



P3022: *Understanding Society* Unit:

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Wave 3

CAPI

Project Instructions

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Summary

Introduction

Understanding Society is a UK longitudinal household panel study consisting of annual interviews with 40,000 households, making it the largest household panel study in the world. The study launched in January 2009 and Wave 3 begins in January 2011. *Understanding Society* focuses on all aspects of an individual's life such as health, relationships, finances, employment status and well-being; measuring the impact of social and economic change on the household.

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

Main fieldwork is complemented by an Innovation Panel which tests significant innovations in types and methods of data collection and study delivery (e.g. use of showcards, incentive amounts, etc). The results from these panels will feed into future waves of this study and the wider social research community.

TheCC British Household Panel Survey, *Understanding Society's* predecessor, ran from 1991 – 2009 and was also led by the University of Essex. It followed 8,150 households across Britain and is well respected within the research community, so its sample was incorporated into *Understanding Society* at Wave 2. Participants knew that survey as Living in Britain, Living in Scotland, Living in Wales or the Northern Ireland Household Panel Survey. We refer to this sample as the “Living in Britain” sample, for short-hand.

Sample

In Wave 3 we will be re-visiting productive and unproductive Wave 2 households, including partials. The sample size, as in Wave 2, will be approximately 40,000 households and will be interviewed face-to-face. This sample consists of three groups:

- General Population sample (28-29,000 households)
- Ethnic minority boost sample (5000 adults – 1000 from five main ethnic groups: Indian, Pakistani, Bangladeshi, African, Caribbean)
 - o one of the largest UK longitudinal study samples of ethnic minorities
- *Living in Britain* sample (8, 150 households)

Fieldwork

Wave 3 fieldwork will last for 2 years: January 2011-December 2012 and is split into 24 monthly samples. The *Understanding Society* sample will be allocated to the same fieldwork month as in Wave 1, *Living in Britain* sample members to the same month as in Wave 2, and they will be interviewed during year one of Wave 3 (i.e. 2011).

In advance of contacting the household

Advance mailings are posted to each sample member by the office prior to the start of fieldwork, regardless of whether or not they have previously completed an individual interview. The mailing includes: an advance letter, an incentive, a change of address (COA) card and a Freepost return envelope for the COA card.

On the doorstep

Your first contact with the household must be face-to-face as it is easier to establish rapport this way and to avoid refusal; subsequent contacts can be made by telephone, if the household members are happy for you to contact them in this way.

We are aiming for an 85% response rate for the *Understanding Society* sample and 92% for the *Living in Britain* sample.

Who to interview

All household members aged 10+ are invited to take part: children (10-15s) complete a paper self-completion; adults (16+) complete a CAPI interview, Cognitive Ability tests and a CASI self-completion. CAPI will determine the eligibility of individuals once the Household Grid has been completed. You will also be following and interviewing eligible movers and members of their new household.

The ARF

At Wave 3, there are two types of the ARF and a 784 log:

- ARF A relates to the original household;
- ARF B relates to split households; and
- 784 log relates to split households that are not eligible for interview, i.e. households consisting only of temporary sample members (TSMs)/people in prison who have permanently left the original household.

Tracing

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

Any sample member who has moved address since the previous wave will be followed to their new address for interview with the exception of those who have moved outside the UK and those who are in prison. You are expected to make reasonable attempts to contact and/or trace the sample members; this may require more than one visit. You will also try to locate the untraced movers from Wave 2.

The Interview Process

The data collection instruments and their (average) timings are:

- 15 min CAPI household questionnaire (including the enumeration of the household i.e. household grid);
- 25 min Individual Adult CAPI questionnaire for all aged 16+ (30 min for the ethnic minority boost);
- 11.5 min Cognitive Ability module;
- 13 min Adult CASI;
- 10 min CAPI proxy questionnaire; and
- 10-15 min Youth paper self-completion questionnaire for all aged 10-15.

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

In Wave 3, paper self-completions will only be completed by young people (aged 10-15); adult self-completions will be CASI (Computer Assisted Self-Interviewing) and will be administered as part of their CAPI interview.

CAPI Interview

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

The CAPI questionnaire is structured within 5 main parallel blocks:

- Household questionnaire;
- Individual questionnaire;
- Household split;
- Self-completions for children; and
- Admin.

The main topic areas covered in the individual Wave 3 questionnaire are:

- Personal and family background;
- Ethnicity and religion;
- Neighbourhood and social networks;
- Health;
- Cognitive ability;
- Relationships;
- Annual events;

- Employment;
- Family networks and childcare;
- Finances; and
- Politics.

Cognitive ability

You will be administering cognitive ability tests which are designed to assess the memory, concentration, numeracy and literacy of respondents.

There are five elements to the cognitive module in Wave 3:

- Word recall;
- Subtraction;
- Number sequences;
- Verbal fluency (animal names); and
- Numeric ability.

Queries

Please contact Brentwood on 01277 690000 if you have any queries or are having difficulties.

1 Introduction

1.1 Background

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

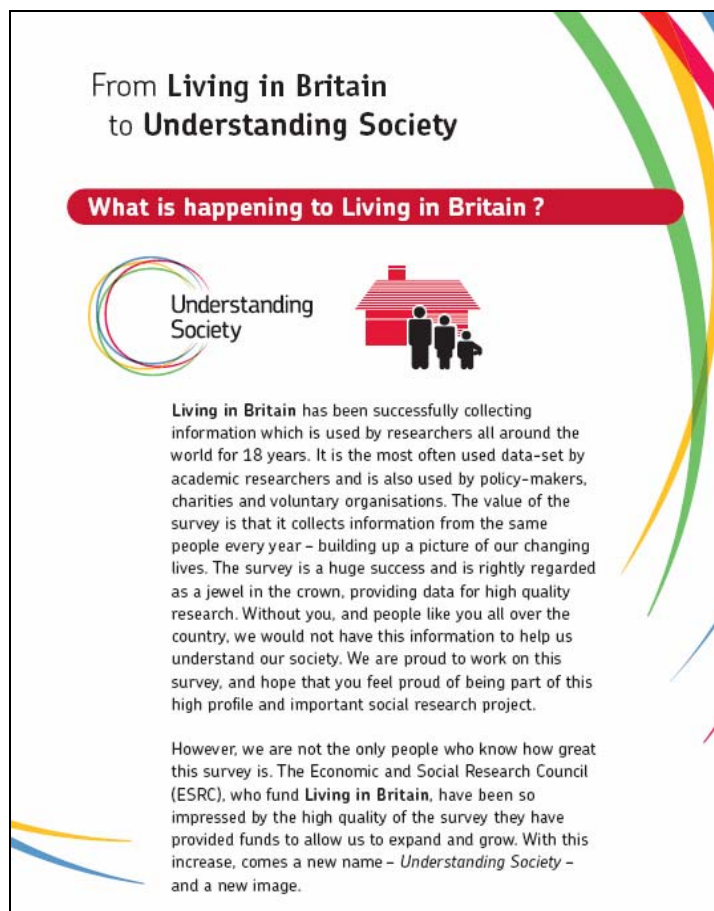
Understanding Society will provide valuable new data about people across the UK - their lives, experiences, behaviour and beliefs, and will enable an unprecedented understanding of diversity within the population. The study will help us understand the short and long-term effects of social and economic change, as well as policy interventions designed to impact upon the general well-being of the UK population. The data will be used by academic researchers and policy-makers, feeding into policy debates and influencing the outcome of those debates.

The design of the study is similar to that of *Living in Britain* (the umbrella term for studies known as *Living in Britain*, the *Northern Ireland Household Panel Survey*, *Living in Scotland* and *Living in Wales*) which ran from 1991 to early 2009 and was also managed by the team at ISER. In *Living in Britain*, children born at the start of the study have been followed into adulthood and into the labour market. Those who were young adults when the study started have been tracked through their years of partnership formation, marriage and establishing a family, along with all the effects this has on other areas of their lives such as employment, housing needs and income. People who were middle-aged when *Living in Britain* started have been followed through their retirement period to understand their well-being into old age. *Understanding Society* will do the same over the coming years but with a much larger sample size. This will allow us to look in more detail at small sub-groups within the population as well as year groups within the sample. However, so as not to lose the rich experience of the *Living in Britain* participants, at Wave 2, the existing sample was incorporated into the *Understanding Society* sample.

ISER's experience of conducting *Living in Britain* over the last 18 years is that both respondents and interviewers enjoyed the study. Respondents enjoy the fact that their interviewer returns every year and they can update them on things that have happened to them and other household members. Similarly, interviewers enjoy revisiting the same people to see how they are getting on, even if sometimes they encounter people in difficult circumstances. *Understanding Society* is building up a unique picture of how people's lives develop and change as events and experiences unfold in their lives. *Living in Britain* sample members who have questions about their inclusion in

Understanding Society should be shown the 'From *Living in Britain* to *Understanding Society*' leaflet, which includes much more information on the new study.

Figure 1.1 'From *Living in Britain* to *Understanding Society*'



For more information on the study, please visit the *Understanding Society* website:

www.understandingsociety.org.uk

For information on the media coverage of *Understanding Society*, please visit the 'News' page of the *Understanding Society* website at:

www.understandingsociety.org.uk/news/inthenews/default.aspx.

Other articles discussing *Understanding Society* include:

- **www.guardian.co.uk/lifeandstyle/2010/nov/14/only-children-happier-competition-bullying**
- **www.guardian.co.uk/commentisfree/2008/aug/19/labour**
- **www.guardian.co.uk/education/2008/oct/13/research-highereducation**
- **www.thaindian.com/newsportal/india-news/worlds-largest-household-study-to-unveil-vital-issues-facing-human-communities_100107499.html**
- **www.newsguide.us/education/science/How-green-is-your-house/**

You can also find more information about the benefits of panel studies, including *Living in Britain* and *Understanding Society*, in an ISER/ESRC produced document, 'In Praise of Panel Surveys': <http://research.understandingsociety.org.uk/files/research/IPOPS.pdf>

1.2 Branding



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

2 The Sample

As in Wave 2, the total sample for Wave 3 is around 40, 000 households. It is a named sample of general population and ethnic boost samples, the Innovation Panel sample and *Living in Britain* households (which were incorporated into the *Understanding Society* sample at Wave 2).

Assignment sizes will vary and the sample has been clustered to reflect geographical areas.

You will be revisiting:

- productive and unproductive Wave 2 *Understanding Society* households, including partials; and
- productive and unproductive *Living in Britain* households (at most recent wave), including partials.

A productive household is defined as a household where all household members were interviewed; partial households are ones in which at least one household member completed an interview, but not all.

The majority of interviews will be face-to-face and will be carried out at participants' households. The only exception to this is around 500 *Living in Britain* households that will be interviewed by telephone at the NatCen telephone unit.

3 Fieldwork

The fieldwork for Wave 3, as in previous waves, will last for 2 years from January 2011 to December 2012, and will be split into 24 monthly samples. *Understanding Society* sample members will remain in the same monthly sample that they were allocated to in Wave 1. *Living in Britain* sample members were allocated to a new monthly sample in Wave 2 of the study; they will remain in the same monthly sample in Wave 3 and subsequent waves. As in Wave 2, the *Living in Britain* sample will be interviewed in the first year of Wave 3.

There can be no swapping of addresses to a different monthly sample.

The 24 monthly samples are named:

- 2011: JA1, FE1, MR1, AP1, MY1, JN1, JL1, AU1, SE1, OC1, NV1, DE1
- 2012: JA2, FE2, MR2, AP2, MY2, JN2, JL2, AU2, SE2, OC2, NV2, DE2

3.1 Interviewing phase

As in previous waves, the first issue period will start on the 8th of each month except in August and December when it will start on the 1st due to a holiday season.

The fieldwork will be broken down as follows (see also figure 3.1 below):

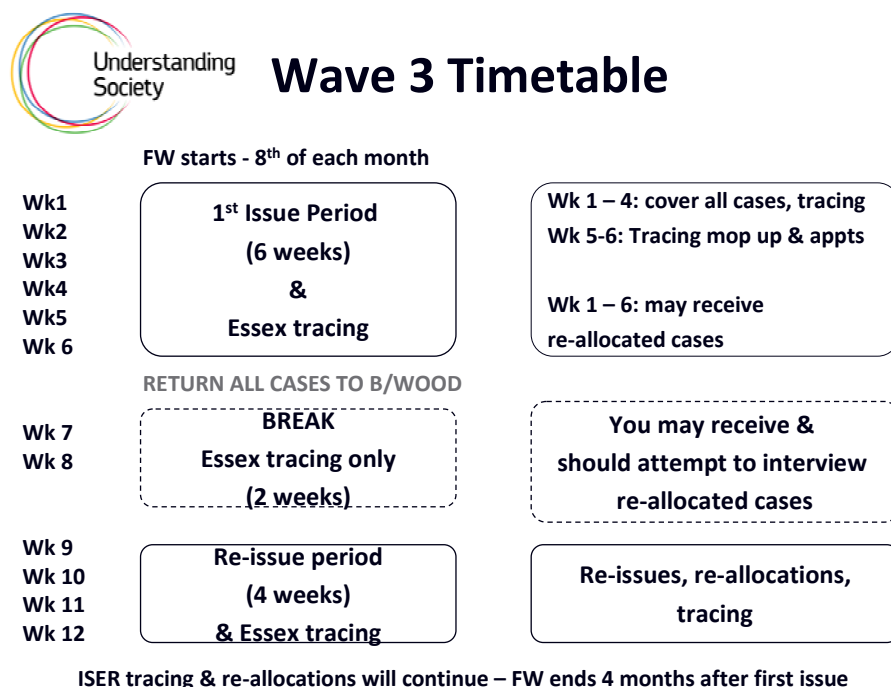
- First Issue Period – the first six weeks (weeks 1 – 6);
- Break – two weeks (weeks 7 and 8);
- Re-issue Period – 4 weeks (weeks 9- 12) for cases which have been successfully traced – or which still require further tracing – and re-issued cases.

You will have four weeks for the first issue and a further two weeks to complete tracing of movers. Weeks 5 and 6 of the first issue period is not solely for tracing of movers however, and you can use this time for appointments. This is especially applicable to cases where the sample member may be on holiday or unavailable until later into the interviewing phase. **If you identify a mover early on in the interviewing phase then you can begin tracing immediately- you do not have to wait until weeks 5 and 6 for this.** If tracing is unsuccessful, the household should be coded as this, and returned to Brentwood so that it can be sent to ISER for further tracing as early as possible.

This is followed by a 2 week 'break' where the first issue period is finished, and all cases are returned to the office. These cases are then sent to Essex for further tracing so during this two week break you may receive movers that have been traced for interviewing.

The re-issue period lasts 4 weeks and you will be covering cases which have been successfully traced – or which still require further tracing – and reissued cases. You could therefore receive traced cases at any point during the fieldwork period.

Figure 3.1: Wave 3 timetable



Please note that after the re-issue period has finished, ISER will continue to trace any remaining cases. The fieldwork period for each monthly sample will finish four months after the first issue, and you might receive re-allocations up until this point. The fieldwork is this long to allow time for ISER's tracing. For example, JA1 sample fieldwork will start on 8 January 2011 and you could be sent re-allocations of successfully traced cases from the JA1 sample up until four months after the first issue, i.e. until 8 May 2011.

3.2 Targets

The targets for coverage during the 1st issue period are:

- By day 21: 60% covered and transmitted back with final outcome;
- By day 32: 80% covered and transmitted back with final outcome;
- By day 42: 100% covered and transmitted back with final outcome.

3.3 Fieldwork timetable

See Appendix G for a detailed fieldwork timetable for 2011.

4 In advance of contacting the household

This chapter outlines what you need to do before you start fieldwork, and what activities are undertaken by the office.

4.1 Informing the police

Before you start working on your allocated cases, please check in at the local police station(s). At the station:

- explain what the study is about and how long you will be working in the area;
- provide them with a copy of the generic advance letter (see section 5.5.4 for more information);
- present your identity card and leave your name and the NatCen Freephone number (0808 168 1356);
- Ensure that all the details you have given are recorded in the day-book at the station desk, if that station has one. Also ask them to rubber-stamp and sign a copy of the generic advance letter, but please note that not all desk officers are willing to do this.

