

FAMILY RESOURCES SURVEY 2003-04

SUMMARY OF EDITING AND IMPUTATION PROCEDURES CARRIED OUT BY DWP

For the 2003-04 data set, the following tasks were carried out by DWP.

1 Conversion of monetary amounts to weekly values

Many of the questions on the FRS ask for amounts received/paid and to what period they relate (e.g. benefit receipt, council tax payments). In these cases, amounts were converted to weekly equivalents.

More information on which period code relates to which value is given in the Excel spreadsheet [period code.xls](#).

1.1 During the conversion process amounts were not converted where:

- 1.1.1 payments were one off or lump sum payments (period code 95)
- 1.1.2 "none of the above" (period code 97)
- 1.1.3 period code missing
- 1.1.4 payments were less than 1 week (period code 90)

1.2 However, for those items of income and expenditure which feed in to derived variables used by the DWP, missing, 90, 95 and 97 period code payments were scrutinised and edited to a weekly value. Remaining 90, 95 and 97 period codes will appear in analyses as outliers. Users will need to consider whether to edit or delete these cases. The easiest way to identify such variables is to consult minmaxan.xls and search on maximum values of 95 or 97. The link between period codes and monetary amounts is given in [period code.xls](#).

1.3 Note that in the dataset period codes shown as -1 (skipped) have an imputed weekly amount attached.

2 Validation, editing and imputation

Information about procedures carried out by DWP is contained in the [Methodology chapter](#) of the latest FRS publication.

3 Anonymisation

1.2 ONS/National Centre for Social Research have their own procedures to ensure the confidentiality of respondents. Names and addresses are kept separately from the data and are not supplied to the DWP.

1.3 Additional steps have been taken by the DWP prior to release of the data outside the department. These are:

1.3.1 The following variables have been removed from the data set:

VARIABLE TABLE

<i>Acorn</i>	<i>househol</i>	ACORN codes are copyrighted for government use and so removed from the dataset before public release. A special request can be made for these to be made available for external research.
<i>Grossct</i>	<i>househol</i>	These variables allow Local Authorities to be identified from the data.
<i>Lac</i>	<i>househol</i>	
<i>DOB</i>	<i>Adult</i>	Date of birth is collected for respondents aged under 20 for use in the derivation of academic year.
<i>DOB</i>	<i>Child</i>	

- 1.3.2 All the following weekly income variables contain Council Tax information in their derivation and so are rounded to the nearest £1

VARIABLE	Description	TABLE
budisben	DV for benefit unit disability benefit income	benunit
buinc	DV for benefit unit income	benunit
buirben	DV for benefit unit income related benefit income	benunit
bunirben	DV for BU non-income related benefit income	benunit
buothben	DV for BU other benefit income	benunit
burent	DV for BU rent	benunit
ctamt	last CT payment	househol
ctrebamt	amount of CT rebate	househol
cwatamt	amount included in rent for CT water charge	househol
cwatamtd	DV for council tax water charge	househol
hbeninc	DV for HH benefit income	househol
hdisben	DV for HH disability benefit income	househol
hhinc	DV for household income	househol
hhirben	DV for HH income related benefit income	househol
hhnirben	DV for HH non-income related benefit income	househol
hhothben	DV for HH other benefit income	househol
hhrent	DV for HH rent	househol
hhrpinc	DV for HH RP/IS income	househol
hscosthh	DV for HH housing costs	househol
indinc	DV for adult income	adult
indisben	DV for adult disability benefit income	adult
inirben	DV for adult income related benefit income	adult
innirben	DV for adult non-income related benefit income	adult
inothben	DV for adult other benefits	adult
inrpinc	DV for adult RP/IS income	adult
nindinc	DV for adult net income	adult
ninearns	DV for adult net income from employment	adult
nininv	DV for adult net investment income	adult
ninpenin	DV for adult net pension income	adult

- 1.4 However, assurances given to interviewees allow DWP to provide unanonymised data in very restricted circumstances.

- 1.5 For more information, please contact Steve Ellerd-Elliott.

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Alternatively, consult the [Contacts Sheet](#).

FAMILY
RESOURCES
SURVEY

EDITING INSTRUCTIONS:

HOUSEHOLD SCHEDULE
BENEFIT UNIT SCHEDULE

INCORPORATING REFERENCE MATERIALS

2002-2003 version

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An introductory note to editors

The majority of the coding and editing of the FRS is carried out by the interviewers in the field. Signals and hard checks in the Blaise program prompt the interviewers to clarify and query any data discrepancies with the informant, as they are obviously best placed to probe for further information and make decisions from the answers given.

The Blaise program ensures that the correct routing is followed through the interview questionnaire and applies range and consistency error checks where necessary. Consistency errors comprise soft checks and hard checks. Soft checks can be suppressed by the interviewer but hard checks must be resolved. If a soft check is suppressed by an interviewer, it is good practice for them to leave a note explaining their reasons for the suppression.

Sometimes the kind of data checking we would like to do is too complex to be carried out in the field, or the information can be obtained from other sources. Large look-up tables and complex Blaise algorithms would also slow the interview program down and overburden the interviewer and respondent alike. Therefore on FRS a separate in-house editing process is required to complete the data set. All editing and coding actions that ONS and National Centre for Social Research carry out are agreed with the client department (DWP).

FRS editors use Blaise IV in CAPI¹ mode for editing. Errors in the data are identified and checks are triggered for editor action as you progress through the questionnaire program.

The editors' role is to tidy up data when it arrives from the field and reduce the amount of missing information in order to improve data quality and accuracy for the client department. There are a number of tasks that the editor/coder is required to carry out on FRS including interpreting interviewer notes and clerical imputation of financial amounts when they can be obtained from other sources, such as fixed benefit rates or council tax bands. It is important that changes to the data are made strictly according to the rules written down in the editing instructions.

There may of course be rare circumstances that are not covered by the questionnaire program and which have not been covered in the edit instructions. In these cases an editing decision will have to be made. However, an editor should **never** assume the answer to a question unless there is an interviewer note clearly stating the circumstances and situation of that particular case, or unless there is an edit instruction informing of the action to be taken. If you are at all in any doubt you should consult your supervisor as it is important for consistency that one person keeps a general overview of the editing process and decision making. The supervisor will know if another editor is encountering a similar difficulty or omission, and will know what instruction was given or decision taken.

It is also important to notify your supervisor and keep Research informed of any problem areas in the questionnaire program. This will help to improve both the interview and the edit

¹ Computer Assisted Personal Interviewing

programs in the future. Similarly, you should note when a particular interviewer appears to be having difficulty administering the questionnaire program or one particular section of it or if you find that an interviewer is not using the notepad facility. Your Field Officer may want to take specific action and offer support to that interviewer.

Furthermore, please note that you should NEVER delete a case unless you have been instructed to do so by Research. In situations where you believe an interview has been conducted with an ineligible household, please refer the matter to Research.

To reiterate, apart from using interviewer notes, this version of the edit instructions outlines the editing actions that should be taken on the FRS. If there is no reference to a particular question or the instructions given do not apply to the particular circumstances, an answer of don't know or refusal, with no further information, is accepted.

In general

These edit instructions should be used in conjunction with the question instructions. Please refer to the index in the question instructions relating to question names (shown in bold) used below.

Interviewer notes

The first stage of the FRS edit is to interpret **all** notes made by interviewers using the Blaise notepad facility. A variable may be imputed at any stage in the questionnaire if the interviewer has given accurate enough information in a note to establish what the correct value should be. The number of notes left by an interviewer are printed on the factsheets. In Blaise IV the notes can also be read on-line.

The presence of a note is indicated by a small symbol resembling a paperclip which appears to the left of the answer field where the note was made. Although interviewers are instructed to make the note at the precise question concerned, you may find that sometimes the note has been left at an adjacent question instead. To read a note press <CTRL+M> to get into the notepad and the same keys or the escape key to come out of it. It is also possible to review all the notes made in the questionnaire in the 'Navigate' menu (<ALT+N>). At this menu, select 'Show all remarks' and each note made will appear in sequence - use the arrow keys to move to the next or previous note. The total number of notes in the questionnaire is indicated at the top of the dialogue box.

Liquid assets

At the end of each Benefit Unit, if the respondent has assets in the value range of £1,500 to £20,000 further questions will be prompted to elicit their nature and value. The correct values for 'liquid assets' such as shares or National Savings are entered in special editing fields, based on information of the type of asset gathered by the interviewer. These values are gained from either the Financial Times or by referring to tables provided by the Department of National Savings.

Recoding Period code 97

Period code questions state what period a monetary amount (expenditure or income) covers, and in most cases, though not always, the variable name ends with 'Pd'. Period code 97 (none of these) **MUST** be recoded to one of the 'valid' codes 1 to 95, so that weekly equivalents can be calculated. The following edit program soft check will be triggered:

"EDITOR: Code 97 must be re-coded into existing list. If you temporarily suppress this check you must come back to resolve it."

Interviewers must make a note when they use this code, to give information which will help you to recode. For example, the start and end date of the period, or the number of days, weeks or months covered. Should you come across an interviewer who is not making the appropriate notes to allow the period code to be re-classified, please refer the matter to your Field Officer. Use the information in the note, or your judgement from the related questions, or previous experience, to recalculate the period code and, if necessary, the amount it refers to. The period may be recoded to one week, or a calendar month, or a year, or any of the other valid codes - whichever is easiest to work out.

If there is no note or other information to go on, and it is not possible to judge what other period code should be used, code as 52 (one year).

Any Period Code 97s unamended during editing will be identified and reported to DWP prior to delivery of data.

Adjustments for different period codes

When an editing action involves comparing or amending monetary amounts at separate questions, make sure you have accounted for any period code difference between them.

Amounts applicable to the previous financial year

For interviews carried out in April (and possibly May), some answers given will refer to the previous financial year just ended (e.g. benefits received, National Insurance contributions paid). **These should be accepted.** You will find that many checks on amounts will refer to the rates in both financial years and allow answers at both old and new rates. If you are checking, amending or imputing answers in such cases, following the set instruction for that question, assess if possible whether the amount was received/paid in the previous year or the current one. This might be done by referring to any interviewer notes, the interview date and period code - for example if the interview date was 10 April, and the last benefit payment covered 4 weeks it is possible that the payment was made in the previous financial year. You may be able to tell that an amount which differs from a standard rate is similar to the old rate or the new rate. If you are in any doubt as to whether the old or new rate applies, use the new rate.

Notes of cases to be kept for referral to Research

Very occasionally you may come across a case where the circumstances reported by the respondents are correct but do not 'fit in with' the questions and/or cannot be resolved by

normal interview or edit procedures. Please refer all such cases to the Edit Supervisor who will discuss the matter with Research.

HOUSEHOLD SCHEDULE

Block HHG - Household composition

TEA

- 1 A person aged 16 or over in full-time education with an age entered at **TEA** should be assumed to have returned to full-time education after a break. DO NOT DELETE THIS AGE.
- 2 If **TEA** is 'dk', '!!' or blank, LEAVE.
- 3 Estimated ages can be accepted.

