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Understanding Society Innovation Panel Wave 5

Technical Report

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Contents

Tables

Figures

1 Introduction

1.1 Background

This report provides an account of the methodology used in the fifth wave of the Innovation Panel (IP5) of *Understanding Society*.

Understanding Society is a major household panel study which has been commissioned by the Economic and Social Research Council (ESRC). Taken as a whole, it is the largest study of its kind in the world; interviewing people in a total of 40,000 households across the UK. It is led by the Institute for Social and Economic Research (ISER) at the University of Essex. The survey is known as the UK Household Longitudinal Study (UKHLS) among the academic community.

Understanding Society provides valuable new evidence about people throughout the country, their lives, experiences, behaviours and beliefs, and will enable an unprecedented understanding of diversity within the population. The survey will assist with understanding the long-term effects of social and economic change, as well as policy interventions designed to impact upon the general well-being of the UK population. The data will be used by academic researchers and policy-makers within government departments, feeding into policy debates and influencing the outcome of those debates.

The survey collects data from all household members aged 10 and above on an annual basis. Annual interviewing allows us to track relatively short-term or frequent changes in people's lives, and the factors that are associated with them. As the years of the survey build up we will be able to look at longer-term outcomes for people in the sample.

The Innovation Panel has been designed, and established as a separate panel, to enable methodological research such as testing new question formats, methods of asking questions and different data collection modes. Examples of methods testing in the Innovation Panel have included:

- Comparison of different incentive types on response rate
- Testing of different question formats to inform design at future main stage waves of the survey where a mixed mode design is planned
- Using a mixed mode data collection design

The Innovation Panel was also designed to be the forerunner to the next wave of the main survey, as conclusions from the Innovation Panel are considered in the development of the main stage instruments. The Innovation Panel is conceived as part of the larger study and contributes to the total sample of 40,000 households. It is important to note that the Innovation Panel is not a pilot panel and has not been established to replace the need for normal questionnaire pilots and dress rehearsals.

1.2 Aims of Innovation Panel 5 (IP5)

IP5 is the first stage of *Understanding Society* Wave 5 and is the fourth wave of longitudinal data collection.

A number of elements were tested in IP5, including:

- Exploring the feasibility of the mixed-mode approach in longitudinal surveys;
- Investigating the impact of incentives on response rates, efficiency of fieldwork and costs;
- Comparing potentially ambiguous questions with improved versions;
- Investigating the impact of question placing and phrasing; and
- Understanding panel conditioning in self-reported longitudinal data.

2 Sample Design

The sample issued for IP5 totalled 1,535 households, which were randomly allocated to either face-to-face (F2F) or internet (WEB) group. The sample comprised of all productive and some unproductive households from IP4. Adamant refusals and households which had not responded for the last two waves had been removed from the sample.

2.1 Face-to-face sample

The size of the issued F2F sample was 513 households. The F2F group was surveyed face-to-face and internet was not used at any stage. All interviewing in this group was done using Computer Assisted Personal Interviewing (CAPI). For all households in the sample, an interview was conducted with one adult in that household to enumerate the household, establish eligibility and collect information at the household level. Individual CAPI interviews were then attempted with every adult (age 16+) in the household. Adults also completed a self-completion questionnaire (either paper or Computer Assisted Self Interviewing [CASI]). A separate paper self-completion was given to all young people in the household aged 10-15.

2.2 Web sample

The size of the issued WEB sample was 1,022 households. The WEB group was invited to complete the survey online 13 days before the start of the F2F fieldwork. Any WEB cases where the interviewing had not been completed before the start of the F2F fieldwork, were transferred to F2F, although the WEB remained open.

In households initially allocated to WEB but subsequently allocated to a face-to-face interviewer, the interviewer attempted to complete the household as usual.

2.3 Core and refreshment samples

The IP5 sample consisted of the core sample and the IP4 refreshment sample. The core sample was the longitudinal component of the IP5 sample and comprised the established panel households, originally interviewed at IP1. Due to attrition at previous waves, the sample for IP4 was boosted to bring the panel back to a total of 1,500 households to enable analysis of the experimental elements. This additional 'refreshment sample' was a PAF sample of new addresses drawn from the same points as the original IP1 sample. All households in the refreshment sample that were productive in IP4 were included in the IP5 sample. Unproductive refreshment sample cases were not included.

2.4 Distinguishing sample types

In order for interviewers to be able to distinguish between F2F and WEB households, and therefore tailor their doorstep and fieldwork approach, an indication of the sample type was included on each household's Address Record Form (ARF). In addition, the WEB and F2F households were stored at different slots on the case management system (CMS) on interviewers' laptops. All WEB cases including the WEB completes were issued to F2F interviewers. However, the WEB complete cases were marked as such on the CMS and interviewers' access to these cases was restricted.

2.5 Allocation of sample to random experimental groups

The experiments on IP5 were a mix of longitudinal (carried on previous IPs) and new. The allocation into experimental groups was done at the household level. In other words, all eligible adults in a household received the same treatment for any given experiment. This also included any new entrants or re-joiners to issued households.

Some of the experiments were applicable only to the WEB sample, such as advance emailing experiment, whilst others applied to both (i.e. incentives).

3 Experiments

IP5 included a number of experiments which allowed us to test different methodological approaches. There were two types of experiments: procedural (e.g. incentives experiment) and questionnaire (e.g. phrasing and placement of questions) experiments.

3.1 Procedural Experiments

3.1.1 Mixed modes experiment

The experiment involved offering a proportion of the households the possibility of completing the questionnaire online. The rest of the sample were approached face-to-face as before. This would allow estimating the take-up of the WEB instrument and the impact of this mode on the response rates and costs of the survey. See section 4 below for more detailed discussion of the experiment.

3.1.2 Incentives experiment

The IP5 incentives experiment was a continuing experiment from previous Innovation Panels. It assessed the impact of incentives on response rates, efficiency of fieldwork and costs. Incentives were sent in the advance mailing. On IP5, sample members received either £5, £10, £20, or £30 with a sub-group of the WEB sample receiving an additional £5 if all adults in the household took part online. For most households this was the same level of incentive as at IP5 except two groups which were in the £5-£10 incentive condition at previous wave but at IP5 were randomly assigned to receive £5 and £10.

3.1.3 Adult Self-completion mode experiment

On IP5 households that were interviewed face-to-face were split into two groups: paper and CASI self-completion. Households were randomly allocated to either receive the same self-completion mode as at IP4, or the other mode. This design gave the opportunity of looking at the effects that different and changing modes of the self-completion instrument had on the reliability of longitudinal measures. The mode of adult self-completion was indicated on the front of the ARF.

3.1.4 Youth paper self-completion: smiley-faces vs. text-based questions

This experiment examined how to adapt questions for surveying young people. On IP5 two versions of the youth paper self-completion questionnaire were used. Half of the young people received a self-completion which used smiley faces for the questions on satisfaction in different domains (Question 20), and the other half received a document which used a scale with a textual description but no smiley faces. The version to use in a particular household was indicated on the front of the ARF.

3.1.5 Weekday of advance mailing

The experiment examined ways of maximising take-up of the web survey. Half of the WEB sample was sent advance mailing on a Friday, and the other half on a Monday.

The aim of this experimental manipulation was to explore whether the day on which the email invitation to the web survey was sent had any effect on the response rates.

3.1.6 Conditional incentives

In addition, half of the WEB sample were offered an additional incentive if all household members completed interviews online by the date specified in the advance letter. The aim of this experiment was to explore whether conditional incentives – offered in addition to the existing unconditional incentives – would increase the take-up of the web survey.

3.1.7 Measuring household energy use

Another experiment investigated the feasibility of measuring households' energy use by collecting gas and electricity meter readings as well as odometer readings from households that owned a car. There were two dimensions to this experiment. First, meter readings were mentioned in the advance letter for half of the sample. Secondly, which meter readings were measured also varied. Households were asked for gas and odometer, electric and odometer, or all three of gas, electric and odometer.

3.1.8 Advance letter wording

The sample was divided into four experimental conditions based on what persuasion text they received in the advance letters. The first group received an additional sentence "your responses in previous survey show that you are a helpful person"; the second group got a sentence "almost everyone like you responded in the last wave of the survey"; the third group got both sentences; and the last, control, group got no such sentences in their advance letters. The experiment tested theories about how people could be persuaded to take part in a survey.

