Deliverable Number: 7.2
Deliverable Title: Data privacy and ethics in cross-national web panel data collection
Work Package: 7 - A survey future online

Deliverable type: Report
Dissemination status: Public

Submitted by: ESS ERIC
Authors: Linn-Merethe Rød (NSD), Ana Villar (ESS HQ/City), Bjørn-Ole Johannesen (NSD) and Didrik Finnøy (NSD)

Date Submitted: December, 2016

This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 654221.
SERISS (Synergies for Europe’s Research Infrastructures in the Social Sciences) aims to exploit synergies, foster collaboration and develop shared standards between Europe’s social science infrastructures in order to better equip these infrastructures to play a major role in addressing Europe's grand societal challenges and ensure that European policymaking is built on a solid base of the highest-quality socio-economic evidence.

The four year project (2015-19) is a collaboration between the three leading European Research Infrastructures in the social sciences – the European Social Survey (ESS ERIC), the Survey for Health Aging and Retirement in Europe (SHARE ERIC) and the Consortium of European Social Science Data Archives (CESSDA AS) – and organisations representing the Generations and Gender Programme (GGP), European Values Study (EVS) and the WageIndicator Survey.

The work focuses on three key areas: Addressing key challenges for cross-national data collection, breaking down barriers between social science infrastructures and embracing the future of the social sciences.

Please cite this deliverable as: Rød, Linn-Merethe; Villar, Ana; Finnøy, Didrik; Johannesen, Bjørn-Ole. (2016) Data privacy and ethics in cross-national web panel data collection. Deliverable 7.2 of the SERISS project funded under the European Union’s Horizon 2020 research and innovation programme GA No: 654221.
Contents
1 Introduction ...................................................................................................................... 2
2 CRONOS .......................................................................................................................... 3
3 Legal and ethical framework for the study .................................................................. 3
  3.1 Transfer of personal data across national borders ............................................ 5
  3.2 Legal structure in the new General Data Protection Regulation ..................... 5
  3.3 Ethics Approval ....................................................................................................... 6
4 Legal and ethical issues arising from CRONOS ........................................................ 6
  4.1 Recruitment and informed consent ...................................................................... 7
  4.2 Incentives .................................................................................................................. 10
  4.3 Confidentiality ........................................................................................................ 11
5 Summary ........................................................................................................................ 12
References .......................................................................................................................... 13
Appendix I: CRONOS Data Handling Protocol ............................................................... 15
Appendix II: CRONOS Ethics approval form ................................................................. 36
1 Introduction

This document aims to outline the legal and ethical frameworks relating to the processing of personal data in cross-national web panels. The CROss-National Online Survey (CRONOS) panel will be used as a case study throughout the report, to illustrate specific legal and ethical issues. CRONOS is a pilot attempt to run the first cross-national probability-based web panel in three countries (the UK, Slovenia and Estonia). It is part of the SERISS work package 7: “A survey future online”, and is led by the European Social Survey (ESS). CRONOS panellists will be recruited between September and December 2016 by using the achieved sample for ESS Round 8 face-to-face interview: ESS respondents will be asked to join the CRONOS panel after completing the regular ESS interview. The document was produced with input from other SERISS collaborators who contributed to the discussion of ethical and legal considerations of setting up CRONOS. The authors wish to thank Elena Sommer and Lorna Ryan at ESS ERIC HQ, and Annette Scherpenzeel and Julie Korbmacher at SHARE for their valuable input.

Currently, the processing of personal data in Europe is regulated by national implementations of the Data Protection Directive 95/46/EC (hereafter called the Directive), applicable in all the countries involved in CRONOS. The Directive states that processing of personal data within EU/EEA must be carried out in accordance with the law of the State of the controller (when also established in a Member State) (cf. recitals, Article 18). ESS ERIC, with Headquarters in the UK, is designated as controller of the CRONOS project. On this basis, the Directive and the UK Data Protection Act (UK DPA) constitute the legal framework of this report regarding obligations of the data controller and data processors. Moreover, a brief overview is included of how the legal structure will look like under the new General Data Protection Regulation (GDPR). The GDPR is set to replace the Directive by May 25, 2018.

This report includes several sections and two appendices. In section 2 we provide details about the CRONOS panel. In section 3 we present the legal and ethical framework surrounding cross-national research endeavours in the European Union. In section 4 we explore specific issues relating to consent and confidentiality in CRONOS with reference to ethical guidelines, the current legislation and the new GDPR.

Two appendices complement this report. Appendix I, the CRONOS Data Handling Protocol (DHP), which defines data management activities in CRONOS. The DHP describes the roles and access that each research partner will have at each stage of the project, from recruitment to archiving and dissemination. The DHP constitutes, in addition, the data handling agreement put in place between ESS ERIC and the involved data processors. Appendix II is the ethics proposal for the project, as approved by the ESS ERIC Research Ethics Committee. It includes a detailed description of the project including aims, design and methodology, as well as procedures in relation to information and consent, voluntariness and confidentiality.
2 CRONOS

CRONOS is a pilot study to test the feasibility of capitalising on an existing face-to-face survey—the European Social Survey (ESS)—to recruit respondents to participate in a pilot web panel for one year. The ESS conducts biennial face-to-face fieldwork with probability samples of the residential population aged 15 and over of participant countries (www.europeansocialsurvey.org). Round 8 of the ESS will start in September 2016.

Sample units aged 18 and over that complete the ESS Round 8 face-to-face survey will be invited to participate in the CRONOS panel at the end of the interview. Recruitment for the CRONOS panel will be carried out in three countries (UK, Slovenia, Estonia), from September 2016 until end of ESS Round 8 fieldwork, approximately in December 2016. Respondents willing to participate in the panel will be asked to provide their email address where the invitations to web surveys will be sent. Respondents without internet access will be provided with an internet-enabled tablet to facilitate their participation in the web panel. They will also be provided with training on how to complete the web survey using the device. Respondents will be asked to complete 20-minute web surveys every two months for a period of one year. As a token of appreciation for their time, they will receive a €5 (£5 in the UK) unconditional incentive with every survey invitation. Based on evidence from past research, we estimate 35% of respondents will agree to participate in the panel. If recruitment is higher than expected, a random subsample of respondents will be contacted less often, to keep costs in line with the budget.

Topics covered by the web panel will include life in general, leisure time activities and work, meaning and purpose of life, family life and marriage and contemporary social issues. The data collected online will be combined with data from the ordinary ESS interview, allowing for new analyses that were not previously possible given ESS restrictions for interview time. Anonymised data will be made publicly available to interested data users from the ESS website free of charge at the end of the project.

3 Legal and ethical framework for the study

The legal and ethical framework relates to the country where the data controller is based, and can thus differ across projects. However, we expect that describing how the requirements in one country (the UK) apply in the context of a cross-national web survey project will be useful for projects based in other countries.

One of the legal obligations in the UK DPA is for data controllers to notify the Information Commissioner’s Office (ICO) in advance about their intended processing of personal data. The ICO uses these details to make an entry in a statutory register which is available to the public for inspection. A data controller is defined in the UK DPA as a person who determines the purposes for which and the manner in which any personal data are to be processed (cf. Section 1 (1)).

ESS ERIC is, as the juridical entity of the European Social Survey (ESS), notified to the ICO’s register of data controllers. Under this notification, ESS ERIC is the responsible data controller for personal data processed for the notified research purposes.
The notification to the ICO contains information about the following (cf. Section 16 of the DPA):

a) Name and address of the data controller,
b) Name and address of the representative if the data controller has nominated a representative,
c) Description of the personal data being or to be processed by or on behalf of the data controller and of the category or categories of data subject to which they relate,
d) Description of the purpose or purposes for which the data are being or are to be processed,
e) Description of any recipient or recipients to whom the data controller intends or may wish to disclose the data,
f) Names, or a description of, any countries or territories outside the European Economic Area to which the data controller directly or indirectly transfers, or intends or may wish directly or indirectly to transfer, the data.

As the data controller of the CRONOS project, it is the duty of ESS ERIC to comply with all the data protection principles in relation to the processing of personal data which takes place. By ‘processing of personal data’ is meant obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data, including (a) organisation, adaptation or alteration of the information or data, (b) retrieval, consultation or use of the information or data, (c) disclosure of the information or data by transmission, dissemination or otherwise making available, or (d) alignment, combination, blocking, erasure or destruction of the information or data. When processing of personal data is outsourced to other parties, other than employees of ESS ERIC, these parties are to be defined as data processors, which will be processing personal data on behalf of the data controller (cf. UK DPA Section 1 (1)).

CRONOS involves multiple organisations in a data processor capacity. These include:

- NSD – Norwegian Centre for Research Data, who will be responsible for the overall coordination of the data in the panel system administration, dispatching invitations for each wave, monitoring fieldwork, producing data files, and data archiving,
- The National Coordinators and their subcontractors in each of the countries involved, who will be responsible for recruitment of ESS respondents for CRONOS in their respective countries, communication with panellists when they need assistance, distribution of incentives, collecting and updating contact details, and any postal communications when necessary,
- The web survey service provider, Questback, who have a contractual relationship with NSD and will act as a sub-processor. Web survey data collection and panel administration will be carried out using Questback’s web-based Enterprise Feedback Suite solution.

The UK DPA contains special requirements for the use of data processors to process personal data on behalf of the data controller (cf. the 7th data protection principle). The UK DPA states that the data controller must:
choose a data processor that provides sufficient guarantees in respect of the technical and organisational security measures;

- take reasonable steps to check that those security measures are being put into practice; and

- sign a written contract setting out what the data processor is allowed to do with the personal data. The contract must also require the data processor to take the same security measures you would have to take if you were processing the data yourself (cf. Schedule 1 part II (11 and 12)).

In CRONOS, the model data processing contract published by the European Committee for Standardisation has formed the basis for the processor agreements between ESS ERIC and the different data processors. See appendix I for a copy of the data handling agreement put in place between ESS ERIC and data processors.

As a minimum, the processing of personal data (including the processor agreements) in a cross-national web survey project must be carried out in accordance with the country where the data controller is located (UK DPA in the case of CRONOS—cf. Article 5). In addition, the procedures for carrying out the data collection must be adapted to each country, to also encompass additional national requirements. In section 4 we discuss specific requirements for the countries involved in CRONOS.

3.1 Transfer of personal data across national borders

As the Directive applies to EU/EEA countries, there are no restrictions on the transfer of personal data to other EEA countries. Special precautions need, however, to be taken when personal data is transferred to countries outside the EEA. The Directive states that personal data can only be transferred to countries outside the EU and the EEA when an adequate level of protection is guaranteed (Article XX). The UK DPA has implemented this provision in Schedule I, Part I (8).

In CRONOS, the Directive (and the GDPR, from May 25, 2018) is applicable in all the participating countries.¹ Thus, legally, there are no extra conditions that must be taken regarding the transfer of personal data across national borders in the CRONOS study. However, as in a national study, all parties that will have access to personal data must be included in the information to the participants to enable an informed consent. A crucial element in a cross-national study will thus be whether people are reluctant to consent to sending their personal data abroad. Independent of the legal framework, this could be seen as a threshold for participating.

3.2 Legal structure in the new General Data Protection Regulation

The GDPR is set to replace the Directive effective May 25, 2018. One structural difference from the Directive is that data controllers and processors alike must appoint a data protection officer to comply with the GDPR. This arrangement will be mandatory for most of the research sector as well as for all national statistical agencies. The data protection officer will take the lead role in monitoring compliance with the Regulation, by e.g. informing and advising the controller or processor and their employees of their obligations (cf. Article 37). All controllers must carry out an impact assessment of the envisaged processing operation in relation to the protection of personal data together

¹ The UK situation may change if/when the UK exits the EU. However, this will not happen in the lifetime of the CRONOS project.
with the data protection officer. Hence, the data controllers will have more responsibility under the GDPR. The general notification obligation to the national data protection authority is removed from the Regulation in its entirety. National data protection authorities will keep their supervisory role, with an expanded power to fine institutions and companies (cf. Article 83). Further, a new European Data Protection Board (EDPB) will be established to ensure a consistent application of the Regulation (cf. Article 70).

3.3 Ethics Approval
ESS ERIC has its own Ethics Committee with specific requirements for ethical conduct of their research activities. An application for the CRONOS project was submitted to the Committee, with detailed description of all parts of the project, and approved in August of 2016. The final ethics application, as approved by the Committee, can be found in Appendix II of this report. The application was the result of extensive discussion and research carried out among the different parties involved in the project. The document provides detailed information on how key issues such as voluntariness, informed consent, data protection, data privacy and confidentiality will be handled by CRONOS.

4 Legal and ethical issues arising from CRONOS
As with any social survey, the most relevant legal and ethical issues that arise from the implementation of a cross-national, longitudinal (panel) survey conducted online relate to ensuring the confidentiality of the data collected and that informed, voluntary consent has been obtained. Most of these issues are handled by existing different cross-national survey projects, in particular by many of the survey projects that are involved in the SERISS project. However, there are particular challenges in relation to these topics as a result of the combination of the cross-national, longitudinal and online aspects of the study. The varying strictness and practice of data protection law from country to country is one prominent cross-country issue. Longitudinal surveys pose additional challenges compared to regular surveys, particularly in relation to risk of disclosure and storage of respondents’ contact data. Finally, online, cross-national surveys require new types of security measures such as country-wise access restrictions.

Outside of the three main data protection topics, additional issues were encountered as part of the planning of the CRONOS panel. For example, numerous ethical issues were pondered in relation to the provision of internet access to respondents, such as how this would affect their lives or the potential risks of opening low-experienced individuals to the world-wide web.

Another dimension that played an important part was deciding whether restrictions that applied only to one of the three countries should dictate the design decisions in all countries or localisation was preferable. For instance, parental consent for participation in a survey is not required for individuals 15 or older in Estonia but is necessary in the UK. Therefore, giving out tablets to 15-year olds would entail parental consent in the UK. In addition, the legal age for a person to enter into an agreement with a network company could vary from country to country. To simplify matters, Fit
was decided that all countries would follow the same approach, where only respondents 18 or older could be invited to participate in CRONOS.

4.1 Recruitment and informed consent

Obtaining informed consent is an important ethical principle, ensuring that the data subjects are treated as autonomous individuals with the right to make informed voluntary decisions about participation (Couper and Singer 2013). In addition to being an ethical principle, consent is also a primary legal condition when processing personal data (cf. Schedule 2 (1) of the UK DPA). When processing sensitive personal data\(^2\), the Act in addition specifies that the consent must be “explicit” (cf. Schedule 3 (1)). Although there is no clear definition of “explicit consent” in the DPA, the ICO’s guide to data protection emphasises that there must be some form of “active communication” between the parties. However, an individual may “signify” an agreement other than in writing. The ICO guide also specifies that:

“(...) the individual's consent should be absolutely clear. It should cover the specific processing details; the type of information (or even the specific information); the purposes of the processing; and any special aspects that may affect the individual, such as any disclosures that may be made” (Op.cit.).

The UK DPA lists the following information to be provided to the data subjects for consent to be valid (cf. Schedule 1 Part II paragraph 2 (3)):

\[\text{a) the identity of the data controller,} \]
\[\text{b) if he has nominated a representative, and if so the identity of that representative,} \]
\[\text{c) the purpose for which the data are intended to be processed,} \]
\[\text{d) any further information which is necessary, having regard to the specific circumstances in which the data are or are to be processed, to enable processing in respect of the data subject to be fair} \]

Compared to the Directive, the GDPR strengthens the requirements for consent. Consent is, similarly to the Directive, required to be “freely given, specific, informed, and unambiguous.” However, consent must be expressed “by a statement or by a clear affirmative action” (Article 4(8)). While the Directive left open the possibility of “opt-out” consent, the GDPR consequently removes this possibility by requiring the data subject to make a statement or clear affirmative action. In CRONOS, interviewers will be instructed to explain all relevant details of the project and how respondents’ data would be handled. Then, interviewers will ask respondents if they are interested in participating in the project and ask them to provide contact details to which to send invitations to each CRONOS wave. This two-step process addresses the Directive’s request for a clear affirmative action.

---

\(^2\) By sensitive personal data is meant “personal data consisting of information as to (a) the racial or ethnic origin of the data subject, (b) his political opinions, (c) his religious beliefs or other beliefs of a similar nature, (d) whether he is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992 c. 52. 1992), (e) his physical or mental health or condition, (f) his sexual life, (g) the commission or alleged commission by him of any offence, or (h) any proceedings for any offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceedings” (Article 2 of the UK DPA).
Furthermore, transparency is one of the key words in relation to informed consent. An important part of transparency is that the request for consent must be clearly distinguishable from any other matters, and provided in an intelligible and easily accessible form, using clear and plain language (cf. Article 7.2). The information that must be provided to the data subjects concerns, in particular, the identity of the controller, the purposes of the processing, and further information to ensure fair and transparent processing (cf. recital 42). The GDPR specifically recognises the validity of several commonly used methods of collecting consent, and affirms the principle that any appropriate method can be used enabling a freely given, specific and informed indication of the data subject's wishes (Gabel and Hickman 2016). For example, depending on the circumstances, valid consent could be provided verbally, in writing, by ticking a box on a web page, by choosing technical settings in an app, or by any other statement or conduct which clearly indicates in this context the data subject's acceptance of the proposed processing of their personal data (cf. recital 32).

Whenever the processing is based on consent, the GDPR states that the controller bears the burden of demonstrating that consent has been given (Article 7.1). Although it has always been advisable for controllers to retain evidence of consent, the Directive did not specifically require controllers to do so (Gabel and Hickman 2016). Furthermore, the data subject should have the right to withdraw his or her consent at any time; it should be as easy to withdraw consent as to give it (Article 7.3).

The three issues discussed above—distinguishable request for consent, transparency, and method of consent collection—were considered in CRONOS:

- **Distinguishable consent request.** This requirement had an impact on the decision of when to ask respondents to join the panel. Having the request after the interview is completed will help make it clear that the request for CRONOS is separate from the ESS interview process.

- **Transparency.** Interviewers will be instructed to explain all the key features of the study to respondents, including the purpose of collecting different types of data, how they would be processed, who would have access to them and for what purposes (see CRONOS interviewer manual in Appendix II). However, this can be a large amount of information to convey verbally. For this reason, leaflets have been designed (see Appendix II), and all information is included in the national websites. In addition, respondents will be presented with this information on the landing page of the CRONOS welcome survey.

- **Method of consent collection.** The general decision in CRONOS has been that respondent consent would be obtained by asking directly whether respondents are interested in participating and whether they will supply the necessary contact data to send the invitations. That is, those who want to participate consent by giving their e-mail address for registration. However, in Estonia, requirements from the fieldwork agency—Statistics of Estonia—make this process more complex. Consent will be obtained in three steps. Two will be carried out during the interview—a request to share the survey answers between the fieldwork agency and the national coordinating team and a request to share the contact data with the national coordinating team; and one will be obtained via e-mail and/or a survey page where they are requested to actively confirm they want to participate. This process satisfies all the requirements by the Estonian statistical office, but having a three-step consent process may jeopardise response rates.
Providing contact data, respondent will give consent to receive invites to the CRONOS surveys, to share the data with the project partners, and to publish non-identifiable data for other researchers to analyse. Participants will be informed that they can withdraw consent and/or stop participating at any time, by contacting the free helpline set up by the NC teams in their countries.

The legal age for when a young person can her/himself consent to participate in studies such as CRONOS may vary across countries. To avoid issues around gaining consent from children or other vulnerable groups, CRONOS includes only the general population aged 18 and over. In the new GDPR, legal age for consent is 16 years. However, Member States may by law provide for a lower age (provided that that lower age is not below 13 years). Whether the legal age for participation in studies such as CRONOS will be completely harmonised under the GDPR remains to be seen.

Categories of sensitive data will be collected in CRONOS which contains questions on political opinions, health and religious beliefs. Participants will be informed that the project aims to study the opinion of people living in Europe on various topics, how they feel in their day-to-day life, and what things are important to them, similar to the questions they will have answered during the ESS interview. This is considered sufficient to inform them that they may be asked to provide sensitive information. Furthermore, respondents are informed that the web survey data will be linked to the regular ESS interview data. The requirements on how much and how detailed the information about example sensitive questions has to be may vary from country to country. The same is the case for sending personal data abroad. Even though no “third countries” (outside EU/EEA) are involved in CRONOS, a specific consent for transfer of personal data abroad could be required in some countries, in addition to the listing of involved parties and their role regarding data processing (e.g. NSD’s role as administrator of sending e-mail invitations). All national requirements must be included in the consent request, and at the same time, the information provided must be easily understandable and the consent procedure must be as straightforward as possible.

CRONOS will also collect some paradata on respondents, that is data about the process by which survey data were collected such as the date and time the survey was completed; how long the survey took; and participant movement in the survey. The collection and use of such data raise questions concerning if and how to request consent for collecting these data from the respondents. It is claimed that there exists no consensus on these questions within the survey research field (Couper and Singer 2013). One guiding principle is if the planned use of paradata is to make inferences about the respondent, rather than solely provide information on the process, this should be based on informed consent (Couper and Singer 2013). The ESOMAR Guideline for Online Research (ESOMAR/GRBN, 2015) considers e.g. using keystroke loggers without obtaining the participant's opt-in consent as an unacceptable practice. Keystroke loggers will however not be collected in CRONOS.

The purpose of the collection of paradata in CRONOS is to improve the quality of the research procedures rather than draw inferences about individuals. However, in order to draw conclusions for improving future survey practice it may be necessary to link paradata to survey responses. Information about the collection of paradata in CRONOS is included in the leaflet provided to the respondents by referring to the fact...
that technical information about the web survey completion process (like date, time, web browser, screen size) may also be collected to help improving web surveys.

The information given to respondents also includes the fact that contact information (directly identifiable personal data) will be deleted by the end of the project in 2019. An alternative to this information would be that no such deleting date was mentioned, in case of further funding of the web panel. However, in such a case, the respondents will be re-contacted before 2019. Since this project is a pilot with quite clear time frames, it seems most informative to share the estimated deleting date with the respondents. The UK DPA does not explicitly mention information on when personal data will be deleted as a requirement concerning which information to provide to data subjects. The new GDPR, however, expands the list of information that must be provided to data subjects, to also include “the period for which the personal data will be stored, or if that is not possible, the criteria used to determine that period” (cf. Article 13.2 (a)).

4.2 Incentives

To encourage survey completion among the CRONOS panellists, respondents will be offered a small token of appreciation (around €5-10 in Estonia and Slovenia and £5-10 in the UK) for each fulfilled web survey. The incentives might also be subject to some experimentation in terms of, for example, providing unconditional incentives or different amounts of incentives for different groups. Further, offline respondents who would like to join the panel will be provided with tablets and an internet connection.

