



# Understanding Society Innovation Panel Wave 8

## Technical Report

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# 1. Introduction

## 1.1 Background

This report provides an account of the methodology used in the eighth wave of the Innovation Panel (IP8) of *Understanding Society*.

*Understanding Society* is a major household panel study which has been commissioned by the Economic and Social Research Council (ESRC). It is the largest household panel 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.

Main fieldwork is complemented by an **Innovation Panel** which tests significant innovations in methods of data collection and study delivery such as multi-mode interviewing, differential incentives, question layout and question wording experiments. The results from the Innovation Panel can feed into future waves of this study and the wider social research community.

## 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 Members or Permanent Sample Members 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 the 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 CAPI interviews, the individual questionnaire includes two **CASI** sections (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 Fieldwork design

As at IP5, IP6 and IP7, the fieldwork design is driven by a sequential mixed mode experiment where households are allocated to either CAPI-first or CAWI-first groups.

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

- Phase 1: An initial **CAWI** only period (Computer Assisted Web Interviewing);
- Phase 2: The main period of **CAPI** interviewing (Computer Assisted Personal Interviewing);
- Phase 3: A mop-up period for any outstanding cases via **CAWI** or **CATI** (Computer Assisted Telephone Interviewing).

**Table 2.1: Phases of fieldwork design**

	<b>Phase 1: CAWI only</b>	<b>Phase 2: CAPI interviewing</b>	<b>Phase 3: CAWI/CATI mop-up</b>
	May 2015	June –September 2015	Late September 2015
<b>CAWI-first households</b>	Invited to complete via <b>CAWI</b>	Incomplete cases invited to complete via <b>CAPI</b>	Incomplete cases invited to complete via <b>CAWI</b> or <b>CATI</b>
<b>CAPI-first households</b>	-	Invited to complete via <b>CAPI</b>	Incomplete cases invited to complete via <b>CAWI</b> or <b>CATI</b>

### 2.3.1 Phase 1: CAWI only (3-5 weeks)

Respondents in the CAWI-first households were initially approached via email and letter and asked to carry out the survey via CAWI. At the end of the initial CAWI only period, any respondents 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 with an interviewer via CAPI.

The CAWI only period started with a soft-launch of 100 households chosen at random from the CAWI-first sample. These households were invited to take part a week before the main launch of the CAWI only phase. This gave an

opportunity to identify and resolve any issues in the survey ahead of the main launch.

### **2.3.2 Phase 2: CAPI interviewing (16-20 weeks)**

On May 26<sup>th</sup>, letters were sent to all adult sample members in CAPI-first households inviting them to take part in the study and informing them that a field interviewer would soon be in touch with them. In addition, individuals in the CAWI-first sample who had not completed online were sent a letter informing them that they would now be able to take part face-to-face and that a field interviewer would be in contact.

Interviewers then began making contact with all households in their assignments – both CAPI-first and incomplete CAWI-first cases. Individuals in these households were approached for a face-to-face interview via CAPI.

For the first four weeks of phase 2, individuals in CAWI-first households still had the option of completing their survey online. After this point, the CAWI survey was closed for these respondents. This was to prevent individuals in CAWI-first households continually telling interviewers that they would complete online but not actually doing so.

Some individuals in the CAPI-first sample group requested to take the survey online. In these cases, respondents were given their login details and allowed to complete the survey via CAWI.

### **2.3.3 Phase 3: CAWI / CATI mop-up (2 weeks)**

Any individuals who had still not participated by the end of the fieldwork period were assessed for inclusion in a final mop-up phase. All respondents at this stage had the option of completing online via CAWI. In addition, a team of field interviewers invited respondents to take part via CATI. CAPI fieldwork was also permitted to continue during the mop-up period in a selection of areas where work had not been completed by that stage and where it was felt the additional period would generate further interviews.

## 2.4 Data collection timetable

Data collection ran from early May to the end of September. The timing and dates for the three phases is shown below (Table 2.2).

<b>Table 2.2: Data collection timetable</b>			
<b>Data collection stage</b>	<b>Date</b>	<b>Mode</b>	<b>Sample group</b>
<b>Phase 1</b>			
<b>CAWI soft launch</b>	6 <sup>th</sup> May	CAWI only	100 CAWI-first households
<b>CAWI main launch</b>	12 <sup>th</sup> May	CAWI only	Remaining CAWI-first households
<b>Phase 2</b>			
<b>Start of CAPI interviewing</b>	2 <sup>nd</sup> June	CAWI or CAPI	All CAPI-first households and outstanding CAWI-first cases
<b>Close of CAWI</b>	26 <sup>th</sup> June	CAPI only	
<b>Phase 3</b>			
<b>Mop-up</b>	17 <sup>th</sup> September	CAWI, CAPI or CATI	All outstanding cases
<b>End of fieldwork</b>	30 <sup>th</sup> September		

## **3. Sampling**

### **3.1 The sample at IP8**

The sample for the Innovation Panel (IP) is entirely separate from that of the main study. Originally selected from the Postcode Address File, 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 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).

In total, 1,646 households were issued at IP8, including 3,206 individuals aged 16 and over. 946 households were allocated to the CAPI-first group and 700 allocated to the CAWI-first group.

### **3.2 Refreshment samples**

The IP8 sample is a combination of the original IP1 sample and the refreshment samples added at IP4 and IP7. The refreshment samples were necessary due to attrition at previous waves. In both 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. Both refreshment samples were PAF samples of new addresses drawn from the same points as the original IP1 sample.

### **3.3 Sample processing**

The sample comprised all productive and some unproductive households from IP7. Adamant refusals and households which had not responded for the last two waves were removed from the sample. Households from the IP7 refreshment sample which were not productive at IP7 were not issued again at IP8.



## **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 IP8, 10 different experiments were implemented; these were a mixture of procedural experiments and experiments related to questionnaire content. Some experiments were continued from previous waves to allow longitudinal assessment of effects, while others were new for IP8.

### **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 IP8, the newly formed households were allocated to the same treatment group as the originating household.

For one experiment (Interviewer Assessed Health, see Section 4.3.5 for further details), the randomisation of experimental groups took place through the survey script and, therefore, different members within a given household could have received different experimental treatments.

### **4.2 Procedural experiments**

Procedural experiments are aimed at assessing different survey processes and contact methods. The experiments in IP8 include those that seek to increase participation by offering respondents a choice of survey modes, and those that compare the impact of different amounts of financial incentives.

#### **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 CAWI-first group. Members of the CAWI-first group were contacted by letter and email (where available) and asked to participate via CAWI. No attempt was made to target households or individuals that may be more likely to

participate by CAWI, 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.

