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1 Why SHARE uses Case CTRL

SHARE

The Survey on Health, Ageing and Retirement in Europe is a multidisciplinary and cross-national panel on health, socio-economic status, and social and family networks of more than 60,000 individuals aged 50 or over. Eleven countries have contributed data to the 2004 SHARE baseline study. They are a balanced representation of the various regions in Europe, ranging from Scandinavia (Denmark and Sweden) through Central Europe (Austria, France, Germany, Switzerland, Belgium, and the Netherlands) to the Mediterranean (Spain, Italy and Greece). In December 2005 Israel joined the SHARE survey. In 2006 two 'new' EU member states - the Czech Republic and Poland - as well as Ireland joined SHARE and participated in the second wave of data collection (2006-07). In the third wave (2008-2009) of SHARE (SHARE Life) detailed retrospective life-histories data was collected in thirteen countries. In wave 4, Estonia, Hungary, Portugal and Slovenia joined SHARE. In wave 5 another four countries had joined the SHARE study: Estonia, Hungary, Portugal and Slovenia and in wave 6 Croatia joined. The survey’s seventh wave of data collection is finished now. Wave 8 officially starts in September 2019.

A study like SHARE heavily depends on the way the data is collected in the various countries. Answers from the respondents are registered in different languages all over Europe. Therefore, it is very important that interviewers across Europe are using exactly the same procedures in asking these questions and in collecting the surrounding contact data. Thus, the Case CTRL was developed.

The Case CTRL tool enables the interviewers to easily register every contact with a household or individual respondent. The Case CTRL incorporates the actual interviews (coverscreen, main interview, and end-of-life (or exit) interview (see the separate manuals for the interviews). After the contact information is recorded, the Case CTRL manages the start-up of the correct interview.

Why “Case CTRL”?

There is a lot of interaction between the Case CTRL as installed on your laptop and the Sample CTRL at the server of your survey agency. At the central level of your survey agency, the complete sample for your country is divided into subparts, one of which has been transferred to your laptop. During the fieldwork, all kind of contact information will be transferred from your laptop to the agency and vice versa. Also, if the composition of your subset changes (in case of moves etc.), the Case CTRL will inform the agency and you will receive updated information as soon as your laptop contacts the agency’s server.

Why “SHARE uses the Case CTRL”

The Case CTRL has been developed in wave eight based on the SMS client from previous waves to meet the interviewers’ requirements. In every new release of the Case CTRL, new features are added to help you in making SHARE a great success! After all, this success depends heavily on the quality of your work!

In this manual, we will guide you through the application in a "natural" way. The manual will explain how to use the application in a standard way, but will also give you some insight in how to deal with complicated situations.
2 Getting started

On the laptop you are using for the SHARE project, Case CTRL has been installed by your survey agency. The information about the appropriate part of the country sample (your own subsample) has been installed as well.

You can start the Case CTRL tool from the Microsoft Windows Start-menu bar (CentERdata → Case CTRL SHARE W8 …). After starting Case CTRL, the login screen will appear (see figure 1).

![Login screen](image)

**Figure 1: login screen**

Please enter your Username and Password as provided to you by the survey agency in order to log on to the application. The first time you also need to enter the URL of the Sample CTRL where the Case CTRL should connect too. The URL you only need to give in once then it is stored in the application.

**Note:** For testing purposes, a test user and test cases have been included in Case CTRL. You can always log on using the “Test login” button in order to use the test cases. It is not possible to exchange Case CTRL information with the agency if you are logged on as the “test” user.
After startup and successful login, the screen as displayed in figure 3 will show up.

Figure 2: The main screen after startup
3 How to navigate in Case CTRL

Before the workflow of using Case CTRL is described, we will first introduce you to the layout of Case CTRL screen and the menu bar button which you will find at the top left of the screen (see figure 3).

The menu bar includes the items as described in Table 1.

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Households</td>
<td>Shows list of households</td>
</tr>
<tr>
<td>Agenda</td>
<td>Shows appointments made in the agenda</td>
</tr>
<tr>
<td>Sync</td>
<td>Synchronize data with agency</td>
</tr>
<tr>
<td>Sync log</td>
<td>Show log of successful synchronizations</td>
</tr>
<tr>
<td>Zoom</td>
<td>Change the zoom level of Case CTRL</td>
</tr>
<tr>
<td>Log out</td>
<td>Logout of the Case CTRL system</td>
</tr>
<tr>
<td>Language</td>
<td>Change language of Case CTRL</td>
</tr>
</tbody>
</table>

Table 1: Case CTRL menu bar items
Figure 4: Screen layout

Figure 4 shows the details of the selected household. Within the selected household, the blue buttons represent actions for the household. The grey buttons gives access to detailed information about the household.
4 Using Search to find a case

After logging on to the Case CTRL, a list of cases you have to address is presented. After clicking on a case, the case details will be shown full screen. Via the dropdown list you can select Expanded- (default) or Collapsed-view.

