

# **NatCen**

**Social Research** that works for society

# **Understanding Society**

## **W5 CAPI Project Instructions**



At **NatCen Social Research** we believe that social research has the power to make life better. By really understanding the complexity of people's lives and what they think about the issues that affect them, we give the public a powerful and influential role in shaping decisions and services that can make a difference to everyone. And as an independent, not for profit organisation we're able to put all our time and energy into delivering social research that works for society.

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## Summary

*Understanding Society* is the largest household panel study of its kind in the world. The study launched in January 2009 and Wave 5 begins in January 2013. *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 for Social and Economic Research (ISER) at the University of Essex. NatCen Social Research 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 5 we will be re-visiting productive and unproductive Wave 4 households, including partials. The sample will be interviewed face-to-face. This sample consists of three groups:

- General Population sample
- Ethnic minority boost sample (focusing on five main ethnic groups: Indian, Pakistani, Bangladeshi, African, Caribbean)
  - one of the largest UK longitudinal study samples of ethnic minorities
- Living in Britain sample

### Fieldwork

Wave 5 fieldwork will last for just over 2 years and is split into 24 monthly samples, issued between January 2013 and December 2014. The *Living in Britain* sample members will all be issued during year one of Wave 5 (between January and December 2013). All households in the sample will be issued within the same quarter (e.g. JA1-MR1) as at Wave 4.

## 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.

## Response rate targets

Understanding Society productives :	92%
Living in Britain productives :	93%
Ethnic minority boost productives:	88%
Previous wave unproductives :	25%

## Who to interview

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. All household members aged 10+ are invited to take part:

- Children (10-15s) complete a paper self-completion;
- Adults (16+) complete a CAPi interview which incorporates a CASi self-completion.

## The ARF

At Wave 5, there are two types of ARF and a 784 log:

- ARF A relates to the original household and incorporates a Sample Information Sheet;
- 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.



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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 4.

## The interview process

The data collection instruments are:

- CAPI household questionnaire (including the enumeration of the household i.e. the household grid);
- Individual Adult CAPI questionnaire for all aged 16+
- Adult CASI;
- CAPI proxy questionnaire; and
- 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 5, 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 5 questionnaire are:

- Personal and family background;
- Ethnicity and religion;
- Health;
- Relationships;
- Annual events;
- Employment;
- Family networks and childcare;
- Finances; and

- 
- Politics and cultural participation.

## Queries

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

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# 1 Introduction

*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, with an achieved sample size at Wave 1 of almost 40,000 households across the UK. 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.

## 1.1 Background

*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

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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.

For more information on the study, please visit the *Understanding Society* website: [www.understandingsociety.ac.uk](http://www.understandingsociety.ac.uk).

Some early findings from the study are published in the annual reports: <http://research.understandingsociety.ac.uk/findings/early-findings>  
<http://research.understandingsociety.ac.uk/findings/findings-2012>

For information on the media coverage of *Understanding Society*, please visit the 'News' page of the *Understanding Society* website at: [www.understandingsociety.ac.uk/news/inthenews/default.aspx](http://www.understandingsociety.ac.uk/news/inthenews/default.aspx).

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.ac.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.

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## 2 The Sample

The sample for *Understanding Society* Wave 5 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). Assignment sizes will vary, although they will normally be comprised of a maximum of 10 households, clustered to reflect geographical areas.

You will be revisiting:

- Fully and partially productive, as well as some unproductive, Wave 4 *Understanding Society* households; and
- Fully and partially productive, as well as some unproductive, Wave 4 *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.

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## 3 Fieldwork

The fieldwork for mainstage Wave 5, as in previous waves, will last for 2 years from January 2013 to December 2014, and will be split into 24 monthly samples.

The 24 monthly samples are named:

- 2013: JA1, FE1, MR1, AP1, MY1, JE1, JU1, AU1, SE1, OC1, NV1, DE1
- 2014: JA2, FE2, MR2, AP2, MY2, JE2, JU2, AU2, SE2, OC2, NV2, DE2

At Wave 4, each household was issued in the same quarter (e.g. JA1 - MR1) as on previous waves. This re-clustering exercise reduced the level of interviewer continuity and following feedback we have decided to stick to the re-clustering exercise but to focus on interviewer continuity being a key factor in decision making around assigning points.

### 3.1 3 month fieldwork period

In the qualitative work we've done with you and with participants, a clear message was that you wanted more flexibility in terms of the fieldwork period. We've taken those comments on board and have **extended the first issue fieldwork period from six to 10 weeks.**

We wanted to give you more time for contacting and interviewing respondents and in turn increase response rates. As well as improving response, you'll get increased benefit from the other changes we've made:

- you'll have greater benefit from the increased interviewer continuity – you'll hold on to a case for 10 weeks, instead of sending it back for reissue after six; and
- you'll have more chance of getting every individual in the household – you can be more flexible with people's requirements, instead of having to send a case back at the end of six weeks.

To summarise the changes we've made:

- The standard first issue period will be 10 weeks. **Assignments will continue to be issued on a monthly basis.**
- You will be able to make **appointments up to the end of the 12<sup>th</sup> week of fieldwork**, equivalent to the current last week for reissues. This enables you to be more flexible in those situations where multiple calls to the same household are necessary to secure an interview.
- **Reissues to a different interviewer will only happen in exception cases.**

#### 3.1.1 Fieldwork milestones

To account for these changes, we have also amended your targets for coverage during the fieldwork period:

(end of)	
Week 2	<b>First calls on 100% of cases   25% of cases completed</b>
Week 4	<b>50% of cases completed</b>
Week 6	<b>75% of cases completed</b>

Week 8      **90% of cases completed**  
 Week 10    **100% completed** (contingency for interviews in Weeks 11 and 12 in exceptional circumstances)

## 3.2 Individual case management

Understanding Society is a survey of individuals in their household context. For Waves 1-3 case management i.e. allocation, progress monitoring and response reporting has been focussed at the Household level.

