ The gross sample for record linkage in 2018 consisted of first-time respondents and participants from previous waves who either once refused or did not understand the issue.

3.6.6 Participation of subgroup module “MORE”

The scientific study MORE (“Mentoring of Refugees”) is looking at the role of civic engagement in the integration of refugees in Germany. It is carrying out a randomized controlled trial with participants in the IAB-BAMF-SOEP Survey of Refugees in 2017 and 2018. One of the main questions the MORE study seeks to answer is whether active support from a mentor plays a causal role in expanding refugees’ social network, improving language use, or aiding in the search for education or employment.¹⁰ SOEP participants who were interested in participating in MORE were assigned to either a group of participants (the treatment group) or a group of non-participants (the control group) in 2017. The participants were then matched with a mentor, starting a mentoring relationship for a period of at least six months.

In 2018, 342 individuals in the gross sample were part of the group that participated in the MORE project – either in the treatment or in the control group (**Table 3.28**). An interview, which included a few questions about the mentoring program, is available for 211 respondents (61.7 percent). At 25.4 percent, temporary dropouts were more frequent than permanent ones (12.9 percent).

Table 3.28: Participation of subgroup module “More”

	Total		Treatment group		Control group	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	342	100.0	174	100.0	168	100.0
Interview	211	61.7	102	58.6	109	64.9
Non-interview	131	38.3	72	41.4	59	35.1
Temporary dropout	87	25.4	48	27.6	39	23.2
Final dropout	44	12.9	24	13.8	20	11.9

¹⁰ For more Information on the MORE-Study, see: Britzke & Schupp (eds.) (2018), SOEP Wave Report 8, DIW Berlin.

3.7 Data preparation

Data preparation processes in samples M3-5 are in line with the processes described for samples A-N in **Section 1.7** of this report.

3.8 Delivered data

Gross Data

Summary of the interviewer-control results	Kontrollbericht 2018.pdf
Gross data Household	Hbru_M345_2018.sav
Gross data Individuals	Pbru_M345_2018.sav
Interviewer data	Intband_M345_2018.sav
SOEP Individuals Sample M1+M2	P_M345_2018.sav

Net Data

Net data Household checked	H18_M345.sav
Net data Household unchecked	H18_M345_u.sav
Net data Individuals Refugees checked	P18_M345.sav
Net data Individuals Refugees unchecked	P18_M345_u.sav
Net data Individual + Life history Refugees checked	PB18_M345.sav
Net data Individual + Life history Refugees unchecked	PB18_M345_u.sav
Net data Individuals Non-refugees checked	PM18_M345.sav
Net data Individuals Non-refugees unchecked	PM18_M345_u.sav
Net data Individual + Life history Non-refugees checked	PBM18_M345.sav
Net data Individual + Life history Non-refugees unchecked	PBM18_M345_u.sav
Net data Youth (age 16 or 17)	J18_M345.sav
Net data Youth (age 13 or 14)	FJ18_M345.sav
Net data Youth (age 11 or 12)	S18_M345.sav
Net data Child Matrix	MKH18_M345.sav
Net data Mother and child E (age 9 or 10)	ME18_M345.sav
Net data Questionnaire for parents (age 7 or 8)	MD18_M345.sav
Net data Mother and child C (age 5 or 6)	MC18_M345.sav
Net data Mother and child B (age 2 or 3)	MB18_M345.sav
Net data Mother and child A (newborn)	MA18_M345.sav
Consent to record linkage	EV18_M345_DIW.sav
Net data Cognitive competency test	KOMP18_M345.sav

Other Data

Professions, sectors, final coding	Berufe_Branchen_Ausb_2018_M345.sav
University coding	Hochschul-Abschl_2018_M345
Single data sets from the Refugee Route Module	Fluchtroute_Einzelfiles

4 Sample O

4.1 Introduction

Table 4.1 gives a short overview of the main characteristics of the 2018 top-up sample O, the “social cities sample.” 935 households located primarily in bigger cities participated between July and December. This results in a response rate of 15.6 percent. This relatively low figure should be interpreted in relation to the rather difficult population that sample O focused on. In all households, 1,241 adults and 13 youths gave interviews. Three different questionnaires were fielded – all in CAPI mode, as is common in new SOEP samples. Partial unit non-response (PUNR)¹¹ was at 48.0 percent.

