Project Instructions

P2822: *Understanding Society* Unit:
NatCen, 101-135 Kings Road, Brentwood, Essex CM14 4LX

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Summary

Introduction

Understanding Society is a UK longitudinal survey with annual interviews with 40,000 households across the UK.

Survey Design

There will be two types of sample in WAVE 1, a general population (GP) sample and a boost sample of minority ethnic groups (EB). Within the GP sample, there are two additional sub-samples, the GP comparison and Low Density Area samples which get an extra 5 minutes per individual questionnaire.

The GP sample covers the UK and is a PAF sample with 18 addresses in one postcode sector per assignment. We will interview at up to 3 Dwelling Units (DUs) and up to three households per DU at each address.

The fieldwork for WAVE 1 of *Understanding Society* lasts for 2 years from Jan 2009 – Dec 2010, and is split into 24 monthly samples. For each monthly sample there is a 6-day screening phase that takes place before the start of the fieldwork, a 1 month fieldwork period and a 1 month reissue period.

The interviewing phase lasts one month from 8th–7th. The 8th–7th will be a strict cut-off with no extensions, and any addresses which are uncovered by the end of the period will be reallocated to another interviewer. The coverage targets are:
- By day 4 (11th): Must make 1 trip;
- By day 7 (14th): Must visit every assignment address;
- By day 14 (21st): 50% covered and transmitted back with final outcome;
- By day 21 (28th): 90% covered and transmitted back with final outcome.

Branding

We have worked with Public Zone (a communications agency) to develop the branding of *Understanding Society*, which means that it will have a different look and feel to standard NatCen surveys, and includes additional elements like having a welcome pack for respondents.

Contact and Co-operation

There is an advance card (rather than a letter) which you need to sign and put in the branded stamped envelope along with a £10 voucher for the GP sample. There is a branded survey leaflet and a branded appointment card for use on the doorstep.

If you vary the times of day you call and spread your calls over the days of the week, you will get a better result with less effort. It is important to stress to potential respondents that this is a survey about them as individuals and if speaking to a family, about their family life. We want to find out how different aspects of their lives interact and influence each other. It is very important that you familiarise yourself with the questions so that on the doorstep you will be able to tailor your arguments depending on who you talk to.

We have translated the questionnaire and survey materials into 9 languages. If you come across a non-English speaking household you will need to use the translation card and translation booklet.

GP Sample ARFs

The ARF you will be using has a non-standard structure, although uses standard outcome codes. The main differences from the standard ARF are that we have moved the interviewer observations to the front of the ARF and all the final outcome codes are in one section rather than spread throughout the ARF. There are 3 versions of the ARF for the GP sample.

ARF	Colour	Description
GP1	Yellow	Used when first opening an address in GP sample, and used for first dwelling unit and household selected
GP2	Cream	Used for 1st household in 2nd or 3rd DU in GP sample
GP3	Orange	Used for 2nd or 3rd households in any DU in GP sample

As 95% of addresses will not have multiple DUs or multiple households, it is likely that most interviewers use ARF 2's or 3's. If you open any of the ARF 2's or ARF 3's it is essential that you follow the instructions on the ARF that generates them and transfer information carefully onto the new ARFs. Please remember you must create all the additional DUs and households in the CMS address menu before you transmit the interview for the first DU or household.

Screening the EB Sample

In order to complete the screening of the EB sample before the start of the fieldwork period for each month, we will be using Screening Squads to cover assignments. Individual interviewers will carry out the screening using paper ARFs and paper claim forms (Yellow CCFs), and the ARFs will be entered into CAPI Admin by the Screening Squad Leader (or individual interviewer if you are screening and interviewing on that assignment).

The EB sample will not receive vouchers in advance, and they will get a slightly different version of the advance card.

As with the GP ARFs, there are three versions of the EB ARFs:

ARF	Colour	Description
EB1	Green	Used when first opening an address in EB sample, and used for first dwelling unit and household selected
EB2	Blue	Used for 1st household in 2nd or 3rd DU in EB sample
EB3	Violet	Used for 2nd or 3rd households in any DU in EB sample

A household is potentially eligible if anyone (including children) in the household has parents or grandparents from any of these groups: Indian, Pakistani, Bangladeshi, Black-African, Black-Caribbean, Sri Lankan, Chinese, Far Eastern, Middle Eastern and Iranian, Turkish, North African and African Asian. If a household is eligible then all members of the household aged 10+ are eligible (regardless of their ethnic group).

The screening questions are D7–D15 on the ARF. You actually only need to ask D7 of the respondent using the ARF Screening Card, and then you need to follow the routing through the rest of these questions to determine whether someone is screened in or not. The eligibility number is on the selection label on the front of the ARF, and needs to be transferred to D10 on the ARF if you are routed to this question. It is a random number between 0 and 100 and is used to select a sub-sample of some of the ethnic groups.

Screeners can only make appointments for the main interview if they will definitely be conducting the interview themselves, and cannot make appointments for another interviewer.

Interview Process

The data collection instruments are
- 15 min (average) CAPI household questionnaire (including the enumeration of the household);
- 32.5 min (average) Individual Adult CAPI questionnaire for all aged 16+ (general population sample);
- 37.5 min (average) Individual Adult CAPI questionnaire for all aged 16+ (ethnic boost sample);
- 7 min (average) Adult Paper Self-Completion questionnaire for all aged 16+;
- 10 min (average) Youth Paper Self-Completion questionnaire for all aged 10-15; and,
- 10 min (average) CAPI proxy questionnaire.

There are three types of people we will be including as household residents, including two groups that would normally be excluded from surveys:
1. Normal household residents (using the standard household definition)
2. Absent household members (at school / university)
3. Absent household members (working away / in an institution / in hospital)

You should attempt to get a full individual interview with respondents from group 1 or a proxy only as a last resort. For respondents in group 2 and 3, you should try and get a full interview if that person happens to be at the address during the fieldwork period. You should not take a proxy interview unless you are completely sure that you are unable to get a productive interview.

As *Understanding Society* is a longitudinal survey and we will be contacting and visiting respondents on a yearly basis, it is very important to spell their names correctly in the household grid, particularly their surnames.

We are asking for consent to link to both health and educational administrative records for adults and for children. The forms are printed in duplicate. The top copy is to be sent back to Brentwood and the bottom copy is to be left with the respondent. There are also an information leaflets that need to be given to respondents that explain which health and educational records we would be linking to, and a consent flowchart to explain how their data is linked. The CAPI screen will tell you which consent forms to administer and what you need to transfer onto the consent forms.

We will be re-visiting households in Wave 2, and so we do need to know about whether people move accommodation. You need to leave a change of address card with each respondent, not just one per household. You will also be collecting contact details and stable contact details for each interviewed individual.

There is a £10 voucher for each adult CAPI interview, and a £3 voucher for each Youth self-completion. There are no incentives for the adult self-completion or for proxy interviews. Interviewers will be prompted by CAPI to hand out vouchers after each completed interview or youth self-completion. You also have voucher receipt forms which the respondent must sign to acknowledge that they were given a voucher.

There are separate self-completions for adults (16+) and children (10-15). It is essential that you ask people to fill in self-completions during your visits, or that you make a trip to collect the final completed ones. The CAPI has been structured so that self-completion details are stored in a parallel block and can be easily accessed.

There is a one participant pack per household for people to store all their *Understanding Society* materials (eg copies of consent forms). It includes a participants' handbook which could also be used on the doorstep to help persuade people to take part.

CAPI Interview

Information about individual questions will be found in the CAPI help screens rather than in these project instructions. There are many more help screens than you would find in a usual CAPI program, and you can find them by pressing <F9> when you are at a particular question.

The CAPI questionnaire is structured with 5 main parallel blocks that are:

- Household questionnaire
- Individual questionnaire
- Self-completions
- Consent Help
- Admin

The main topic areas covered in the individual questionnaire are

- Family, relationships, fertility, child-birth history
- Health, disability and caring
- Employment, finance and personal consumption
- Ethnicity, discrimination, religion, politics, environment
- Beliefs, values and attitudes
- Migration history, harassment and remittances (ethnic boost sample only).

Make sure you do some practice interviews before your first interview.

Translations

We will be translating the questionnaire and other materials into 9 languages: Arabic, Bengali, Cantonese, Gujarati, Punjabi (Urdu script), Punjabi (Gurmukhi script), Somali, Urdu, Welsh.

If you are a bi-lingual interviewer you will carry out interviews in the translated language yourself if you come across any households who speak that language. If you are an interviewer you need to arrange via your Project Manager to be accompanied by a translator.

Your laptop has been set up so that all interviews in English are done using Blaise and all interviews in translation are done using UNITIP (Unicode Translation Interview Program) as UNITIP can display Non-Latin languages like Bengali and Punjabi. It is possible to do interviews with different people in the same household in different languages.

If you come across someone who doesn't speak English or one of the nine languages that we are using in the survey, then you can use a responsible person to translate for you.

Admin

The *Understanding Society* Unit in Brentwood are responsible for this survey. The unit is led by Shelli Murray. Please contact The Unit on 01277 690000 if you have any queries or are having any difficulties.

1   Introduction

Understanding Society is a major new household panel study which has been commissioned by the Economic and Social Research Council (ESRC). Taken as a whole, it will be 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 will also be known as the UK Household Longitudinal Study (UKHLS) among the academic community, but we will only refer to it as *Understanding Society.*

Understanding Society will provide 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 British 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 will collect data from all members of a household aged 10 and above on an annual basis (10-15s by self-completion only, all those 16+ by CAPI and self-completion). Annual interviewing will allow us to track relatively short term or frequent changes in people 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 design of the survey is similar to the British Household Panel Survey (BHPS) which is known to participants as Living in Britain and has been running since 1991 and is also managed by the team at ISER. In the BHPS, children who were born at the start of the study are now being followed into young adulthood and into the labour market. People who were young adults when the survey started have been tracked through their years of partnership formation, marriage and establishing a family, with all the effects this has on other areas of people's lives such as their employment participation, housing needs and income. People who were middle aged when the BHPS started, have been followed through their retirement period and will continue to be tracked to understand their well-being into old age. *Understanding Society* will do the same over the coming years but with a much larger sample size that will allow us to look in more detail at small sub-groups within the population as well as year groups within the sample. At Wave 2, the existing BHPS sample will be incorporated into the *Understanding Society* sample.

The experience of ISER in conducting the BHPS over the last 18 years is that both respondents and interviewers enjoy doing the survey. Respondents welcome the fact that their interviewer returns every year and they can update them about things that have happened to them and other family members. And interviewers enjoy going back to the same people to see how they are getting on, even if sometimes they are faced with people in difficult circumstances. The survey will build up an unprecedented picture of how people's lives develop and change as events and experiences unfold in their lives.

NatCen has been commissioned to conduct the first two waves of fieldwork. Each respondent will be contacted annually, but because of the large sample size, each wave of fieldwork will last approximately two years.

We have already carried out an Innovation Panel[1] of 1500 productive households between January and April 2008 and a full dress rehearsal. WAVE 1 fieldwork will run between January 2009 and December 2010.

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[1]   This looked at different methodological issues like the effect of asking questions with and without showcards.

2   Survey Design

2.1   General population sample design

There will be two types of sample in WAVE 1, a general population (GP) sample and a boost sample of minority ethnic groups (EB). The EB sample is covered in Section 6.

The GP sample covers the UK including Northern Ireland and the Islands. The GP sample is a PAF sample with 18 addresses in one postcode sector per assignment. We will interview at up to 3 Dwelling Units (DUs) and up to three households per DU at each address.

Within the GP sample, there are two additional sub-samples, the GP Comparison and Low Density Area samples which are explained below. These two samples get an extra 5 minutes per individual questionnaire, but other than that they are treated no differently to the rest of the GP sample.

2.1.1 GP Comparison sample

For a sub-sample of the GP sample, known as the GP comparison sample, all adults in the household will be asked five minutes of additional questions[2], which are also being asked of eligible adults in the EB sample (described later). One issued address in 40% of the GP assignments will be allocated to the GP Comparison sample.

The sample file will have information about which addresses are in the GP Comparison sample, the addresses will be identified on the ARF label and the CAPI will use this information to automatically include the additional questions.

2.1.2 Low density areas

The EB sample is restricted to postcode sectors with a non-white population density of 5% or higher. This means that the sample of ethnic groups who get the 5 minutes of additional questions is not representative as it would not include ethnic groups living in low density areas. These areas will be identified on the ARF label.

To make the sample more representative, any adult individual defined as being in an ethnic group within the interview and who is in a low density area, will automatically be get the additional 5 minutes of questions. The CAPI will do this automatically. Overall, this will happen in fewer than 1,000 interviews over the whole survey.

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[2]   There is a different fee for the longer interview.

2.2 Fieldwork design

The fieldwork for WAVE 1 of *Understanding Society* lasts for 2 years from Jan 2009 – Dec 2010, and is split into 24 monthly samples. The fieldwork for WAVE 2 similarly lasts for 2 years, starting in Jan 2010 with people remaining in the same monthly sample that they were allocated to in WAVE 1. There can be no swapping of addresses to a different monthly sample.

The 24 monthly samples are named:
- JA1, FE1, MR1, AP1, MY1, JE1, JL1, AU1, SE1, OC1, NV1, DE1,
- JA2, FE2, MR2, AP2, MY2, JE2, JL2, AU2, SE2, OC2, NV2, DE2.

For each monthly sample there is a 6-day screening phase that takes place before the start of the fieldwork, a 1 month fieldwork period and a 1 month reissue period. Screening is covered in Section 6.

There are targets for allocating interviewers to assignments. 80% of assignments must be allocated 5 weeks before the start of each month's fieldwork, and 100% must be allocated 3 weeks before. There are rules about allocation of assignments to interviewers:
- Interviewers will not get more than 1 core point per month or 2 core points in consecutive months;
- Interviewers will not get *Understanding Society* and NTS in same month.

Each Field Area will have a project manager who will only manage *Understanding Society* and no other projects. Each Field Area will have a hit-squad of mobile interviewers who are on standby to cover uncovered assignments and reissues.

2.2.1 Interviewing phase

The interviewing phase lasts one month from 8th-7th. Non-contacts and refusals from the screening will be reissued in the interviewing phase. The 8th-7th will be a strict cut-off with no extensions, and any addresses which are uncovered by the end of the period will be reallocated to another interviewer.

The targets for coverage are:
- By day 4 (11th): Must make 1 trip;
- By day 7 (14th): Must visit every assignment address;
- By day 14 (21st): 50% covered and transmitted back with final outcome;
- By day 21 (28th): 90% covered and transmitted back with final outcome.

If no work is returned by the 4th day, then interviewers will be contacted, and if necessary removed from the project if work has not started or is not planned.

2.2.2 Reissue phase

The reissue phase runs from 8th–7th in the second month of each monthly sample.

Reissue interviewers will be allocated at the same time as the main fieldwork allocation to minimise the time taken to organise the reissue fieldwork starting. Reissue interviewers may cover several assignments.

2.2.3 Fieldwork Timetable

FIELD MONTH	Main Fieldwork Packs Posted	Main Fieldwork allocated on host	Main Fieldwork Starts	Main Fieldwork Ends – Last Transmission (by evening)
JAN–09	Tue 16/12/08	Mon 05/01/09	Thu 08/01/09	Sat 07/02/09
FEB–09	Mon 02/02/09	Wed 04/02/09	Sun 08/02/09	Sat 07/03/09
MAR–09	Mon 02/03/09	Wed 04/03/09	Sun 08/03/09	Tue 07/04/09
APR–09	Wed 01/04/09	Thu 02/04/09	Wed 08/04/09	Thu 07/05/09
MAY–09	Fri 01/05/09	Mon 04/05/09	Fri 08/05/09	Sun 07/06/09
JUN–09	Mon 01/06/09	Thu 04/06/09	Mon 08/06/09	Tue 07/07/09
JUL–09	Wed 01/07/09	Thu 02/07/09	Wed 08/07/09	Fri 07/08/09
AUG–09	Mon 03/08/09	Mon 03/08/09	Sat 08/08/09	Mon 07/09/09
SEP–09	Tue 01/09/09	Thu 03/09/09	Tue 08/09/09	Wed 07/10/09
OCT–09	Thu 01/10/09	Mon 05/10/09	Thu 08/10/09	Sat 07/11/09
NOV–09	Mon 02/11/09	Wed 04/11/09	Sun 08/11/09	Mon 07/12/09
DEC–09	Tue 01/12/09	Thu 03/11/09	Tue 08/12/09	Thu 07/01/10

3 Branding

We have taken the opportunity provided by having such a large survey to work with a communications agency (Public Zone) to look at the way that we communicate with respondents and how the survey itself is branded. It is through this process that we decided on *Understanding Society* name, logo and brand guidelines for all documents. The purpose of the branding is to increase initial response rates to the survey and to encourage survey loyalty and therefore minimise attrition at subsequent waves.

We have developed alternative ways of communicating with respondents about the survey, which include revamping the advance letter to become an advance card and designing a participants pack to be given to respondents at the end of the interview.

