Understanding Society Innovation Panel Wave 6

Technical Report

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1 Introduction

1.1 Background

This report provides an account of the methodology used in the sixth wave of the Innovation Panel (IP6) 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
- Using a mixed mode data collection design
- Testing of different question formats to inform design at future main stage waves of the survey where a mixed mode design is planned

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 6 (IP6)

As with previous Innovation Panels (IPs) the experiments that it carries are at the heart of IP6. These are described in full in Section 3.

The mixed mode experiment that introduced CAWI for a random subset of the sample in IP5 remains a major driver of the design in IP6 and of key interest for the long-term development of the main *Understanding Society* study.

Having successfully moved a relatively large proportion of the sample to CAWI, the aim for IP6 is to provide evidence as to whether acceptable response rates can be sustained in a longitudinal context for those who do not see an interviewer from year to year.

IP6 will also help address other crucial questions to inform whether and how to roll out a mixed mode approach to the main study: identify those procedures most likely to optimise response; establish the level of cost savings by moving away from CAPI; and provide evidence on the impact on data quality resulting from carrying questions in a different mode.

2 Overview of the survey design

2.1 Who is interviewed?

- The Innovation Panel is a longitudinal household survey representing households in Britain.
- All members of selected households are enumerated, with those aged 16 and over interviewed in full, and those aged 10 to 15 provided with a shorter self-completion questionnaire.
- For most of the panel members, the study is in the sixth wave of fieldwork (IP6). A refreshment sample was introduced in IP4 to increase the number of households following attrition in the earlier waves.
- In IP6, 1,397 households were included in the survey.

2.2 What data is collected?

There are a number of components to the data collection exercise:

- **Household grid** – completed by whoever is first contacted in the household, this collects the basic information about who lives in the household
- **Household questionnaire** - completed by the household bill-payer (or an appropriate person at the interviewer's discretion), covers a wide range of household-level information including energy consumption and expenditure
- **Individual questionnaire** – completed by each individual in the household aged 16 and over, this questionnaire covers subjects including employment and education, the domestic division of labour and relationships
- **Paper self-completions for adults** – included as part of an experiment described in the next section – a random group is selected to receive the paper version whilst others complete the module within the interview as CASI or online
- **Paper self-completions for those aged 10 to 15**
- **Proxy interviews** - where a household member is unable to participate during the fieldwork period a proxy interview can be undertaken by the interviewer with a household member

2.3 Fieldwork design

The fieldwork design is driven by a mixed mode experiment which allocated a random subset of households to a sequential mixed mode approach at IP5 (sequential mixed mode was adopted with CAWI as the first mode in order to avoid the higher cost of sending an interviewer where possible). The same group of households are again included in a mixed mode approach in IP6 (referred to hereafter as the 'Web sample').

Approach to the Web sample

- **Phase 1:** The Web sample households were initially approached via email and letter to carry out the survey via **CAWI** (Computer Assisted Web Interview)
- **Phase 2:** Those households or individuals that did not participate via CAWI within two weeks of the invitation were approached for a face to face interview via **CAPI**

(Computer Assisted Personal Interview). They could still carry out the interview by CAWI for most of this fieldwork period.

- **Phase 3:** If individuals had still not participated by the end of the fieldwork period, they were assessed for inclusion in a final **CATI** phase (Computer Assisted Telephone Interviewing). The CAWI was available during this phase as well.

Approach to the F2F sample

The other experimental group was the 'Face to Face' or F2F sample. This group was not asked to carry out the survey by CAWI, and instead was approached first by field interviewers as part of Phase 2.

In this way, a mix of sample types was included in the assignments provided to field interviewers and worked simultaneously in the same field period.

There was no CAWI option for this sample during this phase. However, when unproductive individuals were moved to Phase 3 for CATI fieldwork, the CAWI was made available for that period.

2.4 Data collection timetable

The timing and dates for the three phases is described below. There were two sample 'tranches', the first of which was small and acted as a pilot group, as described in section 4.

Table 2.1 Data collection timetable

	Timing	***Tranche 1 dates***	***Tranche 2 dates***
Phase 1 – CAWI only – Web sample only	2 weeks	22nd Feb 2013 to 7th Mar 2013	22nd Mar 2013 to 7th Apr 2013
Phase 2 – CAPI for unproductive Web sample and all F2F sample. CAWI available alongside for Web sample only	10 weeks + 2 weeks mop-up 7 weeks for CAWI	8th Mar 2013 to 31st May 2013	8th Apr 2013 to 1st Jul 2013
Phase 3 – CATI mop-up for Web and F2F samples, CAWI available for both samples	4 weeks	4th Jun 2013 to 27th Jun 2013	4th Jul 2013 to 29th Jul 2013

3 Methodological experiments and testing

A key feature of the Innovation Panel is experimentation. The study is designed to improve the way that social surveys are run and the quality of data collected. It does this by incorporating into its design some experimental variation between different groups of participants.

IP6 involved 14 interlaced experiments, which fall into two types:

1. Procedural experiments
2. Questionnaire experiments

Some of the experiments were continuing from previous waves (e.g., mixed mode, incentive experiment, question wording experiments), to allow longitudinal assessment of effects. Other experiments were run in IP6 for the first time (e.g. time risk preference)

3.1 Procedural experiments

Procedural experiments are aimed at assessing different survey processes and contact methods. The experiments in IP6 include those that seek to engage sample members more effectively in project communications, collect better quality self-completion data and increase the level of survey participation.

Mixed modes experiment

The experiment involved offering a proportion of the households the possibility of completing the questionnaire online before face-to-face fieldwork commenced. The rest of the sample was approached face-to-face in the first instance. This allowed estimating the take-up of the CAWI instrument and the impact of this mode on response rates and costs of the survey. Households were allocated to the same group as in IP5, so data collected in IP6 will give insight on how mixed mode works over time. See section below for more detailed discussion of the implementation of this experiment.

Incentives experiment

The IP6 incentives experiment continues from previous waves. It assesses the impact of incentives on response rates, efficiency of fieldwork and costs. Incentives in the form of a Post Office voucher were sent in the advance mailing. On IP6, sample members in the Face-to-Face sample all received £10 in their advance letter. In the Web sample adults received either £10 or £30 with their advance letter, with a sub-group of the £10 group receiving an additional £20 per adult if all adults in the household completed their questionnaire online within the two week CAWI-only phase (Phase 1). For some of the households this was the same level of incentive as in previous years, for others it was a different amount. See section 9 for a description of response rates between the different incentive groups.

Adult Self-completion mode experiment

Adults interviewed in CAPI (from either F2F or Web group) were assigned to receive an A4 paper adult self completion booklet or to complete these questions in CASI (Computer Assisted Self Interview). This experiment will give the opportunity of looking at the effects that different and changing modes of the self-completion instrument have on the reliability of longitudinal measures. The mode of adult self-completion were

indicated on the front of the Address Record Form to help interviewers identify which experiment group the household was allocated to. Completed adult self-completion booklets were either collected by the interviewers on their visit or posted by the participant in a pre-paid envelope.

Youth paper self-completion: smiley-faces vs. text-based questions

This experiment examines how to adapt questions for surveying children. Two versions of the youth paper self-completion questionnaire were used. Half the children received a YELLOW booklet which used smiley faces for the question on satisfaction (Question 28), and the other half received a BLUE booklet which used a scale with a textual description. The version to use in a particular household was indicated for interviewers on the front of the Address Record Form. Completed youth self-completion booklets were either collected by the interviewers on their visit or posted by the participant in a pre-paid envelope. Children received a £5 incentive for completing their self-completion questionnaire.

Measuring household energy use (advance mailing)

There were two dimensions to this experiment. Firstly, half of F2F households were warned in the advance letter of the need to collect readings and the other half were not. Secondly the type of readings which were obtained differed between: gas, electric and odometer or odometer only. The experiment aimed to test the feasibility of collecting these data, and to find the most effective way of doing so.

Interviewers were provided with torches and gas meter keys as part of the implementation of the project, as well as detailed instructions containing pictures of the different types of meter that they might encounter. They reported that a (relatively small) proportion of participants did have meter readings ready when they called to interview, but that they were also required to go into cupboards and search for meters themselves. A tactic that many interviewers used was to ask one member of the household to collect the readings whilst they conducted an interview with another.

In general households were willing to provide the readings requested, although in some cases they wondered whether the information could be better collected from the energy companies directly.

A follow-up paper questionnaire was posted out four weeks after the end of Phase 3 of data collection. The questionnaire asked participants to collect the same meter readings as collected during the interview in order to ascertain usage between two points in time. This meter reading follow-up is described in section 8.

Targeted advance letters

This experiment involved multiple versions of the advance letters. Part of the sample received a ‘standard’ IP advance letter. The standard letter still had different variations depending on the specific circumstances of the individual (e.g., whether they took part at IP5, incentive group, rising 16s etc.). Another experimental group received ‘targeted’ advance letters. There were five different versions of the targeted letters. The versions responded to the personal characteristics of the participants (young people, those of pensionable age, those working full time, those with children in the household, and those in London or the south east). The aim of the experiment is to assess whether the difference in approach affects the response levels.

3.2 Questionnaire experiments

Some of the IP6 questionnaire content was also experimental in design. Questionnaire experiments included trying out different ways of asking the questions. In addition some new questions were designed to gain information on specific issues of interest. All questionnaire experiments were programmed into the CAPI, CAWI and CATI instruments and were run during the interview.

Question-phrasing

Some of the questionnaire experiments test how question wording affects measurements, to find out which approach yields the most accurate/complete/reliable answers. The question-phrasing experiments included:

Branching and labeling in rating scales: The questionnaire included a number of modules that asked people about their satisfaction with their life and job circumstances. In these questions three variants of rating scales were used:

- 'labeled-unbranched' where the participant was asked to select their answer from a five-point scale where all points are labeled (Completely satisfied, Satisfied, Neither, Dissatisfied, Completely dissatisfied);
- -'unlabeled-unbranched' where the participant was asked to select their answer from a five point scales where only the top and bottom point are labeled (Completely satisfied, 4, 3, 2, Completely unsatisfied); or
- 'branched' where participants were first asked to indicate whether they are satisfied or dissatisfied (or neither) and then whether they are completely satisfied/dissatisfied or somewhat.

