



P3028: *Understanding Society*:

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# **Wave 4**

## **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 4 begins in January 2012. *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.

The 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 4 we will be re-visiting productive and unproductive Wave 3 households, including partials. The sample size, as in Wave 3, 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)
  - one of the largest UK longitudinal study samples of ethnic minorities
- *Living in Britain* sample (8,150 households)

## Fieldwork

Wave 4 fieldwork will last for 2 years and is split into 24 monthly samples, issued between January 2012 and December 2013. The *Living in Britain* sample members will all be issued during year one of Wave 4 (between January and December 2012). All households in the sample will be issued within the same quarter (e.g. JA1-MR1) as on Waves 1 - 3, but we will be doing some re-

clustering over each quarter on Wave 4 to make assignment sizes larger (with movers in the sample the assignments become smaller and the sample less clustered over time).

## **In advance of contacting the household**

Advance mailings are posted to each adult 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. It will also contain an education consents leaflet for those eligible for the education consents module.

## **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.

For previous wave productive households, we are aiming for an 89% response rate for the *Understanding Society* sample, 86% response rate for the Ethnic Boost sample and 93% for the *Living in Britain* sample. We are aiming for a 25% response rate for previous wave unproductive households.

## **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 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 4, 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 3.

The tracing section of the ARF is now contained in a separate document.

## **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. the household grid);
- 32.5 min Individual Adult CAPI questionnaire for all aged 16+ (37.5 min for the ethnic minority boost);
- 10 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 4, paper self-completions will only be completed by young people (aged 10-15); adult self-completions will be in the CASI (Computer Assisted Self-Interviewing) mode, and will be administered as part of the adult 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 4 questionnaire are:

- Personal and family background;
- Ethnicity and religion;

- Neighbourhood and social networks;
- Health;
- Relationships;
- Annual events;
- Employment;
- Family networks and childcare;
- Finances; and
- Politics.

## **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 13<sup>th</sup> October 2008, and NatCen has been commissioned to undertake the first five waves of the study.

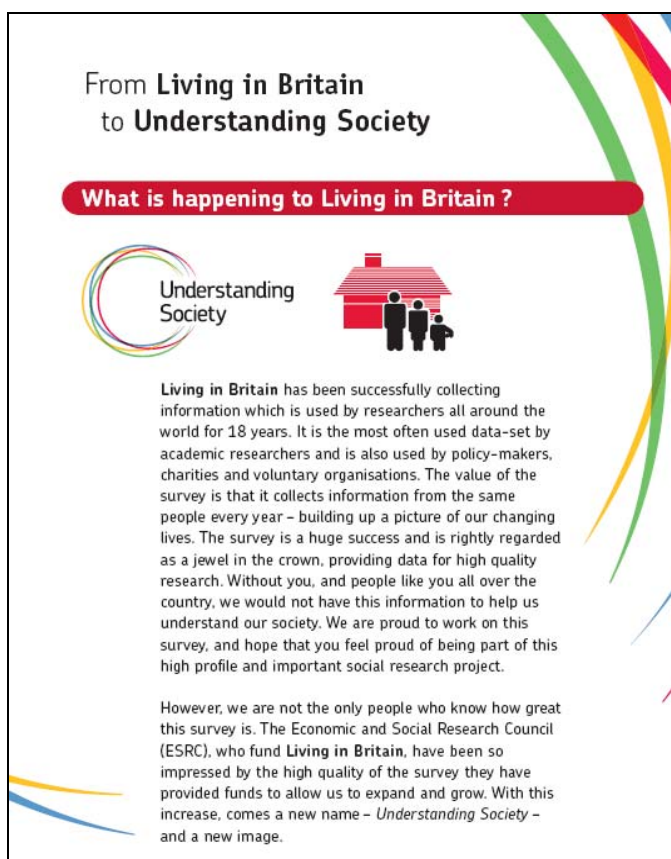
*Understanding Society* will provide valuable new data about people across the UK - their lives, experiences, behaviour and beliefs - and will enable an unprecedented understanding of diversity within the population. The study will help us understand the short and long-term effects of social and economic 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 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](http://www.understandingsociety.org.uk) and [www.understandingsociety.org.uk/participants](http://www.understandingsociety.org.uk/participants)

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](http://www.understandingsociety.org.uk/news/inthenews/default.aspx).

Other articles discussing *Understanding Society* include:

- <http://www.dailymail.co.uk/news/article-2008395/Bullying-Middle-children-likely-bullies-siblings.html?ito=feeds-newsxml>
- <http://www.sciencedaily.com/releases/2011/04/110403090320.htm>
- <http://www.bbc.co.uk/news/health-12646090>
- <http://www.telegraph.co.uk/family/8350530/Happiness-is...living-and-eating-with-your-parents.html>
- <http://www.guardian.co.uk/society/2011/feb/27/uk-survey-family-life>

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

The total sample for *Understanding Society* Wave 4 is around 40,000 households. This number includes the mainstage general population and ethnic boost samples, the Living in Britain sample (which was incorporated into the *Understanding Society* sample at Wave 2), as well as the sample for the Innovation Panel run separately from the mainstage fieldwork. Assignment sizes will vary and the sample has been clustered to reflect geographical areas.

You will be revisiting:

- Fully and partially productive, as well as some unproductive, Wave 3 *Understanding Society* households,; and
- Fully and partially productive, as well as some unproductive, Wave 3 *Living in Britain* households.

A fully productive household is defined as a household where all household members were interviewed; partial households are ones in which at least one adult 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 400 *Living in Britain* households that will be interviewed by telephone at the NatCen Multi-Mode Unit.

### 3 Fieldwork

The fieldwork for mainstage Wave 4, as in previous waves, will last for 2 years from January 2012 to December 2013, and will be split into 24 monthly samples.

The 24 monthly samples are named:

- 2012: JA1, FE1, MR1, AP1, MY1, JE1, JU1, AU1, SE1, OC1, NV1, DE1
- 2013: JA2, FE2, MR2, AP2, MY2, JE2, JU2, AU2, SE2, OC2, NV2, DE2

Each household will be issued in the same quarter (e.g. JA1 - MR1) as on previous waves, however we will be re-clustering the sample over each quarter, to make the assignments more focused and larger (due to movers, the assignments have become smaller and less clustered over the years).

#### 3.1 Run-in

Prior to the main fieldwork, a Wave 4 'run-in' (dress rehearsal) takes place between September – November 2011. The aim of the run-in is to test the questionnaire and all fieldwork and office systems. The run-in replicates the mainstage in all aspects except there are no translations offered, no reissues and no follow-up nurse visits.

#### 3.2 Interviewing phase

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

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

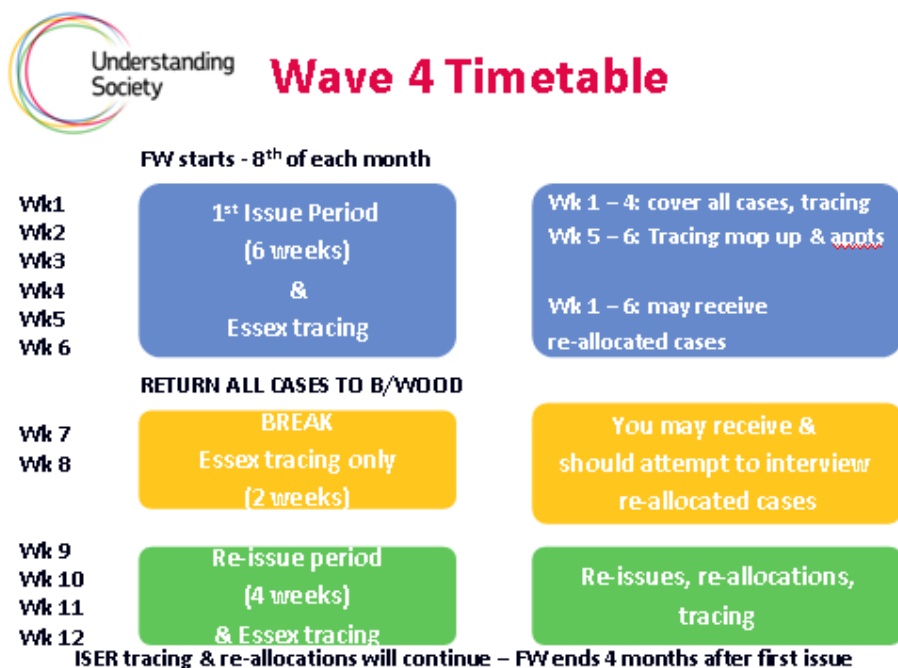
- First Issue Period – the first six weeks (weeks 1 – 6);
- Break – two weeks (weeks 7 and 8);
- Re-issue Period – 4 weeks (weeks 9- 12) for cases which have been successfully traced – or which still require further tracing – and re-issued cases.

