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SOEP-Core – 2017: Report of Survey Methodology and Fieldwork

Martin Rathje, Axel Glemser (Kantar Public)

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SOEP-Core – 2017: Report of Survey Methodology and Fieldwork

Martin Rathje, Axel Glemser (Kantar Public)

Munich, 2021

KANTAR PUBLIC

SOEP 2017

Wave Report+

SOEP Core

To

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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 2017 survey year, Kantar (formerly TNS Infratest Sozialforschung) conducted the 34th 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), and BIP (Bonn Intervention Panel).

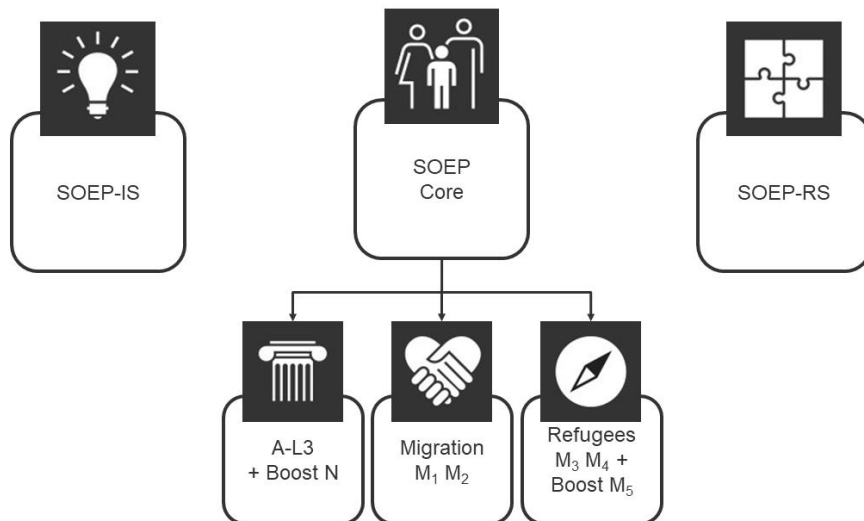
Since the first wave in 1984, Kantar in Munich has been responsible for the implementation of the survey – in particular, the development of the survey instruments, fieldwork, panel maintenance, data checking and processing. The tasks of Kantar also include methodological documentation and reporting. The present report refers to the survey conducted in 2017 in SOEP-Core, which includes the longitudinal samples A-L (**Part 1**), the migration and refugee samples M1/2 and M3/4 (**Parts 2 and 3**) as well as the most recent boost sample M5 (Part 4) and refreshment sample N (Part 5) that were established in 2017.

Overview of the SOEP-core subsamples

The different SOEP-core subsamples constitute the centerpiece of the Socio-Economic Panel study. In 2017, 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, the **samples A-L3** form the heart of the SOEP. They contain the oldest samples, beginning with the SOEP founding sample A from 1984 and the highest number of participating households (11,668 in 2017). Fieldwork traditionally starts at the beginning of February and its questionnaires serve as 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 the Samples A-L1 supplemented by a migrant specific life-history questionnaire, and translated questionnaires for five different languages.
3. In order to map recent migration and integration dynamics, the **SOEP refugee samples** M₃ and M₄ were installed, beginning in the year 2016. In 2017, fieldwork began in September with a questionnaire that was tailored to issues of recent refugees while containing many questions from the SOEP samples A-L3 samples as well.
4. The two **samples M5** – the 2017 refugee boost sample and **sample N** – the former PIAAC-L sample are the newest additions to SOEP-Core in 2017. Sample M5 consists of adult refugees seeking permanent refuge in Germany. In Sample N households of the former PIAAC-L sample were integrated into SOEP-Core as a refreshment sample.

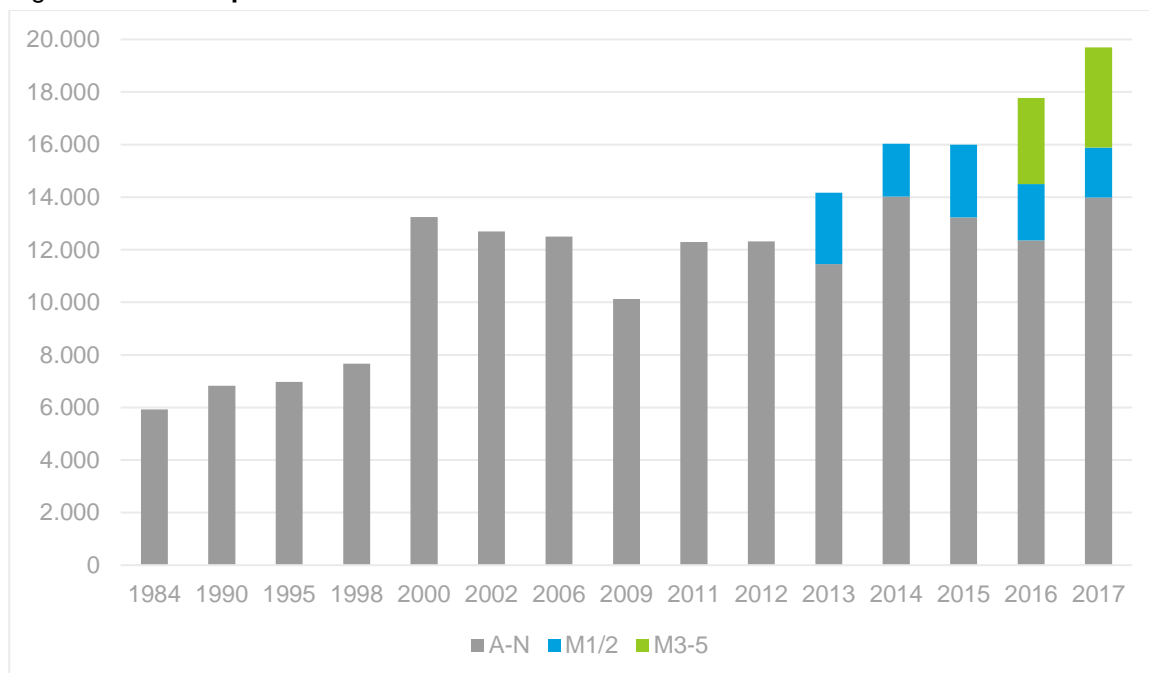
Figure 0.1: Overview SOEP-core subsamples



1

Starting with the first 5,924 participating households in 1984, the SOEP core grew to 19,701 households in 2017. Over the years more and more samples were added – sometimes samples of all households in Germany, sometimes special populations such as migrants or high-income households. In the last couple of years, boosts of the overall sample mainly originated from the migration and refugee samples (**Figure 0.2**).

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



The four different groups of samples that are displayed in **Figure 0.2** will be addressed in four different parts of this report. In the first chapter, fieldwork in the samples A-L3 in 2017 will be described in detail, followed by two parts that deal with migration samples M1/2 and M3-4, as well as two sections each detailing the newly established refreshment samples M5 and N as the newest additions to the SOEP-core in 2017.

1 Samples A-L

Table 1.1 gives a short overview of the main characteristics of the 2017 wave for the samples A-L. 11,668 households from samples A-L participated between January and December. The overall adjusted response rate was 86.7 percent. The adjusted response rate of households that participated in the previous wave was 90.8 percent. In all households, 19,762 adults and 1,310 youths gave interviews. For an additional 2,197 children of various age groups, data are available from interviews with a parent. 14 different questionnaires were fielded in up to five different modes. Partial unit non-response (PUNR: the share of households with more than one household member with at least one missing individual questionnaire) was at 21.0 percent.

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

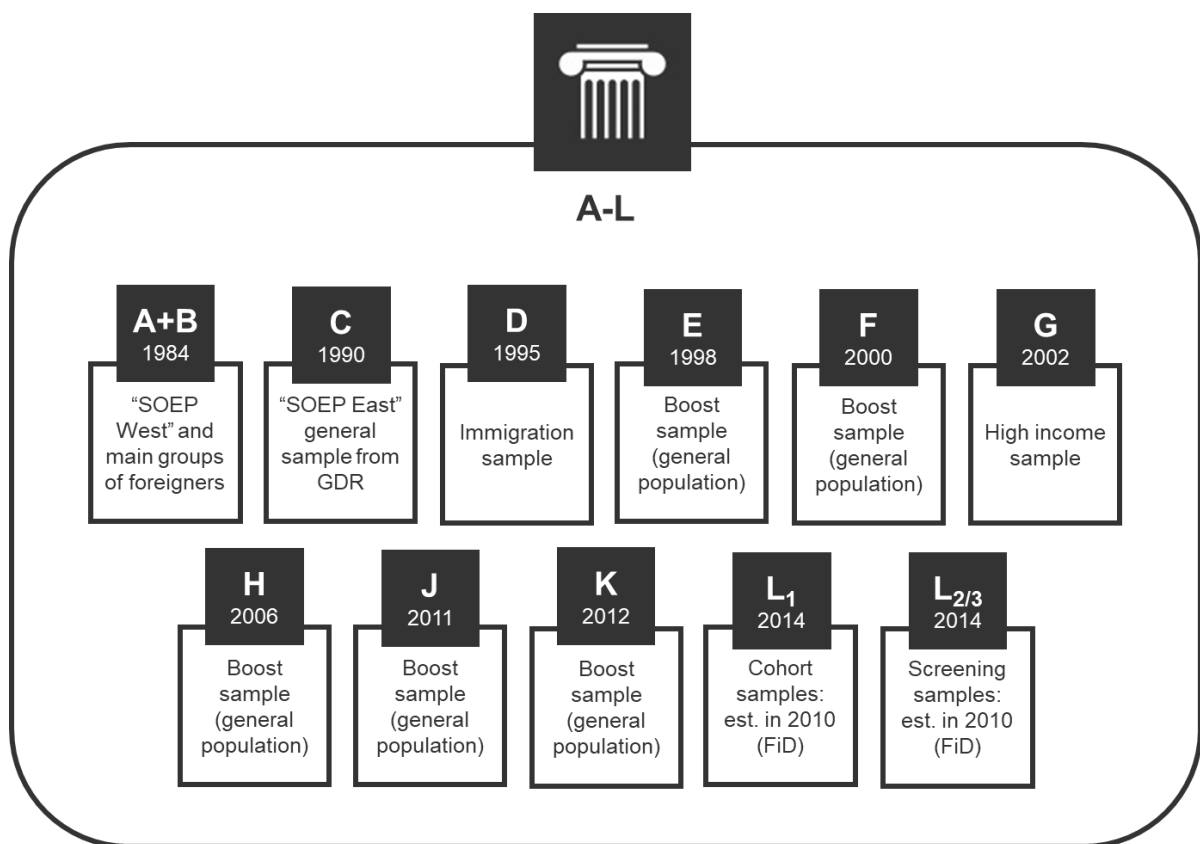
A-L	
Fieldwork period	January - December
Mode (main questionnaires)	CAPI, PAPI, SELF, MAIL, CAWI
Gross sample (hh)	13,620
Net sample (hh)	11,668
Response rate (hh) ¹	Overall: 86.7 Prev. wave Respondents: 90.8 Prev. Wave drop outs: 41.1 New households: 54.8
Number of questionnaires	Adults: 5 Youths: 4 Children: 5
Net sample (individuals)	Adults: 19,762 Youths: 1,310 Children: 2,197
Questionnaire length (median, in minutes)	Household: 15 Adult ¹ : 35
Partial unit non response	21.0

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

1.1 Development samples A-L

Samples A-L 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 samples A- L



Households and individuals with the longest history of (continuous) panel participation took part for the 34th time in 2017 (samples A and B). Another nine samples were added to SOEP samples A and B since 1984¹:

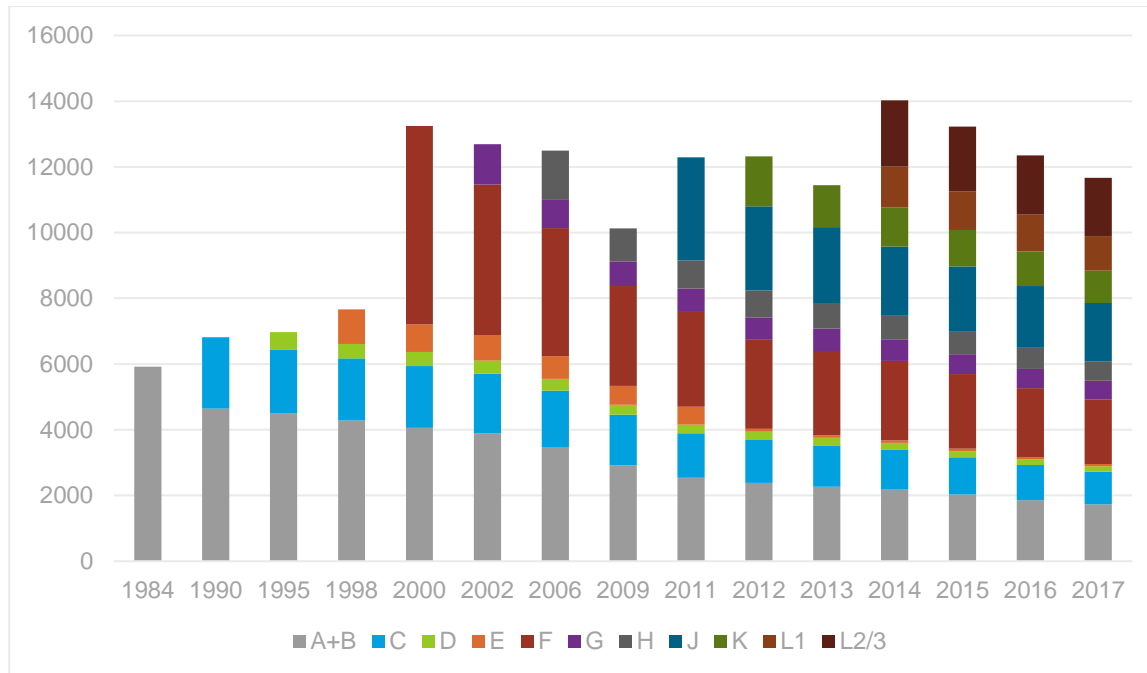
- **Sample A “Residents in the Federal Republic of Germany” (1984)** is one of the two initial samples of the SOEP and covers 4,528 private households with a household head who does not belong to one of the main foreigner groups of “guest workers” (i.e. Turkish, Greek, Yugoslavian, Spanish or Italian 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” (2010²)** 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.

¹ 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.

² 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).

The development of the samples A-L3 between 1984 and 2017 is illustrated in **Figure 1.2**. Since 1984, ten additional samples were added to the SOEP-core comprising nearly 12,000 active households in 2017.

Figure 1.2: Development Samples A-L since 1984 - Number of Households



1.2 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 (so-called "two-year rule").

Of the 14,671 households that were part of the gross sample in 2016, 83.5 percent were interviewed without refusal for the following wave (**Table 1.2**). Another 5.6 percent of the gross sample dropped out of the survey temporarily. The 12,349 participating households and 821 temporary drop-outs from 2016 form the base sample for the survey in 2017.

The administered gross sample (**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 panel, e.g. when young adults decide to leave the parental home to form their own household. The administered gross sample in 2017 includes a total of 13,620 households. 90.7 percent of those households

also participated in the previous wave, while 6.1 percent had dropped out temporarily. 3.2 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 2016 by sample

Household Level	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	14,671	100.0	7,547	100.0	3,356	100.0	1,291	100.0	2,477	100.0
Respondents without refusal for next wave	12,254	83.5	6,410	84.9	2,924	87.1	1,119	86.7	1,801	72.7
Respondents with refusal for next wave	95	0.6	84	1.1	5	0.1	3	0.2	3	0.1
Temporary drop outs	821	5.6	301	4.0	120	3.6	61	4.7	339	13.7
Final drop outs	1,251	8.5	706	9.4	258	7.7	85	6.6	202	8.2
2-year rule ³	250	1.7	46	0.6	49	1.5	23	1.8	132	5.3

Table 1.3: Administered gross sample 2017 by sample

Household Level	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	13,620	100.0	6,982	100.0	3,145	100.0	1,213	100.0	2,280	100.0
Respondents in previous wave	12,349	90.7	6,494	93.0	2,929	93.1	1,122	92.5	1,804	79.1
Temp. drop-out in previous wave ²	831	6.1	310	4.4	121	3.8	61	5.0	339	14.9
New households (Split-off HHs) ¹	440	3.2	178	2.5	95	3.0	30	2.5	137	6.0

¹ The gross sample consists of more cases than anticipated at the end of the previous wave, because ten households that did not participate in 2016 re-entered the panel.

Key characteristics of the households in 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 which originally sampled different kinds of family types such as low-income households with many children or single parent households. Further, **Table 1.4** includes an overview of the sample distribution in terms of federal 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	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	13,170	100.0	6,795	100.0	3,049	100.0	1,183	100.0	2,143	100.0
HH Size										
1	3,434	26.1	2,169	31.9	973	31.9	34	2.9	258	12.0
2	4,773	36.2	2,843	41.8	1,301	42.7	67	5.7	562	26.2
3	1,827	13.9	878	12.9	373	12.2	212	17.9	364	17.0
4	1,857	14.1	680	10.0	269	8.8	536	45.3	372	17.4
5+	1,279	9.7	225	3.3	133	4.4	334	28.2	587	27.4
State										
Schleswig-Holstein	488	3.7	183	2.7	135	4.4	57	4.8	113	5.3
Hamburg	219	1.7	119	1.8	54	1.8	13	1.1	33	1.5
Lower Saxony	1,242	9.4	606	8.9	313	10.3	103	8.7	220	10.3
Bremen	91	0.7	40	0.6	16	0.5	13	1.1	22	1.0
North Rhine-Westphalia	2,561	19.4	1,313	19.3	576	18.9	247	20.9	425	19.8
Hesse	889	6.8	450	6.6	206	6.8	78	6.6	155	7.2
Rhineland Palatinate	623	4.7	336	4.9	139	4.6	75	6.3	73	3.4
Saarland	1,453	11.0	743	10.9	304	10.0	164	13.9	242	11.3
Baden-Wuerttemberg	2,073	15.7	993	14.6	533	17.5	195	16.5	352	16.4
Bavaria	118	0.9	66	1.0	34	1.1	4	0.3	14	0.7
Berlin	578	4.4	319	4.7	145	4.8	37	3.1	77	3.6
Brandenburg	565	4.3	323	4.8	115	3.8	29	2.5	98	4.6
Mecklenburg Western Pomerania	338	2.6	182	2.7	75	2.5	27	2.3	54	2.5
Saxony	881	6.7	519	7.6	179	5.9	68	5.7	115	5.4
Saxony-Anhalt	517	3.9	297	4.4	106	3.5	41	3.5	73	3.4
Thuringia	534	4.1	306	4.5	119	3.9	32	2.7	77	3.6

¹ Status as reported at the end of wave 2016. So new households and households that re-joined the panel in 2017 but were not part of fieldwork 2016 are missing.

Table 1.5: Household characteristics by samples II

Household Level	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	13,170	100.0	6,795	100.0	3,049	100.0	1,183	100.0	2,143	100.0
BIK-Type²										
0	3,357	25.5	1,804	26.5	751	24.6	309	26.1	493	23.0
1	1,201	9.1	683	10.1	260	8.5	88	7.4	170	7.9
2	2,037	15.5	1,078	15.9	498	16.3	141	11.9	320	14.9
3	1,928	14.6	942	13.9	416	13.6	221	18.7	349	16.3
4	303	2.3	170	2.5	55	1.8	34	2.9	44	2.1
5	955	7.3	490	7.2	222	7.3	70	5.9	173	8.1
6	1,522	11.6	753	11.1	334	11.0	159	13.4	276	12.9
7	1,193	9.1	570	8.4	318	10.4	95	8.0	210	9.8
8	422	3.2	180	2.6	135	4.4	39	3.3	68	3.2
9	252	1.9	125	1.8	60	2.0	27	2.3	40	1.9
Community size³										
1	770	5.8	413	6.1	163	5.3	64	5.4	130	6.1
2	1,202	9.1	571	8.4	300	9.8	131	11.1	200	9.3
3	3,605	27.4	1,807	26.6	826	27.1	361	30.5	611	28.5
4	2,324	17.6	1,223	18.0	514	16.9	201	17.0	386	18.0
5	1,222	9.3	604	8.9	288	9.4	107	9.0	223	10.4
6	1,979	15.0	1,092	16.1	463	15.2	115	9.7	309	14.4
7	2,068	15.7	1,085	16.0	495	16.2	204	17.2	284	13.3

¹ Status as reported at the end of wave 2016. So new households and households that re-joined the panel in 2017 but were not part of fieldwork 2016 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 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 (less than 2,000 inh.)

³ Community size: 1 Less 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.

1.3 Questionnaires and fieldwork material

1.3.1 Questionnaires

As illustrated in **Table 1.6**, computer-assisted personal interviewing (CAPI) or pen-and-paper personal interviews (PAPI) were applied primarily to conduct interviews for the samples A-L1. L2/3 is the exception to that rule: CAPI as well as computer-assisted web interviewing (CAWI) were used.

In 2017, a total of 14 questionnaires and instruments were used for the SOEP survey in samples A-L3 (**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 samples A-L**

	A-L1	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"	✓	✓

¹ Only in PAPI mode

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 2017, the biennially asked questions about the reasons for moving residence and consequent changes were added again. One entirely new question about the language predominantly spoken in the household was added. A question about care-dependent household members was adjusted to legal changes in 2017. Furthermore, a question for additional costs of care-dependent household members was added. Some new questions regarding the personal attitudes toward the neighbourhood were also added to this module. Finally, in the children's activities module, respondents were asked to provide some information some new questions about childcare.