The ESOMAR Guideline for Online Research (ESOMAR/GRBN, 2015) states that when incentives are offered to encourage participation in online research projects, researchers must ensure that these do not constitute, or are perceived to constitute, a bribe. Further, participants must be clearly informed about:

- who will administer the incentives;
- what the incentives will be;
- when participants will receive the incentives; and
- whether conditions are attached e.g. completion of a specific task or passing of quality control checks (for example with online panel research).

With regard to ensuring voluntariness of participation in CRONOS, both the small monetary incentive as well as the provision of tablets and internet connection, should not affect the participants’ autonomy in a way that prevents them from using their legal rights, such as to withdraw from the study. It is for instance possible for respondents to skip any question they do not want to answer, and still be able to hand in the survey. As mentioned earlier, only persons aged 18 and over, will be part of the CRONOS. If 15-year olds were to be included, the giving out of tablets to this group could pose a challenge for the principle of voluntariness.

If a panellist who has received a tablet/internet connection does not respond to any of the surveys, and/or withdraws from the panel, reasonable attempts to encourage participation will be carried out (in the form of postal reminders and/or up to 3 telephone contacts). After this, no further action will be pursued if the device is not received.
4.3 Confidentiality

Ensuring the confidentiality of personal data is pivotal in relation to all processing and data release. A breach of confidentiality is in fact the most serious risk of harm to which participants in social research are exposed (Singer 2008). The assurance of a high level of privacy protection is necessary to build and maintain trust, which, in turn, is crucial for data subjects to engage in research. Appropriate measures should be taken to secure every aspect of the processing of personal data, from the very first data collection until archiving and release of data. Longitudinal studies, with information on longitudinal links and patterns, potentially present an additional data protection challenge. In CRONOS, special care will be given both to which questions are asked (e.g. not asking twice for marital status), and the respondents’ answers (looking out for potentially identifiable patterns is part of the NC teams’ quality check on anonymity) to avoid such disclosure risk.

Compared to the Directive, the GDPR imposes stricter obligations in relation to data security. One of the aims of the new GDPR is thus to build trust by assuring a high level of privacy protection. Unlike the Directive, the Regulation also promotes techniques such as anonymisation (removing personally identifiable information where it is not needed), pseudonymisation (replacing personally identifiable material with artificial identifiers), and encryption (encoding messages so only those authorised can read it) to protect personal data (Article 30). Further, the GDPR introduces the concept of “data protection by design”. At the conceptual level, data protection by design means that privacy should be a feature of the development of a product, rather than something that is tacked on later (Maldoff 2016). Thus, Article 23 requires controllers to implement appropriate safeguards “both at the time of the determination of the means for processing and at the time of the processing itself.”

In line with the GDPR, CRONOS has indeed been a case of data protection by design. Security measures in relation to all data management activities in CRONOS are explained in detail in the Data Handling Protocol (Appendix I). For instance, it covers how and which data are collected, transferred, stored and archived, who will have access to each variable of the database, and how data will be archived and how long contact details will be kept. The principle of data minimisation is met by ensuring that only personal data which are necessary for each specific purpose of the processing are being processed. Technical and organisational measures are taken ensuring, for instance, that only authorised members of the project team have access to personal data, and that different access rights are assigned based on need (access to country specific administrative data will be restricted to the survey agency in that country for example). All data files that contain identifiable information about panellists are encrypted, and contact data are pseudonymised.

In addition to the security measures relating to handling personal data internally within the project team, CRONOS must ensure that the disclosure risk is minimised when the survey data gets published. It must be impossible for someone accessing the data to determine the identity of any individual, either from the CRONOS data alone or from the combination of CRONOS and ESS interview data. This requires in-depth knowledge about the total population to assess the possibility of identifying respondents indirectly. A survey that is considered anonymous in the UK might be seen as indirectly identifiable in Slovenia because of the size and demographic variation of the national population. As the map of possible identifiable information will
vary dependent on national context, each national coordinator in CRONOS has the responsibility to go through the survey data and check for anonymity in their respective country before release of data. However, specific data minimisation precautions have been put in place in CRONOS regarding background information. Typically, variables that are prone to increase disclosure risk such as household size, occupation, ethnicity, exact age, father’s and mother’s country of birth and citizenship are not included in CRONOS. For age, CRONOS uses age groups rather than exact age to minimise the risk of identification.

In case of incidents or breaches, CRONOS will notify the ESS ERIC Ethics Committee, and the survey agencies will report to their national authorities (cf. Appendix II, section 2.7a) and b)). The GDPR adopts, for the first time, specific breach notification guidelines. Controllers must notify the supervisory authority within 72 hours after an accidental or unlawful destruction, loss, alteration, unauthorized disclosure of, or access to, personal data transmitted, stored or otherwise processed. Such notice is not required if the personal data breach is unlikely to result in a risk for the rights and freedoms of natural persons. When a data processor experiences a personal data breach, it must notify the controller but otherwise has no other notification or reporting obligation under the GDPR. If the controller has determined that the personal data breach “is likely to result in a high risk to the rights and freedoms of individuals,” the affected data subjects must be notified without undue delay.” The Regulation provides exceptions to notify data subjects if: (1) appropriate technical and organizational protection measures are implemented, that “render the data unintelligible to any person who is not authorized to access it, such as encryption”, (2) the controller takes actions subsequent to the personal data breach to “ensure that the high risk for the rights and freedoms of data subjects” is unlikely to materialise; or (3) when notification to each data subject would “involve disproportionate effort,” in which case alternative communication measures may be used (cf. Article 33 and 34).

5 Summary
This document is intended as an outline of legal requirements and ethical considerations regarding the processing of personal data in a cross-national, longitudinal web panel. The various issues throughout the report have been exemplified by the CRONOS project and cover topics such as obligations of the controller in relation to notification duty, security measures and data processor agreements. Further, recruitment procedures and aspects of informed consent are described, together with guidelines considering the use of paradata and monetary incentives. Finally, issues of confidentiality and disclosure risk are discussed. The discussion is primarily based on the legal framework provided by the current EU Directive and the UK Data Protection Act, although the report also considers relevant provisions from the new GDPR.

Many of the legal and ethical privacy protection issues in a cross-national, longitudinal, online panel survey will be the same as with any survey, but specific additional challenges can arise in this context. For instance, differences in both the national data protection provisions and practice must be handled. Examples of such differences are
how detailed the information to the participants must be regarding anonymisation, collection of sensitive data and transfer of personal data abroad.

Requirements for security measures may also vary from country to country. Some of these challenges will hopefully prove easier under the GDPR, as one of its promises is to harmonise both legislation and practice. In addition to variations in practice of the data protection law, a cross-country online survey brings along new technical challenges such as country-wise access solutions. Furthermore, practicalities around the giving out of tablets in different countries and legal age for agreements with network companies could pose an issue. In longitudinal surveys, special precautions must also be taken to minimise risk of disclosure in relation to potentially identifiable links and patterns.

References


Regulation (EU) no 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation). Retrieved from:
Appendix I: CRONOS Data Handling Protocol

In this appendix we refer to Annexes A, B, and C. To avoid duplication and making this document unduly long, these documents will be available as part of SERISS deliverable 7.5.
CRONOS Pilot Panel Data Handling Agreement

Study number:
Version: 1
Effective date: 01 September 2016
Table of content

1. Project Description .......................................................................................................... 2
2. Structure, Teams and Roles in CRONOS ................................................................. 2
3. Method of Data Collection .............................................................................................. 4
   3.1. Centralisation and localisation ................................................................................... 4
   3.2. Sample and recruitment .......................................................................................... 5
4. Types of Data and Data Systems .................................................................................... 5
   4.1. Panel Recruitment System ..................................................................................... 5
   4.2. Panel Management System .................................................................................... 6
   4.3. Web Survey Database .............................................................................................. 8
5. Data Transfer ................................................................................................................... 9
   5.1. Data transfer for Panel Recruitment System and Panel Maintenance System ......... 9
   5.2. Questback Portals ................................................................................................... 9
6. Data Access for Different Roles .................................................................................... 10
   6.1. NSD as the Processor ............................................................................................. 10
       6.1.1 Handling data from the database systems ........................................................ 10
       6.1.2 Handling survey data ........................................................................................ 10
   6.2. National Coordinators for Estonia, Slovenia and the UK ...................................... 10
       6.2.1 Handling data for the database system .............................................................. 10
       6.2.2 Handling survey data ........................................................................................ 11
   6.3. Questback as the sub processor ............................................................................. 11
7. Data Safeguarding Procedures ..................................................................................... 11
8. Information and Consent .............................................................................................. 12
9. Data Transfer Protocol ................................................................................................. 12
   9.1. Security measures .................................................................................................. 12
   9.2. Data Protection and Security in Questback ............................................................ 13
   9.3. Physical Access Control ......................................................................................... 13
   9.4. Data Access Control .............................................................................................. 13
   9.5. Access Monitoring .................................................................................................. 15
   9.6. Transfer Control ..................................................................................................... 16
   9.7. Input Control .......................................................................................................... 16
   9.8. Order Monitoring ................................................................................................... 17
   9.9. Availability Control ............................................................................................... 17
10. References ................................................................................................................... 18
The Data Handling Protocol (DHP) aims to describe and define all data management activities in the CRONOS (CROss-National Online Survey) pilot panel study. It describes the roles and access that each research partner will have at each stage of the research project, from recruitment to archiving and dissemination.

1. Project Description
The internet offers increased opportunities for complex and cost-effective data collection, which is why many see the web as the mode of data collection for the future. However, there remain serious challenges to obtaining accurate data using the internet, especially for cross-national studies of the general population. To overcome these challenges, the pilot study CRONOS is established to seek to capitalise on existing probability-based face-to-face surveys with high response rates to recruit respondents to participate in a web panel. Research participants for the web panel will be recruited at the end of the ESS Round 8 main stage interviews in three EU countries - the UK, Slovenia and Estonia.

The CRONOS pilot panel is part of the larger research project Synergies for Europe's Research Infrastructures in the Social Sciences (SERISS), funded by the European Union H2020 Research and Innovation programme. ESS ERIC director Dr. Rory Fitzgerald is the Principal Investigator of SERISS and Dr. Ana Villar is Project Leader of CRONOS.

2. Structure, Teams and Roles in CRONOS
The DHP is owned by ESS ERIC Headquarters (HQ), hosted at City University London, as the Data Controller, who will ‘determine the purposes for which and the manner in which any personal data are, or are to be processed’ (Great Britain, 1998). The NSD – Norsk senter for forskningsdata AS (Norwegian Centre for Research Data), the National Coordination teams, and the web survey service provider Questback (see section 5) will act as Data Processor, ‘who processes the data on behalf of the data controller’. ‘Processing’ means ‘obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data’ (Great Britain, 1998)

The National Coordination teams in each country are social scientists with experience in implementation of surveys of the general population in their countries. Recruitment for the CRONOS pilot panel will be carried out by the three high quality survey agencies who will carry out fieldwork for Round 8 of the ESS in the three participant EU countries: NatCen – National Centre for Social Research in the UK (including England, Scotland and Wales),
Statistics of Estonia in Estonia, and the Public Opinion and Mass Communications Research Centre at University of Ljubljana in Slovenia. National teams will also act as Data Processors for CRONOS.

Survey data collection and panel administration are carried out using Questback’s web-based Enterprise Feedback Suite solution (https://www.questback.com/uk/enterprise), who have a contractual relationship with the NSD – Norsk senter for forskningsdata AS on behalf of ESS ERIC and will act as sub-processor. Restricted Questback accounts have been secured for national coordinators and ESS ERIC HQ; national teams only have access to data from their own country, whereas ESS ERIC HQ does not have access to any contact details or any data that could identify respondents. Additional details on access to the CRONOS database are provided throughout the remainder of this document and in Annexes A and B, and the data processing agreement between Questback and NSD can be found in Annex C.

Other SERISS partners are involved with the research design of CRONOS as well as with data analysis. However, these partners will not have direct interaction with respondents or their contact details, and will not have direct access to the Questback database; instead, they will receive anonymised datasets to carry out their work. These partners include: researchers at University Pompeu Fabra in Spain, the Munich Center for the Economics of Aging (MEA) in Germany, and Tilburg University and CentERdata in the Netherlands.

This DHP covers all the data systems into which the CRONOS panel is structured. The Questback CRONOS database has different data systems with different purposes:

- The Panel Recruitment System includes all the variables necessary to monitor progress of recruitment efforts.
- The Panel Management System includes: a) all the variables necessary to manage the administration of panel members and distribution of the surveys: respondents’ contact information, b) paradata about the web surveys (e.g., whether a panel member has been invited to a specific survey) to monitor participation, and c) a record of communications between CRONOS researchers and panel members, including contact with the helpline.
- The Web Survey Database includes all survey answers and online linked data.

In the following sections we discuss the following aspects of the project:

- How and which data are collected, transferred, stored and archived
- Who will have access to each variable of the database and how
- How will data be archived and how long will contact details be kept

This information can also be found in detail in Annexes A and B.
3. Method of Data Collection

3.1. Centralisation and localisation
One of the goals of this study is to assess whether the proposed level of central management for the cross-national web panel is feasible and desirable. Centralisation has a number of advantages:

a) Cost savings. These can stem from several tasks. Negotiation with a web survey provider may be more successful when requesting a large number of countries. Only one person needs to send out the invitations for all countries, as long as translated materials are provided.

b) Streamlining of procedures. Central management allows usage of the same web survey solution across all countries. Sending invitations, reminders, and thank you notes in a centralised way can maximise comparability and simplify the task.

c) Accuracy and comparability. By centralising the panel, the web survey will only need to be programmed once; countries will add translated text to the survey tool, but the programming will remain identical to that of the source questionnaire. Previous research has shown that harmonising the way web surveys look, feel, and work across different web survey providers can be a daunting, error-prone task (Revilla, de Castellarnau, Scheuer, & Villar, 2014; Villar, Winstone, Prestage, & Lynn, 2014).

To strive for cost-efficiency, the CRONOS pilot panel is set up to the extent possible in a centralised fashion, although some tasks are carried out locally:

a) A web survey service provider (Questback) has been contracted centrally

b) Fieldwork activities will be carried out, when possible, centrally. This includes simultaneously sending out pre-notifications, invitations, and reminders to complete the web surveys from Questback.

c) Fieldwork activities that require postal mailing and local services will be organised locally. For example, postal invitations to complete the survey will be sent locally, and linkage of incentive vouchers to each respondent will be carried out by the local team.

d) The helpline available to respondents if they have questions, problems or want to discontinue their participation in the study will also be organised locally.

To maximise efficiency, all countries should use the centralised web survey provider (Questback) for all the tasks of CRONOS, both central and local. In this scenario, all panellist information, including contact details, recruitment information and survey data will
be transferred to and stored in the Questback database in Germany using the secure protocols outlined in this document. However, if during set up of the panel, transferring data into Questback proves unfeasible in any of the countries, countries will instead limit uploading to those variables that are necessary to carry out the centralised functions (see also section 5). This decision will be made in consultation with the ESS ERIC HQ.

3.2. Sample and recruitment
Within the SERISS project, the European Social Survey (ESS ERIC) has agreed to serve as the recruitment platform for the CRONOS pilot panel, where respondents will be offered the chance to participate in CRONOS at the end of the ESS interview.

Recruitment for the ESS is locally organised by the ESS National Coordinating teams with central support and supervision, and following specifications agreed between the central team and the national teams. For the CRONOS pilot panel, this work will be carried out during ESS fieldwork in Estonia, UK and Slovenia, from September 2016 until the end of fieldwork. Supervision of recruitment will be carried out by the central team (ESS ERIC HQ and NSD) in collaboration with each of the national teams.

4. Types of Data and Data Systems
As defined in section 2, there are three data systems in CRONOS, each corresponding with different tasks and functions, which can be subdivided into centralised and localised functions. The following sections describe the variables necessary for each system, and who will have access to the different variables during the duration of the project. Annexes A and B describe in more detail why each variable is necessary, who will have access to them, how they will be stored and for how long.

4.1. Panel Recruitment System
The panel recruitment system will enable researchers to monitor recruitment efforts and progress centrally. This work will be carried out at ESS ERIC HQ. The main purpose is to compare the actual recruitment rate to the expected recruitment rate, so that strategies can be put in place if the actual rate is lower than expected. A few additional variables are necessary to devise such strategies. In addition, this information will inform the number of respondents who sign up but do not have internet access for personal use. This will allow the central team at ESS ERIC HQ to estimate the number of tablets that should be acquired, and plan and monitor delivery of devices in January 2017.
The complete list of variables in the panel recruitment system has been carefully selected to avoid any possible risk of disclosure or identification. For some variables, answer categories have been collapsed to protect respondent anonymity (e.g., age). The top part of the list refers to variables collected during CRONOS recruitment, whereas the bottom part are questions from the ESS interview process that can help the monitoring process.

**Table 1. Variables in the Panel Recruitment System**

<table>
<thead>
<tr>
<th>Access for NSD and ESS ERIC HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRONOS recruitment variables</td>
</tr>
<tr>
<td>Internet access for personal use</td>
</tr>
<tr>
<td>Devices used to go online</td>
</tr>
<tr>
<td>Response to initial invitation to participate during recruitment interview</td>
</tr>
<tr>
<td>Reasons for reluctance or concern spontaneously provided by respondents</td>
</tr>
<tr>
<td>Was there an email provided by the respondent?</td>
</tr>
<tr>
<td>Interviewer's perceived likelihood of participation in panel</td>
</tr>
<tr>
<td>Date respondent recontacted after initial recruitment attempt</td>
</tr>
<tr>
<td>Final response to invitation to participate (if different from initial)</td>
</tr>
<tr>
<td>Device needed, device accepted, device delivered, device serial number</td>
</tr>
<tr>
<td>Date device offered, accepted, delivered, agreement signed</td>
</tr>
<tr>
<td>ESS variables</td>
</tr>
<tr>
<td>Country</td>
</tr>
<tr>
<td>CRONOS respondent ID</td>
</tr>
<tr>
<td>Age group</td>
</tr>
<tr>
<td>Gender</td>
</tr>
<tr>
<td>Size of area where respondent lives</td>
</tr>
<tr>
<td>Internet usage frequency (netusoft)</td>
</tr>
<tr>
<td>Internet usage duration (netustm)</td>
</tr>
<tr>
<td>Level of education (ISCED variable)</td>
</tr>
<tr>
<td>Reluctance to answer questions (resrelq)</td>
</tr>
<tr>
<td>Understanding of questions (resundq)</td>
</tr>
<tr>
<td>Presence of someone who interfered with question (preintf)</td>
</tr>
<tr>
<td>Interviewer ID (intnum)</td>
</tr>
<tr>
<td>Interviewer gender (intgndr)</td>
</tr>
<tr>
<td>Interviewer age (intagea)</td>
</tr>
<tr>
<td>Interview language (intlnga)</td>
</tr>
</tbody>
</table>

**4.2. Panel Management System**

The panel management system includes all variables necessary to run the panel, from the first until the last wave. The tasks related to this system can be divided into central management and local management. Central management includes sending email invitations, reminders, and so on, as well as monitoring participation throughout the panel life. NSD will organise
sending invitations and reminders, whereas ESS ERIC HQ will take care of monitoring participation. Local management refers to updating contact information, delivery of incentives, and management of communications between the helpline and panel members, like calls to the helpline for technical failures, problems answering the survey, or requests to discontinue participation. Which variables are needed depends on the task.

Distribution will be organised by NSD using protocols and dates agreed with ESS ERIC HQ and the national teams. For technical reasons, NSD needs access to the name of and email address of panel members to be able to send the invitations (and possibly mobile telephone number if invitations are to be sent via SMS). ESS ERIC HQ will not have access to contact details, and national teams will only have access to data from their countries.

Table 2. Variables in the Panel Management System

<table>
<thead>
<tr>
<th>NSD</th>
<th>ESS ERIC HQ</th>
<th>National teams</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name, Surname, Email, Address, Mobile phone</td>
<td>ESS ERIC HQ will not have access to any contact details</td>
<td>Name, Surname, Email, Address, Mobile phone</td>
</tr>
<tr>
<td>CRONOS respondent ID</td>
<td>CRONOS respondent ID</td>
<td>CRONOS respondent ID</td>
</tr>
<tr>
<td>Did respondent provide email</td>
<td>Did respondent provide email</td>
<td>Did respondent provide email</td>
</tr>
<tr>
<td>Panellist opts out</td>
<td>Panellist opts out</td>
<td>Panellist opts out</td>
</tr>
<tr>
<td>Date panellist opts out</td>
<td>Date panellist opts out</td>
<td>Date panellist opts out</td>
</tr>
<tr>
<td>Opt-out reasons</td>
<td>Opt-out reasons</td>
<td>Opt-out reasons</td>
</tr>
<tr>
<td>Request for data to be deleted</td>
<td>Request for data to be deleted</td>
<td>Request for data to be deleted</td>
</tr>
<tr>
<td>Country</td>
<td></td>
<td>Country</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ESS variables: Age group, Gender, Size of area respondent lives, Internet access for personal use, Reasons for reluctance, Devices used to go online, Interviewers’ perceived likelihood of participation, Final response to invitation (if different from initial), Internet use frequency (netusoft), Internet usage duration (netustm), Level of education (ISCED)</td>
</tr>
</tbody>
</table>

For each wave: response status, incentive ID, has incentive been sent, local time and mode for each communication sent to respondent: pre-notification, invitation, reminder(s), thank you, other

For each wave: experimental group panellist is assigned to
4.3. Web Survey Database

The CRONOS panel will run for one year. Every two months, each panel member will be invited to complete an online survey. A short ‘welcome’ survey will be conducted in November 2016 for those who sign up before November 10, and from February 2017 six surveys will be conducted over a period of one year. Surveys will last approximately 20 minutes, and will contain topics from prestigious surveys like European Value Study, the European Social Survey, and European Quality of Life Survey. Data will be collected and stored using web surveys programmed by NSD using web survey provider Questback. ESS ERIC HQ and the national teams will collaborate in thoroughly testing the programmed surveys before these are sent out to panel members. Paradata will also be collected to describe the survey process and help understand participation, attrition and data quality.