This experiment remained a major driver of the design in both IP6 and IP7 and has been carried through again to IP8. In general, households allocated to CAWI-first at IP5 remained in the CAWI-first group for IP6 and IP7 regardless of whether they actually completed their interviews via CAWI. At IP8, most households retained the same allocation as at previous waves. However, a subgroup of households previously allocated to the CAWI-first group were deemed to have very low web propensity<sup>1</sup> and so moved to the CAPI-first group.

All issued members from the IP7 refreshment sample remained in the CAPI-first group at IP8.

#### **4.2.2 Incentives experiment**

The IP8 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 that participated at IP7 an advance letter was sent to every adult in the household containing their individual incentive in the form of a Love2Shop High Street gift voucher.

Sample members received the same incentive amount at IP8 as at IP7. Adult sample members in the CAPI-first group all received £10, with the exception of households from the IP7 refreshment sample. These were divided into three roughly equal groups receiving £10, £20 or £30.

CAWI-first members 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 online by the end of the initial CAWI-only fieldwork period.

#### **4.2.3 Telephone first**

This experiment aimed to explore the impact of allowing interviewers to telephone respondents to arrange appointments before making contact in person. Research has shown that this approach can lead to higher rates of refusal, although it is not clear if the same would be true of an established longitudinal panel.

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

Households in the CAPI-first sample were divided at random into two groups. For the experimental group, interviewers were allowed to make first contact by telephone where they thought it would be helpful; interviewers did not have to attempt to make first contact by telephone. For the other households, interviewers would attempt to make first contact by visiting the household in person.

### 4.3 Questionnaire experiments

Some of the IP8 questionnaire content was also experimental in design. Questionnaire experiments mainly focused on using different versions of question wording. All questionnaire experiments were programmed into the CAPI, CAWI and CATI instruments and were run during the interview.

#### 4.3.1 Testing the direction of response scales

This experiment, first included at IP7, sought to find whether and how the direction of a response scale affects survey responses, that is whether the scale is ordered from positive to negative or negative to positive. At IP7, households were split into two groups at random; those for whom the answer categories at the questions of interest ran from positive to negative and those for whom the scale was reversed. The experiment was repeated at IP8, with half of households randomly re-allocated the opposite scale to that used at IP7.

#### 4.3.2 Including or excluding a 'motivational message'

The experiment, first used at IP7 and included again at IP8, examined whether the inclusion of a 'motivational message' would impact on respondents' survey answers. Households were randomly allocated to the experimental group or the control group. For respondents in the experimental group, the following message was included immediately before the self-completion section of the survey:

**"In order for your answers to be most helpful to us, it is important that you try to be as thoughtful as you can. Since we need complete and accurate information from this research, we hope you will think hard to provide the information we need."**

Respondents in the control group were not given the message.

#### 4.3.3 Exploring systematic measurement error (MTMM)

This experiment looked at respondent opinions towards immigration. It was first included at IP7 and was repeated again at IP8 with a fresh random re-allocation to treatment groups. A set of six questions that differ slightly in wording were asked at two points in the questionnaire, one towards the beginning, the second

towards the end. There were 56 different experimental groups, accounting for the different versions of the questions and the order in which these were asked. Importantly, for the second set of questions to appear at least five minutes must have passed since the first set were asked. In the vast majority of cases (> 99%) five minutes had passed between the two sections, and so the second set were asked.

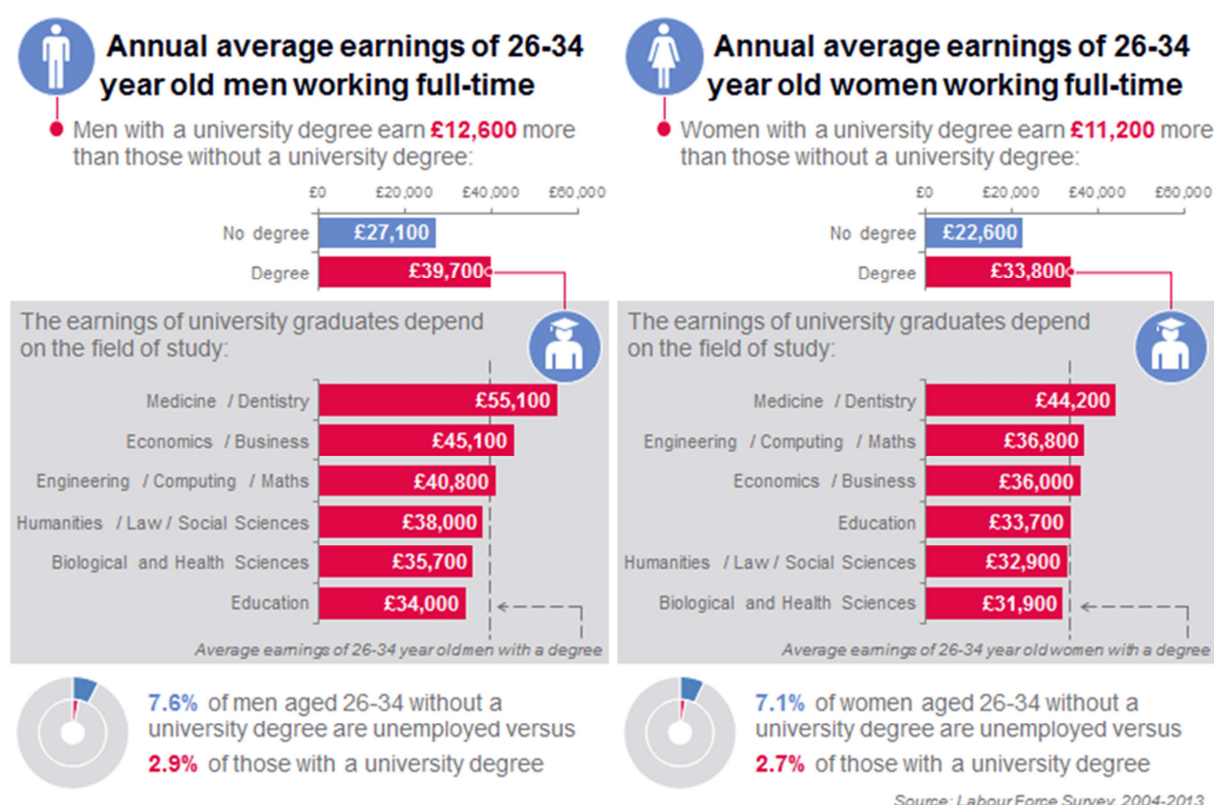
#### **4.3.4 Educational expectations**

This new experiment included questions which aimed to examine the attitudes and expectations of young people and their parents about going to university and, in particular, the additional earning potential from having a degree. The experiment also aimed to evaluate how providing information about population earnings influences young peoples' and parents' beliefs about their own or their children's future earning potential.

