Informing large enterprises to get prepared for a new survey: some analysis results

Tim Punt, Ger Snijkers, Leanne Houben, and colleagues
A new quarterly survey
CBS-DNB Finances of Enterprises

Combination of 3 surveys from Stats Netherlands + Dutch Central Bank

Stats Netherlands:
- Balance of Payments: Assets and liabilities
- Quarterly and Annual Survey

Dutch Central Bank:
- Per item in the balance of payments: Movements
- Monthly survey
### Fixed Assets:

<table>
<thead>
<tr>
<th>Intangible fixed assets</th>
<th>Tangible fixed assets:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Property</td>
</tr>
<tr>
<td></td>
<td>Other</td>
</tr>
</tbody>
</table>

- **Group companies and other participating interests:**
  - Domestic financial institutions
  - Other domestic: other
  - Other foreign

### Balance sheet

<table>
<thead>
<tr>
<th>Opening</th>
<th>Closing</th>
<th>Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,075</td>
<td>1,075</td>
<td>×</td>
</tr>
<tr>
<td>10</td>
<td>10</td>
<td>×</td>
</tr>
<tr>
<td>905</td>
<td>905</td>
<td>✓</td>
</tr>
<tr>
<td>10,580</td>
<td>11,856</td>
<td>✓</td>
</tr>
</tbody>
</table>

### Movements

<table>
<thead>
<tr>
<th>Opening</th>
<th>Closing</th>
<th>Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>10,079,000</td>
<td>10,079,000</td>
<td>Movement</td>
</tr>
<tr>
<td>10</td>
<td>10</td>
<td>Movement</td>
</tr>
<tr>
<td>905</td>
<td>905</td>
<td>Movement</td>
</tr>
<tr>
<td>10,560</td>
<td>11,856</td>
<td>Movement</td>
</tr>
</tbody>
</table>

### Dutch Central Bank:
- Per item in the balance of payments: Movements
- Financial transactions
- Monthly survey
New web questionnaire: some features

www.cbs.nl/balanceofpayments
New web questionnaire: Videos

www.cbs.nl/balanceofpayments
### Questionnaire development process

<table>
<thead>
<tr>
<th>Development process</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Feasibility study</td>
<td>2015</td>
</tr>
<tr>
<td>3. ‘Paper’ schedule of questionnaire</td>
<td>2016</td>
</tr>
<tr>
<td>5. Web questionnaire design</td>
<td>2016-2017</td>
</tr>
<tr>
<td>6. Testing</td>
<td>2017</td>
</tr>
<tr>
<td>7. Pilot year (pre-field stage)</td>
<td>2018</td>
</tr>
</tbody>
</table>

**First publication:** 24 June 2019
Questionnaire development process

Development process:
2. Feasibility study 2015
3. ‘Paper’ schedule of questionnaire 2016
5. Web questionnaire design 2016-2017
6. Testing
7. Pilot year (pre-field stage)
8. Start survey: Q1-2019

First publication

5 large enterprises visited on site:
- Are the data available?
- Where are the data?
- Insights in internal response process
- Requirements for tailoring?
Feasibility study: the hard part
Feasibility study: Complex response process

- Many data sources, at various locations
- Many people, at various locations
- Many sub-units
- Time: when data are available, and businesses have time

Or a combination

Observational unit — Reporting unit — Respondent — Data source

Observational unit — Reporting unit — Respondent — Data sources

Observational unit — Reporting unit — Respondents — Data sources

Observational unit — Reporting units — Respondents — Data sources
Feasibility study: results for tailoring

Important design elements:
- Clear and consistent general screen lay-out
- Index: overview/structure, navigation, progress control
- No exclusive routing: top-down & bottom-up completion
- Import/export of data files
- Accessible from various locations, to be completed by various respondents
- Print options
- Consistency checks
- Dutch and English version

