Understanding Society Innovation Panel Wave 9

Technical Report

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Contents

1. Introduction

1.1 Background

This report provides an account of the ninth wave of the Innovation Panel (IP9) of Understanding Society.

The UK Household Longitudinal Study (UKHLS) is known to sample members as *Understanding Society*. This major longitudinal household panel survey started in 2009, and is the largest study of its kind, with around 40,000 households interviewed at Wave 1. The study collects data from household members aged 10 and above on an annual basis.

It is commissioned by the Economic and Social Research Council (ESRC) and led by the Institute for Social and Economic Research (ISER) at the University of Essex.

Main fieldwork is complemented by an **Innovation Panel** which tests significant innovations in methods of data collection and study delivery such as multi-mode interviewing, differential incentives, question layout and question wording experiments.

2. Overview of the survey design

2.1 Who is interviewed?

The Innovation Panel is a longitudinal household survey representing households in Britain. Northern Ireland is not included. Adults aged 16 and over are interviewed in full while children aged 10 to 15 are asked to complete a shorter self-completion questionnaire booklet.

Individuals can be an Original Sample Member (OSM), Permanent Sample Member (PSM) or Temporary Sample Member (PSM):

- **Original Sample Member (OSM)** – All individuals who were part of a household when it was first selected for the study. In addition, children born to a female OSM are themselves designated OSMs.
- **Permanent Sample Member (PSM)** – Men who have fathered a child with a female OSM, but were not part of the original sample. PSMs are treated in the same ways as OSMs.
- **Temporary Sample Member (TSM)** – Individuals who were not originally in the study but formed part of a household with an OSM or PSM at a later stage.

All members of households containing at least one Original Sample Members or Permanent Sample Members are enumerated. Temporary Sample Members are eligible for interview only if they currently live with an OSM or PSM.

2.2 What data are collected?

There are a number of components to data collection on the Innovation Panel:

- **Household grid** – completed by an adult in the household; this collects basic information about who lives in the household.
- **Household questionnaire** – completed by the household bill-payer or his/her spouse/partner (or an appropriate person at the interviewer's discretion); this covers a wide range of household-level information including energy consumption, household expenditure and measures of material deprivation.
- **Individual questionnaire** – completed by each individual in the household aged 16 and over; this questionnaire covers subjects including employment and education, health, finances and relationships. For face-to-face interviews, the individual questionnaire includes a **CASI** section (Computer Assisted Self Interviewing) where the interviewer is required to pass the laptop to the respondent to complete these sections independently.
- **Youth self-completion booklet –** completed by household members aged 10 to 15.

- **Proxy interviews** - where a household member is unable to participate during the fieldwork period, a proxy interview can be undertaken by the interviewer with another household member.

2.3 Mixed-mode design

As in previous waves since IP5, the fieldwork design is driven by a sequential mixed mode experiment where households are allocated to either CAPI-first or WEB-first groups.

There were three phases of fieldwork (see Table 2.1):

- Phase 1: An initial **online only** period;
- Phase 2: The main period of **face-to-face** interviewing;
- Phase 3: A mop-up period for any outstanding cases conducted **online** or by **telephone**.

Table 2.1: Phases of fieldwork design

	Phase 1: Online only	**Phase 2: Face-to-face interviewing**	**Phase 3: Online / Telephone mop-up**
	May 2016	June –September 2016	Late September 2016
WEB-first households	Invited to complete **online**	Incomplete cases invited to complete **face-to-face**	Incomplete cases invited to complete **online** or by **telephone**
CAPI-first households	-	Invited to complete **face-to-face**	Incomplete cases invited to complete **online** or by **telephone**

2.3.1 Phase 1: Online only (4 weeks)

Respondents in the WEB-first households were initially approached via email and letter and asked to complete the survey online. At the end of the initial online only period, any respondents who had neither completed their survey nor informed us that they did not want to take the survey were given the opportunity to take part face-to-face with an interviewer.

2.3.2 Phase 2: Face-to-face interviewing (14 weeks)

At the end of phase 1, letters were sent to all adult sample members in CAPI-first households inviting them to take part in the study and informing them that a field interviewer would soon be in touch with them. In addition, individuals in

the WEB-first sample who had not completed online were sent a letter informing them that they would now be able to take part face-to-face and that a field interviewer would soon be in contact.

Interviewers then began making contact with all households in their assignments – both CAPI-first and incomplete WEB-first cases. Individuals in these households were approached for a face-to-face interview.

Throughout phase 2, the survey was still available online for any individuals in WEB-first households who preferred to take part online. Additionally, some individuals in the CAPI-first sample group requested to complete the survey online. In these cases, respondents were given their login details and allowed to take part online.

2.3.3 Phase 3: Online / Telephone mop-up (2 weeks)

Any individuals who had still not participated by the end of the fieldwork period were included in the final mop-up phase. All respondents at this stage had the option of completing online. In addition, a team of field interviewers invited respondents to take part via telephone. Face-to-face fieldwork was also permitted to continue where it was felt the additional period would generate further interviews, for example, where appointments had already been arranged.

2.4 Data collection timetable

Data collection ran from early May to the end of September. The timing and dates for the three phases is shown below (Table 2.2).

Table 2.2: Data collection timetable

Data collection stage	Date	Mode	Sample group
Phase 1			
Start of CAWI interviewing	11th May 2016	Online only	All WEB-first households
Phase 2			
Start of CAPI interviewing	8th June 2016	Face-to-face and online	All CAPI-first households and outstanding WEB-first cases
Phase 3			
Mop-up	16th September 2016	Face-to-face, online and telephone	All outstanding cases
End of fieldwork	30th September 2016		

3. Sampling

3.1 The sample at IP9

The sample for the Innovation Panel is entirely separate from that of the main study. Originally selected from the Postcode Address File (PAF), the IP sample is representative of households in Britain; unlike the main study it does not cover Northern Ireland. Members of IP1 households are designated as Original Sample Members and are followed in subsequent waves whether or not they remain in the original household. Where new members join a household, they are eligible to take part in the survey for as long as they remain in a household with an Original or Permanent Sample Member. Similarly, where Original or Permanent Sample members move out of a household and form a new household, the other members of that household become eligible for the survey. (See Section 2.1 for definitions of Original, Permanent and Temporary Sample Members).

The IP9 sample comprised all productive and some unproductive households from IP8. Adamant refusals and households which had not responded for the last two waves were removed from the sample. In total, 1,484 households were issued at IP9, including 2,925 individuals aged 16 and over. 541 households were allocated to the CAPI-first group and 943 allocated to the CAWI-first group.

3.2 Refreshment samples

The IP9 sample is a combination of the original IP1 sample and the refreshment samples added at IP4 and IP7. The refreshment samples were necessary due to attrition at previous waves. In both cases, the refreshment sample aimed to bring the total panel size back up to 1,500 productive households in order to enable analysis of the IP experimental elements. Both refreshment samples were PAF samples of new addresses drawn from the same points as the original IP1 sample.

4. Methodological experiments

The Innovation Panel aims to investigate the impact of a variety of survey innovations through incorporating into its design experimental variation between participant groups. Analysing the data from the interviews with these different groups allows the assessment of the effect and relative merits of the different approaches.

For IP9, nine different experiments were implemented. Some experiments were continued from previous waves to allow longitudinal assessment of effects, while others were new for IP9.

4.1 Allocation to experimental groups

The allocation of sample members into most experiment groups was done at the household level; all eligible adults in a household received the same treatment for any given experiment. This also included any new entrants or re-joiners in issued households. Similarly, where an issued household had split into two or more households at IP9, the newly formed households were allocated to the same treatment group as the originating household.

