



Understanding Society Innovation Panel Wave 10

Technical Report

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Contents

1. Introduction	1
2. Overview of the survey design.....	2
3. Sampling	7
4. Methodological experiments	8
5. Scripting of mixed-mode instrument	17
6. Phase 1: Online only	21
7. Phase 2: Face-to-face fieldwork – refreshment sample only fieldwork period	23
8. Phase 3: Face-to-face fieldwork – refreshment and longitudinal sample fieldwork period	25
9. Response.....	29
10. Data preparation.....	38
Appendix: Fieldwork documents.....	39

1. Introduction

1.1 Background

This report provides an account of the tenth wave of the Innovation Panel (IP10) of *Understanding Society*.

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

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

Main fieldwork is complemented by an **Innovation Panel** which tests significant innovations in methods of data collection and study delivery such as mixed-mode interviewing, differential incentives, question layout and question wording experiments.

In England and Wales, face-to-face interviewing assignments were evenly split between Kantar (the lead contractor) and NatCen. Kantar conducted all the face-to-face interviewing assignments in Scotland.

2. Overview of the survey design

2.1 Who is interviewed?

The Innovation Panel is a longitudinal household survey representing households in Britain. Northern Ireland is not included. Adults aged 16 and over are interviewed in full while children aged 10 to 15 are asked to complete a shorter self-completion questionnaire booklet.

Individuals can be an Original Sample Member (OSM), Permanent Sample Member (PSM) or Temporary Sample Member (TSM):

- **Original Sample Member (OSM)** – All individuals who were part of a household when it was first selected for the study. In addition, children born to a female OSM are themselves designated OSMs.
- **Permanent Sample Member (PSM)** – Men who have fathered a child with a female OSM, but were not part of the original sample. PSMs are treated in the same ways as OSMs.
- **Temporary Sample Member (TSM)** – Individuals who were not originally in the study but formed part of a household with an OSM or PSM at a later stage.

All members of households containing at least one Original Sample Member or Permanent Sample Member are enumerated. Temporary Sample Members are eligible for interview only if they currently live with an OSM or PSM.

2.2 What data are collected?

There are a number of components to data collection on the Innovation Panel:

- **Household grid** – completed by an adult in the household; this collects basic information about who lives in the household.
- **Household questionnaire** – completed by the household bill-payer or his/her spouse/partner (or an appropriate person at the interviewer's discretion); this covers a wide range of household-level information including energy consumption, household expenditure and measures of material deprivation.
- **Individual questionnaire** – completed by each individual in the household aged 16 and over; this questionnaire covers subjects including employment and education, health, finances and relationships. For face-to-face interviews, the individual questionnaire includes a **CASI** section (Computer Assisted Self Interviewing) where the interviewer is required to pass the laptop to the respondent to complete these sections independently.
- **Youth self-completion booklet** – completed by household members aged 10 to 15.

- **Proxy interviews** - where a household member is unable to participate during the fieldwork period, a proxy interview can be undertaken by the interviewer with another household member.

2.3 IP10 Refreshment sample

IP10 contained a refreshment sample, with the intention to build up the base of productive households to over 1,500 (the productive based at IP9 was 1,251). All refreshment sample addresses were worked face-to-face at IP10.

Lessons from the refreshment sample at Wave 7 of the Innovation Panel (IP7) were applied to the fieldwork design for the IP10 refreshment sample. At IP7, the refreshment sample was worked at the same time as the longitudinal sample, which was felt to contribute to the limited success in recruiting refreshment sample households to the panel. At IP10, the fieldwork plan was designed to issue the refreshment sample to interviewers four weeks prior to the longitudinal CAPI sample fieldwork period. The rationale for this was to allow interviewers a fixed period at the start of fieldwork to fully focus on working the refreshment sample. The IP10 briefings also included a greater focus on the refreshment sample to help prepare interviewers for this as best as possible.

Despite the change in fieldwork design, recruitment of the IP10 refreshment sample to the panel proved to be challenging. Interviewers reported high refusal rates as the main barrier to participation. Further details on the IP10 refreshment sample are contained in chapter 3 ('Sample') and chapter 9 ('Response').

2.4 Mixed-mode design

As in previous waves since IP5, the fieldwork design is driven by a sequential mixed mode experiment where households are allocated to either CAPI-first or WEB-first groups

There were four phases of fieldwork (see Table 2.1):

- Phase 1: An initial **online only** period for the longitudinal sample;
- Phase 2: The refreshment sample only **face-to-face** interviewing period;
- Phase 3: The main period of **face-to-face** interviewing for the refreshment and longitudinal samples;
- Phase 4: A mop-up period for any outstanding cases conducted **online** or by **telephone**.

Table 2.1: Phases of fieldwork design

	Phase 1: Online only – longitudinal sample	Phase 2: Face-to-face interviewing - refreshment sample	Phase 3: Face-to-face interviewing – refreshment and longitudinal sample	Phase 4: Mop-up
	May – June 2017	May – June 2017	June – September 2017	Late September –early October 2017
WEB-first longitudinal households	Invited to complete online	-	Incomplete cases invited to complete face-to-face	Incomplete cases invited to complete online or by telephone
CAPI-first refreshment households	-	Invited to complete face- to-face	Continued face-to-face fieldwork with CAPI first refreshment sample	Incomplete cases continued to be worked face-to-face
CAPI-first longitudinal households	-	-	Invited to complete face- to-face	Incomplete cases invited to complete online or by telephone

2.4.1 Phase 1: Online only (4 weeks)

Sample members in longitudinal WEB-first households were initially approached via email and letter and asked to complete the survey online. At the end of the initial online only period, any sample members who had neither completed their survey nor informed us that they did not want to take the survey were given the opportunity to take part face-to-face with an interviewer.

2.4.2 Phase 2: Face-to-face interviewing – refreshment sample only (c.3.5 weeks)

Households in the IP10 refreshment sample were initially sent an advanced letter addressed to 'The resident(s)'. The letter introduced the survey and stated that an interviewer will be in touch soon to arrange a convenient time for an interview. Advance letters for the refreshment sample households included an unconditional £10 gift-card incentive.

2.4.3 Phase 3: Face-to-face interviewing (14 weeks)

At the end of phase 2, letters were sent to all adult sample members in longitudinal CAPI-first households inviting them to take part in the study and informing them that an interviewer would soon be in touch. In addition, adults in the longitudinal WEB-first sample who had not completed online were sent a letter informing them that they could now take part face-to-face and that an interviewer would soon be in contact.

Interviewers then began contacting all households in their assignments including longitudinal sample CAPI-first and incomplete WEB-first cases in addition to the previously assigned refreshment sample addresses. Adults in these households were approached for a face-to-face interview.

Throughout phase 3, the survey was still available online for any adults in longitudinal WEB-first households who preferred to take part online. Additionally, some adults in the longitudinal CAPI-first sample group requested to complete the survey online. In these cases, sample members were given their login details by interviewers and allowed to take part online.

2.4.4 Phase 4: Online / Telephone mop-up (2 weeks)

Any adults who had still not participated by the end of the face-to-face fieldwork period were included in the final mop-up phase. All longitudinal sample members at this stage had the option of completing online. In addition, a team of field interviewers invited sample members to take part via telephone.

Face-to-face fieldwork continued during this time for all non-complete IP10 refreshment sample households. Face-to-face fieldwork was also permitted for longitudinal households where it was felt the additional period would generate further interviews, for example, where appointments had already been arranged.

2.5 Data collection timetable

Data collection ran from early May to early October 2017. The timings and dates for the three phases are shown below (Table 2.2).