<table>
<thead>
<tr>
<th>Table 3. Variables in the Web Survey Database – via anonymised datasets</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Purpose:</strong> Attrition analysis, analysis and reporting of experiments and data</td>
</tr>
<tr>
<td><strong>ESS ERIC HQ, SERISS partners, external collaborators</strong></td>
</tr>
<tr>
<td>CRONOS respondent ID</td>
</tr>
<tr>
<td>For each wave: response status, date, local time and mode for each communication sent to respondent: pre-notification, invitation, reminder(s), thank you</td>
</tr>
<tr>
<td>For each wave: experimental group panellist is assigned to</td>
</tr>
<tr>
<td>Panellist opts out</td>
</tr>
<tr>
<td>Date panellist opts out</td>
</tr>
<tr>
<td>Opt-out reasons</td>
</tr>
<tr>
<td>Request for data to be deleted</td>
</tr>
<tr>
<td>Country</td>
</tr>
<tr>
<td>ESS variables: Age group, Gender, Size of area respondent lives, Internet access for personal use, Reasons for reluctance, Devices used to go online, Interviewers’ perceived likelihood of participation, Final response to invitation (if different from initial), Internet use frequency (netusoft), Internet usage duration (netustm), Level of education (ISCED)</td>
</tr>
<tr>
<td>Paradata: time stamps for each question, operating system used, browser used, device used</td>
</tr>
<tr>
<td>Data from survey questions: will include mostly questions on attitudes and values, and other questions similar to those in the ESS questionnaire. We will try to avoid sensitive questions and open-ended questions. Before questionnaires are finalised, NC teams will assess whether the questions pose any disclosure risks in their countries. If risks are identified, questions will be either deleted or treated as contact information variables</td>
</tr>
</tbody>
</table>
5. Data Transfer

5.1. Data transfer for Panel Recruitment System and Panel Maintenance System
The recruitment interview will include questions to determine their eligibility to participate, whether they have internet access, whether they would like to participate in the project and the respondent’s contact details. To handle panellist queries and requests, as well as management of incentives, a helpline will be set up in each country. The person(s) managing the helpline may need access to information about the respondent as they interact with them—for example, if a panellist calls to inquire about an incentive not received, the helpline agent will need to know whether the respondent has completed the wave they are referring to, check the incentive, check the postal address, and perhaps make a note to call back if more time is needed to find out the nature of the problem. National teams need access to this information if problems arise during fieldwork; however, access will be limited to data from their own country.

NC teams will collect and deposit data about panellists and potential panellists with NSD at regular weekly intervals throughout the fieldwork period. All data files that contain identifiable or indirectly identifiable information about panellists must be encrypted when they are deposited with NSD. The data will be decrypted, processed, and uploaded into Questback by NSD staff. NSD will maintain offline backup copies of all deposited panellist datasets, stored as encrypted files on a secure server.

For reasons explained before, the data will be stored by Questback to maximise efficiency; for technical reasons, both NSD and Questback will have the ability to access the contact information, if and when a national team requests this in cases of extreme necessity. This contact information will not be linked to the survey answers and other survey data like paradata.

5.2. Questback Portals
Questback has developed secure portals for NC teams to access data from their own country. The Questback portal will also allow users to modify some of the variables directly, which will be helpful when the helpline needs to update the panellist’s contact information, or record a technical problem. The list of which variables can be modified can be found in Annex B.
6. Data Access for Different Roles

6.1. NSD as the Processor

6.1.1 Handling data from the database systems.

- Researchers working for SERISS WP7 at NSD, as data processor and holder of the contract with Questback, will have full access and control over all the data from the database systems, in case technical problems require their intervention.

- Other NSD Researchers will need to be able to access all data from the database system except from directly identifiable data such as names, full addresses, telephone number, and email address(es).

6.1.2 Handling survey data

- Researchers working for SERISS WP7 at NSD will have full access to all the survey data and the link between data in the database system and the survey data, due to their responsibilities regarding dispatching invitations for each round, monitoring fieldwork, producing data files and archiving.

6.2. National Coordinators for Estonia, Slovenia and the UK

6.2.1 Handling data for the database system

Each of the National Coordinators will provide the initial data for their respective country that will feed the Panel Recruitment System and the Panel Management System: contact details, selected ESS variables and information about the recruitment process for the ESS country they are responsible for. They will provide these data via the NC portals or, if the system fails, by providing an encrypted file to NSD.

NCs are responsible for the administration of incentives, helpline for respondents as well as contacts with respondents in a different mode than web (e.g. mail or SMS invitations/reminders). Therefore, after the recruitment data have been delivered and during the panels life, the NCs and their teams will need access to the contact information and variables describing the contacts and communications between the panel and the panel members, as well as whether respondents have participated or not. NCs’ and NC teams’ access will be limited to the country they are responsible for, and will be executed via the NC portal. Once the panel data collection has ended, the directly identifiable data will be deleted from the database.
Any changes made to the database by NCs would ideally be automatically flagged to the data controller (timestamp, person who made the change, type of change), without the NC team having to do this manually.

6.2.2 Handling survey data

Each of the National Coordinators will have full access to the survey data for their respective country. NCs will be responsible for checking anonymity of the data for their respective countries before they deposit the data to NSD. For these assessments, NCs will take into account data from the main ESS interview and any previous CRONOS waves.

6.3. Questback as the sub processor

For all data, Questback shall process Personal Data solely for the provision of the Online Services defined in their contract with NSD (see Annex C – Data Processing Agreement).

Questback’s platform EFS, including all of the customer data collected and processed as part of the survey, is hosted on external servers in the computer center hosted by DataGroup Bremen GmbH. DataGroup has been certified on two levels: (1) according to ISO/IEC 27001:2013 (certificate ID: DSC.275.03.2015, valid until March 1, 2018), and (2) by the Federal Office for Information Security (BSI) in accordance with ISO 27001 and on the basis of “ITGrundschutz” (certificate number: BSI-IGZ-0195-2015, valid until February 9, 2018). Both certificates are available upon request. The protection of this survey data is ensured in accordance with these standards and in keeping with the legal requirements by the technical and organizational measures (cf. the “computer centre” sections in this document) implemented at the DataGroup computer centre. Measures for data protection are outlined in sections 7 and 9.

7. Data Safeguarding Procedures

- Personal identification data (names, addresses, residence, telephone numbers, e-mail addresses) are protected by:

- Access to personal identification data is restricted to:
  - NSD
  - National coordinator team has access to personal identification data from their own country, with established safety and confidentiality policies

- Access to survey data linked to personal identification data is restricted to the National Coordinators for their respective countries, and NSD in all participating countries. No party is allowed to attempt to identify the respondents behind the survey data.
8. Information and Consent

- No data will be collected without the knowing and consent of the respondents, including the collection of paradata. No survey data will be given to commercial parties or used for any other purpose than scientific and statistical ones.

- Panel members are informed in advance about the nature of the panel study and about the recruitment interview, by the interviewers at the end of the ESS 8 main interview and via a leaflet. The leaflet provides a helpdesk telephone number where more information can be obtained. In addition, this information will be available from the national websites and at the beginning of the first survey panellists complete.

9. Data Transfer Protocol

9.1. Security measures

The purpose of this document is to provide data transfer and security measures for recruitment data being shared with partners for the purposes of the joint project entitled “CRONOS”. Since this project involves sharing of confidential information, all personnel involved in this project must agree to abide by the terms and conditions of EU Directive 95/46/EC. The protocols for transferring sample data from the National Coordinator Teams to the CRONOS Panel are accounted for in the following.

What is transferred?
Recruitment data from the ESS8 interview, as described in section 4 (Types of data).

How are data transferred?
Minimum once a week, during the recruitment process, the NC teams will upload data to the database system via secure data deposits with NSD. UK and Slovenia are using Blaise as their CAPI tool in recruiting the panellists, while Estonia will be using Nortal. Blaise is a powerful and flexible software package used worldwide for statistical and scientific research. The Blaise language is suitable for creating a computer assisted survey. Nortal is an international high-end software solutions provider. NCs will deposit recruitment data with NSD, and NSD will upload the data accordingly in the CRONOS panel administration database.
9.2. Data Protection and Security in Questback

Questback makes software available on its platform as SaaS (software as a service). The Questback-EFS platform is hosted in the BSI/ISO 27001 certified data center. Data protection aspects relating to general data handling and the EFS software are processed by the data protection officers at Questback GmbH, Germany. Data security aspects relating to hosting and the data center are processed by the data protection officers at Datenschutz Nord GmbH, Germany.

9.3. Physical Access Control

Measures to refuse unauthorized access to data processing systems with which personal data is processed or used:

Data center
- Data center certification is governed by the standards of BSI/ISO 27001.
- Building: alarm system connected to the police.
- The data center is located on the first floor with two separate entrance control mechanisms.
- The computer room is under video surveillance.

Offices
- Visitors must report at the reception and are accompanied in the building by an employee.
- All doors are equipped with a digital locking system.

9.4. Data Access Control

Measures to prevent unauthorized use of data processing systems:

Questback-EFS software
- The password must be changed after first login and will then expire every 100 days. If the user logs in after the expiration date, then the screen requests a change in the password.
- Incorrect use of lower or upper case in the account name is permissible
- Incorrect use of lower or upper case in the password is not permissible
- The password must have at least 6 characters
• The password must contain characters from at least two of the following four groups: a-z, A-Z, 0-9, other printable ASCII characters
• The password may not contain any spaces
• When changing the password after the first login or after the end of one month, the same password may not be used again
• The optional high security mode that can be selected increases the password security guidelines
• Protection from brute force attacks by means of a temporary blocking of access after 6 incorrect inputs for 30 minutes
• Passwords are stored as salted hash

System Administration/Data Center
• Technical measures for the protection of data from manipulation (checksum, signatures, etc.) at the level of system administration
• Ensuring of the integrity of the program modules via (crypt.); checksums/comparison against reference list

Offices
• Authentication to the operating system and applications is performed by individual user ID and password
• The employees are to be instructed to lock the workplace client when leaving the room
• The employees are instructed to keep passwords secret and to change them if it is suspected that they have been compromised
• The following minimum requirements are placed on passwords:
  o Minimum length is to be 8 characters, including at least one special character
  o The maximum validity period is 90 days; then new passwords must be used that are different from the three previous passwords
  o In order to reduce the risk that passwords can be guessed, no trivial passwords can be used
9.5. Access Monitoring
Measures that ensure that those entitled to use a data processing system are only able to access the data subject to their access authorization and that personal data cannot be copied, changed, or removed during processing, use and after storage without authorization:

Data center
- Access policy for administrators to databases and data centers
- Supplementary agreement in the employment contract
- Access lists within system administration
- Questback-EFS platform rights and role concept
- Vulnerability scans with Nessus. These scans are performed for each server once per month. The Nessus "default" test record is used.
- Examination of source code vulnerability with IBM rational AppScan
- Possibility of security tests by means of:
  - Questback system administrators (normal case)
  - Customer (on request and with cost borne by the customer)
  - External security companies (in case of commissioning by the customer)
  - BSI auditors (in case of certification and extension of the certificate)
  - Critical errors are repaired immediately after checking of logs
  - Data storage and confidential documents are stored by certified service providers and destroyed after use

Offices
- All employees warrant in writing that they will use the data processing systems (Internet, email, client computer, server system...) exclusively for professional interests.
- Content/data may then be stored only on a server or their own workplace PC if this is necessary for professional interests. Contents/data that are no longer required are not to be deleted.
- For the destruction of documents in accordance with data protection law, data protection containers are ready, which are removed by certified service providers.
9.6. Transfer Control

Measures that ensure that personal data cannot be read, copied, changed, or removed without authorization during the electronic transmission or during its transport or saving on a data storage medium and that it can be checked and determined to which recipients a transmission of personal data through installations for data transmission is provided for:

Data center

- Access to databases via SSH and VPN tunnels.
- The data lines to the Internet are laid out redundantly as BGP (Border Gateway Protocol).
- The entire network landscape (firewalls, switches,...) is completely redundant.
- Firewalls and DMZ settings are prescribed by BSI/ISO guidelines.

Offices

- Access to all software components of the questionnaire platform can be made available SSL-encoded (AES 256).
- The exchange of personal data is performed in an encoded manner. For this purpose, Questback provides a file exchange platform.
- The use of mobile data storage media is strictly prohibited. After written agreement, use of mobile data storage media is permitted for certain data. Security-relevant or personal information is not included in this.
- All mobile workplace computers are completely encoded (AES 256).
- Email communication and access to employee documents by employees of the contractor are protected by encoding, VPNs and firewalls.

9.7. Input Control

Measures that ensure that a later check can be done into whether and by whom personal data was entered, changed, or removed in data processing systems:

Software

- Changes to EFS version statuses are documented
- EFS usage is documented with account reference, the data are retained for 30 days
- In case of use of the exchange platform, files with personal data are deposited with version control. The date, the time and the user are logged in this process. A comment
field not included in the document can be used by users to enter notes. No changes can be made to the document. Adjusted documents can additionally be secured by separate password protection with regard to access.

**Office Space/Employees**

- All employees sign a confidentiality clause, which protect the client beyond the termination of employment.
- A ticket system in the support and administration area ensures the correct and timely performance of all tasks.
- Supported by a directory service, employees of the contractor can only access data that is necessary for their work.

**9.8. Order Monitoring**

Measures that ensure that personal data, which are processed within the contract, can be processed according to the instructions of the client:

- Data protection agreement in accordance with the German Federal Data Protection Act between client and contractor.
- Federal Data Protection Act guidelines are part of the employment contract of all employees.
- Training of all employees (Questback System Engineering) by the data protection officer and technical contacts.
- Before starting work for the client, instruction is provided to the responsible project managers and team members on the agreed data protection measures.
- Monitoring rights are granted to the client upon request.

**9.9. Availability Control**

Measures that ensure that personal data are protected from accidental destruction or loss:

**Data center**

- Backup strategy:
  - On a nightly basis, a full backup of data is performed on an independent hard disk within the server being used. This backup enables the contractor to begin operation again immediately in case of emergency.
On a nightly basis, the data are copied into a separate fire compartment to a central server. The data are transmitted securely and are completely encoded.

On a weekly basis, all backups from the central server are placed in a bank safe.

Backups are recoverable on a daily basis for the past seven days. Beyond that, a backup is available for the past four weeks on a weekly basis.

- Air conditioning: 4 air conditioning systems working independently are installed.
- Fire protection: computer rooms are equipped with fire alarm with a connection to the fire department and an argon fire-extinguishing system.
- Electricity supply: emergency power system is installed.
- All systems are laid out in a completely redundant manner.

**Offices/Employees**

Backup Strategy:

- On a nightly basis, a full backup of the data is performed on an independent hard disk within the server being used. This backup enables the contractor to begin operation again immediately in case of emergency.
- On a weekly basis, all backups from the central server are placed in a bank safe.
- Backups are recoverable on a daily basis for the past seven days. Beyond that, a backup is available for the previous four weeks on a weekly basis.
- The computer rooms are air-conditioned
- Electricity supply: Emergency power system is installed.
- Fire extinguishers are present

**10. References**


THIS AGREEMENT is made on __ September 2016

BETWEEN:

(1) ESS ERIC (incorporated in, or existing and established under the laws of, the United Kingdom) whose registered office is at ESS ERIC Headquarters, c/o City University London, Northampton Square, London EC1V 0HB UK (the “Controller”); and

(2) University of Tartu (incorporated in, or existing and established under the laws of, Estonia) whose registered office is at Ülikooli 18, 50090, Tartu, Estonia (the “Processor”).

Article 17(2) of the Data Protection Directive 95/46/EC provides that, where processing of personal data is carried out by a processor on behalf of a data controller the controller must choose a processor providing sufficient guarantees in respect of the technical security measures and organisational measures governing the processing to be carried out, and must ensure compliance with those measures.

Articles 17(3) and 17(4) of the Data Protection Directive require that where processing is carried out by a processor on behalf of a controller such processing shall be governed by a contract or legal act binding the processor to the controller stipulating, in particular, that the processor shall act only on instructions from the controller and shall comply with the technical and organisational measures required under the appropriate national law to protect personal data against accidental or unlawful destruction or accidental loss, alternation, unauthorised disclosure or access and against all other unlawful forms of processing.

In compliance with the above-mentioned provisions of Article 17 of the Data Protection Directive the Controller and Processor wish to enter into this data handling agreement.

SIGNED on behalf of ESS ERIC

(Authorised signatory)

Rory Fitzgerald, ESS ERIC Director

SIGNED on behalf of University of Tartu

(Authorised signatory)

PRINT NAME: ___________________________________________
Appendix II: CRONOS Ethics approval form
For the attention of: ESS ERIC Research Ethics Committee

Application for Approval of Research Involving Human Participants commissioned/funded by ESS ERIC

Project Title:
A survey future online: Constructing a cross-national probability based web panel system

Name of Principal Investigator(s):
Rory Fitzgerald, Ana Villar

ESS ERIC Institution
ESS ERIC HQ
[EMAIL CONTACT DETAILS REDACTED]

TO BE UNDERTAKEN BY AN EXTERNAL BODY

Date of Submission of Application:
15 August 2016

1. Project details

Title (no more than 80 characters)
A survey future online: Constructing a cross-national probability based web panel system

Lay Summary / Plain Language Statement (no more than 400 words)
In an increasingly globalised world, cross-national surveys are becoming key research instruments to help build international relations and improve understanding of differences across societies. At the same time, high-quality cross-national surveys are expensive, and investments need to be carefully considered to obtain the maximum possible return. The internet offers exciting opportunities for complex and cost-effective data collection, and many see the web as the mode of data collection for the future. However, there remain serious challenges for implementing probability-based web surveys of the general population, especially for cross-national projects.

To overcome these challenges, this project will test the feasibility of capitalising on an existing face-to-face survey to recruit respondents to participate in a web panel. Within the SERISS project (www.seriss.eu), the European Social Survey (ESS) has agreed to serve as recruitment platform for this project, because of its probability based samples used and its high response rates. This project has received funding from the European Union’s Horizon 2020 research and innovation programme. We expect findings to uncover useful methods for building new and efficient cross-national web survey infrastructures.
The ESS conducts biennial face-to-face fieldwork with probability samples of the residential population of participant countries. In each country, a National Coordinator commissions fieldwork according to a specification outlined by the ESS Core Scientific Team (see http://www.europeansocialsurvey.org/about/projectSpecification.html for the latest version). The specification describes the tasks and responsibilities of participant countries (including adherence to the Declaration on Ethics of the International Statistical Institute), requirements, guidelines and rationales for carrying out fieldwork.

After the ESS interview, respondents are thanked for their time but no attempts are made to re-contact them. We propose to ask respondents for an email address and permission to re-contact them for a web study. Recruitment for the Cross-National Online Survey (CRONOS) panel will be carried out in three countries (UK, Slovenia, Estonia), from September 2016 until end of fieldwork, approximately in January 2017. The CRONOS panel will run for one year, with survey invitations every other month. Respondents will be offered a small token of appreciation. Respondents without internet access will be provided with a tablet and internet connection for the duration of the project and receive training in online survey completion. Based on evidence from past research, we estimate 35% of respondents will agree to participate in the panel. If recruitment is higher than expected, a random subsample of respondents will be contacted less often, to keep costs in line with the budget.

The data collected online will be combined with data from the ordinary ESS interview, allowing for new analyses that were not previously possible given ESS restrictions for interview time. Anonymised data will be made available to interested data users free of charge on request at the end of the project. A blueprint for establishing cross-national web panels on the back of large-scale face-to-face data collection will be produced and published.

Procedures aimed at dealing with ethical aspects and risk factors of web data collection and the linking of web survey data to the standard ESS interview will be reflected throughout this proposal.

Please describe the role(s) of all the investigators including external co-investigator(s) in the project, especially with regards to interaction with study participants.

(i) Information on ESS ERIC investigators

In this section we provide details about the names and roles of all the investigators involved in the project, as well as the nature of their interaction with study participants and the CRONOS database system. The CRONOS database system consists of a Panel Administration System, where contact data and information about recruitment and panel participation are stored, and a Survey Data System, where answers to the web surveys are stored. Further details about data access, data transfer and data protection are specified in the Data Handling Agreement (see Appendix 1) between ESS ERIC HQ, NSD and the national teams, and will be in accordance with the Data Protection Regulation in the UK, Norway as well as the EU.

**ESS ERIC HQ (Data controller), UK**

   Role: Research design, coordination, questionnaire design, analysis, reporting.
3. Elena Sommer – CRONOS Researcher.
   Role: Research design, planning, questionnaire design, analysis, reporting.

**ESS ERIC HQ’s interaction with study participants/contact with contact data:**

Researchers at ESS ERIC HQ working for SERISS WP7 ‘Survey future online’ will not have direct interaction with study participants. The researchers will need access to the Panel Administration System to monitor recruitment and panelist participation, but will not have access to any directly identifiable data such as name, address, telephone number, or email address. Researchers may also need access to the Survey Data System.

**NSD – Norwegian Centre for Research Data (Data processor), Norway**

   Role: Project leader at NSD, coordinate web survey programming, programming source questionnaires for each wave, overall coordination of the data in the panel system administration, dispatching invitations for each wave, monitoring fieldwork, producing data files, archiving.
2. Linn-Merethe Rød – Senior Researcher.
   Role: Advise on ethical issues.
   Role: Coordinate web survey programming, programming source questionnaires for each round, overall coordination of the data in the panel system administration, dispatching invitations for each round, monitoring fieldwork, producing data files, archiving.
   Role: Coordinate web survey programming, programming source questionnaires for each round, overall coordination of the data in the panel system administration, dispatching invitations for each round, monitoring fieldwork, producing data files, archiving.
5. Knut Skjåk –Associate Director.
   Role: General management of SERISS at NSD
6. Kirstine Kolsrud - Head of Section.
   Role: General management of SERISS at NSD

**NSD’s interaction with study participants/contact with contact data:**

NSD programmers working for SERISS WP7 will have full access and control over all the data from the CRONOS database system. It would represent a great risk if programmers at NSD were not able to access the contact data, as they need to monitor the dispatch of invitations and intervene if the system does not work as required. NSD researchers not involved in SERISS programming or management will have access to all data from the CRONOS database system except for directly identifiable data such as names, addresses, telephone number, and email addresses.
University Pompeu Fabra (Research partner), Spain
   Role: Research design, questionnaire design, analysis
   Role: Research design, questionnaire design, analysis

UPF’s Interaction with study participants/contact with contact data:
Researchers at from University Pompeu Fabra will not have direct interaction with study participants, nor will they have contact with any contact data. For analysis and reporting purposes, anonymised data may be made available to UPF researchers during the life of the panel. The datasets will be prepared by NSD following the specifications outlined in the Data Handling Agreement.

