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**11**

## Sampling outcomes

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The statistical data for Israel are supplied by and under the responsibility of the relevant Israeli authorities. The use of such data by the OECD is without prejudice to the status of the Golan Heights, East Jerusalem and Israeli settlements in the West Bank under the terms of international law.

This chapter reports on PISA sampling outcomes. Details of the sample design are provided in Chapter 4.

## POPULATION COVERAGE

Tables 11.1 and 11.2 (by adjudicated regions) show the quality indicators for population coverage and the information used to develop them. The following notes explain the meaning of each coverage index and how the data in each column of the table were used.

Coverage indices 1, 2 and 3 are intended to measure PISA population coverage. Coverage indices 4 and 5 are intended to be diagnostic in cases where indices 1, 2 or 3 have unexpected values. Many references are made in this chapter to the various sampling tasks on which National Project Managers (NPMs) documented statistics and other information needed in undertaking the sampling of schools and students. Note that although no comparison is made between the total population of 15-year-olds and the enrolled population of 15-year-old students, generally the enrolled population was expected to be less than or equal to the total population. Occasionally this was not the case due to differing data sources for these two values.

Coverage index 1: Coverage of the national population, calculated by  $P/(P + E) \times (ST7b\_3/ST7b\_1)$ :

- Coverage index 1 shows the extent to which the weighted participants covered the final target population after all school exclusions. The following bullet points give details of its computation.
  - In the preceding expression  $P/(P + E)$  broadly represents the coverage proportion due to within-school exclusion, and  $(ST7b\_3/ST7b\_1)$  the coverage proportion due to school-level exclusion.
  - The national population value, defined by sampling task 7b response box [1] and denoted here as  $ST7b\_1$  (and in Table 11.1 as the target population) is the population that includes all enrolled 15-year-old students in grades 7 and above in each participating country (with the possibility of small levels of exclusions), based on national statistics. However, the final national population value reflected for each country's school sampling frame might have had some school-level exclusions. The value that represents the population of enrolled 15-year-old students minus those in excluded schools is represented initially by response box [3] on sampling task 7b. It is denoted here as  $ST7b\_3$ . As in PISA 2012, the procedure for PISA 2015 was that small schools having only one or two PISA-eligible students could not be excluded from the school frame but could be excluded in the field if the school still had only one or two PISA-eligible students at the time of data collection. Therefore, what is noted in coverage index 1 as  $ST7b\_3$  (and in Table 11.1 as target minus school-level exclusions) was a number after accounting for all school-level exclusions, which means a number that omits schools excluded from the sampling frame in addition to those schools excluded in the field. Thus, the term  $(ST7b\_3/ST7b\_1)$  provides the proportion of the national population covered in each country based on national statistics.
  - The value  $(P + E)$  provides the weighted estimate from the student sample of all PISA-eligible 15-year-olds in each participating country, where  $P$  is the weighted estimate of PISA-eligible non-excluded 15-year-old students and  $E$  is the weighted estimate of PISA-eligible 15-year-old students that were excluded within schools. Therefore, the term  $P/(P + E)$  provides an estimate, based on the student sample, of the proportion of the PISA-eligible 15-year-old population represented by the non-excluded PISA-eligible 15-year-old students.
  - The result of multiplying these two proportions together  $P/(P + E)$  and  $(ST7b\_3/ST7b\_1)$  indicates the overall proportion of the national population covered by the non-excluded portion of the student sample.

Coverage index 2: Coverage of the national enrolled population, calculated by  $P/(P + E) \times (ST7b\_3/ST7a\_2.1)$ :

- Coverage index 2 shows the extent to which the weighted participants covered the target population of all enrolled students in grades 7 and above.
- The national enrolled population (NEP), defined by sampling task 7a response box [2.1] and denoted here as  $ST7a\_2.1$  (and as enrolled 15-year-old students in Table 11.1), is the population that includes all enrolled 15-year-old students in grades 7 and above in each participating country, based on national statistics. The final national population, denoted here as  $ST7b\_3$  as described above for coverage index 1, reflects the 15-year-old population after school-level and other small exclusions. This value represents the population of enrolled 15-year-old students less those in excluded schools.
- The value  $(P + E)$  provides the weighted estimate from the student sample of all eligible 15-year-olds in each country, where  $P$  is the weighted estimate of PISA-eligible non-excluded 15-year-old students and  $E$  is the weighted estimate of PISA-eligible 15-year-old students that were excluded within schools. Therefore, the term  $P/(P + E)$  provides an



estimate based on the student sample of the proportion of the PISA-eligible 15-year-old population that is represented by the non-excluded PISA-eligible 15-year-old students.

- Multiplying these two proportions together ( $P/(P + E)$  and  $(ST7b\_3/ST7a\_2.1)$ ) gives the overall proportion of the NEP that was covered by the non-excluded portion of the student sample.

Coverage index 1 and coverage index 2 will differ when countries have excluded geographical areas or language groups apart from other school-level exclusions. In these cases coverage index 2 will be less than coverage index 1.

Coverage index 3: Coverage of the national 15-year-old population, calculated by  $P/ST7a\_1$ :

- The national population of 15-year-olds, defined by sampling task 7a response box [1] and denoted here as  $ST7a\_1$  (and called all 15-year-olds in Table 11.1), is the entire population of 15-year-olds in each country (enrolled and not enrolled), based on national statistics. The value  $P$  is the weighted estimate of PISA-eligible non-excluded 15-year-old students from the student sample. Thus  $(P/ST7a\_1)$  indicates the proportion of the national population of 15-year-olds covered by the non-excluded portion of the student sample. It therefore also reflects the proportion of 15-year-olds excluded or not at school.

Coverage index 4: Coverage of the estimated school population, calculated by  $(P + E)/S$ :

- The value  $(P + E)$  provides the weighted estimate from the student sample of all PISA-eligible 15-year-old students in each country, where  $P$  is the weighted estimate of PISA-eligible non-excluded 15-year-old students and  $E$  is the weighted estimate of PISA-eligible 15-year-old students who were excluded within schools.
- The value  $S$  is an estimate of the 15-year-old school population in each participating country (called estimate of enrolled students from frame in Table 11.1). This is based on the actual or (more often) approximate number of 15-year-old students enrolled in each school in the sample, prior to contacting the school to conduct the assessment. The  $S$  value is calculated as the sum over all sampled schools of the product of each school's sampling weight and its number of 15-year-old students ( $ENR$ ) as recorded on the school sampling frame.
- Thus,  $(P + E)/S$  is the proportion of the estimated school 15-year-old population that is represented by the weighted estimate from the student sample of all PISA-eligible 15-year-old students. It is influenced by the accuracy of the school sample frame, fluctuations in the target population size and the accuracy of the within-school sampling process. Its purpose is to check whether the student sampling has been carried out correctly, and to assess whether the value of  $S$  is a reliable measure of the number of enrolled 15-year-olds. This is important for interpreting coverage index 5.

Coverage index 5: Coverage of the school sampling frame population, calculated by  $S/ST7b\_3$ :

- The value  $(S/ST7b\_3)$  is the ratio of the enrolled 15-year-old population, as estimated from data on the school sampling frame, to the size of the enrolled student population, as reported on sampling task 7b and adjusted by removing any additional excluded schools in the field. In some cases, this provided a check as to whether the data on the sampling frame gave a reliable estimate of the number of 15-year-old students in each school. In other cases, however, it was evident that  $ST7b\_3$  had been derived using data from the sampling frame by the NPM, so that this ratio may have been close to 1.0 even if enrolment data on the school sampling frame were poor. Under such circumstances, coverage index 4 would differ noticeably from 1.0, and the figure for  $ST7b\_3$  would also be inaccurate.

## SCHOOL AND STUDENT RESPONSE RATES

Tables 11.3 to 11.8 present school and student-level response rates at the national and regional levels.

- Tables 11.3 and 11.4 (by adjudicated regions) indicate the rates calculated by using only original schools and no replacement schools.
- Tables 11.5 and 11.6 (by adjudicated regions) indicate the improved response rates when first and second replacement schools were accounted for in the rates.
- Tables 11.7 and 11.8 (by adjudicated regions) indicate the student response rates among the full set of participating schools.







