NatCen
National Centre for Social Research

Understanding Society

Innovation Panel Wave 4

Technical Report

Authors: Caroline Killpack and Anni Oskala

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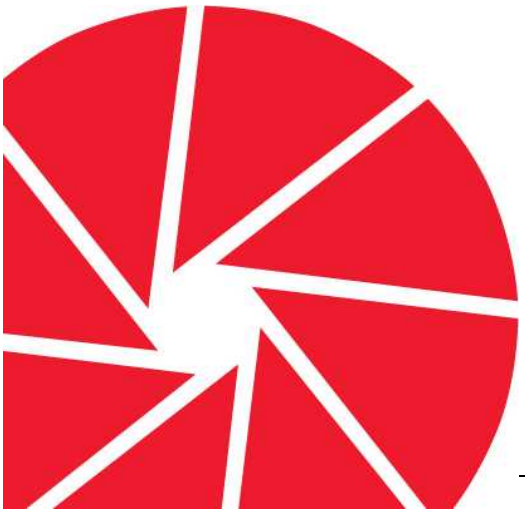

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1 Introduction

1.1 Background

This report provides an account of the methodology used in the fourth wave of the Innovation Panel (IP4) of *Understanding Society*.

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 kind 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 known as the UK Household Longitudinal Study (UKHLS) among the academic community.

Understanding Society provides 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 collects data from all household members aged 10 and above on an annual basis. Annual interviewing allows 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 Innovation Panel has been designed, and established as a separate panel, to enable methodological research such as testing new question formats, methods of asking questions and different data collection modes. Examples of methods testing in the Innovation Panel have included:

- Comparison of different incentive types on response rate
- Testing of different question formats to inform design at future main stage waves of the survey where a mixed mode design is planned
- Transferring cases between modes to achieve an interview

The Innovation Panel was also designed to be the forerunner to the next wave of the main survey, as conclusions from the Innovation Panel are considered in the development of the main stage instruments. The Innovation Panel is conceived as part of the larger study and contributes to the total sample of 40,000 households. It is important to note that the Innovation Panel is not a pilot panel and has not been established to replace the need for normal questionnaire pilots and dress rehearsals.

1.2 Aims of Innovation Panel 4 (IP4)

IP4 is the first stage of *Understanding Society* Wave 4 and is the third wave of longitudinal data collection. A number of elements were tested in IP4, including:

- Investigating the impact of incentives on response rates, efficiency of fieldwork and costs;
- Investigating a new contact approach for longitudinal samples in order to improve fieldwork efficiency;

- Comparing potentially ambiguous questions with improved versions;
- Investigating the impact of question placing and phrasing; and
- Understanding panel conditioning in self-reported longitudinal data.

2 Sample Design

The sample issued for IP4 totalled 2,295 households and comprised two different sample types: core (original, and established, IP households) and refreshment (newly sampled households).

All interviewing was done using Computer Assisted Personal Interviewing (CAPI). For all households in the sample, an interview was conducted with one adult in that household to enumerate the household, establish eligibility and collect information at the household level. Individual CAPI interviews were then attempted with every adult (age 16+) in the household. Adults also completed a self-completion questionnaire (either paper or Computer Assisted Self Interviewing [CASI]). A separate paper self-completion was given to all young people in the household aged 10-15.

2.1 Core sample

As mentioned above, two sample types were issued for IP4. The core sample is the longitudinal component of the IP4 sample and comprised the established panel households, originally interviewed at IP1. The total issued core sample for IP4 was 1,335 households and contained a mixture of both productive households (1,026) and unproductive households (309) from IP3.

2.2 Refreshment sample

Due to attrition at previous waves, the sample for IP4 was boosted to bring the panel back to a total 1,500 households to enable analysis of the experimental elements. The additional 'refreshment sample' was a PAF sample of 960 new addresses drawn from the same points as the original IP1 sample[1], equating to an extra 8 addresses per point for interviewers.

2.3 Distinguishing sample types

In order for interviewers to be able to distinguish between core and refreshment households, and therefore tailor their doorstep and fieldwork approach, an indication of the sample type was included on each household's Address Record Form (ARF). In addition, the IP4 serial number also included a sample type identifier.

2.4 Allocation of selected sample to random experimental groups

The experiments on IP4 were a mix of longitudinal (carried on previous IPs) and new. For the longitudinal experiments, the allocation of core households to treatment groups was influenced by previous allocation, however this was not applicable to the refreshment sample. All allocations were made by ISER and indicated to NatCen with specific variables in the sample file.

[1] See Boreham, R and Constantine, R. (2008). Understanding Society Innovation Panel Wave 1 Technical report. NatCen.

3 Experiments

IP4 included a number of experiments which allowed us to test different methodological approaches. There were two types of experiments: procedural (e.g. incentives experiment) and questionnaire (e.g. phrasing and placement of questions) experiments.

3.1 Procedural Experiments

3.1.1 Between interview mailing

One of the procedural experiments, conducted in January 2011, involved the keep-in-touch mailing sent to the core sample between IP3 and IP4. This experiment aimed to test four different approaches to encourage respondents to sign up on the *Understanding Society* website:

1) Paper between interview mailing report, with a letter encouraging respondents to register on the web-site (no incentive);
2) Paper between interview mailing report, with a letter encouraging web-site registration AND a promise of a £5 incentive for registration;
3) E-mail between interview mailing, with a link to the website where they can access the report (no incentive);
4) E-mail between interview 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 was a fifth, non-experimental, group of respondents who had 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. Furthermore, those respondents who were sent the e-mail but did not register were then sent a letter, with a paper copy of the report.

3.1.2 ARF observations

We tested alternative versions of two of the address observation questions that are currently carried on *Understanding Society*. Interviewers received both versions of the observation questions (on different Address Record Forms) and were asked to record observations accordingly for each address. The experiment aimed to test whether the phrasing of these particular observation questions affects the usefulness of the collected data for non-response weighting.

3.1.3 Early Bird

The purpose of this experiment was to assess a new contact strategy for longitudinal samples. This experiment invited respondents to make first contact with their interviewer by telephone and initiate arranging an interview at a time convenient to them. The experiment allowed us to investigate the overall impact of this contact strategy on fieldwork efficiency including aspects such as response rates, average number of calls per address, proportion of unproductive calls and broken appointments.

This particular experiment is covered in more detail in chapter 4.

