



P2823: *Understanding Society* Unit:
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Innovation Panel 2

CATI

Project Instructions

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Summary

Introduction

Understanding Society is a UK longitudinal survey with annual interviews with 40,000 households.

IP2 briefings will be held on the 16th and 17th March 2009 (fieldwork starts on the 17th) with the debriefing on 31st April. All fieldwork must be completed before the debrief.

IP2 Experiments

IP2 includes a number of experiments which will allow us to test different modes of data collection.

There are two types of experiments:

- **Procedural**
 - Mixed mode
 - Advance materials
 - Incentives
- **Measurement**
 - Use of showcards
 - Question phrasing

Sample

IP2 will be revisiting productive households interviewed in IP1. This is a named sample and for IP2, 1489 households are being issued in total: 992 households are initially being issued to telephone interviewers and a further 497 households will be assigned to field interviewers.

IP2 is mixed-mode. That is, cases will be transferred from CATI to CAPI if certain conditions are met. Field interviewers will be issued with telephone non-contacts, soft refusals to CATI and cases that are not willing/able to complete an interview over the phone.

You should collect data from all members of a household aged 10 and above; CATI interviews for those aged 16+ and self-completions for those aged 10-15. Paper self-completions for 10 -, 15s will be posted out where needed following completion of the adult telephone interviews.

Contact and Gaining Co-operation

Advance cards or letters (depending on the experimental group the individual is in) are being posted by the office prior to the start of fieldwork. One advance card/letter will be sent to each adult who was present in the household at IP1, regardless of whether or not they completed an individual interview at IP1.

Each adult will receive a gift voucher of either £5 or £10 (exact amount will depend upon which experimental group the individual is in) in their advance mailing. Young people who complete the youth self-completion will receive a £3 voucher. There are no incentives for proxy interviews. Any additional vouchers which are required (for example, for new household members) will be recorded in CATI and sent out by the office after the interview.

The Dial Screen

As Understanding Society is a household study involving CATI-CAPI transfer and a number of procedural and measurement experiments, the dial screen for this project is non-standard.

Unlike other projects, the initial dial screen for Understanding Society holds no information. All the information required for making contact is found as you navigate three additional dial screens; the information dial screen, questionnaire dial screen and interview dial screens.

A call history is recorded in relation to each of the telephone numbers provided at IP1.

Tracing

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

Any IP1 sample member who has moved address will be followed to their new address for interview with the exception of those who have moved outside the UK and those who are in prison. You are expected to make reasonable attempts to contact these sample members.

The Interview Process

The data collection instruments are:

- 15 min (average) CATI household questionnaire;
- 32.5 min (average) Individual Adult CATI questionnaire for all adults aged 16+;
- 10 min (average) Youth CAWI/Paper Self-Completion questionnaire for all aged 10-15; and,
- 10 min (average) CATI proxy questionnaire.

All members of the household fed forward from wave 1 are sample members and eligible for interview if they are aged 16 or over or are aged 10 – 15 years. You may also find new members have joined the household since wave 1. Their eligibility for inclusion as a household resident are:

1. Normal household residency rules (using the standard household definition)
2. Temporarily absent household members (at boarding school, in hospital)
3. Temporarily absent household members (working away)

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

As *Understanding Society* is longitudinal, we will be contacting and visiting respondents on a yearly basis, so it is extremely important that you check the spelling of respondent names (in the household grid), addresses and ensure that job titles are correct.

Similarly, it is very important for us to have full and accurate contact details and stable contacts for the respondents. Please check that those details given previously are still correct and attempt to get as many different contact details as you can and a stable contact for those new entrants to the household.

As in IP1, we will be carrying out SIC coding to 4 digits instead of 2; therefore, it is essential for you to gather more detailed information than usual about where the respondent works.

We are asking for consent to link to both health and educational administrative records. You will be asking for consent verbally (as prompted by your CATI screen) during the CATI; those respondents who agree will then be sent copies of the relevant consent forms and consent information leaflets for them to complete and return to the office. The forms are in duplicate. The top copy is to be sent back to Brentwood and the bottom copy is to be kept by the respondent.

There is also a self-completion for young people aged 10-15. In IP2, the youth self-completion will be available on-line as well as in paper form.

CATI Interview

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

The CATI questionnaire is structured with 5 main parallel blocks that are:

- Household questionnaire
- Individual questionnaire
- Self-completions
- Consent Help
- Admin

The main topic areas covered in the individual questionnaire are

- Family, relationships, fertility, child-birth history
- Health, disability and caring

- Leisure, environment, transport, life satisfaction and voluntary work
- Employment, finance and personal consumption
- Ethnicity, religion, politics, environment
- Beliefs, values and attitudes

Make sure you do some practice interviews before your first interview.

Respondents will be asked to give consent for their survey responses to be linked to various health and educational records. If they agree, following the interview they will be sent copies of the consent forms to sign and return to the office.

Admin

You should speak to your supervisor if you have any questions or queries.

The *Understanding Society* Unit in Brentwood are responsible for this survey. The Unit is led by Shelli Murray. Please contact The Unit on 01277 690000.

1 Introduction

1.1 Background

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

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

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

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

The experience of ISER in conducting the BHPS over the last 18 years is that both respondents and interviewers enjoy doing the survey. Respondents enjoy the fact that their interviewer makes contact every year and they can update them about things that have happened to them and other family members. And interviewers enjoy contacting the same people to see how they are getting on, even if sometimes they are faced with people in difficult circumstances. *Understanding Society* will build up a unique picture of how people's lives develop and change as events and experiences unfold in their lives.

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

Understanding Society was officially launched by the ESRC on 13th October 2008. NatCen has already carried out an Innovation Panel (IP1) and a full dress rehearsal in order to inform the Wave 1 survey which commenced on the 8th January 2009. Innovation Panel 2 (IP2) will be one of the first stages of *Understanding Society* Wave 2.

In IP2 we will be revisiting all of the households who were interviewed in IP1. Since IP1 was in field, the study has been renamed from *Living in Britain* to *Understanding Society*. This name change was recently communicated to respondents via an inter-wave mailing. The change in name reflects the aims of the study: to build a detailed picture about the lives, experiences, behaviours and beliefs of people across the UK and to provide an understanding of diversity within the population and of the long-term effects of social and economic change.

1.2 Media coverage

Understanding Society is the world's largest ever longitudinal study of households, and has already created interest in the media.

In August 2008, The Guardian featured an article by Polly Toynbee¹ discussing the launch of *Understanding Society*, which she referred to as '...the world's largest and most detailed social survey...' Toynbee discussed the importance of longitudinal studies such as *Understanding Society*, saying 'The studies seek out which physical, social or psychological factors shape people's long-term health and happiness'. A copy of the article is available at:
<http://www.guardian.co.uk/commentisfree/2008/aug/19/labour>.

Other headlines include 'World's largest ever longitudinal study of households launched'² and 'World's largest household study to unveil vital issues facing human communities'³.

For more information on the media coverage the study has received, please visit the 'News' page of the *Understanding Society* website at:
<http://www.understandingsociety.ac.uk/news/inthenews/default.aspx>.

¹ Toynbee, P. (2008). Labour is bound to bypass the lessons of the 58ers: The determinist mindset of the post-Thatcher establishment means fine social research won't produce decent policy. *Guardian.co.uk*, [internet] 19 Aug. Available at: <http://www.guardian.co.uk/commentisfree/2008/aug/19/labour>

² Lipsett, A. (2008). World's largest ever longitudinal study of households launched. *Guardian.co.uk*, [internet] 13 Oct. Available at: <http://www.guardian.co.uk/education/2008/oct/13/research-highereducation>

³ Thaindian News (2008). World's largest household study to unveil vital issues facing human communities. *Thaindian.com*, [internet] 15 Oct. Available at: http://www.thaindian.com/newsportal/india-news/worlds-largest-household-study-to-unveil-vital-issues-facing-human-communities_100107499.html

1.3 What is an Innovation Panel?

The very first stage of *Understanding Society* was an 'Innovation Panel' of 1500 achieved households (IP1). The aim of the Innovation Panel was to establish a survey group – approximately 10 times larger than a pilot group – with whom different methods of data collection can be tested ahead of each main wave of the survey.

The Innovation Panel will not replace the need for normal questionnaire pilots and dress rehearsals. Instead, it will be used for testing significant innovations in terms of the types of information collected or the methods of collection.

1.4 Aims of Innovation Panel 2 (IP2)

IP2 is the first stage of *Understanding Society* Wave 2 and will be the start of the longitudinal element of the study.

The main elements that we are testing during both CATI and CAPI interviews in IP2 are:

- Feeding forward data from IP1;
- Conditional transfer of CATI non-contacts, soft refusals and cases unable to do telephone interviews to Field interviewers;
- Investigating whether we lose any benefit from the higher IP1 incentive when reverting to £5 from £10 (in terms of response rates, efficiency of fieldwork and costs);
- Establishing whether the number of office refusals is reduced by using an advance card compared to an advance letter and whether either of these has a negative or positive effect on final response rates
- Looking at the wording of an identity question and the effect of its wording on item non-response
- Comparing potentially ambiguous questions with improved versions
- Looking into the best way to administer life and job satisfaction questions
- The feasibility of administering consent forms by post after a telephone interview (field interviewers will administer these when prompted by the CAPI script); and
- Encouraging 10 – 15 year olds to complete their self-completion online instead of on paper CAPI only:
 - To test whether using or not using showcards gives the best comparability to telephone interviews (where no showcards can be used)

1.5 Fieldwork timetable

The IP2 briefings will be held on the 16th and 17th of March (fieldwork begins on the 17th) with the debriefing on 30th April. All fieldwork must be completed before the debrief. Please note that the fieldwork period coincides with the Easter break in the UK. The whole of the UK have the “Good Friday” public holiday on April 10th 2009, and England, Ireland and Wales (but not Scotland) additionally have the “Easter Monday” public holiday on April 13th 2009. You may want to plan your work to take account of these public holiday dates.

2 IP2 Experiments

2.1 Overview

IP2 includes a number of experiments which will allow us to test different modes of data collection. There are two types of experiments:

- **Procedural**
 - o Mixed mode
 - o Advance materials
 - o Incentives
- **Measurement**
 - o Use of showcards
 - o Question phrasing – job and life satisfaction.

In all cases the allocation to any experimental group has been done at the household level so that all eligible adults in a household will receive the same treatment for any given experiment. The allocation to experimental groups will however vary across the different households in your assignment.

2.2 Mixed mode experiment

The IP2 sample is divided into three experimental groups, each receiving a different treatment in terms of mode(s) and sequence of modes to test which strategy works best in terms of high response rate, efficiency of fieldwork and costs.