Individual questionnaire

The individual questionnaire is answered by all adult household members (2017: participants born in 1999 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 2017, new questions on an array of different topics were added:

- Perceived fairness of wages
- Hourly wages
- Side jobs and volunteering
- Motor vehicle ownership
- Insurance premium loans

The rotating modules that were included in 2017 were:

- Spending, saving, and comping 10,000 Euros
- Close friendships and social isolation
- Personal characteristics
- Activities
- Finances of professional training
- Reasons for working
- Managerial positions
- Amount of fair gross and net wages

- Working hours/night or weekend work
- Commuting
- Financial statement
- Home ownership
- Building loan contract
- Sleep habits
- Health and disability
- Language and intercultural relationships

Also, several questions which were asked before but not in a fixed replication cycle were included in the 2017 individual questionnaire:

- Personal financial balance sheet
- Inheritances and endowments
- Required minimum household income
- Responsibilities for social security benefits
- Discrimination

Additional questionnaires

Apart from the household and individual questionnaires, 12 additional questionnaires were used in 2017. 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 1999 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 (2017: born in 2000). It replaces the individual and the life-history questionnaire with particular focus on topics such as school and work, leisure, health, self-perception as well as friendship and family life. 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 close the 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 18. In 2017 all panel members born in 2003 were asked to complete this questionnaire.
- With the **youth questionnaire age 11 or 12** for household members born in 2005, 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 2017. Mothers of newborn children (born in 2017 or 2016 after the previous survey wave) were asked to complete the **mother and child questionnaire newborn**. Mothers of 2- or 3-year-old children (2017: born in 2014) 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 2009, 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.

The primary interviewing method in samples A-L1 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 are excluded for this subsample.

1.3.2 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-O for the different survey modes.

Advance letter

About two weeks before the start of the fieldwork period, 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, 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

Shortly 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 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 fieldwork material samples A-L1

	CAPI	PAPI	MAIL	CAWI
Advance letter	<ul style="list-style-type: none"> • A-H (Lottery Ticket/Cash) • J-K, L1 (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 incl. 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 fieldtime	-	-	<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 • DIW brochure 	<ul style="list-style-type: none"> • Lottery Ticket • Cash • DIW brochure 	<ul style="list-style-type: none"> • No Cash • Check • DIW brochure 	CAWI DIW brochure
Declaration on data protection	<ul style="list-style-type: none"> • A-H, J-K, L1, • M1-2 (in 6 languages) • L2-3 	A-H	A-H	L2-3
Address form and household grid ³	Electronic form (Mein Kantar)	Paper form	Paper form	Electronic form (database for phone interviewers)
Showcards	• A-H, J-K, L1	--	--	--
Project instruction book	<ul style="list-style-type: none"> • A-H, J-K, L1 • 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"> • Contact card • HH information card • PUNR Flyer 	<ul style="list-style-type: none"> • Contact card • HH information card • PUNR Flyer 	--	--

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-L1 without L2/3) and cash/voucher (L2/3). In 2017 households were also provided an image brochure designed by the SOEP group at DIW to give an in-depth look into the workings of the SOEP and research based on the data.

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-L1 and L2/3.

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 they 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 contact person who calls them fills out a paper form. For 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-L1 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. High PUNR-rates have become increasingly problematic for the data quality of the various SOEP surveys. In an attempt to motivate more respondents in multi-person households to participate, a PUNR-specific flyer was designed detailing the impact of PUNR on data quality and encouraging all household-members to participate.

1.4 Conducting the survey

1.4.1 Survey mode

Since the SOEP was launched in 1984, face-to-face interviewing has been the primary method of data collection. Up to the year 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 2017. This includes households that participated in CAPI in 2016 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.

In **Table 1.8**, numbers of personal interviews per sample for each respective mode are presented. Apart from CAPI and PAPI, self-interviewing while the interviewer is present as well as handling the interviewing process completely by mail are relevant interviewing modes for the samples A-H. The younger samples J, K, and L1 are almost entirely based on CAPI interviewing. For sample L2/3, the interviewing process is split between CAPI (56.7 percent) and CAWI (43.3 percent). Overall, 19,700 personal questionnaires were completed in 2017.

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

Individual Level		Interviewer-Based			Centrally Administered		Total
		CAPI	PAPI	SELF	MAIL	CAWI	
A-H	Abs.	3,506	887	3,270	2,311	0	9,974
	In %	35.2	8.9	32.8	23.2	0.0	100.0
J, K, L1	Abs.	6,424	5	18	0	0	6,447
	In %	99.6	0.1	0.3	0.0	0.0	100.0
L2/3	Abs.	1,860	0	0	0	1,419	3,279
	In %	56.7	0.0	0.0	0.0	43.3	100.0
Total	Abs.	11,790	892	3,288	2,311	1,419	19,700
	In %	59.8	4.5	16.7	11.7	7.2	100.0

The household interviews for each sample are similarly distributed over all modes as the individual interviews (**Table 1.9**). A total of 11,639 household questionnaires was completed in 2017.

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

Individual Level		Interviewer-Based			Centrally Administered		Total
		CAPI	PAPI	SELF	MAIL	CAWI	
A-H	Abs.	2,277	614	1,698	1,463	0	6,052
	In %	37.6	10.1	28.1	24.2	0.0	100.0
J, K, L1	Abs.	3,809	1	8	0	0	3,818
	In %	99.8	0.0	0.2	0.0	0.0	100.0
L2/3	Abs.	1,026	0	0	0	743	1,769
	In %	58.0	0.0	0.0	0.0	42.0	100.0
Total	Abs.	7,112	615	1,706	1,463	743	11,639
	In %	61.1	5.3	14.7	12.6	6.4	100.0

For the youth questionnaires (**Table 1.10**), self-interviewing and interviews by mail are more frequent in the samples A-H as well as in J, K and L1. 1,305 youth interviews were conducted in total.

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.	75	30	121	90	0	316
	In %	23.7	9.5	38.3	28.5	0.0	100.0
J, K, L1	Abs.	321	3	46	0	0	370
	In %	86.8	0.8	12.4	0.0	0.0	100.0
L2/3	Abs.	331	0	10	0	278	619
	In %	53.5	0.0	1.6	0.0	44.9	100.0
Total	Abs.	727	33	177	90	278	1,305
	In %	55.7	2.5	13.6	6.9	21.3	100.0

Similar to the youth questionnaires, self-interviewing and interviewing by mail are modes used more frequently for conducting child questionnaires in the samples A-H and J, K, and L1 (**Table 1.11**). In total, 1,867 child questionnaires were conducted in 2017.

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

Individual Level		Interviewer-Based			Centrally Administered		Total
		CAPI	PAPI	SELF	MAIL	CAWI	
A-H	Abs.	130	36	174	154	0	494
	In %	26.3	7.3	35.2	31.2	0.0	100.0
J, K, L1	Abs.	916	9	111	0	0	1,036
	In %	88.4	0.9	10.7	0.0	0.0	100.0
L2/3	Abs.	207	0	5	8	117	337
	In %	61.4	0.0	1.5	2.4	34.7	100.0
Total	Abs.	1,253	45	290	162	117	1,867
	In %	67.1	2.4	15.5	8.7	6.3	100.0

1.4.2 Fieldwork timings

Table 1.12 presents figures on the monthly fieldwork progress for all sub-samples of the SOEP-core. For the samples A-L1, fieldwork started in January with February and March as the most productive months. In the end of April, 83,7 percent of all households of the gross sample were processed. The last few households were processed in August and September. The fieldwork for sample L2/3 started in July and was finalized in December. July and August were the most productive months here with 64.1 percent finalized households by the end of August.

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

Household Level	A-H, J-K, L1				L2/3			
	Gross Sample		Net Sample		Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
January ¹	193	1.7	6	0.1	-	-	-	-
February	4,531	40.0	4,246	42.9	-	-	-	-
March	3,452	30.4	3,195	32.3	-	-	-	-
April	1,510	13.3	1,325	13.4	-	-	-	-
May	1,165	10.3	853	8.6	-	-	-	-
June	374	3.3	223	2.3	-	-	-	-
July	107	0.9	47	0.5	750	32.9	690	39.0
August	6	0.1	3	0.0	712	31.2	619	35.0
September	2	0.0	1	0.0	184	8.1	144	8.1
October	-	-	-	-	278	12.2	182	10.3
November	-	-	-	-	303	13.3	131	7.4
December	-	-	-	-	53	2.3	3	0.2

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

1.4.3 Translations

In addition to German, household and individual questionnaires were available in three further languages including English, Russian and Turkish. The Life history questionnaire, Youth, and Child questionnaire as well as the additional questionnaires Gap and Deceased person were only available in German.

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

1.4.4 Panel maintenance and incentives

Table 1.14: Incentives samples A-L

	A-H	J, K, L1	L2/3
Incentives for adults	Lottery Ticket: 6,332 HH Cash ¹ : 650 HH	HH: 5 Euro Adult: 10 Euro	HH: 5 Euro Adult: 5 Euro Bonus: 10 Euro
Incentives for youth and child questionnaire	Youth quest.: age 16 or 17: Quiz card game Youth quest.: age 13 or 14: Small clock Youth quest.: age 11 or 12: Small puzzle Child quest.: no incentive		All youth quest.: 5 Euro All child quest.: 5 Euro

¹ Same cash incentives as in samples J, K, L1

A variety of incentives was used to support this year's survey wave (**Table 1.14**). In the samples A-H, 6,332 households received a lottery ticket while 650 received a cash incentive. In the samples J, K, and L1 households received €5 for a completed household questionnaire and €10 for each completed adult questionnaire. In the sample L2/3 households were rewarded with €5 for a household questionnaire and another €5 for each adult questionnaire. Additionally, households received a €10 bonus if all household members completed their questionnaires. The three different Youth questionnaires were rewarded with a specific incentive each in the samples A-L1. In L2/3 all Youth questionnaires as well as all Child questionnaires were incentivized with €5. In addition the individual incentives, interviewers bring small gifts to all households which is presented upon arrival. This year's gift was a branded power bank. Furthermore, parents of newborns receive a small photo album via mail.

1.4.5 Movers and Tracing

Of 13,620 households in 2017's administered gross sample, 1,382 (10.1 percent) were movers or new households (Table 1.15) and thus subject to address inquiry. The addresses of 88.4 percent of these households were traced successfully. Most of the new addresses were provided by the respective interviewers (39.5 percent) or traced over the local registration offices (32.5 percent). Another important source for tracing households is the postal service: In case of invitation letters being returned to sender a new address is sometimes provided. This process accounts for 18.4 percent of traced households. In samples L2/3 the participants themselves provided new addresses in 17.1 percent of cases, a comparatively high value.

Table 1.15: Movers and sources of new addresses of administered sample 2017

Household Level	Total		A-H, J-K, L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross sample	13,620	100.0	11,340	100.0	2,280	100.0
Movers and new households	1,382	10.1	1,060	9.3	322	14.1
Success tracing						
Tracing successful	1,222	88.4	977	92.2	245	76.1
Tracing not successful	160	11.6	83	7.8	77	23.9
Source						
Interviewer	546	39.5	431	40.7	115	35.7
Postal service	254	18.4	210	19.8	44	13.7
Local registration offices	449	32.5	341	32.2	108	33.5
Participant	133	9.6	78	7.4	55	17.1

1.4.6 Interviewer Characteristics, Training & Monitoring

In total 550 interviewers conducted the interviews for the SOEP-core samples (Table 1.16). With 55.8 percent the proportion of male interviewers is slightly higher than female interviewers. Most interviewers were between 60 and 79 years old. In most cases, interviewers processed 5-19 households. 199 interviewers processed more than 20 households and 5 of them 100 households or more.

Table 1.16: Interviewer characteristics

Interviewer Level	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	550	100.0	461	100.0	288	100.0	187	100.0	276	100.0
Gender										
Male	307	55.8	255	55.3	163	56.6	109	58.3	156	56.5
Female	243	44.2	206	44.7	125	43.4	78	41.7	120	43.5
Age										
21-39 years	9	1.6	7	1.5	5	1.7	4	2.1	6	2.2
40-59 years	116	21.1	97	21.0	58	20.1	41	21.9	62	22.5
60-79 years	389	70.7	321	69.6	215	74.7	135	72.2	199	72.1
80+ years	36	6.5	36	7.8	10	3.5	7	3.7	9	3.3
Number of Households (Gross)										
Less than 5 HH	128	23.3	177	38.4	96	33.3	95	50.8	159	57.6
5 – 19 HH	223	40.5	212	46.0	151	52.4	87	46.5	113	40.9
20 – 99 HH	194	35.3	71	15.4	41	14.2	5	2.7	4	1.4
More than 99 HH	5	0.9	1	0.2	0	0.0	0	0.0	0	0.0

As presented in **Table 1.17**, most of the interviewers have 10-19 years of experience with Kantar and at least 5-9 years with the SOEP. Most of the more experienced interviewers (20-29 years or 30-34 years and more) are active in the older samples A-H.

Table 1.17: Interviewer experience

Interviewer level	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	550	100.0	461	100.0	288	100.0	187	100.0	276	100.0
Experience with Kantar										
0 0-4 years	72	13.1	50	10.8	39	13.5	21	11.2	40	14.5
5-9 years	135	24.5	96	20.8	90	31.3	56	29.9	88	31.9
10-19 years	151	27.5	129	28.0	89	30.9	75	40.1	92	33.3
20-29 years	116	21.1	111	24.1	45	15.6	21	11.2	37	13.4
30-39 years	52	9.5	52	11.3	18	6.3	11	5.9	13	4.7
More than 40 years	24	4.4	23	5.0	7	2.4	3	1.6	6	2.2
Experience with SOEP¹										
0-4 years	130	25.0	85	19.8	65	22.7	38	20.4	73	26.5
5-9 years	165	31.8	130	30.2	129	45.1	84	45.2	115	41.8
10-19 years	155	29.9	148	34.4	69	24.1	53	28.5	67	24.4
20-29 years	28	5.4	28	6.5	12	4.2	5	2.7	10	3.6
30-34 years	41	7.9	39	9.1	11	3.8	6	3.2	10	3.6

¹ For 31 interviewers the experience with SOEP surveys is unknown.

For the interviewer training in January 2017, 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 2017
- Importance of high response rates for the SOEP surveys
- Roll of the interviewers and results of the interviewer survey 2016
- Technical setup of the survey processing at Kantar-SOEP Munich
- Special features of the 2017 survey year:
 - Importance of low partial unit non-response for the SOEP surveys
 - The DIW-SOEP image brochure

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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.

1.5 Fieldwork results

1.5.1 Participation on household level

Participation figures for three different types of households are presented in **Table 1.18**. Of 13,620 households in the gross sample, 85.7 percent were interviewed. This includes 90 percent of all households which participated in the previous wave. 39.5 percent of all households which dropped out in the previous wave were reintegrated in 2017. Also, 50.2 percent of all new households were successfully interviewed. 5.9 percent of the gross sample dropped out temporarily in 2017 while 8.4 percent dropped out permanently.

Table 1.18: **Participation by type of household**

	Total		Respondents in previous wave		Drop-outs in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	13,620	100.0	12,350	100.0	830	100.0	440	100.0
Interview (1.0)	11,668	85.7	11,119	90.0	328	39.5	221	50.2
Complete (1.1)	9,986	73.3	9,565	77.4	234	28.2	187	42.5
Partial (1.2)	1,682	12.3	1,554	12.6	94	11.3	34	7.7
Non-Interview (2.0)	1,952	14.3	1,231	10.0	502	60.5	219	49.8
Temporary drop out	804	5.9	639	5.2	52	6.3	113	25.7
Non contact (2.20)	143	1.0	115	0.9	6	0.7	22	5.0
Temporary Refusal (2.11)	586	4.3	502	4.1	14	1.7	70	15.9
Temporarily physically or mentally unable/incompetent (2.321)	18	0.1	17	0.1	0	0.0	1	0.2
Household could not be traced (temporary) (3.18; 2.4)	33	0.2	5	0.0	8	1.0	20	4.5
Other temp (2.30)	24	0.2	0	0.0	24	2.9	0	0.0
Final Drop out	1,148	8.4	592	4.8	450	54.2	106	24.1
Permanent Refusal (2.11)	642	4.7	420	3.4	165	19.9	57	13.0
Permanently physically or mentally unable/incompetent (2.322)	81	0.6	61	0.5	17	2.0	3	0.7
Deceased (2.31)	65	0.5	61	0.5	4	0.5	0	0.0
Moved abroad (4.2)	22	0.2	18	0.1	4	0.5	0	0.0
Household dissolved (4.2)	15	0.1	10	0.1	5	0.6	0	0.0
Household untraceable (4.4)	77	0.6	22	0.2	18	2.2	37	8.4
Dropped out temporarily in two consecutive waves	246	1.8	0	0.0	237	28.6	9	2.0

Table 1.19 presents participations figures over all sub-samples of the SOEP-core. With 87.9 percent, the interviewing rate is highest for sample L1. The lowest interviewing rate was realized in sample L2/3 (77.6 percent). Particularly the temporary drop-out rate is higher in this sample compared to the other samples. Over all samples, the unit non-response rate averages to 14.3 percent.

Table 1.19: Participation by Sample

	Total		A-H		J-K		L1		L2/3	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	13,620	100.0	6,982	100.0	3,145	100.0	1,213	100.0	2,280	100.0
Interview (1.0)	11,668	85.7	6,081	87.1	2,763	87.9	1,055	87.0	1,769	77.6
Complete (1.1)	9,986	73.3	5,204	74.5	2,394	76.1	942	77.7	1,446	63.4
Partial (1.2)	1,682	12.3	877	12.6	369	11.7	113	9.3	323	14.2
Non-Interview (2.0)	1,952	14.3	901	12.9	382	12.1	158	13.0	511	22.4
Temporary drop out	804	5.9	326	4.7	161	5.1	69	5.7	248	10.9
Non contact (2.20)	143	1.0	32	0.5	37	1.2	12	1.0	62	2.7
Temporary Refusal (2.11)	586	4.3	270	3.9	113	3.6	52	4.3	151	6.6
Temporarily physically or mentally unable/incompetent (2.321)	18	0.1	11	0.2	5	0.2	1	0.1	1	0.0
Household could not be traced (temporary) (3.18; 2.4)	33	0.2	9	0.1	4	0.1	2	0.2	18	0.8
Other temp (2.30)	24	0.2	4	0.1	2	0.1	2	0.2	16	0.7
Final Drop out	1,148	8.4	575	8.2	221	7.0	89	7.3	263	11.5
Permanent Refusal (2.11)	642	4.7	335	4.8	115	3.7	52	4.3	140	6.1
Permanently physically or mentally unable/incompetent (2.322)	81	0.6	53	0.8	26	0.8	0	0.0	2	0.1
Deceased (2.31)	65	0.5	46	0.7	16	0.5	1	0.1	2	0.1
Moved abroad (4.2)	22	0.2	13	0.2	4	0.1	3	0.2	2	0.1
Household dissolved (4.2)	15	0.1	7	0.1	5	0.2	0	0.0	3	0.1
Household untraceable (4.4)	77	0.6	34	0.5	16	0.5	7	0.6	20	0.9
Dropped out temporarily in two consecutive waves	246	1.8	87	1.2	39	1.2	26	2.1	94	4.1

Table 1.20 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 2017 might have participated in the interviewer-based mode if it failed to

complete the online questionnaires. This was the case for 14.6 percent of the households that started in CAWI mode (Table 1.21).

Table 1.20: Participation by type of fieldwork 2017¹

	Total		Interviewer-based		MAIL ²		CAWI ³	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	13,620	100.0	10,961	100.0	1,717	100.0	942	100.0
Interview (1.0)	11,668	85.7	9,474	86.4	1,436	83.6	758	80.5
Complete (1.1)	9,986	73.3	8,252	75.3	1,137	66.2	597	63.4
Partial (1.2)	1,682	12.3	1,222	11.1	299	17.4	161	17.1
Non-Interview (2.0)	1,952	14.3	1,487	13.6	281	16.4	184	19.5
Temporary drop out	804	5.9	597	5.4	103	6.0	104	11.0
Non contact (2.20)	143	1.0	124	1.1	0	0.0	19	2.0
Temporary Refusal (2.11)	586	4.3	414	3.8	97	5.6	75	8.0
Temporarily physically or mentally unable/incompetent (2.321)	18	0.1	18	0.2	0	0.0	0	0.0
Household could not be traced (temporary) (3.18; 2.4)	33	0.2	25	0.2	4	0.2	4	0.4
Other temp (2.30)	24	0.2	16	0.1	2	0.1	6	0.6
Final Drop out	1,148	8.4	890	8.1	178	10.4	80	8.5
Permanent Refusal (2.11)	642	4.7	499	4.6	91	5.3	52	5.5
Permanently physically or mentally unable/incompetent (2.322)	81	0.6	74	0.7	7	0.4	0	0.0
Deceased (2.31)	65	0.5	58	0.5	7	0.4	0	0.0
Moved abroad (4.2)	22	0.2	18	0.2	4	0.2	0	0.0
Household dissolved (4.2)	15	0.1	12	0.1	3	0.2	0	0.0
Household untraceable (4.4)	77	0.6	68	0.6	5	0.3	4	0.4
Dropped out temporarily in two consecutive waves	246	1.8	161	1.5	61	3.6	24	2.5

1 By mode, the household participated in 2016; for new households, mode the old households participated in in 2016

2 All households in the MAIL mode used to be drop outs in the interviewer-based mode that 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.

With 86.4 percent, the highest level of participation is reached in the interviewer-based modes, followed by the MAIL mode that achieved 83.6 percent (**Table 1.20**). CAWI mode as used in sample L2/3 produced slightly lower levels of participation. In 2017, 80.5 percent of households took part in the study via CAWI mode. With 11.0 percent, the CAWI mode shows a higher tendency towards temporary dropouts compared to other types of fieldwork. The percentage of final dropouts is slightly above the average for web interviews.

