



UK Household Longitudinal Study

Wave 11 technical report

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Introduction

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

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

This report gives details of Wave 11 of Understanding Society, which was undertaken by Kantar Public and NatCen Social Research, working in consortium.

Overview of methodology

Households were issued in 24 monthly batches, starting in January 2019, with all households being issued in the same quarter as they were in previous waves. The sample was separated into two issue modes: 'CAWI first' and 'CAPI first'. The allocation of households to issue mode was done by ISER.

Changes had to be made to the fieldwork approach in March 2020 due to the Covid-19 pandemic. Before this point 70% of households were issued CAWI first and 30% CAPI first. From the April 2020 sample (month 16 of 24), all households were issued CAWI first.

Fieldwork before March 2020

Fieldwork for the CAWI first sample followed a sequential mixed mode design. Households were initially invited to take part online. At the end of the initial web fieldwork period any individuals or whole households that had not taken part online were issued to a face-to-face interviewer. From this point on the majority of interviewing was completed face-to-face although the web survey remained available for sample members to complete that way. A small amount of telephone interviewing (CATI) was also undertaken to 'mop up' any remaining individuals that had not taken part towards the end of fieldwork.

For the CAPI first group the majority of fieldwork was completed using face-to-face interviewing (CAPI), supplemented by a small amount of web interviewing (CAWI) and telephone interviewing (CATI) later in fieldwork to 'mop up' individuals and households that had not taken part.

Fieldwork from March 2020

CAPI fieldwork was stopped in the middle of March 2020. At this point letters were sent to any adults that were 'live' in field (i.e. fieldwork for that sample month had not finished and they did not have a final outcome) to explain that interviewers would not be able to visit, and to ask them to complete online.

All interviewer fieldwork from this point was conducted by telephone, although this was undertaken by the same panel of face-to-face interviewers that were already working on the study. Any sample months that had already started fieldwork (up to the March 2020 sample) remained with the same interviewers to contact and interview by telephone. For the April 2020 sample onwards, any households that did not complete online were issued to interviewers to contact and interview by telephone. Interviewers could also encourage adults to complete the survey online during this time.

Survey elements

As with previous waves, there were a number of different elements to the study:

- A household enumeration questionnaire, completed once per household to confirm who is currently living there;
- A household questionnaire, completed once per household to gather some household level information;
- An individual questionnaire, completed by anyone aged 16 or more in each household;
- A paper self-completion questionnaire, completed by children aged 10 to 15;
- Consents for linking to administrative records.

The median questionnaire lengths were 4 minutes and 47 seconds for the household enumeration grid, 9 minutes and 27 seconds for the household questionnaire, and 43 minutes and 35 seconds for the individual interview.

Survey content

The Wave 11 survey covered many topics, including some sets of questions that are asked every year, and other 'rotating' content that had been included in some previous waves but not all. Additional modules were added in Spring 2020 to gather data on the impacts of the Covid-19 pandemic. A full list of modules included in the survey can be found in Appendix A.

Outputs

Data from Understanding Society is deposited at the UK Data Archive after each wave is completed. As more completed waves of data have become available the number of research projects using Understanding Society data have increased. The latest publications, working papers and media coverage of Understanding Society are available on the study website (www.understandingsociety.ac.uk).

1. Fieldwork design

This section gives details of the sample that was issued at Wave 11 and the overall fieldwork design.

1.1 Increasing online interviewing

Online interviewing was used for the first time on the main Understanding Society survey at Wave 7. Since then an increasing proportion of households have been issued web-first. On wave 11 the intention had been to issue 70% of households web-first, and this was the approach taken for the first 15 months of fieldwork. However, the approach to fieldwork had to be changed in March 2020 due to the Covid-19 pandemic, and so from the April year 2 sample (month 16 of 24), all households were issued web-first.

This meant that, overall on wave 11, 79% of households were issued web-first and 21% were issued CAPI-first.

1.2 Allocation to issue mode

Sample issued in the first 15 monthly batches

A fifth (20%) of the Understanding Society sample is 'ring fenced' to be issued CAPI first. This is so a representative sub-sample is available to use as a control group for research looking into the effects of mode on Understanding Society.

Once the ring fenced sample was excluded, ISER used a model to allocate households to mode. The 12.5% of non-ring fenced households (10% of all households) least like to respond online were allocated to the CAPI first group. The remaining households were then allocated to CAWI first.¹

Sample issued from month 16 (April 2020) onwards

Restrictions imposed as a result of the Covid-19 pandemic meant no face-to-face interviewing could take place in the UK from the 23rd of March 2020, and a decision had been taken to stop face-to-face fieldwork on Understanding Society a week before this. From this point on all households, including the ring fenced sample, was issued web-first.

1.3 Sample

The majority of Understanding Society sample was selected at Wave 1, for details of how this was done please refer to the Wave 1 technical report. Since Wave 1 some households have dropped out of the study, either due to adamantly refusing, continuous non-participation, or moving to an unknown location. Additional households have also been created where households have split, for example, where grown up children have moved out of their parents' home. Additional sample was introduced to the study as part of an immigrant and ethnic minority boost (IEMB), conducted alongside Wave 6 of Understanding Society, for further details please refer to the IEMB technical report. This IEMB sample was incorporated into the main part of the study for the first time at Wave 7.

¹ After this a small number of adjustments were made for the sake of practicality. For example, each wave a small number of households are issued to the same address. The most common cause of this is a grown up child moving out of their parents' home (e.g. to attend University) so that a new 'split off' household is created for them. They later move back to their parents' address and inform ISER of this between waves. Therefore at the next wave both the original household (containing the parents) and the split off household (containing the grown up child) are issued to the same address. Face-to-face interviewers are aware of this situation and know how to deal with it so that the two households are merged back together. To ensure this would happen any households issued to the same address were issued CAPI first.

The total number of 'active' households issued at Wave 11 was 22,077. This included four different sample types:

- The general population (GP) sample, originally sampled at Wave 1 of Understanding Society – 13,952 GP households were issued at Wave 11
- The ethnic minority boost (EMB) sample, originally sampled at Wave 1 of Understanding Society – 1,753 EMB households were issued at Wave 11
- The British Household Panel Survey (BHPS) and Northern Ireland Household Panel Survey (NIHPS) samples that were incorporated into Understanding Society at Wave 2 – 4,845 BHPS/NIHPS households were issued at Wave 11
- The immigrant and ethnic minority boost (IEMB) sample, originally sampled at Wave 6 of Understanding Society – 1,527 IEMB households were issued at Wave 11.

The BHPS/NIHPS sample was all issued in year 1 of fieldwork, and the IEMB sample all issued in year 2.

The number of individuals in the issued sample is shown in table 1.1.

Table 1.1 Number of individuals in the issued sample

	Adults (16+)	10 – 15s	Under 10s
GP	26,986	2,550	3,012
EMB	4,389	674	705
BHPS/NIHPS	9,532	861	1,071
IEMB	3,514	546	758

1.3.1 CATI only sample

Within the sample, there were a small number of issued households (n=151) who had previously indicated they would prefer to take part by phone. Many of these households were issued CAWI first and some completed online. Those that did not take part online, or which had an issue mode of 'CAPI first' were contacted by NatCen's telephone centre and interviewed by telephone where possible.

1.4 Fieldwork structure

Sample was provided to Kantar in eight quarterly batches. This ensured each household was issued in the same quarter as it had been at previous waves. Each quarterly sample was then split into three roughly evenly sized monthly batches. Sample was then issued to field in 24 monthly batches, the first in January 2019 and the last in December 2020.

Where households were issued to the same address as the previous wave they were allocated to the same sample point and each sample point was usually issued in the same month as it had been at Wave 10.

At Wave 11 the sample was split so that 60% of sample points were allocated to Kantar interviewers and 40% were allocated to NatCen interviewers.

The vast majority of sample points were issued to the same agency as they had been at wave 10. At both Kantar and NatCen, whilst we were using face-to-face fieldwork, where possible, sample points were issued to the same interviewer that had worked on that sample point at Wave 10.

For the first 14 months of sample issued at Wave 11 this meant that, of households issued to the same address as the previous wave, 72% were issued back to the same interviewer.

For sample months 15 to 24, where interviewers could only contact sample members by telephone, it was necessary to use a smaller group of interviewers for conducting fieldwork and interviewer continuity was not prioritised.

1.4.1 Fieldwork timings (year 1 of issued sample)

The CAWI first sample had an initial web fieldwork period of 5 weeks. At the end of 5 weeks any households that had not completed online were issued to a face-to-face interviewer. Both the CAWI first and CAPI first sample was issued to face-to-face interviewers at the same time, 19 weeks before the end of fieldwork.

The web survey remained open throughout fieldwork so the CAWI first sample could still complete online after they had been issued to a face-to-face interviewer. The CAPI first sample could also complete online if they expressed a very strong preference for this. Interviewers were able to give sample members the web address and their login details for the web survey². A web mop up was also used for the CAPI first sample. CAPI first sample members with whom interviewers had not managed to make contact were sent invitations to complete the web survey after 11 weeks of face-to-face fieldwork.