All adults were asked about their perceptions of the financial costs and benefits of going to university. All adults aged 16-21 who were not in higher education were asked a set of questions about the perceived costs and benefits of obtaining a higher education degree. Parents of children aged 10-21 not in higher education were asked about their expectations for their child, specifically the costs and benefits of that child obtaining higher education. Parents were asked about their eldest child who is not in higher education (aged 16-21) or is still school-age (10-15).

Half of households were assigned at random to the experimental group. At the end of these questions, adults in households from the experimental group were given copies of graphs showing the average earnings for men and women aged 25-34 with and without degrees across a range of occupations (see Fig. 4.1). Between IP8 and IP9, all respondents who received the information during the IP8 interview will be posted a copy of the same information.

**Fig. 4.1**



#### 4.3.5 Examining the validity of interviewer assessed health ratings

IP8 included an experiment which aimed to explore the factors that contribute to interviewers' assessments of respondents' health. Literature has shown that interviewers' assessments of respondents' health (IRH) have the potential to augment significantly the power of self-rated health measures in a way that is relatively inexpensive and simple to incorporate into a wide variety of studies<sup>2</sup>.

At IP8, answers were given on a five-point scale from 'Excellent' to 'Poor', these derived from interviewers' best judgement based on what they naturally saw and/or heard during their contact with the respondent.

Both CAPI and CATI interviews were included in the experiment. For interviews completed via CAPI the sample was divided into two groups; for half of respondents, the interviewer rated their health at the beginning of the interview before any substantive questions were asked. The health of the second half of respondents was rated by the interviewer at the end of interview. Respondents

<sup>2</sup> Todd and Goldman: Do interviewer and physician health ratings predict mortality? A comparison with self-rated health. Epidemiology. 2013 Nov; 24(6):913-20.

were randomly allocated to these groups at the individual level within the questionnaire itself.

For interviews completed via CATI, interviewers rated respondent's health at the end of the interview to allow a comparison to be made where interviewers were not able to observe physical cues.

#### **4.3.6 A comparison of self-reported sexual identity questions**

The measurement of sexual orientation faces methodological difficulties, since sexuality is among the most sensitive topics in surveys. This experiment aimed to explore different strategies for collecting information about sexual orientation. A two-list item count sensitive questioning (ICT) technique was used to obtain something akin to validation data on sexual orientation in order to evaluate the Integrated Household Surveys (IHS) interviewer administered question on sexual identity against the and UKHLS self-administered approaches.

The Item Count question design involved showing respondents a list of three to five statements and asking how many apply to them or how many they agree with. Respondents were not required to identify which statements they agreed with, only say how many apply. By repeating the two-list ICT longitudinally and rotating allocation of the sensitive item to lists, respondent's sexual identity can be directly ascertained, permitting a validated micro-level analysis.

The question versions were randomised across respondents as was the wording and structure of statements, these asked at different points within the questionnaire. The intention was to compare the different approaches to asking respondents about their sexual orientation from other surveys as well as getting a more accurate measurement of sexual identity overall.

#### **4.3.7 Masking opposition to immigration**

This experiment investigated bias towards Muslim immigrants in the UK. Recent evidence has emerged that Muslim immigrants are subject to targeted bias in the UK. In comparison to Eastern Europe in particular, Muslim immigrants in the UK receive greater explicit opposition (Park et al. 2012). However, attitudes towards immigration are often inaccurately reported in surveys due to a tendency for some respondents to give the answers they believe are most socially acceptable as opposed to the answers they believe are closest to their own beliefs. This may lead to opposition to immigration being under-reported.

This experiment tested different questions about immigration. In particular, it used questions which are designed to minimise the pressure on respondents to

give the answer they think is most socially acceptable. This experiment also made use of the Item Count technique, described above (see Section 4.3.6).

Households within PSUs were randomly allocated to either a control group or one of three experimental treatments. As with the previous experiment concerning the measurement of sexual orientation, the ordering of item counts was randomised across respondents and the statements counted by respondents were also presented in a random order.

## 5. Scripting of mixed-mode instrument

### 5.1 Design of the mixed-mode instrument

The underlying 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 three main components within the CAI instrument: the household grid, household questionnaire and the individual questionnaire. In addition, in CAPI interviewing an electronic contact sheet (ECS) is included before the start of the household grid. The ECS is an electronic version of the paper Address Record Form (ARF) that has been used for previous IPs. The ECS allows interviewers to enter and confirm details on households, including collecting observational data. It is also linked to TNS BMRB's sample management system, which allows for ongoing monitoring of fieldwork.

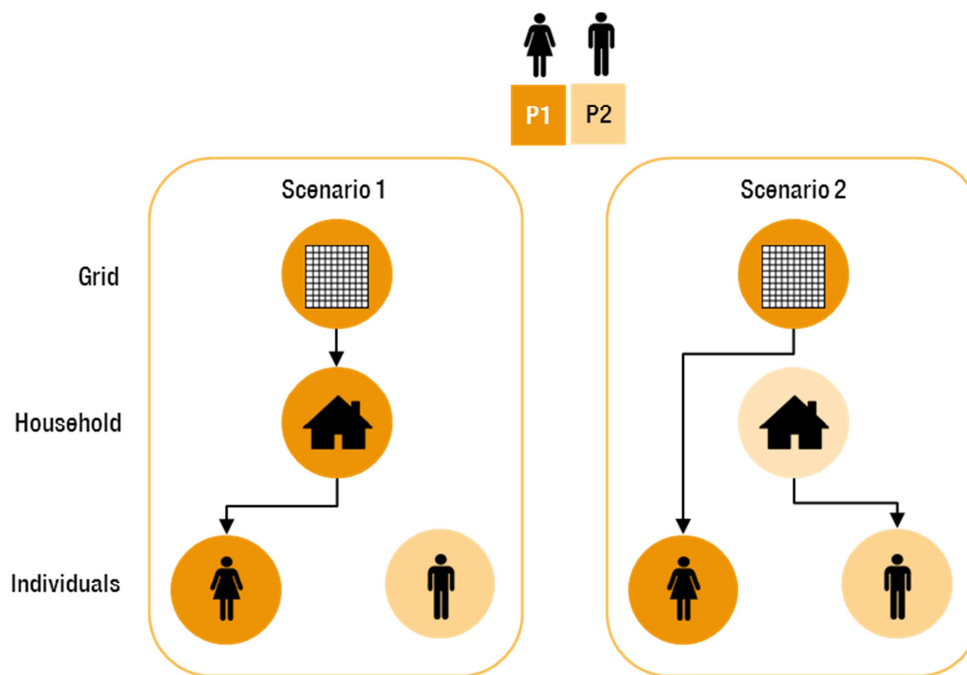
In the CAPI programme the ECS, household grid and household questionnaire are programmed within one instrument and the individual questionnaire is programmed as a separate instrument. Once the household grid is completed, the interviewer is able to move to either the household questionnaire or the individual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

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 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 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 the mortgage or rent, 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 CAPI, CAWI and CATI 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 CAWI and CAPI 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.