Table 1.21: **Type of fieldwork 2017 by type of fieldwork 2016¹**

2017	2016		Interviewer-based		MAIL		CAWI	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Interview	11,668	100.0	9,474	100.0	1,436	100.0	758	100.0
Interviewer-based	9,462	81.1	9,335	98.5	16	1.1	111	14.6
MAIL	1,463	12.5	43	0.5	1,420	98.9	0	0.0
CAWI	743	6.4	96	1.0	0	0.0	647	85.4

¹ By mode, the household participated in 2017; for new households, mode the old households participated in in 2016

The overall response rate as well as the respective response rates for three different types of households are displayed in **Table 1.22**. 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 permanently cannot be traced or because the last household member died. The overall response rate for this year's survey amounts to 86.7 percent. For households that participated in the previous wave, a response rate of 90.8 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 41.1 percent and 54.8 percent, respectively, in 2017.

Table 1.22: **Response Rate by type of household (in percent)**

	Total	Respondents in previous wave	Drop-outs in previous wave	New households
Response Rate ¹	86.7	90.8	41.1	54.8

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

Response rates for different samples and sample groups are presented in **Table 1.23**. Sample groups A-H, J-K all score response rates over 88 percent. With 87.8 percent for L1 and 78.5 percent for L2/3 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.

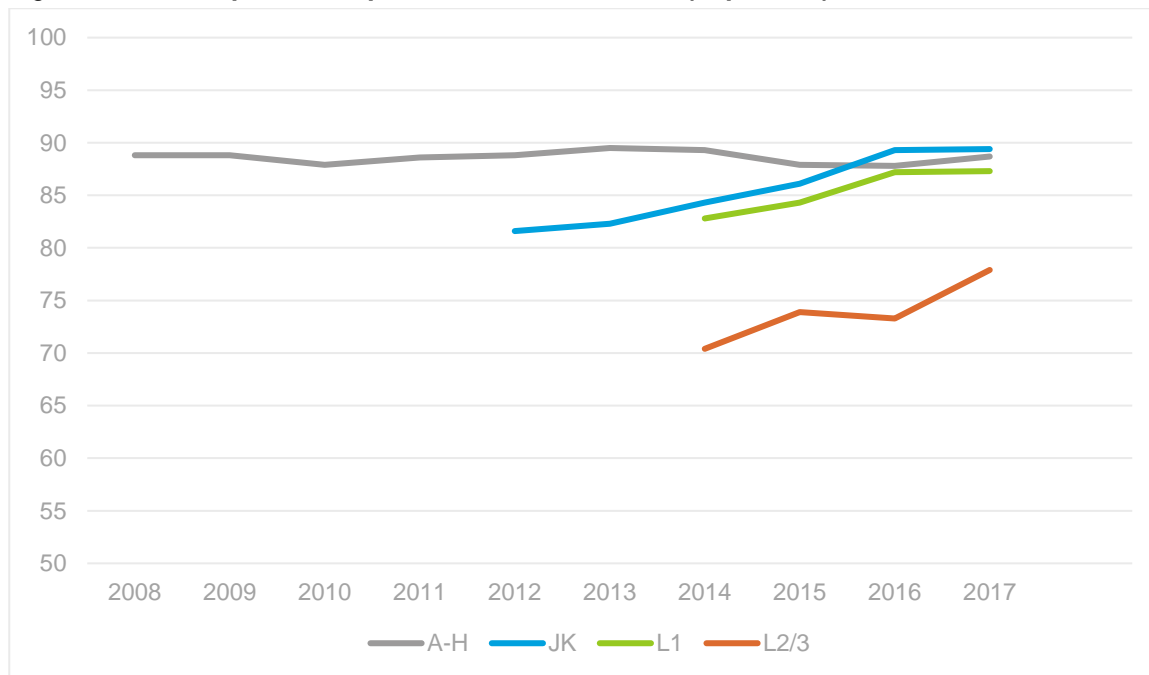
Table 1.23: Response Rate by sample (in percent)

	Total	A-H	J-K	L1	L2/3
Response Rate ¹	86.8	88.4	89.0	87.8	78.5

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

The development of response rates in all samples since 2008 is visualized in **Figure 1.3**. Response rates for the samples A-H are in gradual decline since 2014. For the sample J, K and L1, response rates have been increasing until 2016 to now remain nearly constant. After a notable increase between 2016 and 2017 from 73.3 to 77.9 percent, sample L2/3 reached a new maximum response rate with this year's survey wave.

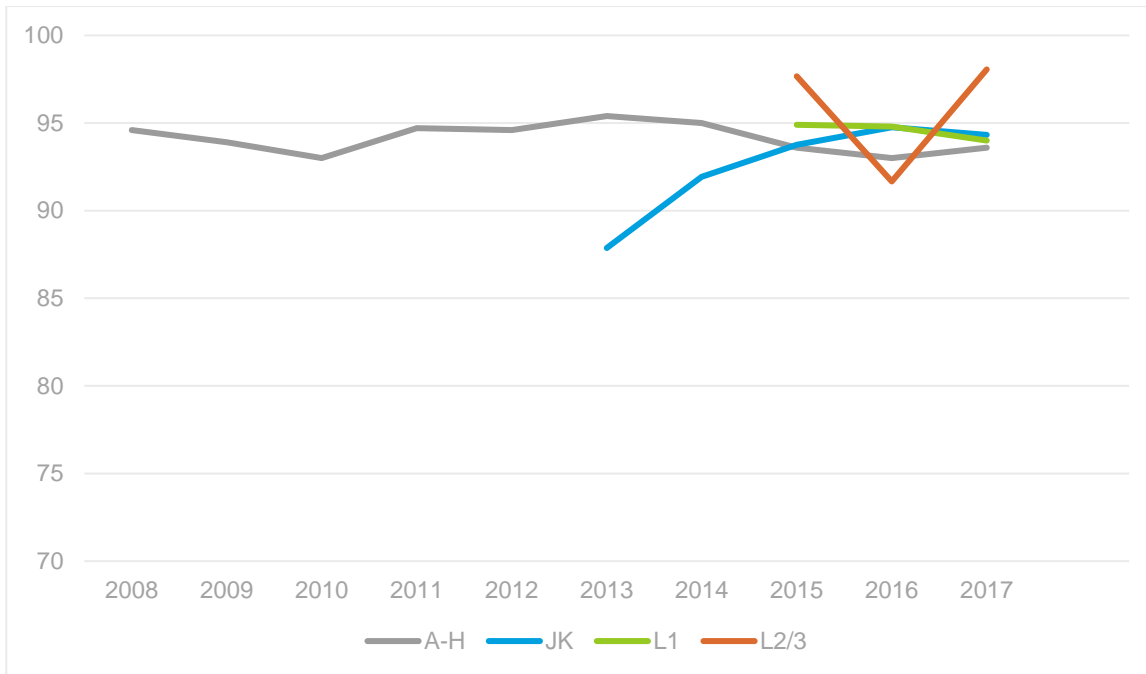
Figure 1.3: Development Response Rates¹ since 2008 (in percent)



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 depicted in **Figure 1.4** the panel stability for A-H decreased slightly between 2013 and 2016. With 2017 it increases again to 94 percent. The panel stability for the samples J and K increased strongly between 2013 and 2016 to then slightly drop in 2017. For L2/3 the panel stability increased strongly reaching 98.1 percent with this year's survey wave.

Figure 1.4: Development Panel Stability¹ since 2008 (in percent)



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

1.5.2 Participation on individual level

As presented in **Table 1.24**, 20,165 individuals from the core sample took part in the survey in 2017, which equals 78.3 percent of the gross sample. Consequently, 21.7 percent of all possible respondents in the gross sample did not participate this year. 14.7 percent of all individuals dropped out of the survey permanently and will not be approached by the interviewer again, while 7.0 percent will be asked to participate again in next year's survey wave. Regarding all respondents from the previous wave, 88.3 percent took part in the present year. Of 2,298 temporary dropouts in 2016, 1,094 individuals were successfully reintegrated in 2017, 154 of those who had given a permanent refusal in an earlier wave have been converted successfully. Additionally, 147 new panel members were recruited from existing or newly established households. Also, 536 young adults reached the age required to fully participate in the survey with the youth questionnaire. 75.2 percent of them did so.

Table 1.24: Participation by Panel Status

	Total		Respondents in previous wave		Temp. dropouts in previous wave		Permanent refusals in previous waves		New panel members ¹		Grown into Panel ²	
	Abs.	In % gross sample	Abs.	In% gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample
Gross Sample ³	25,758	100.0	20,811	100.0	2,298	100.0	1,803	100.0	310	100.0	536	100.0
Interview (1.0)	20,165	78.3	18,367	88.3	1,094	47.6	154	8.5	147	47.4	403	75.2
Non-interview (2.0)	5,593	21.7	2,444	11.7	1,204	52.4	1,649	91.5	163	52.6	133	24.8
Temporary dropout	1,795	7.0	1,331	6.4	225	9.8	0	0.0	106	34.2	133	24.8
Non-contact (2.20)	74	0.3	51	0.2	20	0.9	0	0.0	3	1.0	0	.0
Temporary refusal (2.112)	1,412	5.5	1,173	5.6	169	7.4	0	0.0	70	22.6	0	.0
Temp. physically or mentally unable (2.321)	18	0.1	14	0.1	3	0.1	0	0.0	1	0.3	0	.0
Person could not be traced (temporary) (3.18; 2.4)	40	0.2	28	0.1	12	0.5	0	0.0	0	0.0	0	.0
Other temp. (2.52)	251	1.0	65	0.3	21	0.9	0	0.0	32	10.3	133	24.8
Final Dropout	3,798	14.7	1,113	5.3	979	42.6	1,649	91.5	57	18.4	0	0.0
Permanent refusal (2.111)	3,474	13.5	863	4.1	910	39.6	1,649	91.5	52	16.8	0	0.0
Perm. physically or mentally unable (2.322)	28	0.1	15	0.1	8	0.3	0	0.0	5	1.6	0	0.0
Deceased (2.31)	161	0.6	147	0.7	14	0.6	0	0.0	0	0.0	0	0.0
Moved abroad (4.2)	44	0.2	36	0.2	8	0.3	0	0.0	0	0.0	0	0.0
Person untraceable (4.4)	91	0.4	52	0.2	39	1.7	0	0.0	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 1.25** includes the response rates for the different types of respondents. In total, an individual response rate of 79.2 percent was accomplished. For respondents in the previous wave, the response rate was 89.3 percent.

Table 1.25: Response rate by Panel Status (in %)

	Total	Respondents in previous wave	Temp. dropouts in previous wave	Permanent refusals in previous waves	New panel members ²	Grown into Panel ³
Response rate ¹	79.2	89.3	48.9	8.5	47.4	75.2

¹ RR = percentage of all participants in the gross sample of individuals born before 2001 (gross sample adjusted for persons who are deceased, moved abroad or are untraceable).

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. Over all samples of the SOEP-core, the partial unit non-response rate (PUNR) amounts to 21.0 percent. With 12.3 percent, it is notably lower for sample L1 and slightly higher for sample L2/3 (24.7 percent)

Table 1.26 Partial unit non-response by sample (PUNR, in percent)

	Total	A-H	J-K	L1	L2/3
PUNR ¹	21.0	21.9	20.8	12.3	24.7

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

Table 1.27: Partial unit non response¹ by type of fieldwork 2017 (PUNR, in %)

	Total	Interviewer-based	MAIL ²	CAWI ³
PUNR ¹	21.0	19.0	30.3	27.8

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

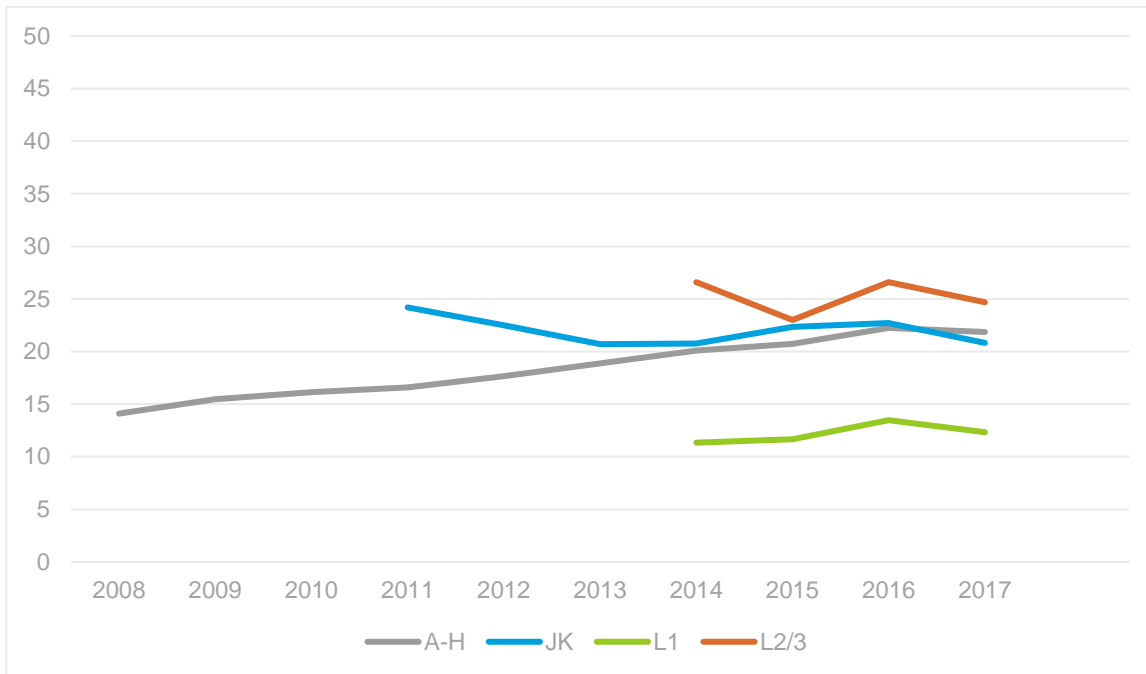
² All households in the MAIL mode used to be drop outs in the interviewer-based mode that were willing to continue participation via mail.

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 1.27** 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 19.0 percent compared to MAIL or CAWI, with rates of 30.3 and 27.8 percent respectively.

Figure 1.5 illustrates the development of partial unit-non-response over the last ten years. For the older samples (A-H and J-K) the parameter has been increasing steadily over the last years. Between 2016 and 2017 the PUNR decreased slightly for all sample groups.

Figure 1.5: Development partial unit non-response¹ since 2008 (PUNR, in percent)



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

1.5.3 Participation by types of questionnaires

Across all samples, 11,668 household questionnaires and 19,762 individual questionnaires were completed. Figures for the distribution of questionnaire over all core samples are presented in **Table 1.28**. The frequency of completed Mother and child questionnaires is exceptionally high for sample L1. Similarly, numbers for completed Youth questionnaires are high in L2/3.

Table 1.28: Number of interviews by sample and questionnaire

	Total	A-H	J-K	L1	L2/3
Household questionnaire	11,668	6,081	2,763	1,055	1,769
Individual questionnaire	19,762	10,035	4,490	1,958	3,279
Life history questionnaire	263	101	66	21	75
Youth questionnaire: age 16 or 17	406	95	57	30	224
Cognitive competency tests	135	57	52	26	-
Youth questionnaire: age 13 or 14	470	114	57	76	223
Youth questionnaire: age 11 or 12	434	112	45	105	172
Mother and child questionnaire: age 9 or 10	637	103	55	315	164
Questionnaire for parents: age 7 or 8 ¹	881	150	91	497	143
Questionnaire for parents: age 7 or 8 ²	507	86	54	277	90
Mother and child questionnaire: age 5 or 6	270	84	52	101	33
Mother and child questionnaire: age 2 or 3	227	89	55	56	27
Mother and child questionnaire: newborn	179	84	36	36	23
Questionnaire "Gap"	634	181	140	65	248
Questionnaire "Deceased person"	374	177	104	29	64

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 1.29 provides figures of completed questionnaires by mode. CAPI is the most relevant mode over all questionnaires. It is followed by self-interviewing and interviewing by mail which is particularly relevant for Mother and child questionnaires for young children (newborn and age 2 or 3). Besides CAPI, web-interviewing (CAWI) takes relevance especially for the Youth questionnaires.

Table 1.29: Number of interviews by mode and questionnaire

		Interviewer-Based			Centrally Administered		Total ¹
		CAPI	PAPI	SELF	MAIL	CAWI	
Household questionnaire	abs.	7,112	615	1,706	1,463	743	11,639
	In %	61.1	5.3	14.7	12.6	6.4	100.0
Individual questionnaire	abs.	11,790	892	3,288	2,311	1,419	19,700
	In %	59.8	4.5	16.7	11.7	7.2	100.0
Life history questionnaire	abs.	162	3	40	32	26	263
	In %	61.6	1.1	15.2	12.2	9.9	100.0
Youth questionnaire: age 16 or 17	abs.	236	14	33	26	95	404
	In %	58.4	3.5	8.2	6.4	23.5	100.0
Cognitive competency tests	abs.	-	-	135	-	-	135
	In %	-	-	100.0	-	-	100.0
Youth questionnaire: age 13 or 14	abs.	250	9	71	34	105	469
	In %	53.3	1.9	15.1	7.2	22.4	100.0
Youth questionnaire: age 11 or 12	abs.	241	10	73	30	78	432
	In %	55.8	2.3	16.9	6.9	18.1	100.0
Mother and child questionnaire: age 9 or 10	abs.	438	11	93	26	68	636
	In %	68.9	1.7	14.6	4.1	10.7	100.0
Questionnaire for parents: age 7 or 8	abs.	590	16	188	37	45	876
	In %	67.4	1.8	21.5	4.2	5.1	100.0
Mother and child questionnaire: age 5 or 6	abs.	171	7	27	22	11	238
	In %	71.8	2.9	11.3	9.2	4.6	100.0
Mother and child questionnaire: age 2 or 3	abs.	132	7	25	29	7	200
	In %	66.0	3.5	12.5	14.5	3.5	100.0
Mother and child questionnaire: newborn	abs.	94	3	23	36	0	156
	In %	60.3	1.9	14.7	23.1	0.0	100.0
Questionnaire "Gap"	abs.	394	21	25	70	124	634
	In %	62.1	3.3	3.9	11.0	19.6	100.0
Questionnaire "Deceased person"	abs.	260	0	0	6	29	295
	In %	88.1	0.0	0.0	2.0	9.8	100.0

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

With 19,699 completed individual questionnaires, a response rate of 91.3 percent was obtained with this particular questionnaire (**Table 1.30**). The response rates for most of the applied questionnaires surpass 90 percent. Particularly high response rates were reached with the Mother and child questionnaires. With 53.3 percent, the lowest response was recorded for the questionnaire “Deceased person”.

Table 1.30: Response rates by questionnaire

	Gross sample ¹	Number of interviews	Response Rate
Individual questionnaire	21,572	19,699	91.3
Life history questionnaire	278	259	93.2
Youth questionnaire: age 16 or 17	453	402	88.7
Cognitive competency tests	156	134	85.9
Youth questionnaire: age 13 or 14	493	464	94.1
Youth questionnaire: age 11 or 12	461	433	93.9
Mother and child questionnaire: age 9 or 10	653	635	97.2
Questionnaire for parents: age 7 or 8	514	505	98.2
Mother and child questionnaire: age 5 or 6	276	268	97.1
Mother and child questionnaire: age 2 or 3	231	226	97.8
Mother and child questionnaire: newborn	190	176	92.6
Questionnaire “Gap”	686	634	92.4
Questionnaire “Deceased person”	182	97	53.3

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

1.5.4 Interview length per questionnaire

Figures for the median interview length for each questionnaire and the different interviewing modes respectively are presented in **Table 1.31**. The median interview length for the household questionnaire amounts to 15 minutes in total. The individual questionnaire took 35 minutes to complete, with 90 percent of the interviews lasting between 20 and 60 minutes.

Table 1.31: Median interview length (minutes) by questionnaire and mode¹

	Total		CAPI	PAPI	SELF	CAWI
	Median	Percentiles (5%, 95%)	Median	Median	Median	Median
Household questionnaire	15	(8, 35)	15	20	20	15
Individual questionnaire	35	(20, 60)	35	40	40	30
Life history questionnaire	20	(10, 55)	20	25	25	40
Youth questionnaire: age 16 or 17	30	(15, 50)	30	35	30	30
Cognitive competency tests	Not recorded					
Youth questionnaire: age 13 or 14	26	(15, 45)	30	25	30	25
Youth questionnaire: age 11 or 12	25	(14, 50)	25	23	30	24
Mother and child questionnaire: age 9 or 10	15	(7, 30)	15	14	15	15
Questionnaire for parents: age 7 or 8	10	(5, 20)	10	15	15	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"	1	(1, 5)	1	5	5	1
Questionnaire "Deceased person"	Not recorded					

¹ For MAIL mode interview length is not recorded.

1.6 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 then 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 Kantar³. 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

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

³ SOEP Methodenbericht 2011, Huber et al.

- 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.