## [Part 1/2]

Table 11.2 PISA target populations and samples, by adjudicated regions

	All 15-year-olds	Enrolled 15-year-olds	Target population	School-level exclusions	Target minus school level exclusions	School level exclusion rate (%)	Estimation of enrolled students from frame	Number of participating students	Weighted number of participating students	Number of excluded students
<b>OECD</b>	Belgium (Flemish community)	70 451	68 173	68 173	997	67 176	1.46	65 298	5 675	62 986
	Spain (Andalusia)	88 493	82 495	82 495	251	82 244	0.30	82 193	1 813	81 642
	Spain (Aragon)	11 737	11 192	11 192	48	11 144	0.43	11 126	1 798	10 758
	Spain (Asturias)	7 391	7 186	7 186	27	7 159	0.38	7 066	1 790	6 895
	Spain (Balearic Islands)	10 629	9 623	9 623	60	9 563	0.63	9 502	1 797	9 208
	Spain (Basque Country)	18 455	18 117	18 117	60	18 057	0.33	18 113	3 612	17 424
	Spain (Canary Islands)	21 848	20 192	20 192	70	20 122	0.35	20 229	1 842	19 447
	Spain (Cantabria)	4 821	4 775	4 775	19	4 756	0.40	4 780	1 924	4 576
	Spain (Castile and Leon)	20 057	19 690	19 690	84	19 606	0.43	19 602	1 858	18 004
	Spain (CastileLaMancha)	21 165	19 646	19 646	115	19 531	0.59	19 543	1 889	19 247
	Spain (Catalonia)	70 633	68 278	68 278	612	67 666	0.90	67 606	1 769	63 112
	Spain (Extremadura)	10 955	10 745	10 745	64	10 681	0.60	10 592	1 809	10 054
	Spain (Galicia)	20 949	19 616	19 616	69	19 547	0.35	19 617	1 865	19 063
	Spain (La Rioja)	2 934	2 853	2 853	33	2 820	1.16	2 822	1 461	2 758
	Spain (Madrid)	58 569	53 865	53 865	383	53 482	0.71	53 137	1 808	53 240
	Spain (Murcia)	15 690	14 044	14 044	62	13 982	0.44	14 015	1 796	13 555
	Spain (Navarra)	6 192	5 856	5 856	27	5 829	0.46	5 793	1 874	5 496
	Spain (Valencia)	47 367	44 072	44 072	198	43 874	0.45	43 204	1 625	38 900
	United Kingdom (Scotland)	56 171	56 344	56 344	897	55 447	1.59	55 282	3 111	50 190
	United States (Massachusetts (public))	80 631	82 745	71 900	18	71 882	0.03	69 899	1 652	60 918
	United States (North Carolina (public))	130 833	116 807	110 215	416	109 799	0.38	110 786	1 887	104 161
	United States (Puerto Rico) <sup>1</sup>	50 321	44 613	44 613	760	43 853	1.70	39 453	1 398	30 261
<b>Partners</b>	Argentina (CABA)	30 974	35 767	35 767	12	35 755	0.03	35 576	1 657	32 180
	United Arab Emirates (Abu Dhabi)	19 702	19 629	19 611	204	19 407	1.04	19 402	3 610	18 335
	United Arab Emirates (Dubai)	14 662	14 643	14 642	579	14 063	3.95	14 057	6 287	12 906

1. Puerto Rico is an unincorporated territory of the United States. As such, PISA results for the United States do not include Puerto Rico.

## [Part 2/2]

Table 11.2 PISA target populations and samples, by adjudicated regions

	Weighted number of excluded students	Number of ineligible students	Weighted number of ineligible students	Within-school exclusion rate (%)	Overall exclusion rate (%)	Percentage of ineligible / withdrawn	Coverage Index 1	Coverage Index 2	Coverage Index 3	Coverage Index 4	Coverage Index 5
<b>OECD</b>	Belgium (Flemish community)	159	79	780	0.25	1.71	1.24	0.98	0.98	0.89	0.97
	Spain (Andalusia)	1 718	21	817	2.06	2.36	0.98	0.98	0.98	0.92	1.01
	Spain (Aragon)	204	20	112	1.86	2.28	1.02	0.98	0.98	0.92	0.99
	Spain (Asturias)	84	8	27	1.21	1.58	0.39	0.98	0.98	0.93	0.99
	Spain (Balearic Islands)	177	9	40	1.89	2.50	0.43	0.98	0.98	0.87	0.99
	Spain (Basque Country)	254	20	67	1.44	1.76	0.38	0.98	0.98	0.94	0.98
	Spain (Canary Islands)	374	29	285	1.89	2.23	1.44	0.98	0.98	0.89	0.98
	Spain (Cantabria)	35	8	19	0.76	1.15	0.41	0.99	0.99	0.95	0.96
	Spain (Castile and Leon)	883	14	123	4.67	5.08	0.65	0.95	0.95	0.90	0.96
	Spain (CastileLaMancha)	333	22	213	1.70	2.28	1.09	0.98	0.98	0.91	1.00
	Spain (Catalonia)	3 011	18	578	4.55	5.41	0.87	0.95	0.95	0.89	0.98
	Spain (Extremadura)	201	18	92	1.96	2.54	0.89	0.97	0.97	0.92	0.97
	Spain (Galicia)	417	3	28	2.14	2.48	0.14	0.98	0.98	0.91	0.99
	Spain (La Rioja)	7	27	48	0.26	1.41	1.73	0.99	0.99	0.94	0.98
	Spain (Madrid)	529	11	270	0.98	1.69	0.50	0.98	0.98	0.91	1.01
	Spain (Murcia)	391	4	27	2.80	3.23	0.20	0.97	0.97	0.86	1.00
	Spain (Navarra)	138	18	48	2.45	2.90	0.86	0.97	0.97	0.89	0.97
	Spain (Valencia)	3 014	12	247	7.19	7.61	0.59	0.92	0.92	0.82	0.97
	United Kingdom (Scotland)	2 645	172	2 166	5.01	6.52	4.10	0.93	0.93	0.89	1.00
	United States (Massachusetts (public))	2 785	106	3 514	4.37	4.40	5.52	0.96	0.83	0.76	0.91
	United States (North Carolina (public))	4 636	107	5 517	4.26	4.62	5.07	0.95	0.90	0.80	0.98
	United States (Puerto Rico) <sup>1</sup>	440	235	8 761	1.43	3.11	28.54	0.97	0.97	0.60	0.78
<b>Partners</b>	Argentina (CABA)	85	48	714	0.26	0.30	2.21	1.00	1.00	1.04	0.91
	United Arab Emirates (Abu Dhabi)	36	53	265	0.19	1.23	1.44	0.99	0.99	0.93	0.95
	United Arab Emirates (Dubai)	104	69	215	0.80	4.72	1.65	0.95	0.95	0.88	0.93

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For calculating school response rates before replacement, the numerator consisted of all original sample schools with enrolled age-eligible students who participated (i.e., assessed a sample of PISA-eligible students, and obtained a student response rate of at least 50%). The denominator consisted of all the schools in the numerator, plus those original sample schools with enrolled age-eligible students that either did not participate or failed to assess at least 50% of PISA-eligible sample students. Schools that were included in the sampling frame, but were found to have no age-eligible students, or which were excluded in the field were omitted from the calculation of response rates. Replacement schools do not figure in these calculations.