3.1.4 Incentives

This was a continuing experiment from previous Innovation Panels aimed at assessing the impact of incentives on response rates, efficiency of fieldwork and costs. The respondents in core sample households received

either £5 or £10, with a sub-group receiving an additional £5 if all adults in the household took part. The refreshment sample was used to test higher levels of monetary incentives. The respondents in refreshment sample households received eiher £10, £20, or £30 depending on the experimental allocation.

3.1.5 Self-completion mode

This experiment aimed to investigate the impact of different self-completion modes on measurement. Half the sample completed the adult self-completion using the standard paper format, whilst the other half were asked to complete the questionnaire in Computer Assisted Self Interviewing (CASI) mode. Those adults who completed the CASI were also asked for their views on the experience and whether they would prefer paper or CASI format going forward.

3.1.6 Re-issue letter

This experiment investigated whether including a leaflet addressing some common reasons for refusal sent to re-issued households might make an impact on response. Half of the re-issued households received the re-issue letter and leaflet, with the other half receiving the letter only. Allocation was done pre interview for all households in the issued sample.

3.2 Questionnaire Experiments

Part of the IP4 questionnaire content was also experimental in design – questions were asked in different ways and others designed to gain information on specific issues of interest.

3.2.1 Question phrasing

The aim of this type of experiments was to understand how question wording affects measurements in terms of accuracy and reliability. Different versions of the questions were allocated across the sample, resulting in interviewers have a mix amongst their assignments.

1. **Timing of past events:** Carried at earlier innovation panels, respondents were asked in different ways about when a particular event or change happened- the first was a traditional explicit request for the date and the second was driven by what the respondent said (e.g.: “I’ve lived here about 6 months”).
2. **Branching in rating scales**: Also carried at previous innovation panels, the structure of some attitudinal questions were changed to investigate whether a branched or un-branched version of the attitudinal scale encouraged a more reliable measure of direction and strength of attitude.
3. **Phrasing of Dependent Interviewing questions**: This experiment aimed to understand whether respondents try to shorten the interview process by always agreeing with filter questions, by asking whether a situation was “still the case” versus whether it “has changed”.
4. **Other wording experiments**: IP4 also tested a handful of other wording and task variants including in determining employment status, disability status, and whether the respondent saved from their current income.

3.2.2 Question placement

As the placement of questions within a questionnaire might impact on respondent’s willingness to answer or the answer they give, IP4 carried two experiments to investigate this:

1. **Benefit consents:** Respondents were asked for their consent to link to economic records, held by DWP and HMRC, at one of two places within the questionnaire: either after the benefits and household finances modules, or at the end of the interview. For respondents who had given their consent at an earlier innovation panel, respondents in a random half of households were reminded of their previous consent behaviour (dependent interviewing), whilst the other half were asked the consent question independently of their previous responses.
2. **Fertility intentions**: in the CASI, respondents in the age group who might father or might still have children were asked if they intended to have more children or not. The placement of this question is

varied- it was asked either just before or just after questions about close friendships, to assess whether the context of placing the question (i.e. asking about children directly after close friends) had an impact on respondents answers.

3.2.3 Experimental modules

IP4 also carried two modules exploring specific experimental questions:

- **Mode preference module**: Respondents were asked about their views on different modes of interviewing: face-to-face, telephone and web. This data will be used to look at response at future Innovation Panels.
- **Height and weight module**: This is a repeated experiment investigating panel conditioning however at IP4 all respondents were asked these questions rather than a sub sample as at previous IPs.

4 Early Bird Appointments

One of the procedural experiments on IP4, the Early Bird focussed on trialling a new contact strategy for a longitudinal panel study. Longitudinal samples are unique in that when a respondent has been interviewed once, the interviewer knows who they need to interview at subsequent waves and they can establish a good rapport as the respondent builds commitment to the study. Due to this nature of the sample, this experiment investigated whether allowing respondents to make first contact with their interviewer during a given period, and arrange their interview in advance, would reduce the amount of broken appointments, wasted trips and number of calls an interviewer has to undertake to make first contact and secure an interview. In addition, half of the households who were eligible for the experiment were offered a £5 incentive if they contacted their interviewer in advance and kept their appointment, in order also to assess whether the response to the experiment was dependent on further monetary incentive.

In order for respondents to be able to make direct contact with interviewers, all IP4 interviewers were issued with mobile phones.

4.1 Household eligibility

Only core households who had responded at IP3 were offered the chance to participate in this particular experiment, as it was felt that they would have built up commitment to the study and would welcome initiating the arrangements for their interview. In all, around two-thirds of the IP3 productive core sample households were invited to request an Early Bird appointment. Half of those invited to take part were offered an additional £5 incentive if they requested an appointment. The other half were not eligible for the additional incentive.

The remaining third of IP3 productive households formed a 'control group' and were not a part of the Early Bird experiment. Those unproductive households from IP3 were also part of the control group.

4.2 Identifying experimental group

Each IP4 household serial number contained an identifier which allowed interviewers to distinguish between the different Early Bird experimental groups. Specifically, the third digit of the serial number indicated whether the household was Early bird with incentive (1), Early Bird without incentive (2), Not Early Bird (3), or Refreshment sample (4).

4.3 Early Bird materials

As part of the advance mailing, the households that were eligible for this experiment received a letter introducing the Early Bird offer and an accompanying flyer with more information (see 9.2.2Appendix B). The letter mentioned that the respondent was being invited to contact their interviewer during a two week period, in advance of fieldwork, to arrange their appointment. The flyer was designed to be eye catching and provide enough information for respondents should they not read the letter in depth. The leaflet described the opportunity, what the respondent had to do and the details they needed to give when making contact with their interviewer.

Each respondent was asked to provide their name, telephone number, date and time of preferred appointment and an Early Bird reference code (EBRef). This reference allowed interviewers to link each respondent who contacted them to their household.

Interviewers were also provided with a modified sample cover sheet listing all the addresses in their allocation, in order of Early Bird experimental group and address number. Interviewers were required to complete the sheet with a number of key pieces of information if a respondent contacted them (e.g. date of contact, respondent's name, updated address details if any[2], outcome of contact, date and time of appointment, outcome of appointment, notes). This information was to be keyed into the admin section of the CAPI questionnaire post interview.

The additional Early Bird incentive was triggered if the respondent was in the Early Bird with incentive experimental group and the interviewer coded at the start of interview that they contacted them within the Early Bird period.

