



Understanding Society Innovation Panel Wave 11

Technical Report

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1. Introduction

1.1 Background

This report provides an account of the eleventh wave of the Innovation Panel (IP11) 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 mixed-mode interviewing, differential incentives, question layout and question wording experiments.

In England and Wales, face-to-face interviewing assignments were split between Kantar (the lead contractor) and NatCen. Kantar conducted all the face-to-face interviewing assignments in Scotland.

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 (TSM):

- **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 Member or Permanent Sample Member 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 IP11 Refreshment sample

A refreshment sample has been included on the Innovation Panel once every three years. IP4, IP7 and IP10 all contained refreshment samples. A refreshment sample was also included at IP11 with the aim of boosting the IP sample prior to IP12. A larger sample was targeted at IP11 due to a number of health experiments being included at IP12.

Unlike the refreshment samples at IP4, IP7 and IP10 – which were all allocated to Face-to-Face data collection only during their initial wave – the IP11 refreshment sample was allocated to a Mixed-Mode design as part of its initial wave. To form the IP11 refreshment sample, 21 households were selected at random per Primary Sampling Unit (PSU).

Seven of the refreshment sample households were allocated to the Mixed-Mode group, with the initial contact letter for those households inviting them to complete the survey via the web. Households which did not participate via the web during the initial 'web-first' period were subsequently reallocated to a Face-to-Face interviewer. The remaining 14 IP11 refreshment sample households in each PSU were allocated to the Face-to-Face only design. This included a main sample of 7 households, which was allocated at the start of fieldwork, and a reserve sample of 7 households, which was issued midway through fieldwork.

The IP11 Mixed-Mode refreshment sample included an experiment around the invitation wording. Details of this experiment are contained in chapter 4 ('Methodological Experiments').

The fieldwork design for the IP11 refreshment sample applied lessons from previous waves of the Innovation Panel. At IP10, the refreshment sample began four weeks earlier than the longitudinal sample with the intention of providing interviewers a window to exclusively concentrate on working the refreshment sample.

The IP10 fieldwork design did not produce a significant improvement in recruiting refreshment sample households to the panel compared with previous waves. When evaluating the reasons for this, it was felt that despite the early refreshment only period, interviewers found it difficult to remain focussed on the refreshment sample after the longitudinal sample was issued.

Based on findings from IP10, it was decided to split the two sample types by fieldwork agency at the Face-to-Face fieldwork stage. Thus, Kantar interviewers worked longitudinal sample addresses and NatCen interviewers worked refreshment sample addresses. The one exception to this was in Scotland, where Kantar also worked the refreshment sample addresses.

Despite the change in fieldwork design, recruitment of the IP11 refreshment sample to the panel proved to be challenging. Interviewers reported high refusal rates as the main barrier to participation. Further details on the IP11 refreshment sample are contained in chapter 8 ('Sample') and chapter 9 ('Response').

2.4 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. At IP11, a sub-set of the refreshment sample households, for the first time, were allocated to the WEB-first group.

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

- Phase 1: An initial **online only** period for households issued to WEB-first;
- Phase 2: The main period of **face-to-face** interviewing for the refreshment and longitudinal samples;
- 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 – refreshment and longitudinal sample	Phase 2: Face-to-face interviewing – refreshment and longitudinal sample	Phase 3: Mop-up
	May – June 2018	Late June – early October 2018	October 2018
WEB-first refreshment households	Invited to complete online	Incomplete cases invited to complete face- to-face	Incomplete cases invited to complete online or by telephone
WEB-first longitudinal households	Invited to complete online	Incomplete cases invited to complete face- to-face	Incomplete cases invited to complete online or by telephone
CAPI-first refreshment households	-	Invited to complete face- to-face	Incomplete cases continued to be worked face-to- face
CAPI-first longitudinal households	-	Invited to complete face- to-face	Incomplete cases invited to complete online or by telephone

2.4.1 Phase 1: Online only (4 weeks)

Households in the IP11 refreshment WEB-first households were initially approached via a letter addressed to the 'The resident(s)' and asked to complete the survey online. Advance letters for the refreshment sample WEB-first households included an unconditional £10 gift-card incentive. The letter also explained that any household members who completed the survey within the first three weeks (by 11 June 2018) would receive an additional £15 incentive.

Sample members in longitudinal WEB-first households were initially approached via letter and email and asked to complete the survey online.

At the end of the initial online only period, any sample members 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.

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

At the end of phase 1, letters were sent to all adult sample members in refreshment and longitudinal CAPI-first households inviting them to take part in the study and informing them that an interviewer would soon be in touch. In addition, adults in the refreshment and longitudinal WEB-first samples who had not completed online were sent a letter informing them that they could now take part face-to-face and that an interviewer would soon contact them.

Households in the IP11 refreshment CAPI-first sample were initially sent an advanced letter addressed to 'The resident(s)'. The letter introduced the survey and stated that an interviewer will be in touch soon to arrange a convenient time for an interview. Advance letters for the IP11 refreshment sample households included an unconditional £10 gift-card incentive.

Interviewers then began contacting all households in their assignments including CAPI-first and incomplete WEB-first cases. Adults in these households were approached for a face-to-face interview.

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

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

Any adults who had still not participated by the end of the face-to-face fieldwork period were included in the final mop-up phase. All longitudinal and WEB-first refreshment sample members had the option of completing online at this stage. In addition, a team of field interviewers invited sample members to take part via telephone.

Face-to-face fieldwork continued during this time for all incomplete CAPI-first IP11 refreshment sample households.

2.5 Data collection timetable

Data collection ran from late May to mid-October 2018. The timings and dates for the three phases are shown below (Table 2.2).

