INFORMATION DIRECTORATE

INCOMES MONITORING IM1

FAMILY RESOURCES SURVEY

2009-10

Dataset and Changes

Twelve-month User Consultation

INDEX

Introduction

This summary report is produced in conjunction with the 2009-10 Family Resources Survey (FRS) and provides users with detailed information on proposed changes to:-

> ➢ Dataset structure

> ➢ Variables

> ➢ Treatment within Processing (validation, editing and derivation of variables)

> ➢ Methodology

The information provided in this report should be used in conjunction with the standard FRS documentation, which can be accessed via the FRS Link Page at: http://51.127.145.11/asd3/web/frs/

Interviewers guide to changes in metadata

Six and twelve month test versions of the dataset can be made available upon request and upon completion of a data testing agreement.

If at any point you would like to discuss any issues or require further information or clarification, please contact one of the FRS team in Incomes Monitoring (via email to: team.frs@dwp.gsi.gov.uk).

The FRS data processing team is:

Julie Sullivan	(Team Leader, Data Release Protocols, Publication)
Sarah Metcalf	(Processing Manager, Methodology, Analysis)
Rupesh Vekaria	(Imputation, Derived Variables)
Ian Herring	(Benefit Editing, Data Access)

DATA structure

There were no major structural changes made to the Family Resources Survey dataset in 2009-10.

Overview of variable changes

The variable changes are listed below with reference to the relevant page in the *'Interviewers Guide to Changes'* listed in brackets, which will provide further detail.

Changes in the Family Resources Survey (FRS) data can affect three main areas of processing:-

> ➢ Editing

> ➢ Imputation

> ➢ Derived variables

Information on all the changes to the questionnaire for 2009-10 can be found in the pdf 'Interviewers Guide to Changes'. The paragraphs below summarise changes to the dataset (i.e. new variables and removed variables). Full details on how changes to the questionnaire have been treated within the dataset are provided in the 'Treatment within processing" section of this report.

- *Absent Spouses (2b, page 6)*
  In calculating eligibility for income related benefits, the income of the claimant's partner, where they have one, is taken into account. However, people living apart temporarily (people who have been or will be living apart for less than twelve months) are treated as having a partner. A new question (SPYROT) has been added to capture whether the absent spouse has been or is expected to be away for twelve months or more.

- *Local Housing Allowance (2d, page 8)*
  Local Housing Allowance (LHA) was introduced in April 2008. In order to effectively monitor the effectiveness of this policy a number of changes have been introduced in order to help identify which of the claimants reporting Housing Benefit will be in receipt of LHA:
    To identify if moved house before or after 7th April 2008 (YrLvChk)
    To confirm the receipt of benefit in excess/deficit of rent (LHAEXs, LHALess)
    To identify if Housing Benefit is paid directly to the recipient (HBRecp)

- *Childcare costs (2f, page 11)*
  A new question has been introduced to capture whether the reported childcare costs are an hourly rate. Where this is the case the method of calculating weekly childcare costs has been updated. In addition, a new question has been asked to look at the childcare arrangements of benefit units with children who do not report receiving childcare.

- *Income of 16-19 year old trainees (2g, page 15)*
  Questions have been added to capture Carers Allowance paid to 16-19 year olds in government training.

- *Adult Learning Grant (3c, page 18)*
  The new question ALG has been added to ask all respondents aged 19 or over and in education if they are receiving an Adult Learning Grant.

- *Value for benefits-in-kind (3d, page 23)*
  New questions have been added to capture the value of certain benefits-in-kind that respondents receive from their employer. The value of fuel for private use, smart pension/salary sacrifice, and vouchers are captured in a series of questions following from ExpBen.

- *Health in Pregnancy Grant (3f, page 30)*
  The Health in Pregnancy Grant was introduced in January 2009. A new category was added to Ben4Q to capture this.

- *Order books (3f, page 31)*
  All references to order books have now been removed from the questionnaire.

