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Methodological Report III

Conceptualisation and Design of the ERiK-Surveys 2022

Forschungsverbund



Deutsches Jugendinstitut
Technische Universität Dortmund



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Conceptualisation and Design
of the ERiK-Surveys 2022

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Researching children, youth, and families at the intersection of science, policy, and professional practice

The German Youth Institute (DJI) is one of the largest social science research institutes in Europe with an experience of 60 years. The DJI conducts empirical studies into the life situations of children, young people and families, and provides policy advice to the German national government, the German federal states and local authorities as well as key impulses for professional practice.

Founded in 1963, the governing body of the institute is a non-profit association with members from the fields of politics and science as well as from child, youth and family welfare institutions and organisations. The DJI receives the majority of its funding from the Federal Ministry for Family Affairs, Senior Citizens, Women and Youth, and the German federal states. The Federal Ministry of Education and Research, the European Commission as well as foundations and other science funding institutions provide additional funding.

Currently, about 500 staff members work and conduct research at the two locations in Munich and Halle (Saale).

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Design and layout of inner section:

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Interior typesetting:

paginamedia

Editing:

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2023 wbv publication
a division of
wbv Media GmbH & Co. KG, Bielefeld

Overall production:
wbv Media GmbH & Co. KG, Bielefeld
wbv.de

Cover design:
Christiane Zay, Passau

Order number: I74573
ISBN Print: 9783763974573
E-Book: 9783763974566
DOI: 10.3278/9783763974566

Printed in Germany

This publication is freely available for download at
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Bibliographic information of the German National Library

The German National Library lists this publication in the German National Bibliography; detailed bibliographic data is available on the Internet at <http://dnb.d-nb.de>.

Funded by:



Federal Ministry for
Family Affairs, Senior Citizens,
Women and Youth

Contents

1	Preface	7
2	Introduction	9
3	Target Populations	11
3.1	Target Population of Directors of Day-Care Centres	11
3.2	Target Population of Pedagogical Staff in Day-Care Centres	13
3.3	Target Population of Family Day-Care Workers	14
3.4	Target Population of Youth Welfare Offices	15
3.5	Target Population of Providers of Childcare	16
3.6	Target Population of Children in Day-Care	17
4	Sampling Frames	19
4.1	Sampling Frame of Directors of and Pedagogical Staff in Day-Care Centres	19
4.2	Sampling Frame of Family Day-Care Workers	20
4.3	Sampling Frame of Youth Welfare Offices	21
4.4	Sampling Frame of Providers of Childcare	21
4.5	Sampling Frame of Children in Day-Care	22
5	Sampling Designs	25
5.1	Sampling Design for Directors of and Pedagogical Staff in Day-Care Centres	25
5.2	Sampling Design for Youth Welfare Offices and Family Day-Care Workers	29
5.3	Sampling Design for Providers of Childcare	31
5.4	Sampling Design for Children in Day-Care	32
6	Contacting and Survey Designs	35
6.1	Contacting of Directors of and Pedagogical Staff in Day-Care Centres	36
6.2	Contacting of Youth Offices and Family Day-Care Workers	39
6.3	Contacting of Providers of Childcare	42
6.4	Contacting of Children in Day-Care	43
7	ERiK Parent Survey	45
8	Survey Instruments	49
8.1	Pretest for Children	49
8.2	Questionnaire Revisions	49

9	Summary	55
	Bibliography	57
	List of Figures	60
	List of Tables	61
A	Appendix	63

1. Preface

The ERiK Methodological Report III is the third methodological report in the project ‘An indicator-based monitoring of structural quality in the German early childhood education and care system’ (ERiK).

The ERiK Methodological Report III was written by 15 staff members of the ERiK project. Although the changes in the sampling and survey designs between the two ERiK-Surveys were mainly designed and implemented by the authors, the entire ERiK team of the German Youth Institute (DJI) contributed to the changes by providing valuable feedback. Special thanks go to the members of the ERiK steering group, Prof. Dr. Bernhard Kalicki, Prof. Dr. Nicole Klinkhammer and Dr. Christiane Meiner-Teubner as well as the members of our cooperation project ‘Child day-care – indicator-based continuous monitoring with official data’ (K-iDA) at the TU Dortmund University.

The project also benefited from the manifold exchanges with colleagues from department 513 of the Federal Ministry for Family Affairs, Senior Citizens, Women and Youth, from the federal states ministries as well as the ERiK expert panel.

Furthermore, we would like to thank Prof. Dr. Ulrich Pötter, Prof. Dr. Christian Aßmann, Dr. Matthias Sand, Prof. Dr. Helmut Küchenhoff, Prof. Dr. Hans-Günther Roßbach and Dr. Heike Wirth for their survey methodological feedback on the sample and survey designs of the ERiK-Surveys 2022.