Table 2.2: Data collection timetable			
Data collection stage	Date	Mode	Sample group
Phase 1			
Start of CAWI interviewing	24 th May 2018	Online only	All WEB-first households
Phase 2			
CAPI fieldwork – longitudinal and refreshment sample	27 th June 2018 (start of longitudinal fieldwork)	Face-to-face and online	All CAPI-first households and outstanding WEB-first cases
Phase 3			
Mop-up	10 th October 2018	Face-to-face, online and telephone	All outstanding cases
End of fieldwork	21 st October 2018		

3. Sampling

3.1 The sample at IP11

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 regardless of 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 IP11 longitudinal sample comprised all productive and some unproductive households from IP10. Adamant refusals and households which had not responded for the last two waves were removed from the sample. In total, 1,674 longitudinal households were issued at IP11. 1,680 refreshment sample households were issued at the start of IP11 fieldwork and a further 832 reserve refreshment sample households were issued in September 2018. In total, and including split-offs, the IP11 sample included 4,081 households.

3.2 Refreshment samples

The IP11 sample is a combination of the original IP1 sample and the refreshment samples added at IP4, IP7, IP10 and IP11. The refreshment samples were necessary due to attrition at previous waves. All refreshment samples were PAF samples of new addresses drawn from the same points as the original IP1 sample. Residents enumerated at the initial wave of each refreshment sample were designated as OSMs, in the same way as at IP1.

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 IP11, 10 different experiments were implemented. Some experiments were continued from previous waves to allow longitudinal assessment of effects, while others were new for IP11.

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 IP11, the newly formed households were allocated to the same treatment group as the originating household.

A small number of experiments at IP11 were allocated at the individual level. Where this was the case, it is clearly stated in this section.

4.2 Procedural experiments

Procedural experiments are aimed at assessing different survey processes and contact methods. The three procedural experiments implemented at IP11 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 propensity¹ 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. At IP11, allocation to mode for the IP1, IP4 and IP7 samples remained consistent with IP9 and IP10.

Last year, the IP10 refreshment sample was all allocated to CAPI-first and were not invited to take part online at any stage. At IP11, two thirds of the IP10 refreshment sample households were allocated to WEB-first and a third were allocated to CAPI-first.

The IP11 refreshment sample was allocated to either WEB-first or CAPI-first at its initial wave. This is the first time households have been invited to take part online without first participating face-to-face. Overall, one third of IP11 refreshment sample households were allocated to WEB-first and two thirds to CAPI-first.

For IP11 WEB-first refreshment sample households, a single letter was sent to 'The Residents'. This included a URL and username and password for the online survey.

4.2.2 Incentives experiment

The 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, adults in households who responded at IP10 were sent an advance letter containing their individual incentive in the form of a Love2Shop High Street gift card. Previous wave non-responding households were not sent an unconditional incentive at IP11; they were offered an incentive conditional on completion of their individual interview. Sample members received the same incentive amount at IP11 as at IP10.

Households 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, including the IP11 refreshment sample, received £10.

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

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.

Individuals who were part of the IP11 refreshment sample WEB-first group received an extra £15 conditional on their completion of the web survey within the first three weeks of issue.

4.2.3 Invitation to IP11 mixed-mode sample experiment

IP11 is the first time the IP has approached a new sample for a web survey. An experiment was conducted on the WEB-first part of the IP11 refreshment sample that assessed different ways of asking for the participation of other adult sample members and different ways of introducing a CAPI follow-up phase. Thus, the 840 WEB-first addresses were allocated to four groups of 210 addresses

There are two ways of asking for the participation of other household members, and two different ways of introducing the CAPI follow-up phase. This led to a four-condition experiment for the third of IP11 households allocated to the Mixed-Mode design.

These conditions were:

- 1) inform in invitation about participation of other household members, but not of the interviewer follow-up aspect in the invitation letter
- 2) not inform in invitation about participation of other household members, only initial respondent, and not of the interviewer follow-up aspect in the invitation letter
- 3) inform in invitation about participation of other household members, and of the interviewer follow-up aspect in the invitation letter
- 4) not inform in invitation about participation of other household members, only initial respondent, but inform of the interviewer follow-up aspect in the invitation letter.

For households being informed of other household member participation in the advance letter (groups 1 and 3), there was a £10 unconditional incentive and a promise of an additional £15 for each person in the household (16+) who completed the questionnaire online within three weeks.

Upon completion of the household grid, if there was more than one adult in the household, a screen conveyed the following message: "We would like to invite [name] to take part in the survey too. They will receive £15 for doing so by

[date]. We can email out an invitation to [name] if they have an email address. You will also be able to print an invitation letter with their own unique entry code”.

For households not being informed of other household member participation in the advance letter, there was be a £10 unconditional incentive and a promise of an additional £15 “if you complete the questionnaire online within three weeks”. Upon completion of the household grid, the screen regarding other household members appeared, as above.

For households informed of the interviewer follow-up aspect in the invitation letter, the advance letter also stated that if they were unable to participate online, there would be an opportunity to be visited by an interviewer instead.

Households not informed of this interviewer follow-up option did not have this information in the invitation or first reminder letter. The second reminder letter announced that an interviewer would call and that each person to take part would receive £10.

4.3 Questionnaire experiments

Some of the IP11 questionnaire content was also experimental in design. The questionnaire experiments mainly focused on using different versions of question wording. The six questionnaire experiments implemented at IP11 are described below.

4.3.1 Variations of the EQ-5D instrument

This module aimed to explore the differences in measurement of the widely used EQ-5D instrument using two developed variants. The EQ-5D is a 5-item instrument, designed by a consortium called EuroQol, to measure health-related quality of life. These measures are a key input into cost-effectiveness evaluations of drug therapies, medical technologies and other healthcare procedures commissioned by NICE for the NHS England. Largely because of the worldwide influence that NICE has, EQ-5D is also an important policy tool in at least nine other countries.