Figure 5: Collapsed view
Figure 6: Expanded view

Figure 6 shows the collapsed view, in which only the households are shown.

The example mentioned above contains only a small selection of cases. In practice, however, you will probably have a larger sub sample available on your laptop. A convenient way of searching through the list of cases is provided in the search box (see figure 7.a).

Figure 7.a: The search box

The search box can be used to search cases or individuals by using the following search criteria:

- Numbers in the case ID (e.g. 999004) without country code
- Name of a household member in case of a household sample
- Street name from the households’ address
- City name or Zip code from the households’ address
- Telephone numbers

For all criteria, it is possible to enter only part of the search string, for example part of the household number or part of the household member’s name.

While typing in the search box, the search result will be given in the Sample Pane. By clicking on the funnel icon the Search options dialog appears. See figure 7.b
By selecting one of the households or panel members from the search result, the detailed information on that household will appear full screen. The next chapter will describe the use of this screen.

In the listing, household and household member can have different icons and colors, indicating the state of the household member (see figure 8) as well as the state of the household (see figure 10). Eligible respondents will display an orange icon; ineligible households will display a grey icon. When a household is in its initial state (No outcome), the icon will be black. As soon as all household members have completed the main interview, or are otherwise indicated with a final state, the household icon will turn to Completed in green. A household that needs further attention is depicted by an orange attention icon. Households with no eligible household members will have a grey ineligible icon. Refusals are shown with a red refusal icon.

Figure 8: Household member icons (Eligible / Ineligible)
Figure 9: overview of different household states (No outcome, Completed, Attention needed, Ineligible and Refusal)

Figure 10: New household

In order to return to the full sample listing, please click the “Clear search criteria” button on the Search options dialog (See figure 7.b).
5 How to view the case

5.1 Case details

5.1.1 General

After selecting a case (by clicking/tapping), information of that case will appear (see figure 11). This screen has two types of buttons (Grey: information and Blue: action).

![Household information](image)

*Figure 11: Household information*

Each case has a unique case ID. More information on the structure of this ID can be found in Appendix Error! Reference source not found.C.

5.1.2 Case contact details

The “Edit contact details” button shows information on the households’ address and contact information. These include the phone number, email address, street (and number), zip code, and city. You can edit the contact details by clicking on ‘Edit contact details’ here you can change the address, phone number or email address.
In case one of the members provides you with an address that will remain stable in the future (for example an address of a child in case the respondent might move to an institution soon), this should be stored under “Add new reference address” as shown in figure 13.

Figure 12: Edit contact details

Figure 13: Add new reference address
5.1.3 Household state

The Household screen also displays information about the state of the household as a whole. It provides information about the current state of the household as a whole and is derived from characteristics such as contact attempts entered by the interviewer and the actual state of the interview. The possible states are summarized in Appendix B.1.

5.1.4 Starting the coverscreen interview in SHARE

Before the individual interviews can start, you should first conduct the coverscreen interview with any knowledgeable member of the household. This respondent will then indicate the other household members. It is not possible to start the main interview with individual respondents before the coverscreen interview is completed.

You can start the coverscreen with the button “Start coverscreen”. More information about the coverscreen interview is given in the chapter “Conduct coverscreen interviews”.

5.2 Household member details

5.2.1 General

The individuals living in the household will be listed in the “Household members” screen.

Figure 14: The Household members screen

Here information on all household members (eligible and ineligible household members) like e.g. name, year of birth, “alive status” and who is living together with whom is listed. Each individual has a unique respondent ID, which is linked to the household ID of the household the person originates from. More information on the ID structure can be found in Appendix C. Further you can see whether a person is eligible or not (for more details on eligibility see Appendix D). Apart from that you can see in which year the respective person was sampled and participated in SHARE (5.2.2). Plus, you can update the proxy information (5.2.3).

5.2.2 Wave information for SHARE

The first wave in which an individual was listed is represented by the Sampled in indicator. This indicator can have the values 2004, 2006, 2008, 2010, 2012, 2014, 2016 pointing at respectively wave 1, wave 2, wave 3, wave 4, wave 5, wave 6 and wave 7. Household members added in the current wave will have value 2018 (wave 8).
Also the last time an individual participated is shown by the date (“Last participated”) “Waves participated” lists all waves a respondent participated in, for example waves participated 2, 3, 4, 5, 6, 7.