- *Total received from benefits (3f, page 35)*
  To help provide confidence in the tax credits and benefits amounts reported, a new question has been added to record the approximate total amount received per week for benefits and tax credits.

- *Pension provision (3m, page 44)*
  Following a pilot, the questions on pension provision have been revised to correct for problems found with the questionnaire in 2006-07, 2007-08, and 2008-09.

- *Financial and other assistance (3o, page 60)*
  The routing of questions on financial and other assistance given to and received from friends and family has been changed so rather than be asked for every adult, is now asked once for each benefit unit.

- *PEPs (3r, page 64)*
  From April 2008 all PEPs automatically became stocks and shares ISAs. All references to PEPs have now been removed from the questionnaire.

- *Current Accounts (3s, page 64)*

A new question has been added to capture the amount held in current/basic accounts for respondents reporting a total savings of less than £1500 or more than £20,000. This is to correct for the fact that it is assumed the amount held in a savings vehicle can be estimated from the interest received from the vehicle, but the interest rates for current accounts are now very low or nil.

- *NI rates*
  New questions have been added to the questionnaire to capture:
    Discount on rates bill through receipt of Disabled Persons Allowance
    Discount on rates bill through receipt of Disabled Persons Allowance
    Discount on rates bill through receipt of Lone Pensioner Allowance
    Discount on rates bill through rate relief or full-time students, trainees, under 18s and those leaving care

Treatment within processing

Changes in the information collected and the structure of that information needs to be taken into account within the processing of the FRS dataset. Most of these changes can be treated by introducing new systems or through extending our current methodologies, and are detailed in this section across the four processing areas:-

- ➢ Benefit Editing
- ➢ Non-Benefit Editing
- ➢ Imputation
- ➢ Derived Variables

BENEFIT EDITING

Checks were introduced to identify cases where:

- AA and DLA are received by different people for the same person within the household
- Contradictory INJLONG and BENAMTs for Incapacity Benefit recipients

In addition, the processing of the benefit editing has changed. Since July 2009 the FRS Team has been working with the IFD IT Group to automate as much of

the benefit editing process as possible. The following combinations of benefits were considered as part of the benefit editing review:

- Retirement Pension and Pension Credit
- Disability Living Allowance (care component) and Disability Living Allowance (mobility component)
- Disability Living Allowance and Income Support
- Retirement Pension and Attendance Allowance
- Retirement Pension, Attendance Allowance, and Pension Credit
- Severe Disability Allowance and Income Support
- Severe Disability Allowance, Income Support and Disability Living Allowance

These products of the benefit editing review have been quality assured to ensure that this methodological change did not impact on the editing process[1].

For the 2009-10 twelve month test dataset, the editing of a reported combination of Incapacity Benefit and Income Support was added to the suite of automated edits. It is planned that further automation of benefit editing will take place on the 2010-11 dataset.

NON-BENEFIT EDITING

The following changes were made to the non-benefit editing:

- For the question CHAMT, the amount paid for childcare, where the respondent reported that the payment covered less than a week, the respondent is now asked if the amount is an hourly rate. If this is the case, the amount is weeklyised using the number of hours the child was in care, rather than the usual approximation for payments of less than one week.
- New checks were added to cover the situations:
    - GRTAMT or GRTVAL is refused or not known
    - Discrepancies with pension provision reported
    - Identical amounts reported at APAMT and MNTAMT1
    - COST=1 but CHAMT=0 and COST=2 but CHAMT>0
    - NIRATE is not a valid value for the year
    - Where usual hours worked is zero

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[1] Each code produced from the benefit editing review was first applied to the 2008-09 dataset to ensure that the edits automatically produced were consistent with those which had been applied. Each code was then looked at by a member of the FRS team to ensure that it matched the specification and that all scenarios had been considered.

