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IP4

CAPI

Project Instructions

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Summary

Introduction

Understanding Society is a UK longitudinal household panel study consisting of annual interviews with 40,000 households, making it the largest household panel study in the world. The Innovation Panel (IP) sample is a part of these 40,000 households and is used to test new innovations and methodology to inform how we design and develop this study.

Understanding Society is an initiative of the Economic and Social Research Council (ESRC), with scientific leadership from the Institute of Social and Economic Research (ISER) at the University of Essex. NatCen has been commissioned to deliver the study in its first five waves.

The fourth wave of the Innovation Panel (IP4) will be used to inform the development of mainstage Wave 4 to make sure that we are designing the best possible study.

Sample

In IP4 we have two types of sample that you will be interviewing: Core and Refreshment. For the Core sample we will be re-visiting 1,335 households in the established IP panel, including both productive and unproductive households from previous Innovation Panels. The Refreshment sample is a newly drawn sample of 960 addresses selected from the Postcode Address File (PAF) which means that these addresses and the people living in them have not been visited as part of *Understanding Society* before. You will be issued with both types of sample as part of your assignment. The third digit of the IP4 serial numbers reflects the sample type (1 = CORE [Early Bird with incentive]); 2 CORE [Early Bird no incentive]); 3 CORE [No Early Bird]); 4 = Refreshment sample) and therefore your cases will be grouped by sample type in your CMS.

The total issued sample size for IP4, including both types of sample, will be 2,295 households and all cases will be interviewed face-to-face.

Experiments

The Innovation Panel is experimental in nature and aims to investigate the impact of a variety of questionnaire and procedural innovations. For IP4, we are running a total of 10 different experiments - some have been carried on previous waves of the IP, and some are new for this wave. They are as follows:

- Incentives;,
- Measures of change;
- Branched Vs Unbranched questions;

- Inter – wave mailing;
- Self – completion mode;
- Consents;
- Fertility questions;
- Early Bird Appointments;
- Mode preference;
- ARF observation questions; and
- Re- issue letters.

Fieldwork

Fieldwork for IP4 starts on 8th March 2011 and lasts for a total of 11 weeks. This has been split into a six week first issue period, followed by a three week break where you deal with re-allocations, and then a two week re-issue period. Note that before the main fieldwork, during the 'Early Bird period' from 22nd February to until 7th March you will be required to have telephone contact with some respondents during this period - but actual interviewing will only start on 8th March (start of 1st issue period).

In advance of contacting the household

Advance mailings will go to both sample types (Core and Refreshment) and will be posted by the office prior to the start of fieldwork. For the Core sample, an advance mailing will be sent to each individual sample member aged 16 or over, even if they did not give an individual interview at the last wave. For the Refreshment sample, as we have not visited at these addresses before and do not know the identity of the residents, only one advance mailing per address will be sent. The mailing for both sample types includes an advance letter and incentive. Due to one of the experiments – Early Bird Appointments – those sample members who are eligible for this experiment will also receive an Early Bird Information leaflet as part of their advance mailing and their mailing will be earlier, prior to the start of the Early Bird period.

On the doorstep

Apart from the Early Bird respondents, your first contact with the household must be face-to-face as it is easier to establish rapport this way and to avoid refusal; subsequent contacts can be made by telephone, if the household members are happy for you to contact them in this way. This applies to both Core and Refreshment samples.

Who to interview

All household members aged 10+ are invited to take part: young people (10-15s) complete a paper self-completion; adults (16+) complete a CAPI interview, and either a paper self - completion or CASI depending on which experimental group they are allocated to (see section 3.2.4). In all cases, CAPI will determine the eligibility of individuals once the Household Grid has been completed. For the core sample, you will also be following and interviewing eligible movers and members of their new household.

The ARF

At IP4, there are two sets of ARFs: Core and Refreshment. For the Core sample, you will have three different ARFs:

- ARF A which relates to the original household;
- ARF B which relates to split households; and
- 784 log which relates to split households that are not eligible for interview, i.e. households consisting only of temporary sample members (TSMs)/people in prison who have permanently left the original household.

For the Refreshment sample, you will have three different ARFs. However, for the refreshment sample there is also an ARF experiment being run investigating different address observation questions and so there are two versions of ARF Refresh1- 1A and 1B:

- Refresh1A/ Refresh1B relates to the issued address;
- Refresh2 relates to the selection of multiple dwelling units (DU);
- Refresh3 relates to the selection of multiple households.

All the ARF's are different colours, and are also structured differently, to distinguish between the two sample types.

Tracing

It is very important that we re-contact and interview as many sample members from the core sample as possible so that the study can continue.

Any eligible sample member who has moved address since the previous wave will be followed to their new address for interview, with the exception of those who have moved outside GB and those who are in prison. You are expected to make reasonable attempts to contact and/or trace the sample members; this may require more than one visit. You will also be asked to try to get some contact details for any IP3 untraced split-off movers from the household they previously belonged to.

The Interview Process

The data collection instruments and their (average) timings are:

- 15 min CAPI household questionnaire (including the enumeration of the household i.e. household grid);
- Individual Adult CAPI questionnaire for all aged 16+: on average 33.5 min for the Core sample, 38.5 min for the Refreshment sample;
- ca 10 min Adult CASI or paper self - completion;
- 10 min CAPI proxy questionnaire; and
- 10-15 min Youth paper self - completion questionnaire for all aged 10-15.

You should attempt to get a full individual interview with all eligible respondents. Proxy interviews are acceptable only if you are certain that you cannot get a productive interview.

In IP4, there is a paper self - completion for young people (aged 10-15); Adults will either get a paper self- completion or a CASI (Computer Assisted Self-Interviewing) which will be administered as part of their CAPI interview. Note, however, that some adults in the 'paper self- completion' experimental group will be asked to answer one or two CASI self- completion modules in addition (see Appendix E for a full list of questionnaire modules and who is eligible for them).

CAPI Interview

Information about individual questions can be found in the CAPI help screens rather than in these project instructions. There are many more help screens than you would find in a usual CAPI programme, and you can access them by pressing <F9> when prompted by CAPI at specific questions.

The CAPI questionnaire is structured within 5 main parallel blocks:

- Household questionnaire;
- Individual questionnaire;
- Household split (core sample only);
- Self - completions; and
- Admin.

Note that the household split parallel block will not be part of the Refreshment sample CAPI - all other parallel blocks will be available.

The main topic areas covered in the individual IP4 questionnaire are:

- Personal and family background;
- Ethnicity and religion;
- Neighbourhood;
- Health, disability and caring;
- Relationships;
- Annual events;
- Childcare;

- Employment & Finances; and
- Politics.

Queries

Please contact Brentwood on 01277 690000 if you have any queries or are having difficulties.

1 Introduction

1.1 Background

Understanding Society is a major household panel study which has been commissioned by the Economic and Social Research Council (ESRC). Taken as a whole, it is the largest study of its type in the world; interviewing people in a total of 40,000 households across the UK. It is led by the Institute for Social and Economic Research (ISER) at the University of Essex. The survey is also known as the UK Household Longitudinal Study (UKHLS) among the academic community, but we will only refer to it as *Understanding Society*.

Understanding Society will provide valuable new evidence about people throughout the country, their lives, experiences, behaviours and beliefs, and will enable an unprecedented understanding of diversity within the population. The survey will assist with understanding the long-term effects of social and economic change, as well as policy interventions designed to impact upon the general well-being of the UK population. The data will be used by academic researchers and policy-makers within government departments, feeding into policy debates and influencing the outcome of those debates.

The survey will collect data from all household members aged 10 and above on an annual basis. Annual interviewing will allow us to track relatively short-term or frequent changes in people's lives, and the factors that are associated with them. As the years of the survey build up we will be able to look at longer-term outcomes for people in the sample.

The design of the survey is similar to the British Household Panel Survey (BHPS) which has been running since 1991 and is also managed by the team at ISER. In the BHPS, children who were born at the start of the study have been followed into adulthood and into the labour market. People who were young adults when the survey started have been tracked through their years of partnership formation, marriage and establishing a family, with all the effects this has on other areas of people's lives such as their employment participation, housing needs and income. People who were middle-aged when the BHPS started, have been followed through their retirement period and will continue to be tracked to understand their well-being into old age. *Understanding Society* will do the same over the coming years but with a much larger sample size that will allow us to look in more detail at small sub-groups within the population as well as year groups within the sample. At Wave 2, the existing BHPS sample has been incorporated into the *Understanding Society* sample.

The experience of ISER in conducting the BHPS over the last 19 years is that both respondents and interviewers enjoy doing the survey. This is also what we have found with the Innovation

Panel sample. Respondents enjoy the fact that their interviewer returns every year and they can update them about things that have happened to them and other family members. Interviewers enjoy going back to the same people to see how they are getting on, even if sometimes they are faced with people in difficult circumstances. *Understanding Society* will build up a unique picture of how people's lives develop and change as events and experiences unfold in their lives.

NatCen has been commissioned to conduct the first five waves of fieldwork for *Understanding Society*. Each respondent will be contacted annually, but because of the large sample size, each wave of fieldwork will last approximately two years.

Understanding Society was officially launched by the ESRC on 13th October 2008.Since then, NatCen has already carried out three Innovation Panels (IP1, IP2 and IP3) and Wave 1 of the main stage survey, with Wave 2 currently in its second year and the recent launch of Wave 3 in January 2011. Innovation Panel 4 (IP4) will be one of the first stages to the development of Wave 4 of the survey.

In IP4 we will be revisiting all of the households who were interviewed in IP3, along with some who were interviewed in IP2, but not at IP3. We will also be interviewing a new sample of addresses that have not been interviewed as part of *Understanding Society* before.

1.2 Branding

When developing Wave 1 we worked with Public Zone, a communications agency, to look at the way we communicate with respondents and how the study itself is branded. Through this process, we decided on the *Understanding Society* name, logo and brand guidelines for all documents. The purpose of the branding is to increase initial response rates to the study, encourage study loyalty and recognition in the future and therefore minimise attrition at subsequent waves. You will see this logo on all respondent documents.

2 The Sample

The interview mode for all issued households in IP4 will be face-to-face.

The unique feature of IP4 is that the issued sample consists of two sample types: **Core sample** and **Refreshment sample**, summarised in the table below.

Table 2: IP4 sample composition

Sample type	Number of hholds/addresses
CORE	**1,335 hholds** of which 1,026 were productive on IP3 309 were unproductive on IP3
REFRESHMENT	**960 addresses**

You will have a mixture of both sample types in your assignment and it is very important to be clear about the differences between the two sample types. In order to help you with this, the third digit of the IP4 serial number is different for each sample type and Early Bird group (see Chapter 4): 1 for CORE sample, Early Bird with incentive; 2 for CORE sample, Early Bird without incentive; 3 for CORE sample, No Early Bird; and 4 for Refreshment sample. (The overall serial number format is 49 + sample type + point + address + hhold.) For example:

SN 491500 01 1 = Core sample address in Early bird with incentive group
SN 492500 01 1 = Core sample address in Early bird with NO incentive group
SN 493500 01 1 = Core sample address in NO Early Bird group
SN 494500 01 1 = Refreshment sample address

This means that the cases in your assignment will be grouped by sample type, with Early Bird with incentive cases listed at the top and Refreshment sample addresses at the end. Note that the order is not meant to determine your order of working on the cases but to assist in keeping the different sample types distinct.

2.1 Core Sample

The core sample is the continuing, longitudinal Innovation Panel sample. It is a **named** sample, consisting of individuals in households that have been interviewed on previous waves of the Innovation Panel. The majority of the core sample consists of households that were productive on the latest wave: we are issuing 1,026 productive households from IP3 at IP4. The core sample also includes, however, households that were unproductive on IP3 (total 309 households). Evidence suggests that many lapsed households take part again after not taking part once or twice, so please try to persuade these households to take part on IP4. As on previous Innovation Panels, in

the core sample, any new entrants to the households will also become a part of the sample household and are eligible for interview.

As an established panel, the key interest with the named sample is following the named **individuals** (Original IP1 Sample Members) in the sample households, interviewing them and anyone they now live with. In other words, it is not the issued address per se that we are interested in. If you find out that the sample members have moved from the issued address you will need to try to trace them. If you find out where they have moved, you will interview them and anyone else they now live with at their new address.

We know that the expected response rate will vary considerably depending on whether the household took part on the previous wave or not. For this reason, there are separate response rate targets for the IP3 productive and unproductive households (the specific rates will be discussed in the briefing).

2.2 Refreshment sample

In addition, on IP4 we will also be issuing addresses that we have never visited as part of *Understanding Society*, in order to recruit a refreshment to the Innovation Panel sample. The reason for including a refreshment sample is the level of attrition at previous waves: we need to issue new addresses to take the sample of productive households back up to around 1,500.

The refreshment sample is a fresh PAF sample, drawn from the same 120 postcode sectors as the original IP1 sample. Eight addresses have been sampled in each of the areas equating to a total of 960 addresses. From this sample, we need to achieve a minimum of 500 productive households. The higher levels of incentive for the Refreshment sample should help in part for us to achieve this target.

The refreshment sample is a PAF sample and needs to be approached like any other PAF sample. In the first instance the key interest is the **address** and establishing its status. You need to visit each address, establish whether it is residential, followed by the selection up to 3 Dwelling Units and 3 Households for interview (see Chapter 9).

If the address is residential, you need to make contact, introduce the survey and attempt to get the people living at the address to take part in the study. Since we have not visited these households before, the first part of the CAPI is to enumerate the households where you enter the names of the people who are part of the household (see Chapter 8 for eligibility criteria). Once enumerated, the rest of the interview process is identical to the core sample.

3 Experiments

3.1 Overview

A key feature of the Innovation Panel is experimentation. The study is designed to improve the way that social surveys are run and the quality of data collected. It does this by incorporating into its design some experimental variation between different groups of respondents. Analysing the data from the interviews with these different groups will allow us to assess the effect and relative merits of the different approaches.

IP4 involves 10 interlaced experiments, which fall into two types:

1. Procedural; and
2. Questionnaire.

Those interviewers who have worked on previous Innovation Panels will notice that a number of the experiments are continuing from previous waves (e.g. incentive experiment, question wording experiments), to allow longitudinal assessment of effects.

The allocation into experimental groups is done at the household level. In other words, all eligible adults in a household will receive the same treatment for any given experiment. This also includes any new entrants or re-joiners to core households.

Note that some of the experiments are applicable to a specific sample type, such as the ARF experiment, whilst others apply to both.

3.2 Procedural experiments

IP4 is perhaps the most exciting Innovation Panel so far. It includes a number of experiments which will help us improve our understanding of how different survey processes and contact methods can improve our ways of getting – and keeping – in touch with respondents, collecting self - completion data and securing respondent co-operation. The experiments are described below in chronological order of their administration.

3.2.1 Inter - wave mailing experiment

One of the procedural experiments, conducted in January 2011, involved the IP3/4 inter-wave mailing. This experiment aims to test four different approaches to encourage respondents to sign up on the *Understanding Society* website:

1) Paper inter-wave mailing report, with a letter encouraging respondents to register on the web-site (no incentive);

2) Paper inter-wave mailing report, with a letter encouraging web-site registration AND a promise of a £5 incentive for registration;
3) E-mail inter-wave mailing, with a link to the website where they can access the report (no incentive);
4) E-mail inter-wave mailing, with a link to the website where they can access the report AND a promise of a £5 incentive if the respondent registers on the site.

There is a fifth, non-experimental, group of respondents who have already registered on the *Understanding Society* web-site. They received an e-mail with a link to the report, but no incentive because they were already registered.

3.2.2 ARF observation questions

We are testing alternative versions of two of the address observation questions that are currently carried on *Understanding Society*. You will get both versions of the observation questions (on different ARF's) so please make sure that you read the questions carefully and answer appropriately.

3.2.3 The Early Bird appointments experiment

The most novel and exciting experiment on IP4, and the one that will form the first set of interviewer activities on the study, is the 'Early Bird' appointments experiment. The purpose of this experiment is to assess a new contact strategy for longitudinal samples. The usual approach has been for the interviewers' first contact to be face-to-face on the doorstep, which often involves numerous visits at different times to catch people at home. The Early Bird experiment allows respondents to make first contact and have more say on when their interview will take place. Around one half of the core sample respondents are sent a letter two weeks before fieldwork starts which invites them to be 'Early Birds' and contact their interviewer in advance of the start of fieldwork to book an interview slot that suits them. In order for respondents to contact their interviewer directly, each interviewer is issued with their own designated NatCen mobile phone. An additional feature of the experimental design is that around half of the 'Early Bird' households are promised an additional £5 interview incentive for each adult interview if someone from their household requests an appointment time in advance.

The results of this experiment will allow us to assess a number of things including:

- What proportion of households take up the opportunity to request a specific appointment time – and how this varies by whether or not an incentive is offered for doing so;
- The overall impact of this contact strategy on fieldwork efficiency – e.g. average number of calls, proportion of unproductive calls and broken appointments.

The actual administration of the Early Bird experiment is associated with a number of non-standard interviewer tasks at different stages of fieldwork, described in detail, in the next chapter.

3.2.4 Incentives experiment

The IP4 incentives experiment is a continuing experiment from previous Innovation Panels. It assesses the impact of incentives on response rates, efficiency of fieldwork and costs. Incentives are sent in the advance mailing. On IP4, the core sample from IP3 will receive either £5 or £10, with a sub-group receiving an additional £5 if all adults in the household take part (shown as '£5 rising to £10' on ARF A). For some of the households this is the same level of incentive as in previous years, for others it is a different amount; the respondents may or may not remember/comment on what they received this year in comparison with previous years. With the Refreshment sample we will be investigating the impact of higher levels of incentive: a third of the sample is allocated to each of £10, £20 and £30 incentive groups.

3.2.5 Self-completion mode experiment

On IP4 the sample is split into two halves to examine the effects of different self-completion modes on measurement:

- In one half of the households, adults are asked to complete the self - completion part of the questionnaire in CASI mode, by keying in their answers using the laptop. If they agree to do this, at the end of the CASI section they are asked how they found the experience and whether they prefer CASI or the paper questionnaire format used in previous years.
- In the other half of the households, adults are asked to complete a paper self - completion questionnaire similar to previous years – although if they fit into certain specific demographic groups they may, in addition, be asked to answer one or two modules in CASI mode (see Appendix E for the routing conditions of the 'All CASI' modules)

3.2.6 Re-issue letter experiment

A key challenge in longitudinal surveys is minimising non-response. One of the IP4 experiments will look at whether the format and wording of the letter sent to re-issued households might make an impact: there will be two different versions of the re-issue letter on IP4. The letter type is assigned randomly across the sample, so if you are working on re-issues you are likely to see both types of letters addressed to different households.

3.3 Questionnaire experiments

Some of the IP4 questionnaire content is also experimental in design – we are trying out different ways of asking the questions, and some new questions have been designed to gain information

on specific issues of interest. Most of the experimental CAPI modules are sound recorded to allow researchers to fully explore the respondents' answers and the respondent-interviewer interaction during the interview process.

As interviewers you don't need to do anything in particular regarding these questionnaire experiments: the CAPI automatically routes you (or the respondent in the CASI section) to the correct questions, but it may be useful to be aware of the experiments and the rationale behind them.

3.3.1 Question-phrasing

Some of the questionnaire experiments tests how question wording affects measurements, to find out which approach yields the most accurate/complete/reliable answers. The different versions are allocated across the sample and interviewers so you must read the questions from the CAPI screen carefully and **exactly as scripted** to ensure that the experimental design is followed as intended.

The question-phrasing experiments include:

- **Timing of past events:** There are two versions of a number of questions that ask people about when a particular event or change happened. The first version is always a more traditional, explicit request for the date you are after (e.g. 'Please tell me the month and year you moved into this address??'). The second version is, in contrast, driven by what the respondent says (e.g. 'How long have you lived at this address?') where you first need to code whether the respondent (spontaneously) answered by giving a duration (e.g. '2 years') or a date (e.g. 'since February 2008') and then record their answer in the relevant format.
- **Branching in rating scales**: The questionnaire includes a number of modules that ask people for their attitudes. In these questions two variants of rating scales are used: 'unbranched' where the respondent is asked to select their answer from a five-point scale (Strongly agree, Agree, Neither, Disagree, Strongly Disagree); or 'branched' where respondents are first asked to indicate whether they agree or disagree (or neither) and then whether they agree/disagree strongly or somewhat.
- **Phrasing of Dependent Interviewing questions**: At various points, the questionnaire determines whether the respondent's situation has changed at all – including their health and various aspects of their work conditions, for example. Here, we are experimenting with asking whether the situation is "still the case" versus whether the situation "has changed" to determine whether respondents tend to shorten the interview process by always agreeing with filter questions.

- **Other wording experiments**: We also test a handful of other wording and task variants including in determining employment status, disability status, and whether the respondent saves from their current income at all.

3.3.2 Question placement

The placement of questions within a questionnaire might also impact on people's willingness to answer or the answer they give. There are two experiments that explore such effects:

- **Benefit consents:** We are asking people for their consent to link to economic records, held by DWP and HMRC, or checking their consent if they already consented on an earlier IP. The location of the question that asks people for their consent varies: the CAPI will prompt you to ask for the consents either directly after asking respondents about Benefits & Household Finances, or at the very end of the questionnaire. There is also a follow-up question asking people for the rationale in consenting or not consenting to further explore the decision making process.
- **Fertility intentions**: in the CASI part of the questionnaire, people in the age group who might still have or father children are asked if they intend to have more children or not. The placement of this question is varied in the CAPI. It is asked either just before or just after asking people about their three closest friends, to assess whether the context of placing the question (i.e. asking about children directly after close relationships) has an impact on people's answers.

3.3.3 Experimental modules

Lastly, there are two modules which explore specific experimental questions:

- **Mode preference module**: At the end of the individual questionnaire all respondents are asked about their views on different modes of interviewing including face-to-face, telephone and web. This information will be used in the future, probably on IP5, to tailor the interview mode for each respondent.
- **Height and weight module**: All respondents are asked for their height and weight. This is a repeat question and by comparing earlier answers to the ones collected on IP4 will allow us to see whether asking respondents in a panel survey again will have an impact on how they answer, e.g. whether their answers get increasingly precise.

4 Early Bird Appointments Experiment

4.1 Overview

On IP4 you will be part of an important and innovative 'Early Bird' experiment which trials a new, respondent-led method of making interview appointments.

In this experiment, two weeks in before the start of fieldwork an advance mailing is sent to a sub-sample of IP4 respondents, which invites them to be 'early birds' and **contact their interviewer to request an interview slot** before the start of fieldwork.

Half of the Early Bird sample are promised an additional £5 incentive for their interview if someone from their household requests an appointment in advance. The other half are not offered an additional incentive. This division will allow us to see what effect monetary incentive has on relative take-up of the offer.

In order for respondents to make contact, interviewers working on IP4 will be among the first at NatCen to be issued with their own designated mobile phone. Respondents are asked to either send a text message (SMS) or leave an answer phone (voicemail) message. Interviewers will check their mobile phones at least once a day and call all respondents who have left messages within 24 hours to arrange an interview.

During actual fieldwork, interviewers will keep a record of whether the respondents kept the arranged appointment or not. If an Early Bird household made no contact during the Early Bird period, the interviewer will make contact as usual, by making a face-to-face visit during the fieldwork period.

To capture information on how the experiment worked in field, interviewers will key in all the information related to this experiment as part of the Admin.

4.2 Sample

This experiment is only for core sample households that were productive at IP3. In all, around two-thirds of these households are being invited to request an Early Bird appointment. Half of those invited to take part are offered an additional £5 incentive if they request an appointment, half are not.

The remaining third of IP3 productive households form a 'control group' and are not a part of the Early Bird experiment.

All other households, i.e. IP3 unproductive households and the whole of the Refreshment sample, are also excluded from the Early Bird experiment. The rationale for this sample design is that this type of experiment, requiring respondents to actively contact the interviewer, is likely to work best amongst people who know the study and are generally willing to participate.

Table 4.1: Early Bird experiment sample allocation

Sample group	Number of households	Description
Early Bird – WITH incentive	331	- Core sample, IP3 productives only
Early Bird – NO incentive	354	- Core sample, IP3 productives only
NO Early Bird	Total 1,610 hholds composed of: - 341 IP3 productive hholds - 309 IP3 unproductive hholds - 960 Refreshment sample hholds	- Core sample, mix of IP3 productives & unproductives - Whole of the Refreshment sample

4.3 Fieldwork timetable and activities

The fieldwork dates and tasks for the Early Bird are summarised in the table below.

Table 4.2: Early Bird fieldwork dates and tasks

Date	Fieldwork Activity	Respondent tasks	Interviewer tasks
14th – 18th Feb	Briefings		- Receive mobile phone pack and Sample Cover Sheet
15th Feb	Adv Mailing sent	- Letter received by 21st February, some may be sooner	
Before 7th Mar (approx. 2 weeks)	Early Bird period	- Contact interviewer with SMS/voice mail to request appt with name, contact number, reference code, preferred appt time & date	- Keep mobile turned off as a rule – check at least once a day for messages - Call those who have made contact within 24 hours; confirm address & agree interview time - Record details of all contact on Sample Cover Sheet
8th Mar– 18th Apr (6 weeks)	Fieldwork Period	- Some respondents may get in touch to re-schedule/cancel appointments	- Visit hhold on agreed appt time - Record Early Bird appt outcome on Sample Cover Sheet - If hhold made no contact during the Early Bird period visit the hhold as usual during fieldwork to gain contact - When finished with an Early Bird case, key in all details from Sample Cover Sheet into the Admin block

4.4 Inviting the Early Birds: the Advance mailing (by 21st February)

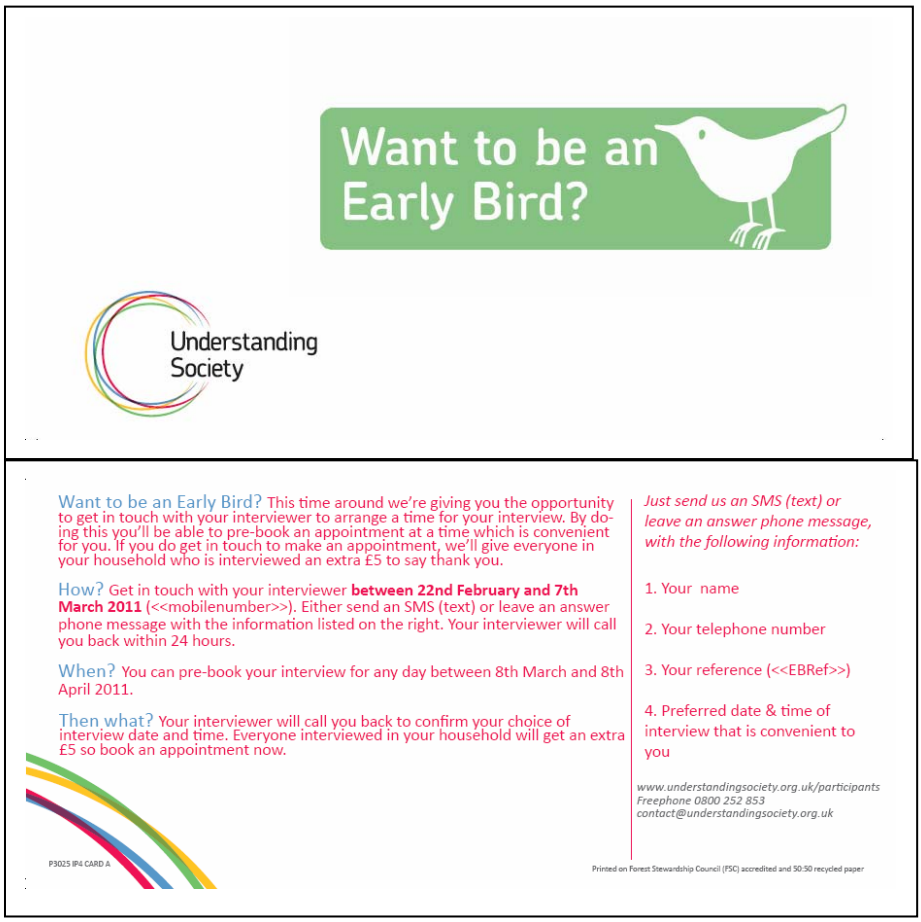
The Early Bird Advance Mailing is sent to all adults in the Early Bird household. It acts as both the normal advance mailing, as well as a way to tell respondents about the opportunity to pre-book a slot for this year's interview. This should arrive by 21st February, though some may arrive with the respondent sooner than this date. The Advance Mailing to Early Bird households will include three items:

a. Advance Letter – tailored to those interviewed on IP3/not interviewed on IP3/Rising 16s, plus an additional paragraph mentioning the Early Bird appointment offer;

b. Early Bird Information Leaflet (shown below) – a flyer with more details about the Early Bird offer and instructions on how to request an appointment. There are two versions of the leaflet, one with and one without a mention of the incentive;

c. Advance (standard) incentive – £5 or £10 pounds depending on the incentive experiment group that the household is in.

Figure 4.1: Early Bird Information Leaflet (Version A, with a mention of the extra incentive)



4.5 Requesting & arranging Early Bird appointments (22nd February – 7th March)

The Early Bird period runs from Tuesday 22nd February to Monday 7th March. Some respondents may actually phone before this date if they receive the letter earlier than 21st February. During this period IP4 interviewers must check their mobile phone for any SMS (text) and answer phone (voicemail) messages and get back to the respondents who have requested appointments.

You need to check your phone at least once a day. In the Early Bird Information Leaflet we promise that an interviewer will get back to them within 24 hours and it will seem unprofessional if this does not happen.

When you call the respondent you should:

- Use the Early Bird reference to identify which household the request has come from;
- Confirm that they still live at the issued address (check your Sample Cover Sheet) – for instructions on what to do if they have moved see section 4.9 below;
- Arrange an interview date and time – if at all possible, this should be the time that they have initially requested. But if you really can't make this time for a particular reason, please explain this to the respondent and arrange an interview for another time that is suitable for both you and the respondent.

If you are unable to get hold of the respondent (e.g. phone not answered)

- If they have an answer phone service leave a return message, and try again later;
- Otherwise please try again as soon as possible to minimise delay, and explain that you had already tried to call earlier when you do manage to speak to the respondent.

We recommend that you keep your mobile phone turned off as a rule during the Early Bird period and only turn it on to check messages. The reason for this is that if your mobile phone is turned on you might:

- Receive a call when you are not at home and don't have access to your Sample Cover Sheet, which you need to confirm that the person still lives at the same address as last year and make a record of the call and appointment details;
- Receive a call when it is not convenient for you to talk to the respondent in sufficient detail;
- Take the respondent by surprise since they are expecting to leave a voicemail message.

4.6 Early Bird during the main fieldwork period (8th March – 18th April)

During the main IP4 fieldwork period (from 8th March to 18th April), if you have made any Early Bird appointments you must visit the household on the agreed date and time.

You may want to continue checking your mobile phone regularly during the main fieldwork period in case any of the respondents send you messages to re-schedule/cancel their appointments. If you are NOT going to be checking your phone after 8th March, it is a good idea to mention this to the people who have contacted you on your mobile and suggest that they contact the office if they need to pass on a message to you before their scheduled appointment time.

During the fieldwork period you also need to visit all other households, i.e. households in the Early Bird experimental sample who never took up the offer to pre-book their interview time, and all households that are not a part of the Early Bird experiment/the Refreshment sample households.

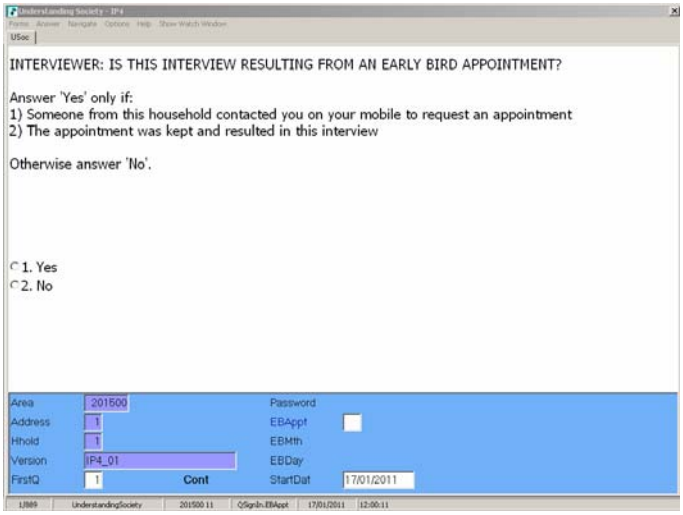
Note that if a household did not contact you during the Early Bird period but they did contact you on your mobile at some stage during the main fieldwork period, the details of this interaction would also be interesting for us to know so make a note of that and later key in any details as part of your Admin.

4.6.1 Conditions for the extra interview incentive

Respondents in the 'Early Bird with incentive' experimental group may qualify for an additional £5 incentive for their interview. If this is the case, the incentive is sent by the office to the respondent after the interview.

In order for CAPI to be able to determine whether someone should or shouldn't receive this extra incentive, in these households there is an additional question "EBAppt" at the very start of the CAPI asking whether the interview is 'resulting from an Early Bird appointment'. If you say 'Yes' you are also asked to code the date the household first contacted you. This date acts as the trigger for the extra Early Bird incentive: if the household contacted you during the Early Bird period (before 8th March) then CAPI will assign the extra £5 incentive for each interviewed adult in this household (e.g. If someone requested an appointment on 10th March which resulted in an interview this would not trigger the extra incentive because the date of first contact was after the Early Bird period had already finished).

