NatCen
National Centre for Social Research

Understanding Society

Innovation Panel 2

Technical Report

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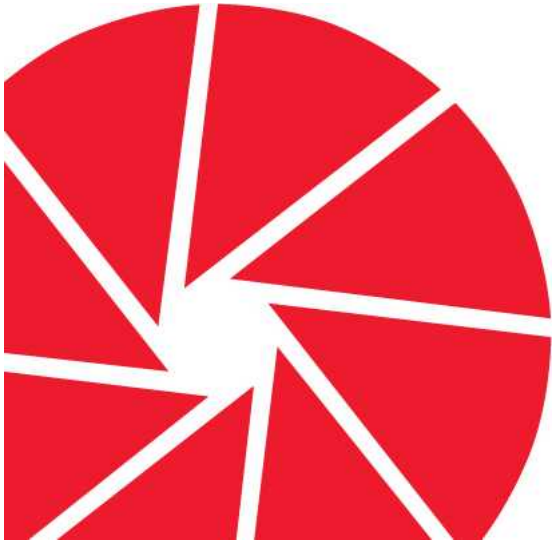

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1 Introduction

1.1 Background

This report provides an account of the second Innovation Panel (IP2) 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 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, and the National Centre for Social Research (NatCen) is responsible for carrying out the fieldwork. The study is known as the UK Household Longitudinal Study (UKHLS) within the academic community.

Understanding Society will provide valuable new evidence about people throughout the UK, their lives, experiences, behaviours and beliefs, and will enable an unprecedented understanding of diversity within the population. The study is multi-topic, and includes questions on housing, education, health, employment, income, attitudes and opinions. It has been designed to meet the research needs of a range of disciplines across the social and bio-medical sciences, and the data will be used by a wide audience including academic researchers and policy-makers within government departments. The study will assist with understanding the long-term effects of social and economic change, as well as policy interventions designed to benefit the general well-being of the UK population.

Data will be collected from all household members aged 10 and older on an annual basis, which will allow us to track relatively short-term or frequent changes in people's lives, and the factors that are associated with these changes. As the years of the study build up we will be able to look at longer-term outcomes for people in the sample.

The Innovation Panel is designed to be the forerunner to the next mainstage wave of *Understanding Society*. It has an exclusive focus on methodological research such as

- Comparing the effect of different incentive amounts on response rates
- Testing different question formats in preparation for a mixed mode wave

Conclusions from the Innovation Panel feed into the development of the mainstage instruments. However, it is important to note that the Innovation Panel is not a pilot study and it is conducted in addition to normal mainstage questionnaire pilots and dress rehearsals. The Innovation Panel is regarded as part of the larger study and contributes to the total sample of 40,000 households.

1.2 The aims of Innovation Panel 2 (IP2)

The purpose of IP2 was to conduct methodological testing on different elements of the study prior to Wave 2.

The aims of the second innovation panel were to:

- Test the process of feeding forward data from IP1;
- Test the conditional transfer of telephone cases to field interviewers;
- Investigate the impact of reverting from a £10 incentive at IP1, to a £5 incentive at IP2 (in terms of response rates, efficiency of fieldwork and costs);
- Determine whether using or not using showcards gave the best comparability to telephone interviews (since showcards are not traditionally used in telephone interviews);

- Establish whether the format of the advance mailing (card or letter) affected the number of office refusals and whether either of these formats had a negative or positive effect on final response rates;
- Investigate how changes to question wording affected the reliability of measurements;
- Manipulate the administration, location and wording of satisfaction questions within the questionnaire;
- Look at the wording of identity questions and the effect of its wording on item non-response;
- Assess the feasibility of administering consent forms by post after a telephone interview; and,
- Encourage 10 – 15 year olds to complete their self-completion online instead of on paper.

1.3 Overview of methodology

IP2 had a named sample comprising productive households from IP1, that is households in which at least one household member completed an individual interview. The issued sample size was 1489 households.

IP2 had eight experiments and was mixed-mode. That is, cases were transferred from CATI[1] to CAPI[2] if certain conditions were met. An initial household interview was conducted with one adult in the household to enumerate the household, establish the eligibility of household members and collect general information about the household. Once this had been completed, individual interviews were then attempted with every adult (aged 16+) in the household. Self completion questionnaires (paper and online versions) were made available to all young people aged 10-15 in the household.

[1] Computer Assisted Telephone Interviewing i.e. a telephone interview

[2] Computer Assisted Personal Interviewing i.e. a face to face interview

2 Sample Design

2.1 The issued sample

All productive households at IP1 (that is, households where at least one adult had completed an individual interview) were eligible for interview at IP2, and these productive households are the basis of the Innovation Panel now that it is longitudinal. The IP1 sample design and initial selection is discussed elsewhere[3].

At IP2, 1489 GB households were issued in total: 497 households were issued direct to field interviewers and a further 992 households were initially assigned to telephone interviewers.

A two stage process was used to allocate the issued households into assignments. First, all issued households were grouped into face to face assignments based on their postcode sectors. Once this had been done, each household was allocated to a telephone or face to face interview based on the experimental condition to which they had been assigned. This approach ensured that the transfer of cases from telephone to field interviewers could be done swiftly, since all cases had been allocated to field interviewers beforehand.