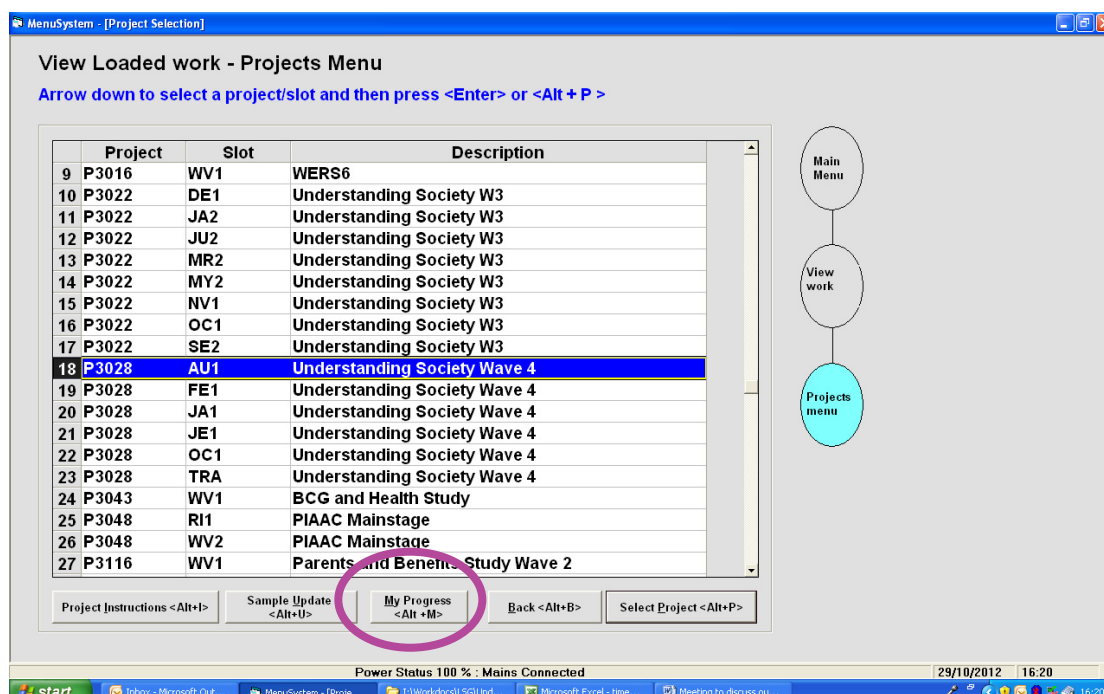
From January 2013, a series of enhancements have been developed to allow for cases to be managed at an individual level – whilst maintaining the Household structure essential to the design of the study as a whole. These enhancements will take effect from Wave 5 (JA1-DE2) and Wave 4 yr 2 (JA2 – DE2).

### 3.2.1 ARF and Sample Cover Sheet

Both the ARF and the Sample Cover Sheets have been re-designed to show both the households in each assignment and key information about each of the adults eligible for interview (based on the previous wave's data). You can read more about these in section 7 of these project instructions.

### 3.2.2 'My Progress' in CMS

A new screen has been added to the CMS for Understanding Society. The button (see below) will only be visible when a month covered by Individual Case Management is selected.



The screen is composed of Household rows with the individuals within that household listed underneath (similar to the Sample Cover Sheet). It has been designed to display the current status of individuals within households not yet assigned a final outcome code.

MenuSystem - [My Progress]

Understanding Society - My Progress P3028 - AU1

	Serial No	PNo	Principal contact	Issue No	Result last wave	No of calls	Status to date
1	408906011			1	120	1	Interview started
2	408906011	1			31		Prod
3	408906011	2	*		41		Not started
4	408906011	3			51		Unknown elig
5	408908081			2	110	2	Appt made
6	408908081	1	*		12		Not started

Back <Alt+B>

Power Status 100 % : Mains Connected 22/11/2012 14:45

start Database VB6 Control Panel us-menu-system Command Prompt MenuSystem - ... MenuSystem - ... IronKey Contr...

The dynamic nature of the screen means that changes in household composition (splits, new entrants) and interview status will be reflected here so that this screen becomes a summary of outstanding interviewing for a given assignment.

As new entrants are formed, a corresponding row will appear. Similarly as splits are created, new rows will be created accordingly. At the point a household is signed off, the rows containing information about the household and the individuals in that household will be removed.

This should allow you to manage their work more efficiently and see at a glance the number of individual interviews to be conducted and the status of each household.

The screen contains the following data:

**Serial number, PNo and Principal contact** – as per the Sample Information Sheet attached to the back of each ARF.

**Issue Number** – this is a household level indicator of issue status ie first issue (1), re-issue (2 or 3).

**Result last wave** – a description of the outcome at the previous wave for both households and individuals. Individuals with a final outcome will remain listed until the whole household has been signed off.

**Number of calls** – this tells you at a glance how many calls you've made to a given household

**Status to date** – this allows you to see what work has been done on a case so far.

### 3.3 Prioritising households



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We know there are a number of factors that can make a household more difficult to contact and secure an interview with. At this Wave, we have taken account of the amount of information we hold about our sample and used it to sort your allocation.

So, for example, if we think that a household may be harder to contact because we don't have mobile phone numbers, or if we think they may have moved, they will be placed higher up your list of households for an assignment; if you tackle them in this order, it should improve your chances of success with any households that prove hard to track down.

This doesn't mean you *have* to approach households in that order – the information is just there for your guidance; if it's more efficient for you to approach households in a different order, e.g. calling on two addresses because they are close together, you should still do so.

## 4 Before you contact the household

We know that the interaction we have with respondents in between your interviews is important. That's why, at this wave, we've put a lot of effort into revamping how we communicate with respondents. Some examples of what we've done so far, and an idea of where we hope to get to in the future, are included below.

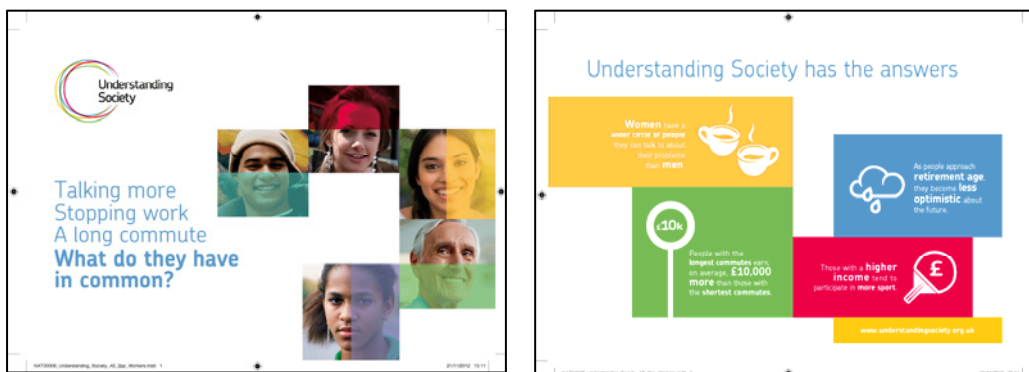
### 4.1 Between-wave mailings

Until now, we've sent a findings report to each household around 6 months after their interview. The household's principal contact would receive this while other household members received a letter and COA card. The benefits of this approach was that the household received a document with detailed results – it demonstrated the benefit of a high-quality, academic social survey.

However, following the detailed qualitative work we've completed with participants (you can read more about this in your briefing manual), the message we heard was that respondents wanted:

- to know why their individual contribution was valuable;
- more information about why Understanding Society is important;
- communication that reflected their individual circumstances and motivations; and
- individual-level communication, as opposed to household.

We have produced a number of tailored findings documents that will replace the interwave mailing, an example of which is below:



There are 4 tailored versions of this document sent to each sample member. Variations will be based on factors such as employment, ethnic group and age. The mailing will also include a letter and change of address card.

An exercise similar to the between wave mailing work was undertaken with the advance mailing. The aim of this piece of work was to simplify the information that respondents are given, to make it more engaging, and to encourage respondents to take part. We will no longer be making a distinction in the letter between Living in Britain and Understanding Society respondents. At time of these Project Instructions going to print, a final example of the advance letter is not available. However, an early indication is below.