Table 11.3 Response rates before school replacement

	Weighted school participation rate before replacement (%) (SCHRRW1)	Weighted number of responding schools (weighted also by enrollment) (NUMW1)	Weighted number of schools sampled (responding + non-responding) (weighted also by enrollment) (DENW1)	Unweighted school participation rate before replacement (%) (SCHRU1)	Number of responding schools (unweighted) (NUMU1)	Number of responding and non-responding schools (unweighted) (DENU1)
<b>OECD</b>						
Australia	94.42	260 657	276 072	91.37	720	788
Austria	99.95	81 690	81 730	98.53	269	273
Belgium	83.07	98 786	118 915	81.06	244	301
Canada	74.48	283 853	381 133	69.74	703	1008
Chile	92.43	215 139	232 756	89.22	207	232
Czech Republic	98.13	86 354	87 999	98.55	339	344
Denmark	90.46	57 803	63 897	88.14	327	371
Estonia	99.89	11 142	11 154	99.52	206	207
Finland	99.78	58 653	58 782	99.40	167	168
France	90.75	679 984	749 284	90.98	232	255
Germany	96.25	764 423	794 206	95.70	245	256
Greece	92.23	95 030	103 031	89.62	190	212
Hungary	93.42	83 897	89 808	92.03	231	251
Iceland	98.82	4 114	4 163	94.57	122	129
Ireland	99.29	61 023	61 461	98.82	167	169
Israel	90.90	105 192	115 717	88.95	169	190
Italy	74.39	383 933	516 113	77.82	414	532
Japan	94.45	1 087 414	1 151 305	94.50	189	200
Korea	99.65	612 937	615 107	99.41	168	169
Latvia	86.46	14 122	16 334	85.87	231	269
Luxembourg	100.00	5 891	5 891	100.00	44	44
Mexico	95.46	1 311 608	1 373 919	94.72	269	284
Netherlands	63.31	121 527	191 966	62.19	125	201
New Zealand	71.43	40 623	56 875	69.05	145	210
Norway	95.17	58 824	61 809	95.02	229	241
Poland	88.49	314 288	355 158	88.82	151	170
Portugal	85.87	87 756	102 193	83.86	213	254
Slovak Republic	92.69	50 513	54 499	92.20	272	295
Slovenia	97.69	16 886	17 286	95.13	332	349
Spain	98.87	404 640	409 246	99.00	199	201
Sweden	99.70	93 819	94 097	98.54	202	205
Switzerland	93.16	75 482	81 026	91.38	212	232
Turkey	96.88	1 057 318	1 091 317	89.74	175	195
United Kingdom	83.65	591 757	707 415	84.62	506	598
United States	66.67	2 601 386	3 902 089	66.67	142	213
<b>Partners</b>						
Albania	99.75	43 809	43 919	99.57	229	230
Algeria	96.13	341 463	355 216	95.78	159	166
Argentina	88.74	508 448	572 941	89.08	212	238
Brazil	93.19	2 509 198	2 692 686	90.66	806	889
B-S-J-G (China)	87.66	1 259 845	1 437 201	92.54	248	268
Bulgaria	99.61	56 265	56 483	99.44	179	180
Colombia	98.64	664 664	673 817	97.07	364	375
Costa Rica	99.12	66 485	67 073	99.03	204	206
Croatia	99.78	34 575	34 652	98.77	160	162
Cyprus <sup>1</sup>	96.76	8 830	9 126	92.42	122	132
Dominican Republic	98.90	136 669	138 187	98.97	193	195
FYROM	99.72	16 426	16 472	99.07	106	107
Georgia	97.49	40 552	41 595	95.88	256	267
Hong Kong (China)	75.11	45 603	60 716	75.16	115	153
Indonesia	98.44	3 126 468	3 176 076	98.31	232	236
Jordan	100.00	119 024	119 024	100.00	250	250
Kazakhstan	100.00	202 701	202 701	100.00	232	232
Kosovo	100.00	26 924	26 924	100.00	224	224
Lebanon	66.59	40 542	60 882	67.53	208	308
Lithuania	99.36	31 386	31 588	99.36	309	311
Macao (China)	100.00	4 414	4 414	100.00	45	45
Malaysia	51.39	229 340	446 237	63.91	147	230
Malta	99.95	4 341	4 343	96.72	59	61
Moldova	100.00	30 145	30 145	100.00	229	229
Montenegro	99.85	7 301	7 312	98.46	64	65
Peru	99.52	468 406	470 651	99.29	280	282
Qatar	98.98	13 333	13 470	98.81	166	168
Romania	99.36	171 553	172 652	99.45	181	182
Russia	99.37	1 181 937	1 189 441	99.52	209	210
Singapore	97.17	45 299	46 620	97.77	175	179
Chinese Taipei	100.00	286 778	286 778	100.00	214	214
Thailand	98.50	739 772	751 010	98.53	269	273
Trinidad and Tobago	91.55	15 904	17 371	86.50	141	163
Tunisia	99.17	121 751	122 767	98.18	162	165
United Arab Emirates	98.50	49 310	50 060	99.16	473	477
Uruguay	98.28	42 986	43 737	98.19	217	221
Viet Nam	100.00	996 757	996 757	100.00	188	188

1. See note 1 under Table 11.1.

Table 11.4 Response rates before school replacement, by adjudicated regions

	Weighted school participation rate before replacement (%) (SCHRRW1)	Weighted number of responding schools (weighted also by enrollment) (NUMW1)	Weighted number of schools sampled (responding + non-responding) (weighted also by enrollment) (DENW1)	Unweighted school participation rate before replacement (%) (SCHRRU1)	Number of responding schools (unweighted) (NUMU1)	Number of responding and non-responding schools (unweighted) (DENU1)
<b>OECD</b>						
Belgium (Flemish community)	75.87	49 542	65 298	74.19	138	186
Spain (Andalusia)	98.15	80 669	82 193	98.15	53	54
Spain (Aragon)	100.00	11 126	11 126	100.00	53	53
Spain (Asturias)	100.00	7 066	7 066	100.00	54	54
Spain (Balearic Islands)	100.00	9 502	9 502	100.00	54	54
Spain (Basque Country)	100.00	18 113	18 113	100.00	119	119
Spain (Canary Islands)	98.26	19 877	20 229	98.15	53	54
Spain (Cantabria)	100.00	4 780	4 780	100.00	56	56
Spain (Castile and Leon)	100.00	19 602	19 602	100.00	57	57
Spain (CastileLaMancha)	100.00	19 543	19 543	100.00	55	55
Spain (Catalonia)	100.00	67 606	67 606	100.00	52	52
Spain (Extremadura)	100.00	10 592	10 592	100.00	53	53
Spain (Galicia)	100.00	19 617	19 617	100.00	59	59
Spain (La Rioja)	100.00	2 822	2 822	100.00	47	47
Spain (Madrid)	97.99	52 068	53 137	98.04	50	51
Spain (Murcia)	100.00	14 015	14 015	100.00	53	53
Spain (Navarra)	100.00	5 793	5 793	100.00	52	52
Spain (Valencia)	97.94	42 313	43 204	98.11	52	53
United Kingdom (Scotland)	86.61	47 878	55 282	86.32	101	117
United States (Massachusetts (public))	78.40	54 800	69 899	77.36	41	53
United States (North Carolina (public))	100.00	110 786	110 786	100.00	54	54
United States (Puerto Rico) <sup>1</sup>	100.00	39 453	39 453	100.00	47	47
<b>Partners</b>						
Argentina (CABA)	94.73	33 701	35 576	94.92	56	59
United Arab Emirates (Abu Dhabi)	96.14	18 653	19 402	96.55	112	116
United Arab Emirates (Dubai)	100.00	14 057	14 057	100.00	214	214

1. Puerto Rico is an unincorporated territory of the United States. As such, PISA results for the United States do not include Puerto Rico.

For calculating school response rates after replacement, the numerator consisted of all sampled schools (original plus replacement) with enrolled age-eligible students that participated (i.e., assessed a sample of PISA-eligible students and obtained a student response rate of at least 50%). The denominator consisted of all the schools in the numerator, plus those original sample schools that had age-eligible students enrolled, but that failed to assess at least 50% of PISA-eligible sample students and for which no replacement school participated. Schools that were included in the sampling frame, but were found to contain no age-eligible students, were omitted from the calculation of response rates. Replacement schools were included in rates only when they participated, and were replacing a refusing school that had age-eligible students.

In calculating weighted school response rates, each school received a weight equal to the product of its base weight (the reciprocal of its selection probability) and the number of age-eligible students enrolled in the school, as indicated on the school sampling frame.

With the use of probability proportional to size sampling, where there are no certainty or small schools, the product of the initial weight and the enrolment will be a constant, so in participating countries with few certainty school selections and no oversampling or undersampling of any explicit strata, weighted and unweighted rates are very similar. The weighted school response rate before replacement is given by the formula:

### 11.1

$$\text{weighted school response rate}_{\text{before replacement}} = \frac{\sum_{i \in Y} W_i E_i}{\sum_{i \in (Y \cup N)} W_i E_i}$$

where  $Y$  denotes the set of responding original sample schools with age-eligible students,  $N$  denotes the set of eligible non-responding original sample schools,  $W_i$  denotes the base weight for school  $i$ ,  $W_i = 1/P_i$  where  $P_i$  denotes the school selection probability for school  $i$ , and  $E_i$  denotes the enrolment size of age-eligible students, as indicated on the sampling frame.