4.2 Procedural experiments

Procedural experiments are aimed at assessing different survey processes and contact methods. The three procedural experiments implemented at IP9 are described below.

4.2.1 Mixed modes experiment

This experiment, initially introduced at IP5, involved offering and encouraging a proportion of the households the possibility of completing the questionnaire online before face-to-face fieldwork commenced.

At IP5 a random subset of two-thirds of the sample was selected and allocated to the WEB-first group. Members of the WEB-first group were contacted by letter and email (where available) and asked to participate online. No attempt was made to target households or individuals that may be more likely to participate online, and no account was taken of whether individuals were internet users. The remainder of the sample (the CAPI-first group) was approached face-to-face in the first instance.

In general, households allocated to the WEB-first group at IP5 remained in the WEB-first group for subsequent waves regardless of whether they actually completed their interviews online. At IP8, a subgroup of households previously

allocated to the WEB-first group had been deemed to have very low web propensity[1] and so were moved to the CAPI-first group. Households in the IP7 refreshment sample were initially all allocated to the CAPI-first group but, at IP9, approximately two thirds of these were moved to the WEB-first group.

4.2.2 Incentives experiment

The IP9 incentives experiment has been running since IP1. It assesses the impact of incentives on response rates, efficiency of fieldwork and costs.

For existing sample members, every adult in the household was sent an advance letter containing their individual incentive in the form of a Love2Shop High Street gift voucher. Sample members received the same incentive amount at IP9 as at IP8.

Household from the IP7 refreshment sample were divided into three roughly equal groups receiving £10, £20 or £30. All other adult sample members in the CAPI-first group received £10.

The other WEB-first sample members (those not from the IP7 refreshment sample) were also divided into three roughly equal groups. Two of these groups received £10 and £30 respectively. The third group received £10, plus an additional £20 per adult if everyone in the household participated by the end of the initial online fieldwork period.

4.2.3 Targeted weekday invitation emails

This experiment explored whether targeting respondents by sending email invitations to complete the survey on different days affected response outcomes and data quality.

Advance emails were sent between Wednesday May 11th and Tuesday May 17th. Half of households in the WEB-first sample were assigned to a control condition where normal contact procedures were followed; these sample members were invited to take part from the first day of fieldwork. Households in the other half of the WEB-first sample were assigned to the day of the week predicted to be the most likely time for individuals to respond. This prediction was based on previous information held about when a respondent completed the survey using paradata from IP waves 5-8.

Advance letters were generally posted the day before advance emails were sent out. The exceptions were the groups receiving their advance emails on Sunday

[1] Web propensity was determined through modelling observed characteristics, including mode of completion for previous waves.

May 15th or Monday May 16th. In these cases the advance letters were sent out on Friday May 13th as it was not possible to arrange for the letters to be posted over the weekend.

The date of ***reminder emails*** was determined at an individual level, again based on information about when an individual had completed the survey at previous waves. Individuals were assigned to a specific day of the week or to the control group. While advance emails were sent to all adult sample members in the household on the same day, reminder emails could be sent to different sample members within a household on different days.

4.3 Questionnaire experiments

Some of the IP9 questionnaire content was also experimental in design. Questionnaire experiments mainly focused on using different versions of question wording. All questionnaire experiments were programmed into the CAPI, CAWI and CATI instruments. The five questionnaire experiments implemented at IP9 are described below.

4.3.1 Exploring systematic measurement error (MTMM)

This experiment looked at respondent opinions towards immigration. It had previously been run at IP7 and IP8, and was included again at IP9 with a fresh random re-allocation to treatment groups. A set of six questions that differ slightly in wording were asked at two points in the questionnaire, one towards the beginning, the second towards the end. There were 56 different experimental groups, accounting for the different versions of the questions and the order in which these were asked. For the second set of questions to appear at least five minutes must have passed since the first set were asked. In the vast majority of cases (> 99%) five minutes had passed between the two sections, and so the second set were asked.

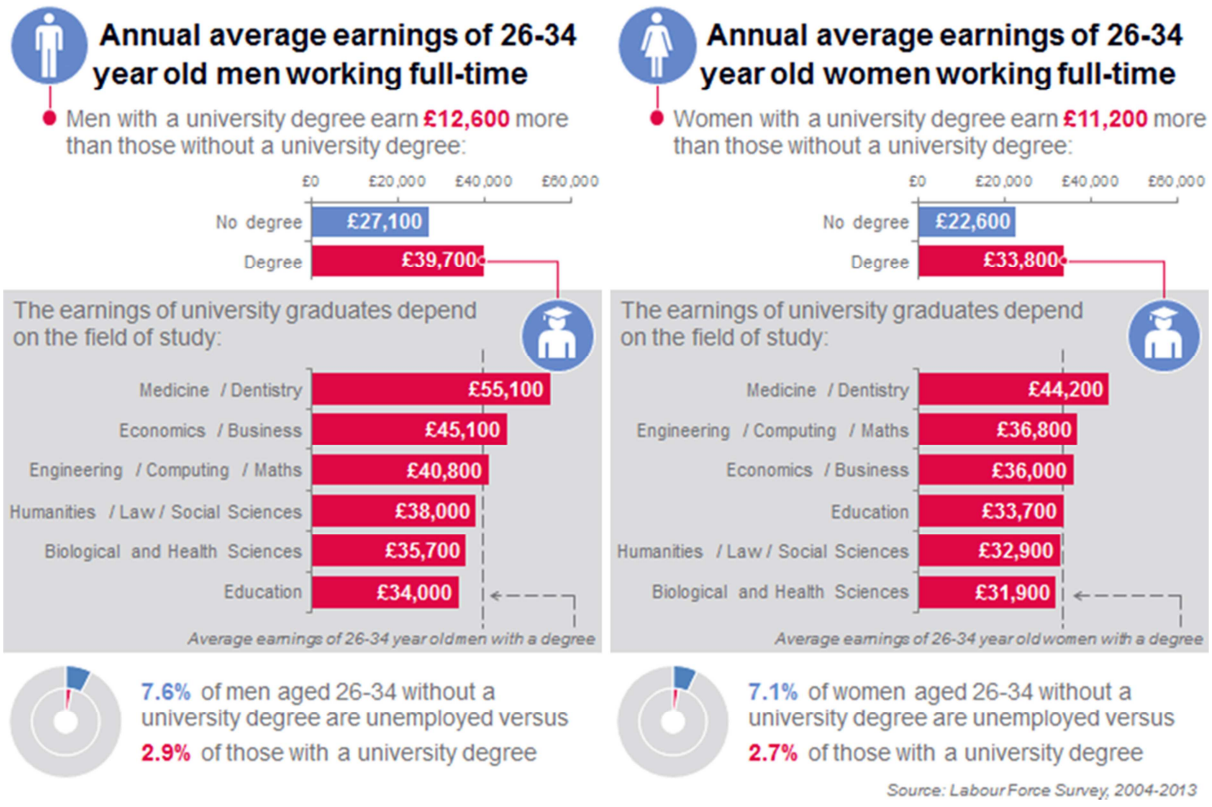
4.3.2 Educational expectations

This experiment was first introduced at IP8 and included questions which aimed to examine the attitudes and expectations of young people and their parents about going to university and, in particular, the additional earning potential from having a degree. The experiment also aimed to evaluate how providing information about population earnings influences young peoples' and parents' beliefs about their own or their children's future earning potential. One on the treatment conditions included showing respondents data about graduate earnings from the *Labour Force Survey* (figure 4.1).

Young adults aged 16-21 who were not in higher education were asked a set of questions about the perceived costs and benefits of obtaining a higher education degree. Parents of children aged 10-21 not in higher education were asked about their expectations for their child, specifically the costs and benefits of that child obtaining higher education. Parents were asked about their eldest child who is not in higher education (aged 16-21) or is still school-age (10-15).