- o Restrictions on differences between the sum of components of gross wage and the gross wage have been slightly relaxed in credibility check 53.
- o APDIR is 1 if APDAMT is skipped
- o Unemployed respondents who went to work on the day of the interview
- o Where TOTCAPB2 is zero but TOTSAV in 5-9
- o Where NUMTV1 or NUMTV2 is imputed but TVLIC is skipped
- o Where Working Tax Credit records have been created for respondents working less than 16 hours a week
- o Where SEINCAMT or PRBEFORE exceeds the permitted work earnings limit when Incapacity Benefit or Employment and Support Allowance is in payment

- The release comparison process, where the distribution of responses to a variable is compared with the distribution in previous years, has been substantially revised. Variables that are important to key users have been identified and are examined. Variable distributions are compared using statistical tests, and ones with a significant probability of having changed are also examined.

Pension Provision

Following consultation with users, the questions on pension provision in the Family Resources Survey were changed in 2006-07 to try to provide more information on the type of private pension scheme and identify increasing participation within older age groups. However, problems were identified during analysis as some respondents reported dormant (closed) pension scheme memberships as if they were live pension scheme memberships with respondents making continuing contributions. This issue has now been corrected within the questionnaire and the dataset.

The following changes have been made to the imputation process.

Bulk Edits

Changes to existing edits

TABLE	VARIABLE	LABEL	DESCRIPTION
ADULT	HBOTHBU	Whether qualifies for HB (2nd+ BU)	Variable dropped
PENPROV	PENGOV	Whether money paid into Pen by DWP/SSA	Variable dropped
ADULT	TRAIN	Whether on govt training scheme	ALO category dropped

New edits

TABLE	VARIABLE	LABEL	DESCRIPTION
ADULT	ALG	Whether Adult Learning Grant earnings	Edited to No
ADULT	BEN4Q4	Rcpt last 12 months Health in Pregnancy Grant	Edited to No (none)
BENUNIT	HBOTHBU	Whether qualifies for HB (2nd+ BU)	Edited to No
HOUSEHOL	RTDPA	Rcpt last 6m: any other NI/State benefit	Edited to No
HOUSEHOL	RTLPA	In receipt: Working Tax Credit payments since April 2003	Edited to No
HOUSEHOL	RTOTHER	Whether other NI Rate reduction	Edited to No
HOUSEHOL	RTRTR	Whether NI Rate Relief	Edited to No
JOB	FUELBN	Fuel received in lieu of salary/wages	Edited to No
JOB	FUELUSU	Whether usual amount	Edited to Yes
JOB	SPNSAC	Smart pension received in lieu of salary/wages	Edited to No
JOB	SPNUSU	Whether Usual amount for smart pension	Edited to Yes
JOB	VCHSAC	Voucher received in lieu of salary/wages	Edited to No
JOB	VCHUSU	Whether amount recev'd usual for the voucher	Edited to Yes
PENPROV	PENCHK	Whether contribution made to personal pension in last 12 mon	Edited to No

Algorithms

There were no changes to Algorithms.

Hotdecks

There were no changes to existing edits.

New edits

TABLE	VARIABLE	LABEL
ADULT	ALGAMT	Amount of Adult Learning Grant earnings
BENUNIT	CBAAMT1	Estimated value of Current/Basic accounts
BENUNIT	CBAAMT2	Estimated value of Current/Basic accounts
HOUSEHOL	RT2REBAM	Amount of Rates payable on property
HOUSEHOL	RTDPAAMT	Amount of NI Disab Rate Rebate allowed
HOUSEHOL	RTLPAAMT	Amount of Lone Pensioner Rate Rebate allowed
HOUSEHOL	RTOTHAMT	Amount of Other Rate Rebate allowed
HOUSEHOL	RTRTRAMT	Amount of rate relief allowed
JOB	FUELAMT	Amount received for fuel
JOB	FUELUAMT	Usual amount received for fuel
JOB	SPNAMT	Amount received for smart pension
JOB	SPNUAMT	Usual amount received for smart pension
JOB	VCHAMT	Amount received for the voucher(s)
JOB	VCHUAMT	Usual amount received for the voucher

The HBAI and Pensioner Incomes team requested that imputation for the pensioner material deprivation items, detailed below, be looked at.