Table 11.5 Response rates after school replacement

	Weighted school participation rate after all replacement (%) (SCHRRW3)	Weighted number of responding schools (weighted also by enrollment) (NUMW3)	Weighted number of schools sampled (responding + non-responding) (weighted also by enrollment) (DENW3)	Unweighted school participation rate after all replacement (%) (SCHRRU3)	Number of responding schools (unweighted) (NUMU3)	Number of responding and non-responding schools (unweighted) (DENU3)
<b>OECD</b>						
Australia	94.95	262 130	276 072	91.75	723	788
Austria	99.95	81 690	81 730	98.53	269	273
Belgium	95.37	113 435	118 936	95.02	286	301
Canada	78.57	299 512	381 189	72.02	726	1008
Chile	99.14	230 749	232 757	97.41	226	232
Czech Republic	98.13	86 354	87 999	98.55	339	344
Denmark	92.03	58 837	63 931	89.22	331	371
Estonia	99.89	11 142	11 154	99.52	206	207
Finland	100.00	58 800	58 800	100.00	168	168
France	94.34	706 838	749 284	94.51	241	255
Germany	98.94	785 813	794 206	98.83	253	256
Greece	98.48	101 653	103 218	98.58	209	212
Hungary	98.80	88 751	89 825	97.21	244	251
Iceland	98.82	4 114	4 163	94.57	122	129
Ireland	99.29	61 023	61 461	98.82	167	169
Israel	92.96	107 570	115 717	91.05	173	190
Italy	87.50	451 098	515 515	87.22	464	532
Japan	98.99	1 139 734	1 151 305	99.00	198	200
Korea	99.65	612 937	615 107	99.41	168	169
Latvia	92.52	15 103	16 324	92.19	248	269
Luxembourg	100.00	5 891	5 891	100.00	44	44
Mexico	97.52	1 339 901	1 373 919	96.83	275	284
Netherlands	93.21	178 929	191 966	91.54	184	201
New Zealand	84.50	48 094	56 913	83.81	176	210
Norway	95.17	58 824	61 809	95.02	229	241
Poland	99.32	352 754	355 158	98.82	168	170
Portugal	95.10	97 516	102 537	93.70	238	254
Slovak Republic	98.80	53 908	54 562	97.63	288	295
Slovenia	97.75	16 896	17 286	95.42	333	349
Spain	100.00	409 246	409 246	100.00	201	201
Sweden	99.70	93 819	94 097	98.54	202	205
Switzerland	97.67	79 481	81 375	96.98	225	232
Turkey	99.12	1 081 935	1 091 528	95.90	187	195
United Kingdom	92.59	654 992	707 415	91.47	547	598
United States	83.32	3 244 399	3 893 828	83.10	177	213
<b>Partners</b>						
Albania	99.75	43 809	43 919	99.57	229	230
Algeria	96.13	341 463	355 216	95.78	159	166
Argentina	97.13	556 478	572 941	97.06	231	238
Brazil	94.08	2 533 711	2 693 137	91.68	815	889
B-S-J-G (China)	100.00	1 437 652	1 437 652	100.00	268	268
Bulgaria	100.00	56 600	56 600	100.00	180	180
Colombia	99.81	672 526	673 835	98.93	371	375
Costa Rica	99.12	66 485	67 073	99.03	204	206
Croatia	99.78	34 575	34 652	98.77	160	162
Cyprus <sup>1</sup>	96.76	8 830	9 126	92.42	122	132
Dominican Republic	98.90	136 669	138 187	98.97	193	195
FYROM	99.72	16 426	16 472	99.07	106	107
Georgia	98.83	41 081	41 566	98.13	262	267
Hong Kong (China)	90.25	54 795	60 715	90.20	138	153
Indonesia	100.00	3 176 076	3 176 076	100.00	236	236
Jordan	100.00	119 024	119 024	100.00	250	250
Kazakhstan	100.00	202 701	202 701	100.00	232	232
Kosovo	100.00	26 924	26 924	100.00	224	224
Lebanon	87.33	53 091	60 797	87.66	270	308
Lithuania	99.86	31 543	31 588	99.68	310	311
Macao (China)	100.00	4 414	4 414	100.00	45	45
Malaysia	98.06	437 424	446 100	97.39	224	230
Malta	99.95	4 341	4 343	96.72	59	61
Moldova	100.00	30 145	30 145	100.00	229	229
Montenegro	99.85	7 301	7 312	98.46	64	65
Peru	99.79	469 662	470 651	99.65	281	282
Qatar	98.98	13 333	13 470	98.81	166	168
Romania	100.00	172 495	172 495	100.00	182	182
Russia	99.37	1 181 937	1 189 441	99.52	209	210
Singapore	97.71	45 553	46 620	98.32	176	179
Chinese Taipei	100.00	286 778	286 778	100.00	214	214
Thailand	100.00	751 010	751 010	100.00	273	273
Trinidad and Tobago	91.55	15 904	17 371	86.50	141	163
Tunisia	99.22	121 838	122 792	98.79	163	165
United Arab Emirates	98.50	49 310	50 060	99.16	473	477
Uruguay	99.33	43 442	43 737	99.10	219	221
Viet Nam	100.00	996 757	996 757	100.00	188	188

1. See note 1 under Table 11.1.

Table 11.6 Response rates after school replacement, by adjudicated regions

	Weighted school participation rate after all replacement (%) (SCHRRW3)	Weighted number of responding schools (weighted also by enrollment) (NUMW3)	Weighted number of schools sampled (responding + non-responding) (weighted also by enrollment) (DENW3)	Unweighted school participation rate after all replacement (%) (SCHRU3)	Number of responding schools (unweighted) (NUMU3)	Number of responding and non-responding schools (unweighted) (DENU3)	
<b>OECD</b>	Belgium (Flemish community)	93.45	61 039.32	65 319.22	93.55	174	186
	Spain (Andalusia)	100.00	82 192.73	82 192.73	100.00	54	54
	Spain (Aragon)	100.00	11 125.90	11 125.90	100.00	53	53
	Spain (Asturias)	100.00	7 065.53	7 065.53	100.00	54	54
	Spain (Balearic Islands)	100.00	9 501.65	9 501.65	100.00	54	54
	Spain (Basque Country)	100.00	18 113.27	18 113.27	100.00	119	119
	Spain (Canary Islands)	98.26	19 877.44	20 229.40	98.15	53	54
	Spain (Cantabria)	100.00	4 779.92	4 779.92	100.00	56	56
	Spain (Castile and Leon)	100.00	19 601.83	19 601.83	100.00	57	57
	Spain (CastileLaMancha)	100.00	19 542.72	19 542.72	100.00	55	55
	Spain (Catalonia)	100.00	67 606.13	67 606.13	100.00	52	52
	Spain (Extremadura)	100.00	10 592.13	10 592.13	100.00	53	53
	Spain (Galicia)	100.00	19 616.86	19 616.86	100.00	59	59
	Spain (La Rioja)	100.00	2 822.00	2 822.00	100.00	47	47
	Spain (Madrid)	100.00	53 137.04	53 137.04	100.00	51	51
	Spain (Murcia)	100.00	14 015.27	14 015.27	100.00	53	53
	Spain (Navarra)	100.00	5 793.20	5 793.20	100.00	52	52
	Spain (Valencia)	97.94	42 313.15	43 203.77	98.11	52	53
<b>Partners</b>	United Kingdom (Scotland)	92.68	51 235.75	55 282.20	92.31	108	117
	United States (Massachusetts (public))	91.85	64 205.61	69 899.08	90.57	48	53
	United States (North Carolina (public))	100.00	110 785.88	110 785.88	100.00	54	54
	United States (Puerto Rico) <sup>1</sup>	100.00	39 453.16	39 453.16	100.00	47	47
	Argentina (CABA)	96.49	34 325.94	35 576.10	96.61	57	59
	United Arab Emirates (Abu Dhabi)	96.14	18 652.63	19 402.38	96.55	112	116
	United Arab Emirates (Dubai)	100.00	14 057.00	14 057.00	100.00	214	214

1. Puerto Rico is an unincorporated territory of the United States. As such, PISA results for the United States do not include Puerto Rico.