SLOVENIA: University of Ljubljana (Data processor)
1. Slavko Kurdija – Assistant Professor of Methodology.
   Role: coordinate ESS data collection in Slovenia, coordinate recruitment of CRONOS panellists in Slovenia, and postal communication with panellists.
   Role: programming, coordination, helpline for respondents.
   Role: project manager for ESS fieldwork in Slovenia.
4. Prof. Katja Lozar-Manfreda – Assistant Professor, University of Ljubljana
   Role: Methodological consultant, research design, analysis

Interaction with study participants/contact with contact data:
Researchers from University of Ljubljana act as National Coordinator (NC) for the Slovenian ESS. Interaction of study participants and the Slovenian NC team are described in the section below, under “ESS NC teams interaction with study participants”.

Prof. Katja Lozar-Manfreda will not have interaction with participants, access to contact information, or data that could identify panel members. To facilitate her advisory role, she may need to access anonymised, which may be made available during the life of the panel. The datasets will be prepared by NSD following the specifications outlined in the Data Handling Agreement.

(ii) Information on external investigators
The ESS ERIC subscribes to the Declaration on Ethics of the International Statistical Institute (ISI, https://www.isi-web.org/index.php/activities/professional-ethics/isideclaration). The survey agency that the National Coordinator selects to conduct data collection are asked to adhere to the declaration, in addition to any national obligations they may have. Each survey agency must also sign an Agreement on handling indirectly identifiable data with the ESS data controller at ESS ERIC HQ.

This section describes the roles of the following external investigators: a) ESS National Coordinators for Estonia (University of Tartu and subcontractor Statistics of Estonia) and the UK (NatCen for Social Research), b) web survey service provider Questback, c) SERISS project partners (Munich Center for the Economics of Aging, Tilburg University and CentERdata), and d) CRONOS advisory board.
### A. National Coordinators (Data processors)

**ESS NC teams interaction with study participants**

Each ESS National Coordinator team (University of Tartu for Estonia, NatCen Social Research for UK, and the Public Opinion and Mass Communications Research Centre at University of Ljubljana) is responsible for recruitment of ESS respondents for CRONOS in their respective countries. At all times, NC teams access will be limited to the country they are responsible for.

During the recruitment interview, interviewers will collect contact information and other details about the recruitment process (paradata). The NC teams will upload these to the Panel Administration System via portals that Questback has designed specifically for CRONOS.

The NC teams will set up a free helpline system for all the panellists in their countries. The teams will be responsible for communication with panellists when they need assistance, distribution of incentives, updating contact details, and whenever any postal communications are necessary. This information can be recorded and managed using the Questback system (recommended) or a local system if necessary. If and when a local system is necessary, similar data protection protocols will be designed and sent for review to the ESS ERIC Ethics Committee. For helpline related tasks, contact information may be linked to recruitment variables, contact and communication records, and two variables about internet usage from the ESS interview (see Appendix 1 – Data Handling Agreement for a full description of access and roles).

**ESTONIA: University of Tartu (Data processor) and Statistics of Estonia**

1. Mare Ainsaar – Estonia ESS National Coordinator.
   
   Role: Coordinate ESS data collection in Estonia, coordinate recruitment of ESS respondents for CRONOS panel, coordinate mail invitations and incentive distribution, web survey questionnaire translation and programming, support of Estonian respondents via helpline.

2. Indrek Soidla – Estonia ESS Project manager.
   
   Role: Coordinate ESS data collection in Estonia, coordinate recruitment of ESS respondents for CRONOS panel, coordinate mail invitations and incentive distribution, communication with respondents via helpline, web survey questionnaire translation and programming.

3. Statistics of Estonia will be subcontracted to carry out ESS fieldwork and recruitment of CRONOS participants at the end of the ESS8 face-to-face interview. Interviewers are trained in data collection of personal data. Statistics Estonia will collaborate with University of Tartu to securely transfer the required data (contact data, ESS interview data and paradata) to the Panel Administration System.

Interaction with study participants/contact with contact data:
See above ‘ESS NC teams interaction with study participants’.

**UK: NatCen Social Research, London UK (Data processor)**

1. Alun Humphrey – UK ESS NC.
   
   Role: Coordinate ESS data collection in the UK, coordinate recruitment of ESS respondents for CRONOS panel, coordinate mail invitations and incentive distribution.
2. Clare Tait – UK ESS Project manager.
   Role: coordinate ESS data collection in the UK, coordinate recruitment of
   ESS respondents for CRONOS panel, coordinate mail invitations and
   incentive distribution, oversee communication with respondents via helpline.

Interaction with study participants/contact with contact data:
See above ‘ESS NC teams interaction with study participants’.

B. Questback (Sub-processor), Germany
Questback is a technical service provider for NSD, based on the data processing
agreement which is in accordance with applicable law. All processing is performed
in accordance with privacy rights and regulations following the EU Directive
95/46/EC of the European Parliament and of the Council of 24 October 1995 (the
Personal Data Directive). Questback adheres to the Personal Data Directive, and the
local adaptions of the Personal Data Directive. Consequently, Questback processes
all customer data in the EU/EEA. https://www.questback.com/uk/security-statement

Interaction with study participants/contact with contact data:
All data, including personal information, will be transferred using the Questback
server. The Questback system will be used for the Panel Management System—
which records information about survey invitations, participation, and incentive
delivery, and for the Web Survey Database—which records survey answers and
associated paradata. Data transfer through server is a technical requirement. Data
will be only accessed by staff members of Questback if explicitly requested by NSD,
in cases of emergency when access is absolutely necessary to address technical
problems (according to paragraph 9 in the Data Processing Agreement between NSD
and Questback).

C. Project partners
Interaction with study participants/contact with contact data:
Other researchers across Europe are involved in CRONOS with different roles. The
names and roles of these partners are listed below. None of these partners will have
interaction with participants, nor will they have access to contact information, or to
data that could identify respondents. They may need to access anonymised, which
may be made available to partners during the life of the panel. The datasets will be
prepared by NSD following the specifications outlined in the Data Handling
Agreement.

Munich Center for the Economics of Aging (MEA, Project partner), Germany
  1. Julie Korbmacher
     Role: advisor
  2. Annette Scherpenzeel
     Role: advisor

Tilburg University (Project partner), The Netherlands
  a) Ruud Luikx
     Role: questionnaire design, research design
  b) Angelica Maineri
     Role: questionnaire design, research design
**CentERdata (Project partner), The Netherlands**

1. Eric Balster  
   Role: advisor, producing of data protocols
2. Arnaud Wijnant  
   Role: advisor, producing of data protocols

**D. CRONOS Advisory Board (Advising experts)**

Michael Bosnjak (GESIS Panel, University of Mannheim)  
Mario Callegaro (Google UK)  
Anne Cornilleau (ELIPSS Panel, Sciences Po)  
Salima Douhou (ESS ERIC HQ)  
Vasja Vehovar (University of Ljubljana)

Role: Advise on methodological decisions.
Interaction with study participants/contact with contact data:
None of the CRONOS advisory board members will have interaction with participants, nor will they have access to contact information, or data that could identify panel members. They may need to access anonymised, which may be made available to the advisory board during the life of the panel. The datasets will be prepared by NSD following the specifications outlined in the Data Handling Agreement.

**CONFIRMATIONS BY ESS ERIC**

| (1) CONTRACT REQUIRES CONTRACTOR TO DEMONSTRATE COMPLIANCE WITH ISI DECLARATION ON ETHICS | YES ☑ NO  
|-----------------------------------------------|------------------|
| (2) CONTRACT REQUIRES CONTRACTOR TO CONFIRM COMPLIANCE WITH APPLICABLE DATA PROTECTION LAW | YES ☑ NO  

**Application Details**

2.1 Is this application, or any part of this application, being submitted to any other ethics committee, or has it been previously submitted to an ethics committee?  
YES ☑ NO  

If yes, please provide details for the Secretary for the relevant authority/committee, as well as copies of any correspondence setting out conditions of approval.

N/A

2.3 Other approvals required – has permission to conduct research in, at or through another institution or organisation been obtained?  
YES ☑ NO  

If yes, please provide details and include correspondence

2.5 Duration of Project

September 2016-June 2019

**Funding Details**

2.6  
ESS ERIC Work Programme  YES ☑ NO  
Horizon 2020 Grant  YES ☑ NO  
Other  YES ☑ NO  

6
2.6a Total amount of funding for this project

€1,527,741.25
This amount includes fieldwork costs as well as all associated research and staff costs.

2.6c Does the funding body have any requirements regarding retention, access and storage of the data?  YES ☒ NO ☐

If yes, please provide details

ESS ERIC HQ is committed to providing free and unprivileged access to data. Data collection, storage and use is also expected to be in accordance with national data protection law and the General Directive 95/46/EC (see Article 23 ESS ERIC statutes).

In accordance with data protection regulations in participating countries, only anonymised data will be made publicly available to ESS data users. Before depositing data to the ESS Archive at NSD, each national team is responsible for checking their data with confidentiality requirements in mind. NCs will be asked to confirm in their National Technical Summary that all data that will be made publicly available to users have been anonymised in accordance with national and EU regulations (see http://ec.europa.eu/justice_home/fsj/privacy/).

Anonymised data from the ESS interview will be delivered to NSD, who act as data processor, via the web survey service provider Questback. Web survey data will be collected via Questback. These data will be handled in accordance with the requirements of the data controller (ESS ERIC HQ c/o City University London) regarding retention, access and storage of data. See (http://www.city.ac.uk/_media/internals/easy-edit-suite/wym/?a=66181 Section 9). Data will be stored at the ESS ERIC archive.

International Research

2.7 Is any part of the research taking place outside of England/Wales? (if not go to section 3)  YES ☒ NO ☐

If yes, please provide details of where it will take place

Recruitment of the CRONOS panel will be conducted by the three high quality survey agencies that will carry out fieldwork for the ESS Round 8: NatCen Social Research in the UK (including England, Scotland and Wales), Statistics of Estonia in Estonia, and the Public Opinion and Mass Communications Research Centre at University of Ljubljana in Slovenia.

2.7a Have you identified and complied with all local requirements concerning ethical approval & research governance?  YES ☒ NO ☐

2.7b Has the contractor/tenderer been required to identify and comply with all local requirements concerning ethical approval & research governance?  YES ☒ NO ☐
For 2.7a and 2.7b Please provide details

Survey agencies and National Coordinators are required to act according to national data protection laws and regulations. It will be the responsibility of the appointed survey agencies to ensure and confirm that all local requirements are identified and adhered to. They will have to report incidents and breaches to their national authorities. This requirement has been clear in the invitation to participate, and forms part of the contract between ESS ERIC and the appointed agencies in the UK and Estonia.

2.7c Please give contact details of a local person identified to field initial complaints so the participants can complain without having to write to or telephone the UK

A person has been appointed at each NC team to oversee fieldwork and deal with any queries/complaints arising. These persons are:

- Estonia: Indrek Soidla
- UK: Claire Tait
- Slovenia: May Dousak

*Please note many countries require local ethical approval or registration of research projects, further some require specific research visas. If you do not abide by the local rules of the host country you may run the risk of legal action within the host country.

3. Project Details

3.1 Provide the background, aim and explanation for the proposed research.

The Cross-National Online Survey panel (CRONOS) provides an exciting opportunity to significantly enhance cross-national survey capacity in the future by seeking to provide a ‘proof of concept’ for the establishment of a cross-national web panel. The web offers increased opportunities for more efficient, complex and cost-effective data collection, and many see the web as the mode of data collection for the future. However, web surveys are rarely representative of general population, and there remain serious challenges to achieving high quality data via this medium, especially for cross-national surveys of the general population. This study will investigate ways to overcome these challenges, and will evaluate the feasibility of establishing the first cross-national probability based web panel via existing cross-sectional surveys.

High-quality data collection for social surveys of the general population is becoming increasingly expensive and difficult to obtain. Face-to-face data collection is still regarded by many as the gold standard survey recruitment procedure, but its costs are driving many stakeholders into cheaper approaches like telephone, mail, or web. However, response rates in these alternative recruitment methods are consistently lower than in face-to-face recruited surveys and sample composition can be more skewed due to lack of coverage, lower contact rates or higher reluctance to certain modes. At the same time, web data collection is faster and can yield more accurate and reliable measurement than interviewer-administered procedures (see, for instance, Chang and Krosnick, 2010). Therefore, a platform combining face-to-face panel recruitment with posterior periodic online data collection could serve as a cost-effective way to obtain high quality data from a probability sample (see Krosnick et al, 2009 for an example from the USA).
Probability-based web survey panels have already been established in some European countries like the Netherlands, Germany and France and other countries such as Norway and the UK are considering following suit (Nicolaas et al, 2014). These panels have been recruited using various methods such as telephone, mail, or face-to-face (Callegaro et al, 2014) using samples specifically drawn for the panel, thus involving a large initial investment for their set up. In addition, the existing panels have been designed with national measurement requirements in mind rather than comparative considerations. Having a probability-based comparative web panel would provide a significant increase in the volume of high quality cross-national fieldwork available to European survey based infrastructures as well as for academic and policy researchers from across the ERA. Whilst the experimentation that is proposed in SERISS would take place alongside ESS Round 8, the findings would be applicable to a whole series of cross-national surveys conducted face-to-face in Europe and full details of the methodology recommended would be shared with the scientific community.

The Round 8 of the European Social Survey (ESS) will be used to test this recruitment strategy. Sample units that complete the face-to-face survey will be invited to participate in the CRONOS panel at the end of the interview. Respondents willing to participate in the panel will be asked to provide their email address where the invitations to web surveys will be sent. The respondents without internet access will be provided with an internet-enabled tablet to enable their participation in the web panel. They will be also provided with a training on how to complete the web survey. Respondents will be asked to complete 20 minutes web surveys every two months for a period of one year. As a token of appreciation for their time, they will receive a 5 Euro (£5 in the UK) unconditional incentive with every survey invitation.

Another aim of this project is the evaluation of the cross-national implementation challenges. As of now, there are no existing cross-national probability-base web panels. One of the main potential challenges is related to the central coordination and administration of the panel. CRONOS project will document and evaluate its experience of central panel administration in the report that will be made publicly available to wider research community. Further, this project will incorporate several experiments that aim at improving web survey methodology.

3.2 Provide a summary and brief explanation of the design, methodology and plan for analysis that you propose to use.

**Design and methodology**

The aim is to create a cross-national web panel data collection platform that allows obtaining high-quality data in a cost-efficient manner. For this pilot, three countries (Estonia, Slovenia and the UK), we aim to recruit at least 500 panellists aged 18 years and older from the resident population. Nationally representative samples will be used in each country, and respondent selection will be based on random sampling designs determined as part of the ESS Round 8 efforts. The CRONOS recruitment interviews will be carried out at the end of the standard ESS face-to-face interviews in each country. During the recruitment interview, interviewers will collect contact information and other details about recruitment (paradata) that will facilitate monitoring of the process.
Tablets will be bought centrally for respondents who do not have internet access for personal use, but will be distributed to panel members locally: the NC teams will be responsible for delivering the tablets to eligible respondents, and instructing them on how to securely complete the survey on these devices. Further, the NC teams will be responsible for handling and setting up contracts with internet providers in their country, so that the tablets are internet enabled. In each country, a free helpline system will be available for all panellists.

From February 2017 until December 2017, panel members will receive invitations to complete 20-minute web surveys every other month. Previous ESS research has shown that respondents in the UK and Estonia answered more than 5 ESS questions per minute, so in each wave, respondents will be asked to provide about 100 answers. The surveys will also include methodological tests with the following aims:

a) Evaluate procedures to enhance respondent answering behaviour. We will first observe whether panellists exhibit behaviours that are commonly used as indicators of low data quality (e.g., providing the same answer to a series of consecutive questions, answering very fast). Strategies to discourage such behaviours will be tested in subsequent waves. This quality assessment will inform design of strategies to encourage optimal responding behaviour, such as using interactive features, providing gentle requests for more attentive reading, or presenting messages that highlight the importance of answering accurately.

b) Question wording experiments. One of the advantages of using the web to collect data is the flexibility to easily implement experiments. Taking advantage of this opportunity, experiments will be carried out to evaluate questions from several existing cross-national surveys like the European Values Study, the European Quality of Life Survey, and the ESS.

c) Translation strategy experiments. As part of the SERISS project, an experiment will be conducted where different translation teams will be provided translation instructions that differ in the extent to which adaptation is allowed. A random half of the panel members will be asked the version of the questions translated when adaptation was discouraged, and the other half will answer the version translated when adaptation was encouraged. Data quality of the different question versions will be compared.

Analysis plans
The goal of this pilot is to examine the feasibility and cost effectiveness of recruiting panel members on the back of an existing probability-based national survey. For that purpose, we will evaluate recruitment procedures, measurement error, data quality and costs of building the CRONOS panel.

Planned analyses by the CRONOS research team include data quality analysis (item non-response, speeding, non-differentiation, etc), attrition analyses, and analysis of any experiments conducted in the panel. It will also include advanced statistical modelling that allow to better understand panellist participation, measurement error and data quality. The analyses will be carried out using data provided by respondents as well as paradata collected by interviewers and/or interviewing devices. Please see Appendix 1 (Data Handling Agreement) for details on how these data will be collected, transferred, processed, and stored.

While the panel is still underway, analyses will be conducted to allow for supervision of recruitment in each country. The team at ESS ERIC HQ will use these data to compare the actual recruitment rate to the projected recruitment rates,
and to identify potential strategies to better design recruitment strategies if recruitment is too low with respect to the projections.

Data will be made publicly available, therefore analysis of the data will be carried out by the CRONOS research team as well as by anyone who downloads the data from the ESS data archive.

3.3 Please explain your plans for dissemination, including whether participants will be provided with any information on the findings or outcomes of the project.

Two types of outputs will come out of this project:

1. Reports and publications. We will aim to publish methodological outputs describing the strategies designed and tested in this project and evaluating their success. The target journals will be journals specialised in survey methodology (such as Public Opinion Quarterly, the Journal of Official Statistics, Survey Research Methods, and Field Methods), journals specialised in the role of computers in social sciences (such as Social Science Computer Review), and other relevant social sciences journals.

   We plan to present findings from this project at various meetings that feature survey methodology: the European Survey Research Association conference, the American Association for Public Opinion Research annual meeting, and the Comparative Survey Design and Implementation workshop.

   Plans for dissemination include the following project deliverables (deliverables will be made publicly available on the SERISS website - www.seriss.eu).

D7.1.1 Summary of existing web panel strategies (M12)
10-page document summarising recruitment and panel maintenance strategies and lessons learned from existing web panels in Europe and the USA. Outline of feasible maintenance strategies. Produced by ESS ERIC HQ with input from advisory board.

D7.2.1 Data privacy and ethics in cross-national web panel data collection (M12)
5-page document with specifications and recommendations regarding data privacy and ethical considerations in recruitment and maintenance of web panel. Produced by ESS ERIC NSD with input from ESS ERIC HQ.

D7.3.1 Web recruitment design plans and experimental testing (M16)
15 to 20-page document outlining the design and plan for recruitment and testing. Produced by ESS ERIC HQ with input from ESS ERIC NSD.

D7.3.2 Fieldwork protocols (M18)
Protocols for recruitment strategies to be tested: respondent communications (interviewer scripts, letters, emails, etc.). Produced by ESS ERIC HQ with input from methodological consultant.

D7.3.3 Best strategies to recruit and maintain web panels (M45)
10-page report describing results from panel maintenance testing efforts: evaluation of different strategies tested. Produced by ESS ERIC HQ.

D7.3.4 Costs of web panel recruitment and maintenance (M46)
10-page report evaluating costs related to panel recruitment and maintenance. Produced by ESS ERIC HQ with input from ESS ERIC NSD.
D7.3.5 Blueprint for comparative web panel (M48)
20-page blueprint for a panel recruited via a large scale cross-national face-to-face survey. Produced by ESS ERIC HQ, NSD and UPF with input from methodological consultant and advisory board.

D7.4.1 Questions to be asked in web panel (M20)
Document with provisional list of about 600 questions to be included in the monthly web surveys (Feb 2017-Feb 2018) including description of criteria used to select them. Produced by ESS ERIC HQ.

D7.5.1 Database system for panel administration (M21)
Database system for panel administration completed and tested. Produced by ESS ERIC NSD.

D7.6.1 Web survey program platform (M16)
The web questionnaire program completed and tested. Produced by ESS ERIC HQ with input from NSD and UPF.

D7.7.1 Analysis of panellist responding behaviour (M24)
10-page report on quality assessment of panellist behaviour in the first completed survey. Produced by ESS ERIC UPF with input from HQ.

D7.7.2 Strategies to improve panellist responding behaviour (M38)
20-page report of experiments to test strategies to improve panellist behaviour. Produced by ESS ERIC UPF with input from HQ.

D7.8.1 Archived dataset (M48)
Archived dataset including all anonymous substantive and methodological data (including questionnaires and documentation). Produced by ESS ERIC NSD.

2. Datasets. Anonymised web interview data and related paradata will be made available free of charge at the end of the project from the ESS website. Data will be processed and curated by NSD in collaboration with the national teams and ESS ERIC HQ. Documentation related to the data will also be published together with the data. Any variables that are identified as causing risk of disclosure or identification will be available under especial license only.

3.4 What do you consider are the ethical issues associated with conducting this research and how do you propose to address them?

This work has the same ethical implications experienced by any other social surveys, and specific considerations related to online data collection. The key issues are voluntariness, informed consent, data protection, data privacy and confidentiality. For a description of how these issues will be addressed, please see the sections mentioned below.

A. Voluntariness  ➔ See section 4.5
B. Informed consent  ➔ See section 4.3
C. Data protection, data privacy and confidentiality.
   Longitudinal studies typically involve storing directly identifiable data in addition to their survey data. To be able to send invitations to complete surveys for the CRONOS panel, email addresses and other contact information will need to be provided at the end of the main ESS interview.
To ensure confidentiality, access to the personal contact information collected in the ESS interview will be limited to NSD researchers working for CRONOS and the national teams (limited to data from their own country). The role of the national teams is to provide support to panellists when necessary, to update their contact information should this change during the life of the CRONOS panel, deal with any complaints that panellists may have, send out incentives and mail announcements related to the survey. The remaining researchers from this project will not have access to panellists names, email addresses, physical addresses or telephone numbers.

Data will be key-coded in each country, and National Coordinators will be in charge of setting up the key for their own countries. ESS ERIC HQ will not have access to contact information of panellists, but given that name and email addresses will be stored in Questback to manage email invitations to the surveys, NSD would have the option to access those data if strictly necessary.