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In addition to a letter, the advance mailing will include the following items:

- incentive (£10 Post Office or Gift Card);
- Change of Address (COA) card; and
- COA freepost return envelope

## 4.2.1 Types of advance letter

As mentioned above, there are fewer types of advance letter at this wave – from 5 main versions to 3. This is detailed in the table below

W4 version	W4 sample member type	W5 version	W5 sample member type
A	Understanding Society sample - interviewed at W4	A	Interviewed at previous wave
D	BHPS sample - interviewed at W4		
C	Both sample groups - Rising 16 since W4	C	Rising 16 since W4
B	Understanding Society sample – not interviewed at W4	B	Not interviewed at previous wave
E	BHPS sample – not interviewed at W4		
Generic	Use on the doorstep / new household members / those that have not received an advance letter. No differentiation between sample member types	Generic	Use on the doorstep / new household members / those that have not received an advance letter.

## 4.2.2 Change of address card

The advance mailing also includes a Change of Address (COA) card (see below) and a University of Essex Freepost return envelope. This is to encourage sample members to inform us of any 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.

## 4.3 The website

Participants are also able to update their details – and find much more information about the study – on the website. The address is **[www.understandingsociety.ac.uk](http://www.understandingsociety.ac.uk)**. Respondents will also receive £5 if they notify us of a change of details through the website. We'd recommend that you take a look too.

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## 5 Contacting the household

### 5.1 First contact with 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 in a given fieldwork period **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 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 ARF and Sample Information Sheet. In these cases, please make first contact by phone to arrange an appointment only. DO NOT interview by telephone.

However, if there is no contact with a respondent after 6 calls to the household, you should talk to your Team Leader and discuss whether attempting telephone contact is a suitable approach. This should be used as a last resort, but would be useful in order to avoid returning as a non-contact before all methods have been tried.

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* interviewer 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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## 5.2 Subsequent contact with 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 are 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. The respondent cannot be replaced by someone else: it is only by talking to the same people each year that we can properly measure change and stability in our society. 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. You should be prepared to make multiple calls to the household, so every adult does not have to be at home at the same time.

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

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refer to the 'Introduction' of these instructions for the background information on the study.

## 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 if necessary to interview all eligible individuals – members of the household don't all have to be in at the same time; 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.

Target response rates at W5, broken down by sample type, are:

- Understanding Society sample: 92%
- Living in Britain sample: 93%
- Ethnic Boost: 88%
- Unproductive at W4: 25%

## 5.5 Doorstep documents

There are a number of documents for you to use on the doorstep:

- Interviewer card;
- Flyer
- '*Understanding Society*: Information for Participants' leaflet;
- Generic advance letter; and
- A Summary of First Findings Brochure.

### 5.5.1 Interviewer card

Instead of an Appointment and Broken Appointment card, there is now one single Interviewer card that allows you more flexibility to write your own message, depending on the circumstances. Remember that if you are leaving a card following a Broken Appointment you can add the Brentwood freephone number for the respondent to contact someone at the office to propose a different interview time. The phone number to use is 0808 168 1356. You should also write their serial number on the card to make it easier for Brentwood to identify them.

### 5.5.2 Flyer

The flyer can be used with all respondents to remind them of key information about what the study is about. On the front it also has some engaging and interesting research questions.

### 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

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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 participation history; 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 Findings 2012 brochure**

A copy of this will be supplied in your starter pack. It contains detailed findings from the latest data release. It can be used to show the detailed work done with the data when in a household. For example, one respondent may read it while another is completing their interview.



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## 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/bedsit 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 living away from the household in institutional accommodation (e.g., students in Halls of Residence) at Waves 1, 2, 3 and 4. 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

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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 households

As in previous waves, there are two types of Address Record Form at W5:

- **ARF A:** includes the Sample Information Sheet (SIS) and is available for all issued households
- **ARF B:** used for split households, i.e. those where one or more household members has left the original household

In addition, there is:

- a **784** log to record the serial numbers of split households that are not eligible for an interview (as told by CAPI)
- an Observations sheet
- a Final Outcomes sheet

**ARF A is a Level 3: Respondent Confidential document. You must take great care with it at all times.**

### 7.1 Front page

Following feedback, we have made a number of changes to the ARF at W5. These are focused on providing you with more information on the front page. You'll notice that in addition to the information provided previously, we have added/amended:

- Household move since last wave: whether we have been notified of a whole household move since previous wave. Suspected splits can still be found in the SIS.
- Interviewer comments: these have been moved from later sections of the ARF so more information is available to you. You should use this information to tailor your approach on the doorstep. You should also bear in mind the need to record any useful information for use at the next wave.
- Individual level information: for each individual resident in the household at the previous wave, their name, age, participation history and contact numbers are now printed on the front of the ARF. There is also a column for keeping track of completed interviews and youth self-completions. This replaces the 'Tracking Interviews and Self-completions' section, which was on page 4.

### 7.2 Keeping track

The second page of ARF A provides 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.

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## 7.3 Observations at originally issued address (Section A)

This section is for you to fully record your observations and all attempts to contact the household.

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

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

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

## 7.4 Tracing activities (Section B)

Instead of a separate document as in Wave 4, the tracing sheet has been redesigned and returned to ARF A. The new section collects more information about which methods were used and which were most successful, using information from the sample.

This will allow us to understand better what tracing activities are useful and which aren't. Contact details from the sample information we hold have also been added to the sheet so that you are able to more easily see which you should have tried before you return a case to the office.

## 7.5 Observations at follow-up address (Section C)

This section allows you to record observations at the first follow-up address. It is most likely that tracing will lead you directly to a new address and so only one observation section has been included. You have been provided with additional, separate Observation sheets in case you visit more than one follow-up address.

## 7.6 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 5 of the survey in case there are new entrants, and in case requirements have changed since Wave 4.

For entirely non-English speaking households who require translation into one of the nine languages, the ARF directs you to use the W5 ARF Translation Card and the ARF translation booklet to check the languages spoken and to obtain contact telephone numbers.

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## 7.7 Final outcome codes

Final outcome codes have now been removed to a separate, laminated sheet. This is because it was felt to be unnecessary to produce a sheet for each household.

## 7.8 Sample Information Sheet (SIS)

The Sample Information Sheet at the back of ARF A 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

### 7.8.1 Household information

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

### 7.8.2 Individual information

This section contains the following information – where possible – for each household member enumerated at Wave 1/2/3/4 (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).

### 7.8.3 Comments from previous wave

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, in addition to appearing on the front page of ARF A.

### 7.8.4 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.

### 7.8.5 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

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should not mention the new address or telephone number to anyone other than the sample member named as the suspected split-off.

## 7.9 Sample cover sheet

With the shift in focus to individual response, we've made changes to your Sample Cover Sheet. As well as listing the households in your assignment, you will see that you have each individual within that household listed too. It's all part of our attempt to give you the most important information up front. We'll be listing key information such as respondents' name, age, previous participation history and translation requirements.



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## 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 previous waves. These problems have been reduced due to a redesigned Household Grid at Wave 4. However, if you have any concerns, 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-off mover, but are unable to interview at the issued Serial - see section 8.2 below for more details.