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 should begin tracing immediately- you should not wait until weeks 5 and 6 for this.** If tracing is unsuccessful, the household should be coded with the appropriate outcome (671), 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. Any untraced cases that have been sent to the University of Essex will continue to be traced during this two week break, and 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 4 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 2012 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 2012.

### 3.3 Targets

The targets for coverage during the 1<sup>st</sup> issue period are:

- By day 21: 50% covered and transmitted back with final outcome;
- By day 32: 75% covered and transmitted back with final outcome;
- By day 42: 100% covered and transmitted back with final outcome.

### 3.4 Fieldwork timetable

See Appendix G for a detailed fieldwork timetable for 2012.

## 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 Between-wave mailing

Each sample member aged 16 or over who participated at Wave 3 will have received a between-wave mailing around 6 months after their Wave 3 interview. The mailing contained a letter, and to one person per household a copy of a brochure with early findings from *Understanding Society*, produced by ISER.

### 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 Waves 2 and 3 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 Post Office voucher);
- Change of address (COA) card;
- COA Freepost return envelope; and
- Education consent form (for those eligible for the education consent module).

#### 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 the previous wave.

**Table 4.1: Versions of the advance letter**

Advance mailing version	Type of sample member
A	<i>Understanding Society</i> interviewed at Wave 3
B	<i>Understanding Society</i> not interviewed at Wave 3
C	Rising 16 since Wave 3



D	<i>Living in Britain</i> interviewed at W3
E	<i>Living in Britain</i> not interviewed at W3
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 Change of Address card

The advance mailing also includes a Change of Address (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 fill in and hand over a COA card at the end of the individual interview in such cases.

**Figure 4.2: The COA card**

**Moving home? Take us with you**

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

FREEPOST BROOKERD JGRS  
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](http://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](http://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](http://www.understandingsociety.org.uk/participants)**



Understanding  
Society

Search...



## Participant Zone

Latest

Findings

FAQ

Your Profile

Contact

Login / Sign up

# You're one in 100,000

Welcome to *Understanding Society* – the largest study of its kind in the world

This site is dedicated to everyone who has been invited to take part in the study and we hope it contains all the information you need to know. But if you have any comments or queries please do [let us know](#). We would be very happy to hear from you. You can find background information on how the survey works and why it is so important that people like you take part. You also get a sneak preview of some of our findings, meaning that whatever we find out, you are

### Taking part?

This site is for participants of the *Understanding Society* study.

You may be interested in the main [Understanding Society website](#) where there is more information about the survey.

## 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.

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

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 number<sup>1</sup> (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 9.

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.

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<sup>1</sup> However, calls to this number from mobile phones will incur a charge.

## 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. However, you must not interview the household by telephone.

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;
- The effect of the economic down-turn on different aspects of life;
- How family life is changing and what people think about these changes.

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

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, for those households that were productive at wave 3, we are aiming for an 89% response rate for the *Understanding Society* sample, 86% for the Ethnic Boost sample and 93% 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. We are aiming for a 25% response rate with households that were unproductive at wave 3.**

## 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;
- A Summary of First Findings Brochure; and
- Understanding Society in the news leaflets.

### 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. 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.



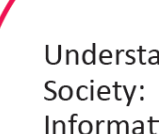
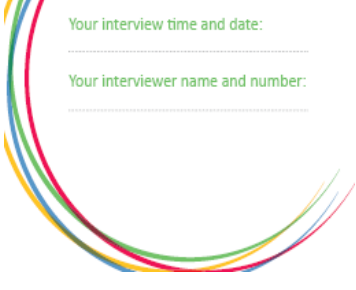


### **5.5.5 ISER Brochure – A Summary of First Findings**

A brochure entitled *Understanding Society: A Summary of First Findings*, produced by ISER at the University of Essex, is included in your workpack for you to use on the doorstep. A copy of this brochure has been sent to all households that took part on Wave 3 as part of their between-wave mailing, approximately six months after their Wave 3 interview. It contains information on the importance of the study and how the data are starting to be used.

### **5.5.6 Understanding Society in the News**

You will have two leaflets showing newspaper headlines based on Understanding Society data. Please show these leaflets to respondents to inform them of how the survey results are used.

### Figure 5.1: Doorstep Documents

<h3>Appointment Card</h3>  <p>Understanding Society</p> <p>0800 252 853  <a href="http://www.understandingsociety.org.uk/participants">www.understandingsociety.org.uk/participants</a>  <a href="mailto:contact@understandingsociety.org.uk">contact@understandingsociety.org.uk</a></p> <p><small>Printed on Forest Stewardship Council (FSC) certified paper and 100% recycled paper</small></p>	<h3>Broken Appointment Card</h3>  <p>Understanding Society</p> <p>0800 252 853  <a href="http://www.understandingsociety.org.uk/participants">www.understandingsociety.org.uk/participants</a>  <a href="mailto:contact@understandingsociety.org.uk">contact@understandingsociety.org.uk</a></p> <p><small>Printed on Forest Stewardship Council (FSC) certified paper and 100% recycled paper</small></p>	<h3>Study Leaflet</h3>  <p>Understanding Society:      Information for      Participants</p>
 <p>Your interview time and date:</p> <p>.....</p> <p>Your interviewer name and number:</p> <p>.....</p>	 <p>Dear .....</p> <p>Message/Appointment Time:</p> <p>Unfortunately, I wasn't able to reach you at the agreed time. I would be grateful if you would telephone the Understanding Society research team on freephone 0800 252 853 and advise them on a more suitable time for us to meet. I look forward to speaking with you.</p> <p>.....(Your interviewer)</p> <p>Serial <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Add <input type="checkbox"/> H1 <input type="checkbox"/> C11 <input type="checkbox"/> Person</p> <p>Our ref: P9022</p>	 <p>Understanding Society</p>
<h3>Summary of First Findings Brochure</h3>	<h3>Understanding Society in the news leaflets</h3>	



Understanding Society

# UNDERSTANDING SOCIETY: A SUMMARY OF FIRST FINDINGS



# Understanding Society in the news



**The Observer**  
By Susan Bewley, Sunday 27 October 2013

## Married for less than five years, young, childless: survey finds that's happiness

A nationwide poll gathering data from households over 10 years provides evidence to create a 'living laboratory of British life'

Britain's biggest research project, the world's largest household survey, has found that the happiest people are those who are married for less than five years, are young, and have no children. The survey, which is the first of its kind, has gathered data from 10,000 households across the country, and is the first of a series of surveys that will be carried out over the next 10 years.

The study has been conducted by the Economic and Social Research Council, and is the first of a series of surveys that will be carried out over the next 10 years. The survey is the first of a series of surveys that will be carried out over the next 10 years.



**Wyvern**

## Sibling relationships key to children's happiness

Has your child been happy and content since they were born? A new study suggests that the answer is yes, and that the key to a child's happiness is their relationship with their siblings.

The study, which was conducted by the University of Exeter, found that children who have a good relationship with their siblings are more likely to be happy and content. The study also found that children who have a bad relationship with their siblings are more likely to be unhappy and discontent.

The study was conducted by a team of researchers from the University of Exeter, and was the first of a series of surveys that will be carried out over the next 10 years.

[illegible]

## 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 should be added to be a part of the household. To do so, use the household definition below:

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

Sharing at least one meal a day:

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



### Sharing living accommodation:

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

Occasionally an individual or a group of people will have both their own living accommodation (that is living room/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 away or likely to be away for 6 months or more are NOT counted as residents at the address (except for those who are 'absent' – see below): in some cases their main residence will not be in this country.

## **6.2 Absent household members**

In the Household Grid, CAPI will also ask you to confirm the location of household members who were absent at the previous wave. Absent members include anyone was living away from the household in institutional accommodation (e.g., students in Halls of Residence) at both Wave 1, Wave 2 and Wave 3. 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 4:

- **ARF A** (including Sample Information Sheet (SIS)) - used for the original household;
- **ARF B** - used for split households, i.e. for movers in cases where all the people living together at the previous wave are no longer live together

In addition, there is a **784 log** where you can log the serial numbers of split households that are not eligible for an interview (as told by CAPI) and a separate document to record any tracing attempts.