Block QAccomDat - Tenure/address information

Tenure

If 'DK' or 'missing', there should be an interviewer note. Use this to attempt to judge whether the property is owned (outright or with a mortgage) or rented and impute as appropriate. This is a key routing variable for DWP. If imputation is not possible, refer to Research.

If an answer is imputed, enter 'don't know' at all questions subsequently routed as a result.

If in any doubt, or the **RefDk** display at the start of the Admin block appears as a result of the action taken, refer to Research.

BusRoom

If **1**, CALCULATE the following fraction:

$$1 - \frac{[0.5 \times \mathbf{PtBsRoom}] + \mathbf{OnBsRoom}}{\mathbf{Rooms}}$$

This is the fraction of the accommodation **not** used for business

MULTIPLY the following variables, where applicable, by this fraction, after any required imputations

Rent
WSIncAmt
MorInPay
IntPrPay
StrAmt
WatAmt
SewAmt
WSewAmt
ChAmt1
ChAmt2

eg if the total number of rooms (**Rooms**) is 8, 2 rooms are partly for business (**PtBsRoom**) and 1 room is used only for business (**OnBsRoom**) then the fraction is:

$$1 - \frac{[0.5 \times 2] + 1}{8} = 0.75$$

then, say, an **IntPrPay** of £250.00 would be reduced (abated) to £187.50 and a **WSewAmt** of £20.00 to £15.00

Block Orenting - Rented accommodation

Landlord

If 'dk' or 'missing', there should be an interviewer note. Use this to attempt to judge which of the codes is most likely. This is a key routing variable so DWP need an answer here if possible. If imputation is not possible, refer to Research.

If an answer is imputed, enter 'don't know' at any questions subsequently routed as a result.

If in any doubt, or the **RefDk** display at the start of the admin block appears as a result of the action taken, refer to Research.

Rent

1. *Missing amount of rent*

For local authority properties only:

If 'dk', 'Refuse' or blank, IMPUTE value, from the Chartered Institute of Public Finance and Accountancy (CIPFA) tables for England and Wales, or from the list of average rent in each Scottish LA (see Appendix A). When doing this, deduct first any Housing Benefit received at **HBenAmt**. If this leaves a negative figure for the rent, assume 100% HB is received and enter 0. Ensure that **HBenChk**=2, to indicate that the rent paid is after deducting housing benefit.

Rent amount(s) missing in shared households

If you need to impute rent in a household which is 'shared' (Code 2 at **HHStat**), the rent should be divided between the members of the household. The HRP (and spouse/partner)'s rent should be at **Rent**, and the rent paid by the other members at **QSharer.SRentAmt** which is repeated for each of them.

If rent is missing for *all* the household members at these questions, divide the amount from CIPFA equally between them. If the HRP is married/cohabiting, the amount to be entered at **Rent** should be twice as much as that entered at each **SRentAmt**. You should also deduct any Housing Benefit received by any household members. For the HRP (and spouse/partner) this is at **HBenAmt**, and for the other household members this is at **HBothAmt** in their own Benefit Unit schedules. If there are 2 adults in the benefit unit, **HBothAmt** will be for both of them, so halve it before deducting from their share of the rent.

If the rent is missing for only some of the household members, deduct the total payments made from the CIPFA figure, and divide the remainder among the missing ones (as above).

Using CIPFA tables

These list Local Authorities down the side, and a range of information across the top - spanning several pages - in numbered columns. Wherever possible, use figures for the relevant Local Authority. Take the rent for the appropriate type of dwelling (refer to **BedRoom** and **MainAcc/TypeAcc**).

If a Local Authority (LA) did not submit figures here's what to do.

First identify which region the LA is in. The CIPFA book groups counties/districts/Unitary Authorities (UA) by region. Examples: Islington is under London, which is itself in the South East region. Gateshead is under Tyne and Wear, which is in the North Region. Colchester is under Essex, which is in South East Region. The unitary authorities are listed separately next to their region, eg Bristol is under Avon, but it is Bristol which appears in South West region.

Second, look up the region in the tables on pages 4&5. This gives average rent figures for different dwelling types in each region. For some regions you need to know whether the LA is a metropolitan or non-metropolitan district. In the main tables, each county or district is grouped, eg Gateshead is in Tyne and Wear district, which comes under the Metropolitan Districts heading, whereas Colchester is in Essex which comes under the Non-metropolitan districts heading. All London LAs are in a Metropolitan district. For some of the English UAs it isn't possible to determine whether they are metropolitan or not (eg Kingston Upon Hull), in which case use the 'All Authorities' average rent figure for the region.

2. Rent partly for business

If it is 'dk' because it is partly for business (**RentDK=1**), use any information given in an interviewer note to impute the rent for the private accommodation only. In such cases do not abate according to the number of rooms used for business. If insufficient information, impute from CIPFA tables (excluding the rooms used for business) - see instructions above.

3. Services included in rent

The general term 'rent' may cover rent only or it may include a combination of water/ sewerage rates and various other services.

3.1 The 'rent only' situation usually applies to tenants living in housing association accommodation or privately rented accommodation where water/sewerage rates/other services are paid separately from the rent. The 'rent, water/sewerage rates/other services' situation usually applies to local authority tenants.

3.2 The amount which should be entered at **Rent** is the total 'rent' paid after any rebate. This total therefore will not only include rent but it should also include water/sewerage rates and other services if these are normally included in the 'rent'. There is a check in the

interview program that the amount entered for rent is at least equal to the amount included in it for water/sewerage.

4. If the 'rent' shown at **Rent** was before deduction of the rent rebate and the respondent does not know the amount of housing benefit they receive, ie. if **HBenChk=DK** or '**ref**', DO NOT ABATE THE RENT.

5. *Rent and Council tax*

Rent should NOT include any amount for Council Tax (or, in Scotland, Domestic Water Charge [DWC] or Domestic Sewerage Charge [DSC]). In some rented accommodation (eg a house divided into bedsits which don't have separate addresses) the landlord may be responsible for paying the council tax/DWC/DSC and may increase the rent to recover it. This is not the same as saying that the rent *includes* council tax/DWC/DSC.

If an interviewer notes that rent 'includes' council tax, **CTBand** ought to be coded 9 - not valued separately. If a council tax payment is entered at **CTAmt**, refer to supervisor.

6. If the interviewer has noted that the 'rent' includes an element for a garage, whether on the premises or for a garage elsewhere, ACCEPT at this question.

HBenAmt

For Local Authority tenants only, if 'dk', 'refuse' or blank, IMPUTE value from **CIPFA** tables or the Scottish rents list, as for **Rent** above, deducting the amount of rent paid, if any. If Income Support or Income-based Jobseeker's Allowance is received the respondent will be eligible for 100% housing benefit.

If the household is 'shared' (Code 2 at **HHStat**), any housing benefit will be paid to individual benefit units. For HoH (and partner) this is at **HBenAmt**, for the other Benefit Units it will be at **HBothAmt** in their specific Benefit Unit schedule. If any of these benefit units receive HB but the amount is missing, determine the rent from CIPFA, deduct any rent paid by anyone in the household, then deduct any known amount of HB received by any BUs in the household, then divide the remainder between any BUs which receive HB but the amount is missing.

Block OOwner - Mortgages

MortLeft

The edit program warns if **MortLeft** is inconsistent with any amounts borrowed (including remortgage or top-up) and the type of mortgage. SUPPRESS this warning unless it is clear that one or more values are incorrect by a factor of 10, in which case adjust the amount at **MortLeft**.

MorInPay

1. If the interest payment is paid direct by the DWP then it should be accepted at this question if the later question **OutsIncl** = Yes (meaning that the DWP's payment at **OutsAmt** was included in the amount at **MorInPay**). If **OutsIncl** = No, the DWP payment should not be included in **MorInPay**.

It should also be included in the Income Support or Jobseeker's Allowance received at the relevant **BenAmt**, and at **GovPay/GovAmt**.

This is all checked in the interview, but read any interviewer notes carefully.

2. If the interest payment is paid **direct** by someone outside the household, other than the DWP then **MorInPay** should only cover any payment actually made by the respondent. The payment made direct should be entered at **OutsAmt**, and **OutsIncl** should = No.
3. If the last interest payment includes arrears, accept the actual amount given.

IntPrPay

1. If the interest payment is paid direct by the DWP then it should be accepted at this question if the later question **OutsIncl** = Yes (meaning that the DWP's payment at **OutsAmt** was included in the amount at **IntPrPay**). If **OutsIncl** = No, the DWP payment should not be included in **IntPrPay**.

It should also be included in the Income Support or Jobseeker's Allowance received at the relevant **BenAmt**, and at **GovPay/GovAmt**.

This is all checked in the interview, but read any interviewer notes carefully.

2. If the interest payment is paid **direct** by someone outside the household, other than the DWP then **IntPrPay** should only cover any payment actually made by the respondent.

The payment made direct should be entered at **OutsAmt**, and **OutsIncl** should = No.

3. If the repayment of the principal/capital element has been waived because the person has become unemployed, redundant etc., but the interest element is still being paid then this should be treated as an 'interest-only' mortgage and the payments transferred to **MorInPay**.

IncMPAmt

If 'dk', refusal or missing: Check what the policy/ies cover at **MPCover** and impute the premium(s) as follows. If there are separate policies each premium is recorded separately.

Death only policies:

impute 6.5% of the mortgage payment at **MorInPay** or **IntPrPay**

Redundancy and/or sickness policies:

impute 6.5% of the mortgage payment at **MorInPay** or **IntPrPay**

Combined death, redundancy and/or sickness:

impute 13% of the mortgage payment at **MorInPay** or **IntPrPay**

If this, or any of these, payment(s) (supplied or imputed) was included in the last mortgage payment, or in the last contribution to an endowment policy or other payment plan, ie. **IncMP** is **1**, DO NOT DEDUCT THIS AMOUNT FROM **MorInPay** or **IntPrPay**, or **MenPolAm**.

OutsMort to OutsIncl

These questions refer to mortgage payments made by someone outside the household. See the previous edit instructions at **MorInPay** and **IntPrPay**.

Block OCounTax - Council tax

CTBand

If 'dk', refusal or blank, the band should be obtained from the Local Authority in which the address lies. If the LA is unable to tell you the band, leave the answer as it was, unless there is evidence that the accommodation is not valued separately for council tax (eg bedsits), in which case recode to '9'. This should have been checked in the interview, so read any interviewer note carefully.

Appeals

If an appeal has been lodged against the Council Tax band valuation, interviewers have been instructed to make notes for the factsheets.

If the appeal is still pending enter the band on **the original bill**.

If the appeal has been settled and an amended bill received enter the band on **the new bill**.

CTLVChk

If disablement relief has been allowed, the council tax *bill* is applied to the band below the one at which the property was originally valued. For DWP, **CTBand** should show the band at which the property was originally valued, so if the band at **CTBand** is the *lower* one, **CTBand** should be changed to the next band up (eg from 'C' to 'D') and this question changed to code 2, 'before'. If you have obtained the band from the LA, ensure that this is coded 2.