- Introduce a pilot year to get prepared

Requirements for Q design

Good idea!
- Complex questionnaire
- Complex data retrieval process

What did we do?
Communication strategy: pre-field stage

- Pre-field stage: pilot, 2018 (Nov 2017 – April 2019):
  - Introduction of the survey -> enterprises can get prepared (362)
    - Letters, starting in November 2017
    - Web site: [www.cbs.nl/balanceofpayments](http://www.cbs.nl/balanceofpayments)
    - Video clips: 15 NL, 4 EN
    - On-site visits by LCU managers:
      - final changes to the questionnaire
      - identification of field risk issues
    - Information day in Amsterdam: 98 businesses
    - Phone calls to businesses that did not login: 90 businesses

- Field stage: Q2-2019 (Q1), mid-April 2019

- Post-field stage:
  - Enforcement, mid-June 2019
  - Recontacts for data cleaning
1. Did the pilot work?

Three groups of businesses:

0. No activities during pilot: 90 25%
1. 1 or 2 times logged in: 119 33%
2. 3 or more times logged in: 153 42%

Total 362

1. Participation rate is OK, but late
2. Effect on response behavior?

75% participated

1st login moment
All logins until then
50% of all activities took place in the last months of the pilot

Dec’17 Nov’18 April’19
Communication strategy: field stage

• Pre-field stage: 2018
  - Introduction of the survey so enterprises can get prepared
• Field: Q2-2019 (Q1)
  - Advance letter: 12 April 2019 - 397 enterprises
  - Pre-due date reminder: 30 April - 7% response
  - Due date: 13 May - 30%
  - Reminder: 15 May - 37%
  - Final (3rd) extended deadline: 31 May - 81%
  - Before enforcement: 17 June - 85% targeted RR
• Post-field stage:
  - Enforcement: 17 June - 15% NR
  - Response rate (analysis) mid-July - 92%
  - mid-August - 97%
Field stage: response rate

What is the response distribution for the three pilot groups?

2. Effect if pilot on response behavior?
Field stage: response for pilot groups

- 3 or more logins: 98%
- 1 or 2 logins: 90%
- 0 logins: 30%

Not in pilot: 13%
2. Did the pilot affect the field?

Effort during pilot is positively associated with:

<table>
<thead>
<tr>
<th></th>
<th>Chi²</th>
<th>df</th>
<th>p</th>
</tr>
</thead>
<tbody>
<tr>
<td>Likelihood to respond</td>
<td>22.76</td>
<td>3</td>
<td>&lt;0.005</td>
</tr>
<tr>
<td>Effort in the field</td>
<td>23.65</td>
<td>9</td>
<td>&lt;0.005</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Likelihood to re-submit Q</td>
<td>28.93</td>
<td>6</td>
<td>&lt;0.005</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of data points in the Q</td>
<td>48.06</td>
<td>9</td>
<td>&lt;0.005</td>
</tr>
</tbody>
</table>

2. Yes
Conclusions

Recommendation: also for new businesses

1. YES!
   - 75% of the enterprises in the pilot participated in the pilot,
   - but they started late in the year: it is hard to get large businesses moving and influence their response behavior in advance!

2. YES!
   - effort during pilot is positively associated with behavior in the field
   - o-login group is risky group

But ... a 3rd variable may be involved:

Past response behavior

Field experience:
   - Business under-estimated the workload
   - For next quarters we expect a learning effect
Response development: Q1 & Q2

Q1
- Pre-due data reminder
- Due date
- 3rd extended due data
- Enforcement

Q2
- Pre-due data reminder
- Due date
- 3rd extended due data
- Enforcement

4% 16% 59% 69%
5% 20% 71% 86%
General conclusion

To introduce a new survey?
• with a complex questionnaire
• with complex retrieval processes
• for large enterprises

Final recommendation:
• Study tailoring requirements as early in the survey development process as possible

Do pre-notifications have an effect?

Yes!

More studies are needed
ARE THERE ANY QUESTIONS? FEEL FREE TO ASK ANYTHING AT ALL.

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Leanne Houben (apm.Houben@cbs.nl)
UNECE Workshop, 14-16 October 2019, Geneva
Facts that matter