Table 4.1: **Summary fieldwork**

Fieldwork period	July - December
Mode	CAPI
Gross sample (hh)	6,625
Net sample (hh)	935
Response rate (hh)	Overall: 15.6
Number of questionnaires	Adults: 2 Youths: 1 Children: 0
Net sample (individuals)	Adults: 1,241 Youths: 13 Children: 0
Questionnaire length (median, in minutes)	Household: 15 Adult: 57
Partial unit non-response ¹	48.0

¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

¹¹ PUNR: share of households (number of household members > 1) with at least one missing individual questionnaire.

4.2 Background sample O

The integration of sample O into the SOEP-Core sample in 2018 served multiple purposes. First, it was designed to enhance the potential of the data for analysis by incorporating more city-specific environments. Second, the innovative sampling method used in this sample reflects the SOEP's commitment to innovation. The approach was conceptualized by the SOEP team at DIW Berlin in cooperation with the Federal Institute for Building, Urban Affairs and Spatial Research (Bundesinstitut für Bau-, Stadt- und Raumforschung, BBSR), which has implemented over 700 projects supporting economically and socially deprived urban areas. Combining BBSR information resources with those of the SOEP promises to open up a wide range of new options for effectively assessing these projects.

The sample selection process was divided into three stages. The first stage consisted of a random selection of 125 very similarly sized sample points using the BBSR's geo-information system (GIS). In this step, urban areas that have received or are receiving support and areas that do not receive support are selected in equal numbers. Methodologically, this new sampling approach is still based on random area selection, similar to the ADM-F2F approach that is usually used for boost samples in the SOEP. However, it differs in that addresses were drawn from the GIS to ensure inclusion of areas receiving support. During the second stage, 15 buildings were randomly selected for each sample point, and their addresses were listed. This stage differed from the standard procedure, as random-route walks were replaced by the selection of random building addresses. The third stage included a separate phase of preliminary fieldwork in which interviewers wrote down the surnames that appeared on the doorbells of the selected buildings. These data were then pooled and reviewed, and unsuitable addresses such as businesses and industrial facilities were excluded. In the last step, 53 concrete addresses were randomly selected for each of the 125 sample points. The process in the third stage was thereby comparable to the standard procedure.

4.3 Structure of the gross sample

The gross sample of sample O consisted of 6,625 households. As presented in **Table 4.2**, most of these households are located in the states of North Rhine-Westphalia (18.4 percent), Bavaria (14.4 percent) and Berlin (11.2 percent). According to the nature of the sample, 77.6 percent of the households are positioned in the center of large cities (**Table 4.3**) with either more than 500,000 inhabitants or with 100,000 to 499,999 inhabitants.

Table 4.2: **Household characteristics I**

Household Level	Total	
	Abs.	In %
Gross Sample	6,625	100.0
State		
Schleswig-Holstein	211	3.2
Hamburg	316	4.8
Lower Saxony	318	4.8
Bremen	159	2.4
North Rhine-Westphalia	1,219	18.4
Hesse	423	6.4
Rhineland Palatinate	317	4.8
Saarland	53	0.8
Baden-Wuerttemberg	371	5.6
Bavaria	954	14.4
Berlin	741	11.2
Brandenburg	369	5.6
Mecklenburg Western Pomerania	159	2.4
Saxony	369	5.6
Saxony-Anhalt	370	5.6
Thuringia	265	4.0

¹ Eleven cases that were originally part of the gross sample are excluded here because of data-deletion requests.

Table 4.3: **Household characteristics II**

Household Level	Total	
	Abs.	In %
Gross Sample	6,625	100.0
BIK type¹		
0	3,121	47.2
1	106	1.6
2	2,011	30.4
3	371	5.6
4	159	2.4
5	423	6.4
6	423	6.4
7	0	0.0
8	0	0.0
9	0	0.0
Community size²		
1	0	0.0
2	0	0.0
3	264	4.0
4	901	13.6
5	899	13.6
6	2,063	31.2
7	2,487	37.6

¹ BIK type: 0 (more than 500,000 inhabitants/center) 1 (more than 500,000 inh/periphery), 2 (100,000 to 499,999 inh./center)

3 (100,000 to 499,999 inh./periphery), 4 (50,000 to 99,999 inh.(center), 5 (50,000 to 99,999 inh./periphery), 6 (20,000 to 49,999 inh.), 7 (5,000 to 19,999 inh.), 8 (2,000 to 4,999 inh.), 9 (fewer than 2,000 inh.)