Make sure that any imputations of council tax payments (**CTAmt**, **CWatAmt**, **CSewAmt**) or benefit (**CTRebAmt**) are based on figures for the band lower than the one at **CTBand**.

CTAmt

Interviewers should be recording the last council tax payment made, even if this is from the previous year (ie 2001-2002). For consistency, all the information in the council tax section should relate to the same year, so if a bill for the new year has been received but no payment has yet been made, all details recorded should relate to the previous year, even if no bill from that year was consulted. The exception to this is if the household has never paid any council tax for this address, so if they have just moved in, 0 is acceptable. See also instructions relating to **WhyNoCT**.

If 'dk' is entered and the CT band is known, impute the set charge for the band in the local authority, deducting first any status discount which applies (see **CTDisc** and **CT25D50D**)

and secondly any council tax benefit allowed (see **CTRebAmt**), making sure the amount is consistent with the frequency of payment at **CTInstal/CTTime**. The set charge is shown in the text of the check for English and Welsh addresses, and in the display screen **CTChk** at the end of the section. For Scottish addresses - see instruction below. If the respondent receives Income Support or Income-based Jobseeker's Allowance, they will be eligible for 100% benefit, so enter 0 here (except when the address is in Scotland - see below). If benefit is received but the amount is not known, and the respondent is not eligible for 100% benefit, do not impute **CTAmt**.

If the bill was reduced because there is a disabled person in the household (**CTLVBand** = Yes), make sure that any imputations done are based on figures for the band lower than the one at **CTBand**. The set charge displayed at **CTChk** will be the correct one, ie for the lower band.

Scotland:

Note that in Scotland Domestic Water Charge and Domestic Sewerage Charge should be included at **CTAmt**. No council tax *benefit* applies to these charges, so there should virtually always be a payment at **CTAmt**, even if the respondent receives 100% benefit. The DWC and DSC can have a *status discount*. At **CWatAmt** and **CSewAmt** the program auto-imputes those charges after applying any discount. So you can refer to those 2 questions when imputing **CTAmt**. In summary:

- If no CT benefit is received, impute the annual Council Tax including DWC and DSC, from the 'Annual Set Charge' shown at **CTChk** (but after deducting any status discount).
- If less than 100% CT Benefit is received (and the amount of benefit is given), impute the annual Council Tax as described above, but less the amount of benefit received.
- If 100% CT Benefit is received, as should be the case for recipients of Income Support or Income-based JSA, impute the total amount of the DWC and DSC charges only, by adding together the amounts shown at **CWatAmt** and **CSewAmt**.
- If benefit is received but the amount is not known, do not impute **CTAmt**.

If an appeal is still pending accept the last payment made under the original (or previous) bill. If no payment has been made for this address 0 should be entered.

If an appeal has been settled and an amended bill received but not yet paid. Details from the previous bill (or year) should have been recorded. Accept these details.

CTTime

If **CTAmt** multiplied by **CTTime** equals an amount more than the highest charge set for that band anywhere in Great Britain a check will trigger. There should be an interviewer note in such cases. Similarly there is a check if the amount is less than the lowest set charge anywhere in the country.

In cases where the bill or statement was consulted and more than one instalment is paid per year, there is a later question (**CTAnnual**) asking for the annual amount payable on the bill. In such cases leave **CTAmt** and **CTTime** as they are, unless the note does not offer a plausible explanation.

In cases where no bill was consulted, **CTAnnual** is not asked. Check the suggested annual payment figure resulting from **CTAmt** * **CTTime** against the annual charge shown at **CTChk**, accounting for any status discount or benefit. If it (plus discount and benefit) exceeds the set charge for the LA by 5%, refer the case to the supervisor or Research.

If there is no note, or the note does not clarify the situation, refer to supervisor or Research. Refer also to the display of council tax details at the end of the block.

CWatAmt

CWatAmt is the final amount for water charge actually paid by this household, after accounting for any status discount. For various reasons it is imputed by the program from the answer given by the interviewer or from a look-up table of charges.

Normally no action is needed from the editor. The question **CWatAmt1** is only on route in the interview if a document is consulted. The figure entered there by the interviewer is copied by the program to **OrgWatAmt**. If dk or refused, the program displays **OrgWatAmt** from a lookup table. The program then copies this to **CWatAmt** after applying any status discount.

When no document was consulted, the program displays the looked up amount at **OrgWatAmt** and copies it to **CWatAmt** after applying any status discount.

Editors can amend **OrgWatAmt** if necessary, eg. there is a note about special circumstances.

CSewAmt

CSewAmt is the final amount for water charge actually paid by this household, after accounting for any status discount. For various reasons it is imputed by the editor from the answer given by the interviewer or from a look-up table of charges.

Again, no action is normally needed from the editor. The question **CSewAmt1** is only on route in the interview if a document is consulted. The figure entered there by the interviewer is copied by the program to **OrgSewAmt**. If dk or refused, the program displays **OrgSewAmt** from a lookup table and then copies this to **CSewAmt** after applying any status discount.

When no document was consulted, the program displays the looked up amount at **OrgSewAmt** and copies this to **CSewAmt** after applying any status discount.

Editors can amend **OrgSewAmt** if necessary, eg. there is a note about special circumstances.

CTRebAmt

When **CTRebAmt** is DK, the amount of the benefit may be calculated as follows:-

1. Check which band the property is in at **CTBand**. If in Band A to E, follow steps 2 to 5. If in Band F to H, follow step 6.
2. Look up the set charge for the relevant band for the LA at **CTChk**. (In Scotland this should be the amount excluding Domestic Water and Sewerage Charges, as no benefit is allowed for them). If the bill is reduced because there is a disabled person at **CTLVBand**, use the figure for the band one lower than that at **CTBand**.
3. Reduce amount payable by 25% or 50% for any status discount if shown at **CT25D50D**.
4. Deduct any payment made (**CTAmt** x **CTTime**, or **CTAnnual** if shown).
5. Enter the remainder as benefit at **CTRebAmt**, adjusting for any period code differences.
6. **Properties in Bands F, G and H:** Council tax benefit for people living in properties in these bands will be limited to that for Band E, if a new claim began after 1 April 1998. If you need to impute an amount for **CTRebAmt**, work out whether the household was living at this address before April 1998 from the answers at **YearLive/MonLive**. Then:
 - Assume the benefit is limited to that for Band E if:
 - the household moved to this address in April 1998 or later; *or*
 - the number of weeks that any Housing Benefit (see **HBWeeks**) or Income Support or Income Based JSA has been received (see **JSAWeeks / ISWeeks**) is less than the number of weeks from April 1998 to the interview date; *or*
 - any interviewer note states when the claim began or that there was a break of less than 12 weeks since a claim that existed before April 1998. In such cases, to impute the amount of council tax paid or benefit received, follow the usual steps 2-5 above *but use the set charge for Band E* in that LA, not for the band at **CTBand**.
 - Otherwise assume the benefit is NOT limited to that for Band E, and follow the usual steps 2-5 above.

If an appeal is pending.. details of any benefit should refer to the original bill only.

If an appeal has been settled and a new bill received.. enter the revised annual benefit if it is 100%. If less than 100% benefit is allowed, calculate the amount as above - the amounts entered should all refer to *either* the new bill, if a payment relating to it has been made, *or* to the previous bill, if no payment has been made relating to it.

Other Rebates

If a respondent has qualified for a 'second adult rebate' the maximum rebate will be 25%.

If **CTRebAmt** x **CTRebPd** is greater than the highest charge set for the appropriate band in any LA in Great Britain, check that at **CTRebPd** a period code, as opposed to a number of times per year, has been entered. Also check that the sum of council tax payment, benefit and reduction, converted to annual amounts, and accounting for discounts/relief, does not exceed the set charge on the imputation table by more than 5%. If unable to resolve problem, refer to supervisor/Research.

WhyNoCt

If **WhyNoCt** = 5 'exempt from Council Tax'

All cases where a respondent has claimed that they are exempt from the Council Tax will trigger a soft check. A complete exemption from the Council Tax is relatively rare and the circumstances of the household should be checked against the definitions of exemptions. If the household does not appear to be eligible the code should be changed to one of the others if possible - if unsure, refer to supervisor.

If coded 6,'other reason', there should be an interviewer note. *If it suggests that one of the other codes at this question is appropriate, or if **CTBand** should be coded 9 because the accommodation is not valued separately (for example 'landlord pays' or 'included in rent'), amend accordingly.* If deductions are made from pay to cover council tax, as is the case with Church of England clergy, these should be entered as payments at **CTAmt**.

CTDisc & CT25D50

Editing action may be taken if there is a DK/refusal at either question. A single adult household will be eligible for a 25% discount. Additionally, if the respondent claims to be receiving a 50% discount a soft check is triggered and the circumstances of the household should be checked.

To check the status of household members refer to the following questions:-

Students/still at school.....	HHG.FtEd=1 or TEA = 96 / QEduc.AnyEd (BU)
Severely mentally impaired...	this may be given in notes at the block QCares.
	NeedHelp
Student Nurses/Apprentices...	QJobDes. Title
Youth Training trainees	QCurst. Train = 1

Carers

QCares. GiveHelp = 1 & Freq = 1
Only if the person is caring
for a non-relative

CTChk

At the end of the council tax questions a display screen summarises the details.

1. Local Authority code
2. CTBand.
3. The annual set charge for the address, based on the LA name and CTBand, picked up from a 'lookup file' (an external spreadsheet). In Scotland this will include the domestic water and sewerage charges.
4. For Scottish areas only: the annual set charge excluding domestic water and sewerage charges, also from the lookup file.
5. The annual payment made by the respondent (**CTAmt** [multiplied by **CTTime** if more than one instalment is paid]; or **CTAnnual** if a document was consulted.)
6. Status discount applicable: none/25%/50%.
7. Annual benefit received (**CTRebAmt * CTRebPd**).
8. The expected annual set charge worked out from the respondent's answers (5.+ 7, plus a percentage of this total to account for status discount if applicable)

The display will be made in all cases, but if no document was consulted a check will direct you to examine the details, particularly comparing the annual charge set by the LA (3. above) with the annual set charge as derived from the answers given (8. above). In theory these should be similar (differing by no more than 8%). There will be circumstances where the amounts differ legitimately, eg if arrears are being paid, or the bill was reduced to rectify an overpayment in previous years. Review any notes made by the interviewer. If the details seem to be correct, take no action. If in doubt, refer to supervisor.

Block OWaterSew

WaterPay/SewerPay

If someone outside the household, other than an employer or the DWP, pays the water and/or sewerage direct to the Water Authority **WaterPay** and/or **SewerPay** should be coded 'no'. If a note states that they are paid by DWP, the amount should be entered here; check that it is also entered at **GovPay/GovAmt** in the benefit unit schedule.

If the respondent pays their water or sewerage annually and the annual payment (**WatAnul/SewAnul**) does not correspond to the total of the individual payments within a

£25 range either side (**WatTime** x **WatAmt** does not = **WatAnul**, or **SewTime** x **SewAmt** does not = **SewAnul**), please refer the matter to your supervisor checking for any interviewer note.