At IP9, these questions were only asked of those who had also answered these questions at IP8.

Fig. 4.1



Due to an error in the processing of the sample, these questions were not initially asked in the survey for IP9. In total, 315 respondents were affected. These respondents were re-contacted and asked to complete the questions online. Those that did not complete it online were then contacted by telephone to complete these questions via CATI.

4.3.3 What do the general population regard as 'successful ageing'?

A new experiment was introduced at IP9 to find out what the general population believes to be 'successful ageing'. Respondents were asked to read a series of three vignettes describing an older person where seven dimensions were varied

at random. The seven dimensions were: gender (male / female), chronic disease (no long term illness / diabetes), disability (no difficulties climbing stairs / difficulties climbing stairs), physical functioning (opens food packaging easily / struggles to open food packaging), cognitive functioning (no problems remembering / problems remembering), interpersonal engagement (regularly sees family and friends / rarely sees family and friends) and productive engagement (often volunteers / doesn't volunteer). For each vignette, respondents were asked to rate from 0-10 how successfully that person was ageing.

4.3.4 A comparison of self-reported sexual identity questions

The measurement of sexual orientation faces methodological difficulties, since sexuality is among the most sensitive topics in surveys. This experiment aimed to explore different strategies for collecting information about sexual orientation. A two-list item count sensitive questioning (ICT) technique was used to obtain something akin to validation data on sexual orientation in order to evaluate the Integrated Household Surveys (HIS) interviewer administered question on sexual identity against the and UKHLS self-administered approaches.

The Item Count question design involved showing respondents a list of three to five statements and asking how many apply to them or how many they agree with. Respondents were not required to identify which statements they agreed with, only say how many apply. By repeating the two-list ICT longitudinally and rotating allocation of the sensitive item to lists, respondent's sexual identity can be directly ascertained, permitting a validated micro-level analysis.

The question versions were randomised across respondents as was the wording and structure of statements, these asked at different points within the questionnaire. The intention was to compare the different approaches to asking respondents about their sexual orientation from other surveys as well as getting a more accurate measurement of sexual identity overall. This was a repeat of the experiment from IP8, but with the allocations reversed.

4.3.5 Masking opposition to immigration

This experiment investigated bias towards Muslim immigrants in the UK and the extent to which opposition towards immigration is under-reported in surveys. Questions were designed to minimise the pressure on respondents to give the answer they think is most socially acceptable. This included use of the Item Count technique, described above (see Section 4.3.4).

This experiment was repeated from IP8 but with fresh allocation to treatment groups at IP9. Households were randomly allocated to either a control group or one of three experimental treatments. The ordering of item counts was randomised across respondents and the statements counted by respondents were also presented in a random order. At IP9, half of the respondents from a given group allocation were independently allocated to one of the other three groups, control or treatment, other than the one assigned at IP8.

4.3.6 The presentation of response options in satisfaction questions

This experiment investigated whether the presentation of response options on the current satisfaction questions used on the survey would affect the answers given. Recent findings suggest a drop in satisfaction levels across the waves but it is unclear whether that is an actual change or an artefact of the survey, so this experiment was designed to see how the format of questions can impact estimates of satisfaction.

There were three different versions, with a third of households randomly allocated to each version:

- Questions and response options displayed as a grid;
- Each question displayed on a separate screen with response options arranged horizontally;
- Each question displayed on a separate screen with response options arranged vertically.

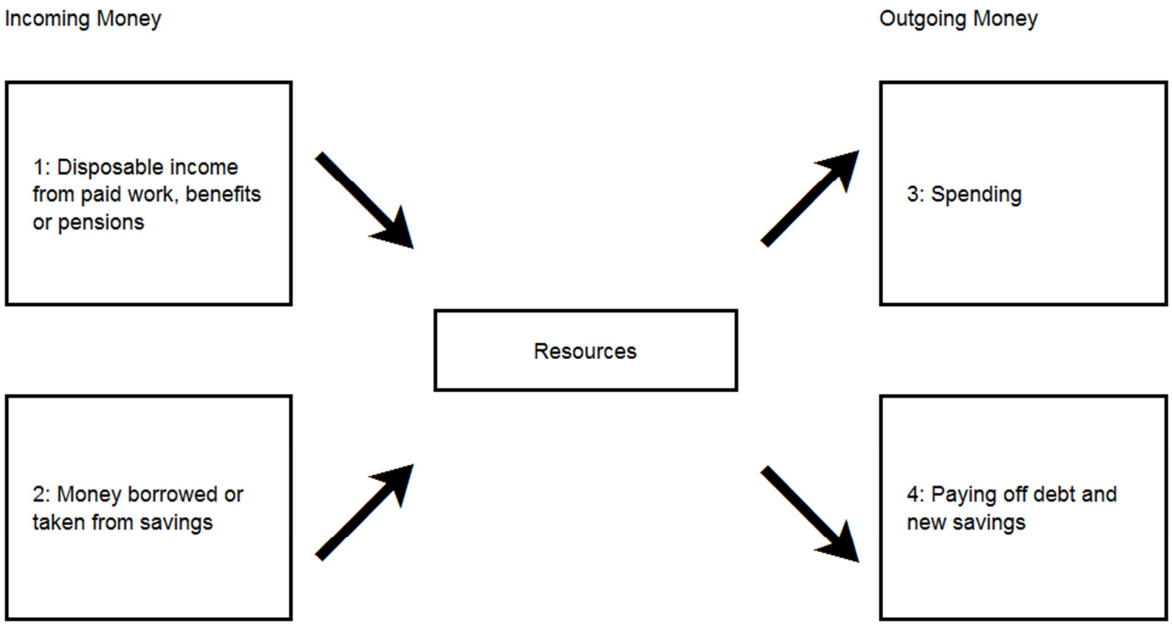
4.4 Benefit unit finances

A further set of experiments was included at IP9 with the aim of improving the accuracy of collection of household finances data (the Benefit Units Module). The underlying principle of this set of questions was as follows:

1. Money is available to a household or individual from their income, their current savings or through taking on new debt;
2. This money must then be used in some way, whether spending, saving or in paying off debt.

Respondents were shown the following diagram to describe this principle (Fig. 4.2).

Fig. 4.2



Data were collected about respondents' spending, savings and debt. In combination with sources of income reported during the standard interview, the script calculated amounts for each of the boxes in the model above. Where the amounts did not balance (i.e. where 'Incoming Money' was not equal to 'Outgoing Money'), respondents were asked to check the amounts and reconcile any differences. Respondents were not forced to make the amounts balance to zero.

