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Methodology of Collection Management

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Outline

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Introduction

- Data collection is recognized as one of the most expensive steps of the survey process
- It is also one of the most important as quality data is needed to produce quality estimates
- Much research has been done in the past decade on how to make the collection process more cost effective
 - For example, responsive design, adaptive designs, electronic questionnaires, etc.

Introduction

- This section will concentrate only on the follow-up process
- There are two types of follow-up typically performed in business surveys
 - Failed edit follow-up (FEFU)
 - Non-response follow-up (NRFU)
- We will present some best practices to make the follow-up process as efficient as possible, keeping quality in mind

Failed Edit Follow-up

- When reported data fail edits (data verification), respondents are re-contacted to confirm or correct the data
- Failed edit follow-up is all about improving the quality of the data
- Re-contacting the respondent is very expensive
 - Human resources required to confirm or correct the data with the respondent
 - Increases the burden on respondents
 - Impacts the good will of the respondent

Failed Edit Follow-up

- Can we reduce the number of failed edits?
 - Computer Assisted Interviewing (CAI)
 - Correct the data while the interviewer is still with the respondent
 - CAI is very expensive, so this collection method is becoming less common
 - Electronic questionnaire (EQ)
 - Put the edits in the EQ and have the respondent fix/confirm the data before continuing
 - Need to be careful to balance quality of the data with the burden placed on respondents
 - Agencies tend to minimize the number of edits in EQ and restrict them to only the most important ones

Failed Edit Follow-up

- Do all failed edits need to be followed up?
 - Probably not
 - Some variables are more important than others
 - Some units are more important than others
- How to decide whether or not to perform follow-up?
 - Can the variable of interest be derived from other information? For example, sum of parts

Failed Edit Follow-up

- Can the variable of interest be imputed using auxiliary data?
 - Historical data
 - Administrative sources such as tax, BR, etc.
 - Alternate sources such as the Internet, other surveys, etc.
- Is the unit so important that the value has to be *exact*?
 - Can we impute a value from another unit?
- Decision to follow-up is a trade-off between cost and quality
- In reality, some units have to be followed-up but certainly not all

Non-response

- Non-response is when some or all data are missing
- Non-response will always occur, but collection management can help to reduce it and its impact on the quality of survey estimates
- There are two types of non-response
 - Partial non-response
 - Unit (or total) non-response

Non-response: Partial

- Some data but not all are collected
- Usually handled through imputation
- There are many ways to impute but this is not in-scope for the workshop
 - Examples include mean, ratio, regression and donor imputation
- The key to quality imputation is availability and use of auxiliary data
- Non-response follow-up usually doesn't target partial non-response

Non-response: Unit

- No data is obtained from a unit
- Impacts the quality of survey results
 - Smaller effective sample size, which leads to a higher variance
 - Potential for non-response bias
- Non-response bias occurs when units that respond no longer represent those which do not
 - For example, suppose businesses with more than 100 employees refuse to respond. Responding units (less than 100 employees) can't be used to represent the non-respondents

Non-Response Follow-Up

- Non-response follow-up is used to reduce the amount of unit non-response
- This in turn, reduces the potential for non-response bias
 - Care must be taken in how it is done, as incorrect non-response follow-up can increase the potential for bias
- While failed edit follow-up targets the quality of the data, non-response follow-up targets the overall quality of the survey results

Non-Response Follow-Up

- Non-response follow-up should be done to ensure that the resulting respondents still represent the non-respondents (as much as possible)
 - The follow-up procedure shouldn't introduce any additional potential for non-response bias
- We present several strategies assuming that the level of follow-up resources is limited

NRFU Strategies

- Follow-up all non-respondents
 - Retains representativity of respondents
 - Follow-up procedure hasn't introduced additional potential for non-response bias
 - May not be that efficient as the level of effort expended on each case may be low
 - Does not allow a targeted follow-up of most important units
 - May lead to misleading estimates
 - Resources are spent on units which may have very little influence on survey estimates

NRFU Strategies

- Follow-up only the important units
 - Appears to be the a logical choice
 - Increases the likelihood of obtaining data from the big businesses which should lead to more accurate estimates
 - Resources are spent where they would make the biggest impact
 - However, sample of respondents is no longer representative
 - Follow-up procedure has increased the potential for non-response bias
 - The impact of this can be offset by imputing for all unit non-respondents
 - Quality of estimates then depend on quality of imputation

NRFU Strategies

- Follow-up important units within each stratum
 - Sample of respondents is more representative than previous strategy
 - Potential for non-response bias is lower
 - Resources are targeted at units to give biggest 'bang for the buck'
 - However, the potential for non-response bias still exists since the respondents in each stratum are not fully representative
 - Can still be offset by imputing for all non-respondents

NRFU Strategies

- Draw a random sample of non-respondents
 - Target the follow-up on these units only
 - Sample of respondents remains representative
 - Follow-up procedure hasn't introduced additional potential for non-response bias
 - Since number of units followed-up can be controlled, the resources expended on each one can be increased
 - How large should the sample be?
 - No guarantee that important units are selected for follow-up
 - Implications for estimation

NRFU Strategies

- Draw stratified sample of non-respondents
 - Same as previous strategy except
 - Important units can be treated a take-all. That is, all important units are followed-up
 - Can sample at different rates according to stratum. Therefore, small (less important) units can be less likely to be selected than medium or large units

Summary

- Follow-up an important and very resource intensive step of the survey process
- A question of trade-offs between cost (monetary and respondent relations) and quality
 - Can achieve very high quality but at what cost?
- Many strategies exist but need to consider potential for non-response bias and not just increasing response rates or targeting the most important units



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