Block OPolicies

NumPols

If mentioned in any interviewer note, exclude here any mortgage protection policies designed to repay the mortgage in the event of sickness or redundancy. These should be covered in the mortgage block.

Block QCare

GiveHelp/QNeedPer

The questionnaire can only deal with the household as a whole giving help to one person in any of the non-household member categories of **QNeedPer** (codes 15 to 22) - that is, for example, to one neighbour. There are though two separate codes for parents outside the household. If a note draws your attention to the fact that household members (either individually or collectively) provide help to more than one person in any one of the categories - eg to two neighbours - try to aggregate the answers where possible, using information given by the interviewer. If different household members do the caring, code them both/all at **WhoLook**. Code **Freq** to the highest value that applies to any of the recipients. If in any doubt, refer to supervisor or research.

BENEFIT UNIT SCHEDULE

Block QEduc - Education, Grants and Loans

AccAmt/AccPd

Only regular Access Fund payments should be recorded here. If the period code is 'one-off/lump sum' delete **AccAmt** and recode **Access** to 'no'.

Block QJobDes - Employment details

Nature

If coded 2, check that the job description confirms the respondent is a doctor or dentist *working in a practice*. If so, **EType** ought to be coded as self-employed - one of codes 2-7. If the respondent is actually not a doctor or a dentist in a practice, change to code 3 - 'all other jobs'. Before recoding however, check that the respondent does not currently belong to an employer's pension scheme at **EmpPay**. (If he/she does, refer to Research).

Block QEmpJob - Employee pay details

PayAmt

- 1 If 'dk' or 'ref' and **GrWage** is given, impute using the Calculation of Net Salary from Gross Salary Excel spreadsheet. If **PayDat** is before 5 April 2002 use the previous version of the spreadsheet.
- 2 If an interviewer's note indicates that the informant is employed in the UK but paid in foreign currency then any values for pay and deductions in foreign currencies should be converted to sterling using the exchange rate applicable to the date on which the pay was received.

Look up the appropriate issue of the **Financial Times** (www.ft.com) and CONVERT accordingly.

- 3 If '0' is entered, a check will be triggered. There should be an interviewer note to explain. If the job is normally unpaid, it should be deleted, by changing **Working** to 'no' or reducing **NumJob**. If in any doubt, refer to supervisor/Research.

PayPd

This should be the actual period covered by the last pay, which is not necessarily the usual one. For example, if an interviewer's note indicates that the informant received 3 weeks wages in 1 week which included 2 weeks holiday pay, then **PayPd** should be 3.

Note that pay periods of less than 1 week should be coded as equal to 1 week.

RECODE, if necessary, as described above

PAYE

If 'dk' or 'ref' and **GrWage** is given, impute using the Calculation of Net Salary from Gross Salary Excel spreadsheet. If **PayDat** is before 5 April 2002, use the previous version of the spreadsheet.

If 'dk' or 'ref' and **GrWage** is not given but **PayAmt** is given, impute using the Calculation of Gross Salary from Net Salary Excel spreadsheet. If **PayDat** is before 5 April 2002, use the previous version of the spreadsheet.

OTHERWISE ACCEPT 'dk' or 'ref'

NatIns

If **GrWage** is given but **PAYE** is not given, impute using the Calculation Of Net Salary From Gross Salary Excel spreadsheet. If **PayDat** is before 5 April 2002 use the previous version of the spreadsheet.

If **GrWage** is not given but **PayAmt** is given, impute using the Calculation of Gross Salary From Net Salary Excel spreadsheet. If **PayDat** is before 5 April 2002 use the previous version of the spreadsheet.

OTHERWISE ACCEPT 'dk' or 'ref'.

Deduc

The edit program accepts 'dk's and 'ref's for these variables so the following instructions will only be carried out if you are browsing in response to an interviewer's note or another imputation.

If **OthDed** is coded **1**: Superannuation (ie Pension) but **Deduc** is 'dk' or 'ref':

Check which type of pension scheme the respondent is in at **EPTYPE**, in the pension schemes section. Then

EITHER IMPUTE as **6%** of **GrWage**, if given or imputed, if **EPTYPE**=1
BUT use **1.5%**, if **EPTYPE**=2 (eg for civil servants
(widow's pen))
OR IMPUTE as **8%** of **PayAmt**, if given or imputed, if **EPTYPE**=1
BUT use **2%**, if **EPTYPE**=2
OTHERWISE ACCEPT 'dk' or 'ref'

If **OthDed** code **3**: Union Fees but **Deduc** is 'dk' or 'ref'

IMPUTE as **2.00** per week (if **PayPd** is **1**)
or **8.00** per month (if **PayPd** is **5**)
or approx equivalents for other **PayPds**

ACCEPT any other 'dk's and 'ref's

DedOth

If an interviewer's note itemises the contributions to **DedOth** and any are in the following categories:

Benevolent Fund (unless charity)	Burial Club
Benedon Healthcare Society (formerly Post Office and Civil Service Sanatorium)	
Death Levy	Family Service Unit
Fireman's Benevolent Fund	Hospital Saturday Club
Hospital Savings Assocn (H.S.A.)	Medical Aid
Mutual Aid	Oddfellows

These are 'friendly societies' so SUBTRACT their values from **DedOth** (if this leaves nothing there then REMOVE the '9' from **OthDed**) and ADD them to the 4th **Deduc** (INSERTING a '4' at **OthDed** if required).

Note: Workers who periodically work away from home (eg. armed forces, merchant navy, oil-rig workers)

If an interviewer's note indicates that such a worker has made an allowance to their spouse which is shown as a **Deduc** on their payslip and the informant is at home at the time of the interview then the total pay, including this allowance, should be shown at **PayAmt**.

ADD the value of the allowance to **PayAmt** and DEDUCT the allowance from the value of **DedOth** (if this was the only component of the 'type-9' deduction, REMOVE the '9-' from **OthDed**).

GrWage

If 'dk' or 'ref' CHANGE **PaySlip** to 3 (even if all components have been quoted or imputed).

If the sum of **PayAmt**, **PAYE**, **NatIns**, all the **Deducs** and **DedOth** is different from **GrWage**, check whether a tax refund or tax credits have been received - code 3 and Code 6 at **InclPay**.

If the discrepancy is due to a tax refund, refer to the amount at **TaxAmt** and the instructions at **GrWage**; add the amount of the refund to **GrWage**. Otherwise refer to supervisor.

If no tax refund and the difference is less than 10%, then AMEND the value of **GrWage**.

If the difference is equal to or more than 10%, refer to supervisor who will make an ad-hoc decision either to AMEND **GrWage** or CHANGE **Payslip** to 3.

If the discrepancy is due to the receipt of tax credits, the difference should correspond to the amount recorded at **WFTCAmt/DPTCAmt**.

HOWEVER If the discrepancy is within £1 of values for either **MileAmt** or **MotAmt** or both, AMEND **PayAmt**.

UNett

If 'dk' or 'ref' and **UGross** is given, impute using the Calculation Of Net Salary From Gross Salary Excel spreadsheet. If **PayDat** is before 5 April 2002 use the previous version of the spreadsheet.

IF BOTH **UNett** and **UGross** are 'dk' or 'ref' NOTHING CAN BE DONE

UGross

If 'dk' or 'ref' and **UNett** is given, impute using the Calculation Of Gross Salary From Net Salary Excel spreadsheet. If **PayDat** is before 5 April 2002 use the previous version of the spreadsheet.

Bonus

Note: Money received by a minister of religion for carrying out a wedding, funeral, etc. should be shown as a bonus but only if the minister is an employee. All such bonuses should be lumped together and put in one **BonAmt**.

If an interviewer's note draws attention to this money and the minister is self-employed, the money should be shown as part of his/her profit at **Profit1** provided that he/she retains it.

If an informant has a main and subsidiary job with the same employer, DO NOT attempt to apportion the deductions between the two jobs but DO CONVERT any 'dk's and 'ref's in the subsidiary job to **0.00**.

Block OSelfJob - Self-employed earnings

General Notes on Self-employment

Occasional letting or sub-letting of rooms

Informants who deal in the occasional letting or sub-letting of rooms must be treated according to the merits of the case. Generally, if occasional lets are regarded by the informant as a business, they should be accepted as such and the information entered at the self-employed questions.

Any money received for a wedding/funeral etc. by a minister of religion should be entered here as an annual amount if the informant is self-employed.

Business start-up schemes

Informants on a business start-up scheme should be coded as self-employed at **EmpStat**. If, after excluding the allowance, the informant does not make a profit, refer to supervisor.

Soft Check: No income from self-employed main job

The program will trigger a check if there is no profit, money drawn or regular income from a main job. Check any interviewer notes. If there is nothing to suggest a profit was made or any other income from this job, suppress the warning. If in doubt, refer to supervisor or Research.

NIDAmt

If 'dk' or 'ref' or value deviates from standard rate (the program allows some leeway to allow for monthly direct debit variations), impute £2.00 per week (standard Class 2 contribution).

SeNIRAmt

If '**dk**' or '**ref**' or value deviates from standard rate (the program allows some leeway to allow for monthly direct debit variations), impute £2.00 per week (standard Class 2 contribution).

SeNIAMt

Class 4 NI payment included in tax payment: If '**dk**' or '**ref**', LEAVE.

SeNiLAMt

Class 4 NI paid separately:

Class 4 contributions are payable at a rate of 7% of profits or gains between **£4,615** and **£30,420** per year.

If **SeNILump** is 1 and **SeNiLAMt** is '**dk**' or '**ref**' IMPUTE **SeNiLAMt** from **Profit1** as follows:

- 1 if **Profit1** is less than £4,615, ENTER **£0.00**
- 2 if **Profit1** is between £4,615 and £30,420, calculate **SeNiLAMt** as:
$$\text{£ } [\text{Profit1} - 4,615] \times 0.07$$
 and ENTER
- 3 if **Profit1** is more than £30,420 ENTER **£1806**

If **Profit2** =2 (ie a loss was made), enter 0.00.

Block Otravel

OthDate

Use the answer here to recode **PssDate** to one of codes 1 to 7. The interviewer should either have entered the number of days, weeks or months covered, or the start and end dates - in which case calculate the number of weeks / months / years covered. Adjust the amount paid at **PssAmt** proportionately to match the new period.

Block QBenefit - State and other Benefits

GENERAL NOTES ON STATE BENEFITS

The questions in the benefit block are designed so that information is recorded in a thorough and methodical way. Consultation of documentary evidence (order books, letters from DWP, bank statements, payment card receipts) whenever possible should mean that problems are resolved in the interview.

However documents will not always be consulted, or it may be difficult for the interviewer or respondent to interpret the information, in which case more action at the edit stage may be necessary.

When the interviewer has been unable to resolve a problem or has suppressed a check, there should be a note. Use these notes alongside the specific edit instruction for the question, if any. In general, suppress the warning unless from other information you can confidently impute or correct an answer.