## 8.1 Process for creating split households

### 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.

### 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.

## 8.2 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 with one exception: ARF B does not contain section A.**

## CAPI screen with person information for new household

The screenshot shows a CAPI screen titled "Understanding Society - Wave 4 (V1)". The screen displays the following information:

- Forms Answer Navigate Options Help
- USoc Split 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

The screen also shows a status bar at the bottom with the following information:

- 5/21
- HholdSplit
- 401500 11
- Q#H#G.QSplitHH.QTH#Sum.H#2.H#Num
- 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.

## 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 ...]

Live

Projects menu

Address menu

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

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

MenuSystem - [Case Selection]

Live Interviewing - Address menu P2927 - PIL

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

	Serial No	Case Status	No of Calls	Outc	Blaise Admin	Transm on Trip	Comment
1	9001011	No Call	0	000			
2	9001012		0				
3	9001021	No Call	0	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 15:24

start E:\ MenuSystem - [Case ...] Document - WordPad

Live

Projects menu

Address menu

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

MenuSystem - [Case Selection]

Live Interviewing - Address menu P2927 - PIL

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

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

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

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

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

Projects menu

Address menu

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

## 8.3 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

## 8.4 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:

- 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;
- 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
- 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 longer resident with any OSMs or PSMs household, she is no longer eligible for interview.

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### 8.4.1 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 5, 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.

#### Exception to the rule: creating splits from an unproductive household

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.

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## 9 Tracing sample members

It's vital that we re-contact and interview as many sample members as possible. We will follow any Wave 5 sample member who has moved except those who:

- have left the UK (they may be eligible at a later date if they return);
- are in prison; and
- TSM only households.

We will also attempt to locate untraced movers from Wave 4.

Note that a mover may be someone under 16 who moves without an adult sample member. Children, like adults, 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). You should check this with your Project Manager if you are unsure.

### 9.1 Tracing activities

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

- 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** in person or by using the stable contact letter; and
- leaving a **tracing letter** with the current occupants or neighbours.

**These tracing activities can be done simultaneously and in the order that you think is best.**

#### 9.1.1 Contacting neighbours

The new residents at the issued address, or neighbours, may be able to give you information about the sample member's new address or may be able to direct you to friends or relatives who will know their whereabouts. If you are still unable to find the sample member you should contact the stable contact.

#### 9.1.2 Tracing letter

If someone (excluding the stable contact) knows the whereabouts of the sample member/household but are reluctant to pass this information on, ask the person if they would be willing to send a letter on to the sample member for you. The **tracing letter**

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can be used in this situation along with two types of envelope: one addressed to *Understanding Society* (postage paid), and the other blank.

*Who to address the letter to*

For whole household moves, the tracing letter should be addressed to the principal household contact. For any individual split offs, a separate tracing letter should be used for each individual.

The letter notes that we have been trying to contact the sample member but that the address we have for them is incorrect. It is signed by Nick Buck from ISER and asks the sample member to complete and return the reply slip.

If using a tracing letter:

- Add the date, principal contact name or sample member's name, the name of the person you spoke to, your name and their serial number on the letter;
- Put the letter and the *Understanding Society* return envelope into Queen's Head envelope, seal it and write the sample member's name on the outside;
- Ask for this to be posted or passed on to the sample member, so they can get in touch (NB they will need to write the address on the envelope before they post it!).



[illegible]

If current residents/neighbours do not know where the sample member(s) have moved to, you should contact the stable contact. During previous interviews, respondents were asked to provide details of someone outside the household who could be contacted if the sample member had moved address and the interviewer was unable to locate them. Details of the stable contact can be found on the SIS.

- Telephone;

- 
- 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
  - 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. The areas for you to complete are highlighted below.

Figure 9.3 Stable contact letter



Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Dear \_\_\_\_\_

You may be aware that \_\_\_\_\_ participated in an important research project called *Understanding Society* last year. The study is concerned with how things change over time, and we are hoping to revisit everyone who participated last time, to see how their lives have changed or stayed the same.

Unfortunately, we have been unable to contact the person named above. 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 252 853, 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 their 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.

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 

--	--	--	--	--	--	--	--	--	--

Please turn over

P3029/SCL

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## 9.3 Institutions

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

### Prisons

Sample members interviewed at Wave 4 who have moved to prison are exempt from interview at Wave 5. 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.

The *Understanding Society* unit at Brentwood can issue you with a mobile phone for the duration of your visit(s) to an institution if the gatekeeper asks for contact details. They are also able to provide you with a letter to confirm the project and who you are.

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) please complete a proxy interview with a suitable adult (see section 5.2 on who is eligible to be a proxy informant).

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## 9.4 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 5 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.

## 9.5 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.

## 9.6 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.

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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.

## 9.7 Unsuccessful Tracing

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

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

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

NatCen will send untraced cases to 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.



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# 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);
- 30 min Individual Adult CAPI questionnaire for all aged 16+ (35 min for ethnic minority boost);
- 9 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 very likely to have to make multiple trips to complete all interviews and to collect youth self-completions. ARF A provides space for you to keep track of the interview progress on the front page. 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 during the three months fieldwork period. For example, if one adult is out when you first call, then you must 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.

**Table 9.2: 4 Digit coding for glass manufacture**

4 digit SIC Code	Type of manufacture
2314	Manufacture of glass fibres
2313	Manufacture of glass inners for vacuum flasks
2312	Manufacture of glass mirrors
2391	Manufacture of glass paper
2319	Manufacture of glass wear for laboratory

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

**Table 9.3: 4 Digit coding for teaching**

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

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## 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
- Relationships
- Family life – parenting and childcare
- Identity
- Alcohol consumption
- Future intentions (for young adults)

### 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 Youth self-completions

Paper self-completions are only administered to young people (aged 10-15) and have a yellow 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 2 and cover the following areas:

- Computer / Internet use;
- Family;
- Future intentions;
- School;
- Money;
- Health and nutrition;
- Illegal and illicit behaviours;

- Religion; and
- Politics.

## 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:

### CAPI self-completion screen and self-completion front page

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 0	0 1	1	F	0 5

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

Understanding Society

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10-15s

## 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.

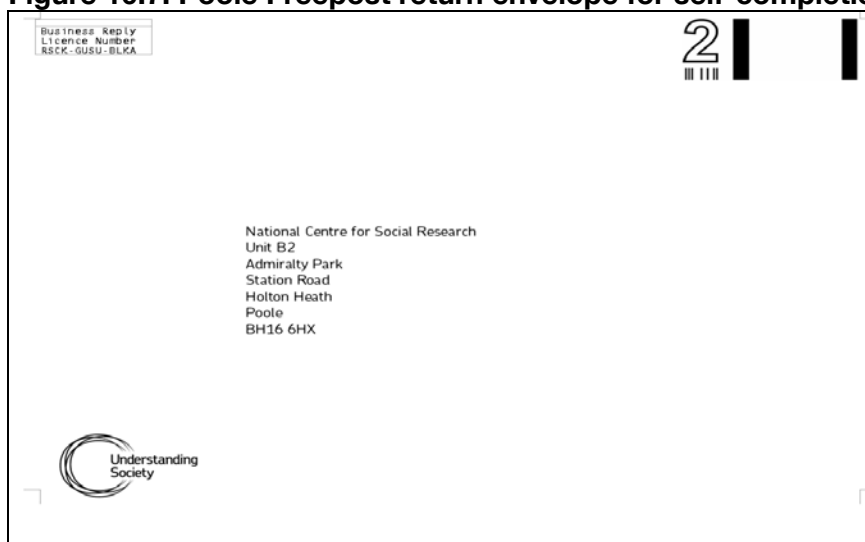
You will need to record the outcome of the self-completion in the self-completion parallel block, so that we can track response (see the screenshot below). You can select 'code later' if you need to skip to another child in the household (e.g. if you want to give respondent X their questionnaire before 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.