Figure 4.2: First CAPI question in 'Early Bird with incentive' households



It is very important to answer this question correctly – otherwise you risk invalidating the experiment by causing incentives to be sent where they should not have been given, or vice versa.

As shown in the interviewer instruction, you should only answer 'Yes' if both:

- someone from this household/serial number which you are about to interview contacted you on your mobile to request an appointment; and
- the appointment was kept and resulted in this interview.

For example, Jane Smith sends you a text message on 25th February asking for an appointment for 15th March which you confirmed with her. When visit Jane on the 15th, she is in as arranged and you start to interview her. In this situation you should answer 'Yes' because Jane's interview is the direct result of the Early Bird appointment.

You should also answer 'Yes' even if Jane had later contacted you to re-schedule the interview for the 16th, as long as she re-scheduled before the original date and the appointment was therefore not broken/you did not make a wasted trip on the 15th.

You should answer 'No' if:

- An appointment was requested and arranged, but not kept – you visited the household on the arranged date but no interviewing was done (even if you managed to interview on another visit, on a later date);
- No-one from the household contacted you on your mobile to request an appointment during the Early Bird period.

For example, if you had visited Jane on the 15th as arranged, but she was not at home, this means that the Early Bird appointment was broken. Even if you were able to interview her on a later date, you should answer 'No' here because the interview is not a result of the Early Bird appointment but another appointment made by you.

During main fieldwork you will of course be making further appointments in this way, for both Early Bird and non-Early Bird households. Indeed, it is important to note the difference between Early Bird appointments which are initiated by respondents getting in touch with you directly on your mobile phone, and any further field appointments initiated by you/made on the doorstep. An interview resulting from a field appointment made by you does not count as an Early Bird appointment and would not qualify for the additional Early Bird £5 incentive in the Early Bird with incentive households.

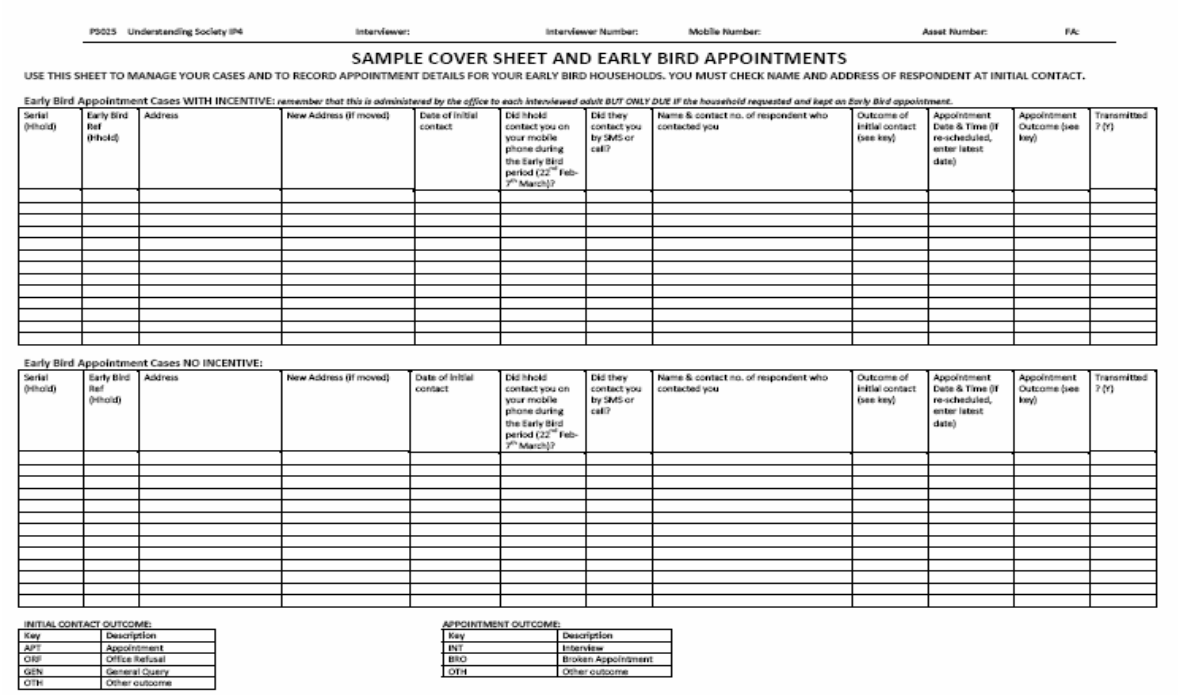
4.7 Keeping a record: the Sample Cover Sheet

The IP4 Sample Cover Sheet differs from the standard because it is also used to record details of the Early Bird experiment. During the Early Bird period, when you check your mobile for messages and call respondents back you should have this sheet in front of you to make a record of all details straight away, to avoid any details being forgotten. During the fieldwork period, record the outcome of any Early Bird appointments after the date of the appointment.

The things you need to record include:

- Date the household contacted you on your mobile, and whether this was during the Early Bird period;
- New address details (if any);
- Outcome of contact – appointment, query, refusal or some other outcome;
- Date of appointment – if an appointment is later re-scheduled (before the original appt date), the latest date;
- If an appointment is made, outcome of the appointment – interview, broken appointment, cancellation;
- Any other notes or information.

Figure 4.3: IP4 Sample Cover Sheet



P5015 Understanding Society IP4 Interviewer: Interviewer Number: Mobile Number: Asset Number: FA:

SAMPLE COVER SHEET AND EARLY BIRD APPOINTMENTS

USE THIS SHEET TO MANAGE YOUR CASES AND TO RECORD APPOINTMENT DETAILS FOR YOUR EARLY BIRD HOUSEHOLDS. YOU MUST CHECK NAME AND ADDRESS OF RESPONDENT AT INITIAL CONTACT.

Early Bird Appointment Cases WITH INCENTIVE: *remember that this is administered by the office to each interviewed adult BUT ONLY DUE IF the household requested and kept an Early Bird appointment.*

Serial (Hhold)	Early Bird Ref (Hhold)	Address	New Address (if moved)	Date of initial contact	Did hhold contact you on your mobile phone during the Early Bird period (22nd Feb-3rd March)?	Did they contact you by SMS or call?	Name & contact no. of respondent who contacted you	Outcome of initial contact (see key)	Appointment Date & Time (if re-scheduled, enter latest date)	Appointment Outcome (see key)	Transmitted ? (Y)

Early Bird Appointment Cases NO INCENTIVE:

Serial (Hhold)	Early Bird Ref (Hhold)	Address	New Address (if moved)	Date of initial contact	Did hhold contact you on your mobile phone during the Early Bird period (22nd Feb-3rd March)?	Did they contact you by SMS or call?	Name & contact no. of respondent who contacted you	Outcome of initial contact (see key)	Appointment Date & Time (if re-scheduled, enter latest date)	Appointment Outcome (see key)	Transmitted ? (Y)

INITIAL CONTACT OUTCOME:

Key	Description
APT	Appointment
ORF	Office Refusal
GEN	General Query
OTH	Other outcome

APPOINTMENT OUTCOME:

Key	Description
INT	Interview
BRO	Broken Appointment
OTH	Other outcome

The second column, headed 'Early Bird Ref (Hhold)', is also IP4-specific and related to the Early Bird experiment. This is a shorter reference code for each of the Early Bird households which we give to the respondents and ask them to quote when they get in touch with the interviewer. This reference allows you to identify which household has sent you a message. The format of the reference is "EB" followed by three digits. These digits are a sub-set of digits from the full serial number and give you an immediate indication of the experimental group: the first digit is identical to the third digit of the serial number and 1 if the incentive treatment (1 = EB with incentive, group and 2 = EB no incentive) if the household is in the Early Bird NO incentive group. The last two digits are the household's address number. For example:

Serial Number 49**1**101011
Early Bird Reference EB**1**01 (1 = Early Bird with incentive; 01 = Address Number)

It is extremely important to hold on to this sheet and use it to keep a precise and regular record of any contact with the Early Bird households. This information is used to assess the success of the experiment. Inaccurate or incomplete information would defeat the purpose of this experiment.

Accurate record keeping and data entry is therefore an ESSENTIAL part of the Early Bird experiment – not an optional or secondary activity!

4.8 Keying in the data in Admin

When signing off a case in the Early Bird experimental group, as part of the Admin you will be asked to key in information about the experiment. You will automatically be directed to an additional 'Early Bird' section at the start of the Admin block in the relevant households. Please key in the details from the Sample Cover Sheet (not from memory!) and pay close attention to the instructions on the screen, to make sure that we get an accurate picture of what actually happened in field in each of these cases. This information is key to us being able to assess whether this type of approach finds interest amongst respondents and helps fieldwork by, for example, reducing the number of wasted trips, broken appointments and movers who require tracing in the field.

For interviewed households in the 'Early Bird with incentive' group, we will have already asked you to code whether the interview resulted from an Early Bird appointment at the start of the CAPI. However, in these cases you also need to fill in the questions in the Admin block so we get full details about what happened.

The questions in this additional Admin section follow the order of the Sample Cover Sheet, plus a final question allowing you to note any other details or comments not already recorded.

Questions "ConMth", "ConDay" - Month and date of initial contact
Please record the first date the household contacted you – the date they sent you a text message or left a phone message. If you had subsequent contact with them afterwards don't change this date but make a note of these in the subsequent questions.

Questions "ApptMth", "ApptDay", "ApptTime" - Appointment date & time
Record here the agreed appointment date and time. If an appointment was later re-scheduled, record here the final/latest appointment date and leave notes of the re-scheduling process in the question asking for 'Other information' (EBOthInf). For example, if Jane first text you to request an appointment for 3pm on 15th March, but later text you to ask if this could be changed to 3pm on 16th March, record the date as 16th March and leave a note in EBOthInf that the original appointment date was the 15th and the date on which the respondent contacted you to re-schedule.

Question "ConOCO" and "ApptOCO" – "Other" answer categories
If you answer that the outcome of the initial contact or the appointment was 'Other', please describe briefly in the next question what exactly happened. If you run out of space, you can leave fuller notes in question EBOthInf.

Question "EBOthInf" – Other information

In the last question, EBOthInf, you can leave any other comments and notes you may have. This is an open text box to allow you to write in any details in full. Please record any interesting details e.g. any details of re-schedulings, reactions/queries of the respondent, information on any refusals, etc. All information is highly valuable and will be analysed thoroughly to evaluate the experiment.

4.9 Odd Early Birds – how to deal with unusual situations

Message received only contains partial information

When getting in touch with you, we ask respondents to leave their name, contact telephone number, Early Bird reference, and their preferred date and time of interview.

If the respondent has not left their phone number, this might not be a problem because your mobile phone will hold a record of the phone number of the contact. If the respondent has sent you a text message (SMS), the mobile number from which the text was sent is given at the end of the message field. If the message was left on your answer phone (voicemail), the answer phone service should tell you the number of the caller who left the message. If your phone was turned on (but you did not pick up the phone in time), the number will also be stored in your mobile phone 'Call history' as a missed call. If you have any problems looking for a number in your mobile phone records, please contact the Brentwood office for advice.

If the respondent has not left their Early Bird reference, please get in touch with them and ask for the reference when you speak to them, check their address and arrange the appointment.

If the respondent has not left their name or their preferred time of interview, similarly please get in touch with them on the number provided and check the missing details as part of the call.

Person requesting appointment is unable/unsuited to conduct the Hhold Questionnaire

In a multi-person household, it is possible that the person who gets in touch with you to request an appointment is not able or best suited to answer the household questionnaire. For example, if the person that has requested the Early Bird appointment is a young adult living with their parents, it would be best if one of the parents completed the household questionnaire.

If you come across such situations, and the person who should complete the household questionnaire (e.g. one of the parents in our example) is also available at the agreed time of the appointment you should ask if they could first complete the household grid and the household questionnaire, before you interview the person who requested the appointment. If this is not possible, you should ask the respondent to fill in the **household grid only**. This will allow you to access the individual parallel blocks and conduct his/her individual interview. If you have to do this, please make sure to fill in the whole household grid, up until the question "OrigAdd" asking

whether the interview is conducted at the same address as last year (and if not, the country the interview is taking place in): this information on location of the interview is needed to get the correct routing in several modules of the individual questionnaire. Also please don't forget to complete the full household questionnaire at a later date with the relevant person!

Multiple contacts per household

It is possible that more than one person from a household/serial number contacts you to request an appointment. In such cases, determine which of the multiple appointment requests is earliest and make your first visit to the household then. You should let the other person/people with the later appointments know that you are in fact already visiting their address at an earlier date, and you may want to see if they would also be available at the same time. If they still prefer to be interviewed at the later date that they originally requested, however, please make a further visit to the household on that date/those dates, in exactly the same way as you would make multiple visits to get all interviews in any other multi-person household.

On the appointment sheet and in admin, please record the date of the first contact from the household, even if the person who contacted you first is not the person with the earliest appointment scheduled. Record the details of any subsequent calls in which an earlier appointment was scheduled in the extra space for additional notes. To cater for such situations, there is a check question towards the end of the Early Bird Admin section asking whether the first appointment date was the earliest appointment for this household – and if not you will have additional space to write down details of the earliest appointment.

One possible, but highly unlikely, situation is that the earliest of the requested appointments is NOT kept but a later one is. Usually a household in the 'Early Bird incentive' group with a broken appointment would not qualify for an additional Early Bird incentive. In such rare situations, however, we do want to give the additional incentive – please answer 'Yes' in the question at the start of CAPI – since the later interview still resulted from an Early Bird appointment.

Mover households

When you return the respondents' messages during the Early Bird period, you should check whether they still live at the household address which is listed on your Sample Cover Sheet. We expect that in the vast majority of cases this is the case. However, some movers have efficient mail forwarding services and it is possible, therefore, that movers have received the offer letter and contact you.

If you identify that the person who is calling has moved, first check whether anyone else from the household still lives at the old address – i.e. whether the person you are talking to is in fact a split-off mover (see the next section) or if everyone has moved.

If everyone has moved, and the new address is in your interviewing area, proceed with the case as normal:

- visit the household at their new address;
- continue to use the issued serial number;
- in the CAPI, in question OrigAdd ('Is this interview conducted at <<Address>> which is where the household was interviewed last year?') answer 'No';
- When completing Admin, in the Early Bird section answer 'Yes' to questions asking whether you found out during the Early Bird period that the household had moved and whether you found a follow-up address. Based on these answers, after the Early Bird section, you will then be taken directly to the Tracing section of the Admin block where you can record the new address details, and key in the observation questions for the new address.

If everyone has moved, and the new address is too far for you to cover:

- check with your team leader;
- if they agree that it is too far for you to cover and should be re-allocated to another IP4 interviewer, send the case back to the office with the outcome 673 'Follow up address found but is outside my interviewing area';
- In the Admin block, record details of your contact with the household during the Early Bird period indicating that the household has moved, the outcome of the contact was 'Other' and write in any further details in the follow-up question.

Split-off movers

An even less likely, but still possible, scenario is that the person who has contacted you is a split-off mover – i.e., some of the people they lived with last year are still living at the address on your Sample Cover Sheet, but the person contacting you has permanently moved elsewhere. In such cases, how to proceed depends on where the person has moved to and the date on which they would like to be interviewed, as described below.

If the split-off mover lives in your interviewing area & you start interviewing at the original household **before** the requested interview date of the split-off mover:

- in the household grid of the original hhold code the split-off mover as 4 'not resident, having moved';
- create a split household for them on your laptop (CMS – Address Menu) as advised by CAPI;
- on the requested interview data, interview the split-off mover in the split serial number & record details of the Early Bird contact in the Admin block.

If the split-off lives in your interviewing area but you are not able to start interviewing at the original address before the requested interview date of the split-off mover:

- you will need to use the new CAPI feature that allows you to create a split household without completing the household grid at the original household & manually code that the split off mover lives at this split household;
- please call the office for advice!

If the split-off mover lives outside of your interviewing area:

- check with your team leader;
- if they confirm the split-off address is better covered by another IP4 interviewer, tell the respondent that unfortunately you won't be able to interview them yourself but that another interviewer will be in touch with them as soon as possible to arrange an interview;
- inform the office as soon as possible and ask for advice on how to proceed to get this case re-allocated (most likely we will ask you to create a split household, complete the Admin and send the case back to the office coded as Outcome 673 for re-allocation).

If you have any other strange situations with movers or splits, or are in any doubt how to proceed, please contact the office.

If household leaves a message on your mobile after 8th March but before you make face-to-face contact with the household:

You should start fieldwork on 8th March and visit any households that did not contact you in the Early Bird period/are not part of the Early Bird experiment. It is possible that before you have had time to make contact on the doorstep you continue to get appointment requests on your mobile from households after 8th March, when the advertised Early Bird period has already finished.

You can of course take this opportunity to fix an appointment and save yourself some time later on. If the household is in the 'Early Bird with incentive' group, please make it clear to the respondent that because they did not contact you by 7th March they will not be qualifying for the additional £5 incentive per interview.

We still want to know about situations like this, so in the Admin block please key in details of all appointment requests received on your mobile even if initial contact was too late, i.e.: after 7th March.

Refusals

It is possible that upon receiving the Early Bird advance mailing, some sample members take this as an opportunity to get in touch with you to refuse to take part in IP4. In such cases we would like you to determine whether it is just an individual in a household that refuses to take part, or the whole household. You can also use this contact as an opportunity to ask whether the respondent might be upset about anything in particular, to see if there might be an opportunity to provide further information and gently persuade them to change their mind.

A whole household refusal during the Early Bird period, when only mobile phone contact has been made, counts as an Office Refusal (Outcome 410). In such cases, record the contact details and outcome on your Sample Cover Sheet and, like with any other office refusals you should still visit the address and complete the observation questions. In the case of individual refusals, you must still visit the household to invite the other people to take part.

Mobile phone breakage or theft

The mobile phones issued on IP4 are brand new so we hope that no interviewers will experience any breakages or technical problems. If, however, you have any problems, your phone stops working altogether or is stolen, please contact the Brentwood office for advice.

5 Fieldwork

5.1 Fieldwork timetable

The IP4 fieldwork activities will take place over a 13-week period, from 22nd February to 23rd May, in four stages:

Early Bird Period (2 weeks) – pre-fieldwork

- 22nd February - 7th March: Early Bird Appointment period during which respondents contact their interviewer to make an appointment for their interview. Note that some may receive their letter early and contact you before 22nd February while some may also contact you after 7th March.

First Issue Period (6 weeks)

- 8th March - 18th April: Interviewing period during which you will be interviewing your sample members, following any movers and interviewing them at their new address (along with other eligible residents).

Fieldwork Break (3 weeks)

- 19th April – 9th May: during this period you may be asked to interview some re-allocated cases. ISER will also be using this time to trace any movers from the first issue period that weren't found in the field during that time.

Re-issue Period (2-weeks)

- 10th May – 23rd May: during this period you will be attempting to interview any re-issues that are sent to you. You may also receive re-allocated mover cases (core sample only) that have been traced to your interviewing area and which you should attempt to interview.

5.2 Interviewing phase

The first issue period will start on the 8th March.

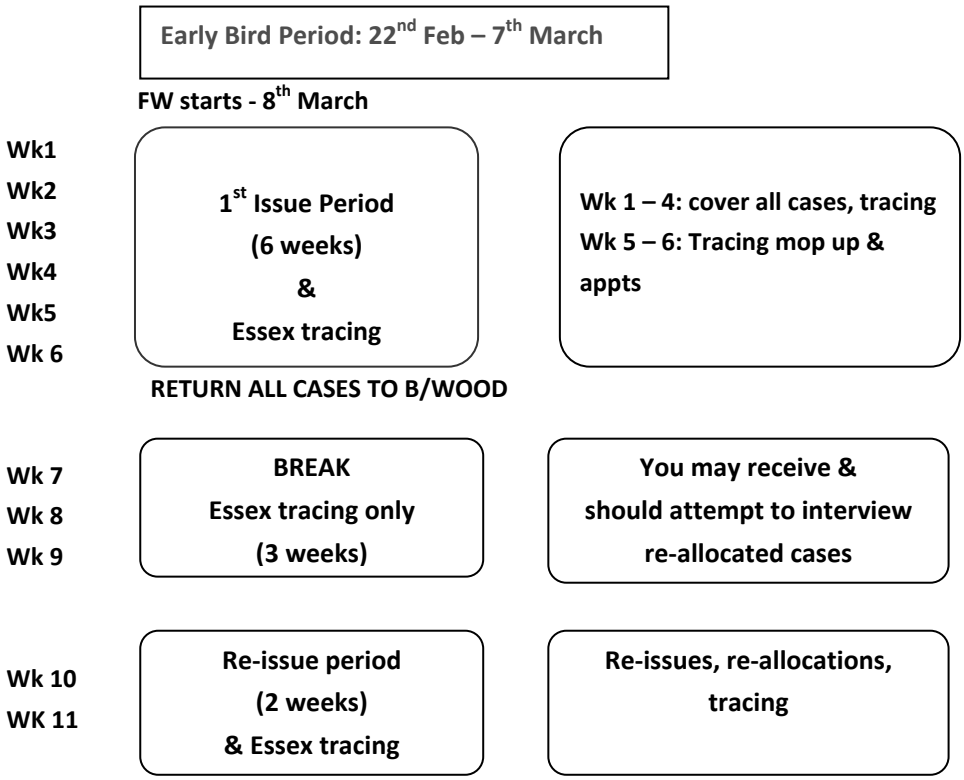
You will have four weeks for the first issue and a further two weeks to complete tracing of movers. Weeks 5 and 6 of the first issue period is not solely for tracing of movers however, and you can use this time for appointments. This is especially applicable to cases where the sample member may be on holiday or unavailable until later into the interviewing phase. **If you identify a mover early on in the interviewing phase then you must begin tracing immediately – you do not have to wait until weeks 5 and 6 for this.** If tracing is unsuccessful, the household should be coded as an untraced mover (Outcome 671), and returned to Brentwood as early as possible so that it can be sent to ISER for further tracing. Note that for the refreshment sample, you can use

the full six weeks of the first issue period to interview your households, as you will not be tracing any of these.

This is followed by a 3 week 'break' where the first issue period is finished, and all cases are returned to the office. These cases are then sent to Essex for further tracing so during this two-week break you may receive movers that have been traced for interviewing.

The re-issue period lasts 2 weeks. You will be issued with cases that were unproductive at first issue, and any movers who have been successfully traced.

Figure 5.1: IP4 Interviewing timetable



5.3 Targets

The targets for coverage during the 1st issue period are:

- By day 21: 60% covered and transmitted back with final outcome;
- By day 32: 80% covered and transmitted back with final outcome;
- By day 42: 100% covered and transmitted back with final outcome.

6 In advance of contacting the household

This chapter outlines what you need to do before you start fieldwork, and what activities are undertaken by the office.

6.1 Inter - wave mailing

For the IP4 core sample, each sample member aged 16 or over who participated at IP3 will have recently received an inter-wave mailing – this mailing was sent by the office in January. The nature of this mailing depended on the treatment group they were assigned to as part of the Inter-wave mailing experiment (see chapter 3). Core sample members either received a postal mailing containing a letter inviting them to register on the Participants' website, together with the recent survey findings (Participants Update 3), a Change of Address (COA) Card and COA freepost envelope; or an e-mail inviting them to register on the Participants website, view the survey findings electronically, and update their contact details directly on the website.

Within these two groups, half the sample was also offered an additional £5 incentive to register on the website. In both cases, respondents were given the option of either claiming a gift voucher or donating the money to charity.

For the postal mailing, four versions of the 'Participant's Update' report were used, each with content tailored to a particular type of respondent: Young People, Older People, Workers and Everyone else. However, sample members only received one version of the report in their mailing. There is a copy of the generic version of the report in your work pack but you are not to give this out to respondents as this is for your reference only or to be used on the doorstep to act as a reminder.

6.1.1 The COA card

The core sample members receiving a postal inter - wave mailing were also sent a Change of Address (COA) card (see Figure 6.1 below) and a University of Essex Freepost return envelope. This is to encourage sample members to inform Essex of any change in their contact details. Respondents will receive a £5 voucher (from the University of Essex) if they return the card with their new details.

COA cards are pre-printed with each individual's current contact details (name, personal contact details and address) – rather than just one per household – so that Essex can be notified if only one person in the household moves (as opposed to a whole household move).

Blank versions of the COA card and freepost envelope will be included in your workpack should you come across a new entrant to a household or anyone who did not receive their inter - wave

mailing. You will also need to administer one to each adult you interview in the refreshment sample. CAPI will prompt you to hand over a COA card and record information on the card in all cases when you need to administer one.

Figure 6.1: Change of Address card

6.2 Advance mailing

Closer to the start of fieldwork the office will be sending the IP4 advance mailing. The format and timing of the advance mailing is slightly different for the named core sample and the refreshment PAF sample.

For the **core sample**, the mailing is sent in two batches: the Early Bird mailing is dispatched in time to arrive by 21st February (before the Early Bird period starts) and the advance mailing to the non-Early Bird households is dispatched approximately a week before the first issue period starts, in early March.

Both core sample mailings are at the individual level: each adult aged 16 or over in the household is sent their individual mailing regardless of whether or not they have previously completed an individual interview. This includes rising 16s: respondents who have turned 16 since the previous wave.

The core sample advance mailing includes:

- Advance letter; and
- Incentive (high street gift voucher) - the value of this will depend on the experimental group they have been allocated to but will either be £5 or £10.

For those core sample members who are part of the Early Bird Appointments experiment, an Early Bird information card will also be included in the advance mailing (see Chapter 4).

For the **refreshment sample**, since we have not made contact with these addresses before the advance mailing is at household level: we are sending one letter per address. The mailing includes

a generic version of the letter tailored to introduce *Understanding Society* and encourage participation, plus one incentive- either a £10, £20 or £30 high street gift voucher.

6.2.1 Types of advance letter

We have designed six types of advance letter to accommodate different types of core sample members. Each version is worded slightly differently, depending on the type of sample member they are targeting and whether or not they took part in the study at IP3. There is only one version of the letter for the refreshment sample.

Table 6.1: IP4 Advance Letter versions

Advance mailing version	Type of sample member
A1	Core sample; Interviewed at IP3; eligible for Early Bird Appointments
A2	Core sample; Interviewed at IP3
B1	Core sample; not interviewed at IP3; eligible for Early Bird Appointments
B2	Core sample; not interviewed at IP3
C1	Core sample; Rising 16 since IP3; eligible for Early Bird Appointments
C2	Core sample; Rising 16 since IP3
D	Refreshment sample
Generic	Use on the doorstep / new household members / those that have not received an advance letter. No differentiation between sample types.

6.3 Informing the police

Before you start working on your allocated cases you need to check in at the local police station(s). At the station:

- explain what the study is about and how long you will be working in the area;
- provide them with a copy of the generic advance letter;
- present your identity card and leave your name and the NatCen Freephone number (0808 168 1356);
- Ensure that all the details you have given are recorded in the day-book at the station desk, if that station has one. Also ask them to rubber-stamp and sign a copy of the generic advance letter, but please note that not all desk officers are willing to do this.

Make a note of the name and number of the officer with whom you speak and the date and time of your call so that you are fully covered in the event of any query or complaint to the police. It is reassuring for suspicious households, as well as other people you come into contact with, to be told that the police are aware of your work in the area. Y**ou must not start work until you have registered with the police.**

7 On the doorstep

7.1 First contact with the household

When contacting the household you cannot:

- Make first contact by telephone;
- Send texts to mobile numbers; or
- Conduct the interview by telephone.

Your first contact with the household **must** be face-to-face, as it is easier to establish a rapport this way and thus to avoid refusal. You may need to visit the household several times before you make contact.

Research shows that:

- The more you vary the times of day you call, the fewer calls you will have to make and you will get a higher response rate;
- Leaving a few days between calls will produce a higher contact rate, you will have to make fewer calls and you will get a higher response rate.

So, it is important that you stick to the NatCen call pattern rules and make an early start so that you can spread out your calls more.

If no-one is at home, leave an *Understanding Society* appointment card (see Figure 5.1) to inform the residents of your visit. You may use the study Freephone number (0808 168 1356) as a contact number – note that this number is free to call from landline phones but calls from mobile phones will incur a charge. This number is staffed 9am – 5pm Monday to Friday. Outside these hours, an answer phone service operates.

Upon making contact, always remember to show your ID, even if the people you speak to do not appear to be interested in it. If sample members have any queries which you cannot answer at your initial face-to-face visit, ask them to call the *Understanding Society* team on Freephone 0800 252 853.

When making contact, remember the difference between the two sample types: for the core sample you are after the named individuals listed on your Sample Information Sheet (SIS- part of ARF A), while for the refreshment sample the key task is to establish the residential status and make contact with the issued address.

7.2 Subsequent contact with the household

After you have made your **first contact in person**, subsequent contact can be made by telephone if the household are happy for you to call them, e.g. to arrange or check appointment times.

You need to keep record details of all telephone calls on the ARF (see Chapter 9), including the following information:

- which telephone numbers you tried;
- who the telephone number belonged to; and
- which telephone number(s) led to contact with the sample member.

If the sample member is not available when you call, you may leave a message, using the Freephone (0808 168 1356) number as your contact number.

7.3 Introducing the study

For those sample members we have interviewed before remind them that this is a **study about them as individuals and that we want to find out how different aspect of their lives interact and influence each other.** As we will be re-visiting the households annually, **it is important to stress that the study is concerned with stability and change over time and this is why we would like to interview the household again.** For sample members that are new to the study, focus on the main points of the study, and explain how valuable their participation is. It is important that you prepare answers to potential questions so that on the doorstep you are able to tailor your response depending on the objections raised and who you are talking to.

Use your expertise when introducing the study and highlight different areas of the study accordingly. Below are some of the research questions that this study addresses and that you may find helpful when encouraging people to take part:

- How people's well-being changes over time;
- The effects of poor health on employment opportunities;
- Whether or not our education system provides the springboard for young people to develop their careers;
- Whether retired people are managing on their pensions;
- Whether disabled people are getting the care they need;
- How family life is changing and what people think about these changes.

For households with more than one person, it is also important that **everyone** eligible participates. You should stress that this is a **household** study and that we are interested in how members of the household influence each other. For example, how decisions about one person's work and working hours affect others in the household, what happens when children leave home and so on.

For some frequently asked questions and answers, please consult the '*Understanding Society*: Information for Participants' leaflet and Appendix A; also refer to the 'Introduction' of these instructions for the background information on the study.

For the core sample, you should use the information provided on the Sample Information Sheet (SIS) in ARF A to get an idea of the household composition at the previous wave.

7.4 Maximising response

Remember that a friendly approach works best. Withdraw if it's not a good time and a refusal is likely and come back at a different time. You **must** make multiple visits to interview all eligible individuals; it is very important that you aim to achieve a fully productive household i.e. a household interview and individual interviews with all household members aged 16 and over.

7.5 Documents to use on the doorstep

The following documents are available for you to use on the doorstep (see Figure 7.1 below):

- Appointment card;
- Broken appointment card;
- '*Understanding Society*: Information for Participants' leaflet;
- Generic advance letter;
- Participants' Handbook; and
- Participants' Update.

7.5.1 Appointment card

You have been supplied with an appointment card for you to use when you arrange the appointment with the household. You can use the blank space to write a message.

7.5.2 Broken Appointment Card

Use this card for broken appointments. The card directs the respondent to call the Brentwood freephone and to propose a different interview time.

7.5.3 '*Understanding Society*: Information for Participants' leaflet

For new entrants to the household (i.e. those who joined since the previous interview) or for refreshment sample households there is also a study leaflet which provides more information about the study and the interview. The content of the leaflet has changed from previous waves of the study. You can show this leaflet to established sample members as well if appropriate.

7.5.4 Generic advance letter

We have produced a laminated generic version of the advance letter which can be used on the doorstep, to avoid any confusion over which letter to use and so that you do not have to carry multiple versions of the advance letter when visiting a household. The generic version does not differentiate between sample types (i.e. core/refreshment) or sample member types; it simply tells the sample member about the study and encourages them to take part.

In addition to the laminated copy, your workpack includes spare copies of the generic advance letter (which have not been laminated) and these can be given to sample members on request, e.g. to members of refreshment households, or if they are a new entrant to a core household or did not receive their advance mailing. If you require further copies of these, please contact the office.

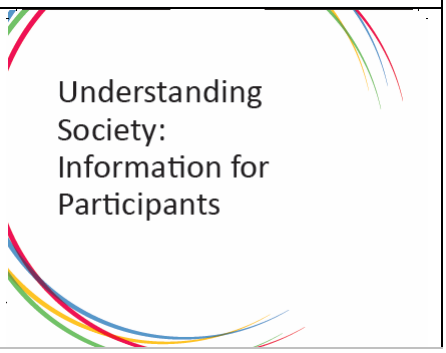
7.5.5 Participant's Handbook

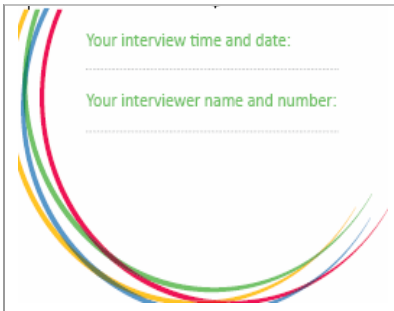
Please give out Participant's Handbooks in refreshment sample households who decide to take part. The handbook can also be used on the doorstep to help sell the survey. The purpose of the Handbook is to enthuse people about the study, and to encourage them to remain part of the survey. It provides a much more detailed description of the study than the information leaflet, explaining the reasons why we are carrying out *Understanding Society*. It also contains some information about how data from the previous 'Living in Britain' (BHPS) study has been used previously, which gives respondents an idea of how their data might be used.