² Community size: 1 (fewer than 2000 inhabitants), 2 (2,000 to 5,000 inh.), 3 (5,000 to 20,000 inh.), 4 (20,000 to 50,000 inh.), 5 (50,000 to 100,000 inh.), 6 (100,000 to 500,000 inh.), 7 (more than 500,000 inh.).

4.4 Questionnaires and fieldwork material

4.4.1 Questionnaires

Four different questionnaires were used to collect data in sample O. Apart from the regular household and individual questionnaires, a life-history questionnaire module was used to collect background information of all respondents. Adolescents of the age 16 or 17 were interviewed using a specific youth questionnaire. Computer-assisted personal interviewing (CAPI) was applied exclusively for all questionnaires.

Table 4.4: Questionnaires and modes

	CAPI
Household questionnaire	✓
Individual questionnaire	✓
Life-history questionnaire module	✓
Youth questionnaire: age 16 or 17	✓

4.4.2 Fieldwork material

Table 4.5 provides an overview of all additional fieldwork material used for the survey in 2018 in sample O. Two versions of the announcement letter were used, the first – sent from the beginning of fieldwork until October 2018 – announced the study with a standard incentive of 5 euros per household interview and 10 euros per completed individual or youth interview, while the second version included the announcement of an additional 20-euro welcome gift per household.

Table 4.5: Fieldwork material

	CAPI
Advance letter	<ul style="list-style-type: none"> • Cash I: Standard incentive (5 euros + 10 euros) • Cash II: Standard incentive (5 euros + 10 euros) and welcome cash gift (20 euros) (October onwards)
Leaflet	<ul style="list-style-type: none"> • Cash I: Standard incentive (5 euros + 10 euros) • Cash II: Standard incentive (5 euros + 10 euros) and welcome cash gift (20euros) (October onwards))
Declaration on data protection	Declaration on data protection
Address form and household grid	Electronic form (Mein Kantar)
Showcards	Showcard
Project instruction book	Project instruction book
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card • PUNR flyer

Interviewers were equipped with declarations on data protection and contact cards which could be left if no one was present at the interviewer's first contact attempt. Furthermore, flyers including information on the issue of partial unit non-response (PUNR) were distributed.

4.5 Conducting the survey

4.5.1 Survey mode

All questionnaires used in sample O were solely available in CAPI mode.

4.5.2 Fieldwork timing

Fieldwork for sample O began in July and lasted until December (**Table 4.6**). Most households were processed in November (29.4 percent) and October (20.8 percent).

Table 4.6: **Monthly fieldwork progress**

Household level	Gross sample		Net sample	
	Abs.	In %	Abs.	In %
July ¹	736	11.1	126	13.5
August	908	13.7	191	20.4
September	577	8.7	112	12.0
October	1,376	20.8	216	23.1
November	1,948	29.4	211	22.6
December	1,080	16.3	79	8.4

¹ Including households that refused to take part in the survey prior to the start of fieldwork.

4.5.3 Translations

In order to maximize response rates, household and individual questionnaires were available in three additional languages including English, Russian, and Turkish.

Table 4.7: **Available language versions**

	English	Russian	Turkish
Household questionnaire	✓	✓	✓
Individual questionnaire	✓	✓	✓

4.5.4 Panel maintenance and incentives

In addition to the individual incentive included in the announcement letter (5 euros for a completed household questionnaire and 10 euros for each conducted individual or youth questionnaire), households received a power bank that was handed over by the interviewer. Due to the poor response up to that point, an additional welcome gift of 20 euros was given to each participating household as of October 2018.

Table 4.8: **Incentives**

Households incentive	Power bank (+ 20 euros as of October 2018)
Individual incentive	HH: 5 euros Adult and youth: 10 euros

4.5.5 Movers and tracing

There was no tracing of movers in the first wave of sample O because the interview is supposed to take place at a certain address. For this kind of research design, it does not matter if the households that lived at a certain address during the sampling stage have moved in the meantime.