Data quality of disability measures: The questionnaire included measurements of participants' self-reported long-lasting illnesses. Participants were randomly allocated into three groups:

- Group A were asked whether they had a long lasting health problem. If their answer was different from the previous interview, they were asked to explain the change. Later in the interview all respondents were asked to report which specific disabilities they had;
- Group B were asked which of a list of disabilities they had;
- Group C were asked whether they had a long lasting health problem, and if they answered yes, they were asked which of a list of disabilities they had.

Partner satisfaction with work division: This experiment measured satisfaction with work arrangements within partnerships. All adults were asked a set of hypothetical questions about division of housework. Households were randomly allocated to receive different sets of questions.

Item non-response

This experiment only applied within CAWI interviews and applied to around six key questions where it was particularly important to minimize item non-response. Participants were randomly allocated into three groups. Each group received a different message when trying to skip one of these key questions without coding an answer:

- Group 1- the question re-appeared adding 'Don't know' and 'Prefer not to answer' to the response options. Participants needed to select a response category to move onto the next question. This is the standard way of treating item non-response;

- Group 2 – as above, but with the message stressing the importance of answering the question and assurance of the participant's confidentiality;
- Group 3 – at the end of the questionnaire any unanswered key questions were shown again with the opportunity for a second attempt at getting a response.

Experimental modules

Lastly, there were three modules which explored specific experimental questions:

Mode preference module: At the end of the individual questionnaire all participants were asked about their views on different modes of interviewing including Face-to-Face, telephone and web.

Item recall: Participants were asked to recall facts collected at previous waves. Half the sample received a commitment pledge as part of the introduction to the questions: 'It is very important to us that you take your time to answer these questions, think carefully about your answer and consult any records that you may have of what you were doing at the time'. This is to encourage more accurate reporting of the historical information. The other half did not receive this pledge. The aim of this experiment is to assess the differences in data quality that may occur due to switching IP sample members from F2F to Web.

Expenditure questions: these questions were part of the household questionnaire and asked about expenditure in the past month among 'benefit units' in the household (the bill payer and their partner and children). Households were randomly allocated to two experiment groups. One group was asked to give total expenditure last month, adding up expenses of different categories listed on a card. The other group was asked to give the expense for each category separately. Interviewers were instructed to ask these questions of the person responsible for paying the bills or their partner.

Time/Risk preference modules: in around two-thirds of households, one person per household was selected at random to take part in this experiment. They were given a set of questions which assessed their attitude to assessing future risks and benefits, which is of interest in many areas of health and well-being, including diet and pension planning.

- Participants had a random 1 in 10 chance of winning a sum of money of between £2 and £250.
- The module was administered using a CASI and consisted of a total of 91 quick questions. These covered decisions about preferring a smaller amount of money now or a larger amount in some months' time, and choices between different amounts of money with different risks of losing.
- After completing the questions, animations were displayed of a rolling 10-sided die. A roll of '1' indicates the participant has been randomly selected to win a sum of money.
- The amount won then depended on a random selection of one of the 91 questions. An animation of 91 balls played and the randomly selected number was displayed.
- Where the question selected was one that described a lottery game, a further die roll animation was displayed and the randomly selected number displayed.
- The payment for winning participants followed the condition in the answer they selected for the question that was randomly selected. So the payment was made at the time specified in the condition (from immediate to 13

months in the future) and for the amount specified in the condition (between £2 and £250).

There was a concern with this module that it would be regarded as gambling by some respondents and considered inappropriate. For this reason there were two points in the module where the interviewer (or CAWI) checked whether the respondent was happy to continue. If they were not, the respondent was routed around the rest of the module.

At the first opportunity to refuse, 11% of respondents did so. A further 6% refused at the second opportunity.

A further issue for the implementation was convincing participants that there really was a chance of winning a relatively substantial sum of money. This was essential to ensure that questions were engaged with. As part of the approach, animations of a rolling 10-sided die and an urn with 91 balls (representing the 91 questions) were developed to convey the process of random selection.

Interviewers reported varied levels of apparent engagement with the module, with some individuals clearly engaged throughout and others complaining that the questions were very repetitive.

Finger length. This module aimed to test the feasibility of measuring prenatal testosterone exposure through finger length ratios. The ratio of the index and ring fingers is a stable marker for prenatal testosterone exposure which has been found to be associated with a wide range of character traits and health and other life outcomes.

Measures of the ring and index fingers of both hands were taken, including in the CAWI and CATI modes of the instrument. Where interviews were conducted face to face, interviewers took the measurements using a set of electronic calipers that provided measurements to within a hundredth of a millimeter. Many interviewers felt that they were the wrong tool for the job, partly because they were not adapted to measure fingers and partly due to their sharpness. However, they reported few objections to taking the measure. Indeed, many participants were intrigued by the reasons behind the study and asked for more information about the associations with life outcomes than interviewers were able to provide.

For the CAWI and CATI instruments, participants were prompted to find a ruler or tape measure with which to take the measurement. A description (CATI) and an image (CAWI) were then used to describe the process for taking the measurements.

- Among respondents to the CAPI, 7% refused to have their fingers measured.
- Among CAWI respondents, 63% agreed to carry out the measurements, 16% refused and 21% said they did not have a means of carrying out the measurement.
- Among the 18 CATI respondents, 56% agreed to carry out the measurements, 28% refused and 17% said they did not have a means of carrying out the measurement.

4 Sampling

4.1 The sample at Wave 6

The sample for the IPs is entirely separate from that for the main study. Originally selected from the Postcode Address File, the IP is representative of households in Britain (unlike the main study it does not cover Northern Ireland). Members of IP1 households are designated as Original Sample Members and are followed in subsequent waves whether or not they remain in the original household. Where they create new households, the other members of that household become eligible for the survey in that Wave.

The sample for IP6 totalled 1,397 households consisting of 2,767 individuals aged 16 and over.

4.1.1 Core and refreshment samples

The IP6 sample consisted of the core sample and the IP4 refreshment sample. The core sample was the longitudinal component of the IP6 sample and comprised the established panel households, originally interviewed at IP1. Due to attrition at previous waves, the sample for IP4 was boosted to bring the panel back to a total of 1,500 households to enable analysis of the experimental elements. This additional 'refreshment sample' was a PAF sample of new addresses drawn from the same points as the original IP1 sample. All households in the refreshment sample that were productive in IP4 were included in the IP6 sample. Unproductive refreshment sample cases were not included.

4.1.2 Sample processing

The sample comprised of all productive and some unproductive households from IP5. Adamant refusals and households which had not responded for the last two waves were removed from the sample.

4.2 Allocation to experimental groups

The experiments on IP6 were a mix of longitudinal (carried on previous IPs) and new. The allocation into experimental groups was done at the household level. In other words, all eligible adults in a household received the same treatment for any given experiment, as did split households enumerated during fieldwork. This also included any new entrants or re-joiners to issued households. Some of the experiments were applicable only to the Web sample, such as conditional incentives, whilst others applied to both (e.g. reliability of disability measures).

4.2.1 Mixed mode

As described in the previous sections, the mixed mode experiment has driven much of the survey design change in IP5 and IP6. Households were allocated at random to either the F2F or Web samples.

Web sample

The size of the issued Web sample was 907 households. This was a larger number of households than was allocated to the F2F sample with the aim of ensuring a sufficiently large number of CAWI completions for analysis. Households were selected at random – no attempt was made to target households or individuals that may be more likely to participate by CAWI, and no account was taken of whether they were internet users. All members of the Web sample were invited to complete the survey online two weeks before the start of the F2F fieldwork (data collection Phase 1). Any Web cases where the interviewing had not been completed before the start of Phase 2 were allocated to Face-to-Face interviewers, although the CAWI remained open.

Face to face sample

The size of the issued F2F sample was 483 households. The F2F group was surveyed Face-to-Face and was not included in Phase 1.

4.3 Sample Tranches

Given the intrinsically challenging nature of the Innovation Panel and the substantial changes between waves, a means of testing procedures and the data collection instrument would be beneficial. However, with no pilot sample and a preference to avoid eating into the main sample for piloting purposes, a staggered start was taken for IP6 with the first of two 'tranches' of sample being small. In this way, the impact of any changes would be minimised and learning from the initial tranche could be built in to briefings and procedures to improve the quality of the larger second tranche.

Table 4.1 lists the changes that were made to the program during Tranche 1. These were relatively minor and affected few cases.

Table 4.1 CAWI / CAPI amendments before Tranche 2

Variable	Issue
Consintro	Not all relationships were being computed: if the person answering these questions is listed before their spouse in the household grid, then in the line below the partner's name wouldn't be shown. It will just say 'You' instead of 'you and spousename': "The following questions are about how much ^TF_YouandPartner"
Gasmeter, Gasuse	Layout amended in CAWI so that GASMETER and GASUSE are on the same screen
HscTax	Text fill for tax band in question text was using Region instead of Hregion; corrected so says 'bands run from A to I' for Wales
Cduse	Code 10 was missing text "include laptop but..."
TrFlag	Computation for 1-person households was set so Trflag would always =1 in these cases. Changed now so Trflag is computed only when ff_timeriskw6=1.
jboff	Help text at this question incorrectly instructed those who've not yet started a job to be coded 3 at JbHas. Jbhas changed to Jboff.
Intro	Changed routing to the introduction to the individual questionnaire so it only comes for those who haven't seen it before. Previously it came up for all so people who have done the grid and the household