3.1.9 Expectations about future earnings

Respondents aged 16-21, and both of their parents, were asked questions about their expectations regarding the following: the likelihood of achieving A-levels, of applying to university for different subjects, of being accepted at university, expected costs, expectations of finding a job and of earnings conditional on having a university degree in a particular subject or conditional on having only a high school degree. Half of the respondents received an *information treatment* (a leaflet showing the distribution of wages among those only with A-levels and among university graduates by gender) while the other half did not receive any information. When prompted by CAPI, interviewers handed over the leaflet to a respondent. In the WEB interview the leaflet was displayed to the control group on screen and they had an opportunity to have it sent to their email address. The experiment investigated whether providing information about the returns to schooling in the UK would influence (i) beliefs about respondents' own (or that of their children's) returns to schooling and (ii) the decision to go to university.

3.2 Questionnaire Experiments

3.2.1 Question-phrasing

Some of the questionnaire experiment tested how question wording affected measurements, to find out which approach would yield the most accurate/complete/reliable answers. The different versions were allocated across the

sample and interviewers so the interviewers were instructed to read the questions from the CAPI screen carefully and **exactly as scripted** to ensure that the experimental design was followed as intended.

The question-phrasing experiments included:

- **Branching in rating scales**: The questionnaire included a number of modules that asked people for their attitudes. In these questions two variants of rating scales were used: 'unbranched' where the respondent was asked to select their answer from a five-point scale (Strongly agree, Agree, Neither, Disagree, Strongly Disagree); or 'branched' where respondents were first asked to indicate whether they agreed or disagreed (or neither) and then whether they agreed/disagreed strongly or somewhat.
- **Wording of Dependent Interviewing questions**: At various points, the questionnaire determined whether the respondent's situation had changed at all – including their health and various aspects of their work conditions, for example. Respondents were asked whether the situation was "still the case", whether the situation "has changed", or whether the situation "has changed or is still the case" to determine whether respondents would tend to shorten the interview process by always agreeing with filter questions.
- **Life satisfaction rating**: Respondents were randomly allocated to rate their life satisfaction, 1) comparing themselves to other people of the same gender, 2) compared to others with the same level of education, 3) compared to others of their gender and education, or 4) without reference to any comparison group. All satisfaction items were subject to this experiment: employment, health, leisure, income and overall life satisfaction. The experiment aimed to help understand which comparison group people had in mind when they answered questions about life satisfaction.
- **Partner satisfaction with work division**: This experiment measured satisfaction with work arrangements within partners. It asked all adults to report their expected level of satisfaction with a set of hypothetical household division of labour arrangements using a seven-point scale, from completely dissatisfied, 1, to completely satisfied, 7. The hypothetical arrangements varied along six dimensions: paid work; earnings; presence of children; housework allocations; and use of paid help. Households were randomly allocated to treatments and all individuals within the household received the same set of hypothetical questions.

3.2.2 Question placement

The placement of questions within a questionnaire might also impact on people's willingness to answer or the answer they give. There was one experiment that explored such effects:

- **Fertility intentions**: in the CASI part of the questionnaire, people in the age group who were still able to have or father children were asked if they intended to have more children or not. The placement of this question was varied in the CASI. It was asked either just before or just after asking people about their three closest friends, to assess whether the context of placing the question (i.e. asking about children directly after close relationships) would have an impact on people's answers.

3.2.3 Experimental modules

Lastly, there were two modules which explored specific experimental questions:

- **Mode preference module**: At the end of the individual questionnaire all respondents are asked about their views on different modes of interviewing including face-to-face, telephone and web.
- **Height and weight module**: All respondents were asked for their height and weight. This was a repeat question and comparing earlier answers to the ones collected on IP5 would allow us to see whether asking respondents in a panel survey again had an impact on how they answered, e.g. whether their answers got increasingly precise.

3.3 Issues with implementation: Feed-forward errors in the questionnaire

The grid, household questionnaire and individual questionnaires were all programmed as separate CAWI instruments, whereas the CAPI was programmed as one combined instrument. In previous waves, the feed-forward data sat within the household grid, and any textfills or routing in the household or individual questionnaires were programmed via a reference to the household grid data. In IP5, because the CAWI instruments were programmed separately, the feed-forward data needed to be copied into these instruments, so that it could be referenced within the household or individual instrument. Each feedforward variable was copied individually (using code), and human error meant that there were mistakes in the code copying feed-forward data into the household and individual questionnaires. For subsequent waves, the whole feedforward is copied as a block, to ensure that all feedforward variables are copied correctly.

Feed-forward variables determine which experimental questions are asked in an interview, so where there were errors copying the feed-forward data this corrupted some of the experiments. This section describes the problems that occurred and the effect that these had on the questionnaire.

3.3.1 Household questionnaire

At the household level, there were problems with three feed-forward variables: FF_RentWC, FF_MetersW5 and FF_DIW5. The error was that first the FF_RentWC variable was copied into the FF_DIW5 variable overwriting the correct values, then these were in turn overwritten by the FF_MetersW5 variable being wrongly copied into FF_DIW5.

The FF_MetersW5 variable in the household questionnaire was blank which meant that none of the experimental questions about gas or electricity meter readings were asked. This affected GasUse to GasEst and ElecUse to ElecEst.

Additionally the FF_DIW5 variable did not have the correctly assigned experimental values, as these were overwritten with the experimental values from FF_MetersW5. This meant that the dependent interviewing (DI) experimental variables in the household questionnaire were confounded, in that some DI questions were asked, but not the ones that should have been according to the experimental design. There were four sets of questions affected by this confounding: HsRooms/HsBeds (number of bedrooms and other rooms at the address); HsOwnd (tenure); XPMg (monthly mortgage payments) and Rent/RentWC (amount and frequency of rent).

The affected variables in the household questionnaire were:

Variable	Impact
FF_MetersW5	Blank due to programming error
FF_DIW5	Incorrect values due to programming error
Hsroomchk_a	Asked, but wrong experimental version due to error in FF_DIW5
Hsroomchk_b	Asked, but wrong experimental version due to error in FF_DIW5
Hsroomchk_c	Asked, but wrong experimental version due to error in FF_DIW5
Hsroomchk_d	Asked, but wrong experimental version due to error in FF_DIW5
HsOwndChk_a	Asked, but wrong experimental version due to error in FF_DIW5
HsOwndChk_b	Asked, but wrong experimental version due to error in FF_DIW5
HsOwndChk_c	Asked, but wrong experimental version due to error in FF_DIW5
HsOwndChk_d	Asked, but wrong experimental version due to error in FF_DIW5
XpMg_a	Asked, but wrong experimental version due to error in FF_DIW5
XpMg_b	Asked, but wrong experimental version due to error in FF_DIW5
XpMg_c	Asked, but wrong experimental version due to error in FF_DIW5
XpMg_d	Asked, but wrong experimental version due to error in FF_DIW5
FF_RentWC	Blank due to programming error
RentChk_a	Asked, but wrong experimental version due to error in FF_DIW5, and textfill for FF_RentWC (frequency of paying rent) was blank
RentChk_b	Asked, but wrong experimental version due to error in FF_DIW5, and textfill for FF_RentWC (frequency of paying rent) was blank
RentChk_c	Asked, but wrong experimental version due to error in FF_DIW5, and textfill for FF_RentWC (frequency of paying rent) was blank
RentChk_d	Asked, but wrong experimental version due to error in FF_DIW5, and textfill for FF_RentWC (frequency of paying rent) was blank
GasUse	Not asked due to programming error in FF_MetersW5
gasuse_cawi	Not asked due to programming error in FF_MetersW5
GasMeter	Not asked due to programming error in FF_MetersW5
gasest	Not asked due to programming error in FF_MetersW5
ElecUse	Not asked due to programming error in FF_MetersW5
ElecMeter	Not asked due to programming error in FF_MetersW5
elecest	Not asked due to programming error in FF_MetersW5

3.3.2 Individual questionnaire

There was an error in the code copying three feed-forward variables in the employment modules of the individual questionnaire which meant that they were blank, namely: FF_JbMngr, FF_JbSize and FF_JbTerm1. FF_JbMngr being blank meant that everyone was asked JbMngr (managerial/supervisory status), and no-one was asked JbMngrChk which was meant to check whether their status was the same as the previous wave. The consequence of FF_JbSize and FF_JbTerm1 being blank was that none of the four variants of DI questions checking status for each question from the previous wave were asked and everyone (who was eligible) was simply asked JbSize (number of employees) and JbTerm1 (whether job was permanent or temporary).