5.2.3 Proxy Information in SHARE

You can update proxy information; see if the respondent had a proxy last wave, and if a proxy is needed because you have to do an end of life interview.

![Proxy Information Screen](image)

*Figure 15: Proxy information screen*

By default, the proxy state will show “Proxy: -”. In order to enter the proxy information, click the “Update proxy info” link. The “Proxy information” screen will be shown as in Figure 16.

In case no proxy can be found, select 5. In case the proxy lives (or has lived) in the same household, select 8 (see figure 17) and click the appropriate household member. In case the proxy lives outside the household (and has not lived in the household), please select 9 and enter the proxy’s contact information (see figure 18). In case the proxy is (one of) the stable address(es), please select that particular stable address. When selecting a stable address for proxy, please make sure that the name information is correctly distributed with first name in the first field and last name in the second field.
Figure 16: Known household member proxy
Once the proxy information has been entered, the first name of the proxy will be displayed on the Household members tab as for example “Proxy: Gaby de Reek”. The proxy information can always be updated (see figure 18).
Figure 18: Updated proxy information

Figure 19: Reference addresses
6 How to add a new contact attempt

In most cases, you will first contact (one of) the household members before you visit the household to conduct the interview. These contacts can be telephone contacts, in person (face-to-face) or other contacts. When the first contact is made “In person” five additional questions about Area Information will be asked.

It is very important that you register the result of every contact. The result of the contact can be various and can affect an individual in the household, but also the household as a whole. Registering the contact can easily be done using the “Add new contact attempt” button in the Household overview screen, see figure 5).

After clicking this button the following screen is shown as in figure 20.a.

![Add new contact attempt](image)

*Figure 20.a: Add a new contact attempt – Date*

By default the date of today is displayed in the input box.
On the next screen (figure 20.b) the time is asked. By default the actual time is displayed in the input box:

![Image of the interface showing a new contact attempt with a time input field.

Figure 20.b: Add a new contact attempt – Time
Next select the type of contact (in person, by telephone or other), see figure 20.c.

**Figure 20.c: Add a new contact attempt – Type of contact**

Next is the Level of the contact attempt (Household as a whole or on an individual basis), see figure 20.d below.

**Figure 20.d: Add a new contact attempt - Level**
After which you indicate the contact result on the next screen (see figure 20.e).

Figure 20.e: Add a new contact attempt – Result of visit

All available codes on the household and individual level are listed in Appendix B.2.

**Result code 301 should only be used if somebody in the household died but nobody is willing or able to do the coverscreen.** After entering all contact details and setting code 301 a pop-up will ask you to specify the death date of all respondents that are registered with a 301 code.

If you make an appointment during the contact, this should be reflected in the contact result code you enter. For example, if you select “204 - Contact, appointment for re-contact”, the appointment date screen will be next (see figure 20.f) and input on the appointment date is required.
Figure 20.f: Add a new contact attempt – Appointment date

You can enter the date manually or click on the “…” button for the date selector to appear (see figure 20.h, below).

Figure 20.h: Add a new contact attempt – Select date dropdown
If a refusal was encountered the system will present the Refusal reason screen (see figure 20.g, below).

*Figure 20.g: Add a new contact attempt – Refusal reason*
After registering the contact, it will be listed in the contact history overview, as shown in Figure 21.

![Contact Overview](image)

**Figure 21: Contact Overview.**

**Agenda**
At the bottom right of the screen, an agenda-icon is displayed in which all appointments are listed. (See figure 22.a).

![Agenda-icon](image)

**Figure 22.a: Agenda-icon**

Clicking an appointment in the agenda will display the contact details. By default, the current week is displayed. By clicking the arrow keys of the Agenda, scrolling through time is possible.

![Bck and Next button](image)

**Figure 22.b: Bck and Next button**
Figure 23: Floating Agenda
Figure 24: Agenda via Menu
7 Making notes

The functionality to register contacts is also used for making notes. It is also possible to make notes without registering a contact. These notes can vary from personal observations (for example “Be aware: there is a dog in the garden”) to anything else you might want to register. After selecting the Notes button on the case overview screen (see figure 25). The Notes overview screen appears as in figure 26.

Figure 25: Notes button

![Notes button](image)

Figure 26: Notes overview

![Notes overview](image)
By clicking on the Add Note button the following screen appears as in Figure 27.

Figure 27: Adding a note
8 How to start the interview(s)?

8.1 Screen Household

The Case CTRL system supports the screening of refreshment households for which it is uncertain that they contain eligible household-members (Address/household sample). In order to uncover eligible household members these household need to be screened. To select the unscreened households, click on the Funnel icon to popup the Search options (see figure 28).