	questionnaire would have seen the same introduction twice. Now added KEEP at IPerHH IPerGrid
Jsflag	Changed routeing for JavaScript to IF JSFlag=1 because there appeared to be an issue with the previous routeing IF JSFlag<>0 at qns such as the Sliders or the School lookup in CAWI. After testing the behaviour with and without JavaScript enabled, we realised that, with the old code, there might be a small risk that a respondent without JavaScript enabled could get "stuck in a loop" (This page uses JavaScript, which your browser does not support. -> Restart without JavaScript) and be unable to continue. The amended routeing is the safest option.
Jsflag	If JavaScript is disabled CAWI respondents should be routed to 'basic' string questions (to collect the School Name, Town, County) instead of the JavaScript custom applications. Added a condition to compute SchCode:=999997 if JSFlag=0 so that SchName, SchTown, SchCounty_1 are asked.
Jsflag	Addition of the LAYOUT after SchCode_CAWI NEWPAGE. Without this pagebreak, even though JavaScript was enabled, the message 'To Answer this page javascript must be enabled' was displayed (even though the search bar of the school lookup worked)
SF1	Small text change to option 5 so it matches the spec. Previously said "poor", now "or poor".
Riskpre	A conditional textfill created [You must complete all 91 items in order to have a chance to win. Unfortunately if you do not continue then you will not have a chance to receive any money {if WEB}]
Riskpre/RiskpreB	These questions are CAPI only but were on route for CAWI too so this error was rectified.
RiskB/TRendA	These new questions were created for the cases where If RiskPre=2 (i.e. respondent refuses to answer the remaining lottery questions). They were previously taken to the end of the module. If they answer RiskPre=1, then they get Trend ('give the laptop back to the interviewer'). The same instruction (TrendA) now on route also if RiskPre=2. The question text amended (a textfill added) as it said 'thank you for answering the 91 questions'. Routing to payout questions also changed to AND RiskPreB <> A2 (i.e. the payout questions only come up if they have answered all 91 questions).
Cohab/CohabN	Hardcheck added if dates given for period of cohabitation are within less than 3 months.
Jsprby4	IntYear changed to ISDate
jbsat_c/jbsat_e	showcard reference on the screen corrected
mlagstu_CAWI_1/ mlagstu_CAWI_2	For the sake of consistency the text at the unit box changed from 'ENTER UNIT' to 'Unit'
Fitax	Text in categories was duplicated so removed duplicates
Vote3, Vote4	References to Region changed to Iregion in individual questionnaire
lfsato_d1	put 'dis' in bold in 'dissatisfied'
trwemwba	Layout amended. A picture of the answer categories is used at this question, but the bottom of the picture containing the numbers to code was cut off in the display.
trncigs	Soft check added if >=200 cigarettes
Lfsat1_c	Layout amended so the number is displayed before the label (7 Completely satisfied)

H2d4drim, H2d4drrm, H2d4dlim, H2d4dlrm	Added interviewer instruction on rounding millimetres
hlwtrecall	Added .SHOW at CAWI Intros B750. These are all CAWI preambles of type TQNoAnwser. The problem that has been reported is that the Help icon, when clicked, shows a blank screen. The lack of use of .SHOW affects the visibility of DK/RF at a particular question.
mlagst	Amended label on months/years box mlagst to -> 'Unit'to be consistent with a previous question (Brfedend), which uses this very same wording instead of "ENTER UNIT".
IPerHH IPerGrid	Added KEEP to ensure that Individual Introduction is KEPT if the person completing the Individual questionnaire is the same person who completed the household questionnaire or grid (so the message 'This interview is confidential…' would not come twice for them)
Riskpre	Added CAWI textfill: The highest amount that you could win is £250. [You must complete all 91 items in order to have a chance to win. Unfortunately if you do not continue then you will not have a chance to receive any money {if WEB
BWtK_CAWI_1	Extra clicks were required to move onto the next page so added .SHOW at all preambles in this section, which solved the problem
IntContact	New entrants were not being asked/shown this question. So moved IntContact outside filter.
CASI sliders	Added QEdit=No condition at CASI sliders to prevent the CASI sliders (VB program) to be triggered in the Edit program.
Remail	Update the CAPI routing at Remail with one of the filter options described above so we avoid asking Remail where hasemail = 2. IF ((HasEmail = Email) OR (PEmail IN DetInc) OR (QA.FF_ivlolw<>interv AND QA.ff_everint<>yes) OR (QI.ff_remail <> RESPONSE *AND HasEmail <> NoEmail*)) THEN REmail
Father; Preg	Removed the soft checks at Father in CAWI mode (and a similar one at Preg, which read "INTERVIEWER: Please check because in the household grid ^PName was reported to be the mother of a child born since the last interview.") from block 409 Annual Events.
routing into 726 and 712	The problem was that we didn't have a .KEEP statement in the Rules. Hence when the interviewer went back into the case the block went off route.
Cstat	The issue was that when the household was no longer living at the same address as last wave, Cstat was not coming on route so if somebody in the household needed to be recorded as 'deceased' at this wave, this wasn't possible. Changed the routing to reflect the Wave 5 version. This changed version was never uploaded as the CAWI fieldwork was nearing the end and there was a risk that this change may affect the CAWI questionnaire in some negative way.

Tranche 1 consisted of 60 households in 5 interviewer assignments. These clusters were selected to be geographically dispersed and to contain a mix of Web and F2F households.

Tranche 1 launched one month ahead of Tranche 2 in order to provide sufficient time for the initial CAWI phase to be completed and the early stages of CAPI fieldwork to get underway.

Routing errors in Tranche 2

After fieldwork was completed a routing error was found in the household questionnaire at 'XPhsDb': "ever found yourself behind with your rent/mortgage?". Those whose household tenure had not changed since the last interview were not asked this question (only those whose tenure had changed were asked). Routing should have been: If ((Ff_HsOwnd = 2|3|4 & HsOwndChk = 1) OR HsOwnd = 2|3|4|97); actual routing was: IF HsOwnd = 2|3|4|97.

5 Phase 1: CAWI data collection

5.1 Overview of Phase 1: CAWI only

- This Phase applied to the Web experimental group only and comprised a CAWI option only.
- The aim of Phase 1 was to encourage as many sample members as possible to complete the survey via CAWI. In particular, the aim was for whole households to complete the survey online in its entirety, as cost savings are highest where an interviewer is not required to go to the household at all during fieldwork.
- Phase 1 lasted two weeks. A letter was sent initially to each adult, and followed the next day with an email to those where email addresses were available.
- Two reminder emails were sent during the two week period where the CAWI was not completed, and one reminder letter.
- Letters included the URL for the study and a unique passcode. Emails contained a unique link that, when clicked on, took participants straight into their own CAWI survey.
- Before they entered the questionnaire, they were asked to confirm their identity (name and date of birth). This log in procedure was repeated every time the participant left the questionnaire and came back to it later.
- The advance correspondence also informed participants that they could only complete the survey using computers and not smart-phones. Where smartphones were used, access was blocked and a page presented explaining that the survey could only be completed via a PC or laptop (tablets were not blocked). This was due to many questions not be optimised for small screen sizes.
- A telephone / email support line was in operation throughout the period to provide technical support.

5.2 Encouraging CAWI completion

5.2.1 Initial letters and emails

Contact with sample members in Phase 1 was via email and letter only – there was no attempt to systematically encourage participation by phone unless the support line was contacted proactively. For this reason, emails and letters needed to be as effective as possible. A design agency, WDMP, was commissioned to assist with a redesign of the IP5 advance materials. The result was more succinct emails and letters that aimed to be a call to action and visually engaging. The design also needed to take account of the experiments that were required to be carried in the letters, including the incentive experiments, targeted messaging and the meter reading experiment. In combination with variations for participation in IP5 this resulted in a large number of variations.

An example of a letter is provided below – this was for a Web sample member (and so the URL is included) who was a member of the pensionable age target group experiment. Note that the value of the incentive varies in the artwork to the right. On the rear of the letter, a screenshot is provided of how to enter the URL correctly.

Understanding Society

<resp_name>
<FF_Address1_fin>
<FF_Address2_fin>
<FF_Address3_fin>
<FF_Address4_fin>
<FF_Address5_fin>
<FF_PostCode_fin>

<Date>

<Serial_number><ChkL>/<FF_PID>

We can't do without you, <Salutation>.

Thank you so much for helping with the Understanding Society survey last year. The survey helps researchers and policy makers understand the changes in the needs of the country across diverse subjects like the provision of social care and the cost of energy and fuel – and because your information was so valuable, we'd like to hear from you again.

The survey is available online at the website shown below, so you can complete it at a time that's best for you. (Please use a computer, rather than a mobile device.)

https://www.understandingsociety.ac.uk/Survey

When you've reached the website, you'll be asked to enter your unique access code.

Your unique access code is: **<UserID>**

<If you can't complete the survey online by <Deadline>, an interviewer will visit you to conduct the survey.>

<One area of particular interest this year is fuel consumption and we would like to collect readings from your gas and electricity meters. And if you have a car, we would like to know the mileage. It may help to have these handy before the interviewer calls. Of course, you don't have to tell us this, if you don't want to.>

We rely very much on the contributions you make. So to thank you for your help, I've enclosed a <IncentiveGrp> voucher, which you can cash today at any Post Office. <And, if all members of your household complete the survey online by <Deadline> we will send each of you an additional £20 voucher.>

Your participation is entirely voluntary, but we do hope you'll be able to help. By taking part, your voice is heard. If you have any questions, please call us on **0808 168 1356** or contact us at **help.understandingsociety@natcen.ac.uk**

Many thanks,

Professor Nick Buck
Director, Understanding Society
Institute for Social and Economic Research
University of Essex

This study is being conducted in accordance with the Data Protection Act. This means your personal details will be kept strictly confidential and you and your household will not be identifiable from the data.

<LetterT>

We need your help

Have your say online

Enter your code

Complete the survey

Here's <IncentiveGrp>

Find out more

NAT00012_IP6_Letter_Pensionable_Age_YES_Online.indd 1 04/03/2013 15:50

5.2.2 Other mailings

Letters and emails for new entrants

For the Web group, once enumeration happened by web, a letter was sent to all new adult household members identified in the grid. If the grid collected an email address for the new adult entrant, an advance email was also sent. The advance letter included the online questionnaire URL and unique access code for the participant. New adult entrants received a standard version of the advance letter that included the household experimental elements.

Reminders for Web participants

Non-responders in the Web sample received two email reminders and one reminder letter via post. The reminder emails were sent two and four days after the advance letter, and the reminder letter was sent a week after the advance letter. Similarly, those

who started their questionnaire online but logged off without finishing it received an email or a letter encouraging them to log back in and complete the questionnaire.

5.2.3 Incentives

For the Web sample there were three incentive groups, with one of these being specific to the CAWI Phase 1 process. One group of individuals received an unconditional £10 Post Office voucher with their advance letter, a second group received a £30 unconditional PO voucher and the third received a £10 voucher with the promise of a further £20 for each individual where the *whole household completed the survey via CAWI within the two week period*.

F2F sample members all received the £10 unconditional voucher with their advance letter.

Additional incentives needed to be issued during fieldwork to any adults who reported not having received their incentive; young people who completed a paper self-completion (£5 conditional incentive); and interviewed new entrants to the issued households. If a person qualified for an additional incentive, the interviewer was prompted by the CAPI to complete a 'promissory note', promising to the participants that we would send them the required incentives within 10 days. The incentives were processed and sent by NatCen using a centralised system.