### 7.1 ARF A explained

Figure 7.1: Address and household information label explained

ADDRESS LABEL		HOUSEHOLD INFORMATION	
<b>SN: 401100-12-1-Q</b> <b>Month: JA1</b>  35 Northampton Square London EC1V 0AX		<b>Sample: USoc/GB</b>  <b>Voucher: £10</b>  <b>Last interview: Tuesday 17:55:10 29/09/2010</b>  <b>Principal contact: MR JOHN SMITH</b> (Principle 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 the household)	
Serial number consisting of a leading 4 to indicate that this is W4, two digit month, 3 digit point number, 2 digit address and a 1 digit split household number and check letter		Sample type	
Sample month		Adult voucher amount	
Household Address – you can look up address co-ordinates from postcodes using <a href="http://www.nearby.org.uk">www.nearby.org.uk</a>		Principal contact's name	
		Date/time of last interview	

### 7.1.1 Keeping track (pages 1 – 3)

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.3 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 Section A

This section is for you to fully record your observations. The observation questions 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.**

Please note the following questions have revised wording at Wave 4:

- A.6: Standing outside, can you observe any signs of a car or van belonging to this address?
- A.7: Standing outside, can you observe any signs of children under 10 (including babies) at this address?

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 B – 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 4 of the survey in case there are new entrants, and in case requirements have changed since Wave 3.

For entirely non-English speaking households who require translation into one of the nine languages, the ARF directs you to use the W4 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 C - 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, 210 and 211 (productive codes) will be generated automatically in the CAPI Admin. Unproductive codes are generated by the interviewer.

## **7.2 Sample Information Sheet (SIS)**

The Sample Information Sheet at the back of the ARF 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 1/2/3 (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 3 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 households have split since the previous wave, i.e. not everyone in the household from last wave live together any longer. In such cases, some additional split households need to be created for the movers.

Mover situations can be complicated, and there have been some problems with creating split households on Waves 2 and 3. The key is to stick to these three golden rules:

### **1. Follow the instructions in the CAPI**

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

### **2. If anyone still lives at the issued address (on ARF A), they need to be interviewed in the issued serial number.**

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

### **3. As a general rule, you cannot create split households before completing the household grid in the issued serial number.**

Without the household grid, CAPI will not know who is meant to be living in each new split household. The only exception to this rule is situations where you know of a split-of mover, but are unable to interview at the issued Serial - see section 8.2 below for more details.

Detailed instructions on split households are included below. The Household Grid has also been revised for Wave 4 which should make the process easier.

### 8.1 Process for creating split households

#### 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.



### 8.1.2 Open ARF Bs or the 784 log

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

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

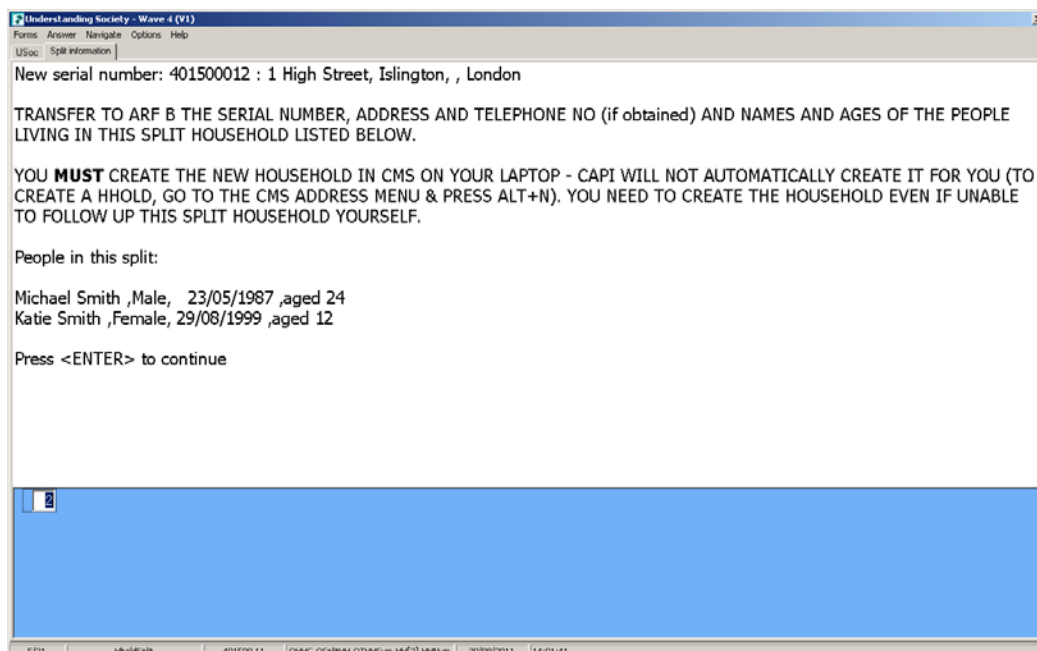
#### Interviewed split households – ARF B

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

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

ARF B is identical to ARF A.

**Figure 8.1 CAPI screen with person information for new household**



The screenshot shows a CAPI window titled "Understanding Society - Wave 4 (V1)". The window has a menu bar with "Forms", "Answer", "Navigate", "Options", and "Help". Below the menu bar is a tab labeled "USoc" and "Split information". The main text area contains the following information:

New serial number: 401500012 : 1 High Street, Islington, , London

TRANSFER TO ARF B THE SERIAL NUMBER, ADDRESS AND TELEPHONE NO (if obtained) AND NAMES AND AGES OF THE PEOPLE LIVING IN THIS SPLIT HOUSEHOLD LISTED BELOW.

YOU **MUST** CREATE THE NEW HOUSEHOLD IN CMS ON YOUR LAPTOP - CAPI WILL NOT AUTOMATICALLY CREATE IT FOR YOU (TO CREATE A HHOLD, GO TO THE CMS ADDRESS MENU & PRESS ALT+N). YOU NEED TO CREATE THE HOUSEHOLD EVEN IF UNABLE TO FOLLOW UP THIS SPLIT HOUSEHOLD YOURSELF.

People in this split:

Michael Smith ,Male, 23/05/1987 ,aged 24  
Katie Smith ,Female, 29/08/1999 ,aged 12

Press <ENTER> to continue

At the bottom of the window, there is a status bar with the following information: 5/21, rholdSplit, 401500 11, QHHG.QSplitHH.QTHFSum.HH(2).HHNum, 30/08/2011, 14:01:41.

#### 784 log – non-interviewed split households

If we don't want to interview the people who have moved, CAPI will ask you to

copy the serial number onto a 784 log. We don't use 784 log for any interviewing but it is intended to act as a memory aid for you to create the new split serial number which is required for all splits, including non-interviewed ones.