3.1 Categorising respondents

Public Zone identified different factors which influence people when they are deciding whether or not to take part in a survey of this type. They argue that, there are three different categories respondents fall into:

- "Include me" ('I like the idea of being part of something)'
- "Incentivise me" ('I feel I will get something in return')
- "Educate me" (I buy into the objectives of the survey').

The materials have been designed in order to appeal to these three types of respondent.

3.2 Stages

The materials Public Zone have designed fall into three stages:

- Stage 1 (advance materials): Stamped advance card, envelope and voucher;
- Stage 2 (on the doorstep): Information leaflet and appointment card
- Stage 3 (during the interview): Participant Pack containing Participant Handbook and fridge magnet, and a pen to hand out to respondents.

In addition, a fourth stage involves various keeping in touch activities such as sending participants information leaflets and providing a website, but these are not discussed here.

4   Contact And Co-operation

4.1   Stage 1: In advance

4.1.1 Informing the police

As always, check in at the local police station(s) before you start work. Please tell them what the survey is about, give them a copy of the advance card, and explain how long you will be working in the area. Then present your identity card and leave your name and the NatCen freephone number (0800 783 5890). Ensure that all the details you have given are recorded in the day-book at the station desk if that station has one **and** ask them to rubber-stamp a copy of the advance card for you and sign it with their name.

Make a note of the name of the officer with whom you speak and the date of your call so that you are fully covered in the event of any query or complaint to the police. It is reassuring for suspicious households, as well as other people you come into contact with, to be told that the police know about you. **You must not start work until you have registered with the police.**

4.1.2 Advance Cards

We have designed an advance card instead of an advance letter on this survey, and also a branded envelope. The envelope will have a stamp rather than a franking mark and there is space for interviewers to sign the advance card to make the initial contact as personal as possible. The GP advance card also contains a £10 voucher. You will need to sign and seal the advance card, making sure it contains a voucher for the GP sample.

The advance card needs to be posted before the start of the fieldwork month on the 8th, so that you can start work on the 8th or, as a minimum, make your visits in the first 4 days of fieldwork.

Advance cards contain a serial number label. Make sure the serial number on the card matches the one on the envelope.

Note that if you discover additional dwelling units or households at the address, these households will not have received an advance card. Please show them a spare advance card from your workpack. A new advance card can be generated by the office on request.
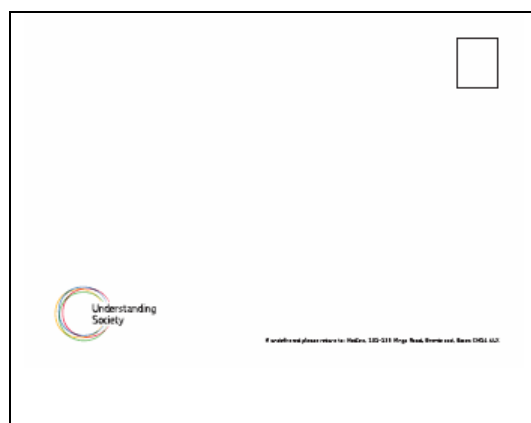
4.2   Call patterns

Research shows that:

‣ The more you vary the times of day you call, the fewer calls you will have to make and you will get a higher response rate;

‣ Leaving a few days between calls will produce a higher contact rate, you will have to make fewer calls and you will get a higher response rate.

If you vary the times of day you call and spread your calls over the days of the week, you will get a better result with less effort. So, it is important that you stick to the NatCen call pattern rules and make an early start so that you can spread out calls more.

4.3   Stage 2: On the doorstep

Be meticulous about showing your ID card to households you visit, even if the people you speak to do not appear to be interested in it.

4.3.1 Introducing the Survey

It is important to stress to potential respondents that this is a **survey about them as individuals and, if you are speaking to a family, about their family life. We want to find out how different aspects of their lives interact and influence each other.** It is very important that you familiarise yourself with the questions so that on the doorstep you will be able to tailor your arguments depending on who you talk to. Use your expertise while introducing the study and mention different areas of the survey accordingly. We have listed below some of the research questions that this survey addresses that you might find helpful while encouraging people to take part.

- *How does people's well-being change over time?*
- *How does poor health affect employment opportunities?*
- *Does our education system provide the springboard for young people to develop their careers?*
- *Are retired people managing on their pensions?*
- *Are disabled people getting the care they need?*
- *How is family life changing and what do people think about these changes?*

For all households with more than one person, it is also important that **everyone** eligible participates. On the doorstep you can stress that this is a **household** survey and that we are interested in how everyone affects each other. For example, how do decisions about one person's work and working hours affect others in the household, what happens when children leave home and so on.

4.3.2 Maximising response

It is vital for the long-term success of a longitudinal survey that we get an excellent response at WAVE 1, so we'd like people to aim for getting a 100% response rate, but as we know that this is extremely difficult, the target response rate is 65%-70% depending on your area. Our overall goal is an absolute minimum of 40,000 households at WAVE 1 as the survey has been promoted as being among this number of households.

Remember that a friendly approach works best and withdraw if it's not a good time and you might get a refusal if you push. You must make multiple visits to interview all eligible individuals and it is very important that you aim to achieve fully productive households i.e. all adult members aged 16 and over interviewed.

4.3.3 Survey Leaflet and Appointment Card

There is a branded survey leaflet and a small branded appointment card to leave with respondents, which should be used on the doorstep, as well as obviously having a copy of the advance card in case the household doesn't remember receiving it. Please remember to only make appointments within the appropriate monthly fieldwork period ie 8th – 7th.
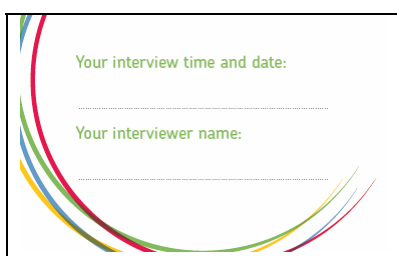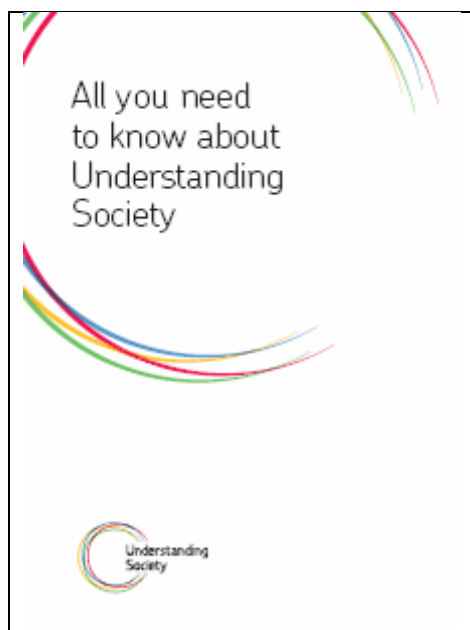
There are 3 documents with information about the survey namely the Advance Card, the Information Leaflet and the Participant Handbook, and these have been designed so that they would contain increasing detail about *Understanding Society*, and would be given to participants at Stages 1, 2 and 3 respectively. However, you should consider these to be tools to be used differently according to the type of person you encounter on the doorstep. For example, if someone wants to know a lot of detail about the survey, you can leave them a participant handbook and call back later if you think this is more likely to result in an interview.

Advance Card	Survey Leaflet	Participants Handbook
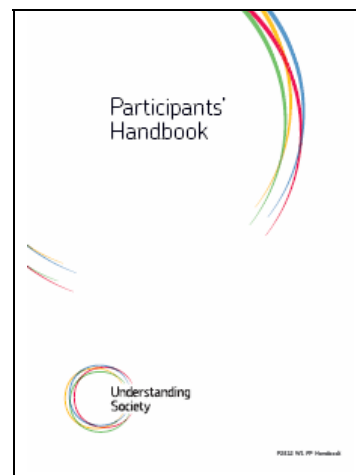
4.4   Contact with non-English speaking households

Although it is the case that interviewers are much more likely to come across non-English speaking households on the ethnic boost, some interviewers may also find these households in the GP sample.

Initially you should attempt to talk to someone in the household who speaks English. If the person who first opens the door to you doesn't speak English, try to identify someone who does. (One interviewer recommends saying "English", and pointing at your wrist, and hopefully you'll get a sign of when someone who speaks English might be at home for you to talk to).

If no-one in the household speaks English, then you will need to use the translation card and translation booklet. We have translated the questionnaire and survey materials into 9 languages, which are:

- Arabic,
- Bengali,
- Cantonese,
- Gujarati,
- Punjabi (Gurmukhi script),
- Punjabi (Urdu script),
- Somali.
- Urdu,
- Welsh.

The translation card should be used on the doorstep if you come across a fully non-English speaking household. The first side of the translation card contains the phrase "I speak <language>" in 33 different languages.

If the household speaks one of the nine languages that we will be using, you should show them the Translation Booklet. This contains a brief summary of the project and asks if it is okay to arrange for a translator to contact them to arrange an interview. The text asks for potential respondents for a telephone number so someone can call them. Interviewers should write the number on the front of their ARF.

If the household speaks another language on the card, then you are prompted to see if anyone else in the household could translate the interview for them. If they can't you should turn the card over and on the back is the translated phrase "We do not need you to take part in the study this time. Thank you for your help." for each language. Please only show the back of the card if no one in the HH speaks English.

If you come across a household where you think that a translation will be required, then you need to contact your project manager to give them sufficient warning to find a bi-lingual interviewer to cover the address, or to find a translator to accompany you. In the GP sample, you need to go into the CAPI Admin and record that a translation is needed for this address. For EB sample you will need to access CAPI admin through CMS as shown in Appendix B.

5   GP Sample ARFs

5.1   Definitions of DUs and households

A **Dwelling Unit** (DU) is a living space with its own front door – this can be either a street door or a door within a house or block of flats. Usually there is only one dwelling unit at an address.

A **household** is when one person or a group of people have the accommodation as their only or main residence **and** share at least one meal a day **or** share the living accommodation.

Around 95% of addresses will only have one DU and one household – multiple DUs/households tend to be concentrated in urban areas, so it is likely that either your assignment will contain no multiple DUs/households or you will have several in an assignment.

5.2   ARF GP1

Although we are selecting up to 3 DUs and 3 Households per DU at each address, over 95% of addresses will only have 1 DU and 1 Household, and therefore you will mostly just use ARF GP1 when working on the GP sample.

5.2.1 Structure of the ARF

The ARF you will be using has a non-standard structure, although uses standard outcome codes. The main differences from the standard ARF are that we have moved the interviewer observations to the front of the ARF and all the final outcome codes are in one section rather than spread throughout the ARF.

Section	Description
A	Tracing addresses, recording interviewer observations and identifying ineligible addresses
B	Selection of dwelling units, and generation of ARF 2's
C	Selection of households, and generation of ARF 3's
D	Contact for GP sample
E	Topics queried by eligible households
F	Final outcome codes
G	Follow-up questions for unproductive households

In addition to the normal calls record contained on the first two pages of the ARF there is an additional section which allows you to keep track of progress through the household, so that you can record who has been interviewed, who has done their self-completion, and whether you have handed out vouchers.

5.2.2 ARF labels

The address label on the front of ARF A will contain the following information:

- Serial number consisting of a 4 digit point number, 2 digit address number and 1 digit household number
- Check letter
- Field area
- Fieldwork month
- Address
- Address co-ordinates
- Whether address is GP Comparison or Low Density Area (which means some individuals may get a longer interview). 1=Yes, 0=No.

Example address label:

```
SN: 1001-01-1 A              FA: 3
MONTH: JA1
SAMPLE: GP
35 Northampton Square
London
EC1V 0AX


E: 123456 N: 654321
GPCom:0                      LDA:0
```

The selection label is needed only for selection of multiple DUs or multiple households and is covered in Appendix A.

5.2.3 Section A: Observation questions

There are more interviewer observation questions than there would be on a normal survey because we will be using them to help define non-response weights and to predict response and attrition at subsequent waves.

These observation questions must be filled in before making contact with the address, and we are interested in your initial observation and judgement. For example, if you think that an address doesn't have children aged under 10 and record this during your observation, we do not want you to change this if you subsequently find out that there are children of this age at the address.

Observation questions need to be completed for all non-deadwood addresses including office refusals, although you should not contact any addresses that are an office refusal.

5.2.4 Sections B–E: 1 DU and 1 household

Although the ARF looks complicated, with one DU and one household, and where you make contact and someone speaks English, you will work through sections B–E very quickly as shown below.

B.1   Is the address residential and occupied as main residence?

Yes	1	Go to B.2
Unsure (no contact)	2	Go to F.5
Unsure (contact made)	3	Go to F.7
Office refusal	4	Go to F.3 (code 410)

B.2   How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs.

0 1   and then code

1 DU	1	Go to C.1
2+ DUs	2	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

C.1   ESTABLISH NUMBER OF HOUSEHOLDS IN SELECTED DU

Count a group of people as a hhold if they a) share one meal per day or b) sharing living accommodation.

Write in number of HHs   **0 1**   and then code

1 HH	1	Go to C.4
2+ HHs	2	Go to C.2
Unsure about number of HHs – no contact	3	Go to F.2
Unsure about number of HHs – information refused	4	Go to F.3

C.4   Check address of selected DU/HH is correct and complete, if not amend address label on front page

D.1   Did you make contact with anyone in the household?

Yes	1	Go to D.2
No	2	Go to F.5

D.2   Did anyone in the household speak English (even if not main language)?

Yes	1	Go to E.1
No	2	Go to D.3

E.1 Did the household respondent query any of the following topics (CODE ALL THAT APPLY)?

PURPOSE (e.g. "What's the purpose? What's all this about?")	01
INTERVIEW LENGTH (e.g. "How long will this take?")	02
PANEL DESIGN (e.g. "You'll be coming back next year?")	03
CONFIDENTIALITY (e.g. "Who's going to see the answers?")	04
INCENTIVE/PAYMENT (e.g. "What's in it for us/me?")	05
OTHER QUERY	97
NO QUERIES	96

> Code as appropriate, then onto final outcome page in section F

5.2.5 Section D: Translations

Although interviewers will mostly come across non-English speaking households in the EB sample, the sections on translations are included in all the GP ARFs as well, because it is still possible that some of the GP sample addresses are non-English speaking households.

D.3 SHOW ARF TRANSLATION CARD

Did anyone speak any of the languages that we are going to translate into?

> D3 only has the first 9 codes from the translation card, which are the languages that we have translated the questionnaire and other materials into

Arabic	01	
Bengali	02	
Cantonese	03	
Gujarati	04	
Punjabi (Gurmukhi)	05	Go to D.4
Punjabi (Urdu)	06	
Somali	07	
Urdu	08	
Welsh	09	
None of these spoken	96	Go to D.5

> If one of the languages is spoken, show the ARF Translation Booklet and record a contact telephone number.

D.4 SHOW ARF TRANSLATION BOOKLET

Please record all telephone numbers given on the front of the ARF and contact your project manager/project team for further information/instruction

Go to E.1

> If the household speak one of the translated languages, then skip over the remaining language questions.

D.5 Record which language(s) spoken from language card. (CODE ALL THAT APPLY)

Albanian	10
Amharic	11
Chinese	12
Croatian	13
Farsi	14
French	15
Greek	16
Hindi	17
Lingala	18
Lithuanian	19
Luganda	20
Malayalam	21
Mandarin	22
Pashto	23
Polish	24
Portuguese	25
Russian	26
Serbian	27
Spanish	28
Swahili	29
Tamil	30
Tigrignia	31
Turkish	32
Vietnamese	33
NONE OF THESE	96

D5 records any other languages spoken in the household. This is so we can evaluate whether we need to translate into any other languages if we find we are losing participants because of a language barrier.

If possible, for the non-translated languages another household member or neighbour could be used as in interpreter, so you need to record whether this happened at D6.

D.6 Were you able to use another household member or neighbour as an interpreter?

Yes	1	Go to E.1
No	2	Go to F.4 (code 541)

5.2.6 Section F: Final Outcome

All the final outcomes are on one page of the ARF in section F, rather than having outcome codes spread throughout the ARF. You will be directed to the appropriate question given answers earlier in the ARF. Code final outcome, transfer to the front page of the ARF and then follow the routing. Codes 110 and 210 will be generated in the CAPI Admin. Unproductive codes are generated by the interviewer.