Make a note of the name and number of the officer with whom you speak and the date and time of your call so that you are fully covered in the event of any query or complaint to the police. It is reassuring for suspicious households, as well as other people you come into contact with, to be told that the police are aware of your work in the area.

You must not start work until you have registered with the police.

4.2 Advance mailing

Approximately a week before the first issue period, respondents are sent an advance letter informing them that they will soon be approached to take part in the next stage of the study. The letters are posted by the office to each individual, including rising 16s (respondents who have turned 16 since the previous wave) in households that took part in Wave 1 and/or Wave 2 of *Understanding Society* and to all *Living in Britain* adult sample members, regardless of whether or not they have previously completed an individual interview.

The advance mailing includes the following:

- Advance letter;
- Incentive (£10 high street gift voucher);
- Change of address (COA) card; and
- COA Freepost return envelope.

4.2.1 Types of advance letter

We have designed six types of advance letter to accommodate different types of respondents. Each version is worded slightly differently, depending on the type of sample member they are targeting and whether or not they took part in the study at Wave 2.

Table 4.1: Versions of the advance letter

Advance mailing version	Type of sample member
A	<i>Understanding Society</i> interviewed at Wave 2
B	<i>Understanding Society</i> not interviewed at Wave 2
C	Rising 16 since Wave 2
D	<i>Living in Britain</i> interviewed at W2
E	<i>Living in Britain</i> not interviewed at W2
Generic	Use on the doorstep / new household members / those that have not received an advance letter. No differentiation between sample member types

4.2.2 The COA card

The advance mailing also includes the COA card (see figure 4.1 below) and a University of Essex Freepost return envelope. This is to encourage sample members to inform us of the change in their contact details. Respondents will receive a £5 voucher (from the University of Essex) if they return the card with their new details.

COA cards are pre-printed with each individual's current contact details (name, personal contact details and address) – rather than just one per household – so that we can be notified if only one person in the household moves (as opposed to a whole household move).

Blank versions of the COA card and freepost envelope are included in your workpack should you come across a new entrant to a household or anyone who did not receive their advance mailing (see 9.6.2). CAPI will prompt you to record information on the COA card if you encounter a new entrant.

Figure 4.2: The COA card

Moving home? Take us with you

www.understandingsociety.org.uk/participants
contact@understandingsociety.org.uk

FREPOST B00K-KEG-JGKS
Understanding Society, University of Essex
Wivenhoe Park, Colchester, CO4 3SQ

Thank you for taking part in Understanding Society this year. Your continuing participation is very important to us. Please let us know if you move by updating your details on the Understanding Society website at www.understandingsociety.org.uk/participants, alternatively you could call us on Freephone 0800 252 853 or return this card in the Freepost envelope (no stamp needed). To say thank-you we will send you a £5 voucher.

Name: _____ MOVING TO: _____
PID: _____ New Address: _____
MOVING FROM: _____
Home phone: _____ (inc STD code)
Postcode: _____
Mobile: _____
Postcode: _____ E-mail address: _____
Date of move: _____

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

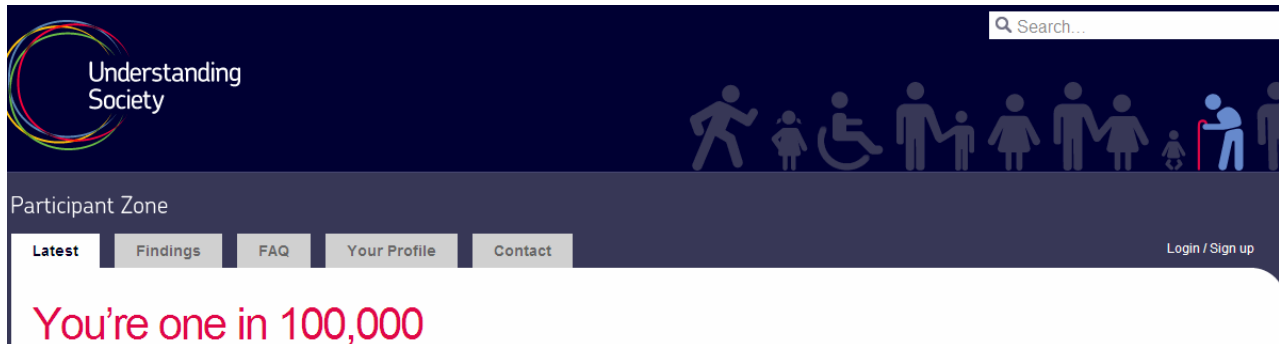
Name: _____
Mobile: _____
Name: _____
Mobile: _____
Name: _____
Mobile: _____
Name: _____
Mobile: _____

Printed on Forest Stewardship Council (FSC) accredited and 100% recycled paper

4.2.3 Participant Zone

Participants can also update their details on the *Understanding Society* website. The web address is on all the respondent materials: **www.understandingsociety.org.uk/participants**. Those who register a change of address online will also receive a £5 gift voucher.

Figure 4.2 www.understandingsociety.org.uk/participants



5 On the doorstep

5.1 First contact with the household

When contacting the household you cannot:

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

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

Research shows that:

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

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

If no one is at home, leave an *Understanding Society* appointment card (see Figure 5.1) to inform the residents of your visit. You may use the study Freephone number¹ (0808 168 1356) as a contact number. This number is staffed 9am – 5pm Monday to Friday. Outside these hours, an answer phone service operates.

If you are unable to make contact with the household, follow the procedures for tracing sample members discussed in Chapter 0.

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

5.2 Subsequent contact with the household

After you have made your **first contact in person**, subsequent contact can be made by telephone if the household are happy for you to call them, e.g. to arrange or check appointment times.

¹ However, calls to this number from mobile phones will incur a charge.

You will need to record details of all telephone calls on the ARF (see Chapter 7 for information on the ARF), including the following information:

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

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

5.3 Introducing the study

As we will be re-visiting the households annually, **it is important to stress that the study is concerned with stability and change over time and this is why we would like to interview the household again.** Remind the respondents that this is a **study about them as individuals and that we want to find out how different aspect of their lives interact and influence each other.** It is important that you prepare answers to potential questions so that on the doorstep you are able to tailor your response depending on the objections raised and who you are talking to.

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

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

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

For some frequently asked questions and answers, please consult the '*Understanding Society: Information for Participants*' leaflet (see section 5.5.3) and Appendix A; also refer to the 'Introduction' of these instructions for the background information on the study.

Use the information provided on the Sample Information Sheet (SIS) on ARF A to get an idea of the household composition from the previous wave.

5.4 Maximising response

Remember that a friendly approach works best. Withdraw if it's not a good time and a refusal is likely and come back at a different time. You **must** make multiple visits to interview all eligible individuals; it is very important that you aim to achieve a fully productive household i.e. a household interview and individual interviews with all household members aged 16 and over.

Because this is a longitudinal study, we are aiming for an 85% response rate for the *Understanding Society* sample and 92% for *Living in Britain*. This rate is a reasonable target for the study at this wave and is based on our experience of other longitudinal studies, such as *Families and Children*.

5.5 Documents to use on the doorstep

The following documents are available for you to use on the doorstep (see figure 5.1 below):

- Appointment card;
- Broken appointment card;
- '*Understanding Society*: Information for Participants' leaflet;
- Generic advance letter; and
- Participants' Update.

5.5.1 Appointment card

You have been supplied with an appointment card for you to use when you arrange the appointment with the household. You can use the blank space to write a message.

5.5.2 Broken Appointment Card

Use this card for broken appointments. The card directs the respondent to call the Brentwood freephone and to propose a different interview time.

5.5.3 '*Understanding Society*: Information for Participants' leaflet

For new entrants to the household (i.e. those who joined since the previous interview) there is also a study leaflet which provides more information about the study and the interview. The content of the leaflet has changed since Wave 2. You can show this leaflet to established sample members as well if appropriate.

5.5.4 Generic advance letter

We have produced a laminated generic version of the advance letter which can be used on the doorstep, so that you do not have to carry multiple versions of the advance letter when visiting a household and to avoid any confusion over which letter to use. The generic version does not

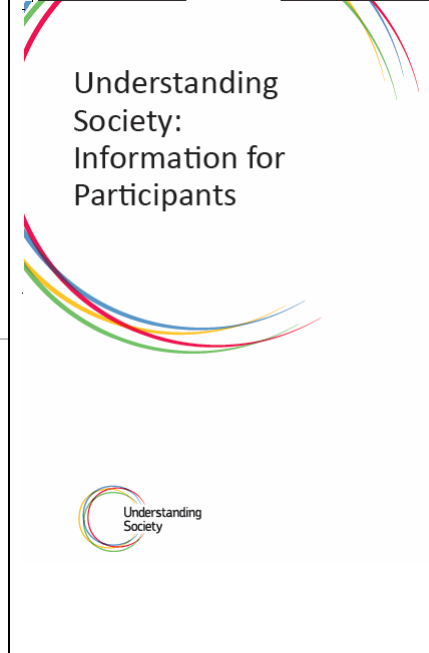
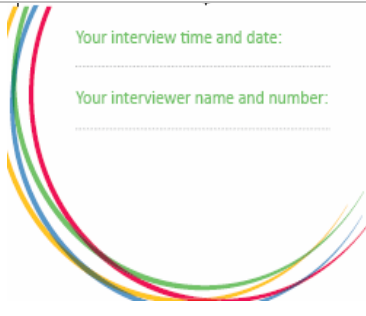
differentiate between sample member types; it simply tells the sample member about the study and encourages them to take part.

In addition to the laminated copy, your workpack includes spare copies of the generic advance letter (which have not been laminated) and these can be given to sample members on request, e.g. if they are a new entrant or did not receive their advance mailing. If you require further copies of these, please contact the office.

5.5.5 Participants' Update

The Participants' Update is included in your workpacks for you to use on the doorstep. It is sent to sample members approximately six months after their interview and includes some initial findings from the first few months of the fieldwork at the previous wave.

Figure 5.1: Doorstep Documents

Appointment Card	Broken Appointment Card	Study Leaflet
		
		

6 Who to interview

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

New entrants – this is someone who has joined the household since the last interview.

Re-joiners – this is a sample member who left the original household and then re-joined it at a later wave.

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

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

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

We do not want you to interview respondents:

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

6.1 Eligibility of new entrants to the household

For new entrants to the household you will need to determine whether they are/ are not part of the household. To do so, use the household definition below:

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

Sharing at least one meal a day:

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

Sharing living accommodation:

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

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

General points to note:

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

Normal household residents would also include:

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

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

6.2 Absent household members

We will need to confirm the location of absent household members in the Household Grid. Absent members include anyone was living away from the household in institutional accommodation (e.g., students in Halls of Residence) at both Wave 1 *and* Wave 2. Other absent household members **include** people who are normally resident in the household but are presently working away, e.g. people who work away from home for whom this is their **only** fixed

or **main** dwelling unit (e.g., on business, in the armed services, fishermen, oil rig workers or merchant seamen).

6.3 Non-resident household members

The following are not regarded as eligible household members:

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

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

- Group 1: Normal household residents (using the standard household definition);
- Group 2: Absent household members (at school / university); and,
- Group 3: Absent household members (working away).

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

7 ARF A – issued household

There are two types of ARF in Wave 3:

- **ARF A** (including Sample Information Sheet (SIS)) - used for the original household;
- **ARF B** - used for split households, i.e. households containing sample members who have moved out from the original household but are eligible for an interview.

In addition, there is a **784 log** (which replaces ARF C from Wave 2) where you can log the serial numbers of split households that are not eligible for an interview but need to be created in CMS.

7.1 ARF A explained

Figure 7.1: Address and household information label explained

The diagram shows a form divided into two main sections: ADDRESS LABEL and HOUSEHOLD INFORMATION. Red callout boxes explain specific fields:

- Serial number** (SN: 301100-12-1-Q): Consisting of a leading 3 to indicate that this is W3, two digit month, 3 digit point number, 2 digit address and a 1 digit split household number and check letter.
- Sample type**: Indicated by the text 'Sample: USoc/GB'.
- Adult voucher amount**: Indicated by the text 'Voucher: £10'.
- Sample month**: Indicated by the text 'Month: JA1'.
- Household Address**: Indicated by the text 'Address: 35 Northampton Square London EC1V 0AX'. A callout explains: 'Household Address – you can look up address co-ordinates from postcodes using www.nearby.org.uk'.
- Principal contact's name**: Indicated by the text 'Principal contact: MR JOHN SMITH'. A note below states: '(Principal Contact information is for REFERENCE ONLY – a refusal from principal contact does NOT constitute a whole household refusal. Use the SIS to contact the other adults in this household)'.
- Date/time of last interview**: Indicated by the text 'Last interview: Tuesday 17:55:10 29/09/2009'.

ADDRESS LABEL	HOUSEHOLD INFORMATION
SN: 301100-12-1-Q FA: 1 Month: JA1 Address: 35 Northampton Square London EC1V 0AX	Sample: USoc/GB Voucher: £10 Last interview: Tuesday 17:55:10 29/09/2009 Principal contact: MR JOHN SMITH (Principal Contact information is for REFERENCE ONLY – a refusal from principal contact does NOT constitute a whole household refusal. Use the SIS to contact the other adults in this household)

7.1.1 Keeping track (pages 1 – 4)

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

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

The 'Tracking Interviews and Self Completions' section on p.4 allows you to keep track of progress in the household, e.g. record who has been interviewed and/or who has done their self-completion.

7.1.2 Sections A-D

These sections are for you to fully record your observations and all attempts to contact the household. New addresses and/or any tracing activities are to be recorded in sections B-D.

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

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

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

7.1.3 Section E – Translations

This section is for use on the doorstep. It allows you to check the language requirements of the household and whether translations are required. You must do this in Wave 3 of the survey in case there are new entrants, and in case requirements have changed since Wave 2.

For entirely non-English speaking households who require translation into one of the nine languages, the ARF directs you to use the W3 ARF Translation Card and the ARF translation booklet to check the languages spoken and to obtain contact telephone numbers.

See chapter 13 for more information.

7.1.4 Section F - Eligible Households

This section asks you to record: a) any queries raised by eligible households at initial contact and b) their resistance to cooperate.

It is important to record all the queries that the household has raised (queries can range from questions on the interview length to the purpose of the study) so that we can identify the most common concerns sample members have about participating.

In relation to the resistance question, as different members of the household may vary in their resistance to take part, you should base your answer on the household member who made the

ultimate decision when you first made contact. It is very important that you gauge this correctly as we use this information to decide whether any unproductive cases should be re-issued.

If the household refuses to take part, it is important that you try to get a reason for their refusal. This information will help us to try and prevent other participants from dropping out from the survey in the future.

7.1.5 Section G - Final Outcome Codes

All the final household outcomes are on one page of the ARF (also see Appendix C). Code the final outcome and then follow the routing. Make sure you transfer the outcome code to the front of the ARF. Codes 110 and 210 (productive codes) will be generated automatically in the CAPI Admin. Unproductive codes are generated by the interviewer.

7.1.6 Section H – Unproductive Households

This section contains follow up questions about the household's reasons for refusal (in order to establish whether another interviewer might be able to get an interview) and the standard open question to record more details about the non-productive outcomes.

Please record as much detail as you can about the non-productive outcomes as it helps us understand the most common reasons for refusal.

7.2 Sample Information Sheet (SIS)

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

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

The SIS has 4 main sections:

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

Household and individual information can be found after page 4 on ARF A. The remaining key sections can be found at the end of ARF A.

Each page of the SIS contains the serial number, check letter and field area. A key to abbreviations used in the SIS can be found at the back of ARF A.

7.2.1 Household information

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

7.2.2 Individual information

This section contains the following information – where possible – for each household member enumerated at Wave 1/2 (including those who were not interviewed/absent at the previous wave):

- name;
- sex;
- age;
- whether they have ever been interviewed;
- whether we are aware that someone should not be contacted at this wave – death, refusal, too old/infirm
- individual outcome at previous waves;
- date and time of last individual interview;
- absent sample members: where absent sample members at Wave 2 were living. This will be blank for non-absent sample members;
- job status at previous wave;
- telephone number(s): home landline, mobile, work numbers;
- whether they are a rising 10 or a rising 16: '10' indicates the sample member has turned 10 and is now eligible for the youth self-completion. '16' indicates the sample member has turned 16 since their last interview and is now eligible for a full interview; This will be blank for all other sample members;
- what language the previous interview was conducted in; and
- sample member type (see section 7.3).