	AxName	AxSerial	Complete	Unprod	SelfCom	ChVouch
QSComp[1]	RICHARD	1001-02-1-01-G	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
QSComp[2]	EVA	1001-02-1-02-H	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
QSComp[3]	FRANK	1001-02-1-03-J	<input type="checkbox"/>	<input type="checkbox"/>	<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 for linking to administrative records

We are asking for consent to link to health, education (pre-16 and Higher) and economic records held by government agencies.

- Health and education consent is only being asked of rising-16s who have not been interviewed previously
- Economic consent is being asked of eligible adults who have not been asked previously


Consent forms are only needed for health and education (pre-16) consents. Both of these 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. The **respondent's serial number should be copied carefully onto the consent forms** from the CAPI screen, not from the ARF.

### Health consent

An example of the health consent form is included below. Consent will only be asked of rising-16s. An information leaflet should also be provided. It explains what 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.

OFFICE COPY  
return to Brentwood  
Consent Form A



### 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	INITIALS
I authorise the National Health Service, the Department of Health, the General Registration Office and the Office for National Statistics to disclose to the organisation responsible for this survey information about my health treatment and use of health services for future research studies of the frequency, causes, treatment or outcome of diseases and health conditions.	<input type="text"/>
FOLLOW-UP ON HEALTH REGISTRATION	INITIALS
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.	<input 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 RRRX-KEKJ-JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

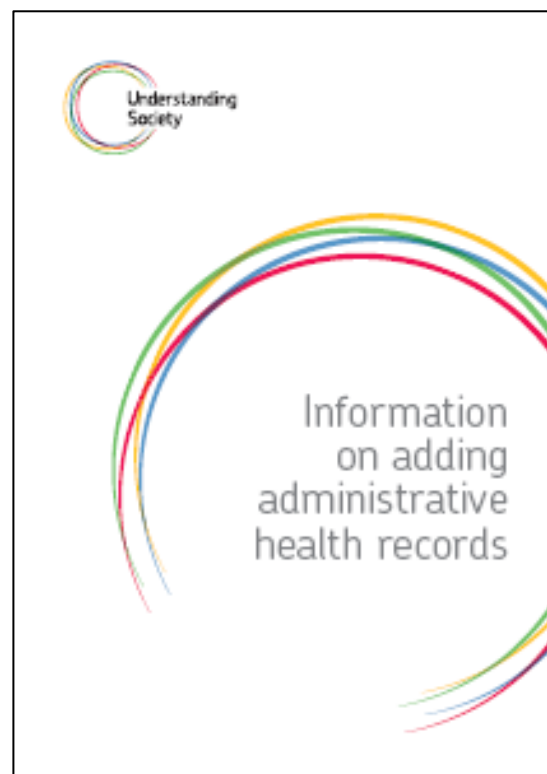
Respondent  
Sign  Date  Print name

Interviewer  
Sign  Date  Print name

**Thank-you!**

Serial	Address	PRNs	Pfile	CHL
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

(Level 3: Respondent Confidential. NatCen, 101 135 Kings Road, Brentwood, Essex CM14 4LX; P3028: Understanding Society Unit WLS 18/06/11 v3)



## Education (pre-16) records


An example of the education consent form and leaflet are included below. Like health, it will only be asked of new entrants to the sample who were educated in the UK.

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

OFFICE COPY  
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.	<input 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 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	PRNs	Pfile	CHL
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

(Level 3: Respondent Confidential. NatCen, 101 135 Kings Road, Brentwood, Essex CM14 4LX; P3028: Understanding Society Unit WLS 18/06/11 v3)



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## Education (Higher and Further)

We will be asking for consent to link to records at Higher and Further Education institutions (e.g. Universities) within the UK if the respondent has completed a degree after 1995. There is no leaflet or form for this purpose, but the CAPI will set out what you need to say and have further explanation of what we are asking for. In summary, the information we would link to includes:

- entry qualifications,
- disability status
- ethnicity,
- details of programme of study,
- qualifications obtained,
- and placements after receipt of higher education qualifications

## Economic records

In addition, we will be asking for consent to link to administrative economic records, held by HM Revenue and Customs (HMRC). There is a leaflet for this purpose, but only verbal consent is required. This leaflet should be provided to respondents, it explains that links would be made to:

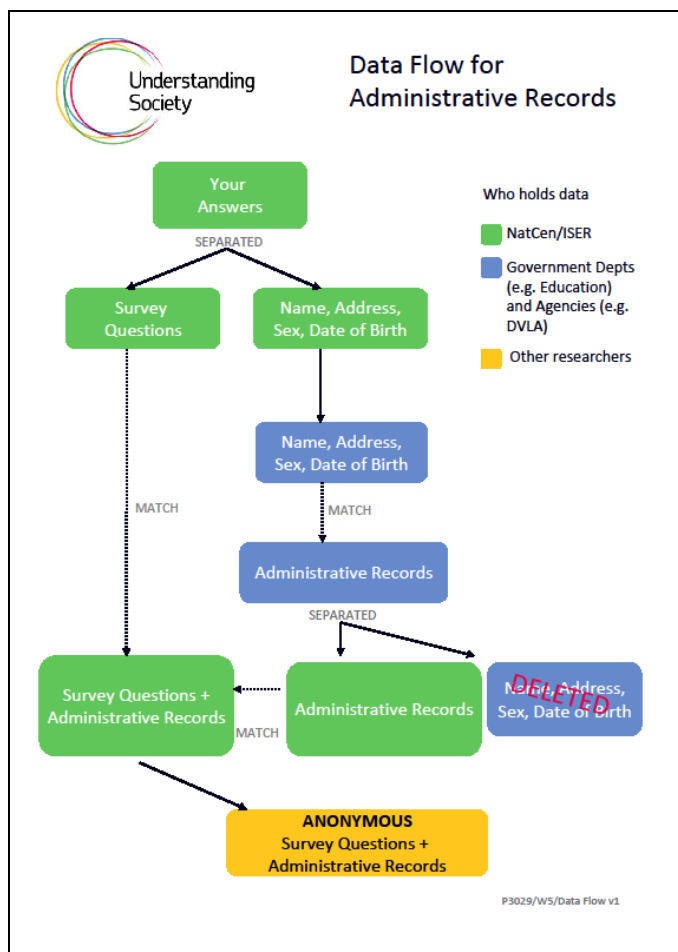
- National insurance and benefits records;
- Participation in government schemes such as New Deal for Lone Parents or New Deal 25 Plus.





## Administrative data flowchart

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.



### 10.8.1 Explaining data linkage

We heard from you that explaining data linkage and how it is obtained can sometimes be problematic. For that reason, you can use the following (or a similar) form of words if you're finding it difficult to reassure respondents.