Due to an error in the code, none of the FF_BenType01 to FF_BenType37 variables were copied into the Individual questionnaire. This affected the NFH01 to NFH37 variables about benefit income. It only affected those people who did not mention a benefit that they said they were receiving the previous year. Such people will not have received the additional prompt question reminding them of last year's answer. Our estimate is that around three-quarters of respondents were not eligible to be asked any additional prompt questions in the first place; of those who were eligible to be asked any, a large majority (around 70 per cent) only missed out on one such question, 20 per cent missed out on two, and ten per cent missed out on three or more.

The FF_CASIW5 variable was not originally copied into the individual questionnaire at the start of fieldwork. Interviewers initially noticed the problem because no-one was being asked to do a paper self-completion questionnaire. Because a CASI section was appearing for everyone, they did not appreciate that some respondents were not getting the experimental questions, and were answering only those outside the CASI/Paper experiment.

The problem with the missing CASI questions was only resolved after the second of two program updates in the field was applied. On Friday 8 June we issued a first program update; this brought the relevant section (containing the instructions for paper self-completions) on to the route, but interviewers reported that it was still failing to be populated with the names of the respondents who were eligible for paper self-completions, thus revealing a problem with the transfer of the ff_CASIW5. This was rectified with a further program update at the end of Monday 11 June that brought the experimental questions in the CASI section on route. This means that the experimental CASI questions were not asked during the interviews that were carried out before this. This constitutes around 50 per cent of those eligible to receive the questions in face-to-face CASI mode did not get asked the experimental questions (313 people, based on unedited data). It should be noted that this does not confound the experiment (i.e. no respondents were asked questions in the wrong mode), but the reduced numbers mean that it does reduce its power to detect mode differences.

The affected variables in the individual questionnaire were

Variable	**Impact**
FF_JbMngr	Blank due to programming error
JbMngrChk	Not asked because FF_JBMNGR was blank
FF_JbSize	Blank due to programming error
JbSizeChk_a	Not asked because FF_JBSIZE was blank
JbSizeChk_b	Not asked because FF_JBSIZE was blank
JbSizeChk_c	Not asked because FF_JBSIZE was blank
JbSizeChk_d	Not asked because FF_JBSIZE was blank
FF_JbTerm1	Blank due to programming error
JbTerm1_a	Not asked because FF_JBTERM1 was blank
JbTerm1_b	Not asked because FF_JBTERM1 was blank
JbTerm1_c	Not asked because FF_JBTERM1 was blank
JbTerm1_d	Not asked because FF_JBTERM1 was blank
FF_BenType01-FF_Bentype37	Blank due to programming error
NFH01-NFH37	Not asked because FF_BENTYPE01 – FF_BENTYPE37 were blank
FF_CAWIW5	Blank for some cases
SF12 Module	Not asked of some respondents (identified by variable E_CASIFLAGER) due to programming error that meant that some respondents were not asked part of the self-completion questions
GHQ Module	Not asked of some respondents (identified by variable E_CASIFLAGER) due to programming error that meant that some respondents were not asked part of the self-completion questions
Parental Relationships Module	Not asked of some respondents (identified by variable E_CASIFLAGER) due to programming error that meant that some respondents were not asked part of the self-completion questions
Alcohol Module	Not asked of some respondents (identified by variable E_CASIFLAGER) due to programming error that meant that some respondents were not asked part of the self-completion questions
Personaility Module	Not asked of some respondents (identified by variable E_CASIFLAGER) due to programming error that meant that some respondents were not asked part of the self-completion questions

4 Mixed modes experiment

4.1 Scripting of mixed-mode instrument

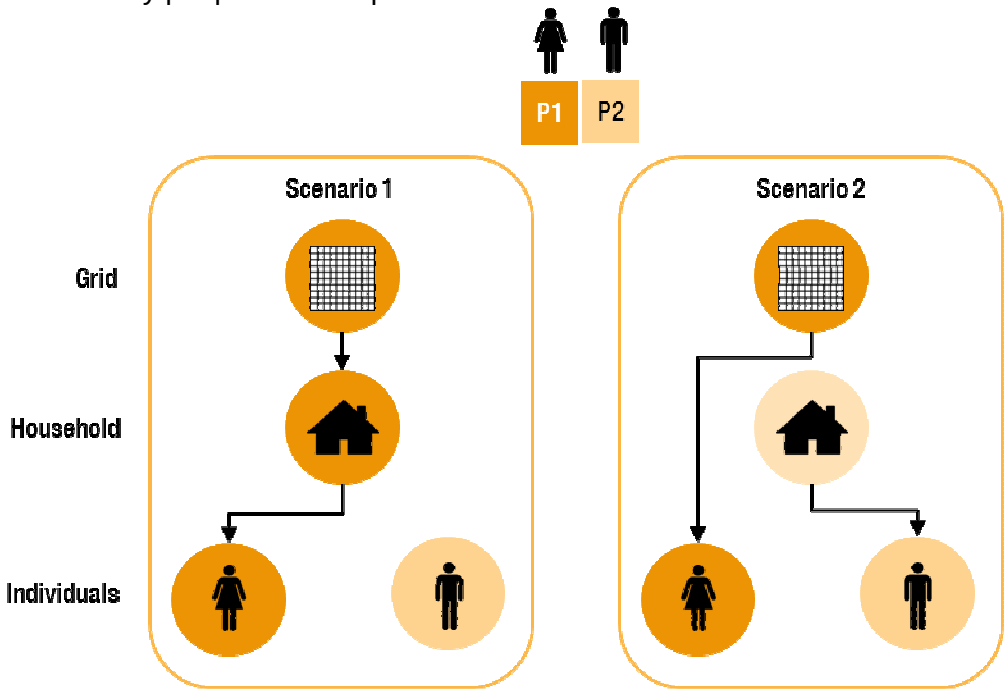
The W4 CAI already catered for both F2F and Telephone modes, so this was used as the starting point for developing the IP5 CAI. The principle for the development of CAI instruments on Understanding Society is that there is common source code that runs the instrument in each mode.

There are 3 main components within the CAI instrument, the household grid, household questionnaire and the individual questionnaire (for each eligible adult aged 16+). In F2F interviewing, each of these components is programmed as a separate parallel block in one overall instrument and the interviewer navigates between parallel blocks to in effect create one seamless questionnaire for whoever they are talking to.

There are two reasons why the WEB questionnaire could not exist as one overall instrument. Firstly the functionality to navigate between parallel blocks is not easy to replicate in WEB, and would be a difficult task for respondents. Secondly respondents would have access to answers from other household members which would breach confidentiality and would be unethical.

Therefore the WEB 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 F2F and WEB instruments.

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



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 build into the IP5 questionnaire. The rules were that the household questionnaire could only be answered by either the person (or one of the people) responsible for the mortgage or rent, or by their spouse or partner. These rules were implicit in other waves of *Understanding Society*, but needed to be made explicit for WEB interviewing.

In order to make the questionnaire appear to be seamless, in practice respondents were directed to an html receipt page between questionnaires which in turn immediately redirected then to the next instrument that they needed to answer. In F2F, because the household grid, household questionnaire and individual questionnaires are all contained within one CAI instrument, it is straightforward for routing and textfills in the individual questionnaire to refer to answers given at the household level or to use household level derived variables. In WEB, because the instruments are separate, the individual questionnaire instrument needs an external lookup to transfer answers and derived variables from the household grid and household questionnaire instruments. This transfer of data between instruments was where errors in programming were made that affected some of the experiments as detailed in section 3.3.

There are audit files within the Blaise F2F system which capture information about when interviewers answer one question and move to the next one, and these are routinely used for F2F fieldwork. There is an equivalent system which records similar information for WEB fieldwork. Unfortunately switching the audit function on during WEB interviewing affected the external lookup from the individual questionnaire to the household level data and meant that the WEB questionnaires did not work properly. We were unable to resolve this issue before the start of fieldwork, so audit information was not captured for WEB, with the exception of the youth questionnaires which were programmed as a standalone instrument.

4.2 Web-only phase

13 days before the beginning of the face-to-face fieldwork, households allocated to the WEB group were invited to complete their questionnaire online. They were sent advance mailing (letters and emails) and reminders (letters and emails) encouraging them to take up the offer. Both letters and emails contained a URL link to the survey and a unique password. In order to log into their questionnaire, respondents were required to type in the URL link to the web browser (if they received the letter only) or to click on the URL (if they received an email), and were then prompted to enter their unique identification code. Before they entered the questionnaire, they were asked to confirm their identity (name and date of birth). This log in procedure was repeated every time the respondent left the questionnaire to come back to it later. The advance correspondence also informed respondents that they could only complete the survey using computers and not smart-phones.