7.2.3 Notes on contact from last interview

Comments made by the last interviewer regarding the address location, call pattern or other information they regarded as useful for the future will be recorded here.

7.2.4 Interviewer comments from previous wave

Any useful comments made by the interviewer at the previous wave regarding either the household as a whole, or individual sample members, will be included here.

7.2.5 Stable contact details

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

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

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

7.2.6 Suspected split-offs

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

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

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

8 Dealing with split households

You may find that some respondents are still resident at the issued address, but that others have moved to a new address(es). We need to move them out of the original serial number and establish a split serial/household for them.

The CAPI will instruct you through the process of dealing with movers and establishing split households for them, as detailed below.

Please follow the process exactly as instructed. You cannot create split households without having completed the household grid in the original household first, as without the CurStat codes CAPI will not know who is meant to be in each new split household.

8.1.1 Tell CAPI who has moved

First you need to tell the CAPI who has moved. This is done in the household grid of the original/issued household. At the question CurStat code the people who are no longer living in the household as 4 'Not resident, having moved', or, if someone has gone to prison, code them as 3 'In prison' and indicate at the next question whether or not they are likely to return to this household when released.

8.1.2 Open ARF Bs and 784 log

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

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

Interviewed split households – ARF B

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

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

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

Figure 8.1 CAPI screen with person information for new household

Understanding Society - Wave 2

Forms Answer Navigate Options Help

New serial number: 201500013 RESIDENT CODES TO TRANSFER TO ARF B.

PLEASE ENTER THESE CODES IN THE NEW SERIAL NUMBER ON YOUR LAPTOP EVEN IF UNABLE TO FOLLOW UP THIS SPLIT HOUSEHOLD YOURSELF.

Person ResCode Name

P1: 3 Jane Smith, aged 44

P2: 2 John Smith, aged 44 Tel: 01234567891

P3: 3 Michael Smith, aged 21

P4: 1 * Anna Smith, aged 18 Tel: 01111111111

P5: 3 Mr Joshua Smith, aged 15

P6: 2 Ms Katie Smith, aged 9

* Those reported to be in the new split household.

Press <ENTER> to continue

HHNum/Serial	P[1]	P[2]	P[3]	P[4]	P[5]	P[6]	P[7]	P[8]	P[9]	P[10]	P[11]	P[12]	P[13]	P[14]	P[15]	P[16]
HH[1]																
HH[2]	2	2015000	3	1	3	2	3	1								
HH[3]	3	2015000	3	2	3	1	3	2								
HH[4]																

473/599 UnderstandingSociety 201500 11 QSplitHH.QTHHHSum.HH[3].HHNum 18/11/2009 11:08:00

784 log – non-interviewed split households

If we don't want to interview the people who have moved, CAPI will ask you to open a 784 log and copy the serial number.

We don't use 784 log for any interviewing but it is intended to act as a memory aid for you to create the new split serial number which is also required for all splits.

8.1.3 Creating split households in CMS

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

Note that you need to create the new serial numbers on your laptop in all cases where CAPI tells you to, **whether or not you will yourself be able to interview split household.** You need to create a new serial number for example also in cases where you have not found follow-up details for a split household (code as 671) or if the household has moved outside your area (code as 673).

To create new households follow the instructions below:

MenuSystem - [Case Selection]

Live Interviewing - Address menu P2927 - PIL

Arrow down to select a serial number and then press <Enter> or <Alt + E >

	Serial No	Case Status	No of Calls	Outc	Blaise Admin	Transm on Trip	Comment
1	9001011	No Call	0	000			
2	9001012		0				
3	9001021	No Call	0	000			
4	9001031	No Call	0	000			
5	9001041	No Call	0	000			
6	9001051	No Call	0	000			
7	9001061	No Call	0	000			
8	9001071	No Call	0	000			
9	9001081	No Call	0	000			
10	9001091	No Call	0	000			
11	9001101	No Call	0	000			
12	9001111	No Call	0	000			
13	9001121	No Call	0	000			
14	9001131	No Call	0	000			
15	9001141	No Call	0	000			
16	9001151	No Call	0	000			
17	9001161	No Call	0	000			

Back <Alt+B> Search <Alt+S> Create New Household <Alt+N> Enter Serial <Alt+E>

Power Status 100 % : Mains Connected 05/12/2008 15:23

start E:\ MenuSystem - [Case ... 15:23

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

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

MenuSystem - [Case Selection]

Live Interviewing - Address menu P2927 - PIL

Arrow down to select a serial number and then press <Enter> or <Alt + E >

	Serial No	Case Status	No of Calls	Outc	Blaise Admin	Transm on Trip	Comment
1	9001011	No Call	0	000			
2	9001012		0				
3	9001021	No Call	0				
4	9001031	No Call	0				
5	9001041	No Call	0				
6	9001051	No Call	0				
7	9001061	No Call	0				
8	9001071	No Call	0	000			
9	9001081	No Call	0	000			
10	9001091	No Call	0	000			
11	9001101	No Call	0	000			
12	9001111	No Call	0	000			
13	9001121	No Call	0	000			
14	9001131	No Call	0	000			
15	9001141	No Call	0	000			
16	9001151	No Call	0	000			
17	9001161	No Call	0	000			

Back <Alt+B> Search <Alt+S> Create New Household <Alt+N> Enter Serial <Alt+E>

Power Status 100 % : Mains Connected 05/12/2008 15:24

start E:\ MenuSystem - [Case ... Document - WordPad 15:24

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

MenuSystem - [Case Selection]

Live Interviewing - Address menu P2927 - PIL

Arrow down to select a serial number and then press <Enter> or <Alt + E >

	Serial No	Case Status	No of Calls	Outc	Blaise Admin	Transm on Trip	Comment
1	9001011	No Call	0	000			
2	9001012	No Call	0	000			
3	9001013	No Call	0	000			
4	9001021	No Call	0	000			
5	9001031	No Call	0	000			
6	9001041	No Call	0	000			
7	9001051	No Call	0	000			
8	9001061	No Call	0	000			
9	9001071	No Call	0	000			
10	9001081	No Call	0	000			
11	9001091	No Call	0	000			
12	9001101	No Call	0	000			
13	9001111	No Call	0	000			
14	9001121	No Call	0	000			
15	9001131	No Call	0	000			
16	9001141	No Call	0	000			
17	9001151	No Call	0	000			
18	9001161	No Call	0	000			

Back <Alt+B> Search <Alt+S> Create New Household <Alt+N> Enter Serial <Alt+E>

Power Status 100 % : Mains Connected 05/12/2008 15:24

start E:\ MenuSystem - [Case ... Document - WordPad 15:24

Address menu

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

8.1.4 Using the new split serial numbers

Interviewed split households

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

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

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

Completing the Household Grid

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

Note that the follow-up questions about why and when the other people joined the household should be answered in relation to the household since the moment when our split-off mover(s) joined the household, even in cases where our split-off mover joined another existing household.

For any existing residents, code their:

- month/year of joining the household to be the date when our mover joined the household
- reason for joining to be the reason why they became a part of our mover's household (e.g. marriage)

For example, if one of our sample members (an OSM) left their original household to get married to someone from outside the sample who has two children in the household already, the non-OSM partner's reason for 'joining' would be coded as marriage and the children's reason would be coded as 'other'. The date of their joining would be the date our OSM moved into the household.

Non-interviewed split households

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

- create the split serial number in the CMS (as instructed by CAPI/copied onto 784 log)
- complete the short Admin block for the household – the outcome code 784 'Hhold no longer eligible - TSMs only' will be automatically generated
- send the case back to the office

ARF B or 784 log? Following rules

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

Sample Member Type – Original/Permanent or Temporary

In order for us to identify which sample members we would like to follow and re-interview in future waves, we have categorised the sample into three groups:

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

Following rules

When someone moves, the CAPI will look at their sample member status to determine whether you should open an ARF B or 784 log – i.e. whether we want to interview them or not.

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

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

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

The following is an example temporary sample member scenario: at the last wave of *Understanding Society* we interviewed a household that was comprised of a couple Michael and Sue and their lodger, Lucy. Michael and Sue are OSMs but Lucy is a TSM as she only moved into the household 18 months ago and was not living in the household during the first wave of *Understanding Society*.

When we go back to the household at this wave, we find that Lucy has moved out of the original household. Michael and Sue are still OSMs and living in household 1. In household 2, Lucy is still classified as a TSM but because she is no longer resident in an OSM household, she is ineligible for interview.

8.1.5 Whole household moves

Please note that if you find out that everyone in the issued address has moved out, it may not necessarily mean that you need to open split households.

In such cases you should first trace the household to their new address.

If you cannot trace the household but are certain that the household has moved, code this as a 671.

If you manage to trace someone in the household, the way to proceed depends on whether you find out that the whole household has moved together to a new address, or whether the household has split and is living in two or more new addressees:

If you find out that the whole household has moved TOGETHER

No split households need to be created – it's just that the address of the household has changed.

In such cases:

- continue to use the issued serial number and ARF
- in the Admin block, code 2 'No eligible individuals resident', at question 'OrigAddStat' (from ARF A.8) and record the new address details in the Tracing section
- if you manage to trace & interview the household, code people as resident at this household, and indicate that the interview is not being conducted at the same address where the household was interviewed at the last wave at the question 'OrigAdd' (at the end of the Hhold grid)

Note that if the household had told the University that they had moved before the household was issued, the new address will already appear on your ARF (so you don't need to do tracing) and 'OrigAdd' will be automatically computed as 'No'.

If you find out that everyone in household has moved, but not together

You could also come across cases where, once you have spoken to one of the household members, you find out that the household has split and moved to different addresses.

In such cases, when completing the CAPI household grid (by talking to one of the household members you have managed to trace),

- you need to code at least one person as resident in this household. If you try to code everyone as 4 'Not resident having moved', an error message will be displayed (shown below).
- continue with this person's interview in the serial number
- record the person's updated address in the Admin block.
- the other people can be coded as movers (4 'Not resident having moved') and split households created for them

Active Signal

INTERVIEWER: You must code at least one person as being resident in the hhold as you should only be completing these questions if you are speaking to one of the original sample members.

If the whole household has moved to one or more new addresses then do not code all people as movers here. Try to trace the household and use this serial number for the first household with original sample member(s) that you contact.

Do not create a new serial number if all household members have moved together to the same address.

Questions involved	Value
QTCurStat.QBCurStat[1].CurStat	Not resident, having moved

Suppress

Close

Goto

9 Tracing sample members

It is very important that we re-contact and interview as many sample members as possible in order for the study to continue. Therefore, we will follow any Wave 3 sample member (*Understanding Society and Living in Britain*) who has moved address since their last interview to their new address with the exception of those who:

- have moved outside the UK (may be eligible at later waves if they return to the UK);
- are in prison; and
- TSM only households.

In Wave 3, we will also attempt to locate untraced movers from Wave 2. Even though we did not manage to trace these movers in Wave 2, we might be able to locate them in Wave 3, e.g. the original household members may have acquired new information on the whereabouts of the mover.

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

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

9.1 Tracing activities

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

- attempting to contact the sample member by phone – you **must** try all telephone numbers provided on the Sample Information Sheet (SIS) and any new numbers established via tracing;
- attempting to contact neighbours/ local residents;
- attempting to contact the current occupants of the address;
- attempting to contact the stable contact;
- sending a stable contact letter to any stable contacts living outside your area, detailing that you have been trying to make contact with the sample member to no avail, and asking them to provide you with any current contact details;
- leaving a tracing letter with the current occupants or neighbours; and

- consulting electoral registers (optional), maps, phone books, the police, public records, or other local shops and services such as estate and letting agents, post office etc. This could prove useful for incomplete addresses.

Please note that these tracing activities are designed to run simultaneously and we expect that each activity will be attempted in the order that you think is best.

If you are unable to access a hard copy of the electoral register, you could try online facilities such as the website **www.192.com** to access information from the electoral register on an individual basis. This is particularly useful for remote dwellings should you encounter any.

9.1.1 Contacting neighbours

To find a new address, ask the current residents of the issued address or neighbours. They might not know the whereabouts of the sample member(s) but they may be able to direct you to friends or relatives nearby who will know how to contact them. If you are still unable to find the whereabouts of the sample member you should contact the stable contact.

9.2 Tracing letter

If someone (excluding the stable contact) appears to know the whereabouts of the sample member/household but is reluctant to pass this information on, you should ask the person if they would be willing to send a letter on to the sample member for you. In these situations, you have been provided with a **tracing** letter and two types of envelope: one addressed to *Understanding Society* (postage paid), and the other blank.

Who to address the letter to

In the case of whole household moves, the tracing letter should be addressed to the principal household contact. For any individual sample member(s) who have left the original household and who need to be traced, separate tracing letter(s) should be completed for each individual.

The tracing letter informs the sample member that we have been trying to contact them as part of the latest stage of the study, but the address we have for them is not correct. The letter is signed by Nick Buck from ISER and asks the sample member to complete the reply slip and return it to ISER. It also quotes the *Understanding Society* contact details in case the sample member requires more information about the study.

If you are leaving a tracing letter with somebody you will need to fill in the details as shown below, and:

1. Complete the following information: date, principal contact name or sample member's name, the name of the person you spoke to, your name and the serial number, check letter on the letter;

- ### Figure 9.1 Tracing letter

9.3 Contacting stable contacts

41

moved address and the interviewer was unable to locate them. Details of the stable contact can be found on the SIS.

You should contact the stable person by:

1. Telephone;
2. If no telephone number or no contact via the telephone, visit the address, if it is in your local area (i.e. within 15 miles of the original address); or
3. If no contact after several visits to the stable contact, leave a stable contact letter completing all the relevant information on the letter.

If you visit/call the stable contact you could say something along the lines of:

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

Stable contact letter

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

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

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

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

If you have the same stable contact for everyone in the household, then you will only send one letter for that household, and should use the principal contact’s name in the body of the letter.

Figure 9.3 Stable contact letter

Today's Date

Date: ____/____/____

Stable contact's name

Dear _____,

You may be aware that _____ participated in an *Understanding Society* last year. The study is concerned with how things change over time, and we want to contact one who participated last time, to see how their lives have changed or stayed the same.

Respondent's name

They gave us your name as a contact in the event of any change in their circumstances, and we would be most grateful if you would let us know their current address and telephone number, wherever they are living now. You can call us on Freephone 0800 131 53, email us at contact@understandingsociety.org.uk or complete and return the reply slip below in the Freepost envelope provided – you do not need a stamp.

By giving us _____'s name, address and telephone number you are not committing them to be interviewed. Taking part is entirely voluntary, though we very much hope to achieve an interview with everybody who has taken part previously, so that our results give an accurate picture of people's experiences. Once we have their new details, an interviewer will contact them and invite them to take part.

If you have any questions about the study, please visit www.understandingsociety.org.uk or call us using the Freephone number above.

Thank you for your help.

Your signature

Yours sincerely,

.....
Your Interviewer
Understanding Society

.....
Professor Nick Buck
Director, Understanding Society

Please complete this reply slip using BLOCK CAPITALS

Name: _____

Address: _____

Postcode: _____

Telephone: _____

Serial number

PTO

Serial																			
--------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

9.4 Institutions

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

Sample members enumerated as temporarily absent from a household and living in an institution who were not interviewed at Wave 1/Wave 2 of *Understanding Society* or Wave 18 of *Living in Britain* and who remain resident in an institution at Wave 3 are not followed for an interview.

Prisons

Sample members interviewed at Wave 2 who have moved to prison are exempt from interview at Wave 3. These sample members should be coded as temporarily absent members of the household if the address is still considered their main residence but we are not attempting to interview those in prison. If they will return to the issued address after release, then they are eligible for a proxy interview.

If a mover to prison will not return to the issued address after their period in prison, a new household should be created for them and they should be coded as ineligible for this wave i.e. they are treated as a mover but not interviewed.

Nursing Homes

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

University/ college

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

Obtaining an interview in an institution

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

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

If a warden (or equivalent) asks for your contact details, please contact the *Understanding Society* Unit in Brentwood, and they will issue you with a mobile phone for the duration of your visit(s). If a warden (or equivalent) asks you for a written description/confirmation of the project, again please contact the *Understanding Society* Unit in Brentwood and a researcher will write this on your behalf. We have decided that letters will not be written in advance as circumstances will vary.