### 5.2.2 Non-standard scripting conventions

There were two non-standard developments in the scripting of IP8 in order to meet the data collection requirements and ensure all experiments could be conducted as specified:

- **Cognitive ability:** In the cognitive ability section of the individual interview, respondents were presented with a series of tasks where a series of numbers was shown on-screen for a given period of time; respondents were asked to remember the string of numbers and enter them at the following screen after the time had elapsed. While the string of numbers was being shown on-screen, respondents could not navigate away from that screen. After the given time (between 5 and 11 seconds), a JavaScript function was used to automatically move to the next screen, asking respondents to enter the numbers. Participants could not navigate back to see the string of numbers again. This section was included for a sub-set of respondents at IP7; only those not asked these questions at IP7 received this section in the IP8 questionnaire.
- **Educational expectations:** As part of the educational expectations experiment, respondents in certain households were shown information about average earnings with and without a degree and by degree subject. When completing via CAPI, interviewers gave these respondents a copy of this information to keep. When completing via CAWI, respondents were given the option of downloading a PDF copy or having a copy emailed to them.

### 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
7 <sup>th</sup> May – 28 <sup>th</sup> May	<ul style="list-style-type: none"><li>n/a.</li></ul>
20 <sup>th</sup> May – 2 <sup>nd</sup> June	<ul style="list-style-type: none"><li>Following a case where changes in a household's details had not been processed correctly in the CAWI survey, the script was updated to make sure all of the correct household information read into the individual interview.</li></ul>
2 <sup>nd</sup> June – 9 <sup>th</sup> June	<ul style="list-style-type: none"><li>A minor change was made to a CATI interviewer instruction (ahead of any CATI interviewing).</li></ul>
9 <sup>th</sup> June – 6 <sup>th</sup> July	<ul style="list-style-type: none"><li>A minor change was made to the processing of CAWI outcomes.</li></ul>
6 <sup>th</sup> July – 30 <sup>th</sup> September	<ul style="list-style-type: none"><li>An improvement was made in the Electronic Contact Sheet to reduce crashes resulting from interviewers clicking too many times in quick succession</li></ul>

**Table 5.2: Versions of individual script**

Dates active	Changes from predecessor
7 <sup>th</sup> May – 28 <sup>th</sup> May	<ul style="list-style-type: none"><li>n/a.</li></ul>
28 <sup>th</sup> May – 2 <sup>nd</sup> June	<ul style="list-style-type: none"><li>A minor change was made to the automated coding of CAWI outcomes to bring the script in line with that being used for the main stage of <i>Understanding Society</i> (Wave 7).</li></ul>
2 <sup>nd</sup> June – 6 <sup>th</sup> July	<ul style="list-style-type: none"><li>Routing code for the proxy interview was tightened up to bring it in line with the main stage of <i>Understanding Society</i> (Wave 7).</li></ul>
6 <sup>th</sup> July - 30 <sup>th</sup> September	<ul style="list-style-type: none"><li>As with the household script, an improvement was made in the Electronic Contact Sheet to reduce crashes resulting from interviewers clicking too many times in quick succession</li></ul>

## 6. Phase 1: CAWI data collection

### 6.1 Overview of Phase 1: CAWI data collection

This phase of fieldwork applied only to households in the CAWI-first experimental group. The intention was to encourage as many sample members as possible from CAWI-first households to complete the survey via CAWI. 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.

### 6.2 Encouraging CAWI completion

#### 6.2.1 Initial letters and emails

Initial contact with CAWI-first sample members was made via email and letter. Advance 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 IP7 were sent a slightly different advance letter, informing them that they were now eligible to take part in the adult survey. All advance letters also included the respondent's incentive (see Section 4.2.2 for further details on incentives).

Advance emails were sent where a valid email address was available for that respondent. The advance emails were very similar to the advance letters and also included a direct link to the survey.

#### 6.2.2 Reminder emails and letters

Non-responders in the CAWI-first sample received two email reminders and one letter reminder. Table 6.1 shows the timings of reminders.

**Table 6.1: Timetable of reminders for CAWI-first sample members**

	<b>Soft launch</b>	<b>Days after invitation</b>	<b>Main launch</b>	<b>Days after invitation</b>
<b>First reminder email</b>	13 <sup>th</sup> May	7	18 <sup>th</sup> May	6
<b>Second reminder email</b>	26 <sup>th</sup> May	14	26 <sup>th</sup> May	21
<b>Reminder letter</b>	27 <sup>th</sup> May	15	27 <sup>th</sup> May	22

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 via CAWI, any new household members could be identified. An advance 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 advance letter. If a valid email address was collected in the household grid, an advance email was also sent to the new entrant.

## 6.3 CAWI response

Paradata are available from a number of sources that can help describe the nature of response to the implementation of the CAWI. In this section we report on how respondents accessed the online survey and the devices they used to complete the survey.

### 6.3.1 Source of entry to CAWI survey and devices used

There were a total of 1,536 attempts to access the CAWI survey across the data collection period. A little more than half of these (55%) were cases where sample members clicked on the unique link in their email invitation or reminder email. In the remaining cases, respondents typed in the address for the survey login page.

Table 6.2 shows the devices used to attempt to access the survey, broken down by the source of login.