Table 2.2: Data collection timetable

Data collection stage	Date	Mode	Sample group
Phase 1			
Start of CAWI interviewing	9 th May 2017	Online only	All WEB-first households
Phase 2			
Start of CAPI fieldwork – refreshment sample only	22 nd May 2017	Face-to-face online	IP10 refreshment sample households
Phase 3			
CAPI fieldwork – longitudinal and refreshment sample	15 th June 2017 (start of longitudinal fieldwork)	Face-to-face and online	All CAPI-first households and outstanding WEB-first cases
Phase 4			
Mop-up	26 th September 2017	Face-to-face, online and telephone	All outstanding cases
End of fieldwork	8 th October 2017		

3. Sampling

3.1 The sample at IP10

The sample for the Innovation Panel is entirely separate from that of the main study. Originally selected from the Postcode Address File (PAF), the IP sample is representative of households in Britain; unlike the main study it does not cover Northern Ireland. Members of IP1 households are designated as Original Sample Members and are followed in subsequent waves regardless of whether or not they remain in the original household. Where new members join a household, they are eligible to take part in the survey for as long as they remain in a household with an Original or Permanent Sample Member. Similarly, where Original or Permanent Sample members move out of a household and form a new household, the other members of that household become eligible for the survey. (See Section 2.1 for definitions of Original, Permanent and Temporary Sample Members).

The IP10 longitudinal sample comprised all productive and some unproductive households from IP9. Adamant refusals and households which had not responded for the last two waves were removed from the sample. In total, 1,456 longitudinal households were issued at IP10, including 2,794 individuals aged 16 and over. 960 refreshment sample households were issued at the start of IP10 fieldwork and a further 455 reserve refreshment sample households were issued in July 2017. In total, and including split-offs, the IP10 sample included 2,921 households.

542 of the longitudinal households were allocated to the CAPI-first group and 940 allocated to the WEB-first group.

3.2 Refreshment samples

The IP10 sample is a combination of the original IP1 sample and the refreshment samples added at IP4, IP7 and IP10. The refreshment samples were necessary due to attrition at previous waves. In all cases, the refreshment sample aimed to bring the total panel size back up to 1,500 productive households in order to enable analysis of the IP experimental elements. All refreshment samples were PAF samples of new addresses drawn from the same points as the original IP1 sample. Residents enumerated at the initial wave of each refreshment sample were designated as OSMs, in the same way as at IP1.

4. Methodological experiments

The Innovation Panel aims to investigate the impact of a variety of survey innovations through incorporating into its design experimental variation between participant groups. Analysing the data from the interviews with these different groups allows the assessment of the effect and relative merits of the different approaches.

For IP10, eight different experiments were implemented. Some experiments were continued from previous waves to allow longitudinal assessment of effects, while others were new for IP10.

4.1 Allocation to experimental groups

The allocation of sample members into most experiment groups was done at the household level; all eligible adults in a household received the same treatment for any given experiment. This also included any new entrants or re-joiners in issued households. Similarly, where an issued household had split into two or more households at IP10, the newly formed households were allocated to the same treatment group as the originating household.

For one experiment, on grid design in mobile surveys, respondents were allocated to experimental groups at an individual level. This meant that individuals in the same household could receive different treatments.

4.2 Procedural experiments

Procedural experiments are aimed at assessing different survey processes and contact methods. The three procedural experiments implemented at IP10 are described below.

4.2.1 Mixed modes experiment

This experiment, initially introduced at IP5, involved offering and encouraging a proportion of the households the possibility of completing the questionnaire online before face-to-face fieldwork commenced.

At IP5 a random subset of two-thirds of the sample was selected and allocated to the WEB-first group. Members of the WEB-first group were contacted by letter and email (where available) and asked to participate online. No attempt was made to target households or individuals that may be more likely to participate online, and no account was taken of whether individuals were internet users. The remainder of the sample (the CAPI-first group) was approached face-to-face in the first instance.

In general, households allocated to the WEB-first group at IP5 remained in the WEB-first group for subsequent waves regardless of whether they actually completed their interviews online. At IP8, a subgroup of households previously allocated to the WEB-first group had been deemed to have very low web propensity¹ and so were moved to the CAPI-first group. Households in the IP7 refreshment sample were initially all allocated to the CAPI-first group but, at IP9, approximately two thirds of these were moved to the WEB-first group. All households in the IP10 refreshment sample were in a CAPI-only group (they were not invited to take part by web).

4.2.2 Incentives experiment

The incentives experiment has been running since IP1. It assesses the impact of incentives on response rates, efficiency of fieldwork and costs.

For existing sample members, adults in households who responded at IP9 were sent an advance letter containing their individual incentive in the form of a Love2Shop High Street gift card. Previous wave non-responding households were not sent an unconditional incentive at IP10; they were offered an incentive conditional on completion of their individual interview. Sample members received the same incentive amount at IP10 as at IP9.

Households from the IP7 refreshment sample were divided into three roughly equal groups receiving £10, £20 or £30. All other adult sample members in the CAPI-first group, including the IP10 refreshment sample, received £10.

The other WEB-first sample members (those not from the IP7 refreshment sample) were also divided into three roughly equal groups. Two of these groups received £10 and £30, respectively. The third group received £10, plus an additional £20 per adult if everyone in the household participated by the end of the initial online fieldwork period.

4.2.3 Advance letter wording experiment

This experiment explored whether a rephrasing of the appeal to altruism in advance letters and invitation emails could enhance participation rates. For this experiment there was a controlling variable which decided whether a household was randomly assigned to a 'positive outcome' or 'negative outcome' wording of the advanced letter.

The 'positive outcome' and 'negative outcome' wording are each outlined below:

¹ Web propensity was determined through modelling observed characteristics, including mode of completion for previous waves.

“The information you have given us previously is very valuable and will become even more valuable if you participate again this year. We need to continue interviewing the same people in order to understand changes in our society.” (IP10 Advanced Letter 1, last wave productive household, positive wording)

“The information you have given us previously is very valuable but will become much less valuable if you don’t participate again this year. We need to continue interviewing the same people in order to understand changes in our society.” (IP10 Advanced Letter 1, last wave productive household, negative wording)

4.3 Questionnaire experiments

Some of the IP10 questionnaire content was also experimental in design. The questionnaire experiments mainly focused on using different versions of question wording. All questionnaire experiments were programmed into the CAPI, CAWI and CATI instruments. The six questionnaire experiments implemented at IP10 are described below.

4.3.1 Twitter Consent

This experiment explored the feasibilities and practicalities of linking social media, in this instance Twitter, and survey data in a longitudinal context, and how they can be combined to improve the quality of both.

All respondents in IP10 were asked whether they had a Twitter account and, if they did, whether they consented to share their account details. When asked whether they were willing to provide the name of their personal Twitter account, respondents were provided with details on what information will be collected; what the information will be used for; who can access the information; and what would be done to keep the information safe.

4.3.2 Joint Finances: Financial Management and perceptions of ownership of money within couples

The wellbeing of individuals within couple relationships depends upon their access to household resources. Different approaches to managing finances within a couple can affect the ability to access money. *Understanding Society* has asked a question based on this typology in the past. However, recent qualitative research suggested that this is not sufficiently nuanced to understand differential access to and perceptions of ownership of money within relationships.

This experiment compared two ways of asking couples about their financial management and perception of money ownership. Households were randomly allocated into two groups to identify differences in outcomes and which measures best capture couples' financial management and perceptions of money. The first group were asked only one question, about how joint expenses are shared, with a response option included for shared money. The second group were asked eight questions surrounding management and perceptions of money in the relationship, all measured on a five-point, fully labelled scale ranging from strongly agree to strongly disagree.