Table 1.2 Fieldwork timings

Fieldwork weeks	CAPI first sample	Web first sample
Web fieldwork (5 weeks)	No fieldwork for CAPI first sample	Sample members invited to take part online
F2F weeks 1 to 8	CAPI assignments with original interviewer - interviewers aimed to have final outcomes for all sample after 8 weeks	Unproductive households issued to interviewers and incorporated into CAPI assignments (web survey remains open throughout fieldwork)
F2F weeks 9 and 10	CAPI mop up weeks with original interviewer	
F2F weeks 11 to 15	CAPI re-issue period At the start of week 11 sample members that had not been contacted were sent a letter and email inviting them to complete the web survey	CAPI re-issue period
F2F weeks 16 to 19	CATI mop up period	CATI mop up period

In reality, there was some flexibility around these timings. Original interviewers could hold on to sample after 10 weeks of face-to-face fieldwork if there was a good reason to do so. For example if they had made contact with a household and that household were willing to take part but unable to do so until later in fieldwork.

1.4.2 CATI mop up fieldwork

² Interviewers were instructed only to do this if a sample member was adamant that they would rather take part online. Otherwise, they always aimed to complete a face-to-face interview to minimise the chances of sample members saying they would complete online as a means of 'soft refusal'.

In the last four weeks of fieldwork, outstanding cases could be contacted by telephone. Not all live sample was transferred to the CATI mop up, some face-to-face interviewing was still carried out during these last four weeks.

Cases to be included in the CATI mop up were issued to NatCen's telephone centre to be contacted by telephone interviewers.

1.4.3 Change to fieldwork procedures in March 2020

A number of sample months were 'live' in field on 17th March 2020 when, due to the Covid-19 pandemic, a decision was taken to cease all face-to-face interviewing:

- November 2019 sample was starting the CATI-mop up phase
- December 2019 sample was with face-to-face interviewers in the re-issue period
- January 2020 sample had been with face-to-face interviewers for around five weeks
- February 2020 sample had been with face-to-face interviewers for one week
- March 2020 sample was in initial 5 week web fieldwork period, the CAPI first sample had not yet been issued

For all these months of sample, any adults without a final outcome (including all adults in the CAPI-first sample for March) were sent a letter explaining that interviewer visits would no longer take place, and requesting that they complete online instead. Interviewers also continued trying to contact and interview active cases by telephone.

For the April 2020 sample onwards, a different approach was taken as all households were issued CAWI-first. The fieldwork timings for this approach are shown in table 1.3.

Table 1.3 Fieldwork timings for April 2020 sample onwards

Fieldwork weeks	Web first sample
Web fieldwork (5 weeks)	Sample members invited to take part online
F2F weeks 1 to 10	Unproductive households issued to interviewers and incorporated into CATI assignments (web survey remains open throughout fieldwork)
F2F weeks 11 to 19	CATI re-issue period

2. Contact and co-operation

Understanding Society puts much effort into contacting respondents and keeping them engaged with the study. As well as contact for each year's interview, there are also between wave mailings and emails to sample members to feedback findings from the study and encourage people to keep their contact details up to date. This chapter describes the contact strategy for Wave 11, including the between wave mailings.

2.1 Advance mailing

The advance mailing varied a little depending on whether sample members were part of the CAPI first sample or the CAWI first sample.

For the CAPI first sample, all eligible sample members aged 16 or over were sent a letter shortly before the start of face-to-face fieldwork for that month. The letter explained that an interviewer would call soon. A change of address card was attached to the bottom of the letter, and the mailing also included a freepost return envelope for the change of address card.

For the CAWI first sample, all eligible sample members aged 16 or over were sent a letter on the first day of web fieldwork for that month asking them to complete the survey online and providing the web address and their login details for doing so. The letter also explained that, if they were unable to complete the survey online, an interviewer would contact them as usual. The letters also included a change of address card and freepost return envelope. If an email address was available, these sample members were also sent an email with a unique link to start the web survey.

There were 10 different types of advance letter, depending on individual circumstances, as well as 2 types of letter for new entrants in households completing by web. In part different letter types were to deal with different incentives types and mode types, but they also used slightly different messages tailored to the circumstances. The letter types are shown in table 2.1.

For all addresses in Wales, the letter was sent in both Welsh and English. Individuals who had previously been interviewed in one of the other 8 translated languages (Bengali, Gujarati, Polish, Portuguese, Punjabi Gurmukhi, Punjabi Urdu, Turkish, Urdu) were sent a letter in that language.

All letters were designed with Understanding Society branding, and were signed by the Director of Understanding Society.

Letters were sent to the most up to date address available for each sample member. If a sample member had moved from this address and so did not receive their letter, then interviewers were able to give them a generic copy of the advance letter.

2.1.1 New entrant letters


For the households issued CAWI-first at Wave 11, it was necessary to have a mechanism to contact individuals who had been added to households during household grids done on the web. Letters were sent to these individuals to provide them with their web login details and ask them to take part in the study online. These letters also included a change of address card and freepost return envelope.

Table 2.1: Letter types used at Wave 11 by issue mode

Household type	Adult type	CAPI first	Web first
Responding household at previous wave	Productive adult at Wave 10	Letter 1 (£10 unconditional incentive)	Letter 2 (£10 unconditional incentive)
	Unproductive adult at Wave 10	Letter 3 (£10 conditional incentive)	Letter 4 (£10 conditional incentive)
	Rising 16s ³	Letter 7 (£10 unconditional incentive)	Letter 8 (£10 unconditional incentive)
	New entrants	n/a	Letter 11 (£10 conditional incentive)
Unproductive household at previous wave	Adults	Letter 5 (£20 conditional incentive)	Letter 6 (£20 conditional incentive)
	Rising 16s	Letter 9 (£20 conditional incentive)	Letter 10 (£20 conditional incentive)
	New entrants	n/a	Letter 12 (£20 conditional incentive)

³ Rising 16s were sample members that had recently turned 16 and were therefore being asked to complete the adult survey for the first time at Wave 10, while in previous years they may have completed the youth paper questionnaire. They received different letters to those who were adults at Wave 9, although the incentives were the same.

Fig 2.1: Example Wave 11 (CAWI first) advance letter including change of address card



RESP_Name
ff_Address1
ff_Address2
ff_Address3
ff_Address4
ff_Address5
ff_PostCode

Contact us:
Participant helpline: 0800 252 853
Web: www.understandingsociety.ac.uk/participants
Email: contact@understandingsociety.ac.uk
For details of the study's privacy policy, please see <https://www.understandingsociety.ac.uk/participants/gdpr>

Postal Date

Your annual interview helps us understand how life in the UK is changing

Salutation
Thank you for supporting Understanding Society. The information you share helps us to understand what people think, feel and do. It also helps us to see how society is changing over time.
We would very much like you to complete the survey again this year. It's only by interviewing the same people each year that we can build an accurate picture of what is happening in the UK - this is why you are important!

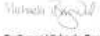
Taking part
It's easy to complete your survey online - and you don't have to complete it all in one go.
1. Visit www.understandingsociety.ac.uk/society
2. Enter your username: XXXXXXX and password: XXXXXX
3. Answer the questions in your own time

If you are not able to complete your survey online one of our interviewers will be in touch to arrange a convenient time for an interview.
Every day Understanding Society is being used in new ways by university researchers, government policymakers and leading charities. You can keep up to date with how Understanding Society is being used by visiting www.understandingsociety.ac.uk/participants

Thank you
To say thank you for your help and let you know we value your contribution, we've enclosed a £10 gift card which has already been activated for you, and is ready to use. If you're able to complete your interview online by (month-day) we will send you an extra £10 gift card soon after the deadline as a thank you for completing your survey early.


If you have any questions about Understanding Society, or about completing the survey, please do get in touch with us using the Participant Helpline.

With many thanks,



Professor Michaela Benzoni - Director, Understanding Society
Institute for Social and Economic Research, University of Essex

30/09/2024 Letter 2


WHY SHOULD I KEEP TAKING PART?



Your contribution helps build a more detailed picture of life in the UK.



Understanding Society gives you a voice on issues that matter.



There are gift cards available for those who take part.

WHAT DIFFERENCE DOES UNDERSTANDING SOCIETY MAKE?

Age UK used the data to find out what improves wellbeing for older people. Their Wellbeing Index is used to plan services and support for older people.


The Social Metrics Commission used Understanding Society to show who is living in poverty now and how that has changed over time. The new scale they developed reflects more accurately the realities and experiences of living in poverty than previous measures.

A national housing association has used Understanding Society to look at how the style of housing developments can boost community wellbeing.

To find out more about how Understanding Society data is used visit www.understandingsociety.ac.uk/participants

Is the information I give confidential?
Yes. All the information you provide is confidential. To read more on our policy on confidentiality, please visit <https://www.understandingsociety.ac.uk/participants/data-confidentiality>

Moving home? Take us with you.
www.understandingsociety.ac.uk
contact@understandingsociety.ac.uk
FREEPOST R80X-KEUJ-JGKS
Understanding Society, University of Essex
Wivenhoe Park, Colchester, CO4 3SD



The mail is being sent in accordance with the Data Protection Act. This means your personal details will be kept strictly confidential and you and your household will not be identifiable from the data.

Your continuing participation is very important to us. Please let us know if you move by using the form on the Understanding Society website at www.understandingsociety.ac.uk/participants. Telephone 0800 252 853 or return this card in the Freepost envelope (no stamp needed). To say thank you we will send you a £5 voucher.

Name: RESP_Name
PID: ff_PID
MOVING FROM:
ff_Address1
ff_Address2
ff_Address3
ff_Address4
ff_Address5
ff_PostCode

MOVING TO:
New Address: _____
Home Phone: _____
(no STD code)
Postcode: _____
E-mail address: _____
Date of move: _____

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

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

2.2 Incentives

The incentive amounts at Wave 11 varied depending on whether a household had taken part at the previous wave. The majority of sample members were sent an unconditional incentive in their advance letter, but not all. Table 2.2 details the incentives for adults.