1.7 Delivered data

Gross Data A-L1

Gross data Household	Hbru_2017.sav
Gross data Individuals	Pbru_2017.sav
Interviewer data	Intband_2017.sav
SOEP Individuals Sample A-H	P01_16_2017.xlsx
SOEP Individuals Sample J-K	P20_21_2017.xlsx
SOEP Individuals Sample L1	P63_66_2017.xlsx
SOEP Individuals A-N	P_2017.sav
Qualitative Special Surveys 2013-2017	Quali_2017.sav

Net Data A-L1

Net data Household checked	H17_A-L1.sav
Net data Household unchecked	H17_A-L1_u.sav

Net data Individuals checked	P17_A-L1.sav
Net data Individuals unchecked	P17_A-L1_u.sav
Net data Life History checked	L17_A-L1.sav
Net data Life History unchecked	L17_A-L1_u.sav
Net data Youth (age 16 o 17) checked	J17_A-L1.sav
Net data Youth (age 16 o 17) unchecked	J17_A-L1_u.sav
Net data Cognitive competency test	DJ17_A-L1.sav
Net data Youth (age 13 o 14)	FJ17_A-L1.sav
Net data Youth (age 11 o 12)	S17_A-L1.sav
Net data Mother and child E (age 9 or 10)	ME17_A-L1.sav
Net data questionnaire for parents (age 7 or 8)	EL17_A-L1.sav
Net data Mother and child C (age 5 or 6)	MC17_A-L1.sav
Net data Mother and child B (age 2 or 3)	MB17_A-L1.sav
Net data Mother and child A (newborn)	MA17_A-L1.sav
„Gap“ data from 2017	LUE16_17_A-L1.sav
Net data “Deceased person”	VP17_A-L1.sav
Information on deceased persons from non-SOEP participants	VP17_A-L1_Pnr99.sav
Information on 7 and more children	7bis10Kind_2017_A-L1.sav

Other Data A-L1

Professions, sectors, final coding	Berufe_Branchen_Ausb_2017_A-L1.sav
University coding	Hochschul-Abschl_2017_A-L1.sav

Gross Data L2/3

Gross data Household
Gross data Individuals
Interviewer data
SOEP Individuals Sample L2/3

Hbru_L2-3_2017.sav
Pbru_L2-3_2017.sav
Intband_L2-3_2017.sav
P_L2-3_2017.sav

Net Data L2/3

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 o 17) checked
Net data Youth (age 16 o 17) unchecked
Net data Youth (age 13 o 14)
Net data Youth (age 11 o 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”

H17_L2-3.sav
H17_L2-3_u.sav
P17_L2-3.sav
P17_L2-3_u.sav
L17_L2-3.sav
L17_L2-3_u.sav
J17_L2-3.sav
J17_L2-3_u.sav
FJ17_L2-3.sav
S17_L2-3.sav
ME17_L2-3.sav
EL17_L2-3.sav
MC17_L2-3.sav
MB17_L2-3.sav
MA17_L2-3.sav
LUE16_17_L2-3.sav
VP17_L2-3.sav

Other Data L2/3

Professions, sectors, final coding

University coding

Berufe_Branchen_Ausb_2017_L2-3.sav
Hochschul-Abschl_2017_L2-3.sav

2 Samples M1/2

2.1 Introduction

Table 2.1 summarizes the main characteristics of the 2017 wave in samples M1/2. 1,909 households took part in the study between April and August. This results in a response rate of 71.3 percent. Participation of households that were respondents in the previous wave was at 81.5 percent. In all households, 2,962 adults and 234 youths gave interviews. For an additional 593 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 (PUNR) was at 28.5 percent, almost identical to the previous wave (28.8 percent).

Table 2.1: **Summary fieldwork**

Fieldwork period	April - August
Mode (main questionnaires)	CAPI, PAPI, SELF
Gross sample (hh)	2,760
Net sample (hh)	1,909
Response rate (hh) ¹	Overall: 71.3 Previous wave respondents: 81.5 Previous wave dropouts: 29.4 New households: 54.8
Number of questionnaires	Adults: 5 Youths: 4 Children: 5
Net sample (individuals)	Adults: 3,300 Youths: 234 Children: 593
Questionnaire length (median, in minutes)	Household: 12 Adult ¹ : 35
Partial unit non-response	28.5

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

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 samples M1/2

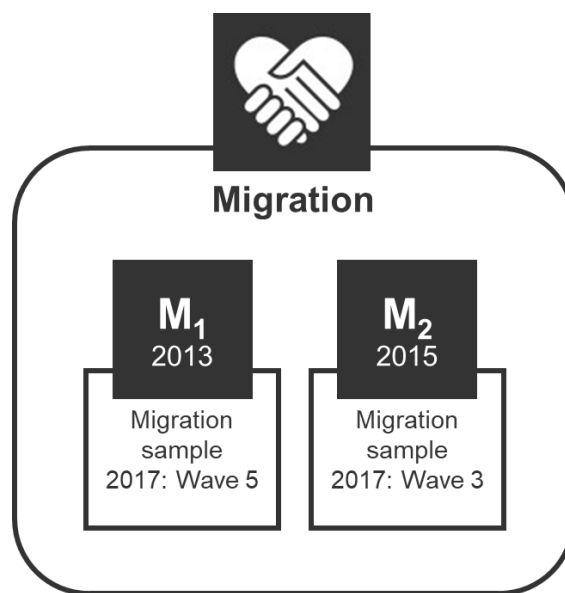
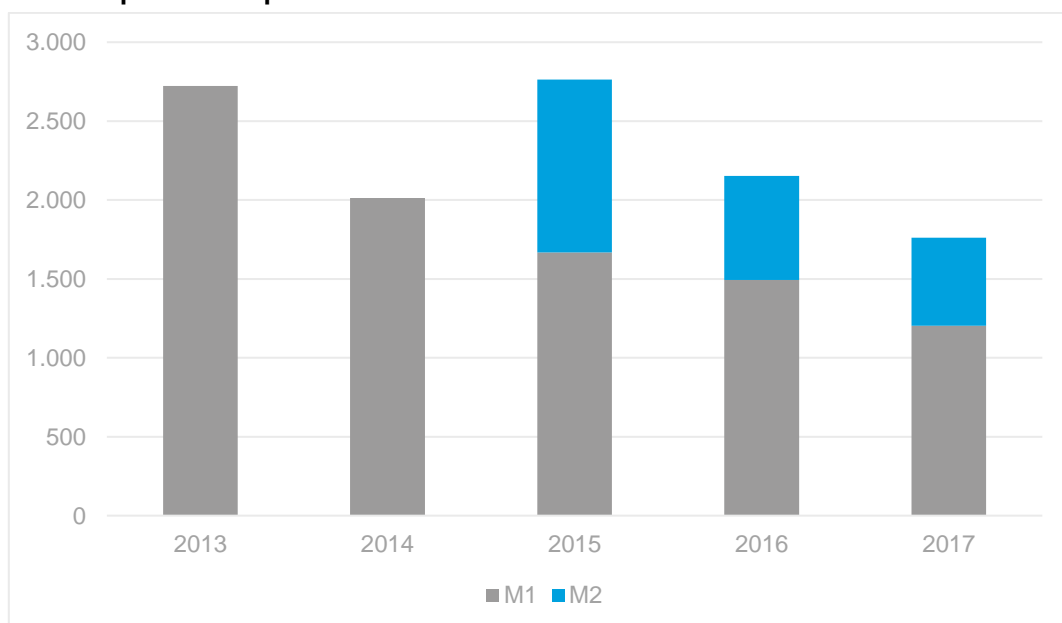


Figure 2.2: Development Samples M1/2 since 2013 - Number of Households



2.3 Structure of the Gross Sample

As presented in **Table 2.2**, 3,262 households were part of the gross sample of M1/2 in 2016. 65.8 percent of these households successfully participated without refusal for the next survey of 2017. 1,109 households (34.2 percent) did not participate in the survey in 2016. 525 households dropped out temporarily and were part of this year's gross sample. 418 dropouts were final, and another 166 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 2016 by type of household**

Household Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	3,262	100.0	2,144	100.0	1,118	100.0
Respondents without refusal for next wave	2,145	65.8	1,487	69.4	658	58.9
Respondents with refusal for next wave	8	0.2	6	0.3	2	0.2
Temporary dropouts	525	16.1	251	11.7	274	24.5
Final dropouts	418	12.8	236	11.0	182	16.3
2-year rule	166	5.1	164	7.6	2	0.2

Table 2.3: **Administered gross sample 2017 by type of household**

Household Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	2,760	100.0	1,808	100.0	952	100.0
Respondents in previous wave	2,153	78.0	1,493	82.6	660	69.3
Temp. drop-out in previous wave	526	19.1	252	13.9	274	28.8
New households (Split-off HHs)	81	2.9	63	3.5	18	1.9

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 2017 distinguished by three different types of households. A total of 2,760 households was processed in the two samples M1 and M2. 78.0 percent of these households had participated in the previous wave. 19.1 percent dropped out

temporarily in 2016, while 2.9 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	2,678	100.0	1,744	100.0	934	100.0
HH Size						
1	468	17.5	284	16.3	184	19.7
2	697	26.0	455	26.1	242	25.9
3	605	22.6	372	21.3	233	24.9
4	572	21.4	396	22.7	176	18.8
5+	336	12.5	237	13.6	99	10.6
State						
Schleswig-Holstein	67	2.5	54	3.1	13	1.4
Hamburg	74	2.8	55	3.2	19	2.0
Lower Saxony	230	8.6	147	8.4	83	8.9
Bremen	25	0.9	18	1.0	7	0.7
North Rhine-Westphalia	674	25.2	469	26.9	205	21.9
Hesse	241	9.0	137	7.9	104	11.1
Rhineland Palatinate	159	5.9	104	6.0	55	5.9
Saarland	378	14.1	252	14.4	126	13.5
Baden-Wuerttemberg	510	19.0	296	17.0	214	22.9
Bavaria	33	1.2	25	1.4	8	0.9
Berlin	102	3.8	58	3.3	44	4.7
Brandenburg	46	1.7	37	2.1	9	1.0
Mecklenburg Western Pomerania	10	0.4	8	0.5	2	0.2
Saxony	46	1.7	36	2.1	10	1.1
Saxony-Anhalt	33	1.2	28	1.6	5	0.5
Thuringia	50	1.9	20	1.1	30	3.2

¹ Status as reported at the end of wave 2016. So new households and households that re-joined the panel in 2017 but were not part of fieldwork 2016 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-L.

Table 2.5: Household characteristics by sub-samples II

Household Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	2,678	100.0	1,744	100.0	934	100.0
BIK-Type²						
0	940	35.1	564	32.3	376	40.3
1	239	8.9	160	9.2	79	8.5
2	580	21.7	380	21.8	200	21.4
3	236	8.8	177	10.1	59	6.3
4	33	1.2	22	1.3	11	1.2
5	185	6.9	141	8.1	44	4.7
6	274	10.2	172	9.9	102	10.9
7	158	5.9	107	6.1	51	5.5
8	14	0.5	8	0.5	6	0.6
9	19	0.7	13	0.7	6	0.6
Community Size³						
1	49	1.8	31	1.8	18	1.9
2	99	3.7	57	3.3	42	4.5
3	552	20.6	385	22.1	167	17.9
4	565	21.1	347	19.9	218	23.3
5	236	8.8	162	9.3	74	7.9
6	524	19.6	375	21.5	149	16.0
7	653	24.4	387	22.2	266	28.5

¹ Status as reported at the end of wave 2017. New households in 2017 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 (less than 2,000 inh.).

³ Community size: 1 (fewer than 2000 inhabitants), 2 (2,500 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. 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 samples M1/2

	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 2017, 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, and 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-L3. Many materials are provided in six different languages (German, English, Russian, Turkish, Romanian, and Polish).

Advance letter

About two weeks prior to the start of the fieldwork period, 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 has 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 1999 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 samples M1/2

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, 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 received 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. For samples M1 and M2 the PUNR-flyer was translated into five additional languages: English, Polish, Romanian, Russian and Turkish.

2.5 Conducting the survey

2.5.1 Survey mode

The mode for the main questionnaires in samples M1/2 (household, individual) is 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 81.0 percent over both samples, the majority of interviews was conducted in CAPI mode. Another 18.1 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.	153	1	35	189
	In %	81.0	0.5	18.5	100.0
M2	Abs.	35	1	7	43
	In %	81.4	2.3	16.3	100.0
Total	Abs.	188	2	42	232
	In %	81.0	0.9	18.1	100.0

As shown in **Table 2.9**, with 90.6 percent the proportion of interviews conducted in CAPI mode is even higher for the child questionnaires. Self-interviewing was done 7.3 percent of all cases and PAPI in 10 cases in total.

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

Individual Level		Interviewer-Based			Total
		CAPI	PAPI	SELF	
M1	Abs.	283	7	22	312
	In %	90.7	2.2	7.1	100.0
M2	Abs.	151	3	13	167
	In %	90.4	1.8	7.8	100.0
Total	Abs.	434	10	35	479
	In %	90.6	2.1	7.3	100.0

2.5.2 Fieldwork timings

Fieldwork started in April and ended in August. **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 M1/2**

Household Level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
April ¹	625	22.6	515	27.0
May	880	31.9	683	35.8
June	684	24.8	463	24.3
July	352	12.8	194	10.2
August	219	7.9	54	2.8

¹ Including households who 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 2017, 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, 16.3 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 sampe (individual questionnaires) ¹	3,408	100.0
No language problems occurred/no need for assistance with language problems	2,854	83.7
Assistance with language problems needed	554	16.3
Of that number:		
German-speaking person in the same household	217	6.4
German-speaking person from outside the household	63	1.8
Professional interpreter	6	0.2
Translated paper questionnaire	269	7.9
Of that number:		
English	44	1.3
Russian	107	3.1
Turkish	30	0.9
Romanian	42	1.2
Polish	46	1.3

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

2.5.4 Panel Maintenance

The incentives for respondents in samples M1/2 are very similar to those in the newer samples J, K, and L1 within samples A-L3. 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 the small puzzle “Egg of Columbus” (**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 power bank to charge mobile phones.

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: Egg of Columbus Youth questionnaire: age 16 or 17: "Time Man" clock figure Youth questionnaire: age 13 or 14: "Pi mal Daumen" card game 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 2,760 households in the gross sample in 2017, 15.2 percent were movers or new households. Tracing of these households was successful in 89.0 percent of all cases. The most important sources of information about addresses were the interviewers (41.9 percent), followed by the local registration offices (37.4 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 (19.5 percent).

Table 2.14: Movers and sources of new addresses of administered sample 2017

Household Level	Total	
	Abs.	In %
Gross Sample	2,760	100.0
Movers and New Households	420	15.2
Success Tracing		
Tracing successful	374	89.0
Tracing not successful	46	11.0
Source		
Interviewer	176	41.9
Postal Service	82	19.5
Local registration office	157	37.4
Participant	5	1.2

2.5.6 Interviewer Characteristics, Training & Monitoring

Information on some interviewer characteristics is collected in **Table 2.15**. In total, 220 interviewers were involved in samples M1 and M2 in 2017. With 62.3 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 most interviewers are responsible for less 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	220	100.0	192	100.0	142	100.0
Gender						
Male	137	62.3	119	62.0	89	62.7
Female	83	37.7	73	38.0	53	37.3
Age						
21-39 years	5	2.3	5	2.6	3	2.1
40-59	52	23.6	48	25.0	34	23.9
60-79	158	71.8	135	70.3	101	71.1
80+	5	2.3	4	2.1	4	2.8
Number of Households						
Less than 5 HH (Gross)	60	27.3	66	34.4	66	46.5
5 – 19	120	54.5	108	56.3	71	50.0
20 – 99	40	18.2	18	9.4	5	3.5
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-L3. Many interviewers 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 place together with the training for samples A-L at the beginning of the year. This was also the case in 2017 (see **Section 1.5.6**).

Table 2.16: Interviewer characteristics

Interviewer Level	Total		M1		M2	
	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	220	100.0	192	100.0	142	100.0
Experience with Kantar						
0-4 years experience with Kantar	39	17.7	35	18.2	28	19.7
5-9 years	79	35.9	71	37.0	48	33.8
10-19 years	67	30.5	58	30.2	46	32.4
20-29 years	26	11.8	20	10.4	13	9.2
30-39 years	5	2.3	4	2.1	3	2.1
More than 40 years	4	1.8	4	2.1	4	2.8
Experience with SOEP						
0-4 years	72	32.7	67	34.9	49	34.5
5-9 years	89	40.5	78	40.6	54	38.0
10-19 years	48	21.8	39	20.3	31	21.8
20-29 years	7	3.2	5	2.6	4	2.8
30-34 years	4	1.8	3	1.6	4	2.8

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.

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 2,760 households in the gross sample, 1,909 households were successfully interviewed, which amounts to 69.2 percent.

Table 2.18: **Participation by type of household**

	Total		Respondents in previous wave		Drop-outs in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	2,760	100.0	2,153	100.0	526	100.0	81	100.0
Interview (1.0)	1,909	69.2	1,726	80.2	146	27.8	37	45.7
Complete (1.1)	1,482	53.7	1,348	62.6	101	19.2	33	40.7
Partial (1.2)	427	15.5	378	17.6	45	8.6	4	4.9
Non-Interview (2.0)	851	30.8	427	19.8	380	72.2	44	54.3
Temporary drop out	334	12.1	312	14.5	6	1.1	16	19.8
Non-contact (2.20)	86	3.1	82	3.8	0	0.0	4	4.9
Temporary refusal (2.11)	217	7.9	210	9.8	0	0.0	7	8.6
Temporary physically or mentally unable/incompetent (2.321)	5	0.2	5	0.2	0	0.0	0	0.0
Household could not be traced (temporary) (3.18; 2.4)	7	0.3	4	0.2	1	0.2	2	2.5
Other temp. (2.52)	19	0.7	11	0.5	5	1.0	3	3.7
Final Drop out	517	18.7	115	5.3	374	71.1	28	34.6
Permanent refusal (2.111)	159	5.8	79	3.7	74	14.1	6	7.4
Permanently physically or mentally unable/incompetent (2.322)	2	0.1	0	0.0	2	0.4	0	0.0
Deceased (2.31)	1	0.0	1	0.0	0	0.0	0	0.0
Moved abroad (4.2)	30	1.1	20	0.9	10	1.9	0	0.0
Household dissolved (4.3)	4	0.1	2	0.1	2	0.4	0	0.0
Household untraceable (4.4)	48	1.7	13	0.6	18	3.4	17	21.0
Dropped out temporarily in two consecutive waves	273	9.9	0	0.0	268	51.0	5	6.2

Of the remaining 851 households, 334 temporarily dropped out of the survey (12.1 percent of the gross sample). Many of these households stated that they were currently unwilling to participate, e.g., due to lack of time. 517 households dropped out of the survey permanently (18.7 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, 27.8 percent participated again in 2017. Additionally, 45.7 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 74.7 percent, the participation rate in 2017 on household level was slightly higher for the larger sample M1. Both temporary and permanent dropouts 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	2,760	100.0	1,808	100.0	952	100.0
Interview (1.0)	1,909	69.2	1,350	74.7	559	58.7
Complete (1.1)	1,482	53.7	1,051	58.1	431	45.3
Partial (1.2)	427	15.5	299	16.5	128	13.4
Non-Interview (2.0)	851	30.8	458	25.3	393	41.3
Temporary drop out	334	12.1	199	11.0	135	14.2
Non-contact (2.20)	86	3.1	43	2.4	43	4.5
Temporary refusal (2.11)	217	7.9	139	7.7	78	8.2
Temporary physically or mentally unable/incompetent (2.321)	5	0.2	3	0.2	2	0.2
Household could not be traced (temporary) (3.18; 2.4)	7	0.3	6	0.3	1	0.1
Other temp. (2.52)	19	0.7	8	0.4	11	1.2
Final Drop out	517	18.7	259	14.3	258	27.1
Permanent refusal (2.111)	159	5.8	93	5.1	66	6.9
Permanently physically or mentally unable/incompetent (2.322)	2	0.1	2	0.1	0	0.0
Deceased (2.31)	1	0.0	1	0.1	0	0.0
Moved abroad (4.2)	30	1.1	10	0.6	20	2.1
Household dissolved (4.3)	4	0.1	3	0.2	1	0.1
Household untraceable (4.4)	48	1.7	31	1.7	17	1.8
Dropped out temporarily in two consecutive waves	273	9.9	119	6.6	154	16.2

Table 2.20 provides response rates for three different types of households. In total, a response rate of 71.3 was achieved on household level in 2017. For households which responded in the previous wave, the rate was higher at 81.5 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	Drop-outs in previous wave	New households
Response Rate ¹	71.3	81.5	29.4	57.8

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

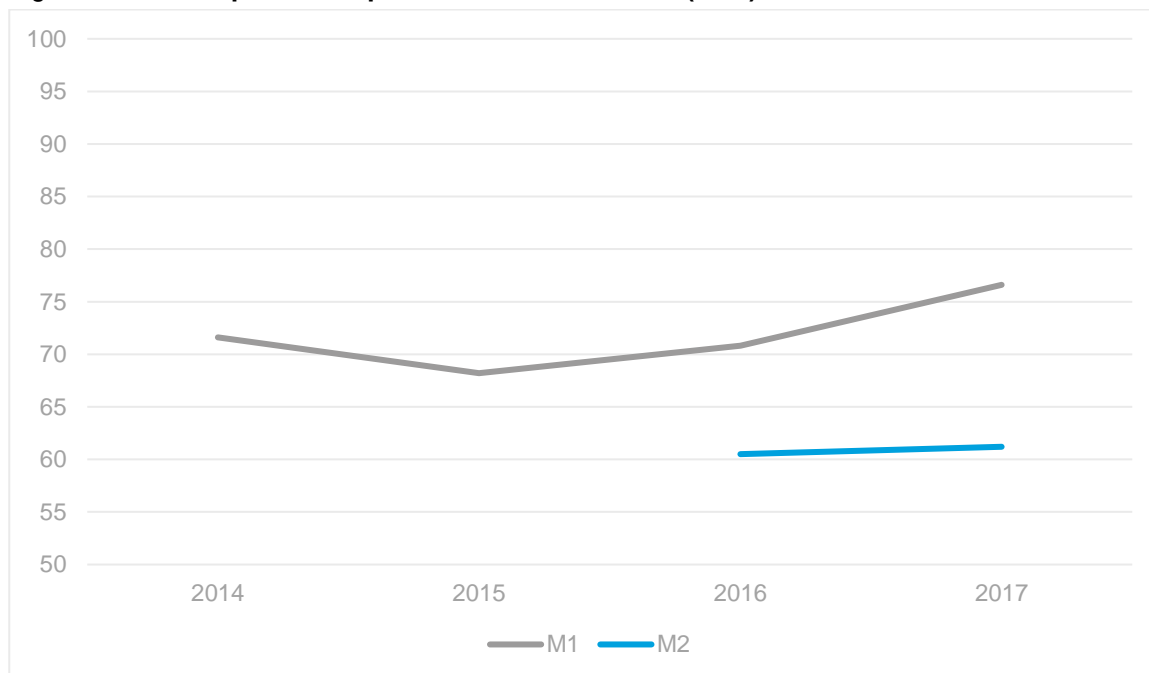
With regard to the two samples M1 and M2 (**Table 2.21**), a slightly higher response rate was achieved for the older sample M1.