2.2 Movers

Due to the longitudinal nature of the study, re-contacting and interviewing as many sample members as possible is the highest priority. In order to achieve this, interviewers attempted to find and re-interview all sample members who had moved out of the issued household since the last interview. There were three types of mover: 'whole household moves', which as the name suggests, is where all of the household members move to a new address together; 'split households', where a target sample member leaves the issued household and sets up their own household elsewhere; and finally, some sample members may have moved into an institution (e.g. care homes, halls of residence but not prison), in which case they remained eligible for an interview.

2.3 New entrants to the household

New entrants to the household (both issued households and split households) were also eligible for interview, provided that they satisfied three criteria:

- They shared living accommodation or one meal per day with the other household members;
- this was their main residence; and,
- they would be living in the household for six or more months.

2.4 The Address Record Form and Sample Information Sheet

Since the household had been enumerated at IP1, a named sample of individuals and their data was available for IP2. This data was used to provide interviewers with select information about each household which would be beneficial when making contact.

Field interviewers were given an Address Record Form (ARF) for each household that required a face-to-face visit. They used the ARF to record their visits, telephone calls, observations about the address[4] and local area, and attempts to find movers. When the interviewer first made contact they used the ARF to record queries raised by the household and their willingness to take part.

[3] Boreham, R and Constantine, R. (2008). Understanding Society Innovation Panel Wave 1 Technical report. NatCen.
[4] This information is used for non-response weighting

Two types of ARF were used on IP2:

- ARF A was used for the original issued household
- ARF B was used for split households.

ARF A and ARF B had similar content, although all references to the original issued household were removed from ARF B. ARF A was pre-printed with information about the experimental treatments that the household had been assigned to e.g. the incentive amount that the household members had received.

Key information about the issued household was printed onto a Sample Information Sheet (SIS) e.g. names of all individuals in the household at the last interview and their outcome, date and time of last interview, and all known telephone numbers and stable contact[5] information. Interviewers used this information to inform themselves about the household and its composition prior to making contact.

[5] A stable contact is a person nominated by the sample member as alternative contact in the event that the individual or household moves between interviews.

3 The IP2 Experiments

3.1 Overview of the experiments

In total, IP2 had 8 experiments and a mixed mode design. Each experiment was categorised as having either a procedural or measurement focus (see table 3.1). The 'procedural' experiments concentrated on the administration of the study and consisted of experiments on the mode of data collection, format of advance materials and incentive amounts. The 'measurement' experiments focused on the reliability of measurements when showcards were or were not used and when question phrasing and presentation were varied.

Most experiments were allocated at the household level, apart from the showcard experiment which was allocated at PSU level (that is the whole interviewer assignment) to ensure that the experiment was administered as intended. The administration of the experiments was controlled by feed forward variables supplied by ISER. Split households were assigned to the same treatment conditions as the original issued household.

Table 3.1 IP2 experiments and level of allocation

Experiment	Experiment type		Allocation level	
	Procedural	Measurement	Household	PSU
Mixed modes	✓		✓	
Incentive amounts	✓		✓	
Advance materials	✓		✓	
Showcards		✓		✓
Job Satisfaction		✓	✓	
Life satisfaction		✓	✓	
Identity		✓	✓	
Measures of change		✓	✓	

3.2 Mixed-mode experiment

The IP2 sample was divided into three equal sized experimental groups, and each group received a different treatment in terms of questionnaire mode (CAPI or CATI) and sequence of modes. The aim was to establish which of two mixed-mode strategies worked best in terms of response rates, efficiency of fieldwork and costs.

One third of the sample (497 households) was issued direct to face to face interviews and the remainder of the sample (992 households, divided into two groups) was issued to the telephone unit as part of the mixed mode experiment. These CATI cases were eligible for a face to face interview if certain conditions were met (see below). The experimental groups were as follows:

Group 1, CAPI – all households in this group were issued direct to face to face interviewers, that is they were only eligible for face-to-face interviews.

Group 2, CATI 'Move one, move all': all households in this group were issued to the telephone unit. However, as soon as one household member indicated that they were unable to complete the interview by

telephone (because they refused[6], were a non-contact[7] or were unwilling/unable to complete the interview by phone), all outstanding household members were allocated to field, and attempts were made to interview the remaining sample members face to face.

Group 3, CATI 'Try all': Households in this group were only eligible to be transferred once attempts had been made to contact all household members by telephone. Unlike the 'move one, move all' group, attempts to contact each household member by telephone continued even if one household member was unable to take part (because they refused, were unwilling/unable to complete the interview by phone or were a non-contact).

CATI to CAPI transfer process

An automated process was set up to transfer cases from CATI to CAPI. This process relied on specific individual level outcome codes being assigned by telephone interviewers, and this then triggered the transfer of the household to a field interviewer at the appropriate time - immediately if the household was assigned to the 'move one, move all' group or after all household members had been tried if it was the 'try all' group.

3.3 Advance materials experiment

This experiment sought to establish whether sending an advance card resulted in fewer office refusals and a higher response rate when compared to an advance letter; that is the format of the advance mailing was manipulated in this experiment. The findings would help determine whether the advance card would continue to be used on Wave 2.