![Figure 28: Selecting unscreened households](image)

After selecting this option, the system will only show unscreened households. After selecting a household, the “Screen household” button will be available on the household overview screen as shown in figure 29)
Figure 29: Screen household button

After clicking the “Screen household” option the screen as shown in figure 30 will appear.

Figure 30: Screening households

This is the start of a short form which will allow you to enter date, time, type of contact and result of the visit. After filling out this form, click on the “Finish” button to finalize the screening process as in figure 31.
Figure 31: Finalize screening of household.

If a household is screened with enough information, it will disappear from the sample list. If eligible persons are available in the household, the household can be found in the list of uncompleted households. If no eligible persons were found, this household can be found in the “Ineligible screened household” sample.

8.2 Conduct coverscreen interviews for SHARE

Before you can conduct an individual interview in SHARE, an interview on the household level (indicated as the coverscreen) should be conducted. To start this interview, click “Start coverscreen” on the case overview screen. The coverscreen will guide you through the questions about the characteristics of the household members (name, year of birth, sex) and household composition (moved out, moved in, deceased).

The coverscreen interview differs depending on interviewing a longitudinal household and households of a baseline or refreshment sample.
Figure 32: Coverscreen - Introduction

Figure 33: Coverscreen – Household type
**Figure 34a: Coverscreen – Household composition**

<table>
<thead>
<tr>
<th>Edit</th>
<th>CV</th>
<th>First name</th>
<th>Last name</th>
<th>Month of birth (number)</th>
<th>Year of birth</th>
<th>Gender</th>
<th>Proxy</th>
<th>Deceased</th>
<th>Checked</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>Meno</td>
<td>Podolski</td>
<td>6</td>
<td>1923</td>
<td>Male</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>0</td>
<td>Isabel</td>
<td>Podolski</td>
<td>8</td>
<td>1930</td>
<td>Female</td>
<td></td>
<td></td>
<td>✔️</td>
</tr>
</tbody>
</table>

Add person

Check that CV respondent is ticked and that ‘checked’ radio button is ticked.

**Figure 34b: Coverscreen – Household composition - checked**
Figure 35: Coverscreen – Relations

Figure 36: Coverscreen – Household moved
After completing all information, a summary page is shown (see figure 37) on which all information is listed and which you should read out aloud and verify together with the respondent. If some information is false, please go back and enter the correct information in the respective fields. After confirming that it is all correct, you will be guided to the Household members screen as shown in figure 38.
Figure 38: Household members

After completing the Coverscreen wizard, the household state will change to “Not cooperating, pending”.

**Note:** in case a coverscreen is aborted during the interview, all information entered will be deleted.

**Note:** After the CV is finished and you find out that you made a mistake you can’t directly redo the CV for the current household.

The only way to redo the CV is by reverting the household to a state before the CV was. This is explained in chapter 10.
8.3  Conduct the individual main interview

As soon as the “Start interview” link for an individual is clicked, a pop-up window will appear, asking you for a confirmation of starting the interview.

![Start interview confirmation](image)

*Figure 39: Start interview confirmation*

After the start interview confirmation pop-up another pop-up will show asking the respondent if he agrees or disagree with preloading information from the last interview (see figure 40).
As soon as the interview is started but not finished, the household state will show "Cooperating, interruption/break-off". After an individual main interview has been completed, the state will show "Cooperating, HH not completed" or "Cooperating, HH completed". In contrast to the coverscreen, the main interview can be aborted without losing information that has been entered.
9 Communicating with the agency

9.1 Synchronizing between laptop and agency

You can synchronize the laptop by selecting Sync from the main menu (see figure 4). It is also possible to change the settings so that Case CTRL automatically start synchronization on startup or when you logout of the application. You can find these options in the settings panel shown in figure 41, which you can access by clicking the lower right cog icon. Every time you sync the current state off all households and interviews are synced to the server so the sync process can take up some time.

![Application options - Synchronization settings](image)

Figure 41: Application options - Synchronization settings

9.2 Sync log

You can see when successful synchronizations have taken place by selecting “Sync log” from the main menu (see figure 4). A screen like figure 42 will appear.

The sync log gives an overview of all successful synchronizations between Case CTRL and Sample CTRL.
Figure 42: Sync Log
10 Advanced

10.1 Cancelling the coverscreen interview

If a coverscreen interview has been started by accident, it is possible to abort it by closing the window. Please note that this will erase all data from the coverscreen interview typed in so far.

10.2 Undo a completed coverscreen interview

If you want to undo a completed coverscreen interview, the Case CTRL supports a "revert" mechanism. Using this mechanism, the Case CTRL will revert to the state before conducting the coverscreen (for the selected household).

