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Adaptation of the AAPOR Final Disposition Codes for the German Survey Context

GESIS Survey Guidelines

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These slides are based on the GESIS Survey Guideline paper about the adaptation of the AAPOR final disposition codes for the German survey context:

Stadtmüller, S., Silber, H., Daikeler, J., Martin, S., Sand, M., Schmich, P., Schröder, J., Struminskaya, B., Weyandt, K. W., & Zabal, A. (2019). Adaptation of the AAPOR Final Disposition Codes for the German Survey Context. Mannheim, GESIS – Leibniz-Institute for the Social Sciences (GESIS – Survey Guidelines). doi: 10.15465/gesis-sg_en_026

Please cite the slides as:

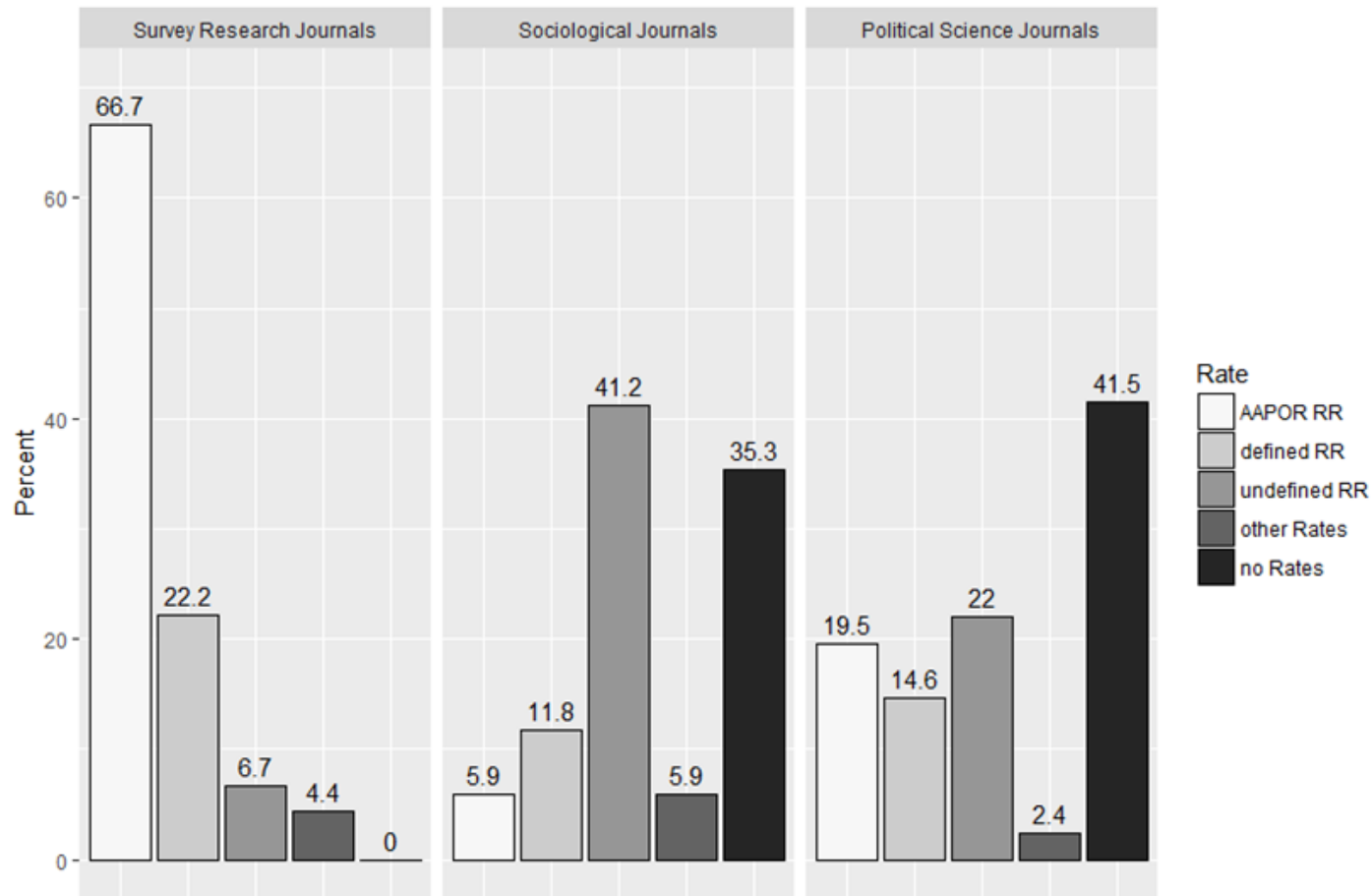
Stadtmüller, S., Silber, H., Daikeler, J., Martin, S., Sand, M., Schmich, P., Schröder, J., Struminskaya, B., Weyandt, K. W., & Zabal, A. (2020). Slide Set: Adaptation of the AAPOR Final Disposition Codes for the German Survey Context. GESIS Survey Guidelines. Mannheim, Germany: GESIS – Leibniz Institute for the Social Sciences.

A complete list of all references used on these slides can be found in the above mentioned Survey Guideline paper.

AAPOR final disposition codes

- Response rates are one of the most widely considered survey quality indicators
- Reported response rates and their calculation should be transparent
 - ▶ Which persons were excluded from its calculation and why?
 - ▶ Which persons were regarded as not eligible?
- AAPOR final disposition codes suggest a classification for the reporting of response rates
- However, this classification is often disregarded by researchers...