A new version of EQ-5D, designed to improve question wording and increase sensitivity, has been produced and is increasingly being adopted for clinical trials. The original version, with a 3-point response scale, is known as EQ-5D-3L, and the newer version with a 5-point scale is called EQ-5D-5L. IP11 carried both versions, with 1/3 being asked only the 3L version, 1/3 asked only the 5L version, and 1/3 asked both versions.

Of those asked only one version, respondents were randomly assigned with equal chance to be asked the questions either in an early CASI module or toward the end of the survey in the standard CASI module. For those randomly assigned to the condition where both 3L and 5L was asked, the 3L version was always asked in an early CASI module, with the 5L always asked in the standard CASI module toward the end of the survey.

4.3.2 HMRC Consents Experiment

This experiment compared the impact of placement and wording of consent to data linkage to HMRC records. The consent question was originally carried in the mainstage of *Understanding Society*. This experiment varied the wording to this question to explore the standard version using in the mainstage survey and a new, “easier” to understand wording to ascertain the impact of this has on consent rates.

The two version were varied with equal allocation across respondents in both web and face-to-face versions of the survey. For those responding face-to-face, the placement of this consent request also varied, being asked either early or late in the questionnaire, following prior studies suggesting the impact of question location on consent rates. Respondents were provided with additional information in the form of a leaflet with information and a flowchart on the linkage process and usage of data.

This experiment also collected several additional measures potentially relating to the consent decision. These measures were included in two modules. The first module was asked of everyone at the beginning of the survey about respondent characteristics which may influence the consent decision. The second module was asked of respondents immediately following the consent request, with questions relating to the specific consent request just made.

For those responding face-to-face, these follow-up questions were asked in a CASI module asked either early or late, corresponding to the location of the consent request. In addition to these additional questions, paradata, interviewer observations, and audio recordings will be used to derive further understanding of the consent decision.

Random allocation to treatment occurred at the respondent level and was stratified by response modes. Respondents were allocated to either standard or easy versions within modes to ensure a near 50/50 split within each. Within the face-to-face mode only, respondents were also allocated using a 50/50 split to being asked the consent question either early or late, which was stratified by question difficulty. After the question was allocated as easy or standard (within

face-to-face), the location was allocated for this version, to ensure another close to 50/50 within mode and question difficulty.

4.3.3 Improving consent to the electoral register follow-up

These questions were a follow-up to the electoral register linkage experiment carried at IP10. These measures continue the principal methodological objective to test ways of asking for consent to link survey respondents to the electoral register. Respondents were first assigned to either an “opt-in” or “opt-out” consent condition. In the opt-in condition, respondents were asked directly in the IP10 questionnaire about whether they consented to link their electoral registry data to their survey responses. The opt-out condition informed respondents of linkage during the interwave mailing between IP10 and IP11, giving them a chance to send in a Freepost response asking to be excluded from the linkage.

The respondents in the opt-out condition were asked about their memory of this mailing and their acceptance of the linkage procedure at IP11. This included asking them their belief whether they consented or not given the information, the usefulness of linkage, and acceptability of this method to ask for linkage. These respondents were then asked directly for their consent to link to their data in the electoral register, to ensure their desires are accurately expressed.

4.3.4 Mr Chalk the Teacher: An experimental investigation of children’s consistency in reporting their parent’s occupations

This study added two additional questions to the youth paper questionnaire (for 10-15 year olds) and to the Young Adults self-completion module used in the IP.

These two questions asked youths about what their mother’s and father’s occupation is, which can then be converted to a SOC code as is done in the adult version of the survey when asking about occupation.

All youth respondents (10-15 years old) given the paper youth questionnaire were asked these questions. All young adults were asked the questions in self-completion in the face-to-face survey, or in the online survey.

4.3.5 Does Competition over Public Services Decrease Support for Residency Rights of Immigrants?

This study contained two experimental sets of questions that explored respondents’ views towards residency rights of immigrants.

This experiment had two objectives in advancing this area of research. First, it aimed to move away from public opinion about who should be granted entry towards public opinion about who should be granted the right to remain. Second, in doing, so it varied other attributes of self-interest, namely how competition over public services, like schooling, health care and housing, shapes opinions towards immigrant residence rights.

The two experimental sets were a conjoint experiment exploring the impact of various hypothetical immigrant characteristics on preferences and a vignette question that varied the immigrant's location to either Glasgow or the respondent's town of residence. Only respondents residing in England were asked these experimental questions.

Both experimental sets were asked in the CASI module toward the end of the survey. For the first, the fully-randomized conjoint experiments consisted of respondents ranking or rating two hypothetical choices, in this case applicant profiles, to examine which applicants would be granted residency rights based on varying specific characteristics. These characteristics included health condition, number of children in state schools, housing situation, country of origin, employment history and gender. Three comparison questions were included, asking for which of two applicants the respondent would prefer to be allowed to remain, with each set then followed by rating on a 1 to 10 scale on the belief that each applicant should be allowed to remain.

The second experimental set used a vignette where respondents were provided with a hypothetical applicant who uses public services but varies on the location of residence of the applicant based on existing knowledge about where respondents live.

4.3.6 Don't Know/Prefer Not to Answer Response Presentation

This experiment explored the impact of the presentation of Don't Know/Prefer Not to Answer response options in electronic self-completion questions.

The current approach for self-completion interviews in Understanding Society is to present the question with neither the Don't Know/Prefer Not to Answer options showing. When a respondent tries to go to the next question without providing a response to the initial asking of the question, the question is re-presented with the Don't Know/Prefer Not to Answer options available in a different colour (blue) with a prompt to select a response. There are no initial instructions in the survey as how questions will be asked in relation to giving Don't Know/Prefer Not to Answer responses.