Table 2.2: Incentive amounts for adults

Adult type	Amount and administration of incentive
Previous wave responding adults and rising 16s in productive households at the previous wave	£10 gift voucher included in advance letter
Adults that had not taken part at the previous wave but were in households that were partially productive at the previous wave	£10 gift voucher handed out by interviewer at the end of the interview (or posted for web and telephone respondents)
Adults in households that were not productive at the previous wave	£20 gift voucher handed out by interviewer at the end of the interview (or posted for web and telephone respondents)
New entrant adults to households that had taken part at the previous wave	£10 gift voucher handed out by interviewer at the end of the interview (or posted for web and telephone respondents)
New entrant adults to households that had not taken part at the previous wave	£20 gift voucher handed out by interviewer at the end of the interview (or posted for web and telephone respondents)

All incentives were 'Love2Shop' gift cards, that could be used at a variety of shops. Where incentives were conditional, the CAPI script prompted interviewers to hand these out at the end of the interview. The CAPI script also asked interviewers to check, at the end of the interview, that respondents had received their advance letter and incentive. If they had not, the CAPI script prompted interviewers to hand out another voucher of the requisite amount.

2.2.1 Youth incentives

Young people aged 10-15 were given a £5 gift card for completing the paper youth self-completion questionnaire. This was partially unconditional as interviewers would hand out the voucher at the same time as the paper questionnaire, so it was not conditional on the questionnaire being completed. However, it was not completely unconditional as interviewers would not hand out vouchers if they were not able to make contact with the household, or if the young person or their parent refused to accept the paper questionnaire.

Where households completed online, the youth paper questionnaire, along with the £5 voucher, was sent to a parent with a covering letter asking the parent to pass both the voucher and the questionnaire on to the young person to complete and return in the freepost envelope provided.

2.3 Between wave mailings

A mailing was sent to each household once every six months. This included:

- A covering letter
- A short booklet or postcard highlighting some recent findings from the study
- A change of address card and freepost envelope in which to return it.

The purpose of these mailings was to thank respondents for their participation with the aim of encouraging future participation, and to encourage them to keep ISER informed of any changes of address.

In addition to this, 'likely mover' mailings were sent once a quarter to any adult that had been interviewed in the previous three months and said they expected to move in the next year. These included a letter, a

change of address card and a return envelope. The letter asked the sample member to return the change of address card in the event they did move.

2.4 First contact with sample members

2.4.1 Before mid-March 2020

Interviewers were instructed to attempt contact with all households within two weeks of the start of fieldwork to minimise the time between sample members receiving their advance letters and receiving a visit from their interviewer. Where households had been productive at the previous wave, interviewers were instructed to attempt first contact by telephone so they could make an appointment to complete the survey. This approach was considered to be both more efficient for interviewers and more convenient for sample members.

For households that had not taken part at the previous wave, first contact was attempted face-to-face with the exception of the small number of telephone only households. Households that have not taken part at the previous waves are less likely to take part at the current wave, and in in-person visit from an interviewer is less likely to elicit a refusal than a telephone call. Where interviewers had made repeated unsuccessful face-to-face contact attempts they would start attempting contact by telephone.

2.4.2 After mid-March 2020

The approach changed in March 2020, after which *all* contact attempts by interviewers were made by telephone. No more visits to households were made for the rest of the wave.

2.5 Sample information sheets

The majority of information about households and sample members was held electronically on interviewers' encrypted CAPI laptops. However, a sample information sheet was also produced for each household so that interviewers would have some basic information easily to hand. The front page of the sample information sheet included household level information including: mode allocation (CAPI first or web first); outcome last wave; and the day and time the household questionnaire was completed at the last wave. The back page had individual level information including: first names, ages and genders; outcome at the previous wave; incentive type; and language interviewed in at the last wave.

The sample information sheet also included web login details for each sample member. This was so, if sample members expressed a strong preference for completing online, the interviewer could facilitate this.

2.6 Doorstep documents

Interviewers were provided with a number of materials that they could use on the doorstep to help with contacting sample members and persuading them to take part. All materials were Understanding Society branded. These included:

- **'Interviewer cards'** – these were for interviewers to use as calling cards (if they had called at a household and no one was in), appointment cards and broken appointment cards. Aside from the Understanding Society logo and a freephone number for either Kantar or NatCen these cards were blank for interviewers to include their own message or write in appointment details. Interviewers were asked to always include their name on the card and encouraged to include their mobile phone number if they were willing to do so.
- **Laminated generic advance letter** – as this was Wave 11 of Understanding Society, and the study branding had remained the same throughout, interviewers found that holding a document with the Understanding Society logo visible when they first attempted contact was useful as sample members would recognise the logo and immediately know why the interviewer was there. This laminated copy of the advance letter was a useful document for interviewers to hold in this situation, it could also be shown to respondents who might not have received their advance letter. Interviewers also had non-laminated copies that they could leave with respondents.

- **'Information for participants' leaflet** – these leaflets included some information about Understanding Society, they were primarily aimed at new entrants to the study but interviewers could also give them to continuing sample members who wanted a bit more information.
- **Case study leaflets** – eight of these were produced to be used with respondents who might need a bit of persuading to take part. They emphasised the importance of the study by highlighting a particular policy area, detailing some findings from Understanding Society data in that area, coverage in the media and implications for policy.

3. Movers and tracing

As with any longitudinal study, tracing people who move is a crucial part of maintaining a representative panel. The overall strategy for tracing movers has multiple strands, some of which are undertaken by ISER. These include:

- Providing a change of address card (and freepost return envelope) with mailings to sample members, and at the end of interviews for those that did not receive an advance letter;
- Offering multiple options for sample members to update their contact details – posting a change of address card, a freephone telephone number, and through the Understanding Society website;
- Offering sample members a £5 gift card in return for updating their address;
- Between wave mailings (and corresponding emails) to sample members between fieldwork waves;
- During interviews, collecting a variety of contact details (and then verifying these at later waves) including email addresses, mobile and work telephone numbers, and a stable contact;
- Interviewer tracing of movers during fieldwork;
- Using commercial databases to try to find sample members that are known to have moved.

This chapter focuses on the tracing of movers during fieldwork by interviewers.

When trying to contact households and individuals, interviewers could encounter two different types of move. A **whole household move**, where none of the sample members were still living at the issued address, and a **split off move**, where one or more sample members had moved from the issued address, but at least one sample member remained at that address.

3.1 Tracing procedures

Tracing procedures were covered in interviewer briefings, and also detailed in interviewer instructions. Interviewers were instructed to start tracing procedures as soon as they became aware of a household move in order to maximise the time available to trace and then interview sample members.

The methods used by interviewers to trace sample members included asking current occupiers or neighbours, using telephone numbers, and contacting stable contacts. Interviewers were also provided with letters they could use to help with tracing:

- A **tracing letter** – this was for use in situations where the interviewer made contact with someone who did have contact details for a sample member, but was not comfortable giving these to the interviewer. The tracing letter was addressed to the sample member and left with the contact to pass or post to them. This letter asked the sample member to get in touch with ISER with their new contact details;
- A **stable contact letter** – this was for use if interviewers were unable to contact stable contacts by phone or in person, the letter was posted to them. The letter asked stable contacts to get in touch with ISER and provide new contact details for the sample member.

Where interviewers successfully traced a household, they were able to visit the new address straight away if it was in their area. If the new address was further away they would assign the household an outcome code of “moved out of area” and enter the new address in their electronic contact sheet. This would create an

update within the sample management system, alerting the sampling team that the household required re-assigning to a new interviewer.

Where interviewers exhausted their tracing options and were unable to find a new address, cases were passed back to ISER for further tracing. This was done via a weekly file, produced throughout fieldwork, which included all individuals that had moved and were untraced. If this second stage of tracing was successful, an address update would be returned to Kantar and then re-issued to field either to the same interviewer, or to a different interviewer if the new address was in a different area.

3.2 Split off households

If an interviewer identified a sample member that had split from their original household, they would attempt to find a new address for that sample member in the same ways used for whole households moves, although in many cases the remaining household members were able to provide a new address for the person that had moved out. Where interviewers found a new address, they entered this in the electronic contact sheet. This then caused an update in the electronic sample management system, and a new household was created for that individual, then issued to field.

3.3 Institutions

With the exception of those that were in prison, sample members who had moved to an institution remained eligible for interview at their new address. Interviewers were instructed to attempt to interview participants where possible, but briefed about the need to contact gatekeepers in advance in some circumstances, and also about allowing for sensitivities relating the reasons for the participants moving into an institution (for example a nursing home).

4. Translations

At Wave 11 the questionnaire was translated into nine different languages to help the survey be inclusive of people that would otherwise be unable to take part, in particular those in ethnic minority groups. For other languages, interviewers could still attempt to interview people, but would use someone else in the household to translate.

The web version of the questionnaire was not translated, so translated interviews could only be conducted face-to-face (or by telephone).

4.1 Formal translations

For the nine translated languages, core survey materials and the questionnaire script were translated into these languages. The interview was conducted in translation either by an interviewer that had been accredited in that language, or by an interviewer accompanied by an interpreter.

The table below shows the nine languages in which the translated script and materials were available, and also the number of individual interviews conducted in that language.

Table 4.1: Number of translated interviews conducted in each language

Language	No. individual interviews
Bengali	2
Gujarati	5
Polish	2
Portuguese	0
Punjabi Gurmukhi	2
Punjabi Urdu	1
Turkish	0
Urdu	12
Welsh	0

4.1.1 Accreditation of interviewers

In order to conduct interviews in translation, interviewers had to be briefed on Understanding Society and had to pass an accreditation process. They were sent an extract of the questionnaire that had been translated into the relevant language, then had a telephone call with a translator who spoke the language.