There are three groups of equal size with procedures as follows:

- **CAPI: Face to face:** Cases issued direct to face-to-face interview.
- **CATI 'Move one move all':** Cases issued to telephone unit initially, as soon as one household member is identified who cannot do the interview over the telephone, all outstanding household members will be allocated to field. CATI cases will be reissued to field for:
 - i. Telephone non-contacts – allocated to field at end of telephone fieldwork period or once the minimum number of calls has been made⁴.
 - ii. Telephone refusers.
 - iii. Those not willing or able to do interview over telephone.
- **CATI 'Try all':** Cases issued to telephone unit initially, attempt all household members by telephone before allocating them to field. CATI cases will be reissued to field for the same reasons as CATI 'Move one move all'.

⁴ The minimum number of calls includes; five attempts at contacting each individual, two attempts at each telephone number and a minimum of 10 calls for all telephone numbers combined.

2.3 Advance materials experiment

There are two groups in this experiment: half of the sample will receive an advance letter and the other half will receive an advance card.

The aim is to establish whether the number of office refusals is reduced by using an advance card compared to an advance letter and whether either of these has a negative or positive effect on final response rates.

2.4 Incentives experiment

In the incentive experiment there are five different groups. The aim is to investigate whether we lose any benefit from the higher IP 1 incentive when reverting to £5 from £10 (in terms of response rates, efficiency of fieldwork and costs).

The five groups are:

- Group 1: Receive £5 (as at IP1).
- Group 2: Receive £5 (reduction from £10 at IP1 to £5 at IP2).
- Group 3: Receive £10 (as at IP1).
- Group 4: Receive £5 (reduction from possible £10 at IP1 to £5).
- Group 5: £5 rising to £10 if all eligible household members take part (as at IP1).

2.5 Question phrasing experiments

There are different variations of certain questions in the questionnaire. This is to allow us to test how question wording affects the reliability of measurements. For example, there are two variations in questions about dates: the first a traditional explicit request for the date and the second is driven by what the respondent says.

You will have a mixture of questions so please take care to follow the questions as scripted in the CATI.

Certain questions are being recorded to see how these work in real interviews.

2.6 Job and life satisfaction questions

There are two questions in the CATI asking sample members about their satisfaction with their life and job. We are experimenting with the form of the question, where the question is placed in the questionnaire and how the question is administered. You will receive a mixture of question forms, so please take care to read from screen as prompted by the CATI.

3 The Sample

3.1 Overview

In IP2 we will be revisiting productive households interviewed in IP1 (the IP1 sample was randomly selected using Postcode Address File). In IP1, 2760 households were issued and of these 1489 households were productive.

IP2 is a named sample and 1489 households are being issued in total: 992 households will be initially assigned to telephone interviewers and a further 497 households are being issued to field interviewers.

IP2 is mixed-mode. That is, cases will be transferred from CATI to CAPI if certain conditions are met.

Field interviewers will be issued with telephone non-contacts, soft refusals to CATI and cases that are not willing/able to complete an interview over the phone.

You should interview all adults aged 16+ in the household, Self-completions will be issued to those aged 10 to 15 if it has not been completed on the web before you call.

3.2 Who to interview

CATI will determine the eligibility of individuals by calculating whether they are aged 16+ when the household grid is enumerated. You will be interviewing everyone aged 16+ in each household, regardless of whether or not they were interviewed previously. One person from every household will be asked to confirm some general information about the household that was given in IP1.

Respondents who are known to you

We do **not** want you to interview anyone you know personally, such as a friend, a neighbour, son or daughter of a friend. In addition, you should not interview anyone you know in a professional capacity such as a colleague at work, a teacher at night school etc. Refer such cases back to your supervisor immediately.

Whom to interview and where

You will find that households are living in a variety of circumstances. For example, some will live in a house or flat and others may work in places where they are provided with a room of their own.

For IP2, we **are** following people who have moved into 'institutions' (e.g., hospitals, nursing homes/Old Peoples Homes, Army Camps, halls of residence but not prisons). We will not be interviewing those who are judged by other sample members/guardians to be "too frail or mentally impaired".

Split households

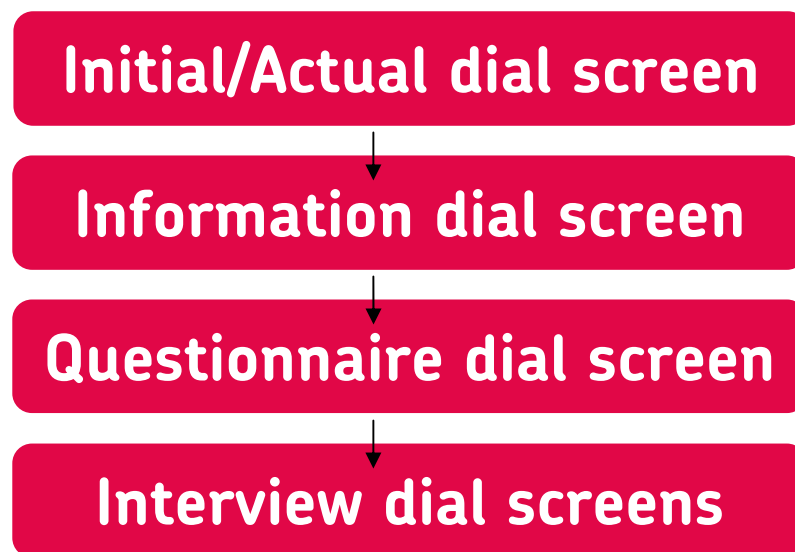
You may find that some respondents are still resident at the address, but that others have moved to new address (es). CATI will tell you who the movers are. You will then attempt to contact and interview the respondents who have split into new households.

4 The Dial Screen

4.1 Dial screen structure

As Understanding Society is a household study involving CATI-CAPI transfer and a number of procedural and measurement experiments, the dial screen that you will be using for this project is non-standard. For this reason you will have been asked to attend a dial screen training session before working on this project.

The structure of the dial screen is shown below:



4.2 Initial/actual dial screen

Make Dial

Dial menu

☒ Questionnaire

Questionnaire data:

Area	9101
Address	3
Hhold	1
Comments[1]	* call carl
Comments[2]	*
Comments[3]	*
Comments[4]	*
Comments[5]	*
Comments[6]	*
Comments[7]	*
Comments[8]	*
Comments[9]	*
Comments[10]	*

OK

Cancel

Help

Zoom...

Dial

Edit...

Within the CATI programme the first screen you come to will be the initial/actual dial screen. Unlike other dial screens, there will be no names or telephone numbers presented here. You will need to click “OK” to continue through to the information dial screen.

4.3 Information dial screen

The information dial screen consists of both household and personal information:

UnderstandingSociety	Admin	QSelfComp	ConsentHelp	Appointment	No Answer	Answer Machine	Busy	QStableDisp
----------------------	-------	-----------	-------------	-------------	-----------	----------------	------	-------------

Household Info:

Incentive: Group 3: £5 per adult, rising to £10 if all adults productive
Mode: TEL 1st NR Transfer DoI: 26/02/2008 Contact: Letter

Personal Info:

P1: Arlene Marx Home: Mobile: 07912123456 Work:
Sex: Female
Age: 44 Ivlolw: Individual interview Idateiv: 26/02/2008
Comments:

P2: Carl Marx Home: Mobile: 07516456789 Work:
Sex: Male
Age: 55 Ivlolw: Individual interview Idateiv: 26/02/2008
Comments:

P3: Kevin Marx Home: Mobile: 07717852456 Work:
Sex: Male
Age: 24 Ivlolw: Individual interview Idateiv: 26/02/2008
Comments:

P4: Lorna Marx Home: Mobile: 07762782673 Work:
Sex: Female
Age: 22 Ivlolw: Individual interview Idateiv: 26/02/2008
Comments:

The household information listed includes the following:

- **Incentives group for the household:** £5/£10/£5-£10
- **Mode for the household:** Move one move all / Try all in TU first
- **Date of last interview:** Provided in numeric form
- **Contact type:** Letter vs. card

You will need this information during initial contact with the sample member when discussing things such as the type of advance mailing and the value of the incentive the respondent would have received.

The personal information listed includes the following for each sample member:

- **Name**
- **Contact telephone numbers** (home, mobile and work wherever we have this information)
- **Sex**

- **Type of interview at IP1** (individual/proxy/no interview)
- **Date of interview at IP1**

This is where you will find the background information you need when making contact with the sample member.

4.4 Questionnaire dial screen

UnderstandingSociety	Admin	QSelfComp	ConsentHelp	Appointment	No Answer	Answer Machine	Busy	QStableDisp
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Outcome from this number? **02072501866**

Recent Call History:

Dial # 1 - 12/03/2009 @ 15:45 Answered

Name	Home Phone	Home Dial	Mobile Phone	Mobile Dial	Work Phone	Work Dial	Done?
Household	*02072501866	v	9999999999	v	07912123456	v	
Arlene	9999999999	v	07912123456	v	9999999999	v	
Carl	9999999999	v	07516456789	v	9999999999	v	
Kevin	9999999999	v	07717852456	v	9999999999	v	
Lorna	9999999999	v	07762782673	v	9999999999	v	
Lucy	9999999999	v	0785243216	v	9999999999	v	
Catherine	9999999999	v	07764 491047	v	9999999999	v	

Within the questionnaire dial screen you will find both household and individual contact numbers. You should code all calls made to each number with an outcome from the drop down menu to the right of the phone number. A call history is then recorded. The “end” key bypasses empty fields, and can also be used when you are ready to jump into the interview screen.

You can leave the questionnaire dial screen via the outcome tabs:

- Appointment
- No answer
- Answer service
- Busy

From the questionnaire dial screen tabs you also have access to the:

- Stable contact details;
- “Consent help”: where 8 commonly asked questions on consent to data linkage are saved. Behind each question is a scripted answer; and
- Admin block

4.5 Interview dial screens

From the questionnaire dial screens you have two further interview dial screens before you can enter into an interview case. At the first you will need to confirm which member of the household you are currently speaking to:

UnderstandingSociety	Admin	QSelfComp	ConsentHelp	Appointment	No Answer	Answer Machine	Busy	QStableDisp
----------------------	-------	-----------	-------------	-------------	-----------	----------------	------	-------------

INTERVIEWER: TRY AND TALK TO SOMEONE WHO DID A FULL ADULT INTERVIEW AT THE LAST WAVE FIRST
Address line 1: 30 BYNG ROAD
Address line 2:
Town.....: BARNET
County.....: HERTFORDSHIRE EN5 2NG

Good morning / afternoon / evening. My name is and I'm calling from the National Centre for Social Research. We recently wrote to you about the study Understanding Society. Am I speaking to ...GUESS NAME (press f9 for help)? IF WRONG GUESS: 'Oh, with whom am I speaking?

