

The Survey of Health, Aging, and Retirement in Europe – Methodology

September 2005

Edited by:

Axel Börsch-Supan (Coordinator)
Hendrik Jürges

Authors:

Kirsten H. Alcser
Grant Benson
Axel Börsch-Supan
Agar Brugiavini
Dimitrios Christelis
Enrica Croda
Marcel Das
Giuseppe de Luca
Janet Harkness
Patrik Hesselius
Tullio Jappelli
Hendrik Jürges
Adriaan Kalwij
Marie-Louise Kemperman
Anders Klevmarken
Oliver Lipp
Omar Paccagnella
Mario Padula
Franco Perrachi
Roberta Rainato
Arthur van Soest
Bengt Swensson
Corrie Vis
Giuglielmo Weber
Bas Weerman

Mannheim Research Institute for the Economics of Aging (MEA)
L13, 17
68131 Mannheim

Published by:

Mannheim Research Institute for the Economics of Aging (MEA)
L13, 17
68131 Mannheim
Tel: +49-621-181-1862
Fax: +49-621-181-1863
Internet: www.mea.uni-mannheim.de

The SHARE data collection has been primarily funded by the European Commission through the 5th framework programme (project QLK6-CT-2001-00360 in the thematic programme Quality of Life). Additional funding came from the US National Institute on Ageing (U01 AG09740-13S2, P01 AG005842, P01 AG08291, P30 AG12815, Y1-AG-4553-01 and OGHA 04-064). Data collection in Austria (through the Austrian Science Fund, FWF), Belgium (through the Belgian Science Policy Office) and Switzerland (through BBW/OFES/UFES) was nationally funded.

Printed by
Strauss GmbH
Robert Bosch Str. 6-8
69509 Mörlenbach

© Mannheim Research Institute for the Economics of Aging, 2005

ISBN 3-00-017215-7

Contents:

	page
1 Introduction <i>Axel Börsch-Supan</i>	5
2 The SHARE Development Process <i>Axel Börsch-Supan and Marie-Louise Kemperman</i>	7
3 Developing the Survey Instruments for SHARE <i>Marcel Das, Corrie Vis, and Bas Weerman</i>	12
4 SHARE Translation Procedures and Translation Assessment <i>Janet Harkness</i>	24
5 The SHARE Sampling Procedures and Calibrated Designs Weights <i>Anders Klevmarcken, Patrik Hesselius, and Bengt Swensson</i>	28
6 The SHARE Train-the-Trainer Program <i>Kirsten H. Alcer and Grant Benson</i>	70
7 Fieldwork and Survey Management in SHARE <i>Giuseppe de Luca and Oliver Lipp</i>	75
8 Interview, Module, and Question Length in SHARE <i>Hendrik Jürges</i>	82
9 Survey Participation in the First Wave of SHARE <i>Giuseppe de Luca and Franco Peracchi</i>	88
10 Generated Income Variables in SHARE Release 1 <i>Agar Brugiavini, Enrica Croda, Omar Paccagnella, Roberta Rainato, and Guglielmo Weber</i>	105
11 Generated Asset Variables in SHARE Release 1 <i>Dimitrios Christelis, Tullio Jappelli, and Mario Padula</i>	114
12 Item Non-Response and Alternative Imputation Procedures <i>Adriaan Kalwij and Arthur van Soest</i>	128
Appendix A SHARE Participants	151
Appendix B Paper Version of the SHARE CAPI Instrument	156
Appendix C Showcards	281
Appendix D Self-completion Questionnaire	321
Appendix E Translation Guidelines	337
Appendix F Model Specifications	342
Appendix G Contributors	352

1 Introduction

Axel Börsch-Supan

Understanding ageing and how it affects individuals in the diverse cultural settings of Europe is the main aim of SHARE, the Survey of Health, Ageing and Retirement in Europe. By July 31st 2005, SHARE has collected data on the individual life circumstances of 25,719 persons aged 50 and over in 11 European countries, ranging from Scandinavia to the Mediterranean. Release 1, published at the end of April 2005, makes 22,777 records available to the scientific community. Data collection in Israel is starting in the Fall of 2005. SHARE has made great efforts to deliver truly comparable data, so we can reliably study how differences in cultures, living conditions and policy approaches shape the quality of life of Europeans just before and after retirement. SHARE is planning to have a second data release in 2006.

The “SHARE First Results Book” (Börsch-Supan et al., 2005) documents what can be learned from the SHARE data on the health, economic and social living conditions of Europeans aged 50 and over. It collects some 40 articles written by those people who have designed SHARE. It is based on the very first data release (“Release 0”) in November 2004.