Table 2.21: **Response Rate by Sample (in %)**

	Total	M1	M2
Response Rate ¹	71.3	76.6	61.2

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

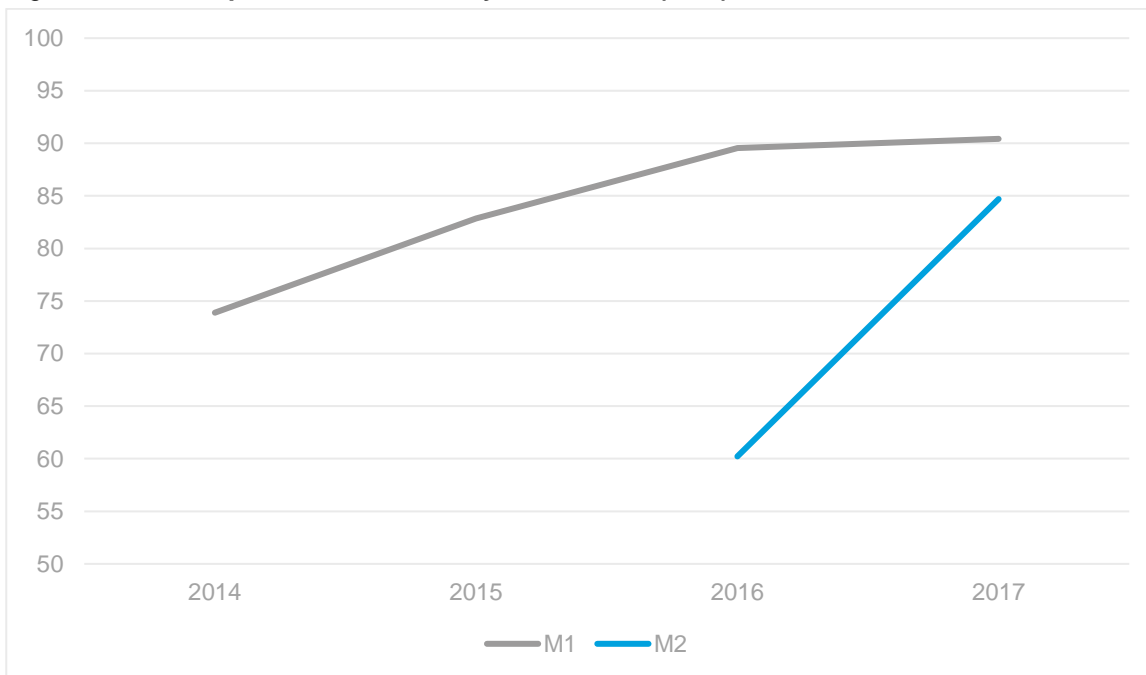
Figure 2.3: **Development Response Rates¹ since 2014 (in %)**



¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable 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 61.2 percent response rate for M2 stays on the level of 2016 (60.5), while M1 increased notably from 70.8 percent in 2016 to 76.6 percent in 2017.

Figure 2.4: Development Panel Stability¹ since 2014 (in %)



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

Figure 2.4 provides an overview of the development of the panel stability for both samples. Panel stability for M1 has been increasing constantly between 2014 and 2016 to level off at around 90 percent. M2's panel stability has been on the rise as well with 61.2 percent in 2016.

2.6.2 Participation on individual level

Figures for individual-level participation by five different kinds of panel states are presented in **Table 2.22**. Of 5,749 individuals in the gross sample, 60.5 percent were successfully interviewed. Another 13.2 percent dropped out temporarily while 26.2 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. 1,148 individuals dropped out of the survey temporarily in 2016 and were invited one more time to this year's survey. 26.7 percent of them participated. Of 564 persons who gave a permanent refusal in the previous waves 10.8 percent rejoined the panel in 2017. 79 individuals joined existing panel households. 57.0 percent of them provided an interview. Another 126 individuals reached the required age to become a regular panel member this year. 57.1 percent of them participated.

Table 2.22: Participation by Panel Status

	Total		Respondents in previous wave		Temp. dropouts in previous wave		Permanent refusals in previous waves		New panel members ¹		Grown into Panel ²	
	Abs.	In % gross sample	Abs.	In% gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample
Gross Sample ³	5,749	100.0	3,832	100.0	1,148	100.0	564	100.0	79	100.0	126	100.0
Interview (1.0)	3,481	60.5	2,997	78.2	306	26.7	61	10.8	45	57.0	72	57.1
Non-interview (2.0)	2,268	39.5	835	21.8	842	73.3	503	89.2	34	43.0	54	42.9
Temporary dropout	759	13.2	615	16.0	63	5.5	0	0.0	27	34.2	54	42.9
Non-contact (2.20)	36	0.6	25	.7	10	.9	0	0.0	1	1.3	0	0.0
Temporary refusal (2.112)	640	11.1	572	14.9	49	4.3	0	0.0	19	24.1	0	0.0
Temp. physically or mentally unable (2.321)	8	0.1	7	0.2	0	0.0	0	0.0	1	1.3	0	0.0
Person could not be traced (temporary) (3.18; 2.4)	11	0.2	10	0.3	1	0.1	0	0.0	0	0.0	0	0.0
Other temp. (2.52)	64	1.1	1	0.0	3	0.3	0	0.0	6	7.6	54	42.9
Final Dropout	1,509	26.2	220	5.7	779	67.9	503	89.2	7	8.9	0	0.0
Permanent refusal (2.111)	1,380	24.0	147	3.8	723	63.0	503	89.2	7	8.9	0	0.0
Perm. physically or mentally unable (2.322)	1	0.0	0	0.0	1	0.1	0	0.0	0	0.0	0	0.0
Deceased (2.31)	6	0.1	4	0.1	2	0.2	0	0.0	0	0.0	0	0.0
Moved abroad (4.2)	61	1.1	41	1.1	20	1.7	0	0.0	0	0.0	0	0.0
Person untraceable (4.4)	61	1.1	28	0.7	33	2.9	0	0.0	0	0.0	0	0.0

¹ New household members who have never been part of the panel.

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 61.9 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 significantly lower response rates.

Table 2.23: **Response rate¹ (in %)**

	Total	Respondents in previous wave	Temp drop-outs in previous wave	Permanent refusals in previous waves	New Panel Members ²	Grown into Panel
Response Rate	61.9	79.7	28.0	10.8	55.7	57.1

¹ RR = percentage of all participants in the gross sample of individuals born before 2001 (gross sample adjusted for persons who are deceased, moved abroad or are untraceable).

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).

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 2017 are provided in **Table 2.24**. With 29.4 percent, PUNR was slightly higher for M2 than for M1 with 28.2 percent.

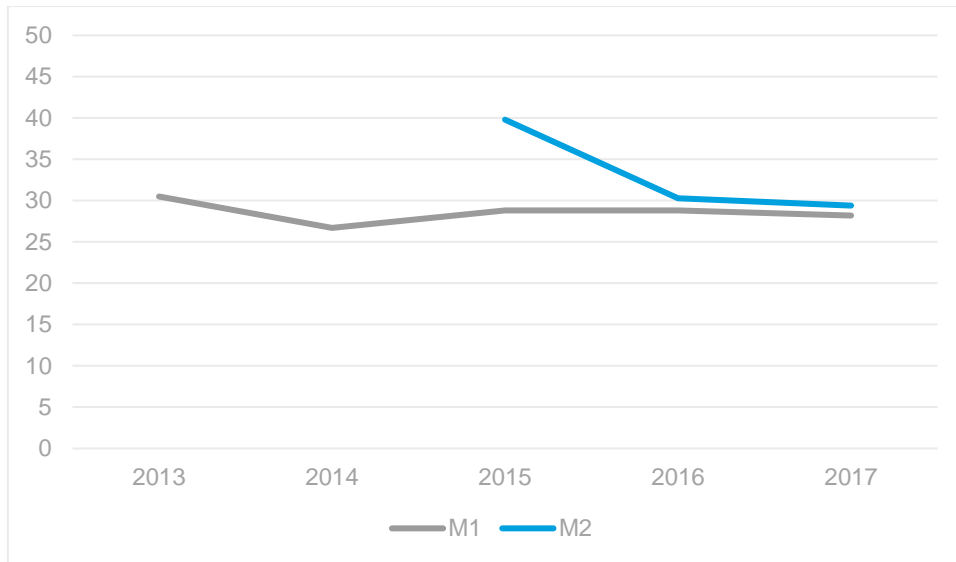
Table 2.24: **Partial unit non-response¹ (in %)**

	Total	M1	M2
PUNR ¹	28.5	28.2	29.4

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. PUNR for M2 remains at the 2016 level.

Figure 2.5: Development partial unit non-response 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, 1,909 household and 3,300 individual interviews were conducted. Generally, figures are lower for the smaller sample M2. With regard to the youth and child questionnaires, more interviews were provided the younger the questionnaires' target groups were. 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	1,909	1,350	559
Individual questionnaire	3,300	2,411	889
Individual + life history questionnaire	108	67	41
Youth questionnaire: age 16 or 17	73	61	12
Cognitive competency tests	67	56	11
Youth questionnaire: age 13 or 14	78	65	13
Youth questionnaire: age 11 or 12	83	65	18
Mother and child questionnaire: age 9 or 10	105	71	34
Questionnaire for parents: age 7 or 8 ¹	159	112	47
Questionnaire for parents: age 7 or 8 ²	99	69	30
Mother and child questionnaire: age 5 or 6	112	74	38
Mother and child questionnaire: age 2 or 3	111	65	46
Mother and child questionnaire: newborn	112	69	43
Questionnaire "Gap"	256	151	105
Questionnaire "Deceased person"	40	30	10

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			Total
		CAPI	PAPI	SELF	
Household questionnaire	abs.	1,907	0	0	1,907
	In %	100.0	0.0	0.0	100.0
Individual questionnaire	abs.	3,300	0	0	3,300
	In %	100.0	0.0	0.0	100.0
Individual + life history questionnaire	abs.	108	0	0	108
	In %	100.0	0.0	0.0	100.0
Youth questionnaire: age 16 or 17	abs.	70	0	3	73
	In %	95.9	0.0	4.1	100.0
Cognitive competency tests	abs.	-	-	67	67
	In %	-	-	100.0	100.0
Youth questionnaire: age 13 or 14	abs.	54	3	20	77
	In %	70.1	3.9	26.0	100.0
Youth questionnaire: age 11 or 12	abs.	64	0	19	83
	In %	77.1	0.0	22.9	100.0
Mother and child questionnaire: age 9 or 10	abs.	87	4	14	105
	In %	82.9	3.8	13.3	100.0
Questionnaire for parents: age 7 or 8 ¹	abs.	111	9	38	158
	In %	70.3	5.7	24.1	100.0
Questionnaire for parents: age 7 or 8 ²	abs.	71	6	21	98
	In %	72.4	6.1	21.4	100.0
Mother and child questionnaire: age 5 or 6	abs.	91	0	0	91
	In %	100.0	0.0	0.0	100.0
Mother and child questionnaire: age 2 or 3	abs.	94	0	0	94
	In %	100.0	0.0	0.0	100.0
Mother and child questionnaire: newborn	abs.	91	0	0	91
	In %	100.0	0.0	0.0	100.0
Questionnaire "Gap"	abs.	256	0	0	256
	In %	100.0	0.0	0.0	100.0
Questionnaire "Deceased person"	abs.	39	0	0	39
	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 Number of children for whom at least one questionnaire was filled out.

The response rate for each respective questionnaire is presented in **Table 2.27**. With 3,916 conducted interviews with adults in participating households, the response rate for the individual questionnaire amounts to 86.8 percent. The response rate for the different youth questionnaires is higher except for age 16 or 17, while it is higher for all mother and child questionnaires.

Table 2.27: Response rates by questionnaire

	Gross sample ¹	Number of interviews	Response Rate
Individual questionnaire ²	3,916	3,401	86.8
Youth questionnaire: age 16 or 17	89	73	82.0
Cognitive competency tests	73	67	91.8
Youth questionnaire: age 13 or 14	86	78	90.7
Youth questionnaire: age 11 or 12	93	83	89.2
Mother and child questionnaire: age 9 or 10	109	105	96.3
Questionnaire for parents: age 7 or 8	159	99	62.2
Mother and child questionnaire: age 5 or 6	120	112	93.3
Mother and child questionnaire: age 2 or 3	113	111	98.2
Mother and child questionnaire: newborn	124	110	88.7
Questionnaire "Gap"	258	256	99.2
Questionnaire "Deceased person"	7	3	42.9

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 individual interview in the two samples took 35 minutes while a household interview took 12 minutes. Youth questionnaires were slightly 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	12	(7, 25)	12	-	-
Individual questionnaire	35	(20, 60)	35	-	-
Individual + life history questionnaire	40	(20, 70)	40	-	-
Youth questionnaire: age 16 or 17	30	(20, 50)	30	-	30
Cognitive competency tests	Not recorded				
Youth questionnaire: age 13 or 14	25	(10, 47)	26	-	25
Youth questionnaire: age 11 or 12	25	(11, 40)	20	-	30
Mother and child questionnaire: age 9 or 10	15	(8, 30)	15	-	25
Questionnaire for parents: age 7 or 8	10	(5, 30)	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	(0, 3)	1	-	-
Questionnaire "Deceased person"	Not recorded				

2.6.5 Consent to Record Linkage

In 2017, 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 181 participants. They either joined the study for the first time either 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). 62.3 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	181	128	53
Consent	127	94	33
Consent Rate (in %)	70.2	73.4	62.3

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-L in **Section 1.7** of this report.

2.8 Delivered data

Gross Data

Gross data Household	Hbru_M1M2_2017.sav
Gross data Individuals	Pbru_M1M2_2017.sav
Interviewer data	Intband_M1M2_2017.sav
SOEP Individuals Sample M1+M2	P_M1M2_2017.sav

Net Data

Net data Household checked	H17_M1M2.sav
Net data Household unchecked	H17_M1M2_u.sav
Net data Individuals checked	P17_M1M2.sav
Net data Individuals unchecked	P17_M1M2_u.sav
Net data Individual + Life History checked	PB17_M1M2.sav
Net data Individual + Life History unchecked	PB17_M1M2_u.sav
Net data Youth (age 16 o 17) checked	J17_M1M2.sav
Net data Youth (age 16 o 17) unchecked	J17_M1M2_u.sav
Net data Cognitive competency test	DJ17_M1M2.sav
Net data Youth (age 13 o 14)	FJ17_M1M2.sav
Net data Youth (age 11 o 12)	S17_M1M2.sav
Net data Mother and child E (age 9 or 10)	ME17_M1M2.sav
Net data questionnaire for parents (age 7 or 8)	EL17_M1M2.sav
Net data Mother and child C (age 5 or 6)	MC17_M1M2.sav
Net data Mother and child B (age 2 or 3)	MB17_M1M2.sav
Net data Mother and child A (newborn)	MA17_M1M2.sav
„Gap“ data from 2017	LUE16_17_M1M2.sav
Net data “Deceased person”	VP17_M1M2.sav
Consent to Record Linkage	EV17_M1M2_DIW.sav

Information on 7 and more children

7bis10Kind_2017_M1M2.sav

Other Data

Professions, sectors, final coding

Berufe_Branchen_Ausb_
2017_M1M2.sav

University coding

Hochschul-Abschl_
2017_M1M2.sav

3 Samples M3/4

Table 3.1 gives a short overview of the main characteristics of the 2017 wave. 2,348 households from samples M3/4 participated between September 2017 and March 2018. This results in a response rate of 68.5 percent. Participation of households that were respondents in the previous wave was at 68.9 percent. In all households, 3,445 adults and 345 youths gave interviews. For an additional 1,475 children of various age groups, data are available from interviews with a parent. 12 different questionnaires were fielded in CAPI mode. Partial unit non-response (PUNR) was at 51.3 percent.

Table 3.1: **Summary fieldwork**

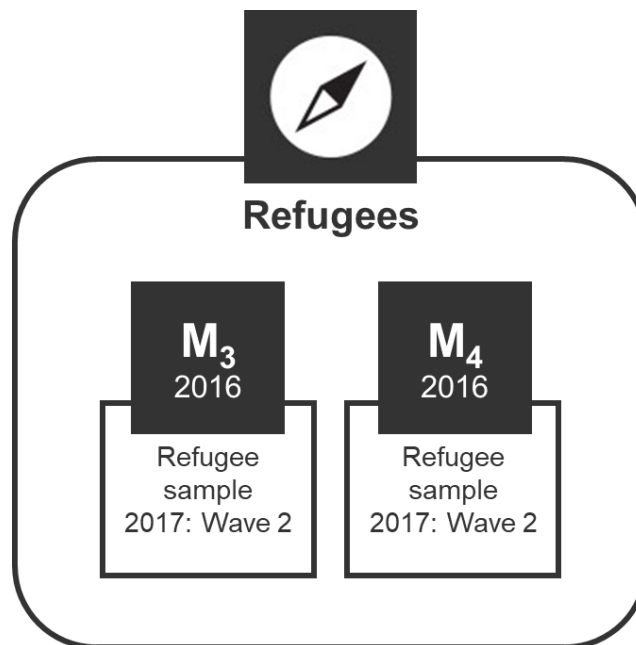
Fieldwork period	September 2017 – March 2018
Mode (main questionnaires)	CAPI
Gross sample (hh)	3,713
Net sample (hh)	2,348
Response Rate (hh) ¹	Overall: 68.5 Prev. wave respondents: 68.9 Prev. wave dropouts: 71.2 New households: 55.7
Number of questionnaires	Adults: 4 Youths: 3 Children: 5
Net sample (individuals)	Adults: 3,445 Youths: 345 Children: 1,475
Questionnaire length (median, in minutes)	Household: 15 Adult ¹ : 52
Partial unit non-response (PUNR)	51.3

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

3.1 Development Samples M3/4

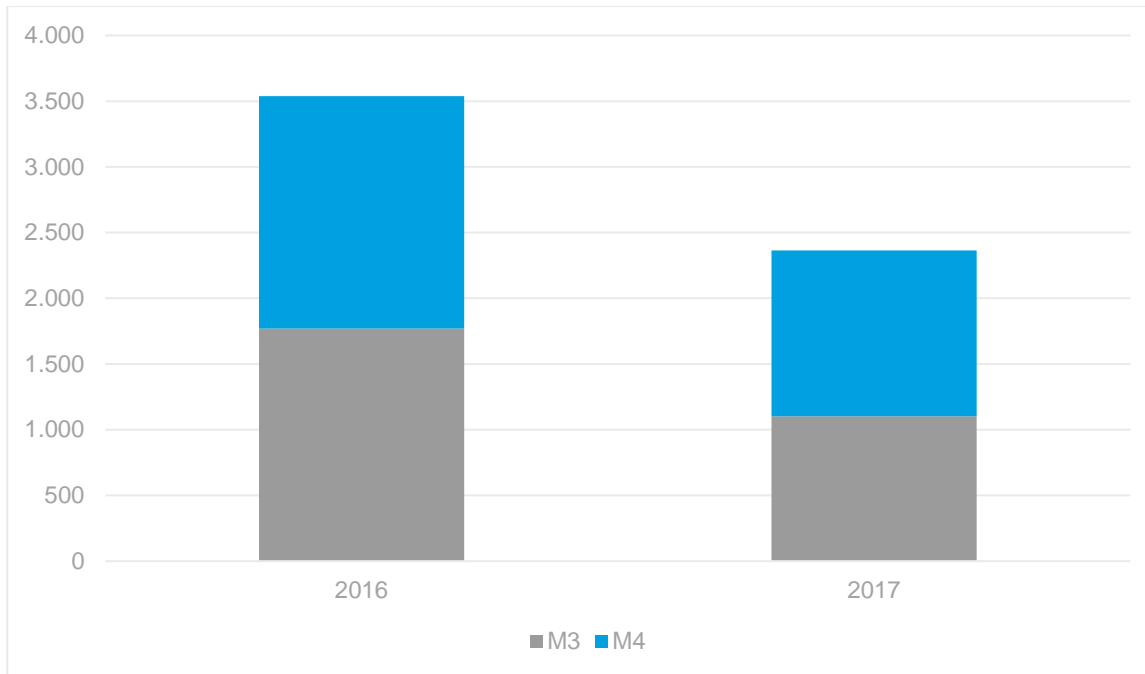
The refugee samples were integrated into SOEP-Core to represent the rising number of refugees who have arrived in Germany since 2013. To implement an innovative sampling procedure to map recent migration and integration dynamics, the SOEP partnered with the Institute for Employment Research (Institut für Arbeitsmarkt- und Berufsforschung, IAB Nuremberg) and the Research Centre of the Federal Office for Migration and Refugees (Forschungszentrum des Bundesamtes 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. For both samples the Central Register of Foreign Nationals (Ausländerzentralregister, AZR) was utilized as a sampling frame.⁴ In 2017, the second wave of samples M3 and M4 were fielded.

Figure 3.1: Overview samples M3/4



⁴ The sampling design of the refugee samples M3 and M4 is described in: SOEP Wave Report 2016.

Figure 3.2: Development Samples M3/4 since 2016 - Number of Households



3.2 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 9,903 households in samples M3/4 in 2016, 32.2 percent were coded as respondents without refusal for the next wave and are thus expected to participate in 2017 (**Table 3.2**). A total of 64.6 percent of all households in the samples dropped out permanently in 2016. Another 2.4 percent dropped out temporarily. Temporarily dropped out households are usually not invited to participate again in the second wave.

Table 3.2: Final Gross sample 2016 by type of household

Household Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	9,903	100.0	6,215	100.0	3,688	100.0
Respondents without refusal for next wave	3,186	32.2	1,610	25.9	1,576	42.7
Respondents with refusal for next wave	88	0.9	63	1.0	25	.7
Temporary dropouts	281	2.8	102	1.6	179	4.9
Final dropouts	6,348	64.1	4,440	71.4	1,908	51.7

Table 3.3 presents the gross sample of 2017 for three different types of household. Of 3,713 households in the gross sample, 89.4 percent were respondents in the previous wave. 234 households in M3 and M4 which dropped out temporarily would not have been invited again in 2017, but due to fraudulent behaviour by one interviewer in the first wave in 2016 that was uncovered during fieldwork 2017 these households were part of the administered gross sample for 2017. Additionally, 158 new split-off households were identified and included in the samples.