Where a sample member has moved to a care home (or similar environment), it may be helpful and reassuring if a family member of the person you are interviewing can be present whilst you

carry out the interview. If the person is unable to complete a full interview (due to a language difficulty or disability) we would like you to complete a proxy interview with a suitable adult (see section 5.2 on who is eligible to be a proxy informant).

9.5 Split-off households

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

Suspected split-offs will be included in the original Wave 3 household (rather than being put in a separate household) and this will be indicated on Sample Information Sheet (SIS) under the 'Suspected split-off mover?' column. The third page of the SIS will provide any new contact details that the suspected split off has provided to ISER.

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

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

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

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

9.6 Incomplete addresses

There may be instances where an address is inaccessible or you cannot find it.

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

9.7 Movers and traced cases outside your fieldwork area

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

9.8 Unsuccessful Tracing

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

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

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

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

10 The Interview Process

10.1 Overview of data collection instruments

The data collection instruments and their average timings are:

- 15 min CAPI household questionnaire (including the enumeration of the household i.e. the household grid);
- 25 min Individual Adult CAPI questionnaire for all aged 16+ (30 min for ethnic minority boost);
- 11.5 min adult Cognitive Ability module;
- 13 min adult CASI;
- 10 min CAPI proxy questionnaire; and
- 10-15 min Youth paper self-completion questionnaire for all aged 10-15.

The main individual interview CAPI takes around half of the interview time for the individual, in addition the Cognitive Ability module, carried at Wave 3, and the CASI element are around one-quarter of the total running time each.

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

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

10.2 Planning your work/tracking progress

If you have a large household you are likely to have to make multiple trips to complete all interviews and to collect youth self-completions. ARF A (p4) provides space for you to keep track of the interview progress. It is not mandatory for you to fill this in, but you may find it useful when tracking progress of the different elements.

10.3 Proxy interviews

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

There are certain criteria for determining whether someone can act as a proxy. A proxy respondent must be an **adult aged 16 or over** and either:

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

10.4 Recording contact details

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

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

You also need to check that the stable contact details given by each interviewed sample member at the previous wave are unchanged and to obtain a stable contact for each new entrant. Although this may appear to be time consuming, it is less onerous than having to trace sample members when they have moved.

Please also remember that we would like a different stable contact for each person in the household. The more contact details we have, the better chances we have of finding our movers.

It is important that you record stable contact details in CAPI and not on the stable contact section of the Sample Information Sheet (SIS).

Spelling of names, addresses etc.

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

10.5 Collecting details about respondents' occupations

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

For *Understanding Society* there is a requirement to code the Standard Industrial Classification (SIC) to 4 digits rather than to the standard 2.

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

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

The different 4 digit SIC codes for the manufacture of clothing for men, women and children are illustrated below:

Table 9.1: 4 Digit coding for manufacture of clothing

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

From Table 9.2 below you will also notice that 4 digit SIC coding requires greater detail than 2 digit. ‘Glass manufacture’ would be sufficient for 2 digit SIC coding but to code to the 4 digit SIC level, you would need to find out what type of glass was manufactured.

Glass manufacture: 2 digit SIC Code: 23.

Table 9.2: 4 Digit coding for glass manufacture

4 digit SIC Code	Type of manufacture
2314	Manufacture of glass fibres

2313	Manufacture of glass inners for vacuum flasks
2312	Manufacture of glass mirrors
2391	Manufacture of glass paper
2319	Manufacture of glass wear for laboratory

Similarly, for teaching, just knowing that someone teaches in secondary education is not sufficient and more probing would be needed to determine what types of subjects and level of qualifications are taught. Table 9.3 illustrates 4 digit coding for teaching.

Table 9.3: 4 Digit coding for teaching

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

10.6 Adult CASI

Adults will be asked to complete a CASI (average duration: 13 mins) during their CAPI interview which covers the following areas:

- Health;
- Neighbourhood belonging;
- Satisfaction;
- How the e themselves as a person;
- Sexual orientation;
- Future intentions (for young adults); and
- Friendships and partner relationships.

Completion by interviewer

You will be asked to record at the beginning of the self-completion section whether the respondent will complete the CASI themselves or whether the interviewer will ask the questions,

because the respondent is unable to complete it themselves, for example because of sight/ reading/ language problems.

Security of answers

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

10.7 Self Completions

Paper self-completions are only administered to young people (aged 10-15) and have a green cover.

If possible, you should ask young people to fill in their self-completions during your visit(s) whilst you are interviewing adult sample members. If this is not possible, try to return to the household a couple of days later to collect them – this will ensure a higher return rate. Self-completions can be returned to Poole by the respondent as a last resort – envelopes are supplied for this purpose.

The youth self-completion should take approximately ten minutes to complete. The questions are similar to those asked at Wave 1 and cover the following areas:

- Computer / Internet use;
- Family;
- Future intentions;
- School;
- Money;
- Health and nutrition; and
- Attitudes.

10.7.1 Administration of questionnaires

The CAPI has been structured in such a way that self-completion details are stored in a parallel block and can be easily accessed. You can access this parallel block as soon as you have completed the Household Grid.

You must write the serial number, person number, check letter, the sample member's first name and your interviewer number on each questionnaire before handing it out. **Please ensure that you copy this information directly from the CAPI screen in self-completion parallel block and not from anywhere else such as the front of the ARF.**

The screenshots below show the information that you need to transfer from CAPI to the paper self-completion:

Figure 10.7 CAPI self-completion screen and self-completion front page

Understanding Society Wave 3
Forms Answer Navigate Options Help
USoc Split information

INTERVIEWER: Self completion booklets should be prepared for the people whose names are displayed below. Please write the individual serial numbers and check letters on the appropriate self completion form.

Name	Serial	Address	HH.No	ChkL	P.No	Form
KATIE	201500	02	1	M	04	Green Youth

INTERVIEWER: WRITE IN FROM CAPI SCREEN

Serial	Address	HH.No	ChkL	P.No
2 0 1 5 0 0	0 2	1	M	0 4

First name	Int No	F/Area	F/Month
KATIE	1 2 3 4	1	J A 1

Understanding Society

YOUR QUEST

P3022 W3/ESW v1
10-15s

10.7.2 Distributing the questionnaires

As mentioned above, you can give out the self-completions to young people as soon as the Household Grid has been completed, e.g. while you are conducting CAPI interviews with the adults. **However, before you do so, you need to get verbal consent from the parent or responsible adult. We are not asking for written consent.**

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

If the child has trouble understanding the questionnaire, please explain it to them. If they have reading difficulties, please help them or administer the questionnaire if necessary. A child should not be completing their questionnaire in front of a parent. They should be asked to go away and answer the questions in private, and return the questionnaire to you in the sealed envelope provided.

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

You will need to record the outcome of the self-completion in the self-completion parallel block, so that we can track response (see the screenshot below). You can select 'code later' if you need to skip to another child in the household (e.g. if you want to give respondent X their questionnaire before respondent Y). If you do this, you will need to return to this screen at a later point to code whether the questionnaire for each child was completed or not. You will also be asked to code an outcome if the respondent refused to complete the questionnaire.

US: Understanding Society
Forms Answer Navigate Options Help

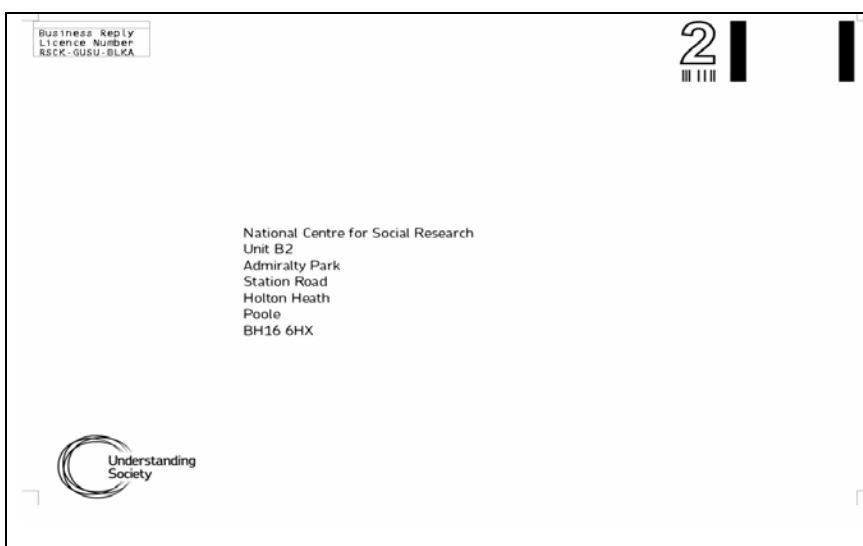
INTERVIEWER: DID RICHARD COMPLETE HIS/HER SELF COMPLETION?

☐ 1. Agreed to complete
☐ 2. Refused to complete
☐ 3. CODE LATER

	AxName	AxSerial	Complete	Unprod	SelfCom	ChVouch
QSComp[1]	RICHARD	1001-02-1-01-G	☐	☐	☐	☐
QSComp[2]	EVA	1001-02-1-02-H	☐	☐	☐	☐
QSComp[3]	FRANK	1001-02-1-03-J	☐	☐	☐	☐
QSComp[4]						

Only as a last resort should you leave a self-completion to be returned to the office. In such cases please leave a freepost return envelope addressed to Poole (see figure 10.7 below) with the household, so that they can send the questionnaire to Poole directly. **Please do make every effort to collect the self-completions in person, either when you return to the household to complete other appointments or if you are in the area.**

Figure 10.7: Poole Freepost return envelope for self-completions



10.8 Change of address (COA) cards

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

- Respondent name (first name and surname);
- Respondent's 14 digit Personal Identifier (PID); and,
- Respondent's full address including postcode.

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

11 Incentives and promissory notes

Then vast majority of adult respondents will receive their incentive as part of their advance mailing. For others, incentives will be sent by the office on completion of an interview/paper questionnaire. **You will not be administering any incentives yourself.**

11.1.1 Incentive amount

The incentive for Wave 3 is £10 for adults in both *Understanding Society* and *Living in Britain* samples. The incentive amount has been increased to £10 (from £5) at this wave for *Understanding Society* sample members to take into account the increased interview length and cognitive element of the survey at Wave 3. Child incentives remain the same: £5 for *Living in Britain* and £3 for *Understanding Society* children.

Table 11.1 Incentive amounts by age/sample type

Sample type	Adults (16+)	Youths (10-15)
<i>Understanding Society</i>	£10	£3 (3x£1)
<i>Living in Britain</i>	£10	£5

11.1.2 Adults

All adult sample members will receive a £10 incentive (High Street gift voucher) as part of their advance mailing. Please note that even if sample members do not wish to participate, they do not have to return their voucher, even if they offer to do so.

11.1.3 New entrants/sample members who have not received their advance mailing

In cases where a productive interview has been obtained but an adult sample member has not received their advance mailing, i.e. because they are a new entrant to the household or their advance mailing did not arrive, respondents are entitled to a £10 incentive. This will be administered by the office – all you need do is provide them with a promissory note (see 11.2).

11.1.4 Youth self-completions

Incentive amounts for youths who return their self-completion to you vary by sample type. For *Understanding Society* sample members, the amount is £3; for *Living in Britain* sample members, the amount is £5. The SIS will tell you what sample the respondent is in. As above, no vouchers need to be handed over during the interview – they will be sent by the office. A promissory note should be handed to the respondent.

11.1.5 Proxy interviews

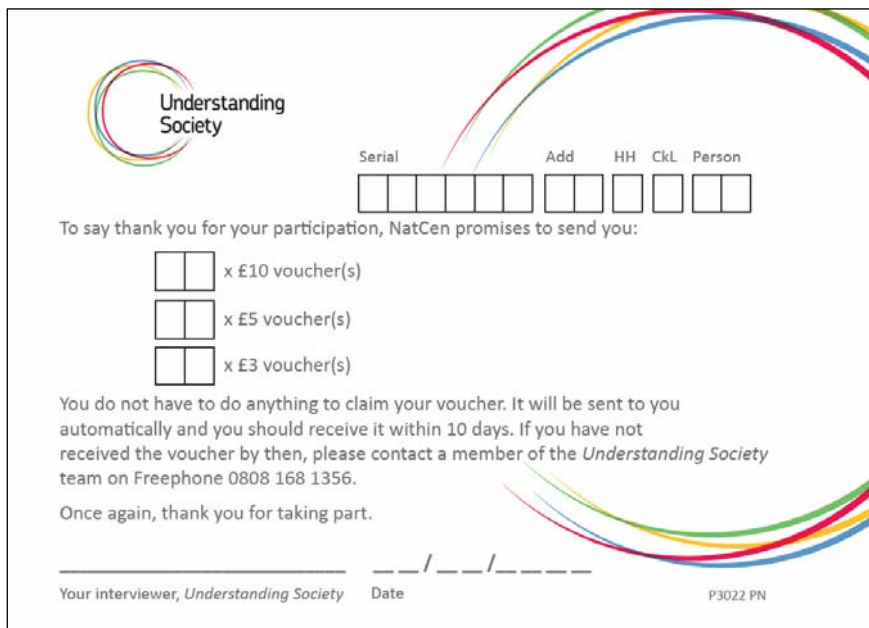
There are no incentives for proxy interviews.

11.2 Promissory notes

The promissory note is only to be used in cases where a productive interview has been obtained with someone who has not already received an incentive, or where a youth self-completion questionnaire has been returned to you during the course of the interview.

You need to fill in the serial number as it appears on the CAPI screen, enter the number of vouchers due (according to sample type/age of respondent), sign and date it. **The note should then be left with the respondent** as a record of our commitment to send them an incentive.  erate to the respondent that **they should receive their incentive within 10 days of their interview**, and to call the freephone number printed on the note if not.

Figure 11.2 Promissory note



 Understanding Society

Serial Add HH CkL Person

To say thank you for your participation, NatCen promises to send you:

☐ ☐ x £10 voucher(s)

☐ ☐ x £5 voucher(s)

☐ ☐ x £3 voucher(s)

You do not have to do anything to claim your voucher. It will be sent to you automatically and you should receive it within 10 days. If you have not received the voucher by then, please contact a member of the *Understanding Society* team on Freephone 0808 168 1356.

Once again, thank you for taking part.

Your interviewer, *Understanding Society*

____/____/_____
Date

P3022 PN

12 CAPI Interview

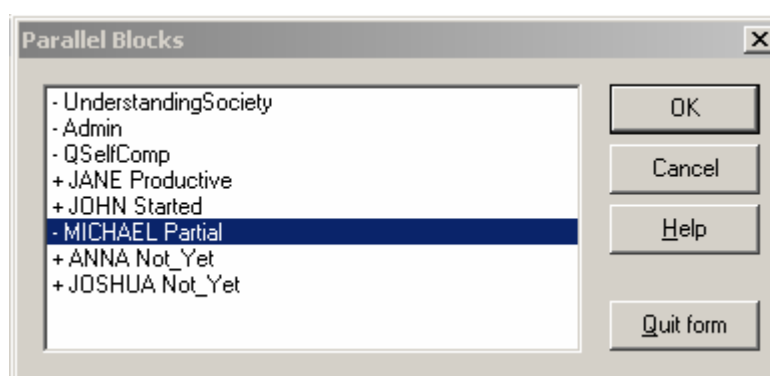
There are several elements to the CAPI questionnaire, which are covered in detail in this section.

12.1 Parallel blocks:

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

- Household questionnaire;
- Individual questionnaire (one block per adult aged 16+);
- Split households;
- Self-completions; and
- Admin.

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



12.2 Household Grid and questionnaire

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

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

Feed forward information

Checking the feed forward information from the previous wave should take 5 minutes on average, although this will vary considerably depending on household size and on whether any new people have joined the household. The household questionnaire should take 10 minutes on average. If any of the feed forward data is incorrect you are able to amend those details as necessary here.

12.3 Individual CAPI interviews

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

The main topic areas covered at Wave 3 in the individual questionnaire are:

- Personal and family background;
- Ethnicity and religion;
- Neighbourhood and social networks;
- Health;
- Cognitive ability;
- Relationships;
- Annual events;
- Employment;
- Family networks and childcare;
- Finances; and
- Politics.