4.4 Mobile Phones

Interviewers were allocated mobile phones in order that their Early Bird respondents could call them to arrange their interview appointment. The mobile number was printed on the advance letter and the Early Bird leaflet, and was specific to each interviewer. Interviewers were also able to quote this as their contact number as part of any other communications with respondents, encouraging direct contact between respondents and interviewers. Despite the low response to the Early Bird experiment (see section 8.3.1), interviewers found the mobile phones useful for general communication with respondents.

4.5 Early Bird Fieldwork period

The time during which a respondent could contact their interviewer and arrange their appointment was during the Early Bird period, which ran from 22nd February until 7th March inclusive. Interviewing could begin on 8th March onwards, during the main interviewing phase of fieldwork.

[2] Interviewers were required to check address details with a respondent when arranging the appointment. If the address had changed, interviewers were to update the address columns on the sheet and input the information into the CAPI when interviewing.

5 Contact and Co-operation Procedures

Approximately six weeks prior to the start of fieldwork, sample members received a between-interview mailing. This mailing was one of the experiments for IP4, as discussed above in section 3.1.1. The format of the mailing was dependent on experimental group (paper or electronic), however, the purpose of the mailing was to remind sample members of their involvement in the study, supply them with some findings (in the form of a Participant's Update and via the participants website) and provide them with the opportunity to update their contact details with ISER. The between-interview mailing letter was signed by Professor Nick Buck of the Institute for Social and Economic Research.

5.1 Advance letters

The advance mailing was the first IP4-related communication administered by NatCen. An advance mailing was sent to all adults in the core sample households. The refreshment sample households received one mailing per address. The advance mailing consisted of an advance letter, a change of address card and freepost return envelope, and an incentive (high street gift voucher[s] worth £5, £10, £20 or £30 depending on the incentive experimental group). For the Early Bird households, a flyer detailing the experiment was also included in the mailing.

The advance mailing was sent in two batches due to the requirements of the Early Bird experiment (see section 4). The first mailing batch, sent to respondents in the core sample households eligible for Early Bird appointments, was sent a week before the start of the Early Bird appointment experiment, to arrive on time by the start of the experiment. The second wave was for the remainder of the households not eligible for the early bird experiment, and was sent a week before the start of the main interviewing phase of fieldwork, to arrive prior to start of fieldwork.

The advance letters at IP4 were tailored based on the sample type (core or refreshment sample), incentive experiment group, and, for the core sample, the Early Bird experiment group and previous wave survey status (interviewed at IP3, not interviewed at IP3 and 'rising 16', i.e. young people who has now turned 16 and become eligible for an interview). Overall, this variation resulted in 21 variants of advance letter wording across the whole IP4 sample.

All advance letters were printed on *Understanding Society* letterhead, and signed by Professor Nick Buck. The name of the interviewer who was making contact with the household was included within the body of the letter.

If a respondent had contacted ISER since their last interview notifying of a change of address, the advance mailing to that person was sent to this new address. If this person was found at some different address, however, interviewers were asked to administer a new letter, and a new incentive was issued by the office if the person went on to be interviewed..

A generic version of the advance letter was also produced for interviewers to use on the doorstep. Interviewers were provided with spare copies of this letter to administer to household members who had misplaced their copy or who had not received one. These letters were also given to new entrants if an interviewer came across them in a household, and for other adults in refreshment households if requested.

5.2 Incentives

As mentioned in section 3.1.4, there were different treatment groups who received £5, £10, £20 or £30. Incentives were sent as part of the advance mailing and were unconditional, i.e. the respondent could keep the incentive even if they did not take part.

Additional incentives needed to be issued during fieldwork to any adults in the core sample who reported not having received their incentive; individuals in the £5 rising to £10 incentive group who fulfilled the whole household completion condition; young people who completed a paper self-completion; interviewed new entrants to the core sample households; and additional adults interviewed in refreshment sample households (the first person interviewed received the incentive sent as part of the advance mailing). If a person qualified for an additional incentive, the interviewer was prompted by the CAPI to complete a 'promissory note', promising to the respondents that we would send them the required incentives within 10 days. The incentives were processed and sent by NatCen using a centralised system.

Response by incentive amount is covered in section 8.3.2.

5.3 Contacting sample members

For those Early Bird households who did not make contact with their interviewer, and for those not eligible for the Early Bird experiment, the first contact was attempted via a personal visit from the interviewer at the issued address. Interviewers were not allowed to telephone households to make contact in the first instance, unless initiated by an Early Bird respondent contacting them. The reason for disallowing first contact by telephone is that at IP4 we were still in the process of establishing the sample members' long-term commitment to the survey and it was felt that telephone contact would increase the risk of refusals and therefore not be appropriate at this stage. Interviewers were required to be flexible and make appointments where necessary, in order to achieve full interviews with all eligible ample members in a household.

5.3.1 Address Record Forms (ARFs) and Sample Information Sheet (SIS)

To enable interviewers to plan their first contact with the households, interviewers were supplied with an Address Record Form (ARF) for each of the addresses in their allocated sample. For the core sample households, interviewers also received a more detailed sample information sheet (SIS) listing further household and individual level information obtained from previous interview(s).

There were two sets of ARFs, one for core households and the other for refreshment households. The structure of the core sample ARFs was as per previous waves. The household information label on the front page of ARF A contained information about experimental allocation (incentive amount, self-completion mode), sample type, IP3 outcome, principal household contact's name and contact telephone number.

The Refreshment sample ARFs followed the standard PAF ARF structure, dealing with dwelling unit and household selection. Due to the ARF observation experiment (section 3.1.2), there were two versions of the Refreshment sample ARF - Refresh1A and B - carrying the two different sets of observation questions. The information label on Refresh 1A/1B contained information on experimental allocation, including incentive amount, adult self-completion mode, sample type and ARF type.

5.3.2 Doorstep documents

Interviewers were provided with a number of documents for use on the doorstep. Interviewers were provided with a laminated generic advance letter to show to respondents to aid recall of the mailing. They were also given copies of an information leaflet ('All you need to know about *Understanding Society*'), to be used as

required and in particular in the refreshment sample households who are new to the study. Interviewers were also provided with study branded appointment cards, broken appointment cards (for use when a respondent had missed their appointment), and a two-sided A5 doorstep flyer including basic information about the study. Interviewers found the information leaflet particularly useful for respondents new to *Understanding Society*. A full list documents can be found in 9.2.2Appendix A.