F.1 Productive

Completed household questionnaire and at least one individual interview	110	END
Completed household questionnaire but no individual interviews	210	

F.2 Non-contact

No contact after 6+ calls	310	
Contact made at address, not with household member	320	
Contact made at address, but not with anyone at selected DU	321	Go to G.8
Contact made at (selected) hhold, but not with responsible adult	322	
Contact made at (selected) DU but not with selected hhold	328	

F.3 Refusal

Office refusal	410	END
Contact made but all information refused about number of DUs at address	421	
Contact made but all information refused about household	422	
Contact made at DU, but information refused about number of households	428	Go to G.1
Refusal before interview	431	
Proxy refusal	432	
Refusal during interview (unproductive partial)	440	
Broken appointment – no recontact	450	Go to G.2

F.4 Other unproductive

Language difficulties with hhold as a whole	541	Go to G.2
OFFICE APPROVAL ONLY: Other unproductive	599	

F.5 Unknown eligibility (No contact)

OFFICE USE ONLY: Not issued to interviewer	611	END
OFFICE APPROVAL ONLY: Issued, not attempted/transferred to another interviewer	612	
OFFICE APPROVAL ONLY: Inaccessible	620	
Unable to locate address	630	
Unknown whether address is residential: No contact after 6+ calls	640	Go to G.9
Residential: unknown if eligible person(s) due to non-contact after 6+ calls	650	
Screener not completed due to non-contact (boost sample only)	660	
Other unknown eligibility (verbatim reason to be keyed in Admin block)	690	

F.6 Deadwood/Ineligible

Not yet built/under construction	710	
Demolished/derelict	720	
Vacant/empty housing unit	730	
Non-residential address (e.g business, school, office, factory etc)	740	Go to G.9
Address occupied, no resident household (e.g. occupied holiday/weekend home)	750	
Communal establishment/institution – no private dwellings	760	
Other ineligible	790	

F.7 Unknown eligibility (Contacted)

Information refused about whether address is residential	810	
Contact made but not with someone who can confirm the presence of a resident hhold	820	
Information refused about whether resident(s) are eligible	830	
Unable to confirm eligibility of resident(s) due to a lack of knowledge	840	Go to G.9
Unable to confirm eligibility of resident(s) due to a language barrier	850	
Refusal to complete screener (boost sample only)	860	
Screener not completed due to lack of knowledge (boost sample only)	870	
Other unknown eligibility	890	

5.2.7 Section G: Unproductive outcomes

Section G contains questions about reasons for refusal, characteristics of the contact person, whether another interview might get and interview and the standard open question with more details to be recorded about non-productive outcomes.

5.3   Multiple DUs and multiple households

As 95% of addresses will not have multiple DUs or multiple households, it is likely that most interviewers will not come across this situation, but make sure that you have these project instructions with you when you go out interviewing so that you can refer to them if necessary.

5.3.1 Section B: 2–3 DUs on ARF GP1

Section B is where the DUs are selected. Section 5.2.4 showed how this section would be completed when there is only one DU. The example shown below shows how to complete the ARF is there are 2 DUs (and completion would be similar if there were 3 DUs). If there are multiple DUs at an address you will need to open a new ARF GP2.

B.1   Is the address residential and occupied as main residence?

Yes	**(1)**	Go to B.2
Unsure (no contact)	2	Go to F.5
Unsure (contact made)	3	Go to F.7
Office refusal	4	Go to F.3 (code 410)

B.2   How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs.

0 2   and then code

1 DU	1	Go to C.1
2+ DUs	**(2)**	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

B.3   List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
01	**35 A**	05		09	
02	**35 B**	06		10	
03		07		11	
04		08		12	

- **If 4–12 DUs:** Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs:** Select 3 DUs using the lookup chart in project instructions and ring on grid above.

B.4   Enter details of selected DUs

	Selected DU		ARF to Use
DU 1	**0**	**1**	Continue on this ARF
DU 2	**0**	**2**	Open ARF **GP2**, transfer sn, address and DU=2
DU 3			Open ARF **GP2**, transfer sn, address and DU=3

> Continue with Flat 35A on this ARF, and open a new ARF GP2 for Flat 35B. Transfer address details and code DU=2 on front page. The serial number to write on the front of the new ARF comes from the new household that you create in CMS, as shown in the next section.

5.3.2 Section C: 2-3 households on ARF GP1 or GP2

As well as selecting up to 3 DUs at each address, we also need to select up to 3 households at each DU. Therefore in theory, at one address we could select 3 DUs and also at each DU select 3 households, resulting in a total of 9 households (3x3) for that address. In practice this is extremely unlikely, but given the scale of the project it is possible that an interview may come across multiple DUs and multiple households.

Section C follows the same format as Section B in the previous section, so screenshots have not been repeated here.

If you find a DU with multiple households then you will need to open a new ARF GP3, following the instructions carefully. Please remember to transfer relevant information to the new ARF, according to the instructions given. You will find instructions for identifying the correct serial number in the section that follows.

5.3.3 Creating an additional household in CMS

If you come across either an address with multiple DUs or a DU with multiple households, then you will need to create a new household in the CMS as shown below. Note that although we refer in the CMS to a new household, in this survey opening a new household in CMS is used for both new DUs and new households.

You will need to enter a new household number. You can see that in this example there is already a second hhold, so in this instance you would type a <3> in this box.

You then get a new serial number ending in 3, and this is the number that you need to transfer to the front of the new ARF that you've opened.

5.3.4 Selecting from 4+ DUs/households

If you come across an address with more than 3 DUs or a DU with more than 3 households, then you need to select 3 DUs/households using the selection label on the front of the ARF. Details of how to do this are contained in Appendix A.

5.4   GP ARF versions

There are 3 versions of the ARF for the GP sample.

ARF	Colour	Description
GP1	Yellow	Used when first opening an address in GenPop sample, and used for first dwelling unit and household selected
GP2	Cream	Used for 1st household in 2nd or 3rd DU in GenPop sample
GP3	Orange	Used for 2nd or 3rd households in any DU in GenPop sample

If you open any of the ARF 2's or ARF 3's it is essential that you follow the instructions on the ARF that generates them and record the following information carefully onto the new ARFs

- Serial number (which you will need to create by opening a new household using CMS as shown above);
- Address and postcode; and,
- Dwelling unit and household numbers.

Please remember you must create all the additional DUs and households in the CMS address menu before you transmit the interview for the first DU or household. If you do not, you cannot go back and create the new serial numbers.

Please also remember that you must create new ARFs (and new households in CMS) for all additional dwelling units or households you find at the original address. This includes ALL dwelling units or households, including any that are unoccupied, boarded up, etc.

6 Screening The EB Sample

In order to complete the screening of the EB sample before the start of the fieldwork period for each month, we will be using Screening Squads to cover assignments in many areas. If this is not the case in your area, and you are entering the outcomes yourself, follow the instructions for Screening Squad Leaders. Individual interviewers will carry out the screening using paper ARFs and paper claim forms (CCFs), and the ARFs will be entered into CAPI Admin by the Screening Squad Leader. This section covers the work of the individual screening interviewers – the work of Screening Squad Leaders, including entering the ARFs into CAPI Admin is detailed in Appendix B.

6.1 EB sample design

The overall aim of the boost sample for WAVE 1 will be to achieve interviews with 1000 adults in each of the following groups:
- Indian,
- Pakistani,
- Bangladeshi,
- Black-African,
- Black-Caribbean.

A household is potentially eligible if anyone (including children) in the household has parents or grandparents from any of these groups:
- Indian, Pakistani, Bangladeshi, Black-African, Black-Caribbean.
- Sri Lankan, Chinese, Far Eastern, Middle Eastern and Iranian, Turkish, North African and African Asian.

If a household is eligible then all members of the household aged 10+ are eligible (regardless of their ethnic group).For most of the ethnic groups all people identified will be eligible for the survey, for other groups such as Pakistani only a sub-sample of households will be eligible. The following shows the proportion of each ethnic group that would be eligible.

Group	Eligible
Indian	50%
Indian Mixed	100%
Pakistani	54%
Bangladeshi	100%
Sri Lankan	100%
Black Caribbean	91%
Black Caribbean Mixed	100%
Chinese	100%
Far Eastern[3]	30%
Middle Eastern and Iranian	30%
Turkish	100%
North African	82%
Black African	82%
African Asian	82%
White African	Not elig

If a household contains a mixture of people eligible in different groups, then the overall eligibility of that household is the highest of the component eligibility rates. For example, if a household was classified as both Bangladeshi (100%) because of one household member and Indian (50%) because of another, then the eligibility for this household would be 100%.

Assignment sizes in the EB sample will vary depending on the density of ethnic groups within a postcode sector. Low density areas will have a larger number of addresses per assignment as the aim is to achieve a similar number of productive households per assignment. Any assignments of 35 or more addresses will be split between two (or more) interviewers.

[3] Defined on the ARF

6.2 Screening phase of fieldwork

The screening phase lasts 6 days, and takes place from Wed–Mon two weekends before start of each fieldwork month. The exception is for Jan09 monthly sample, where because of Christmas the screening fieldwork will run from Wed 17th Dec – Mon 5th Jan.

Assignment sizes in the EB sample will vary depending on the density of ethnic groups within a postcode sector. Low density areas will have a larger number of addresses per assignment as the aim is to achieve a similar number of productive households per assignment. To ensure the screening can be done in this time, any assignments with more than 35 addresses will be allocated to two (or more) interviewers. Interviewers must work 1 weekday, 2 evenings and 1 weekend.

FIELD MONTH	Screener Packs posted	Screening Start Date	Screening Ends	Main Fieldwork Starts
JAN–09	Wed 10/12/08	Wed 17/12/08	Sun 04/01/09	Thu 08/01/09
FEB–09	Wed 07/01/09	Wed 14/01/09	Mon 19/01/09	Sun 08/02/09
MAR–09	Wed 11/02/09	Wed 18/02/09	Mon 23/02/09	Sun 08/03/09
APR–09	Wed 11/03/09	Wed 18/03/09	Mon 23/03/09	Wed 08/04/09
MAY–09	Wed 08/04/09	Wed 15/04/09	Mon 20/04/09	Fri 08/05/09
JUN–09	Wed 13/05/09	Wed 20/05/09	Mon 25/05/09	Mon 08/06/09
JUL–09	Wed 10/06/09	Wed 17/06/09	Mon 22/06/09	Wed 08/07/09
AUG–09	Wed 15/07/09	Wed 22/07/09	Mon 27/07/09	Sat 08/08/09
SEP–09	Wed 12/08/09	Wed 19/08/09	Mon 24/08/09	Tue 08/09/09
OCT–09	Wed 09/09/09	Wed 16/09/09	Mon 21/09/09	Thu 08/10/09
NOV–09	Wed 14/10/09	Wed 21/10/09	Mon 26/10/09	Sun 08/11/09
DEC–09	Wed 11/11/09	Wed 18/11/09	Mon 23/11/09	Tue 08/12/09

6.3   Screening process

6.3.1 Contact and gaining co-operation

The EB sample will not receive vouchers in advance, and they will get a slightly different version of the advance card.

When you make contact at the address you will need to explain that you are seeking interviews with particular groups of people. At the household you should try to make contact with someone who speaks English, to ask the screening questions in Section D on the ARF. If you come across a non–English speaking household, follow the procedure in Section 4.4, and your Project Manager will arrange for the screening to be carried out by a bi-lingual interviewer or a translator to accompany you if it is one of the nine languages we have translated.

If people want to know why we are screening you can explain that we need to do this in order to have a large enough number of interviews with people from different ethnic backgrounds as selecting addresses at random will not provide sufficient numbers for analysis.

6.3.2 EB ARFs

As with the GP ARFs, there are three versions of the EB ARFs so that up to 3 DUs and up to 3 households can be selected. The different versions are:

ARF	Colour	Description
EB1	Green	Used when first opening an address in EB sample, and used for first dwelling unit and household selected
EB2	Blue	Used for 1st household in 2nd or 3rd DU in EB sample
EB3	Violet	Used for 2nd or 3rd households in any DU in EB sample

Note that as in section 5.3, you may need to open additional ARFs for multiple DUs or multiple households. In these instances you will be able to open an ARF and transfer address and DU/household number, but you won't be able to transfer the serial number as this is generated in CMS and is entered by the screening squad leader. The squad leader will also enter the results of the screening into CAPI

6.3.3 Screening questions and eligibility number

The screening questions are D7-D15 on the ARF. You actually only need to ask D7 of the respondent, and then you need to follow the routing through the rest of these questions to determine whether someone is screened in or not.

At D7, you need to show the respondents the ARF Screening Card, which lists all the ethnic groups that we are interested in. Note that you need to ask whether **anyone** living at the address comes from any of the ethnic groups on the card, or has **parents** or **grandparents** from any of these groups. Note that you should code all that apply at D7.

To illustrate how someone is screened in we will use the example of a one person household who is not in any of the groups on the card nor are either of his parents or grandparents apart from his paternal grandfather who is Pakistani.

D.7 SHOW SCREENING CARD

Does anyone living at this address come from, or have parents or grandparents from **any** of the following ethnic groups?

CODE ALL THAT APPLY

Indian	01
Mixed Indian – (parents or grandparents from Indian ethnic group **AND** parents or grandparents from a non-Indian ethnic group)	02
Pakistani	(03)
Bangladeshi	04
Sri Lankan	05
Caribbean / West Indian	06
Mixed Caribbean/West Indian (parents or grandparents from Caribbean/West Indian ethnic group **AND** parents or grandparents from a non-Caribbean/West Indian ethnic group)	07
North African	08
Black African	09
African Asian	10
Chinese	11
Far Eastern (includes Filipino, Thai, Malaysian, Japanese, Vietnamese, Singaporean, Indonesian, Korean, Burmese)	12
Turkish	13
Middle Eastern / Iranian (includes Israeli, Palestinian, Lebanese, Syrian, Jordanian, Yemeni, Saudi, Iraqi, Afghani, other Gulf states)	14
None of these	96 → Go to F.6 (code 770)
Unable to complete screening questions	95 → Go to F.7

Go to D.8

Any codes recorded at D7 will be transferred to subsequent questions to determine eligibility.

D.8 INTERVIEWER: IF CODE 1 OR CODE 6 AT D.7, CHECK THAT ALL PARENTS AND GRANDPARENTS ARE FROM INDIAN (CODE 1) OR CARIBBEAN/WEST INDIAN (CODE 6) GROUPS. IF NOT USE CODE 2 FOR MIXED INDIAN OR CODE 7 FOR MIXED CARIBBEAN/WEST INDIAN AS APPROPRIATE.

If None of these is coded, then household is ineligible and final outcome is coded in Section F

Note that D8 is a check question to make sure that the two "mixed" categories are correctly classified. In this example with only one Pakistani grandfather then code 3 is the correct code. If the respondent's paternal grandfather had been Indian, and his paternal grandmother was not Indian, then rather than coding 1 for Indian, you should code 2 for Mixed Indian.

D.9 Does anyone living at this address come from, or have parents or grandparents from **any** of the following ethnic groups?

CODE FROM D.7

Mixed Indian – (parents or grandparents from Indian ethnic group **AND** parents or grandparents from a non–Indian ethnic group)	02	
Bangladeshi	04	
Sri Lankan	05	
Mixed Caribbean/West Indian (parents or grandparents from Caribbean/West Indian ethnic group **AND** parents or grandparents from a non–Caribbean/West Indian ethnic group)	07	Go to E.1
Chinese	11	
Turkish	13	
None of these	96	Go to D.10

All of the groups listed at D9 would be screened in, but Pakistani isn't one of these groups, so we have to use Eligibility Number from front of the ARF to determine whether this household is screened in or not

Example selection label:

```
SN:  101-01-1 A

DU/HH:  4 5 6 7 8 9 10 11 12
SEL1 : 1 1 1 2 4 1  3  4  3
SEL2 : 2 2 2 6 5 3  6  9  8
SEL3 : 3 4 5 7 7 8  7 10 10

Eligibility Number: 53
```

The eligibility number is on the selection label on the front of the ARF, and needs to be transferred to D10. It is a random number between 0 and 100.

D.10 Transfer eligibility number from front of ARF [5][3] and then code

Eligibility number <=30	1	Go to D.11
Eligibility number in range 31–50	2	Go to D.12
Eligibility number in range 51–54	3	Go to D.13
Eligibility number in range 55–82	4	Go to D.14
Eligibility number in range 83–91	5	Go to D.15
Eligibility number >=92	6	Go to F.6 (code 770)

Depending on the value of the eligibility number you are then routed to answer only one of D12–D15.

D.13 Does **anyone** living at this address come from, or have parents or grandparents from any of the following ethnic groups?

CODE FROM D.7

Pakistani	03	
Caribbean / West Indian	06	
North African	08	Go to E.1
Black African	09	
African Asian	10	
None of these	96	Go to F.6 (code 770)

So in this instance, this household would get screened in. If, in this examples, the eligibility no was 93–100 then the HH would have been screened out.

6.4   Post screening process

If the household is eligible and you are not the interviewer assigned to the address, you should explain that another interviewer will call in a few days to try to arrange an interview. You can say that today you are just checking which addresses are eligible for the survey and that someone else needs to arrange the interview. If respondents have any message that they want to be passed on to the interviewer (e.g. the best times/days to call) you should note this on the ARF.

Screeners can **only** make appointments for the main interview if they will definitely be conducting the interview themselves, and cannot make appointments for another interviewer. If you are conducting the interview, please remember that you *cannot* make an appointment outside of the fieldwork period ie 8th – 7th of the fieldwork month.