Some of the topic areas will only be asked of certain people such as those new to the household, re-joiners or those who have never been interviewed before. **Appendix E** lists all the questionnaire modules and the conditions under which they are asked. Please note in particular the Ethnic Identity and Political engagement modules. Only respondents in specific sample groups get asked these modules: those in the Ethnic Boost sample, people from ethnic minorities living in 'Low Density Areas', as well as the 'General Population comparison sample'. The last group is interviewed in order to be able to compare the answers from the ethnic minority respondents to the population as a whole. The questions may not appear as relevant in all such cases, but please explain that the questions are asked for these specific scientific/research purposes.

It is also important to note that some of the topic areas covered in CAPI are sensitive and should be treated accordingly. The areas that some sample members might find particularly sensitive are fertility (including pregnancy and child birth history questions), previous relationships, financial questions (such as savings and investments) and benefits. For these reasons, it is extremely important that wherever possible you interview the sample member alone and in private so they

feel comfortable providing you with this information. It also helps to reassure them that the information they give you is confidential and no-one else will be seeing their answers.

Before starting work, familiarise yourself with the different types of benefits listed in **Appendix B** in order to be able to answer queries from respondents in the module 'Unearned income and state benefits'. Please note that 'winter fuel allowance/payment' does not count as a type of benefit for *Understanding Society*, and does not have to be recorded here.

12.3.1 EED12 – 'Discrimination' module

Question EED12 in the Discrimination module asks you to code whether the respondent has been employed in the last 12 months. This is an old fashioned interviewer check from the days of paper questionnaires. You should code the correct answer OR ask if unsure.

12.3.2 Help Screens

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

12.3.3 Trigram search tool

At CAPI questions which code counties/countries/school locations you will need to search from the extensive list of options available from our look-up files. For this reason we have included a trigram search tool. This tool means that you have only to type the first three letters of the county/country/school and the relevant location is then displayed. By default the search tool is automatically set to "Alpha" (which searches for the first three letters of the county), but this can be changed to "Trigram" (which searches on any occurrence of what is typed).

To make this change:

The screenshot shows the 'Understanding Society' database browser interface. The main window displays a list of counties with their codes and names. The search results are filtered by the text 'SUR'. The search criteria are shown in the top left: PLBOTH, IC_YR2UK4, IC_CITZN CI, IC_CITZN1 C, and PLBomUKCo 36. The search results are displayed in a table with columns for CountyTxt, CountyCode, and Country. The search criteria are also shown in the top right: Q[Ind[1].QInitial.PLBomUKCode, 21/09/2009, 10:52:47].

1. Type any three letters into the look-up e.g. SUR for Surrey.

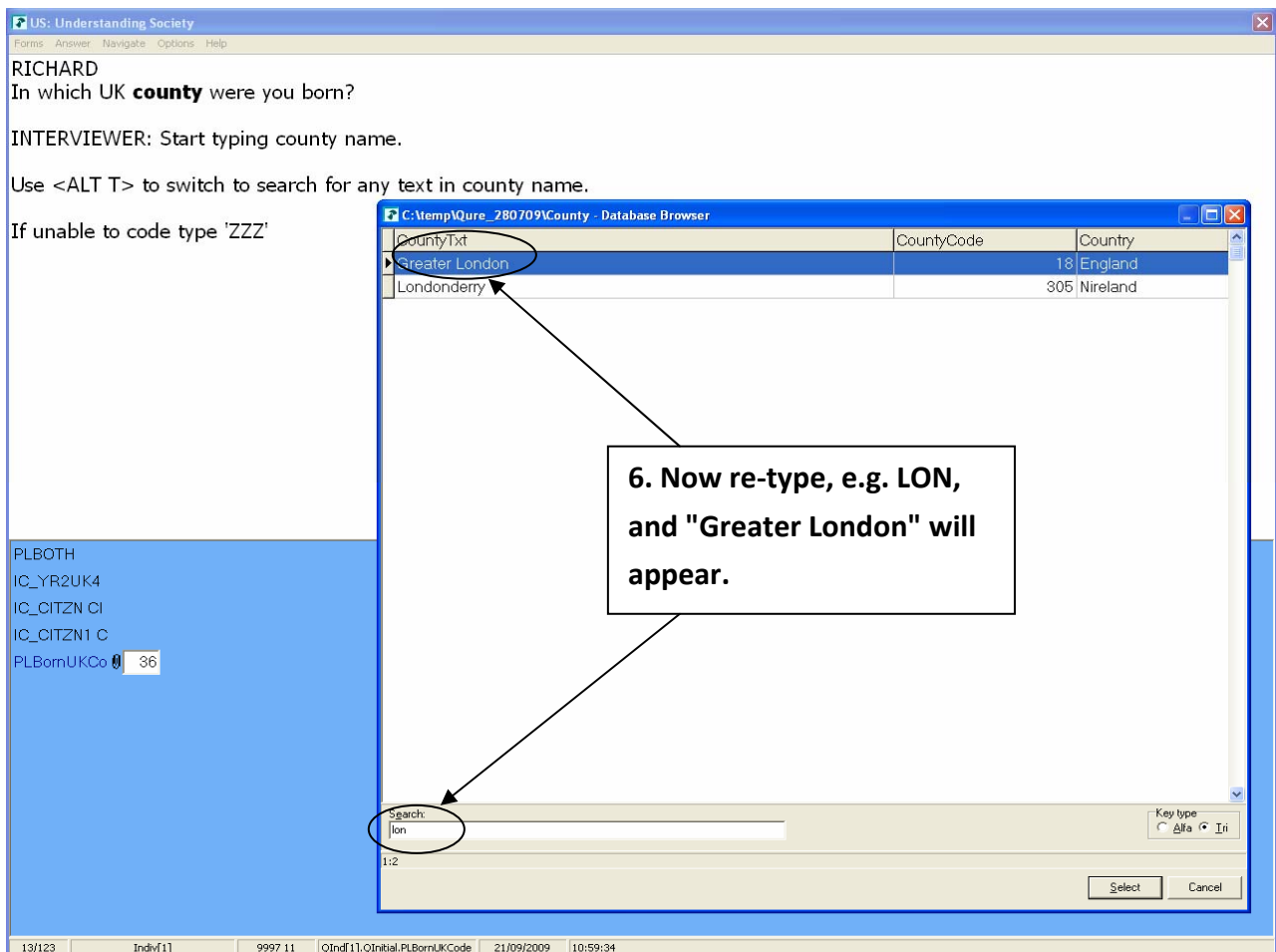
2. A pop-up box of answer options (e.g. U.K. counties) will appear.

3. "alpha" and "trigram" are displayed under the heading "Key type", "alpha" should be ticked.

The screenshot shows the 'Understanding Society' database browser interface. The main window displays a list of counties with their codes and names. The search results are filtered by the text 'SUR'. The search criteria are shown in the top left: PLBOTH, IC_YR2UK4, IC_CITZN CI, IC_CITZN1 C, and PLBomUKCo 36. The search results are displayed in a table with columns for CountyTxt, CountyCode, and Country. The search criteria are also shown in the top right: Q[Ind[1].QInitial.PLBomUKCode, 21/09/2009, 11:01:25].

4. Key "ALT + T" concurrently to change to trigram.

5. "Trigram" is now ticked, and search option is enabled. The screen will appear blank.



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

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

12.4 Cognitive ability tests

The cognitive module is designed to assess the memory, concentration, numeracy and literacy of respondents.

There are five elements to the cognitive module:

- Word recall;
- Subtraction;
- Number sequences;
- Verbal fluency (animal names); and
- Numeric ability.

12.4.1 Considerations prior to cognitive testing

For the test to be a robust measure, we need to ensure that the optimal performance of the respondent has been obtained. The test should therefore be administered without interruption, disturbance or assistance; if possible, only you and the respondent should be present in the room during the test.

12.4.2 Considerations during testing

Encourage participants during the tests, but do not give any specific feedback or assistance beyond what is specified in the instructions. Use supportive but brief phrases such as 'Just keep trying', 'You can do it' or 'Keep going'. Participants, however, should never be informed of their score.

Each test should be administered exactly as specified. Standardisation is crucial for ensuring that this is a robust and reliable measure of respondents' cognitive ability, and also that respondents' scores are comparable both within this study and between different studies. Test instructions should therefore be given precisely as written. Even subtle departures from the written instructions and procedure can influence the respondent's performance. **For timed tasks, precise timing is of crucial importance.**

12.4.3 Interference or distraction

At the end of each element, you will be asked to code if there was anyone else present during the test, and if so, whether this was a household member or not. You will also be asked if anyone present gave assistance to the respondent and whether any problems occurred whilst administering the test. Problems may include difficulty hearing the words, interruption whilst the word list was being read, or any other problem. Please ensure that any problems encountered are noted. You will also be asked if the respondent used any aids during the test, e.g. pen and paper. Finally, if the test was stopped or refused, please note the reason.

12.4.4 Scoring cognitive tests

In some tests, 'don't know' responses are allowed, whereas in others they are not. Ctrl-K is not allowed in the immediate and delayed word recall tests and the verbal fluency (animal naming) test. This is because experience has shown that such responses are usually associated with inability or difficulty in doing the task. If respondents say they 'don't know', use the encouraging phrases set out above. Ctrl-K is allowed in the subtraction and number series elements as both tests use 'don't know' as a scoring method.

12.4.5 Debriefing participants

Following testing, some participants may request feedback about their performance. Specific feedback should not be given. You can say 'Everybody finds it difficult, you have done fine' but do not say exactly how well they have performed, and never provide the correct answers.

Participants should not be encouraged to dwell on their performance in terms of 'good', 'average' or 'poor'. For example, it is not unusual for people to be concerned about poor memory performance when in fact their scores are quite good. For participants who need reassurance, it may be helpful to reiterate that the tests are designed to be difficult.

12.5 Word recall

This test evaluates working memory and delayed word recall. For this element, the computer will read a list of 10 words. First, you will need to check if the participant is able to hear the computer's voice. A short test message will be played to the respondent; if the voice cannot be heard properly, the computer's volume should be adjusted as necessary (see Appendix F). Then go back to the previous question and replay the test message to check suitability of the volume setting. If the respondent is still unable to hear the computer's voice properly, code that you will be reading out the list yourself. In either case, the respondent will be asked to recall as many of the 10 words as they can at later point in the module. **No materials or aids are allowed for this test.**

If the test is to be read by the computer, you must first clarify that the respondent is aware of exactly what they will be required to do – the list cannot be repeated. When the respondent is ready, continue to the next question where the computer will read the list.

If the test is to be read by you, again, you should first clarify that the respondent fully understands the instructions. You should not repeat the list. The list should be read at a slow and steady rate, approximately one word every two seconds. The respondent's correct answers should then be coded.

After the number series test (below), respondents will again be asked to recall the word list. You should code each correct response.

The four word lists are below for your reference only; lists are randomly selected by CAPI for each respondent and you should read the list presented by CAPI:

Word List A	Word List B	Word List C	Word List D
HOTEL	SKY	WOMAN	WATER
RIVER	OCEAN	ROCK	CHURCH
TREE	FLAG	BLOOD	DOCTOR
SKIN	DOLLAR	CORNER	PALACE
GOLD	WIFE	SHOES	FIRE
MARKET	MACHINE	LETTER	GARDEN
PAPER	HOME	GIRL	SEA
CHILD	EARTH	HOUSE	VILLAGE
KING	COLLEGE	VALLEY	BABY
BOOK	BUTTER	ENGINE	TABLE

12.6 Subtraction

This test assesses working memory, in the sense of short-term integration, processing, disposal and retrieval of information. This task also relates to other complex cognitive tasks such as reading and problem solving. In this test, the respondent will be asked to give the correct answer to a series of subtraction questions. Starting at 100, you should ask the respondent to subtract 7. At the next question, the respondent will be asked to subtract 7 again, and so on. For example, the answer to the first question would be 93, the second 86 and the third 79. **No materials or aids are allowed for this test.**

If the respondent adds 7 instead, you should repeat the question. If it is clear that the respondent is having difficulty, code 'Don't know' and move on to the next question. At each question, you will be asked to input the respondent's answer. At no point should respondents be informed if their answers are correct or incorrect.

12.7 Number series

This is used to assess Fluid Intelligence. Fluid intelligence is the ability to use abstract thought to solve novel problems and it is typically assessed via logic puzzles. For this test, **respondents should use a pencil and paper** to write down the number sequences as you read them out. The number series will consist of several numbers with a blank number in the series. The respondent will be asked which number goes in the blank. First, you will give a simple example to the respondent so they understand how the test works. For the example, you are able to tell the respondent if they give an incorrect response and inform them of the correct answer. If the respondent does not understand the instructions, or answered 'Don't know' in the example, a further example is provided. If they answer incorrectly a second time, CAPI will instruct you to

inform them of the correct response and explain how the sequence works. If the respondent still does not understand, or seems confused, code this and move on to the next element. However, if the respondent understands the task, code this and move on to the number series.

After the example number series questions have been completed, feedback should not be provided – the correct answer should not be given and respondents should not be told if their answer is correct. If the respondent says they do not know the answer, this should be coded as 'Don't know'. If the respondent is unable to do the test, for example because of severe speech or hearing problems, or because they do not understand the instructions, this should be coded as 'Unable to do'. Prompts should not be given after the number series has been written down by the respondent. Based on the number of correct responses given, the computer will select further series for the respondent to answer.

12.8 Verbal fluency

This is a test of semantic or phonemic fluency. Here, the participant generates and checks against the category, monitors for duplicates etc. The task is said to assess some aspects of executive function which is important in novel situations and overriding more automatic responses. In this test, the respondent is required to name as many animals as they are able to within 60 seconds. Extinct, imaginary or magical (e.g. dodo, unicorn, dragon) animals are acceptable, but given names (e.g. Felix, Buster) are not.

This assessment is timed by CAPI and you should begin the 60 second countdown on the computer as soon as the respondent says the first correct word. You should encourage the respondent to keep trying for the whole minute by offering the supportive prompts as outlined above. You should **write down the responses in the cognitive function booklet** (see figure 10.1 below) in the order they are given. If the respondent's answers are too quick to be written verbatim, a notation system of '+' for correct answers and '-' for incorrect answers should be used. You should stop writing when CAPI notifies you that the 60 second period has ended (ensure that the volume on your computer is at an appropriate level).

Please ensure that the respondent's serial number, sex and date of birth are recorded on the booklet. The number of correct and incorrect responses should be coded in CAPI.

Figure 12.8 Cognitive Function booklet:

12.9 Numeric ability

This element of the cognitive assessment tests the respondent's numeracy in everyday situations. For this test, **respondents are allowed to use a pencil and paper** if they wish (they can use the back cover of the cognitive booklet to record responses).

Showcards will be used for each question in this element. For example, in the first question, the respondent is asked to calculate a sale price for a sofa: 'In a sale, a shop is selling all items at half price. Before the sale, a sofa costs £300. How much will it cost in the sale?' If the correct answer of £150 is given, this should be coded in CAPI. The proceeding questions in this element continue along the same lines.

12.10 Interviewer observations

12.10.1 Interviewer ratings

You will be asked to code which language the cognitive tests were conducted in.

12.10.2 Language ability

At the end of the cognitive module, you will be asked to give a rating of the respondent's language ability on a scale of 'excellent', 'good', 'fair', 'poor' and 'very poor'. This is a measure of the extent to which the respondent spoke with fluency and ease. This question is particularly relevant for those respondents being interviewed in English, but for whom English is not their first or main language. In most cases, native English speakers will score 'excellent', however there will be cases where native English speakers' language ability is not excellent. The question is also

asked in relation to those respondents interviewed in any of the other 9 translated languages as it may be the case that the translated language used is not their main language.

12.10.3 Anxiety

You will also be asked if the respondent showed and signs of distress or anxiety during any of the cognitive assessments. Please code 'yes' or 'no' to this question. If you feel the respondent is showing signs of stress or anxiety, please refer to the 'Debriefing participants' section above.

12.11 Unproductive and proxy interviews

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

Note that you should record outcome:

- 54 'Language difficulties', if someone does not speak English or any of the nine translated languages and there is no-one available to translate for them.
- 55 'Requires translation into one of the 9 translated languages' where required. See the chapter on translations for more information.