### 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

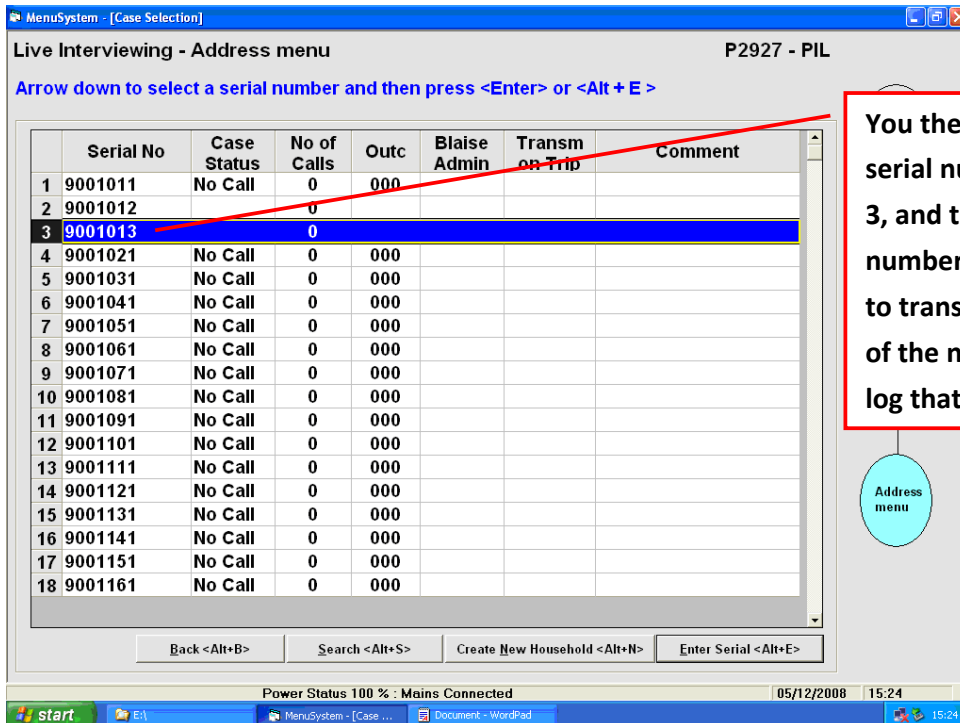
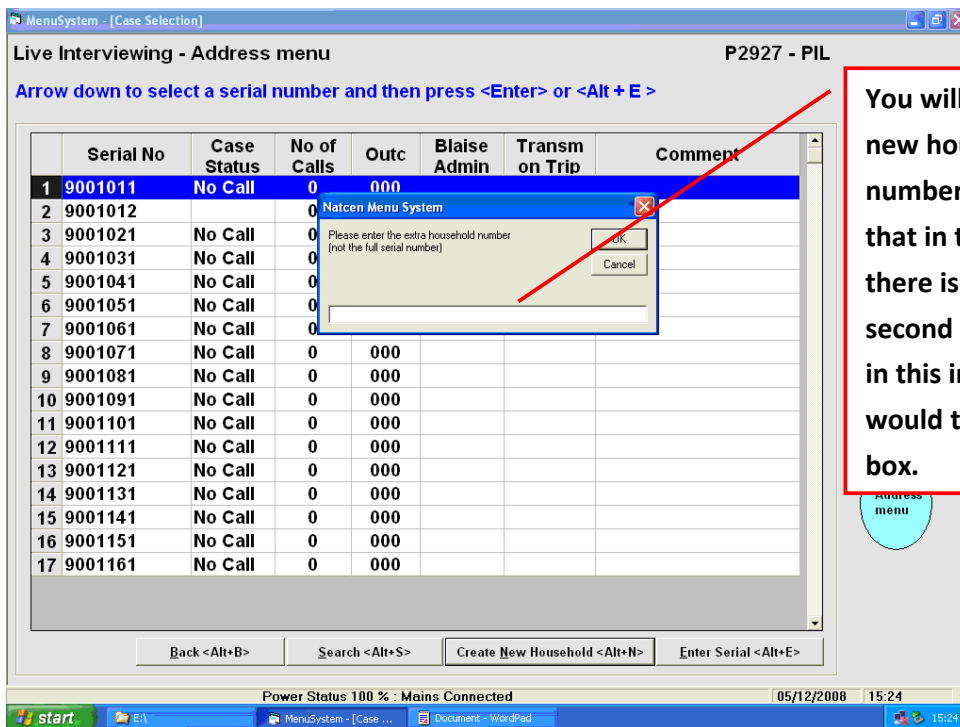
start E:\ MenuSystem - [Case ... 15:23

Live

Address menu

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

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



#### 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.

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

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

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

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

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

### **8.1.5 Whole household moves**

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

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

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

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

Note that if the household had told the University that they had moved before the household was issued at Wave 4, the new address will already appear on your ARF so you don't need to do tracing, and the CAPI programme will have a flag to indicate that the household has moved since last year's interview.

## **8.2 The exception to the rule: creating split households from unproductive households**

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

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

## 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 4 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 4, we will also attempt to locate untraced movers from Wave 3. Even though we did not manage to trace these movers in Wave 3, we might be able to locate them in Wave 4, 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 0-16 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).

Please note the tracing section has been removed from the ARF and is now a separate document.

### 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

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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 interview with the *Understanding Society* last year. The study is concerned with how things change over time, and we are looking for people 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 133 133, email us at [contact@understandingsociety.org.uk](mailto: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](http://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/Wave 3 of *Understanding Society* or Wave 18 of *Living in Britain* and who remain resident in an institution at Wave 4 are not followed for an interview.

## **Prisons**

Sample members interviewed at Wave 3 who have moved to prison are exempt from interview at Wave 4. These sample members will be kept as associated with the household (but temporarily absent) if the address is still considered their main residence, but we are not attempting to interview them while they remain in prison. If they will return to the issued address after release, then they are eligible for a proxy interview.

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

## **Nursing Homes**

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

## **University/ college**

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

## **Obtaining an interview in an institution**

Obtaining an interview with someone in an institution may sometimes be difficult. However, if the 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 4 household (rather than being put in a separate household) and this will be indicated on Sample Information Sheet (SIS) under the 'Suspected split-off mover?' column. The third page of the SIS will provide any new contact details that the suspected split off has provided to ISER.

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

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

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

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

## 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 tracing document and you should then enter these full details in the Admin block.

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

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

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

# 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);
- 32.5min Individual Adult CAPI questionnaire for all aged 16+ (37.5 min for ethnic minority boost);
- 10 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 three-quarters of the interview time for the individual, in addition the CASI element is around one-quarter of the total running time.

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. Where there are no stable contact details, please attempt to get details for each person in the household. Where necessary, please reassure respondents the stable contacts will only be approached in the event the person moves and we are unable to trace them. We will only ask the stable contact whether they have contact details for the sample member, the stable contact person will not become part of the survey and the sample member is not 'signing them up' to any obligation.

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

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

### **Spelling of names, addresses etc.**

As *Understanding Society* is a longitudinal study and we will be contacting and visiting 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

<b>2313</b>	Manufacture of glass inners for vacuum flasks
<b>2312</b>	Manufacture of glass mirrors
<b>2391</b>	Manufacture of glass paper
<b>2319</b>	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**

<b>2 digit SIC Code</b>	<b>4 digit SIC Code</b>
	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: 10 mins) during their CAPI interview which covers the following areas:

- Health;
- Satisfaction;
- Work conditions
- Gender attitudes
- Environmental attitudes
- How they see themselves as a person;
- Future intentions (for young adults); and
- Parenting.

### **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 4 (V1)

Forms Answer Navigate Options Help Show Watch Window

USoc

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
JOSHUA	401500	01	1	F	05	Blue Youth

INTERVIEWER: WRITE IN FROM CAPI SCREEN

Serial	Address	HH.No	ChkL	P.No
4 0 1 5	0 1	1	F	0

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

4

Understanding Society

P3028 W4 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

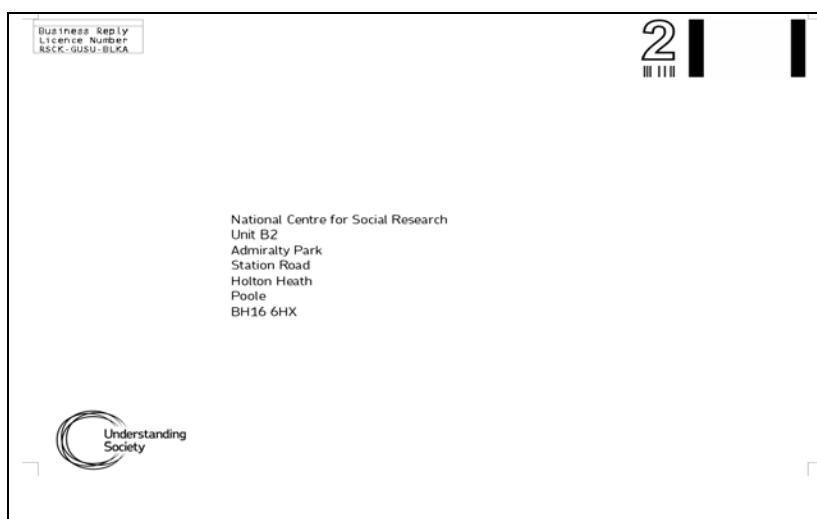
INTERVIEWER: DID RICHARD COMPLETE HIS/HER SELF COMPLETION?

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

	AxName	AxSerial	Complete	Unprod	SelfCom	Ch	Vouch
QSComp[1]	RICHARD	1001-02-1-01-G	<input type="checkbox"/>		<input type="checkbox"/>		
QSComp[2]	EVA	1001-02-1-02-H	<input type="checkbox"/>		<input type="checkbox"/>		
QSComp[3]	FRANK	1001-02-1-03-J	<input type="checkbox"/>		<input type="checkbox"/>		
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 Consent Forms

We are asking for consent to link to both health and educational administrative records for adults and for children. These require signed consent. The forms are printed in carbon copy. The top copy is to be sent back to Brentwood and the bottom copy is to be left with the respondent. Please get the respondent to initial the relevant boxes, sign, print their name and date the relevant section of the consent form. You will also need to sign and date the form. The CAPI screen will tell you which consent forms to administer and will give details of what you need to transfer onto the consent forms. Do not use the serial number from the ARF but copy carefully from the CAPI screen

We are also asking for consent from adults to link to economic records. We do not require signed consent to link to economic records.

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

interviewer will be asked to record who is the responsible adult during the enumeration of the household.

The first two consents asked for are for linking to health records, blue is for adults and yellow for children.