4.3.3 Improving consent to the electoral register

A new experiment was introduced at IP10 to test ways for asking for consent to link survey respondents to the electoral register. Linkage to the electoral register is a key component of election studies in the UK, but to date the question used to ask consent has not been tested experimentally. Achieved consent rates are low, and therefore it would be advantageous for future election studies to improve the existing question. Another aim of this experiment was to demonstrate the value of this data by using it to evaluate recent changes to the system of electoral registration in the UK.

All respondents were asked the electoral consent linkage question but half the sample were randomly allocated to get a short preamble about the reasons why the information is useful. The two versions of the linkage question are outlined below:

Version A

"We would like to link the answers you have given in this survey to other information about the proportion of people around here who voted. To do this we would like your permission to match your name and address to information held on the electoral register. This matching will only be done with information that is already publicly available, and will NOT include any information about who you voted for.

Would you be willing for us to add administrative data from the electoral register to the answers you have given us?"

Version B

"Some people who think they are registered to vote are actually not registered for one reason or another. We would like to link your name and address in order to find out how many people this applies to. To do this we would like your permission to match information held on the electoral register to you. This matching will only be done with information that is already

publicly available, and will NOT include any information about who you voted for.

Would you be willing for us to add administrative data from the electoral register to the answers you have given us?"

4.3.4 Improving identification of non-resident parents and reasons for separation

This new experiment for IP10 explored ways to improve identification of children who do not reside with parents and parents who do not reside with the other parent of their children, which was identified as a difficult area for household surveys. The experiment had two connected research questions:

1. How (far) can we improve the number and representativeness of non-resident parents (NRPs) who identify as such in the survey
2. What is the best way of asking separated parents about why they separated

Two question modules that were previously used on the Innovation Panel, Fertility History and Family Networks, were adapted to capture information on NRPs. Respondents were assigned to one of two conditions which rotated which one of these modules would be asked first. Half of the respondents were asked Fertility History first, while the other half were asked Family Networks first. Later in the survey, respondents were asked the other (second) module of the two. Both modules were adapted to ask an expanded set of questions on children not residing in the household, including separation of biological, step-, and adopted children.

After whichever module was asked first, respondents were asked a series of questions about each non-resident child identified (e.g. name, DOB), and the respondent's reasons for separation from that child's other parent. After the second module, a summary screen of the children identified in the first module was presented, and respondents were given the opportunity to reconcile any discrepancies. They could do this by removing children incorrectly identified, updating the information previously provided, or adding new children not identified in the first module. For any children added, questions about the children and reasons for separation from the child's other parent were asked. An example of the summary screen is shown below.

Fig 4.1

	Name	Sex	Date	Month	Year
Child 1	Jason	Male	1	January	2012
Child 2	Larissa	Female	2	February	2015

Earlier you told me you had 2 children under 18 not living with you, while based on what you have just told me, you have 0 children under 18 not living with you.
Please take a look at this summary and confirm that each child is under 18 and living outside of this household.

[HELP](#)

All of this information is correct
 Yes, but I need to add another child to this list
 No – please edit the details that are incorrect

After the summary screen, respondents with identified non-resident children were asked with which former partner they had each non-resident child. This was included so that certain questions in the follow up module on respondents' relationships with their non-resident children were asked only once for each former partner, for example reasons for separating from that partner. Respondents were not asked to disclose the names of their former partners but instead asked to code them against each non-resident child as former partner 1, 2 etc. An example of this screen is shown below.

Fig 4.2

We'd like to ask some questions about each person with whom you've had children. So that we don't ask the same set of questions twice, we need to record which children you had with each of your partners. We don't need your partner's name, but we'll use a code to identify which children have the same parent. We don't need your partner's name, but we'll use a code to identify which children have the same parent rather than recording actual names.
Record which children have the same mother/father, using codes to indicate which children have the same parent rather than recording actual names.
So, start with the first child in the list and code their parent as '1', and check which children have the same parent and also code them as '1'.
Then for your second partner, code all the children that you had together as code '2', and so on.

Katie	1
Jamie	2
Rupert	1

4.3.5 **Grid design in mobile surveys**

This experiment compared the standard static grid design in the mobile version of the survey with an alternative dynamic grid design. Dynamic grids present the response options as a constant display aligned below a question item or statement of a set normally in a grid. When a response is chosen, the response options continue to appear on screen and unmoved, but the item dynamically changes to the next item of the set and so on. The dynamic grid is intended to better control for possible visibility and usability issues on mobiles. There may be particular issues with standard grids for those completing on smartphones, where the narrow screen size can result in the grid appearing squashed. The dynamic grid seeks to address this by presenting one item or statement at a time.

This experiment was applied to two self-completion modules already carried in the Innovation Panel that use several grids, SF-12 and Mobile Device Use. As these are both self-completion, respondents in web and face-to-face conditions were included.

Respondents were assigned to the experiment individually, not at the household, within the course of the questionnaire, using a script variable. The script variable randomly assigned to each respondent at the start of each module which version of the grid they would see throughout that module, independent of the other module. A quarter of respondents were distributed to each of the following combinations for the two modules: static-static; static-dynamic; dynamic-static; and dynamic-dynamic.

An example of the static and dynamic grids is shown in figures 4.3 and 4.4 below. Following each set of questions, respondents were asked how easy they found it to answer based on the format used. Those who said they found it difficult were then asked their reasons for this.

Fig 4.3

Test - v43

In general, how concerned would you be about the security of **financial** information, such as your income and expenditure, that you may be asked to provide in the following ways?

	Not at all concerned	A little concerned	Somewhat concerned	Very concerned	Extremely concerned
Face-to-face with an interviewer	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Over the telephone with an interviewer	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
In a postal questionnaire	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Using a desktop computer / laptop to complete an online questionnaire	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Using a smartphone to complete an online questionnaire	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Using a tablet to complete an online questionnaire	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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Fig 4.4

Test - v8

In general, how concerned would you be about the security of **financial** information, such as your income and expenditure, that you may be asked to provide in the following ways?

Using a desktop computer / laptop to complete an online questionnaire

Not at all concerned

A little concerned

Somewhat concerned

Very concerned

Extremely concerned

Don't know

Don't want to answer

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4.3.6 Audio recording of benefits linkage consent

To better understand the reactions of respondents in receipt of DWP benefits to being asked their consent to link their survey data to their benefits data, an audio recording of this question was built into the CAPI script. The recording was administered through interviewers' laptops and was programmed to automatically begin when the interviewer reached the benefits linkage question. The recording ended when the interviewers continued to the next screen. This meant the entirety of the information which interviewers read out to respondents around the reasons for asking for consent could be captured in the recording file.

At the start of the script, respondents were asked for their consent to record part of the interview. The script was programmed so that where respondents did not give consent, no parts of the interview were recorded.

Audio recording files were automatically stored onto interviewers' machines at the point of recordings. At the briefings, interviewers were instructed on how to administer the recordings and shown where the recordings files save to. Interviewers were instructed to download and send the audio files back to their agency field team at regular intervals during fieldwork.

In total, 505 audio recording files were captured in IP10.

5. Scripting of mixed-mode instrument

5.1 Design of the mixed-mode instrument

The underlying principle for the development of Computer Assisted Interviewing (CAI) instruments on *Understanding Society* is that there is common source code that runs the instrument in each mode.

There are three main components within the CAI instrument: the household grid, household questionnaire and the individual questionnaire. In addition, in face-to-face interviewing an electronic contact sheet (ECS) is included before the start of the household grid. The ECS allows interviewers to enter and confirm details on households, including collecting observational data. It is also linked to the Kantar Public sample management system, which allows for ongoing monitoring of fieldwork.

In the CAPI programme, the ECS, household grid and household questionnaire are programmed within one instrument and the individual questionnaire is programmed as a separate instrument. Once the household grid is completed, the interviewer is able to move to either the household questionnaire or the individual questionnaire, depending on eligibility.