Specific files like the raw data or the sample design data can – in combination with interview data contain indirectly identifiable information. The ESS Archive at NSD is licensed by the Norwegian Data Inspectorate to store and process such data according to the Norwegian Personal Data Act and the 95/46/EC Data Protection Directive. Data that could possibly indirectly identify individuals will not be released to the public from the ESS website, but will be stored in accordance with NSD’s licence subject to the Norwegian Personal Data Act and the 95/46/EC Data Protection Directive, i.e. in a safe environment not connected to any internal or external networks. Deposit of raw data, and in some cases sample design data, requires an Agreement on handling of indirectly identifiable data between the ESS Archive and the Survey Agency. The agreements are administered by the ESS Archive at NSD.

Disclosure risks: In a longitudinal study, accumulation of data and observations of change across waves might lead to unique combinations that could give clues of an individual’s identity. In this sense, longitudinal studies have an increased risk of disclosure compared to cross-sectional research that needs to be addressed. For the CRONOS pilot panel, questions will be revised before fieldwork takes place. Following the same procedures used for the standard ESS interview, countries will check if any combination of questions could lead to the potential identification of respondents. These checks consists of reviewing low frequency responses (especially for demographic questions like job description and factual or behavioural questions), checking open text answers for potential disclosure risks,

If any potential for disclosure is identified, the questions will be excluded or the resulting data will be treated as potentially identifiable, and thus not included in the publicly released file. The data would be available under a special license.

D. Risks related to providing internet access.
Respondents without internet access for private use will be offered a tablet and internet access to be able to complete the surveys. Participants will be able to keep the tablet after the project is finished, but the internet connection will stop to be paid for at the end of the project. For respondents who do not participate in any of the three first waves, internet connection may be stopped after 6 months.
Risks related to using the internet will be addressed during the training session that the member of the team will have with each panel member who receives a tablet. Panel members who do not have email addresses will be invited to participate either by postal mail (where a shortened URL and a QR code are provided) or via an app installed in the tablet that will deliver the link to each wave.

The survey agencies and ESS National Coordinating Teams have demonstrated that they can address all of these ethical issues in their proposals.

3.5 How is the research intended to benefit the participants, third parties and/or local community?

This research will not directly benefit either the participants or their local communities. Its aim is to assess the feasibility of a cost-efficient approach to survey data collection of the general population. Data and results from the ESS in general are widely used by researchers and policy makers from across Europe and beyond.

3.6a Will invasive procedures (for example medical or surgical) be used?  
YES ☐ NO ☒

3.6b If yes, what precautions will you take to minimise any potential harm?  
N/A

3.7a Will intrusive procedures (for example psychological or social) be used?  
YES ☐ NO ☒

3.7b If yes, what precautions will you take to minimise any potential harm?  
N/A

3.8a In the course of the investigation might pain, discomfort (including psychological discomfort), inconvenience or danger be caused?  
YES ☐ NO ☒

3.8b If yes, what precautions will you take to minimise any potential harm?  
N/A

3.9 Please describe the nature, duration and frequency of the procedures?  
N/A

4. Information on participants

4.1a Planned number of participants:

The target sample size in CRONOS is calculated using an expected recruitment rate of 35%, based on existing evidence from projects in each country involving
web surveys. The ESS sample size varies by country (see also section 4.2), therefore we expect different numbers of panellists to participate in CRONOS for each country.

The expected number of recruited CRONOS panellists for each country is:
- UK: 800 panellists (assuming 2,280 ESS respondents)
- Estonia: 700 panellists (assuming 2,000 ESS respondents)
- Slovenia: 540 panellists (assuming 1,540 ESS respondents)

4.1b What is the age group and gender of the participants?

ESS respondents aged 18 or older will be invited to participate. Respondents of any gender will be invited to participate.

4.1c Explain how you will determine your sample size and the selection criteria you will be using. Specify inclusion and exclusion criteria. If exclusion of participants is made on the basis of age, gender, ethnicity, race, disability, sexuality, religion or any other factor, please explain and justify why.

The sample size reflects the need for a sample large enough to provide data from which we can make inferences to the population in each of the countries. The sample will include standard demographic characteristics from the ESS questionnaire. The only exclusion criterion is that respondents must be at least 18 years old to be invited to participate in the CRONOS panel.

4.2 How are the participants to be identified, approached and recruited, and by whom?

All participants will be identified, approached and recruited by the survey agency in each of country. Parts of this process (e.g., sampling) is carried out differently in each country:

- In Estonia, the survey agency (Statistics of Estonia) will use a population register to randomly select about 3,500 residents 15 or older. Names and addressed will be provided to interviewers, who will then attempt to contact these selected individuals to invite them to participate in the ESS interview.
- In Slovenia, the survey agency (CJMMK) will use a population register to randomly select about 1,900 residents 15 or older. Names and addressed will be provided to interviewers, who will then attempt to contact these selected individuals to invite them to participate in the ESS interview.
- In the UK, the survey agency (NatCen Social Research) will use a list of addresses (the Postal Address File) to randomly select about 4,600 addresses. Addresses will be assigned to interviewers, who will attempt to visit the household(s) at those addresses. Once contact with an adult household informant is made, the interviewer will ask the number of household members aged 15 or older, and will carry out a procedure for random selection of one of these individuals, who will be then invited to participate.

In all countries, after the ESS interview concludes, respondents 18+ will be invited to participate in a web panel survey project, and if they agree, they are asked for a contact email address (see Appendix 2 – CRONOS recruitment interview).
| Respondents without an email address will receive mail invitations with instructions on how to access the survey. |
4.3 Describe the procedure that will be used when seeking and obtaining consent, including when consent will obtained. Include details of who will obtain the consent, how are you intending to arrange for a copy of the signed consent form for the participants, when will they receive it and how long the participants have between receiving information about the study and giving consent.

There will be no written informed consent form for the people that are selected and agree to participate in the face-to-face survey. As is common in face-to-face surveys conducted in the UK and across Europe, consent will be obtained by the interviewer at the start of the recruitment process.

At the end of the ESS interview, respondents will be offered to participate in the CRONOS panel. The interviewer will explain the offer and hand a leaflet with all the necessary information (see Appendix 3). Respondents agreeing to participate in future surveys will be informed that their data will be shared with the data controller in the UK and the data processor in Norway, and that data will be transferred via central server of the web survey service provider Questback in Germany. Respondents will also be informed of their rights as participants as well as relevant information about how their data will be handled, project funding, and involved project partners.

In addition to the leaflet, interviewers will have a more detailed informed consent brochure (see Appendix 4), which will also be available on the project’s national website and at the beginning of the first web survey that respondents start completing. Interviewers will receive training on how this information should be conveyed to respondents, and ethical procedures are also covered in the CRONOS interviewer manual (Appendix 5).

Translations of all documents into the interview languages in each country will be organised by the national teams.

4.4 How will the participant's physical and mental suitability for participation be assessed? Are there any issues related to the ability of participants to give informed consent themselves or are you relying on gatekeepers on their behalf?

The respondents will be selected randomly from the resident adult population in each country and will have already completed the ESS interview. It is thus expected that the majority of people approached to participate will be able to give informed consent. If there are reasons why informed consent cannot be given the person will not be expected to complete the survey interview.

4.5 Are there any special pressures that might make it difficult to refuse to take part in the study? Are any of the potential participants in a dependent relationship with any of the investigators (for instance student, colleague or employee) particularly those involved in recruiting for or conducting the project?

The voluntary nature of the research will be highlighted to respondents by the survey agencies and/or survey interviewer.

Respondents will be informed that their participation is voluntary, and that it is their right to stop participation in the panel at any time. They will be informed that their agreement to take part in the interview in no way commits them to complete it, so they can skip any questions they do not wish to answer. In the web surveys, this will be ensured by allowing respondents to move from one question to another without providing an explicit answer. This information will
be in the respondent’s leaflet, in the full informed consent available to respondents for additional details, on the national website with information about the project mentioned on the leaflet and on further communications with the respondent. We do not foresee that respondents will feel pressured to take part. Respondents who receive a tablet and internet connection will be asked to sign an agreement that they received the tablet and that they agree to the use terms and conditions of the internet provider. Given that most of these respondents may not use the internet by choice, we do not expect the offer of a tablet to pressure respondents into participating in the study.

4.6 Will the participant’s doctor be notified?  
YES ☐ NO ☒ (If so, provide a sample letter to the subject’s GP.)

4.7 What procedures are in place for the appropriate referral of a study participant who discloses an emotional, psychological, health, education or other issue during the course of the research or is identified by the researcher to have such a need?

It is not anticipated that such needs will be disclosed during the course of a general survey interview that does not cover sensitive topics.

4.8 What steps will be taken to safeguard the participants from over-research? (I.e. to ensure that the participants are not being used in multiple research project.)

The selected survey agencies will be required to adhere to Declaration on Ethics of the International Statistical Institute and are to be members of ESOMAR and/or be ISO 20252:2012 certified. In addition, the agencies and National Coordinators are required to adhere to national laws and regulations. All of the agencies involved have been required to address this issue in previous work with the ESS.

Participants will be selected from the general population, so there is no reason to believe that respondents are being used in multiple research projects.

4.9 Where will the research take place?

The study will take place in three countries (UK, Slovenia and Estonia). The initial ESS face-to-face interview will take place in the respondent’s home. Respondents will be encouraged to fill in the web survey at home but it will be also possible for them to complete the survey in other places with internet connection (e.g. on their mobile phones).

4.10 What health and safety issues, if any, are there to consider?

There are no health and safety issues to consider.

4.11 How have you addressed the health and safety concerns of the participants, researchers and any other people impacted by this study? (This includes research involving going into participants’ homes.)

N/A
4.12 Has a risk assessment been undertaken for the project?

YES ☐ NO ☒

4.13 Are you offering any incentives or rewards for participating?  YES ☐ NO ☒
If yes please give details

Respondents will be offered about €5 (£5 in the UK) as a token of appreciation for their participation in the project. This incentive will be unconditional and all respondents invited to the web survey will receive it together with the invitation to participate in a wave. The specific way in which this reward will be distributed will vary across countries:

- In Estonia, respondents will receive a shopping card
- In Slovenia, respondents will be given a shopping card
- In the UK, respondents will be sent an online voucher

In addition, methodological experiments may be carried out to test innovative ways to maximise participation by offering additional small incentives, similar to what other online panels in Europe do. If these experiments are deemed necessary, the Ethics Committee will be informed of the design of the experiment and the procedures to implement it.

5. Vulnerable groups

5.1 Will persons from any of the following groups be participating in the study? (if not go to section 6)

<table>
<thead>
<tr>
<th>Group</th>
<th>☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adults without capacity to consent</td>
<td></td>
</tr>
<tr>
<td>Children under the age of 18</td>
<td></td>
</tr>
<tr>
<td>Those with learning disabilities</td>
<td></td>
</tr>
<tr>
<td>Prisoners</td>
<td></td>
</tr>
<tr>
<td>Vulnerable adults</td>
<td></td>
</tr>
<tr>
<td>Young offenders (16-21 years)</td>
<td></td>
</tr>
<tr>
<td>Those who would be considered to have a particular dependent relationship with the investigator (e.g. those in care homes, students, employees, colleagues)</td>
<td>☐</td>
</tr>
</tbody>
</table>

5.2 Will you be recruiting or have direct contact with any children under the age of 18?

YES ☐ NO ☒

5.2a If yes, please give details of the child protection procedures you propose to adopt should there be any evidence of or suspicion of harm (physical, emotional or sexual) to a young person. Include a referral protocol identifying what to do and who should be contacted.

N/A

5.2b Please give details of how you propose to ensure the well-being of the young person, particularly with respect to ensuring that they do not feel pressured to take part in the research and that they are free to withdraw from the study without any prejudice to themselves at anytime.

N/A
5.3 Will you be recruiting or have direct contact with vulnerable adults? YES ☐ NO ☒

5.3a If yes, please give details of the protection procedures you propose to adopt should there be any evidence of or suspicion of harm (physical, emotional or sexual) to a vulnerable adult. Include a referral protocol identifying what to do and who should be contacted.

N/A

5.3b Please give details of how you propose to ensure the well-being of the vulnerable adult, particularly with respect to ensuring that they do not feel pressured to take part in the research and that they are free to withdraw from the study without any prejudice to themselves at anytime. You should indicate how you intend to ascertain that person’s views and wishes.

N/A

5.4 Will you be recruiting any participants who fall under the Mental Capacity Act 2005? YES ☐ NO ☒

If so you MUST get approval from an NHS NRES approved committee (see separate guidelines for more information).

6. Data Collection

6.1a Please indicate which of the following you will be using to collect your data

Please tick all that apply

<table>
<thead>
<tr>
<th>Questionnaire</th>
<th>☒</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interviews</td>
<td>☒</td>
</tr>
<tr>
<td>Participant observation</td>
<td></td>
</tr>
<tr>
<td>Focus groups</td>
<td></td>
</tr>
<tr>
<td>Audio/digital-recording interviewees or events</td>
<td></td>
</tr>
<tr>
<td>Video recording</td>
<td></td>
</tr>
<tr>
<td>Physiological measurements</td>
<td></td>
</tr>
<tr>
<td>Quantitative research (please provide details)</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

Please give details

Six 20-minute web questionnaires will be used. The questions will focus on attitudes and values, and we will use questions from established survey projects like the European Values Study and the European Quality of Life Survey. We will avoid sensitive questions and open-ended questions, to minimise risk for disclosure. Before questionnaires are finalised, NC teams will assess whether the questions pose any disclosure risks in their countries. If risks are identified, questions will be either deleted or treated as contact information variables.

As there will be a gap of 5 months between the start of the ESS8 fieldwork (September 2016) and the first CRONOS web survey (February 2017), in order to keep the respondents engaged that were recruited at the earlier stage of fieldwork period, a short 10-minutes ‘welcome’ web survey will be sent to the participants that were recruited before November 2016. The welcome survey serves more
than one purpose. In addition to keeping respondents engaged, the welcome survey serves as a learning and training process for panel members. The questions will include questions from previous ESS rounds that were interesting to researchers as well as respondents. Other questions will try to evaluate reliability of ESS questions, which is one of the goals of the panel questions.

The full questionnaires for all waves have not been finalised. As these are completed, copies of the questionnaires will be sent to the Ethics Committee.

### 6.1b What steps, if any, will be taken to safeguard the confidentiality of the participants (including companies)?

All of the survey agencies and ESS National Coordinating (NC) teams will be required to outline how they will safeguard the confidentiality of the respondents in their proposal. The survey agencies in each country will also be subject to the legal requirements in that country. After the completion of data collection, the survey agencies and ESS NC teams will provide data to the ESS ERIC.

Researchers from ESS ERIC HQ will never know the names or addresses of individual respondents and the final data files will not contain any information that would allow the respondents to be identified. Data will be kept separate from survey answers during the life of the panel, although the two could potentially be linked by the data processor NSD and by the national teams (for their own country) using Questback. Contact data will be separated and eliminated as soon as the project is finalised, and data will be used for statistical purposes only. The web survey data can be linked to the anonymised ESS8 face-to-face interview data via respondents ID number. If the web survey data compromises anonymity when combined with the interview data, the web survey data will be made further aggregated to ensure the anonymity, or those variables will be eliminated altogether from the publicly available files and released under a special license held at NSD.

### 6.1c If you are using interviews or focus groups, please provide a topic guide

N/A
### 7. Confidentiality and Data Handling

#### 7.1a Will the research involve:

- **complete anonymity of participants** (i.e. researchers will not meet, or know the identity of participants, as participants, as participants are a part of a random sample and are required to return responses with no form of personal identification)?

- **anonymised sample or data** (i.e. an irreversible process whereby identifiers are removed from data and replaced by a code, with no record retained of how the code relates to the identifiers. It is then impossible to identify the individual to whom the sample of information relates)?

- **de-identified samples or data** (i.e. a reversible process whereby identifiers are replaced by a code, to which the researcher retains the key, in a secure location)?

- **subjects being referred to by pseudonym in any publication arising from the research**?

- **any other method of protecting the privacy of participants**?
  (e.g. use of direct quotes with specific permission only; use of real name with specific, written permission only)

  Please give details of ‘any other method of protecting the privacy of participants’ is used.

#### 7.1b Which of the following methods of assuring confidentiality of data will be implemented?

*Please tick all that apply*

- **data to be kept in a locked filing cabinet**

- **data and identifiers to be kept in separate, locked filing cabinets**

- **access to computer files to be available by password only**

- **storage at City University London (Host institution of ESS ERIC HQ)**

- **stored at other site**

  If stored at another site, please give details

  The anonymised data will be stored at City University London and will also be deposited with the ESS Data Archive at NSD in Norway.

  Data will be stored securely at the Questback server in Germany; ESS ERIC HQ researchers can access de-identified data and National Coordinators all data for their country. Details for the thorough procedures for secure storage implemented by Questback, NSD, and all the CRONOS partners are described in the Data Handling Agreement (see Appendix 1), including storage, processing and transfer of data.

  National Coordinators will be asked to sign the Data Handling Agreement.

#### 7.1c Who will have access to the data?

Access by named researcher(s) only  ☑

Access by people other than named researcher(s)  ☑

*If people other than the named researcher(s), please explain by whom and for what purpose*

  During the project (Sep. 2016 – Jun. 2019)
  - ESS ERIC HQ will have access to all anonymised data.
  - NC teams will have access to all data in their country.
Anonymised data will be shared with the researchers from Universitat Pompeu Fabra (UPF) and GESIS Mannheim who will be involved in the analysis of experiments conducted as part of CRONOS project. The main purpose for this is to analyse the data so that reports and manuscripts of scientific articles can be produced.

Anonymised data may also be shared with other project partners mentioned at the beginning of this document as well as with other academics that are involved in question and web survey design. The main purpose for this is collaboration at the analysis stage.

After the end of project:
All contact data will be deleted. Anonymised data will be made available to wider research community and interested data users on request.

7.2a Is the data intended for reuse or to be shared as part of longitudinal research?    YES ☒ NO ☐

7.2b Is the data intended for reuse or to be shared as part of a different/wider research project now, or in the future?    YES ☒ NO ☐

7.2c Does the funding body (e.g. ESRC) require that the data be stored and made available for reuse/sharing?    YES ☒ NO ☐

7.2d If you have responded yes to any of the questions above, explain how you are intending to obtain explicit consent for the reuse and/or sharing of the data.

Interviewers are asked to convey the following information to respondents (see Appendix 5):

‘The data will be used for scientific purposes, following strict data protection rules. Your participation is voluntary, you can decide whether or not to accept each invitation, and you can withdraw from the study any time you wish.’

In addition, interviewers have a help screen of FAQs with additional information about how data will be treated, especially contact information, and the support of the leaflet to explain how data will be treated.

Finally, the interviewer manual instructs interviewers to point to the relevant section of the leaflet, which expands on this information:

‘We follow very strict data protection and confidentiality regulations, and we are required by law to guarantee confidentiality to you.

Your data will only be used to produce research. The answers from all participants will be summarised, and the results will be published in anonymised form using statistical analyses. This means that individual participants cannot be identified. To maximise the benefit that can be derived from this project, we will publish the anonymised data for other registered researchers to use. However, your data cannot be used for commercial purposes.'
Your contact data (like your name and email address) will not be passed to anyone outside of the research team. It will be securely stored, and we will not connect your name with your responses at any time. Your information will be handled in strict confidence according to scientific guidelines and privacy requirements. Your email address will only be used by us to contact you to provide a web link to each survey. All your contact information will be deleted at the end of the project in June 2019.'

7.3 Retention and Destruction of Data
7.3a Does the funding body or your professional organisation/affiliation place obligations or recommendations on the retention and destruction of research data?
YES ☒ NO ☐

If yes, what are your affiliations/funding and what are the requirements? (If no, please refer to City University London guidelines (ESS ERIC host institution) on retention.)

City University London recommends the retention of research data for 10 years

7.3b How long are you intending to keep the data?

The contact information will be deleted by the end of the project, in June 2019.

All other non-identifiable data will be stored at Questback initially and then passed to the ESS Data Archive based at NSD – Norwegian Centre for Research Data in Norway for secure archiving. There is no intention to destroy the data, which will be anonymised. The National Coordinators will check the anonymity of the final files that will be made publicly available. Like data from other pre-testing efforts and methodological experiments, they may well be useful for re-analysis in the future.

7.3c How are you intending to destroy the data after this period?

8. Curriculum Vitae

<table>
<thead>
<tr>
<th>NAME:</th>
<th>Ana Villar</th>
</tr>
</thead>
<tbody>
<tr>
<td>CURRENT POST (from)</td>
<td>2012</td>
</tr>
<tr>
<td>Title of Post:</td>
<td>Research Fellow – Centre for Comparative Social Surveys</td>
</tr>
<tr>
<td>Department:</td>
<td>Sociology</td>
</tr>
<tr>
<td>Is your post funded for the duration of this proposal?</td>
<td>Yes</td>
</tr>
<tr>
<td>Funding source of post (if not City University London)</td>
<td>ESS ERIC 2015-2017</td>
</tr>
</tbody>
</table>

Please give a summary of your training/experience that is relevant to this research project

**Academic Qualifications:**

2009 **PhD**, Survey Research and Methodology, University of Nebraska-Lincoln.  

2004 **MSc**, Quantitative Analysis in Social Sciences, Catholic University of Brussels.  
Master with Distinction.
Research Positions:


Research Positions:

2012-Present: Research Fellow at the Centre for Comparative Social Sciences, City University London.

2009-2011: Social Science Research Associate, Institute for Research in the Social Sciences, Stanford University.


1998-2002: Research Assistant. Consumer Psychology Research Centre, University of Santiago de Compostela

NAME: Rory Fitzgerald

CURRENT POST (from) 2012

Title of Post: ESS ERIC Director – Centre for Comparative Social Surveys

Department: Sociology

Is your post funded for the duration of this proposal? Yes

Funding source of post (if not City University London) ESS ERIC 2015-2017

Please give a summary of your training/experience that is relevant to this research project

Academic Qualifications:

2016 PhD (Sociology), City University London.
1996 MSc (Econ) European Politics, University of Wales
1995 BSc (Econ) Politics, University of Wales

Research Positions:

10/2012 - to date ESS ERIC Director City University London
01/2012 – 10/2012 CCSS Acting Director, City University London
2007 - 2011 CCSS Deputy Director, City University London
2004 - 2007 CCSS, Senior Research Fellow, City University London
1999 - 2004 Researcher/Senior Researcher/Research Director, National Centre for Social Research

9. Declarations by Investigator(s)

- I certify that to the best of my knowledge the information given above, together with any accompanying information, is complete and correct.
- I have read and accept the procedures for data storage and retention as set out by City University London. All data handled by the ESS ERIC research team will be anonymised prior to receipt.
- I have attempted to identify all risks related to the research that may arise in conducting the project.
- I understand that no research work involving human participants or data can commence until full ethical approval has been given.
- I have read the ISI Code of Professional Ethics and accept the responsibility for the conduct of the procedures set out in the attached application.
Adherence to the ISI Declaration of Professional Ethics

<table>
<thead>
<tr>
<th>Principal Investigator(s)</th>
<th>Print Name</th>
<th>Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ana Villar</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rory Fitzgerald</td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td>18/08/2016</td>
<td></td>
</tr>
</tbody>
</table>
Researcher’s checklist for compliance with the Data Protection Act, 1998

This checklist is for use alongside the Guidance notes on Research and the Data Protection Act 1998. Please refer to the notes for a full explanation of the requirements.