Usability testing has pointed to issues with the current approach, with respondents often unaware how to select a DK response and feeling forced to select an alternative response which does not reflect their opinion or experience. To explore the impact of presentation variations, three conditions were explored face-to-face CASI modules or the web version. The conditions were:

1. A control condition, presenting Don't Know/Prefer Not to Answer options as is currently done in Understanding Society.
2. As in the control condition, but with a specific prompt on initial question screens to inform respondents how they can view additional options.
3. Inclusion of Don't Know/Prefer Not to Answer options as part of main response lists.

The objective was to identify how these possible different presentation options impacted item non-response (i.e. selection of Don't Know/Prefer Not to Answer options).

The experiment covered several modules in the face-to-face CASI module toward the end of the survey: the SF-12, GHQ, Young Adults, Child Development, and Non-resident relations. Additionally, there were two additional attitudinal questions on issues of nuclear energy and the United Nations included in the experiment. For these new additional questions, respondents were asked follow-up questions about their self-rated level of knowledge on these topics. For those who provided a Don't Know response but indicated no knowledge on the topic, a follow-up question on reasoning was asked. Similarly, those saying they had a lot of knowledge but provided a Don't Know response were asked a follow-up question about reasoning.

Allocation to the experiment was at an individual level. Allocation was stratified by completion time and number of Don't know responses at IP10. For the IP11 refreshment sample and non-responders to IP10, a random allocation to one of the three conditions was made in the script.

4.4 Other experiments

4.4.1 Spending Study 2

An earlier spending study was conducted between IP9 and IP10. This new study continued and furthered that study by including additional questions and expanding the study to the entire IP sample. A set of initial question asked respondents questions about spending behaviours, some of which were included in prior waves of the IP, with some new questions added.

As part of the study, respondents were asked to download and install an app for their smartphone to provide brief daily updates on their spending for 31 days. Those who did not download the app after an invitation and reminders were invited to complete a daily online survey to report the same spending information.

An experiment was conducted to examine the impact of when the invitation to download the app was made. Half of households were asked to download the app during the course of the IP11 interview. For face-to-face respondents in this in-interview invitation condition, the interviewer was able to assist as needed. The remaining half of households were invited to download the app for the study in a mailing following their IP11 interview.

The experimental control variable was allocated equally among households, within strata of combined mode allocation and sample origin.

A separate technical report is being produced for Spending Study 2. This will also include information on a similar experiment being conducted on an access panel.

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.

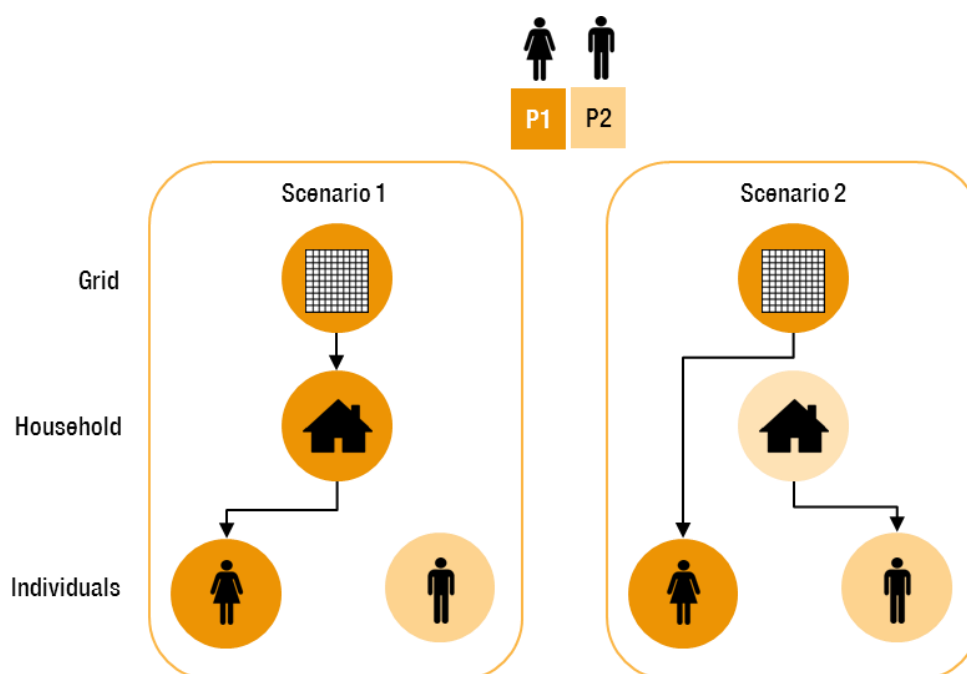
For the IP11 refreshment sample, the ECS allowed interviewers to record whether a sampled address had multiple dwelling units within the address, or if there were multiple households within a dwelling unit.

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 paying the bills, such as rent, mortgage, gas or electricity, 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.

5.3 Script errors

A small number of script updates were made during fieldwork. These changes are noted in Table 5.1, alongside the dates each script version was active.

Table 5.1: Versions of individual script	
Dates active	Changes from predecessor
24th May – 3rd June	n/a.
4th June – 2nd July	Minor text changes were made at Appoutc (the question that introduces respondents to the Spending Diary app) to make details of the app clear.
3rd July – 25th July	- A routing update was made in the Annual Events History module to correct an error that meant those coded to code 34 at Hcondncode (Type 2 diabetes) were not being asked Hcondna. - At the same time, an error was identified in the HMRC consent late module that meant relevant questions were not being audio-recorded for a small number of respondents (around 40). This was also corrected.
26th July – 21st October	An error was identified that meant the 'CASI early end' module was not appearing for some respondents. This meant that some respondents were not instructed to hand the laptop back to the interviewer at the end of the CASI early sections. As a result, respondents may have continued to self-complete some of the sections that followed the 'CASI early end' module that were intended to be interviewer-administered. This error impacted around 200 interviews.