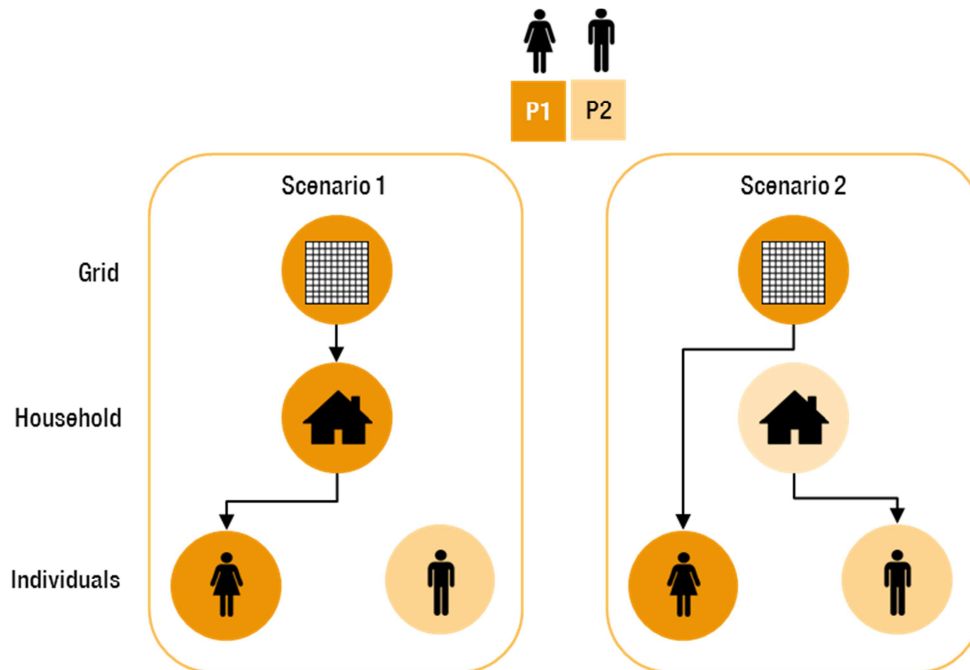
For the IP10 refreshment sample, the ECS allowed interviewers to record whether a sampled address has multiple dwelling units within the address, or if there are multiple households within a dwelling unit. See section 7.2 for further details.

The CAWI questionnaire was developed as three separate instruments: household grid, household questionnaire and individual questionnaire, although still keeping to the principle of having common source code to generate the different instruments.

There are two reasons why the CAWI questionnaire could not exist as one overall instrument. Firstly, the functionality to navigate between parallel blocks is not easy to replicate in CAWI, and would be a difficult task for participants. Secondly, participants would have access to answers from other household members which would breach confidentiality and be unethical. Keeping the household and individual scripts as separate instruments ensures that participants do not have access to answers provided by other household members. The CAPI questionnaire was structured in this way in part to allow consistency with the CAWI instrument.

The diagram below (Fig. 5.1) shows two potential scenarios for which instruments would be answered by people in a two person household.

Fig. 5.1



In Scenario 1, person 1 answers the household grid, and is automatically directed to the household questionnaire and then onto their individual questionnaire. When person 2 logs on, they are directed straight to their individual questionnaire.

In Scenario 2, person 1 answers the household grid, doesn't answer the household questionnaire, and answers their individual questionnaire. Person 2 would answer the household questionnaire and then their individual questionnaire.

Scenarios 1 and 2 differ because there were rules about who could answer the household questionnaire which were explicitly built into the questionnaire. The rules were that the household questionnaire could only be answered by either the person (or one of the people) responsible for paying the bills, such as rent, mortgage, gas or electricity, or by their spouse or partner. These rules were implicit in earlier waves of *Understanding Society*, but needed to be made explicit for CAWI interviewing.

In order to make the CAWI questionnaire appear seamless, participants were initially directed to a web login page. This in turn redirected them to the appropriate instrument that they needed to complete. Respondents were also

redirected on completion of the household instrument, to allow immediate access to the individual questionnaire.

In CAPI, household-level information used for routing and text substitution is transferred to the individual questionnaire using a local XML file which is written following completion of the household grid. In CAWI, this household level information is transferred to the individual questionnaire using an external SQL database.

5.2 Scripting and testing process

5.2.1 Overview

The bulk of the questionnaire was the same for face-to-face, online and telephone modes. Once questionnaire modules were programmed, they were tested individually using online links. This stage involved testing every question and filter condition, including cases where this varied based on mode of interview. Once the individual modules were signed off, they were slotted into a separate "shell" script for each mode, which managed the interaction between the online and face-to-face databases. Where changes were required after the separate scripts had been created, these were applied to both versions (where changes applied to both modes). The full CAPI and CAWI scripts were tested extensively and signed-off prior to the start of fieldwork.

5.3 Summary of script updates during fieldwork

A number of script updates were made during fieldwork (covering all modes). These changes are noted in Tables 5.1 and 5.2, alongside the dates each script version was active.

Table 5.1: Versions of Household script

Dates active	Changes from predecessor
9 th May – 17 th May	<ul style="list-style-type: none"> n/a.
23 rd May – 6 th June	<ul style="list-style-type: none"> A minor change was made to the household grid variable PWCU18abs to include step-children.
7 th June – 8 th October	<ul style="list-style-type: none"> The script was updated to ensure the home ownership question Hsownd and follow up questions in the household questionnaire were asked where the feed-forward variable ff_hsownd was blank. Early fieldwork data checks identified that this was not happening up to this point, which meant that 105 of the IP10 refreshment sample households were not asked this question. A telephone re-contact survey was conducted among these 105 households to attempt to collect the

missing data (see section 5.4 for further details).

Table 5.1: Versions of Household script

Dates active	Changes from predecessor
9 th May – 23 rd May	<ul style="list-style-type: none">n/a.
23 rd May – 2 nd August	<ul style="list-style-type: none">After a respondent contacted the helpline to flag that the survey stalled after selecting that they do not wish to answer about non-resident children, the script was updated to correct this validation error
2 nd August – 8 th October	<ul style="list-style-type: none">A minor change was made to the script to update the label for ff_hsworktrav to ensure that the additional information in the script is correct.

5.4 Household questionnaire re-contact survey

As described in section 5.3, on 7th June 2017 the script was updated to correct an error to that point whereby the home ownership question **hsownd** was not asked in households where ff_hshownd was blank. This affected all IP10 refreshment sample households who took part between the start of refreshment sample fieldwork on 22nd May 2017 until 7th June 2017.

In total, 105 refreshment sample households were not asked **hsownd** and several routed questions based on home ownership status. To gather this missing data, Kantar Public conducted a re-contact telephone (CATI) survey with 96 of the 105 households which provided a contact telephone number in the household questionnaire. The CATI survey took place between 21st July 2017 and 10th August 2017 and yielded completed re-contact interviews with 64 of the 96 households. Responses from these interviews were merged in with the rest of the household questionnaire at the data management stage.

At the end of the CATI survey fieldwork, a CAWI mop-up re-contact survey invitation was sent to a further 14 households which had emails addresses provided. However, this did not yield any further completes.

6. Phase 1: Online only

6.1 Overview of Phase 1

This phase of fieldwork applied only to households in the WEB-first experimental group. The intention was to encourage as many sample members as possible from WEB-first longitudinal households to complete the survey online. In particular, the aim was for all eligible adults within a household to complete online as cost savings are highest where an interviewer is not required to go to the household at all during fieldwork.

A soft launch, comprising 10% of all WEB-first households, took place on 9 May, with the full launch for the remaining WEB-first households on 18 May.