The coverscreen can be rolled back using the "Extra" button (see figure 43), after which the "Case history" (figure 44) screen appears.

Figure 43: “Case History” button

![Figure 43: “Case History” button](image)

Figure 44: Case history

![Figure 44: Case history](image)
By clicking on the “Compare” button of the CV entry the “Household differences” popup appears as in figure 45.

<table>
<thead>
<tr>
<th>What changed</th>
<th>Old value</th>
<th>Current value</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASE.CVDONE</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Household state</td>
<td>No contact attempt yet</td>
<td>Not cooperating, pending</td>
</tr>
</tbody>
</table>

Figure 45: Household differences popup

When entering a revert remark and clicking on Ok the CV is reverted to its original state.
**Figure 46: Reverting a coverscreen**

**Note:** Rolling back the coverscreen will reset the Case CTRL to the original state before completing the CV. This will also undo all notes and contacts that are registered in the meantime.

**Note:** You can also revert the revert of a coverscreen, i.e. restoring the coverscreen like it was after you finished it.
By using the "Contacts" button (figure 47) on the Household overview, a listing of all given result codes is given (as shown in figure 48).

**Figure 47: Contacts button**

If the coverscreen is undone, the main interviews that might have been (partially) conducted with individuals will be reset as well. However, completed and already started interviews can always be restored after the coverscreen is redone. This feature is included because in some cases only part of the household listing was wrong, and (some of) the completed interviews or interviews that already started were correct.

**Figure 48: Result codes**
10.3 Refusals

The Case CTRL distinguishes between two types of refusals:

213. Temporary refusal
214. Refusal, advice needed

If an interviewer encounters a soft refusal, he/she should contact the household again and try to obtain an interview because soft refusals are mostly due to the mood of the contacted person at that moment, or it was some other issue of the specific situation when the interviewer contacted the household (e.g. busy with something else). Those circumstances can be different if the household is contacted again and then respondents may be willing to participate.

In addition, the Case CTRL refusals (214) that require advice from the management of the survey agency. This refusal should only be set in case an interviewer does not know how to proceed with a particular household/respondent any more. It is now advisable to re-assign the household to another, ideally very experienced interviewer. That interviewer should contact the household again and try to obtain an interview.

10.4 Viewing the history and rollback

The Case CTRL provides you with an option to view several states that are recorded during the fieldwork. A state can be seen as a combination of the household and household member states, the interview state, all notes and contact results, etc. at a certain point in time. This listing of states can be found using the “Case history” button (figure 49) in the Household overview screen (see figure xx). After which the “Case history” screen appears as in figure 50.

*Figure 49: “Case history” button*
In order to roll back to a certain state, please right click on the “Compare” button of one of the states that are listed.

**NOTE:** If you decide to roll back to a certain state in the past, note that this will undo all actions between the current state and the state you are rolling back to. Therefore, be very careful in using this option. If you decide to roll back, you must make a remark of this.
Figure 51 b: Revert to a state – add remark

After you have verified the changes and are very sure that the rollback can take place, you can revert to the previous state by entering a remark on the reason why you reverted to the previous state and clicking on the “Ok button”.

<table>
<thead>
<tr>
<th>What changed</th>
<th>Old value</th>
<th>Current value</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASE.CVDONE</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Household state</td>
<td>No contact attempt yet</td>
<td>Not cooperating, pending</td>
</tr>
</tbody>
</table>

Restore the coverscreen
11 Configuration

You can configure certain aspects of Case CTRL via the “Application options” screen, which you can access by clicking the cog icon on the lower right of the Case CTRL screen:

On this screen, you have several options:

- **Login Settings** – This allows you to change the login URL and credentials for the connection to Case CTRL. Click on “Login save” to store your changes. This will check the interviewer password on the Sample CTRL server and if correct updates it on the client.

- **Synchronization settings** – Allows you set extra synchronization options

- **Other settings** – A collection of other options:
  - **Reload testcases** – in case you are working with test cases, clicking this button will reset the test cases to their starting state. This will discard any work you have done on the testcases.
  - **Login with a different account** – This will log you out of Case CTRL so you can log in as a different user or URL. Once clicked, you will be shown a warning dialog. **Please note:** If you click “OK” in the warning dialog, any data that you have not yet synchronized will be lost. Please make sure you have synchronized with Sample CTRL before doing this. Once confirmed, you will be transported to the login screen.
12 How to (examples)

12.1 Look up cases

After you entered the application, you see a list with all cases assigned to you. You can filter or search the cases as described in chapter 4. You can search on id, name or address. Filters you can apply are by sample type or the state of the household.

12.2 Changing the contact details

After selecting a case you go to the case details where you have an action (blue) button “Edit contact details. Here you can change the address of the household, the phone numbers and email addresses. You can also specify if the address really change or it is only an administrative change.