An error with the Religion module was identified in post-fieldwork data checks. This resulted in three questions not being asked of the full sample (as intended) and instead only being asked of the IP11 refreshment sample and last-wave non-responders. The questions impacted were as follows:

- OPRLG: whether belong to a religion
- OPRLG2: how often attend religious services
- OPRLG3: how much difference religion makes to life

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 longitudinal and refreshment sample 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.

A soft launch, comprising 10% of all WEB-first households, took place on 24 May, with the full launch for the remaining WEB-first households on 30 May.

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. Invitation 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 IP10 were sent a slightly different invitation letter, informing them that they were now eligible to take part in the adult survey. All invitation letters also included the respondent's incentive (see Section 4.2.2 for further details on incentives).

In total, 16 different versions of advanced letters were used for the longitudinal sample, while four versions were used for the refreshment sample.

Invitation emails were sent where a valid email address was available for that sample member. The invitation emails were very similar to the invitation letters and also included a unique link to the survey.

6.2.2 Reminder emails and letters

Non-responders in the WEB-first longitudinal sample received two email reminders and one letter reminder. Non-responders to the WEB-first refreshment sample received a second reminder letter. The reminder emails were sent on 1 June and 8 June for soft launch households and on 6 June and 14 June for main launch households. Thus, the first reminders were sent one after the initial invite, and the second reminders two weeks after the initial invite. The first reminder letters were sent on 6 June. Second reminder letters (for refreshment sample households only) were sent on 14 June.

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 Letters for new entrants

Once a respondent had completed their household grid online, any new household members could be identified. An invitation 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 letter. If a valid email address was collected in the household grid, an email was also sent to the new entrant.

6.2.4 Refreshment sample invitation emails

For IP11 refreshment sample households, invitation letters were sent to 'The Residents'. Once one adult in the household had completed the household grid, if there was more than one adult in the household, an email invitation was sent to other adult household members (where an email address was provided).

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, a 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 WEB-first households where the survey had not been completed 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 any 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 a helpline managed by 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

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 interviewer to attempt to achieve a face-to-face interview.

Interviewers did not share information about the online survey with CAPI-first refreshment sample households.

7.4 Briefings

Separate briefings were held for the longitudinal and refreshment samples. Kantar Public delivered the longitudinal sample briefings and NatCen the refreshment sample briefings.

Ten half-day briefings were carried out for interviewers working on the longitudinal sample, between 29 May and 12 June 2018.

Seven half-day briefings were carried out for interviewers working on the longitudinal sample, between 24 May and 4 June 2018.

All briefings were led by the Kantar Public or NatCen research teams, 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. For the refreshment sample briefings, a large part of the sessions focused on the challenges of interviewing a fresh sample and strategies to maximise response for this group.

Kantar Public and NatCen each held interviewer debrief session 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 longitudinal 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 who responded at IP10, pre-activated giftcard 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 a previous wave non-responding adult participated at IP11, they were given a conditional incentive at the end of their interview.

- 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.
- Where more than one adult in refreshment sample households completed the survey, each additional adult was given an incentive.

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 1,674 continuing households were issued at IP11. Of these, 21 were found to be now ineligible for the study (for example, through death or leaving the UK), while 61 new households were created through one or more household members moving to a new address. This resulted in a total of 1,714 longitudinal households being eligible for interview at IP11.

Of these eligible households, 75.7% were productive at IP11 with 55.8% fully productive, that is, interviews were completed with all eligible adults in the household.

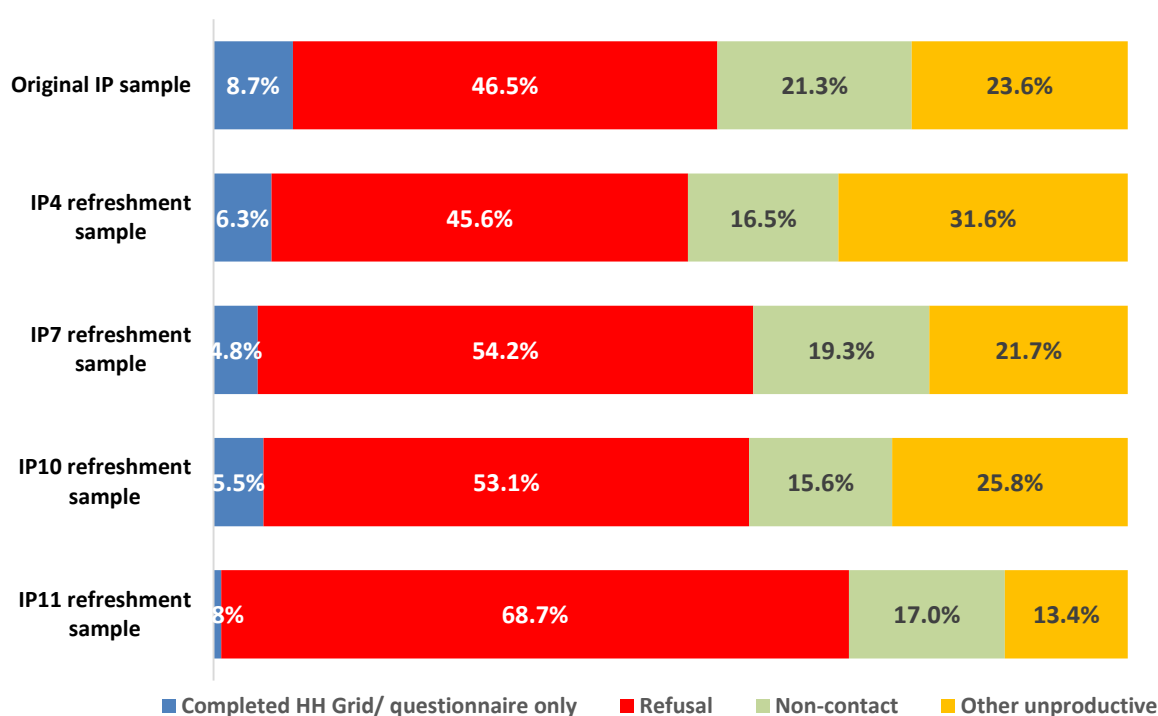
In addition, 2,512 households were issued for the refreshment sample at IP11. 1,680 were issued at the start of IP11 fieldwork, while a further 832 'reserve' refreshment sample addresses were issued in September. 157 were found to be ineligible (for example non-residential addresses or vacant/ empty housing units), while 12 new households were created during fieldwork (for example based on multiple dwelling units), resulting in a total of 2,367 eligible households making up the refreshment sample (Table 9.1).