Practices in reporting response rates



von Hermanni, H., & Lemcke, J. (2017). A Review of Reporting Standards in Academic Journals – A Research Note. Survey Methods: Insights from the Field. Retrieved from <https://surveyinsights.org/?p=8625>

AAPOR final disposition codes

- In Germany, the proportion of survey programs that report response rates according to the AAPOR classification is even lower
 - ▶ The AAPOR final disposition codes were developed for the US survey landscape
 - ▶ So far there is no standardized approach to adapt these codes for the German context
- In the GESIS Survey Guideline, we propose adaptations for telephone, face-to-face, internet, and mail surveys

AAPOR final disposition codes

- AAPOR final disposition codes are grouped into four main categories
 1. Persons that were eligible and interviewed
 2. Persons that were eligible but not interviewed
 3. Persons of unknown eligibility that were not interviewed
 4. Persons that were not eligible and not interviewed

Telephone surveys

- Basically, there are no major differences in the technical procedures between the US and Germany
- The GESIS Survey Guideline clarifies how AAPOR final disposition codes should be used in practice
 - ▶ Dealing with numerous unanswered contact attempts is crucial for calculating the response rate
 - ▶ Software solutions (Predictive Dialer, HLR Lookups) help to distinguish the hard to reach-population from non-existing telephone accesses
 - ▶ Disposition codes should be based on the „most informative“ call attempt (rather than on the outcome of the last call attempt)

Face-to-face surveys


- AAPOR final disposition codes are specifically designed for surveys based on household sampling
- In Germany, a registry-based sampling approach (with a sample of individuals) is more common for high-quality surveys
 - ▶ AAPOR final disposition codes are not directly applicable but require various adaptations
- The GESIS Survey Guideline provides a proposal for disposition codes that can be used for the registry-based sampling approach

Internet surveys

- Adaptation of AAPOR final disposition codes is straightforward
 - ▶ Internet „works the same“ all over the world
- Special case: Probability-based online panels
 - ▶ GESIS Survey Guideline includes a case-study (GESIS Panel) to show how to document response outcomes and how to calculate response rates in this case

Mail surveys

- AAPOR final disposition codes take into account the large variety of information provided by USPS about reasons for not deliverable letters
- In Germany, the information provided by Deutsche Post is far less detailed and depends on the mode of delivery
- The Survey Guideline proposes appropriate adaptations

Deutsche Post 	
Zurück	
<input checked="" type="checkbox"/>	Empfänger/Firma unter der angegebenen Anschrift nicht zu ermitteln.
<input type="checkbox"/>	Empfänger verzogen. Einwilligung zur Weitergabe der neuen Anschrift liegt nicht vor.
<input type="checkbox"/>	Annahme verweigert.
<input type="checkbox"/>	Empfänger soll verstorben sein.
Nz. Tag/Monat 912-510-100	



Recipient cannot be determined at that address; Code: 3.311



Recipient moved. No consent to pass the new address available; Code: 3.32



Acceptance refused; Code: 3.231



Recipient reportedly deceased Code: 2.31

Example I: Final disposition codes for mail surveys (extract)

Table A4: Final Disposition Codes for Mail Surveys of Specifically Named Persons in Germany (standard delivery)

# Code	Final Disposition Codes
1.0	Returned questionnaire
...	...
2.0	Eligible, "Non-Interview"
...	...
2.31	Death (including Deutsche Post-category: Empfänger soll verstorben sein)
...	...
3.0	Unknown eligibility, "non-interview"
3.10	Nothing known about respondent or address
3.11	Not mailed
3.19	Nothing ever returned
3.20	Unknown if eligible respondent in unit
3.21	No screener completed
3.231	Deutsche Post-category: Annahme verweigert
3.30	Unknown Whereabouts, Mailing Returned Undelivered
3.311	Deutsche Post-category: Empfänger/Firma unter der angegebenen Anschrift nicht zu ermitteln
3.32	Deutsche Post-category: Empfänger verzogen. Einwilligung zur Weitergabe der neuen Anschrift liegt nicht vor.
3.33	Deutsche Post-category: Zu wenig Porto
...	...
4.0	Not eligible
...	...

Example II: Final disposition codes for face-to-face surveys

Table A2: Final disposition codes for registry-based face-to-face surveys

# Code	Final Disposition Codes
1.0	Interview
1.1	Complete
1.2	Partial
2.0	Eligible, non-interview
2.10	Refusal and break-offs
2.11	Refusals
2.111	Household-level refusal
2.112	Known-respondent refusal
2.12	Break-off
2.20	Non-contact
2.23	Unable to enter building/reach housing unit
2.24	No one at residence
2.25	Respondent away/unavailable
2.40	Respondent moved
2.41	Respondent moved within country but cannot be followed up
2.42	Respondent moved abroad after status date
2.43	Respondent moved to institution after status date
2.50	Not attempted or worked
2.30	Other
2.31	Respondent died after status date
2.32	Physically or mentally unable/incompetent
2.33	Language problem
2.331	Household-level language problem
2.332	Respondent language problem
2.333	No interviewer available for needed language
2.36	Miscellaneous
3.0	Unknown eligibility, non-interview
3.80	Unknown whereabouts
3.81	Respondent moved, unknown whereabouts
3.82	Respondent not known at address
3.90	Other
4.0	Not eligible
4.10	Out of sample
4.16	Respondent moved to institution prior to status date
4.17	Respondent moved abroad prior to status date
4.18	Respondent died prior to status date
4.19	Address does not exist or not residential address
4.90	Other

Thank you for your attention

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