Table 3.3: Administered gross sample 2017 by type of household

Household Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	3,713	100.0	1,853	100.0	1,860	100.0
Respondents in previous wave	3,321	89.4	1,693	91.4	1,628	87.5
Temporary dropout in previous wave	234	6.3	82	4.4	152	8.2
New households (Split-off hhs)	158	4.3	78	4.2	80	4.3

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 3.4: Household characteristics by sub-samples I

Household Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	3,274	100.0	1,673	100.0	1,601	100.0
HH Size ¹						
1	1,015	31.0	756	45.2	259	16.2
2	309	9.4	176	10.5	133	8.3
3	347	10.6	178	10.6	169	10.6
4	515	15.7	216	12.9	299	18.7
5+	1,088	33.2	347	20.7	741	46.3
State						
Schleswig-Holstein	165	5.0	81	4.8	84	5.2
Hamburg	71	2.2	59	3.5	12	0.7
Lower Saxony	269	8.2	148	8.8	121	7.6
Bremen	29	0.9	26	1.6	3	0.2
North Rhine-Westphalia	599	18.3	275	16.4	324	20.2
Hesse	228	7.0	114	6.8	114	7.1
Rhineland Palatinate	128	3.9	60	3.6	68	4.2
Baden-Wuerttemberg	460	14.1	209	12.5	251	15.7
Bavaria	494	15.1	264	15.8	230	14.4
Saarland	92	2.8	64	3.8	28	1.7
Berlin	190	5.8	112	6.7	78	4.9
Brandenburg	184	5.6	99	5.9	85	5.3
Mecklenburg Western Pomerania	63	1.9	25	1.5	38	2.4
Saxony	144	4.4	36	2.2	108	6.7
Saxony-Anhalt	73	2.2	32	1.9	41	2.6
Thuringia	85	2.6	69	4.1	16	1.0

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

Key characteristics of the households in samples M3/4 are presented in **Table 3.4** and **Table 3.5**. Quite frequently, households consist of only one household member. However, there is also a notable number of households in both samples which consist of five or more household members (33.2 percent). 30.8 percent are positioned in or around larger cities. However, the share is smaller than in samples M1/2 (44.0 percent) and similar to samples A-L (34.6 percent).

Table 3.5: Household characteristics by sub-samples II

Household Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample¹	3,274	100.0	1,673	100.0	1,601	100.0
BIK-Type²						
0	773	23.6	441	26.4	332	20.7
1	235	7.2	47	2.8	188	11.7
2	673	20.6	356	21.3	317	19.8
3	432	13.2	204	12.2	228	14.2
4	74	2.3	15	0.9	59	3.7
5	330	10.1	218	13.0	112	7.0
6	399	12.2	221	13.2	178	11.1
7	253	7.7	120	7.2	133	8.3
8	71	2.2	31	1.9	40	2.5
9	34	1.0	20	1.2	14	0.9
Community size³						
1	73	2.2	43	2.6	30	1.9
2	218	6.7	84	5.0	134	8.4
3	807	24.6	384	23.0	423	26.4
4	747	22.8	366	21.9	381	23.8
5	442	13.5	264	15.8	178	11.1
6	517	15.8	251	15.0	266	16.6
7	470	14.4	281	16.8	189	11.8

¹ Status as reported at the end of wave 2016. So new households and households that re-joined the panel in 2017 but were not part of fieldwork 2016 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 (less than 2,000 inh.).

³ Community size: 1 (fewer than 2000 inhabitants), 2 (2,500 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.).

3.3 Questionnaires and fieldwork material

3.3.1 Questionnaires

One special feature of samples M3/4 is the use of three different versions of individual questionnaires (see **Table 3.6**). For M3/4, a special SOEP individual questionnaire was developed that includes issues specific to refugees. For the first time in M3/4, all other members of the household who are not identified as refugees with the help of a short screener receive the same individual and life history questionnaire as adult respondents from samples M1/2. There are youth and child questionnaires for the same age groups as in the samples A-L3 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 samples M3-4**

	CAPI
Household questionnaire	✓
Individual questionnaire for refugees	✓
Individual questionnaire + life history questionnaire for 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. For adults, two different kinds of questionnaires were used. First-time respondents completed a questionnaire including additional biographical questions. As non-refugees were surveyed for the first time in M3/4 in 2017, all non-refugees received the individual and life history questionnaire.

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. 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.

3.3.2 Fieldwork material

In addition to the questionnaires, a whole range of fieldwork materials such as letters, leaflets, and 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 M3/4. 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. However, many materials are provided in seven different languages (German, English, Arabic, Farsi, Pashtu, Urdu, and Kurmanji).

Advance letter

About two weeks before the start of the fieldwork period, 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 2016. The letter includes links to the SOEP website that provides additional information in the different languages.

Leaflet

Every household in samples M3/4 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 1999 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 samples M3-4

CAPI	
Advance Letter	In 7 languages (German, English, Arabic, Farsi, Pashtu, Urdu, Kurmanji)
Leaflet	In 7 languages
Declaration on data protection	In 7 languages
Consent to record linkage form ¹	In 7 languages
Address form and household grid ²	Electronic form (Mein Kantar)
Project instruction book	Version for M3/4
Further interviewer materials	<ul style="list-style-type: none"> • Project description • Contact card (in 7 languages) • HH information card
Additional interviewer material for M3/4 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 M3/4 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 M3/4, 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 M3/4 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.

Further interviewer materials

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 M3/4 households

Because the language barriers in households of samples M3/4 are often higher than in other samples, 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, 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 M3/4, interviewers might have to deal with employees and security personnel at shared refugee accommodations participating households inhabit. For this purpose, 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.

3.4 Conducting the survey

3.4.1 Survey Mode

All questionnaires used in samples M3/4 were 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 M3/4 in 2017.

3.4.2 Fieldwork timing

The fieldwork progress for each month is depicted in **Table 3.8**. Fieldwork started in September and lasted until the beginning of March. Fieldwork was most productive during the period from November until February and peaked in January while only a few interviews were conducted during the last month of fieldwork.

Table 3.8: **Monthly fieldwork progress M3/4**

Household Level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
September ¹	122	3.3	3	0.1
October	387	10.4	299	12.7
November	734	19.8	550	23.4
December	704	19.0	517	22.0
January	1.072	28.9	645	27.5
February	624	16.8	313	13.3
March	70	1.9	21	0.9

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

3.4.3 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

M3/4 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 2017. 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. In addition recorded audio translations of the questions and answers could be played from within the CAPI-instrument if required.

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 بگیرد؟
 کومه ژبه باید 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 ألمانی / عربی

3. Deutsch / Farsi
 3 ألمانی \ فارسی

4. Deutsch / Paschtu
 4 جرمنی/پښتو

5. Deutsch / Urdu
 5 جرمن / اردو

6. Deutsch / Kurmandschi
 6 Almanî/Kurmancî

Table 3.9: Available language versions

	German / English	German / Arabic	German / Farsi	German / Pashto	German / Urdu	German / Kurmanji
Household questionnaire	✓	✓	✓	✓	✓	✓
Individual questionnaire for refugees	✓	✓	✓	✓	✓	✓
Individual + life history questionnaire for refugees	✓	✓	✓	✓	✓	✓
Youth questionnaires ¹	✓	✓	✓	✓	✓	✓
Mother and child questionnaires/ questionnaire 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 3,445 interviews. With 72.3 percent, the German / Arabic version was used most frequently, followed by the German / English version with 11.7 and German / Farsi with 11.6 percent. The questionnaires in Pashtu, Urdu, and Kurmanji were selected far less frequently.

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

	Total		Individual questionnaire		Individual questionnaire + life history questionnaire	
	Abs.	In %	Abs.	In %	Abs.	In %
German / English	402	11.7	342	12.4	60	8.6
German / Arabic	2,492	72.3	1,957	71.2	535	76.6
German / Farsi	399	11.6	320	11.6	79	11.3
German / Pashto	31	0.9	26	.9	5	.7
German / Urdu	52	1.5	45	1.6	7	1.0
German / Kurmanji	69	2.0	57	2.1	12	1.7
Total	3,445	100.0	2,747	100.0	698	100.0

In addition to the questionnaires and the fieldwork materials that were available in 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 24 non-refugees who received the individual and life history questionnaire from samples M1/2, translated paper versions in Arabic and Farsi were available. Assistance with language problems was needed in only five cases which amounts to 20.8 percent (**Table 3.12**). In 3 cases Arabic versions of the individual & life questionnaire for non-refugees were used and in 2 cases other means of translation were utilized.

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

	English	Russian	Turkish	Romanian	Polish
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	24	100.0
No language problems occurred/no need for assistance with language problems	19	79.2
Assistance with language problems needed	5	20.8
Of that number:		
German-speaking person in the same household	0	0.0
German-speaking person from outside the household	0	0.0
Professional interpreter	0	0.0
Other	2	8.3
Translated paper questionnaire	3	12.5
Of that number:		
Arabisch	3	12.5

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

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

3.4.4 Panel Maintenance

In 2016 and 2017, households did not receive any cash incentives or vouchers. As refugees are recipients of state benefits, cash incentives would be obliged to register and possibly lead to reduction of benefits. Further, qualitative surveys prior to the main field phase showed that presents might be problematic because most refugees live within shared accommodations. Instead, interviewers were advised to bring a small amount of food or local specialties which was then supposed to be eaten together. Interviewers also should give the food gift prior to the interview since qualitative tests showed that postponed incentives might be perceived as bribery.

3.4.5 Movers and Tracing

Looking at the gross sample, 46.4 percent of all households in samples M3/4 were identified as movers or new households and therefore their new addresses needed to be traced (see **Table 3.13**). It is not surprising that this share is much higher than in both samples A-L (10.1 percent) and samples M1/2 (15.2 percent). The tracing of these households was successful in 87.8 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 2017

Household Level	Total	
	Abs.	In %
Gross Sample	3,713	100.0
Movers and New Households	1,719	46.3
Success Tracing		
Tracing successful	1,510	87.8
Tracing not successful	209	12.2
Source		
Interviewer	445	25.9
Postal Service	78	4.5
Local registration offices	888	51.7
Participant	32	1.9
Client	276	16.1

3.4.6 Interviewer Characteristics, Training & Monitoring

Table 3.14 presents key characteristics for the interviewers working in samples M3/4. A total of 45 interviewers were active over both samples of which 64.4 percent were male. In contrast to SOEP-Core samples, the share of interviewers between 21 and 40 years of age with 31.1 percent is comparably high. Thus, the age structure is younger compared to the interviewing staff in the SOEP-Core samples. Per interviewer 66.7 percent processed between 20 and 99 households and 26.7 percent conducted even more than 99 households. Because fieldwork in samples M3/4 is carried out by a special group of interviewers of whom many are able to speak Arabic, the staff is not only notably different in age compared to the interviewers in samples A-L3 but they are also much less experienced interviewers. As demonstrated in **Table 3.15**, 69.8 percent have less than 5 years of experience working for Kantar compared to only 13.1 percent in samples A-L. As a consequence, interviewer staff has also short year experience with SOEP surveys.

Table 3.14: Interviewer characteristics

Interviewer Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	44	100.0	42	100.0	44	100.0
Gender						
Male	28	63.6	26	61.9	28	63.6
Female	16	36.4	16	38.1	16	36.4
Age						
21-39 years	13	69.0	12	28.6	13	69.0
40-59	21	19.0	21	50.0	21	19.0
60-79	10	11.9	9	21.4	10	11.9
Number of Households						
Less than 5 HH (Gross)	1	2.3	0	0.0	4	9.1
5 – 19	1	2.3	7	16.7	8	18.2
20 – 99	30	68.2	34	81.0	30	68.2
More than 99	12	27.3	1	2.4	2	4.5

Table 3.15: Interviewer experience

Interviewer Level	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Number of Interviewers	44	100.0	42	100.0	44	100.0
Experience with Kantar¹						
0-4 years	29	69.0	27	67.5	29	69.0
5-9 years	8	19.0	8	20.0	8	19.0
10-19 years	5	11.9	5	12.5	5	11.9
Experience with SOEP¹						
0-4 years	35	83.3	33	82.5	35	83.3
5-9 years	4	9.5	4	10.0	4	9.5
10-19 years	3	7.1	3	7.5	3	7.1

¹ For two interviewers this information is unavailable.

All interviewers in samples M3/4 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 2017 were:

- Welcome and overview of the survey

- General processing rules and special features of SOEP samples M3/4
- 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

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 2017, we started to expand these existing quality control measures for interviewer monitoring in the SOEP projects. The basic interviewer-monitoring concept was expanded in the SOEP-refugee samples first. The other SOEP samples are to follow in 2018. A number of participating households was contacted by letter asking them to confirm their participation in a regularly conducted interview. In case of inconsistencies 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 M3/4 that was initiated in March 2018. Of 2,265 households in the net sample, 61.9 percent were re-contacted after the end of fieldwork in order to identify non-standard behavior by interviewers. Overall, we received feedback from 571 households. This results in a relatively low response rate of 39.0 percent overall which might be due to a rather long delay between the interview and the re-contact in some cases, as we started the postal re-contacting process in March 2018.

During this initial re-contacting process in Early 2018 that was not yet aided by the analysis of para- and survey data that are developed for the SOEP wave of 2018, we could not identify interviewers who had not adhered to our standards in conducting interviews in the 2017 fieldwork period. Analyses that were carried out by the IAB several months later, however, did find three interviewers with possible irregularities in their para- and survey data which is why their interviews were omitted from the final dataset⁵.

⁵ Kosyakova, Yuliya & Olbrich, Lukas & Sakshaug, Joseph & Schwanhäuser, Silvia, 2019. "Identification of interviewer falsification in the IAB-BAMF-SOEP Survey of Refugees in Germany," FDZ Methodenreport 201902_en, Institut für Arbeitsmarkt- und Berufsforschung (IAB), Nürnberg [Institute for Employment Research, Nuremberg, Germany].

Table 3.16: Interviewer monitoring

	Total		
	Abs.	In %	In %
By households			
Households in net sample	2,365	100.0	
Re-contacted households	1,464	61.9	100.0
Households with feedback	571	24.1	39.0
By interviewers			
Interviewers in net sample	45	100.0	
Interviewers with re-contacted households	44	97.8	
Interviewers with non-standard behavior ¹	3	6.7	

¹ These interviewers were not identified during the re-contacting process but with the help of an analysis of para- and survey data carried out by the IAB.

3.5 Fieldwork results

3.5.1 Participation on household level

Table 3.17 provides a detailed overview on participation figures for three different types of households. In total, 2,348 of 3,713 households in the gross sample were interviewed.

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

	Total		Respondents in previous wave		Drop-outs in previous wave		New households	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	3,713	100.0	3,321	100.0	235	100.0	158	100.0
Interview (1.0)	2,348	63.2	2,149	64.7	126	53.6	73	46.2
Complete (1.1)	1,520	40.9	1,416	42.6	53	22.6	51	32.3
Partial (1.2)	828	22.3	733	22.1	73	31.2	22	13.9
Non-Interview (2.0)	1,365	36.8	1,172	35.3	109	46.2	85	53.8
Temporary drop out	672	18.1	623	18.8	2	0.9	47	29.7
Non-contact (2.20)	202	5.4	190	5.7	0	0.0	12	7.6
Temporary refusal (2.11)	303	8.2	294	8.9	0	0.0	9	5.7
Temporarily physically or mentally unable (2.321)	9	0.2	7	0.2	0	0.0	2	1.3
Household could not be traced (temporary) (3.18; 2.4)	97	2.6	74	2.2	1	0.4	22	13.9
Other temp. (2.52)	61	1.6	58	1.7	1	0.4	2	1.3
Final Drop out	693	18.7	549	16.5	106	45.3	38	24.1
Permanent refusal (2.111)	352	9.5	301	9.1	41	17.5	10	6.3
Permanently physically or mentally unable (2.322)	8	0.2	4	0.1	3	1.3	1	0.6
Language problem (2.331)	18	0.5	15	0.5	3	1.3	0	0.0
Deceased (2.31)	2	0.1	2	0.1	0	0.0	0	0.0
Moved abroad (4.2)	107	2.9	93	2.8	14	6.0	0	0.0
Household dissolved (4.2)	1	0.0	1	0.0	0	0.0	0	0.0
Household untraceable (4.4)	177	4.8	107	3.2	43	18.3	27	17.1
Quality-neutral sampling losses (4.0; 4.1)	3	0.1	1	0.0	2	0.9	0	0.0
Not worked, deleted after start of fieldwork (3.3)	25	0.7	25	0.8	0	0.0	0	0.0

18.1 percent of the gross sample dropped out temporarily, with soft refusals (e.g. currently not willing, no time) as most frequent reasons. Another 18.7 percent of the gross sample dropped out of the survey permanently. Household level refusals are the most frequent reason here. With 64.7 percent the interviewing rate for respondents who participated in the previous wave is slightly higher compared to the total rate (63.2 percent). Among households that temporarily dropped out in 2016, 53.8 percent participated again in 2017. Also 73 new households were successfully interviewed, which amounts to a response rate of 46.2 percent.

Table 3.18: Participation by sample (with AAPOR codes)

	Total		M3		M4	
	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	3,713	100.0	1,853	100.0	1,860	100.0
Interview (1.0)	2,348	63.2	1,089	58.8	1,259	67.7
Complete (1.1)	1,520	40.9	739	39.9	781	42.0
Partial (1.2)	828	22.3	350	18.9	478	25.7
Non-Interview (2.0)	1,365	36.8	764	41.2	601	32.3
Temporary drop out	672	18.1	397	21.4	139	7.5
Non-contact (2.20)	202	5.4	115	6.2	3	.2
Temporary refusal (2.11)	303	8.2	164	8.9	26	1.4
Temporarily physically or mentally unable (2.321)	9	0.2	6	.3	20	1.1
Household could not be traced (temporary) (3.18; 2.4)	97	2.6	71	3.8	139	7.5
Other temp. (2.52)	61	1.6	41	2.2	3	.2
Final Drop out	693	18.7	367	19.8	326	17.5
Permanent refusal (2.111)	352	9.5	181	9.8	171	9.2
Permanently physically or mentally unable (2.322)	8	0.2	5	.3	3	.2
Language problem (2.331)	18	0.5	9	.5	9	.5
Deceased (2.31)	2	0.1	2	.1	0	.0
Moved abroad (4.2)	107	2.9	58	3.1	49	2.6
Household dissolved (4.2)	1	0.0	1	.1	0	.0
Household untraceable (4.4)	177	4.8	94	5.1	83	4.5
Quality-neutral sampling losses (4.0; 4.1) ¹	3	0.1	0	0.0	3	.2
Not worked, deleted after start of fieldwork (3.3)	25	0.7	17	.9	8	.4

¹ Business, government office, other.

Numbers of participation differentiated between samples M3 and M4 are presented in **Table 3.18**. Interviewing rates differ markedly between samples. While 67.1 percent participated in M4 only 58.8 percent did so in sample M3, leading to an overall interviewing rate of 63.2 percent. Similarly, temporary and permanent dropouts are larger for sample M3 than for M4. Soft refusal and household level refusal with respect to temporary and permanent refusals, respectively, were most frequent reasons for non-participation.

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 M3/4 amounts to 68.5 percent. It is slightly higher for households which also responded in last year's survey and also for pre-wave drop-outs with 68.9 and 71.2 percent, respectively, while new households come in with a lower response rate of 55.7 percent. Response rates by sample are provided in **Table 3.20**. With 72.9 percent, M4 has an about 9 percentage points higher response rate than sample M3 with 64.1 percent.

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	68.5	68.9	71.2	55.7

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

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

	Total	M3	M4
Response Rate ¹	68.5	64.1	72.9

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

3.5.2 Participation on individual level

Table 3.21 presents participation numbers by panel status on individual level. Of 7,056 individuals in the gross sample, 50.4 percent were successfully interviewed, 27.4 percent dropped out temporarily, and 22.3 percent left the panel permanently. Participation rate is 60.0 percent among individuals who also participated in the previous wave. Of all temporary pre-wave dropouts, only 30.7 percent were willing to participate in present year. The rate of permanent refusal conversion was comparatively high at 21.9 percent. The rates are distinctly higher for new panel members and youths at 41.3 and 38.5 percent, respectively.

Table 3.21: Participation by Panel Status

	Total		Respondents in previous wave		Temp. dropouts in previous wave		Permanent refusals in previous waves		New panel members ¹		Grown into Panel ²	
	Abs.	In % gross sample	Abs.	In% gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample	Abs.	In % gross sample
Gross Sample ³	7,056	100.0	4,528	100.0	1,403	100.0	233	100.0	414	100.0	478	100.0
Interview (1.0)	3,553	50.4	2,716	60.0	431	30.7	51	21.9	171	41.3	184	38.5
Non-interview (2.0)	3503	49.6	1,812	40.0	972	69.3	182	78.1	243	58.7	294	61.5
Temporary dropout	1,933	27.4	1,100	24.3	356	25.4	0	0.0	12	2.9	250	52.3
Non-contact (2.20)	76	1.1	28	0.6	27	1.9	0	0.0	188	45.4	9	1.9
Temporary refusal (2.112)	1,476	20.9	937	20.7	261	18.6	0	0.0	10	2.4	90	18.8
Temp. physically or mentally unable (2.321)	40	0.6	19	0.4	11	0.8	0	0.0	9	2.2	0	0.0
Language problem (2.331)	27	0.4	2	0.0	16	1.1	0	0.0	0	0.0	0	0.0
Person could not be traced (temporary) (3.18; 2.4)	143	2.0	101	2.2	37	2.6	0	0.0	8	1.9	5	1.0
Other temp. (2.52)	171	2.4	13	0.3	4	0.3	0	0.0	16	3.9	146	30.5
Final Dropout	1,570	22.3	712	15.7	616	43.9	182	78.1	9	2.2	44	9.2
Permanent refusal (2.111)	1,102	15.6	397	8.8	488	34.8	181	77.7	6	1.4	27	5.6
Perm. physically or mentally unable (2.322)	14	0.2	3	0.1	4	0.3	0	0.0	0	0.0	1	0.2
Deceased (2.31)	10	0.1	6	0.1	4	0.3	0	0.0	0	0.0	0	.0
Moved abroad (4.2)	196	2.8	131	2.9	55	3.9	0	0.0	0	0.0	10	2.1
Person untraceable (4.4)	209	3.0	141	3.1	62	4.4	0	0.0	1	0.2	6	1.3
Not worked, deleted after start of fieldwork (3.3)	209	3.0	34	0.8	3	0.2	1	0.4	1	0.2	0	0.0

¹ New household members who have never been part of the panel.