INITIAL QUESTION		FOLLOW-UP QUESTION	
OABILL	*Are you able to pay regular bills*	BILLNT1-BILLNT9	*Why not pay bills*
OACOAT	*Do you have a warm waterproof coat*	COATNT1-COATNT9	*Why no waterproof coat*
OACOOK	*Would you be able to replace your cooker if it broke down*	COOKNT1-COOKNT9	*Why not replace cooker*
OADAMP	*Do you have a damp-free home*	DAMPNT1-DAMPNT9	*Why no damp free home*
OAEXPNS	*Would you be able to pay an unexpected expense of £200*	OAHOWPY1-OAHOWPY6	*How pay £200*
OAFRND	*Do you see your friends or family at least once a month*	FRNDNT1-FRNDNT9	*Why not see friends/family*
OAHAIR	*Do you have your hair done or cut regularly*	HAIRNT1-HAIRNT9	*Why hair not done/cut regularly*
OAHEAT	*Are your heating, electrics, plumbing and drains working*	HEATNT1-HEATNT9	*Why heating etc not in working order*
OAHOL	*Do you take a holiday away from home*	HOLNT1-HOLNT9	*Why no holiday*
OAHOME	*Is your home kept in a good state of repair*	HOMENT1-HOMENT9	*Why home not in good repair*
OAMEAL	*Do you eat at least one filling meal a day*	MEALNT1-MEALNT9	*Why no meal*
OAOUT	*Do you go out socially at least once a month*	OUTNT1-OUTNT9	*Why not go out*
OAPHON	*Do you have telephone (landline)to use, whenever you need it*	PHONNT1-PHONNT9	*Why no phone*
OATAXI	*Do you have access to a car or taxi, whenever you need it*	TAXINT1-TAXINT9	*Why no car/taxi*
OAWARM	*Is your home kept adequately warm*	WARMNT1-WARMNT9	*Why home not warm*

The FRS team has implemented a strategy which imputes missing pensioner material deprivation information based on the following characteristics
- Income
- Whether there is a disabled adult in the benefit unit
- Family status
- Age
- Savings
- Tenure
- Ethnicity

The following changes have been made to derived variables:

Adult Learning Grant
Income from Adult Learning Grant has been added to INRINC; Adult - Remaining income.

Adult Learning Option
The Adult Learning Option (ALO) has been removed from the responses available for the Train; Whether on Govt. training scheme question. The following derived variables have been amended for this change:
- CHBFLG   : Child Benefit eligibility
- EMPSTATB : Adult - Employment Status
- EMPSTATC : Adult Employment status - HBAI equivalent
- EMPSTATI : Adult - Employment Status - ILO definition

Benefit unit total capital

The methodology to calculate total savings and investments has been improved. More households are shown to have a small level of savings and fewer households are shown to have a large level of savings. TotCapB3 replaces TotCapB2 which is still available; the difference between the two versions is that for TotCapB3 we are deriving the interest rate assumptions from the FRS data rather than other data sources.

These interest rate assumptions are used to estimate capital for those respondents for whom we only have the income from interest for the following account types:

1	Current account
2	NSB Ordinary account
3	NSB Investment account
5	Savings, investments etc
6	Government Gilt Edged Stock
7	Unit/Investment Trusts
8	Stocks, Shares, Bonds etc
21	ISA
27	Basic Account
28	Credit Unions

This change in methodology has been agreed with the TotCap working group

Health in Pregnancy Grant
Income from the Health in Pregnancy Grant is converted to a weekly amount and then added to INOTHBEN; Adult - Other benefits and INNIRBEN; Income from Tax Credits is not included in INNIRBEN.

Northern Ireland Rate Relief/Allowances
The following Northern Ireland Rate relief and allowances information has been added to the Household Reference Persons benefit income.
- NI Rate Relief
- NI Disabled Persons Rate Rebate
- NI Lone Pensioner allowance
- Other NI Rate reduction

Northern Ireland Rates
The information used to calculate the Rates liability for households sampled within Northern Ireland has been updated within the household rent DVs:
- The Net Rateable Value of Property (NINRV) has been replaced by the Capital Value of Property (CAPVAL).
- The corresponding factor for the amount of District Council Rate (NIRATE) has been replaced by the District Council Domestic Rate Poundage (NIDPND).