OFFICE COPY  
return to Brentwood  
Consent Form A

**Understanding Society**

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

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

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

Please write your initials to indicate that you give permission

**HEALTH DATA**

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

**FOLLOW-UP ON HEALTH REGISTRATION**

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

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost RRRX-KEKJ-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Respondent: Sign  Date  Print name

Interviewer: Sign  Date  Print name

**Thank-you!**

Serial  Address  HP/No  PNo  CHL

Level 3: Respondent Confidential. NatCen, 101, 135 Kings Road, Brentwood, Essex CM15 4LX; P3029 Understanding Society Unit Wk: 18/06/11 v3

Transfer SN from CAPI here. Note that the check letter is different for each individual in the household, and you should **not** use the check letter from the front of the ARF

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return to Brentwood  
Consent Form B

**Understanding Society**

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

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

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

**HEALTH DATA**

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

**FOLLOW-UP ON HEALTH REGISTRATION**

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

Please write your initials to indicate that you give permission

	First Name	Last Name	PNo	D.O.B dd/mm/yyyy	Health Data INITIALS	Follow-up on Health Registration INITIALS
Child 1				/ /		
Child 2				/ /		
Child 3				/ /		
Child 4				/ /		

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost RRRX-KEKJ-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Respondent: Sign  Date  Print name

Interviewer: Sign  Date  Print name

**Thank-you!**

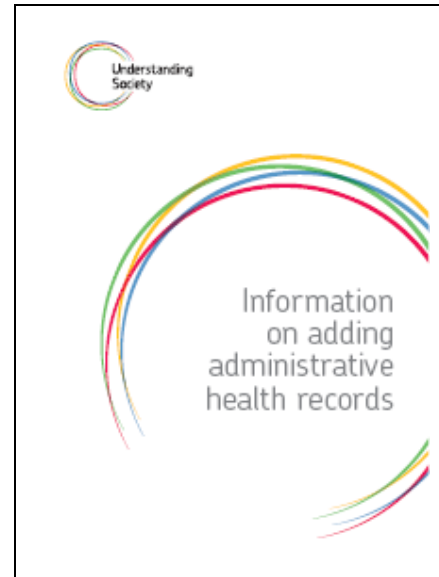
Serial  Address  HP/No  PNo  CHL

Level 3: Respondent Confidential. NatCen, 101, 135 Kings Road, Brentwood, Essex CM15 4LX; P3029 Understanding Society Unit Wk: 18/06/11 v3

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

There is also an information leaflet that needs to be given to respondents and it explains which health records we would be linking to, which in summary are:

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




The second set of consents are for linking to educational records, although note that consent for adults is only for those born since 1981 who went to school in the UK. There is an equivalent information leaflet for linking to educational records which respondents should have received with their advance letter. Additional copies will be available in your work pack. Links would be made to:

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

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



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return to Brentwood  
Consent Form C



### Adding information from administrative education records - adults

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

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

**Please write your initials to verify the following**

**EDUCATION DATA** \_\_\_\_\_ **INITIALS**

I authorise the English Department for Education, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my educational records.

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost R00X-KEKU-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Respondent Sign  Date  Print name


Interviewer Sign  Date  Print name

**Thank-you!**

Serial       Address       P/N No  P/Ns  CHSL

Level 3: Respondent Confidential. NatCom, 101, 135 Kings Road, Brentwood, Essex CM14 4LK; P3029; Understanding Society Unit Wk: 18/06/11 v3

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return to Brentwood  
Consent Form D



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

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

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

**EDUCATION DATA (children aged 4-15 only)**

I authorise the English Department for Education, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my child's educational records.

**Please write your initials to indicate that you give permission**

	First Name	Last Name	P/N No	DOB dd / mm / yyyy	INITIALS
Child 1	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Child 2	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Child 3	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Child 4	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Child 5	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Child 6	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost R00X-KEKU-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Respondent Sign  Date  Print name

Interviewer Sign  Date  Print name

Serial       Address       P/N No  P/Ns  CHSL

Level 3: Respondent Confidential. NatCom, 101, 135 Kings Road, Brentwood, Essex CM14 4LK; P3029; Understanding Society Unit Wk: 18/06/11 v3



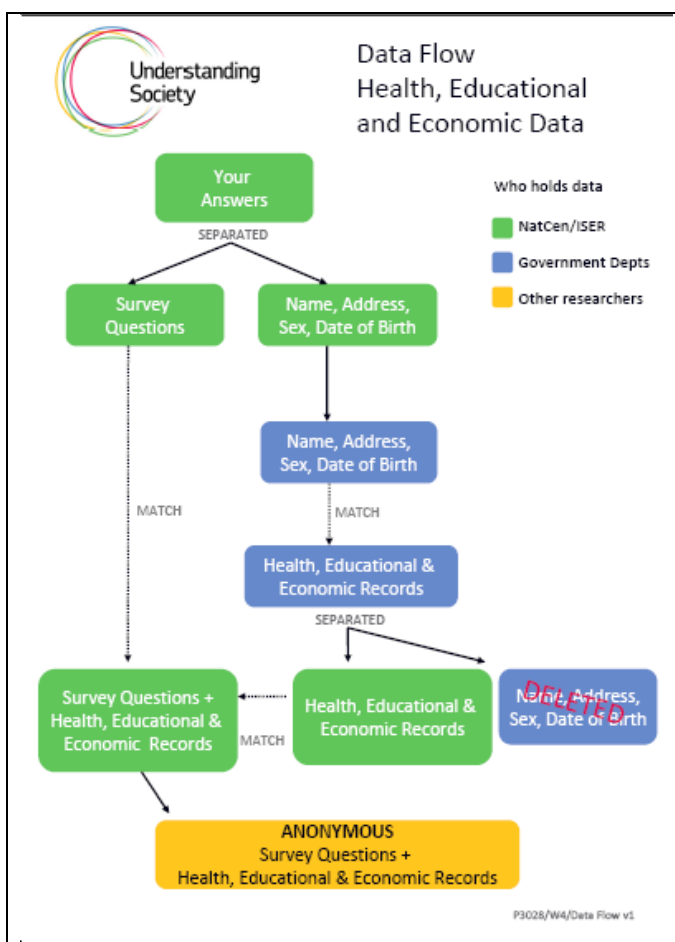
The final consent is for adults and asks about linking to economic records. There is an equivalent information leaflet for linking to educational records which should be given to the respondent. Links would be made to:

- National insurance and benefits records;
- Participation in government schemes such as New Deal for Lone Parents or New Deal 25 Plus.

There is no economic consent form as we do not required signed consent.

For future reference, there will be some children for whom we obtain a consent form from a responsible adult at this wave who will reach adulthood and be interviewed in a future wave. In these cases, we plan to ask the young adult directly for consent for further linkage from that point onwards. However, he or she would not normally be judged to have the power to revoke the consent given earlier by their parent or guardian for data that has already been obtained.

Respondents should also be shown the Consent flowchart which shows how we link to their health, educational and economic data and what happens to the data once we have linked to it. Its purpose is to reassure respondents about the confidentiality and anonymity of the data. Please explain the flowchart to respondents when asking for their consent.



## 10.9 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

## 11.1 Incentives

The 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 be asked to leave behind a promissory note for the incentive that we will send to the respondent, but you will not be administering any incentives yourself.**

Note that you should not leave any additional ‘special action’ notes in the Admin block for issuing vouchers to respondents - these can lead to duplicate vouchers being issued. If you have coded in the CAPI that the person has not received their voucher/they are a new entrant, and handed over a promissory note, we will automatically know that they require a voucher and post one to them.

### 11.1.1 Incentive amount

The incentive for Wave 4 is £10 for adults. Child incentives remain the same: £5 for *Living in Britain* and £3 for *Understanding Society* children. The incentive is delivered as a Post Office voucher, rather than the High Street “Love2Shop” voucher used in the past. To redeem the voucher, the sample member needs to go to a Post Office to have the bar-code on the voucher scanned. They then receive the voucher amount in cash, or the Post Office can deposit the money into a bank account.

**Table 11.1 Incentive amounts by age/sample type**

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

### 11.1.2 Adults

All adult sample members will receive a £10 incentive (Post Office 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).

We aim to send vouchers within 10 days of the interview so it is important that you dial-up regularly so the Office can be informed about a completed interview which requires a voucher.

#### 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. Reiterate 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. It is important that you dial-up regularly so that the Office know that a voucher needs to be sent.