There were two experimental groups: half of the sample received an advance letter (the more traditional format of advance mailing) and the other half received an advance card. Each interviewer's assignment contained both experimental groups. They knew which type of mailing each household had received which meant they could refer to the appropriate materials when they made contact.

3.4 Incentive experiment

The incentive experiment investigated whether reverting from a higher incentive at IP1 (£10) to a lower incentive at IP2 (£5) resulted in a 'loss', in terms of response rates, fieldwork efficiency and costs. There were five experimental groups and two-thirds of the sample received the same incentive amount as at IP1 and the remainder received a reduced amount. The incentive groups were as follows:

- Group 1: Received £5 (as at IP1);
- Group 2: Received £10 (as at IP1);
- Group 3: Received £5 (a reduction from £10 at IP1);
- Group 4: £5 rising to £10 if all eligible household members took part (as at IP1); and
- Group 5: Received £5 (a reduction from a possible £10 at IP1).

Within each household, everyone received the same incentive amount. However within each interviewer's assignment, households were assigned to a different incentive groups and interviewers were made aware of this.

[6] Only soft refusals were eligible for transfer

[7] Non contact cases were issued to field at the end of the telephone fieldwork period or once a minimum number of calls had been made. The minimum number of calls included: five attempts at contacting each individual, two attempts at each telephone number and a minimum of 10 calls for all telephone numbers combined.

3.5 Showcard experiment

The primary aim of this experiment was to ensure that the Wave 2 questionnaire had an optimal design which minimized the effects of showcards in different questionnaire modes. This experiment investigated whether using or not using showcards in the face to face interview gave the best comparability to the telephone interview (where the same questionnaire was administered but without showcards). This experiment only applied to the third of the sample who had been issued direct to face to face interviewers.

Allocation to the showcard experiment was at PSU level to prevent interviewer behaviour confounding the experiment (i.e. using showcards when they should not). However, if a sample member moved from a non-showcard PSU to a showcard PSU, their original showcard/no showcard allocation was retained.

3.6 Question phrasing experiment

This experiment focused on whether question wording can affect the reliability of measurements between interviews. Question wording and response categories were manipulated in the following questionnaire modules: Ethnic identity, disability, employment status, personal savings, job satisfaction, and life satisfaction. In these modules, two versions of specific questions were available but only one version was administered to the whole household.

The method of obtaining event dates was also manipulated in these modules, by using one of two approaches: a traditional explicit request for the date or allowing the respondent to supply the date either as a duration or actual date.

Another aim of this experiment was to examine how question variants work in a real life setting and whether any problems were encountered (especially in relation to lengthy question definitions). To fulfil this aim, four modules (annual event history, disability, employment and savings) of the face to face interview were audio recorded if the respondent gave their permission.

The experimental allocation was at PSU level meaning that all the households in a given interviewers assignment used use one version of the questions only.

3.7 Job and Life satisfaction experiments

The satisfaction experiments concentrated on two measurements of satisfaction (job and life satisfaction) and three aspects of these satisfaction questions were manipulated: their wording, labelling of the satisfaction scales (fully labelled versus labelling of only the polar points) and the method of administration (CASI[8], using a showcard or without a showcard). In addition, the life satisfaction experiment had an extra facet – it investigated whether the location of this question (towards the beginning or end of the interview) resulted in context effects.

The job satisfaction experiment had 6 treatment groups:

- fully labelled satisfaction scale, CASI administration
- polar point labelled satisfaction scale, CASI administration
- fully-labelled satisfaction scale, showcard administration
- fully-labelled satisfaction scale, no showcards
- polar point labelled satisfaction scale, showcard administration
- polar-point labelled satisfaction scale, no showcards

[8] Computer Assisted Self interviewing i.e. a self completion

The life satisfaction experiment had 10 treatment groups :

- fully labelled satisfaction scale, administered by CASI at the end of the interview
- polar point labelled satisfaction scale, administered by CASI at the end of the interview
- fully labelled satisfaction scale with showcards, administered at the end of the interview
- fully labelled satisfaction scale no showcards, administered at the end of the interview
- polar point labelled satisfaction scale with showcards, administered at the end of the interview
- polar point labelled satisfaction scale no showcards, administered at the end of interview
- fully labelled satisfaction scale with showcards, administered at the beginning of interview
- fully labelled satisfaction scale no showcards, administered at the beginning of interview
- polar point labelled satisfaction scale with showcards, administered at the beginning of interview
- polar point labelled satisfaction scale no showcards, administered at the beginning of interview

3.8 Identity experiment

This experiment had two purposes. The first aim was to elicit sample members interpretation of an established ethnic identity question; did their understanding match the intended purpose of the question? The second aim was to determine whether varying the terms used in an employment question ('occupation' or 'profession') affected item non response.

4 Fieldwork

This section provides information about the interviewer briefings, fieldwork period and describes how contact was made with the households.

4.1 Interviewer briefings

Eight full-day CAPI briefings and four half-day CATI briefings were carried out by the NatCen research team, with input from ISER who provided information on the experiments included in IP2 plus making contact and gaining co-operation.