Our thanks also go to the many colleagues at the DJI who helped prepare and conduct the ERiK-Surveys 2022 and will ultimately make the data available to the public. With regard to the data transfer, special mention should be made of Holger Quellenberg, who will make all data sets in the DJI Research Data Centre available to the public in 2023. Regarding the DJI Childcare Study (KiBS), many thanks to Dr. Johannes Wieschke,

who provided us with more in-depth insights into the implementation and weighting of the study. With regard to the implementation of the ERiK-Surveys 2022, we would like to thank the two survey institutes that not only conducted the surveys but also enriched the entire process with their expertise, namely the infas Institute for Applied Social Sciences and the SOKO Institute for Social Research & Communication.

We would like to thank Dr. Ludovica Gambaro for her review and critical appraisal of the ERiK Methodological Report III. Her excellent feedback once again helped to make all the survey methodological details in this report more comprehensible.

In addition to the professional guidance, the report has benefited from the practical support of many people. Our special thanks go to Nina Kuljian, Theresa Kunz and Judith Kaiser for the important organisational support. We would also like to thank Phoebe Bostan-Engel, Gitta Metzger, Eugenia Zimmermann as well as the student assistants in the ERiK team. Finally, we would like to thank wbv Publikation for publishing the report and for the effort involved.

Munich, December 2022

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As well as the following (former) members of the Department of Children and Childcare and the Department of Social Monitoring and Methodology at the DJI: Martin Brusis, Janette Buchmann, Doris Drexler, Tony Hoang, Alexandra Jähnert, Susanne Kuger, Magdalena Molina Ramirez, Michael Müller, Melina Preuß, Susanne Rahmann, Lisa Ulrich, Felix Wenger.

2. Introduction

On 1 January 2019, the Act on the Further Development of Quality and the Improvement of Participation in Day-Care Facilities and in Child Day-Care (in German: KiTa-Qualitäts- und Teilhabeverbesserungsgesetz, KiQuTG) came into effect. The aim of monitoring the KiQuTG is to observe the development of the framework conditions in the system of Early Childhood Education and Care (ECEC) based on selected informative indicators. These indicators were developed in accordance with the framework of the ERiK Research Report I (in German: ERiK-Forschungsbericht I; Klinkhammer et al. 2021) with reference to the ten qualitative fields of action of the Act as well as the measures to reduce parents fees (§ 2 section 2 KiQuTG).

The project ‘An indicator-based monitoring of structural quality in the German early childhood education and care system’ (in German: Entwicklung von Rahmenbedingungen in der Kindertagesbetreuung – indikatorengestützte Qualitätsbeobachtung, ERiK) funded by the Federal Ministry for Family Affairs, Senior Citizens, Women and Youth (in German: Bundesministerium für Familie, Senioren, Frauen und Jugend, BMFSFJ) analyses the annual data of the official child and youth welfare statistics (KJH statistics; in German: Kinder- und Jugendhilfestatistik; Federal Statistical Office 2020) as well as the annual data of the ‘DJI Childcare Study’ (in German: DJI-Kinderbetreuungsstudie, KiBS; Lippert/Anton/Kuger 2023).

In addition, cross-sectional surveys are conducted as part of the ERiK project.

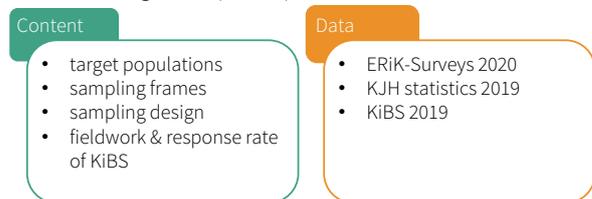
› In 2020, the first nationwide ERiK-Surveys (the ERiK-Surveys 2020)¹ were conducted of day-care centre directors and pedagogical staff, of family day-care workers and youth welfare offices and of providers of day-care centres in Germany.

› In 2022, the corresponding nationwide surveys, the ERiK-Surveys 2022, will be conducted among day-care centre directors and pedagogical staff, family day-care workers and youth welfare offices, and providers of day-care centres in Germany. In addition, the ERiK project will conduct nationwide surveys of children aged 4 to 6 attending day-care centres in 2022.

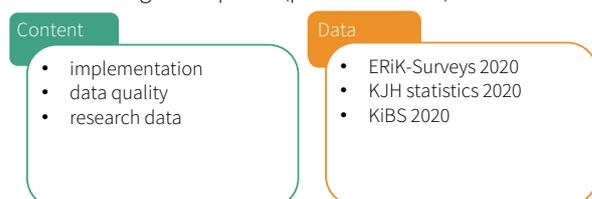
The ERiK-Surveys 2020 and 2022 are thus two repeated cross-sectional studies for five ECEC populations.