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

P3028 PN

## 12 CAPI Interview

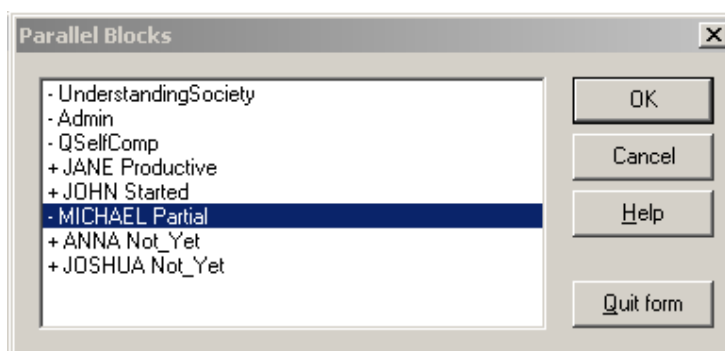
There are several elements to the CAPI questionnaire, which are covered in detail in this section.

### 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. Please note the structure of the household grid has changed since previous waves of the study.

### 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 4 in the individual questionnaire are:

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

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 Minority 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 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.

### **12.3.2 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:

**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.**

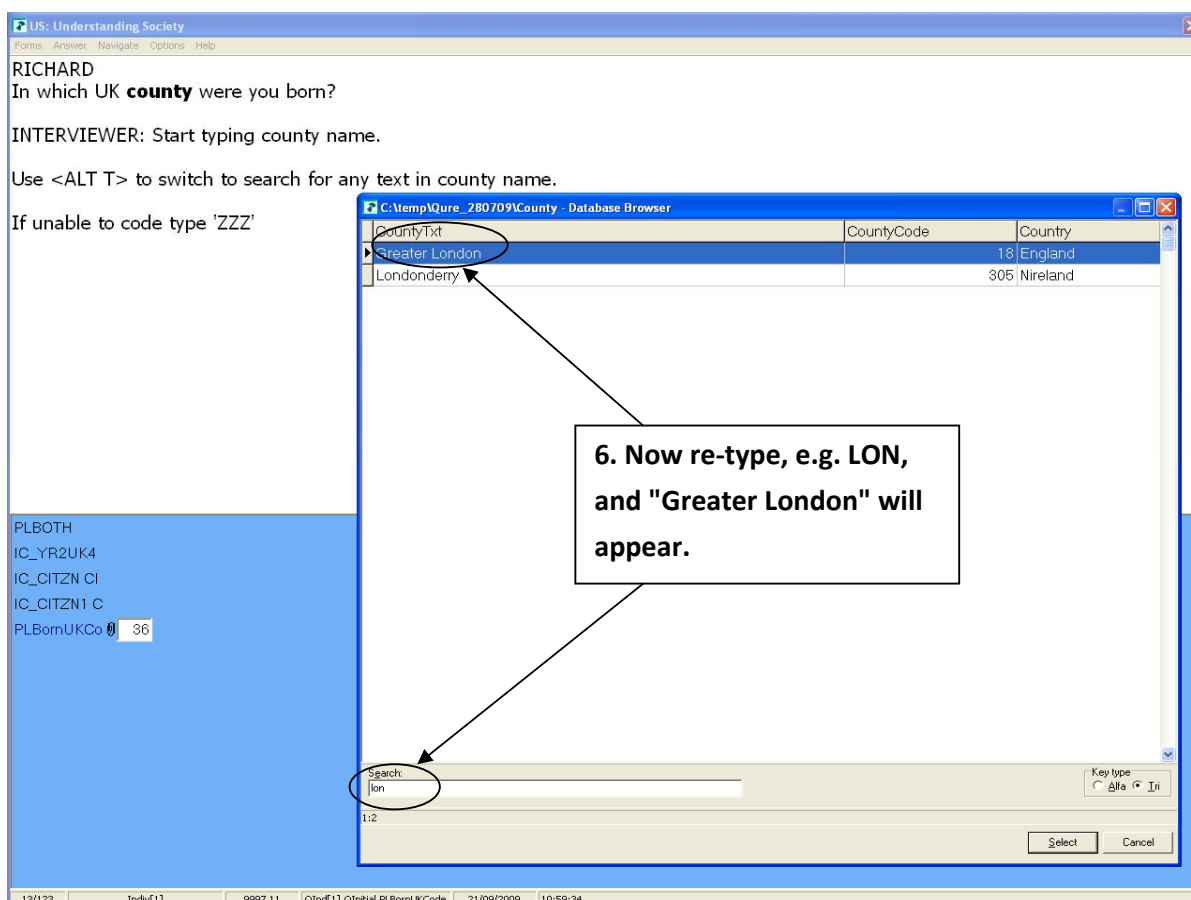
**3. "alpha" and "trigram" are displayed under the heading "Key type", "alpha" should be ticked.**

The screenshot shows the 'US: Understanding Society' application window. The main text area contains the following text: RICHARD, In which UK **county** were you born?, INTERVIEWER: Start typing county name., Use <ALT T> to switch to search for any text in county name., and If unable to code type 'ZZZ'. Below this is a list of fields: PLBOTH, IC\_YR2UK4, IC\_CITZN CI, IC\_CITZN1 C, and PLBomUKCo 36. A search box is visible with the text 'SUR' entered. A pop-up window titled 'C:\Temp\Qure\_280709\County - Database Browser' is open, showing a list of counties. The 'Key type' section at the bottom of the pop-up has 'alpha' selected and 'trigram' unselected. The 'Search' button is highlighted.

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

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

The screenshot shows the same application window as the previous one, but the search box now contains '0'. The pop-up window is still open, but the 'Key type' section now has 'trigram' selected and 'alpha' unselected. The 'Search' button is now disabled. The main text area is 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 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.

## 12.5 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.

#### **12.5.1 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'.

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

#### **12.5.2 Flagging up household/respondents who should not be issued again this wave/in the future**

There are also questions at the end of the Admin block where you are asked to indicate whether any individuals in the household should not be issued again at the next wave. Only use this question to flag specific, rare cases e.g. people who are mentally unable to take part, people who have behaved aggressively/adamantly refused and asked to be removed from the sample, or people who have died. These answers and the further information provided will enable us to decide on whether some people should be permanently excluded from the sample. Do not use this for 'soft' refusals who could be issued again at the next wave.

## 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 3.

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**

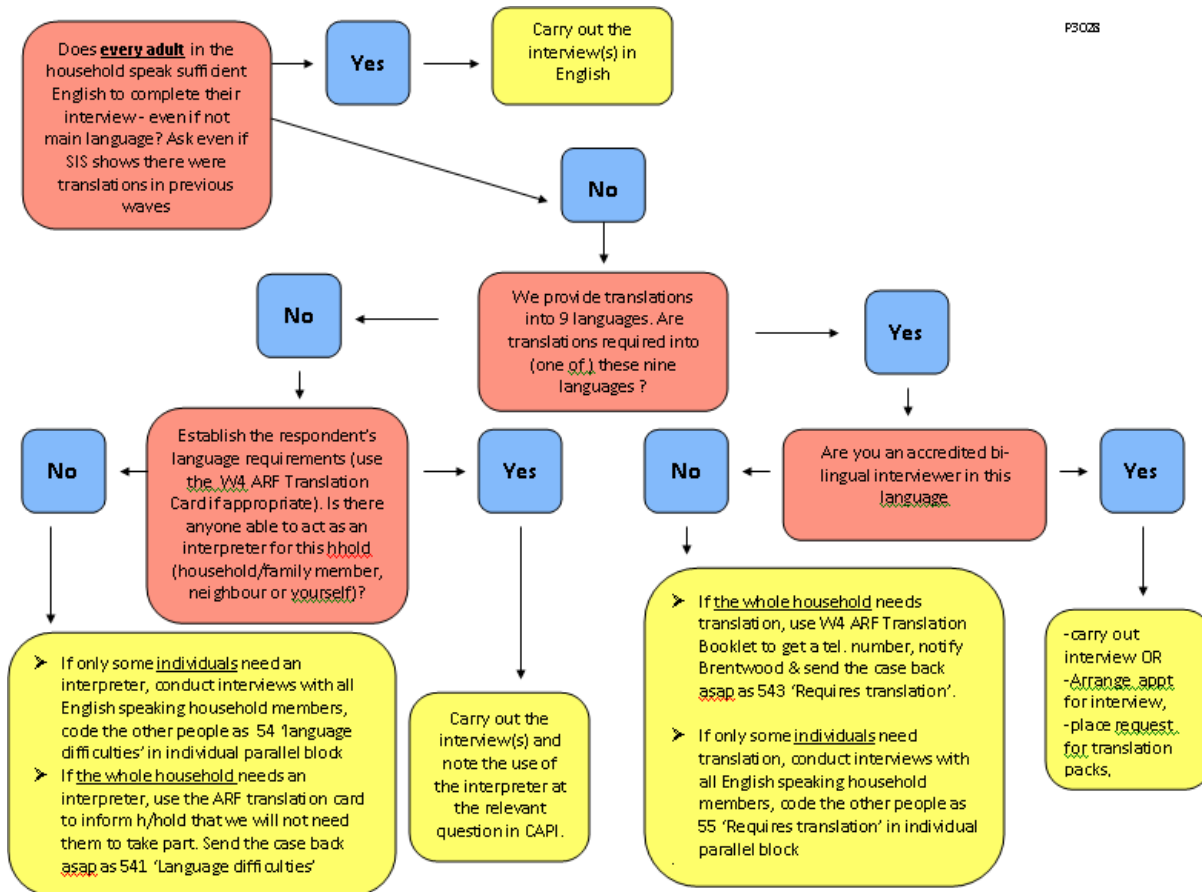
If the sample members speak a language that we do not provide translations into, try to find out whether there is anyone else in the household or a neighbour who could act as an interpreter. Ideally they should be a responsible adult aged 18 or over, but if necessary you can use a child. The child must, 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 13.1: 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.