This volume complements and adds methodological details to the “SHARE First Results Book”. After this introduction, the next three chapters describe how the survey instrument was developed: Chapter 2 refers to the substantive contents, Chapter 3 to the electronic CAPI realisation, and Chapter 4 to the complex translation and adjudication process. Chapter 5 introduces the sampling frame and the weights used in the first release of the SHARE data. Chapters 6 and 7 describe the actual field work, first the extensive interviewer training and then the actual field work and sample management procedures. Chapters 8 and 9 discuss meta data from the survey (interview length and response rates), referring to Release 1 of the data that was published in April 2004. Finally, Chapters 10 through 12 describe what additional data has been generated from the raw data.

The extensive appendix to this volume contains materials used during survey development and fieldwork: the SHARE CAPI and self-completion questionnaire, showcards, translation guidelines, and the model contract with the survey agencies.

An enterprise like SHARE owes a great debt to many people. Foremost of those who deserve recognition are the participants in the study. They have given generously of their time in the SHARE interview. As editors and authors of this book, and particularly as researchers, we hope that participating in the interview has been of interest to them and that the value of this work is apparent - and, of course, that they will continue to participate in the study.

Special thanks go to those who have inspired SHARE. Arie Kapteyn, Mike Hurd, Jim Smith and Bob Willis have been instrumental to create the process that has led to the creation of SHARE, long before the current group of SHARE researchers have assembled to write grant proposals and to start the actual work.

We thank those who pay for SHARE. The SHARE data collection has been mainly funded by the European Commission through the 5th framework programme (project QLK6-CT-2001-00360 in the thematic programme “Quality of Life” programme area). We thank Maria Theofilatou and Kevin McCarthy for their continuing support of SHARE. The analytical work in this book has also been funded through the 5th framework programme, under the project name of AMANDA (“Advanced Multidisciplinary Analysis of New Data on Ageing”, QLK6-CT-2002-002426). AMANDA will also support further behavioural analyses to be

based on the next releases of the SHARE and ELSA data sets. Substantial co-funding for add-ons such as the intensive training programme for SHARE interviewers came from the US National Institute on Ageing (U01-AG09740-13S2, P01-AG005842, P01-AG08291, P30-AG12815, Y1-AG455301 and OGHA 04-064). We thank Richard Suzman for his enduring support and intellectual input. Some SHARE countries also had some extent of national co-funding, and three countries – Austria (through the Austrian Science Fund, FWF), Belgium (through the Belgian Science Policy Administration) and Switzerland (through BBW/OFES/UFES) – were mainly nationally funded.

SHARE is large enterprise. About 150 researchers from at least 16 countries are currently involved in SHARE. SHARE has been on a very tight time and monetary budget. It has been the enthusiasm and the hard work of these many researchers that have made SHARE possible. Appendix A lists all participants in SHARE, organised by working groups and country teams.

The core of the SHARE day-to-day management took place at the Mannheim Research Institute for the Economics of Ageing (MEA) and at CentERdata. We thank Marcel Das, Karsten Hank, Hendrik Jürges, Oliver Lipps, Marie-Louise Kemperman, Stephanie Stuck, Corrie Vis and Bas Weerman for their work. They formed the backbone of the SHARE enterprise.

SHARE has greatly profited from external advice. SHARE's role models – HRS and ELSA – were represented in an advisory board with Michael Hurd, Jim Smith David Weir and Bob Willis (HRS) and James Banks, Carli Lessof, Michael Marmot and James Nazroo (ELSA). John Rust, Norbert Schwarz, Jon Skinner, Beth Soldo, Clemens Tesch-Römer formed a review board that carefully examined the SHARE survey instrument. Without their intellectual and practical advice, and their continuing encouragement and support, SHARE would not be where it is now.

SHARE also received much professional help. CentERdata at Tilburg designed a set of innovative software tools for SHARE; the Survey Research Center (SRC) of the University of Michigan at Ann Arbor developed a Train-the-Trainer programme; the Zentrum für Umfragen, Methoden und Analysen (ZUMA) at Mannheim provided us with professional help in survey organisation and survey translation. We always kept in close contact with the professional survey agencies – IMAS (AT), PSBH-University of Liège and PSBH-University of Antwerp (BE), MIS Trend (CH), Infas (DE), SFI Survey (DK), Demoscopia (ES), INSEE (FR), KAPA Research (GR), DOXA (IT), TNS NIPO (NL), Intervjubilaget (SE) and NatCen (UK) – and thank their representatives for a fruitful cooperation. We are also grateful to the Instituto Nacional de Estadística (INE), the Spanish national statistics agency, for providing the gross sample. Special thanks go to Juana Porras.

SHARE underwent a thorough review of ethical standards by the University of Mannheim's internal review board (IRB). We thank Prof. Dagmar Stahlberg (chairperson), Prof. Walter Müller and Prof. Jochen Taupitz for their careful work.

Last but not least, we owe thanks to our book design and production team: Johannes Bayer and Daniel Kemptner formatted and designed this book. We thank them for their hard work.