Figure 2.0-1: Overview of the Contents of the ERiK Methodological Reports I, II and III

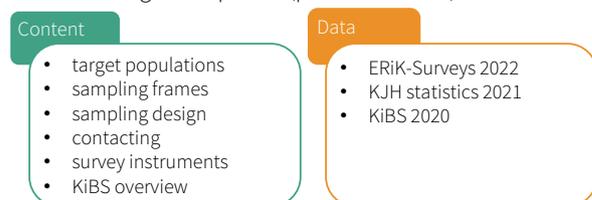
ERiK Methodological Report I (published 2021)



ERiK Methodological Report II (published 2022)



ERiK Methodological Report III (published 2023)



The ERiK Methodological Report III refers to the design and preparatory work prior to the field-work period of the ERiK-Surveys 2022. In this respect, all information in this report refers to the planning status up until 31 December 2021 so that all changes that have occurred in practice after

¹ We prefer to use the phrase ‘ERiK-Surveys 2020’ for the surveys conducted in 2020, while we speak of the ‘ERiK-Surveys’ when referring to both the ERiK-Surveys 2020 and the ERiK-Surveys 2022. This should also be distinguished from the data publications of the ERiK-Surveys, which have their own data citations (e.g. Gedon et al. 2021).

this date will be part of the Methodological Report IV, to be prepared in 2023. The present report focuses in particular on the changes in the sampling and surveys designs of the ERiK-Surveys 2022 compared to the ERiK-Surveys 2020.

All original considerations on the sampling design of the ERiK-Surveys 2020 are described in the ERiK Methodological Report I (Schacht et al. 2021). This includes information on the target population, the sampling frames, the sampling design and a brief overview of the fieldwork and response rate for KiBS 2019. The implementation and numerous experiences from fieldwork, the evaluation of data quality and data preparation of the ERiK-Surveys 2020 are described in the ERiK Methodological Report II (Schacht et al. 2022).

The present report is similar in structure to the ERiK Methodological Report I in that it contains information on the target populations (see Chapter 3), the sampling frames (see Chapter 4) and the sampling designs (see Chapter 5) of the ERiK-Surveys 2022. Information on KiBS is also included again, with the reference year 2020 (Chapter 7). The chapters on the planned survey design (see Chapter 6) and the revision of the ERiK instruments (see Chapter 8) are new. The latter chapter is particularly important because it gives for the first time information on the ERiK survey instruments. The similarities and differences in the contents of the three ERiK Methodological Reports I, II and III are illustrated in Figure 2.0-1.

3. Target Populations

In the ERiK project, the perspectives of different target populations in the field of Early Childhood Education and Care (ECEC) are collected. For the ERiK-Surveys 2022, these target populations are directors of day-care centres, pedagogical staff in these centres, family day-care workers, youth welfare offices, providers of childcare centres, parents² and children. In the following, the different target populations are defined in more detail. Figure 3.0-1 briefly summarises the target population definitions in the KJH statistics, the ERiK-Surveys 2020 and the ERiK-Surveys 2022, thereby presenting the differences and similarities between the different data sources.³

3.1 Target Population of Directors of Day-Care Centres

In Germany, directors of day-care centres are responsible for implementing guidelines set by the provider and for ensuring compliance with legal and structural regulations. The directors also manage and lead the pedagogical staff and, depending on their contract, work pedagogically with the children (Buchmann/Ziesmann/Drexel 2022).

The 2020 definition of management teams and directors responsible for multiple day-care centres was clarified in the ERiK-Survey 2022.

In the ERiK project, only day-care centres for pre-school children are surveyed. The ERiK project defines directors of these day-care centres as those who perform the majority of the management tasks in the centre. This basic definition was used in both the ERiK-Surveys 2020 and the ERiK-Surveys 2022 (for more information on the definition for 2020 see Schacht et al. 2021). How-

ever, the definition of the target population of directors was changed in two respects compared to the ERiK-Surveys 2020:

- › If two or more people share the management tasks equally (management teams), the person with the most recent birthday in the year was asked in the invitation letter (see Section 6.1) to participate in the ERiK-Survey 2022 on behalf of the day-care centre directors. In the ERiK-Surveys 2020, such a note was missing, so it was unclear on what basis the management teams decided which director would participate. Selection by most recent birthday was introduced in the 2022 survey as a simple selection mechanism to avoid selectivity in participation behaviour, such as only directors with more time participating. In the ERiK-Surveys 2020, about 5 % of the day-care centres were managed by management teams where such a selection bias might exist.
- › Directors who are responsible for more than one day-care centre were asked in the invitation letter (see Section 6.1) to participate in the ERiK-Survey 2022 for the day-care centre for which they were contacted (sampled).⁴ In the ERiK-Surveys 2020, such a note was missing in the invitation letter, so it was unclear whether the directors answered the questions for a specific day-care centre and, if so, whether this was for the day-care centre they were sampled for. In the ERiK-Surveys 2020, about 2 % of the directors managed more than one day-care centre, for which there could be a measurement bias accordingly.