You may choose to keep this form with your research project documentation so that you can prove that you have taken into account the requirements of the Data Protection Act.

<table>
<thead>
<tr>
<th>REQUIREMENT</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A Meeting the conditions for the research exemptions:</strong></td>
<td></td>
</tr>
<tr>
<td>1 The information is being used exclusively for research purposes.</td>
<td>X Mandatory</td>
</tr>
<tr>
<td>2 You are not using the information to support measures or decisions relating to any identifiable living individual.</td>
<td>X Mandatory</td>
</tr>
<tr>
<td>3 You are not using the data in a way that will cause, or is likely to cause, substantial damage or substantial distress to any data subject.</td>
<td>X Mandatory</td>
</tr>
<tr>
<td>4 You will not make the result of your research, or any resulting statistics, available in a form that identifies the data subject.</td>
<td>X Mandatory</td>
</tr>
<tr>
<td><strong>B Meeting the conditions of the First Data Protection Principle:</strong></td>
<td></td>
</tr>
<tr>
<td>1 You have fulfilled one of the conditions for using personal data, e.g. you have obtained consent from the data subject. Indicate which condition you have fulfilled here:</td>
<td>X Mandatory</td>
</tr>
</tbody>
</table>

Informed consent to participate in the survey will be obtained for all participants.

2 If you will be using sensitive personal data you have fulfilled one of the conditions for using sensitive personal data, e.g. you have obtained explicit consent from the data subject. Indicate which condition you have fulfilled here:

3 You have informed data subjects of:
   i. What you are doing with the data;
   ii. Who will hold the data;
   iii. Who will have access to or receive copies of the data.

4 You are excused from fulfilling B3 only if all of the following conditions apply:
   i. The data has been obtained from a third party;
   ii. Provision of the information would involve disproportionate effort;
   iii. You record the reasons for believing that disproportionate effort applies, please also give brief details here:

N.B. Please see the guidelines above when assessing disproportionate effort.
C  **Meeting the conditions of the Third Data Protection Principle:**

<table>
<thead>
<tr>
<th></th>
<th>Requirement</th>
<th>Mandatory</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>You have designed the project to collect as much information as you need for your research but not more information than you need.</td>
<td>X</td>
</tr>
</tbody>
</table>

D  **Meeting the conditions of the Fourth Data Protection Principle:**

<table>
<thead>
<tr>
<th></th>
<th>Requirement</th>
<th>Mandatory</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>You will take reasonable measures to ensure that the information you collect is accurate.</td>
<td>X</td>
</tr>
<tr>
<td>2</td>
<td>Where necessary you have put processes in place to keep the information up to date.</td>
<td>X</td>
</tr>
</tbody>
</table>

E  **Meeting the conditions of the Sixth Data Protection Principle:**

<table>
<thead>
<tr>
<th></th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>You have made arrangements to comply with the rights of the data subject. In particular you have made arrangements to:</td>
</tr>
<tr>
<td></td>
<td>i. Inform the data subject that you are going to use their personal data.</td>
</tr>
<tr>
<td></td>
<td>ii. Stop using an individual's data if it is likely to cause unwarranted substantial damage or substantial distress to the data subject or another.</td>
</tr>
<tr>
<td></td>
<td>iii. Ensure that no decision, which significantly affects a data subject, is based solely on the automatic processing of their data.</td>
</tr>
<tr>
<td></td>
<td>iv. Stop, rectify, erase or destroy the personal data of an individual, if necessary.</td>
</tr>
</tbody>
</table>

Please give brief details of the measures you intend to take here:

*Personal data will be collected from the respondent but not used in any way relating to the individual or in such a way that a particular individual could be identified.*

*All data analysis and decisions resulting therefrom will be statistical analyses performed on anonymised datasets.*

*Personal data will not be shared outside of the NC team and programmers team at NSD.*
Ethics Form Appendix 2. [ESS Web] recruitment questions

Step 1 Checking age eligibility (18+)

[PROGRAMMER:

- If the respondent was born before 1998 (yrbrn < 1998), display question R2a.
- If the respondent was born after 1998 (yrbrn > 1998), display the message:

  This respondent is not eligible to participate in the [ESS Web].
  Please proceed as you normally would at the end of the interview.

- If the respondent was born in 1998, please display question R1a.]

<table>
<thead>
<tr>
<th>R1a</th>
<th>How old are you today?</th>
</tr>
</thead>
<tbody>
<tr>
<td>17 years old</td>
<td>1 → Proceed as you normally would at the end of the interview</td>
</tr>
<tr>
<td>18 years old or older</td>
<td>2 → Go to R2a</td>
</tr>
</tbody>
</table>

- If information about year of birth is missing, please display question R1b.

<table>
<thead>
<tr>
<th>R1b</th>
<th>Are you 18 or older?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>1 → Go to R2a</td>
</tr>
<tr>
<td>No</td>
<td>2 → Proceed as you normally would at the end of the interview</td>
</tr>
<tr>
<td>Refusal</td>
<td>7</td>
</tr>
</tbody>
</table>

Step 2 Identifying respondents who need an internet-enabled tablet

[DISPLAY IF A2 (NETUSOFT) = 2, 3, 4 or 5]
R2a  Earlier in the interview, you said you use the internet [TEXT Fill based on answer to NETUSOFT]. Do you have access to devices with internet connection for personal use?

<table>
<thead>
<tr>
<th>Answer</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>1 → Go to R2c</td>
</tr>
<tr>
<td>No</td>
<td>2</td>
</tr>
<tr>
<td>Refusal</td>
<td>7 → Go to Step 3</td>
</tr>
<tr>
<td>Don’t know</td>
<td>8</td>
</tr>
</tbody>
</table>

[DISPLAY IF A2 (NETUSOFT) = 1]

Earlier in the interview, you said you never use the internet. [ASK IF A2 = 1 OR 7 OR 8]

R2b  Do you have access to devices with internet connection for personal use, even if you don’t use them?

<table>
<thead>
<tr>
<th>Answer</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>1 → Go to R2c</td>
</tr>
<tr>
<td>No</td>
<td>2</td>
</tr>
<tr>
<td>Refusal</td>
<td>7 → Go to Step 3</td>
</tr>
<tr>
<td>Don’t know</td>
<td>8</td>
</tr>
</tbody>
</table>

[ASK IF R2a = 1 OR R2b = 1]

R2c  Which devices are available for you to go online? (INTERVIEWER: Mark all devices the respondent spontaneously mentions)

<table>
<thead>
<tr>
<th>Device</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smartphone</td>
<td>1</td>
</tr>
<tr>
<td>Tablet</td>
<td>2</td>
</tr>
<tr>
<td>Laptop</td>
<td>3</td>
</tr>
<tr>
<td>Desktop computer</td>
<td>4</td>
</tr>
<tr>
<td>Other</td>
<td>5</td>
</tr>
<tr>
<td>None</td>
<td>6</td>
</tr>
<tr>
<td>Refusal</td>
<td>77</td>
</tr>
<tr>
<td>Don’t know</td>
<td>88</td>
</tr>
</tbody>
</table>

Go to Step 3
Step 3 Inviting respondents to join the [ESS Web] panel

[PROGRAMMER: DISPLAY FOR ALL RESPONDENTS]
We would like to invite you to join a new research panel study tracking the values and opinions of people in [COUNTRY].
If you join the study, you will be invited to take part in 20-minute surveys every couple of months for about a year. You will receive a [NC: ENTER AMOUNT voucher] for every survey to which you are invited to participate, as a token of our appreciation. The surveys can be completed online, and you can decide the best time to complete them. By joining the panel you will represent your generation’s views on a wide range of social issues.
The data will be used for scientific purposes, following strict data protection rules.
Your participation is voluntary, you can decide whether or not to accept each invitation, and you can withdraw from the study any time you wish.

[PROGRAMMER: DISPLAY ONLY IF NO INTERNET ACCESS FOR PERSONAL USE R2a = 2, 7, 8 OR R2b = 2, 7, 8:]
[To enable your participation, we will provide you with a free, easy-to-use tablet. If you agree to participate, a staff member from [NC: ENTER NAME OF ORGANISATION WHO WILL DELIVER THE TABLET] will contact you in January to bring you the device and explain how to use it to complete the survey. You will also have access to help and support when you need it.]

INTERVIEWER: [NC: Enter instruction] to see answers to FAQs.

<table>
<thead>
<tr>
<th>R3a Would you be interested in participating in this study?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>Unsure/Hesitant</td>
</tr>
<tr>
<td>Needs time to think</td>
</tr>
<tr>
<td>Other</td>
</tr>
<tr>
<td>No</td>
</tr>
</tbody>
</table>
Step 4. Collecting contact data

PROGRAMMER:
- If the respondent has internet access (R2a = 1 or R2b = 1), go to step 4a.
- If the respondent needs a tablet (R2a = 2,7,8 or R2b = 2,7,8), go to step 4b.

Step 4a Collecting contact data for respondents who have internet access

INTRO TO REQUEST FOR CONTACT DATA
[Display if R3a = 1 & (R2a = 1 or R2b = 1)]
R4_yes1 We are very grateful for your willingness to participate. To be able to send you the link to the web surveys and the [NC: ENTER INCENTIVE], we need your email address. We will only use your email address for these contact purposes and will not give it to anyone outside the study.

INTERVIEWER: If you haven’t done it yet, give the respondent the leaflet about the panel study.

[Display if R3a > 1 & (R2a = 1 or R2b = 1)]
R4_uns1 If you are not sure yet, we can send you the invitation to the first survey and you can decide then whether you want to participate. To be able to send you the link to the web surveys and the [NC: ENTER INCENTIVE], we need your email address. We will only use your email for these contact purposes and will not give it to anyone outside the study. If you decide that you don’t want to participate, you can just ignore our email or contact us to let us know you don’t want to receive any more invitations.

INTERVIEWER: If you haven’t done it yet, give the respondent the leaflet about the panel study.
**Research Ethics Application (adapted for ESS ERIC)**

### R4a_1 Do you have an email address where we could send you the invitation link to the surveys and the [NC: ENTER INCENTIVE AMOUNT]?

(INTERVIEWER: If respondent is reluctant to give email, emphasise that contact details will be treated confidentially, not shared with anyone outside project, and not linked to answers at any time. An email address is essential for participation in the project.)

<table>
<thead>
<tr>
<th>Response</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Go to R4b_1</td>
</tr>
<tr>
<td>Does not have email address</td>
<td></td>
</tr>
<tr>
<td>Prefers not to give email address</td>
<td></td>
</tr>
<tr>
<td>Does not know email address</td>
<td>Go to R4e_1</td>
</tr>
<tr>
<td>Other</td>
<td>Describe issue</td>
</tr>
</tbody>
</table>

### R4b_1 What is your email address?

(INTERVIEWER: ENTER EMAIL ADDRESS)

[ADD BOX FOR 100 CHARACTERS]

### R4c_1 Can you please repeat the email address to make sure I typed it correctly?

(INTERVIEWER: ENTER EMAIL ADDRESS)

[ADD BOX FOR 100 CHARACTERS]

[DISPLAY IF R4b_1 ≠ R4c_1]

### R4d_1 It seems like I made a mistake in typing. Would you mind repeating the email just once more?

[ADD BOX FOR 100 CHARACTERS]

### R4e_1 Could we please ask you for a mobile telephone number just in case we need to contact you regarding your participation in the study?

<table>
<thead>
<tr>
<th>Response</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>ENTER TELEPHONE NUMBER</td>
</tr>
<tr>
<td>Does not have mobile</td>
<td></td>
</tr>
<tr>
<td>Does not know mobile</td>
<td></td>
</tr>
<tr>
<td>Refusal</td>
<td></td>
</tr>
</tbody>
</table>

### R4f_1 Is there another telephone number where you can be reached?

<table>
<thead>
<tr>
<th>Response</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>ENTER TELEPHONE NUMBER</td>
</tr>
<tr>
<td>Does not have any phone</td>
<td></td>
</tr>
<tr>
<td>Does not know number</td>
<td></td>
</tr>
<tr>
<td>Refusal</td>
<td></td>
</tr>
</tbody>
</table>

⇒ GO TO STEP 5
Step 4b Collecting contact data for respondents who need tablet

[Display if R3a = 1 & (R2a = 2,7,8 or R2b = 2,7,8)]

R4e_2 We are very grateful for your willingness to participate. Do you have a mobile number we could contact you on so that we can arrange an appointment to bring you the tablet and show you how to use it?

INTERVIEWER: If you haven’t done it yet, give the respondent the leaflet about the panel study

<table>
<thead>
<tr>
<th>Yes</th>
<th>ENTER TELEPHONE NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
</tbody>
</table>

[IF (R4e_2 = 2 or 7 or 8) & (R2a = 2,7,8 or R2b = 2,7,8)]

R4f_2 Is there another telephone number where you can be reached?

<table>
<thead>
<tr>
<th>Yes</th>
<th>ENTER TELEPHONE NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
</tbody>
</table>

Display if R3a > 1 & (R2a = 2,7,8 or R2b = 2,7,8)

R4_uns2 I understand you are not sure yet. This leaflet explains more about the panel study and what is involved. If you change your mind you can contact [NC: ENTER NAME OF AGENCY] on the Freephone number and they can arrange for someone to bring you the tablet and show you how to use it.

INTERVIEWER: If you haven’t done it yet, give respondent the leaflet about the panel study and point out the Freephone number. Then complete step 5.

⇒ GO TO STEP 5
### Step 5: Estimating reluctance to participate (ALL RESPONDENTS)

#### COMPLETE THIS SECTION FOR ALL RESPONDENTS

**PROGRAMMER: COLLECT TIME AND DATE**

<table>
<thead>
<tr>
<th>R5a</th>
<th>How likely do you think it is that the respondent will participate in [ESS Web]?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Will most likely not participate</td>
</tr>
<tr>
<td>2</td>
<td>Will probably not participate</td>
</tr>
<tr>
<td>3</td>
<td>Will probably participate</td>
</tr>
<tr>
<td>4</td>
<td>Will most likely participate</td>
</tr>
<tr>
<td>5</td>
<td>Refusal</td>
</tr>
<tr>
<td>6</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

#### COMPLETE THIS SECTION FOR ALL RESPONDENTS

**PROGRAMMER: COLLECT TIME AND DATE**

<table>
<thead>
<tr>
<th>R5b</th>
<th>Record any concerns or reasons for refusal to participate in the panel study that the respondent mentioned (mark all that apply). [If necessary, ask: May I ask why you do not wish to participate?]</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>No internet/slow or spotty connection</td>
</tr>
<tr>
<td>02</td>
<td>Does not want to use data allowance</td>
</tr>
<tr>
<td>03</td>
<td>No experience with internet/computers</td>
</tr>
<tr>
<td>04</td>
<td>Does not like computers</td>
</tr>
<tr>
<td>05</td>
<td>Too old to use computers</td>
</tr>
<tr>
<td>06</td>
<td>Suspicious of our offer (scam)</td>
</tr>
<tr>
<td>07</td>
<td>Worries data will be shared outside project</td>
</tr>
<tr>
<td>08</td>
<td>Does not want contact data sent abroad</td>
</tr>
<tr>
<td>09</td>
<td>Privacy concerns with web</td>
</tr>
<tr>
<td>10</td>
<td>Already did F2F interview, enough</td>
</tr>
<tr>
<td>11</td>
<td>Did not enjoy completing ESS</td>
</tr>
<tr>
<td>12</td>
<td>Does not like survey subject</td>
</tr>
<tr>
<td>13</td>
<td>Does not know subject, too difficult</td>
</tr>
<tr>
<td>14</td>
<td>Physical constraint</td>
</tr>
<tr>
<td>15</td>
<td>No time, too busy</td>
</tr>
<tr>
<td>16</td>
<td>Not interested</td>
</tr>
<tr>
<td>17</td>
<td>Co-operated too often</td>
</tr>
<tr>
<td>18</td>
<td>Too many survey requests</td>
</tr>
<tr>
<td>19</td>
<td>Previous bad experience</td>
</tr>
<tr>
<td>20</td>
<td>Surveys are a waste of money/time</td>
</tr>
<tr>
<td>21</td>
<td>Moving out of country</td>
</tr>
<tr>
<td>22</td>
<td>Other (specify)</td>
</tr>
<tr>
<td>55</td>
<td>No specific concerns</td>
</tr>
<tr>
<td>66</td>
<td>Not applicable</td>
</tr>
<tr>
<td>88</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>
RECROITMENT EFFORT SUMMARY – TO BE ASKED TOGETHER
WITH THE ESS QUESTIONS ABOUT THE INTERVIEW
Interviewer: please complete these questions right after you leave the household.

S1a  Did you get to explain the [ESS Web] study to the respondent?
Yes 1
No  2

DISPLAY IF S1a = 2
S1b  Why not?
The respondent cut me off 1
The respondent seemed too annoyed, I decided not to 2
I did not feel safe and I decided to leave 3
It was too late to attempt recruitment 4
Other (explain) 5

DISPLAY IF S1a = 1
S2  Did the respondent agree to participate?
Yes 1
No, respondent needs to think about it 2
No, respondent does not want to participate 3

DISPLAY IF S2 = 1
S3  Was the respondent hesitant before agreeing to participate?
Yes 1
No  2
DISPLAY FOR ALL RESPONDENTS
PROGRAMMER: COLLECT TIME AND DATE
S4  Was the respondent offered the tablet?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

DISPLAY IF S4 = 1
PROGRAMMER: COLLECT TIME AND DATE
S5  Did the respondent accept the tablet offer?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

S6  Using your own words, how would you describe the respondent’s general response to the invitation? (Please do not mention names or other identifiable information)
FAQs for interviewers to be available as a help screen.

• **What is the [ESS Web]?** A panel of carefully selected people who we will be approaching to give their views on a wide range of topical social issues.

• **Who funds the research?** The research is funded by the European Union Research and Innovation programme and is part of a larger project (Europe’s Research Infrastructures in the Social Sciences) which is being carried out across Europe.

• **What topics does it cover?** A broad range of topical social issues on which everyone can have a view, such as family life, work, health, the media and politics.

• **When will the study start?** You should receive the first invitation in February. The invitation will contain a link to the survey.

• **What does it involve?** Typically people will be invited to participate in a 20 minute survey online every couple of months until February 2018. They can of course decide at the time whether they want to participate.

• **What if they do not have access to the internet at home?** We want everybody to have the opportunity to take part in the panel study. Therefore, we will be providing an internet enabled device to those who do not have access to the internet. [If respondent asks: The device will be yours to keep after the study is over]. Respondents will be contacted again to arrange delivery of the device and training.

• **Will they be paid?** Those invited to take part in a survey will receive an unconditional incentive of [£5/€5]—this means that, as long as they continue to participate, they will receive the [£5/€5] with each invitation we send.

• **Confidentiality?** All answers will be kept strictly confidential. Email contact details will be securely sent to the Norwegian Centre for Research Data and Questback based in Germany. These two organisations are implementing the online panel element of the survey. Contact details will not be passed to any other organisation.

• **Why can’t we give them the tablet now?** It would be too risky to travel around with a large number of tablets. Also, we do not know exactly how many tablets in total we will need, so we are waiting to know how many people sign up to buy the devices. Otherwise, we risk buying too many. I can assure you that we are going to provide you a tablet with internet access so that you can participate in the study, at no cost to you. After the study is completed in December 2017, you are free to keep the tablet, but we will stop paying for the internet connection.
Ethics Form Appendix 3. Respondent Recruitment Leaflet

We would like to invite you to join an exciting new research panel – tracking the values and opinions of people in England, Scotland, Wales and Northern Ireland.

We would like to stay in touch with people who took part in UK Opinion 2016 and find out more about your opinions via a series of online surveys. We will ask you about a wide range of topics, like family life, work, health, the media and politics. We would like you to represent your generation’s views. Similar studies are taking part across Europe, so we’ll be able to compare how things are changing in the UK and across the continent.

Still time to sign up
If you did not agree to take part in our online panel at the end of your interview, you can still change your mind.
To sign up, visit www.natcon.ac.uk/ukopinion and fill out a short online form. If you agreed to take part at the end of your interview, you do not need to do anything.

More information
Our team are happy to answer any questions you may have:
www.natcon.ac.uk/ukopinion
ukopinion@natcon.ac.uk
Freephone 0800 852 2704

In short
Topical questionnaires. We will invite you to take part in a short online questionnaire on a topical issue every two months, until February 2018.

20 minutes.
Each questionnaire will take around 20 minutes to complete. You can do this whenever is convenient for you.

Thank you.
As a thank you, we will send you a £30 voucher every time we invite you to take part in a survey. This could add up to as much as £30 over the year.

How we deal with your data
Your answers will be used for research purposes only. All data will be treated in accordance with the Data Protection Act 1998. The findings will not identify you or your family because your name and address will be removed from the data. Your answers to our online surveys may be combined with your answers from your face-to-face interview. You have the right to request that any data you provide us with is deleted. Your personal data will not be shared with third parties without your explicit permission. We will not use your data for commercial purposes.

Your answers, your choice
Taking part is voluntary. You can choose which questionnaires you wish to answer. When completing a questionnaire, you will always be able to skip any question you do not want to answer.
Hearing your opinions is vital to the success of this project, so we hope you will participate in as many questionnaires as possible.
If you decide after joining the panel that you no longer wish to participate, please contact us on Freephone 0800 652 2704 or at ukopinion@natcon.ac.uk.