12.3 Add a contact attempt

On the case detail screen you find the “add new contact attempt” button. Here you are lead to a form where you have to specify the date, time and mode of the contact and on which level (household or individual member) the contact took place. Detailed information is available in chapter 6. A list of all available contact is in appendix B.2.

12.4 Add a reference address

The Reference address is used to add relations of the household members in case the household itself is moved for some reason. You can add multiple addresses per household via the “Add new reference button”. These addresses can also be set as proxy for a specific household member. More information is available in section 5.2.3

12.5 Make a note

You can make general notes not attached to a contact attempt via the notes overview. After selecting a case you need to go to the notes overview and press the add note button. Here you can enter the note.

12.6 Conduct a coverscreen

The coverscreen should be done before an individual interview can be conducted and should be used to correct mistakes in the information we have of existing household members, to add new household members or to move out members who do not live in the household anymore. Detailed information can be found in section 8.2.

12.7 Start an interview

When you completed the coverscreen, the application checks the eligibility for the household members. The program enables the start interview button for those members who are eligible for an interview. You can start the interview via the household members tab. You first get a pop confirming you are about to interview the correct person. Then for a longitudinal interview one is asked if the respondent gives consent to load earlier given answers.
12.8 Revert a household in case of a mistake

In case made a mistake for example you moved out the wrong person in the cover screen or you conducted an interview with the wrong person you can also revert the complete state of the household to an earlier state. This is done via the case history tab. Where you see all changes

12.9 Sync the information

All data you entered in the application is stored in a database on the local system. You must synchronize the information to the server, this can done via the sync button in the menu or automaticity if set in the application settings as explained in chapter 9.
A Installation of the Case CTRL

A.1 Requirements

Before installing the SHARE Wave8 Case CTRL, make sure that you have proper installation rights. For installing Case CTRL one should have read/write right in the root-directory and all subdirectories. The installation will also adapt the MS Windows registry.

A.2 Installation

Run the setup executable to start the installation. Follow the steps below. In case you are reinstalling the application, a backup directory containing the database will be created. The installation wizard will notice that an earlier installation exists and will give the option to cancel the installation. Proceeding with the installation will overwrite the previous version. The installation for wave6 is the same as the one for wave5.

After running the executable, the following warning might appear.

Open File - Security Warning

The publisher could not be verified. Are you sure you want to run this software?

Name: ...ARE_CASE-CTRL_8_1_6_CAPI_en_GB_8_1_6_d.exe
Publisher: Unknown Publisher
Type: Application
From: D:\Users\mpauwu\Downloads\Setup_SHARE_CA...

Run  Cancel

Always ask before opening this file

This file does not have a valid digital signature that verifies its publisher. You should only run software from publishers you trust. How can I decide what software to run?

This warning can be ignored. Choose option ‘Run’ and the installation will proceed.
Step 1: Installation wizard first step

Step 2: Select a directory
Step 3: Choose Start Menu Folder

Step 4a: Installing files
Step 4b: Installing files

Step 5: Start CAPI
**Step 6: Initialize Blaise**

**Step 7: Blaise initialized**

**Note that a desktop shortcut is automatically created.**

In case a previous installation is already present on your computer, the Case CTRL will make a backup of the data files and displays a warning as shown below.
In case the backup copy cannot be created, a warning will be shown.

This may indicate that some parts of the (previously installed) program are still open and needs to be closed before you can continue. In case you are sure everything is closed, please backup the "data", "workspace" and "capi" directory from the installation directory yourself. After backup, delete these directories and start the installation again. Note that if the directories are not deleted, the installation will not continue.
# B List of household states and event codes

## B.1 List of household states

The household state is based on the current AAPOR-based sample state of each household. It provides information about the household as a whole and is derived from characteristics such as contact attempts entered by the interviewer and the actual state of the interview. Please note that the states are sorted by hierarchical order, which means that any succeeding household state tops the previous one. All codes starting with the abbreviation UE apply only to households that need to be screened for age-eligibility. The following table provides an overview of the household states, their interpretation, and the actions to be taken by the interviewer.