Benefits paid in combination

When two or more benefits are paid in combination but the component amounts cannot be identified, a 'don't know' should have been entered at each of the **BenAmt** questions concerned, and **BenAmtDK** should be coded '1'. A check will alert you to the fact that a combined amount should be split if possible. There should be an interviewer note about each benefit concerned, naming the benefits paid in combination and the total amount received and period covered.

Only impute a value at the **BenAmt** questions if at least one of them is paid at a rate (or rates) which can confidently be determined. Firstly follow the rules set out for each individual benefit. If one or more benefit rates can be determined, enter it at the appropriate **BenAmt(s)**. The remainder from the combined amount should be entered at the **BenAmt** for the other benefit. If both (or all) are means tested, or it is otherwise not possible to determine the rate, leave both/all as 'dks'. In such cases the total amount received for all the benefits concerned should be entered in the variable **CombAmt** which appears at the end of the benefits section. If in any doubt, leave and refer to supervisor.

The benefits for which you should not attempt to determine the rate, except as a remainder from a combined amount, are:

- Retirement Pension,
- Income Support,
- Income-based Jobseeker's Allowance,
- Widow's Pension,
- Widowed Mother's Allowance,
- Bereavement Allowance,
- Widowed Parents' Allowance,
- Invalid Care Allowance,
- Incapacity Benefit,
- War Disablement Pension
- War Widow's Pension

Sometimes there may be some doubt as to which benefits are in combination, or whether for example the lower or higher rate is received. This particularly applies to DLA. One option is to see if the combined amount appears in the table below. If so, you will know which benefits are received and can then ensure the correct benefits are coded and impute the rates in the normal way. You can also use it to check rounded amounts or amounts which are very close to the one given. If the amount appears for more than combination, decide if possible which one applies or is more likely.

Combined Amount	Benefit Combination
£29.80	DLA Care (low) + DLA mobility (low)
£47.40	DLA Care (low) + Contrib-JSA (age under 18) DLA Mob (low) + Contrib - JSA (age under 18)
£52.55	DLA Mob (low) + DLA care (middle)
£54.20	DLA Mob (high) + DLA care (low)
£57.60	DLA Care (low) + Contrib-JSA (age 18-24) DLA Mob (low) + Contrib - JSA (age 18-24)
£68.85	DLA Care (low) + Contrib - JSA (age 25 plus) DLA Mob (low) + Contrib - JSA (age 25 plus)
£70.15	DLA Care (middle) + Contrib - JSA (age under 18)
£71.15	DLA Mob (low) + DLA care (high)
£71.80	DLA Mob (high) + Contrib - JSA (age under 18)
£76.95	DLA Care (middle) + DLA Mob (high)
£80.35	DLA Care (middle) + Contrib - JSA (age 18-24)
£82.00	DLA Mob (high) + Contrib - JSA (age 18-24)
£88.75	DLA Care (high) + Contrib - JSA (age under 18)
£91.60	DLA Care (middle) + Contrib - JSA (age 25 plus)
£93.25	DLA Mob (high) + Contrib - JSA (age 25 plus)
£95.55	DLA Care (high) + DLA Mob (high)
£98.95	DLA Care (high) + Contrib - JSA (age 18-24)
£110.20	DLA Care (high) + Contrib - JSA (age 25 plus)

The table at Appendix B shows which benefits it is possible or not possible to be received by one person. Note that it does not include JSA or Incapacity Benefit.

Documentary evidence

When an order book or statement is consulted the interviewer will be prompted to ensure that all benefits paid on the same book/statement are recorded at the **BenQ** questions. Note that both (or all) **CombBk** questions for the benefits paid on the same order book should be coded 1. Code 2 should be entered when only one benefit is paid on a particular order book.

The table below shows which benefits are paid on which order book numbers. This might be useful in determining which benefit is received, for example if there is any doubt due to an amount you are checking being the same as that for another benefit, or doubt over which benefits are received in combination.

ORDER BOOK NUMBER	BENEFITS
5	Child Benefit Guardian's Allowance
6	War Pension
7	Disability Living Allowance
10	Income Support with Attendance Allowance or DLA Retirement Pension with Income Support and combined Attendance Allowance where payable Non-contributory Retirement Pension with Income Support and combined Attendance Allowance were payable
11	Income Support
12	Industrial Injury Disablement and Death Benefits
13	Attendance Allowance only Invalid Care Allowance Maternity Allowance Child's special Allowance Retirement pension with Attendance Allowance Non-contributory Retirement pension with AA. Bereavement Allowance with AA/DLA where payable
14	Overall requirements – IS only, IS and Incapacity Benefit Earnings Top-Up Pilot Incapacity Benefit Attendance Allowance/DLA (with IB) Income Support with Incapacity Benefit
BB	Working Families Tax Credit
CC	Disabled Persons Tax Credit

Checks and interviewer notes

Certain checks may be triggered in the edit program. Some will have been previously triggered and suppressed in the interview, and ought to have an interviewer note attached to explain, confirm or give extra information to help you decide whether to amend, impute or leave the answer (in conjunction with the specific edit instructions). Other checks are only triggered in the edit program. Follow the edit instructions that relate to these.

If it is clear that an incorrect value is just the correct one with two digits transposed, CORRECT it. Alternatively, the value quoted may be enough to show that it is actually a different benefit, in which case TRANSFER it.

Imputing benefit rates

The instructions under each benefit heading outline the action to take if the amount is missing. Some benefit amounts should not be imputed, except if part of a combined amount and you can impute the amount for the other benefit. For a few specific benefits, when imputing a value from one of the tables you will need to choose the 'scenario' that applies to the specific *Benefit Unit*, not to the household. This means the number of children and whether there is a dependant adult. Where there are rates given for 'children', this means dependant children in that benefit unit, ie aged 16 or under, or 16-18 and still in full-time further education. Any child who makes up a benefit unit of their own should not be counted.

Dependant adult increase

For Severe Disablement Allowance (SDA) you need to identify whether there is a 'dependant adult' in the benefit unit, so that you can impute the higher rate of benefit which applies (either shown in the wording of the check or in the rates below). This is called 'adult dependency increase'. The extra benefit is paid to a respondent on whom their spouse/partner is dependent because s/he is on a low income. See the instructions below SDA on how to identify whether the adult dependency increase is likely to be received. If in doubt, refer to supervisor.

The rates shown are the 2002-2003 weekly rates. If the payment was made at the 2001-2002 rate, please refer to the benefit rate list or edit instructions for that year. If in doubt which rate or scenario applies, check with the supervisor.

◆ Instructions for benefits at **Ben1Q**

1: Child Benefit

If 'dk' or 'ref' or deviates from the set rates, ENTER the current value (in £ per week) from the table, using the scenario that applies to this benefit unit.

Note: Except in special circumstances, the Lone Parent Rate has not been available to new claimants since 1 July 1998. If the oldest child of a lone parent was born after that date, use the couple rate instead.

Child benefit	
Minimum amount	£15.75
Maximum amount	£91.40
Only, elder or eldest for whom child benefit is payable (couple)	£15.75
Only, elder or eldest for whom child benefit is payable (lone parent)	£17.55
Each subsequent child	£10.55
<u>Scenarios</u>	
Couple rates	
Couple with one child	£15.75
Couple with two children	£26.30
Couple with three children	£36.85
Couple with four children	£47.40
Couple with five children	£57.95
Couple with six children	£68.50
Couple with seven children	£79.05
Couple with eight children	£89.60
Lone parent rates	
Lone parent with one child	£17.55
Lone parent with two children	£28.10
Lone parent with three children	£38.65
Lone parent with four children	£49.20
Lone parent with five children	£59.75
Lone parent with six children	£70.30
Lone parent with seven children	£80.85
Lone parent with eight children	£91.40

2. Guardian's Allowance

if **'dk'** or **'ref'** ENTER **£9.65** for the only or eldest child of a couple (**£9.65** for the only or eldest child of a lone parent), plus **£11.35** per week for each other eligible child.

3: Invalid Care Allowance

Do not impute a value if **'dk'** or **'ref'**, and **BenAmtDK= 2**.

4: Retirement Pension (Nat Ins)/ Old Person's Pension

Do not impute a value if **'dk'** or **'ref'**, and **BenAmtDK= 2**.

The main warning message is that the total **BenAmt** did not tally with the sum of the components. The current policy is to SUPPRESS the warning.

5: Widow's Pension / Widowed Mother's Allowance / Bereavement Allowance / Widowed Parent's Allowance

For those respondents widowed after April 2001, Widow's Pension is no longer be payable, although existing widows will continue to receive it. Widow's Pension will be replaced by Bereavement Allowance. Similarly, Widowed Mother's Allowance was also be discontinued in April 2001 and superseded by Widowed Parent's Allowance.

Do not impute a value if **'dk'** or **'ref'**, if **BenAmtDK= 2**.

The main warning message is that the total **BenAmt** did not tally with the sum of the components. The current policy is to SUPPRESS the warning.

6: War Disablement Pension and War Widow's Pension

Do not impute a value if **'dk'** or **'ref'**, if **BenAmtDK =2**. If an interviewer's note states the known percentage rate of disability, inform Research of the details (case number, BU and person number, name of benefit and contents of interviewer note), which will then be passed to DWP.

7: Severe Disablement Allowance

If **'dk'** or **'ref'** IMPUTE one of the values shown in the check, depending on whether there is a dependant adult in the benefit unit. Impute the larger figure if the recipient has a spouse or

partner who is aged 60 or over, and NOT earning more than £52.35 per week (gross) from pay, self-employment or a pension (any of codes 1-4 at **AnyPen** and follow-up questions).

◆ Instructions for benefits at **Ben2Q**

1. Disability Living Allowance (care component)

The current values are (in £ per week)	highest	56.25
	middle	37.65
	lowest	14.90

• If **'dk'** or **'ref'**

but there is an interviewer's note as to which rate (higher, middle, lower) is being received, INSERT the appropriate amount.

• If amount deviates from one of the components for DLA (care):

first, check whether it is the same as the higher rate for DLA (mobility); if so, code DLA (mobility) at **Ben2Q**, and delete the code for DLA (care), then enter the details for DLA (mobility);

otherwise, impute the DLA (care) component closest to the amount entered.

2: Disability Living Allowance (mobility component)

The current values are (in £ per week)	higher	39.30
	lower	14.90

Motability is a registered charity through which persons who receive the mobility component may hire or purchase a car at a reduced rate. To be on the Motability Scheme, a person must be in receipt of the higher rate of DLA (mobility component).

The hire agreement lasts for 3 years after which the car is returned to the dealer. The rental covers maintenance and servicing but not insurance.

The purchase agreement, under which the car is bought on HP, takes 4 to 5 years. Maintenance, servicing and insurance are paid by the individual.

Either a part or the whole of the mobility component is paid to Motability. Informants making payments to Motability should be coded as receiving the mobility component. If an interviewer's note indicates that an informant is making such payments ENSURE that **Ben2Q** is coded **2**.

- If 'dk' or 'ref' but the interviewer has made a note that the subject is unable to walk or is severely restricted, or is in the Motability scheme, INSERT the **higher** rate; **OTHERWISE** INSERT the **lower** rate.