The call would be conducted in the relevant language and the interviewer would run through the questions they had been sent with the accreditor acting as a respondent. If the accreditor was satisfied that the interviewer was fluent in both reading and speaking the language, then the interviewer was allowed to conduct translated interviews.

4.1.2 Interpreters

Where a translated interview was required and there was not a Kantar or NatCen interviewer available to conduct it, an agency interpreter was used. In these cases the interpreter would accompany an interviewer to conduct the interview. The interviewer would deal with the administration of the interview and use of the CAPI laptop, while the interpreter would read out the questions and ensure the interviewer selected the appropriate answer.

4.1.3 Identifying cases for translation

As Understanding Society is a longitudinal study, most individuals that required a translated interview were already identified in the sample as they had also required a translated interview at previous waves. However, there were some cases where new joiners to households required a translated interview.

If interviewers were in a situation where no one in a household spoke English (or no one who was there when they called) they had some materials they could use to help identify which language the sample member spoke and therefore whether a formal translation was required. These materials were:

- A translation card – this was shown to household members to establish which language they spoke. The card included over 30 languages, each with the phrase “I speak <language>” (for example, in Bengali, it read “I speak Bengali”).
- A translation booklet – where a household member identified that they spoke a language that Understanding Society has been translated into, interviewers would show them the translation booklet which, in each of the nine languages, explained a bit more about the study and asked for a name and phone number so a translator could contact them about taking part.

4.2 Informal translations

If a sample member did not speak English or one of the nine translated languages, they could still be interviewed. In these cases the interviewer would use someone else to translate – usually another household member but sometimes a family member or friend of the sample member who lived nearby.

4.3 Welsh translations

For all households in Wales, advance letters were sent in both English and Welsh. The youth self-completion questionnaire was also translated into Welsh. However, no interviews were conducted in Welsh and the Welsh youth questionnaire was rarely used.

5. The interview

The main component of the Wave 11 interview was the individual adult questionnaire. This was administered using a CAI script, and interviews were attempted with all individuals aged 16 or more in the household. Over two-thirds of interviews were completed by web (69%). Most of the remainder (23%) were conducted face-to-face, and the CAPI questionnaire also included a self-completion (CASI) section. A significant minority (8%) of respondents took part by telephone. Other elements of the Wave 11 interview were:

- The household enumeration grid and household questionnaire (completed once per household)
- The youth self-completion questionnaire for 10-15 year olds (on paper)
- A proxy interview for adults that were unable or unwilling to complete a full interview.

A full list of the topics covered by the Wave 11 questionnaire can be found in Appendix A.

5.1 Questionnaire length

The questionnaires were heavily routed depending on an individual's circumstances so the length of interviews varied. Interview lengths were generally longer for people who were employed, had children, or were being interviewed for the first time.

Table 5.1 shows the median interview lengths for different sample types for CAPI interviews only. Table 5.2 gives median interview lengths by sample type for CAWI interviews, and table 5.3 gives the median interview lengths for CATI interviews. For CAPI the length of the CASI section is split out, but not for CATI and CAWI as this section was not treated separately in those modes. All proxy interviews are shown in table 5.1 even though a minority of these were completed over the telephone.

Table 5.1: Median interview lengths (minutes) by sample type – CAPI interviews

Questionnaire element	GP	BHPS	EMB	IEMB	Total
Household questionnaire (including enumeration)	11:42	11:32	11:53	10:58	11:38
Individual adult CAI questionnaire	33:35	30:54	30:52	30:12	32:21
Individual adult CASI questionnaire	13:01	12:17	11:22	13:53	12:39
Individual adult questionnaire – total (CAI +CASI)	47:29	44:13	43:39	42:32	45:50
CAI proxy questionnaire	4:50	4:51	4:15	3:24	4:38

Table 5.2: Median interview lengths (minutes) by sample type – CAWI interviews

Questionnaire element	GP	BHPS	EMB	IEMB	Total
Household questionnaire (including enumeration)	12:03	12:33	13:31	12:34	12:16
Individual adult questionnaire – total	42:49	40:37	40:40	42:38	42:07

Table 5.3: Median interview lengths (minutes) by sample type – CATI interviews

Questionnaire element	GP	BHPS	EMB	IEMB	Total
Household questionnaire (including enumeration)	09:36	11:45	10:08	10:16	09:51
Individual adult questionnaire – total	46:54	47:57	43:54	44:02	45:50

5.2 Questionnaire programming

The CAI instrument was programmed using Unicom Intelligence software (previously known as IBM Data Collection), which is able to handle the complexity of the Understanding Society questionnaire. The same script was used for CAPI, CAWI and CATI, with some minor modifications to allow for mode type. Two scripts were created, the first was at household level and included the household enumeration grid, the household questionnaire and administrative content such as call records. The second was the individual level script which included the adult interview, proxy interview and administration of the youth self-completion questionnaire.

5.3 Youth self-completion questionnaire

Youth questionnaires for sample members aged 10 to 15 were completed on paper, although the individual level script included information to help interviewers administer these. Firstly interviewers sought verbal consent from a parent or guardian, then asked the young person if they would complete the questionnaire. The interviewer used information from the CAI instrument to fill in some details on the front of the questionnaire, before handing it to the young person along with an envelope in which to seal it when completed, and a £5 voucher. Ideally the young person would complete the questionnaire while the interviewer was in the household, but this was not always possible.

Interviewers could also leave questionnaires with parents to be given to the young person.

Interviewers were encouraged to go back to households to collect completed questionnaires, but as a last resort sample members could be left with a reply paid envelope in which to return the questionnaire themselves.

5.3.1 Households completing via web or telephone

Where the household completed the survey online or by telephone, questionnaires were posted to a parent (who had completed online or by telephone) with a request to ask their child to complete and return the paper questionnaire.

Where a questionnaire was not returned, a reminder was sent later in fieldwork. This reminder included another copy of the questionnaire.

Fig 5.1: Youth self-completion questionnaire – front cover

YOUR QUESTIONNAIRE

Your questionnaire

Self-completion questionnaire (10-15 yrs)

+

+

INTERVIEWER: WRITE IN FROM CAPI SCREEN

Serial

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

Person number

--	--

First name

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

Interviewer number


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

Month

--	--

+

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 Understanding Society

40303870 **W11**
10-15s

6. Briefings and interviewer materials

6.1 Briefings

Two different types of briefing were used for Wave 11 of Understanding Society:

- 'Refresher' briefings for interviewers that had already worked on Wave 10 of Understanding Society;
- 'Full' briefings for interviewers that had not previously worked on the study.

Both types of briefing were conducted face-to-face and were usually with groups of around 15 interviewers. The majority of briefings for Wave 11 were refresher briefings. Researchers from Kantar and NatCen⁴ ran the briefings and in many cases a researcher from ISER also attended and presented part of the briefing.

6.1.1 Full briefings

Full briefings lasted around 6 hours and covered the following:

- An introduction to Understanding Society, the background to and purpose of the study;
- Examples of the impact Understanding Society had had so far;
- Information about the sample, different types, length of time in the study;
- Multimode elements of the study and interviewers responsibilities for web first households;
- Procedures for contacting households, minimum call requirements and tracing movers;
- Materials provided to interviewers, what they are for and when to use them;
- Achieving a high response rate, avoiding refusals;
- The questionnaire, different components, topics covered by each, and who should be answering each element;
- Rules for who should be included in the household enumeration grid;
- When and with whom to conduct proxy interviews;
- Procedures for administering the 10-15 paper questionnaire;
- Consents for data linkage;
- Special procedures: translations; interviewing people in institutions; interviewing people with disabilities;
- The importance of collecting and updating contact information.

The briefings also included a session with interviewers using their laptops to follow sections of the CAPI script that a researcher led them through. This was used to ensure interviewers knew how to access all the different elements of the CAPI script.

⁴ Each agency was responsible for briefing its own interviewers due to slight differences in administration and fieldwork management structures.

For NatCen interviewers there was further content on using Kantar's CAPI systems, and briefings therefore lasted longer. NatCen interviewers were using a "virtual machine", this is a copy of Kantar's interviewing systems and software that was installed on NatCen's CAPI devices. It meant that NatCen interviewers used Kantar's sample management and interviewing software. This was unfamiliar to NatCen interviewers and so the briefing took them through exercises on how to use these systems.

6.1.2 Refresher briefings

Refresher briefings were shorter (around 3 hours) and were designed to help motivate interviewers as well as build up their knowledge of the study and of certain fieldwork procedures that were not always correctly followed. The refresher briefings were therefore much less formal and involved discussions with interviewers about their experiences so far on the study.

The particular areas of focus for the Wave 11 refresher briefings were:

- Providing information about the Understanding Society Team at ISER;
- Recent findings from the study that might be of interest to sample members;
- Survey improvements;
- Ensuring interviewers adopt a consistent approach when conducting interviews;
- Interviewers responsibilities around collecting individual contact details and stable contact details;
- Organising and planning assessments, making contact, mixed-mode interviewing and overcoming reluctance;
- Defining who is in the household and less common scenarios;
- Coding fieldwork outcome codes.

6.2 Interviewer materials

Interviewers were provided with a range of materials to help them when conducting fieldwork. These included a set of project instructions which included all of the information covered in briefings as well as further details such as a full list of outcome codes. These were intended as a reference document that interviewers could use if they needed reminding of any fieldwork procedures.