The incentive used in IP6 was a Post Office voucher. Vouchers could be redeemed at the Post Office where counter staff scanned the barcode. Participants then received the voucher amount in cash. This is a change compared to previous waves, where a High Street "Love2Shop" voucher was used.

The impact of these incentives on CAWI completion and overall response is explored in section 9.

5.3 Pattern of CAWI response

Paradata is available from a number of sources that can help describe the nature of response to the implementation of the CAWI. Data can be captured from the email sent and provides a view of the response to that channel.

Table 5.1 shows that the majority of emails went unread (56.9%). Only a minority (13.5%) resulted in click-through to the survey, although this represented about a fifth of the CAWI completions for IP6.

Table 5.1 Outcome of initial email

Base: Individuals who were sent emails	**%**
Bounced (i.e. invalid address)	10.0
Soft bounce (e.g. spam filtered)	2.8
Received, not opened	56.9
Opened, no action	16.8
Unsubscribed	0.1
Clicked through (i.e. entered the CAWI)	13.5
Base size	*1,074*

Further work is planned to more fully describe the CAWI implementation in terms of the channels by which sample members reached the CAWI and their progress through it.

5.4 Scripting of mixed-mode instrument

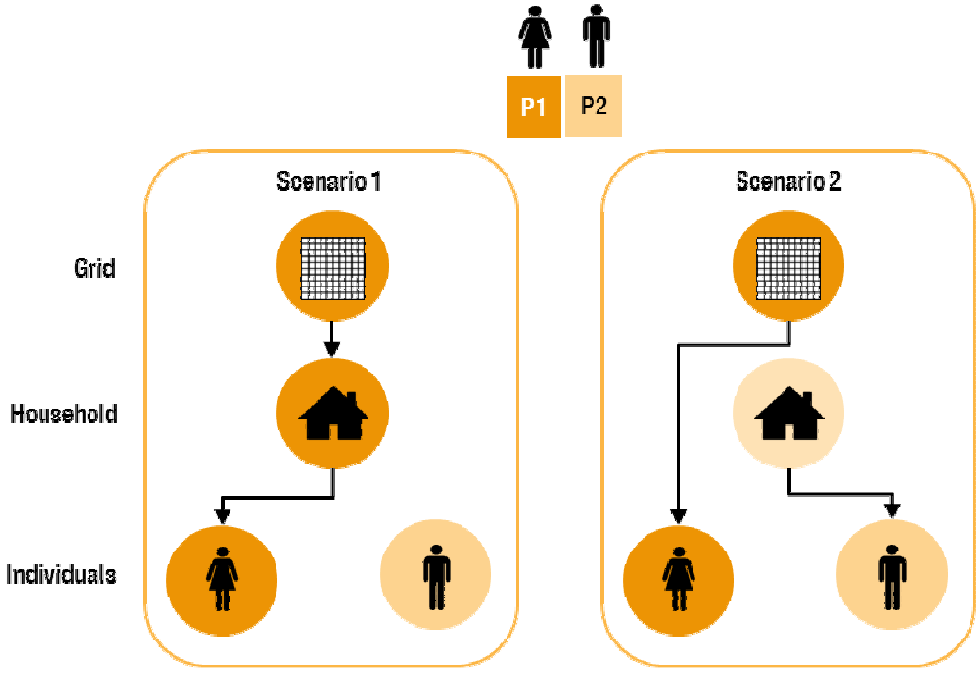
The principle for the development of CAI instruments on Understanding Society is that there is common source code that runs the instrument in each mode. The IP5 CAI was already scripted for mixed-mode CAWI and CAPI, and main stage W4 and W5 CAI were already scripted for mixed-mode CAPI and CATI. As a result, the infrastructure in the scripting for the mixed-mode design already existed for IP6 (although a considerable amount of work was carried out to improve the stability of the structure compared with IP5).

There are 3 main components within the CAI instrument, the household grid, household questionnaire and the individual questionnaire (for each eligible adult aged 16+). In F2F interviewing, each of these components is programmed as a separate parallel block in one overall instrument and the interviewer navigates between parallel blocks in order to in effect create one seamless questionnaire for whoever they are talking to.

There are two reasons why the CAWI questionnaire could not exist as one overall instrument. Firstly the functionality to navigate between parallel blocks is not easy to replicate in CAWI, and would be a difficult task for participants. Secondly participants would have access to answers from other household members which would breach confidentiality and would be unethical.

Therefore the web questionnaire was developed as three separate instruments: household grid, household questionnaire and individual questionnaire, although still keeping to the principle of having common source code to generate the different CAPI and CAWI instruments.

The diagram below shows two potential scenarios for which instruments would be answered by people in a two person household.



In Scenario 1, person 1 answers the household grid, and is automatically directed to the household questionnaire and then onto their individual questionnaire. When person 2 logs on, they are directed straight to their individual questionnaire.
In Scenario 2, person 1 answers the household grid, doesn't answer the household questionnaire, and answers their individual questionnaire. Person 2 would answer the household questionnaire and then their individual questionnaire.

Scenarios 1 and 2 differ because there were rules about who could answer the household questionnaire which were explicitly built into the IP6 questionnaire. The rules were that the household questionnaire could only be answered by either the person (or one of the people) responsible for the mortgage or rent, or by their spouse or partner. These rules were implicit in other waves of *Understanding Society*, but needed to be made explicit for CAWI interviewing.

In order to make the questionnaire appear to be seamless, in practice participants were directed to a html receipt page between questionnaires which in turn immediately redirected them to the next instrument that they needed to answer.

In CAPI, because the household grid, household questionnaire and individual questionnaires are all contained within one CAI instrument, it is straightforward for routing and textfills in the individual questionnaire to refer to answers given at the household level or to use household level derived variables. In CAWI, because the instruments are separate, the individual questionnaire instrument needs an external lookup to transfer answers and derived variables from the household grid and household questionnaire instruments.