**Table 6.2: Survey login attempts by device type**

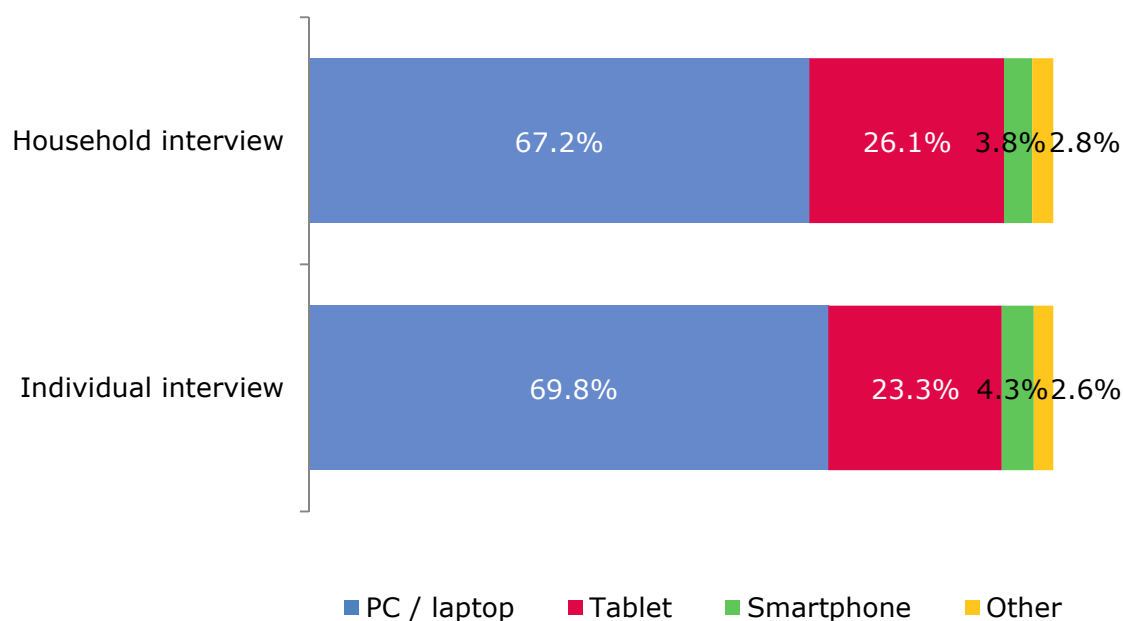
	<b>Email (unique link)</b>	<b>Letter (login page)</b>	<b>Total</b>
PC/Laptop	66.4% 557	74.7% 521	70.2% 1,078
Tablet	21.5% 180	22.8% 159	22.1% 339
Phone	8.0% 67	1.4% 10	5.0% 77
Other/unknown	4.2% 35	1.0% 7	2.7% 42
Total	839	697	1,536

### 6.3.2 Devices used to complete the survey

At previous waves, respondents were unable to complete the survey using a phone or small tablet<sup>3</sup>. If any participant tried to access the survey with these devices, they were directed to a message asking them to use a PC, laptop or larger tablet.

This restriction was removed for IP8, allowing respondents to complete the survey using the device of their choosing. However, respondents were still encouraged in their advance letter to use a PC, laptop or larger tablet. Figure 6.1 below, shows the proportion of respondents using different devices to complete the survey.

**Figure 6.1: Survey completion by device type**



## 6.4 Respondent support

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

The survey login page included details on how to contact ISER or TNS BMRB for support. These details were also included on each page of the CAWI survey. In addition, an FAQ page was developed on the login page, providing more

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<sup>3</sup> All devices with a screen size below 7 inches were automatically blocked from the survey at IP7.

information about incentives, logging in, how to complete the survey and further background about the study.

## **6.5 CAWI issues during fieldwork**

### **6.5.1 Unique respondent links**

In the advance emails sent for the main CAWI launch, a link was included to access the survey directly from the email. The intention was that this link would be unique to each individual respondent so that the respondent would be taken straight into their survey without needing to login.

However, due to an error during the collation of the advance emails, some respondents received the wrong link in their email. When accessing the survey, they were asked to confirm their personal details; in a small number of cases the wrong details appeared and they could not proceed further.

This problem was identified within an hour of the advance emails being sent. At that point, the CAWI survey was closed so that no respondents could access the survey. The survey was then re-opened, but all respondents were asked for their username and password when accessing the survey (instead of going straight into the survey through an email link) for additional security.

Sample members were emailed, apologising for any inconvenience and inviting them to log in to take part. As an additional security measure, respondents were required to give their date of birth when logging into the survey. Where the date of birth given did not match the date of birth on record for that respondent, the respondent was prevented from logging in at that time. This was to prevent anyone other than the respondent accessing their survey.

In total, eighteen respondents attempted to login but were unable to do so because their personal details did not match. Thirteen of these went on to complete the survey later and one was found to be ineligible to take part at IP8.

### **6.5.2 Rejected usernames**

One issue was identified on the first day of the soft-launch, where the usernames of some respondents were being rejected, preventing them from logging into the survey. There were two failed login attempts before this was resolved. Unfortunately, it is not possible to identify which respondent(s) were unable to login at this time, or if they completed the survey at a later date.

# **7. Phase 2: CAPI fieldwork**

## **7.1 Overview of Phase 2**

During phase 2, field interviewers conducted interviews via CAPI with respondents from CAPI-first households and individuals from CAWI-first households who had not completed their survey online. The CAWI survey remained open for individuals in CAWI-first households for the first four weeks of phase 2.

## **7.2 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 CAWI-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 and respondents from CAWI-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 CAWI-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 TNS Field management team informing interviewers of updates by phone, email and text message.

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

## **7.3 Managing mixed mode assignments**

The mixed mode aspect of IP8 brought some additional considerations to interviewers' efforts of getting high response rates. The briefings included sessions where interviewers could flag and discuss with researchers the issues and challenges that the mixed-mode approach might pose on the door-step. Interviewers were encouraged to share tips of successes and best practices from previous experience.

Interviewers were briefed to prioritise the CAPI option and prioritise face to face interviewing unless participants specifically expressed a preference to complete the questionnaire online. In cases where participants preferred to complete online, interviewers were briefed to make sure the participant had all the information they needed to hand to log on to their questionnaire. The



interviewers called back to check whether participants were managing or whether they needed any support or assistance. Interviewers were briefed to continue to call back until they reached a final outcome.

The CAWI questionnaire remained open for the first four weeks of the CAPI fieldwork period, so respondents in the WEB group could participate in either mode. The earlier closure of the CAWI instrument was intended to help interviewers achieve a productive CAPI interview with respondents who expressed a preference for the web survey but who for one reason or another never actually completed it online.

## **7.4 Briefings**

Eight half-day briefings were carried out by the TNS BMRB 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 *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 CAWI-first households and an overview of the survey instruments and procedures.

All eight briefings were conducted in the standard format 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 13<sup>th</sup> May and 28<sup>th</sup> May, with a total of 120 interviewers attending. A debrief also took place in September with a selection of interviewers from different areas. All interviewers working on the survey were provided with feedback forms and were asked to fill and return them to the TNS BMRB research team at the end of fieldwork.

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

## **7.5 Interviewer materials**

### **7.5.1 Sample Information Sheet (SIS)**

A Sample Information Sheet was provided to interviewers for each 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 CAWI-first or CAPI-first group; whether the household was allocated to the Telephone first experimental group; whether individuals were Original, Permanent or Temporary Sample Members; and login information for the CAWI survey.

### **7.5.2 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. Interviewers were also provided with 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.

## **7.6 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).

## **7.7 Incentives for F2F participants**

For all known sample members, 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 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.

The impact of these incentives on CAWI completion and overall response is explored in Chapter 8.

## **7.8 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.

## 8. Response

### 8.1 Household level response

A total of 1,646 continuing households were issued at IP8. Fifteen of these were found to be now ineligible for the study (for example, through death or leaving the UK), while 61 new households were created through one or more household members moving to a new address. This resulted in a total of 1,692 households being eligible for interview at IP8.