4.3 Transfer from Web to Face-to-face

Before the start of the F2F fieldwork all the WEB households were transferred from the WEB mode and allocated to the interviewers. These included cases that had not been started as well as those who had been fully or partially completed online. Interviewers were instructed to visit only those households where no or some interviewing was done

online. Households which were fully completed online were not to receive a visit from a face-to-face interviewer. Because the WEB questionnaire remained open during all of the fieldwork period, respondents who did not complete their interview by the cut-off point, could still do so after this date. Therefore it was important to provide interviewers with a system whereby they could check the status of the WEB household before they set out to interview them. This was done using the Sample Update report.

4.4 Sample Update

The Sample Update was a PDF report that could be accessed via CMS and was updated every day when the interviewers dialled in. Figure 4.4 below shows what it looked like.

Figure 4-4: Sample update IP5 Sample Update

1st line of address	Serial number	Point no:	Area:	Date & time this info compiled:
11 London Road	901102071	2	4	23.04.2012 11:25

IP5 CAWI Status		
	Completed by CAWI?	**Date completed (if partial or full)**
Household grid	FULL	20.04.2012
Household questionnaire	FULL	20.04.2012

Person number	Respondent Name	Completed by CAWI?	Date completed (if partial or full)
1	JANE SMITH	PARTIAL	21.04.2012
2	JOHN SMITH	NOT STARTED	
3	MICHAEL SMITH	NOT STARTED	

Interviewers were instructed to dial in every day to receive an update on the status of the WEB households, i.e. confirm that they had not yet completed their interview online. They were also instructed to dial-in after every trip to the WEB respondents in order to update their status, i.e. confirm that they had now been interviewed. In practice, however, only some interviewers followed these guidelines. Others reported that dialing in to pick up the Sample Update took a long time and therefore they did not do it as often as should have.

Another issue with conveying up-to-date sample information was related to wrong outcome codes assigned to the WEB households in the CMS. There were some instances where the cases were incorrectly coded as 788 (web complete) in the CMS

even though these were still outstanding. Although interviewers were instructed to ignore the outcome codes in the CMS and follow the Sample Update, this inevitably caused some confusion. The problem with CMS was subsequently fixed during the fieldwork.

5 Contact and co-operation procedures

Approximately six weeks prior to the start of fieldwork, sample members received a between-interview mailing. The purpose of the mailing was to remind sample members of their involvement in the study, supply them with some findings, and provide them with the opportunity to update their contact details with ISER. It consisted of a letter inviting them to register on the Participants' website, together with the recent survey findings ('First Findings from Understanding Society'), a Change of Address (COA) Card and COA freepost envelope.

5.1 Advance mailing

All adults in both modes received an advance letter, as usual including the unconditional incentive. For the F2F group the advance letter followed standard procedures and was sent to arrive prior to the start of CAPI fieldwork. The WEB group were sent advance letters and advance emails (if we had an email address for them) which would arrive prior to the start of the WEB phase. The advance correspondence to the WEB households contained an invitation to complete the survey online and included respondents' log-in details: a URL link to the survey and a unique identification code.

5.1.1 Types of advance letters

We designed three types of advance letters to accommodate different types of sample members. Each version was worded slightly differently, depending on the type of sample member they were targeting and whether or not they took part in the study at IP4.

Table 5.1 IP5 Advance Letter versions

Advance mailing version	Type of sample member
A	Interviewed at IP4
B	Not interviewed at IP4
C	Rising 16 since IP4
Generic	Use on the doorstep / new household members / those that have not received an advance letter.

All advance letters were printed on *Understanding Society* letterhead, and signed by Professor Nick Buck.

If a respondent had contacted ISER since their last interview notifying of a change of address, the advance mailing to that person was sent to this new address. If this person was found at some different address, however, interviewers were asked to administer a new letter, and a new incentive was issued by the office if the person went on to be interviewed.

A generic version of the advance letter was also produced for interviewers to use on the doorstep. Interviewers were provided with spare copies of this letter to show to household members who had misplaced their copy or who had not received one. These letters were also given to new entrants if an interviewer came across any in a household, if requested. During the debriefing session, interviewers pointed out that

they would have preferred to have copies of the exact advance letters sent to each household as this would have given them a better overview of what information was provided to the respondents (e.g. the WEB survey cut off date, respondents' log-in details, meter readings required etc).

5.2 Experiments with advance letters and emails

IP5 advance mailing was subject to a number of experimental conditions. For a random half of WEB households the advance letter and first email was sent to arrive on Friday, 11 May. For the other half the advance letter and first email was sent to arrive on Monday, 14 May (see section 3.1.5 for more information on the experiment).

Furthermore, half of households in the F2F group were notified in the advance letter of the need to collect some meter readings during the interview, and the other half were not (see section 3.1.7 for more information on the experiment).

In addition, in their advance letters some households received additional persuasion messages, while others did not (see section 3.1.8 for more information on the experiment).

Finally, for individuals allocated to the WEB group for whom we knew that they were not regular internet users, the letter would mention that they would have the opportunity to participate in the face-to-face survey with an interviewer, should they not be able to complete the survey by WEB. For individuals for whom we knew that they were regular internet users (regardless of whether we had an email address for them), the letter would not mention that the interviewer might visit.

5.2.1 Letters and emails for new entrants

For the WEB group, once enumeration happened by WEB, a letter was sent to all new household members identified in the grid. If the grid collected an email address for the new entrant, an advance email was also sent.

5.2.2 Reminders for Web respondents

Regardless of the day on which the first email was sent (Friday or Monday), two reminder emails were sent to non-respondents after 2 days and 4 days. In addition, a reminder letter was sent on Saturday 19th May. For those in the WEB group for whom we did not have an email address, this was the first reminder.

Similarly, those who started their questionnaire online but logged off without finishing it, received an email encouraging them to log in and complete the questionnaire.

5.2.3 Letters and emails to young people

In addition, young people (10-15 years old) in the WEB group were invited to complete their questionnaire online. This was done via their parents/guardians. The first responsible adult to complete their interview online was sent an email, containing a link to the PDF of the youth questionnaire and the live link for the young person to follow to participate in the survey online. If an email for the adult was not available, they were sent a letter containing a paper youth questionnaire and a return envelope.

5.3 Incentives

As mentioned earlier, there were different treatment groups who received £5, £10, £20 or £30. Incentives were sent as part of the advance mailing and were unconditional, i.e. the respondent could keep the incentive even if they did not take part.

Additional incentives needed to be issued during fieldwork to any adults who reported not having received their incentive; young people who completed a paper or WEB self-completion; and interviewed new entrants to the issued households. If a person qualified for an additional incentive, the interviewer was prompted by the CAPI to complete a 'promissory note', promising to the respondents that we would send them the required incentives within 10 days. The incentives were processed and sent by NatCen using a centralised system.

Response by incentive amount is covered in section 8.4.

5.4 Contacting sample members

In the F2F sample and WEB sample that was transferred to F2F, the first contact with a household was always attempted via a personal visit from the interviewer at the issued address. Interviewers were not allowed to telephone households to make contact in the first instance. The reason for disallowing first contact by telephone is that telephone contact would increase the risk of refusals and therefore not be appropriate at this stage. Interviewers were required to be flexible and make appointments where necessary, in order to achieve full interviews with all eligible sample members in a household.

5.4.1 Address Record Forms (ARFs) and Sample Information Sheet (SIS)

To enable interviewers to plan their first contact with the households, interviewers were supplied with an Address Record Form (ARF) for each of the addresses in their allocated sample.

There were four ARFs at IP5: ARF A F2F, ARF A WEB, ARF B, and 784 Log. The two types of ARF A were identical in their structure but their aim was to provide an indication to the interviewers about which households were in the WEB group. The structure of all the ARFs was similar to previous waves except the usual long ARF A document was split into three shorter ones for the interviewers' convenience:

- ARF & SIS
- Tracing section
- Outcome codes sheet

The household information label on the front page of ARF A contained information about experimental allocation (incentive amount, adult and child self-completion mode), IP4 outcome, principal household contact's name, and date and time of last interview.

5.4.2 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 respondents to aid recall of the mailing. They were also given copies of an information leaflet ('All you need to know about *Understanding Society*'), to be used as required and in particular with new entrants to the study. Interviewers were also provided with study branded appointment

cards, broken appointment cards (for use when a respondent had missed their appointment), and a two-sided A5 doorstep flyer including basic information about the study. Interviewers found the information leaflet particularly useful for respondents new to *Understanding Society*. A full list documents can be found in Appendix A.