- If amount deviates from one of the components for DLA (mobility):
 first, check whether it is the same as the higher or middle rate for DLA (care); if so, code DLA (care) at **Ben2Q**, and delete the code for DLA (mobility), then enter the details for DLA (care);
 otherwise, impute the DLA (mobility) component closest to the amount entered.

3: Attendance Allowance

- If 'dk' or 'ref' but the person needs help day AND night (code 3 at **QCare.DayNight**), INSERT the **higher** rate (**£56.25**); if day OR night (code 1 or 2 at **DayNight**) INSERT the **lower** rate (**£37.65**).

◆ Instructions for benefits at **Ben3Q**

1: Jobseeker's Allowance

- Contribution-based (**JSAType=1**): if 'dk' or 'ref', impute according to the respondent's age:

under 18	£32.50
18 - 24	£42.70
25 or over	£53.95
- Income-based (**JSAType=2**): If 'dk' or 'ref', do not impute, if **BenAmtDK = 2**.

2: Income support

If 'dk' or 'ref', do not impute, if **BenAmtDK = 2**.

If a check states that the respondent is not in one of the usual groups of people eligible for IS, accept that s/he is on Income Support if an interviewer's note identifies them as being in one of the following exceptional groups who are eligible:

- People required to attend court;
- People appealing against a decision that they are not incapable of work;
- Refugees or asylum seekers learning English;
- Strikers or other people affected by trade disputes;

Asylum seekers and people from abroad claiming as an urgent cases while awaiting immigration status;
Disabled or deaf students;
People who are registered blind (code 1 at **QHealth.SpcReg**).

If they are not, change the benefit received at **Ben3Q** from Income Support to Income-based JSA, and transfer the amounts etc to JSA.

3: Incapacity Benefit
If '**dk**' or '**ref**', do not impute, if **BenAmtDK=2**.

4. Maternity Allowance

If '**dk**' or '**ref**' ENTER the appropriate rate:
- standard rate (now only one rate applies) of **£75.00**

5. Industrial Injury Disablement Benefit
If '**dk**' or '**ref**', do not impute, if **BenAmtDK=2**.

◆ Instructions for benefits at **Ben4Q**

Prior to April 2002, the Winter Fuel Payment category was collected at a question WintFuel. However in April 2002, a new question was introduced at Ben4Q to gather this information. This has resulted in some questions previously asked at **Ben5Q** now being included in **Ben4Q**.

Social Fund Maternity Grant

If '**dk**' or '**ref**', enter £300 for those born up to 16 June 2002, and £500 for those born after this date.

◆ Instructions for benefits at **Ben5Q**

Lone Parents Benefit

If '**dk**' or '**ref**', enter 2 x JSA

Code 6: Any National Insurance or State benefit not mentioned earlier

The state Christmas bonus should not be recorded. If it is mentioned at **OthName**, then delete it from Ben5Q.

CombBk

If any **CombBk=1** ('yes'), then more than one benefit is paid using the order book entered at the previous question **OrdBkNo**. It is possible that a combined benefit amount may need to be split,

so check the **BenAmt/BenAmtDK** questions for the benefits concerned, and refer to any interviewer notes.

Note that both (or all) **CombBk** s for the benefits paid on the same order book should be coded 1. If one of them is coded 2, recode it to 1. Code 2 should be entered when only one benefit is paid on a particular order book.

BenAmt

This question is asked for all benefits. See the instructions at the appropriate **BenQ** question above at which each benefit was coded, and the instructions relating to **BenAmtDK** (see below).

BenAmtDK

If coded 1, the interviewer was unable to separate a combined payment between the benefits it covered. Check the interviewer's notes and follow the earlier instructions regarding combined benefit amounts. In summary, these state that if you can impute one **BenAmt** by following the instructions for it above, do so, and enter the remainder from the total at the other **BenAmt**. If you are unable to impute amounts for either/any of the **BenAmt** questions, enter the total amount received for all the benefits concerned (which should be given in an interviewer note) at **CombAmt**, which is at the end of the benefits section, followed by the relevant period code. This will apply to combinations such as Retirement Pension and Income Support.

GovAmt

There are various checks comparing answers here with those in the household schedule about payments of rent or mortgage interest. If an interviewer's note draws your attention to this section MAKE A NOTE of any relevant amounts, quoted or imputed, from the **Household Schedule** and COMPARE with the total here. In simple cases it may be possible to REPLACE a 'dk' with the sum of these amounts. If in any doubt, refer to supervisor.

CombAmt/CombPd

If there are any combined benefit amounts which cannot be apportioned between the **BenAmt** questions for the benefits concerned, you should enter the total amount received (in £s and pence) for those benefits here, with the appropriate period code. These details ought to be in a note or notes made by the interviewer. If no total amount is given enter 'dk'. If in any doubt as to what to enter here, refer to supervisor.

Ben7Q

This question should only record *regular* income from any of these schemes. One-off/lump sum payments should be excluded. There is an interview check if the period code for an amount is 95 or 97. If the same check springs in the edit, there should be a note. If it is clear the amount it relates to was a one-off payment, it should be deleted (by removing the appropriate code from **Ben7Q**) but if you are in any doubt, refer to supervisor/Research.

Block QOIncA - Income from Pensions, Trusts, Royalties and Allowances

PTAmt

If **PenPay** is quoted but **PTAmt** is 'dk' or 'ref'
and **PTInc** is 2

IMPUTE as **PenPay** multiplied by 22/78. This corresponds to standard rate 22% tax having been deducted from the amount at **PenPay**.

but **PTInc** or **POinc** is 1

IMPUTE as **PenPay** multiplied by 22/100. This corresponds to 22% tax not having been deducted from the amount at **PenPay**.

Block QOIncB - Maintenance, Allowances, Other Income

OthTax

If 'yes' there should be an interviewer note describing a source of income elsewhere in the BU schedule on which it is possible for tax to be paid direct. It should be a current source, eg
income from pensions where tax is not deducted at source
investment income where tax is not deducted at source
rent from property
unearned income
- any other source of income

Tax on employee earnings not paid through PAYE may be covered here (eg demanded due to previous underpayment).

Exclude tax paid on self-employed income, this should be entered at **TaxDAmt** or **SeTaxAmt**.

Exclude National Insurance payments, these should be included at **SeNIAmt** or **SeNILAmt**.

Exclude Tax reserve certificates.

If there is no current source of income, assume the tax payment relates to a past situation but refer to supervisor before deleting the entry.

NIAmt

This question should only pick up contributions by the non-employed (Class 3).

If 'dk' or 'ref'

and the respondent is signed on at an Employment Service office/Jobcentre to get NI credits (**Claimant=3**)

CHANGE **NIReg** to 2

otherwise impute £6.85 per week.

Check that the correct period code has been entered with reference to any interviewer notes.

OddJob

Pools collectors should not be included here.

If, from an interviewer's note it is clear that the interviewer is referring to anything other than an odd job, baby-sitting or mail-order agent, TRANSFER the details to the relevant employment section.

If a note informs you that the respondent *worked* as a babysitter or as a mail order agent in the last 4 weeks but did not *receive the money* for it in that period (see **BabPay** and **MailPay**), the work should be deleted from **OddJob**.

Benefit Units Assets

These questions are included in order to enable DWP to estimate eligibility for certain benefits. To achieve this they need to study the personal holdings of certain types of assets. The purpose of these questions is to provide more detailed information on the current values of the assets held by informants but is only needed where the total value of the assets is between £1,500 and £20,000, as indicated at the question **TotSav**.

This is estimated to be a broad band in which people who may not be in receipt of benefits now may at some point in the future be eligible for e.g. Housing Benefit which allows a Benefit Unit to have total capital of up to £16,000. For some benefits there is a lower capital threshold, above which the amount of benefit may be 'tapered' or gradually reduced as the amount of savings increases; there is also an upper capital limit of £8,000. So the broad band has been split into narrower bands (£1,500-£3,000, £3,000-£8,000 and £8,000-£20,000). The effect of any future changes to these thresholds can be modelled.

Although it is true that people outside this Assets band might already be or in the future have need for benefits, the sample gained by the DWP using the £1,500 to £20,000 range is sufficiently large for analysis.

It is not sufficient to rely only on the respondent's estimate of the current value of certain individual investments, like stocks and shares or the various types of National Savings, as these might be out of date or otherwise inaccurate. Therefore it is the editors' role to ascertain the current value of these investments, using the Financial Times and other sources.

Joint accounts and other holdings should be dealt with in the same way as in the block **QAdint**, i.e. for each account apportion the amount held by the individual and enter that figure on the person's line.

Where the respondent has estimated that they are in the £1,500 to £3,000 band, the £3,000 to £8,000 band or the £8,000 to £20,000 band but later questioning shows that this is not the case, there is no need to adjust the response at **Totsav** or delete any later answers.

Current accounts are dealt with first, followed by all savings accounts, ISAs and TESSAs (coded at **Accounts**), then all stocks & shares, unit & investment trusts (at **Invests**), then each National Savings investments (at **Otinva**). Each account or investment is dealt with individually. It is important to record ALL accounts or investments currently held of EACH type that they said they had earlier.

Accounts

Current Account with bank, building society, supermarket/store or other organisation.

No imputation necessary

National Savings Bank (Post Office) – Ordinary Account

If a note from the interviewer indicates that this is in fact an ISA, please recode as an ISA at Accounts and delete NSB – Ordinary Account.

National Savings Bank (Post Office) – Investment Account

If a note from the interviewer indicates that this is in fact an ISA, please recode as an ISA at Accounts and delete NSB – Investment Account.

TESSA – Tax Exempt Special Savings Account

If a note from the interviewer indicates that this is in fact a TESSA- ISA, please recode as an ISA at Accounts and delete TESSA.

ISA – Individual Savings Account

There are three components to the ISA: cash, securities (stocks, shares unit trusts etc) and life insurance. These may be held together or separately in various ways. See question **Accounts** for further details. **ISAType** shows which components the person has. All types of ISA should be counted as ISAs: not as 'other' savings accounts (in the case of the cash component), TESSAs (in the case of TESSA-ISAs), stocks & shares (securities component)

or National Savings (National Savings ISAs) – if any note/description at questions on these other types of accounts/investments leads you to think that it is in fact an ISA, refer to supervisor before changing it to an ISA (you may need to go back to change the questions **Accounts**, **Invests** or **OtInvA**).

Life Insurance ISA's are not considered to be Liquid Assets by the DWP as they do not have a redeemable cash value. Whilst they are recorded at the question **ISAType** their composition should not be probed further. Any details of Life Assurance ISA's which have been collected further at **AccInt** and subsequent questions should be deleted. If in doubt, contact the supervisor.

Savings account, investment account/bond, any other account with a bank, building society, supermarket/store or other organisation

If a note from the interviewer indicates that this is in fact an ISA, please recode as an ISA at Accounts and delete other account.

Invests

Government Gilt Edged Stock

Interviewers should have collected the full name of the of the stock, including the interest rate and the period of the plan.

The method of imputation is to look up the name of the investment in the Financial Times or on their website (www.ft.com) for the Monday of the week in which the interview took place. The figure given for the investment should then be multiplied by the number of investments recorded at the variable **HowMany** to obtain the current value, and the imputed value recorded at the variable **Spare**.