The weighted school response rate, after replacement, is given by the formula:

### 11.2

$$\text{weighted school response rate}_{\text{after replacement}} = \frac{\sum_{i \in (YUR)} W_i E_i}{\sum_{i \in (YURUN)} W_i E_i}$$

where  $Y$  denotes the set of responding original sample schools,  $R$  denotes the set of responding replacement schools, for which the corresponding original sample school was eligible but was non-responding,  $N$  denotes the set of eligible refusing original sample schools,  $W_i$  denotes the base weight for school  $i$ ,  $W_i = 1/P_i$ , where  $P_i$  denotes the school selection probability for school  $i$ , and for weighted rates,  $E_i$  denotes the enrolment size of age-eligible students, as indicated on the sampling frame.

For unweighted student response rates, the numerator is the number of students for whom assessment data were included in the results less those in schools with between 25 and 50% student participation. The denominator is the number of sampled students who were age-eligible, and not explicitly excluded as student exclusions.

For weighted student response rates, the same number of students appears in the numerator and denominator as for unweighted rates, but each student was weighted by its student base weight. This is given as the product of the school base weight – for the school in which the student was enrolled – and the reciprocal of the student selection probability within the school.

In countries with no oversampling of any explicit strata, weighted and unweighted student participation rates are very similar.

Overall response rates are calculated as the product of school and student response rates. Although overall weighted and unweighted rates can be calculated, there is little value in presenting overall unweighted rates. The weighted rates indicate the proportion of the student population represented by the sample prior to making the school and student non-response adjustments.



Table 11.7 Response rates, students within schools after school replacement

	Weighted student participation rate after second replacement (%) (STURRW3)	Number of students assessed (Weighted) (NUMSTW3)	Number of students sampled (assessed + absent) (weighted) (DENSTW3)	Unweighted student participation rate after second replacement (%) (STURRU3)	Number of students assessed (unweighted) (NUMSTU3)	Number of students sampled (assessed + absent) (unweighted) (DENSTU3)
<b>OECD</b>						
Australia	83.99	204 763	243 789	80.61	14 089	17 477
Austria	86.59	63 660	73 521	71.01	7 007	9 868
Belgium	90.63	99 760	110 075	90.88	9 635	10 602
Canada	80.80	210 476	260 487	81.25	19 604	24 129
Chile	93.31	189 206	202 774	93.67	7 039	7 515
Czech Republic	88.77	73 386	82 672	88.85	6 835	7 693
Denmark	89.08	49 732	55 830	87.35	7 149	8 184
Estonia	93.22	10 088	10 822	93.21	5 587	5 994
Finland	93.44	53 198	56 934	93.45	5 882	6 294
France	88.21	611 563	693 336	88.16	5 980	6 783
Germany	93.27	685 972	735 487	93.26	6 476	6 944
Greece	94.32	89 588	94 986	94.40	5 511	5 838
Hungary	92.30	77 212	83 657	92.49	5 643	6 101
Iceland	86.11	3 365	3 908	86.11	3 365	3 908
Ireland	88.60	51 947	58 630	88.62	5 741	6 478
Israel	90.48	98 572	108 940	90.46	6 598	7 294
Italy	87.67	377 011	430 041	89.38	11 477	12 841
Japan	97.24	1 096 193	1 127 265	97.21	6 647	6 838
Korea	98.56	559 121	567 284	98.53	5 581	5 664
Latvia	90.42	12 799	14 155	90.26	4 845	5 368
Luxembourg	95.65	5 299	5 540	95.65	5 299	5 540
Mexico	95.43	1 290 435	1 352 237	95.34	7 568	7 938
Netherlands	85.12	152 346	178 985	85.26	5 345	6 269
New Zealand	80.31	36 860	45 897	80.28	4 453	5 547
Norway	90.75	50 163	55 277	90.69	5 456	6 016
Poland	87.54	300 617	343 405	87.43	4 466	5 108
Portugal	82.02	75 391	91 916	82.23	7 180	8 732
Slovak Republic	92.37	45 357	49 103	91.91	6 342	6 900
Slovenia	91.77	15 072	16 424	91.40	6 406	7 009
Spain	89.14	356 509	399 935	89.34	6 736	7 540
Sweden	90.67	82 582	91 081	90.77	5 458	6 013
Switzerland	92.45	74 465	80 544	92.59	5 838	6 305
Turkey	95.19	874 609	918 816	94.91	5 895	6 211
United Kingdom	89.02	517 426	581 252	87.58	14 120	16 123
United States	89.76	2 629 707	2 929 771	89.59	5 712	6 376
<b>Partners</b>						
Albania	93.53	38 174	40 814	93.84	5 213	5 555
Algeria	92.47	274 121	296 434	92.59	5 494	5 934
Argentina	90.36	345 508	382 352	89.95	6 311	7 016
Brazil	87.32	1 996 574	2 286 505	85.73	22 791	26 586
B-S-J-G (China)	96.69	1 287 710	1 331 794	97.46	9 841	10 097
Bulgaria	94.87	50 931	53 685	95.00	5 928	6 240
Colombia	94.52	535 682	566 734	93.39	11 777	12 611
Costa Rica	92.46	47 494	51 369	92.38	6 846	7 411
Croatia	91.35	37 275	40 803	91.42	5 809	6 354
Cyprus*	94.03	8 016	8 526	93.35	5 561	5 957
Dominican Republic	93.82	122 620	130 700	94.13	4 731	5 026
FYROM	94.92	14 999	15 802	94.78	5 324	5 617
Georgia	93.91	35 567	37 873	93.44	5 316	5 689
Hong Kong (China)	93.08	48 222	51 806	93.25	5 359	5 747
Indonesia	97.51	3 015 844	3 092 773	97.30	6 513	6 694
Jordan	97.42	105 868	108 669	97.39	7 267	7 462
Kazakhstan	97.29	187 683	192 921	97.29	7 841	8 059
Kosovo	98.58	22 016	22 333	98.57	4 826	4 896
Lebanon	94.52	36 052	38 143	94.95	4 546	4 788
Lithuania	90.57	27 070	29 889	90.57	6 523	7 202
Macao (China)	99.31	4 476	4 507	99.31	4 476	4 507
Malaysia	96.66	393 785	407 396	97.21	8 843	9 097
Malta	84.63	3 634	4 294	84.63	3 634	4 294
Moldova	98.00	28 754	29 341	97.96	5 325	5 436
Montenegro	93.79	6 346	6 766	93.74	5 665	6 043
Peru	98.90	426 205	430 959	98.82	6 971	7 054
Qatar	94.09	12 061	12 819	94.09	12 061	12 819
Romania	99.21	162 918	164 216	99.31	4 876	4 910
Russia	96.83	1 072 914	1 108 068	96.88	6 021	6 215
Singapore	93.33	42 241	45 259	93.14	6 105	6 555
Chinese Taipei	98.00	246 408	251 424	97.93	7 708	7 871
Thailand	96.88	614 996	634 795	97.15	8 249	8 491
Trinidad and Tobago	79.38	9 674	12 188	79.84	4 587	5 745
Tunisia	86.40	97 337	112 665	86.48	5 340	6 175
United Arab Emirates	94.62	43 774	46 263	94.36	14 167	15 014
Uruguay	86.16	32 762	38 023	86.24	6 059	7 026
Viet Nam	99.60	871 353	874 859	99.61	5 826	5 849

\* See note 1 under Table 11.1.

Table 11.8 Response rates, students within schools after school replacement, by adjudicated regions