5.5 Movers and tracing sample members

Those individuals that 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 respondent as someone who would know where they are if they moved). Any individuals who could not be traced using these methods were returned to ISER for further tracing. Any address updates that were received by ISER during the fieldwork period were communicated to the NatCen Operations department who transferred the information to the appropriate interviewer.

6 The Interview

The survey instrument for IP5 was a CAPI/CAWI interview and either a paper self-completion or CASI for adults (aged 16 or over), and a paper self-completion or CASI for young people aged between 10 and 15.

The CAPI/CAWI itself carried questions on a variety of topics including household finance and benefits, retirement planning, childcare, employment, and politics. All adults also received at least one question in CASI.

6.1 Completing the interview online

In the WEB households, before respondents could access their individual questionnaires, the household grid needed to be completed. This could be done by any existing (not new) adult household member. At the end of the household grid there was a question asking who in the household was responsible for paying bills, and anyone of the selected people was eligible to complete the household questionnaire. Once the household grid was completed, individual questionnaires were unlocked and could be accessed by other household members. The person allocated to complete the household questionnaire would be required to complete it before they could access their individual questionnaire. If the person filling in the household grid logged off without completing it, other members of the household were prevented from accessing their individual questionnaires and received a message on the screen informing them that somebody else in the household needs to finish the enumeration before they could access their individual questionnaire.

6.2 Sound recording

Certain sections of the interview were recorded in CAPI, with the permission of the sample member, to establish whether questions were asked in the best possible way and to understand the processes by which the respondent arrived at the answer they reported (i.e. did they ask the interviewer for clarification in order to respond appropriately etc). This was especially pertinent with respect to the experimental sections of the questionnaire.

Interviewer feedback suggested that the majority of the sample respondents were happy for their interview to be recorded, having been asked at previous waves.

6.3 Self-completion questionnaires

There were two types of self-completion questionnaires: for adults, and for young people aged 10-15.

6.3.1 Adult self-completion questionnaires

Adults interviewed F2F received either a full CASI or a shorter CASI followed by a paper version of the instrument, depending on the allocation to experimental group. The version to be used in a particular household was indicated on the front of the ARF. For adults, allocation of full CASI or paper self-completion was done prior to interview and interviewers were asked to either administer the paper version and/or provide their laptop for the respondent to complete the CASI section as directed.

For paper self-completions, interviewers were asked to encourage respondents to complete the questionnaires while they were still at the address or to collect the questionnaires when they returned for a second or subsequent visit. This was to ensure that we secured a high response rate for this element of the study. As a last resort, interviewers were able to leave a questionnaire, together with a reply-paid envelope, for respondents to complete at a later time. Interviewers were not permitted to switch between self-completion modes if the allocated mode was refused by the respondent. Whilst respondents' reactions towards CASI were predominantly positive, interviewers felt that the overall interview process, and time spent in the household, was lengthened by administering the questions in that format. Response to the different modes is covered in section 8.4.

In the CAWI instrument the self-completion questions were included as a part of the adult questionnaire. The respondents were not alerted to the fact that some questions would have been part of self-completion in a face-to-face interview.

6.3.2 Youth self-completion questionnaires

There were two modes for youth self-completion: WEB and paper. For the WEB group, a responsible adult who completed their questionnaire online, would receive an email containing a link to the PDF of the youth questionnaire and the live link for the young person to access their self-completion online. If an email for the adult was not available, they were sent a letter with a paper youth self-completion questionnaire and a return envelope.

If the WEB household was transferred to F2F and assigned to an interviewer, and the young person had not completed their survey online by the time the interviewer called at the household, then they were offered a paper self-completion. If the young person completed the paper self-completion and returned it to the interviewer, this would be recorded and when the interviewer dialed-in, the sample management system was updated and the WEB version of the self-completion for that young person was disabled.

In the F2F households, young people were offered one of two versions of paper self-completion questionnaire. The only difference between them was the design of question 20 on happiness which was subject to the experimental conditions (smiley faces vs. text-based).

The administration of paper youth questionnaire followed standard procedures. Interviewers asked a parent or responsible adult for verbal consent or assent before giving a self-completion questionnaire to a young person. Parents were not permitted to help the young people complete the questionnaire; though if they were anxious about its content they were shown a blank questionnaire so that they could assess the nature of the questions. If the young person needed help with the questionnaire, they were encouraged to ask the interviewer for assistance. Blank envelopes were given to the young people so that they could seal the questionnaires before returning them to the interviewer, preserving confidentiality within the household.

The adult questionnaire contained questions on health, partner relationships, alcohol consumption, and personality. The youth questionnaire contained questions on TV and computer use, leisure activities, environmental behaviour, happiness, health and nutrition, physical activity, smoking, drinking and taking drugs, family, school and educational aspirations, and future intentions.

6.4 Promissory Notes

As detailed earlier, incentives were sent as part of the advance mailing. However respondents who were new to the issued households or those who had not received their mailing were entitled to their incentive if they successfully completed an individual interview. Interviewers were not provided with extra incentives, but were required to give a promissory note to the respondent. Due to the incentive experiment, the CAPI prompted the interviewer to complete the promissory note with the amount that the respondent was entitled to. Interviewers had to sign the form and alert the respondent to the 10 day clause for receiving their voucher. Promissory notes were also given to young people who completed their questionnaire and returned it to the interviewer.

7 Fieldwork

This section outlines the content of the interviewer briefings, interviewer materials and details about the fieldwork period.

7.1 Briefings

Eight full-day briefings were carried out by the NatCen research team, 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 IP5, its main research objectives, the study timetable, sample design, survey design (including experimental elements), instructions on covering WEB households, an overview of the survey instruments and procedures, and methods for minimising non-contact and maximising response rates. Interviewers were required to complete a pre-briefing homework which took them through the CAPI interview.

All eight briefings were conducted in the standard format with a member of the NatCen research team leading a group of interviewers through the content of the day and dealing with any questions that arose. The locations of the briefings mirrored those from previous waves of the Innovation Panel, namely London (x 2), Brentwood, Bristol, Derby, Manchester, Leeds and Glasgow in order to give a wide geographic spread.

The briefings took place between 9th and 21st May 2012, with a total of 121 interviewers attending the briefings. A debrief also took place on 29th August with eight interviewers in Brentwood. All interviewers working on the survey were provided with feedback forms and asked to fill and return them to the NatCen operations office at the end of fieldwork.

7.2 Materials for interviewers

Interviewers' materials for this survey are listed below

- Project instructions providing information covered in the briefing along with supplementary reference material
- Address Record Forms (ARFs)
- Tracing section
- Laminated Outcome code sheet
- Laminated generic advance letter (discussed in Section 5.4.2)
- Information leaflet
- Doorstep flyer
- Wage information leaflet
- Appointment cards to be used on the doorstep
- Broken appointment cards
- Show cards to be used as part of the CAPI interview
- Paper adult and youth self-completion questionnaires (discussed in Section 6.3)
- Feedback forms for interviewers to return to operations

- Promissory notes
- Change of address cards
- Split households flow diagram
- Summary of First Findings report (interviewer use only)

7.3 Fieldwork timetable & progress

Due to the mixed-mode design, the fieldwork for IP5 was split into three different phases: Web-only phase, first issue interviewing; and re-issue.

During the web-only period (11th – 22nd May) the respondents allocated to the Web group were invited to complete their questionnaires online. Interviewers were not involved at this stage.

The main fieldwork period followed the transfer of Web households to F2F on 22nd May.

The first issue interviewing phase was originally intended to last six weeks but was later extended by ten days and so took place between 24th May and 15th July. This was because of issues at the beginning of the fieldwork period that meant that all interviewers could not start working on the first day but the start had to be staggered. During the first issue period, interviewers made contact with their allocated households, conducted interviewing and also traced movers to their new address. The WEB questionnaire remained open during this period, so respondents in the WEB group could respond in either mode.

In their assignments interviewers had both F2F and WEB cases. When they first connected they received the whole sample including any cases that could have been fully completed online. These cases were automatically coded out in Blaise and would be partially 'locked' in the CMS (interviewers could access the household grid but not the household questionnaire or individual questionnaires) so they did not need to do anything with these.

Among the outstanding cases interviewers were instructed to prioritise:

(i) the F2F-only sample, and then
(ii) households in the WEB sample for whom NO interviewing had been done on-line before then,
(iii) following up on WEB households which were in progress on-line.