4.5.6 Interviewer characteristics, training & monitoring

As presented in **Table 4.9**, 126 interviewers were employed to conduct the interviews for sample O. At 57.9 percent, the number of male interviewers was slightly higher than that of female interviewers. Generally, most interviewers were aged between 60-79 years and already had a small to substantive amount of experience with Kantar and/or the SOEP. Most interviewers processed between 20 and 100 households, while 13 interviewers processed more than 100 households.

Table 4.9: **Interviewer characteristics**

Interviewer level	Total	
	Abs.	In %
Number of Interviewers	126	100.0
Gender		
Male	73	57.9
Female	53	42.1
Age		
21-39	2	1.6
40-59	35	27.8
60-79	85	67.5
80+	4	3.2
Number of households¹		
Fewer than 5 (gross)	4	3.4
5 – 20	10	8.4
20 – 100	92	77.3
More than 100	13	10.9

¹ Seven interviewers that were part of the designated staff for this sample did not in fact attend to any households.

Table 4.10: Interviewer experience

Interviewer level	Total	
	Abs.	In %
Number of interviewers	126	100.0
Experience with Kantar		
0-4 years of experience with Kantar	40	31.7
5-9 years	33	26.2
10-19 years	40	31.7
20-29 years	9	7.1
30-39 years	3	2.4
More than 40 years	1	0.8
Experience with SOEP		
0-4 years	50	39.7
5-9 years	44	34.9
10-19 years	28	22.2
20-29 years	3	2.4
30-34 years	1	0.8

To assure high data quality, the interviewing process is monitored by re-contacting households to inquire whether the interview did in fact take place as indicated by the respective interviewer. For the newly added sample O, all interviewed households were re-contacted. Feedback was received from 45.5 percent of all households. The gained information covers all 114 interviewers who conducted interviews in sample O and did not reveal any non-standard behavior.

Table 4.11: Interviewer monitoring

	Abs.	In %	In %
By households			
Households in net sample	935	100.0	-
Re-contacted households	935	100.0	100.0
Households with feedback	425	45.5	45.5
By interviewers			
Interviewers in net sample	114	100.0	-
Interviewers with re-contacted households	114	100.0	-

4.6 Fieldwork results

4.6.1 Participation on household level

Table 4.12 provides participation figures on household level. With 935 households, 14.1 percent of all households in the gross sample were interviewed. A total of 3,455 households, which amounts to 52.2 percent of the gross sample, refused to participate in the survey. Another 20.8 percent was unreachable before and during fieldwork. For newly added samples, all losses on household level are permanent. Respective households will not be contacted again in the following wave.

Table 4.12: **Participation on household level (with AAPOR codes)**

	Total	
	Abs.	In %
Gross sample	6,625	100.0
Interview (1.0)	935	14.1
Complete (1.1)	698	10.5
Partial (1.2)	237	3.6
Non-interview (2.0)	5,690	85.9
Non-contact (2.20)	1,378	20.8
Permanent refusal (2.111)	3,455	52.2
Permanently physically or mentally unable (2.322)	113	1.7
Language problem (2.331)	187	2.8
Quality-neutral sampling losses (4.0; 4.1) ¹	506	7.6
Other final	51	0.8

¹ Business, government office, other.

The response rate in the first wave of sample O, which takes into account that a certain share of addresses did not contain a household that could have been interviewed, was 15.6 percent (**Table 4.13**). As can be seen from this rather low response rate, the fieldwork for the new sample O created some challenges for the SOEP team at Kantar as well as for the interviewers during fieldwork period.

Individuals with lower levels of income and education attained, whose share is relatively higher within urban populations especially in economically and socially deprived areas, show a lower willingness to participate in surveys.

Table 4.13: **Response rate at household level (in percent)**

	Total
Response rate ¹	15.6

¹ RR= all households with at least one hh interview and one individual interview/households in gross sample – (households where the last person is deceased, has moved abroad or is temporarily or permanently unable to participate or quality neutral sampling losses)

4.6.2 Participation on individual level

Table 4.14 presents participation figures on an individual level. The gross sample consists of adult residents of participating households. 80.9 percent of those were successfully interviewed. With 205 cases (13.2 percent of the gross sample), most dropouts were temporary. This group of respondents will be asked to take part in the survey again in the following wave.