IDENTIFY IF ANY MEMBERS OF SAMPLE HOUSEHOLD RESIDENT*

☐ 1. Arlene Marx (Female, 44 yrs, IP1: Individual interview DOI: 26/02/2008 Outcome: ?	☒ 4. Lorna Marx (Female, 22 yrs, IP1: Individual interview DOI: 26/02/2008 Outcome: ?
☐ 2. Carl Marx (Male, 55 yrs, IP1: Individual interview DOI: 26/02/2008 Outcome: ?	☐ 5. Lucy Marx (Female, 19 yrs, IP1: Individual interview DOI: 26/02/2008 Outcome: ?
☐ 3. Kevin Marx (Male, 24 yrs, IP1: Individual interview DOI: 26/02/2008 Outcome: ?	☐ 6. Catherine Marx (Female, 18 yrs, IP1: Individual interview DOI: 27/02/2008 Outcome: ?
	☐ 17. None

Intro1	4	P4
Intro1A		
Apology		

At the second you will need to confirm now is a convenient time to complete the individual interview before proceeding into the CATI. If now is not a convenient time you will need to make an appointment.

UnderstandingSociety	Admin	QSelfComp	ConsentHelp	Appointment	No Answer	Answer Machine	Busy	QStableDisp
----------------------	-------	-----------	-------------	-------------	-----------	----------------	------	-------------

Last year your household took part in Understanding Society. We recently wrote to you about it. IF NEEDED: Your household took part in this survey last year, when it was called 'Living in Britain' on or around 26/02/2008. INCENTIVE GROUP FOR THIS HOUSEHOLD IS £5 (ex £5 to £10) IF THEY HAVE NOT RECEIVED THEIR Letter: I'm sorry that you haven't received your Letter yet. You should receive it in the next day or so? May I still continue with the interview?
IF 'No' MAKE APPOINTMENT FOR ANOTHER INTERVIEW AND IF Letter REQUESTED COMPLETE REQUEST FORM.
NB: The interview will take on average 30 minutes (explain if necessary).

☒ 1. Yes
☐ 2. No
☐ 3. No, respondent requests/needs face to face interview
☐ 4. Refusal

Intro2	1	Yes
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5 Branding



We have taken the opportunity provided by having such a large survey to work with a communications agency (Public Zone) to look at the way that we communicate with respondents and how the survey itself is branded. It is through this process that 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 survey and to encourage survey loyalty and therefore minimise attrition at subsequent waves.

We have developed alternative ways of communicating with respondents about the survey, which include revamping the advance letter to become an advance card and designing a participants pack to be given to households at the end of the interview.

5.1 Categorising respondents

Public Zone identified different factors which influence people when they are deciding whether or not to take part in a survey of this type. They argue that, there are three different categories respondents fall into:

- “Include me” (‘I like the idea of being part of something’)
- “Incentivise me” (‘I feel I will get something in return’)
- “Educate me” (I buy into the objectives of the survey’).

The materials have been designed in order to appeal to these three types of respondent.

5.2 Stages

The materials Public Zone have designed fall into two stages:

- Stage 1 - **advance materials** - Stamped advance **card/letter** with envelope and information leaflet;
- Stage 2 - **after the interview** - Participant Pack containing Participant Handbook, thank-you letter, change of address card (plus related envelope) and a pen.

In addition, a third stage involves various keeping in touch activities such as sending participants an interim mailing about the survey and providing a website, but these are not discussed here.

6 Contact and gaining co-operation

6.1.1 Advance cards/letters

In IP2 we are experimenting with the use of advance cards versus the use of advance letters. The aim is to test whether a) the number of office refusals can be reduced by using the new advance card (which is being used on Wave 1) compared to a standard advance letter, and b) whether either has a positive or negative effect on final response rates.

Some households you call will have received an advance card and others will have received an advance letter. The type of advance communication the household has received (letter or card) can be found on the front of the dial screen.

Advance cards/letters will be posted by the office. One advance card/letter will be sent to each adult (including rising 16s) who was present in the household at IP1, regardless of whether or not they completed an individual interview at IP1. Vouchers (£5 or £10) will be included in the advance mailing.

In order to accommodate for the different types of respondents (i.e. those that were interviewed at IP1, those that were not interviewed at IP1 and rising 16s) and the different incentive amounts (£5, £10 and £5 rising to £10) we have produced 9 versions of the advance card and 9 versions of the advance letter. The 9 versions of the cards and letters are worded slightly differently depending on the type of respondent and their incentive amount.

Table 6.1 below shows the 18 versions of the advance mailing:

Table 6.1 Version of advance cards and letters

Advance mailing version number	Card or letter	Type of respondent	Incentive amount
A1	Card	Interviewed at IP1	£5
B1	Card	Interviewed at IP1	£10
C1	Card	Interviewed at IP1	£5 rising to £10
D1	Card	Rising 16	£5
E1	Card	Rising 16	£10
F1	Card	Rising 16	£5 rising to £10
G1	Card	Not interviewed at IP1	£5
H1	Card	Not interviewed at IP1	£10
I1	Card	Not interviewed at IP1	£5 rising to £10
A2	Letter	Interviewed at IP1	£5
B2	Letter	Interviewed at IP1	£10
C2	Letter	Interviewed at IP1	£5 rising to £10

D2	Letter	Rising 16	£5
E2	Letter	Rising 16	£10
F2	Letter	Rising 16	£5 rising to £10
G2	Letter	Not interviewed at IP1	£5
H2	Letter	Not interviewed at IP1	£10
I2	Letter	Not interviewed at IP1	£5 rising to £10

The advance mailing number is indicated on the back of the advance card (e.g. P2823/IP2/AC/vA1) and in the bottom right hand corner of the advance letter.

For those households which include a young person aged 10-15, the advance card/letter will include a web address and password for each child to login and complete the youth self-completion on-line hopefully before you call the household. The passwords are on the back of the advance card/letter.

If an individual says that they have not received their advance card/letter and asks for a new one contact your supervisor and these materials will be sent out.

Note that new household members will not have received an advance card/letter. Please talk these household members through the generic advance card/letter.

There are 4 individuals in the sample file who did not give their forename or surname at IP1. Therefore, we have been unable to send them their advance mailing. In these cases the incentives will be sent to the individuals post-interview.

Generic advance card/letter

We have produced generic versions of both the advance card and the letter. These generic versions do not specify whether the sample member took part at IP1; they simply say that members of the household took part. They also refer to the sample members receiving an incentive for taking part but they do not specify the amount that they are given.

Prior to calling a household, you will need to check the type of advance communication the household has received (letter or card) on the front of the dial screen and then use the appropriate generic card when speaking to the sample member.

The generic advance card and letter have been laminated so that they can be used throughout the fieldwork period.

6.1.2 Incentives

Another aim of IP2 is to determine whether different levels of incentive affect the overall response rates, at both household and individual level. The sample has been divided into five groups who each receive a different incentive condition as follows:

- Group 1: Receive £5 (as at IP1)
- Group 2: Receive £10 (as at IP1)
- Group 3: Receive £5 (reduction from £10 at IP1 to £5 at IP2)
- Group 4: Receive £5 rising to £10 if complete household co-operation (as at IP1)
- Group 5: Receive £5 (reduction from possible £10 at IP1 to £5)

In each of the conditions, there is also a £3 voucher for each child aged 10–15 who completes a self-completion questionnaire (either on-line or on paper). Of course, a self-completion cannot be completed by a proxy informant so the voucher cannot be given if the young person does not take part.

Vouchers will be sent out to adult respondents from IP1 in the advance card/letter. All adults within a household receive the same incentive. If an individual says that they did not receive the voucher, then you need to record this in the CATI (regardless of whether you believe them) and the office will send the appropriate value voucher to the sample members post-interview

Proxy interviews do not qualify for a voucher.

In condition 4 (£5 rising to £10), each adult in the household will receive £5 in the advance mailing and £5 post-interview if all members complete a CATI interview. If there is only one adult in the household, they would receive a £10 voucher if they take part – £5 in the advance mailing and £5 post-interview. For these households the office will send the vouchers post-interview.

Please note that if you come across a new household member they will not have received the advance mailing which includes the voucher. Those in a mover household may have had the mailing forwarded on but may not have received it. These individuals will be allocated to the same incentive condition as the original address and there will be a code on the CATI dial screen telling you which condition applies. Again, in these situations vouchers will need to be sent to the new household member or mover who did not receive it in advance post-interview.

6.1.3 Introducing the Survey

As we are re-visiting households from IP1 (when the study was called *Living in Britain*) it is important to stress that **the study is concerned with how things change over time and that this is why we would like to interview the household again**. Remind respondents that this is a **survey about them as individuals and we want to find out how different aspects of their lives interact and influence each other**. It is very important that you familiarise yourself with potential questions so that when you

first make contact you will be able to tailor your arguments depending on who you talk to. Use your expertise when introducing the study and mention different areas of the survey accordingly. We have listed below some of the research questions that this survey addresses that you might find helpful when encouraging people to take part.

- *How does people's well-being change over time?*
- *How does poor health affect employment opportunities?*
- *Does our education system provide the springboard for young people to develop their careers?*
- *Are retired people managing on their pensions?*
- *Are disabled people getting the care they need?*
- *How is family life changing and what do people think about these changes?*

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

6.1.4 Maximising response

Remember that a friendly approach works best. Ask to call back if it's not a good time and you suspect that you might get a refusal if you push.

You may hear the following comments when you contact the sample member:

- "I've done my share"
- "I can never get everyone together at the same time"
- "Nothing has changed in my life"
- "The questions are too personal"

The following suggestions should provide some guidance on how to respond to these comments:

"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 survey would be less representative – everybody is different and cannot be replaced

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

- The household does not have to be done at the same time

"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

In some cases sample members will prefer to complete an interview in person, rather than over the telephone. If you are unable to achieve a phone interview with a sample member, but you judge that offering a face-to-face interview might get agreement then we are allowing you to offer this option. Some examples of when to offer this option are when sample members state the following:

“I don't like talking about my personal business over the phone”

“I don't like long phone calls”

“I'm happy to take part but would like to do it with my husband/wife around”

“I'm slightly deaf so don't like talking on the phone”

6.1.5 Survey Leaflet and Appointment Card

There are three versions of the branded survey leaflet. The generic version of the leaflet can be used when talking to sample members for the first time.