5.4 Movers and tracing sample members

Those individuals that had moved since their last interview were traced by interviewers in the field. The types of movers could be: a whole household move, where the household has moved together to a new residential address; a split household, where one or more members of the original household have moved to one or more different addresses; and situations where a sample member had moved to an institution (i.e.: nursing/ care home/ hospital) and were eligible for interview.

Interviewers were required to complete a number of tracing activities in order to find a potential follow up address, and were provided with tracing and stable contact letters that they could use to help them obtain a new address from the people they spoke to (e.g. sample members' previous neighbours, new occupiers of their old address, a 'stable contact' person nominated by the respondent as someone who would know where they are if they moved). Any individuals who could not be traced using these methods were returned to ISER for further tracing. Any address updates that were received by ISER during the fieldwork period were communicated to the NatCen Operations department who transferred the information to the appropriate interviewer.

6 The Interview

The survey instrument for IP4 was a CAPI interview and either a paper self-completion or CASI for adults (aged 16 or over), and a paper self-completion for young people aged between 10 and 15.

The CAPI itself carried questions on a variety of topics including household finance and benefits, pensions and savings, family networks and childcare, neighbourhood, employment, and politics. As mentioned in section 3.1.5, some adults also received a CASI element and data linkage consents were also requested as part of the interview.

6.1 Sound recording

Certain sections of the interview were recorded, with the permission of the sample member, to establish whether questions are asked in the best possible way and to understand the processes by which the respondent arrives at the answer they report (i.e. do they ask the interviewer for clarification in order to respond appropriately etc). This is especially pertinent with respect to the data linkage element and understanding what informs a respondent's decision making process.

Interviewer feedback suggested that the majority of the core sample respondents were happy for their interview to be recorded, having been asked at previous waves, however there was suspicion within refreshment sample household as to what was being recorded and for what purpose.

6.2 Self-completion questionnaires

There were two paper self-completion questionnaires: one for young people aged 10-15, and one for adults in the paper mode experimental group. There was also a CASI version for the adults allocated to the CASI mode group. For adults, allocation of CASI or paper self-completion was done prior to interview (see section 2.4) and interviewers were asked to either administer the paper version or provide their laptop for the respondent to complete the CASI section as directed. For paper self-completions, Interviewers were asked to encourage respondents to complete the questionnaires while they were still at the address or to collect the questionnaires when they returned for a second or subsequent visit. This was to ensure that we secured a high response rate for this element of the study. As a last resort, interviewers were able to leave a questionnaire, together with a reply-paid envelope, for respondents to complete at a later time. Interviewers were not permitted to switch between self-completion modes if the allocated mode was refused by the respondent. Whilst there was no consistently adverse reaction from respondents towards the CASI, interviewers felt that the overall interview process, and time spent in the household, was lengthened by administering the questions in that format. Response to the different modes is covered in section 8.2.2.

Interviewers asked a parent or responsible adult for verbal consent or assent before giving a self-completion questionnaire to a young person. Parents were not permitted to help the young people complete the questionnaire; though if they were anxious about its content they were shown a blank questionnaire so that they could assess the nature of the questions. If the young person needed help with the questionnaire, they were encouraged to ask the interviewer for assistance. Blank envelopes were given to the young people so that they could seal the questionnaires before returning them to the interviewer, preserving confidentiality within the household.

The adult questionnaire contained questions on health, feelings, life satisfaction, friends and sleep behaviour. The youth questionnaire contained questions on computer/ internet use, family, future intentions, school, money, health and nutrition and attitudes.

6.3 Consents

As mentioned in section 3.2.2, respondents were asked to consent to data linkage of economic records. Interviewers were prompted to either ask for consent after the finance and benefits section, or at the end of the individual interview. Interviewers administered the consents forms and an information leaflet at the end of the interview, even if consent was requested earlier in the CAPI. It was compulsory to ask the respondent to read the information leaflet thoroughly and interviewers were required to answer any queries the respondent may have had. If they were unable to do this sufficiently, they advised the respondent to call ISER to speak with a member of the team further.

Respondents who gave consent were asked to initial the form to indicate they h ad read the leaflet and to indicate consent to link to DWP and HMRC records, as well as to sign and date the form. Interviewers were required to record the respondent's serial number at the bottom of the form and check that the form was completed correctly before they finished the interview. Respondents were also asked for their rationale in consenting, or not, to data linkage.

Interviewers were provided with the consent flow diagram which illustrated the process of the data linkage and aimed to re-assure respondents about any concerns regarding anonymity and confidentiality.

Response to data linkage consent is covered in section 8.2.3.

6.4 Promissory Notes

As detailed in section 5, incentives were sent as part of the advance mailing. However respondents who were new to a core household, subsequent adults in a refreshment household, those in a household allocated to an incentive group which increased the incentive for whole-household co-operation or those who had not received their mailing were entitled to their incentive if they successfully completed an individual interview. Interviewers were not provided with extra incentives, but were required to administer a promissory note to the respondent. Due to the incentive experiment, and the Early Bird experiment, the CAPI prompted the interviewer to complete the promissory note with the amount that the respondent was entitled to. Interviewers had to sign the form and alert the respondent to the 10 day clause for receiving their voucher. Promissory notes were also administered for young people who completed their questionnaire and returned it to the interviewer.

7 Fieldwork

This section outlines the content of the interviewer briefings, interviewer materials and details about the fieldwork period.

7.1 Briefings

Eight full-day briefings were carried out by the NatCen research team, with input from the ISER team who provided background to the experimental nature of the study. Each briefing covered the background to IP4, its main research objectives, the study timetable, sample design, survey design (including experimental elements), an overview of the survey instruments and procedures, methods for minimising non-contact and maximising response rates. Interviewers were required to complete a pre-briefing homework which demonstrated the CAPI interview.

All eight briefings were conducted in the standard format with a member of the NatCen research team leading a group of interviewers through the content of the day and dealing with any questions that arose. The locations of the briefings mirrored those from previous waves of the Innovation Panel, namely London (x 2), Bristol, Liverpool, Derby, Manchester, Leeds and Glasgow in order to give a wide geographic spread.

The briefings took place between 14th and 18th February 2011, with a total of 118 interviewers attending the briefings. A debrief also took place on 2nd June with eight interviewers in Brentwood. All interviewers working on the survey were provided with feedback forms and asked to fill and return them to the NatCen operations office at the end of fieldwork.