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

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

12.12 Admin block

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

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

If it is not possible to complete a full interview then you must ensure you have an outcome code for each individual by going into their parallel block and recording an unproductive outcome. Remember that if you have traced the household, then you need to make sure all your tracing

attempts and follow up addresses are recorded in the admin block. This ensures that we have a complete record of the efforts you went to, and we can calculate the correct fees.

Recording translation requests

Translation requests need to be recorded in the CAPI by assigning the whole households or the individuals needing translation specific outcome codes:

- 543 – ‘Hhold requires translation’ – needs to be entered in the Admin block
- 55 – Individual requires translation – needs to be entered in the individual parallel & self-completion block. This is vitally important to identify these individuals for re-allocation once the case has been returned to the office.

You also need to contact **Brentwood** as you send back any cases with either whole or partial translation requests.

It is very important to use these outcome codes, as the team will be relying on them to identify translation requests. It is useful to have any other notes and comments about the translation cases, too, but you **should not rely solely on notes or memos** to record translation requests.

Please note that households/individuals requiring translation should NOT be coded as ‘Language difficulties’ (household outcome code 541 or individual outcome code 54). These are final unproductive codes intended be used only in cases where people don’t speak English or any of the nine translated languages and there is no-one available in the household/family/neighbour to translate for them. Using these codes for households/individuals who could still be interviewed in translation means these translation cases will be missed.

The only exception is accredited bilingual interviewers, who can proceed as normal if they encounter a household who speak the language they speak.

12.12.1 Recording useful information for the future

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

13 Translations

One of the objectives of *Understanding Society* is to include a large sample of respondents from ethnic minority groups. For a variety of reasons such groups tend to have lower study participation rates compared to other population groups. To ensure that we achieve as high participation rates among the minority groups as we possibly can, we have translated the questionnaire and a selection of the study materials into nine languages that are most commonly spoken by non-English speakers in Britain.

Therefore, you may be assigned a household which contains one or more sample members with whom a translated interview was conducted previously. This will be indicated on the SIS under the heading 'Prev Lang'. The nine translated languages and their identifiers used on the SIS are shown below – the identifier for English is 'E'. You may also come across new entrants to the household who require translation - obviously their language requirements will not be known in advance.

Table 13.1 Prev Lang – language interviewed in at previous wave

Identifier	Language
A	Arabic
B	Bengali
C	Cantonese
G	Gujarati
PG	Punjabi Gurmukhi
PU	Punjabi Urdu
S	Somali
U	Urdu
W	Welsh

13.1 Translation process for the nine common languages

At this Wave, households that were interviewed in one of the nine translated languages at previous waves will be assigned to the bi-lingual interviewer who covered them last time (if still available). In most cases, the bi-lingual interviewer will visit the household and make contact in the normal way. Only in cases where the distance between the bi-lingual interviewer/interpreter and the household is too great will the first contact be made by telephone (if we have a valid phone number for them) before making face-to-face contact with them. They will try to arrange an appointment with the household and then a bi-lingual interviewer or an English speaking

interviewer accompanied by an interpreter will visit the household and conduct the interviews. If we don't have a number, we will send a field interviewer to try to get one, as we did in Wave 2.

We are checking the language requirements at this wave, as requirements might have changed (e.g. a household / individual might have been interviewed in a translated language in previous waves but may want to be interviewed in English at this Wave) or there may be new entrants to the household whose language requirements need to be checked.

Use section E of the ARF to determine whether translations are required and if so, you need to determine whether the whole household or an individual requires translation.

If you come across households that speak one of the nine languages into which we translate (using the Translation card) but you are not an accredited bi-lingual interviewer, you should:

- If the whole household requires translation, use the Translation Booklet to obtain a phone number, notify Brentwood of the translation request and return the case ASAP using outcome 543 'Hhold requires translation' for re-allocation.
- If only one or more individuals require translation, you should interview other people in the household as normal, code those requiring translation as '55 Requires Translation' by entering their individual interviews and notify Brentwood as you send the case back.

If you are an accredited bilingual interviewer in the required language you can proceed with the interviews as normal in both cases.

13.2 Translations into other languages

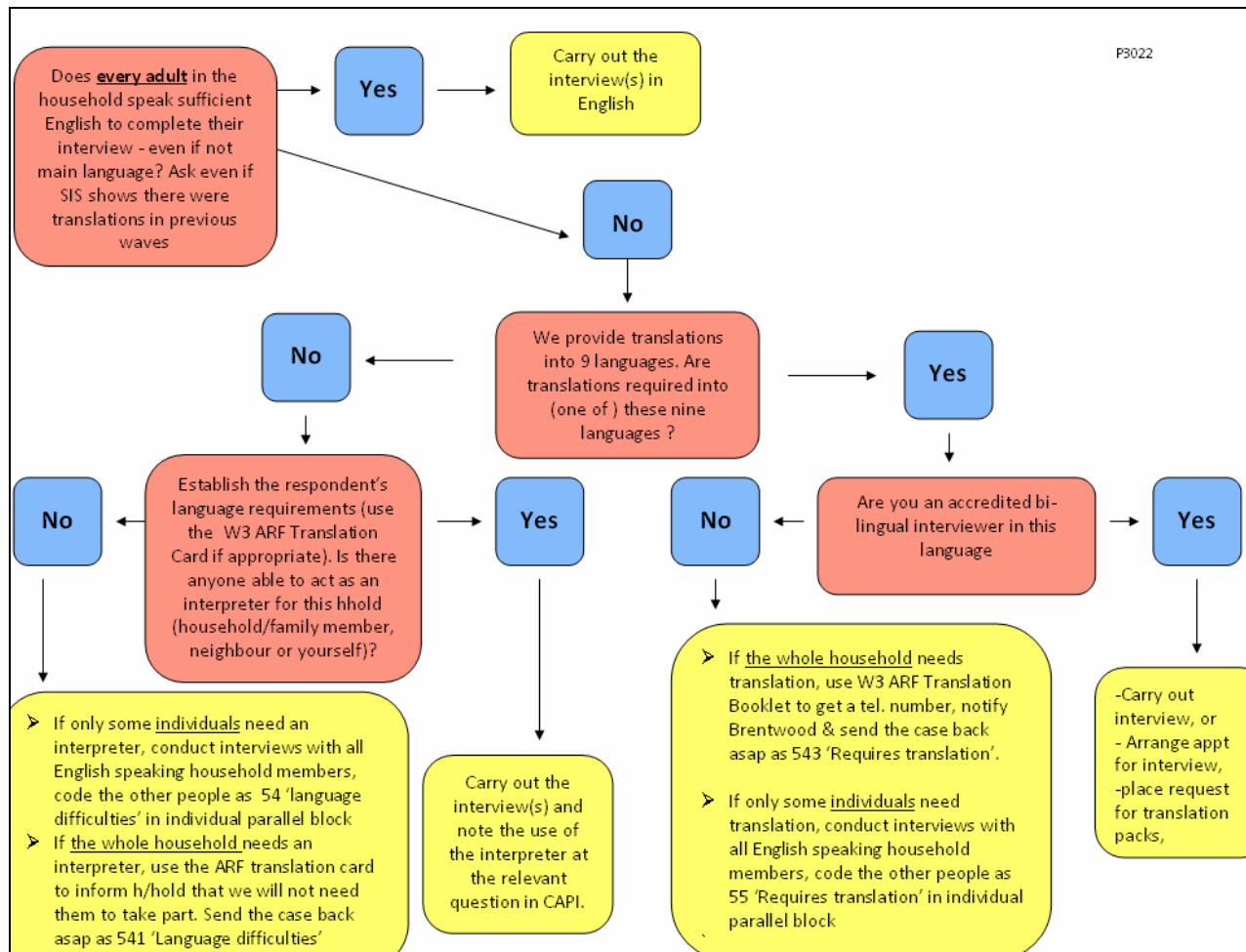
If the sample members speak a language that we do not provide translations into, try to find out whether there is anyone else in the household or a neighbour who could act as an interpreter. Ideally they should be a responsible adult aged 18 or over, but if necessary you can use a child. The child must, however, be aged 13 or over and can only assist if the following apply:

- both parent and child are willing to participate;
- topics covered are not likely to disturb or distress the child;
- the child is of an age to properly comprehend the questionnaire content.

If this is the case, you can proceed with the interview, but you should note in the CAPI at the relevant question ('lvWhoInt' in the Admin block) that an interpreter was used. If there is no-one suitable to act as an interpreter, you should use the back of the Translation Card to tell the respondents their help will not be needed in the study.

The diagram below summarises how to determine translation requirements and the appropriate actions that should be taken.

Figure 11.1: Translation flow chart



13.3 Roles of interviewers and interpreters

On this study translations are carried out by either accredited NatCen bi-lingual interviewers or an English speaking NatCen interviewer accompanied by an agency/NatCen interpreter.

If you are not an accredited NatCen bi-lingual interviewer, you can use your language skills to help arrange an appointment with a sample member, but not for interviewing itself.

Accredited bi-lingual interviewers

If you are an accredited NatCen bi-lingual interviewer, you may be asked to phone households that required translation in previous waves and attempt to arrange interviews which will then be conducted by a bi-lingual interviewer or an English-only speaking interviewer accompanied by an agency / NatCen interpreter.

Obviously, you may also be asked to translate either whole household or individual interviews as appropriate.

English only speaking interviewers

If you come across a whole household or an individual requiring translation into one of the nine translated languages, follow the steps described in section 13.1 to record the translation requests in the CAPI and notify Brentwood as you send the case back.

You might also be asked to conduct a translated interview accompanied by an interpreter. See section 13.4 and 12.7 for more information.

Once an appointment had been arranged, you will accompany the interpreter to the household. They will have been given basic training in how to operate CAPI and they will conduct the CAPI interview using your laptop. Your role will be to help during the interview if the interpreter requires assistance. For example, you might be required to check whether data has been entered correctly if a soft or hard check appears, or assist with coding 'Don't know' or 'Refusal' answers. You will also complete the Admin block.

You will not be able to read the questions as the interview progresses, as the programme will display the questionnaire in the translated language. However, you will be able to see the English version of any question on screen by pressing <F11> at any point during the interview. Pressing <F11> again will return the text to the translated version. You should familiarise yourself with the questionnaire content and switching between English and the translated questionnaire so that it will be easier for you to help if required.

13.4 NatCen or Agency interpreters

You will be given brief training on how to operate UNITIP and will have practical sessions during the briefing to familiarise yourself with an interview. Remember – always ask the interviewer if you are unsure about anything during the interview. He/she is there to assist you and ensure that the interview runs smoothly.

Key things to remember:

- Introduce the study and answer any questions from the respondents. If you are unsure of what to say, ask the interviewer.
- Read translated questions using the exact wording as it appears on screen. Most questions have closed answer options and it is essential that you use the exact wording provided. This way everyone gets asked the questions in the same way so that we get

reliable and accurate data. Do not ask the interviewer to read the question in English which you then translate. You MUST read the translated question, and not translate from scratch in the interview. You are reading the questions, not translating them.

- Follow INTERVIEWER INSTRUCTIONS in the CAPI (such instructions are always preceded with 'INTERVIEWER' in block capital letters, e.g., 'INTERVIEWER: READ OUT'). Any answer categories marked as SPONTANEOUS should not be read out in the interview, and only coded if the respondent says them. Remember interviewer instructions are for your information only and should not be read out to the respondent.
- Ask the respondent to look at appropriate showcards when prompted.

13.4.1 Helping on the doorstep

Another important task will be to help the interviewer on the doorstep and to liaise between the respondent and the interviewer in answering more general questions about the study or the interview. It is essential that you approach people in the right way. The '*Understanding Society: Information for Participants*' leaflet has been translated into nine languages and explains what we are doing and why. Familiarise yourself with this document and be prepared to use it on the doorstep. Remember, any difficult questions should be translated for your accompanying interviewer: they have been specially trained in how to deal with difficult questions on the doorstep.

13.4.2 Reading and comprehension

The importance of using the official translated documents to ensure consistency has been stressed. However, it is possible that some people will need assistance in reading and understanding the various translated documents. Reading and comprehension difficulties may occur with the following documents:

- Showcards: if a respondent cannot read the showcards, you can read the answer categories to them from the CAPI screen.
- Information leaflets: you may read or explain these leaflets further as they tell people what the study is about.
- Self-completions: the sample member may not be clear what the question is asking so you may give some guidance, but you should not oversee them whilst they answer the other questions. Deal with the query and move away as we need to ensure the confidentiality of respondents' answers.

13.5 Notes on languages

Bengali/Sylheti

Some people originating from Sylhet in Bangladesh speak Sylheti; they can use Bengali documents. As Sylheti is a dialect and not a formal written language, the interview must be conducted using the Bengali translations. In another study, some interviewers felt uneasy about doing this due to the cultural implications it held and translated the questions into Sylheti. This must not occur in this study. If a problem arises you can explain to the respondent that it is an official study commissioned by the Economic and Social Research Council (ESRC) and as such must use an official written language. You can also explain that the reason all the questions are written down is so everyone gets asked the same questions in the same way, regardless of their origin. There is little alternative as a written Sylheti transcript cannot be produced. Please explain that no offence is intended. Feel free to use Sylheti when introducing the study to the respondent and when speaking generally.

Punjabi

Punjabi has two scripts: Urdu which is generally used by people of Pakistani origin, and Gurmukhi which is generally used by people of Indian origin.

13.6 Materials required to conduct translations

Before you conduct interviews in the translated language, you need to have the Multilanguage version of the questionnaire and a revised version of UNITIP installed on your laptop (see below).

You also need to request translation packs from Brentwood for each person you will be interviewing in translation. The translation pack includes translated versions of all materials, excluding the child self-completion and *Living in Britain* sample advance letters (which are only translated into Welsh). All other documents (including appointment cards and change of address cards) are available in the nine translated languages.

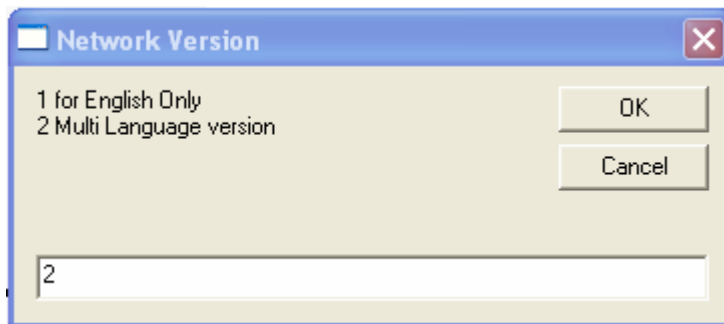
13.7 Using CAPI to conduct translated interviews

UNITIP (Unicode Translation Interview Programme) has been designed to replace the Blaise programme for non-English interviews. If you need to conduct a translated interview, your laptop needs to be set up so that all interviews in English are done using the correct questionnaire software (UNITIP).

When you first open an address, you will see the dialog box below; code '1' if the interview will be done in English, or '2' if it will be completed using UNITIP (you will then need to select the

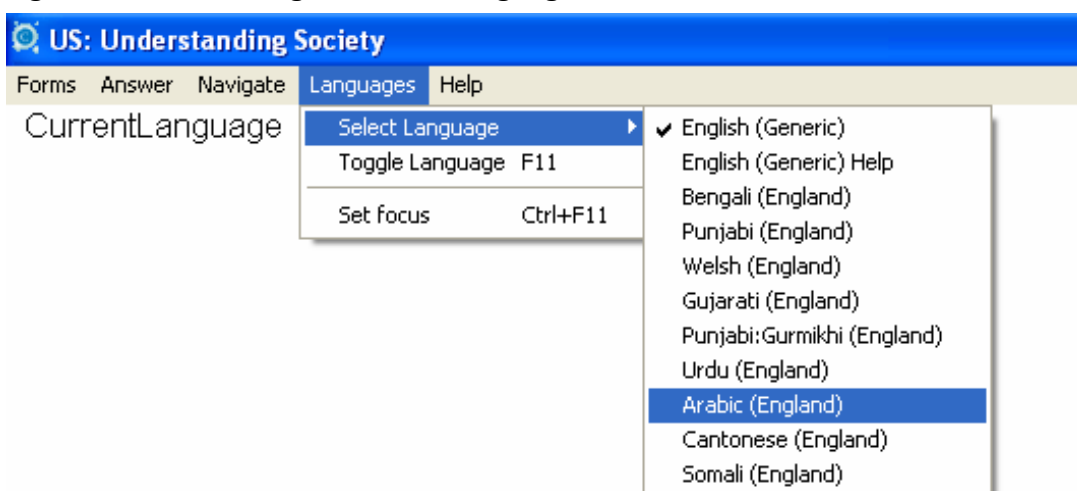
required language). It is possible to complete interviews with different people in the same household in different languages.