Within this set of questions, there were two crossed experiments:

- Individual finance summary
- Gross flows / Net flows

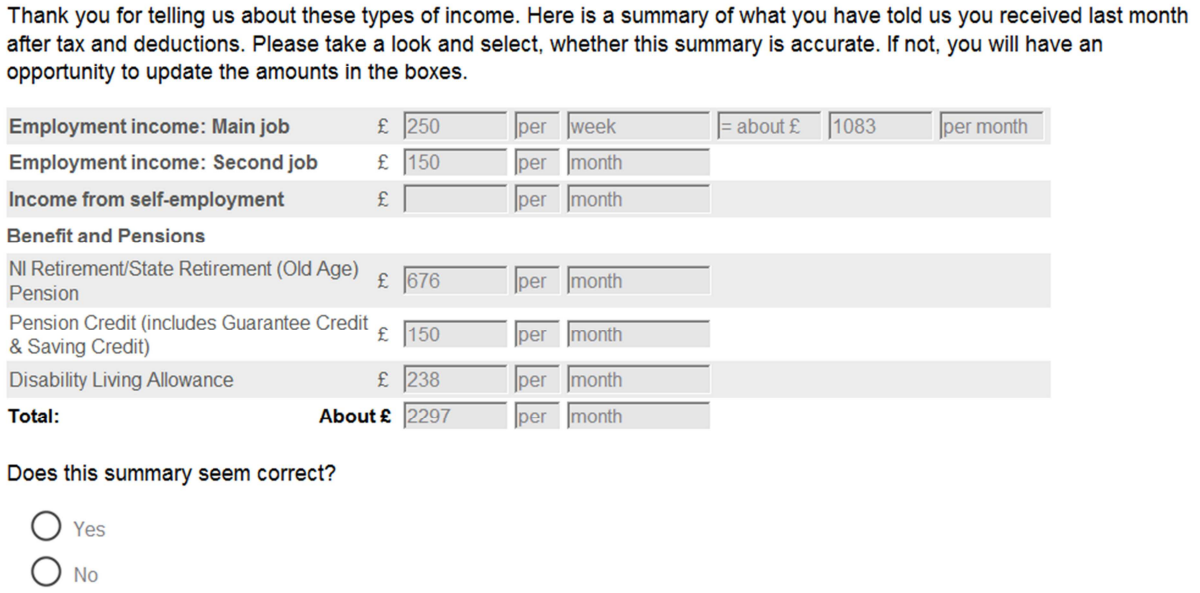
These two experiments are described below.

4.4.1 Individual finance summary

In the first experiment, individuals in half of households were shown a summary of their claimed income during their individual interview. This summary displayed the income sources they had claimed during the survey from paid work, self-employment, second or odd jobs, benefits, pensions and other regular income sources. These incomes were converted into monthly amounts and summed to show a total monthly income. Respondents were asked if this summary was correct and, if not, to make corrections so that it would fairly represent their income in the last month.

An example of this screen is shown below (Fig. 4.3).

Fig. 4.3



Thank you for telling us about these types of income. Here is a summary of what you have told us you received last month after tax and deductions. Please take a look and select, whether this summary is accurate. If not, you will have an opportunity to update the amounts in the boxes.

Employment income: Main job	£	250	per	week	= about £	1083	per month
Employment income: Second job	£	150	per	month			
Income from self-employment	£		per	month			
Benefit and Pensions							
NI Retirement/State Retirement (Old Age) Pension	£	676	per	month			
Pension Credit (includes Guarantee Credit & Saving Credit)	£	150	per	month			
Disability Living Allowance	£	238	per	month			
Total:	**About £**	2297	per	month			

Does this summary seem correct?

- ○ Yes
- ○ No

4.4.2 **Gross flows / Net flows**

The second crossed experiment was part of the Benefit Units Module itself. It relates to how respondents' income, spending, saving and debt were presented when asked to reconcile differences between incoming and outgoing money.

Half of households were asked the 'gross flows' model, in which outgoing money (spending, new savings and paid off debt) was subtracted from incoming money (income, new debts and withdrawals from savings). The other half of households were asked the 'net flows' model, in which spending was subtracted from income and then this remainder was compared to the change in balance of savings and debt. Examples are shown on the next page.

Fig. 4.4: Example of Gross flows model

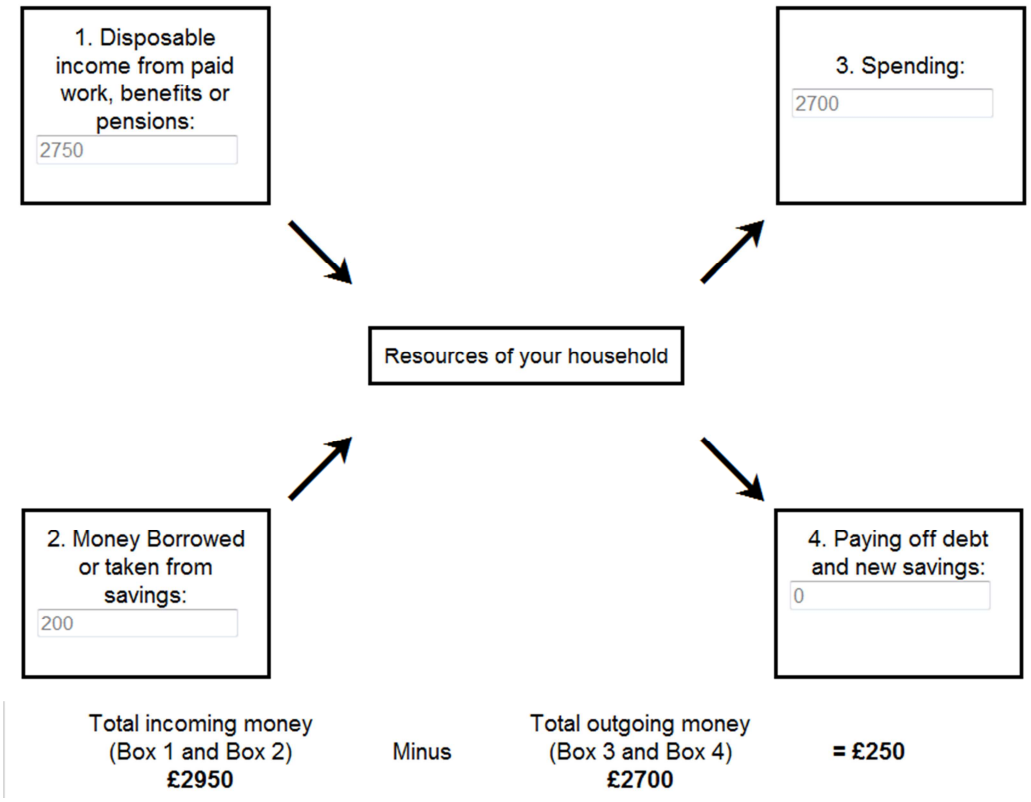
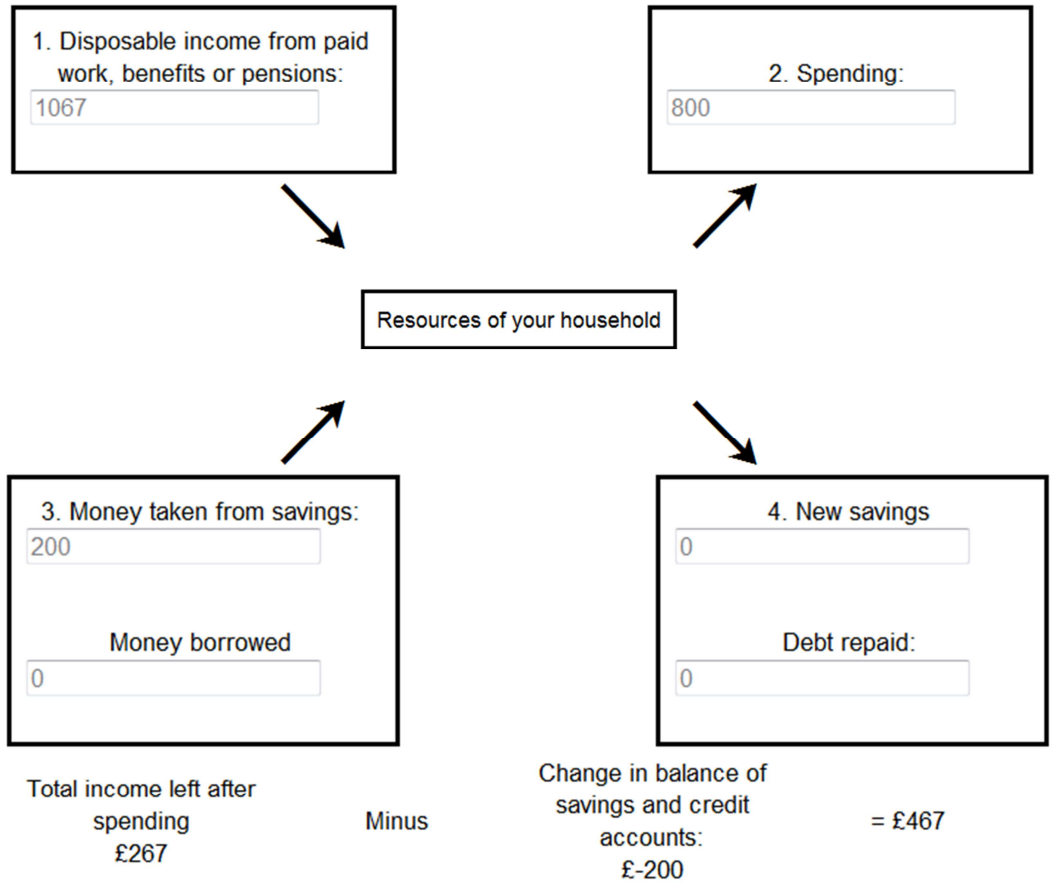