Versions of the survey leaflet

In order to accommodate the different incentive amounts (£5, £10 and £5 rising to £10) we have produced 3 versions of the survey leaflet plus a generic version. The 3 versions are worded slightly differently depending on the incentive amount the household has received.

Table 6.2 Versions of the survey leaflet:

Survey leaflet version	Incentive amount
A	£5
B	£10
C	£5 rising to £10

The version number is indicated on the back of the information leaflet (e.g. P2823/IP2/Information Leaflet/vA).

The version of the survey leaflet which the household will have received can be found on the dial screen. For example, if on the dial screen it said 'Leaflet: A', they would have received version A of the survey leaflet.

Generic information leaflet

As with the advance card we have produced a generic version of the survey leaflet for you to use when talking to respondents. The generic version refers to the sample members receiving an incentive for taking part but they does not specify the amount that they are given.

It is **very** important that you use the generic version of the survey leaflet when discussing the participation in the study with respondents. Otherwise, sample members may query why they, for example, only received a £5 gift voucher in their advance mailing but that the leaflet they were given refers to a £10 voucher.

The generic survey leaflet has been laminated so that it can be used throughout the fieldwork period.

6.1.6 Using the documents

There are 3 documents with information about the survey namely the Advance Card, the Information Leaflet and the Participant Handbook, and these have been designed so that they contain increasing detail about *Understanding Society*, and will be given to participants at Stages 1 (advance materials) and 2 (after the interview).

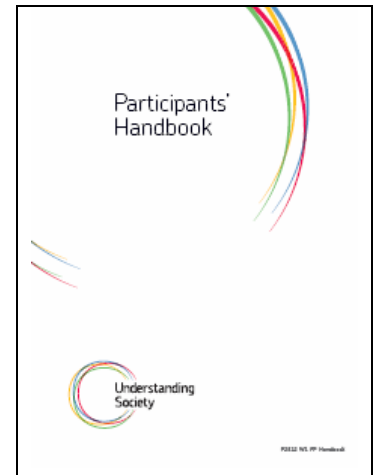
Advance Card



Survey Leaflet



Participants Handbook



6.2 Keeping in touch

In order to keep in touch with sample members between waves of *Understanding Society* we have developed a number of different keeping in touch activities, such as the participant website and participant report mailing.

6.2.1 Participant website

The website provides sample members with more information about the study and allows them to sign up for events and to receive updates from *Understanding Society*. It also allows them to tell us if their circumstances change (for example, if they move house).

The participant website can be found at <http://participants.understandingsociety.org.uk/>

6.2.2 Participant report mailing

Following IP1, sample members were sent a newsletter in November 2008 containing findings from the study. The aim of the newsletter was to include sample members in the bigger picture and to share with them some of the things that we have learnt so far in the study.

7 Tracing sample members

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

Any IP1 sample member who has moved address will be followed to their new address for interview with the exception of those who have moved outside the UK and those who are in prison. Those who have moved out of the UK are not eligible for interview at this wave but remain potentially eligible sample members should they return to the UK at a later wave.

Note that a mover may be a child aged under 16 who moves without any other adult sample member from IP1. These children should be followed to their new address and any eligible adult at the new address should be interviewed. For example, a child may move to live with a grandparent. The grandparent would be eligible for interview even if our sample child is too young for interview.

As a matter of course you should try and establish whether any sample member has moved.

If you identify a mover (either a split-household or whole household) we would like you to use the AFD (a telephone number lookup directory/other resources if there are problems with the issued telephone number) to obtain the telephone number of the mover. If you are able to obtain a telephone number we would like you to make contact with the mover.

If you are able to gain an address but no telephone number, this case will be transferred to face-to-face.

If you are unable to obtain a telephone number for the mover we would like you to phone the “stable contact”. At the previous interview, field interviewers were asked to collect details for someone (“the stable contact”) outside the household they could contact if the sample member has moved address and we couldn’t find them. In addition to the tracing procedures outline above ISER will contact sample members by e-mail and any responses will be sent to Brentwood so that they can contact you.

If none of the above result in finding the household then the case will be issued to field interviewers.

7.1 Institutions

IP1 sample members who have moved into an institution remain eligible for interview at their new institutional address. Others living in the institution are not eligible for interview.

The exception is those who have moved to prison. These sample members may be coded as temporarily absent members of the household if the address is still considered their main residence but we are not attempting to interview those in prison. If a split-off mover to prison no longer has the issued address as their main residence, a new household should be created for them (speak to your supervisor) and they should be coded as ineligible for this wave i.e. they are treated as a mover but not interviewed.

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.

If a young person has left a 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 live there. If they have moved into private accommodation, interview the sample member plus all others who are resident.

Obtaining an interview in an institution

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

Sometimes you may need to speak to the warden (or equivalent) before you can speak directly to the sample member. 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.

If a warden (or equivalent) asks you for a written description/confirmation of the project, again please contact the *Understanding Society* Unit in Brentwood and a researcher will write this on your behalf. We have decided that letters will not be written in advance as each individual's circumstances will vary. Where a sample member has moved to a care home (or similar environment), it may be helpful and reassuring if a family member of the person you are interviewing can be present whilst you administer the interview (if possible). If the person is unable to complete a full interview (due to a language or disability issue) we would like you to complete a proxy interview with a suitable adult.

8 The Interview

8.1 Overview of data collection instruments

The data collection instruments are:

- 15 min (average) CATI household grid and questionnaire (including the enumeration of the household);
- 32.5 min (average) Individual Adult CATI questionnaire for all adults aged 16+;
- 10 min (average) CATI proxy questionnaire; and
- 10 min (average) Youth Child CAWI Self-Completion questionnaire for all aged 10-15 or a paper questionnaire if they have not done it on-line by the time you make contact.

The household questionnaire will vary in length from the average because larger households will take longer to enumerate and single person households less time to enumerate. The enumeration of the household will take 5 minutes on average and then there are approximately 10 minutes of questions for the household.

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

8.2 Eligibility and proxy interviews

All members of the household fed forward from wave 1 are sample members and eligible for interview if they are aged 16 or over or are aged 10 – 15 years. You may also find new members have joined the household since wave 1. Their eligibility for inclusion as a household resident are:

1. Normal household residency rules (using the standard household definition)
2. Temporarily absent household members (at boarding school , in hospital)
3. Temporarily absent household members (working away)

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

The proxy interview should be carried out with a nominated proxy, a close relative, or another adult in the household who knows the respondent well.

8.2.1 Normal household residents

To work out who should/shouldn't be included in a household, you need to be clear about the household definition we use:

“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 a 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 a main meal.

Sharing living accommodation:

- Living accommodation in this case is defined as a living room or sitting room.
- This also includes addresses where there is no living room separate from the kitchen; i.e. if it forms part of the same room.
- A household can also be treated as one if the living room also has to be 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/bedsitter 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, flatlet houses, or separate annexes where the parent occasionally also uses the family living room.

General points to note:

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

Normal household residents would also include:

- children (of any age) normally living there but temporarily away on a short course or temporary job likely to last less than 6 months;
- au pairs on long-term engagements in households (6 months or more);
- anyone who has been living at the household continuously for six 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 resident at the address (except for those who are ‘absent’ – see below): in some cases the main residence will not be in this country.

Apart from these cases, the question of whether or not the address is the main residence should be decided by the respondent.

8.2.2 Absent household members

We will also be including people in the survey who are normally resident members of the household but are away at boarding school .

Note that students living in private housing when away studying were not included at Wave 1 as all private addresses had their own chance of selection into the sample. Those students who are listed members at a household but have subsequently moved into private addresses at university or into halls of residence at college or University should be interviewed at their new address (“split-off” household).

8.2.3 Other absent household members

We will also be including people who are normally resident members but are presently working away. This may include:

- 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).

8.2.4 Non-resident household members (New Entrants):

We will not be including as eligible new entrant:

- persons 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.

8.3 Spelling of names, addresses etc.

As *Understanding Society* is a longitudinal survey and we will be contacting and visiting respondents on a yearly basis, it is very important to spell ALL names correctly in the household grid, particularly their surnames. Similarly, you must ensure that addresses and job titles are spelt correctly.

For each sample member you should check that their details collected at the previous interview are still correct and the CATI will prompt you to do this.

8.4 Contact details

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

For each respondent you should check that the contact details collected at the previous interview are still correct and collect details for all new entrants to the household. For new entrants we want to collect details of any personal numbers for both mobile and landline phones, and email addresses. If a respondent is adamant that they don't want to be contacted again then there is a code to use in the CATI at the point that contact details are collected.

You also need to check the stable contact given by each interviewed respondent has not changed and obtain a stable contact for each new entrant. Although this may appear to be time consuming, it is less onerous than taking more time to trace a respondent when they have moved.

8.5 Collecting details about respondents jobs

For *Understanding Society* there is a requirement to code the Standard Industrial Classification (SIC) to 4 digits rather than the standard 2. The standard two digit code is a broad based classification – in a 4-digit code it uses the standard first 2 digits and the 3rd and 4th digit provide the detail which we need to collect in order to meet the coding requirements of this study

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 “works in shop” – we need to know what kind of shop, **so probing is essential**.

For example, if someone works in clothing manufacture – the table 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 is made of the most. Note that you need to record what the organisation they work for makes, not just what they make. If they can't tell you, write in everything they make and what they make it with.

If they manufacture clothing for men, women and children the difference in the detail is illustrated below:

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

Similarly for teaching from the table below you can see that just knowing that someone teaches in secondary education is not sufficient, so more probing would be needed to determine what types of subjects and qualifications are taught.

	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

The job description the sample member gave at IP1 will be fed forward in the IP2 questionnaire and you will be asking them to check that it is still correct. If it has changed, you should amend this. If there are new household members you will be required to record their job description as above.

8.6 Consent forms

We are asking for consent to link to both health and educational administrative records for adults and for children. At IP1 respondents were asked for their consent to link to educational and benefit administrative records. Where respondents did provide education linkage consent they will not be asked to do so again at IP2. Where respondents did not give consent, they will be asked to do so at IP2.

In the CATI interview respondents will be asked for their consent verbally. As we require written consent, we will be sending hard copies of the consent forms to those who agree to have their survey responses linked to the records. When prompted in the CATI, you will need to transfer the relevant information on to the consent forms, and following the interview, pass the form onto the Ops department who will send the forms out to the sample member.