Administration and funding
NatCon Social Research, an independent social research agency, is responsible for the administration of UK Opinion Panel. The panel is part of a larger collaborative project called Synergies for Europe’s Research Infrastructures in the Social Sciences (SYERIS) funded by the European Union Research and Innovation programme.
NatCon works closely with a scientific team from European Social Survey Headquarters based at City University London that coordinates the SYERIS project. If you agree to take part in the UK Opinion Panel, NatCon will pass your contact details to the Norwegian Centre for Research Data (NCRD), who are coordinating the online surveys and are also responsible for contacting panel members by email. Your contact details will be kept separately by NCRD and by a web survey supplier called QuestBack, based in Germany.
This study has been approved by the European Social Survey Research Ethics Committee. In addition, all researchers involved in this project strictly follow EU data protection laws, as well as the International Statistical Institute’s declaration on ethics.
Ethics Form Appendix 4. Participant Information Sheet

Title page:
[ESS Web]
An online survey measuring the people’s opinions about life in [COUNTRY]
Logos of the institutions

Inside pages:

What is [ESS Web]?
[ESS Web] are a series of short surveys conducted on the Internet. We would like to contact you via email a few times over the next year. Web surveys are a safe, flexible and environmentally friendly way to give voice to different population groups. [ESS Web] is not used for any commercial purposes.
[ESS Web] is an important project that aims to inform academics, researchers and policy makers about the opinions and behaviours of different population groups on essential aspects of life in [COUNTRY]. The project also aims to improve data quality and efficiency of data collection.

How long does it take?
Each survey will only take about 20 minutes to complete. You will have the flexibility to choose a time that suits you to complete the survey. You can even stop after a few questions and continue later if you need. Support is available at [enter helpline number] if you have any questions about completing the surveys.

Why should I participate?
[ESS Web] surveys will include interesting topics that can have an impact on what happens in [Country] and in Europe. Participants of similar projects in other countries have found the projects fun, educational and interesting.
You have been randomly selected to represent your generation and people like you. We cannot substitute you if you decide not to participate, so it is very important for us to have your cooperation. It is uncertain whether you will personally benefit from the research, but you can benefit from the knowledge that you are personally helping researchers. As a token of our appreciation for your time, you will receive [£5/€5] every time we send you a survey invitation for as long as you are part of this study.

What are the topics of [ESS Web]?
Like in the ESS interview, there is a wide range of different topics about various aspects of life in [Country]. These include questions on family life, work, health, media and politics. The questions are easy to answer. We want to hear your views and opinions—no special knowledge is therefore required to participate in [ESS Web]. Every opinion counts and there are no wrong answers.

What do I need to do to participate in [ESS Web]?
If you agree to participate in [ESS Web], you will be asked to provide us with an email address. We will only use this to send you invitations to regular online surveys. You will receive a link to a new survey every two months. Your participation is completely voluntary, and you can stop participating at any time.
What happens to my data?
We follow very strict data protection and confidentiality regulations, and we are required by law to guarantee confidentiality to you. Confidentiality is strictly protected also in future analyses performed by other researchers.  

Your data will only be used to produce research. The answers from all participants will be summarised, and the results will be published in anonymised form using statistical analyses. This means that individual participants cannot be identified. To maximise the benefit that can be derived from this project, we will publish the anonymised data for other registered researchers to use. However, your data cannot be used for commercial purposes.

Your contact data (like your name and email address) will not be passed to anyone outside of the [ESS Web] research team. It will be securely stored, and we will not connect your name with your responses at any time. Your information will be handled in strict confidence according to scientific guidelines and privacy requirements. Your email address will only be used by us to contact you to provide a web link to each survey. All your contact information will be deleted at the end of the project in June 2019.

What if I change my mind later on?
Your participation in this project is voluntary throughout. You are free to choose which surveys and questions you want to fill out. When completing a survey, you will always be able to skip (not answer) any question you do not want to answer.

If you change your mind and wish to stop receiving invitations to this project, you can do so by contacting [ADD COUNTRY-SPECIFIC CONTACT DETAILS: NAME, TELEPHONE, EMAIL]. You have the right to access, modify or ask to delete any data you have provided. If, by then, the data have already been used, we will not be able to recall samples from researchers, nor any new knowledge that the data may have helped create.

Your views are very important to us and we hope you will participate in as many surveys as possible.

---

3 This sentence has been added as per recommendation of the ESS ERIC Ethics Committee
4 This word has been changed as per recommendation of the ESS ERIC Ethics Committee
Back page:

Who is responsible for this project?

[National Coordinator Institution] is responsible for the recruitment and administration of the [ESS Web]. There is a toll-free telephone help line for the respondents that is available on workdays from [enter times]. Please contact [National Coordinator Institution] on [enter telephone number] if you have any queries about the [ESS Web].

[ESS Web] is part of the larger collaborative project Synergies for Europe’s Research Infrastructures in the Social Sciences (SERISS) funded by the European Union Research and Innovation programme. [National Coordinator Institution] works closely with a scientific team. The key members of this team are: 1) European Social Survey Headquarters at City University London, who coordinate the SERISS project, and 2) the Norwegian Centre for Research Data (NSD), who will send you the email invitations using a web survey supplier called Questback. All the data will be securely stored at Questback in Germany. If you want more information about any partner, please contact the helpline number [#######].

This study has been approved by the European Social Survey Research Ethics Committee, who examine how the whole survey process and data handling is carried out. In addition, all researchers involved in this project strictly follow EU data protection laws when handling your data. They also adhere to the International Statistics Institute Ethics declaration.

If you have any complaints or queries, please contact [enter name] on the Freephone helpline number [enter phone number].

[Enter national website for ESS Web]

www.seriss.eu

Key bullet points:

[ESS Web] at a glance

- [ESS Web] is a scientific survey measuring the opinions and habits of the population on essential aspects of life in [Country] and Europe
- The random sample of people who were selected for [ESS Web] are invited to participate in web surveys, representing different groups of the population
- The survey will be conducted every two months over a period of one year
- Each web survey will take a maximum of about 20 minutes to complete
- As a token of appreciation, respondents will receive [£5/€5] for every survey for as long as they are part of the [ESS Web]
- [ESS Web] follows strict data protection regulations guaranteeing anonymity and confidentiality
Interviewer Manual for the
Cross-National Online Survey Panel (CRONOS)

(2016-2017)

Please cite as:
Table of contents
1  Introduction ........................................................................................................................ 2
2  CRONOS ............................................................................................................................ 3
3  Legal and ethical framework for the study ......................................................................... 3
   3.1  Transfer of personal data across national borders ....................................................... 5
   3.2  Legal structure in the new General Data Protection Regulation ................................. 5
   3.3  Ethics Approval ........................................................................................................... 6
4  Legal and ethical issues arising from CRONOS ................................................................. 6
   4.1  Recruitment and informed consent ............................................................................. 7
   4.2  Incentives .................................................................................................................. 10
   4.3  Confidentiality ........................................................................................................... 11
5  Summary ........................................................................................................................... 12
References ................................................................................................................................ 13
Appendix I:  CRONOS Data Handling Protocol ................................................................. 15
Appendix II:  CRONOS Ethics approval form ................................................................. 36
About the CRONOS pilot

Thank you helping us set up this very important pilot of the European Social Survey. The Cross-National Online Survey panel (CRONOS panel) will use the ESS platform to recruit respondents for a web panel. The pilot study will be carried out in three countries: Estonia, Slovenia and the UK. The panel will last about a year, with participants receiving a survey every other month starting February 2017. CRONOS is the name we use internally to refer to the project, but to the respondents, the study will be known as [ESS web], to make sure it is clear that the web surveys are part of the same project that they have already participated in.

This project was funded by European Union’s Horizon 2020 Research and Innovation programme. The goal of this project is to maximise the amount of data that can be obtained from each respondent, so that we take full advantage of the recruitment efforts you have gone through to reach the respondent and convince them to participate. The resulting product would be an opinion web panel of a random probability sample where scientists can ask more questions and different questions (for example, sensitive questions that may be difficult to ask in person).

We want everybody 18 and older to have the opportunity to take part in the panel study, including those who do not have computers and internet access. For that reason, we will be providing devices with internet access to those people who do not have a computer and/or internet access. People who do have a device for personal use with internet connection, such as a computer or a smartphone, can complete the surveys using their own devices, so they will not be given one. We have a limited number of devices and we want to make sure we can include those respondents who would be left out if we did not provide internet connection to them. To help determine if a respondent needs a device, we have added a few questions to the ESS interview that will appear on your screen after the last standard ESS question, and will guide you through the process. These questions will also help you figure out whether the respondent has the minimum age required.

All data must be kept confidential. The results of the surveys could easily be undermined if respondents lose faith in assurances that all responses are confidential. Remember you are required by law to guarantee confidentiality to respondents: you must never discuss, disclose, or disseminate to others any of the information that you have gathered from respondents.
Recruitment steps after the ESS interview

Recruiting respondents for a project after completing an interview has several advantages and a few possible disadvantages. The main advantages are that you have created a connection with the respondent during the interview, trust has been established, they know what the survey task is about—including what kind of questions we ask—and, most importantly, you now know a little bit about the respondent, like which topics they seemed to like or dislike. The main disadvantage can be fatigue of the respondent at the end of the interview. These issues are discussed in section 3, where we propose ways to approach recruitment and to capitalise on the pros as well as how to deal with the refusals. In section 2 we review the materials you will need, the eligibility criteria, and the steps of the recruitment interview.

Materials to have with you to carry out recruitment for [ESS Web]

- Identification badge and business cards if available
- Interviewing device to run the ESS interview and the recruitment interview
  - Help screen showing a list of FAQs
- Leaflet of [ESS Web] including link to website
  - If interviewing device has internet access, have link to ESS and [ESS Web] national pages available to show respondent
- A4 leaflet with information about the tablet and screenshots of the welcome survey
- Detailed project information

Recruitment interview steps

After you carry out the ESS interview as you normally would, the interviewing device will guide you through the recruitment interview steps. There are six steps in the process for recruiting the panellists, ensuring they all have internet access, and collecting the necessary information to reach them later on.

The recruitment interview script contains instructions and text for all of these tasks. You will read off the screen and record answers directly into the interviewing device during and right after the recruitment interview, so that the field supervisor and other project members can have a good idea of how things are progressing. The recruitment interview will identify whether respondents are eligible to participate in the study, whether they need to be offered internet access or not, and will assist you to invite them to participate in [ESS Web].
The recruitment interview has 6 steps; you can find the content of the questions for the recruitment interview in appendix A:

- Step 1. Age eligibility assessment
- Step 2. Internet access assessment
- Step 3. Invitation to participate
- Step 4. Gathering contact information
- Step 5. Record respondents concerns (even if recruited)
- Step 6. Review recruitment effort and transfer data

**Step 1: Assessing age eligibility**

Only respondents aged 18 or older are eligible to participate in [ESS Web]. The year of birth will be retrieved from the main ESS questions. Respondent born after 1998 will be not offered to participate in [ESS Web], and you should proceed as you normally would at the end of the interview. Respondents born in 1998 or those who did not answer the question will be asked to confirm their age, and only invited if they are already 18. It is imperative that respondents younger than 18 are NOT invited to participate.

**Step 2: Assessing internet access**

To represent the population as accurately as possible, all kinds of people must be part of the web panel study. Some web panel studies exclude people who do not have internet access for personal use, but in [ESS Web] we do not want to exclude anyone for that reason. We are going to offer free internet for a year to those who do not have internet access by giving them a tablet with internet connection.

Based on data from the Office for National Statistics, published research, and previous experience, we expect that almost [NC: ENTER PERCENTAGE OF INDIVIDUALS WITH INTERNET IN YOUR COUNTRY XX%] of respondents will have internet access in their household. We have bought enough devices to cover all respondents without internet, but this number will not be sufficient if tablets are offered to respondents who have internet access for personal use. Given the limited availability of devices, it is crucial that these devices are offered only to the right respondents, that is, to those who do not have internet access for personal use.

When offering the tablet to the respondent, it is important to explain that the tablet is provided so that they can complete the survey online, and this way make sure the sample represents the entire population. While offering a tablet can be for some an incentive to join the study, it is important to use this angle carefully, for several reasons:
a) If emphasis on the tablet is too strong, it may sound like a sales speech. The respondent may become suspicious and think that the initial interview was just a cover for something other than conducting surveys. This would damage the trust relationship and could harm recruitment rates as well as future participation of the respondent in future, unrelated projects.

b) For some respondents, owning a tablet may feel like a burden. They may avoid the internet by choice, and they may not see it as positive as others might. We still would like to recruit them, but we need to do so in a respectful way.

c) Also, respondents might feel we are pressuring them to participate by giving them the tablet, which is not the intention and would not be ethical.

To determine whether respondents need the tablet, the recruitment interview includes a question to find out if respondents have internet access for personal use. Question A2 in the ESS questionnaire assesses frequency of internet usage on any device and for any purpose (work or personal). What we need to know, however, is whether the respondent has access to an internet device where they could complete a 20-minute survey. Some of the respondents who said they never use the internet in question A2, may have internet access at home and thus not need the tablet. Others who said they use internet every day, may only use at work, where it may be inappropriate to complete a web survey. For this reason, we have added a question to specifically address access for personal use (R2a and R2c): ‘Do you have access to devices with internet connection for personal use’. If the answer to this question is ‘no’ (or ‘don’t know’), the invitation to [ESS Web] will include the tablet offer.

**Step 3: Inviting respondents to participate in [ESS Web]**

Once eligibility has been determined, you can invite the respondent to participate in [ESS Web]. **You must read the invitation as worded. Do not rush through it, and use a natural, engaging tone.** We rely on your enthusiasm to show the respondent that this study is interesting and important. The message is succinct but contains all necessary information for respondents to make an informed decision (see Appendix A, Step 3).

We expect you to use the information in section 3 of this manual to present the study to the respondent and address any questions or hesitations respondents may have. **It is crucial that you become familiar with the information in this manual so that you can address any questions the respondent has right away.** The strategies outlined in this manual will help you achieve a good recruitment rate.

**Step 4: Collecting contact data**
After the respondent has provisionally agreed to participate, you will ask the respondent for their contact details, in particular email address and mobile telephone. This information is crucial to be able to invite respondents to the [ESS Web] surveys.

Some respondents will understandably get a bit suspicious about providing personal details. It is important to explain that the contact information will only be used to invite respondents to participate, that we will not contact them for any reason that does not relate directly to the research study, and that we will not pass this information to anyone outside the project. Let the respondent know that this information will be stored following [if UK: the Data Protection Act 1998 and] EU data protection laws. See also ‘confidentiality concerns’ in section 3 for useful ways to reassure respondents of our commitment to data protection.

If the respondent is still not sure whether they will participate or need more information, try to get their contact details anyway, and remind them that they can ignore the email if they decide they do not want to participate.

If a device is needed, collecting correct contact details is crucial to be able to recontact the respondent and deliver the device. The respondent will be informed that the device will be delivered in January. If the respondent has scheduled not to be home during (part of) January, this should be noted down and alternative dates should be found. The representative delivering the device will help the respondent get familiar with the tablet, and how to use it to complete the survey. Guidance for this task will be provided separately.

**Step 5: Recording reluctance to participate and any concerns**

In surveys, it is quite common to record reasons that respondents spontaneously give when they refuse to participate. In the ESS, you are also asked your thoughts on whether a selected respondent who has refused would participate if approached again. In the [ESS Web] study, we want to go further and keep track of these two aspects for all respondents, even if they have agreed to participate. For example, if a respondent said ‘I am not sure I like the idea of having my contact information being shared with others outside the country’, and you were able to convince them to sign up anyway, you would first collect the contact data (step 4), then estimate how likely you think it is that this respondent will actually complete the web surveys, and then select code 08 (‘Does not want contact data sent abroad’) in question R5b.

By recording spontaneous hesitations respondents have before agreeing to sign up, we get a better idea of how common some of the refusal reasons are among those who participate compared to those who do not. For example, we know that data privacy concerns may be one of the reasons why people refuse to participate, and we want to know whether respondents who agree to participate also have such worries. We also want to know which kinds of
concerns are easiest to put to rest. In sum, we want to learn reasons why respondents are reluctant to participate in web panels for future studies.

Interviewers are the only members of the team who have a chance to collect that information. We rely on you to gather this information so we can analyse it and use it to improve recruitment procedures in the future. Question R5b in the recruitment interview provides a long list of reasons why people may be reluctant to participate. We have grouped them thematically to help you find the right option quickly. We have tried to make the list of reasons as comprehensive as possible, but if the reason for refusal is not in the list, please choose ‘other (specify)’ and describe the concern to the best of your ability.

After conducting the ESS interview and hearing the reaction to the invitation to [ESS Web], you may actually have a good idea of how much a respondent enjoyed the experience and how engaged they were with the task. This may help you estimate the likelihood of participation in the web surveys. By recording your perception, we want to get a sense of how committed the respondent is to the [ESS Web]. This information may also help us better understand nonresponse to the web surveys. We understand that one cannot predict what others are going to do with accuracy; we just want to have your best guess.

**Step 6: Review recruitment effort and transfer data**

After recording reasons respondents gave not to participate, there are only two more things you need to do:

a) Answer a few questions about the recruitment effort. This is just so that we can keep track of how many tablets have been assigned, and how the general process of recruitment worked. These questions are asked right after the questions about the ESS interview, so please try to complete this section right after you have left the respondent’s home. You can find these questions in the recruitment effort summary, Step 6.

b) Transfer the data. [Ideally, reporting should be done every day. If this is not possible, it is imperative that all the information is updated in the central system [at least twice a week: Mondays and Thursdays / every Thursday]]

**Gaining cooperation**

The goal in [ESS Web] is to recruit as many ESS respondents as possible to join a web survey panel. Use your best interpersonal skills to engage them so that they are excited about the project and willing to participate. Project your competence and a positive attitude.
Always show respect for each respondent, confidence in the importance of the study, and an honest and straightforward manner to help you gain trust and credibility.

Throughout this manual, we have compiled a series of thoughtful, concise answers to most of the questions a respondent is likely to ask. You need to read the initial invitation off your screen as is, but you can slightly paraphrase the arguments and answers proposed in this manual when you need to address requests for additional details or when you see hesitation in the respondent. Become knowledgeable about the project so you can answer questions with confidence and calm authority. Remember that most respondents will expect you to provide information about the purpose of the study and the need for their participation in it, and to know details about how it will be carried out.

**Presenting the study**

The first presentation of the study will be the recruitment script (step 3), which you must read as is; do not paraphrase it. This way, we will be sure that respondents received all the necessary information to make an informed decision, and we will know what was asked so we can ensure we are complying with ethical requirements. You can show the study’s leaflet and point to the relevant arguments as you talk to the respondent.

If the respondent raises concerns about the ESS interview already conducted, you must address that immediately, before continuing to seek cooperation for [ESS Web]. Try to be mindful, addressing any concerns the respondent rises, and show your appreciation about the time the respondent has already dedicated to the ESS. We want you to try your hardest to persuade them to participate in [ESS Web], but we cannot jeopardise the reputation of the ESS or risk the respondent wanting to delete the data they have already provided.

If you feel that the respondent may be too tired to listen to the offer, be sympathetic, but try to emphasise that you only need a couple minutes to explain the study, and that you will then leave right away. This will be your best opportunity to convince them to participate, so try to take advantage of it if possible.

Make use of the respondent leaflet and make sure to give it to the respondent, whether they agree to join or not. This leaflet not only presents the project and reminds respondents of it once you are gone, but it also informs respondents that participation is voluntary, what the risks and benefits of participation are, and that all information provided is safeguarded and completely confidential. This information is necessary for respondents to be able to give informed consent to participate and thus comply with ethical requirements of interviewing.

Mentioning that the local university/institute involved in the ESS interview will be involved in ESS Web may help create a sense of continuity, and thus any trust you have gained from the respondent during the interview can transfer to the new project.
Basic arguments to participate

As you know, respondents agree to participate in surveys for many different reasons. Many ESS respondents engage in this kind of research for altruistic reasons. Or they want to make a difference, and contribute to advance science and policy research. They also want to have a voice, to make a difference. Others do it because the incentive is appealing. Previous panel studies like this one have asked panel members their motivation to sign up, and they found that, even though the incentive and ‘being interested’ were mentioned by the most respondents, having a voice was mentioned by 45% of respondents, learning and educational purposes by 30%, and ‘being fun’ by 20%. Keep these arguments in mind as you introduce the project to the respondent. If the respondent seems lukewarm to the offer, you can mention reasons why other respondents have signed up. Below is a list of basic arguments you can use to motivate respondents to sing up for the [ESS Web] panel.

### Why participate in [ESS Web]

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>It’s interesting!</td>
<td>Participating in attitudinal surveys gives you a chance to reflect about different topics, you see what researchers and policy makers are focusing on. It can be informative and educational.</td>
</tr>
<tr>
<td>It’s good for science and society</td>
<td>Your participation will help researchers better understand society and societal changes. You could be helping scientists find solutions to current societal problems, and advance science.</td>
</tr>
<tr>
<td>We need your participation</td>
<td>It is really important for the accuracy of the study that you participate. You represent many others like you in [COUNTRY] and your participation is vital to the success of this project. We cannot substitute you with any other person. So if you don’t participate, findings could be less accurate.</td>
</tr>
<tr>
<td>It’s easy</td>
<td>The study was designed in a simple, user-friendly way, so that no previous technical knowledge is necessary to participate in it. And if you need help, our helpline staff will be more than happy to talk you through things.</td>
</tr>
<tr>
<td>You can make a difference</td>
<td>Findings from this study could help make a difference in how the country is run and what policies are implemented.</td>
</tr>
<tr>
<td>Flexibility</td>
<td>If you like participating in surveys but don’t like being interrupted, web surveys allow you to determine when and where you complete the survey. You can use any device at your disposal.</td>
</tr>
<tr>
<td>It’s more private</td>
<td>You’ll read the questions on a computer or other device connected to the internet. You will give your answers right there, and they will be sent to us in a very safe manner through the internet.</td>
</tr>
<tr>
<td>Confidentiality assurance</td>
<td>Your participation will be kept completely confidential and we will never link your answers to your name or contact details.</td>
</tr>
<tr>
<td>If respondent gets free tablet</td>
<td>If you want to, you can use the tablet for other things and you can keep the device after the project is finished.</td>
</tr>
</tbody>
</table>
Research Ethics Application (adapted for ESS ERIC)

<table>
<thead>
<tr>
<th>Incentive</th>
<th>You can get up to £30 when you participate in our panel. This gift is a way to thank you for your time and to let you know how important it is for our study that you participate.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legitimacy of the project</td>
<td>The project is carried out by serious institutions, including four universities, a statistical office, and an established non-profit institute for social research. The project has secured support from the European Union, competing against other projects.</td>
</tr>
<tr>
<td>This is for real</td>
<td>Make sure you point to the national website on the leaflet and to the SERISS website, where respondents can get confirmation that the project is real and is indeed funded by the EU.</td>
</tr>
</tbody>
</table>

Refusal avoidance

Unless the refusal is hostile and threatening, it is an interviewer’s job to attempt to convert the refusal and gain the respondent’s cooperation. When a respondent plainly refuses, says they need to know more or that they are not sure yet, use the arguments outlined in this section to try to gain cooperation. Some of the arguments are similar to the ones you may have used to recruit respondents for the in-person interview, whereas others are specific to the [ESS Web] study.