#### Confidentiality / data security

"We can link the answers you give in these interviews to other data that is held by government departments or agencies. There are huge benefits in doing this; it allows us to, for example, find out more about you without having to ask lots of additional questions. I'd like to reassure you that linking this data is completely secure. Your survey answers are **never shared** with government departments or agencies and giving your consent to link will **not alter any of your dealing with those organisations**. The data we add to the survey is completely anonymous, held in accordance with the Data Protection Act, and you and your household will not be identifiable from the data or results."

#### Why written consent?

Different government departments and agencies have different rules. For some, verbal consent is sufficient for them to release data. For others, however, they require a written form of consent. This does not affect in any way the secure way that we deal with the information.



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## 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.

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# 11 Incentives and promissory notes

The vast majority of adult respondents will receive their incentive as part of their advance mailing. For others (e.g., new entrants), 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. 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 Incentive amount

The incentive for Wave 5 is £10 for adults. The incentive for the completion of child self-completions will trigger a £5 voucher from the office.

The type of incentive respondents receive will depend on their sample type, as at W4. Those in the *Understanding Society* sample will get a Post Office voucher while those in the Living in Britain sample will receive a Love2Shop Gift Card.

Post Office vouchers can be exchanged for cash at any Post Office branch. Love2Shop vouchers can be used as payment in a number of High Street stores (a full list can be found at [www.highstreetvouchers.com](http://www.highstreetvouchers.com) ).

### 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.

### 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).

### Youth self-completions

As mentioned above, incentive amounts for all children are now £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.

## 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 should 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.

### Promissory note

 Understanding Society

Serial      Add      HH      CkL      Person

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

☐ 1 x £20 Gift Card

☐ ☐ x £10 voucher(s)

☐ ☐ x £5 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

xWave PN

## 12 CAPI interview

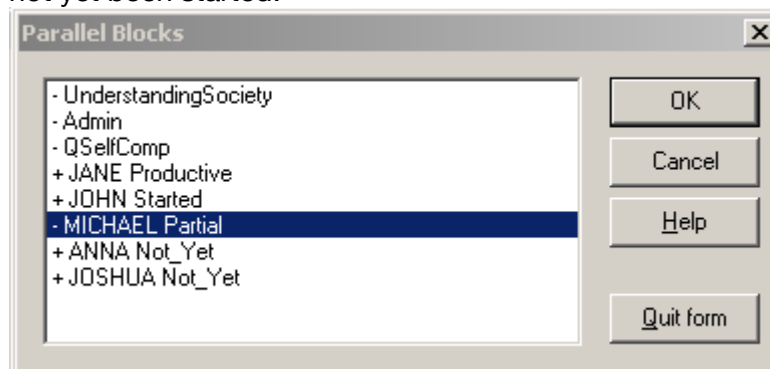
There are several elements to the CAPI questionnaire, which are covered in detail in this section.

### 12.1 Parallel blocks

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

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

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



### 12.2 Household Grid and questionnaire

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

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

#### Feed forward information

Checking the feed forward information from the previous wave should take 5 minutes on average, although this will vary considerably depending on household size and on whether any new people have joined the household. The household questionnaire

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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 last around half an hour.

The main topic areas covered at Wave 5 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;
- Leisure, culture and sport participation;
- 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.

Please note, significant changes to the benefits system will come into force during W5. As such, please 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.

## 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.

## 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.**

CountyTxt	CountyCode	County
Perth & Kinross	238	Scotland
Shire	239	Scotland
s	127	Wales
orshire	128	Wales
ewshire	240	Scotland
dda Cynon Taf	129	Wales
and Cromarty	241	Scotland
Roxburghshire	242	Scotland
Rutland	38	England
Scottish Borders	243	Scotland
Selkirkshire	244	Scotland
Shetland Islands	245	Scotland
Shropshire	39	England
Somerset		England
South Ayrshire		Scotland
South Glamorgan		Wales
South Lanarkshire		Scotland
South Yorkshire		England
Staffordshire		England
Stirling		Scotland
Stirlingshire	249	Scotland
Suffolk	43	England
Surrey	44	England
Sussex	45	England

Key type: ☒ Alpha ☐ Trigram

US: Understanding Society  
Forms Answer Navigate Options Help

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.

If unable to code type 'ZZZ'

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

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

PLBOTH  
IC\_YR2UK4  
IC\_CITZN CI  
IC\_CITZN1 C  
PLBornUKCo 0 36

CountyTxt	CountyCode	Country
Greater London	18	England
Londonderry	305	Nireland

Search:

Key type  
☐ Alfa ☒ Iri

Select Cancel

13/123 Indiv[1] 9997 11 QInd[1].QInitial.PLBornUKCode 21/09/2009 11:01:25

US: Understanding Society  
Forms Answer Navigate Options Help

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.

If unable to code type 'ZZZ'

PLBOTH  
IC\_YR2UK4  
IC\_CITZN CI  
IC\_CITZN1 C  
PLBornUKCo 0 36

CountyTxt	CountyCode	Country
Greater London	18	England
Londonderry	305	Nireland

Search:

Key type  
☐ Alfa ☒ Iri

Select Cancel

**6. Now re-type, e.g. LON, and "Greater London" will appear.**

13/123 Indiv[1] 9997 11 QInd[1].QInitial.PLBornUKCode 21/09/2009 10:59:34

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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.



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## 13 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, if this is appropriate.

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.

### 13.1 Changes at W5

As you will have seen, our aim at this Wave was to simplify and rationalise all our processes. This includes the Admin block. We've made significant changes in the hope of making the admin block easier to complete and to make the information more useful to us, ISER, and you at the next wave.

#### 13.1.1 Classifying individuals and households

Once you've filled in the standard information, we'll be collecting a number of new pieces of information.

##### Classifying the household

If the household is unproductive, we'll be asking you: "Are there any reasons to permanently withdraw this whole household from the sample or not reissue at this wave?" You have three options in reply to this question:

1. Keep in sample – can reissue. This option should be used if there are no concerns about reissuing this household at the next wave
2. Do not reissue, but recontact at the next wave. This option is for households that we should not recontact at this wave, but that there should be no problem with issuing at W6.
3. Remove from sample. This option should be used when you have serious concerns about reissuing the household at W6. This could be due to household circumstances or a firm, permanent refusal request. Selecting this option will not automatically remove the household from the sample, but it will flag it for further investigation by ISER.

Selecting **option 2** at this question will take you to a further question: "Why should the whole household NOT be reissued this wave?" The following set of answers and an 'other' option are available:

- Bereavement
- Critical / terminal illness
- Hospitalised for the remainder of the fieldwork period

- In the process of moving
- Divorce / separation
- New baby
- Change in job circumstances

Selecting **option 3** will route you to a question which asks “Why should the whole household be removed from the sample for all future waves?”. The following set of answers and an ‘other’ option is available:

- **All household members** mentally incapable of interview (e.g. senile)
- **All household members** physically incapable of interview (e.g. long term sickness)
- **All household members** asked not to be re-contacted or have contacted office to request withdrawal
- Violent or threatening behaviour towards interviewer

### Classifying individuals

We’re also asking whether any individuals within the household should be removed. This option should only be used if there are specific reasons for not contacting the respondent at future waves, for example if they are deceased, mentally incapable or have adamantly refused future contact.