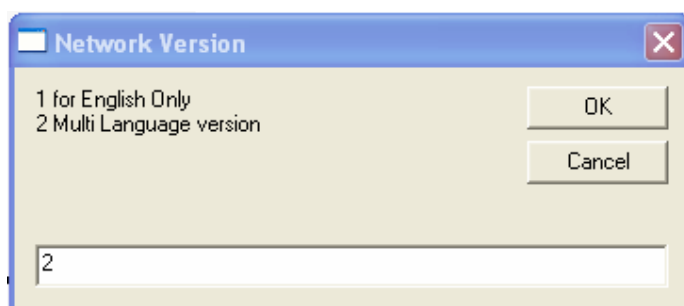
## 13.7 Using CAPI to conduct translated interviews

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

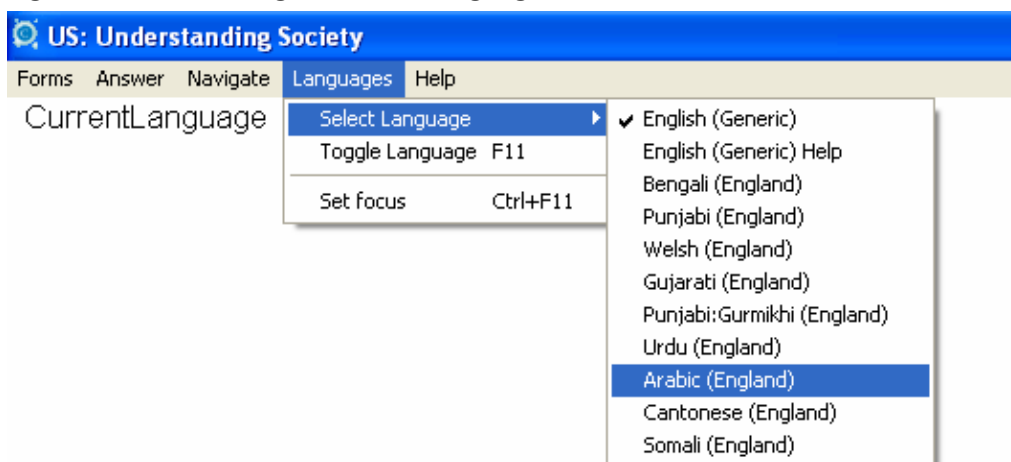
required language). It is possible to complete interviews with different people in the same household in different languages.

**Figure 13.3.1 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 13.3.2 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 3 interview, so if you do come across a household that has had a visit 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

*Understanding Society* English-speaking general population samples are eligible for a nurse visit. From wave 3, some members of the *Living in Britain* sample were also eligible. As not all members of the Living in Britain sample were eligible, 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 visits after Waves 2 and 3, 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](http://www.understandingsociety.org.uk/participants)**.

### **Between-wave mailing**

As in Wave 3, sample members will be sent an update around six months after their Wave 4 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	Workpack
<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
Generic Advance letter (not laminated – for new entrants)	A4 letterhead	3
Information Leaflet (“ <i>Understanding Society</i> : Information for participants”)	Card	3
Living in Britain leaflet	A4 laminated	1
First Findings Summary Brochure *	A5	1
Understanding Society in the news *	A4 laminated	2
ARF A & Sample Information Sheet (SIS)	A4 Violet	No. in point
ARF B	A4 Yellow	2
784 log	A4 White	1
Tracing Document	A4 Green	3
Youth self-completion	A5 Colour Blue	5
Privacy envelope for self-completion	A4 - Blank	5
Poole pre-franked envelopes for self-completions	C4	5
Tracing letter	A4	3
Stable contact letter	A4	3
Envelope for tracing/stable contact letters	DL	3
Queen’s head envelope for tracing letter	DL	3
Promissory note	A5	10
Change of address cards (blank)	White Card	5
Free post envelope for change of address cards, tracing letter and stable contact letter	DL	10
Splits flowchart	A4	1
Appointment card	A6 White card	10
Broken appointment card	A6 White card	3
Show cards	A5 White card	1
Doorstep ‘flyer’	A5	5
Pens**	Green top, white barrel	20
Consent Form Flowchart Health Educational and Economic data	A4	1
Data linkage Info Leaflet- Health data	A4	No in point
Data linkage Info Leaflet- Education data	A4	1
Data linkage Info Leaflet- Economic data	A4	No. in point
Consent form - economic	A4 Blue	1 pad
Consent form - health - adult	A4 Blue	1 pad
Consent form - health - child	A4 Yellow	1 pad

Consent form - education - adult	A4 Pink	1 pad
Consent form - education - child	A4 Green	1 pad
ARF Translation Card	A4 laminated	1
ARF Translation booklet	A5	1
Translation flow chart	A4	1

\* Copies of the First Findings Summary Brochure and two Understanding Society in the news leaflets were included in your briefing packs.

\*\*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 Consent forms

Completed consent forms should be sent back to Brentwood. Please send these back regularly throughout fieldwork, to minimise the chance of any forms going missing or becoming damaged. The consent is invalid unless a form is correctly filled in and recorded as returned by the office.

#### 17.3.3 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.

#### 17.3.4 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.**

### 17.3.5 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</i> : Information for participants' leaflet
Promissory notes
<i>Understanding Society</i> generic letter (laminated)
Showcards
Consent form - economic
Consent form – health - adult
Consent form – health - children
Consent form – education - adult
Consent form – education - children

## 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:

<b>BenPen</b> <b>NI Retirement Pension</b>	<p>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.</p> <p>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.</p> <p>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.</p>
<b>BenPen</b> <b>Occupational Pensions from previous employers</b>	<p>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.</p>
<b>BenPen</b> <b>Pension from a spouse's previous employer</b>	<p>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.</p> <p>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.</p>
<b>BenPen</b> <b>Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance</b>	<p>Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.</p>
<b>Pension Credit</b>	<p>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.</p> <p>Pension Credit has been paid since October 2004. There are two main elements. The <b>Guarantee Credit</b> 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 <b>Saving Credit</b> 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.</p>
<b>BenDis/BenAI</b> <b>Employment and Support Allowance</b>	<p>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.</p> <p>Anyone receiving Incapacity Benefit or Income Support (paid on</p>

	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.
<b>BenDis/BenAI Severe Disablement Allowance</b>	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.
<b>BenDis/BenAI Industrial Injury Disablement Allowance</b>	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.
<b>BenDis/BenAI Disability Living Allowance/ Care Component</b>	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 require a questionnaire for the <u>responsible adult</u> for the child. Where someone is 16 or over this should be recorded on person's own questionnaire.
<b>BenDis/BenAI Disability Living Allowance Mobility Component</b>	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
<b>(BenDis/BenAI) Attendance Allowance</b>	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.
<b>BenDis/BenAI Carer's Allowance</b>	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.
<b>BenDis/BenAI War Disability Pension</b>	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.
<b>BenDis/BenAI Incapacity Benefit</b>	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.
<b>BenSup/NFE/Btype Income Support</b>	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.