7.2 Materials for interviewers

Interviewers' materials for this survey are listed below

- Project instructions providing information covered in the briefing along with supplementary reference material
- Sample Cover sheet and Early Bird appointments (covered in section 4.3)
- Address Record Forms (ARFs)
- Laminated generic advance letter (discussed in Section 5.3.2)
- Information leaflet
- Doorstep flyer
- Appointment cards to be used on the doorstep
- Broken appointment cards
- Show cards to be used as part of the CAPI interview
- Paper adult and youth self-completion questionnaires (discussed in Section 6.2)
- Feedback forms for respondents to return to operations
- Consent forms and information leaflet
- Consent flow chart diagram
- Promissory notes
- Change of address cards
- Split households flow diagram
- Participant's Update 2 (interviewer use only)

7.3 Fieldwork timetable & progress

Due to the Early Bird experiment, the fieldwork for IP4 was split into different phases: Early Bird; first issue interviewing; first re-issue; and second re-issue.

The Early Bird Appointments phase was the pre-interviewing period of the fieldwork, starting on 22nd February until 7th March. During this period, interviewers could arrange appointments for any of their sample members that contacted them to be undertaken during the first issue interviewing phase. Apart from a couple of rare circumstances, interviewers were not permitted to interview during this two-week period.

The first issue interviewing phase lasted 6 weeks, from 8th March until 18th April. During this period, interviewers made contact with their allocated households, conducted interviewing and also traced movers to their new address.

The first re-issue period began on 10th May and lasted three weeks, closing on 30th May. The fieldwork for this phase was originally timetabled for two weeks, but was extended due to low response and issues with coverage. Interviewers were required to return all cases back to the office at the end of this period.

During the first reissue period it became apparent that the original response rate and achieved sample targets were not going to be met, and response rates would finish ca. 10% below expected. In an attempt to tackle this, all re-issue cases were reviewed with a view to undertake a second re-issue of eligible cases. Extreme care was taken when selecting these cases and certain criteria were applied to ensure that only potentially viable cases were re-issued again. All refusals were excluded; only non contacts and other unproductives were eligible. Call data for each of the potential cases, in particular the non contacts, was reviewed to determine the scope of the sample and chance of conversion. Cases were also allocated, where possible, to interviewers who had not covered that particular household earlier on in the re-issue period or to more experienced interviewers in general. This was partly to prevent interviewers becoming demoralised and re-issues being more successful when allocated to a different interviewer. This second re-issue phase ran from 22nd June until 12th July.

7.4 Booking in

On completion of the data collection in each household, all elements were 'booked in' to the NatCen operations department in Brentwood and were reconciled.

8 Response

8.1 Household response

A total of 2,295 addresses were issued to interviewers - 1,335 in the core sample and 960 in the refreshment sample.

A significant amount of effort was put into raising the response rate and the achieved number of interviews among both sample types. Many cases that were initially returned as unproductive were reissued – for example because a householder could not be contacted or because they refused to participate. The re-issue fieldwork period was extended by two weeks to provide interviewers with more time to secure interviews, and second re-issues were also undertaken.

8.1.1 Core sample household response

Of the 1,335 issued addresses in the core sample, 60 (4.5%) were classed as ineligible. The number is higher than usual in a longitudinal sample because it includes a number of households that were withdrawn from the sample and coded out as 'Other ineligible' after fieldwork had already started, based on a further review of the remarks from the previous wave.

An extra 37 eligible core sample households were identified during fieldwork, as well as 18 ineligible additional households[3], making the total number of eligible households in the core sample 1,312. Interviews were achieved at 916 households, yielding an overall response rate of 70%. The issued core sample consisted, however, of both households that were productive at IP3 and those that were unproductive at IP3. If IP4 household level response is analysis within these subgroups, we find that, as could be expected, response at IP4 was higher among households that had also participated at IP3: 79% of eligible households that took part at IP3 were productive at IP4, as compared with 34% of households that did not take part at IP3. It's also worth noting the higher than usual office refusal rate among the IP4 core sample,5.4%.

A detailed breakdown of household response in the core sample is provided in Table 8.1, p. 23.

8.1.2 Refreshment sample household response

Of the 960 issued addresses in the refreshment sample, 110 (11.5%) were classed as ineligible. Four additional eligible households (and one ineligible household) were identified at eligible addresses during fieldwork,[4] making the total number of eligible households 854. Interviews were achieved at 465 households, yielding an overall response rate of 54%.

This is lower than the response at IP1 (59%), even though we might have expected a similar response, considering that the sample was drawn from the same postcode sectors The rate of non-contacts was

[3] Additional households were identified in the core sample when one (or more) individuals split off from the original household (i.e. respondent(s) moved out of the household). The ineligible additional households were either households where everyone had moved outside the UK and were therefore out or scope, or households ineligible for interview due to containing Temporary Sample Members (who had joined the sample households after Wave 1) only.

[4] Additional households were identified in the refreshment sample when one address on the PAF sample contained more than one dwelling unit (for example where a property has been split into flats) and/or a dwelling unit contained more than one household (for example where the interviewer identifies a lodger who does not share a living room or meal with others living in the same dwelling unit).

comparable at IP1 and IP4 refreshment sample (4.5 and 4.3% respectively). The main contributing factor for the lower response at IP4 is the higher rate of refusals (39.0% at IP4 as compared with 27.6% at IP1). No specific contextual (e.g. political) reasons behind the higher refusal rate were identified by interviewers during fieldwork.

As compared with IP1, a lower proportion of issued households were uncontacted (similar rates of Non-contact; 0.5% of IP4 refreshment sample households are categorised as 'Unknown eligibility, uncontacted', as compared with 4.6% at IP1). This is perhaps due to the persistent efforts to contact all households at IP4 through the two rounds of re-issuing. This could have perhaps in part to contributed to the high number of cases coded as refusals: repeated attempts to contact all addresses could have lead to contact being made (leading in many cases to a refusal) at hard-to-reach households who would have otherwise remained uncontacted.[5]

A detailed breakdown of refreshment sample household response is provided in Table 8.2 (p. 24).

8.2 Individual response

8.2.1 Response to interview

Looking across both sample types, within productive households, the overall co-operation rate for adults aged 16 and over was 82% (including both full and partial interviews). Of those who did not respond in person, information was collected for a further 8% by proxy interview (Table 8.3, p. 25). Similarly to previous waves, there was significant variation in individual response by age and sex (Table 8.4, p.25). Response was higher among women (88%) than men (75%), and response increased with age from 60% among 16-24 year olds to 90% among those aged 65 and over.