<table>
<thead>
<tr>
<th>Abbr. sample state</th>
<th>Household state label</th>
<th>Interpretation</th>
<th>Actions to be taken by the interviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>NE</td>
<td>Not eligible</td>
<td>The household is not eligible for an interview.</td>
<td>No further action necessary.</td>
</tr>
<tr>
<td>UENCA (only CZ, FR and GR)</td>
<td>No screening attempt yet</td>
<td>The eligibility of the household and its members is still to be determined via screening.</td>
<td>Try to screen the household by using the screening function in the &quot;Household&quot; tab of the SMS client.</td>
</tr>
<tr>
<td>UENC (only CZ, FR and GR)</td>
<td>Not screened yet, not reached yet</td>
<td>The household was attempted for screening, but the eligibility of the household and its members could not be determined via screening yet because nobody could be reached.</td>
<td>Try to screen the household again (at different days of the week and different times of the day).</td>
</tr>
<tr>
<td>UEO (only CZ, FR and GR)</td>
<td>Not screened yet, pending</td>
<td>The household was attempted for contact, but the eligibility of the household and its members could not be determined via screening yet for any other reason than refusal (e.g. &quot;I'm in a hurry. Please come back tomorrow.&quot;).</td>
<td>Try to screen the household again (at different days of the week and different times of the day or as indicated by the respondent).</td>
</tr>
<tr>
<td>UER (only CZ, FR and GR)</td>
<td>Not screened yet, reluctant</td>
<td>The household was attempted for screening, but the eligibility of the household and its members could not be determined via screening yet because somebody was reluctant or refused to provide information about the eligibility of the household members.</td>
<td>If possible, try to screen the household again (before setting a refusal code).</td>
</tr>
<tr>
<td>E</td>
<td>No contact attempt yet</td>
<td>The household is eligible (according to information obtained from a register) but has not been attempted for contact yet.</td>
<td>Try to contact the household.</td>
</tr>
<tr>
<td>NC</td>
<td>Not reached yet</td>
<td>The household was attempted for contact, but nobody could be reached.</td>
<td>Try to contact the household again (at different days of the week and different times of the day).</td>
</tr>
<tr>
<td>O</td>
<td>Not cooperating, pending</td>
<td>The household was attempted for contact and somebody could be reached. No cooperation could be established yet, but none of the household members has refused either.</td>
<td>Try to establish cooperation.</td>
</tr>
<tr>
<td>R</td>
<td>Not cooperating, reluctant</td>
<td>The household was attempted for contact. Somebody could be reached, but no cooperation could be established yet. At least one previous contact had been a refusal.</td>
<td>Check the whole contact history in the &quot;Contacts&quot; tab for details. If possible, try to establish cooperation; otherwise contact the survey agency for advice.</td>
</tr>
<tr>
<td>II</td>
<td>Interrupted interview</td>
<td>Cooperating, interruption/break off</td>
<td>Check if interruption or break off. If interruption, continue interview.</td>
</tr>
</tbody>
</table>
Cooperating, HH not completed

Applies only to households with at least 2 eligible household members: Not all required interviews with all eligible household members are completed.

Check history for non-cooperating eligible household members. If possible, try to establish cooperation.

Cooperating, HH completed

Interviews with all eligible household members are completed.

Synchronize data.

B.2 List of event/contact codes on household / respondent level

<table>
<thead>
<tr>
<th>Code</th>
<th>Level</th>
<th>Type of event</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Coverscreen interview started</td>
</tr>
<tr>
<td>101</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Coverscreen interview completed</td>
</tr>
<tr>
<td>104</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Main or exit interview break off (Interruption)</td>
</tr>
<tr>
<td>110</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Main interview started</td>
</tr>
<tr>
<td>111</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Main interview completed</td>
</tr>
<tr>
<td>120</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Exit interview started</td>
</tr>
<tr>
<td>121</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Exit interview completed</td>
</tr>
<tr>
<td>201</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>No answer, no contact</td>
</tr>
<tr>
<td>202</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Contact, try again</td>
</tr>
<tr>
<td>203</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Contact, appointment for interview</td>
</tr>
<tr>
<td>204</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Contact, appointment for another contact</td>
</tr>
<tr>
<td>213</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Temporary refusal</td>
</tr>
<tr>
<td>214</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Refusal, advice needed - too busy, no time</td>
</tr>
<tr>
<td>301</td>
<td>R</td>
<td>Filling the Contact Registration Form</td>
<td>Deceased</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Code</th>
<th>Level</th>
<th>Type of event</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>401</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>In hospital</td>
</tr>
<tr>
<td>402</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>In old-age home</td>
</tr>
<tr>
<td>403</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>In prison</td>
</tr>
<tr>
<td>404</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Moved abroad</td>
</tr>
<tr>
<td>405</td>
<td>H+R</td>
<td>Filling the Contact Registration Form</td>
<td>Language barrier</td>
</tr>
<tr>
<td>406</td>
<td>H</td>
<td>Filling the Contact Registration Form</td>
<td>Moved - new address known</td>
</tr>
<tr>
<td>407</td>
<td>H</td>
<td>Filling the Contact Registration Form</td>
<td>Moved - new address unknown</td>
</tr>
<tr>
<td>408</td>
<td>H</td>
<td>Filling the Contact Registration Form</td>
<td>Address non-existent, house vacant</td>
</tr>
</tbody>
</table>
C  ID structure