Other materials included:

- Sample information sheet – one per household, these included a few details about each household and the sample members living there, most of this information was held electronically on interviewers' laptops;
- Copies of advance letters, including a laminated copy;
- Interviewer cards to be used as calling cards, appointments cards and broken appointment cards, other than the Understanding Society logo and a freephone telephone number for either Kantar or NatCen these cards were blank for interviewers to write a message or appointment time on;
- Information for participants leaflets;
- Case study flyers – these were eight flyers that highlighted different findings from Understanding Society and how these had been used. The purpose of the leaflets was to help interviewers demonstrate the purpose of the study to any sample members that queried this;
- Showcards;
- Incentives for use where sample members had not received an incentive in their advance letter;

- Youth self-completion questionnaires, envelopes marked 'confidential' to seal them in, and pre-paid return envelopes;
- Data linkage consent leaflets and a consent flowchart to demonstrate the information flow during the data linkage process;
- Change of address cards and pre-paid return envelopes;
- Thank you leaflets;
- Tracing letters and stable contact letters, envelopes and stamps;
- Translation cards to help identify the language of non-English speakers.

7. Response to web survey

Chapter 8 looks at overall response to Wave 11. This chapter just focuses on response to the web survey.

7.1 Household response rate

At Wave 11 there was a target that 45% of households issued CAWI first would fully complete online during the web fieldwork period, and so not be issued to an interviewer. Overall, across the whole of Wave 11, the proportion of households issued CAWI first that fully completed by web was 41%.

For most of the households and individuals in the web-first sample, wave 11 was not the first time they had been invited to complete online (and it was to these households that the target of 45% applied). However, for the last 9 months of issued sample at wave 11 all households were issued web first due to face-to-face fieldwork having to be stopped because of the Covid-19 pandemic. We can separate households that were issued web-first into 3 types:

- Those who were also issued web first at the previous wave – 44% of households in this group completed online, so very close to the target of 45%;
- Those who were issued face-to-face first at the previous wave because they are part of the ring-fenced CAPI first sample – 30% of households in this group completed online;
- Those who were issued face-to-face first at the previous wave because the model developed by ISER to allocate them to issue mode suggested they were unlikely to take part online – 17% of households in this group completed online.

The whole household response rate was higher for households that were productive at the previous wave (46%), than households that had been unproductive at the previous wave (8%). Table 7.1 shows the full household web completion rate broken down by previous wave response and by sample type.

Table 7.1: Household web response rate by sample origin and whether productive last wave

	Households issued CAWI first (n)	Fully productive web households (n)	Household web response rate (fully productive) (%)
Households that were productive last wave			
GP sample	10,223	4,885	48%
EMB sample	1,159	359	31%
BHPS/NIHPS sample	3,030	1,532	51%
IEMB sample	1,083	309	29%

Households that were not productive last wave			
GP sample	1,132	100	9%
EMB sample	234	13	6%
BHPS/NIHPS sample	289	36	12%
IEMB sample	324	12	4%

7.2 Individual response rate

Of adults that were issued web first, 52% completed online during the web fieldwork period. This was much higher for individuals that had taken part at the previous wave (65%) than those that had not been productive at Wave 10 (14%). There was also some variation by sample type, as shown in table 7.2.

Table 7.2: Individual web response rate by sample origin and whether productive last wave

	Adults issued CAWI first (n)	Adults that took part by web (n)	Individual web response rate (%)
Adults that were productive last wave			
GP sample	17,201	11,522	67%
EMB sample	2,313	1,252	54%
BHPS/NIHPS sample	5,228	3,619	69%
IEMB sample	1,981	921	46%
Adults that were not productive last wave			
GP sample	4,900	723	15%
EMB sample	1,189	147	12%
BHPS/NIHPS sample	1,366	258	19%
IEMB sample	1,271	101	8%

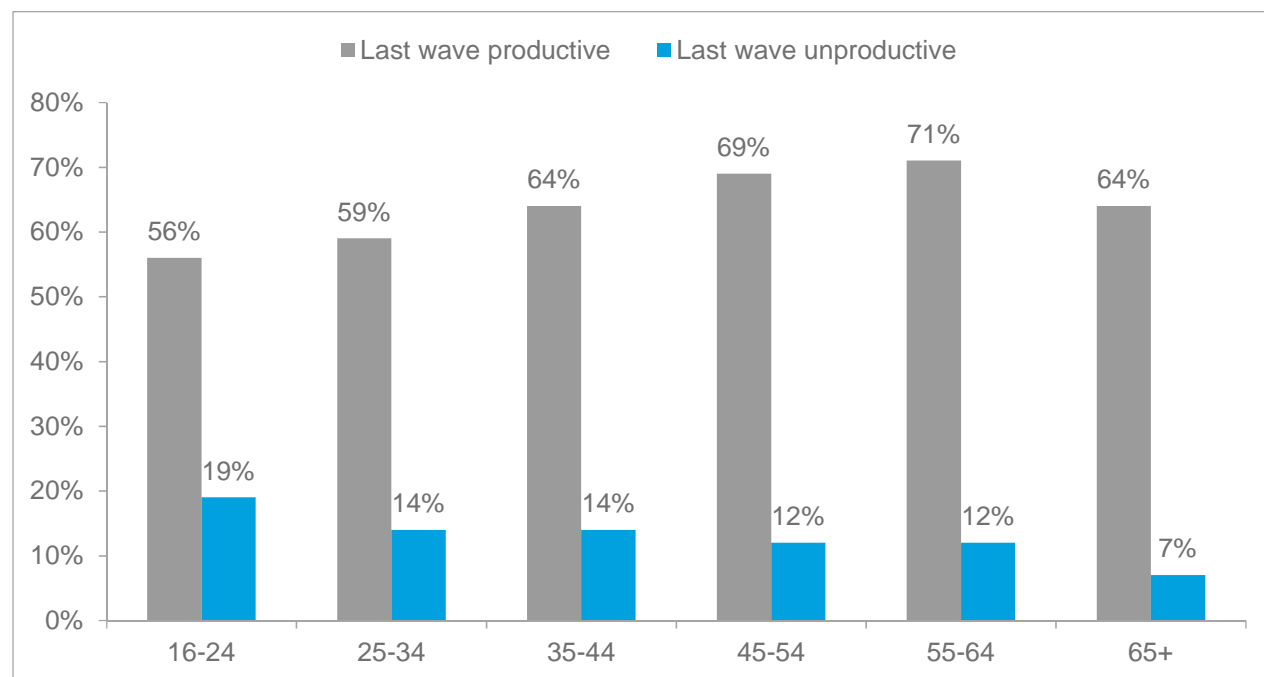
As with households, we can separate individuals that were issued web-first into 3 types:

- Those who were also issued web first at the previous wave – 54% of adults in this group completed online during the web fieldwork period;
- Those who were issued face-to-face first at the previous wave because they are part of the ring-fenced CAPI first sample – 41% of adults in this group completed online during the web fieldwork period;

- Those who were issued face-to-face first at the previous wave because the model developed by ISER to allocate them to issue mode suggested they were unlikely to take part online – 29% of adults in this group completed online during the web fieldwork period.

For last wave productive adults the web response rate increased with age up until the 65+ age group where response was a little lower than 45 to 64 year olds. For adults that had not taken part at the previous wave those aged 16-24 were more likely than other age groups to complete online. These results are shown in chart 7.1.

Chart 7.1: Adult web response rate by age and whether took part at the previous wave



Base: All web first adults. Last wave productive: 16-24 (2,861); 25-34 (3,356); 35-44 (4,072); 45-54 (5,032); 55-64 (4,6804); 65+ (6,721). Last wave unproductive: 16-24 (2,326); 25-34 (1,757); 35-44 (1,343); 45-54 (1,372); 55-64 (979); 65+ (949).

7.3 Web completion during face-to-face fieldwork

So far this chapter has focused on web response before face-to-face fieldwork starts but the web survey remained open throughout interviewer fieldwork. CAPI first sample members could also complete online once they had been given their web login details, either by an interviewer (if the sample member told the interviewer they wanted to take part online) or during the web mop up. The web mop up stage was where CAPI first adults that had not yet taken part were sent a letter with their web login details towards the end of CAPI fieldwork.

Overall, 10% of adult interviews on Wave 11 were completed by web after interviewer fieldwork had started. The breakdown of interview mode by issue mode is shown in table 7.3.