6.2 Encouraging online completion

6.2.1 Initial letters and emails

Initial contact with WEB-first sample members was made via email and letter. Invitation letters informed sample members of the study and gave the URL along with unique login details for a respondent to access their survey online. Sample members who had turned 16 since IP9 were sent a slightly different invitation letter, informing them that they were now eligible to take part in the adult survey. All invitation letters also included the respondent's incentive (see Section 4.2.2 for further details on incentives).

In total, 39 different versions of advanced letters were used for the longitudinal sample, while two versions were used for the refreshment sample.

Invitation emails were sent where a valid email address was available for that sample member. The invitation emails were very similar to the invitation letters and also included a unique link to the survey.

6.2.2 Reminder emails and letters

Non-responders in the CAWI-first longitudinal sample received two email reminders and one letter reminder. The reminder emails were sent on 19 May and 2 June for soft launch households and on 26 May and 6 June for main launch households. Thus, the first reminders were sent 1-2 weeks after the initial invite, and the second reminders 2-3 weeks after the initial invite. Letter reminders were also sent on 2 June for soft launch households and 9 June for main launch households.

A reminder letter was sent to all outstanding cases on June 7th 2017. This letter also served the purpose of informing sample members that face-to-face

interviewing would begin in the coming weeks and so an interviewer would be in touch with them soon.

As well as the reminder emails, respondents who started their questionnaire online but logged off without finishing it received an email encouraging them to log back in and complete the questionnaire.

6.2.3 Letters for new entrants

Once a respondent had completed their household grid online, any new household members could be identified. An invitation letter was sent to any identified adult new entrants, including the online questionnaire URL and unique login details for the participant. The respondent's incentive was also included in the letter. If a valid email address was collected in the household grid, an email was also sent to the new entrant.

6.3 Respondent support

A telephone / email support line was in operation throughout the fieldwork period. Respondents could contact both ISER and Kantar Public with queries.

The survey login page included details on how to contact ISER or Kantar Public for support. These details were also included on each page of the CAWI survey. In addition, a FAQ page was developed on the login page, providing more information about incentives, logging in, how to complete the survey and further background about the study.

In total, over 100 respondents contacted ISER and Kantar Public with queries and updates throughout the fieldwork period. The main reason for contact was login/main script issues, for example lost details and/or frozen screens (mentioned by 42 respondents), followed by respondents informing the helpline of a move/change of address (22) and with queries on incentives (22). Other reasons for contact were to inform of opt outs (18) and to inform of updates to email addresses (10).

7. Phase 2: Face-to-face fieldwork – refreshment sample only fieldwork period

7.1 Overview of Phase 2 – refreshment sample only

During phase 2, interviewers were issued IP10 refreshment sample to work prior to the longitudinal fieldwork period. The refreshment sample was issued to interviewers to work from 22nd May 2017. Twelve addresses were selected for each of the 120 Primary Sampling Units (PSUs) in the study. Interviewers were issued eight of these addresses per PSU at the start of the refreshment sample fieldwork period. Following the start of phase 2, interviewers attempted to contact households in person to recruit and interview. Interviewers were instructed to make a minimum of six face-to-face visits to the address on different days before coding a final 'no contact' outcome. The six visits needed to include at least three visits on a weekday evening (after 7pm) or at the weekend (at least one evening and at least one weekend).

Prior to the start of fieldwork, four addresses per PSU were held in reserve as 'reserve refreshment sample' to be issued only if it was considered necessary to do so. Due to the low response rate amongst the refreshment sample, the reserve refreshment sample was issued to interviewers on 27th July 2017. In total, 1,440 refreshment sample households were issued, 960 at the start of phase 2 and 480 as part of the 'reserve' sample.

7.2 The refreshment sample Electronic Contact Sheet (ECS)

For the IP10 refreshment sample, the ECS allowed interviewers to record whether a sampled address has multiple dwelling units within the address, or if there are multiple households within a dwelling unit. If interviewers identified multiple dwelling units within an address, for example the property was divided into flats, interviewers were instructed to enter a unique description of each dwelling unit into their CAPI laptop. Interviewers were able to conduct an interview at this stage at one of the dwelling units using the serial number assigned to the address, and then wait until they were issued with additional serials for the other dwelling units. In cases where an address has four or more dwelling units, the CAPI machine selected three dwelling units for the interviewer to screen.

Within each dwelling unit for the study there may be multiple households. Interviewers were instructed to attempt to interview at up to three households, if necessary, within each refreshment sample dwelling unit. The process for generating multiple household serials was the same as the process for generating multiple dwelling units.

7.3 Briefing on working the refreshment sample

The IP10 interviewer briefings were focussed largely on discussing strategies to work the refreshment sample effectively. A substantial section in the briefings was dedicated to working the refreshment sample; this included reminding interviewers of strategies to 'sell' surveys to new households, with an emphasis on strategies to effectively introduce *Understanding Society*. Interviewers were also briefed on, and encouraged to share, their own tips for responding to common objections to taking part.

8. Phase 3: Face-to-face fieldwork – refreshment and longitudinal sample fieldwork period

8.1 Overview of Phase 3 – refreshment and longitudinal sample fieldwork

During phase 3, in addition to continuing to work the IP10 refreshment sample, interviewers conducted interviews in person with respondents from CAPI-first longitudinal households and households and individuals from WEB-first longitudinal households who had not completed their survey online. The survey remained available online during this time.

8.2 Distinguishing sample types and sample updates

The Electronic Contact Sheet (ECS) allowed interviewers to access a 'status summary' screen which showed the status of all individuals in both WEB-first and CAPI-first households (e.g. whether not yet started, complete or partially complete). It was stressed to interviewers that it was absolutely vital that, before setting out to interview any respondents from WEB-first households, they must check the 'summary status' screen in the ECS for any updates.

In addition to the status summary screen, interviewers were also informed of updates to the status of WEB-first sample members throughout the fieldwork process. This was handled in the same way as passing on office refusals to interviewers, with members of the Kantar Public management team informing interviewers of updates by phone, email and text message.

Interviewers could contact Kantar Public with queries throughout the fieldwork period. Contact numbers were provided for both a helpline managed by the research team and the CAPI helpdesk. Interviewers were also in regular contact with their regional coordinators to provide updates on progress.

8.3 Managing mixed mode assignments

The CAWI questionnaire remained open throughout the whole fieldwork period, although interviewers were briefed to prioritise face-to-face interviewing unless participants specifically expressed a preference to take part online. Where participants did tell interviewers they wanted to take part online, interviewers were instructed to:

- i. Make sure these respondents had their login details and were able to find the login page;
- ii. Check the progress of these respondents in their status summary screen to see if they had completed online;
- iii. Contact respondents again a week or two later if they had still not completed the survey.

Where these respondents did not go on to complete the survey online within a few weeks, they were reissued to another interviewer to attempt to achieve a face-to-face interview.

8.4 Briefings

Eleven half-day briefings were carried out by the Kantar Public and NatCen research teams (seven by Kantar Public and four by NatCen), with input from the ISER team who provided background to the experimental nature of the study and described previous findings. Each briefing covered the background to *Understanding Society* in general and the Innovation Panel in particular. Briefings also covered the main research objectives of the study, the sample structure, the survey design (including experimental elements), a discussion session on covering and managing WEB-first households and an overview of the survey instruments and procedures. As described above, a large part of each briefing was devoted to discussing the IP10 refreshment sample.

All eleven briefings were conducted with a member of the research team leading a group of interviewers through the content of the session and dealing with any questions that arose. The briefings took place between 13th April and 5th May 2017.

Kantar Public and NatCen each held an interviewer debrief session towards the end of the fieldwork period, with a selection of interviewers from different areas.