	<p>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.</p> <p>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.</p>
<b>BenSup/NFE/ BenUnemp Jobseeker's Allowance</b>	<p>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).</p>
<b>BenSup Return to Work Credit</b>	<p>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.</p>
<b>BenSup/NFF/Btype Child Benefit</b>	<p>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. <b>Child Benefit (Lone Parent)</b> was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this.</p>
<b>BenSup/BenTax/ BenCTC Child Tax Credit</b>	<p>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.</p>
<b>BenSup/BenTax Working Tax Credit</b>	<p>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</p>

	<p>cases.</p> <p>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.</p>
<b>BenSup/BenTax Disabled Person's Tax Credit</b>	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.
<b>BenSup/BenFam Maternity Allowance</b>	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.
<b>BenSup/NFG/BenHou Council Tax Housing Benefit /Rent Rebate</b>	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.
<b>BenSup/BenTax/ BenHou Council Tax Benefit</b>	As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax bill. If 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.
<b>BenSup Other State Benefits, Allowance or Credit</b>	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent Work Search Allowance etc. 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.
<b>BenPay/BenSta Educational Grants</b>	<p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.</p>
<b>BenPay/BenSta</b>	Include all payments from such bodies here with the exception of



<b>Trade Unions/ Friendly Societies</b>	Educational Grants and Sickness or Accident Insurance. Include Strike Pay.
<b>BenPay/BenFam/BenSta Maintenance/Alimony</b>	<p>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.</p> <p>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.</p> <p>Payments received for a child should only be recorded if that child is present in the household. If a respondent receives payment</p>
<b>BenPay/BenFam/BenSta Regular payment from family members not living here</b>	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'.
<b>BenPay/Ben/Sta Rent from boarders or lodgers</b>	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.
<b>BenPay/BenFam Foster Allowance / Guardian Allowance</b>	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.
<b>BenFam In-Work Credit for Lone Parents</b>	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.
<b>BenPay/BenSta/BenDis Sickness Accident Insurance</b>	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).
<b>BenFam Universal Credit</b>	From October 2013 Universal Credit replaces Income Support, income-based Job Seeker's Allowance, income-related Employment Support Allowance, Housing Benefit, Child Tax Credit and Working Tax Credit.
<b>BenPay/BenSta Other Regular payment</b>	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

### 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- 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 household 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 household members (at this address) have moved into another issued household

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 household

## **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 *(to be used only in the rare cases if dead occurs/is discovered after Household Grid enumeration has been completed)*

**Unknown eligibility**

89 – Unknown eligibility – contact made (record details)

## Appendix D: Practice cases and serial numbers

The practice case serial numbers are as follows:

4015000 01-1-Q

4015000 02-1-Q

4015000 03-1-Q

4015000 04-1-Q

4015000 05-1-Q

4015000 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 4015000 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 4 questionnaire – list of modules

New modules introduced in Wave 4 are shown in **bold**.

Module number	Module description	Who gets asked the questions
<b>1</b>	<b>HH grid</b>	<b>All hholds - entirely revised for Wave 4</b>
<b>2</b>	<b>HH questionnaire</b>	<b>All hholds - new questions on the environment, household investments, standard of living and further questions about the cars or vans used by the household</b>
3	Ind-Intro	All
4	Demographics	All – some Qs only asked of from new entrants/never interviewed
5	Initial conditions	New entrants/never interviewed
6	Educational aspirations	Full-time students
7	Own first job	New entrants/never interviewed/started first job
8	Young adults	Aged 16-21
9	Family background	New entrant/never interviewed
10	Ethnicity and national identity	New entrant/never interviewed
11	Religion	Some questions all, some only to Living in Britain sample/new entrants & never interviewed in the ethnic boost/GP comparison samples
<b>12</b>	<b>Religious Practice</b>	<b>Belong to a religion and in the ethnic boost/GP comparison sample or a recent immigrant</b>
<b>13</b>	<b>Service Use</b>	<b>Ethnic boost/GP comparison sample or a recent immigrant</b>
14	General health	All
15	Disability	All
<b>16</b>	<b>Sleep</b>	<b>All</b>
17	Health conditions	New entrants
18	Caring	All
<b>19</b>	<b>IBio</b>	<b>TBC. Likely to start from year 2 (January 2013)</b>
20	Partnership history	New entrant/never interviewed
21	Fertility history	New entrant/never interviewed
22	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
23	Current employment	Those who have a job (either did paid work last week or is away from a job e.g. on maternity leave)
24	Employees	Employees
25	Self-employment	Self-employed
<b>26</b>	<b>Commuting behaviour</b>	<b>Employees and Self employed respondents not working at home (Module last used at Wave 2)</b>
27	Job Satisfaction	Those with a job
28	Non-Employment	Did No Paid Work In Last Week and Does Not Have A

		Job
29	Mother's return to work	Currently on maternity leave and had a baby since last interview
30	Second Jobs	All
<b>31</b>	<b>Voluntary Work</b>	<b>All</b> (Module last used at Wave 2)
<b>32</b>	<b>Charitable Giving</b>	<b>All</b> (Module last used at Wave 2)
<b>33</b>	<b>Transport Behaviour</b>	<b>All</b>
34	Childcare	Responsible adult for someone under-15
<b>35</b>	<b>Remittances</b>	<b>Ethnic boost/GP comparison sample</b> (Module last used at Wave 1)
36	Unearned income & state benefits	All
37	Household finance	All
<b>38</b>	<b>Savings</b>	<b>All</b> (Module last used at Wave 2)
<b>39</b>	<b>Pension</b>	<b>All</b> (Module last used at Wave 2)
<b>40</b>	<b>Wealth, Assets and Debts</b>	<b>In the ethnic boost/GP comparison sample or a recent immigrant</b>
41	Retirement planning	Aged 45, 50, 55, 60 or 65 and not currently retired
<b>42</b>	<b>Domestic Division of Labour</b>	<b>If respondent lives with a spouse/partner</b> (Module last used at Wave 2)
43	Politics	All
<b>44</b>	<b>Olympics</b>	<b>All</b>
45	Environmental Behaviour	All
<b>46</b>	<b>CASI</b>	All
<b>47</b>	<b>Health linkage consents</b>	<b>All who have not yet given Health consent</b>
<b>48</b>	<b>Saliva samples and consent</b>	<b>If agreed to give saliva sample in IBio module</b>
<b>49</b>	<b>Education linkage consent</b>	<b>All adults (consent either asked or confirmed)</b>
<b>50</b>	<b>Benefit record linkage consent</b>	<b>All adults</b>
51	Respondent contact details	All
52	Stable contact details	All
53	Interviewer observations	All
54	Proxy	Proxy interviews only
55	Youth Self-Completion	Children aged 10-15 years

## Appendix G: Fieldwork Timetable Wave 4, Year 1

FIELD MONTH	Main fieldwork packs posted	Main fieldwork allocated on host	1 <sup>st</sup> issue fieldwork starts (6 weeks)	1 <sup>st</sup> issue fieldwork ends – last transmission (by midnight)	Reissue fieldwork starts (4 weeks)	Reissue fieldwork ends – last transmission (by midnight)
DR	Wed 19/09/11	Fri 21/09/11	Wed 26/09/11	Tue 06/11/11	N/A	N/A
JA1-11	Wed 28/12/11	Wed 04/01/12	Sun 08/01/12	Sun 19/02/12	Thur 08/03/12	Sun 08/04/12
FE1-11	Fri 27/01/12	Fri 03/02/12	Wed 08/02/12	Wed 21/03/12	Sun 08/04/12	Mon 07/05/12
MR1-11	Fri 24/02/12	Fri 02/03/12	Thurs 08/03/12	Thur 19/04/12	Tues 08/05/12	Thur 07/06/12
AP1-11	Wed 28/03/12	Wed 04/04/12	Sun 08/04/12	Sun 20/05/12	Fri 08/06/12	Sun 08/07/12
MY1-11	Thur 26/04/12	Thur 03/05/12	Tues 08/05/12	Tues 19/06/12	Sun 08/07/12	Tue 07/08/12
JN1-11	Mon 28/05/12	Mon 04/06/12	Fri 08/06/12	Fri 20/07/12	Wed 08/08/12	Sun 09/09/12
JL1-11	Wed 27/06/12	Wed 04/07/12	Sun 08/07/12	Sun 19/08/12	Sat 08/09/12	Tue 09/10/12
AU1-11	Fri 27/07/12	Fri 03/08/12	Wed 08/08/12	Wed 19/09/12	Mon 08/10/12	Wed 07/11/12
SE1-11	Tue 28/08/12	Mon 03/09/12	Sat 08/09/12	Sat 20/10/12	Thur 08/11/12	Sun 09/12/12
OC1-11	Wed 26/09/12	Wed 03/10/12	Mon 08/10/12	Mon 19/11/12	Sat 08/12/12	Tue 08/01/13
NV1-11	Fri 26/10/12	Fri 02/11/12	Thur 08/11/12	Thur 20/12/12	Tues 08/01/13	Fri 07/02/13
DE1-11	Mon 26/11/12	Mon 03/12/12	Sat 01/12/12	Sat 18/01/13	Fri 08/02/13	Sun 09/03/13



## 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.