Table 7.3: Adult mode of completion by issue mode

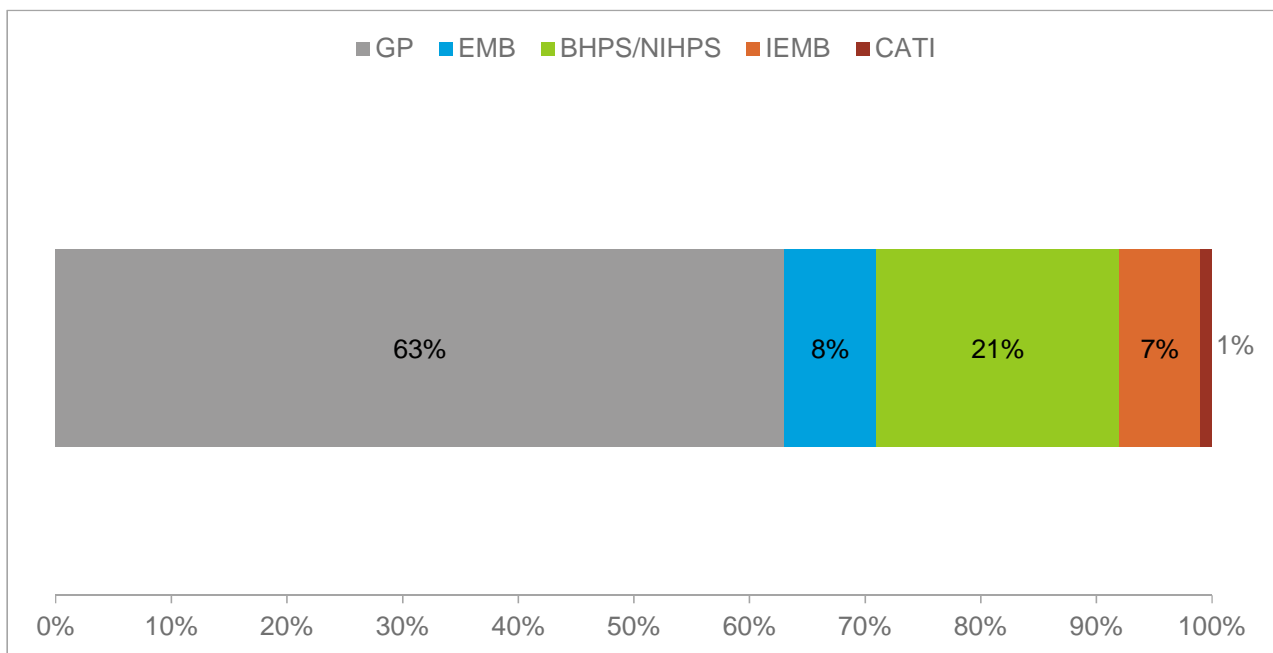
	CAPI first adults		CAWI first adults		Total	
	n	%	n	%	n	%
Web complete in web period	0		18,555	73%	18,555	59%
Web complete after f2f fieldwork started	848	14%	2,439	10%	3,287	10%
CAPI complete	4,981	80%	2,107	8%	7,088	22%
CATI complete	429	7%	2,273	9%	2,702	9%
<i>Base: all productive adults</i>	6,258		25,374		33,623	

8. Overall response

8.1 Household level response

A total of 22,077 households were issued at Wave 11. Of these, 13,930 were in the General Population (GP) sample, 1,751 were in the Ethnic Minority Boost (EMB) sample, 4,718 were in the British/Northern Irish Household Panel Survey sample (BHPS/NIHPS), 1,527 were in the Immigrant and Ethnic Minority Boost sample (IEMB), and 151 were telephone only households (CATI).

Chart 8.1: Issued sample (households) by sample type



8.1.1 Response rates

Table 8.1 details household response rates for the different sample types, dependent on whether the households had been productive at the previous wave. As would be expected, households that had been productive at Wave10 were much more likely to be productive again at Wave 11 than those that had not responded.

Amongst the different sample types, the BHPS/NIHPS sample achieved the highest response rate, while the IEMB sample achieved the lowest.

Table 8.1: Household response rate by sample origin and whether productive last wave

	GP – productive last wave		GP – un-productive last wave		EMB – productive last wave		EMB– un-productive last wave		BHPS / NIHPS– productive last wave		BHPS / NIHPS – un-productive last wave		IEMB – productive last wave		IEMB – un-productive last wave		CATI – productive last wave		CATI – un-productive last wave	
Base: All issued sample																				
Issued	12532		1401		1455		296		4303		415		1176		352		124		27	
Split households	430		38		32		8		150		10		34		10		5		0	
Total households	12962		1439		1487		304		4453		425		1210		362		129		27	
Base: Total households																				
Ineligible households	130	1%	52	4%	14	1%	8	3%	67	2%	21	5%	10	1%	2	1%	0	0%	6	22%
Eligible households	12832		1387		1473		296		4386		404		1200		360		129		21	
Base: Eligible households																				
Fully productive	8722	68%	297	21%	811	55%	53	18%	3169	72%	107	26%	614	51%	47	13%	67	52%	6	29%
Partially productive	2685	21%	209	15%	440	30%	46	16%	839	19%	47	12%	314	26%	52	14%	42	33%	5	24%
No contact	255	2%	202	15%	48	3%	44	15%	71	2%	45	11%	73	6%	83	23%	6	5%	4	19%
Refusal	567	4%	437	32%	94	6%	84	28%	142	3%	133	33%	90	8%	103	29%	4	3%	5	24%
Other unprod-uctive	603	5%	242	17%	80	5%	69	23%	165	4%	72	18%	109	9%	75	21%	10	8%	1	5%

8.2 Individual level response

Individual response rates were examined separately for adults that had been interviewed at the previous wave and those that had not. The response rate is calculated as the proportion of eligible adults in each group that gave interviews at Wave 11.

For adults that had been interviewed at the previous wave, the overall response rate was 87%. This varies notably by sample type, as shown in table 8.3. Response is lower for both the ethnic boost samples, and also slightly lower for the CATI sample

Overall, the response rate was 26% for adults that had not been interviewed at the previous wave, and 46% for new entrants and rising 16s⁵. Previous wave productive adults were the particular focus for maximising response at Wave 11 and so it is this group that are detailed further below.

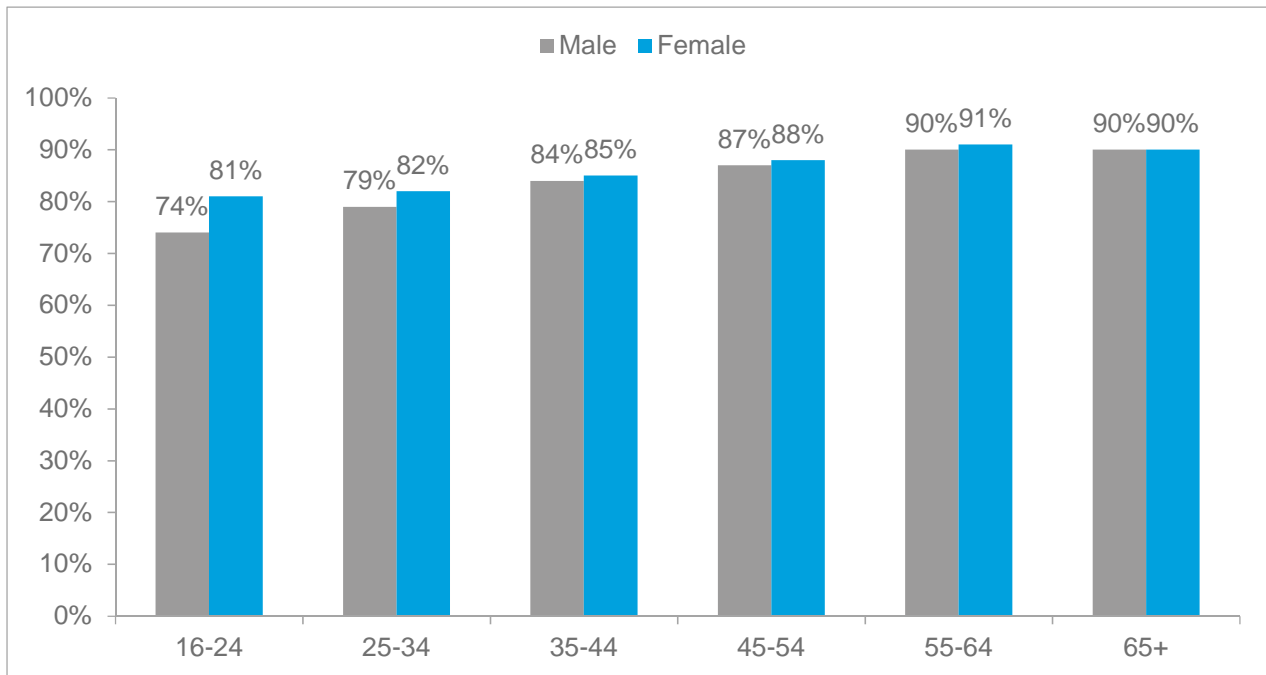
Table 8.3: Individual response rate by sample origin for adults interviewed at the previous wave

	GP	EMB	BHPS / NIHPS	IEMB	CATI
Productive	87%	90%	81%	73%	85%
Proxy	<1%	<1%	1%	<1%	0%
No contact	3%	2%	5%	8%	6%
Refusal	7%	5%	10%	13%	5%
Other unproductive	2%	2%	4%	6%	4%
<i>Base: previous wave productive adults</i>	20712	7301	2862	2122	189

Response rates did not tend to vary by gender for sample members aged 35 and over, but in younger age groups women were a little more likely to respond than men. For both genders there was a notable increase in response with increasing age. The 16-24 age group were particularly difficult to achieve interviews with. Chart 8.2 shows response rate by age and gender for adults that had been interviewed at the previous wave.

⁵ Rising 16s are sample members who have recently turned 16 and so are being asked to complete an adult interview for the first time at the current wave.