Basically there are two different IDs:

1. household IDs (e.g. cc-hhhhh-s)
2. respondent IDs (e.g. cc-hhhhh-rr)

Household IDs include the following information:

- **cc**: country code, test cases are coded with TT.
- **hhhhhh**: household identifier (unique per country and across waves)
- **s**: split

All original sample households will have an “A” as indicator. If there is an eligible split-household, the indicator will be “B”. In case a household resulting from a split off that consists of only non-eligible respondents, this will be indicated by an “X”.

Respondent IDs are fixed across waves and include the following information:

- **cc**: country code, test cases are coded with TT
- **hhhhhh**: household identifier (unique per country and across waves)
- **rr**: respondent identifier
D Eligibility rules in SHARE

Definition of Age-Eligibility:

Anyone who was 50 or older in the year that he/she was first sampled is age-eligible (e.g. year of birth was 1954 or earlier in wave 1, 1969 in wave 8)

Eligibility Rules for longitudinal sample:

- Eligibility of any longitudinal respondent to be re-interviewed is conditional on national privacy and data protection laws. If a longitudinal respondent refused in any previous wave, she or he will only be approached again if national privacy and data protection laws allow to do so.
- All respondents who were interviewed in any previous wave will be interviewed again.
- For age-eligible respondents who participated in the survey, end of life interviews will be conducted if they have deceased.
- Age-eligible respondents who moved within the country or into a nursing home, hospital or other old-age institution will be tracked and re-interviewed if they have participated before.
- Current partners (living in the same household) of age eligible respondents are eligible regardless of age.

People will not be tracked and are not eligible for an end of life interview if:

- They have not been age-eligible at the time the household was sampled (younger partners);
- They were not living in the household at the time of sampling (new partners); or
- They have never participated in any previous wave.

Respondents who are incarcerated, reside outside of the country during the entire survey fieldwork period or moved abroad are defined as ineligible.

The panel sample consists of four subsamples:

Subsample A: all respondents who participated in the last SHARE wave.

Subsample B: all respondents who participated in any previous SHARE wave, but not in the last SHARE wave, and live in a household where at least one household member participated in the last wave.

Subsample C: all respondents who participated in any previous SHARE wave, but not in the last SHARE, and do not live in a household where at least one household member participated in the last SHARE wave.

Subsample D: all non-responding spouses/partners and new spouses/partners who have not participated in any previous SHARE wave so far.
Eligibility Rules for refreshment sample:

The target population consists of all persons aged 50 and over at the time of sampling together with their partners/spouses, independent of age.

Within the household one age-eligible member plus his/her partner/spouse will be interviewed. The procedures for choosing the designated respondent are as follows:

- In case of a sample frame of individuals (e.g., based on registry records), the designated respondent plus his/her spouse (independent of age) will be interviewed. No other person in the household will be interviewed, even if age-eligible. For such sampling frames, residents of nursing and foster homes should be included in the sampling design and must be interviewed.

- In case of a sample frame of households (e.g., based on dwelling records or phone numbers), one individual out of all age-eligible respondents will be randomly selected by the SHARE Sample Management System. Only the randomly selected respondent plus his/her spouse (independent of age) will be interviewed. No other person in the household will be interviewed, even if age-eligible. For such sampling frames, residents of nursing and foster homes will not be interviewed.

Drawn persons are not eligible for an interview if they:

- are deceased;
- are incarcerated during the entire survey period;
- are hospitalised during the entire survey period;
- are out of the country during the entire survey period;
- are unable to speak countries’ languages;
- moved to an unknown address;
- or if the address is non-existent.
E Questions

a. Should persons in religious communities/monasteries be surveyed?

*If yes, what should these persons answer in the first question of the coverscreen? (Does the eligible respondent live in a private household or in a nursing home?)*

Yes, please interview them as living in a private household, not nursing home (otherwise they will get questions about the costs of staying in the nursing home etc.). In addition, it would be good to set a remark that the interview takes place in a monastery. You could also include the information in the documentation (fieldwork issues template).

b. Two selected/drawn respondents who live together in one household have to be documented in the fieldwork issues template. What should be done with the “surplus” household?

You can use add a note to close the surplus household.

c. If a respondent does not want to continue the survey, how should this case be handled?

There is no need to do anything from your side. The general rule is just to leave it as it is. But if you want to complete the household, you should set a remark in the Case CTRL and document the case. The agency can also unassign the case so it is not visible for you anymore.