	Weighted student participation rate after second replacement (%) (STURRW3)	Number of students assessed (weighted) (NUMSTW3)	Number of students sampled (assessed + absent) (weighted) (DENSTW3)	Unweighted student participation rate after second replacement (%) (STURRU3)	Number of students assessed (Unweighted) (NUMSTU3)	Number of students sampled (assessed + absent) (unweighted) (DENSTU3)
<b>OECD</b>	Belgium (Flemish community)	91.54	54 082.90	59 081.47	5 674	6 199
	Spain (Andalusia)	87.64	71 549.56	81 642.36	1 813	2 065
	Spain (Aragon)	89.49	9 626.75	10 757.56	1 798	2 008
	Spain (Asturias)	89.63	6 179.65	6 894.55	1 790	1 995
	Spain (Balearic Islands)	88.84	8 179.56	9 207.58	1 797	2 021
	Spain (Basque Country)	91.07	15 868.19	17 424.20	3 612	3 992
	Spain (Canary Islands)	90.40	17 279.43	19 113.67	1 825	2 019
	Spain (Cantabria)	90.39	4 136.09	4 575.66	1 924	2 124
	Spain (Castile and Leon)	92.03	16 568.49	18 003.77	1 858	2 020
	Spain (CastileLaMancha)	90.24	17 368.92	19 247.29	1 889	2 092
	Spain (Catalonia)	90.66	57 218.40	63 112.16	1 769	1 950
	Spain (Extremadura)	89.90	9 038.97	10 054.22	1 809	2 012
	Spain (Galicia)	91.13	17 371.25	19 062.58	1 865	2 048
	Spain (La Rioja)	91.71	2 529.21	2 757.90	1 461	1 590
	Spain (Madrid)	89.77	47 792.04	53 239.55	1 808	2 009
	Spain (Murcia)	86.96	11 787.15	13 555.12	1 796	2 064
	Spain (Navarra)	94.02	5 166.61	5 495.51	1 874	1 990
	Spain (Valencia)	87.50	33 270.94	38 024.57	1 611	1 840
<b>Partners</b>	United Kingdom (Scotland)	79.99	37 114.07	46 396.20	3 095	3 869
	United States (Massachusetts (public))	90.36	42 557.08	47 096.94	1 391	1 534
	United States (North Carolina (public))	92.43	96 277.78	104 161.17	1 887	2 038
	United States (Puerto Rico) <sup>1</sup>	93.12	28 179.19	30 261.01	1 398	1 493
	Argentina (CABA)	90.34	28 282.38	31 306.97	1 649	1 846
	United Arab Emirates (Abu Dhabi)	93.40	16 483.27	17 647.64	3 610	3 878
	United Arab Emirates (Dubai)	94.34	12 174.95	12 905.86	6 287	6 677

1. Puerto Rico is an unincorporated territory of the United States. As such, PISA results for the United States do not include Puerto Rico.

## TEACHER RESPONSE RATES

Unweighted response rates for both science and non-science teachers were created using similar methods to those for unweighted student and school response rates – that is, ineligible teachers are not used in the denominator for the rate calculation.

These rates are presented in Table 11.9 for science teachers and in Table 11.10 for the non-science teachers.

In addition to these rates, unweighted response rates were calculated also for each sampled school in each country which implemented the Teacher Questionnaire. These rates were created as quality indicators for the questionnaire team who would use the Teacher Questionnaire data to create derived variables to help provide context about PISA students.

Table 11.9 Science teacher response rates

	Country	Science teacher unweighted response rate (%)	Science teacher numerator	Science teacher denominator	Number of ineligible science teachers
<b>OECD</b>	Australia	73.49	4 158	5 658	72
	Chile	90.07	771	856	110
	Czech Republic	94.88	2 169	2 286	18
	Germany	68.90	2 032	2 949	0
	Italy	74.50	2 422	3 251	23
	Korea	99.36	926	932	4
	Portugal	91.20	1 441	1 580	29
	Spain	95.53	1 368	1 432	33
	United States	87.20	1 110	1 273	12
	United States (Massachusetts (public))	90.49	390	431	9
<b>Partners</b>	United States (North Carolina (public))	97.19	380	391	2
	Brazil	70.35	2 650	3 767	0
	B-S-J-G (China)	99.30	2 410	2 427	29
	Colombia	85.42	1 324	1 550	57
	Dominican Republic	91.13	452	496	33
	Hong Kong (China)	91.48	1 042	1 139	4
	Macao (China)	98.99	391	395	2
	Malaysia	97.67	2 010	2 058	41
	Peru	95.65	902	943	33
	Chinese Taipei	98.98	1 545	1 561	9
	United Arab Emirates	89.13	1 795	2 014	10
	United Arab Emirates (Abu Dhabi)	87.83	729	830	7
	United Arab Emirates (Dubai)	90.34	1 103	1 221	7



Table 11.10 Non-science teacher response rates

Country	Non-Science teacher unweighted response rate (%)	Non-Science teacher numerator	Non-Science teacher denominator	Number of ineligible non-science teachers
<b>OECD</b>	Australia	71.25	7 394	10 378
	Chile	90.68	2 295	2 531
	Czech Republic	93.75	3 750	4 000
	Germany	64.90	3 568	5 498
	Italy	70.45	4 526	6 424
	Korea	99.12	2 128	2 147
	Portugal	88.20	2 257	2 559
	Spain	92.46	2 526	2 732
	United States	88.53	2 099	2 371
United States (Massachusetts (public))	89.36	630	705	10
	United States (North Carolina (public))	95.47	738	773
<b>Partners</b>	Brazil	67.01	5 398	8 055
	B-S-J-G (China)	99.03	3 880	3 918
	Colombia	82.89	3 295	3 975
	Dominican Republic	86.97	1 048	1 205
	Hong Kong (China)	89.80	1 841	2 050
	Macao (China)	99.34	2 410	2 426
	Malaysia	97.44	3 191	3 275
	Peru	99.32	2 918	2 938
	Chinese Taipei	99.08	3 130	3 159
	United Arab Emirates	87.23	3 285	3 766
	United Arab Emirates (Abu Dhabi)	87.29	1 222	1 400
	United Arab Emirates (Dubai)	88.78	2 026	2 282

## DESIGN EFFECTS AND EFFECTIVE SAMPLE SIZES

Surveys in education and especially international surveys rarely sample students by simply selecting a random sample of students (known as a simple random sample, or SRS). Rather, a sampling design is used where schools are first selected and, within each selected school, classes or students are randomly sampled. Sometimes, geographic areas are first selected before sampling schools and students. This sampling design is usually referred to as a cluster sample or a multi-stage sample.

Selected students attending the same school cannot be considered as independent observations as assumed with a simple random sample because they are usually more similar to one another than to students attending other schools. For instance, the students are offered the same school resources, may have the same teachers and therefore are taught a common implemented curriculum, and so on. School differences are also larger if different educational programmes are not available in all schools. One expects to observe greater differences between a vocational school and an academic school than between two comprehensive schools.

Furthermore, it is well known that within a country, within sub-national entities and within a city, people tend to live in areas according to their financial resources. As children usually attend schools close to their home, it is likely that students attending the same school come from similar social and economic backgrounds.

A simple random sample of 4 000 students is thus likely to cover the diversity of the population better than a sample of 100 schools with 40 students observed within each school. It follows that the uncertainty associated with any population parameter estimate (i.e., standard error) will be larger for a clustered sample estimate than for a simple random sample estimate of the same size.

In the case of a simple random sample, the standard error of a mean estimate is equal to:

**11.3**

$$\sigma_{(\bar{\mu})} = \sqrt{\frac{\sigma^2}{n}}$$

where  $\sigma^2$  denotes the variance of the whole student population and  $n$  is the student sample size.



For an infinite population of schools and infinite populations of students within schools, the standard error of a mean estimate from a cluster sample is equal to:

#### 11.4

$$\sigma_{(\bar{\mu})} = \sqrt{\frac{\sigma_{schools}^2}{n_{schools}} + \frac{\sigma_{within}^2}{n_{schools} n_{students}}}$$

where  $\sigma_{schools}^2$  denotes the variance of the school means,  $\sigma_{within}^2$  denotes the variances of students within schools,  $n_{schools}$  denotes the sample size of schools, and  $n_{students}$  denotes the sample size of students within each school.

The standard error for the mean from a simple random sample is inversely proportional to the square root of the number of selected students. The standard error for the mean from a cluster sample is proportional to the variance that lies between clusters (i.e. schools) and within clusters and inversely proportional to the square root of the number of selected schools and is also a function of the number of students selected per school.

It is usual to express the decomposition of the total variance into the between-school variance and the within-school variance by the coefficient of intraclass correlation, also denoted *Rho*. Mathematically, this index is equal to:

#### 11.5

$$Rho = \frac{\sigma_{schools}^2}{\sigma_{schools}^2 + \sigma_{within}^2}$$

This index provides an indication of the percentage of variance that lies between schools. A low intraclass correlation indicates that schools are performing similarly while higher values point towards large differences between school performance.

To limit the reduction of precision in the population parameter estimate, multi-stage sample designs usually use supplementary information to improve coverage of the population diversity. In PISA the following techniques were implemented to limit the increase in the standard error: (i) explicit and implicit stratification of the school sampling frame and (ii) selection of schools with probabilities proportional to their size. Complementary information generally cannot compensate totally for the increase in the standard error due to the multi-stage design however but will greatly reduce it.