If no-one in the household is eligible you should thank the respondent for their time and explain that today you were only looking for households with people from non-white groups so we do not need to include them in the survey. Some people may be disappointed that they cannot take part in the survey as they are 'screened out' (eg the household does not include anyone aged 16+ who is non-white). You should explain to people that, while the main part of the study includes everyone whose address is selected, we also need extra interviews with people who are non-white. This is because the main part of the study (the General Population sample) will not provide enough interviews with people in non-white groups for statistical analysis. Carrying out these extra interviews means that we have enough people for the survey to be representative of different ethnic groups.

6.5   Admin

6.5.1 Screener workpack

Screeners will be supplied with the following for each sampled address:
- An ARF (EB1) with a pre-labelled address and selection label.
- An envelope containing an EB advance card (with a space for to write your name).
- The survey information leaflet

Screeners will also be supplied with blank EB2 and EB3 ARFs, appointment cards and spare advance cards, police letters and NatCen leaflets.

6.5.2 Before you start work

It is important for this task that you
1. Consult the screening timetable and call the team in Brentwood if you haven't received your workpack with 2 days of the scheduled "screener packs posted" date in the monthly timetable.
2. Check your workpack and contact Brentwood immediately if you notice an error or have items missing.
3. Sign the advance cards. Please write your name neatly.
4. Post the advance cards within a day of receiving your workpack.
5. Notify the police that you are working in the area, using the standard Natcen police letter.
6. Begin work immediately. The screening period is 6 days and will not be extended.
7. Liaise closely with your Squad Leader.

6.5.3 Returning work

It is very important that you return all ARFs to the Squad Leader by the agreed date, as fieldwork deadlines on this study will be very tight. The Squad Leader is responsible for completing the CAPI admin on the addresses you have visited (unless you will be doing the interviewing in this point in the main fieldwork month).

The main interviewer will attempt to contact any addresses that you have been unable to make contact with.

6.5.4 Pay claims

Pay claims are to be made as per the following methods:

Do you have any screening addresses on your laptop?

```
         Yes              No
          │                │
          ▼                ▼
```

Did you yourself visit any of these addresses and do screening?

```
   Yes,        Yes,        No,
   all         some        none
    │           │           │
    ▼           ▼           ▼
```

Use Claim Method 1 below	For the ones you visited, use Claim Method 1 below. For all the others, use Claim Method 2	Use Claim Method 2 below

Make a PAPER pay claim on a yellow CCF form –
- Write on it the number of addresses you screened, and the point number.
- If you're working with a Squad Leader, give them your claim and completed ARFs for checking.
- You will be paid at the rate of 30 addresses = 11 hours pay (pro-rata for fewer or more addresses). This will be calculated in the office.

END

Claim Method 1: for addresses that you visited
- Open a trip on the laptop and enter calls each time you go out screening on this assignment.
- Sign off each serial number and complete admin as normal.
- In the admin block of each questionnaire, say **"Yes"** to the question "Did you visit this address yourself?"

You will automatically be paid, via the laptop, a Home Prep fee (£1.53*) and a Cover fee (£2.02**) for each address. No paper claims needed.

Claim Method 2: for addresses you are keying, but did NOT visit yourself
- Do not open a trip or enter calls for these addresses.
- At the Working at Home menu, select 'Enter calls / Blaise admin'. Then select P2822 from the list and press Enter. Select the serial number and press Enter to see the Call Entry screen. Press Alt+B, then Alt+Y to access the admin block. Complete admin and sign off the serial.
- In the admin block, say **"No"** to the question "Did you visit this address yourself?"

You will automatically be paid a Home Prep fee (£1.53*) for each address.

Note: *If you are also <u>interviewing</u> at the screened-in addresses, the screening fees will be processed in office at the same time as the interview fees. (No paper claims needed.)*

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* Basic rate, not uplifted by Grade or Pay area.   ** Uplifted by Grade and Pay area

7   The Interview Process

7.1   Overview of data collection instruments

The data collection instruments are

- 15 min (average) CAPI household questionnaire (including the enumeration of the household);
- 32.5 min (average) Individual Adult CAPI questionnaire for all aged 16+ (general population sample);
- 37.5 min (average) Individual Adult CAPI questionnaire for all aged 16+ (ethnic boost sample);
- 7 min (average) Adult Paper Self-Completion questionnaire for all aged 16+;
- 10 min (average) Youth Paper Self-Completion questionnaire for all aged 10-15; and,
- 10 min (average) CAPI proxy questionnaire.

The household questionnaire will vary in length from the average because larger households will take longer to enumerate and single person households less time to enumerate. The enumeration of the household will take 5 minutes on average and then there are on average 10 minutes of questions for the household.

The adult interview contains extensive routing, so again interview lengths will vary considerably. The main factors that affect interview length for an individual will be employment status, number of children in the household and whether the respondent receives benefits. While the average length should be 32.5 minutes, it could last up to 45 minutes or an hour for some respondents.

7.2   Eligibility and proxy interviews

There are three types of people we will be including as household residents, including two groups that would normally be excluded from surveys:

- Normal household residents (using the standard household definition)
- Absent household members (at school / university)
- Absent household members (working away / in an institution / in hospital)

You should attempt to get a full individual interview with respondents from the first group or a proxy only as a last resort. You should not take a proxy interview unless you are completely sure that you are unable to get a productive interview. For example, if one adult is out when you first call then you should make another visit to attempt to interview them rather than taking a proxy interview from someone else.

For absent household members, you should try and get a full interview if that person happens to be at the address during the fieldwork period e.g. they visit on a weekend. If they will not be present during the fieldwork period, please attempt to get a proxy interview.

The proxy interview should be carried out with a nominated proxy, a close relative, or another adult in the household who knows the respondent well. All proxy informants should be 16 years old or above.

7.2.1 Normal household residents

To work out who should/shouldn't be included in a household, you need to be clear about the household definition we use:

> **"One person living alone or a group of people who either share living accommodation OR share one meal a day and who have the address as their only or main residence."**

Sharing at least one meal a day:

This should consist of a main meal but does not imply that the household must always sit down together for the meal as long as food is bought for joint use. Breakfast may be counted as a main meal.

Sharing living accommodation:

- Living accommodation in this case is defined as a living room or sitting room
- This also includes addresses where there is no living room separate from kitchen; i.e. if it forms part of the same room
- A household can also be treated as one if the living room also has to be used as a bedroom
- Shared kitchens and/or bathrooms do not count as shared living accommodation
- Occasionally an individual or a group of people will have both their own living accommodation (that is living room/bedsitter and kitchen) and the use of a communal living room. In such cases priority should be given to having their own accommodation, and they should be treated as separate households. Examples of this include warden assisted housing for the elderly, flatlet houses, or separate annexes where the parent occasionally also uses the family living room.

General points to note:

- Members of a household need not be related by blood or marriage.
- To be included in the household an individual must sleep at the address when s/he is in residence: anyone who sleeps at one address but has all their meals elsewhere must therefore be included at the address where they sleep.
- Some people might have more than one residence. Where there is doubt because respondents have more than one residence their MAIN residence should be decided by the person him or herself.

Normal household residents would also include:

- children (of any age) normally living there but temporarily away on a short course or temporary job likely to last less than 6 months;
- au pairs on long-term engagements there (6 months or more);
- anyone who has been living at the dwelling unit continuously for six months or more, even if they have their main residence elsewhere.
- People who are temporarily resident at the address (e.g. guests) unless they have a date of departure. Boarders should be included, even if they have not been there for six months, unless they know they are moving out within the next six months.

If in doubt about residence, apply the six month rule: those away or likely to be away for 6 months or more are NOT counted as resident at the address: in some cases the main residence will not be in this country.

Apart from these cases, the question of whether or not the address is the main residence should be decided by the respondent.

7.2.2 Absent household members at school / university

We will also be **including** people in the survey who are normally resident members of the household but are away at school / college / university (ie they come home as a minimum at holidays). This includes:

- children aged under 16 who are away at boarding school;
- students aged 16 and over who are studying away from home and living in boarding school/halls of residence (students living in private housing when away studying are not included as all private addresses have their own chance of selection into the sample)

7.2.3 Other absent household members

We will also be **including** people who are normally resident members but are presently working away / living in institutional accommodation. This may include:

- people who work away from home for whom this is their **only** fixed or **main** dwelling unit (eg on business, in the armed services, fishermen, oil rig workers or merchant seamen);
- anyone normally resident at the dwelling unit who are in an institution (hospital, nursing home, prison, etc); and,
- members of the armed forces on extended tours of duty for 6 months or more, who will be away continuously.

7.2.4 Not resident:

- persons working away from home and who only come home at weekends or holidays and for whom it is not their main address;
- spouses who are separated (whether or not they visit the household);
- children who have been (or are expected to be) in care for 6 months or more;
- household members who have been away continuously for 6 months or more;
- paying guests, e.g. in a bed and breakfast; and,
- anyone not sleeping at the address; to be counted as resident an individual must sleep at the address. Anyone who has their meals at one address but sleeps elsewhere must be included at the address where they sleep.

7.3   Planning and organising workload and trips

If you have a large household you are likely to have to make multiple trips to carry out all the interviews and collect the self-completions. On the front inside cover of the ARF is a grid where you can fill in the names of all eligible people in the household and keep a paper record of which interviews have been done and which self-completions filled in. It is not mandatory for you to fill this in, but you may find it useful.

7.4   Spelling of names, addresses etc.

As *Understanding Society* is a longitudinal survey and we will be contacting and visiting respondents on a yearly basis, it is very important to spell ALL names correctly in the household grid, particularly their surnames. When asking respondents' names, please double check that the spelling is correct. Similarly, you must ensure that addresses and job titles are spelt correctly.

7.5   Contact details

It is hugely important that we obtain as much contact information as possible about respondents. One of the biggest challenges for longitudinal surveys is finding people who have moved since their last interview, and the more information we can collect about how to contact them at this interview, the better chance we have of subsequently finding them.

For each respondent we want to collect details of any personal or work phone numbers for both mobile and landline phones, and email addresses. If respondent is adamant that they don't want to be contacted again then there is a code to use in the CAPI at the point that contact details are collected.

We are also taking a different stable contact for all interviewed adult respondents (not one contact for the household). Although this may appear to be time consuming, it is less onerous than taking more time to trace a respondent when they have moved.

7.6 Collecting details about respondents jobs

For *Understanding Society* there is a requirement to code the Standard Industrial Classification (SIC) to 4 digits rather than the standard two. The standard two digit code is a broad based classification – in a 4 digit code it uses the standard first two digits and the 3rd and 4th digit provide the detail which we need to collect in order to meet the coding requirements of this study

To code to 4 digits the Ops team needs more detailed information e.g. if someone works in a shop – it is not sufficient to write in "works in shop" – we need to know what kind of shop, **so probing is essential**.

For example, if someone works in clothing manufacture – as you will see "clothing manufacture" would not be sufficient in this case – **you need to probe for exactly what is made and what it is made with**. If more than one product or material is used you need to probe for what is made of the most. If they can't tell you, write in everything they make and what they make it with. Note that you need to record what the **organisation** they work for makes, not just what they make. If they manufacture clothing the difference in the detail is illustrated below:

Type of manufacture	Code
Manufacture of outer wear coats\suits\jackets\ trousers\skirts	14.13
Manufacture of underwear\nightwear\shirts\ blouses	14.14
Manufacture of babies garments, gloves\ties\shawls\hairnets etc	14.19
Manufacture of leather goods, except sports gloves and sports headgear	14.11
Manufacture of other knitted goods: socks, tights	14.31
Manufacture of other knitted goods: pullovers, cardigans	14.39

Similarly for teaching from the table below you can see that just knowing that someone teaches in secondary education is not sufficient, so more probing would be needed to determine what types of subjects and qualifications are taught.

	85.10: Pre-primary education.
	85.20: Primary education.
85.3: Secondary education.	85.31: General secondary education.
	85.32: Technical and vocational secondary education.
85.4: Higher education.	85.41: Post-secondary non-tertiary education
	85.42: Tertiary education.
85.5: Other education.	85.51: Sport and recreation education
	85.52: Cultural education
	85.53: Driving school activities
	85.59: Other education n.e.c.
	85.60: Educational support activities

7.7   Consent forms

We are asking for consent to link to both health and educational administrative records for adults and for children. The forms are printed in carbon copy. The top copy is to be sent back to Brentwood and the bottom copy is to be left with the respondent. Please get the respondent to tick the relevant boxes, sign, print their name and date the relevant section of the consent form.

Consent for linking for children will be obtained from their responsible adult, and consent for several children can be collected on one form. If a child's natural mother is in the household, she is defined as the responsible adult. If not, then the child's natural father becomes the responsible adult if they are in the household. If a child has no natural parents in the household, the interviewer will be asked to record who is the responsible adult during the enumeration of the household.

The first two consents asked for are for linking to health records, blue is for adults and yellow for children.

Transfer SN from CAPI here. Note that the check letter is different for each individual in the household, and you should **not** use the checkletter from the front of the ARF

For children's consent, transfer details about each child from the CAPI to here, and also the SN from CAPI at bottom of the form.

There is also an information leaflet that needs to be given to respondents and it explains which health records we would be linking to, which in summary are:

- Hospital admission and attendance;
- Information about specific conditions such as cancer or diabetes;
- Prescriptions;
- Where respondents are registered;
- Mortality records.
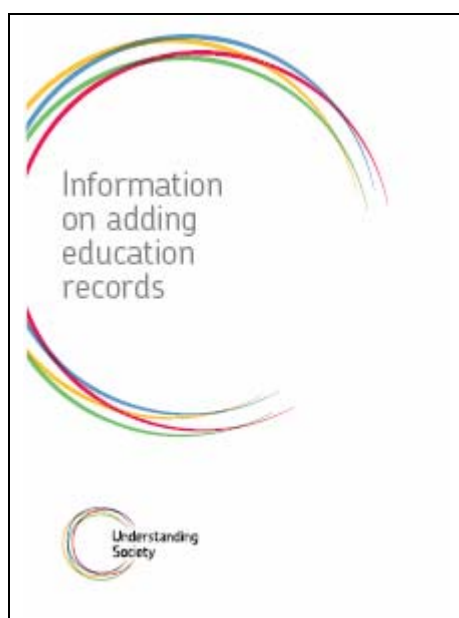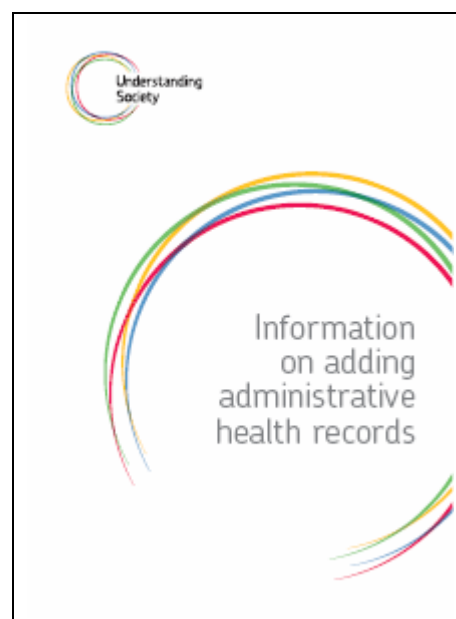
The second set of consents are for linking to educational records, although note that consent for adults is only for those aged 16–24 who went to school in the UK. There is an equivalent information leaflet for linking to educational records which should be given to the respondent. Links would be made to:

- National tests and formal assessments e.g. SATS/GCSEs/Standard Grades
- Basic information on pupils e.g. demographic characteristics or Special Educational Needs
- Courses taken.

The pink consent form is for adults and the green one is for children.

Understanding Society

Adding information from administrative education records – adults (16–24)

Please read this form and sign below if you give your permission for us to add information from education sources to your survey responses. You can withdraw your permission at any time in the future.

I have received a leaflet explaining what education data may be added to the survey and how it would be used. I have had the opportunity to ask questions.
Please place a tick in the boxes to indicate that you give permission ✓

EDUCATION DATA

	YES	NO
I authorise the English Department for Children, Schools and Families, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my educational records.	☐	☐

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost RRXX–XEKJ–JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Sign _____   Date _____

Print name _____

Thank-you!

Understanding Society

Adding information from administrative education records – children (4–15 yrs)

Please read this form and sign below if you give your permission for us to add information from education records to your child/ren's survey responses. You can withdraw your permission at any time in the future.

I have received a leaflet explaining what education data may be added to the survey and how it would be used. I have had the opportunity to ask questions.

EDUCATION DATA (children aged 4–15 only)

I authorise the English Department for Children, Schools and Families, the Welsh Department for Children, Education, Lifelong Learning, and Skills, the Scottish Government Education Directorate, or the Department of Education / Education and Skills Authority in Northern Ireland to disclose to the organisation responsible for this survey information from my child's educational records.

Please place a tick in the boxes to indicate that you give permission ✓

	First Name	Last Name	P.No	D.O.B	YES	NO
Child 1				/ /		
Child 2				/ /		
Child 3				/ /		
Child 4				/ /		
Child 5				/ /		
Child 6				/ /		

If you give permission for us to collect any of this information please sign below. Your permission will stay in place unless you write to us to say you want it removed. This is detailed in the information leaflet. We will remind you of the permissions you have given periodically. You can contact the research team on, Freephone 0800 252 853 or by writing to Freepost RRXX–XEKJ–JGKS, Understanding Society, University of Essex, Wivenhoe Park, Colchester, CO4 3SQ.