8.2.2 Self-completions

All adults aged 16 and over were eligible to complete a self-completion. Some adults were asked to complete a self-completion in CASI mode, while others were offered a paper questionnaire. A small group of those offered a paper self-completion were also asked to complete a more limited number of questions, not suitable for a paper instrument, in CASI mode. The modes were not intended to be interchangeable, although some administrative error can be observed in this regard, with paper self-completions returned by 50 adults assigned to the CASI self-completion group.

A total of 1,484 adults completed CASI self-completion, a response rate of 95% among interviewed adults who were asked to complete some questions in CASI as part of the interview. If looked as a proportion of all adults (including adults not interviewed at IP4) that would have been eligible for the CASI self-completion had they completed an individualinterview, the response rate was 78%. The majority (91%) of CASI respondents entered the answers themselves to the laptop, with a small proportion (9%) completing the CASI with help from the interviewer or another household member. The CASI response varied by age, with younger adults significantly more likely to accept a CASI self-completion than older people. In particular, the oldest age group, 65 and over, had a significantly lower CASI completion rate (67% of interviewed adults eligible for CASI) than all younger age groups. There was also some variation by gender, with men more likely to complete a CASI self-completion than women (96% and 94% of interviewed adults eligible for CASI respectively).

As for paper self-completions, a total of 886 adults eligible for a paper self-completion completed and returned a paper self-completion questionnaire. This equates to 67% of adults in productive households eligible for a

[5] See Boreham, R and Constantine, R. (2008). Understanding Society Innovation Panel Wave 1 Technical report. NatCen.

paper self-completion, or 82% of adults in productive households eligible for a paper self-completion who also gave an individual interview. The response pattern in terms of age and gender was opposite to that observed with CASI (and similar to the pattern observed earlier for individual interview response). A higher proportion of women eligible for a paper self-completion completed the questionnaire than men (73% and 61% of all eligible adults in productive households respectively), and older adults were more likely to complete a paper self-completion questionnaire than younger adults (46% of eligible 16-24-year-olds in productive households completed a paper self-completion, as compared with 72% of those aged 65 and over). One difference in terms of administering the self-completions in the two modes is that CASI can only be offered to and completed by adults who agree to an individual interview, since it forms a part of the CAPI questionnaire. In contrast, a paper self-completion can also be filled in by adults who choose not to do an individual interview. And indeed, a small proportion (7%) of adults in productive households who were not themselves interviewed but were eligible for a paper self-completion completed a self-completion questionnaire.

In terms of interviewer experience of the two alternative modes, whilst the paper self-completion was felt to offer more flexibility in multi-person households (as this part of the interview can be completed by some while others are being interviewed), interviewers did comment that the CASI felt more integral to the interview. Interviewers felt, however, that administering a CASI lengthened the interview process considerably and might have a marked effect on the respondents' perception of interview length and amount of time the interviewer is present at the house, with a possible impact on response at future waves.

Lastly, all young people aged between 10 and 15 were eligible for a paper self-completion – with no experimental variation between modes. A total of 223 young people completed a self-completion, equating to 77% of young people in productive households.

8.2.3 Consent to data linkage

As part of the IP4 questionnaire, respondents were asked for their consent to link to economic and benefit records held by the DWP. The consent questions were asked in one of two places: directly after the benefits module, or at the end of the questionnaire, to test whether the placement of the question might have an impact on response.

Overall, 948 respondents (44% of those interviewed) gave their consent and signed a consent form after reading the supporting information. In addition, 322 (15%) respondents who had previously given their consent confirmed that they were still happy for the consent to stand. Therefore in total, consent was either obtained or confirmed from 58% of the adults interviewed at IP4.

The placement of the questions in the relevant context, after the benefits questions, elicited a higher rate of consent. For example, among the refreshment sample respondents, 57% of those asked directly after the benefits questions agreed to data linkage and signed a consent form at the end of the interview, as compared with 54% of those asked at the end of the interview.

It should be noted, however, that interviewers felt that placement of the consents question after the finances and benefits module disrupted the flow of the interview, with no warning that the question was coming, further exacerbated by the administration of the form and leaflet at the end.

8.3 Experiments and response

IP4 carried a number of interesting experiments. This section will look at the relationship between response and two experiments in particular: the Early Bird and the incentives experiment..

8.3.1 Early Bird

This experiment trialled a new approach for first contact for a longitudinal sample, offering respondents in previously productive households an opportunity to request interview appointment times in advance of the start of fieldwork. Some of the households were offered an additional financial incentive of £5 per person interviewed to pre-arrange their interview time, others were not offered any additional financial incentive.

The response to the experiment was generally low. Of the 713 households invited to take part in the Early Bird, only 65 households contacted the interviewer in advance of the start of fieldwork. Appointments were made in 62 of these cases (the three others were refusals and unsuccessful appointment making attempts). Fifty-eight (94%) of these appointments were kept and resulted in an interview. The successful take-up of the Early Bird offer was somewhat higher in the group that was offered an additional financial incentive than in the non-incentive group: Early Bird appointments resulted in an interview in 10% of the households in the 'incentive' group and 6% of households in the non-incentive group. The final overall response levels were comparable in the incentive and no-incentive groups however.

Interviewer comments suggest that some respondents were aware of the offer but never got around to replying to the interviewer even though they intended to, while others decided not to go through the additional trouble that arranging an interview time would have required. In addition, interviewers reported that some people did not take up the Early Bird offer because, by the fourth wave of the survey, they were quite used to and happy with the ordinary contact strategy, whereby the interviewer makes contact at the doorstep. Some had not even read the advance letter or the Early Bird leaflet in detail, having assumed that the interviewer would be around to make an appointment shortly upon receiving the letter in the post.

Despite the low response, for the small number of households who did take up the Early Bird offer, the experiment brought some benefits. Some respondents commented that they appreciated having the opportunity to request an appointment time. Interviewers reported that it was easier for them to organise their fieldwork early and plan their time accordingly. They felt that it reduced the number of wasted trips with rescheduled appointments that they normally experience. The average (median) number of interviewer calls required to complete all interviewing in these households was one, as compared with three in productive core sample households that did not take part in the Early Bird.

8.3.2 Incentives

The level of incentive as part of the incentive experiment can be seen to be related to household response. The incentives were administered by the office, with tight quality control checks, and we can be confident that despite the complex administration the correct incentives would have been issued to the correct households.

Among the core sample, the highest overall level of response (75%) can be observed among the group of households that has always received the higher £10 incentive (Table 8.5, p. 26).