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 presented in the prior table, response rates are calculated excluding deceased individuals, individuals who have moved abroad, or cases unable to participate.

Table 3.22: **Response rate¹ (in percent)**

	Total	Respondents in previous wave	Temp. drop-outs in previous wave	Permanent refusals in previous waves	New Panel Members ²	Grown into Panel ³
Response Rate	53.5	63.9	33.6	21.9	41.3	39.8

¹ RR = percentage of all participants in the gross sample of individuals born before 2001 (gross sample adjusted for persons who are deceased, moved abroad or are untraceable).

² New household members who have never been part of the panel.

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).

One major concern for all SOEP samples is growing partial unit non-response (PUNR) rates which are exceptionally high for the refugee samples at a total of 51.3 percent in the current 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 makes it difficult for interviewers to complete interviews with multiple adult household members.

Table 3.23: **Partial unit non-response¹ (in percent)**

	Total	M3	M4
PUNR ¹	51.3	52.9	50.2

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

3.5.3 Participation by types of questionnaires

As presented in **Table 3.24**, all in all 2,348 household questionnaires and 3,445 individual questionnaires were completed. Three different versions of individual questionnaires are to be distinguished. The individual questionnaire for refugees was used most frequently over all two samples. Furthermore, information from interviews with 345 youths in three age groups between 11 and 17 years and with parents of 1,475 children is available.

Table 3.24: Number of interviews by sample and questionnaire

	Total	M3	M4
Household questionnaire	2,348	1,089	1,259
Individual questionnaire for refugees	2,725	1,264	1,461
Individual questionnaire + life history questionnaire for refugees	696	266	430
Individual questionnaire + life history questionnaire for non-refugees	24	12	12
Youth questionnaire: age 16 or 17 ¹	108	30	78
Youth questionnaire: age 13 or 14 ¹	109	24	85
Youth questionnaire: age 11 or 12 ¹	128	36	92
Mother and child questionnaire: age 9 or 10	266	68	198
Questionnaire for parents: age 7 or 8 ²	231	73	158
Mother and child questionnaire: age 5 or 6	269	87	182
Mother and child questionnaire: age 2 or 3	229	73	156
Mother and child questionnaire: newborn	480	208	272

¹ Including cognitive competency test.

² In M3/4, the questionnaire for parents is only answered by one parent and not both as in the other samples.

Other than response rates on the individual level 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 75.0 percent was obtained. Response rates for the youth questionnaires were 55.7 percent on average. All mother and child questionnaires generated a comparably high average response rate of 94.7 percent.

Table 3.25: Response Rates by questionnaire

	Gross sample ¹	Number of interviews	Response Rate
Individual questionnaire ²	4,567	3,427	75.0
Youth questionnaire: age 16 or 17 ³	179	108	60.3
Youth questionnaire: age 13 or 14 ³	205	109	53.2
Youth questionnaire: age 11 or 12 ³	235	128	54.5
Mother and child questionnaire: age 9 or 10	294	266	90.5
Questionnaire for parents: age 7 or 8	243	231	95.1
Mother and child questionnaire: age 5 or 6	275	269	97.8
Mother and child questionnaire: age 2 or 3	237	229	96.6
Mother and child questionnaire: newborn	509	480	94.3

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 18 additional individual questionnaires conducted in households that are coded as non-participating households as there is no household questionnaire.

³ Including cognitive competency test.

3.5.4 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 52 minutes for the individual questionnaire. This meant that interviews were significantly longer than interviews in other SOEP samples (e.g., 35 minutes in A-L), adding further to issues with response rates and PUNR.

Table 3.26: Median interview length (minutes)

	Median	Percentiles (5%, 95%)
Household questionnaire	15	(7, 33)
Individual questionnaire for refugees	52	(22, 105)
Individual questionnaire + life history questionnaire for refugees	60	(29, 120)
Individual questionnaire + life history questionnaire for non-refugees	52	(30, 100)
Youth and child questionnaires	Not recorded	

3.5.5 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. Based on this, all first-time refugee respondents in 2017 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**, 519 of 720 individuals (72.1 percent) gave their consent.

Table 3.27: **Consent to Record Linkage**

	Total	M3	M4
Gross Sample ¹	720	278	442
Consent	519	219	300
Consent Rate (in %)	72.1	78.8	67.9

¹ The gross sample for record linkage in 2017 consisted of first-time respondents and participants from previous waves who either once refused or did not understand the issue.

3.5.6 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.⁶ 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 2017, 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).

⁶ For more information on the MORE-Study, see: Britzke & Schupp (eds.) (2018), SOEP Wave Report 8, DIW Berlin.

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 drop out	87	25.4	48	27.6	39	23.2
Final Drop out	44	12.9	24	13.8	20	11.9

3.6 Data preparation

Data preparation processes in samples M3/4 are in line with the processes described for samples A-L in **Section 1.7** of this report.

3.7 Delivered data

Gross Data

Codebook Panel data
 Gross data Household
 Gross data Individuals
 SOEP Individuals Sample M3+M4
 Interviewer data

Codebuch 2017.pdf
 Hbru_2017.sav
 Pbru_2017.sav
 P_2017.sav
 Intband_2017.sav

Net Data

Net data Household checked
 Net data Household unchecked
 Net data Individuals Refugees checked
 Net data Individuals Refugees unchecked
 Net data Individuals Refugees Audio Clicks
 Net data Individuals + Life history Refugees checked
 Net data Individuals + Life history Refugees unchecked
 Net data Individuals + Life history Non-refugees checked
 Net data Individuals + Life history Non-refugees unchecked
 Net data Youth (age 16 or 17) corrected
 Net data Youth (age 13 or 14) corrected
 Net data Youth (age 11 or 12) corrected
 Net data child Matrix
 Net data Mother and child E (age 9 or 10)

H17_M3M4.sav
 H17_M3M4_u.sav
 P17_M3M4.sav
 P17_M3M4_u.sav
 P17_M3M4_AUDIO.sav
 PB17_M3M4_kor_15.06.18.sav
 PB17_M3M4_u_kor_11.06.18.sav
 PBM17_M3M4.sav
 PBM17_M3M4_u.sav
 J17_M3M4_kor_02.07.18.sav
 FJ17_M3M4_kor_02.07.18.sav
 S17_M3M4_kor_21.06.18.sav
 MKH17_M3M4.sav
 ME17_M3M4.sav

KANTAR PUBLIC

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)
Consent to record linkage
Net data Cognitive competency test

MD17_M3M4.sav
MC17_M3M4.sav
MB17_M3M4.sav
MA17_M3M4.sav
EV17_M3M4_DIW.sav
KOMP17_M3M4.sav

Other Data

Refugee route Complete File
Refugee route Single Files
Professions, sectors, final coding

P17_M3M4_FLUCHT.sav
Fluchtroute_Einzelfiles.sav
Berufe_Branchen_Ausb_
2017_M3M4.sav
Struktur_2017.xlsx
NATION.xlsx

Variable list
Additional Codes for Individual Refugee, Individual + Life history
Refugee, and Youth data

4 Sample M5

4.1 Introduction

Table 4.1 gives an overview of the main characteristics of the first wave of the refugee boost sample M5 of 2017. While a total of 5,390 addresses were provided from the “Ausländerzentralregister” (AZR), the gross sample consisted of 2,984 households, 1,519 of whom participated in the survey between June and October. This results in an adjusted response rate of 68.8 percent. As is usually the case for boost and refreshment samples in the SOEP, only questionnaires were fielded in CAPI mode. No other modes were used in M5. Partial unit non-response (PUNR) was at 47.7 percent.

Table 4.1: **Summary fieldwork**

Fieldwork period	June - October
Mode (main questionnaires)	CAPI
Gross sample (hh)	2,984
Net sample (hh)	1,519
Response rate (adjusted; hh) ¹	Overall: 68.8
Number of questionnaires	Adults: 2 Youths: 0 Children: 0
Net sample (individuals)	Adults: 2,252 Youths: 0 Children: 0
Questionnaire length (median, in minutes)	Household: 16 Adult ² : 65
Partial unit non-response (PUNR)	47.7

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

4.2 Background Sample M5

M5 is the acronym for the third top-up sample for households that represents refugees. The population of M5 covers adult refugees who applied for asylum in Germany from January 1, 2013 and are currently still living in Germany. The first wave of M5 was conducted in 2017.

As with the previous refugee samples M3 and M4, the Central Register of Foreign Nationals (Ausländerzentralregister – AZR) was utilized as sampling frame. The sample consists of two tranches. The first one is a household boost that represents adult refugees who entered Germany from January 1, 2013 until January 31, 2016 in order to compensate undercoverage that occurred during the sampling of M3 and M4 due to registration lags in the AZR. The second tranche represents adult refugees who entered Germany from February 1, 2016 until December 31, 2016.

4.3 Structure of the Gross Sample

The gross sample of sample M5 consisted of 2,984 households. As mentioned earlier 2,406 additional addresses were drawn from the AZR but not used for fieldwork. As presented in **Table 4.2**, most of these households are in the states of North Rhine-Westphalia (30.7 percent), Lower Saxony (12.5 percent) and Hesse (11.6 percent). Very few households were in the large city-states Berlin, Hamburg, or Bremen. As is the case with the sister samples of M5, M3 and M4, few 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	2,984	100.0
State		
Schleswig-Holstein	110	3.8
Hamburg	71	2.4
Lower Saxony	365	12.5
Bremen	0	0.0
North Rhine-Westphalia	895	30.7
Hesse	338	11.6
Rhineland Palatinate	204	7.0
Baden-Wuerttemberg	318	10.9
Bavaria	287	9.8
Saarland	0	.0
Berlin	89	3.1
Brandenburg	44	1.5
Mecklenburg Western Pomerania	43	1.5
Saxony	68	2.3
Saxony-Anhalt	18	.6
Thuringia	65	2.2

Table 4.3: Household characteristics II

Household Level	Total	
	Abs.	In %
Gross Sample³	2,915	100.0
BIK-Type¹		
0	756	25.9
1	288	9.9
2	604	20.7
3	393	13.5
4	72	2.5
5	174	6.0
6	329	11.3
7	218	7.5
8	59	2.0
9	22	0.8
Community size²		
1	61	2.1
2	187	6.4
3	644	22.1
4	662	22.7
5	286	9.8
6	618	21.2
7	457	15.7

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.)

³ For 69 households that moved abroad this information is unavailable

4.4 Questionnaires and fieldwork material

4.4.1 Questionnaires

In the first wave of M5 two questionnaires were fielded: the individual questionnaire for first time respondents (including additional biographical questions) for all adult household members and the household questionnaire for the anchor respondent. Like for the other refugee samples M3/4, a special SOEP individual and life-history questionnaire was developed that includes issues specific to refugees. As is the usual approach for boost samples, no youth or child questionnaires were fielded in sample M5. Both questionnaires were solely available in CAPI mode and provided in six different language versions (see **Section 4.5.3**).

Table 4.4: **Questionnaires and modes sample M5**

	CAPI
Household questionnaire	✓
Individual questionnaire + life history questionnaire module	✓

In addition to the questionnaires for respondents, interviewers were asked to complete a short questionnaire about the area the household is located in, the so-called “residential environment questionnaire”.

4.4.2 Fieldwork material

In addition to the questionnaires, a whole range of fieldwork materials such as letters, leaflets, and documents for the interviewers are designed, printed, and sent to households and interviewers. Table 4.5 provides an overview of the different material types that are prepared in sample M5. 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. However, many materials are provided in seven different languages (German, English, Arabic, Farsi, Pashtu, Urdu, and Kurmanji).

Advance letter

About two weeks before the start of the fieldwork period, 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 based on the likelihood of the individual speaking a certain language. The letter includes links to the SOEP website that provides additional information in the different languages.

Brochure

Every household in samples receives a four-page brochure with general information on the survey. The brochure 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 respondents born in 1999 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).

Table 4.5: Fieldwork material sample M5

CAPI	
Advance letter	<ul style="list-style-type: none"> • In 7 languages (German, English, Arabic, Farsi, Pashtu, Urdu, Kurmanji)
Brochure	<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 M5
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card (in 7 languages) • HH information card
Additional interviewer material for M5 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 M5 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, in the case of sample M5 the form contains the anchor respondent only, due to the household composition being unknown. 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 sample M5, 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.

Project instruction book

In addition to a shorter project description, interviewers in samples M5 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.

Further interviewer materials

Moreover, the interviewers receive contact cards for households that could not be reached at home and household information cards with information on anchor-respondents, their names, years of birth, types of questionnaires, and notes.

Additional interviewer material to use in M5 households

Because the language barriers in households of refugee samples are often higher than in other samples, 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, 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 sample M5, interviewers might have to deal with employees and security personnel at shared refugee accommodations participating households inhabit. For this purpose, 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.

4.5 Conducting the survey

4.5.1 Survey mode

All questionnaires used in samples M5 are solely available in CAPI mode.

4.5.2 Fieldwork timings

Face-to-face interviewing for M5 started in mid-June 2017 and ended at the first weekend of October 2017. The fieldwork progress for each month is depicted in **Table 4.6**. Fieldwork was most productive in July and August. In these two months 80 percent of the net sample were interviewed.

Table 4.6: **Monthly fieldwork progress M5**

Household Level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
June ¹	116	3.9	58	3.8
July	1,135	38.0	690	45.4
August	1,069	35.8	526	34.6
September	585	19.6	240	15.8
October	79	2.6	5	0.3

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

4.5.3 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 M5 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 2017. Questions in German and a second language were shown on the screen side by side as shown in **Figure 4.1**. The language was selected at the beginning of the interview. In addition, recorded audio translations of the questions and answers could be played from within the CAPI-instrument if required.

Figure 4.1: 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 بگیرد؟
 كومه زي به بايد د مرکی لپاره وکارول شی؟
 انٹرویو کے لئے کون سی زبان کا امتزاج استعمال کیا جانا چاہئے؟

Kiĵan 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/Kurmancî

Table 4.7: Available language versions

	German / English	German / Arabic	German / Farsi	German / Pashto	German / Urdu	German / Kurmanji
Household questionnaire	✓	✓	✓	✓	✓	✓
Individual + life history questionnaire	✓	✓	✓	✓	✓	✓

Table 4.8 presents the utilization of each language version for the individual questionnaires. A translated individual questionnaire was used for 2,252 interviews. With 66.8 percent, the German / Arabic version was used most frequently, followed by the German / Farsi version with 17.4 percent and the German / English version at 10.1. The questionnaires in Pashtu, Urdu, and Kurmanji were selected far less frequently.

Table 4.8: Utilization of a certain language version – individual questionnaire

Total		
	Abs.	In %
German / English	228	10.1
German / Arabic	1,505	66.8
German / Farsi	392	17.4
German / Pashto	17	0.8
German / Urdu	46	2.0
German / Kurmanji	64	2.8
Total	2,252	100.0

In addition to the questionnaires and the fieldwork materials that were available in 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.

4.5.4 Panel Maintenance

In sample M5, like the other refugee samples, households did not receive any cash incentives or vouchers. As refugees are recipients of state benefits, cash incentives would be obliged to register and possibly lead to reduction of benefits. Further, qualitative surveys prior to the main field phase showed that presents might be problematic because most refugees live within shared accommodations. Instead, interviewers were advised to bring a small amount of food or local specialties which was then supposed to be eaten together. Interviewers also should give the food gift prior to the interview since qualitative tests showed that postponed incentives might be perceived as bribery. In addition to the small gift chosen by the interviewers themselves and in a similar vein to household gifts that household of the SOEP-core samples receive, each household of sample M5 was presented with a branded power-bank prior to the interviews

4.5.5 Movers and Tracing

Of the 2,984 households in the administered gross sample of sample M5, 31.4 percent of households were identified as movers and therefore their new addresses needed to be traced (see **Table 4.9**). It is not surprising that this share is significantly higher than in samples M1/2 (15.2 percent). What is surprising is that the share of households that needed tracing was much lower than in samples M3/4 in 2017 (46.3 percent). However, the tracing of these households was successful in only 33.1 percent of all cases in M5 whereas the success-rate of tracing was a lot higher in sister-samples M3/4 at 87.8 percent. Most new addresses were gained by the interviewers themselves as opposed to inquiry at the local registration offices, which is a complex but important process in panel maintenance and was the most successful method of tracing in M3/4.

Table 4.9: Movers and sources of new addresses of administered sample 2017

Household Level	Total	
	Abs.	In %
Gross Sample	2,984	100.0
Movers and New Households	937	31,4
Success Tracing		
Tracing successful	310	33.1
Tracing not successful	627	66.9
Source		
Interviewer	293	94.5
Postal Service	11	3.5
EMA ¹	5	1.6
Participant	1	0.3

4.5.6 Interviewer Characteristics, Training & Monitoring

Because fieldwork in samples M3-5 is carried out by a special group of interviewers, of whom many can speak Arabic, the staff is not only notably different in age compared to the interviewers in samples A-L3. They are also much less experienced as interviewers, as shown in **Table 4.10**. 66.7 percent have less than 5 years of experience working for Kantar compared to only 16.9 percent in samples A-L3.

Table 4.10: Interviewer characteristics

Interviewer Level	Total	
	Abs.	In %
Number of Interviewers	30	100.0
Gender		
Male	15	50.0
Female	15	50.0
Age		
21-39	6	20.0
40-59	18	60.0
60-79	6	20.0
Experience with Kantar		
0-4 years experience with Kantar	20	66.7
5-9 years	6	20.0
10-19 years	4	13.3
Experience with SOEP		
0-4 years	26	86.7
5-9 years	2	6.7
10-19 years	2	6.7
Number of Households¹		
20 – 99	18	60.0
More than 100	12	40.0

¹ 7 Interviewers that were part of the original staff for this sample did not in fact attend to any households

All interviewers in samples M5 were part of the special interviewer staff established for the first wave of samples M3/4. Because the interviewers were experienced and knowledgeable with the design and requirements of the SOEP refugee samples, no training event was held for M5 specifically.

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 2017, we started to expand these existing quality control measures for interviewer monitoring in the SOEP projects. The basic interviewer-monitoring concept was expanded in the SOEP-refugee samples first. The other SOEP samples followed in 2018. A number of participating households was contacted by letter 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 4.11 shows details for the re-contacting process in sample M5 that was initiated in March 2018. Of 1,519 households in the net sample, all were re-contacted after the end of fieldwork in order to identify non-standard behavior by interviewers. Overall, we received feedback from 348 households. This results in a relatively low response rate of 22.9 percent overall which might be due to a six-month delay between the interview and the re-contact, as we started the postal re-contacting process in March 2018.

Table 4.11: **Interviewer monitoring**

	Total		
	Abs.	In %	In %
By households			
Households in net sample	1,519	100.0	
Re-contacted households	1,519	100.0	100.0
Households with feedback	348	22.9	22.9
By interviewers			
Interviewers in net sample	30	100.0	
Interviewers with re-contacted households	30	100.0	
Interviewers with non-standard behavior	0	0.0	

4.6 Fieldwork results

4.6.1 Participation on household level

Table 4.12 provides a detailed overview on participation in sample M5. In total, 1,519 of 2,984 households in the administered gross sample were interviewed.

Table 4.12: **Participation on household level**

	Total	
	Abs.	In %
Gross Sample	2.984	100.0
Interview (1.0)	1.519	50.9
Complete (1.1)	1.085	36.4
Partial (1.2)	434	14.5
Non-Interview (2.0)	1,465	49.1
Temporary drop out	321	10.8
Non-contact (2.20)	201	6.7
Temporarily physically or mentally unable (2.321)	18	0.6
Language problem (2.331)	102	3.4
Final Drop out	1.144	38.3
Permanent refusal (2.111)	318	10.7
Permanently physically or mentally unable (2.322)	10	0.3
Deceased (2.31)	1	0.0
Moved abroad (4.2)	69	2.3
Household untraceable (4.4)	607	20.3
Quality-neutral sampling losses (4.0; 4.1) ¹	98	3.3
Not attempted or worked (3.11)	41	1.4

49.1 percent of the gross sample dropped out of the survey in total, 10.8 percent of households dropped out temporarily. However, for the first wave of a boost sample this means that households that temporarily dropped out will not be eligible for fieldwork in the second wave. Another 38.3 percent of the gross sample dropped out of the survey permanently. Households being untraceable is the most frequent reason here.

Table 4.13 presents the overall response rate for sample M5. The overall response rate of all households in samples M5 amounts to 68.8 percent. Compared to the first wave response rates of the two sister samples M3 (61.8 percent) and M4 (62.2 percent)⁷ this is a remarkably high response rate.

Table 4.13: **Response Rate at household level**

	Total
Response Rate ¹	68.8

¹ RR= percentage of all households with at least one hh and individual interview and households in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

⁷ See SOEP Wave Report 2016.

4.6.2 Participation on individual level

Table 4.14 presents participation on an individual level. Of 2,847 individuals in the gross sample, 79.1 percent were successfully interviewed, while 20.9 percent either dropped out temporarily (16.5 percent) or permanently (4.4 percent). This is a good result overall, especially with regards to the second wave and the potential conversion of soft refusals and their future inclusion in the panel.