Sign _____   Date _____

Print name _____

Thank-you!

For future reference, there will be some children for whom we obtain a consent form from a responsible adult at this wave who will reach adulthood and be interviewed in a future wave. In these cases, we plan to ask the young adult directly for consent for further linkage from that point onwards. However, he or she would not normally be judged to have the power to revoke the consent given earlier by their parent or guardian for data that has already been obtained.

The CAPI screen will tell you which consent forms to administer and will be given details of what you need to transfer onto the consent forms. Do not use the serial number from the ARF.

The top copies of consent forms should be returned to Brentwood.

Respondents should also be shown the Consent flowchart which shows how we link to their health and educational data and what happens to the data once we have linked to it. Its purpose is to reassure respondents about the confidentiality and anonymity of the data. Please explain the flowchart to respondents when asking for their consent.
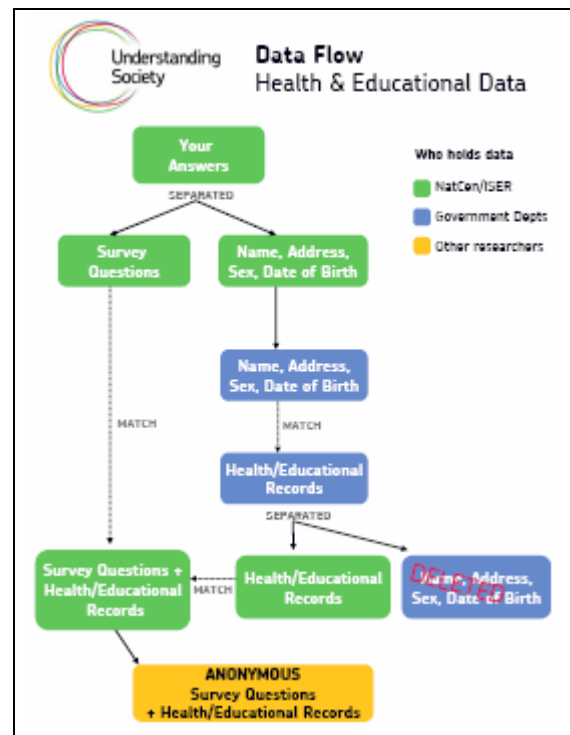
7.8   Change of address cards

We will be re-visiting households in Wave 2, and so we do need to know about whether people move accommodation. You need to leave a change of address card with each respondent, not just one per household as it may be that one person moves out rather than a whole household move.

Change of address cards should be put into a University of Essex freepost envelope. Respondents will receive a £5 voucher if they send in a change of address card.

There is also a participant website where they can update their address details. The web address is on all the respondent materials www.understandingsociety.org.uk/participants

7.9   Self-completions

It is essential that you ask people to fill in self-completions during your visits, or that you make a trip to collect the final completed ones. We would expect over 95% of those interviewed to fill-in a self completion and as the self-completions are short, we do expect respondents to complete them whilst you are in the household and to give them back to you once complete. We found on the Innovation Panel that only 64% of self-completions left for respondents to return to the office were completed.

There are separate self-completions for adults (16+) and children (10-15), and you can use the inside front cover of the ARF to keep a track of which ones have been completed. The adult self-completion should take seven minutes on average to complete and it contains questions on feelings and behaviours, sleeping habits, the environment, your neighbourhood, friendships and relationships. The youth questionnaire should take ten minutes on average to complete and contains questions on health, behaviours, school, neighbourhood, families, hopes and concerns.

You will be prompted to transfer the SN from the CAPI, as you were with consent forms. You also need to write on your interviewer number and field area.

As you will be interviewing all adults in a household, you can give self-completions out to be filled in by other people in the household while you are conducting a CAPI interview. The CAPI has been structured so that self-completion details are stored in a parallel block and can be easily accessed as you need to write the serial number, person number, person check letter, the respondent's first name and your interview number on each form before handing it out (details in section 5). You can do this as soon as you have completed the household grid.

You need to get verbal consent from the parent or responsible adult before asking children aged 10–15 to fill-in the youth questionnaire. We are **not** asking for written consent. If the child has trouble understanding the questionnaire, please explain it to them. If a child has reading difficulties, please help them or administer the interview if necessary. A child should not complete a questionnaire in front of a parent but be given a booklet and asked to go away and answer the questions in private.

If a parent asks to see the completed questionnaire of their child please refuse politely. State that you have guaranteed confidentiality to the child and this promise cannot be broken. If you think it would be helpful, offer to show them an empty questionnaire, before the child completes it.

A household member can translate both the adult and youth self-completions if language difficulties arise for the non-translated languages. Similarly, you can assist with self-completions in cases of literacy, language or disability.

All self-completions should be given out with a plain envelope so that respondents can return the questionnaires sealed in the envelopes to protect confidentiality of their answers. Only as a last resort should you leave a self-completion to be returned to the office and in that instance you should also leave a return envelope.
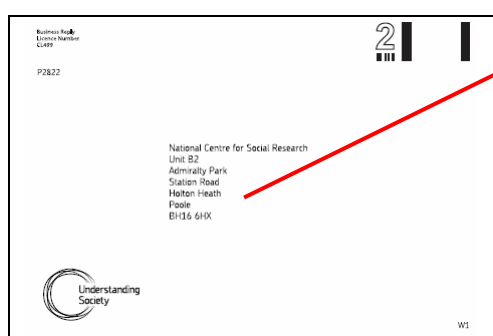
Self completion forms are being sent directly to the scanning agency in Poole, rather than back to Brentwood. This is the envelope you should leave with respondents, and also the envelope you should post back completed self-completions in.

7.10 Incentives

There is a £10 voucher for each adult CAPI interview, and a £3 voucher for each Youth self-completion. There are no incentives for the adult self-completion or for proxy interviews.

For the General Population sample a £10 voucher is being included with the advance card. There is no advance voucher for the EB sample because most of the addresses will not be eligible. There may also be multiple DUs or multiple households at an address. You will need to establish whether the household received the advance voucher and record this in the CAPI. If a household has received a £10 voucher in advance, then this will be allocated to the first adult interview.

Interviewers will be given vouchers to hand out after each completed interview or youth self-completion. You will be prompted in the CAPI after each interview or self-completion to hand out the appropriate value voucher. You also have voucher receipt forms which the respondent must sign to acknowledge that they were given a voucher and these should be returned to Brentwood.

7.11 Participants Pack

Public Zone have designed a participant pack which has two main purposes – to act as somewhere people can store all their *Understanding Society* materials (eg copies of consent forms), and to appeal to "Include me" category participants. There is one pack for each **household** that takes part and it should be given out at the end of the first interview. The pack's main function is somewhere to store all the respondents' materials relating to *Understanding Society* created during the interview (such as respondents' copies of their signed consent forms). It will be pre-packed with the participants' handbook and fridge magnet.

Participants' Handbook	Much more detailed handbook explaining the reasons why we are carrying out *Understanding Society*. It also contains some information about how data from BHPS has been used previously, which gives respondents an idea of how their data might be used, and as noted earlier it could also be used on the doorstep to help sell the survey. Its purpose is also to encourage people to remain part of the survey.
Fridge Magnet	On each magnet there is the respondent's survey month, so that they know when to expect a visit from an interviewer.
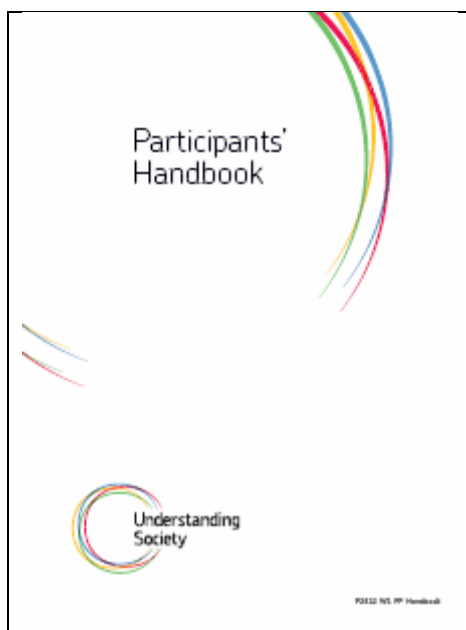
7.12 Thank you letters

At the end of the fieldwork period the office will send out a thank-you letter to all respondents who were interviewed.

8   CAPI Interview

8.1   Help screens

Information about individual questions will be found in the CAPI help screens rather than in these project instructions (but please see Appendix D for information on benefits). There are many more help screens than you would find in a usual CAPI program, and you can find them by pressing <F9> when you are at a particular question.

8.2   Enumerating respondents in the household

As a change from the standard method of enumerating the household, after adding each member's first name you will be asked whether there are any more household members:

When you have said 'no' (i.e. there are no more members of the household), you will be asked about absent members of the household, who fall into two categories:

The first category (abseduc) asks about people away at school / college etc:

If there is a person who falls into this category, you will be required to record their name and the type of residence they live in.

The second category (absent) asks about people living in institutions:

If there is a person who falls into this category, you will be required to record their name.

You will be asked more questions about household members in the household grid.

8.3   CAPI Structure

There are several elements to the CAPI questionnaire, which are covered in detail in this section. The CAPI questionnaire is structured with 5 main parallel blocks that are:

- Household questionnaire
- Individual questionnaire (one block per adults aged 16+)
- Self-completions (one block covering all adults and all children 10–15 in household)
- Consent Help
- Admin

Parallel blocks:

When you access the parallel block screen, you will see that in addition to the household questionnaire (Household), the self-completion block and admin block that there is a block for each eligible adult along with his or her current status.
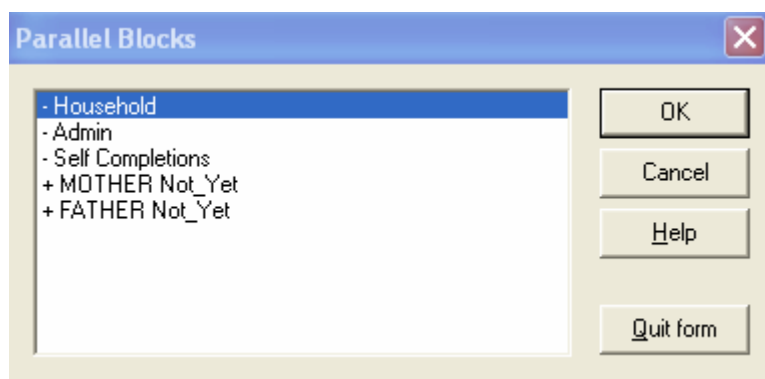
In the two person household in the example above, no interviewing has been done and MOTHER and FATHER are marked accordingly as Not_Yet. The example below shows how the status for each eligible adult changes as an interviewer progresses through interviewing a household. In this case, MOTHER has now been interviewed but FATHER has not.
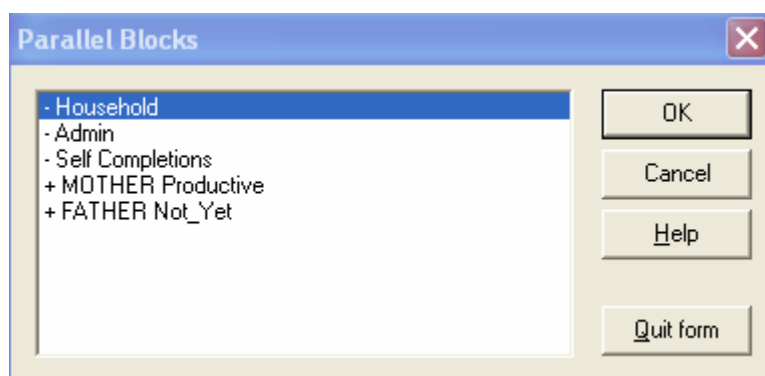
Remember that you are to interview up to 3 dwelling units (DUs) and 3 households per address. To create a new household or a dwelling unit you need to go the CAPI main menu system and click on the tab 'Create a new household'. You will be required to do that each time you open a new ARF.

8.4   Household questionnaire

The household interview consists of three parts - enumerating the household with the household grid, relationships between household members and a household questionnaire.

Ideally the household questionnaire would be conducted with either the household reference person (HRP) or their spouse/partner. Although we do not specifically define the HRP in the CAPI, it is the person who owns or rents the accommodation. You should establish who the HRP is on the doorstep

The HRP or their partner would also ideally complete the enumeration of the household and the relationship grid. However, given that we will be checking individuals' details during the main CAPI interviews; it is acceptable for the household enumeration and relationships to be taken from someone who is not the HRP or their partner.

The enumeration of the household and the relationship grid should take 5 minutes on average although this will vary considerably depending on household size. The household questionnaire should take 10 minutes on average.

8.5   Individual CAPI interviews

All adults aged 16 and over at the point at which the household is enumerated should complete an individual CAPI interview, which should be on average 32.5 minutes, or 37.5 minutes if the respondent is in the ethnic boost sample.

In case of language problems in the non-translated languages, another household member can act as a translator for both the CAPI and the self-completion booklet. The rest of this section highlights the main features of the individual CAPI instrument.

8.5.1 Main topic areas

The main topic areas covered in the individual questionnaire are
* Family, relationships, fertility, child-birth history
* Health, disability and caring
* Employment, finance and personal consumption
* Ethnicity, discrimination, religion, politics, environment
* Beliefs, values and attitudes
* Migration history, harassment and remittances (ethnic boost sample only)

Please see **Appendix D** on Benefits Module for information on benefits types that you need to get yourself familiar with before starting fieldwork.

8.5.2 Checking the household grid

The first part of the individual questionnaire is to check name, sex and date of birth against what has been recorded in the household grid. If the details do not match, a hard error will come up. You will then need to go back to the household grid and change details for that individual:

Once the details have been changed in the household grid, you can use the parallel blocks to return to the individual interview.

8.5.3 Consent

The introductory question in the consents section instructs the interviewer to hand over the health information to the respondent (see example below). Please ask the respondent to read the leaflet, and if they are happy, get them to sign Consent form A.

On the consent form are requests to link to two different types of consent: health data and follow up on health registration (from the NHSCR). You will be asked separately whether respondents gave permission to link to these two types of data.

If the respondent has any children, they will then be asked to read and sign form B, which asks permission to link to the child's health data. Again, you must transfer the serial number, person number and check letter (of the person signing the form) onto the consent form (see example below). You can gain consents from more than one child on each consent form, so the details of all eligible children in the household will be displayed on this screen.

You must then code the outcome for this consent. Each child's person number and date of birth must be transferred onto the form. If there is more than one child in the household, these screens will be repeated. If there are many children in the household you can use additional consent forms.

Finally, you will be instructed to follow the same procedures to link to education data for adults aged 16-24 and for any children that an adult is responsible for.

In most instances participants are generally happy to give consent, but you may come across some people who want more detail about why we want to collect consents. There are several prepared answers for different questions that people might ask which are:

- Why we would want to obtain data from government and other administrative agencies;
- Examples of data held by the government departments;
- Consequences of saying yes;
- How the link will be done;
- Recent accidental loss of data or the child benefit scandal;
- Thinks this is all too much like 'big brother;
- Duration of consent;
- Giving consent for child and its duration.

Select ConsentHlp from parallel block screen to get at detailed help for consent questions.
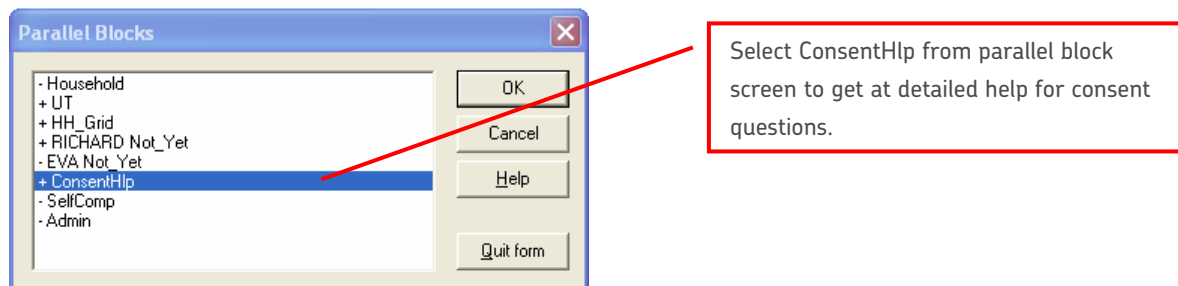
8.5.4 Self-completions

Self-completions are recorded in a separate parallel block. This is to give the flexibility to be able to administer a self-completion questionnaire to one respondent while you are interviewing another one.

The first screen in the self-completion parallel block lists the serial numbers for all individuals and the type of questionnaire that they need to complete. You need to transfer this information to the front of a questionnaire just before you hand it to the appropriate respondent. You will need to transfer the household serial number, person number and person check letter onto the front of the self-completion, as shown in the example: Note that the check letter is not the same as the check letter on the ARF label – always copy this information from the CAPI.