Table 9.1: Household response by sample origin

<i>Base: All eligible households</i>	Original IP sample	IP4 refreshment sample	IP7 refreshment sample	IP10 refreshment sample	IP11 refreshment sample	Total
Any productive	81.1% 544	75.4% 242	78.0% 295	62.8% 216	23.7% 560	45.5% 1,857
Fully productive	61.4% 412	57.9% 186	56.6% 214	41.9% 144	15.3% 362	32.3% 1,318
Partially productive	19.7% 132	17.4% 56	21.4% 81	20.9% 72	8.4% 198	13.2% 539
Any unproductive	18.9% 127	24.6% 79	22.0% 83	37.2% 128	76.3% 1,807	54.5% 2,224
HH Grid or HH Grid + Qnr only	1.6% 11	1.6% 5	1.1% 4	2.0% 7	0.6% 15	1.0% 42

Refusal	8.8%	11.2%	11.9%	19.8%	52.4%	35.5%
	59	36	45	68	1,241	1,449
Non-contact	4.0%	4.0%	4.2%	5.8%	13.0%	9.4%
	27	13	16	20	308	384
Other unproductive ²	4.5%	7.8%	4.8%	9.6%	10.3%	8.6%
	30	25	18	33	243	349
<i>Bases</i>	<i>671</i>	<i>321</i>	<i>378</i>	<i>344</i>	<i>2,367</i>	<i>4,081</i>

Figure 9.1 Outcomes of unproductive households by sample type



8.1.1 Response given productivity at previous wave (IP10)

Table 9.2 shows response for households based on their outcome at IP10. Overall, 83.7% of households that were productive at IP10 were again productive at IP11, with 62.4% fully productive. In total, 28.4% of households that did not take part in the previous wave but were issued for IP11 were productive this wave.

² This includes households that had moved and could not be traced, those unable to take part due to ill health, and a range of other unproductive outcomes that fall outside refusals and non-contacts.

Table 9.2: Household response by outcome last wave

<i>Base: Households also eligible at IP10</i>	Productive last wave	Unproductive last wave	Total
Any productive	83.7% 1,219	28.4% 56	77.1% 1,275
Fully productive	62.4% 908	16.8% 33	56.9% 941
Partially productive	21.4% 311	11.7% 23	20.2% 334
Any unproductive	16.3% 237	71.6% 141	22.9% 378
HH Grid or HH Grid + HH Qnr only	1.4% 21	2.5% 5	1.6% 26
Refusal	8.4% 123	41.1% 81	12.3% 204
Non-contact	3.0% 44	14.7% 29	4.4% 73
Other unproductive	3.4% 49	13.2% 26	4.5% 75
<i>Bases</i>	<i>1,456</i>	<i>197</i>	<i>1,653</i>

8.1.2 CAPI-first and WEB-first allocations

Of the eligible longitudinal households, 609 were allocated to the CAPI-first sample and 1,105 were allocated to the WEB-first sample. Some households 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 9.3).

Table 9.3: Household response by mode allocation – longitudinal sample

<i>Base: Households offered £10 incentive</i>	CAPI-first sample	WEB-first sample	Total
Any productive	71.8% 369	72.6% 247	72.1% 616
Fully productive	51.6% 265	51.8% 176	51.6% 441
Partially productive	20.2% 104	20.9% 71	20.5% 175
Any unproductive	28.2%	27.4%	27.9%

	145	93	238
HH Grid or HH Grid + HH Qnr only	1.9% 10	1.5% 5	1.8% 15
Refusal	14.4% 74	12.9% 44	13.8% 118
Non-contact	5.6% 29	4.7% 16	5.3% 45
Other unproductive	6.2% 32	8.2% 28	7.0% 60
<i>Bases</i>	<i>514</i>	<i>340</i>	<i>854</i>

For the first time at IP11, some of the refreshment sample households were also issued web first. Table 9.4 shows the refreshment sample response broken down by issue mode. All households in the IP11 refreshment sample were sent a £10 unconditional incentive, with a £10 conditional incentive offered for each additional adult to participate. Those in the WEB-first refreshment sample were offered a £15 conditional incentive if they completed the survey online within three weeks of their invitation being sent.

Table 9.4: Household response by mode allocation – refreshment sample

<i>Base: Eligible refreshment sample households</i>	CAPI-first sample	WEB-first sample	Total
Any productive	24.7% 391	21.5% 169	23.7% 560
Fully productive	16.8% 266	12.2% 96	15.3% 362
Partially productive	7.9% 125	9.3% 73	8.4% 198
Any unproductive	75.3% 1,190	78.5% 617	76.3% 1,807
HH Grid or HH Grid + HH Qnr only	0.5% 8	0.9% 7	0.6% 15
Refusal	50.8% 803	55.7% 438	52.4% 1,241
Non-contact	13.0% 206	13.0% 102	13.0% 308
Other unproductive	10.9% 173	8.9% 70	10.3% 243
<i>Bases</i>	<i>1,581</i>	<i>786</i>	<i>2,367</i>

8.1.3 Incentive groups

Table 9.5 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). Households in the £30, and £10 + £20 incentive groups were significantly more likely to be productive than those in the £10 group.