Consent for linking for children will be obtained from their responsible adult, and consent for several children can be collected on one form. If a child's natural mother is in the household, she is defined as the responsible adult. If not, then the child's natural father becomes the responsible adult if they are in the household. If a child has no natural parents in the household, the interviewer will be asked to record who is the responsible adult during the enumeration of the household.

For your reference, the first two consents asked for are for linking to health records, blue is for adults and yellow for children. Consent forms are those used at Wave 1 of the study and therefore do not refer to IP2.

OFFICE COPY
return to Bristol and
Consent Form A

Understanding Society

Adding information from administrative health records - adults (16+)

Please read this form and sign below if you give your permission for us to add information from health records to your survey responses. It is completely up to you which permissions you choose to give. You can withdraw your permission at any time in the future.

I have received a leaflet explaining what information held by the National Health Service and related agencies may be added to the survey and how it would be used. I have had the opportunity to ask questions.

Please place a tick in the boxes to indicate that you give permission ☒

HEALTH DATA

I authorise the National Health Service, the Department of Health, the General Registration Office and the Office for National Statistics to disclose to the organisation responsible for this survey information about my health treatment and use of health services for future research studies of the frequency, causes, treatment or outcome of diseases and health conditions.

YES ☐ NO ☐

FOLLOW-UP ON HEALTH REGISTRATION

I authorise the organisation responsible for this survey to obtain information about my National Health Service registration from the National Health Service Central Register, and to follow my registration and health status.

YES ☐ NO ☐

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 852 or by writing to Freepost: R8000-RSKJ-JGAS, Understanding Society, University of Essex, Wivenhoe Park, Chelchester, CO4 3SQ

Sign: _____ Date: _____

Print name: _____

Thank-you!

Post Box _____ Address _____ M1 No _____ P Box _____ Date _____

Level 3-Responsible Confidential Nelson 125-135 Kings Road, Broomfield, Essex CM4 4LN, PO BOX 1, Understanding Society, UNW15

Transfer SN from CATI here. Note that the check letter is different for each individual in the household.

OFFICE COPY
return to Bristol and
Consent Form B

Understanding Society

Adding information from administrative health records - children (0-15 yrs)

Please read this form and sign below if you give your permission for us to add information from health records to your children's survey responses. It is completely up to you which permissions you choose to give. You can withdraw your permission at any time in the future.

I have received a leaflet explaining what information held by the National Health Service and related agencies may be added to the survey and how it would be used. I have had the opportunity to ask questions.

HEALTH DATA

I authorise the National Health Service, the Department of Health, the General Registration Office and the Office for National Statistics to disclose to the organisation responsible for this survey information about my child's health treatment and use of health services for future research studies of the frequency, causes, treatment or outcome of diseases and health conditions.

FOLLOW-UP ON HEALTH REGISTRATION

I authorise the organisation responsible for this survey to obtain information about my child's National Health Service registration from the National Health Service Central Registers, and to follow my child's registration and health status.

Please place a tick in the boxes to indicate that you give permission ☒

Child	First Name	Last Name	DOB	DOB dd/mm/yy	Health Data	Health Data	Follow-up on Health Registration	Follow-up on Health Registration
					YES	NO	YES	NO
Child 1				/ /				
Child 2				/ /				
Child 3				/ /				
Child 4				/ /				

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 852 or by writing to Freepost: R8000-RSKJ-JGAS, Understanding Society, University of Essex, Wivenhoe Park, Chelchester, CO4 3SQ

Sign: _____ Date: _____

Print name: _____

Thank-you!

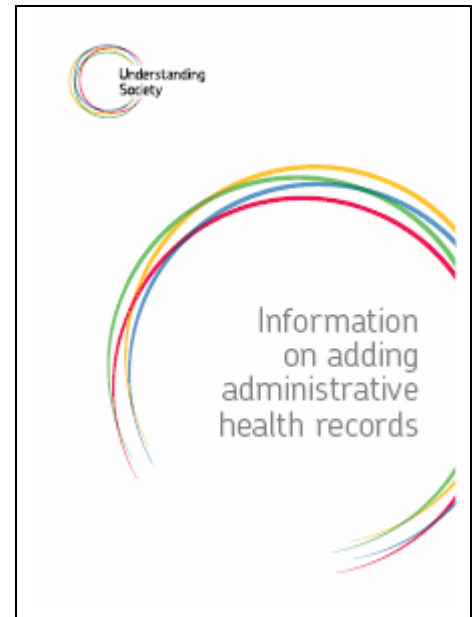
Post Box _____ Address _____ M1 No _____ P Box _____ Date _____

Level 3-Responsible Confidential Nelson 125-135 Kings Road, Broomfield, Essex CM4 4LN, PO BOX 1, Understanding Society, UNW15

For children's consent, transfer details about each child from the CATI to here, and also the SN from CATI at bottom of the form.

Respondents will also be sent leaflets, along with the relevant consent forms, which explain exactly which health and educational records we are linking. In summary these records are:

- Hospital admission and attendance;
- Information about specific conditions such as cancer or diabetes;
- Prescriptions;
- Where respondents are registered;
- Mortality records.



The second set of consents are for linking to educational records, although note that consent for adults is only for those aged 16-24 who went to school in the UK. There is an equivalent information leaflet for linking to educational records which should be given to the respondent. Links would be made to:

- National tests and formal assessments e.g. SATS/GCSEs/Standard Grades
- Basic information on pupils e.g. demographic characteristics or Special Educational Needs
- Courses taken.

The pink consent form is for adults and the green one is for children.



OFFICE COPY
return to Brentwood
Consent Form C

Adding information from administrative education records – adults (16-24)

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

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

Please place a tick in the boxes to indicate that you give permission ☒

EDUCATION DATA	YES	NO
I authorise the English Department for Children, Schools and Families, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my educational records.	☐	☐

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 850 or by writing to Freepost: R800-NKU-JKAS, Understanding Society, University of Essex, Wivenhoe Park, Chelchester, CO4 3SQ

Sign: Date:

Print name:

Thank-you!

Post Box
Address
Post Box
Post Box
Post Box

☐
☐
☐
☐
☐

Level 3: Respondent Confidential NoCen: 100-100 Kings Road, Brentwood, Essex CM16 4LJ, P1002 Understanding Society Unit W1



OFFICE COPY
return to Brentwood
Consent Form B

Adding information from administrative education records – children (4-15 yrs)

Please read this form and sign below if you give your permission for us to add information from education records to your child(ren)'s survey responses. You can withdraw your permission at any time in the future.

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

Please place a tick in the boxes to indicate that you give permission ☒

EDUCATION DATA (children aged 4-15 only)	YES	NO
I authorise the English Department for Children, Schools and Families, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my child's educational records.	☐	☐

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 850 or by writing to Freepost: R800-NKU-JKAS, Understanding Society, University of Essex, Wivenhoe Park, Chelchester, CO4 3SQ

Sign: Date:

Print name:

Thank-you!

Post Box
Address
Post Box
Post Box
Post Box

☐
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Level 3: Respondent Confidential NoCen: 100-100 Kings Road, Brentwood, Essex CM16 4LJ, P1002 Understanding Society Unit W1

The CATI screen will tell you which consent forms need to be sent out and will provide details of what you need to transfer onto the consent forms.

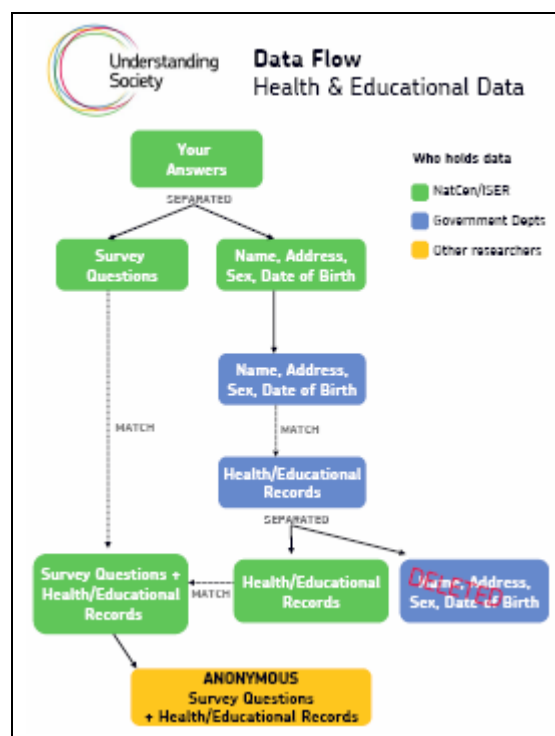
All forms are printed in carbon copy. The top copy is to be sent back to Brentwood and the bottom copy is to be kept by the respondent.

Rising 16s

For children who were aged 15 at IP1 and have now turned 16, so are eligible for an adult interview, you will be asking them for their consent directly at this wave even if their parent gave consent on their behalf at IP1.

Consent flowchart

Respondents will also be sent a Consent flowchart which shows how we link to their health and educational data and what happens to the data once we have linked to it. Its purpose is to reassure respondents about the confidentiality and anonymity of the data and to help explain to respondents how their data is anonymised. If you believe it will be helpful in gaining consent, please explain the flowchart to respondents when asking for their consent.



For your information, the flowchart can be explained in the following way:

- Colours have been used on the flowchart to explain who holds the data.
- When you answer the questionnaire, your answers are split into your personal information (name, address etc), and the answers to the survey questions.
- The personal information is transferred to the relevant government dept, and matched onto records held there.
- The full records (i.e. personal information together with records held by the government) are then transferred back to NatCen, who match them with the survey data to get a full data set.
- In the final stage, personal information is split off from the rest of the data, so that the respondents' data is completely anonymised, before it can be used by other researchers.

8.7 Change of address cards



We will be returning to the IP2 sample at wave 3, so we do need to know whether people move address. Change of address cards, along with a University of Essex freepost envelope to return them in, will be sent out to households following the CATI interview.

Respondents will receive a £5 voucher if they send in a change of address card.

Thank you for taking part in Understanding Society this year. Your continuing participation is very important to us. Please let us know if you move by calling us on Freephone 0800 252 853 or returning this card in the Freepost envelope (no stamp needed). To say thank-you we will send you a £5 voucher.

MOVING FROM...

Surname: _____

First Name(s): _____

New Address: _____

Postcode: _____

Date of move: _____

MOVING TO...

Surname: _____

First Name(s): _____

New Address: _____

Postcode: _____

Home phone (inc. STD code): _____

Mobile: _____

E-mail address: _____

Please let us know who will be living with you at your new address. Please list their full names below as we may like to ask them to take part in Understanding Society in the future. If possible, please provide their mobile number.