7.5.6 Participants' Update

A generic version of the Participants' Update is included in your workpacks for you to use on the doorstep. As discussed above, a report of this nature was sent to all core sample respondents in January 2011 as part of their inter - wave mailing. It includes some initial findings from the latest Innovation Panel – IP3. This report if for your reference and can be used to remind people on the doorstep of the mailing they will have received - but please do not leave the report with respondents since this is your only copy.

Figure 7.1: IP4 Doorstep Documents

Appointment Card	Broken Appointment Card	Study Leaflet
		


Your interview time and date:
Your interviewer name and number:

Dear.....
Message/Appointment Time:
Unfortunately, I wasn't able to reach you at the agreed time. I would be grateful if you would telephone the Understanding Society research team on freephone 0800 232 853 and advise them on a more suitable time for us to meet. I look forward to speaking with you.
.....(Your Interviewer)
Serial
Add
HH
Ckl.
Person
Our ref: P3022

8 Who to interview

At the start of the interview you need to enter details in the Household Grid of who lives in the household. Based on this information, CAPI will tell you who you need to interview.

As a general rule, you will be interviewing **everyone aged 16+ who you have indicated is part of the household**, including any new people who have joined the core sample households (either entirely new entrants, or rejoiners – people who lived in the household in previous wave(s), moved out but have now moved back).

You will also be administering self-completion questionnaires to young people (aged 10-15), and paper self-completions to some adults dependent of experimental treatment group.

Note that for the **core** sample, you will also be following and attempting to interview:

- respondents who have moved to 'institutions' (e.g., hospitals, nursing homes/Old People's Homes, Army Camps, but not prisons); but **not** those who are judged by other sample members/guardians to be 'too frail or mentally impaired'. In such cases, you may try to get a proxy interview on their behalf from someone in the original household.
- respondents who have moved to a new private address(es), if identified as eligible by CAPI.

In any circumstance, we do not want you to interview respondents:

- who are known to you either personally (e.g. a friend, a neighbour, son or daughter of a friend) or in a professional capacity, e.g. a colleague at work, a teacher at night school etc. **Refer such cases back to your team leader immediately and the case will be re-allocated;**
- respondents who are in prison; and
- respondents who have moved to a new address and have been identified as ineligible by CAPI.

8.1 Eligibility of Refreshment sample and new entrants to the core household

In the refreshment sample addresses you need to find out how many households there are, and who belongs to each of them. In the core sample households you need to confirm whether there have been any changes to the previous household composition, and if you find new people you need to determine whether they are now part of the household.

To determine who belongs to the refreshment and core sample households, use the household definition below:

> **'One person living alone or a group of people who either share living accommodation OR share one meal a day and who have the address as their only or main residence.'**

Sharing at least one meal a day:

This should consist of the main meal but does not imply that the household must always sit down together for the meal, as long as food is bought for joint use. Breakfast may be counted as the main meal.

Sharing living accommodation:

- Living accommodation in this case is defined as a living or sitting room and also includes addresses where there is no living room separate from the kitchen, i.e., if it forms part of the same room, or where the living room is used as a bedroom.
- **Shared kitchens and/or bathrooms do not count as shared living accommodation.**

Occasionally an individual or a group of people will have both their own living accommodation (that is living room/bed-sitter and kitchen) and the use of a communal living room. In such cases priority should be given to having their own accommodation, and they should be treated as separate households. Examples of this include warden assisted housing for the elderly, flat let houses, or separate annexes flats where the parent occasionally also uses the family living room.

General points to note:

- Members of a household need not be related by blood or marriage.
- To be included in the household an individual **must** sleep at the address when s/he is in residence: anyone who sleeps at one address but has all their meals elsewhere must therefore be included at the address where they sleep.
- Some potential new entrants might have more than one residence. **Where there is doubt, their MAIN residence should be decided by the person themselves.**

However, the following special rules take priority over your respondent's assessment and should always be applied.

8.1.1. Exclusions:

- Adult children, that is, those aged 16 and over who live away from home for purposes of either work or study and come home only for holidays should not be included at their parental address. **This does not include those at boarding school who are listed as household members.** Therefore **students** who live away from home while attending professional or vocational education such as studying at University or College full-time (or other further or higher education such as nursing schools) are excluded from their parental household, even if they happen to be at their parents' address when you call.

- Anyone who has been away from the address continuously for 6 months or more should be excluded even if your respondent continues to think of it as their main residence, with the exception of certain people working away from home.

- A weekend or holiday home can never be a main residence and this should be coded as ineligible.

- You should exclude people from abroad who have come to Britain specifically to take up a particular post for a fixed term; foreign servicemen and foreign diplomatic staff and overseas students who will leave the country following the end of their course.

8.1.2. Inclusions:

- Anyone who has been or will be living continuously at an address for 6 months or more should be included at that address even if this person has their main residence elsewhere. Please note, therefore, that this rule takes precedence over the two residences rule.

- Any respondent at whose address, in this country, you are calling should be included even if the address is a temporary one, for example, while they are searching for permanent accommodation. You should not however include anyone who is making a holiday or business visit only and who remains resident abroad.

- Boarders (that is, unrelated individuals paying for food and accommodation) should be included as members of the household, provided that no more than three boarders are being catered for. If four or more boarders are catered for, the guests should be excluded (as they live in an institution).

- Include people who only rarely stay at an address but nevertheless have it as their main residence: e.g., merchant seamen, fishermen, oil rig workers, and military personnel. Please note the difference from temporary addresses mentioned earlier. This rule applies only to spouses of a sample member. Thus, a child in the army away last year (and therefore not a sample member) returning briefly this year, would not now be included. But he or she would be included if they are a spouse of a sample member. These people can be proxied if away at the time.

- Include children at boarding school (irrespective of age); children aged 16 or over **who normally live at home** while attending University or College but who are temporarily away (e.g., on holiday or a residential course); children aged 16 or over who have finished a college course and are now living at home as their sole residence even if they are planning to move to another place soon; and children working away in a **temporary** job.

- Anyone staying with a friend while looking for a flat or house of their own, if they have no other residence. Anyone for whom this is the sole residence in the UK, even if this is a

temporary residence while they are searching for permanent accommodation. This does not therefore include someone on holiday or a business visit.

If in doubt about residence, apply the six month rule: those away or likely to be away for 6 months or more are NOT counted as resident at the address.

9 ARFs

9.1 Overview

In IP4 we have two different sets of ARFs depending on the sample type that respondents belong to.

Core sample ARFs include:

- ARF A (Yellow) & Sample Information Sheet (SIS) - used for the original household;
- ARF B (Cream) - used for split households, i.e. households containing sample members who have moved out from the original household but are eligible for an interview; and
- 784 Log (White) – used to log the serial numbers of split households that are not eligible for an interview but still need to be created in CMS.

ARF A provides you with data collected at the previous interview, such as contact details and the interview outcome.

Refreshment sample ARFs include:

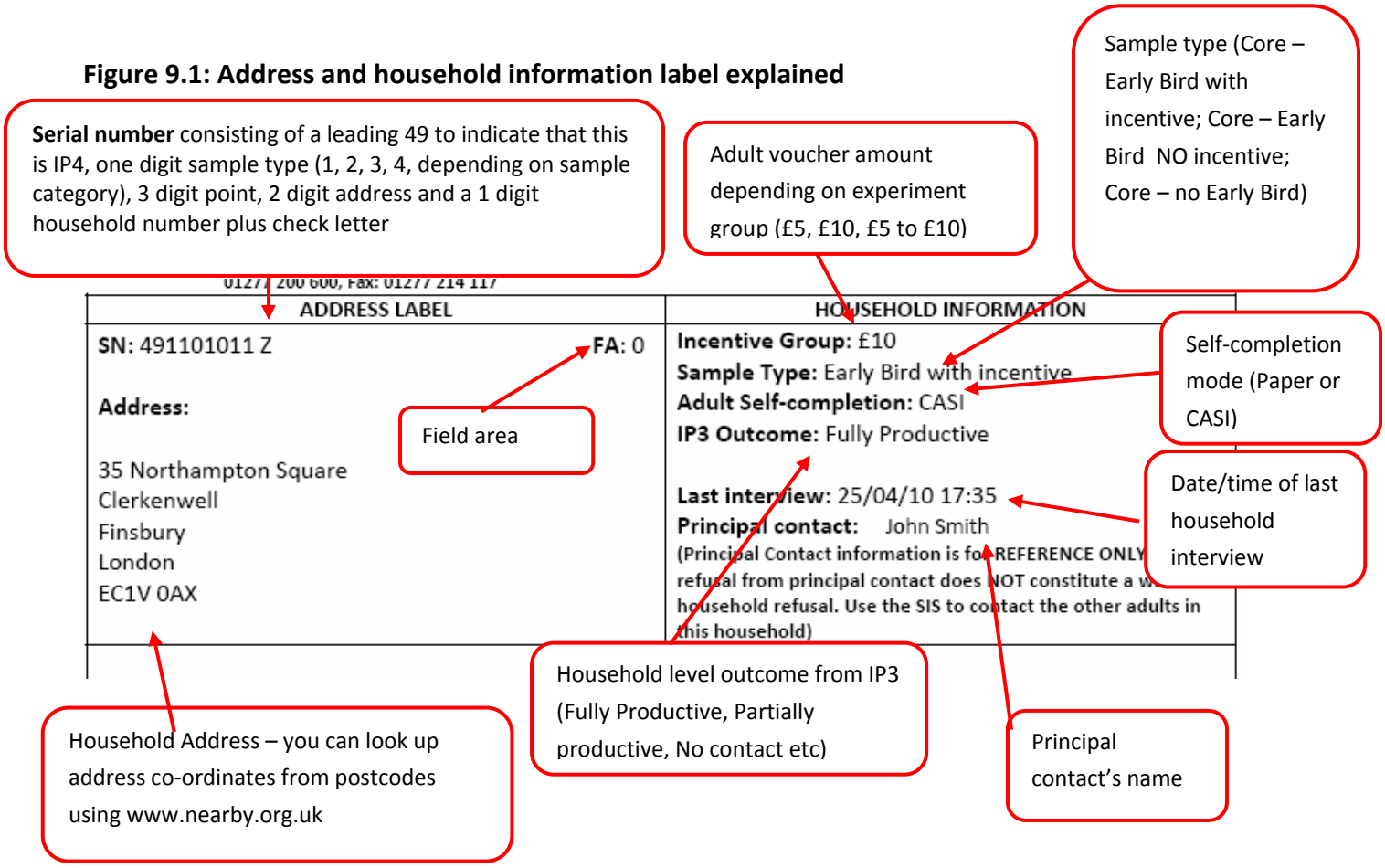
- Refresh1A (Purple)/ Refresh1B (Blue) - used for the issued address in the Refreshment sample (which will be the first dwelling unit and household selected at the address);
- Refresh2 (Grey) - used for the multiple selection of Dwelling Units (DU); and
- Refresh3 (Salmon) - used for the multiple selection of households.

9.2 Core sample ARFs

9.2.2 ARF A – issued household

ARF A includes Sample Information Sheet (SIS) and is used for the original household.

Figure 9.1: Address and household information label explained



Keeping Track (pages 1-4)

The first three pages of the ARF A provide space for you to record the details of your visits to the household. **You must record all personal visits and telephone calls, even if you do not get a reply.**

For telephone calls it is also important that you record which telephone numbers you have called, in case the household requires tracing later. This way we will not duplicate efforts that you have already made.

The 'Tracking Interviews and Self Completions' section on p.4 allows you to keep track of progress in the household, e.g. record who has been interviewed and/or who has done their self-completion, and whether you have handed over a promissory note.

Sample Information Sheet (SIS)

The SIS is found after page 4 of ARF A. It provides extra information that may prove helpful when contacting the household and planning the interview. The SIS is based on the information from the sample member's last interview. However, as circumstances change, this information may be out of date by the time the case is issued to you.

The SIS is for your own use only; it should not be shown to the respondents or anyone else.

The SIS has 4 main sections:

- Household information;

- Individual information;
- Stable contact details; and
- Suspected split household information.

Each page of the SIS contains the serial number, check letter and field area. A key to abbreviations used in the SIS can be found on page 9 of ARF A.

Household information

The household information provided on the SIS is as follows:

- number of adults and children (aged 10-15) in the household at the previous wave;
- whether they are a suspected split-off mover (i.e. they have left the household since last interview): 'yes' if we have been notified of their move, blank if not;
- contact telephone numbers for the principal contact;
- phone number for the household; and
- previous interviewers name/number.

The principal contact's telephone number and the household telephone number are also provided on the household information label on the front page of ARF A.

Individual information

This section contains the following information – where possible – for each household member enumerated at IP1 1/2/ 3 (including those who were not interviewed/absent at a previous wave):

- Name;
- Sex;
- Age;
- Whether they have ever been interviewed;
- Whether we are aware that someone should not be contacted at this wave – death, refusal, too old/infirm;
- Individual outcome at previous waves;
- Date and time of last individual interview;
- Absent sample members: where absent sample members at IP3 were living. Note that this will be blank for non-absent sample members;
- Job status at previous wave;
- Telephone number(s): home landline, mobile, work numbers;
- Whether they are a rising 10 or a rising 16: '10' indicates the sample member has turned 10 and is now eligible for the youth self-completion. '16' indicates the sample member has turned 16 since their last interview and is now eligible for a full interview. Note that this will be blank for all other sample members; and
- Sample member type (see Chapter 10).

Notes on contact from last interview

Comments made by the last interviewer regarding the address location, call pattern or other information they regarded as useful for the future will be recorded here.

Interviewer comments from previous wave

Any useful comments made by the interviewer at the previous wave regarding either the household as a whole, or individual sample members, will be included here.

Stable contact details

At previous waves each sample member who completed an individual interview was asked to provide contact details of someone we could contact if we are unable to contact them. *Where available* the following information will be provided on the SIS:

- person number of each household member;
- name of each household member;
- name of stable contact person;
- relationship of the stable contact person to the sample member;
- address of stable contact person; and
- up to two telephone numbers for the stable contact person.

Please note that not all sample members will have provided a stable contact and so this table may be blank. Also note that any changes to stable contact details should be recorded directly in the CAPI and not on this table.

Suspected split-offs

If a sample member is suspected to have left the household since the last wave (indicated under "Split-off mover") any information provided about the move will be supplied in this section. For each split-off mover, this may include:

- person number;
- name;
- date of move;
- reason for move;
- new address; and
- new landline number.

For suspected split households, you MUST visit the original household first and confirm that the sample member is no longer resident at the address before using any of the new contact details provided on the SIS. For Data Protection purposes you should not mention the new address or telephone number to anyone other than the sample member named as the suspected split-off.

Sections A-D

These sections are for you to fully record your observations and all attempts to contact the household. New addresses and/or any tracing activities are to be recorded in sections B-D.

Each section includes some initial observation questions which must be answered **before** making contact with the address. We are interested in your initial observations and judgement, so even if you later find out that your initial observations were incorrect, e.g., if you recorded that the address doesn't have children under 10 years of age but later found out that there were children of that age living at the address, **do not change your observations**.

Observation questions need to be completed for all non-deadwood addresses including office refusals, although you should not contact the latter.

The number of interviewer observation questions for *Understanding Society* is higher than for a typical survey. This is because we will use these questions to define non-response weights and to predict response and attrition at subsequent waves.

Section E - Eligible Households

This section asks you to record: a) any queries raised by eligible households at initial contact and b) their resistance to co-operate.

It is important to record all the queries that the household has raised (queries can range from questions on the interview length to the purpose of the study) so that we can identify the most common concerns sample members have about participating.

In relation to the resistance question, as different members of the household may vary in their resistance to take part, you should base your answer on the household member who made the ultimate decision when you first made contact. It is very important that you gauge this correctly as we use this information to decide whether any unproductive cases should be re-issued.

If the household refuses to take part, it is important that you try to get a reason for their refusal. This information will help us to try and prevent other participants from dropping out of the survey in the future.

Section F - Final Outcome Codes

All the final household outcomes are on one page of the ARF (see Appendix C). Code the final outcome and then follow the routing. Make sure you transfer the outcome code to the front of the ARF. Codes 110 and 210 and 211 (productive Outcome codes) will be generated automatically in the CAPI Admin. Unproductive codes need to be entered by interviewers as part of completing the Admin block.

Section G – Unproductive Households

This section contains follow up questions about the household's reasons for refusal (in order to establish whether another interviewer might be able to get an interview) and the standard open question to record more details about the non-productive outcomes.

Please record as much detail as you can about the non-productive outcomes as it helps us understand the most common reasons for refusal.

For a detailed discussion on ARF B and 784 Log see Chapter 10 on split households.

9.3 Refresher sample ARFs

9.3.1 Definitions of DUs and households

A Dwelling Unit (DU) is a living space with its own front door – this can be either a street door or a door within a house or block of flats. Usually there is only one dwelling unit at an address.

A household is when one person or a group of people have the accommodation as their only or main residence and share at least one meal a day or share the living accommodation.

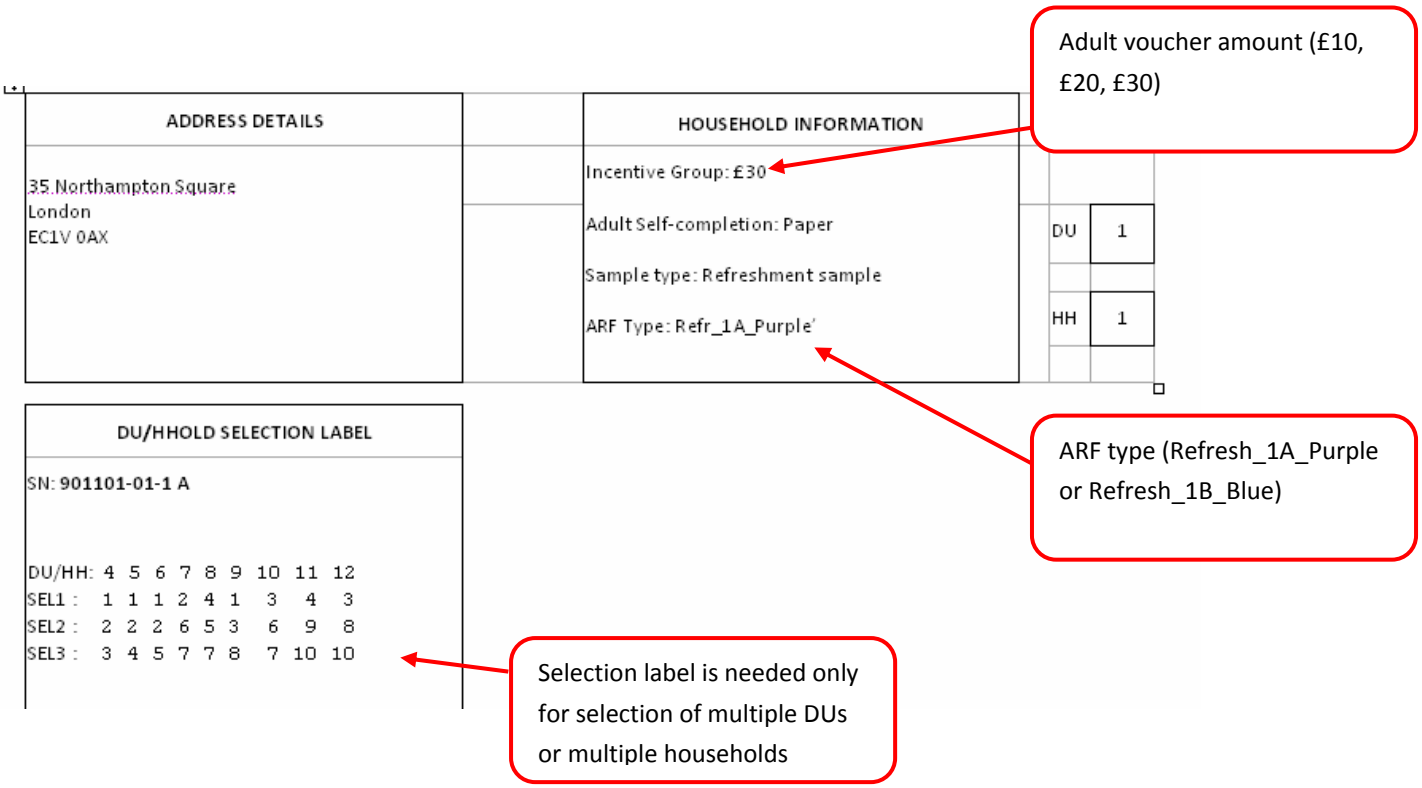
Around 95% of addresses will only have one DU and one household - multiple DUs/households tend to be concentrated in urban areas, so it is likely that either your assignment will contain no multiple DUs/households or you will have several in an assignment.

9.4 ARF Refresh1A and Refresh1B

Although we are selecting up to 3 DUs and 3 Households per DU at each address, most addresses will only have 1 DU and 1 Household, and therefore you will mostly just use ARF Refresh1A/ Refresh1B when working on the Refreshment sample. The only difference between ARF Refresh1A and Refresh1B is that two of the observation questions relating to cars and children are worded differently; all other sections are the same.

The front page of Refresh1A/B includes address and information labels as in standard ARFs. Unlike in standard ARFs, however, it also includes a DU/ Household selection label which is needed only for selection of multiple DUs or multiple households and is described in more detail in Appendix H.

Figure 9.2 Address and household information label and DU/ Household selection label



9.4.1 Structure of ARF Refresh1

Keeping track (pages 1 – 2)

Similarly to the standard Core ARF A, the first two pages of the Refresh1 ARF provide space for you to record the details of your visits to the household.

The 'Tracking Interviews and Self Completions' section on p.2 allows you to keep track of progress in the household, e.g. record who has been interviewed, who has done their self-completion and whether you have administered a promissory note.

Table 9.1: Sections of ARF Refresh1A and Refresh1B

Section	Description
A	Tracing addresses, recording interviewer observations and identifying ineligible addresses
B	Selection of dwelling units, and generation of ARF Refresh2's
C	Selection of households, and generation of ARF Refresh3's
D	Topics queried by eligible households
E	Final outcome codes
F	Follow-up questions for unproductive households

9.4.2 Section A: Observation questions

This section includes some initial observation questions which must be answered **before** making contact with the address. Please pay attention to the question wording - as mentioned above, there are some differences between observation questions used in Refresh1A and Refresh1B.

9.4.3 Sections B-D: 1 DU and 1 household

Although the ARF looks complicated, with one DU and one household you will work through sections B-D very quickly as shown below.

B.1 Is the address residential and occupied as main residence?

Yes	1	Go to B.2
Unsure (no contact)	2	Go to F.5
Unsure (contact made)	3	Go to F.7
Office refusal	4	Go to F.3 (code 410)

B.2 How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs. **0 1** and then code

1 DU	1	Go to C.1
2+ DUs	2	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

C.1 ESTABLISH NUMBER OF HOUSEHOLDS IN SELECTED DU

Count a group of people as a hhold if they a) share one meal per day or b) sharing living accommodation.

Write in number of HHs **0 1** and then code

1 HH	1	Go to C.4
2+ HHs	2	Go to C.2
Unsure about number of HHs – no contact	3	Go to F.2
Unsure about number of HHs – information refused	4	Go to F.3

C.4 Check address of selected DU/HH is correct and complete, if not amend address label on front page

D.1 Did the household respondent query any of the following topics (CODE ALL THAT APPLY)?

PURPOSE (e.g. "What's the purpose? What's all this about?")	01
INTERVIEW LENGTH (e.g. "How long will this take?")	02
PANEL DESIGN (e.g. "You'll be coming back next year?")	03
CONFIDENTIALITY (e.g. "Who's going to see the answers?")	04
INCENTIVE/PAYMENT (e.g. "What's in it for us/me?")	05
OTHER QUERY	97
NO QUERIES	96

Code as appropriate, then onto final outcome page in section E

9.4.4 Section E: Final Outcome

Section E contains all the final household level outcomes.

9.4.5 Section F: Unproductive outcomes

Section F contains questions about reasons for refusal, characteristics of the contact person, whether another interview might get an interview and the standard open question with more details to be recorded about non-productive outcomes.

9.5 Multiple DUs and multiple households

As 95% of addresses will not have multiple DUs or multiple households, it is likely that most interviewers will not come across this situation, but make sure that you have these project instructions with you when you go out interviewing so that you can refer to them if necessary.

9.5.1 Section B: 2-3 DUs on ARF Refresh1

Section B is where the DUs are selected. The example above showed how this section should be completed when there is only one DU. The example shown below shows how to complete the ARF if there are 2 DUs (and completion would be similar if there were 3 DUs). If there are multiple DUs at an address you will be instructed to open a new ARF Refresh2.

B.1 Is the address residential and occupied as main residence?

Yes	1	Go to B.2
Unsure (no contact)	2	Go to F.5
Unsure (contact made)	3	Go to F.7
Office refusal	4	Go to F.3 (code 410)

B.2 How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs. **0 2** and then code

1 DU	1	Go to C.1
2+ DUs	2	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

B.3 List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
01	35 A	05		09	
02	35 B	06		10	
03		07		11	
04		08		12	

- **If 4-12 DUs**: Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs**: Select 3 DUs using the lookup chart in project instructions and ring on grid above.

B.4 Enter details of selected DUs

	Selected DU	ARF to Use
DU 1	0 1	Continue on this ARF
DU 2	0 2	Open ARF **GP2**, transfer sn, address and DU=2
DU 3		Open ARF **GP2**, transfer sn, address and DU=3

Continue with Flat 35A on this ARF, and open a new ARF Refresh2 for Flat 35B. Transfer address details and code DU=2 on front page. The serial number to write on the front of the new ARF comes from the new household that you create in CMS, as shown in the next section.

9.5.2 Section C: 2-3 households on ARF Refresh1 or Refresh2

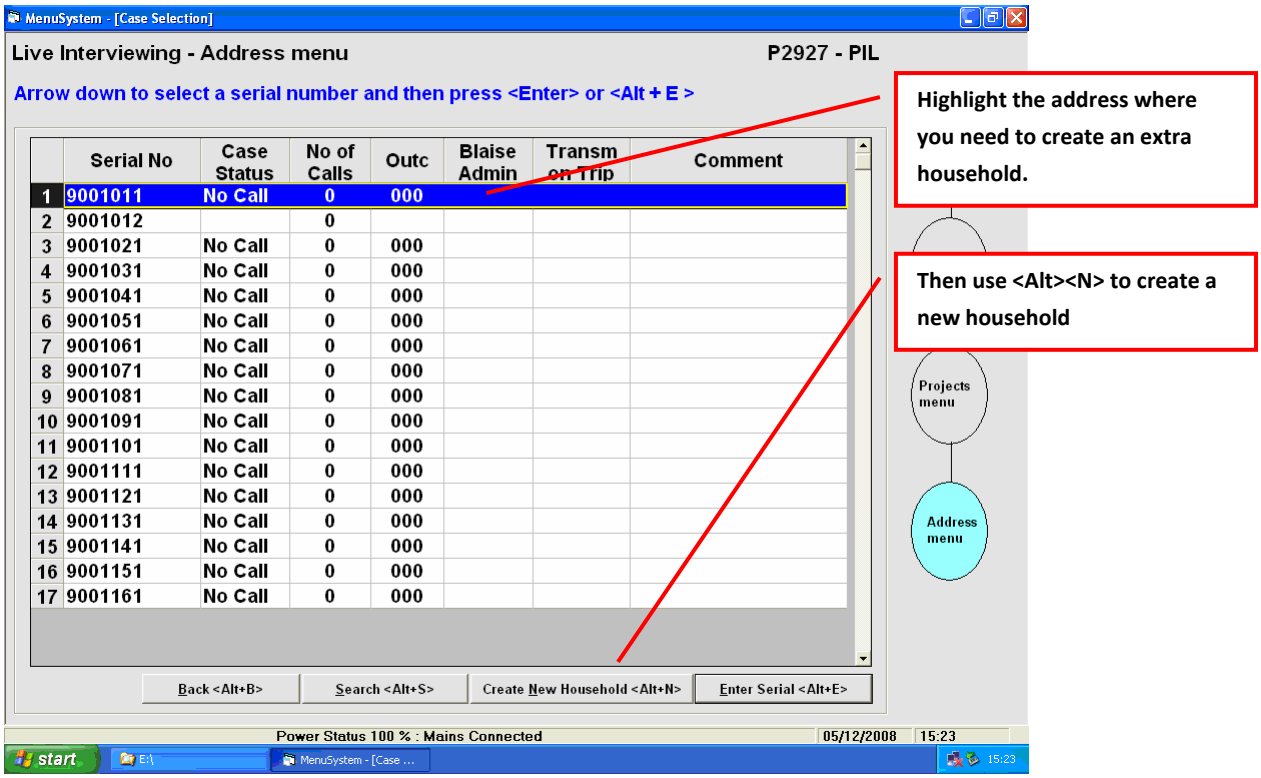
As well as selecting up to 3 DUs at each address, we also need to select up to 3 households at each DU. Therefore in theory, at one address we could select 3 DUs and also at each DU select 3 households, resulting in a total of 9 households (3x3) for that address. In practice this is extremely unlikely, but given the scale of the project it is possible that an interviewer may come across multiple DUs and multiple households.

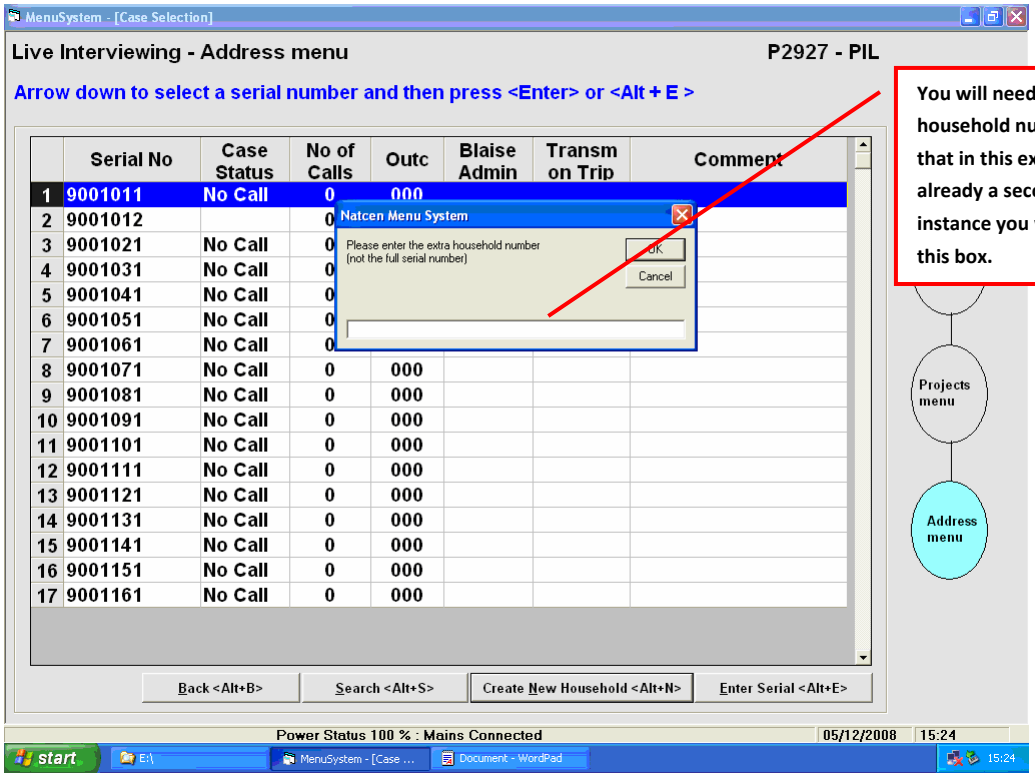
Section C follows the same format as Section B in the previous section, so screenshots have not been repeated here.

If you find a DU with multiple households then you will need to open a new ARF Refresh3, following the instructions carefully. Please remember to transfer relevant information to the new ARF, according to the instructions given. You will find instructions for identifying the correct serial number in the section that follows.