Table 9.5: Household response by incentive group

<i>Base: Eligible WEB-first households (excluding IP7, IP10 and IP11 refreshment samples)</i>	£10 incentive	£10 + £20 on full household completion	£30 incentive	Total
Any productive	71.9% 138	84.7% 172	86.0% 196	81.2% 506
Fully productive	51.0% 98	65.0% 132	69.3% 158	62.3% 388
Partially productive	20.8% 40	19.7% 40	16.7% 38	18.9% 118
Any unproductive	28.1% 54	15.3% 31	14.0% 32	18.8% 117
HH Grid or HH Grid + HH Qnr only	1.6% 3	2.0% 4	0.9% 2	1.4% 9
Refusal	13.0% 25	3.9% 8	7.0% 16	7.9% 49
Non-contact	4.2% 8	4.4% 9	1.8% 4	3.4% 21
Other unproductive	9.4% 18	4.9% 10	4.4% 10	6.1% 38
Bases	192	203	228	623

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. Of households allocated to the web-first group, 66.2% of productive households took part online only, 27.9% face-to-face only and 6.0% took part through more than one mode.

Table 9.6 shows the breakdown of response for Web-first households by incentive type.

Table 9.6: Mode of completion by incentive group

<i>Base: WEB-first households</i>	£10	£20	£10 +£15	£10 +£20	£30	Total
Online only	50.3% 171	42.7% 38	7.3% 57	59.4% 168	61.8% 243	35.8% 677
Online only (fully productive)	35.9% 122	28.1% 25	3.7% 29	45.9% 130	48.3% 190	26.2% 496
Face-to-face only	17.9% 61	23.6% 21	13.7% 108	15.5% 44	13.0% 51	15.1% 285
Telephone only	0.0% 0	0.0% 0	0.0% 0	0.0% 0	0.0% 0	0.0% 0
Mixture of modes	4.4% 15	4.5% 4	0.5% 4	4.9% 14	6.1% 24	3.2% 61
Unproductive	27.4% 93	29.2% 26	78.5% 617	20.1% 57	19.1% 75	45.9% 868
<i>Bases</i>	<i>340</i>	<i>89</i>	<i>786</i>	<i>283</i>	<i>393</i>	<i>1,891</i>

Among productive CAPI-first households, 94.1% took part by face-to-face only, 4.8% online only, and 1.1% took part through more than one mode.

8.2 Individual response

A total of 2,826 full adult interviews were conducted for IP11. There were also 72 partial adult interviews and a further 94 proxy interviews conducted in productive households.

This gives an individual response rate for full / partial interviews within productive households of 80.2% (Table 9.7). Including proxy interviews, the overall individual response rate was 82.8% within productive households.

Although the number of adults in unproductive households in the refreshment sample 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 1.8 eligible adults in productive households in the refreshment sample. Once this is applied to unproductive households, the estimated total individual response rate is 38.0% (including partial adult interviews), or 39.3% including proxy interviews.

Table 9.7: Individual response

<i>Base: All adults</i>	Adults in productive households	<i>Adults in all eligible households*</i>
Full interview	78.2% 2,826	37.1% 2,862
Partial interview	2.0% 72	1.2% 72
Proxy interview	2.6% 94	0.9% 94
Unproductive	17.2% 621	60.7% 4,629
Bases	3,613	7,621

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

Table 9.8 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 and the IP4 refreshment sample, a little lower for the IP7 refreshment sample, and a little lower still for the IP10 and IP11 refreshment samples.

Table 9.8: Individual response by sample type

<i>Base: Adults in productive households</i>	Original IP Sample	IP4 Refreshment Sample	IP7 refreshment Sample	IP10 refreshment sample	IP11 refreshment sample	Total
Full interview	82.1% 902	83.2% 405	78.4% 464	72.4% 307	74.0% 748	78.2% 2,826
Partial interview	1.9% 21	1.4% 7	2.9% 17	3.1% 13	1.4% 14	2.0% 72
Proxy interview	1.0% 11	1.8% 9	2.9% 17	2.8% 12	4.5% 45	2.6% 94
Unproductive	15.0% 165	13.6% 66	15.9% 94	21.7% 92	20.2% 204	17.2% 621
<i>Bases</i>	<i>1,099</i>	<i>487</i>	<i>592</i>	<i>424</i>	<i>1,011</i>	<i>3,613</i>

8.2.1 Individual response given productivity at previous wave (IP10)

Table 9.9 gives the individual response based on individuals' outcomes at IP10. 80.2% of adults who were productive at IP10 also gave a full or partial interview at IP11, while 19.2% of those who were unproductive at IP10 gave a full or partial interview at IP11.

Table 9.9: Individual response by outcome last wave

<i>Adults issued at both IP10 and IP11</i>	Productive last wave	Proxy last wave	Unproductive last wave	Total
Full interview	78.2% 1,901	11.5% 10	17.9% 137	62.4% 2,048
Partial interview	2.0% 48	0.0% 0	1.3% 10	1.8% 58
Proxy interview	0.2% 4	35.6% 31	1.4% 11	1.4% 46
Unproductive	19.6% 477	52.9% 46	79.4% 609	34.5% 1132
<i>Bases</i>	<i>2,430</i>	<i>87</i>	<i>767</i>	<i>3,284</i>

8.2.2 Incentive groups

Table 9.10 shows the response for adults in WEB-first households by different incentive levels. Individual response rates were higher for those receiving either a £30 incentive or a £10 incentive with a further £20 on full household completion, compared with the £10 incentive group. The lowest response was in

the £10 with a further £15 on full household completion incentive group. This is the IP11 refreshment sample and so the lower response rate is likely related to household members being new to the study, rather than the level of the incentive.