Name: _____

Mobile: _____

Name: _____

Mobile: _____

Name: _____

Mobile: _____

Name: _____

Mobile: _____

Printed on Freepost (Universal Postal Convention) envelope and 100% recycled paper

There is also a participant website where they can update their address details. The web address is on all the respondent materials www.understandingsociety.org.uk/participants

8.8 Child self-completion

In IP2 we are offering young people the opportunity to fill-in their self-completion questionnaire on-line. If a 10 to 15 year old was identified as living in a household at IP1, a password will have been included on the back of the advance card/letter which was sent to each adult living in the house who was interviewed at IP1. Each 10 to 15 year old will have received their own password. By sending the passwords in the advance mailing we hope that the majority of children will have filled-in their self-completion by the time you make contact with the household.

The youth questionnaire should take 10 to 15 minutes on average to complete and contains questions on health, behaviours, school, neighbourhood, families, hopes and concerns.

In the self-completion parallel block, you will be prompted to ask the responsible adult for each child (one adult can be responsible for more than one child) if their child has filled-in their self-completion. If they have not, the office will need to send out a paper version of the questionnaire for the sample member to fill-in. If the child says they would prefer to fill-in the questionnaire on-line and they still have the advance card/letter with their password on they can do this (we will not be reissuing new passwords). If they no longer have their passwords please ask them to fill-in the paper version. The same questions are asked in both the on-line and paper versions of the self-completion.

Paper version of the questionnaire for children aged 10 to 15

YOUR QUESTIONNAIRE

Your questionnaire

Self-completion questionnaire (10 – 15 yrs)

YOUR QUESTIONNAIRE

Patient No.	Gender	Date of Birth	Phone	Email

Please name:

Home No.

E-Mail



Understanding
Society

UCL
FRIEDMAN
SD-UKA

Accompanying the youth self-completion questionnaire will be a covering letter instructing youths on how to complete the questionnaire.

If the child has trouble understanding the questionnaire or any of the questions, they will be instructed to call Brentwood rather than ask their parents for help. The letter will also state that we guarantee confidentiality to the child and this promise cannot be broken. Therefore the responsible adult for a child should not see the questionnaire once it is completed

Parents are able to view an empty version of the on-line questionnaire at the following website: <http://youth.natcen.ac.uk> and details of this have been provided in the advance mailing.

You will need to record the outcome of the self-completion in the self-completion parallel block.

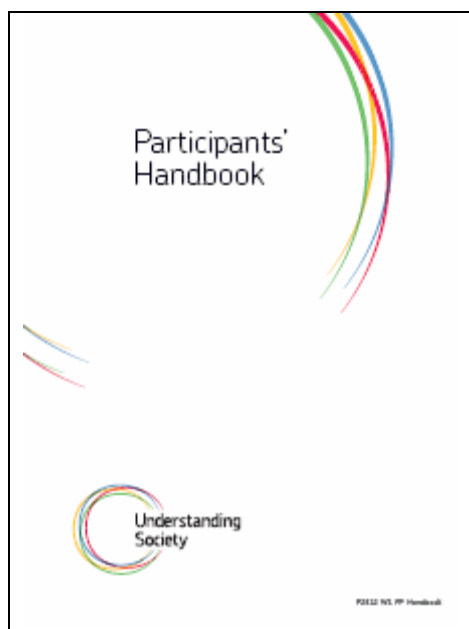
Following receipt of the child's self-completion, the office will send out their £3 gift voucher.

8.9 Participants Pack

Public Zone have designed a participant pack which has two main purposes – to act as somewhere people can store all their *Understanding Society* materials (e.g. copies of consent forms), and to appeal to “Include me” category participants. There is one pack for each **household** that takes part and these will be sent to the household at the end of the fieldwork period.

Participants’ Handbook

PublicZone have then created a much more detailed handbook explaining the reasons why we are carrying out *Understanding Society*. It also contains some information about how data from BHPS has been used previously, which gives respondents an idea of how their data might be used following their interview, and as noted earlier it could also be used to help sell the survey when you make your initial call (so please familiarise yourself with the content of this document). Its purpose is also to encourage people to remain part of the survey.



8.10 Thank you letters

At the end of the fieldwork period the office will send out a thank-you letter to all respondents who were interviewed.

9 CATI Interview

9.1 Help screens

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

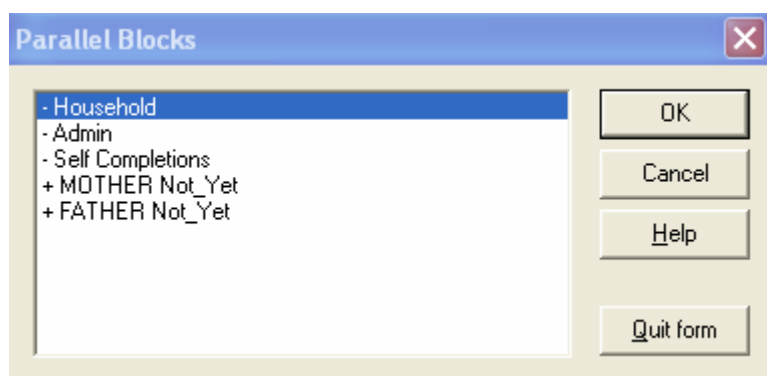
9.2 CATI Structure

There are several elements to the CATI questionnaire, which are covered in detail in this section. The CATI questionnaire is structured with 5 main parallel blocks that are:

- Household questionnaire
- Individual questionnaire (one block per adults aged 16+)
- Self-completions (one block covering all adults and all children 10-15 in household)
- Consent Help
- Admin

Parallel blocks:

When you access the parallel block screen, you will see that in addition to the household questionnaire (Household), the self-completion block and admin block that there is a block for each eligible adult along with his or her current status.



In the two person household in the example above, no interviewing has been done and MOTHER and FATHER are marked accordingly as Not_Yet. The example below shows how the status for each eligible adult changes as an interviewer progresses through interviewing a household. In this case, MOTHER has now been interviewed but FATHER has not.

9.3 Household grid and questionnaire

Ideally the household grid and questionnaire would be conducted with either the household reference person (HRP) or their spouse/partner. The HRP 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 in IP1 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. Also details of any members who have moved out of the household.

Checking the feed forward information from IP1 should take 5 minutes on average although this will vary considerably depending on household size.

The household questionnaire should take 10 minutes on average.

9.4 Individual CATI interviews

All adults aged 16 and over at the point at which the household is enumerated should complete an individual CATI interview, which should be **on average** 32.5 minutes.

9.4.1 Main topic areas

The main topic areas covered in the individual questionnaire are:

- Family, relationships, fertility, child-birth history;
- Health, disability and caring;
- Leisure, environment, transport, life satisfaction and voluntary work;
- Employment, finance and personal consumption;
- Ethnicity, religion, politics, environment; and,
- Beliefs, values and attitudes.

Please see **Appendix A** for information on benefits types that you need to familiarise yourself with.

9.4.2 Individual questionnaire overview

Below is a flow diagram which displays the modules included in the *Understanding Society* questionnaire at IP2 and the order in which respondents would receive them.

IP2 Individual Questionnaire Overview



P2823/IP2/Questionnaire Overview v1

9.5 Trigram search tool

At CATI 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:

- 1) Type any three letters into the look-up
- 2) A pop-up box of answer options (e.g. UK counties) will appear
- 3) In the bottom right of the pop up box the "alpha" and "trigram" should be displayed under the heading "key type", "alpha" should be ticked
- 4) Key "ALT + T" concurrently
- 5) "Trigram" should now be ticked, and this search option is now enabled. The screen will appear blank
- 6) Now type re-type (e.g. L-O-N, and "Greater London" will appear)

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

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

9.6 Consent

If respondents verbally consent to linking to their health and/or education records, they will be sent a copy of the consent forms and information leaflets by the office. These forms will need to be prepared. Respondents will be asked to complete the forms and return them to the office.

The CATI screen will provide you with the information you will need to read out to the respondent. You must then code the outcome for each adult in turn.

The CATI screen will also tell you which information you need to copy across onto the relevant consent forms before passing these onto interviewers.

For adult consent forms, the serial number, person number and check letter MUST be transferred from the introductory consent screen onto the consent form.

For youth consent forms each child's name, person identification number and date of birth must be transferred onto the consent form. You must then code the outcome for this consent for each child individually.

The health consent asks for permission to link to two different types of consent: health data and follow-up on health registration (from the NHSCR). You must code the outcome for consent to link to the health data for this respondent. You will be asked separately whether respondents gave permission to link to health data and follow-up on health registration.

9.6.1 Self-completion

Self-completions are recorded in a separate parallel block. There are only self-completions for youths at IP2, not for adults.

The first screen in the self-completion parallel block lists the serial numbers for all 10–15 year olds. If the child has **not** filled-in their self-completion on-line, you will need to transfer this information onto the front of a paper questionnaire and pass the form onto the office who will send this out to the appropriate child. You will need to transfer the household serial number, person number and person check letter onto the front of the self-completion, as shown in the example: Note that the check letter is not the same as the check letter on the dial screen – always copy this information from the CATI.

A covering letter sent by the office will instruct the child to put their self-completion back in the envelope and to seal the envelope once they have finished. The child should then transfer the plain envelope containing the self-completion to the freepost envelope (also sent by the office) which is addressed to Poole (where they will go to be scanned).

When you know the outcome of the self-completion, you should record whether the child completed, refused or filled-in the questionnaire online. You can code 3 if you need to skip to another person in the household. If you do this, you will need to return to this screen at a later point to code whether the questionnaire for each respondent was completed or not. You will also be asked to add an outcome code if the respondent refused to complete the questionnaire.

As soon as the office has received the youth self-completion questionnaire they will send out the £3 incentive to the young person.

9.7 Unproductive and proxy interviews

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

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

9.8 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 the interview, re-enter the individual parallel block, press <End> and check whether there are any final questions that need to be completed. If the interview is partial

you will see some warnings which encourage you to complete the interview but you will be able to continue by suppressing any checks, nevertheless. If it is not possible to complete a full interview then you can ensure you have an outcome code for each individual by going into each individual's block and recording an unproductive outcome.

9.9 Interviewer notes

As this is a longitudinal survey there is a question in the admin block for recording interviewer notes about contacting the household. As the household will be re-contacted at a later wave of the survey this information will be fed back to the interviewer who visits/calls the household at this 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 contact. This could include things such as good times of day to call, the best method of contacting (i.e. landline, workline, mobile) or information about the address location. Remember to include appropriate information. For example, it is helpful to say 'the respondent expressed a strong dissatisfaction with the length of the interview' but it is not acceptable (or helpful) to say 'nasty lady', 'horrible family'.