Interviewers reported that the last group, i.e. households where some members have completed their interviews online (WEB-partials), was the most challenging in terms of securing interviews. For example, in some of those households interviewers only had a chance to speak to the person who had done the survey online. They were told that the message would be passed on to the household members who had yet to do the survey, but it is not clear whether this actually happened.

A daily update (Sample Update) about the status of the household was generated to provide interviewers with information on which households and individuals within households were completed online and when that happened.

In addition to fully complete individual cases (individual outcome code 75), some cases in the WEB sample were partially complete (individual outcome code 22). These included cases where a respondent filled in the questionnaire up to the partial interview

marker point, which was set at the end of the Household Finances module. If a respondent reached this point in the questionnaire, the case was accepted as partial and would not be re-contacted.

The cases in the WEB sample where a respondent started to fill in the questionnaire but did not finish it and did not reach the partial interview marker point needed to be followed up face-to-face. Upon interviewing such individuals interviewers would start at the point the respondent broke-off, but they were instructed not to change any information that had already been entered previously (online). Interviewers were told to open these individual cases up in 'View and amend' on CMS before they made the call to see where the respondent left off and where they would need to start the interview.

Interviewers were instructed to transmit/receive information every time before they set out for work and after they got back in order to ensure that they did not waste their time on travelling to a respondent who already completed their interview online. However, it was still possible for the interviewer to check the Status Update and find that the interview was completed online between the Sample Update was last updated and when they got to the household. In such cases they were instructed not to proceed, but thank the individual, code the case as 74 (individual has already completed the questionnaire online) or 787 (household has already completed the survey online), and transmit it back. However, interviewers reported that the fact that the web survey remained open during the main fieldwork period created some unforeseen difficulties. Whilst some WEB respondents actually went and completed the survey online after interviewer had visited them, some used the possibility of completing the survey online as an excuse for turning the interviewer away from their doorstep and not completing the survey at all.

The re-issue period began on 19 July and was originally intended to last four weeks, but was later extended by one week, closing on 23 August. This was due to the fact that the re-issue cases were not out in time because of reissue set-up taking longer than expected and because of some interviewers having problems with booking cases in. Interviewers were required to return all cases back to the office at the end of the re-issue period. The web survey was closed for this period.

7.4 Booking in

On completion of the data collection in each household, all elements had to be 'booked in' to the NatCen operations department in Brentwood and reconciled. However, as mentioned in the section above, a number of interviewers experienced difficulties with booking cases in. This was resolved by booking them in manually, which was a time consuming task and led to some unforeseen delays in the timetable. These problems arose due to some systems needing to be adjusted to be able to cope with mixed-mode data collection.

8 Response

The following chapter covers the response rates on the household and individual levels for the two sample types – WEB and F2F. The chapter also covers issues relating to response in two of the experiments which were carried out in the IP5 – the WEB invitations experiment and the incentives experiment.

8.1 Household response

A total of 1,622 addresses were issued in IP5, 545 were issued to interviewers in the F2F sample and 1,077 were issued in the WEB sample.

After the initial WEB-only phase, around 670 households that had not yet been completed online in the WEB sample were re-allocated to an interviewer. Of these households a total of 461 households completed the survey with an interviewer (either fully or partially) instead of online.

Moreover, many cases that were initially returned as unproductive were reissued – for example because a householder could not be contacted or because they refused to participate.

Table 8.1. below shows the overall household response on IP5. The final response was 76 per cent. This includes both response to the WEB survey and in the F2F mode.

Table 8.1 Household response – Final outcome

Base: Issued households	N	%
Issued	**1,622**	
Not Eligible	**43**	**3**
Unknown Eligibility	**68**	**4**
No contact	**31**	**2**
Refusal	**220**	**14**
Unproductive	**34**	**2**
Productive	**1,226**	**76**

Overall, response in the F2F group was higher compared to the WEB group (TABLE). A detailed response by sample type is discussed in section 8.1.1 below.

The sample consisted of three main groups: the core sample that were first selected for the survey five years ago and responded in IP4, core cases that did not respond in IP4 and the refreshment sample which was introduced in IP4. Response to the survey was slightly higher in the refreshment sample (80 per cent) compared with the core sample (72 per cent). As expected the response among IP4 non-respondents was much lower at 34 per cent.

8.1.1 WEB sample response

Table 8.2. below shows the household response for the WEB sample. Seventy-four per cent of the households in the WEB sample completed the survey. Thirty-six per cent completed the survey via the WEB (either completely or partially) and 43 per cent completed the survey with an interviewer in person (either completely or partially) (see Table 8.2). Twenty-three per cent of the sample completed the survey via the WEB mode alone, 30 per cent completed via the F2F mode alone, and 13 per cent started online and then completed with an interviewer in person. There was only a small number of cases (six households) where the household questionnaire was partially completed on the WEB and the partial interview was transferred to F2F.

Table 8.2 Household response for the WEB sample

	Final Outcome		WEB Outcome		F2F interview	
Base: Issued households	**N**	**%**	**N**	**%**	**N**	**%**
Issued	**1,077**		**1,077**		**1,077**	
Not Eligible	**31**	**3**			**278**	**26**
Unknown Eligibility	**44**	**4**			**44**	**4**
No contact	**20**	**2**			**34**	**3**
Refusal	**158**	**15**			**211**	**20**
Unproductive	**25**	**2**			**55**	**5**
Productive	**799**	**74**	**387**	**36**	**461**	**43**

In the core sample response was slightly higher via F2F mode compared with the WEB (44 per cent and 31 per cent respectively). In the refreshment sample the response was slightly higher via the WEB mode (47 per cent completed via the WEB compared with 39 per cent via F2F mode).

Table 8.3 Household response for 'WEB' sample type by sample source

	Core Sample		Refreshment Sample	
Base: Issued households	**N**	**%**	**N**	**%**
Issued	**756**		**321**	
Refusal	128	17	160	50
Completed via WEB (including partials)	237	31	150	47
Completed via F2F (including partials)	336	44	125	39
Total productive (both modes)	541	72	258	80

Households which were non respondents at the previous wave had a much lower response rate compared with the overall sample response. Thirty-five per cent completed the survey either via the WEB or with an interviewer in person. F2F was clearly a preferred mode for this group (24 per cent responded F2F compared to 12 per cent on the WEB). A total of six households (five per cent of the group) completed the survey via the WEB mode alone. The other 36 household either started online (a total of 8 households) and continued with an interviewer, or completed the interview via F2F mode alone (28 households).

Table 8.4 Household response for WEB sample by sample source		
	IP4 Non-Respondents	
Base: Issued households	**N**	**%**
Issued	**116**	
Refusal	40	35
Completed via WEB (including partials)	14	12
Completed via F2F (including partials)	28	24
Total productive (both modes)	40	35

8.1.2 F2F sample response

Response in this sample type was slightly higher compared with the WEB sample, with 78 per cent productive interviews.

Table 8.5 Household response – F2F sample		
	Final Outcome	
Base: Issued households	**N**	**%**
Issued	**545**	
Not Eligible	**12**	2
Unknown Eligibility	**24**	4
No contact	**11**	2
Refusal	**62**	11
Unproductive	**9**	2
Productive	**427**	78

Similar to the WEB sample type, the response among the refreshment sample group was slightly higher compared to the core sample group (85 per cent compared with 76 per cent respectively).

Table 8.6 Household response for F2F sample by sample source				
	Core Sample		Refreshment Sample	
Base: Issued households	**N**	**%**	**N**	**%**
Issued	**376**		**169**	
Refusal	48	13	14	8
Total productive (both modes)	284	76	143	85

Response amongst those who did not take part at the previous wave was low, at 32 per cent.

Table 8.7 Household response for F2F sample by sample source		
	IP4 Non-Respondents	
Base: Issued households	**N**	**%**
Issued	**44**	
Refusal	20	45
Total productive (both modes)	14	32

8.2 Individual response

Looking across both sample types, within productive households, the overall co-operation rate for adults aged 16 and over was 83 per cent (including both full and partial interviews). Of those who did not respond in person, information was collected for a further six per cent by proxy interview. Response was higher on the F2F mode (56 per cent) compared with the WEB mode (26 per cent).

Table 8.8 Individual response – Final outcome		
Base: Issued households	**N**	**%**
Issued	**2418**	
Refusal	**120**	5
Unproductive	**95**	4
Full productive interview	**1974**	82
Full productive interview via WEB	**623**	26
Full productive interview via F2F	**1351**	56
Partially productive interview	**23**	1
Partially productive interview via WEB	**13**	1
Partially productive interview via F2F	**10**	*
Full proxy interview	**147**	6

* Less than 0.5%

8.2.1 Individual response – WEB sample

Around 1,568 individual participants were allocated in the WEB sample. Eighty-one per cent of participants in this sample type have a fully productive interview. About half of those who completed the survey did so via the WEB (623 participants) and the same proportions completed the survey with an interviewer in person (650 participants). Forty per cent of participants in the WEB sample completed the survey online.