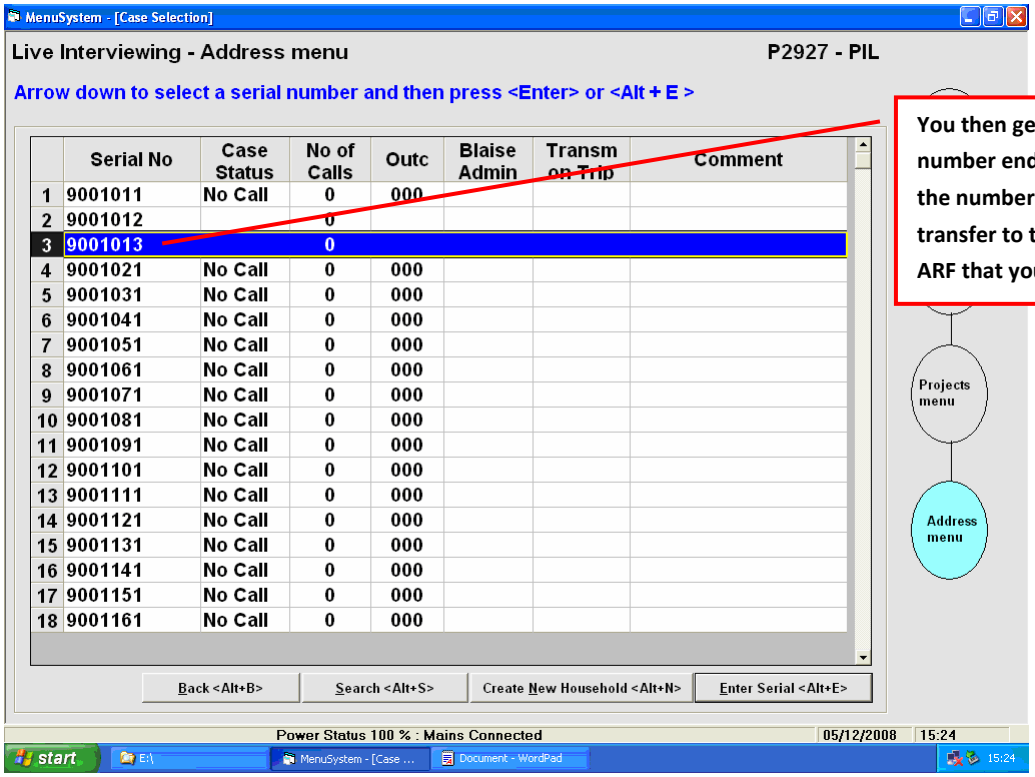
9.5.3 Creating an additional household in CMS

If you come across either an address with multiple DUs or a DU with multiple households, then you will need to create a new household in the CMS as shown below. Note that although we refer in the CMS to a new household, in this survey opening a new household in CMS is used for both new DUs and new households.





You will need to enter a new household number. You can see that in this example there is already a second hhold, so in this instance you would type a <3> in this box.



You then get a new serial number ending in 3, and this is the number that you need to transfer to the front of the new ARF that you've opened.

9.5.4 Selecting from 4+ DUs/households

If you come across an address with more than 3 DUs or a DU with more than 3 households, then you need to select 3 DUs/households using the selection label on the front of the ARF. Please refer to Appendix H for more details on this and also for the selection grid should you encounter addresses with more than 13 DU's/ Households.

9.6 Refresh ARF versions: Summary

There are 4 versions of the ARF for the Refreshment sample: ARF Refresh1A, Refresh1B, Refresh2, and Refresh3.

If you open any of the Refresh2's or Refresh3's it is essential that you follow the instructions on the ARF that generates them and record the following information carefully onto the new ARFs:

- Serial number (which you will need to create by opening a new household using CMS as shown above);
- Address and postcode; and
- Dwelling unit and household numbers.

Please remember you must create all the additional DUs and households in the CMS address menu **before** you transmit the interview for the first DU or household. If you do not, you cannot go back and create the new serial numbers.

Please also remember that you must create new ARFs (and new households in CMS) for all additional dwelling units or households you find at the original address. This includes ALL dwelling units or households, including any that are unoccupied, boarded up, etc.

10 Dealing with split households (core sample only)

For the core sample, we have a named sample of respondents that we are attempting to contact and interview. When making contact, you may find that some respondents are still resident at the issued address, but that others have moved to one or more new addresses. In such cases, when completing the household grid at the issued address, you need to code the people who have moved as movers, then create a new split household for them, and try to find a new address for the split household so that we can interview the movers there.

The CAPI will instruct you through the process of dealing with movers and establishing split households for them, as detailed below.

Please follow the process exactly as instructed. As a general rule, you cannot create split households without having completed the household grid in the original household first, as without the CurStat codes, CAPI will not know who is meant to be in each new split household (for the exception to the rule, see section 10.2 below).

10.1.1 Tell CAPI who has moved

First you need to tell the CAPI who has moved. This is done in the household grid of the original/issued household. At the question CurStat code the people who are no longer living in the household as 4 'Not resident, having moved', or, if someone has gone to prison, code them as 3 'In prison' and indicate at the next question whether or not they are likely to return to this household when released.

10.1.2 Open ARF Bs or the 784 log

If you have coded some people as movers/going to prison and not returning to the household, CAPI will tell you how many split households you need to create and their serial numbers, and whether we want to interview these movers.

Note that the split household serial numbers will always be identical to the original household serial except for the last digit, which will be 2 for the first mover serial number created, 3 for the second, etc.

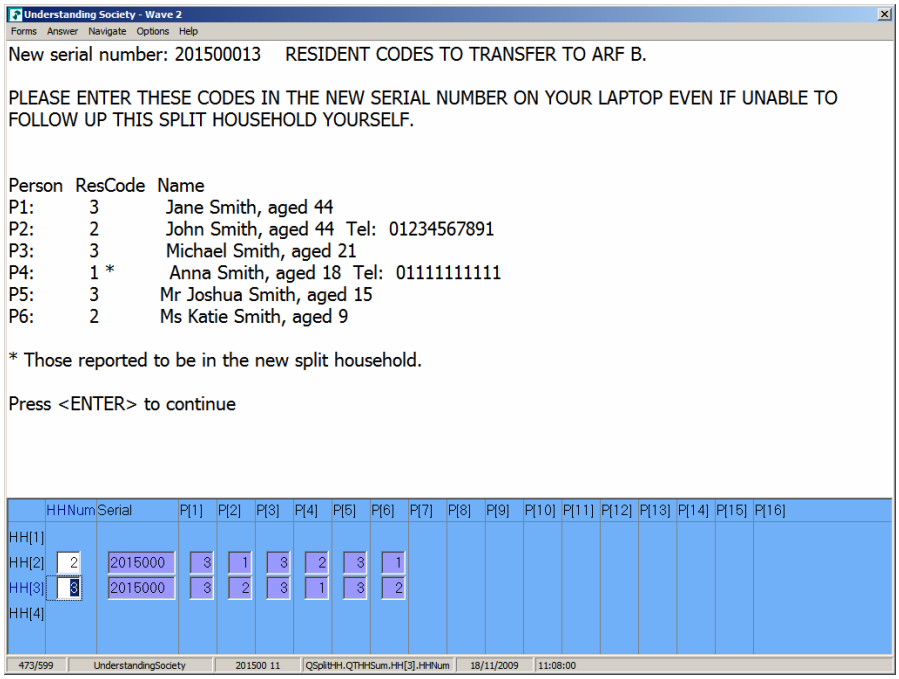
Interviewed split households – ARF B

If we want to interview the people who have moved, CAPI will ask you to open an ARF B and copy the following on it:

- Serial number (which you will need to create by opening a new household using CMS as shown below);
- Details of the mover who now lives at this split household;
- Address and postcode; and
- you also need to copy over the household information from the Household information label on the front of ARF A.

ARF B is identical to ARF A with one exception – ARF B does not contain section A.

Figure 10.1: CAPI screen with person information for new household



784 log – non-interviewed split households

If we don't want to interview the people who have moved, CAPI will ask you to open a 784 log and copy the serial number.

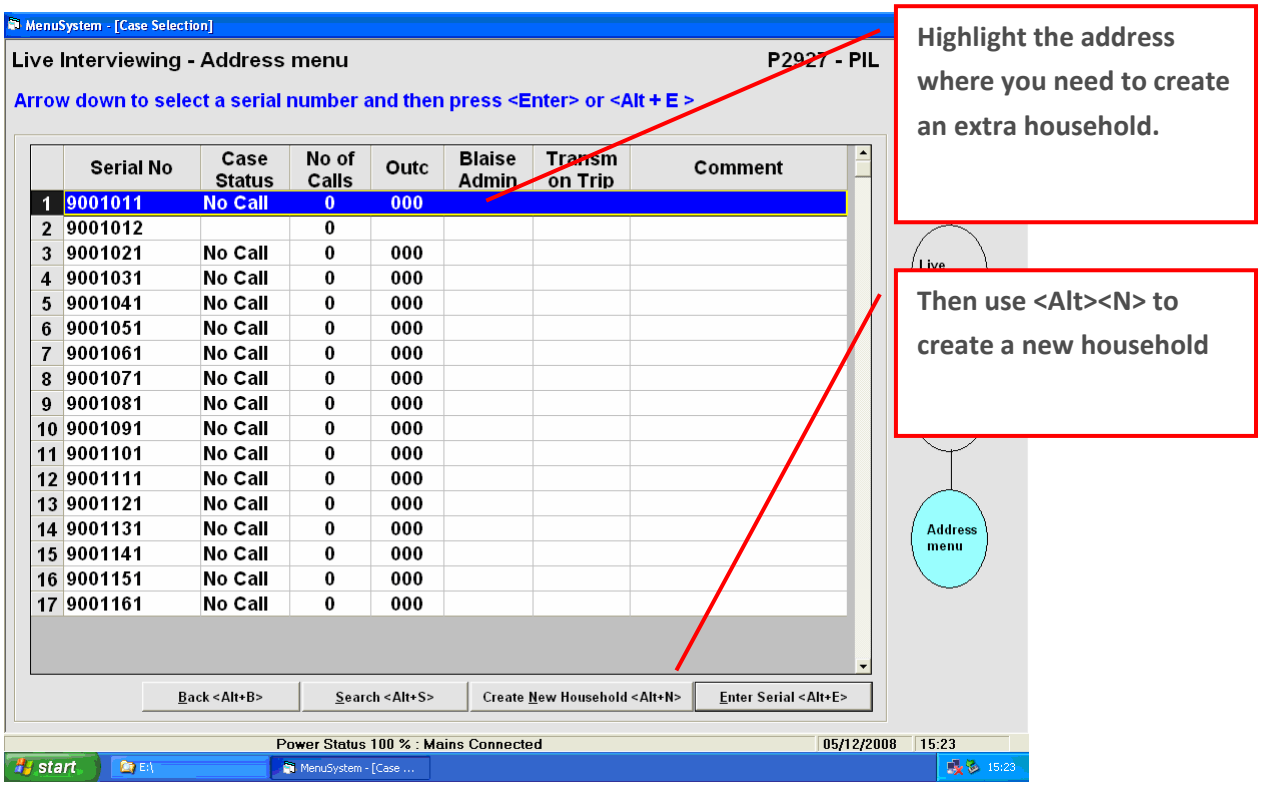
We don't use 784 log for any interviewing but it is intended to act as a memory aid for you to create the new split serial number and complete the short Admin section for it (required for all splits whether or not they are eligible for interview) so that we have a record of each issued individual in our final data.

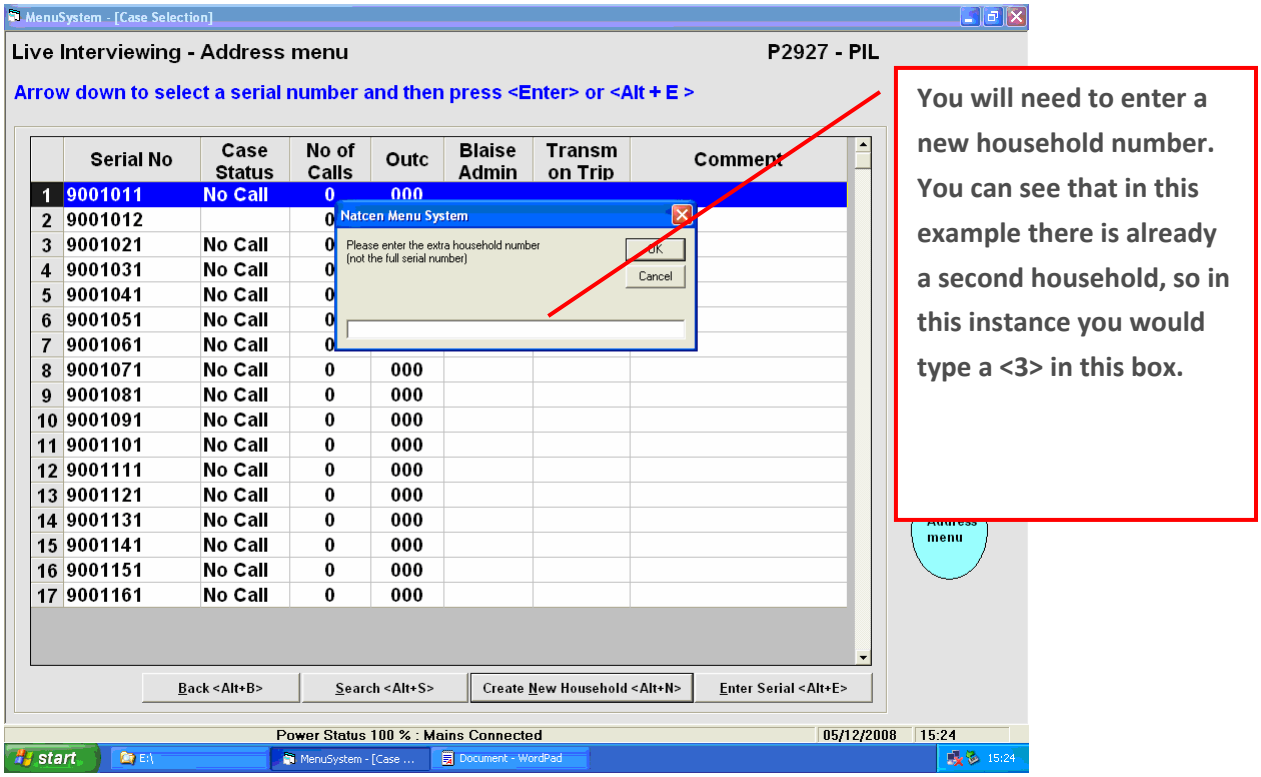
10.1.3 Creating split households in CMS

For each split household, CAPI also asks you to create the new serial number on your CMS address menu before transmitting the interview for the original/issued household. **It is essential you do this before transmitting.** You cannot go back and create the new serial numbers once the original serial number has been transmitted.

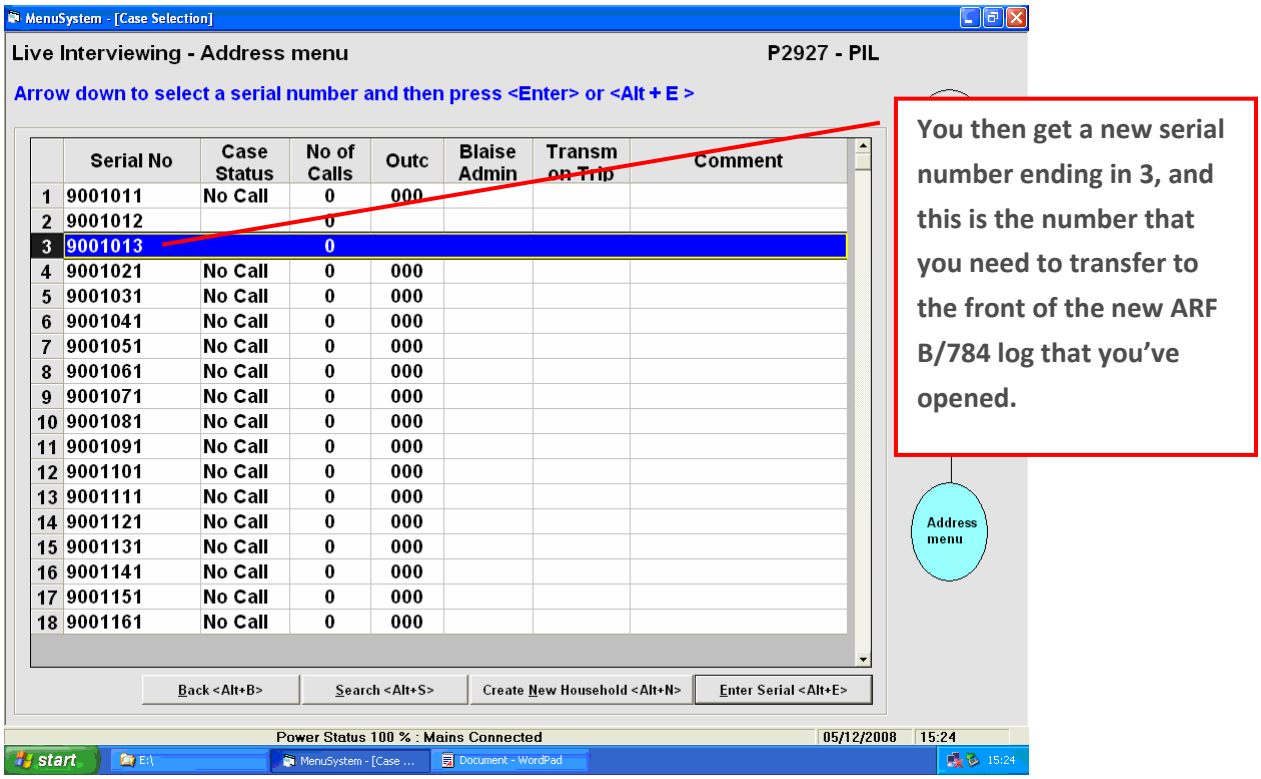
Note that you need to create the new serial numbers on your laptop in all cases where CAPI tells you to, **whether or not you will yourself be able to interview split household**. You also need to create a new serial number, for example, in cases where you have not found follow-up details for a split household (code as 671) or if the household has moved outside your area (code as 673).

To create new households follow the instructions below:





You will need to enter a new household number. You can see that in this example there is already a second household, so in this instance you would type a <3> in this box.



You then get a new serial number ending in 3, and this is the number that you need to transfer to the front of the new ARF B/784 log that you've opened.

10.1.4 Using the new split serial numbers

Interviewed split households

For **interviewed split households** (ARF B), try to trace the household (more details on tracing in chapter 10). If you trace them you can proceed with the interview as normal using the new split

serial number you have created. CAPI will copy over the information from the original household and knows that only the named mover(s) should now live in this serial number.

If you cannot trace a split household on an ARF B you should code it as 671 ‘certain hhold moved but no follow-up address found’ and send back to the office.

If the split household on an ARF B has moved outside your interviewing area, speak to your project manager first and, if they agree, code them as 673 and send back to the office for reallocation.

Completing the Household Grid

If you managed to trace a mover, you might find that there are other people living with them at their new address. You need to add these people as ‘new household members’ at the Household Grid.

Note that the follow-up questions about why and when the other people joined the household should be answered in relation to the household since the moment when our split-off mover(s) joined the household, even in cases where our split-off mover joined another existing household. For any existing residents, code their:

- month/year of joining the household to be the date when our mover joined the household;
- reason for joining to be the reason why they became a part of our mover’s household (e.g. marriage).

For example, if one of our sample members left their original household to get married to someone from outside the sample who has two children in the household already, the partner’s reason for 'joining' should be coded as marriage and the children’s reason would be coded as 'other'. The date of their joining would be the date our mover moved into the address.

Ineligible split households

For **ineligible split households** (784 log), we do not proceed with the case. You need to:

- create the split serial number in the CMS (as instructed by CAPI/copied onto 784 log);
- complete the short Admin block for the household – the outcome code 784 ‘Hhold no longer eligible - TSMs only’ will be automatically generated; and
- send the case back to the office.

ARF B or 784 log Following rules

CAPI will determine whether the split household should be interviewed, or not based, on the status of the people in the split household. You do not need to memorise the specific ‘following

rules' although you should be aware of them so that you can explain to respondents why we want to interview some people but not others.

Sample Member Type – Original/Permanent or Temporary

In order for us to identify which sample members we would like to follow and re-interview in future waves, we have categorised the sample into three groups:

1) Original sample members (OSMs)- those who were members of an original IP1 household, and any natural children of female OSM's;
2) Temporary sample members (TSMs)- those who have moved to a household later than the start of a study; and
3) Permanent sample members (PSMs) - temporary sample members who have fathered children with an original sample member (further reasons for becoming a PSM may be elaborated in the future as the study develops.).

Following rules

When someone moves, the CAPI will look at their sample member status to determine whether you should open an ARF B or 784 log – i.e. whether we want to interview them or not.

We always want to keep track of OSMs and PSMs throughout the study. Therefore, if an OSM or PSM moves we will try to follow them and interview them. If a split household includes any OSMs or PSMs, CAPI will ask you to open an ARF B.

TSMs are only temporary members of the sample who we are interested in because they have joined a sample household temporarily. If a TSM moves and is no longer living with any OSMs or PSMs, we would not want to follow and interview them; if a split household includes TSMs only, CAPI will ask you to open a 784 log.

You will also be asked to open a 784 log (not-interviewed) if someone has moved out to go to prison and is not intending/expected to return to the household.

The following is an example temporary sample member scenario: at the last wave of *Understanding Society* we interviewed a household that was comprised of a couple Michael and Sue and their lodger, Lucy. Michael and Sue are OSMs but Lucy is a TSM as she only moved into the household 18 months ago and was not living in the household during the first wave of *Understanding Society*.

When we go back to the household at this wave, we find that Lucy has moved out of the original household. Michael and Sue are still OSMs and living in household 1. In household 2, Lucy is still classified as a TSM but because she is no longer resident in an OSM household, she is ineligible for interview.

10.1.5 Whole household moves

Please note that if you find out that everyone in the issued address has moved out, it may not necessarily mean that you need to open split households. In such cases you should first trace the household to their new address. If you cannot trace the household but are certain that the household has moved, code this as a 671.

If you manage to trace someone in the household, the way to proceed depends on whether you find out that the whole household has moved together to a new address, or whether the household has split and is living in two or more new addresses:

If you find that the whole household still lives together at a new address

No split households need to be created – the household (i.e. the people) are still together, only the address of the household has changed. In such cases:

- continue to use the issued serial number and ARF;
- in the Admin block, code 2 'No issued individuals resident', at question 'OrigAddStat' (from ARF A.8) and record the new address details in the Tracing section; and
- if you manage to trace & interview the household, code people as resident at this household, and indicate that the interview is not being conducted at the same address where the household was interviewed at the last wave at the question 'OrigAdd' (at the end of the Hhold grid).

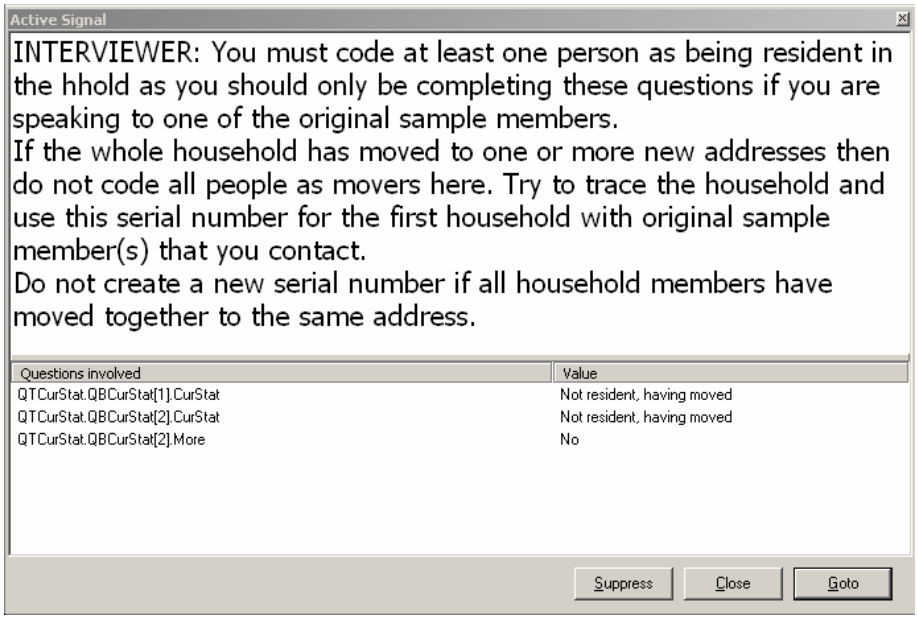
Note that if the household had told the University of Essex that they had moved before the household was issued, the new address will already appear on your ARF (so you don't need to do tracing) and 'OrigAdd' will be automatically computed as 'No'.

If you find out that people in the household now live in more than one address

You could also come across cases where, once you have spoken to one of the household members, you find out that the household has split and moved to different addresses.

In such cases, when completing the CAPI household grid (by talking to one of the household members you have managed to trace):

- you need to code at least one person as resident in the issued household. If you try to code everyone as 4 'Not resident having moved', an error message will be displayed (shown below);
- continue with this person's interview in this serial number;
- record the person's updated address in the Admin block; and
- the other people can be coded as movers (4 'Not resident having moved') and split households created for them.



10.2 The exception to the rule: creating split households from unproductive households

The process described above should be followed in the vast majority of cases when there are split-off movers. There are certain situations, however, where we have found that it would be useful to be able to create a split without first having to complete the household grid in the original household, including:

- Cases where a split-off mover has been contacted and the split confirmed but it is not possible to interview at the original household due to e.g. non-contact, refusal;
- If an Early Bird split-off mover has requested an interview for a date that is before you have had time to interview at the original household (creating the split in the normal way would be too late).

To deal with such cases, we have now developed an alternative facility in the CAPI to manually enter the residential status of each people in a split household, as opposed to the CAPI doing this for you automatically based on the household grid coding at the original household. This will be covered in your briefing. Note that since there is a higher chance of miscoding and errors with this function, **please contact the office for advice if you think you need to make use of it in field.**

11 Tracing sample members

It is very important that we re-contact and interview as many sample members as possible in order for the study to continue. Therefore, we will also follow any IP4 sample members (core sample) who have moved, and interview them at their new address, with the exception of those who:

- have moved outside GB (may be eligible at later waves if they return to GB);
- are in prison; and
- TSM only households.

In IP4, we will also attempt to locate untraced split-off movers from IP3. Since we were unable to trace these movers during IP3 fieldwork, we are asking the original household members whether they may have acquired new information on the whereabouts of the mover in the meantime.

Note that a mover may be a child aged under 16 who moves without any other adult sample member. These children should be followed to their new address and any eligible adult at the new address should be interviewed. For example, if a child moves in with his/her grandparents, the grandparents would become eligible for an interview even if our sample child is too young to be interviewed himself/herself.

You are expected to make reasonable attempts to contact and /or trace the sample members; this may require more than one visit. Any untraced movers count against our response rates since we are losing people from the sample.

If you find a new address and, in general, that address is within 15 miles of the original address or is close to your own home, you should attempt the interview at the new address (and be prepared to follow up further moves).

11.1 Tracing activities

The tracing activities we ask you to carry out are as follows:

- attempting to contact the sample member by phone – you **must** try all telephone numbers provided on the Sample Information Sheet (SIS) and any new numbers established via tracing;
- attempting to contact neighbours/ local residents;
- attempting to contact the current occupants of the address;
- attempting to contact the stable contact;
- sending a stable contact letter to any stable contacts living outside your area, detailing that you have been trying to make contact with the sample member to no avail, and asking them to provide you with any current contact details;

- leaving a tracing letter with anyone you feel would know the sample member's whereabouts, such as current occupants/neighbours/stable contact; and
- consulting electoral registers (optional), maps, phone books, the police, public records, or other local shops and services such as estate and letting agents, post office etc. This could prove useful for incomplete addresses.

Please note that these tracing activities are designed to run simultaneously and we expect that each activity will be attempted in the order that you think is best**.**

If you are unable to access a hard copy of the electoral register, you could try online facilities such as the website **www.192.com** to access information from the electoral register on an individual basis. This is particularly useful for remote dwellings should you encounter any.

11.1.1 Contacting neighbours

To find a new address, ask the current residents of the issued address or neighbours. They might not know the whereabouts of the sample member(s) but they may be able to direct you to friends or relatives nearby who will know how to contact them. If you are still unable to find the whereabouts of the sample member you should contact the stable contact.

11.2 Tracing letter

If someone appears to know the whereabouts of the sample member/household but is reluctant to pass this information on, you should ask the person if they would be willing to send a letter on to the sample member for you. In these situations, you have been provided with a **tracing** letter and two types of envelope: one addressed to *Understanding Society* (postage paid), and the other blank.

Who to address the letter to

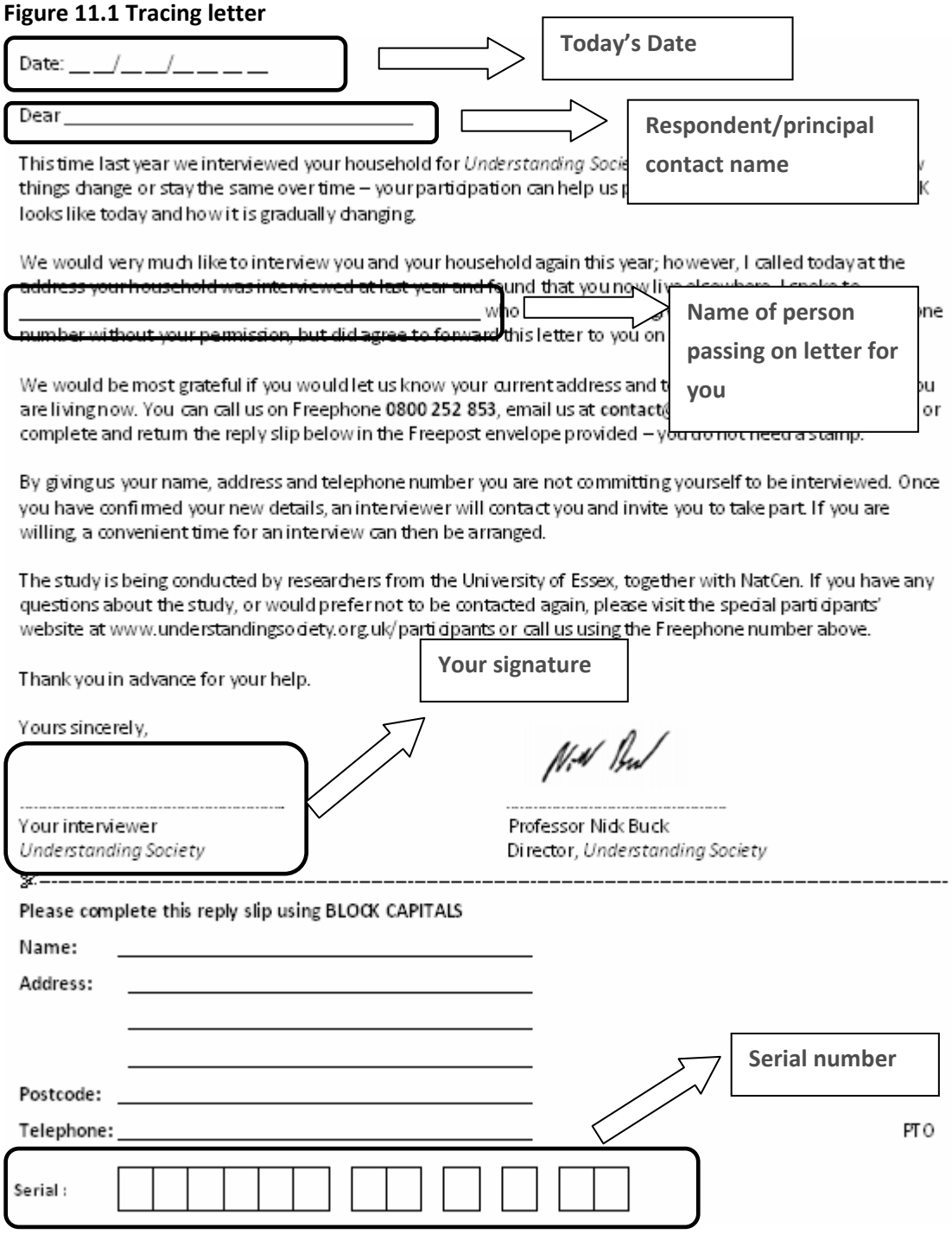
In the case of whole household moves, the tracing letter should be addressed to the principal household contact. For any individual sample member(s) who have left the original household and who need to be traced, separate tracing letter(s) should be completed for each individual.

The tracing letter informs the sample member that we have been trying to contact them as part of the latest stage of the study, but the address we have for them is not correct. The letter is signed by Nick Buck from ISER and asks the sample member to complete the reply slip and return it to ISER. It also quotes the *Understanding Society* contact details in case the sample member requires more information about the study.

If you are leaving a tracing letter with somebody you will need to fill in the details as shown below, and:

1. Complete the following information on the letter: date, principal contact name or sample member's name, the name of the person you spoke to, your name, serial number and check letter ;
2. Put the letter and the *Understanding Society* return envelope into Queen's Head envelope, seal it and write the sample member's name on the outside;
3. Ask for this to be posted or passed on to the sample member, so they can get in touch (NB they will need to write the address on the envelope before they post it!).

Figure 11.1 Tracing letter



11.3 Contacting stable contacts

If current residents/neighbours do not know where the sample member(s) have moved to, you should contact the stable contact. During previous interviews, respondents were asked to provide details of someone outside the household who could be contacted if the sample member had moved address and the interviewer was unable to locate them. Details of the stable contact can be found on the SIS.

You should contact the stable person by:

1. Telephone;
2. If no telephone number or no contact via the telephone, visit the address, if it is in your local area (i.e. within 15 miles of the original address); or
3. If no contact after several visits to the stable contact, leave a stable contact letter completing all the relevant information on the letter.

If you visit/call the stable contact you could say something along the lines of:

"Last year your [relationship to stable contact], [Title, Surname] took part in a study for NatCen and they gave us your [address/telephone number] so that we could contact you in case they moved address. I have tried to contact [Title, Surname] at their last address, but have not been able to speak to [him/her]. Do you have an address or contact number for [Title, Surname] for where they are living now? By helping us to contact your [Relationship to stable contact] you are not committing them to be interviewed."

Stable contact letter

This letter is to be used when you cannot make contact with the stable contact either by phone or in person. It explains that the sample member is part of a research study but that you have not been able to get in touch with them and provides details of how the stable contact can inform ISER about the sample member's new address. It also mentions that completing the letter does not commit the sample member to participate in an interview this year.