Unit Trusts/Investment Trusts

Interviewers should have collected the full name of the of the Trust, the name of the company, the number of units held, and the current value of the investment (respondent's estimate).

Prior to imputation of the value of the unit trust, please contact your supervisor. The method of imputation is to look up the name of the investment in the Financial Times or on their website (www.ft.com) for the Monday of the week in which the interview took place. The figure given for the investment should then be multiplied by the number of investments recorded at the variable **HowMany** to obtain the current value and the imputed vale recorded at the variable **Spare**.

If it is clear that the Unit Trust is being held to repay a mortgage in much the same way as an endowment policy, delete it from this part of the benefit unit once you have checked it has been correctly recorded in the mortgage section of the household schedule (**MortType=4**).

Stocks, shares, bonds, debentures, other securities

Interviewers should have collected the full name of the security, the number of units held and the estimated current value.

The method of imputation is to look up the name of the investment in the Financial Times or on their website (www.ft.com) for the Monday of the week in which the interview took place. The figure given for the investment should then be multiplied by the number of investments recorded at the variable **HowMany** to obtain the current value and the imputed value recorded at the variable **Spare**.

PEP (Personal Equity Plan)

If it is clear that the PEP is being held to repay a mortgage in much the same way as an endowment policy, delete it from this part of the benefit unit once you have checked it has been correctly recorded in the mortgage section of the household schedule.

Profit Sharing

No imputation necessary

Company Share Option Plans

No imputation necessary

Member of Share Club

No imputation necessary

OtInvA (National Savings Investments)

National Savings Capital Bonds

Interviewers should have collected the original value of the bond, the month and year in which it was acquired, and the series number of the bond.

The method of imputation is to apply the gross compound interest applicable to the series of the bond across the 5 year duration. The appropriate interest can be found on the National Savings Summary chart, or on the National Savings website (www.nationalsavings.co.uk). Alternatively you may find it more useful to contact the National Savings Financial Adviser's helpline on 0845 971 5401 who will be able to calculate the current rate of the bond from the information the interviewer has collected.

The value of National Savings Capital Bonds will be between £100 and £250,000. Once you can ascertain the original value of the bond and the interest rate for that series, apply the rate as indicated in the example below.

Eg: Value of bond £100. Series Y giving 4.8% annually

Year 1 £100 x 4.8% = £104.80

Year 2 £104.80 x 4.8% = £109.83

Year 3 £109.83 x 4.8% = £115.10

Year 4 £115.10 x 4.8% = £120.62

Year 5 £120.62 x 4.8% = £126.41.

Index-Linked National Savings Certificates

Interviewers should have collected the total value of the certificate when the respondent acquired it, the month and year in which it was acquired, and the issue held.

The method of imputation is to firstly ascertain the current value of a £100 certificate by each month of issue since 1975 from a table in Money Facts (www.moneyfacts.co.uk) or from the National Savings website (www.nationalsavings.co.uk). Alternatively you may contact Pete Braj-Dyal at ONS (020 7533 5442) who will be able to provide you with the appropriate rate for the issue. Once this has been established, the actual value of the certificate can be calculated by multiplying the current value of the £100 certificate by the appropriate figure:

Eg: £500 certificate = current value of £100 certificate x 5.

Another option of course is to contact the National Savings Financial Adviser's helpline on 0845 971 5401 who will be able to provide you with the current value of the Certificate.

If the interviewer has not ascertained whether the National Savings Certificate is Index-Linked or Fixed Interest, assume it is Index-Linked if the issue date is 6/1975 or later and the issue number is 6th/6 or missing. Otherwise calculate the certificate as Fixed Interest.

Fixed Interest National Savings Certificates

Interviewers should have collected the total value of the certificate when the respondent acquired it, the month and year in which it was acquired, and the issue held. If the interviewer has not identified whether the certificate is index-linked or fixed interest, assume it to be fixed interest if the issue date is 1975 or earlier or the issue number is 7th/7 or higher.

Guidance on imputation to ascertain the value of the savings is to either contact the National Savings Financial Adviser's helpline on 0845 971 5401 who will be able to provide you with the current value, or to contact Pete Braj-Dyal at ONS (020 7533 5442) who will be able to provide you with the appropriate rate.

Pensioner's Guaranteed Income Bonds

No imputation necessary.

Save-as-you-Earn (Bank/Building Society/National Savings)

Interviewers should have collected information on whether the SAYE is a National Savings or bank or building society scheme, the issue number (if it is a National Savings scheme), when it was started, the amount paid last time, the period this covered, and the current value of the SAYE.

To impute the current value of the scheme, National Savings SAYEs taken up before 31 December 1993 are calculated at a compound interest of 8.86% for every 5 years held.

All National Savings SAYE options taken up in 1994, are calculated at a compound rate of 7.5%.

All National Savings SAYE options taken up beyond this date, ie January 1995, are calculated at a compound rate of 5.53%.

Eg

National Savings SAYE taken up in January 1994 with £20 paid monthly would be calculated as follows in July 2002:-

1996	$(20 \times 12) \times 1.055$
1997	$(1996 \text{ figure} + (20 \times 12)) \times 1.055$
1998	$(1997 \text{ figure} + (20 \times 12)) \times 1.055$
1999	$(1998 \text{ figure} + (20 \times 12)) \times 1.055$
2000	$(1999 \text{ figure} + (20 \times 12)) \times 1.055$
2001	$(2000 \text{ figure} + (20 \times 12)) \times 1.055$
2002	$(2001 \text{ figure} + (6 \times 12)) \times 1.055$

Non-National Savings SAYEs (ie those with a bank of building society) should be calculated at the following rates:

Schemes taken up before September 2001

3 year plan – 4.83%

5 year plan – 4.659%

7 year plan – 4.52%

Schemes from October 2001

3 year plan – 3.67%

5 year plan – 3.99%

7 year plan – 4.07%

For the purposes of imputation we assume that the monthly figure remains constant, and has not changed over the course of the SAYE.

Premium Bonds

No imputation required.

National Savings Income Bonds

No imputation required

National Savings Deposit Bonds

National Savings Deposit Bonds were withdrawn from sale in 1988. No imputation required.

FIRST Option Bonds

These went off sale on 21 October 1999, but can be kept and interest applied to them at the same rate as a 1 year Fixed Rate Savings Bond. No imputation is necessary. FIRST Option Bonds were replaced by Fixed Rate Savings Bonds. Please be certain to differentiate between the two.

Yearly Plan

No imputation necessary.

Fixed Rate Savings Bonds

Replaced FIRST Option Bonds on 21 October 1999. The interviewer should have collected the month and year of purchase, the issue, the value at the time of purchase and the length of bond (1, 3 or 5 years).

Guidance on imputation to ascertain the value of the savings is to either contact the National Savings Financial Adviser's helpline on 0845 971 5401 who will be able to provide you with the current value, or to contact Pete Braj-Dyal at ONS (020 7533 5442) who will be able to provide you with the appropriate rate.

APPENDIX A

AVERAGE RENTS IN SCOTLAND 2003-2004

AUTHORITY	2003-04 Average Weekly Rent (52 wkly un-rebated) (HRA- near actual)
Aberdeen	39.90
Aberdeenshire	38.12
Angus	35.72
Argyll & Bute	42.65
Clackmannanshire	38.80
Dumfries & Galloway	40.48
Dundee	43.42
East Ayrshire	38.27
East Dunbartonshire	42.58
East Lothian	35.92
East Renfrewshire	41.51
Edinburgh	48.23
Eilean Siar, Comhairle nan	44.07
Falkirk	41.10
Fife	38.94
Glasgow City	50.56
Highland	45.97
Inverclyde	48.97
Midlothian	31.57
Moray	33.18
North Ayrshire	36.77
North Lanarkshire	40.86
Orkney	38.64
Perth & Kinross	35.59
Renfrewshire	44.06
Scottish Borders	37.28
Shetland	49.51
South Ayrshire	38.38
South Lanarkshire	42.07
Stirling	39.22
West Dunbartonshire	39.69
West Lothian	45.13
SCOTLAND	42.36

APPENDIX B: BENEFITS WHICH MAY OR MAY NOT BE RECEIVED AT THE SAME TIME BY ONE PERSON

	CB	WFTC	GA	IS	AA	DLA C	DLA M	DPTC	ICA	IIDB	MA	Retire	SDA	BA	CTB	HB	SSP	SMP	SFM	SFF	SFG	SFL	WDP	
Child Benefit	«	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	8	8	4
WFTC	4	«	4	4	4	4	4	8	4	4	4	8	4	4	4	4	4	4	4	4	4	8	8	4
Guard Allow.	4	4	«	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	8	8	4
Income Support	4	4	4	«	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Attend Allow.	4	4	4	4	«	8	8	4	8	4	8	4	8	4	4	4	4	8	8	8	8	8	8	4
DLA Care	4	4	4	4	8	«	4	4	4	4	4	«	4	4	4	4	4	4	4	8	8	8	8	4
DLA Mob	4	4	4	4	8	4	«	4	4	4	4	«	4	4	4	4	4	4	4	8	8	8	8	4
DPTC	4	8	4	4	4	4	4	«	4	4	4	8	4	4	4	4	8	4	4	4	4	8	8	4
Invalid Care Allow.	4	4	4	4	8	4	4	4	«	4	8	8	8	4	4	4	8	4	8	8	8	8	8	4
Indus I D B	4	4	4	4	4	4	4	4	4	«	4	4	4	4	4	4	4	4	4	8	8	8	8	4
Mat Allow.	4	4	4	4	8	4	4	4	8	4	«	8	8	4	4	4	8	8	8	8	8	8	8	4
Retire Pens.	4	8	4	4	4	4	4	8	8	4	8	«	8	8	4	4	8	8	8	8	8	8	8	4
Severe Dis Allow.	4	4	4	4	8	4	4	4	8	4	8	8	«	4	4	4	8	4	8	8	8	8	8	4
Bereave Allow.	4	4	4	4	4	4	4	4	4	4	4	8	4	«	4	4	4	4	8	8	8	8	8	4
Council Tax Ben	4	4	4	4	4	4	4	4	4	4	4	4	4	4	«	4	4	4	8	4	8	8	8	4
Housing Ben	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	«	4	4	8	4	8	8	8	4
Stat Sick Pay	4	4	4	4	8	4	4	8	8	4	8	8	8	4	4	4	«	8	8	8	8	8	8	4
Stat Mat Pay	4	4	4	4	8	4	4	4	4	4	8	8	4	4	4	4	8	«	8	8	8	8	8	4
SF Mat Pay	8	4	8	4	8	8	8	4	8	8	4	4	8	8	8	8	8	8	8	«	8	8	8	4
SF Fun Pay	8	4	8	4	8	8	8	4	8	8	8	8	8	8	4	4	8	8	8	«	8	8	8	8
SF CCG	8	8	8	4	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	«	8	8
SF B Loan	8	8	8	4	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	«	8
War Dis Pen	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	8	«