8.5 Interviewer materials

8.5.1 Sample Information Sheet (SIS)

A Sample Information Sheet was provided to interviewers for each longitudinal household in their issued sample. This contained additional information from the household's last interview and was designed to help interviewers when contacting the household and planning their calls. The SIS also included information on: the incentive amount for each member of the household and whether it was conditional or unconditional; whether the household was originally allocated to the WEB-first or CAPI-first group, whether individuals were Original, Permanent or Temporary Sample Members, and login information for the CAWI survey.

8.5.2 Doorstep documents

Interviewers were given a number of documents for use on the doorstep. They were provided with a laminated generic advance letter to show to participants to aid recall of the mailing. They were also given copies of an information leaflet (*'Understanding Society: Facts for Participants'*, to be used as required and in particular with new entrants to the study), study branded appointment cards (for use to leave messages when there was no answer or when a participant had missed their appointment), and a two-sided A5 doorstep flyer including basic information about the study.

A full list of materials available to interviewers can be found as an appendix to this report.

8.6 Movers and tracing sample members

Those individuals who had moved since their last interview were traced by interviewers in the field. There are three possible types of moves: a whole household move, where the household has moved together to a new residential address; a split household, where one or more members of the original household have moved to one or more different addresses; and situations where a sample member had moved to an institution (i.e. nursing/ care home/ hospital) and were eligible for interview.

Interviewers were required to complete a number of tracing activities in order to find a potential follow up address, and were provided with tracing and stable contact letters that they could use to help them obtain a new address from the people they spoke to (e.g. sample members' previous neighbours, new occupiers of their old address, a 'stable contact' person nominated by the participant as someone who would know where they are if they moved).

8.7 Incentives for F2F participants

For all known sample members who responded at IP9, pre-activated giftcard incentives were included in the advance letter (see 4.2.2 for more details on incentive amounts). There were also a number of situations in which interviewers issued incentives:

- Where a previous wave non-responding adult participated at IP10, they were given a conditional incentive at the end of their interview;
- Where an adult respondent reported having not received their incentive in the advance letter, the interviewer issued an incentive of the same amount;
- New adult entrants to the household were issued an incentive of the same amount as the rest of the household had received;

- Young people (aged 10-15) received a £5 unconditional incentive to encourage them to complete the young person self-completion booklet.

Interviewers were provided with a stock of additional incentives which they monitored and requested further supply where required.

8.8 Return of work

Interviewers were asked to return work electronically at the end of each working day. This involved completing a 'DAYREC' (with information on calls made each day) and sending back any interviews completed or audio recordings taken.

9. Response

9.1 Household level response

A total of 1,410 continuing households were issued at IP10. Of these, 15 were found to be now ineligible for the study (for example, through death or leaving the UK), while 68 new households were created through one or more household members moving to a new address. This resulted in a total of 1,463 longitudinal households being eligible for interview at IP10.

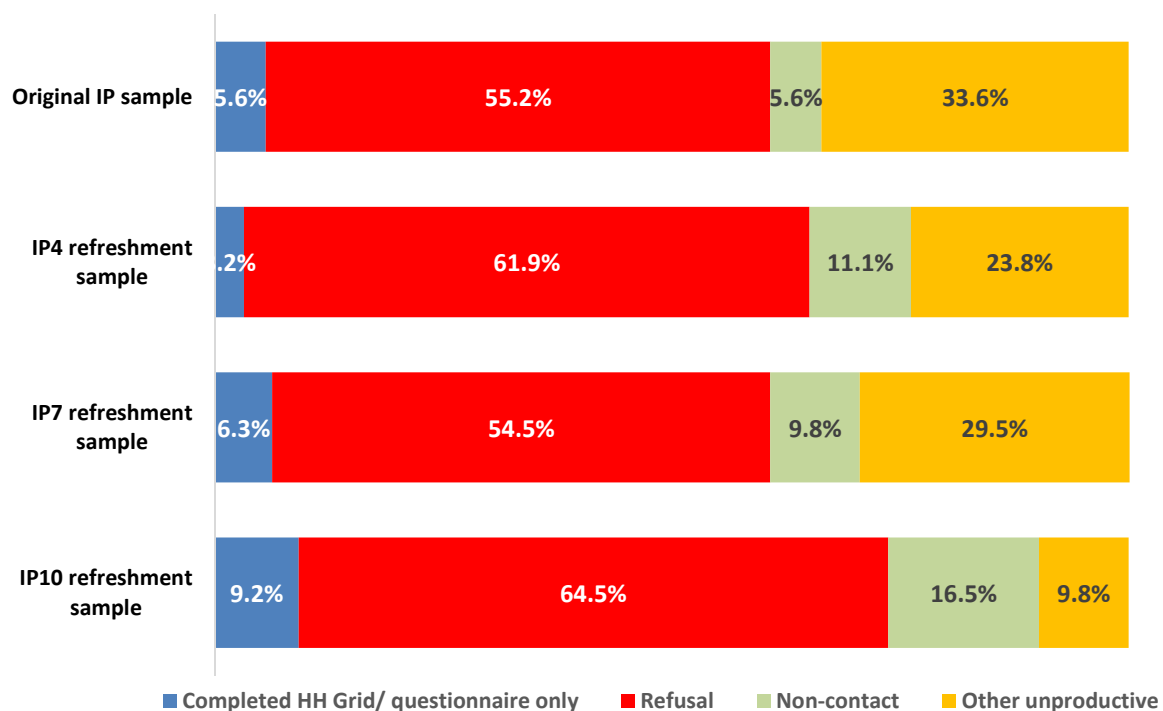
Of these eligible households, 78.3% were productive at IP10 with 59.9% fully productive, that is, interviews were completed with all eligible adults in the household.

In addition, 1,415 households were issued for the refreshment sample at IP10. 960 were issued at the start of IP10 fieldwork, while a further 455 'reserve' refreshment sample addresses were issued in July. Eighty six were found to be ineligible (for example non-residential addresses or vacant/ empty housing units), while 20 new households were created during fieldwork (for example based on multiple dwelling units), resulting in a total of 1,349 eligible households making up the refreshment sample (Table 9.1).

<i>Table 9.1: Household response by sample origin</i>					
<i>Base: All eligible households</i>	Original IP sample	IP4 refreshment sample	IP7 refreshment sample	IP10 refreshment sample	Total
Any productive	80.1% 575	80.8% 265	73.1% 305	25.0% 337	52.7% 1,482
Fully productive	62.5% 449	60.1% 197	55.4% 231	17.1% 231	39.4% 1,108
Partially productive	17.5% 126	20.7% 68	17.7% 74	7.9% 106	13.3% 374
Any unproductive	19.9% 143	19.2% 63	26.9% 112	75.0% 1,012	47.3% 1,330
HH Grid or HH Grid + Qnr only	1.1% 8	0.6% 2	1.7% 7	6.9% 93	3.9% 110

Refusal	11.0%	11.9%	14.6%	48.4%	29.6%
	79	39	61	653	832
Non-contact	1.1%	2.1%	2.6%	12.4%	6.9%
	8	7	11	167	193
Other unproductive ²	6.7%	4.6%	7.9%	7.3%	6.9%
	48	15	33	99	195
<i>Bases</i>	<i>718</i>	<i>328</i>	<i>417</i>	<i>1,349</i>	<i>2,812</i>

Figure 9.1 Outcomes of unproductive households by sample type



9.1.1 Response given productivity at previous wave (IP9)

Table 9.2 shows response for households based on their outcome at IP9. Overall, 87.9% of households that were productive at IP9 were again productive at IP10, with 67.4% fully productive. In total, 31.8% of households that did not take part in the previous wave but were issued for IP10 were productive this wave.