When you know the outcome of the self-completion, you should record whether the respondent completed or refused to complete the questionnaire. You can code 3 if you need to skip to another person in the household (e.g. if you want to give EVA her questionnaire before RICHARD). If you do this, you will need to return to this screen at a later point to code whether the questionnaire for each respondent was completed or not. You will also be asked to add an outcome code if the respondent refused to complete the questionnaire.

In addition to being in a parallel block, there is also a prompt at the end of each individual CAPI interview about self-completions. The serial number to write on the appropriate self-completion is shown in the individual CAPI interview, but you still have to go to the parallel self-completion block to record whether it was returned and completed.

8.6   Unproductive and proxy interviews

At the beginning of the individual questionnaire is a question IFirstQ about whether you are able to interview an individual. If you are not able to get a productive interview you will need to record an individual unproductive outcome code and a second outcome code for any refusals.

For all unproductive interviews you should attempt to get a proxy interview, and you must record the outcome of the attempt to get a proxy interview as well. In all co-operating households proxy interview should always be attempted unless the respondent explicitly refuses to have any information about them collected.

8.7   Admin block

If you have a household that requires a translation, you need to enter this information into the Admin block, as well as informing your Project Manager and the team in Brentwood. This is the one instance where you can enter something in the Admin without having a final outcome code.

You will not be able to complete the admin block unless you have an outcome code for each eligible individual. Ideally you should ensure that all are productive. If they do not appear as productive but you believe that you have completed the interview, re-enter the individual parallel block, press <End> and check whether there are any final questions that need to be completed. If the interview is partial you will see some warnings which encourage you to complete the interview but you will be able to continue by suppressing any checks, nevertheless. If it is not possible to complete a full interview then you can ensure you have an outcome code for each individual by going into each individual's block and record an unproductive outcome.

As this is a longitudinal survey there is a question in the admin block for interviewer notes about contacting the household. This information will be fed back to the interviewer who visits the household at wave 2 (which may well be you), and so it is **essential** that you record as much information as you would find useful for a future visit. This could include things such as good times of day to call round or the best method of contacting. Remember to include appropriate information. For example, it is helpful to say 'the respondent expressed a strong dissatisfaction with the length of the interview' but it is not acceptable (or helpful) to say 'nasty lady'.

9   Field Documents

Project instructions	Please take these with you to every interview.

Initial Mailing

Advance Card EWS GP	Interviewer to: (a) write on their name (b) enclose one £10 voucher (c) post out in correctly labelled envelope NB If you encounter multiple DUs/HHs at an address, they may not have seen the advance card. Please carry spares to use on the doorstep as necessary.
Advance Card EWS EB	Screener to: (a) write on their name (b) post out in correctly labelled envelope NB If you encounter multiple DUs/HHs at an address, they may not have seen the advance card. Please carry spares to use on the doorstep as necessary.
Incentives	£10 for each adult interviewed (first £10 is enclosed with the advance card for GP addresses). £3 for each child self-completion booklet
Advance Envelopes	Stamped, not franked.

Doorstep

Info Leaflet	Title "All you need to know about *Understanding Society*"
Appointment Card	Telephone number on card is for ISER. ISER will be the first contact for respondents/office refusals etc
ARF GP1	Yellow. Pre-labelled. For DU=1 and HH=1.
ARF GP2	Cream. For DU 2 or 3 and HH=1
ARF GP3	Orange. For DU 1,2 or 3 and HH 2 or 3
ARF EB1	Green. Pre-labelled. For For DU=1 and HH=1.
ARF EB2	Blue. For DU 2 or 3 and HH=1
ARF EB3	Lilac. For DU 1,2 or 3 and HH 2 or 3
ARF Screening card	For use on the doorstep **and** in CAPI Check that code 01 should not be code 02 (similarly for codes 06 and 07).
ARF Translation card	To determine if a translator is needed or if we will lose the interview because no one in the HH speaks English or one of the 9 translated languages. Only show the back page of the card if **NO ONE** in the HH speaks English or one of the 9 translated languages and you cannot get help with screening from someone else such as a neighbour.
ARF Translation booklet	To inform respondents that we will arrange for an interviewer to contact them to arrange for a translated interview.

Interview documents

Showcards	Numbered sequentially within alphabetical module order ie A1, B1-3, C1-5, D1 etc
Self Completion 16+	For all adults (16+). Translated into 9 languages. Collect in person and post to scanning agency (Admirality Park, Poole).
Self Completion 10-15	For all 10-15yr olds. Not translated. Collect in person and post to scanning agency (Admirality Park, Poole).
Self Completion Plain Envelopes	Privacy envelope to ensure confidentiality of responses from other HH members
SC Freepost Envelope to scanning agency in Poole	Interviewers to post completed booklets.
Consent Health 16+	Blue: To be returned to Brentwood as soon as possible.
Consent Health 0-15	Orange: To be returned to Brentwood as soon as possible.
Info Health Consent	Please ensure that respondents have time to read this before giving their consent should they wish to do so.
Consent Education 16-24	Pink: To be returned to Brentwood as soon as possible.
Consent Education 4-15	Green: To be returned to Brentwood as soon as possible.
Info Education Consent	Please ensure that respondents have time to read this before giving their consent should they wish to do so.
Consent Flowchart	Laminated. NB Please also refer to the Help Screens in the parallel blocks.
Voucher receipt	To record receipt of vouchers issued to each HH. Please return to BW

Participant Pack

Participants folder - EWS	To hold: magnet, handbook
Participants Handbook	
Fridge Magnet	With the respondent's survey month printed
Pens	For respondents to complete self-completions
Change of address card	£5 voucher to be sent from ISER for each completed Change Of Address card received.
Change of address Freepost Envelope	For use with the Change Of Address card

10 Translations

10.1 Languages

We will be translating the questionnaire and other materials into 9 languages which are:

- Welsh,
- Bengali,
- Gujarati,
- Punjabi (Urdu script),
- Punjabi (Gurmukhi script),
- Urdu,
- Arabic,
- Cantonese,
- Somali.

10.1.1   Bengali/Sylheti

Some people originating from Sylhet in Bangladesh speak Sylheti; they can use Bengali documents. As Sylheti is a dialect and not a formal written language, the interview must be conducted using the Bengali questionnaire. In another survey, some interviewers felt uneasy about doing this due to the cultural implications it held and translated the questions into Sylheti. This must not occur with this survey. If a problem arises you can explain to the respondent that it is an official survey commissioned by the Economic and Social Research Council and as such uses an official written language. You can also explain that the reason all the questions are written down is so everyone gets asked the same questions in the same way regardless of their origins. There is little alternative as a written Sylheti transcript cannot be produced and explain that no offence is intended. Feel free to use Sylheti when introducing the survey to the respondent and when speaking to them generally.

10.1.2   Punjabi

Punjabi has two scripts: **Urdu** which is used by people of Pakistani origin and **Gurmukhi** which is generally used by people of Indian origin.

10.2 Roles of interviewers and translators

10.2.1 Bi-lingual interviewer

If you are an accredited NatCen bi-lingual interviewer you will carry out interviews in the translated language yourself if you come across any households who speak that language. If you are not an accredited NatCen interviewer you can use your language skills to help screening or arranging an appointment with a household, but not for interviewing itself.

10.2.2 English-only speaking interviewer

You will need to arrange for a translator to accompany you and should do so via your Area's Project Manager who will liaise with Brentwood.

You will be sent a pack of materials in the appropriate language.

Once an appointment has been arranged either by you or a translator, you will accompany a translator who will be conducting an interview in CAPI. Translators will be given a basic training in how to operate a CAPI system and your role will be to help during the interview if a translator requires assistance.

For example, you might be required to check whether the data has been entered correctly once a soft check or a hard error appears, or when a translator needs to enter 'Do not know' or 'Refused'. Also you will complete the ADMIN block.

The CAPI only shows the language that is being interviewed in during the interview, so you will not be able to read off the screen as the interview progresses. Therefore, it is important that you familiarise yourself with the questionnaire content so that it will be easier for you to help if required. You can toggle the language (by pressing <F11>) and view the questionnaire in English at any point during the interview.

10.2.3 NatCen or Agency interpreters

An interviewer will have already made contact at the address and tried to establish the language needs of the person selected for interview. You will be involved in making an appointment if the interviewer was not able to make a contact with an English speaker. Your main task will then be to conduct an interview using CAPI. You will be given a brief training on how to operate the programme and you will have practical sessions during the briefing to familiarise yourself with an interview. **Remember – always ask the interviewer if you are unsure about anything during the interview.** He/she is there to assist you and ensure that an interview runs smoothly.

Key things to remember:
- Introduce the survey and answer any questions from the respondents. If unsure what to say – consult the interviewer.
- Read translated questions using the exact wording as it appears on the screen. Most questions have closed answer options and it is essential that you use the exact wording provided. This way everyone gets asked the questions in the same way so that we get reliable and accurate data. **Remember that you are reading the questions, not translating them.**
- Follow INTERVIEWER INSTRUCTIONS in the CAPI (always proceeded with INTERVIEWER command in block capital letters), e.g. READ OUT, SHOWCARD.
- Provide showcards when required.

Helping on the doorstep

Another important task may also be to help the interviewer on the doorstep and to liaise between the respondent and the interviewer in answering more general questions about the survey or the interview. It is essential that you approach people in the right way. The leaflet gives good background information on the study and the pilot, explaining what we are doing and why. Familiarise yourself with this document and be prepared to use it on the doorstep. Please give a copy of the leaflet in the relevant language to the person to read.

HOWEVER: Any difficult questions should be translated to the interviewer who will give you the appropriate answer: they have been specially trained to do this.

Reading and comprehension

The importance of using the official translated documents to ensure that everyone is asked the questions in the same way has been stressed. However, it is possible that some people will need extra assistance in reading the various translated documents and being able to understand them.

Reading and comprehension difficulties may occur with the following documents:

- Showcards – if a respondent can not read the showcards, you can read the answer options to them.
- Information leaflets – it is fine for you to read or explain these leaflets further as they tell people what the survey is about.

10.3 Translations in CAPI

UNITIP (Unicode Translation Interview Program) has been designed to replace the Blaise programme for non-English interviews as Blaise only supports Latin character sets. UNITIP enables non-Latin character sets to be displayed on the screen for languages like Bengali and Punjabi.

Your laptop has been set up so that all interviews in English are done using Blaise and all interviews in translation are done using UNITIP. It is possible to do interviews with different people in the same household in different languages. When you first open an address you get the following dialog box, where if you choose 1 the interview will be done in English in Blaise and if you choose 2 it will be done using UNITIP.
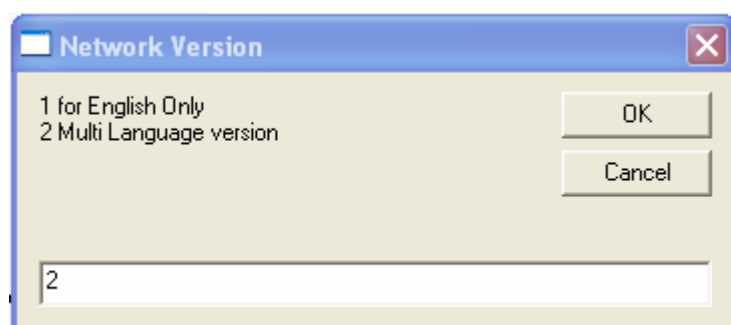
UNITIP has been designed to have the same functionality as Blaise so you will find that it works in similar way, e.g. parallel blocks are accessible in the same way in both programmes. The additional functionality is the language selection for all the languages we are providing translations for. The screen below shows that on the top bar there is a tab called 'Languages' which enables you to chose a language which will be displayed on the screen. To access this tab you have to press **<ALT> <L> and use arrow key to select the language.** You can also toggle between the language you select and English (Generic) using key **<F11>**.

10.4 Translations in other languages

If you come across someone who doesn't speak English or one of the nine languages that we are using in the survey, then you can use a responsible person to translate for you. Ideally this should be a responsible adult aged 18 or over, but if necessary you can use a child as a translator, but they must be aged 13 or over and can only assist if the following apply:

‣ both parent and child are willing to participate;

‣ topics covered are not likely to disturb or distress the child;

‣ the child is of an age to properly comprehend the questionnaire content.

 If you are a bi-lingual interviewer in one of the non-translated languages, you can use your language skills to help carry out an interview by translating as you go, just as if you were someone who knew the household member

11 Briefing pack and workpack contents

Document	Format	Briefing	GP Workpack	EB Workpack
Advance card (GP) for use on doorstep	Card	1	5	0
Advance card (EB) for use on doorstep	Card	1	0	5
ARF GP1 – pre labelled	A4 Cream	1	18	0
ARF GP2	A4 Yellow	1	5	0
ARF GP3	A4 Light Orange	1	5	0
ARF EB1 – pre labelled	A4 Light Green	1	0	06-103
ARF EB2	A4 Light Blue	1	0	5
ARF EB3	A4 Violet	1	0	5
Health/Education Information Sheet	A4 White	1	15	15
Consent Flowchart	A4 White	1	15	10
Information from administrative health records (A)	A4 Green	1	20	20
Information from administrative health records (B)	A4 Pink	1	10	10
Information from administrative education records (C)	A4 Blue	1	20	20
Information from administrative education records (D)	A4 Yellow	1	10	10
Information leaflet	A4 White folded card	1	20	20
Adult self-completion	A4	1	20	20
Child self-completion	A4	1	10	10
Plain envelopes for self-completions	C4	1	30	30
Poole pre-franked envelopes for self-completions	C4	1	10	10
BW pre-franked envelopes for consent forms	C4	1	10	10
Showcards	A4 White Card	0	1	1
Translations card	A4 White	1	2	4
Translations booklet	A4 White folded	1	0	0
Screening card	A4 White	1	0	0
Change of address cards	A5 White Card	0	20	20
Appointment cards	A5 White Card	1	10	10
Participant Pack		1	15	10
Pens		1	20	20
Sample Cover Sheet	A4 Yellow	0	1	1
Maps		0	1	1
NatCen Leaflets		0	10	10
Vouchers	Per Assignment	0	15 x £10 15 x £1	10 x £10 15 x £1
Voucher Receipt Forms (per respondent)		0	15	10
Acknowledgement of Receipt of Vouchers (Interviewer)		0	1	1

12 Admin and return of work

12.1 Contact information if you have any further queries

The *Understanding Society* Unit in Brentwood are responsible for this survey. The unit is led by Shelli Murray. Please contact The Unit on 01277 690000 if you have any queries or are having any difficulties.

12.2 Return of work

All consent forms for a household should be tagged together and returned to the office as soon as the interview is over and any further checking you need to do at home has been completed. Please return all documents from one household together in the same envelope. You may put more than one household's consent forms in the same envelope if they fit. Signed Voucher Receipt Forms should be returned to Brentwood on completion of your assignment for reconciliation purposes.

Self-completions should be sent directly to MCL in Poole for scanning using the envelopes provided.

Please shred the front page of any ARFs and return the rest to Brentwood separately from all other documents. This is for data protection and confidentiality reasons

Appendix A Selecting from 4+ DUs or households

Selecting from 4–12 DUs/households

It is extremely unlikely that you will come across addresses with more than 3 DUs or DUs with more than 3 households, but if you do, then you need to follow the instructions below. The example used is where there are 5 DUs found at one address.

B.2 How many dwelling units (DUs) are at the address. WRITE IN NUMBER OF DUs. **0 5** and then code

1 DU	1	Go to C.1
2+ DUs	2	Go to B.3
Unsure about number of DUs – no contact	3	Go to F.2
Unsure about number of DUs – information refused	4	Go to F.3

B.3 List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
01	**35 A**	05	**35 E**	09	
02	**35 B**	06		10	
03	**35 C**	07		11	
04	**35 D**	08		12	

- **If 4–12 DUs:** Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs:** Select 3 DUs using the lookup chart in project instructions and ring on grid above.

Example selection label:

```
SN: 101-01-1 A

DU/HH: 4  5  6  7  8  9  10  11  12
SEL1 : 1 1 1 2 4 1  3   4   3
SEL2 : 2 2 2 6 5 3  6   9   8
SEL3 : 3 4 5 7 7 8  7  10  10
```

Use the selection label from the front of the ARF. There are 5 DUs, so you need to select DU codes 1, 2, 4, and circle them at B3 – shown below.

B.3 List all dwelling units in flat/room number order OR from bottom to top of building, left to right, front to back (continue on separate sheet if necessary).

DU Code	Description	DU Code	Description	DU Code	Description
(01)	**35 A**	05	**35 E**	09	
(02)	**35 B**	06		10	
03	**35 C**	07		11	
(04)	**35 D**	08		12	

- **If 4–12 DUs:** Select 3 DUs using DU/HH selection label on page 1 and ring on grid above.
- **IF 13+ DUs:** Select 3 DUs using the lookup chart in project instructions and ring on grid above.

B.4 Enter details of selected DUs

	Selected DU		ARF to Use
DU 1	**0**	**1**	Continue on this ARF
DU 2	**0**	**2**	Open ARF **GP2**, transfer sn, address and DU=2
DU 3	**0**	**4**	Open ARF **GP2**, transfer sn, address and DU=3

Selecting from 13+ DUs/households

If you come across addresses with more than 12 DUs or households then use the following selection grid.