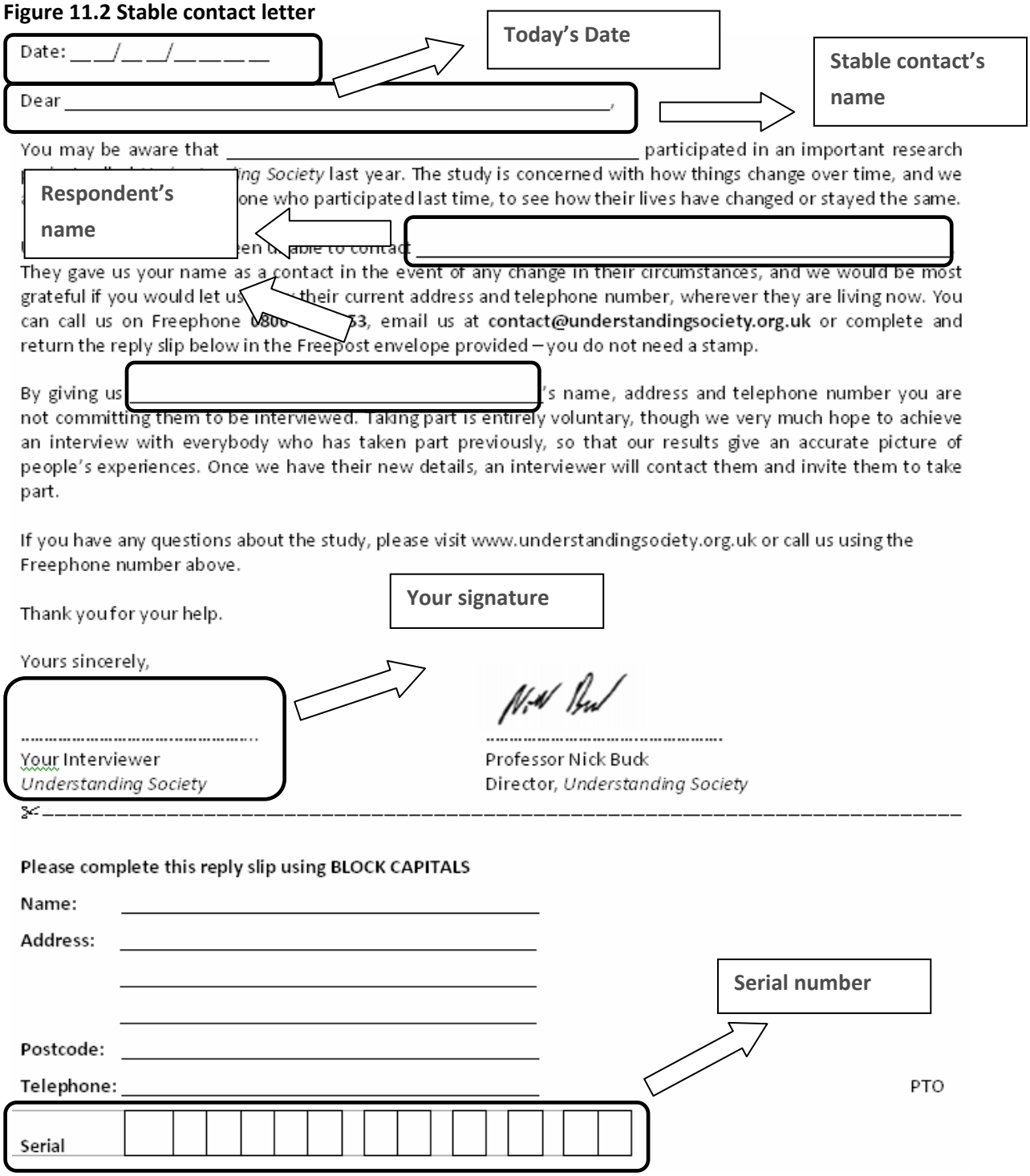
You may need to complete a letter for each member of the household as they might have each supplied different stable contact details. You will need to fill in various parts of the form, as indicated below, then:

- Complete the following information on the letter: date, stable contact's name, sample member's name/ principal contact's name, your signature, serial number and check letter; and
- enclose the letter and University of Essex freepost envelope in a Queen's Head envelope, especially if you are posting it through the stable contact's front door.

Please note that you will need to use the sample member's person number in the last two boxes when completing the serial number. A person number for each sample member can be found on the first page of the SIS, in the individual information section.

If you have the same stable contact for everyone in the household, then you will only send one letter for that household, and should use the principal contact's name in the body of the letter.

Figure 11.2 Stable contact letter



11.4 Institutions

Sample members who have moved into an institution remain eligible for interview at their new institutional address, with the exception of respondents having been sent to prison.

Prisons

Sample members interviewed at IP3 who have moved to prison are exempt from interview at IP4. Please code them as 'In prison' in the household grid and indicate whether they are likely to return to the household after release. If they will return to the household, they are kept in the household and they are eligible for a proxy interview at this wave. If a mover to prison will not return to the issued address after their period in prison, they are ineligible for interview at this wave and CAPI will ask you to create a new split household for them- create the split household and the ineligible outcome 784 will be automatically generated.

Nursing Homes

You should attempt to interview anyone from the existing sample who has moved into a nursing home. However, do not interview others within the institution.

University/ college

If a young person has left the parental home to live away at University or College either in a private household or halls of residence, a split off household should be created. If they have moved into halls of residence at University/College you should interview only the sample member, not all the other students that are living there. If they have moved into private accommodation, interview the sample member plus all others who are resident.

Obtaining an interview in an institution

Obtaining an interview with someone in an institution may sometimes be difficult. However, if the respondent is in a hostel (e.g. YMCA), nurses' home, hospital or resides on an army base, you should be able to make direct contact with the respondent by a visit or telephone call.

Sometimes you may need to speak with the warden (or equivalent) before you can do this (either by phone call in advance, or on arrival), so we advise that you contact a managing authority in advance out of courtesy. Some wardens will turn down interviewers unless they have telephoned to pre-arrange an appointment and are known to be expected by the individual. Therefore you may need to make an appointment. It is vital that you make such arrangements as early as possible, so do not leave these sample members until last - make them your first priority.

If a warden (or equivalent) asks for your contact details, you can give them your NatCen mobile phone number. If a warden (or equivalent) asks you for a written description/confirmation of the project, please contact the *Understanding Society* Unit in Brentwood and a researcher will write this on your behalf. We have decided that letters will not be written in advance as circumstances will vary.

Where a sample member has moved to a care home (or similar environment), it may be helpful and reassuring if a family member of the person you are interviewing can be present whilst you carry out the interview. If the person is unable to complete a full interview (due to a language difficulty or disability) we would like you to complete a proxy interview with a suitable adult (see chapter 12. on who is eligible to be a proxy informant).

11.5 Split-off households

ISER may have been notified of a sample member moving from the household since the last time they have been interviewed, for example, the sample member may have returned a Change of Address card with their new contact details to ISER. In these circumstances the sample member will be treated as a suspected split-off mover and will need to be dealt with in the field.

Suspected split-offs will be included in the issued IP4 household (rather then being put in a separate household) and this will be indicated on Sample Information Sheet (SIS) under the 'Suspected split-off mover?' column. The third page of the SIS will provide any new contact details that the suspected split off has provided to ISER.

For suspected split households, you MUST visit the original household first and confirm that the sample member is no longer resident at the address before using any of the new contact details provided on the SIS. For data protection purposes you should not mention the new address or telephone number to anyone other than the sample member named as the suspected split-off.

If a member of the original household provides you with contact details for the suspected split-off which differ from the address provided on the SIS you MUST use the contact details provided by the original household first. If you are unable to find the suspected split-off mover at this address you should then attempt contact using the details given on the SIS.

If the original household is able to confirm the sample member has left the household, and you have been able to trace the split-off mover you should treat this as you would any other mover (i.e. open an ARF B and generate a new household). If the split-off mover's new address is in your area, you should attempt to do an interview; if the new address is outside of your area the case should be returned to the office to be reallocated to another interviewer.

The advance mailing for the suspected split-off will be sent to their new address (i.e. the one they have notified ISER they have moved to) and so if you find that they have not moved or that the address they provided ISER with is no longer valid, it is likely that they have not seen a copy of the letter and you should provide them with a copy of the generic advance letter.

11.6 Incomplete addresses

There may be instances where an address is inaccessible or you cannot find it.

If any of the addresses provided are incomplete, or are complete but cannot be found, you should check with local residents, maps, directories, the police, or other local shops and services such as estate agents etc in an attempt to find the correct address.

11.7 Movers and traced cases outside your fieldwork area

In the instances where you have successfully traced the sample member, but the new address is too far for you to cover, you must check with your team leader. If they agree there is another interviewer better placed to cover the case, return the case to the office with Outcome 673 for reallocation to another interviewer. You must record your tracing activities in detail for these cases. This is because direct contact has not yet been made with the sample member and there is a possibility that tracing might need to be picked up again by another interviewer. CAPI will route you to the relevant questions in the Admin block.

11.8 Unsuccessful Tracing

If you have been unable to trace the sample member to a new address, you will be instructed to return the case to the office with Outcome 671. As you are tracing, you should record what you have done and the outcomes on the ARF and you should then enter these details in full in the Admin block.

We are particularly interested in what happened when you tried to contact the follow up addresses (and what those addresses were), the stable address(es) and each telephone number. Therefore, in addition to coding the actual tracing activities you have carried out, you are asked to record in detail what happened when you attempted to contact (i) the stable address(es), and (ii) each telephone number provided on the Sample Information Sheet (SIS).

You should use all the information provided on the SIS and gathered during tracing before returning the case to the office. There is space for you to record any further information which you think may help tracing, and - should you need it - there is the usual space at the end of the admin block for you to record "any information useful at re-contact".

NatCen will send untraced cases to ISER, who will then conduct further tracing such as contacting the sample member by email. If ISER successfully trace the case, the new address and/or telephone details will be sent to Brentwood so that the case can be re-issued to a field interviewer as required.

12 The Interview Process

12.1 Overview of data collection instruments

The data collection instruments and their average timings are:

- 15 min CAPI household questionnaire (including the enumeration of the household i.e. the household grid);
- Individual Adult CAPI questionnaire for all aged 16+ (33.5 min for adults in the core sample, 38.5 min for adults in the refreshment sample);
- ca. 10 min adult CASI or paper self-completion;
- 10 min CAPI proxy questionnaire; and
- 10-15 min Youth paper self-completion questionnaire for all aged 10-15.

The household questionnaire will vary in length because larger households will take longer to enumerate whilst single person households will take less time. The enumeration will take approximately 5 minutes on average followed by a further 10 minutes (approximately) of questions for the household. This applies to both core and refreshment households.

The adult interview contains extensive routing, so individual interview lengths will vary considerably. The main factors that will affect individual interview length are employment status, number of children in the household, whether the respondent receives benefits and whether the respondent is a new entrant or a previous respondent.

The refreshment sample individual interviews are longer on average due to the larger number of new entrant modules that will need to be asked, including e.g. partnership and fertility history.

12.2 Planning your work/tracking progress

If you have a large household you are likely to have to make multiple trips to complete all interviews and to collect any paper self-completions (both adult and youth). ARF A (p. 4) and Refresh 1A/1B (p. 4) provide space for you to keep track of the interview progress. It is not mandatory for you to fill this in, but you may find it useful when tracking progress of the different elements.

12.3 Proxy interviews

You should attempt to get a full individual interview with all respondents. You should not take a proxy interview unless you are absolutely sure that you are unable to get a productive interview. For example, if one adult is out when you first call, then you should make another visit to attempt to interview them rather than taking a proxy interview from someone else.

There are certain criteria for determining whether someone can act as a proxy. A proxy informant must be an **adult aged 16 or over** and either:

- a close relative;
- another adult in the household who knows the respondent well; or
- be nominated by the non-participant.

12.4 Recording contact details

It is hugely important that we obtain and maintain as much contact information as possible about the respondents. One of the biggest challenges for longitudinal studies is finding people who have moved since their last interview. The more information we can collect about how to contact them at this interview, the better chance we have of finding them in the future.

You should check that each sample member's details collected at previous interviews are still correct and collect contact information for each new entrant to the household. CAPI will prompt you to do this. For new entrants or those we have not interviewed before, we want to collect full contact details including any personal telephone numbers (both mobile and landline phones) and email addresses. If a respondent is adamant that they don't want to be contacted again, then there is a code to use in CAPI at the point that contact details are collected.

You also need to check that the stable contact details given by each interviewed sample member at the previous wave are unchanged and to obtain a stable contact for each new entrant. Although this may appear to be time consuming, it is less onerous than having to trace sample members when they have moved.

Please also remember that we would like a different stable contact for each person in the household. The more contact details we have, the better chances we have of finding our movers. **It is important that you record stable contact details in CAPI and not on the stable contact section of the Sample Information Sheet (SIS)**.

Spelling of names, addresses etc.
As *Understanding Society* is a longitudinal study and we will be contacting and visiting respondents on a yearly basis, it is very important to ensure that ALL names, addresses and job titles are spelt correctly. Such details are used for mailing respondents and obviously their details need to be correct so that we create a good impression and materials are sent to the correct person at the correct address.

12.5 Collecting details about respondents' occupations

The job description the sample member gave at the previous interview will be fed forward. Please confirm whether it is still correct and amend if it has changed. For new entrants to the household

or those you have not interviewed before, you will be required to record their job description as described below.

Understanding Society requires coding the Standard Industrial Classification (SIC) to 4 digits rather than to the standard 2.

To code to 4 digits, the Operations team needs more detailed information e.g., if someone works in a shop, it is not sufficient to record "clothes shop" – we need to know what kind of shop, **so probing is essential**.

For example, if someone works in clothing manufacture - Table 12.1 below shows that "clothing manufacture" would not be sufficient in this case – **you need to probe for exactly what is made and what it is made with**. If more than one product or material is used you need to probe for what product is made the most. Note that you need to record what the **organisation** they work for makes, not just what they make within their role. If they can't tell you, write in everything they make and what they make it with.

The different 4 digit SIC codes for the manufacture of clothing for men, women and children are illustrated below:

Table 12.1: 4-digit coding for manufacture of clothing

4 digit SIC Code	Type of manufacture
1413	Manufacture of outer wear coats/suits/jackets/ trousers/skirts
1414	Manufacture of underwear/nightwear/shirts/blouses
1419	Manufacture of babies garments, gloves/ties/shawls/hairnets etc
1411	Manufacture of leather goods, except sports gloves and sports headgear
1431	Manufacture of other knitted goods: socks, tights
1439	Manufacture of other knitted goods**:** pullovers, cardigans

From Table 12.2 below you will also notice that 4 digit SIC coding requires greater detail than 2 digit. 'Glass manufacture' would be sufficient for 2 digit SIC coding but to code to the 4 digit SIC level, you would need to find out what type of glass was manufactured.

Glass manufacture: 2 digit SIC Code: 23.

Table 12.2: 4-digit coding for glass manufacture

4 digit SIC Code	Type of manufacture
2314	Manufacture of glass fibres
2313	Manufacture of glass inners for vacuum flasks
2312	Manufacture of glass mirrors
2391	Manufacture of glass paper

2319	Manufacture of glass wear for laboratory

Similarly, for teaching, just knowing that someone teaches in secondary education is not sufficient and more probing would be needed to determine what types of subjects and level of qualifications are taught. Table 12.3 illustrates 4 digit coding for teaching.

Table 12.3: 4-digit coding for teaching

2 digit SIC Code	4 digit SIC Code
	85.10: Pre-primary education.
	85.20: Primary education.
85.3: Secondary education.	85.31: General secondary education. 85.32: Technical and vocational secondary education.
85.4: Higher education.	85.41: Post-secondary non-tertiary education 85.42: Tertiary education.
85.5: Other education.	85.51: Sport and recreation education 85.52: Cultural education 85.53: Driving school activities 85.59: Other education n.e.c.
	85.60: Educational support activities

12.6 Adult CASI

Depending on the experimental group that they have been allocated, some adults will be asked to complete a CASI section (Computer Assisted Self Interviewing) as part of their interview. The IP4 CASI covers the following areas:

- Health and general well-being;
- Sleeping habits;
- Mental well-bring;
- Close friendships;
- Child-bearing intentions;
- Life satisfaction; and
- Sexual orientation.

Other adults will be asked to answer these questions on the paper self-completion questionnaire.

In addition, there are four CASI modules which have very complicated routing, and are only relevant for small numbers of people, covering:

- Life aspirations for Young People;
- Relationships with non-resident partners ;
- Child development; and
- Parenting styles.

Because of the complicated routing, these questions are not suited to be carried on a paper self-completion and are therefore always administered in CASI, whether the respondent completes the main part of the self-completion in paper or CASI. Therefore, some respondents might be asked to complete a paper self - completion as well as answer a few questions using the computer. See Appendix E for details of who gets asked these four 'always CASI' modules.

Completion by interviewer
You will be asked to record at the beginning of the self-completion section whether the respondent agrees to a CASI self-completion, and whether they will complete the CASI themselves or whether the interviewer will ask the questions, because the respondent is unable to complete it themselves, for example because of sight/ reading/language problems.

Security of answers
At the end of the self-completion section, you will be prompted to enter your interviewer number in order to lock the answers given by the respondent. After doing this, you will no longer be able to access the self- completion section. Please check that the respondent does not want to change any of their answers before locking the self- completion.

12.7 Paper Self - Completions

Paper self - completions are only administered to the adults who are in the relevant experimental group, and all young people (aged 10-15). Both self - completions have a blue cover on IP4.

If possible, you should ask respondents to fill in their self - completions during your visit(s) whilst you are interviewing other household members. If this is not possible, try to return to the household a couple of days later to collect them – this will ensure a higher return rate. Self-completions can be returned to Poole by the respondent as a last resort – envelopes are supplied for this purpose.

Both the adult and youth self - completion should take approximately ten minutes to complete. The questions on the youth self - completion are the same to those asked at Wave 3 and cover the following areas:

- Computer / Internet use;
- Family;
- Future intentions;
- School;
- Money;
- Health and nutrition; and
- Attitudes.

The questions on the adult self - completion are similar to those carried on Wave 1, Wave 2 and IP3 and cover the same areas as the CASI self-completion, without the four 'CASI only' modules (see section 12.6).

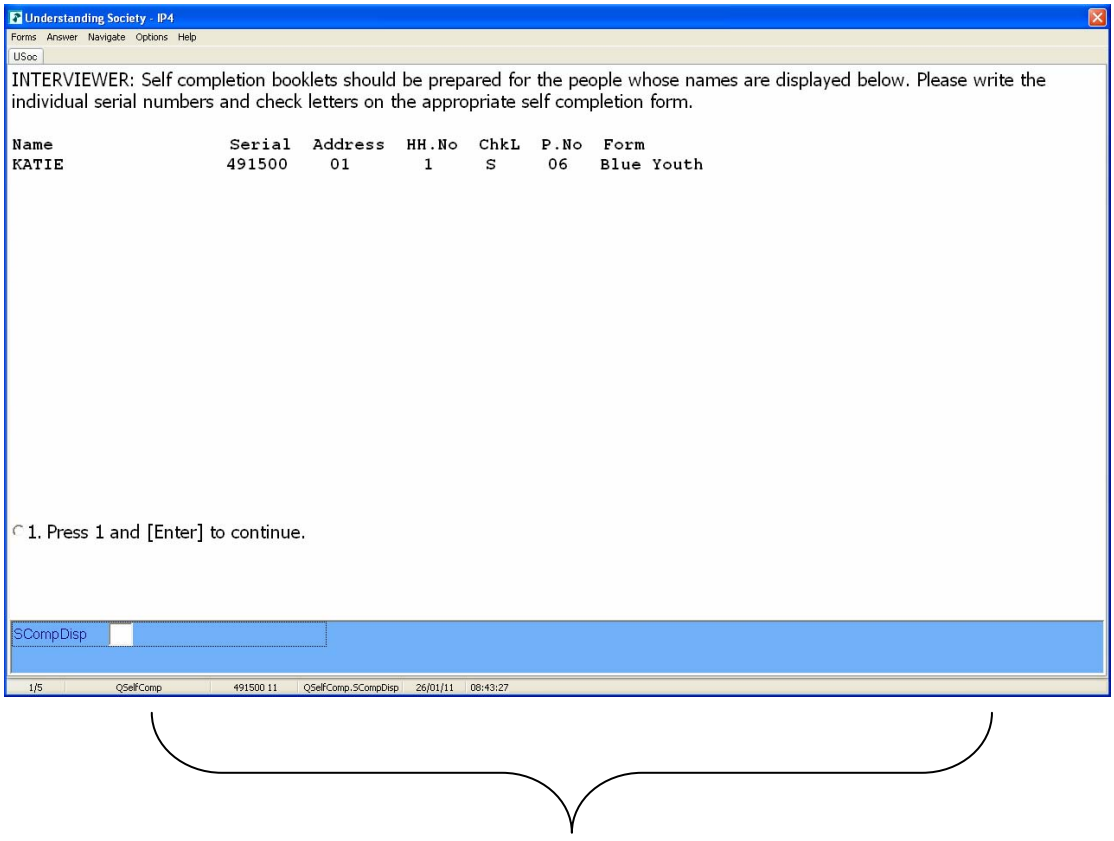
12.7.1 Administration of questionnaires

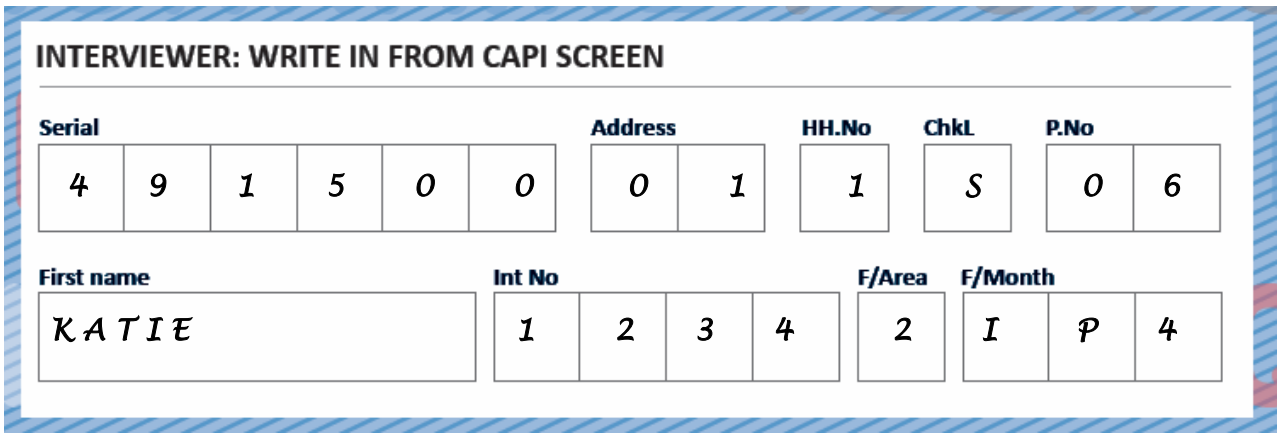
The CAPI has been structured in such a way that the paper self - completion details are stored in a parallel block and can be easily accessed. You can access this parallel block as soon as you have completed the Household Grid.

You must write the serial number, person number, check letter, the respondent's first name and your interviewer number on each questionnaire before handing it out. **Please ensure that you copy this information directly from the CAPI screen in self-completion parallel block and not from anywhere else such as the front of the ARF.**

The screenshots below show the information that you need to transfer from CAPI to the paper self-completion:

Figure 12.1 CAPI self-completion screen and self-completion front page





12.7.2 Distributing the questionnaires

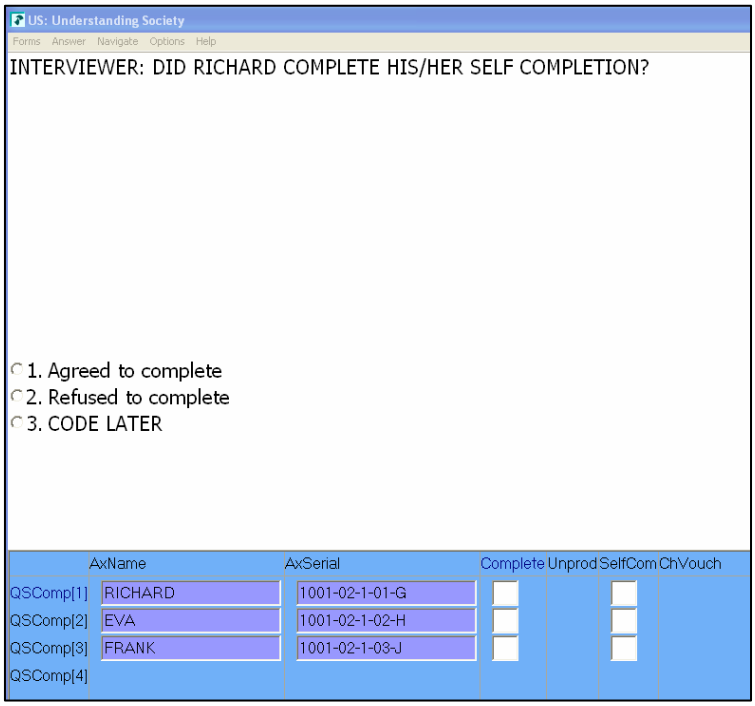
As mentioned above, you can give out the self-completions as soon as the Household Grid has been completed. **Be sure to distribute paper adult self - completions only in households in the paper self - completion experimental treatment which is indicated on the front of the ARF.** Young people aged 10-15, regardless of experimental allocation, should be given a self-completion. **However, before you administer the youth self - completion, you need to get verbal consent from the parent or responsible adult. We are not asking for written consent.**

All self - completions should be given out with a plain envelope so that respondents can return the questionnaires to you in a sealed envelope to protect the confidentiality of their answers.

If a young person has trouble understanding the questionnaire, please explain it to them. If they have reading difficulties, please help them or administer the questionnaire if necessary. A child should not be completing their questionnaire in front of a parent. They should be asked to go away and answer the questions in private, and return the questionnaire to you in the sealed envelope provided.

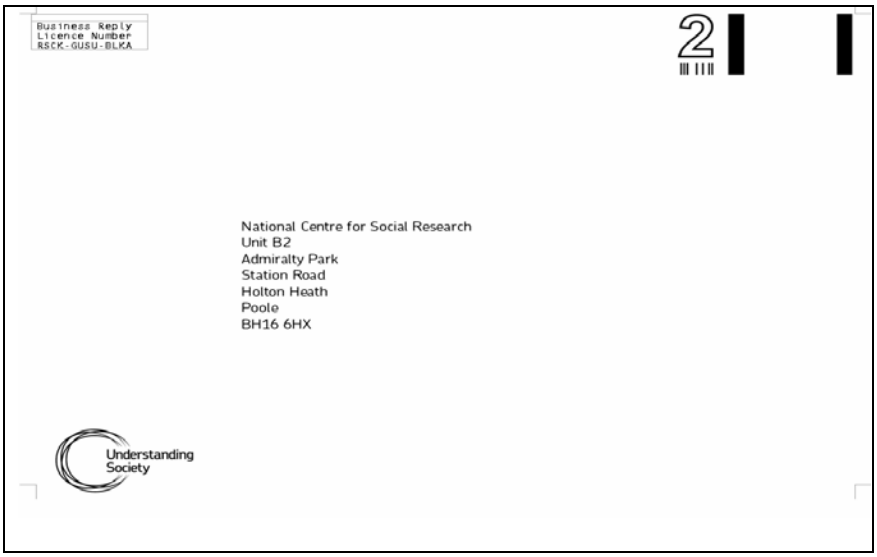
If a parent asks to see the completed questionnaire of their child please, refuse politely. State that you have guaranteed confidentiality to the child and this promise cannot be broken. If you think it would be helpful, offer to show them a blank questionnaire, before the child completes it.

You will need to record the outcome of all administered paper self - completions in the self-completion parallel block, so that we can track response (see the screenshot below). You can select 'code later' if you need to skip to another respondent in the household (e.g. if you want to give respondent X their questionnaire before respondent Y). If you do this, you will need to return to this screen at a later point to code whether the questionnaire for each child and adult was completed or not. You will also be asked to code an outcome if the respondent refused to complete the questionnaire.



Only as a last resort should you leave a self - completion to be returned to the office. In such cases please leave a freepost return envelope addressed to Poole (see figure 12.2 below) with the household, so that they can send the questionnaire to Poole directly. **Please do make every effort to collect the self- completions in person, either when you return to the household to complete other appointments or if you are in the area.**

Figure 12.2: Poole Freepost return envelope for self-completions



12.8 Change of address (COA) cards

For people in the refreshment sample households, and for new entrants/those who report not having received a card as part of the inter-wave mailing, you will be prompted by CAPI at the end of the individual interview to hand over a change of address (COA) card and University of Essex

freepost return envelope. The CAPI screen will also prompt you to copy the following information from the screen onto the back of the card:

- Respondent name (first name and surname);
- Respondent's 14 digit Personal Identifier (PID); and,
- Respondent's full address including postcode.

Please ensure you copy the details from the CAPI screen to the COA card accurately as these will be returned to ISER should the sample member move address, and ISER will subsequently have to update their records based on the information that you have transcribed.

12.9 Consent to data linkage

For IP4, we are going to be asking for consent to link to administrative economic records, held by the Department for Work and Pensions (DWP) and HMRC. Respondents in the core sample will have been asked for their consent at IP1. Therefore, for those core sample members who did give their consent at IP1, we will be confirming with them that they are happy for their consent to remain in place. For other people - core sample adults who did not give consent on IP1 and all adults in refreshment households – we will be asking for their consent on IP4. There will also be a follow up question asking respondents to give their rationale for consenting or not consenting, to provide us with more information on the types of concerns that people have.

12.9.1 Administering the consent form and leaflet

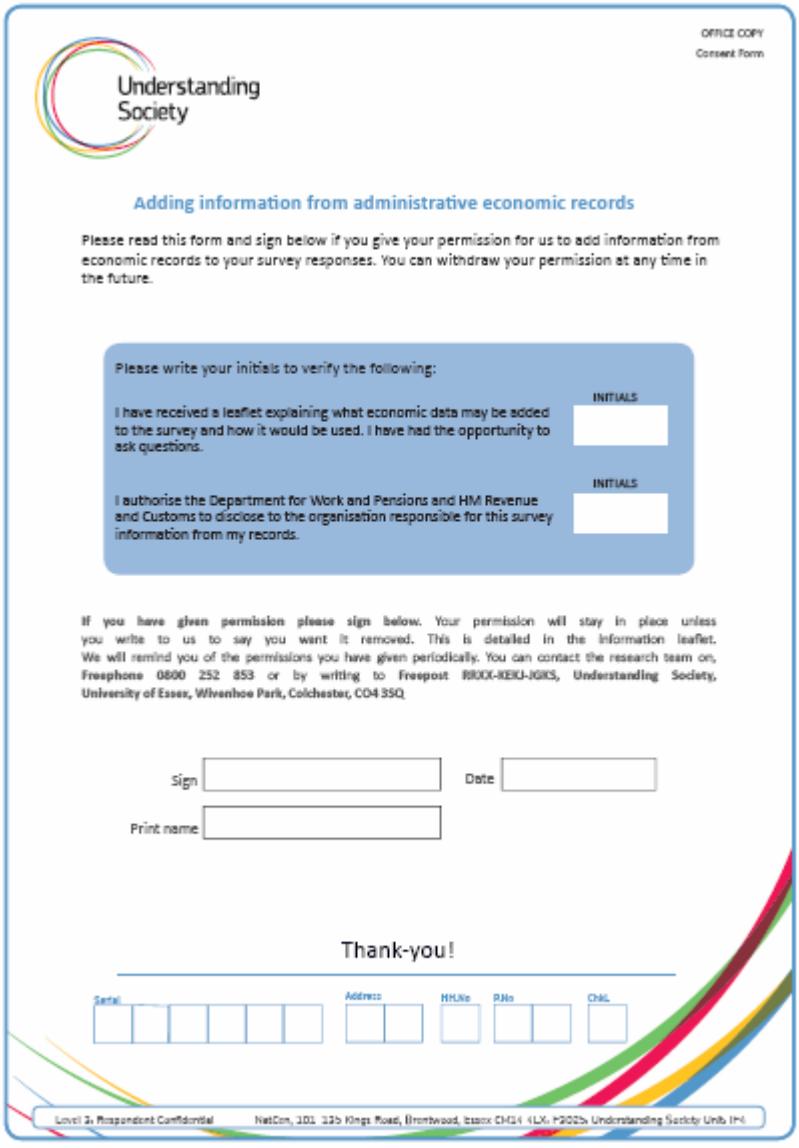
The CAPI will route respondents to the appropriate consents question, either to ask for consent or to remind them that they have already given it. When required, you will be prompted to administer both the consents information leaflet and consent form to the respondent (see Figure 12.3). You must make sure that the respondent reads the information leaflet whilst you are there - not only to enable them to ask any questions they may have, but because they will need to mark the consent form to say that they have read it.

The leaflet contains information on what records are being linked to, and the type of information that would be linked, such as national insurance contributions, employment and earnings. You should have familiarised yourself with the content before the interview to ensure that you are equipped to deal with any queries from the respondent. If a respondent raises concerns about data security, explain to them that all data is anonymous and will only be used for research purposes. If they have further concerns that you are not able to answer, remind them that they can contact the University of Essex and speak to one of the team.