Fig. 4.5: Example of net flows model



4.4.3 **Couples**

One difficulty with measuring household finances is the issue of double-counting, that is, that the same income source may be collected from more than one individual in the household and so counted twice when deriving the income of the whole household. This is especially problematic where respondents are living as a couple and may have highly inter-related finances.

To address this problem, where respondents were living with a spouse or partner, the Benefit Units Module was asked to both members of the partnership together. This could only be done if both partners agreed for the financial information they had given in their individual interview to be shared with their partner. If both partners agreed, these questions were asked at the end of the second person's survey. If either partner did not give permission, these questions were not asked.

For face-to-face interviews, the interviewer coded which respondents answered these questions (either one of the partners, or both of them together). For online interviews, respondents living with a spouse or partner were asked to complete these questions together if possible. They were also asked to confirm if both of them or only one of them had answered the questions.

5. Scripting of mixed-mode instrument

5.1 Design of the mixed-mode instrument

The underlying principle for the development of Computer Assisted Interviewing (CAI) instruments on *Understanding Society* is that there is common source code that runs the instrument in each mode.

There are three main components within the CAI instrument: the household grid, household questionnaire and the individual questionnaire. In addition, in face-to-face interviewing an electronic contact sheet (ECS) is included before the start of the household grid. The ECS allows interviewers to enter and confirm details on households, including collecting observational data. It is also linked to the Kantar Public sample management system, which allows for ongoing monitoring of fieldwork.

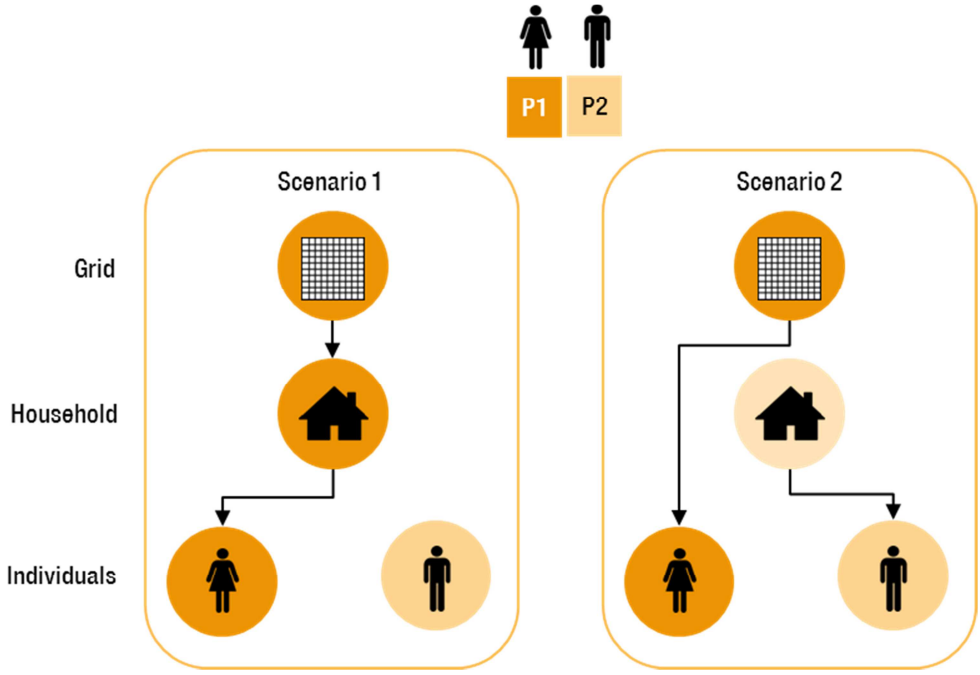
In the CAPI programme the ECS, household grid and household questionnaire are programmed within one instrument and the individual questionnaire is programmed as a separate instrument. Once the household grid is completed, the interviewer is able to move to either the household questionnaire or the individual questionnaire, depending on eligibility.

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

There are two reasons why the CAWI questionnaire could not exist as one overall instrument. Firstly the functionality to navigate between parallel blocks is not easy to replicate in CAWI, and would be a difficult task for participants. Secondly participants would have access to answers from other household members which would breach confidentiality and be unethical. Keeping the household and individual scripts as separate instruments ensures that participants do not have access to answers provided by other household members. The CAPI questionnaire was structured in this way in part to allow consistency with the CAWI instrument.

The diagram below (Fig. 5.1) shows two potential scenarios for which instruments would be answered by people in a two person household.

Fig. 5.1



In Scenario 1, person 1 answers the household grid, and is automatically directed to the household questionnaire and then onto their individual questionnaire. When person 2 logs on, they are directed straight to their individual questionnaire.

In Scenario 2, person 1 answers the household grid, doesn't answer the household questionnaire, and answers their individual questionnaire. Person 2 would answer the household questionnaire and then their individual questionnaire.

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

In order to make the CAWI questionnaire appear seamless, participants were initially directed to a web login page. This in turn redirected them to the appropriate instrument that they needed to complete. Respondents were also redirected on completion of the household instrument, to allow immediate access to the individual questionnaire.

In CAPI, household level information used for routing and text substitution is transferred to the individual questionnaire using a local XML file which is written following completion of the household grid. In CAWI, this household level information is transferred to the individual questionnaire using an external SQL database.

5.2 Scripting and testing process

5.2.1 Overview

The bulk of the questionnaire was the same for face-to-face, online and telephone modes. Once questionnaire modules were programmed they were tested individually using online links. This stage involved testing every question and filter condition, including cases where this varied based on mode of interview. Once the individual modules were signed off, they were slotted into a separate "shell" script for each mode, which managed the interaction between the online and face-to-face databases. Where changes were required after the separate scripts had been created these were applied to both versions (where changes applied to both modes). The full CAPI and CAWI scripts were tested extensively and signed-off prior to the start of fieldwork.

5.2.2 Benefit Units Module

The Benefit Unit Module was scripted into the individual questionnaire, although the script had to be adapted to allow the passing of data between different individuals in the household. This was necessary to allow couples to answer the questions in the Benefit Unit Module together.

For respondents living with a spouse or partner, the Benefit Unit Module appeared at the end of the survey for the second person to be interviewed (assuming both partners had given consent for their data to be shared). As part of the second person's survey, the script needed to read data from the first partner's interview, namely, the first partners reported income data whether or not they had given their consent for this data to be shared.