Salary Sacrifices/Benefits
The following salary sacrifice/benefit information has been added to UGRSPAY; Gross weekly pay from a job and NINEARNS; Adult - Net Income from employment.
- Fuel for private use
- Smart pension or salary sacrifice pension arrangement
- Vouchers

Disability
Two new derived variables, **DisDifAd** and **DisDifCh**, in relation to disability have been added to the 12 month dataset. These respectively identify adults and children with a disability dependent on the information recorded at the DisDif and CDisDif questions. Note this definition of disability is consistent with that used within FRS based National Statistics.

Family Type
The derived variable **FamTypB2** has been added to the 12 month dataset to identifying the benefit unit family status with additional breakdowns for couples who are in a civil partnership/married or cohabiting. An alternative family status variable **NewFamB2**, which is consistent with the HBAI definition of a pensioner couple, has also been added to the dataset and also has the additional breakdowns for couples who are in a civil partnership/married or cohabiting

Benefit Unit Economic Status
The derived variable **EcoStaBU** has been added to identify the economic status of the benefit unit. This uses the employment status (EmpStatI - ILO definition) of the adults within the benefit unit.

Mortgage Interest
The Bank of England base rate is no longer used to estimate the amount of mortgage interest (**MortInt**) paid by households with repayment mortgages. Instead the Monthly average of UK resident monetary financial institutions' (excl. Central Bank) sterling weighted average interest rate, loans secured on dwellings to households (in percent) not seasonally adjusted has been used. The FRS is now consistent with the HBAI methodology.

Variable Usage Review 2009
The variable usage review identified information available from the FRS dataset that was not required by users and hence could be removed. Variables delivered to DWP will be removed from FRS 2010-11. Variables derived by DWP have been removed for FRS 2009-10 and these are listed below.

TABLE	VARIABLE	LABEL
ADULT	CRUNACI	Adult - Credit Union held
ADULT	ENOMORTI	Adult - Endowment not linked to a mortgage held
ADULT	FSBNDCTI	Adult - Fixed Rate Bonds held
ADULT	NSBOCTI	Adult - No. of National savings held
ADULT	OTBSCTI	Adult - Other building Soc held
ADULT	PRBOCTI	Adult - Premium bonds held
ADULT	SAYECTI	Adult - Save as you earn held
ADULT	SCLBCTI	Adult - Member of Share Club
ADULT	SSCTI	Adult - No. of Participation in Company Share Schemes
BENUNIT	ACTACCB	Adult in BU holds account capable of accepting Direct Paymen
BENUNIT	BASACTB	BU - No. of Basic Bank accounts held
BENUNIT	CRUNACB	BU - No. of Credit Union held
BENUNIT	CURACTB	BU - No. of Current accounts held
BENUNIT	DEPDEDS	BU - Non-dependency Class
BENUNIT	ECOTYPBU	Economic status indicator - HBAI equivalent
BENUNIT	ENOMORTB	BU - No. of Endowment not linked to a mortgage held
BENUNIT	FAMTYPE	Family type
BENUNIT	FSBNDCTB	BU - No. of Fixed Rate Bonds held
BENUNIT	GEBACTB	BU - No. of Guaranteed Equity Bonds held
BENUNIT	GILTCTB	BU - No. of Gilts held
BENUNIT	ISACTB	BU - No. of ISAs held
BENUNIT	LASTWORK	Time since head last worked - Pub.
BENUNIT	NSBOCTB	BU - No. of National savings held