Each briefing covered the background to the study, sample design, the experiments (purpose and administration) how to counteract soft refusals and maximise response rates, and finally there was a demonstration of the questionnaire.

The CAPI briefings took place between 9th–16th March 2009 in London (3 briefings), Bristol, Manchester, Glasgow, Derby and Leeds. The CATI briefings took place on 16th-17th March 2009 at the NatCen Telephone Unit in Brentwood. In total, 120 field interviewers attended a CAPI briefing and 50 telephone interviewers attended a CATI briefing.

4.2 Fieldwork period

The IP2 fieldwork period lasted from 18th March 2009 until 12th June 2009. To address concerns about the mixed mode design on the cost and efficiency of fieldwork, face to face fieldwork started two weeks after telephone fieldwork so that an accumulation of telephone cases for transfer could take place. This resulted in a larger initial assignment size for field interviewers, comprising cases originally assigned to face to face interviews plus the transferred telephone cases. This approach meant that fieldwork efficiency was optimised and associated financial costs were minimised.

4.3 Preparing field interviewers for the transfer of cases between modes

Field interviewers were made aware that in addition to their initial allocation of face-to-face households (between one and ten households), their assignment would be 'topped up' with CATI cases which satisfied the transfer conditions. Understandably the total number of cases that would be transferred to each interviewer could not be predicted in advance. To address this, interviewers were given a sample coversheet[9] which listed the maximum number of CAPI and CATI cases that they could receive. Interviewers were told to expect their final assignment size to comprise up to two-thirds of the cases listed on the sample coversheet.

When households were transferred from telephone to field interviewers, they were accompanied by a contact information sheet which outlined the contact history whilst in the telephone unit, the reason for the transfer (e.g. refusal, non-contact), a list of all the household members and whether they had completed an interview. This background information helped field interviewers to concentrate their effort on attempting to interview the outstanding household members.

[9]The sample coversheet provided summary details of each household in the assignment and the mode that they had been assigned to

4.4 Advance cards/letters

Advance cards or letters (depending on the experimental group) were posted by the office prior to the start of fieldwork.

One advance card/letter was sent to each adult who was present in the household at IP1, regardless of whether they had completed an individual interview last time. These cards / letters were tailored to the three different types of respondent in the sample (those interviewed at IP1, those not interviewed at IP1 and young adults who had recently turned 16 and were now eligible for an adult interview) and the three different incentive amounts (£5, £10, and £5 rising to £10). In total, there were nine versions of the advance card and nine versions of the advance letter. Each letter/card was signed by Professor Nick Buck of the Institute of Social and Economic Research (ISER).

To avoid confusion over which card/letter should be used when making contact, field Interviewers were given generic versions of these advance materials for use on the doorstep. These generic versions were also given to new household members and those who had not received their advance mailing. A list of the other interviewer materials can be found in Appendix A.

The advance mailing had an additional section to cater for households with young people (10-15 years old). Printed on the back of the advance card/letter was the web address for the online questionnaire and a password for each child so that they could log-on and complete their self-completion online (ideally prior to the interview) should they wish to do so.

4.5 Incentives

Each adult received an unconditional incentive (a high street gift voucher) of either £5 or £10 (dependent upon the experimental group) in their advance mailing.

Additional vouchers were sent after the interview to:

- new household entrants;
- those who had not received their advance mailing;
- young people who had completed the child self completion; and
- those fulfilling the conditions of the £5 rising to £10 incentive group.

If field interviewers encountered any of the above scenarios, they completed a promissory note and left it with the household so that they had a record of how many vouchers they were due to receive, whilst telephone interviewers recorded this information in the CATI. The vouchers were then sent out by the office.

4.6 Informing the police before starting fieldwork

Field interviewers are required to inform their local police force that fieldwork is about to commence in the local area. This is standard procedure on all NatCen studies, and it ensures that the police are aware of the study and can respond to any enquiries from the public regarding whether the study is genuine.

4.7 Contacting sample members

Making face-to-face contact

Field interviewers were required to make their first contact as a personal visit, since this was only the second time that the sample had been interviewed and there were concerns about attrition. Once contact had been

made then subsequent contact could be made by phone (e.g. to confirm appointment times) or a personal visit. Interviewers were required to be flexible and make appointments where necessary.

Interviewers were not allowed to interview anyone that they knew personally to ensure confidentiality and the integrity of responses.

Making contact by telephone

One of the integral elements of telephone interviews at NatCen is the CATI dial screen, which assists with calling the household and displays key information about the household (such as name, telephone number, appointment time, and other sample details).

In the past, most CATI studies have only involved interviewing one individual per household. However, *Understanding Society* interviews multiple individuals and in order to implement the mixed mode design successfully, our standard CATI dial screen was re-developed to suit the needs of IP2.

The new CATI dial screen (developed in conjunction with ISER) was designed to do the following:

- Display telephone numbers at household and individual level for all sample members linked to a household
- Display telephone numbers fed forward from the previous interview and those found during the current fieldwork period
- Assign an outcome code to each telephone number following each call attempt
- Record the history of each call attempt
- Record whether the call had been transferred between individual household members once contact had been made
- Display key information about the sample on follow up screens

This revision to the standard NatCen CATI dial screen worked well in many respects but it failed to store call record information for each call at the time of making contact. The raw Blaise audit file was subsequently obtained and provided to ISER.