Table 9.10: Individual response by incentive group

<i>Base: Adults in productive WEB-first households</i>	£10	£20	£10 + £15	£10 + £20	£30	Total
Full interview	74.2% 376	79.8% 99	64.1% 193	82.4% 379	83.9% 549	78.0% 1,596
Partial interview	3.9% 20	4.0% 5	4.7% 14	2.8% 13	2.4% 16	3.3% 68
Proxy interview	1.4% 7	2.4% 3	2.7% 8	0.4% 2	0.3% 2	1.1% 22
Unproductive	20.5% 104	13.7% 17	28.6% 86	14.3% 66	13.3% 87	17.6% 360
<i>Bases</i>	<i>507</i>	<i>124</i>	<i>301</i>	<i>460</i>	<i>654</i>	<i>2,046</i>

8.2.3 Response rates in different modes

Table 9.11 gives the modes by which adults in WEB-first households completed the survey. Those given higher incentives (£30 or £10 with an additional £20 on full household completion) were more likely to take part online; 70.6% of adults in productive households in these incentive groups completed online, compared to 59.4% of those given a £10 incentive only. The £10 with a further £15 on full household completion incentive group had by far the lowest online response. This is unsurprising given these were households new to the study at IP11.

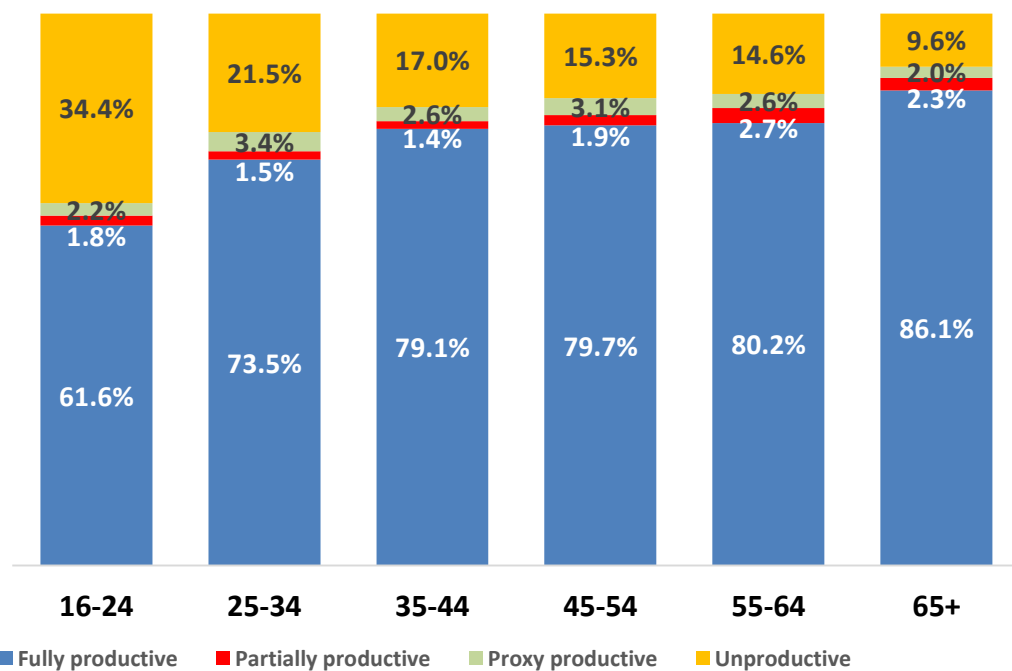
Table 9.11: Mode of completion by incentive group

<i>Base: Adults in productive WEB-first households</i>	£10	£20	£10 + £15	£10 + £20	£30	Total
Productive – Online	59.4% 301	61.3% 76	23.3% 70	69.8% 321	71.1% 465	60.3% 1233
Productive - Telephone	0.2% 1	0.0% 0	0.0% 0	0.0% 0	0.0% 0	0.0% 1
Productive – Face-to-face	18.5% 94	22.6% 28	45.5% 137	15.4% 71	15.3% 100	21.0% 430
Proxy productive (Face-to-face)	1.4% 7	2.4% 3	2.7% 8	0.4% 2	0.3% 2	1.1% 22
Unproductive	20.5% 104	13.7% 17	28.6% 86	14.3% 66	13.3% 87	17.6% 360
<i>Bases</i>	<i>507</i>	<i>124</i>	<i>301</i>	<i>460</i>	<i>654</i>	<i>2,046</i>

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 9.2). Amongst adults aged 65 or above the response rate was 86.1%, dropping to 61.6% for 16-24 year olds.

Figure 9.2 Individual response rates by age



Base (All adults in productive households): 16-24 (448); 25-34 (465); 35-44 (507); 45-54 (646); 55-64 (665); 65+ (882)

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 IP11
Supporting materials/information	
Project Instructions	Detailed interviewer instructions for IP11
Showcards	Book of showcards used in survey
Information Leaflet	Information about <i>Understanding Society</i>
Advance Letter	Copies of the advance letter received by respondents inviting them to take part
<i>Understanding Society</i> case studies	Examples of how data for <i>Understanding Society</i> 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	<i>Understanding Society</i> 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 1 st Class blank envelopes	Envelopes for sending tracing and stable contact letters
Gift voucher/Gift card materials	
Love2Shop Gift cards	Incentives for youth respondents, new entrants or adult participants who said they did not receive an incentive with their advance letter