6. Phase 1: Online only

6.1 Overview of Phase 1

This phase of fieldwork applied only to households in the WEB-first experimental group. The intention was to encourage as many sample members as possible from WEB-first households to complete the survey online. In particular, the aim was for all eligible adults within a household to complete online as cost savings are highest where an interviewer is not required to go to the household at all during fieldwork.

6.2 Encouraging online completion

6.2.1 Initial letters and emails

Initial contact with WEB-first sample members was made via email and letter. Advance letters informed sample members of the study and gave the URL along with unique login details for a respondent to access their survey online. Sample members who had turned 16 since IP8 were sent a slightly different advance letter, informing them that they were now eligible to take part in the adult survey. All advance letters also included the respondent's incentive (see Section 4.2.2 for further details on incentives).

Advance emails were sent where a valid email address was available for that respondent. The advance emails were very similar to the advance letters and also included a direct link to the survey.

6.2.2 Reminder emails and letters

Non-responders in the CAWI-first sample received two email reminders and one letter reminder. The dates of the reminder emails were determined by the allocation of individuals in the emails experiment (see Section 4.2.3).The first reminder emails were sent between Sunday May 15th and Wednesday May 25th.

The reminder letter was sent to all outstanding cases on June 3rd. This letter also served the purpose of informing sample members that face-to-face interviewing would begin in the coming weeks and so an interviewer would be in touch with them soon.

As well as the reminder emails, respondents who started their questionnaire online but logged off without finishing it received an email encouraging them to log back in and complete the questionnaire.

6.2.3 Error in processing email addresses

Due to a discrepancy in the sample files, 206 sample members were not sent their advance emails on the date planned. This was because it appeared in the sample files that these sample members did not have a valid email address. Advance letters were still sent out as planned to these individuals.

Once this issue was identified, advance emails were sent out to these sample members on June 3rd. Reminder emails were also sent on June 10th and June 17th for any of these individuals who had not yet completed the survey.

6.2.4 Letters for new entrants

Once a respondent had completed their household grid online, any new household members could be identified. An advance letter was sent to any identified adult new entrants, including the online questionnaire URL and unique login details for the participant. The respondent's incentive was also included in the advance letter. If a valid email address was collected in the household grid, an advance email was also sent to the new entrant.

6.3 Respondent support

A telephone / email support line was in operation throughout the fieldwork period. Respondents could contact both ISER and Kantar Public with queries.

The survey login page included details on how to contact ISER or Kantar Public for support. These details were also included on each page of the CAWI survey. In addition, an FAQ page was developed on the login page, providing more information about incentives, logging in, how to complete the survey and further background about the study.

7. Phase 2: Face-to-face fieldwork

7.1 Overview of Phase 2

During phase 2, field interviewers conducted interviews in person with respondents from CAPI-first households and individuals from WEB-first households who had not completed their survey online. The survey remained available online during this time.

7.2 Distinguishing sample types and sample updates

The Electronic Contact Sheet (ECS) allowed interviewers to access a 'status summary' screen which showed the status of all individuals in both WEB-first and CAPI-first households (e.g. whether not yet started, complete or partially complete). It was stressed to interviewers that it was absolutely vital that, before setting out to interview and respondents from WEB-first households, they must check the 'summary status' screen in the ECS for any updates.

In addition to the status summary screen, interviewers were also informed of updates to the status of WEB-first sample members throughout the fieldwork process. This was handled in the same way as passing on office refusals to interviewers, with members of the Kantar Public management team informing interviewers of updates by phone, email and text message.

Interviewers could contact Kantar Public with queries throughout the fieldwork period. Contact numbers were provided for both the research team and the CAPI helpdesk. Interviewers were also in regular contact with their regional coordinators to provide updates on progress.

7.3 Managing mixed mode assignments

As in previous waves, the mixed mode aspect of IP9 brought some additional considerations to interviewers' efforts of getting high response rates. The briefings included sessions where interviewers could flag and discuss with researchers the issues and challenges that the mixed-mode approach might pose on the door-step. Interviewers were encouraged to share tips of successes and best practices from previous experience.

The CAWI questionnaire remained open throughout the whole fieldwork period, although interviewers were briefed to prioritise face-to-face interviewing unless participants specifically expressed a preference to take part online. Where

participants did tell interviewers they wanted to take part online, interviewers were instructed to:

i. Make sure these respondents had their login details and were able to find the login page;
ii. Check the progress of these respondents in their status summary screen to see if they had completed online;
iii. Contact respondents again a week or two later if they had still not completed the survey.

Where these respondents did not go on to complete the survey online within a few weeks, they were reissued to another interview to attempt to achieve a face-to-face interview.

7.4 Briefings

Nine half-day briefings were carried out by the Kantar Public research team, with input from the ISER team who provided background to the experimental nature of the study and described previous findings. Each briefing covered the background to *Understanding Society* in general and the Innovation Panel in particular. Briefings also covered the main research objectives of the study, the sample structure, the survey design (including experimental elements), a discussion session on covering and managing WEB-first households and an overview of the survey instruments and procedures. A large part of each briefing was devoted to discussing the Benefit Unit Module as this presented the biggest change in procedures compared to recent waves.

All nine briefings were conducted in the standard format with a member of the research team leading a group of interviewers through the content of the session and dealing with any questions that arose. The briefings took place between 10th May and 26th May. Two debrief sessions were also held towards the end of the fieldwork period, with a selection of interviewers from different areas.

7.5 Interviewer materials

7.5.1 Sample Information Sheet (SIS)

A Sample Information Sheet was provided to interviewers for each household in their issued sample. This contained additional information from the household's last interview and was designed to help interviewers when contacting the household and planning their calls. The SIS also included information on: the incentive amount for each member of the household and whether it was conditional or unconditional; whether the household was originally allocated to the WEB-first or CAPI-first group, whether individuals were Original, Permanent or Temporary Sample Members, and login information for the CAWI survey.

7.5.2 Doorstep documents

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

A full list of materials available to interviewers can be found as an appendix to this report.

7.6 Movers and tracing sample members

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

Interviewers were required to complete a number of tracing activities in order to find a potential follow up address, and were provided with tracing and stable contact letters that they could use to help them obtain a new address from the people they spoke to (e.g. sample members' previous neighbours, new occupiers of their old address, a 'stable contact' person nominated by the participant as someone who would know where they are if they moved).

7.7 Incentives for F2F participants

For all known sample members, incentives were included in the advance letter (see 4.2.2 for more details on incentive amounts). There were also a number of situations in which interviewers issued incentives:

- Where an adult respondent reported having not received their incentive in the advance letter, the interviewer issued an incentive of the same amount;
- New adult entrants to the household were issued an incentive of the same amount as the rest of the household had received;
- Young people (aged 10-15) received a £5 unconditional incentive to encourage them to complete the young person self-completion booklet.

Interviewers were provided with a stock of additional incentives which they monitored and requested further supply where required.

7.8 Return of work

Interviewers were asked to return work electronically at the end of each working day. This involved completing a 'DAYREC' (with information on calls made each day) and sending back any interviews completed or audio recordings taken.

8. Response

8.1 Household level response

A total of 1,484 continuing households were issued at IP9. Of these, 23 were found to be now ineligible for the study (for example, through death or leaving the UK), while 68 new households were created through one or more household members moving to a new address. This resulted in a total of 1,529 households being eligible for interview at IP9.

Of these eligible households, 81.8% were productive at IP9 with 64.6% fully productive, that is, interviews were completed with all eligible adults in the household (Table 8.1).