5.5 The CAWI instrument

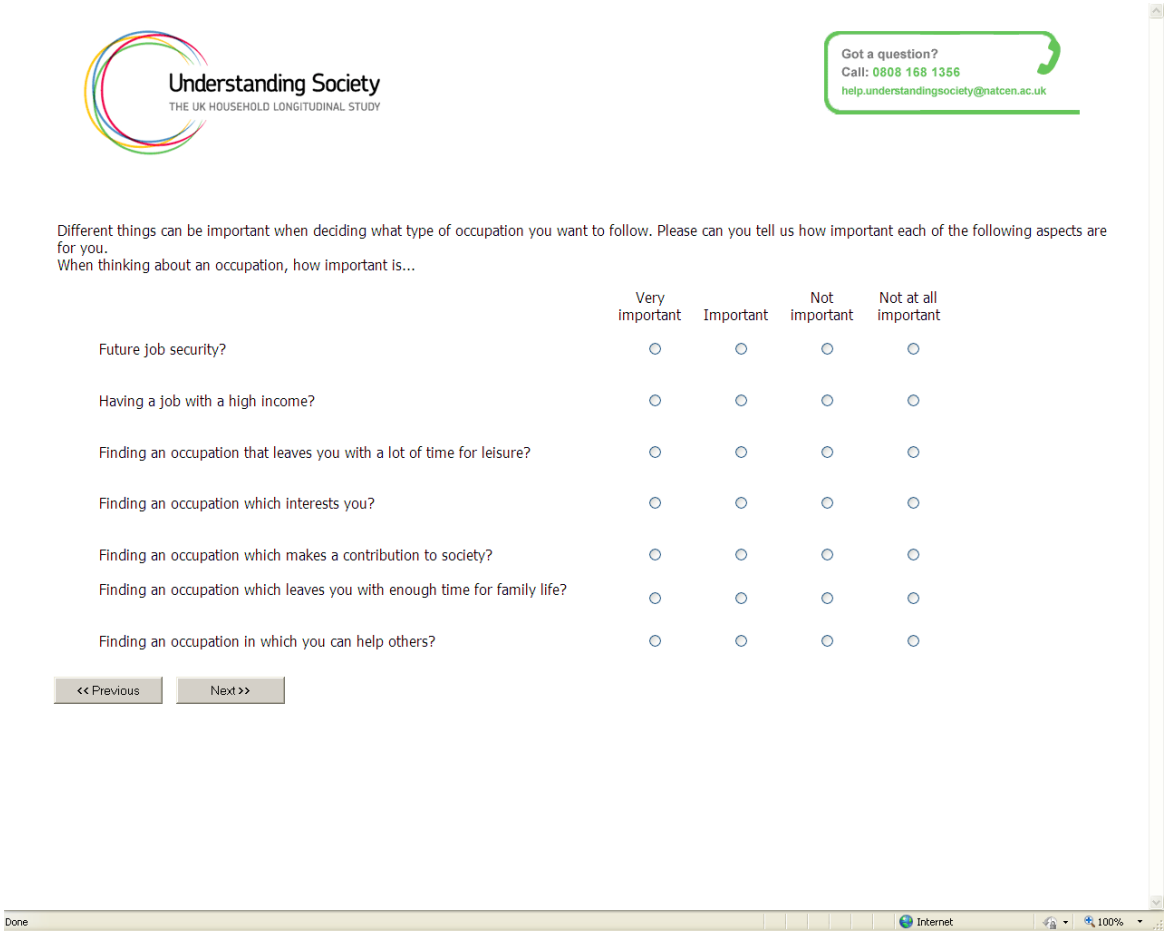
Landing page

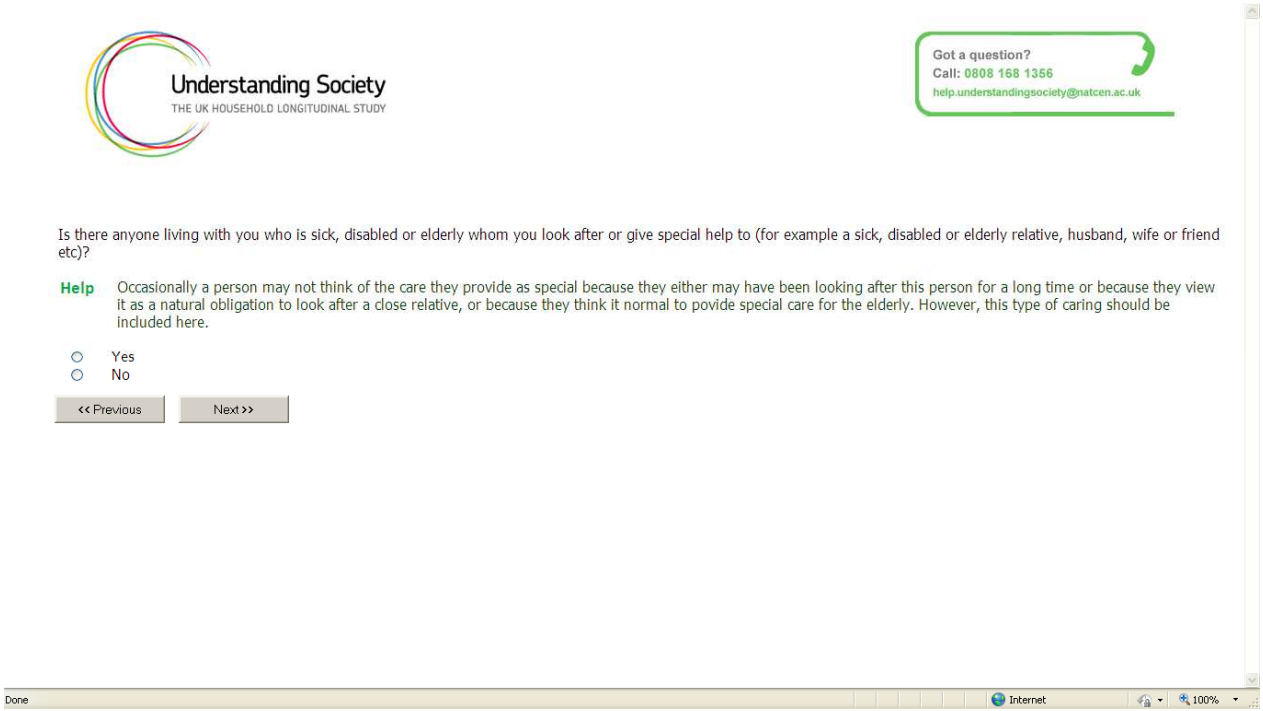
- A FAQ page was developed that mirrored the icons on the emails and letters and provided more information about incentives, logging in, how to complete the CAWI and background to the study
- The support line number and email address was included here and on every page of the CAWI

Conventions and question approaches in the CAWI

- The approach to the handling of instances of participants skipping questions and the design of different types of question is set out in a separate report (D'Ardenne, J., 2013).
- In addition to standard questions common to online surveys, special questions were developed such as sliders that did not have a marker positioned on them in order to avoid leading respondents (time-risk preference experiment), or questions that looked at a database to present answer options (schools look-up), These were developed outside of the Blaise software and called in by the Blaise at the appropriate point in the interview. Participants would have needed to be running Java on their device for these to work (the program detected where this was not the case and routed around these questions). This should not have affected more than a small proportion of the sample.

Some screenshots of example questions in the CAWI instrument are provided below.


Understanding Society
THE UK HOUSEHOLD LONGITUDINAL STUDY
Got a question?
Call: 0808 168 1356
help.understandingsociety@natcen.ac.uk
Different things can be important when deciding what type of occupation you want to follow. Please can you tell us how important each of the following aspects are for you.
When thinking about an occupation, how important is...
Very important
Important
Not important
Not at all important
Future job security?
Having a job with a high income?
Finding an occupation that leaves you with a lot of time for leisure?
Finding an occupation which interests you?
Finding an occupation which makes a contribution to society?
Finding an occupation which leaves you with enough time for family life?
Finding an occupation in which you can help others?
<< Previous
Next >>
Done
Internet
100%


Understanding Society
THE UK HOUSEHOLD LONGITUDINAL STUDY
Got a question?
Call: 0808 168 1356
help.understandingsociety@natcen.ac.uk
Is there anyone living with you who is sick, disabled or elderly whom you look after or give special help to (for example a sick, disabled or elderly relative, husband, wife or friend etc)?
Help
Occasionally a person may not think of the care they provide as special because they either may have been looking after this person for a long time or because they view it as a natural obligation to look after a close relative, or because they think it normal to povide special care for the elderly. However, this type of caring should be included here.
Yes
No
<< Previous
Next >>
Done
Internet
100%

6 Phase 2: CAPI fieldwork (with CAWI alongside)

6.1 Overview of Phase 2

- Both the Web and F2F samples were included from the start of Phase 2 in the CAPI fieldwork.
- Web individuals and households that had not participated via CAWI in Phase 1 were included in interviewers' assignments alongside F2F sample members.
- This included cases that had been started via CAWI but not completed – household grid and questionnaire information was brought forward into the CAPI questionnaire so that the field interviewer could continue from where the sample member had left off.
- F2F sample members were sent an advance letter a few days before fieldwork commenced, with no mention of the CAWI.
- The CAWI questionnaire remained open for Web sample members only for the majority of the Phase 2 fieldwork period (the first 7 weeks of the 10 week period).
- Because sample members could complete the CAWI after cases had been allocated to interviewers, it was important to set up systems for interviewers to track this. A new system was developed for IP6 that utilised the CAPI Management System's (CMS's) 'My Progress' screen.

6.2 Distinguishing sample types

In order for interviewers to be able to distinguish between F2F and Web 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 Web and F2F households were stored at different slots on the CMS on interviewers' laptops. All Web cases including the web completes were issued to F2F interviewers. However, the Web complete cases were marked as such on the CMS and interviewers' access to these cases was restricted.

6.3 Sample Update

'My Progress Screen'
The 'My Progress' screen listed all the households in the assignment for each interviewer (both Web and F2F sample groups), and provided information on both the household and individual (adults only) levels. For each adult individual in the sample their level of progress in the questionnaire was noted. There were four codes to indicate the level of completion:

- 'Not started' – household/participant still outstanding
- 'Started' – household/participant started the web questionnaire but broke off
- 'Partial' – on the household level this code indicates that some individuals have completed their questionnaire online and others remain outstanding. On the individual level this code indicates the participant has reached the partial point on the questionnaire (about 80% of the questionnaire completed) but did not fully complete it.
- 'Done in CAWI' – household/individual fully completed online.

The data on the 'My Progress' screen updated daily. Interviewers were instructed to log on to their CMS daily in order to pick up the updates on the status of their sample.

There were teething problems with this system during the initial launch which impacted interviewers' confidence in the information they were getting. Action was swiftly taken to remedy this, but the other systems, particularly the Helpline, were relied upon to a greater extent than was expected.

Interviewers Helpline
A support helpline was set up to help interviewers manage their work with participants in the Web group. The helpline had access to a look-up system, which showed the progress for each individual in the sample in their web questionnaire. The look-up system updated hourly. Interviewers could call the helpline to check about the status of a household or individual in their assignment, to get the most up-to-date information. This was especially helpful in cases where individuals logged on and completed the online survey during the day, and after the interviewers checked their status in the 'My Progress' screen. Interviewers could also call the helpline to ask for the access code for an individual, if during their visit the individual said they preferred to complete the questionnaire online but had lost their access code.

Text messages
A further method of updating interviewers about the status of their sample was through mobile text messages. All interviewers who worked on IP6 were issued with a mobile telephone. A system was set up where the daily update of participants' progress in the web survey was uploaded to a secured portal. The portal was set up to send a text message to interviewers if there was a change in the status of any case in their sample. The text message included the serial number of the case where the change occurred, and prompted the interviewer to log on to their 'My Progress' screen to check the change. Text messages were designed to prompt interviewers to update their laptop – which they should have been doing in any case.

It became clear that not all interviewers were receiving these text messages. In some cases this was the result of changed mobile numbers not being updated on the system, but there was also a problem with the delay of automated files from the CAWI data to the text sample location.

6.4 Managing mixed mode assignments

The mixed mode aspect of IP6 brought some additional considerations to interviewers' efforts of getting high response rates. The briefings included discussions between researchers and interviewers about the issues and challenges that the mixed-mode approach pose for interviewers on the door-step. Interviewers were encouraged to share tips of successes and best practices from previous experience. In addition a procedure for approaching participants in the Web group was developed for IP6. The procedure focused on the interviewers' responsibility to follow each participant in their assignment until they reach a final outcome.

Interviewers were briefed to prioritise the CAPI option and push for a face-to-face interview unless participants specifically expressed a preference to complete the questionnaire online. In cases where participants preferred to complete online, interviewers were briefed to make sure the participant had all the information they needed to log on to their questionnaire. The interviewers made an appointment to call back to check whether participants were managing or whether they needed any support or assistance from the interviewer. Interviewers were briefed to continue to call back until they reached a final outcome, and were incentivised to do so.

The web questionnaire remained open until three weeks before the end of the CAPI period, so respondents in the Web group could respond in either mode. The earlier closure of the web instrument was meant to help interviewers achieve a productive CAPI interview with respondents who expressed a preference for the web survey but who for one reason or another never actually completed it online (interviewers reported that it was helpful to be able to state there was now no other option for participation except a personal interview). Interviewer briefings and subsequent conference calls touched on how this could be approached without creating an awkward situation. A similar issue occurred occasionally where panel members claimed to have completed the study online but no record of any activity was found, meaning the interviewer needed to return and attempt an interview.

To further reinforce the ownership of and therefore responsibility for the web sample by the CAPI interviewers, the interviewers were informed that a web completion will count towards their response rate in the same way as a F2F interview. This was meant to motivate interviewers to engage with their web cases in the same way as they do with the F2F ones.

Further work is planned that will describe in more detail the differences between the Web and F2F samples and the effort required to maximise response for field interviewers.

6.5 Briefings

Eleven 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 and described previous findings, mainly focusing on response targets. Each briefing covered the background to IP6, its main research objectives, the study timetable, sample design, survey design (including experimental elements), a discussion session on covering and managing Web households, an overview of the survey instruments and procedures, and methods for minimising non-contact and maximising response rates. Interviewers were required to complete pre-briefing homework which took them through the CAPI interview.

All eleven 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 gave a wide geographic spread: London (x 6), Leeds, Bristol, Derby, Manchester and Edinburgh.

The briefings took place between 7th and 28th March 2013, with a total of 121 interviewers attending the briefings. A debrief also took place in July with a selection of interviewers from different areas. All interviewers working on the survey were provided with feedback forms and were asked to fill and return them to the NatCen operations office at the end of fieldwork.