TABLE	VARIABLE	LABEL
BENUNIT	OTBSCTB	BU - No. of Other building Soc held
BENUNIT	PEPSCTB	BU - No. of PEPs held
BENUNIT	POACCTB	BU - No. of PO accounts held
BENUNIT	POCARDB	BU - No. of Post Office Card Account
BENUNIT	PRBOCTB	BU - No. of Premium bonds held
BENUNIT	SAYECTB	BU - No. of Save as you earn held
BENUNIT	SCLBCTB	BU - No. of Member of Share Club
BENUNIT	SSCTB	BU - No. of Participation in Company Share Schemes
BENUNIT	STSHCTB	BU - No. of Stocks and shares held
BENUNIT	TESSCTB	BU - No. of TESSAs held
BENUNIT	UNTRCTB	BU - No. of Unit trusts held
HOUSEHOL	ACTACCH	Adult in HH holds account capable of accepting Direct Paymen
HOUSEHOL	BASACTH	HH - No. of Basic Bank accounts held
HOUSEHOL	CRUNACH	HH - No. of Credit Union held
HOUSEHOL	CURACTH	HH - No. of Current accounts held
HOUSEHOL	ENOMORTH	HH - No. of Endowment not linked to a mortgage held
HOUSEHOL	FSBNDCTH	HH - No. of Fixed Rate Bonds held
HOUSEHOL	GEBACTH	HH - No. of Guaranteed Equity Bonds held
HOUSEHOL	GILTCTH	HH - No. of Gilts held
HOUSEHOL	HCBAND	Housing Cost Bands - Pub.
HOUSEHOL	HHCOMP	Household composition
HOUSEHOL	HHETHGR2	Ethnicity of Head of HOUSEHOL (Pub. 2003-04)
HOUSEHOL	HHKIDS	Alternative HH composition - Pub.
HOUSEHOL	HHSIZE	Number of People in HH (Pub.)
HOUSEHOL	HRBAND	Household Rent Bands - Pub.
HOUSEHOL	ISACTH	HH - No. of ISAs held
HOUSEHOL	NDDCTB	HH - Total non-dep deds-CTB
HOUSEHOL	NDDISHC	HH - Total Non-dep deds-rent rebates and IS/JSA(IB) housing
HOUSEHOL	NSBOCTH	HH - No. of National savings held
HOUSEHOL	OTBSCTH	HH - No. of Other building Soc held
HOUSEHOL	PACCTYPE	Accommodation type
HOUSEHOL	PEPSCTH	HH - No. of PEPs held
HOUSEHOL	POACCTH	HH - No. of PO accounts held
HOUSEHOL	POCARDH	HH - No. of Post Office Card Account
HOUSEHOL	PRBOCTH	HH - No. of Premium bonds held
HOUSEHOL	SAYECTH	HH - No. of Save as you earn held
HOUSEHOL	SCLBCTH	HH - No. of Member of Share Club
HOUSEHOL	SICK	HRP Sick/Disab (Pub.)
HOUSEHOL	SICKHRP	One or more Sick/Disab excl. HRP-Pub.
HOUSEHOL	SSCTH	HH - No. of Participation in Company Share Schemes
HOUSEHOL	STSHCTH	HH - No. of Stocks and shares held

TABLE	VARIABLE	LABEL
HOUSEHOL	TESSCTH	HH - No. of TESSAs held
HOUSEHOL	UNTRCTH	HH - No. of Unit trusts held

GROSSING

In 2009-10 the control totals that were used for the number of lone parents (male and female) were not available from the usual source (Families with Children (FWC) model provided by the Model Development Unit).

With agreement from dataset users, the weight GROSS3 has been produced using quarterly 2009-10 Labour Force Survey (LFS) figures. The LFS as a source for lone parent figures is consistent within DWP.

Revision due to new tenure data from the Department of Communities and Local Government (CLG)

CLG tenure data is used as a control total within the FRS grossing regime. CLG has published more up to date information and has revised previously published estimates. Due to the size of the changes to the tenure totals we have taken the unusual decision to revise the grossing for 2008/09 and 2009/10.

More information can be found at:
http://research.dwp.gov.uk/asd/hbai/hbai_revision_due_to_ni_tax_changes.pdf