² This includes households that said they would complete online but did not do so, those unable to take part due to ill health, and a range of other unproductive outcomes that fall outside refusals and non-contacts.

Table 9.2: Household response by outcome last wave

<i>Base: Households also eligible at IP9</i>	Productive last wave	Unproductive last wave	Total
Any productive	87.9% 1,069	31.8% 57	80.5% 1,123
Fully productive	67.4% 820	22.9% 41	61.6% 859
Partially productive	20.5% 249	8.9% 16	18.9% 264
Any unproductive	12.1% 147	68.2% 122	19.5% 272
HH Grid or HH Grid + HH Qnr only	1.1% 13	1.1% 2	1.3% 18
Refusal	7.6% 93	46.9% 84	12.7% 177
Non-contact	1.2% 14	6.1% 11	1.8% 25
Other unproductive	2.2% 27	14.0% 25	3.7% 52
<i>Bases</i>	<i>1,216</i>	<i>179</i>	<i>1,395</i>

9.1.2 CAPI-first and WEB-first allocations

Of the eligible longitudinal households, 541 were allocated to the CAPI-first sample and 922 were allocated to the WEB-first sample. Some households in the WEB-first sample were given higher incentives (see Section 4.2.2); considering only the £10 incentive group, response rates for the CAPI-first and WEB-first samples were broadly similar (Table 9.3).

Table 9.3: Household response by mode allocation

<i>Base: Households offered £10 incentive</i>	CAPI-first sample	WEB-first sample	Total
Any productive	75.6% 356	73.1% 277	74.5% 633
Fully productive	56.5% 260	52.5% 199	54.7% 465
Partially productive	19.1% 90	20.6% 78	19.8% 168
Any unproductive	24.4% 115	26.9% 102	25.5% 217
HH Grid or HH Grid +	0.8%	1.6%	1.2%

HH Qnr only	4	6	10
Refusal	14.6%	15.3%	14.9%
	69	58	127
Non-contact	1.9%	2.6%	2.2%
	9	10	19
Other unproductive	7.0%	7.4%	7.2%
	33	28	61
<i>Bases</i>	<i>471</i>	<i>379</i>	<i>850</i>

9.1.3 Incentive groups

Table 9.4 shows household response rates for the WEB-first sample, based on the different levels of incentives offered (see Section 4.2.2 for further details on incentives). Households in the £30 incentive group were significantly more likely to be productive than those in the £10 group.

Table 8.4: Household response by incentive group

<i>Base: Eligible WEB-first households (excluding IP7 and IP10 refreshment samples)</i>	£10 incentive	£10 + £20 on full household completion	£30 incentive	Total
Any productive	77.4% 154	82.4% 173	85.7% 203	82.0% 530
Fully productive	55.8% 111	66.2% 139	69.2% 164	64.1% 414
Partially productive	21.6% 43	16.2% 34	16.5% 39	18.0% 116
Any unproductive	22.6% 45	17.6% 37	14.3% 34	18.0% 116
HH Grid or HH Grid + HH Qnr only	1.0% 2	1.0% 2	1.3% 3	1.1% 7
Refusal	13.6% 27	10.0% 21	5.9% 14	9.6% 62
Non-contact	3.0% 6	1.0% 2	0.8% 2	1.5% 10
Other unproductive	5.0% 10	5.7% 12	6.3% 15	5.7% 37
<i>Bases</i>	<i>199</i>	<i>210</i>	<i>237</i>	<i>646</i>

9.1.4 Response rates in different modes

Despite the mixed mode design of the survey, the majority of productive households took part through a single mode (Table 9.5). Of households allocated to the WEB-first group, 5.2% took part through more than one mode. A little over half of web first households (56%) took part online only.

Table 9.5 shows the breakdown of response for Web-first households.

Table 9.5: Mode of completion by incentive group				
<i>Base: WEB-first households</i>	£10 incentive	£10 incentive + £20 on full household completion	£30 incentive	Total
Online only	47.8% 181	61.0% 128	62.5% 208	56.1% 517
Online only (fully productive)	34.3% 130	48.1% 101	52.9% 176	44.1% 407
Face-to-face only	20.8% 79	17.1% 36	15.0% 50	17.9% 165
Telephone only	0.3% 1	0.0% 0	0.3% 1	0.2% 2
Mixture of modes	4.2% 16	4.3% 9	6.9% 23	5.2% 48
Unproductive	26.9% 102	17.6% 37	15.3% 51	20.6% 190
<i>Bases</i>	379	210	333	922

9.2 Individual response

A total of 2,468 full adult interviews were conducted for IP10. There were also 15 partial adult interviews and a further 89 proxy interviews conducted in productive households.

This gives an individual response rate for full / partial interviews within productive households of 83.9% (Table 9.6). Including proxy interviews, the overall individual response rate was 86.9% within productive households.

Although the number of adults in unproductive households in the refreshment sample is uncertain, an estimate of the total individual response rate for all eligible households can be made using the average number of adults in productive households. On average, there were 2.00 eligible adults in productive households. Once this is applied to unproductive households, the estimated total individual response rate is 45.9% (including partial adult interviews), or 47.6% including proxy interviews.

Table 9.6: Individual response

<i>Base: All adults</i>	Adults in productive households	<i>Adults in all eligible households*</i>
Full interview	83.4% 2,468	45.7% 2,146
Partial interview	0.5% 15	0.3% 29
Proxy interview	3.0% 89	1.6% 63
Unproductive	13.1% 388	52.4% 836
Bases	2,960	3,067

**Estimated based on average number of adults in productive households*

Table 9.7 shows the individual response rate within productive households based on the wave at which households were first included in the sample; the individual response rates were very similar across the original IP sample, the IP4 refreshment sample and the IP7 refreshment sample, and a little lower for the IP10 refreshment sample.

Table 9.7: Individual response by sample type

<i>Base: Adults in productive households</i>	Original IP Sample	IP4 Refreshment Sample	IP7 refreshment Sample	IP10 refreshment sample	Total
Full interview	85.4% 993	83.8% 456	84.6% 522	78.1% 497	83.4% 2,468
Partial interview	0.8% 9	0.7% 4	0.2% 1	0.2% 1	0.5% 15
Proxy interview	1.6% 19	2.8% 15	3.6% 22	5.2% 33	3.0% 89
Unproductive	12.2% 142	12.7% 69	11.7% 72	16.5% 105	13.1% 388
<i>Bases</i>	<i>1,163</i>	<i>544</i>	<i>617</i>	<i>636</i>	<i>2,960</i>

9.2.1 Individual response given productivity at previous wave (IP9)

Table 9.8 gives the individual response based on individuals' outcomes at IP9. 83.7% of adults who were productive at IP9 also gave a full or partial interview at IP10, while 27.9% of those who were unproductive at IP9 gave a full interview at IP10.

Table 9.8: Individual response by outcome last wave

<i>Adults issued at both IP9 and IP10</i>	Productive last wave	Proxy last wave	Unproductive last wave	Total
Full interview	83.2% 1,751	25.0% 14	27.2% 158	70.2% 1,923
Partial interview	0.5% 10	0.0% 0	0.7% 4	0.5% 14
Proxy interview	0.6% 13	50.0% 28	2.2% 13	2.0% 54
Unproductive	15.7% 330	25.0% 14	69.8% 405	27.3% 749
<i>Bases</i>	<i>2,104</i>	<i>56</i>	<i>580</i>	<i>2,740</i>

9.2.2 Incentive groups

Table 9.9 shows the response for adults in WEB-first households by different incentive levels. Individual response rates were higher for those receiving a greater incentive amount, although there was very little difference between the £30 incentive and those who received £10 with a further £20 on full household completion.