With these two clarifications, we hope to reduce potential selection in participation and response behaviour in the ERiK-Surveys 2022 compared to the ERiK-Surveys 2020.

² The ERiK parent surveys are linked to the annual 'DJI Childcare Study' (KiBS Lippert/Anton/Kuger 2023).

³ The KJH statistics do not contain direct information on parents and children, therefore the two target populations are not listed or defined in the figure.

⁴ If contacted for more than one day-care centre, the directors were asked to complete a separate questionnaire for each centre.

Figure 3.0-1: Target Populations in the KJH statistics, ERIK-Surveys 2020 and ERIK-Surveys 2022



Note: The population sizes (N) for the KJH statistics refer to the year 2020 and the ERIK population sizes (with the exception of the provider N) are calculated on the basis of the KJH N as described in Chapter 4. The KJH N for directors and pedagogical staffs depicted without centres exclusively for children attending school for better comparability with the ERIK-Surveys 2020 and 2022, where these centres are also excluded from the target population. SGB VIII: Book VIII of the German Social Code (in German: Sozialgesetzbuch Achtes Buch, Kinder und Jugendhilfe)

In the ERiK project, all day-care centres have a director who is responsible for most of the management and leadership tasks in a day-care centre – in contrast, in the KJH statistics 8 % of the day-care centres have no official director.

In the ERiK-Surveys 2022, the definition of the term ‘director’ differs from the definition in the KJH statistics, just as it does in the ERiK-Surveys 2020. In the official KJH statistics, only persons whose employment contract provides the most or second most time resources for management tasks are considered directors (part III.1 Federal Statistical Office 2013). This means that in some day-care centres, by definition, no person can be considered the director if it is not a major part of their contract. In 2020, 8 % of the day-care centres did not have a director according to the definition of the KJH statistics.

For planning the ERiK-Survey 2022 of directors, the population size of directors is assumed to be identical to the total number of day-care centres in Germany recorded in the KJH statistics for 2020 (N=53,742 excluding day-care centres exclusively for school children), as every day-care centre has one director according to ERiK definition⁵

3.2 Target Population of Pedagogical Staff in Day-Care Centres

In the ERiK-Surveys 2022, pedagogical staff were defined as persons who

- › work in a day-care centre for children not yet attending school,
- › provide early childhood education and care,
- › do not perform management tasks, and
- › do not work as volunteers.

In this respect, the definition of the target population of pedagogical staff still includes non-professionals employed to provide educational and care services, such as trainees, interns and apprentices. At the same time, the definition excludes employees with mainly non-pedagogical tasks, such as administrative staff, janitors and

kitchen staff – just as in the ERiK-Surveys 2020 (for more information on the definition for 2020 see Schacht et al. 2021).

In contrast to the KJH statistics, the definition of pedagogical staff in the ERiK-Surveys 2020 and 2022 explicitly excludes directors from the target population.

However, we also implemented some minor changes in the definition of the target population of pedagogical staff compared to 2020. First, in contrast to the ERiK-Surveys 2020, persons who perform full-time or pro-rata management tasks were explicitly excluded from the definition of pedagogical staff, as their perspective will be taken into account in the ERiK-Survey 2022 of directors (see Section 3.1). In the ERiK-Surveys 2020, directors could take part in the survey of the pedagogical staff if they were members of a team of directors or a deputy director, which applied for about 14 % of the pedagogical staff in the ERiK-Survey 2020. This may have distorted the population estimators if the directors’ perspective varied systematically from that of the pedagogical staff. The clearer distinction between the target groups of directors and pedagogical staff in the ERiK-Survey 2022 should minimise this bias.

Compared to the ERiK-Survey 2020, the target population of pedagogical staff was adjusted to strengthen multiperspectivity and achieve a more exact weighting.

Secondly, in contrast to the ERiK-Survey 2020, the ERiK-Survey 2022 of pedagogical staff also excludes volunteers, in line with the definition in the KJH statistics. By aligning the definition of the target population with the definition of the KJH statistics, a more accurate weighting of the data collected in 2022 is possible.⁶

Despite these two changes to the target population definition, the same target population size is assumed for the weighting of the ERiK Survey 2020 and for the sampling design of the ERiK Sur-

⁵ Since the ERiK-Surveys 2022 start in January 2022, the KJH statistics 2021/22 were not available for the sampling of the day-care centres. Therefore, the KJH statistics 2020 were used as a reference for the population size.

⁶ For more information on the weighting of the ERiK-Surveys 2020 see Methodological Report II (Schacht et al. 2022)