NUMBER OF DU's/HH:	SELECTED DUs/HH	NUMBER OF DU's/HH:	SELECTED DUs/HH
13	8, 11, 4	22	16, 4, 22
14	7, 6, 5	23	19, 3, 22
15	8, 9, 5	24	10, 19, 14
16	9, 16, 11	25	23, 15, 4
17	11, 9, 16	26	22, 20, 17
18	11, 6, 18	27	14, 24, 25
19	13, 18, 7	28	2, 17, 25
20	17, 1, 4	29	19, 18, 4
21	16, 10, 2	30	28, 7, 20

Appendix B Role of screening squad leaders

The squad leaders need to ensure that all ARFs are sent back to them promptly at the end of the screening period, so that they can be entered and then re-allocated for the start of the fieldwork month.

Multiple DUs/households

The Squad Leaders will need to create all extra DUs/HHs identified by the screener. When you create the additional HH serial number please write it carefully on the ARF as this is the only way the main interviewer will know which serial number slot to use for their interview. You need to do this before you enter the admin for ARF EB1 version.

Accessing CAPI Admin through CMS

For Jan09 screening, you will need to use the SO1 slot, for screening from Feb09 onwards, you will use the same slot as for the main interview FE1, MR1 etc.

The Squad Leaders will enter all ARFs into the admin block and transmit back to the office. The admin is accessed through the CMS in the same way that you would sign off an office refusal. Follow the steps in the screenshots below.

At the main menu press <ALT><W> for working at home.
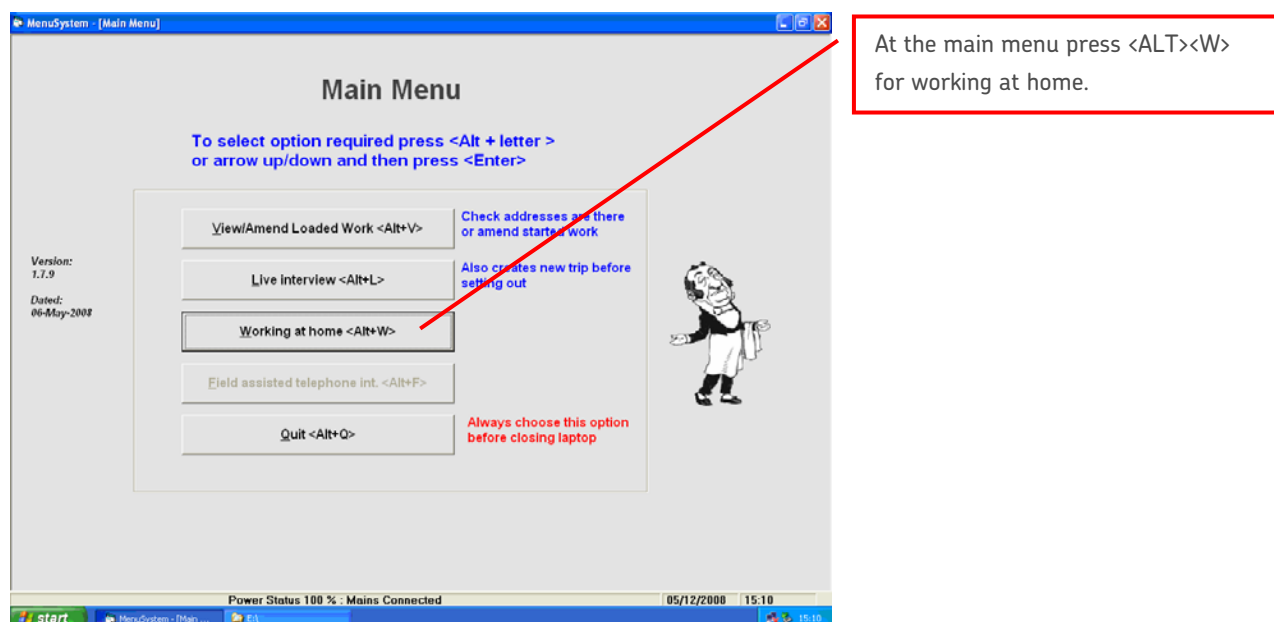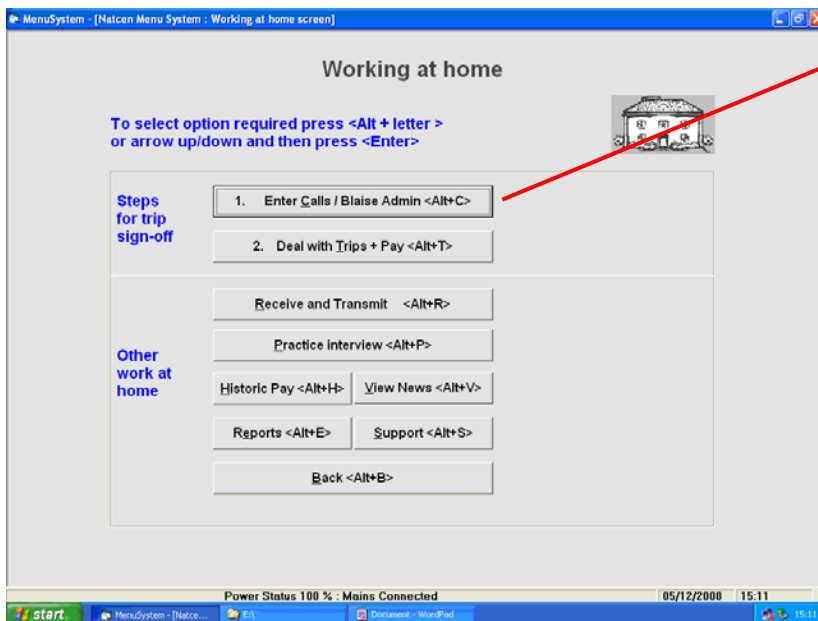
Then <ALT><C> to enter calls/Blaise admin
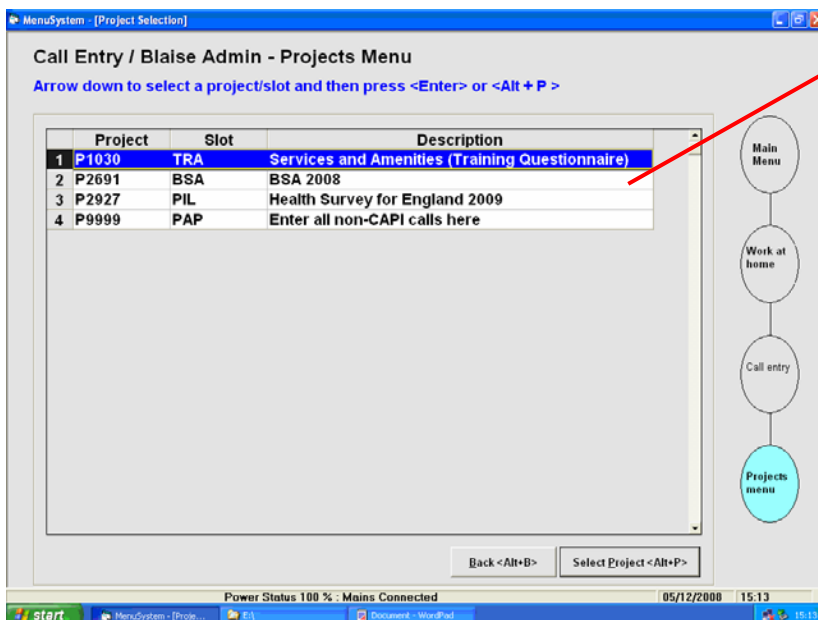
Highlight the P2822 *Understanding Society* slot (not shown on this screen), and then <ALT><P> to select it.
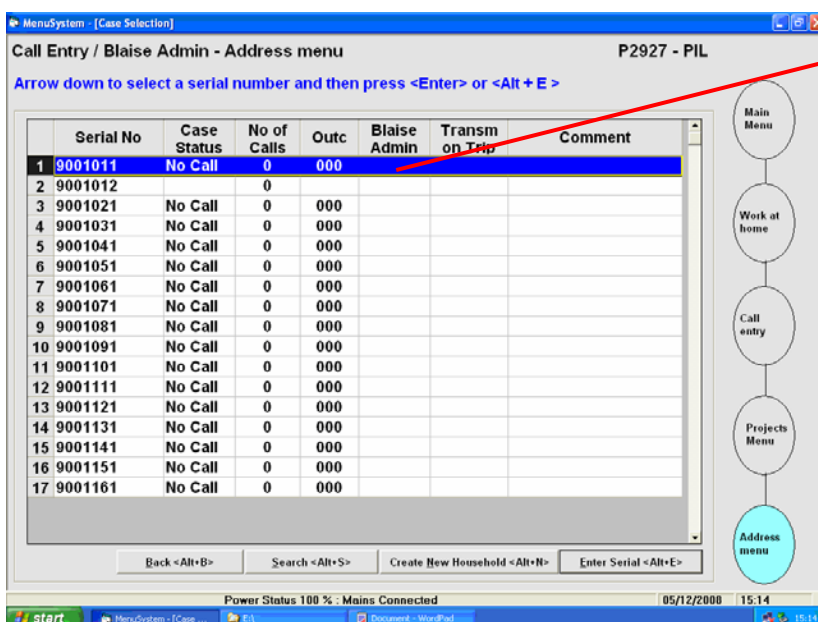
Highlight the address that you want to enter the information from the ARF, and press <ALT><E> to enter that serial number

You'll be prompted to type the first 8 characters of the address.

You are now at the Calls Entry screen, but the Blaise Admin is greyed out. You need to enter a 1 min trip, so that the admin will be transmitted back to the office

Once you've entered a trip, press <ALT><B> to sign off calls.
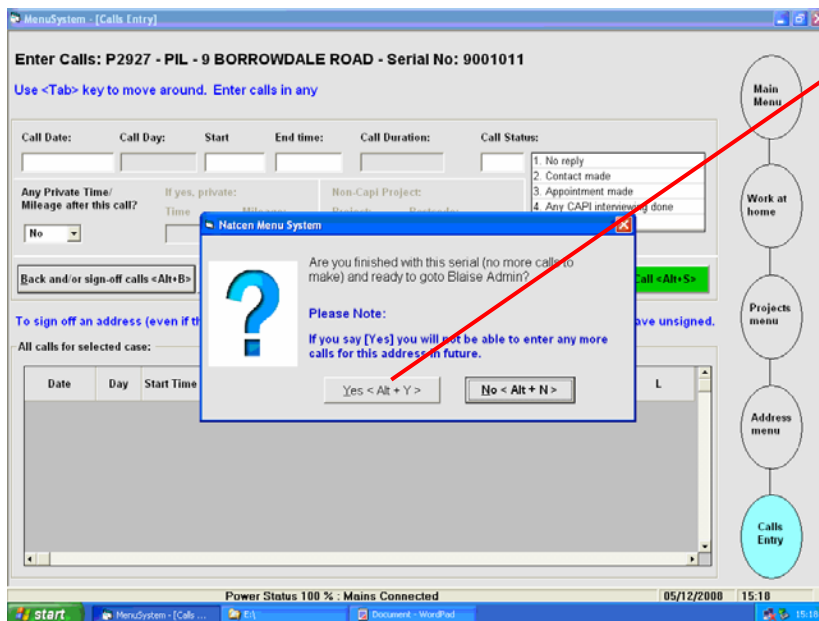
Choose Yes <ALT><Y> at this next screen as this will unlock the Blaise Admin.
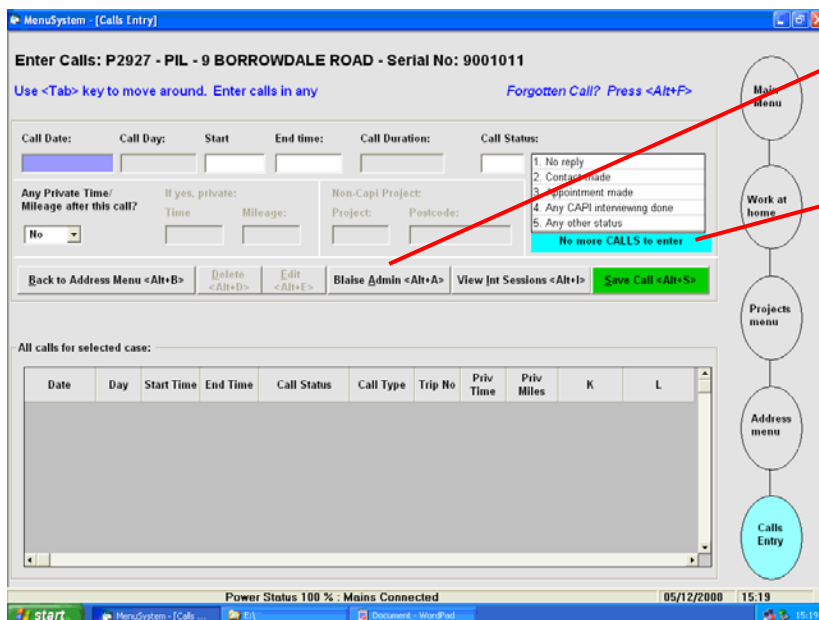
You can now enter the Blaise Admin by pressing <ALT><A>

The calls record is now locked, so if you need to enter more calls for the main interviewing press <ALT><F> to unlock the calls record.

CAPI Admin

You need to enter CAPI admin for all addresses. There are questions that need entering before you get to a final outcome. These are:

- ScrPhase: Whether screening or main interview phase
- ScreenKey: Whether screened address or keying for another screener
- ScreenedIn: Whether screened in/out, unproductive, unworked or awaiting translation
- WaitTran: Whether anyone aged 16+ needs a translation (language not specified)

If address is screened in, screened out or unworked then CAPI admin will generate an outcome code. If address is unproductive you will need to enter a final outcome code.

If an address is screened in or screened out, you will have to enter details from D7. The eligibility of the household is then checked in the CAPI. If the eligibility determined by CAPI is different to interviewer recorded eligibility, then you need to change the interviewer recorded version.

You will also need to enter details about the number of DUs and households and the observation questions, and questions about unproductive households as appropriate.

You need to post the screened-in ARFs, unworked ARFs and non-contacts directly to the interviewer who will be working them on the main stage. If you don't know who the interviewer is then ask your project manager. The addresses will be reallocated to them on the host.

The front cover of all other ARFs should be shredded and the rest disposed of by interviewer.

Finally, you also need to contact the team in Brentwood if a translation pack /translator is required.

Appendix C Appreciating cultural diversity

Introduction

Britain's society is multi-cultural and multi-faith. We need to ensure that the people you meet during the course of briefings, assignments and other NatCen activities, are treated equally, fairly and with appropriate consideration – whatever their race, gender, sexuality, age, disability, nationality or religion. Treating people 'all the same' is not the same thing as treating people equally.

Each community, each cultural or faith group you may come into contact with is composed of individuals who will also have preferences and needs which are personal to them alone. It is always important in every household to be alert to any indications that your behaviour has caused offence, to be sensitive to how people are responding to you, and to ask if you are unsure about something.

Naming systems

Naming systems, usage and traditions differ between cultures and religions; customs within a community may change over time and usage acceptable to one generation may be less so to another.

- Never ask respondents for their "Christian name" – ask for a "first" name and then for "other" names.
- Ask each member of a household individually for this information rather than assume there is any shared family or religious name. Children may not necessarily share any name with their parents and people within the same family may also have different spelling of last names eg. Macpherson and McPherson. The use of capitals and non capitals is important to people's identity.
- Many respondents will be aware of the naming system generally used in the U.K. They will have come across forms in hospitals, schools and elsewhere and are likely to have evolved a way of adapting their own naming system.
- The CAPI interview will, in most cases, automatically use the respondent's first name to precede questions. This may not be the most appropriate name to use during the interview and older people, particularly, may feel it is too familiar, so check with the individual concerned.
- Be careful not to assume anything about a respondent's background and/or beliefs from either their appearance or name; this could be construed as racism and is wholly unacceptable.

Religion and community

Some communities are based upon a shared faith; others have a shared tradition, background and culture in which beliefs may be mixed. If you are working in an area where you are aware there is a strong faith-based culture, and this is not one with which you are familiar, it can be helpful to be aware of major festivals and days of worship and plan your calls accordingly.

The most significant dates in the Christian calendar, Easter and Christmas, are easy to identify since they are public holidays. Be aware, however, that the Greek Orthodox Easter differs from the Protestant/Catholic Easter. For other significant religious dates you can look at
http:// www.bbc.co.uk/religion/tools/calendar/.

If you are working in an area where there is a large Muslim population during the fasting month of Ramadan you should take this into account when planning calls. Avoid calling for one to two hours immediately after sunset when those who have fasted through the day will be eating.

Household composition and marital status

Shared accommodation, same sex parenting and extended family households can all make identifying relationships difficult and mean that you should always be sensitive in asking about relationships.