If a respondent gives consent then they will need to complete the consent form. **Please note that is it compulsory that respondents enter their initials to confirm that they have read the**

information leaflet and give their consent, plus signing and dating the form. You will need to complete the respondent's serial number at the bottom of the form - the CAPI will list the serial number on the screen and will prompt you to do this. The consent form is carbon copy, meaning that you leave behind the bottom copy for the respondent as they will need this for their records. The top copy needs to be returned to the Brentwood office. Please make sure that you return the forms regularly throughout fieldwork.

Figure 12.3: Consent Form and Information Leaflet



OFFICE COPY
Consent Form

Understanding Society

Adding information from administrative economic records

Please read this form and sign below if you give your permission for us to add information from economic records to your survey responses. You can withdraw your permission at any time in the future.

Please write your initials to verify the following:

INITIALS

I have received a leaflet explaining what economic data may be added to the survey and how it would be used. I have had the opportunity to ask questions.

INITIALS

I authorise the Department for Work and Pensions and HM Revenue and Customs to disclose to the organisation responsible for this survey information from my records.

If you have given permission please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, **Freephone 0800 252 853** or by writing to **Freepost RRXX-KEKJ-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ**

Sign

Date

Print name

Thank-you!

Serial

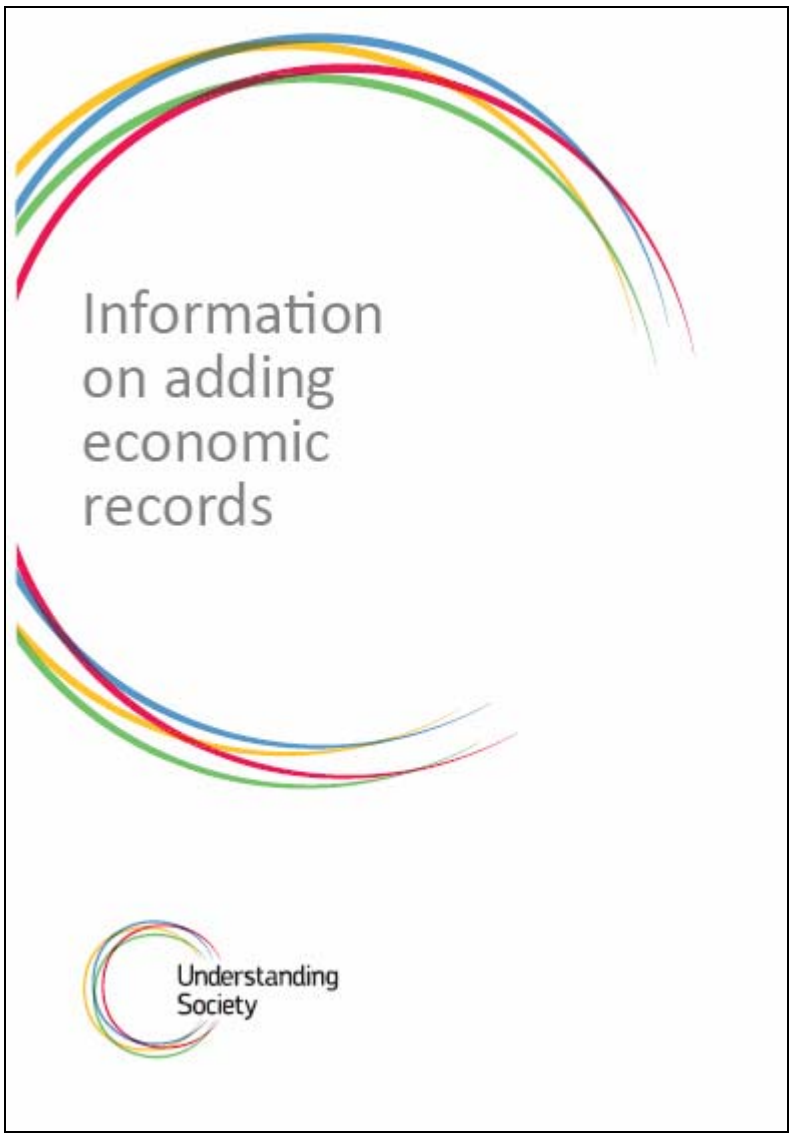
Address

HHUNo

PUNo

Child

Level 3: Respondent Confidential NatCen, 101 135 Kings Road, Brentwood, Essex CM14 4LX. ©2021a Understanding Society Units 1-4



12.10 Sound recording

We are hoping to take audio recordings of certain experimental sections and questions in the questionnaire. We are not 'testing' how well you ask these questions; the recordings will allow researchers to better understand the ways in which respondents answer the questions to check that the questions are written in the best possible way and that they collect as accurate information as possible. The sections of the questionnaire we are recording are:

- Annual events module;
- Disability status;
- Employment modules;
- Whether the respondent saves;
- Branching questions: political efficacy, neighbourhood cohesion; and
- Consents.

At the start of the interview you will be prompted to ask the respondent for verbal consent to audio record some parts of the interview. It is important that when the sample member agrees, you ensure you plug in your microphone as shown below. The laptop will automatically start recording the sections when you reach them in the CAPI interview.

During the briefing we will have stuck a coloured dot on your laptop to indicate where the microphone must be plugged into. Please do make sure that the microphone is plugged into this socket only -otherwise the recording will not work and we will lose valuable research material for these experiments.

12.10.1 Setting up the microphone

The microphone you have been issued with has been chosen for this project because it is light and easy to use. There is a wire length of 1.2m means that it can be placed easily between yourself and the respondent. The diagram below shows where the microphone socket is located on your laptop. The model of the laptop can be found by looking below the screen of the laptop (see picture).

N610c and N620c

The microphone socket for this model of laptop can be found at the front of the laptop (see picture). Of the two sockets, the microphone plugs into the one on the right.

Nc6220

The microphone sockets for these models of laptop can be found on the right-hand side of the laptop (See picture). Of the two sockets, the microphone plugs into the one on the right.

12.10.2 Returning sound recordings

How the sound recordings are returned to the office will depend on how large the files are and whether you have broadband. The method for sending the sound files will be covered in more detail in the briefing. If you have any questions about the return of the sound files during fieldwork please contact the office for advice.

13 Incentives and promissory notes

The vast majority of adult respondents in the IP4 core sample will receive their incentive as part of their advance mailing. For others, including the majority of adults in refreshment households, incentives will be sent by the office on completion of an interview. The office will also be sending out incentives for any youth questionnaires that are completed. **You will not be administering any incentives yourself on IP4** but CAPI will instruct you to hand out a promissory note to each respondent who is due to be sent an incentive (see section 13.2).

13.1 Incentive amount

The incentive amount on IP4 varies by sample type, and by experimental group. For the core sample, adults will receive either £5 or £10, with another group of the sample receiving an initial £5 followed by an extra £5 if all members of their household participate. The incentive amounts are exactly the same as carried on previous waves of the IP. For the refreshment sample, adults will either receive £10, £20 or £30 depending on the experimental group their household is in.

The incentive for the youth self - completion in both the core and refreshment households is £3, which is the same as in previous waves of the IP.

13.1.1 Adults in the core sample

All core adult sample members will receive the incentive (High Street gift voucher) as part of their advance mailing. Please note that if sample members do not wish to participate, they do not have to return their voucher, even if they offer to do so.

13.1.2 New entrants/sample members who have not received their advance mailing

In cases where a productive interview has been obtained but an adult sample member has not received their advance mailing, i.e. because they are a new entrant to the household or their advance mailing did not arrive, respondents are entitled to receive a new incentive.

The same rule applies to all refreshment households too. The first adult in a refreshment sample household who completes an interview will only be entitled to an extra incentive, depending on whether or not the household received the incentive which was sent as part of the household level advance mailing – there is a question at the end of the household grid to check for this. If the household received the advance incentive, the first adult receives this – if they did not, a new incentive will be sent by the office post interview. Every other adult interviewed in a refreshment household is entitled to an incentive.

All incentives will be administered by the office – all you need do is provide the respondent with a promissory note (see section 13.2).

13.1.3 Proxy interviews

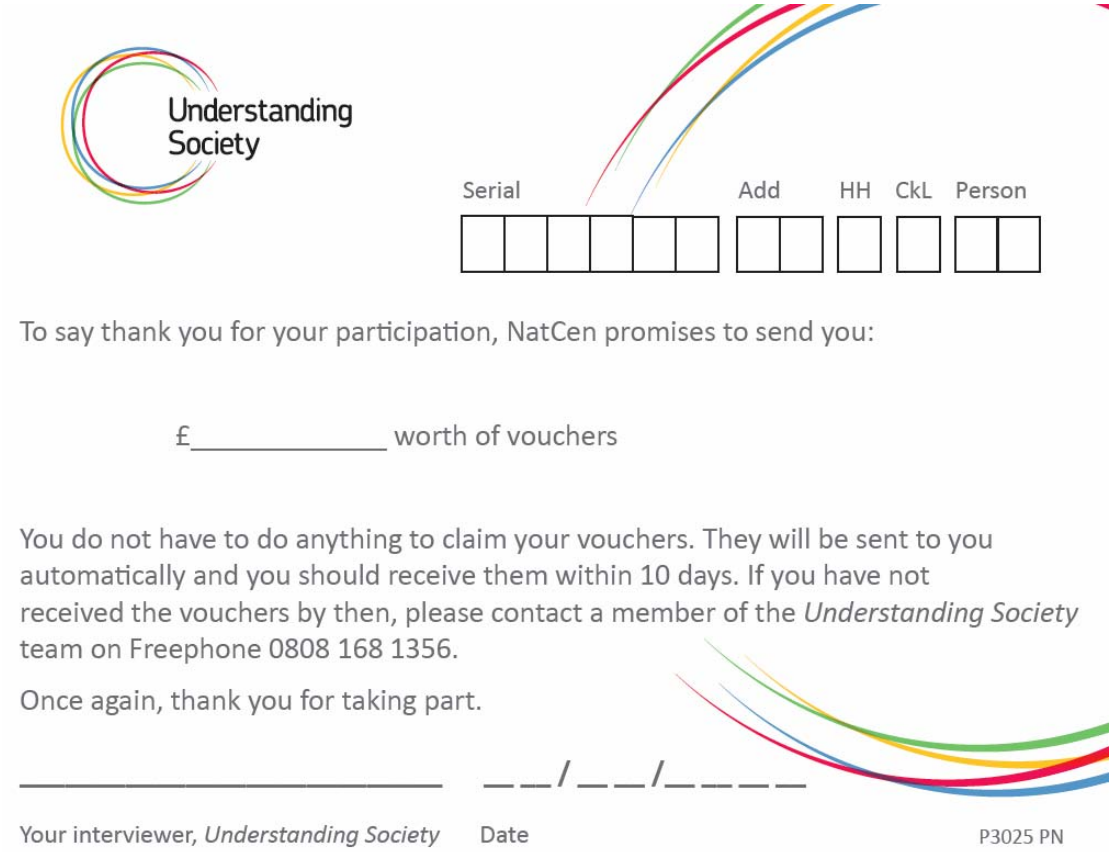
There are no additional incentives for proxy interviews.

13.2 Promissory notes

CAPI will prompt you to hand out a promissory note in cases where a productive interview has been obtained with someone who has not already received an incentive, or where a youth self-completion questionnaire has been returned to you during the course of the interview.

You need to fill in the serial number as it appears on the CAPI screen, enter the total voucher amount due (according to sample type/age of respondent/experimental group), sign and date it. **The note should then be left with the respondent** as a record of our commitment to send them an incentive. Reiterate to the respondent that **they should receive their incentive within 10 days of their interview**, and to call the freephone number printed on the note if not.

Figure 13.1: Promissory note



14 CAPI Interview

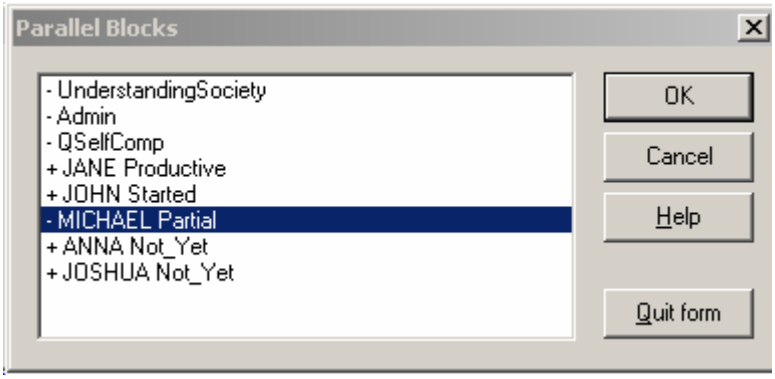
There are several elements to the CAPI questionnaire, which are covered in detail in this section.

14.1 Parallel blocks:

The CAPI questionnaire is structured within 5 main parallel blocks, these are:

- Household questionnaire;
- Individual questionnaire (one block per adult aged 16+);
- Split households (only for core sample);
- Self-completions (one block covering eligible adults and children aged 10-15 in household); and
- Admin.

The individual parallel blocks and the self-completion block will appear once you have completed the Household Grid (i.e. once CAPI knows how many people in the household are eligible for interview). The status of each individual's interview is also indicated next to their name. In the example shown below, Jane has already given a productive interview, John has only just started (given answers to a few questions only), Michael's interview is currently partial and Anna's and Joshua's interviews have not yet been started.



14.2 Household Grid and questionnaire

Ideally the household grid and questionnaire would be conducted with either the principal contact or their spouse/partner. For core sample households the principal contact will have been established at the previous waves (although this may have changed since) and is the person who owns or rents the accommodation. However, the person who completed the household grid last time or any other adult household member can complete the household grid and household questionnaire.

In the household grid the information collected at the previous wave (feed forward information) will be checked and any changes will be recorded. Information about any new entrants to the household since the last interview will be collected here.

As the refreshment sample has not been interviewed before, you will not have any previous interview data. You must complete the Household Grid as instructed by CAPI, recording demographic information about each eligible household member.

Feed forward information (Core sample)

Checking the feed forward information in the household grid from the previous wave should take 5 minutes on average, although this will vary considerably depending on household size and on whether any new people have joined the household. The household questionnaire should take 10 minutes on average. If any of the feed forward data is incorrect you are able to amend those details as necessary here.

14.3 Individual CAPI interviews

All adults aged 16 and over at the point at which the household is enumerated should complete an individual CAPI interview, which should be **on average** 33.5 minutes in the core sample households and 38.5 minutes in refreshment sample households.

The main topic areas covered at IP4 in the individual questionnaire are:

- Personal and family background;
- Ethnicity and religion;
- Neighbourhood;
- Health, disability and caring;
- Relationships;
- Annual events;
- Employment;
- Childcare;
- Finances; and
- Politics.

Some of the topic areas will only be asked of certain people such as those new to the household, re-joiners or those who have never been interviewed before. Appendix E lists all the questionnaire modules and the conditions under which they are asked.

It is also important to note that some of the topic areas covered in CAPI are sensitive and should be treated accordingly. The areas that some respondents might find particularly sensitive are previous relationships, financial questions (such as savings and investments) and benefits. For these reasons, it is extremely important that wherever possible you interview the respondent

alone and in private so they feel comfortable providing you with this information. It also helps to reassure them that the information they give you is confidential and no-one else will be seeing their answers.

Before starting work, familiarise yourself with the different types of benefits listed in Appendix B in order to be able to answer queries from respondents in the module 'Unearned income and state benefits'. Please note that 'winter fuel allowance/payment' does not count as a type of benefit for *Understanding Society*, and does not have to be recorded here.

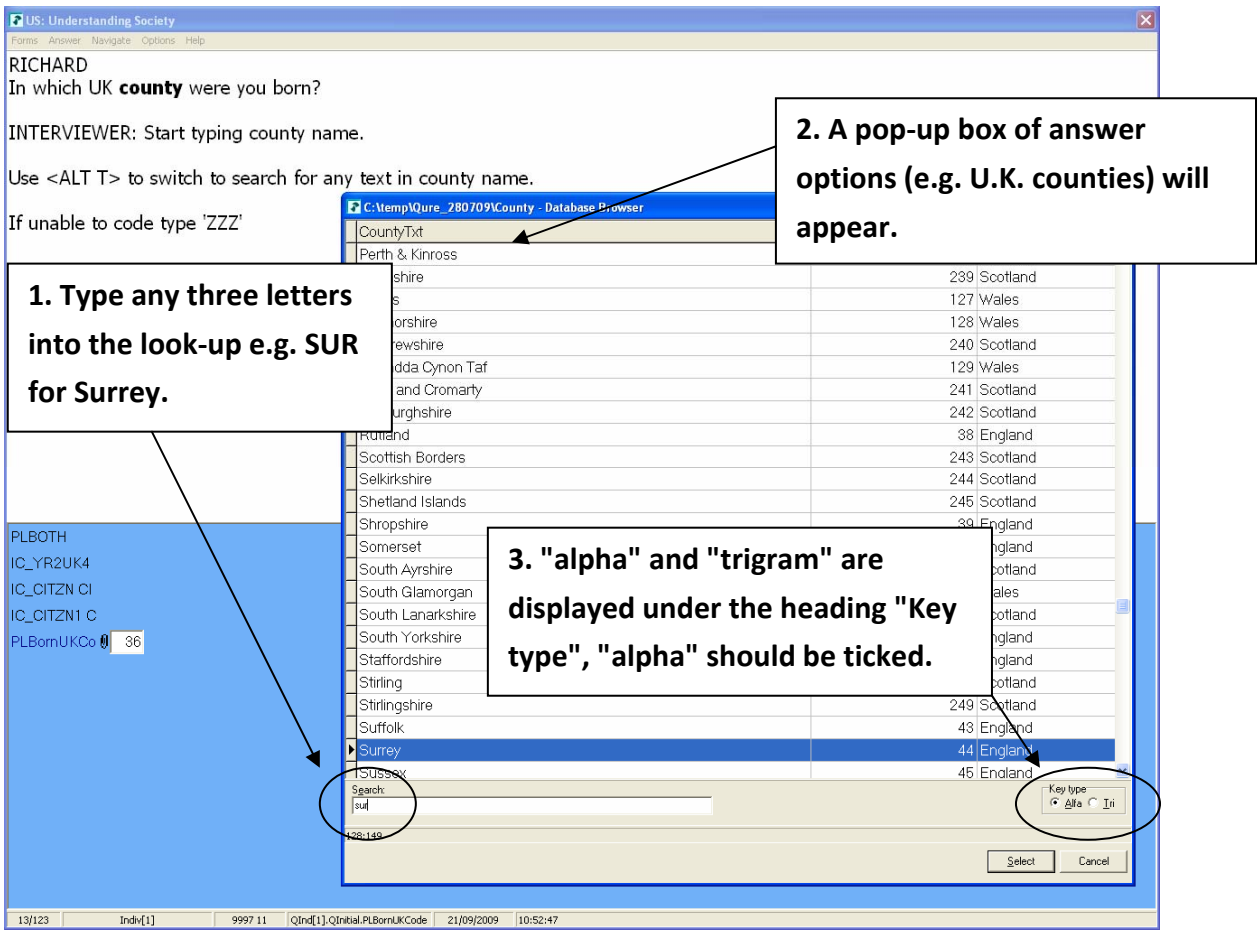
14.3.1 Help Screens

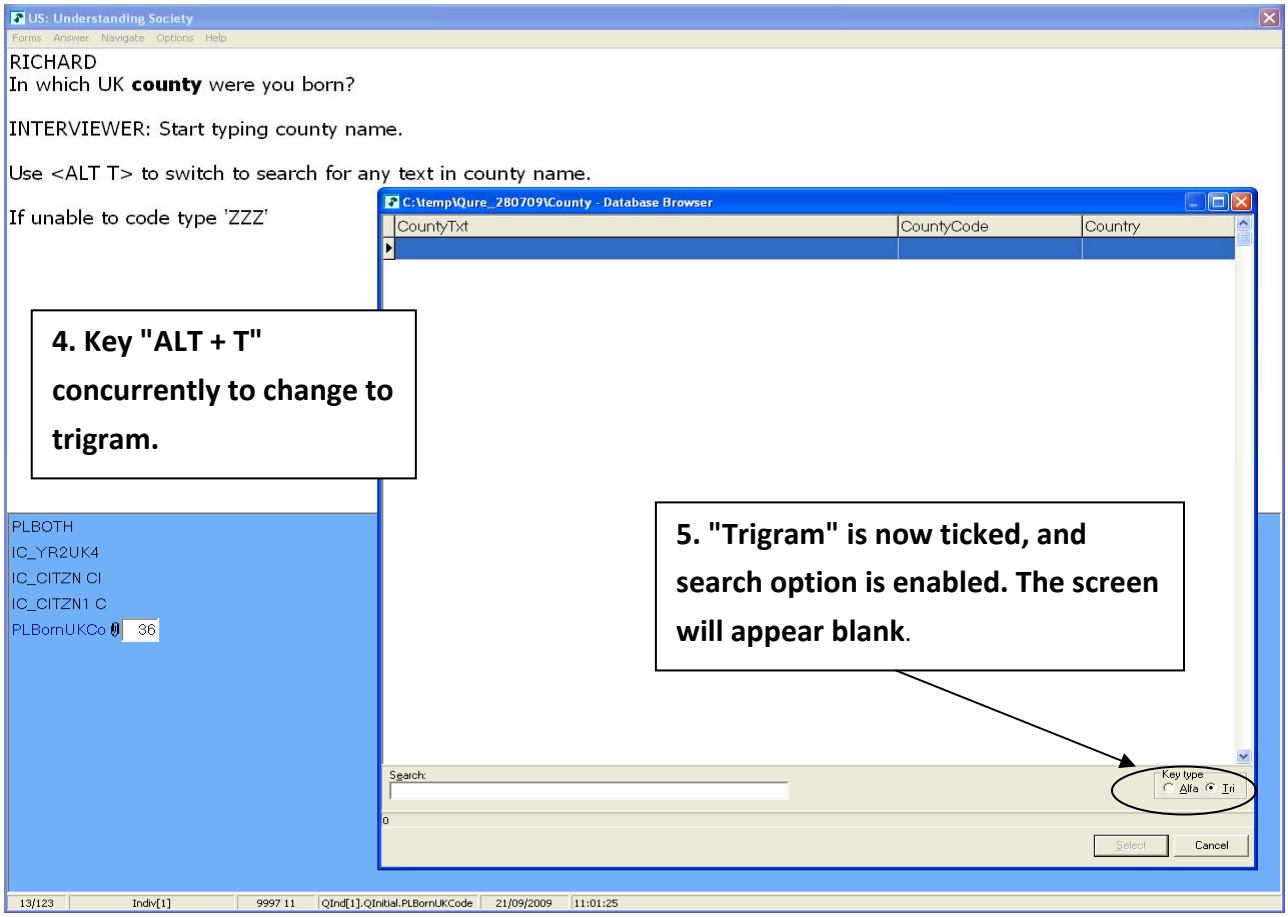
Information about individual questions will be found in the CAPI help screens rather than in these project instructions. There are many more help screens than you would find in a usual CAPI program, and you can access them by pressing <F9> when prompted at a particular question.

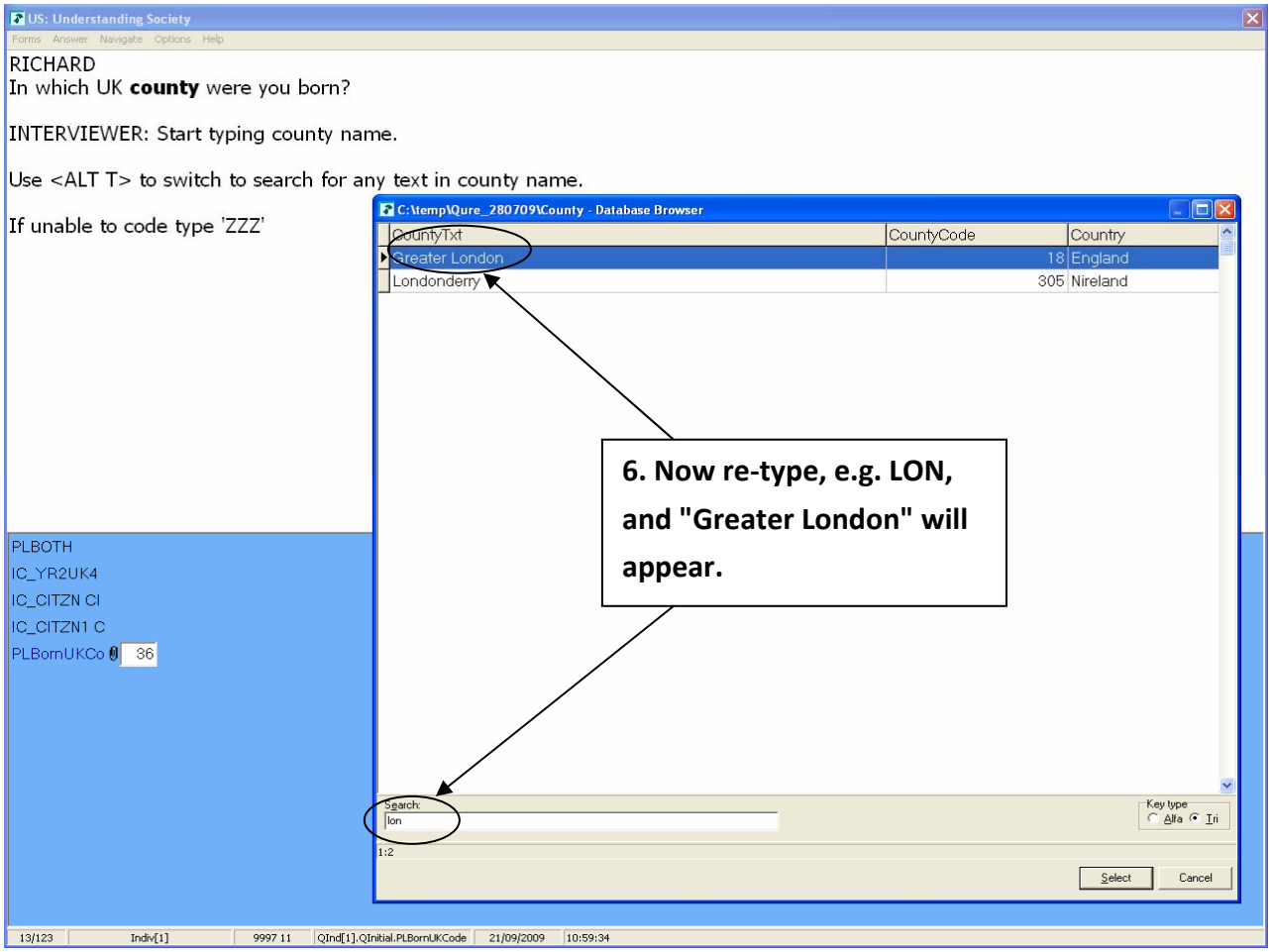
14.3.2 Trigram search tool

At CAPI questions which code counties/countries/school locations you will need to search from the extensive list of options available from our look-up files. For this reason we have included a trigram search tool. This tool means that you have only to type the first three letters of the county/country/school and the relevant location is then displayed. By default the search tool is automatically set to "Alpha" (which searches for the first three letters of the county), but this can be changed to "Trigram" (which searches on any occurrence of what is typed).

To make this change:


US: Understanding Society
RICHARD
In which UK **county** were you born?
INTERVIEWER: Start typing county name.
Use <ALT T> to switch to search for any text in county name.
If unable to code type 'ZZZ'
C:\temp\Qure_280709\County - Database Browser
CountyTxt
Perth & Kinross
239 Scotland
127 Wales
128 Wales
240 Scotland
129 Wales
241 Scotland
242 Scotland
38 England
Scottish Borders 243 Scotland
Selkirkshire 244 Scotland
Shetland Islands 245 Scotland
Somerset
South Ayrshire
South Glamorgan
South Lanarkshire
South Yorkshire
Staffordshire
Stirling
Stirlingshire 249 Scotland
Suffolk 43 England
Surrey 44 England
45 England
Search:
sur
Key type
Alfa
Tri
Select
Cancel
PLBOTH
IC_YR2UK4
IC_CITZN CI
IC_CITZN1 C
PLBornUKCo 36
1. Type any three letters into the look-up e.g. SUR for Surrey.
2. A pop-up box of answer options (e.g. U.K. counties) will appear.
3. "alpha" and "trigram" are displayed under the heading "Key type", "alpha" should be ticked.


US: Understanding Society
RICHARD
In which UK **county** were you born?
INTERVIEWER: Start typing county name.
Use <ALT T> to switch to search for any text in county name.
If unable to code type 'ZZZ'
C:\temp\Qure_280709\County - Database Browser
CountyTxt
CountyCode
Country
Search:
Key type
Alfa
Tri
Select
Cancel
PLBOTH
IC_YR2UK4
IC_CITZN CI
IC_CITZN1 C
PLBornUKCo 36
4. Key "ALT + T" concurrently to change to trigram.
5. "Trigram" is now ticked, and search option is enabled. The screen will appear blank.



This "trigram" function will then be enabled for all similar questions such as those which concern country of birth.

N.B - If a respondent was born within Greater London the most efficient way of coding this response is to type LON and "Greater London" will appear.

14.4 Unproductive and proxy interviews

At the beginning of the individual questionnaire there is a question about whether you are able to interview an individual (IFirstQ). If you are not able to get a productive interview you will need to record an individual unproductive outcome code and a second outcome code for any refusals.

For all unproductive interviews you should attempt to get a proxy interview, and you must record the outcome of the attempt to get a proxy interview as well. In all co-operating households proxy interviews should always be attempted unless the respondent explicitly refuses to have any information about them collected.

The individual level outcome codes can be found in Appendix C.

14.5 Admin block

You will not be able to complete the admin block unless you have an outcome code for each eligible individual. Ideally you should ensure that all are productive. If they do not appear as productive but you believe that you have completed this interview, re-enter the individual parallel block, press <End> and check whether there are any final questions that need to be completed.

If the interview is partial you will see some warnings which encourage you to complete the interview but you will be able to continue by suppressing any checks, nevertheless.

If it is not possible to complete a full interview then you must ensure you have an outcome code for each individual by going into their parallel block and recording an unproductive outcome. Remember that if you have traced the household, then you need to make sure all your tracing attempts and follow up addresses are recorded in the admin block. This ensures that we have a complete record of the efforts you went to, and we can calculate the correct fees.

14.5.1 Recording useful information for the future

As this is a longitudinal study, there are a series of questions in the admin block for recording interviewer notes about contacting the household. As the household will be re-visited in the future waves of the study, this information will be fed forward to the interviewer who visits the household next time (which may well be you), and so it is **essential** that you record as much information as you would find useful for any future visits. This includes things such as good times of day to call round, the best method of contacting the household or information about the address location. Remember to include appropriate information. For example, it is helpful to say ‘the respondent expressed a strong dissatisfaction with the length of the interview’ but it is not helpful (or acceptable) to say ‘nasty lady’.

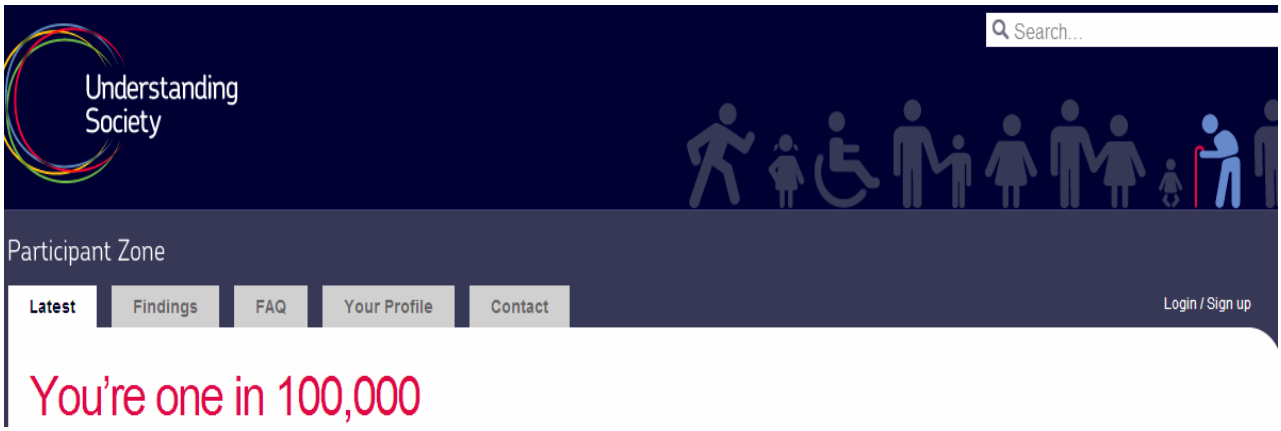
15 After the interview

In order to keep in touch with sample members between each wave of *Understanding Society,* ISER have developed a participant website and participant report mailing.

Participant website

The website provides sample members with more information about the study and allows them to sign-up for events and to receive updates from *Understanding Society*. It also allows them to let us know if their circumstances change (for example, if they move house). If they notify a change of address via the website they will receive a £5 voucher.

The participant website can be found at **www.understandingsociety.org.uk/participants**



IP4/5 Inter-wave mailing

Sample members will be sent a Participant's Update before their next interview on IP5 containing findings from IP4. They will receive this update in either postal or email format around 2-3 months before their IP5 interview. The aim of the update will be, again, to include them in the bigger picture and to share with them some of the things that have been learnt so far in the study.