## 13.1.2 Contact preference at the next wave

We know that, sometimes, respondents request that you contact them by phone at future waves. We’ve standardised the recording of that information in the Admin block for W5. This is not a question that you read out to the participant, but one that you code if the participant has explicitly requested this. You will now be asked the following question: “Has this household requested that an interviewer phones first to make an appointment at the next wave?”, to which you can answer yes or no. The information you provide here will be printed on the ARF at W6.

## 13.1.3 Useful information for re-issue interviewer

There is a specific question at this wave for recording any information that may be useful for an interviewer at reissue.

## 13.2 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.

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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.

## 13.3 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.**

# 14 Starter pack

At this Wave, following feedback from you, we have changed how we distribute stationery. You will now be issued with a 'Starter pack' when you start working on W5 – if you need any further documents, you can request a top-up pack. Sets of new documents will not now be issued for each assignment as a matter of course.

As this is a new change though, please do let us know if we have the quantities massively wrong as this is useful information for future waves.

Document	Format	Quantity
Freepost envelopes for COA cards	DL	12
Generic Advance letter (laminated – for doorstep)	A4 letterhead	1
Generic Advance letter (not laminated – for new entrants)	A4 letterhead	12
Information Leaflet (' <i>Understanding Society</i> : Information for participants')	A5 Card	12
ARF B	A4 Blue	5
784 log	A4 Grey	4
Final outcomes	A4 laminated	1
Observations sheet	A4 White	2
First Findings brochure	A5 booklet	1
Youth self-completion	A5 Yellow	18
Privacy envelope for self-completion	A4 - Blank	18
Poole pre-franked envelopes for self-completions	C4	6
Tracing letter	A4	6
Stable contact letter	A4	6
Envelope for tracing/stable contact letters	DL	6
Queen's head envelope for tracing letter	DL	6
Promissory note	A5	18
Change of address cards (blank)	White Card	12
Free post envelope for change of address cards, tracing letter and stable contact letter	DL	18
Splits flowchart	A4 - Laminated	1
Interviewer card	A6 White card	10
Show cards	A5 White card	1
Doorstep 'flyer'	A5	12
Pens	Green top, white barrel	18
Consent Form Flowchart	A4	1
Data linkage Info Leaflet- Health data	A4	6
Data linkage Info Leaflet- Education data	A4	6
Data linkage Info Leaflet- Economic data	A4	6
Consent form - health - adult	A4 Blue Pad	1
Consent form - education - adult	A4 Pink Pad	1
ARF Translation Card	A4 laminated	1
ARF Translation booklet	A5	1
Translation flow chart	A4	1

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## 15 Admin and return of work

Contact Brentwood if you have any queries: 01277 690000.

### 15.1 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.

### 15.2 Return of work

#### Self-completions

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

#### 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.

#### 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.

#### 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.

#### 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.** The table below details the documents which should be returned.

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

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## 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

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valuable sample members hence why they have been incorporated 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 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 may not receive a state pension in her own right. Be sure to query whether she receives any in her own right otherwise any NI pension income would be 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 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 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 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 2003. There are two main elements. The Guarantee Credit is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The Saving Credit is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state</p>

	<p>pension.</p> <p>Pension Credit will be amended from October 2014 to include help with eligible rent and dependent children.</p>
<b>BenDis/BenAI Employment and Support Allowance</b>	<p>This is a new means tested benefit that replaced '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 incapacity grounds) at the change-over date could continue to receive those benefits, so long as they continue to satisfy the entitlement conditions, however existing recipients are gradually being shifted to ESA. 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.</p>
<b>BenDis/BenAI Severe Disablement Allowance</b>	<p>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.</p>
<b>BenDis/BenAI Industrial Injury Disablement Allowance</b>	<p>Is a variable amount paid to someone disabled through either a work accident or an industrial disease.</p>
<b>BenDis/BenAI Disability Living Allowance/ Care Component</b>	<p>Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will receive this benefit. Those aged 66 or over will continue to receive Attendance Allowances.</p> <p>When the person is under 16 the Allowance will normally be paid to the person responsible for them. In such cases it should be recorded as income on the questionnaire for the <u>responsible adult</u> for the child. Where someone is 16 or over this should be recorded on person's own questionnaire.</p>
<b>BenDis/BenAI Disability Living Allowance Mobility Component</b>	<p>Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.</p>
<b>BenDis/BType Personal Independence Payments</b>	<p>From April 2013 Personal Independence Payment (PIP) replaces Disability Living Allowance (DLA) for eligible working age people aged 16 to 64. People aged 65+ who already receive Disability Living Allowance will continue to do so. All working age DLA claimants will undergo an assessment of need.</p>
<b>(BenDis/BenAI) Attendance Allowance</b>	<p>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.</p>
<b>BenDis/BenAI Carer's Allowance</b>	<p>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.</p>

<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>	<p>Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). From October 2013, no new claims for Income Support will be taken and all potential applicants will be moved to Universal Credit, nevertheless some respondents will continue to receive IS until the transition is complete. 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> <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>	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). However, from October 2013, "income based" Jobseeker's Allowance will be replaced by Universal Credit, though those receiving this type of JSA at that time may continue to receive it until they are transferred to UC.
<b>BenSup/BenUnemp/BenDis/BType/BenCTC/BenTax/BenHouse 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. It can be payable to people who are not working, or who are in low paid work and will top up their earnings. It will be calculated and delivered electronically and automatically adjusted each month in line with earnings. Claimants will receive just one monthly payment, paid into a bank account in the same way as a monthly salary. Support with housing costs will go direct to the claimant as part of their monthly payment. Universal Credit is made

	<p>up of a standard allowance and potentially five elements: Child Element / Disabled Child Additions; Childcare Element ; Carer Element; Limited Capability for Work Element; and Housing Element.</p> <p>The monthly Universal Credit payment covers everyone in a family who qualifies for support including a person claiming for themselves alone, a person claiming for themselves and their child or children, a couple making a joint claim for themselves, or a couple making a joint claim for themselves and their child or children. Children over 18 living with their parents or siblings can claim Universal Credit in their own right.</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.</p> <p>This should still be recorded as the mother's income. Child Benefit (Lone Parent) was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this. Note, from January 2013 Child Benefit certain higher income families will no longer be eligible to receive Child Benefit.</p>
<b>BenSup/BenT ax/ 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> <p>From October 2013, Child Tax Credit will likely be replaced by Universal Credit, though anyone receiving Child Tax Credit at that time may continue to receive it until they are transitioned onto UC.</p>
<b>BenSup/BenT ax 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 cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit.</p> <p>From October 2013, Working Tax Credit will likely be replaced by Universal Credit, though anyone receiving WTC at that time may continue to receive it until they are transitioned onto UC.</p>
<b>BenSup/BenT ax Disabled</b>	<p>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</p>