Similar to field interviewers, telephone Interviewers were required to be flexible and make appointments where necessary.

4.8 Tracing sample members

As mentioned earlier (see section 2.2), interviewers attempted to find ('trace') and re-interview all sample members identified as movers during the fieldwork period. Tracing could be at household level (in the event of a whole household move) or at the individual level in the event of a split household (i.e. where a target sample member leaves the original household and sets up their own household elsewhere). In either case, field Interviewers had a range of tracing activities that they could draw on:

- contacting the sample member by phone - interviewers tried all available telephone numbers including any new numbers established via tracing;
- contacting neighbours/local residents;
- contacting the current occupants of the address;
- leaving a tracing letter with the current occupants and/or neighbours
- making a visit, telephone call or posting a letter to the stable contact;
- consulting electoral registers, maps, phone books, the police, public records, or other local shops and services such as estate and letting agents, post office etc. E.g. to improve incomplete address information.

Interviewers conducted these tracing activities simultaneously and in the order that best suited the situation they had encountered. If the tracing activities revealed that the sample member had moved into another fieldwork area, the case was re-allocated to another interviewer.

Telephone interviewers relied on address and telephone matching software to trace movers identified over the telephone. If only an address and no telephone number were found, the case was issued to a field interviewer to progress.

All untraced sample members were returned to ISER for further tracing via a secure transfer site. Address and telephone number updates sent by ISER during the fieldwork period were communicated to NatCen so that an attempt could be made to interview these households.

Institutions

Sample members who had moved into an institution (excluding prison) remained eligible for interview at their new institutional address. Such sample members were traced (if necessary) and interviewed if the gatekeeper/household members indicated that this person was fit and/or able to take part. Other residents of the institution were not eligible for interview.

Interviewers were briefed that gatekeepers may be reluctant for interviews to take place and that it could be reassuring for all concerned if other family/household members were present.

4.9 Booking in

Completed households were transmitted back to Brentwood approximately two to three times each week. These households were booked in, and then put into batches so that they could be coded, edited and reconciled.

5 The Interview

The data collection instrument for IP2 consisted of a CAPI interview, CATI interview and self-completions for young people aged 10-15 years old (completed online or on paper). There was also a request, at the end of the interview, for consent to link to health and education administrative records.

The interview covered a variety of topics including:

- family and caring responsibilities;
- health and disability;
- employment and finance; and,
- leisure and voluntary work.

The interview content was the same regardless of the mode in which it was administered and the estimated length for each element of the questionnaire was as follows:

- 15 minute household questionnaire (including the enumeration of the household in the grid);
- 32.5 minute individual adult questionnaire for all aged 16+;
- 10 minute CAPI proxy questionnaire; and
- 10-15 minute youth self-completion questionnaire (online or paper) for all aged 10-15.

Once the household questionnaire was complete the remaining elements of the questionnaire could be accessed using a shortcut function (known as 'parallel blocks'), and interviews were conducted with one adult at a time (as opposed to concurrent interviewing). In addition, answers from the previous interview were 'fed-forward' which minimised respondent burden at some questions ("dependent interviewing").

5.1 Linking to administrative records

Consent to link to health and educational administrative records was sought during the individual interview. Interviewers were prompted by the questionnaire to ask each adult for these consents, and responsible adults were asked to given permission for each of their children.

With regards to health, consent to health data and a follow up on health data from the NHS Central Register (NHSCR[10]) was requested.

A request to link to education data was only required if consent had not been given at IP1, so those respondents who gave consent at IP1 were not asked to do so at IP2. The questionnaire determined whether the interviewer should ask for this consent. Only adults aged 16-24 and all responsible adults for children were asked to give consent.

5.1.1 Obtaining consent

In order to link to the administrative records, written consent from each adult was required. Respondents were given information leaflets about the health and education data linkage to ensure that they were fully informed about the consent that they were giving. These leaflets provided information about administrative data used in the linkage, who the data would be used by and how to revoke their consent should they wish to do so.

[10] maintains contact information for all NHS patients.

Interviewers were also provided with a consent flowchart to assist with their explanation of the data linkage process and to assure respondents about the confidentiality and anonymity of their data.

If the sample member agreed to give consent they were given the appropriate consent form to complete. On the child consent forms, consent for up to six children could be recorded on each form.

5.2 Recording face-to-face interviews

Four sections of the interview (annual event history, disability, employment and savings sections) were recorded with the permission of the sample member. The aim was to establish whether questions in these modules were being asked in the best possible way and to identify the processes by which respondents arrived at their answers (see section 3.6 for further information). Only those cases issued directly to face to face interviewers were eligible to be recorded (that is, cases transferred from the telephone unit were not recorded).

To ensure that these recordings remained confidential, the sound files were removed from the interviewer's laptops at the end of fieldwork using an "IronKey" (a secure USB encrypted flash drive).

5.3 Youth self-completion questionnaire

The youth self completion was available in two formats: a web questionnaire and a paper self completion. The questionnaire covered a variety of areas such as health, behaviour towards others, school, family life, and hopes for the future and the questions were the same regardless of the mode of administration.