Of these eligible households, 78.6% were productive at IP8 and 60.9% were fully productive, that is, interviews were completed with all eligible adults in the household.

There was little difference in response rates for original IP households and those households introduced at IP4 (Table 8.1). The response rate for households introduced in the IP7 refreshment sample however was slightly lower, with 74.6% of households productive.

**Table 8.1: Household response by sample origin**

<i>Base: All eligible households</i>	<b>Original IP sample</b>	<b>IP4 refreshment sample</b>	<b>IP7 refreshment sample</b>	<b>Total</b>
<b>Any productive</b>	80.3% 651	80.2% 308	74.6% 371	78.6% 1,330
Fully productive	63.4% 514	60.7% 233	57.1% 284	60.9% 1,031
Partially productive	16.9% 137	19.5% 75	17.5% 87	17.7% 299
<b>Any unproductive</b>	19.7% 160	19.8% 76	25.4% 126	21.4% 362
HH Grid or HH Qnr only	2.0% 16	0.8% 3	0.6% 3	1.3% 22
Refusal	8.4% 68	7.8% 30	10.7% 53	8.9% 151
Non-contact	5.3% 43	5.7% 22	9.5% 47	6.6% 112
Other unproductive	4.1% 33	5.5% 21	4.6% 23	4.6% 77
<i>Bases</i>	<i>811</i>	<i>384</i>	<i>497</i>	<i>1,692</i>

### 8.1.1 Response given productivity at previous wave (IP7)

Table 8.2 shows response for households based on their outcome at IP7. Overall, 86.1% of households that were productive at IP7 were again productive at IP8, with 67.0% fully productive. In total, 43.3% households that did not take part in the previous wave did take part at IP8.

**Table 8.2: Household response by outcome last wave**

<i>Base: Households also eligible at IP7</i>	<b>Productive last wave</b>	<b>Unproductive last wave</b>	<b>Total</b>
<b>Any productive</b>	86.1% 1,199	43.3% 103	79.8% 1,302
Fully productive	67.0% 933	31.1% 74	61.7% 1,007
Partially productive	19.1% 266	12.2% 29	18.1% 295
<b>Any unproductive</b>	13.9% 194	56.7% 135	20.2% 329
HH Grid or HH Qnr only	1.1% 15	2.5% 6	1.3% 21
Refusal	5.6% 78	30.3% 72	9.2% 150
Non-contact	3.5% 49	13.9% 33	5.0% 82
Other unproductive	3.7% 52	10.1% 24	4.7% 76
<i>Bases</i>	<i>1,393</i>	<i>238</i>	<i>1,631</i>

### 8.1.2 CAPI-first and CAWI-first allocations

Of the eligible longitudinal households, 961 were allocated to the CAPI-first sample and 723 were allocated to the CAWI-first sample.

Some households in the web sample were given higher incentives (see Section 4.2.2). Once the difference in incentive level is accounted for, response rates for the CAPI-first and CAWI-first samples are broadly similar (Table 8.3).

**Table 8.3: Household response by mode allocation**

<i>Base: Households offered £10 incentive</i>	<b>CAPI-first sample</b>	<b>CAWI-first sample</b>	<b>Total</b>
<b>Any productive</b>	73.7% 456	78.5% 183	75.0% 639
Fully productive	55.7% 345	55.4% 129	55.6% 474
Partially productive	17.9% 111	23.2% 54	19.4% 165
<b>Any unproductive</b>	26.3% 163	21.5% 50	25.0% 213
HH Grid or HH Qnr only	0.6% 4	2.1% 5	1.1% 9
Refusal	12.9% 80	8.2% 19	11.6% 99
Non-contact	6.6% 41	6.4% 15	6.6% 56
Other unproductive	6.1% 38	4.7% 11	5.8% 49
<i>Bases</i>	<i>619</i>	<i>233</i>	<i>852</i>

### 8.1.3 Incentive groups

Tables 8.4 and 8.5 show household response, based on the different levels of incentives offered (please see Section 4.2.2 for further details on incentives).

The higher levels of incentive offered to some households in the CAWI-first sample made a substantial difference to response rates, with the highest response rates seen for households offered a £30 incentive (Table 8.4).

Households in the IP7 refreshment sample were given unconditional incentives of £10, £20 or £30. Again, a higher response rate was seen for households offered a £30 incentive (Table 8.5).

**Table 8.4: Household response by incentive group**

<i>Base:</i> CAWI-first households	<b>£10 incentive</b>	<b>£10 + £20 on full household completion</b>	<b>£30 incentive</b>	<b>Total</b>
<b>Any productive</b>	78.5% 183	82.1% 202	89.2% 223	83.4% 608
Fully productive	55.4% 129	66.3% 163	72.8% 182	65.0% 474
Partially productive	23.2% 54	15.9% 39	16.4% 41	18.4% 134
<b>Any unproductive</b>	21.5% 50	17.9% 44	10.8% 27	16.6% 121
HH Grid or HH Qnr only	2.1% 5	2.0% 5	2.4% 6	2.2% 16
Refusal	8.2% 19	6.1% 15	2.8% 7	5.6% 41
Non-contact	6.4% 15	6.1% 15	4.0% 10	5.5% 40
Other unproductive	4.7% 11	3.7% 9	1.6% 4	3.3% 24
<i>Bases</i>	<i>233</i>	<i>246</i>	<i>250</i>	<i>729</i>

**Table 8.5: Household response by incentive group**

<i>Base: IP7 refreshment sample</i>	<b>£10 incentive</b>	<b>£20 incentive</b>	<b>£30 incentive</b>	<b>Total</b>
<b>Any productive</b>	68.6% 105	73.3% 121	81.0% 145	74.6% 371
Fully productive	47.1% 72	55.8% 92	67.0% 120	57.1% 284
Partially productive	21.6% 33	17.6% 29	14.0% 25	17.5% 87
<b>Any unproductive</b>	31.4% 48	26.7% 44	19.0% 34	25.4% 126
HH Grid or HH Qnr only	0.7% 1	0.6% 1	0.6% 1	0.6% 3
Refusal	15.0% 23	9.1% 15	8.4% 15	10.7% 53
Non-contact	10.5% 16	11.5% 19	6.7% 12	9.5% 47
Other unproductive	5.2% 8	5.5% 9	3.4% 6	4.6% 23
<i>Bases</i>	<i>153</i>	<i>165</i>	<i>179</i>	<i>497</i>

### 8.1.4 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 8.6). Of households allocated to the CAWI-first group, 6.2% took part through more than one mode. More than half (52.5%) took part via CAWI only, and this was greater among the higher incentive groups.