Table 9.9: Individual response by incentive group

<i>Base: Adults in productive WEB-first households</i>	£10 incentive	£10 + £20 on full household completion	£30 incentive	Total
Full interview	82.4% 473	87.8% 317	87.6% 524	85.7% 1,314
Partial interview	0.9% 5	1.1% 4	0.5% 3	0.8% 12
Proxy interview	2.3% 13	0.3% 1	1.0% 6	1.3% 20
Unproductive	14.5% 83	10.8% 39	10.9% 65	12.2% 187
<i>Bases</i>	<i>574</i>	<i>361</i>	<i>598</i>	<i>1,533</i>

9.2.3 Response rates in different modes

Table 9.10 gives the modes by which adults in WEB-first households completed the survey. Those given higher incentives were more likely to take part online; 68.5% of adults in productive households with a greater incentive completed online, compared to 59.1% of those given a £10 incentive only.

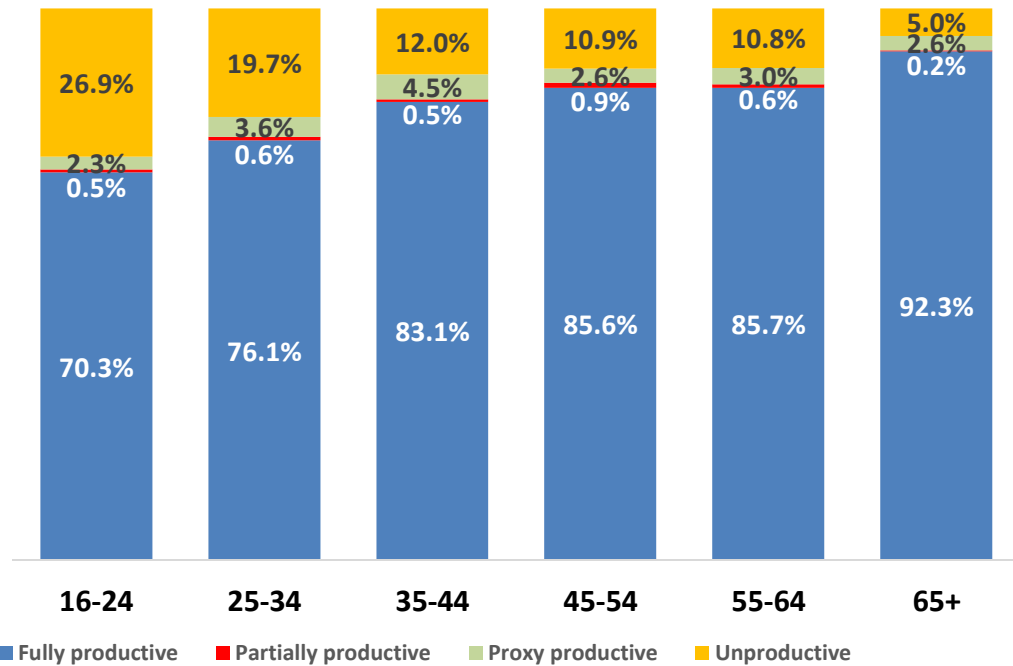
Table 9.10: Mode of completion by incentive group

<i>Base: Adults in productive WEB-first households</i>	£10 incentive	£10 incentive + £20 on full household completion	£30 incentive	Total
Productive – Online	59.1% 339	68.1% 246	68.7% 411	65.0% 996
Productive – Telephone	0.2% 1	0.0% 0	0.3% 2	0.2% 3
Productive – Face-to-face	24.0% 138	20.8% 75	19.1% 114	21.3% 327
Proxy productive (Face-to-face)	2.3% 13	0.3% 1	1.0% 6	1.3% 20
Unproductive	14.5% 83	10.8% 39	10.9% 65	12.2% 187
<i>Bases</i>	<i>574</i>	<i>361</i>	<i>598</i>	<i>1,533</i>

9.2.4 Response rates by age

As in previous waves, there was a substantial difference in individual response given the age of respondents (Figure 9.1). More than nine in ten adults aged 65 or above (92.3%) in productive households completed a full interview at IP9 compared to less than three quarters of 16-24 year olds (70.3%).

Figure 9.1 Individual response rates by age



Base (All adults in productive households): 16-24 (431); 25-34 (360); 35-44 (426); 45-54 (541); 55-64 (538); 65+ (664)

10. Data preparation

10.1 Data coding, editing and scanning

The majority of data validation was carried out in the field. Extensive range and consistency checks were included in the CAPI program in order to prompt interviewers to clarify and query any data discrepancies directly with the respondent in real time. Equivalent checks were built into the CAWI program to query unlikely or unfeasible responses with respondents as they progressed through the interview.

Both hard and soft checks were built into the scripts. Hard checks required the interviewer/respondent to change a response before progressing to the next question and were used for unfeasible response combinations. Soft checks were used for unlikely but feasible responses and prompted respondents to review their answers before progressing further.

All cases were also passed through an in-house edit to identify any further issues. All self-completion data was passed through an edit to check for any respondent routing and coding errors.

10.2 SIC and SOC coding

Four-digit SIC and SOC coding was carried out in the employment and proxy sections of the adult questionnaire as well as in the youth self-completion questionnaire.

10.3 Reconciling outcome codes

All outcome codes were reviewed at the close of fieldwork. This process involved assessing final CAPI and/or CAWI outcome codes recorded for each household and individual and ensure that the correct outcome was taken. Consistency checks were also carried out between the household and individual outcomes – e.g. ensuring that only households where all eligible adults had completed an interview were given a fully complete household outcome code.

Appendix: Fieldwork documents

The following documents were included in interviewer assignment packs:

Document	Details
Assignment materials	
Assignment Map	Map showing locations issued addresses in assignment
Results Summary Sheet	Paper sheet for interviewers to record details of progress through assignments
Assignment Sheet	Details of assignment
Sample Information Sheet (SIS)	Details about sample members (see Section 7.5.1 for further details)
Police Form	Form for registering at local police station
Interviewer Feedback Form	Form for interviewers to give feedback about working on IP10
Supporting materials/information	
Project Instructions	Detailed interviewer instructions for IP10
Showcards	Book of showcards used in survey
Information Leaflet	Information about <i>Understanding Society</i>
Advance Letter	Copies of the advance letter received by respondents inviting them to take part
<i>Understanding Society</i> case studies	Examples of how data for <i>Understanding Society</i> has been used
Benefits consent information leaflet	Information about the anonymous linking of DWP data to survey responses
Data linkage consent flowchart	Information explaining anonymization of data from DWP
Self-completion questionnaires	
Youth questionnaire	Self-completion questionnaire for 10-15 year olds

Document	Details
Letters, cards and flyers	
Tracing Letter	Letter to be sent to new address if respondent has moved from issued address
Stable Contact Letter	Letter for interviewers to send to designated stable contact if unable to contact respondent directly
Thank you flyer	Leaflet thanking respondents for taking part
MRS leaflet	Leaflet detailing respondent's rights under the MRS Code of Conduct
Change of Address card	For respondents to report any change of address between waves
Interviewer card	<i>Understanding Society</i> branded cards for interviewers to use
Envelopes	
ISER Freepost Envelope	Envelopes for returning change of address cards
'Private and Confidential' privacy brown envelopes for youth questionnaire	Privacy envelopes for youth questionnaires
Freepost brown envelopes	Envelopes for returning youth questionnaires in their privacy envelopes
Pre-stamped 1 st Class blank envelopes	Envelopes for sending tracing and stable contact letters
Gift voucher/Gift card materials	
Love2Shop Gift cards	Incentives for youth respondents, new entrants or adult participants who said they did not receive an incentive with their advance letter