Among the refreshment sample, the experiment trialled higher levels of incentive of £10, £20 or £30 per person interviewed. A strong association can be observed between the incentive level and household response, with higher levels of incentive eliciting a higher response. Forty-six per cent of households in the £10 experimental group were productive, as compared with sixty-one in the highest, £30, incentive group. (Table 8.6, p. 26) These levels of incentive are uncommonly high in the UK, though comparable levels of incentive are more frequently used in surveys in other countries, e.g. the United States.

Feedback from interviewers chimes with the observed response rates and their relationship with the incentive levels. Interviewers reported that in many case, the incentive appeared to make relatively little difference on

motivating the core sample households to participate; by wave four of a longitudinal study other motivational factors, will also play a part in keeping people as part of the study. However, interviewers noted that in a number of refreshment sample households, the respondents mentioned the incentive as well as the amount, suggesting that the incentive played a greater part in the refreshment sample respondents' initial decision to take part.

Tables

Table 8.1 Household response – core sample

Base: All issued addresses *IP4*

Outcome	N	%
Issued	**1,335**	
Not eligible	**60**	**4.5**
All respondents deceased	6	0.4
All respondents live outside UK	6	0.4
Issued household merged with another	1	0.1
Other ineligible	47	3.5
Eligible	**1275**	**95.5**
Additional households	55	
Not eligible	**19**	
All respondents live outside UK	**2**	
TSM only household	17	
Total Eligible	**1,311**	
Productive	**916**	**69.9**
Refusal	**297**	**22.7**
Office refusal	71	5.4
Refusal before interview	200	15.3
Proxy refusal	6	0.5
Broken appointment, no re-contact	20	1.5
Non-contact	**22**	**1.7**
No contact after 6+ calls	17	1.3
Contact at hhold but not with responsible adult	2	0.2
Contact made but no subsequent contact	3	0.2
Unknown eligibility (contacted)	2	0.2
Contact made but all information refused	2	0.2
Unknown eligibility (uncontacted)	**49**	**3.7**
Unable to locate address	1	0.1
Mover- no follow up address found	42	3.2
Mover- unable to attempt address	2	0.2
Mover- outside area	3	0.2
Mover to Northern Ireland	1	0.1
Unknown eligibility (contacted)	**2**	**0.2**
Contact made but all information refused	2	0.2
Other unproductive	**25**	**1.9**
Ill at home during survey period	5	0.4
Away/in hospital during survey period	6	0.5
Physically or mentally unable/incompetent	7	0.5
Institutionalised	1	0.1
Other unproductive	6	0.5

Table 8.2 Household response – refreshment sample

Base: All issued addresses *IP4*

Outcome	N	%
Issued	**960**	
Not eligible	**110**	**11.5**
Demolished/derelict	4	0.4
Vacant/empty housing unit	69	7.2
Non-residential address	12	1.3
Address occupied - no resident household	15	1.6
Communal establishment/institution	1	0.1
Other ineligible	9	0.9
Eligible	**850**	**88.5**
Additional households	5	
Ineligible – Vacant/empty housing unit	1	
Total Eligible	**854**	
Productive	**465**	**54.4**
Refusal	**333**	**39.0**
Office refusal	7	0.8
Information refused on no. of DUs	3	0.4
Contact made but all information refused	8	0.9
Refusal before interview	296	34.5
Proxy refusal	2	0.2
Broken appointment, no re-contact	17	2.0
Non-contact	**37**	**4.3**
No contact after 6+ calls	24	2.8
Contact made but not with household member	5	0.6
Contact at hhold but not with responsible adult	3	0.4
Contact made but no subsequent contact	5	0.6
Unknown eligibility (contacted)	**9**	**1.1**
Contact not able to confirm presence of household	1	0.1
Information refused about whether residents eligible	1	0.1
Unable to confirm eligibility - lack of knowledge	1	0.1
Unable to confirm eligibility - language barrier	5	0.6
Other unknown eligibility	1	0.1
Unknown eligibility (uncontacted)	4	0.5
Inaccessible	2	0.2
Unable to locate address	1	0.1
Residential but unknown eligibility: no contact	1	0.1
Other unproductive	**6**	**0.7**
Other unproductive	6	0.7

Table 8.3 Individual outcome

Base: All aged 16 and over in productive households	*IP4*
	Total
Outcome	
Fully productive interview	81%
Full proxy interview	8%
Partially productive interview	0%
No contact	2%
Office refusal	0%
Proxy refusal	3%
Refusal before interview	4%
Refusal during interview (unproductive partial)	0%
Broken appointment - No recontact	0%
Ill at home during survey period	0%
Away or in hospital all survey period	0%
Physically or mentally unable/incompetent	0%
Language difficulties	0%
Too elderly	0%
Other reason for no interview	1%
Other unknown eligibility	0%
Base	2673

Table 8.4 Individual response by age and sex

Base: All aged 16 and over in productive households *IP4*

	Age						
	16-24	25-34	35-44	45-54	55-64	65+	Total
Outcome	%	%	%	%	%	%	%
Men							
Productive	51	68	77	77	76	90	75
Proxy	21	13	10	8	10	4	10
Refusal	20	9	7	10	12	4	10
No contact	4	4	3	3	1	0	2
Other unproductive	3	5	3	2	1	2	3
Women							
Productive	69	87	91	91	95	90	88
Proxy	9	6	5	4	2	6	5
Refusal	14	4	4	4	3	3	5
No contact	5	-	-	0	-	0	1
Other unproductive	4	3	1	-	0	1	1
Total							
Productive	60	78	84	85	85	90	82
Proxy	15	9	7	6	6	5	8
Refusal	17	7	5	7	7	4	7
No contact	5	2	1	1	1	0	2
Other unproductive	3	4	2	1	1	1	2
Bases							
Men	*179*	*165*	*213*	*234*	*222*	*256*	*1269*
Women	*192*	*184*	*237*	*273*	*222*	*296*	*1404*
Total	*371*	*349*	*450*	*507*	*444*	*552*	*2673*