Figure 11.3.1 English/multi language dialog box



UNITIP has been designed to have the same features as Blaise, so you will find that it works and displays information in a similar way, e.g. parallel blocks are accessible in the same way in both programmes. The additional functionality is the language selection for all the languages into which we translate. The 'Languages' tab (see screenshot below) enables you to chose the language which will be displayed on the screen. To access this tab you have to **press <ALT> <L> and use the arrow key to select the language.**

Figure 11.3.2 Selecting translated languages in UNITIP



You can switch between the selected language and English (Generic) by pressing **<F11>**.

14 Nurse visits

Some productive households from the previous wave may have received a visit from an *Understanding Society* nurse. These visits take place roughly 4 months after the household's Wave 2 interview, so if you do come across a household that has had a visit (as indicated on the SIS), it will have taken place roughly 7 months before your visit at this wave. In most cases, you should not need the information within this chapter; it is included, however, in case the respondent has any questions about their nurse visit. Similarly, if a respondent has not received a nurse visit, it is best not to mention it as it is not likely that they will receive a visit from a nurse.

There is a growing recognition within social sciences of the importance of understanding the relationship between bio-measures and individual social outcomes. For example, it allows us to explore questions such as how biological differences can impact on economic circumstances. *Understanding Society* aims to be at the forefront of research on social, demographic, behavioural and health sciences, and so this bio-measure collection stage is a really crucial element.

14.1 Eligibility

At Wave 2, only the *Understanding Society* English-speaking and general population samples were eligible for a nurse visit. At this wave, some members of the *Living in Britain* sample will also be eligible. As they were not eligible at the previous wave, it should be unnecessary to mention the possibility of a nurse visit. However, if you are asked, you should say that some people may be eligible for a nurse visit and the research team may be in touch with them soon.

14.2 Measurements

During the visit, the nurses collect a number of different measurements. These include physical measurements (e.g. weight, height, body fat percentage) blood pressure, lung function, grip strength and respondents are also asked to provide a blood sample. Each of these measures can be refused individually if the respondent is unwilling to take part, so the respondent may have participated in any combination of the tests. Respondents will have received a medical records card and a copy of their consent form to keep, which should give them most of the information they might need.

14.3 Any questions/problems

If the respondent is unsure about anything, you should direct them to contact the medical research team on freephone 0800 652 0401. More information on bio-medical data protection can be found in Appendix H.

15 After the interview

In order to keep in touch with sample members between each wave of *Understanding Society*, we have developed a participant website and participant report mailing.

Participant website

The website provides sample members with more information about the study and allows them to sign-up for events and to receive updates from *Understanding Society*. It also allows them to let us know if their circumstances change (for example, if they move house). If they notify a change of address via the website they will receive a £5 voucher.

The participant website can be found at **www.understandingsociety.org.uk/participants**.

Participant report mailing

As in Wave 2, sample members will be sent a Participant's Update around six months after their Wave 3 interview containing findings from the study. The aim of the update will be to include sample members in the bigger picture and to share with them some of the things that we have learnt so far in the study.

16 Briefing pack and workpack contents

Document	Format	Briefing Pack	Workpack
Police Letter	A4 NatCen	0	1
<i>Understanding Society</i> Advance letters (A, B)	A4 letterhead		Posted by office
<i>Living in Britain</i> Advance letters (D, E)	A4 letterhead		Posted by office
Rising-16 Advance letter (C)	A4 letterhead		Posted by office
Generic Advance letter (laminated – for doorstep)	A4 letterhead	1	0
Generic Advance letter (not laminated – for new entrants)	A4 letterhead	0	3
Information Leaflet (“ <i>Understanding Society</i> : Information for participants”)	Card	0	2
Living in Britain leaflet	A4 laminated	1	0
ARF A & Sample Information Sheet (SIS)	A4 Orange	1	No. in point
ARF B	A4 Green	1	2
784 log	A4 Blue	1	0
Youth self-completion	A5 Colour - Green	0	4
Youth self-completion (briefing version)	A5 Black and White	1	0
Privacy envelope for self-completion	A4 - Blank	1	4
Poole pre-franked envelopes for self-completions	C4	1	4
Tracing letter	A4	1	2
Stable contact letter	A4	1	2
Queen’s head envelope for tracing letter	DL	1	4
Promissory note	A5	0	10
Change of address cards (blank)	White Card	1	5
Free post envelope for change of address cards, tracing letter and stable contact letter	DL	1	10
Appointment card	A6 White card	1	10
Broken appointment card	A6 White card	1	3
Show cards	A5 White card	0	1
Doorstep ‘flyer’	A5	1	5
Pens*	Green top, white barrel	0	20
Participants’ Update 2	A5 Colour	1	1
Cognitive Module Booklet	A4	1	16

*Pens should be handed out to all sample members who participate, including 10-15s who fill in a self completion. They should not be given to children under 10.

17 Admin and return of work

17.1 Contact information if you have any further queries

Please contact Brentwood on 01277 690000.

17.2 Fees

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

17.3 Return of work

17.3.1 Self-completions

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

17.3.2 ARF & SIS

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

17.3.3 Transmission

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

17.3.4 Returning unused documents

All unused branded materials should be returned to the *Understanding Society* Unit at the end of the fieldwork period (or if you no longer work on the project). **These documents will be used again for re-issues.** Table 13.1 below details the documents which should be returned.

Table 13.1 Documents to return

Youth self-completion
Poole pre-franked envelopes for self-completion
Appointment card
Broken appointment card
Change of address cards
Free post envelope for change of address card
Queens head envelope
Pens
<i>'Understanding Society: Information for participants'</i> leaflet
Promissory notes
<i>Understanding Society</i> generic letter (laminated)
Showcards



Appendix A: Things we hear from sample members

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

“I’ve done my share”

By taking part this year they are making the information even more valuable because we can measure how things change over time.

Without them the study would be less representative – they cannot be replaced with anyone else.

They are one of only 18 addresses/households selected for the study in their area (postcode sector).

“I can never get everyone together at the same time”

The household does not have to be done at the same time. You can make appointments to suit their availability where appropriate.

“Nothing has changed in my life”

The only way we can find out about change is by talking to people on more than one occasion – and to really understand change we have to talk to everyone; we want to look at change **and** stability.

“Questions are too personal”

They don’t have to answer every question, they can refuse to answer any question they want – the questions they do answer are still important to us

“I’m too busy with work”

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

“I’m worried about the confidentiality of my answers”

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

Living in Britain* sample members might ask why they should take part in *Understanding Society

Explain that from 2010, *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey* were incorporated into a major new study called *Understanding Society*. Everyone who participated previously in these studies is now being invited to take part in *Understanding Society*. *Living in Britain* sample members have been involved in these studies for the past 18

years and as *Understanding Society* is the successor of *Living in Britain*, we do not want to lose these very valuable sample members hence why we are incorporating them into the *Understanding Society* sample. *Understanding Society* will build on the many insights and extremely rich data gained from *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey* so far. *Understanding Society* will collect similar information on people's lives and how they are changing as was previously collected in *Living in Britain/Scotland/Wales* and the *Northern Ireland Household Panel Survey*, and it is also managed by the University of Essex similar to the previous study. Those sample members who took part in *Living in Britain/Scotland/ Wales* and the *Northern Ireland Household Panel Survey* received a mailing from Essex during 2009/2010 advising them about the change and inviting them to participate in *Understanding Society*.

Appendix B: Benefits Module Details

List of benefits that appear in Benefits Module with explanations:

BenPen NI Retirement Pension	For married couples, you should try to get the separate amount paid for the respondent rather than any joint amount. If the respondent is unable to separate it, show the whole amount received and record it as received jointly. If the wife is aged under 60 she will not be receiving a state pension in her own right. Therefore any NI pension income is solely the husband's. Retirement Pensions may have an earnings related supplement. This is normally paid on the same order book and should be included in the amount recorded.
BenPen Occupational Pensions from previous employers	Include all employer's pensions not just retirement pensions. Include pensions paid before retirement (i.e., a respondent may still be working for an employer but has become entitled to receive payments) and pensions paid for early retirement.
BenPen Pension from a spouse's previous employer	Women may also be receiving an occupational pension in respect of a deceased spouse: these should be recorded as 03. Check that any amount recorded is net of tax and other deductions. Do not include pensions from a Trade Union or Friendly Society unless the pension is received as a direct result of the respondent's employment by them.
BenPen Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance	Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.
Pension Credit	This is a means tested benefit paid to pensioners. They will not receive it unless they have applied for it and qualification is dependent on income and assets. Pension Credit has been paid since October 2004. There are two main elements. The Guarantee Credit is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The Saving Credit is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state pension.
BenDis/BenAI Employment and Support	This is a new means tested benefit that will be replacing 'Incapacity Benefit' and 'Income Support (paid on incapacity grounds)' from the 27th October 2008.

Allowance	Anyone receiving Incapacity Benefit or Income Support (paid on incapacity grounds) at the change-over date will continue to receive those benefits, so long as they continue to satisfy the entitlement conditions. Respondents may also receive income-related Employment and Support Allowance if they require additional financial support for specific reasons, for example, because of housing costs or as a result of disability or caring responsibilities.
BenDis/BenAI Severe Disablement Allowance	Is for people of working age who have not been able to work for at least 28 weeks but who cannot get Incapacity Benefit. Married women unable to perform household work may also receive it.
BenDis/BenAI Industrial Injury Disablement Allowance	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.
BenDis/BenAI Disability Living Allowance/ Care Component	Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will r questionnaire for the <u>responsible adult</u> for the child. Where someone is 16 or over this should recorded on person's own questionnaire.
BenDis/BenAI Disability Living Allowance Mobility Component	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
(BenDis/BenAI) Attendance Allowance	Paid to people who need high levels of care because of severe disability. Include Constant Attendance Allowance. If paid for a child under 16 include as mother's income, or if there is no mother then father/guardian.
BenDis/BenAI Carer's Allowance	Weekly paid benefit for people of working age who give up working to look after someone receiving Attendance Allowance. This was formerly known as the Invalid Care Allowance.
BenDis/BenAI War Disability Pension	Payable to members of the armed forces disabled in the 1914-18 war or after 2nd September 1939. Merchant seamen and civilians disabled in the Second World War are also eligible. The amount paid varies according to an individual's rank and the extent of the disability.
BenDis/BenAI Incapacity Benefit	This was introduced in April 1995. It replaced NI Sickness Benefit and Invalidity Benefit which officially do not exist any more. If a respondent reports receiving NI Sickness Benefit and/or Invalidity Benefit, code as Incapacity Benefit and record total amount received in grid.
BenSup/NFE/Btype Income Support	Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). The rate is assessed on the grounds of age and marital status with a flat-rate premium for

	children and special premiums for people such as lone parents, people with disabilities and pensioners. Income Support is often paid along with other benefits as a supplement. You should try, wherever possible, to record the amount of Income Support separately even in the case where it is paid with Job Seeker's Allowance or with a state pension. The specific amount paid as Income Support will usually be shown on the cover of the Benefit Order Book. Any maintenance payments from a former or separated spouse or for child support which are paid through the DWP or other government agencies, should not be included as Income Support or any other benefit.
BenSup/NFE/ BenUnemp Jobseeker's Allowance	This replaced Unemployment Benefit in October 1996. Those receiving JSA are capable of work and available for work and actively seeking work and have a current jobseeker's agreement with the Employment Service. Full-time students, those on temporary release from prison and those receiving maternity allowance or statutory maternity pay are not eligible for JSA. There are two types of JSA - Contribution-based and Income-based. The Contribution-based component is paid in the first 26 weeks of unemployment if enough NI contributions have been paid. The Income-based component is a means-tested benefit (paid after 26 weeks for those who qualify for Contribution-based and pass the means-test).
BenSup Return to Work Credit	This is a payment for people starting work of at least 16 hours a week and earning no more than £15,000 per year. Recipients will have been receiving an incapacity benefit (including statutory sick pay) for 13 weeks immediately prior to starting work. It is payable for up to 52 weeks.
BenSup/NFF/Btype Child Benefit	Is normally paid to the mother (unless there is none in the household) and should be shown as her income. Where it is paid into a joint bank account the names of both account holders will be on the benefit order book. This should still be recorded as the mother's income. Child Benefit (Lone Parent) was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this.
BenSup/BenTax/ BenCTC Child Tax Credit	Introduced in April 2003 this is paid to those with at least one dependent child. Child Tax Credit is paid to the person responsible for the care of the child(ren) so can be received by one person only in the household. If the respondent qualifies for the childcare element of Working Tax Credit, this will always be paid with the Child Tax Credit, even if the respondent is not themselves in receipt of Working Tax Credit.
BenSup/BenTax Working Tax Credit	This replaced Working Families Tax Credit and the Disabled Person's Tax Credit in April 2003. It is paid to families with at least one dependent child or those with a disability who are working. In some cases it can be paid alongside JSA or income support for those not working. It is paid either as a tax credit

	through the respondent's pay check or as a direct benefit. It can also be paid as a lump sum covering a period of 26 weeks in some cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit.
BenSup/BenTax Disabled Person's Tax Credit	This was replaced by Working Tax Credit from April 2003. It is paid to people with disabilities either in work or seeking work who are aged under 66. Any respondent claiming this should be coded as receiving the Working Tax Credit.
BenSup/BenFam Maternity Allowance	A benefit which applies only to women not eligible for Statutory Maternity Pay. Usually women receiving Maternity Allowance will be either self-employed or will have recently changed jobs.
BenSup/NFG/BenHou Council Tax Housing Benefit /Rent Rebate	Is benefit paid to help with housing costs, either by the DWP or the Local Authority. Include here only if it is paid direct to the respondent.
BenSup/BenTax/ BenHou Council Tax Benefit	As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax bill. benefit received write details of amount he or she <u>actually pays</u> in a note, the amount deducted from the full charge (and the amount of that benefit) can then be calculated.
BenSup Other State Benefits, Allowance or Credit	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent Work Sear record which benefit it replaces or tops up. <u>Do not include:</u> Payments from the Social Fund (these are loans) or other one-off payments from either DWP or local authority social services.
BenPay/BenSta Educational Grants	Include all grants or scholarships paid in respect of education or training (but <u>not</u> YTS or ET Allowances which should be recorded as Other). Grants and scholarships may be provided by Local Authorities, the DfES, Research Councils, charities, prospective employers (e.g., companies or the Armed Forces), educational institutions, family trusts and a number of other bodies such as Trade Unions. Do not include Student Loans taken out by the respondent to cover their living expenses or fees. Do not include Top-Up Fee Bursaries as these are a type of interest free loan to be paid-back upon completion of a degree. Include here as an Educational Grant any payment from any source (other than from family members) which is intended to cover the living expenses or fees <u>over a period of time</u> of someone in full or part-time education specifically so they may undertake that education. Grants are often paid in a lump sum at the beginning of a term or quarter to cover that term or a quarter. If a grant was paid for a term record that at (d) as Other.

	Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.
BenPay/BenSta Trade Unions/ Friendly Societies	Include all payments from such bodies here with the exception of Educational Grants and Sickness or Accident Insurance. Include Strike Pay.
BenPay/BenFam/BenSta Maintenance/Alimony	Note that men and non-married women can receive such payments. In most cases such payments come direct but they may also come via a solicitor, a court or the DWP. If it is paid by the DWP, check it has not been included in any Income Support already mentioned. Code only if the respondent is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household. If a respondent receives payment
BenPay/BenFam/BenSta Regular payment from family members not living here	E.g., payment from a spouse working and living away from home, respondent should be asked to decide for him/herself whether or not a payment is to be classed as 'regular'.
BenPay/Ben/Sta Rent from boarders or lodgers	Rent from accommodation let at respondent's address. However, do not include payments from boarders or lodgers who are part of the immediate family of the respondent. Do not include payments for keep from family members or rent from property outside the respondent's accommodation.
BenPay/BenFam Foster Allowance / Guardian Allowance	Any foster carer who is looking after a child may receive a "Foster Allowance" or "Fostering Allowance" from the local Authority. It is designed to cover the costs of caring for a foster child. Local authorities are allowed flexibility to decide their own systems of payment. A "Guardian Allowance" is a tax free payment to individuals bringing up a child whose biological or adoptive parents have died or is otherwise unavailable for their rule (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
BenFam In-Work Credit for Lone Parents	This credit will be paid on top of all tax credits and other benefits, for a 12 month period, to lone parents who have been on Income Support or Job Seeker's Allowance for at least a year and who enter work of at least 16 hours a week.
BenPay/BenSta/BenDis Sickness Accident Insurance	Include any payments to compensate for lost wages during time off work through sickness (but <u>not</u> one-off payments to meet specific expenses such as medical fees or the cost of glasses or false teeth etc).
BenPay/BenSta Other Regular payment	Specify type of income and source. <u>Exclude</u> any payments from investments, stocks and shares, bonds and other interest payments (e.g., building society and bank savings accounts).

Appendix C: Outcome Codes

Household level

Changes made to outcome codes in W3

The following outcome codes have been **removed** from Wave 3:

320- Contact made at address but not with eligible respondents

550- Lost on laptop

784- TSM respondents only- no longer eligible

* indicates new outcome codes for Wave 3.

Productive

110- Completed household questionnaire and interviewed **all** eligible household members

210- Completed household questionnaire and at least one individual interview

211- Completed household questionnaire but no individual interviews

Non-contact

310- No contact with anyone at the address after 6+ calls

322- Contact made at address, but not with responsible adult

391- Contact made but no subsequent contact*

Refusal

410- Office refusal

430- Refusal before interview

432- Proxy refusal

440- Refusal during interview

450- Broken appointment – no recontact

Other unproductive

510- **SINGLE PERSON HHOLD ONLY** – Ill at home during study period*

520- **SINGLE PERSON HHOLD ONLY** – away/ill in hospital throughout f/work period*

530- **SINGLE PERSON HHOLD ONLY** – Physically ill or mentally incapable*

541- Language difficulties with household as a whole – no-one speaks English **or** any of the 9 translated languages and no interpreter available

543- Household requires translation into one of the 9 languages

560- **SINGLE PERSON HHOLD ONLY** – Institutionalised (e.g. nursing home/care home)*

590- **OFFICE APPROVAL ONLY:** Other unproductive

Unknown eligibility (no contact)

612- **OFFICE APPROVAL ONLY:** Issued, not attempted/ transferred to another interviewer

652- Address inaccessible

653- Unable to locate address

671- **MOVER:** Certain hhold moved, unable to obtain a (complete) follow up address

672- **MOVER:** Follow up address found, but unable to attempt address

673- **MOVER:** Follow up address is in GB, but is outside my interviewing area

674- **MOVER:** Follow up address is in Northern Ireland

690- **OFFICE APPROVAL ONLY:** Other unknown eligibility (verbatim reason to be keyed in the admin block)

Deadwood/ineligible

782- All respondents no longer eligible – died

783- All respondents no longer eligible – live outside UK

785- This household is no longer eligible - all hhold members (at this address) have moved into another issued hhold

790- **OFFICE APPROVAL ONLY:** Other ineligible (verbatim response to be keyed in the admin block)

Unknown eligibility

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

Individual level

Productive

11 – Fully productive interview

13 – Full proxy interview

21 – Partially productive interview

23 – Partial proxy interview

Non-contact

31 – No contact

Refusal

41 – Office refusal

42 – Proxy refusal

43 – Refusal before interview

44 – Refusal during interview (unproductive partial)

45 – Broken appointment – no recontact

Other unproductive

- 51 – Ill at home during survey period
- 52 – Away or in hospital all survey period
- 53 – Physically or mentally unable/incompetent
- 54 – Language difficulties
- 55 – Requires translation into one of the 9 translated languages
- 56 – Lost interview
- 59 – Other reason for no interview

Deadwood/ineligible

- 77 – Deceased
- 78 – Moved outside the UK
- 79 – Ineligible – child under 10

Unknown eligibility

- 89 – Unknown eligibility – contact made (record details)

Appendix D: Practice cases and serial numbers

The practice case serial numbers are as follows:

2015000 01-1-Q

2015000 02-1-Q

2015000 03-1-Q

2015000 04-1-Q

2015000 05-1-Q

2015000 06-1-Q



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

Please note that serial number 2015000 06 has only two adults in the household, and does not fit the household composition described above.

Scenario 1:

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

Scenario 2:

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

Scenario 3:

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

Appendix E: Wave 3 questionnaire – list of modules

New modules introduced in Wave 3 are shown in **bold**.

Module number	Module description	Who gets asked the questions
1	HH grid	All hholds
2	HH questionnaire	All hholds
3	Ind-Intro	All
4	Demographics	All – some Qs only asked of from new entrants/never interviewed
5	Britishness	Some Of EMBoost Sample, GP Comparison Sample, LDA ² Sample or Is A Recent Immigrant
6	Urban-rural background	All
7	Initial conditions	New entrants/never interviewed
8	Own first job	New entrants/never interviewed/started first job
9	Educational aspirations	Full-time students
10	Young adults	Aged 16-21
11	Family background	New entrant/never interviewed
12	Ethnicity and national identity	New entrant/never interviewed
13	Religion	New entrant/never interviewed AND is from an ethnic minority or in the GP comparison sample
14	Local Neighbourhood	All
15	Harassment	EM Boost Sample Or GP Comparison Sample or LDA Sample
16	Social Networks	All
17	Groups and Organisations	All
18	General health	All
19	Disability	All
20	Health conditions	New entrants
21	Cognitive Ability	All
22	Caring	All
23	Partnership history	New entrant/never interviewed
24	Fertility history	New entrant/never interviewed
25	Annual events history	Those interviewed at the last wave, with some further routing e.g. questions on pregnancies/fathering children asked of men aged 16-64 and women aged 16-49
26	Current employment	Those who have a job (either did paid work last week or is away from a job e.g. on maternity leave)
27	Employees	Employees
28	Self-employment	Self-employed
20	Job Satisfaction	Those with a job
30	Non-Employment	Did No Paid Work In Last Week and Does Not Have A Job

² Low Density Area

31	Mother's return to work	Currently on maternity leave and had a baby since last interview
32	Second Jobs	All
33	Discrimination	EM Boost Sample, GP Comparison Sample or LDA Sample
34	Childcare	If respondent is responsible adult for someone under-15
35	Family Networks	All
36	Family Access	All
37	Parents and Children	Parents of children under-16
38	Unearned income & state benefits	All
39	Household finance	All
40	Child Maintenance	Biological Parent Of Child < 18 Where Other Biological Parent Not In HH
41	Retirement planning	Aged 45, 50, 55, 60 or 65 and not currently retired
42	Migrations intentions	
43	Politics	All
44	Political Engagement	All except the Ethnic Minority Boost, General Population Comparison Sample and Low Density Ethnic Minority Area Sample
45	Political Self-efficacy	All
46	News & Media	All
47	CASI	All
48	Respondent contact details	All
49	Stable contact details	All
50	Interviewer observations	All
51	Proxy	Proxy interviews only
52	Youth Self-Completion	Children aged 10-15 years

Appendix F: Laptop volume controls

Compaq Evo N610c and N620c Laptop

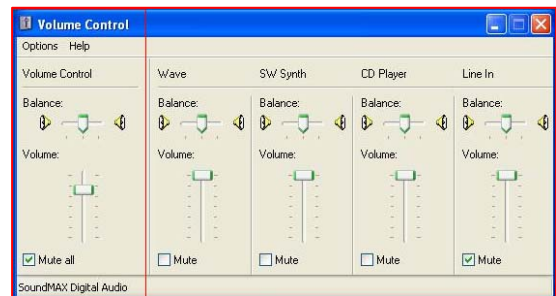
Accessing the volume controls is quick and simple. On this model of laptop there are no buttons to control the volume.

Accessing the volume controls: Move the cursor to the speaker icon at the bottom of right hand corner of your screen and **double click** with the left selection button of your touchpad.

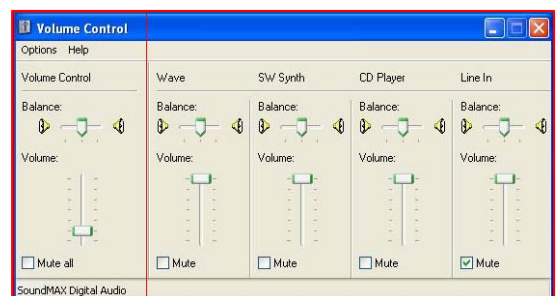


This will bring up the **Volume Control Panel**, illustrated right.

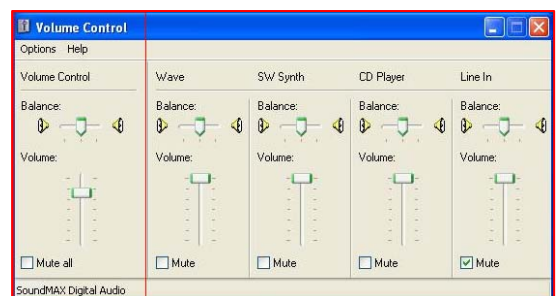
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply follow the steps to access the volume controls, and afterwards uncheck the **mute all** check box and this will restore sound as shown right.



Decrease Volume: You can lower the volume simply by sliding the volume control from up to down as shown right.



Increase Volume: You can increase the volume simply by sliding the volume control from down to up as shown right.



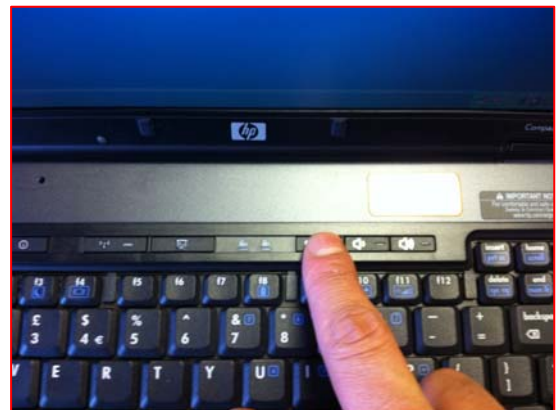
To close the volume control panel, simply click the red 'x' icon to continue.

HP nc6220 and nc6230 Laptops

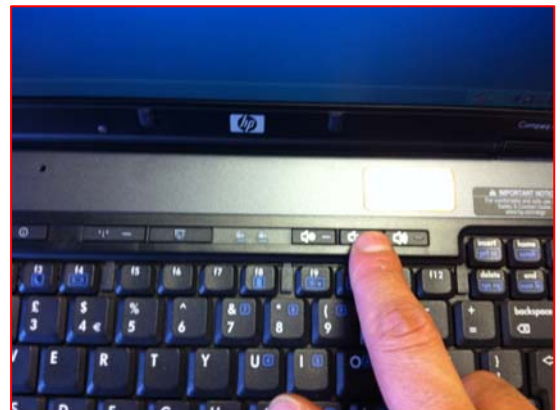
Accessing the volume controls is quick and simple. On this model of laptop there are three buttons located at the top of the keyboard shown right. There is **no visual indication** on screen when using these buttons.



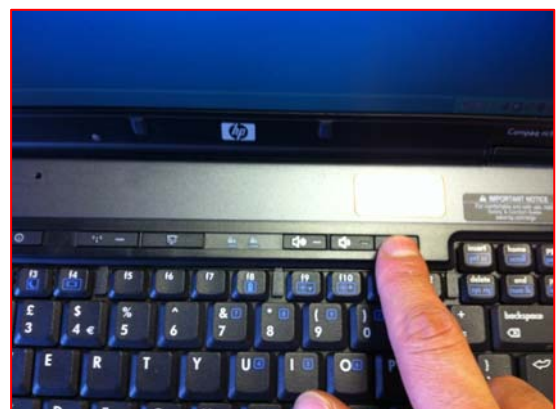
Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** button again will restore sound as shown right.



Decrease Volume: You can lower the volume by pressing and holding down the second button. The longer you hold this button down, the quieter the volume will become, as shown right.



Increase Volume: You can increase the volume by pressing and holding down the third button. The longer you hold this button down, the louder the volume will become, as shown right.

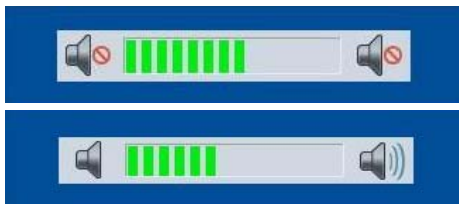


HP6910p Laptop

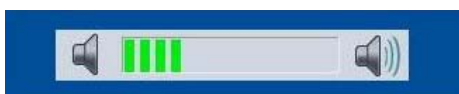


Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.

Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown right and on your screen as illustrated below



Decrease Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the right side to the left side. The further left the quieter the volume will become as shown right and on your screen as illustrated below.



Increase Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the left side to the right side. The further left the quieter the volume will become as shown right and on your screen as illustrated below.



HP6930p Laptop



Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.



Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown right.

Decrease Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the right side to the left side. The further left the quieter the volume will become as shown right.



Increase Volume: You can lower the volume by pressing and moving your finger over the touch slider bar from the left side to the right side. The further left the quieter the volume will become as shown right.



IBM T61 Laptop



Accessing the volume controls is quick and simple. On this model of laptop there is a touch bar at the top of the keyboard, as shown left.

Mute Volume: If you hear no sound, then it is most likely that your laptop has been muted. Simply pressing the **mute** touch button again will restore sound as shown in our example to the right and on your screen illustrated below



Decrease Volume: You can lower the volume by pressing and holding down the second button. The longer you hold this button down, the quieter the volume will become as shown in our example to the right and on your screen illustrated below.



Increase Volume: You can increase the volume by pressing and holding down the third button. The longer you hold this button down, the louder the volume will become as shown in our example to the right and on your screen illustrated below.



Appendix G: Fieldwork Timetable 2011

FIELD MONTH	Main fieldwork packs posted	Main fieldwork allocated on host	1st issue fieldwork starts (6 weeks)	1st issue fieldwork ends – last transmission (by midnight)	Reissue fieldwork starts (4 weeks)	Reissue fieldwork ends – last transmission (by midnight)
JA1-11	Mon 03/01/11	Tue 04/01/11	Sat 08/01/11	Sun 20/02/11	Tue 08/03/11	Thu 07/04/11
FE1-11	Wed 26/01/11	Thu 03/02/11	Tue 08/02/11	Mon 21/03/11	Fri 08/04/11	Sun 08/05/11
MR1-11	Wed 23/02/11	Wed 03/03/11	Tue 08/03/11	Mon 18/04/11	Sun 08/05/11	Tue 07/06/11
AP1-11	Wed 30/03/11	Mon 04/04/11	Fri 08/04/11	Thu 19/05/11	Wed 08/06/11	Thu 07/07/11
MY1-11	Wed 27/04/11	Tue 03/05/11	Sun 08/05/11	Mon 20/06/11	Fri 08/07/11	Sun 07/08/11
JN1-11	Wed 25/05/11	Fri 03/06/11	Wed 08/06/11	Tue 19/07/11	Mon 08/08/11	Wed 07/09/11
JL1-11	Wed 29/06/11	Mon 04/07/11	Fri 08/07/11	Thu 18/08/11	Thu 08/09/11	Sun 09/10/11
AU1-11	Wed 27/07/11	Wed 03/08/11	Mon 08/08/11	Mon 19/09/20	Sat 08/10/11	Mon 07/11/11
SE1-11	Wed 30/08/11	Thu 03/08/11	Thu 08/09/11	Wed 19/10/11	Tue 08/11/11	Wed 07/12/11
OC1-11	Wed 28/09/11	Mon 03/10/11	Sat 08/10/11	Sun 20/11/11	Thu 08/12/11	Sun 08/01/12
NV1-11	Wed 26/10/11	Thu 03/11/11	Tue 08/11/11	Mon 19/12/11	Sun 08/01/12	Wed 07/02/12
DE1-11	Wed 30/11/11	Fri 02/12/11	Thu 01/12/11	Wed 18/01/12	Wed 08/02/12	Wed 07/03/12

Appendix H: Data confidentiality

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

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

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

Who are the research team?

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