16 Documents List

Document	Purpose	Briefing Pack (Quantity)	Work Pack (Quantity)
Before the Interview			
Sample Cover sheet with Early Bird Appointments	For use during Early Bird Period; to help manage Early Bird appointments	1	-
On the Doorstep			
Participant's Update 3	Included as part of Interwave Mailing; Provides survey feedback to respondents	1	-
Generic Advance letter (laminated)	For use on the doorstep	1	-
Generic advance letters (spare)	To be administered to those who did not receive their mailing/ new entrants	-	4
Information leaflet	For use on the doorstep	-	5
Doorstep Flyer	For use on the doorstep	-	5
Appointment Card	For use on the doorstep when arranging appointments		10
Broken Appointment Card	For use when respondent		5

	has broken scheduled appointment; acts as a reminder and asks respondent to contact the office at Brentwood to re-arrange		
ARF A & Sample Information Sheet (SIS) (Yellow)	For issued core sample households; provides address details, experimental details and individual level details (name, sex, age, outcome at last wave etc)	-	No. per point
ARF B (Cream)	For any core split households that are eligible for interview; only used for core sample; CAPI will instruct which serial number to write at top of ARF	-	3
784 Log (White)	For any core split	1	-

	households that are not eligible for interview; one sheet for all serial numbers where this applies		
Split households flow diagram	For guidance on how to deal with split households	1	-
ARF Refresh1A (Purple)	For issued refreshment sample households; specific observation questions (experimental)	-	4
ARF Refresh 1B (Blue)	For issued refreshment sample households; specific observation questions (experimental)	-	4
ARF Refresh2 (Grey)	For multiple selection of Dwelling Units (DU's) at issued address	-	3
ARF Refresh3 (Salmon)	For multiple selection of Households at issued address/ DU's	-	3
Interview Documents			

Participant's Handbook	For refreshment sample households only; to be administered to each household at time of interview	-	5
Participant's Folder	For refreshment sample households only; to be administered to each household at time of interview	-	5
Change of Address (COA) Card	For all refreshment sample adults interviewed in a household; for core sample adults who did not receive their inter wave mailing/ new entrants		5
Promissory Note	To be administered at the end of the adult (16+) interview at the appropriate		15

	question; to be administered to each young person (10-15yrs) who completes the youth self-completion		
Adult 16+ paper self -completion (Blue)	To be administered to adults (core and refreshment) if in paper self-completion experimental group (see Hhold info label on ARF)	-	12
Youth (10-15yrs) paper self – completion (Blue)	To be administered to all young people in the household (core and refreshment)		8
Envelope for self-completion	Blank A4 envelope for confidentiality to be distributed when administering self - completions (both adult and youth)		10
Poole pre-franked envelope	To be administered if		10

	young person/ adult will be returning their self-completion to Poole themselves; to be used when you are returning self-completions to Poole		
Consent Form for Economic Records data linkage (Blue)	To be administered when CAPI prompts you; make sure the completed form has been initialled twice by respondent AND signed by them; carbon copy- make sure you leave respondent copy behind	One pad (20 forms)	-
Consent Information Leaflet for Economic Records data linkage	To be administered (at same time as form) when CAPI prompts you; it is compulsory for respondents to read the leaflet and initial that they have done so	-	8

Consent Flow Chart	For use when administering consent form and leaflet if respondent has any queries about the data linkage process	1	-
Showcards	To be used during adult CAPI interview; divided for respondent ease	1	-
Pens	To be handed out to all sample members who participate, including 10-15s who fill in a self completion.; should not be given to children under 10.	-	20
Movers			
Tracing letter	For use when you have identified a mover in the field; can be left with current occupiers/ neighbours/		2

	stable contact		
Stable Contact letter	For use when you have identified a mover in the field; can be sent to stable contacts if they reside outside of your area/ you are unable to make a personal visit/ you do not have contact telephone numbers for them		2
Project Confirmation letter	For use when you are interviewing in institutions (e.g.: care home) and require further documentation about Understanding Society for a gatekeeper/ warden; sent on request as tailored to specific situation	-	-
Queens Head Envelope	For use when administering the tracing letter and	-	4

	stable contact letter		
Freepost return envelope to University of Essex	To be used when administering tracing or stable contact letters- enclosed with letter in both instances		9
Project Equipment			
Microphone	For use during CAPI interview, with respondents who give permission for interview to be sound recorded	1	-
Mobile Phone	For use primarily for Early Bird period; can be used as personal contact with respondents during fieldwork	Sent in advance	Sent in advance
Post fieldwork			
Feedback Form	To be completed after fieldwork and returned to Research Team in London	1	-

17 Admin and return of work

17.1 Contact information if you have any further queries

Please contact Brentwood on 01277 690000.

17.2 Fees

Fees will be automatically calculated in the admin block. You will be paid for each tracing activity that you undertake, and also your observations so it is very important that you complete those questions fully and accurately to make sure you get paid the correct amount. In terms of payment for travel between addresses, we are following the standard NatCen procedure as described in the Pay Handbook. Travel between addresses is only paid in exceptional circumstances when the average travel is over 8 minutes. You will need to submit your claim as normal via your Area Manager and the mileage will be checked against what qualifies according to our rules.

17.3 Return of work

17.3.1 Self – completions

These should be sent directly to MCL in Poole for scanning using the envelopes provided.

17.3.2 Consent Forms

These should be sent directly to the Brentwood office. Please send the consent forms regularly during fieldwork.

17.3.3 ARF & SIS

Once you have transferred all the necessary information into the CAPI admin block, please shred the entire ARF & SIS documents. This is for data protection and confidentiality reasons. **The ARFs & SIS should only be shredded once you are completely finished with a case, and it has been assigned a final outcome code**. Remember to do not sign off the case if you intend to return to a household.

17.3.4 Transmission

Please remember to transmit frequently, even if you have not fully completed the cases. It is recommended that you transmit **at least three times a week.**

17.3.5 Returning unused documents

All unused branded materials should be returned to the *Understanding Society* Unit at the end of the fieldwork period (or if you no longer work on the project). **These documents will be used again for re-issues.** Table 17.1 below details the documents which should be returned.

Table 17.1: Documents to return

Youth self-completion
Poole pre-franked envelopes for self-completion
Appointment card
Broken appointment card
Change of address cards
Free post envelope for change of address card
Queens head envelope
Pens
'*Understanding Society*: Information for participants' leaflet
Doorstep Flyer
Promissory notes
Participants Handbook
Participants Folder
Consent forms
Consent Information Leaflet
Understanding Society generic letter (laminated)
Showcards

Appendix A: Things we hear from sample members

The following are examples of common reasons respondents give for not taking in part in studies such as *Understanding Society.* Underneath each reason is a possible response that you can give:

"I've done my share"

By taking part this year they are making the information even more valuable because we can measure how things change over time.

Without them the study would be less representative – they cannot be replaced with anyone else.

They are one of only 18 addresses/households selected for the study in their area (postcode sector).

"I can never get everyone together at the same time"

The household does not have to be done at the same time. You can make appointments to suit their availability where appropriate.

"Nothing has changed in my life"

The only way we can find out about change is by talking to people on more than one occasion – and to really understand change we have to talk to everyone; we want to look at change **and** stability.

"Questions are too personal"

They don't have to answer every question, they can refuse to answer any question they want – the questions they do answer are still important to us

"I'm too busy with work"

This is the most important group in the study, because of the numbers of people that are retired, unemployed or looking after the home or family, we need all the information that only full-time workers can give us to have an accurate view of working life in Britain

"I'm worried about the confidentiality of my answers"

We are governed by the Data Protection Act, we guarantee that no information you give can be linked back to you. Only specific people have access to the computer with your details. The files are encrypted and protected by high-level security. Your personal details are never put onto CDs or sent through the post. Results using the information will be in the form of percentages in tables, so individuals or households will never be identified.

Living in Britain* sample members might ask why they should take part in *Understanding Society

Explain that from 2010, *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey* were incorporated into a major new study called *Understanding Society*. Everyone who participated previously in these studies is now being invited to take part in *Understanding Society*. *Living in Britain* sample members have been involved in these studies for the past 18 years and as *Understanding Society* is the successor of *Living in Britain*, we do not want to lose

these very valuable sample members hence why we are incorporating them into the *Understanding Society* sample. *Understanding Society* will build on the many insights and extremely rich data gained from *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey* so far. *Understanding Society* will collect similar information on people's lives and how they are changing as was previously collected in *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey*, and it is also managed by the University of Essex similar to the previous study. Those sample members who took part in *Living in Britain/ Scotland/ Wales* and the *Northern Ireland Household Panel Survey* received a mailing from Essex during 2009/2010 advising them about the change and inviting them to participate in *Understanding Society*.

Appendix B: Benefits Module Details

List of benefits that appear in Benefits Module with explanations:

BenPen **NI Retirement Pension**	For married couples, you should try to get the separate amount paid for the respondent rather than any joint amount. If the respondent is unable to separate it, show the whole amount received and record it as received jointly. If the wife is aged under 60 she will not be receiving a state pension in her own right. Therefore any NI pension income is solely the husband's. Retirement Pensions may have an earnings related supplement. This is normally paid on the same order book and should be included in the amount recorded.
BenPen **Occupational Pensions from previous employers**	Include all employer's pensions not just retirement pensions. Include pensions paid before retirement (i.e., a respondent may still be working for an employer but has become entitled to receive payments) and pensions paid for early retirement.
BenPen **Pension from a spouse's previous employer**	Women may also be receiving an occupational pension in respect of a deceased spouse: these should be recorded as 03. Check that any amount recorded is net of tax and other deductions. Do not include pensions from a Trade Union or Friendly Society unless the pension is received as a direct result of the respondent's employment by them.
BenPen **Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance**	Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.
Pension Credit	This is a means tested benefit paid to pensioners. They will not receive it unless they have applied for it and qualification is dependent on income and assets. Pension Credit has been paid since October 2004. There are two main elements. The **Guarantee Credit** is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The **Saving Credit** is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state pension.
BenDis/BenAl **Employment and Support Allowance**	This is a new means tested benefit that will be replacing 'Incapacity Benefit' and 'Income Support (paid on incapacity grounds)' from the 27th October 2008.

	Anyone receiving Incapacity Benefit or Income Support (paid on incapacity grounds) at the change-over date will continue to receive those benefits, so long as they continue to satisfy the entitlement conditions. Respondents may also receive income-related Employment and Support Allowance if they require additional financial support for specific reasons, for example, because of housing costs or as a result of disability or caring responsibilities.
BenDis/BenAl **Severe Disablement Allowance**	Is for people of working age who have not been able to work for at least 28 weeks but who cannot get Incapacity Benefit. Married women unable to perform household work may also receive it.
BenDis/BenAl **Industrial Injury Disablement Allowance**	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.
BenDis/BenAl **Disability Living Allowance/ Care Component**	Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will r questionnaire for the responsible adult for the child. Where someone is 16 or over this should recorded on person's own questionnaire.
BenDis/BenAl **Disability Living Allowance Mobility Component**	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
(BenDis/BenAl) **Attendance Allowance**	Paid to people who need high levels of care because of severe disability. Include Constant Attendance Allowance. If paid for a child under 16 include as mother's income, or if there is no mother then father/guardian.
BenDis/BenAl **Carer's Allowance**	Weekly paid benefit for people of working age who give up working to look after someone receiving Attendance Allowance. This was formerly known as the Invalid Care Allowance.
BenDis/BenAl **War Disability Pension**	Payable to members of the armed forces disabled in the 1914-18 war or after 2nd September 1939. Merchant seamen and civilians disabled in the Second World War are also eligible. The amount paid varies according to an individual's rank and the extent of the disability.
BenDis/BenAl **Incapacity Benefit**	This was introduced in April 1995. It replaced NI Sickness Benefit and Invalidity Benefit which officially do not exist any more. If a respondent reports receiving NI Sickness Benefit and/or Invalidity Benefit, code as Incapacity Benefit and record total amount received in grid.
BenSup/NFE/Btype **Income Support**	Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). The rate is assessed on the grounds of age and marital status with a flat-rate premium for

	children and special premiums for people such as lone parents, people with disabilities and pensioners. Income Support is often paid along with other benefits as a supplement. You should try, wherever possible, to record the amount of Income Support separately even in the case where it is paid with Job Seeker's Allowance or with a state pension. The specific amount paid as Income Support will usually be shown on the cover of the Benefit Order Book. Any maintenance payments from a former or separated spouse or for child support which are paid through the DWP or other government agencies, should not be included as Income Support or any other benefit.
BenSup/NFE/ BenUnemp **Jobseeker's Allowance**	This replaced Unemployment Benefit in October 1996. Those receiving JSA are capable of work and available for work and actively seeking work and have a current jobseeker's agreement with the Employment Service. Full-time students, those on temporary release from prison and those receiving maternity allowance or statutory maternity pay are not eligible for JSA. There are two types of JSA - Contribution-based and Income-based. The Contribution-based component is paid in the first 26 weeks of unemployment if enough NI contributions have been paid. The Income-based component is a means-tested benefit (paid after 26 weeks for those who qualify for Contribution-based and pass the means-test).
BenSup **Return to Work Credit**	This is a payment for people starting work of at least 16 hours a week and earning no more than £15,000 per year. Recipients will have been receiving an incapacity benefit (including statutory sick pay) for 13 weeks immediately prior to starting work. It is payable for up to 52 weeks.
BenSup/NFF/Btype **Child Benefit**	Is normally paid to the mother (unless there is none in the household) and should be shown as her income. Where it is paid into a joint bank account the names of both account holders will be on the benefit order book. This should still be recorded as the mother's income. **Child Benefit (Lone Parent)** was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this.
BenSup/BenTax/ BenCTC **Child Tax Credit**	Introduced in April 2003 this is paid to those with at least one dependent child. Child Tax Credit is paid to the person responsible for the care of the child(ren) so can be received by one person only in the household. If the respondent qualifies for the childcare element of Working Tax Credit, this will always be paid with the Child Tax Credit, even if the respondent is not themselves in receipt of Working Tax Credit.
BenSup/BenTax **Working Tax Credit**	This replaced Working Families Tax Credit and the Disabled Person's Tax Credit in April 2003. It is paid to families with at least one dependent child or those with a disability who are working. In some cases it can be paid alongside JSA or income support for those not working. It is paid either as a tax credit

	through the respondent's pay check or as a direct benefit. It can also be paid as a lump sum covering a period of 26 weeks in some cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit.
BenSup/BenTax **Disabled Person's Tax Credit**	This was replaced by Working Tax Credit from April 2003. It is paid to people with disabilities either in work or seeking work who are aged under 66. Any respondent claiming this should be coded as receiving the Working Tax Credit.
BenSup/BenFam **Maternity Allowance**	A benefit which applies only to women not eligible for Statutory Maternity Pay. Usually women receiving Maternity Allowance will be either self-employed or will have recently changed jobs.
BenSup/NFG/BenHou **Council Tax Housing Benefit /Rent Rebate**	Is benefit paid to help with housing costs, either by the DWP or the Local Authority. Include here only if it is paid direct to the respo
BenSup/BenTax/ BenHou **Council Tax Benefit**	As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax bil benefit received write details of amount he or she actually pays in a note, the amount deducted from the full charge (and the amount of that benefit) can then be calculated.
BenSup **Other State Benefits, Allowance or Credi**t	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent Work Sear record which benefit it replaces or tops up. Do not include: Payments from the Social Fund (these are loans) or other one-off payments from either DWP or local authority social services.
BenPay/BenSta **Educational Grants**	Include all grants or scholarships paid in respect of education or training (but not YTS or ET Allowances which should be recorded as Other). Grants and scholarships may be provided by Local Authorities, the DfES, Research Councils, charities, prospective employers (e.g., companies or the Armed Forces), educational institutions, family trusts and a number of other bodies such as Trade Unions. Do not include Student Loans taken out by the respondent to cover their living expenses or fees. Do not include Top-Up Fee Bursaries as these are a type of interest free loan to be paid-back upon completion of a degree. Include here as an Educational Grant any payment from any source (other than from family members) which is intended to cover the living expenses or fees over a period of time of someone in full or part-time education specifically so they may undertake that education. Grants are often paid in a lump sum at the beginning of a term or quarter to cover that term or a quarter. If a grant was paid for a term record that at (d) as Other.

	Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.
BenPay/BenSta **Trade Unions/ Friendly Societies**	Include all payments from such bodies here with the exception of Educational Grants and Sickness or Accident Insurance. Include Strike Pay.
BenPay/BenFam/BenSta **Maintenance/Alimony**	Note that men and non-married women can receive such payments. In most cases such payments come direct but they may also come via a solicitor, a court or the DWP. If it is paid by the DWP, check it has not been included in any Income Support already mentioned. Code only if the respondent is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household. If a respondent receives payment
BenPay/BenFam/BenSta **Regular payment from family members not living here**	E.g., payment from a spouse working and living away from home,re respondent should be asked to decide for him/herself whether or not a payment is to be classed as 'regular'.
BenPay/Ben/Sta **Rent from boarders or lodgers**	Rent from accommodation let at respondent's address. However, do not include payments from boarders or lodgers who are part of the immediate family of the respondent. Do not include payments for keep from family members or rent from property outside the respondent's accommodation.
BenPay/BenFam **Foster Allowance / Guardian Allowance**	Any foster carer who is looking after a child may receive a "Foster Allowance" or "Fostering Allowance" from the local Authority. It is designed to cover the costs of caring for a foster child. Local authorities are allowed flexibility to decide their own systems of payment. A "Guardian Allowance" is a tax fee payment to individuals bringing up a child whose biological or adoptive parents have died or is otherwise unavailable for their rule (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
BenFam **In-Work Credit for Lone Parents**	This credit will be paid on top of all tax credits and other benefits, for a 12 month period, to lone parents who have been on Income Support or Job Seeker's Allowance for at least a year and who enter work of at least 16 hours a week.
BenPay/BenSta/BenDis **Sickness Accident Insuranc**e	Include any payments to compensate for lost wages during time off work through sickness (but <u>not</u> one-off payments to meet specific expenses such as medical fees or the cost of glasses or false teeth etc).
BenPay/BenSta **Other Regular payment**	Specify type of income and source. <u>Exclude</u> any payments from investments, stocks and shares, bonds and other interest payments (e.g., building society and bank savings accounts).

Appendix C: Outcome Codes

Household Level

Outcome code	Continuing sample	Refreshment sample
110: Completed household questionnaire & interviewed all eligible household members	✓	✓
210: Completed household questionnaire and at least one individual interview	✓	✓
211: Completed household questionnaire but no individual interviews	✓	✓
310: No contact with anyone after 6+ calls	✓	✓
320: Contact made at address, not with household member		✓
321: Contact made at address, but not with anyone at selected DU		✓
322: Contact made at address, but not with responsible adult	✓	✓
328: Contact made at (selected) DU but not with selected hhold		✓
391: Contact made but no subsequent contact	✓	✓
410: Office refusal	✓	✓
421: Contact made but all information refused about number of DUs at address		✓
422: Contact made but all information refused about household		✓
428 Contact made, but information refused about number of households		✓
430: Refusal before interview	✓	✓
431: Refusal before interview		✓
432: Proxy refusal	✓	✓
450: Broken appointment – no recontact	✓	✓
510: Single person hhold only - ill at home during survey period	✓	
520: Single person hhold only - away/in hospital throughout f/work period	✓	
530: Single person hhold only: physically or mentally incapable	✓	
590: OFFICE APPROVAL ONLY: Other unproductive	✓	✓
612: OFFICE APPROVAL ONLY: Issued, not attempted/transferred to another interviewer	✓	✓
620: OFFICE APPROVAL ONLY: Inaccessible		✓
630: Unable to locate address		✓
640: Unknown whether address is residential: No contact after 6+ calls		✓
650: Residential: unknown if eligible person(s) due to non-contact after 6+ calls		✓
652: Address inaccessible	✓	
653: Unable to locate address	✓	
671: MOVER: Certain hhold moved, unable to obtain (a complete) follow up address	✓	
672: MOVER - Follow up address found, but unable to attempt address	✓	
673: MOVER: Follow-up address is in GB, but is outside my interviewing area	✓	
674: MOVER: Follow-up address is in Northern Ireland	✓	
690: Other unknown eligibility (verbatim reason to be keyed in Admin block)	✓	✓

710: Not yet built/under construction		✓
720: Demolished/derelict		✓
730: Vacant/empty housing unit		✓
740: Non-residential address (e.g business, school, office, factory etc)		✓
750: Address occupied, no resident household (e.g. occupied holiday/weekend home)		✓
760: Communal establishment/institution – no private dwellings		✓
782: All respondents no longer eligible - died	✓	
783: All respondents no longer eligible - live outside UK	✓	
784: Hhold not eligible - TSM only household	✓	
785: The household is no longer eligible - all household members (at this address) have moved into another issued hhold	✓	
790: OFFICE APPROVAL ONLY: Other ineligible	✓	✓
810: Information refused about whether address is residential		✓
820: Contact made but not with someone who can confirm the presence of a resident hhold		✓
830: Unable to determine eligibility, contact made but information refused about household / Information refused about whether resident(s) are eligible)		✓
840: Unable to confirm eligibility of resident(s) due to a lack of knowledge		✓
890: Other unknown eligibility		✓

Individual Level

Productive

11 – Fully productive interview

13 – Full proxy interview

21 – Partially productive interview

23 – Partial proxy interview

Non-contact

31 – No contact

Refusal

41 – Office refusal

42 – Proxy refusal

43 – Refusal before interview

44 – Refusal during interview (unproductive partial)

45 – Broken appointment – no recontact

Other unproductive

51 – Ill at home during survey period

52 – Away or in hospital all survey period

53 – Physically or mentally unable/incompetent

54 – Language difficulties

55 – Requires translation into one of the 9 translated languages

56 – Lost interview

59 – Other reason for no interview

Deadwood/ineligible

77 – Deceased

78 – Moved outside the UK

79 – Ineligible – child under 10

Unknown eligibility

89 – Unknown eligibility – contact made (record details)

Appendix D: Practice cases

The practice case serial numbers are as follows:

491500 01-1-Q (CORE sample - Early Bird WITH incentive)
492500 02-1-Q (CORE sample - Early Bird with NO incentive)
492500 03-1-Q (CORE sample - Early Bird with NO incentive)
493500 04-1-Q (CORE sample - NO Early Bird)
493500 05-1-Q (CORE sample - NO Early Bird)
494500 06-1-Q (Refreshment sample)

As indicated, the first five are core sample households with varying number of people, while the last practice (SN 494500061) is a refreshment sample household where you need to add people to the household in the household grid.

Appendix E: IP4 questionnaire – list of modules

New modules since IP3 are shown in bold.

Module number	**Module description**	**Who gets asked the questions**
1	HH grid	All hholds
2	HH questionnaire	All hholds
3	Individual Questionnaire Intro	All
	Request to record	All
4	Demographics	All / many Qs only asked of new entrants/never interviewed
5	Initial conditions	New entrants/never interviewed
6	Own first job	New entrants/never interviewed/started first job
7	Educational aspirations	Full-time students
8	Young adults	Aged 16-21
9	Family background	New entrant/never interviewed
10	Ethnicity and national identity	New entrant/never interviewed
11	Religion	New entrant/never interviewed
12	Neighbourhood cohesion	All
13	General health	All
14	Disability	All
15	Height and Weight	All
16	Health conditions	New entrants
17	Caring	All
18	Partnership history	New entrant/never interviewed
19	Fertility history	New entrant/never interviewed
20	Annual events history	Those interviewed at an earlier wave, with some further routing e.g. questions on pregnancies/fathering children asked of men aged

		16-64 and women aged 16-49
21	Current employment	Those who have a job (either did paid work last week or is away from a job e.g. on maternity leave)
22	Employees	Employees
23	Self-employment	Self-employed
24	Commuting behaviour	Employees/self-employed and not working at/from home
25	Job Satisfaction	Those with a job
26	Work Conditions	Those with a job
27	Non-Employment	Did No Paid Work In Last Week and Does Not Have A Job
28	Mothers Return to Work	Currently on maternity leave and had a baby since last interview
29	Second Jobs	All
30	Voluntary work	All
31	Charitable Giving	All
32	Childcare	If respondent is responsible adult for someone under 15
33	Unearned Income and State Benefits	All
34	Household Finances	All
35	**Benefit Consents A**	Those in Experimental Group A
36	Savings	All
37	Personal Pensions	All
38	Retirement Planning	Aged 45, 50, 55, 60 or 65 and not currently retired
39	Politics	All
40	Political Efficacy	All

41	Political Networks	All
42	Environmental Behaviour	All
43	**CASI Start**	Those in CASI experimental group or eligible for one of the four 'all CASI' modules
43.1	**Health & general well-being**	Those in CASI experimental group
43.2	**Sleeping habits**	Those in CASI experimental group
43.3	**Mental well-being**	Those in CASI experimental group
43.4	**Life satisfaction**	Those in CASI experimental group
43.5	**Sexual orientation**	Those in CASI experimental group
43.6	**Child-bearing intentions A**	Those in CASI experimental group & Experimental Group A & either female aged 15-45 or male aged 15-64
43.7	**Close friendships**	Those in CASI experimental group & have at least one close friend
43.8	**Child-bearing intentions B**	Those in CASI experimental group & Experimental Group B & either female aged 15-45 or male aged 15-64
43.9	**Life aspirations for Young People;**	ALL adults aged 16-21
43.10	**Relationships with non-resident partners**	ALL those with no live-in spouse/partner
43.11	**Child development**	ALL those who are a responsible adult for a child aged 3, 5 or 8
43.12	**Parenting styles**	Biological/adoptive/step parent of a child aged 10
43.13	**CASI Reaction**	Those in CASI experimental group who accepted CASI self-completion
44	Important Events	All

45	**Benefit Consents B**	Those in Experimental Group B
46	Respondent Contact Details	All
47	**Mode Preference**	All
48	Stable Contact Details	All
49	Interviewer Observations	All
50	Proxy	Proxy interviews only

Appendix F: Laptop volume controls

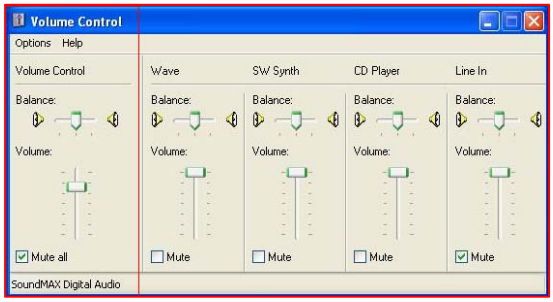
Compaq Evo N610c and N620c Laptop

Accessing the volume controls is quick and simple. On this model of laptop there are no buttons to control the volume.

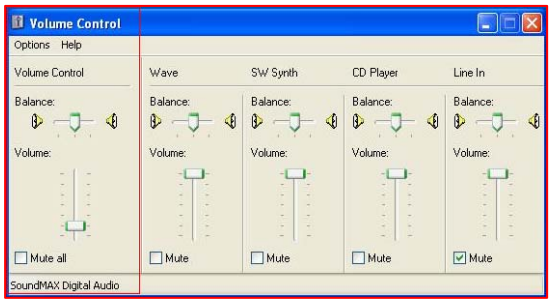
Accessing the volume controls: Move the cursor to the speaker icon at the bottom of right hand corner of your screen and **double click** with the left selection button of your touchpad.

The will bring up the **Volume Control Panel**, illustrated right.

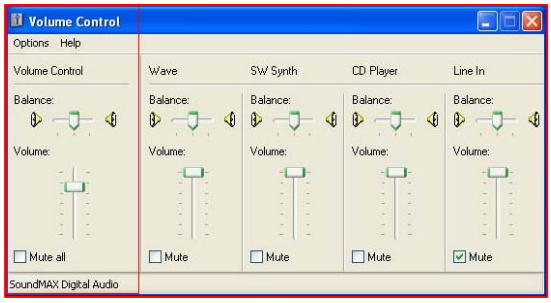
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply follow the steps to access the volume controls, and afterwards uncheck the **mute all** check box and this will restore sound as shown right.



Decrease Volume: You can lower the volume simply by sliding the volume control from up to down as shown right.



Increase Volume: You can increase the volume simply by sliding the volume control from down to up as shown right.

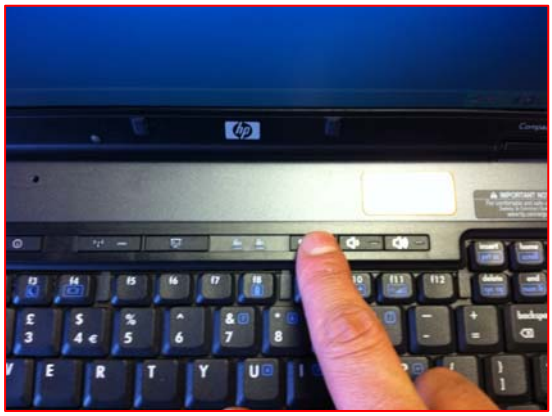


To close the volume control panel, simply click the red 'x' icon to continue.

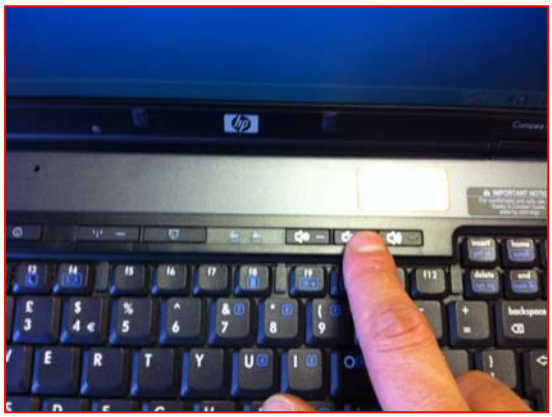
HP nc6220 and nc6230 Laptops

Accessing the volume controls is quick and simple. On this model of laptop there are three buttons located at the top of the keyboard shown right. There is **no visual indication** on screen when using these buttons.

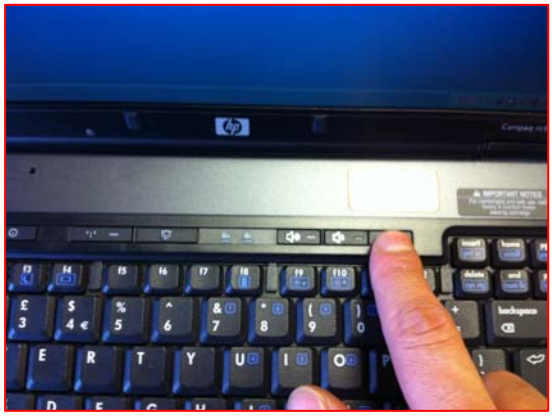
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** button again will restore sound as shown right.



Decrease Volume: You can lower the volume by pressing and holding down the second button. The longer you hold this button down, the quieter the volume will become, as shown right.



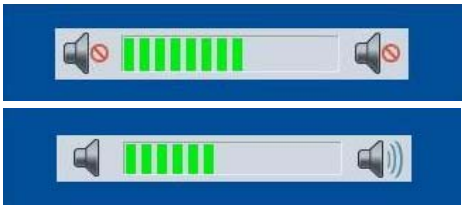
Increase Volume: You can increase the volume by pressing and holding down the third button. The longer you hold this button down, the louder the volume will become, as shown right.



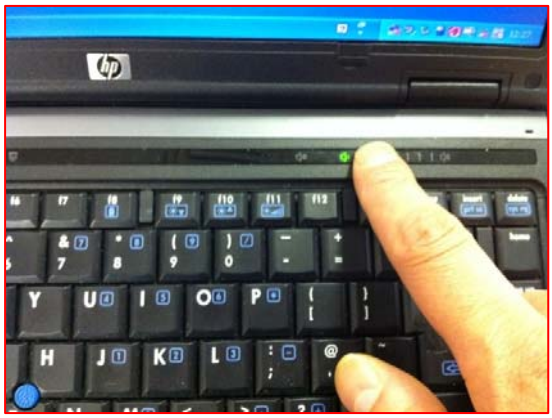
HP6910p Laptop

Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.

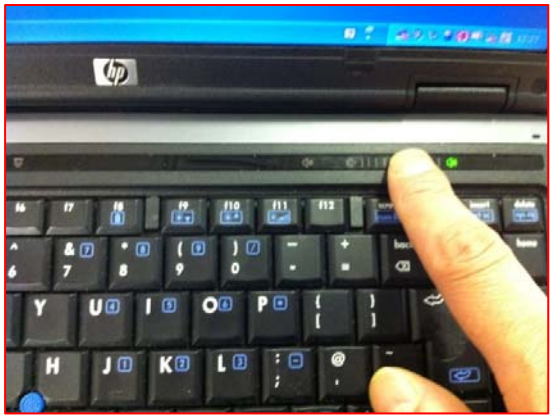
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown right and on your screen as illustrated below



Decrease Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the right side to the left side. The further left the quieter the volume will become as shown right and on your screen as illustrated below.



Increase Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the left side to the right side. The further left the quieter the volume will become as shown right and on your screen as illustrated below.



HP6930p Laptop

Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.

Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown right.

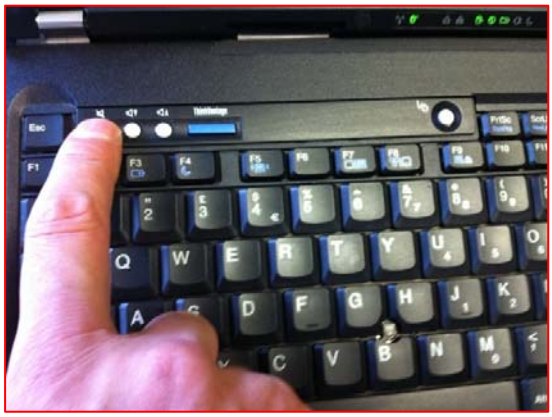
Decrease Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the right side to the left side. The further left the quieter the volume will become as shown right.