Table 8.1: Household response by sample origin

Base: All eligible households	**Original IP sample**	**IP4 refreshment sample**	**IP7 refreshment sample**	**Total**
Any productive	82.4% 609	85.0% 288	78.5% 354	81.8% 1251
Fully productive	64.8% 479	69.6% 236	60.5% 273	64.6% 988
Partially productive	17.6% 130	15.3% 52	18.0% 81	17.2% 263
Any unproductive	17.6% 130	15.0% 51	21.5% 97	18.2% 278
HH Grid or HH Qnr only	1.8% 13	2.7% 9	1.6% 7	1.9% 29
Refusal	5.0% 37	4.1% 14	7.3% 33	5.5% 84
Non-contact	4.3% 32	3.5% 12	6.7% 30	4.8% 74
Other unproductive	6.5% 48	4.7% 16	6.0% 27	6.0% 91
Bases	*739*	*339*	*451*	*1529*

8.1.1 Response given productivity at previous wave (IP8)

Table 8.2 shows response for households based on their outcome at IP8. Overall, 89.5% of households that were productive at IP8 were again productive at IP9, with 66.0% fully productive. In total, 39.5% of households that did not take part in the previous wave but were issued for IP9 were productive this wave.

Table 8.2: Household response by outcome last wave			
Base: Households also eligible at IP8	**Productive last wave**	**Unproductive last wave**	**Total**
Any productive	89.5% 1165	39.5% 68	83.7% 1233
Fully productive	71.9% 936	20.9% 36	66.0% 972
Partially productive	17.6% 229	18.6% 32	17.7% 261
Any unproductive	10.5% 136	60.5% 104	16.3% 240
HH Grid or HH Qnr only	1.6% 21	1.7% 3	1.6% 24
Refusal	3.0% 39	26.2% 45	5.7% 84
Non-contact	1.8% 23	11.0% 19	2.9% 42
Other unproductive	4.1% 53	21.5% 37	6.1% 90
Bases	*1301*	*172*	*1473*

8.1.2 CAPI-first and WEB-first allocations

Of the eligible longitudinal households, 553 were allocated to the CAPI-first sample and 976 were allocated to the WEB-first sample. Some households in the WEB-first sample were given higher incentives (see Section 4.2.2); considering only the £10 incentive group, response rates for the CAPI-first and WEB-first samples were broadly similar (Table 8.3).

Table 8.3: Household response by mode allocation

Base: Households offered £10 incentive	**CAPI-first sample**	**WEB-first sample**	**Total**
Any productive	79.6% 358	81.4% 245	80.3% 603
Fully productive	60.9% 274	60.1% 181	60.6% 455
Partially productive	18.7% 84	21.3% 64	19.7% 148
Any unproductive	20.4% 92	18.6% 56	19.7% 148
HH Grid or HH Qnr only	1.8% 8	1.7% 5	1.7% 13
Refusal	6.0% 27	6.0% 18	6.0% 45
Non-contact	5.8% 26	4.7% 14	5.3% 40
Other unproductive	6.9% 31	6.3% 19	6.7% 50
Bases	*450*	*301*	*751*

8.1.3 Incentive groups

Table 8.4 shows household response rates for the WEB-first sample, based on the different levels of incentives offered (see Section 4.2.2 for further details on incentives). There was little difference in the proportion of productive households across the incentive groups, although a greater proportion of households in the £30 group were fully complete than in the £10 group.

Table 8.4: Household response by incentive group

Base: Eligible WEB-first households (excluding IP7 refreshment sample)	**£10 incentive**	**£10 + £20 on full household completion**	**£30 incentive**	**Total**
Any productive	84.1% 174	82.5% 184	86.1% 211	84.3% 569
Fully productive	61.8% 128	68.6% 153	73.9% 181	68.4% 462
Partially productive	22.2% 46	13.9% 31	12.2% 30	15.9% 107
Any unproductive	15.9% 33	17.5% 39	13.9% 34	15.7% 106
HH Grid or HH Qnr only	1.9% 4	2.2% 5	2.4% 6	2.2% 15
Refusal	3.4% 7	6.3% 14	3.3% 8	4.3% 29
Non-contact	3.9% 8	3.1% 7	4.5% 11	3.9% 26
Other unproductive	6.8% 14	5.8% 13	3.7% 9	5.3% 36
Bases	*207*	*223*	*245*	*675*

8.1.4 Response rates in different modes

Despite the mixed mode design of the survey, the majority of productive households took part through a single mode (Table 8.5). Of households allocated to the WEB-first group, 5.6% took part through more than one mode. Three in five households (60%) took part online only.

Table 8.5: Mode of completion by incentive group

Base: WEB-first households	**£10 incentive**	**£10 incentive + £20 on full household completion**	**£30 incentive**	**Total**
Online only	54.6% 113	59.2% 132	65.7% 161	60.1% 406
Online only (fully productive)	42.5% 88	50.7% 113	58.4% 143	51.0% 344
Face-to-face only	23.2% 48	18.4% 41	14.7% 36	18.5% 125
Telephone only	2.4% 5	0.4% 1	0.0% 0	0.9% 6
Mixture of modes	5.3% 11	5.4% 12	6.1% 15	5.6% 38
Unproductive	14.5% 30	16.6% 37	13.5% 33	14.8% 100
Bases	*207*	*223*	*245*	*675*

8.2 Individual response

A total of 2,146 full adult interviews were conducted for IP9. There were also 29 partial adult interviews and a further 63 proxy interviews conducted in productive households.

This gives an individual response rate for full / partial interviews within productive households of 86.7% (Table 8.6). Including proxy interviews, the overall individual response rate was 89.2% within productive households.

Although the number of adults in unproductive households is uncertain, an estimate of the total individual response rate for all eligible households can be made using the average number of adults in productive households. On average, there were 2.00 eligible adults in productive households. Once this is applied to unproductive households, the estimated total individual response rate is 70.8% (including partial adult interviews), or 72.8% including proxy interviews.

Table 8.6: Individual response

Base: All adults	**Adults in productive households**	*Adults in all eligible households**
Full interview	85.5% 2,146	*70.0%* *2,146*
Partial interview	1.2% 29	*0.9%* *29*
Proxy interview	2.5% 63	*2.1%* *63*
Unproductive	10.8% 271	*27.2%* *836*
Bases	*2,509*	*3,067*

**Estimated based on average number of adults in productive households*

Table 8.7 shows the individual response rate within productive households based on the wave at which households were first included in the sample; the individual response rates were very similar across the original IP sample, the IP4 refreshment sample and the IP7 refreshment sample.

Table 8.7: Individual response by sample type				
Base: Adults in productive households	**Original IP Sample**	**IP4 Refreshment Sample**	**IP7 refreshment Sample**	**Total**
Full interview	85.5% 1058	86.6% 499	84.7% 589	85.5% 2146
Partial interview	1.1% 13	.9% 5	1.6% 11	1.2% 29
Proxy interview	2.4% 30	2.8% 16	2.4% 17	2.5% 63
Unproductive	11.1% 137	9.7% 56	11.2% 78	10.8% 271
Bases	*1238*	*576*	*695*	*2509*

8.2.1 Individual response given productivity at previous wave (IP8)

Table 8.8 gives the individual response based on individuals' outcomes at IP8. 87.7% of adults who were productive at IP8 also gave a full or partial interview at IP9, while 29.4% of those who were unproductive at IP8 gave a full interview at IP9.

Table 8.8: Individual response by outcome last wave				
Adults issued at both IP8 and IP9	**Productive last wave**	**Proxy last wave**	**Unproductive last wave**	**Total**
Full interview	86.6% 1908	30.3% 33	29.4% 77	78.1% 2045
Partial interview	1.1% 24	0.0% 0	0.0% 0	.9% 24
Proxy interview	.4% 9	32.1% 35	2.7% 7	2.0% 52
Unproductive	11.9% 261	37.6% 41	67.9% 178	19.0% 498
Bases	*2202*	*109*	*262*	*2619*

8.2.2 Incentive groups

Table 8.9 shows the response for adults in WEB-first households by different incentive levels. Individual response rates were higher for those receiving a greater incentive amount, although there was very little different between the £30 incentive and those who received £10 with a further £20 on full household completion.