Chart 9.2: Individual response rate by age and gender

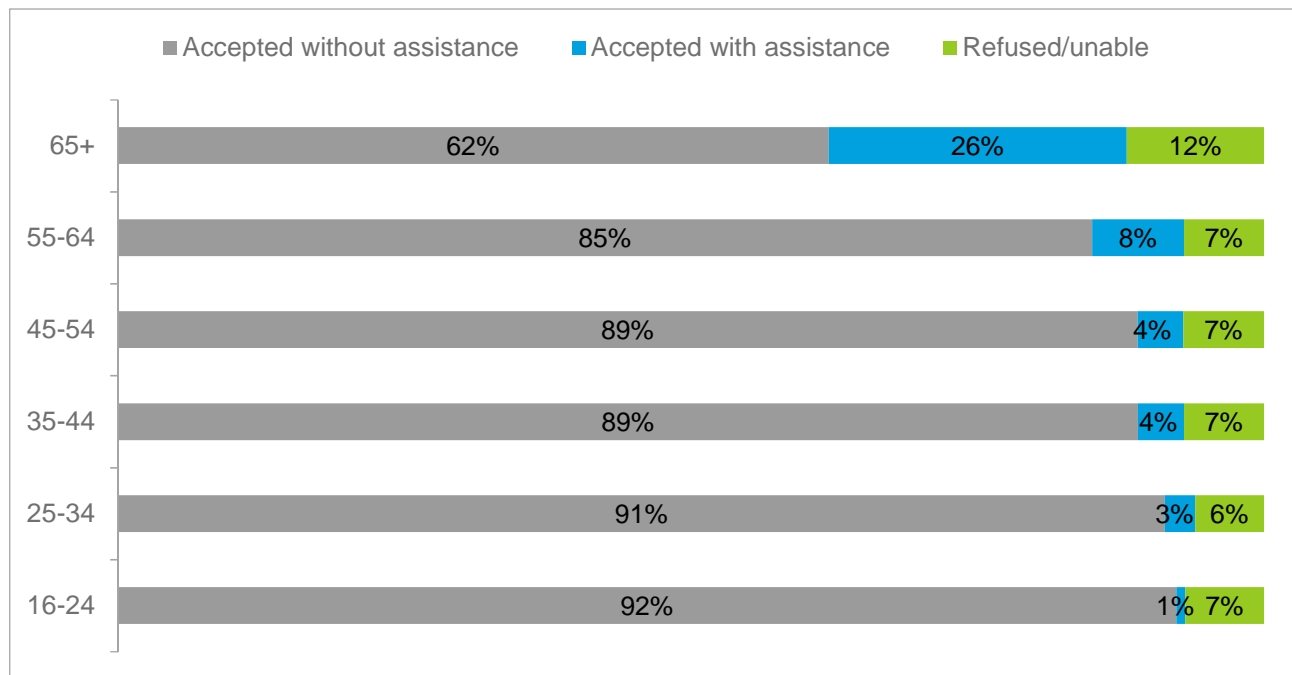


Base: All eligible adults that had been productive at the last wave. Men: 16-24 (1588); 25-34 (1699); 35-44 (2083); 45-54 (2718); 55-64 (2584); 65+ (4016). Women: 16-24 (1950); 25-34 (2295); 35-44 (2899); 45-54 (3421); 55-64 (3187); 65+ (4745).

8.2.1 Adult self-completion interviews

As part of the adult interview there was a self-completion (CASI) section. The vast majority of adults completed this on the CAPI laptops themselves without assistance. Amongst older respondents (aged 65 or more) it was more common for assistance to be required. Chart 8.3 shows these results. This chart is based on adults who completed CAPI interviews, as for telephone and web modes the respondent was not asked about willingness to complete this section.

Chart 8.3: Self completion response rate by age



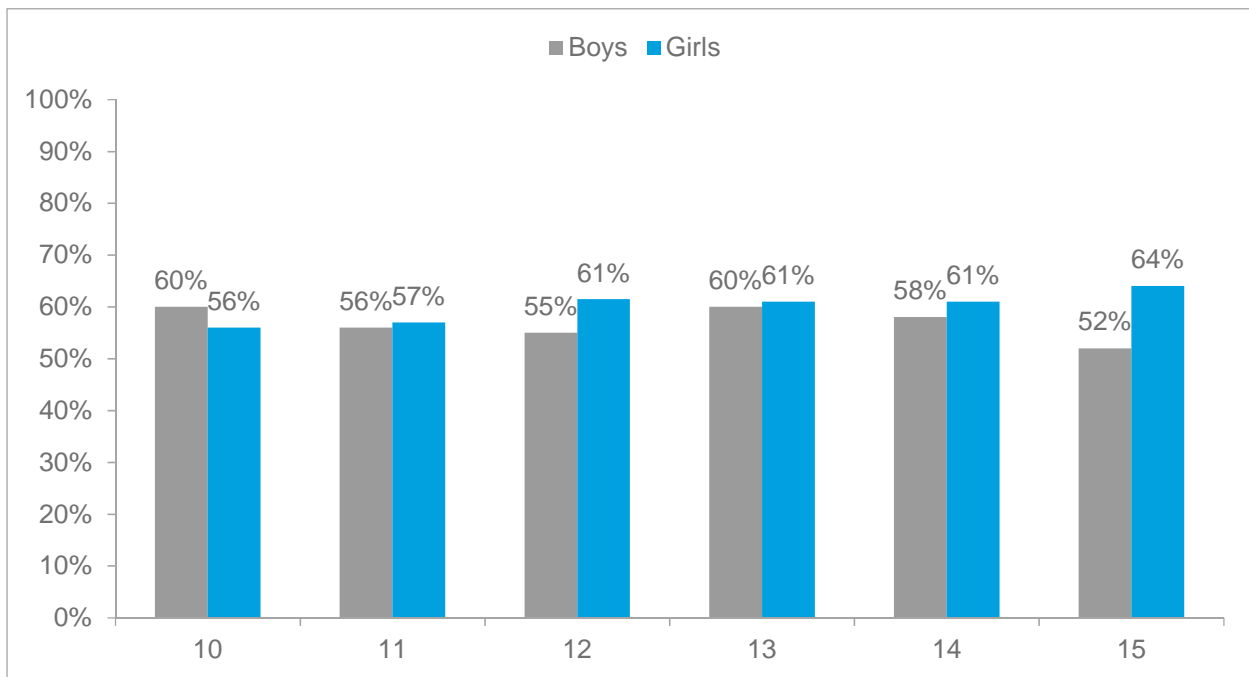
Base: All productive adults that completed by CAPI and reached the CASI section of the questionnaire. 16-24 (720); 25-34 (660); 35-44 (923); 45-54 (1129); 55-64 (1189); 65+ (2592).

8.2.2 Youth self-completion questionnaires

In households that were productive (at least one adult completed an interview), 58% of 10 to 15 year olds completed and returned a paper questionnaire. This proportion varied by sample type, it was 60% amongst the GP sample, 72% amongst the BHPS/NIHPS sample, 46% amongst the EMB sample and 39% amongst the IEMB sample.

Chart 8.4 shows the youth self-completion response rate by age and gender.

Chart 8.4: Youth response rate by age and gender



Base: All eligible 10-15s in productive households. Boys: 10 (306); 11 (308); 12 (321); 13 (312); 14 (323); 15 (269). Girls: 10 (279); 11 (304); 12 (286); 13 (324); 14 (268); 15 (312).

Administration of the youth questionnaire was different for households that took part by web or telephone and those that took part face-to-face. Where a parent completed online or by telephone, the 10-15 questionnaire was posted to them with a request to pass to their child to complete and return the questionnaire. For face-to-face interviews, interviewers handed out questionnaires, and collected them where possible. As a result, there is a notable difference in response between households where some interviewing was done face-to-face and those where all interviewing was completed by web or by telephone:

- 70% of youths in productive households where any face-to-face interviewing was done completed a paper questionnaire
- 55% of youths in productive households where only web or telephone interviewing was done completed a paper questionnaire

Because most of the 2nd year of wave 11 was completed using web and telephone interviewing only, the youth response rate was lower than for previous waves where far more households completed some face-to-face interviewing.

9. Data preparation

9.1 Combining CAPI and CAWI data

At Wave 11 there were two sources of CAI data to be merged – CAPI and CAWI (CATI interviews were also completed on the CAWI or CAPI script). This meant the first stage of data processing at Wave 11 was combining the CAPI and CAWI data together.

There were measures in place within the electronic sample management system on Wave 11 to minimise the chances of duplicate interviews being conducted on CAPI and CAWI. Data was passed between the CAPI and CAWI systems daily but the transfer of information to and from CAPI was reliant on interviewers synchronising their laptops. In general interviewers would synchronise each day that they worked on Understanding Society but there could be circumstances under which they did not. There were therefore a very small number of duplicate interviews across CAPI and CAWI and the data merging process needed to take account of these. If both interviews were fully complete then the more recent interview was usually selected.

It was also possible for a respondent to start their interview on CAWI and complete it via CAPI. In these cases the interview would restart at the beginning of the first incomplete module (so respondents might be re-asked a few questions) rather than the specific question at which the interview had finished on CAWI. Such cases were extremely rare but, again, the data merging process needed to allow for this and stitch the two partial interviews together.

While Wave 11 used the same CAI script across modes (with routing to tailor question wording depending on the mode), there were some questions which had to be scripted separately for different modes because different question layouts were used. For example at some questions the CAWI script made use of drop down lists rather than standard response lists. In raw data there would be two versions of the question, one for CAPI and one for CAWI (and CATI) so the formatted data needed to draw data from both of these.

9.2 Data scanning and reconciliation

The vast majority of Understanding Society data was collected using CAI scripts. The scripts made use of consistency checks and range checks to clarify any data discrepancies with respondents as they arose. This means there was little need for any cleaning or editing of the data after fieldwork.

The exception to this was the data from the youth self-completion questionnaires. As these were completed on paper there could be data inconsistencies such as missing data, routing errors, multiple answers at single choice questions, and values out of range. Youth self-completion questionnaires were scanned to capture the data, and then a series of checks were undertaken to find any inconsistencies. Rules were agreed for how to handle data inconsistencies and edits applied in accordance with these rules.

Scanned data needed to be reconciled against CAI data to ensure data was attributed to the correct sample member. This was done using serial number, name, date of birth and gender.

9.3 SIC and SOC coding

Questions from the employment and proxy sections of the questionnaire were coded to 4 digit SIC and SOC codes. The codes and verbatims were included in the data.