6.6 Materials for interviewers

Interviewers' materials for this survey are listed below.

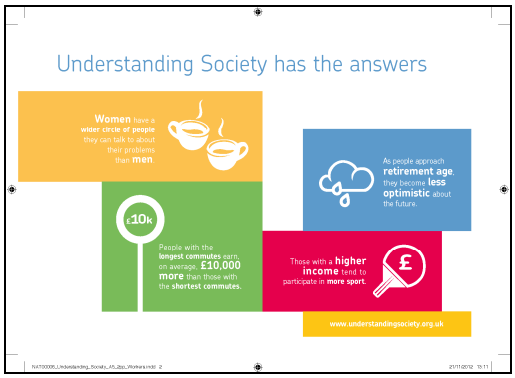
- Project instructions providing information covered in the briefing along with supplementary reference material
- Address Record Forms (ARFs)
- Blank tracing section (in case more space to record activity is needed)

- Laminated Outcome code sheet
- Laminated generic advance letter
- Information leaflet
- Doorstep flyer
- Branded cards to be used on the doorstep
- Tracing letters
- Stable contact letter
- Show cards to be used as part of the CAPI interview

- Paper adult and youth self-completion questionnaires
- Background information on the finger length measurement to share as necessary with participants
- Feedback forms for interviewers to return to Operations
- Promissory notes
- Change of address cards
- Split households flow diagram
- Meter reading leaflet (Interviewers use only)

6.6.1 Contact and co-operation

In previous waves each household in the sample was sent a findings report around six months after their interview. The household's principal contact would receive this while other household members received a letter and COA card. Following detailed qualitative work NatCen carried out with Understanding Society participants the between-interview mailing was re-designed. Instead of one findings report for the household, each individual received a findings document. There were three tailored versions of this document. Variations were based on factors such as employment, ethnic group and age. The mailing also included a letter and change of address card. An example of the findings document is below:



6.7 Contacting sample members

In the F2F sample and Web sample that was transferred to F2F, the first contact with a household was always 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. The reason for disallowing first contact by telephone is that telephone contact would increase the risk of refusals and therefore would 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 sample members in a household.

6.7.1 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.

There were three types of Address Record Form at IP6:

- **ARF A - Web**: included the Sample Information Sheet (SIS) and was available for all issued households of the Web sample type
- **ARF A – F2F**: included the Sample Information Sheet (SIS) and was available for all issued households of the F2F sample type
- **ARF B**: was used for split households, i.e. those where one or more household members has left the original household

In addition, there was:

- a **784** log to record the serial numbers of split households that were not eligible for an interview (as told by CAPI)
- a Final Outcomes sheet

The two variants of ARF A were identical in structure and content. The rationale behind separating the documents was to help interviewers distinguish between the two sample types.

The structure of the ARF was revised for the fifth wave of the main Understanding Society survey. The IP6 ARF structure followed the W5 main stage one. The changes to the design and structure of the ARF were focused on providing interviewers with more information on the front page, so that the ARF was more 'user friendly' and revising the tracing section to allow entry of more meaningful information that could subsequently be used in the office if the tracing is unsuccessful.

The household information label on the front page of ARF A contained information about experimental allocation (incentive amount, adult and child self-completion mode), IP5 outcome, principal household contact's name, and date and time of last interview.

6.7.2 Doorstep documents

Interviewers were given a number of documents for use on the doorstep. They were provided with a laminated generic advance letter to show to participants to aid recall of the mailing. They were also given copies of an information leaflet ('Facts on *Understanding Society*'), to be used as required and in particular with new entrants to the study. Interviewers were also provided with study branded appointment cards, (to leave messages when there was no answer or when a participant had missed their appointment), and a two-sided A5 doorstep flyer including basic information about the study.

6.7.3 Movers and tracing sample members

Those individuals who had moved since their last interview were traced by interviewers in the field. There are three possible types of moves: 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 participant 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.

Tracing of CAWI splits

In the case of CAWI interviews, split off households were identified in the interview as with the CAPI interview. Tracing of the split off household would be carried out at the CAPI phase however, with interviewers generally starting at the original household in this tracing process.

A problem was identified with the CAWI in a small number of split-off cases. The questionnaire asks whoever first completes the household grid whether they are still living at the previous address – if the split off household that has moved completes the grid first the natural answer to this question is 'no' and both households then appear in the data to have moved. This can be rectified during data processing but can be a source of confusion (the situation does not arise in the CAPI fieldwork as the interviewer will always call first at the original address).

6.8 Booking in

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

7 Phase 3: CATI interviewing (with CAWI alongside)

Phase 3 of the data collection started around a week after the close of Phase 2 fieldwork. All outstanding cases were assessed in the office for their suitability to be allocated to Phase 3. Eligibility for phase 3 included:

- Households where no contact was made during Phase 1 and 2.
- Households where there was an initial contact but either not with a responsible adult or there were no subsequent contacts.
- Soft refusals
- Broken appointments
- Households where the interview was not possible during Phase 1 or 2 due to personal circumstances that may have changed.
- Un-traced addresses

In addition, cases that had initially been conducted by proxy were brought into Phase 3 where the reason for the proxy related to a lack of availability for interview, rather than an inability to conduct it with an interviewer.

Phase 3 data collection was primarily designed in CATI mode. A panel of experienced telephone interviewers were briefed about the project and the questionnaire. Cases were assigned to interviewers via the CATI management system.

In addition to CATI interviewing, the web survey was re-opened and access was allowed for all participants who were allocated to Phase 3. All individuals in the F2F group were sent a letter informing them about the web option. An email was sent to those sample members for whom we have an email address. The letters and email included the survey URL and the unique access code for each individual. The link in the email directed participants straight to their own personal survey.

Participants in the Web group were not sent a letter. However, if participants mentioned the web survey to the telephone interviewer, or the interviewer felt the most likely way for the participant to take part is the web survey, then interviewers informed participants the web survey is available again. Interviewers confirmed with participants that they still have their login details, and provided them again when needed.

Phase 3 of the data collection lasted approximately four weeks.

8 Meter reading follow-up

8.1 Background – including problem with IP5

As part of the meter reading experiment it was planned to collect meter readings at two points in time in order to look at energy usage. Problems in the implementation of the IP5 experiment resulted in the confounding of the experiment in that wave. For IP6, it was decided that the follow-up would be an additional exercise shortly after main fieldwork rather than waiting for data collection in wave 7.

8.2 Sampling

The sample for the meter reading follow-up consisted of all households where one or more meter readings had been provided during the main household interview. In all, 825 households fell into this category.

8.3 Approach

Given the limited information required as part of this exercise and the familiarity of the task, a self-completion paper approach was adopted as the first stage of the data collection. Three paper questionnaire versions were developed reflecting the different information required between households: mileage, electricity and gas; electricity and gas but no mileage; mileage only.

The individual completing the household questionnaire was informed during the interview that a follow-up questionnaire would be sent subsequently to collect further readings. The questionnaires were mailed to the individual who completed the interview to provide the best chance of recall of the meter reading process (despatched on the 28th August).

A reminder questionnaire was sent where a response had not been received within two weeks. Where there was still not response ten days later, these cases were moved to NatCen's Telephone Unit for the readings to be collected over the phone (sample members could still elect to send the paper version back at this point).

8.4 Response

Response to the follow-up was relatively high for this type of approach (self-completion and CATI) at 81% overall. Response was 47% before the involvement of the Telephone Unit. In total, 67% of the productive cases were achieved via paper self-completion.

Table 8.1 Response to the meter reading follow-up

Base: cases issued for meter reading follow-up	Mileage and either gas or electricity		No mileage, but either gas or electricity		Mileage only		Total	
	N	% of issued	N	% of issued	N	% of issued	N	% of issued
Issued cases	232		112		481		825	
Productive before reminder sent	91	39%	31	28%	181	38%	303	37%
Productive after reminder and before TU phase	19	8%	3	3%	58	12%	79	10%
Issued to TU	*122*	*53%*	*78*	*70%*	*242*	*50%*	*443*	*54%*
Paper questionnaire completed after TU involvement	24	10%	17	15%	24	5%	66	8%
Total paper returns	134	58%	51	46%	263	55%	448	54%
CATI interview	55	24%	27	24%	142	30%	224	27%
Total productives	**189**	**81%**	**78**	**70%**	**405**	**84%**	**672**	**81%**

9 Response

9.1 Household level response

A total of 1387 households were issued to field for Wave 6 of the Innovation panel. From these, an additional 68 households were created through households splitting between waves, and 59 households were found to be ineligible (for example through death or leaving the UK). This left a total of 1396 households eligible for interview.

Of the 1245 eligible households that were productive at IP5, 89.7% were productive (70.7% fully productive). Of those that were unproductive at IP5, 49.7% were productive (31.1% fully productive). Table 9.1 shows that there was a slight, but negligible, difference in response rates between original sample and the IP4 refreshment sample.

Table 9.1 Household response by sample type

Base: Eligible households	**Original IP Sample**		**IP4 Refresher Sample**		**Total**
	Productive Last Wave	Unproductive Last Wave	Productive Last Wave	Unproductive Last Wave	
Fully Productive	70.3%	32.5%	71.5%	27.0%	66.4%
	586	37	294	10	927
Partially Productive	19.9%	19.3%	17.3%	16.2%	19.0%
	166	22	71	6	265
Unproductive	9.8%	48.2%	11.2%	56.8%	14.6%
	82	55	46	21	204
Bases	*834*	*114*	*411*	*37*	*1396*

9.1.1 Face-to-Face and Web allocations

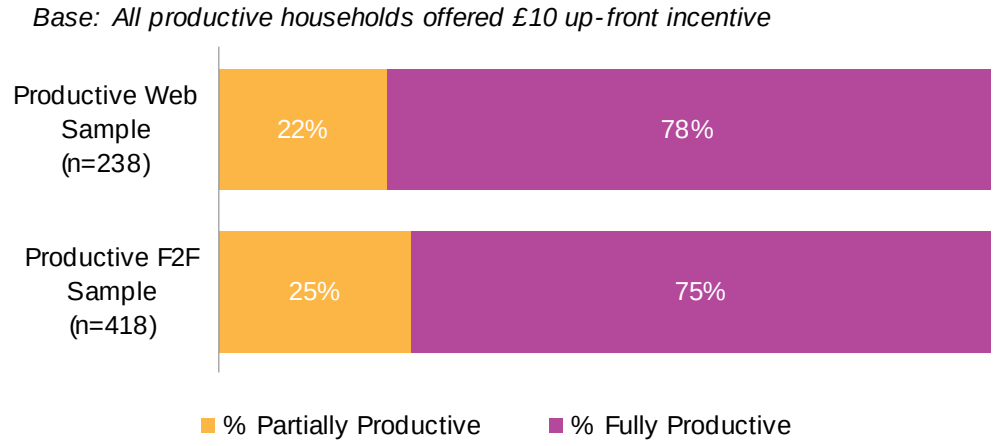
Within the total sample, households were split into two experimental groups. 910 households (65.1% of the eligible sample) were issued first to the web self-completion mode (Web sample), with non-fully productive households then followed up by face-to-face interviewers. The remaining 487 households were issued directly to face-to-face interviewers (F2F sample).

Overall, there seems to be little difference between the two allocation groups: both achieved an overall response rate of 90% within the sample that was productive at IP5.

However, approximately two-thirds of the Web sample was offered extra incentives. As Table 9.2 shows, if we only look at the sample offered the £10 unconditional incentive, the sample issued directly to face-to-face interviewers was more productive overall (although a lower proportion of those productive households were fully productive - see Figure 9.1).

Table 9.2 Household response by mode allocation					
Base: Eligible households offered £10 up-front incentive	**Face-to-face Sample** Productive Last Wave	Unproductive Last Wave	**Web Sample** Productive Last Wave	Unproductive Last Wave	**Total**
Fully Productive	68.3%	29.8%	66.2%	25.0%	63.5%
Partially Productive	21.6%	19.1%	17.8%	12.5%	19.8%
[Response rate]	90.0%	48.9%	84.0%	37.5%	83.4%
Unproductive	10.0%	51.1%	16.0%	62.5%	16.6%
Bases	*439*	*47*	*269*	*32*	*787*

Figure 9:1 Proportions of productive household outcomes by mode allocation



9.1.2 Incentive groups

Among Web households the level and the conditionality of the incentives varied: one group received an unconditional £10 per household member, another received the unconditional £10 plus a further £20 per household member if all members of the household completed their interview online and a third group received an unconditional £30 each.

There was a higher household response rate amongst households receiving (or potentially receiving) a £30 incentive compared with those who could only receive a £10 incentive (Table 9.3).

However, whether or not it was conditional made little difference among households that were productive in IP5 (74.6% fully productive for those with the conditional incentive compared to 75.6% among those receiving an unconditional £30).

There were differences between these groups among those who were unproductive in IP5 (41.0% of those receiving an unconditional £30 were fully productive compared to 27.3% of those where the incentive was conditional), but base sizes were small.

Table 9.3 Household response by incentive group							
Base: Eligible households allocated to web first	**£10 Unconditional incentive**		**£10 Unconditional incentive + £20 on full household completion**		**£30 Unconditional incentive**		**Total**
	PLW	UPLW	PLW	UPLW	PLW	UPLW	
Fully Productive	66.0%	25.0%	74.6%	27.3%	75.6%	41.0%	67.5%
Partially Productive	17.9%	12.5%	17.9%	24.2%	16.7%	17.9%	17.6%
[Response rate]	84.0%	37.5%	92.5%	51.5%	92.2%	59.0%	85.1%
Unproductive	16.0%	62.5%	7.5%	48.5%	7.8%	41.0%	14.9%
Bases	*268*	*32*	*268*	*33*	*270*	*39*	*910*

9.1.3 Response rates in different modes

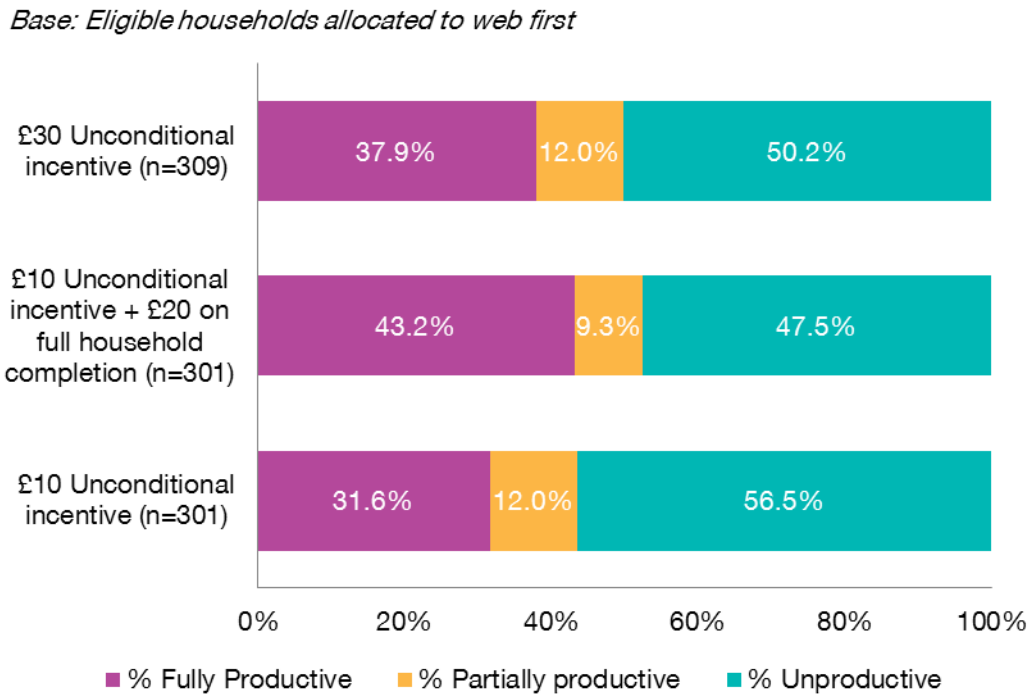
As discussed in the incentive groups section above, although the £30 incentive groups produced a much higher response rate compared to the £10 incentive, there was little difference between the two £30 groups.

However, while there was little difference at the overall level, we can see that the nature of incentive did appear to impact the mode in which the interview was conducted. Table 9.4 shows that amongst the conditional incentive group, 43.2% of households were fully productive online, compared with 37.9% among those given a £30 unconditional incentive. Of all the fully productive households in the conditional incentive group, 62.2% were completed online, compared with 53.3% of those given the unconditional £30 incentive.

Further, among households who attempted the CAWI, those in conditional incentive households were more likely to be fully productive in that mode (82.3% compared to 76.0% among those receiving the £30 unconditional incentive).

Table 9.4 Household CAWI response by incentive group				
Base: Eligible households allocated to web first	**£10 Unconditional incentive**	**£10 Unconditional incentive + £20 on full household completion**	**£30 Unconditional incentive**	**Total**
Fully Productive	31.7%	43.2%	37.9%	37.6%
Partially Productive	11.7%	9.3%	12.0%	11.0%
[Response rate]	43.3%	52.5%	49.8%	48.6%
Unproductive	56.7%	47.5%	50.2%	51.4%
Bases	*300*	*301*	*309*	*910*

Figure 9:2 Household CAWI response by incentive group



9.2 Individual response

A total of 1,983 fully productive interviews were conducted as part of IP6, with a further 39 partial interviews and 125 by proxy. This represented a 91.0% response rate among individuals in productive households (Table 9.5).

The measure of response in relation to *productive* households is adopted because where households have not participated we cannot know whether they consist of the same individuals who were present in IP5. However, a fuller picture of response can be constructed by adding back into the base those individuals who were expected to be present in the household based on preceding waves but whose households were unproductive in IP6. On this measure, 71.9% of individuals were fully productive.

Table 9.5 Individual response rates – adults in productive households and in all eligible households		
Base: all adults	**Adults in productive households**	**Adults in eligible households***
Fully Productive	84.1%	71.9%
	1983	1983
Proxy Productive	5.3%	4.5%
	125	125
Partially Productive	1.7%	1.4%
	39	39
[Any Productive]	91.0%	77.8%
	2147	2147
Unproductive	9.0%	22.2%
	212	612
Base	*2359*	*2759*

**Data based on estimates from previous waves*

Amongst adults in productive households who participated in IP5 a total of 96.8% were interviewed directly or a proxy interview was obtained. Even among those who were not productive in IP5 data was obtained for 67.2% (a higher proportion of these were proxy interviews).

Table 9.6 Individual response by individual outcome at IP5				
Base: All adults in productive households	**Productive at IP5**	**Proxy interview at IP5**	**Unproductive at IP5**	**Total**
Fully Productive	93.4%	37.9%	57.8%	84.1%
Proxy Productive	1.8%	48.4%	7.5%	5.3%
Partially Productive	1.6%	1.6%	1.9%	1.7%
[Any Productive]	96.8%	87.9%	67.2%	91.0%
Unproductive	3.2%	12.1%	32.8%	9.0%
Bases	*1811*	*124*	*424*	*2359*

9.2.1 Face-to-Face and Web allocations

Overall, response among those allocated to the Web experimental group was similar to those in the F2F group (Table 9.7). Levels of fully productive cases were very similar between the samples (71.5% of all eligible adults in the F2F sample compared to 72.0% among those in the Web sample).

There were some differences in the type of productive achieved between the groups, with the F2F sample being more likely to participate by proxy (7.2% compared to 3.1%). Proxy interviews are not possible online, which may account for the difference. A further difference was in the level of partial interviews – slightly higher for the Web sample.

Table 9.7 Individual response by initial mode allocation			
Base: all eligible adults	**Face-to-face Sample**	**Web Sample**	**Total**
Fully Productive	71.5%	72.0%	71.9%
Proxy Productive	7.2%	3.1%	4.5%
Partially Productive	0.3%	2.0%	1.4%
[Any Productive]	79.1%	77.1%	77.8%
Unproductive	20.9%	22.9%	22.2%
Bases	*956*	*1803*	*2759*

A particular concern for the move to mixed mode on the Innovation Panel was the effect on willingness to participate of there being no interviewer contact year on year. IP6 is particularly valuable for the insight it will provide into the impact of a mixed mode design on the quality of the study longitudinally.

One simple means of identifying the differences in response between the Web and F2F experimental groups over time is to identify a group prior to the introduction of mixed mode at IP5. Table 9.8 below is based on individuals who participated in IP4 and who were eligible in IP6.

In IP5 the response rate for the F2F experimental group was higher overall than the Web group (87.2% productive compared to 83.0%). However, in IP6 the difference between the experimental groups has disappeared (84.2% compared with 83.7%). There does remain a small difference in the level of interviews achieved by proxy, probably as a result of there being no opportunity to ask for proxy interviews during the CAWI phase.

This is encouraging in relation to concerns for the long-term maintenance of high response rates. However, whilst some of the relative improvement for the Web group may relate to improved processes for handling mixed mode assignments in the CAPI phase, it is likely that the different level of incentives between the groups was important – as is demonstrated in the next section.

Table 9.8 Outcomes at IP5 and IP6 for participant IP4 cohort – by initial allocation mode				
	Outcome at IP5		**Outcome at IP6**	
Base: Participants in IP4 who were eligible in IP6	**F2F sample**	**Web sample**	**F2F sample**	**Web sample**
Productive	87.2%	83.0%	84.2%	83.7%
Proxy Productive	2.6%	1.7%	2.1%	0.8%
Unproductive	10.3%	15.3%	13.7%	15.4%
Bases	*702*	*1296*	*702*	*1296*

9.2.2 Incentive groups

Table 9.9 provides response rates for all eligible individuals by the different levels of incentive offered, and separates out the F2F group (all of whom were offered a £10 unconditional incentive). Comparing the F2F sample and the Web group that received the same level and type of incentive, there is a considerable gap in response (79.1% productive compared to 71.2% among the Web group). At face-value it would seem that a higher level of incentive is required for response in a mixed mode approach to be brought up to the level of a straight-to-CAPI approach (but it does appear to be

possible to do, and the level of incentive required may be offset by lower costs elsewhere in the implementation of fieldwork).

Table 9.9 Individual response by incentive group				
	F2F sample	**Web sample**		
Base: All adults eligible at IP6	**£10 Unconditional incentive**	**£10 Unconditional incentive**	**£10 Unconditional incentive + £20 on full household completion**	**£30 Unconditional incentive**
Fully Productive	71.5%	65.5%	74.2%	76.2%
Proxy Productive	7.2%	3.2%	3.0%	3.1%
Partially Productive	0.3%	2.4%	2.0%	1.6%
[Any Productive]	79.1%	71.2%	79.2%	80.9%
Unproductive	20.9%	28.8%	20.8%	19.1%
Bases	*956*	*586*	*600*	*617*

Looking at the cases that were unproductive in IP5, there was a suggestion that the £30 unconditional incentive had a greater impact for that group (55.1% response overall compared with 49.7% among those offered a £10 plus £20 incentive; Table 9.10).

Table 9.10 Individual response by incentive group						
Base: All adults in productive households allocated to web first	**£10 Unconditional incentive**		**£10 Unconditional incentive + £20 on full household completion**		**£30 Unconditional incentive**	
	Productive Last Wave	Unproductive Last Wave	Productive Last Wave	Unproductive Last Wave	Productive Last Wave	Unproductive Last Wave
Fully Productive	76.9%	27.4%	84.9%	43.9%	85.2%	50.0%
Proxy Productive	3.8%	1.5%	2.7%	3.8%	2.4%	5.1%
Partially Productive	2.0%	3.7%	2.0%	1.9%	2.2%	0.0%
[Any Productive]	82.7%	32.6%	89.6%	49.7%	89.8%	55.1%
Unproductive	17.3%	67.4%	10.4%	50.3%	10.2%	44.9%
Bases	*451*	*135*	*443*	*157*	*459*	*158*

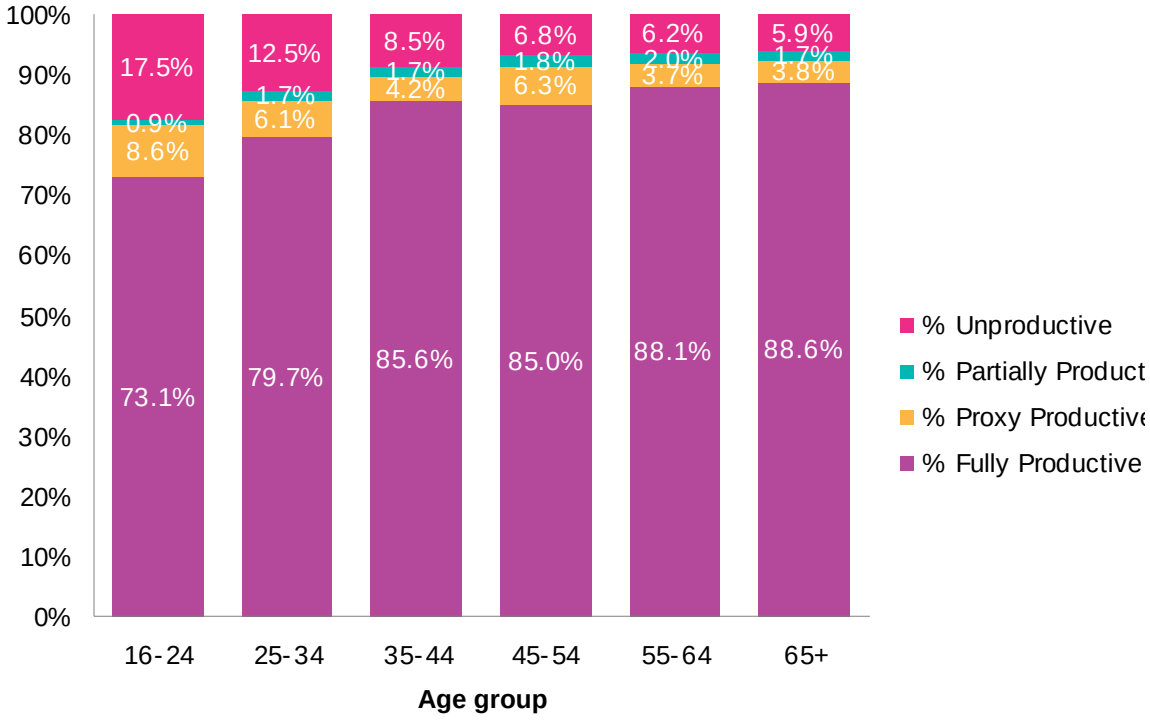
The conditional incentive was intended to encourage whole households to complete their interview via CAWI, and we can see the influence at the individual level. Table 9.11 shows that 62.5% of the conditional incentive group completed their questionnaire online compared with 56.1% of those who received a £30 unconditional incentive.

Table 9.11 Outcome mode by incentive group				
Base: Productive adults in households allocated to Web first	**£10 Unconditional incentive**	**£10 Unconditional incentive + £20 on full household completion**	**£30 Unconditional incentive**	**Total**
CAWI	55.2%	62.5%	56.1%	58.0%
CAPI	44.6%	37.3%	43.1%	41.6%
CATI	0.2%	0.2%	0.8%	0.4%
Bases	*417*	*475*	*499*	*1391*

The experimental groups are the main feature of IP6, but Figure 9.3 illustrates that there remain differences in response levels in relation to demographic and other characteristics of individuals. Young people were less likely to participate in IP6 (73.1% of those aged 16-24 were fully productive compared to 88.6% among those aged 65 and over).

Figure 9:3 Adult individual response rates by age group

Base: All eligible adults aged 16+ in productive households



10 Data preparation

Data preparation and coding followed the same process as for IP5, except with respect to the follow-up meter reading exercise (which was carried out with a paper and CATI questionnaire).

10.1 Data keying and scanning

Paper self-completions from the main interview process were scanned in by an external agency.

The paper questionnaires from the meter-reading exercise were double-keyed internally using the CATI program developed for fieldwork.

10.2 Data coding and editing

Most of the data validation of CAPI surveys was 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.

The data obtained from the Web survey were not edited and all the inconsistencies in them (resulting for example from disabled checks) were kept. This is because the inconsistencies are of methodological interest to the survey designers as they act as indicators of how the mode affects the quality of data.

It was agreed that there would be no editing of the readings obtained in the meter reading follow-up. Data was keyed as entered by the participant – there was no attempt to compare levels against the readings obtained in the main interview.

10.3 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 batches of work were '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.

10.3.1 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 postcodes for each address.

10.4 Reconciling outcome codes for web cases

Web cases were assigned three kinds of outcome codes which indicated what happened with them at each interviewing stage: Web Outcome, F2F Outcome, and Combined (Final) Outcome. After the data collection period finished, these outcome codes needed to be checked for consistency.

There were some cases where interviewers coded Web households as ‘fully completed on the web’ (787) when they were actually not completed. These cases were recoded in the office as ‘other unproductive’ (590) before they were then issued back to the field. In addition, at the data preparation stage, an additional Web outcome code (311) needed to be assigned to the Web cases where no interviewing was done online.

Appendix A. Fieldwork documents

Appendix Table A:1 List of fieldwork documents	
Document	**Purpose**
On the Doorstep	
First Findings from Understanding Society	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 (F2F) (yellow) & Sample Information Sheet (SIS)	For issued core sample households; provides address details, experimental details and individual level details (name, sex, age, outcome at last wave etc)
ARF A (WEB) (green) & Sample Information Sheet (SIS)	For issued sample households originally allocated to the WEB condition but transferred to CAPI; provides address details, experimental details and individual level details (name, sex, age, outcome at last wave etc)
Tracing section	For movers that you need to trace
IP6 Outcome code sheet (Laminated)	IP6 Household level outcome codes
ARF B (pale grey)	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
Interview Documents	
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
Freepost envelopes for change of address cards	For respondents to be able to send us new contact details in case they move
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

Appendix Table A:1 List of fieldwork documents	
Promissory Note - lottery	To be administered where CAPI participants 'win' an amount of money to be paid in the future
Wage info leaflet	To be given to some respondents at the end of the interview
Adult 16+ paper self-completion (Blue)	To be administered to adults (core and refreshment) if in paper self-completion experimental group
Youth (10-15yrs) paper self– completion (Blue)	To be administered to young people in the household in experimental group
Youth (10-15yrs) paper self– completion (Yellow)	To be administered to all young people in the household in experimental group
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
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	
Meter key	For use with meter reading section
torch	For use with meter reading section
Post fieldwork	
Feedback Form	To be completed after fieldwork and returned to Operations Department in Brentwood