Table 11.11 provides the standard errors on the PISA 2015 main domain scales, calculated as if the participating country sample was selected according to (i) a simple random sample; (ii) a multi-stage procedure without using complementary information (unstratified multi-stage sampling, with sampling weights ignored) and (iii) the unbiased BRR estimate for the actual PISA 2015 design, using Fay's method. It should be mentioned that the plausible value imputation variance was not included in these computations, which thus only reflect sampling error.

Note that the values in Table 11.11 for the standard errors for the unstratified multi-stage design are overestimates for countries that had a school census (Cyprus<sup>1</sup>, Iceland, Luxembourg, Macao (China), Malta, Trinidad and Tobago, and Qatar) since these standard error estimates assume a sample of schools was collected.

Also note that in some of the countries where the BRR estimates in Table 11.11 are greater than the values for the unstratified multi-stage sample, this is because of regional or other oversampling (The countries with oversampling were: Argentina, Australia, Belgium, Brazil, B-S-J-G (China), Canada, Colombia, the Czech Republic, Denmark, Italy, Malaysia, Portugal, the United Arab Emirates, the United Kingdom).

The BRR estimates in Table 11.11 are also greater than the values for the unstratified multi-stage sample for almost all countries since nearly every country undersamples very small schools. As described in the sampling design chapter, some countries have a substantial proportion of students attending schools that have fewer students than the target cluster size (TCS). When small school undersampling was done, very small schools were undersampled while all other schools were slightly oversampled in compensation. In such cases, very small schools with at most 0, 1, or 2 age-eligible PISA students expected to be enrolled were typically undersampled by a factor of 4 while the very small schools with between 3 and TCS/2 age-eligible PISA students expected to be enrolled were undersampled by a factor of 2. This takes the allocation of schools to strata slightly away from proportional allocation, which can add slightly to weight variability and therefore to sampling variance. This is done though, to help countries minimise the operational burden of having too many small schools in their sample.

For the other instances of countries in Table 11.11 that have BRR estimates that are somewhat greater than estimates based on an unstratified multi-stage design it is unclear why the BRR variance should be larger, though it is possible that the stratification undertaken possibly did not explain enough between-school variance in these countries.

1. See note 1 under Table 11.1.



It is usual to express the effect of the sampling design on the standard errors by a statistic referred to as the design effect. This corresponds to the ratio of the variance of the estimate obtained from the (more complex) sample to the variance of the estimate that would be obtained from a simple random sample of the same number of sampling units. The design effect has two primary uses – in sample size estimation and in appraising the efficiency of more complex sampling plans (Cochran, 1977).

In PISA, as sampling variance has to be estimated by using the 80 *BRR* replicates, a design effect can be computed for a statistic  $t$  using:

**11.6**

$$Deff(t) = \frac{Var_{BRR}(t)}{Var_{SRS}(t)}$$

where  $Var_{BRR}(t)$  is the sampling variance for the statistic  $t$  computed by the *BRR* replication method, and  $Var_{SRS}(t)$  is the sampling variance for the same statistic  $t$  on the same data but considering the sample as a simple random sample.

Based on Table 11.11, the unbiased *BRR* standard error on the mean estimate in science in Australia (for example) is equal to 1.46 (rounded from 1.45568). As the standard deviation of the science performance is equal to 102.29735, the design effect in Australia for the mean estimate in science is therefore equal to:

**11.7**

$$Deff(t) = \frac{Var_{BRR}(t)}{Var_{SRS}(t)} = \frac{(1.45568)^2}{[102.29735^2 / 14\ 530]} = 2.942195$$

The sampling variance on the science performance mean in Australia is about 2.94 times larger than it would have been with a simple random sample of the same sample size. Note that the participating students are 14 530 as this number were assessed for science.

Another way to express the reduction of precision due to the complex sampling design is through the effective sample size, which expresses the simple random sample size that would give the same sampling variance as the one obtained from the actual complex sample design. The effective sample size for a statistic  $t$  is equal to:

**11.8**

$$Effn(t) = \frac{n}{Deff(t)} = \frac{n \times Var_{SRS}(t)}{Var_{BRR}(t)}$$

where  $n$  is equal to the actual number of units in the sample. The effective sample size in Australia for the science performance mean is equal to:

**11.9**

$$Effn(t) = \frac{n}{Deff(t)} = \frac{14\ 530}{2.942195} = 4938.4898$$

In other words, a simple random sample of 4 938 students in Australia would have been as precise as the actual PISA 2015 sample for the national estimate of mean science proficiency.

## VARIABILITY OF THE DESIGN EFFECT

Neither the design effect nor the effective sample size is a definitive characteristic of a sample. Both the design effect and the effective sample size vary with the variable and statistic of interest.

As previously stated, the sampling variance for estimates of the mean from a cluster sample is proportional to the intraclass correlation. In some countries, student performance varies between schools. Students in academic schools usually tend to perform well while on average student performance in vocational schools is lower. Let us now suppose that the height of the students was also measured, and there are no reasons why students in academic schools should be of different height than students in vocational schools. For this particular variable, the expected value of the between-school variance should be equal to zero and therefore, the design effect should tend to one. As the segregation effect differs according to the variable, the design effect will also differ according to the variable.

The second factor that influences the size of the design effect is the choice of requested statistics. It tends to be large for means, proportions, and sums but substantially smaller for bivariate or multivariate statistics such as correlation and regression coefficients.

## Design effects in PISA for performance variables

The notion of design effect as given earlier is extended and gives rise to five different design effect formulae to describe the influence of the sampling and test designs on the standard errors for statistics.

The total errors computed for the international PISA initial reports (OECD, 2016a,b) that involves performance variables (scale scores) consist of two components: sampling variance and measurement variance. The standard error of proficiency estimates in PISA is inflated because the students were not sampled according to a simple random sample and also because the estimation of student proficiency includes some amount of measurement error.

For any statistic  $r$ , the population estimate and the sampling variance are computed for each plausible value and then combined as described in Chapter 9.

The five design effects and their respective effective sample sizes are defined as follows:

- Design Effect 1

**11.10**

$$Deff_1(r) = \frac{Var_{SRS}(r) + MVar(r)}{Var_{SRS}(r)}$$

where  $MVar(r)$  is the measurement variance for the statistic  $r$ . This design effect shows the inflation of the total variance that would have occurred due to measurement error if in fact the samples were considered as a simple random sample.

- Design Effect 2

**11.11**

$$Deff_2(r) = \frac{Var_{BRR}(r) + MVar(r)}{Var_{SRS}(r) + MVar(r)}$$

shows the inflation of the *total* variance due only to the use of a complex sampling design.

- Design Effect 3

**11.12**

$$Deff_3(r) = \frac{Var_{BRR}(r)}{Var_{SRS}(r)}$$

shows the inflation of the sampling variance due to the use of a complex design.

- Design Effect 4

**11.13**

$$Deff_4(r) = \frac{Var_{BRR}(r) + MVar(r)}{Var_{BRR}(r)}$$

shows the inflation of the total variance due to measurement variance.

- Design Effect 5

**11.14**

$$Deff_5(r) = \frac{Var_{BRR}(r) + MVar(r)}{Var_{SRS}(r)}$$

shows the inflation of the total variance due to the measurement variance and due to the complex sampling design.

The product of the first and second design effects equals the product of the third and fourth design effects, and both products are equal to the fifth design effect.

Tables 11.12 through 11.16 present the values of the different design effects and the corresponding effective sample sizes for each of the major domains.