Table 8.9: Individual response by incentive group				
Base: Adults in productive WEB-first households	**£10 incentive**	**£10 + £20 on full household completion**	**£30 incentive**	**Total**
Full interview	79.9% 290	89.7% 339	90.8% 404	87.1% 1033
Partial interview	2.5% 9	0.5% 2	1.3% 6	1.4% 17
Proxy interview	3.9% 14	0.3% 1	0.7% 3	1.5% 18
Unproductive	13.8% 50	9.5% 36	7.2% 32	9.9% 118
Bases	*363*	*378*	*445*	*1186*

8.2.3 Response rates in different modes

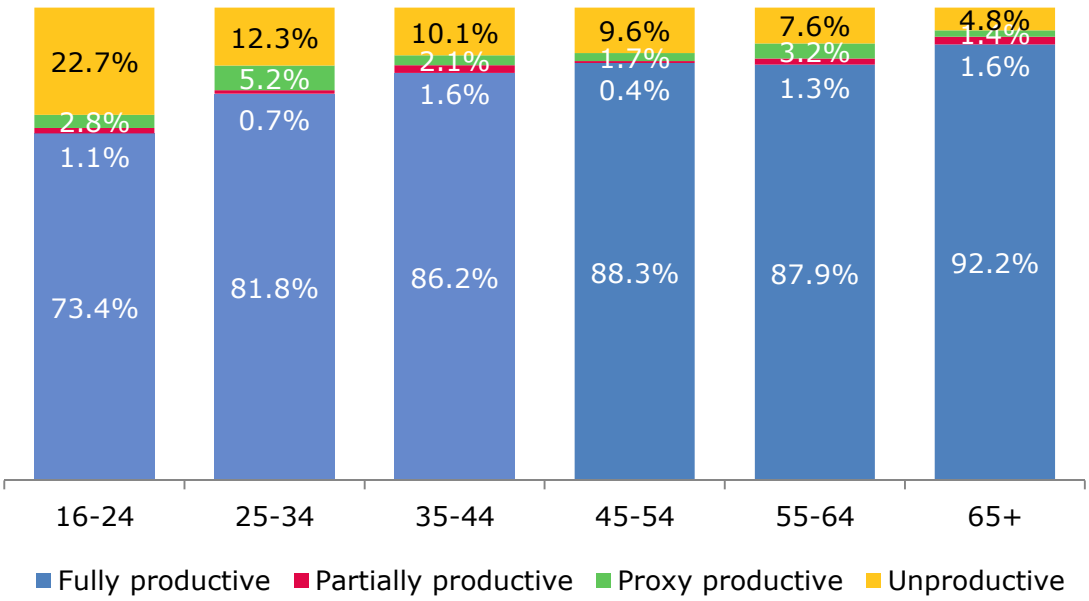
Table 8.10 gives the modes by which adults in WEB-first households completed the survey. Those given higher incentives were more likely to take part online; more than 70% of adults in productive households with a greater incentive completed online, compared to 58.7% of those given a £10 incentive only.

Table 8.10: Mode of completion by incentive group				
Base: Adults in productive WEB-first households	**£10 incentive**	**£10 incentive + £20 on full household completion**	**£30 incentive**	**Total**
Productive – Online	58.7% 213	70.6% 267	74.2% 330	68.3% 810
Productive - Telephone	2.5% 9	0.5% 2	1.1% 5	1.3% 16
Productive – Face-to-face	21.2% 77	19.0% 72	16.9% 75	18.9% 224
Proxy productive (Face-to-face)	3.9% 14	0.3% 1	0.7% 3	1.5% 18
Unproductive	13.8% 50	9.5% 36	7.2% 32	9.9% 118
Bases	*363*	*378*	*445*	*1,186*

8.2.4 **Response rates by age**

As in previous waves, there was a substantial difference in individual response given the age of respondents (Figure 8.1). More than nine in ten adults aged 65 or above (92.2%) in productive households completed a full interview at IP9 compared to less than three quarters of 16-24 year olds (73.4%).

Figure 8.1 Individual response rates by age



Base (All adults in productive households): 16-24 (353); 25-34 (269); 35-44 (376); 45-54 (470); 55-64 (462); 65+ (565)

9. Data preparation

9.1 Data coding, editing and scanning

The majority of data validation was carried out in the field. Extensive range and consistency checks were included in the CAPI program in order to prompt interviewers to clarify and query any data discrepancies directly with the respondent in real time. Equivalent checks were built into the CAWI program to query unlikely or unfeasible responses with respondents as they progressed through the interview.

Both hard and soft checks were built into the scripts. Hard checks required the interviewer/respondent to change a response before progressing to the next question and were used for unfeasible response combinations. Soft checks were used for unlikely but feasible responses and prompted respondents to review their answers before progressing further.

All cases were also passed through an in-house edit to identify any further issues. All self-completion data was passed through an edit to check for any respondent routing and coding errors.

9.2 SIC and SOC coding

Four-digit SIC and SOC coding was carried out in the employment and proxy sections of the adult questionnaire as well as in the youth self-completion questionnaire.

9.3 Reconciling outcome codes

All outcome codes were reviewed at the close of fieldwork. This process involved assessing final CAPI and/or CAWI outcome codes recorded for each household and individual and ensure that the correct outcome was taken. Consistency checks were also carried out between the household and individual outcomes – e.g. ensuring that only households where all eligible adults had completed an interview were given a fully complete household outcome code.

Appendix: Fieldwork documents

The following documents were included in interviewer assignment packs:

Document	Details
Assignment materials	
Assignment Map	Map showing locations issued addresses in assignment
Results Summary Sheet	Paper sheet for interviewers to record details of progress through assignments
Assignment Sheet	Details of assignment
Sample Information Sheet (SIS)	Details about sample members (see Section 7.5.1 for further details)
Police Form	Form for registering at local police station
Interviewer Feedback Form	Form for interviewers to give feedback about working on IP9
Supporting materials/information	
Project Instructions	Detailed interviewer instructions for IP9
Showcards	Book of showcards used in survey
Information Leaflet	Information about *Understanding Society*
Advance Letter	Copies of the advance letter received by respondents inviting them to take part
Understanding Society case studies	Examples of how data for *Understanding Society* has been used
Benefits consent information leaflet	Information about the anonymous linking of DWP data to survey responses
Data linkage consent flowchart	Information explaining anonymization of data from DWP
Self-completion questionnaires	
Youth questionnaire	Self-completion questionnaire for 10-15 year olds

Document	Details
Letters, cards and flyers	
Tracing Letter	Letter to be sent to new address if respondent has moved from issued address
Stable Contact Letter	Letter for interviewers to send to designated stable contact if unable to contact respondent directly
Thank you flyer	Leaflet thanking respondents for taking part
MRS leaflet	Leaflet detailing respondent's rights under the MRS Code of Conduct
Change of Address card	For respondents to report any change of address between waves
Interviewer card	*Understanding Society* branded cards for interviewers to use
Envelopes	
ISER Freepost Envelope	Envelopes for returning change of address cards
'Private and Confidential' privacy brown envelopes for youth questionnaire	Privacy envelopes for youth questionnaires
Freepost brown envelopes	Envelopes for returning youth questionnaires in their privacy envelopes
Pre-stamped 1st Class blank envelopes	Envelopes for sending tracing and stable contact letters
Gift voucher/Gift card materials	
Love2Shop Gift vouchers	Incentives for youth respondents, new entrants or adult participants who said they did not receive an incentive with their advance letter