It was hoped that printing the web address and individual log-on passwords on the back of the advance cards/ letters of responsible adults, would encourage young people to complete the web version of the questionnaire prior to the interview. However, provision was made for those cases who were unable to complete it prior to the interview, for example because they did not have internet access.

Field interviewers administered a paper self completion if the online version of the questionnaire had not been completed at the time of their visit. Interviewers were encouraged to collect these self paper completions themselves (in preference to the household posting it back) as this is known to result in a better response rate.

When telephone interviewers spoke to the responsible adult, they queried whether the young person had completed the web questionnaire, and if not whether there was any intention to do so. If it was confirmed that the self completion would be completed online after the interview then this was acceptable, providing that the sample member still had their advance card or letter and could therefore refer to their issued logon password. Otherwise, a paper self completion was sent out by the office - new passwords were not generated for the online questionnaire if the respondent no longer had their advance letter. A paper self completion was also sent to the household if there was no intention of completing the questionnaire online.

Interviewers had to obtain verbal consent from the parent or responsible adult before they administered the paper self completion.

Young people received a gift voucher for completing their questionnaire. This voucher was handed out by the interviewer if the questionnaire was completed whilst they were in the household. Otherwise, the voucher was mailed out by the office if the young person posted the questionnaire back after the interviewers visit.

5.3.1 Maintaining the confidentiality of 10-15 year olds

Measures were taken to ensure the confidentiality of 10-15 year olds and these measures were tailored to the questionnaire mode. To maintain the confidentiality of young people who completed the questionnaire online, a parental version of the questionnaire was made available which displayed all of the questionnaire content. It was hoped that providing access to this dummy questionnaire would alleviate any concerns about the questionnaire content, and convince parents to encourage their children to complete the questionnaire online.

Paper self completions were administered and returned in a privacy envelope to maintain the young persons' confidentiality. Parents/responsible adults were encouraged to look at blank versions of the questionnaire. They were informed that they could not review the completed version of the questionnaire (if they requested to see it) as this would breach the young person's confidentiality. Young people were encouraged to discuss any queries with the interviewer.

6 Response

6.1 Household response

1489 households were issued to interviewers, of which 18 (1.2%) were found to be ineligible. An additional 72 households were created during fieldwork to account for those sample members who had left the issued household. Therefore, the total number of eligible households was 1543. Interviews were achieved at 1122 households, resulting in a response rate of 73%. Table 6.1 provides a detailed breakdown of household response. This shows, for example, that interviewers were unable to contact 4% of households and 17% of households refused to participate (most refusals were encountered when the interviewer made contact).

Table 6.2 shows that household response varied according to whether the interview was carried out by telephone or face to face (77% compared with 70/72% respectively). As mentioned earlier, cases were transferred from CATI to CAPI if they refused, were a non-contact or unwilling/unable to complete the interview by phone (see section 3.2). 75 telephone cases were transferred to field interviewers and response was lower amongst these transferred cases, irrespective of the telephone experimental group that they had been assigned to. For example in the 'first refusal' group, response was 59% amongst transferred cases compared with 76% for those cases that remained in the telephone unit.

In order to maximise response, unproductive households with specific outcome codes were selected for re-issue (for example, if a household could not be contacted during the original fieldwork period). In total, 415 households were re-issued and interviews were subsequently achieved at 233 of these households (58%).

Table 6.3 provides details on household response by incentive type and Table 6.4 details the reasons given for refusal by incentive type.

6.2 Individual response

6.2.1 Response to interview

Within productive households, the overall co-operation rate for adults was 84%. Of those who did not respond in person, a further 3% were collected by proxy interview (see Table 6.5 for further information on individual response).

Table 6.7 shows that individual response varied by sex and age. Similar to IP1, response was higher among women (90%) than men (79%), and increased with age from 72% of 16-24 year olds to 89% amongst those aged 65 and over. Table 6.6 shows individual response by mode.

6.2.2 Self completions

227 young people were eligible for a youth self-completion and 130 completed a questionnaire: 118 were completed on paper and the remaining 12 were completed online. This equates to a 51% response rate.

6.2.3 Consent rates for data linkage

Approximately 80% of adults within productive households gave their consent to health and education data linkage (see Table 6.8 to Table 6.10).

With regards to data linkage for children, parents/responsible adults appeared to be more cautious about giving consent - less than 60% gave consent to health and education data linkage (see Table 6.11 to Table 6.13)

Table 6.1 Household response

Base: All issued households *IP2*

Outcome	N	%
Issued	**1489**	
Not eligible	**18**	1
All respondents died	3	0
All respondents emigrated outside UK	7	0
Other ineligible	8	1
Eligible	**1471**	99
Additional households	72	
Total eligible	**1543**	
Productive	**1122**	73
Refusal	**261**	17
Office refusal	11	1
Contact made but all information refused about household	13	1
Refusal before interview	181	12
Proxy refusal	15	1
Refusal during interview	6	0
Broken appointment	35	2
Non-contact	**56**	4
No contact after 6+ calls	39	3
Contact made but not with eligible respondents	11	1
Contact made but not with responsible adult	2	0
CATI only - Other non-contact	4	0
Movers	**32**	2
Household moved – no follow up address	28	2
Moved to new address within UK	4	0
Other non-response	**69**	4
Unable to locate address	3	0
No phone number provided for respondent	7	0
CATI only: Out of service or disconnected	21	1
Always telecommunication technological barriers	1	0
Office use only: Other unproductive	40	3