Table 4.14: **Participation on individual level (with AAPOR codes)**

	Total	
	Abs.	In %
Gross sample ¹	1,550	100,0
Interview (1.0)	1,254	80.9
Non-interview (2.0)	288	18.7
Temporary dropout	205	13.2
Non-contact (2.20)	13	0.8
Temporary refusal (2.112)	129	8.3
Temporarily physically or mentally unable/incompetent (2.321)	7	0.5
Language problem (2.331)	21	1.4
Other temp. (2.52)	35	2.3
Final dropout	91	5.9
Permanent refusal (2.111)	78	5.0
Permanently physically or mentally unable/incompetent (2.322)	13	0.8

The total response rate excluding individuals in a state of poor health amounts to 82.0 percent for sample O (**Table 4.15**). With 48.0 percent, partial unit non-response (PUNR) is comparatively high for sample O. High PUNR rates have already been addressed in the respective “Participation on individual level” sections as an area of concern for the SOEP currently.

Table 4.15: **Response rate (in percent)**

	Total
Response rate ¹	82.0

¹ RR= all participants/individuals gross sample – (persons who are temporarily or permanently unable to participate).

Table 4.16: **Partial unit non-response (in percent)**

	Total
PUNR ¹	48.0

¹ Share of households (number of household members > 1) with at least one missing individual questionnaire.

4.6.3 Participation by types of questionnaires

Table 4.17 presents the number of interviews for each questionnaire. Corresponding with the number of households in the net sample, 935 household questionnaires were produced. Besides one individual, all participating respondents answered both the individual questionnaire and the life-history module. The youth questionnaire was administered 13 times.

Table 4.17: Number of interviews by sample and questionnaire

	Total
Household questionnaire	935
Individual questionnaire	1,241
Life-history questionnaire module	1,240
Youth questionnaire: age 16 or 17	13

Table 4.18 shows response rates for the individual questionnaire, the life-history questionnaire module and the youth questionnaire. The gross sample for the life-history questionnaire is defined by the number of interviews on individual level. For respondents of the ages of 16 and 17, a response rate of 52.0 percent was obtained.

Table 4.18: Response rate by questionnaire

	Gross sample ¹	Number of interviews	Response rate
Individual questionnaire	1,525	1238 ²	81.2
Life-history questionnaire module	1,238	1,237	99.9
Youth questionnaire: age 16 or 17	25	13	52.0

¹ Gross sample= target population in participating households, excluding deceased, moved abroad.

² Three cases in which an individual questionnaire but no household questionnaire was completed are not included.

4.6.4 Interview length per questionnaire

Median interview lengths for each questionnaire are listed in **Table 4.19**. Completing the individual questionnaire and the life-history questionnaire took 57 minutes on average. If the household questionnaire was completed as well, the interviewing time adds up to a total of 72 minutes. The shorter youth questionnaire took 30 minutes on average.

Table 4.19: **Median interview length (in minutes)**

	Total
Household questionnaire	15
Individual questionnaire	38
Life-history questionnaire module	19
Youth questionnaire: age 16 or 17	30

4.7 Data preparation

Data preparation processes in sample O are in line with the processes that are described for samples A-N in **Section 1.7** of this report.

4.8 Delivered data

Gross Data

Gross data Household	Hbru_O_2018.sav
Gross data Individuals	Pbru_O_2018.sav
Interviewer data	Intband_O_2018.sav
Residential Environment Data	Wuma_O_2018sav

Net Data

Net data Household checked	H18_O.sav
Net data Household unchecked	H18_O_u.sav
Net data Individuals checked	P18_O.sav
Net data Individuals unchecked	P18_O_u.sav
Net data Life history checked	L18_O.sav
Net data Life history unchecked	L18_O_u.sav
Net data Youth (age 16 or 17) checked	J18_O.sav
Net data Youth (age 16 or 17) unchecked	J18_O_u.sav
Information on 7 and more children	7bis10Kind_2018_O

Other Data

Professions, sectors, final coding	Berufe_Branchen_Ausb_2018_O.sav
University coding	Hochschul-Abschl_2018_O.sav