Respondents who do not use the internet may naturally be more reluctant to participate in web surveys. As mentioned before, even though a free tablet may seem like a fantastic incentive for some people, others who do not use the internet may not find it as appealing. Precisely for this reason, we are especially interested in gaining their cooperation, but be mindful that offering the tablet offer may not always help gain cooperation. When the tablet is delivered in January, they will also receive a ‘manual’ on how to use the tablet to participate in the survey.

Prepare for refusal conversion

Start by assessing how firm the refusal is, and then try to determine the underlying issue. It is very important to LISTEN to what the respondent is saying and give him/her time to talk without interrupting. To make sure you understood correctly, try rephrasing the respondent’s concern before you try to address it. For example:

- Respondent: ‘I don’t want my answers out there’
- Interviewer: ‘I want to be sure I understand you correctly. You are concerned that the information you give me may not be kept private, is that correct?’
- Respondent: ‘That’s right’
When addressing objections or concerns, take care to respond only to the issues that the respondent has raised. Try to convert refusals by using customised convincing arguments, but do not bring up issues that may add to his/her concerns and complicate your efforts to convert the refusal. The most common reasons for refusals will be covered in the project’s ‘Frequently Asked Questions’ together with guidance on arguments you can use to persuade respondents to participate. You must become completely familiar with them so you can use them comfortably and convincingly. This will help you find a suitable answer in each situation and gain cooperation.

When it comes to respondents who are unsure or need more information, ask them: ‘Is there anything in particular you would like know more about?’ This will reveal the source of their concern, and you can use the same arguments as with respondents who have refused. If the respondent needs still more time to decide, and does not want to commit to provide contact information, say: ‘if you are in doubt whether this will work, you can try to participate for a certain period. Of course we hope that you will continue to participate in the study but you can stop your participation at any time’.

Find the right arguments to address the respondent’s concern

In the next pages you will find examples of arguments to address different types of concerns. Please read these a few times and make notes to help you remember them. It is ok if you rephrase them slightly to make them sound more natural coming from you.

<table>
<thead>
<tr>
<th>CONCERNS ABOUT COMPUTER LITERACY / PASS OFFER TO SOMEONE ELSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respondents may be concerned that they do not have the level of familiarity with computers that is required to participate, and may suggest someone else to do it. Take your time to explain that surveys will be simple to complete and that they can contact a Freephone helpline.</td>
</tr>
</tbody>
</table>

‘We understand your concerns about using computers…’

- Selecting a random sample of the population means that we will get many different people: young and old, working people and others who are retired, families and people living alone. This mix is what helps the study be representative and accurate. If we interviewed the same kind of people over and over, the data may represent only the opinion of a few rather than the entire population. So we need people like you to participate for the findings to represent the population.
- You are one of only [SAMPLE SIZE] people in [COUNTRY] selected for this project, and no one else can take your place. Your views and experiences are unique, so we cannot substitute you with anyone else.
• Remember also that you can stop participating at any time.
• IF RESPONDENT IS ELIGIBLE FOR A TABLET: When the device is delivered to you, we will provide in-person step-by-step guidance on how to use the device. All the necessary details will be brought to you personally and explained carefully. In addition, you will have access to help and support throughout the study.

CONCERNS ABOUT PRIVACY/CONFIDENTIALITY

Respondents may be concerned about where their data will end up and how the data will be treated. Below are possible useful ways to reassure the respondent that their data will be kept confidential to the best of our ability.

‘We understand your concerns about data privacy…’

• First off, I am required by law to guarantee confidentiality to you.
• Also, all members of this study strictly follow data protection laws, we are trained in handling and transferring survey data, and know how to make sure that data are kept confidential at all times.
• All the information provided will be kept strictly confidential and your name are never connected to your responses. This means that even staff members will not know who gave a specific answer.
• In order to answer the surveys more conveniently and privately, you’ll read the questions on a computer, tablet, smartphone, or any other device that is connected to the internet at any time you feel comfortable to do this.
• In addition, your participation is voluntary, so you can always skip any questions you prefer not to answer.
• All your information will be stored according to [if UK: the Data Protection Act 1998 and] EU Data Protection laws. We will use your responses for scientific purposes only and never for marketing purposes, telephone sales or other commercial purposes
• IF CONCERN IS SPECIFIC ABOUT THE SURVEY BEING ONLINE: Web surveys are becoming an important channel used by researchers to ask population groups about their opinion on various important issues in their country.
### CONCERNS ABOUT USING OWN DEVICE FOR SURVEYS

Respondent worries about data plan or about using a device they also use for work.

**‘I see what you mean …’**
- The survey doesn’t take much internet volume. You will receive a [£5/€5 voucher] with every invitation as a thank you for the time and resources you have invested.
- The survey is designed to work on a wide range of devices. So you can use any device you have available.
- IF DEVICE BELONGS TO WORK: Offer a tablet if the work device cannot be used for private purposes.

### RESPONDENT IS TIRED, HAS DONE ENOUGH FOR US

Respondent feels has participated in too many surveys.

**‘You are absolutely right that you have already done a lot for us, and we are extremely grateful, your collaboration is essential for this research project and we appreciate that you are making a generous contribution by talking to us…’**
- Conducting a long interview in person is tiring. The web surveys we will send will be much shorter, just about 20 minutes. And you can answer them whenever you want, wherever you want.
- There are many requests for opinion and satisfaction surveys nowadays. Let me explain why I think this study is different from other requests. We are not selecting just anyone we come across; instead, we use scientific methods to select a sample that can represent the entire population, and this means that we cannot substitute anyone we have selected, or we would lose the scientific properties of the sample. Therefore, your participation is vital for our project.
- Remember also that you can stop participating at any time.
### CONCERNS ABOUT TIME AND BURDEN

Respondents may argue that their commitments and responsibilities (work, children or other dependents) keep them too busy to participate. These are all understandable concerns we can all relate to. However, a number of arguments can be used to convey that this project is less of a burden that they may think. Below are possible arguments you can use.

**‘We understand you’re busy…’**
- The good thing about web surveys is that you can complete them at any time (night and day) and from any place where you have internet connection. Not only that, but if you cannot take 20 minutes at once, you can answer a few questions, close your browser, and go back to it later on to continue where you left off.
- There will only be a new survey every two months and each survey takes only about 20 minutes. In addition, your participation is voluntary, so you can skip a survey if you are too busy that month, and complete the next one.

### NOT INTERESTED / BORING / TOPICS WERE SENSITIVE

Respondents often say they are not interested when they refuse to participate in a survey. We rely on your enthusiasm to show the respondent that the project can be interesting and that it is important. Try to tailor your message to each respondent, explaining that the project will include questions on the topics they liked best during the ESS interview.

**‘We understand what you are saying…’**
- Please know that this project is very important. Our anonymous surveys will give you the opportunity to tell us your opinions. You can tell us what you like and don’t like about what the government has been doing.
- The web survey will include a wide range of different topics, not just the ones we have covered today. You can always skip a question if you don’t want to answer.
- You can help researchers who are studying how people in [COUNTRY] live their lives to help make this country an even better place to live. Your participation is vital to the success of this study.

### CONCERNS ABOUT INCENTIVES
There are different issues that a respondent could mention in reference to the incentive. For some, it may seem like too little, for others, it may seem like too much. The strategies to address these concerns differ.

‘That is not enough money for the time it takes …’
- The incentive is not a payment for your time, which we know is very valuable. This small gift is just to show our appreciation for your generosity.
- I should also note that this is not a commercial study. It is funded from public sources and therefore the budget is limited and carefully decided. If we offered too much money, it could be seen as unethical or a waste. We rely on the willingness of people like you who have been randomly selected among the general population. Your participation is extremely important to represent the views and needs of your generation, and thus impact what policy makers do.
- IF RESPONDENT IS ELIGIBLE FOR A TABLET: In addition, you will receive a tablet and internet access that will be yours to keep at the end of the project.

‘That is too much money/I don’t believe you are giving me all this for free…’
- I understand that the offer may seem too good to be true. This is an unusual opportunity and it is different from other studies.
- Let me assure you that we are not selling anything, and we will not pass on your information to anybody outside the project. All we are trying to do is conduct a research project that represents the general population, and we just want to thank you for your time by giving you a small gift.
- This research project has been approved by an Ethics Research Committee and is supported by the European Union’s Research and Innovation programme. To verify what I am saying, you can find more information about this project on [www.seriss.eu](http://www.seriss.eu) and [add national website].
- IF RESPONDENT IS ELIGIBLE FOR A TABLET: We understand that offering a free internet device just for completing 6 surveys may seem suspicious, but this is just a reflection of how important it is for the accuracy of our results that you participate in the study. We are offering the device to anyone like you who does not have internet access for private use.

CONCERNS ABOUT AGE

Respondents may fear that they are too old for the study. It is important that you explain to them how valuable it is for this research to include people of all ages and all walks of life. Also, try to calm their concerns about the difficulty of the task.
‘We understand what you are saying…’  
- It is **crucial** for the success of this project that we have a good representation of the [COUNTRY’S] population, so it is vital for us that you participate in this study.  
- Participating in this study is not complicated: the surveys will be easy to complete and you will be properly instructed on how to participate in this study.  
  - [If possible: show the respondent on your screen how the survey would work]
- If respondent is eligible for a tablet: We can give you a small computer with a touchscreen for you to complete the surveys. We can make the font size comfortable for you to use.
- We will provide you with a device and will be able to adjust the settings such that you will be able to read it.

**RESPONDENT DOES NOT LIKE COMPUTERS**

Respondent does not like dealing with computers.

‘I hear you…’  
- We understand that some people prefer not to deal with computers. It is **crucial** for the success of this project that a good representation of the [COUNTRY’S] population that you participates in this study, so we also need to include the views of people who do not like computers.
- We use this way of collecting data to increase flexibility and privacy for respondents but we understand it can be annoying for others. We will only send you a survey every other month for about a year, and the surveys will only take 20 minutes.
- Web surveys are becoming an important channel used by researchers to ask population groups about their opinion on various important issues in their country.
- IF RESPONDENT IS ELIGIBLE FOR A TABLET: We can give you a small tablet (like a big telephone) with a touchscreen for you to complete the surveys.

**CONCERNS ABOUT GOVERNMENT/POLITICIANS/SPONSOR**

Respondents may be concerned about who the survey data are going to, or think that this is a waste of tax payers’ money. In addition to arguments related to confidentiality concerns, you can reassure respondents by explaining more about the researchers from the project.

‘We understand your concerns …’  
- This research project was commissioned by a group of researchers working in European universities. They have been awarded this money to conduct independent research about various issues about [COUNTRY] and our society. They want to better understand the
needs and preferences of the [COUNTRY’s] population, and make the anonymised data available to other researchers and policy makers, with the intention of improving knowledge and policies. We ask that those who analyse the data abide to ethical principles of research. It is very important to us that your data are used appropriately and ethically.

• To verify what I am saying, you can find more information about the project goals and the researchers behind it by going to www.seriss.eu and [add national website], or by contacting the researcher in charge of this project, [ADD NATIONAL COORDINATOR DETAILS, INCLUDING AFFILIATION]5.

• All your information will be stored according to [if UK: the Data Protection Act 1998 and] EU Data Protection laws. We will use your responses for scientific purposes only and never for marketing, telephone sales or commercial purposes.

CONCERNS ABOUT HEALTH ISSUES

Respondents may fear that a health condition prevents them from using an internet device.

• [IF CONDITION APPEARS TEMPORARY] I can understand that you’re not well at the moment/too busy with your health now. If this is not a good time, please call us on the Freephone to sign up or follow the instructions on the leaflet.

• [R IS VISUALLY IMPAIRED AND HAS A DEVICE] Do you own a device that you use to go online? You can use that device to participate in the study.

• [RESPONDENT IS VISUALLY IMPAIRED AND ELIGIBLE FOR TABLET]. We will provide you with a device and will work with you to adjust the settings.

Appendix A: Mock-up recruitment interview

This document is for illustration purposes only.
Do not use this document to conduct the recruitment interview, as it is not complete.

Step 1 Checking age eligibility (18+)

• If the respondent was born in 1998, ask:

<table>
<thead>
<tr>
<th>R1a</th>
<th>How old are you today?</th>
</tr>
</thead>
<tbody>
<tr>
<td>17 years old</td>
<td>1 ➔ Proceed as you normally would at the end of the interview</td>
</tr>
<tr>
<td>18 years old or older</td>
<td>2 ➔ Go to R2</td>
</tr>
</tbody>
</table>

• If information about year of birth is missing, ask:

| R1b | Are you 18 or older? |

5 National coordinator details optional. However, having a specific name and institution may help reassurance.
Step 2 Identifying respondents who need an internet-enabled tablet

R2a  Earlier in the interview, you said you use the internet [TEXT FILL]. Do you have access to devices with internet connection for personal use?

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Go to R2b</td>
</tr>
<tr>
<td>No</td>
<td>Go to Step 3</td>
</tr>
<tr>
<td>Refusal</td>
<td>Go to Step 3</td>
</tr>
<tr>
<td>Don’t know</td>
<td>Go to Step 3</td>
</tr>
</tbody>
</table>

R2b  Which devices do you typically use to go online? (Mark all devices the respondent spontaneously mentions)

<table>
<thead>
<tr>
<th>Device</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Smartphone</td>
<td>1</td>
</tr>
<tr>
<td>Tablet</td>
<td>2</td>
</tr>
<tr>
<td>Laptop</td>
<td>3</td>
</tr>
<tr>
<td>Desktop computer</td>
<td>4</td>
</tr>
<tr>
<td>Other</td>
<td>5</td>
</tr>
<tr>
<td>Refusal</td>
<td>77</td>
</tr>
<tr>
<td>Don’t know</td>
<td>88</td>
</tr>
</tbody>
</table>

Go to R2b

Proceed as you normally would at the end of the interview

Go to Step 3
Step 3. Inviting respondents to join the UK Opinion Panel

We would like to invite you to join a new research panel study tracking the values and opinions of people in [COUNTRY].

If you join the study, you will be invited to take part in 20-minute surveys every couple of months for about a year. You will receive a [NC: ENTER AMOUNT voucher] for every survey to which you are invited to participate, as a token of our appreciation. The surveys can be completed online, and you can decide the best time to complete them. By joining the panel you will represent your generation’s views on a wide range of social issues.

The data will be used for scientific purposes, following strict data protection rules. Your participation is voluntary, you can decide whether or not to accept each invitation, and you can withdraw from the study any time you wish.

[ONLY IF NO INTERNET ACCESS FOR PERSONAL USE] To enable your participation, we will provide you with a free, easy-to-use tablet. If you agree to participate, a staff member from [NC: ENTER NAME OF AGENCY] will contact you in January to bring you the device and explain how to use it to complete the survey. You will also have access to help and support when you need it.

INTERVIEWER: Press [XX] to see answers to FAQs.

<table>
<thead>
<tr>
<th>R3a Would you be interested in participating in this study?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes 1</td>
</tr>
<tr>
<td>Unsure/Hesitant 2</td>
</tr>
<tr>
<td>Needs time to think 3</td>
</tr>
<tr>
<td>Other 4</td>
</tr>
<tr>
<td>No 5</td>
</tr>
</tbody>
</table>
**Step 4. Collecting contact data**

**R4a** We are very grateful for your willingness to participate. To be able to send you the link to the web surveys and the [NC: ENTER INCENTIVE], we need your email address. We will only use your email address for these contact purposes and will not give it to anyone outside the study.

- Do you have an email address where we could send you the invitation link to the surveys and the [NC: ENTER INCENTIVE AMOUNT]?  

- What is your email address?  

(INTerviewer: If respondent is reluctant to give email, emphasise that contact details will be treated confidentially, not shared with anyone outside project, and not linked to answers at any time. An email address is essential for participation in the project.)

<table>
<thead>
<tr>
<th>Option</th>
<th>1</th>
<th>2</th>
<th>7</th>
<th>8</th>
<th>9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does not have email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prefers not to give email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does not know email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**R4b** If you are not sure yet, we can send you the invitation to the first survey and you can decide then whether you want to participate. To be able to send you the link to the web surveys and the [NC: ENTER INCENTIVE], we need your email address. We will only use your email for these contact purposes and will not give it to anyone outside the study. If you decide that you don’t want to participate, you can just ignore our email or contact us to let us know you don’t want to receive any more invitations.

- Do you have an email address where we could send you the invitation link to the surveys and the [NC: ENTER INCENTIVE AMOUNT]?  

- What is your email address?

<table>
<thead>
<tr>
<th>Option</th>
<th>1</th>
<th>2</th>
<th>7</th>
<th>8</th>
<th>9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does not have email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prefers not to give email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does not know email address</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Step 5  Estimating reluctance to participate (ALL RESPONDENTS)

#### COMPLETE THIS SECTION FOR ALL RESPONDENTS

**R5a** How likely do you think it is that the respondent will participate in [ESS Web]?

<table>
<thead>
<tr>
<th>Option</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will most likely not participate</td>
<td>1</td>
</tr>
<tr>
<td>Will probably not participate</td>
<td>2</td>
</tr>
<tr>
<td>Will probably participate</td>
<td>3</td>
</tr>
<tr>
<td>Will most likely participate</td>
<td>4</td>
</tr>
<tr>
<td>Refusal</td>
<td>7</td>
</tr>
<tr>
<td>Don’t know</td>
<td>8</td>
</tr>
</tbody>
</table>

#### COMPLETE THIS SECTION FOR ALL RESPONDENTS

**R5b** Record any concerns or reasons for refusal to participate in the panel study that the respondent mentioned (mark all that apply).

[If necessary, ask: May I ask why you do not wish to participate?]

<table>
<thead>
<tr>
<th>Reason</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>No internet/slow or spotty connection</td>
<td>01</td>
</tr>
<tr>
<td>Does not want to use data allowance</td>
<td>02</td>
</tr>
<tr>
<td>No experience with internet/computers</td>
<td>03</td>
</tr>
<tr>
<td>Does not like computers</td>
<td>04</td>
</tr>
<tr>
<td>Too old to use computers</td>
<td>05</td>
</tr>
<tr>
<td>Suspicious of our offer (scam)</td>
<td>06</td>
</tr>
<tr>
<td>Worries data will be shared outside project</td>
<td>07</td>
</tr>
<tr>
<td>Does not want contact data sent abroad</td>
<td>08</td>
</tr>
<tr>
<td>Privacy concerns with web</td>
<td>09</td>
</tr>
<tr>
<td>Already did F2F interview, enough</td>
<td>10</td>
</tr>
<tr>
<td>Did not enjoy completing ESS</td>
<td>11</td>
</tr>
<tr>
<td>Does not like survey subject</td>
<td>12</td>
</tr>
<tr>
<td>Does not know subject, too difficult</td>
<td>13</td>
</tr>
<tr>
<td>Physical constraint</td>
<td>14</td>
</tr>
<tr>
<td>No time, too busy</td>
<td>15</td>
</tr>
<tr>
<td>Not interested</td>
<td>16</td>
</tr>
<tr>
<td>Co-operated too often</td>
<td>17</td>
</tr>
<tr>
<td>Too many survey requests</td>
<td>18</td>
</tr>
<tr>
<td>Previous bad experience</td>
<td>19</td>
</tr>
<tr>
<td>Surveys are a waste of money/time</td>
<td>20</td>
</tr>
<tr>
<td>Moving out of country</td>
<td>21</td>
</tr>
<tr>
<td>Other (specify)</td>
<td>22</td>
</tr>
<tr>
<td>No specific concerns</td>
<td>55</td>
</tr>
<tr>
<td>Not applicable</td>
<td>66</td>
</tr>
<tr>
<td>Don’t know</td>
<td>88</td>
</tr>
</tbody>
</table>
Step 6  Recruitment effort summary

Interviewer: please complete these questions right after you leave the household.

S1a Did you get to explain the [ESS Web] study to the respondent?

- Yes 1
- No 2

S1b Why not?

- The respondent cut me off 1
- The respondent seemed too annoyed, I decided not to 2
- I did not feel safe and I decided to leave 3
- It was too late to attempt recruitment 4
- Other (explain) 5

S2 Did the respondent agree to participate?

- Yes 1
- No, respondent needs to think about it 2
- No, respondent does not want to participate 3

S3 Was the respondent hesitant before agreeing to participate?

- Yes 1
- No 2

S4 Was the respondent offered the tablet?

- Yes 1
- No 2

S5 Did the respondent accept the tablet offer?

- Yes 1
- No 2

S6 Using your own words, how would you describe the respondent’s general response to the invitation? (Please do not mention names or other identifiable information)
FAQs for interviewers to be available as a help screen.

- **What is the [ESS Web]?** A panel of carefully selected people who we will be approaching to give their views on a wide range of topical social issues.
- **Who funds the research?** The research is funded by the European Union Research and Innovation programme.
- **What topics does it cover?** A broad range of topical social issues on which everyone can have a view, such as family life, work, health, the media and politics.
- **When will the study start?** You should receive the first invitation in February. The invitation will contain a link to the survey.
- **What does it involve?** People will be invited to participate in a 20 minute survey online every couple of months until February 2018. They decide at the time whether they want to participate.
- **What if they do not have access to the internet at home?** We will be providing an internet enabled device to those who do not have access to the internet. Respondents will be contacted again to arrange delivery of the device and training. [If respondent asks: The device will be yours to keep after the study is over].
- **Will they be paid?** Those invited to take part in a survey will receive an unconditional incentive of [£5/€5]—this means that, as long as they continue to participate, they will receive the [£5/€5] with each invitation we send.
- **Confidentiality?** All answers will be kept strictly confidential. Email contact details will be securely sent to the Norwegian Centre for Research Data and Questback based in Germany. These two organisations are implementing the online panel element of the survey. Contact details will not be passed to any other organisation.
- **Why can’t we give them the tablet now?** It would be too risky to travel around with a large number of tablets. Also, we do not know exactly how many tablets in total we will need, so we are waiting to know how many people sign up to buy the devices. Otherwise, we risk buying too many. I can assure you that we are going to provide you a tablet with internet access so that you can participate in the study, at no cost to you. After the study is completed in December 2017, you are free to keep the tablet, but we will stop paying for the internet connection.