8.2.2 Individual response – F2F sample type

Around 850 individual participants were allocated to interviewers to carry out the interview in F2F mode. Eighty-three per cent completed a fully productive interview, and another eight per cent completed an interview by proxy.

Table 8.9 Individual response by sample type		
	'WEB' Sample	'F2F' Sample

Base: Issued Households	N	%	N	%
Issued	**1568**		**850**	
Refusal	84	5	36	4
Unproductive	75	5	20	2
Full productive interview	1273	81	701	83
Full productive interview via WEB	623	40		
Full productive interview via F2F	650	42		
Partially productive interview	22	1	1	*
Partially productive interview via WEB	13	1		
Partially productive interview via F2F	9	1		
Full proxy interview	76	5	71	8

* Less than 0.5%

8.3 Experiments and response

8.3.1 WEB invitation

Table 8.10 below shows the response by those in the WEB sample who were subject to the invitations experiment. The experiment focused on sending the participants an email and letter invitations on either a Friday or a Monday. In addition, half of the sample were offered a conditional incentive if they took up the offer, while the other half was not (see sections 3.1.5 and 3.1.6 for more detailed description of the experiment).

The response analysis indicates that the experimental manipulations described above had a limited effect on the response. The response rates in the Monday Incentive, Monday No Incentive, Friday Incentive, and Friday No Incentive Groups are 37 per cent, 37 per cent, 37 per cent, and 32 per cent respectively. This indicates that the only group which stands out slightly from the others is the last one, Friday No Incentive, where the response was slightly lower compared to the other three groups. This may therefore suggests that Friday may not be the best day for sending web survey invitations to participants, especially if they are not to receive any additional incentive for taking part.

Table 8.10 WEB Household response by invitation type

Base: Issued Households		Productive	Unproductive	Total
Monday, bonus	N	**103**	**173**	**276**

Monday, no bonus	%	37	62	100
	N	99	166	265
Friday, bonus	%	37	63	100
	N	99	167	266
Friday, no bonus	%	37	63	100
	N	86	184	270
	%	32	68	100

8.3.2 Incentives

The objective of the incentives experiment is to study effects of different respondent incentives on attrition. This experiment first ran in wave one and has been repeated since in every wave of the Innovation Panel.

IP5 included a repetition of the design of this experiment as it was set out in IP4, with a change to one of the experiment groups on IP4. In IP5 there was a change in treatment to this group where all household members received £5 unconditionally, rising to £10 if all household members completed the interview. Half of the households in this group were randomly allocated to the £5 treatment group and households in the other half were allocated to the £10 group on IP5. The rational behind this was to simplify the administration of the incentives.

Looking at the sample overall (Table 8.11), the response in £5 and £10 incentive groups ranges from 67 per cent to 78 per cent.

Table 8.11 Household response by incentive group

Base: Issued Households		**Productive**	**Unproductive**	**Total**
£5 in all IPs	**N**	**121**	**40**	**161**
£5 in IP1 to IP3, **£10** in IP4 and IP5	%	75	24	100
	N	144	47	191
£10 in all IPs	%	75	25	100
	N	79	34	113
£10 in IP1 to IP2, **£5** in IP3 to IP5	%	70	30	100
	N	73	27	100
£10 in IP1, **£5** in IP2 to IP5	%	73	27	100
	N	67	30	97
£10 in IP1, IP4 and IP5, **£5** in IP2 and IP3	%	69	31	100
	N	74	21	95
£5 raising to £10 in IP1 to IP4, **£5** in IP5	%	78	22	100
	N	58	28	86
£5 raising to £10 in IP1 to IP4, **£10** in IP5	%	67	33	100
	N	77	24	101
£5 raising to £10 in IP1, **£5** in IP2 to IP5	%	76	24	100
	N	132	56	188
£10 in IP4 and IP5	%	70	30	100
	N	101	35	136
	%	74	26	100

£20 in IP4 and IP5	**N**	139	37	176
	%	79	21	100
£30 in IP4 and IP5	**N**	161	17	178
	%	90	10	100

Note: IP5 incentive amount in bold

Among the core sample (Table 8.12), the highest overall level of response (78 per cent) can be observed among the group of households that have received the higher £10 incentive both at this and the previous wave. Looking at the group where the incentive levels changed since IP4 (from £5 to £10 at IP4 to £5 and £10 at IP5) (incentive groups 7 and 8 in Table 8.12), it appears that the higher £10 incentive elicited a higher response rate of 76 per cent compared to 67 per cent in the £5 incentive group. However, despite this change in incentive levels, the response obtained at IP5 is significantly higher than that on IP4 for the £5 to £10 incentive group (62 per cent).

Table 8.12 Household response for core sample by incentive type

Base: Issued Households		**Productive**	**Unproductive**	**Total**
£5 in all IPs	**N**	**121**	**40**	**161**
	%	75	24	100
£5 in IP1 to IP3, **£10** in IP4 and IP5	**N**	144	47	191
	%	75	25	100
£10 in all IPs	**N**	79	34	113
	%	69	30	100
£10 in IP1 to IP2, **£5** in IP3 to IP5	**N**	73	27	100
	%	73	27	100
£10 in IP1, **£5** in IP2 to IP5	**N**	67	30	97
	%	69	31	100
£10 in IP1, IP4 and IP5, **£5** in IP2 and IP3	**N**	74	21	95
	%	78	22	100
£5 raising to £10 in IP1 to IP4, **£5** in IP5	**N**	58	28	86
	%	67	33	100
£5 raising to £10 in IP1 to IP4, **£10** in IP5	**N**	77	24	101
	%	76	24	100
£5 raising to £10 in IP1, **£5** in IP2 to IP5	**N**	132	56	188
	%	70	30	100

Note: IP5 incentive amount in bold

The refreshment sample has always (i.e. at IP4 and IP5) received higher levels of incentive of £10, £20 or £30 per person interviewed. Similarly to IP4, at IP5 a strong association can be observed between the incentive level and household response for the refreshment sample, with higher levels of incentive eliciting a higher response. Seventy-four per cent of households in the £10 experimental group were productive, compared to seventy-nine per cent in the £20 incentive group, and ninety per cent in the highest, £30, incentive group (Table 8.6). The association observed in the refreshment sample applies to both F2F and WEB groups.

Table 8.13 Household response for Refreshment sample by incentive type

Base: Issued Households	**Productive**	**Unproductive**	**Total**

£10 in IP4 and IP5	**N**	101	35	136
	%	74	26	100
£20 in IP4 and IP5	**N**	139	37	176
	%	79	21	100
£30 in IP4 and IP5	**N**	161	17	178
	%	90	10	100

Note: IP5 incentive amount in bold

The highest response in the F2F core sample was 84 per cent, the lowest is 68 per cent (Table 8.14) in the WEB core group, the highest response was 72 per cent and the lowest 62 per cent (Table 8.15), which is lower than the response observed in the F2F group. Interestingly, the lowest response for the WEB sample (62 per cent) was observed in the £5 incentive group which was previously assigned to receive £5 to £10 incentive at IP4 (62 per cent at IP4). Lower levels of response were also observed among the WEB refreshment sample compared to the F2F refreshment sample (between 70 per cent and 90 per cent, and 83 per cent and 91 per cent respectively). This suggests that different incentive levels may play a bigger role in motivating respondents to take part F2F compared to those who complete a survey online.