9.4 Data checking

Once data from all sources had been combined and formatted, a series of checks were undertaken to validate the data and ensure consistency of format. Three rounds of checking were employed:

- Administrative checks on individuals and households – these were to ensure that all households and individuals were included in the data with a final outcome, that individuals were finally located in one household, that outcomes were consistent with the presence of raw data, and that joiners added to the household grid were accounted for.
- Structural checks on all files – these checked the format of files, and also that the right households and individuals were included in each file.
- Routing checks – these checked, for every variable, that a response was present when there should be a response, and not present where there should not be a response, according to questionnaire routing.

9.5 Data issues at Wave 11 and script changes affecting data

There were some small errors in and/or changes to the Wave 11 script. Most of these only affected a small number of questions, and were fixed during the course of fieldwork:

- The relationship loop in the household grid was not being updated correctly for spouses and partners when an individual had left the household. This was fixed 2 months into fieldwork.
- The code for npdadult and npda was incorrectly being set for all children aged 0 to 15, instead of children aged 2 to 15. This was fixed 3 months into fieldwork.
- Not all children aged 2 to 15 were included in npda where an individual had left the household. This was fixed 3 months into fieldwork.
- The routing for nchunder16, nch5to15, nch10to15 and nch10 incorrectly included fosters parents in the computation. This was fixed 3 months into fieldwork.
- The schools look-up list was updated to the latest version in the 'initial conditions' and 'parents and children' modules 4 months into fieldwork.
- Updates were made to the 'higher education consents' module. This included the introduction of a new question called heinst1_other and two new hidden computation variables called heiukprn and heiinstid. The routing for instok was also updated so that it was not asked of those who had 'zzz' inputted at heinst1. These updates were made 4 months into fieldwork. The module was again updated to ask respondents to type in 'not listed' instead of 'zzz'. The routing for relevant questions were also updated so that they were routed off 'not listed' instead of 'zzz'. This further update was made 10 months into fieldwork.
- Four new modules were added to the self-completion section: EU elections; EU referendum; Politics; and EU membership. These updates were made 6 months into fieldwork.
- The adresp algorithm was incorrectly setting a biological father as being responsible for children in households where a biological mother was also present, and where the survey 'back' button was used partway through confirming household relationships. This was fixed 9 months into fieldwork.
- The household grid was counting code 96, 'don't know', and 'refused' as a person when setting the grid variable household size. This resulted in additional questions being asked incorrectly. This was fixed 9 months into fieldwork.

- Several new questions were added to the 'general elections' module. These updates were made 12 months into fieldwork.
- Some respondents were not asked stillstate, as the script was not using the correct person number when someone had moved out of the household. This was fixed 16 months into fieldwork.
- Ncrr12 was not being routing into properly as it partly relied on livesp being empty, which was not possible as livesp is always set to 'yes' or 'no'. The routing for ncrr12 was updated to account for this. This was fixed 16 months into fieldwork.
- The grid variables gdcompare, emboost and lda were not being computed correctly for new entrants in households where other members of the household had these variables computed. This was fixed 17 months into fieldwork.
- The routing for cmcmsop was incorrectly being asked if csacalc=1 and csapayto = 1, when it should have just been asked if csacalc=1. This was fixed 17 months into fieldwork.
- The iemb grid variable was not being computed correctly for members in households where an original sample member had an iemb flag computed. This was fixed 17 months into fieldwork.
- Several COVID-19 related updates were made to the household grid. These updates were made 19 months into fieldwork.
- The questions jsseissap, jsseissam, jsseissbm, jsseissby4, jsseisseem, jsseisseey4 were added 19 months into fieldwork.
- Two new answer codes for 'furloughed' and 'temporarily laid off/short time working' were added to ncrr6. This update was made 19 months into fieldwork.
- The routing for J1none and J1soc00 was updated to account for those that are furloughed or temporarily laid off/short time working. This update was made 19 months into fieldwork.
- The computation for jbhadd was updated to account for those that are furloughed or temporarily laid off/short time working. This update was made 19 months into fieldwork.
- The routing into the 'employer link' module was updated to account for those that are furloughed or temporarily laid off/short time working. This update was made 19 months into fieldwork.
- Two new answer codes for 'furloughed' and 'temporarily laid off/short time working' were added to jbstat. This update was made 19 months into fieldwork.
- A new answer code for 'furloughed' was added to jboffy. This update was made 19 months into fieldwork.
- A new answer code for 'furloughed' was added to stendreas. This update was made 19 months into fieldwork.
- A new module "Covid19" module was added 19 months into fieldwork.
- Spouse and partner grid variables were incorrectly blank in some instances. This was fixed 21 months into fieldwork.
- Twinconf had been asked when newborns had a date difference of more than one day, where the oldest child was not included as the first child. The routing in the script did not account for a minus difference. This was fixed 26 months into fieldwork.
- Respondents were able to enter dates before ff_intdate at several questions in the 'annual events history' module. The logic at the hard checks was incorrect and only worked if the year entered was the same as the year at ff_intdate. This was fixed 26 months into fieldwork.

Appendix A – Wave 11 interview content

Understanding Society includes many different topics in the questionnaire. Some topics are included at all waves, while others vary from wave to wave.

Table A1: Content of Wave 11 household questionnaire

Theme	Module name
HH Composition	Household grid
Consumption	HH: Consumer durables
Consumption	HH: Expenditure
Expenditure	HH: Fuel type and expenditure
Financial behaviour and attitudes	HH: Financial strain
Housing characteristics	HH: Structural characteristics
Housing characteristics	HH: Home tenure
Housing characteristics	HH: Taxation

Table A2: Content of Wave 11 adult questionnaire

Theme	Module name
Individual interview modules (repeated annually)	
Basic Demographics	Demographics
Caring	Caring
Change in Characteristics	Annual event history
Childcare	Childcare
Employment	Current employment
Employment	Employees
Employment	Self-employment

Employment	Job satisfaction
Employment	Non-employment
Employment	Mothers return to work
Employment	Second jobs
Employment	Gig economy
Employment	Employer/workplace address
Expectations	Educational aspirations
Family relationships	No co-resident relationships (self-completion)
Financial behaviour and attitudes	Household finances
Health and social care utilisation	Health service use
Health status	SF-12 (self-completion)
Health status	Disability
Income and earnings	Unearned income and state benefits
Mental health and wellbeing	GHQ (self-completion)
Satisfaction	Life satisfaction (self-completion)
Technology	Device use and online activity
Political and social engagement	Politics (self-completion)
Individual interview modules conditional on age (repeated annually)	
Expectations	Retirement planning
Family relationships	Child development (self-completion)
Family relationships	Parenting styles (self-completion)
Financial behaviour	Pension drawdown
Young adults	Young adults
Individual interview modules (rotating)	
Family relationships	Family networks
Family relationships	Parents and children

Family relationships	Partner relationships (self-completion)
Financial behaviour and attitudes	Child maintenance
Health behaviour	Nutrition
Health behaviour	Physical activity/exercise
Health behaviour	Smoking
Health behaviour	Physical work
Health behaviour	Alcohol consumption (self-completion)
Health status	Social care
Identity	Identity (self-completion)
Important events	Positive and negative events
Mental health and wellbeing	Broad discrimination
Mental health and wellbeing	Harassment
Mental health and wellbeing	Loneliness (self-completion)
Political and social engagement	Attitudes towards immigration (self-completion)
Political and social engagement	Socio-political values (self-completion)
Political voting behaviour	General election (self-completion)
Political voting behaviour	EU election (self-completion)
Political voting behaviour	EU referendum (self-completion)
Social support	Social support (self-completion)
Modules asked only once (included for new entrants)	
Chronic health conditions	Health conditions
Stable characteristics	Ethnicity and national identity
Stable characteristics	Family background
Stable characteristics	Fertility history
Stable characteristics	Initial conditions
Stable characteristics	Own first job

Stable characteristics	Partnership history
Stable characteristics	Religion
Administrative data linkage (asked at multiple waves where eligible)	
Education	HESA
Economic	HMRC
Economic	National Employment Savings Trust (NEST)
Young adults (aged 16-21) sub-section of adult questionnaire	
Young adults self-completion	Social Networks
Young adults self-completion	Family/Meals
Young adults self-completion	Behaviour/bullying at home
Young adults self-completion	Family talking/quarrelling
Young adults self-completion	Education/aspirations
Young adults self-completion	Education//parental involvement
Young adults self-completion	Career Advice
Young adults self-completion	Behaviour/bullying at school
Young adults self-completion	Risky Behaviour/Drugs
Young adults self-completion	Sexual orientation
Young adults interviewer administered	Ethnic identity
Young adults interviewer administered	Future Intentions: Leave home
Young adults interviewer administered	Future Intentions: Job
Young adults interviewer administered	Future Intentions: Other events

Table A3: Content of Wave 11 youth self-completion questionnaire

Theme	Module name
Demographic	
Leisure	TV

Leisure	Online social networks
Family	Meals
Family	Support
Family	Supervision
Family	Other
Family	Talking/quarrelling
Step parent relationship	
Behaviour	Bullying at home
Friends	Friendship Networks
Behaviour	SDQ (strengths and difficulties questionnaire)
Happiness	
Education	Homework
Education	Aspirations
Education	Truancy
Education	Misbehaviour
Behaviour	Bullying at school
Savings behaviour	
Pocket money	
Earnings	
Caring	
Health	Disability
Health	Nutrition
Health	Obesity
Health	Exercise
Health	Smoking
Health	Alcohol