Table 6.2 Household response by mixed mode group and mode of interview

Base: all eligible households *IP2*

	Experimental mode			
	Face-to-face	Move 1, move all	Try all	Total
Outcome	%	%	%	%
FTF				
Productive	77	59	62	70
Non-contact	4	6	6	4
Refusal	15	22	19	18
Other non-response	1	6	10	4
Movers (untraced)	3	7	4	4
Telephone				
Productive	-	76	77	76
Non-contact	-	3	2	3
Refusal	-	16	16	16
Other non-response	-	5	6	5
Total				
Productive	77	70	72	73
Non-contact	4	4	3	4
Refusal	15	18	17	17
Other non-response	1	5	7	5
Movers (untraced)	3	2	1	2
Bases				
FTF	*510*	*179*	*180*	*869*
Telephone	-	*331*	*343*	*674*
Total	*510*	*510*	*523*	*1543*

Table 6.3 Household response by incentive group

Base: All eligible households *IP2*

	Incentive group					
	£5	£10	£5[1]	£5-£10	£5[2]	Total
Outcome	%	%	%	%	%	%
Productive	69	75	75	75	72	73
Non-contact	4	3	2	4	5	4
Refusal	20	15	17	16	15	17
Other non-response	5	4	5	3	6	5
Movers (untraced)	2	3	2	2	2	2
Bases	*488*	*268*	*260*	*261*	*266*	*1543*

[1] £10 at IP1

[2] £5 rising to £10 at IP1

Table 6.4 Reasons for refusal by incentive group

Base: All households who refused *IP2*

	Incentive group					
	£5	£10	£5[1]	£5-£10	£5[2]	Total
Reasons for refusal	%	%	%	%	%	%
Too busy	**24**	**30**	**40**	**33**	**22**	**28**
Looking after ill/elderly	-	3	7	3	-	2
Looking after child(ren)	2	3	-	-	-	1
Respondent almost never home	2	3	-	-	3	2
Respondent is temporarily absent	1	-	-	-	-	0
Stressful family situation	3	3	-	15	6	5
Too busy	16	18	33	15	13	18
Personal reasons	**2**	**6**	**3**	**3**	**3**	**3**
Unhappy about confidentiality	-	3	3	-	-	1
Questions too personal	2	3	-	3	3	2
Attitudes towards survey	**10**	**12**	**16**	**15**	**22**	**20**
Respondent does not want to be bothered	3	9	13	12	13	15
Nothing ever changes	3	-	-	-	-	1
Survey is too long	3	3	3	-	6	3
Survey is waste of time	1	-	-	3	3	1
Family pressure	**4**	**9**	**10**	**6**	**9**	**7**
Other family member opposes respondent participating	-	3	-	3	3	1
Other hhold member refuses on behalf of respondent	4	6	10	3	6	6
No reason given	**16**	**24**	**10**	**15**	**16**	**16**
Other reason	**25**	**18**	**20**	**27**	**28**	**24**
Bases	*89*	*33*	*30*	*33*	*32*	*217*

[1]£10 at IP1

[2]£5 rising to £10 at IP1

Table 6.5 Individual response

Base: All aged 16 and over in productive households *IP2*

	Total
Outcome	%
Full productive interview	84
Full proxy interview	3
Partially productive interview	1
Partial proxy interview	1
No contact	2
Office refusal	0
Refusal before interview	2
Proxy refusal	3
Refusal during interview	0
Broken appointment, no recontact	1
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
Moved outside of UK	0
Other reason for no interview	2
Bases	*2101*

Table 6.6 Individual response by mixed mode group and mode of interview

Base: all aged 16 and over in productive households *IP2*

	Experimental mode			
	Face-to-face	Move 1, move all	Try all	Total
Outcome	%	%	%	%
FTF	%	%	%	%
Productive	87	75	72	82
Proxy	5	9	5	6
Refusal	5	8	10	7
No contact	1	3	8	3
Other unproductive	1	6	5	3
Telephone				
Productive	-	89	90	90
Proxy	-	2	1	1
Refusal	-	6	5	5
No contact	-	0	2	1
Other unproductive	-	4	2	3
Total				
Productive	87	84	84	85
Proxy	5	4	2	4
Refusal	5	6	7	6
No contact	1	1	4	2
Other unproductive	1	4	3	3
Bases				
FTF	*735*	*213*	*229*	*1177*
Telephone	-	*452*	*472*	*924*
Total	*735*	*665*	*701*	*2101*