Table 8.5 Household response by incentive group – core sample

Base: All eligible households *IP4*

	Incentive Group								
	£5 (always)	£10 (£5 IP1/2/3)	£10 (always)	£5 (£10 IP1/2, £5 IP3)	£5 (£10 at IP1, £5 IP2/3)	£10 (£10 IP1, £5 IP2/3)	£5-£10 (always)	£5 (£5-£10 IP1, £5 IP3)	Total
Outcome					%				%
Productive	70	64	75	66	65	62	62	66	70
Refusal	18	25	18	25	23	23	26	21	23
Non-contact	2	1	2	3	2	2	2	1	2
Unknown eligibility (contacted)	-	-	-	-	-	-	-	1	0
Unknown eligibility (uncontacted)	4	4	3	3	6	2	5	3	4
Other unproductive	3	1	2	2	-	3	2	3	2
Base	*186*	*223*	*121*	*121*	*112*	*107*	*223*	*291*	*1312*

Table 8.6 Household response by incentive group – refreshment sample

Base: All eligible households *IP4*

	Incentive Group			
	£10	£20	£30	Total
Outcome		%		%
Productive	46	56	61	54
Refusal	46	38	33	39
Non-contact	6	4	4	4
Unknown eligibility (contacted)	0	1	2	1
Unknown eligibility (uncontacted)	1	0	0	1
Other unproductive	0	1	0	0
Base	*281*	*285*	*288*	*854*

9 Data preparation

9.1 Data keying and scanning

Paper self-completions were scanned in by an external agency.

9.2 Data coding and editing

Most of the data validation of CAPI surveys is carried out in the field. Extensive range and consistency checks were included in the CAPI program in order to prompt interviewers to clarify and query any data discrepancies directly with the respondent in real time. However, all cases were also passed through an in-house edit to identify any further interviewer issues.

All self-completion data was passed through an edit to check for any respondent routing and coding errors. Consent forms were also reconciled with the CAPI data during the edit stage.

9.2.1 SIC and SOC coding

Four-digit SIC and SOC coding was carried out in the employment and proxy sections of the questionnaire. Each coder's initial batch of work was 'blind coded', i.e. a second coder independently coded respondent's answers to SIC and SOC without seeing how they had initially been coded. Any discrepancies between the initial coder's work and the blind coding by the second coder were resolved by a coding supervisor and feedback was given to correct errors or resolve any misunderstandings.

9.2.2 Cleaning of address information

Each respondent was asked to provide information about a stable contact that could be approached in the event of the individual or household having moved. These addresses, along with any amended or new household addresses, were checked with a software program called Match code, which checks and where necessary corrects postcode for each address.

Appendix A Fieldwork Documents

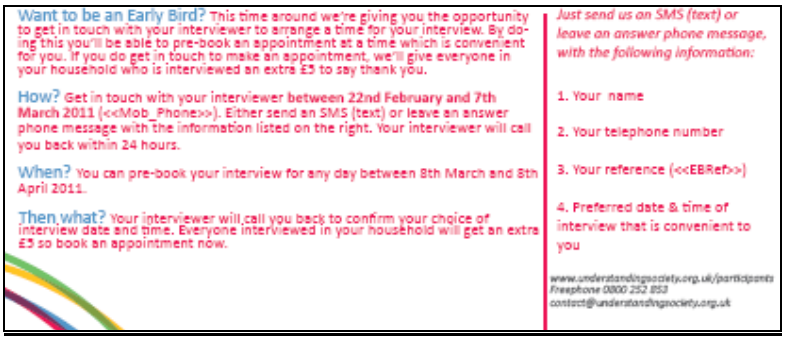
Document	Purpose
Before the Interview	
Sample Cover sheet with Early Bird Appointments	For use during Early Bird Period; to help manage Early Bird appointments
On the Doorstep	
Participant's Update 3	Included as part of Between wave Mailing; Provides survey feedback to respondents
Generic Advance letter (laminated)	For use on the doorstep
Generic advance letters (spare)	To be administered to those who did not receive their mailing/ new entrants
Information leaflet	For use on the doorstep
Doorstep Flyer	For use on the doorstep
Appointment Card	For use on the doorstep when arranging appointments
Broken Appointment Card	For use when respondent 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)
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
784 Log (White)	For any core split 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
ARF Refresh1A (Purple)	For issued refreshment sample households; specific observation questions (experimental)
ARF Refresh 1B (Blue)	For issued refreshment sample households; specific observation questions (experimental)
ARF Refresh2 (Grey)	For multiple selection of Dwelling Units (DU's) at issued address
ARF Refresh3 (Salmon)	For multiple selection of Households at issued address/ DU's
Interview Documents	
Participant's Handbook	For refreshment sample households only; to be administered to each household at time of interview
Participant's Folder	For refreshment sample households only; to be administered to each household at time of interview
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
Promissory Note	To be administered at the end of the adult (16+) interview at the appropriate 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)
Youth (10-15yrs) paper self – completion (Blue)	To be administered to all young people in the household (core and refreshment)
Envelope for self-completion	Blank A4 envelope for confidentiality to be distributed when administering self - completions (both adult and youth)
Poole pre-franked envelope	To be administered if 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
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
Consent Flow Chart	For use when administering consent form and leaflet if respondent has any queries about the data linkage process
Showcards	To be used during adult CAPI interview; divided for respondent ease
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.
Movers	
Tracing letter	For use when you have identified a mover in the field; can be left with current occupiers/ neighbours/ 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
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 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
Project Equipment	
Microphone	For use during CAPI interview, with respondents who give permission for interview to be sound recorded
Mobile Phone	For use primarily for Early Bird period; can be used as personal contact with respondents during fieldwork
Post fieldwork	
Feedback Form	To be completed after fieldwork and returned to Research Team in London

Appendix B Early Bird Materials

Early Bird Leaflet



Sample Cover sheet and Early Bird Appointments

P3025 Understanding Society IP4 Point: «Point_Num» Interviewer: «IP4intName» Interviewer Number: «IP4intNum» Mobile Number: «Mob_Phone» Asset Number: «Asset_Num» FA: «Field_area»

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.

YOUR CASES IN THE TABLE BELOW ARE ORDERED BY SAMPLE TYPE. REMEMBER:

IF Serial= 491.... the household is Early Bird WITH incentive
IF Serial= 492.... the household is Early Bird NO incentive
IF Serial= 493.... the household is Core sample (No Early Bird offer)
IF Serial= 494.....the household is Refreshment sample

Serial (Hhold)	Early Bird Ref (Hhold)	Address	New Address (if moved)	Date of initial mobile phone contact by hhold	Was this during the Early Bird period (before 8 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)
«Serial_num»	«EBRef»	«ff_Address1» «ff_Address2» «ff_PostCode»									

INITIAL CONTACT OUTCOME: APPOINTMENT OUTCOME: