Project instructions

NatCen
Social Research that works for society

Understanding Society

Innovation Panel Wave 6 (IP6)
Project Instructions

At **NatCen Social Research** we believe that social research has the power to make life better. By really understanding the complexity of people's lives and what they think about the issues that affect them, we give the public a powerful and influential role in shaping decisions and services that can make a difference to everyone. And as an independent, not for profit organisation we're able to put all our time and energy into delivering social research that works for society.

NatCen Social Research
35 Northampton Square
London EC1V 0AX
T 020 7250 1866
www.natcen.ac.uk

A Company Limited by Guarantee
Registered in England No.4392418.
A Charity registered in England and Wales (1091768) and Scotland (SC038454)

Contents.

Summary 1

1 Overview of IP6 2

1.1 Introduction 2
1.2 Sample 2
1.3 Experiments 2
1.4 Fieldwork 2
1.5 Your assignment 3

2 Experiments 9

2.1 Procedural experiments 9
2.1.1 Mixed modes experiment 9
2.1.2 Incentives experiment 9
2.1.3 Adult Self-completion mode experiment 10
2.1.4 Youth paper self-completion: smiley-faces vs text-based questions 10
2.1.5 Measuring household energy use (Advance mailing) 10
2.1.6 Targeted advance letters 10
2.2 Questionnaire experiments 11
2.2.1 Question-phrasing 11
2.2.2 Item non-response 12
2.2.3 Experimental modules 12

3 Fieldwork, monitoring and maximising response rates 14

3.1 Fieldwork arrangements 14
3.1.1 Fieldwork milestones 14
3.2 Maximising response with mixed mode 14
3.3 Logging on to the Web survey 16
3.4 Targets for IP6 17

4 Before the interview 19

4.1 Advance mailings and emails 19
4.1.1 Types of advance letter 19
4.1.2 Other mailings 20
4.2 Incentives 20
4.3 Promissory notes 21

5 The Interview Process 23

5.1 Overview of data collection instruments 23
5.2 Planning your work/tracking progress 23
5.3 Self-completions 23
5.3.1 Adult CASI - Completion by interviewer 27
5.3.2 Security of answers 27
5.3.3 Use of the mouse in CASI 27
5.4 Finger length module 27
5.4.1 Protocol for measuring finger length 28
5.5 Payout for Time/Risk experiment 29
5.6 Example screens from the Web questionnaire 30
6 Starter pack 34
7 Admin block 35
7.1 Changes at IP6 35
7.1.1 Classifying individuals and households 35
7.1.2 Contact preference at the next wave 36
7.1.3 Useful information for re-issue interviewer 36
7.2 Recording useful information for the future 36

General instructions for interviewing on Understanding Society

8 Introduction 38
8.1 Background 38
8.2 Branding 39
9 Before you contact the household 40
9.1 Between-wave mailings 40
9.2 The website 40
10 Contacting the household 41
10.1 First contact with household 41
10.2 Subsequent contact with household 42
10.3 Introducing the study 42
10.4 Doorstep documents 43
10.4.1 Interviewer card 43
10.4.2 Flyer 43
10.4.3 'Understanding Society: Information for Participants' leaflet 43
10.4.4 Generic advance letter 43
11 Who to interview 44
11.1 Eligibility of new entrants to the household 44

11.2 Absent household members 45
11.3 Non-resident household members 46
12 ARF A – issued households 47
12.1 Front page 47
12.2 Keeping track 48
12.3 Observations at originally issued address (Section A) 48
12.4 Tracing activities (Section B) 48
12.5 Observations at follow-up address (Section C) 48
12.6 Sample Information Sheet (SIS) 49
12.6.1 Household information 49
12.6.2 Individual information 49
12.6.3 Comments from previous wave 50
12.6.4 Stable contact details 50
12.6.5 Suspected split-offs 50
12.7 Sample cover sheet 50
13 Dealing with split households 51
13.1 Process for creating split households 51
13.2 Interviewed split households – ARF B 52
13.3 Using the new split serial numbers 54
13.4 ARF B or 784 log? Following rules 55
13.4.1 Whole household moves 56
13.4.2 Exception to the rule: creating splits from an unproductive household 56
14 Tracing sample members 57
14.1 Tracing activities 57
14.1.1 Contacting neighbours 57
14.1.2 Tracing letter 57
14.2 Contacting stable contacts 60
14.3 Institutions 62
14.4 Split-off households 63
14.5 Incomplete addresses 63
14.6 Movers and traced cases outside your fieldwork area 64
14.7 Unsuccessful Tracing 64
14.8 Proxy interviews 64
14.9 Recording contact details 65
14.10 Collecting details about participants' occupations 65
14.11 Change of address (COA) cards 67
15 CAPI interview 68
15.1 Parallel blocks 68
15.2 Household Grid and questionnaire 68
15.3 Individual CAPI interviews 69

15.4 Unproductive and proxy interviews 72
16 Admin and return of work 73
16.1 Fees 73
16.2 Return of work 73
Appendix A. Things we hear from sample members 75
Appendix B. Benefits module details 76
Appendix C. Outcome codes 83
Appendix D. Practice cases and serial numbers 85
Appendix E. List of modules 86
Appendix F. Fieldwork timetable 88
Appendix G. Data confidentiality 89
Appendix H. Digit Length instructions 90

Summary

Understanding Society is the largest household panel study of its kind in the world. The study launched in January 2009 and Wave 5 was recently launched in the field. *Understanding Society* focuses on all aspects of an individual's life such as health, relationships, finances, employment status and well-being; measuring the impact of social and economic change on the household.

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

Main fieldwork is complemented by an Innovation Panel which tests significant innovations in types and methods of data collection and study delivery (e.g. multi-mode interviewing, differential incentives, layout and wording experiments etc). The results from these panels will feed into future waves of this study and the wider social research community. Wave 6 of the innovation panel (IP6) will be launched in February 2013.

This document is divided into two main sections:

- Section 1 – instructions specific to IP6
- Section 2 – instructions applicable to Understanding Society mainstage

Unless specified in Section 1, all processes and procedures should follow those adopted for the Wave 5 of the mainstage. If in doubt, please contact your Team Leader.

Please contact Brentwood on 01277 200600 if you have any queries or are having difficulties.

1 Overview of IP6

1.1 Introduction

Innovation Panel Wave 6 (IP6) uses many of the same procedures as the main Understanding Society study with which most IP6 interviewers will be familiar. These instructions are therefore divided into those that are specific to IP6 (Chapters 1 to 7) and those that are shared with the wider study (beginning at Chapter 8).

1.2 Sample

In IP6 we will be re-visiting households in the established IP sample, including both productive and unproductive households from previous Innovation Panels. These households have been part of the *Understanding Society* sample since IP1 or the IP4 refreshment sample.

Households issued at IP6 will be allocated to either Face-to-Face (F2F) or WEB. This allocation is the same as was randomly assigned in IP5. Of the 1,390 households that will be issued for IP6, 483 households will be allocated directly to F2F and 907 will be initially allocated to the WEB.

1.3 Experiments

The Innovation Panel is experimental in nature and aims to investigate the impact of a variety of questionnaire and procedural innovations. For IP6, 14 different experiments have been implemented - some have been carried on previous waves, and some are new for this wave. They are as follows:

- Mixed mode: allocation to the F2F or WEB group and transfer between modes;
- Incentives: three groups;
- Adult self-completion mode : CASI vs paper booklet;
- Youth paper self-completion: happiness scale layout;
- Mode preference: measuring stability over time;
- Life and Job Satisfaction: split ballot question wording experiment
- Approaches to housework division (vignettes);
- Household energy use: advance notice experiment and follow up questionnaire;
- Data quality of disability measures;
- Item recall;
- Collection of expenditure data;
- Targeted advance letters;
- Item non-response;
- Time and Risk preference, which considers perceptions of risk and future benefits.

1.4 Fieldwork

IP6 data collection runs from February to July and is split into three phases of mode of data collection: Phase 1 - Computer Assisted Web Interviewing (CAWI) only; Phase 2 - CAWI and/or CAPI; and Phase 3 - CATI and CAWI (with CAPI mop-up). The modes in which households are included will depend on their sample group (F2F or WEB).

Note that the timings for the CAPI elements of Phases 2 and 3 will work in the same way as for the main survey – i.e. beginning on the 8th of the month and continuing for 10 weeks.

The sample moving through these phases has been divided in two tranches. Tranche 1 (TR1) consists of 5 sample points and acts as a 'soft' launch to allow detailed checking of the many complex systems in advance of Tranche 2 (TR2) which follows one month later and consists of the remaining 115 sample points.

Tranche	Phase	Mode	Sample group	Duration	Start date	End date
TR1	Phase 1	CAWI only	WEB	2 weeks	21 Feb '13	7 Mar '13
	Phase 2	CAWI or CAPI	WEB	10+2 weeks	8 Mar '13	30 May '13
		CAPI only	F2F			
	Phase 3	CATI or CAWI (and mop-up CAPI)	F2F & WEB	4 weeks	31 May '13	26 Jun '13
TR2	Phase 1	CAWI only	WEB	2 weeks	22 Mar '13	7 Apr '13
	Phase 2	CAWI or CAPI	WEB	10+2 weeks	8 Apr '13	28 Jun '13
		CAPI only	F2F			
	Phase 3	CATI or CAWI (and mop-up CAPI)	F2F & WEB	4 weeks	1 July '13	26 Jul '13

Phase 1: CAWI only
Phase 1 is the two week period in which only CAWI interviews can take place with no CAPI interviews possible.

Phase 2: CAWI and/or CAPI interviewing
This document focuses on procedures for Phase 2 which covers interviewer fieldwork during the CAWI and/or CAPI data collection phase.

At the start of Phase 2, all F2F respondents and all WEB respondents who have not completed an interview in CAWI will be allocated to an interviewer. Each interviewer assignment will consist of WEB and F2F respondents and it will be important to distinguish households who have (and will continue to have) the opportunity to

complete their interview in CAWI from those who are only eligible for a CAPI interview at Phase Two. Each sample group will have a different variant of ARF A.

In households initially allocated to WEB but subsequently transferred to face to face fieldwork, you will contact and attempt to complete the household interviews as usual. However, because the Web questionnaire remains open throughout the fieldwork period, it is very important to regularly connect to the server to transmit data but also to download information about completed households/individuals in your allocation. You will need to transmit/receive information every time before you set out for work and after you get back. Phase three will last for 10 weeks, plus a two week mop-up where definite appointments and tracing can continue.

Phase 3: CATI (including CAWI and CAPI mopping up)
Phase 3 involves transferring outstanding Phase 2 households (excluding adamant refusers and those with no telephone number) to the MMU who will attempt a telephone interview. During this phase both WEB and F2F sample groups will be offered to complete their interview in CAWI.

Note: as with the main study, there may still be some outstanding households to work in this third phase. Although main CAPI fieldwork will have ended by this point, where tracing remains to be carried out or where you have definite appointments booked, these households will remain with you for CAPI fieldwork.

1.5 Your assignment

Your assignment will consist of both F2F and WEB households and you will be responsible for managing and monitoring progress of each individual in these households through to the allocation of a final outcome.

Throughout the 10 week field interviewing period you will be responsible for:

Sample members allocated F2F sample:

- Contacting individuals and conducting CAPI interviews

Sample members allocated to WEB sample:

- Monitoring CAWI completions in your assignments by regularly connecting to the server and checking 'My Progress' on your laptops (see below). You will not need to conduct interviews with individuals or households that are listed as 'Done in CAWI';
- Contacting individuals and conducting CAPI interviews;
- Reminding WEB sample members that they can complete their interview in CAWI;
- Enabling CAWI where this is a stated preference, by liaising with MMU to remind individuals of their CAWI access code and providing support;
- Making reminder phone calls to individuals who are planning to complete in CAWI but have yet to do so.

Also, as part of the CAPI interview you will be required to:

- Hand over and collect youth self completion booklets
- Hand over and collect (where applicable) adult self completion booklets
- Hand over promissory notes for completed youth self completion booklets

- Hand over gift cards for lottery winners
- Take finger length measurements and meter readings
- Hand over promissory notes to respondents who did not receive their incentive voucher

In advance of contacting the household

Advance mailings are posted to each adult potential sample member by the office prior to the start of fieldwork.

TR1 WEB:	Letter and email	20 Feb and 22 Feb 2013
TR1 F2F:	Letter	4 Mar 2013
TR2 WEB:	Letter and email	20 Mar and 22 Mar 2013
TR2 F2F:	Letter	3 Apr 2013

On the doorstep

Your first contact with all households in your assignment must be in person as it is easier to establish rapport this way and to avoid refusal; subsequent contacts can be made by telephone, if the household members are happy for you to contact them in this way. Your role will also include reminder phone calls to respondents who tell you they will do their interview in CAWI but are still showing as outstanding in CMS.

Managing your sample

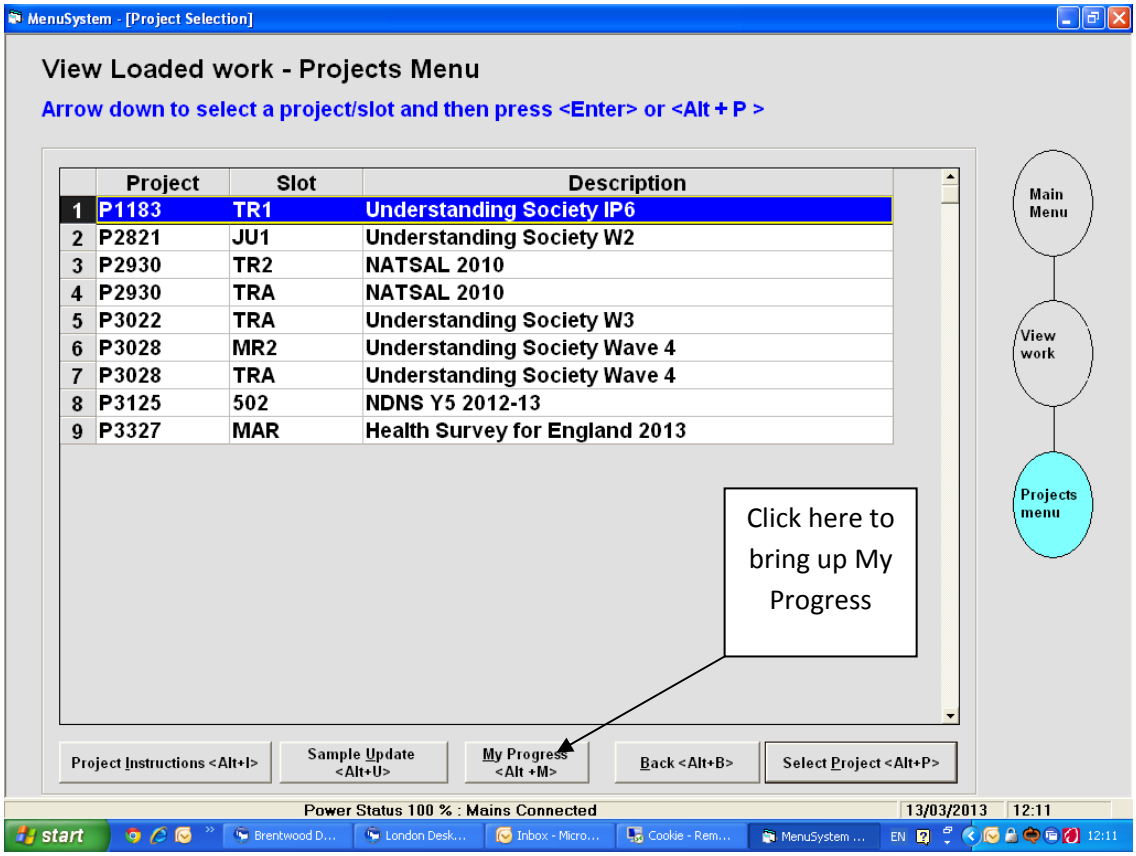
At the start of Phase 2, the serial numbers of all known respondents eligible for interview in the F2F sample and all those in the WEB group who have not yet completed their interview will be transferred to interviewers' laptops. These serial numbers are 'your sample' and you will be responsible for all the serial numbers in your assignment even though you may not need to conduct interviews with everyone in your sample. Where the entire household completes their interviews online the case will not be transferred.

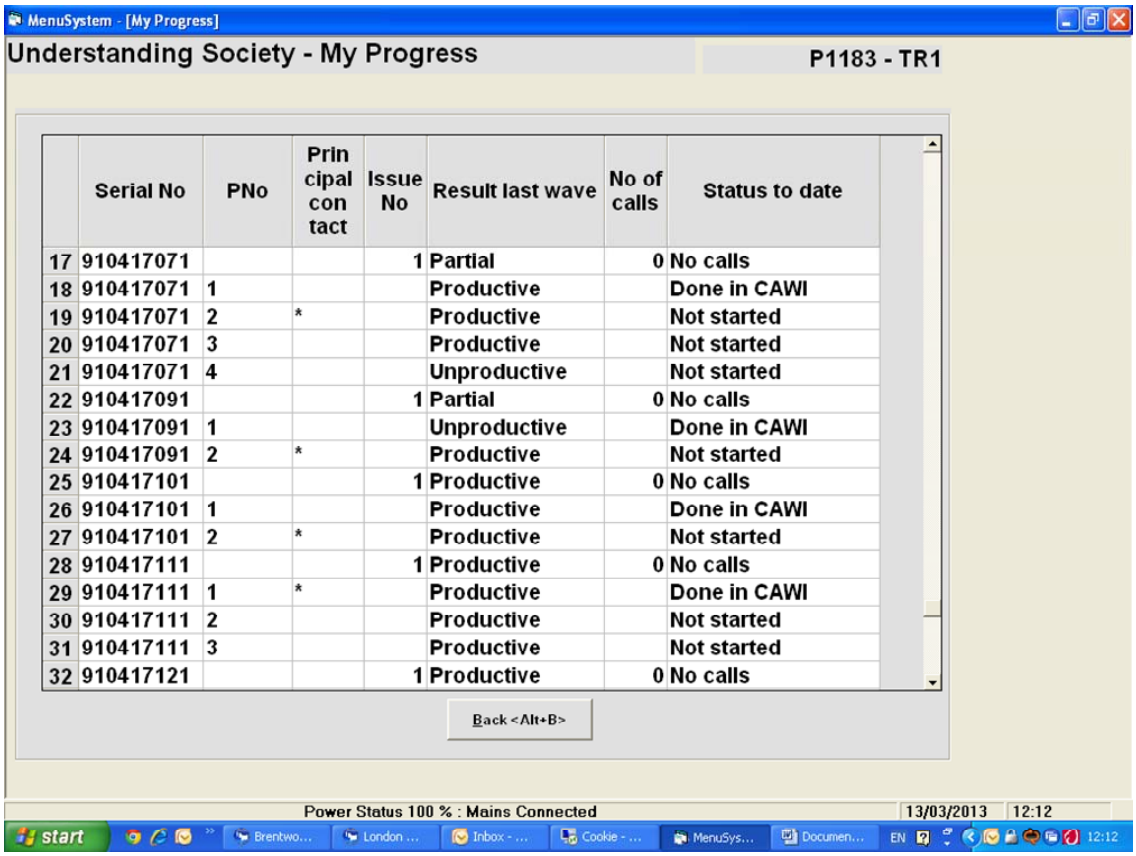
You will also be following and interviewing eligible movers and members of their new household. All household members aged 10+ are invited to take part:

- Children (aged 10-15) complete a paper self-completion;
- Adults (16+) complete a CAPI (or CAWI) interview; and
- Either a paper self completion or a CASI self-completion on the laptop, depending on the experimental group to which they are allocated.

Serial numbers will be listed in the '**My Progress Screen'** and updated as the status of the interview progresses.

- The 'My Progress' screen includes information on household and adults from both the WEB and F2F sample.
- 'Not started' status means that the household/respondent is still outstanding. You will need to visit these households and attempt to carry out a CAPI interview. This could be a complete household interview or just the individual interview with any outstanding individuals in the household.
- For cases which have completed their questionnaire online, the status will state 'Done in CAWI'.
- For whole households "done in CAWI" you will not need to visit these households.


MenuSystem - [Project Selection]
View Loaded work - Projects Menu
Arrow down to select a project/slot and then press <Enter> or <Alt + P >
Project Slot Description
1 P1183 TR1 Understanding Society IP6
2 P2821 JU1 Understanding Society W2
3 P2930 TR2 NATSAL 2010
4 P2930 TRA NATSAL 2010
5 P3022 TRA Understanding Society W3
6 P3028 MR2 Understanding Society Wave 4
7 P3028 TRA Understanding Society Wave 4
8 P3125 502 NDNS Y5 2012-13
9 P3327 MAR Health Survey for England 2013
Click here to bring up My Progress
Main Menu
View work
Projects menu
Project Instructions <Alt+I>
Sample Update <Alt+U>
My Progress <Alt +M>
Back <Alt+B>
Select Project <Alt+P>
Power Status 100 % : Mains Connected
13/03/2013
12:11
start


MenuSystem - [My Progress]
Understanding Society - My Progress
P1183 - TR1
Serial No PNo Principal contact Issue No Result last wave No of calls Status to date
17 910417071 1 Partial 0 No calls
18 910417071 1 Productive Done in CAWI
19 910417071 2 * Productive Not started
20 910417071 3 Productive Not started
21 910417071 4 Unproductive Not started
22 910417091 1 Partial 0 No calls
23 910417091 1 Unproductive Done in CAWI
24 910417091 2 * Productive Not started
25 910417101 1 Productive 0 No calls
26 910417101 1 Productive Done in CAWI
27 910417101 2 * Productive Not started
28 910417111 1 Productive 0 No calls
29 910417111 1 * Productive Done in CAWI
30 910417111 2 Productive Not started
31 910417111 3 Productive Not started
32 910417121 1 Productive 0 No calls
Back <Alt+B>
Power Status 100 % : Mains Connected
13/03/2013
12:12
start

It is vital that you connect to the server to update yourself on the status of Web sample cases before each trip (i.e. whether a participant has completed the survey online or not). Because the web survey remains available it may be that participants in the Web sample type complete their survey during the fieldwork period.
The status of the cases will be updated on the 'My Progress Screen' on your CMS.

Before setting out to interview any Web respondents make sure you login and check for any updates. It is equally important that you dial-in after every trip to the Web respondents in order to update their status, i.e. confirm that they have now been interviewed so that the online questionnaire becomes unavailable to them.

In addition we will send you a **text message** on NatCen issue mobile phones to let you know whether there are any changes in the status of members in your sample, so you know to check before your next trip. Please note: this is intended only as a reminder – please transmit before you set out even if you think you haven't received a text message.

If you call at a household where according to the 'My Progress Screen' there are interviews outstanding yet the respondent(s) say they have completed in CAWI you can phone the **Helpline** team at the MMU on **0808 168 1356**. The MMU Helpline will have access to live updates on CAWI completions.

The ARF

At IP6, there are three types of ARF and a '784 log':

- ARF A relates to the original household. There are two variants::
    - ARF A F2F – for participants in the Face-to-Face group
    - ARF A Web – for participants allocated to the WEB group
    - The two ARFs are identical in structure.
- ARF B relates to split households; and
- 784 log relates to split households that are not eligible for interview, i.e. households consisting only of temporary sample members (TSMs)/people in prison who have permanently left the original household.

The ARFs and 784 log are to be used in the same way as for Wave 5.

Tracing

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

Any sample member who has moved address since the previous wave will be followed to their new address for interview with the exception of those who have moved outside Great Britain and those who are in prison. You are expected to make reasonable attempts to contact and/or trace the sample members; this may require more than one visit. You will also try to locate the untraced movers from IP5.

Tracing is to be conducted in the same way as for Wave 5.

The interview process

The data collection instruments are:

- CAPI household questionnaire (including the enumeration of the household i.e. the household grid);
- Individual Adult CAPI questionnaire for all aged 16+
- Adult CASI or paper self completion;
- CAPI proxy questionnaire; and
- Youth paper self-completion questionnaire for all aged 10-15.

The CAPI will guide you through the instruments seamlessly and will prompt you concerning the youth self-completion (the administration of which is handled in a parallel block).

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

IP6 CAPI interview

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

Feed forward data from the Web survey

Data is fed forward from the Web interviews to the cases in your assignment. Where a household grid has been carried out online but one or more of the individual questionnaires are still outstanding, you will be able to access these in the normal way.

To ensure that information is brought into the CAPI and so that you can proceed into the individual questionnaire, you need to go into the main part of the questionnaire first (i.e. the screen you first land at) and code '1' at FirstQ:

INTERVIEWER: You are in the questionnaire for serial number: XXXXXXXX
To update admin details press ^CtrlEnter

The main topic areas covered in the individual IP6 questionnaire are:

HOUSEHOLD QUESTIONNAIRE

- Tenure;
- Fuel type and expenditure;
- Taxation;
- Consumption experiment;
- Financial strain, consumer durables, material deprivation.

INDIVIDUAL QUESTIONNAIRE

- Educational aspirations (young adults);
- Family background, ethnicity and national identity;
- General health, disability, self-reported height and weight;
- Measurement of finger length;
- Caring;
- CASI: Risk experiment;
- Partnership, fertility and annual event history;
- Employment, job satisfaction, voluntary work;
- Charitable giving
- Transport behaviour
- Unearned income, state benefits, household finances, savings, pensions;
- Housework
- Politics, Environmental Behaviour and attitudes;
- Satisfaction
- CASI: SF12, GHQ, satisfaction, partner relationships, vignettes;
- Time reference control
- CASI: Young adults
- Item recall
- Contact details, mode preference, stable contact details
- Administration of time/risk preference payout;
- Interviewer observations

Administration of youth and adult paper self-completions is accessed through the parallel blocks

2 Experiments

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. Analyzing the data from the interviews with these different groups will allow us to assess the effect and relative merits of the different approaches.

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

1. Procedural
2. Questionnaire.

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

The allocation into experimental groups is done at the household level. All eligible adults in a household will receive the same treatment for any given experiment. This also includes any new entrants or re-joiners to issued households. Similarly respondents in split households will be allocated to the same treatment groups as those in the originating household.

Note that some of the experiments are applicable only to the WEB sample, e.g. conditional incentives, whilst others apply to both i.e. item recall

2.1 Procedural experiments

IP6 includes a number of experiments which will help us improve our understanding of how different survey processes and contact methods can improve our ways of getting – and keeping – in touch with participants, collecting self-completion data and securing participant co-operation. Some of the experiments are described below.

2.1.1 Mixed modes experiment

The experiment involves offering a proportion of the households the possibility of completing the questionnaire online before face to face fieldwork commences. The rest of the sample will be approached F2F in the first instance. This will allow estimating the take-up of the WEB instrument and the impact of this mode on response rates and costs of the survey. See section below for more detailed discussion of the experiment. Households will be allocated to the same group as in IP5, so there is interest for IP6 in understanding how mixed mode works over time.

2.1.2 Incentives experiment

The IP6 incentives experiment is a continuing experiment from previous Innovation Panels. It assesses the impact of incentives on response rates, efficiency of fieldwork and costs. Incentives in the form of a Post Office voucher are sent in the advance mailing. On IP6, sample members will receive either £10 or £30 with a sub-group of the WEB sample receiving an additional £20 per adult if all adults in the household take part online within the 2 week CAWI-only phase (discussed below under 'Additional incentive experiment'). For some of the households this is the same level of incentive as in

previous years, for others it is a different amount; the participants may or may not comment on what they received this year in comparison with previous years.

2.1.3 Adult Self-completion mode experiment

Adults interviewed in CAPI (from either F2F or WEB group) will be assigned to receive either an A4 paper adult self completion booklet or to complete these questions in CASI. 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 will be indicated on the front of your ARF. Completed adult CASI/self-completion booklets do not incur an additional incentive.

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

This experiment examines how to adapt questions for surveying children. On IP6 we will be using two versions of the youth paper self-completion questionnaire. Half the children will receive a YELLOW booklet which uses smiley faces for the questions on satisfaction (Question 28), and the other half will receive a BLUE booklet which shows these questions using a scale with a textual description. The version to use in a particular household will be indicated on the front of the ARF.

Please complete a promissory note for £5 for each completed booklet returned to you. Alternatively please give respondents a reply-paid envelope (addressed to MCL, Poole). On receipt, a £5 voucher will be posted from the office.

2.1.5 Measuring household energy use (Advance mailing)

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

A follow-up paper questionnaire will be posted out 4 weeks after Phase 3. The questionnaire will ask respondents to collect the same meter readings as collected during the interview in order to ascertain usage between two points in time. CAPI will prompt you to ask for consent to re-contact participants.

2.1.6 Targeted advance letters

This experiment involves multiple versions of the advance letters. Part of the sample will receive a ‘standard’ IP advance letter. The standard letter will still have different variations depending on the specific circumstances of the individual (such as whether they took part at IP5, incentive group, rising 16s etc.). The other half of the sample will receive ‘targeted’ advance letters. There will be five different versions of the targeted letters. The versions will respond to the personal characteristics of the respondents (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 affect the response levels.

2.2 Questionnaire experiments

Some of the IP6 questionnaire content is also experimental in design – we are trying out different ways of asking the questions, and some new questions have been designed to gain information on specific issues of interest.

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

2.2.1 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 different versions are allocated across the sample and interviews so you must read the questions from the CAPI screen carefully and **exactly as scripted** to ensure that the experimental design is followed as intended.

The question-phrasing experiments include:

- **Branching and labeling in rating scales**: The questionnaire includes a number of modules that ask people about their satisfaction with their life and job circumstances. In these questions three variants of rating scales are used: -

  - 'labeled-unbranched' where the participant is 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 is 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 are 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 includes measurements of participants' self-reported long-lasting illnesses. Participants will be randomly allocated into three groups:-

  - Group A will be asked a set of follow-up questions on areas of everyday life that people may have difficulties if they say they have a long lasting illness. They will then be asked to explain the reason for every answer that is different to the previous wave;
  - Group B will be asked the follow-up questions regardless of whether they report a long lasting illness;
  - Group C will be asked the follow-up questions if they indicate they have a long lasting illness, but will not be asked to explain any differences from the last wave.

- **Partner satisfaction with work division**: This experiment measures satisfaction with work arrangements within partners. All adults in both sample types are asked a set of hypothetical questions about division of housework. Households are randomly allocated to receive different sets of questions.

2.2.2 Item non-response

This experiment only applies within CAWI interviews and applies to around 6 or so key questions where it is particularly important to minimize item non-response. Respondents will be randomly allocated into three groups. Each group will get a different message when trying to skip one of these key questions without coding an answer:

- Group 1- the question will re-appear adding 'Don't know' and 'Prefer not to answer' to the response options. Respondents need to select an 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 will be shown again with the opportunity for a second attempt at getting an response.

2.2.3 Experimental modules

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

- **Mode preference module**: At the end of the individual questionnaire all participants are asked about their views on different modes of interviewing including Face-to-Face, telephone and web.
- **Item recall**: Participants will be asked to recall facts collected at previous waves. Half the sample will receive 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 a more accurate reporting of the historical information. The other half will not receive this pledge. The aim of 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 sit in the household questionnaire and ask about expenditure in the past month among 'benefit units' in the household (the bill payer and their partner and children). Households will be randomly allocated to two experiment groups. One group will be asked to give total expenditure last month, adding up expenses of different categories listed on a card. The other group will be asked to give the expense for each category separately. **Please note:** although you are able to select any appropriate household member for the household questionnaire, because the expenditure questions are only asked of the person responsible for paying the bills or their partner **the household questionnaire should ideally be with a person responsible for paying the bills or their partner**.
- **Time/Risk preference modules**: in around two-thirds of households, one person per household will be selected at random to take part in this experiment. They will be given a set of questions which will assess 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.
    - The respondent has a random 1 in 10 chance of winning a sum of money of between £2 and £250.

- A total of 91 quick questions will be put to the respondent using CASI. These cover decisions about preferring a smaller amount 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 are displayed of a rolling 10-sided die. A roll of '1' indicates the respondent has been randomly selected to win a sum of money.
- The amount won then depends on a random selection of one of the 91 questions. An animation of 91 balls in an urn is played and the randomly selected number is displayed.
- Where the question selected is one that described a lottery game, a further die roll animation is displayed and the randomly selected number displayed.
- The payout to winners is handled at the end of the interview and is discussed in section 5.5.

3 Fieldwork, monitoring and maximising response rates

3.1 Fieldwork arrangements

As discussed in the first chapter, fieldwork timings and milestones for your assignments on IP6 reflect those on the main stage.

As with the main study, Phase Two fieldwork lasts 10 weeks for first issue cases, with a two week mop-up period for definite appointments and tracing cases. In a similar re-design for Wave 5 the extended fieldwork period should allow interviewers more flexibility for contacting and interviewing – which in turn is expected to improve response.

In addition you will

- benefit from increased interviewer continuity as you'll hold on to a case for 10 weeks, instead of sending it back for reissue after six; and
- have more chance of getting every adult in the household. You can be more flexible with people's requirements, instead of having to send a case back even if you have a fixed appointment.

Reissues to a different interviewer will only happen in rare circumstances.

3.1.1 Fieldwork milestones

The targets for coverage during the fieldwork period take into account these changes in the fieldwork design. In line with the main stage, your targets for coverage are as follows:

Milestone	TR1	TR2
Issue date	08-Mar-13	08-Apr-13
Milestone 1a - all cases to be called	22-Mar-13	22-Apr-13
Milestone 1b - 25% cases covered	22-Mar-13	22-Apr-13
Milestone 2 - 50% cases covered	05-Apr-13	06-May-13
Milestone 3 - 75% cases covered	19-Apr-13	20-May-13
Milestone 4 - 90% cases covered	03-May-13	03-Jun-13
First issue deadline	19-May-13	17-Jun-13

3.2 Maximising response with mixed mode

A very high response rate is expected for Understanding Society, and the work that has gone into understanding the issues for the main study apply equally to IP6, for instance the need to give clear messages to sample members about the impact of Understanding Society on public policy and the importance of their participation within it.

The mixed mode aspect of IP6 brings some additional considerations. There was good take-up of the Web survey option at IP5, but the primary mode of data collection

remains face to face, even among the Web sample cases. Within sampled households allocated to the Web first:

- 23% completed via Web only;
- 13% partly via Web, partly via CAPI;
- 38% completed via CAPI only.

Higher refusal rates for CAPI for the mixed mode sample

The total household response was therefore 74%. This compares to a household response rate for the Face to Face only sample of 78%. Further, there was a higher household refusal rate for CAPI among the mixed mode sample.

Although the overall difference is not substantial, there are processes specific to the mixed mode approach that will have a bearing on response. A qualitative study with IP5 sample members was carried out to better understand reasons for refusing the CAPI.

- **Wavering commitment** to the study in general was sometimes tipped into non-response. Thinking about completion of the Web survey may have led to some respondents making a firmer decision not to participate than might otherwise have been the case;
- **'Missed opportunity'**. Some preferred the idea of carrying out the survey online, but hit technical problems and were then unwilling to carry out in CAPI, regarding the Web to be a missed opportunity;
- **Preference for face to face**. Among some whose preference was to see the interviewer again, there was a sense that the option of CAWI devalued their contribution through a face to face interview;
- There were **household** effects as well. Difficulties encountered by another member of the household led another household member to decide not to try, and not to agree to the CAPI interview either.

This complemented **feedback from interviewers at IP5** about their experiences. Some interviewers have mentioned that they were not confident in IP5 about their role in relation to the Web survey, and that they were occasionally on the 'back foot' with sample members who said they had completed on the Web or would complete it this way.

Maximising response to mixed mode

Some considerations for countering some of the issues relating to the mixed mode sample:

- **Get the latest information about your cases.** Ensure you have the latest information about Web completions in the household before setting out. You need to connect to the server to do this, or to phone the Helpline operated by MMU for an update.

- **Push for a face to face interview.** You don't need to mention the Web option unless they do, or if it is clear that a Web interview may be the best way to achieve an productive outcome. Be clear yourself and with sample members that the face to face approach is the **primary** means of interviewing on Understanding Society. This will be the case for the foreseeable future and is essential to ensuring the survey represents the widest possible population.

- In line with this, you should be **prepared to counter** suggestions from sample members that they will carry out the survey on the Web. Consider what you might say to encourage a face to face interview 'while I'm here'. Individuals may genuinely intend to carry out the survey online, but there is a risk that an opportunity never presents itself. In all cases, it is very important to keep your approach positive, be enthusiastic about the survey and highlight the importance of taking part especially since this is a panel survey and we want to hear from everyone who is on the panel to maintain the quality of the research.

- **Enable the Web survey where it is a clear preference.** However, where individuals clearly state a preference for CAWI, or where it seems to you likely that others in the household may be more likely to complete the interview this way this should be encouraged and **enabled**. Please make sure that all household members have their **Access Codes** and understand how to access the Web survey (see below for a description of how respondents enter the Web survey). If they do not have the necessary login information, telephone the Helpline at the MMU to obtain these.

- **Manage those who want to complete online.** You also need to **manage** this process of Web survey completion:
    - 1) Make room for yourself to maintain contact by telling sample members that you will telephone them in a couple of days "to make sure you haven't had any problems". You might even make an appointment at this point to come back if they don't manage to complete online.
    - 2) Monitoring My Progress to check for completions (or get in touch with the MMU Helpline)
    - 3) Making a phone call two days later to chase where the Web survey has not been completed. If it isn't complete, phone again if this is appropriate or re-start the personal visits.
    - **Note**: you will be paid a **fee** for up to two calls to each sample member who you chase in this way. You should record your call on the ARF and in the admin block and the special fee will be added accordingly.

- **YOU ARE RESPONSIBLE FOR ENSURING PRODUCTIVE OUTCOMES FOR CASES ASSIGNED TO YOU WHATEVER THE MODE OF COMPLETION.**

- **After week 7 of Phase 2 the CAWI option will be closed**. This will be an opportunity for you to change your approach to some households and individuals. You will be able to state that face to face is now the only way they can participate.

3.3 Logging on to the Web survey

The Web address for the survey is:

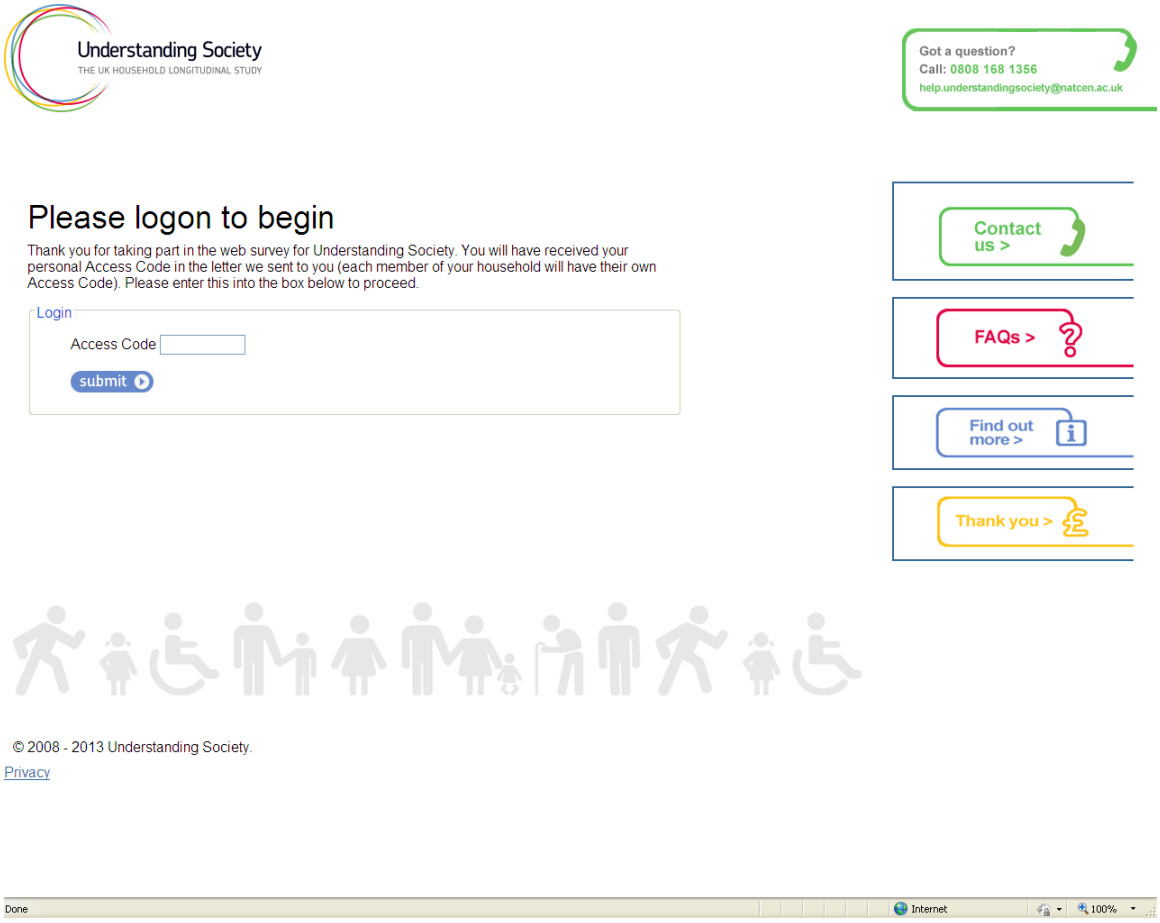
www.understandingsociety.ac.uk/survey

Each individual in the household will have been sent their own personal Access Code. After entering the link above in the address window at the top of their browser, respondents will be taken to the login screen shown below.

At this screen, respondents enter their code and click 'Submit'. They are then asked to confirm their name before they continue into the Web survey.

At this and the first login screens, respondents can also get further help and information by clicking on the links to the right of the login box. Note that the Helpline number and email address are visible on every screen in the questionnaire.

If you are unsure how to guide the respondents on technical issues they may raise, please get in touch with the Helpline.



3.4 Targets for IP6

Targets for your assignment will be calculated based on the proportion of cases you have where the household was productive in IP5. There are separate overall targets for these types of household:

Household response (full or partial) targets:

- Productive last wave (PLW): 90%
- Unproductive last wave (UPLW): 25% (this is a blanket figure across all elements of Understanding Society)

In addition, there is an individual Re-Interview Rate (RIR) target (i.e. of people (16+) interviewed last time & still eligible this time, what % do we re-interview):

- target 94% of eligible individuals

It is important to note that the calculation of your assignment response rate will **include** cases that were completed via the Web survey. You will be credited for productive outcomes whatever the mode, which is in line with the aim of the interviewer role being to enable and manage Web survey completion in the field.

4 Before the interview

4.1 Advance mailings and emails

All respondents in both modes will receive an advance letter. For the F2F group the advance letter will follow standard procedures and will be sent to arrive around a week prior to the start of CAPI fieldwork on 8th March (TR1) and 8th April (TR2). The letters will be posted by the office. Each adult, including participants who have turned 16 since the previous wave, will receive a letter – regardless of whether they have previously completed an individual interview. The advance letter will include the unconditional incentive (either £10 or £30).

The WEB group will be sent advance letters and advance emails (if we have an email address for them) which will arrive prior to the start of the WEB phase.

IP6 advance mailing is subject to a number of experimental conditions (see section 2.1.6 above).

4.1.1 Types of advance letter

On IP6 there are templates of the advance letter which take into consideration the personal circumstances of the recipient:

- Standard letter
- Working full time
- Has children
- Age 16-29
- London or South-East
- Pensionable age

For each template there are other considerations which determine the content of the letter:

- Participation at previous wave
- Whether F2F or Web sample type (Web sample letters include the Web address and Access codes)
- Those who did not participate via the online option in IP5 are are informed about the interviewer follow up
- Incentive group
- Meter reading experiment (see section 2.1.5 above).

For the Web sample members where email addresses are available we also send **tailored emails**. Similar to the advance letters, the advance emails have different templates which take into consideration the different elements of experimental conditions and personal circumstances of each case. In addition, they contain a unique link that includes the Access Code and means that they go straight into the questionnaire if they click on the links. This is an important advantage over typing in the Web address and then the Access Code. It is another reason why it is **very important to prompt for email addresses and ensure that they are recorded correctly during the interview.**

4.1.2 Other mailings

Letters and emails for new entrants

New (adult) entrants identified in CAWI will be sent an advance letter (and email) with their access code.

If you identify a new entrant in a household assigned to the WEB group please go ahead and conduct the interview in CAPI. These respondents are eligible for a CAWI interview and if they insist they would prefer to complete the interview online please contact the office to send out an advance letter with an access code for the new entrant. You will need to have completed and transmitted the HHGrid first. In these cases there will be a delay of a few days before the respondent receives their access code so it may be advantageous to encourage a CAPI interview.

New entrants will receive a standard form of the advance letter that includes the household experimental elements.

Reminders for WEB respondents

Non-responders in the WEB sample will receive two email reminders and one reminder letter via post. The reminder emails will be sent two and four days after the advance letter, and the reminder letter will be sent a week after the advance letter. Similarly, those who start their questionnaire online but log off without finishing it will receive an email or a letter encouraging them to log in and complete the questionnaire.

Schedule of mailings for WEB sample

Tranche	Advance Letter	Advance Email	1st Reminder Email	2nd Reminder Email 2	Reminder Letter
TR1	20th Feb	22nd Feb	26th Feb	1st Mar	1st Mar
TR2	21st Mar	25th Mar	28th Mar	1st Apr	1st Apr

4.2 Incentives

The vast majority of adult participants will receive their incentive as part of their advance mailing. For others (e.g., new entrants, movers), incentives will be sent by the office on completion of an interview/paper questionnaire. You will not be handing out these incentives, instead you will be prompted to leave behind a promissory note. Vouchers will be sent from the office on receipt of the CAPI data.

Incentive vouchers for new entrants and non-receipt of advance mailing voucher

If a respondent did not receive a voucher in their advance letter, please record this at 'AdvVoucher' at the end of the individual questionnaire. This data will be used by the office to generate additional vouchers.

Please do not leave any additional 'special action' notes in the Admin block for issuing vouchers to participants as these could get missed. We aim to send vouchers within

10 days of the interview so it is important that you transmit regularly so the Operations Team act promptly.

Non-participating adults

Adults who do not wish to take part at IP6 do not need to return their voucher, even if they offer to do so.

Youth self-completions

As mentioned above, all those who fill in a youth self completion booklet will receive a £5 Post Office voucher. For booklets completed and returned to you please fill in and hand over a promissory note (LVoucher2). Vouchers for booklets posted directly to Poole will be mailed out from the office.

Proxy interviews

There are no incentives for proxy interviews.

How to redeem the voucher

The incentive is delivered as a Post Office voucher, rather than the High Street "Love2Shop" voucher used in the previous wave. Vouchers are redeemed at the Post Office where counter staff will scan the barcode. Respondents can receive the voucher amount in cash.

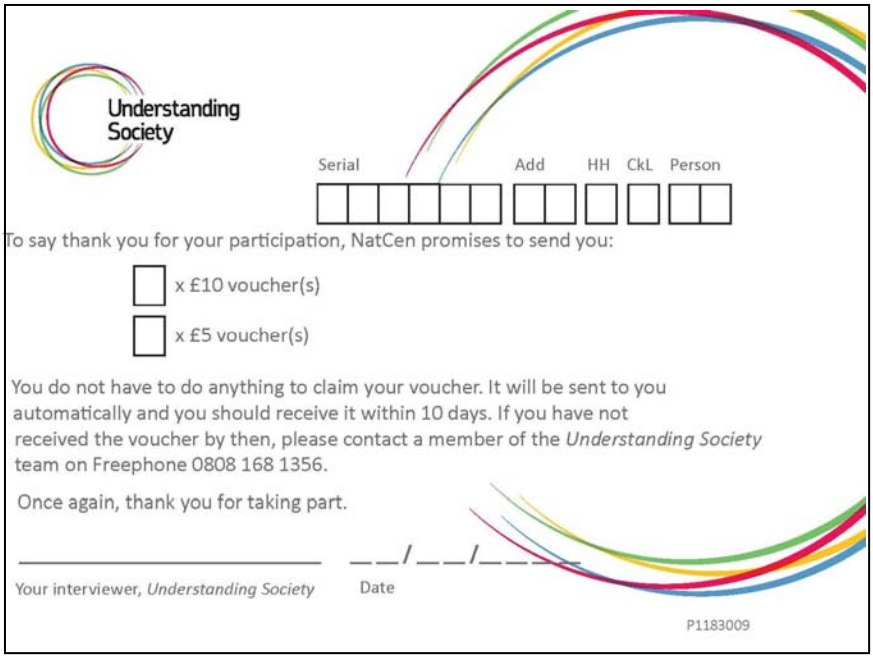
4.3 Promissory notes

Whenever prompted in CAPI please fill in and hand over a promissory note and hand it to the respondent. Copy the serial number as it appears on the CAPI screen and fill in the boxes to correspond with the correct amount payable. Finally sign and date the note.

The note should then be left with the participant as a record of our commitment to send them an incentive. Reiterate to the participant that they should receive their incentive within 10 days of their interview, and to call the freephone number printed on the note if not. It is important that you transmit regularly so that the Office can send out vouchers promptly.

Note that the promissory note used for the lottery payment is slightly different – see Chapter 5.

Promissory note


Understanding Society
Serial
Add
HH
CkL
Person
To say thank you for your participation, NatCen promises to send you:
x £10 voucher(s)
x £5 voucher(s)
You do not have to do anything to claim your voucher. It will be sent to you automatically and you should receive it within 10 days. If you have not received the voucher by then, please contact a member of the Understanding Society team on Freephone 0808 168 1356.
Once again, thank you for taking part.
Your interviewer, Understanding Society
Date
P1183009

5 The Interview Process

5.1 Overview of data collection instruments

The data collection instruments and their average timings are:

- 15 min CAPI household questionnaire (including the enumeration of the household i.e. the household grid);
- 30 min Individual CAPI questionnaire for all aged 16+
- 9 min adult CASI or paper self-completion;
- 10 min CAPI proxy questionnaire;
- 10-15 min Youth paper self-completion booklet for all aged 10-15.

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

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

5.2 Planning your work/tracking progress

If you have a large household you are very likely to have to make multiple trips to complete all interviews and to collect youth self-completions. ARF A provides space for you to keep track of the interview progress on the front page. It is not mandatory for you to fill this in, but you may find it useful when tracking progress of the different elements.

5.3 Self-completions

There are two types of self completions – adult self completion and youth self completion.

Adult self-completion

Those interviewed face-to-face will receive either a CASI or a paper version of the instrument, depending on the allocation to experimental group. The mode to be used in a particular household will be indicated on the front of your ARF.

The self-completion element of the interview covers the following areas:

- Health
- Personal wellbeing
- Satisfaction
- Relationships
- Future intentions (for young adults)

In addition three experimental modules will be administered in CASI for all cases selected for the experiment:

- Approaches to division of housework (vignettes);
- Risk experiment;
- Time reference control .

Youth self-completion

All children aged 10-15 are eligible for a paper self completion booklet. On IP6 we have two versions (blue and yellow). The only difference between them is the design of Q28 on happiness (smiley faces vs. text-based).

The youth self-completion should take approximately 7-10 minutes to complete.

The questions on the youth self-completion cover the following areas:

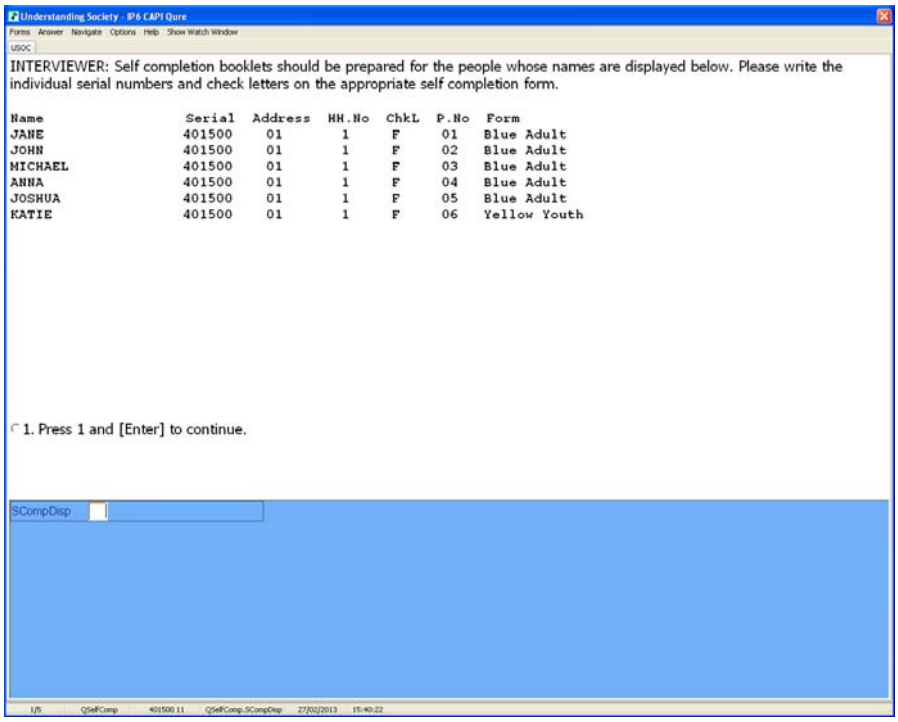
- Computer / Internet use;
- Family;
- General happiness and wellbeing;
- School;
- Money;
- Caring;
- Health and nutrition
- Illegal and illicit behaviours;
- Future intentions
- Religion; and
- Politics.

Administration of paper self-completion questionnaires

If possible, please encourage respondents to fill in their paper booklets during your visit(s) whilst you are interviewing other household members. Alternatively if you are returning to the household/area please let respondents know that you will call back to collect them.

Self-completions can be returned to Poole by the respondent as a last resort – envelopes are supplied for this purpose.

The CAPI has been structured so that self-completion details are accessed through the parallel block. On completion of the household grid, the appropriate individual questionnaires are created. In addition one self-completion block will be created for all eligible paper booklets needed for that household. You will need to write the serial number, person number, check letter, the sample member's first name and your interviewer number on each questionnaire before handing it out. **Please ensure that you copy this information directly from the CAPI screen, not from anywhere else such as the front of the ARF.**



Distributing the questionnaires

As mentioned above, you can write on and distribute paper booklets as soon as the Household Grid has been completed. **Be sure to distribute adult paper self-completions only in households where the front of the ARF shows "Adult Self-completion: PAPER"**

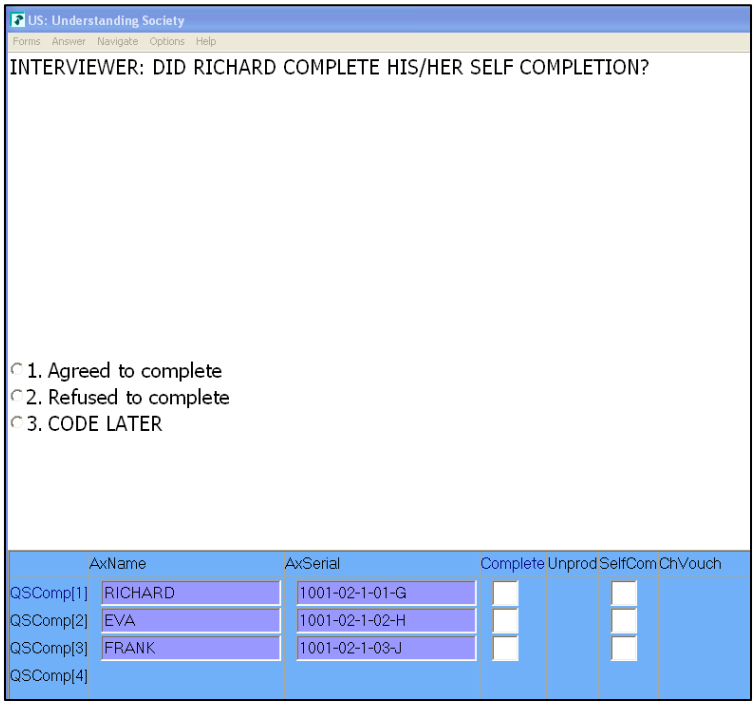
Before handing out youth booklets, please get verbal consent from the parent or responsible adult for the child(ren). We are not asking for written consent.

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

Please provide help to anyone (youth or adult) who needs it. Ideally booklets should be completed in private and returned to you in a sealed envelope or posted directly to Poole.

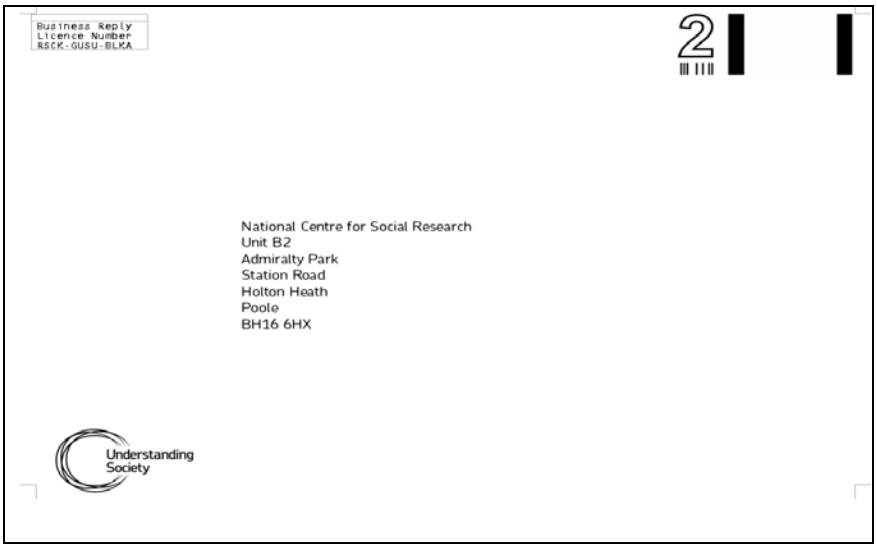
If a parent asks to see the completed questionnaire of their child please, refuse politely. State that you have guaranteed confidentiality to the child and this promise cannot be broken. If you think it would be helpful, offer to show them a blank questionnaire, before the child completes it.

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



Only as a last resort should you leave a self-completion to be returned to the office. In such cases please leave a freepost return envelope addressed to Poole (see below) for respondents to post their booklets directly to Poole. **Please do make every effort to collect the self-completions in person, either when you return to the household to complete other appointments or if you are in the area.**

Figure 12.2: Poole Freepost return envelope for self-completions



5.3.1 Adult CASI - Completion by interviewer

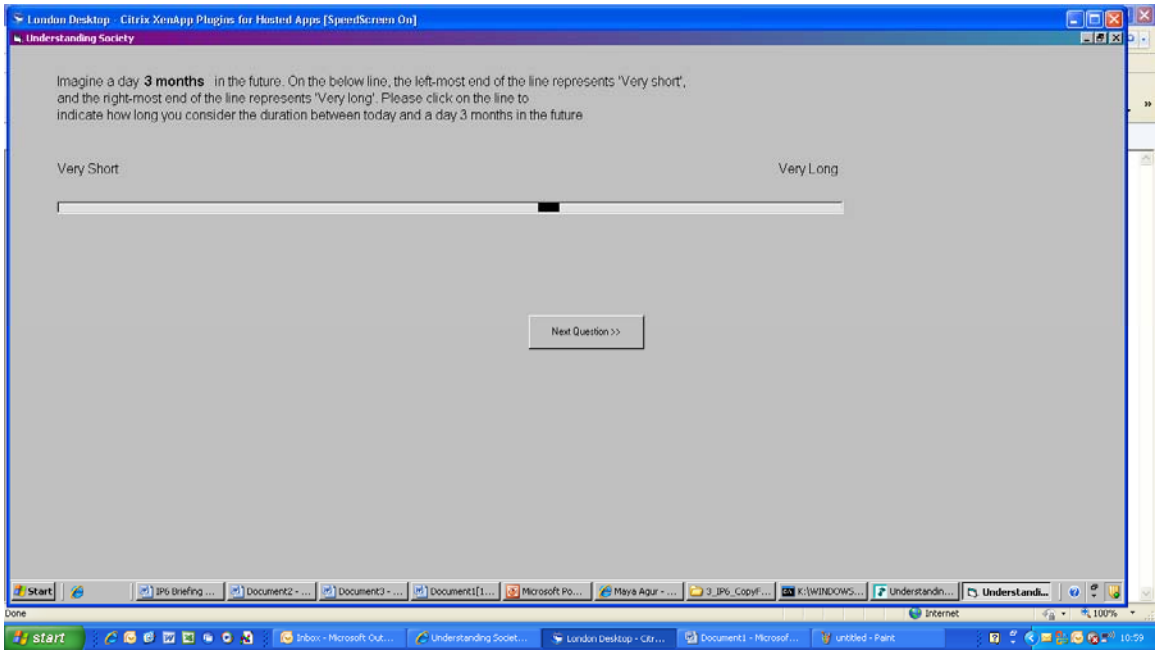
At the beginning of the self-completion section you will be asked to record whether the participant will complete the CASI themselves or whether the interviewer will ask the questions because the participant is unable to complete it themselves, e.g. because of sight/ reading/ language problems.

5.3.2 Security of answers

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

5.3.3 Use of the mouse in CASI

A small number of questions in the CASI require the respondent to click on a line where they judge a given period of time to be in the future (the line is labelled 'very short' to 'very long'). They will need to use a mouse for these questions – either the 'touch pad' on the laptop, or using the supplied plug-in mouse. Please provide the mouse to the respondent when introducing the CAPI and make it clear that you are happy to help should they need assistance. The screen shot below shows the question – the black mark on the line is the point where the respondent has clicked (the line will be blank to begin with).



5.4 Finger length module

Finger length is a new module in IP6. In this module you will need to measure the length of the participants' index and ring finger. These measures have been shown to indicate roughly the level of hormones a baby has been exposed to during pregnancy.

Understanding Society offers a golden opportunity to collect these measures from the general population on a large scale. Having these measures help to better understand the links between social background, physical development and a range of social and personality outcomes.

There is additional guidance, including photographs, in the main instructions on measuring finger length included as an appendix.

5.4.1 Protocol for measuring finger length

Measurements are taken using digital calipers. You will need to measure and record four readings: index and ring finger on both the right and left hands.

Before taking the measurement:

Switch the digital reader on by using the Red ON/OFF button on the bottom left of the reader. Make sure the jaws of the calliper are fully closed. The reading on the display should be '0.00'. If the reading is not set to '0.00' press the White button (ZERO) on the bottom right to set the digital reader to Zero. **Do not** start the measurement if the reader is not set to '0.00'.

CAPI will ask you to record the measurements in **millimetres**. You should see the letters 'mm' in the upper right corner of the digital display. If the display reads "in" please press the blue button until "mm" is shown.

The digital reader will automatically switch on when it detects a gap between the jaws of the calliper. If this happens close the jaws shut and reset the reader to 0.00 before taking the measurement again. This is to make sure that the callipers are calibrated before each measurement.

Taking the measurements

- Explain the procedure to the respondent and get their verbal consent to take the measurements.
- Ask the participant to fully open their hand with the palm of their hand facing up.
- The participant should rest their hand on a stable surface (table, arm of a chair).
- If possible ask the participant to support the jaw on the bottom crease of their finger to help stabilise the calipers.
- Make sure all fingers are straight and neither bent nor overstretched. In cases where it's not possible for the respondent to do this (arthritis etc) then the interviewer should make a note of this at Digerr.
- Align the '0' mark on the fixed jaw of the calipers with the middle of the bottom crease of the finger to be measured.
- Align the movable jaw of the calipers with the tip of the finger (not the finger nail).
- Record the measurement in millimetres in CAPI.
- Reset the calipers to 0.00 and repeat the measurement on the next finger/hand until all four readings have been taken and recorded. Take the measurements in the same order as in CAPI: right index finger, right ring finger, left index finger and left ring finger.
- If the measurement is not possible use code 997 for finger or hand missing or injured; or use code 996 for other reason.

Care instructions

Always check the '0.00' display before leaving home on each interviewing day and notify the office immediately of any faults so a replacement can be sent out promptly.

The calipers are fragile and have sharp edges. Please take care not to prick participants or their furniture! Calipers must be kept in their box when not in use and kept away from children.

In the case of an incident, please complete a Special Report Form in CAPI Admin (SASRF) so the appropriate action can be taken.

5.5 Payout for Time/Risk experiment

Around 600 participants will be selected at random to take part in the Time/Risk experiment (see Chapter 2 for further information). Of these 600 participants, approximately 10% will be randomly selected to receive a payment. Payments will vary in amount and will depend on the answer given by the participant to one of the questions in the module (also selected at random). The time of payment will also vary from payments being paid 'now' to payments being paid 13 months in the future.

For winners eligible for immediate payment you will be prompted in the CAPI to hand over a **Gift Card** at the end of the interview. Please record the serial number accurately so that the card can be activated from the office with the appropriate amount. The value will be transferred onto the card within three working days. **Please make sure you connect to the server on the evening of the completion of the interview to ensure this is carried out promptly.** Respondents will be able to use their gift cards in a range of high street stores.

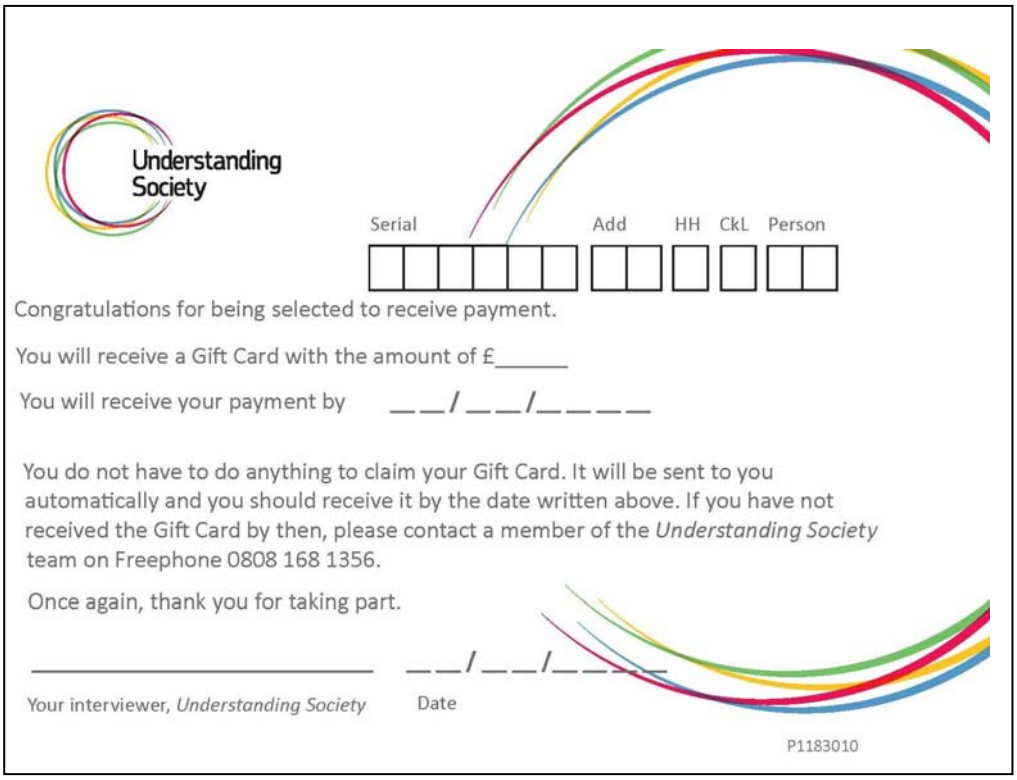
Winners eligible for postponed payment will be posted an activated gift card from the office at the appropriate time. For these respondents CAPI will prompt you to leave a promissory note with the participant.

Promissory note for Time/Risk experiment payment in the future

At the end of the Time/Risk experiment module participants will be notified in CAPI if they have been selected to receive a payment. The following question displays the amount of money to be paid and the date for payout.

For immediate payments please hand over a Gift Card. For payments in the future you will be prompted to fill in a 'Risk Experiment payment promissory note' (image below). Please add your name at the space provided on the bottom of the note.

Risk experiment payment promissory note



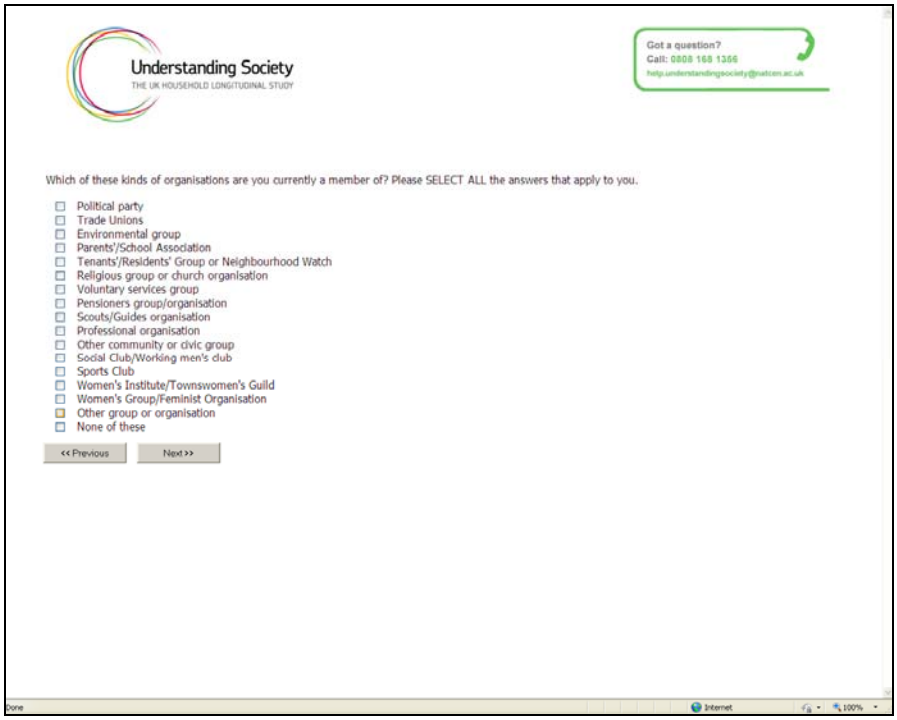
5.6 Example screens from the Web questionnaire

The following are screenshots from the Web questionnaire. This is just to provide you with some background in case sample members want to talk about it. You may be able to solve their queries, but please refer them to the Helpline if there are things you are not confident about.

Simple single code question. Respondents click in the circular radio buttons and click 'Next' to move on:

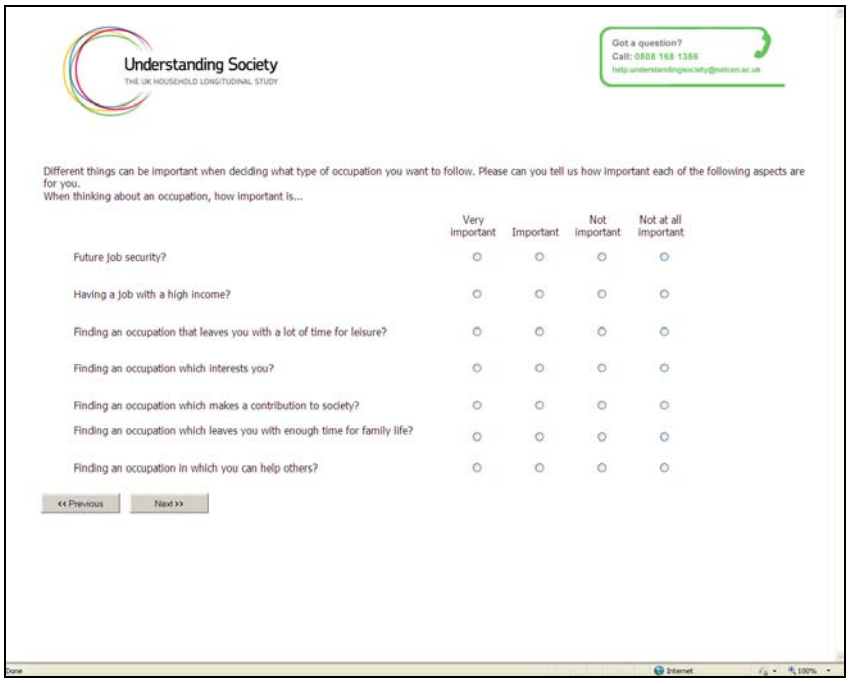
Drop down list. Respondents click on the down arrow next to 'Select' and a list will appear that can be scrolled. The required answer is selected by clicking and the list will close, leaving the answer in the box (click the down arrow again to reveal the list again):

Multicoded question. Distinguished from single code questions by square tick boxes. Multiple boxes can be ticked and click 'Next' to move on:



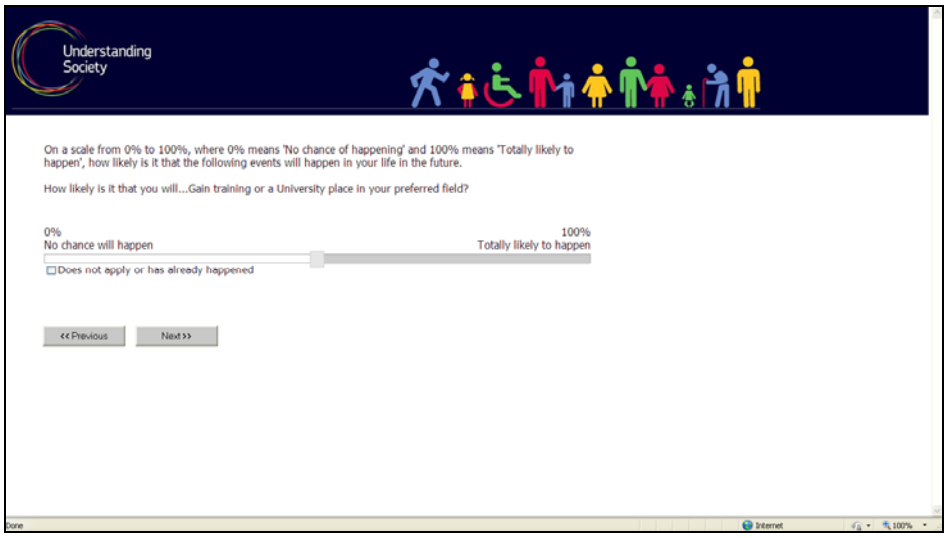
Open question (text box). Click in the box and start typing. Click 'Next' to move on:

Grid question. Each question is single code and will allow only one answer:



'Help' at specific questions. For certain questions the word 'Help' is displayed in green under the question text. Clicking on this reveals text that guides the respondent on how to answer:

Slider questions. In this example, the respondent clicks on the 'button' in the middle of the bar and drags it left or right while holding the mouse button down.



6 Starter pack

You will be issued with a 'Starter pack' when you start working on IP6 the starter pack will include the items in the table below, and a reference card of all the documents being used on IP6. We will not send out top-up packs during fieldwork, so if you need any further documents, please use the reference card to order what you need from the office.

Document	Format	Quantity
Advance Letter Generic (laminated)	A4 letterhead	1
Advance Letter Generic (not laminated)	A4 letterhead	5
Flyer	A5 Card	10
Information Leaflet (facts on Understanding Society)	A5 Card	10
Interviewer Card	A6 White Card	12
ARF B – split household(s)	A4 Light Grey	2
784 Log	A4 Pale Yellow	3
Final Outcomes (laminated)	A4 Pale Yellow	1
Tracing Section-to be used for tracing multiple addresses	A4	2
Promissory Note	A5	5
Lottery Experiment Promissory Note	A5	5
Change of Address card	White card	5
Change of Address card envelope	DL	5
Adult Self Completion	A4 Blue cover	5
Youth Self Completion Version A	A5 Yellow	5
Youth Self Completion Version B	A5 Blue	5
Tracing Letter	A4	6
Stable Contact Letter	A4	6
Showcards	A5 Pale Yellow	1
IP6 CAPI Project Instructions	A4 booklet	1
Split Households Flow Diagram	A4 Laminated	1

7 Admin block

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

Please note there is a new and unique household outcome code for IP6:
787 - Household has already completed the survey.
Please also refer to the IP6 Outcome Codes list in your workpack.

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

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

7.1 Changes at IP6

7.1.1 Classifying individuals and households

Once you've filled in the standard information, we'll be collecting a number of new pieces of information.

Classifying the household
If the household is unproductive, we'll be asking you: "Are there any reasons to permanently withdraw this whole household from the sample or not reissue at this wave?" You have three options in reply to this question:

1. Keep in sample – can reissue. This option should be used if there are no concerns about reissuing this household at this wave
2. Do not reissue, but re-contact at the next wave. This option is for households that we should not re-contact at this wave, but that there should be no problem with issuing at IP7.
3. Remove from sample. This option should be used when you have serious concerns about reissuing the household at IP7. This could be due to household circumstances or a firm, permanent refusal request. Selecting this option will not automatically remove the household from the sample, but it will flag it for further investigation by ISER.

Selecting **option 2** at this question will take you to a further question: "Why should the whole household NOT be reissued this wave?" The following set of answers and an 'other' option are available:

- Bereavement
- Critical / terminal illness
- Hospitalised for the remainder of the fieldwork period
- In the process of moving

- Divorce / separation
- New baby
- Change in job circumstances

Selecting **option 3** will route you to a question which asks "Why should the whole household be removed from the sample for all future waves?". The following set of answers and an 'other' option is available:

- **All household members** mentally incapable of interview (e.g. senile)
- **All household members** physically incapable of interview (e.g. long term sickness)
- **All household members** asked not to be re-contacted or have contacted office to request withdrawal
- Violent or threatening behaviour towards interviewer

Classifying individuals
We're also asking whether any individuals within the household should be removed. This option should only be used if there are specific reasons for not contacting the participant at future waves, for example if they are deceased, mentally incapable or have adamantly refused future contact.

7.1.2 Contact preference at the next wave

We know that, sometimes, participants request that you contact them by phone at future waves. We've standardised the recording of that information in the Admin block for IP6. This is not a question that you read out to the participant, but one that you code if the participant has explicitly requested this. You will now be asked the following question: "Has this household requested that an interviewer phones first to make an appointment at the next wave?", to which you can answer yes or no. The information you provide here will be printed on the ARF at IP7.

7.1.3 Useful information for re-issue interviewer

There is a specific question at this wave for recording any information that may be useful for an interviewer at reissue.

7.2 Recording useful information for the future

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

Please record useful information for the future in the relevant field in the admin block. DO NOT leave memos in the admin block as these will not be picked up.

General instructions for interviewing on Understanding Society

8 Introduction

Understanding Society (also known as the UK Household Longitudinal Study (UKHLS) among the academic community) is a longitudinal household panel study commissioned by the Economic and Social Research Council (ESRC) and led by the Institute for Social and Economic Research (ISER) at the University of Essex. It is the largest study of its type in the world, with an achieved sample size at Wave 1 of almost 40,000 households across the UK. The study was officially launched by the ESRC on 13th October 2008, and NatCen has been commissioned to undertake the first five waves of the study.

8.1 Background

Understanding Society will provide valuable new data about people across the UK - their lives, experiences, behaviour and beliefs - and will enable an unprecedented understanding of diversity within the population. The study will help us understand the short and 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, feeding into policy debates and influencing the outcome of those debates.

The design of the study is similar to that of *Living in Britain* (the umbrella term for studies known as *Living in Britain*, the *Northern Ireland Household Panel Survey, Living in Scotland* and *Living in Wales*) which ran from 1991 to early 2009 and was also managed by the team at ISER. In *Living in Britain*, children born at the start of the study have been followed into adulthood and into the labour market. Those who were young adults when the study started have been tracked through their years of partnership formation, marriage and establishing a family, along with all the effects this has on other areas of their lives such as employment, housing needs and income. People who were middle-aged when *Living in Britain* started have been followed through their retirement period to understand their well-being into old age.

Understanding Society will do the same over the coming years but with a much larger sample size. This will allow us to look in more detail at small sub-groups within the population as well as year groups within the sample. However, so as not to lose the rich experience of the *Living in Britain* participants, at Wave 2, the existing sample was incorporated into the *Understanding Society* sample.

ISER's experience of conducting *Living in Britain* over 18 years is that both participants and interviewers enjoyed the study. Participants enjoy the fact that their interviewer returns every year and they can update them on things that have happened to them and other household members. Similarly, interviewers enjoy

revisiting the same people to see how they are getting on, even if sometimes they encounter people in difficult circumstances. *Understanding Society* is building up a unique picture of how people's lives develop and change as events and experiences unfold in their lives.

For more information on the study, please visit the *Understanding Society* website: **www.understandingsociety.ac.uk**.

Some early findings from the study are published in the annual reports:
https://www.understandingsociety.ac.uk/research/publications/annual-findings/early
https://www.understandingsociety.ac.uk/research/publications/annual-findings/2012

For information on the media coverage of *Understanding Society*, please visit the 'News' page of the *Understanding Society* website at:
https://www.understandingsociety.ac.uk/news/in-the-news
.

You can also find more information about the benefits of panel studies, including *Living in Britain* and *Understanding Society,* in an ISER/ESRC produced document, 'In Praise of Panel Surveys':
http://www.iser.essex.ac.uk/files/in-praise-of-panel-surveys.pdf

8.2 Branding

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

9 Before you contact the household

We know that the interaction we have with participants in between your interviews is important. That's why, at this wave, we've put a lot of effort into revamping how we communicate with participants. Some examples of what we've done so far, and an idea of where we hope to get to in the future, are included below.

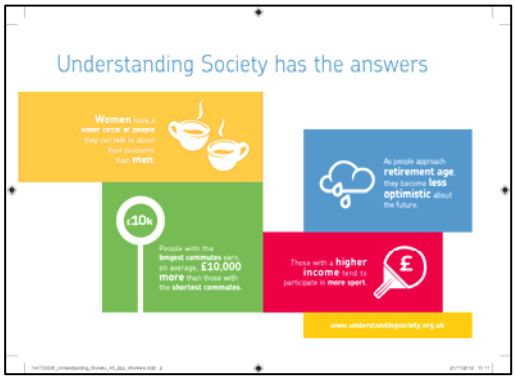
9.1 Between-wave mailings

Until now, we've sent a findings report to each household around 6 months after their interview. The household's principal contact would receive this while other household members received a letter and COA card. The benefits of this approach was that the household received a document with detailed results – it demonstrated the benefit of a high-quality, academic social survey.

However, following a detailed qualitative work we've completed with participants, the message we heard was that participants wanted:

- to know why their individual contribution was valuable;
- more information about why Understanding Society is important;
- communication that reflected their individual circumstances and motivations; and
- individual-level communication, as opposed to household.

We have produced a number of tailored findings documents that will replace the interwave mailing, an example of which is below:



There are three tailored versions of this document sent to each sample member. Variations will be based on factors such as employment, ethnic group and age. The mailing will also include a letter and change of address card.

9.2 The website

Participants are also able to update their details – and find much more information about the study – on the website. The address is **www.understandingsociety.ac.uk**. Participants will also receive £5 if they notify us of a change of details through the website. We'd recommend that you take a look too.

10 Contacting the household

10.1 First contact with household

When contacting the household you cannot:

- Make first contact by telephone*
- Send texts to mobile numbers
- Conduct the interview by telephone

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

* In some cases, a participant may have contacted ISER and requested an interviewer phones them in advance. If this is the case, the comment will be printed on the ARF and Sample Information Sheet. In these cases, please make first contact by phone to arrange an appointment only. DO NOT interview by telephone.

However, if there is no contact with a participant after 6 calls to the household, you should talk to your Team Leader and discuss whether attempting telephone contact is a suitable approach. This should be used as a last resort, but would be useful in order to avoid returning as a non-contact before all methods have been tried.

Research shows that:

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

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

If no one is at home, leave an *Understanding Society* interviewer card (see Figure 5.1) to inform the residents of your visit. You may use the study Freephone number (0808 168 1356) as a contact number. This number is staffed 9am – 5pm Monday to Friday. Outside these hours, an answer-phone service operates.

If you are unable to make contact with the household, follow the procedures for tracing sample members discussed in Chapter 14.

Upon making contact, always remember to show your ID, even if the people you speak to do not appear to be interested in it. If sample members have any queries which you cannot answer at your initial Face-to-Face visit, ask them to call the *Understanding Society* team on Freephone 0808 168 1356.

10.2 Subsequent contact with household

After you have made your **first contact in person**, subsequent contact can be made by telephone **if** the household are happy for you to call them, e.g. to arrange or check appointment times. However, you must not interview the household by telephone. You will need to record details of all telephone calls on the ARF (see Chapter 12 for information on the ARF), including the following information:

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

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

10.3 Introducing the study

As we are re-visiting the households annually, it is important to stress that the study is concerned with **stability and change** over time and this is why we would like to interview the household again. Remind the participants that **this is a study about them as individuals** and that we want to find out how different aspect of their lives interact and influence each other. The participant cannot be replaced by someone else: it is only by talking to the same people each year that we can properly measure change and stability in our society. It is important that you prepare answers to potential questions so that on the doorstep you are able to tailor your response depending on the objections raised and who you are talking to.

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

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

For households with more than one person, it is also important that everyone eligible participates. You should stress that this is a household study and that we are interested in how members of the household influence each other. For example, how decisions about one person's work and working hours affect others in the household, what happens when children leave home and so on. You should be prepared to make multiple calls to the household, so every adult does not have to be at home at the same time.

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

10.4 Doorstep documents

There are a number of documents for you to use on the doorstep:

- Interviewer card;
- Flyer
- '*Understanding Society*: Information for Participants' leaflet;
- Generic advance letter

10.4.1 Interviewer card

Instead of an Appointment and Broken Appointment card, there is now one single Interviewer card that allows you more flexibility to write your own message, depending on the circumstances. Remember that if you are leaving a card following a Broken Appointment you can add the Brentwood freephone number for the participant to contact someone at the office to propose a different interview time. The phone number to use is 0808 168 1356. You should also write their serial number on the card to make it easier for Brentwood to identify them.

10.4.2 Flyer

The flyer can be used with all participants to remind them of key information about what the study is about. On the front it also has some engaging and interesting research questions.

10.4.3 'Understanding Society: Information for Participants' leaflet

For new entrants to the household (i.e. those who joined since the previous interview) there is also a study leaflet which provides more information about the study and the interview. You can show this leaflet to established sample members as well if appropriate.

10.4.4 Generic advance letter

We have produced a laminated generic version of the advance letter which can be used on the doorstep, so that you do not have to carry multiple versions of the advance letter when visiting a household and to avoid any confusion over which letter to use. The generic version does not differentiate between participation history; it simply tells the sample member about the study and encourages them to take part. In addition to the laminated copy, your workpack includes spare copies of the generic advance letter (which have not been laminated) and these can be given to sample members on request, e.g. if they are a new entrant or did not receive their advance mailing. If you require further copies of these, please contact the office.

11 Who to interview

CAPI will determine the eligibility of individuals once you have completed the Household Grid. Generally, you will be interviewing **everyone aged 16+ who is part of the household**; regardless of whether or not they have been interviewed previously i.e. they could be a new entrant to the household or a re-joiner.

New entrants – this is someone who has joined the household since the last interview.
Re-joiners – this is a sample member who left the original household and then re-joined it at a later wave.

You will also be administering self-completion questionnaires to young people (aged 10-15).

In addition, you will be following and attempting to interview:

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

We do not want you to interview participants:

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

11.1 Eligibility of new entrants to the household

For new entrants to the household you will need to determine whether they should be added to be a part of the household. To do so, use the household definition below:

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

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

Sharing living accommodation:

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

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

General points to note:

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

Normal household residents would also include:

- Members (including children of any age) normally living in the household but temporarily away, e.g. on a short course or temporary job likely to last less than 6 months;
- Au-pairs, or anyone else on long-term engagement in the household (6 months or more), even if they have their main residence elsewhere;
- People who are temporarily resident at the address (e.g. guests) unless they have a date of departure. Boarders should be included, even if they have not been there for six months, unless they know they are moving out within the next six months.

If in doubt about residence, apply the six month rule: those away or likely to be away for 6 months or more are NOT counted as residents at the address (except for those who are 'absent' – see below): in some cases their main residence will not be in this country.

11.2 Absent household members

In the Household Grid, CAPI will also ask you to confirm the location of household members who were absent at the previous wave. Absent members include anyone living away from the household in institutional accommodation (note: students who have moved into Halls of Residence at any point after IP1 should be treated as split-off members) at any of the previous waves. Other absent household members **include** people who are normally resident in the household but are presently working away, e.g. people who work away from home for whom this is their **only** fixed or **main** dwelling unit (e.g., on business, in the armed services, fishermen, oil rig workers or merchant seamen).

11.3 Non-resident household members

The following are not regarded as eligible household members:

- people working away from home and who only come home at weekends or holidays and for whom it is not their main address;
- spouses who are separated (whether or not they visit the household);
- children who have been (or are expected to be) in care for 6 months or more;
- household members who have been away continuously for 6 months or more;
- paying guests, e.g., in a bed and breakfast;
- Anyone not sleeping at the address – to be counted as resident an individual must sleep at the address. Anyone who has their meals at one address but sleeps elsewhere must be included at the address where they sleep.

In summary, we include the following three groups of people as household residents, including two groups that would normally be excluded from studies:

Group 1: Normal household residents (using the standard household definition);

Group 2: Absent household members (at school / university); and,

Group 3: Absent household members (working away).

You should attempt to get a full individual interview with all participants from group 1 or a proxy if this is not possible.

12 ARF A – issued households

As in the previous wave of the Innovation Panel, there are three types of Address Record Form at IP6:

ARF A - Web: includes the Sample Information Sheet (SIS) and is available for all issued households of the Web sample type

ARF A – F2F: includes the Sample Information Sheet (SIS) and is available for all issued households of the F2F sample type

ARF B: used for split households, i.e. those where one or more household members has left the original household

In addition, there is:

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

a Final Outcomes sheet

ARF A is a Level 3: Participant Confidential document. You must take great care with it at all times.

The two variants of ARF A are identical in structure and content. We use two separate documents to help you distinguish between the two sample types, but you should work with both ARFs in the sam way.

12.1 Front page

Following feedback, we have made a number of changes to the ARF at IP6. These are focused on providing you with more information on the front page. You'll notice that in addition to the information provided previously, we have added/amended:

- Household move since last wave: whether we have been notified of a whole household move since previous wave. Suspected splits can still be found in the SIS.
- Interviewer comments: these have been moved from later sections of the ARF so more information is available to you. You should use this information to tailor your approach on the doorstep. You should also bear in mind the need to record any useful information for use at the next wave.
- Individual level information: for each individual resident in the household at the previous wave, their name, age, participation history and contact numbers are now printed on the front of the ARF. There is also a column for keeping track of completed interviews and youth self-completions. This replaces the 'Tracking Interviews and Self-completions' section, which was on page 4.

On the ARF label you will also find information on the outcome at IP5, the mode that the household was interviewed in IP5 and the allocation of the household to the different experiments:

Incentive group

Mode of self completion for adults

Version of self completion for children

12.2 Keeping track

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

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

12.3 Observations at originally issued address (Section A)

This section is for you to fully record your observations and all attempts to contact the household.

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

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

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

12.4 Tracing activities (Section B)

Instead of a separate document as in IP5 the tracing sheet has been redesigned and returned to ARF A. The new section collects more information about which methods were used and which were most successful, using information from the sample.

This will allow us to understand better what tracing activities are useful and which aren't. Contact details from the sample information we hold have also been added to the sheet so that you are able to more easily see which you should have tried before you return a case to the office.

12.5 Observations at follow-up address (Section C)

This section allows you to record observations at the first follow-up address. It is most likely that tracing will lead you directly to a new address and so only one observation section has been included. You have been provided with additional, separate Observation sheets in case you visit more than one follow-up address.

12.6 Sample Information Sheet (SIS)

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

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

The SIS has 4 main sections:

- Household information
- Individual information
- Stable contact details
- Suspected split household information

12.6.1 Household information

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

12.6.2 Individual information

This section contains the following information – where possible – for each household member enumerated at previous waves (including those who were not interviewed/absent at IP5):

- name;
- sex;
- age;
- whether they have ever been interviewed;
- whether we are aware that someone should not be contacted at this wave – death, refusal, too old/infirm
- individual outcome at previous waves;
- date and time of last individual interview;
- absent sample members;
- job status at previous wave;
- telephone number(s): home landline, mobile, work numbers;
- whether they are a rising 10 or a rising 16: '10' indicates the sample member has turned 10 and is now eligible for the youth self-completion. '16' indicates the sample member has turned 16 since their last interview and is now eligible for a full interview; This will be blank for all other sample members;

- sample member type (see section 12.4).

12.6.3 Comments from previous wave

Comments made by the last interviewer regarding the address location, call pattern or other information they regarded as useful for the future will be recorded here, in addition to appearing on the front page of ARF A.

12.6.4 Stable contact details

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

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

Please note that not all sample members will have provided a stable contact and so this table may be blank.

12.6.5 Suspected split-offs

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

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

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

12.7 Sample cover sheet

With the shift in focus to individual response, we've made changes to your Sample Cover Sheet. As well as listing the households in your assignment, you will see that you have each individual within that household listed too. It's all part of our attempt to give you the most important information up front. We'll be listing key information such as participants' name, age and previous participation history.

13 Dealing with split households

You may find that some households have split since the previous wave, i.e. not everyone in the household from last wave live together any longer. In such cases, some additional split households need to be created for the movers.

Mover situations can be complicated, and there have been some problems with creating split households on previous waves. These problems have been reduced due to a redesigned Household Grid at the previous wave. However, if you have any concerns, the key is to stick to these three golden rules:

1. Follow the instructions in the CAPI
Once you have completed the Household Grid, CAPI will tell you the number of split households required and what you need to do. If you read the screen carefully and follow the instructions you can't go wrong!

2. If anyone still lives at the issued address (on ARF A), they need to be interviewed in the issued serial number.
E.g. if you are issued a serial number 1001 for Address1, you cannot interview a split-off mover from this household living at Address2 in this serial number. Instead, you need to interview one of the people still living at Address1 in this serial number, complete the household grid, and CAPI will then tell you to open split household (serial 1002) for the split-off mover.

3. As a general rule, you cannot create split households before completing the household grid in the issued serial number.
Without the household grid, CAPI will not know who is meant to be living in each new split household. The only exception to this rule is situations where you know of a split-of mover, but are unable to interview at the issued Serial - see section 9.4.2 below for more details.

13.1 Process for creating split households

Tell CAPI who has moved
First you need to tell the CAPI who has moved. This is done in the Household Grid of the original/issued household.

Open ARF Bs or the 784 log
If you have coded some people as movers/going to prison and not returning to the household, CAPI will tell you how many split households you need to create and their serial numbers, and whether we want to interview these movers.

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

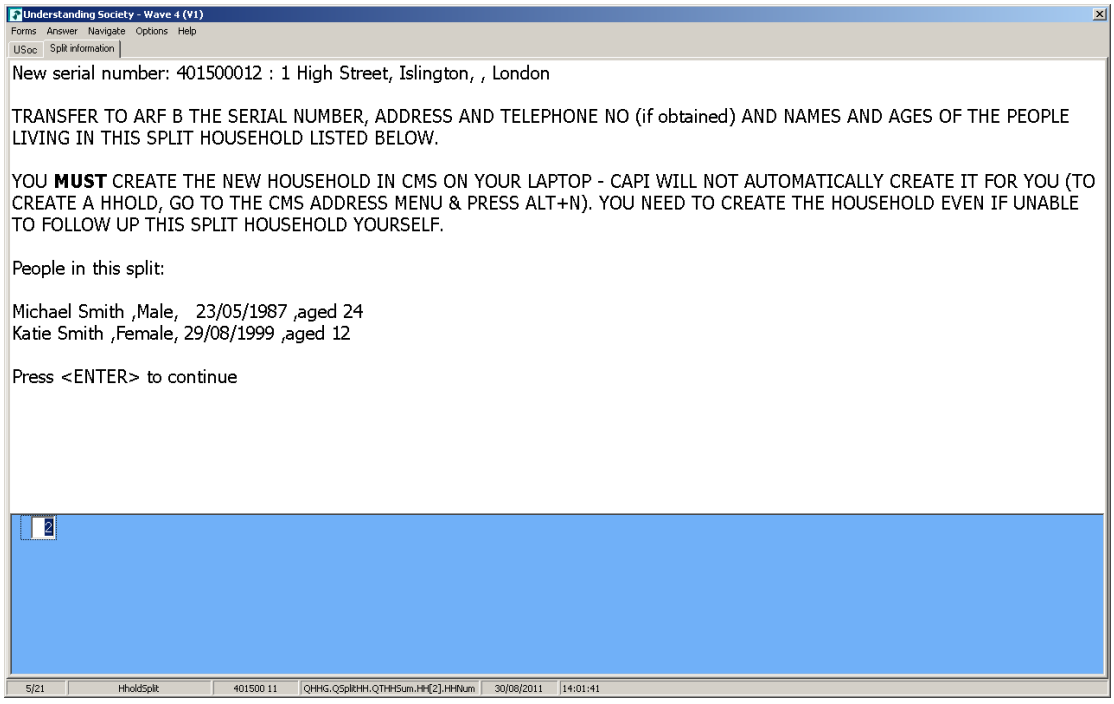
13.2 Interviewed split households – ARF B

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

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

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

CAPI screen with person information for new household



784 log – non-interviewed split households

If we don't want to interview the people who have moved, CAPI will ask you to copy the serial number onto a 784 log. We don't use 784 log for any interviewing but it is intended to act as a memory aid for you to create the new split serial number which is required for all splits, including non-interviewed ones.

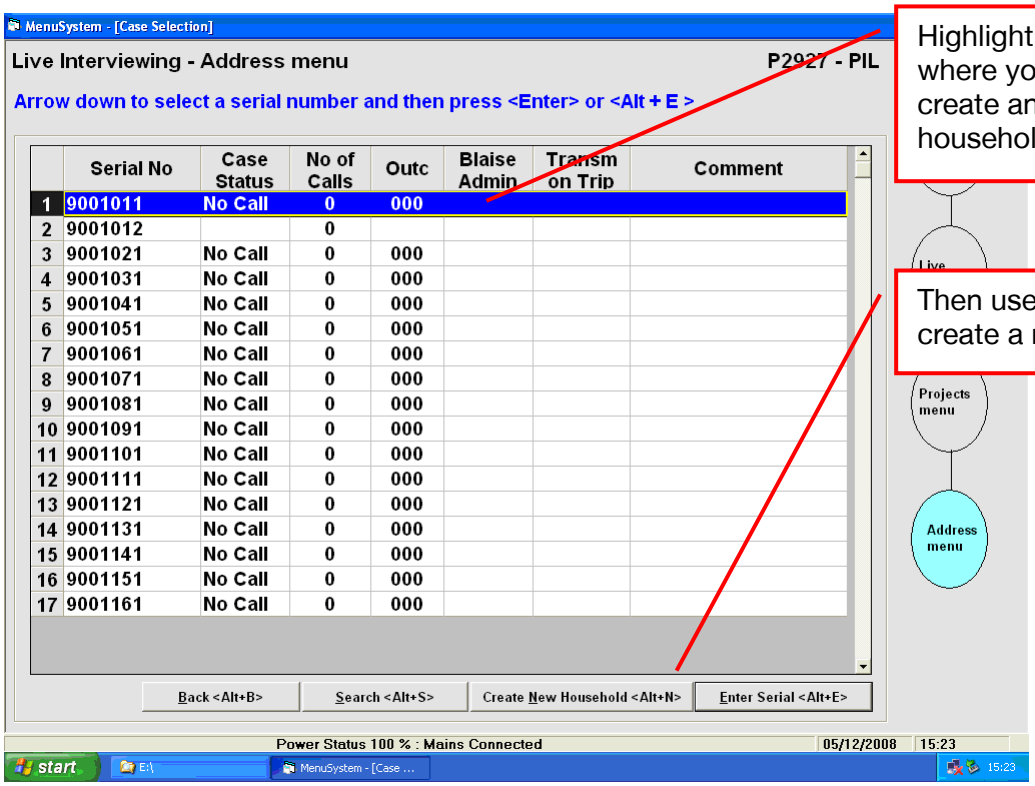
Creating split households in CMS

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

Note that you need to create the new serial numbers on your laptop in all cases where CAPI tells you to, **whether or not you will yourself be able to interview split**

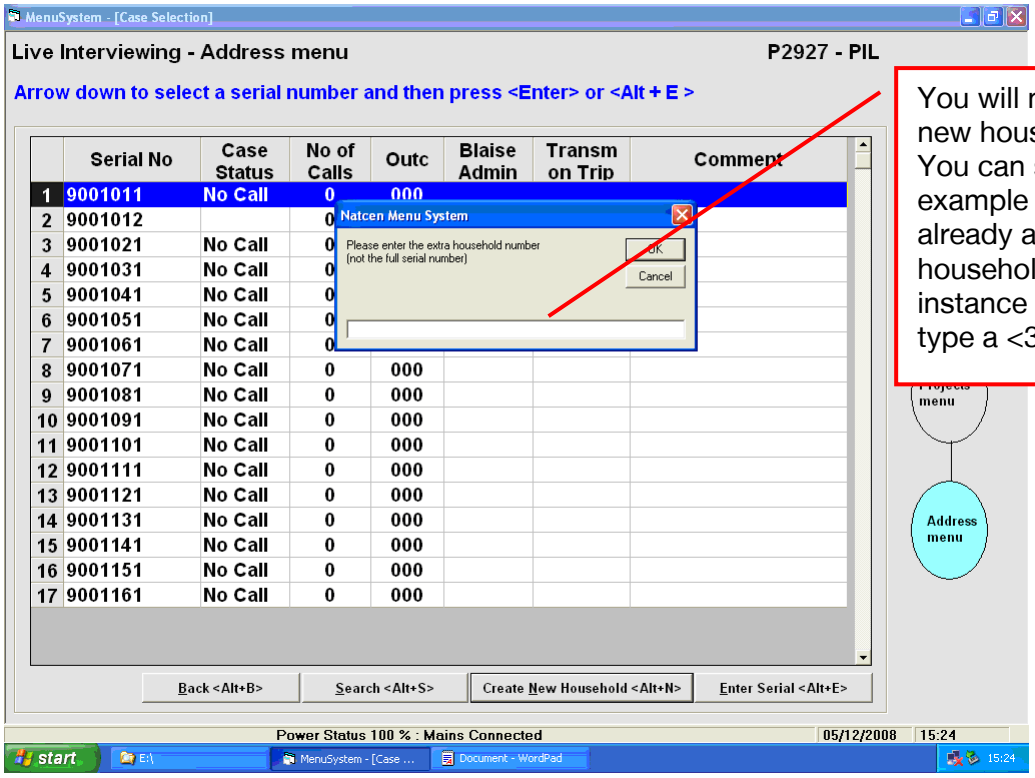
household. You need to create a new serial number for example also in cases where you have not found follow-up details for a split household (code as 671) or if the household has moved outside your area (code as 673).

To create new households follow the instructions below:

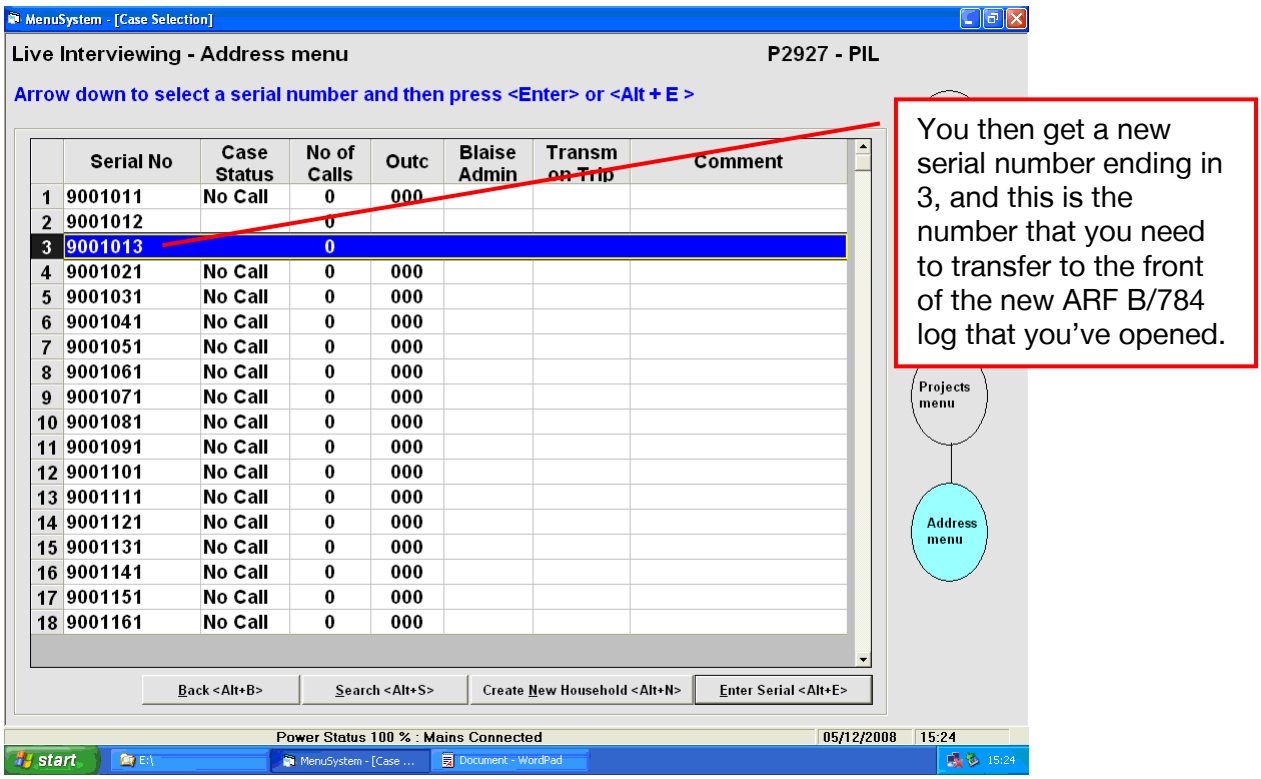


Highlight the address where you need to create an extra household.

Then use <Alt><N> to create a new household



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



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

13.3 Using the new split serial numbers

Interviewed split households

For **interviewed split households** (ARF B), try to trace the household (more details on tracing in the next section). If you trace them you can proceed with the interview as normal using the new split serial number you have created. CAPI will copy over the information from the original household and knows that only the named mover(s) should now live in this serial number.

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

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

Completing the Household Grid

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

Non-interviewed split households

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

- create the split serial number in the CMS (as instructed by CAPI/copied onto 784 log)

- complete the short Admin block for the household – the outcome code 784 'Hhold no longer eligible - TSMs only' will be automatically generated
- send the case back to the office

13.4 ARF B or 784 log? Following rules

CAPI will determine whether the split household should be interviewed or not based on the status of the people in the split household. You do not need to therefore memorise the specific 'following rules' although you should be aware of them so that you can explain to participants why we want to interview some people but not others.

Sample Member Type – Original/Permanent or Temporary
In order for us to identify which sample members we would like to follow and re-interview in future waves, we have categorised the sample into three groups:

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

Following rules

When a household has split, the CAPI will look at the sample member status of the people in each of the resulting households to determine whether the people remain eligible to take part.

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

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

You will also be asked to open an 784 log (not-interviewed) if someone has moved out to go to prison and is not intending/expected to return to the household; these individuals will be permanently removed from the sample.

The following is an example temporary sample member scenario: at the last wave of *Understanding Society* we interviewed a household that was comprised of a couple Michael and Sue and their lodger, Lucy. Michael and Sue are OSMs but Lucy is a TSM as she only moved into the household 18 months ago and was not living in the household during the first wave of *Understanding Society*. When we go back to the household at this wave, we find that Lucy has moved out of the original household. Michael and Sue are OSMs and are coded as living in household 1. Lucy is moved out to a split household 2. Because she is classified as a TSM, and is longer resident with any OSMs or PSMs household, she is no longer eligible for interview.

13.4.1 Whole household moves

Please note that if you find out that none of the household members lives in the issued address (on ARF A) any longer, it may not necessarily mean that you need to open split households.

In such cases you should first trace the household to their new address. If you cannot trace anyone in the household, but are certain that everyone has moved, code this as a 671.

If you manage to trace someone in the household, use the issued serial number to interview.

- If the whole household still lives together, just code accordingly in CAPI and you can interview the household in this serial number - but you just need to update their address as part of your Admin.
- If the household has split, follow the instructions in CAPI to create an appropriate number of split households

Note that if the household had told the University that they had moved before the household was issued at IP6, the new address will already appear on your ARF so you don't need to do tracing, and the CAPI programme will have a flag to indicate that the household has moved since last year's interview.

13.4.2 Exception to the rule: creating splits from an unproductive household

The process described above should be followed in the vast majority of cases when there are split-off movers. There are certain situations, however, where you may know that a person has split from a household (e.g. information on split-off mover on your SIS) but you are unable to interview at the original address (e.g. everyone away on holiday, refusal to take part).

In such situations, it is possible to create a split household without the Household Grid being done in the original household, and to manually code who lives there (as opposed to the CAPI doing this for you automatically). Note that since there is a higher chance of miscoding and errors with this function, please only use it if you really cannot interview at the original address, and contact the office for advice if you are in any doubt as to how to proceed.

14 Tracing sample members

It's vital that we re-contact and interview as many sample members as possible. We will follow any IP6 sample member who has moved except those who:

- have left the UK (Great Britain, in the IP). They may be eligible at a later date if they return;
- are in prison; and
- TSM-only households.
- We will also attempt to locate untraced movers from IP5.

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

You are expected to make reasonable attempts to contact and /or trace the sample members; this may require more than one visit. In general, if the new address is within 15 miles of the original address, or is closer than that address to your own home you should attempt the interview at the new address (and be prepared to follow up further moves). You should check this with your Team Leader if you are unsure.

14.1 Tracing activities

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

- try all **telephone** numbers provided on the Sample Information Sheet (SIS) and any new numbers established via tracing;
- attempting to **contact neighbours**/ local residents;
- attempting to contact the **current occupants** of the address;
- attempting to contact the **stable contact** in person or by using the stable contact letter; and
- leaving a **tracing letter** with the current occupants or neighbours.

These tracing activities can be done simultaneously and in the order that you think is best.

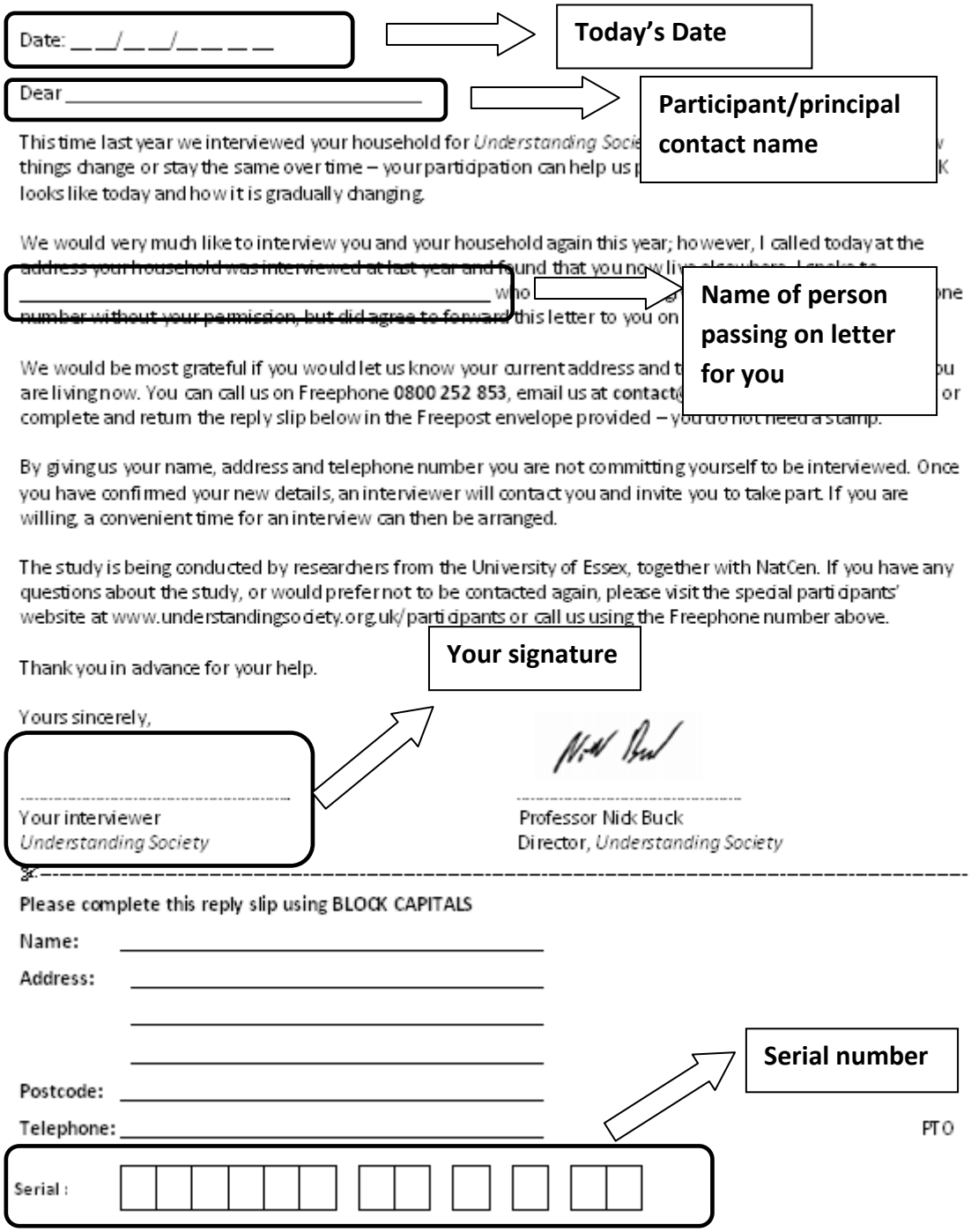
14.1.1 Contacting neighbours

The new residents at the issued address, or neighbours, may be able to give you information about the sample member's new address or may be able to direct you to friends or relatives who will know their whereabouts. If you are still unable to find the sample member you should contact the stable contact.

14.1.2 Tracing letter

If someone (excluding the stable contact) knows the whereabouts of the sample member/household but are reluctant to pass this information on, ask the person if they would be willing to send a letter on to the sample member for you. The **tracing letter** can be used in this situation along with two types of envelope: one addressed to *Understanding Society* (postage paid), and the other blank.

Figure 13.1 Tracing letter



Who to address the letter to

For whole household moves, the tracing letter should be addressed to the principal household contact. For any individual split offs, a separate tracing letter should be used for each individual.

The letter notes that we have been trying to contact the sample member but that the address we have for them is incorrect. It is signed by Nick Buck from ISER and asks the sample member to complete and return the reply slip.

If using a tracing letter:

- Add the date, principal contact name or sample member's name, the name of the person you spoke to, your name and their serial number on the letter;

- Put the letter and the *Understanding Society* return envelope into Queen's Head envelope, seal it and write the sample member's name on the outside;
- Ask for this to be posted or passed on to the sample member, so they can get in touch (NB they will need to write the address on the envelope before they post it!).

14.2 Contacting stable contacts

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

You should contact the stable person by:

- Telephone;
- If no telephone number or no contact via the telephone, visit the address, if it is in your local area (i.e. within 15 miles of the original address); or
- If no contact after several visits to the stable contact, leave a stable contact letter completing all the relevant information on the letter.
- If you visit/call the stable contact you could say something along the lines of:

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

Stable contact letter

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

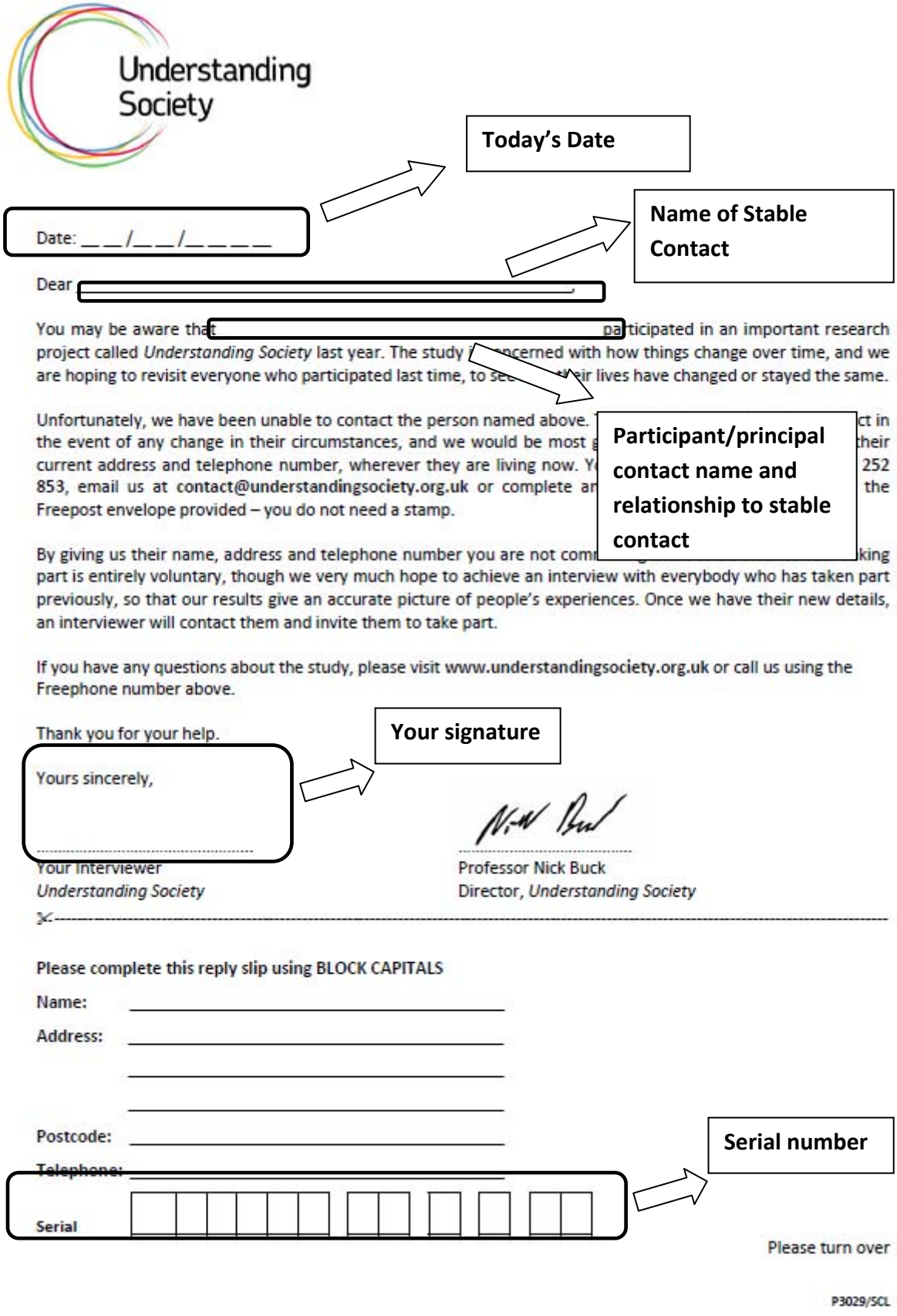
You may need to complete a letter for each member of the household as they might have each supplied different stable contact details. You will need to fill in various parts of the form, as indicated below, then:

- Enclose a freepost envelope, addressed to the University of Essex, with the stable contact letter; and
- enclose the letter and freepost envelope in a Queen's Head envelope, especially if you are posting it through the stable contact's front door.

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

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

Figure 13.2 Stable contact letter



14.3 Institutions

Sample members who have moved into an institution remain eligible for interview at their new institutional address.

Prisons
Sample members interviewed at IP5 who have moved to prison are exempt from interview at IP6. These sample members will be kept as associated with the household (but temporarily absent) if the address is still considered their main residence, but we are not attempting to interview them while they remain in prison. If they will return to the issued address after release, then they are eligible for a proxy interview.

If a mover to prison does not intend to return to the issued address after their period in prison they become ineligible to take part in the survey. In such cases, once you have completed the Household Grid coding CAPI will instruct you to create a split household for them and copy the details on a 784 log.

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

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

Obtaining an interview in an institution

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

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

The *Understanding Society* unit at Brentwood can provide you with a letter to confirm the project and who you are.

Where a sample member has moved to a care home (or similar environment), it may be helpful and reassuring if a family member of the person you are interviewing can be present whilst you carry out the interview. If the person is unable to complete a full interview (due to a language difficulty or disability) please complete a proxy interview with a suitable adult (see section 14.8 on who is eligible to be a proxy informant).

14.4 Split-off households

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

Suspected split-offs will be included in the original IP6 household (rather than being put in a separate household) and this will be indicated on Sample Information Sheet (SIS) under the 'Suspected split-off mover?' column. The third page of the SIS will provide any new contact details that the suspected split off has provided to ISER.

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

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

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

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

14.5 Incomplete addresses

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

14.6 Movers and traced cases outside your fieldwork area

In the instances where you have successfully traced the sample member, but the new address is in another fieldwork area, return the address to the office for reallocation to another interviewer. You must record your tracing activities in detail for these cases. This is because final direct contact has not yet been made with the sample member and there is a possibility that tracing might need to be picked up again by another interviewer. CAPI will route you to the relevant questions.

14.7 Unsuccessful Tracing

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

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

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

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

14.8 Proxy interviews

You should attempt to get a full individual interview with all participants. You should not take a proxy interview unless you are absolutely sure that you are unable to get a productive interview during the three months fieldwork period. For example, if one adult is out when you first call, then you must make another visit to attempt to interview them rather than taking a proxy interview from someone else.
There are certain criteria for determining whether someone can act as a proxy. A proxy participant must be an **adult aged 16 or over** and either:

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

14.9 Recording contact details

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

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

You also need to check that the stable contact details given by each interviewed sample member at the previous wave are unchanged and to obtain a stable contact for each new entrant. Although this may appear to be time consuming, it is less onerous than having to trace sample members when they have moved. Where there are no stable contact details, please attempt to get details for each person in the household. Where necessary, please reassure participants the stable contacts will only be approached in the event the person moves and we are unable to trace them. We will only ask the stable contact whether they have contact details for the sample member, the stable contact person will not become part of the survey and the sample member is not 'signing them up' to any obligation.

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

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

14.10 Collecting details about participants' occupations

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

For *Understanding Society* there is a requirement to code the Standard Industrial Classification (SIC) to four digits rather than to the standard two.

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

For example, if someone works in clothing manufacture - Table 9.1 below shows that "clothing manufacture" would not be sufficient in this case – **you need to probe for exactly what is made and what it is made with**. If more than one product or material is used you need to probe for what product is made the most. Note that you need to record what the **organisation** they work for makes, not just what they make within their role. If they can't tell you, write in everything they make and what they make it with.

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

Table 9.1: Four digit coding for manufacture of clothing

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

From Table 9.2 below you will also notice that four digit SIC coding requires greater detail than two digit. 'Glass manufacture' would be sufficient for two digit SIC coding but to code to the four digit SIC level, you would need to find out what type of glass was manufactured.

Table 9.2: Four digit coding for glass manufacture

4 digit SIC Code	Type of manufacture
2314	Manufacture of glass fibres
2313	Manufacture of glass inners for vacuum flasks
2312	Manufacture of glass mirrors
2391	Manufacture of glass paper
2319	Manufacture of glass wear for laboratory

Similarly, for teaching, just knowing that someone teaches in secondary education is not sufficient and more probing would be needed to determine what types of subjects and level of qualifications are taught. Table 9.3 illustrates four digit coding for teaching.

Table 9.3: Four digit coding for teaching

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

14.11 Change of address (COA) cards

For new entrants to the household or those sample members who report not having received their advance mailing, you will be prompted by CAPI at the end of the individual interview to hand over a change of address (COA) card and University of Essex freepost return envelope. The CAPI screen will also prompt you to copy the following information from the screen onto the back of the card:

Participant name (first name and surname);

Participant's 14 digit Personal Identifier (PID); and,

Participant's full address including postcode.

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

15 CAPI interview

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

15.1 Parallel blocks

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

Household questionnaire;

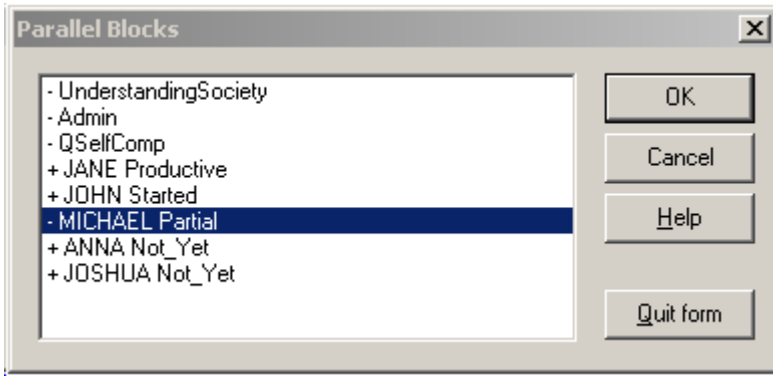
Individual questionnaire (one block per adult aged 16+);

Split households;

Self-completions; and

Admin.

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



15.2 Household Grid and questionnaire

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

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

Feed forward information

Checking the feed forward information from the previous wave should take 5 minutes on average, although this will vary considerably depending on household size and on whether any new people have joined the household. The household questionnaire

should take 10 minutes on average. If any of the feed forward data is incorrect you are able to amend those details as necessary here.

15.3 Individual CAPI interviews

All adults aged 16 and over at the point at which the household is enumerated should complete an individual CAPI interview, which should last around half an hour.

The main topic areas covered at IP6 in the individual questionnaire are:

Personal and family background;

Ethnicity and religion;

Volunteering and charitable giving;

Health;

Relationships;

Annual events;

Employment;

Family networks and childcare;

Finances;

Politics.

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

It is also important to note that some of the topic areas covered in CAPI are sensitive and should be treated accordingly. The areas that some sample members might find particularly sensitive are fertility (including pregnancy and child birth history questions), previous relationships, financial questions (such as savings and investments) and benefits. For these reasons, it is extremely important that wherever possible you interview the sample member alone and in private so they feel comfortable providing you with this information. It also helps to reassure them that the information they give you is confidential and no-one else will be seeing their answers.

Please note, significant changes to the benefits system will come into force during IP6. As such, please familiarise yourself with the different types of benefits listed in **Appendix B** in order to be able to answer queries from participants in the module 'Unearned income and state benefits'. Please note that 'winter fuel allowance/payment' does not count as a type of benefit for *Understanding Society*, and does not have to be recorded here.

Help Screens

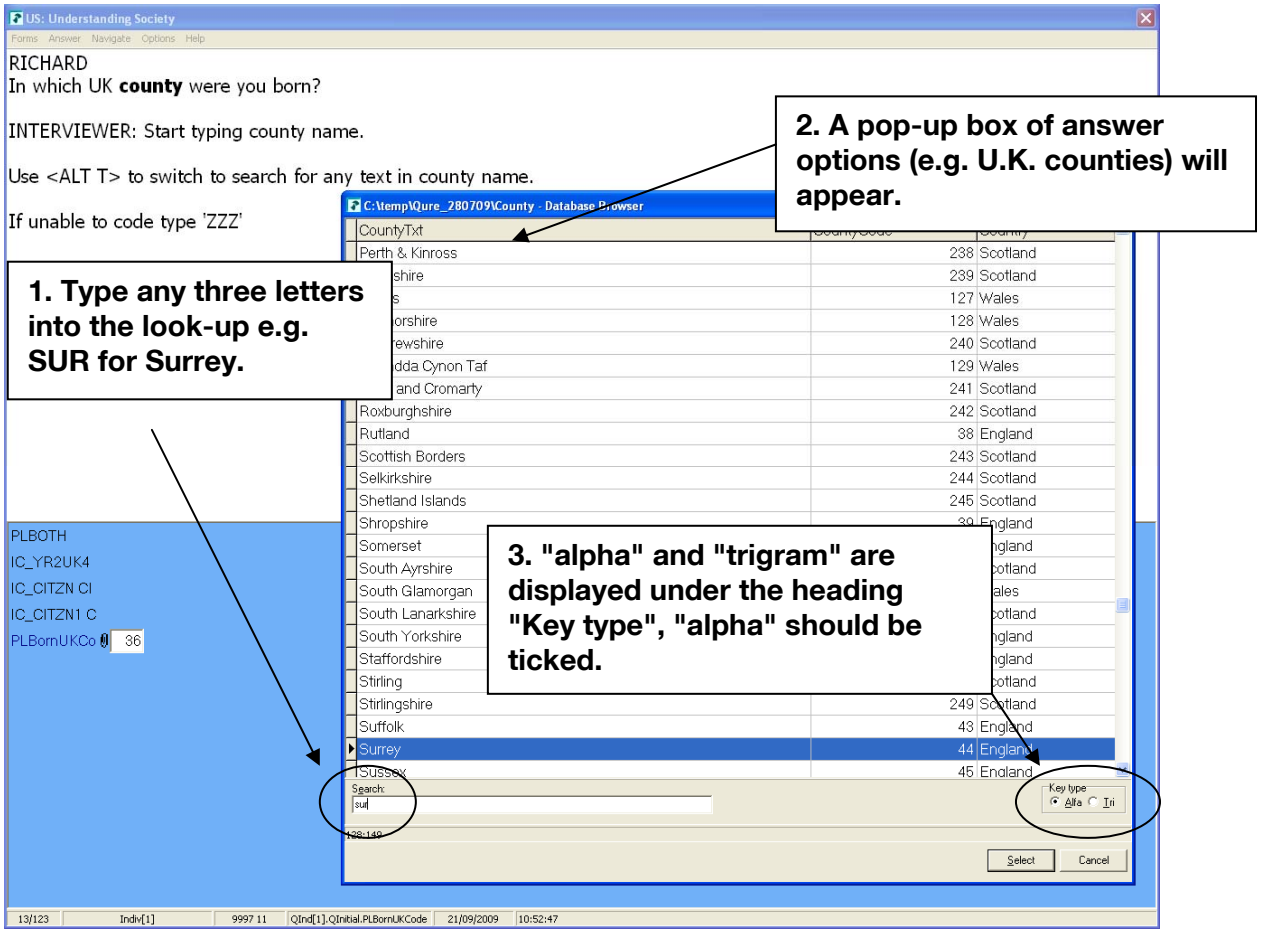
Information about individual questions will be found in the CAPI help screens rather than in these project instructions. There are many more help screens than you would find in a usual CAPI program, and you can access them by pressing <F9> when prompted at a particular question.

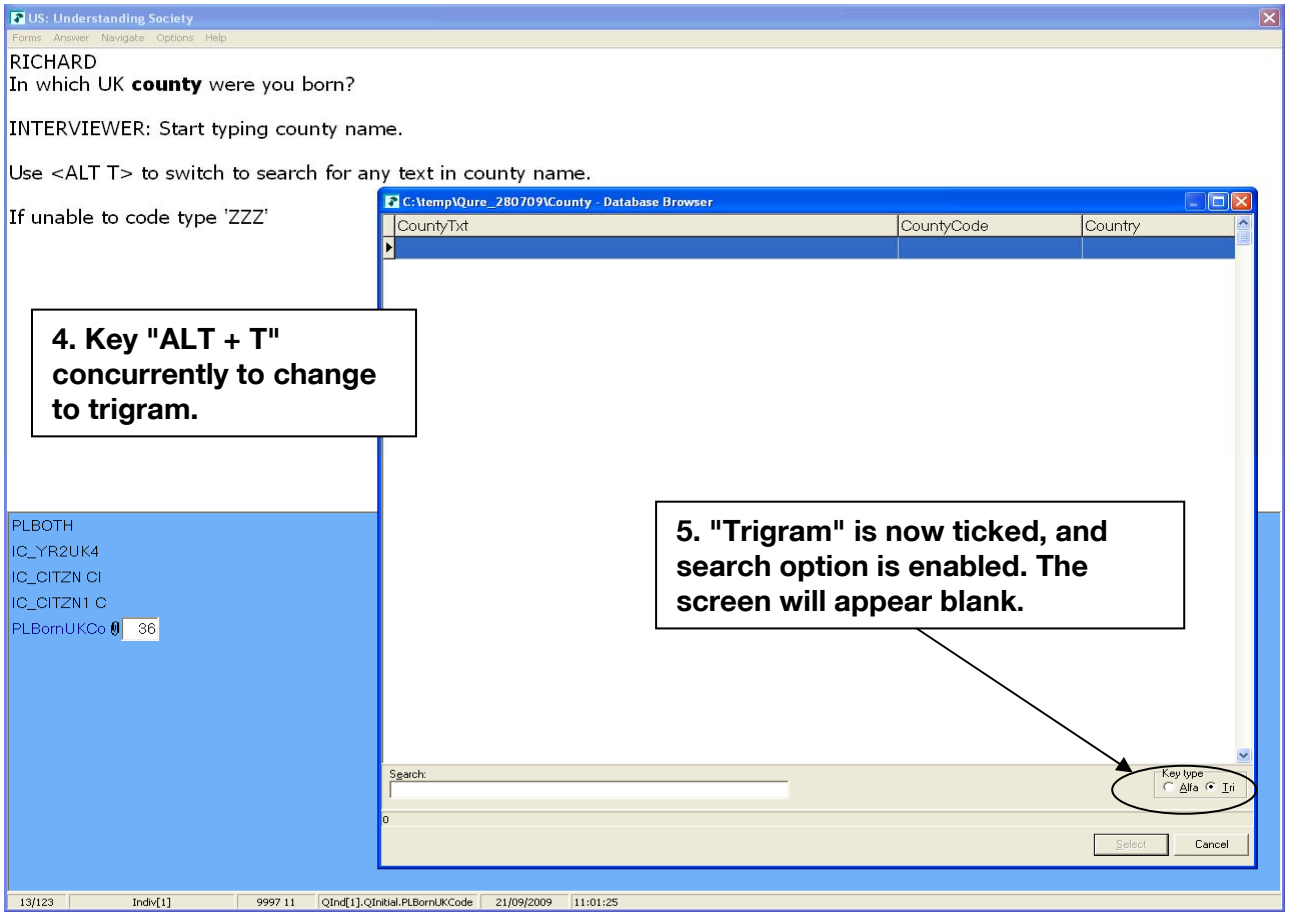
Trigram search tool

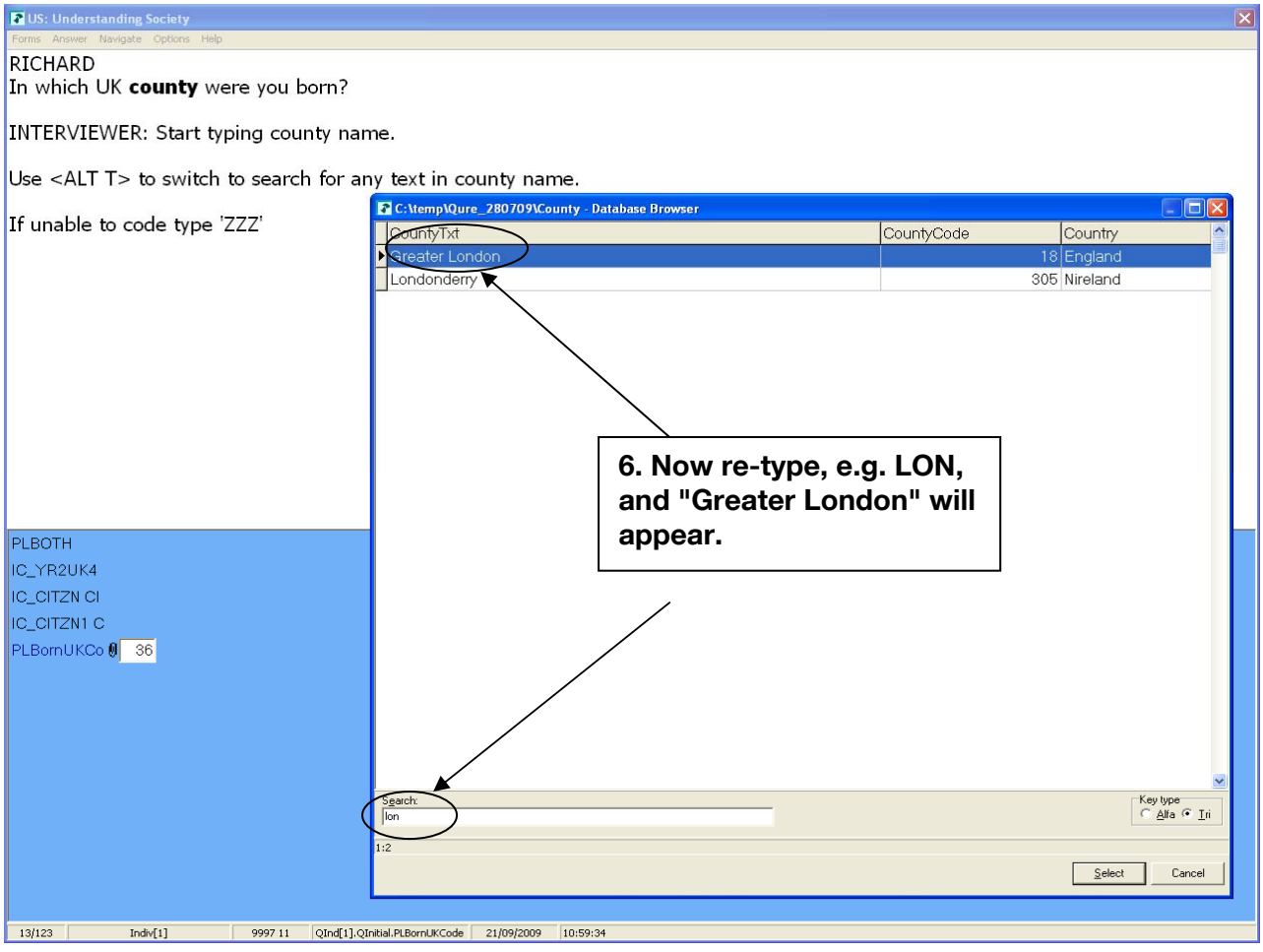
At CAPI questions which code counties/countries/school locations you will need to search from the extensive list of options available from our look-up files. For this reason we have included a trigram search tool. This tool means that you have only to type the first three letters of the county/country/school and the relevant location is

then displayed. By default the search tool is automatically set to “Alpha” (which searches for the first three letters of the county), but this can be changed to "Trigram" (which searches on any occurrence of what is typed).

To make this change:




US: Understanding Society
Forms Answer Navigate Options Help
RICHARD
In which UK **county** were you born?
INTERVIEWER: Start typing county name.
Use <ALT T> to switch to search for any text in county name.
If unable to code type 'ZZZ'
4. Key "ALT + T" concurrently to change to trigram.
C:\temp\Qure_280709\County - Database Browser
CountyTxt
CountyCode
Country
5. "Trigram" is now ticked, and search option is enabled. The screen will appear blank.
Search:
Key type
Alfa
Tri
Select
Cancel
PLBOTH
IC_YR2UK4
IC_CITZN CI
IC_CITZN1 C
PLBornUKCo
36
13/123
Indiv[1]
9997 11
QInd[1].QInitial.PLBornUKCode
21/09/2009
11:01:25


US: Understanding Society
Forms Answer Navigate Options Help
RICHARD
In which UK **county** were you born?
INTERVIEWER: Start typing county name.
Use <ALT T> to switch to search for any text in county name.
If unable to code type 'ZZZ'
C:\temp\Qure_280709\County - Database Browser
CountyTxt
CountyCode
Country
Greater London
18
England
Londonderry
305
Nireland
6. Now re-type, e.g. LON, and "Greater London" will appear.
Search:
lon
Key type
Alfa
Tri
1:2
Select
Cancel
PLBOTH
IC_YR2UK4
IC_CITZN CI
IC_CITZN1 C
PLBornUKCo
36
13/123
Indiv[1]
9997 11
QInd[1].QInitial.PLBornUKCode
21/09/2009
10:59:34

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

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

15.4 Unproductive and proxy interviews

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

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

The individual level outcome codes can be found in the appendix.

16 Admin and return of work

Contact Brentwood if you have any queries: 01277 200600.

16.1 Fees

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

16.2 Return of work

Self-completions

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

ARF & SIS

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

Transmission

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

Returning unused documents

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

Adult self-completion
Youth self-completion
Poole pre-franked envelopes for self-completion
Appointment card
Broken appointment card
Change of address cards

Free post envelope for change of address card
Queens head envelope
Pens
'Understanding Society: Information for participants' leaflet
Promissory notes
Understanding Society generic letter (laminated)
Showcards

Appendix A. Things we hear from sample members

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

"I've done my share"
By taking part this year they are making the information even more valuable because we can measure how things change over time.
Without them the study would be less representative – they cannot be replaced with anyone else.
They are one of only 18 addresses/households selected for the study in their area (postcode sector).

"I can never get everyone together at the same time"
The household does not have to be done at the same time. You can make appointments to suit their availability where appropriate.

"Nothing has changed in my life"
The only way we can find out about change is by talking to people on more than one occasion – and to really understand change we have to talk to everyone; we want to look at change **and** stability.

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

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

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

Appendix B. Benefits module details

List of benefits that appear in Benefits Module with explanations:

BenPen NI Retirement Pension	For married couples, you should try to get the separate amount paid for the participant rather than any joint amount. If the participant is unable to separate it, show the whole amount received and record it as received jointly. If the wife is aged under 60 she may not receive a state pension in her own right. Be sure to query whether she receives any in her own right otherwise any NI pension income would be solely the husband's. Retirement Pensions may have an earnings related supplement. This is normally paid on the same order book and should be included in the amount recorded.
BenPen Occupational Pensions from previous employers	Include all employer's pensions not just retirement pensions. Include pensions paid before retirement (i.e., a participant may still be working for an employer but has become entitled to receive payments) and pensions paid for early retirement.
BenPen Pension from a spouse's previous employer	Women may also be receiving an occupational pension in respect of a deceased spouse: these should be recorded as 03. Check that any amount recorded is net of tax and other deductions. Do not include pensions from a Trade Union or Friendly Society unless the pension is received as a direct result of the participant's employment by them.
BenPen Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance	Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.
Pension Credit	This is a means tested benefit paid to pensioners. They will not receive it unless they have applied for it and qualification is dependent on income and assets. Pension Credit has been paid since October 2003. There are two main elements. The Guarantee Credit is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The Saving Credit is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state pension.

	Pension Credit will be amended from October 2014 to include help with eligible rent and dependent children.
BenDis/BenAI Employment and Support Allowance	This is a new means tested benefit that replaced 'Incapacity Benefit' and 'Income Support (paid on incapacity grounds)' from the 27th October 2008. Anyone receiving Incapacity Benefit or Income Support (paid on incapacity grounds) at the change-over date could continue to receive those benefits, so long as they continue to satisfy the entitlement conditions, however existing recipients are gradually being shifted to ESA. Participants may also receive income-related Employment and Support Allowance if they require additional financial support for specific reasons, for example, because of housing costs or as a result of disability or caring responsibilities.
BenDis/BenAI Severe Disablement Allowance	Is for people of working age who have not been able to work for at least 28 weeks but who cannot get Incapacity Benefit. Married women unable to perform household work may also receive it.
BenDis/BenAI Industrial Injury Disablement Allowance	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.
BenDis/BenAI Disability Living Allowance/ Care Component	Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will receive this benefit. Those aged 66 or over will continue to receive Attendance Allowances. When the person is under 16 the Allowance will normally be paid to the person responsible for them. In such cases it should be recorded as income on the questionnaire for the responsible adult for the child. Where someone is 16 or over this should recorded on person's own questionnaire.
BenDis/BenAI Disability Living Allowance Mobility Component	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
BenDis/BType Personal Independence Payments	From April 2013 Personal Independence Payment (PIP) replaces Disability Living Allowance (DLA) for eligible working age people aged 16 to 64. People aged 65+ who already receive Disability Living Allowance will continue to do so. All working age DLA claimants will undergo an assessment of need.
(BenDis/BenAI) Attendance Allowance	Paid to people who need high levels of care because of severe disability. Include Constant Attendance Allowance. If paid for a child under 16 include as mother's income, or if there is no mother then father/guardian.
BenDis/BenAI Carer's Allowance	Weekly paid benefit for people of working age who give up working to look after someone receiving Attendance Allowance. This was formerly known as the Invalid Care Allowance.

BenDis/BenAl **War Disability Pension**	Payable to members of the armed forces disabled in the 1914-18 war or after 2nd September 1939. Merchant seamen and civilians disabled in the Second World War are also eligible. The amount paid varies according to an individual's rank and the extent of the disability.
BenDis/BenAl **Incapacity Benefit**	This was introduced in April 1995. It replaced NI Sickness Benefit and Invalidity Benefit which officially do not exist any more. If a participant reports receiving NI Sickness Benefit and/or Invalidity Benefit, code as Incapacity Benefit and record total amount received in grid.
BenSup/NFE/Btype **Income Support**	Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). From October 2013, no new claims for Income Support will be taken and all potential applicants will be moved to Universal Credit, nevertheless some participants will continue to receive IS until the transition is complete. The rate is assessed on the grounds of age and marital status with a flat-rate premium for children and special premiums for people such as lone parents, people with disabilities and pensioners. Income Support is often paid along with other benefits as a supplement. You should try, wherever possible, to record the amount of Income Support separately even in the case where it is paid with Job Seeker's Allowance or with a state pension. The specific amount paid as Income Support will usually be shown on the cover of the Benefit Order Book. Any maintenance payments from a former or separated spouse or for child support which are paid through the DWP or other government agencies, should not be included as Income Support or any other benefit.
BenSup/NFE/ **BenUnemp** **Jobseeker's Allowance**	This replaced Unemployment Benefit in October 1996. Those receiving JSA are capable of work and available for work and actively seeking work and have a current jobseeker's agreement with the Employment Service. Full-time students, those on temporary release from prison and those receiving maternity allowance or statutory maternity pay are not eligible for JSA. There are two types of JSA - Contribution-based and Income-based. The Contribution-based component is paid in the first 26 weeks of unemployment if enough NI contributions have been paid. The Income-based component is a means-tested benefit (paid after 26 weeks for those who qualify for Contribution-based and pass the means-test). However, from October 2013, "income based" Jobseeker's Allowance will be replaced by Universal Credit, though those receiving this type of JSA at that time may continue to receive it until they are transferred to UC.
BenSup/BenUnemp/Ben **Dis/BType/BenCTC/** **BenTax/BenHou**	From October 2013 Universal Credit replaces Income Support, income-based Job Seeker's Allowance, income-related Employment Support Allowance, Housing Benefit,

Universal Credit	Child Tax Credit and Working Tax Credit. It can be payable to people who are not working, or who are in low paid work and will top up their earnings. It will be calculated and delivered electronically and automatically adjusted each month in line with earnings. Claimants will receive just one monthly payment, paid into a bank account in the same way as a monthly salary. Support with housing costs will go direct to the claimant as part of their monthly payment. Universal Credit is made up of a standard allowance and potentially five elements: Child Element / Disabled Child Additions; Childcare Element ; Carer Element; Limited Capability for Work Element; and Housing Element. The monthly Universal Credit payment covers everyone in a family who qualifies for support including a person claiming for themselves alone, a person claiming for themselves and their child or children, a couple making a joint claim for themselves, or a couple making a joint claim for themselves and their child or children. Children over 18 living with their parents or siblings can claim Universal Credit in their own right.
BenSup **Return to Work Credit**	This is a payment for people starting work of at least 16 hours a week and earning no more than £15,000 per year. Recipients will have been receiving an incapacity benefit (including statutory sick pay) for 13 weeks immediately prior to starting work. It is payable for up to 52 weeks.
BenSup/NFF/Btype **Child Benefit**	Is normally paid to the mother (unless there is none in the household) and should be shown as her income. Where it is paid into a joint bank account the names of both account holders will be on the benefit order book. This should still be recorded as the mother's income. Child Benefit (Lone Parent) was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this. Note, from January 2013 Child Benefit certain higher income families will no longer be eligible to receive Child Benefit.
BenSup/BenTax/ **BenCTC** **Child Tax Credit**	Introduced in April 2003 this is paid to those with at least one dependent child. Child Tax Credit is paid to the person responsible for the care of the child(ren) so can be received by one person only in the household. If the participant qualifies for the childcare element of Working Tax Credit, this will always be paid with the Child Tax Credit, even if the participant is not themselves in receipt of Working Tax Credit. From October 2013, Child Tax Credit will likely be replaced by Universal Credit, though anyone receiving Child Tax Credit at that time may continue to receive it until they are transitioned onto UC.
BenSup/BenTax **Working Tax Credit**	This replaced Working Families Tax Credit and the Disabled Person's Tax Credit in April 2003. It is paid to families with at least one dependent child or those with a

	disability who are working. In some cases it can be paid alongside JSA or income support for those not working. It is paid either as a tax credit through the participant's pay check or as a direct benefit. It can also be paid as a lump sum covering a period of 26 weeks in some cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit. From October 2013, Working Tax Credit will likely be replaced by Universal Credit, though anyone receiving WTC at that time may continue to receive it until they are transitioned onto UC.
BenSup/BenTax Disabled Person's Tax Credit	This was replaced by Working Tax Credit from April 2003. It is paid to people with disabilities either in work or seeking work who are aged under 66. Any participant claiming this should be coded as receiving the Working Tax Credit. However, from October 2013, Working Tax Credit will likely be replaced by Universal Credit, though anyone receiving WTC at that time may continue to receive it until they are transitioned onto UC.
BenSup/BenFam Maternity Allowance	A benefit which applies only to women not eligible for Statutory Maternity Pay. Usually women receiving Maternity Allowance will be either self-employed or will have recently changed jobs.
BenSup/NFG/BenHou Housing Benefit /Rent Rebate (also known as 'Local Housing Allowance')	Is benefit paid to help with housing costs, either by the DWP or the Local Authority. Include here only if it is paid direct to the participant. Where Housing Benefit is either deducted from the rent (council tenants) or paid direct to the landlord, details should be recorded in the Household Questionnaire. From October 2013, Housing Benefit and Rent Rebate will be replaced by Universal Credit, though anyone receiving Housing Benefit/Rent Rebate at that time may continue to receive it until they are transitioned onto UC.
BenSup/BenTax/ BenHou Council Tax Benefit	As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax bill. People on income support, however, will claim council tax benefit along with their housing benefit claim form. Obtain amount deducted and period covered. Do not include students who pay a reduced charge. If participant is unable to give details of benefit received write details of amount he or she actually pays in a note, the amount deducted from the full charge (and the amount of that benefit) can then be calculated. Note, from April 2013, Council Tax Benefit could be abolished and replaced by a system of localised support. The process of transferring people onto local support will take some months so participants may still receive Council Tax Benefit after this date.

BenSup **Other State Benefits, Allowance or Credit**	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent Work Search Premium, Lone Parent in Work Credit, Child Maintenance Bonus, Child Maintenance Premium and Transitional Payments – though many of these are likely being abolished with the introduction of Universal Credit in 2013. Include also Enterprise Allowance and YTS, ET and New Deal Allowances. If any Transitional Payments are received it is important to record which benefit it replaces or tops up. Do not include: Payments from the Social Fund (these are loans) or other one-off payments from either DWP or local authority social services.
BenPay/BenSta **Educational Grants**	Include all grants or scholarships paid in respect of education or training (but not YTS or ET Allowances which should be recorded as Other). Grants and scholarships may be provided by Local Authorities, the DfES, Research Councils, charities, prospective employers (e.g., companies or the Armed Forces), educational institutions, family trusts and a number of other bodies such as Trade Unions. Do not include Student Loans taken out by the participant to cover their living expenses or fees. Do not include Top-Up Fee Bursaries as these are a type of interest free loan to be paid-back upon completion of a degree. Include here as an Educational Grant any payment from any source (other than from family members) which is intended to cover the living expenses or fees over a period of time of someone in full or part-time education specifically so they may undertake that education. Grants are often paid in a lump sum at the beginning of a term or quarter to cover that term or a quarter. If a grant was paid for a term record that at (d) as Other. Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.
BenPay/BenSta **Trade Unions/ Friendly Societies**	Include all payments from such bodies here with the exception of Educational Grants and Sickness or Accident Insurance. Include Strike Pay.
BenPay/BenFam/BenSta **Maintenance/Alimony**	Note that men and non-married women can receive such payments. In most cases such payments come direct but they may also come via a solicitor, a court or the DWP. If it is paid by the DWP, check it has not been included in any Income Support already mentioned. Code only if the participant is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household.

	If a participant receives payment for the support of a child code as participant's sole income. But if they receive money which is to be passed on to the child itself exclude from participant's income.
BenPay/BenFam/BenSta Regular payment from family members not living here	E.g., payment from a spouse working and living away from home, regular payments to parents from children outside the household (but not payments for 'keep' from those living there) and payments from parents to students etc, provided they are not members of the same household. In any cases of doubt the participant should be asked to decide for him/herself whether or not a payment is to be classed as 'regular'.
BenPay/Ben/Sta Rent from boarders or lodgers	Rent from accommodation let at participant's address. However, do not include payments from boarders or lodgers who are part of the immediate family of the participant. Do not include payments for keep from family members or rent from property outside the participant's accommodation.
BenPay/BenFam Foster Allowance / Guardian Allowance	Any foster carer who is looking after a child may receive a "Foster Allowance" or "Fostering Allowance" from the local Authority. It is designed to cover the costs of caring for a foster child. Local authorities are allowed flexibility to decide their own systems of payment. A "Guardian Allowance" is a tax fee payment to individuals bringing up a child whose biological or adoptive parents have died or is otherwise unavailable for their rule (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
BenFam In-Work Credit for Lone Parents	This credit will be paid on top of all tax credits and other benefits, for a 12 month period, to lone parents who have been on Income Support or Job Seeker's Allowance for at least a year and who enter work of at least 16 hours a week. However, this is benefit is being scrapped when Universal Credit is introduced in 2013. Some participants may continue to receive this until they are transferred to UC.
BenPay/BenSta/BenDis Sickness Accident Insurance	Include any payments to compensate for lost wages during time off work through sickness (but not one-off payments to meet specific expenses such as medical fees or the cost of glasses or false teeth etc).
BenPay/BenSta Other Regular payment	Specify type of income and source. Exclude any payments from investments, stocks and shares, bonds and other interest payments (e.g., building society and bank savings accounts).

Appendix C. Outcome codes

Household level

Productive
110- Completed household questionnaire and interviewed **all** eligible hhold members
210- Completed household questionnaire and at least one individual interview
211- Completed household questionnaire but no individual interviews

Non-contact
310- No contact with anyone at the address after 6+ calls
322- Contact made at address, but not with responsible adult
391- Contact made but no subsequent contact

Refusal
410- Office refusal
430- Refusal before interview
432- Proxy refusal
440- Refusal during interview
450- Broken appointment – no recontact

Other unproductive
510- **SINGLE PERSON HHOLD ONLY –** Ill at home during study period
520- Away/ill in hospital throughout f/work period
530- **SINGLE PERSON HHOLD ONLY –** Physically ill or mentally incapable
541- Language difficulties with household as a whole – no-one speaks English
560- **OFFICE APPROVAL ONLY: SINGLE PERSON HHOLD ONLY –** Institutionalised (e.g. nursing home/care home)
590- **OFFICE APPROVAL ONLY:** Other unproductive
Unknown eligibility (no contact)

Unknown eligibility
612- OFFICE APPROVAL ONLY: Issued, not attempted/ transferred to another interviewer
652- Address inaccessible
653- Unable to locate address
671- MOVER: Certain hhold moved, unable to obtain a (complete) follow up address
672- MOVER: Follow up address found, but unable to attempt address
673- MOVER: Follow up address is in GB, but is outside my interviewing area
674- MOVER: Follow up address is in Northern Ireland
690- OFFICE APPROVAL ONLY: Other unknown eligibility (verbatim reason to be keyed in the admin block)

Deadwood/ineligible
782- All participants no longer eligible – died
783- All participants no longer eligible – permanently live outside UK
785- This household is no longer eligible - all hhold members (at this address) have moved into another issued hhold
787– Household already completed survey on the web
790- **OFFICE APPROVAL ONLY:** Other ineligible (verbatim response to be keyed in the admin block)

Unknown eligibility
830- Unable to determine eligibility, contact made at address but information refused about hhold

Individual level

Productive
11 – Fully productive interview
13 – Full proxy interview
21 – Partially productive interview
23 – Partial proxy interview

Non-contact
34 – No contact

Refusal
41 – Office refusal
42 – Proxy refusal
43 – Refusal before interview
44 – Refusal during interview (unproductive partial)
45 – Broken appointment – no re-contact

Other unproductive
51 – Ill at home during survey period
52 – Away or in hospital all survey period
53 – Physically or mentally unable/incompetent
54 – Language difficulties
56 – Lost interview
57 – Too elderly
59 – Other reason for no interview

Deadwood/ineligible
77 – Deceased *(to be used only in the rare cases if death occurs/is discovered after Household Grid enumeration has been completed)*
78 - Moved outside of UK
78 - Ineligible - child under 10

Unknown Eligibility
89 – Other unknown eligibility, contact made

Appendix D. Practice cases and serial numbers

The practice case serial numbers are as follows:
401500011
401500021
401500031
401500041
401500051
401500061
401500071

For the scenarios, the basic household is comprised from a husband and wife, their 22 year old son, 18 year old daughter who is in halls of residence, their 15 year old son and nine year old daughter.

Please note that serial number 401500061 has only two adults in the household, and does not fit the household composition described above.

Scenario 1:
Husband (John) moves out of the household, whilst the rest of the household members remain in the issued address. You will need to generate a split household. You may also wish to practice completing the tracing procedures in the tracing block, so you could pretend that John needed to be traced and a follow up address found.

Scenario 2:
Twenty two year old son moves out of the household and is a TSM (see earlier notes on definition). Eighteen year old daughter moves from her halls of residence into a private address. Complete any additional ARF's and create additional households in the CAPI.

Scenario 3:
Same situation as scenario 1 with John moving out. However, one of the couple's twenty four year old twins moves back to the issued household (re-joiner) and a lodger called Felipe also moves in (new entrant).

Appendix E. List of modules

Modules that have not appeared on Understanding Society before are shown in **bold**.

Module number	Module description	Who gets asked the questions
	HH grid	All hholds
	HH questionnaire	**All hholds – including questions on tenure, fuel type and expenditure, taxation, finances, consumer durables and expenditure**
	Ind-Intro	All
	Demographics	All – some Qs only asked of from new entrants/never interviewed
	Initial conditions	New entrants/never interviewed
	Own first job	New entrants/never interviewed/started first job
	Educational aspirations	Full-time students
	Young adults	Aged 16-21
	Family background	New entrant/never interviewed
	Ethnicity and national identity	New entrant/never interviewed
	Religion	All
	Groups and organisations	All
	General health	All
	Disability	**All**
	Height and Weight	All
	Finger length	**All - New module which takes the measurement of the index and ring fingers in both hands**
	Health conditions	New entrants
	Caring	All
	CASI: Risk experiment	**Experiment module - 500 randomly selected participants**
	Partnership history	New entrant/never interviewed
	Fertility history	New entrant/never interviewed
	Annual events history	Those interviewed at the last wave, with some further routing e.g. questions on pregnancies/fathering children asked of men aged 16-64 and women aged 16-49
	Current employment	Those who have a job (either did paid work last week or is away from a job e.g. on maternity leave)
	Employees	Employees
	Self-employment	Self-employed
	Commuting behaviour	If working (either as employee or self-employed) and does not work from home
	Job satisfaction	Employees
	Work conditions	Employees
	Non-Employment	Did No Paid Work In Last Week and Does Not Have A Job
	Mother's return to work	Currently on maternity leave and had a baby since last interview
	Second jobs	All
	Voluntary work	All

	Charitable giving	All
	Transport behaviour	All
	Childcare	Responsible adult for someone under-15
	Unearned income and state benefits	All
	Household finance	All
	Savings	All
	Personal pensions	All
	Housework	All
	Politics	All
	Environmental behaviour and attitudes	All
	Satisfaction	**All**
	CASI	All
	CASI – Time reference control	**Experiment module - 500 randomly selected participants**
	Item recall	**All**
	Mode preference	All
	Participant contact details	All
	Stable contact details	All
	Interviewer observations	All
	Proxy	Proxy interviews only
	Youth Self-Completion	Children aged 10-15 years

Appendix F. Fieldwork timetable

Tranche	Phase	Mode	Sample group	Duration	Start date	End date
TR1	Phase 1	CAWI only	WEB	2 weeks	21 Feb '13	7 Mar '13
	Phase 2	CAWI or CAPI	WEB	10+2 weeks	8 Mar '13	30 May '13
		CAPI only	F2F			
	Phase 3	CATI or CAWI (and mop-up CAPI)	F2F & WEB	4 weeks	31 May '13	26 Jun '13
TR2	Phase 1	CAWI only	WEB	2 weeks	22 Mar '13	7 Apr '13
	Phase 2	CAWI or CAPI	WEB	10+2 weeks	8 Apr '13	28 Jun '13
		CAPI only	F2F			
	Phase 3	CATI or CAWI (and mop-up CAPI)	F2F & WEB	4 weeks	1 July '13	26 Jul '13

Appendix G. Data confidentiality

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

The laptops used by interviewers and nurses are encrypted so all the information stored in them is protected and cannot be accessed by anyone other than the password holder. In addition, any biological samples taken from participants at the nurse visit stage are labelled in an anonymous way before being posted to the storage facility. Once reconciled the samples are then further anonymised so that the samples cannot be traced back to a specific participant once they are stored.

Participant information is saved in a dataset which also includes all the data collected by interviewers and the bio measures collected by nurses. The dataset is stored in a secure file, which only specific members of the project team have access to.

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

Appendix H. Digit Length instructions

Measuring finger lengths

During the interview you will be asked to measure the length of respondents' ring and index fingers on both the right and the left hand. This section contains information about why we are measuring finger lengths, and instructions for how to conduct this measurement.

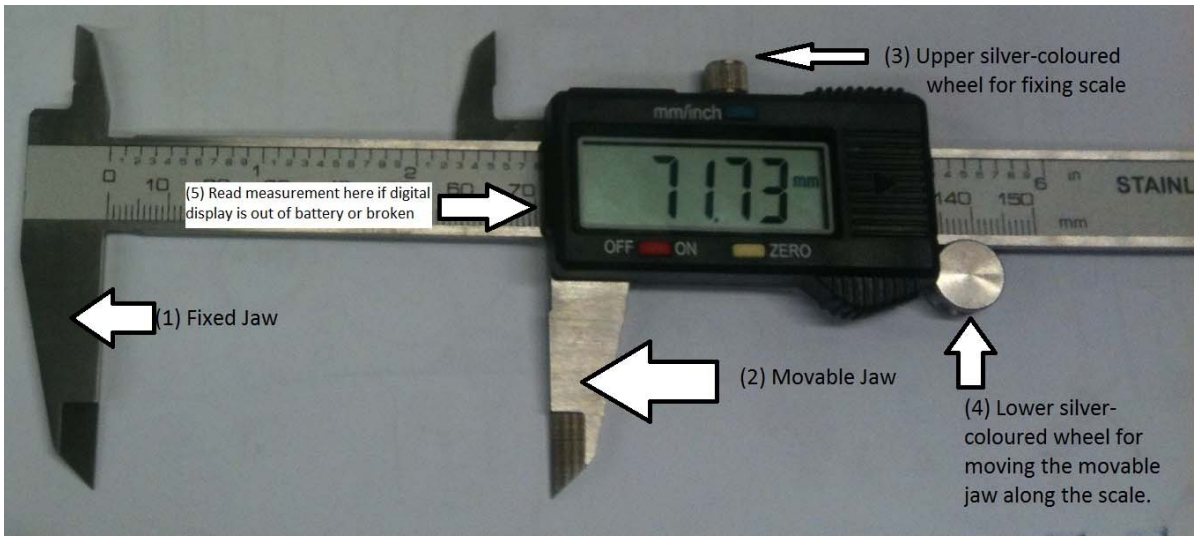
Why are we measuring finger lengths?

Finger length measures have been shown to indicate roughly the degree of hormones individuals were exposed to when their mother was pregnant with them. Having these measures will be very useful to better understand the links between social background, physical development and a range of social and personality outcomes.

How will you measure finger lengths?

You will be given a digital vernier calliper inside a black protective case. The box includes the calliper itself, operating instructions for the calliper and a replacement battery.

You should only need the calliper itself. The battery is new and expected to last for the entire fieldwork period. If, unexpectedly, the battery should need replacing, use the spare battery provided in the black case and follow the instructions below. If for some reason, the digital display is not functioning correctly and no replacement battery is available, you can use the scale without the digital display.



Setting up the calliper

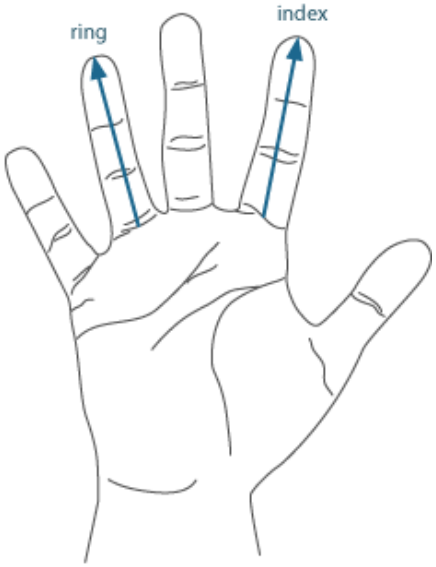
The calliper has two silver-coloured metal wheels (Picture 1: 3 & 4). The upper silver-coloured wheel (Picture 1: 3) allows you to fix the scale at any point of measurement. Usually you should not need this wheel. The bottom wheel (Picture 1: 4) allows you to move the jaw (Picture 1: 2) along the scale. If the calliper won't slide, use the upper silver-coloured wheel to release the scale. To prepare the measurement, please take the following steps:

1. Close the jaws of the calliper.
2. If the digital display is not showing, press the red "on" button.
3. Press the yellow "zero" button to make sure that when the jaws of the calliper are completely closed the display shows "0.00mm".
4. Check that the measurement units are set to mm and not to inches. If it is correctly set to millimetres "mm" will be shown on the right side of the display. If, however, "in" is shown on the right side of the display, push the blue "mm/inch" button above the display window to switch to measurement in millimetres. The display should now show "mm" on the right side of the display.

Now you can start your measurement.

The measurement

Repeat the following instructions for each finger you need to measure: the ring and index finger of both the right and the left hand.



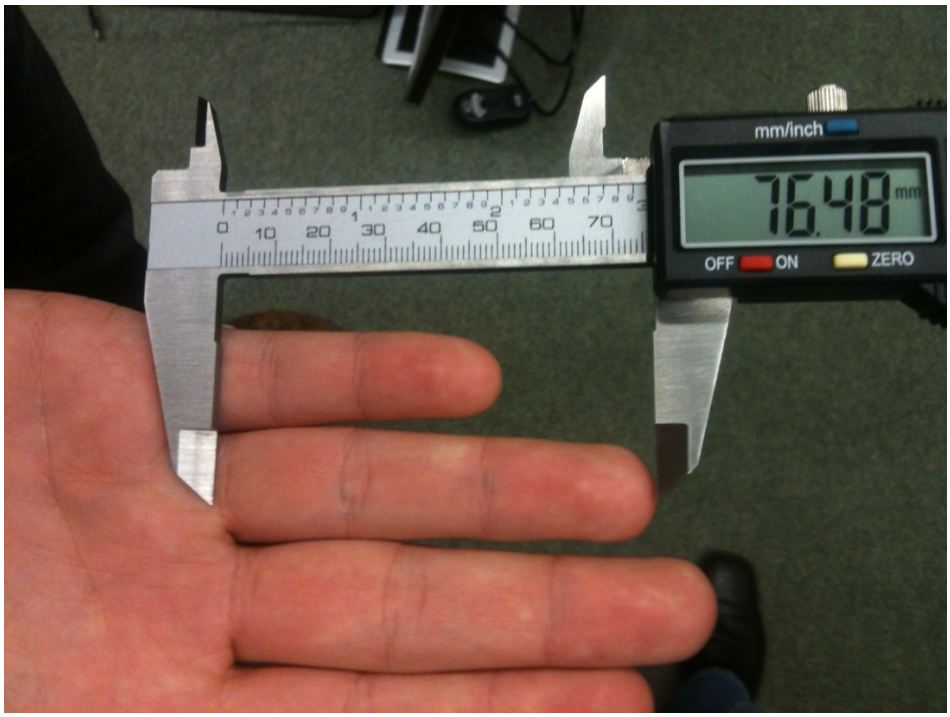
http://www.bbc.co.uk/science/humanbody/sex/28.shtml

Ask the respondent to fully open the hand to be measured (as in Picture 2). Make sure that all fingers are straight and neither bent nor overstretched. Then align the fixed jaw of the calliper (Picture 1: 1) with the middle of the bottom crease of the finger to be measured. Align the movable jaw of the calliper with the tip of the finger. Now read the

finger length measurement in millimetres from the display and enter the rounded measurement in the questionnaire. For rounding, please round to the nearest whole millimetre. See Picture 3 for an example. In this example, the display shows a measurement of 76.48 mm. After rounding to the nearest whole millimetre you would enter a “76” in the questionnaire.

In general, values after the decimal point ranging between .00 and .49 are rounded to the next lower millimetre. And values ranging from .50 to .99 are rounded to the next higher millimetre. For instance, a value of 82.48mm will be rounded to 82. And a value of 64.79 will be rounded to 65.

If, even after battery replacement, you cannot use the digital display, read the measurement directly on the scale (see Picture 1: 5). Also in this case, please round to the nearest whole millimetre and enter the resulting value in the questionnaire.



Each time you conduct a measurement, please compare the digital measurement with the measure shown on the scale itself (you can read the approximate measure at the right hand end of the scale, see Picture 1: 5). The value on the scale and the one on the display should correspond approximately (+/- 1mm).

Replacing the battery

If the digital display shows values that deviate more from the value on the scale or if the numbers on the display are blinking, the battery might be empty. In this case, exchange the battery with the replacement battery. Press the red “on/off” button to turn the calliper off. Open the battery case on the right side of the display (Picture 4).

Slide the black cover of the battery case to the right using your finger and exchange the battery, using the replacement battery provided in the black protective case of the calliper.

Once the battery is replaced, please repeat the four steps listed above under “Setting up your calliper” and repeat the measurement. If the problems persist and no replacement battery is available, please just read of the measurements directly on the scale (see Picture 1: 5).

Interviewer feedback form

IP6 Interviewer Feedback Form

Interviewer name: ..... Number: .....

We would like your feedback from IP6 by completing this interviewer feedback form. Please either

- Send it back to Brentwood by **5th July 2013** or
- If you have been asked to attend the IP6 de-brief on 12 July 2013, please hang on to the form and bring it along to the de-brief.

It is important that you complete this form in as much detail as possible.

FIELDWORK SUMMARY

Number of households successfully interviewed (productive households, i.e. household interview plus at least one adult individual interview): .....

Number of achieved individual interviews (adults 16+): ……...

Number of achieved adult self-completions (Complete booklets collected by you): …….

Number of achieved youth self-completions (children 10-15) : ……..

1. CONTACT AND CO-OPERATION

a. BOTH SAMPLE TYPES (WEB and F2F):
Did the sample members remember the study?

Yes ☐
No ☐

b. Did you use any of the materials on the doorstep as reminders?

Yes ☐ ➨ **Q1c**
No ☐ ➨ **Q1d**

c. If so, which ones were useful?

d. SAMPLE TRANSFERRED FROM WEB:
Did respondents say why they didn't complete the questionnaire online?

Yes ☐ ➨ **Q1e**
No ☐ ➨ **Q1f**

e. What did they say?

f. SAMPLE TRANSFERRED FROM WEB:
Did respondents say anything about receiving advance email and email reminders?

Yes	☐	➡ **Q1g**
No	☐	➡ **Q1h**

g. What did they say?

h. SAMPLE TRANSFERRED FROM WEB:
Did you end up visiting any cases that had been completed online? If yes, please describe what happened.

i. SAMPLE TRANSFERRED FROM WEB: Did you have to finish off any cases that had been started online and you had to start interviewing in the middle of the questionnaire?

Yes	☐	➡ **Q1j**
No	☐	➡ **Q2a**

j. If so did you have any problems doing this?

Yes	☐	➡ **Q1k**
No	☐	➡ **Q2a**

k. Did you have any problems explaining this to respondents? If yes, what kind of problems did you have?

2. Sample Updates

a. Did you find the sample update on ‘My Progress Screen’ useful?

Yes ☐
No ☐

b. Did you have any problems with it? If yes, please describe the problems.

c. Did you find the text alerts on your NatCen mobile useful?

Yes	☐
No	☐

d. Did you have any problems receiving your text alerts? If so please detail any problems or issues you had.

e. Please detail below any comments or suggestions you have to improve the process of sample updates during fieldwork.

3. ARFs

a. ARFs A WEB, A F2F, B and 784 log: Were the ARFs straightforward and easy to complete?

Yes ☐
No ☐

b. Did you have any difficulties completing the ARFs?

ARF A WEB / ARF A F2F

ARF B

784 Log

c. Sample Information Sheet (SIS):
Did you find the information on the SIS useful?

Yes	☐
No	☐

d. Is there any additional information which you think would be useful to add to the SIS?

e. Were there any issues with the feed-forward data in your sample? Please detail any errors or issues you had.

4. EXPERIMENTS

a. In general, how straightforward were the procedural experiments to administer (CASI/Paper self-completions, Measuring household energy use)? Did you have problems with any particular experiment?

b. MODE OF ADUL SELF-COMPLETION

How did the sample members react to the **CASI mode self-completion**?

c. MODE OF ADUL SELF-COMPLETION

Where there any types of respondents who reacted particularly badly?

d. MODE OF ADUL SELF-COMPLETION

And, how would **you** compare CASI and Paper Self-Completion when managing the household to get all interviewing done?

e. MODE PREFERENCE

How did the sample members react to asking them about their **mode preference**?

f. ENERGY USE

How did sample members respond to being asked to provide **meter readings for gas and electricity**?

g. ENERGY USE

If they refused, what were the main reasons for doing so?

h. ENERGY USE- Did any respondents have the meter readings ready?

Yes	☐
No	☐

i. ENERGY USE- Did any respondents say that advance letter mentioned the need for meter readings?

Yes	☐
No	☐

j. ENERGY USE- Did you have any queries from them about the purpose of the collection of this type of data?

Yes	☐	➨ **Q3k**
No	☐	➨ **Q3l**

k. ENERGY USE

What reassurances did you give?

l. ENERGY USE

How did sample members respond to being asked to provide an **odometer reading**?

m. ENERGY USE

If they refused, what were the main reasons for doing so?

n. ENERGY USE- Did any respondents have the odometer readings ready?

Yes ☐
No ☐

o. ENERGY USE- Did any respondents say that advance letter mentioned the need for odometer readings?

Yes ☐
No ☐

p. ENERGY USE- Did you have any queries from them about the purpose of the collection of this type of data?

Yes ☐ ➨ **Q3q**
No ☐ ➨ **Q3r**

q. ENERGY USE

What reassurances did you give?

r. DIGIT LENGHT

How did sample members respond to the Digit Length module?

s. DIGIT LENGTH- Did you have any queries from them about the purpose of the collection this measurement?

Yes	☐	➨ **Q3t**
No	☐	➨ **Q3u**

t. DIGIT LENGHT

What reassurances did you give?

u. DIGIT LENGHT

Did you have any difficulties with taking this measurement? If so what were they?

v. DIGIT LENGHT

Do you have any comments or suggestions for improving the procedure of taking this measurement?

w. RISK AND TIME PREFERENCE

How did sample members respond to the risk and time preference modules? Please detail below any feedback you got from participants.

x. RISK AND TIME PREFERENCE

How easy or difficult was it to use the Gift Cards? Please detail any issues you had.

y. INCENTIVES

Did participants comment about the amount of the incentive they received this year? Please detail any comments you received.

5. CAPI GENERAL

a. Did the order/flow of the modules work well?

Yes	☐
No	☐

b. What suggestions would you make to improve the order/flow?

c. Were there any specific questions that sample members found particularly sensitive/upsetting? If so, what reasons did they give?

d. Did you have any problems with feed-forward data?

6. PAPER SELF-COMPLETION QUESTIONNAIRE

a. How long did it take for adults to complete their self-completion (please estimate the time taken to complete the self-completion questionnaire only)?

		Minutes

b. Did the adult sample members make any comments on the self-completion i.e., about specific questions, topics covered or layout? If so, what were these? Did sample members query any questions with you?

c. How long did it take for 10-15 year olds to complete the youth self-completion?

		minutes

d. Did those 10-15 year olds who completed a self-completion have any problems filling in the questionnaire?

Yes	
No	

e. Did they require any help? If so, who helped them?

f. Did those 10-15 year olds who completed a self-completion made any comments on the smiley faces used in the questionnaire? If yes, what did they say?"

g. Did parents have any comments on particular questions in the youth self-completion? If so, what were they?

7. OTHER COMMENTS

a. Do you have any comments on the IP6 briefing?
What did you like about the briefing?

What could be improved for next time?

b. Do you have any further comments you would like to make that have not already been covered on this form?

Thank you for taking the time to complete this form. Please either

- *Send it back to Brentwood by **5 July 2013***
- *Or, if you have been asked to attend the IP6 de-brief on 12 July 2013, please bring the form along with you on the day*