- Don't comment on any relationship that you find, however unusual it may seem to you.
- Always record relationships as given, making a note in the CAPI data if the survey program does not permit you to do this.
- With extended families living close together it can sometimes be difficult to be sure who is permanently resident at an address. It is important to record information that is as accurate as possible but ensure that you probe sensitively to avoid causing suspicion and concern.
- Parents living separately may have joint custody of their children who divide time between two households. Subject to survey-specific instructions which may differ, the child's main residence is usually that where they have spent the most time in the last six months.

Appropriate dress

NatCen advice to interviewers has always been that you should be 'clean and tidy' and otherwise dressed appropriately for the neighbourhood in which you are working.

In many cultures modesty in dress is considered important and female interviewers in particular should think carefully about the households they are likely to be visiting before wearing sleeveless tops or going bare legged in summer.

Always remove a hat or headgear before entering any home. Removal of shoes when entering a house (look for indications by the door, ask if unsure) is customary in many cultures so be prepared to do this. Outside footwear is not normally worn inside the house of a Hindu person and it is also usual and polite to take your shoes off before entering the home of a Japanese, Vietnamese or Chinese person.

Modesty and respect

Eye contact may be avoided for either cultural or religious reasons. In some Asian Buddhist cultures, for example, too much eye contact may be viewed as disrespectful, confrontational or impolite. Muslim women may also find eye contact unwelcome.

Difficulties may sometimes arise because your gender differs from that of a respondent. This can happen whether your cultural background is the same or different. **Do not assume there will be a problem**, individuals within any culture or of any faith may differ greatly in what they find comfortable and acceptable within the interview situation. .
- Men may be reluctant to speak to a woman they do not know if this is not usual in their culture.
- Within some communities codes of modesty require that males should not sit next to a woman.
- Women may prefer to have a relative with them during the interview; this may be either a male or another female (adult or child).
- A person living alone may be more uncomfortable with an interviewer of the opposite sex.

If you feel strongly that these issues will affect the success of the interview, or if the respondent (or someone speaking on their behalf) states this is the case then ask if they would prefer someone else to call. Respondents may feel it is discourteous to ask you if this is possible. Take care that you do this in terms that are inoffensive – "would you prefer a female interviewer" is acceptable; "would you prefer an ethnic interviewer" is not. Ask if the respondent would prefer "an interviewer from your community" or "an interviewer who speaks your first language".

Some questions or topics may be less acceptable (or even considered offensive) in some communities or cultures, or respondent age groups, you should avoid making assumptions about this.
- Questions about alcohol and smoking may be felt to be offensive by those whose beliefs prohibit use.
- Problems may also arise in some contexts in asking questions on other topics such as health, crime or relationships.

It is important that these questions are still asked but you must do so sensitively and be ready to explain that in a survey they need to be asked of everyone. You may also explain that every respondent has the right not to answer a question if they are unhappy to do so.

Greeting and gestures

Avoid handshaking unless initiated by the respondent. In some cultures hand shaking is unusual, in others men will routinely shake hands with other men but not with a woman.   A smile, a hello or nod of the head is generally an adequate greeting.

In certain cultures gestures such as beckoning may be offensive; if you are aware of discomfort in your respondent this may be due to your body language

Refreshments

Offering refreshments to those invited to enter the household is a customary politeness in many cultures and refusal to accept may be construed as a slight. You may have dietary constraints of your own, so accepting a glass of water is sufficient.

Sacred buildings and objects

Buildings used exclusively for prayer and worship are usually fairly obvious, but there are exceptions and repeated calling might give offence. A home may also contain devotional objects which you may not recognise as such.

- A triangular orange flag indicates that an otherwise ordinary looking building is a Sikh Gurdwara or place of worship, literally "the house of the Guru". Gurdwaras serve as community centres, kitchens, and lodging houses in addition to being places of worship. Both Sikhs and non Sikhs may enter Gurdwaras. Entry protocols include removal of shoes, covering bare heads and hand washing.

- On entering a Jewish home you may see a small container fixed to the door post of the front door and possibly to door posts within the home. These are mezuzah and hold part of the scrolls. Those who live in the house may touch them as they pass through doorways. There is no reason to avoid houses with mezuzah as they are private homes.

- Devotional objects, crucifixes, icons and images may be found in homes of every faith.   Most Buddhist homes will contain a shrine, usually centred upon an image of Buddha. In Hindu homes you may see a Puja tray used during daily worship. You may not be familiar with these and their purpose may not be obvious to you. Commenting or asking questions about what you see in any household could be viewed as intrusive and is best avoided unless you are concerned about inadvertently giving offence.

- Some items of furniture may have particular religious or cultural significance. Always ask where you should sit and, if it is necessary to move something to set up the laptop or you wish use a surface for extra paper work – always ask before doing so.

Appendix D Benefits Module Details

List of benefits that appear in Benefits Module with explanations:

BenPen **NI Retirement Pension**	For married couples, you should try to get the separate amount paid for the respondent rather than any joint amount. If the respondent is unable to separate it, show the whole amount received and record it as received jointly. If the wife is aged under 60 she will not be receiving a state pension in her own right. Therefore any NI pension income is solely the husband's. Retirement Pensions may have an earnings related supplement. This is normally paid on the same order book and should be included in the amount recorded.
BenPen **Occupational Pensions from previous employers**	Include all employer's pensions not just retirement pensions. Include pensions paid before retirement (i.e., a respondent may still be working for an employer but has become entitled to receive payments) and pensions paid for early retirement.
BenPen **Pension from a spouse's previous employer**	Women may also be receiving an occupational pension in respect of a deceased spouse: these should be recorded as 03. Check that any amount recorded is net of tax and other deductions. Do not include pensions from a Trade Union or Friendly Society unless the pension is received as a direct result of the respondent's employment by them.
BenPen **Widow's Pension/War Widow's Pension/ Widowed Mother's Allowance /Widowed Parent's Allowance / Bereavement Allowance**	Do <u>not</u> include Widow's Benefit, Widow's Payment, or Bereavement Payment as these are single lump sum payments.
Pension Credit	This is a means tested benefit paid to pensioners. They will not receive it unless they have applied for it and qualification is dependent on income and assets. Pension Credit has been paid since October 2004. There are two main elements. The Guarantee Credit is the minimum amount a pensioner can be expected to live on. There will be additional amounts for owner occupiers' housing costs, for disability and for caring responsibilities. The Saving Credit is available only to pensioners age 65 and over and aims to reward those who have made provision for their retirement over and above the state pension.
BenDis/BenAl **Employment and Support Allowance**	This is a new means tested benefit that will be replacing 'Incapacity Benefit' and 'Income Support (paid on incapacity grounds)' from the 27th October 2008. Anyone receiving Incapacity Benefit or Income Support (paid on incapacity grounds) at the change-over date will continue to receive those benefits, so long as they continue to satisfy the entitlement conditions. Respondents may also receive income-related Employment and Support Allowance if they require additional financial support for specific reasons, for example, because of housing costs or as a result of disability or caring responsibilities.

BenDis/BenAl **Severe Disablement Allowance**	Is for people of working age who have not been able to work for at least 28 weeks but who cannot get Incapacity Benefit. Married women unable to perform household work may also receive it.
BenDis/BenAl **Industrial Injury Disablement Allowance**	Is a variable amount paid to someone disabled through either a work accident or an industrial disease.
BenDis/BenAl **Disability Living Allowance/ Care Component**	Since April 1992 this has replaced Attendance Allowance for people aged between 5 and 66 (although many people will continue to call the allowances by their old names). In addition some people not previously entitled to Attendance Allowance will receive this benefit. Those aged 66 or over will continue to receive Attendance Allowances. When the person is under 16 the Allowance will normally be paid to the person responsible for them. In such cases it should be recorded as income on the questionnaire for the <u>responsible adult</u> for the child. Where someone is 16 or over this should recorded on person's own questionnaire.
BenDis/BenAl **Disability Living Allowance Mobility Component**	Paid for those unable, or virtually unable, to walk as a component of Disability Living Allowance. This benefit replaced Mobility Allowance.
(BenDis/BenAl) **Attendance Allowance**	Paid to people who need high levels of care because of severe disability. Include Constant Attendance Allowance. If paid for a child under 16 include as mother's income, or if there is no mother then father/guardian.
BenDis/BenAl **Carer's Allowance**	Weekly paid benefit for people of working age who give up working to look after someone receiving Attendance Allowance. This was formerly known as the Invalid Care Allowance.
BenDis/BenAl **War Disability Pension**	Payable to members of the armed forces disabled in the 1914-18 war or after 2nd September 1939. Merchant seamen and civilians disabled in the Second World War are also eligible. The amount paid varies according to an individual's rank and the extent of the disability.
BenDis/BenAl **Incapacity Benefit**	This was introduced in April 1995. It replaced NI Sickness Benefit and Invalidity Benefit which officially do not exist any more. If a respondent reports receiving NI Sickness Benefit and/or Invalidity Benefit, code as Incapacity Benefit and record total amount received in grid.
BenSup/NFE/Btype **Income Support**	Income Support replaced Supplementary Benefit (sometimes called Social Security Benefit). The rate is assessed on the grounds of age and marital status with a flat-rate premium for children and special premiums for people such as lone parents, people with disabilities and pensioners. Income Support is often paid along with other benefits as a supplement. You should try, wherever possible, to record the amount of Income Support separately even in the case where it is paid with Job Seeker's Allowance or with a state pension. The specific amount paid as Income Support will usually be shown on the cover of the Benefit Order Book. Any maintenance payments from a former or separated spouse or for child support which are paid through the DWP or other government agencies, should not be included as Income Support or any other benefit.

BenSup/NFE/ BenUnemp **Jobseeker's Allowance**	This replaced Unemployment Benefit in October 1996. Those receiving JSA are capable of work and available for work and actively seeking work and have a current jobseeker's agreement with the Employment Service. Full-time students, those on temporary release from prison and those receiving maternity allowance or statutory maternity pay are not eligible for JSA.. There are two types of JSA – Contribution-based and Income-based. The Contribution-based component is paid in the first 26 weeks of unemployment if enough NI contributions have been paid. The Income-based component is a means-tested benefit (paid after 26 weeks for those who qualify for Contribution-based and pass the means-test).
BenSup **Return to Work Credit**	This is a payment for people starting work of at least 16 hours a week and earning no more than £15,000 per year. Recipients will have been receiving an incapacity benefit (including statutory sick pay) for 13 weeks immediately prior to starting work. It is payable for up to 52 weeks.
BenSup/NFF/Btype **Child Benefit**	Is normally paid to the mother (unless there is none in the household) and should be shown as her income. Where it is paid into a joint bank account the names of both account holders will be on the benefit order book. This should still be recorded as the mother's income. **Child Benefit (Lone Parent)** was withdrawn in July 1998 however single parents responsible for children continuously since July 1998 may continue to receive this.
BenSup/BenTax/ BenCTC **Child Tax Credit**	Introduced in April 2003 this is paid to those with at least one dependent child. Child Tax Credit is paid to the person responsible for the care of the child(ren) so can be received by one person only in the household. If the respondent qualifies for the childcare element of Working Tax Credit, this will always be paid with the Child Tax Credit, even if the respondent is not themselves in receipt of Working Tax Credit.
BenSup/BenTax **Working Tax Credit**	This replaced Working Families Tax Credit and the Disabled Person's Tax Credit in April 2003. It is paid to families with at least one dependent child or those with a disability who are working. In some cases it can be paid alongside JSA or income support for those not working. It is paid either as a tax credit through the respondent's pay check or as a direct benefit. It can also be paid as a lump sum covering a period of 26 weeks in some cases. Please note: Where a married or cohabiting couple are receiving WTC, they apply for the tax credit jointly but cannot be receiving it jointly. They will have had to say which couple member was to receive the benefit or tax credit.
BenSup/BenTax **Disabled Person's Tax Credit**	This was replaced by Working Tax Credit from April 2003. It is paid to people with disabilities either in work or seeking work who are aged under 66. Any respondent claiming this should be coded as receiving the Working Tax Credit.
BenSup/BenFam **Maternity Allowance**	A benefit which applies only to women not eligible for Statutory Maternity Pay. Usually women receiving Maternity Allowance will be either self-employed or will have recently changed jobs.
BenSup/NFG/BenHou **Council Tax Housing Benefit /Rent Rebate**	Is benefit paid to help with housing costs, either by the DWP or the Local Authority. Include here only if it is paid direct to the ....respondent. Where Housing Benefit is either deducted from the rent (council tenants) or paid direct to the landlord, details should be recorded in the Household Questionnaire.

BenSup/BenTax/ BenHou **Council Tax Benefit**	As with Housing Benefit, Council Tax Benefit is usually credited to the council directly, so the benefit would show on a reduced tax ...bill. People on income support, however, will claim council tax benefit ....along with their housing benefit claim form. Obtain amount deducted and period covered. Do not include students who pay a reduced charge. If respondent is unable to give details of benefit received write details of amount he or she <u>actually pays</u> in a note, the amount deducted from the full charge (and the amount of that benefit) can then be calculated.
BenSup **Other State Benefits, Allowance or Credit**	List each separately and record full details. Include such things as Back to Work Bonus, Job Release Allowance Lone Parent Work **.....**Search Premium, Lone Parent in Work Credit, Child Maintenance Bonus, Child Maintenance Premium and Transitional Payments. Include also Enterprise Allowance and YTS, ET and New Deal Allowances. If any Transitional Payments are received it is important to record which benefit it replaces or tops up. <u>Do not include</u>: Payments from the Social Fund (these are loans) or other one-off payments from either DWP or local authority social services.
BenPay/BenSta **Educational Grants**	Include all grants or scholarships paid in respect of education or training (but <u>not</u> YTS or ET Allowances which should be recorded as Other). Grants and scholarships may be provided by Local Authorities, the DfES, Research Councils, charities, prospective employers (e.g., companies or the Armed Forces), educational institutions, family trusts and a number of other bodies such as Trade Unions. Do not include Student Loans taken out by the respondent to cover their living expenses or fees. Do not include Top-Up Fee Bursaries as these are a type of interest free loan to be paid-back upon completion of a degree. Include here as an Educational Grant any payment from any source (other than from family members) which is intended to cover the living expenses or fees <u>over a period of time</u> of someone in full or part-time education specifically so they may undertake that education. Grants are often paid in a lump sum at the beginning of a term or quarter to cover that term or a quarter. If a grant was paid for a term record that at (d) as Other. Do not include one-off payments for specific items such as extra travelling expenses, visits or equipment or individual prizes.
BenPay/BenSta **Trade Unions/ Friendly Societies**	Include all payments from such bodies here with the exception of Educational Grants and Sickness or Accident Insurance. Include Strike Pay.

BenPay/BenFam/BenSta **Maintenance/Alimony**	Note that men and non-married women can receive such payments. In most cases such payments come direct but they may also come via a solicitor, a court or the DWP. If it is paid by the DWP, check it has not been included in any Income Support already mentioned. Code only if the respondent is actually receiving or has received the payment. Do not code if payments should have been made, e.g., through a court order, but have not actually been made. Record actual amounts received rather than what is supposed to be paid. Payments received for a child should only be recorded if that child is present in the household. If a respondent receives payment for the support of a child code as respondent's sole income. But if they receive money which is to be passed on to the child itself exclude from respondent's income.
BenPay/BenFam/BenSta **Regular payment from family members not living here**	E.g., payment from a spouse working and living away from home,….. regular payments to parents from children <u>outside</u> the household (but <u>not</u> payments for 'keep' from those living there) and payments from parents to students etc, provided they are not members of the same household. In any cases of doubt the respondent should be asked to decide for him/herself whether or not a payment is to be classed as 'regular'.
BenPay/Ben/Sta **Rent from boarders or lodgers**	Rent from accommodation let at respondent's address. However, do not include payments from boarders or lodgers who are part of the immediate family of the respondent. Do not include payments for keep from family members or rent from property outside the respondent's accommodation.
BenPay/BenFam **Foster Allowance / Guardian Allowance**	Any foster carer who is looking after a child may receive a "Foster Allowance" or "Fostering Allowance" from the local Authority. It is designed to cover the costs of caring for a foster child. Local authorities are allowed flexibility to decide their own systems of payment. A "Guardian Allowance" is a tax fee payment to individuals bringing up a child whose biological or adoptive parents have died or is otherwise unavailable for their rule (e.g., in prison, or detained in hospital). Recipients of Guardian Allowance must also receive Child Benefit.
BenFam **In-Work Credit for Lone Parents**	This credit will be paid on top of all tax credits and other benefits, for a 12 month period, to lone parents who have been on Income Support or Job Seeker's Allowance for at least a year and who enter work of at least 16 hours a week.
BenPay/BenSta/BenDis **Sickness Accident Insurance**	Include any payments to compensate for lost wages during time off work through sickness (but <u>not</u> one-off payments to meet specific expenses such as medical fees or the cost of glasses or false teeth etc).
BenPay/BenSta **Other Regular Payment**	Specify type of income and source. <u>Exclude</u> any payments from investments, stocks and shares, bonds and other interest payments (e.g., building society and bank savings accounts).