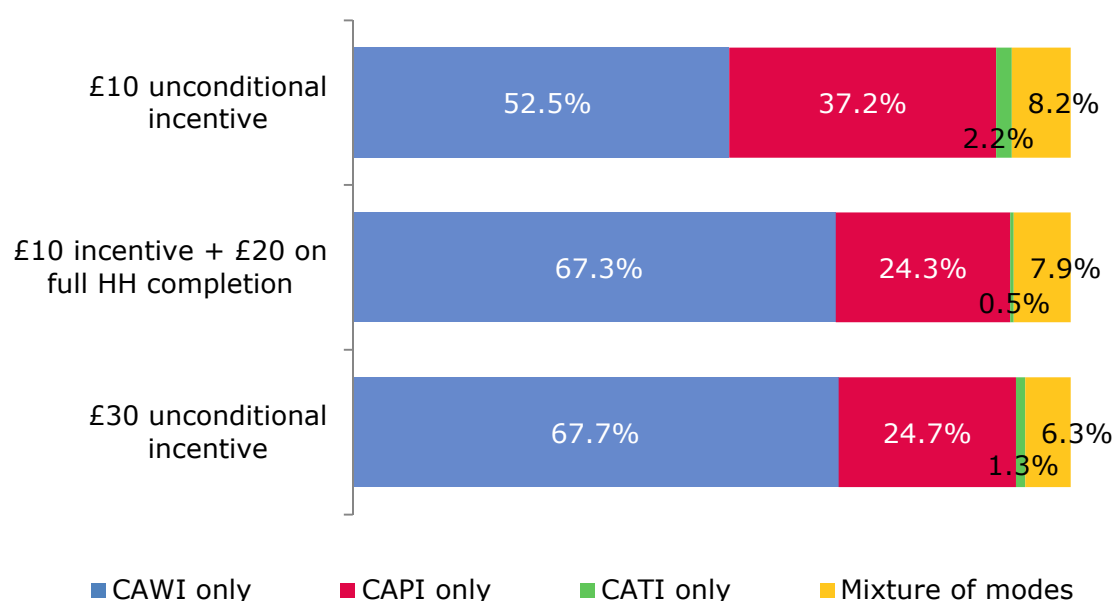
Figure 8.1 shows the mode of completion among productive households from the CAWI-first group. Two thirds of productive households in the higher incentive groups took part via CAWI only, compared to a little over half of productive households offered a £10 incentive.

**Table 8.6: Mode of completion by incentive group**

<i>Base:</i> CAWI-first households	<b>£10 incentive</b>	<b>£10 incentive + £20 on full household completion</b>	<b>£30 incentive</b>	<b>Total</b>
<b>CAWI only</b>	41.2% 96	55.3% 136	60.4% 151	52.5% 383
CAWI only (fully productive)	30.0% 70	48.4% 119	50.0% 125	43.1% 314
<b>CATI only</b>	29.2% 68	19.9% 49	22.0% 55	23.6% 172
<b>CATI only</b>	1.7% 4	0.4% 1	1.2% 3	1.1% 8
<b>Mixture of modes</b>	6.4% 15	6.5% 16	5.6% 14	6.2% 45
<b>Unproductive</b>	21.5% 50	17.9% 44	10.8% 27	16.6% 121
<i>Bases</i>	233	246	250	729



**Figure 8.1 Modes of completion among productive households**



*Base (Productive households allocated to CAWI-first group): £10 unconditional incentive (183); £10 unconditional incentive + £20 on full household completion (202); £30 unconditional incentive (223)*

## 8.2 Individual response

A total of 2,242 full adult interviews were conducted for IP8. There were also 27 partial adult interviews and a further 111 proxy interviews conducted in productive households.

This gives an individual response rate for complete interviews within productive households of 86.7% (Table 8.7). Including proxy interviews, the overall individual response rate was 90.9% within productive households.

Although the number of adults in unproductive households 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 1.97 adults in productive households. Once this is applied to unproductive households, the estimated total individual response rate is 68.2% (including partial adult interviews), or 71.5% including proxy interviews.

**Table 8.7: Individual response**

<i>Base: All adults</i>	<b>Adults in productive households</b>	<i>Adults in all eligible households*</i>
Full interview	85.7% 2,242	67.3% 2,242
Partial interview	1.0% 27	0.8% 27
Proxy interview	4.2% 111	3.3% 111
Unproductive	9.1% 237	28.5% 949
<i>Bases</i>	<i>2,617</i>	<i>3,329</i>

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

Table 8.8 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 similar across the original IP sample, the IP4 refreshment sample and the IP7 refreshment sample.

**Table 8.8: Individual response by sample type**

<i>Base: Adults in productive households</i>	<b>Original IP Sample</b>	<b>IP4 Refreshment Sample</b>	<b>IP7 refreshment Sample</b>	<b>Total</b>
Full interview	86.8% 1,117	84.3% 522	84.8% 603	85.7% 2,242
Partial interview	1.1% 14	1.8% 11	0.3% 2	1.0% 27
Proxy interview	3.3% 43	4.4% 27	5.8% 41	4.2% 111
Unproductive	8.8% 113	9.5% 59	9.1% 65	9.1% 237
<i>Bases</i>	<i>1,287</i>	<i>619</i>	<i>711</i>	<i>2,617</i>

### 8.2.1 Individual response given productivity at previous wave (IP7)

Table 8.9 gives the individual response based on individuals' outcomes at IP7. 85.2% of adults who were productive at IP7 also gave a full or partial interview at IP8, while almost a third (31.7%) of those who were unproductive at IP7 gave a full interview at IP8.

**Table 8.9: Individual response by outcome last wave**

<i>Adults issued at both IP7 and IP8</i>	<b>Productive last wave</b>	<b>Proxy last wave</b>	<b>Unproductive last wave</b>	<b>Total</b>
Full interview	84.3% 1,908	24.3% 18	31.7% 159	73.0% 2,118
Partial interview	0.8% 19	0.0% 0	0.8% 4	0.8% 24
Proxy interview	1.6% 36	32.4% 24	8.4% 42	3.7% 106
Unproductive	13.3% 300	43.2% 32	59.2% 297	22.6% 655
<i>Bases</i>	<i>2,263</i>	<i>74</i>	<i>502</i>	<i>2,118</i>

### 8.2.2 CAPI-first and CAWI-first allocations

Once the differences in incentive levels are taken into account, individual response rates were broadly similar for adults in the CAPI-first and CAWI-first groups (Table 8.10).

**Table 8.10: Individual response by mode allocation**

<i>Adults in productive households given £10 incentive</i>	<b>CAPI-first sample</b>	<b>CAWI-first sample</b>	<b>Total</b>
Full interview	84.7% 728	80.9% 300	83.5% 1,028
Partial interview	0.2% 2	3.8% 14	1.3% 16
Proxy interview	4.7% 40	4.6% 17	4.6% 57
Unproductive	10.5% 90	10.8% 40	10.6% 130
<i>Bases</i>	<i>860</i>	<i>371</i>	<i>1,231</i>

### 8.2.3 Incentive groups

Table 8.11 shows the response for adults in CAWI-first households by different incentive levels. Individual response rates were higher for those receiving a greater incentive amount, although there was little difference between the £30 incentive and those who received £10 with a further £20 on full household completion.