Table 4.14: **Participation on individual level**

	Total	
	Abs.	In %
Gross Sample ¹	2,847	100.0
Interview (1.0)	2,252	79.1
Non-Interview (2.0)	595	20.9
Temporary drop out	471	16.5
Non-contact (2.20)	68	2.4
Temporary refusal (2.112)	353	12.4
Temporarily physically or mentally unable/incompetent (2.321)	25	0.9
Other temp. (2.52)	25	0.9
Final Drop out	124	4.4
Permanent Refusal (2.111)	65	2.3
Permanently physically or mentally unable/incompetent (2.322)	12	0.4
Language problem (2.331)	47	1.7

¹ All household members intended to participate in the current wave, not restricted to members of participating households.

The response rate on the individual level is provided in **Table 4.15**. 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 untraceable from the gross sample. However, this only makes a difference of 0.1 percentage points.

Table 4.15: **Response rate**

	Total
Response Rate	79.2

¹ RR= percentage of all participants in the gross sample of individuals born before 2001 (gross sample adjusted for persons who are deceased, moved abroad or are untraceable).

One major concern for all SOEP samples are the growing partial unit non-response (PUNR) rates, which are exceptionally high for the refugee samples. PUNR in sample M5 was at 47.7 percent in this year's first wave (**Table 4.16**) which is slightly lower than the PUNR in the sister samples M3/4 (51.2 percent).

Table 4.16: **Partial unit non response**

	Total
PUNR ¹	47.7

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 and response rates for each of the two fielded questionnaires. Corresponding with the number of households in the net sample, 1,519 household questionnaires were produced, resulting in an adjusted response rate of 50.9 percent. The adjusted response rate for the individual and life history questionnaire is 79.2 percent.

Table 4.17: **Number of interviews and response rate by questionnaire**

	Gross sample ¹	Number of interviews	Response rate
Household questionnaire	2,984	1,519	50.9
Individual questionnaire + life history questionnaire module	2,843	2,252	79.2

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

4.6.4 Interview length per questionnaire

Median interview lengths for each questionnaire are listed in **Table 4.18**. Completing the individual questionnaire and life-history questionnaire took 65 minutes on average. If the household questionnaire was completed as well, the interviewing time adds up to a total of 81 minutes. The interview length might be another contributing factor to high PUNR in this sample specifically but more broadly speaking for the SOEP in general.

Table 4.18: **Median interview length (minutes)**

	Total
Household questionnaire	16 (6, 38)
Individual questionnaire + life history questionnaire module	65 (29, 144)

4.6.5 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. Based on this, all respondents in sample M5 were asked to give their written consent to this record linkage. As presented in **Table 4.19**, 1,766 of 2,252 individuals (78.4 percent) gave their consent.

Table 4.19: **Consent to Record Linkage**

	Total
Gross Sample ¹	2,252
Consent	1,766
Consent Rate (in %)	78.4

¹ The gross sample for record linkage in 2017 consisted of first-time respondents

4.6.6 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.⁸ SOEP participants who were

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

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 sample M5 2017, 448 individuals in the gross sample were selected as potential participants in the MORE-project. 51.1 percent actually participated in the survey, 61.1 percent of whom indicated their interest in participating in the tandem project. (**Table 4.20**).

Table 4.20: **Participation of Subgroup Module "More"**

	Total		Treatment Group		Control Group		Not interested	
	Abs.	In %	Abs.	In %	Abs.	In %	Abs.	In %
Gross Sample	448	100.0	229	100.0	229	100.0	229	100.0
Interview	229	51.1	60	26.2	80	34.9	60	26.2
Non-Interview	219	48.9	-	-	-	-	-	-

4.7 Data preparation

Data preparation processes in sample M5 are in line with the processes that are described for samples A-L in **Section 1.7** of this report.

4.8 Delivered data

Gross Data

Codebook Panel data
Gross data Household
Gross data Individuals
SOEP Individuals Sample M5
Interviewer data
Residential environment data

Codebuch 2017.pdf
Hbru_M5_2017.sav
Pbru_M5_2017.sav
P_M5_2017.sav
Intband_M_2017.sav
Wuma_M5_2017.sav

Net Data

Net data Household checked
Net data Household unchecked
Net data Individuals + Life history Refugees checked
Net data Individuals + Life history Refugees unchecked
Information on 7 and more children
Consent to record linkage

H17_M5.sav
H17_M5_u.sav
PB17_M5.sav
PB17_M5_u.sav
7bis10Kind_2017_M5.sav
EV17_M5_DIW.sav

Other Data

Professions, sectors, final coding

Variable list
Additional Codes for Individual + Life history Refugee

Berufe_Branchen_Ausb_
2017_M5.sav
Struktur_2017.xlsx
Nationen.xlsx

5 Sample N

5.1 Introduction

Table 5.1 gives an overview of the main characteristics of the first wave of refreshment sample N in 2017. The gross sample consisted of 2,807 households of former PIAAC-L participants. 2,314 of those households were interviewed between April and August 2017 resulting in an adjusted response rate of 83.0 percent on the household level. In all households, 3,720 adults gave interviews. Four different questionnaires were fielded – all in CAPI mode, as is common in new SOEP samples. PUNR was relatively high at 39.3 percent.

Table 5.1: **Summary fieldwork**

Fieldwork period	April - August
Mode (main questionnaires)	CAPI
Gross sample (hh)	2,807
Net sample (hh)	2,314
Response rate (adjusted; hh) ¹	Overall: 83.0
Number of questionnaires	Adults: 3 Youths: 1 Children: 0
Net sample (individuals)	Adults: 3,720 Youths: 50 Children: 0
Questionnaire length (median, in minutes)	Household: 14 Adult ² : 50
Partial unit non-response (PUNR)	39.3

¹ RR = percentage of all households with at least one hh and individual interview in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

5.2 Background Sample N

The Programme for the International Assessment of Adult Competencies (PIAAC) surveyed the basic competencies needed to successfully participate in society and professional life. The first survey in this endeavor was implemented in Germany in 2011/2012. This cooperation between GESIS the National Educational Panel Study (NEPS), and the SOEP at DIW Berlin was named PIAAC-L. The goal was to transform PIAAC into a longitudinal study (PIAAC-L) via three waves. PIAAC-L was one of the first long-term studies internationally examining competencies and their significance in the personal vita of individuals using data from three completed survey waves in 2014, 2015, and 2016. First steps were taken towards an integration of the former PIAAC-L sample into the SOEP in 2016 when anchor respondents were asked permission for Kantar Public to contact them in the context of the SOEP in 2017. 2,811 anchor respondents of PIAAC-L (roughly 95 percent did give their permission and thus showed their interest in participating in the SOEP).

The integration of PIAAC-L into the SOEP follows the successful integration of the former “Families in Germany” (FiD) sample L1 in 2014 which saw an already established sample being added to the SOEP providing the advantage of higher cooperation rates compared to completely new households sampled in an address-random design. Also, Kantar, having been responsible for fieldwork for PIAAC-L, was able to send the same into the households of sample N in many cases, which further benefitted the smooth transition of PIAAC-L into the SOEP sample system.

5.3 Structure of the Gross Sample

The gross sample of sample N consisted of 2,807 households. As presented in **Table 5.2**, most of these households are located in the states of North Rhine-Westphalia (20.0 percent), Bavaria (16.5 percent) and Lower Saxony (11.7 percent). The majority of households were located in communities with 100,000 inhabitants or more or their peripheries (see **Table 5.3**).

Table 5.2: Household characteristics I

Household Level	Total	
	Abs.	In %
Gross Sample	2,807	100.0
State¹		
Schleswig-Holstein	107	3.8
Hamburg	56	2.0
Lower Saxony	328	11.7
Bremen	30	1.1
North Rhine-Westphalia	561	20.0
Hesse	185	6.6
Rhineland Palatinate	106	3.8
Baden-Wuerttemberg	306	10.9
Bavaria	463	16.5
Saarland	29	1.0
Berlin	91	3.2
Brandenburg	105	3.7
Mecklenburg Western Pomerania	62	2.2
Saxony	181	6.5
Saxony-Anhalt	92	3.3
Thuringia	99	3.5

Table 5.3: Household characteristics II

Household Level	Total	
	Abs.	In %
Gross Sample	2,807	100.0
BIK type¹		
0	660	23.6
1	299	10.7
2	397	14.2
3	434	15.5
4	46	1.6
5	262	9.4
6	307	11.0
7	262	9.4
8	94	3.4
9	40	1.4
Community size²		
1	162	5.8
2	303	10.8
3	763	27.2
4	513	18.3
5	257	9.2
6	392	14.0
7	411	14.7

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 (less than 2,000 inh.)

² Gemeindegröße: 1 Unter 2000 Einwohner, 2 2.000 bis u. 5.000 Ew., 3 5.000 bis u. 20.000 Ew., 4 20.000 bis u. 50.000 Ew., 5 50.000 bis u. 100.000 Ew., 6 100.000 bis u. 500.000 Ew., 7 500.000 Ew. und mehr

5.4 Questionnaires and fieldwork material

5.4.1 Questionnaires

Four different questionnaires were used to collect data in sample N. 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 the specific youth questionnaires also used in samples A-L. Computer-assisted personal interviewing (CAPI) was applied exclusively for all questionnaires.

Table 5.4: Questionnaires and modes sample N

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

5.4.2 Fieldwork material

Table 5.5 provides an overview of all additional fieldwork material used for the survey in 2017 in sample N. A sample specific leaflet was designed to encourage participation and to outline the scientific purpose of the survey. It was sent along with the advance letter detailing the survey process and announcing that an interviewer would contact the household and that households would receive a cash incentive of 5 euros for a completed household interview and 10 euros for each completed individual interview.

Interviewers were also provided with declarations on data protection and contact cards which could be left if no one was present at the interviewer's first contact attempt.

Table 5.5: **Fieldwork material sample N**

CAPI	
Advance letter	<ul style="list-style-type: none"> • Cash
Leaflet	<ul style="list-style-type: none"> • Sample specific leaflet + PUNR-flyer
Declaration on data protection	Declaration on data protection
Consent to record linkage form ¹	In German language
Showcards	Showcard
Project instruction book	Project instruction book
Other interviewer material	<ul style="list-style-type: none"> • Project description • Contact card • PUNR-flyer

¹ For linkage of SOEP-data with PIAAC-L survey-data

Advance letter

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

Leaflet

Every household in samples N received an eight-page leaflet introducing the SOEP and preparing respondents for the survey process. For sample N this leaflet also contained information on partial unit non-response (PUNR). The leaflet is handed over by the interviewer.

Declaration on data protection

Every household has 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 who participated in the previous PIAAC-L waves, a consent to record linkage form was presented that allows an individual linkage between the respondent's SOEP data and data collected in the context PIAAC-L.

Address form and household grid

The address form provides an overview of the household composition as it was last known to Kantar, in the case of sample N the form contained the anchor respondent only, due to the household composition being unknown. 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 sample N, 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.

5.5 Conducting the survey

5.5.1 Survey mode

All questionnaires in sample N were available solely in CAPI mode.

5.5.2 Fieldwork timings

Fieldwork for sample N began in April 2017 and lasted until August (**Table 5.6**). Most households were processed in within the first two months of fieldwork: 69.7 percent of the gross sample and 74.4 percent of the net sample had been processed by the end of May.

Table 5.6: Monthly fieldwork progress N

Household Level	Gross Sample		Net Sample	
	Abs.	In %	Abs.	In %
April ¹	1,021	36.4	914	39.5
May	935	33.3	808	34.9
June	464	16.5	388	16.8
July	217	7.7	136	5.9
August	170	6.1	68	2.9

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

5.5.3 Translations

To counteract possible language problems and maximize response rates, household and individual questionnaires were available in three additional languages: English, Russian, Turkish. These translated versions were not part of the standard fieldwork materials but could be requested by the interviewers if needed. **Table 5.7** gives an overview of the available language versions.

Table 5.7: Available language versions

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

5.5.4 Panel Maintenance

In addition to the individual incentive mentioned in the announcement letter (5 euros for a completed household questionnaire and 10 euros for each conducted individual interview), interviewers brought a small gift to all households which was presented upon arrival. This year's gift was a branded power bank. Also, as a "welcome to the panel" gift households received a birthday calendar designed by a member of Kantar's SOEP team in Munich. All gifts and cash incentives are presented in **Table 5.8**.

Table 5.8: Incentives sample N

Household gifts	<ul style="list-style-type: none"> - Branded power bank - Birthday calendar
Individual incentive	HH: 5 Individual: 10

5.5.5 Movers and Tracing

Table 5.9 provides figures for the number of households requiring address inquiry. This includes only movers as new households play no role in a refreshment sample such as sample N. For this first survey wave, 257 households (9.5 percent) were subject to address inquiry. 257 of these households were successfully traced, which amounts to a success rate of 96.3 percent. The most important source of information about addresses were the interviewers (41.2 percent) as well as the local registration offices (37.5 percent as well) that provide information about residents' current addresses if there is a scientific interest behind the inquiry. Another source is the postal service that movers sometimes notify of their new address (16.1 percent). Participants themselves let us know about a new address in 4.9 percent of cases.

Table 5.9: Movers and sources of new addresses of administered sample

Household Level	Total	
	Abs.	In %
Gross sample	2,807	100.0
Movers and new households	267	9.5
Success tracing		
Tracing successful	257	96.3
Tracing not successful	10	3.7
Source		
Interviewer	111	41.6
Postal service	43	16.1
Local registration offices	100	37.5
Participant	13	4.9

5.5.6 Interviewer Characteristics, Training & Monitoring

As presented in **Table 5.10**, 296 interviewers were deployed to conduct the interviews for sample N in 2017. Of those 296 only 247 actually interviewed at least one household or more. At 54.7 percent, the number of male interviewers was significantly higher than that of female interviewers. Generally, most interviewers were aged between 60-79 years (69.9 percent) and already had a substantive amount of experience with Kantar and/or the SOEP. Most interviewers processed between 5 and 20 households, while 38 interviewers processed between 21 and 99 households. No one interviewer was responsible for more than 100 households.

Interviewer training for sample N was included in the contact interviewer training for samples A-L in January 2017. 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 2017
- Importance of high response rates for the SOEP surveys
- Roll of the interviewers and results of the interviewer survey 2016
- Technical setup of the survey processing at Kantar-SOEP Munich
- Special features of the 2017 survey year:
 - Importance of low partial unit non-response for the SOEP surveys
 - The DIW-SOEP image brochure

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.

Table 5.10: Interviewer characteristics

Interviewer Level	Total	
	Abs.	In %
Number of Interviewers	296	100.0
Gender		
Male	162	54.7
Female	134	45.3
Age		
21-39	7	2.4
40-59	75	25.3
60-79	207	69.9
80+	7	2.4
Experience with Kantar		
0-4 years experience with Kantar	52	17.6
5-9 years	89	30.1
10-19 years	92	31.1
20-29 years	44	14.9
30-39 years	14	4.7
More than 40 years	5	1.7
Experience with SOEP¹		
0-4 years	87	29.5
5-9 years	115	39.0
10-19 years	72	24.4
20-29 years	11	3.7
30-34 years	10	3.4
Number of Households²		
Less than 5	65	26.3
5 – 20	144	58.3
20 – 100	38	15.4
More than 100	0	0.0

¹ Information on the SOEP-experience was unavailable for one interviewer

² 49 Interviewers that were part of the original staff for this sample did not in fact attend to any households

5.6 Fieldwork results

5.6.1 Participation on household level

Table 5.11 provides participation figures on household level. With 2,314 households, 82.4 percent of all households in the gross sample were interviewed. This is a remarkably high number, which can be explained by the already mentioned factors: Anchor respondents in the gross sample had already signaled their interest in participating in the SOEP and Kantar in many cases could rely on interviewers who had already established a relationship to respondents over the course of PIAAC-L. A total of 493 households, which amounts to 17.6 percent of the gross sample, refused to participate in the survey. For newly added samples, all losses on household level are permanent. These households will not be contacted again in the following wave.

Table 5.11: Participation on household level

	Total	
	Abs.	In %
Gross Sample	2,807	100.0
Interview (1.0)	2,314	82.4
Complete (1.1)	1,640	58.4
Partial (1.2)	674	24.0
Non-Interview (2.0)	493	17.6
Temporary drop out	226	8.1
Non-contact (2.20)	78	2.8
Soft refusal (currently not willing, no time) (2.351)	128	4.6
Temporary physically or mentally unable/incompetent (2.321)	17	0.6
New address after field period (2.4)	3	0.1
Final Drop out	267	9.5
Household level refusal (2.111)	244	8.7
Permanently physically or mentally unable/incompetent (2.322)	4	0.1
Deceased (2.31)	6	0.2
Household moved abroad (4.2)	5	0.2
Household untraceable (4.4)	8	0.3

The response rate in the first wave of sample N was relatively high at 83.0 percent adjusted for households in which the last household member had died, households that moved abroad, untraceable households and quality neutral sampling losses (**Table 5.12**).

Table 5.12: **Response Rate at household level**

	Total
Response Rate	83.0

¹ RR= percentage of all households with at least one hh and individual interview and households in the gross sample (gross sample adjusted for households where the last person is deceased or the household moved abroad, is permanently untraceable or dissolved households where the last member moved into another SOEP household).

5.6.2 Participation on individual level

Table 5.13 presents participation figures on an individual level. The gross sample consists of adult residents of participating households. 81.8 percent of those were successfully interviewed. With 508 cases (11.2 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 5.13: **Participation on individual level**

	Total	
	Abs.	In %
Gross Sample ¹	4,548	100.0
Interview (1.0)	3,720	81.8
Non-Interview (2.0)	828	18.2
Temporary drop out	508	11.2
Non contact (2.20)	48	1.1
Temporary Refusal (2.112)	405	8.9
Sick (temporary) (2.32)	17	0.4
Language problems	38	0.8
Other temp (2.30)	0	0
Final Drop out	320	7.0
Permanent Refusal (2.112)	302	6.6
Sick (permanently) (2.32)	18	0.4

¹ All household members intended to participate in the current wave, not restricted to members of participating households.

The total response rate excluding deceased individuals, individuals who moved abroad or were untraceable amounts to 65.7 percent for sample N (**Table 5.14**). This is significantly lower than the response rate on the household level. Possible explanations for this fact are that PIAAC-L was a sample of individuals, not of households, so the shift to a household context was somewhat problematic. Household members other than the anchor-respondent might not have felt explicitly addressed.

Table 5.14: **Response rate on individual level**

	Total
Response Rate	65.7

¹ RR= percentage of all participants in the gross sample of individuals born before 2001 (gross sample adjusted for persons who are deceased, moved abroad or are untraceable).

With 67.9 percent, partial unit non-response (PUNR) is comparatively high for sample N (**Table 5.15**). This is to be somewhat expected in the first wave of a sample in a (weak) anchor-person design in a former sample of individuals, where the focus is on the anchor while other persons in the household. The PUNR should consolidate in coming waves. 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 5.15: **Partial unit non-response**

	Total
PUNR ¹	39.3

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

5.6.3 Participation by types of questionnaires

Table 5.16 presents the number of interviews and response rates for each questionnaire. Corresponding with the number of households in the net sample, 2,314 household questionnaires were produced, resulting in an adjusted response rate of 83.0 percent. Apart from two individuals, all participating respondents answered both the individual questionnaire and the life-history module. The gross sample for the life-history questionnaire is defined by the number of interviews on the individual level (3,720 interviews which results in a response rate of 81.8). The response rate for the life history questionnaire is 99.9 percent.

Table 5.16: **Response Rates by questionnaire**

	Gross sample	Number of interviews	Response Rate
Individual questionnaire	4,548	3,720 ²	81.8
Life history questionnaire module	3,720	3,718	99.9
Youth questionnaire: age 16 or 17	80	50	62.5

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

5.6.4 Interview length per questionnaire

Median interview lengths for each questionnaire are listed in **Table 5.17**. Completing the individual questionnaire and the life-history questionnaire took 50 minutes on average. If the household questionnaire was completed as well, the interviewing time adds up to a total of 64 minutes. The interview length might be another contributing factor to high PUNR in this sample specifically but more broadly speaking for the SOEP in general.

Table 5.17: **Median interview length (minutes)**

	Median (5% Percentile, 95% Percentile)
Household questionnaire	14 (8, 25)
Individual questionnaire + Life history questionnaire module	50 (30, 90)
Youth questionnaire: age 16 or 17	30 (20, 60)

5.6.5 Consent to Record Linkage

As mentioned earlier, respondents in sample N were asked to give permission to link their data collected in PIAAC/PIAAC-L to the data collected of them in the SOEP. All respondents – including those born in 2000 who answered the youth questionnaire – in sample N 2017 were consequently asked to give their written consent to this record linkage. As presented in **Table 5.18**, 3,689 of 3,770 individuals (97.9 percent) gave their consent.

Table 5.18: **Consent to Record Linkage**

	Total
Gross Sample ¹	3,770
Consent	3,689
Consent Rate (in %)	97.9

¹ The gross sample for record linkage in 2017 consisted of all respondents born 2000 and earlier

5.7 Data preparation

Data preparation processes in sample M5 are in line with the processes that are described for samples A-L in **Section 1.7** of this report.

5.8 Delivered data

Gross Data

Gross data Household
Gross data Individuals
Interviewer data
Residential Environment Data
Codebook

Hbru_N_2017.sav
Pbru_N_2017.sav
Intband_N_2017.sav
Wuma_N_2017.sav
Codebuch 2017.pdf

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 o 17) checked
Net data Youth (age 16 o 17) unchecked
Information on 7 and more children

H17_N.sav
H17_N_u.sav
P17_N.sav
P17_N_u.sav
L17_N.sav
L17_N_u.sav
J17_N.sav
J17_N_u.sav
7Kind_2017_N.sav

Other Data

Professions, sectors, final coding

University coding

Berufe_Branchen_Ausb_
2017_N.sav
Hochschul-Abschl_2017_N.sav