Table 11.15 Design effects and effective sample sizes for collaborative problem solving

Country	Design effect 1	Design Effect 2	Design effect 3	Design effect 4	Design effect 5	Sample size 1	Sample size 2	Sample size 3	Sample size 4	Sample size 5
<b>OECD</b>										
Australia	2.74	1.71	2.93	1.59	4.67	5 311	8 513	4 953	9 129	3 112
Austria	1.77	2.67	3.97	1.20	4.74	3 950	2 622	1 767	5 863	1 478
Belgium	1.69	3.36	4.99	1.14	5.68	5 711	2 873	1 935	8 478	1 700
Canada	2.59	3.69	7.97	1.20	9.55	7 749	5 434	2 518	16 723	2 099
Chile	3.04	2.38	5.21	1.39	7.24	2 321	2 958	1 355	5 069	974
Czech Republic	1.75	2.31	3.29	1.23	4.04	3 937	2 986	2 094	5 614	1 705
Denmark	1.81	3.12	4.84	1.17	5.65	3 959	2 294	1 481	6 135	1 268
Estonia	2.39	1.75	2.80	1.50	4.18	2 342	3 186	1 997	3 737	1 335
Finland	1.69	2.20	3.02	1.23	3.71	3 478	2 678	1 945	4 787	1 583
France	2.28	1.56	2.28	1.56	3.56	2 678	3 917	2 684	3 908	1 717
Germany	2.24	2.32	3.95	1.31	5.18	2 918	2 812	1 652	4 968	1 258
Greece	1.56	5.41	7.87	1.07	8.43	3 552	1 022	703	5 166	657
Hungary	1.29	2.67	3.15	1.09	3.43	4 395	2 122	1 799	5 184	1 648
Iceland	1.82	1.06	1.11	1.73	1.93	1 856	3 173	3 028	1 945	1 747
Ireland	1.72	4.65	7.30	1.10	8.02	6 717	2 489	1 587	10 537	1 444
Israel	1.65	4.05	6.02	1.11	6.67	4 032	1 643	1 104	6 001	996
Italy	2.13	2.38	3.94	1.29	5.07	2 617	2 346	1 416	4 335	1 100
Japan	2.25	1.37	1.83	1.68	3.09	2 159	3 556	2 657	2 890	1 577
Korea	1.58	0.75	0.61	1.96	1.19	3 344	7 040	8 715	2 701	4 442
Latvia	2.41	3.03	5.88	1.24	7.29	3 141	2 501	1 287	6 105	1 038
Luxembourg	1.41	2.33	2.88	1.14	3.29	3 815	2 308	1 868	4 712	1 635
Mexico	1.49	1.63	1.93	1.25	2.42	3 036	2 781	2 341	3 607	1 868
Netherlands	1.88	2.09	3.06	1.29	3.94	2 899	2 605	1 783	4 235	1 384
New Zealand	2.15	2.84	4.97	1.23	6.12	3 401	2 577	1 475	5 945	1 197
Norway	1.37	3.04	3.78	1.10	4.15	4 649	2 090	1 678	5 790	1 530
Poland	1.96	1.17	1.33	1.72	2.29	3 275	5 471	4 801	3 731	2 797
Portugal	1.67	2.41	3.35	1.20	4.01	4 036	2 800	2 013	5 614	1 678
Puerto Rico (United States) <sup>1</sup>	1.83	3.65	5.86	1.14	6.69	2 980	1 494	931	4 780	816
Slovak Republic	1.41	8.12	11.07	1.04	11.48	4 166	726	533	5 682	513
Slovenia	2.44	3.92	8.13	1.18	9.57	5 801	3 611	1 742	12 025	1 480
Spain	1.67	3.86	5.78	1.12	6.45	3 412	1 482	988	5 115	885
Sweden	1.31	4.86	6.08	1.05	6.39	4 153	1 122	898	5 190	854
Switzerland	1.50	3.74	5.12	1.10	5.62	3 896	1 569	1 146	5 334	1 043
Turkey	1.37	9.96	13.27	1.03	13.64	4 302	592	444	5 735	432
United Kingdom	3.06	3.79	9.55	1.22	11.61	4 625	3 732	1 482	11 644	1 219
United States	1.34	4.96	6.31	1.05	6.65	4 262	1 151	905	5 420	859
<b>Partners</b>										
Brazil	3.57	4.49	13.45	1.19	16.02	6 491	5 151	1 720	19 435	1 445
B-S-J-G (China)	1.57	10.55	15.96	1.04	16.53	6 280	933	617	9 503	595
Bulgaria	1.27	7.23	8.92	1.03	9.19	4 664	820	665	5 753	645
Colombia	1.25	7.30	8.87	1.03	9.12	9 443	1 616	1 330	11 473	1 294
Costa Rica	2.32	2.88	5.36	1.25	6.68	2 964	2 382	1 281	5 512	1 028
Croatia	1.60	3.03	4.26	1.14	4.87	3 620	1 916	1 363	5 087	1 194
Cyprus <sup>2</sup>	1.91	1.03	1.05	1.86	1.95	2 924	5 429	5 307	2 991	2 850
Hong Kong	1.75	3.25	4.95	1.15	5.70	3 057	1 647	1 082	4 652	940
Lithuania	1.56	3.08	4.24	1.13	4.79	4 190	2 120	1 540	5 766	1 361
Macao	1.35	0.64	0.52	1.67	0.86	3 327	6 978	8 647	2 685	5 187
Malaysia	1.68	9.06	14.52	1.05	15.19	5 281	979	610	8 466	583
Montenegro	1.66	0.88	0.80	1.82	1.45	3 418	6 456	7 108	3 104	3 895
Peru	1.58	3.96	5.69	1.10	6.27	4 408	1 759	1 226	6 324	1 112
Russia	1.67	4.97	7.64	1.09	8.31	3 614	1 213	790	5 549	727
Singapore	1.22	0.79	0.75	1.29	0.96	5 026	7 735	8 206	4 737	6 358
Chinese Taipei	1.84	3.15	4.96	1.17	5.80	4 185	2 449	1 555	6 589	1 329
Thailand	2.16	6.72	13.36	1.09	14.52	3 820	1 227	618	7 590	568
Tunisia	1.57	3.71	5.25	1.11	5.82	3 428	1 449	1 024	4 850	924
United Arab Emirates	2.05	4.52	8.24	1.13	9.29	6 896	3 132	1 720	12 560	1 525
Uruguay	1.38	2.79	3.46	1.11	3.84	4 400	2 173	1 750	5 466	1 578

1. Puerto Rico is an unincorporated territory of the United States. As such, PISA results for the United States do not include Puerto Rico.

2. See note 1 under Table 11.1.

Table 11.16 Design effects and effective sample sizes for financial literacy

Country	Design effect 1	Design effect 2	Design effect 3	Design effect 4	Design effect 5	Sample size 1	Sample size 2	Sample size 3	Sample size 4	Sample size 5	
<i>OECD</i>	Australia	1.27	2.98	3.52	1.08	3.80	11 426	4 869	4 124	13 490	3 828
	Chile	1.81	3.81	6.10	1.13	6.91	3 887	1 852	1 157	6 222	1 021
	Italy	2.02	4.53	8.15	1.13	9.17	5 722	2 557	1 422	10 289	1 263
	Netherlands	1.58	2.06	2.67	1.22	3.26	3 401	2 618	2 014	4 420	1 653
	Poland	1.48	2.57	3.32	1.14	3.79	3 033	1 743	1 350	3 916	1 181
	Slovak Republic	2.35	2.93	5.52	1.24	6.86	2 708	2 170	1 151	5 105	925
	Spain	1.55	3.63	5.08	1.11	5.64	4 342	1 854	1 325	6 077	1 195
	United States	1.16	5.87	6.64	1.02	6.80	4 930	973	860	5 579	840
<i>Partners</i>	Brazil	3.32	6.52	19.33	1.12	21.65	6 970	3 548	1 197	20 662	1 069
	B-S-J-G (China)	2.07	10.66	21.02	1.05	22.10	4 746	924	468	9 363	445
	Lithuania	1.80	3.42	5.37	1.15	6.18	3 616	1 906	1 214	5 675	1 056
	Peru	1.67	4.12	6.20	1.11	6.87	4 180	1 693	1 124	6 293	1 015
	Russia	1.56	5.25	7.64	1.07	8.21	3 861	1 150	790	5 622	735

To better understand the design effect for a particular country, some information related to the design effects and their respective effective sample sizes are presented in Annex C. In particular, the design effect and the effective sample size depend on:

- **The sample size**, the number of participating schools, the number of participating students and the average within-school sample size, which are provided in Table C.2 (Annex C);
- **The school variance**, school variance estimates and the intraclass correlation, which are provided respectively in Tables C.3 and C.4 (Annex C);
- **The stratification variables**, the intraclass correlation coefficient within explicit strata and the percentage of school variance explained by explicit stratification variables, which are provided respectively in Tables C.5 and C.6 (Annex C).

Finally, the standard errors on the mean performance estimates are provided in Table C.1 (Annex C).

## References

- Cochran, W. (1977), *Sampling Techniques* (3<sup>rd</sup> ed.), John Wiley and Sons.
- OECD (2016a), *PISA 2015 Results (Volume I): Excellence and Equity in Education*, PISA, OECD Publishing, Paris, <http://dx.doi.org/10.1787/9789264266490-en>.
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