**Table 8.11: Individual response by incentive group**

<i>Base: Adults in productive CAWI-first households</i>	<b>£10 incentive</b>	<b>£10 + £20 on full household completion</b>	<b>£30 incentive</b>	<b>Total</b>
Full interview	80.9% 300	87.4% 355	88.5% 415	85.9% 1,070
Partial interview	3.8% 14	1.2% 5	1.1% 5	1.9% 24
Proxy interview	4.6% 17	3.4% 14	2.1% 10	3.3% 41
Unproductive	10.8% 40	7.9% 32	8.3% 39	8.9% 111
<i>Bases</i>	<i>371</i>	<i>401</i>	<i>469</i>	<i>1,246</i>

Similarly, individual response rates for adults originally from the IP7 refreshment sample were higher for those receiving a greater incentive amount (Table 8.12).

**Table 8.12: Individual response by incentive group**

<i>Base: Adults in productive households from IP7 refreshment sample</i>	<b>£10 incentive</b>	<b>£20 incentive</b>	<b>£30 incentive</b>	<b>Total</b>
Full interview	79.5% 159	84.8% 196	88.6% 248	84.8% 603
Partial interview	0.5% 1	0.4% 1	0.0% 0	0.3% 2
Proxy interview	5.5% 11	6.9% 16	5.0% 14	5.8% 41
Unproductive	14.5% 29	7.8% 18	6.4% 18	9.1% 65
<i>Bases</i>	<i>200</i>	<i>231</i>	<i>280</i>	<i>711</i>

## 8.2.4 Response rates in different modes

Table 8.13 gives the modes by which adults in CAWI-first households completed the survey. Those given higher incentives were more likely to take part online; around two thirds of adults in productive households with a greater incentive completed online, compared to half of those offered the £10 incentive only.

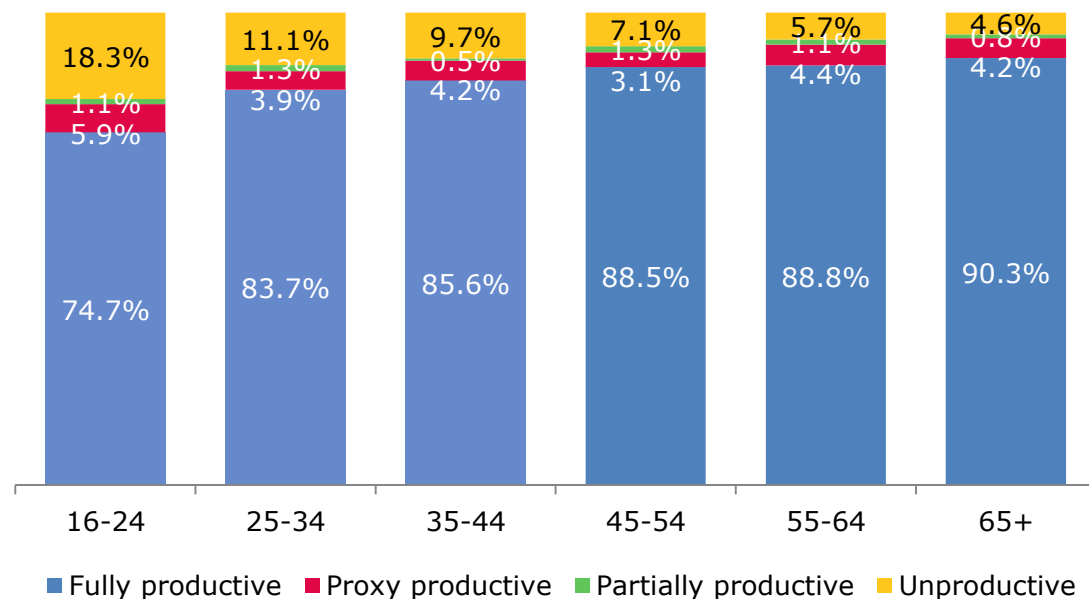
**Table 8.13: Mode of completion by incentive group**

<i>Base: Adults in productive CAWI-first households</i>	<b>£10 incentive</b>	<b>£10 incentive + £20 on full household completion</b>	<b>£30 incentive</b>	<b>Total</b>
Productive – CAWI	50.1% 186	67.2% 273	64.0% 300	60.9% 759
Productive - CATI	1.3% 5	0.5% 2	1.7% 8	1.2% 15
Productive – CAPI	33.2% 123	20.9% 85	23.9% 112	25.7% 320
Proxy productive (CAPI)	4.6% 17	3.4% 14	2.1% 10	3.3% 41
Unproductive	10.8% 40	7.9% 32	8.3% 39	8.9% 111
<i>Bases</i>	<i>371</i>	<i>406</i>	<i>469</i>	<i>1,246</i>

### 8.2.5 Response rates by age

As in previous waves, there was a substantial difference in individual response given the age of respondents (Figure 8.2). Nine out of ten adults aged 65 or above in productive households completed a full interview at IP8 compared to three quarters of 16-24 year olds.

**Figure 8.2 Individual response rates by age**



Base (All adults in productive households): 16-24 (372); 25-34 (307); 35-44 (382); 45-54 (478); 55-64 (474); 65+ (589)

### 8.2.6 Youth response

169 youth questionnaires were received from productive households. This represents a youth response rate of 70.9% within households where at least one full adult interview was completed.

## **9. Data preparation**

### **9.1 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 CAPI and CAWI 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.

Youth self-completions questionnaires were scanned by TNS.

### **9.2 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.

### **9.3 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
<b>Assignment materials</b>	
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 IP8
<b>Supporting materials/information</b>	
Project Instructions	Detailed interviewer instructions for IP8
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
Average earnings graph	Copies of graph used in Educational Expectations experiment (see Section 4.3.4 for further details)
'Contact us' page from CAWI login	Contact details for respondents needing assistance with the CAWI survey
FAQs for CAWI respondents	Queries commonly asked by respondents completing the CAWI survey
<b>Self-completion questionnaires</b>	
Youth questionnaire	Self-completion questionnaire for 10-15 year olds



Document	Details
<b>Letters, cards and flyers</b>	
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
<b>Envelopes</b>	
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 <sup>st</sup> Class blank envelopes	Envelopes for sending tracing and stable contact letters
<b>Gift voucher/Gift card materials</b>	
Love2Shop Gift vouchers	Incentives for youth respondents, new entrants or adult participants who said they did not receive an incentive with their advance letter