10 Appreciating cultural diversity

10.1 Introduction

Britain's society is multi-cultural and multi-faith. We need to ensure that the people you speak to during the course of briefings, assignments and other NatCen activities, are treated equally, fairly and with appropriate consideration – whatever their race, gender, sexuality, age, disability, nationality or religion. Treating people 'all the same' is not the same thing as treating people equally.

Each community, each cultural or faith group you may come into contact with is composed of individuals who will also have preferences and needs which are personal to them alone. It is always important in every interview to be alert to any indications that you may have caused offence, to be sensitive to how people are responding to you, and to ask if you are unsure about something.

10.2 Naming systems

Naming systems, usage and traditions differ between cultures and religions; customs within a community may change over time and usage acceptable to one generation may be less so to another.

- Never ask respondents for their “Christian name” – ask for a “first” name and then for “other” names.
- Ask each member of a household individually for this information rather than assume there is any shared family or religious name. Children may not necessarily share any name with their parents and people within the same family may also have different spelling of last names e.g., Macpherson and McPherson. The use of capitals and non capitals is important to people's identity.
- Many respondents will be aware of the naming system generally used in the U.K. They will have come across forms in hospitals, schools and elsewhere and are likely to have evolved a way of adapting their own naming system.
- The CATI interview will, in most cases, automatically use the respondent's first name to precede questions. This may not be the most appropriate name to use during the interview and older people, particularly, may feel it is too familiar, so check with the individual concerned.
- Be careful not to assume anything about a respondent's background and/or beliefs from their name; this could be construed as racism and is wholly unacceptable.

10.3 Religion and community

Some communities are based upon a shared faith; others have a shared tradition, background and culture in which beliefs may be mixed. In areas where you are aware there is a strong faith-based culture, and this is not one with which you are familiar, it can be helpful to be aware of major festivals and days of worship and plan your calls accordingly.

The most significant dates in the Christian calendar, Easter and Christmas, are easy to identify since they are public holidays. Be aware, however, that the Greek Orthodox Easter differs from the Protestant/Catholic Easter. For other significant religious dates you can look at: [http:// www.bbc.co.uk/religion/tools/calendar/](http://www.bbc.co.uk/religion/tools/calendar/).

During the Muslim fasting month of Ramadan you should avoid calling for one to two hours immediately after sunset when those who have fasted through the day will be eating.

10.4 Household composition and marital status

Shared accommodation, same sex parenting and extended family households can all make identifying relationships difficult and mean that you should always be sensitive in asking about relationships.

- Don't comment on any relationship that you find, however unusual it may seem to you.
- Always record relationships as given, making a note in the CATI data if the survey program does not permit you to do this.
- With extended families living close together it can sometimes be difficult to be sure who is permanently resident at an address. It is important to record information that is as accurate as possible but ensure that you probe sensitively to avoid causing suspicion and concern.
- Parents living separately may have joint custody of their children who divide time between two households. Subject to survey-specific instructions which may differ, the child's main residence is usually that where they have spent the most time in the last six months.

10.5 Modesty and respect

Difficulties may sometimes arise because your gender differs from that of a respondent. This can happen whether your cultural background is the same or different. **Do not assume there will be a problem**, individuals within any culture or of any faith may differ greatly in what they find comfortable and acceptable within the interview situation, for example, men may be reluctant to speak to a woman they do not know if this is not usual in their culture.

If you feel strongly that these issues will affect the success of the interview, or if the respondent (or someone speaking on their behalf) states this is the case then ask if they would prefer someone else to call. Respondents may feel it is discourteous to ask you if this is possible. Take care that you do this in terms that are inoffensive – “would you prefer a female interviewer” is acceptable; “would you prefer an ethnic interviewer” is not. Ask if the respondent would prefer “an interviewer from your community” or “an interviewer who speaks your first language”.

Some questions or topics may be less acceptable (or even considered offensive) in some communities or cultures, or respondent age groups, you should avoid making assumptions about this.

- Questions about alcohol and smoking may be felt to be offensive by those whose beliefs prohibit use.
- Problems may also arise in some contexts in asking questions on other topics such as health, crime or relationships.

It is important that these questions are still asked but you must do so sensitively and be ready to explain that in a survey they need to be asked of everyone. You may also explain that every respondent has the right not to answer a question if they are unhappy to do so.

11 Briefing pack contents

Document	Format	Briefing
Advance cards A1-I1	Card	0
Generic advance card	Card	1
Advance letters A2-I2	A4 White	0
Generic advance letter	A4 letterhead	1
Envelope for advance card	C4	1
Envelope for advance letter	DL	1
Survey leaflet A (£5)	Card	0
Survey leaflet B (£10)	Card	0
Survey leaflet C (£5 rising to £10)	Card	0
Generic survey Information leaflet	Card	1
Consent form A (Adult health)	A4 Green	1
Consent form B (Child's health)	A4 Pink	1
Consent form C (Under 25 education)	A4 Blue	1
Consent form D (Child's education)	A4 Yellow	1
Health records information leaflet	A4 White	1
Education records information leaflet	A4 White	1
Consent flowchart	A4 White	1
Youth self-completion (briefing version)	A4 Black & White5	1
Youth self-completion	A5 Colour	0
Privacy envelope for self-completion – blank	A4	0
Poole pre-franked envelopes for self-completions	C4	1
CATI project instructions	A4	0
£5 Vouchers (per assignment)		
£3 vouchers (child self completion)		
Participants folder	A4 White folded card	1
Participants handbook	A4 White folded card	1
Pen		1
Change of address cards	White Card	1
Free post envelope for change of address cards	C4	1

12 Admin

12.1 Contact information if you have any further queries

Please speak with your supervisor if you have any questions about the study or the CATI program.

Appendix A Benefits Module Details

List of benefits that appear in Benefits Module with explanations:

BenPen NI Retirement Pension	For married couples, you should try to get the separate amount paid for the respondent rather than any joint amount. If the respondent is unable to separate it, show the whole amount received and record it as received jointly. If the wife is aged under 60 she will not be receiving a state pension in her own right. Therefore any NI pension income is solely the husband's. Retirement Pensions may have an earnings related supplement. This is normally paid on the same order book and should be included in the amount recorded.
BenPen Occupational Pensions from previous employers	Include all employer's pensions not just retirement pensions. Include pensions paid before retirement (i.e., a respondent may still be working for an employer but has become entitled to receive payments) and pensions paid for early retirement.
BenPen Pension from a spouse's previous employer	Women may also be receiving an occupational pension in respect of a deceased spouse: these should be recorded as 03. Check that any amount recorded is net of tax and other deductions. Do not include pensions from a Trade Union or Friendly Society unless the pension is received as a direct result of the respondent's employment by them.
BenPen Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance	Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.
Pension Credit	This is a means tested benefit paid to pensioners. They will not receive it unless they have applied for it and qualification is dependent on income and assets. Pension Credit has been paid since October 2004. There are two main elements. The Guarantee Credit is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The Saving Credit is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state pension.
BenDis/BenAl Severe Disablement Allowance	Is for people of working age who have not been able to work for at least 28 weeks but who cannot get Incapacity Benefit. Married women unable to perform household work may also receive it.
BenDis/BenAl Industrial Injury Disablement	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.

Allowance	
BenDis/BenAl Disability Living Allowance/ Care Component	Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will 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 <u>responsible adult</u> for the child. Where someone is 16 or over this should be recorded on person's own questionnaire.
BenDis/BenAl Disability Living Allowance Mobility Component	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
(BenDis/BenAl) Attendance Allowance	Paid to people who need high levels of care because of severe disability. Include Constant Attendance Allowance. If paid for a child under 16 include as mother's income, or if there is no mother then father/guardian.
BenDis/BenAl Carer's Allowance	Weekly paid benefit for people of working age who give up working to look after someone receiving Attendance Allowance. This was formerly known as the Invalid Care Allowance.
BenDis/BenAl War Disability Pension	Payable to members of the armed forces disabled in the 1914-18 war or after 2nd September 1939. Merchant seamen and civilians disabled in the Second World War are also eligible. The amount paid varies according to an individual's rank and the extent of the disability.
BenDis/BenAl Incapacity Benefit	This was introduced in April 1995. It replaced NI Sickness Benefit and Invalidity Benefit which officially do not exist any more. If a respondent reports receiving NI Sickness Benefit and/or Invalidity Benefit, code as Incapacity Benefit and record total amount received in grid.
BenSup/NFE/Btype Income Support	Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). The rate is assessed on the grounds of age and marital status with a flat-rate premium for children and special premiums for people such as lone parents, people with disabilities and pensioners. Income Support is often paid along with other benefits as a supplement. You should try, wherever possible, to record the amount of Income Support separately even in the case where it is paid with Job Seeker's Allowance or with a state pension. The specific amount paid as Income Support will usually be shown on the cover of the Benefit Order Book. Any maintenance payments from a former or separated spouse or for child support which are paid through the DWP or other government agencies, should not be included as Income Support or any other benefit.