Increase Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the left side to the right side. The further left the quieter the volume will become as shown right.

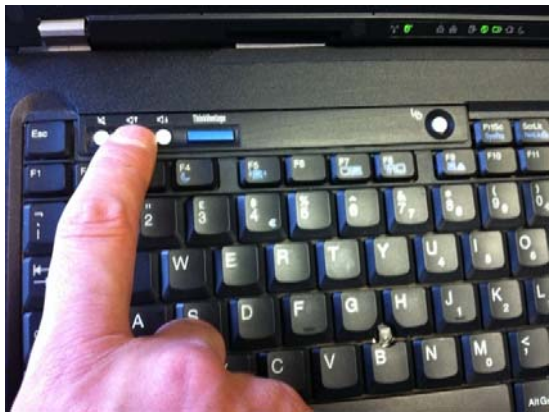
IBM T61 Laptop

Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.

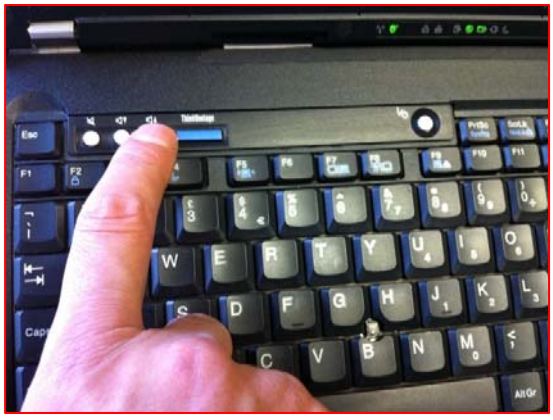
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown in our example to the right and on your screen illustrated below



Decrease Volume: You can lower the volume by pressing and holding down the second button. The longer you hold this button down, the quieter the volume will become as shown in our example to the right and on your screen illustrated below.



Increase Volume: You can increase the volume by pressing and holding down the third button. The longer you hold this button down, the louder the volume will become as shown in our example to the right and on your screen illustrated below.



Appendix G: Data confidentiality

As with all NatCen studies, the information collected from respondents by interviewers and nurses on Understanding Society is treated with the strictest confidence and in accordance with the Data Protection Act 1998. Respondents' personal details and any information they give us are kept confidential. Information provided will only be used for the purposes of the research and will not be passed on to people outside the research team. The reporting of the findings will never be in a form that can reveal their identity or link any piece of information back to them.

The laptops used by interviewers are encrypted so all the information stored in them is protected and cannot be accessed by anyone other than the password holder. Once reconciled the samples are then further anonymised so that the samples cannot be traced back to a specific respondent once they are stored.

Respondent information is saved in a dataset, stored in a secure location, which only specific members of the project team have access to.

Who are the research team?

For Understanding Society, ISER are the principle investigators and NatCen is contracted to carry out the fieldwork and data processing. ISER are the owners of the sample so the master dataset is stored in their facilities. Sample details are maintained by ISER and passed onto NatCen prior to each month of fieldwork. Respondents are instructed in the survey literature to contact ISER with name/address changes or have questions about data linkage etc. However we are still committed to the assurances we give to respondents and expect you to comply by NatCen standards of respondents' confidentiality when you collect personal information and samples from respondents on our behalf.

Appendix H: Selecting from 4+ DUs/ households

It is extremely unlikely that you will come across addresses with more than 3 DUs or DUs with more than 3 households, but if you do, then you need to follow the instructions below. The example used is where there are 5 DUs found at one address.

B.2 How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs.

0	5

and then code

1 DU	1	Go to C.1
2+ DUs	2	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

B.3 List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
01	35 A	05	35 E	09	
02	35 B	06		10	
03	35 C	07		11	
04	35 D	08		12	

- **If 4-12 DUs:** Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs:** Select 3 DUs using the lookup chart in project instructions and ring on grid above.

Example selection label:

SN: **491101-01-1 A**

DU/HH: 4 5 6 7 8 9 10 11 12
SEL1 : 1 1 1 2 4 1 3 4 3
SEL2 : 2 2 2 6 5 3 6 9 8
SEL3 : 3 4 5 7 7 8 7 10 10

Use the selection label from the front of the ARF. There are 5 DUs, so you need to select DU codes 1, 2, 4, and circle them at B3 – shown below.

B.3 List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
01	35 A	05	35 E	09	
02	35 B	06		10	
03	35 C	07		11	
04	35 D	08		12	

- **If 4-12 DUs:** Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs:** Select 3 DUs using the lookup chart in project instructions and ring on grid above.

B.4 Enter details of selected DUs

	Selected DU		ARF to Use
DU 1	0	1	Continue on this ARF
DU 2	0	2	Open ARF **REFRESH2** transfer sn, address and DU=2
DU 3	0	4	Open ARF **REFRESH2**, transfer sn, address and DU=3

Selecting from 13+ DUs/households

If you come across addresses with more than 12 DUs or households then use the following selection grid.

NUMBER OF DU's/HH:	SELECTED DUs/HH
13	8, 11, 4
14	7, 6, 5
15	8, 9, 5
16	9, 16, 11
17	11, 9, 16
18	11, 6, 18
19	13, 18, 7
20	17, 1, 4
21	16, 10, 2

NUMBER OF DU's/HH:	SELECTED DUs/HH
22	16, 4, 22
23	19, 3, 22
24	10, 19, 14
25	23, 15, 4
26	22, 20, 17
27	14, 24, 25
28	2, 17, 25
29	19, 18, 4
30	28, 7, 20

P3025 Understanding Society

Wave 4

SHOWCARDS

SHOWCARD SUMMARY

100: A

110: A – K

200: A – B

209: A – B

218: A – B

221: A – B

250: A – C

253: A – B

302: A –D

362: A

365: A

409: A – J

456: A – C

459: A – B

462: A – F

465: A

471: A – F

474: A

477: A

483: A

500: A - D

553: A – G

571: A – D

600: A – C

609: A – D

610: A

615: A

840: A – B

950: A – F

SHOWCARD 100 - A

1. Husband/Wife
2. Partner/Cohabitee
3. Civil Partner
4. Natural son/daughter
5. Adopted son/daughter
6. Foster child
7. Stepson/stepdaughter
8. Son-in-law/daughter-in-law
9. Natural parent
10. Adoptive parent
11. Foster parent
12. Step-parent
13. Parent-in-law
14. Natural brother/sister
15. Half-brother/sister
16. Step-brother/sister
17. Adopted brother/sister
18. Foster brother/sister
19. Brother/sister-in-law
20. Grand-child
21. Grand-parent
22. Cousin
23. Aunt/Uncle
24. Niece/Nephew
25. Other relative
26. Employee
27. Employer
28. Lodger/Boarder/Tenant
29. Landlord/Landlady
30. Other non-relative

SHOWCARD 110 - A

1. A fixed amount each month by standing order
2. A monthly bill (by direct debit or other means)
3. A quarterly bill (by direct debit or other means)
4. A pre-payment (key/card or token) meter
5. It’s included in the rent
6. Frequent cash payments (i.e. more frequent than once a month)
7. Fuel Direct scheme or direct from benefits
8. Staywarm scheme

97. Other

SHOWCARD 110 - C

England

1. Band A up to £40,000

2. Band B £40,001 - £52,000

3. Band C £52,001 - £68,000

4. Band D £68,001 - £88,000

5. Band E £88,001 - £120,000

6. Band F £120,001 - £160,000

7. Band G £160,001 - £320,000

8. Band H £320,001 +

9. Household accommodation not valued separately / included in rent

SHOWCARD 110 - D

Wales

1. Band A up to £30,000

2. Band B £30,001 - £39,000

3. Band C £39,001 - £51,000

4. Band D £51,001 - £66,000

5. Band E £66,001 - £90,000

6. Band F £90,001 - £120,000

7. Band G £120,001- £240,000

8. Band H £240,001+

9. Household accommodation not valued separately / included in rent

SHOWCARD 110 - E

Scotland

1. Band A up to £27,000

2. Band B £27,001 - £35,000

3. Band C £35,001 - £45,000

4. Band D £45,001 - £58,000

5. Band E £58,001 - £80,000

6. Band F £80,001 - £106,000

7. Band G £106,001 - £212,000

8. Band H £212,001+

9. Household accommodation not valued separately / included in rent

SHOWCARD 110 - F

1. Colour television
2. Video recorder/DVD player
3. Satellite dish / Sky TV
4. Cable TV
5. Deep freeze or fridge freezer (EXCLUDE fridge only)
6. Washing machine
7. Tumble drier
8. Dishwasher
9. Microwave oven
10. Home computer/PC (NOT games console)
11. Compact disc player (INCLUDE if part of a sound system)
12. Landline telephone
13. Mobile telephone (anyone in household)

96. None of above

SHOWCARD 110 - G

1. I/We have this

2. I/We would like to have this but cannot afford this at the moment

3. I/We do not want/need this at the moment

4. Does not apply

SHOWCARD 110 - H

1. Child(ren) has/have this

2. Child(ren) would like to have this but we cannot afford this at the moment

3. Child(ren) do not want/need this at the moment

4. Does not apply

SHOWCARD 110 - I

1. Child(ren) does/do this

2. Child(ren) would like to do this but we cannot afford this at the moment

3. Child(ren) do not want/need this at the moment

4. Does not apply

SHOWCARD 110 - J

1. Child(ren) does/do this

2. Child(ren) would like to do this but we cannot afford this at the moment

3. Child(ren) do not want/need this at the moment

4. Does not apply/Child(ren) at primary school

SHOWCARD 110 - K

1. Child(ren) does/do this

2. Child(ren) would like to do this but we cannot afford this at the moment

3. Child(ren) do not want/need this at the moment

4. Does not apply/Child(ren) not at school

SHOWCARD 200 - A

1. Self-employed
2. In paid employment (full or part-time)
3. Unemployed
4. Retired
5. On maternity leave
6. Looking after family or home
7. Full-time student
8. Long-term sick or disabled
9. On a government training scheme
10. Unpaid family worker in business

97. Doing something else

SHOWCARD 200 - B

1. Every day
2. Several times a week
3. Several times a month
4. Once a month
5. Less than once a month
6. Never use
7. No access at home, at work or elsewhere

SHOWCARD 209 - A

1. University Higher Degree (e.g. MSc, PhD)
2. First degree level qualification including foundation degrees, graduate membership of a professional Institute, PGCE
3. Diploma in higher education
4. Teaching qualification (excluding PGCE)
5. Nursing or other medical qualification not yet mentioned
6. A level
7. Welsh Baccalaureate
8. International Baccalaureate
9. AS level
10. Higher Grade/Advanced Higher (Scotland)
11. Certificate of sixth year studies
12. GCSE/O level
13. CSE
14. Standard/Ordinary (O) Grade / Lower (Scotland)
15. Other school (inc. school leaving exam certificate or matriculation)
96. None of the above

SHOWCARD 209 - B

1. Youth training certificate
2. Key Skills
3. Basic Skills
4. Entry level qualifications (Wales)
5. Modern apprenticeship/trade apprenticeship
6. RSA / OCR / Clerical and commercial qualifications (e.g. typing/shorthand/book-keeping/commerce)
7. City & Guilds Certificate
8. GNVQ/GSVQ
9. NVQ/SVQ – Level 1 -2
10. NVQ/SVQ – Level 3 -5
11. HNC/HND
12. ONC/OND
13. BTEC/BEC/TEC/EdExcel/LQL
14. SCOTVEC, SCOTEC, SCOTBEC
15. Other vocational, technical or professional qualification

96. None of the above

SHOWCARD 218 - A

1. Get a full-time job

2. Stay at school and do A Levels/Highers

3. Get a job and study

4. Get an apprenticeship

5. Do some other type of training

97. Do something else

SHOWCARD 218 - B

1. Very important

2. Important

3. Not very important

4. Not at all important

SHOWCARD 221 - A

1. Very important
2. Important
3. Not important
4. Not at all important

YA_ocimpa, YA_ocimpb, YA_ocimpe,
YA_ocimpf, YA_ocimpi, YA_ocimpk, YA_ocimpl

SHOWCARD 221 - B

0% No chance will happen	100% Totally likely to happen

SHOWCARD 250 - A

1. He did not go to school at all
2. He left school with no qualifications or certificates
3. He left school with some qualifications or certificates
4. He gained further qualifications or certificates after leaving school (e.g. an apprenticeship, nursing or teaching qualification, City and Guilds certificates)
5. He gained a university degree or higher degree

97. Other

98. Don’t know

SHOWCARD 250 - B

1. She did not go to school at all
2. She left school with no qualifications or certificates
3. She left school with some qualifications or certificates
4. She gained further qualifications or certificates after leaving school (e.g. an apprenticeship, nursing or teaching qualification, City and Guilds certificates)
5. She gained a university degree or higher degree

97. Other

98. Don’t know

SHOWCARD 250 - C

1. Biological mother and father

2. Adoptive mother and father

3. Mother and stepfather

4. Father and stepmother

5. Mother/no father figure

6. Father/no mother figure

7. In Local Authority care/foster home

97. Other

SHOWCARD 253 - A

1. English
2. Welsh
3. Scottish
4. Northern Irish
5. British
6. Irish
97. Other

SHOWCARD 253 - B

White

1. British/English/Scottish/Welsh/Northern Irish
2. Irish
3. Gypsy or Irish Traveller
4. Any other White background

Mixed

5. White and Black Caribbean
6. White and Black African
7. White and Asian
8. Any other mixed background

Asian or Asian British

9. Indian
10. Pakistani
11. Bangladeshi
12. Chinese
13. Any other Asian background

Black / African / Caribbean / Black British

14. Caribbean
15. African
16. Any other Black background

Other Ethnic Group

17. Arab
97. Any other ethnic group

SHOWCARD 302 - A

1. Strongly agree
2. Agree
3. Neither agree nor disagree
4. Disagree
5. Strongly disagree

SHOWCARD 302 - B

1. Agree

2. Neither agree nor disagree

3. Disagree

SHOWCARD 302 - C

1. Somewhat agree

2. Strongly agree

SHOWCARD 302 - D

1. Somewhat disagree

2. Strongly disagree

SHOWCARD 362 - A

1. Mobility (moving around at home and walking)
2. Lifting, carrying or moving objects
3. Manual dexterity (using your hands to carry out everyday tasks)
4. Continence (bladder and bowel control)
5. Hearing (apart from using a standard hearing aid)
6. Sight (apart from wearing standard glasses)
7. Communication or speech problems
8. Memory or ability to concentrate, learn or understand
9. Recognising when you are in physical danger
10. Your physical co-ordination (e.g. balance)
11. Difficulties with own personal care (e.g. getting dressed, taking a bath or shower)

97. Other health problem or disability

96. None of these

SHOWCARD 365 - A

1. Asthma
2. Arthritis
3. Congestive heart failure
4. Coronary heart disease
5. Angina
6. Heart attack or myocardial infarction
7. Stroke
8. Emphysema
9. Hyperthyroidism or an over-active thyroid
10. Hypothyroidism or an under-active thyroid
11. Chronic bronchitis
12. Any kind of liver condition
13. Cancer or malignancy
14. Diabetes
15. Epilepsy
16. High blood pressure
17. Clinical depression
96. None of these

SHOWCARD 409 - A

1. Single and never married or never in a legally recognised Civil Partnership

2. Married

3. A Civil Partner in a legally recognised Civil Partnership

4. Separated but legally married

5. Divorced

6. Widowed

SHOWCARD 409 - B

1. Live birth - normal delivery

2. Live birth - caesarean

3. Not live birth

4. Current pregnancy

SHOWCARD 409 - C

1. Miscarriage
2. Stillbirth
3. Termination
4. Ectopic or tubal

SHOWCARD 409 - D

1. Every day

2. 5-6 times per week

3. 3-4 times per week

4. 1-2 times per week

5. 1-2 times per month

6. Less than once a month

7. Never

SHOWCARD 409 - E

1. Very easy
2. Somewhat easy
3. About average
4. Somewhat difficult
5. Very difficult

SHOWCARD 409 - F

1. Most of the time

2. Quite a bit of the time

3. Some of the time

4. Not very often

5. Rarely if at all

SHOWCARD 409 - G

1. Not true

2. Somewhat true

3. Certainly true

SHOWCARD 409 - I

1. Asthma
2. Arthritis
3. Congestive heart failure
4. Coronary heart disease
5. Angina
6. Heart attack or myocardial infarction
7. Stroke
8. Emphysema
9. Hyperthyroidism or an over-active thyroid
10. Hypothyroidism or an under-active thyroid
11. Chronic bronchitis
12. Any kind of liver condition
13. Cancer or malignancy
14. Diabetes
15. Epilepsy
16. High blood pressure
17. Clinical depression

96. None of these

SHOWCARD 409 - J

1. To help you get started in your job

2. To improve your skills in your current job

3. To maintain professional status and/or meet occupational standards

4. To prepare you for a job you might do in the future

5. To help you get a promotion

6. Health and Safety Training

7. For hobbies or leisure

SHOWCARD 456 - A

1. 1 – 2
2. 3 – 9
3. 10 – 24
4. 25 – 49
5. 50 – 99
6. 100 – 199
7. 200 – 499
8. 500 – 999
9. 1000 or more
10. Don’t know but fewer than 25
11. Don’t know but 25 or more

SHOWCARD 456 - B

1. A public limited company

2. A nationalised industry/state corporation

3. Central government or civil service

4. Local government or council (including police, fire services and local authority controlled schools/colleges)

5. A university or other grant-funded education establishment (include opted-out schools)

6. A health authority or NHS trust

7. A charity, voluntary organisation or trust

8. The armed forces

9. Some other kind of organisation

SHOWCARD 456 - C

1. Drive myself by car or van
2. Get a lift with someone from household
3. Get a lift with someone outside the household
4. Motorcycle/moped/scooter
5. Taxi/minicab
6. Bus/coach
7. Train
8. Underground/Metro/Tram/Light railway
9. Cycle
10. Walk
97. Other

SHOWCARD 459 - A

1. 1 - 2
2. 3 - 9
3. 10 - 24
4. 25 - 49
5. 50 - 99
6. 100 - 199
7. 200 - 499
8. 500 - 999
9. 1000 or more
10. Don’t know but fewer than 25
11. Don’t know but 25 or more

SHOWCARD 459 - B

1. Drive myself by car or van
2. Get a lift with someone from household
3. Get a lift from someone outside the household
4. Motorcycle/moped/scooter
5. Taxi/minicab
6. Bus/coach
7. Train
8. Underground/Metro/Tram/Light railway
9. Cycle
10. Walk

97. Other

SHOWCARD 462 - A

1. No, no difficulties
2. Too far
3. Cost of petrol
4. Lack of parking facilities
5. Cost of parking
6. Traffic congestion or roadworks
7. Personal safety concerns
8. Stress of driving

97. Other

SHOWCARD 462 - B

2. Too far
3. Cost of petrol
4. Lack of parking facilities
5. Cost of parking
6. Traffic congestion or roadworks
7. Personal safety concerns
8. Stress of driving

97. Other

SHOWCARD 462 - C

1. Very easy
2. Fairly easy
3. Neither easy nor difficult
4. Fairly difficult
5. Very difficult

SHOWCARD 462 - D

1. Too far or long journey
2. Journey not possible by public transport
3. Unreliable public transport
4. Cost of using public transport or taxis
5. Poor information about public transport services
6. Poor connections
7. Find public transport unpleasant
8. Personal disability
9. Concerns over personal safety
10. Traffic, congestion, or roadworks
11. Lack of or no cycle lanes
12. Vehicle essential for job
13. Weather
14. Combine my trip to work with other journeys

97. Other reason

SHOWCARD 462 - E

1. Joining a car club
2. Car sharing scheme run by employer
3. Working from home
4. Get a lift with someone from household
5. Get a lift with someone outside household
6. Motorcycle, moped or scooter
7. Taxi or minicab
8. Bus or coach
9. Train
10. Underground, metro, tram or light railway
11. Cycle
12. Walk

97. Other

SHOWCARD 462 - F

1. Very willing
2. Fairly willing
3. Neither willing nor unwilling
4. Fairly unwilling
5. Very unwilling

CB_carclub, CB_carshare, CB_wkhome, CB_lifthh, CB_liftxhh, CB_motcyc, CB_comtaxi, CB_combus, CB_comtrain, CB_commetro, CB_combike, CB_comwalk, CB_comother

SHOWCARD 465 - A

7. Completely satisfied

6. Mostly satisfied

5. Somewhat satisfied

4. Neither satisfied or dissatisfied

3. Somewhat dissatisfied

2. Mostly dissatisfied

1. Completely dissatisfied

SHOWCARD 471 - A

1. Contributions are deducted from my pay each week/month. The scheme is contributory.

2. The scheme is called non-contributory but I do pay something to make additional provision for myself or my dependents.

3. No contributions are deducted from my pay each week/month. The scheme is non-contributory.

SHOWCARD 471 - B

1. My pension will be related to my salary in my final year (or years) and the number of years I have been in the scheme.

2. My pension will be depend(ent) on the value of contributions paid to the scheme and the rate of return achieved on their investments.

SHOWCARD 471 - C

1. Mornings only
2. Afternoons only
3. During the day
4. Evenings only
5. At night
6. Both lunchtimes and evenings
7. Other times of day
8. Rotating shifts
9. Varies/no usual pattern
10. Daytime and evenings
97. Other

SHOWCARD 471 - D

1. Part-time working
2. Working term-time only
3. Job sharing
4. Flexi-time
5. Working a compressed week
6. To work annualised hours
7. To work from home on a regular basis
8. Other flexible working arrangements

96. None of these

SHOWCARD 471 - E

1. A lot
2. Some
3. A little
4. None

SHOWCARD 471 - F

1. Never
2. Occasionally
3. Some of the time
4. Most of the time
5. All of the time

SHOWCARD 474 - A

1. 1 - 2
2. 3 - 9
3. 10 - 24
4. 25 - 49
5. 50 - 99
6. 100 - 199
7. 200 - 499
8. 500 - 999
9. 1000 or more
10. Don’t know but fewer than 25
11. Don’t know but 25 or more

SHOWCARD 477 - A

1. I prefer to look after my child(ren) myself
2. I cannot earn enough to pay for childcare
3. I cannot find suitable childcare
4. There are no jobs in the right place for me
5. There are no jobs with the right hours for me
6. There are no jobs available for me
7. I am in full-time education
8. I am on a training course
9. My family would lose benefits if I was earning
10. I am caring for an elderly or ill relative or friend
11. I cannot work because of poor health
12. I prefer not to work
13. My husband/partner disapproves

97. Some other reason

SHOWCARD 483 - A

1. On 3 or more days a week
2. Twice a week
3. Once a week
4. Once a fortnight
5. At least once a month
6. Quite often but not regularly
7. Just a few times
8. One-off activity
9. You helped or worked on a seasonal basis

SHOWCARD 500 - A

0. No types of childcare or nursery education used
1. Nursery school or nursery class
2. Special day school or nursery or unit for children with special educational needs
3. Day nursery or crèche
4. Playgroup or pre-school (including Welsh medium)
5. Childminder
6. Nanny or au pair or child carer in the home
7. Baby-sitter who comes to your home
8. Breakfast club or After school club, on school/nursery school site
9. Breakfast club or After school club, not on school/nursery school site
10. Holiday club/scheme
11. My ex-husband/wife/partner/the child's non resident parent
12. The child's grandparent(s)
13. The child's older brother/sister
14. Another relative
15. A friend or neighbour
16. Other nursery education provider
17. Other childcare provider

SHOWCARD 500 - B

1. Nursery school or nursery class
2. Special day school or nursery or unit for children with special educational needs
3. Day nursery or crèche
4. Playgroup or pre-school (including Welsh medium)
5. Childminder
6. Nanny or au pair or child carer in the home
7. Baby-sitter who comes to your home
8. Breakfast club or After school club, on school/nursery school site
9. Breakfast club or After school club, not on school/nursery school site
10. Holiday club/scheme
11. My ex-husband/wife/partner/the child's non resident parent
12. The child's grandparent(s)
13. The child's older brother/sister
14. Another relative
15. A friend or neighbour
16. Other nursery education provider
17. Other childcare provider

SHOWCARD 500 - C

0. No types of childcare or nursery education used
1. Nursery school or nursery class
2. Special day school or nursery or unit for children with special educational needs
3. Day nursery or crèche
4. Playgroup or pre-school (including Welsh medium)
5. Childminder
6. Nanny or au pair or child carer in the home
7. Baby-sitter who comes to your home
8. Breakfast club or After school club, on school/nursery school site
9. Breakfast club or After school club, not on school/nursery school site
10. Holiday club/scheme
11. My ex-husband/wife/partner/the child's non resident parent
12. The child's grandparent(s)
13. The child's older brother/sister
14. Another relative
15. A friend or neighbour
16. Other nursery education provider
17. Other childcare provider

SHOWCARD 500 - D

1. Nursery school or nursery class
2. Special day school or nursery or unit for children with special educational needs
3. Day nursery or crèche
4. Playgroup or pre-school (including Welsh medium)
5. Childminder
6. Nanny or au pair or child carer in the home
7. Baby-sitter who comes to your home
8. Breakfast club or After school club, on school/nursery school site
9. Breakfast club or After school club, not on school/nursery school site
10. Holiday club/scheme
11. My ex-husband/wife/partner/the child's non resident parent
12. The child's grandparent(s)
13. The child's older brother/sister
14. Another relative
15. A friend or neighbour
16. Other nursery education provider
17. Other childcare provider

SHOWCARD 553 - A

1. Unemployment-related benefits, or National Insurance Credits
2. Income Support
3. Sickness, disability or incapacity benefits (including Employment Support Allowance)
4. Any sort of pension including a private pension or the State Pension
5. Child Benefit
6. Tax credits, such as the Working Tax Credit or Child Tax Credit
7. Any other family related benefit or payment
8. Housing or Council Tax Benefit (other than the single person council tax discount)
9. Income from any other state benefit

96. None of these

SHOWCARD 553 - C

1. Job Seeker's Allowance

2. or National Insurance Credits

96. None of these

SHOWCARD 553 - D

1. Incapacity Benefit
2. Employment and Support Allowance
3. Severe Disablement Allowance
4. Carer's Allowance
5. Disability Living Allowance
6. Return to Work Credit
7. Attendance Allowance
8. Industrial Injury Disablement Benefit
9. War Disablement Pension
10. Sickness and Accident Insurance

97. Any other disability related benefit or payment

96. None of these

SHOWCARD 553 - E

1. NI Pension or State Retirement (Old Age) Pension
2. A pension from a previous employer
3. A pension from a spouse's previous employer
4. Pension Credit including Guarantee Credit & Savings Credit
5. Private pension or annuity
6. Widow's or War Widow's Pension
7. Widowed Mother's Allowance, Parent's Allowance or Bereavement Allowance
8. War Disablement Pension (if not previously mentioned)

96. None of these

SHOWCARD 553 - F

1. Foster Allowance or Guardian Allowance

2. Maternity Allowance

3. Maintenance or Alimony

4. In-Work Credit for Lone Parents

5. Any payments from a family member not living with you

96. None of these

SHOWCARD 553 - G

1. A private pension or annuity (if not previously mentioned)
2. Education Grant other than a Student Loan or Tuition Fee Loan
3. Trade Union or Friendly Society Payment
4. Maintenance or Alimony (if not previously mentioned)
5. Payments from a family member not living with you (if not previously mentioned)
6. Rent from Boarders or Lodgers (not family members) living here with you
7. Rent from any other property even if it only covers that property's mortgage or running costs

97. Or any other regular payment

96. None of these

SHOWCARD 571 - A

1. Very important

2. Moderately important

3. Somewhat important

4. Not important at all

SHOWCARD 571 - B

1. A lot
2. Somewhat
3. A little
4. Not at all

SHOWCARD 571 - C

1. State retirement (Old Age) pension, including State Second Pension (SERPS)
2. Savings or investments
3. Releasing equity in your home by moving to a less expensive one
4. Renting out a property (other than your main home)
5. Sale of another property (other than your main home)
6. Inheritance in the future
7. Financial support from your partner/family
8. Earnings from part-time/freelance work
9. Occupational or personal pension from scheme not yet started
10. Something else

96. None of the above

SHOWCARD 571 - D

1. Less than a quarter
2. About a quarter
3. About a third
4. About a half
5. About two thirds
6. About three quarters
7. About the same as before retiring
8. Have not thought about it

SHOWCARD 600 - A

England

1. Conservatives

2. Labour

3. Liberal Democrat

6. Green Party

SHOWCARD 600 - B

Scotland

1. Conservatives
2. Labour
3. Liberal Democrat
4. Scottish National Party (SNP)
6. Green Party

SHOWCARD 600 - C

Wales

1. Conservatives

2. Labour

3. Liberal Democrat

5. Plaid Cymru

6. Green Party

SHOWCARD 609 - A

1. Strongly agree
2. Agree
3. Neither agree nor disagree
4. Disagree
5. Strongly disagree

SHOWCARD 609 - B

1. Agree
2. Neither agree nor disagree
3. Disagree

SHOWCARD 609 - C

1. Somewhat agree

2. Strongly agree

SHOWCARD 609 - D

1. Somewhat disagree

2. Strongly disagree

SHOWCARD 610 - A

1. Always
2. Very often
3. Quite often
4. Sometimes
5. Rarely
6. Never

SHOWCARD 615 - A

1. Always

2. Very often

3. Quite often

4. Not very often

5. Never

6. Not applicable, cannot do this

SHOWCARD 840 - A

0 Definitely would not

1

2

3

4

5

6

7

8

9

10 Definitely would

SHOWCARD 840 - B

1 A Face-to-face interview at home

2 A telephone interview

3 A questionnaire sent by post

4 An internet questionnaire

SHOWCARD 950 - A

1. Self-employed
2. In paid employment (full or part-time)
3. Unemployed
4. Retired
5. On maternity leave
6. Looking after family or home
7. Full-time student
8. Long-term sick or disabled
9. On a government training scheme
10. Unpaid worker in family business

97. Doing something else

SHOWCARD 950 - B

1. University Higher Degree (e.g. MSc, PhD)
2. First degree level qualification including foundation degrees, graduate membership of a professional Institute, PGCE
3. Diploma in higher education
4. Teaching qualification (excluding PGCE)
5. Nursing or other medical qualification not yet mentioned
6. A level
7. Welsh Baccalaureate
8. International Baccalaureate
9. AS level
10. Higher Grade/Advanced Higher (Scotland)
11. Certificate of sixth year studies
12. GCSE/O level
13. CSE
14. Standard/Ordinary (O) Grade / Lower (Scotland)
15. Other school (inc. school leaving exam certificate or matriculation)

96. None of the above

SHOWCARD 950 - C

1. Youth training certificate
2. Key Skills
3. Basic Skills
4. Entry level qualifications (Wales)
5. Modern apprenticeship/trade apprenticeship
6. RSA / OCR / Clerical and commercial qualifications (e.g. typing/shorthand/book-keeping/commerce)
7. City & Guilds Certificate
8. GNVQ/GSVQ
9. NVQ/SVQ – Level 1 -2
10. NVQ/SVQ – Level 3 -5
11. HNC/HND
12. ONC/OND
13. BTEC/BEC/TEC/EdExcel/LQL
14. SCOTVEC, SCOTEC, SCOTBEC
15. Other vocational, technical or professional qualification
96. None of the above

SHOWCARD 950 - D

Weekly Amount	Annual Amount
0. NO INCOME AT ALL	0. NO INCOME AT ALL
1. Up to £99	1. Up to £5,199
2. £100 - £149	2. £ 5,200 - £7,799
3. £150 – £239	3. £ 7,800 - £12,499
4. £240 - £319	4. £ 12,500 - £16,599
5. £320 - £379	5. £ 16,600 - £19,999
6. £380 - £459	6. £ 20,000 - £23,999
7. £460 - £559	7. £24,000 - £29,999
8. £560 - £669	8. £ 30,000 - £34,999
9. £670 - £859	9. £ 35,000 - £44,999
10. £860 or more	10. £ 45,000 or more

SHOWCARD 950 - E

1. NI Retirement/State Retirement (old age) Pension
2. Pension from previous employer(s)
3. Disability Living Allowance
4. Job Seekers Allowance (Unemployment) and/or Income Support
5. Employment and Support Allowance
6. Child Benefit
7. Working Tax Credit (formerly Working Family Tax Credit and Disabled Person's Tax Credit)
8. Housing Benefit/Rent Rebate
9. Incapacity Benefit (replaces Invalidity and NI Sickness Benefit)
10. Any other state benefit
11. Child Tax Credit
12. Pension Credit

96. None of these

SHOWCARD 950 - F

Weekly Amount	Annual Amount
0. NO INCOME AT ALL	0. NO INCOME AT ALL
1. Up to £74	1. Up to £3,599
2. £ 75 - £139	2. £ 3,600 - £6,599
3. £ 140 - £199	3. £ 6,600 - £9,599
4. £ 200 - £249	4. £ 9,600 - £12,599
5. £ 250 - £324	5. £ 12,600 - £15,599
6. £ 325 - £399	6. £ 15,600 - £19,199
7. £ 400 - £499	7. £ 19,200 - £23,999
8. £ 500 - £624	8. £ 24,000 - £29,999
9. £ 625 - £749	9. £ 30,000 - £35,999
10. £ 750 or more	10. £36,000 or more