<b>Person's Tax Credit</b>	receiving the Working Tax Credit. However, from October 2013, Working Tax Credit will likely be replaced by Universal Credit, though anyone receiving WTC at that time may continue to receive it until they are transitioned onto UC.
<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 Housing Benefit /Rent Rebate (also known as 'Local Housing Allowance')</b>	<p>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. Where Housing Benefit is either deducted from the rent (council tenants) or paid direct to the landlord, details should be recorded in the Household Questionnaire.</p> <p>From October 2013, Housing Benefit and Rent Rebate will be replaced by Universal Credit, though anyone receiving Housing Benefit/Rent Rebate at that time may continue to receive it until they are transitioned onto UC.</p>
<b>BenSup/BenTax/ BenHou Council Tax Benefit</b>	<p>As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax bill. People on income support, however, will claim council tax benefit along with their housing benefit claim form. Obtain amount deducted and period covered. Do not include students who pay a reduced charge.</p> <p>If respondent is unable to give details of 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. Note, from April 2013, Council Tax Benefit could be abolished and replaced by a system of localised support. The process of transferring people onto local support will take some months so respondents may still receive Council Tax Benefit after this date.</p>
<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 Premium, Lone Parent in Work Credit, Child Maintenance Bonus, Child Maintenance Premium and Transitional Payments – though many of these are likely being abolished with the introduction of Universal Credit in 2013. Include also Enterprise Allowance and YTS, ET and New Deal Allowances. If any Transitional Payments are received it is important to record which benefit it replaces or tops up. <u>Do not include:</u> Payments from the Social Fund (these are loans) or other one-off payments from either DWP or local authority social services.
<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</p>



	<p>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 Trade Unions/ Friendly Societies</b>	Include all payments from such bodies here with the exception of 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. Code only if the respondent is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household.</p> <p>If a respondent receives payment for the support of a child code as respondent's sole income. But if they receive money which is to be passed on to the child itself exclude from respondent's income.</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, regular payments to parents from children <u>outside</u> the household (but <u>not</u> payments for 'keep' from those living there) and payments from parents to students etc, provided they are not members of the same household. In any cases of doubt the respondent should be asked to decide for him/herself whether or not a payment is to be classed as 'regular'.
<b>BenPay/BenSta 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 care (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
<b>BenFam In-Work</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

<b>Credit for Lone Parents</b>	Support or Job Seeker's Allowance for at least a year and who enter work of at least 16 hours a week. However, this is benefit is being scrapped when Universal Credit is introduced in 2013. Some respondents may continue to receive this until they are transferred to UC.
<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>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).

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## Appendix C. Outcome codes

### Household level

#### Productive

- 110- Completed household questionnaire and interviewed **all** eligible hhold 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- **OFFICE APPROVAL ONLY: SINGLE PERSON HHOLD ONLY** – Institutionalised (e.g. nursing home/care home)
- 590- **OFFICE APPROVAL ONLY:** Other unproductive

#### Unknown eligibility (no contact)

- 612- OFFICE APPROVAL ONLY:** Issued, not attempted/ transferred to another interviewer
- 652-** Address inaccessible
- 653-** Unable to locate address
- 671- MOVER:** Certain hhold moved, unable to obtain a (complete) follow up address
- 672- MOVER:** Follow up address found, but unable to attempt address
- 673- MOVER:** Follow up address is in GB, but is outside my interviewing area
- 674- MOVER:** Follow up address is in Northern Ireland
- 690- OFFICE APPROVAL ONLY:** Other unknown eligibility (verbatim reason to be keyed in the admin block)



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### **Deadwood/ineligible**

- 782- All respondents no longer eligible – died
- 783- All respondents no longer eligible – permanently 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 death occurs/is discovered after Household Grid enumeration has been completed*)

### **Unknown eligibility**

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

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## Appendix D. Practice cases and serial numbers

The practice case serial numbers are as follows:

4015000 01-1F  
4015000 02-1-R  
4015000 03-1-C  
4015000 04-1-N  
4015000 05-1-Z  
4015000 06-1-K  
4015000 07-1-W

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 5015000 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. List of modules

Modules that have not appeared on Understanding Society before are shown in **bold**.

Module number	Module description	Who gets asked the questions
1	HH grid	All hholds
2	<b>HH questionnaire</b>	<b>All hholds – including questions on tenure, fuel type and expenditure, taxation, finances, consumer durables and expenditure</b>
3	Ind-Intro	All
4	Demographics	All – some Qs only asked of from new entrants/never interviewed
5	Educational aspirations	Full-time students
6	Own first job	New entrants/never interviewed/started first job
7	Initial conditions	New entrants/never interviewed
8	Young adults	Aged 16-21
9	Family background	New entrant/never interviewed
10	Ethnicity and national identity	New entrant/never interviewed
11	Language	Member of the EM boost, GP comparison or LDA sample
12	Young Adults – Ethnic Identity	Aged 16-19, EM boost, GP comparison or LDA sample, language brought up in not English
13	Religion	Some questions all, some only to Living in Britain sample/new entrants & never interviewed in the ethnic boost/GP comparison samples
14	Harassment	Member of the EM boost, GP comparison or LDA sample
15	General health	All
16	Nutrition	All
17	Physical activity	All
18	Smoking history	All
19	Disability	All
20	Health conditions	New entrants
21	<b>Fertility intentions</b>	<b>Male aged 16 to 64 or female aged 16 to 45</b>
22	Caring	All
23	Partnership history	New entrant/never interviewed
24	Fertility history	New entrant/never interviewed
25	Annual events history	Those interviewed at the last wave, with some further routing e.g. questions on pregnancies/fathering children asked of men aged 16-64 and women aged 16-49
26	Current employment	Those who have a job (either did paid work last week or is away from a job e.g. on maternity leave)
27	Employees	Employees
28	<b>Characteristics of boss and co-workers</b>	<b>Employees in the EM boost, GP comparison or LDA sample</b>
29	Self-employment	Self-employed
30	Job Satisfaction	Employees
31	Physical work	Did paid work last week or did no paid work

		last week and has a job
32	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
31	Employment status history	Understanding Society OSMs in sample months 7 to 24, or all Understanding Society PSMs and TSMs, or Understanding Society new entrants at wave 5
32	Discrimination	Member of the EM boost, GP comparison or LDA sample and Aged less than 70 and has not looked for work in the last 4 weeks
33	Childcare	Responsible adult for someone under-15
34	Family networks	All
35	Parents and children	Parent of child aged under-16
36	Unearned income and state benefits	All
37	Household finance	All
38	Child maintenance	If Biological Or Adoptive Parent Of A Child/children Aged 16-19 In HH For Whom The Other Biological/adoptive Parent Is Not Resident, And No Biological/adoptive Children Under 16 In The HH // biological or adoptive parent of a child/children aged 16-19 in HH for whom the other biological/adoptive parent is not resident, and no biological/adoptive children under 16 in the HH
39	Retirement planning	Of pensionable age and less than 71 years old and current economic status is not retired
40	Politics	All
<b>41</b>	<b>Leisure, culture and sport</b>	<b>All</b>
<b>42</b>	<b>Cultural participation</b>	<b>Member of the EM boost, GP comparison or LDA sample, or a recent immigrant</b>
43	CASI	All
47	Health linkage consents	Rising-16s
48	Education (pre-16) consent	Rising-16s
49	Education (further and higher) consent	Rising-16s
50	Economic consents	All those eligible
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

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## Appendix F. Fieldwork timetable

To be completed

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## Appendix G. 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.