Table 8.14 Household response for F2F sample by incentive type

Base: Issued Households		**Productive**	**Unproductive**	**Total**
£5 in all IPs	**N**	**43**	**11**	**54**
	%	79	20	100
£5 in IP1 to IP3, **£10** in IP4 and IP5	**N**	48	17	65
	%	74	26	100
£10 in all IPs	**N**	27	5	32
	%	84	16	100
£10 in IP1 to IP2, **£5** in IP3 to IP5	**N**	29	9	38
	%	77	24	100
£10 in IP1, **£5** in IP2 to IP5	**N**	23	11	34
	%	68	32	100
£10 in IP1, IP4 and IP5, **£5** in IP2 and IP3	**N**	29	11	40
	%	73	28	100
£5 raising to £10 in IP1 to IP4, **£5** in IP5	**N**	21	5	26
	%	81	19	100
£5 raising to £10 in IP1 to IP4, **£10** in IP5	**N**	23	10	33
	%	70	30	100
£5 raising to £10 in IP1, **£5** in IP2 to IP5	**N**	41	13	54
	%	76	24	100
£10 in IP4 and IP5	**N**	35	7	42
	%	83	17	100
£20 in IP4 and IP5	**N**	51	13	64
	%	80	20	100
£30 in IP4 and IP5	**N**	57	6	63
	%	91	10	100

Note: IP5 incentive amount in bold

Table 8.15 Household response for WEB sample by incentive group

Base: Issued Households		Productive	Unproductive	Total
£5 in all IPs	**N**	**78**	**29**	**107**
	%	73	27	100
£5 in IP1 to IP3, **£10** in IP4 and IP5	**N**	96	30	126
	%	76	24	100
£10 in all IPs	**N**	52	29	81
	%	64	36	100
£10 in IP1 to IP2, **£5** in IP3 to IP5	**N**	44	18	62
	%	71	29	100
£10 in IP1, **£5** in IP2 to IP5	**N**	44	19	63
	%	70	30	100
£10 in IP1, IP4 and IP5, **£5** in IP2 and IP3	**N**	45	10	55
	%	82	18	100
£5 raising to £10 in IP1 to IP4, **£5** in IP5	**N**	37	23	60
	%	62	38	100
£5 raising to £10 in IP1 to IP4, **£10** in IP5	**N**	54	14	68
	%	79	21	100
£5 raising to £10 in IP1, **£5** in IP2 to IP5	**N**	91	43	134
	%	68	32	100
£10 in IP4 and IP5	**N**	66	28	94
	%	70	30	100
£20 in IP4 and IP5	**N**	88	24	112
	%	79	21	100
£30 in IP4 and IP5	**N**	104	11	115
	%	90	10	100

Note: IP5 incentive amount in bold

Among those who refused at IP4, the highest response can be observed among the group of households which received £10 (64 per cent) (Table 8.16).

Table 8.16 Household response for households who refused at IP4, by incentive type

Base: Issued Households	Productive	Unproductive	Total

£5 in all IPs	**N**	**6**	**6**	**12**
	%	50	50	100
£5 in IP1 to IP3, **£10** in IP4 and IP5	**N**	4	14	18
	%	22	78	100
£10 in all IPs	**N**	2	8	10
	%	20	80	100
£10 in IP1 to IP2, **£5** in IP3 to IP5	**N**	4	9	13
	%	31	69	100
£10 in IP1, **£5** in IP2 to IP5	**N**	4	10	14
	%	29	71	100
£10 in IP1, IP4 and IP5, **£5** in IP2 and IP3	**N**	3	5	8
	%	38	63	100
£5 raising to £10 in IP1 to IP4, **£5** in IP5	**N**	5	4	9
	%	56	44	100
£5 raising to £10 in IP1 to IP4, **£10** in IP5	**N**	9	5	14
	%	64	36	100
£5 raising to £10 in IP1, **£5** in IP2 to IP5	**N**	4	8	12
	%	33	67	100

Note: IP5 incentive amount in bold

9 Data preparation

9.1 Data keying and scanning

Paper self-completions were scanned in by an external agency.

9.2 Data coding and editing

Most of the data validation of CAPI surveys 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. However, all cases were also passed through an in-house edit to identify any further interviewer issues.

All self-completion data was passed through an edit to check for any respondent routing and coding errors.

The data obtained from the WEB survey were not edited and all the inconsistencies in them (resulting for example from disabled checks) were kept. This is because the inconsistencies are of methodological interest to the survey designers as they act as indicators of how the mode affects the quality of data.

9.3 SIC and SOC coding

Four-digit SIC and SOC coding was carried out in the employment and proxy sections of the questionnaire. Each coder's batches of work were 'blind coded', i.e. a second coder independently coded respondent's answers to SIC and SOC without seeing how they had initially been coded. Any discrepancies between the initial coder's work and the blind coding by the second coder were resolved by a coding supervisor and feedback was given to correct errors or resolve any misunderstandings.

9.3.1 Cleaning of address information

Each respondent was asked to provide information about a stable contact that could be approached in the event of the individual or household having moved. These addresses, along with any amended or new household addresses, were checked with a software program called Match code, which checks and where necessary corrects postcode for each address.

9.4 Reconciling outcome codes for web cases

Web cases were assigned three kinds of outcome codes which indicated what happened with them at each interviewing stage: WEB Outcome, F2F Outcome, and Combined (Final) Outcome. After the data collection period finished, these outcome codes needed to be checked for consistency.

There were some cases where interviewers coded WEB households as 'fully completed on the web' (787) when they were actually not completed. These cases were recoded in the office as 'other unproductive' (590) before they were then issued back to the field. In addition, at the data preparation stage, an additional WEB outcome

code (311) needed to be assigned to the WEB cases where no interviewing was done online.

Appendix A. Fieldwork Documents

Document	Purpose
Before the Interview	
Sample Update	For use during the main fieldwork; to help inform interviewers which interviews have been completed online
On the Doorstep	
First Findings from Understanding Society	Included as part of Between wave Mailing; Provides survey feedback to respondents
Generic Advance letter (laminated)	For use on the doorstep
Generic advance letters (spare)	To be administered to those who did not receive their mailing/ new entrants
Information leaflet	For use on the doorstep
Doorstep Flyer	For use on the doorstep
Understanding Society in the News flyer	For use on the doorstep
Appointment Card	For use on the doorstep when arranging appointments
Broken Appointment Card	For use when respondent has broken scheduled appointment; acts as a reminder and asks respondent to contact the office at Brentwood to re-arrange
ARF A (F2F) (yellow) & Sample Information Sheet (SIS)	For issued core sample households; provides address details, experimental details and individual level details (name, sex, age, outcome at last wave etc)
ARF A (WEB) (blue) & Sample Information Sheet (SIS)	For issued sample households originally allocated to the WEB condition but transferred to CAPI; provides address details, experimental details and individual level details (name, sex, age, outcome at last wave etc)
Tracing section	For movers that you need to trace
IP5 Outcome code sheet (Laminated)	IP5 Household level outcome codes
ARF B (Pink)	For any core split households that are eligible for interview; only used for core sample; CAPI will instruct which serial number to write at top of ARF
784 Log (White)	For any core split households that are not eligible for interview; one sheet for all serial numbers where this applies
Split households flow diagram	For guidance on how to deal with split households
Interview Documents	
Change of Address (COA) Card	For all refreshment sample adults interviewed in a household; for core sample adults who did not receive their inter wave mailing/ new entrants
Freepost envelopes for change of address cards	For respondents to be able to send us new contact details in case they move
Promissory Note	To be administered at the end of the adult (16+) interview at the appropriate question; to be administered to each young person (10-15yrs) who completes the youth self-completion

Wage info leaflet	To be given to some respondents at the end of the interview
Adult 16+ paper self-completion (Blue)	To be administered to adults (core and refreshment) if in paper self-completion experimental group
Youth (10-15yrs) paper self– completion (Blue)	To be administered to all young people in the household
Youth (10-15yrs) paper self– completion (Yellow)	To be administered to all young people in the household
Envelope for self-completion	Blank A4 envelope for confidentiality to be distributed when administering self-completions (both adult and youth)
Poole pre-franked envelope	To be administered if young person/ adult will be returning their self-completion to Poole themselves; to be used when you are returning self-completions to Poole
Showcards	To be used during adult CAPI interview; divided for respondent ease
Pens	To be handed out to all sample members who participate, including 10-15s who fill in a self completion; should not be given to children under 10.
Movers	
Tracing letter	For use when you have identified a mover in the field; can be left with current occupiers/ neighbours/ stable contact
Stable Contact letter	For use when you have identified a mover in the field; can be sent to stable contacts if they reside outside of your area/ you are unable to make a personal visit/ you do not have contact telephone numbers for them
Project Confirmation letter	For use when you are interviewing in institutions (e.g.: care home) and require further documentation about Understanding Society for a gatekeeper/ warden; sent on request as tailored to specific situation
Queens Head Envelope	For use when administering the tracing letter and stable contact letter
Freepost return envelope to University of Essex	To be used when administering tracing or stable contact letters- enclosed with letter in both instances
Project Equipment	
Microphone	For use during CAPI interview, with respondents who give permission for interview to be sound recorded
Post fieldwork	
Feedback Form	To be completed after fieldwork and returned to Operations Department in Brentwood