BenSup Employment and Support Allowance	This is a new means tested benefit that will be replacing 'Incapacity Benefit' and 'Income Support (paid on incapacity grounds)' from the 27th October 2008. Anyone receiving Incapacity Benefit or Income Support (paid on incapacity grounds) at the change-over date will continue to receive those benefits, so long as they continue to satisfy the entitlement conditions. Customers 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.
BenSup/NFE/ BenUnemp Jobseeker's Allowance	This replaced Unemployment Benefit in October 1996. Those receiving JSA are capable of work and available for work and actively seeking work and have a current jobseeker's agreement with the Employment Service. Full-time students, those on temporary release from prison and those receiving maternity allowance or statutory maternity pay are not eligible for JSA.. There are two types of JSA - Contribution-based and Income-based. The Contribution-based component is paid in the first 26 weeks of unemployment if enough NI contributions have been paid. The Income-based component is a means-tested benefit (paid after 26 weeks for those who qualify for Contribution-based and pass the means-test).
BenSup Return to Work Credit	This is a payment for people starting work of at least 16 hours a week and earning no more than £15,000 per year. Recipients will have been receiving an incapacity benefit (including statutory sick pay) for 13 weeks immediately prior to starting work. It is payable for up to 52 weeks.
BenSup 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.
BenSup/NFF/Btype Child Benefit	Is normally paid to the mother (unless there is none in the household) and should be shown as her income. Where it is paid into a joint bank account the names of both account holders will be on the benefit order book. This should still be recorded as the mother's income. Child Benefit (Lone Parent) was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this.
BenSup/BenTax/ BenCTC Child Tax Credit	Introduced in April 2003 this is paid to those with at least one dependent child. Child Tax Credit is paid to the person responsible for the care of the child(ren) so can be received by one person only in the household. If the respondent qualifies for the childcare element of Working Tax Credit, this will always be paid with the Child Tax Credit, even if the respondent is not themselves in receipt of Working Tax Credit.
BenSup/BenTax Working Tax Credit	This replaced Working Families Tax Credit and the Disabled Person's Tax Credit in April 2003. It is paid to families with at least one dependent child or those with a disability who are working. In some cases it can be paid alongside JSA or income support for those not working. It is paid either as a tax credit through the respondent's pay check or as a direct benefit. It can also be paid as a lump sum covering a period of 26 weeks in some cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit.
BenSup/BenTax Disabled Person's Tax	This was replaced by Working Tax Credit from April 2003. It is paid to people with disabilities either in work or seeking work who are aged under 66. Any respondent claiming this should be coded as receiving the Working

Credit	Tax Credit.
BenSup/BenFam Maternity Allowance	A benefit which applies only to women not eligible for Statutory Maternity Pay. Usually women receiving Maternity Allowance will be either self-employed or will have recently changed jobs.
BenSup/NFG/BenHou Council Tax Housing Benefit /Rent Rebate	Is benefit paid to help with housing costs, either by the DWP or the Local Authority. Include here only if it is paid direct to therespondent. 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.
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 benefitalong with their housing benefit claim form. Obtain amount deducted and period covered. Do not include students who pay a reduced charge. If respondent is unable to give details of benefit received write details of amount he or she <u>actually</u> pays in a note, the amount deducted from the full charge (and the amount of that benefit) can then be calculated.
BenSup Other State Benefits, Allowance or Credit	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent WorkSearch Premium, Lone Parent in Work Credit, Child Maintenance Bonus, Child Maintenance Premium and Transitional Payments. 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. <u>Do not include:</u> 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 <u>not</u> YTS or ET Allowances which should be recorded as Other). Grants and scholarships may be provided by Local Authorities, the DfES, Research Councils, charities, prospective employers (e.g., companies or the Armed Forces), educational institutions, family trusts and a number of other bodies such as Trade Unions. Do not include Student Loans taken out by the respondent to cover their living expenses or fees. Do not include Top-Up Fee Bursaries as these are a type of interest free loan to be paid-back upon completion of a degree. Include here as an Educational Grant any payment from any source (other than from family members) which is intended to cover the living expenses or fees <u>over a period of time</u> of someone in full or part-time education specifically so they may undertake that education. Grants are often paid in a lump sum at the beginning of a term or quarter to cover that term or a quarter. If a grant was paid for a term record that at (d) as Other. Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.
BenPay/BenSta Trade Unions/ Friendly Societies	Include all payments from such bodies here with the exception of Educational Grants and Sickness or Accident Insurance. Include Strike Pay.

BenPay/BenFam/BenSta Maintenance/Alimony	Note that men and non-married women can receive such payments. In most cases such payments come direct but they may also come via a solicitor, a court or the DWP. If it is paid by the DWP, check it has not been included in any Income Support already mentioned. Code only if the respondent is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household. If a respondent receives payment for the support of a child, it should be recorded as such.
BenPay/BenFam/BenSta Regular payment from family members not living here	E.g., payment from a spouse working and living away from home, regular whether or not a payment is to be classed as 'regular'.
BenPay/Ben/Sta Rent from boarders or lodgers	Rent from accommodation let at respondent's address. However, do not include payments from boarders or lodgers who are part of the immediate family of the respondent. Do not include payments for keep from family members or rent from property outside the respondent's accommodation.
BenPay/BenFam Foster Allowance / Guardian Allowance	Any foster carer who is looking after a child may receive a "Foster Allowance" or "Fostering Allowance" from the local Authority. It is designed to cover the costs of caring for a foster child. Local authorities are allowed flexibility to decide their own systems of payment. A "Guardian Allowance" is a tax free payment to individuals bringing up a child whose biological or adoptive parents have died or is otherwise unavailable for their care (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
BenPay/BenSta/BenDis Sickness Accident Insurance	Include any payments to compensate for lost wages during time off work through sickness (but <u>not</u> one-off payments to meet specific expenses such as medical fees or the cost of glasses or false teeth etc).
BenPay/BenSta Other Regular Payment	Specify type of income and source. <u>Exclude</u> any payments from investments, stocks and shares, bonds and other interest payments (e.g., building society and bank savings accounts).

Appendix B Practice Serial Numbers

We have created 5 practice cases for you to practice on prior to your first interview. Each practice case has a different scenario so that you can get experience of interviewing households with different structures and of the various routes through the questionnaire.

Serial number	Scenario
9101011	3 persons, 2 of which are cohabiting.
9101021	Single elderly lady.
9101031	Married couple with 6 children.
9101211	Elderly lady with 2 children, 1 of which is unrelated.
9109161	Single mum with 5 children.

Appendix C Guidance for gaining consent for data linkage

IF THE RESPONDENT ASKS WHY WE WOULD WANT TO OBTAIN DATA FROM GOVERNMENT AND OTHER ADMINISTRATIVE AGENCIES

EXAMPLE FOR HEALTH RESEARCH

“By adding health information to the answers you have given in the survey, researchers can, for instance, examine how people’s lifestyle, or their children’s lifestyle, can have a positive effect on their health. To do this it is very important that they have an accurate and timely account of people’s health alongside information on the kind of things they do and experience.”

EXAMPLE FOR FLAGGING/TRACING

“The overall aim of our study is to survey people through as much of their lives as possible. Sometimes we lose touch with survey participants, for example because people move and forget to notify us. The National Health Service Central Registers could help us keep in touch. While your Health Authority is not legally allowed to provide us with your address, we would be able to send a letter to your Health Authority who would forward it to you.”

IF THE RESPONDENT ASKS FOR “MORE EXAMPLES OF DATA HELD BY THE GOVERNMENT DEPARTMENTS”

HEALTH DATA

IF IN ENGLAND

“Most of the data we want to obtain will be derived from a database called Hospital Episode Statistics and is held by the Department of Health. It stores information about all admissions to NHS hospitals in England. This includes, for instance, dates of admission, discharge or attendance, diagnoses received, treatments given, and surgical procedures.”

IF IN SCOTLAND

“Most of the data we want to obtain will be derived from a database called Scottish Morbidity Records and is held by the General Records Office. It stores information about all admissions to NHS hospitals in Scotland. This includes, for instance, dates of admission, discharge or attendance, diagnoses received, treatments given, and surgical procedures.”

IF IN WALES

“Most of the data we want to obtain will be derived from a database called Patient Episode Database and is held by Health Solutions Wales, an agency of the Welsh NHS. It stores information about all admissions to NHS hospitals in Wales. This includes, for instance, dates of admission, discharge or attendance, diagnoses received, treatments given, and surgical procedures.”

IF IN NORTHERN IRELAND

“Most of the data we want to obtain will be derived from a database called Hospital Statistics Northern Ireland and is held by the Department of Health, Social Services and Public Safety, Northern Ireland. It stores information about all admissions to NHS hospitals. This includes, for instance, dates of admission, discharge or attendance, diagnoses received, treatments given, and surgical procedures.”

FLAGGING/TRACING DATA

“The National Health Service Central Registers hold the address information for GP registrations. While we are not allowed legally to obtain your address through this register, we could arrange that a letter be sent to you on our behalf.

The register also records if NHS patients have been diagnosed with cancer or have passed away. By using the NHS Central Registers we can obtain this information without bothering you or your nearest kin. The information is extremely valuable for medical studies examining causes of death.”

IF THE RESPONDENT ASKS ABOUT THE CONSEQUENCES OF SAYING “YES”

“Like everything else you have told us, this information will be treated in strict confidence and will be used solely for statistical research purposes. Taking part in this study will not affect your or your child’s future dealings with the parties holding the information. If you decided at a later date to withdraw your permission to obtain this information from these sources, no further information will be obtained”

IF THE RESPONDENT ASKS HOW THE LINK WILL BE DONE

FOR RESPONDENT’S RECORD LINKAGE

“To add administrative information to your survey answers, we will pass a limited amount of information about you including your name, address, sex and date of birth to the government departments and agencies holding the information. They will not receive any of the information you have provided in the survey other than what is absolutely necessary to identify your information. The departments will be legally bound to delete all information we give them to identify your record. They will return to us the information they hold in their

records about you. We will add this information to the survey answers you have already given us. The information will be in numeric form and used for statistical analysis only.”

FOR CHILD RECORD LINKAGE

“To add administrative information to the information you have provided on your child, we will pass a limited amount of information about your child including his/her name, address, sex and date of birth to the government departments and agencies holding the information. They will not receive any of the information provided in the survey other than what is absolutely necessary to identify your child’s record. The departments will be legally bound to delete all information we provide to them to identify your child’s record.”

IF THE RESPONDENT ASKS ABOUT RECENT “ACCIDENTAL LOSS OF DATA” OR “THE CHILD BENEFIT SCANDAL”

“We are very security conscious and only a small number of authorised staff have password protected access to your personal details. The information we need to exchange with the government departments and agencies will be sent using the most up-to-date secure data transfer protocols. We will not send any personal details that are not absolutely necessary to identify your or your child’s administrative records. Your survey membership number will not be included in the information that we send so there is no possibility your survey answers could be linked to anything held by a government department. Your personal details will be removed from the combined information before it is returned to us.”

IF THE RESPONDENT THINKS THIS IS ALL TOO MUCH LIKE “BIG BROTHER”

“Combining administrative information with survey data makes possible a great deal of research that otherwise would not be possible and means we do not have to ask many more detailed questions in the interview.

The information we add from other sources will never be used to identify any individual or family. Data will only be used for statistical analysis and names and addresses will not be included.”

IF THE RESPONDENT ASKS ABOUT THE DURATION OF CONSENT

“We would like to add information relating to your present, past and future circumstances. We are not putting an expiry date to this consent as we do not know exactly when we will obtain and add the information. We will remind you regularly of the permissions you have given, and you are free to withdraw your consent at any time. ”

IF THE RESPONDENT IS CONCERNED ABOUT “GIVING CONSENT FOR CHILD” AND ITS DURATION

“We would like to add information on your child(ren) from birth up to age 16. We need to seek parental consent to collect information on your children aged below 16. We understand that some children would be able to make this decision on their own behalf. You should make the decision that represents your child’s wishes and best interests. You could discuss this with your child, and you can withdraw your consent at any time. Once your child reaches the age of 16 we will ask your child directly.”