APPENDIX B: BENEFITS WHICH MAY OR MAY NOT BE RECEIVED AT THE SAME TIME BY ONE PERSON

	CB	CTC	GA	IS	AA	DLA C	DLA M	WTC	ICA	IIDB	MA	Retire	SDA	BA	CTB	HB	SSP	SMP	SFM	SFF	SFG	SFL	WDP	
Child Benefit	«	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	8	8	4
Child Tax Credit	4	«		4	4	4	4	4	4	4	4	4	8	4	4	4	4	4	4	4	4	8	8	4
Guard Allow.	4	4	«		4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	8	8	4
Income Support	4	4	4	«		4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Attend Allow.	4	4	4	4	«		8	8	4	8	4	8	4	8	4	4	4	8	8	8	8	8	8	4
DLA Care	4	4	4	4	8	«		4	4	4	4	4	«	4	4	4	4	4	4	8	8	8	8	4
DLA Mob	4	4	4	4	8	4	«		4	4	4	4	«	4	4	4	4	4	4	8	8	8	8	4
Working Tax Credit	4	4	4	4	4	4	4	«		4	4	4	8	4	4	4	4	8	4	4	4	8	8	4
Invalid Care Allow.	4	4	4	4	8	4	4	4	«		4	8	8	8	4	4	4	8	4	8	8	8	8	4
Indus I D B	4	4	4	4	4	4	4	4	4	«		4	4	4	4	4	4	4	4	8	8	8	8	4
Mat Allow.	4	4	4	4	8	4	4	4	4	8	4	«	8	8	4	4	4	8	8	8	8	8	8	4
Retire Pens.	4	8	4	4	4	4	4	4	8	8	4	8	«	8	8	4	4	8	8	8	8	8	8	4
Severe Dis Allow.	4	4	4	4	8	4	4	4	4	8	4	8	8	«	4	4	4	8	4	8	8	8	8	4
Bereave Allow.	4	4	4	4	4	4	4	4	4	4	4	4	8	4	«		4	4	4	8	8	8	8	4
Council Tax Ben	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	«		4	4	4	8	4	8	4
Housing Ben	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	«		4	4	8	4	8	4
Stat Sick Pay	4	4	4	4	8	4	4	4	8	8	4	8	8	8	4	4	4	«		8	8	8	8	4
Stat Mat Pay	4	4	4	4	8	4	4	4	4	4	4	8	8	4	4	4	4	8	«		8	8	8	4
SF Mat Pay	8	4	8	4	8	8	8	8	4	8	8	4	8	8	8	8	8	8	8	«		8	8	4
SF Fun Pay	8	4	8	4	8	8	8	8	4	8	8	8	8	8	8	4	4	8	8	8	«		8	8
SF CCG	8	8	8	4	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	«		8
SF B Loan	8	8	8	4	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	«	8
War Dis Pen	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	8	8	«

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IMPUTATION OF MISSING VALUES IN THE 2003-04 FAMILY RESOURCES SURVEY

INTRODUCTION

Imputation is the process in which missing values in a data set are converted to non-missing values.

When a respondent answers a particular question in a survey they can state that they don't know the answer to a question, or simply refuse to give a response. Such responses are recorded and are referred to as '*missing values*'.

These values can either be left as missing, in which case you would have gaps in your data set, or replaced (*imputed*) with an estimate of the answer that the respondent would have given if they had actually answered the question.

User requirements have deemed the latter process necessary in the Family Resources Survey (FRS). The main objective of imputation is to maximise the information available to users for analysis. Furthermore, the imputation carried out simplifies the analysis for users and helps to secure the uniformity of analysis created from the FRS data sets.

It should be noted that none of the variables in the admin, benefits and care data sets are imputed and that benefit editing is carried out separately to the rest of imputation.

Methodology

Imputation on the FRS is carried out in three different ways. A brief overview of these methods is given here:

- **Bulk edits** – converting en masse a batch of cases with missing values that satisfy a particular characteristic to an identical value. This is a very crude method of imputation and can only be used in certain circumstances. For example, for people who don't know if they are in receipt of a particular benefit, we could:
 - i) edit the answers to yes, in which case we would have to open up a record for the particular benefit and impute answers for it
 - ii) edit such answers to no – which is known as *closing down routes* and is the default principle adopted in the imputation of such *routing* variables in the FRS.
- **Hotdecks** – examining the data set for non-missing cases that have similar characteristics to that with the missing value, and substituting one of these non-missing values for the missing case at random. It is usual for the characteristics to bear some relationship to the variable to be imputed; the theory being that all cases matching the chosen characteristics will have similar values for the variable we are concerned with. For example we could impute rent for a household by randomly selecting a non-missing value from a case with the same number of rooms, council tax band, type of landlord and region as the case in question.
- **Algorithms** – a process in which one can predict the missing value for a particular case by looking at other relevant characteristics and applying a pre determined set of rules (e.g. modelling council tax payments based on council tax band, local authority and entitlement to discount).

Missing Values

There are four possible types of missing values in the FRS:

- **.A** – denotes a 'skipped' response. Such a response occurs where a respondent has not been routed to this particular question and an answer is not therefore required and imputation is not normally necessary.
- **.B** – denotes the fact that the respondent '*doesn't know*' the answer to the question and imputation will normally be required.
- **.C** – denotes a refusal to answer a question and, again, imputation is normally required.
- **.D** – is only output in the production of derived variables, and denotes either a mistake in the imputation process or faulty logic in the DV code. All .Ds in income and expenditure data are investigated and corrected prior to user release.

Imputation Checking

Checks are carried out to ensure that the imputation process has not changed the distribution of the data. Examples of these are as follows:

- A comparison of the means, standard deviations and minimum/maximum values for each variable is undertaken both post and prior imputation. Any large discrepancies (indicating that imputation is potentially biasing the data) are investigated.
- There can be cases in Hotdecks where we impute a large number of cases to a particular value, which is taken from one particular 'donor' case. This is a source of potential bias, and checks exist within hotdecks to monitor this. Where these checks show this to be a problem, remedial action, in the form of adjusting either the imputed value or the hotdeck, is taken.
- Finally credibility checks are run, which ensure that the data within individual cases is consistent, and feasible values have been imputed. Examples of these include:
 - i) Checking that housing costs are generally less than income for cases in which components of either have been imputed.
 - ii) Checking that gross income is greater than or equal to net income.
 - iii) Checking that personal pension contributions are generally less than income for cases where components of either have been imputed.

Tables of Results

[Table 1](#) provides an overall summary of imputation outlining the number of missing values initially and how many were imputed by each method. It also provides a comparison with the previous year. It should be noted that hotdecking is the most common method of imputation, followed by bulk edits.

- As with any questionnaire, a typical feature of the FRS is the gatekeeper question positioned at the top of a block of further questions, at which a particular response will open up the block. If the gatekeeper question itself is answered as 'don't know' or 'refused', the block contains skipped values for all variables within it.
- A missing gatekeeper variable could be imputed such that a further series of answers would be expected. However, these answers will not appear because a whole new route has been opened. For example, if the amount of rent is missing for a record and has since been imputed, any further questions about rent would not have been asked. From the post-imputed database, it will appear that these questions should have been asked because a value is there for rent.

[Table 2](#) shows the extent of imputation on the BENEFITS table. Each benefit type is listed by variable, showing the number of expected responses, the number and percentage imputed and the number left missing. Each benefit is listed on the first sheet although this is repeated for each benefit on the subsequent sheets.

[Table 3](#) shows the extent of imputation on all tables. Each variable is listed with the number of expected responses, the number and percentage imputed and the number left missing. Apart from the BENEFITS table, where any variable has had a missing imputed all missing values for that variable will have been imputed. There is a zero in cell A1 on each sheet that will display as a positive number if this were not the case (as on the BENEFITS table).

Family Resources Survey

RELEASES 2003-04

RELEASE	CHANGES SINCE LAST RELEASE	RELEASE DATE
Frs0304a	<p>PUBLIC RELEASE</p> <p>New Grossing regime (GROSS3) introduced - See paper for more details</p>	22/11/04
Frs0304b	<p>Revised Grossing Regime introduced for Northern Ireland</p> <p>Revision to derived variables:</p> <ul style="list-style-type: none">○ INRPINC: correction to allocation of Pension Credit and MIG.○ INCSEO2: adjustment to account for leap year○ NINCSEO2: adjustment to account for leap year○ PTENTYPE and TENTYPE Dropped (see below)○ Reduction in Free Welfare Milk value to be consistent with previous years. <p>New Derived Variables (TENTYP and PTENTYP2) introduced to bring the allocation of 'partially unfurnished' as 'unfurnished' properties in line with harmonised guidance.</p> <p>New Derived Variables (BUETHGR2 and HHETHGR2) introduced for Ethnic Grouping with an Indian and Pakistani/Bangladeshi split.</p> <p>Adjustments to Benefit Editing: BENAMT for one case and BENPD for two cases</p> <p>Clarification of label for ANYPEN7 to 'Receipt of share of pension from ex-spouse/partner'</p>	20/12/04
Frs0304c	<p>Revised weights issued for the new Grossing regime (GROSS3).</p> <p>Additional Benefit Editing carried out on Retirement Pension and AA cases</p> <ul style="list-style-type: none">○ Adjustment of RP amounts to account for AA record already included, based upon PENAMT details	27/01/05

	<ul style="list-style-type: none"> o Insertion of AA record and an adjustment of RP amount. <p>Incorrect period code editing applied to lump sum contributions made to pensions has been reversed and original payment details have been reinstated.</p> <p>A flag has been added to the benefit table to identify New Tax Credit Cases where Childcare Tax Credit is in payment.</p> <p>Additional set-type formatting has been applied to UNICLPAY to remove some instances where all responses were 'No' rather than 'None'.</p>	
Frs0304d	Revised weights issued for the new Grossing regime (GROSS3) to correct for overestimation of the Lone Parent population control.	09/02/05
Frs0304e	<p>Revised weights issued for the new grossing regime (GROSS3) in Northern Ireland</p> <p>Adjustments to Benefit Editing: Benefit amounts to three cases</p> <p>Adjustments to Benefit Editing: WHOREC1 records inserted for 15 cases</p> <p>Adjustment made to high re-mortgage (RMAMT), and outstanding mortgage (MORTLEFT) for 2 cases.</p> <p>Reversed an edit made by ONS/NatGen for MAINACC and TYPEACC.</p> <p>Corrected a previous editing for TOTSAVE</p>	21/11/05
Frs0304f	<p>TEA corrected to include the number of years anyone over the age of 18 has spent in full time education.</p> <p>CHLOOK 01-09 corrected to include unpaid childcare</p>	30/03/06
Frs0304g	Revised NINRV data	30/03/07
Frs0304h	Correction to HHRENT DV (and its dependants) due to miscalculation of NI households (rates being deducted from rent more than once in multi-adult households).	27/06/07
Frs0304i	<p>New Grossing regime (GROSS4) introduced - See paper for more details https://www.gov.uk/government/publications/family-resources-survey-grossing-methodology-review-and-2011-census-updates</p>	01/07/14