Table 6.7 Individual response by sex and age

Base: all aged 16 and over in productive households *IP2*

Outcome	Age 16-24 %	25-34 %	35-44 %	45-54 %	55-64 %	65+ %	Total %
Men							
Productive	65	73	77	82	85	88	79
Proxy	6	6	9	3	3	5	5
Refusal	16	13	8	9	9	5	9
No contact	6	4	4	1	3	-	3
Other unproductive	7	4	2	5	-	2	3
Women							
Productive	81	86	93	94	93	90	90
Proxy	9	1	2	1	1	4	3
Refusal	4	3	3	3	3	3	3
No contact	3	5	0	0	1	-	1
Other unproductive	4	4	1	1	2	3	2
Total							
Productive	72	80	86	88	90	89	85
Proxy	8	4	5	2	1	4	4
Refusal	10	8	5	6	6	4	6
No contact	4	5	2	1	1	-	2
Other unproductive	6	4	2	3	1	2	3
Bases							
Men	*124*	*136*	*185*	*185*	*158*	*216*	*1005*
Women	*113*	*147*	*209*	*211*	*178*	*237*	*1096*
Total	*237*	*283*	*394*	*396*	*336*	*453*	*2101*

Table 6.8 Consent to link to adult health records

Base: all aged 16 and over in productive households *IP2*

Consent given	%
Yes	79
No	21
Not sure/maybe	1
Bases	*1788*

Table 6.9 Consent to link to adult NHSCR records

Base: all aged 16 and over in productive households *IP2*

Consent given	%
Yes	79
No	22
Bases	*1788*

Table 6.10	Consent to link to adult education records
Base: all aged 16 - 24 in productive households and did not give consent at IP1	*IP2*
Consent given	%
Yes	78
No	21
Not sure/maybe	1
Bases	*72*

Table 6.11	Consent to link to child health records
Base: all aged 0 – 15 in productive households	*IP2*
Consent given	%
Yes	57
No	43
Bases	*250*

Table 6.12	Consent to link to child NHSCR records
Base: all aged 0 – 15 in productive households	*IP2*
Consent given	%
Yes	58
No	42
Bases	250

Table 6.13	Consent to link to child education records
Base: all aged 4 - 15 in productive households and did not give consent at IP1	*IP2*
Consent given	%
Yes	51
No	49
Bases	89

7 Data preparation

7.1 Data keying and scanning

The paper self-completion data was scanned by an external agency, and the consent form data was keyed by in-house staff.

7.2 Data coding and editing

Most of the data validation of CAPI and CATI study responses is carried out in the field. Extensive range and consistency checks were included in both the CAPI and CATI programs, and these prompted interviewers to clarify and query any data discrepancies directly with the respondent in real time.

Once the CAI data was returned to the office, cases were batched so that final coding and edit checks could be completed.

7.2.1 SIC and SOC coding

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

7.2.2 Self completion edit

An edit was carried out on the scanned self completion data to check that valid answers had been recorded at each question, and that the correct routes had been followed throughout the questionnaire. If discrepancies needed to be resolved, the scanned image of the question was consulted.

7.3 Cleaning of contact information

Contact information (such as name and address) was 'cleaned' if it had been updated or newly recorded at this interview. For example, if inappropriate punctuation had been recorded in a name this was removed.
This ensured that that it was suitable for use at the next interview.

The following contact information was reviewed and edited when appropriate:

- Sample member name
- Sample member address
- Sample member telephone number(s)
- Stable contact name
- Stable contact address
- Stable contact telephone number(s)

The validity of addresses was checked with a software program called 'Matchcode' which checks and where necessary corrects the postcode for each address.

7.4 Reconciliation edit

Once cleaned, the CAI data, consent and self completion data were merged and reconciled, and then further checks were carried out to ensure that each of these elements had been matched to the correct sample member.

Appendix A Interviewer fieldwork materials

The materials used on this study are listed below. All respondent-facing documents were branded with the *Understanding Society* logo.

Document	Description
Generic advance card	This introduced the latest wave of the study. It was used when field interviewers made contact, and it referred to an incentive but not the actual amount.
Generic advance letter	
Generic survey leaflet	Provided a brief overview of the study; used on the doorstep in CAPI interviews and included in the advance mailing for CATI sample members.
Sample cover sheet	Provided summary details of each household in the assignment and the mode that they had been assigned to
ARF A & sample information sheet – issued household	This was used by field interviewers to record their attempts to make contact with the issued household. There was one ARF for each issued address.
ARF B – split household(s)	This was used by interviewers to record their attempts to make contact with sample members who had moved.
Consent form A (Adult health)	Used to obtain consent to health data linkage.
Consent form B (Child's health)	
Consent form C (16- 24 education)	Used to obtain consent to education data linkage.
Consent form D (Child's education)	
Health records information leaflet	Used to help explain the health and education data linkage process.
Education records information leaflet	
Consent flowchart	
Youth self-completion (10-15 year olds)	
Stable contact letter	Used when attempting to find sample members who had moved from the issued household.
Tracing letter	
Interviewer project instructions	Provided information covered in the briefing along with supplementary reference material.
Promissory note	Provided the household with a record of how many vouchers they would receive after the interview.
Participants handbook and folder	Provided an overview of the study and its purpose.
Pen	
Change of address cards	Respondents were given these so that they could notify ISER if they moved address in the future.
Appointment card	Only used in face to face to interviews.
Showcards	Only used for face-to-face interviews where the addresses had been allocated to the showcard experimental group.
Microphone	Only used in face to face interviews.